



TRANS-URBAN-EU-CHINA

Transition towards urban sustainability through socially integrative cities in the EU and in China

Deliverable

D 3.3 Land management instruments for socially integrative urban expansion and urban renewal in China and Europe

WP 3 Land Use Planning and Land Management



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List of acronyms

CAS	Chinese Academy of Science
CBD	Central business district
CHP	Community Housing Plan
EU	European Union
FAR	Floor area ratio
IUDC	Integrated Urban Development Concept
NDC	New Deal for Communities
PPP	Public-Private-Partnership
PRC	People's Republic of China
SOE	State Owned Enterprises
TOD	Transit-oriented development
UEA	Urban expansion area
UK	United Kingdom
UN	United Nations
URA	Urban renewal area
WP	Work Package

EXECUTIVE SUMMARY

In Europe and China, there are interesting initiatives to make cities more socially integrative in order to foster sustainable development. This is true for both, urban expansion and urban renewal. On the one hand, urban expansion has recently been an issue of importance only in major cities in Europe, whereas it has been a paramount topic in China where cities have grown over the past decades with unprecedented speed. On the other hand, urban renewal has been a field of major concern in European cities since a long time, while, in China, it has become increasingly important rather late, i.e. in the context of China's move to upgrade older neighbourhoods, to preserve historic monuments, as well as to modernise the infrastructure, the environment and the living conditions of the population. In both cases, urban expansion and urban renewal, land management has been a key factor of urban development. For example, in China's fast transition to a more urbanised society with increasingly intensified land use and higher quality of life it has become necessary to adapt urban development and land management instruments to new conditions, balancing differing interests of the government and the market. On this background, this report presents and discusses land management instruments which have the potential to promote the socially integrative city in Europe and China, while cities grow, renovate and innovate. It discusses land management instruments and their application in Europe and China, and it looks at the potentials of these instruments to promote social integration in both parts of the world. The land management instruments have been derived from good practice examples in Europe and China.

Results show that in Europe, land management doesn't play a crucial role in regeneration of existing residential, mixed or former industrial/commercial neighbourhoods. Regeneration processes are comprehensive governance approaches, where single formal and informal measures are embedded in complex urban development processes, making use of manifold policy, planning and land management instruments, generally incorporating participatory elements. These processes and projects are more and more understood as strategic planning approaches. They are integrated, flexible and adaptive, and they are elaborated with the participation of many stakeholders. Land management plays a supportive and enabling role but is not the initial or determining approach. It is rather used to implement the integrated objectives, when physical structures and land use are affected. A continuous challenge is the dealing with the long-term maintenance costs both for new public facilities as well as for any "soft" measures for capacity building, education etc. since land management measures and the related funding schemes cover regularly only the financial efforts of land use change, but not the continuous costs of running public green spaces, for instance. Urban renewal in China has been well aligned with its modernisation pursuit and sustainable urban development requirements. Different phases thus have a specific focus with distinctive evolution characteristics, from worker's community regeneration to heritage-based redevelopment, to eco-environment-oriented rehabilitation and improvement, to recently community remaking and governance. In this regard urban land use plans and urban master plans have always played the leading role in pursuit of upgrading and improvement efforts, in which land administration (functional division of urban land use) and management (quota distribution) as well as a series of related instruments (land banking, participatory awareness raising, differential land price and variation Floor Area Ratio design, etc.) have always been the core part in planning and implementation. Furthermore, relocation processes were and are crucial elements of renewal activities, currently being complemented to a certain extent by cooperative and participatory elements, to make them more inclusive (e. g. public private partnership approaches).

Effective urban expansion area (UEA) delivery in Europe often involves consolidating multiple land ownership to ensure subsequent coordinated development. In all the European analysed good practices the local authority played a key role in assembling land either by acquiring or historically owning the land. Public control on ownership is a common process in Europe and produces clarity and confidence in the market by ensuring development takes place within the expected time and quality. European local authorities also played a key role on encouraging and regulating a range of housing developers to ensure variety and innovation in design. Thus, it is possible for European local authorities to set standards (design codes, water and energy schemes, social housing, and public participation) for new developers to provide right locations and to enable an important number of builders to work simultaneously. These standards constitute a crucial step for the promotion of socially integrative cities. Planning the necessary physical and social infrastructure and delivering them as an integral part of the overall development programme are vital elements of the success of UEAs. In all cases, physical and social infrastructures were jointly planned and implemented showing a continuous dialogue between the city and the developers. But delivering European UEAs that promote social integration also take time and need to be planned according to the interests of future generations. This process demands long-term commitment rather than short-term conventional speculative development. In China, spatial proximity is a basic factor affecting social integration in UEAs. The success stories are mainly located on the edge of the city's central rings. If a new community is far away from the central areas of the city, there are difficulties to share municipal facilities and public services with central areas. At the same time, the cost of negotiation among stakeholders will also rise, while communication opportunities will decrease. The mixed residence of social groups with adjacent income stratification also contributes to social integration. In fact, the Chinese government has proposed in its low-rent housing and affordable housing policies that such housing should be arranged in ordinary commercial housing communities. Carefully arranged public space and mixed land use are another two important tools for urban planning to promote social integration in China. Such spaces should have a pleasant scale, good environmental quality, be open to all and arranged in a location easily accessible for most residents. But social integration is not simply about placing communities of adjacent classes together. More importantly, in the Chinese context, it is about fostering diverse employment opportunities suitable for different groups.

Although, a direct transfer of instruments between Europe and China in the sense of applicability and acceptance is neither appropriate nor targeted, the reflection of different approaches is an added value for research and practice. Many instruments can be used for both, urban expansion and urban renewal. Indeed, the use of the respective instrument depends less on the goal and function of land conversion than on conditions of space, population development, housing supply and ownership. Therefore, specific views on individual cases are crucial in order to identify suitable instruments.

Summarizing, main recommendations concerning land management and planning instruments can be formulated regarding issues of coordination and collaboration, participation and activation, and financing mechanisms.

Keywords

land use planning, land administration systems, land use rights, urban regeneration, urban extension, China, Europe

1 INTRODUCTION

1.1 BACKGROUND AND OBJECTIVE

In the context of TRANS-URBAN-EU-CHINA, the socially integrative city has been defined in a rather comprehensive way. Socially integrative cities are understood “... as socially mixed, cohesive, liveable and vibrant communities. Compactness, functional mix, and intra-urban connectivity play an important role. Environmental quality, the quality of public spaces and quality of life contribute to the well-being of the population. Strengthening a sense of community and fostering a sense of place as well as preserving cultural heritage shape the city’s in- and outward-bound image. Investments into neighbourhood improvement, service delivery, infrastructure and the quality of housing are important supportive measures. Empowerment and participation as well as social capital are indispensable” (TRANS-URBAN-EU-CHINA 2019b, 7). More specifically, 12 characteristics were identified, clustered in 5 groups: collaborative urban planning and design; favourable urban environment and living conditions; vibrant local economy, production chains and labour market; integrated socio-cultural development and social capital promotion as well as innovative institutional development and solid urban finance.

In Europe and China, there are interesting initiatives to make cities more socially integrative in order to foster sustainable development. This is true for both, urban expansion and urban renewal. On the one hand, planned urban expansion has recently been an issue of importance in few European cities with high demand for housing and needs for new urban areas, whereas it has been a paramount topic in China where cities have grown over the past decades with unprecedented speed and where urban expansion has been an important source of income for city governments. On the other hand, urban renewal has been a field of major concern in European cities since a long time, while, in China, it has become increasingly important rather late, i.e. in the context of China’s move to upgrade older neighbourhoods, to preserve historic monuments, as well as to modernise the infrastructure, the environment and the living conditions of the population. Like in Europe, urban renewal has had different expressions in China, i.e., from the total renovation of rather large parts of cities combined with mechanisms to compensate and relocate the former population to urban ‘dentistry’ or ‘acupuncture’ (Lerner 2014) with minimal, however, well defined interventions into the urban fabric.

In both cases, urban expansion and urban renewal, land management has been a key factor of urban development. For example, in China’s fast transition to a more urbanised society, with increasingly intensified land use and higher quality of life, it has become necessary to adapt urban development and land management instruments to new conditions, balancing differing interests of the government and the market. In contrast, respective land management instruments had a long time to mature in Europe. Nevertheless, some rather obvious differences between Europe and China exist. For example, whereas in China gentrification is often seen as a positive strategic element for urban renewal, in Europe it is seen as a negative social by-product of rising housing prices and values of real estate properties in the context of urban renewal which one tries to minimise (Fengbao et al. 2019).

On this background, this report presents and discusses land management instruments which have the potential to promote the socially integrative city in Europe and China, while cities grow, renovate and innovate. It discusses land management instruments and their application in Europe and China, and it looks at the question to what extent and how land management is conducive to promote social integration in both parts of the world. In achieving this objective, land management instruments are identified and characterised with regard to their potentials and limits to support single aspects of a

socially integrative urban expansion and renewal. Of course, different perspectives in Europe and China on urban development strategies and the application of land management instruments, such as mentioned above, are discussed.

The land management instruments have been derived from good practice examples in Europe and China. Additionally, in workshops in the the Urban Living Labs, strenghts, limits, and application potentials of single approaches have been discussed. Based on this, general recommendations both for Europe and China have been derived.

The following report contains six chapters. Land management issues of urban renewal and urban expansion in Europe and China are shortly outlined in this introduction (Chapter 1). After the description of the methodological approach of this study (Chapter 2), an overview of relevant land management instruments in Europe and China is presented and the role of selected land management instruments for promoting socially integrative cities is discussed (Chapter 0). In the following part a number of instructive good practice examples from European and Chinese cities and derived reflections are presented (Chapter 4). Results of discussions with stakeholders and recommendations to use and adapt land use planning and land management tools and approaches are presented (Chapter 5). Finally, conclusions are drawn and draft recommendations are formulated (Chapter 6).

1.2 LAND MANAGEMENT IN URBAN RENEWAL AREAS IN EUROPE AND CHINA

Land management in **Europe** has changed from top-down to bottom-up approaches and thus the use of land management instruments has changed. Whereas in the past mainly sovereign instruments were used, nowadays rather contractual negotiations for the development of land are applied. This is also related to the urban development phases in Europe, which had different priorities and focus (Trans-Urban-EU-China 2019a): After the Second World War, development was oriented towards construction and growth. In the 1970s the focus shifted to renewal and refurbishment of existing buildings. In the 1980s, ecological components became crucial. Over the years the understanding of governance has changed and there has been a shift towards active participation in combination with sustainability aspects in land development (Savitch and Kantor 2002; Swyngeduw et al. 2002).

Recent European urban renewal, or like it is often called urban regeneration, is mainly addressing the regeneration of existing residential, mixed or former industrial/commercial neighbourhoods. Acknowledging the existing potentials, which means both the built structures (not only heritage) and the community capacities, the approaches follow mainly the ideas of “gentle renewal”, taking up the existing values, historical origins and physical resources to implement a sustainable and integrated urban renewal (Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 28).

Land management issues are particularly addressed in more substantial regeneration projects, dealing with establishing new functions on abandoned industrial, commercial, infrastructure or military sites (e.g. Aboelnaga 2019; Preuß and Ferber 2006). In existing residential areas land management plays a minor role, as land use change issues are rarely addressed. Here, the focus of physical measures is on retrofitting existing built structures, improving the public spaces and services and strengthening local economies. Nevertheless, single land management approaches and instruments are applied to facilitate private and public interests and requirements. By this, also issues of socially integrative urban renewal can be addressed.

Urban regeneration in Europe is a balanced process, steered by policies, funding programmes, laws and civil society. Land management approaches are part of this governance structure for urban development, both addressed by financial support and legal regulations (TRANS-URBAN-EU-CHINA 2019a).

Following the main linkages between urban renewal and land management issues in Europe are described:

- There is a secondary relevance of land management in European regeneration projects in deprived neighbourhoods. Land management issues are more relevant in infill projects and brownfield development (e. g. abandoned industrial or commercial areas).
- The steering instruments often are related to ownership rights in terms of reaching urban development objectives: By purchase price checks only certain or limited purchase prices are permitted. By change locks owners are limited in their decisions how to develop their land. Through capturing land value increase by the municipality, the owner is not allowed to retain the expected increase in land values. By partial transferring these benefits, the municipality is enabled to implement infrastructure measures, for example.
- Powerful land management instruments are existing, for instance: Land management is applied in terms of land use change, e.g. privately or publicly owned built sites are used as long-term public green spaces or for social infrastructure facilities. Land reallocation can be done to rearrange mixed uses. Pre-emption rights are often possible. Expropriations can be applied if there are strong public interests.
- Because of short public budgets and unsecure long-term maintenance, there are increasing problems of long-term financing of newly developed public green spaces or social facilities. Some countries provide subsidies from state level as compensation, which means an added value in comparison to common urban development.
- The benefits of (public) renewal measures (road retrofitting, new green spaces etc.) often mean profits for private estate owners in terms of higher prices or rents for flats. This justifies the capturing of land value increase.
- To cope with the phenomenon of segregation/gentrification following rising values, there are several approaches to stipulate rental price control by municipalities.
- The added value of urban renewal in connection with land management is: to provide initial impact on private investment, to activate reserves for use, to improve the location and structure of the urban renewal area, to reduce the waiting time until (changed/new) building use or other use, to improve the development status, and to improve the shape and condition of the land.

Urban renewal in China has ever been undergoing with diverse focus in different urbanisation stages. Roughly, four stages or phases can be identified for urban renewal in the past 70 years since People's Republic of China has been established in 1949 (Liu and Zhu 2019):

In the first phase (1949-1977), the priority of urban development was to transfer the consumption city into a productive city. More effort was put into urban expansion through the establishment of new industrial zones or areas in each city. For the old urban area, the policy focus was to utilise the existing urban infrastructure and housing at maximised possibility, while improving the rundown facilities in a progressive way through repair and maintenance. Urban renewal at that time took place occasionally

with small scale and scope. All the commitments were totally led and implemented by government and large scale SOEs (State Owned Enterprise). Urban land in this phase was also completely transferred by authorities without any cost for the utilisation.

In the second phase (1978-1989), along with continuing economic development in urban areas, the focus was on building new housing for accommodating the ever-increasing number of urban residents. This included also the up to 20 million previously dispatched young educated students returning from rural areas into cities and led to an expanding urban infrastructure and utilities for compensating the shortage of public facilities in cities. Various urban renewal and redevelopment practices were explored in several cities in China, notably the Shanghai, Shenyang, Beijing, Nanjing, Hefei, and Suzhou models. The well-known urban renewal project “*Juer Hutong*”, carried out in Beijing by Qinghua University and led by Professor WU Liangyong set a good example for this phase when an organic redevelopment approach was advocated by the team instead of following the prevailing model of „demolish and replace”. Urban renewal in this phase occurred in most large cities in China but mainly took place in the old inner-city areas in a small scale. Nearly all the projects were led and promoted by government or large SOEs. Urban land in this phase was transferred by paying a certain price. New theories and practices began to be explored and applied, including how to retain the original residents after renewal.

In the third phase (1990-2011), urban renewal entered into a new stage when the government-led approach was gradually given way to market driven practices. Urban land began to be acquired and transferred through a bidding or auction process at market prices. Various pilot and experimental practices were explored and tried in this phase. Particularly after the introduction and implementation of the tax division system between central government and local government, urban land became the most precious and effective off-budget source for the city governments. For capturing the maximum benefit of land-based urban financing, nearly all the cities in China were enthusiastic to sell land to investors or developers through both urban expansion (mainly via establishing various kinds of development zones) and urban renewal (mainly via relocation of industrial complexes and rundown residential blocks in downtown areas). In terms of urban renewal, large-scale demolition and redevelopment was popular and prevailing in a gentrification manner. Most original residents were relocated in this process, what could be far away from their old residential area. High bidding prices for the land resulted in high prices of housing and triggered various urban social problems including a huge disparity within the urban space and reduced quality of live, especially for the vulnerable ones. Meanwhile, many good practices were also introduced and applied, particularly in transferring old industrial factories into new functional areas. Examples are Beijing, Shanghai, Guangzhou, Foshan, Shenzhen, Hangzhou, Nanjing, and Changzhou, where many old factories were successfully redeveloped as cultural creativity districts such as 798 in Beijing or Tianzifang in Shanghai. Other renewal efforts were related to big event sites, such as the World Expo in Shanghai, to high-end residential areas such as Wuhan Tiandi, or to high-profiled affordable housing areas, such as Dachong urban village in Shenzhen. Many theories on urban renewal based on Chinese practices were summarised and published in this period (Fang 2000; Chen and Wu 1999; Wu 21994). In 1996, the Urban Renewal and Urban Redevelopment Commission under the China Urban Planning Association was officially established, a strong signal that urban renewal became the new research focus in the Chinese urbanisation process.

The fourth phase (ongoing since 2012) in urban renewal and urban redevelopment in China stepped into a new stage, paying attention to human-centred and high-quality urbanisation as well as to eco-

environment-friendly, socially inclusive urban development. The potential of existing urban assets developed through compact, mixed land use, and incremental new urbanism approaches, is gradually becoming the main task for city governments and urban stakeholders. Urban renewal is focusing more on the improvement of urban quality of life and competitive vitality under the framework of eco-civilisation and innovative urban governance. The creation of more attractive public spaces and the improvement of the city landscape through linear green corridors along rivers or green spaces provide the city with new physical attractions. Participatory planning and multiple alternatives of relocation enhance cities' social inclusiveness. Beijing, Shanghai, Guangzhou, Nanjing, Hangzhou, Shenzhen, Wuhan, Qingdao, Sanya, Haikou, and Xiamen all made their own contribution in this regard, provided many good practices, and enriched the typologies of urban renewal in China. In parallel, many legal and institutional reforms on urban redevelopment came into effect. A series of innovative policies and regulations were issued on urban renewal, such as "Regulations on Economical and Intensive Land Use" or "Guidelines on Further Promoting Redevelopment of the Low-Efficient Urban Land". By bottom up processes and participatory budgeting residents were encouraged for building more harmonised and sustainable communities with support of smart technology.

1.3 LAND MANAGEMENT IN URBAN EXPANSION AREAS IN EUROPE AND CHINA

Urban land expansion – the process of creating the built environment to house urban populations and their activities – is one of the fundamental aspects of urbanisation (Barthel et al. 2016). In Europe, since the mid-1950s, dense, multifunctional and compact cities have physically expanded on a higher rate than population growth through the implementation of projects based on government decisions to cope with housing shortages (new towns, large housing states). Since the 1980s, urban expansion is considered as a main threat to European sustainable territorial development; public services are more costly and difficult to provide, natural resources are overexploited, and public transport networks are increasingly insufficient because of car reliance in and around cities (European Environmental Agency 2016). Although controlling urban expansion has become a major policy consideration in Europe, the issues and challenges of urban expansion and its management vary a lot among countries and regions (Fertner et al. 2016).

Cities in countries like the United Kingdom, Germany, Sweden, France, Ireland, and the Netherlands are responding faster and more creatively than other European countries to the challenges of urban expansion and new housing needs (aging population and more people living alone) by introducing new urban designs and environmental standards and promoting public transportation (Falk 2015; Hall 2014; Hicks and Kuhndt 2013; TCPA 2007; UN-Habitat 2015; URBED 2008a).

In China, land plays a crucial role in the policy agenda as an instrument to achieve social, economic and environmental development goals. On the one hand the central government has adopted one of the most restricted law on farmland protection in the world for ensuring food security¹. On the other hand, to speed up local economic development and accommodate the large inflow of migrants from rural areas, municipal governments have to mobilise more land resources. This issue became very important after 1992 when a tax system division between national and local governments was introduced and land became the most important off-budget source of local governments. Consequently,

¹ In 2007, at the 17th Congress of the CCP, it was announced China's red line: China's total arable land shall be no less than 1.8 billion mu (120 million hectares).

each Chinese local government showed high enthusiasm to obtain more land through urban expansion by having more development zones, and/or new towns/communities in the urban fringe (Table 3). Driven by the cheaper rural land, urban expansion has been further stimulated both in pace and scope, resulting in a rapid but extensive process with low quality in terms of urban construction and social inclusiveness (Wei 2019). Urban built-areas have increased sevenfold in China, from 7,438 km² in 1981 to 52,201 km² in 2015 (National Bureau of Statistics PRC 2016).

The low-quality urbanisation poses enormous challenges especially as it proceeds quickly while policy structures, planning and fiscal mechanisms adjust slowly. Due to the path dependency effect and the historical legacy, the current land legislation is still divided into two parts: urban and rural. Current institutional mechanisms, including household registration, land management, social security and fiscal, financial and administrative systems are currently in transition. Although land imbalances remain distinctly as a big barrier hindering the integrated development of rural and urban areas, the latest land administration law issued in early 2020² is trying to assign equal rights to the rural land transfer considering similar market prices as urban land.

² <http://www.dextrainternational.com/chinas-new-land-administration-law-to-take-effect-in-2020/> (retrieved May 25, 2020)

2 METHODOLOGICAL APPROACH

The **overall methodological approach** in WP 3 involved the following stages:

Knowledge base on steering instruments: Based on a literature review and expert knowledge of the researchers involved in WP 3 a general overview about European and Chinese steering instruments of land management was elaborated. Based on this and reflecting the findings from the case studies (see below), instruments, which particularly have the potential to contribute to socially integrative urban renewal and urban expansion have been identified and described (see section 2.1).

Getting transformative knowledge from good practice examples and Urban Living Labs: Based on a literature review of good practices on socially integrative urban development projects, cases on urban renewal and expansion were chosen both in Europe and China. In general, the selection considered framework, typology and scale issues (see section 2.2, 2.3). The focus of the case analysis was on land management instruments and urban planning approaches that have contributed to the promotion of single characteristics of the socially integrative city (D6.6, TRANS-URBAN-EU-CHINA 2019b). In this report, good practice examples for the application of land management instruments in urban renewal and expansion are described.

To assess single land management instruments in terms of opportunities, acceptance and applicability, different activities had been planned to be conducted in two Urban Living Labs. Initially, interviews with stakeholders, being involved in urban renewal and expansion processes, were conducted (November 2019) to gain knowledge about the main challenges, experiences and ideas of urban development. Based on this, online workshops have been organised to derive recommendations in terms of the acceptance and feasibility of the identified socially integrative land management instruments (see section 2.4).

2.1 IDENTIFICATION OF LAND MANAGEMENT INSTRUMENTS FOR SOCIALLY INTEGRATIVE URBAN DEVELOPMENT

To identify land management instruments supporting socially integrative urban development, different methods for Europe and China were used in order to address the individual framework appropriately. In contrast to China with a uniform national framework, the individual European countries have different national frameworks.

As part of a literature review, the first step was to identify the research principle and to decide between sensitive or precise search. Here, the sensitive research principle³ (Boeker 2014) was chosen. The next two steps include the selection of online data platforms (e. g. web of science, ResearchGate) and the identification of keywords. Keywords were derived based on initial literature research and previous knowledge. The keywords were used to filter scientific articles on steering instruments in urban development. Furthermore, they enabled the revision of whether publications on the topic are available on the platforms. At the end of the literature research, the keywords were used to check for

³ A sensitive search provides a larger number of search results and a more comprehensive overview. However, in this procedure, the amount of irrelevant literature is higher, and more time has to be spent on filtering and screening the relevant publications. The sensitive method is not restricted to relevant publications and is therefore not "precise", but the probability is higher that it is "complete" (Nordhausen and Hirt 2018).

the review and evaluation of relevant publications. Open access online platforms with scientific articles (secondary literature) were preferred. The identification of keywords included the following terms: Europe, land policy and steering instruments such as planning, fiscal, legal and land banking instruments as well as urban development in urban expansion and urban renewal areas.

The literature review was carried out by entering the search terms on the platforms. Finally, the literature was selected. The selection was based on the relevance and scientific quality of the secondary literature. The search results, which were often based in part on individual case studies, were simplified and summarised as a European perspective.

Against this background, a systematisation of the instruments was elaborated. It consists of categories, types, examples and descriptions (see appendix 8.3). The categories result from expert knowledge of the researchers in WP 3. The types can be understood as a generic term for the examples. The individual steering instruments (examples) are assigned to the categories and types. An overview of the systematisation is provided in section 3.1, Table 4).

In general, land management instruments in China are rather identical for all cities. They can be identified mainly based on the latest Land Administration Law, that was newly updated from an older version issued in 2004 (it was first enacted in 1987) to the 2020 edition, although each city might have slightly different practices related to the implementation in accordance with their local settings⁴ (section 3.2). Following the principles in the law, good practices for specific instruments in Chinese cities in terms of urban renewal and urban expansion were explored in case studies, also. This was done through a comprehensive and integrated way: firstly, the land administration laws in various versions provided the basic framework of land management instruments in China, which were applied over the past 30 years after land was gradually marketised; secondly, various key academic articles, literature and document reports were reviewed for an in-depth understanding of the key instruments; thirdly, case studies for good practices in land management were selected and reviewed according to their recognition in science and practice (mostly represented by being pilot projects). Based on all these reviews and the on-field research experiences from CAS team members, the key instruments were identified and are presented in this report.

