Master's Thesis

Integrated and sustainable urban development planning

- An empirical case study on the reflection of the Leipzig Charter’s principles in the context of German local urban planning

2011-08-08

Master candidate:

Martin Stumper - ESP 2010/2011 - 840911-T856

Supervisors:

Gösta Blücher and Jan-Evert Nilsson
Summary

This master’s thesis deals with the concept of integrated urban development planning as e.g. promoted in the Leipzig Charter on Sustainable European Cities. The legally non-binding character of the EU policy document raises the question of its implementation. On the local level, the drawing up of Integrated Urban Development Concepts (ISEKs) is recommended as strategic planning tool. However, the competence of the EU in urban affairs is limited and the preparation of such planning documents is subject to local self-governance. The purpose of this thesis is therefore to analyse, how the principles of integrated and sustainable urban development planning as laid out in the Leipzig Charter are reflected in local planning documents.

Due to ambiguous definitions, the dimensions of the planning concept are presented in detail within the theoretical framework of this thesis. This is backed-up with policy statements and scientific evidence. Moreover, the concept is embedded in a broader planning theoretical framework since reference to planning theory is partly missing in the current discourse. In line with methodological requirements, the analysis provides a comprehensive description of the rhetorical context on integrated urban development planning on European and national level. It is outlined that this discourse is shaped by various actors in a multi-level setting with complex interrelationships.

A qualitative content analysis has been chosen in order to assess the dimensions ‘integration’ and ‘sustainability’ in selected ISEKs. Since a comprehensive national framework and long experience in the application of integrated planning exists in Germany, a case study has been conducted for the cities of Greifswald, Kiel, Lübeck and Schwerin. The empirical analysis illustrates a great variety in the reflection of the dimensions of integrated planning as well as different approaches in the application of the sustainability paradigm. Besides the varying approaches, a high level of consistency with the principles laid out in the Leipzig Charter can be observed. However, these findings cannot be traced back to the awareness about the EU policy document. In contrast, other endogenous and exogenous motives for the ISEK preparation can be identified. They include the multi-faceted challenges for urban development as well as financial incentives or requirements within national programmatic frameworks.

Nevertheless, the ISEKs include a European dimension as the reference to EU Structural Funds, EU initiatives in urban policy as well as cooperation within European city-networks shows. Further findings include that differences in the ISEK preparation in East and West Germany exists. They are explained by varying initial conditions and motives as well as different programmatic frameworks in the two Federal States Schleswig-Holstein and Mecklenburg-Vorpommern. Even though integrated urban development planning is promoted as a prerequisite for sustainable development, no clear evidence could be found in the analysis. Obstacles for the operationalization of the sustainability paradigm as well as the focus on the content and preparation process of the ISEKs are explanations here. The thesis concludes with some personal reflections under consideration of theoretical concerns and empirical findings. They bear the potential of recommendations for those involved in the ISEK preparation process.
# Table of content

1. **Introduction** .................................................................................................................. 6  
   2. **Theoretical background** ............................................................................................... 9
      2.1. Integrated (urban) planning – Definition ...................................................................... 9
      2.2. Dimensions of integrated urban development planning .............................................. 10
         2.2.1. Spatial level of reference .................................................................................. 11
         2.2.2. Consideration of various thematic fields of activity and subject-specific interrelationships ........................................................................................................... 13
         2.2.3. Involvement of various administrative areas ......................................................... 14
         2.2.4. Participation of players from outside the spheres of politics and public administration ....................................................................................................................... 15
         2.2.5. Pooling of financial resources ............................................................................ 15
         2.2.6. Management of integrated action ........................................................................ 17
         2.2.7. Arrangement of development concepts ................................................................ 19
      2.3. Integrated planning approaches in planning theory ..................................................... 21
         2.3.1. Integrated planning from a rational planning perspective .................................... 21
         2.3.2. Integrated planning from a pragmatic planning perspective .................................. 23
         2.3.3. Integrated planning from a collaborative planning perspective ............................. 24
         2.3.4. Integrated planning from a strategic planning perspective ..................................... 25
      2.4. Integrated planning and sustainable urban development ............................................ 27
         2.4.1. The concept of sustainable development – definition ........................................... 27
         2.4.2. Linking sustainable and integrated urban development planning .......................... 27
      2.5. Summary of the theoretical background on integrated urban development planning .... 30
   3. **Methodology** .................................................................................................................. 32
      3.1. Research question ......................................................................................................... 32
      3.2. Methodological approach ............................................................................................. 32
      3.3. Selection of the case study cities .................................................................................. 34
      3.4. Limitations for the analysis ......................................................................................... 35
   4. **Rhetorical framework on integrated urban development planning** ............................. 36
      4.1. Integrated urban development planning in EU urban policy ........................................ 36
         4.1.1. The EU’s urban agenda ......................................................................................... 36
         4.1.2. Integrated planning in the EU’s first urban initiatives ........................................... 38
         4.1.3. Mainstreaming of EU urban policy ....................................................................... 39
         4.1.4. The ministers’ road to Leipzig ............................................................................. 41
         4.1.5. The Leipzig Charter on Sustainable European Cities ............................................ 44
         4.1.6. The Leipzig Charter and its implementation .......................................................... 46
      4.2. Integrated urban development planning on national level – the German Context .... 48
5. Results of the qualitative content analysis of selected Integrated Urban Development Concepts ................................................................. 50

5.1. Dimensions of integrated urban development planning in the ISEKs.......................... 50

5.1.1. Spatial level of reference ................................................................................................. 50

5.1.2. Consideration of various thematic fields of activity and subject-specific interrelationships ...... 56

5.1.3. Involvement of various administrative areas ................................................................ 60

5.1.4. Participation of players from outside the spheres of politics and public administration ............ 62

5.1.5. Pooling of financial resources ...................................................................................... 67

5.1.6. Management of integrated action .................................................................................. 69

5.1.7. Arrangement of development concepts ......................................................................... 74

5.2. Integrated planning as a prerequisite for sustainable urban development? ...................... 80

5.2.1. Sustainable urban development – Greifswald ................................................................ 81

5.2.2. Sustainable urban development – Schwerin .................................................................. 81

5.2.3. Sustainable urban development – Kiel ........................................................................ 83

5.2.4. Sustainable urban development – Lübeck ...................................................................... 84

5.2.5. Summary on the ‘sustainability’ dimension ..................................................................... 86

6. Final Discussion ........................................................................................................... 88

6.1. Level of ‘integration’ in the ISEKs ...................................................................................... 88

6.2. Different integrated urban development planning in East and West Germany ................... 89

6.3. Integrated urban development and sustainability ............................................................... 90

6.4. Flexibility or strict regulations for the drawing up of Integrated Urban Development Concepts ........................................ 91

6.4.1. Spatial level of reference ................................................................................................. 92

6.4.2. Consideration of various thematic fields of activity and subject-specific interrelationships ...... 92

6.4.3. Involvement of various administrative areas ................................................................ 92

6.4.4. Participation of players from outside the spheres of politics and public administration .......... 93

6.4.5. Pooling of financial resources ...................................................................................... 93

6.4.6. Management of integrated action .................................................................................. 93

6.4.7. Arrangement of development concepts ......................................................................... 94

List of References ............................................................................................................ 95

Appendix ............................................................................................................................ 101

Case Study I – City of Schwerin, Capital of Mecklenburg-Vorpommern .................................. 101

Case study II - University town and Hanseatic City of Greifswald .......................................... 109

Case Study III – City of Kiel, Capital of Schleswig-Holstein .................................................. 113

Case study IV – Hanseatic City of Lübeck ............................................................................ 117

Student Declaration .......................................................................................................... 121
List of illustrations

Fig. 1: Management in integrated urban development planning and level of institutionalisation ........................................18
Fig. 2: Typology of Integrated Urban Development Concepts ..................................................................................................................20
Fig. 3: A normative model of strategic planning ........................................................................................................................................26
Fig. 4: Map of the case study cities in the German part of the Baltic Sea Region ..........................................................................................34
Fig. 5: Overlapping of strategic aims and sectoral concerns in the designation of focal areas of development in the ISEK of Kiel 2010 ........................................................................................................................................53
Fig. 6: Organisation scheme of the 2009 ISEK process in Lübeck ..................................................................................................................71
Fig. 7: Organisation scheme of the 2002 ISEK process in Greifswald ............................................................................................................72
Fig. 8: Organisation scheme of the 2008 ISEK process for Mueßer Holz (MH), Neu Zippendorf (NZ) and Großer Dreesch (GD) ........................................................................................................................................77
Fig. 9: Aerial picture of Schwerin .................................................................................................................................................................101
Fig. 10: Neighbourhood classification – ISEK Schwerin 2002 ..........................................................................................................................103
Fig. 11: Masterplan for the prefabricated housing areas – ISEK Schwerin 2008 ..............................................................................................107
Fig. 12: Aerial picture of Greifswald .................................................................................................................................................................109
Fig. 13: Neighbourhood classification – ISEK Greifswald 2005 ........................................................................................................................112
Fig. 14: Aerial picture of Kiel ............................................................................................................................................................................113
Fig. 15: Focal development areas – ISEK Kiel 2010 ............................................................................................................................................116
Fig. 16: Aerial picture of Lübeck .................................................................................................................................................................117
Fig. 17: Planning areas A-E – ISEK Lübeck 2009 ............................................................................................................................................120

List of tables

Tab. 1: Hints at the content of integrated urban development plans in terms of sustainability dimensions ........................................................................................................................................29
Tab. 2: Evaluation of dimensions and categories for Integrated Urban Development Concepts ........................................................................................................................33
Tab. 3: Approaches in the consideration of city-district interdependencies ................................................................................................52
Tab. 4: Participation of players from outside the spheres of politics and public administration in the ISEK preparation process in the case study cities .................................................................................................64
Tab. 5: Arrangement of ISEKs in the case study cities in line with the components provided by the BMVBS&BBSR (2009a: 45) and the Leipzig Charter (German Presidency 2007a: 2f.) ........................................................................75

Acronyms

BBR ... Federal Office for Building and Regional Planning
BBSR ... Federal Institute for Research on Building, Urban Affairs and Spatial Development
BMVBS ... Federal Ministry of Transport, Building and Urban Development
CEMAT ... European Conference of Ministers responsible for Spatial/Regional Planning
DG Regio ... European Commission’s Directorate General for Regional Policy
DST ... Deutscher Städtetag (German Association of Cities)
ERDF ... European Regional Development Fund
EU ... European Union
EUKN ... European Urban Knowledge Network
GDR ... German Democratic Republic
ISEK ... Integriertes Stadtentwicklungskonzept (Integrated Urban Development Concept)
JASPERS ... Joint Assistance to Support Projects in European Regions
JEREMIE ... Joint European Resources for Micro to medium Enterprises
JESSICA ... Joint European Support for Sustainable Investment in City Areas
STEP ... Stadtentwicklungsplanung (comprehensive planning)
WCED ... World Commission on Environment and Development (WCED)
UN ... United Nations
UNESCO ... United Nations Educational, Scientific and Cultural Organization
UPP ... Urban Pilot Projects
1. Introduction

European cities are identified as key drivers of national and European economic development and play a major role in territorial and social development as well as issues of sustainability and social cohesion. However, challenges for the development of European cities are multi-faceted. They include the favourable and unfavourable consequences of globalisation, demographic change, social segregation and climate change just to mention a few. Furthermore, disparities in urban development can be observed between cities in different Member States of the EU as well as cities of different sizes and functional characteristics. Facing these challenges, the concept of integrated urban development planning gained an extraordinary attention among planners, scientists and policy-makers during the past two decades. The rhetorical policy discourse about the planning concept is shaped by various actors on different levels with varying perspectives and motivations. The promotion of the approach in urban planning is embedded in the concept of Europeanization. This concept describes “the impacts of the EU on national politics, policies and politics, on the one hand, and the influence of national discourses on the development of governance at the European level through the process of ‘uploading’, on the other” (DÜHR et al. 2010: 103). Here, imposing the concept of the integrated urban development planning approach in various EU policy documents can be interpreted as top-down guidance with impact on domestic policy and planning practices of the Member States. A deeper analysis will show that several Member States have been very successful in shaping the European discourse by uploading their national planning practices as bottom-up Europeanization.

A key EU policy document in this respect is the Leipzig Charter on Sustainable European Cities, which has been adopted on an informal meeting of the ministers responsible for urban and spatial development of the EU Member States in May 2007 during the German Council Presidency (German Presidency 2007a: 1). Addressing the mentioned challenges, the Leipzig Charter includes two key policy objectives:

1. “Integrated urban development should be applied throughout Europe and, in order to be able to do so, the appropriate framework for this should be established at national and European level.

2. Deprived urban neighbourhoods must increasingly receive political attention within the scope of an integrated urban development policy. Europe must reach all of its citizens” (BMVBS 2010).

The Leipzig Charter is not an isolated policy document. It builds upon previous minister meetings, experience gained within urban initiatives promoted by the European Commission as well as scientific evidence or lobbying for urban issues. The legally non-binding character of this document raises the question of the implementation of integrated and sustainable urban development planning and its policy objectives on European, national, regional and local level. Due to the legal status of EU urban policy, the European Commission’s competence is limited to the ‘mainstreaming’ or horizontal integration of urban matters in the Community’s policies (European Commission, DG Regio 2010) or the identification of the ‘the urban dimension’ in National Strategic Reference Frameworks (NSRF) and Operational Programmes (OP) co-financed by the EU (European Commission, DG Regio 2007 and European Commission, DG Regio 2008). The analysis of these documents illustrates that there are several obstacles for the vertical integration of integrated approaches in urban policy. This is partly explained by varying preconditions for the implementation among the Member States which is
challenging the adoption of corresponding programmes at national, regional or municipal level (BMVBS & BBR 2007: 42f.) Moreover, hindrances such as an insufficient cooperation or communication between different levels of government and sectors of administration, a lack of knowledge transfer, skills and leadership as well as a limited financial resources, rewards and funding could be identified (Nicis Institute & EUKN 2008: 23).

Crucial for this thesis is the recommendation of drawing up Integrated Urban Development Concepts as implementation-oriented tool on the local level within the Leipzig Charter. The introduction and promotion of this planning instrument in the EU policy document can be characterized as a bottom-up Europeanization of German planning practice. Here, the planning tool has been successfully promoted among German planners, lobbying organizations such as the Association of German Cities, the German ministry responsible for urban affairs and several research institutes. Finally, this instrument and the criteria for its successful application could have been introduced into the Leipzig Charter during the German Council Presidency. Despite the fact that the German local Integrierte Stadtentwicklungskonzepte (ISEK) have an informal and therefore legally non-binding status, they already play a key role in the implementation of European and national urban policies. In the German context, they are the formalized basis for the municipalities’ request for financial support within the European and national programmatic framework for urban issues. Experiences in the utilization of the planning tool were gained within the Federal-Länder programmes ‘Socially Integrative City’ or ‘Urban Renewal East’. Here, ISEK’s follow an area-based approach covering the entire city or neighbourhoods classified as deprived. The document should provide elements of strategic planning such as an in-depth analysis of the current development as well as a mid-term vision for a city or neighbourhood, which takes the comprehensive challenges for urban development as well as specific strengths and weaknesses into consideration. Beside these strategic concerns, an ISEK should include concrete measures and projects in line with defined goals and a clear focus on its implementation. Integrated planning should also have a clear coordinative and collaborative dimension. In this respect, integrated planning is seen as a ‘learning system’ which combines top-down and bottom-up approaches by the horizontal integration of different administrative units, broad stakeholder involvement as well as public participation. This cooperation should be characterised by a network organisation and consensus-orientation. The benefits of this integrated approach are seen in the contribution to financial and personal resource pooling taking the German municipal financial crisis into consideration (FRANKE & STRAUSS 2010: 253f.).

Despite these theoretical concerns, limited research has been conducted on evaluating the existing planning documents. Among the studies which had been operated in the German context was a research project on the ‘Integrated urban development in city regions’ undertaken by the Federal Ministry of Transport, Building and Urban Development (BMVBS) and the Federal Institute for Research on Building, Urban Affairs and Spatial Development (BBSR). Study findings include that 86 percent of the surveyed cities use integrated approaches in urban planning (BMVBS & BBSR 2009a: 46). However, there is a great variety of ‘integrated’ concepts and scientific evidence illustrates that there is no common agreement on certain standards or quality criteria for integrated urban development planning. This raises the question about a common definition of integrated planning including normative, strategic and operative requirements. Such a definition would avoid fuzziness and false labelling and thus improving the clearness in using the term integrated planning. The establishment of common, decided, binding and revisable criteria for integrated action is promoted by German higher level authorities due to the requirements of outlining programmatic frameworks. This position is supported by scientist dealing with research and evaluation of integrated urban
development planning approaches. Their perspective is contrasted by the municipalities’ desire for greater flexibility in the design and operation of integrated planning due to specific challenges, varying goals and different potentials. The argumentation for an open approach in integrated planning is moreover based on the interpretation of integrated planning as a learning process with ongoing enhancements (ibid.: 42f.). Consensus could be therefore only reached on the identification of central dimensions of integrated planning as well as a flexible definition approach, which forms the basis for the methodological framework of this thesis.

This master’s thesis will contribute to the discussion on integrated urban development planning by answering following research question using the method of a qualitative content analysis:

*How do German Integrated Urban Development Concepts on the local level reflect the principles of an integrated and sustainable urban development planning as laid out in the Leipzig Charter?*

The thesis is primarily focused on the German context due to outlined experience with the planning tool ISEK, its formalized status within the national programmatic framework in urban affairs as well as the emphasis in promoting the planning tool on European level. However, the research question is not solely focused on the ‘integration’ dimension. It covers also the ‘sustainability’ dimension in urban planning and policy. This is primarily based on the argumentation used under the German Council Presidency in preparation of the Leipzig Charter. In detail, a background study promotes the integrated planning approach as ‘Prerequisite for Urban Sustainability in Europe’. The study links integrated approaches in urban policy and planning with the EU key policy objectives ‘economic prosperity’, ‘social equity and cohesion’ and ‘environmental protection’ as laid out in the renewed EU Sustainable Development Strategy of 2006 (European Council 2006: 3f.). According to the study, “sustainable urban development policy tackles these objectives as equal priorities and seeks their implementation in order to contribute to the sustainable development of towns and cities” (BMVBS&BBR 2007: 8f.) and “[the integrated urban development approach] has proved to be an effective instrument to achieve sustainable urban development in accordance with the European Sustainability Strategy” (ibid.: 14). Whereas the first part of the analysis applies the flexible definition approach for integrated urban planning developed by the BMVBS&BBSR study, the author follows an explorative and descriptive approach in the sustainability dimension. This is caused by the controversy associated with the concept of sustainability and the solely focus on a qualitative content analysis of planning documents – and not its implementation. Here, prerequisites for the application of the sustainability paradigm in urban planning as outlined by HEIL (2000: 22ff.) are taken into consideration.

Section two of this thesis will present the definition of integrated urban development planning and a description of its dimensions. This part is backed-up with reference to policy documents, theoretical concerns as well as scientific evidence. Moreover, the planning concept of integrated urban development planning is embedded into a broader planning theoretical discourse. This section is supplemented by a short introduction of the sustainability concept. The methodological approach of a qualitative content analysis of selected ISEKs used in this thesis will be presented in section three. The methodological approach requires furthermore a description of the rhetorical discourse on integrated planning on European and national level. Its presentation is part of section four. The empirical results of the qualitative content analysis of the planning documents covering the dimensions ‘integration’ and ‘sustainability’ will be provided in section five. Further information including summaries of the case study cities’ ISEKs can be found in the Appendix. The thesis concludes with a final discussion including several personal reflections by the author in section six.
2. Theoretical background

The qualitative content analysis of Integrated Urban Development Concepts undertaken in this master’s thesis requires first of all a definition of integrated urban development planning and a description of its dimensions. This description includes a reflection of specific policy and/or scientific concerns. Moreover, the planning concept will be embedded in the theoretical planning discourse covering rational, pragmatic, collaborative and strategic planning. Further emphasis is given on the linkages between integrated planning and the concept of sustainability as outlined in key EU policy documents such as the Leipzig Charter on Sustainable European Cities.

2.1. Integrated (urban) planning – Definition

Planning, as a general activity, is commonly defined as the “making of an orderly sequence of action that will lead to the achievement of a stated goal or goals” (HALL 2002: 3). Methods used here are e.g. the drawing up of written statements, statistical projections, indicator-based evaluations and the making of detailed physical blueprints of objects. The spatial component of interest is a unit classified as ‘urban’ in statistics or administration. The objective of urban planning is “to provide for a spatial structure of activities (or of land uses) which in some way is better than the pattern that would exist without planning” (ibid.). Here, it has to be taken into consideration that planning is multidimensional and multi-objective in its scope since planning could be understood as a type of management for the very complex system ‘city’ including e.g. its physical, economic, social and environmental components and their interdependencies. Rather than focusing on the implementation of planning documents, this thesis will focus of their content which provides information about the underlying preparation process. The specific characteristic of these planning documents is that they represent the outcome of a so called ‘integrated planning’ approach.

A literature review illustrates that the term integrated (urban development) planning is used in a very ambiguous way among policy-makers, scientists and planners. This includes that existing definitions are used in different contexts with varying political, scientific or practical motivation and cover therefore diverse dimensions. Thus increases the risk that the planning concept remains fuzzy. In fact, integrated planning is a fancy rhetorical term commonly used among decision-makers or in policy documents without further conceptualization. To avoid shortcomings in this respect, the provided definitions are chosen carefully and critically reviewed by the author.

Following a glossary prepared by the European Conference of Minsters responsible for Spatial and Regional Planning (CEMAT), integrated planning is defined as “a process involving the drawing together of level and sector specific planning efforts which permits strategic decision-making and provides a synoptic view of resources and commitments. Integrated planning acts as a focal point for institutional initiatives and resource allocation. In the context of integrated planning, economic, social and ecological factors are jointly used and combined to guide land- and facility-use decisions towards sustainable territorial development” (CEMAT 2007: 15). Here, strong emphasis is given to oppose the term to sectoral planning. Horizontal as well as vertical cooperation and coordination among different levels of governance and sectoral public administration should contribute to resource efficiency – both financial and personal - in planning. Moreover, integrated planning is outlined as a goal-oriented, rational and holistic planning approach. Characteristic for recent EU publications in urban issues is the combination of integrated planning with the sustainability paradigm. Without providing further evidence about a causal connection, integrated planning should contribute equally to economic growth, social cohesion and environmental protection in a long-term
perspective which form key policy objectives of the EU as laid out e.g. in the EU’s Sustainable Development Strategies (European Commission 2001: 2).

However, this definition provides a dominant top-down perspective on integrated planning whereas other definitions cover also the dimensions stakeholder involvement and public participation. One of these definitions has been elaborated in the context of urban regeneration with special focus on deprived neighbourhoods in various Member States. It is provided in a background study in preparation of the Leipzig Charter: “Generally speaking, integrated approaches [in urban development policy] involve spatial, temporal and factual coordination and integration of diverse policy areas and planning resources to achieve defined goals using specified (financial) instruments. Comprehensive and early involvement of all governmental, administrative and non-governmental players relevant to urban development is crucial. Above all, this includes local residents and players from the business world. Inclusion of neighbouring communities is decisive in sustained regional development” (BMVBS&BBR: 2007: 14). Similarities between the two definitions cover the strong focus on coordination and cooperation among different actors and levels as well as the rational perspective in goal-orientation. Supplementary, special emphasis is given to the financial dimension of integrated urban development as well as the necessity of regional cooperation. Whereas the study generally refers to integrated urban development planning as a prerequisite for ‘urban sustainability’ remains the economic, social and environmental dimension of this planning approach vague in this definition.

Another definition has been elaborated from a survey among German municipalities which use integrated approaches in urban planning. It was undertaken by the BMVBS and the associated research institute – the same institutions in charge of the background study on the Leipzig Charter some years before. Here, “current approaches [in integrated urban planning] commonly focus more pointedly on project- and implementation-specific aspects, and, depending upon motivation or aim, have citywide and/or district focuses, are in part more likely to pursue sectoral goals in integrative surroundings and exhibit a variety of different forms of governance” (BMVBS&BBSR 2009a: 10). With focus on existing planning documents on the local level, this definition highlights the great variety in integrated urban planning approaches applied in the German context. Moreover, it illustrates the strong municipalities’ self-governance perspective leading to an individual interpretation of requirements outlined in the national programmatic frameworks in urban affairs. This perspective is influenced by the municipalities’ desire for flexibility in facing varying initial conditions and objectives. This contrasts with the position of German national and regional authorities. To simplify, both higher-level authorities tend to introduce binding parameters for an improved evaluation and monitoring of the Integrated Urban Development Concepts or its implementation. However, the study shows that there is no consensus about a more specific definition in terms of minimum standards or quality criteria for integrated urban development planning such as normative goals or formal requirements for e.g. schemes of public participation beyond the obligations laid out in German planning legislation (ibid.).

2.2. Dimensions of integrated urban development planning

Due to the different perspectives on the planning concept, a flexible approach in defining integrated urban development planning has been developed within the BMVBS&BBSR study under participation of local, regional and federal representatives. The study identified the following key dimensions of integrated urban development planning:
• spatial level of reference;
• consideration of various thematic fields of activity and subject-specific interrelationships;
• involvement of various administrative areas;
• participation of players from outside the spheres of politics and public administration;
• pooling of financial resources;
• management of integrated action; and
• arrangement of development concepts (BMVBS&BBSR 2009a: 11).

Each of the dimensions can be weighted variously between characteristics that are ‘comparatively weak’ and ‘comparatively strong’ integrated. This flexible definition approach forms the foundation of the methodological framework of this thesis. Its singular dimensions will be therefore described in the following paragraphs in detail. These descriptions are backed-up with planning theory and scientific evidence or interlinked with other policy documents to provide a comprehensive theoretical background for the master’s thesis.

2.2.1. Spatial level of reference

According to the BMVBS&BBSR study, integrated urban development planning requires the linkage of different spatial levels including neighbourhoods, districts, the city as a whole and the entire city-region. First, planning on the neighbourhood level should be embedded into a citywide context. Second, overarching planning objectives for the whole city should be differentiated, prioritized and concretized on the neighbourhood or district level. Third, city-regional interdependencies should be taken into consideration in integrated planning on the city level (BMVBS&BBSR 2009a: 77).

Experience gained with integrated approaches on the neighbourhood level is rich due to the implementation and evaluation of initiatives such as the EU’s URBAN Community initiative or national programmes such as the German ‘Socially Integrative City’. These programmes aimed primarily on counteracting spatial polarization, socio-economic disparities, varying environmental quality or access to social and technical infrastructure within cities. They were most commonly focused on neighbourhoods classified as deprived areas. Their existence is usually interpreted as a result of global economic processes and combating this development became a policy concern in different Member States and cities. The embedment of neighbourhood planning in a citywide context was not least driven by the fear that the existence of deprived areas jeopardizes the overall attractiveness of cities and its economic and social functions. Concerns about intra-city social and economic cohesion are e.g. reflected in following policy objective found in the Leipzig Charter background study: “Disadvantaged population segments and neighbourhoods must not become disconnected from the rest of the city. They must be reintegrated into development processes taking place at the overall urban and regional levels” (BMVBS&BBR 2007: 7). More concrete, the scientific evaluation of existing programmes in France, Germany and the Netherlands illustrates that measures emphasised on the neighbourhood level should be better embedded into strategies for the city as a whole. KUHLE is illustrating this with the example of the job market in deprived neighbourhoods. Generally speaking, employment is seen as an important source for the individual integration in the society. However, fighting unemployment in deprived neighbourhood – as one of the main concerns in these areas – does not only require the creation of jobs. It has to combine these efforts with the overall demands of the city’s economic structure to form the basis for a successful ‘social-spatial integration’ (KUHLE 1999: 113ff.).
The argumentation for the consideration of city-regional interdependencies in integrated planning on the city level differs. It is connected with the EU policy objective of creating urban-rural partnerships as laid out e.g. in the Territorial Agenda. The responsibilities of local and regional authorities as well as the objectives of this partnerships are concretised as follows: “the respective authorities should, as inter-dependent partners, identify their common assets, elaborate joint regional and sub-regional development strategies and in this way jointly lay the foundation for making regions and sub-regions attractive and for enabling investment decisions both by the private and public sector” (German Presidency 2007b: 5). However, the objective of taking city-regional interdependencies in integrated planning into consideration remains vague as long as city-regional linkages are not defined. From a scientific perspective, interdependencies between cities and surrounding municipalities are manifested in physical linkages such as flows of people and goods or less visible flows of information (STEAD 2002, cited from CAFFYN & DAHLSTRÖM 2005: 286). Even though city-regional cooperation takes places between different municipalities, functional interdependencies apart from administrative subdivisions form the basis for the emphasis on integrating regional concerns in urban development planning. Here, single types of interaction such as commuting patterns are too limited to describe city-regional interdependencies (DAVOUDI 2003, cited from CAFFYN & DAHLSTRÖM 2005: 286). Other functional independencies exist for example in terms of technical and social infrastructure, green spaces and recreation as well as housing and economic development. Since integrated urban development planning is not least focused upon enhancing the city’s locational factors, both ‘hard’ (e.g. attractive housing areas and good accessibility) as well as ‘soft’ (e.g. leisure opportunities and environmental quality) locational factors have to be taken into consideration (BMVBS&BBSR 2009a: 24). Here, city-regional cooperation is crucial due to functional interdependencies in the provision of land-usage possibilities for commerce and housing, the improvement of infrastructure as well as the maintenance of recreational sites and the protection of environmental assets.

A much more practical implication for the emphasis on city-regional cooperation is the recognition that multi-faceted challenges such as demographic change and inter- and intraregional competition cannot be dealt by single municipalities alone. To outline these complex processes and interdependencies partly, economic, social and environmental dimensions of age- and income-specific migration patterns between the city and its surroundings can be observed. The loss of high-income households and the concentration of low-income households in the city results in a financial imbalance between cities and the surroundings with negative effects on city-spending for e.g. social infrastructure. Moreover, out-migration is leading to an increase in soil-sealing, the fragmentation of landscape and an increase in pollution resulting from traffic. City-regional cooperation is therefore not least emphasised by organisations such as the German Association of Cities1 - Deutscher Städtetag (DST 2001: 3ff., cited from BMVBS&BBSR 2009a: 15.). Taking this into account, ideally integrated planning on the city level requires the consideration of both, the differentiation, prioritization and concretization of city-wide development objectives on neighbourhood or district level with reference to their characteristics as well as the outline of city-regional inter-dependencies in the goal-definition for urban development. An Integrated Urban Development Concept providing this information can be assessed as ‘comparatively strong’ in line with the flexible definition approach developed in the BMVBS&BBSR study. If these different spatial planes of reference are not addressed, a ‘comparable weak’ level of integration has to be assessed (BMVBS&BBSR 2009a: 44).

---

1 The German Association of Cities is a national local-authority organisation, covering 226 member cities. The association represents the interests of municipalities on higher level, has an advisory function in local government matters and facilitates the exchange of experience in urban development among its members.
2.2.2. Consideration of various thematic fields of activity and subject-specific interrelationships

Urban planning is concerned with the spatial impact of many different kinds of problems and with the spatial coordination of a broad range of policy areas. However, it has been criticised among scientists that urban planning has been long time failed to take the different dimensions of urban development equally or appropriate into account. GREED criticized e.g. that statutory urban planning systems [e.g. in Great Britain] where “set up to deal with physical rather than social issues. Typically, emphasis is put upon ‘land-use’ planning, primarily as reflected in land-use zoning and the creation of spatially focused development plans. Likewise, town planning law has been obsessed with proving ‘change of [land] use’ rather than facilitating the way in which people ‘use land’” (GREED 1999: 21). Consequently, she is arguing to take more “fully the needs of the diversity of human beings who live in our towns and cities” into account to overcome the underlying spatial/aspatial imbalance within existing urban planning (ibid.). A similar argumentation is used among urban environmentalists. Urban environmental problems such as air, soil and water pollution result from various sources and are generated by a variety of factors. Among inefficient energy consumption and spatial behaviour patterns, “inappropriate and/or badly enforced urban environmental policy measures” are seen as the most important factor (VAN CEENHUIZEN & NIJKAMP 1995: 10).

Addressing these issues, integrated planning follows a holistic approach with the consideration of diverse subjects relevant to urban planning as well as its interrelationships. However, compiling a complete list of relevant subjects is impossible. Mentioned subjects in the BMVBS&BBSR study cover fields of action with physical, economic, social, cultural and ecological dimensions (BMVBS&BBSR 2009a: 50f.). In detail, the list includes:

- settlement structure
- urban design and urban renewal
- housing and housing market development
- public spaces and living environment
- green and open spaces
- environment and climate
- traffic and mobility
- technical infrastructure
- economic development
- labour, employment and qualification
- education
- social infrastructure
- social interaction and integration
- culture, leisure, recreation and sports
- public health
- city marketing and public relations

Integrated planning should consider all dimensions of urban development with its broad range of singular topics within the planning process. However, a central requirement is that the individual subjects are not dealt with in an isolated manner. Mentioned in the BMVBS&BBSR study fields of action cover various influential factors as well as resulting effects from intervention in this system (HEIL 2000: 24). Theorists and practitioners in this field are aware that there are shortcomings in the implementation of this dimension due to limited knowledge about the system ‘city’ as well as capacity limitations within administration and the planning documents itself.

These potential shortcomings are reflected in the flexible definition approach. A ‘comparable strong’ level of integration is already reached when a broad range of topics and their interrelationships outside the direct thematic scope of planning are taken into consideration. An example here is to account social concerns in physical urban planning. Is planning e.g. limited to a few topics or the
outline of interrelationships within one single dimension of urban development, a ‘comparable weak’ level of integration has to be assessed (BMVBS&BBSR 2009a: 44).

2.2.3. Involvement of various administrative areas

The dimension ‘involvement of various administrative areas’ covers the institutionalisation of integrated urban development planning within the framework of public administration. The term institutionalisation refers generally to the form of organization of urban planning, the legal framework as well as norms and procedures associated with the planning process. As it had been outlined earlier, various thematic fields of activity should be jointly and equally considered in integrated planning. However, this is contrasted by the prevalent organization of urban planning in local public administration. STREICH identifies at least seven departmental units dealing with urban planning related issues in the German context. This includes despite the urban planning departments, administrative units for environmental concerns, technical infrastructure, housing, economic development, social affairs as well as land and property management (STREICH 2005: 108).

In fact, an inappropriate coordination and cooperation between different departments is seen as one of the main obstacles to achieve an integrated and sustainable urban development. Even though institutional reforms including the introduction of management measures, budgeting and controlling had been undertaken, concludes HEIL that there is a persistence in general conflicts of interest and long-lasting coordination procedures in administration resulting in solutions which are described as the lowest common dominator (HEIL 2000: 28f.).

To overcome these obstacles, experience gained from interdepartmental working groups on the project-level can be used. Examples provided in planning literature are the establishment of cooperation and coordination schemes within the existing administrative structures in the German cities Freiburg and Tübingen. Principles for the successful institutionalisation of interdepartmental cooperation gained include that:

- the interdisciplinary team members should be endowed with decision-making competence;
- the working groups should gain political support;
- processes and decision-making should be transparent and traceable;
- there should be a steady internal and external exchange of information;
- the team members should attend the planning process from first conceptions to its implementation;
- the team members, especially those with key functions, should remain the same during the whole planning process; and
- there should not be a limited focus on the single project (SCHAUBER 2003: 5)

Within the flexible definition approach used for the analysis, the question of the institutionalisation of interdepartmental coordination and cooperation is mainly covered under the management dimension of integrated planning. The description of this dimension is much more narrowed down to the quantitative dimension of interdepartmental cooperation. Here, a ‘comparatively strong’ level of integration is reached when a ‘wider range’ of departments is involved in planning than explicitly relevant. The limitation to an involvement of administrative departments directly relevant for the urban development concern should be assessed as ‘comparable weak’ integrated (BMVBS&BBSR 2009a: 44). This approach reflects the challenges associated with interdepartmental cooperation which partly result from communication barriers or a different status given to single administrative
units in terms of personal and financial capacity. Meaningful for the assessment of this dimension in the analysis is that the involved departments are explicitly mentioned in the planning document.

2.2.4. Participation of players from outside the spheres of politics and public administration

In the research on public administration, broad stakeholder involvement and public participation is covered under the term ‘collaborative governance’. Characteristic for this mode of governance is, that it “brings multiple stakeholders together in common forums with public agencies to engage in consensus-oriented decision making” (ANSELL & GASH 2008: 543). Its emergence is interpreted as “a response to the failures of downstream implementation and to the high cost and politicization of regulation.” It is seen as an „alternative to the adversarialism of interest group pluralism and to the accountability failures of managerialism (especially as the authority of experts is challenged)” (ibid.). Another argument used to explain the increase of the demand of discursive policy approaches is the growth and specialization of knowledge and development of complex institutional capacities (ibid.: 544). In planning theory, collaborative planning is seen as a tool to identify and reduce conflicts in an early stage of the planning process and as source to increase administrative legitimacy in planning implementation (HEINZ 1998: 243).

