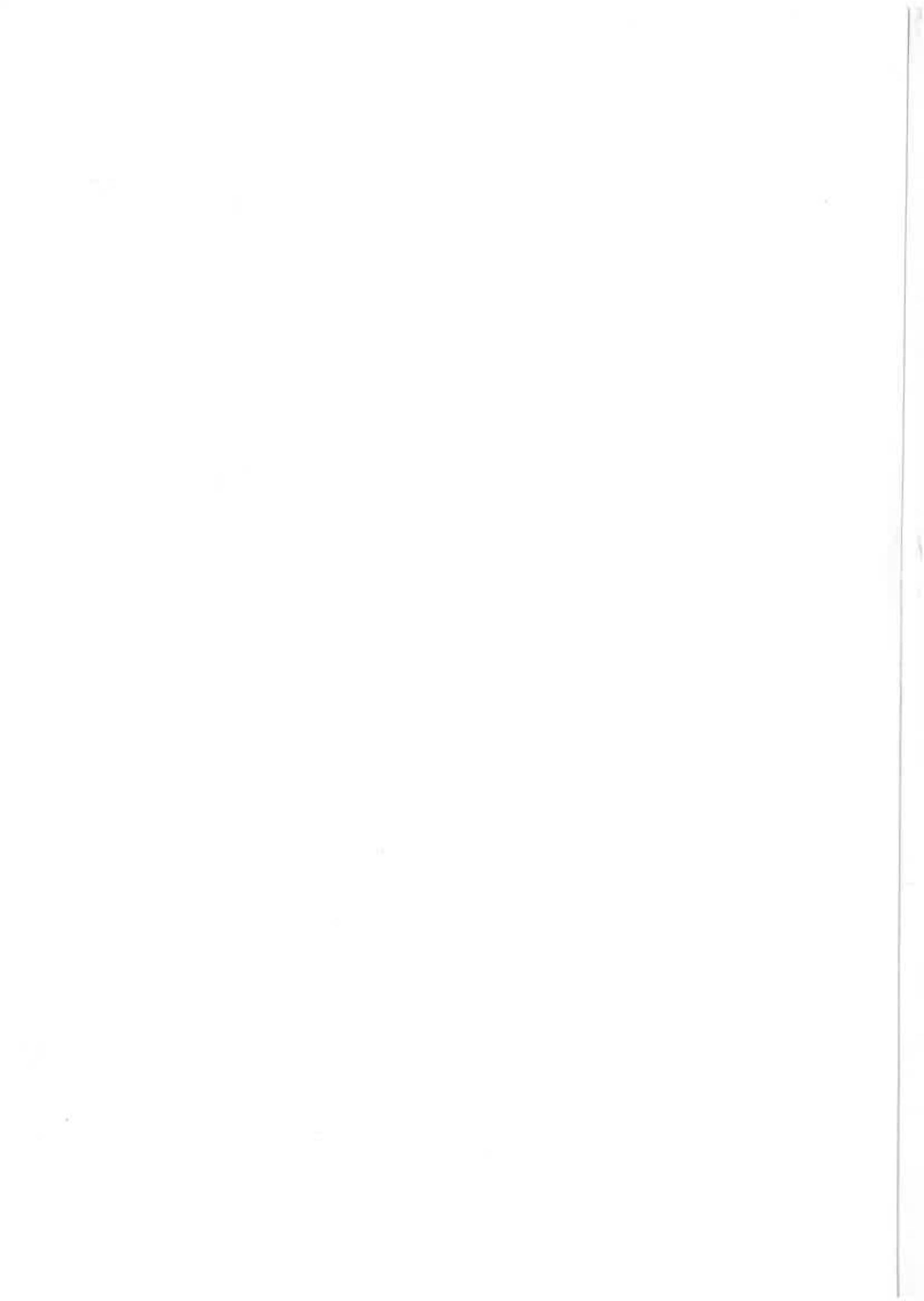


# **Human Settlements Development and Policy**

National Report Germany HABITAT II 



## Preface



The global impacts of progressive urbanisation in the world and the serious housing shortage that still exists in many countries moved the General Assembly of the United Nations to adopt a resolution at its 47th session in 1992 to hold the next World Settlement Conference in Istanbul in 1996, the last one having been held in Vancouver in 1976.

All nations were called upon to prepare reports on the housing and settlement situation in their countries and, in this way, to render account to themselves as well as to others regarding this vital issue of human living conditions.

The German National Report on HABITAT II fulfils this task. Through a sometimes controversial assessment by the various social groups, it draws an objective picture of the current status of settlement development in Germany, without leaving out the problems that clearly exist.

However, the National Report also reflects the internationally acknowledged successes that have been achieved by Germany in the fields of housing, urban development and regional planning in recent decades.

Through a policy pursued since the 1970s and aimed at promoting urban renewal and thus preserving small and medium-sized cities, the basic principle of sustainable development was already adhered to before the term 'sustainability' had even become a subject of general discussion.

On the other hand, there are also trends towards urban sprawl in Germany and consequently towards inappropriate use of natural resources as well as other environmentally damaging developments. So there is a very clear need for a breakthrough in instituting the principle of sustainable regional and settlement development through wise political decisions and awareness-promoting measures. The National Report is therefore directed at a national audience as well as the rest of the world.

It is intended as a basis for discussion on how to solve existing problems and as an impetus for new approaches to urban development that comply with the principle of sustainability and demand responsibility from the whole society.

I would like to thank the German National Committee for HABITAT II, in which the Laender, the communes as well as social institutions and major non-governmental organisations are represented. It has contributed to the quality of this report through its numerous suggestions and ideas.

It is my hope and wish that the National Report will reach a wide audience and, in doing so, clearly point out the responsibility borne by all those involved in the planning and implementation of building measures, given the crucial influence of such measures on environmental protection in their own country as well as on a global scale.

A handwritten signature in black ink, appearing to read 'K. Töpfer', with a horizontal line above it.

Prof. Dr. Klaus Töpfer, Member of the Bundestag  
Federal Minister for Regional Planning, Building and Urban Development



**Communication  
of the Federal Government**

**Human Settlements Development and Policy  
National Report Germany (HABITAT II)**

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## Introduction

Habitat II is a world conference convened by the General Assembly of the United Nations on questions of human settlements. It will be held in Istanbul, Turkey, in June 1996, twenty years after the first World Conference in 1976 in Vancouver, Canada (Habitat I). The UN General Assembly has defined "Adequate Shelter for All" and "Sustainable Human Settlements Development in an Urbanising World" as the themes for Habitat II. The focal points of the conference are therefore the cities and the urbanisation process to be observed worldwide.

The challenges have increased dramatically since Vancouver. The world population is growing daily by more than 250,000 people. The efforts to date are not sufficient to ensure a general minimum subsistence. The percentage of people living in cities is growing at the same time. In Europe and America, three-quarters of the people already live in cities. By the year 2005, according to forecasts, half the people will be living in cities. The city will thus also become the dominating living space even in the Third World.

Production of goods, turnover of energy and materials and transport services are concentrated in the cities. It is undisputed that the cities bear not only responsibility for their local environmental situation, but also increasingly for the global ecological problems. The consequences of an economic and prosperity growth - for example the growing consumption of free land for settlement purposes and the increasing demand for mobility - find their spatial expression in the cities. The cities are the place where the problems of resource-consuming and environment polluting ways of life and economic forms which threaten the natural resources and ecosystems worldwide can be felt most clearly and most insistently. The chances of a global policy for sustainable development are thus decided in the cities.

Habitat II aims to draw attention to the fact that the urbanisation process causes problems, but at the same time offers opportunities to durably improve the living and environmental conditions of the people. The German Federal government is taking up this challenge. Germany, like the other signatory states to Agenda 21 of the Rio Conference on environment and development, has committed itself to pursuing the goal of a sustainable development in its settlements policy and also to promote this in the European framework. As part of the rich industrialised society, Germany bears a particular responsibility to initiate sustainable development; many causes of the worldwide ecological problems emanate from the industrialised countries. For example, one quarter of all the people who live in the rich industrialised countries consume three-quarters of all the primary energy.

In preparing the UN World Conference, Habitat II, the German Federal government sees the chance to define the role played by the cities in the global ecological equilibrium and to demonstrate this using practical measures. Projects and attempts at solutions on the basis of the "best practice" are presented. This national report informs on how settlement policy is understood and practised in Germany in order to sustainably improve the living and environmental

conditions for the people. The report attempts to provide a comprehensible presentation even for non-specialists and for foreign readers not familiar with the situation in Germany. This explains the basic and simplistic statements made in the report in some cases.

The report has five parts: The first part, "Principles of the settlement policy in Germany", starts by giving a survey of what is understood in Germany in the mid-90s by settlement policy and on which institutional and financial principles it is based.

In the second part, "Settlement system and settlement development", the report draws an up-to-date picture of the settlement system and settlement development on the basis of various indicators. The presentation focuses on aspects of environmental pollution and the quality of the environment, the economic and social situation in the cities, the housing situation and housing availability of the people and the elements of the urban infrastructure

The third part, "Functions of the settlement policy", answers the question of the most important foreseeable tasks of settlement policy in Germany. Part four, "Selected concepts and measures of the settlement policy", builds on this question with concrete considerations and positive examples as proof of the use of existing scopes for manoeuvre. It shows:

- how a resource-saving and environmentally compatible settlement and urban development is promoted,
- how the living conditions of economically and socially disadvantaged groups are improved,
- how an appropriate availability of housing for all is achieved and assured,
- how the establishment and installation of urban infrastructure facilities is assured and developed further for the future, and
- how cities can develop into attractive and future-oriented economic locations.

The fifth part reports on development policy cooperation at various levels.

The report was drawn up predominantly by the Federal Research Institute for Regional Geography and Regional Planning (BfLR) on behalf of the Federal Ministry for Regional Planning, Building and Urban Development (BMBau). The responsibilities of the BMBau include international cooperation on questions of urban development. This also involves participation in the UN Commission for Human Settlements and thus also the responsibility for the national preparation of the UN World Conference Habitat II on behalf of the German Federal government. The report is based on the results of a large number of sources of information (see Appendix). Furthermore, the German National Committee Habitat II has accompanied the work on the report with advice and constructive criticism. At this point we would like to thank everyone who has provided their knowledge and advice for their cooperation.



## Summary

Settlement policy in Germany is based on democratic and pluralistic principles. As in the past, the future settlements development in Germany will therefore be a compromise between different social demands. The predominant question will be how the future settlements and urbanisation development can be reconciled with an ecologically compatible development model which contributes to maintaining the natural fundamentals of life for coming generations, and which allows the states which do not belong to the rich industrialised countries a fair chance of development. Sustainable development - the latest development paradigm since the UN Conference on Environment and Development in Rio in 1992 - can serve as the starting point for such a settlement policy. The global task of the sustainable development must lead to consequences at national, regional and communal level. The industrialised states in particular, with their ruthless exploitation of natural resources, must face up to the criticism and develop ecologically compatible settlement strategies.

## Urbanisation Process and Sustainability

The current trends in settlements development and the foreseeable further perspectives under status quo conditions show that the settlements development in Germany is still a long way from being sustainable. The urbanisation process is continuing. The demands from private households for accommodation and the location demands of companies in conjunction with economic cost/benefit considerations are the primary driving forces for the continuing expansion of settlement areas. Settlement growth is shifting further and further from the central towns into towns and communes in the surrounding areas rather like a wandering sand dune. The result is a further land-consuming spatial expansion of urban agglomerations, a further increase in motor traffic with a consequent increase in environmental pollution due to immissions and noise, a further loss of green areas near the settlements and a further reduction in ecological compensation functions.

The unrestricted urbanisation process causes not only ecological but also social problems. Particularly in the central towns, it results in structural deficits. Whilst the high-income population groups move into the urban fringe, the lower income groups are left behind. Many households in the agglomeration areas have difficulty finding affordable accommodation. The problems of poverty predominantly produced by unemployment often only become apparent under living conditions in towns. This is further intensified by the rapid changes in economic structures which lead to considerable job losses in the traditional industries and a large number of new, poorly paid jobs with no job security in the consumption-oriented service sector. The price of the accelerated modernisation process are social segregation processes in certain urban areas.

The economic development perspectives of the towns in Germany and their finances are also very different. Polarising development patterns are to be seen: For the West German towns and urban regions, the span for future developments ranges from stability to strong growth. A few of the East German towns will, in the long term, take on the development pattern previously known only in the West. Many of the towns in the East of Germany, however, are threatened by persistent employment and job market problems and a further decrease in the population. Although the economic gap between West and East Germany will be reduced in the medium term, at the same time the differences between the East German towns and cities and thus the differences in the economic and financial power between the towns and cities in Germany will nevertheless become larger. And so the financial scope for a sustainable settlement policy will differ greatly from town to town.

## Settlement Policy Tasks

Room for manoeuvre for a town of the future, for a sustainable settlements and urban development exists in different fields of activity. The report shows that there are a large number of different starting points for the process of a sustainable settlements and urban development and that numerous measures are employed at the different spatial levels of action in order to reach this target. This shows that there is scope for achieving the goal of sustainable development even within the existing boundary conditions of the state as a whole.

In the light of the two central themes of HABITAT II, "Adequate shelter for all" and "Sustainable human settlements development in an urbanising world", the report underlines the following main tasks for the settlement policy in Germany:

- Promotion of a resource-conserving and environmentally compatible settlements and urban development
- Assurance of a socially compatible settlements and urban development
- Creation and assurance of an adequate availability of housing for all
- Creation and assurance of a sustainable urban infrastructure
- Urban development for attractive and sustainable business locations
- Improvement in the international development cooperation

## Settlement Policy Measures

Goals and principles are the first step towards sustainability, concepts and measures and their implementation are their essential continuation. The central intention of the report is therefore to show, using concrete considerations and

examples, how settlement policy is implemented in practice in Germany. Attention is given particularly to selected positive examples, i.e. projects and attempted solutions in the sense of the "best practice". As representatives of many other examples equally worthy of mention, they illustrate the feasibility and variety of the concepts and measures, i.e. possible ways of reaching the goal of fulfilling the settlement policy tasks in Germany.

### **Promotion of a resource-conserving and environment-ally compatible settlements and urban development**

A sustainable settlements and urban development can only be achieved in a long-term search and coordination process, whereby the social demands for land use have to be reconciled with the natural fundamentals of life. This underlines the importance of the settlement policy, in particular the integrating spatial planning, for achieving the goal of sustainability, since its primeval tasks are the coordination and cooperation of a very wide range of land-use demands.

Settlement policy as a social task involves an interaction of different responsibilities. In addition to the commune as the level directly affected by the settlement policy, there are also a large number of other institutions at Federal and Laender level whose work can influence a sustainable settlements and urban development, whereby the different levels of action have clear spatial differences: At Federal level, settlement policy works on a macroscopic supra-regional scale; at Laender level, it focuses on regional and inter-communal aspects, whereby the cooperation between central town and the surrounding communes is constantly growing in importance in the urban regions. Finally at the communal level, questions of smaller scale areas and of the inner city as well as property and building-specific questions come to the forefront of the settlement policy.

The contents and results of the work of the main players and actors in the settlement policy are equally as varied as the bodies involved: Programmatic and conceptional approaches, informal voluntary agreements, legally binding prescriptions, economic incentives or technical rules exist. However, more and more concepts and measures are now aimed at influencing private households and companies in their decisions for locational and behavioural patterns by means of incentives and provisions in the sense of a sustainable development.

As far as the Federal level is concerned, the Federal and Laender governments agreed in the Guidelines for Regional Planning of 1992 to align regional and settlements development in Germany to the example of the decentral concentration. This decentral concentration aims to control and distribute the settlement activity in such a way that on the one hand, unhealthy agglomerations are avoided and, on the other, people cannot only live but also work and spend their leisure time in their immediate surroundings instead of constantly having to drive long distances by car.

The principle of decentral concentration can be regarded as a central (ecological) example of future regional development aligned with the settlement structure. Only the

strict pursuit of this concept will create the regional and structural preconditions for bringing the functions of work, home, services and leisure closer together again.

The political possibilities of the Federal government for influencing the settlements and urban development are not, however, limited to the provisions of programmatic guidelines. Far more important are the further development of planning law principles geared to the future requirements of a sustainable settlement and urban development as well as financial support. The most important financial measure of the Federal government for the modernisation and development of the towns and cities are the urban renewal and town development funds. It is the joint responsibility of the Federal and Laender governments and the communes to maintain, renew and development the towns, cities and villages. Urban renewal and town development funds for modernisation and development measures in the towns and cities promote urban renewal and town development on equal terms. The instrument of the urban renewal and town development funds can thus be seen and used not only in its environmental and socio-political functions, but also under politico-economic aspects.

The programmatic and conceptional ideas of the Federal government for settlements development are put into concrete terms and into practice in particular by the Laender. At Laender level, a well-coordinated system of development programmes and plans containing general targets for the aspired settlement development and the individual "Land"-specific concepts has existed for many years. These general targets are concretised by the regional planning and implemented as binding guidelines for the communal planning.

However, plans as instruments for influencing settlements development have lost significance in recent years. Regional planners are increasingly recognising that it is more important to win over the implementing partner, i.e. the commune, for the objectives defined in the plan before the plan is finalised. Greater cooperative regional development is demanded in which the regional planners take on the role of a regional development manager with the portfolio "settlements development". Different forms of intercommunal cooperation are therefore increasingly growing in importance in the complex sphere of settlement policy.

Furthermore, market-controlling instruments from the environmental protection policy and settlement policy, i.e. instruments distinct from plans and cooperation, have also been increasingly under discussion for some years. Such instruments are designed in the long term to change the behaviour of the different actors (private households, companies) in order to achieve the goals by means of 'sustainable ecological prices', i.e. prices intended to induce sparing use the scarce natural resources.

The report deals at length with the settlement policy at communal level, since the concrete start of sustainable settlements and urban development must be at the communal level. Existing burdens should be removed and new environmental impacts should be avoided or minimised

and compensated. Towns and communes have a key role to play in both the planning and implementation of land use and in the execution of the environmental protection legislation of the Federal and Laender governments. Their decisions shape the local living surroundings as well as the social and natural environment of the residents and companies.

A resource-conserving and environmentally compatible settlement policy at the communal level is, on the one hand, a classic task of the communal environmental policy. It deals with, for example, prevention of air pollution, with waste disposal, sewage treatment or noise control. On the other hand a sustainable settlement policy is also cross-sectionally oriented when, in the urban development and structure planning, it comes to achieving the most environmentally compatible and efficient land use and town development, or when it comes to developing traffic avoidance and energy supply concepts.

The report underlines the inner-city development, i.e. measures for urban renewal, urban conversion and urban fringe development as a central component of a town development strategy aimed at sustainability. The primary aim of these measures is to maintain the attractiveness of the particular location. Maintenance and conversion of the existing land must be used to suppress as far as possible the urge to expand outwards. This necessitates, amongst other things, revitalising town centres and ensuring a balanced mixture of functions. This also includes making towns more pleasant in which to live, for example by conserving buildings of historic or monumental value. Secondly, these measures also strive to achieve a further concentration of the available land. Unused and under-used land (gap plots, fallow land and conversion land) should be (re)activated and thus the land used more intensively and more efficiently. In particular, concentration in the existing settlements also offers a chance of improving the functional mixture by a further enrichment of functions.

From the point of view of sustainability, urban expansion, urban conversion and urban fringe development have one main aim: To further inner city development in order to be able to reduce expansion outwards. In perspective, however, urban expansions will nevertheless also be necessary. In this development, it will be particularly important to ensure that the expansion as a whole is kept within ecologically acceptable limits. It will be essential to examine how these expansions, if they are really unavoidable, can be carried out with less environmental impact than in the past, i.e. with better adaptation to the locality, more compact, with less land use and with a better mix of functions.

It is after all important to give greater consideration to ecological aspects during the actual building. It starts with the establishment of environmentally compatible supply and disposal structures (particularly for energy, water and waste) and finishes with the sparing use of materials and recyclability of the materials used.

### **Assurance of a socially compatible settlements and urban development**

A socially compatible settlements and urban development must be guided primarily by targets of social justice in distribution and chance. Efforts must also be made to recognise and compensate the disadvantages and risks of lower-income and more vulnerable groups of the population (for example, the homeless, single-parent families, foreigners and refugees, older people). Furthermore, socially compatible settlements and urban development must permit chances for self-determined action and planning. In a pluralistic society individual life planning as well as self-organisation and self-determination in the neighbourhood must be possible for private households in different phases of the family cycle, with different cultural backgrounds and different financial scopes for manoeuvre.

In order to achieve the aims of a socially compatible settlement and urban development it will be necessary in the future to regard participation as a natural part of the planning procedures. Democratic power-sharing creates a better basis for durable and tolerable solutions. This becomes particularly important when, in times of financial stringency in the communes, aims of socially compatible settlements and urban development are in competition with economic and ecological aims. There are various approaches to assuring the targets of socially compatible settlements and urban development: Approaches with spatial reference, with target-group reference and with process reference. The concrete approaches to be taken depend mainly on the local conditions.

The report illustrates, on the one hand, approaches for an urban renewal and town development policy of social compensation. Individual measures here are, inter alia, a problem-oriented social reporting, district-specific social work and the consideration of social needs in the urban development and structure planning and in the urban renewal. On the other hand, it looks at special in the urban development and housing policy concepts and measures for improving the living and housing conditions of disadvantaged groups, in particular the elderly single-parent families and the homeless. One major focus of attention is concentrated on preventive measures, in other words measures to ensure and expand the availability of low-cost housing as well as measures to counter unemployment and poverty.

Furthermore, the report takes a special look at the consideration of women's interests in the settlements policy. Many women today no longer want to be just mothers and housewives, or have to earn their living themselves. The more these needs and demands have grown in the past, the more clearly the discrepancy between social development and spatial structures has become apparent to the women concerned. The more urgent is therefore also the task of giving a greater consideration to the interests of women in the spatial planning. Two possible approaches are open here: Institutional approaches (for example, offices for women, equal-rights jobs) and the integration of women's interests into spatial planning procedures.

## **Creation and assurance of adequate availability of housing for all**

Housing policy in Germany is a pluralistic process. The different levels of Federal and Laender government and the communes as well as a large number of social groups in the run-up to political decisions play a role in its conception, legal form and implementation.

Under the provisions of the Second Housebuilding Act the responsibility for the housing policy lies with the Federal and Laender governments and the communes. The general legislative framework provisions for the housing market, for example rental provisions, taxation provisions to promote housebuilding, rental assistance legislation and framework provisions for construction are laid down at the Federal level. Furthermore, the Federal government supports the Laender governments with funds for social housing construction.

The responsibility for the concrete working of the housing policy lies with the Laender governments. They are directly responsible for deciding on the award of direct funds for housing construction, are involved in the making of Federal law and enact their own laws which complement or supplement the Federal laws.

Within the scope of the framework plan laid down by the Laender government, the communes decide in particular on the designation and provision of building land and also bear a high degree of responsibility for housing policy. In addition the communes also supplement the Laender funds for housing construction and are responsible for the provisional accommodation of emergency housing cases.

The associations of the building and housing trade, house and property owner associations, tenants' protection associations, settlement associations, building societies and mortgage banks, in particular, are also involved in the making of housing policy as social interest groups. No fixed organisational framework exists for this. They influence and participate in parliamentary procedures, for example in hearings, and their knowledge and experience is incorporated into the legislation.

The report shows in detail the concepts and measures with which social housing is assured in Germany, and how private investment in housing construction is promoted so that a balance of housing supply and housing demand is ensured. An important precondition for this is the provision of suitable building land at affordable prices. The report focuses particular attention on the new Federal Laender where a functioning housing market is now being established on the basis of market economic principles and socially assured by selective individual supporting payments.

## **Sustainable further development of the urban infrastructure**

The safeguarding and improvement of the urban infrastructure in Germany starts with two problems and pursues two objectives: Firstly, the serious differences in supply which still exist, particularly between West and East,

must be eliminated and the existing level of supply must be assured even in times of extreme social change and limited financial flexibility in the public sector. This applies in particular to the social infrastructure. Secondly, the technical infrastructure of supply and disposal, including traffic facilities, must be maintained and renewed with the aim of improving the environmental situation in the cities and thus retaining the natural fundamentals of life.

A mobility policy compatible with the needs of towns and cities plays a key role here in turning the trend in the urbanisation process into a sustainable development. In order that the towns and cities can continue in the future to fulfil their function as economic, trade and cultural centres, and particularly as places to live, measures are necessary which reduce the avoidable traffic in the cities as far as possible and cope with unavoidable traffic in the most environmentally safe manner possible. The report draws attention to the promotion of local public transport and non-motorised traffic and to a more effective mobility management, particularly for handling the essential urban commercial traffic, as important individual components in such an environmentally compatible traffic policy. The long-term aim of spatial planning must be a town with short distances between its major points, which generates minimum traffic and which increases the chances of an environmental association.

The focal point of a sustainable further development of the supply and disposal infrastructures are, in particular, measures aimed at reducing the use of the resources and minimising emissions. The report presents concepts and measures for conserving the water resources, for avoiding waste and for saving energy. The saving of fossilised energies plays a central role in a climate protection-oriented energy supply. The amendment to the Heat Protection Ordinance and the Small Fireplaces Ordinance were first steps in this direction in Germany. A further important role is also played by the better coordination of the line-bound energy infrastructure to be expanded and the energy demand. The use of efficient energy supply systems is to be improved. Energy concepts which have been drawn up in the meantime by most larger towns and communes are important instruments for coordination and implementation.

Attempts are being made to promote decentralised and user-friendly structures in order to assure the social and cultural infrastructure systems. For this, itinerant and mobile services are being developed, the important company sizes are being reduced and the "district culture", for example, is being promoted more strongly and neighbourhood aid is being expanded. In order to achieve decentralised supply structures, the administrations and decision-making bodies must be strengthened at the communal level and the residents and social groups involved in the various considerations. This will help to ensure that the jointly found solutions will then be supported and accepted by the people. Overall, the restriction of the (financial) scope for manoeuvre will be countered by a more intensive cooperation and by a more intensive utilisation of the resources.

### **Urban development for attractive and sustainable business locations**

The attractiveness of a location is a benefit in competition which is reflected in higher investments by the companies and a wider range of jobs. On the other hand, the design freedom and scope for manoeuvre in urban development and settlement policy depends to a great extent on the economic success of the local companies and on the income of the employees, since the financial strength of the towns and cities is directly influenced by the trade tax and the splitting of the income tax. Indirectly the economic strength of a town and the scope for investment in urban construction is affected by the level of the social expenditures: Money which has to be spent on social assistance is not available for other purposes.

It must also be considered, however, that the sustainability is threatened also - and in particular - by an excessive competition for locations between the towns and regions. Modern and well developed communications structures, the outstanding incorporation into the national and international traffic infrastructure, the availability of adequate reserves of space will be of critical importance for successful competition for the favour of companies willing to settle in an area. It is not difficult to imagine that in the light of such competition, sustainability aims can easily fall by the wayside. Urban construction measures to improve the attractiveness of the location must therefore be ecologically compatible. The aim must be to create attractive and sustainable business locations.

In the long term this necessitates close cooperation between communes and companies. The possibilities for taking environmental aspects into account here can cover a wide spectrum of measures: From the choice of sites for the business locations through the type of development (technical supply and waste disposal) and landscaping right up to the choice of the companies, possibly linked to an influencing on the starting materials and production methods. These possibilities must be utilised if the towns wish to make progress also as business sites on the road to sustainability.

### **Improvement in the international development cooperation**

In international cooperation, the German Federal government has been promoting projects of integrated urban development for more than 20 years. The aims are to improve the availability of homes for the poorer classes of the population and improve the living conditions in spontaneous settlements and slums, where "helping the people to help themselves" plays a central role. The primary aims of the strategy employed and supported in particular by the World Bank include the improved meeting of basic requirements, greater participation of the people affected, strengthening of the ability of the people to help themselves, legalisation of illegal land ownership, coverage of the costs of public services and lowering of excessive building and infrastructure standards. In many countries, integrated redevelopment and urban expansion projects have contributed to stimulating a discussion on the urban development policy predominating up to that time and which

- whether intentionally or unintentionally - was often oriented to the models of the Western industrialised countries.

The new sector concept, "Environmentally compatible communal and urban development", published by the German Federal Ministry for Economic Cooperation and Development (BMZ) in September 1995 developed further the principles for supporting development cooperation projects in the field of urban development. The sector concept describes the intervention possibilities of the development cooperation in this complex field on the basis of the experience to date and of the discussion about a more environmentally compatible urban development which has been more strongly conducted in recent years. In particular it translates the recommendations of Agenda 21 of the UN Conference on Environment and Development held in Rio de Janeiro in 1992 into a manual for the planning and performance of projects in German development cooperation.

In addition to the development cooperation between states, there are a large number of other non-profit organisations which, together with partner organisations in developing countries, are active in the field of settlement and housing policy, such as the German development aid for housing and settlement and the church development aid organisations.

Processes and projects of communal urban development in developing countries can be effectively supported by education and further training measures. Such measures are generally monitored by the German Foundation for International Development. The concrete aims of the Federal government's advisory policy in the field of settlement policy, particularly for Eastern Europe, are the repair and modernisation of the building substance, the improvement of the urban infrastructure and the reorganisation of the legislative boundary conditions towards democratic, market-oriented, decentralised planning processes. Many of the countries in Central and Eastern Europe can profit from German's experience in coping with the transformation process in the new Laender.

The direct cooperation between communes or towns (town partnerships) is of major importance. Many German towns already have town partnerships with communes in the developing countries and provide a specific contribution in the field of redevelopment and consultation in the duties of communal self-management. Such partnerships are also suitable instruments for the exchange of information and knowledge on the problems of settlement development, their structure and causes as well as on concepts, measures and instruments for solving problems between specialists in the fields of settlement planning and settlement policies. Through the international communal associations (e.g. Communes and Regions Council (RGRE) and International Union of Local Authorities (IULA)) the German cities also promote inter-communal exchanges of experience at an international level in implementation of Agenda 21.

**Conclusion:** In the international comparison, there are good preconditions for a sustained settlement and urban development in Germany. This applies not only to the comparatively favourable settlement and urban structures but also to the economic and technological potential, know-how and environment consciousness. If - thanks to these preconditions - a corresponding turnaround in the settlement and urban development in Germany is made possible, we can succeed in coming very close to the image of a sustainable development. The towns and cities in Germany could then both contribute to a reduction in the use of the resources and in the global environmental impacts as well as serving as examples for a sustainable settlement and urban development in other countries of the world.

# Part 1: Principles of the Settlement Policy in Germany

## 1.1 Settlement Policy as a Social Challenge

The focal point of the settlement policy are the people and the places in which they live, reside and work. Settlement policy deals quite generally with the living conditions of the people in their physical environment. The question is whether the people can satisfy their demands for suitable living conditions. The apartment, the place of work and everything else that goes to make up the "infrastructure" generally form the preconditions for a satisfactory quality of life. The infrastructure includes traffic routes, the supply of power and water, but also the disposal of sewage and refuse and facilities specially for the young and the elderly, for health care, for leisure activities and culture.

It is not only the actual existence of the corresponding facilities that is important but also their distribution in an area, in a town. It should be possible, for example, for as many people as possible to reach their place of work, a church, a nursery or a social station quickly from their homes. It is also important that the various facilities do not interfere with one another. Homes and living environment lose quality if they are located on busy roads or in the vicinity of industrial parks whose works pollute the atmosphere particularly heavily with their fumes or their production noise. A favourable settlement and urban structure, i.e. the distribution of residential, work, supply and disposal sites in the area will therefore always be a compromise between the greatest possible proximity in the location of all the benefits and a disturbance-free coexistence.

At the same time the human settlement activity must not, in particular, result in society irrevocably destroying its natural habitat. A town does not consist only of buildings. In all considerations on meeting the social demands, the ecological aspects are therefore today emphasised more strongly than in former times, as more and more people want to maintain the natural capital in the towns (for example, city forests, green areas, natural inner-city biotopes) and reduce the pollution of the towns. They want a sustainable settlement and urban development for the sake of future generations, even if the ideas on how this objective can be attained differ widely.

Some favour technical reforms and innovations, for example the use of environmentally compatible technologies, the development of substitute materials, recycling and a limited avoidance of refuse and other environment-contaminating substances. They believe, however, that they can still cling to the growth model which has created the environmental problems. For others, the technical, growth-oriented approach is not sufficient. They propagate the "radical" approach of the ecological structural change. They want a clear departure from the previous lifestyle which uses the

natural resources in such a wasteful manner and which, in the long term, will destroy the environment.

The real future settlement development in Germany will thus be a compromise between different social demands. Primarily, however, it will be a question of how the future settlement and urban development can be reconciled with an ecologically compatible development model which contributes to reducing the high pro capita consumption of resources and the increasing pollution of the environment in our settlement areas. The development paradigm, "sustainable development", which has been promulgated since the Rio conference can serve as a starting point for such a resource-conserving and environmentally compatible settlement policy. This new development model sets the conservation of the natural resources as its primary aim.

Scopes for manoeuvre for a town of the future, for a sustainable settlements development, lie here in the fields of urban renewal and urban conversion, urban expansion and urban regional development. In these fields the ongoing urbanisation process must be managed within an environmentally compatible scheme. From the point of view of sustainability, urban expansion and urban conversion have one primary aim: To strengthen the internal development in order to limit the outward development. Nevertheless, urban expansions will still be necessary even in the future. The major question here is where expansions are to take place in the urban region and how, if they are unavoidable, they can be managed in a more environmentally compatible manner than in the past, i.e. more compact, necessitating less space, with greater adaptation to existing structures. It is after all a matter of providing an urban structure, a planned urban environment for the people, which serves to satisfy the human living requirements i.e. in conjunction with the natural environment to ensure a high quality of life.

If such settlement structure and urban planning ideas are to be implemented, the question will have to be faced as to how the choice of location of the private households and companies can be influenced in this direction. In addition to proven instruments of regional planning, integrative concepts and cooperation strategies are just as necessary as price incentives for the players to make their choice of location in line with the objectives.

The outlined challenges on the road to a sustainable settlement and urban development show that settlement policy is not a purely objective decision, but a policy which has to decide between alternatives and attempt to reconcile concrete interests, moral values and overriding political concepts. Political decisions, in particular, which are to clear the way for sustainability must weigh up between different requirements. The ecological challenge is only one, though the most important from the point of view of sustainability, item in this package of objectives.

The structural change which is to move society in the direction of "sustainability" must be organised in a socially and economically compatible manner, without pushing the ecological objective - the conservation of our existing

resources - into the background. This not particularly easy task can only be achieved if the conflicts associated with a sustainable development are stated clearly and at the same time consideration is given to measures by which the impact of such conflicts can be moderated. Settlement policy, understood in the widest sense as an integrating regional planning and policy at all levels including the coordination of widespread specialist policies, is a prominent challenge to the whole of society.

This is to be clearly seen at local authority level, in the communes. The communes provide water, energy and traffic routes, ensure the availability of public local passenger transport, dispose of sewage and refuse, build nurseries and senior citizens' homes, maintain hospitals and cemeteries, community halls and museums, night schools or even theatres and orchestras. They offer leisure facilities such as parks and swimming baths. The communes develop industrial estates and try to win companies willing to settle there. In this way they also help to create jobs. They renovate city centres, develop construction sites and even build houses themselves. Technically they are assisted by architects and town planners who are responsible i.a. for compliance with the public building law.

These are the fundamental demands made on settlement policy in a democratic community:

- Settlement policy presupposes a comprehensive opinion-forming process in which all the important social groups are involved. The use of the available space can only be developed as part of an overall concept in which all the main demands on the use of the space are considered and balanced out.
- In the settlement policy, long-term decisions have to be taken as settlement and urban structures change only slowly. The settlement policy decisions must therefore be embedded in long-term, forward-looking concepts and strategies which are sufficiently binding that the various social groups can cooperate with faith in the overall concept.
- Settlement policy must be drawn up in close contact with the citizens concerned so that it reflects their wishes as closely as possible. This means then that the decisions taken are as representative of the citizens' opinions as possible. The effects on the environment thus remain clearly foreseeable and the decisions can be influenced most effectively by the citizens affected.

Practice has shown that political ideas on settlement policy can only be implemented satisfactorily for all sides if the people are involved in the planning or the political decision-making process from an early stage. Public participation is thus an important principle in the implementation of settlement policy in Germany. This reflects also the understanding of settlement policy as a prominent social challenge. Only when the people have the impression that their needs, ideas and abilities to act are taken seriously they will enter into discussions on settlement policy and participate actively in it.

Even when the majority of settlement policy decisions are taken at the communal level, the social responsibility for the settlement policy is spread over various political levels. This is also necessary as the different spheres of day-to-day life and work go far beyond the individual communal borders: Specialist production sites are often hundreds of kilometres apart and are interlinked by intensive supply relationships. Drinking water is often transported from long distances via pipe networks. Refuse is disposed of in central dumps. Necessary settlement policy decisions therefore cannot and must not be taken by the individual commune for or against other communes.

The necessity of a settlement policy extending beyond the borders of a single commune was illustrated very clearly in Germany during the boom of the industrial towns in the last century. The building of new factories and new housing for the factory workers, the building of traffic routes to transport goods and people created problems which could not be solved by communes and towns alone. The disturbing coexistence of housing and environment-polluting factories, the arbitrary expansion of the settlement areas and the growing together of the settlements beyond the borders of the communes was felt to be particularly negative.

This historic development helps to basically explain the institutional principles of the settlement policy in Germany.

## 1.2 Institutional Principles of the Settlement Policy

The Federal Republic of Germany has a political system with a federalistic structure. The Federal government, but also the Laender, have a state quality. The communes are assigned to the Laender; but the rights of the communes to self-administration are assured by the German Federal Constitution: "The communes must be guaranteed the right to manage all affairs of the local community independently within the framework of the law". A distinction can therefore be made between different levels at which the requirements of the people are administered in Germany, from the Federal level, through the Land level down to the communal level. The communal level incorporates the communes, boroughs and the local-authority associations.

The settlement policy is integrated into this federalistic system of administering the public needs. Settlement policy is a governmental responsibility. It has differing competencies at the various levels. Settlement policy is an interdisciplinary task for all the sectors working to improve the regional living conditions of the people. Within the settlement policy, the integrating general spatial plans (regional planning at Federal and Laender level, sub-regional planning and structure planning at the communal level) can be distinguished from the part-integrating plans relevant for the settlement development (for example landscape planning and landscape skeleton planning) and sector policies such as the housing policy, social policy, cultural policy, traffic policy, regional economic policy or the environmental policy.

In the settlement policy, the European dimension is now growing in significance. Although the European Commission has no competence to make settlement policy, it does influence the development of many European towns and regions through a number of relevant political fields, such as the structural, agricultural, traffic and environmental policy. For this reason, the Federal Republic of Germany works closely with the member states and the European Commission on a European regional development concept. Sustainable development as a process of the social and economic change in which the resources are used to the benefit of the people of today and tomorrow is discussed here as the fundamental principle for the European regional development concept.

### The Federal Level

The Federal government can only set up the skeleton legislative conditions for the integrating overall spatial planning of the Federal territory. These conditions were created with the passing of the Federal Regional Planning Act in 1965. This Act defines, amongst other things, the principles for the regional planning and structuring of the Federal territory and thus provides the guidelines for the future settlement development. The Act leaves the definition of aims, and thus the implementation of the guidelines, to the Laender. These in turn are obliged to pass their own spatial planning acts and to draw up regional policy programmes and regional policy plans.

Urban planning law is exclusively the responsibility of the Federal government. It organizes the communal master planning, the most important communal planning for the settlement development. In 1960, the Federal government created a nationally applicable legal basis with the German Federal Building Law. In view of the imminent depopulation of the inner cities and the resulting loss of urbanity, the Urban Renewal and Town Development Act then passed in 1971 initially had the objective of controlling the settlement activity and of maintaining and renewing the towns. In 1987, the Urban Renewal and Town Development Act was combined with the Federal Building Law, arranged more clearly and simplified in the Federal Building Code. The Federal Building Code is the first and complete summary of all the facts and standards of the German urban planning laws. The instruments are geared to the present and future objectives and responsibilities of urban planning and construction: Urban conservation, urban renewal and urban expansion. At the same time, the precautionary environmental protection must be taken into consideration throughout the urban development.

Since 3 October 1990, i.e. since German Unification, the provisions of the Federal Regional Planning Act (Raumordnungsgesetz) and Federal Building Code (Baugesetzbuch) which define the system of regional planning at Federal and Laender level and the communal master planning (Bauleitplanung) have also been applicable in the new Laender, Brandenburg, Mecklenburg-Western Pomerania, Saxony, Saxony-Anhalt and Thuringia. In order to ensure the necessary transition from the centralistic planned economy to the democratically legitimated planning system, temporary provisions were drawn up in the Annex

to the Contract of Unity signed on the establishment of the German unity. These special arrangements supplement the Regional Policy Law and the Federal Building Code and permit a simplified application of the planning instruments anchored in these regulations for a transitional period.

The authority at Federal government level responsible for the settlement policy as overall regional planning is the Federal Ministry for Regional Planning, Building and Urban Development (BMBau).

### Federal Republic of Germany



### The Laender Level

The Laender are the central level of the regional planning. They fill in the wide gap between the framework-establishing competence of the Federal government and the communal self-administration. The responsibility of regional planning at Laender level is to draw up development programmes and plans at Land level to which, on the one hand, the departments should orient themselves and, on the other, to which the communes have to adapt their plans. Both ultimately control the public and private projects which change the regional and settlement structure. Regional planning at Laender level is thus essentially oriented to the communes and departments. The sector policies are integrated into the regional planning through "regional planning clauses" in the individual sector acts and in the Building Code. The sector policies are called upon to observe the requirements of the integrating regional planning.

## **The Regional Level**

Regional planning at Laender level is spatially and technically defined in the sub-regional planning which is the responsibility of the Laender. The sub-regional planning plays an important mediating role between communal master planning and regional planning at Laender level. There are varying scopes for this in the individual Laender. The Laender laws differ significantly, particularly in the question as to how binding the settlement areas and free areas defined by the sub-regional planning are for the communes.

And the practical significance of specifications in the sub-regional planning for settlement development must not be over-estimated. The communes involved are keen to assure themselves of the greatest possible scopes for manoeuvre. The growing economic interdependence and increasing location competition, however, are now leading to more widespread thinking in regional terms. Increasing efforts are therefore being made to strengthen the role of the sub-regional planning as a regional development manager. For the sub-regional planning it will be a matter in future of winning over the negotiating partners, the communes, for a common regional settlement policy before the final plan is drawn up. The implementation of urban regional plans, in particular, is dependent on intercommunal cooperation.

The necessity for intercommunal cooperation can be seen from the ongoing urbanisation process and the associated expansion and intensification of economic, social, demographic, urban development, cultural and traffic interrelationship between urban and peripheral communities. As such, the towns generally also bear the responsibility for supplying higher quality public infrastructure facilities for the peripheral communities, or take over central urban functions for secondary settlement centres. The realisation that problems and tasks affecting all the towns and communities in an urban region have to be solved in joint responsibility is gradually catching on in Germany.

It is therefore understandable and, in the sense of an urban (regional) development, important to have and further develop organisational structures of an intercommunal cooperation. The possibilities provided for in the Building Code of forming planning associations or regional associations (neighbourhood associations, periphery associations, local-authority associations) are based on public agreements. Parallel to this, voluntary cooperation models (regional conferences, cooperation networks, regional development agencies, etc.) are growing in importance for the intercommunal cooperation.

## **The Community Level**

The planning rights at local level, planning authority, are guaranteed to the communes by the constitution. The communes thus have the right to draw up the communal master planning at their own responsibility. This master planning must coincide with the aims of the regional planning at Federal and at Laender level which are laid down in Land development schemes, Land development

programmes or sub-regional plans. The duty of the communal master planning is to prepare and control the building and other use of the plots of land in the commune in line with the Building Code.

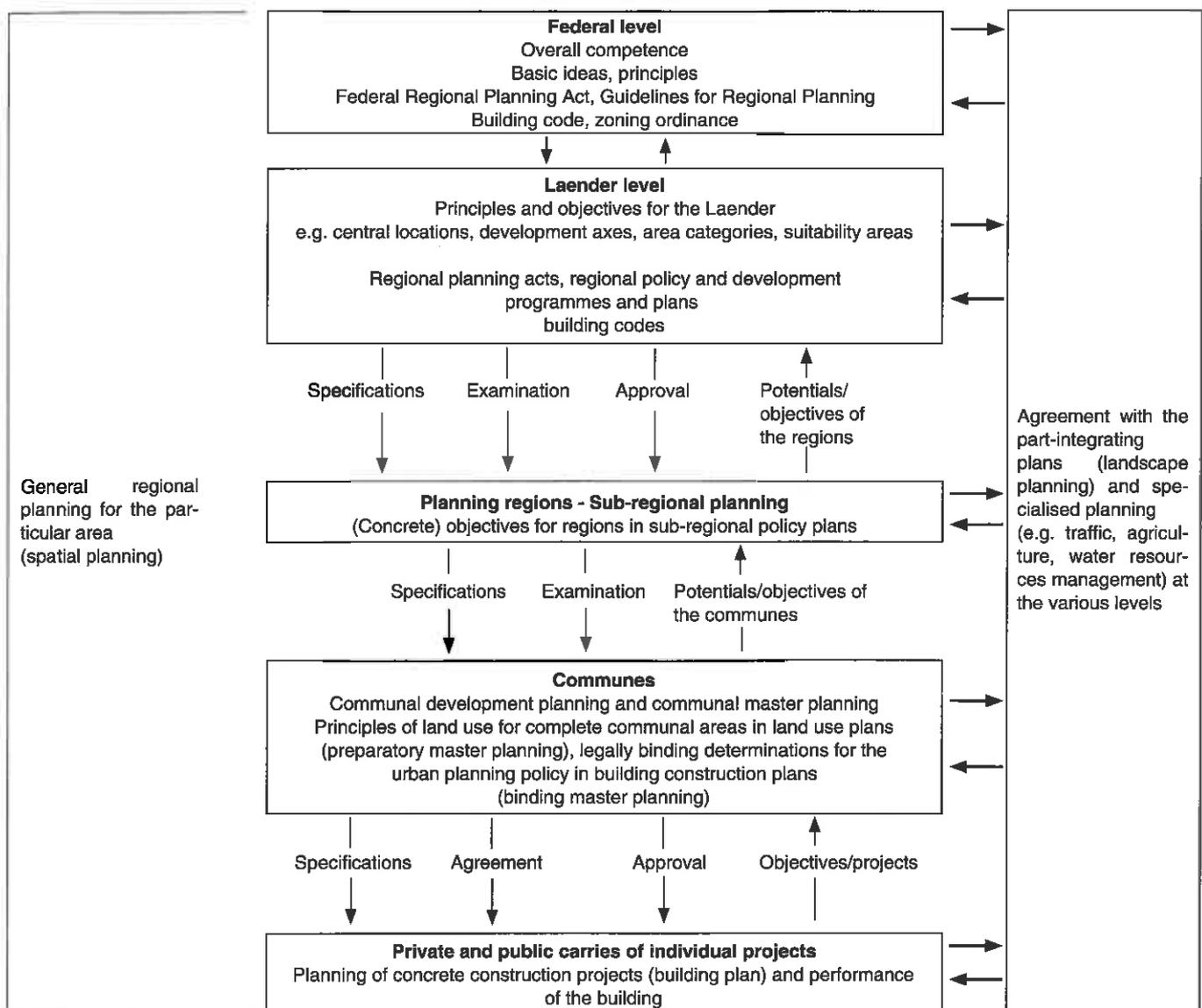
Communal master planning are the land use plan (Flächennutzungsplan) and the local building construction plan (Bebauungsplan). The land use plan applies to the complete community area. It contains outlines of the planned use of the land resulting from the intended spatial development of the community. It is not legally binding. The local building construction plan, on the other hand, is drawn up only for partial areas of the commune on the basis of the land use plan. It contains the legally binding prescriptions which are to be observed equally by all involved in the development. The local building construction plan is binding for people who have bought a plot of land on which to build a house and for house owners who wish to convert or extend their house.

Where settlement policy tasks exceed the capabilities of smaller communities in Germany, then the counties (Kreise) take over the responsibility. Each county is a communal territorial corporation with associative functions. It attempts to promote its communities and to achieve a balance between them. The county particularly makes efforts in the settlement structure, in local passenger transport and in the infrastructure to achieve a coordinated development of all the communes in the county. The extent to which counties can and must cooperate in the spatial planning differs from Land to Land. Other main areas of responsibility for the counties are social policy, youth aid and health. The counties also maintain the vocational schools, special schools and, to a certain extent, grammar schools. Many hospitals in Germany are also county hospitals. As a new task, many counties have also become responsible for the waste disposal in recent years. Many communities had proved to be too small to cope with this problem. Interregional environmental responsibilities in general are increasing significantly in the work of the counties.

## **Implementation of Plans**

Plans are implemented primarily at communal level, whereby the local building construction plan is the binding basis for the planning in line with which the urban development projects have to be carried out. Implementation of the plan generally starts with reorganisation of the land plots (land redistribution) and improvement (linking to traffic routes, connection to supply and disposal networks) so that the plots are ready for building, not only legally. Only when improvement has been assured is building approval given, according to which building on the plots can then be carried out in line with the urban development plan. The building approval is the critical public control instrument of the local settlement development. Before issuing the building approval, the approvals authority will examine whether the planned building project complies with the urban development plans. The type and extent of the urban development use is dictated primarily by the zoning ordinance in which the permissible utilisation of the building plots is defined for various urban development area categories.

## Types of plan and hierarchy of spatial planning



**How are the plans linked?** The figure shows that the planning of the individual builders is embedded in a framework of overall and interregional plans. These plans contain prescriptions aimed, e.g. at achieving equally good living conditions nationwide. The objectives of the Federal government's regional planning are designed to exert their effect through the different planning levels of Land, region, community and right down to the individual building project and even into the living conditions of the individual person ("**prescription of coordination**" or "**prescription of adaptation**"). On the other hand, the interregional plans should also take the plans of the next lower level into consideration ("**counterflow principle**"). This means in detail:

- The construction plan for a building must observe the provisions of the building code and follow the prescriptions of the local building construction plan.
- The local building construction plan for a part-area of a community must be developed from the land use plan and, in addition, must be adapted to the concrete aims defined by the regional planning at Federal and at Laender level and by the sub-regional planning.
- The land use plan for the whole community must be oriented to the prescriptions of the regional policy plan. Various sector plans (e.g. traffic routes and supply lines) must be incorporated into the plan as communication lines.
- The sub-regional planning follows the objectives of the Land regional planning programme and the Land development programme.
- The latter plans must, in turn, not conflict with the Federation's principles of regional planning.

Source: Praxis Geographie 9/1993.

Of critical importance for the implementation of the plan is thus that the communal master planning, in particular the local building construction plan, represents only an offer of building. The actual building, i.e. the investment in building, will - with the exception of the cases in which public building projects (Federal, Land and/or communal buildings) are carried out - will be done by private persons or companies. Although planning is in Germany a governmental matter, the actual implementation of the plan - insofar as the state levels are not directly involved as builders - is a matter for private investors. These are the real players in the building process, alongside the banks who finance the building projects as well as state and communal authorities who support building projects with loans and grants. Depending on the building code in the particular Land, authorisation to submit building documents is limited to specially qualified professional groups. In the field of settlement construction these are primarily architects whose title is protected by law.

A precondition for the implementation of the plan is the provision of building land. Here again, the primary responsibility is borne by the commune. More recently contractual agreements between the commune and investors, the "urban development contracts", but also private investor models to take over the planning and improvement of building areas, including the subsequent building, have been growing in importance. In the project and improvement plan (Vorhaben- und Erschließungsplan), for example, the investor takes over the improvement of the area and a share of the costs for the direct development of the land ready for building. The later costs for maintaining the improvement and infrastructure facilities are then transferred to the communes on the basis of a take-over contract. The benefit for the communes of these private investor models is that the investor provides the often considerable starting capital and thus relieves the commune.

Settlement policy also involves a location policy going beyond the borders of the commune - not only for living and working, but also for the establishment of the corresponding infrastructure. One possibility here is the formation of planning associations or local administrative unions in which the commune and other parties involved in the project become members and act at supra-communal level. These associations and unions are public corporations whose organisation is closely linked to the community constitutions. The individual communes have transferred communal duties to them, at least for a limited period. The administrative duties going beyond commune borders in agglomeration areas are handled more effectively by special planning associations. The associations can strengthen the communal self-administration against the higher-ranking Land interests.

### Space-Effective Sector Policies

Important partners of the settlements policy are finally the space-effective sector policies such as the regional economic policy, traffic policy, various infrastructure policies, environmental policy or the housing policy. With their - in many cases opposing - demands on the use of the

space, they contribute considerably to the settlement development. It is therefore important to coordinate the sectoral policy decisions at all the spatial levels both with one another and with the overall regional planning. This is also referred to as a horizontal coordination of the departments involved in the settlement development. This coordination is intended to prevent the sectoral policies merely optimising their sectoral part areas, for example the infrastructure planning being based solely on operational cost-effectiveness and not being oriented to the aims of a demand-oriented service to the people. Because settlement policy also has a responsibility for the coordination of different sector departments, it must be their most important contact person. Settlement policy is thus at the same time applied family, social, traffic, economic and environmental policy.

### 1.3 Financial Principles of the Settlement Policy

In Germany, financial income and expenditure as well as the duties as a whole are assigned to the different federal levels by a balanced system of competence rules. The income side of the financial constitution defines how the competences are distributed between the Federation, the Laender and the communes in the taxation legislation, in the income from taxation and in the tax administration. The expenditure side defines the distribution of responsibilities. The rules of the financial system defined in the Constitution contain special prescriptions as to

- the duties which the Federation and the Laender have to finance themselves,
- the cases in which the Federation can or must contribute to the financing of the duties of the Laender,
- what funds from the total tax income are due to the Federation and Laender (including the communes), either individually or together.