This systematic overview of land management instruments provided the framework for the reflection of the potentials and limits of individual instruments to support the 12 characteristics⁵ of socially integrative urban development (TRANS-URBAN-EU-CHINA 2019b). Focus is given to their possibilities and limits for steering social, economic as well as ecological aspects in urban development – socially integrative urban development is one aspect among a lot of other urban requirements the municipality has to address. Based on descriptions in literature, the most appropriate instruments were identified. Additionally, the findings derived in the case studies were reflected by discussing the individual planning approaches within the team of WP 3, relevant land management instruments were identified and assigned to the systematisation, as some instruments are not explicitly named in the case studies. In section 3.3 the land management instruments, identified to steer urban renewal and expansion in

⁴ Law of the People's Republic of China on Land Administration, updated in August 26, 2019 and enacted on January 1st, 2020. <https://baike.baidu.com/item/中华人民共和国土地管理法/61839>.

⁵ The 12 characteristics can be found in the annex, see Table 12 (left column).

a socially integrative manner are described in detail, including a summary of their individual contributions to the socially integrative city.

2.2 CASE STUDIES ON SOCIALLY INTEGRATIVE URBAN RENEWAL PROJECTS IN EUROPE AND CHINA

Urban Renewal takes place in different settlement types within urban areas. These types are formed by physical/structural and functional characteristics.

EU ⁽¹⁾	China ⁽²⁾
City centres	Heritage-rich urban cores/nodes
Deprived (historical) neighbourhoods/ urban (mono-functional) areas in decline	run-down urban areas
(industrial) brownfields/wastelands (e.g. harbours, old industrial land, abandoned railway infrastructure)	dilapidated (state-owned) factory sites
	urban villages ⁶
Abandoned military sites in urban areas (barracks and infrastructure)	

Table 1: Typical settlement types of urban renewal areas in EU and China (after: (1) URBACT 2014, (2) ZHOU 2014).

The selection of case studies in order to describe and analyse good practice examples for socially integrative urban renewal reflects these different settlement types and their relevance for urban renewal within the European and Chinese context:

2.2.1 Selection of European urban renewal cases

In the EU, urban renewal in a narrow sense is embedded in a comprehensive understanding of urban regeneration that aims at deprived neighbourhoods, including rehabilitation and conservation of buildings, but also addressing social, economic and environmental needs, which was defined in the Leipzig Charter on Sustainable European Cities from 2007 (see TRANS-URBAN-EU-CHINA 2019a). Single national states have different traditions and experiences in regeneration activities. Additionally, manifold examples and projects have been and are currently carried out in European countries. Traditionally, urban regeneration is strongly based on national programmes (providing targeted funding schemes and subsidies; and are accompanied by laws and regulations), which are following overall urban policies of the single countries, but also the European Union (see TRANS-URBAN-EU-CHINA 2019a).

In order to find the most innovative and successful policy framework, different national approaches for regeneration of deprived neighbourhoods have been analysed in a first step (see TRANS-URBAN-EU-CHINA 2019a). Three countries were selected (Germany, Denmark, UK), which all have a long and

⁶ Urban Village: “transitional neighbourhood located in the urban areas and characterized by a mixture of rural and urban society, and the state-owned and collective land ownerships” (Zhou 2014).

rich tradition in urban renewal and are well known for successful urban regeneration approaches (Couch et al. 2011; EUKN 2011; Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007).

Regeneration in Europe covers different settlement types and urban development challenges (Table 1). Typically, neighbourhoods built around 1900 and neighbourhoods constructed between 1960 and 1980 are facing a variety of physical but also socio-economic challenges. To gain knowledge of planning approaches tackling these challenges and therefore contributing to socially integrative urban renewal, existing neighbourhoods from different historic periods facing several aspects of deprivation and decline were chosen for each country in a second step. They have been regenerated under the respective national framework, provide a wide variety of planning approaches as well as evidence of being socially integrative and have been scientifically evaluated⁷ (Table 2).

European Case Study	National Framework	Settlement Type
Dresden (Germany): <i>Löbtau</i>	German National Framework of “urban development assistance programmes for sustainable urban development structures”	historical neighbourhood, mixed functions (1870-1930)
Copenhagen (Denmark): <i>Avedøre Stationsby</i> <i>Kongens Enghave</i> <i>Nord Vest</i>	Kvarterløft (Danish programme for Integrated Urban Regeneration)	historical neighbourhood (1870-1930); large mono-functional area (1960-1980)
London (UK): <i>Hackney: Shoreditch Trust</i> <i>Lewisham: New Cross Gate</i> Hartlepool (UK): <i>West Central Hartlepool (UK)</i>	New Deal for Communities (NDC) programme	historical neighbourhood (1870-1930); large mono-functional area (1960-1980)

Table 2: European case studies for urban renewal

(Own compilation)

2.2.2 Selection of Chinese urban renewal cases

The case selection for Chinese urban renewal is based on five different types of regeneration efforts conducted in the past 40 years: 1) Old industrial based redevelopment 2) Rehabilitation for regional landscape improvement 3) Heritage-based redevelopment 4) Urban village improvement 5) Retrofit-

⁷ Germany: Project LUDA (“Improving the quality of life in large urban distressed areas”, EU 5. Framework programme), LUDA 2006; Denmark: Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007; The Ministry of Refugees, Immigration and Integration Affairs (Denmark) 2007; UK: Dargan 2009; Lawless et al. 2010; New Cross Gate NDC 2005; New Cross Gate New Deal for Communities 2001; New Cross Gate New Deal for Communities 2004; Sheffield Hallam University 2005a; Sheffield Hallam University 2005b; Sheffield Hallam University 2010; Tallon 2013.

ting for enhancing accessibility and connection. Although these are the major spatial models in Chinese urban renewal, these types can overlap and become more comprehensive, which makes it challenging to clearly identify the type in some cases.

Old industrial based redevelopment

There were large bulks of industrial bases in urban China due to the shift from “transfer consumption city into production city” under the high aspiration of industrialisation in the planning socialism time. After the reform of the SOEs (including urban collective-owned enterprises) in the late 1980s and early 1990s many brownfields occurred in inner city areas which provided high potential for redevelopment. The brownfield issue even intensified since each SOE occupied much larger land area than it really needed caused by almost no costs for land. Therefore, brownfields nowadays cover a high proportion of urban area and provide space for redevelopment when SOEs are convinced to relocate to peri-urban areas, where designated economic development zones are usually located, causing urban expansion when the zones are too big to be filled up. The brownfield redevelopment normally was initiated by municipal government by its five-year plan and the following urban master plan. To stimulate and speed up the relocation of SOEs, a certain ratio of land in the industrial base in downtown area will be kept by the SOEs as their residential blocks for workers and new employees. This type of urban renewal was basically smooth and successful given the fact that there emerged almost no conflicts between SOEs and local government regarding land ownership. Both the city and the SOEs benefitted from the redevelopment. For the former users the revenue increased due to selling the land to enterprises for developing more high-profiled business/commercial areas or moderate quality residential areas. A functional change into a cultural creative zone could also happen, such as the 798 art gallery in Beijing. The SOEs usually enlarged their production base in peri-urban areas and updated their technology during the relocation. Good examples for this type of redevelopment can be found in Beijing, Shanghai, Guangzhou and Shenyang.

Rehabilitation for regional landscape improvement

Most cities in the world were born and developed nearby water bodies, including creeks, rivers, lakes or ports. This also applies for Chinese cities and therefore, along with large scale brownfield redevelopment, rehabilitation for regional landscape improvement is another effective model/type for urban renewal and regeneration. The generally promoted urbanisation approach of eco-civilisation becomes popular and is welcomed by urban stakeholders for urban redevelopment in China in recent years.

This type of practice was widely applied by many cities in China in the 1990s to the 2000s. Notable cases include the Fu’nan river rehabilitation project in Chengdu⁸ started in 1992, where the landscape along the riverbanks, the river environment, and the water quality were greatly improved. As the riverfront area was turned into a preferred destination for urban residents, the land value along the two banks of the river increased, and many high-end residential communities were developed progressively. The project was awarded a World Habitat Prize by UN-Habitat in 1998. The same story

⁸ Sichuan Daily, 2018 12. 2. The sustainable benefit of Fu’nan River Rehabilitation Project—Let green be the most precious assets <https://news.sina.com.cn/c/2018-12-02/doc-ihmutuec5479630.shtml> (府南河综合整治工程的持续效益——让绿色成为最优质资产)

occurred in Shanghai's Suzhou Creek rehabilitation project. By improving the environment and landscape along the riverbanks, this old rundown urban area regained its vitality and became one of the most liveable zones in Shanghai. In addition, many industrial brownfields were and are being developed into cultural creativity parks along the Suzhou Creek. Tianjin (along Hai River) and Wuhan (along Yangtze River) followed similar approaches along their rivers in former concession areas. This type of redevelopment is usually conducted in a large scale and through a top-down process, while the associated projects, such as cultural creative parks based on the functional change of old factories, could be a bottom-up and fully participatory approach.

Heritage-based redevelopment

Heritage based redevelopment formed a new type of urban renewal in China relatively late. The great success of the Shanghai Xintiandi neighbourhood, which was a heritage-based redevelopment project in downtown Shanghai, initiated and developed by Shui On Land (a Hong Kong based real estate company) in the late 1990s, made people in China recognise the importance of their own urban heritage assets for upgrading the urban living environment as a basis for attracting talents and investment as well as for transforming the urban spatial form and image⁹. The successful government-led urban renewal project in Juer Hutong (Alley) in Beijing¹⁰, planned and designed by Qinghua University under supervision of Professor WU Liangyong in the late 1990s, demonstrated again the importance of heritage assets in urban renewal. A lot of Chinese cities began to follow those examples and carried out various heritage-based redevelopment projects in the following years – e.g. within the Wuhan Tiandi community (see annex, Table 10), Kuanzhai (wide and narrow) Alley Entertainment Project, based on the old community setting and heritage buildings from Qing dynasty in Chengdu, and the Three Neighbourhoods and Seven Street Renewal Project, based on heritage community from Ming and Qing dynasty¹¹.

Urban village redevelopment

The fast urban expansion in China left many urban villages in cities, both providing advantages and disadvantages for urban development. They can provide cities with relatively cheap housing and socially inclusive communities given that most migrants usually will stay here until they can afford a better place to reside. But at the same time, these communities lack environmental quality and adequate public services. The land within urban villages is also collective-owned and usually it will take more effort to redevelop the area. Another feature is the high density in urban villages caused by adding additional storeys by locals in their own house in order to extend the floor area used to rent to migrants. Latter causes usually very high relocation costs. Therefore, urban village redevelopment can only be feasible in large cities where the commercial redevelopment is profitable enough. Otherwise land use requirements can be manipulated and managed, including FAR (Floor Area Ratio) and building height limitation. The compensation scheme for local residents can also be a big obstacle for the redevelopment in urban villages. However, through awareness raising in advance and effective Public-

⁹ Chen Peilin's Real Estate Research Studio, Redevelopment Best Practice Analysis: Shanghai Xintiandi Project, https://www.sohu.com/a/217675142_689064

¹⁰ Landscape Mini-comments, 2017.08.09, Analysis on the best practice of Beijing Ju'er Hutong redevelopment project, https://www.sohu.com/a/163503038_763435

¹¹ Zeng Xiaofei, 2012, Short discussion on the Redevelopment of Kuanzhai Alley Entertainment Project in Chengdu, China Extension Education (high), No.5, 2012.

Private-Partnership participation, as well as many other innovative measures, urban village redevelopment made substantial progresses in China in the recent years, particularly in first and second-tier cities, such as Beijing, Shanghai, Guangzhou, Shenzhen, Hangzhou and Chengdu. In this regard, many good practice cases can be identified, of which Dachong urban village redevelopment in Shenzhen is a good example (see annex, Table 11).

Retrofitting of the aging infrastructure

The intended compact, mixed use and transit-oriented high-density type of community building requires high accessibility and connectivity – particularly in urban core areas where the capacity of existing infrastructure often reaches its limit. To maintain and improve the competitiveness of those areas, Chinese cities began a new type of urban renewal programme in recent years in order to generally enhance the urban core amenities by retrofitting the ageing infrastructure in these areas (e. g. improve the accessibility and connectivity in the nodes/hubs, including Central Business Districts and other key sub-centres). Examples can be found in the Lujiazui financial area in Pudong, Shanghai, where many elevated overpasses were added to the existing infrastructure to link various office buildings or at Wangfujing in Beijing, where a street was zoned for different modes of transport and equipped with the respective facilities. By so doing, these nodes and the surrounding area regain their vitality and attractiveness both for working staff, residents, and tourists.

Representative Cases

Based on study team's former research projects and literature review, three representative cases were chosen, according to the criteria of 1) their persistent success in operation; 2) their representativeness as a typology in renewal; and 3) the availability and accessibility of information and material. The three cases are respectively *Beijing 798 Artdist* for its old industrial base redevelopment (brown-field regeneration) through functional repositioning by modern arts via a bottom-up process; *Wuhan Tiandi community* for its redevelopment based on a heritage area and *Shenzhen Dachong urban village* for its redevelopment through a Public-Private-Partnership process for realising a more socially inclusive community (for detailed case descriptions see Table 9, Table 10, Table 11 in annex).

2.2.3 Case analysis

The selected cases have been described based on literature. Following the analytical framework, which has been developed in D3.1 (TRANS-URBAN-EU-CHINA 2019a), the cases are analysed regarding (see Table 6 to Table 11):

- General Information (renewal/settlement type, period of regeneration, inhabitants, size, public funding if possible)
- Drivers (economic, social, physical and environmental challenges; objectives; policy framework and further activities)
- Public steering approaches (land use planning and land management, financing)
- Stakeholders
- Evaluation of aspects of socially integrative urban renewal

Based on this comprehensive analysis, instruments of land management and (land use) planning approaches have been identified and discussed within the WP 3 team. All instruments contributing to the characteristics of the socially integrative city have been compiled (see Table 12, Table 13). For

detailed descriptions within this report, good practice examples for the application of land management instruments in particular were chosen, which particularly contribute to socially integrative urban renewal (see section 4.1).

2.3 CASE STUDIES ON SOCIALLY INTEGRATIVE URBAN EXPANSION PROJECTS IN EUROPE AND CHINA

In Europe, an urban expansion area (UEA) is defined as a planned spread area within or in the periphery of an urban agglomeration, including the development of a self-contained and governing settlement as well built according to a detailed plan (Table 3). In China, the types of urban expansion are similar to those described for Europe from the location perspective (Gao et al. 2014; Ji et al. 2018; Liu et al. 2018; Liu et al. 2009; Wang et al. 2017; Yue et al. 2013). However, the influencing factors, the socioeconomic mechanisms and the pathways of urban expansion differ greatly. Therefore, a driving force-based classification has been developed to provide a better insight into the complexity and diversity of Chinese UEAs (Table 3, next page).

For selecting European good practices on urban expansion, a literature review was conducted (Table 14, annex). Three projects, considering the following criteria were selected:

- Project implemented within the European Union.
- Project located in urban extensions areas (new districts). The development of new towns in Europe is uncommon and urban infill initiatives might have a different understanding (redevelopment, related to urban renewal) in China (Table 3).
- Project started after the 1990s and is already finalised. Although more recent initiatives on urban extension can be found in European countries, only limited assessment and literature is available, and many projects are still under construction.
- Clear evidence that cases promotes social integration (TRANS-URBAN-EU-CHINA 2019b) (Table 17).

The selected cases for further land management analysis in Europe are: Rieselfeld in Freiburg, Germany; Upton in Northampton, UK and Vathorst in Amersfoort, The Netherlands (Table 15). They are located in some of the so-called “learning regions of Europe” (Hall 2014) including the tri-national region of Baden (Germany) - Basel (Switzerland) and Alsace (France), the East Midlands region in England and the Randstad in The Netherlands. Available literature evidences that European local governments, citizens and community movements are driving notable changes towards a more sustainable way of living in cities.

The selection of good Chinese practices is based on literature analysis (Hu and Wan 2006; Jia et al. 2014; Shu 2012; Zhang 2019) and considered the following selection criteria:

- Project implemented within China.
- Project located in an urban extension area (Table 3).
- Project started after the 2000s (considering the rapid and recent urbanisation process) and is already finalised.
- Clear evidence that the case promotes social integration (TRANS-URBAN-EU-CHINA 2019b) (Table 18).

Selected cases are Leasehold Housing Project on Collective Land, Plot 351, Block 3-3, Wenquan Town, Haidian District in Beijing (e.g. Leasehold Housing Project), North Gongkang in Shanghai, and Rong Hua Shang Lin in Chengdu. Cases aiming at promoting social integration are associated with low-rent housing communities, resettlement communities or mixed residential area (Table 16).

The different spatial planning and land management instruments promoting social integration in UEAs were derived from these six good practices in Europe and China (Table 15, Table 16). In this report only the land management instruments are presented in detail in section 4.2.

Europe (1) (from a morphological perspective)	China (2) (from a driving force perspective)
<u>Urban infill</u> : New development sited on vacant land or undeveloped land within an existing urban area and enclosed by other types of development.	<u>Urban Infill</u> : Transformation of vacant or undeveloped land surrounded by existing built-up areas into urban construction land (redevelopment). Urban infill includes urban village reconstruction.
<u>New towns (or settlements)</u> : Free standing planned settlement, promoted by private and/or public sector interests, on either rural land (transformed to urban) or on new reclaimed land.	
<u>Urban extension (or new districts)</u> : Planned extension of an already existing city or town promoted by private and/or public sector interests, on either rural land (transformed to urban) or on new reclaimed land.	<u>Development zones, new areas or new towns</u> : Policy-oriented urban development relying on preferential procedures implemented by national or local governments. They are normally located on the edge or outside the continuous built-up area of the city. They usually act as pilot areas for testing new policies, new concepts, and new tools. Although similar to the development zones in expansion, new town/communities in China focusing more on residential purpose. For instance, Tiantongyuan and Huilongguan in Beijing contain more than 400,000 residents each.
	<u>Traffic incentive</u> : It is a linear (or banded) urban expansion area that extends in a specific direction as traffic conditions improve. Transport-led urban expansion prevails in large cities.
	<u>Urban functional transfer</u> : Formed by the re-arrangement (or re-location) of different urban functions according to the law of differential land rent in the process of urban social economic transition.
	<u>Administrative division adjustment</u> : Implemented by the local government through "spatial re-allocation of power" to obtain additional construction land and urban development space.

Table 3: Types of urban expansion in Europe and China. Source: (1) adapted from TCPA 2007; Planning portal glossary¹²; Bjorg 2010; (2) developed by the authors.

¹² https://www.planningportal.co.uk/directory_record/565/urban_extension (retrieved January 18, 2019)

2.4 URBAN LIVING LAB ACTIVITIES

To assess the needs, experiences and the application potential of single land use planning and land management instruments, different activities with stakeholders in the Urban Living Labs¹³ within the project were envisaged. Within WP 3, we focused on urban development activities and respective stakeholders in Wuhan.

Based on a stakeholder analysis, several interviews with representatives of relevant institutions took place in the first phase of fieldwork in November 2019:

- Wuhan Political Consultative Committee
- Jiangnan Urban Renewal Committee
- Wuhan Municipal Development and Reform Commission
- East Lake High-Tech Development Zone Administration Committee
- Wuhan Foreign Affairs Office
- Wuhan Nature Resources and Planning Bureau
- Wuhan Land Use and Urban Spatial Planning Research Centre

The objective of these warm-up interviews and talks with a variety of stakeholders was to learn about the stakeholders' perceptions and opinions with regard to current and future development of urban expansion and urban renewal areas and to discuss future challenges and demands, as well as further activities to be conducted in 2020.

Due to the pandemic in 2020, the originally planned workshops and roundtable discussion with stakeholders in Wuhan could not be done. Alternatively, two online workshops were held in October 2020, bringing together European and Chinese experiences, mainly addressing Wuhan stakeholders: "How to make urban expansion socially integrative. Fostering coordination and participation in planning and development" and "How to make urban renewal socially integrative? – experiences and challenges of planning and implementation in China and Europe". Based on research insights, particularly considering the role of collaboration and participation in land use planning and land management, practical experiences from Europe were presented. The cases were later analysed and discussed by Chinese stakeholders. Based on these workshops, further conclusions with regard to the potentials of existing land management instruments and planning approaches to support socially integrative urban renewal and urban expansion as well as needs for further adaptation and implementation have been drawn (see Chapter 5).

¹³ See for further information: D5.3 „Urban Living Labs transformative knowledge“

3 LAND MANAGEMENT INSTRUMENTS IN EUROPE AND CHINA

In this chapter an overview of instruments in land management is provided, including a general description of single instruments, both in the European and Chinese context. This is based on expert knowledge of the researchers involved in WP 3, a literature review and in the Chinese context on the interpretation of laws. The identified instruments were critically assessed regarding their potentials and limits to foster socially integrative urban renewal and urban expansion based on detailed literature research and good practice examples.

3.1 INSTRUMENTS IN EUROPE

Land management instruments are important for guiding settlement structures and steering urban development. The systematic use of land management instruments supports the development, order, and protection of land as a limited resource. Construction activities for housing, commerce or services and the provision of land for technical and social infrastructures can be controlled (Forum Baulandmanagement NRW 2015; Süring and Weitkamp 2020).

Each European country has its own understanding of land administration and therefore land management instruments are used in different ways. A comparison of the European national administration systems shows that there is no homogenous European land administration policy. Nevertheless, common land management instruments of the land administration systems within European countries can be identified.

From a general land management perspective, there are three categories of steering instruments:

- Legal instruments are all those instruments which are regulated by laws and legally binding (Silva and Acheampong 2015, 8).
- Financial instruments are all those instruments that create financial incentives for the mobilisation of land for the developer or user as well as require financial participation by the developer or user (Silva and Acheampong 2015).
- Voluntary instruments are all those instruments which are optional and not legally binding based on laws (Bouwma et al. 2015).

The following general overview can be seen as a "instrument box" for possibilities for land management (Table 4). This systematisation is based on an interim outcome of WP 3, which was published as a concept for this final report (TRANS-URBAN-EU-CHINA 2019c). Definitions of the single instruments are provided in the annex (8.3).

Categories	Types of Instruments	Examples
Legal Instruments	Planning Instruments	Formal plans
	Land Banking	Pre-emptive right
		Public interim purchase
		Public purchase
	Development Instruments	Expropriation
		Reallocation
		Urban contract
Financial Instruments	Financial Incentives	Subsidies
	Financial Involvement	Cost sharing
		Charges/Fees
		Taxes
Voluntary Instruments	Planning Instruments	Informal plans
	Participatory Instruments	Citizen participation
		Public-private partnership
	Negotiation	Private reallocation
		Private transaction
	Land Banking	Private interim purchase

Table 4: Systematisation of land management instruments in Europe, including examples for the instruments

(Source: Developed by the authors, updated from TRANS-URBAN-EU-CHINA 2019c)

3.2 INSTRUMENTS IN CHINA

Land is the most crucial resource for urban development worldwide, and in China this is true in particular. Firstly, China is an administration dominated society, in which government plays a decisive role in urban development. Secondly, land is one of the few resources, which government can control and manipulate in a comprehensive way. Thirdly, against this background land resources used to be the solely source of additional budget of municipal governments. Moreover land became the material basis for urban spatial division through the functional and zoning planning, which in turn, together with key infrastructure, shaped the urban form and spatial patterns. Given the importance of land in urban development, land administration and management are the paramount task of municipal government in China. A series of instruments are applied in the administration process, which are well reflected in the whole process of urban land use and spatial development, starting from planning, to implementation, to construction, and to maintenance. Each development stage is addressed by preferable instruments or tools. The discussed instruments in the following are more or less corresponding to the different stages in a sequential way.

Strategic land use plan: Based on the strategic social economic development vision, the purpose of this legal planning instrument is to quantitatively forecast, how much land will be needed for the future urban development, how to obtain this land and how to distribute the quota for each year.

Urban master plan: The objective of this legal planning instrument is to zone the land use and plan the spatial functions within the urban area. The site location for urban renewal and urban expansion can be identified and indicated in the plan.

District urban master plan: It is similar to urban master plan but more tailored to the district situation. A district urban master plan is the extension of a municipal urban master plan with more specific focus on development themes and functions that play an important role only within the district.

Neighbourhood detailed plan and urban design: Based on the district urban master plan, a set of land use parameters on neighbourhood level is determined and designed in a detailed plan. It entails a more specific function division of each development site, variations of floor area ratio (FAR) for the site, height limitation for buildings, red lines for construction boundaries, the distribution of the infrastructure system as well as the code for the heritage buildings.

Land price mapping: The aim of this informal planning instrument is to set a benchmark or baseline for land prices for different functional zones, which can be a good reference for land bidding and auction. The land value assessment for each functional zone can be conducted either by a government agency or by a third party.