Integrated planning should ensure the participation of both, organised groups with defined interests such as housing companies, public or private agencies and associations, different interest groups as well as individual citizens or local business actors. Here, participation should go beyond information or discussion-sessions as a common legally-binding requirement of planning legislation and allow influence on goal-definition and priority-setting during the planning process. The exact setting of collaborative schemes is depending on the context and level of planning but should in general allow participation from the conceptualisation to the implementation of plans. Commonly used are working groups with members of administration, politics and (organized) interest groups. Whereas these working groups allow the consultation of external experts, they often fail to provide a suitable basis for public participation. More appropriate tools for public participation are workshops, regular forums on the neighbourhood level or surveys to identify public demands. This also means that there should be efforts to activate groups or individuals with substandard participation in planning such as youth, people with migration background or employed persons. Further tools are public relations via media, including new media, and the establishment of offices in the respective districts to allow low-threshold information supply (BMVBS&BBSR 2009a: 59f.).

To distinguish between a ‘comparatively low’ and ‘comparatively strong’ level of integration concerning the participation of players from outside the spheres of politics and public administration, the flexible definition approach refers to the legal framework for participation. A ‘comparatively strong’ level of integration is reached, when methods and intensity in participation go beyond the legal requirements. This is reached by the establishment of working groups, public forums or future conferences with multi-actor settings (ibid.: 44). Further quality criteria for the participation procedure and their factual input are not mentioned in the definition.

2.2.5. Pooling of financial resources

A further dimension of integrated urban development planning is the pooling of financial resources from different sources such as European and national programmes, different municipal departments as well as private businesses and civil-societal sources. Policy documents put emphasis on this pooling of financial resources and coordinate public and private spending to enhance the effectiveness of scare public funds and improve investment certainty. Similar, scientists dealing with
urban economics such as HARVEY identified a ‘shift to entrepreneurialism in urban governance’ leading to changes in organization and management, higher concerns about efficiency and new schemes for the allocation of resources in local governance. This process, identified in many advanced capitalist countries, is characterised as a respond to the erosion of economic and financial base due to deindustrialisation, structural unemployment and fiscal austerity as characteristics for post-Fordism societies as well as neo-liberalist phenomena such as market rationality and privatisations (HARVEY 1989: 4f.). Special emphasis in urban development planning is given on the promotion of locational factors as competitive advantages in negotiations with international firms and local authorities. In this inter-urban competitive environment, local authorities try to attract external sources for funding, direct investment or employment. Following Harvey, the ‘centrepiece of new entrepreneurialism’ became public-private partnerships as funding-schemes. He criticizes that the “local state [became] the facilitator for the strategic interests of capitalist development” whereas the implementation of welfare-policy and the provision of technical and social infrastructure has been neglected by local authorities (ibid.). However, beneficial and unbeneficial effects of public-private-partnerships as well as the complex interplay between macro-economic developments and the institutional response on different levels cannot be comprehensively examined within the framework of this thesis.

The reader’s attention should be just directed to the existing programmatic frameworks for urban development on national levels which provide funding and emphasise financial resource pooling. In line with HARVEY’s ideas, the emergence of these programmes can be explained by macro-economic developments or market failures which have to be corrected by public spending. A common assumption is that public, area-based programmes combating social exclusion such as the German ‘Socially Integrative City’ are based on the traditional understanding on the emergence of deprived neighbourhoods as a response to macro-economic development. Here, a spatial concentration of poor and excluded people is explained by general processes of socio-economic segregation, exclusion and increasing polarization in cities as a result of global and local economic restructuring processes and inappropriate welfare policies. Such a simplification is criticised by SKIFTER ANDERSON due to the evidence on the importance of other factors influencing deprivation and segregation such as self-perpetuating processes of social and physical decay (SKIFTER ANDERSEN 2002: 153f.). A similar complex background can be identified in the federal-Länder programme ‘Urban Renewal East’ in the German context. Nevertheless, driver for public intervention and the attempt in the stabilisation of the housing market is here not least a market failure with fundamental socio-economic and physical consequences (KOFNER 2004: 109).

Important for this thesis is that both programmatic frameworks relevant for the German context – ‘Socially Integrative City’ and ‘Urban Renewal East’ – put emphasis on pooling financial resources from national, regional and local level as well as private sources. Furthermore, a central requirement for the financial request for funding from national/regional level was the existence of an Integrated Urban Development Concept on the neighbourhood or city level. Consequently, this requirement had been the most important (financial) stimulus for the first development of such concepts in the municipalities (BMVBS&BBSR 2009a: 73f.). It can be therefore assumed that all concepts – as long as they include statements covering the financing of measures – meet the criteria for a ‘comparatively strong’ level of integration in this dimension. According to the flexible definition approach, this level is reached when financial resources for the implementation of measures originate from more than one single source. That financial resources from outside a single programmatic framework are considered is unfortunately not covered in this definition.
2.2.6. Management of integrated action

As outlined, integrated planning on the local level requires cooperation and coordination among policy-makers, various administrative actors, external stakeholders and the public. This complex undertaking challenges existing planning organization and practices. Therefore, the establishment of new inter-organizational linkages and management practices is required to create a framework for decision-making and action among the involved stakeholders. In other words, integrated planning demands institutional design. Following ALEXANDER, “institutional design means designing institutions: the devising and realization of rules, procedures, and organizational structures that will enable and constrain behaviour and action so as to accord with held values, achieve desired objectives, or execute given tasks. By this definition institutional design is pervasive at all levels of social deliberation and action, including legislation, policymaking, planning and program design and implementation” (ALEXANDER 2005: 213).

Since urban planning takes always place in specific institutional settings, aspects of institutional theory should be introduced here. According to NORTH, “a living institution [...] is a collection of practices and rules [...] (of) appropriate behaviour for actors in specific situations [...] embedded in structures of [...] explanatory (and) legitimating [...] meaning” (NORTH et al. in RAADSCHNEDERS 1998: 568, cited from ALEXANDER 2005: 210). The consideration of both, formal institutions (constitutions, laws, organizations, regulations, plans and programs of action) or informal institutions (norms, routines and planning processes) is crucial here. Even though integrated planning takes also place in informal settings, e.g. ‘played by ear’ in small municipalities, special emphasis in managing integrated action is given to formal institutions. This accounts similar for institutional design theory with its focus on the creation and implementation of formal institutions as a product of intentional decision (ALEXANDER 2005: 213). ALEXANDER distinguishes between three different levels of institutional design. They include:

- the highest level which applies to societies as a whole or addresses important macro-societal processes and institutions such as the drafting and adoption of national and supra-national constitutions and legal codes
- the meso-level which includes the institutional design of planning and implementation structures and processes such as the establishment and operation of interorganizational networks, the creation of new organizations and transformation of existing ones as well as the introduction of incentives and constraints in the form of laws, regulations and resources for the development and implementation of policies, programs, projects and plans
- the lowest level which refers to intra-organizational design and addresses organizational sub-units and small semi-formal or informal social units, processes and interactions, such as committees, teams, task forces, work groups etc. (ibid.: 214f.)

All levels of institutional design can be identified within the discourse about integrated urban development planning. The Leipzig Charter has been adopted within a supra-national setting and stimulated a discussion about its implementation on European, national and local level. Crucial for this thesis is the emphasis which is given to intra-organizational design for the management of integrated urban development planning on the local level. Here, the BMVBS&BBHS study identified two different levels: the steering level (e.g. interdepartmental steering rounds) and the working level (e.g. project or working groups). The analysis of the institutionalisation of integrated planning on the local level undertaken in this study illustrated a great variety of organisation and management forms.
in dependency of the thematic planning focus, the overall character of the planning document or the size of the municipality. A general conclusion was that a 'high level' of institutionalisation was reached in strong implementation-oriented planning approaches which covered a broad range of topics relevant for urban development (BMVBS&BBSR 2009a: 68). The study also differentiated several forms of management and organisation in terms of their level of institutionalisation (Fig. 1).

<table>
<thead>
<tr>
<th>weak level of institutionalisation</th>
<th>strong level of institutionalisation</th>
</tr>
</thead>
<tbody>
<tr>
<td>- new forms of management and organisation have been explicitly not established</td>
<td>- steering by the mayor or a cross-administrative unit with complex decision-making function and a defined budget</td>
</tr>
<tr>
<td>- informal management and organisation practices ('played by the ear')</td>
<td></td>
</tr>
<tr>
<td>- project and working groups with administrative representatives and external stakeholders, without decision-making competence</td>
<td>- steering rounds covering a broad range of stakeholders with direct reference to the preparation of a specific planning concept</td>
</tr>
<tr>
<td>- regular, internal steering rounds without explicit reference to the planning concept preparation</td>
<td></td>
</tr>
</tbody>
</table>

Fig. 1: Management in integrated urban development planning and level of institutionalisation

Source: BMVBS&BBSR 2009a: 71, translated from German original

The institutionalisation of integrated urban development planning covers ideally both, the steering and working level. On the steering level (mayor, cross-administrative units, steering rounds with or without the participation of external stakeholder), tasks are the adjustment of planning objectives and aims, the initiation and permission of projects, the decision about the thematic focal areas of activity as well as the coordination of financial and personal resource allocation. Its institutionalisation can be embedded into existing forms of administrative organisation or requires the establishment of new management schemes. This institutionalisation on the steering level should be completed by suitable management and organisation forms on the working level. This includes interdepartmental project and workings groups under the steering of one administrative unit with the permanent or punctual participation of external stakeholders or politicians. Main task is here the elaboration and preparation of the planning document itself including the discussion about primarily results of the underlying analysis or concept drafts. Further tasks cover the formulation of own recommendations or the contribution to decision-making about objectives and measures by consensus. However, there is no decision-making function on the working level. An alternative form of institutionalisation to this process-oriented approach on the working level is the realization of workshops or future conferences which allow the establishment of thematic working groups with broader participation including the public (ibid.: 72ff.).

Several shortcomings could be observed in the management of integrated urban development planning on the local level. They include that the institutionalisation of integrated planning is often limited to the working level and the preparation of the planning document, not its implementation. Nevertheless, a 'comparable strong' level of integration is reached according to the BMVBS&BBSR study when any form of institutionalisation has been established. This is contrasted by a 'comparable
weak’ level where integrated urban development planning is subject to informal management and organisation practices (BMVBS&BBSR 2009a: 44).

2.2.7. Arrangement of development concepts

“Making most development decisions one by one – with focus on process, without benefit of something called a plan – is to forget why the field exists” (JACOBS 2000: 49, cited from HOPKINS 2001: 1). A common definition about what a plan or concept for urban development is does not exist since a great variety can be observed. Plans have a different spatial and thematic scope, cover short- or long-term time horizons and are prepared by various actors with varying interests as well as in different settings. A common ground for the drawing up of plans is the belief that plans can contribute to improve on outcomes of urban development which would not be achieved without a plan and the underlying analysis and definition of strategic objectives. However, there are uncertainties and imperfections since plans for urban development deal with the complex system ‘city’ and we lack complete knowledge about future development.

Ideally, “a plan identifies a decision that should be made in light of other concurrent or future decisions. Plans are useful if these decisions are interdependent, indivisible, irreversible, and face imperfect foresight” (HOPKINS 2001: 1f.). In other words, “the plan presents arguments sufficient for decision makers with authority to make choices […] about current actions and actions which may taken elsewhere, in the future and by others” (ibid.). Planning literature is full of ideal plans and planning processes. However, there is a risk that they fail to happen or really affect decisions. Planners tend to use the infeasibility of ideal plans to argue that they have a limited use in real urban development situations in general. This is contrasted by the citizens’ view on plans. They “tend to think of plans that are all-controlling, comprehensive solutions or all-controlling disruptions of individual decision making” (ibid.: 3). In fact, “real plans are big and little, support private and public decisions, and affect decisions through information, not directly through authority” (ibid.). However, plans cannot solve all problems of urban development due to several limitations and its embedment in democratically legitimated decision-making structures. Outcomes of plans are much more the result of democratic governance and regulations: “in simplest terms, plans provide information about interdependent decisions, government makes collective choices, and regulations set rights” (ibid.: 5).

These theoretical considerations are reflected in the discourse about integrated urban development planning. The function of a plan is here given to Integrated Urban Development Concepts. Planning literature is rich in outlining recommendations for the ideal arrangement of these concepts. Following a position paper of the German Association of Cities, these planning concepts should:

- include strategic elements such as a comprehensive analysis of the current situation, goal-definition, time schedules for the implementation of measures and information about the monitoring
- provide guidance for the process of its implementation with the simultaneous consideration of both, flexibility in the goal definition and a binding character for the stakeholders
- form a basis for the cooperation and coordination among different policies, administrative departments and thematic fields of activity
- be prepared under participation of different stakeholders outside the spheres of politics and public administration
- follow an area-based approach with consideration of spatial interdependencies
- take account of the implementation of cooperative financing schemes such as public-private-partnerships, private funding sources and resource pooling from different public sources
- be prepared and implemented within adequate urban development management schemes (DST 2003: 5, cited from BMVBS&BBSR 2009a: 22)

Following this comprehensive approach, the planning concepts should reflect all the dimensions of integrated urban development planning presented beforehand. However, planning practice illustrates several shortcomings due to varying preconditions in several cities as well as different administrative capacities and approaches in political priority setting. Integrated Urban Development Concepts vary therefore and have individual strengths and weaknesses. CARL and WUSCHANSKY tried to typify adopted integrated urban development concepts in North Rhine-Westphalia based on their strategic- or implementation-orientation, their spatial level of reference and the level of concretisation in terms of development goals and projects (Fig. 2). They distinguished here between three types of Integrated Urban Development Concepts: strategic and visionary concepts, concepts for spatial organisation of development and operationalised action plans (CARL & WUSCHANSKY 2010: 105).

![Fig. 2: Typology of Integrated Urban Development Concepts](source: CARL & WUSCHANSKY 2010: 105, translated from German original)

Within the flexible definition approach used for the analysis, the obstacles resulting from the limited capacity of the planning documents have been taken into consideration. This means that a ‘comparable strong’ level of integration is reached in the arrangement of development concepts, when they provide information about motive and objective of integrated action, cover a broad range of thematic fields and their interdependencies, include information about cooperative concerns such as stakeholder involvement and public participation as well as further elements of comprehensive planning such as financing plans and time schedules for the implementation of emphasised measures and projects (BMVBS&BBSR 2009a: 45). These requirements are less ambitious than the presented
approach undertaken by the German Association of Cities, but should highlight the differences to development concepts which are limited to the description of single planning projects and associated components (‘comparable weak’).

2.3. Integrated planning approaches in planning theory

The following chapter represents the author’s approach in embedding the planning concept of integrated urban development planning in a broader planning theoretical discourse. It covers rational, pragmatic, collaborative and strategic planning since the current discourse about integrated urban planning is shaped by these theoretical considerations even though reference is partly missing in literature. The term theory is used in a broader sense since it encompasses various loosely associated concepts and frameworks with overlaps and interconnections. The presentation is partly influenced by a work of LAWRENCE who embedded environmental impact assessment in the theoretical planning discourse with a similar objective as the author of this thesis. As important as the planning theories is the experience gained with their implementation among practitioners. This section therefore also reviews the practical implementation of the covered theories in the German context.

2.3.1. Integrated planning from a rational planning perspective

Core of rational planning theory is a planning approach following the steps survey, analysis and plan. As an idealized planning model, rational planning is logical, consistent and systematic. In the 1960s, further elements were added to the rational planning discourse. This included a problem, need or opportunity which should be addressed in planning as well as goals, objectives and criteria which should be achieved by planning. Further elements cover the consideration and evaluation of alternatives as well as explicit links to the implementation of planning. Rational planning and its outcomes should moreover provide a clear basis for decision-making with scientific foundation. LAWRENCE summarizes the assumptions associated with rational planning as follows:

- “Reason systematically applied (central to process);
- Unitary public interest (i.e., a single set of goals, objectives and criteria);
- Comprehensive analysis of available ends and means (selection of best alternative);
- A predictable and controllable environment;
- Planner as an independent expert advisor with the planning process separated from the political process;
- A pluralistic society where competing interests all have access to power; and
- The product of the process (i.e., the plan) will be implemented” (LAWRENCE 2000: 608f.).

The practical implementation of rational planning in the 1960s/1970s has been the introduction of comprehensive planning, master planning or Stadtentwicklungsplanung (STEP) in the German context. Its introduction in the German context has to be seen in the context of the end of the West-German ‘Wirtschaftswunder’, a recovery-period characterized by economic growth and the re-integration into the western economic sphere. However, this integration revealed competitive disadvantages and a first recession increased the necessity of reform in (economic) policy and public administration. In line with a Keynesian economic policy, efforts were made to modernize public administration towards intensification of coordination and integration of public authorities’ activities on different levels (HEINZ 1998: 234). In the context of urban planning, STEP had been introduced on
a broad scale to steer municipal development based on scientific analysis and prognoses in line with rational planning theory (BODAMMER & BRANDSTETTER 2009: 108). STEP on local level allowed the vertical integration of municipalities in the highly hierarchical administrative structure of West-Germany in the field of planning and the vertical integration of sectoral planning towards a city-wide development programme. This included the coordination of investment and budgeting. This process has been mainly driven by bigger German cities and was influenced by factors such as shortages in public finance and a rising awareness that complex challenges for urban development could not be solved in sectoral planning approaches (HEINZ 1998: 335f.).

Characteristics of STEP were a high rationality in decision-making, evidence-based planning and a highly technocratic approach to steer and coordinate the complex processes behind urban development (HEINZ 1998: 235 & REIß-SCHMIDT 2002: 3). STEP was institutionalised by the evolution of local urban development planning departments and associated statistical units, the establishment of inter-departmental steering groups, the engagement of scientific staff, the enhancement of empirical methods in planning as well as stakeholder involvement including public participation (HEINZ 1998: 237). Whereas STEP raised the transparency of public administration and rationality in decision-making as well as the awareness of the complexity in urban development, it failed to steer the factual development of the municipalities and became obsolete in the mid-1970s.

The reasons for this are multi-faceted and cover internal and external factors. Rational planning has been not least intensely criticised due to this shortcomings since the 1960s. The major negative tendencies ascribed to rational planning and its implementation are reflected in the retrospect on STEP of the 1960/70s in the German context. HEINZ concludes that STEP just added another administrative unit without replacing sectoral planning. Moreover, STEP has not been implementation-oriented enough and was faced with limited financial and political scope of action. Evidence-based planning did also not necessarily lead towards practicable and favourable planning solutions (HEINZ 1998: 237f.). In a retrospect, the German Association of Cities outlines the neglect of conflicts between different interests among stakeholders, the ignorance of societal development, the underlying technocratic and autocratic ideology as well as the belief in political relevance of empirical date in decision making as causes for the failure of STEP (DST 2004: 5, cited from BMVBS&BBSR 2009: 18). In contrast, the mismatch between objectives and reality constituted in ambitious goals and limited efforts in its implementation as well as varying external circumstances such as a different economic perspective following the oil crisis in 1973, a rising awareness for ecological matters and a general deregulation in public administration are identified by REIß-SCHMIDT as drivers behind the decline of STEP (REIß-SCHMIDT 2002: 4).

The negative tendencies ascribed to rational planning in general are summarized by LAWRENCE:

- “Autocratic tendencies (‘experts’ dominate process with peripheral role for public);
- Fails to consider resource and cognitive limits;
- Overestimates ability to predict and control environment (weak on implementation);
- Insufficient consideration of extrarational (creativity), of synthesis (compared to analysis) and of nontechnical and nonscientific knowledge, experience, and wisdom (scientific, technical, and quantitative bias);
- Fails to adequately consider the collective nature of planning and the central role of dialogue;
• Fails to consider inequities and the political nature of planning (may reinforce inequities); and
• Fails to integrate substantive issues (e.g., social and environmental needs) and to design the process to suit contextual characteristics” (LAWRENCE 2000: 610).

Nevertheless, elements of rational planning have persisted in planning practice. They can be also found in integrated urban development planning as used in this thesis. In detail, this covers the emphasis on comprehensive analysis, the definition of goals and the focus on implementation in integrated planning processes. Further comparable elements are the holistic approach with emphasis on interdepartmental cooperation as well as financial resource pooling. Due to these analogies, the risk of a persistence of the negative tendencies of rational planning is given. It has to be clearly said that new integrated urban development planning approaches are not solely a copy of the early comprehensive planning approaches. Following REIB-SCHMIDT, integrated planning is not focused on achieving “right” solutions for urban development following a technocratic approach. It has to be rather understood as a “learning system” with strong back coupling between top-down requirements and bottom-up initiatives (REIB-SCHMIDT 2002: 13). The consideration of further planning theories and their implementations is therefore crucial.

2.3.2. Integrated planning from a pragmatic planning perspective

Pragmatic planning is a normative planning concept which has the premise that “knowledge-based experience should guide planning action” (LAWRENCE 2000: 611). Central elements of a pragmatic planning approach are negotiations and bargaining among a broad range of stakeholders including public and private actors. This process is supported by practice and experience-oriented studies. However, there is a lack of defined goals. In contrast, status-quo changes should be achieved through a set of small steps. LAWRENCE summarises the assumptions of pragmatic planning as follows:

• “Each planning situation is unique;
• Planning is partisan, partial, collective and highly constrained;
• Society is atomistic (individuals maximize own ends), fragmented and pluralistic;
• The planning environment is complex, unstable, and uncertain; and
• The potential for controlling the planning environment is limited” (LAWRENCE 2000: 611).

The implementation of pragmatic planning is pretty much a reaction on the critics about rational planning. In the German context, STEP has been replaced by neighbourhood- and project-based planning, a dominant sectoral planning approach as well as new forms of cooperation and public participation in the 1980s (HEINZ 1998: 239). The new planning model is characterised by small steps in flexible systems, short-term solutions and adaptive structures. It is described as incrementalism. Here, coordinated steering mechanism had been replaced by a muddling-trough strategy (KÜHN 2008: 232). Shortcomings of this incrementalism were criticized. Criticism covered the limited capability of project-orientation to handle complex and structural challenges in urban planning, the missing embedding of isolated projects in a overall strategic framework as well as the threats associated with short-term interests of single actors (HÄUßERMANN & SIEBEL 1993: 143, cited from KÜHN 2008: 232).

Integrated urban development planning as used in the context of this thesis is opposed to pragmatic planning in its spatial scope, its emphasis on integrating several sectoral planning efforts and its long-term perspective. However, key assumptions of pragmatic planning are also reflected in the
discourse about integrated urban development planning. This includes individual initial conditions for urban development, the awareness for the complexity and uncertainty in urban development as well as the need of bargaining between different stakeholders and interests. Methods introduced in incrementalism such as workshops and planning forums are still emphasised in integrated urban development planning.

2.3.3. Integrated planning from a collaborative planning perspective

One of the most recent planning paradigms is highlighted as collaborative planning based on a "communicative turn" in the 1990s which relativises public authority in planning (Healey 1997a: 28f.). The collaborative planning approach combines two components: the focus on the communication act itself and the consensus building procedure. It builds upon other planning theories such as pragmatic planning and theories outside the field of planning such as communication theories. It is both, an explanatory concept for planning as communicative act and a normative concept to enhance communicative competence. Key elements cover for example minimizing barriers for information flow and public participation, improving the communicative skills of actors in planning and the collective search for a common ground through discussion and negotiation. Its contribution to the planning process is seen in raising the transparency of decision-making, coping with uncertainty and conflicts, finding creative solutions and reach a higher level of public agreement, acceptance and support (Lawrence 2000: 616f). Common assumptions associated with collaborative planning are:

- "Communications and interactions are central to planning;"
- "The public interest is jointly discovered and willed;"
- "Information is embedded in understandings, practices, and institutions;"
- "Theory and practice and personal and processed knowledge are merged; and"
- "Planners require skills in process organization, communicative action, creative problem solving, interpersonal relations, consensus building, and conflict resolution" (ibid.).

Central characteristics of the cooperative approach in planning are broad stakeholder involvement and public participation to reflect different perspectives among actors in urban development. Its implementation in the 1990s in the German context included discursive and multi-sectoral planning approaches which were dealing with the city as a whole and a long-term perspective for urban development. Consequently, urban development planning could not be solely reduced to its political and administrative origin anymore. It evolved much more to a discursive procedure. Here, Heinz interprets urban development in line with the collaborative planning approach as the result of an interactive and consensus-oriented cooperation process among different stakeholders (Heinz 1998: 242). This referred to (new) modes in urban governance which made use of cooperative instruments such as neighbourhood conferences and forums, round tables and thematic working groups. A closer look on these methods reveals that they partly originate from incrementalism. Critics on collaborative planning cover that participation is often limited to certain groups with defined interests (ibid.), that substance and outcome of planning could suffer from a narrowed focus on process-orientation or consensus building and that communicative planning may not be an adequate response to complex challenges which require expert knowledge and long-term perspective (Lawrence 2000: 617).

Broad stakeholder involvement and public participation are central elements in integrated urban development planning. The focus is here primarily its institutionalisation beyond the legal framework.
for planning. This is particularly true for consensus-oriented goal-definition and the determination of measures within an integrated planning process which require broad acceptance or even participation for its implementation. In line with theoretical concerns, the role of the planner changed. In collaborative and integrative planning, the planner should contribute to discussions with data, ideas and strategies. Limited emphasis is given to the quality of these collaborative concerns. Communicative theory covering principles, analytical frameworks and methods could be stronger used to strengthen this dimension of integrated urban development planning.

2.3.4. Integrated planning from a strategic planning perspective

Since strategic planning is a comparable new theory, no broadly accepted definition exists. In the Anglo-Saxon context, strategic planning is widely understood as a social process for the spatial management of structural change. This is illustrated by a citation from Healey: “[Strategic planning] is a social process through which a range of people in diverse institutional relations and positions come together to design a planning process and develop contents and strategies for the management of spatial change. This process generates not merely formal outputs in terms of policy and project proposals, but a decision-framework that may influence relevant parties in their future investment and regulatory activities” (Healey et al. 1997b: 5). In the German context, strategic planning is much more understood as syntheses of comprehensive planning and incrementalism. Here, strategic development concepts should combine visionary and implementation-oriented concerns equally as lessons learned from rational and pragmatic planning theory. In other words, visions for urban development should be supplemented by adequate implementation measures (Brake 2000: 285). However, conflicts emerge from the opposed character of both planning theories. This covers: long-term vs. short-term perspective; city-wide or neighbourhood focus; public vs. private actors and hierarchical vs. network planning (Kühn 2008: 232).

An approach in outlining the characteristics and assumptions of strategic planning has been made by Ritter (2006: 139f., cited from Kühn 2008: 233). According to the author, strategic planning:

- accepts the limits of rationality by taking uncertainties, partial information and unforeseeable behaviour of stakeholders into consideration
- claims for a steering function outside classic hierarchical settings
- aims on providing frameworks for development, rather than detailed control
- reduces the holistic approach to focus areas of activity and key projects
- supplements classical planning processes with the use of cooperative instruments
- is not limited to a city-wide spatial level of reference and covers city-regional concerns (ibid.)

This mixture of elements from rational, pragmatic and collaborative planning theory forms the basis for criticism. Heinz raises for example the question if strategic planning is an independent planning theory or just a collective term for the currently exiting spectrum of planning practices (Heinz 1998: 243). Spokesperson of strategic planning theory put therefore emphasis on outlining differences between strategic planning and other theories such as rational planning. This covers:

- the selectivity of topics covered under strategic planning based on an analysis of strengths and weaknesses, not a holistic approach
- a turning away from the classic scheme of analysis, goals and measures towards an interplay between “orientation and implementation”
- an orientation on visions as framework for urban development, not on sectoral objectives
- a focus on projects in specific areas rather than a long list of measures in the entire city as well as
- an embedment of strategic planning into new modes of governance rather than a classical division between private and public actors (KÜHN 2008: 233f.).

The normative strategic planning model (Fig. 3) is elaborated under consideration of inter-departmental cooperation, stakeholder involvement and public participation under the umbrella of ‘governance’, the utilization of SWOT-analysis (strengths, weaknesses, opportunities and threats) as basis for the determination of strategies, the orientation on visions which combine socio-economic and physical-spatial dimensions, the focus on projects which initialise further developments, monitoring and evaluation as well as the interplay between short- and long term perspective and varying spatial focus in orientation and implementation (ibid.: 234f.).

Examples for the implementation of approaches of strategic planning in the German context are the federal-Länder programmes ‘Urban Renewal East’ and ‘Socially Integrative City’ as well as regional development concepts. However, the implementation is problematic due to difficulties in the formulation of common visions and guiding principles which meet the criteria of strategic planning or the focus on projects which find general consensus and have publicity effects but do not address relevant problems in urban development (ibid.: 240).

The reflection of strategic planning theory illustrates a great consistency with the integrated urban development planning concept. This covers the emphasis on the consideration of different spatial levels in urban planning, interdepartmental cooperation, broad stakeholder involvement and public participation, new forms of governance as basis for the management of spatial change as well as the focus on implementing visions for urban development with concrete projects and measures. Moreover, analytical elements such as a SWOT-Analysis, monitoring and evaluation can be found in both discourses. The similarities can be traced back to the joint assumption that strategic planning and integrated urban development planning are seen as adaptation to the complex challenges associated with urban development. A main difference is the persistence of a holistic approach in integrated urban development planning which is contrasted by the thematic focus in strategic planning.

The drawing up of Integrated Urban Development Concepts is crucial in both. In line with strategic planning theory, their main functions are to reflect the interplay between orientation and implementation and to provide a framework for action. The recommendations for the arrangement
of these concepts provided by the DST include also strategic elements. However, it remains unclear if strategic planning is an independent theory. This is also illustrated by the flexible definition approach used in this thesis which represents a perfect example of a compromise between theoretical considerations shaped by various theories as well as the municipalities view which mainly influenced by practical experience.

2.4. Integrated planning and sustainable urban development

A thesis on integrated urban development planning requires the introduction of the concept of sustainable development since the planning concept is seen as a prerequisite for ‘Urban Sustainability in Europe’. More concrete, the background study in preparation of the Leipzig Charter points out that the integrated planning approach “has proved to be an effective instrument to achieve sustainable urban development in accordance with the European Sustainability Strategy” (BMVBS&BBR 2007: 14). This chapter will define the concept of sustainability and provide a link with integrated urban development planning.

2.4.1. The concept of sustainable development - definition

The term sustainable development is used in ambiguous ways and with different connotations. The classic definition is provided in *Our Common Future*, a report published by the World Commission on Environment and Development (WCED) in 1987. The report, which is also known as Brundtland report, defines sustainable development as “development which meets the needs of the present without compromising the ability of future generations to meet their own needs” (WCED 1987: 43). Nevertheless, sustainability remained a fluid concept even though it gained political awareness as the UN Conference on Environment and Development in Rio de Janeiro, Brazil, in 1992 illustrates. In the “best Brundtlandian spirit” (Steurer & Martinuzzi 2007: 148), the summit document Agenda 21 laid out principles of sustainable development. They include a „commitment to equity and fairness“, a „long-term view that emphasizes the precautionary principle“, and that „sustainable development embodies integration, and understanding and acting on the complex interconnections that exist between the environment, economy, and society“ (UN 2010: 6). The common notion that sustainability has a multi-dimensional character is also taken into consideration in European policy documents. The first EU Sustainable Development Strategy of 2001 highlights the interdependencies between the economic, social and environmental pillars: “Achieving [long-term sustainability] in practice requires that economic growth supports social progress and respects the environment, that social policy underpins economic performance, and that environmental policy is cost-effective” (European Commission 2001: 2). Both, governments and bottom-up initiatives, have taken up sustainable development as a guiding principle or ambitious goal but implementation has proven to be difficult. A reason here is that “the interpretation of the concept is strongly dependent upon the particular perspective of specific actors” (VanCeexhaven & Nijkamp 1995: 4).

2.4.2. Linking sustainable and integrated urban development planning

Outside the spheres of politics, there has been no obvious link between sustainability as a long-term objective on the one hand and the integrated approach in urban development planning one the other so far. In fact, poor evidence can be found in scientific literature for the existence of such a link due to difficulties in the operationalisation and institutionalisation of sustainable development. A comparable flexible definition framework as described for integrated urban development planning is missing here. Nevertheless, an approach in linking both concepts can be undertaken via a definition
of urban sustainability provided by VAN CEENHUIZEN and NIJKAMP. According to them: “Sustainability in an urban setting describes the potential of a city to reach qualitatively a new level of socio-economic, demographic and technologic output, as well as environmental conditions which in the long run reinforces the foundation of the urban system. Sustainable cities are cities where socio-economic interests are brought together in harmony (co-evolution) with environmental and energy concerns in order to ensure continuity in change” (VAN CEENHUIZEN & NIJKAMP 1995: 5). This definition is based on the assumption that cities are a dynamic, interconnected and complex system where isolated or sectoral planning approaches are insufficient in tackling challenges associated with urban development. With emphasis on the environmental dimension of urban development, the authors conclude: “by conceiving environmental problems in their context and complexity, planning for sustainability aims at capturing as much as possible of cause-impact chains and interrelationships between such chains in order to solve these environmental problems” (ibid.: 6). This also accounts for the other pillars of sustainable development.

In this respect, integrated planning can be very much understood as an interdisciplinary planning approach which takes all this dimensions of urban development into consideration. However, the need for its implementation cannot be solely traced back to the multi-faceted character of challenges for urban development. Also obstacles for the implementation of a sustainable urban development or further characteristics of the planning subject ‘city’, the planning system and the planning process have to be taken into account. Following VAN CEENHUIZEN and NIJKAMP, they cover:

- “a multi-actor situation
- multiple institutional barriers
- a multi-layer policy and planning organization (local, regional, etc.)
- multi-faceted and interrelated policy and planning fields
- inertia in urban adjustment processes
- a segmentation within policy and planning institutions
- a strong need for the chain approach to environmental problems” (ibid.: 19f.)

However, there is a broad consensus that urban sustainability can benefit from an integrated planning approach among experts. Following advantages of the integrated urban development planning are outlined by an EU expert group on the urban environment in a document in preparation of the First European Conference on Sustainable Cities and Towns which took place in Aalborg, Denmark, in 1994:

- “The approach operates over a range of spatial scales, related to the levels at which environmental problems arise and at which they cause damages.
- It enables to tackle a high complexity.
- It allows for community involvement and it is open and democratic in operation.
- It seeks to consider future effects and implications on different actors in the urban community.
- It enables to find a conscious balance between economic, social, and environmental objectives, whereas the latter are increasingly used to drive policy and planning processes” (EU Expert Group on the Urban Environment 1994, cited from VAN CEENHUIZEN & NIJKAMP 1995: 20).
It remains unclear if these statements are based on scientific evidence or are positive assumptions used in the political discourse. Moreover, they do not provide any information how the sustainability concept should be operationalized in urban planning. An approach in linking sustainability and integrated urban development concept has been undertaken in a study on Urban Development Funds in Europe - Ideas for implementing the JESSICA Initiative. Background is here that the planning document forms the basis for a financial support from new European funding schemes such as the Joint European Support for Sustainable Investments in City Areas (JESSICA) initiative. In addition to general advices for the drawing up of these planning concepts, “hints without obligation” at the content concerning economic, social and ecological sustainability were given (BMVBS&BBSR 2009b: 104). Details about guiding principles and relevant goals are provided in table 1.

Tab. 1: Hints at the content of integrated urban development plans in terms of sustainability dimensions

<table>
<thead>
<tr>
<th>Guiding principles and relevant goals for integrated urban development planning</th>
<th>Economic Sustainability</th>
<th>Social sustainability</th>
<th>Ecological sustainability</th>
</tr>
</thead>
<tbody>
<tr>
<td>• to consider of the impact on the job market and the local economy</td>
<td>• to focus on disadvantaged neighbourhoods with social issues</td>
<td>• to promote sustainable forms of transportation, especially in public transport, which reduce emissions and lower energy consumption</td>
<td></td>
</tr>
<tr>
<td>• to attract innovative companies and business operations, which strengthen the competitiveness of the business location</td>
<td>• to improve social infrastructure and integrating new populations</td>
<td>• to lessen and recycle waste to reduce resource consumption</td>
<td></td>
</tr>
<tr>
<td>• to support research facilities to promote the growth of the local economy and attract new companies</td>
<td>• to improve educational facilities</td>
<td>• to support the use of renewable energies as energy saving method</td>
<td></td>
</tr>
<tr>
<td>• to improve the local job market and the rate of employment</td>
<td>• to provide special offers and facilities for children, young people and seniors</td>
<td>• to reclaim current public space for construction and reuse brownfield land</td>
<td></td>
</tr>
<tr>
<td>• to update the infrastructure to strengthen and promote current and new business operations</td>
<td>• to make residential space and other social facilities available to poorer sections of the population</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

General conclusion

Integrated urban development planning should agree with economic policy strategies and keep an eye on the impact of the individual measures. Integrated urban development policy should make an issue of linking urban development projects to social programmes and strategies. Urban development projects should interlink ecological and economic sustainability by reducing resource consumption and emission as well as improving energy efficiency.

Content taken from BMVBS&BBSR 2009b: 104

The study even includes a physical and cultural dimension of sustainability in integrated urban development concepts. Hints cover the consideration of the architectural quality of new buildings and public spaces, urban regeneration measures and the protection of historically buildings and locations (ibid.: 105). However, the sustainability concept in this study is very much interpreted in the context of sectoral policy objectives or concepts which should be combined in integrated urban development planning. It does not necessarily refer to intra- and intergenerational equity as stated e.g. in the BRUNDTLAND report. In generally, it has to be taken into consideration that the planning document is in the end a political document due to the required embedment in the process of
democratic legitimacy. The interpretation of what a sustainable development is remains therefore pretty much subject to political decision-makers. To show a result from the empirical analysis at that point, one understanding is that the sum of all emphasised measures should contribute to a sustainable development without providing any further definition.