The Federation intervenes financially in the fields of settlement policy and settlement development only via its considerable direct investments for the construction of traffic routes and communication networks. Indirectly, however, the Federation influences the settlement policy of the Laender and the communes in two ways:

- On the one hand, the Federation bears a part of the costs in particularly important investments of the Laender and communes by means of financial aids. These include financial aid for urban redevelopment and urban development (urban renewal and town development), for promoting social housebuilding or for improving the community traffic infrastructure. The distribution of these funds between the communes is essentially the responsibility of the Laender.
- On the other hand, the Federation participates financially in the joint tasks of the Federation and the Laender. The joint task, "Improvement in the regional economic structure", promotes for example towns as economic

sites in structurally weak areas. Through these joint tasks with their common skeleton plans, the Federation can, in contrast to its financial aid, also intervene in the settlement development spatially and substantially. These must, however, be approved by the European Commission.

- In addition, the European Union with its structure policy instruments is taking an increasing influence on the settlement development. With its structural fund and joint initiatives, it is able to selectively promote structurally weak regions together with the funds from Federation and Laender.

Apart from the tasks financed jointly by the Federation and the Laender or the European Union, the Laender can boost the funds of the Federation with their own money or else can use their own money for independent projects and objectives. How much money each Land has for independent projects depends essentially on the Land tax income and the share of the Land in the combined Federal and Land taxes.

The Land taxes include, for example, the capital tax and the motor vehicle tax. The combined Federal and Land taxes are taxes due jointly to the Federation and the Laender. These include, for example, wage and income tax, corporation tax and value-added tax. Parallel to the differences in the economic power of the Laender, there are also differences in the taxation power. In order that the "uniformity of living conditions in the Federal Republic of Germany" prescribed in the Constitution is maintained, the finances are balanced between the Federation and the Laender and between the Laender annually, i.e. the taxation power of the poorer Laender is brought roughly to the average for the country as a whole. This revenue equalisation is intended to ensure that all the Laender are provided with the finances to meet their obligations.

The rural counties as a further federal level are financed partly from the funds assigned to them for their duties by the Land. A further separate source of income are fees, contributions and the land transfer tax which make up the funds of the rural counties. Particularly in the suburbs of the agglomeration areas with their high property prices, this tax is a significant source of income for the rural counties. The county levy is of particular importance. This has to be paid by the communes belonging to the county according to their population and their taxation power and makes up around one third of the total income of the rural counties.

As far as the income of the self-governing towns and the communes under county administration are concerned, the communes receive, on the one hand, 15 percent of the revenue from wage and income tax. On the other hand, the communes are financed by taxes, the majority of whose revenue they receive directly. Such taxes include the "real taxes" (trade tax and rates) and the local excise duties (including i.a. entertainment and beverage taxes). Taxes make up a total of almost one third of the communal income.

Although the communes are entitled to the revenue from certain taxes, the level and levying of the taxes is decided

upon by the Federal or Land government. In contrast to the Federation and rather like the Laender, the communes can thus resolve financial bottlenecks by an active policy of tax increases only within very close limits. As active structuring methods, they have only very limited possibilities for determining the levels of trade tax and rates; these levels can be understood as communally definable multipliers for a tax amount predetermined by the Federal government.

Financial grants from the Land - and to a lesser extent also from the Federation - with almost 30 percent make up the second most important source of income for the communes. Grants from the Land which can be intended for a specific purpose or freely dispensable (revenue allocations) come primarily from the communal revenue equalisation. The communal revenue equalisation is the revenue sharing system of financial relations between the Laender and the local authorities. The communal revenue equalisation aims first to increase the communal financial power as a whole, as otherwise the communal responsibilities could not be met, and on the other it is intended to balance out the differences in the communal taxation power. The basis for the communal revenue equalisation is thus the taxation power of the individual communes.

The third important source of communal finances are fees and contributions. This source of income has grown in recent years. This is income as payment for concrete services: Fees for the issue of identity cards, for the use of swimming baths, charges for improvement of building plots. The communes are required to cover their costs with the fees received here. Whilst this covering of costs is more or less achieved with the fees for the classic services such as water, sewage and waste disposal, noticeably lower degrees of coverage are common in other areas (culture, swimming baths, nurseries). In these cases, the system of the "equivalence principle" is partially suspended here when calculating the charges.

The "classic" sources of income for the communes are often not sufficient to finance the public services. The communes then have the possibility of borrowing on the free market, i.e. income from borrowing. This credit must not be used, however, to pay current expenditure. Loans are reserved solely for investments and investment promotion measures. Furthermore, the taking out of a loan must always be approved by the responsible supervisory authority of the Laender.



## Part 2: Settlement System and Settlement Development in Germany

### 2.1 Settlement Structure and Urbanisation

#### 2.1.1 Settlement Structure and Urban Settlement System

Today, in the mid-1990s, some 81.5 million people are living in the Federal Republic of Germany in an area of around 357,000 square kilometres, over two-thirds in towns. In Europe, the Federal Republic of Germany is one of the most densely populated states with a population density of 228 inhabitants per square kilometre. With the unification of the two German states in October 1990, the regional differences in the population density have become significantly greater than they previously were. The old Laender with 255 inhabitants per square kilometre are far more densely populated than the new Laender (162 inhabitants per square kilometre) which are particularly sparsely populated especially in the North - in the European Union only comparable with peripheral areas such as in Portugal, Ireland, Spain and Greece.

The settlement structure reflects the spatial distribution of the population, places of work and infrastructure facilities. The settlement structure dictates, on the one hand, the scope, variety and attainability of the available jobs, goods, services and infrastructure facilities. On the other hand, the settlement structure also contains the causes, for example, of the extent of settlement-related environmental pollution and traffic problems as well as the level of land prices and rents, together with the resulting problems on the housing market. The settlement structure is essentially characterised by a great persistence.

#### Settlement Structural Area Types

At the level of the regional policy areas, a sub-division of the Federal territory into 97 sub-areas, a distinction is made between different settlement structural area types in the Federal territory using two criteria: "Centrality" (inhabitants in the largest central town) and "density" (inhabitants per square kilometre):

- Agglomeration areas

Regions with a higher-order centre of at least 300,000 inhabitants and/or a population density of more than 300 inhabitants/km<sup>2</sup>

- Urbanised areas

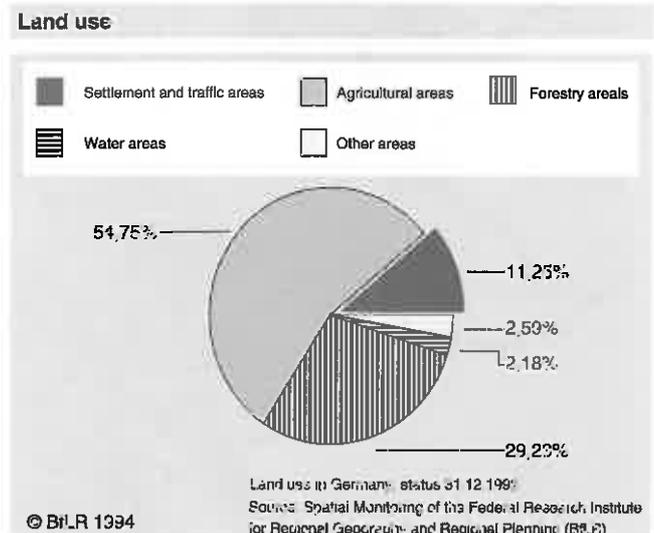
Regions with generally a higher-order centre of more than 100,000 inhabitants and/or a population density of more than 150 inhabitants/km<sup>2</sup>

- Rural areas

Regions without higher-order centre of more than 100,000 inhabitants and a population density of around 100 inhabitants/km<sup>2</sup> and less

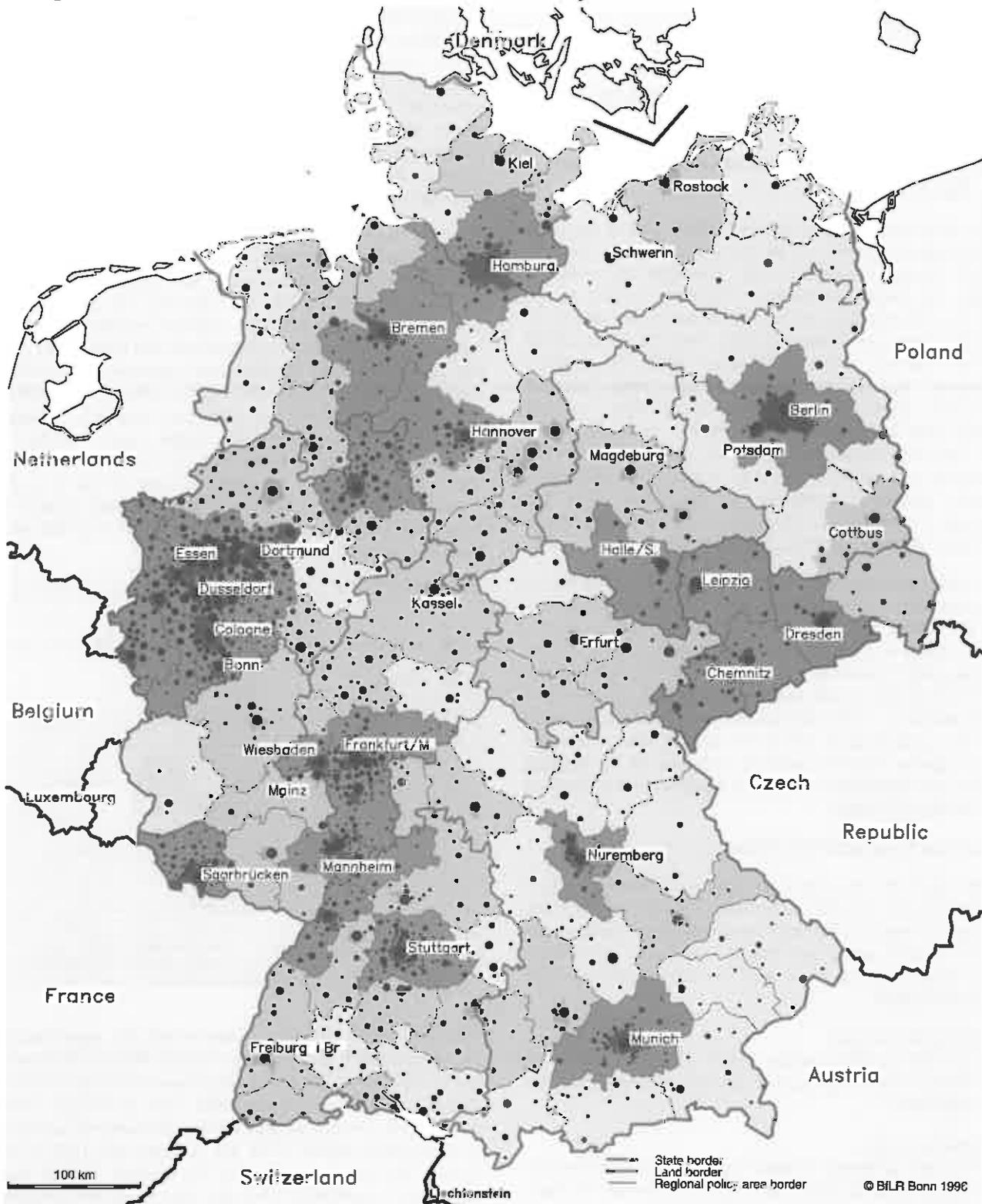
These area types describe the inter-regional settlement structure in the territory of the Federal Republic of Germany. It is characterised by a balanced decentral concentration of towns and urban regions. 54 percent of the population live in agglomeration areas. Almost 30 percent of the population live in urbanised areas and a good 16 percent in rural areas. Within the agglomeration areas and urbanised areas, a distinction is made between central towns and their surrounding areas. The spectrum of suburban counties ranges from densely populated counties down to those with a population density of less than 150 inhabitants/km<sup>2</sup>.

Roughly one third of the population of Germany lives in the central towns (towns with more than 100,000 inhabitants). The percentage is higher in the new Laender with a good 36 percent than in the old Laender (31 percent). By comparison with the western Laender, no suburbanisation (i.e. no major migration of households and companies from the central town into the suburban counties) took place in the former GDR. This is also clearly reflected in the lower population density of the suburban counties. Whereas intensive suburbanisation processes have resulted in extreme sprawl phenomena in the suburbs of the central towns in the old Laender since the end of the '60s, new housing in the former GDR was predominantly built in the large urban settlements edge of the towns, but still within the town boundaries.



The settlement structure characterised by agglomeration and urbanisation in Germany and the differences between the old and the new Laender also characterise the land use. The share of settlement and traffic areas in the total area of the Federal territory is slightly more than eleven percent. It is significantly higher in the old Laender with 12.7 percent than in the new Laender with 7.9 percent. Broken down according to settlement structural area types the settlement and traffic areas in the central towns of the agglomerations make up 51.4 percent, in the central towns of the new Laender even 55.2 percent, eleven to 19 percent in the suburban counties and less than ten percent in the rural areas.

## Large-scale settlement structure and urban settlement system



### Agglomeration areas

- Central cities
- Surrounding counties

### Urbanised areas

- Central cities
- Surrounding counties

### Rural areas

- 

### Towns according to population

- 10,000 to less than 20,000
- 20,000 to less than 50,000
- 50,000 to less than 100,000
- 100,000 to less than 300,000
- 300,000 and more

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR) – counties, communes

## Population distribution and settlement structure 1993

Settlement structural area types	Inhabitants in 1,000	Share of inhabitants in %	Inhabitants per km <sup>2</sup>	Share of s&t *) in the total area in %
• Agglomeration areas	34,146	53.7	509	18.6
Central towns	15,108	23.8	2,085	50.4
Suburban counties	19,039	30.0	318	14.8
• Urbanised areas	18,979	29.9	197	11.8
Central towns	3,445	5.4	1,194	35.9
Suburban counties	15,534	24.4	166	11.0
• Rural areas	10,437	16.4	123	8.8
<b>Old Laender total *)</b>	<b>63,563</b>	<b>100.0</b>	<b>256</b>	<b>12.6</b>
• Agglomeration areas	9,229	51.9	352	12.3
Central towns	5,336	30.0	3,064	55.2
Suburban counties	3,893	21.9	159	9.3
• Urbanised areas	5,255	29.6	150	8.0
Central towns	1,147	6.5	1,489	32.6
Suburban counties	4,108	23.1	120	7.5
• Rural areas	3,291	18.5	69	6.0
<b>New Laender total *)</b>	<b>17,775</b>	<b>100.0</b>	<b>163</b>	<b>8.2</b>
• Agglomeration areas	43,375	53.3	465	16.9
Central towns	20,444	25.1	2,275	51.4
Suburban counties	22,932	28.2	272	13.2
• Urbanised areas	24,234	29.8	185	10.8
Central towns	4,592	5.6	1,256	35.2
Suburban counties	19,642	24.1	154	10.1
• Rural areas	13,729	16.9	104	7.8
<b>Germany total</b>	<b>81,338</b>	<b>100.0</b>	<b>228</b>	<b>11.3</b>

1) s&t = Settlement and traffic areas  
 \*) Berlin is regarded as belonging to the new Laender

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)

## The Urban Settlement System

In the Federal Republic, the settlement system is not dominated by one single large metropolis; a number of agglomeration areas and larger towns are spread relatively evenly throughout the territory of the Federal Republic. From a socio-economic and functional point of view, the urban settlement system represents a closely meshed, polycentric structure of towns and their respective hinterlands into which the rural areas are incorporated economically, socially and culturally to a greater or lesser degree. A distinction can be made between monocentric agglomeration areas such as Munich and Berlin and polycentrically structured agglomeration areas such as the Rhine/Ruhr district where there are several towns of roughly equal size rather than one predominant town.

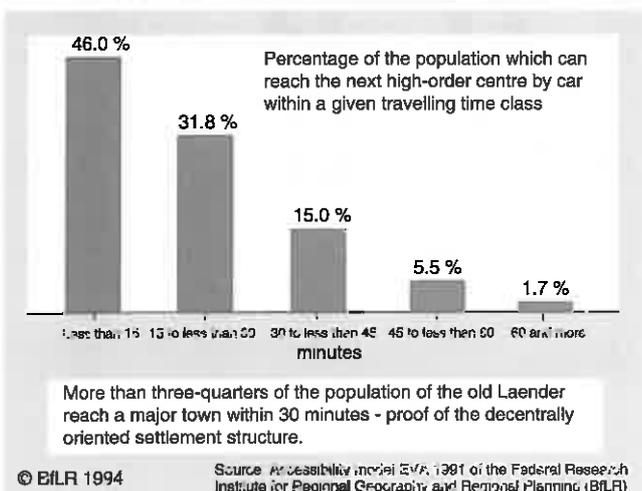
Determining factors for the urban settlement system are the central locations defined by the regional planning of the Laender. At the highest level these are high-order centres, generally towns with more than 100,000 inhabitants. The high-order centres are identical with the larger, supra-regionally significant economic and job market centres. Three-quarters of the population in Germany can reach such a high-order centre within 30 minutes. This is shown by the particularly decentralised urban settlement structure. Middle-order centres, generally towns with 20,000 to under 100,000 inhabitants, fulfil important functions in the regional supply of jobs and consumer goods for the short and medium-term requirements. In the rural areas, the lower-level central towns (small towns) are particularly important for meeting the requirements of the local population.

In many areas, towns are focal points of the social development: Various new forms of life can be most easily lived out in towns; social integration has better chances in the towns, even if the social conflict potential is particularly pronounced in the towns. From an economic point of view, the towns form the major centres for business and the job market. The significance of the various towns has now changed, however: Whereas in the '60s it was the industrially oriented towns which dictated the settlement system, the economic structural change has now brought the major service and administration centres to the forefront.

The importance and functions of the towns are to be seen, on the one hand, from their size and economic specialisation and, on the other, from the extent to which their influence extends into the hinterland.

The catchment areas of the largest towns and most populous agglomeration areas extend well into the rural areas, for example as regards commuter traffic. By far the largest agglomeration area in Germany is the Rhine/Ruhr with roughly eleven million inhabitants, followed by Berlin with almost four million, the Rhine/Main (Frankfurt) and Stuttgart each with around three million and Hamburg and Munich each with approx. two million inhabitants. In the new Laender - with the exception of Berlin - the largest agglomeration areas are Halle/Leipzig and

## Accessibility of major towns



Chemnitz/Zwickau each with around one million inhabitants.

One very special type of agglomeration area is Berlin. Here the contrasts between the old and new Laender collide with one another in a very confined space: On the one hand, we have the contrast between the West and the East part of the town, and on the other hand, the contrast between town and hinterland where the hinterland even belongs to another Land (Brandenburg). The West and East parts of Berlin differ both in their fundamental urban development characteristics (in the East part of the town, for example, the inner city has a high residential function) and in the availability of jobs. The town of Berlin and its hinterland are both trying to exploit the development impetus for the Berlin region expected after German unification.

The percentage of foreign residents is very important for the urban settlement system, particularly in West Germany. Almost half the foreign residents live in the central towns of the agglomeration and urbanised areas. Less than one-third of the German population lives in the central towns. If the population of the central towns has continued to rise in the past years and decades, then this increase was attributable solely to the influx of foreigners. In the central towns of the agglomeration areas, more than 15 percent of the population are aliens. Individual towns such as Frankfurt have a quota of aliens well in excess of 20 percent.

It is for this reason that the question of the cohabitation of the German population with foreigners/aliens is so important for the towns. Recent surveys show that in West Germany, around 70 percent of the population find it good for foreigners and Germans to live together in the same neighbourhood. The willingness to integrate increases, the more contact to foreigners there is already in the neighbourhood. The differences in the willingness to integrate between East and West are the result of differing experiences in cohabitation with foreigners. Far less foreigners live in the towns in the East of Germany than in West German towns.

#### Distribution and percentage of aliens 1993

Settlement structural area types	Aliens in 1,000	Share of aliens in %	Share of Germans in %	Aliens quota in %
• Agglomeration areas	4,195	68.0	52.2	12.3
Central towns	2,377	38.5	22.2	15.7
Suburban counties	1,818	29.5	30.0	9.6
• Urbanised areas	1,375	22.3	30.7	7.2
Central towns	354	5.7	5.4	10.3
Suburban counties	1,021	16.6	25.3	6.6
• Rural areas	596	9.7	17.1	5.7
<b>Old Laender total *)</b>	<b>6,166</b>	<b>100.0</b>	<b>100.0</b>	<b>9.7</b>
Old Laender	6,166	91.6	76.9	9.7
New Laender	563	8.4	23.1	3.2
<b>Germany total</b>	<b>6,729</b>	<b>100.0</b>	<b>100.0</b>	<b>8.3</b>

\*) without Berlin

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)

## 2.1.2 Changes in the Urban Settlement System

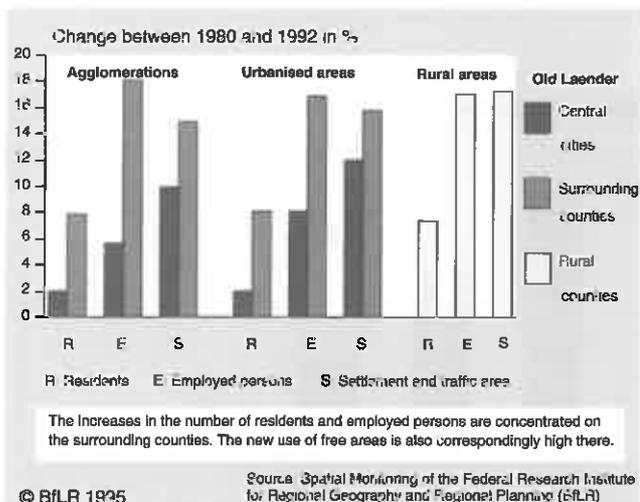
### Current Trends

The trends in the population and employment development in the old Laender show that both the population and the employment are increasing more sharply outside the agglomeration areas. By comparison with the 1980 situation, the population in the rural areas rose up to 1992 by more than seven percent, in the urbanised areas by barely seven percent and in the agglomeration areas by only just over four percent. A similar picture can be seen in the employment figures: The number of employed in the rural areas rose by 17 percent, in the urbanised areas by a good 14 percent and in the agglomeration areas by barely ten percent.

Yet, an undiminished widespread micro-urbanisation process is currently to be observed in Germany. Within the agglomeration and urbanised areas of the old Laender, the increases in population and employment are continuing to be concentrated in the surrounding areas of the various towns. In view of the settlement pressure out of the central towns, the growth in the settlement area, i.e. the use of new free areas, is highest here.

The driving forces of this ongoing suburbanisation process in companies are, in particular, new company forms and flexible organisations which make individual parts of the company and even complete branches relatively independent of particular locations, and the land requirements which can frequently no longer be met in the towns. For the population the driving forces for the suburbanisation are in particular the high land prices in the towns and the growing demands on the quality of the living conditions. Many households still find inexpensive possibilities for meeting their housing wishes most easily in the rural hinterland.

### Resident, employed person and settlement area development



## Population and employment development

Settlement structural area types	Development		Internal migration balance 1991/1992 per 1,000 inhabitants
	Popula- tion	Empley- ment	
	1989- 1993 in %	1989- 1993 in %	
• Agglomeration areas	4.2	5.5	1.8
Central towns	2.7	3.5	1.6
Suburban counties	5.4	8.3	4.5
• Urbanised areas	6.0	8.0	1.7
Central towns	3.8	4.8	1.3
Suburban counties	6.5	9.2	1.8
• Rural areas	5.7	8.4	4.4
<b>Old Laender total</b>	<b>5.0</b>	<b>6.6</b>	<b>2.2</b>
• Agglomeration areas	- 2.8	- 22.7	- 4.3
Central towns	- 1.2	- 24.6	- 3.0
Suburban counties	- 5.0	- 20.3	- 5.9
• Urbanised areas	- 6.1	- 30.9	- 8.9
Central towns	- 6.5	- 62.5	- 9.4
Suburban counties	- 6.0	- 20.9	- 8.7
• Rural areas	- 5.2	- 29.7	- 11.5
<b>New Laender total</b>	<b>- 4.3</b>	<b>- 26.6</b>	<b>- 7.0</b>
• Agglomeration areas	2.6	- 2.3	0.4
Central towns	1.7	- 4.1	2.0
Suburban counties	3.5	0.1	2.6
• Urbanised areas	3.1	- 5.2	0.7
Central towns	1.0	- 15.7	1.5
Suburban counties	3.6	- 1.4	0.5
• Rural areas	2.9	- 5.4	0.4
<b>Germany total</b>	<b>2.8</b>	<b>- 3.6</b>	<b>0.0</b>

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)

The regions in the new Laender have been characterised by a radical adaptation crisis since the German unification. It is linked to major economic and social transitional problems. The necessary structural change associated with an adaptation to the market economy, together with the losses in population due to the emigration into the old Laender and the start of a suburbanisation process are influencing the current settlement development in the new Laender.

Only a few years after unification, there are signs that the regions of the new Laender are handling the structural change in very different ways. The agglomeration areas are obviously having by far the least adaptation problems. With a generally declining employment level, they have extended their position as the dominant workplace locations since 1989. Their share of the population has also increased. The losses due to internal migration in the agglomeration areas of the new Laender are also far lower than in the rural areas.

The driving force for the suburbanisation process in the new Laender is the new freedom of choice of place of residence, place of work and area in which investments are made

which has come with the unification. Whereas the suburbanisation in the old Laender is predominantly characterised by the order residential - retail trade - trade - tertiary services, the reverse and very much shorter sequence exists in the new Laender retail trade - trade - residential.

In the meantime, however, the suburbanisation of the population is on the increase. In the central towns, the available building land is very scarce. Due to the low level of development, the generally clarified ownership situations, the relatively minor problems of soil pollution and for various other reasons, land in the suburbs of the central towns can be made available more quickly and more cheaply and speedy building can be guaranteed. A widespread, disperse settlement development into the surrounding areas of the central towns is thus a foregone conclusion also in the new Laender, amplified by the rapidly increased significance of the car. Between 1990 and 1995, the level of motorisation in the new Laender has increased by over 250 percent.

A large proportion of the current ongoing dynamism of the widespread disperse urbanisation in West and East can be basically explained by the ease of motor transport. The traditional subsidisation of transport (in the public passenger transport and private transport) tends to result in the economic rules of transport effort (time, costs) being annulled. These rules held up the growth of the towns for a long time. In the meantime, however, households can also profit from the benefits of the central towns even from the outlying districts (lower land prices, life in the country). More and more people therefore want to move into the suburbs.

The unhindered large-scale urbanisation process not only creates disadvantages for the urban region as a whole, but also leads to structural deficits and problems in the central towns themselves. In the urban residential areas primarily affected by the town/suburb migration, the loss of the young and mobile families generally belonging to the middle-income groups leads to growing social segregation, to shifts in buying power with a resulting deterioration in the local availability in these areas and to noticeable losses in the financial income from wage and income tax. Since the job in the central town is generally kept, this results in an increase in commuter car traffic with pollutant and noise emissions (on the roads leading into and out of the towns), leading to a further deterioration in the quality of life there and promoting the migration into the suburbs.

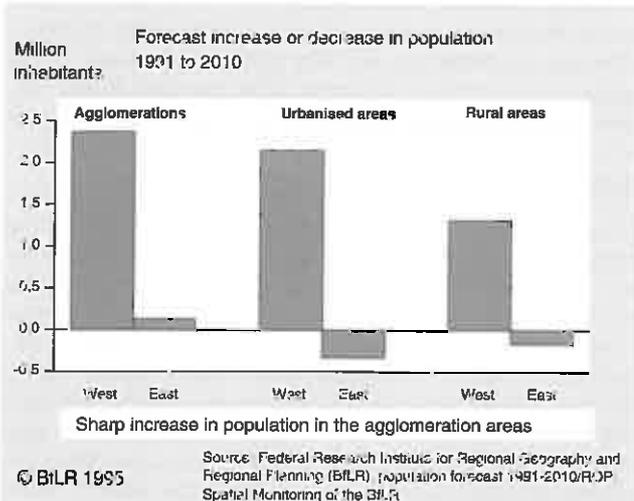
### Medium-Term Perspectives

The settlement structure does not change on its own. The development of settlements is closely interlinked to the economic, technological, demographic, social and political background conditions. If the background conditions change, the settlement development will also change. One example of this is the population development.

At the end of the '80s, the population development in Germany underwent a change in trend: After years of stagnation, the population in the old Laender increased between 1989 and 1991 by almost 2.8 million people, predominantly due to a sharp increase in external migration. Well over half the immigrants came from the Central and

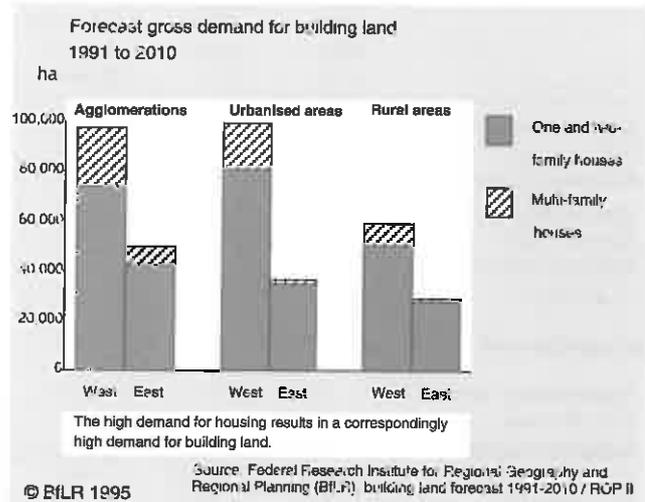
East European transformation states. During the same period, the population in the new Laender fell by around one million due to a high level of emigration to the West and a rapid decline in the birth rate. Of significance for the settlement policy is the fact that the increase and decrease in population took place in spatially concentrated areas: In the old Laender, the large agglomeration areas underwent a disproportionately large increase in relation to their present share of the population. In the new Laender, the decrease in population affected the already sparsely populated rural areas most strongly.

### Medium-term population development



impetus to the urbanisation process, to the horizontal expansion of the towns.

### Forecast demand for building land



The demand for building land forecast by the Federal Research Institute for Regional Geography and Regional Planning (BfLR) in the Regional Policy Forecast 2010 for the period from 1991 to 2010 comes to a total of 370,000 hectares, i.e. some 51 hectares of gross building land per day. The demand for building land will emanate predominantly from single and two-family housing development. A further expansion of the settlement area into the urban hinterland is therefore probable. On the other hand, the demand for land for land-saving multi-family housing construction is relatively low and with a fairly negative trend over the whole forecast period.

The demand for land for business purposes can also be expected to continue to rise in the medium term under status quo conditions, and to lie not far below the demand for residential building land. Particularly in the case of building land in trade estate areas, there is no incentive to be sparing in the use of land. Existing building rights are being exerted less and less, either for reasons of keeping land in reserve or for landscaping reasons. Particularly in the trade, the restructuring towards large scale facilities in non-integrated locations and the increasing specialisation of the facilities is resulting in a considerable increase in demand for building land.

One of the largest "consumers" of land in the towns is the traffic system, primarily due to the high specific land demand of car traffic by comparison with other means of transport. On average car traffic necessitates ten times as much land per person transported as rail, bus, bicycle and on foot, as well as additional car parks. With the continuing disperse urbanisation process and the related further increase in motorisation or a traffic system in which the car is still the dominating form of transport, it goes almost without saying that the demand for additional traffic areas will also continue to increase.

Assuming status quo conditions, a total daily demand for land for settlement purposes of between 100 and 120

hectares in the territory of the Federal Republic of Germany can be regarded as quite realistic - a figure which will automatically lead to a deterioration in the free space situation in practically all the agglomeration areas, as further allocations of land for building will be made at the expense of existing free areas ("free area as building land reserve"). This high quantitative demand for settlement land therefore calls on politicians and regional planners to develop concepts and strategies for a sustainable, resource-conserving and environmentally compatible settlement and urban development.

## 2.2 Environmental Pollution, Environment Quality

At the end of the '60s, the politics in the old Laender in Germany had just "discovered" environmental protection at all state levels. Sulphur dioxide and dust were enormous air pollutants, and the rivers and lakes were severely contaminated. The quality of the environment was threatened. Political countermeasures were now needed. Contamination of the soil, on the other hand, did not come into the environment political discussion until the mid-1980s.

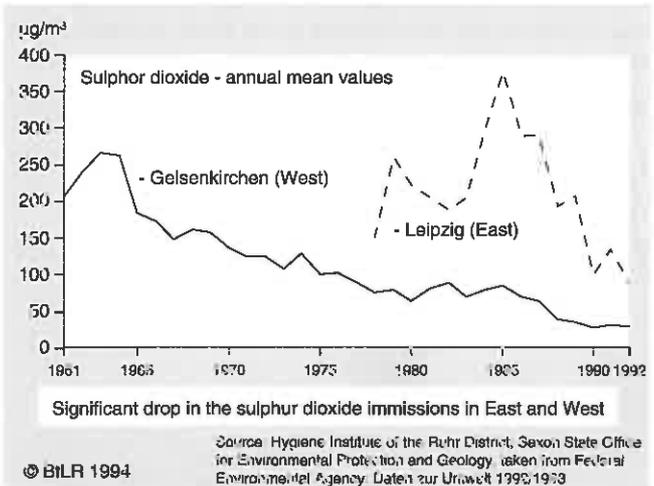
In the mid-90s the environmental situation in Germany is characterised by a contrast between the East and the West Germany towns, and between central towns and other towns. In the towns in West Germany, the general quality of air and water has improved considerably since the '70s. This has been the result of the pressure from an increasingly enlightened population with respect to environmental aspects and, on the political front, the consequence of the introduction of an Environment Protection Act. In the former GDR, on the other hand, environmental aspects had no major role to play in the centrally planned economy. The environment quality in the East German towns has only started to improve in the years following the unification of Germany.

As far as the air pollution is concerned, the differences between East and West Germany on the one hand and the improvements in recent years on the other can be clearly illustrated by a comparison of the situation in two towns, Gelsenkirchen and Leipzig. Gelsenkirchen is located in the middle of the Ruhr district. For many years this region, characterised by the coal and steel industry, was one of the regions in the old Laender most severely affected by air pollution. Leipzig is located in one of the East German lignite mining areas in which the lignite processing industry is also centered. The air quality is assessed on the basis of sulphur dioxide which is used here as a reference substance for the degree of air pollution.

In the early '60s, annual mean sulphur dioxide values of between 200 and 250 micrograms per cubic metre ( $\mu\text{g}/\text{m}^3$ ) were recorded at Gelsenkirchen. A microgram is one millionth of a gram. Since the '60s, the sulphur dioxide concentration has been lowered to values around  $30 \mu\text{g}/\text{m}^3$ . The main reasons for this are the significantly reduced emissions, particularly from the power stations.

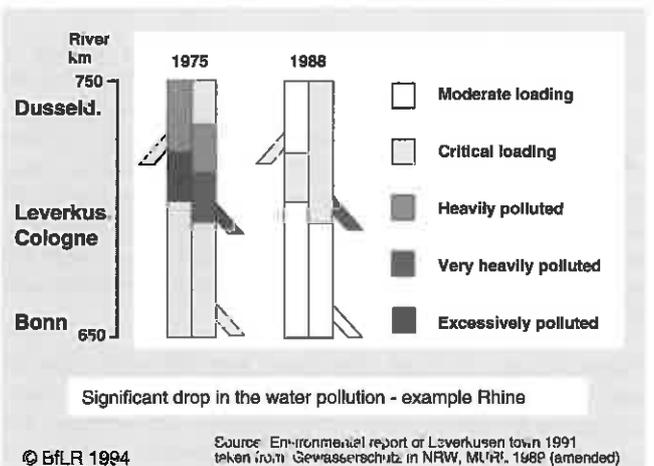
The situation in Leipzig is somewhat different: There, sulphur dioxide concentrations of in some cases over  $200 \mu\text{g}/\text{m}^3$  were measured even in the '80s, values comparable with those in the Ruhr district in the '60s. Since the unification of Germany a reduction to values of around  $100 \mu\text{g}/\text{m}^3$  has been recorded at the beginning of the '90s. The closing down of numerous production plants and power stations has contributed significantly to these improvements.

### Air pollution with sulphur dioxide



As far as the quality of the water is concerned, the situation between the old and new Laender of Germany is comparable with that for the air. Whereas in the old Laender, the water quality and also the condition of the rivers and lakes as a whole have noticeably improved, considerable pollution of rivers and lakes and of the groundwater is still being recorded in the new Laender. Since the unification, the water quality has improved as a result of the drastic reduction in industrial production and due to the construction and operation of new sewage treatment plants.

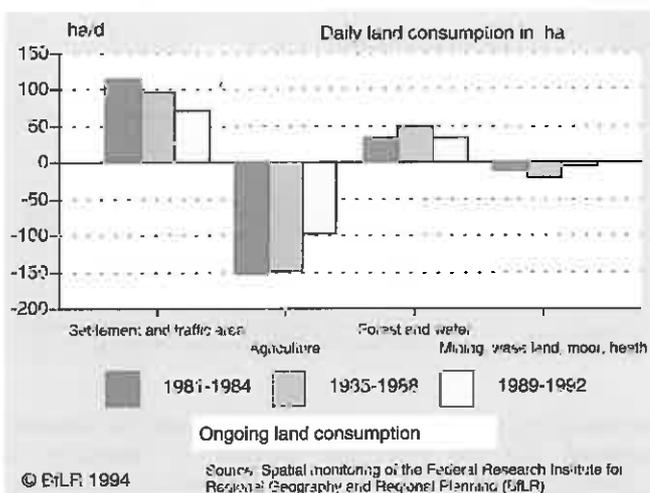
### Water quality in the Rhine



In recent years, the quality of the groundwater has deteriorated seriously in many parts of Germany. The cause of this is the high industrial density, and in rural areas also agriculture with its pesticides and nitrate-based fertilisers which can lead to a long-term impairment of the supply of drinking water. Some agglomeration areas draw a large proportion of their drinking water from urban areas via long-distance supply networks.

Although the increasing urbanisation and an increase in work-sharing with complex spatial interdependences in the old Laender is an expression of the economic strength, it is also linked to new impairments in the fields of traffic, living and environment.

#### Changes in land use - old Laender



In the '80s, the settlement and traffic areas in the old Laender increased daily by some 100 hectares, generally at the expense of land previously used for agriculture, which was often also meadow and pasture land valuable for nature conservation. In some cases, the open land was sealed over with buildings and roads. Rainwater can no longer percolate on these sealed areas, the natural soil formation is disrupted and the water and nature balance is significantly impaired.

The continuing "land consumption" could be limited if already "used" inner city areas were developed more consequently, since the economic structural change often leaves trade and industrial sites idle. However, 80 percent of the towns with more than 50,000 inhabitants have problems in redeveloping these idle areas. This applies in particular in the new Laender where the rapid economic restructuring creates many such idle areas. New users for such areas, however, can only be found in a few towns with a high demand for trade land.

Rapid re-use of these idle trade and industrial sites is generally not possible either as the land is often contaminated with a variety of substances. On average, 4.5 percent of the communal area in German towns are "suspected old trade or industrial sites" with the consequent risk of soil pollution; in individual cases, this figure is as high as 14 percent.

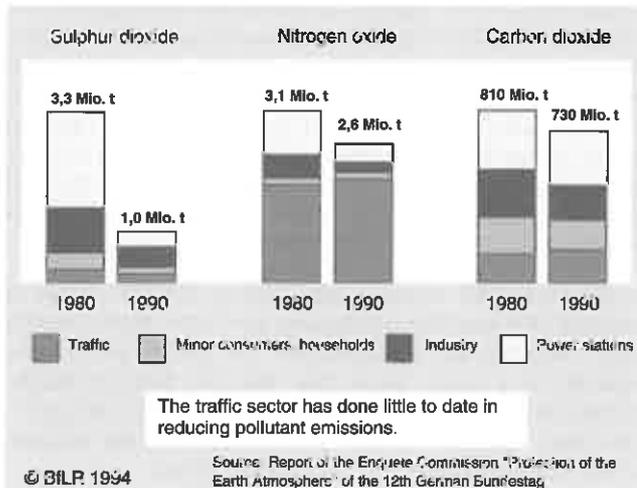
In some cases, this contaminated soil can be particularly hazardous for the groundwater. For example, the extensive contamination caused by a former coking plant in a town in the Ruhr district necessitated rehabilitation of the soil. Pollutants in health-endangering concentrations were discovered in the groundwater. 18,000 cubic metres of soil material had to be transported to the Netherlands where they were burned. This rehabilitation cost DM 17 million.

Such soil contamination or even the mere suspicion prevents the rapid re-use of the idle land. The need for soil rehabilitation can delay the re-use of the land for up to ten years. Additional costs are incurred for the preparation of the land. The decision-makers in the towns and communes complain that there are no standards for assessing old industrial sites and their disposal/rehabilitation. In many cases, discovered or proven ground contamination therefore results only in a simple modification of the plans to the pollution situation. Potential users often divert to other uncontaminated locations.

New environmental pollution is caused also by the increasing traffic. The ongoing widespread suburbanisation and the related decentralisation of spatial use functions mean that home and place of work as well as service and leisure facilities are drifting further and further apart. Commuter distances are increasing and recreational traffic is becoming heavier. In companies, increasing work-sharing, low manufacturing depths in production and low transport costs are resulting in an increase in goods transport. This in turn leads to more traffic with its negative consequences for the environment.

The increase in traffic, particularly motorised private transport, is detracting from the successes achieved by German air pollution control policy in recent years. High-performance filter systems, better heating techniques, improved heat insulation in housing construction as well as the increasing use of oil and gas rather than coal have significantly reduced the air pollution with the "classic" pollutants, sulphur dioxide and dust, since the middle of the '80s in West Germany. Even under very unfavourable weather conditions, smog is now no longer a serious threat.

#### Climate and ozone-relevant emissions



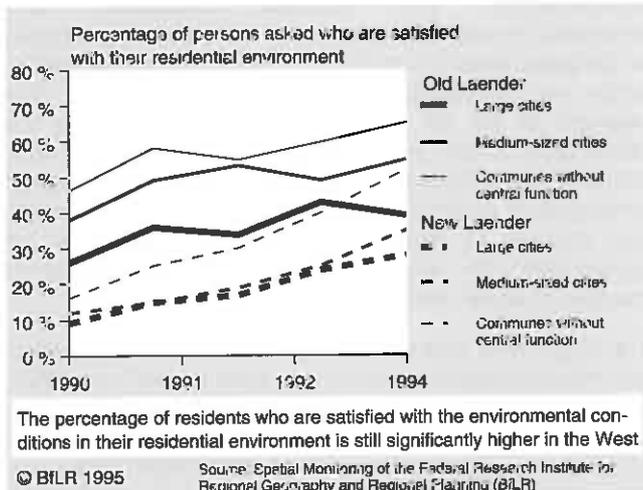
On the other hand, it is now nitrogen oxides which are impairing the air quality in Germany. Traffic is responsible for 73 percent of all nitrogen oxide emissions in the old Laender which contribute to the formation of ozone (O<sub>3</sub>) near the ground. In some cases, it even neutralises the reductions in emissions in other areas.

In Dusseldorf, for example, a reduction in the share of nitrogen oxide emissions from power stations from 50 percent to 15 percent has been achieved since the beginning of the '80s. Nevertheless, the overall concentration of the nitrogen oxide emissions in Dusseldorf barely fell during the '80s. At the beginning of the '90s, the nitrogen oxide concentration is 46 µg/m<sup>3</sup>. At the beginning of the '80s it was roughly 60 µg/m<sup>3</sup>. The constant high overall concentration is attributable to the increase in motorised private transport.

Traffic is also a major cause of "summer smog". In the summer, the high temperatures and continuous solar radiation produce high concentrations of ozone near the ground from the precursor substances and volatile organic gases (VOC). Health impairments are feared. Furthermore, the percentage of CO<sub>2</sub> emissions from road traffic has also increased considerably in recent years. Whereas in the old Laender the figure was only 11.3 percent in 1975, it had risen to over 18 percent by 1991. The role played by road traffic in the CO<sub>2</sub> emissions has also been increasing in the new Laender since unification.

Furthermore the traffic in Germany is the main source of noise nuisance for many people. The results of a survey show that around 70 percent of those questioned felt disturbed by road traffic noise. Residents in the large towns are particularly affected.

#### Environment satisfaction



This overview of the environmental situation in Germany is also reflected in the results of surveys in which the population was asked about their satisfaction with the location in which they live and their environmental situation. The persons questioned at the end of the '80s and beginning of the '90s gave a relatively clear opinion: They were less satisfied with the environmental conditions in the

major towns than in medium-sized towns and quite clearly less than with small towns and rural communes. The gap between the settlement structure types actually becomes larger over the years than that the differences become evened out. Two "classes" of residential location are formed in the West: On the one hand the central and large towns, on the other hand the medium-sized and smaller towns. In the East the population in all residential areas is significantly less satisfied with the environmental conditions in the immediate vicinity of their homes than in the West. Furthermore, there is a corresponding contrast between "city" (large and medium-sized towns) and "country" (communes with no central function).

## 2.3 Economic and Social Situation

Close and complex relationships exist between the economic situation of the towns and urban regions on the one hand and the social situation of their inhabitants on the other. The economic situation determines the scope and type of employment development, and thus

- the income situation of the private households, and
- the financial situation of the public budgets.

### 2.3.1 Economic and Financial Situation

The towns are the prominent centres of the economy and the job market. Around 45 percent of all dependent employed have their place of work in a central town. Almost half the total gross national product in Germany is earned in the central towns. Their economic and financial situation depends not only on the local economic structure, but primarily on the overall economic and employment market development. The German economy has been characterised by widely differing development since unification.

For the old Laender, unification brought a strong positive boost in growth, both in the consumer goods sector and for investment goods. The new Laender, on the other hand, were characterised by extreme fall-offs in production. Since 1992, however, the economic output - starting from a very low level - has risen sharply again. Nevertheless, the regional differences in the economic output between the old and new Laender are still dramatic: The productivity (gross national product per employed person) in the new Laender in 1994 was only slightly more than half that in the old Laender.

With the positive economic development at the end of the '80s, the number of employed in the old Laender rose to the record level of 29.1 million in 1992. This figure had thus increased by more than two million by comparison with 1980. This growth in employment was achieved primarily in the tertiary sector (service sector) through part-time jobs. Since then, however, a decrease in the number of jobs has been observed. Job losses in the industrial sector due to rationalisation and shifting of production to low-wage countries or countries with lower environmental standards

led to a drop in the number of jobs of 1.5 percent in 1993 alone.

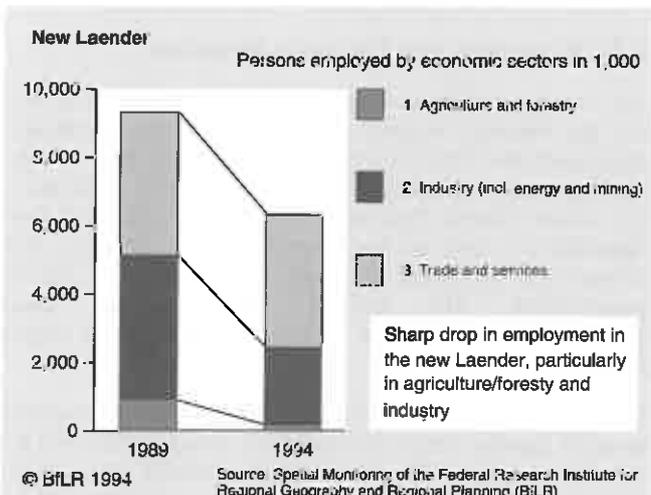
#### Employment development (old Laender)

Period	Employment development in %			
	Total	Secondary sector	Tertiary sector	Part-time employees
1980-87	+ 0.5	- 6.8	+ 8.2	+ 26.3
1987-94	+ 8.1	- 4.1	+ 19.9	+ 40.1
1980-94	+ 8.6	- 10.5	+ 29.7	+ 76.9

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)

In the new Laender the development was rather different. Despite flanking and supporting measures, the sudden changeover of the monetary system and the market conditions resulted in a dramatic drop in employment: The number of jobs fell between 1989 and 1992 by one third - from 9.8 to 6.6 million. Jobs in the industrial sector were particularly hit by this drop. The job total fell between 1989 and 1994 by around 47 percent. The employment market has now stabilised since 1993/1994, although at a low level.

#### Change in economic structures (new Laender)



#### Work Force Development and Employment Market Situation

The economic development in West and East has had far-reaching effects in all towns, if to differing degrees. The economic structural change toward more service-oriented employment is being accompanied by extensive job losses in the production sector and a growing wage differentiation. The gap between the household incomes is increasing again. This applies in particular for the central towns of the growth regions in which economic growth is closely related to the rapid rise in production and enterprise-oriented services.

The tertiary sector is predominant in the central towns. Only a good one-third of the jobs for the dependent employees in the central towns still belong to the secondary sector. In the last 10 years, the towns have lost around 20 percent of their

jobs, whilst the hinterland districts have shown a slight increase. Overall, the towns are losing out relatively, and in some cases even in absolute terms, in economic basis to the surrounding counties.

#### Job availability and job structure in 1994

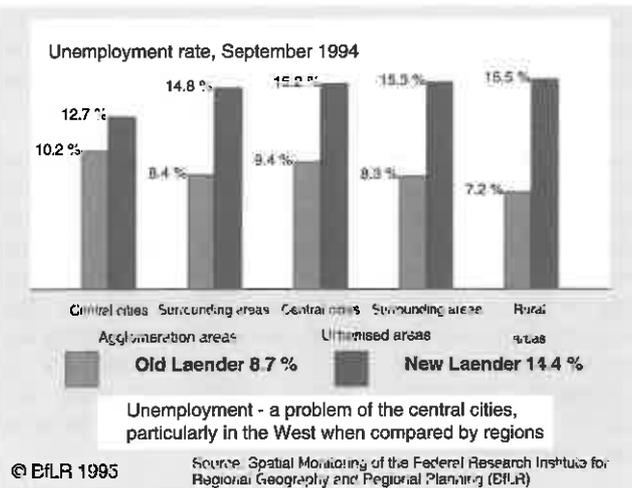
Settlement structural area types	Em- ployees in 1,000	Share of em- ployees in %	Em- ployees per 1,000 capable of work	Em- ployees in tertiary sector in %
• Agglomeration areas	12,389	56.6	535	59.3
Central towns	6,918	31.6	681	66.2
Suburban counties	5,472	25.0	421	50.6
• Urbanised areas	6,165	28.2	480	53.3
Central towns	1,696	7.6	718	65.2
Suburban counties	4,496	20.5	428	48.9
• Rural areas	3,343	15.3	478	48.7
Old Laender total	21,897	100.0	509	56.0
Old Laender	21,897	77.5	509	56.0
New Laender	6,341	22.5	547	61.9
Germany total	28,238	100.0	517	57.3

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)

This development is changing the social structures in the towns in the West: Whilst the middle-income groups in the West German urban regions have grown strongly during the long growth phase after the Second World War, a more polarised structure is to be observed with the development in the first half of the '90s. On the one hand, the highly-qualified and well-paid production and enterprise-oriented service activities are being concentrated in the towns whilst the manufacturing jobs in the secondary sector are decreasing. At the same time, however, that segment of the job market is increasing in which the percentage of low qualifications, low payment, part-time work and also the percentage of legally not insured informal employees is particularly high. In the East German towns, this process of "tertiarisation" is taking place at an accelerated rate and is consequently also resulting in changes in social structures.

The longer-term structural change in the West, aggravated and superimposed by a sharp recession in 1992 and 1993, and in the East the abrupt changeover from a more or less centrally controlled economy to a market economy have led to profound problems in the employment market in East and West. In the West, these are to be particularly clearly seen in the central towns. 36.8 percent of all the unemployed in the West live in central towns (with a population share of only 29.4 percent). In the East the corresponding figure is 30.4 percent (with a population share of 36.4 percent).

## Unemployment



The employment market differences between West and East are obvious. The unemployment rate in the East is almost six percent higher than the unemployment rate in the West. Unemployment in the West is concentrated spatially on the central towns, whilst in the East it is concentrated more on the surrounding and rural areas. However, these data must be seen in the light of differing employment rates. Whilst in the old Laender, the employment rate in 1993 was 71.0 percent (men 81.9 percent, women 59.6 percent), the equivalent figure in the new Laender of 76.0 percent (men 78.6 percent, women 73.3 percent) was five percent higher.

## Financial Situation in the Communes

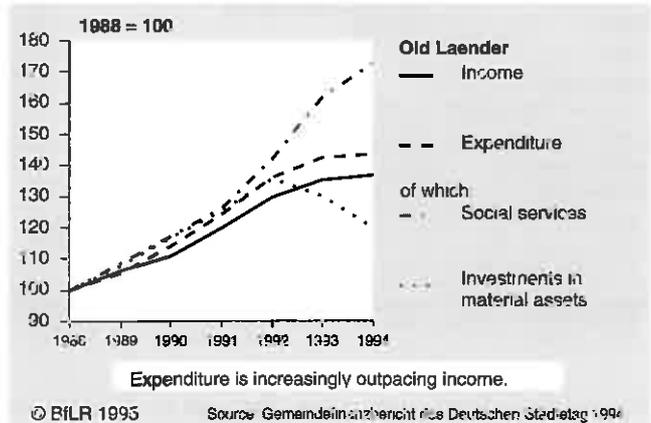
The development in the number of employed persons, in the incomes and in the situation on the employment market has a serious effect on communal finances. On the one hand the social expenditure increases, and on the other the income (e.g. from income tax) decreases. Many towns and communes were unable to present a balanced budget for the financial year 1995. There are a large number of reasons and factors for this:

- The financially and structurally poor economic situation reduces the income of all public authorities. The financial burden of the restructuring in the new Laender also rests on the communes in the West.
- The widening of the responsibilities at communal and regional level decided upon by the Federal government (nursery places, regional transport, rising expenditure for social assistance due to long-term unemployment) has not been offset by any equivalent additional income.
- In the earlier "good" years, the communes took on new personnel and invested in their infrastructure. The consequential costs, however, also have to be borne in the financially "bad" years.