Participatory awareness: Based on the various levels of urban planning and design, the functional division of each area will be published through various media channels so that urban residents will be aware from the very beginning, what will be changed in their neighbourhood in the future. They can either prepare for the possible relocation or stay in the same community with upgraded houses. These awareness can lead urban residents to concern and care more about the place making process in order to actively participate in the discussion and negotiation of urban redevelopment both in urban renewal and peri-urban expansion.

Land banking: Based on the various plans and designs through either urban renewal scheme or peri-urban expansion, land banking is usually conducted by a special office, which is responsible for collecting and storing the acquired land for redevelopment. The primary land market is then formed.

Land auction: Acquired land is categorised by its type of anticipated functional use in a land banking system. Commercial areas for business or commercial residential use will be auctioned through a public bidding process so that the land price can be maximised and more promising developers can be chosen.

Floor area ratio (FAR) negotiation. The designated FAR in the detailed plan usually cannot be altered by the winning developer according to the planning regulations. However, in some cases, particular when the TOD type development is required and a more rational and attractive design is proposed by the developer, the designated FAR in the plan could be negotiated. Nevertheless, the newly proposed FAR needs to be approved by the relevant government agency.

Balance of occupation and reclamation of farmland: This is a compulsory requirement in China for using peri-urban farmland aiming to strictly protect it against occupation (red line in urban expansion.) According to land administration law, each province should keep their own balance of land occupation and land reclamation, i.e. whenever a certain amount of farmland is occupied by construction, the same amount with the same quality of arable land somewhere else within the province will be

reclaimed as new farmland, in order to ensure the total amount of 1.8 billion mu¹⁴ of farmland in China be kept and maintained as the basic protection of grain security for the country in its urbanisation process.

Transfer of land quota within same province or through interprovince: Land use in China is controlled by land quota for each city and county. If one city is more dynamic and grows faster, it is possible to purchase the land quota from nearby counties or from counties further away within the province as long as the balance of occupation and reclamation can be realised (according to the law, it is the responsibility of each province to monitor the balance within their own territory). In case this balance can not be met (e.g. in Shanghai with limited arable land), then a quota transfer between provinces can be carried out with the help of central government.

Monitoring and inspection: To implement the farmland protection scheme, a remote and digital monitoring system for real time land use change in China has been established in terms of a post land use action. To verify the situation, an inspection system is also applied, where the central government sends a team to various problematic cities and counties in terms of land use to check the situation. The local government will be punished if the land use violated the law.

3.3 POTENTIALS OF EUROPEAN AND CHINESE LAND MANAGEMENT INSTRUMENTS TO CONTRIBUTE TO THE CHARACTERISTICS OF SOCIALLY INTEGRATIVE CITIES

Which instruments promote socially integrative cities is discussed below. But, general statements on instruments that promote socially integrative cities cannot be made unequivocally on the basis of a literature review and case study analysis, as each development area is unique and in most cases, the production of the urban fabric and space is based on individual decisions being negotiated between the stakeholders in the urban expansion and urban renewal areas (Llorente and Vilmin 2017). Thus, the results available so far require further evaluation, for example through interviews with stakeholders in the field of urban planning.

The land management instruments mentioned in sections 3.1 and 3.2 do not all have the same scope and potential for steering socially integrative urban development. Steering in this context describes the possibilities that the municipalities have to promote social, economic as well as ecological aspects in the cities (Gammelmo 2017). Following, 13 appropriate land management instruments, applied in Europe and China, that supporting socially integrative urban renewal and expansion are presented:

- Build rental housing on collective land
- Concept award in municipal land transactions
- Differentiated land price
- Formal plan
- Land functional conversion approval
- Legal planning/quota

¹⁴ 1 mu = 0,066 ha

- Mixed land use
- Public interim purchase in urban redevelopment measures
- Public-Private-Partnerships
- Relocation/participatory awareness/respective compensation
- Urban contract (with focus on socially integrative measures)
- Urban renewal measures/actions
- Variation of floor area ratio (FAR) based on functional zone/FAR incentives

Focus is given to their possibilities and limits for steering social, economic as well as ecological aspects in urban development – socially integrative urban development is one aspect of a lot of other urban requirements the municipality needs to address. Draft conclusions are drawn, which of the 12 characteristics of the socially integrative city are addressed by each instrument (marked by → **Socially integrative cities**). In order to discuss the steering possibilities of individual instruments, the laws, regulations and implementation of instruments of the individual European countries must be considered. A more detailed description of the instruments can therefore only be given regarding individual countries. For this purpose, the case studies are used, and the legal basis of the respective country was considered (Chapter 4).

3.3.1 Build rental housing on collective land

This Chinese instrument allows the owners of collective land in peri-urban areas or urban villages to have flexibility in terms of building rental housing before the land is fully converted to state owned urban land. Once the land ownership is transferred to the Chinese state, the functional flexibility will be less under the context of urban master plans.

→ Socially integrative cities:

This instrument can effectively contribute to lower the living costs of urban immigrants, who usually rent rooms in urban villages or peri-urban villages since they cannot afford housing in more central areas of the city given the high property prices. Selling of rental housing as commercial housing is prohibited so that low costs of living are secured in a sustainable manner.

3.3.2 Concept award in municipal land transactions

In Germany, the transaction of a plot of land owned by the city can take place according to different procedures: direct transaction, bidding procedure or concept award; as the city intends to sell its land for the market, but also connected to defined development goals (Architekten- und Stadtplanerkammer Hessen K.d.ö.R. and Hessischer Städtetag e.V. 2017).

The municipality decides in favour of one of the three procedures. In the case of direct transfer, the land changes ownership at the market price. The bidding process and the award of the concept are initially similar. The city initiates a public tender for the area and defines usage and design criteria as well as their weighting for the sale of the area. In the bidding process, only the purchase price offered is relevant. The land is sold to the bidder with the highest price and the bidder must realise the area according to the cities criteria (Architekten- und Stadtplanerkammer Hessen K.d.ö.R. and Hessischer Städtetag e.V. 2017; Hessisches Ministerium für Umwelt, Klimaschutz, Landwirtschaft und Verbraucherschutz 2017).

Concept award procedures are most common in the context of the purchase of municipal land. The buyers must submit a concept of the planned project in addition to the price, which is binding for both sides if the offer is accepted. There are two approaches to the award of the concept (Figure 1).

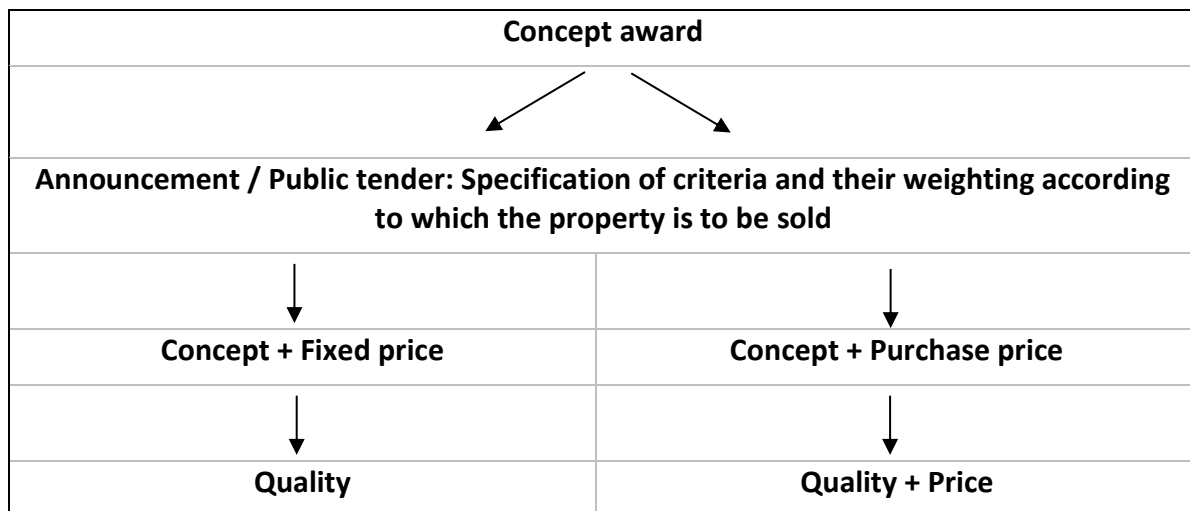


Figure 1: Approaches for concept award

(based on Architekten- und Stadtplanerkammer Hessen K.d.ö.R. and Hessischer Städtetag e.V. 2017, 7)

The aim is to find the best solution for a location according to selected criteria. The criteria are determined by the municipality. The difference between the approaches is the handling of the price. Either a price is given (usually the market value) or a bid is requested. The latter means that not only the concept itself is taken into consideration in the evaluation, but also the price offer. At the end of each transaction there is an urban contract, which regulates the purchase, the urban development and/or building realisation (Architekten- und Stadtplanerkammer Hessen K.d.ö.R. and Hessischer Städtetag e.V. 2017). The contract has the advantage that, for example, construction obligations can be negotiated. Then the buyer can be obliged to realise the area within a certain period of time. This reduces the risk of speculative behaviour.

→ Socially integrative cities:

In the context of the concept award, issues of socially integrative aspects can be addressed. The municipality can define the framework on the basis of the previously identified needs and objectives of urban development. Based on several concepts, the best can be chosen. Concept awards can contribute to the reduction of urban sprawl, well-balanced land conversion and access to urban land. Furthermore, the municipality's specifications can help to improve the environment and living conditions. Infrastructural aspects such as the promotion of efficient and affordable transport can also be defined. The specifications of the municipality can help to strengthen the local economy and the labour market and to strengthen innovation (technical and social) in cities and districts. They can also support appropriate institutional and urban financial mechanisms.

3.3.3 Differentiated land price

This is an instrument well reflecting the functional role of land use under the alignment of land use plans and urban master plans in China, as the land price is not just dependent on the location but also on the envisaged function of land. For business and commercial land use, the land price usually is the

highest, but the lease period will be 40 years. While for residential land use, the price can vary due to the location, but land lease period can be up to 70 years. For industrial land use, the land price can be more complicated in preferential determination based on various conditions, mainly on whether the industry is the pillar or advocated one. The land lease period for industrial land use is usually 30 years. This differentiated land price also forms a good baseline for land bidding. (This is not a part of master-plan itself but an extended by-product, which provides the important basis for land price evaluation).

→ **Socially integrative cities:**

Differentiating the land price can help to well reflect the locational advantage of land and the intentional functional land use. In turn, this leads to higher land prices for better accessible locations and a more balanced spatial pattern for the whole city when the master plan is implemented. A sound urban budget can also be generated to improve the urban development supportive basis helping the poor for enhancing their living context.

3.3.4 Formal plan

Formal plans are to be understood as a precondition of land management. Formal plans are legally defined, binding land use plans are developed for a defined urban area. This includes e.g. *master plans* in the UK and in China, *Bestemmingsplannen* in the Netherlands and *Bebauungsplan* in Germany. The plans offer planning security and legal protection. All the plans draw up for future urban development (Mattsson and Mansberger 2017). Furthermore, they are an essential basis for land management like urban contracts, land readjustment, and development contributions. These plans want to achieve responsibility in urban development. Common objectives are: socially responsible land use, ensuring a human environment, protection and development of the natural basis of life through a sustainable urban and spatial development, the creation or securing of the urban development, and development and order.

A formal plan is often used to describe drawings that represent different stages of development. The development can then be divided into phases and the individual plots can be tendered or advertised for their individual master plan. The content and regulation possibilities differ between different countries: The Urban Task Force (UK) defines a spatial master plan as a set of proposals for a movement strategy, buildings, spaces and land use. These proposals need to be supported by financial, economic and social policy documents. Instructions for the preparation of a master plan are clearly and comprehensively presented by CABE (2004) (Chartered Institute of Housing/Joseph Rowntree Foundation). The German Building Code (Baugesetzbuch) formulates which claims a binding land use plan must have in a legally binding manner. The *Bestemmingsplan* in the Netherlands is comparable with the German *Baubauungsplan* (Fischer and Foßner 2002; Fürst and Schmidt 2012).

European countries have different approaches to urban planning: on the one hand there is active planning and on the other hand there is passive planning (Figure 2).

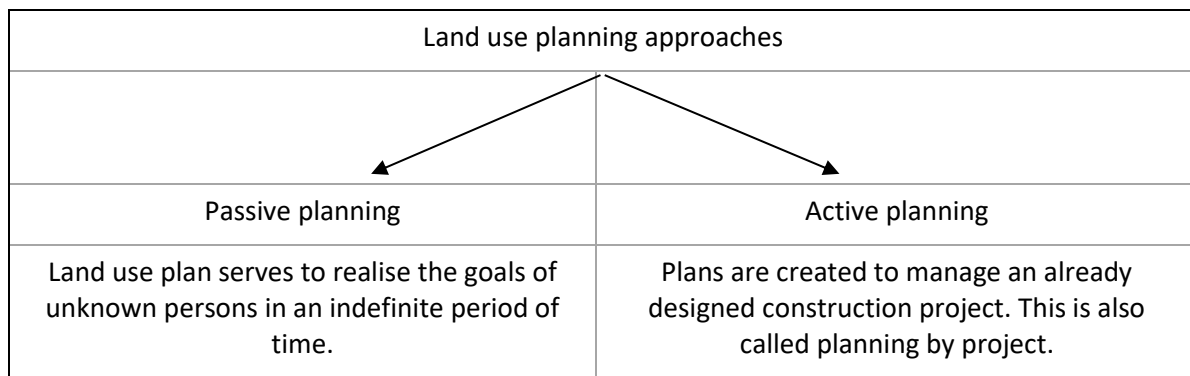


Figure 2: Land use planning approaches in Europe

(Source: author's compilation based on Cahill 2018)

Dutch land use planning goes beyond the "passive planning" that is common in most countries. Active planning in the Netherlands means that both citizens and politicians play central roles in the process. The Dutch see active land-use planning as the only way to create the cities and landscapes they want. Citizens want to see politicians invest time, effort and money in planning. In their opinion, the physical environment and even nature can and should be constructed. The typical approach to land use planning in the Netherlands is referred to as 'planning by projects', where project stakeholders are known and involved from the beginning of the planning process. The plans are created to manage an already planned construction project; while passive planning involves creating a land use plan to manage the goals of unknown others for an indefinite period of time.

→ Socially integrative cities:

Formal plans with special consideration of active planning approaches can create an offer for socially integrative cities. This is an offer to the owners or developers respectively. This proves to be very effective when combined with other land management instruments. Formal plans can support the reduction of urban sprawl, well-balanced land conversion and access to urban land. In addition, they can influence and strengthen (technical and social) innovations in cities and neighbourhoods and can support appropriate institutional and urban financial mechanisms.

3.3.5 Land functional conversion approval

The functional change of land needs to be approved in advance through a land use conversion mechanism in China. This is an effective instrument and requirement for adjusting and updating land use in Chinese cities. This is also a mandatory process within monitoring and double checking the implementation of land quota in the land use plan.

→ Socially integrative cities:

By doing so, it is possible to monitor and manage the urban expansion and to ensure that the land use function can be more rationalised and well aligned with the altered development context under the application of new technology and the inputs of new infrastructure.

3.3.6 Legal planning/quota

This is a tool to help Chinese cities implementing the land use plan in a more rational and well-organised way and to instruct them where and when the development can be carried out. Without land use quota, cities in China basically cannot put any kind of projects in place.

→ **Socially integrative cities:**

The instrument is an effective way to manage the urban land use under the general requirement of strictly protecting farmland and in addition to encourage a certain functional land use, e.g. to increase the land quota for building more affordable housing for low income households.

3.3.7 Mixed land use

Mixed land use is a new trend in Chinese urban development in recent years following the new demand for a more cosmopolitan community, where working, living and playing can be high overlapped in the same space and place. This demand can be met through a good mixed land use and diversified population composition.

→ **Socially integrative cities:**

This instrument serves mainly two purposes: to help the city promoting a mixed land use in order to create a more inclusive urban setting in the newly expanded areas or in the redevelopment sites; and to protect the benefit of the original local residents by in-situ relocation either in urban expansion or urban renewal cases. In general, it helps the city attracting different types of population.

3.3.8 Public interim purchase in urban redevelopment measures

In many European countries, interim purchases are made for the redevelopment of land. There is no uniform procedure for urban redevelopment measure, but it can be a combination of individual measures: *Interim purchase, reallocation, expropriation and drawing up a formal plan* (Mattsson and Mansberger 2017; De Vries 2017). For example, the urban redevelopment measure is legally defined in the German building code. This is a special form of public interim purchase, but with the possibility of expropriation if the owners are not prepared to sell their land. Therefore, the preconditions for the application are very high. There must be clear evidence of necessity (according to the conditions laid down by law) and no other instrument should be available. If the objectives cannot be achieved through income (through privatisation), subsidies can be applied (Mattsson and Mansberger 2017). In various other European countries, corresponding procedures are implemented by expropriation or development of own land. Here too, subsidies are available in some cases (Nordahl and Eika 2017). Regional Development Agencies in UK as non-departmental public bodies represent a special type in this regard. They were established for the purpose of the development of England's Government Office regions until 2010 and were equipped with legal instruments (planning law, expropriation) and a high level of support. The follow-on institutions, the Local Enterprise Partnerships (LEPs), are (only) voluntary partnerships between local authorities and businesses and are therefore less equipped than the predecessor.

→ **Socially integrative cities:**

The main advantage of this instrument is that the municipality, or in the case of UK the development company, has the planning rights to achieve the urban development goals. By using the instrument, the municipality can steer the reduction of urban sprawl, well-balanced land conservation and access to urban land. The instrument can contribute to strengthening innovation (technical and social) in cities and districts. Interim purchases can support social capital and local stakeholder engagement. They can also support appropriate institutional and urban financial mechanisms.

3.3.9 Public-Private-Partnerships (PPP)

Growth in cities and towns has both positive and negative aspects. Growth often implies economic power and high attractiveness of the location. However, growth also involves the construction of infrastructure and the development of new areas at the expense of the municipality. Money that is often in short supply in the municipal budget (Llorente and Vilmin 2017, Gerstlberger and Schmittl 2004). Public-Private-Partnerships can help to reduce the burden on municipal budgets. Furthermore, Public-Private-Partnerships offer long-term cooperation between public and private stakeholders, who share the responsibilities and risks of urban development.

The cooperation can take place according to different models: Build operate transfer, leasing models, or management contracts (Table 5).

Build Operate Transfer	Build Own Lease Transfer	Buy Build Operate
Consensual cooperation between the municipality and private stakeholders. The private stakeholder as owner builds, renovates and manages a facility. The facility is dedicated to the municipality as a public institution.	Consensual cooperation between the municipality and private stakeholders. The infrastructure facilities or buildings are financed by private investors, which are leased to the municipality.	Consensual cooperation between the municipality and private stakeholders. The management of public buildings and facilities is contractually transferred to private investors.

Table 5: Overview of Public-Private-Partnership-models

(Source: author's compilation based on Bundesministerium für Finanzen 2016)

The benefit for the individual stakeholders in this partnership is the reliability and the joint risk. The partnerships serve aspects in the development that were previously the exclusive responsibility of the state – inter alia joint design, planning, creation, financing, management, administration, operation, and disposal of public services. The fact that none of the partners could achieve this scope of responsibility on their own and that they depend on the cooperation of the other party, results in positive benefits for both parties and an incentive for successful implementation. Thus, Public-Private Partnerships represent an alternative to the traditional self-realisation by the state. Responsibilities and risks are shared according to the respective competence – but this also applies to any profits. This gives both partners long-term planning security (Meyer 2016; Schaeffer and Loveridge 2001).

An example from a community centre will illustrate the characteristics of the procedure: The private partner builds the centre and is responsible for its maintenance and operation. Since he has invested in the centre, he also has a strong self-interest in a high-quality and sustainable result. This results in efficiency gains for the public sector. Efficiency gains compared to conventional procurement variants essentially mean the transfer of risks from the public sector to the private partner. The great advantage of using this instrument from the perspective of the municipality is that it reduces the volume of backlogs in the renovation process, reduces the burden on the budget, and the risks are not the exclusive responsibility of the municipality (Boll 2007).

→ Socially integrative cities:

The municipality can realise socially integrative aspects together with a private partner. This means that the municipality does not need any equity capital and can still implement its ideas. However, this instrument is only suitable for projects with profit expectations or with a contractual assurance that the municipality will take over the project at a specific rent agreement over a negotiated time-span. Public-Private-Partnerships can contribute to the reduction of urban sprawl, well-balanced land conversion and access to urban land. Furthermore, Public-Private-Partnership is a good way to involve stakeholders in the planning and design process on the different politico-administrative levels. Through contractual agreements between the partners, a Public-Private-Partnership can contribute to improving the environment and living conditions as well as to promoting efficient and affordable transport. The partnerships can help to strengthen the local economy and the labour market and to strengthen innovation (technical and social) in cities and districts. They can also support appropriate institutional and urban financial mechanisms.

3.3.10 Relocation/participatory awareness/respective compensation

Relocation is both applied in expansion and renewal processes in China. The relocation process includes a variety of instruments and tools, organisational processes and multi-stakeholder participation. It is often the cooperation between local government and the developer, who conduct the relocation process in a jointly manner. The government is in charge of mobilising residents to relocate, including incentive policies, negative-list and repeated persuasion. For example, the local government will establish special working teams or commissions as the organisation in charge, which will settle down near the community and meet each household in advance and probe their demand. They will launch the incentive policies including who signs the agreements first, who will get the bonus and who can get the priority to choose the new apartments with better size and floors.

Participatory awareness is becoming the normal process in Chinese cities in the relocation commitment. Different media channels are mobilised by various stakeholders in the awareness raising process to capture the maximum common recognition and agreement: Through a more symmetrical information sharing, the redevelopment of the site might be speeded up, including quickly defining a general baseline for the compensation. For each household a respective negotiation related to the compensation is still needed.

→ Socially integrative cities:

Although the participatory process is usually time consuming in implementation, it can greatly enhance the common understanding between different stakeholders to eventually reduce the conflicts among them. This consensus can speed up the relocation process in a long term perspective and it gradually is becoming a normal practice in urban China – particular in the big cities, where relocation transaction costs can be too high for the society if a mutual agreement between developer and local residents regarding timing and compensation fails.

3.3.11 Urban contract (with focus on socially integrative measures)

Urban contracts have a high priority as an instrument for mobilising building land, especially in cities with increasing housing pressure and tense markets in Europe. In the past, they were mostly used for individual steps in the process of building land provision (e.g. development contracts), but today the complete process of building land provision is subject to public contracts between municipalities and private investors/owners (also called urban contracts). The urban contract can be of private law (e.g.

transaction of land) and/or public law (replacing legal regulations). Its content focuses on urban development (Weitkamp et al. 2017).

The urban contracts regulate in particular the preparation, implementation or refinancing of the necessary planning and measures. Essential contents can be (Deutscher Städte- und Gemeindebund 1999):

- construction or sale deadlines,
- promotion of social issues,
- the securing of ecological guidelines,
- permit agreements and lots of other aspects of urban issues (see below).

The municipality associates the contract with the objective of regulating an overall development that goes beyond its legal possibilities for making demands. In its behaviour, the municipality is restricted by the need that the investor must retain profits (appropriate scope of burdens and added values), otherwise the investors lose their interests.

In this regard, the urban contract is a good example of land management instruments to support socially integrative criteria, as the municipalities can transfer their costs for measures supporting socially integrative development to private investors. Thus, this model leads to a reduction of the municipal financing. As a general principle, the contractual model expedites the procedure and creates planning security for all contracting parties. This is because the private investor is also interested in a quick provision of the building land in order to be able to sell or use it.

A **permit agreement** could be negotiated to establish a socially integrative interim use of areas, which would remain un- or misused otherwise. The owner benefits from the municipal activities on the land while he can use the area again at a later date without having to care for it in the meantime. The permit agreement represents the legal basis for a (semi-)public interim use of a brownfield or demolition site without loss of building rights and is concluded between the city and the private owner or a civil association. The subject matter of this agreement is the implementation of regulatory measures on the owner's land plot to remedy urban development deficiencies, to redevelop an area and to improve environmental conditions in accordance with urban ecology considerations. Various uses are possible: e.g. public green areas, community gardens, playground, or parking lots (Rößler 2010; Thiel 2005).

The duration of the interim use is usually 5 to 10 years, depending on the agreement. Under certain conditions, the contract can be terminated at short notice at any time. The building right existing on the plot is generally not affected by the signing of a permit agreement. No building development is permitted for the period of the permit agreement, but the owner may withdraw from the contract at any time, in which case he must repay the costs to the city.

In order to create incentives for owners to transfer their land for a limited period of time, the city allows for exemption from property tax and from the costs of rainwater discharge for the period of interim use in individual cases (Fieseler 2004, 38). In this way, any maintenance costs that may be incurred can also be compensated.

→ Socially integrative cities:

Urban contracts enable the possibility to request socially integrative aspects from the investor. However, a condition for this is that the investor needs the land use planning of the municipality for its development. This uses its planning right as a condition for the negotiation of contracts.