Within this thesis, the main focus is the content and underlying preparation process of the planning document - not the implementation and the resulting factual impact. One of the few scientific publications dealing with this issue is a journal article from KAROLUS HEIL, professor for planning theory at the TU Berlin from 1980 to 1998. HEIL outlines the complexity and challenges associated with the sustainability paradigm and raises the question of its implementation. In doing so, he reflects the reasons for the failure in the implementation of early integrated urban development planning approaches in the 1970s in Germany. Based on this, he names four planning prerequisites for the implementation of the sustainability paradigm. They include:

- detailed knowledge about complex interrelationships within the thematic focal area of activity as basis for the alteration of planning concepts in line with the new paradigm, e.g. the sustainable use of natural resources
- the institutionalisation and operationalisation of sustainability in development concepts which allow the initiation of developments as well as a monitoring or an evaluation, e.g. sustainability indicators
- a holistic and system-integrated approach where decision-making is embedded in the context of the complex interrelationships of urban development, e.g. inter-departmental cooperation
- the determination of premises and objectives by democratically legitimated decision makers under consideration of public participation (HEIL 2000: 22f.)

HEIL’s approach of combing the discourse on sustainable development with evidence from earlier approaches in integrated urban development planning is unique. Moreover, several overlaps exist concerning the requirements for sustainable development and the dimensions of the planning concept. The author will therefore apply his approach in the analysis of the Integrated Urban Development Concepts.

2.5. Summary of the theoretical background on integrated urban development planning

Integrated urban development planning has been identified as a popular term in policy documents and planning literature. However, there are ambiguous definitions of the planning concept. Among them is a flexible definition approach provided in a study published by the German Federal Ministry of Transport, Building and Urban Development and the Federal Institute for Research on Building, Urban Affairs and Spatial Development (BMVBS&BBSR 2009a). It outlines seven dimensions of integrated urban development covering spatial scope, collaborative and coordinative concerns, management practices as well as financial issues and recommendations for the drawing up of development concepts as implementation-oriented planning tool. It has been elaborated under consideration of theoretical and practical concerns in the German context. Due to this strength and the possibility to distinguish between comparable strong and weak levels of integration, this flexible definition approach will be used in the analysis of selected German Integrated Urban Development Concepts on the local level.

Since a theoretical foundation is partly missing in the discourse about integrated urban development planning, the author tried to strengthen single dimensions with theory and scientific evidence from
various disciplines and embedded the planning concept into a wider planning theoretical discourse. However, the author cannot claim completeness here since the approach can be characterized as a first attempt. The findings illustrate that the dimensions of the planning concepts can be strengthened under consideration of interdisciplinary research findings. Moreover, the planning concept has its roots in rational, pragmatic, collaborative and strategic planning. An optimistic assumption made by PAHL-WEBER is that the new approaches in integrated urban development planning are a “fortunate harmony” between operationalized acting in the 1970s, the pragmatic approaches in the 1980s and the openness for new solutions during the 1990s (PAHL-WEBER 2003: 3, cited from CARL & WUSCHANSKY 2007: 101). However, there is no new planning paradigm associated with approaches in integrated urban development planning due to the combination of exiting planning practices (BMVBS&BBR 2009a: 18f.). Moreover, theoretical concerns are less dominant in the ongoing discourse about the emergence or renaissance of the drawing up of Integrated Urban Development Concepts. There spread is much more driven by complex and inter-connected challenges in urban development, the practical experience that existing tools in urban planning did not provide adequate possibilities to react on these challenges (DST 2003: 4) as well as higher-level requirements associated with programmatic frameworks for urban development.

Problematic for the further analysis is the linkage which is made between integrated urban development planning and the concept of sustainability. This linkage can be primarily found in policy documents such as the Leipzig Charter on Sustainable European Cities. Scientific evidence is missing here. This is associated with the general challenges of the operationalization of sustainable development. Since its interpretation is an individual matter, an explorative and descriptive approach for the analysis is emphasised. This approach is backed-up with a work from HEIL, who identified prerequisites or potential obstacles for the implementation of the sustainability paradigm in the retrospect of the implementation of early integrated urban development planning practices. Since these prerequisites show some overlapping with the discourse about integrated urban development planning and no other comprehensive framework for the analysis could be provided, follows the author HEIL’s approach in the analysis of the sustainability dimension in the ISEKs of the case study cities.
3. Methodology

3.1. Research question
The interest in integrated urban development planning results not least from the promotion of the planning concept in the Leipzig Charter on Sustainable European Cities. Despite all the multifaceted implications of the Leipzig Charter for policy, planning and science, limited research has been conducted on evaluating existing planning tools on the local level such as the German Integrated Urban Development Concepts or Integrierte Stadtentwicklungskonzepte (ISEK). This master’s thesis will therefore contribute to the discussion on integrated and sustainable urban development planning by answering following research question:

How do German Integrated Urban Development Concepts on the local level reflect the principles of an integrated and sustainable urban development planning as laid out in the Leipzig Charter?

3.2. Methodological approach
The master’s thesis answered the research question by a qualitative content analysis of selected ISEKs. KRIPPENDORFF defines a content analysis as “the use of replicable and valid method for making specific inferences from text to other states or properties of its source” (KRIPPENDORFF 1969: 103). This method is an empirical and controlled analysis of text material, which has been here embedded in the rhetorical context of integrated and sustainable urban development. In line with the guidance for the qualitative analysis of text documents by MAYRING (2000), required the first step of the analysis the description of the context where the planning concept is embedded. This rhetorical policy context on European and national level is outlined in the following section. The findings represent the results of a literature review of key policy documents and associated research publications in this field. Due to the vast amount of literature, the author cannot claim completeness but will provide a comprehensive summary of the policy framework on integrated planning.

The actual empirical analysis of the planning documents was undertaken in a second step and is presented in chapter five. Here, the Integrated Urban Development Concepts of selected case study cities had been subdivided into suitable units for the content analysis. These units were similar to the dimensions of integrated urban development as presented in the theoretical background beforehand. They were elaborated in the study on integrated urban development in German city regions, which was published by the German Federal Ministry of Transport, Building and Urban Development (BMVBS) and the Federal Institute for Research on Building, Urban Affairs and Spatial Development (BBSR). Details on these dimensions were presented in the theoretical background. All seven dimensions have been backed up with related statements from the Leipzig Charter. In a third step, all dimensions were assessed in the categories ‘comparable strong’ or ‘comparable weak’ integrated in line with the BMVBS&BBSR study. An overview can be found in table 2. To meet the reliability criteria of a qualitative content analysis, a back coupling between the categories of integrated urban development on the one hand and the framework for the subdivision of the document analysis on the other had been undertaken in a last step. The underlying flexible definition approach has been chosen because it provided both, the dimensions of integrated urban planning as well as categories for the assessment within a qualitative content analysis. A central strength in this respect was that this definition or its dimensions had been elaborated in a scientific context with consideration of practical experience gained on the German local level. The rhetorical dimension of the concept in urban policy discourse could have therefore been excluded within the empirical part of this thesis.
Tab. 2: Evaluation of dimensions and categories for Integrated Urban Development Concepts

<table>
<thead>
<tr>
<th>Dimensions of integrated urban planning</th>
<th>‘comparatively weak’ level of integration</th>
<th>‘comparatively strong’ level of integration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spatial plane of reference</td>
<td>- narrow focus on the spatial plane of reference directly influenced by the factual planning issue</td>
<td>- differentiation, prioritization and concretization of city-wide development objectives on the neighbourhood or district level</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- outline of city-regional interdependencies</td>
</tr>
<tr>
<td>Consideration of various thematic fields of activity and subject-specific interrelationships</td>
<td>- limitation to a few topics or the outline of interrelationships within one single dimension of urban development</td>
<td>- a broad range of topics covering all dimensions of urban development and their interrelationships outside the direct thematic scope of planning are taken into consideration, e.g. consideration of social issues in physical planning</td>
</tr>
<tr>
<td>Involvement of various administrative areas</td>
<td>- involvement of municipal departments is limited to the remit of the public authorities in question of singular projects</td>
<td>- a ‘wider range’ of departments is involved in planning to provide for a complete account of interests affected by planning</td>
</tr>
<tr>
<td>Participation of players from outside the spheres of politics and public administration</td>
<td>- involvement of players outside the spheres of politics and public administration is limited to legal requirements</td>
<td>- broad involvement of players outside the spheres of politics and public administration in conception and implementation with methods and intensity beyond the legal requirements</td>
</tr>
<tr>
<td>Pooling of financial resources</td>
<td>- funding resources originate from singular sources</td>
<td>- funding resources are pooled from diverse sources such as different municipal departments, EU and federal funds and/or private stakeholders.</td>
</tr>
<tr>
<td>Management of integrated action</td>
<td>- management of integrated action is not institutionalised</td>
<td>- management of integrated action is institutionalised</td>
</tr>
<tr>
<td>Arrangement of development concepts</td>
<td>- development concepts are limited to the description of single planning projects and associated components.</td>
<td>development concepts:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- provide information about motive and objective of integrated action,</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- cover a broad range of thematic fields and their interdependencies,</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- include information about cooperative concerns such as stakeholder involvement and public participation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- include further elements of comprehensive planning (financing plans and time schedules for the implementation of emphasised measures and projects)</td>
</tr>
</tbody>
</table>

Elaborated and translated from German original (BMVBS&BBSR 2009a: 42ff.)
A comparable methodological framework for the analysis of the ‘sustainability’ dimension did not exist. To cover this dimension within the methodological framework of this thesis, four planning prerequisites for the implementation of the sustainability paradigm developed by HEIL as presented on page 30 were taken into account. The approach remained explorative and descriptive due to the obstacles for the operationalisation of sustainable development. It covered the utilisation of the term sustainability and the reflection of the four planning prerequisites ‘knowledge about complex interrelationships’, ‘sustainability indicators and monitoring’, ‘administrative response to sustainability’ and ‘public participation’ in the planning documents. A practical implication for the analysis was the use of the search function for the German term for sustainable (‘nachhaltig’) in the planning documents. Nevertheless, an overlapping with the analysis of the ‘integration’ dimension could not be avoided due to several overlaps. However, only the consideration of both dimensions and its operationalisation within the qualitative content analysis allowed a scientifically-based statement on the reflection of the Leipzig Charter principles in the ISEKs. Due to capacity and readability issues, the presentation of the findings focuses very much on best-practice examples or examples which illustrate different approaches in the application of the analysed dimensions.

3.3. Selection of the case study cities

The final selection of the case study cities was determined by theoretical and practical concerns. Crucial was the free availability of complete and digital versions of ISEKs. With focus on the Baltic Sea Region (BSR), cities in the two German Federal States Mecklenburg-Vorpommern and Schleswig-Holstein were preselected. The primary idea was to cover all five members of the Union of the Baltic Cities, a voluntary network of 100 members which cooperates e.g. in the field of sustainable development of the BSR, within the analysis. However, the planning documents were not available for Rostock and Wismar due to the ongoing political decision-making process on the planning document or the limited provision of the latest ISEK version. A solely focus on an updated version would not have been reasonable since the analysis will show that relevant information are partly missing in this updated versions or different approaches in its preparation had been undertaken. Finally, the analysis was undertaken for the two capital cities Schwerin and Kiel and in each Federal State another representative city. This includes for Mecklenburg-Vorpommern the Hanseatic City of Greifswald and for Schleswig-Holstein the Hanseatic City of Lübeck (Fig. 4).

![Map of the case study cities in the German part of the Baltic Sea Region](source: www.maps.google.com and www.geography.about.com, modified by the author)
The selection of the four case study cities provides a wide range of older and newly adopted ISEK’s as well as first and updated versions. Moreover, it covers two Federal States with different guidelines for the drawing up of the planning document and includes cities of different size and functional characteristics.

3.4. Limitations for the analysis

The master’s thesis deals with the analysis of an informal planning instrument and depends heavily on the content provided in the planning documents. This includes information about the underlying preparation process. Limitations arise here when relevant information is not an integral part of the ISEK. This accounts especially for the collaborative dimensions such as ‘involvement of various administrative areas’ which e.g. depends on a list of participating administrative departments. Furthermore, quality criteria for public participation such as the impact of individuals’ proposals on the final content of the ISEK could not be assessed with the chosen methodology. Due to the focus on the planning documents, no analysis was conducted on its implementation and its factual impact on urban development. This is especially relevant for the ‘sustainability’ dimension since no long-term effects of the ISEK implementation can be assessed. However, a disadvantage of the flexible definition approach chosen for the analysis is that even less ambitious or progressive integrated planning approaches fall into the category of ‘comparatively weak’ integrated. This suggests that at least a certain level of integration is reached in the planning document or the underlying preparation process. This partly contradicts the ideals of integrated planning e.g. when public participation has been limited to information in line with legal requirements but still a ‘comparable weak’ level of integration had to be assessed in the analysis.

Further shortcomings for the analysis result from the selection of case study cities. The number of four cities allowed only vague conclusions about the theoretical applicability of the instrument for an integrated and sustainable urban development in general. This master’s thesis has therefore the character of a case study. Nevertheless, the recommendations or reflections given in this thesis should contribute to the discourse about strengthening the requirements for the drawing up of the ISEKs on the national and regional level or allowing the municipalities more flexibility in the application of the planning tool. However, so far it is unclear if the thesis and its results can be distributed to the relevant stakeholders and the recommendations would have an impact on integrated urban development planning practice. Due to the solely focus on the German context, limited advices can be given on the theoretical application of the instruments in other parts of the EU. This is especially the case due to varying initial conditions for the implementation of the Leipzig Charter in the Member States covering available instruments, existing hierarchies as well as personal and financial capacities.
4. Rhetorical framework on integrated urban development planning

In line with the requirements for a qualitative content analysis of text material as presented, this section will describe the rhetorical framework for integrated urban development planning on European and national level. It is based upon a literature review. Focal points are the outline of experience gained with the planning concept in EU initiatives, the mainstreaming of EU urban policies, a summary of the process leading to the adoption of the Leipzig Charter on Sustainable European Cities in 2007 as well as concerns about the implementation of the legally non-binding policy document. The section is supplemented by a review of the role of German planners, associations or institutions in the successful promotion of the concept of integrated planning and the final introduction of recommendations for the drawing up of Integrated Urban Development Concepts in the Leipzig Charter. The approach which has been used to provide this information is a chronological one, covering policy documents of several EU institutions as well as their scientific reflection when appropriate. Unfortunately, interdependencies or causal connections between different documents or actors within this process as well as their specific motivation cannot be outlined in a comprehensive manner within this thesis. Moreover, due to the vast amount of literature the author cannot claim to completeness in this respect.

4.1. Integrated urban development planning in EU urban policy

Integrated planning is a popular term used among different actors in the context of EU urban policy. Who are these actors? A scientific consumption of the context and status of the policy field is given by PARKINSON: “The precise status of urban policy in the EU at any time during the past [20] years has always reflected the balance of forces inside and outside the Commission between those who want to promote the urban agenda and those concerned to limit its significance. The essential story of urban policy in the EU is one of a gradual increased recognition of the importance of cities – but always under the umbrella of regional policy” (PARKINSON 2005: 2). Several perspectives have to be distinguished here. There is first of all a planner’s perspective in favour of an EU urban competence, partly within the framework of territorial cohesion. Moreover, efforts in strengthening the EU’s competence in this policy field are in general supported by Member States with a strong planning tradition and an explicit national urban policy. France, the Netherlands and Belgium are examples for countries, which represent their national interests in urban policy in the European arena (ELTGES 2005: 140). This position is e.g. contrasted by Member States with an Anglo Saxon planning tradition fearing a far going political influence of the EU in urban matters as well as actors with a strong economic perspective in favour of problem-solving approaches in economic and social cohesion. Another perspective is that the struggle for the status or content of an EU’s urban policy can be described as a competition for rare financial resources among different actors. This includes that those in favour of the EU’s urban policy interpret key EU policy documents such as the Lisbon Agenda and the Sustainability Strategies in their interest to increase the legitimacy of their position.

4.1.1. The EU’s urban agenda

Literature on the EU’s urban policy starts usually with the statement that there is no specific competence of the EU in the field of urban planning. The reasons for this are partly explained by the outlined, different perspectives on planning policies among the Member States and other actors in decision-making on EU level. Furthermore, DÜHR et al. identified the broad consensus on the principle of subsidiarity and the associated argumentation that urban issues are best solved at the local or regional level among the critics of an EU competence in this field as a main explanation (DÜHR
et al. 2010: 283). Despite that there is no direct provision for urban affairs in the Treaties, many EU policies, programmes and funds such as transport and environmental policy, INTERREG as well as the Structural Funds affect urban areas. Moreover, actors in favour of a stronger EU role in urban affairs outline that urban issues correspondent to a high extend to central objectives of EU policy such as economic growth and social cohesion. An established rational argumentation used in Commission’s publications since the Mid-1990s is that cities, home of the majority of the Europeans, are identified as drivers for regional economic development. This is contrasted by serious socio-economic challenges. Already the First Report on Economic and Social Cohesion points out that “between two-thirds and three-quarters of the EU’s total wealth creation occurs in urban areas - although [...] inner city areas have some of the most serious social and economic problems in the Union” (European Commission 1996: 24). Their outstanding economic function is especially recognised since the adoption of the Lisbon Agenda with its concern to increase the competitiveness of the EU and the focus on knowledge economy. Even though there is no urban dimension outlined in the policy document, it has been interpreted in favour of strengthening the EU’s urban competence. Here, key economic components such as “innovation, creativity, communication, and skills [...] are primarily found in the businesses and people who locate in urban areas“ (PARKINSON 2005: 2f.). On the other hand, challenges for social cohesion such as social exclusion are predominantly described as an urban phenomenon (ibid.). Further motives for the European Commission’s interest in urban matters cover ecological (‘the sustainable city’), cultural (‘diversity and identity’) as well as political-administrative (‘good governance’) dimensions (FRANK 2008: 108f.).

The recognition of a ‘spatial impact’ of sectoral EU policies as well as the multi-faceted challenges for European cities raised the attention for urban issues on EU level. Over the last decades, the European Commission and several Council Presidencies created a framework for an EU urban policy which ATKINSON terms ‘urban agenda’. This process is driven by “the need to develop a strategic, consistent and co-ordinated response” to the challenges associated with urban development as well “as the need to ensure that actions taken on EU, Member State, regional and local levels are vertically and horizontally integrated” (ATKINSON 2007: 3f.). Key figures behind the EU’s urban agenda are the European Commission, notable the Directorate General for Regional Policy (DG Regio) and the “urban lobby” including networks such as EUROCITIES and the Committee of the Regions. In contrast, the support from Member States and the European Parliament varied over time (PARKINSON 2005: 2). Following FRANK, three different periods of EU urban policy can be distinguished: the 1980s activities with an urban dimension were included in the EU’s environmental policy2, in the 1990s urban activities were an integrated part of cohesion policy, and since then urban matters might be considered as part of the EU’s economy and competition policy (FRANK 2005: 307). However, the emergence of an EU urban agenda raised the question of its further formalization on EU level. Due to strong opposition to a formal urban competence among many Member States, urban issues are still discussed on informal meetings of the Member States’ ministers responsible for spatial and urban policy. Nevertheless, a body consisting of specific urban knowledge, common practices and methodologies constitutes an “acquis urbain”, which has to be distinguished from accumulated legislation as the acquis communautaire (ATKINSON & ROSSIGNOLO 2009, cited from DÜHR et al. 2010: 286).

---

2 The European Commission’s DG Environment published a Green Paper on the Urban Environment in 1990 which marked the start of reflecting urban sustainability issues (DÜHR et al. 2010: 327).
4.1.2. Integrated planning in the EU’s first urban initiatives

Among the first initiatives in the field of urban affairs were the Urban Pilot Projects (UPP), running from 1989 to 1993. These experimental programmes were set up under the framework of EU regional policy and promoted approaches in integrated urban regeneration. UPP hereby addressed problems of disadvantaged neighbourhoods and unemployment in cities. Innovative demonstration projects were funded from the European Regional Development Fund (ERDF). The financial support covered e.g. the economic and physical revitalisation of historical city centres (DUHR et al. 2010: 287). Even if there was a limited budget for this programme, PARKINSON concludes that it could be “regarded as a political and administrative success, which demonstrated the potential of a successful EU action in the urban arena” (PARKINSON 2005: 6).

UPP was replaced by the Community Initiative URBAN in 1994. It promoted as well an integrated, area-based approach to urban problems with special emphasis on deprived neighbourhoods. The two key objectives of the initiative were “to promote the design and implementation of innovative, area-based strategies of physical, economic and social regeneration in small- and medium-sized towns and in the deprived neighbourhoods of major conurbations; and to reinforce and share knowledge and experience on regeneration and sustainable development in the European Union” (DUHR et al. 2010: 287). ERDF co-funded projects interlinked social, economic and environmental issues. They were focused on physical improvements such as renovations of buildings and the improvement of public spaces, economic and labour market actions e.g. a financial and organizational support for small and medium-sized enterprises as well as actions to combat social exclusion by providing cooperative services (ibid.). URBAN introduced new schemes of local governance and can be therefore described as a socially integrative urban development programme. Characteristics were the area-based approach which took specific problems and potentials of the funded neighbourhoods into consideration. The programme was integrated in that sense that interdepartmental cooperation should contribute to resource efficiency by pooling personal and financial resources. Moreover, a ‘vertical and horizontal cooperation’ between public and private actors should have been supplemented by broad participation. Public participation has been seen as a source to increase identification with the neighbourhood and the responsibility for development issues among the inhabitants. Furthermore, acceptance and effectiveness of measures among the citizens should have been increased. Other aspects of URBAN were the introduction of the ‘sustainability paradigm’ to urban affairs covering in that sense environmental compatibility and a long-term approach, gender mainstreaming as laid out in the Treaty of Amsterdam, and the focus on city networks as the basis for the exchange of best practice examples (FRANK 2008: 110).

An ESPON study on the territorial effects of Structural Funds in urban areas concluded that “the added value of URBAN Programmes for urban themes is (unsurprisingly) essential” by addressing urban challenges in line with physical and participatory requirements (ESPON 2006: 105). Moreover, “the required integration of physical, social and economic interventions in the framework of a coherent strategy led to new forms of partnership and cooperation between and within organisations at the local level, including the participatory involvement of various sections of the local communities” (DUHR et al. 2010: 288). However, the impacts on local governance or strategic orientation in urban planning differed among the Member States due to different pre-existing planning traditions. Little impact is considered for France, Great Britain and the Netherlands where other integrated or comprehensive approaches in urban regeneration have been in place before the introduction of URBAN. In contrast, the Community initiative triggered significant changes in local
urban planning policies and practices in Member States with a hierarchical and centralist urban planning tradition such as Greece and Italy (ibid.: 289).

URBAN and UPP can be characterized as “specific limited urban initiatives which focused upon particular themes in particular places with specific mandated resources” (PARKINSON 2005: 5). The advantages of such an initiative are its visibility, deliverability, fundability and the achievability of measures and results. However, resources and impact were limited, finite and modest (ibid.). Nevertheless, another specific programme focused on the exchange of good practice examples within the URBAN initiative was set up in 2002: URBACT. Whereas URBACT has been maintained and expanded in the programming period 2007-2013 to foster the exchange of good practice and dissemination of knowledge, the URBAN Community initiative was not continued beyond 2006. DÜHR et al. identified predominantly political reasons for this including the “question of legitimacy” and doubts about the “added value” of EU urban policy among decision-makers (DÜHR et al. 2010: 289).

4.1.3. Mainstreaming of EU urban policy

URBAN was paralleled by further initiatives in EU urban policy undertaken by different actors. The European Commission published the position paper ‘Towards an urban agenda in the European Union’ in 1997 and highlighted the challenges associated with urban development. This founded the basis for the introduction of the URBAN Audit, an evaluation tool to identify strengths and weaknesses of European cities. The Commission’s DG Regio published 1998 a document on ‘Sustainable Urban Development in the European Union: a framework for action’ which also promoted integrated urban development planning. According to ATKINSON, this initiative was mainly driven by the Commission’s concern “that the growth in urban social exclusion and segregation in cities is leading to certain neighbourhoods becoming ‘excluded spaces’.” Moreover, „addressing these problems required a comprehensive approach which, whilst adopting an integrated and holistic approach to the problems of these areas also integrates them into the wider city/region” (ATKINSON 2001: 291). Here, the Commission’s DG Regio believed in taking over a leading role in the vertical and horizontal coordination or cooperation among different levels and actors as well as in the identification of EU policy impacts on cities in order to design policies that are „‘urban sensitive’ and ensure that they facilitate integrated urban development” (European Commission, DG Regio 1998: 1).

The development of schemes for partnerships between public, private and voluntary actors, networking and dissemination of knowledge as well as the adjustment of Community policies, legislation and funding was encouraged to pursue following goals:

- Strengthening economic prosperity and employment in towns and cities
- Promoting equality, social inclusion and regeneration in urban areas
- Protecting and improving the urban environment: towards local and global sustainability
- Contributing to good urban governance and local empowerment (ibid.: 6ff.).

A year later, the Structural and Cohesion Funds were adjusted by the European Council for the new programming period from 2000 to 2006. European funding was now focused on improving competitiveness and economic performance of the least wealthy regions and countries by investing in human and physical capital. According to PARKINSON, the increasing recognition of the cities’ contribution to regional economic development had beneficial financial effects for the extended Community initiative URBAN II, the new URBACT programme and the expanded URBAN Audit.
Measures directed to urban areas were covered in under the Objectives 1&2 and made up 7.7 percent of the total ERDF budget. URBAN II funding included the revitalization of cities facing economic and social crisis as well as the regeneration of city centres (PARKINSON 2005: 7).

The increased recognition of the cities’ contribution to regional economic development resulted partly from the Lisbon Agenda. Adopted in 2000, the key policy document aimed at turning the EU into “the most competitive and dynamic knowledge-based economy in the world, capable of sustainable economic growth with more and better jobs and greater social cohesion” (European Council 2000). Cities were here recognized as engines for growth, centres for employment and source of innovation. Even if there was “an enormous amount of technical debate between economists on these issues” including divergent evidence, analysis and recommendations (PARKINSON 2005: 3), experts involved in the urban policy-making process pointed at the crucial role of cities and integrated urban planning in achieving the Lisbon objectives in view of the upcoming Structural Funds reform: „With the reform of the structural funds this urban development policy dimension is to experience a further revaluation after 2006 according to the intention of the Commission. Urban development is to become an explicit component of regional policy, in order to contribute to the achievement of the Lisbon objectives in this way” (ELTGES 2005: 134). A scientific thesis is hereby that a shift within EU structural funding towards promoting economic growth and employment occurred, which affected also the notion of integrated planning approaches. FRANK describes that the integrated approach in supporting “areas in need” changed towards supporting “areas of opportunities”. Funding within URBAN changed from the objectives of fighting poverty and social exclusion in both declining and prospering cities towards the funding of urban areas where economic potentials in terms of growth and competitiveness could be identified. The author concludes that the “integrated problem-oriented approach” in URBAN had been replaced by an “integrated potential-oriented approach” (FRANK 2008: 111).

Meanwhile, attempts were made to build urban concerns throughout all the programmes and initiatives of DG Regio and other Directives. This ‘mainstreaming of EU urban policy’ is driven by the idea to increase the impact on urban development in the EU due to long-term departmental funding. However, this required horizontal and vertical integration in urban policy within and between the Commission and the Member States is challenging due to varying resources, priorities and actions (PARKINSON 2005: 5). In preparation of the mainstreaming concerns, the European Commission established an ‘Inter-service Group on Urban Development’. The coordination group was chaired by DG Regio and included representatives of other DGs. Their three main concerns were:

- “To promote an integrated approach to sustainable urban development when programming and implementing the assistance of the Structural Funds;
- To identify the initiatives under the various EU policies aiming to support sustainable development of urban areas and to ensure the necessary cooperation between the Commission services in this respect;
- To ensure partnership between the Commission, the European Parliament, the Committee of the Regions, the associations of towns and urban areas and to establish regular dialogue allowing the exchange of views and the gathering of observations from these bodies on the consideration given to the urban dimension” (European Commission, DG Regio 2010: 5).

Within the programming period 2007-2013 the Commission’s initiatives in urban policy has been integrated into the three mainstream objectives of EU cohesion policy: economic growth, social
inclusion and environmental protection. Due to this mainstreaming no new competence has been added, but the ‘urban dimension’ in EU policy has been identified. In 2007, the European Commission’s Inter-service Group on Urban Development published a guide on the urban dimension in Cohesion Policy and other policies. The guide lists policies and initiatives with direct or indirect impact on urban areas. It aims at assisting stakeholders involved in urban development by providing information for finance, existing networks and partners to promote knowledge exchange (ibid.).

The Community Strategic Guidelines, adopted in 2006, set the principles and priorities of cohesion policy in the programming period 2007-2013. The guidelines form the basis for the formulation of National Strategic Reference Frameworks (NSRFs) and regional Operational Programmes (OPs) and are therefore an important instrument in the vertical integration of the EU’s urban policy. With reference to the renewed Lisbon Agenda, the guidelines cover three different actions with an urban dimension: “to promote cities as motors of regional development; to promote internal cohesion inside the urban areas and improve the situation in crisis districts; and to promote a more balanced development between the economically strongest cities and the rest of the urban network” (DÜHR et al. 2010: 289). Moreover, the document promotes integrated approaches in a sustainable urban development in the tradition of the URBAN Community initiative. Additionally, new financial instruments for funding of urban measures have been established on European level in cooperation with the European Investment Bank: JESSICA (Joint European Support for Sustainable Investment in City Areas), JASPERS (Joint Assistance to Support Projects in European Regions) and JEREMIE (Joint European Resources for Micro to Medium Enterprises) (ibid.).

Further analysis was undertaken on the urban dimension in NSRFs and OPs, co-financed by the EU for the period 2007-2013 (European Commission, DG Regio 2007 & European Commission, DG Regio 2008), and so to say the vertical integration of the EU’s urban policy. However, the analysis of the regional EFRD-OPs 2007-2013 is at least dissatisfactory and illustrates the limited competence of the Commission in implementing its own urban policy. Only a few more than 50 percent of the OPs identified an ‘urban dimension’ in their programmes and address urban challenges. This is remarkable because for the first time in cohesion policy all areas are eligible for ERDF-funding and a wide scope of actions is fundable in line and outside Article 8 of the ERDF regulations. Moreover, a strong focus on sectoral actions could be observed jeopardizing the emphasis on integrated urban development approaches. The explanation given in the analysis is that integrated approaches were especially not implemented in the new Member States, where no experience with the URBAN initiative existed. Furthermore, sources for guidance and expertise from existing knowledge-exchange networks and specific funding instruments in EU urban policy were widely unknown. The analysis therefore concluded “that Member States [should] encourage their Managing Authorities to address the issues raised in [the analysis], and to consider better exploiting already existing possibilities. This is of particular importance for URBAN-type operations and the concept of integrated urban development within interventions of EU Cohesion Policy” (European Commission, DG Regio 2008: 9f.).

4.1.4. The ministers’ road to Leipzig

Over various times, circumstances for strengthening the EU’s urban agenda were favourable in terms that the European Commission gained support in expanding their influence in urban affairs by the Member States – both individually and collectively. PARKINSON points out that national governments focused around 2000 more on urban issues and collaborated in promoting the EU’s urban agenda within the Member States and the European Commission. He is illustrating this with the Lille Agenda,
adopted in 2000, where the Member States’ ministers promoted also an integrated approach in urban policy (PARKINSON 2005: 10). In detail, the ministers responsible for urban affairs declared among other key objectives „to promote a global and integrated approach in urban policy, be it national or within the EU with reference to sustainable development, that encompasses particularly spatial, social and economic domains, emphasising employment, education, culture, transports, environment, crime prevention and security” (French Presidency 2000: 1). The author’s interpretation of this rhetorical policy statement is that it reflects clearly the experience of the French Politique de la ville. In France, urban policy is a multi-level, inter-ministerial issue aiming at “reducing territorial inequalities within urban areas by mobilising national and local stakeholders” with special attention to deprived neighbourhoods (EUKN 2005). The dimensions of sustainable development outlined in the Lille Agenda correspondent furthermore to a high extend with the priorities of French national urban policy.

The Lille Action Programme in brief

| Why: The Lille Action Programme is based on a report prepared by the Committee on Spatial Development (CSD). The main aim of the report is to help Member States, the European Commission and cities to give more tangible form to the policy objectives defined at European level to the challenges facing cities. |
| What: Proposal for a multi-annual programme of co-operation in urban affairs in the European Union with policy objectives defined at European level to face the challenges of cities. The programme proposes a common set of nine priorities: |
| 1. A better acknowledgement of the role of towns and cities in spatial planning; |
| 2. A new approach of urban policies on national and community levels; |
| 3. Improving citizens participation; |
| 4. Action to tackle social and ethnic segregation; |
| 5. Promote an integrated and balanced urban development; |
| 6. Promote partnership between public and private sectors; |
| 7. Diffusion of best practices and networking; |
| 8. Promote the use of modern technology in urban affairs; |
| 9. A further analysis of the urban areas to deepen the knowledge of interlinked phenomena in the cities. |

Source: EUKN 2000 and LC FACIL 2009: 3

Under the Dutch Council Presidency in 2004, urban issues remained on the European agenda. Furthermore, representatives of European cities (EUROCITIES, Council for European Municipalities and Regions or Cities for Cohesion) became directly involved and had opportunities for active contribution for the first time. Their contributions were recommendations for a compact European city form as well as a focus on area-based, integrated approaches for deprived neighbourhoods. In the face of the EU’s enlargement, issues of good governance including public participation or empowerment were seen as sources to enhance democracy building on European, national, regional and local level. Moreover, experience gathered from the exchange of good practices in urban development as well as scientific data from the URBAN Audit highlighted the important role of cities in economic and social cohesion in line with the Lisbon Agenda. Furthermore, the socio-economic disparities between and within cities as outlined in the Third Report on Economic and Social Cohesion raised the awareness for the ‘urban dimension’ in EU Cohesion policy and created the basis for further concerns about mainstreaming the urban policy (LC FACIL 2009: 3f.). The Rotterdam Urban Acquis (2004) provides in this respect a set of common strategic and operational principles for urban policies including elements of integrated urban development planning. However, even the DG
Regio’s attempts as well as the vibrant discussion among the ministers responsible for urban affairs about the urban dimension of EU policy under the Dutch Council Presidency did not lead to a further institutionalisation of the policy field on EU level. Nevertheless, PARKINSON concludes that this period „marked the highlight of concern for cities in regional policy“, since initiative was driven by both, the Member States and the European Commission (PARKINSON 2005: 6).

<table>
<thead>
<tr>
<th>The Rotterdam Urban Acquis in brief</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>When:</strong> Dutch Council Presidency, informal ministerial meeting, Rotterdam, 2004</td>
</tr>
<tr>
<td><strong>Why:</strong> The Rotterdam Urban Acquis is based on the recognition of the importance of cities in economic and social cohesion. Moreover, co-operation between Member States on urban policy at a European level is necessary due to common challenges, but diverse political, institutional and constitutional arrangements in the individual Member States.</td>
</tr>
<tr>
<td><strong>What:</strong> Set of common strategic and operational principles for successful urban policies.</td>
</tr>
<tr>
<td>“Priorities:”</td>
</tr>
<tr>
<td>a. Economic competitiveness, social cohesion and environmental quality must be balanced;</td>
</tr>
<tr>
<td>b. Cities must be liveable, places of choice and places of cultural identity;</td>
</tr>
<tr>
<td><strong>Mechanisms for Successful Urban Policy</strong></td>
</tr>
<tr>
<td>c. National, regional and local sectoral policies should be better integrated;</td>
</tr>
<tr>
<td>d. In common with specific urban programmes the mainstream government resources which deliver the services affecting cities, should take into account the specific situation of cities;</td>
</tr>
<tr>
<td>e. Policies for cities must be long term;</td>
</tr>
<tr>
<td>f. Leadership from the top must be balanced with empowerment of communities below;</td>
</tr>
<tr>
<td>g. Agreements, partnerships and trust between different levels of government are needed, not rigid controls;</td>
</tr>
<tr>
<td><strong>Engaging Stakeholders</strong></td>
</tr>
<tr>
<td>h. Public, private and community partners in cities should engage in constructive working relationships;</td>
</tr>
<tr>
<td>i. Partnerships must be balanced with democratic accountability of elected local government;</td>
</tr>
<tr>
<td>j. Citizens’ participation should be based on a dialogue with experts to stimulate citizens’ ownership of the urban living environment;</td>
</tr>
<tr>
<td><strong>Achieving the Right Spatial Balance</strong></td>
</tr>
<tr>
<td>k. Policies should be concentrated long term upon particular areas of need or opportunity in cities;</td>
</tr>
<tr>
<td>l. Social challenges in deprived areas must be linked to economic opportunities in the wider region.</td>
</tr>
<tr>
<td>m. Institutional collaboration between cities and regions should be encouraged;</td>
</tr>
<tr>
<td>n. Balanced urban networks of, and functional cooperation between small, medium, and large-sized cities should be encouraged;</td>
</tr>
<tr>
<td><strong>Encouraging Good Practice, Policy Learning and Capacity</strong></td>
</tr>
<tr>
<td>o. Good practice and successes should be promoted widely;</td>
</tr>
<tr>
<td>p. Policies should be subject to evaluation to determine success;</td>
</tr>
<tr>
<td>q. The regeneration skills of professional, community partners, local government should be increased.”</td>
</tr>
</tbody>
</table>

Unsurprisingly, approaches in integrated urban development planning were not specially emphasized under the British Council Presidency in 2005. The reason for this is associated with the Anglo Saxon planning tradition. Even though changes in UK national urban policy could be recognised under the Labour government, remained “the principle of competition in allocating resources“ among municipalities, weak national and regional planning authorities as well as a limited cooperation and coordination between different departments characteristic of urban planning in the UK (PARKINSON 2004: 88). The integrated urban planning approach promoted by the EU had therefore limited impact in the UK: “Europe has made a modest contribution to the development of some policy principles –
partnership, integration, and community involvement. But the principles have not been that novel in the English context, the resources not that large and the impact not that great” (ibid.). Nevertheless, a common definition of sustainable communities in Europe and key prerequisites for their creation were agreed within the Bristol Accord. Moreover, the British Council Presidency stressed the role of new financial instruments in urban policy: “Beyond the usage of ‘lost’ public funds, the idea to use credits, grants, guarantees and loan-based funds was firstly discussed” (LC FACIL 2009: 6f.).