Finally, many towns are faced with additional burdens: They maintain the central local infrastructure, but now receive a smaller share of the income tax than in the earlier years due to migration of the population into other communes in the

surrounding areas, and the costs for social assistance are higher due to the increasing numbers of persons without an adequate, self-earned income. Income and expenditure in the towns are growing further and further apart. The gap is widest in the large towns. The towns and communes then react to this development with a limitation of and reduction in their investment activities.

## Development of the communal finances



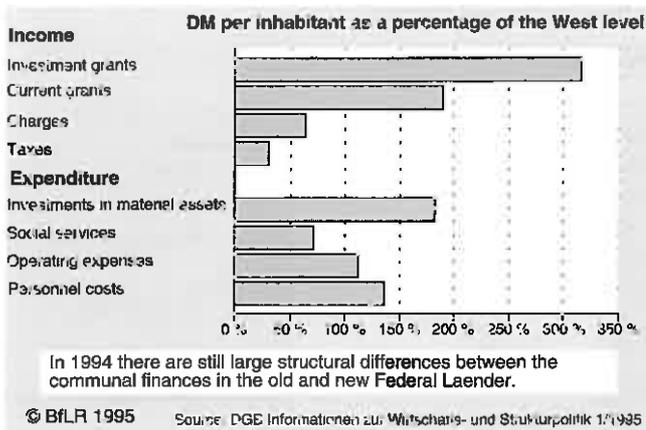
General statements based on average values for the Federal Republic as a whole, however, can mask the often considerable difference between the individual communes. The impression often given that the crisis in the communes surrounding the income from taxes is a general and barely avoidable development with necessarily far-reaching consequences, for example in the expenditure on investments, can be qualified, as there are "rich" and "poor" towns. If we compare the income of the communes from taxation (land tax, trade tax, share of income tax), then considerable differences can be seen between individual large towns: While the income per resident in Frankfurt am Main was 3,168 DM, in Dusseldorf 2,593 DM and in Munich 2,458, it was only 1,384 DM for example in Dortmund and only 1,250 DM in Duisburg (1992 figures).

In the mid-90s, there are large structural differences between the communal finances in the old and new Laender. On the expenditure side, the personnel costs per resident in the East - despite drastic cuts in personnel - are still more than one third higher than in the West. Social services, which are predominantly provided by private organisations in the old Laender, still have to be borne for the most part by the communes in the new Laender. The communes in the new Laender invest 80 percent more per resident than communes in the West. This reflects the great need for renewal and expansion of the communal infrastructure.

On the income side particular attention must be drawn to the small part played by taxes. In the first half of the '90s, the income from tax of the communes in the East reached only one quarter of the West level. The grants, on the other hand, are considerably greater and are twice as high as in the old Laender, with the investment grants even three times as high. The conclusion is thus just as clear as it is

simple: The situation surrounding the communal finances in the East is still inadequate. The low incomes from taxes, in particular, place close restraints on the financial independence of most communes.

#### Comparison of the communal finances in East and West



The dictate of tighter control on communal finances in the coming years will reduce the scope for manoeuvre for the State players in both East and West. The communes will be particularly affected. A policy for towns which permits further development and ecological modernisation and establishes minimum socio-political standards will thus be made more difficult in the foreseeable future.

### 2.3.2 Social Structure Changes and Developments in Social Welfare Payments

The economic structural change has considerable consequences for the social structures: An increasing number of households receive income from transfer services or insecure, precarious working conditions. Work on call, self-employment with low income and "working poor" are today not temporary phenomena. The gap between the employed and the unemployed, between "good" and "bad" jobs remained even in the phase of the economic boom. This reinforcement of the situation is seen as proof of the permanent polarisation of the chances of survival. For a considerable number of the households affected, it is accompanied by the loss of their vocational qualifications and their economic and social resources.

In the Federal Republic of Germany, however, this is not to be equated with a lack of means for meeting the basic requirements such as food, clothing and housing. The assurance of these basic requirements is guaranteed in the Federal Republic of Germany.

Where persons or households on low incomes are not able to satisfy the basic requirements from their own income from work, they receive assistance from public services to enable them to lead a decent life in line with a general socio-political consensus in the Federal Republic of Germany. This is ensured by a varied and interlocking system of social services.

The last safety net for those without sufficient income and wealth and who are not sufficiently provided for by the services of the primary social security system are the social welfare benefits. The objective of these social welfare benefits is to guarantee everyone a decent and humane existence and to break down social deprivations.

"Receipt of social assistance" is not always related to low income. If we consider, for example, the support given for assistance in particular situations in life (e.g. for persons needing special care of handicapped persons), then the receipt of social assistance is attributable less to low income than to the high costs of in-house care measures. The following data taken from the social assistance statistics are limited solely to the data on "regular payments of subsistence allowances outside institutions" which are granted to persons and households on low income to cover their basic needs.

#### Development in the Receipt of Social Assistance (Regular Payments of Subsistence Allowances outside Institutions at the End of the Year)

During the first half of the '80s, the number of persons drawing social assistance rose sharply due to the high unemployment level. During the second half of the '80s and in the early '90s, it rose in particular due to the high level of immigration from abroad.

#### Recipients of regular subsistence allowance payments outside institutions at the end of the year

Year	Total recipients		Recipients aliens	
	in 1,000	per 1,000 inhabitants	in 1,000	per 1,000 aliens
<b>Former Federal Republic</b>				
1980	851	14	71	16
1985	1,398	23	184	42
1989	1,737	28	414	82
1990	1,772	28	483	90
1991	1,819	28	554	96
1992	2,050	32	713	110
1993	2,162	33	711	106
<b>New Laender and East Berlin</b>				
1991	217	14	14	104
1992	289	18	45	220
1993	288	18	35	141
<b>Federal Republic Total</b>				
1993	2,450	30	745	*

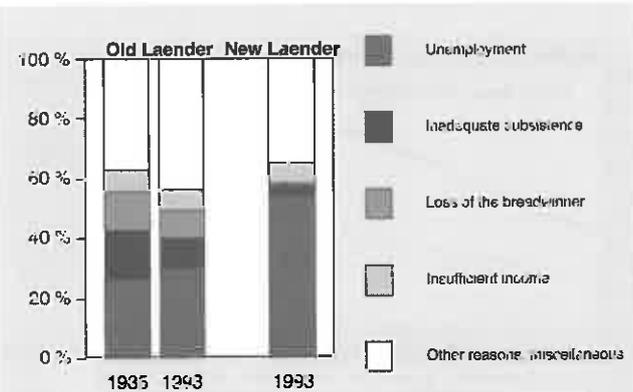
\* cannot be calculated at present

Source: Wirtschaft und Statistik 4/1993 and 7/1994 and Statistical Yearbook 1993

The need for social assistance is (still) lower in the new Laender than in the old Laender. For example in 1993, only 18 persons per 1,000 inhabitants received social assistance in the new Laender compared with 33 persons per 1,000 inhabitants in the old Laender. The main reason for this was the fact that a large number of other financial aids which

softened the impact of the economic structural change had taken effect in the new Laender in 1993. At the same time, unemployment is the main cause of the need for social assistance in the new Laender.

**Reasons for the regular payment of subsistence allowances outside institutions at the end of the year**



Unemployment - one of the main reasons for the drawing of social welfare payments, particularly in the new Laender.

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Source: Wirtschaft und Statistik 2/1987 and 9/1995

The risk of becoming dependent on social assistance has developed differently for the various population groups and household types:

**Aliens:** The increase in the number of persons receiving social assistance among aliens in recent years is attributable primarily to immigrants and persons seeking asylum, persons entitled to asylum, to the "quota refugees" and "de facto refugees". "Quota refugees" are persons accepted without any particular recognition process under an acceptance declaration by the government as part of the humanitarian aid. "De facto refugees" are persons whose application for asylum has been rejected or other refugees who are tolerated in Germany on humanitarian or political grounds or who later receive a residence permit. In 1993, 67 percent of all households with alien heads of the household gave "other reasons" as the grounds for drawing social assistance; these reasons include the application for asylum. The drawing of social assistance in such cases is not the consequence of the reduction to poverty but a social security regulation desired by the society.

Nevertheless, the dependence on social assistance has also increased among aliens having already lived in Germany for many years. The reason - the above-average confrontation with unemployment - lies in particular in their below-average school education and in some cases their lack of vocational training.

**Age structure:** The risk of becoming dependent on social assistance has also developed differently for the various age groups. For the younger age groups, and particularly children under 18 years and young adults, it has increased at a disproportionately high rate, whilst for the age group 50 to 65 years, it has increased at a disproportionately low rate, and has even decreased for those over 65 years.

**Age structure of the recipients of regular subsistence allowance payments outside institutions at the end of the year**

Year	Former Federal Republic		New Laender and East Berlin 1993
	1980	1991	
Age	Percentage of age group as recipients in %		
< 18	35.3	36.8	41.6
18 - 25	8.0	10.1	14.0
25 - 50	25.7	35.1	35.8
50 - 65	11.1	10.6	6.3
65 and older	20.1	7.4	2.3
	per 1,000 inhabitants in each age group		
< 18	21.1	64.9	34.6
18 - 25	8.9	35.2	30.9
25 - 50	8.7	31.1	18.3
50 - 65	10.4	18.4	5.8
65 and older	20.1	16.1	3.0

Source: Wirtschaft und Statistik 4/1993, p. 279; independent calculations of the BfLR

The reasons for the increasing percentage of young people receiving social assistance lie in the employment market. Many young people find difficulty taking the first step into the regular job market. They are thus unable to earn claims from the unemployment insurance, the level before social assistance. Furthermore, young people are less well protected by tariff regulations than their older colleagues in the event of dismissals for economic reasons. If more young people are dependent on social assistance, this consequently also means a larger number of recipients of social assistance among children and youths.

As far as the new Laender are concerned, the number of persons from the younger age groups receiving social assistance will relatively quickly reach the level in the old Laender. On the other hand, persons over 65 years will continue to be less dependent on social assistance in the coming years than in the old Laender.

**Household structure:** Among the recipients of social assistance, the percentage of single-person households with some 46 percent and that of single-parent families of around 19 percent drawing social assistance is generally very high. Households dependent on one potential breadwinner thus bear a high risk of becoming dependent on social assistance. The moderate increase in the number of female single-person households is the result of two mutually opposed processes: A decrease in the number of women above 65 years drawing assistance and an increase in the number of younger women. Although the percentage of households with two potential earners (married couples without and with children) rose slightly, their risk of becoming dependent on social assistance is comparatively low. This applies in particular to married couples without children.

**Households of recipients of regular subsistence allowance payments outside institutions at the end of the year**

• Single-person households				
Year	Total	Female	Male	
Recipients of assistance in 1,000				
1980	268	189	79	
1993	498	255	243	
Percentage of recipients of assistance in %				
1980	51.6	36.4	15.2	
1993	43.3	22.3	21.1	
Recipients of assistance per 1,000 households of the particular recipient group				
1980	35.7	36.4	34.4	
1992	467.8	40.0	60.3	
• Multi-person households				
	without children	with children	Single-parent families* total female head of household	
Recipients of assistance in 1,000				
1980	29	27	98 95	
1993	69	144	228 219	
Percentage of recipients of assistance in %				
1980	5.5	5.1	18.8 18.3	
1993	6.0	12.5	19.8 19.1	
Recipients of assistance per 1,000 households of the particular recipient group				
1980	2.4	2.5	62.3 72.1	
1993	12.4	16.8	116.8 135.1	

\* = Head of household with children

Source: Wirtschaft und Statistik 4/1993, p. 282; independent calculations of the BfLR

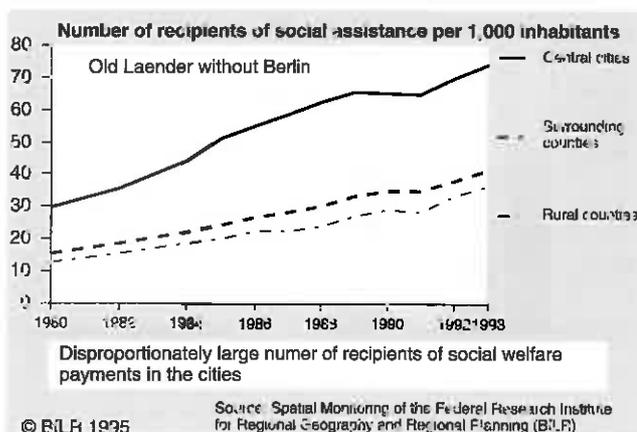
**Regional Differences in the Receipt of Social Assistance**

The differences in the extent of need for social assistance between town and country have not increased in the old Laender between 1980 and 1993. The extent of the need for social assistance has increased proportionally in both areas. The predominant reason for the higher percentage of recipients in the large towns by comparison with the other part-areas is the disproportionately high percentage of households with single parent families, of single-person households and of unemployed in the towns. In the new Laender, only minor regional differences in the extent of the need for social assistance are to be observed.

The concentration of the economically disadvantaged in small areas has increased. Causes of this are the - in many cases unintentional - consequences of socio-political decisions. For example, low-income households are concentrated particularly in large social housing settlements. Further, the disproportionately high increase in the number of recipients of social assistance in traditional industrial areas indicates that people living in these areas

are particularly affected by the cuts in unemployment benefits. The establishment of emergency housing also leads to particularly high percentages of recipients of social assistance in some parts of the towns.

**Increase in the number of recipients of regular payments of subsistence allowances outside institutions at the end of the year according to settlement structural area types**



**2.4 Housing Situation, Housing Availability**

**2.4.1 Housing Stock**

Housing construction in Germany is organised on a market economic basis. Only very few houses belong to the State or other territorial corporations. In order to provide for households with middle to low incomes, towns and communes, trades unions, churches and caritative organisations as well as major companies have founded numerous housing enterprises for their employees aimed at ensuring a social availability of housing. Furthermore, the social housing construction which is financially supported by the Federal government, the Laender and the communes plays a major role in ensuring housing for low-income groups of the population. Furthermore, tenants have themselves formed cooperatives who, with State support, are also involved in the construction and rental of apartments. Around one quarter of Germany's housing stock of 34.1 million apartments is owned by such enterprises.

In the former GDR the vast majority of the apartments built between 1948 and 1990 were built by the State or by the state-controlled workers' housing construction cooperatives. This, together with the confiscation of private housing property, meant that at the end of the '80s, some 58 percent of the housing stock was in the hands of the State and cooperatives. Clarification of the ownership circumstances and the transfer of the state-owned housing stock into private economic administration - even where towns and communes are the capital owners - is one of the most important housing political tasks associated with German unity. These are described in more detail in Part 4.

### Housing stock of former Federal Republic 1987

Settlement structural area types	Housing stock in 1,000	Housing in buildings with 1 or 2 apartments in %	Social apartments <sup>1</sup>	Housing quality <sup>2</sup>
• Agglomeration areas	15,285	37.6	23.6	74.3
Central towns	8,148	19.5	29.6	72.8
Suburban counties	7,134	58.3	16.7	76.0
• Urbanised areas	7,152	58.3	15.4	71.7
Central towns	1,559	26.2	22.8	76.9
Suburban counties	5,592	67.2	13.3	70.3
• Rural areas	3,843	64.1	13.6	65.3
Ex-Federal Republic	26,278	47.1	19.9	72.3

1) Direct support  
2) Houses with central heating, bath and WC

Source: GWZ 1987

Due to the high level of urbanisation, most apartments in Germany are located in multi-storey houses. Nevertheless, 48.2 percent of the housing stock in the old Laender in 1993 was in self-owned homes (i.e. buildings with one or two residential units), because here the demand for self-owned homes from the major towns was satisfied by new constructions in the communes of the surrounding areas. This resulted in a more rapid growth in the population figures in the surrounding areas. In the large towns, social housing construction has a major role in the promotion of housebuilding. This will be discussed in more detail in Part 4. There is thus a far higher percentage of social housing in the towns than in the rural districts.

In the new Laender, the percentage of apartments in buildings with one and two residential units in 1993 was only 32.7 percent, as self-owned home construction was not promoted between 1948 and 1990. For the same reason, the percentage of housing with at least four rooms is also very much lower in the new Laender (27 percent) than in the old Laender (40 percent). The average size of the apartments in multi-unit houses also differs widely between the two parts of Germany: Whereas in the West, two-thirds of the new rental housing built in recent years has a useful area of more than 60 square metres, less than a quarter of the new apartments in the East has this size. The construction of housing suitable for families - which is also of major significance in the old Laender - is thus an important aim for the new Laender.

In the whole of Germany, only around one third of the existing housing was built before the end of the Second World War and thus older than 50 years. Less new housing was built in the former GDR. The share of old building in the housing stock in the new Laender is consequently 51.5 percent. Many of the older residential buildings in the old Laender have been modernised so that their amenities standard is more or less equivalent to that of a new building. The modernisation of the existing housing in the new Laender reveals even greater deficits than in new houses. This is also reflected in the standard of technical

maintenance of the houses and in the amenities in the houses: More than half the apartments in the multi-unit houses built before 1945 exhibited serious structural faults or had become uninhabitable by 1990 according to the statistics of the GDR. Whereas 99.5 percent of all apartments in the old Laender are equipped with a bath and toilette, this applies to only around four-fifths of the apartments in the new Laender. This reflects not only a fault in the buildings themselves. In many cases, there is also a lack of a suitable sewage disposal through sewage treatment plants.

In the heating of the apartments, too, the high standard in West Germany is nowhere near reached in the new Laender. In 1993, a good four-fifths of the apartments in the West had a modern central heating system, in the East only 57 percent. The improvement in the technical standard of the apartments and in the standard of amenities will cost an estimated investment volume of several hundred thousand million DM. In this area again, the housing policy is faced with a very great challenge.

## 2.4.2 Housing Availability

### Home Ownership

More than one third of all the households in Germany (some 39 percent) own the houses or apartments in which they live. In the old Laender where the property formation after the Second World War was a central aim of the housebuilding promotion, the quota in 1993 was 41.7 percent. At the census in 1987, the figure had been roughly 38 percent. In the central towns of the large agglomeration areas, there are far fewer home owners than in rural areas, due at least in part to the high land prices. In the new Laender, the home ownership quota is 26.4 percent.

Most home owners live in their own house (old Laender 1987: 84 percent), only twelve percent of the apartments are resident-owned apartments (1987 figure for the old Laender).

Despite intensive promotion of home ownership and high ownership quotas in new housing, the ownership quota in the former Federal Republic increased only slowly: From 36.1 percent in 1978 to roughly 38 percent in 1987. Significantly greater increases are to be seen in the individual household sizes, for example for the four-person households from 50.3 to 58.6 percent. A notable increase from 18.4 to 20.7 percent also took place even in single-person households which have only a very low ownership quota. Due to the sharp increase in the number of single-person households - young adults are leaving their parents' house earlier and earlier and live alone in their own apartment in the period up to the founding of a family - the structures have now shifted so far that the ownership quota among the single-person households as a whole has increased only very slightly.

### Housing availability in the former Federal Republic 1987/1993

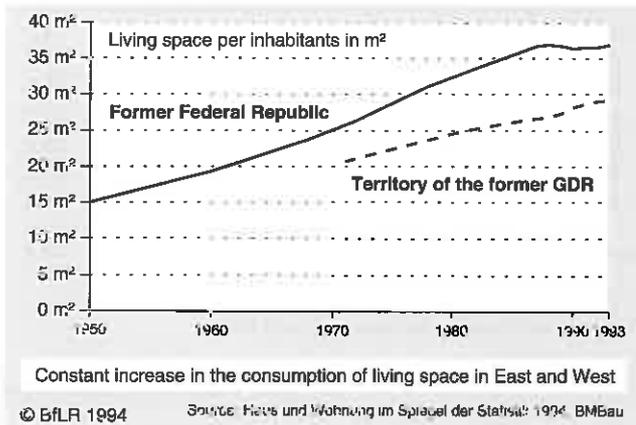
Settlement structural area types	Ownership quota (households)	Living space per resident in m <sup>2</sup>		House rent* in DM/m <sup>2</sup> 1987
		1987	1993	
• Agglomeration areas	30.8	36.1	36.1	7.29
Central towns	18.1	35.4	34.9	7.36
Suburban counties	45.7	36.8	37.1	7.15
• Urbanised areas	45.0	37.3	37.6	6.37
Central towns	22.9	35.1	35.7	6.98
Suburban counties	51.5	37.8	38.0	6.06
• Rural areas	50.8	38.0	38.4	5.87
Ex-Federal Republic	38.1	35.5	36.9	6.93

\* Average housing rental, weighted for pure rental housing with indication of rent

Source: GWZ 1987, Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)

Home owners have more living space available per resident than persons living in rented accommodation (38.3 square metres per person compared with 33.0 square metres in the old Laender in 1987).

### Consumption of living space



Added to this is the fact that the low-income groups find it more and more difficult to buy their own apartment or to build their own house in view of the disproportionately high increases in land and building prices in relation to the income development. The different chances of purchasing housing property become even more apparent when we compare town and country: The significantly higher land prices result in significantly higher costs when purchasing housing property in most larger central towns than in the surrounding areas, as the regional differences in the building costs are small by comparison with the land prices. In some central towns, the land costs already make up more than half the total building costs or purchase price for an apartment in a single-family or two-family house.

### Living Space Availability

Since the great shortage of housing immediately after the Second World War, the availability of housing in Germany - measured on the available living space per resident - has improved steadily. In 1993 it was 36.2 square metres per resident. The difference between the two parts of Germany is considerable: 37.8 square metres per person in the old Laender as compared with 29.5 square metres in the new Laender. Smaller apartments and less resident-owned houses were built in the GDR.

On average there are only minor differences in living space availability between the central towns and the rural counties. The poorer availability in the central towns compared with the rural counties is determined to a great extent by the different household structures in the two area types. The large towns have a far higher percentage of single-person households which claim more and more living space than larger households. Cleared of this structural effect, the availability of living space in rural counties is twice that of the central towns. The central towns have lagged further and further behind since 1987: The living space per resident decreased in the central towns whilst remaining more or less constant in the other county types.

Despite a generally good availability of housing, there are also households in both parts of Germany living in confined conditions. There is no official definition for "under-availability". However, the minimum standard is frequently described as that one living room should be available per person, bathroom and kitchen not included. On the basis of this description, between nine and ten percent of households living in rented accommodation in both parts of Germany do not have sufficient living space. According to calculations in a study on emergency housing situations, this affected around 1,150,000 persons in the old Laender in 1987.

### Rent Burden

Tenants in the old Laender have to spend roughly 25 percent, in the new Laender 20 percent, of their net income on rent including heating, whereby the rent burden for low-income households is considerably reduced by the state rent assistance payments. As a result of the high immigration rates and increases in income at the beginning of the '90s, the demand for accommodation in the old Laender increased so fast that the construction of new housing could initially not keep pace.

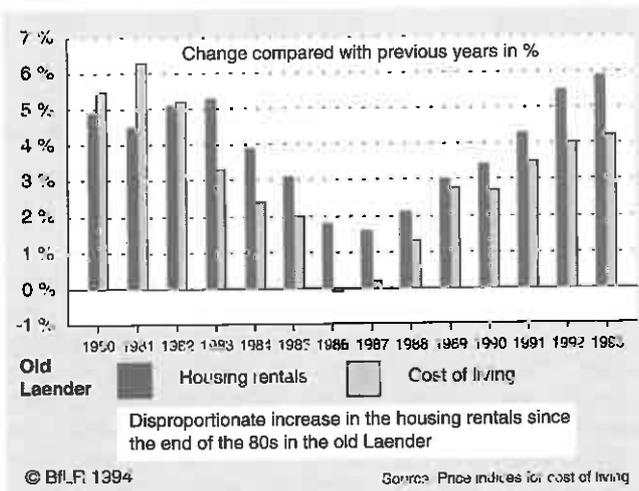
In the old Laender, the rents increased between 1987 and 1993 at an ever faster rate. During the course of 1993 when the rate of rent increase reached 5.9 percent, the widening relief on the housing market due to the high volume of new construction resulted in a turn-around in the rent development trend. The rate of increase fell to 4.6 percent in 1994 and decreased further by October 1995 to 3.7 percent.

The rent index provides information on the development of the rents in the total housing stock, i.e. of the rents both in existing rental agreements and for new rentals. Since changes in conditions on the housing market affect the rents agreed in new rental agreements, the rents for first

rental and new rental provide the best indicator for current shifts in availability on the housing market.

The decreasing pressure on the housing market was reflected for the first time since the middle of the '80s in a general drop in rents for first rental and new rental agreements in 1995. Whilst the prices in older housing fell only slightly, the rents in houses built after the war (completed after 01.01.1949) fell by 2.9 percent for average accommodation and by 3.5 percent for higher quality accommodation. In 1994, the reductions in the rent had been restricted to houses built after the war and new buildings with high quality accommodation.

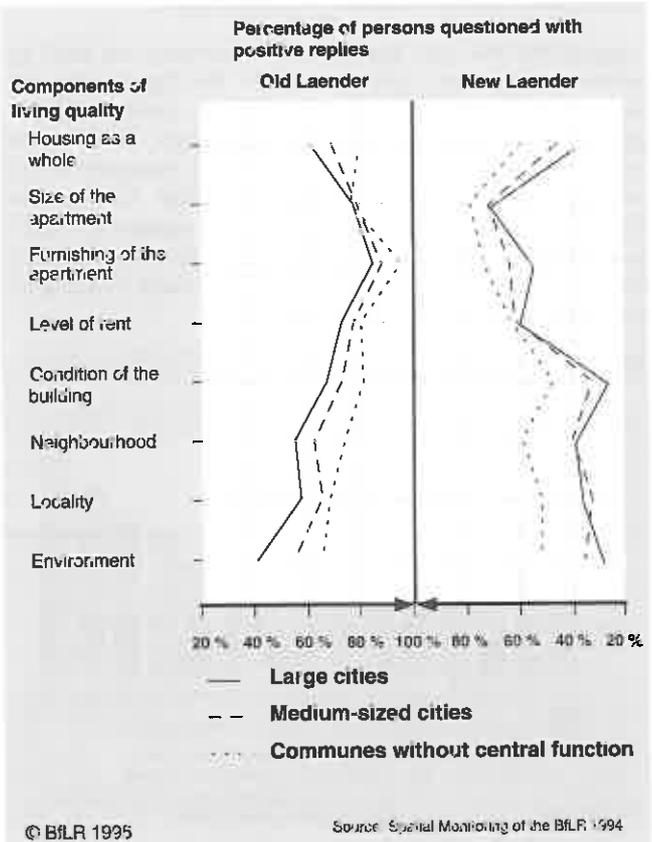
### Housing rents and cost of living



In conjunction with the interpretation of the rent index, it must be taken into consideration that this is also influenced by the development in the cold operating costs. Main components of this development are the communal charges - for waste disposal and sewage - which have risen more sharply than the basic rents in recent years.

Despite the drop in rents for first rental and new rental agreements currently to be observed, the availability of inexpensive, affordable accommodation is still very tight in many agglomeration areas. The price statistics of the Ring Deutscher Makler (German Estate Agents' Association) show also the regional differences: For a new rental agreement, the rent for an apartment in the most expensive large town costs two and a half times that of a comparable apartment in the least expensive medium-sized town (old Laender 1994; building completed after 1949 with average living quality). The same statistics show that for the home purchase, the difference is even twice as large.

### Components of living quality



The comparison of the settlement structure shows, on the one hand, a generally higher satisfaction in the West and, on the other, a generally more positive view of the living situation outside the large towns and medium-sized towns in both East and West. Disparities are to be seen particularly in the evaluation of the building and of the neighbourhood, with respect to the apartment in the evaluation of the size and amenities of the apartment. Despite these disparities, however, the evaluation pattern is generally comparable.

### 2.4.3 Building of New Housing

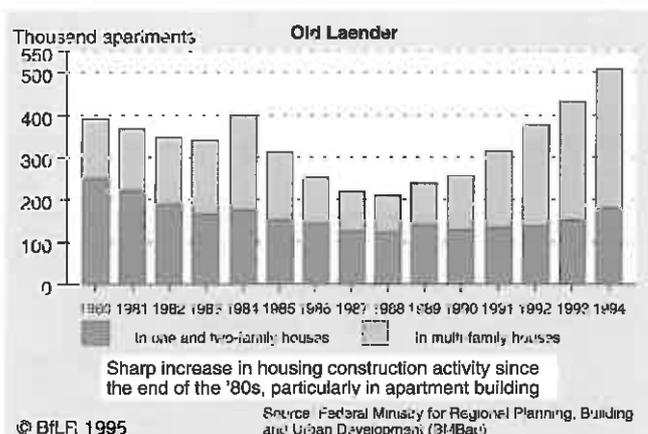
#### Current New Building Activity

New building activity in the old Laender reacted with a certain delay to the enormous increase in demand resulting from the sharp increase in the number of households. Since the nadir was reached in 1988 with only 208,621 completed residential units, the building of new houses has been significantly expanded and almost tripled in 1994 with 573,859 residential units completed. The growth is almost exclusively the result of the building of apartments in multi-unit houses (1994: up 270 percent compared with 1988) and the conversion and extension of existing housing stock (up 206 percent), whilst the building of new residential units in one and two-family houses exhibited a smaller increase of plus twelve percent. The trend in the building of new resident-owned houses (one and two-family houses)

has been on the downturn since 1980, but has stabilised in recent years and currently on the upturn again.

Roughly half the new apartments in Germany are built by private persons as building owner. The figure was 53 percent in the old Laender in 1992. 41 percent of the apartments are built by housing companies, while other companies and state institutions build a negligibly small percentage. Whereas one and two-family houses are predominantly built by private persons (81 percent in 1992), apartments in multi-family houses are generally built by housing companies, although one third of these apartments are also built by private persons.

### New housing construction



The intensity of new housing construction (completions per 1,000 inhabitants) has been relatively low in the agglomeration areas in recent years, despite the very large increase in population. This applies in particular to the central towns in which only eleven apartments per 1,000 inhabitants were built between 1990 and 1993, compared with 18 apartments in the surrounding areas. One reason for this difference may be the situation on the building land market. In the central cities of the agglomeration areas, land ready for building is not sufficiently available, and the existing building land is not sufficiently marketed. A further problem are the - by international comparison - very high land and building costs in Germany. Despite numerous model projects, it has not been possible to introduce a widespread cost and land-saving style of building to the market.

The housebuilding activity is increasingly tending to move into the more remote rural hinterland of the agglomeration areas. This development is surprising, as the growth in new housing construction is borne almost exclusively by the multi-family houses which have traditionally been built in the central towns and in their immediate hinterland. Only 27.8 percent of all the new apartments built in the central towns are located in buildings with one of two apartments. This supports the thesis that not only home owner/builders but also more and more rental tenants are involved in the migration into the urban hinterland or the suburbanisation process.

### New housing construction in the former Federal 1991 - 1993

Settlement structural area types	Apartments completed 1991-1993			Apartments in houses with 1 or 2 apartments 1993 in %
	total in 1,000	per 1,000 inh.	1987-89 = 100	
• Agglomeration areas	537.9	14.8	158.6	35.0
Central towns	189.1	10.9	151.9	19.6
Suburban counties	348.8	18.3	162.5	42.6
• Urbanised areas	369.3	19.5	182.2	44.5
Central towns	56.2	16.3	174.5	22.9
Suburban counties	313.2	20.2	183.7	48.4
• Rural areas	213.7	20.5	174.0	51.3
Ex-Federal Republic	1,120.9	17.1	168.7	41.3

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)

In the new Laender, the repair and modernisation of the housing stock are the predominant concerns, but investments must continue to be made in new building activity. The restructuring of the building and housing economy was naturally initially characterised by a sharp drop in the number of new houses completed, whilst the building volume of the housing stock rose several times over. Whilst 62,000 new apartments were completed in the new Laender in 1990, the building activity fell by 1992 to only 11,000 completions. Then, however, a strong upturn set in: 23,600 apartments were completed in 1993, and the building of 82,600 new apartments approved. In 1994, a total of 68,660 apartments were completed and the number of apartment building approvals rose to 126,260.

### Medium-Term Housing Demand and New Construction Activity

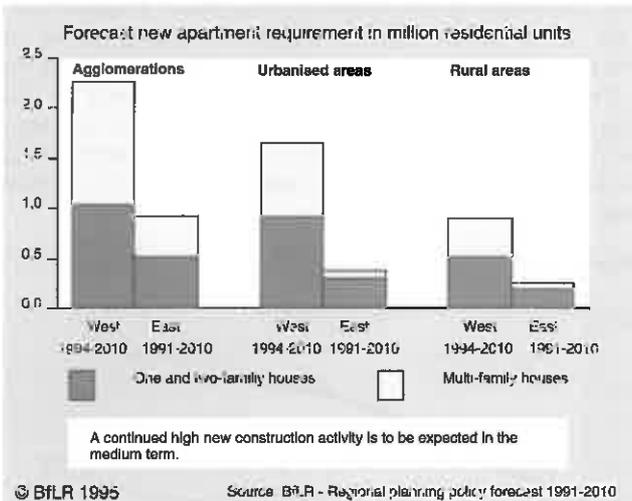
The Regional Policy Forecast 2010 of the BfLR predicts the following medium-term demographic development trends which are important for the future demand for new housing:

- Between the years 1992 and 2010, the population in Germany will increase by 5.5 million. The number of households will increase during this period by 3.8 million, the average size of the household will drop from 2.27 to 2.21.
- The percentage of single-person households will increase only slightly, in the old Laender it will even fall. Due to the low birth rate years, the founders of new households will lose significance for the housing demand.
- The decline in the percentage of households with three and more persons will come to a standstill between 1995 and 2000, and is then only half as strong as in the years up to 1995.

These demographic development trends alone show that the demand for housing as a whole will remain at a high level and will be more family-orientated than in the recent past.

The housing forecast for the old Laender drawn up by the BfLR based on these development trends continues to assume that the growth rates in the ownership quota and the individual living space demand will slow down in future as a result of initial saturation trends and the disproportionately large increases in housing costs. This is a very cautious assumption, particularly as far as the ownership quota is concerned, since it is a declared political aim to promote home ownership more strongly. An accelerated assimilation of the housing demand behaviour is expected in the new Laender from the year 2000. The forecast also assumes that the loss of housing in the new Laender will be limited essentially to older buildings and that in the old Laender, an overall increase in the availability of living space will be created to a similar extent as in the past by conversion and extension of the existing housing stock.

### Forecast new housing construction



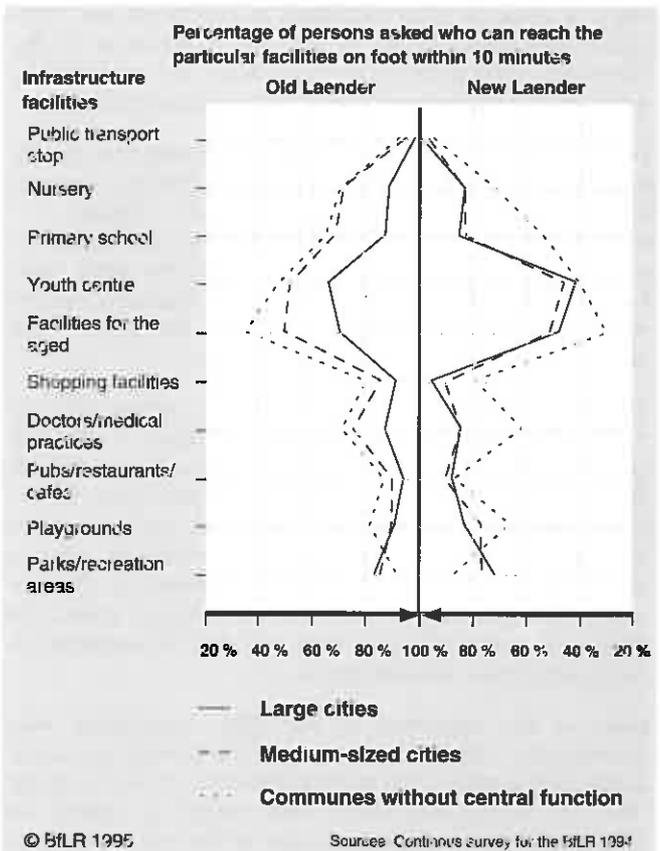
According to the **housing forecast** of the BfLR, an average of 410,000 apartments must be built by the erection of new buildings up to the year 2000. That is far less than the 502,550 units completed in 1994. For the old Laender, the comparison of the forecast annual construction rate of 346,000 apartments (1994-2000) with the 269,000 units achieved from 1987 up to 1994 shows clearly that in the medium term, a considerably higher rate of new housing construction is to be expected than in the past. In the new Laender, a slight increase in the construction of resident-owned houses is to be expected compared with the construction rate in 1994. However during the same period the average annual construction of apartments in multi-family houses will drop to around 80 percent of the value for 1994.

Under the status quo assumptions of the housing forecast, a continued high level of building activity is to be expected in the medium term, particularly in the land-intensive one and two-family housing sector.

## 2.5 Selected Aspects of the Infrastructure

The infrastructure facilities are of central significance for the towns and their development. An inadequate infrastructure can be a disadvantage for a location, whilst a good infrastructure can positively influence the choice of location of households and companies. Traffic infrastructures, supply and disposal systems and social institutions all have a strong public property character and play a significant role in determining the living and environmental quality in the towns. There is still considerable potential for reducing emissions, for improving the environmental situation in towns and for promoting an ecologically sustainable settlement and urban development, particularly in the traffic sector and in the technical supply and disposal infrastructure. As far as the social facilities are concerned, it is primarily a question of maintaining the - by international standards - very high standard of the facilities in times of tight money flows and financial crises in the public sector.

### Accessibility of infrastructure facilities



If we regard the accessibility of infrastructure facilities within 10 minutes on foot as an adequate availability, then the Federal Republic can be considered as being generally well provided for, both in East and West. This does not apply, however, to youth centres or to facilities for the aged. And there is a clear difference between town and country. Large towns are always better provided for than medium-sized towns, which in turn are better provided for than communes without a central function.

A comparison of East and West shows a generally better infrastructure availability in the West. Exceptions in 1990 are the better availability of shopping facilities outside the major towns and the availability of crèches and primary schools in the East. The East/West comparison also shows clearly the settlement structural effects of various regional policy concepts: In the West, the large towns in particular are very well provided for and can be clearly distinguished from the other communes. In the East, a distinction can be drawn between well-situated towns as a whole (large and medium-sized towns) and the small towns/rural communities whose provision is below-average not only in the settlement structure comparison for the East, but also in comparison with smaller communes in the West.

### 2.5.1 Traffic Facilities

The length and density of the road network are major factors for assessing the quality of the traffic facilities. If we relate the total length of the roads to the area of the Federal Republic of Germany (356,732 square kilometres) then we obtain a value of 1,793 kilometres of road length per 1,000 square kilometres of area. In rail traffic, a network of 40,800 kilometres operational length is available, corresponding to a density of 114 kilometres per 1,000 square kilometres.

Due to its system, the road network is considerably denser than the rail network. The high network density of the road infrastructure promotes the individual freedom of movement. It ensures that central facilities can always be reached in the shortest possible time. At the same time, however, the mass use of the car - West Germany has the highest degree of motorisation in Europe - detracts from the quality of life and the mobility in the towns.

The degree of motorisation (cars including estate cars per 1,000 inhabitants) has more than doubled in the old Laender over the last 20 years. In 1994 there were roughly 500 cars per 1,000 inhabitants. The starting figure for the new Laender before unification was 235 cars per 1,000 inhabitants. The degree of motorisation increased, referred to the West German level, from 50 percent in 1989 to around 80 percent in 1994. For the coming years, the degree of motorisation in West and East is expected to continue to move closer together.

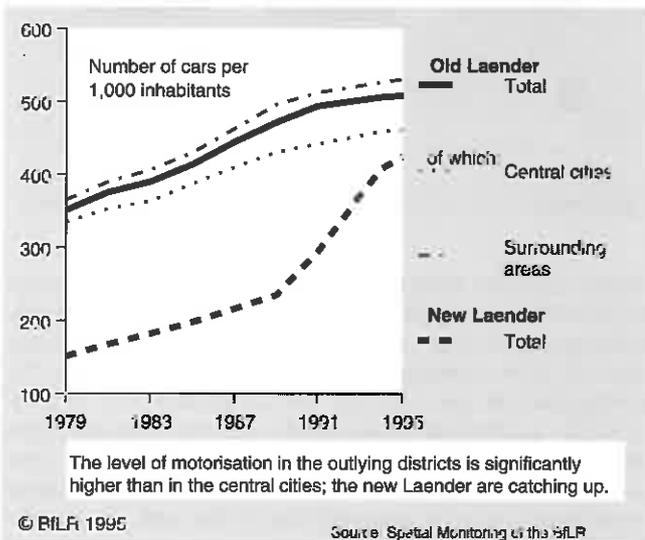
Even at the beginning of the '60s, motorisation was considerably higher in the centres of the densely populated areas (old Laender) than in the surrounding areas. Up to the '90s, the surrounding areas have caught up rapidly. In general, the degree of motorisation in the central towns of the agglomeration areas and urbanised zones lies more or less significantly below the average for the nation as a whole. In the central towns of the agglomeration areas, local public passenger transportation is rapidly gaining ground.

Expansion of local public passenger transportation has been practised since the mid-'60s on the basis of the Communal Public Transport Financing Act. The aim is to entice car drivers away from their cars and onto local public passenger transport. According to a survey of towns, the share of the total traffic in towns held by the local public passenger transportation lies between 13 and 45 percent,

whereby large towns in the old Laender (West Berlin, Munich) with a good local public passenger transport network and compact, less sprawled large towns in the new Laender (Leipzig, Dresden) with low degrees of motorisation exhibit the highest values. Middle-order large towns in the old Laender with good local public passenger transport networks (for example, Freiburg, Karlsruhe) achieve an average of 36 percent; in Weimar, as a smaller town in the new Laender (60,000 inhabitants), the figure is 31 percent. This shows that an acceptable availability of local public passenger transport does not have to be the privilege of large towns.

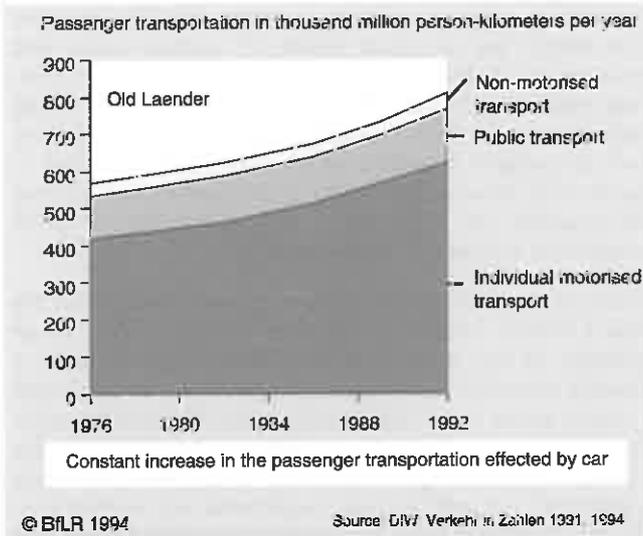
The "motorisation wave" is continuing to spread more and more toward the outer edge of the densely populated areas and into the rural hinterland. The degree of motorisation is increasing considerably faster in the surrounding areas than in the central towns. One of the main reasons for this is the suburbanisation of the surrounding areas. More and more people are living in sprawling and disperse settlement structures. The possibility of being able to get more or less anywhere relatively quickly by car has significantly influenced this development. On the other hand, traffic is only stimulated by the availability of a traffic infrastructure. This, to a certain extent, creates a vicious circle of urban-rural migration, whereby the diminished quality of life in the town caused by traffic is one of the reasons for this migration out of the towns and into the surrounding areas. As a result, more traffic is generated in the surrounding areas and creates a further traffic burden in the central town.

#### Motorisation



The density of the traffic network and the degree of motorisation are only indicators of the infrastructure. They say nothing about the related environment-relevant burdens. The problems for the environment of a denser network and a higher degree of motorisation emanate from the disproportionately high and undifferentiated use of the car in all areas with the increasing distances and almost constant frequency of travel and travelling time.

## Passenger transportation



The number of journeys made by car has doubled between 1960 and 1990. The transportation rate (i.e. person-kilometres per year) as a factor for the effects of motor traffic, particularly traffic-related emissions, has roughly trebled between 1960 and 1990, from around 270,000 million person-kilometres per year to over 700,000 million. Almost the whole increase was attributable to motorised private transport.

Listed below are, in brief, some of the main problems of the increasing traffic for the environment:

- The rapid and inexpensive accessibility of destinations in the hinterland by car promotes distance-intensive ways of life and transport-intensive business systems. The car creates distances which, in turn, can only be covered by car, with the result that more and more people are travelling longer and longer distances.
- The number of cars which, at least during the peak periods, are in motion on a very large number of network routes and particularly in the inner cities and agglomeration areas, can hardly be handled; they cause emissions, create safety problems and take up space, particularly in areas where land is scarce and where the land could be used for more valuable applications.
- Despite the high degree of motorisation, households without a car are not a minority group. In the old Laender, there are some 7.5 million households without their own car, or 27 percent of all households. In large towns with over 500,000 inhabitants the share of households without their own car is over 37 percent. The people in these households feel more and more disturbed by the emissions and noise from the cars.

These problems demand action to reduce the environmental burden, improve the urban planning situation, relieve the strain of the traffic situation and make road traffic safer.

## 2.5.2 Supply and Disposal Infrastructure

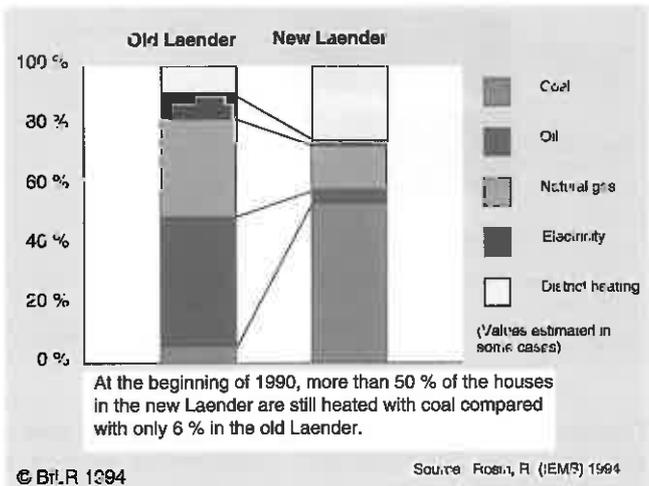
### Energy Supply

In the past 20 years, the line-bound energy infrastructure has been continuously and significantly extended. This trend can be most clearly seen in new housing construction, where the vast majority of the houses are now supplied with gas and district heating. At the same time, the supply with fuel oil has been superseded in the old Laender. In the mid-'90s, almost one in every three apartments in the old Laender is supplied with natural gas.

In the new Laender, natural gas has gained in significance only in the last few years. Households with individual heating systems have particularly profited from this. Since this conversion has provided an alternative to brown coal in the new Laender, the air quality has improved significantly. The percentage of coal and wood-fired individual and multi-room ovens in the new Laender is still 60 percent, compared with only seven percent in the old Laender.

A difference is also to be seen between old and new Laender in the availability of district heat. Whilst in the old Laender, despite in some cases massive financial support, district heat reaches only roughly nine percent of the total housing stock, the equivalent figure in the new Laender is over 20 percent. Only around 20 percent of the district heat in the new Laender is generated in combined heat/power stations. The majority of the plants are outdated and must be retrofitted in the near future in order to meet the West German emissions standard.

### Energy medium structure of the housing stock



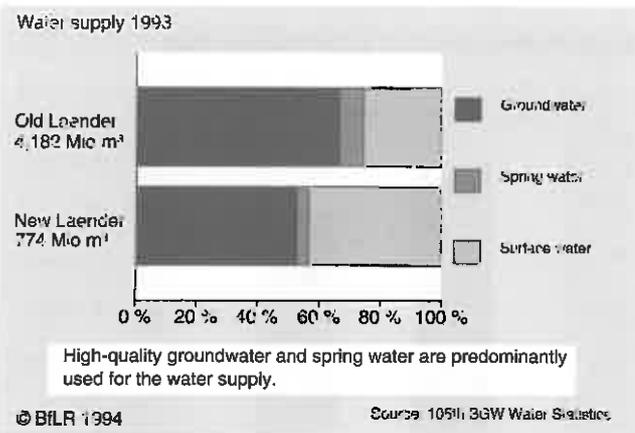
By analogy with the linking of the gas supply networks in the old and new Laender, a linking of the electricity supply networks is also planned. The electricity supply network of the new Laender will then be disconnected from the power union of the East European countries and integrated into the West European power supply alliance. The integration is scheduled for completion in spring 1995. This will provide the new Laender with the greater supply reliability and higher frequency constancy essential for operation of high-tech equipment.

## Water Supply

All self-contained settlements and towns in Germany are connected to the central water supply system. The quantitative supply of water is generally sufficient. Only in very few regions do supply problems occur in extremely dry summer periods. Groundwater/spring water (72 percent) is predominantly used to assure the public water supply, followed by a smaller proportion of surface water (22 percent) and bank-filtered water (6 percent). There are still problems in some parts of the new Laender with the quality of the drinking water. These are overcome, however, by appropriate water treatment.

Some agglomeration areas in Germany such as Frankfurt am Main or Hamburg are supplied with their drinking and industrial water via long-distance supply networks. The drawing of large quantities of water in rural areas such as Ried and the Vogelsberg in South Hesse or the Lüneburger Heide in North Germany can lead to a lowering of the groundwater level with the corresponding consequential damage. A water supply source close to the consumer can help to prevent the consequential damage associated with long-distance water supplies. Such a decentralised supply of drinking water can, at the same time, assure free space in the vicinity of settlement zones which can then serve as local recreation areas, as a climatic belt and lead to a general improvement in the environmental quality of the towns.

### Water supply



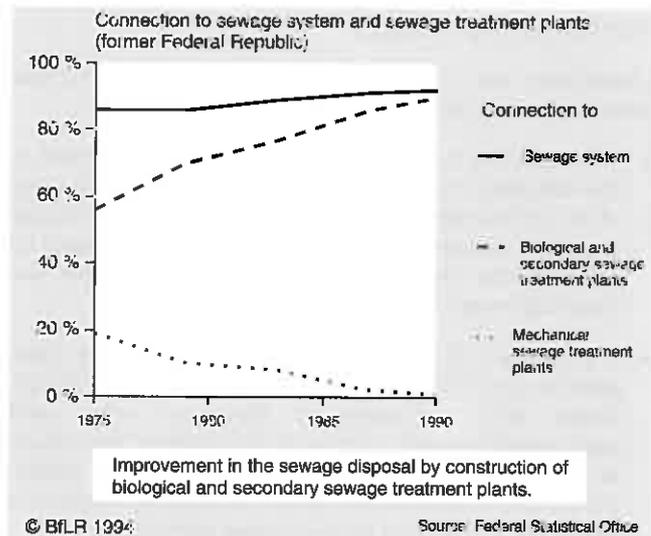
The ever increasing water prices are a problem in the towns and communes. The increases in costs are the result of a need to eliminate environmental pollutants from the drinking water. The average water price rose between 1982 and 1992 by 4.1 percent per year, from 1.64 to 2.30 DM per cubic metre. In the years from 1991 to 1993, the average price increase was even as high as nine percent. In densely populated areas and large towns, the water price level is around one third above the level in the rural areas. The increasing costs are caused by the necessary modernisation of the water supply systems, the additional water treatment and the cost-intensive long-distance water transport.

## Sewage Disposal

Functioning sewage treatment plants are an essential precondition for the good quality of surface water and groundwater. In the old Laender, around 90 percent of the population are connected to sewage treatment plants in the meantime; in the new Laender, the figure is slightly more than 50 percent. In recent years it has been possible to significantly improve the quality of the surface water in the old Laender as a result of the connection of most households to sewage treatment plants.

The quality of the surface water has also improved in the new Laender. However, this has not been due to an increase in the number of households connected to a sewage treatment plant, but to the shutdown of production in many plants or the significantly lower production figures. The heavily contaminated industrial waste water which was simply discharged into rivers and lakes has thus been significantly reduced. Further investments are necessary for the construction of new sewage treatment plants in the new Laender in the next few years in order to achieve a comparable standard of water quality as in the old Laender. More than 61 new large sewage treatment plants are scheduled for completion by 1995 in the catchment area of the Elbe alone. Concrete plans exist or preparation for construction has already started for a further 65 plants.

### Sewage disposal



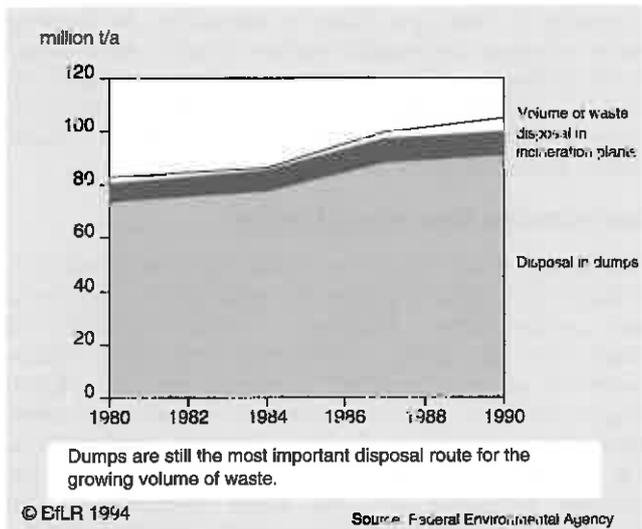
Larger investments are to be expected in the majority of German towns in the coming years for modernisation of the sewage system. In the new Laender, for example, 70 percent of the sewer system is older than 50 years. Leaking sewers can lead to an infiltration of water hazardous substances and to pollution of the groundwater in the towns. The costs incurred by the communes for the erection, operation and maintenance of sewers and sewage treatment plants will have to be borne by the residents and the companies connected to the system in the form of higher rates and sewage charges.