With the instrument of the permit agreement, the clearance of fallow land can be controlled and accelerated, the public interim use of the demolition areas can be guaranteed, and the living environment can be upgraded flexibly and quickly (Heck and Will 2007). Uses can be tried out, but they are not permanently secured (Gstach 2006). The instrument is very well suited for indicating short-term improvements, providing security for the future of the neighbourhood for the residents and thus expressing dynamism in areas of the city that have a particularly negative image.

In general urban contracts can contribute to the reduction of urban sprawl, well-balanced land conversion and access to urban land. Urban contracts (also permit agreements) can improve the environment and living conditions. Furthermore, the content of a contract can cover infrastructure aspects, so that it can promote efficient affordable transportations. The development of the urban expansion or urban renewal areas under urban contracts can contribute to strengthen the local economy and labour market as well as can strengthening innovations (technical and social) in cities and neighbourhoods. They can also support appropriate institutional and urban financial mechanisms.

3.3.12 Urban renewal measures/actions

There does not exist an uniform European urban renewal measure. But it is characterised in general by a comprehensive approach to correct deficiencies (i.e. substance weaknesses and functional weaknesses). Two conditions must be specified for application under German law: There must be urban planning deficiencies in the selected area and there must be an intention to correct them as a whole (Forum Baulandmanagement NRW 2015).

The countries provide support for the municipalities in form of a special legal framework (Germany: legally defined instruments supported by subsidies), subsidies or special stakeholders with legal and funding framework (UK: English Partnerships (urban regeneration agencies) with special funding mechanisms e.g. regeneration funds). Renewal is also characterised by strong involvement of the inhabitants and promotion as an incentive for further private investment.

Regarding the German urban renewal measure, it appears that the overall measure includes a social plan or requires contributions from owners to build infrastructure. Increase in the land value triggered by the development measures are claimed from property owners (public value capturing; Hendricks et al. 2017).

Reallocation is an essential land management tool in urban areas. Figure 3 shows the example of the development reallocation. This indicates that the reallocation measure will open up a new area. The area was not used for any construction purposes (e.g. previously agricultural land). There are also reallocation measures where the land has already been developed. Reallocation of the area already used for construction serves the purpose of restructuring (e.g. reactivating areas). The redevelopment reallocation is a subtype of the reallocation of land and is used to correct deficits in the area (Forum Baulandmanagement NRW 2015).

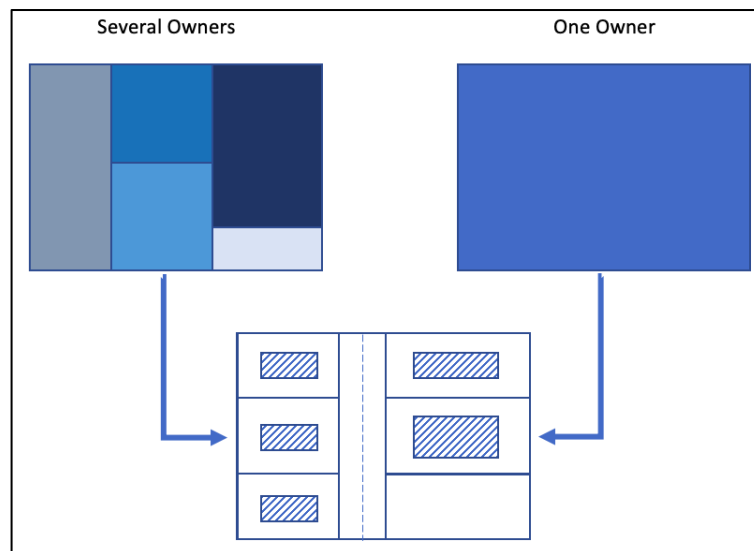


Figure 3: Reallocation

(Source: Forum Baulandmanagement NRW 2015)

→ Socially integrative cities:

The extent of support for socially integrative urban renewal depends on the needs in the development area. In the case of the urban renewal measure, a focus should be on the development and correction of the deficiencies. In general, by using the instrument, the municipality can steer the reduction of urban sprawl, well-balanced land conversation and access to urban land. The instrument can contribute to strengthening innovation (technical and social) in cities and districts and can support social capital as well as local stakeholder engagement. Urban renewal measures can also support appropriate institutional and urban financial mechanisms.

3.3.13 Variation of floor area ratio (FAR) based on functional zone/FAR incentives

This instrument is widely applied in Chinese cities particular in detailed site plans in which the variation of FAR can well reflect the functional division of urban land use designated in the master plan. Various distinctive communities can be established and constructed based on their spatial role in the city to avoid identical spatial patterns practised in the past. This approach is also offering developers certain FAR incentives if they can provide better products and services to local residents by raising the quality of development.

→ Socially integrative cities:

As the successful negotiation of higher FAR is always conditional and depends also on the reputation of the developers, this instrument is effective in helping the city to create more socially inclusive communities by requiring developers to offer a certain amount of housing for lower income households or vulnerable groups. Besides, this instrument can serve multiple purposes: (1) It can help the city to create a more rational land use functional pattern and a more attractive urban morphology. (2) It can help the city to raise its land use efficiency by having higher density in important urban nodes. (3) It can encourage developers to offer more affordable housing to the society by setting certain conditions for their site development.

4 GOOD PRACTICE EXAMPLES FOR SOCIALLY INTEGRATIVE LAND MANAGEMENT IN URBAN RENEWAL AND EXPANSION

4.1 FINDINGS FROM CASE STUDIES OF URBAN RENEWAL IN EUROPE AND CHINA

In this section the specific land management tools used to support social integration in urban renewal projects in Europe and China (Table 6 to Table 11 in annex) are described.

4.1.1 *Urban renewal measures (Dresden)*

In Dresden/Löbtau (Table 6 in annex) a renewal concept for the defined area has been developed, following the German Building Code as the basis for all municipal and private activities in urban renewal. It includes all objectives and measures for the regeneration of the area. It is binding for the municipality by decision of the city council (statute) (LHD 2016; LHD 2002). A crucial part of the renewal concept is the so-called **social plan**, to balance hardships. It is established before any retrofitting measures are implemented. By this, displacement of the original inhabitants should be avoided (e. g. by coordination of movement in case of refurbishment measures and by fixed rents).

Following the German Building code, financial profits of private owners are partially returned to the municipality (**public value capturing**): An upgraded environment and modernised properties increase the chances of letting and thus also the market value of the land. The law obliges the cities and municipalities to share the costs of the renewal with the landowners in the form of a so-called compensation amount. The compensation amount is used to absorb the increase in land value caused solely by the renewal measures. This procedure represents the personal contribution to the financing of the overall measures in the renewal area. In return, no fee needs to be paid to finance any infrastructure measures. The increase in the land value of a plot of land due to renewal consists of the difference between the land value that the plot of land would have had if no renewal had been carried out (initial value) and the land value that the plot of land has after the renewal measures have been completed (final value). The respective plot of land represents the assessment basis for the compensation amount per plot of land. The calculation is carried out individually for each property by an independent expert or expert committee. The compensation amount only refers to the increased value of the land. General increases or decreases in land value and those caused by the owner on the basis of his own permissible expenses are not part of the compensation amount. Changes in the market value of the developed property due to modernisation measures are therefore not considered (LHD 2013).

To gain appropriate plots, both to allow the construction of new residential or commercial buildings and to build green spaces or social infrastructure facilities, in some cases a restructuring of plots is necessary to ensure accessibility or feasible plot sizes. By **public regulatory measures** an adequate change of plots is possible. Specifically, the **reallocation** of land allows both private owners and the municipality to get plots, appropriate in size, shape, and location to implement measures. Thus, the development of a green belt along a river, using also privately owned former commercial and industrial sites, was possible. In particular, the establishment of continuous public cycling tracks and pathways sometimes needed (parts) of privately-owned plots.

4.1.2 *Urban Contract (temporary/interim use and public purchase) (Beijing, Dresden, Copenhagen)*

The case studies showed different examples for providing public amenities by urban contracts, in particular for interim/temporary use.

While the Factory 798 in Beijing area (Table 9 in annex) was facing the problem of demolition sooner or later, an **interim use** was launched by renting the place to start-up artists as a testing phase for the transition period. This transitional time gave opportunity for the place to be reborn gradually as a large-scale cluster of art studios and exhibition activities. In 2003, artists such as Huang Rui and Xu Yong initiated the "Redesigning and Reengineering 798" activity, which was simultaneously launched in multiple locations within 798 ArtDist, accelerating the functional transformation of the main body of the art district. From 2004 to 2006, Huang Rui initiated the Dashanzi Art Festival, which held exhibitions including visual arts, music, dance, drama, performance art, etc. More than 20 art spaces and studios participated, with more than 100,000 visitors, including international celebrities. Around 2005, the development of 798 ArtDist entered its heyday and Secretary Zhang Guohua said, "Artists are reunited, and 798 has become a 'utopia' of artistic creation". Due to the increasing influence and potential commercial value of 798, including artists and art brokers, public and social media began to support retaining the place. In 2006, Chaoyang District Government recognised the importance of 798 ArtDist and decided to work with other stakeholders to promote the place as a cultural innovation industry park, which finally led to a permanent use.

In the case of Dresden/Löbtau (details see Table 6 in annex) a public playground was set up on a private brownfield early in the renewal process. The right of use for the city of Dresden is secured by a **permit agreement**, which has always been extended until now. Park-like temporary uses on private land also occurred in the regeneration area without a permit agreement but were tolerated by the property owner. For example, an urban garden was created on a private brownfield, which was initially used in a small scale using raised beds. During the regeneration process, however, the **public purchase** of the land was carried out by the city of Dresden and the garden idea began to stabilise. An association, which is responsible for the garden, has now been given the opportunity to provide small plots in the park for interested citizens by means of a permit agreement between the city and the association¹⁵. Compared to the playground, the relationship between the stakeholders is different, because the permit agreement has now been used to allow (temporary) private use on public land by representatives of civil society.

In Copenhagen (Table 7 in annex) public green space is provided on former industrialised grounds (e. g. bus yard), which have been purchased by the municipality (The Ministry of Refugees, Immigration and Integration Affairs (Denmark) 2007, 119).

4.1.3 *Formal plan (Master plan for redevelopment processes (Wuhan))*

Based on a **master plan** for the Yongqing site the land use for Wuhan Tiandi (details see Table 10 in annex) was defined. The left map in Figure 4 shows the location and the boundary of Yongqing site, of which the little red parcel represents the heritage buildings, which were restored and kept. The right map shows the land use planning of the redeveloped site. The functional zoning of Wuhan Tiandi can

¹⁵ Interview with staff of the urban planning department within city administration of Dresden.

be classified as: Wuhan Xintiandi commercial area (for business, shopping, leisure and F&B), Horizon Mall, Tiandi Office for International business and regional headquarters, as well as high-end residential areas.



Figure 4: Yongqing site boundary (left) and its land use master plan (right)

(Source: Shui on Land Wuhan Office)

4.1.4 Variation of floor area ratio (FAR) based on functional zone/FAR incentives (Wuhan, Shenzhen)

Both the Tiandi case in Wuhan (Table 10 in annex) and the urban village redevelopment case in Shenzhen (details see Table 11 in annex) benefitted from FAR incentives. The approved FAR was relatively higher than in surrounding neighbourhoods given the sites' functional role in the urban area. Besides, the high quality of site design and the good reputation of two developers in residential development helped them to gain the FAR incentive after negotiation with government and local residents.

4.1.5 Public-Private-Partnerships (Shenzhen)

In Shenzhen/Dochang (Table 11 in annex) the total land area for redevelopment was 685,000 m², and the total floor area will be 1.3 million m² after the redevelopment. The redevelopment was carried out through a **Public-Private-Partnership** approach with initiation and monitoring by government, preparation and relocation by village commission and local residents, and development implementation by a shareholding model (each household has its own shareholding in the project, the profit distribution of the project will be based on the shareholding).

4.1.6 Relocation (Wuhan, Shenzhen, Hartlepool)

In Wuhan Tiandi (Table 10 in annex), the government was responsible for persuading all the residents to relocate them within a certain period. The developer was responsible for paying all the costs during the relocation process. The **participatory awareness** process was conducted at least for three rounds. The first round focused on publishing the basic relocation information to local residents based on district urban plan; the second round contained organised meetings with residents and the local government to discuss the relocation procedure including the baseline for compensation, where also the

developer was introduced. 85 % of the residents had to agree in order to commence the relocation process. The third round was implemented to negotiate the specific compensation with each household with the local government on behalf of the developer. As relocation in Wuhan Tiandi took place in the 1990s, the government played a dominant role in the whole process.

In Shenzhen/Dochang (Table 11 in annex), the participatory way of the relocation process was generally similar compared to Wuhan Tiandi, but a village committee played a more critical role in **awareness raising and compensation negotiation**. The village committee is familiar with the local situation, and the in-situ relocation within the neighbourhood further contributed to a smooth relocation process in terms of time and costs. The negotiated compensation standard was 11,000 yuan per m² in cash (around 1,400 €) or, if villagers preferred, they could also swap their old house with a flat in the new buildings at the exchange rate 1 to 1 in floor area.

In Hartlepool, UK, a NDC **Community Housing Plan** (CHP) addressed some of the most severe housing problems within the NDC area (Table 8 in annex). Parts of the area increasingly suffered from social and environmental problems associated with low demand for the older terraced housing and experienced worsening problems connected with poor management in some private rented sector properties. The CHP aimed towards rebalancing of housing demand and supply by the clearance of some older, less popular dwellings and their replacement with modern housing which better fit to current aspirations. Home swap was used to provide a nearby council flat for residents willing to leave their old one. This enabled people to remain in the area. In addition, the legal instrument of **compulsory purchase order** came into effect to get access to decaying properties of landlords not willing to sell. By this combination of instruments the following aspects were addressed: demolition to reduce the oversupply and lack of variety in house types; new homes to provide new housing development to take place on brownfield sites; refurbishment for houses were eligible for grants and loans from the Borough Council or NDC; refurbishment of some streets and back lanes in order to improve the appearance and safety of these public spaces (Hartlepool Local Planning Framework 2007, 3).

4.2 FINDINGS FROM CASE STUDIES ON LAND MANAGEMENT INSTRUMENTS IN URBAN EXPANSION AREAS IN EUROPE AND CHINA

In this section the specific land management tools used to promote social integration in the development of good practices on planned urban expansion areas in Europe and China (section 2.3, Table 15, Table 16) are described.

4.2.1 Concept award (*Rieselfeld, Freiburg*)

In the 1990s, as a reaction to the growing population, the Freiburg City Council decided to create the urban extension of Rieselfeld (320 ha), following the city commitment to sustainable development. The project was developed in 70 hectares¹⁶ of a former sewage farm, property of the city and located in the southwestern part of Freiburg (Schuetze 2019). After extensive ground surveys were done and necessary steps such as soil removal were taken, the area fulfilled the conditions for residential construction (City of Freiburg 2007). The land use was converted to building land according to the German Building Code. The design code of Freiburg was discussed among several actors in working groups

¹⁶ The rest of the area corresponds to a nature reserve, one of the largest in the federal state of Baden-Württemberg (Siegl 2009).

including more than 80 citizens. In the Rieselfeld masterplan, land blocks were divided into small lots parcelled out by five to 10 investors (Siegl 2009).

The planning department made a programme and discussed this with the city council. A **concept award** was launched (Architekten-und Stadtplanerkammer Hessen K.d.ö.R. and Hessischer Städtetag e.V. 2017). Around 40 groups of co-building, co-housing and self-builders were created. They made an urban contract (following strict design and ecological guidelines and a water scheme) and presented their drafts to the city to request a site¹⁷. Based on the results, a business plan was drawn up, a loan was obtained from a bank to start the project and finally all plots were sold. They paid for all necessary physical and social infrastructure. The formation of co-builder groups created a specific structure and identity within the community and made it easy to keep in touch with future residents. The final result of involving different developers was a quite diverse architecture (URBED 2008b), including densely built blocks, ribbon development, town houses, duplex houses, terraced houses and the housing arc (Siegl 2009).

The project was carried out by the city administration in cooperation with a municipal provider from Stuttgart (Kommunalentwicklung LEG). They appointed a joint management team (the Rieselfeld Project Group) in the form of a development management agency, which helped to integrate economic knowledge and financial resources of the private developers with those of the city¹⁸. The team acted beyond the regular administrative hierarchy and was supported by experts from different city administration units: planning, real estate and housing (Mahzouni 2018; Siegl 2009).

4.2.2 Public interim purchase (Upton, Northampton)

At the beginning of 2001, the Regional Planning Guidance for the South East of England identified the South Midlands as one of the potential population growth areas in England (Government Office for the East Midlands 2005). In particular, the city of Northampton was recognised as a place capable of accommodating household growth due to its character of a major population and employment centre. The south-west of Northampton provided an opportune location for the development of an urban expansion area, particularly since the land was publicly owned (The Scottish Centre for Regeneration 2011).

The farmland was acquired by the Northampton Development Corporation and transferred to English Partnerships¹⁹ (EP) in 1985. Outline planning permission for Upton was first granted in 1997²⁰. EP recovered its costs from land sales (**public interim purchase**) and in the event of any shortfall, through public subsidy. Additionally, EP set aside money to establish the Upton Management Company which charged every unit a management fee to cover the maintenance of the area (Scottish Government 2010).

¹⁷ <http://ucdesustainability.blogspot.com/2009/08/comparison-of-rieselfeld-and-vauban.html> (retrieved April 3 2019)

¹⁸ <http://www.eltis.org/discover/case-studies/rieselfeld-tramway-freiburg-germany> (retrieved April 3 2019)

¹⁹ A national regeneration agency sponsored by the Department for Communities and Local Government. It was also responsive to the growing political and policy interest in design and place-making.

²⁰ <http://www.transportfornewhomes.org.uk/wp-content/uploads/2018/10/Upton-Northampton.pdf> (retrieved May 7, 2020)

Other key players in the development of Upton were The Prince's Foundation for the Built Environment²¹ and EDAW (consultant team) who in conjunction with EP developed the project through two Enquiry-by-Design events (consultation). EP's investment in advanced infrastructure drove development forward providing housebuilders with serviced parcels. A Working Group was established in 2001 to oversee implementation including representatives from all partners (TCPA 2007). Design codes were produced including a comprehensive set of environmental standards. Finally, different developers were selected by the Working Group for each of the eight sites within Upton. As a result the UEA contains an "eclectic mix of housing styles"²².

4.2.3 Public-Private-Partnership (Vathorst, Amersfoort)

VINEX - The fourth Dutch Ten Year Housing Programme (1996-2005) identified the best places for growth, and the principles to guide development²³ as a reaction to a housing crisis. VINEX invited local authorities to submit bid schemes of development for inclusion in the programme. In Amersfoort, a historic town near Utrecht, three urban expansion areas were built: Kattenbroek, Nieuwland and Vathorst, each with a different character and all well connected with the city centre (URBED 2012). Vathorst, the largest one, was the last to be built, completing the work in 2014. Moreover, Vathorst differs from the earlier UEAs in being a free-standing settlement with a large business park and shopping centre and with community facilities from the start (Falk 2008b).

The initial development vision for Vathorst came from the public sector with the local authority reacting to the VINEX call.

The Vathorst development company (OBV) was created in 1998 between the city council as one shareholder (50 %) and a consortium of 5 private companies (Heijmans, the Alliance, AM, BPD and Dura Vermeer) as the other²⁴. This **Public-Private-Partnership** (PPP) by contract included investors who had bought land in the area but also those who the city wanted to involve because of the work they have done before (Falk 2008b). OBV is responsible for land acquisition, urban planning, engineering, commissioning infrastructure and allocating sites (Falk 2008b); and its mission is to create a pleasant and attractive living and working climate for the approximately 33,000 residents²⁵. OBV employed a small staff of personnel, with a chief executive from the private sector and a chairman appointed by the municipality. Most of the developers and constructors were members of the company (URBED 2018).

²¹ It was a charity organization oriented to improve the quality of people's lives by teaching and practicing timeless and ecological ways of planning, designing and building. The Prince's Foundation was created by the merging of The Prince's Foundation for Building Community, The Prince's Regeneration Trust, The Great Steward of Scotland's Dumfries House Trust and The Prince's School of Traditional Arts in 2018. Source: <https://princes-foundation.org/about> (retrieved May 7, 2020)

²² <http://www.transportfornewhomes.org.uk/wp-content/uploads/2018/10/Upton-Northampton.pdf> (retrieved May 7, 2020)

²³ In The Netherlands under the VINEX Programme 455,000 new homes were built over the period 1996 – 2005 in 90 new settlements, of which 285,000 were on greenfield sites or urban extensions of major towns and cities (URBED 2008a)

²⁴ <https://www.vathorst.nl/over-vathorst/ontwikkelingsbedrijf-vathorst/> (retrieved May 7, 2020)

²⁵ <https://www.vathorst.nl/over-vathorst/ontwikkelingsbedrijf-vathorst/> (retrieved May 7, 2020)

It took two to three years from the master plan to detailed design. OBV provided advanced infrastructure through a loan at preferential rates. Serviced plots could be sold off to a multiplicity of builders, including two housing associations.

By this time more than 75 % of the approximately 11,000 homes have been built and inhabited by approximately 26,000 people. About 1,600 homes are still being built. And the business park is also still under construction. Last homes are expected to be completed by the end of 2023²⁶.

4.2.4 Build rental housing on collective land (Leasehold Housing Project, Beijing)

It is a new land management instrument of China's new path for a housing system launched in 2017 and featuring multi-agent supply and multi-channel guarantee while promoting renting and purchasing at the same time²⁷ (Huang et al. 2018). To organise the construction of different types of government-subsidised housing, more policy support is provided, and state-owned enterprises are encouraged to use their own land to build subsidised housing. In fact, in the year 2011, Beijing and Shanghai have already started the pilot project of '**Using Collective Construction Land to Build Rental Housing**' (Ding 2019; Huang et al. 2018).

The Leasehold Housing Project on Collective Land, an early pilot project implemented in Beijing and approved in 2012, has been selected as a good Chinese practice where this land management tool has been used. The project is situated in Wenquan Town in the Green Lake Science and High-Tech Industry Park in the northern part of Haidian District. It is a new UEA of the Zhongguancun National Independent Innovation Demonstration Zone. Its most notable feature is that the village cooperative uses collective land directly for the construction of public rental housing. The process was implemented under the guidance of the detailed land use block planning.

Another prominent feature of the project is the combination of public rental housing supply and the incorporation of an innovation-based incubator centre for low- and middle-income entrepreneurial talents. With the entry of several high-tech enterprises, such as Huawei, China Life Research and Development Center, and Sikmak (Beijing) Instrument Co., Ltd., a large number of young graduates and new entrepreneurs have gathered in this industrial area.

As a result, the demand for rental housing is generally high. Therefore, the completion of the Leasehold Housing Project on Plot 351 can be described as just in time, providing affordable rental housing for more than 7,000 new employees in Wenquan Town. Moreover, as an early pilot project, the Leasehold Housing Project provided experience and laid the foundation for the reform of the housing system in 2017 and the adjustment of the Land Management Law²⁸.

²⁶ <https://www.vathorst.nl/over-vathorst/ontwikkelingsbedrijf-vathorst/> (retrieved May 7, 2020)

²⁷ Multi-subject supply refers to the provision of sufficient public low-rental and security rental methods by local governments while the multi-channel guarantee refers to the government plans to use the land in advance and to adopt a more flexible way to optimize resource allocation (Huang et al. 2018)

²⁸ According to its latest version rural collective land for construction can be transferred and directly used by the unit or individuals outside the collective by means of transfer or lease. It must conform to the guidelines established by urban planning, be registered according to law, and approved by more than two-thirds of the collective members.

4.2.5 Mixed land use (North Gongkang, Shanghai)

North Gongkang is a typical mixed residential community located in Changbei Village, Miaohang Town, Baoshan District of Shanghai in which commercial housing, affordable housing and relocation housing accounts for 40.6 %, 35.40 % and 24 % respectively (Shu 2012). It is also a mixed residential area built on vacant and undeveloped land inside the built-up area of Shanghai. In the overall planning of Shanghai in 1996, the North Gongkang plot was part of the wedge urban green space of Shanghai. With the city's rapid expansion, the municipal government decided in 1998 to assign 30 % of the green wedge to property development. In December 2008, the detailed planning for the development **of mixed-use residential areas** on the site was approved. This is a compromise strategy that takes into account both social and environmental benefits. It is of great benefit to easing the pressure of urban expansion, promoting a proper balance between ecological land and residential land in large urban green space, and helping middle- and low-income people to obtain affordable housing.

Generally speaking, balanced public services and infrastructure layout, as well as shared and communal public spaces are the key factors for the success of mixed residential areas. In this regard, North Gongkang follows the most important fairness principles in mixed residential development. In the overall layout stage of the planning, the planners have followed the principle of fairness in many ways, including the functional positioning of each plot, the layout of public service facilities, the allocation of natural resources, the setting of public green space and the layout of transportation facilities (Shu 2012). The most noteworthy measure is the planning of a commercial street integrating most public services between commercial housing estates and affordable housing estates (as well as relocation community). This commercial street not only ensures that residents with different incomes can fairly share public services, but also becomes a communication space for them (Shu 2012), thus promoting real social integration.