### The Bristol Accord in brief

<table>
<thead>
<tr>
<th>When: British Council Presidency, informal ministerial meeting, Bristol, 2005</th>
</tr>
</thead>
<tbody>
<tr>
<td>Why: The Bristol Accord is seen as a framework “to deliver sustainable development, economic prosperity and social justice in an era of rapid global economic change. And it encourages a better environment, stronger democracy and effective local leadership.” Guiding principles were the strong focus on outcomes, the dissemination of knowledge and capacity building (EUKN 2006).</td>
</tr>
<tr>
<td>What: Agreement on a common definition of sustainable communities in Europe, with following key prerequisites for the creation of sustainable communities across Europe:</td>
</tr>
<tr>
<td>i. “Economic growth is of central importance. Without economic growth, EU Member States are unable to invest in the creation and maintenance of sustainable communities.</td>
</tr>
<tr>
<td>ii. The integrated Sustainable Communities approach grows directly out of Europe’s unique tradition of social inclusion and social justice.</td>
</tr>
<tr>
<td>iii. The role of cities is key to success. Successful cities with strong cultural identities deliver sustainable communities beyond their limits – regionally, nationally and even internationally. And achieving the goals of Lisbon will require Europe’s cities to be places of international excellence that allow the knowledge economy to thrive.</td>
</tr>
<tr>
<td>iv. Sustainable communities are ones that respond to the challenge of social segregation at all levels, including neighbourhoods.</td>
</tr>
<tr>
<td>v. Sustainable communities also embody the principles of sustainable development5. They balance and integrate the social, economic and environmental challenges and meet the needs of existing and future generations.</td>
</tr>
<tr>
<td>vi. Recognition that sustainable communities can exist at different spatial levels: neighbourhood, local, city, regional.”</td>
</tr>
</tbody>
</table>

In addition to that necessary qualities for sustainable communities were defined as:

1. “ACTIVE, INCLUSIVE AND SAFE – Fair, tolerant and cohesive with a strong local culture and other shared community activities
2. WELL RUN – with effective and inclusive participation, representation and leadership
3. WELL CONNECTED – with good transport services and communication linking people to jobs, schools, health and other services
4. WELL SERVED – with public, private, community and voluntary services that are appropriate to people’s needs and accessible to all
5. ENVIRONMENTALLY SENSITIVE – providing places for people to live that are considerate of the environment
6. THRIVING – with a flourishing, diverse and innovative local economy
7. WELL DESIGNED AND BUILT – featuring quality built and natural environment
8. FAIR FOR EVERYONE – including those in other communities, now and in the future”

Source: UK Presidency 2005: 6-7 and LC FACIL 2009: 4-5

### 4.1.5. The Leipzig Charter on Sustainable European Cities

The Leipzig Charter on Sustainable European Cities has been adopted on an informal meeting of the ministers responsible for urban and spatial development in the Member States of the EU in May 2007. The ministers hold their meeting on ‘Strengthening European cities and their regions – promoting competitiveness, social and territorial cohesion in the cities and regions of Europe’ in Leipzig, Germany. The Charter sets out the common principles and strategies for urban development within the Member States with special attention on deprived neighbourhoods. According to DÜHR et al., lessons learned from the URBAN Community initiative had been taken into considerations here
(Dühr et al. 2010: 284). However, the thesis focuses primarily on the emphasis given on integrated urban planning approaches in the policy document as well as its implementation. In this respect the Leipzig Charter recommends making greater use of “holistic strategies and coordinated action by all persons and institutions involved in the urban development process which reach beyond the boundaries of individual cities”, coordinating sectoral policies and ensuring “that those working to deliver these policies at all levels acquire the generic and cross-occupational skills and knowledge needed to develop cities as sustainable communities” (German Presidency 2007a: 2).

**The Leipzig Charter on Sustainable European Cities in brief**

**When:** German Council Presidency, informal ministerial meeting, Leipzig, 2007

**Why:** The Leipzig Charter has been adopted in consideration of the challenges and opportunities as well as the different historical, economic, social and environmental backgrounds of European cities. As outlined in a background study undertaken under the German presidency, integrated approaches in urban planning are emphasised to achieve the objective of sustainable cities in line with the EU’s Sustainable Development Strategy.

**What:** Definition of common principles and strategies for sustainable urban development. It is based on the common understanding on the necessity of ‘integrated strategies and coordinated action’ and mentions areas on which urban policy should now focus in any event:

I. Making greater use of integrated urban development policy approaches
   - Creating and ensuring high-quality public spaces
   - Modernizing infrastructure networks and improving energy efficiency
   - Proactive innovation and educational policies

II. That special attention is paid to deprived neighbourhoods within the context of the city as a whole
   - Pursuing strategies for upgrading the physical environment
   - Strengthening the local economy and local labour market policy
   - Proactive education and training policies for children and young people
   - Promotion of efficient and affordable urban transport

Within this frame the Ministers commit themselves

- to initiate a political debate in their states on how to integrate the principles and strategies of the Leipzig Charter on Sustainable European Cities into national, regional and local development policies,
- to use the tool of integrated urban development and the related governance for its implementation and, to this end, establish any necessary framework at national level and
- to promote the establishment of balanced territorial organisation based on a European polycentric urban structure.

**Source:** German Presidency 2007 and LC FACIL 2009: 7

As outlined in the preamble of the document, the Leipzig Charter builds upon the aims and principles set out in the Lille Action Programme and the Rotterdam Urban Acquis, the term sustainable communities introduced in the Bristol Accord as well as the recommendations given in the Territorial Agenda, adopted at the same Meeting in 2007. In detail, actions contributing to the consolidation of deprived neighbourhoods were already introduced in the Lille Action Programme and in the Rotterdam Urban Acquis. The Leipzig Charter completes these documents by announcing concrete instruments and gives further recommendations for policy action. In contrast to the solely encouragement of the development of new approaches in urban policy as laid out in the Lille Action Programme, the Leipzig Charter considers the implementation of integrated urban development policy as a prerequisite for sustainable development of European cities. Moreover, highlighting the importance of education and training policies as well as strengthening local economy and labour
market in the development of deprived neighbourhoods supplements the Rotterdam Urban Acquis. Researchers in this field name the strong focus on deprived neighbourhoods and a “necessary balance of interest between economic growth, social cohesion and environment protection by means of integrated urban development policy” in comparison to the Bristol Accord (LC FACIL 2009: 6) as characteristics of the Leipzig Charter. Further unique elements are the support of a balanced European polycentric urban structure by promoting cooperation and coordination between city and region as well as among small-, medium- and large-sized cities as also outlined in the Territorial Agenda (DÜHR et al. 2010: 284). Newly introduced on European level were following issues within urban policy: the creation and maintenance of high-quality public spaces, the modernisation of infrastructure networks, improving energy efficiency and the upgrading of the physical environment within deprived neighbourhoods as well as the consideration of the city-wide context in the development of these neighbourhoods (LC FACIL 2009: 6). Crucial for this thesis is the recommendation given to European cities to consider drawing up city-wide Integrated Urban Development Concepts for the entire city as implementation-oriented planning tools on the local level.

4.1.6. The Leipzig Charter and its implementation

The legally non-binding character and the limited competence of the EU in urban policy matters raise the question of the impact of the Leipzig Charter on EU, national and local level. The ministers who adopted the Leipzig Charter declared “to initiate a political debate in their states on how to integrate the principles and strategies of the Leipzig Charter on Sustainable European Cities into national, regional and local development policies” (German Presidency 2007a: 1). This refers to the concept of top-down Europeanization which is here understood as the “construction, diffusion and institutionalisation of formal and informal rules, procedures, policy paradigms, styles, ‘ways of doing things’ and shared beliefs and norms which are first defined and consolidated in the EU policy process and then incorporated in the logic of domestic (national and subnational) discourse, political structures and public policies” (RADAELLI 2004: 3, cited from DÜHR et al. 2010: 360).

The Leipzig Charter falls according to DÜHR in the category of a “specific initiative in European spatial planning with impact on planning policies and practices” which is based upon “cooperation between Member States to develop guidelines, spatial strategies and visions” (DÜHR et al. 2010: 365). However, there is no direct impact on domestic policies due to regulations or financial incentives. Furthermore, the background study on the Leipzig Charter illustrated that the preconditions for the implementation of integrated urban development planning varied among the Member States. Germany itself was assessed as a ‘country with comprehensive national programmes’. This means that the national level provides a stimulus for the drawing up of Integrated Urban Development Concepts by formulating programmatic frameworks and/or providing funding. This emphasis points at the pooling of different sources of funding from national, regional or municipal and private sources, supports area-based approaches which take social and local economy issues, environmental problems, the integration of ethnic minorities, training and education as well as urban planning into consideration. Integrated Urban Development Concepts are here a formalised instrument. Furthermore, special management and organisational structures have been established interdepartmentally at national, regional and municipal level. They also support the participation of external stakeholders within integrated planning (BMVBS&BBR 2007: 42f.). Whereas comparable comprehensive national programmes or regional and local initiative for integrated urban development planning exist for the most old Member States of the EU, identified the study only
initial or individual projects and measures for the promotion of the planning concept in the most new Member States.

Not surprisingly, a first assessment of the impact of the Leipzig Charter in the Member States illustrated a great variety in the implementation of the policy document. The study undertaken under the French Council Presidency concluded that the adoption of the Leipzig Charter:

- “strengthens the existing national approach (e.g. UK),
- [provides] support for national action as the alignment with European policies helps to convince on national level (especially the new Member States),
- creates a guideline for the revision or the new creation of policies (French Presidency 2008: no page, cited from LC FACIL 2009: 11).

Germany falls into the first category. Here, a memorandum ‘Towards a national urban policy’ was organized. It provides the basis for the integration of urban development policies into the activities of the state based on best-practice examples, the enhancement of existing programmes such as the ‘Urban Renewal East’ and the ‘Socially Integrative City’ on the national level as well as start of a temporary campaign ‘For City and Urbanity’ to raise the public awareness for urban issues (BMVBS&BBR 2007b: 7). However, the limitations of the Memorandum also illustrate the week role of national urban planning in the German context.

A less positive conclusion about the implementation of the Leipzig Charter has been drawn under the Czech Council Presidency in 2009: “Member States are facing problems in implementation of the principle of multi-level governance, co-ordination of all concerned sectors and the involvement of regional and local authorities. The efforts for assertion of power mechanisms are surviving instead of development of procedures which support the integrated approach. The lack of information on territory and space is apparent. Decision making mechanisms are not sufficiently transparent. Financial resources are not usually sufficiently integrated. The consensus on aims and priorities of development between local, regional and central governance is difficult to achieve” (Czech Presidency 2009: 13). The author’s interpretation is here that this perspective primarily presents the view of the new Member States with limited experience gained in integrated urban development planning. The first assessment undertaken under the French Council Presidency illustrated also that the Leipzig Charter was not known very well at regional and local level so far and that more efforts needed to be undertaken in their promotion. The reaction were the setup of a European working group to create a tool to foster the implementation of the Leipzig Charter, the so-called ‘reference framework’, as well as the establishment of a URBACT working group (LC-FACIL – ‘working group to facilitate the implementation of integrated, sustainable urban development according to the Leipzig Charter’) to interact as local testing ground (LC FACIL 2009: 1). The aims of this working group were defined as follows:

- “Create a common understanding about benefits of integrated approach and promote it
- Use ‘reference framework’ – Monitoring and Evaluation as outcome orientated tool - ONE tool - to underline the main idea
- Express needs of cities (from the practitioners point of view) towards different levels
- Further discussion (and exchange among partners) on what is needed for the implementation of integrated approaches on city-level: Strategy, Governance, Methodology, Monitoring and Evaluation, Cooperation and Implementation” (ibid.).
In line with the Leipzig Charter’s recommendations for the drawing up of Integrated Urban Development Concepts, the Czech Council Presidency concluded that “Member States realized the importance of the integrated approach [...] and made a number of measures which should put enforcement of this approach into practice i.e. systematic management and manuals or direct support of the implementation of this mechanism in the preparation of developmental projects. Operation programs which are created for the implementation of economic, social and territorial cohesion appear to be particularly suitable for the integrated approach” (Czech Presidency 2009: 23f.). Moreover, the efforts of individual Member States were reviewed and illustrated a great variety which cannot provided in detail within this thesis. Further information focus on the German context due to the spatial scope of the further analysis. Due to the existence of a comprehensive framework and experience in the drawing up of Integrated Urban Development Concepts, the focus in Germany was not to initialise their preparation. Instead, “Germany made an effort to incorporate the integrated approach from the Charter in the town-countryside relationship and the development of city regions” (ibid.: 26). Examples are two research projects undertaken by the BMVBS and BBSR. The project ‘Supraregional partnerships’ monitored innovative projects to support co-operation between cities and regions as well as the development of networks. A similar project had been operated on the municipal level: ‘Integrated urban development in city regions’. The flexible definition approach for integrated urban development planning used in this thesis has been elaborated in this study. The operation of studies or model projects illustrates pretty well the role of national urban planning in Germany. There is no direct impact on the drawing up of Integrated Urban Development Concepts on the local level since this is subject to local self-governance. This regulative framework accounts similar for many other European countries. Nevertheless, a first result of the German study suggests that 86 percent of cities use a kind of integrated approach in urban development projects (BMVBS&BBSR 2009a: 46). The following content analysis of selected Integrated Urban Development Concepts will add a qualitative dimension to these quantitative findings.

4.2. Integrated urban development planning on national level – the German Context

Before the results of the empirical analysis are presented, the reader’s attention should be directed towards the role of German planners and institution in the preparation process of the Leipzig Charter on Sustainable European Cities. Their role is crucial since the policy document has been adopted under the German Presidency. Moreover, the promotion of elements of the Leipzig Charter such as the recommendations and criteria for the drawing up of Integrated Urban Development Concepts represents a good example for a bottom-up Europeanization process. This means that the content of the policy document has been elaborated to a high extent with reference to the national context and has been successfully uploaded on European level. The role of German federal planners in informal intergovernmental negotiations covering urban planning issues is special in this respect due to their weak position in the national framework. FALUDI describes their position as follows: “federal planners participated on behalf of the Federal Republic, held the promise of enhancing their position vis-à-vis that of the planner of the Länder [...]” and “that the representation of Germany at European level is a privilege of federal planners – in effect, one of the few roles they have” (FALUDI 2009: 16). Among the guiding motives for the promotion of the integrated planning approach and the associated tools on the EU level is the pooling of national and regional financial sources with EU Structural funding which requires a statutory basis of the planning approach in EU urban policy (ELTGES 2005: 140). The strong emphasis on integrated urban planning under the German Council Presidency can be moreover explained by the early implementation of integrated approaches in the national programmatic
frameworks on urban issues. A successful bottom-up Europeanization requires consequently limited efforts in adopting national practices to changing EU guidelines.

As outlined, experience with integrated approaches in urban development planning in the German context is rich due to comprehensive planning in the 1970s, the implementation of the URBAN Community initiative or the national programmatic framework on urban policy covering the ‘Socially Integrative City’ or the ‘Urban Renewal East’\(^3\). Regulations for these programmatic frameworks are defined in Constitutional Law, the Federal Building Code and the administrative agreements between the Federal Government and the Federal States (Länder) (BBSR 2011). Integrated Urban Development Concepts form here the basis for the municipalities’ request for funding. Since the drawing up of these concepts including the associated requirements concerning its content are part of this planning legislation, has integrated planning a quasi-legal and formalized status in the German context (Kaluza 2006: 939f.). The launch of the programmatic frameworks stimulated a broad discussion about a ‘renaissance of integrated planning’ in urban development. Among the biggest supporters of the integrated planning approach are the head-planners of bigger German cities such as Stephan Reiß-Schmidt from Munich. He embedded the revival of integrated planning in a European context with reference to the emergence of strategic urban development concepts such as the London-Study, Lyon Millénaire 3 or Torino Internazionale (Reiß-Schmidt 2002: 2). In a speech at the Institute for Urban Development in Berlin 2002, he outlines the necessity in drawing up Integrated Urban Development Concepts to tackle the multi-faceted challenges for urban development. Moreover, he outlines requirements and quality criteria for their preparation and content.

A summary of these requirements has been already provided on page 19 of this thesis since Reiß-Schmidt’s argumentation has been assumed by the Association of German Cities in their position paper on ‘Safeguarding Future with Integrated Urban Development Planning and Cooperative Urban Development Management’. Guiding motives for the emphasis on integrated planning were the strengthening of local self-governance, financial concerns as well as the search for an adequate instrument to steer the development of German cities in face of globalisation, social polarisation and other challenges. However, it has been also acknowledged that Integrated Urban Development Concepts form a requirement for the request for funding from European and national level (DST 2004: 1). Finally, the requirements for the drawing up of these concepts have been successfully uploaded in the Leipzig Charter. Prerequisite was that they had been provided in the Leipzig Charter background study published by the Federal Ministry for urban affairs (BMVBS) and the associated research institute (BBR). The preparation of this study felt herby under the responsibility of the German Institute of Urban Affairs (Difu), which is describing itself as ‘partner in solving municipal problems’ and is partly financed by the member municipalities and the federal level.

\(^3\) A vast majority of East German cities is facing decline since the 1990s. Shrinking is associated with multidimensional challenges: a decline in population results from a lack of births, out-migration and the aging of residents. Economic problems include high unemployment due to de-industrialization which could not be compensated by growth within the service sector. Shrinkage is especially prevalent in old industrial cities. (Kühn 2010: 1). Resulting problems are an overcapacity of public infrastructure, large brownfield areas as well as vacant residential and commercial properties as well as weakened local financial conditions. The ‘Urban Renewal East’ programme was launched in face of these challenges in 2002. It aims to secure and improve the attractiveness of East German cities as places of living and working. Restructuring measures funded from the programme cover the reduction of the oversupply of housing and the upgrading of areas affected by population decline with special emphasis on inner-city areas. Upgrading measures include e.g. the modernisation of the building stock, the maintenance of historic buildings, the adaptation of infrastructure, the reuse of vacant areas and the improvement the residential environment. Later, a comparable programmatic framework has been established for West German cities.
5. Results of the qualitative content analysis of selected Integrated Urban Development Concepts

With the adoption of the Leipzig Charter on Sustainable European cities, the ministers committed themselves to initiate a political debate in their Member States about the vertical integration of the principles and strategies laid out in the policy document. Here, the concept of integrated urban development planning and the related governance for its implementation should be used. Since local self-governance is a common principle in the European Union, the ministers responsible for urban development were primarily focused on the establishment of the necessary framework at national level. In the strict sense, integrated urban development planning takes first of all place at the local level. This chapter covers therefore the presentation of the results of an empirical analysis of selected Integrated Urban Development Concepts (ISEKs) in line with the methodological framework. With reference to the research question, the qualitative content analysis aimed at identifying how the principles of integrated and sustainable urban development planning as laid out in the Leipzig Charter were reflected in the ISEKs. Here, the dimensions ‘integration’ and ‘sustainability’ had been assessed for the planning concepts of the cities of Schwerin, Greifswald, Kiel and Lübeck. Summaries of the ISEKs of the case study cities are provided in the appendix. The dimensions of integrated urban development planning as well as concerns about the implementation of sustainable urban development as presented in the theoretical background are hereby taken into consideration.

5.1. Dimensions of integrated urban development planning in the ISEKs

5.1.1. Spatial level of reference

The first principle laid out in the theoretical background and the Leipzig Charter is that integrated urban development planning should not be limited to the city-wide level. In detail, the considerations of singular neighbourhoods within the context of the city as a whole and city-regional cooperation concerns are crucial. The Leipzig Charter puts special attention on deprived neighbourhoods which emergence is explained by social and economic transformation processes. In detail, the ministers identified that “within one city, considerable differences may exist in terms of economic and social opportunities in the individual city areas, but also in terms of the varying quality of the environment. In addition, the social distinctions and the differences in economic development often continue to increase which contributes to destabilization in cities“ (German Presidency 2007a: 5). The emphasised strategies for these areas should reduce their deficiencies and be beneficial for the socio-economic development of the entire city. This is summarized by following statement: „the better we manage to stabilize deprived neighbourhoods economically, to integrate them socially and to upgrade their physical environment and transport infrastructure, the better the chances are that our cities will remain places of social progress, growth and innovation in the long term“ (ibid.: 7). The emphasis given to city-regional cooperation reflects that the Territorial Agenda of the European Union has been adopted on the same meeting in Leipzig in 2007. The policy objective is here that city-regional cooperation contributes to territorial cohesion: “an equal partnership between cities and rural areas as well as between small-, medium-sized and large towns and cities within city-regions and metropolitan regions is the aim. We must stop looking at urban development policy issues and decisions at the level of each city in isolation. Our cities should be focal points of city-regional development and assume responsibility for territorial cohesion. It would therefore be helpful if our cities would network more closely with each other at European level“ (ibid.: 3). It has to
be repeated here that the Leipzig Charter has a legally non-binding character and city-regional cooperation is pretty much based on voluntarism.

Results of the analysis

As the qualitative content analysis of the Integrated Urban Development Concepts shows, all first approved city-wide planning documents of the case study cities can be assessed as ‘comparatively strong’ integrated in line with the flexible definition approach provided by the BMVBS&BBSR study. This means that city-wide development objectives have been differentiated, prioritised or concretised on a district or neighbourhood level as well as city-regional interdependencies and cooperation concerns have been taken into consideration in the planning process. The assessment for the updated ISEK versions in Schwerin and Greifswald differs due to a narrowed spatial focus.

City-district level

Based on the different frameworks for the development of an ISEK on the Ländere-level, two basic approaches in the consideration of city-district level interdependencies can be identified in the four case study cities. The 2002 ISEK’s of the cities of Schwerin and Greifswald form the basis for the municipalities request for funding within the programmatic framework of ‘Urban Renewal East’. In line with the guidelines given on Ländere-level, the planning documents form the basis for the designation of focal areas for urban renewal measures. The analysis part as well as strategic aims and objectives for urban development cover the entire city in both ISEKs. This step is followed by an indicator-based classification of single districts with varying demand for action (see also Fig. 10, p. 103 for Schwerin and Fig. 13, p. 112 for Greifswald). Indicators and categories differ between the two ISEKs. A detailed overview is provided in table 3. Following this classification, individual districts are described briefly covering for example selected indicators, strengths and weaknesses as well as specific development aims. Concrete deconstruction and upgrading measures are only emphasised for the formally designated urban renewal areas. In Schwerin, the two large-scale prefabricated housing areas with the highest vacancy rates have been designated as focal areas. The ISEK of Greifswald 2002 emphasises this urban renewal measures in a prefabricated housing area and in an inner-city area with a heterogenic building structure as well as a huge amount of brownfields. In contrast to Schwerin, two detailed concepts for the development of the two areas are provided in the ISEK which are embedded into the overall strategy for the city. The planning document also includes a reflection of the expected results of measures in the areas, reviews existing planning documents and back-couples the consequences of the implementation of emphasised measures for the development of the city as a whole. A central characteristic of the ISEK process in the two cities is that the focus of integrated planning and its implementation is limited to districts eligible for funding under the umbrella of the ‘Urban Renewal East’ programme.

Central motive of the ISEK preparation in Schleswig-Holstein is the proof of the eligibility for funding from various sources. A spatial concretisation of development objectives is here seen as a central requirement. The approach in linking overarching strategies for the development of the city as a whole and their concretization on the district level differs therefore in Lübeck and Kiel in comparison to the East German case study cities. The ISEKs provide first of all the overarching strategic aims and different thematic focal areas for the development of the entire city. District specific issues have been identified in the underlying analysis for the definition of these strategic objectives. The further approaches in Kiel and Lübeck are characterized by the overlapping of the spatial dimension of the strategic aims and the thematic focal areas with specific sectoral focal points of activity or district
Tab. 3: Approaches in the consideration of city-district interdependencies

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>ISEK content with city-wide dimension</td>
<td>Data analysis and prognosis</td>
<td>Data Analysis and prognosis</td>
<td>Analysis part (appendix)</td>
<td>Guiding principles</td>
</tr>
<tr>
<td></td>
<td>Strengths and weaknesses</td>
<td>Guiding principles and objectives</td>
<td>Thematic focal areas and objectives</td>
<td>Strategic objectives</td>
</tr>
<tr>
<td></td>
<td>Guiding principles and objectives</td>
<td></td>
<td></td>
<td>Strengths and weaknesses</td>
</tr>
<tr>
<td>ISEK content with district or neighbourhood dimension</td>
<td>No comprehensive description of single districts</td>
<td>Brief description of single districts</td>
<td>Comprehensive individual district profiles</td>
<td>No comprehensive description of single districts</td>
</tr>
<tr>
<td>District classification (approach, types and focal areas)</td>
<td>Indicator-based classification of single districts (population structure and social status, supply with infrastructure, housing market indicators, level of satisfaction with the living environment)</td>
<td>Indicator-based classification of single districts (spatial-functional characteristics, vacancy rates, status of the building stock, past population development)</td>
<td>Overlapping of the spatial dimension of the thematic focal areas with district specific characteristics</td>
<td>Overlapping of the spatial dimension of the strategic aims with specific sectoral focal points of action</td>
</tr>
<tr>
<td></td>
<td>Five types with individual development aims:</td>
<td>Four types with individual development aims (districts without significant housing vacancies not considered):</td>
<td>Five types of planning areas with specific thematic development objectives:</td>
<td>Five development areas with a bundling of focal topics:</td>
</tr>
<tr>
<td></td>
<td>• stable areas with limited need for action</td>
<td>• areas of consolidation</td>
<td>• A – Areas with diverse thematic focal points of activity</td>
<td>• ‘Socially Integrative City’ areas</td>
</tr>
<tr>
<td></td>
<td>• preservation areas with dominant upgrading concerns</td>
<td>• areas of upgrading</td>
<td>• B – Housing Areas</td>
<td>• The city centre</td>
</tr>
<tr>
<td></td>
<td>• areas with demand for restructuring in a short-, medium- and long-term perspective</td>
<td>• areas of restructuring</td>
<td>• C – Inner-city districts</td>
<td>• The South of Kiel</td>
</tr>
<tr>
<td></td>
<td>Determination of two focal areas for urban renewal measures:</td>
<td>• status quo areas</td>
<td>• D – Areas with traffic related deficits</td>
<td>• Kieler Förde – bay area</td>
</tr>
<tr>
<td></td>
<td>• two prefabricated housing areas with the highest vacancy rates</td>
<td>Determination of two focal areas for urban renewal measures:</td>
<td>• E – Green space areas</td>
<td>• Network infrastructure</td>
</tr>
<tr>
<td></td>
<td>Detailed development plans are provided, back coupling with city-wide objectives</td>
<td>• two prefabricated housing areas with the highest vacancy rates</td>
<td>Detailed development plans for both areas are not provided</td>
<td>Descriptions of the areas include a list of planned measures</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Considered, existing sectoral concepts include partly indicator-based district classifications, e.g. for deprived neighbourhoods (foreign born rate, unemployment, social benefit recipients, etc.)
specific characteristics. Based on this overlapping, focal development areas (Kiel) or specific planning areas (Lübeck) without sharp borders are outline as spatial plane of reference for integrated action (see also Fig. 15, p. 116 for Kiel and Fig. 17, p. 120 for Lübeck). Within this new spatial dimension of integrated planning, the city-wide and districted-focused perspectives are combined. The bundling of focal topics in these areas requires integrated action in line with the overarching strategic aims and the motive of applying for funding.

![Diagram of Strategic Aims, Sectoral focal points of action, and Focal areas of development]

**Fig. 5:** Overlapping of strategic aims and sectoral concerns in the designation of focal areas of development in the ISEK of Kiel 2010

**Source:** ISEK Kiel 2010: 10

However, differences in the approaches in Kiel and Lübeck can be identified. In the case of Kiel, existing sectoral planning concepts and their district-specific statements were used in the outline of three of the five thematic focal areas (Fig. 5). Examples are the strategic objective ‘Social city Kiel’ and ‘Innovative city Kiel’ which partly build upon the indicator-based classifications of ‘deprived neighbourhoods’ or different housing areas according to the demand for planning intervention. In contrast to Schwerin and Greifswald, these classifications based on dominant sectoral concerns did not form the singular basis for the outline of five focal development areas which are characterized by a bundling of topics. Whereas the consideration of sector specific requirements for the individual districts has been an integrated part of the description of the strategic aims in Kiel, includes the ISEK of Lübeck individual district profiles. They cover indicators and main characteristics as well as a summary of strengths, challenges, tasks and possible projects for the further development. Due to a back-coupling within the planning process, district specific topics are also embedded in the overall strategic concerns for the development of the entire city. Both dimensions have been used in the
outline of five types of special planning areas with different thematic focal points of activity. Further details about both approaches are presented in the summary of the ISEKs in the appendix. Both ISEK’s include a further description of the areas including a list of planned measures.

City-regional level

City-regional interdependencies and cooperation concerns have been taken into consideration in all analysed case study cities. However, the thematic fields of regional cooperation and its institutionalisation vary within the cities of Greifswald, Schwerin, Kiel and Lübeck. The best practice example among the analysed case study cities is Greifswald, where regional interdependencies in terms of migration and regional economic development have been taken into consideration in the analysis part and interregional cooperation has been institutionalised during the ISEK preparation process. This process has been closely linked with the ISEK preparation in the Hanseatic City of Stralsund due to statutory spatial development guidelines. Both cities share the functions of a high-order centre designated by Federal State spatial planning. This means they share the responsibility to meet demanding, specialised requirements of the population in the extended catchment area (technical colleges/universities, specialised clinics, large department stores, etc.). Here, a close cooperation has been conducted during the planning process, e.g. based on the joint participation in workshops, to avoid unnecessary and inefficient competition. Moreover, a practical implication of the ISEK process for regional development is that the informal cooperation with Stralsund and the surrounding municipalities forms the basis for the preparation of a Regional Development Concept.

A common finding for all case study cities is that cooperation with the surrounding municipalities has been institutionalised earlier than the start of the ISEK process. In Schwerin, a ‘Concept to Safeguard a Sustainable Settlement Development’ for the area of Schwerin, Parchim and Wismar has been adopted under the framework of regional planning and an informal agreement on the amount of new building construction with the surrounding municipalities could have been reached. A regional working group has been established in Lübeck in 1990 in face of the German reunification. In 2005, a regional development concept had been prepared including informal cooperation agreements in the fields of infrastructure, economic development, public transport, energy supply, coordination of settlement development, tourism and habitat networks. City-regional concerns are also taken into consideration in Kiel. For example a joint open space development concept has been prepared based on individual landscape plans, regional planning concerns as well as environmental protection legislation. Strong emphasis has been given on the creation of a habitat system, a framework for settlement development and environmental protection with preservation and conversation measures. Here, an inter-municipal working group has been established.

Consequently, statements concerning strengthening regional cooperation can be found in all first adopted ISEKs of the case study cities. Special is the ISEK of Lübeck where regional cooperation is covered under the first strategic aim and thematic focal area: ‘Hanseatic City & Neighbouring City’. Regional cooperation is here seen a cross-sectional task and the necessity for cooperation is outlined for various topics and projects with economic, cultural, ecological dimensions. Motivation for inter-regional cooperation is seen in the beneficial transfer of knowledge to strengthen Lübeck’s economic position and to benefit from large-scale infrastructure projects. In this respect, interregional cooperation is seen as ‘division of labour’. Also other ISEKs include concrete projects of city-regional dimension. Examples are the development of an inter-municipal commercial site (Schwerin), the establishment of a ‘public wind park’ or the creation of an ‘Edutainment hiking trail’ as tourist attraction and recreation area (Kiel). The ISEKs of Lübeck and Kiel include also a European dimension.
of interregional cooperation. Lübeck is cooperating within the Baltic Sea Region and other city networks. Its intensification is emphasised in the fields of science, bio-technology, regional policy, maritime economy, renewable energy and climate protection under the framework of programmes such as INTERREG. A concrete project is dealing with the Fehmarn Belt Fixed Link. Kiel is even describing itself as ‘European City’ under the consideration of its city partnerships in the Baltic Sea Region, e.g. its membership in the Union of Baltic Cities. The ISEK of Kiel also includes a concrete project with European Dimension. Here, the city is proving a joint application and holding of an international garden show. Beside these cooperative concerns, regional competition for inhabitants and business development remains an important issue as the cities’ own strategies concerning land designation for housing and commercial development illustrate. Nevertheless, a joint regional business development promotion with two surrounding administrative districts is conducted in Kiel to strengthen the position of the entire region in global competition. This cooperation is partly driven by a lack of large and cheap areas for business development within the city borders.

Summary

The principle that integrated urban development planning should not be solely focused on the city-wide level as laid out in the Leipzig Charter is reflected in all four case study cities. Development aims for singular neighbourhoods are embedded in the context of the city as a whole and city-regional cooperation concerns are taken into account. However, the consideration of the European dimension in interregional cooperation is only outlined in two of four case studies. Nevertheless, all ISEKs of the first generation are assessed as ‘comparable strong’ integrated in this dimension. On the city-district level, the ISEKs of the case studies are not solely based on ‘deprived neighbourhoods’ classified by socio-economic characteristics. The framework of the Leipzig Charter is here expanded to further districts with multi-faceted characteristics, deficits and potentials for development. The detailed analysis of the ISEKs illustrates that different approaches has been used in the concretization of guiding principles for urban development on the neighbourhood level. Their classification is based on various indicators or the overlapping of strategic aims with district specific development concerns. The author traces this back to the different motivations for the preparation of the Integrated Urban Development Concepts and the varying frameworks for integrated urban development planning in the two Federal States Mecklenburg-Vorpommern and Schleswig-Holstein. In Greifswald and Schwerin, the Integrated Urban Development Concepts were prepared for the cities’ participation in the ‘Urban Renewal East’ programme. The determination of focal areas for deconstruction and upgrade measures strongly reflects this programmatic framework. This is contrasted by the ISEKs of Lübeck and Kiel which cover a broader spatial and thematic spectrum in line with the objective of applying for funding from various sources.

On the city-regional level, regional cooperation has been institutionalised and its intensification is emphasised in most of the case study cities. However, these findings can hardly be traced back to the Leipzig Charter since regional cooperation has been institutionalised much earlier than 2007. This cooperation is much more driven by regional planning requirements or practical constraints resulting e.g. from the population and economic development, infrastructure issues or environmental concerns. Furthermore, the analysis of the considerations of city-regional interdependencies illustrates a great variety of approaches in the case study cities and the weight given to interregional cooperation. This is partly based on the informal character of regional cooperation, the underlying principle of voluntarism in cooperation and city-regional-specific preconditions. Whereas regional cooperation has been institutionalised earlier than the ISEK process in all case study cities, only the
2002 ISEKs of Greifswald documents the participation of neighbouring municipalities during the ISEK preparation process. Nevertheless, a statement about strengthening regional cooperation can be found in all first adopted ISEKs. However, it remains unclear if different forms of institutionalisation will be established and if the fields of regional cooperation will be expanded in comparison to the existing ones. The risk that regional cooperation remains a merely declaratory intent is given due to the competitive pressure. Here, it could be outlined that the ISEK is also seen as an instrument for the cities’ positioning in regional competition, e.g. by emphasis on strengthening or sustain central functions such as retail, housing and business. Regional cooperation takes therefore mostly place in informal settings and with focus on thematic fields which are described as ‘unproblematic’ and where agreements can be easily reached.

Nevertheless, it has to be acknowledged that city-regional interdependencies have been taken into consideration in all case study cities in a sufficient manner. This applies at least for the first adopted ISEKs in the case study cities and is not applicable for the updated ISEK versions in the cities of Greifswald and Schwerin. Regional concerns are not taken into consideration anymore. In Schwerin, also a total shift from a combined city-wide and district-focused perspective could be observed. Here, two separate ISEKs were drawn up for districts constituting the focal areas for urban renewal measures. Therefore, a ‘comparable low’ level of integration has to be assessed for the updated versions of the ISEKs in the case study cities Greifswald and Schwerin in this dimension.