## Waste Disposal

Since the beginning of the '70s, the refuse in the old Laender has been subject to controlled collection, and for the most part has been deposited in large central dumps. The towns and communes are generally responsible for the collection and transport of the refuse, while the counties are responsible for its treatment and storage. In 1990, there were almost 300 dumps in the old Laender. Some eight percent of the collected public refuse is disposed of at incineration plants. In the new Laender, however, ordered waste disposal only started at the beginning of the '90s. Numerous wild dumps are currently being closed. In future, waste disposal will be concentrated on a few large dumps.

Despite very great efforts to avoid waste, the volume of refuse is still increasing slightly. Reliable disposal of waste is therefore becoming increasingly more difficult in Germany. In some regions, dump and incineration capacities are already exhausted, and the remaining useful life of the dumps is only a few years. Resistance to new dump and incineration plant sites is now resulting in "refuse tourism", but is also forcing us to a more consequent pursuit of a waste avoidance policy. In view of the ever scarcer disposal capacities, efforts to recycle materials are generally increasing. Metals, paper and glass are the main materials recycled. One precondition for this recycling, however, is separate collection of the refuse.

### Waste disposal



At the Federal level, the Material Recycling and Refuse Act promulgated in 1994 and which came into force in 1996 is an attempt to solve the disposal problems at an urban and regional level. It states that those who produce, market and consume goods are fundamentally responsible for the avoidance, recycling and environmentally safe disposal of the resulting refuse. The industry has been given a transitional period of two years before the Packaging Ordinance takes full effect and the old breakdown of roles that industry produces and the communes and local authorities then have to dispose of the resulting refuse at the cost of the public will come to an end, being replaced by a principle of "polluter pays".

## 2.5.3 Social and Cultural Infrastructure

The social and cultural infrastructure in Germany is not centrally planned, organised or financed by the State. The Federation has an influence only in the laying down of general guidelines and the granting of financial support. The planning, operation and financing of the institutions are the responsibility of the Laender and the communes. A part of the social infrastructure is privately organised or organised by associations. Characteristic of all the types of social and cultural infrastructure are the widely differing methods employed between the different Laender and between the different communes. The principle of subsidiarity is applied: The public authorities erect facilities where the principle of a widespread availability cannot be sufficiently met by free - including private and church - service providers.

### Sponsors of social infrastructure facilities - Example youth centres

Facilities and personnel of youth aid according to type of sponsor (31.12.1990) (old Laender)

Type of sponsor	Percentage of facilities	Percentage of personnel
• Public sponsors	29.7	33.9
- Local sponsors	47.5	63.7
- Regional sponsors	1.1	4.4
- Land	0.6	1.8
- Commune without Youth Welfare Office	50.3	30.0
• Free Sponsors	68.6	64.2
- Church sponsors	66.9	70.7
- Youth associations	9.2	1.9
- Workers' welfare association	3.5	2.9
- Deutscher Paritätischer Wohlfahrtsverband	5.3	7.6
- German Red Cross	1.7	2.4
- Other persons and associations	13.6	14.1
• Private and commercial sponsors	1.7	1.1

Source: Wirtschaft und Statistik 7/1992

By international standards, this principle resulted in a very good provision of almost all types of infrastructure facilities in West Germany in the '60s and '70s. There can be no discussion of serious regional or social underprivilege. Since the end of the '80s, however, the social and cultural infrastructure planning has started to be affected by new problems, the results of changes in the financial background ("tight money policy") and the German unification.

The general financial crisis and diminishing income of the communes stir up fears that the high standard of the infrastructure in West Germany cannot be maintained in its present organisational forms and that new methods will have to be found to assure the infrastructure. In addition, it is necessary in East Germany to re-establish the infrastructures which have been partly broken down. In the former GDR, the social facilities had roughly the same density as in the "old" Federal Republic. Their quality,

however, was generally not as high. The system in the former GDR meant that many of the facilities and services formed part of the companies. They were available to the employees and their families. These company-linked facilities have generally been dissolved so that there are still significant structural and regional differences, particularly in the social infrastructure, in East Germany today.

The differences in availability between the towns are to be explained by the extensive autonomy which the towns have in the social infrastructure planning. Towns and communes have statutory obligations, for example the schools, and voluntary facultative duties. The age group-specific social, recreational and cultural facilities almost all belong to the voluntary duties. To a considerable extent they are set up and operated by free sponsors (who generally receive communal grants - "investment grants"). From this autonomy on the part of the towns it is clear to see that considerable differences in availability can exist in some cases for individual components of the infrastructure.

#### **Facilities for Younger and Older People**

**Day nurseries:** The availability in East Germany in 1988/89 with 83 places per 100 children of pre-school age was significantly better than in West Germany with 38 places per 100 children. Under a new law, the regionally differing deficits in day nursery places are to be eliminated by 1996 and a 100 percent availability assured. A particular deficit in West Germany are the places in crèches with an availability of barely 2 percent.

**Youth facilities** (youth assistance and youth recreational facilities): There are a large number of different forms which are very unevenly distributed, both locally and regionally. In East Germany, a large number of youth facilities were sacrificed with the change in the system, in West Germany the maintenance or financing of the facilities is endangered in many cases by the current unfavourable financial situation in the communes.

**Geriatric clinics:** Characteristic of these clinics is the widely differing qualities of infrastructure which affect the costs. In 1994, a place in a geriatric clinic for a person in serious need of care was around 5,400 DM per month. By comparison: The average monthly income of a working family with four persons in 1993 was 4,850 DM. As a result of the high costs of these clinics, most people in the clinics are dependent on social welfare assistance. This will change, however, when - probably from 1.7.1996 - the geriatric care insurance starts to pay for in-patient care. The demands which the right to a place in such clinics makes on the quality of the care and treatment of old people are met by the in-patient assistants in accordance with the Federal Social Security Act.

**Facilities for out-patient geriatric assistance:** These facilities have been built up as "social stations" nationwide since the beginning of the '80s. A good service is provided by the care of ill persons. Deficits, on the other hand, exist in the housekeeping services and the partial in-patient facilities. In view of the anticipated increase in the number of old people, particularly in the suburbanised outskirts of the large towns and densely populated areas, the need for

such care will increase. Out-patient geriatric care must therefore be expanded.

#### **Health Facilities**

A major cornerstone of public health care in Germany are the obligatory health insurance funds. Around 90 percent of the population are members of such insurance funds. This ensures that practically every inhabitant, irrespective of income and social status, can claim the necessary medical care when he or she needs it.

The obligatory health insurance funds are financed by the contributions of the insured persons and not from taxes. On the other side are the providers of health care services. They are not organised in the form of a central state health service. The communal health services ("local boards of health") play only a marginal role in public health care. Out-patient and in-patient care are both generally assured nationwide by non-state organisations and are of a high standard, even by international standards. There can be little mention of disadvantaged groups or regions, at least in West Germany. A hospital with the normal medical care facilities is accessible to every inhabitant within a distance of max. 20 kilometres.

There are, however, still a few structural problems to be overcome: For West Germany the major task is to eliminate the over-availability which causes additional costs. In East Germany, there is still a considerable need for modernisation of the health facilities. At the same time, it is necessary in East and West to reorientate the existing health services and health facilities towards even better health promotion. Active health promotion starts with the causes of illness and emphasises the importance of the social preconditions for health such as clean air, social justice, appropriate living and working conditions.

#### **Sport-Oriented Recreational Facilities**

The density of available sport-oriented recreational facilities in Germany is relatively high. For example, in 1987 there were around 29,800 sports halls in the old Laender (one sports hall per 2,000 inhabitants) and 3,700 indoor swimming pools (one indoor swimming pool per 16,000 inhabitants). The good availability of recreational facilities practically nationwide in the old Laender is attributable to the "Golden Plan" drawn up in the '60s between the territorial authorities and the sports associations. The "Golden Plan" was for many years the guideline for the establishment of an equitable regional availability.

The situation in the new Laender is somewhat different. The unification of Germany resulted in a significant breakdown in the availability of recreational facilities, as the facilities previously maintained predominantly by the companies could not be transferred completely to the new financing institutions (communes, private sponsors). Clubs and communes have filled a large proportion of these gaps again in the past few years. The availability of recreational facilities is, however, still significantly better in the old Laender.

For some years now, various social developments have indicated that the availability structures in the sport-oriented recreational sector are changing. Tight public finances are forcing the towns and communes to leave the construction and operation of new recreational facilities to private investors or to privatise parts of the previously public recreational facilities in order to relieve the communal budget. The recreational sector is thus developing into a rapidly expanding field of private services. The availability of such recreational facilities to the various already socially disadvantaged groups, in particular the financially disadvantaged groups, will consequently become even more difficult. Recreational facilities for higher demands are increasingly harply, whilst fundamental recreational facilities are being abandoned more and more. Their operation is not financially viable on a private economic basis.

### Cultural Facilities

A large number and regional variety of traditional cultural facilities in Germany generally develop out of historical location structures. They have resulted in a nationwide availability of a representative cultural infrastructure. Facilities such as theatre, museum, orchestra or library represent crystallisation points for a diverse cultural life in the various sectors of art and the media. Youth art schools, music schools, cultural/ pedagogic and the innumerable socio-cultural facilities (culture centres, citizens' centres, parish halls of the churches, neighbourhood and meeting centres) expand and enrich the cultural infrastructure and the cultural life in the towns. They are generally spread decentrally and their influence extends into parts of the town and residential zones, in some cases with specific concentration of certain social target groups, such as the child and youth work.

The density of the cultural infrastructure in Germany is impressive:

- ☐ The nationwide theatre availability in Germany with some 150 public theatres with around 450 stages is to be highly regarded even by international standards.
- ☐ The more than 4,500 musea in Germany form a large regional and organisation variety not only with respect to their sponsorship but also from the point of view of the focal points of their collections.
- ☐ The orchestra landscape in Germany (over 160 professional orchestras, the majority of which in the new Laender) is - particularly in the new Laender - characterised by a wide spatial distribution.
- The 15,000 or so public libraries in Germany, on the other hand, vary in their selection according to Land, settlement structure and size of commune.

The significance of cultural factors goes far beyond the value generated and tax revenues. At the same time they influence such differing aspects as leisure and tourism, recognition value and distinction of the region ("regional identity"), innovative power, cultural education and social integration.

Of importance for the settlement policy is also the fact that the variety of the urban and regional cultural infrastructure strengthens not only the unmistakable image of a town or region. It is also one of the preconditions for developing particular "regional talents" in the field of artistic processes which radiate out into other fields of life and business.

## 2.6 Outlook: Foreseeable Problems in the Settlement Development

### Ongoing Urbanisation Process

The processes of technical and organisational change and the restructuring of the economy will continue into the future - possibly at even a faster rate through the advent of new information and communications technologies. Closely related to this, the forms of living, housing and working will also continue to change. The consequence of this will be new location wishes and land claims of households and companies. In the key zones of the agglomeration areas, land for meeting new demands for housing and business premises will become ever scarcer. The settlement development will be concentrated on hinterland communes further from the central towns but with good links to the traffic infrastructure where land is still available.

The expansion, fragmentation and specialisation of the settlement areas in the agglomeration zones is continuing. The suburban counties are also preferred locations for facilities which are increasingly becoming crystallisation points for a land-consuming and traffic-dependent way of life and business such as consumer markets, leisure parks and office centres linked to digital communications networks. The possible benefits of such developments for the individual person are becoming less and less reconcilable with the public interest in a socially and ecologically compatible settlement and urban development.

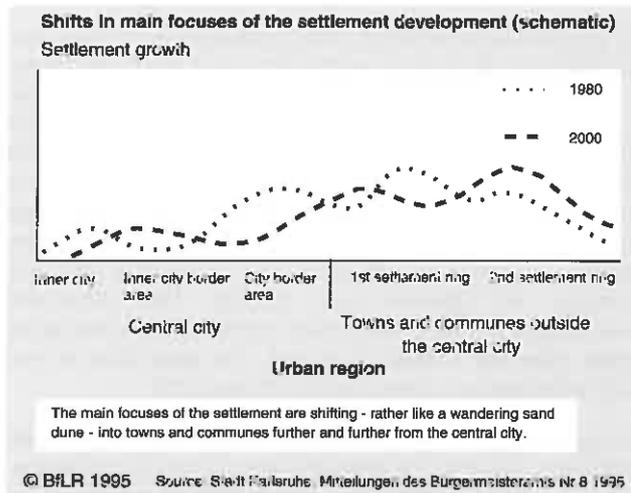
A complement to the further concentration of centre-oriented services in the urban surrounding areas is the increasing dispersion of the residential sites and in many sectors of the economy a suburbanisation of the job sites. Generously dimensioned trade parks and office complexes, but also goods movement sites and goods transport centres are all signs of the times. A "rationalisation-related change in size" is taking place at present in numerous infrastructure areas, resulting in new forms of large company and creating new location communities in suburban areas with highly complex interrelationships.

The settlement growth as a whole is moving - rather like a wandering sand dune - into towns and communes in the surrounding areas further and further from the central town. This means a further, land-consuming spatial expansion of the agglomeration areas, a further increase in road traffic, a further loss of recreational areas near the settlements and a further reduction in ecological compensation functions.

The unhindered urbanisation process has its price. Decentralisation, disperse settlement structures cause a general increase in traffic with the resulting increase in

environmental pollution due to emissions and noise. The agglomeration areas can only survive through an immense turnover of energy and resources. In 1930, an average town area (settlement area) of 80 square metres per inhabitant was calculated. In the middle of the '90s, this figure is two to three times as high. A town of 100,000 inhabitants consumed a daily average of 13,000 cubic metres of water in 1930. At the start of the '90s, the average is roughly 20,000 cubic metres per day. Similar increases can also be seen in the electricity consumption per inhabitant.

### Urbanisation in urban regions



process are polarised employment markets in payment and job security. Whilst the high-income groups of the population move to the suburbs, the low-income groups remain in the towns.

Concentrations of low-income households and segregation processes are predominantly to be found in three town areas: In the inner cities, in social housing estates from the '60s/'70s and in the former workers' housing estates. With increasing impoverishment of the people living there, so these residential areas become less attractive for less disadvantaged households. The social problems increase. With the immigration of groups from other cultures, the social conflict potential increases further. Private investors withdraw from such parts of the town. There are no public funds to offset these disinvestment trends and thus to counter further disinvestment processes. The reasons for this are, on the one hand, higher expenditure on social aid (social assistance benefits) and, on the other, noticeable drops in income from taxation due to the migration of companies and high-income groups of the population.

Further need for action is also to be seen in the sector of housing policy: In the old Laender, the housing market which was more or less balanced in the mid-'80s has since become a market with a noticeable excess demand due to the extensive immigration (some 4.5 million people between 1988 and the end of 1993), the increasing number of households and a continuing trend to smaller household sizes. In the central towns, it has not been possible to overcome the lack of low-cost rental accommodation, particularly for "normal" earners, despite the extensive building of new social housing. The consequences of this are the migration trends into the further-distant suburbs, accepting the longer commuter distances.

In the new Laender, German unification laid open the desolate state of the housing substance and the consequent immense investments necessary. Not only apartments in older buildings but also many of those in the newer prefabricated houses are threatening to collapse and the quality standards often lag a long way behind the expectations of modern furnishings. The quantitative availability is also far less favourable than in the old Laender. The living space per resident in the new Laender is around a quarter lower. Finally, the percentage of home ownership (percentage of households living in their own homes) is also significantly lower with 25 percent compared with 40 percent in the old Laender.

The future ability of the towns to invest in improving the living conditions depends to a considerable extent on their economic strength. The town finances from trade and income taxes are predominantly determined by the basis, i.e. by the companies and households in the town. How the towns can meet their obligations of ensuring the existence of the towns and the extent to which they can help to form the living conditions of the inhabitants depends essentially on their financial capabilities. High economic strength makes it easier for the towns to assure and strengthen their economic basis, for example through infrastructure investments to improve the attractiveness and competitiveness of the locations.

Unhindered settlement area claims are satisfied at the expense of green and recreational areas. Possibilities of recreational activities near to home are restricted, the living spaces for plants and animals are destroyed, cut back and their borders pushed further and further back. The settlement activity often also blocks fresh air passages, thereby ignoring the urban climatic compensation functions. Pollutants enter the air, water and soil. Through the development of dump capacities and the use of groundwater reserves, the discharge of sewage into rivers and streams and the long-distance transport of air pollutants, the effects of the towns are spread far beyond their borders into the surrounding areas. Local and regional problems grow - even to the point of becoming global risks.

The undiminished urbanisation process creates not only ecological but also social problems. Particularly in the central towns, it leads to structural deficits and problems. Problems of poverty and social isolation predominantly produced by unemployment which have been increasing in Germany for some years now often only become apparent under living conditions in towns, and are then even more aggravated. This is further intensified by the rapid changes in economic structures which lead to considerable job losses in the traditional industries and a large number of new, poorly paid jobs with no job security in the consumption-oriented service sector. At the same time, the fast-growing branches such as financial and company consultancy services are often less integrated into the local economy than the industrial and trade activities which they displace. The price of the accelerated modernisation

The economic development perspective of the towns in Germany and their finances, however, differ widely. Polarised development patterns can already be seen: For the West German urban regions, the range of the future developments spreads from stability to rapid growth. Of the East German towns, only a very small number - Leipzig and Dresden, and particularly Berlin - will, in the longer term, catch up with the development patterns known only in the West to date. Most of the urban regions in East Germany are threatened by continuing employment and job market problems and a further decrease in their population, in other words shrinkage processes.

In the medium term, it will not be possible to change much in these unequal economic perspectives of the towns. Although the economic gap between East and West of Germany will decrease, the differences between the East German towns, and thus the differences in the economic strength between the towns in Germany as a whole, will become larger. The financial scope for manoeuvre of the private and public players for independent solutions to problems will differ widely from town to town.

The differing financial power of the towns also affects the settlement policy: Financial incentives for settlement development based on the growth and financial strength of the local players are doomed to failure if poorer towns cannot support these incentives with their own funds. Settlement policy must therefore take the different financial capabilities of the towns into consideration.



## Part 3: Selected Challenges of Settlement Policy in Germany

The survey of the settlement development and of the foreseeable further perspectives under status quo conditions shows that the towns in Germany are still a long way from being sustainable. By international comparison, however, good preconditions for sustainable settlements and urban development exist in Germany. This applies not only to the relatively favourable settlements and urban structures but also to the economic and technological potential, the know-how and environment consciousness.

A sustainable settlement and urban development can, however, certainly only be achieved with a long-term search and coordination process, whereby the social demands on the use of the land have to be reconciled with the natural principles of life. This underlines the importance of the settlement policy, particularly of the integrative spatial planning, for the achievement of the sustainability aim, since its primeval functions are the organisation and cooperation of the very widely differing demands on the use of the land.

In view of the central themes of Habitat II, "Adequate Shelter for All" and "Sustainable Human Settlements Development in an Urbanising World", the settlement policy in Germany can be seen to be faced with the following main challenges:

- **Promotion of a resource-conserving and environmentally compatible settlements and urban development**

For the towns there are three starting points on the road to achieving a resource-conserving and environmentally compatible urban development: Firstly, it is a question of the way in which the resources in the town are used; secondly, there are the material interchange processes between the town and other areas, particularly the immediate surrounding areas, and thirdly the spatial use and organisational structures in the town. These spatial structures are in some cases inefficient with respect to their use of energy, create traffic and promote the expansion of the settlement area. These structures are also of interest because they represent the starting points for urban planning measures.

When looking at the question of the shaping of such a resource conservation in town, we should not forget the principles of sustainable development. The Charta of European Cities & Towns Towards Sustainability (Charta of Aalborg) which is aimed at the communal political practice can serve as a helpful guideline here; the similarity with the principles of sustainable development is obvious.

### Aalborg Charta - Principles of Sustainable Development

The Charta of Aalborg (Charta of European Cities & Towns Towards Sustainability) was adopted by the participants at the European Conference on Sustainable Cities and Towns organised by the town of Aalborg in Denmark and the

European Commission from 24th to 27th May 1994 in Aalborg, the contents having been drawn up by the International Council for Local Environmental Initiatives (ICLEI). With the signing of the Charta, the cities, towns and counties initiated the European campaign for sustainable cities and towns and also undertook to enter into "Local Agenda 21" processes and draw up long-term plans of action with the aim of sustainability in the future. In Germany these towns include Berlin, Brämen, Heidelberg, Karlsruhe, Freiburg and Münster. The signatory towns have undertaken to draw up a local plan of action for a durable environmentally compatible urban development by the end of 1996.

In the Charta of Aalborg, the principle of sustainable development is brought down to the following brief formulae:

- "The rate of consumption of renewable raw material, water and energy resources must not be higher than their renewal rate.
- Non-renewable resources must not be used faster than they can be replaced by permanent, renewable resources.
- The emission of pollutants must not be higher than the ability of air, water and soil to bind and degrade these pollutants".

The scientific essay on "Sustainability in Germany", commissioned by BUND and MISEREOR, attempts for the first time to concretise the quantitative dimensions of change which could be involved in ecological sustainability. For the consumption of resources, for example, the study quotes the following environmental aims:

Environment indicator	Short-term (2010)	Long-term (2050)
Primary energy consumption	- 30 %	- 50 %
Non-renewable raw materials	- 25 %	- 80-90 %
Settlement and traffic areas	absolute stabilisation	annual new utilisation - 100 %

The ecologically oriented objectives at the urban level can contribute to achieving such objectives. A sparing and careful use of soil and land is a primary objective which relates directly to the use of the land. The reduction in exhaust gases and noise, the efficient and sparing use of energy and material resources, the reduction of water consumption and sewage, the avoidance and reduction of refuse, the improvement in the urban climate and the use of environmentally safe and resource-conserving building materials are further ecologically oriented objectives which can also serve to illustrate the principles of resource conservation and reduction of pollutant emissions.

In addition to the sustainable resource utilisation in the towns, particular attention must be given from a spatial perspective to the regional material interchange processes. Attempts must be made to organise the interchange processes of the towns with their surrounding areas with a

greater ecological compatibility. It is simply not sustainable if the town exports its waste disposal problems, it is not sustainable if job sharing networks are overstretched. In the case of utilisation in town, it is essential to examine whether and, if so, with what intensity these utilisations claim resources from other areas. If the (necessary) incorporation of the town into the material flows with the surrounding areas is to be made more ecologically compatible, consideration must be given to the type and extent of spatial worksharing.

In addition to the utilisation of resources in the towns and the material interchange processes of the towns with their surrounding areas, the spatial structure of the towns is of interest for a sustainable urban development. Spatial concepts for sustainable urban development can build on the considerations of an environmentally compatible urban development which have been in the urban planning discussions since the beginning of the '80s. The three spatial planning principles **density**, **mixture** and **polycentrality** are fundamental to a sustainable urban development. They link up with three trends in urban development - the settlement dispersion, the spatial segregation processes and the increase in traffic density - which represent the central challenges to sustainable settlements and urban development.

**Density** in urban planning means more compact and yet high-quality building structures which prevent an overflowing of the settlements into surrounding areas. Density can be achieved in towns by "**internal urban development**". The development of lofts and attics into living premises, the closing of gaps in development areas and the better utilisation of unused plots are just as important as the reutilisation and improvement of waste land. Free areas in outer districts can thus be saved and a further settlement dispersion can be avoided or at least limited. The principles of action for sustainability can be satisfied by restricting the use of land to already "used" resources.

The regional planning principle of **mixing** also offers a second important starting point for urban development. Mixing of land use is an urban planning objective covering the functional mixing of urban districts (mixing of living and working, but also services and leisure), social mixing (according to social and income groups, household types and lifestyle groups) as well as the architectural mixing (building design). There is a wide range of objectives to be achieved with mixing of land use in urban planning. At a regional or overall urban level it is expected that mixing will permit traffic-reducing and energy and land-saving urban and settlement structures. Concentration of zonal mixing on a small part of a town can create the preconditions for the establishment of urbanity, for promoting a life in the immediate district, for favouring urban variety, for doing away with segregation and for improving the life situation of disadvantaged groups of the population.

Closely related to these spatial planning principles of density and mixing is the "**town of short distances**" concept aimed at reducing and avoiding traffic. The avoidance aspect is generally concentrated on the

motorised private transport and aims at reducing the distance between source and destination in a change of location. Traffic avoidance means the shortening of distances, the reduction in the number of journeys to be made and the improvement in the efficiency of the vehicle use. The common starting point of the urban planning objectives of a compact and mixed town and the idea of the "town of short distances" is therefore the need to bring the individual functions in the towns closer together.

In addition to mixing and density, the regional planning principle of **polycentrality** offers a third starting point for a sustainable settlement and urban development. In recent years, this planning principle has been under intensive discussion for the development of the urban surrounding areas under the keyword **decentral concentration**. Decentral concentration is understood to mean a spatial objective for preventing the continuing settlement pressure in the urban surrounding areas from resulting in an uncontrolled flat dispersion and for bundling it in selected concentrated key settlement areas. New construction potential should be provided in the settlement areas in the surrounding areas together with complementary places of work and service facilities.

An important cause of the formation of the present-day urban structures are the many "falsified" resource utilisation prices. If we consider that the structures are predominantly the result of location decisions of both private households and companies, and if we look at the parameters involved in these location decisions, we meet in particular transport and land prices. With low land prices in the urban surrounding areas, low transport costs and a good road infrastructure, suburbanisation processes were inevitable.

Spatial concepts can only be aimed at structures and thus open up possibilities for a behaviour which meets the high demands for a sustainable development. The spatial and settlement structure is thus only an offer, an option for a very wide range of different players. The question of whether they decide to take up this offer depends on a large number of other factors. A sustainable urban development can therefore not be achieved without changes in the ways of business and life in our towns; players must change their behaviour. In order to promote this, the parameters dictating their behaviour must also be changed. Transport, energy and land prices must show the households and companies what behaviour benefits the environment. At the same time it must be assured that a desired environment-conserving behaviour is also "worthwhile" for the individual decision maker.

- **Assurance of a socially compatible settlements and urban development**

A socially compatible settlements and urban development must be guided primarily by objectives of social equality of distribution and chance. Major efforts must be made to recognise and compensate the disadvantages and risks for the low-income and less assertive groups (for example, homeless, single-parent families, aliens and evacuees, long-term unemployed, etc.) - whether in the distribution of housing locations and infrastructure facilities, the availability

of living space, the protection from pollution or in taking more notice of weaker users and their needs.

However, socially compatible settlements and urban development must also leave sufficient scope for self-determined action and formation. In a pluralistic society individual life planning as well as self-organisation and self-determination in the neighbourhood must be possible for private households in different phases of the family cycle, with different cultural backgrounds and different financial scopes for manoeuvre. What is also important, however, is to set limits which restrict the freedom of another in the planning of his life.

In order to achieve the aims of a socially compatible settlement and urban development it will be necessary in the future to regard participation as a natural part of the planning procedures. Democratic power-sharing creates a better basis for durable and tolerable solutions. This becomes particularly important when, in times of financial stringency in the communes, aims of socially compatible settlements and urban development are in competition with economic and ecological aims and changes are therefore necessary in ways of life.

There are various approaches to assuring the targets of socially compatible settlements and urban development: Approaches with target-group reference, with spatial reference, with housing reference and with process reference. The concrete approaches to be taken in the individual policy areas depend mainly on the local conditions. Examples of an urban development policy of social equality can be:

- The planning instruments are selectively used for creating and maintaining affordable housing.
- The urban environmental and traffic policy takes selective care of the underprivileged areas of the town and the interests of the less mobile groups.
- The creation of a social infrastructure gives selective preference to "poorer areas", particularly in non-home child care, communication and the promotion of self-organisation.
- The district relationship, the integration of residents into their district of the town, is selectively promoted by a corresponding development of decentralised structures and by maintaining the functional mixing.
- A selective settlement and housing occupancy policy avoids lop-sided population structures.

In many communes there is a problem consciousness for the inter-relationships between the individual policy areas. However, the complexity of these relationships often does not permit "quick" and "easy" solutions. Political action is additionally hindered by the financial stringency in the communes, but also by the egoism of departments and sponsors.

#### • **Creation and assurance of an adequate availability of housing for all**

In view of the current and foreseeable problems of the housing availability, it is the aim of the housing policy to create the preconditions for an adequate availability of housing at affordable costs for all classes of the population, if possible. In order to achieve this target, the following challenges have to be overcome:

- Better general boundary conditions to strengthen private investments in housing construction and so a balance between housing supply and demand can be assured. This also includes the adequate availability of building land at reasonable prices.
- Social assurance of housing through the building of publicly funded houses and payment of rental allowances to households unable to pay rent from their own income.
- Promotion of resident-owned housing, particularly for families with children. On the one hand, this will relieve the housing market and, on the other, will support the socio-politically desirable assurance for the pensions.
- In the new Laender it is important to establish a functioning housing market on the basis of market economic principles, safeguarded socially by selective individual support payments (social housing market economy). In particular the housing stock which has been neglected for decades must be repaired and modernised in order to bring the living conditions of the people in the new Laender up to those of the people in West Germany. In addition, new housing construction must again be given a high priority.

#### • **Creation and assurance of a sustainable urban infrastructure**

For the future planning and organisation of facilities of the urban infrastructure, strategies oriented to the objective of a sustainable settlement and urban development are needed. In recent years it has become obvious in the towns that the natural resources are limited. The water, air, soil and vegetation have been over-burdened, in some cases up to the limits of their bearability and availability. Strategies are therefore being developed in many infrastructure areas for a less dramatic use of natural resources, for a renewal of resources, for a decrease in waste, for a reduction in the demands and for a more efficient and more ecological use of materials.

An important task for the future is thereby the promotion of decentralised service structures. A variety of methods are being employed to establish a decentral availability of public and private infrastructure facilities near the residential area:

- In the traffic planning, particularly in the local public passenger transport, it has become clear after the large-scale expansion of a relatively small number of main lines that other methods are necessary to ensure an adequate availability of transport near the residential areas. Small and medium-scale solutions are necessary, such as urban bus systems, surface tram and urban

railway systems, better planning of footpaths and cycle paths and better mobility management.

- Efforts are also being made in the electricity supply, water supply, sewage disposal and refuse disposal structures to build up interlinked systems of smaller facilities. For energy and water, the particular benefits of smaller supply units, for example in the higher energy efficiency of the heat/power combination and in the ecological benefits of a dense network of smaller water catchment areas is undisputed.
- In the planning of the social infrastructure, attempts are being made to promote less centralised and user-friendly structures by establishing itinerant and mobile services, noticeably reducing the size of the major companies, by promoting the "district culture" more strongly and expanding neighbourhood aid.

In order to achieve decentralised service structures, the administrations and decision-making bodies must be strengthened at the communal level and the residents and social groups involved in the various considerations. This will help to ensure that the jointly found solutions will then be supported and accepted by the people.

Many towns and communes are considering either completely privatising parts of their previous fields of responsibility or at least transferring these to privately run companies in order to relieve the financial load on the budget.

There are numerous examples of successful activities by independent and private sponsors in recreational and cultural sectors, as well as for the activities of communal and private businesses in the sectors of local public passenger transport, electricity supply, water supply and waste disposal. What is important here is that the independent sponsors and the private companies in the service sector always complement the communal authorities and work closely with them.

#### • **Urban development for attractive and sustainable business locations**

Competition between the towns in economic activities has increased noticeably in recent years in Germany, and become even stronger with the opening of the markets in Eastern Europe. In this location competition, the towns as providers of business sites are in the weaker position compared with the potential new settlers. In order to be able to survive in this competition, they must try to increase their attractiveness as a business site in general by providing the necessary areas for the businesses and offering quite specific user profiles, maintaining necessary infrastructures, but also further improving the quality of life in the towns as a "soft" location factor.

Urban construction for attractive business locations is, however, one task in the tension between sustainable development and global markets. This conflict is real and must not be ignored. However, it should also be pointed out that Germany as a production site is - and may be even more so in the longer term - threatened if the ecological

changeover is not started very soon and pursued consequently and persistently. This also applies to the ecological threat to the location and with respect to the economic viability of the location.

Urban construction for attractive business locations is primarily a task for the towns. At least with respect to the legal background conditions, the towns are equipped with an adequately differentiated range of instruments giving them sufficient scope for manoeuvre. The situation with regard to the necessary money is rather different if the considerations and plans for sustainable business locations are to be implemented accordingly, as the financial possibilities of the towns - with few exceptions - are very restricted. Furthermore, the financial situation of the local authorities has even deteriorated in the past few years. Many towns are therefore reliant on support from financial incentives - from taxes through financial equalisation right up to direct sponsorship.

**Conclusion:** With all the differences in the problems and experience, all the regions and towns are faced with the challenge of exercising a sustainable settlement and urban development. The following principles could serve as guidelines for this:

- Decentrality rather than centrality in the towns and regions
- Promote settlement density, protect free space
- Improve function mixing in the towns and regions
- Strengthen inner cities and centres of urban districts
- Give more consideration to the needs of disadvantaged groups
- Utilise savings potentials of land, energy and water and avoidance potentials of traffic more effectively
- Stimulate environment-friendly action more effectively via prices
- Protect regional potentials and place service before after-care
- Strengthen regional cooperation of the communes
- Promote the participation of all social groups

These demanding principles are a challenge to all the settlement policy players. It is a question of maintaining and improving our developed towns, the European town, in its economic and social quality and with its natural foundations.

## Part 4: Selected Concepts and Measures of the Settlement Policy in Germany

Objectives and principles are the first step toward sustainability, concepts and measures and their implementation the necessary continuation. This fourth part of the report therefore presents concrete considerations and examples to show how settlement policy is applied in practice in Germany. It explains in detail how at the different levels of responsibility

- a resource-conserving and environment-compatible settlement and urban development can be promoted,
- a socially compatible settlement and urban development can be guaranteed,
- an adequate housing availability and
- a sustainable urban infrastructure for all can be assured, and
- attractive and sustainable urban business locations can be created.

Particular attention is focused on selected positive examples, i.e. projects and attempts at solutions in the sense of the best practice. Representative of many other equally noteworthy examples, they are intended to document the feasibility and variety of the concepts and measures, or in other words the possible ways of satisfying the above-mentioned primary objectives of the settlements policy in Germany.

### 4.1 Promotion of a Resource-Conserving and Environment-Compatible Settlement and Urban Development

Germany is a federalistic state in which the communes play a particularly strong role. In the field of the settlement policy as a challenge facing society as a whole, different responsibilities interact: In addition to the communes as the level directly affected by the settlement policy, there are a number of further institutions at Federal and Land level whose work can influence a sustainable settlement and urban development.

The different levels of responsibility have a strong spatial differentiation: At Federal level, settlement policy is on a macro supra-regional scale. At the level of the Laender, the focus is on regional and intercommunal aspects, whereby coordination and cooperation questions between central town and surrounding areas are growing more and more in significance. This applies particularly against the background of a desired sustainable development which cannot be achieved at central town level alone. Finally at communal level, inner city as well as building plot and building-specific questions of the settlement policy come to the fore.

As different as the sponsors and players in the settlement policy are, so different are also the contents and results of their work. There are both programmatic and conceptual approaches, informal and voluntary agreements, legally binding provisions, economic incentives or more technical regulations. However, the objective of all these is more and more the influencing of the private households and companies in their location decisions and patterns of behaviour through incentives and prescriptions in the sense of a sustainable development.

In Germany, there is not one central state controlling body which guides the settlement and urban development towards the goal of "sustainable development". The network of different players and levels leads more to widely differing and diverse initiatives, approaches and measures. A current, nationally and internationally highly regarded example of "regional settlement policy" with the declared aim of initiating a sustainable settlement development through the restructuring of an old industrialised region is to be seen in the Ruhr district: **The "Internationale Bauausstellung (IBA) Emscher Park"** (International Building Exhibition) has been working since 1989 on the ecological, economic and social restructuring of this old industrialised agglomeration area. For example, the many still open sewage channels are to be ecologically redesigned, derelict industrial sites and buildings "revived" and new housing forms tested.



Strategies for renewing old industrialised regions are being intensively discussed in the countries of Eastern and Western Europe, the United States and Japan. In the Federal Republic of Germany, the central industrial region is the Ruhr district with its around 5 million inhabitants, and here of particular significance is the Emscher region with its roughly 2 million residents, 17 towns and covering an area of some 800 square kilometres. The main task in the renewal of the Emscher region is the elimination of urban planning and ecological deficits as the basis for a new economic development.

With the instrument of the "building exhibition" introduced for the first time in German building history, this task is to be made a major topic both technically and politically. The government of the Land North-Rhine/Wesiphalia has therefore decided to set up an international building exhibition for a period of 10 years during which local authorities, companies, residents and the Land are currently involved in over 60 projects in five central fields of activity:

- In the ecological restructuring of 350 kilometres of the Emscher system,
- The modernisation of worker's settlements and the building of new homes,
- The development of derelict sites under the motto, "Working in the Park",
- The maintenance and reutilisation of industrial monuments as historical symbols,
- The protection and recovery of landscapes with the regional project Emscher Landscape Park.

The ecological and urban renewal of a region is a widely faceted task. The individual projects are also very different in their temporal, spatial and financial development. The spectrum of the projects ranges from

- Projects with a life of ten to twenty years, such as the restructuring of the Emscher system,
- The establishment of the Emscher Landscape Park with an area potential of 300 square kilometres,
- To the reactivation of derelict industrial sites with sizes up to 100 hectares and large housebuilding projects with an implementation phase from five to seven years
- Down to the building of small innovative housing projects with 30 residential units which require only one to two years for completion.

In 1999, the results will be shown to the international public as part of a presentation.

Whilst it is the aim of the IBA Emscher Park to show realistic scopes for manoeuvre for a sustainable settlement development and to implement these in practice, the environmental organisation Bund für Umwelt und Naturschutz Deutschland (BUND) and the church organisation for development cooperation MISEREOR are concerned with setting important future social and political courses in Germany and with answering the question of how life in a "futuristic Germany" could be if sustainable development is to be more than part of the rhetoric of international conferences and political Sunday speeches. Together they have commissioned the Wuppertal-Institut für Klima, Umwelt, Energie with the study "Futuristic Germany - a contribution to a sustainable global development".

### "Futuristic Germany" - a Vision

The study which exists in book-form deals with various aspects: The limits of the ecological burdenability are named, environmental objectives are formulated, reduction

objectives calculated and finally ways are shown in which these objectives can be achieved. But the heart of the study are the General Principles. They outline answers to fundamental questions which are forgotten in the day-to-day political discussion. How can a democratically based industrialised state change so that ecological limits are observed and the situations between North and South are made more just? What political and economic background conditions are necessary? How does the town of the future look?

### General Principle "Town as Living Area"

The town as a living areas and as an organisational form of social living and dealing has an important role to play in a sustainable development. Towns are centres of industry, of crafts and trade, of education, culture and administration. But the other image of the town is also coming more and more to the fore. Emergencies in refuse disposal, air pollution, noise, traffic, homelessness, criminality, depopulation of the inner cities and many residential areas, anonymity, sprawl and wild growth into the free landscape characterise the problems. These problems are becoming more and more difficult to overcome, and the financial misery of the communes is being ever more acute.

Urban ways of life are by no means now limited only to the towns - they have spread throughout the country. What was once the variety of urban life is becoming more and more its monotony. There are naturally outstanding architectural landmarks and different urban cultures in various towns. But the trend is more and more clearly to follow the same constructional principles and to use the same building materials. The town centres - and this is particularly apparent in the pedestrianised zones - are becoming more and more alike in their structures. And whilst the shopping areas are well populated whilst the shops are open, they are practically derelict during the evenings and at night and have to be patrolled by private security services. On the other hand, the inhospitable towns promote the migration into the suburbs. But even here, neighbourhood and association with the local area seldom last long. There is barely any public life in the faceless suburbs, instead, the demand is growing for organised freedom.

The town of the future is the town of short distances. The functions of living, working, services and leisure are, wherever possible, brought together step-by-step. The population density increases in the re-urbanised towns - and particularly in their centres. Here sports facilities, the arts, culture and intellectual presence offer a wide choice for the curious and adventurous. The car traffic in the inner city has been reduced to the absolute minimum, roads have again become the places to stand and meet. The architecture exhibits more regional features again and mixes old with new. The local public transport and rail links have been significantly improved. Since then, access to the inner cities has become easier for the residents of the rural regions. On the other hand, the town people can now get cut into the country more easily, there they are able to see for themselves where water, vegetables, fruit and meat for urban life comes from. This leads to feedbacks, to a new town/country relationship. The mushy suburbanisation of

the landscape has been stopped, as regional and town development plans are oriented consequently to land conservation. Thanks to the internal concentration in the towns, town borders are emerging again to revive the differences between town and country and to show clearly their different qualities.

A look into a possible future can show how it could look tomorrow. It also reveals, however, how long the road is which has to be covered. The following section aims to show that there are already various starting points for the process of a sustainable settlements and urban development, and that a large number of selected measures pursuing this aim are already being implemented at all levels.

#### 4.1.1 Settlement Policy on a Macro Supra-regional Scale

##### Programmatic and Conceptual Approaches

Settlement policy is essentially very much a task for regional planning. In principle, this task is taken on in Germany by the Laender. The Federation is always active only in exactly defined areas. Regional planning cannot, however, stop at the borders of the Laender: The whole Federal territory is the largest area to be planned. At this Federal level, however, there can be no higher-ranking "superplanning"; it is far more a question of establishing general guidelines for the Federal territory as a whole. The Federal and Land governments cooperated in the "Guidelines for Regional Planning" of 1992 and agreed upon a regional development concept. It shows the desired spatial development of the Federal Republic and also forms the basis for further considerations and a more concrete definition of the regional planning policy in Germany.

The starting points for the Guidelines for Regional Planning were the unification of the two German states and the resulting fundamental change in the background conditions for the regional development in Germany. In addition to this particular event, however, the Guidelines also refer to the long-term changes in the regional and settlement structure due to the increasing urbanisation and the wide variety of overburdening in the agglomeration areas.

The Guidelines for Regional Planning see Germany as an extensively urbanised country with closely interwoven and mutually dependent partial areas. The pronounced decentralised regional and settlement structure is emphasised as an important benefit: The large number of small, medium-sized and larger urban centres in Germany and particularly their essentially uniform distribution throughout Germany are very positively regarded, not least from the point of view of a sustainable settlement development.

In order to maintain this advantage in the future, and at the same time, to counter the problems of the large agglomeration areas, the regional and settlement development is to be oriented to the general principle of the decentral concentration. This decentral concentration aims to control and distribute the settlement activity in such a way

that, on the one hand, unhealthy agglomerations are avoided and, on the other, the people not only live but can also work and enjoy their leisure time in the immediate vicinity of their homes instead of having to drive long distances by car, for example between their homes and the place of work.

The aim is therefore a settlement development which is preferably concentrated on towns which can still withstand an increase in population without serious impact on nature or the landscape, which have free or easily expandable capacities in the infrastructure and in which the functions of living and working have a balanced mix so that the least possible additional commuter traffic is created.

The general principle of the decentral concentration can be regarded as a central (ecological) principle of future regional development aimed at the settlement structure. Only the strict pursuit of this concept can create the spatial and structural preconditions for bringing the functions of living, working, services and recreation spatially closer together again. In the long term, such concepts are fundamentally also aimed at establishing the "town of short distances" as a spatial organisational principle at the sub-regional level. From the point of view of sustainability, it must be a question of overcoming the need for mobility as far as possible.

In concrete terms the General Principles propose the urban networking of towns in Germany and to extend this network beyond the borders in order to strengthen the decentral settlement structure in Germany and to utilise its benefits. Urban networks as a regional planning instrument should promote intercommunal cooperation in order to improve location conditions and avoid suburbanisation.

##### Urban Networks as a New Regional Planning Strategy

The theoretical starting point for the concept of urban networks initially referred to densely populated areas. At a national level, however, these areas are faced with particular challenges, also in view of the international challenges for example from the European integration process or the anticipated regional population development. At the same time, however, the concept of the urban networks is not restricted to these large centres but can also be used as a regional planning strategy also in less densely populated areas.

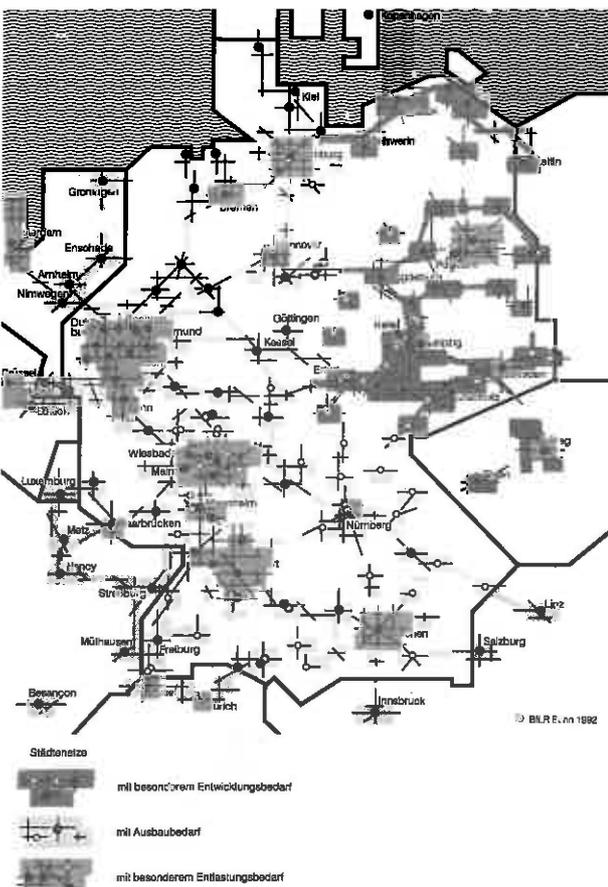
Whilst in the more densely populated areas, and particularly in the large agglomeration areas, urban networking is to be seen as a relief strategy, in the more rural areas it represents a strategy of stabilisation and development. The concept of urban networking must therefore by no means be misunderstood as an isolated "town policy". As a dynamically based strategy, the concept actually emphasises the relationship between town and region and is thus more or less independent of the degree of population density in the particular region.

The networked towns and their common development have far-reaching consequences. They can strengthen the decentral settlement structure in Germany in such a way that the total amount of money needed is smaller, and at the

same time the environment can be better protected than if each town works for itself. The more these intra-local cooperations are promoted and the stronger their mutual relations become, the more important they will become in a positive sense for the settlement development.

In the research field "Urban networks" of the Experimental Research in Housing Construction and Urban Development, a research programme brought into life by the Federal Ministry for Regional Planning, Building and Urban Development (BMBau), the basic idea of the "urban networks" is to be put into more concrete terms and formulated in such a way that it can be implemented in the day-to-day work of many towns. The main interest is focused on the question of how voluntary and sustainable cooperation can be achieved in questions of settlement policy.

### General Principles for Settlement Structures



In addition to the concepts of poly-central structures and urban networking, principles are also necessary with more macroscopic perspectives of how possible utilisation conflicts in the still free areas can be solved in the sense of a sustainable development. In order to achieve this, a differentiation must be made in the observation of the functions of the various free areas:

- In the suburbs of the large agglomeration areas the focus is on the preservation and improvement of the remaining

free areas. The small-scale landscaping and biotope linking are, alongside the needs of agriculture, are more important than other claims to use.

- In the large nature, landscape and water preservation areas important on a national scale, the protection must be effectively designed and assured. It is a question here of large-scale landscape preservation and networking of free areas.

Behind this new view of land use, there are four main **guiding principles for environmental protection in the regional planning:**

- Assure and develop the quality of the environment
- Utilise the quality of the environment
- Eliminate environmental damage, and
- Reduce and prevent environmental pollution.

The political possibilities of the Federation for influencing the settlement and urban development are not purely limited to the specification of programmatic guidelines. What is more important is the further development of legal principles and direct financial support.

### Federal Regional Planning Act and Building Code

The two most important legal bases are the Regional Planning Act of 1965 and the Building Code of 1987. These two legal foundations applicable nationwide are being adapted to meet the future requirements of the sustainable settlement and urban development.

The **Regional Planning Act** with the regional planning principles of standardised living conditions for people in all the sub-areas, and the general principle of protection, preservation and development of the natural fundamentals of life provides the regional planning framework for bringing social claims to use into concordance with the natural fundamentals of life according to the principle of sustainability. The **Building Code** enables the towns and communes to manage the present and future tasks of urban development. It is based on proven foundations: The Federal Building Act of 1960 and the Urban Renewal and Town Development Act of 1971. These were combined in 1987 into the Building Code to form a uniform legal work. The Building Code was basically aligned to the primary tasks of internal development, i.e. instruments of urban planning rights in favour of urban preservation and urban renewal. Furthermore, it strengthens the contribution made by urban planning rights to the preventive environmental protection. The Building Code thus provides the towns and communes with the urban planning scopes for manoeuvre for incorporating the principle of sustainability into the urban development planning.

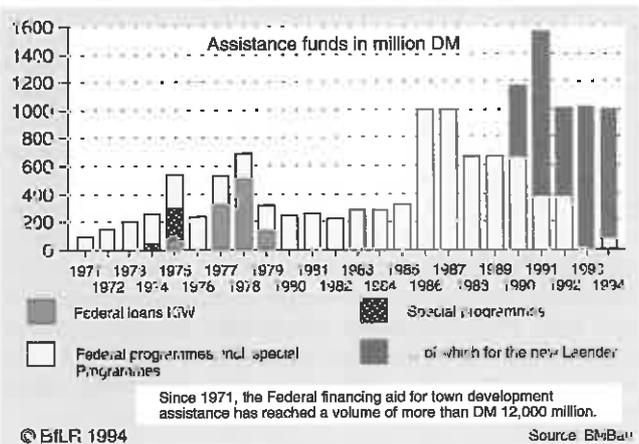
### Renewal and Development of Towns: Promotion of Urban Development

The most important financial measure available to the Federation for renewal and development of the towns is the **Urban Renewal and Town Development Act** which came into force in 1971. It is a common task of the Federation, Laender and the local authorities to preserve, renew and

develop the towns and villages. The Federation/Laender programme of urban renewal and town development promotion has sponsored more than 3,000 measures of urban renewal and development with some twelve thousand million DM up to 1994. Added to this are the some three thousand million DM invested in special urban planning programmes.

Federal financial support is given only to urban planning and development measures in accordance with the Building Code, in the new Laender also for the development of residential areas for the urban further development of large new residential areas, for urban preservation of monuments and for model urban planning projects. The subject of the sponsorship is the area-related renewal and development measure as a whole (overall measure principle). The Federation bears one third of the costs of financing individual urban planning, renewal and development measures worthy of sponsorship. The distribution of the Federal funds is based on a Federal programme which combines the Land programmes to be drawn up by the Laender. Distribution of the funds between Land and communes is the responsibility of the Laender. The Laender can vary the share to be borne by each of the communes, depending on the financial strengths of the communes.

**Town development assistance funds**



The Building Code forms the legal basis for the implementation of urban planning renewal and development measures. The renewal of the towns and villages is thus prepared, carried out, financed and promoted within the framework of formally defined town planning development measures. The areas, the town planning objectives and concepts and the individual steps to be taken are defined by the communes within the scope of their planning authority. They thus determine at the same time the possibilities and main focuses of the financial assistance. As a major element in the financial assistance, the Building Code assumes that the investments from the different public sponsors and all the relevant funds are brought together in one urban renewal area. This bundling effect can comprise, for example, funds from urban development, housing construction, public rights of way construction and business promotion as well as constructional measures from the German Bundespost and Bundesbahn. Tasks of urban

expansion can be promoted, financed, prepared and carried out within the framework of formally defined development areas

### New Administrative Agreement for Promotion of Urban Development

With the new administrative agreement of 30 June/15 August 1995, the traded urban development tasks took on concrete forms with the specification of further main focal points:

A cross-section of ecological, conservation, economic and employment policy considerations should form the basis for the selection of the measures to receive Federal financial assistance.

Funds from this programme should be concentrated on urban and rural areas with a higher level of structural problems.

Starting from the principle of subsidiarity, an efficient and sparing use of the funds should be assured by a limited degree of renewal, measure-specific lump-sum allocations and maximum sponsorship levels as well as the investment of private capital.

In the old Laender and in West Berlin, financial assistance from the Federation should be used only in areas where there is an increasing demand for structural urban development. Main areas of promotion are:

- The renewal and development in urban development problem areas (in particular inner city areas with social, urban planning and ecological deficits or where there is a threat to the existing building stock),
- Creation and preservation of housing,
- The reallocation and reutilization of derelict areas.

The Federation bears one third of the overall costs of urban renewal and development measures worthy of sponsorship in towns and villages, providing DM 80 million in 1995

From 1995 urban renewal and development measures and measures for urban further development of large new housing areas were combined to form one programme area for the new Laender and East Berlin. The Federation sponsors these measures, bearing one third of the overall costs worthy of sponsorship, providing DM 420 million in 1995. Furthermore, measures to preserve and protect urban monuments in historic town centres are supported by the Federation which bears 40 percent of the costs with an obligation framework of DM 200 million in the new Laender and East Berlin. This bundling of programme areas creates more scope for manoeuvre. The model towns will also be funded via the above-mentioned programme areas from 1995.

Urban renewal and town development as the most important instrument of Federal and Land governments for promoting urban renewal and development is thus going the right way to supporting the objectives of a sustainable urban development even better in the future, as it has an

important role to play in settlement policy. This applies equally at the Federal, Laender and communal level. Urban renewal and urban development are affected equally by urban renewal and town development assistance for restructuring and development measures. The instrument of assistance funds is seen and used under economic and political aspects apart from its social and environment political functions. Urban renewal and expansion is a public investment area with significant direct and indirect "knock-on" effects. In renewal and expansion areas, urban development funding stimulates additional private and public investments worth many times that of the public funding.

The Laender also regard the preservation, renewal, revitalisation and development of the towns and communes as an important ongoing settlement policy task whose significance will further increase during the coming years, not least due to the extensive need for urban renewal and development in the new Laender. The development committees at Laender level play an important role here. They implement the targets of urban and regional development, of structural policy and of housing policy. They are sponsors for roughly a quarter of all urban renewal and development measures. The Federal Association of the Land Development Committees report in their "bulletins" at regular (quarterly) intervals on current projects in the fields of infrastructure, trade development, housing construction and environmental protection.