Another important factor is the diversification of development entities. In mixed residential areas, since the profit space of affordable housing and relocation housing is very small, few private developers are willing to develop this part of the residences without taking other incentives (such as floor area ratio incentives). Therefore, the diversification of urban development is necessary. In this regard, North Gongkang is a typical case of cooperative development by multiple entities. Shanghai Kangdeli Real Estate Management co., Ltd., which is jointly established by Shanghai Zhonghuan investment and development (group) co., Ltd. and China Construction Shekou development co., Ltd., has undertaken the development of North Gongkang commercial housing and affordable housing, while resettlement housing was developed by local governments. This development method ensures the coordination of economic rationality and fairness.

4.2.6 Master plan (Rong Hua Shang Lin, Chengdu)

Rong Hua Shang Lin is also a mixed residential community which is part of the linear expansion zone along the Metro Line 3 (Rongdu Avenue) in northern Chengdu. The northern part of the city, where Rong Hua Shanglin is located, used to be the largest and most concentrated run-down area in Chengdu. In 2011, Chengdu began to implement the 'Master Plan for the Renovation of the Northern Part of

Chengdu'²⁹, which started the transition process of this area, helping to reduce the urban expansion of Chengdu and promoting well-balanced land conversion.

As an important step in the **master plan for the renovation** of the northern part of Chengdu, the construction of Rong Hua Shang Lin promoted the improvement of environmental quality and the upgrading of infrastructure in the residential area. For example, Jingzhu Road and Jingcui Road were built for contributing to the formation of road network. Water supply and drainage, electricity, gas, communications and other infrastructure have been higher than the general standards, water reuse and organic waste ecological treatment technology has been applied.

At the initial stage of planning, the project fully considered commercial facilities. For example, 15,000 square meters of centralised commercial buildings as well as 30,000 square meters of commercial facilities and serviced apartments were designed. These commercial facilities provide places for large supermarkets, department stores, leisure and entertainment venues, and small family-run shops. This mixed strategy has played an important role in nurturing local economies.

The industrial layout and public transit plan formulated in the master plan make Rong Hua Shang Lin a typical short-distance commuter settlement. To the north of Rong Hua Shang Lin is a large commercial centre for construction material, which provides jobs for the residents as they can walk or ride a shared bike to work. In addition, the community is located along the subway line 3, which is about 300 meters away from the subway station. There are about 26 bus lines nearby, making it very convenient to travel with cheap mass transit.

4.3 REFLECTIONS FROM GOOD PRACTICES ON LAND MANAGEMENT IN EUROPE AND CHINA

4.3.1 *Urban renewal*

- In the European Union, land management doesn't play a crucial role in regeneration of deprived neighbourhoods. A main instrument is the public purchase of (abandoned) land as an opportunity to implement long term public facilities, infrastructure facilities or green spaces. Land management is both used to ensure long term public land use rights and sustainability of public funding. Additionally, temporal limited contracts or agreements are used to enable fast, simple and flexible approaches to implement new functions for the public on privately owned plots.
- Regeneration processes in the EU are comprehensive governance approaches. The single measures are embedded in complex urban development processes, making use of manifold policy, planning and also land management instruments. Thus, land management plays a supportive and enabling role, but is not the initial or determining approach. Planning and management measures are not solely top-down approaches, but generally based on facilitating participatory elements ranging from information to collaboration and empowerment of civil society.
- Regeneration processes and projects in the European Union are more and more understood as strategic planning approaches, characterised by integrated; clear, but also flexible and adaptive;

²⁹ The master plan was conducted by Chengdu Institute of Planning and Design, which respectively gained the first prize and the second prize of planning & design in Sichuan province and in China in 2013.

and participatory plans or concepts, giving the opportunity to adapt the setting for renewal following experiences or changing challenges. Land management instruments are used to implement the integrated objectives, when physical structures and land use is affected.

- In general, the combination of informal instruments (integrated urban development concepts, renewal concepts) and formal instruments (zoning plan or binding land use plan) is useful to allow both strategic and incremental development as well as legally binding steering.
- A continuous challenge is the dealing with the long-term maintenance costs, both for new public facilities as well as for any “soft” measures for capacity building, education etc. Land management measures and the related funding schemes cover regularly only the financial efforts of land use change, but not the continuous costs of running public green spaces, for instance. Single approaches providing some first steps to deal with the challenge of mainstreaming.
- To push activities in the public space and privately-owned buildings, complementary subsidies for public measures and private investments are necessary. The focus of public efforts should be on public spaces and infrastructure facilities increasing the quality of environment. Parallel private (economic) interests should be addressed by financial incentives for private real estate owners. Partially, financial return of profits to the public should be envisaged.
- In the European Union, standardised and transparent procedures aim to support fair and gentle processes without displacement. In China relocation processes were and are crucial elements of renewal activities, currently being complemented by participatory elements, to make them more inclusive (e. g. Public-Private-Partnership approaches).
- Urban renewal in China has been well aligned with its modernization pursuit and sustainable urban development requirements. Different phases thus have a specific focus with distinctive evolution characteristics, from worker’s community regeneration to heritage-based redevelopment, to eco-environment-oriented rehabilitation and improvement, to recently socially inclusive community remaking and governance.
- In Chinese renewal, urban land use plan and urban masterplan usually played the leading role in pursuit of upgrading and improvement efforts, in which land administration (functional division of urban land use) and management (quota distribution in total and yearly) as well as a series of related instruments (land banking, participatory awareness raising, differential land price and variation FAR design, etc.) constituting the core part in planning and implementation.
- As reflected in the Chinese but also European case studies, nearly all the successful renewal projects were based on a well coordination between planning and land management to reinforce each other in implementation. Their success in terms of reaching social integration might be assessed critically: Although all of them more or less reached the planned objectives, drawbacks can be observed, caused by later stage requirements or gentrification processes.

4.3.2 Urban expansion

- Effective UEA delivery in the European Union often involves consolidating multiple land ownership to ensure subsequent coordinated development (The Scottish Government 2010). In all the European analysed good practices the local authority played a key role in assembling land either by acquiring or historically owning the land (Riesefeld and Upton). Where developers had already acquired interests, as in Vathorst, the land was put into a joint venture and effectively pooled.

- Public control on ownership is a common process in the European Union and produces clarity and confidence in the market and ensures development takes place within the expected time and quality. The development of Rieselfeld and Vathorst on former contaminated sites would not have been possible without public sector investment throughout specific subsidies.
- Local authorities in the European Union played a key role on encouraging and regulating a range of housing developers to ensure variety and innovation in design. Thus, it is possible for European local authorities to set standards (design codes, water and energy schemes, social housing, and public participation) for new developers to provide right locations and to enable an important number of builders to work simultaneously. These standards constitute a crucial step for the promotion of socially integrative cities.
- In the European Union, providing the land fully serviced and ready for development has been crucial in European cases on UEAs. Planning the necessary physical and social infrastructure and delivered as an integral part of the overall development programme is a vital element on the future success of UEAs. In all cases, social and physical infrastructure were jointly planned and implemented showing a continuous dialogue between the city and the developers.
- Communities take some time to develop and grow. Delivering European UEAs that promote social integration take time and need to be planned according to the interests of future generation. This process demands long-term commitment rather than short-term conventional speculative development (The Scottish Government 2010).
- In China, spatial proximity is a basic factor affecting social integration in UEAs. Although proximity to the central areas of the city does not necessarily guarantee that a new community will succeed in promoting social integration, the success stories are mainly located on the edge of the city's central rings. If a new community is far away from the central areas of the city, there are difficulties to share municipal facilities and public services with central areas. At the same time, the cost of negotiation among stakeholders will also rise, while communication opportunities will decrease.
- The mixed residence of social groups with adjacent income stratification contributes to social integration, while the mixed residence of cross-class may lead to spatial isolation. In fact, the Chinese government has proposed in its low-rent housing and affordable housing policies that such housing should be arranged in ordinary commercial housing communities.
- Carefully arranged public space and mixed land use are two important tools for urban planning to promote social integration in China. The good practice of North Gongkang in Shanghai shows that community public space with basic service facilities can be the glue between different socio-economic groups. Such space should have a pleasant scale, good environmental quality, open to all and arranged in a location easily accessible to most residents. Secondly, from the planning perspective, social integration is not simply about placing communities of adjacent classes together.
- Institutional innovation has great potential in promoting social integration in Chinese UEAS. The Leasehold Housing Project in Beijing shows that the institutional innovation explored by pilot projects has great potential for promotion. Moreover, using collective construction land to build rental housing not only increases the housing supply of low- and middle-income groups, but also protects the interests of landless farmers in urban fringe areas.

5 RECOMMENDATIONS FOR FUTURE LAND USE PLANNING AND LAND MANAGEMENT IN EUROPE AND CHINA

Reflecting both the empirical findings of the case study analysis and the stakeholder discussions, a number of recommendations for future application and adaptation needs of land use planning instruments and land management instruments in order to support socially integrative urban development can be derived.

Within the course of the project it became clear, that issues of (1) coordination and collaboration within (strategic) planning processes, (2) participation and activation of stakeholders as local authorities, developers, service providers, civil society and inhabitants, and (3) financing mechanisms and land management instruments addressing issues of economic and land resources are crucial to be addressed for promoting social integration

5.1 COORDINATION AND COLLABORATION

Coordination and collaboration are bridging mechanisms in planning urban development. They help to coordinate among sectoral policies, create synergies by linking strategies, projects and constellation of actors in a joint effort to promote social integration.

- To promote coordination and collaboration among sectoral perspectives and stakeholders at different spatial scales, both **vertical and horizontal integration** is required. Recent Chinese policy initiatives to merge relevant responsibilities for land use planning and management (national development (zoning), housing and urban-rural development, forestry, agriculture) in joint authorities should be implemented and continued to coordinate environmental, social and economic perspectives and requirements on planning decisions and to reduce regulatory barriers. To ensure the coordination of different planning levels (central government, provincial and local authorities), appropriate institutions, competences and capacities needs to be provided.
- In particular, **Integrated Urban Development Planning (IUDP)** should be continued and strengthened, to develop future visions for urban development in a collaborative and comprehensive way. IUDP enables to link systematically strategies and policies through thematic action programmes and to implement them even under adverse conditions (i.e. time, money, personnel, and land). It helps to reduce friction and conflicts between stakeholders, in order to achieve a common goal making use of synergy effects.
- Socially integrative urban development requires a **collaborative culture** within the local administration which needs time to grow and flourish.
- **Voluntary cooperation** of relevant actors from the private sector and the civil society needs to balance interests of stakeholders in order to address all and to avoid potential losers to use any exit options.
- For informal cooperation agreements a **minimum standard of formal binding** power should be envisaged, for example by council resolution, to keep the interest and commitment of participants.
- Jointly agreed **standards** based on comprehensive visions for developers (design codes, water and energy schemes, social housing, and public participation) enable a number of builders to work simultaneously to ensure variety and innovation in design. Local authorities play a key role on regulating and encouraging these standards.

5.2 PARTICIPATION AND ACTIVATION

Participation refers to the engagement and activation of actual and future residents in order to develop customized solutions, which guarantee a high level of satisfaction and identification with the living environment, as well as lively and collaborative social interaction in the long run. Participation of local inhabitants, stakeholders and communities can be implemented following different “levels of participation”, each characterized by different degrees of possibilities to influence certain urban decisions and activities: information, consultation/collaboration, cooperation/co-decision, decision/self-administration.

- The **information base** for participation processes should be strengthened and be accessible for all stakeholders by enhancing transparent data collection and provision.
- **Participation should go beyond transparent information.** Current and future residents need to be considered both as experts for the daily urban environment and as important stakeholders for co-designing and co-producing neighbourhoods.
- To profit from local resources and to strengthen social capital in innovative ways, **appropriate capacities and knowledge**, particularly skilled staff, to ensure reliable and appropriate participation activities in local authorities and planning companies are necessary. Additional costs needs to be covered by developers and municipalities.
- Any participation activities should be inclusive and activating, which means to **equally address and involve all relevant stakeholders and community members**, particularly focusing on activating those who are marginalized, underrepresented and difficult to reach. This must be ensured by providing targeted formats and ensuring low thresholds, including the funding for responsible persons being present and connected in the communities/neighbourhoods also for a long term.
- Comprehensive participating activities should be **mainstreamed in planning procedures** to continuously allow and make use of people’s perspectives, knowledge and engagement for their living environment. Thus, they should be part of the whole planning and implementation process, covering the initial planning stage to implementation of measures up to an anchoring stage, where achieved results are sustained and mainstreamed. For this, planning processes needs legally defined formats and timeslots for participation. Possibilities and limitations of individual processes and adequate responses considering the different concerns, requirements and possible lack of consent but also long term commitment needs to be clarified in advance of any participation processes. In particular, **community planning approaches** have the potentials for using the social capital of an area.

5.3 FINANCING MECHANISMS

Financing instruments for land management must support balancing financial benefits and burdens between land owners and public authorities. The development benefits should be used in a higher proportion for socially integrative measures. In order to strengthen social integration in urban development, municipal authorities should focus on (an increased) **financial involvement of privates** (developers/investors/owners) and public intervention. As best practices can be mentioned: value capturing, contract negotiations combined with financial subsidies (e.g. funding of developing affordable housing) in interaction with privates, and public interim purchase.

- For development processes without land transactions or interim purchase, that means development is in public responsibility, **value capture** for financial involvement should be considered. **Value capturing** before construction begins, has the advantage that municipalities do not have to make advance financial payments. The financial contributions of the stakeholders involved can

be invested directly in the construction of social and technical infrastructure amenities. In the case of value capture at the end of an area development, a concrete initial and final value of the land value can be determined. The difference between the initial and final value is known as the increase in value. Part of the increase in value must be paid by the owner/land user to the municipality, because the owner now benefits in the long term from the enhanced attractiveness of the neighbourhood.

- For any development processes (including land transactions/interim purchases) involving developers or private stakeholders, goals should be negotiated and agreed upon in **contracts**. For this, legal frameworks and laws regulating financial participation of urban development actors are necessary. Public **subsidies** could be provided for funding unprofitable costs.
- A **public interim purchase** opens the highest flexibility to strengthen a social integration for a municipality. Through the (interim) ownership, the municipality is able to realize their chosen strategy. The requirements to be met (e.g. special rents) can be fixed in the purchase contracts after development. In a best way, land banking is a long-term strategy. Former bought land is normally cheaper, so the development benefit is higher and with this the budget for realizing socially integrative measures is also higher. Pre-condition for this strategy is a strong municipal budget.

6 CONCLUSION

The **comparative perspective** to reflect both the European and the Chinese framework and situation allows to draw general conclusions, but needs to acknowledge specific frame conditions.

First, the fundamental difference in land ownership and land administration needs to be named. This has major impacts both in urban expansion and renewal processes. Additionally, it needs to be considered, that instruments might have different names but similar purpose and intentions and vice versa. Nevertheless, by acknowledging this, some instruments and planning approaches can be identified, which follow more or less the same rationale.

Second, some differences in national policies, pathways, and attitudes towards renewal and expansion have to be stated in the European Union. We see contradictory perspectives on the instruments of relocation and displacement in urban renewal and their assessment in order to support socially integrative cities. For instance, the issue of gentrification is conceptualised in completely different ways: Chinese renewal uses this in terms of a strategy to attract skilled, high-income residents and competitive businesses. In Europe, however, the displacement of original residents or people with lower income should be avoided by different planning and land management instruments. Nevertheless, it often fails due to market dynamics and limited steering opportunities.

Third, the dynamics in renewal and expansion differs between China and Europe, being influenced by overall political and societal goals but also challenges. Thus, testing new instruments in pilot projects is a good practice lesson from China. However, its success is associated with the country size, the political system and the centralised structure: In China, once a project becomes a pilot initiative, it usually can be a successful one as preferential policies and extra resources will be allocated to the project, including sending supporting experts. So, the failure factors could be eliminated in the early stage and in the implementation process. Only successful elements will be summarized as good practice and be up scaled in other places.

Nevertheless, by starting with the normative of socially integrative urban development, expressed by 12 specific characteristics, looking at the land management instruments and by grounding on concrete examples, representing the specific contexts, it is possible to derive some general findings (section 4.3). Finally, lessons can be learnt from and by both contexts. Although, a direct transfer of instruments in the sense of applicability and acceptance in the different contexts is neither appropriate nor targeted, but the reflection of different approaches is an added value for research and practice.

Regarding the **two main pathways of urban development – renewal and expansion** – land management instruments in general are applicable in both. On the one hand, there is the development from farmland to construction land, often at the outskirts of cities, which could be assigned to the process of urban expansion. On the other hand, the development of unused, but formerly developed land with the aim to close spatial gaps in the built-up area is a strand of urban renewal. Many instruments can be used for both, urban expansion and urban renewal. Indeed, the use of the respective instrument depends less on the goal and function of land conversion, i.e. whether it is related to urban expansion or urban renewal, than on conditions of space, population development, housing supply, and ownership. Therefore, specific views on individual cases are crucial in order to identify suitable instruments. In China, land banking is the major instrument both for urban expansion and urban renewal, while in the European Union an assembly land management instruments play a crucial role in steering expansion but have a more supportive function in urban renewal.

Reflecting both the more general findings with regard to **land management instruments**, but also concrete experiences of good practice examples, it can be concluded, that land management instruments are conducive to support socially integrative urban expansion and renewal. To which extent depends on the individual context. Thus, the general assessment allows to provide insights according to potentials of individual instruments, but this needs to be reflected regarding broader practice experience and depends on specific project settings.

The identified land management instruments being crucial for supporting socially integrative urban renewal and expansion have been included in the Online Compendium of TRANS-URBAN-EU-CHINA along with good practice planning tools and measures, derived from the case studies.

In general the following conclusion can be formulated:

As Chinese experiences showed that neither completely government nor developer led modes lead to socially integrative urban development both in renewal and expansion, a more **balanced procedure** and **joint steering** might be more appropriate. Regarding the European experiences, combining and balancing of market, government and participatory approaches could support socially integrative urban renewal in China.

The **testing** of instruments and facilitating **experiments** in pilot projects in order to enable transdisciplinary approaches and experiences could contribute real world experiences to the question of fostering socially integrative cities. Derived from this, advice for the development of new or adaptation of established instruments can be given.

In general, good practice examples in urban expansion areas in Europe and China demonstrate that a wise **combination** of (land use) planning and land management instruments has been successful in promoting social integration. This is even truer for renewal in the European Union, where additional financing and participatory instruments are crucial in renewal activities. Due to the transition of renewal strategies in China, land management alone cannot address the challenges and objectives. Recent good practices show the relevance of accompanying planning tools and participatory approaches. Thus, in all contexts, land use planning tools need to be combined with land management instruments in order to make best profit from their individual strengths.

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8 APPENDIX

8.1 MATERIAL: CASE STUDIES OF URBAN RENEWAL

Case Study Dresden-Löbtau (Germany)
<ul style="list-style-type: none"> • Settlement Type: historical neighbourhood, mixed functions (1870-1930) • Period of regeneration: 1993 ongoing • Inhabitants: 13.300 in 2015 (7.500 in 1993) • Size: 127 ha • Public Funding: 26,2 Mio € (including 18,4 Mio € for public measures)
<p>Drivers: Local Challenges</p> <p>Economic:</p> <ul style="list-style-type: none"> • shrinking and ageing population • low capital resources prevent investment by local enterprises • local service business suffers from a low attractiveness of public space and a relative • low purchasing power within the area as well as from the competition with the shopping centres at the urban edge • uncertainty regarding future housing demand prevents investment in buildings • negative image • underused commercial plots <p>Social:</p> <ul style="list-style-type: none"> • shrinking and ageing population • rates of unemployment and recipients of social welfare are beyond average of the city • high fluctuation of tenants in the area • poor socio-cultural infrastructure in the entire area • social disparities <p>Physical:</p> <ul style="list-style-type: none"> • poor and insufficient public infrastructure (streets, pavements) • run-down residential buildings, including lacking modern sanitation and heating (1990: 15 % of the residential buildings were dilapidated, 50 % were damaged) • vacancies in residential (1990: one third of vacant flats) and industrial/commercial buildings • brownfields, derelict sites and inaccessible wasteland <p>Environmental:</p> <ul style="list-style-type: none"> • qualitative and quantitative deficits of open and green space (lack of playgrounds and sports facilities) • contaminated grounds lower the soil and ground water quality • risk of flooding • unsatisfied accessibility (recreational use) of the river e.g. through brownfields • negative effects of traffic, like noise and pollution lower the quality of life

→ Objectives:

- protection of urban structure, strengthening of attractive residential areas, increasing the intensity of functions and fostering a built identity
- development of social facilities and technical infrastructure
- improvement of public realm
- strengthening of the district centres (retail),
- restructuring of formerly industrial and commercial areas for innovative businesses and technology
- re-structuring of the street network
- implementation of a green belt along a river

Drivers: Policy Framework and further activities

European Programme URBAN II (2000-2006): following an integrated approach to tackle a high concentration of social, environmental, and economic problems in neighbourhoods in extreme deprivation, characterised by high unemployment, poor housing conditions, run-down urban fabric, lack of social amenities, and also isolation, poverty and exclusion of the inhabitants.

German “National Urban Development Policy” (2007): focus on maintaining social stability in cities, promoting innovation and economic development, combating climate change, designing the physical environment (Baukultur and heritage conservation), incorporating urban development in a city-regional context and harnessing civic engagement.

German National Framework of “urban development assistance programmes for sustainable urban development structures” - a framework for financial support of municipalities to address changing challenges and demands of urban renewal: Since the 1970s, a dedicated funding programme to support urban renewal activities has been in existence, based on the German constitution, which allows the national state to support the federal states in challenges of urban development. It was initiated by the awareness of the need of physical refurbishment of existing neighbourhoods and socio-economic stabilisation to avoid deprived areas (Couch et al. 2011). The framework is embedded in national policies and the planning and building code. Based on yearly negotiations the national state and the federal states adopt a joint agreement on “Urban development assistance programmes for sustainable urban development structures”³⁰. In this agreement the funding objectives, principles and procedures are defined. The financial subsidies are provided from the national state, the individual federal state, and in addition from municipal budget (regularly one third by each entity). Based on this, the municipalities can apply for funding of several projects and activities, which need to follow the objectives and requirements of the programme and being strategically planned based on integrated urban development concepts.

The main objective is to strengthen cities and towns as places for economy and life by resolving obstacles hindering this. Projects shall address the following objectives:

- strengthening inner cities and town centres regarding their urban functions, while at the same time considering the demands of provision of residential buildings and protection of historic buildings;
- creating sustainable urban structures in areas affected by a loss of significant urban functions; the principle indication of such functional losses is a permanent oversupply of structures such as vacant dwellings or derelict sites in inner cities; particularly industrial sites, former military sites, and railway sites are to be converted for appropriate re-use;
- urban development measures to eradicate social deprivation;
- ensuring provisioning functions of small towns in rural, peripheral areas;
- addressing environmental challenges, such as climate change and biodiversity loss.

³⁰ https://www.staedtebaufoerderung.info/StBauF/DE/Home/home_node.html

Reflecting the main challenges of urban renewal, several programmes are defined, which are being adapted over the years. The initial and main programme has been the programme "Urban renewal and development measures". This was implemented from 1971 until 2012. Over the years, this has been accomplished by programmes addressing particular challenges as social integration, urban restructuring in shrinking cities, rehabilitation of historic cities, challenges of small-sized towns, and green space development. While some programmes are focusing on physical challenges (abandonment and vacancies, retrofitting, infrastructure provision), others address social challenges explicitly. Since 1999, the programme "Socially integrative cities" has been supporting the stabilisation of neighbourhoods, which are physically, economically, and socially deprived. It aims at the improvement of the public space, the infrastructure and the living quality as a basis for intergenerational equity, vivid neighbourhoods and social cohesion to strengthen participation and integration.

The programmes are regularly evaluated. National contact points (network activities, consultation, and good practice knowledge) support the implementation in order to ensure the best benefit for the municipalities. Besides the funding, legal regulations for the implementation based on the building and planning code need to be applied.

LUDA Project (2004-2006) LUDA was an EU-funded **research project of key action 4 "City tomorrow and cultural heritage" of EESD with the title "Improving the quality of life in Large Urban Distressed Areas (LUDA)". Dresden-Löbtau was one of the European cases.** (<http://www.luda-project.net/refcit.html>).

Drivers: Public Steering Approaches (Planning and Land Management, Financing)

The regeneration process of the district was embedded in a process of **integrated urban development planning**, mainly represented by the "**Integrated Urban Development Concept**" (IUDC) of the city of Dresden, published in 2002. The concept aims at addressing the crucial challenges of urban development by defining priorities regarding the focus areas and the sectoral tasks. Additionally, based on the identified demands, the concept forms the background for the application for several funding programmes from Europe, the national government and the federal state (LHD 2002).