5.1.2. Consideration of various thematic fields of activity and subject-specific interrelationships

The Leipzig Charter takes the multi-faceted challenges for the development of European cities into consideration. According to the policy document, cities possess “unique cultural and architectural qualities, strong forces of social inclusion and exceptional possibilities for economic development. [...] However, they suffer from demographic problems, social inequality, social exclusion of specific population groups, a lack of affordable and suitable housing and environmental problems” (German Presidency 2007a: 1). Within this context, integrated urban development planning is promoted as a tool for the “simultaneous and fair consideration of the concerns and interests which are relevant to urban development” as well as the coordination of “spatial, sectoral and temporal aspects of key areas of urban policy” (ibid.: 2). The purpose of integrated urban development planning is here summarized as the facilitation of “early beneficial co-ordination of housing, economic, infrastructure and services development by taking account, inter alia, of the impact of existing ageing and migration trends and energy-policy conditions” (ibid.: 3). This should safeguard the function of cities as „engines of social progress and economic growth as described in the Lisbon Strategy and maintain the social balance within and among cities, ensuring their cultural diversity and establishing high quality in the fields of urban design, architecture and environment“ (ibid.: 1).

The consideration of various thematic fields of activity and subject-specific interrelationships is also emphasised in the strategies for integrated and sustainable urban development provided in the Leipzig Charter. Topics cover the physical upgrading of the building stock and historic building preservation, technical infrastructure measures including transport and supply networks to increase energy efficiency and the economic use of natural resources. Moreover, education, employment, social services, health, safety and security concerns as well prevention, mitigation and adaptation measures to combat climate change are included in the policy document. Under the umbrella of an integrated policy for deprived neighbourhoods, suitable social integration and culture, housing, economic, education and training policy as well as transport planning and traffic management are
emphasised. This is driven by the awareness that these policy fields are closely interlinked. Moreover, coordinated action and the awareness of linkages is necessary to tackle inequalities and prevent social exclusion, to provide equal opportunities for the inhabitants - especially youth and children, to reduce existing deficits such as negative impacts of transport on the environment and to integrate these neighbourhoods better into the city and region as a whole (ibid.: 3f.).

Results of the analysis

In line with the presented flexible definition approach provided in the BMVBS&BBSR study, a ‘comparable strong’ level of integration is reached when subjects and their interrelationships outside the direct thematic scope of planning are taken into consideration in the ISEK and the underlying planning process. An example is to account social concerns in physical planning. Within the qualitative content analysis, it had been examined which thematic fields of activity had been taken into consideration in the analysis part, the definition of strategic aims or guiding principles as well as the specification of measures in the ISEKs. Moreover, it had been analysed if the topic description followed an isolated approach or interrelationships between the physical, economic, social, cultural and ecological dimensions of urban development had been outlined.

The analysis shows that the first generation of ISEK’s adopted in the cities of Schwerin and Greifswald has been narrowed down to the outline of subject-specific interrelationships within the physical dimension of urban development planning (settlement structure, urban design and urban renewal, housing and housing market development, public spaces and living environment, green and open spaces, as well as technical and social infrastructure). Similar, a ‘comparatively weak’ level of integration is reached in the updated versions of the ISEK in Greifswald 2005 and the ISEK Schwerin 2010 focusing on inner-city areas. That a ‘comparable strong’ level of integration in this dimension can be reached in ISEKs prepared within the context of the ‘Urban Renewal East’ programme is illustrated by the updated ISEKs of Schwerin of 2005 and especially the 2008 version with focus on prefabricated housing areas. Here, interrelationships between the physical, economic, social, cultural and environmental dimension has been taken into consideration in the definition of multi-dimensional development goals and key projects. The high level of integration reached here is comparable with the ISEK Kiel 2010. Even though the ISEK of Lübeck 2009 covers a broad range of thematic fields and combines them in the definition of strategic aims, limited attention has been given to outline subject-specific interrelationships. This is caused by a dominant sectoral approach in the analysis. Still, a ‘comparable strong’ level of integration can be assessed for the ISEK, due to the outline of focal areas by an overlapping of different thematic concerns and therefore the combination of multi-dimensional measures in the special planning areas.

The best-practice example found among the analysed planning documents is the ISEK of Schwerin 2008 even though the spatial focus is narrowed to prefabricated housing areas. The ISEK covers a broad range of topics and outlines subject-specific interrelationships in guiding principles and pilot projects. Exceptions are public health, traffic and mobility as well as education concerns which are not included in an integrative manner. The outline of the complex interrelationships between the different dimensions for the development in prefabricated housing areas can be summarized as follows: the deconstruction of vacant housing units should first of all safeguard the economic competitiveness of housing companies. Moreover, the demolition of housing stock allows the physical restructuring of these areas by developing green and open spaces on former build-up areas. This should go along with investment in the social and technical infrastructure to improve the living conditions for the remaining inhabitants. Thus also increasing the potential to build single family
homes to raise the variability of the housing stock and attract different social groups. The restructuring also allows a focus on ‘centres’ where housing quality should be improved and the retail function should be safeguarded or improved to use synergies e.g. for the creation of jobs in this areas. Moreover, these physical measures must go hand in hand with social and environmental measures to combat social exclusion and climate change. The consideration of the complex interrelationships in Schwerin’s ISEK for the prefabricated housing areas is also illustrated by the outline of integrated key projects such as the ‘ZwischenRÄUME’ (‘in-between-areas’) project. The project aims at making use of the huge amount of open space released by the deconstruction of buildings. New uses, whether public or private, are required to enhance the living environment, to improve the image of the area and to increase the level of identification with the neighbourhood among the inhabitants. Therefore, a design concept has been developed covering all three prefabricated housing areas and including flower meadows, sport and recreational areas, woods and allotment gardens. The last point is essential in overcoming the lack of private green space in these areas. Moreover, an economic use of the areas such as ‘Solarpark’, a solar power plant, or the cultivation of grain for energy production in line with overarching guidelines for innovative use of resources in the energy supply for the areas is emphasised. A suitable management, including both inhabitants and professionals, is required to organize and coordinate the utilization of these areas.

The ISEK of Kiel 2010 includes all topics relevant for urban development planning as outlined in the Leipzig Charter and the theoretical background. Due to the approach undertaken in the ISEK process, the complex interrelationships are taken into account within the analysis part under the umbrella of the strategic objectives and the focus development areas. Moreover, all concrete measures mentioned in the planning document include multi-dimensional aims. The overarching aim of the ISEK was to provide an overview about all relevant and complex urban development issues. To reach a high level of clarity, the ISEK includes only short descriptions of relevant facts and refers to sectoral planning concepts for a more detailed analysis. The ‘comparable strong’ level of integration in this dimension of integrated planning is for example reached by the integration of physical and social dimensions in urban planning. Kiel developed in this field an ‘integrated socio-spatial planning’ approach for areas with a high concentration of social problems. The concepts for these areas combine social planning with physical planning efforts in a long-term approach. Interdisciplinary planning is implementation-oriented and takes social status, urban development, housing, security and public safety as well as structural and economic development concerns into consideration. These issues are embedded into the strategic objective ‘Social city Kiel’ and should contribute to create equal opportunities for the focus groups elderly people, people with migration background and disabled people. The approach covers different physical, economic and social measures which take the specific circumstances and demands in singular neighbourhoods into consideration. Further topics and their interrelationships are outlined under other overarching strategic objectives.

A similar combination of physical and social measures is emphasised in the ISEK update of 2005 in Schwerin for one focal urban renewal area. This is based on programme funding from both, the ‘Urban Renewal East’ and ‘Socially Integrative City’. Topics with a physical dimension remain dominant, but planning efforts in other dimensions should be strengthened. Beside deconstruction and upgrading, socio-economic measures such as the provision of entrepreneurial seminars, the development of a concepts for a weekly local market, the integration of people with migration background (e.g. by the provision of language course and cultural activities), public relations to improve the image of the areas, the realization of a neighbourhood festival and the investment in a community centre are emphasised.
The number of topics covered in the ISEK of Lübeck 2009 reaches a comparable level of completeness as in Kiel. All relevant concerns of urban development planning are included in the analysis, goal-definition and measures provided in the ISEK. However, the outline of subject specific interrelationships is weaker due to the structure and approach of the ISEK preparation. Most important here is the sectoral approach in the analysis. This approach becomes apparent in the description of the district profiles covering weaknesses, strengths and potentials of singular areas. A combination of different topics is undertaken within the outline of the strategic focal points of action. This includes also multiple mentioning of different topics under various strategic objectives. The way of presentation chosen in the planning document has primarily the character of a loose list of topics and does not meet the requirements associated with a comprehensive outline of the complex interrelationships. However, a ‘comparable strong’ level of integration in this dimension is given due to the combination of various measures with physical, economic, social and environmental dimension in the special planning areas. This is based on the methodological approach of the spatial overlapping of city-wide strategic objectives and district-specific requirements. The ISEK includes here a further description of the interrelationships of urban development concerns for each of the areas and the projects given priority are back coupled with the thematic fields of activity.

The other analysed ISEKs do not reach a ‘comparable strong’ level of integration in this dimension due to the solely focus on the physical dimension of urban development and the consideration of further topics in an incomplete, isolated or punctual manner. These findings account especially for following subjects: traffic and mobility, public health, environment and climate, labour employment and qualification, marketing and public relations as well as social interaction and integration.

Summary

The analysis has shown that the principle of considering various thematic fields of activity and subject-specific interrelationships as laid out in the Leipzig Charter and the theoretical framework is only partly reflected in the ISEKs of the case study cities. Even though a broad range of thematic fields of activity are covered in the ISEKs, remains the consideration of the topics such as public health, environmental and climate, marketing and public relations as well as traffic insufficient. Here, information is limited to singular issues or isolated and not integrated. Positive exceptions from this are the ISEKs of Kiel 2010 and Lübeck 2009 which provide the most comprehensive coverage of topics. A common characteristic of all analysed ISEKs is the outline of complex interrelationships within the physical dimension of urban planning. This accounts especially for the ISEKs prepared under the framework of the ‘Urban Renewal East’ programme. That a higher level of integration, based e.g. on the joint consideration of physical and social interrelationships in urban planning can be reached, is illustrated by the ISEKs of Schwerin 2005 and 2008 as well as the ISEK of Kiel 2010. This is not least based on the experience gained within the ‘Socially Integrative City’ programme. The combination of physical, social and economic measures is here a central concern. A further account of economic, social and environmental concerns in focal areas results from the methodological approach of overlapping strategic concerns with district specific requirements as undertaken in the cities of Lübeck and Kiel.

These findings also illustrate that the reflection of the principle laid out in the Leipzig Charter in the ISEKs cannot be traced back to the policy document itself. Much more important are the programmatic framework for the preparation of the singular ISEKs, the methodological approach used in the preparation and also the characteristics of stakeholders involved. Moreover, the different weight given to the singular topics can be also interpreted as an outcome of the administrative
organisation of integrated planning, including the weak position of respective departments in local public administration e.g. for health and environmental concerns or the persistence of dominant sectoral approaches e.g. in the field of traffic planning. More information about inter-departmental organization of integrated planning as well as stakeholder involvement will be given in the next chapters.

The author does not claim that there is a limited awareness for the complexity of topics in urban development planning in parts of the case study cities. He concludes that the outline of complex interrelationships covering the physical, economic, social and environmental dimension of urban development planning is challenging due to a lack of capacity in administration and the planning document itself. Therefore, several strategies have been elaborated in the case study cities. This covers the limited spatial focus on specific districts of the cities with common characteristics as in Schwerin, the summery of main concerns and the reference to various existing sectoral planning documents as in Kiel or the loose compilation of different thematic fields without further explanation of the underlying interrelationships as in Lübeck. Highlighted in this sense should be again the integrated key projects in the ISEK 2008 for the prefabricated housing areas in Schwerin which constitute a good example for the integration of various thematic fields and measures under consideration of the different dimensions of the urban renewal process. Beyond the thematic fields of activity mentioned in the Leipzig Charter and the theoretical background, the author recommends also a stronger consideration of the overall financial situation of the municipality as carried out in the examples of the ISEK 2002 of Greifswald and the ISEK 2009 of Lübeck.

5.1.3. Involvement of various administrative areas

There is only limited information about the involvement of various municipal administrative areas in integrated urban development planning provided in the Leipzig Charter. This is explained by the main concern of the policy document. Here, the ministers focused on the horizontal integration of the principles and strategies of the Leipzig Charter into national, regional and local development policies. Consequently, information about the vertical integration among different administrative units on the local level remains vague. A statement included in the Leipzig Charter is that “holistic strategies and coordinated action by all persons and institutions involved in the urban development process” are emphasised (German Presidency 2007a: 2). This includes the coordination of sectoral policies on various levels. With reference to the national levels of the Member States, the policy document concludes: “the efforts of different sectoral Government Departments working or having an impact on urban issues need to be better aligned and integrated so they complement rather than conflict” (ibid.: 7). The same would account for the local level. However, this information is missing due to the great variety and strong role of local self-government organisation in the Member States. This is highlighted by following statement about the implementation of the Leipzig Charter: “Its implementation is a task of European scale, but it is one which must take account of local conditions and needs as well as subsidiarity” (ibid.).

Results of the Analysis

As outlined in the theoretical background, a ‘comparatively strong’ level of integration is reached when a ‘wider range’ of administrative departments is involved in the planning process to provide for a complete account of interests affected by planning. Shortcomings of this definition are that there is no information about the institutionalisation of interdepartmental cooperation (this is partly covered under the dimension ‘management of integrated planning’), the quality of cooperation and
coordination as well as the absence of a common understanding what a ‘wider range’ of involved municipal departments means. A further limitation is that the qualitative content analysis relies on the explicit mentioning of involved departments in the ISEKs. Following the underlying holistic approach of integrated urban development planning, the ISEK of Lübeck can be assessed as ‘comparatively strong’ integrated. Here, representatives of all five administrative departments have been involved in the ISEK process. In the other case study cities several shortcomings could be observed. Concerns about interdepartmental coordination and cooperation are at least taken into consideration in the implementation of emphasised measures in the case of Kiel. Interdepartmental concerns are reflected in the institutionalisation of cooperation and coordination among different administrative units (and other stakeholders) in Schwerin and Greifswald, but the involved departments and their role in the ISEK process are not explicitly named.

In the case of Lübeck, shortcomings in interdepartmental cooperation and coordination have been mentioned as obstacles for integrated urban development planning by external experts in an early stage of the ISEK process. Here, project implementation has been problematic due to limited exchange of information within several administrative units and uncertainties about the responsibilities of singular departments. A stronger focus on cooperation and coordination within the administration as well as with actors outside the administration has been therefore emphasised to improve communication, to raise transparency of decision making, to enhance goal-orientation of administrative acting, to increase planning reliability for investment and to boost citizens’ volunteerism. Consequently, representatives of all five administrative departments (mayor affairs; economics and social affairs; environment, security and public order; culture as well as planning and building) have been participating in the ISEK process under the steering of an external consultant. The representatives of different administrative departments have been involved during several steps of the ISEK process. They were passive participants of expert forums and participated actively in workshops and other forums with a broader stakeholder involvement on city-wide and neighbourhood level. However, the composition and number of the involved administrative representatives differed in the single platforms due to different focal points of activity. An example for the participation of all departments is the neighbourhood forum for the inner-city area. It is highlighted in the documentation of the ISEK process that the necessary knowledge and experience in integrated planning exists in the administration due to the earlier cooperation of subunits on a project-base. However, there is a lack of capacity within the administration. This is illustrated by the example of an existing, subject-specific working group which would benefit from the support by representatives of further administrative units. Here, a political decision is required to adopt e.g. personnel resources to meet the requirements of interdepartmental cooperation. Further emphasis has been given on interdepartmental cooperation in the implementation of measures and projects. The ISEK names here normally more than one responsible department. Moreover, the ISEK recommends the perpetuation of the existing interdepartmental steering group for the ISEK implementation and its monitoring.

The ISEKs of Kiel, Schwerin and Greifswald do not include such detailed information about interdepartmental coordination and cooperation. In Kiel, various existing sectoral planning concepts prepared by different departments or external consultants had been taken into consideration in the preparation of the ISEK but no interdepartmental cooperation is reported. Nevertheless, the cooperation between different departments is emphasised for the implementation of measures. The ISEK 2002 of Schwerin provides information about the establishment of a working-group on ‘urban renewal’ with representatives of politics, administration (urban planning, building and social affairs
department) and housing companies. Within the ISEK process, an (inter-departmental?) working group on 'social and technical infrastructure' has been established. The members are not mentioned explicitly. Furthermore, a consultation on singular aspects with the departments responsible for youth, social and housing affairs, school administration, traffic planning, and communal business development had been undertaken in the ISEK preparation process. It is mentioned that interdepartmental cooperation is concretized on the neighbourhood and project level but responsibilities of singular departments for the implementation of measures are not outlined. This accounts also for the ISEK of Greifswald. Here, it is mentioned that an inter-departmental project-group has been established but its members are not named. Moreover, the representatives of the administration are not part of the steering group but participated in workshops together with other stakeholders and the public. One of the limited information given is that the administration has been consolidated in the selection of focal areas but no clear responsibilities are named for the implementation of measures. A rhetorical detail in the updated version of the ISEK Greifswald 2005 is that those departments 'relevant' for urban development planning had been involved in a working group on 'urban renewal'.

Summary

The implementation of the principle of involving various administrative areas in the ISEK preparation process illustrates a great variety among the case study cities. An explanation for the heterogeneous reflection of the principle is that the administrative organisation on the local level is subject to local self-governance. This means that neither EU policies nor national and regional authorities have a relevant impact on the municipalities’ administrative organisation. Crucial for strengthening interdepartmental cooperation and coordination is the awareness that an inappropriate implementation of this principle is a main obstacle for integrated urban development planning on this level.

It has been outlined that strongest emphasis on interdepartmental cooperation and coordination has been given in the case study city Lübeck. Decisive for this emphasis was the high level of awareness of the problem in an early planning stage. Furthermore, the comprehensive documentation of the participation process in the appendix of the ISEK allows the evaluation that all administrative departments had been involved in the ISEK process. Even though these issues are addressed in the planning document remains interdepartmental cooperation challenging for the municipality due to a lack of capacity. Changing this requires political commitment for the allocation of these capacities. Obviously, there was less political commitment to allocate broad administrative capacities in the other case study cities. In the ISEK process of Greifswald and Schwerin, the administrative departments considered as ‘relevant’ for urban development has been participating. Even here was a ‘comparable strong’ level of integration reached due to the vague flexible definition approach in this dimension. In contrast, the ISEK of Kiel does not allow this conclusion since no information about interdepartmental cooperation and coordination in the preparation process is provided. However, the qualitative content analysis might not to be an adequate analytical tool here. To overcome the limitations, the author recommends expert interviews with the administrative representatives involved in the ISEK preparation.

5.1.4. Participation of players from outside the spheres of politics and public administration

The Leipzig Charter puts strong emphasis on broad stakeholder involvement and public participation. The ministers declared that "integrated urban development policy means simultaneous and fair consideration of the concerns and interests which are relevant to urban development. [...] The
involvement of economic actors, stakeholders and the general public is essential” (German Presidency 2007a: 2). This is driven by concerns about the reconciliation between the different interests. Here, integrated urban development policy should provide “a viable basis for a consensus between the state, regions, cities, citizens and economic actors” (ibid.). Consequently, this dimension is considered in the strategic concerns about the creation and safeguarding of high-quality public spaces, infrastructures and services, the provision of proactive innovation and educational policies as well as the attempts in dealing with deprived neighbourhoods. According to the Leipzig Charter, “active involvement of the residents and a better dialogue between the political representatives, the residents and the economic actors is essential to find the best solution for each deprived urban area” (ibid.: 5). With focus on public participation, citizens should be enabled “to play an active role in shaping their immediate living environment”, a “social and intercultural dialogue” should be promoted and an “opportunity for social and democratic participation” should be provided (ibid.: 2f.). Even though there is emphasis on bringing the stakeholders together by supporting existing networks and optimizing local structures, there is less information about the organisation of the participation process on the local level in the Leipzig Charter.

Results of the analysis

In line with the flexible definition approach presented in the theoretical background, a ‘comparable low’ level of integration is reached when methods and intensity of participation do not go beyond the legal requirements covering stakeholder involvement and public participation in the planning process. Consequently, a ‘comparatively strong’ level of integration concerning the participation of players from outside the spheres of politics and public administration is reached by the establishment of working groups, public forums or future conferences with multi-actor settings in the planning process. To assess the Integrated Urban Development Concepts, it has been crucial that information about the participation procedures were documented in the ISEK. From that point of view, the ISEK 2009 of Lübeck provides the most comprehensive information since a detailed documentation of the participation process is included in the appendix of the ISEK. This and the fact that huge emphasis has been given to broad stakeholder involvement and public participation in general result in the assessment ‘comparatively strong’ integrated in this dimension. Similar assessed were the ISEK’s of Greifswald 2002, Schwerin 2002 as well as its update in 2008. It could have been observed that important information about the underlying participation process are missing in the other updated ISEK versions of the two East German case study cities. The ISEK of Kiel 2010 is assessed as ‘comparatively low’ integrated since participation concerns just played a major role in the implementation phase but not in the preparation process of the ISEK. The results of the analysis are summarized in table 4.

The most ambitious involvement and participation schemes among the case study cities have been developed in Lübeck. Crucial in the preparation process under the guidance of an external planning office was a forum with 20 representatives of local business and science, the Federal State and the region, housing companies, foundations, media, marketing, tourism, culture, social as well as environmental concerns. The specific knowledge of these representatives about the development of the city had been taken into consideration in the preparation of the ISEK. An even broader spectrum of stakeholders with focus on socio-cultural associations and networks was reached in thematic workshops during the ISEK process. Further external experts were consulted on singular aspects. Strong emphasis has also been given to public participation. City-wide and neighbourhood-based forums allowed the inhabitants to submit proposals for measures and projects. A special
Tab. 4: Participation of players from outside the spheres of politics and public administration in the ISEK preparation process in the case study cities

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Involvement of organised stakeholders (institutionalisation)</td>
<td>External planners and consultants</td>
<td>Planning department in close cooperation with the working group</td>
<td>External planning office in close coordination with all administrative departments</td>
<td>ISEK preparation limited to the administration (planning department)</td>
</tr>
<tr>
<td>• housing companies, tenant association, private house owner association, municipal redevelopment agency, public utility companies, representatives of the six city-marketing working groups, scientific advisory board (coordination group)</td>
<td>• municipal and cooperative housing companies, private housing companies (working group)</td>
<td>• 20 representatives of local business and science, the Federal State and the region, housing companies, foundations, media, marketing, tourism, culture, social, environment (forum)</td>
<td>- no information provided</td>
<td></td>
</tr>
<tr>
<td>• representatives of the surrounding municipalities (workshops)</td>
<td>• owner-operated municipal enterprises for technical (sewage, heating, waste, etc.) and social (child and elderly care) infrastructure (consultation)</td>
<td>• 60-80 representatives of (social) associations and networks (workshops)</td>
<td>- no information provided</td>
<td></td>
</tr>
<tr>
<td>• external experts (consultation on singular aspects)</td>
<td>• property developers, banks, social organisations and tenant associations (housing forum)</td>
<td>• external experts (consultation on singular aspects)</td>
<td>- no information provided</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• external experts (consultation on singular aspects)</td>
<td></td>
<td></td>
<td>- no information provided</td>
</tr>
</tbody>
</table>

Institutionalisation of public participation:

<table>
<thead>
<tr>
<th></th>
<th>Workshops</th>
<th>Survey, housing forum</th>
<th>City-wide and six neighbourhood-based forums, special scheme for youth participation</th>
<th>- no information provided</th>
</tr>
</thead>
</table>

Additional information:

<table>
<thead>
<tr>
<th></th>
<th>ISEK 2005 update prepared by another external planning institute; working group on urban renewal (administration, municipal redevelopment agency and housing companies) involved in the ISEK preparation</th>
<th>ISEK 2008 process with much more emphasis on public participation and broad stakeholder involvement, several workshops during the whole planning process</th>
<th>Public participation outlined as an independent thematic focal area of activity</th>
<th>Broad stakeholder involvement and public participation emphasised on the project and neighbourhood level</th>
</tr>
</thead>
</table>

ISEK preparation limited to the administration (planning department)
participation scheme has also been established for the youth on relevant planning issues for this target group. Public participation has been furthermore outlined as an independent thematic focal area of activity. This is not least based on the positive experience gained on previous planning for elderly housing, social development planning, youth projects as well as the preparation of concepts for the design of public spaces in the city-centre. The ISEK emphasises also the establishment of adequate participation schemes for single topics and specific target groups on the neighbourhood level with focus on various existing networks. The concerns about public participation are related to the objective to increase transparency, traceability and legitimacy of decision-making. This emphasis is not least driven by shortages in the public budget and the importance of private organizations for the project initiation, steering and implementation. To support private engagement, administration should improve its communication, support existing networks in the application procedure for financial support or by the provision of premises. Consequently, the emphasised measures include a comprehensive list of involved stakeholders for the project implementation. Moreover, the forums for stakeholder involvement and public participation established during the ISEK process should be retained to consult the administration during the implementation phase.

The number of involved actors in the ISEK preparation processes in the other case study cities is lower. It includes for the ISEK Greifswald 2002 external planning and architecture offices and consultants, several housing companies, the tenant association, the private house owner association, the municipal redevelopment agency and public utility companies as well as representatives of the six city-marketing working groups (economy, health, housing, leisure/culture/sports/youth, nature/tourism and regional cooperation) as part of the coordination group. External experts were consulted on singular aspects and the general public as well as representatives of the surrounding municipalities participated in two workshops. In the ISEK 2002 process of Schwerin, municipal and cooperative housing companies were participating and owner-operated municipal enterprises for technical (sewage, heating, waste, etc.) and social (child and elderly care) infrastructure were consulted. Other institutions such as property developers, banks, social organisations and tenant associations participated in the housing forum. External experts such as a private research institute or planning offices were e.g. conducted for data analysis and population development scenarios. In preparation of the ISEK, a public survey about housing and living conditions was undertaken. Further information of the public took place during the housing forums and via media. Even though great importance has been attached to public participation in the guiding principles of the ISEK Kiel 2009, the ISEK preparation process itself has been limited to the administration.

Broader stakeholder involvement and participation is in this three case study cities aspired on the neighbourhood or project level. Here, the development of suitable participation schemes is emphasised in dependency on the singular task. With the consideration of the ‘Socially Integrative City’ area in the ISEK Schwerin 2005, more emphasis has been given on the experience gained with social district management. Five working groups on different aspects had been established consisting of representatives of the city, housing companies, social associations, inhabitants or businessmen. This experience has also influenced the preparation process for the ISEK 2008 for Schwerin. Public participation and broad stakeholder involvement was conduct during the whole planning process without naming the participants in detail. Moreover, the importance of this dimension in the project implementation has been recognized. Consequently, inhabitants and administration as well as social associations and housing companies are named as responsible for the project implementation. Central element in the ISEKs prepared under the framework of the ‘Urban Renewal East’ programme is the establishment of an urban renewal management to coordinate different activities among
various stakeholders, to moderate between different interests and to balance impacts on individual tenants affected by the tearing down of their housing units. Another instrument is the opening of offices in the focal areas for urban renewal to provide low-threshold services. Shortcomings are observed in the involvement of all relevant housing companies or owners. This accounts especially for private house owners in prefabricated housing areas and areas with a heterogeneous building and ownership structure. This challenges the implementation of emphasised measures due to their key role in the deconstruction and upgrade of the building stock.

**Summary**

The analysis has shown that the principle of broad stakeholder involvement and public participation as laid out in the Leipzig Charter is reflected in the majority of the case study cities. However, this is not a result of the awareness about the EU policy document since emphasis on the implementation of this principle has been given much earlier. This is illustrated by the two East German case study cities which adopted comprehensive participation schemes already in the 2002 ISEK preparation processes. In line with the programmatic framework of the ‘Urban Renewal East’, the involvement of housing market stakeholders is a practical constraint. Even the adaptation of a comprehensive and systematic participation scheme as established in the ISEK preparation process of Lübeck has no obvious link to the Leipzig Charter and is driven by practical concerns such as avoiding conflicts in an early stage of planning.

These three case study cities reach a ‘comparable strong’ level of integration in this dimension even though a great variety in the institutionalisation of stakeholder involvement and public participation could be observed. An exception is the ISEK of Kiel, which gave the impression of an internal administrative planning document. It has to be said again that the analysis was heavily depending on the documentation of involvement and participation concerns. The ISEK of Lübeck was in that sense remarkable. However, the qualitative content analysis provides not a suitable instrument to estimate the quality of the participation process. This accounts especially for the factual impact of single stakeholders or the general public on the content of the ISEK. Nevertheless, it can be assumed that the bargaining power of single players varies in negotiations. One example are the large housing companies which had a strong impact on the determination of measures in the ISEK’s of the case study cities in Mecklenburg-Vorpommern. This is depending on the narrowed thematic focus of the ISEK and the central role of the housing companies in the implementation of the emphasized measures. However, even here a learning effect could be observed. In the ISEK process for Schwerin’s prefabricated housing areas in 2008, much more attention was paid on public participation since it was recognised that ambitious development concepts for these areas cannot be implemented without the support of the inhabitants.

Nevertheless, shortcomings in broad stakeholder involvement and public participation are also documented in case study cities with ambitious cooperative planning schemes. Here, stakeholder involvement and public participation is often limited to organized groups or existing networks. The activation of other groups or individuals remains challenging in spite of the use of new media and other efforts. The case of Lübeck also illustrates that frustration among the public can grow if there is uncertainty about contact persons in public administration, no reply on proposals for measures from persons involved in the ISEK preparation process or when proposals are not considered in the final ISEK due to a different political priority setting. Public participation raises also high expectations and disappointment is likely when emphasised measures cannot be implemented due to financial reasons.
5.1.5. Pooling of financial resources

The pooling of financial resources as another dimension of integrated urban development planning is outlined in both, the theoretical framework of this thesis as well as the Leipzig Charter itself. According to the policy document, scarce public funds can be more effectively used, public or private investments will be better coordinated and a higher planning and investment certainty will be reached by the pooling of financial resources (German Presidency 2007a: 2). Financial issues are especially taken into consideration in the upgrade of the building stock and technical infrastructure of deprived neighbourhoods. The political emphasis on pooling of financial resources is summarized in following statement in the Leipzig Charter: “In order to increase the sustainability of investments in upgrading the physical environment, they must be embedded in a long-term development strategy which also includes, inter alia, public and private follow-up investments” (ibid.: 6). The ministers are aware that the cities need a “sound financial basis” to deal with the complex challenges for urban development. Therefore, they underline the utilization of the European Structural Funds for urban development measures under consideration of specific difficulties, potentials and specificities in the individual Member States. The EU initiatives JESSICA and JEREMIE are highlighted as support for urban development investment and the funding of small- and medium-sized enterprises. These financial engineering instruments should be used to leverage private capital for the implementation of integrated urban development strategies and to enhance the effectiveness of existing public funding sources (ibid.: 7).

Results of the Analysis

According to the flexible definition approach used in this analysis, a ‘comparatively strong’ level of integration is reached when financial resources for the implementation of measures originate from more than one singular source. As already expected, all ISEKs of the case study cities reach this ‘comparatively strong’ level due to the fact that the ISEK is the prerequisite for the cities’ request for financial support from the federal-Länder programme ‘Urban Renewal East’ or have been prepared to apply for funding within other EU or national programmes for urban development.

In the cases of Schwerin and Greifswald, the first ISEK preparations have been motivated by the participation in the federal competition on ‘Urban renewal East’ in 2002 which marked the starting point of the programmatic framework. In line with the programme requirements, the detailed plans for urban renewal measures combine the financing from federal, Länder and city level as well as from housing companies. Beside this, motives in the pooling of financial resources can be found in the coordination of municipalities’ and housing companies’ activities to avoid unnecessary investment and to balance the financial burdens for the individual companies. As outlined in the 2005 ISEK update of Schwerin, public investment in the infrastructure is not least seen as a source to stimulate private follow-up investment, especially in inner-city areas. A positive impact of public investment for the local economy is also expected in the 2002 ISEK of Greifswald, e.g. due to the aspired contracting with local firms. However, this private investment should be steered by urban development contracts in order to reach the overarching urban development aims. A further similarity between both cities is that the programme areas of urban renewal measures are partly overlapping with the programme areas for the ‘Socially Integrative City’. This illustrates the high concentration of problems for urban development in the pre-fabricated housing areas and allows the conclusion that the implementation of the huge amount of emphasised measures in a high quality can only be reached by a pooling of financial resources from both programmes. Surprisingly, reference to funding from EU level is only poorly given in the ISEKs of the two cities. Notable is the 2008 ISEK for prefabricated housing areas.
Here, a lack of public financial resources has been observed endangering the success of the urban renewal process. The description of the integrated key projects as the presented 'ZwischenRÄUME' project highlights therefore the necessity to develop innovative solutions for the financing of measures. This includes e.g. the concentration of environmental impact compensation measures in these areas, the allocation of private sponsoring, public-private-partnership-financing schemes and the promotion of volunteerism in these areas. In the specific open and green space project, the design concept focuses moreover on vegetation which requires limited efforts in its maintenance to reduce the financial burden for the municipality.

In contrast to East German case study cities, the central aims of the ISEK preparation in Kiel and Lübeck are a public budget consolidation and the provision of a planning document to highlight potentials for the application for funding from different sources. The ISEK of Kiel 2010 highlights that urban development concerns are paralleled by the introduction of new management practices, a modernisation and coordination of the administration as well as emphasis on broad stakeholder involvement to reduce public debts and to avoid inadequate planning. Concerns about financial resource pooling are outlined in several underlying sectoral concepts with review of past activities ('Socially Integrative City', URBAN Community initiative, etc.) and model projects such as an international building exhibition or a state garden show for the acquisition of further funding. In general, most emphasised measures require financial resource pooling from different departments, higher-level authorities, different social organizations, sponsors and associations or the surrounding municipalities in regional projects. However, the level of concretisation is comparable low even though a financing plan is provided. This does not account for the ISEK of Lübeck 2009. Nevertheless, the pooling of financial resources is a guiding objective. The ISEK of Lübeck is unique in that sense, that emphasis has been given on the establishment of a central funding and finance management system within the administration. This is driven by the concern to improve the knowledge exchange about available funding and the specific application requirements. The planning document outlines to name one person per administrative unit responsible for financial acquisition for singular projects. Expert knowledge should be spread by regular meetings of these persons in order to combine funding resources for specific measures, coordinate municipal activities and consider budget and steering concerns. A further idea is to strengthen the service role of public administration in assisting private business and interest groups in the application procedure for funding.

A further strength of the ISEK of Lübeck 2009 is that it provides a comprehensive list and description of potential sources for funding on integrated urban development concerns. This includes:

- the EU level (Trans European Networks, INTERREG, EFRE and ESF);
- federal-Länder programmes (Improvement of the region economic structure, ‘Socially Integrative City’, ‘Urban Renewal West’, a programme for strengthening cities and district-specific functions, a programme for the preservation of historic monuments as well as a programme focusing on the energy-efficient retrofitting of the building stock);
- the Schleswig-Holstein ‘future programme’ (infrastructure measures, urban development, culture and tourism, the improvement of knowledge exchange between universities and business, education and qualification as well as the funding for small- and medium-sized enterprises);
- other programmes (e.g. UNESCO world heritage site funding, grants for school development, employment programmes);
- private sources (foundations, sponsoring, volunteerism).
Summary

It has been outlined that all case study cities took financial resource pooling concerns serious in the ISEK preparation process. The case study cities meet therefore the requirements associated with this principle of integrated urban development planning as laid out in the Leipzig Charter and the theoretical background. However, the concerns about pooling of financial resources are not based on the Leipzig Charter itself.

In the two East German case study cities, they can be traced back to the economic and social transformation process after the German reunification. Associated challenges such as housing vacancies exceeded the municipalities’ and housing companies’ financial capacities to react and required public funding from higher level. The ISEK has here a central role for the request for funding from the federal-\textit{Länder} programme ‘\textit{Urban Renewal East}’. Consequently, the first adopted ISEKs in Schwerin and Greifswald reach a comparable high level of concretisation for the financing of emphasised measures from public and private sources. However, concerns about pooling financial sources beyond this programmatic framework have been only taken punctually into consideration in the updated versions. The financial situation is less dramatic in the West-German case study cities but public budget shortages limit the cities’ abilities to deal with multi-faceted challenges. Moreover, there is a higher level ordinance to reduce the deficits. Thus requires tapping of new financial sources for urban development projects. The ISEK’s of Kiel and Lübeck reach a lower level of concretisation in terms of financing singular measures but are much more strategic in their approach of pooling financial resources from different sources for potential projects. Here, a central requirement was the spatial concretisation of urban development concerns as undertaken in the ISEKs.

It could be also outlined that there is a great variety of grants available for urban development matters originating from EU, federal or \textit{Länder} level and private sources. Concerning the EU level, the analysed ISEKs include more or less concrete information about the implementation of conventional European Structural Funds such as the ERDF. However, the new EU initiatives JESSICA and JEREMIE as emphasized in the Leipzig Charter are not taken into account. This can be explained by the fact that the Federal States Mecklenburg-Vorpommern and Schleswig-Holstein are not participating in the implementation of the initiatives, launched in 2007, so far. Even though there are funds available from different levels, the situation is difficult for the municipalities since funding requires co-financing by the city in line with specific programme requirements. Therefore, the cities also focus on private sources to generate their municipal share. Here, the support from foundations and volunteerism requires public acknowledgement and coordination to achieve the strategic aims associated with urban development planning. Moreover, the cities should not only focus on the initial investment and took also the costs for maintenance into consideration. It has been shown that concerns about pooling of financial resources are strengthened in younger concepts due to consideration of a broader spectrum of public funds or private financial sources. Their coordination requires a suitable financial management. A good approach has been elaborated in Lübeck. The concerns about the establishment of a central funding and finance management system within the administration as laid out in the ISEK of Lübeck should therefore be further developed.