The towns and communes also attach a high priority to urban renewal and development. Urban renewal is an effective instrument for the necessary internal development of the towns under ecological aspects. But the local economic and social policy are also significantly affected by the urban planning preservation and renewal measures. In view of the anticipated increase in population, many towns will in future increasingly regard urban expansion with particular attention being paid to the ecological requirements of protecting free areas as an important aspect of the urban development support.

#### **Research for Sustainable Settlement Development**

Research projects of the Federal Ministry for Regional Planning, Building and Urban Development also provide important impulses for a sustainable settlement and urban development. In the '80s and '90s, the results of a large number of research projects have contributed to:

- Implementation of the programmatic demand "inward development before outward development" as an urban planning strategy to stem any further increase in the settlement areas.
- Implementation of a preventive environmental protection in the urban planning (communal master planning) in accordance with the Building Code.
- Improvement in the environmental quality in towns by attention to ecology in sectoral planning, particularly through environmentally compatible traffic and energy planning.

Research and development measures in urban planning ensure in particular that ecological requirements are indeed taken into consideration in sectoral plans. Urban development must, for example, be interested in the town traffic policy and communal energy policy being oriented to objectives of environmental quality and thus in improving the environment in the towns. Appropriate strategies have been drawn up and implemented in numerous research projects.

In urban regions, questions of energy conservation and effective use of energy are particularly important, since the energy consumption in towns is particularly high and consequently large volumes of pollutants are emitted into the atmosphere. The "local and regional energy supply concepts" which were developed in a joint research and work programme of the Federal Ministry for Regional Planning, Building and Urban Development and the Federal Ministry for Research and Technology between 1980 and 1987 are showing significant successes in energy saving and emissions reduction. The published research results provide valuable starting points for an individual energy supply plan which is appropriate to the local situation and is generally environmentally compatible.

Applied research for a resource-conserving and environmentally compatible settlement and urban development is also being practised by the Federal Ministry for Education, Science, Research and Technology. For example, in the research programme "Ecological research in urban regions and industrial landscapes (urban ecology)", joint projects are being sponsored and carried out with the involvement of the local authorities in three urban ecological problem areas: "Optimisation of the water circulation in towns", "Ecologically compatible mobility in urban regions" and "Ecologically and economically compatible solutions to land use competition in urban systems". The projects are intended to expand the knowledge of the urban ecosystems and their interconnections (ecosystem research) and to provide the tools for the local authorities to set up urban and industrial ecosystems under ecological viewpoints, taking into consideration the needs of the town dwellers.

#### **Experimental Research in Housing Construction and Urban Development**

Research, experimental testing and exemplary demonstration are the keystones to any strategy of ecological urban renewal, of ecological urban conversion and a sustainable urban and settlement development. The primary objective of the research field "**Urban ecology and environmentally compatible planning and construction**" started in 1987 as part of the **Experimental research in housing construction and urban development** of the Federal Ministry for Regional Planning, Building and Urban Development is to explore the urban ecological potential for manoeuvre. In this field, selected communes and project sponsors are to test various innovative approaches in practice and stimulate other communes and project sponsors to take up similar innovative activities. The results of this research field have now been summarised i.a. in a brochure. It is intended to give builders, urban planners and architects but also - and more importantly - interested

citizens numerous stimuli for an ecological planning and construction.

#### **Schwabach: Planning Game "Urban Ecology Model"**

An example of the implementation of research results in practice was the **planning game "Urban ecology model"** of the Federal Ministry for Regional Planning, Building and Urban Development. For a whole year, the town of **Schwabach** in Central Franconia played the game. A game with a serious background, since all the components of the urban ecology were brought together as an example into an overall concept and then the consequences for the communal policy were simulated. The urban council, town administration and the people of Schwabach contributed to the success of the planning game. Projects were planned together, decision-making processes simulated and financing plans drawn up. All the players were able to follow the individual and often difficult steps in the ecological restructuring of the town without irrevocable situations being created by buildings actually being started.

The planning game naturally did not remain completely without tangible results, as many of the jointly taken ideas were put into practice. The results from Schwabach can be easily applied to other towns, as Schwabach with its 38,000 inhabitants is representative for the predominant settlement form in Germany.

**Conclusion of the planning game:** An ecological town cannot be built in a day. But the foundation has been laid. And with the committed efforts from all involved, more and more areas can be ecologically converted.

#### **Model Projects for a Sustainable Settlement and Urban Development**

Research fields in experimental housing and urban construction which, with new ideas, unconventional concepts and innovative implementation strategies and through the documentation of examples worthy of imitation can contribute to a more sustainable settlement and urban development, are at present:

- **Urban ecology and environmentally compatible planning and construction**  
Objectives: Implementation of ecologically oriented requirements in settlement expansion and within the scope of inward development through the use of the instruments of urban planning
- **Urban planning qualities in new housing construction - environment-friendly specifications, faster procedures**  
Objectives: Assurance of urban planning qualities through the implementation of environment-friendly specifications in planning, construction and use of new residential areas.
- **Cost and land-saving construction**  
Objectives: Acceleration of urban renewal and of urban development (in the new Laender), avoidance of suburbanisation of the landscape, promotion of home ownership.

- **Conversion - urban planning possibilities as a result of reallocation of military installations**  
Objectives: Development of transferable methods and strategies for the use of former military sites, in particular urban planning integration of conversion areas, handling of environmental pollutants.
- **Reduction of pollutants in urban construction**  
Objectives: Allowance for the needs of pollutant minimisation in the planning and clarification of the implementation needs and the consequences for the basic frameworks in urban development.
- **Urban development and traffic**  
Objectives: Improvement in the living conditions by integrated concepts for urban construction and traffic strategies in order to reduce the negative effects of traffic related to urban development measures.
- **Urban development and mixed utilisation**  
Objectives: Implementation of planning concepts of mixed utilisation which pursue objectives such as the creation of urbanity, the increase in urban qualities, breakdown of segregation and avoidance of traffic.
- **Centres (development of inner cities and urban district centres, urban development integration of large-scale facilities in suburbs)**  
Objectives: Revitalisation and functional further development of inner cities and district centres and incorporation of large-scale commercial, trade and recreational facilities in the suburbs or in the urban belt into urban/settlement structural relations.
- **Urban networks**  
Objectives: Practical testing of the cooperation form of urban networks as a regional planning instrument for implementation of settlement concepts of poly-central structure.

Since 1987, well over 100 model projects have been sponsored and implemented in the research fields of significance for a sustainable settlement and urban development. Through the implementation of practical and, at the same time, transferable projects, experimental housing and urban construction has become an important practice-oriented instrument of housing and urban development policy. In order to promote the rapid implementation of research results in practice, "Information bulletins on research fields" are issued on the current research fields. Interested persons can send for these bulletins free of charge from the publishers at the Federal Research Institute for Regional Geography and Regional Planning (BfLR).

## Model projects (best practices) for a sustainable settlement and urban development



### 7 Research fields (116 model projects)

- Urban development and traffic (25)
- Urban development qualities in new housing construction (14)
- Cost and land-saving building (4)
- Conversion (11)
- Urban networks (11)
- Pollution reduction in urban development (12)
- Urban ecology (39)

The following research fields are still in the selection phase:

- Urban development and mixed use
- Centres

Source: ExWoSt documentation of the Federal Research Institute for Regional Geography and Regional Planning (BfLR)  
 Status: November 1995  
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#### 4.1.2 Settlement Policy on a Regional Intercommunal Scale

The programmatic and conceptional ideas of the Federation on settlement development are put into concrete terms and implemented predominantly by the Laender. At Laender level, a well-established system of development programmes and development schemes has existed for many years. These contain general aims for the intended development and their particular Land-specific conceptions. These general aims are given concrete contours and set as binding specifications for communal planning by the sub-regional plans.

Sub-regional planning in Germany is currently in the process of pursuing the aim of a sustainable settlement development in a more positive manner. It is increasingly trying to initiate an overall spatial development which gives consideration to the delicacy of natural resources and does not durably impair their regenerability. Regional decisions must today be taken more than ever with consideration for all the circumstances and possibilities and at a high level of knowledge with a conscious responsibility for man. In particular, this creates chances for a sustainable settlement development. Such a development must be oriented to the ecological, economic and social needs of the people in an area, without being at the expense of the needs of the people in another area.

General settlement structural planning principles and area-specific instruments are available to the sub-regional plans as planning instruments.

**Settlement structural planning principles:** These include the central towns concept. It characterises towns and cities of different sizes and significance which take on duties as supply centres for the population of related areas over and above their own requirements. The central towns concept is important for the implementation of a settlement policy of poly-central structures, particularly also in conjunction with axis systems which, for example, set regional planning guidelines for settlement axes along the lines of subway, rapid transit system and tram routes.

In the agglomeration areas, however, simple guiding of the settlement development along the lines of such structural planning principles is no longer sufficient. With a view to a sustainable settlement development, selected specifications are necessary to preserve and develop available free areas.

**Area-specific instruments** are used for this purpose: They define certain land uses such as, for example, regional green areas or the priority for individual free area functions in concrete terms in the plans. This priority is shown for the water, species and biotope protection, wood land and for landscape-related recreation and leisure. Other uses are not completely ruled out from the outset, but priority means a definite preference for the land use provided for in the plans.

However, plans as instruments for influencing settlement development have lost significance in recent years. Although a large number of good plans have been drawn up on paper in the past, for example for an environmentally

compatible planning of suburbanisation, these plans have often remained just plans, as shown by the trends towards a disperse settlement development in agglomeration areas currently to be observed. Sub-regional planners are increasingly recognising that it is more important to win over the implementing partner, i.e. the commune, for the objectives defined in the plan before the plan is finalised. Greater cooperative sub-regional development is demanded where the planners take on the role of a sub-regional development manager with the portfolio "settlements development".

#### Increased importance of informative instruments

The Guidelines for Regional Planning together with the principle of poly-central structures and the desired expansion of urban and regional networks illustrate clearly the significance of the region as a level of action. If settlement policy in the region is to be durable and sustainable, it must also take account of the interrelationships within the region. In particular it needs strong cooperations between the towns. Informative instruments and with them the voluntary cooperation of all the parties involved is therefore growing in significance in the multi-faceted field of settlement policy.

A working group "Regionalisation" within the Technical Commission on Urban Development Planning of the German Convention of Municipal Authorities has put up theses on the necessity and possibilities of a cooperative urban regional development. The theses assume that with the ongoing urbanisation process and growing conflicts and imbalances between town and surrounding communes, a greater orientation of the communal responsibilities to the urban regions will be necessary, under the aspects of

- Assurance of the natural habitats as a precondition for further urban development
- Preservation of the competitiveness between towns and urban regions, for example with respect to the quality of life, attractivity and economic performance (competitiveness in the Single European market) and
- Intercommunal cooperation in the use and forming of urban planning instruments, for example in providing land for housing and commercial premises or for preservation of free and green areas necessary for the urban development policy.

In the intercommunal cooperation, voluntary cooperation has priority. The different organisational models range from loose working groups through partnerships under the Civil Code, clubs, limited liability companies, bilateral and multilateral agreements right up to voluntary special purpose associations and obligatory public associations with responsibility to the communes.

#### Instruments going beyond plans and cooperation - market-controlling instruments of settlement policy

The "classic" instruments of sub-regional planning have remained relatively unsuccessful in the past. This is evidenced by the settlement development in the agglomeration areas. The sprawl in the surrounding areas

with the homes and places of work lying further and further apart and also the gradual dissolution of the poly-central settlement structures are primarily the consequence of location decision of private households and companies. They contradict the settlement structural objectives of the sub-regional planning.

A strategy which tried to change this behaviour simply by offering "alternative planning ideas" would be more or less doomed to failure from the outset. Plans have difficulty stimulating the desired behaviour from the addressees, the households and companies. Typically they prescribe restrictions, make offers to the private households, wish to influence settlement structures. The logic behind the instruments of regional planning has had very little success in the past of provoking the desired response.

Anyone who wishes to convince the private players by "gentle pressure" can make use in particular of the market-controlling instruments of the environmental policy. Expensive energy, shifting the external costs of traffic to the causers and a "sealing tax" create the supporting background conditions for successful spatial planning.

Incentives for conservative use of the environment can best be created via the pocket. Anyone who does not behave in line with sustainable settlement development has to pay a high price. Sustainable ecological prices are demanded, prices which stimulate sparing use of the scarce resources. They ensure that the politically defined limit of resource utilisation worthy of the name "sustainable" is observed by the players.

Market-controlling instruments aim in the long term to achieve certain patterns of behaviour and land use in a self-organised process in which the players have the greatest possible freedom of choice, and not by force from above.

The recourse to instruments of environmental policy "borrowed" from the market mechanisms does not make spatial planning superfluous. In order to be effective, price control and regional plans are closely interlinked. If, for example, mineral oil tax is increased and car driving thus becomes more expensive, but at the same time no environment-friendly alternatives to changing to bus and rail are offered for the local public transport, this tax increase will not achieve its control aim of reducing individual private transport. In order for alternative strategies to be implemented, planning and the availability of the corresponding infrastructure are essential. On the other hand, however, a regional plan oriented to the availability loses its effectiveness without the control mechanisms to meet the demand.

The German Convention of Municipal Authorities specifies the following aims and main focuses of attention for cooperation in the urban regions:

- In the settlement development, the plans should be drawn up together, or at least coordinated with one another. The interdependencies between the areas of living, working, population and social structure,

recreation, traffic and assurance of natural habitats is of considerable importance here.

- A second important point is the provision of land and the availability of land. This aspect is looked at in more detail in the concepts and instruments for controlling the demand for building land and the provision of building land.
- A third challenge is the regional location management. The region presents itself as a unit of urban and surrounding communes, whilst utilising the specific outward development potentials of the region (for example, in the Single European market).
- Finally it is a question of financing the regional cooperation with a certain financial autonomy. Financing should be assured by charges and the income of the region (for example from taxes which are transferred to the regional organisation to a certain extent by the regional communes).

The proposals of the German Convention of Municipal Authorities show the great significance attached to the urban regional cooperation and illustrate the need for an ordered urban regional development.

#### **New forms of urban regional cooperation**

Initiators of new urban regional cooperations are primarily the central towns and the Chambers of Trade and Industry, in some cases supported by the corresponding Land governments (North-Rhine Westphalia, Baden-Württemberg). The surrounding communities, on the other hand, are rather more apprehensive of new institutionalised urban regional forms of cooperation, although they are beginning to understand that they are also sitting in the same "urban regional boat" and the willingness to assume responsibility for the whole region is increasing.

Starting from criticism of the lack of ability of existing sub-regional planning institutes to plan the development, more effective forms of regional management are now becoming apparent (regional conferences, regional development agencies, cooperation networks) which lie outside the state planning specifications. The aim is more or less clearly defined as the finding of forms of cooperation in which one uniform regional level has the political and administrative responsibility for the planning, financing (also via its own sources of income) as well as the implementation and performance of measures.

A recent example of more a effective form of regional management is the area Bremen/Bremerhaven/Oldenburg where a new voluntary regional cooperation in the fields of regional planning and structural development is being organized between the town communes of Bremen and Bremerhaven and their neighbouring counties and boroughs. A sub-regional development concept is being drawn up which outlines the principles and target areas of the future planning and policy and defines joint fields of action and concrete cooperation projects.

The Future Initiative in the Aachen Area e.V. (ZAR for short) should also be mentioned here as an example to illustrate

more clearly how the player and function structures in an urban network could look as a form of cooperation.

### **ZAR: An example of new intercommunal forms of cooperation**

The Future Initiative in the Aachen Area (ZAR), as its name implies, lies in the surrounding areas of the high-order centre of Aachen (Aix-la-Chapelle), and for the most part within the densely populated area of the same name. The local authorities of Alsdorf, Aldenhoven, Baesweiler, Eschweiler, Heizogenrath, Stolberg and Würselen joined up to form the intercommunal organisation ZAR as long ago as 1988. In 1995, an eighth commune, Inden, joined the organisation. Of the now eight cooperating local authorities, six are regarded as middle-order centres and two as communes without higher central functions (Aldenhoven and Inden). The populations range from 8,000 (Inden) to 58,000.

The Future Initiative has taken up the processing of a complex spectrum of tasks, including all development-relevant tasks (urban, traffic, free space, commerce/ trade development, fields for action from the areas of culture and recreation) as well as an (integrative) regional management.

The impetus for the cooperation efforts was the need for structural change in a region dominated by mining. There were therefore problems in the Aachen surrounding areas which did not affect the neighbouring high-order centre Aachen. It is therefore understandable that in the initial phase, Aachen is not a member of the cooperation. In the meantime, however, the situation has changed. The original "structural crisis", specific to the surrounding areas, has now lost significance in favour of common regional perspectives. At this advanced development stage, efforts are therefore currently being made to form an overall region including Aachen. Clarification of the cooperation with Aachen may well be a critical factor for the future success of the Future Initiative. In particular it will be important to see the extent to which inefficient competition can be avoided and instead the complementary and synergy potentials such as the linking of the greater functionality of Aachen with the existing land reserves in the surrounding areas can be sustainably utilised.

In previous years, ZAR has been supported by sponsorship possibilities at Land level, but also by the fact that the Future Initiative was a model project within the ExWoSt research field "Urban planning and economy".

Source: BIPE Conseil (1995): Le pact espace métropolitain Picard Issy-Les-Moulineaux

One of the old German communal associations is the former Siedlungsverband Ruhrkohlenbezirk which, in the meantime, has been renamed Kommunalverband Ruhrgebiet and has set itself the primary task of the regional preservation of green areas. This communal association has been pursuing a policy of free space preservation in Germany's largest poly-central agglomeration area since the 1920s. It is thus an important example for the early recognition of the necessity for

orienting the settlement activity in a densely populated area also to the ecological needs of the region.

Free space is no longer defined here merely by "lack of use" but is also understood positively as a regional development potential:

- From an ecological point of view the main concern is the preservation and development of the habitats for a variety of species and biotopes;
- From a social point of view the main concern is the possibilities of recreational areas in the inner cities;
- Finally from a regional planning point of view the main focus is on a town and region with large green "lungs".

Bottlenecks in the regional development occur where there is a lack of free space. Regional free space concepts pursue the fundamental objective of eliminating these bottlenecks. The first step here is to preserve the existing free areas, to make new use of recoverable areas and to reduce the further use of land for settlement purposes.

These objectives can only be achieved in a regional cooperation. Although individual local activities may appear to be highly expedient for the immediate environment, without reference to or cooperation with the supra-communal aspects they remain below-optimum approaches to a solution. Regional cooperation is thus an essential precondition for an optimum and sustainable utilisation of natural resources.

### **4.1.3 Settlement Policy at the Communal Level**

Many environmental problems have their causes in the towns. Responsible for this are the styles of life and economic practices, particularly the spatial breakdown of work, high land use claims and unhindered mobility requirements, the increasing production of goods and the expansive consumerism and leisure activities. At the same time, the people in the towns are also the people most affected by anthropogenic environmental pollution such as pollutant emissions and noise. A more sustainable settlements and urban development must therefore have its concrete starting point at the communal level. Existing burdens must be removed and new environmental pollutants avoided or minimised and compensated.

The towns and communes have a key role to play in both the planning and implementation of land use and in the application of environmental legislation by the Federation and the Laender. Their decisions determine the local world in which they live, the social and natural environment of residents and companies. In the '80s, communal environmental policy became more and more important in view of the increasing environmental pollution and environmental risks in the German agglomeration areas. This was backed up by a population which is far more sensitive to questions of environmental protection than had previously been the case.

A sustainable, i.e. resource-conserving and environmentally compatible, settlement policy at communal level is on the

### Most important communal environmental protection tasks

Environmental media, protected subjects	Service tasks	Spatial development tasks
Protection of nature and landscape	<ul style="list-style-type: none"> <li>Establishment, maintenance</li> <li>- Public green areas (T) <sup>1</sup></li> <li>- Semi-public green areas (e.g. small gardens, safety zones) (T)</li> <li>- Communal forests (T)</li> <li>- Agricultural land (I) <sup>2</sup></li> <li>- Protection and preservation of habitats (I)</li> </ul>	<ul style="list-style-type: none"> <li>- Urban development planning (I)</li> <li>- Communal master planning (I)</li> <li>- Landscape skeleton planning (T/I)</li> <li>- Landscaping and green land planning (T/I)</li> </ul>
Soil protection	<ul style="list-style-type: none"> <li>- Sparing and more careful use of land during development and building measures (I)</li> <li>- Unsealing of public areas (I)</li> </ul>	<ul style="list-style-type: none"> <li>- Investigation of polluted sites and soil rehabilitation programmes (T)</li> <li>- Urban development and physical development planning (I)</li> <li>- Landscape skeleton planning (T/I)</li> <li>- Landscaping and green land planning (T/I)</li> </ul>
Water supply, sewage disposal	<ul style="list-style-type: none"> <li>- Communal or communally contracted supply and disposal companies (T)</li> </ul>	<ul style="list-style-type: none"> <li>- Technical plans for rehabilitation, protection and preservation of groundwater catchment area, infrastructure sites (T)</li> <li>- Urban development and communal master planning (I)</li> </ul>
Waste disposal	<ul style="list-style-type: none"> <li>- Communal or communally contracted disposal companies (T)</li> </ul>	<ul style="list-style-type: none"> <li>- Technical plans (T)</li> <li>- Assurance of sites for disposal facilities (I)</li> </ul>
Immissions protection (air pollution control, noise control)	<ul style="list-style-type: none"> <li>- Energy saving, immission protection in communal building, plants, vehicles (I)</li> <li>- Local public transport (I)</li> <li>- Public utilities (I)</li> </ul>	<ul style="list-style-type: none"> <li>- Traffic (abatement) concepts (I)</li> <li>- Energy supply concepts (I)</li> <li>- Noise control plans (I)</li> <li>- Urban development and communal master planning (I)</li> </ul>
Promotion of environmentally safety technologies and behaviour patterns	<ul style="list-style-type: none"> <li>- Environmental consultants (T)</li> <li>- Environment campaigns, environment enlightenment (T)</li> <li>- Acquisition of environmentally safe products (I)</li> </ul>	

<sup>1</sup> T = Technical tasks; <sup>2</sup> I = Interdisciplinary tasks

Source: Hucke, Jochen: Kommunale Umweltpolitik. In: Roth, Roland/Wollmann, Helmut (publ.): Kommunalpolitik - Politisches Handeln in den Gemeinden. Vol. 320 of the publication series of the Bundeszentrale für politische Bildung. Bonn 1993.

one hand essentially a classic task of environmental protection, of communal environmental policy. The communal environmental policy concerns itself for example with air pollution control, with waste disposal, with sewage treatment or noise control. On the other hand, a sustainable settlement policy is also cross-section-oriented when in the urban development and communal master planning it is a question of achieving the most environment-friendly land use and urban development possible or when it comes down to developing traffic avoidance concepts and energy supply concepts.

#### Communal environmental policy for a sustainable urban development

The most sustainable settlement and urban development possible presupposes communal environmental policy with its - in the meantime - traditional fields of activity. The towns and communes in Germany were active from a very early stage in the water supply and sewage disposal in order to avoid acute dangers. The construction of sewage treatment plants, for example, improves the quality of the groundwater

and of rivers and lakes. Many of the towns and communes in the new Laender still have a great deal of catching up to do in this respect.

The disposal of refuse is another traditional area of local environmental policy. The communes belonging to the district council are generally responsible for the collection and transport of domestic refuse, while the counties and boroughs are responsible for storage, treatment, recycling, incineration and dumping. All the domestic refuse of the residential population in Germany is collected and around ninety percent is stored in dumps. The rest is incinerated or composted. The Duale System Deutschland (DSD) is also active outside the public waste disposal system: It collects used packaging materials which is then recycled. The DSD is financed by license fees which the manufacturers of the packaging materials have to pay at different rates.

A more recent field of activity of communal environmental policy is the rehabilitation of polluted derelict sites. The towns and communes are called upon to prevent acute

danger and to ensure, within the scope of their communal planning, that no damage occurs at a later date. However, in many cases the real causers of the soil contamination can no longer be charged. This result is that there is often a shortage of money for effective rehabilitation.

The communes can contribute to achieving a better environment also via the use and supply of energy. This applies in particular when the communes have their own public utilities. Innovative approaches to an urban energy policy include communal and/or regional energy concepts, energy consultation and energy conservation measures. When new residential areas are planned and built, the communes can make concrete recommendations for the communal master planning, building concepts and building construction with the aim of minimising the energy consumption.

### **Communal climate protection initiatives**

Various German towns and communes combine their projects for reducing energy consumption in climate protection initiatives. More than 250 communes in Germany have joined the international "Klimabündnis/ Alianza del Clima e.V. Climate Alliance of European Cities with the Indigenous People of the Rain Forests". Some cities have had thorough investigations into the local energy consumption and CO<sub>2</sub> emissions carried out. In some cases, discussions are continuing as to how the local energy consumption can be drastically reduced. Cities are already putting their ideas into practice in some cases. A small group of cities drew up a climate protection programme on the basis of certain concepts within their own administration. Other cities have drawn up and politically adopted new energy concepts in recent years. Many cities such as Frankfurt am Main, Freiburg and Hagen emphasise their intention to halve the CO<sub>2</sub> emissions by the year 2010 with the various investigations, studies and programmes. With their affiliation to the Climate Alliance, all the members have committed themselves to this objective. The activities and resolution of other towns such as Bottrop, Düsseldorf, Heidelberg, Hanover and Saarbrücken are oriented to the official target figures of the Federal government of a 25 - 30 percent reduction in CO<sub>2</sub> emissions by the year 2005. Berlin has set a target of 30 percent by the year 2010. Giessen aims to have reduced the CO<sub>2</sub> emissions in the town by 40 percent by the year 2005.

### **Town hall and climate protection - An initiative of the German League of Towns and Communes**

In 1992, 170 states including the Federal Republic of Germany adopted an environment action programme for the 21st century, the Agenda 21. Some of the most effective fields of action within the scope of the Agenda 21 lie immediately within the sphere of influence of the towns and communes. This is particularly evident in the part of Agenda 21 which deals with the "protection of the earth's atmosphere".

Agenda 21 with its global call to action can, however, only serve as a plan of action for the communes and the individual residents to a limited extent when it is a case of

drawing up their own local agenda which is to be implemented on their own doorstep. In order to permit implementation of Agenda 21 at the level of the towns and communes, more concrete instructions for the communal scope for manoeuvre are therefore necessary.

Against this backdrop, the German League of Towns and Communes (DStGB) and the Communal Environment Action (UAN) drew up a brochure "**Town hall and climate protection**" following the climate summit in Berlin in March 1995. Their aim is to develop the experience of communes, towns and counties with climate protection measures for other communes. In condensed and compact form the brochure presents a comprehensive collection of possible measures which can be local contributions to global climate protection within the scopes for manoeuvre of a commune. The presentation is complemented by references to sponsorship programmes of the European Union, Federal government and the Laender as well as sponsorship programmes of individual communes in the field of communal climate protection. The practical examples from the various communes presented in the brochure aim to stimulate ideas for taking up the discussion of active climate protection in the town halls, and from there into the homes of the residents. The town hall should become a local centre for actions and ideas for active climate protection.

Source: DStGB and Communal Environment Action (UAN), Hanover 1995

The traffic sector is becoming ever more important for a sustainable settlement policy in the communes. Efficient and attractive offers in local public transport and attractive routes for cyclists and pedestrians are needed to create the preconditions under which the privately used car can be left at home more often. The local public transport, however, is not always in the hands of the commune. The direct influence of the communes is therefore limited. In the private traffic, the communes can intervene with planning, structural and regional policy instruments such as for example speed limits or parking area management. A wide-scale traffic abatement, in particular, can also relieve the burden of too much road traffic. Traffic abatement has been initiated and implemented in many German towns since the beginning of the '80s: Redesigned roads have now created new free areas and meeting places for the people, gardens and lawn areas have a positive influence on environmental conditions, noise and exhaust emissions are reduced and the quality of life in the residential areas is improved.

A sustainable urban development is thus very closely linked to the communal environment policy. A large number of starting points and possibilities are being pursued with differing intensity in the individual German towns. Furthermore, urban planning as a land use plan can also contribute to achieving the most environmentally compatible urban development possible.

### **Communal master planning and sustainable urban development**

In a sustainable urban development, individual land uses are planned in relation to one another in such a way that

they interfere with one another as little as possible. The demands made by nature, landscape and soil protection on the urban development planning have increased in Germany in recent years as the population has become particularly sensitive to questions of environmental protection. This is also related to the massive expansion of the towns into previously free land. The communes must take appropriate environmental protection measures in their urban planning to prevent nature being harmed further and to ensure that nature and the landscape can develop further with respect to their effectiveness.

The instrument for such control is the communal master planning provided for in the Building Code insofar as it makes reference to the material analyses and statements of the landscape planning. More and more towns and communes are recognising that a sustainable urban development can no longer be drawn up, developed and implemented without thorough analysis of the natural balance and without deriving technical aims and measures for nature protection, landscape preservation and environmental protection from this analysis.

The land use plan is the preparatory communal master plan for the whole communal area. It shows the principles of the type of future land use. The local building construction plans which are generally derived from the land use plan prescribe how the individual plots may be used and developed. The Building Code gives the communes the chance to define the type of building, the number of floors and the building density. The commune can also prevent a disturbing mix of different types of land use. Furthermore, the communes in conjunction with the landscape plan can specify concrete areas for the protection, preservation and development of nature and the landscape in their local building construction plans.

The communes themselves are responsible for the drawing up and implementation of the land use plans and local building construction plans within the scope of their communal planning authority. According to the general aims of the Building Code, the communal master plan should assure a humane environment and protect the natural habitats. In principle, an uncontrolled suburbanisation is to be avoided. The "outer areas" should therefore not be used as building land. They are not general settlement areas. Only privileged projects such as farms or certain companies may build in the outer areas. Otherwise building is only permitted within the scope of the local development plan or in already developed districts or areas of the town. If land in the outer areas is to be defined as building land, the urban construction planning must weigh up environmental aspects against the demands of the planned land use.

### **Communal master planning and landscape planning**

Of particular importance for a sustainable settlements and urban development is the contribution made by the landscape planning. As in the regional planning, the Federation has a skeleton legislative competence which it has exercised with the passing of an act for nature protection and landscape conservation (Federal Nature Protection Act). This act states that for settled areas, the

principle that "parts of nature and landscape, including green areas and their fauna and flora, are to be particularly protected, preserved and developed" (Federal Nature Protection Act, §2 para. 1 clause 2).

Nature protection and landscape conservation are thus not aimed solely at partial areas, such as the outlying districts, but at the complete communal territory. As in communal master planning, the level of communal landscape planning is split into two. The land use plan corresponds to the landscape plan which is drawn up for the whole communal territory. It contains the local requirements and measures for implementation of the objectives of nature protection and landscape conservation. The regional green plan which contains objectives such as planting or conservation demands corresponds to the local building construction plan. In addition there is the instrument of the secondary landscape conservation plan under which public developers can be obliged to take compensatory measures for the intervention in nature and the landscape.

A close mesh between the landscape planning and the overall spatial planning is needed to ensure that the landscape planning is binding. The most comprehensive step here is the total integration of the plan into the communal master plan. One advantage of this is that the landscape plan is thus fully incorporated into the binding nature of the communal master plan so that subsequent plan and technical plans are obliged to be adapted to this plan.

### **Environmental impact examination and communal master planning**

In addition to a conscious ecologically-oriented land use plan, the environmental impact examination which has been conducted for some years in Germany is an instrument which takes a minimum level of ecological aspects and environmental effects into account in the spatial planning. The concrete objective of an environmental impact examination is the analysis and evaluation of the effects of an urban development project on man, animals and plants, climate, soil, water, air and landscape, including their mutual interactions, and on cultural and other capital assets. The environmental impact examination is thus an important part of the communal master planning.

Accompanying environmental impact examinations are best suited to assure the principles of ecological planning on the basis of land use and local development plans: A voluntary environmental impact examination in the land use plan process has the objective of investigating the environmental impact of the need for new building land and other forms of land use as well as the future structure of the land use in the communal area. In the local building construction plan process, an environmental impact examination also investigates the planning variants and examines the effects and consequences of individual planning statement for the given location.

The environmental impact examination in the communal master planning consists of a general relevance test and the actual examination of the environmental impact. The relevance test first determines whether any relevant

environmental impacts are actually to be expected from a building project. Only when significant impacts on the environment are to be feared should a comprehensive environmental impact examination be carried out. The concrete examinations or tests which are necessary in a particular case are generally determined by assessment of the environmental relevance. If the relevance test comes to the conclusion that the plan does not affect the environmental interests, then the time-consuming and generally also expensive process of the environmental impact examination can be waived.

### **Local Agenda 21 - Communal strategies for a sustainable development**

Communal strategies for a sustainable development are the attempt to implement the Agenda 21 signed by 179 states in Rio de Janeiro in 1992 at the local level. The main change since then is the aim of superseding the priority of economy and economic growth by a triad of equal values consisting of ecology, social aspects and economy in order to pursue the general principle of a sustainable and future-oriented development. Agenda 21 calls on the towns directly to start a social dialogue on this subject, as most people live in the towns, this is the place where the problems are most pressing and are to be felt most directly, but is also the place where the conflict with the future takes place. In the meantime, many towns in Germany have started local Agenda 21 processes and are developing communal strategies for a sustainable future.

### **Ecological town of the future - A model project in North-Rhine Westphalia**

The traditional urban development policy is no longer sufficient to effectively combat the environmental problems in the towns and to repair the environmental damage which has already been caused. The terms "ecological urban conversion" or "ecology-oriented urban development" stand for a changed urban development planning oriented to ecological principles. With the model project "Ecological town of the future", the Land government of North-Rhine Westphalia is taking a new and trendsetting route.

The objective of the model project is through exemplary measures in all the communal scopes for manoeuvre and by linking of these measures for the town as a whole to demonstrate the feasibility of an ecological conversion in selected model towns. The need here is not for the drawing up of unrealistic concepts but for the implementation of **solid projects** in order to make ecological conversion visible and tangible. Major measures are the conservation of resources through land-saving building, reduction in energy and water consumption, assurance of natural living conditions through the preservation of and increase in the habitats for plants and animals, and the reduction in the air, water and soil pollution.

The projects carried out to date in the three selected model towns Aachen (Aix-la-Chapelle), Herne and Hamm already illustrate the first exemplary approaches to an ecological urban conversion. They are steps in the long-term development process of urban ecology. The important element here is that as many environmentally relevant

areas, all the players in the communes and the inhabitants are involved in the process. Inter-disciplinary effects to protect the environment are the foundation for the success of the ecological urban approach.

Source: Ökologische Stadt der Zukunft (Ecological town of the future. Interim report 1994 on the model project of the Land government of North-Rhine Westphalia)

### **Inner-city development as a strategy for sustainable urban development**

A continuing growth in the settlement areas is to be expected in the coming years. The central task of the urban planning is to manage this settlement growth and the associated demand for settlement areas in an environmentally compatible manner. Before building land is made available in the still free landscape, the wishes for additional building land should be met in the existing towns wherever possible - specialists speak here of the strategy of inner-city urban planning development.

In the densely populated Germany there are two good reasons for a settlement strategy of inner-city development, despite the growing significance of free areas in the inner cities (green areas, parks, unbuilt areas) for the quality of life in the cities and for the natural balance: On the one hand, sparing use of land and soil offers advantages. Areas with ecological compensation functions are protected. If existing settlements are "re-densified" - this includes the expansion of existing housing in the existing settlements - and at the same time building gaps are closed, less land is necessary than for the development of comparable new areas in the urban surrounding area. On the other hand, the existing technical and social facilities of the infrastructure can be used better.

A strategy of inner-city development involves

- **Urban renewal and urban conversion**
- Development of **derelict commercial/industrial** and, more recently, also **military sites** (conversion areas)
- **Closing of building gaps** and the **extension of attics**, and
- **Re-densification and utilisation of developed building areas, particularly on the urban fringe.**

**Urban renewal and urban conversion** are steps in the inner-city planning development. This aspect has been under urban planning discussion since the beginning of the '80s. Inner-city development plays an important role in a sustainable urban development. It involves a status quo-oriented, resource conserving and sparing strategy of urban development.

The aims of urban renewal are the conservation and modernisation of the existing building stock. This can help to keep the people in the district in which they live. The ecological and careful renewal of existing (dense, mixed and poly-central) urban structures is thus the contribution which urban renewal can make to environmentally compatible urban planning. Urban conversion, on the other

hand, aims to allow structural changes in the existing building stock without a major spatial expansion. In contrast to urban renewal, urban conversion involves changes in land use. Urban conversion can contribute to preserving free land in the urban surrounding areas by reactivating unused or under-used areas within the town for new uses. In practice, urban renewal and urban conversion are closely linked.

The **large residential areas** represent a special and important type of urban renewal area. They are indispensable for the housing availability and as homes for millions of people. More than 2.3 million apartments and thus some 6.9 percent of all apartments are to be found in these areas. The large new residential areas in the new Laender have some 1.5 million apartments and make up around 22 percent of the total housing in East Germany. West German large residential areas contain more than 0.8 million apartments, corresponding to around three percent of the total housing stock. In view of their significance for the housing market and urban development, it is important to ensure the long-term preservation of the large residential areas. The aim must be to develop these residential areas further into independent, multi-functional districts.

The **conservation of historic old town centres** and the related improvement in appearance of the town creates **architectural and urban planning qualities** which make the towns more attractive. There are nearly 900,000 building monuments, including a large number of ecclesiastical buildings which characterise the appearance of the town. The aim is to preserve the historic old towns and districts with their monumental building substance as valuable centres of cultural heritage. The necessary measures of urban monument conservation have also been integrated, for example, into urban renewal concepts. This has, in the meantime, resulted in attractive historic old towns in many areas of the old Laender. The task of integrating monument conservation into urban planning and urban renewal is particularly important in the new Laender. 30 towns here alone have complete mediaeval town centres of international renown. A further 200 towns have urban districts of national monumental value.

The major focal points of **village renewal** in the urban planning are the conservation and maintenance of traditional building substance - in particular buildings and collections of buildings characteristic of the village - and the comprehensive structural improvement. The aim is to maintain the attractiveness of districts and villages as residential locations, but also as lower-order centres in order to counter the migration tendencies of the local population and to stabilise the finely structured settlement system with respect to service and workplace structures. The conservation of typical local and climatically important free areas, the improvement in the supply and disposal systems under the aspect of environmental compatibility, a land-saving and environmentally compatible development and building and the incorporation of the outskirts of the localities into characteristic landscape elements all contribute to a sustainable development of villages and districts.

**Derelict commercial and industrial sites** are mostly to be found in the inner cities. Their reactivation offers considerable potentials for an urban planning strategy of internal development. In practice, however, these possibilities are frequently not exploited due to fears that the soil could be polluted. If this soil pollution is confirmed, it is generally expensive, technically complicated and also time-consuming to rehabilitate the soil. In only a few agglomeration areas in Germany where land is scarce and the demand particularly high are the investors themselves willing to bear the costs for the rehabilitation or safeguarding of the polluted land. The rehabilitation of the polluted ground is generally so expensive, however, that it is not economical for the investors to bear these costs. Some Laender have contracted special development companies with the rehabilitation of the polluted areas using State funds.

The urban planning reutilisation of **conversion areas** is dependent on the previous use of the land and on their location in the urban area. From the point of view of urban planning, barracks and residential areas are the most interesting previous uses of military sites. They generally offer building land potentials near the town centre and the possibility of converting existing accommodation or administrative buildings and incorporating these into the urban environment. The land is normally well developed. According to a survey by the Federal Research Institute for Regional Geography and Regional Planning (BfLR), barracks and residential areas currently account for some 8,000 hectares in the old Laender and roughly 23,000 hectares in the new Laender, whereby not all of these belong to the Federation.

As a result of the increased demand for building land, numerous **building gaps** have already been closed in the inner cities in recent years. Individual towns and communes list the building gaps in order to give transparency to the existing building gaps. The owners of the undeveloped plots can be addressed directly to discuss a possible development with them or to urge them to sell an undeveloped plot. Building directives are issued only in exceptional cases, although they are legally permissible under certain circumstances. The strategy of internal development also includes the **extension of attics** and the vertical development of the existing buildings. The building of loggias or winter gardens can serve as a re-densification measure to increase the individual living quality and at the same time make more intensive use of the land in the inner cities.

In the agglomeration areas with a high demand for additional land for housing and workplaces, the areas in the inner cities are becoming scarcer. Conflicts are arising to an increasing extent between the demand for new building areas on the one hand, and the meeting of neighbours' demands and the demands of the nature and soil protection on the other. The urban fringes, however, often offer unexhausted utilisation potentials. The development of the urban fringes thus forms part of the internal development.

The **development of the urban fringes** must not necessarily result in particularly dense or particularly high

forms of building. The belief that high and dense building alone is ecological because land is saved as a result is just as widespread as it is wrong. This is not the case. It can be proved both theoretically and empirically that the relationship between density and land demand is not linear. Above a floor area ratio of 0.8 (ratio of the total area of all the floors of a building to the total size of the land plot), the saving in land gradually becomes marginal. If we add the "external land wastage" due to the traffic routes, distance areas and compensation areas, then the saving in land due to the increase in the number of floors is more than taken up again.

It is a question of finding the optimum urban development density also for the urban fringes and of consequently exploiting the land savings with all land uses, particularly with the building of traffic routes and the commercially used sites. Residential areas are least suited to being crowded for ecological reasons. Under ecological aspects, the type of land use is equally as important as the question of how much. Three criteria are derived from the standards: Preservation of the regenerability of the natural equilibrium, assurance of the serviceability of nature and the variety and characteristics of the landscape and minimisation of energy consumption.

#### **Exploitation of mixed use for a more sustainable urban development**

Mixed usage was brought into the discussions in the planning committees at the end of the '60s and beginning of the '70s. This subject then became less topical in the '80s. In the '90s, however, mixed usage is enjoying a new boom as an urban planning principle in Germany. The aim of functional mixing in urban developments is to be found as a key word in many new planning concepts of the towns and communes. Direct relationships are seen between the spatial segregation processes in the towns, in other words the increasing distinction between the individual functions of living, working and recreation, and the environmental pollution in the towns. Despite the declarations of goodwill, a "pragmatic functionalism" is still to be widely observed in practice in the urban development.

Experts still dispute whether the planning of functional mixing in urban areas can lead to a more sustainable urban development. There is as yet no empirical proof of environmental relief due to an urban planning strategy of mixed usage. Initial cautious estimates indicate, however, that the quantitative effect in the traffic and energy sectors must not be overrated. Social aspects give more justification to the mixed usage in urban planning. On the one hand, it is a question of the variety of experiences associated with the mixed use concepts, and on the other a question of service and integration advantages which can result from mixed usage structures for various social groups.

Mixed usage in urban planning spans various dimensions. In the spatial dimension it ranges from the large scale town/suburb level over the small scale district level down to the object-specific architectural design. In the temporal dimension it includes, for example, the different depreciation periods for various uses and thus their differing temporal

change. The functional dimension of mixed use relates to the relationship and interrelations between living and working, but also to living and service/recreational functions. Finally, mixed usage also has a social dimension in which the settlement of urban districts by the different social groups plays a role, whether these are social groups according to the class model, according to the household types or lifestyle groups.

Mixed usage in urban planning is not possible without mutual understanding and cooperation, as mixed urban structures with spatial, temporal, functional and social dimensions bring problems which have to be investigated in more detail and clarified. The following questions arise:

- What facilities can be mixed, and how? Do investors and users accept the mixes?
- Do existing planning instruments suffice to implement concepts of mixed usage?
- What possibilities does an open plan have with the creation of usage options?

Despite such unanswered questions, the planning of urban development functional mixtures is growing in importance, particularly as part of a strategy towards the implementation of the sustainability principle, by reducing land use, conserving natural resources, avoiding car traffic and saving energy. Important scope for manoeuvre for an increased planning of urban development functional mixing are:

- Stabilisation of urban development functional mixing where it has been implemented to date and is threatened by displacement processes,
- Subsequent additions of uses to monofunctional urban areas, particularly in the residential areas and trading estates established between the '50s and the '70s,
- Planning of new districts on the urban fringes and reutilisation/reactivation of large derelict areas in the inner cities.

#### **Steps on the road to sustainable urban expansion**

Even exploiting all the internal development potentials further settlement growth will continue to take place in the future. At the same time, however, the poor urban planning development of the past decades should be avoided wherever possible and a quality of settlement growth aimed for which minimises the impact on the natural living conditions. As a scarce resource in the town, the land and its use is the focal point of a sustainable, town expanding settlement strategy. Common steps in such a strategy are:

- Compact settlement structures offering short distances between home, work, shops and recreation with a concentration of the settlement development on town centres and stopping points of the local passenger transport system;
- Higher building densities and higher quality building adapted to the local conditions;

## Urban development function mixing at Munich-Riem

Central mixed construction blocks  
(use restriction zone)

Block border construction

F.A.R. 1.2 - 2.0

V - VI storeys

Net building land (control block) 8900 m<sup>2</sup>

Gross storey area/block

(mean values for control block)

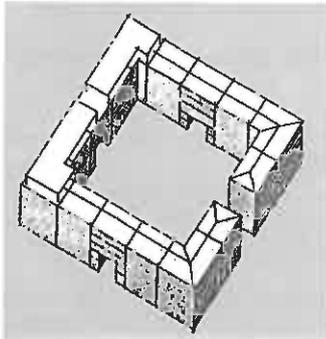
total 14,284 m<sup>2</sup>

of which for accommodation 3/5 = 8,550 m<sup>2</sup>

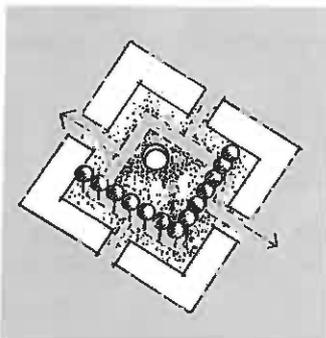
90 residential units = 240 residents

for trade 5,714 m<sup>2</sup>

183 jobs



Free area  
Public or semi-public  
squares and recreation areas  
Pedestrianised zones  
Play areas



Draft: Büro Frauenfeld, Frankfurt

Source: Federal Ministry for Regional Planning,  
Building and Urban Development (BMBau),  
Report of Gothe, Jesse 1993  
Regional Policy Report 1993

A new urban development concept is currently being drawn up in Munich. A primary aim is the simultaneous and spatially coordinated development of homes and jobs. Maintaining function mixing in the districts where it has already survived and proved effective, subsequently generating it where it has not existed to date and creating it from outset where new urban districts are planned. The future perspectives for such strategies are regarded positively insofar as the growth in jobs in Munich is essentially concentrated on the tertiary sector with its very high percentage of mixable sectors and companies.

The largest project in Munich at present whose conception is oriented to these guidelines is the planning of the Munich-Riem district on the Eastern periphery of the city. In preparation since the mid-80s Riem with its planned approx. 16,000 residents and 13,000 jobs is one of the largest urban expansion projects in the Federal Republic of Germany.

The closure of the old Munich airport in Riem offered a great opportunity of handling the complex tasks of developing an urban, varied new district on land predominantly owned by the town. An attractive offer of homes (with a high percentage of social apartments) and commercial areas is to be linked to the trade fair use of the land, a use which is difficult to integrate into the urban planning. The district is to be provided with an adequate public and private infrastructure from the outset.

Urban development function mixing is not regarded as a continuous principle but as an important, previously neglected opportunity of offering a varied and flexible choice of land in order to meet a certain spectrum of housing wishes of private households and location requirements of companies. Function mixing in small areas, for example is planned only in a "use linking zone" in which one in every five homes and one in every four jobs is to be found.

Service companies, offices, gastronomy hotels and sales outlets, mixed in floors and blocks with partly public sector-financed and partly privately financed homes. This zone forms the "backbone" of the district with a high density in some parts. The North, with its good links to the motorway, adjoins trade fair grounds and further commercial areas. The South adjoins the residential areas with their orientation to the greenery of the hinterland.

The central urban module of the new urban district is the square block, defined by the road grid. The main benefit of the strict - at first sight monotonous - block concept is regarded as the openness and sturdiness of the grid towards changing land and use demands.

At present the concept for the new district is receiving its concrete definition and the organisational framework for the further planning and implementation is being created. A Riem advisory board is to advise the town council. The actual plots are to be awarded by the city of Munich in order to be in a position to also exert influence on the quality of the urban planning via purchase contracts.

A critical factor in the success of the project will be the question of whether the desired job-intensive, future-oriented companies can be attracted to this location and be obliged to comply with the urban planning quality specifications. The willingness of residents and companies to put up with mutual restrictions/disturbances is certainly lower at the fringes of the city than in the city centre. The trade fair ground represents a great challenge. Will it prove to be a key to success or a burden for the district? Finally it will be of great significance whether the development of the district which will extend over several years can be planned in such a way that the day-to-day lives of the local residents and companies will not be disturbed for too long.

- Promotion of functional and utilisation variety in urban districts.
- Assurance of flexibility of land use by ensuring that the planning takes into consideration the long-term economic and living needs.
- Consequent assurance of free areas with high multi-functional significance for ecological compensation and recreational functions.

Some towns are already taking these steps towards a sustainable settlement development. A recent example of

this is the concept currently being developed in Munich of an ecologically qualified densification at suitable locations.

### Munich: Example of land-saving and location-adapted planning and building

Since considerable growth is forecast for Munich, a considerable demand for land will have to be satisfied in the future. Environmentally compatible settlement forms must therefore be developed for the future settlement activity. The "land-consuming" settlement development of the past years is to be avoided in the future by a land-saving and compact settlement form.

A **concept of ecologically qualified densification** at **suitable** locations could make a significant contribution to a land-saving settlement form and so ensure the protection of free areas. This new settlement strategy is currently being discussed as part of a new urban development plan, "Perspective Munich". The **fundamental investigation for a density model** for Munich shows the criteria under which a compatible densification at suitable locations is possible. At the same time, **protection zones** are established for the areas which are not suitable for densification.

The **urban compatibility of the traffic handling** is a basic precondition for a densification of the settlement activity. Densification must therefore be concentrated on **sites close to the local passenger transport system** even in the town.

A **distinction between levels of densification** must be drawn up, depending on the development qualities. Depending on the development quality and proximity to services as well as the location within the town, it will be possible to aim for medium to high, and in the central areas high to very high densities. This differentiated handling of the density is a basic precondition for a compatible development.

The aim of this **new mixing** is not only new urban qualities; the home/workplace development is also to be brought into a balanced relationship. New homes should be created at the same rate as new companies settle in order to counter a permanent shortage of available housing.

Similar conceptual approaches are also being investigated for the Munich surrounding area as part of the review of the regional plan.

Source: Landeshauptstadt München, Planungsreferat  
- Stadtentwicklungsplan, February 1995

Important for the implementation of land-saving and landscape-conserving settlement forms is their acceptance. Careful detailed planning and new planning methods are necessary here. The necessity for land-saving building may be obvious for the majority of the potential builders - particularly in the agglomeration areas - in view of the high land prices and the scarcity of building land, but it should also become the rule on the urban fringes of the town and in the suburban areas in the future.

Model projects in this direction as part of experimental housing and urban construction have shown that land (and costs) can be saved without any loss of quality. It is possible, through innovative solutions, to achieve exemplary urban development housing qualities on smaller plots than usual. On the whole, however, it is to be observed that land and cost-saving building - see the following example - is still not very widespread and is still far from being the rule.

#### **Herzogenrath: Example of cost and land-saving building of resident-owned homes**

"Eurode Holland houses" are currently being built in Herzogenrath on the basis of Dutch building and living standards. The settlement, predominantly consisting of semi-detached and terraced houses (36 resident-owned

homes), including the inner development area covers a total building area of only 23 hectares. The individual resident-owned homes have between 112 and 441, on average 222 square metres of land by comparison with an average of 810 square metres in the general individual house construction of the town in 1994. The houses have between 97 and 112 square metres of living area as well as developable attic areas of between 19 and 24 square metres and garage areas each of 18 square metres.

The total cost of the houses ready for occupation, including plot and garage, lies between DM 190,000 and DM 250,000, depending on the size of the individual plot and living area. The major factors for the low cost of the Eurode Holland houses (comparable resident-owned houses in Herzogenrath in 1994 cost around DM 400,000) were the following components:

- Low land costs
- Lower quality of the furnishings and building work, as well as
- Optimum management of the whole building project

The preferential price of DM 65 per square metre (as compared with the normal market price of DM 220 per square metre in 1994) paid by the builder, a Dutch company, for the building area was passed on to the individual house buyers. None of the houses have a cellar. The stairs are steeper, plumbing pipework is laid on the surface. The whole project was geared to the Dutch building cycles in which for the most part industrially prefabricated and standardised elements are delivered directly to and assembled on the site. Further cost reductions were made possible by the use of simpler materials for the furnishings and the use of price advantages offered by the purchase of individual materials and elements as series-production parts in the Netherlands.

Despite the quantitative and qualitative limitations in the building of the resident-owned homes such as in the plumbing systems, the concept of these houses obviously met the widespread wishes of very many potential house buyers. More than 500 families applied - attracted particularly by the low price - to buy the available houses.

Source: Survey by the BfLR

#### **4.1.4 Ecological Building: Building-Specific Settlement Policy**

Ecological building involves both the rehabilitation of existing old buildings and the planning and building of new houses. The rehabilitation of existing buildings can contribute significantly to improving the environment in Germany, as 80 to 90 percent of the buildings of the year 2010 are already standing.

Ecological development of the existing building stock is particularly important as the environment there is very heavily polluted. Before German unification, very little attention was given to the environmentally safe modernisation of apartments and infrastructure facilities.

Single oven heating systems in the old buildings consume a great deal of energy and cause high local emissions. Even the large residential settlements built during the period of the GDR have poor thermal insulation and the heating systems in the individual apartments cannot be individually controlled: If the centrally controlled heating system of a residential block is set too high and the apartment becomes too warm, the resident simply opens the windows to lower the room temperature. The lack of modern heating systems and lack of individual heater controls both mean that the energy consumption in the new Laender is significantly higher than in the old Laender.