The IUDC addresses three levels: (1) Sectoral concepts each addressing the whole city are defining overall objectives and embedding focus areas (topics: living/residential issues, business and commerce; transport; urban scape; environmental and ecological issues; central retail and service areas; public services/technical infrastructure; culture, education, sports and social amenities). (2) The overall objectives are integrated in plans for certain parts/districts/neighbourhoods of the city, including the definition of key projects. (3) To realise the key projects, concrete measures for implementation are defined. To ensure the integrated approach and to coordinate the sectoral concepts with the concepts for the focus areas, a continuous communication process was implemented within the city administration (e. g. steering group within the city administration) (LHD 2002).

A crucial part of the concept is addressing focus areas, including the neighbourhoods of urban regeneration (LHD 2002). Thus, the IUDC is integrated both in terms of integrating different sectoral perspectives of urban development and in terms of integrating different spatial levels/scales. Addressing the continuous task of integrated urban development planning and based on regularly created reports about the state of urban development, the city of Dresden launched the new IUDC in 2016. This IUDC addresses (1) future topics, general and cross-cutting issues, and priorities; and (2) focus areas with key projects. It was based on a broad process of participating the inhabitants of Dresden (LHD 2016).

To implement the renewal process a **comprehensive renewal procedure** was applied:

- development of a **renewal concept** for the defined area (including objectives and measures to (1) retain the building and urban structure of the area; (2) alleviate deficits of the building stock and infrastructure; (3) increase quality of life, to become binding for the municipality by decision of the city council (statute), with participation of inhabitants
- A crucial part of the renewal concept is the so-called **social plan** to balance hardships, which is established before any retrofitting measures are implemented. By this, displacement of the original inhabitants should be avoided (e. g. by coordination of movement in case of refurbishment measures, fixed rents).
- The renewal procedure has to follow the regulations of the German planning and building code.

There, two opportunities are provided: (1) comprehensive procedure and (2) simple procedure. Within (1) some specific regulations need to be followed, particularly this provides the opportunity to determine the (partial) financial return of profits of private owners to the municipality (**public value capturing**). If this instrument would have been applied also accompanying detailed zoning plans would have been necessary. In the (2) simple procedure, no general restructuring measures have been planned and the initial building structure of the site should be preserved. Here, the focus should be on refurbishment of residential buildings and public realm. Additionally, neither considerable profits from rising real estate values were expected nor zoning is necessary.

- **Public regulatory measures**, based on the national building code, were applied. Following, buildings could be demolished, and plots have been cleared by public funding in order to eliminate urban deficits and to allow new functions (e. g. green space development, social infrastructure).
- The implementation of measures in the public space (playgrounds, green spaces, streets and places, kindergartens; around two third of the subsidies) is funded by public subsidies, including **purchase of private plots by the municipality** to build green spaces and social infrastructure facilities.
- As the biggest ratio of residential buildings is privately owned, the focus of the renewal activities was to enable and support private real estate owners in retrofitting their run-down, damaged and often vacant houses. The first step was to safeguard the houses from ongoing damaging by public efforts. Based on this, comprehensive retrofitting measures have been realised. As an incentive for private owners to implement measures, they had the possibility of **extraordinary depreciation**. Additionally, they gained benefits from the raising attractiveness of local infrastructure and environment, as they demand for their flats increased. Finally, the public subsidies in the area were complemented by nearly tenfold private investments. The refurbishment of buildings (including areas for offices, stores etc.) and the growing number of inhabitants led to new opportunities for small enterprises, retail and commerce. Thus, also job opportunities increased, and the local economy has been improved.

As also listed buildings are in the area, additionally the rules of the **heritage preservation code** of the federal state must have been applied when retrofitting single buildings.

Additionally, to the renewal concept, an **informal green space and brownfield concept** has been developed to increase the quantity and to improve the quality of public green spaces, including **temporary public green spaces on private plots based on public-private contracts (permit agreements)**.

Manifold **participation activities** of residents and local stakeholders within planning processes for measures in the public space have been done.

Financial support has been granted of the programme “Urban renewal and development measures” of the national Framework of „urban development assistance programmes for sustainable urban development structures” (see above). Measures, which have been funded by this programme and have been implemented in the area:

- **support of private investments** in measures to refurbish the buildings (around two third of the funding)
- **disposal** of vacant industrial sites and wastelands
- **subsidies** for local projects and initiatives, economic development and strengthening of local retail and commerce (organisation of events, lighting, exhibitions, excursions)

Additionally, financial aid of around 20 Mio Euro by the European Regional Development Fund (ERDF) has been used (within the programme URBAN II).

Stakeholders

- city council and local political decision makers
- departments of the Dresden city administration
- superior authorities of the federal state of Saxony

<ul style="list-style-type: none"> • local associations and non-profit organisations • private enterprises • property owners • residents
<p><i>Evaluation of aspects of socially integrative urban renewal</i></p> <p>Objectives being reached:</p> <ul style="list-style-type: none"> • improvement of public realm/space (streets, pavements, bicycle tracks, green space development, establishment of playgrounds) • improvement of housing conditions by generating additional private investments in housing (more than 90 % of residential buildings are refurbished) • improvement of the environmental quality (green space development on brownfields, planting street trees, noise reduction by street refurbishment) • improvement of social infrastructure (refurbishment of public schools, building of kindergartens) • improvement of public services and retail • socio-economic stabilisation of the area (growing population, growing local economy) • participation of local inhabitants (green space development, playgrounds, street refurbishment) <p>Critical issues:</p> <ul style="list-style-type: none"> • risk of gentrification (displacement of inhabitants by higher rents) • high fluctuation of citizens in the area leads to a minor identification and consequently to a low participation level • existing initiatives get relatively low assistance by the municipality • lack of adequate structures/instruments/resources to handle the lack of consent between the estate owners and the city administration • no institutional structures that involve all internal and external stakeholders in the regeneration process

Table 6: Case Study Dresden-Löbtau/Germany

(Source: compiled by authors, based on D3.1, adapted and completed; EUKN 2011; LUDA 2006; LHD 2015; LHD 2012)

Case Study Copenhagen (Denmark)		
Settlement Type: historical neighbourhood (1870-1930); large mono-functional areas (1960-1980)		
Period of regeneration: 1997-2007		
Avedøre Stationsby: <ul style="list-style-type: none"> • Inhabitants: 5,900 (1998) • Size: 70 ha • Public Funding: 3.35 Mio € 	Kongens Enghave: <ul style="list-style-type: none"> • Inhabitants: 13,500 (1998) • Size: 446 ha • Public Funding: 21.99 Mio € 	Nord Vest: <ul style="list-style-type: none"> • Inhabitants: 14,576 (2002) • Size: approx. 700 ha • Public Funding: 20.45 Mio €
Drivers: Local Challenges <p>General two typical types of problem-areas:</p> <ul style="list-style-type: none"> • Large nonprofit housing estates often built in the period 1960-80. Immigrants from non-western countries often make up a high percentage of the inhabitants. • Older part of bigger cities especially in Copenhagen with low housing standard, traffic problems and with industrial sites that can be used for new functions. <p>Economic:</p> <ul style="list-style-type: none"> • Large percentage of residents on transfer incomes and a much lower average income than the municipality as a whole • Mono functional areas, lack of working opportunities <p>Social:</p> <ul style="list-style-type: none"> • Outward migration of middle-class households in combination with higher risk of segregated areas • Drug and alcohol abuse • Lack of education and qualifications for the labour market • Competing interests within the area between public, private and local stakeholders <p>Physical:</p> <ul style="list-style-type: none"> • Physically fragmented areas e.g. through large arterial roads • That contribute to splitting up the district • Comparatively small dwelling sizes • Poor physical quality of the housing stock <p>Environmental:</p> <ul style="list-style-type: none"> • Brownfields and many vacant old industrial buildings • Lack of cultural and outdoor opportunities • Business life limited to a few large and heavily trafficked streets <p>→ Objectives:</p> <ul style="list-style-type: none"> • Strengthen the civilian society/social capital inside the areas and also between areas • Change the concentration of marginalised Danes and foreigners in specific areas • Avoid gentrification and thus keep a mixed social composition as well as attract more well to do citizens in social housing areas • Reducing criminal activities 		

- Improving residents' image of the area and also outside of it
- Improving the physical urban environment, e.g. in creating exciting public green spaces on the neighbourhood's former industrial areas
- Strong partnerships between public, private and local sector

Drivers: Policy Framework and further activities

In Denmark, there is a long history of urban renewal. In the beginning, the focus was on physical refurbishment of existing neighbourhoods (including clearance). Already in the 1970s, the need for participation of local inhabitants became clear, and the renewal programmes later reflected this. Starting in the 1990s, socio-economic challenges and segregation processes in neighbourhoods from the 1960s to 1980s (mostly large high-rise estates in non-profit housing areas) and historical inner-city neighbourhoods became evident (Franke and Strauss 2005). To combat the spatial concentration of socio-economic problems the programme "Kvarterløft" (Integrated Urban Regeneration) was introduced by the national government in 1996 (1997-2007). The programme is focused on neighbourhoods and is based on cross-sectoral combination of supporting activities addressing both communities (people) and neighbourhoods (places). Besides physical renewal, also social and economic issues are addressed. Emphasis is laid on collaboration of local authorities, other stakeholders, and local residents. Meanwhile the Kvarterløft experiment has been mainstreamed in the legislation as area renewal (EUKN 2011).

The approach has to be understood as bottom-up-oriented, integrated neighbourhood regeneration as opposed to purely top-down town planning (Leonardsen et al. 2003, 7; Skifter et al. 2000, 8). Interdepartmental combination of approaches to support target groups and areas as well as an emphasis of local community involvement is seen as a key factor in the renewal process. Besides fostering conventional (urban) development regeneration, Kvarterløft also includes social and economic change and participation (Skifter et al. 2000, 12). Basic principles of the programme are: an interdepartmental approach; cooperation between government and nongovernment players (e.g. local entrepreneurs, residents) and involvement of neighbourhood residents and other local stakeholders (Leonardsen et al. 2003, 8).

The programme comprises three phases (Leonardsen et al. 2003, 13; Skifter et al. 2000, 13). Initially a one-year neighbourhood planning stage gives local residents, organisations and onsite initiatives the opportunity to present their neighbourhood development ideas and wishes to the public (neighbourhood planning stage). This is incorporated within a Kvarterplan which is devised by all concerned departments and offices and then deliberated and adopted by the city council. The plan forms the basis for a programme implementation agreement between the ministry responsible and the municipality and contains among other things statements on planned projects and measures, financing aspects and also (quantifiable) targets. The annual negotiation with central government is a requirement and measures are conducted (implementation stage) from the second to sixth year of the programme. The final year is understood as the anchoring stage, where strategies are conceived on whether and how already accomplished projects can be sustained beyond their original expiration date (København Kommune/By- og Boligministeriet 2001; Leonardsen et al. 2003, 14).

Thus, the main characteristics of urban regeneration projects are: 1. Area focused projects, not individual residents or properties; 2. Coordinated and integrated projects, 3. Maximum participation of local forces (Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 55). Parts of the Kvarterløft process were mainstreamed afterwards, e.g. elaborating success criteria for projects, formulating an explicit exit strategy for maintaining project work at the end or further decentralisation of government responsibility in the context of urban renewal.

Drivers: Public Steering Approaches (Planning and Land Management, Financing)

Planning and land management:

Each **Kvarterplan** is normally divided into five topic areas: urban regeneration, recreation and culture, the environment, employment as well as health and social affairs. It contains proposals for concrete measures and projects and gives details on the funding required; drafted cross-departmental based on needs of local residents, organisations and onsite initiatives.

The **programme implementation agreement** concluded by the ministry responsible and the municipality; must be renegotiated annually with central government and contains among other issues statements on

planned projects and measures, financing aspects and also (quantifiable) targets.

Crucial for the whole approach are manifold **comprehensive and integrated participation approaches, which are cross-departmental and between different administrative levels:**

Interdepartmental coordination forum: to strengthen the exchange of information and lines of communication between the various departments and offices

Kvarterløft secretariat: interface between the national level, municipal government and area levels. It coordinates Copenhagen's Kvarterløft projects, organises the interdepartmental coordination forum and furnishes the link to the programme initiator at national level

Kvarterløft project secretariat: with a local public office accessible to all interested parties, which is the basis for implementing the programme at neighbourhood level

Local steering group: between the municipality and neighbourhood level which reviews project and measure proposals put forward by the people of the neighbourhood

Kvarterforum: in each district, serves as a public participation, information and discussion platform, where ideas, measures and projects are developed

Planning phase "zero": neighbourhood planning stage at the beginning to derive the needs of the area

By **public purchase or lease of land** public green spaces is provided on former industrialised grounds (e. g. bus yard).

The **Danish building regulations** are used to provide new housing on former industrialised ground within a comprehensive renewal of an old municipal bus yard.

Different approaches support **capacity building:** The **Kista Job Matching Model** is based on qualification and partnerships with private enterprises. The idea is that the job centre and enterprises with vacant positions together prepare a targeted qualification plan that gives the unemployed person the qualifications for the job in question, enterprise must guarantee a job for the unemployed persons who complete the qualification process (e.g. taxi driver, waiter, construction worker to shop assistant). With the **Magnet school concept**, the curriculum and leisure activities shall be improved. By networking with other private and public institutions, the possibilities of the school (e.g. allowing day-care institutions to use school facilities) to attract pupils with strong economic and educative background will be promoted. **Integrative leisure activities**, e.g. intercultural cooking, foster social capital in the neighbourhood and enhance accessibility to personal development opportunities.

Image campaigns during the renewal process strengthened the areas identity and the resident's pride for their neighbourhood. Communicating positive stories by using workshops, social media, TV programmes, websites, newsletters and magazines also help to raise awareness of change for the residents living outside the neighbourhood.

By **"PLPP – Public, Local and Private Partnership"**, a permanent following group during development process consisting of local residents will be installed. By a so called **"anchoring stage"** at the end of renewal process, decisions are made on whether and how already accomplished projects can be sustained beyond their original expiration date. By this **"Mainstreaming"** successful projects can be continuously implemented.

Subsidies:

Copenhagen Kvarterløft projects have received one third of their financing from the national government and two-thirds from municipal funding. Most of the resources are earmarked for urban regeneration measures, a smaller budget is available for integrated projects within the non-urban-planning domain and for participation, information work and financing the local project secretariat. Kvarterløft has spent approximately €160 million for the 12 areas participating in the first and second programme rounds.

Stakeholders

- City council and local political decision makers
- Departments of the Copenhagen city administration
- Superior authorities, e.g. Danish ministries

<ul style="list-style-type: none"> • Local associations and non-profit organisations • Housing associations • Private enterprises • Property owners • Residents
<p><i>Evaluation of aspects of socially integrative urban renewal</i></p> <p>Objectives being reached:</p> <ul style="list-style-type: none"> • Improved image and changes in residential turnover to and from the areas • Change towards a more mixed demographic composition (only to some extent) • Improvement of the physical surroundings within the urban space, e.g. parks, houses, traffic and traffic noise reduction etc. • Improvement of urban functions, especially community centres and meeting places as a key factor for integrating different social groups in the neighbourhood • Improvement of income and employment through employment initiatives in some areas • Reduction of visible social problems, e.g. public drug and alcohol abuse, noise and crime <p>Critical issues:</p> <p>Participation-related issues:</p> <ul style="list-style-type: none"> • Disadvantages of local secretariats • Lack of municipal ties, influencing the perpetuation of projects • Although working for a better community, the work itself can lead to further stigmatisation through increased public awareness • Projects can counteract municipal policies • Conflicts of loyalty for employees since they work both for the area and also for the municipality • Participatory processes can favour certain modes of communication, and thereby often tend to exclude members of ethnic minorities. Moreover, they are often age biased with a majority of white middle-class men. • Cooperation between the various administrations on achieving a holistic initiative has proved difficult <p>Project result-related issues:</p> <ul style="list-style-type: none"> • Question of a sustainable project structure, how can the results being reached be perpetuated without further public funding? • Even though the areas' images have been improved, this improvement is not always strong enough to retain residents who find employment and are then able to move to „better“ neighbourhoods • Maintenance costs (for green spaces and recreational areas) were seldom included in the projects • Duration for some projects was probably too short to create long-term changes in the neighbourhoods • Industrial development in the neighbourhoods and development of the private supply of culture, amusements and service played only a secondary role in the Kvarterløft and are therefore now missing

Table 7: Case Study Copenhagen/Denmark

(Source: compiled by authors, based on D3.1; EUKN 2011; Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 55; The Ministry of Refugees, Immigration and Integration Affairs (Denmark) 2007)

Case Study London & Hartlepool (UK)		
Settlement Type: historical neighbourhood, mixed functions (1870-1930); large mono-functional areas (1960-1980) Period of regeneration: 2000 - 2011		
Hackney: Shoreditch Trust <ul style="list-style-type: none"> • Inhabitants: 20,100 (2001) • Size: approx. 200 ha • Public Funding: 59.4 Mio £ 	Lewisham: New Cross Gate NDC <ul style="list-style-type: none"> • Inhabitants: 8,300 (2001) • Size: approx. 88 ha • Public Funding: 45 Mio £ 	Hartlepool: West Central Hartlepool NDC <ul style="list-style-type: none"> • Inhabitants: 9,000 (2001) • Size: approx. 200 ha • Public Funding: 52.5 Mio £
Drivers: Local Challenges Economic: <ul style="list-style-type: none"> • unemployment • low incomes • poverty • few shops or facilities Social: <ul style="list-style-type: none"> • dependence on government transfer payments • insufficient qualifications • social exclusion • debt • chronic illnesses • drug and alcohol abuse • dysfunctional families • crime • problems in living side by side as neighbours • concentration of ethnic minorities, so that these population segments are affected by these problems more than other groups • (school) segregation, which results in more affluent segments of the populations moving away Physical: <ul style="list-style-type: none"> • poor building conditions, e.g. heating breakdowns as they near the end of their life • public services and infrastructures in de-prived neighbourhoods are often inadequate Environmental: <ul style="list-style-type: none"> • limited unattractive communal open space • traffic congestion and nuisance → Objectives: <ul style="list-style-type: none"> • Long term funding over a 10-year period • Tackle a comprehensive array of problems: 		

- Three place-based outcomes: crime, the community, and housing as well as the physical environment
- Three people-based outcomes: improving individual-level outcomes in relation to health, education and worklessness
- Work in partnership with other delivery agencies and other area-based initiatives in order to make transformatory change at the neighbourhood level, i.e. secure improvements by working with the police, Primary Care Trusts (PCTs), schools, Jobcentre Plus (JCP) etc.
- community at the heart of the initiative (local residents to help devise, implement and sustain projects would help to achieve longer-term outcomes)

Drivers: Policy Framework and further activities

In UK, urban renewal was and is strongly driven by economic demands and interests. The focus of activities is to tackle economic challenges underlying deprivation and strengthen the regional economic performance. Thus, urban regeneration means improving economic performance and tackling unemployment, creating good conditions for business growth and creating places where people want to live and are able to work. The strategies are mainly based on support for enterprises and investments of the private sector. In the 1990s programmes have been introduced, designed to address economic, social and environmental problems evident within all British cities. “Typically, these programmes, which have been examined elsewhere, involved the additional allocation of monies to specific urban areas for predetermined lengths of time” (Lawless et al. 2010). A number of tailored programmes have been implemented addressing specific challenges as affordable housing, functioning property markets, abandonment of housing, or challenges in coalfield communities (EUKN 2011). In the 1990s the awareness of integrated approaches, involving local authorities and inhabitants raised (Couch et al. 2011).

As early as 1998 the central government agency “Social Exclusion Unit (SEU)”, devised a rationale for tackling deprived neighbourhoods called the “National Strategy for Neighbourhood Renewal (NSNR)” One key component to the NSNR was the **New Deal for Communities (NDC) programme** designed to provide “funding for the intensive regeneration of small neighbourhoods” (Lawless et al. 2010). In 1998, it was introduced as a ten-year programme (until 2011) of funding for 39 neighbourhood-led activities in specific neighbourhoods, addressing six key themes: high unemployment and poor job prospects, high crime rate, educational underachievement, poor health, housing problems and problems with the physical environment (EUKN 2011). Within the programme, limited funding for implementing local regeneration schemes in a limited number of areas was provided. The implementation is based on partnerships, developing their own, community-led agenda for the respective neighbourhood. Thus, these are area-based initiatives, where the community is placed in the centre of activities. Main efforts have been made to engage residents and to enhance the capacity of the local community (Batty et al. 2010).

The programme was developed by several government departments, including the then Department for Environment, Transport and the Regions (DETR), the Treasury, and the newly established Social Exclusion Unit (SEU). 17 ‘pathfinders’ were awarded funding under Round 1 of the programme in 1998 (a further 22 areas were given funding the following year in the final round of the programme). Project funding focused on approaches operating within an urban neighbourhood of not more than 4000 households over a ten-year period. Eligible areas were chosen by central government using the Index of Local Deprivation (ILD) and were then invited to apply for NDC funding. Funding amounts to approximately £50 million over the lifetime of each individual NDC programme but additional monies were provided through the private, voluntary, and other public sectors (Dargan 2009).

1998 report: National Strategy for Neighbourhood Renewal (NSNR), issued by the government Social Exclusion Unit (SEU)

“The report contained a number of criticisms of previous policies, e.g. inefficiency and insufficient integration of national policies, top-down solutions instead of engaging local communities, emphasis on town planning at the expense of social issues” (Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 80).

Regional Development Agencies (RDAs) launched in 1999

“Act as strategic leaders of economic development and urban regeneration in the English regions. They network the business, public and civic sectors to combine local economy development with social integration policies through the delivery of regional strategies” (Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 80).

Neighbourhood Renewal Fund (NFR)

Another funding focused on improvements of public services in the 88 most disadvantaged local authorities was set up in 2001. Local Strategic Partnerships had to be formed and were eligible to obtain monies within the programme in addition to neighbourhood management offices in deprived neighbourhoods, which were used to address the specific onsite situation as well as to activate and network residents and other local players (Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 80).

Sustainable Communities Plan (2003) and two five-year plans: Sustainable Communities: Homes for All; and Sustainable Communities: People, Places and Prosperity (both 2005)

“Sustainable Communities Plan set five strategic priorities and eight central targets. Include i.e. regenerating the most deprived neighbourhoods, reducing social exclusion and supporting society's most disadvantaged groups (Strategic Priority I) or decentralising decision-making powers down to the neighbourhood level including clarifying the roles and functions of all the levels involved (Strategic Priority III)” (Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 80).

Drivers: Public Steering Approaches (Planning and Land Management, Financing)

The regeneration process is addressed by different **strategic planning approaches**: The **delivery plan** is produced annually and sets out the long, medium and short-term strategy for the area. It identifies in detail the objectives to be achieved, including the costs, descriptions of existing and planned local conditions, and the funding required. Additionally, specific strategic plans for the individual neighbourhoods are developed

A **Community Housing Plan (Hartlepool NDC)** provided a comprehensive framework “for the acquisition and demolition of 478 residential properties; the construction of 172 new homes; the creation of two community parks and a new play area” (Sheffield Hallam University 2010). In addition, a supportive ‘**Home Swap**’ **scheme and relocation grants** were implemented for residents affected by demolition. Improvements of around 800 existing homes and some business premises as well as improvements to the streetscape through landscaping and environmental works were also part of the plan (Hartlepool Local Planning Framework 2007).

Mainstreaming: To ensure long term impacts and continuous activities to maintain and mainstream the renewal efforts in the neighbourhood, the NDC projects are aimed to be transformed into **trusts**. A trust with a mixed enterprise and community asset portfolio act as an independent economic stakeholder with a focus on social integrative community development after government funding ends. Both Shoreditch NDC and Hartlepool NDC still work in the form of a charity trust and offer a wide range of services in the neighbourhood. These range from counselling services for pregnant women to support for young people on their path from leaving the care system to living independently up to offering affordable rental accommodation. The trusts are dependent on donations, but can also generate income from other sources, for example by renting their own properties to low-income households (Hartlepool NDC Trust Website 2020, Shoreditch Trust Website 2020).

In the neighbourhoods, **public participation** was strengthened **through different boards and groups**: The **NDC Partnership Board** is the main steering group, composed of: 1 Interim Independent Chair, 10 Elected residents, 1 representative from the Local Strategic Partnership, 1 representative of big business, 1 representative of small business, 2 representatives of the community/voluntary sector, 1 representative from the education sector, 1 representative from the police, 1 representative from the health sector, 2 local councillors. The board is supported by **Theme Groups**. These separate groups dealing with the topics health, crime, work, education, housing, transport and environment, each chaired by a resident. The Theme Groups oversee project activities in those areas and provide a forum for residents. They have an ‘open door’ policy to local residents. Service providers can attend all meetings or to be called as and when required. Additionally, **partnerships with key service providers in the area** (London Borough of Lewisham, North Lewisham Primary Care Group, Metropolitan Police, Employment Services, Lewisham Racial Equality Council etc.) were established. By **surveys** detailed information on the issues facing the residents were identified and awareness of

the NDC was raised. By regular newsletters and a NDC website, a **marketing and communication strategy** was implemented.