5.1.6. Management of integrated action

The Leipzig Charter includes only vague statements concerning the institutionalisation of integrated urban development planning on the local level due to a limited competence of the Member States’ ministers responsible for urban development in this field. The Leipzig Charter states that integrated
urban development policy offers „a set of instruments which have already proved their worth in numerous European cities in developing modern, co-operative and effective governance structures“ (German Presidency 2007a: 3). Furthermore, „making use of sophisticated information and communication technologies […] for improving urban governance“ (ibid.: 4) is emphasised. Which forms of organisations should be used for interdepartmental cooperation, broad stakeholder involvement and public participation is not clearly outlined in the policy document. However, a link is made between the institutionalisation of integrated urban development planning and the overarching objectives of EU policy such as economic growth as well as economic and social cohesion: “integrated urban development strategies, cooperative urban development management and good governance can contribute towards a purposeful use of the potential of European cities particularly with regard to competitiveness and growth, as well as to reducing disparities within and among neighbourhoods“ (ibid.: 5). Here, innovative solutions and necessary skills should be developed on the local level to implement integrated urban development policies according to the Leipzig Charter. Their exact design remains subject to local self-governance.

Results of the analysis

As outlined in the theoretical background, a ‘comparable strong’ level of integration is reached when the management of integrated action is institutionalised. Institutionalisation might cover meetings of a steering group on a regular basis or inter-departmental working groups. This is contrasted by a ‘comparable weak’ level of integration when the management of integrated action is informal or ‘played by the ear’. The qualitative content analysis of Integrated Urban Development Concepts of the case study cities illustrates, that a ‘comparable strong’ level of integration in this dimension is reached in Greifswald, Schwerin and Lübeck. A ‘comparable weak’ level has been assessed for Kiel since no management and organisation forms of integrated planning are documented in the ISEK.

The most comprehensive management system for the preparation of the ISEK has been established in Lübeck (Fig. 6). Emphasis has been given to increase transparency in decision-making, stakeholder involvement as well as public participation and the improvement of the flow of information to reach a broad consensus. The ISEK 2009 was prepared under the guidance of external planners and consultants in close cooperation with a steering group consisting of representatives of all administrative departments. Furthermore, forums, workshops and presentations were conducted in several phases of the two-year ISEK process to allow adequate stakeholder involvement and public participation. In the ‘Forum Lübeck 2020’, 20 selected experts and representatives with different backgrounds met four times. There expert knowledge was used in the outline of thematic focal areas, the analysis of demand for action in specific fields, the definition of aims and the determination of priority measures. During a workshop in the early ISEK phase, 60-80 representatives of administration, politics and social-cultural organisations were involved in the outline of thematic focal areas of activity too. In the analysis phase, in total six neighbourhood forums were conducted to allow public participation with low threshold. Focus was the thematic and spatial concretisation and the designation of potential projects and measures in the specific neighbourhoods. This was followed by a similar presentation on the city-wide level. Aim was here the presentation of the final draft with emphasis on amendments resulting from public participation. Furthermore, external experts were consulted on singular issues during the preparation process.

The real strength of the ISEK in Lübeck is the comprehensive and exemplary documentation of the ISEK process. This includes the provision of various presentations given by the planners, protocols of the forums, workshops and other meetings including detailed comments, questions and answers.
during the public participation process. Moreover, a press review and a list of interviews with external experts undertaken during ISEK process are provided. This documentation also allows a specification of the quality of the public participation process. In total, more than 700 inhabitants of Lübeck participated in the presentations on neighbourhood and city-wide level. Based on the experience of the author, this is a remarkable number. Furthermore, special emphasis was given to include groups in the planning process which are usually characterised by under-average participation. Here, pupils and youth associations were involved in the preparation of a concept for ‘Youth in Lübeck’. Moreover, all the amendments for thematic focal areas of activity or measures and projects resulting from public participation are documented. However, it would require a further detailed analysis to figure out which of the emphasised issues were included in the final version of the ISEK. The documented questions allow just the conclusion that not all mentioned measures were given priority in decision-making in the city council. Nevertheless, all potential projects and measures are listed in the appendix of the ISEK.

The ISEK 2002 of Schwerin has been developed under the guidance of the local planning department. Central board for the development of the overall strategy was a working group ‘urban renewal’ including politics, administration and housing companies. This form of institutionalisation is based on experience with cooperation gained by the earlier establishment of a steering group for the development of large-scale prefabricated housing areas. To steer the ISEK preparation, the representatives met two to four times a year. In an annual housing forum followed the presentation of the current status of the ISEK process and first results of the implementation. The housing forum provided also the basis for a broader stakeholder involvement. However, it had a dominant consultative and informative character, even though single and concrete aspects of the ISEK were shaped in these forums. Public participation was not a dominant concern here since this should be primarily organized on the neighbourhood level. Emphasised forms were neighbourhood forums and planning workshop as well as the establishment of a contact point in the focal urban renewal areas.

![Organisation scheme of the 2009 ISEK process in Lübeck](image)

**Source:** ISEK Lübeck 2010: 10, translated from German original
Information about the institutionalisation of integrated action in the updated versions of the ISEK of Schwerin is limited to the perpetuation of the steering of integrated urban planning by the working group ‘urban renewal’. An exception is the ISEK 2008 for prefabricated housing areas, which provides the information that stakeholder involvement and public participation was organized during the whole ISEK preparation process. Here, workshops were organized between all steps of the planning process (see also Fig. 8, p. 77).

In Greifswald, the ISEK 2002 has been prepared under the guidance of external planners and consultants. Central board for the definition of activities, objectives and measures was a coordination group with representatives of the city, large housing companies, the consultants and planners as well as scientific advisors and further relevant actors. The participants met monthly during the preparation process and coordinated their activities. This coordination group was furthermore linked with an inter-departmental project group, an administrative steering committee, the city council and the external participants (Fig. 7). However, most important has been the coordination of measures of the two biggest housing companies in the urban renewal areas. Here, a general agreement about the amount of housing units to tear down could be reached but further detailed coordination is necessary. Moreover, two workshops were organized to determine guiding principles and measures under broader stakeholder involvement and under consideration of public participation concerns. This included also representatives of the surrounding municipalities which participated in the workshops. Beside the possibility of active participation during the workshops, emphasis was given on regular information of the public via media.

![Fig. 7: Organisation scheme of the 2002 ISEK process in Greifswald](source: ISEK Greifswald 2002: 38, translated from German original)

Both ISEKs prepared under the framework of the ‘Urban Renewal East’ programme put emphasis on the close cooperation in the implementation of upgrading and deconstruction measures between the municipality and housing companies. Central element is here an ‘urban renewal management’. In Schwerin, this has been established by the housing companies to communicate measures and aims
among their tenants and to steer removals. The ISEK of Greifswald includes in this respect just a proposal without naming clear responsibilities. Generally, the ‘urban renewal management’ should contribute to the evaluation of measures and strategies and to the coordination of different interests of the stakeholders. Deconstruction measures should for example not be reduced to the two main housing companies and further private house owners should be involved in monthly meetings. Moreover, there is a need for a temporal and financial coordination of measures between the housing companies and the administration or other stakeholders. Finally, a social assistance and removal management for those tenants affected by urban renewal measures should be established. The focus on public participation is here driven by concerns about increasing the transparency of decision making and the acceptance for urban renewal measures. This should be supported by the opening of a service office in the focal areas and regular meetings. To implement relevant projects in a short-term, the ‘urban renewal management’ should have the adequate administrative capacities and a suitable budget. However, there is no information about the status of the ‘urban renewal management’ in the updated ISEK 2005 of Greifswald. The only information given here is that there is a working group on ‘urban renewal’ consisting of administration, housing companies, the city’s redevelopment agency as well as the assigned external planners and consultants.

Beside the awareness that coordination and broad stakeholder involvement is necessary in the preparation and implementation of planning concepts and programmes, there is no information about the institutionalisation of integrated urban development planning in Kiel. Based on the qualitative content analysis of the ISEK of Kiel 2010, it is assumed that no institutionalisation took place. Therefore, a ‘comparable weak’ level of integration has to be assessed in this dimension.

Summary

The institutionalisation of integrated urban development planning in the case study cities occurred mainly independently from the Leipzig Charter. The reasons for this are the limited guidance in the policy document as well as the local self-governance and the associated sovereignty for the establishment of organisation schemes. Three of four case study cities have institutionalised integrated urban development planning. A great variety could be observed here resulting from individual conditions in the case study cities such as the participation of external consultants responsible for ISEK preparation, varying focal areas of activity, administrative capacities as well as political commitment for the establishment of comprehensive organisation schemes. Moreover, it is assumed that the size of a municipality affects the communicational distances between single stakeholders and affects therefore the institutionalisation of integrated planning.

The analysis illustrated that especially the first versions of the ISEKs include comprehensive information about the institutionalisation of integrated urban development planning whereas these information are missing in the updated ISEK version. A positive interpretation is here that the established management practices in the beginning of the ISEK process remained in practice. However, also changes in the management practices between different ISEK preparations within one city are documented as the example of the ISEK 2008 for the prefabricated in Schwerin shows. Much more emphasis on broad stakeholder involvement and public participation as well its institutionalisation was given here due to the awareness that ambitious objectives and projects in these areas require broad acceptance and involvement in the implementation. It has to be repeated that these more ambitious participation schemes were established more or less on the neighbourhood, not a city-wide level.
An exception from all findings in this dimension is the ISEK process in Kiel. Here, no information about the management and organisation is provided in the planning document. Adequate participation schemes are only emphasised in the implementation of the ISEK on the neighbourhood level. Further differences can be estimated for the case study cities Schwerin, Greifswald and Lübeck which had been assessed ‘comparable strong’ integrated in this dimension. Various forms of institutionalisation were found in the analysis covering ‘steering groups’, ‘coordination rounds’ and ‘working groups’. Unfortunately, the ISEKs provide no further detailed information about the competences concerning decision-making and budget issues. The methodological framework of this thesis is insufficient in the evaluation of these quality criteria. A further issue is the implementation of the ISEKs which requires also suitable institutionalisation. Even the ISEKs which provide information about ambitious forms of institutionalisation during the preparation process, lack here. Just proposals about the establishment of an ‘urban renewal management’ as well as emphasis on maintaining the established structures are provided. Both issues require detailed analysis, e.g. by using expert interviews.

5.1.7. Arrangement of development concepts

The arrangement of development concepts is a summarizing dimension of integrated urban development planning. Whereas the other principles of the planning concept are partly hidden in the Leipzig Charter, the policy document includes a clear statement concerning the drawing up of Integrated Urban Development Concepts for the entire city. According to the Leipzig Charter, “these implementation-oriented planning tools should:

- describe the strengths and the weaknesses of cities and neighbourhoods based upon an analysis of the current situation,
- define consistent development objectives for the urban area and develop a vision for the city,
- coordinate the different neighbourhood, sectoral and technical plans and policies, and ensure that the planned investments will help to promote a well-balanced development of the urban area,
- coordinate and spatially focus the use of funds by public and private sector players and
- be co-ordinated at local and city-regional level and involve citizens and other partners who can contribute substantially to shaping the future economic, social, cultural and environmental quality of each area” (German Presidency 2007a: 2f.).

It has been outlined earlier that the addition of these requirements associated with the arrangement of Integrated Urban Development Concepts can be traced back to the bottom-up Europeanization of German planning practice. Surprisingly, a mismatch between the Leipzig Charter and the flexible definition approach provided in the theoretical background could be observed. Here, a ‘comparable strong’ level of integration is reached when the development concept:

- include information about the motives and objectives associated with integrated planning,
- cover a broad range of thematic focus areas under consideration of their interdependencies,
- contain information about cooperation and coordination with stakeholders from outside the spheres of politics and public administration as well as
- provide further elements of comprehensive planning such as financing plans and implementation schedules (BMVBS&BBSR 2009a: 45).
An overlapping can be only assessed for the cooperative dimension covering broad stakeholder involvement and public participation. However, due to the broad spectrum of components, both approaches have been used for the analysis of the case study city ISEKs.

Results of the analysis

The great variability among the ISEKs assessed for all other analysed dimensions could be also estimated for the arrangement of the Integrated Urban Development Concepts of the case study cities. In fact, only the ISEKs of Lübeck 2010, Greifswald 2002 and Schwerin 2008 can be assessed as ‘comparable strong’ integrated in line with the flexible definition approach provided by the BMVBV&BBSR study. The other ISEKs show limitations associated with the documentation of cooperative concerns, a narrowed thematic or spatial focus with an insufficient consideration of complex interrelationships or do not include a statement concerning the motivation for drawing up an ISEK as well as concrete financing plans or implementation schedules for emphasised measures.

An even broader spectrum of the ISEK arrangement could be identified in the analysis of the components as laid out in the Leipzig Charter. These limitations can only be partly traced back to the programmatic framework for the preparation of the ISEKs since even huge difference can be assessed for different updated ISEKs prepared within one city. An overview about the findings in this dimension can be found in table 5.

Tab. 5: Arrangement of ISEKs in the case study cities in line with the components provided by the BMVBS&BBSR (2009a: 45) and the Leipzig Charter (German Presidency 2007a: 2f.)

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Motive and objective</td>
<td>✓</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Topics and interrelationships</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Cooperation</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>-</td>
<td>-</td>
<td>✓</td>
</tr>
<tr>
<td>Further elements</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
</tr>
<tr>
<td>Assessment:</td>
<td>Strong</td>
<td>Weak</td>
<td>weak</td>
<td>weak</td>
<td>strong</td>
<td>weak</td>
<td>weak</td>
<td>strong</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Stakeholder involvement and public participation</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Analysis strengths and weaknesses - city as a whole</td>
<td>✓</td>
<td>✓</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Vision for city development</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>−</td>
<td>✓</td>
<td>−</td>
</tr>
<tr>
<td>Consistent development goals</td>
<td>✓</td>
<td>-</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Analysis strengths and weaknesses - neighbourhoods</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Coordination of existing concepts and policies</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>City-regional coordination</td>
<td>✓</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Financial resource pooling</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>

* The symbol (✓) indicates that several shortcomings in the outline of the component have been assessed in the ISEK.
Due to readability issues and to avoid unnecessary repetitions, the author has chosen the four most comprehensive ISEKs for a detailed presentation. This includes the ISEKs 2002 for Greifswald, the ISEK 2008 for Schwerin, the ISEK 2009 for Lübeck and the ISEK 2010 for Kiel. However, shortcomings can be identified for all of these planning documents. This includes the narrowed thematic focus in Greifswald, the limited spatial scope in Schwerin, a missing vision for urban development in Lübeck and the absence of information about cooperative concerns in the preparation process in Kiel.

The 2002 ISEK of the City of Greifswald has been prepared under the programmatic framework of the ‘Urban Renewal East’. Based on the challenges associated with demographic and economic change, the ISEK emphasises deconstruction and upgrading measures to maintain the cities’ functionality and the housing companies’ economic capability. Since the implementation of the ISEK requires the close cooperation with the housing companies and the consideration of public concerns, the ISEK should provide a common framework for action. A broad range of topics is covered in the analysis, the strategic guidelines and the development objectives for the entire city as well as for singular neighbourhoods. Here, the vision of developing a ‘vibrant, innovative and competitive business, science and education location’ as agreed in a council decision is enhanced due to the consideration of the economic, social, environmental and cultural dimension of urban development. However, interrelationships are primarily taken into account for physical and housing related issues in line with the programmatic framework. Nevertheless, a comprehensive analysis of weaknesses and strengths for the city as a whole as well as an indicator-based classification for singular districts had been undertaken. Even though multi-dimensional development objectives were provided for all districts, concrete deconstruction and upgrading measures are just emphasised for two focal urban renewal areas. Besides the spatial focusing, also a thematic narrowing could be observed here. Integral part of the ISEK has been the review of existing plans and concepts to backup the development objectives for the city and the emphasised measures in the focus areas. Moreover, a close cooperation between the administration and the housing companies for the ISEK implementation is emphasised. All mentioned measures are potentially eligible for funding from the ‘Urban Renewal East’ programme. The pooling of financial resources is therefore a central element of the ISEK. An important characteristic of the ISEK preparation process is the close city-regional coordination. Furthermore, broad stakeholder involvement has been institutionalised and emphasis on balancing negative outcomes for tenants affected by deconstruction measures has been taken into consideration in the proposal for the establishment of an urban renewal management. Further elements are a concrete financing plan and time schedule for the implementation of emphasised measures as well as a proposal for monitoring.

The 2008 update of the ISEK of Schwerin has been prepared under the same programmatic framework but it has a spatial focus on three neighbourhoods with a prefabricated housing stock. These areas were mostly affected by demographic change and are characterized by the highest vacancy rates. Here, the ISEK should provide the basis for the steering of ongoing processes as well as deconstruction and upgrade measures undertaken by the administration and different stakeholders. Furthermore, a new ‘positive vision’ for the areas has been developed during the preparation process and the ISEK should provide investment certainty. The ISEK takes past developments and implemented measures as well as new prognosis data into consideration. The unique development of the districts in comparison to the city as a whole is outlined, but no comprehensive analysis of strengths and weaknesses was undertaken. The three areas were much more united due to common characteristics, problems, potentials and demand for action. Vision for the development is the ‘quantitative and qualitative upgrade’ of the housing stock in line with future demands of the
population. The area should provide diversified housing opportunities, a high living quality and have an individual image. The focal areas of activity and emphasised projects are multi-dimensional and take complex interrelationships into consideration. Guiding principles, objectives and emphasised measures are consistent. Strength of the ISEK process is the focus on broad stakeholder involvement and public participation. In detail, the ISEK process included (Fig. 8):

1) the analysis of potentials, problems and need for action with consideration of general framework conditions and specifications for singular areas;

2) the coordination of concepts for all three districts covered in the ISEK;

3) the development of the Masterplan for all three areas with abstract statements for urban development;

4) the preparation of the integrated development concept with concrete measures (deconstruction of houses, green spaces, schools, etc.);

5) the definition of pilot and priority projects which should be implemented within a time corridor of twelve years.

City-regional coordination is not covered since the ISEK has a dominant neighbourhood focus. Existing plans, concepts and policies are here integrated in the development of a completely new Masterplan covering settlement structure, housing, open and green spaces as well as social infrastructure (see also Fig. 11 page 107). Further elements of the ISEK are a time schedule for the implementation of prioritized measures. The pooling of financial resources is emphasised but there is no detailed financing plan provided.

The ISEK 2009 of Lübeck has been prepared under consideration of the multi-faceted challenges for urban development such as demographic change, socio-economic transformation as well as concerns about the preservation of natural resources and financial issues. The ISEK should provide the basis for coordinated decision-making and the application for funding from different sources. The list of topics the ISEK is dealing with is comprehensive and interrelationships are outlined within the description of thematic focal areas of activity. Moreover, the overlapping of strategic objectives and sector specific requirements in special planning areas takes the physical, economic, social and environmental dimensions of urban development into account. A high level of consistency between the analysis, the strategic objectives as well as the emphasised measures is reached due to the
methodological approach of the ISEK preparation. This included the analysis of strengths and weaknesses on city-wide and neighbourhood level, a back-coupling between city-wide strategic objectives and sectoral concerns for the development of singular neighbourhoods as well as the spatial concretisation of the development concerns in specific planning areas. The emphasised measures in these areas are moreover back coupled with the thematic fields of activity. However, there is no comprehensive vision for the development of the city provided in the ISEK since no consensus could be reached in the past. The thematic focal areas remain abstract here and the plurality of objectives can be summarized as ‘improving, strengthening and boosting’ of several ongoing developments. Nevertheless, the coordination of neighbourhood development, sectoral and technical plans and different interests is warranted in the ISEK due to the consideration of existing planning documents, interdepartmental cooperation as well as broad stakeholder involvement and public participation. In contrast to the outstanding participation scheme, a minor concern was city-regional coordination during the ISEK process. The emphasised measures in the ISEK are of physical or conceptual dimension. Even though financial resource pooling is emphasised for the implementation for prioritized measures, remains the level of concretisation in terms of a financing plan and a time schedule comparable low. Further elements of the ISEK include an overview about potential sources for funding and a proposal for the establishment for a funding and finance management. Another proposal is provided for the monitoring of the ISEK implementation which should be steered under the guidance of the established decision-making structures in the ISEK process.

In Kiel, the motives and aims associated with the ISEK 2010 preparation have been clearly outlined. They cover the concretisation of the vision and strategic aims for urban development as agreed in a city council decision and the coordination of exiting sectoral plans, concept and policies, the consolidation of the public budget by financial resource pooling and the exploitation of new sources for funding as well as the positioning of the city in interregional and international competition. Moreover, the ISEK should provide the basis for broad stakeholder involvement and public participation on the neighbourhood and project level as well as regional cooperation with the surrounding municipalities. However, no emphasis was given to cooperation and participation concern during the ISEK preparation process itself. Here, the ISEK remains a planning document prepared solely by the local planning department. Nevertheless, a comprehensive list of topics relevant for urban planning is covered in the ISEK. Complex interrelationships between the physical, economic, social, and environmental dimensions of urban development are considered by the approach of overlapping the strategic development aims and sectoral planning requirements in the determination and description of focal development areas. The strategic vision of the ISEK Kiel 2010 is the development of a ‘social, child-friendly as well as creative and innovative climate protection city’. This vision was adopted by a city council decision and provided the basis for the ISEK preparation. Within the ISEK, these abstract strategic objectives were backed up with existing sectoral concepts and policies and spatially concretised. Since the strategic objectives were already determined, the ISEK provides an analysis of strengths and weaknesses for all five strategic dimensions. This analysis is mainly provided for the city as a whole and not for singular neighbourhoods. The analysis of strengths and weaknesses has been used to identify demands for action. Since this demand for action is also reflected in the emphasised measures or the outlined demand for further planning efforts in the focal development areas, a high level of consistency between the strategic objectives and its emphasised implementation can be assessed. An exception is that the planned site development in the South of Kiel is not in line with the guiding principle of
promoting inner-development before outer-development. The ISEK of Kiel includes profiles of all emphasised measures. However, time schedules and financing plans for their implementation can only be provided for half of the measures. Concerns about pooling of financial resources are here taken into account. Further elements of ISEK cover proposals for a strategic land use management as well as monitoring and evaluation as parts of the implementation of the integrated urban development concept.

Summary

The analysis of this dimension reflects previous findings in this thesis since several components of the planning concept are summarized in the recommendations for the arrangement of integrated urban development concepts. In other words, the components of integrated urban development planning documents as clearly laid out in the Leipzig Charter are only incompletely reflected in the analysed ISEKs of the case study cities due to varying priorities and circumstances. Whereas concerns about the pooling of financial resources, the coordination of existing concepts and policies as well as the analysis of strengths and weaknesses of specific neighbourhoods are documented in most of the case studies in a comprehensive manner, remains especially the city-regional coordination within the ISEK preparation a minor concern. The great variety observed within the other components of the ISEKs can be traced back to numerous obstacles for the drawing up of the planning concepts.

First, urban development planning is subject to local self-governance which effects the form of institutionalisation and the weight given to broad stakeholder involvement and public participation. Examples for an insufficient consideration of these components are the ISEK of Kiel and the updated versions of 2005 in Greifswald and 2010 in Schwerin. In contrast, a high variety of cooperation schemes were established within the other ISEK preparation processes. Second, the programmatic framework for the preparation of the ISEK process is crucial for the covered thematic fields of activity and the consideration of complex interrelationships between the multi-faceted dimensions of urban development. Here, the most ISEKs prepared solely under the framework of the ‘Urban Renewal East’ programme fail to reach beyond the physical and housing market dimension of urban development. This accounts especially for the analytical part where data provision is limited to the population, household and housing market prognoses as well as the description of physical characteristics of specific areas. A comprehensive analysis of strengths and weaknesses for the city as a whole is missing especially in the ISEKs of Schwerin. This is partly explained by the fact that updated ISEKs were prepared for sub-units of the city with limited back coupling for the development of the city as a whole. However, the thematic spectrum could be extended here due to the spatial focus.

Third, integrated urban development planning in the case study cities is implementation-oriented in line with the recommendations of the Leipzig Charter, but lacks in a common vision. Elements of the implementation-orientation are the concerns about pooling of financial resources, involvement of stakeholders responsible for the implementation, the coordination of existing planes and policies as well as the provision of financing plans and time schedules for the realisation of emphasised measures in most of the ISEKs. The ISEKs partly include also proposals for the establishment of management schemes for the implementation as well as its monitoring. However, an interesting finding is that most of the ISEKs have been prepared without a common vision for urban development. Moreover, the visions provided in the ISEKs of Greifswald and Kiel have been adopted outside the ISEK process. In most cases, the underlying ‘vision’ for urban development can be characterized as a conglomerate of thematic focal areas of activity with the objectives of ‘improving,
strengthening and boosting’ without clear goal-orientation. A lack of consensus among decision makers as documented in the example of Lübeck can be found as explanation here.

Last, capacity in terms of the planning document itself as well as of the administration is limited. Therefore, city-regional coordination has been only institutionalised in one of the case study cities during the ISEK preparation process. The thesis supports here the findings of the Leipzig Charter follow-up study ‘Integrated Urban Development in Urban Regions’ prepared by the BMVBS&BBSR (2009a: 78f.). Here, an insufficient consideration of city-regional coordination was assessed in integrated urban development planning due to “complicating factors” such as “political parochial thinking and inter-municipal competition, increased resource expenditure within the administrations as well as the lack of experience with these types of co-operations” (ibid.: 12). Surprisingly, regional cooperation has been institutionalised in all of the case study cities outside the ISEK process and emphasis is given in most of the analysed documents on strengthening this cooperation. However, regional cooperation has been valued as dispensable in the ISEK process itself in most of the case study cities even though the established forms of institutionalisation provide a suitable framework and several challenges would require a closer cooperation with the surrounding municipalities.

5.2. Integrated planning as a prerequisite for sustainable urban development?

As the title of the Leipzig Charter illustrates, aims the policy document on the sustainable development of European cities. In detail, the „objective of protecting, strengthening and further developing our cities” should support the implementation of the EU Sustainable Development Strategy (German Presidency 2007a: 1). Beside this political rhetoric, the dimensions of sustainable development which should be taken into account “at the same time and with the same weight” are named. With reference to the EU Sustainable Development Strategy, they include: “economic prosperity, social balance and a healthy environment. At the same time attention should be paid to cultural and health aspects” (ibid.). Beside this holistic approach, sustainability concerns are outlined throughout the document for sectoral issues such as the provision of “sustainable, accessible and affordable urban transport“ and “sustainable public utility service” characterized by “energy efficiency and economic use of natural resources and economic efficiency in their operation” (ibid.: 4). Furthermore, compact settlement structures are seen as “an important basis for efficient and sustainable use of resources“ (ibid.). Consequently, integrated urban development planning should contribute to the prevention of urban sprawl by strong control of the provision of building land and speculative development. Moreover, mixed-use development “has proved to be especially sustainable” according to the Leipzig Charter (ibid.). Combining housing, employment, education, supply and recreational use in urban neighbourhoods is therefore emphasised.

Integrated urban development is seen as a “prerequisite for successful urban sustainability” as outlined in a German background study in preparation of the Leipzig Charter. As the analysis of the dimensions of integrated urban development illustrates, there is no direct link between the implementation of the planning concept and the sustainability paradigm. Even scientific literature provides poor evidence here. One of a few exceptions has been a journal article from Heil, who outlines the complexity and challenges associated with the sustainability paradigm and raises the question of its implementation. Since no other comprehensive framework for the analysis could be provided, follows the author Heil’s approach in the analysis of the sustainability dimension in the ISEKs of the case study cities. The approach is explorative and descriptive. It covers the utilisation of the term sustainability in the planning documents as well as the reflection of four planning prerequisites (‘knowledge about complex interrelationships’, ‘sustainability indicators and
monitoring, ‘administrative response to sustainability’ and ‘public participation’) for sustainable
development planning provided by Heil (2000: 22). An overlapping with the analysis of the integrated
urban development dimensions could not be avoided here due to several comparable elements.

5.2.1. Sustainable urban development – Greifswald

The ISEK 2002 of the City of Greifswald does not provide an explicit definition of sustainable urban
development. Nevertheless, ‘sustainable urban development’ is emphasised in terms of a careful
utilization of natural resources such as soil in close coordination with the surrounding municipalities.
There is general awareness that municipalities’ competition and insufficient regulation on the
regional level led to disproportionately high soil consumption, uncontrolled settlement development
and an increase in traffic. Knowledge about future trends in the provision of building land in the
region has been strengthened by the consultation of external experts during the ISEK preparation
process. However, it has been estimated that there will be a stagnation due to reduced demands in
face of the demographic development and limited potentials for further building construction in the
surrounding municipalities. This assumption had consequences for the establishment of a regional,
qualitative building land cadastre system. This instrument was intended to provide the basis for
strategic building land provision which takes ecological, economic, social and topographical issues
into consideration. However, the introduction of the tool has not been considered as necessary
among city and regional representatives during the ISEK process anymore. In contrast, further
attention should be paid to a joint intra-regional strategy for the provision of commercial land and
the development of traffic infrastructure. Political and administrative response to these concerns is
e.g. the establishment of a working-group on regional cooperation with representatives of the city,
the surrounding municipalities and regional planning authorities. It has been established under the
framework of city and regional marketing earlier on. Within the ISEK process, these representatives
have been participating during the workshops. The same accounts for public participation.

Moreover, the emphasised measures in the ISEK 2002 are reviewed in terms of a ‘sustainable urban
development’. In detail, the deconstruction of houses in the prefabricated housing areas is seen as a
tool for the unsealing of build-up land and the reduction of soil consumption. Moreover, there will be
a decrease in traffic due to the declining population in these areas. The construction of housing in the
other inner-city focal area is seen in line with the priorities of promoting inner-development before
outer-development as well as the creation of a ‘city of short distances’ to reduce traffic. Brownfield
revitalisation and the development on existing build-up areas should also contribute to a reduction in
soil consumption. More concrete in terms of a reduction of soil sealing is the ISEK update of 2005. An
analysis of the potential areas for housing construction illustrated that one third of these areas
within the city’s borders are located in isolated, not integrated localities. The ISEK emphasises to
consider these areas not anymore for building construction. Instead, the city should focus on inner-
city areas to meet the demands for single family housing and safe costs for the provision with
technical infrastructure. This is in line with the objectives of prioritizing inner-development,
strengthening the inner-city as well as a provision of housing for different demands and groups.

5.2.2. Sustainable urban development – Schwerin

The approach in dealing with ‘sustainability’ – without providing an explicit definition - is quite similar
in the early ISEK of Schwerin as in Greifswald. Sustainability concerns are associated with the
reduction of soil consumption, soil sealing and urban sprawl as well as regional cooperation in the
field of designation of building land. The mechanisms behind urban sprawl are well outlined in the
ISEK. This covers private demand for individual housing, financial issues such as conditions for investment and prices differences for building land, competition between municipalities as well as the importance of hard and soft factors such housing supply for different demands as well as green space provision. There is also a high awareness about the consequences of urban sprawl. Part of the ISEK is a detailed analysis of the current situation concerning building land provision including price differences with surrounding municipalities and the identification of potential areas for the construction of single family homes in Schwerin. Problematic is that the majority of potential building land is located on the outskirts of the city and that inner city locations have pricing disadvantages due to expensive redevelopment measures on brownfields or the competition with other functions. City-regional cooperation concerns about the designation of land for development have been institutionalised. Example are the 'concept to safeguard a sustainable settlement development' for the area of Schwerin, Parchim and Wismar under the framework of regional planning as well as an informal agreement on the amount of new building construction with the surrounding municipalities. A further specification is brownfield redevelopment in line with the AGENDA-21 objective of a contribution to resource conservation. Other guiding principles in line with this approach cover the focus on existing settlement structures such as the old town and prefabricated housing areas in urban development. These guiding principles have been underpinned with process norms covering joint action of politics, administration, housing companies and public with suitable forms of organisation, balancing negative impacts for individuals resulting from urban renewal measures as well as evaluation and monitoring of the implementation. However, there are no further concerns about instruments for limiting the ongoing increase in soil consumption. Moreover, competition for residents remains persistent as the cities own strategy concerning land designation for housing illustrates. Opposed to the sustainability concerns promotes the city affordable land on less integrated areas for housing construction. This is contrasted to the guiding principles for a 'sustainable urban development', e.g. by promoting inner-development before outer-development.

Since the term ‘sustainability’ is not used in the updated versions of the ISEK Schwerin 2005 and 2010, the further analysis focused on the ISEK 2008 for prefabricated areas. Here, a new connotation for the term has been introduced by the emphasis on creating ‘sustainable and future-compliant settlement structures’ in the prefabricated housing areas in the face of climate change, shortages in natural resources and uncertainties about population development. One of the new topics for the development of these areas is the creation of flexible, de-central as well as energy- and cost-saving solutions for the technical infrastructure. This is driven by the awareness that the existing system of energy, water and heat supply as well as waste and sewage disposal works inefficient due to under-utilization or capacity overloads. One emphasised project includes an audit on the existing central supply systems and aims at identifying the possibilities of the transformation into a de-central system. Dominant technological concerns are taken into consideration here: combining heat and power generation, bio-filtration, surface water management as well as use of regenerative energy sources such as biomass and solar energy. Interestingly, the project does not aim to reduce solely CO₂-emissions. It is much more driven by economic concerns due to the current high costs of operation.

In general, serious efforts had been made in the 2008 ISEK of Schwerin to combine the economic, social and environmental dimensions of urban development in the guiding principles, aims and measures for the development of the area. The ISEK 2008 is also much more ambitious in the underlying preparation process. Whereas public participation was more or less limited to information during ISEK 2002 process, much more attention has been given to broad stakeholder involvement
and public participation during all steps of planning in 2008. Unfortunately, little information is provided for the interdepartmental cooperation within the administration in both documents. However, the analysis shows that the planning and implementation process is strongly influenced by organized groups such as housing companies with defined (economic) interests. This is illustrated by the conflict between one of the housing companies and tenants of a building which should to be torn down according to the ISEK. Obviously, there is a limited influence of the city in concrete decision-making about the designation of houses for deconstruction due to the strong bargaining power of the housing companies as key player for the implementation of the ISEK.

Furthermore, there was a high awareness of missing data and indicators in the ISEK preparation process. The city participated therefore in a model project on the establishment of an indicator-based monitoring system on sustainable urban development. The project was funded by the BMVBS. Greifswald commitment to collect data in the fields of: 'provident land management', 'accommodative environmental protection', 'reconcilable mobility management', 'social-responsible housing supply' and 'location-based business development' together with many other German cities. However, the updated ISEK versions do not include any information how this monitoring data has been used.

5.2.3. Sustainable urban development – Kiel

The term ‘sustainability’ is not explicitly defined in the ISEK 2009 of Kiel. However, it is punctually used in the context of efficient consolidation of the public budget, a child-friendly family policy in face of demographic change or essential and long-lasting improvement of the living conditions for the inhabitants of deprived neighbourhoods. With reference to the experience gained in the URBAN I Community initiative, the efforts take economic, social and cultural issues into consideration. Moreover, the term is used under the umbrella of the strategic objective ‘Climate Protection City Kiel’. Two issues are discussed with reference to sustainability. First, the ISEK refers to the adoption of a new Energy Concept which covers an environmental and economic dimension. Second issue is the emphasis on a ‘sustainable exposure of natural resources’.

The Energy Concept of Kiel emphasises the reduction of the dependency from fossil fuels, an increase of energy saving and efficiency as well as the promotion of renewable energy sources. It is oriented towards the climate protection objectives on federal level as well as the CO₂-reduction objectives agreed in the Climate Alliance, a European network of local authorities committed to the protection of the world’s climate. Moreover, the concept takes existing agreements, concepts and projects such as the local AGENDA-21 initiatives into consideration. Existing concepts also form the basis for the protection of natural resources. This is discussed under the term ‘environmental prevention’ which means that negative impacts on the environment resulting from human activity should be avoided. Detailed concepts exist for soil and ground and surface water protection, emission control (noise and air pollution) as well as the protection of landscapes and nature including biotopes and biodiversity. All these concepts and associated programmes, measures and objectives are embedded in the legal frameworks for environmental protection provided on EU, national and regional level. This also includes the threshold values and different environmental monitoring systems. The ISEK provides here a short summary of the existing concepts and programmes, not a comprehensive analysis. Nevertheless, it can be assessed that the economic, social, environmental and cultural dimensions of urban development planning have been taken into consideration in the definition of strategic objectives as well as the determination and description of focal areas for development.
However, there is limited information about the institutionalisation of ‘sustainable development’ in terms of interdepartmental coordination in the planning document beside a vague outlined proposition. An exception is the focus on regional cooperation in terms of the development of joint guiding principles for open and green space planning with the surrounding municipalities. This includes an illustration of a green-ring and green-corridors with importance for local climate, living quality, nature protection and tourism. It provides an orientation for urban planning in the participating municipalities which should aim at preservation or extension of these green and open spaces. To ensure a saving and gentle use of natural resources such as soil, a ‘Sustainable Land Management’ had been introduced as strategic tool. It aims at the exploration of endogenous areas with potentials for housing, commercial and other uses. This emphasises on the promotion of inner-development before outer-development by brownfield revitalisation and the use of gaps between buildings. These efforts should go hand in hand with the abolishment of contaminated sites, the reduction of traffic and the reduction of costs for the provision of infrastructure. A further concern of the strategic instrument is the estimation and safeguarding of potential areas for the realization of projects in line with the overarching strategic objectives of the ISEK. However, the description of the ‘South of Kiel’ as focal development area illustrates conflicts between environmental or open and green space protection and development concerns. Here, housing construction and commercial development is planned on open spaces on the outskirts of the city. This is not least driven by intra-regional competition.