The first steps towards ecological building in the old Laender were taken at the end of the '70s and the beginning of the '80s. The aims were to conserve resources and protect the environment. Initially only a few idealists built ecologically. New exemplary techniques were developed and tested experimentally. These techniques were increasingly further developed and employed during the '80s. Today, in the mid-'90s, it is now a question of utilising and applying this experience on a nationwide scale.

The first aspect of ecologically oriented building is the choice of a suitable location for the building project, whereby the possible conflict between the creation of additional living space and the protection of natural habitats has to be overcome. The avoidance of noise and air pollution, the condition of the ground, the incorporation into existing green areas and fresh air passages are factors which have to be taken into consideration. The positioning of the building to make optimum use of the irradiating solar energy is a further important factor.

A second aspect relates to the surface of the ground. Parking areas, yards, private and public areas can be built with partially permeable surfaces to allow rain to permeate through and thus improve the groundwater balance. Measures must also be taken, however, to ensure that rubber from tyre wear and oils or fuels from vehicles are not allowed to get into the groundwater.

Finally lawns, flowers, bushes and trees have not only a decorative quality in ecological building. They make a not inconsiderable contribution to energy saving in the individual buildings and to improving the urban climate. "Green" road areas can be complemented by climbing plants on the façades of the buildings and by lawns on the roof. Planted roofs have the positive effect of being able to store rainwater.

A third aspect of ecologically oriented building is the use of domestic engineering to protect environmental resources. This applies in particular to the fields of **energy, water and refuse**.

**Energy** offers the greatest scope for manoeuvre for ecological building. Private households consume more than one-third of the generated energy in Germany. Only 20 percent of this energy is used for light, power, cooking and water heating; 80 percent of the energy is used for room heating. Improved thermal insulation and an optimised heating technology can considerably reduce the energy

consumption. This then contributes directly to a reduction in emissions and thus to better protection of the atmosphere.

Important contributions to improved thermal insulation in buildings had already been made in the old Laender in the '70s and '80s. Double glazing was used, joints were sealed and roof, ceilings and outside walls were insulated. Whilst the annual heating power demand for the existing detached and semi-detached houses at the beginning of the '90s still lay between 220 and 270 kilowatt-hours per square metre and year, this value must be reduced to between 54 and 100 kilowatt-hours per square metre and year for new buildings under the new Heat Protection Ordinance (Wärmeschutzverordnung) from the beginning of 1995. In individual cases, even lower values are possible with low-energy houses. The new Heat Protection Ordinance thus significantly increases the demands to be made on the thermal insulation of new houses. For new buildings it is expected that the heating energy consumption is 30 to 50 percent lower than for older existing houses.

A good and efficient heating technology can also help to reduce the energy consumption. The combined generation of electricity and heat also helps to save energy. Block-type thermal power stations, for example, utilise the waste heat produced during the generation of electricity for heating rooms and water. The losses during the conversion of the primary energy are only 15 to 30 percent. Heat pumps, heat recovery systems and solar collectors are further techniques for reducing energy consumption. However, they have not yet become widely accepted in Germany. Photovoltaic systems (systems for converting solar energy into electricity) are also still at the development stage.

**Water saving and expedient use of drinking water** are the second starting points for ecological building. An average of 145 litres of drinking water per person per day are consumed in Germany. 30 to 50 litres of this are used daily just for flushing the toilet. Precious drinking water is also used for washing clothes, for washing the car and for watering the garden. Sparing use of drinking water is, however, an important aspect for both economic and ecological reasons. In some households and public buildings, rainwater is therefore already being collected for use in flushing the toilet, washing clothes or watering the garden. A consistent use of rainwater for such purposes and the installation of water-saving plumbing engineering could reduce the drinking water consumption by around 30 percent.

A third area of ecological building is the treatment of **refuse**. Separate collection of refuse and composting of garden and kitchen waste can reduce the weight of the domestic refuse by half.

Apart from the plumbing engineering, the **choice of building materials** plays a significant role in ecologically oriented building. Environmentally safe products should be used and not environmentally harmful products. Near-natural building materials allow the pollution of the air inside the building to be reduced. When selecting the paints and wood preservatives to be used, attention should be paid to the lowest possible pollutant content. The population

has become particularly sensitive in this respect after several public buildings had to be rehabilitated due to the hazardous asbestos concentrations in the air and private houses had to be torn down due to the use of wood preservatives containing PCP.

Technically oriented contents of ecological building in the fields of energy, water, refuse, building materials and greenery alone are not sufficient for a sustainable settlements and urban policy. A very important factor are the **behavioural patterns of man** which are incorporated into the process of ecological building and in particular the use of these buildings.

Architects, for example, bear a great responsibility for high quality ecological building, for generally ensuring environment-protecting demands in settlements and housing construction. The German Federal Chamber of Architects with the support of the Federal Ministry for the Environment, Nature Conservation and Reactor Safety has, for example, drawn up guidelines for the further training of architects. These guidelines serve in particular to pass on knowledge of the possibilities of avoiding or reducing the CO<sub>2</sub> emissions in buildings. Main focal points are thermal insulation and other energy saving measures. The fundamental responsibility of architects for the environment is very clearly expressed in a keynote declaration from the Board of the Association of German Architects (BDA) from 1991 which, on the subject of the environment, states:

"Each building occupies a piece of land, generally for a long time. The land cannot be multiplied, at many points the demands made on it are excessive and it is worn out.

Moderation in consumption is without doubt the most important demand to make on the people of our time. Many problems arise as a result of excess: Excessive quantities, excessive numbers, excessive sizes.

A single house with a smoking chimney can increase the beauty of a landscape. An excessively extended and overbuilt city overhung by a toxic haze darkens the heavens.

Excessive building damages the world through the immoderate use of land and materials. Its image is harmed by the excess of ideas for building forms. The excessive artificial conversion of materials which will not, in the foreseeable future or possibly ever, be able to be returned to the cycles of nature is also immoderate. The standard for high quality building is the sparing use of the world and its resources."

Ecological building projects are generally initiated by architects and investors. Individual projects can also be sponsored by public funds. When the building project is completed, the intended ecological effects of the ecological building are essentially dependent on the users of the building, irrespective of whether they are owners or tenants. Conflicts between a modern urban way of life and environmentally compatible living cannot be ruled out, as the modern urban ways of life promise autonomy for the individual. A great deal of housework, binding actions and forced adaptation do not suit this way of life.

Environmentally compatible living utilising the environmentally compatible house engineering, however, demands more housework and more responsibility and knowledge. These two do not automatically fit together.

Purely technical solutions for ecological building are thus not sufficient for a sustainable settlement and urban development. As important as the purely technical considerations are also the attempts to change the behavioural patterns of the people. This is most likely to succeed with an ecologically oriented taxation and rates policy. Behaviour in line with the aims of a sustainable development and sparing use of scarce natural resources should be rewarded by lower costs and prices.

## 4.2 Guaranteeing a Socially Compatible Settlement and Urban Development

The improvement in the living conditions of economically and socially disadvantaged groups starts, on the one hand, directly with the persons concerned. On the other hand, they concentrate on the housing and the urban district as a major basis for the life patterns. In the one case we speak of person-specific measures, in the other of space-specific measures. A socially compatible settlement policy has the following primary scopes for manoeuvre:

- It creates information bases for the recognition of "key social problem areas".
- It coordinates and concentrates spatial compensatory measures.
- It defines social objectives, strategies and measures at the overall town level.
- It uses the instruments of the building and planning acts
- It gives particular consideration to the economically and socially disadvantaged groups.

Ahead of the socially compatible settlement policy is the social state with its system of person-specific social assurance. In order to ensure that social and economic isolation is avoided in later years, in the event of illness, unemployment and need for nursing care, there are several principal person-specific assurance systems at the Federal level in Germany:

Pension, health, disability, unemployment and nursing care insurances as assurance systems have made a considerable contribution to reducing the impact of traditional risks. However since the entitlement to payments and the level of the payments depend in some cases on the previous employment and previous level of income, some groups of the population may not be sufficiently supported by these payments.

In addition to the social assurance systems, there are tax-financed transfer payments whose purpose is to provide social compensation and which are not dependent on employment. Major transfer payments are rent assistance, maternity allowance, children's allowance and the Federal

education promotion allowance. In addition, the State finances other measures to prevent social and economic disadvantage including measures for vocational further training and requalification on the basis of the Law to Promote Employment, job creation measures and measures for evacuees returning to Germany (resettlement allowance, language course).

Finally there are the social laws which, in individual states of need, ensure that the minimum subsistence level is guaranteed through social welfare benefits (assistance for maintaining the minimum subsistence level and assistance in exceptional situations). The social laws are Federal laws which are financed, however, predominantly by the communes. Social welfare benefits are the lowest level of the social welfare network. People in need have a legal right to social welfare benefits. Payments of social welfare benefits are, however, always of lower priority, this means that the benefits can only be claimed by those who cannot help themselves and who cannot receive assistance from others. Parents and children can be called upon to make supporting payments.

#### **4.2.1 Urban Development Policy and Urban Renewal Policy of Social Assimilation**

An urban development policy and an urban renewal policy of social assimilation is made up of a number of individual measures.

##### **Improvement in the information bases for recognition of "key social problem areas" (social reporting)**

A precondition for the improvement in the living conditions of disadvantaged groups of the population are better information bases in which the social and economic disadvantage in the urban area and its causes are clearly illustrated: Who is disadvantaged, how, why and where? How do social or economic disadvantages come about, and what form do they take? A thorough communal social reporting can provide the answers. In many communes, senior citizens plans are already being drawn up which contain i.a. detailed information on the living situation of elderly people in towns. Poverty reports exist for some large towns such as Essen, Cologne, Munich, Bremen and Hamburg. Women's reports look into the living situation of women. Aliens reports such as those in Cologne and Frankfurt am Main illustrate the living situation of these groups of the population.

The first attempts at social reporting, however, still do not go far enough. Acquisition of information going beyond this communal practice is necessary to permit (early) recognition of "key social problem areas". The data available in the various offices must be expediently used and linked; the need for information of the offices must be coordinated. Suitable instruments in this respect are, for example, communal surveys, the contents of which are agreed upon with the various offices, or the constant observation by a panel, a representative group of persons for opinion polls. This "early warning system" can be based, for example, in the town development authority. However, part of an integrated social reporting system must also be

the evaluation of communal political projects, whereby both measures to overcome unemployment and housing shortage as well as offers of advice and assistance at district level should be taken into consideration.

##### **District-specific social work**

The process of district-specific social work is based on the thesis that urban districts offer the basis for the organisation and development of life, whereby the district is seen as a chance to assure one's existence, as a place to live, a place for social exchange and a place to make use of social facilities.

In the district-specific social work, social workers try to animate the residents to stand up for their own interests. The social workers set up discussion groups and coordinate the interests of the various sponsors of the social infrastructure and of the authorities. The main aim is to help those concerned to help themselves. A distinction is made among the sponsors of the social infrastructure between public (commune), church and voluntary (private welfare groups) and free (citizens' action groups, clubs) sponsors as non-profitmaking organisations and private providers as profitmaking providers.

The animation of social work beings about initiatives for traffic abatement, for the establishment of a social infrastructure, for the conservation of old, cheap housing, for the setting up of citizens' shops, the creation of meeting points for women's groups, the redesign of distance greenery in play areas or in the gardens of rented accommodation, the setting up of a lunchtime group or homework meeting point, to name but a few examples.

Further approaches also include the active promotion of employment and qualification: The groups of people particularly disadvantaged on the job market improve the living and housing conditions in their own district in special work projects. These projects can be financed i.a. with funds from the unemployment office - in the hope that the persons so employed will one day be able to find employment in the real job market.

The initiatives trigger off material and communicative effects. The material living structures change parallel to the development of communicative structures within the particular group, between the groups and the social workers accompanying and supporting them, and between the groups and the institutions politically, administratively and financially behind these material improvements.

This approach to the solution of social problems is still an exception in Germany even in the mid-'90s in the field of traditional social work. The main problem for the implementation of district-specific social work are competition between offices, sector thinking and the egoism of the sponsors, as district-specific social work presupposes a linking of the internal administrative structures, a link between the sponsors and a link between administrative structure, sponsors and the people concerned. Administration, church parishes, private initiatives, schools and politics must all work together and must not block one another.

### **Dortmund: An example of district-specific social work**

A good example of district-specific social work is the "Projektverbund Nordstadt" in Dortmund. It consists of an association to promote democratic district planning and district-specific community work, an office for architecture and urban development and a non-profit organisation for social employment and qualification in urban renewal. The aim of the joint project was and still is to improve the housing and living conditions in the Dortmund Nordstadt and to involve the men and women more directly in the structuring of their district.

### **Planning definition of strategies and measures in urban development concepts**

In the Federal Republic of Germany, urban development planning has no legally binding basis. It serves generally the communal self-control. Its advantage is that at the start of the preparatory communal master planning (land use plan) and the binding communal master planning (local building construction plan), urban development policy objectives and strategies can be developed and the individual specialist policies can be informally coordinated.

The urban development plans drawn up in numerous towns and communes in recent years are generally focused predominantly on economic growth. The social interests of economically disadvantaged groups of the population are often given insufficient attention. Furthermore, the urban development plans are often merely a superposition of corresponding technical plans. An integrative approach is rare.

First attempts at socially compatible urban development planning covering the town as a whole have been made in a few large towns. In Hamburg, for example, an urban development concept is now being drawn up which is to show new ways into the year 2010. In Munich, too, social interests are to be given more attention in the new urban development plan.

### **Hamburg: Example of socially compatible urban development**

At the beginning of the '90s, Hamburg formulated "social assimilation" as one of the major long-term development objectives. In addition to a four-year programme for combating poverty at district level, a long-term plan was developed for the town as a whole according to which urban development and the corresponding planning should be made socially compatible. Observance of this principle was one of the main tasks in drawing up the integrated urban development concept for Hamburg.

Urban development planning is seen here not only as the pure land planning or the distribution of uses and functions. It is far more a question of making urban and social development aspects part of the regional planning. A precondition for this is that the characteristics of the urban districts and district qualities are taken into consideration in the planning.

As part of this integrated urban development concept not only the "classic" subjects of housing construction,

workplace, landscape and greenery planning were considered but also a social spatial concept was drawn up. This concept forms the basis for the systematic development of categories and standards of social compatibility with the involvement of the widest possible range of players. The aim of the concept is not only a description of the urban social status quo (polarisation, poverty in prosperity, gentrification [upgrading of inner city residential areas by the migration of high-income medium class groups], multiculturalism and variety of the styles of life) but also the formulation of the primary objective of social spatial planning and the resulting future main focal points of the urban development plan from a social and spatial viewpoint. The aim is to optimise the plans so that the social consequences of the planning can be recognised at an early stage and the negative social developments can be countered so that they are not aggravated by independent actions.

The attention to social compatibility in the planning was formulated not only as a demand for the future. The drawing up of the urban development concept alone was designed to be an open process with the involvement of specialists and the lay public. For this, a process-flanking participation concept was drawn up which also serves the discussion on the further development of existing forms of participation.

*Monika Alisch, Urban Development Office Hamburg*

### **Munich: Example of socially compatible urban development**

The desire for socially compatible urban development is, alongside aims to maintain the economic prosperity and ecological compatibility, one of the main objectives in the drawing up of the new Munich urban development plan, "Perspektive München". A socially compatible development is to be made an integral part also of the spatial, economic structural and ecological strategies. The strategic aim is a social communal policy of permanent compensation in all major political areas.

The considerations of the new urban development plan assume that the planning processes to date do not always ensure that negative social consequences of plans are ruled out or minimised from the outset in their implementation. In this context it is to be considered whether certain measures can be taken to avoid negative social effects of projects even at the planning phase.

Points being discussed include

- The development of criteria for urban construction plans for investigating and evaluating the social and child-compatibility involving the persons concerned and the public with which the social benefits and social costs of an urban development plan are weighed up against one another, this applies in particular to plans for large settlement projects and restructuring measures which show up the considerable effects on the structure and living situation of the residents.
- The improvement and differentiation of the involvement of the public, depending on planning stage, target groups

and planning projects in order to be able to take counter-arguments and alternatives into consideration at an early stage.

- Greater attention to important social planning and socio-regional aspects when holding competitions and review procedures with greater involvement of the people affected (interested parties, neighbours, residents of the district, certain groups of persons such as women and children) and a corresponding qualification of the judges.

An attempt to develop and apply criteria for investigating the social compatibility of a settlement project was made for the redevelopment of the former Munich airport Riem as part of the social service and utilisation concept München—Neu-Riem. The demands and criteria for the further planning contained in the concept relate, for example, to the building of inexpensive housing and of differentiated housing structures and types, the integration of different social structures and groups, the meeting of social demands on the type of building and living environment-related use, the integration of the social infrastructure and service facilities and the assurance of attractive living for the aged, for women and children.

*Department of Urban Planning and Building, Munich*

#### **Consideration of social interests in the communal master planning**

A major element of an urban development policy of social assimilation is the consistent application of the existing legislation, for example within the scope of the communal master planning in accordance with the Building Code. According to the Code, the communal master planning should assure an ordered urban development and a socially compatible land use to the benefit of all and contribute to ensuring a humane world.

In a local development plan, individual areas can be set aside for groups of people with special housing needs (for example, elderly people, aliens, students, handicapped). In this respect it is possible to specify not only the architectural design of the building for the particular living requirements (e.g. number of rooms, furnishings and special interior design) but also the legal form which appears necessary to cover this housing need. However, the earmarking of corresponding land areas in the local building construction plan presents the commune with special implementation problems. For example, when implementing such an earmarking it also has an obligation to provide special support and advice to the property owners concerned. This is certainly one reason for the hesitancy in using this definition measure in practice.

A further possible legislative measure in the earmarking of land on which - in whole or in part - only houses financed with funds from the social housing construction may be built. This means that the houses to be built or converted in this areas may not exceed a given size defined by law, irrespective of whether they are actually funded or not.

Apart from these special earmarking possibilities, the communal master plan must also weigh up social interests,

including the interests of socially and economically disadvantaged groups, fairly against other interests. Failure to observe this requirement may render the corresponding communal master plan invalid.

Within the communal master plan, the legislator has also provided for the earliest possible participation of the people. Their ideas and objections should be heard and taken into consideration in the subsequent weighing-up process. In practice, however, the participation processes in the communes are frequently limited only to a formal participation. Socially and economically disadvantaged groups are generally barely able to bring in their arguments, or at best only via representatives.

#### **Consideration of social interests in urban renewal**

The course of social isolation leads to regional concentrations of economically and socially disadvantaged groups, particularly in urban districts with older housing and large residential settlements or in parts of these residential areas. However, these area types do not all exhibit unbalanced social structures and not to the same extent. The localised concentrations of disadvantaged groups are in fact to be found in unmodernised and relatively cheap rented old houses and in the large residential settlements or settlement areas subject to communal occupancy control such as, for example, many West German residential settlements from the '60s and '70s.

Economically and socially disadvantaged persons are particularly reliant on the infrastructure services and social relations in the immediate vicinity of their home. The interests of the disadvantaged groups are now taken into consideration in the urban renewal process: Following the widespread rehabilitation in the '60s and early '70s and the upgrading urban renewal which in some cases resulted in considerable rental increases which could barely at all be paid by the residents, a careful and preserving urban renewal has now been possible since the beginning of the '80s. The people can remain in their traditional areas; even after the renewal of their district, they still have affordable housing and the necessary infrastructure in the immediate vicinity, but at the same time also receive better social conditions.

Urban renewal is promoted jointly by the Federation, the Laender and the communes. The Federation and the Laender generally bear the greater proportion of the promotion costs. In recent years, however, the Federation has concentrated its support for urban renewal on the new Laender. The Federation is responsible for the legal framework, the special urban development rights in the Building Code. It provides the communes with planning instruments to create the preconditions for a renewal of the residential districts also in the interests of the economically and socially disadvantaged residents. The Laender with their funding guidelines define the main focal points for the funding and the selection criteria. The communes make the concrete preparations for the urban renewal within the scope of their planning authority and act as coordinators.

### • Renewal of districts with old housing

Due to their central location, the good incorporation into the local passenger transport network and their generally close and varied availability of commercial and public facilities, inner city districts with old housing provide good preconditions for satisfying the needs of their residents for mobility, services and communication. The preservation of these districts as residential sites also for economically and socially disadvantaged groups is therefore an important task in the urban renewal process. For this purpose, the communes have two main possibilities: Urban rehabilitation and the passing of conservation directives.

Within the field of urban rehabilitation, the communes can declare the conservation of the residential area for the present tenants as the objective of the rehabilitation and thus protect the interests of disadvantaged residents in these districts. During the rehabilitation, the communes can then not approve measures which contradict the objective of the rehabilitation, such as the changing of the function of residential areas or modernisation measures which would result in such rent increases that there is a danger of displacement of the current residents of the district.

Outside rehabilitation areas or after completion of an urban rehabilitation, the instrument of conservation directives can be employed, a form of environmental protection directive. Large towns such as Hanover, Munich, Nuremberg and Wiesbaden have already employed this instrument several times. For urban planning reasons, changes to the building or in its use can be forbidden if they threaten the existing structure of the residents in the conservation area. Although the socially oriented conservation directive relates to the whole population of an area and its particular structure, its protective function specially benefits those groups of the population who are particularly dependent on the availability of the housing and services in the conservation area.

In order to allow the living conditions of the economically and socially disadvantaged groups of the population to be sustainably improved by the urban renewal, it is important to link the creation of affordable housing with district-specific employment opportunities, and also to ensure the affordable and demand-oriented service facilities and at the same time to think about advisory and support services, meeting places and communication facilities near the residential area. General and target group-oriented renewal projects of this kind are still the exceptions to date, but in various towns, attempts have been developed in individual areas and in some cases successfully implemented.

#### **Hamburg and Berlin: Examples of overall and target group-oriented urban renewal projects**

As part of the Hamburg programme, "Alternative building support", smaller projects have been started in which formerly empty houses have been repaired with the assistance and labour of the future residents. Although this programme is related to "alternative housing projects", in some cases in formerly occupied buildings, the elements of repair and assurance of affordable housing, the immediate resident-orientation and the activation of self-help and employment potentials can be transferred to other target

groups with special housing needs. District-specific renewal concepts such as pursued for example by the Berlin urban renewal association S.T.E.R.N. and the Hamburg urban renewal and development company STEG as rehabilitation sponsors go beyond such individual projects. They develop house-specific concepts with the residents of the district which can range from repair of the apartment through partial modernisation right up to complete modernisation, depending on the individual rent payment ability or willingness and the household-specific needs. Important components of this approach are early information, preparatory and flanking advice and, where necessary, support for the tenant during the building measures or for moving. Such district-specific and resident-oriented renewal strategies also open up the possibility for even economically and socially disadvantaged residents to remain in their familiar spatial and social surroundings even after completion of the renewal measures.

During urban rehabilitation, the communes can define special measures to avoid or minimise the disadvantages for the persons concerned as with the local building construction plan process and the urban development as part of the social plan. The social plans often dictate that in the event of rehabilitation-related moves, alternative accommodation is to be provided in the same district. Advisory and supporting services can also be anchored in the social plan process which help the person affected by the rehabilitation to overcome the consequences of the rehabilitation. Furthermore, personal hardships can be alleviated as part of hardship compensation by monetary payments, for example by refunding removal costs.

### • Renewal of large residential settlements

In the mid-'80s, the renewal of large residential settlements was included as an additional task in the urban renewal process. A total of eleven settlements, primarily in Berlin, Bremen and Hamburg, were renewed as part of the Federal and Laender programme of urban development promotion. The main focal point of these renewal projects were the planning consultations with the participation of the residents, the improvement in the residential environment and the supplementing of social and community facilities. One major aim was to particularly involve disadvantaged residents of the settlements in the participation and through the linking with job creation measures to also provide qualification and employment possibilities for unemployed youths and adults.

Since 1993, the State and the new Laender have been promoting the urban development of large new residential areas in the new Laender and East Berlin with a special programme as part of the urban development promotion. These funds allow the East German towns and communes i.a. to improve the residential environment, to expand the social and cultural facilities and to prepare supplementary buildings for living, trade and services. Furthermore, services for preparatory investigations, planning and advice can also be sponsored. These are of significant importance for differentiated situation and demand analyses particularly in the interests of economically and socially disadvantaged

settlement residents and for their participation in the planning and implementation process.

Particularly in times of tight investment funds, the effective and active participation of the residents in the settlement-specific decision-making and planning processes is proving to be the key to gaining the faith of the residents in the complete settlement renewal process. In order to provoke the active participation of the economically and socially disadvantaged groups, approaches to resident participation have been developed in large East German residential settlements which integrate information, contact points, planning consultation, discussion and opinion-making. This participation process determines not only how something is to be planned and implemented but also what is to be done.

In Berlin-Marzahn, for example, the "Plattform Marzahn" has developed into a regularly held discussion and information forum of residents and specialists. This combination of specialist committee and instrument of resident participation has resulted in a mutual learning process on the sides of both the planners and the residents. The "Plattform-Telegramm" published monthly as a supplement in a district advertising and information newspaper and a local office support the work of the "Plattform". The extensive information work and the central location of the office have helped to create good contacts to associations, initiatives and facilities

**Conclusion:** The urban renewal process basically has the possibilities of improving the living conditions of economically and socially disadvantaged groups of the population in their residential environment. These groups of the population are not, however, expressly anchored in the special urban planning legislation as special addressees of the urban renewal. In practice there is frequently the added problem of a lack of money to enable the projects recognised as correct and important to be actually implemented.

#### 4.2.2 Improvement in the Living and Housing Conditions of Disadvantaged Groups

Economic and social disadvantage can be particularly related to the income or to which groups are specially reliant on assistance from the public sector, in particular on social welfare assistance. These groups include predominantly single-parent families, elderly people in need of care and assistance, aliens and refugees as well as the homeless. These groups are at the focal point of considerations here as to how their living and housing conditions can be improved.

#### Model projects (best practices) for a socially compatible urban development

The Experimental Research in Housing Construction and Urban Development, a project of the Federal Ministry for Regional Planning, Building and Urban Development (BMBau) promotes a number of model projects with the objective of improving the living and housing conditions of

disadvantaged groups. The individual research fields are as follows:

- **Housing situation of single-parent families and single pregnant women in need**  
Objectives: Improvement in the housing conditions of single-parent families and of single pregnant women in need by linking urban planning, housing construction and social measures
- **Elderly people and their housing and living conditions**  
Objectives: Improvement in the housing and living conditions of elderly people through district-specific concepts and by linking urban planning, housing construction and social measures
- **Permanent housing availability for homeless**  
Objectives: Overcoming housing problems and promotion of the social integration of the homeless



- ▲ Older people and their living quarters (21)
- Housing provision for the homeless (7)
- Housing situation for single-parent families (10)

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### **Single-parent families and their children**

In Germany there are 9.4 million families with children under 18 years of age. In 1993, some 1.6 million of these were single-parent families: One in every seven families no longer corresponded to the classic pattern of two parents and one or more children. 86 percent of the parents in these families are women. Their housing and living situations can differ widely - from critical, economically unsettled phases of life through to a settled, "quite normal" day-to-day life, economically sound and socially recognised.

There are, however, special burdens, risks and under-provisions in single-parent families: Their income and employment situation is more often extremely difficult, they are more likely to be rejected when looking for a house and in their day-to-day life they are subject to a multiple burden of job, household and bringing up the children.

Although housing and urban construction cannot solve these problems, the existing solutions can be supplemented and their interactions in the urban planning structure improved:

- Affordable housing is preserved and made available. In the housing availability, the Federation supports the Laender by establishing the legislative framework and providing financial aid for expanding housing construction. Single-parent families can also benefit from a wider offer of available accommodation.
- The Housing Occupancy Act allows the occupancy rights to favour single-parent families who are dependent on social housing for economic and social reasons.
- A differentiated spectrum of housing forms can help to relieve the multiple burden on the single-parent families through a different organisation of living, for example through the architecture and assignment of the housing and residential functions.
- Housing and family-complementing infrastructures such as child care, advice and social services are of particular benefit to single-parent families.
- Participation and cooperation models can contribute to a structuring of the home and home environment and to a more children and parent-friendly structuring of the living environment.

Model solutions which discover deficits in these areas and help to overcome these by linking urban planning, infrastructure and housing policy measures all have different focal points: Housing forms as transitional solutions in critical and non-consolidated phases of life, in particular, receive different forms of support or advice. The spectrum between very intensively supported to totally unsupported housing forms is fluid. Self-help projects are based on the competences and resources of the single parent. "Living in normality" is an attempt to create additional accommodation for single-parent families in the existing housing stock.

### **Wuppertal: Examples of innovative housing forms for women in single-parent families**

Three different housing forms have the aim of enabling the women to lead an independent life in a normal rented apartment by offering additional support and advice. Particularly the transition from one housing form to the next should therefore be made possible.

**Housing project I** (Hofaue) is a heavily structured form of housing with high support intensity and aims to help single-parent families and pregnant women who are threatened by homelessness. Eight furnished apartments with support and advice are provided for around 20 people in the centre of Wuppertal.

**Housing project II** (Nevandtstrasse) is a demand-oriented planned new housing project of the housing association GWG. It is particularly oriented to the housing needs and demands of single-parent families and was the subject of an architecture competition at the university. In this housing project, women in critical phases of life and their children are given chance to stabilise and consolidate their lives in attractive apartments with innovative styles or, for example, in shared houses with communal facilities for support and child care in guarded rooms.

**Housing project III** (Nevigeserstrasse) is a housing complex with 44 social apartments with the normal standard styles in which 15 units are provided for the single-parent families and are equipped with additional assistance facilities and communal rooms.

### **Hamburg-Altona: Examples of a self-aid project for single-parent families**

The planned housing construction project is located in the Altona district of Hamburg in the immediate vicinity of an urban sub-centre. The project covers two neighbouring new housing objects with a common inner courtyard. The smaller housing project (twelve residential units) is planned for a mixed occupancy of predominantly single-parent families (men and women). The apartments are being built as part of the social housing construction framework (direct, object-specific funding). Both housing projects were started on the initiative of the people looking for homes. The desire for self-determination and self-management is a major characteristic of the housing ideals of these groups and also led to the founding of the cooperatives. The builders are identical with the users.

### **Bremen: Examples of housing projects for single-parent families and single pregnant women**

The planning workshop Bremen is converting a former manor house. The town housing construction association GEWOBA is planning to build new apartments in an existing large settlement area. Both measures on the urban fringe are aimed at single-parent families.

The conversion of a former inn into six apartments is an exemplary answer to the problems of single-parent families in the Bremen housing market. In conjunction with two homes for battered wives, a multi-structured concept of demand-oriented occupancy and support was developed.

Parallel to this, additional integrative prevention, services, consultancy and occupational reintegration measures are planned. Involved in this integrative approach are the social services of the communes, housing construction companies, private welfare groups and other private sponsors as well as qualification and employment institutions.

The second project is aimed at the planned re-densification in the Kirchhuchting settlement built at the end of the '50s. By filling gaps in the settlement and adding a new wing to another housing block, a total of twelve additional apartments are being built for single-parent families with particular attention being paid to environment-improving and particularly child-oriented measures. In addition, a crèche for small children is being provided on the ground floor. The aim of the project is thus not only the creation of additional, demand-oriented living accommodation for single-parent families but also the provision of additional social qualities. The available support and services to be created are to be related flexibly to the needs of the women and their children in the different phases of their lives.

### Elderly people

Elderly people are a special target group for urban development and housing policy for two reasons: On the one hand, the housing policy has geared itself to the fact that the proportion of elderly people in the German population will rise significantly in the coming years and decades, and that the average age of our society will increase. On the other hand, the apartment and the immediate vicinity gains in significance as a centre of life with increasing age of the residents. Older people therefore make special demands on the apartment and its immediate environment - particularly when the health starts to deteriorate, the mobility decreases or the assistance and communication relationships to relatives break down.

Elderly people find favourable conditions for satisfying their specific housing and living interests in districts with mixed social and functional structures. Such residential districts offer goods and services, social and medical facilities and institutions in the immediate vicinity of the apartment and also the spatial preconditions for the offer of recreation and culture for the elderly people as well as for communal facilities for all generations. In the interests of the elderly people, the residential environment should be relieved of traffic and subject to traffic abatement measures, should have direct and safe footpaths and cycle paths as well as differentiated green and free areas for meeting and communication, recreation and observation of nature.

The communes can provide planning preconditions for meeting these requirements, on the one hand when establishing new residential areas and on the other when renewing districts with older buildings. Urban renewal, in particular, offers good opportunities for conserving mixed functional and social structures and favourable housing in developed districts with older buildings and to initiate improvements in the interests of the elderly, not least through the support of the urban construction funding of the Federation and the Laender. It is important here to develop

and implement elderly-oriented district development concepts as joint tasks of the communes, housing construction associations, sponsors of social facilities, associations of private welfare care and residents.

In both the older and younger generations, a variety of lifestyles and behavioural patterns develop. The bandwidth of housing forms for elderly people is thus correspondingly large. A better availability of housing for the elderly is possible in new apartments, existing apartments, homes, attended apartments and in joint housing projects.

**New apartments:** The vast majority of elderly people live in "normal" private apartments, alone or with their partners, children and grandchildren. These housing forms are supported by the Federation and Laender through tax allowances and public housing construction funding. Within the framework of publicly funded housing construction, special homes for the elderly with special requirements for the house and building development, the living area and interior furnishing (free of barriers, for example) are desired. Such homes for the elderly are built by communal or private builders in small numbers combined with normal apartments or in larger units as old people's residences. Direct public funding of homes for the elderly is linked to additional occupancy prescriptions in favour of the elderly.

**Existing housing:** The elderly-oriented conversion of the existing housing is being increasingly taken into consideration during modernisation and repair work. Individual limitations are often observed, however, in the access to the apartments or their interior design. The necessary technical and structural conversions are then carried out by the residents or the apartment owners. This conversion work can be financially aided by payments from the health insurance funds and the social welfare assistance, in future also as part of the nursing care insurance. Some Laender and communes have developed special promotion programmes for housing adaptation for elderly people.

**Accommodation in homes:** The breakdown of traditional family structures in Germany and the related decreasing willingness to provide private care and support has resulted in the establishment of a system of institutionalised homes in which elderly people can receive accommodation and care. A distinction is made between three stages of care and support: From hostels for the elderly (housing) through to old peoples' homes (residential place) down to geriatric clinics (care), the residential character decreases more and more. Homes for the elderly are generally operated under the sponsorship of communal or church institutions or organisations of private welfare care.

**Attended apartments:** In attended apartments, the focus is on the independence and self-determination of the elderly people. With this approach, the elderly keep or receive their own apartment, generally an apartment for the elderly. At the same time, out-patient and partially in-patient assistance, support and care facilities are provided in the immediate vicinity which can then be utilised when needed. The approach of attended living combines the elements of housing, social or service station and community rooms in a

small area in the residential district. These are generally cooperation projects in which the communes work together with housing companies as the builders of the apartments, private welfare care organisations as operators of the social and service station and possibly with residents' associations as sponsors of the community facilities.

**Joint housing projects:** In addition to conventional housing forms of elderly people, different approaches to communal living have become established; they range from home sharing among the elderly through home sharing between various generations right up to integrated housing projects with members of different age and social groups. The programmatic approach of such projects lies in the integration of people from different age groups and social strata. This necessitates the linking of different ownership forms, financing and sponsorship conditions within a given project. The lack of harmonisation of these often mutually exclusive regulations to date makes the practical implementation of integrated housing projects more difficult.

A housing population of various ages and social structures provides favourable preconditions for the integration of elderly people. The communes are therefore increasingly orienting their urban and district development policy to differentiated offers of housing in small areas for different groups of the population and particularly to implement the full bandwidth of housing forms for the elderly and communities of the different generations. The towns and communes contribute to this in particular by providing appropriate building land within their communal master planning, providing communal land at favourable conditions or even acting as builders themselves.

#### **Aliens and refugees**

The development in recent years shows clearly that the influx of aliens and refugees to Germany is not a temporary phenomenon. During the last 5 years some 3.5 million foreign refugees and emigrants have come to Germany. The regional planning forecast for 2010 of the BfLR assumes (starting from 1996) a further influx of around 2.2 million persons up to the year 2000.

Many of the aliens and refugees who have come to Germany in recent years barely achieve integration into the regular housing and job market. Their housing in group accommodations is problematical. Even for some of the foreign migrant workers with their families who are already living in Germany in the second and third generation, the strained job and housing market situation has a negative influence on the extent of their social integration.

The large number of integration tasks resulting from the high immigration rate in recent years presents problems particularly for smaller communes. They are often faced for the first time with the task of integrating a large number of aliens and refugees. Although larger towns have many years of experience in dealing with aliens, problems of housing and social infrastructure nevertheless also exist here.

Strategies for the urban planning integration of aliens and refugees are practically unknown or documented. In 1996,

the Federal Ministry for Regional Planning, Building and Urban Development will therefore develop concrete strategies for urban planning integration of aliens and refugees as part of the Experimental Research in Housing Construction and Urban Development together with interested communes and draw up guidelines for the implementation of such strategies.

#### **Homeless**

All persons without adequate accommodation are considered to be homeless in Germany. This includes both persons without fixed or protected accommodation who spend their lives on the street or in various shelters as well as those who spend their nights in communal shelters or with social assistance in cheap hotels, boarding houses or in homes of the private welfare care organisations, people accommodated temporarily with friends or relatives and people living in primitive self-built shelters or mobile homes; even resettlers, immigrants of German origin from Central and Eastern Europe, have to spend a transitional period in specially erected homes or containers.

There are no reliable statistics on the extent of homelessness in Germany as nationwide statistics on this problem are not compulsory at present. An empirical study of housing problems revealed an estimated total number of homeless persons - based on enquiries in the communes - per 30th June 1992 in the old Laender as 520,000 to 580,000, of which half (roughly 260,000 to 320,000) were immigrants. The Bundesarbeitsgemeinschaft Wohnungslosenhilfe e.V., an association for the homeless, estimates the total number of homeless (including those who were temporarily homeless) for 1994 in Germany (old and new Laender) as 830,000 to 920,000 persons, of which 320,000 emigrants. The association anticipates a further increase for 1995 to a total number of between 870,000 and 960,000 homeless, of which some 43,000 in the new Laender.

In addition to the homeless, there is also an unknown number of persons threatened by homelessness who will have to leave their homes as a result of notices to quit and who are unable to obtain alternative housing without institutional assistance. Finally people living in unreasonable housing conditions are also affected by the shortage of housing. These include residents in exceptionally cramped (over-occupied) or completely inadequately furnished apartments, tenants with low income and excessive rental burdens and persons forced to live in conflict-laden housing conditions. All these groups are regarded as emergency housing cases and must be incorporated into concepts for solving the housing problems.

Persons with low income and other financial problems (for example, as a result of unemployment or heavy debts) and persons with social, health and other disadvantages have particular difficulties on the housing market. An inadequate availability of affordable housing, particularly in large towns, rent increases and the prevailing prejudice against certain people result in social isolation. Appropriate accommodation for many apartment hunters with low incomes is practically no longer affordable. High levels of long-term

unemployment mean that even people from the middle income bracket become impoverished and are forced to claim social welfare benefit and can therefore no longer compete on the free housing market.

Homelessness and the shortage of housing are a problem for society as a whole. The growing number of homeless women, children and youths is also very depressing. To date there has been an insufficient number of feasible overall concepts for solving this problem in Germany. Appropriate measures must be politically implemented and then supported and promoted by state, communal and non-profit institutions. In the mid-'90s, the relevance of the problem can be regarded as having been recognised at all levels of responsibility and the dialogue between politics, business, science and the people affected to overcome the problem has increased. The coordinated implementation of these activities in adequate and sustainable concepts of action to prevent or counter housing problems has not yet succeeded to a sufficient extent.

A main focal point in the combating of homelessness lies in prevention, in other words in measures which can prevent or alleviate the occurrence of homelessness. These include first and foremost the preservation and expansion of the existing affordable housing stock and measures to counter unemployment as well as to avoid or overcome the need for social welfare payments.

A number of legislative regulations already oblige the communes in Germany to take preventive measures to avoid homelessness by means of direct support for persons or families in need. These include payment of rent allowances on the basis of the Rent Allowance Act - although towns are of the opinion today that the rent allowance no longer fulfils its function of assuring appropriate and affordable housing - or the bearing of rent debts on the basis of the Federal Social Welfare Assistance Act. If homelessness can no longer be avoided, short-term assistance can only be provided through accommodation in special hostels for the homeless or in hotels specially set up for this purpose.

Affordable accommodation is necessary to ensure the sustainable housing availability for the homeless or for socially disadvantaged groups threatened with homelessness. The ongoing discussion is increasingly looking for ways of developing new possibilities for the expansion of this sector of the housing market on the basis of new financing and sponsorship models and for testing these possibilities on housing models with a special orientation to disadvantaged groups. On the initiative of the Federal Ministry for Regional Planning, Building and Urban Development, a research field on the subject of "Sustainable housing availability for the homeless" is in process as part of the Experimental Research in Housing Construction and Urban Development in which such projects can be promoted, tested in practice and scientifically evaluated.

The most important objectives of this research field are:

- Testing of financing models for the creation of new housing for the homeless by linking the funds from the state with the investment funds from non-profit sponsors.
- Testing of housing models for the sustainable provision of housing of normal standard and on the basis of normal rental agreements for the homeless.
- Testing of housing sites for integration of former homeless into normal housing areas (no isolated fringe locations, no ghetto formation).
- Incorporation of measures for housing provision for the homeless into communal housing concepts for low-income home hunters.

#### **Hanover: Example of the creation and assurance of housing for needy homeless**

The project involved the construction of a new house with twelve apartments and the extension of a very old house with seven apartments, all of which are intended for formerly homeless single men. Sponsor of this construction project is the social housing group of the Diakonisches Werk Hannover e.V., a church-related organisation. Their aim is, through a long-term management concept, to continuously create living accommodation for an effective reintegration of single homeless people for whom the housing market is practically closed due to their difficult social situation. The management costs of around DM 300,000 per year are split between the local Lutheran church, the Land of Lower Saxony, the town and the county.

Through the management concept for creating and assuring housing for homeless in need, the social housing aid group as sponsor of construction measures takes on three important functions:

- It combines church, but also private or public funds, potential investors from housing construction companies and public sector funds to form a realistic and for all sides beneficial concept of housing creation.
- It ensures the longest possible availability of the apartments for the predetermined purpose.
- It takes on management risks which the housing construction companies feel unable to take in view of the persons involved, through a management concept for the apartments appropriate to the project and through the offer of matched socio-pedagogic advice.

The Federal government gives high political priority to the avoidance and relief of homelessness. A government commission has been appointed to search for ways in which specific forms of social need, such as homelessness, can be combated more selectively. A report with suggestions for appropriate improvements will be presented during the first half of 1996.

Non-state institutions have also been involved with homelessness for some time and show which housing political instruments can be used to effectively overcome

this problem and how perspectives outside the traditional forms of aid for the homeless can be developed. For example, in 1995 the Bundesarbeitsgemeinschaft Wohnungslosenhilfe e.V. and Bundesarbeitsgemeinschaft Sozialer Brennpunkte e.V. proposed a housing policy programme for providing housing to groups disadvantaged on the housing market. A housing policy of socio-political perspectives is called for which primarily orients itself to opening up housing opportunities for those with the greatest problems on the housing market.

#### **Excursion: Socially compatible responses to mobile living forms on the fringe of legality**

In almost all larger German towns (with a clear focus to date on the old Laender), a new residential form has grown up over the past 15 years. People have settled in gaps in buildings in the city centres, but particularly on the fringes of the centre and on the outskirts of the town, living in construction site caravans, converted furniture vans and trucks, in busses and to an increasing extent in sheds and tents. Although the dimension in the housing and settlement system is quantitatively (still) minimal with roughly 0.1 percent, a considerable increase has been observed over the past five years and draws attention to the relationship between the mobile forms of housing as a specific variant of homelessness and the shortage of housing in the towns. At the same time, the quantitative and qualitative significance of mobile living in Germany is far smaller than in other regions of the world. In many industrialised countries with high regional (workplace) mobility, comparable forms of living play a far greater role, such as the caravan suburbs in the USA which developed out of the shortage of housing, the job-related regional mobility and the desire for absolute independence.

As German legislation is not geared to the new mobile forms of living and settlement, even areas "legalised" by the local and social policies are regarded as only tolerated with reservations in accordance with the building and planning laws. From the point of view of users and helpers, there is thus a constant threat of receiving notice to quit, a pressure which makes any stabilisation of the living circumstances in these settlements more difficult.

The facilities available at such sites vary, corresponding to the legal form and size. Whilst at many small sites, water supply and waste disposal takes place via the neighbourhood, a minimum range of facilities often exists at larger tolerated sites. Extremely problematical, on the other hand, are the hygiene conditions at some of the large tolerated sites. They can become sources of health risks for the users and the public in general. The legal sites on the outskirts of the towns generally have simple camping site conveniences. On many legalised and assigned sites, communal buildings can be found or are under construction in which communal activities, club meetings and child care are possible.

Independent functional structures and related "urban development" situations have been established on all the sites which have developed as a result of intensive social processes from the individual ideas, design concepts and

aims of the users. These self-found and flexible structures permit the formation of mutually supporting neighbourhoods and also the isolation of disturbances in order to avoid conflicts. Even in the apparently chaotic conditions, a spatial organisation to assure the needs and avoid conflicts is recognisable and the users are aware of it as a result of complex social processes.

The number of residents is difficult to assess. It varies in view of the different living conditions in summer or winter, but also with the improvement or deterioration of the social climate on the sites. For Berlin, minimum figures of roughly 1,800 to 2,000 "rolling homes" are assumed. In Hanover and Munster the figure quoted is 75 and in Hamburg roughly 500. Some individuals or groups have been living "mobile" for more than a decade, while the vast majority have been on the sites for between three and five years.

In the communal policy and the political public, the discussion of how to deal with mobile housing forms ranges from radical rejection based on regional political arguments and acceptance either out of conviction or as a result of the inability to offer alternatives which would be accepted by the residents. The local political concepts range from hard expulsion and relocation policies using all the legal instruments through a tolerance in the sense of "laissez faire" based on public opinion and an availability-oriented acceptance based on social, constructional and planning legislation instruments. The settlements are meeting with increasing acceptance in the public authorities, although clear differences in strategy are to be seen between the different departments.

The department-oriented responsibility is essentially proving to be inadequate for processing the complex social and structural problems of the "rolling home" settlements. In order to arrive at reasonable (not "expulsion") solutions in a spatial and psychological sense, inter-departmental and problem-oriented work approaches have proven to be effective in which "private sponsors" experienced in the work with peripheral social groups are involved in the work beyond the administrative limits and can help take up and promote the self-help ability of the residents.

*Institute for Regional Development and Structural Planning (IRS), Berlin*

#### **4.2.3 Greater Consideration of Women's Interests in Settlement Policy**

The circumstances surrounding the lives of women have developed in a greater variety of ways than those of men in the past decades. Women have become a more heterogeneous group which includes the various combinations of employment and the recurring housework. Whereas the pluralisation of the living patterns has advanced, the functional mechanisms of regional structures have simply continued on the basis of the former distribution of roles and thus often diametrically opposed to the social change: Long distances between home, work and services, for example, just as a thin network of possibilities for child care can, if only for time reasons, only function if one member of the family dedicates himself or herself

predominantly to the housework and the bringing up of the children, or if the considerable double burden of family and job is accepted.

Women are affected by these shortcomings in planning, as they are the ones who still today predominantly look after the family in addition to their job or, where this is not possible, give up their job. Added to this is the fact that the planning along the lines of the traditional distribution of roles has given far greater consideration to the demands of men than to the wishes of women. For example, the general principle of the "car-oriented town" was oriented to a functionalism which benefited at best the motorised (male) commuter. The problems and experiences of the non-motorised housewives and mothers, but also of children and elderly people were not asked for - or were not even expressed - in planning and decision-making structures in which the key positions were occupied by men.

With the pluralisation of the patterns of life, the wishes and demands of many women for equal rights and a self-determined way of life have increased: They no longer want to be merely mothers and housewives or have to earn their living themselves. The more these wishes and demands have increased, the clearer the discrepancy between social development and spatial structures has become to those concerned. It is thus even more important now to consider the interests of women to a greater extent in the spatial planning. There are two possible ways: Institutional approaches and the spatial planning process:

#### **Institutional approaches**

Self-help initiatives of working women were of particular significance in the early days in ensuring that the interests of women were taken into consideration in planning processes: In many cases, the interests of women have only been brought into the discussion and their consideration demanded as a result of these informal institutions. One example is the Feminist Organisation of Female Planners and Architects e.V. (FOPA e.V.) which was founded in Berlin in 1981 and which in the meantime has local advisory groups in a large number of towns. Ecological and social urban renewal from the point of view of women, improvements in spatial and social living and housing conditions of elderly women, danger areas in the town and the establishment and organisation of an information and literature archive, "Women-Planning-Building" are just a few aspects of their field of topics and activities.

In the meantime, women's interests have been more or less institutionalised also at all levels of the political and administrative system - most extensively on the small-area scale, in the towns. In the old Laender it is predominantly women's group offices and equal rights commissions who, in addition to their "general" work of achieving equal rights for men and women, concern themselves also with the subject area of "Women and spatial planning". A significant step forward in this respect was the linking of the women's group offices at communal level to form a Federal working group in the former Federal Republic of Germany. In support of communal institutions, the "Women and equal

rights affairs" commission of the German Convention of Municipal Authorities (Deutscher Städtetag) discusses topics relevant to women and prepares recommendation for the decision-making committees.

#### **Spatial planning process**

Planning processes which give particular consideration to women-specific demands on spatial planning generally still have a model character. They are thus not yet firmly established. The spectrum of women-related participation processes is illustrated clearly by case examples from the planning tasks for cautious urban renewal and urban development planning. The case examples reveal a few aspects of the participation processes as part of the informal planning. They show approaches and elements of moderate participation processes which can also give consideration to the interests of disadvantaged women.

#### **Cautious urban renewal**

Particularly in the context of cautious urban renewal, participation forms have been developed which aim to give consideration to the interests of women, and also to the interests of foreign women.

#### **Hamm: Example of consideration for the interests of women in the urban renewal**

In Hamm, a **skeleton urban development plan** was drawn up for the **Hamm-Heessen** district with funds from the urban development support. Special attention was given here to development of the Heessen market place in order to revive the centre of the town. At the initiative of the equal rights commission, a night-school course was introduced to allow women's interests to be incorporated into the planning of the district. This move was based on the historic aspect that the market place was one of the first public areas of women's work and still fulfils an important function of work and communication for women. The ideas of the women were then taken into consideration in the further course of the planning process. The favourable secondary conditions almost certainly played a major role here as both the (female) employees entrusted with the planning coordination by the administration and the planning office contracted with the work were very open to the interest of the women.

#### **Urban development plan**

The participation of users in the planning process is important, the earlier the better. It often necessitates the involvement of intermediary institutions to take on the wide variety of coordination tasks. This is illustrated by numerous examples:

#### **Hagen-Vorhalle: Example of the participation of women in the district planning**

The model project, "Women-oriented urban district development plan Hagen-Vorhalle - participation processes and their potential effects" is exemplary for the involvement of women in district planning. The project attempts to learn about the day-to-day experiences of the women as "experts" of the district so that they can be taken into

consideration when drawing up a skeleton district development plan. Various steps were taken as part of the participation process:

- The establishment of a district office, the "women's planning meeting point" a local contact centre.
- The accompaniment of future workshops with the residents of the district
- The organisation of a women's district conference.

#### **Hamburg: Example of the integration of women's interests into planning processes**

Hamburg is an example of the attempt to integrate the interests of women into all the planning procedures. A fundamental report was first drawn up in which the Hanseatic city was evaluated from the point of view of women. The report was accompanied on the one hand by a local authority working group - consisting of female employees of the urban development authorities and the senate office for equal rights. The primary task of this working group was to link the problems and study results with question of day-to-day practice in the authorities. On the other hand, the subject was developed further (beyond the technical discussion) in a committee with male and female representatives of the trades unions, employers' associations, science, media and culture. Furthermore, the results of the work were reported on in public district-specific meetings of the (female) residents. Urban planning was understood as a process in which male and female planners were taking on more and more the role of presenters. The task of the Hamburg urban development authority is now to put the results and recommendations for a town in which the interests of the women are given due consideration into practice, in other words to ensure their inter-disciplinary implementation in concrete measures and concepts.

If the interests of women are to be taken into consideration in planning processes, irrespective of persons or favourable secondary conditions, then the planning processes must be modified or complemented. Such process elements and methods would appear to be necessary which involve all the people concerned, permit the transfer of different argumentation criteria, create mutual understanding for the interests of the other party and in consequence arrive at a balanced decision.

By analogy with the wide variety of women's interests, the direct integration of the day-to-day experiences of women as "experts" on home and district are of great importance for the effectiveness of the planning processes. However, this integration often places particular demands on the structure of the process. Efforts have to be made locally so that women can put their needs into words - a fact which applies to an even greater extent for the many socially disadvantaged women and foreign women.

## **4.3 Creation and Assurance of Adequate Housing Availability for All**

Housing policy in Germany is a pluralistic process. The various levels of the Federation, the Laender and the communes as well as - in the lead-up to political decisions - a large number of social groups are involved in its making, legal structuring and implementation.

Under the provisions of the second Housebuilding Act, the responsibility for the housing policy lies with the Federation, the Laender and the communes. The skeleton conditions for the housing market such as the provisions for rental, tax regulations for the promotion of housing construction, rent allowance legislation and skeleton conditions for the building law are laid down at the Federal level. Furthermore, the Federation supports the Laender with finances for the social housing construction.

The concrete formulation of the housing policy is the responsibility of the Laender. They decide independently on the award of direct financing for the purpose of housing construction, participate in the drawing up of legislation by the Federal government and pass their own laws to fill out or supplement the Federal laws.

The communes decide within the scope of the skeleton plan laid down by the Laender in particular on the earmarking and provision of building land and thus also bear a high degree of responsibility for housing policy. Furthermore, the communes add to the funds of the Laender for housing construction promotion and are responsible for the temporary accommodation in emergency housing situations.