The **improvement of the physical situation and the urban environment** includes the refurbishment of public green spaces and playgrounds and the upgrade of paving and lighting in many streets. By defining **conservation areas** by local authorities, areas of 'special architectural or historic interest' whose character or appearance can be protected and enhanced. Local and regional criteria are used, rather than any national standard. Local authorities have additional powers under **planning legislation** to control changes to buildings in a conservation area that might usually be allowed without planning permission in other locations.

Besides physical upgrading, **capacity building** played a crucial role in the renewal approaches: The project **Family Learning** consists of: Educational joint workshops for parents and children (Information and communication technology, arts/ crafts, story sacks), courses aimed at parents to teach them how to help their children with their homework ('Keeping Up with the Children'), Information, advice and guidance (IAG) sessions on progression routes to further learning. The **CHOICE (Complementary Health Offered in the Community for Everyone)** offers alternative health services to complement the existing mainstream health services available in the area. The programme includes an osteopathy clinic, a reflexology clinic and yoga classes. By **youth centre** local youth should be engaged in structured leisure, sports or educational activities. It is also intended to link with facilities beyond the immediate NDC area. In addition, links will be made with partners to develop computer workshops, reading clubs and various other pursuits for local children and young people.

Specific attention has been paid to **enhance economic opportunities** for the inhabitants: The project **Job Networking** aims at developing links with large business organisations by matching staff from the companies with pupils to provide mentoring support, with the aim of raising aspirations and attainment. **Business Grants** were provided for small businesses, social enterprises and start-ups. The **Employment and Enterprise Agency** addresses the needs of the residents by providing advice on feasibility of business ideas, preparation of business plans, advice and support of funding applications, preparation of CVs, assistance with application forms and covering letters, interview preparation and confidence building, career advice and job searching, locating suitable training courses and arranging registration.

Subsidies were provided by the **New Deal for Communities**.

Stakeholders

- City council and local political decision makers
- Government and Borough departments
- Local associations and non-profit organisations
- Housing associations
- Private enterprises
- Property owners
- Residents

Evaluation of aspects of socially integrative urban renewal

Objectives being reached:

- Increasing satisfaction of residents with neighbourhoods
- Reducing disparities with the rest of the country related to education, health, income, perception of safety etc.
- Monetary benefits (e.g. income change) substantially exceed costs
- solutions to help maintain activities after funding
- more change with regard to place-related, rather than people-related outcomes

Critical issues:

Network related (Sheffield Hallam University 2010):

- interventions have not had such a sustainable impact on the community social capital since key players in the community move on, and most people do not engage with their local NDC partnership to any significant degree
- elections to boards may not necessarily lead to the involvement of the best people from the NDC

<p>area</p> <ul style="list-style-type: none"> • in terms of education it has been difficult for NDC partnerships to make an impact, there are also weak negative associations between higher rates of spend and change in general • managing expectations is vital; local residents can have inflated views in relation to the speed of project implementation and the degree to which benefits from regeneration projects will be distributed across all of those living in the area <p>Sustainability related (Sheffield Hallam University 2010):</p> <ul style="list-style-type: none"> • tight constraints on all forms of public expenditure and therefore doubts about the likely impact of succession strategies • existing residents in social housing schemes are unlikely to be able to purchase new owner-occupied dwellings danger of gentrification • neighbourhood-level, physical developments, especially those which accommodate both private-, and public-, sector tenants, indeed provide rental income after regeneration funding ends; but the management costs can be underestimated, and rental income may not be sufficient to maintain the same scale of activity
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Table 8: Case Study London, Hartlepool/UK

(Source: compiled by authors, based on D3.1; EUKN 2011; Federal Ministry of Transport, Building and Urban Affairs (Germany) 2007, 78; Hartlepool Local Planning Framework 2007; Hartlepool NDC Trust Website 2020; Lawless 2010, 259; New Cross Gate New Deal for Communities 2001, 2004; New Cross Gate NDC 2005; Sheffield Hallam University 2005a, 2005b, 2010; Shoreditch Trust Website 2020; Tallon 2013, 95)

Case Study Beijing 798 ArtDist (China)

- Settlement/Renewal Type: Old industrial base redevelopment

798 ArtDist is an art park containing a variety of art institutions, studios and showrooms, as well as abundant commercial activities including business, catering, commerce and entertainment. Located in the Dashanzi area of Jiuxianqiao, outside the Fourth Ring Road of Beijing in Chaoyang District, 798 ArtDist is fairly close to the expressway towards the Beijing Capital International Airport.

- Period of regeneration: from 2003 (ongoing)
- Size: 138 ha

Drivers:

- The site of 798 ArtDist originally belonged to the state-owned Factory 798 and other electronics industries.
- The decline of "Yuanmingyuan Painter Village" in 1990s, was a driving factor that a group of artists was trying to find a new base for artistic creation. The site of Factory 798 has the advantages for its geographical proximity to the airport hub and the Fourth Ring Road, its spacious and bright factory areas, low rent, and a pleasant creative environment in the urban fringe, all deeply attracted the attention of creative talents.
- Since 2003, artists started to settle in here one after another, and then the government intervened in the management by establishing a Management Committee 798 ArtDist. With explosive growth in over ten years, 798 ArtDist has turned from an old abandoned factory to a creative space with the highest concentration of galleries in Beijing, a new landmark of Beijing urban culture, and a core area of Chinese art with significant regional and international influence.
- 798 ArtDist is a significant symbol for Beijing urban regeneration from a productive city to a creative city. The unique factory buildings there demonstrate not only the precious industrial relics, but also witness the history of the development of PRC. The art park now has become a showcase for Chinese contemporary art and a very popular cultural art cluster. It has been listed as one of the six "Cultural and Creative Industry Areas" by the Beijing Municipal Government and one of the "1st Batch of Cultural and Creative Industry Clusters" by the Chaoyang District Government.
- As an organic combination of contemporary art, historical architecture, cultural industry and modern lifestyle, 798 ArtDist has been known as a cultural symbol derived from the art district that has a strong appeal to various professionals and the general public as well as significant influence on urban culture and living space, e.g., the living and working style represented by LOFT (also known as "798 lifestyle"). Also, as the main body, catering, tourism and commercial market gradually developed and expanded. In 2017, over 4.5 million customers visited here.

Drivers: Policy Framework and further activities

798 ArtDist is a typical case of the cultural and creative industry cluster with a combination of art, leisure, commerce, culture, and lifestyle that was formed by artists as the leading player in initial stage and then steadily developed with government support and regulations, a special bottom-up process initiated by formal professional associations and informal professional groups.

Drivers: Public Steering Approaches (Planning and Land Management, Financing)

The evolution of 798 ArtDist represents a high tendency of urban renewal in the post-industrial era. Four periods can be identified for its formation and development as following:

1990s-2003: Opportunistically Reborn

- While the Factory 798 area was facing the problem of demolition sooner or later, a **temporary use or interim use** was launched by renting the place to start-up artists as a testing phase for the transition period. This transitional time give opportunity for the place to be reborn gradually as a large-scale cluster of art studios and exhibition activities. In 2003, artists such as Huang Rui and Xu Yong initiated the "**Redesigning and Reengineering 798**" activity, which was simultaneously launched in multiple locations within 798 ArtDist, accelerating the functional transformation of the art district

and the main body of the art district. From 2004 to 2006, Huang Rui initiated the three Dashanzi Art Festival, which held exhibitions including visual arts, music, dance, drama, performance art, etc. More than 20 art spaces and studios participated, with more than 100,000 visitors, including international celebrities. Around 2005, the development of 798 ArtDist entered its heyday that as Secretary Zhang Guohua said, "Artists are reunited, and 798 has become a 'utopia' of artistic creation. Due to the increasing influence and potential commercial value of 798, including artists and arts brokers, public and social media began to support retaining the place. In 2006, Chaoyang District Government recognised the importance of 798 ArtDist, and decide to work with other stakeholders **to promote the place as a cultural innovation industry park**, 798 was then retained.

2007-2008: Regulatory normalisation and commercialisation

- During this period, the 798 ArtDist began to be valued and supported by the government. For preparations for the 2008 Beijing Olympic Games, municipal and district governments began to use a variety of interventions to help and regulate the art district into a standardised development path. By designating Beijing Fashion Design Plaza, adjacent to the 798 ArtDist, as a **city-level cultural and creative industry cluster in master plan**, the plaza and whole surrounding area, including 798 ArtDist, entered into a new stage of commercialisation.

2009 to date: revitalisation

- In 2010, the Chaoyang District Government established a **798 ArtDist Management Committee**, a special committee for taking care of the management issues for the place redevelopment. This participatory committee, composing of government officials, enterprises leaders and artist associations, brought more stable development to 798 and led 798 to return from profitability to focusing on the positioning of the artwork itself.
- The establishment of the **"798 Cultural and Creative Free Trade Zone"** will be a first step in taxation and related creative industry development policies.

Stakeholders

The following table summarises the development stages and the actors involved in each stage.

Period	Keyword	Main Actor	Major Driver
1990s-2003	Forming	The original state-owned Factory 798 (Now known as Qixing Group)	Capturing Rent
2003-2006	Bottom-up booming	Artists (Huang Rui and Xu Yong)	Art activities
2007-2008	Normalisation and commercialisation	The intervention of Beijing municipal government, Chaoyang District Government Developers of Beijing Fashion Design Square and other commercial bodies	Positioned development by intervention of governments and investors
2009 to date	Top-down Revitalisation	Chaoyang District Government; Administrative Committee of 798 ArtDist	Government led

Evaluation of aspects of socially integrative urban renewal

Objectives being reached:

- As far as the spatial process is concerned, the urban renewal process from the abandoned factory to the largest and most influential art distribution centre in the contemporary era is not only accompanied by the continuous accumulation of its internal cultural and creative industries and the development and reconstruction of space.
- At the same time, it also has a strong radiation effect on the surrounding areas. Affected by the 798 ArtDist, more than ten cultural and art parks have been formed around the 798 ArtDist, including the Distillery International Art Park, No. 1 Art District, Caochangdi Art District, Suojia Village and Feijia Art Village.

Critical issues:

- For artists, 798 ArtDist was no longer a worthless dilapidated factory building, but a lovely place full of humane spirit and creative atmosphere. However, for the factory group, the main driving force

is the rental income of the factory rental before the Factory 798 demolished. So the contradiction between the occupants and the managers begins to appear.

- As the art market was hit by the 2008 financial crisis, the development of the 798 ArtDist entered a bottleneck stage. Real estate brokers have brought a sudden increase in rents. At the same time, the excessive commercialisation of factories represented by catering, leisure, entertainment and merchants has led to a decline in the quality and attractiveness of the 798 art block. Many galleries and art institutions have to be evacuated one after another.

Table 9: Case Study Beijing 798 ArtDist (China)

(Source: compiled by authors)

Case Study Wuhan Tiandi Community (China)
<ul style="list-style-type: none"> • Settlement/Renewal Type: Heritage-based redevelopment <p>The Japanese concession area (named as Yongqing site) is located adjacent to the industrial area, with the run-down spatial landscape.</p> <ul style="list-style-type: none"> • Period of regeneration: from 2000 (ongoing) • Size: 60 ha
<p>Drivers:</p> <ul style="list-style-type: none"> • Wuhan Tiandi is located in the upper town area of Hankou CBD and within the core business circle of Wuhan's modern service industry, adjacent to Er'qi Riverside Business District. It has been an important commercial node of Wuhan, one node composing the historical fashionable concession areas. • Wuhan Tiandi has sound accessibility, which make the site a favourable place for attracting those high-end commercial and professional people from the whole Wuhan. With the recently developed (ongoing) Yangtze River New Town on its north, Wuhan Tiandi is becoming a more central place for future Wuhan. • Surrounded by Jiefang park and the Bund park, Wuhan Tiandi gains more ecological, riverside and amenity characteristics. Quality education and medical resources are also a highlight for Wuhan Tiandi. It has mobilised Qiyi Middle School relocate a branch in the community and No.2 middle school is just near. The military 161 hospital, the comprehensive Triple A hospital (the highest level in Chinese hospital classification) renowned in central China, is also near Tiandi to provide good medical service to the residents. More importantly, Tiandi is near Wuhan local government and Jiang'an district government, which is a big advantage for the commercial activities and headquarter economy. <p>→ The strategy for Tiandi includes the following objectives: high-level renewal, oriented towards international business and high-end global lifestyle, mixing commercial, residential, shopping, food and beverage, leisure and entertainment as one, multi-functional lifestyle community or urban complex, the icon/landmark of Wuhan, also an anchor to better reinforce with Hankou CBD.</p>
<p>Drivers: Policy Framework and further activities</p> <ul style="list-style-type: none"> • In 2004, the central government proposed the rise of central China, which serves as an opportunity for Wuhan to accelerate its urban transition. As the top leading city of central China, it has been an important issue for Wuhan local government to think on and implement the series of policies to make Wuhan the winner of the competitors. Therefore, urban renewal has been designated as the key leverage for enhancing Wuhan's comprehensive competitiveness and vitality. • Meanwhile, the success of Shanghai Tiandi and KIC project developed by ShuiOn group (based in Hong Kong originally and now jointly based in Shanghai) made many cities realise the fact that if the urban cultural heritage was redeveloped properly, the heritage would become the unique and irreplaceable treasure rather than burden of a city. Through learning the experience from Shanghai in doing so, Wuhan local government has decided to kick off the high-quality redevelopment campaign on its concession areas.
<p>Drivers: Public Steering Approaches (Planning and Land Management, Financing)</p> <p>Strategy</p> <ul style="list-style-type: none"> • Based on SWOT analysis (strengths, weaknesses, opportunities, and threats) and systematic research by international teams invited by Shui On group, 5 strategic thrusts for the future development of Wuhan were proposed, i.e., (1) invite first-tier teams at home and abroad to make systematic revisions to the then Jiang'an district master plan and land use positioning to reflect the functional upgrading of the Tiandi site as a world class high-end community; (2) establish a set of flexible and positive institution based on the development plan and the project implementation (participatory task-force teams for land bidding, relocation, infrastructure construction, etc.); (3) improve facility construction and

accessibility, programme various activities to enhance the inter-connectivity and interaction of Wuhan's multi-mode commercial nodes and industrial clusters; (4) develop a **Hankou Central Business District (CBD)** to attract high-valued and innovative business, finance, and professional service industry and regional headquarters; (5) publicise and make Wuhan internationally-known through all kinds of **media**. All these proposed measures are aimed at digging out the possible potential and innovative competitiveness of Wuhan and its attractiveness to high-end talent.

- Based on Wuhan's positioning and development goal, the **Strategy of Wuhan Tiandi** was proposed as a long-term strategy-oriented planning, mainly done by Development and Reform Commission (for social-economic development) and Urban Planning Bureau (for spatial development).
- The following pre-requisite conditions for the successful redevelopment of Yongqing site were identified: (1) identify further the functional positioning of **CBD** as the regional context and guidance reference for Yongqing; (2) leverage **Public-Private Partnership governance, investment and financing mode**; (3) guarantee the **accessibility** of Yongqing as planned, including metros, transit and Yangtze River Bridge; (4) **enhance road system** to improve Yongqing's accessibility with other districts and areas.

Government-Developer Cooperation

- Jiang'an district government of Wuhan city invited ShuiOn group (who was responsible for the successful redevelopment of Shikumen in Shanghai) to jointly redevelop the Japanese concession area (named as Yongqing site) as a demonstrated high-quality urban renewal project. Institutionally, supported by municipal and provincial governments by establishing a special **task-force team** in government department to help the project implementation, accordingly, Shui On also established its main branch of Shui On Wuhan.

District Master Plan

- The **master plan** for Yongqing site (SOM, an urban design company based in Boston/US) defined different **land use categories** and functional zones: Wuhan Xintiandi (commercial area of the whole community for business, shopping, leisure and F&B, including heritage buildings restored and kept), Horizon Mall, Tiandi Office for International business and regional headquarters, as well as high-end residential areas.

Development process

- The development process started with the **refurbishment of the heritage buildings**, as the anchor for the commercial area. In this renewal model, first the developer would nurture good ecological environment and cultural ambience based on the heritage value and leverage the know-how as the unique brand of the city, to anchor the investors and residents as basic consuming markets for the real estate, accompanied by some office, commercial retail development, in order to ease the huge financial burden of the previous input.
- The **city administration is responsible for providing infrastructure and facilities between redevelopment site**, while **private company is responsible for providing infrastructures within the site**.

Relocation process

- Since Yongqing site was a run-down industrial area, not too many households were required to relocate. The government was responsible for persuading all the residents relocated within the requested time of period discussed with the developer. The developer was responsible for paying all the cost during the relocation process.

Stakeholders

- Jiang'an district government of Wuhan city
- Development and Reform Commission (for social-economic development) and Urban Planning Bureau (for spatial development)
- ShuiOn group
- SOM, an urban design company based in Boston/US

Table 10: Case Study Wuhan Tiandi Community (China) (Source: compiled by authors)

Case Study Dachong urban village, Shenzhen (China)
<ul style="list-style-type: none"> • Settlement/Renewal Type: Urban village redevelopment • Period of regeneration: 1995-2005 • Size: 69 ha
<p>Drivers:</p> <ul style="list-style-type: none"> • Located in the east side of Nanshang district Hi-tech Park, 3 km away from district commercial and culture centre, 10 km away from Shenzhen city centre and 20 km away from Baoan Airport, Dachong urban village enjoys a favorable location and good accessibility. • Once being a rural area before in Shenzhen city taking place a fast urban expansion, the economy of Dachong village was dominated with traditional agriculture production and agro-processing industries. After it was enclosed into urban area through the urban expansion via establishing hi-tech zone, the village began to develop some small scaled manufacturing. • Because it's good location, the village was also becoming a hot place for attracting migrants, including many talents from the hi-tech zone. With land area 68.4 ha, the total population in Dachong village in 1994 was 29,007, of which the local hukou residents were only 1,007, accounting for just 3.4 %, while the rest population were migrants, nearly 28 times of Hukou population. <p>→ Objectives:</p> <ul style="list-style-type: none"> • raise the living standard of the village into a real urban community • enhance the land use efficiency • improve the overall eco-environment
<p>Drivers: Public Steering Approaches (Planning and Land Management, Financing)</p> <ul style="list-style-type: none"> • District government, together with village commission, launched a redevelopment project in 1995 based on the Shenzhen master plan, in which Dachong urban village was positioned as an associated service base to Shenzhen Hi-tech park and a new modern hi-end residential neighbourhood that can match with Shenzhen and hi-tech park's overall image. Accordingly, the manufacturing and agro-processing industry in the village will be relocated to the relevant industrial parks and the tertiary industry will gradually become the pillar of the village economy. • The implementation of the redevelopment project was divided into 4 phases, i.e. preparation (based on city master planning, launch awareness-raising programme to collect the information of residents involved and their opinion for the redevelopment), relocation (based on the specific agreement with each household, implementing relocation to clear the land), banking (record the land in the land banking system for land bidding) and redevelopment (implementing land bidding, who win the bidding, who is then responsible for the redevelopment) stages. The overall timeline for the redevelopment will be 3 to 5 years. The redevelopment plan and design was through a bidding process and integrated by the winner as the final version. • The total land area for redevelopment was 685,000 sqm, and the total floor area will be 1.3 million sqm after the redevelopment. The redevelopment was carried out through a Public-Private-Partnership approach with initiation and monitoring by government, preparation and relocation by village commission and local residents, and development implementation by a shareholding model (each household has its own shareholding in the project, the profit distribution of the project will be based on the shareholding). • The negotiated compensation standard for relocation was 11,000 yuan per sqm if in cash or if villager prefer, they can also swop their old house with flat in the new buildings at the exchange rate 1 to 1 in floor area.

Stakeholders <ul style="list-style-type: none"> • District government • Village commission • Households
Evaluation of aspects of socially integrative urban renewal Objectives being reached: <ul style="list-style-type: none"> • Dachong urban village redevelopment was very successful, by 2005 when the most implementation in place with various buildings 1400 and floor area 900,000 sqm, the total population in the community reached more than 50,000, of which hukou population 1030. The overall floor area ratio (FAR) was 2.71 with nearly 1/3 of land kept as green area. Dachong urban village became a well-known case and good urban renewal practice in China.

Table 11: Case Study Dachong urban village, Shenzhen (China)

(Source: compiled by authors)

Characteristics Socially Integrative Cities	Dresden, Germany	Copenhagen, Denmark	London, Hartlepool UK
Collaborative urban planning and design			
Reducing urban sprawl, promoting well-balanced land conversion and appropriate access to urban land	NOT APPLICABLE IN URBAN RENEWAL AREAS (Renewal in general promotes inward development, using brownfields and enhances inner city areas, all measures that support reducing urban sprawl)		
Involving stakeholders in planning and participative design on the different politico-administrative levels	<ul style="list-style-type: none"> • Renewal concept with public participation incl. Social Plan; • IUDC (Integrated Urban Development Concept) • Public regulatory measures 	<ul style="list-style-type: none"> • Kvarterplan • Programme implementation agreement 	<ul style="list-style-type: none"> • Delivery plan (strategic plan) • NDC Partnership Board • Theme groups • Partnerships with key service providers in the area • Community Housing Plan
Urban Environment			
Improving environment and living conditions in urban areas for all	<ul style="list-style-type: none"> • Renewal concept • IUDC (Integrated Urban Development Concept) • implementation of measures in the public space and in public infrastructure funded by public subsidies • purchase of private plots by the municipality • informal green space and brownfield concept • temporary public green spaces on private plots based on public-private contracts (licence agreements) • Public regulatory measures 	<ul style="list-style-type: none"> • Kvarterplan • Programme implementation agreement • Public purchase or lease of land 	<ul style="list-style-type: none"> • Delivery plan (strategic plan) • Conducting physical environment enhancement measures like refurbishing public green space and playgrounds or paving and lighting of streets • Community Housing Plan
Upgrading the physical environment	<ul style="list-style-type: none"> • Renewal concept • National heritage preservation code • Public subsidies to safeguard the houses from ongoing damaging by public efforts; • Public subsidies to enable and support private real estate owners in retrofitting; • Public regulatory measures • Extraordinary depreciation 	<ul style="list-style-type: none"> • Danish building regulation 	<ul style="list-style-type: none"> • Delivery plan (strategic plan) • Conducting physical environment enhancement measures like refurbishing public green space and playgrounds or paving and lighting of streets • Definition of conservation areas under planning legislation • Community Housing Plan
Promoting efficient and affordable transportation	<ul style="list-style-type: none"> • Renewal concept 		<ul style="list-style-type: none"> • Delivery plan (strategic plan)
Assuring equal access to municipal services	<ul style="list-style-type: none"> • Public Purchase 	<ul style="list-style-type: none"> • Kvarterløft project secretariat • Kvarterforum 	<ul style="list-style-type: none"> • Complementary Health Offered in the Community for Everyone

			<ul style="list-style-type: none"> Partnerships with key service providers in the area
Local Economy and markets			
Strengthening the local economy and labour market	<ul style="list-style-type: none"> public subsidies to enable and support private real estate owners in retrofitting also space for offices, retail and commerce; Subsidies for the economic development and strengthening of local retail and commerce (organisation of events, lighting, exhibitions, excursions) 	<ul style="list-style-type: none"> Kista job matching model (adopted from Sweden) 	<ul style="list-style-type: none"> Delivery plan (strategic plan) Economic opportunity measures (Job Networking, Business Grants, Employment and Enterprise Agency)
Strengthening innovation (technical and social) in cities and neighbourhoods	-	-	-
Social Development and social capital			
Fostering proactive education and training policies for children and young people in disadvantaged neighbourhoods	<ul style="list-style-type: none"> Public subsidies for urban regeneration for local projects and initiatives 	<ul style="list-style-type: none"> Magnet school concept 	<ul style="list-style-type: none"> Capacity building measures (Family Learning, youth centre)
Preserving cultural heritage and fostering the identity of neighbourhoods	<ul style="list-style-type: none"> Renewal concept National heritage preservation code 	<ul style="list-style-type: none"> Image campaigns 	<ul style="list-style-type: none"> Definition of conservation areas under planning legislation Marketing and communications strategy
Fostering social capital and engagement of local stakeholders	<ul style="list-style-type: none"> Renewal concept with public participation Public subsidies for urban regeneration for local projects and initiatives 	<ul style="list-style-type: none"> Image campaigns; Integrative leisure activities (e.g. intercultural cooking); Kvarterløft project secretariat Kvarterforum PLPP – Public, Local and Private Partnership Mainstreaming 	<ul style="list-style-type: none"> Delivery plan (strategic plan) Participation in all strategic plans Steering boards and theme groups Capacity building
Institutional development and urban finance			
Supporting adequate institutional and urban financial mechanisms.	<ul style="list-style-type: none"> National subsidies (National Framework of “urban development assistance programmes for sustainable urban development structures”) Public value capturing 	<ul style="list-style-type: none"> Kvarterløft subsidy system as a whole Mainstreaming 	<ul style="list-style-type: none"> New Deal for Communities; Mainstreaming (transformation of NDC’s into trusts)

Table 12: European good practices on urban renewal areas. Spatial planning and land management tools contributing to social integration.