Different general premises for urban development planning and its implementation could be identified in the ISEK. They include the gender mainstreaming, a qualitative rather than quantitative focus in business development, an active role of the city in planning, e.g. by the own acquisition and development of sites, as well as the safeguarding of urban design standards and the preservation of the historic building stock. Monitoring of ongoing processes and the ISEK implementation is also emphasised. As basis for ‘sustainable development’ names the ISEK a monitoring of socio-spatial, housing market and environmental development. Already existing monitoring systems and data bases forms the basis of the evaluation, controlling and update of the ISEK. Concerning stakeholder involvement and public participation mentions the ISEK the accomplishment of ‘adequate participation schemes adjusted to the specific task of planning’. Since no participation concerns are documented in the ISEK, this has been obviously not valued high in the ISEK preparation process itself. A central requirement of the implementation of ‘sustainable urban development’ has been therefore not fulfilled in the case of Kiel.

5.2.4. Sustainable urban development – Lübeck

As in all other case study cities, the term ‘sustainability’ is not explicitly defined in the ISEK 2009 of the City of Lübeck. Interestingly, a question about the application of the sustainability paradigm was raised during the participation process in preparation of the planning document. The documented answer given by planners was that there is an ongoing discourse about this topic but so far only punctual approaches in the operationalization of the concept exists. In general, environmentally-friendly action is emphasized and projects which are ‘ecological sustainable’ should be promoted with funding. According to the planners, a practical implementation is a concept focusing on creating flexible social infrastructure solutions in line with the demands of Lübeck’s youth, a concept for gentle tourism or the city’s concerns about brownfield redevelopment. The awareness about taking sustainability concerns into consideration is not limited to planners. Also political decision-makers debate about the concept from a strategic perspective in the face of globalisation and inter-
nationalisation. A senator is focusing here on strengthening the cooperation within the Baltic Sea Region with emphasis on the adoption of joint environmental standards for harbour development. These economic and environmental concerns would have a positive impact on the recreational function of the cities and would increase the attractiveness for inhabitants and tourists. The senator speaks about a ‘Symbioses of Environment – Economy – Tourism – Housing’. Furthermore, the demographic change raises fundamental questions about the future of society and requires changes in political and administrative action. Here, sustainability concerns should be more focused on.

It has already been outlined that emphasis has been given to consider the economic, social, environmental and cultural dimensions of urban development in the description of strategic aims and the outline of the focal planning areas in the ISEK. However, there are limitations for the account of interrelationships between the dimensions due to complexity reasons and clarity concerns. Consequently, the emphasised measures including concepts, programmes and concrete projects are seen as singular modules to achieve a ‘sustainable urban development’ when they are combined. The city’s approach is a good example for top-down Europeanization since the ISEK is in line with a programmatic framework for ‘sustainable urban development in cities and regions’ in Schleswig-Holstein. This programme itself is furthermore an application of EU (ERDF) and federal programmes for urban development. This is highlighted by the analogy of the regional programme with the discussion on EU and federal level since cities are also described as centres for employment, services, economic growth as well as integration and culture. In detail, a funding of 60 percent of the costs is available for brownfield revitalisation, open and green space upgrading measures, historical building preservation as well as social infrastructure, cultural projects and qualification measures in deprived neighbourhoods. This and other available funding sources have been taken into account in the determination of special planning areas and measures in line with the overarching objective of resource pooling in the ISEK of Lübeck.

The strength in the approach chosen in Lübeck is that the ISEK is based on interdepartmental coordination and cooperation, broad stakeholder involvement as well as public participation. It can be assessed that the most ambitious approach has been applied and documented among all four case study cities. Beside the emphasis on maintaining the established structures for the ISEK implementation, the planning document also includes concrete proposals for the monitoring. In line with concepts provided on the Federal State level, a common, suitable and manageable monitoring system should be implemented. This should allow the control of the ISEK process as well as a comparison between all cities in Schleswig-Holstein. This is furthermore in line with the concerns about improving the living conditions of the inhabitants, contributing to resource protection and pooling of financial resources. So far, population, social and poverty as well as housing market statistics could have been used. Recent developments were the improvements of the cadastre statistics as well as the introduction of a dataset covering education. However, there is still a lack of data and data is solely available for the city as a whole or several districts. Further problems are that data is not available in a central database, data is not updated and not available in a short-term and several departments are working with different datasets. The aim for the ISEK monitoring is to focus on a few, but significant indicators, use already available data and collect and provide them centrally. Moreover, three types of data are distinguished: data which is collected continuously, in a short-term or for special reasons such as the concrete project evaluation.

In detail, the ISEK provides a proposal for two monitoring sets. Set A includes 50 key indicators for settlement development and environment, housing and living environment, population development and social structure, crime, social infrastructure, economic development, climate protection and
mobility. This data covers mainly sectoral concerns for the entire city as well as individual districts and should be updated after one or two years. Collection and provision should be organized centrally by the statistics office. Monitoring Set B covers all focal areas of activity and strategic objectives of the city. Data should be used for the evaluation of the ISEK implementation and of the impacts of individual projects. It is emphasised to use this data for the update of the ISEK after three to five years. Indicators cover all three types of data including quantitative and qualitative data gained from specific project evaluations. The ISEK names the focal area of activity, the specific aim, possible indicators as well as concrete data sources. An example is the aim of improving mobility under focal area of activity ‘Hanseatic City & Neighbouring City’. Indicators here are the provision and capacity utilisation of local and regional public transport as well as the modal split. Data should be collected continuously covering the amount of passengers in public transit as well as the level of motorisation.

5.2.5. Summary on the ‘sustainability’ dimension

As already outlined within the analysis of the dimensions of integrated urban development, there is also no direct reference to the Leipzig Charter in terms of the sustainability paradigm in the ISEKs. Nevertheless, the discourse about sustainability in the ISEKs is punctually backed-up with other top-down or bottom-up initiatives such as the AGENDA-21 and the Climate Alliance city network or environmental legislation and programmatic frameworks on sustainable urban development on the Länder-level, which in turn are an adaptation of EU or national policy in this field. A comprehensive definition, how sustainable urban development is understood in detail is not provided in all case study cities. The reasons for this are an ongoing discourse about sustainability and its implementation which is shaped by various actors with different views and mind-sets. Consensus could not be reached due to the complexity associated with the topic and a lack of conceptualisation. Efforts in the implementation of the sustainability paradigm remain punctual and do not reflect the requirements associated with a holistic approach. The comparison between the prerequisites for an implementation of the sustainability paradigm as laid out by HEIL with the information provided in the ISEKs illustrates some of the limitations.

The topics discussed in the ISEKs under the umbrella of sustainable development are individual for each city but reflect in their sum the punctual concerns as laid out in the Leipzig Charter. They include the focus on a compact settlement structure, climate and environmental protection, resource and energy efficiency or concerns about family and child friendly development concepts or the consolidation of the public budget. An interesting summary is made in the ISEK of Lübeck. Beside the sectoral and punctual approach, the combination of all emphasised measures should contribute to a sustainable development. This is very much in line with the vague statement of the Leipzig Charter that the ‘objective of protecting, strengthening and further developing our cities’ should support a sustainable development in line with the EU Sustainable Development Strategy. In most of the ISEK preparation processes, efforts were made to embrace a lot of topics associated with urban development and to take their interdependencies into account. However, limitations like the complexity of interrelationships as well as a limited knowledge about challenges such as climate change could not be resolved. Even though there is a high awareness for processes and their consequences such as urban sprawl among planners, there are limitations for local planning intervention due to market mechanisms and political parochial thinking in regional competition.

A positive characteristic of all the ISEK approaches in the case study cities is the awareness about missing data and the necessity to establish a monitoring of ongoing developments and the ISEK implementation in line with the presented prerequisites for sustainable development. However, the
efforts made are just a starting point and just proposals could be produced. Nevertheless, these efforts should be embraced. A common monitoring system would allow the comparison between different cities as well as the identification of concrete strengths and weaknesses. Public funding from different sources could then be used more focused based on this data and the elaborated aims and values for future urban development. Obviously, ambitions differ here since the single ISEKs include totally different proposals for the monitoring of integrated urban development planning. Higher-level political will or order is required to establish a joint monitoring system which would form the basis for funding. Moreover, local administration needs capacities to collect this data.

Besides all differences, new forms of collaborative planning have been institutionalised under the framework of integrated urban development planning in most of the case study cities. This covers inter-departmental cooperation, management schemes for broad stakeholder involvement, city-regional coordination as well as platforms for public participation. However, conclusions about the quality of these participation schemes can be barely drawn due to the methodological approach used in this thesis. Nevertheless, integrated urban development planning can potentially contribute to increase legitimacy of decision-making by democratically legitimated decision makers. On the other hand, challenges remain persistent. This includes a wide-spread short-term and competitive orientation among politicians which conflicts with the long-term perspective and collaborative vision widely associated with sustainable development. Moreover, different bargaining power of single stakeholders in negotiations leading to unbalanced decision-making could be identified. This and a (required) political priority setting contrary to public opinion bears to potential of an increased frustration among those affected by planning decisions.

In this respect, planners might redefine their role in the planning process from a bureaucratic operator towards an open-minded moderator between different interest groups. Here, the fundamental knowledge about spatial impacts of policies as well as the awareness of economic, social, and environmental challenges can be seen as the suitable qualification. This conclusion is in line with an important statement given in the Leipzig Charter: “We must also ensure that those working to deliver these policies at all levels acquire the generic and cross-occupational skills and knowledge needed to develop cities as sustainable communities” (German Presidency 2007a: 2). A practical implication of this statement was the establishment of networks, follow-up research databases and knowledge exchange pools for the implementation of the Leipzig Charter. The documentation provided via these networks was also of outstanding importance in preparation of this thesis.
6. Final Discussion

Focus of this thesis was the concept of integrated urban development planning. The planning concept is discussed within a multi-actor setting on European, national and local level. This includes planners, scientists and politicians. Within the Leipzig Charter, a policy document adopted by the EU Member States’ ministers responsible for urban planning under the German Council Presidency in 2007, the planning concept is promoted as a prerequisite for sustainable urban development. It could be described that the Leipzig Charter is not an isolated policy document rather it builds upon the results of previous informal minister meetings and practical experience gained within EU initiatives such as the Communities’ UBRAN I and II programmes. Besides the linkages within the EU’s urban agenda, the policy document and its emphasis on integrated urban development planning is connected with other key policy documents such as the Lisbon Agenda and the EU Sustainable Development Strategies as well as their objectives of economic growth, social cohesion and environmental protection. Fundamental for the preparation of the Leipzig Charter was the experience gained with the planning concept and the instruments for integrated urban development planning in the German context. Here, a clear line could have been drawn from the emphasis given to the planning concept among local planners, the promotion of the concept by the German Association of Cities as well as the adoption of the argumentation for integrated urban development planning by the Federal Ministry of Transport, Building and Urban Development (BMVBS) and associated research institutes. The insertion of the recommendations for the drawing up of Integrated Urban Development Concepts in the Leipzig Charter has been therefore characterized as a successful bottom-up Europeanization of German planning practice.

The implementation of the Leipzig Charter is a multi-level task. On local level, the Leipzig Charter promotes Integrated Urban Development Concepts as an implementation-oriented and strategic tool. The importance given to this planning tool by German representatives in the ministerial meetings is not least driven by the experience gained within the federal-Länder programmatic frameworks of the ‘Socially Integrative City’ and ‘Urban Renewal East’. This policy transfer from national to European level had the side-effect of minimal pressure for the adoption and required less efforts in changing existing planning practices on the local level. In fact, efforts in the implementation of the Leipzig Charter were primarily made on the German national level with the emphasis on creating a ‘National Urban Development Policy’ as response to top-down Europeanization in face of the Leipzig Charter. Once again, the Leipzig Charter is a legally non-binding document due to the limited competence of the EU in this policy field. Moreover, local self-governance covering urban development planning is a widespread principle in the European Union. This also accounts for Germany and raised the research question:

How do German Integrated Urban Development Concepts on the local level reflect the principles of an integrated and sustainable urban development planning as laid out in the Leipzig Charter?

The research question was answered by a qualitative content analysis of Integrated Urban Development Concepts (ISEK) in four selected German case study cities. In line with the linkage being made in the Leipzig Charter, both dimensions – ‘integration’ and ‘sustainability’ – have been taken into consideration in the theoretical background and the methodological framework for the analysis.

6.1. Level of ‘integration’ in the ISEKs

Based on the presented flexible definition approach of integrated urban development planning, a ‘comparatively strong’ level of integration is reached in most of the documents and dimensions of
integrated urban development planning besides the great variety of approaches in its implementation. This covers the spatial level of reference, the consideration of various thematic fields of activity and subject-specific interrelationships, the involvement of various administrative areas, the participation of players from outside the spheres of politics and public administration, the pooling of financial resources, the management of integrated action as well as the arrangement of development concepts.

However, these findings can be hardly traced back to the Leipzig Charter itself since most of the analysed ISEKs have been adopted earlier than 2007. Even new ISEKs have been prepared without clear reference to the Leipzig Charter. The EU policy document is only mentioned in a side-document of the ISEK of Lübeck 2009 which documents the underlying participation procedure of the ISEK preparation process in a comprehensive manner. Here, the Leipzig Charter has been introduced by a representative of the Federal State administration during a meeting of external experts as part of the ISEK participation scheme established in Lübeck. Instead, dominant endogenous and exogenous motives for the preparation of the ISEKs could be identified. Endogenous motives cover the multifaceted challenges for urban development in the case study cities such as high housing vacancy rates or the shortages in public budget. In contrast, the proof of eligibility for funding from different sources and the associated regulations for the application are exogenous motives for the drawing up of the planning document. Commonly, a mix of both dimensions could be identified as motive for the ISEK preparation in the case study cities.

These findings should not suggest that there is no European dimension in the analysed ISEKs. Widespread is the reference to funding from classical European funding schemes such as the European Fund for Regional Development. Further issues discussed with a European dimension are the review of past participation in initiatives such as URBAN I and II or INTERREG as well as the cooperation within European city networks or between sister cities. Moreover, the concept of the ‘European City’ has been used in the case study of Kiel in arguing for strengthening the function of the city centre. However, concrete projects with a European dimension emphasised in the ISEKs remain exceptions. Examples are the preparation of an international garden show in Kiel or regional cooperation concerns as a result of a Trans-European Networks project in Lübeck. Clear evidence for the finding that the Leipzig Charter is not widely known among the case study cities is the fact, that the new financing schemes such as JEREMIE and JESSICA are not mentioned in the ISEKs. The reason for the focus on the national funding schemes or classic EU Structural Funds is that the Federal States Mecklenburg-Vorpommern and Schleswig-Holstein do not participate in the implementation of these initiatives so far.

6.2. Different integrated urban development planning in East and West Germany

The detailed analysis of the ISEKs illustrates differences in the approaches of integrated urban development planning due to the varying motives for the preparation, different guidelines for the development of the ISEK in the two Federal States and individual preconditions in the case study cities. These differences can be partly traced back to the programmatic framework for the ISEK preparation. In that sense, the ISEKs of the East German cities Schwerin and Greifswald have a narrowed thematic focus in line with federal-Länder programme ‘Urban Renewal East’. This programme was launched to deal with the complex challenges associated with the socio-economic transformation in East Germany. The topics covered and the outline of subject-specific interrelationships in the ISEKs of Schwerin and Greifswald are therefore limited to the physical and housing market dimension of urban development. Even a narrowed spatial focus could be observed
within the determination of focal areas for urban renewal measures such as deconstruction and upgrading of the building stock funded within this programmatic framework. Strengths of the ISEKs could be observed in the indicator-based analysis and classification of neighbourhoods as well as the high level of concretization which is reached for the implementation of emphasised measures. The ISEKs include here detailed financing plans and time schedules. However, the thematic scope and spatial focus is in favour of specific stakeholders such as large-scale housing companies. They are characterized by determined economic interests and have significant bargaining power in negotiations due to their central role in the implementation phase of the ISEK process. Based on the long experience with integrated planning in East Germany, also learning effects could be observed in the case of Schwerin. The ISEK 2008 for prefabricated housing areas covers a much wider thematic spectrum and is build upon broad participation - besides the even narrowed spatial focus – to steer the implementation of ambitious objectives for the development of these areas.

In the West German case study cities of Kiel and Lübeck, the ISEK approach is characterized by the inclusion of more dimensions of urban development and a comprehensive consideration of interdependencies in strategic goal definition or development objectives. Even the methodological approach in overlapping strategic objectives with sectoral or district development requirements and the creation of new planning areas is comparable. The ISEKs of the West German case study cities emphasise here generally speaking a broader spectrum of measures and cover a bigger territory of the city. The spatial concretisation of development strategies, objectives and measures should provide the basis for application for funding from different sources in line with the endogenous and exogenous motives for the preparation of the ISEKs in Kiel and Lübeck. However, emphasis on financial resource pooling is given in all four case study cities. The case studies illustrate another general finding due to the great variety in the participation schemes established for the ISEK preparation process. Here, it could be assessed that the institutionalisation of inter-departmental cooperation, stakeholder involvement, public participation and regional coordination is not a matter of East and West or the programmatic frameworks for the ISEK preparation. The institutionalisation of integrated planning is much more influenced by local political will due to the strong role of the municipalities’ self-governance principle, varying institutional capacities and the different experience gained with participation schemes and regional cooperation beforehand.

6.3. Integrated urban development and sustainability

Dealing with sustainability is a minor concern in the analysed ISEKs due to the complexity associated with the paradigm, the ongoing discourse among many stakeholders and a missing framework for its implementation. However, the term is used with different, mainly sectoral connotations covering e.g. the preservation of natural resources in terms of soil consumption by the promotion of inner-development before outer-development. Other operationalisations include energy efficiency and the reduction of CO₂-emissions to combat climate change or the emphasis on social cohesion and the consolidation of the public budget. An explicit definition of sustainability is not provided in any planning document. An interesting interpretation found in the case study city of Lübeck is that all emphasised measures should contribute in their sum to a sustainable urban development. However, this fussy and punctual utilisation is in line with the Leipzig Charter since a more comprehensive description is not provided in the EU policy document either.

The explorative and descriptive analysis of the ISEKs in line with Heil’s (2000) planning requirements for the implementation of the sustainability paradigm illustrated some obstacles which also account for the implementation of integrated urban development planning. They include for example:
• a wide-spread parochial thinking and short-term perspectives among decision-makers which constricts regional cooperation even in informal settings often to ‘soft’ topics;

• the complexity of interrelationships between the economic, social, environmental and cultural dimensions of urban development which cannot be embraced in single planning documents, due to limited knowledge, capacity reasons and clarity concerns;

• the principle of departmental distribution with different competences and budgets in public administration as well as indicators for the persistence of insufficient cooperation among them; and

• the difficulties associated with broad stakeholder involvement and public participation due to different bargaining power, interests and levels of organization as well as high expectations among the public, political priority setting and budget burdens.

Nevertheless, strengthening city-regional coordination is a joint objective of the ISEKs and emphasis has been given to take the different dimensions of urban development and their interrelationships into consideration. Moreover, a great variety of interdepartmental coordination and public participation schemes have been institutionalised during the ISEK preparation processes of most case study cities. A limitation of the methodological approach was that the quality of this management practices could not be assessed. Hence, it could not be proofed if integrated urban development planning is a prerequisite for sustainable urban development as laid out in the Leipzig Charter since the focus of the thesis was the preparation process and the content of the planning concept itself and not its implementation and long-term effects. Nevertheless, some projections can be made. It becomes e.g. appeared that the ambitious planning objectives of promoting inner-development before outer-development as also laid out in the Leipzig Charter cannot be fulfilled completely due to the persistence of regional competition and the ubiquity of market mechanism. This is e.g. illustrated in the case studies with the ambition of contributing to reduce soil consumption under the umbrella of sustainable urban development but promote areas for housing and commercial construction in not integrated locations. This highlights also the weak role of the ISEK as a guiding, but not legally binding instrument in urban planning.

6.4. Flexibility or strict regulations for the drawing up of Integrated Urban Development Concepts

The master’s thesis concludes with some personal reflections by the author with reference to the information provided in the theoretical background and the empirical findings of the qualitative content analysis. This section is seen as a contribution to the ongoing discourse about flexibility or strict regulations in terms of quality standards for the drawing up of Integrated Urban Development Concepts in the German context. The statements partly bear the potential of recommendations for those involved in the preparation process of the planning instrument. However, it cannot be guaranteed that the information will reach local planners dealing with the preparation or representatives of higher-level authorities in charge of developing guidelines for the drawing up of Integrated Urban Development Concepts. This process is first of all subject to local self-governance, but top-down directive has proofed to be efficient in the promotion of the planning approach. This accounts especially when the top-down directives are associated with potential funding for urban development projects as in the context of the ‘Urban Renewal East’ programme. However, the detailed analysis illustrated that none of the case study city’s ISEKs include all of the components laid out in the Leipzig Charter or flexible definition approach provided by the BMVBS\&BBSR.
6.4.1. Spatial level of reference

The consideration of all three levels – region, city and neighbourhoods – is crucial in integrated urban development as outlined in the BMVBS&BBSR study. Development objectives for the entire city should be concretized and prioritized in single districts, but attention should be paid that the development of single neighbourhoods does not conflict each other and contribute to the overall strategic concerns for the city as a whole. A narrowed spatial focus for measures and projects as in the programmatic framework on ‘Urban Renewal East’ and its implementation in the updated ISEKs of Schwerin 2008 and 2010 should be avoided. Even between prefabricated housing areas and surrounding districts exist linkages which cannot be adequately covered if an ISEK is solely prepared for focal areas of urban renewal measures. Both methodological approaches, an indicator-based classification or the overlapping of strategic aims and district or sectoral requirements, have proofed to be a suitable instrument in linking the city-wide concerns and neighbourhood perspectives in integrated planning. The ISEKs of Lübeck and Kiel provide here good examples for the coverage of a broader spectrum of thematic and spatial planning areas with demand for planning activity. As crucial as the consideration of city-neighbourhood interdependencies is the consideration of city-region concerns due to the existence of various linkages between the city and the surrounding municipalities. Especially challenges such as climate change cannot be dealt with on a single municipal basis. The persistence of intra-regional competition requires the institutionalisation of regional cooperation and coordination as part of the ISEK process. To overcome existing obstacles, representatives of the surrounding municipalities should participate in the ISEK preparation processes to the same extend as other stakeholders. It is incomprehensible why regional cooperation has been institutionalised outside the ISEK process in all case study cities, but representatives of the surrounding municipalities participated only in workshops conducted for the ISEK preparation in Greifswald. Despite solely aiming at improving regional cooperation, provide the established management schemes in the ISEK process in most cases a suitable setting for its institutionalisation.

6.4.2. Consideration of various thematic fields of activity and subject-specific interrelationships

The analysis has shown that the consideration of a broad range of topics and their interdependencies is challenging for planners due to their complexity, a limited knowledge and uncertainties about future developments. Moreover, the capacity of the planning document itself is limited. Among the applied strategies in the implementation of this dimension were a narrowed spatial focus, the reference to sectoral concepts or a loose compilation of different thematic fields of activity in the ISEKs. All of these approaches reflect practical concerns and have to be valued as adequate response due to the mentioned obstacles. Outstanding in this dimension is the ISEK of Schwerin 2008 for prefabricated housing areas with its formulation of integrated projects. Projects such as the presented ‘ZwischenRäume’ clearly build upon the problems and potentials of these areas. The elaboration of such projects under broad stakeholder involvement is highly recommended for all cities dealing with the preparation of Integrated Urban Development Concepts. Furthermore, stronger emphasis among those involved is necessary to consider underrepresented topics such as public health in the preparation phase.

6.4.3. Involvement of various administrative areas

That some topics of urban development are underrepresented in the analysed ISEKs can be partly traced back to the principle of administrative distribution and shortcomings in interdepartmental
cooperation and coordination. As the example of Lübeck with its ambitious cooperation scheme shows, only the awareness about insufficient interdepartmental cooperation in an early planning stage can help to overcome this obstacle for a successful integrated urban development planning. The example of Lübeck furthermore illustrates that the reflection of this dimension is crucial to improve the exchange of information in and outside administration, to name clear responsibilities among those involved in the preparation process and to increase transparency in decision-making. In strengthening this dimension, experience in interdepartmental cooperation on the project-level as e.g. documented by SCHAUBER in the theoretical background can be used (see also p. 14). However, political will is necessary to allocate capacities for interdepartmental cooperation and to create a collaborative environment within the administration. Moreover, further scientific analysis is required to assess the quality of institutional design as response to integrated urban development planning.

6.4.4. Participation of players from outside the spheres of politics and public administration

Broad stakeholder involvement and public participation is a central criterion for the quality of integrated urban development planning. Benefits are seen in an increase of transparency in decision-making as well as a higher level of legitimacy for planning and acceptance for emphasised measures. The ISEK preparation process of Lübeck provides a good example for the institutionalisation of a comprehensive participation scheme on neighbourhood and city-wide level as well as for specific groups. Nevertheless, the analysis also shows that further emphasis is necessary to reach the unorganized public or underrepresented groups by establishing adequate participation schemes. Here, planning theory is rich in providing suitable solutions. However, planners have to redefine their role towards a moderator, who communicates potentials and limitations in urban planning to avoid unrealistic expectations and contributes to consensus-finding. Generally, broad stakeholder involvement and public participation should not be seen as a necessary obligation which requires efforts in organisation and bargaining. Examples from the case study cities illustrate first of all chances for project initiation and implementation, which depends in many cases on the public.

6.4.5. Pooling of financial resources

Unsurprisingly, this dimension is well reflected in all case study cities because the application for funding could be identified as a main stimulus for the drawing up of Integrated Urban Development Concepts. Top-down guidance combined with financial incentives from national and Länder level proofs here to be an efficient instrument in the dissemination of the planning concept. Nevertheless, regional authorities should improve the knowledge transfer about new funding sources such as JEREMIE and JESSICA since these funding schemes are not widely known among the case study cities. This finding also illustrates that the implementation of EU policy is a long-lasting process with many stakeholders. Cities itself should review their overall financial situation as undertaken in Greifswald and Lübeck for a more complete account of realistic development perspectives. Moreover, the establishment of an interdepartmental financing and funding management to improve, spread and apply knowledge about potential funds and their application as proposed in Lübeck is recommended by the author. Thus increases the likelihood of project implementation and improves the administration’s role as a service provider for local business and inhabitants.

6.4.6. Management of integrated action

So far, every form of institutionalisation of integrated urban development planning has been assessed as ‘comparable strong’ integrated in line with the flexible definition approach provided by
the BMVBS&BBSR study and used in this thesis. This definition approach did not proof to be a suitable instrument to assess the great variety of management practices found in the case study cities. The preparation of a more detailed framework in this dimension is recommended to distinguish between the institutionalisation on the working and steering level and to consider further quality criteria. These quality criteria can be assessed in another study with reference to institutional, communication and collaborative planning theory. It should reflect both, theoretical concerns as well as experience gained from municipal practice. From the view point of this analysis, a strong level of integration should be only assessed if the established schemes allow an adequate participation of a broad range of stakeholders in line with other collaborative dimensions and a factual impact of those involved on the content of the ISEK. Decision-making competence should be transparent. As already mentioned the most comprehensive management scheme has been established during the ISEK preparation process in Lübeck. This case illustrates another important issue: the management schemes should be not just established during the preparation process. It is important to maintain these structures to control the ISEK implementation and react on potential problems.

6.4.7. Arrangement of development concepts

The analysis outlined that the capacity of Integrated Urban Development Concepts is limited and not all recommended components as laid out in the Leipzig Charter and the German follow-up study are reflected. The reader should be reminded to a statement from HOPKINS used in the theoretical background. He was arguing that planning literature is full of recommendations for ideal plans. However, they seldom happen or affect real development. He concludes therefore that “real plans are big and little, support private and public decisions, and affect decisions through information, not directly through authority” (HOPKINS 2001: 3). This also accounts for the analysed ISEKs. Information provided in the planning documents and gained from complex analysis as well as broad stakeholder involvement is rich. This distribution of information is the most important aspect of drawing up an ISEK. The planning document should guide - not force - decision-makers and stakeholders in project implementation and should be flexible enough to react on changing circumstances. The analysed ISEK fulfil these requirements but the strategies in the provision of a huge amount of information differ. They include the reference to existing sectoral concepts as in Kiel, the provision of side documents (analysis, participation, measures) as in Lübeck or the focus on analytical issues as in the updated ISEK versions of Greifswald and Schwerin to avoid the risk of creating huge documents for the bottom drawers in desks of planners.

Nevertheless, two shortcomings in the arrangement of ISEKs should be examined. First, integrated urban development planning occurs partly without a vision for the cities’ development. Even when a vision is provided, it has been mostly agreed outside the ISEK preparation process. Here, the vision discourse should be better integrated in the ISEK process since the established cooperative schemes provide a suitable basis for broad stakeholder involvement and discussion. Consensus about a joint vision would furthermore improve goal-orientation in integrated urban development planning. Second, there are serious concerns about missing data as well as the necessity of evaluation and monitoring of urban development. However, all case study cities focus on own monitoring systems with different indicators. The establishment of a common monitoring system should therefore be a higher-level task. The BMVBS&BBR study about an ‘indicator-based monitoring system on sustainable urban development’ provides one possible approach here. Such a monitoring system would also help to compare the state of urban development and to define concrete development goals. Following HEIL, this is also an important prerequisite for sustainable urban development.
List of References


Under: www.eukn.org/dsresource?objectid=202129, 11-02-04


Under: www.bmvbs.de/SharedDocs/EN/Artikel/SW/leipzig-charter.html, 11-01-19


Under: www.nationale-stadtentwicklungspolitik.de/cln_016/nn_251568/Content/Publikationen/NSP/memorandum_towards_a_national_urban_policy.pdf, 11-01-19


http://www.eukn.org/E_library/Urban_Policy/Territorial_Effects_of_the_Structural_Funds_in_Urban_Areas_%E2%80%93_ESPON_project_2_2_3, 11-03-13

Under: www.eukn.org/E_library/Urban_Policy/Lille_Action_Programme, 11-03-09


Under: www.eukn.org/E_library/Urban_Policy/Bristol_Accord_UK_Presidency_EU_Ministerial_Informal_on_Sustainable_Communities, 11-02-16


Under: http://aei.pitt.edu/6794/1/003662_1.pdf, 11-04


Under: http://ue.eu.int/ueDocs/cms_Data/docs/pressData/en/ec/00100-r1.en0.htm, 10-10-04


French Presidency (2000): Conclusions of the French Presidency of the European Union at the end of the informal meeting of Ministers responsible for urban affairs at the Conference “Europe, spatial and
urban development”. Lille.
Under: www.eukn.org/dresource?objectid=143159, 11-04-19


Under: www.regional-studies-assoc.ac.uk/events/2010/may-pecs/papers/Kuhn.pdf, 11-05-04


Under: http://urbact.eu/fileadmin/Projects/LCFacil/outputs_media/lcf_Baseline_Study_part_2_01.pdf, 11-02-20


Under: http://www.eukn.dk/eukn/filer/Viennna%20MP%20EU%20policy%203.pdf, 11-02-03


Under: www.stadtstrategen.de/downloads/%5BStadtStrategen%5D%20Informelle_Instrumente.pdf, 11-03-10


Under: www.central2013.eu/fileadmin/user_upload/Downloads/Document_Centre/OP_Resources/05_Bristol_Accord_on_Sustainable_Communities_in_Europe.pdf, 11-03-05

Methodology and analysed planning documents


Appendix

Case Study I – City of Schwerin, Capital of Mecklenburg-Vorpommern

Schwerin (Fig. 9) is the capital of Mecklenburg-Vorpommern. The second largest city of the north-eastern Federal State has 93,073 inhabitants (2009). Its economy is dominated by the service sector, e.g. due to the strong administrative function. Important manufacturing industries located in the city include engineering and food industry. As characteristic for most East German cities, Schwerin has undergone a dramatic economic and demographic change since the German reunification in 1990. A key figure is the loss of 29 percent of the population between 1989 and 2009 resulting from low birth rates, suburbanization and outmigration to (mostly) prospering West German regions which is partly explained by the high unemployment rate (> 16 percent in the mid-1990s).

ISEK Schwerin 2002

The population decline resulted in a housing vacancy rate of 10.9 percent (2001) for the whole city with peaks of 22.9 percent in some of the prefabricated housing areas build during GDR-times. The main concern of the Integrated Urban Development Concept of 2002 was to deal with this high vacancy rates and the consequences for urban development. Moreover, the concept formed the basis for the municipality’s request for financial support from the Federal-Länder programme ‘Urban Renewal East’. The planning document provides an analysis part covering population and household data as well as scenarios for the future development. Furthermore, economic and labour market data (employment, unemployment, economic structure, purchasing power, etc.) is provided. In preparation of the ISEK, a housing market prognosis with a 15 years corridor has been prepared by an external research institute. The housing market prognosis takes different housing characteristics, the level of modernisation, vacancy rates as well as new housing developments into consideration in defining the structural surplus in the housing stock for deconstruction. Basis for the definition of aims and measures forms here a ‘medium’-shrinkage scenario which estimates a 3.8 percent reduction of the demand for housing until 2017 and names a structural surplus of 6,000 housing units in 2017. Moreover, the necessity of interdepartmental coordination with social and technical infrastructure planning (child day care, schools, elderly care, public transport and sewage/heating/waste supply), regional coordination in the provision of building land as well as broad stakeholder involvement and public participation is outlined in the planning document as overarching principles of urban development planning in Schwerin.

The 2002 ISEK is embedded in the city’s planning guidelines of a ‘sustainable urban development’. However, there has not been a new guideline or vision discourse in the ISEK preparation but the existing guidelines with relevance for the housing sector have been re-evaluated in face of the urban renewal concerns. In detail, the actuality of following guidelines for the housing development has been confirmed within the ISEK 2002 process:

Fig. 9: Aerial picture of Schwerin
Source: www.schwerin.de
• developing Schwerin’s profile as a city located close to the water, e.g. by waterfront development
• strengthening Schwerin’s inner-city, e.g. by housing modernisation or mixed-use development with focus on the retail function
• retaining Schwerin’s urban structure and preserving the historical building stock
• developing Schwerin’s large-scale prefabricated housing areas, e.g. by adding missing functions
• promoting the concept of ‘inner-development before outer-development’ in Schwerin, e.g. by brownfield revitalisation

Process principles have also been outlined including the perception that urban renewal is a cooperative task which requires broad stakeholder involvement and public participation. Moreover, urban renewal is seen as an enduring task which obliges new forms of organization and monitoring. Here, concepts such as the ISEK should be both, flexible in character to react on changing circumstances on the one hand, and to provide a binding framework for action of public administration and housing companies on the other. Further dimensions cover the establishment of a city marketing to promote the city’s housing qualities and upgrading measures as well as an urban renewal management to balance the negative impacts for individuals affected by the tearing down of their houses. Beside these guidelines and process concerns several spheres of activity with relevance for the housing sector are outlined in the ISEK 2002. This covers the consideration of the specific demands of several groups on the housing market sector, the modernisation and preservation of the historic building stock in inner-city areas, the upgrade of pre-fabricated housing areas as well as the deconstruction of building stock to reduce the housing oversupply. Special attention is given to promote private property building and housing for elderly. The ISEK also includes a review of existing planning documents, strategies and regulations such as the preparatory land-use plan, the framework inner-city planning as well as physical preservation statutes.

Based on their spatial-functional characteristics, vacancy rates, status of the building stock and past population development, the neighbourhoods of Schwerin have been classified as ‘areas of consolidation’, ‘areas of upgrading’, ‘areas of restructuring’, ‘status quo areas’ or ‘areas without demand for planning intervention’ (Fig. 10). In detail, ‘areas of consolidation’ are characterized by a stable socio-economic development, good conditions of the physical and housing environment as well as under-average vacancy rates. Aims for these areas include the completion of modernisation measures. Deconstruction and the upgrade of the living environment are only planned punctually. Three areas of Schwerin are classified as ‘areas for consolidation’. Their building stock originates from the 1950s to the 1970s and is dominated by 4- to 5-storey buildings. Vacant housing units are concentrated in singular, not renovated high-rise buildings. ‘Areas of upgrading’ include districts with demand for rehabilitation and high importance for the urban structure of Schwerin. The five areas classified as ‘areas for upgrading’ are located in the inner-city and have a heterogenic building stock including historic buildings. Most of the areas are formally designated as urban rehabilitation areas under planning legislation or covered by a preservation statute. One of them is participating in the ‘Socially Integrative City’ programme. Even a positive population development between 1996 and 2001 in these areas did not reduce the vacancy rate significantly. Vacancy is concentrated in the not renovated building stock or along main roads. Planning aims include the renovation of the building stock and the improvement of the living environment. Private property building should be promoted in some of the areas whereas the deconstruction of buildings is planned in only one of the areas.
‘Areas of restructuring’ experienced the highest loss of population between 1996 and 2001, have vacancy rates up to two-time higher than the cities average and are characterized by a low level of satisfaction with the living environment among the population. The two areas of this category are large-scale prefabricated housing areas build in the 1980s with dominant high-rise buildings. Planning aims for these areas include a reduction of the building stock by deconstruction and transformation measures but also the modernisation of the remaining building stock and the improvement of the living environment with focus on stable cores within these areas. Both areas participated in an experimental national programme on the development of large-scale housing areas and are programme areas for the ‘Socially Integrative City’. ‘Status quo’ areas did show average vacancy rates in 2001 but there were uncertainties associated with their future development due to the building structure and other indicators. A smaller pre-fabricated housing area with a low modernisation and satisfaction rate in Schwerin falls into this category. Following the ISEK 2002, housing companies did not plan any measures in this area. The ISEK 2002 includes short descriptions of each area including the mentioned indicators and the aims for the further development.