The associations of the building and housing industry, the associations of house and land owners, tenants associations, settlement projects, building societies and mortgage banks, in particular, cooperate as social interest groups in the making of housing policy. There is no firmly defined organisational framework for this cooperation. They exert their influence and participate in parliamentary processes, for example in hearings, so that knowledge and experience of the market is taken into consideration in the legislation.

The pluralistic nature of the housing policy in Germany can, of course, result in conflicts of interests and aims. The communes, for example, must decide between different competing possibilities of land use (for housing or business purposes, for purposes of nature conservation). In the rental policy, the interests of the tenant and those of the private landlord and the housing company quite often go in different directions. The task of housing policy is to bring these conflicts of interest to an acceptable compromise for the parties.

### **4.3.1 Demand-Oriented Provision of Building Land**

The relationships between the housing market and the building land market are obvious. Any change in the demand for housing always has an effect on the land

market, as the demand for building land derives from the demand for housing. In view of the continued high demand for housing anticipated in Germany also for the second half of the '90s, it is extremely important to make appropriate building land available - both in volume and in price.

A central principle anchored in the Building Code, however, demands that free land for settlement purposes be used sparingly and cautiously. Free areas are to be used for settlement purposes only in cases of unavoidable and urgent demand, taking into consideration the regenerability of nature and after examining and evaluating the ecological consequences. The urban planning legislation contained in the Building Code thus not only gives instructions on the building and development of land, it is also intended to contribute to "ensuring a humane environment and protecting and developing the natural habitats" (§1 para. 5, clause 1 of the Building Code).

The aim should therefore be a most land-saving policy guided by the following principles:

- Reduction in the consumption of resources, i.e. the use of new free land for settlement purposes,
- Optimisation of the land use, i.e. efficient land use through compact, high quality building and function mixing,
- Compensation of the burdens associated with the further settlement growth, i.e. compensation in both quantity and quality for the loss of free land.

Land policy in Germany is not purely a matter for the government or the communes. To an increasing extent, private processes or mixed public/private processes are coming to the fore, generally at the initiative of companies. The communes are often financially not in a position to stock land or to buy land plots which can later be made available for urban development purposes and also for housing construction. They thus often have no alternative but to cooperate with the companies who own the land.

In general, however, the land policy implementation of urban planning objectives always takes place at the communal level due to the planning authority of the towns and communes. In the implementation of the plans, the communes often employ sub-contracted companies who act on behalf of and for the account of the communes or on their own behalf and for their own account (trustee process). The earmarking of building land in the communal master plan, however, is only an offer for building. The person who uses the land in accordance with the prescriptions is left to the discretion of the investors, the housing construction company or the land owners.

#### **Communal provision of building land**

The most important building land political instruments available to the communes are the drawing up of the master plan by the commune and the redistribution of the land, where necessary including a replotting and improvement of the land. In general, the new development measures involve the replotting of previously agriculturally used land which is being improved for the first time. The land is

divided into plots with borders, form and size in accordance with the local building construction plan to enable the planned building projects to be carried out. The traffic areas - roads, paths, squares - and areas as protection against harmful environmental effects are defined in advance and notified to the commune or building contractor.

The official replotting provided for in the Building Code is a specimen for numerous replotting models on a contractual, private law basis for quasi-replotting processes through a simple definition of borders in line with the building laws.

A further important process for the provision of building land in addition to the replotting of building land is the purchase of plots by the commune either before or during the course of the communal master plan. The communes develop the plots ready for building and sell the developed plots to would-be builders. The grant of leasehold rights to communal building plots which would also be possible is often not employed by the communes, in particular due to the administrative work involved; the churches are more inclined to grant leasehold rights to the land which they own in order to enable even families with low income to build their own homes and thus ensure the long-term ownership of the land for the church.

#### **Private agreements with obligations and conditions**

A common practice for providing building land is the conclusion of agreements with the owners of the land. The buyer of a plot from the commune is then obliged to build on or otherwise use the land. This obligation includes the right of resale for the commune in the event that the land is not used in accordance with the agreement. This helps in particular to avoid gaps in new building developments and ensures that building plots are indeed used so that new building land does not have to be constantly developed in order to meet the demand of potential builders.

Furthermore, the communes agree a purchase right with the owners of developed plots. This right is only exercised, however, if the land is not used in accordance with the agreement or is not sold to the potential builders named by the commune. These contractual provisions ensure that developed land is sold by the original owners to local would-be builders. This is an approach employed particularly by communes with a high settlement pressure in agglomeration areas. This method is intended not only to reserve building land for the local people but also building land for the commune's own needs, such as for infrastructure facilities or for social housing construction.

#### **Munich's surrounding area: Example of assurance of building land for the commune's own needs**

A survey by the planning association "Peripheral business area Munich", in 1991 revealed that two-thirds of all communes practice the assurance of land for their own needs. In the years since 1981, some ten percent of all new houses in the urban surrounding area have been built on such earmarked land. Interim purchase still predominates over obligation agreements under private law and the granting of leasehold rights. It was possible to provide the plots at an average of 50 percent below the market price.

thus promoting socially oriented home ownership. In the counties of Munich and Starnberg, land is secured by communal housing construction companies for their own use in building rental housing. As a result, some 1,600 residential units have been built in the area covered by the association, and a further 1,100 residential units are under construction or planning.

Approaches under private law can also include agreements on replotting of the land. Although these voluntary replotting procedures are imaged on the official replotting in accordance with the Building Code, they are subject to special agreements for example on the provision of land for development and infrastructure facilities or for social housing construction. As a rule, a particular proportion of the land is agreed which, in individual cases, may exceed thirty percent of the purchased land area.

### The Urban Planning Development Measure

A very important instrument for the development and provision of building land for the communes is the Urban Planning Development Measure. Under this measure, districts or other parts of the commune are developed for the first time according to their significance for the local and regional urban planning development or existing urban districts are prepared for a new development. The Urban Planning Development Measure is anchored in the Building Code. It is most frequently employed for housing construction projects to cover high medium-term demand and then predominantly in the agglomeration areas.

A number of positive effects are associated with the Urban Planning Development Measure:

- The Development Measure has a mobilisation function by increasing the amount of building land available, preventing land speculation, ensuring the implementation of building projects and making land available to the commune.
- The Development Measure helps to accelerate the proceedings by better coordination of the individual measures in the development and restructuring of the development area and a rapid redistribution of the land, as the communes have the plots in their hands.
- The income from the development measures (as distinct from the income from the sale of developed plots and the purchase of plots at a value with no prospects of development) finances the measure.
- The preclusion of increases in the value of the land associated with the development damps the land price increase during the process so that land can also be made available for social housing construction.
- The transfer of the tasks to the developers relieves the communal administration from a vast proportion of the work and facilitates the process control of the Urban Planning Development Measure.

### Bocholt-West: Example of the application of the Urban Planning Development Measure instrument for development and provision of building land

A housing market analysis for the town of Bocholt (a middle-order centre with some 70,000 inhabitants in North-Rhine Westphalia) revealed a bottleneck on the housing market. A particularly high demand exists for publicly sponsored and privately financed rental apartments for singles, single-parent families and elderly people.

Against this background, a concept for a new urban district with around 1,000 residential units was developed in Bocholt which was to be implemented as an Urban Planning Development Measure. The reasons for the employment of this instrument were that it allowed the demand for housing to be quickly met as a result of a rapid mobilisation of the land ownership and that price control counter-measures could thus be taken against the rapid land price increases which had prevailed since 1991. A further positive aspect was seen as the possibility of engaging a trustee, in this case the Land Development Association North-Rhine Westphalia. Through the exercising of the special land rights, the Measure more or less finances itself. The trustee will take out a loan from the capital market to cover the costs incurred in the initial years. The town will provide a guarantee for this loan. The capital cost for the interim purchase of the first phase will be met to a great extent by funds provided by the Land North-Rhine Westphalia.

The Urban Planning Development Measure comprises the preparatory phase, the adoption of the measure and the implementation phase. The individual stages of the procedure are as follows:

#### Resolution

by the Local Council on the preliminary investigations

#### Preliminary investigations

- Outline urban development plan
- Drawing up of the cost and financing plan
- Preliminary discussions with owners and carriers of public facilities

#### Resolution

on the definition of the urban planning development area (development statute)

Approval of the statute by the higher-ranking administrative authorities and official publication

#### Implementation

in accordance with the objectives and purposes of the Urban Planning Development Measure and with the requirements of one or more local development plans to be drawn up

- Purchase of the land by the commune
- Redistribution and improvement of the development area
- Sale of the plots for building

The preparations for the Urban Planning Development Measure were started in 1992 following the resolution of the

local council. Building is expected to commence in 1995. In all, the Measure will extend beyond 1997.

*Case example illustrated by Ulrich Paßlick*

### Mixed public and private procedure

With this procedure, an investor undertakes contractually to perform certain services as part of the development of the land ready for building. The commune provides him with the development rights for the land within the scope of their planning authority by drawing up local development plans. The benefit for the commune of this procedure is the financial relief from the costs, for example, of the land redistribution, improvement of the plots and the subsequent costs for the operation of the improvement facilities. The benefit for the investor lies in the rapid improvement of the land for building and thus a profitable disposal of the plots through sale to would-be builders. The corresponding provisions are drawn up in the form of an urban planning agreement. The urban planning agreement is provided for in the Building Code.

A practical case which was originally designed for the new Laender, but which is now possible in the whole of Germany, is the project and improvement plan. The statute on the project and improvement plan is an instrument which puts the initiative for creating building rights in the hands of the investor and obliges him to bear the planning and improvement costs. An obligation to build is often also contractually agreed. The full planning authority here, however, remains with the commune. Project and improvement plans are suitable for creating residential building land quickly and easily, as process steps of the local building construction plan which would otherwise have to be drawn up can be eliminated and the building is assured.

### Communal land management

Communal land management is growing in importance in the balance of interests between commune, investor or private would-be builder and original land owner on the road to a rapid provision of building land and building on the plots. Important instruments for an active mobilisation of building land are building land cadasters and building land exchanges. The aim of **building land cadasters** is to provide concerned citizens, land owners, architects, potential builders and investors with information on the used building land potentials in the towns and to point out the possibilities of closing gaps in the existing buildings. This list of free plots ready for building is a first step in the establishment of **building land exchanges**. This instrument is defined as an information and advice system for mobilising improved but unused or under-used land on the basis of comprehensive spatial and informative building land cadasters which exercises an active effect on all those involved in the building land market. This includes:

- Identification of plot owners of reserve building land and clarification of their intentions for use (for example, use for their own purposes, with or without intent to build, willingness to sell and corresponding conditions), including existing obstacles and their causes.

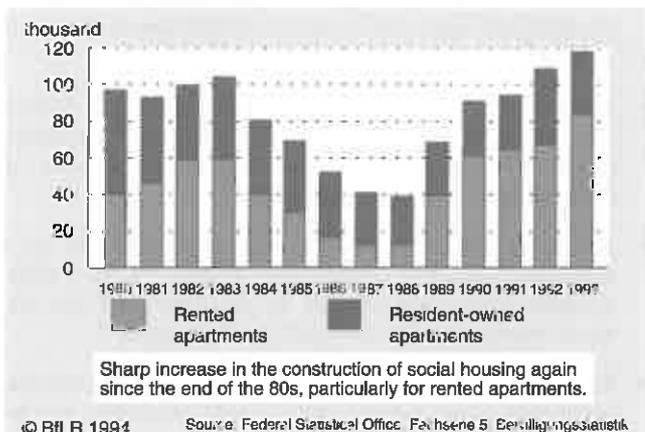
- Comprehensive advice to plot owners and potential users and investors on their possibilities for building and sale or purchase and use, including the desired drawing up of case-specific solutions to problems.
- Support for the plot owner willing to build or sell in the procedural handling of their preparation for use of their plots (in the case of communal coordination, in conjunction with administrative responsibilities).
- Assistance in possible plot transfers between plot owners willing to sell and potential customers for building land or investors (agency function).
- Provision of standardised market information (establishment of a market information system in order to increase or achieve market transparency) on spatially or object-specific housing and property markets.
- Information for the population and business on the available building land reserves.
- Promotion of communication between the planning and executive administrations on the one hand and the interested public looking for building land.

### 4.3.2 Promotion of New Housing Construction

The promotion of new housing construction is understood in the Federal Republic of Germany as a public task. It is implemented via applicable Federal laws and via the selective support of the Laender, with the involvement of the Federation, adapted to the prevailing housing market situation.

The system of public sector support for improving the housing availability for a broad segment of the public consists of a variety of different measures and instruments contained in the overall system of social market economy and the principles of housing policy which are adapted to the changes in and demands of housing policy.

#### Social housing construction in Germany 1980 - 1993



In general terms, a distinction is made between direct and indirect housing construction support in Germany. Since 1980, an average of around 25 percent of the new houses

have been built with funds for social housing construction. At the beginning of the '90s, the level of support was slightly below this average. In the mid-'90s, the figure is rising again. In 1993, roughly 45 percent of the directly sponsored housing was resident-owned apartments and around 55 percent rental apartments.

In 1993, Federation and Laender invested some DM 23 thousand million in direct support for social housing construction. In the new Laender, these funds permit not only the construction of new houses but also the modernisation and repair of the existing housing stock. This support is stocked up by funds from Land-specific support measures without Federation involvement and by communal funds. In addition, the Federation supports the comprehensive repair and modernisation of accommodation in the new Laender, in particular with a low-interest loan programme of the Reconstruction Loan Corporation (KfW). Indirect housing construction support in 1993 totalled a volume of DM 10.5 thousand million.

### **Direct housing construction support**

Direct housing construction support involves investment aids from the authorities involved in the housing policy. The employment of direct support instruments is reflected in increased expenditure from the State budget. Through the direct housing construction support, the State fulfils this public task very intensively. The Federal legislative basis for this is the second Housebuilding Act. In accordance with §1, Federation, Laender, communes and communal associations are required to promote housing construction, with particular preference for the building of apartments which, in size, furnishing, rent or monthly repayment burden are both intended and suitable for a broad segment of the population, as a primary task.

Each of the regional authorities - Federation, Laender, communes and communal associations - is required to contribute to fulfilling this task within the scope of their responsibilities. The breakdown of the tasks between Federation and Laender is regulated in accordance with the federalistic State principles of the Federal Republic of Germany. In view of the widely differing developments in the regional housing markets in the Laender, the regulatory competence has gradually been transferred from the Federation to the Laender over the course of the years. All Laender have oriented the support for housing construction to their regional market conditions and Laender-specific characteristics with their own Land guidelines based on the principles of the second Housebuilding Act.

The financing of social housing construction is a basic task of the Laender in which the Federation is also involved. The Land support for housing construction is also frequently supplemented also by additional services from the communes, in particular through the provision of building land as a form of peak financing. This applies in particular to large towns and agglomeration areas with particularly high housing construction costs which are generally caused by high land prices. This peak financing can, as seen from the support in practice to date, can reach half the level of the

housing construction support from the Federation and the Laender.

Direct support for housing construction is given for the particular building project. Investors in resident-owned and rental apartments receive the support for a given object. Subject-specific assistance (in form of grants to the apartment user) can also be used, for example as part of the income-oriented support. Direct support is aimed essentially at households with low to middle incomes, whether as rent household in a public sector funded apartment or as owner-resident. Supported investors also undertake longer-term obligations of between 10 and 30 years. They undertake to rent the apartments only to house-hunters who do not exceed the prescribed income limits and, in addition, often afford the communes occupancy rights for these apartments.

Depending on the type of support - whether as assistance in the construction costs in the building phase through loans and grants, or in the form of loans or grants to cover the running costs during the utilisation phase - three main support routes with differing levels of support intensity and which can vary from Land to Land have become established in Germany on the basis of the housing policy requirements. The highest support intensity for the construction costs comes in the social housing construction in the "first support route".

Due to the increasing financial problems in the public sector and the high subsidisation costs for the social housing construction, other support routes are coming to the fore in the mid-'90s. They create more apartments with less financial support, but are then subject to shorter binding periods. One of the ways in which this can be achieved is to involve the apartment user in the costs of the apartment construction to a greater extent, for example by approximating the rent for the publicly funded apartment to the rents on the housing market and by linking the financial support to income levels.

### **Indirect housing construction support**

Indirect support for housing construction starts in the State budget on the income side by relinquishing tax income and not on the expenditure side. This applies predominantly to the income and corporation tax and to rates.

According to the 14th Subsidy Report of the German Bundestag, the loss of income from taxes due to indirect housing construction support in 1993 for Federation, Laender and communes totalled around DM 9 thousand million. This indirect housing construction support includes in particular the formation of property ownership, the creation of rental apartments with social occupancy obligations and the construction of new apartments within existing housing stock and, for the new Laender and West Berlin, support for the construction of new rental apartments and the modernisation and rehabilitation of rented and owner-occupied apartments. In addition, housing construction is indirectly supported by savings promotion and capital asset formation predominantly for the purchase of property for a wide segment of the population. In 1993, the loss of income from taxes in this sector amounted to

around DM 1500 million, DM 10.5 thousand million in unlevied taxes thus went into the indirect housing construction support in 1993.

The considerable extent of indirect support from the unlevied taxes is primarily to be explained by the fact that in contrast to direct housing construction support, a legal entitlement to this form of indirect support exists so that far more builders are reached than with the direct support. The volume of DM 10.5 thousand million for indirect housing construction support in 1993 does not include the following tax regulations which, according to the income tax legislation, apply to rental housing construction: Apart from the greater depreciation possibilities, investments in rental housing are particularly attractive because losses from rental and lease can be offset against other taxable incomes. High depreciation rates in the first few years after completion of residential buildings thus have an investment-provoking effect in housing construction, as the under-coverage common in the initial years of an investment in real estate can be considerably reduced in some cases by the tax benefits granted.

In summary, these tax instruments show that considerable political significance is attached to the housing construction support.

### 4.3.3 Assurance of Urban Development Qualities in New Housing Construction

New housing construction in the '90s is faced not only with quantitative challenges but also has to meet the task of ensuring and further developing urban planning and development qualities in housing and settlement construction. The public is concerned that in view of the large number of new homes needed, the errors of the past could be repeated and cuts will be made in the quality standards achieved which will durably detract from the value of homes and residential areas.

Positive examples of exemplary settlements planning in the past years show, however, that good housing construction is possible even in the large residential areas. These examples all relate, however, to smaller settlement projects below urban district size. They also document the problems entailed in transferring the experience gained with environmental demands in the home ownership sector to apartment construction. At the same time they show that smaller settlement projects can be integrated better into the urban background, that the acceptance in the existing neighbouring areas is higher, that they contribute more quickly to overcoming service bottlenecks due to the shorter planning lead times and that the intervention in the natural cycles can be more easily moderated.

On the other hand, the urban planning debate on the future of building new large residential settlements in Germany is dominated by very few nationally known housing construction projects in large nationwide towns and cities. The concentration of attention on a small number of prominent large projects obstructs the view of the many smaller housing construction projects with high urban

planning qualities. The main focus of housing construction in future, however, will be on just such smaller projects.

#### Planned new large residential settlements

Town	Residential area	Planned apartments
Berlin	Blankenburg	19,000
Frankfurt	Ridberg	15,000
Berlin	Wasserstadt Spandau	12,700
Berlin	Buchholz	12,300
Munich	Freiham	9,400
Hanover	Kronsberg	6,000
Munich	Riem	6,000
Berlin	Buch	5,900
Berlin	Altglienicke	5,900
Berlin	Adlershof	5,500
Berlin	Rummelsburger Bucht	5,300
Potsdam	Bomstedter Feld	5,000
Berlin	Karow-Nord	5,000
Berlin	Biesdorf-Süd	5,000
Hamburg	Allermöhe II	5,000

Status: July 1995

Significantly, very few new urban districts such as in Hamburg-Allermöhe were built in the former Federal Republic of Germany in the '80s. In the last years of the GDR, on the other hand, numerous very large new residential estates were erected. Numerous large residential settlements in both the new and old Laender have still not been completed or are being extended by new plans and constructional measures.

#### Hamburg-Allermöhe: Example of a new large housing settlement

The largest new housing estate built in the '80s in Hamburg is located on the edge of the city on what was previously agriculturally used land. The disadvantages of the location - including a high groundwater level - meant that this land had been kept free from building in the past. The plans of the '70s were for a gigantic new district for almost 80,000 people. The urban planners reduced this project, however, in view of resistance from the people to a significantly smaller area with development stages spread over a longer period. The special situation of the location was interpreted positively by the planners and propagated as "living on the water".

The structure of the settlement, borrowed from Dutch models, with a differentiated canal system and functional separation of central pedestrianised axis and two main development rings and the maximum four-storey building in the centre as well as extensive detached house developments on the fringes result in a low population density for an urban residential area. The very differentiated choice of materials and architecture of the buildings - oriented to the regional style - in conjunction with the varied courtyards around the houses and large green areas provide a high residential quality.

The quality of living so achieved is increased by the immediate vicinity of extensive nature areas with a high recreational value. In addition, the settlement has excellent

links to the local public passenger transport network and also well developed for motorised traffic with a motorway junction.

The demand for land for new housing areas will only be able to be satisfied in future by a combined strategy of earmarking of new areas and mobilising land reserves in the existing developed areas. New focal points for settlements must be developed in an urban regional context and in close vicinity to the regional public passenger transport system.

#### **Viernheim: Example of environmentally compatible urban expansion to create land for housing**

The town of Viernheim (40,000 inhabitants), a Brundtland town, pursues the objective of a "cautious use of the natural habitats" in a new housing construction project being sponsored as part of the Experimental Research in Housing Construction and Urban Development of the Federation. A high demand for housing in the Rhine-Neckar agglomeration zone, a shortage of land for housing and high pollution levels due to the immediate vicinity of a large motorway junction form the starting position for the ecologically planned new housing estate "Am Schmittsberg" with its 350 apartments.

The town has chosen a double strategy to implement environmental protection demands: A local development plan with very exact prescriptions lays down the binding basis for an ecologically oriented settlement area. This is backed up by extensive PR measures, as the success of such a project is seen in relation to whether the later residents themselves fulfil the demands made on the residential area. These measures include different events with the users - tenants and buyers - for example, as part of night-school courses, but also local publications and generally comprehensible information sheets as well as individual case-specific advisory meetings for the builders. Finally it was recognised that the investors, planners and last but not least the workers had to be introduced 'carefully' to an ecologically oriented planning mentality and style of building. Excursions to completed examples of ecological projects, for example, proved effective as stimuli for overcoming existing prejudices or scepticism.

The experience shows that neither prescriptions from above nor the hope for a growing understanding from those involved alone are sufficient to ensure the careful use of the natural habitats. A planning, building and living mentality is needed which adroitly combines the hard instruments and soft prescriptions.

In the future, interesting possibilities for planning and implementing large housing projects in inner city locations will open up to an increasing extent as a result of the reassignment of unused areas. Particularly the consequences of the structural changes in trade, the redevelopment of former military sites and the closing of many small public facilities such as hospitals and schools open up unusual perspectives for new sites. Overall, new housing construction could contribute to also upgrading derelict city areas.

#### **Tübingen: Example of the redevelopment of a former military site**

The redevelopment and redensification of a former military site near the town centre will create a new urban district offering a number of jobs in addition to the 3,000 apartments. Apart from the intended mixing of functions, the district will be characterised by an architectural mixture of old buildings worth preserving and differentiated new building projects. Of particular significance is the fact that, on the one hand, the environment will be relieved by the establishment of car-free zones and a district-oriented car-sharing system and, on the other, the public areas will be given a high residential quality. Intensive forms of participation are intended to promote the identity of the future residents and the existing neighbours. These include support for cultural activities and offers in the district.

Settlements projects of the '90s are not oriented to general principles such as "planned, decentralised town" or "urbanity through density". Instead, an urban planning minimum consensus has formed which is characterised more by pragmatism than by abstract visions. The principles under discussion include the cautious use of the natural habitats, a functional mix compatible with residential areas, identifiable neighbourhoods and functionally neutral areas in the housing construction.

In the spatial integration, however, the question arises in practice in the communes as to the compatibility of large new housing estates with the location. In view of a continuing high demand for additional housing, there are seldom alternative sites for such developments. In the meantime, many communes are starting to apply a strategy of "using up the remains": They earmark areas which have previously been avoided because they are in some way burdened. This includes not only the areas with ecological pollutants left by their former users but also areas in immediate proximity to a motorway. In some cases, however, very sensitive locations from the point of view of the environment on the edge of or even in landscape conservation areas and fresh air passages.

The different sites demand a variety of urban planning concepts which can assure a design of new housing areas compatible with the location. A general answer to the question of whether continued construction, redensification or expansion of existing housing areas is to be preferred, or whether the construction of independent new settlement units is necessary and appropriate cannot be given. Such decisions can only be taken when the local conditions of a particular situation are known. The Building Code provides the communes with a general framework, particularly as far as the control of planning processes is concerned. The choice of site and the urban planning concepts are the responsibility of the communal planning authority.

#### **4.3.4 Assurance of the Housing Stock in the New Laender**

Following German unification it quickly became clear that the housing situation in the East of Germany was also in

urgent need of reorganisation. From the outset there was general agreement that

- The profitability of the housing industry has to be established (rent policy, loan financing),
- Only the mobilisation of residents' own funds and an increase in the percentage of privately owned housing could free the enormous funds necessary for the repair and modernisation of the buildings,
- Rent increases to the rent level in West Germany are socio-politically barely possible in view of the income situation of the citizens of the former GDR.

#### The beginning of the changeover in the housing market from planned to market economy

The Unification Agreement between the two German states of 1990 provides for the introduction of a social market economy. Transitional phases and legislative prescriptions are intended to ensure that this process takes place in a socially compatible manner.

Following the Unification Agreement, the state-owned housing stocks were transferred to the communes. Some three million apartments, 41 percent of the total stock, were state-owned. In many cases, towns and communes have formed communal housing companies. With the transfer of the housing, the debts from the period of the GDR were generally also transferred to the newly founded communal housing companies. The housing stocks of the housing cooperatives - and the debts - have remained with the cooperatives.

Furthermore, it was prescribed that the formerly State fixed rent system should be changed into a market-oriented comparative rent system. Apartment rents may only change within the normal local framework. In the light of this, the Federal government was then empowered, by means of statutory instruments, to set the maximum permissible rent in relation to the income development.

Finally the Unification Agreement emphasised the priority of "return before compensation" for property expropriated during the period of the GDR.

The start of the transitional process also marks the adoption of the Federal Civil Code (BGB) in the field of rental law in which additional transitional periods were defined in order to protect the citizens from the former GDR who were not familiar with these regulations - for example, protection against notification to quit for reasons of personal use. At the same time the possibility of transferring up to eleven percent of the costs of modernisation measures onto the annual rent was given. Where there is a high need for modernisation, this can have a significant effect on the level of the rent.

#### Assurance of the transition of the housing market from planned to market economy

In 1991 and 1993, the Federal government enacted two statutory instruments which significantly increased the basic rents in the new Laender. The apportionment of all

operating costs onto the rent was prescribed. As a result, the rents (including heating) increased from roughly DM 1.30 per square metre of living space to an average of DM 7.0 to 7.50 per square metre. Even though the rent burden had thus increased, however, the rental households now have significantly higher residual incomes (income minus housing costs) than before the first rent increase in 1991, as their incomes have increased on average by more than the increase in rent. Tenants with low income receive considerable relief through special rent allowances introduced specially for the new Laender. The average rent burden in 1993, allowing for the rent allowance, of 18.6 percent (gross rent with heating as a percentage of net household income) is still below the value in West Germany.

The debts transferred to the communes together with the housing stock and assets became a point of dispute between the Federation, Laender, communes and housing companies and initially blocked a number of important impulses: In many cases, the income from the rent did not cover the liabilities for the interest and repayment instalments for the old debts. However, a moratorium for payments between the credit banks and borrowers existed until 31.12.1993. For the period 01.01.1994 to 30.06.1995, the interest liabilities of the housing companies who have applied for interest aid under the Old Debt Assistance Act will be borne fully by the Federation and the new Laender.

#### Support for housing modernisation in the new Laender in the housing modernisation programme of the Reconstruction Loan Corporation (KfW)

Loans granted according to purposes since 1990	Number	in %	Mio DM	in %
Energy saving	269,222	60.3	12,101	38.1
Repairs	130,611	29.3	14,385	45.3
Improvement in utility value	31,147	7.0	3,107	9.8
Extension of lofts	6,557	1.5	839	2.6
Improvement in residential value	3,790	0.8	321	1.0
Conversion of rooms	2,243	0.5	207	0.6
Extension	1,976	0.4	159	0.5
Miscellaneous or no information	803	0.2	657	2.1
Total	446,349	100.0	31,776	100.0

Since 1990 the **Housing Modernisation Programme** of the Reconstruction Loan Corporation has supported the modernisation and repair of housing in the new Laender with a programme volume of DM 60 thousand million through low-interest loans. Up to the end of September 1994, it had been possible to grant some DM 31.8 thousand million of low-interest loans which are predominantly used for energy saving measures and for repairs to the housing substance.

The Old Debt Assistance Act also offered the housing companies a further partial relief in that the Federation takes over liabilities of DM 31 thousand million. The old debts have been capped at DM 150 per square metre. In

return, the housing companies must undertake to sell 15 percent of their housing stock predominantly to the tenants. With this step, the Federation has gone some way to meeting the wishes of many tenants for home ownership. On the other hand, the income from the apartment sales improves the profitability of the housing companies.

Housing privatisation is an effective method of binding private capital in the housing sector and of increasing home ownership levels. The purchase of apartments by tenants was promoted up to the end of 1994 with a grant from the Federation which, for a four-person family, for example, amounted to DM 10,000.

This income from the apartment sales is not enough, however, to reduce the existing backlog of necessary modernisation measures and repairs. Nor are the rent increases to date sufficient. According to studies from 1993, total costs of some DM 400 thousand million for repair and modernisation are estimated, based on the prices for 1991. This corresponds to some DM 57,000 per apartment. It was therefore decided to establish a comprehensive package to support modernisation and repair measures which includes tax depreciation allowances, direct support through low-interest loans from the Reconstruction Loan Corporation and grants from the Federation/Laender programmes.

Since claims for return of ownership to the former owners were made for three of four rented apartments in older houses, clarification of the ownership situation proved to be a laborious process. Added to this were the problems of a shortage of personnel in the East German administrations, complicated ownership relations and missing entries in the land register. The Federation reacted to these difficulties with an Investment Priority Act which now gave priority to "investment over return". The effect of this thus gave preference to the former owners who wished to invest in their old property.

#### **Initial results of the transition process**

The economic transition and technical renewal of the housing stock in the new Laender is still far from being completed. However, initial results can be seen. For 1992, changes in ownership are to be observed for 4.2 percent of the apartments in the older apartment block stock (built up to 1968). This level increases to 15.6 percent for private owners. Concrete processes here are essentially purchase, return of ownership and elimination of state administration. Furthermore, the investment priority has created a quasi-ownership basis for future investment decisions for 1.8 percent of the communal apartments. Up to the end of 1994, repair and modernisation measures had already been supported in 3.0 million apartments. Here again, the apartments with private ownership make up a significantly higher proportion. Concrete measures here are generally the repair of roof and façade, thermal insulation and the modernisation of the windows and the heating system.

Whilst rapid investments by private owners are to be seen in the old housing stock, considerable state intervention is necessary to being about the necessary rehabilitation of the around 2.2 million industrially built apartments. The analysis

of the structural condition of the houses shows that the damage must be repaired in around half the apartments in the next 15 years. In the preliminary years after unification (1990 to 1992), the rate of repairs and modernisation was far too low. With the start of the special programme of the Reconstruction Loan Corporation for industrially built houses in September 1993, however, it was possible to considerably increase the rehabilitation rate. By the end of 1994, rehabilitation work had been carried out in around 550,000 apartments.

The initially low investments in the housing stock were attributable to several factors: Due to the restructuring and organisational measures, the housing companies were unable to start the rehabilitation work quickly. In addition, the financial imponderabilities at that time (old liabilities) were a further cause of a low propensity to invest. The arrangements for the old debts and the increased basic rents have now at least created the financial scope to permit more intensive rehabilitation. In 1993, the communal and social housing companies have carried out rehabilitation measures far more frequently than in earlier years. Their investments for modernisation measures in 1993 of almost DM five thousand million is twice that of the previous year.

#### **4.3.5 Social Assurance of Housing**

The housing availability in Germany is based on the "social housing market economy". This term contains the two key points of the State housing policy in Germany. In general terms: Housing is socially assured by selective subsidies for houses, price controls and price limits for apartments, through apartment-specific transfer payments to certain groups of residents, by tenant protection in the rent laws and by the planning and protection of uses in building and planning laws. The most important criteria according to which the instruments of social assurance of housing are used include the size of the household, and in particular the number of children, and the income situation. Households of single-parent families or with handicapped members of the household receive additional support within the scope of the existing instruments.

##### **Rent allowance**

One of the most important instruments for the social assurance of housing is the rent allowance. It is paid to tenant households as a rent supplement according to the size of the household, the household income and the burden of the housing costs (subject support). For households with home ownership, rent allowance is paid as a supplement to the debt burden in order to reduce the burden of loan repayments and day-to-day costs. If the appropriate circumstances exist, there is a legal entitlement to the receipt of rent allowance.

The importance of the rent allowance is different in East and West Germany: Whereas some six percent of households in the old Laender received rent allowance in 1992, the corresponding figure in the new Laender - also as a result of the more favourable conditions for the receipt of rent allowance - was around 30 percent. Without rent allowance, the necessary transition of the housing market here from

the planned economy to a social market economy would not have been possible without significant social hardships, as the rent burden for the households has risen sharply in some cases. The rent allowance reduces the rent to be paid by tenants themselves by around a quarter (gross rent without heating) in the old Laender, and by roughly one third (gross rent with heating) in the new Laender. The Federation (DM 3.7 thousand million) and the Laender (DM 3.1 thousand million) together paid a total of DM 6.8 thousand million in rent allowance in 1992.

### **Social housing construction**

Object support on the basis of the second Housebuilding Act as last amended in 1994 also contains social components. On the one hand there is the occupancy obligation which ensures target group-specific access to the apartments, and on the other hand there are rent limits which make housing cheaper. Promotion of social housing construction was a nationwide focal point particularly during the reconstruction phase in the '50s and the urban expansion of the '60s and '70s. Social housing is particularly important for lower-income households in the agglomeration areas of West Germany with their high rent levels. A large proportion of these homes also have occupancy rights and are assigned to households according to social urgency criteria by the communal housing offices.

### **Housing construction cooperatives**

Many of the housing construction cooperatives which were originally set up for reform-oriented reasons are, in the meantime, "normal" housing companies, but still provide affordable housing and offer their members a high degree of social assurance. The main characteristic of these cooperatives is the principle of self-help. Through their own financial participation and labour in housing construction, the cooperatives can reduce the construction costs and form cooperative property.

In the mid-'90s there are now some 2,000 housing cooperatives with three million cooperative members in Germany. The around 2.1 million homes belonging to these cooperatives are split more or less equally between East and West Germany. More than 80 percent of the cooperatives' homes were built after the Second World War. The cooperatives are relatively well represented in East Germany. This is related to the founding of numerous workers' housing cooperatives in the former GDR in which housing construction for the employees of the industrial companies was concentrated. In the meantime, the majority of the housing cooperatives in the new Laender have become "normal" housing companies and form part of the General Association of the Housing Industry (GdW).

### **Rent law**

Safe and affordable housing for all is also assured by a social rent law. Tenant protection is thus a prerequisite of the social constitutional state. It is based, in particular, on the principle that even the rented home is the central point of everyone's private existence. Every individual is reliant on its use to satisfy the elementary needs of life, to assure his freedom and to develop his own personality.

Tenant protection is essentially the assurance of the status quo. This means that a tenant who behaves in accordance with the rental agreement is protected against groundless and arbitrary ejection. Only in a few exceptional cases, for example the owner's own needs or the hindrance of appropriate economic disposal or behaviour by the tenant contrary to the rental agreement can the landlord give notice to quit. By analogy with this, notice to quit with the option of continued residence under altered conditions, i.e. notice to quit for the purpose of implementing rent increases, is not permissible.

As a general rule, notice to quit may not be given for the purpose of increasing the rent. Rents can only be demanded up to the level of the normal local rent for comparable housing and may only be increased to a limited extent (maximum 20 to 30 percent within three years). Private landlords are bound by local rent levels in setting their rents. The local rent levels reflect the price level on the housing rental market with its differences (comparative rent system). Arbitrary notice to quit is ruled out. In the event of damage, tenants have the right to demand repairs or a corresponding reduction in the rent. Apartments and houses must always be kept in good order by the landlords without this having to be paid for by the tenant. These regulations protect the tenants against social hardships. Tenants' associations, tenants' self-help groups, offer nationwide support in exercising tenants' rights, in representing the interests of tenants in the housing and rental policy and guarantee information and enlightenment on tenants' rights.

### **Urban planning laws**

Social assurance functions are also necessary in the field of urban planning. Functional conflicts can result in a threat to the housing function in just the same way as changes in land prices. It is therefore understandable that the social assurance of housing has to be integrated into the Building Code in a number of ways. Planning laws include, for example, elements of information and participation of residents. The furthest developed of these elements is the participation of the residents in urban rehabilitation. Even the residents of districts with low social prestige and predominantly low incomes ("poor people's districts") are not left without protection in the reassignment of housing. The residential function generally enjoys a certain existential protection in urban development plans. A further important instrument in the field of urban planning are the statutes in accordance with the Building Code. The preservation principles, in particular, restrict the structural changes and changes of function of plots and buildings to the absolute minimum in the interest of keeping a generally economically weak local population in the residential area.

### **Communal activities**

The state instruments of the Federation and the Laender are complemented by communal activities. In addition to the housing supervision which monitors the proper use of the housing, the communes can also employ homes to which they have occupancy rights to provide certain groups of the population with homes. The towns generally also have their own housing companies who are linked to the communal

housing policy objectives. The communes are bound by the legislation of the Federal government and the Laender, but still have adequate scope for manoeuvre, for example in drawing up catalogues of criteria under social aspects according to which homes subject to occupancy rights can be assigned.

However, the number of homes with occupancy rights is declining because the public sector financial aids given for the social housing have to be repaid by the owners over the years so that the status of occupancy and price-bound social homes is lost. Nevertheless, numerous homes with affordable rents and without deterring occupancy preconditions must be kept available on the "free" market so that not only the economically stronger groups have a chance on the housing market.

Notwithstanding the special situation on the housing market after Unification, Germany is currently undergoing a phase between a continued and stable social assurance of housing as a result of state intervention and a deregulation of parts of the "housing" system. This applies in particular to the accelerated loss of rent and occupancy bonds on social housing resulting from the measures taken by the state. Social housing is being moved onto the free market and is no longer available to the communes for assignment according to social urgency criteria.

The number of people who are unable to find housing on the market is therefore increasingly overtaking the number of homes which the communes are able to provide to these groups. In more pointed terms one could say that housing is socially assured, but the way to the home represents a hurdle which is often too high for many people, and a road which leads in the most extreme of cases to homelessness.

## 4.4 Sustainable Development of the Urban Infrastructure

The safeguarding and improvement of urban infrastructure in Germany are aimed at tackling two problems and achieving two objectives. First of all, the aim is to eliminate large regional differences in basic services that still exist, particularly between East and West, and to safeguard the existing level of essential services, even in times of great social change and limited financing capacity on the part of the public sector. This applies above all to the social infrastructure. Secondly, the technical infrastructure of basic supply and disposal services, including transport facilities, has to be maintained and renewed with the aim of improving the environmental balance in cities and thus preserve the natural bases of life.

### 4.4.1 Sustainable Urban Traffic Policy

In view of the high road network density in Germany, it is becoming increasingly evident that exclusively transport-related approaches can no longer guarantee solutions to traffic problems that are compatible with the environment and with urban planning objectives. Cities want to solve their traffic and environmental problems, which are

growing concomitant to the rise in the number of cars, in other ways than by constructing new roads or further developing existing ones because of the counterproductive effects, as evidenced in past decades. The objective in the '90s is to adapt the type and magnitude of transport to the cities, their roads and spaces as well as to the needs of the people living and working there - and not the other way around.

To make sure that cities can continue to perform their function as economic, trade and cultural centres and, above all, as places to live, measures must be taken to reduce avoidable traffic in cities as far as possible and to carry out unavoidable transport in the most environmentally compatible way possible. Some of the major elements of such an environmentally compatible urban transport policy will be presented in the following.

New road construction guidelines and recommendations, for example, provide municipalities today with significantly greater scope in dimensioning and designing road cross-sections. The guidelines and recommendations make it possible to "slow down" cars in street traffic. The most important aim of a new guideline, especially for main traffic routes, is integration of these major problem roads into the urban planning concept. This means, inter alia, that rights of use of the surrounding and adjoining housing units, shops and places of work have to be restored. The priority given to cars for many years is over.

Widespread traffic abatement is an essential principle of the new generation of guidelines and recommendations for town- and use-compatible reorganisation of urban traffic. This includes preliminary structural and infrastructural, traffic-regulating and organisational work. According to the experience of a large-scale, nationwide pilot project in Germany, widespread traffic abatement can improve the urban development situation, traffic conditions and the environmental quality in cities.

#### **Buxtehude: An example of widespread traffic abatement**

The example of Buxtehude from the pilot project on "Widespread Traffic Abatement" carried out by the Federal Ministry for Regional Planning, Building and Urban Development demonstrates how successful such concepts can be. The action concept is essentially based on the widespread introduction of a 30-kph speed limit, supplemented by relatively few traffic-regulating and structural measures. The sequence and interplay of these measures are designed such that they generate uniform driving behaviour and a slower traffic flow. This has resulted in substantial reduction of noise and exhaust gases and has thus considerably improved environmental and living quality. A generally important result of the pilot project is the fact that the improvement in the residential environment created through widespread traffic abatement and the upgrading of the quality of urban development have increased satisfaction with living conditions and fostered local identity. As a consequence, these areas benefit from significant gains in attractiveness over other parts of the town, especially regarding transport-related activities. Overall, this leads to a change in transport use behaviour.

The population orients itself more to the local area, there is a rediscovery of "closeness", so to speak.

Widespread traffic abatement is particularly effective if it is integrated into comprehensive concepts for overall urban transport planning. Elements of such a concept include traffic abatement, which must also involve main traffic routes, systematic promotion of local public transport, for example by means of additional lines, an attractive fare system and offensive public relations. Another component is the creation of a dense, city-wide network of cycle paths, including sufficient places for putting bicycles in public areas. Finally, it is important to ensure overall parking space management, which has proven to be a decisive instrument for controlling inner-city road traffic.

In particular, **promotion of local public transport** has gained importance in recent years. Greater use is made of funds for municipal road construction in order to support an environmental approach involving integrated promotion of local public transport and similar facilities as opposed to automobile use. The local public transport system is being increasingly expanded, even in small and medium-sized towns that were previously not considered suitable for effective local public transport because of a presumed lack of demand potential and were therefore virtually unable to receive funds. Establishment of urban bus systems in Bad Salzufflen, Radolfzell and other middle-order centres shows that great success can also be achieved in smaller towns with relatively little expenditure and that living conditions can be improved significantly, not only for people who do not own a car.

#### **Karlsruhe region: An example of successful local public transport policy**

The Karlsruhe region is frequently mentioned as an example of successful local public transport policy. It is characterised by an urban railway connection between the inner city of the high-order centre and the surrounding area, while using rail sections of the German Railway. This results in the establishment of new direct connections, which in some cases even perform local transport functions in the centres of the surrounding region through the creation of additional stops. Since 1980 the rail network has been expanded from 75 to 135 kilometres and enormous growth has been achieved regarding the number of passengers. Roughly 2,000 passengers daily were counted by the German Railway on the train that runs hourly, serving the most recent connection between Bretten and Karlsruhe. This figure has not changed up to now, whereas the urban railway has gained over 10,000 new passengers daily on the same section.

Nevertheless a comprehensive regional study going beyond the transport-related effects on individual routes has yet to be conducted. Examples of open questions include: development of automobile availability, use of the car in the surrounding area by other members of the household now that it is available as a result of the changeover to public transport, and development of the retail trade in the surrounding municipalities subsequent to improved accessibility to the high-order centre. Virtually no reduction

in automobile traffic to and from Karlsruhe was observed. Since it was again possible to drive to the centre without any major hindrances, the effect of the shift to the urban railway was cancelled out by the evidently latent demand of other drivers.

Even such an emphatic policy in favour of local public transport does not necessarily contribute to the attainment of goals such as reduction of environmental stress or improvement in the quality of the location for industry. Therefore, it has to be supported by measures that give greater priority to non-motorised transport.

**Urban-compatible and environmentally sound organisation of the necessary urban commercial traffic** has become a more and more urgent task. Cooperative solutions, such as city logistics, are a conceivable way out of this problem. The objectives are to bundle delivery transport, to make better and more efficient use of cars and thus reduce travel frequencies. The relief effect of cooperation-based transport is significant. By designing such cooperation concepts accordingly, it would be possible to eliminate up to 50 percent of the current number of trips.

This frequency-saving potential cannot be projected onto the entire inner-city commercial traffic, however, because the collection and distribution transport of forwarding companies only makes up a limited share of that. Significant relief effects in the city are only possible if all businesses (have to) participate, particularly the retail trade. Estimates of the medium-term relief provided through cooperation in delivery transport assumes 10 to 15 percent fewer vehicles in the city centre.

In view of this background, development of local action concepts are recommended for commercial traffic. Cooperative solutions could be supported by means of incentives and requirements. The short- and medium-term measures include, on the urban development side, locally adapted, time/space specifications for delivery and, on the part of businesses, flexible personnel assignment, differentiated receiving of goods organised together with the senders or carriers as well as the setting up of centralised intermediate stores or joint ramps.

In all new projects, such as the construction of shopping centres, redesigning of pedestrian zones, location planning and specification of the range of services provided by cargo transport centres, it would be useful, also for the purpose of avoiding later stress, to discuss or test urban development strategies in advance (for example, with a delivery ordinance as part of building approval, agreements according to public law concerning delivery, variable construction site management and the like).

A convincing example of the success possible through implementation of such an **integrated transport concept** is the city of Freiburg. In spite of the constant growth in motorised traffic, alternative means of transport have been strengthened there and the traffic volume of vehicles used for local transport in Freiburg has been reduced to the 1970's level.

## Urban development and transport-related strategies for Oranienburg as a "City of short distances"

	Urban development strategies	Transport-related strategies
City centre	<ul style="list-style-type: none"> <li>&gt; "picture of the city", making use of historical relations</li> <li>&gt; diverse use mix/sectoral mix</li> <li>&gt; attractive leisure-time areas (squares, arcades, passages)</li> </ul>	<ul style="list-style-type: none"> <li>&gt; central development of local public transport</li> <li>&gt; car-free/low car frequency zones</li> <li>&gt; concentrated parking at periphery of centre, park and ride if applicable</li> </ul>
City district centres Residential area centres	<ul style="list-style-type: none"> <li>&gt; safeguarding basic local services</li> <li>&gt; combination with schools, cultural institutions, etc.</li> </ul>	<ul style="list-style-type: none"> <li>&gt; local public transport connection (oriented to demand)</li> <li>&gt; catchment area oriented to footpaths and cycle paths</li> </ul>
High population/housing density	<ul style="list-style-type: none"> <li>&gt; locations close to centre</li> <li>&gt; shaping of residential environment</li> <li>&gt; open space near home</li> </ul>	<ul style="list-style-type: none"> <li>&gt; good development of local public transport</li> <li>&gt; internal network of footpaths and cycle paths</li> <li>&gt; concentrated parking at edge of residential area</li> </ul>
Low population/housing density	<ul style="list-style-type: none"> <li>&gt; allocation to municipal area</li> <li>&gt; organised in "neighbourhoods"</li> </ul>	<ul style="list-style-type: none"> <li>&gt; accessibility to local public transport (bike &amp; ride)</li> <li>&gt; space-saving development</li> </ul>
Industry, trade, business, etc.	<ul style="list-style-type: none"> <li>&gt; maintain distance to sensitive uses (to the extent necessary)</li> <li>&gt; land recycling</li> </ul>	<ul style="list-style-type: none"> <li>&gt; ensure / enable rail connection</li> <li>&gt; connection to routes suitable for heavy traffic</li> </ul>
Administration, services	<ul style="list-style-type: none"> <li>&gt; locations near centre</li> <li>&gt; use-compatible mix with housing, shopping facilities, etc.</li> </ul>	<ul style="list-style-type: none"> <li>&gt; good development of local public transport and cycle paths</li> <li>&gt; limited parking space for employees and visitors</li> </ul>
Leisure-time and recreational institutions	<ul style="list-style-type: none"> <li>&gt; activities offered near home</li> </ul>	<ul style="list-style-type: none"> <li>&gt; accessibility primarily without car</li> </ul>
<p>Source: Model city for environmentally sound transport. Final summary report of Studiengesellschaft Verkehr mbH, Berlin et al.; prepared on behalf of the Ministry for the Environment, Conservation and Regional Planning of the Land Brandenburg, May 1993</p>		

### Freiburg: An example of an integrated urban concept

The concept pursued here includes systematic promotion of local public transport, for example through the construction of new tram lines out to the surrounding area and in pedestrian zones, an attractive fare system with a pioneering "environment ticket" as well as offensive public relations work. Another element is a consistent traffic abatement policy, including major traffic routes, with a speed limit of 30 kph in all residential areas of the town and extensive pedestrian zones in the centre. The concept is rounded off with a dense and city-wide network of cycle paths with supplementary facilities as well as overall parking space management. By means of this comprehensive transport concept, it has been possible to restrict car traffic, contrary to the general trend, and to strengthen alternative means of transport significantly.

A solution can be found for the problems related to traffic only if one tackles the causes, i.e. the point where traffic is created in the first place. Cities play a key role in this context because a large portion of total traffic is influenced by internal municipal use structures. Cities can implement planning concepts for traffic avoidance directly based on their competencies. The communal master plan also has ways of controlling the volume of traffic - to the extent that it takes the "traffic relevance" of the various uses into account in its considerations and integrates current specific transport concerns into the objective of avoidance of superfluous traffic.

The long-term goal of urban-compatible transport policy is a **city of short distances** that generates minimal traffic and increases the prospects of an environmental approach involving integrated promotion of local public transport and similar facilities as opposed to automobile use. Shorter distances can be covered more easily on foot or by bicycle, while buses, trams and trains can be deployed more efficiently and thus more frequently. For local transport within cities, regardless of their size, this means a mix of inner-city uses: a balanced ratio between jobs and employed persons so as to reduce the transport expenditure per employee. Housing and jobs as well as shopping and public facilities must be brought closer together. The city of short distances also involves the strengthening of the various districts to avoid unnecessary trips to the centre. The districts should offer sufficient jobs, shops, municipal administration offices and social institutions in relation to the respective population.

### 4.4.2 Sustainable Supply and Disposal Infrastructure

#### Energy supply

Safeguarding and improving the energy supply is above all environment-oriented. In the '80s the focus was on reduction of the classical air pollutants (for example, NO<sub>x</sub>, SO<sub>2</sub>). These classical pollutants have greatly declined, to some extent due to implementation of the ordinance

concerning large combustion plants applicable to the generation of electrical energy at power stations. Within less than ten years SO<sub>2</sub> emissions have declined by 87 percent, NO<sub>x</sub> emissions by 71 percent and dust output by 84 percent thanks to, in particular, the retrofitting of equipment in existing power stations and shutting down of old power stations.

At the latest since the 1992 UN Conference on Environment and Development in Rio de Janeiro, focus worldwide and thus in Germany, too, has been on reduction of climate-relevant gases like CO<sub>2</sub> and methane. The vast majority of energy-related CO<sub>2</sub> emissions can be reduced in the three consumption sectors of room heating, transport and power stations, where there is the highest potential for reducing CO<sub>2</sub>. The climate protection objective of the German federal government, i.e. cutting CO<sub>2</sub> emissions on the basis of 1987 figures by 25 to 30 percent by the year 2005, must therefore be achieved predominantly through improvements in room heating, transport and power stations.

Saving fossil fuels plays a special role with regard to CO<sub>2</sub> output. The amendment of the Thermal Insulation Ordinance and the ordinance concerning small combustion plants in Germany were initial steps in this direction. Other major factors include better coordination in further development of the line-networked energy infrastructure and the demand for energy. The deployment of efficient power supply systems and thus of decentralised, small-scale combined heating and power stations should be improved. Energy concepts, which have now been elaborated by most large cities and municipalities, are important instruments for coordination and implementation.

In these energy concepts the objectives and interests of different actors are coordinated with one another at local and regional level:

- Municipal and regional development planning is coordinated with plans regarding energy supply.
- The specifications concerning reduction of heating needs (for example, thermal insulation on buildings) are coordinated with heating supply work (for example, expansion of the district heat supply).
- Individual economic investments (for example, those of home-owners, industrial and commercial enterprises, owners of public buildings) are coordinated with one another.

Energy concepts are an informal planning instrument. They help in making decisions for long-term implementation of energy and climate protection policy objectives under the actual conditions of the regional and settlement structure. Energy needs and energy-saving potential were derived from the respective settlement structure. Approaches are emerging for a better combination of settlement structure planning and energy planning. Successful implementation of such approaches requires close cooperation between urban development planners, local public utilities and regional public utilities.

Energy concepts essentially consist of two parts:

- The analytical section represents supply and demand; on the one hand, the structure of buildings, purchase potential of households and enterprises, energy-saving potential as well as sources of waste heat and, on the other hand, use of energy sources, saved energy and regenerative sources of energy.
- The further development concept stipulates priority areas for district heat and gas supply and specifies a flow chart for converting heating systems into line-networked energy systems. This procedure takes into account the technical and economic scope for providing basic services, social acceptance, urban development concerns and the customers' willingness to be connected to such systems.