Source: compiled by the authors according to the characteristics of socially integrative cities identified by TRANS-URBAN-EU-CHINA 2019b.

Characteristics	Beijing 798 ArtDist	Wuhan Tiandi	Dachong, Shengzhen
Socially Integrative Cities			
Collaborative urban planning and design			
Reducing urban sprawl, promoting well-balanced land conversion and appropriate access to urban land	NOT APPLICABLE IN URBAN RENEWAL AREAS (Renewal in general promotes inward development, using brownfields and enhances inner city areas, all measures that support reducing urban sprawl)		
Involving stakeholders in planning and participative design on the different politico-administrative levels	<ul style="list-style-type: none"> 798 ArtDist Management Committee (established by government) 	<ul style="list-style-type: none"> Strategy of Wuhan Tiandi Task-force team (government-developer cooperation) 	<ul style="list-style-type: none"> awareness-raising programme Public-Private-Partnership Shareholding model
Urban Environment			
Improving environment and living conditions in urban areas for all		<ul style="list-style-type: none"> Strategy of Wuhan Tiandi District master plan Task-force team (government-developer cooperation) Providing infrastructure by private and municipal investment 	<ul style="list-style-type: none"> Shengzhen master plan Redevelopment project
Upgrading the physical environment	<ul style="list-style-type: none"> temporary use/interim use 	<ul style="list-style-type: none"> Strategy of Wuhan Tiandi District master plan refurbishment of the heritage buildings Task-force team (government-developer cooperation) Providing infrastructure by private and municipal investment Relocation 	<ul style="list-style-type: none"> Shengzhen master plan Redevelopment project relocation
Promoting efficient and affordable transportation		<ul style="list-style-type: none"> Strategy of Wuhan Tiandi District master plan for land use Task-force team (government-developer cooperation) 	
Assuring equal access to municipal services		<ul style="list-style-type: none"> Providing infrastructure by private and municipal investment 	
Local Economy and markets			
Strengthening the local economy and labour market	<ul style="list-style-type: none"> Labelling (cultural innovation industry park) temporary use or interim use master plan (city-level cultural and creative industry cluster) 798 Cultural and Creative Free Trade Zone 	<ul style="list-style-type: none"> Strategy of Wuhan Tiandi Central Business District District master plan 	<ul style="list-style-type: none"> Redevelopment project

Strengthening innovation (technical and social) in cities and neighbourhoods	<ul style="list-style-type: none"> • Labelling (cultural innovation industry park, Re-designing and Reengineering 798) • temporary use or interim use • master plan (city-level cultural and creative industry cluster) 		
Social Development and social capital			
Fostering proactive education and training policies for children and young people in disadvantaged neighbourhoods	-	-	-
Preserving cultural heritage and fostering the identity of neighbourhoods	<ul style="list-style-type: none"> • Labelling (cultural innovation industry park; Re-designing and Reengineering 798) • temporary use or interim use 	<ul style="list-style-type: none"> • District master plan • Refurbishment of the heritage buildings 	
Fostering social capital and engagement of local stakeholders	<ul style="list-style-type: none"> • 798 ArtDist Management Committee (established by government) • temporary use or interim use • Redesigning and Reengineering 798 		<ul style="list-style-type: none"> • Awareness-raising programme • Public-Private-Partnership
Institutional development and urban finance			
Supporting adequate institutional and urban financial mechanisms.	<ul style="list-style-type: none"> • 798 Cultural and Creative Free Trade Zone 	<ul style="list-style-type: none"> • Task-force team (government-developer cooperation) • Public-Private Partnership governance, investment and financing mode 	<ul style="list-style-type: none"> • Public-Private-Partnership • Shareholding model • Bidding process

Table 13: Chinese good practices on urban renewal areas. Spatial planning and land management tools contributing to social integration.

Source: compiled by the authors according to the characteristics of socially integrative cities identified by TRANS-URBAN-EU-CHINA 2019b.

8.2 MATERIAL: CASE STUDIES OF URBAN EXPANSION

Author	Title	Cases
URBED (2018)	Learning for international examples of affordable housing	Vienna, Singapore, Copenhagen, Freiburg, Amersfoort, Eindhoven, Rotterdam, Montpellier, Bilbao, Zurich
Bayulken and Huisinigh (2015)	Are lessons from eco-towns helping planners make more effective progress in transforming cities into sustainable urban systems: a literature review	Heerhugowaard & Nieuwlandm, Amersfoort; Augusterborg, Malmo; Hammarby Sjöstad, Stockholm; Vauban & Rieselfeld, Freiburg, Kronsberg, Hannover
Falk (2015)	Creating healthier, smarter places, learning from European cities	Vathorst, Houten, Almere
UN-Habitat (2015)	Planned City Extensions: Analysis of Historical Examples	Manhattan; Barcelona; Savannah; Back Bay; Bahir Dar; Villa El Salvador; Tel Aviv, Ouagandougou; Aranya; Mariano Melgar
Hall (2014)a	Good cities, Better lives. How Europe Discovered the Lost Art of Urbanism	Stockholm, Copenhagen, Malmo, Baden, Alsace, Basel, Amsterdam, Utrecht, Rotterdam, The Hague, Delft, Leiden, Strasbourg, Grenoble, Montpellier and Lille.
Hicks and Kuhndt (2013)	Emergent futures? Signpost to sustainable living in Europe and pathways to scale	Adamstown; Vathorst, Nieuwland and Kattenbroek, Rieselfeld & Vauban; HafenCity; Kronsberg; Hammarby Sjöstad
Adams and Tiesdell (2013)	Shaping places. Urban planning, design and development	Belfast, Ireland; Upton, Northampton; Dundee city Centre, Scotland; Leeds, England
URBED (2012)	Study tour to Dutch New Communities	Houten, Vathorst, Nieuwland, Almere
The Scottish Government (2010)	Delivering better places in Scotland	Vauban, Upton, Newhall, Ljburg, Hammarby-Sjöstad, Britannia Basin, Allerton Bywater, Adamstown
URBED (2008a)	Beyond Eco-towns. Applying the Lessons from Europe. Report and Conclusions	Adamstown; Vathorst, Nieuwland and Kattenbroek, Rieselfeld & Vauban; HafenCity; Kronsberg; Hammarby Sjöstad
URBED (2008b)	Eco-towns: Learning from International Experience. Appendix – Case Studies	Adamstown; Vathorst, Nieuwland and Kattenbroek, Rieselfeld & Vauban; HafenCity; Kronsberg ; Hammarby Sjöstad
Falk (2008a)	Beyond Eco-towns. The Economic issues	Adamstown; Vathorst, Nieuwland and Kattenbroek, Rieselfeld & Vauban; HafenCity; Kronsberg; Hammarby Sjöstad
Falk (2008c)	New Communities - Looking and Learning from Dutch Experience	Amsterdam & Borneo Island; Vathorst, Amersfoort; De Buitenkans, Almere; Ecolonia, Alphen aan den Rijn
TCPA (2007)	Best practice in urban extensions and New settlements	Dickens Heath, Solihull; Upton, Northampton; Newcastle Great Park; Hampton, Peterborough; South Woodham Ferrers, Essex; Caterham Barracks, Surrey
Department for Communities and Local Government (2006)	Transferable lessons from the New Towns	32 UK New Towns (1946-1970): 21 in England, 2 in Wales, 5 in Scotland and 4 in Northern Ireland

Table 14: Literature on good practices on urban expansion projects.

Source: compiled by the authors

Characteristic	Rieselfeld, Freiburg	Upton, Northampton	Vathorst, Amersfoort
Main Feature	Energy scheme Block subdivision Rainwater concept Participatory planning.	Design code Engagement through Enquiry by Design Sustainable Urban Drainage System.	
Area (Hectares)	320 70 (urban area) 250 (nature conservation)	44 (first phase)	560
Landowner	Old sewage field of the City of Freiburg.	Inherited' by English Partnership from Northampton New Town Development Corporation.	Land originally owned by farmers and sold off to developers and the municipality.
Dwellings (No)	4,200	1,350 (first phase). Two further phases 2,500 and 1,100.	11,000
Residents (No)	10,000 – 12,000	5,536	30,000
Social housing (%)	unavailable	A minimum of 22	30-45
Housing density (dpj - dwelling/h)	40 – 50	Parcel density 52 dph (35 dph gross density across the whole site).	44 dph average
Approval year	Unknown	2003	2001
Date start on site	1993	2004	2002
First handovers (Year)	By 2007 over 7,650 residents had moved in	2005	Unclear
Completed (Year)	2010	2007 (first phase)	2018
Funder infrastructure	Bank loan funded out of land sale.	.	Public bank
Champion	Planning Department, City of Freiburg.	English Partnerships.	VINEX programme, local authority and the Development Company for Vathorst (OBV).

Table 15: Main characteristics of European good practice projects on urban expansion.

Source: compiled by the authors

Characteristic	Leasehold Housing Project, Beijing	North Gongkang, Shanghai	Rong Hua Shang Lin, Chengdu
Main Feature	New districts driven type Innovation in land supply. Public rental housing community. Participatory planning.	Urban infill. Mixed residential area. Public-Private Partnership. Solar energy.	Traffic incentive development mixed residential area Participatory planning Energy-saving design
Area (Hectares)	5.9	56.59	20.47
Landowner	Dongbutou Village Economic Cooperative	State	State
Dwellings (No)	2772	7142	4939
Residents (No)	7762	25000	14000-15000
Social housing (%)	100	59.40	40
Housing density (dwelling/h)	50	30	40
Building volume rate ³¹	3.13	2.00	2.77
Approval year	2012	2008	2007
Date start on site	2013	2009	2008
First handovers (Year)	2015	2011	2011
Completed (Year)	2015	Affordable housing and resettlement housing were completed in 2014 and commercial housing in 2018	2014
Funder infrastructure	Local government	Local government	Local government
Champion	Dongbutou Village Economic Cooperative	Public-private partner (Shanghai Kang De Li Real Estate Management co., LTD and local town government)	Chengdu XinChenghua Old City Development Investment Co.,Ltd.

Table 16: Main characteristics of Chinese good practice projects on urban expansion.

Source: compiled by the authors

³¹ Building volume rate = Total floor area/Land area of the construction project

Characteristics	Rieselfeld	Upton	Vathorst
Socially Integrative Cities	Freiburg, Germany	Northampton, England	Amersfoort, Holland
Collaborative urban planning and design			
Reducing urban sprawl, promoting well-balanced land conversion and appropriate access to urban land	<ul style="list-style-type: none"> Local strategic plan (urban plan) Regional subsidies (soil recovery) Local scheme (affordable housing) 	<ul style="list-style-type: none"> Regional strategic plan (housing plan) Regional land planning guidelines National Master plan (regeneration agency) National subsidies (housing trust) Citizen's cooperation (board of trustees) 	<ul style="list-style-type: none"> Strategic national plan (housing plan) National subsidies (soil recovery) Public-Private Partnership (Joint venture company) Local scheme (affordable housing)
Involving stakeholders in planning and participative design on the different politico-administrative levels	<ul style="list-style-type: none"> Citizen's cooperation (city and developers) Citizen's consultation (design principles) Public private partnership (city administration and developers) 	<ul style="list-style-type: none"> Citizen's cooperation (among public agencies) Citizen's cooperation (among public, private and residents) Citizen's participation (enquire by design) 	<ul style="list-style-type: none"> Citizen's consultation (design principles) Public private partnership (development agency) Urban development contract (design by contracting)
Urban Environment			
Improving environment and living conditions in urban areas for all	<ul style="list-style-type: none"> Citizen's consultation (land use) Municipal resolution (design principles and monitoring) Citizen's consultation (residential satisfaction) Regional subsidies (soil recovery) Master plan (design principles) Energy reduction strategy Master plan (Rainwater integrated strategy) 	<ul style="list-style-type: none"> Master plan and design (environmental standards) Master plan (Rainwater integrated strategy (SUD)) 	<ul style="list-style-type: none"> Citizen's consultation (design principles) Master plan (design principles and monitoring) Citizens' consultation (residential satisfaction) National subsidies (soil recovery)
Upgrading the physical environment	<ul style="list-style-type: none"> Regional subsidies (soil recovery) 		<ul style="list-style-type: none"> National subsidies (soil recovery)
Promoting efficient and affordable transportation	<ul style="list-style-type: none"> Local plan (public transportation) 	<ul style="list-style-type: none"> Public partnership (public transportation) 	<ul style="list-style-type: none"> Local plan (public transportation)
Assuring equal access to municipal services	<ul style="list-style-type: none"> Citizen's consultation (women, handicapped and elderly) Master plan (Integrated infrastructure since project started) 		<ul style="list-style-type: none"> Master plan (inclusive design)
Local Economy and markets			
Strengthening the local economy and labour market	<ul style="list-style-type: none"> Local retail concept (close to costumers and integrated) Local trade association (annual events) Real estate strategy (subsidies for low cost housing) 		<ul style="list-style-type: none"> Master plan (industrial zone) Living lab (connecting education with labour market) Regional subsidies (living lab)

Strengthening innovation (technical and social) in cities and neighbourhoods	<ul style="list-style-type: none"> Local development strategy (different investors) Energy reduction strategy Rainwater integrated strategy 	<ul style="list-style-type: none"> Master plan (enquire by design) Rainwater integrated strategy (SUD) Image building (showcase renewable technologies) 	<ul style="list-style-type: none"> Master Plan (design concept)
Social Development and social capital			
Fostering proactive education and training policies for children and young people in disadvantages neighbourhoods	NOT APPLICABLE IN URBAN EXPANSION AREAS		
Preserving cultural heritage and fostering the identity of neighbourhoods	<ul style="list-style-type: none"> Citizen's cooperation (early involvement) Image building (running and local events) Local development strategy (different housing design) 	<ul style="list-style-type: none"> Planning design (local code) 	<ul style="list-style-type: none"> Master plan (incorporation old village) Image building (identity symbol)
Fostering social capital and engagement of local stakeholders	<ul style="list-style-type: none"> Integrated community development (church, newspaper, information centre) Design principles (shared courtyards) 	<ul style="list-style-type: none"> Integrated community development (meeting halls, interpretation centre, office space, nursery) Citizen's participation (enquire by design) 	<ul style="list-style-type: none"> Integrated community development (information centre) Image building (inviting artists)
Institutional development and urban finance			
Supporting adequate institutional and urban financial mechanisms.	Financing without subsidies (private loan)	<ul style="list-style-type: none"> Corporation for urban development 	<ul style="list-style-type: none"> Corporation for urban development

Table 17: European good practices on urban expansion areas. Spatial planning and land management tools contributing to social integration.

Source: compiled by the authors according to the characteristics of socially integrative cities identified by TRANS-URBAN-EU-CHINA 2019b.

Characteristics Socially Integrative Cities	Leasehold Housing Pro- ject, Beijing	North Gongkang, Shang- hai	Rong Hua Shang Lin, Chengdu
Collaborative urban planning and design			
Reducing urban sprawl, promoting well-balanced land conversion and appropriate access to urban land	<ul style="list-style-type: none"> Using collective construction land Local scheme (Public rental housing) Rental housing allocation priority evaluation 	<ul style="list-style-type: none"> Urban land use policy Master plan (Land use) Regulatory detail planning Mixed land use (affordable housing) 	<ul style="list-style-type: none"> Master plan (High-level planning basis) Strategic planning in district level
Involving stakeholders in planning and participative design on the different politico-administrative levels	<ul style="list-style-type: none"> Announcement and publicity Inquiry of residents' opinions Equity companies of local households 	<ul style="list-style-type: none"> Announcement and publicity Online discussion 	<ul style="list-style-type: none"> Message Board for Local Leaders (Online demand investigation) Citizen's opinion (early involvement) Demolition mobilisation meeting Planning announcement
Urban Environment			
Improving environment and living conditions in urban areas for all	<ul style="list-style-type: none"> Land supply innovation Multi-objective approach (Project positioning and site planning) Safeguard the most in need (wooden barrel principle) 	<ul style="list-style-type: none"> Higher proportion of affordable housing (59.4%) Diversified housing development Fair design principle (Site plan) Sunshine Map (Special Planning for Outdoor Space) 	<ul style="list-style-type: none"> Water recovery and utilisation system Organic waste ecological treatment Balance between socio-economic and environmental benefits
Upgrading the physical environment	<ul style="list-style-type: none"> Supporting plans for infrastructure 	<ul style="list-style-type: none"> Better infrastructure Regular environmental maintenance 	<ul style="list-style-type: none"> Upgrading of infrastructure Water reuse Organic waste ecological treatment
Promoting efficient and affordable transportation	<ul style="list-style-type: none"> Master plan (public transportation) Urban transportation policy 	<ul style="list-style-type: none"> Master plan (public transportation) Combination of working and residential area Urban transportation policy 	<ul style="list-style-type: none"> Combination of working and residential area Master plan (public transportation)
Assuring equal access to municipal services	<ul style="list-style-type: none"> Unified municipal planning Inquiry of residents' opinions 	<ul style="list-style-type: none"> Unified municipal planning Design principle (principle of fairness) 	<ul style="list-style-type: none"> Full coverage of service scope (Planning principles) Unified municipal planning standards

Characteristics Socially Integrative Cities	Leasehold Housing Pro- ject, Beijing	North Gongkang, Shang- hai	Rong Hua Shang Lin, Chengdu
Local Economy and markets			
Strengthening the lo- cal economy and la- bour market	<ul style="list-style-type: none"> • Small community busi- ness • Community logistics service • Community financial service • Provide entrepreneurial space 	<ul style="list-style-type: none"> • Supporting commercial facilities • Entertainment and ser- vice facilities • Community logistics service • Community financial service 	<ul style="list-style-type: none"> • Supporting commercial facilities • Small family-run shops • Places of entertainment and leisure
Strengthening inno- vation (technical and social) in cities and neighbourhoods	<ul style="list-style-type: none"> • Introduce high-tech service facilities • Innovation and entre- preneurship incubation • Provide space for infor- mal communication 		<ul style="list-style-type: none"> • Master Plan (design concept) • Talent housing policy
Social Development and social capital			
Fostering proactive education and train- ing policies for chil- dren and young peo- ple in disadvantages neighbourhoods	NOT APPLICABLE IN URBAN EXPANSION AREAS		
Preserving cultural heritage and foster- ing the identity of neighbourhoods	<ul style="list-style-type: none"> • Citizen's cooperation (early involvement) • Promote informal com- munication 	<ul style="list-style-type: none"> • Homogeneous neigh- bourhoods in mixed community (develop- ment strategy) 	<ul style="list-style-type: none"> • Heritage resources in- tegration • Heritage protection sys- tem • Common environment experience
Fostering social capi- tal and engagement of local stakeholders	<ul style="list-style-type: none"> • Equity companies of lo- cal households • Design principles (Com- munication space) 	<ul style="list-style-type: none"> • Public-private partner- ship (Companies and lo- cal governments) 	<ul style="list-style-type: none"> • Social capital participa- tion
Institutional development and urban finance			
Supporting adequate institutional and ur- ban financial mecha- nisms.	<ul style="list-style-type: none"> • Village collective eco- nomic cooperative fi- nancing 	<ul style="list-style-type: none"> • Financial mechanisms innovation (Public-pri- vate partnership) 	<ul style="list-style-type: none"> • Urban development of- fice • Corporation for urban development

Table 18: Chinese good practices on urban expansion areas. Spatial planning and land management tools contributing to social integration.

Source: compiled by the authors according to the characteristics of socially integrative cities identified by TRANS-URBAN-EU-CHINA 2019b.

8.3 GLOSSARY OF EUROPEAN LAND MANAGEMENT INSTRUMENTS

1. Legal Instruments

8.3.1 Planning instruments

Formal Plans: The function of urban land-use planning is to prepare and manage the structural and other use of land in the municipality (Healey and William 1993; Silva and Acheampong 2015, 12-19).

- Zoning plan with general regulations that applies to the whole municipal territory and
- Binding land-use plan with a detailed plan for individual parts of the municipal territory (Silva and Acheampong 2015, 18)

8.3.2 Land banking

Pre-emptive right: Person A and person B conclude a sales contract (persons could also be companies or municipalities). The pre-emptive right allows the municipality to take the place of the buyer. The agreements of the contract continue to apply (Kaiser et al. 2016, 53; Wirth and Wolff 2012, 57).

Public interim purchase: The municipality is first a buyer and then a supplier on the municipal land market. At an early phase, the city buys low-cost, mainly agricultural land near the city develops the land and sells it as building land for commercial and residential purposes. Sometimes, arable land is held for years before development (Alterman 2012, 764).

Public purchase: An early and strategic land supply (purchase of land) offers the municipalities scope for action. They are independent and can mobilise and realise the areas according to their goals and ideas. Cities which today have tight markets but bought land early on are now profiting from the results.

8.3.3 Development instruments

Expropriation: Is the removal of property rights by the State and is permissible only in the public interest. The land is reused for common goods afterward. The owner receives monetary compensation, but it can also be paid in another plot of land in equivalent location (ECHR 1952, 33; Council for the Environment and Infrastructure 2017, 19-22).

Reallocation (public): The redistribution of land is intended to create land that is suitable for buildings or other uses in terms of location, shape and size. The aim of this procedure is to reorganise or extend certain areas of both developed and undeveloped land (Council for the Environment and Infrastructure 2017, 5).

Urban contract: A contract between municipalities and third parties. Contracts include preparation and implementation of urban development measures or other agreements. An important part of urban contracts is the height of transferable costs from municipality to a developer. Signing the contract is a condition for the development of the plot (Hendricks et al. 2017, 266).

2. Financial instruments

8.3.4 Financial Incentives

Subsidies: Subsidies include the financial support of individual households or persons or the financial support for the construction of new living space/affordable housing (e.g. European Social Fund). The financial support for new living spaces is mostly important for cities with a rise of population and a reduction of the vacancy rate (Silva and Acheampong 2015, 23).

8.3.5 Financial involvement

Cost sharing: Responsibility for the provision of the necessary infrastructure (technical infrastructure such as roads and utilities, electricity, water, sewage or social infrastructure such as playgrounds, kindergartens, and schools) rests in general with the municipality, but the responsibility can be transferred to the developer (height is a result of negotiation and will be manifested in an urban contract; developer paid for technical and/or social infrastructure).

Charges/fees: Furthermore, this financial burden on municipalities could be eased by service connection charges payable by property owners to share the cost of land improvement for initial provision, particularly of vehicular and pedestrian infrastructure (roads, pathways, squares). (Silva and Acheampong 2015, 22-23)

Taxes: Tax on the purchase of a plot of land, house or apartment that the buyer has to pay to the government.

- Land value tax - Tax on pure land rents (if quality of land is exogenous to landowner)
- Unit tax - Tax on pure land rents (tax higher than the land rent is possible)
- Property tax - Tax on part of pure land rents plus tax on structures (buildings); equal share.
- Split rate tax - Tax on part of pure land rents plus tax on structures (buildings); equal or different shares.
- Stamp tax and transaction taxes - Transactions of property - land and structures (buildings).
No direct land rent taxation

(Council for the Environment and Infrastructure 2017, 10; Hendricks et al. 2017, 260-263).

3. Voluntary instruments

8.3.6 Planning instruments

Informal plans: Informal planning is more flexible and can be focused on special issues or for the participation of special groups. Citizens, certain groups or interest groups are participating in the development of guidelines and concepts. It is no alternative for formal land-use planning with legal procedures but a good supplement (ARL 2019; Meijer 2018).

- Urban planning models
- Development of planning concepts
- Examination of the feasibility of individual projects

8.3.7 Participation instruments

Citizen participation: Participation is the involvement of citizens in the planning process. There are different levels of participation (Bertelsmann Stiftung 2018, 7).

- Inform - Participants receive information about the planning or decision.
- Consult - Participants can comment on a question or draft
- Cooperate - Participants can participate in the decision-making process

Public-Private-Partnership: Is the organised cooperation between institutions and persons from various areas of the public and private sectors. The purpose of such partnerships is the joint work on

urban development and regional development functions that none of the parties involved can handle alone and which are of benefit to all concerned (Schaeffer and Loveridge 2001).

- Informal cooperation between local government executives
- Cooperation under contract³²
- Quasi-public enterprises (especially in the utility sector)

(Hodge and Greve 2007; Schaeffer and Loveridge 2001)

8.3.8 Negotiation

Private reallocation: Voluntary reallocation is a private purchase or exchange. In contrast to public reallocation, both parties are on an equal level. There is no legal basis for a subordination relationship (German example, Building Code).

Private transaction: Voluntary transaction is a private purchase of land or real estate and both parties are on an equal level (German example, Private law regulations).

8.3.9 Land banking

Private interim purchase: Like public interim purchase, but a private developer buys the land, develops and sells it. Costs, risk but also benefit lies with the developer (Alterman 2012. 764).

³² The most frequent form of PPP is a cooperative arrangement regulated by contract.