The two areas classified as ‘areas of restructuring’ are the focal areas of urban renewal measures in Schwerin. Here, two detailed ‘integrated district development concepts’ has been developed later which are not part of the ISEK Schwerin 2002. However, the ISEK 2002 includes a measure, implementation and financing concept covering measures which meet the criteria for funding from the ‘Urban Renewal East’ programme. This includes a priority list of upgrading measures with a three-year horizon such as the reshaping of street patterns, open and green space measures or investment in the social infrastructure of three pre-fabricated housing areas. Moreover, an agreement with the housing companies on the deconstruction of 1,500 housing units in four areas until 2005 could have been reached. Furthermore, the ISEK 2002 included information about the establishment of a monitoring system, which was planned to be developed within the framework of a BMVBS-funded model project on ‘indicator-based sustainable urban development’.
ISEK Schwerin 2005

In 2005, the ISEK of the City of Schwerin has been updated for the first time. The main motive for this early update was the comparison of the housing market prognosis from 2002 with the factual development until 2005. However, the expected structural oversupply of 6,000 housing units in 2017 remained unchanged even though there was a slowdown in population decline. Here, the housing construction activity between 2002 and 2005 had been underestimated. Nevertheless, there are concerns about increasing the deconstruction quota since reallocation, combination or closing of housing units were not accomplishable as expected. Moreover, the ISEK lists the measures undertaken in the inner-city development since 2002. This includes the enlargement of the formal urban rehabilitation area, the agreement on key projects covering the improvement of the living environment, the establishment of real estate cadastre and the public offer of a reward for the modernisation of the historic building stock.

The ISEK 2005 also provides an overview about the measures undertaken in the designated urban renewal areas. The same classification is used as in the 2002 planning document. Here, ‘areas of consolidation’, ‘areas of upgrading’, ‘areas of restructuring’ and ‘status quo areas’ are portrayed including the description of the past development and measures since 2002, the provision of key indicators and the outline of planning aims. Minor changes cover the consideration of ‘areas without demand for planning activities’ (former areas of ‘consolidation’ or ‘upgrading’ in the inner-city areas as the old town) where rehabilitation measures could have been finished. Spatial focus are three large-scale prefabricated housing areas - Meußer Holz, Neu Zippendorf and Großer Dreesch - where detailed district development planes had been developed.4 These areas are the focal areas for urban renewal measures in Schwerin. However, efforts and results differed in the areas. Deconstruction of housing units as well as upgrade measures helped reducing the vacancy rates in the ‘consolidation area’ Großer Dreesch. In contrast, in the district Meußer Holz, which is described as the ‘restructuring area’ with the highest priority for action, limited efforts were made in terms of deconstruction and upgrading. The ISEK 2005 therefore provides an overview about the current status of the urban renewal process in the three areas and concretises the development aims and measures for the three large-scale prefabricated housing areas by defining in total 29 project areas within the three districts. This covered detailed deconstruction and upgrading measures. Since the two areas, Meußer Holz and Neu Zippendorf, received funding from the ‘Socially Integrative City’ as well as the ‘Urban Renewal East’ programme with distinct objectives, the ISEK 2005 undertakes the attempt to integrate the physical and social dimension of the programmes. Physical measures such as the upgrade of the living environment are combined with social-economic aspects such as strengthening local retail centres, the integration of people with a migration background and the improvement of the image of the area. For both districts follows an overview about realized and planned physical and social measures which received funding from the programmes and which were implemented by public and private actors.

The second update of the ISEK of the City of Schwerin breaks with the approach to provide a development concept for the entire city. Here, two separate ISEK’s have been developed covering the large-scale prefabricated housing areas (2008) and the inner-city districts (2010). The reason for this is that the two areas developed in different ways, e.g. in terms of the population development. Moreover, varying circumstances and potentials for the further development could be identified.

---

4 The ISEK 2002 refers to the district development concepts for the ‘restructuring areas’ Meußer Holz and Neu Zippendorf. Meanwhile such a concept has also been developed for the ‘consolidation area’ Großer Dreesch.
ISEK Schwerin 2008 - prefabricated housing areas

Following a six years process of urban renewal measures in the three focal areas, a first balance was drawn in 2008. Taking the population development and the reduction of housing vacancy rates in the large-scale prefabricated housing area Großer Dreesch into consideration, the area is still classified as ‘consolidated area’ in the ISEK 2008. Further emphasis should be given to the modification and diversification of the housing stock and the development of open spaces in this area. In Neu Zippendorf several punctual deconstruction measures with model character had been realized and reduced the housing vacancy rate. The ISEK 2008 emphasises to continue this urban renewal strategy. The positive balance for the two areas is contrasted by the development of the area Meußer Holz. Here, urban renewal measures remained insufficient. The housing vacancy rate increased and the image of the area has been deteriorated. The ISEK 2008 identifies an urgent need for action in this area and emphasises a change in the urban renewal strategy towards an extensive deconstruction of the building stock as well as a stronger consideration of social measures.

Due to the spatial and functional interrelationships, the three areas form for the first time in the ISEK process a joint planning area. The purpose is that strategic decision-making about the further development of the large-scale prefabricated housing areas in terms of deconstruction, upgrade and the provision of social infrastructure is embedded in the spatial context of the entire planning area. Moreover, the upgrade is based on a new housing market prognosis which states a structural oversupply of 6.000 housing units for the planning area in 2020, if further deconstruction measures remain undone. The need for action outlined in the evaluation of the past development of the three areas had a significant impact on the planning process. Broad stakeholder involvement and public participation was given a higher priority in all planning steps. This included the definition of new overarching guidelines and aims for the urban renewal process, the development of a spatial model for the development (Masterplan), the outline of the urban development concepts as well as the formulation of projects and priorities in the three prefabricated housing areas.

In detail, following multi-dimensional guiding principles and aims for the development for all prefabricated housing areas have been defined:

- ‘urban diversity’, covering the provision of a housing stock with different qualities for a wide spectrum of social groups
- ‘innovative city’, here, the prefabricated housing areas are seen as field for experiments to combat demographic change as well as climate change and to develop innovative solutions for the supply of technical infrastructure
- ‘urban landscape’, covering the ‘integration’ of landscape features such as lakes and woods into the development of the prefabricated housing area
- ‘social balance’, covering the objective of combating social polarization with physical and social measures as well as the integration of people with migration background and the creation of ‘good communities’

The Masterplan (Fig. 11), covering all three areas and oriented on the guiding principles and aims, provides an abstract illustration of the future land-use. It includes details concerning the settlement structure, housing provision, open and green spaces as well as the location of social infrastructure and district centres. The information given in the overarching principles and aims as well as the Masterplan are concretised in the urban development concept. This part of the ISEK 2008 includes statements for seven, interdependent areas of activity:
• the modification and diversification of the housing stock (modernisation, punctual or extensive deconstruction, improvement of the living environment, provision of building land for single family houses, row houses, etc. on deconstruction sites);

• the reduction of the vacancy rates by the deconstruction of 3.700 housing units until 2020 with participation of all property owners in the areas\textsuperscript{5};

• the ‘qualification’ of open and public spaces to improve the living environment, to increase the amenity value and to structure the area;

• the improvement of the image to increase the identification with the area among the inhabitants and the acceptance for renewal measures\textsuperscript{6};

• the stabilization of the population structure by combining physical with social measures such as qualification measures, measures for the integration of the foreign born population, provision of services for elderly, etc. (‘Socially Integrative City’ programme);

• the maintaining of the local supply with social infrastructure for several groups, adequate services and retail to meet the requirements of the local population

• the development of future-compliant schemes for technical infrastructure such as decentralized systems for the energy supply which takes challenges such as demographic and climate change into consideration.

To ensure a successful implementation of the concept, several spatial and thematic focal points have been emphasised in the urban renewal process. Here, several measures are spatially and temporally concentrated in priority pilot projects aiming at achieving synergetic effects, e.g. by pooling funding from different sources. In total, eight pilot projects have been formulated in the ISEK covering a package of measures with dominant physical dimension with a joint thematic focus or so called ‘integrated’ projects, which combine physical, environmental and social measures. Collateral measures include the traditional urban renewal measures such as the deconstruction of housing units and the improvement of the living environment (open and green spaces, roads, etc.). Both, pilot and collateral projects, is given priority in the first implementation phase until 2012. Responsible for the implementation are the city and the housing companies in close cooperation. Further urban renewal measures including the extensive deconstruction of the highest share of the structural housing surplus and the provision of building land for single family houses in Meußer Holz. These measures are given priority from 2013 onwards. The ISEK 2008 has a time horizon of twelve years. A first monitoring should be conducted in 2011/12 when measures with high priority are already implemented. Even though the planning document includes a list of short-term priorities, no financing plan is included.

\textsuperscript{5} Past deconstruction measures have been solely undertaken by the public and collaborative housing companies. The inclusion of private property owners in the urban renewal process is a main concern. The enduring closure of several storeys or a whole building is not emphasised in the planning document anymore due to the negative effects of run-down buildings on the neighbourhood image.

\textsuperscript{6} All measures conducted in the ISEK should contribute to the improvement of the image: modernisation and diversification of the building stock, open and green space measures as well as social and marketing efforts.
Fig. 11: Masterplan for the prefabricated housing areas – ISEK Schwerin 2008
Source: ISEK Schwerin 2008: 12, translated from German original
ISEK Schwerin 2010 – inner-city areas

The ISEK of 2010 covers six inner-city districts and provides first of all a review of the past development in these areas. Beside the realisation of key projects with focus on improving public spaces, several steps have been undertaken under the heading of waterfront development. This includes mixed-use development, infrastructure measures and the provision of building land on former brownfields. Moreover, a state garden show in the inner-city area had significant effects for the upgrade of public spaces, strengthened Schwerin’s attractiveness for tourists and improved the image of the city. Past efforts in housing modernisation and new construction resulted in a population gain of 11.3 percent between 1996 and 2009. This is remarkable since the whole city lost 16.0 percent of its population in the same period. Even though, there is a vacancy rate of 14.6 percent (2009), especially in not renovated buildings. Nevertheless, the inner-city areas play a major role in the city’s strategy for the provision of building land for single-family homes, housing for elderly and multi-storey dwellings. In tradition of the previous ISEK’s, the six districts are portrayed individually including key indicators for population development and socio-economic indicators, a description of the past development and aims or planned measures. Overarching aims are the modernisation of the building stock, strengthening the retail function, the improvement of the living environment and social infrastructure such as schools and playgrounds.

In preparation of the ISEK 2010, new guiding principles and strategies for inner-city areas have been developed. This includes:

- the preservation and renewal of historic building stock and urban structure, e.g. by modernisation of the building stock, compliant construction on empty building lots, and the formalization of preservation statutes
- the enhancement of the retail function, e.g. by the focus on mixed-use development and investment in public spaces to increase the attractiveness and functionality of the city centre
- the focus on inner-development to reduce land consumption, e.g. by housing, office and commercial site development in line with public and economic demands as well as brownfield revitalisation
- the strengthening of Schwerin’s profile as city close to the water, e.g. by waterfront development under consideration of landscape and ecological concerns as well as infrastructure measures to improve the access to the lakes
- the shaping of the city’s cultural diversity profile by bundling the promotion of public and private cultural activities to increase the overall attractiveness for citizens as well as tourist

The ISEK provides in the following section an overview about areas of activity including a description of the current status, problems and potentials for each topic as well as planned measures by public and private actors in the specific field. The specific areas covered in the ISEK 2010 are: retail, services and administration, housing, social infrastructure (schools, youth and elderly care), culture, tourism, open and green space, and traffic (road traffic, parking, public transport, cycling). However, there is a weak linkage between the strategic aims and guidelines on the one hand and the listed measures on the other. The low level of concretisation is also characterized by a missing concept for financing and implementation, which is partly explained by the dependency on public funding from higher-level or private investment as well as the common praxis of short-term financial planning in local administration and policy.
Case study II - University town and Hanseatic City of Greifswald

The City of Greifswald (Fig. 12) is situated in the north-eastern part of the German Federal State Mecklenburg-Vorpommern. The city has a population of circa 54,000 inhabitants (2010). Even though there was a slight increase in the number of inhabitants and a positive economic development during the past years, the city still suffers from the social and economic transformation process after the German reunification. The loss of 17 percent of the population between 1993 and 2001 was surpassing the average loss of 4 percent in Mecklenburg-Vorpommern in the same period. However, the unemployment rate of 16.4 percent (2004) could be reduced to 12.5 percent (2010). Of high importance for the population development and structure as well as the economic development are the city’s university and the associated research institutes.

ISEK Greifswald 2002

With the preparation of the ISEK 2002 the city participated in the national competition ‘Urban Renewal East’ which aimed at adapting the physical development of East German cities to changing framework conditions for urban development. The ISEK 2002 includes an analysis part (Part A) which covers population, household and economic development, housing market concerns and puts emphasis on providing data for the supply with social and technical infrastructure. Further emphasis is given to the outline of the development concerning the provision of building land in Greifswald and the surrounding municipalities as well regional cooperation concerns since Greifswald is sharing the functions of a higher-order centre with Stralsund according to regional planning legislation. The ISEK builds up on a prognosis for the population development until 2015 with different scenarios, estimations about the future economic development based on expert interviews and a housing market prognosis with a time horizon of 15 years. Even though a positive economic development is expected, the number of inhabitants and households is expected to decline according to the prognosis. Consequently, the housing market prognosis outlines a doubling of the amount of vacant housing units from 1,750 (2001) to 3,300 – 4,700 (2015) in dependency of the different scenarios. Beside these quantitative concerns, also qualitative issues such as the provision of housing for elderly or affordable housing for families are taken into consideration in the housing market prognosis.

The prognoses data is taken also into consideration in the analysis covering the provision and adaptation of social and technical infrastructure. The information for the social infrastructure is provided for several age groups (children, youth and elderly) and for different social-spatial units since the demand differs in these areas. Further topics covered are education including the university, culture, health and sport. The section about the technical infrastructure provides information about the supply with energy, water and waste management as well as traffic and the...
provision of building land. Emphasis is given to outline cooperation and coordination concerns with the City of Stralsund, surrounding municipalities, housing companies and the public.

Based on the analysis, strengths, weaknesses and potentials for the focal areas are outlined. In a next step, the strategic aims and guiding principles for urban development as agreed by a council decision are presented. Here, the City of Greifswald and the surrounding municipalities should be developed to a ‘vibrant, innovative and international competitive location for economy, research and education’. Within the ISEK, this strategic aim is concretised for the dimensions physical urban development, housing, economy and labour market, infrastructure as well as cooperation and communication with focus on the surrounding municipalities. In detail, these strategic aims are:

- **physical urban development** – strengthening of the maritime character of the city by waterfront development; definition and marketing of spatial-functional characteristics of the region and the enhancement of the historic centre

- **economy and labour market** – strengthening of the business location by regional marketing and management, extending the cities role as location for technological development and business; enhancing the role of the university, service industry and tourism

- **housing** – increasing the stability and living quality in the districts of the city, reducing the amount of housing vacancy rate by deconstruction, upgrading and adapting of the remaining housing stock and development of attractive inner-city locations for single-family housing

- **infrastructure** – maintaining and safeguarding the existing infrastructure; quantitative adaptation and qualitative upgrading of infrastructure facilities

- **cooperation and communication** – joint development of the functions of a higher-order centre with the City of Stralsund and city-regional cooperation on different thematic fields

A further concretization follows in the ISEK 2002 for the deconstruction of housing units. In line with the housing market prognosis, the ISEK emphasises the deconstruction of 1.350 housing units until 2010 and another 1.000 units until 2015. Here, spatial focal areas had been named based on indicator-based analysis of the singular districts. This analysis covered population structure and social status, housing indicators, infrastructure as well as living quality. A large-scale prefabricated housing area (‘Housing at the university gateway’) and an area with a mixed building stock close to the centre (‘Housing at the River Ryck’) are the focal areas for deconstruction and/or upgrade measures. Both areas are classified as areas with urgent demand for restructuring due to the high amount of vacant housing units and deficits in the living environment. The other districts are classified as ‘stable’, ‘preservation areas’ or areas with middle- or long-term demand for restructuring. For all districts, specific objectives for the future development are outlined in the ISEK 2002. Moreover, emphasis has been given to evaluate if the definition of the focal areas is in line with existing planning documents and strategies such as the regional planning programme, local building planning and the concept for the city centre.

Part B of the ISEK 2002 provides detailed concepts for the two focal areas for urban renewal measures. For the areas follows an in-depth analysis covering population development and structure, housing indicators as well as social and technical infrastructure concerns. The physical planning concept emphasises the modernisation and adjustment of the housing stock, the deconstruction of housing units as well as an upgrade of open and green spaces and adaptation measures for technical and social infrastructure for the prefabricated housing area. In contrast, waterfront development
including housing for specific groups such as elderly people and families as well as an upgrade of the
living environment is considered for the area named ‘Housing at the River Ryck’. The detailed
planning concepts include a review of the existing planning concepts for these areas as well as a
measure, implementation and financing concept. Cooperation concerns with stakeholders such as
the housing companies as well as public participation are included. The implementation of the
measures should be undertaken stepwise. Moreover, the consequences of the implementation are
outlined for the specific areas as well as the housing sector, the development of the city as a whole
and the economic development including public budget. Earlier in the ISEK, emphasis has been given
to the establishment of an indicator-based monitoring system and the regular evaluation of the
implementation process.

ISEK Greifswald 2005

The updated ISEK 2005 of the City of Greifswald builds upon monitoring data of the urban renewal
process, a review of the past population development as well as updated prognoses for the
population, household and housing market development. Moreover, economic and labour market
development as well as the past and planed designation of building area for housing in Greifswald
and the surrounding municipalities has been taken into consideration. The analysis shows a further
decrease in the number of inhabitants due to outmigration (-2.0 percent 2001-2004), an increase in
the number of unemployed people as well as an increasing number of households depending on
social welfare aid. Here, huge disparities could be observed between single districts of the city. The
housing market prognosis could be improved because of the consideration of different housing
types, groups with different demands as well as varying preferences. Due to the ongoing socio-
-economic development, the housing market prognosis estimates the amount of vacant housing units
in 2015 by 4.400 (if there is no deconstruction, based on the ‘regional realistic’ scenario for the
population development) and emphasises the deconstruction of 2.500 housing units in the
prefabricated housing stock in the same period. Compared to the ISEK 2002, there is a slight increase
in the number of housing units for deconstruction even thought the first 274 housing units had been
already torn down. This is not least driven by a high building construction activity for single family
homes during the past years.

It is mentioned in the ISEK 2005 that an analysis of strengths and weaknesses covering the social and
technical infrastructure issues has been undertaken in preparation of the planning document. This
covered the city as a whole as well as all single districts. The topics where central functions of the city
centre, retail and traffic concerns as well as a demand and supply analysis for schools child care,
playgrounds, health and elderly care as well as sport, culture and leisure facilities. The city-wide aims
outlined in the ISEK cover solely urban renewal measures such as the deconstruction of housing units
and upgrading measures such as the improvement of the living environment. Further details are
provided in specific district plans and concepts but not in the ISEK update. Within the ISEK 2005 focal
areas for urban renewal measures were determined by an indicator-based analysis including social-
economic, housing market and physical characteristics of the specific districts. Here, areas with
priority for restructuring are the prefabricated housing areas Ostseeviertel, Schönwalde I and
Schönwalde II due to under-average socio-economic performance, high vacancy rate and deficits in
the physical structure. Areas for rehabilitation are the inner-city areas. Other districts of the cities are
classified as stable (single family housing areas), observation areas with uncertain development or
areas with punctual demands for action (areas with a mixed-building structure). All areas are
described in brief but concrete measures are not emphasised in the ISEK.
In comparison of both documents, the ISEK 2005 had a primarily analytical function which took urban renewal monitoring data as well as new prognoses for population, household and housing market development into consideration. Furthermore, a new classification system has been used to outline strengths and weaknesses for all districts and to determine areas with priority for urban renewal measures. The spatial setting under the framework of the ‘Urban Renewal East’ programme varies therefore. Whereas the ISEK 2002 of Greifswald included detailed concepts for two areas with different physical characteristics, emphasises the ISEK 2005 the focus on the large-scale prefabricated housing areas for deconstruction and upgrade measures. However, no detailed information is given in the 2005 ISEK for concrete measures as well as their financing and implementation.
Case Study III – City of Kiel, Capital of Schleswig-Holstein

The City of Kiel (Fig. 14) is the capital of Schleswig-Holstein. It has 237,579 inhabitants (2008) and is the administrative centre of the northern Federal State. Beside the importance of the service sector for the local economy, manufacturing industries such as shipbuilding are located in the city. The export-oriented industries are heavily depending on world economic development and negative impacts of the labour market situation were expected in face of the world economic crisis. Labour market data from 2008, which outlines an unemployment rate of 10.6 percent, does not take these potential effects into consideration. In contrast to the East German cities covered in this analysis, Kiel has experienced a slight population growth during the past decade. Issues discussed under the framework of demographic change cover the expected growth of the share of people aged 65+ by 22 percent until 2025 and the high share of population with a migration background (18.3 percent in 2008).

Fig. 14: Aerial picture of Kiel
Source: SEEHAFEN KIEL GmbH & Co. KG, Picture: P. Lühr

ISEK Kiel 2010

The 2010 Integrated Urban Development Concept of the City of Kiel is a further development of the Urban Development Programme from 2006. It takes the 2009 city council decision on new strategic aims for the development of the city into consideration and forms the basis for further municipal activity in various fields. Due to the financial crisis, a main concern of the ISEK is to integrate different sectoral planning concerns to pool scarce financial resources. Here, the ISEK should provide a strategic and implementation-oriented tool which outlines focal areas for development. Furthermore, the planning document forms the basis for assessment of the eligibility for public funding from different public sources. Moreover, the ISEK is used for the positioning of the city in the regional context and should provide a basis for interregional cooperation.
During the ISEK process, guiding principles for the urban development of Kiel were taken into account. They include the preference of inner-development rather than development at the outskirts of the city by the utilization of inner-city areas without or not appropriate use, brownfield revitalisation and land management practices to reduce soil sealing. Furthermore, the existing open and green space structure with a circular shape and smaller arms should be protected and developed, e.g. in terms of recreational purposes, in cooperation with the surrounding municipalities. Generally speaking, municipal action should be oriented on the existing settlement structure and the characteristics of singular districts to strengthen neighbourhood centres, creating diversity and improve identification. As parts of the concerns about a polycentric urban development, compliant uses and functions should be mixed on the district level. A last guiding principle is the development of an urban and vital city centre with higher-order function for the region. Moreover, specific demands of social groups and different potentials of the districts have been taken into consideration.

The ISEK concretizes the strategic aims for the development of the City of Kiel as agreed in a council decision 2009 for urban development concerns. In detail, the ISEK should provide the basis for the development of a ‘social, child-friendly as well as creative and innovative climate protection city’. Following strategic aims are outlined and concretized in the ISEK:

- **‘Social city Kiel’** – According to this strategic aim, equal opportunities should be permitted for all citizens by improving the social infrastructure as well as strengthening personal responsibility and self-determination. This strategic aim is oriented on the individual problems of the citizens. The ISEK provides in this dimension an overview about the population development and structure, covers public health concerns, and focuses on deprived neighbourhoods by a review of past activities. The ISEK names elderly people, people with migration background and disabled people as focus groups and includes health care concerns in the adjustment of social infrastructure.

- **‘Child-friendly city Kiel’** – Purpose of this strategic aim is the improvement of the overall living quality in the City of Kiel by promoting childcare, education and sport. Special attention is given to the outline of consequences of social segregation for the development chances of children and youth as well as differences in the provision of sport and leisure facilities in the living environment. The measures emphasised here aiming at a reduction of existing disadvantages.

- **‘Climate protection city Kiel’** – The strategic aim covers the emphasis on an active climate protection with a focus on energy supply, traffic infrastructure and the sustainable resource consumption. In terms of energy supply, the reduction of CO₂-emissions, a higher energy-efficiency, the focus on renewable energy sources as well as affordable energy prices and positive labour market effects are mentioned as aims in the ISEK in line with existing concepts. Further activities include energy-efficient retrofitting of the building stock and the participation in the eea® - European Energy Award certification programme. In line with the traffic development plan, the ISEK favours pedestrians, cyclists and the public transport compared to the individual traffic by car. In terms of the protection of natural resources, the ISEK covers soil, ground and surface water, noise emissions and air quality concerns. Measurements for the protection and conservation of natural habitats, open spaces as well as biodiversity are in line with environmental legislation.
• ‘Creative city Kiel’ – Strategic concern is here to raise the overall attractiveness of the city by enhancing the city’s cultural offerings and strengthening its position in tourism. Moreover, marketing concerns are taken into consideration in the development of the brand name KIEL.SAILING.CITY. Emphasis is furthermore given on the positioning of Kiel in the context of a modern European city by city cooperation and networks. The strategic aim refers to RICHARD FLORIDA’s Creative Class theory.

• ‘Innovative city Kiel’ – Central element of this strategic aim is the creation of future-compliant jobs by strengthening the science sector and the cooperation between universities and business. Further dimensions are an active labour market and housing policy as well as the emphasis on efficiency in city-owned companies and an innovative business development policy. Within the framework of the ISEK, the development of Kiel as a business and science location, the development of the inner-city with its retail-function, the science-business cooperation and the housing market development are identified as focal areas of activity.

Within all this dimensions, existing sectoral planning concepts, strategies and aims have been reviewed. Moreover, an analysis of weaknesses and strengths had been undertaken within all specific strategic aims to outline focal areas of activity. Further cross-sectional objectives have been outlined in the ISEK such as budget consolidation, modernisation of the administration, public participation, gender equality and the shaping of demographic change. Within the underlying analysis, several thematic maps had been produced covering the spatial concretisation of all strategic aims. By overlapping these thematic maps, five spatial and functional focal development areas could be identified (Fig. 15). These focal development areas form a spatial concretisation based on the overlapping of strategic aims, focal areas of activity and information provided in existing sectoral concepts. The presentation of the focal development areas in the ISEK includes an analysis of singular issues relevant for the development of the respective area which require further planning efforts. Moreover, key projects are named. In detail five focal development areas are distinguished in the ISEK of Kiel 2010:

• Areas participating in the Federal-Länder Programme ‘Socially Integrative City’. These areas are classified as ‘deprived neighbourhoods’ based on different indicators such as foreign born rate, unemployment and social benefit recipients, etc. The aim is to improve the living conditions for the inhabitants by providing compliant social infrastructure for different groups, creating opportunities for education, qualification and employment as well as to strengthen the local economy. This approach takes individual social problems as well as economic, ecological and social framework conditions into consideration. Emphasised measures in the ISEK cover the topics housing and living environment, ecology, culture, recreation and community living as well as other social infrastructure concerns.

• The city centre. According to the ISEK, the city centre suffers from realized and planned large-scale shopping centres on the outskirts and does not meet the requirements of a vibrant and attractive inner-city area. Inadequate uses, brownfields, run-down buildings and deficits of public spaces form the basis for urban development concerns. The ISEK emphasises to sustain the diversity of functions in the area, to realize key projects to initialize further investment and to strengthen existing initiatives. The approach chosen in the ISEK is in line with the framework concept ‘Perspectives for the Inner-City in Kiel’ from 2009.
- **The South of Kiel.** This area is the focal area for the long-term provision of building land for housing and commerce in line with regional planning concerns. The ISEK emphasis a step-by-step site planning including the provision of technical and traffic infrastructure, an update of the retail concept as well as the consideration of compensation measures for negative environmental impacts. Emphasis is given to the realization of projects with reference to the strategic aims such as the development of a science and technology park and the utilization of the area for wind energy production.

- **Kieler Förde – bay area.** The bay area is crucial for the formation of a common identity for the citizens of Kiel as outlined in the ISEK. A great variety of uses and functions is located along the 18km long bay area. Due to the structural change, strategies are required to manage the conversion process of former military sites and brownfields. The overarching aim is to increase the overall attractiveness of the areas under consideration of conflicts between potential uses and environmental concerns. Measures emphasised in the ISEK focus on a mixed-use development including housing, business, recreation and cultural amenities.

- **Network infrastructure.** Following the ISEK, the existing network infrastructure of the City of Kiel is suitable for the current situation. However, there are concerns about the adaptation of the network infrastructure for future concerns. This adaptation is necessary to react on changing demands, to ensure the future socio-economic development of the city and to implement strategic aims. In line with these aims, special emphasis is given to the promotion of environmental-friendly modes of transport and the decentralization of the energy supply network in favour of renewable energy source.

The measures emphasised in the ISEK of Kiel are not only physical. They partly are conceptual or emphasise monitoring or marketing concerns. All measures are described in brief in the appendix of the ISEK including the singular aims, the time span, costs and responsibilities for the implementation. Further implementation issues cover the emphasis on the preparation of individual integrated development concepts for the focal development areas, the utilisation of tools for a strategic land management as well as monitoring, evaluation and controlling. The implementation strategy is outlined in the ISEK and includes elements such as the emphasis on broad stakeholder involvement and public participation on neighbourhood level, gender mainstreaming and a focus on qualitative rather than a quantitative settlement policy. A more active role of the city in urban development is emphasised, e.g. by the acquisition of relevant sites for development. Moreover, urban design concerns and the preservation of the historic building stock are taken into consideration.
Case study IV – Hanseatic City of Lübeck

The Hanseatic City of Lübeck (Fig. 16) is located in the Southeast of the Federal State Schleswig-Holstein and borders on Mecklenburg-Vorpommern in the East. The city is the second-largest city in Schleswig-Holstein with 213,000 inhabitants (2008). Population statistics illustrate a slight decrease in of 4,000 inhabitants during the past decade. A further characteristic is the high number of people with migration background (19.2 percent in 2008). There were concerns about negative impacts of the world economic crisis since the local economy is partly depending on logistics and export-oriented industries. Further important sectors of economic activity are health, nutrition, tourism and retail. Before the crisis, a positive development in the unemployment rate could be observed. Here, the unemployment rate dropped from 12 percent to 8.8 percent between 2007 and 2008. Nevertheless, unemployment was above-average in comparison to the national and regional level. A main concern in the development of the city is the ongoing social polarization among the inhabitants resulting from socio-economic changes.

ISEK Lübeck 2009

The ISEK of Lübeck 2009 has been prepared in the face of demographic and economic change and associated socio-cultural developments. Moreover, concerns about the preservation of ecological resources as well as the municipalities’ financial crisis have been taken into consideration. The ISEK should provide guidelines for decision-making about urban development concerns and form the basis for the application for funding from EU, federal and regional sources. The ISEK determines thematic and spatial focal areas for urban development and has been elaborated with concerns about interdepartmental cooperation, broad stakeholder involvement and public participation.

The first part of the ISEK introduces six thematic focal areas of activity as well as development objectives with importance for the city as a whole. Their determination is based on a comprehensive analysis covering multi-dimensional concerns of urban development. In detail, the analysis covered functional characteristics, settlement structure, population and social development, cooperation issues, marketing and housing concerns, economic development, social and technical infrastructure as well as education, health and environmental concerns. Due to the complex analysis, the results are presented in the Appendix I of the ISEK which is not part of the ISEK adopted by the city council. Under consideration of this analysis and the existing sectoral planning concepts, following thematic focal areas of activity had been outlined in the ISEK of Lübeck:

- ‘Hanseatic City & Neighbouring City’ - This thematic focal area of activity aims at improving city-regional cooperation and an intensification of international contacts.
- ‘City & Districts’ – According to this focal area, traditional and unique features of the city such as the old town and Travemünde (the harbour area) should be strengthened and further districts of the city should be developed in line with their existing characteristics.

- ‘City for housing & generations’ – Providing attractive solutions for housing and living for different age groups under consideration of a capable and stable social structure are aims of this thematic focal area of activity.

- ‘Harbour City & Science City’ – Emphasis is here given to education and lifelong learning in line with the demands of a future-compliant economic structure.

- ‘Urban Landscape & World Heritage Site’ - This thematic focal area covers the creation of a green city located at the Baltic Sea which provides attractive cultural amenities for its inhabitants and visitors. Environmental concerns as well as preservation issues in the development of the city should be taken into account.

- ‘Together & Cooperative’ – The last thematic focal area covers process guidelines including transparency of decision-making as well as broad and continuous involvement of stakeholders and the public as requirement of joint implementation of urban development objectives.

In a second step, the spatial dimension of urban development planning has been covered in the ISEK of Lübeck by the provision of district profiles. Here, potentials, challenges, special topics for urban development as well as potential projects have been outlined for each district individually. District specific characteristics such as the availability of brownfields for redevelopment have been named, but also overarching topics relevant for the development of all districts could be identified. This includes the improvement of childcare and education, climate and noise protection, improvement of the infrastructure for bicycles, traffic and public transport planning as well as open and green space planning for recreational purposes. Due to the design of the ISEK process, it had been guaranteed that these topics relevant for the development of single or all districts are also reflected in the overarching thematic focal areas of activity as well as development objectives for the entire city.

Third, the thematic areas of activity and issues outlined in the district profiles had been overlapped to define specific planning areas. Here, new spatial units for planning had been created. The description of these areas includes potential topics for activity and projects which originate from the thematic focal areas of activity, development objectives for the city as a whole as well as the district profiles. In detail, six specific planning areas (Fig. 17) were defined in the ISEK 2009 of Lübeck:

- **Planning Areas A** cover e.g. Travemünde, the South of Lübeck, the harbour area and inner-city development areas. There is a great variety of potential thematic areas of activity in these areas due to heterogenic land uses. However, there are conflicts between the different uses and the ISEK aims therefore to improve the planning dependability for public and private investment. Moreover, it should be assessed if the areas are eligible for funding from the ‘Urban Renewal West’ programme.

- **Planning Areas B** cover the housing areas Moisling, Roter Hahn, Eichholz and Buntekuh. Potential activities in these areas are consequently housing related. This includes the modernisation of the housing stock, partly new construction of housing and the improvement of the living environment. Emphasis is also given on strengthening the district centres, socio-cultural measures to improve the integration of people with migration
background and technical and social infrastructure adaptation measures. These areas are partly already covered under programmes such as the 'Social Integrative City' due to their classification as deprived neighbourhoods. It should be also assessed if further funding from public sources is available.

- **Planning areas C** cover the inner-city districts Altstadt, Groß Steinrade and Schlutup. Planning focus is here the development of concepts to increase the attractiveness of public spaces and the preservation of the historic building stock, partly protected as UNESCO world heritage site.

- **Planning areas D** cover St. Lorenz and St. Jürgen. Major planning concern is the assessment of traffic and the adaptation of planning to reduce the negative impacts such as noise and air pollution for the inhabitants. Measures should also contribute to increase the attractiveness of public spaces.

- **Planning Areas E** cover areas with valuable green spaces. These are the Teerhof Island, floodplains, the Reeker heath land and the green space corridor in from of a horseshoe south of the city. Here, several conflicts exist between environmental protection concerns and recreational or other uses. Planning aims therefore to create a concept for the compatible utilization of these areas.

Since the planning areas A-E cover separate spatial units, in total 20 single area descriptions are included in the ISEK. For all individual planning areas, single development concerns are outlined, potential projects, responsible institutions, a time schedule and – if available – a financing plan for the implementation are included. Part four of the ISEK 2009 of Lübeck names the measures which is given priority for implementation. This covers concrete projects or efforts to create more detailed concepts for specific concerns. All emphasised measures are back coupled with the thematic areas of activity presented in the beginning. Since much more potential measures were mentioned during the ISEK process, a comprehensive overview can be found in the appendix.

The ISEK concludes with the framework conditions for the implementation of the ISEK as well as concerns about the upgrade and monitoring. Emphasis is given to the creation of clear communication and implementation structures and the embedment of the ISEK implementation in the legitimated, democratic decision-making process. Moreover, the establishment of a strategic funding and finance management is emphasised. To control the implementation of the ISEK, monitoring should be conducted. The ISEK provides here a proposal which should guaranty the regular update of the ISEK and project evaluation.
State of discussion

Fig. 17: Planning areas A-E – ISEK Lübeck 2009
Source: ISEK Lübeck 2009: 71, translated from German original
Student Declaration

I declare that the submitted master’s thesis has been completed by me the undersigned and that I have not used any other than permitted references or materials. All references and other sources used have been appropriately acknowledged. I furthermore declare that the work has not been submitted for the purpose of academic examination, either in its original or similar form, anywhere else.

I want to thank my supervisors, Gösta Blücher and Jan-Evert Nilsson, for their excellent support during the preparation of this master’s thesis.

Declared at Dresden on August 08th, 2011

Martin Stumpler