#### **Rottweil: An example of a restainable municipal energy policy**

In the '80s the municipal public utility in Rottweil had already made the slogan, "think globally - act locally", its maxim for taking action. The greenhouse effect, the risks of large-scale technology as well as worldwide distribution problems were reasons for reconsidering the method of municipal power supply practised at that time. The public utility is making consistent efforts to make more efficient and environmentally sound use of energy and regenerative sources of energy. It is not only exploiting the opportunities for efficient energy utilisation on the supply side, but is also developing saving potential in households, business, trade and industry on the demand side. In the end, however, the aim was to demonstrate that decentralised, municipal, environmentally sound energy supply pays off and can be provided economically.

The measures are primarily aimed at decentralising the energy supply so as to exploit to a substantial extent the potential of combined heat and power in a municipal structure. For example, 50 block-type heating and power station modules in 25 decentralised power and heating stations essentially provide for power generation, with a degree of energy utilisation of 85 percent in comparison to 35 to 45 percent for large power stations. The basis of the Rottweil model is "thinking in terms of saved energy". Wherever it appears possible, conventional sources of energy are replaced by renewable sources of energy. All flat roofs in Rottweil have been equipped with solar collectors. A dump gas plant supplies 500 households with power, the first wind power station supplies electrical energy to 15 households.

Another innovative concept in Rottweil is the possibility of leasing solarmobiles from the public utility. Finally, the public utility rents heating rooms in private homes in order to install the latest and most economical heating techniques at its expense. The home-owners receive a reward, and maintenance is carried out by the public utility. In Rottweil special importance is attached to provision of information facilities, such as advice on natural gas, a household appliance programme, heating cost comparisons, etc. A "Rottweil 2010" scenario has set its sights on reducing the

city's energy requirements in the year 2010 to a fourth of current consumption.

#### **Freiburg: An example of energy supply oriented to climate protection**

The city of Freiburg in Breisgau is an example of giving consideration to high energy-related requirements in settlement and building planning. Rules for passive and active utilisation of solar energy are taken into consideration in preparing the local development plan for the planning of a new city district with a population of 10,000 to 12,000. The plan calls for the construction of low-energy buildings with even stricter requirements than those stipulated by the amended Thermal Insulation Ordinance. In the first configuration stage the room heat and hot water supply is provided through connection to a nearby heating station, which will later be converted into a combined heat and power plant. At the same time small, decentralised block-type heating and power stations fired with wood chips are to be set up as local heating islands and later linked up to each other to make decoupling from the combined heat and power station possible. In the third configuration stage, after roughly 20 years, the new housing estate is to be supplied with power and heat such that no additional CO<sub>2</sub> output is produced by simultaneously setting up and further developing a photovoltaic system.

#### **Water/sewage/waste**

Supply of drinking water, sewage treatment and waste management number among the self-administration tasks of local governments. These tasks are usually performed by inter-municipal associations or other public-law and private corporations, particularly in smaller municipalities.

##### • **Water supply**

The public drinking water supply in the old Laender has attained a high degree of security and reliability of supply, both with regard to water volume and drinking water quality. Considerable investments in measures for the development and expansion of water resources as well as in the regional network of water lines have contributed to this situation. Water-works have been modernised and have had to install additional water treatment methods in some cases in order to counter the increasing pollution of untreated water due to pesticides, nitrate and other contaminants. For these reasons, inter alia, and because public subsidies were cut and a water price covering costs had to be introduced, water prices have risen significantly.

To ensure that water prices remain socially compatible in the future and water resources protected, an attempt is being made to lower the specific water consumption per resident with the help of information and advice. Consumption of water, which was at a level of 145 litres per resident and day at the beginning of the '90s, can be reduced by up to 20 percent through water-saving fittings, economical consumption behaviour and appropriate water rates.

Wherever it is possible and meaningful, rainwater is increasingly being used for flushing toilets, washing clothes

and watering the garden, and small industrial water networks are being promoted. In any case, saving water and using industrial water have priority over further development of long-distance water supply.

In the new Laender the task is a completely different one. Water treatment methods and line networks there have to be completely renewed in some cases so as to comply with the Drinking Water Ordinance of the European Union.

##### • **Sewage purification and precipitation water management**

For decades the policy of "urban drainage" was dominated by "sewage elimination" with a high degree of drainage comfort. Technical standards were designed with an eye to rapid discharge of precipitation and waste water. Large sewage pipes and treatment plants were the consequence.

Discharge of sewage at specific sites in the past - sometimes with inadequate treatment - led to considerable quality-related problems in the various bodies of water. A high degree of surface sealing of streets, squares and paths caused peak high-water levels to rise and the groundwater level to drop over large areas - with corresponding negative consequences for vegetation and climate in larger and larger agglomerations. This led to a new orientation in sewage disposal in the '90s: the new catchphrase is "precipitation water management".

"Urban drainage" efforts in coming years will be more intensively directed at decentralised discharge and infiltration of roof waste water and minimally polluted street waste water. This is how precipitation water management is defined. Substantial costs related to flood protection and to the expensive large-scale construction of sewage lines and treatment plants can be saved as a result.

#### **Hameln-Tündern: An example of widespread rainwater infiltration**

As a rule, rainwater from roof surfaces and from all paved surfaces, such as roads, paths, parking places, etc. is fed to flowing bodies of water via the sewage system today. The volume of rainwater discharged in this way in our cities is rising along with the increase in developed and sealed surfaces. This means that the sewage system and treatment plants are increasingly overloaded. In connection with the ecological restructuring of cities, an attempt is being made to allow non-polluted rainwater from roofs, paths, squares and terraces to infiltrate in the ground as much as possible. The idea is for this water to be fed into the ground or groundwater but not into the sewage system. Such efforts are closely linked to unsealing measures. Finally, rainwater is collected in cisterns so it can be used as industrial water.

Such a project for widespread rainwater infiltration is currently financed by the Federal Ministry for Regional Planning, Building and Urban Development within the framework of the Experimental Research in Housing Construction and Urban Development at Hameln-Tündern. Tündern is a suburb of Hameln with a village structure. The starting point for this project was the overloaded mixed

sewage drain system. Heavy rains may cause flooding and unacceptably high pollutant levels. The construction of decentralised rainwater infiltration systems in the entire municipal area is an alternative to rebuilding the existing sewage system. Such infiltration of precipitation water is possible on nearly 90 percent of the land. As a rule, infiltration should take place via hollows covered with greenery and having a depth of 20 to 30 centimetres.

A major prerequisite for high purification efficiency in treatment plants is strict separation of precipitation water and household sewage, though polluted road sewage also has to be treated. There are still deficits in some cases in this area. Purification of all household sewage had high priority in the old Laender in past years. Nearly 95 percent of all residents are connected to a public treatment plant. By the year 2003 all plants are additionally supposed to meet the sewage regulations of the European Union with the second purification stage. In small villages and on individual farms three-chamber cesspools, settling ponds or reed sewage treatment plants can provide appropriate purification services.

The sewage systems in the new Laender are in a completely desolate condition. The initial focus there is placed on modernisation of treatment plants in larger cities through considerable public funding.

#### • **Waste management**

Waste disposal is posing great problems for municipalities and corporate bodies required to carry out disposal. The high volume of waste in an industrial consumer society concentrated in densely settled areas leads to major crises in waste disposal in some cases. New landfill areas are virtually impossible to acquire and bottlenecks bring about a salutary reorientation of current waste disposal policy. Waste avoidance, waste reduction, recycling and, only as a last step, waste disposal of the remaining, non-usable substances represent a clear ranking of priorities. The Waste Management Act has created the legal framework for a consistent policy of waste avoidance.

In coming years municipalities will be faced with the task of completely reorganising waste disposal. Separate collection of paper, glass, metal, plastics, organic wastes, hazardous waste, bulky waste and residual waste as well as the creation of appropriate collection, handling, sorting, utilisation, incineration and landfill systems are a logistic and organisational challenge for the present and for the future. A consistent municipal waste avoidance policy must continue to be supported by waste consulting services provided to citizens and small enterprises and by systems of charges and taxation rates that promote waste avoidance. The municipalities themselves can also contribute to waste avoidance at municipal institutions through use regulations and appropriate procurement guidelines.

Many municipalities are taking new paths in the utilisation of waste for generating energy and are, at the same time, making a contribution to CO<sub>2</sub> reduction. In Germany large quantities of dump gas are currently released at landfills for untreated settlement wastes. On the basis of around 160

cubic metres of gas per tonne of waste annually and 40 million tonnes of waste per year, roughly 6.4 thousand million cubic metres of dump gas are produced every year with an energy content that can be used to generate power. Plants for converting dump gas into electricity are already in operation, for example at the Lampertheimer Wald landfill in Hesse, at the Sengenbühl landfill in Bavaria, at the central landfill of the county of Hildesheim in Lower Saxony and at Mössingen, Baden-Württemberg.

### **4.4.3 Assurance of the Social and Cultural Infrastructure**

#### **Social institutions and services**

From an international perspective the existing social institutions and services in the old Laender can be assessed as very good. In the new Laender, however, qualitative improvements in the infrastructure are urgently necessary in many cases. In Germany as a whole, a rising need for social institutions and services can be expected due to demographic and social changes. The reason for this is that the original social functions of the family are increasingly shifted to the public sector as the number of elderly people within the population rises at a significant rate.

The Federation and the Laender support the cities in providing them with social infrastructure through financial aid for investments. For example, funds of the Federation for the promotion of urban development are used, inter alia, for the "construction and modification of primary and secondary facilities". The Federation assumes a third of the costs. A number of additional special programmes of the Federation are particularly intended to promote social infrastructure in Eastern Germany. The Laender support the further development of social infrastructural facilities through general and specifically earmarked funds ("earmarked grants").

To ensure that social infrastructure will be provided for according to need in the future as well, old strategies were reconsidered and new ideas developed in past years. They have been implemented in practice only to a limited extent, however. New strategic approaches are primarily aimed at countering altered demand structures with altered forms of supply. The scarcity of funds that have been available from public budgets for a long time has been taken into account. The connection between optimal user aspects and low cost is a key principle of planning that is being implemented through **new infrastructural facilities and flexible forms of use.**

#### • **Creation of new infrastructural facilities**

New counselling services are intended to defuse **severe** social problems before they have any **aggravating effects**. Problem areas for counselling include family and upbringing, elderly persons, aliens, social problems, addiction and drugs, health, nutrition, school, housing and consumption. Up to now the social services have operated by reacting to obvious **cases** of need and problems, but in

future the focus will be placed on early detection at social hot spots.

**Counselling centres** offer both individual and group counselling at no charge or for a minimal fee. Moreover, they organise public events to provide information on specific current topics and problem areas. The counselling services make an effort to act preventively in encompassing all aspects instead of tackling specific problems. Health, social, cultural and integrative as well as economic problems are seen in an interrelated context. Exemplary counselling services include new initiatives of regionally oriented health insurance companies (AOK), the various activities of institutionalised social work, church-run institutions with different focal points ranging from educational and family counselling to spiritual support on the telephone and, last but not least, the addiction and drug counselling centres in Germany that are oriented to psychosocial and social stability. The magnitude, the financing bodies, the financial bases and the work spectrum of these various counselling centres differ greatly in practice.

The new approaches place greater emphasis on and promote to a greater degree the principle of helping those concerned to help themselves. Social institutions are opening up accordingly. Examples include integrated day nurseries, schools and workshops for handicapped and non-handicapped persons, solutions to problems in shared flats, support of problem cases in the residential environment and avoidance of putting people in homes. At the same time, these socially integrative institutions and initiatives foster sociocultural work, such as encounters between German and foreign residents in city districts. The situation of different nations living next to each is supposed to become one of different nations living with each other. In addition to such informal, self-organised events, there are also institutionalised bodies, like the officials responsible for looking after foreign immigrants or advisory bodies of foreign residents in communes and Laender.

For a long time social infrastructural planning favoured stationary institutions. Now the sociopolitical principle of "mobile rather than stationary" has come to the fore. Giving priority to the development of mobile services has several advantages: the services do not cost less, but they allow the people concerned to remain in their familiar environment and thus include family and neighbourhood contacts in their work. Since the beginning of the '80s, a standardised organisational form of mobile services has developed in Germany, the so-called "**social ward**".

The **social wards** are designed to provide nursing care (home care), domestic services as well as family care. The activities involving care are financed by the health insurance companies while the domestic services are provided in return for minimal payment. Moreover, the social wards are financed through state subsidies and grants from the communes. Institutional bodies that finance the social wards include welfare associations and churches as well as communes. One of the main characteristics of the German social wards is the fact that qualified personnel for care and assistance comes to the people's homes while those in

need go to the central social ward to receive assistance and counselling.

#### • **Flexible use of the social infrastructure**

The strategies involving more flexible use of social infrastructural facilities than in the past pursue several aims:

- saving costs relating to operation and construction or expansion of facilities and services;
- greater proximity to home through small, differentiated but combined organisational units and decentralisation of facilities and services;
- capability of reacting quickly to fluctuations and peaks in user demand (demographic waves, in-migration and out-migration);
- combining social, educational, cultural and leisure-time activities with social synergy effects.

These communal policy aims are achieved through planning of social infrastructure in several ways:

- making rigid standards and guidelines for planning more flexible, favouring services and activities that are recognised at an early stage, are adapted to the local situation and the specific problems and are variable regarding time and place;
- promotion of multiple and multi-purpose use at the facilities as the basis for programme coordination within the social sphere itself, but also between the social, cultural and leisure-time spheres - in the end, for the purpose of saving costs related to personnel and operation as well;
- promotion of social networks through sociocultural initiatives in the city district and residential environment as an offered learning activity.

#### **Health institutions**

The, in principle, non-state nature of the health system in Germany causes a splitting of competencies at the municipal level in two respects:

- according to the financing body (state and communal financing bodies, social security institutions as well as independent and non-profit making bodies and their associations);
- according to the type of service (health protection, health care, illness analyses and preventive care).

This leads to an organisational diversity of activities carried out by institutions that poses enormous control and organisational problems for every city. In spite of this, there are numerous more or less institutionalised activities in the diverse areas of health care and health protection, organised into subdivisions, such as communal psychiatry, dental prophylaxis, protection against pollution and education for the avoidance of harmful behaviour. There is also a lack of organisational integration as well as interdisciplinary planning and control. Therefore, models for

integrated communal health planning have been developed recently and tests have been carried out in three cities of very different size, Cologne, Osnabrück and Kronach. However, initiatives of this kind have not advanced much beyond the beginning phase yet.

Many cities regard health care more and more as health promotion. Health promotion is aimed at creating living environments that foster good health and calls for a reorientation of health services. This strategy is supported, for example, by an action project, "Healthy Cities", of the European office of the World Health Organisation (WHO). In addition to the international network of cities linked to WHO, there is a so-called "Healthy Cities Network Initiative" in Germany in which a large number of cities have joined together to achieve the objective of a "healthy city" by means of very different approaches and projects.

The city of Bremen, for example, has placed its focus on urban related health in old age while Munich is carrying out two projects: "Healthy children in the city" as well as creation of a functioning cooperative structure between local administration and health policy and health-promoting projects. Hamburg pursues similar aims, namely cooperation between informal initiatives for health promotion and the health authorities. In Nuremberg, on the other hand, the advantages of decentralised procedures are being tested with the aim of district-oriented health promotion.

#### **Leisure-time and cultural institutions**

The range of public recreational facilities essentially consists of the sports infrastructure. Sports facilities have a strong lobby in the sports clubs (roughly 24 million members) so they have a major influence in municipalities. The demand is determined and priorities set for medium-term development planning on the basis of benchmark figures. The locations and required areas are secured with the help of the communal master plan.

For a long time now the high degree of sensitivity to pollution on the part of the population has led to conflicts concerning the construction of sports facilities. Noise and traffic stress give rise to strong resistance among the surrounding population, particularly in residential areas. In past years strict noise protection regulations frequently prevented the construction of new facilities or expansion of existing ones at locations in residential areas and eliminated old sports facilities near residential housing. This problem has been somewhat alleviated through changes in the applicable regulations in favour of sports and leisure-time facilities (last in 1994).

The large number and regional diversity of cultural facilities, for which Germany is internationally well known, not only apply to the traditional sectors of so-called "high culture" (theatre, orchestra, libraries, art galleries and museums, archives, etc.). It equally applies to the decentralised, often district-related institutions of educational and social culture. In addition to adult education centres and music schools, libraries, youth centres, cultural and community centres, a great number of private, independent and self-organised activities take place (independent groups, artists' centres,

women's culture, media projects, etc. with the aim of "culture for and by everyone"). These sociocultural activities draw their vitality and originality from the diversity of their financing bodies, financing sources and organisational forms.

Altered patterns of leisure-time activities and cultural participation (individualisation, differentiation of demand), German unification and, above all, the narrowing of financial scope for manoeuvre, however, have changed, to an equal extent, the financing, organisation as well as the range of services and activities offered by leisure-time and cultural institutions in recent years. There is increasing focus on the objective of extensively maintaining the breadth and diversity of the existing services and activities offered. The following are being discussed as general measures: combining or shutting down institutions; flexible use instead of specialisation; shift to other financing bodies (sponsors, patrons, foundations) and new partnerships with the art and culture sector.

Examples of altered orientations include:

- greater interlinkage of cultural, leisure-time and sports policy, on the one hand, and urban planning, youth and social policy, on the other;
- greater consideration for compensating services and activities aimed at socially disadvantaged population groups in certain districts (for example, information, supervision, counselling and activation in safeguarding common interests);
- more intensive use of existing rooms, areas and finances (for example, by opening schoolyards and public buildings to citizens' action groups, organisational consolidation);
- interaction between state and private financing bodies, on the one hand, and alternative, self-organised institutions and lay work, on the other.

In general, therefore, intensified cooperation and more intensive use of resources are being utilised to counter the narrowing scope for manoeuvre. This also includes greater intermunicipal and regional cooperation of theatres, museums, etc.

## **4.5 Urban Development for Attractive and Sustainable Business Locations**

People have long been aware of the importance of attractive cities for constant economic development. In an international comparison German cities have a lot to offer in this context because they invested in improvements to the attractiveness of locations at an early date with the support of relevant promotional programmes of the Federation and the Laender.

Attractiveness as a location is an advantage in competition that is reflected in higher investments on the part of enterprises and in a larger selection of jobs. Conversely, the scope for shaping and taking an active part in urban

development and settlement policy depends significantly on the economic success of the local enterprises and on the income of the employees since the financial power of cities is directly influenced by the communal trade tax as well as by the proportionate income tax. The economic power of a city also has an indirect effect on the scope for urban development investment: money that flows into welfare aid because of a lack of commercial opportunities is no longer available for investments that create jobs.

It must be kept in mind, however, that a threat to "sustainability" is also, and in particular, created by the growing competition over locations among the regions. Even if intermunicipal and interregional cooperation improves, further aggravation of the competitive relations between cities and regions can always be expected whenever the building up and expansion of modern services and industrial production are concerned. Modern and well-developed communication structures, excellent integration into the national and international infrastructure and availability of adequate land reserves will be of decisive importance for successful competition to gain the goodwill of enterprises willing to establish new locations. Objectives of sustainability may easily fall to the wayside in the face of such competition. Urban development measures for improving attractiveness as a location should therefore be ecologically compatible. The aim must be to create business locations that are attractive and viable in the future.

#### **4.5.1 On the Attractivity of Business Locations**

Cities like Munich or Freiburg, regions like the Lake Constance area or the Upper Elbe Valley, individual industrial zones like Hansapark in Dusseldorf, the Westkreuz industrial park in Cologne and the Technology Park in Dortmund are examples of business locations that experts assess as attractive in comparison to other locations. Urban development makes a significant contribution to this attractiveness. These locations are attractive due to a combination of "hard" and "soft" location factors, which have largely been developed specifically for certain demand groups.

Of decisive importance are the "hard" location factors, such as transport links, supply of qualified labour, land and office costs as well as communal taxes. They are compelling basic conditions for the location of enterprises, and the more factors met by a location, the more attractive it is for companies. However, subjective preferences, the so-called "soft" location factors, play a growing role in the selection of location. For example, the attitude of the public administration towards enterprises or the image of a region or city is regarded as important. Finally, the residential preferences of the potential employees, such as the housing and residential environment situation, the environmental quality, the school situation, leisure-time value and geographical attractiveness of the region or city, are factors in a company's selection of location.

Hard and soft location factors together make up the attractiveness of a location - for the enterprises and for the

employees. Their significance varies greatly, however, depending on whether the selection is for a macro-location (city and region) or for a micro-location (specific industrial zone and lot).

#### **The attractiveness of the macro-location: city and region**

Even at the regional and urban level, development of attractive business locations is extremely important for attracting external and for maintaining existing local enterprises. Location-related decisions are frequently made in favour of a certain region before the precise conditions in the individual cities of the region are known.

As in all location-related decisions of enterprises, the hard location factors must be regarded as the most important criteria, even at the level of the macro-location, in an assessment of the attractiveness of a (macro-)location. They include the transport infrastructure (roads, railway, air traffic, waterways), other technical infrastructure (waste, water, energy), the labour potential, the proximity to sales markets, research institutes, the amount of local charges and promotion funds, the extent of environmental protection requirements as well as the availability and costs of commercial land. The individual factors can be influenced only in part at the municipal level; however, there are frequently preliminary requirements at the national level.

The regionally important hard location factors, at least in Western Germany, are largely available everywhere. For this reason, enterprises increasingly attach greater weight to the so-called soft location factors when assessing a business location. At the regional level the housing situation is at the top of the list. Housing in different price classes and in an appealing environment is required. Especially highly qualified employees as well as the managing directors themselves not only place high demands on housing, but also on the immediate and the general residential environment, which should be "green" as far as possible. Furthermore, criteria like environmental quality, which is reflected in the air quality, for example, cultural and leisure-time activities offered as well as the educational opportunities for the employees' children have a more and more crucial influence on the assessment of attractiveness as a location.

#### **The attractiveness of the micro-location: premises, industrial zone, urban district**

The micro-location - the specific premises, industrial zone or urban district - is the second decisive factor for selection of a corporate location. This means that the supply of commercial property is also critical for the attractiveness of a business location. Enterprises have the following requirements regarding commercial property:

- It must be connected to transport routes and be integrated into the local technical infrastructure for basic services.
- It must be capable of being developed without restriction and of being utilised as unrestrictedly as possible.

- It must meet planning regulations, i.e. it must meet building laws regarding industrial zones.
- It must be public property or there must be verification of the private owner's willingness to sell.

These factors are necessary for suitability of a property as a business location, but are not sufficient for selection of the location. Additional "hard" and "soft" demands on the location also play a role. The hard factors of location infrastructure are of far greater importance in comparison to the selection of the macro-location. Such "hard" requirements of the micro-location include:

- Good connection to the interregional transport network, particularly proximity to the motorway and to the rail network (railway station, cargo handling facilities).
- Adequately dimensioned internal transport infrastructure and sufficient number of parking spaces.
- Connections to all supply and disposal systems (water, sewage, electricity and gas, telecommunications, possibly district heat).
- Additional areas for possible later expansion.
- No types of use that are sensitive to disturbance in the immediate proximity of the company's premises.

In comparison to these hard location factors, qualitative aspects, such as the external image and the urban development and architectural design, the greenery, ecological qualities and provision of employee-oriented infrastructure, have clearly been of secondary importance for a long time. Qualitative demands on the desired location and thus on aspects of the design-related quality of industrial zones are now emphasised less by enterprises than by cities and municipalities. The latter want

- first of all, to develop attractive locations with which high-quality, future-oriented enterprises can be attracted;
- secondly, to avoid a negative image at possible company locations that might deter enterprises;
- thirdly, to create a general advertising effect for the municipality.

The city district and its location quality are of importance only for certain economic groups. Different factors determine the location quality in a city district and thus the attractiveness of this district as a business location:

- The image, the external (urban development) appearance and the (residential) quality of the surrounding area - and at the same time as the quality of the working environment - are particularly important for enterprises in the service sector.
- The population density, the social structure and the purchasing power are of interest for the retail trade as well as for the craft trades and resident-oriented service enterprises.

- The industrial density and the proximity to labour (also to distance-sensitive population groups) are important especially for the production sector and the craft trades as well as for all other enterprises.

#### 4.5.2 Measures for Creating Attractive Business Locations

##### Measures at the macro-location level

The following are fields of action of settlement and urban development policy in the context of hard factors at the macro-location level: development of the transport infrastructure and connection to the interregional transport network, provision with technical infrastructure for basic services as well as availability of commercial building land.

**Development of transport infrastructure:** Within the group of hard location factors, development of the transport infrastructure, including connection to the interregional transport network, is the most important. The majority of enterprises in this age of just-in-time delivery regard it as impossible to compensate for the lack of a motorway connection or for a qualitatively poor road network through other means of transport. The attractiveness of a region or city with inadequate connections to the interregional road network must therefore be assessed as relatively low. In Germany this applies in particular to parts of the new Laender.

The opportunities for municipal and regional business promotion to influence the further development of existing or construction of new, nationally significant transport connections are generally very limited because the respective decisions are made at the Federal and Laender level. However, increasing focus is being placed on the idea of integrated regional development and transport concepts that provide for technical coordination of all individual aspects and spatial coordination of the various planning levels and intercommunal relations. Major elements of such concepts include promotion of compact settlement structures, expansion of rail-based public transport and promotion of cargo transport concepts with the aim of shifting commercial traffic to more environmentally compatible modes of transport.

**Infrastructure for basic services:** Although supply and disposal facilities, including communication facilities, are fundamentally provided for in Germany, bottlenecks may still occur in some areas. For example, sewage and waste disposal, especially in the new Laender, cannot yet be regarded as guaranteed in all locations. However, in Western Germany, too, capacity problems may arise at the local level, with the consequence that the location of production plants with a high volume of sewage may not be possible. This means that such enterprises are excluded from location in the respective regions.

Furthermore, the question of waste disposal and in particular the disposal of hazardous waste in various regions is increasingly turning into a major restriction for the location of certain commercial and industrial enterprises. In principle, these are temporary problems that can be solved

through the creation of additional or the expansion of existing disposal capacities.

**Technology centres:** The attractiveness of locations is promoted through technology centres or technology parks. Technology centres are primarily aimed at offering university graduates or university staff members that wish to leave the university optimum conditions for starting new businesses; in addition, however, they also give external enterprises the opportunity of installing development departments or newly formed companies at these centres. These locations gain additional attractiveness through technology parks that are frequently set up in the immediate proximity of the technology centres and are designed to accommodate both companies that grow out of the technology centres and newly established, technology-oriented enterprises.

Excellent functioning examples in Germany include the technology centres and technology parks in Dortmund, Aachen, Karlsruhe and Berlin. The technology park in Dortmund, for example, originally conceived for roughly 2,000 jobs on an area of about 20 hectares, now offers over 4,000 highly qualified jobs on an area that has been expanded to 30 hectares. Other cities like Bochum or Münster are attempting to duplicate the success of these cities by setting up technology parks in the immediate proximity of their universities. In the new Länder Dresden especially wants to follow these examples.

**Supply of commercial land:** Even in the case of a positive assessment of all criteria, the decision on location of an enterprise depends in the end on the availability of a commercial building site. Lack of a suitable site or excessively high property prices will lead to a location decision in favour of another city. Establishment of planning laws and the development and preparation of commercial and industrial zones thus number among the most important prerequisites for the establishment of a new company location.

In the case of a general scarcity of land or a shortage of areas for certain commercial enterprises, cooperation between several communes can be recommended for the development of commercial zones. Under certain circumstances, communal cooperation may also compensate for additional local deficits at the regional level. The Future Initiative in the Aachen Region and cooperation between the cities of Erlangen, Fürth and Nuremberg are examples of a broadly based cooperation of several German municipalities going beyond individual projects and designed to improve attractiveness as a location.

**The cooperation between the cities of Erlangen, Fürth and Nuremberg** is aimed at the planning and development of a common commercial zone. Planning competence and acquisition of land were transferred to an association established expressly for this purpose. The association additionally views itself as a regional communal trade tax pool, i.e. it finances the development costs for the common commercial zone, but also receives all revenues, though costs and revenues are allocated proportionately to the three cities. In the case of the Future Initiative in the

**Aachen Region**, seven communes outside of the city of Aachen have joined to form an association in order to tackle structural and urban development renewal of the region jointly and through coordinated action. Among other things, the municipalities have worked up broadly based concepts for reorganisation of local public transport and development of regional green areas as well as a joint list of priorities concerning small-scale land recycling and a network of technology and innovation centres. The joint approach has strengthened the communal position both in the region and at the Länder ministries, which is particularly useful in soliciting promotion funds for improvement of attractiveness as a location.

#### Measures at the micro-location level

**City district:** The contribution of urban construction to the development of the city district as a business location depends very greatly on the specific situation. Urban development demands on the location are based on industry and trade in the district only to the extent that industry and trade demand rejection of development restrictions; urban development demands are aimed more at the integration of industry and trade into the urban development situation of the district. This encompasses fitting enterprises into existing building structures, questions of traffic control and transport development as well as minimisation of stress due to noise, traffic and emissions.

The question of what urban development demands industry makes on the district and, conversely, what demands based on the concrete situation of the district are directed at the enterprises depends, above all, on the development aims pursued for such districts.

With respect to the commercial development in the city district, the urban development policy of past years has basically displayed a defensive stance that seeks to avoid or minimise changes in the district structure as far as possible. This is expressed, on the one hand, in the attempt to extensively maintain and thus stabilise existing commercial uses in these districts. At the same time, however, there are also efforts to prevent the restructuring of residential areas, thus tending to restrict the attractiveness of a district for certain commercial uses. As a consequence of such a policy, structural changes result within the framework of commercial use and craft and production enterprises are displaced by uses with greater purchasing power, primarily the retail trade and services as well as leisure-time facilities.

Currently, however, one can also observe trends towards the creation of new districts for mixed use, predominantly on large areas that become vacant, such as former airports and military facilities or disused land (as well as disused combine grounds in the new Länder). Examples include Munich-Riem, Söllingen, Dessau and Dortmund as well as disused harbour areas in Frankfurt, Magdeburg and Duisburg. Only in some cases do these urban development concepts arouse the interest of industry, however. New forms of mixed use are not desired by already established enterprises because they fear impairment and restriction of

their own development due to the location of uses that tend to be sensitive to disturbance.

With regard to urban construction law, a great deal has been done at the legislative level in past years to safeguard and stabilise the district as a business location, particularly in connection with securing the location in mixed situations.

The Federation financially supports the efforts of cities to create attractive business locations, especially through the Federal programme for the promotion of urban renewal and development measures. An annually varying commitment framework of the Federation has been provided for this programme since 1971 in the old Laender and since 1991 in the new Laender. This framework entailed a sum of roughly one thousand million DM annually in past years. The payments of the federal government are sometimes supplemented by specific state programmes, such as the location safeguarding programme set up in the Land of North Rhine-Westphalia or the programme for simple urban renewal implemented by the Land of Baden-Württemberg.

The "**Programme for Simple Urban Renewal**" instituted by the Land of Baden-Württemberg is primarily aimed at urban renewal of smaller areas in the city. Inter alia, "recycling of disused land" and "improvement of the functional capacity of inner-city business locations" are promoted so that such efforts are also referred to as "commercially oriented urban renewal". One of the most interesting features of this programme is that it is almost the only support programme that completely finances the respective projects. The communes calculate the total costs of an urban development project, for which two thirds of the total costs are financed on admission to the programme. This guarantees the communes financing beyond annual appropriation, but they are left with the risk that cost rises may not lead to an increase in funding, but might have to be assumed by the communes themselves.

The various instruments are predominantly aimed at passive protection against or checking of segregation trends and to a great extent, as in the case of the diversion regulations, at protection against infiltration. Therefore, it is far more problematic to subsequently establish a use mix in city districts or create new districts with mixed use. In Germany there is practically no means of legal recourse if new commercial uses are to be created in existing city districts; the category of a mixed zone in the ordinance on building use has proven to be unsuitable for these objectives, particularly because of too little scope for differentiated control.

**Industrial zone/property:** At the level of the industrial zone and the individual company property, two major development tendencies can be observed in urban development practice:

- Formulation of design-related, sometimes also ecological demands on development and settlement of an industrial zone.
- Specialisation in certain user groups on the part of one or more industrial zones.

In practice one frequently finds the formulation of special qualitative, usually design-related demands on development and settlement of an industrial zone. While this demand often concentrated on purely greening measures in the past, cities and municipalities now attempt to settle large industrial zones in a more thought-out manner and to achieve a generally better urban development quality.

In addition to detailed stipulations in local development plans, the municipality prescribes or specifies design ordinances or design handbooks in connection with architectural consulting and sometimes also design-related basic conditions in agreements according to private law, as an annex to contracts for the purchase and sale of land, for example.

Individual cities are now going over to setting up industrial zones specialised in certain functions, which means maintaining them primarily for certain user groups. This also results in a differentiation of the desired urban development and design-related quality. For extremely high-quality areas like technology parks or the like, this procedure has long been common practice in urban development; a relatively new element, however, is the fact that this path is also being taken for other industrial zones, in some cases for the entire range of commercial areas in a commune as well.

The city of Bielefeld, for example, has extensively assessed and qualified a total of 20 areas that are suitable for commercial use. According to the concrete location advantages and restrictions of these areas, enterprise groups which had relatively homogeneous location requirements were determined and enterprises were judged to be well suited or unsuitable for location in the respective area. In the end this procedure amounts to a selective settlement strategy with which, on the one hand, the supply of land can be further developed selectively for certain user groups while, on the other hand, incompatibilities between enterprises are avoided or reduced.

Besides the improved qualities in the development of new commercial zones, cities also paid great attention to the existing commercial zones in past years. Old, commercially used areas, which are frequently located in the centre of the city, are upgraded and activated. These areas have undergone a structural transformation since they were first settled. The consequences are often disused lots, empty commercial buildings and underused areas as well as urban development deficits, and sometimes capacity problems with the technical and transport infrastructure. Because of their condition, the areas are no longer able to meet their original function and to compete with new industrial zones. To make these old industrial zones interesting again for purposes of economic use, urban development projects aimed at providing basic structural requirements and upgrading are necessary.

Frequently the intention behind this desired upgrading of old commercial areas, which involves an increase in value and a rise in land costs, is to use them for other purposes. An often observed practice in urban development is for commercial zones located close to the city centre or developed advantageously due to traffic to be prepared for

large-scale retail trade or offices. Although this development corresponds to the altered value of such zones, it is not unproblematic. It frequently also displaces craft enterprises from the city centre and thus initiates a relocation of commercial enterprises in peripheral areas as well as a higher consumption of land for commercial uses in the peripheral area and additionally reinforces such processes that already exist anyway.

#### 4.5.3 Scopes for Manoeuvre at the Communal Level

At the macro-location especially it is not possible to influence all factors that make a business location attractive at the communal or regional level. They include the proximity to sales markets, the existence of suppliers as well as the environmental protection requirements which the enterprise has to meet.

Other factors that contribute to the attractiveness of a business location can be influenced at the communal or regional level, but urban development policy plays no role in this regard, or at the most indirectly. This applies to, for example, the amount of local charges and promotion funds, the availability of qualified labour as well as the existence of research and development facilities.

On the other hand, the capacity for urban development policy to improve the attractiveness of a region is underestimated in many cases. The housing construction policy, the local environment and open space policy, the development of the leisure-time sector and the range of cultural activities offered by a city or region are just as important for economic attractiveness, but are scarcely taken into account in connection with these effects.

The general objective of business promotion or economic urban development policy should be to work up a concept that is included in considerations on overall urban development. Urban development, improvement of environmental and leisure-time quality, the "social climate" and the "business climate" of the city in addition to the infrastructural framework must be taken into account here because all of these factors together determine the location quality and the image of a region or city as a business location.

The communal level can take action particularly in the development of attractive micro-locations. Cities and communes have at their disposal an adequate spectrum of legal instruments, including the differentiated options furnished by the local development plan, the enactment of additional ordinances such as for design, agreements under private law in contracts for the purchase and sale of property as well as, since recently, the scope offered by specific agreements in urban development contracts and within the framework of project and development plans, at least for the development and settlement of new industrial zones, so that they can achieve their design-related and ecological objectives.

Bottlenecks primarily exist in consistent application of the existing legal instruments and in continuity and consistency

in the implementation of the desired quality aims. In urban development practice, enterprises which are interested in location and are interesting for the commune or conduct especially intensive negotiations are granted numerous concessions regarding design quality that may significantly mar the overall impression of an industrial zone in an urban development context. Special attention must be devoted to the first company locations in a newly developed area. They set the standard for all company locations that follow.

The municipality, too, has an obligation to adapt its own areas, in particular transport-related areas and public green areas, to the required quality regarding design. This is not always the case. Incompletely developed roads or non-landscaped green areas detract from the attractiveness of a business location just like deficits on private property. Conversely, private investors will be much less willing to make investments in an attractive location design if the public sector does not perform complementary services.

The creation of business locations that are attractive and viable in the future requires close cooperation between communes and enterprises. The scope for giving consideration to environmental aspects may encompass a broad spectrum of measures: from the selection of location areas to the type of development (technical facilities for basic services) and landscaping or even the selection of enterprises, possibly combined with influence on operating materials and production methods. These options must be exploited if cities as business locations want to take further steps down the road to sustainability. Private initiatives especially can also play a major role in the process of pushing forward sustainable economic development at locations that will be viable in the future, as demonstrated by the example of "Ulm - a region wants to become sustainable".

#### Ulm - a region wants to become sustainable

Ulm, a city in Baden-Württemberg with a population of 110,000, wants to be a model city for a vision of how people can live and work in the future without destroying the Planet Earth. With this in mind, an association, the Ulm Initiative for Sustainable Economic Development, was established in Ulm by representatives from municipal policy, from commercial enterprises and from the field of science and research with the aim of providing impulses for the process of ecological structural transformation.

In Ulm sustainable economic development is not viewed as a ready-made concept, however. Regional sustainable development is a general principle that can and must be realised in a long-term social search and coordination process. The various actors in this process have to be convinced that the necessary structural transformation, that the basic principle of "sustainable development" is meaningful - in the private sphere as well as at work and in connection with leisure-time activities.

The enterprises in the region play a key role in this structural transformation. They will have to assume pioneer functions, both voluntarily and in response to framework specifications, when it is time to put sustainable development into practice. The focus here will have to be

placed on increasing the efficiency of material and energy consumption and on limiting the still very intensive type of land use. To support this process, dissemination of knowledge in the region is called for - there are already enough pioneers who have blazed a path with respect to saving costs through environmental protection and opening up new markets

Such a process not only needs general principles, therefore, but also mediators. The Ulm initiative views itself as an honest broker who, on a non-partisan basis, makes proposals that concern everyday action in the enterprise and can support sustainable development in the region through their ecological advantages. For this reason it was also important for this impetus to be given by a private initiative and not to come from the political sphere. The composition of the association is just as important. In addition to actors from research and science, enterprises as well as municipal administration bodies are involved in the association's work. This was the only way to convince people and establish an atmosphere of trust.

Conviction is the basic prerequisite for the necessary structural transformation. Ecological innovation is not feasible by decree. That is why the association places primary emphasis on cooperation and information in the region. Cooperation means above all joint working groups, the organisation of "round tables". Information is aimed at furnishing examples of how efficiency can be raised and how organisational innovations can be implemented. Organised events, publications on positive examples and initial steps, databases and exhibitions are means of achieving this. The more enterprises in the region combine action that is ecologically meaningful with measures that are economically useful - and there are enough examples showing that innovations in the field of energy pay off at the microeconomic level - the sooner the necessary process of structural adjustment will be set in motion.

Ecologically oriented communal business promotion in Germany is, without a doubt, gaining ground. Major factors at the communal level include ecologically oriented procurement and order placement on the part of the local administration, environmentally sound planning of land utilisation and reactivation of industrial zones and disused commercial land as well as the promotion of environmental technologies and environmentally oriented services. According to a survey conducted by the German Institute for Urbanistics in 1995, four of 170 cities have already developed and implemented concepts for ecological business promotion. In 19 cities considerations are in the concept phase, in 23 cities there are plans to tackle this field in the near future.

## Part 5: Measures for Improving International Cooperation and Knowledge Transfer

### Development Policy Cooperation in the Field of Urban Development

Urbanisation and the related problems in the towns of the developing countries have increased rapidly over the past two decades. Nevertheless the extent of these problems and the need for innovation to solve or even only alleviate them was underestimated for a long time in both the countries concerned and by most industrialised nations.

The Federal government has been promoting projects of integrated urban development in international cooperation for more than 20 years. The aim of these projects is to achieve a better availability of housing for poor classes of the population and better living conditions in spontaneous settlements and slums. "Helping the people to help themselves" plays a central role here.

During the work on more than 130 projects, the main focal points and the instruments for promoting such projects have been continuously further developed. Until the middle of the '70s, target group-oriented approaches to finding solutions for marginal urban settlements were pursued only in individual cases. The main focus of attention was generally on questions of the simple technologies. Poverty-oriented urban projects made up only a small proportion of the work.

The refinancing of development banks engaged in housing construction was supported to a greater extent.

The modified strategy of the '80s and '90s, supported predominantly by the World Bank, pursues such aims as the improved meeting of basic needs, greater involvement of the population groups affected, strengthening the self-help ability, legalisation of illegal land possession, bearing the costs of public services and lowering excessive building and infrastructure standards.

The integrated urban renewal and expansion projects in particular have established themselves as new and successful project types. They contributed to initiating a discussion on the urban development policy which had predominated up to that time which - intended or not - was often modelled on the Western industrialised countries. Instead of the physical removal of spontaneous settlements against the will of the residents often encountered until the middle of the '70s and instead of promoting the highly subsidised apartment construction, a search started for new solutions to the urbanisation problems. The priorities gradually also shifted away from the creation of the largest possible number of physical improvements for the residents (hardware) to a widespread ability of the residents to help themselves and towards the institutionalisation of the corresponding supporting organisations, particularly of non-government organisations (software).

Despite increasing efforts on the part of the developing countries and by the bilateral and multilateral sponsors the living and working conditions in the towns of the developing

countries continued to deteriorate. This was due in particular to the inadequate political and legal frameworks and inappropriate aims, a lack of political willpower and the shortage of means, a lack of supporting instruments for the specific situation of the towns in developing countries as well as the shortage of planning and management capacities on the part of the potential supporting organisations (state, regions, communes, private). The formulation or adaptation of political concepts in the most important bottleneck areas of urban development therefore had to be promoted more strongly; administrative reforms at national and communal level and amendments to laws were called for and the necessary instruments were adapted.

The recognised deficits are as follows:

- The actual needy target group was reached to only a limited extent due to the fact that no gender-specific target group analysis had been performed, and it was the middle income groups which mainly profited from the often highly subsidised housing.
- The new settlement areas built in the countryside were not accepted and adopted; empty apartments, neglected infrastructures and high deficits in repayments are the results of these generally centrally planned development strategies.
- Socio-cultural aspects such as for example the different understandings of the roles of man and woman have not been given sufficient consideration in the expansion and provision of living area; the basic structures important for the sustainable preservation of the infrastructure and the community-oriented design of the settlements were detrimentally affected or even destroyed.

In close coordination with the international organisations such as World Bank, United Nations Centre for Human Settlements (UNCHS), United Nations Development Programme (UNDP) and important bilateral sponsors, an improved approach to the projects of housing construction and integrated urban development has been developed in the last 10 years.

These are the most important points:

- Close attention to the needs of the target group is recognised as a criterion for the success of a project, whereby the participation of the target group is necessary in all phases of the project. The first step in any project must therefore be a detail analysis of the target group, particularly in order to be able to meet the different interests and needs of men and women according to their positions. The performance of sensitisation work and the organisation of basic groups is common practice. The incorporation of the individual users and the communes is critical not only for the success of the housing construction measures (cooperation in construction of the housing, repayment of the loans) but also for the sustainability of the infrastructure measures flanking the housing construction such as crèches, nurseries, community centres, schools, road construction, water supply, waste disposal.

- Work close to the target group is frequently made easier or, in some cases, only made possible by the involvement of non-government organisations. They, in particular, have good access to the target groups and can generally adjust their work flexibly to their needs.
- In order to enable access to improved living conditions also for very poor and marginalised groups of the population (primarily women, who make up 70 percent of the poorer population), the housing construction measures are - wherever possible - linked to income-generating measures such as education and further training. In this way, the people affected are more likely to reach a position in which they are able to pay back the loans taken out for the construction of the housing.
- For the poorest of the poor, home ownership will continue to be a very expensive or barely feasible solution. For this reason alternative project ideas and sponsorship models are being tested which are aimed less at home ownership. Examples here are social housing construction and non-profit housing construction cooperatives.
- In order to permit low-cost solution to improving the availability of living space, the building standards and designs of the apartments are adapted to the capacities of the target group whilst their active cooperation in the construction measures is made a precondition.
- Although the active participation of the target group is necessary for the acceptance of the measures, it is not needed for the sustainability of the invested funds. In order to assure the continued availability of the capital for the revolving use of the funds, real positive interests for building loans are necessary. Subsidies which may be desirable under distribution and development political aspects are therefore generally given as a percentage building grant and not as an interest subsidy. This also facilitates the later integration of the award of the building loan into the national capital market.
- More attention than to date is now being given to the promotion of "financing intermediaries". For banking reasons, state and private banks involved in housing construction have in the past given preference to better situated groups. In many countries, however, political changes and the development of modified financing models have now led to greater attention also being given to poorer groups of the population. The material and financial support of the (mortgage) banks in establishing social and target group-oriented departments is thus given in conjunction with housing construction loans.  
In this context, the introduction of a financing model similar to the German home savings bank system could represent a greater attraction for this group of the population and thus not only permit more widespread self-help through the formation of private (savings) capital but could also become a stabilising factor in the developing countries due to the independence of saving for building purposes from the capital market.

## Cooperation with international organisations - The Urban Management Programme

In order to improve the cooperation between the fund-giving institutions and the exchange of experience on new political concepts and instruments between the developing countries, the **Urban Management Programme (UMP)** was initiated in 1986 by the World Bank, UNDP and HABITAT. This programme is also supported by the Federal Republic of Germany and by other bilateral sponsors. The objective of the programme is to collect, process and further develop the experience to date in the field of urban management and to pass on the results as recommendations or working aids to the responsible institutions in the partner countries. The programme spans the five interrelated subject areas land management, urban finances, urban infrastructure, urban environment and combating urban poverty.

From a German point of view, the UMP forms the framework for a double exchange of experience, on the one hand between the Third World countries and on the other between the sponsoring institutions. As a programme with four small regional offices worldwide, however, too much is asked of the UMP to coordinate the sponsors. It can, however, help by getting the various sponsors to harmonise their sponsorship policies and to overcome the "sponsor competition" often criticised in the past.

Germany has worked together with the UMP from the outset. In 1990, after the decision to continue the programme via four regional offices, some three million US\$ were made available for their establishment and a four-year support of the regional offices for Africa and Latin America. As these offices did not start their work until 1992, the German support spans the period up to 1996. Furthermore, an additional roughly one million US\$ was approved to finance the environmental components of the UMP in West Africa and the resulting small projects.

In view of the poverty-orientation of the technical cooperation of the Federal Republic of Germany, most of the projects are concentrated on improving the housing availability for the poorer groups of the population, primarily with the stimulation and support of the self-aid and the organisational ability of the residents in spontaneous settlements, with the opening up of access to resources and services (land, finances) and with the improvement of the living conditions in such areas.

The majority of these projects are stationed in Latin America. Due to the relatively high level of organisation of the population in spontaneous settlements and other marginal urban districts, projects can often show successes more quickly in Latin America than, for example, in Africa where longer periods are necessary to achieve active participation of the local population. The German experience shows that measures to counter poverty and to improve the living conditions in a selected rehabilitation area are too short-sighted from the point of view of development policy if they are not integrated into larger frameworks from the outset, namely

- In the context of the development process of the whole town to which the renewed district belongs;

- In the political consultation and the development of technical methods (in the ideal situation, also in the development of new legal principles) at the various responsible higher governmental levels;
- In establishing or strengthening corresponding institutions which in the medium term can propagate the experience and methods of urban development in their country or town.

In some cases of technical cooperation in the field of housing, the main focus of attention is on consultation in housing policy without physical improvement measures in residential areas being a direct subject of the project. In such cases, modified housing standards, financing methods, building procedures and forms of self-aid are developed with the responsible partner authorities or housing associations which the partner then either implements himself or supports through financial cooperation projects. The Federal Ministry for Economic Cooperation and Development (BMZ) has appointed the Reconstruction Loan Corporation (KfW) to handle the financial cooperation projects.

In addition to these activities, the International Building Advisory Service and Information Network (BASIN) was founded in 1989 with the aim of meeting the ever growing demand for information from the fields on modified planning and construction of housing, of building materials production from local resources and on the promotion of the local building industry in the developing countries. In recent years, this demand for information has increased particularly in conjunction with the reintegration or resettlement of refugees and the construction of low-cost housing. The BMZ has appointed the German Appropriate Technology Exchange (GATE), a department of the Association for Technical Cooperation (GTZ), to handle these aspects.

Over and above these activities and players, there are other non-profit organisations which, together with the partner organisations in the developing countries, are active in the field of settlement and housing policy, such as church organisations such as MISEREOR and "Brot für die Welt" as well as the German Development Aid Fund for Social Housing and Settlement (DESWOS). They consider it as their special responsibility to ensure healthy living and housing conditions in developing countries by helping the people to help themselves.

#### **New sector concept "Environmentally Compatible Communal and Urban Development"**

The sector concept "Environmentally Compatible Communal and Urban Development" published by the BMZ in September 1995 redefines the principles for the sponsorship of development cooperation projects in the field of urban development. It is intended to serve as a decision aid for the identification, examination, planning and evaluation of such projects and contains instructions for their control and implementation.

The main tasks of communal and urban development are the structuring and utilisation of urban potentials for the

development of a Land. This should take into consideration the spatial functional relations between the town and higher and lower order centres and the urban surrounding areas on the one hand, and the service functions for its own urban population on the other. The control and support of the process of urban development is a multisectoral task which includes both political, economic, ecological and social aspects as well as technological and planning challenges.

The sector concept describes the possibilities of intervention of development cooperation in this complex field of tasks on the basis of experience to date and the discussion surrounding an environmentally more compatible urban development which has been more strongly pursued in the last few years. In particular it translates the recommendations of "Agenda 21" of the United Nations Conference for Environment and Development (UNCED) in Rio de Janeiro from 1992 into guidelines for the planning and execution of German development cooperation projects.

The concept does not claim to describe the numerous sectoral development cooperation measures which are also performed in the urban area, nor does it contain comprehensive descriptions of all the political, economic and social background conditions which influence the development of the towns. The sponsorship programme concentrates in fact on the areas which can be influenced within the framework of inter-disciplinary cooperation projects through consultation, training, exchanges of experience and financial aids.

The selection and evaluation of communal and urban development projects are oriented to the following criteria

- Sustainable improvement in the living and working conditions of the poorer groups of the urban population
- Limitation of the negative consequences of urban growth
- Improved utilisation of the or urban potentials for the development of a Land
- Preservation of the natural foundations of the towns and their surrounding areas
- Improvement in the political and legal background conditions for urban development
- Strengthening of the autonomy and competencies of the communal institutions
- Strengthening of the capabilities of local players in communal administration, non-government organisations and basic groups
- Demonstration of innovative and modified solutions to local problems
- Testing of implementation measures for satisfying the basic needs, for sparing use of resources and for relieving acute environmental impacts

The main focuses of projects for environmentally compatible communal and urban development could be

- Strengthening of the communal self-administration and urban management
- Urban infrastructure and services
- Communal finances
- Urban environment management
- Planning and control of the urban development
- Development of residential areas and informal settlements

Sponsors for projects of communal and urban development can be institutions at various administrative levels, in particular town administrations, national or regional authorities and ministries who are responsible for communal and urban development or for individual aspects of this development. Communal development banks, communal and regional associations and district administrations, residents' associations, self-aid groups and other non-governmental organisations are also partners for the state development cooperation in the field of communal and urban development.

#### **Education and further training measures**

Processes and projects of communal and urban development can be effectively supported by education and further training. Training courses and workshops, the production and distribution of training and learning materials and an exchange of specialists (for example for planners and other communal decision-makers) should be organised with close reference to practice and should be action-oriented. Such measures should where possible be carried out with local education personnel in the developing countries and be oriented to local forms of communication. This ensures that the training builds on the knowledge and abilities existing locally and that the existing availability of further training courses in the developing countries can be further developed in the long term.

Education and further training measures are generally supported by the German Foundation for International Development (DSE). In 1994, the development policy forum of the DSE, in cooperation with Habitat Forum Berlin also organised an internationally recognised preparatory conference for UNCED in Berlin entitled "Sustainable urban development: From urban crisis to healthy town". In 1995 it was involved in the HABITAT II preparatory process with an international round table "Urban management: Good governmental guidance and participative development".

The primary responsibility for measures of education and further training in the field of housing availability lies with the Carl Duisberg Gesellschaft e.V. (CDG). The main focus of the work of this association in the past lay on the implementation of the project-free scholarship programme of the Federal government, supplemented by short-term measures such as for example the HABITAT II preparatory conference with non-governmental organisations which was held from 27th January until 2nd February 1996 in cooperation with the 'Habitat International Coalition - HIC' in Berlin. The CDG also takes account of the growing

problems of urbanisation with the new focus of its work, "Infrastructure in agglomeration areas".

#### **Cooperation with the states of Central and Eastern Europe**

Following the failure of the socialist planned economy system in Central and Eastern Europe and the Soviet Union the states of the former "real existing socialism" are trying to transform the centralistic social planned economies into (social) market economies. There was initially great optimism that this transformation process could be concluded in a relatively short time. Today it is obvious, however, that due to its complexity, the route taken will be far more difficult and problematical than many had suspected.

The reform process towards market economy and democracy as well as the associated economic and social adaptation process must take the spatial dimension into consideration from the outset, as active support is necessary in establishing local administrative and settlements structures in order to achieve a functional democracy and market economy. Such assistance is in the interests of all the parties involved, not only the transformation countries but also the Western industrialised countries - and particularly the Federal Republic of Germany as an immediate neighbour of many reform states.

Concrete aims of the supporting policy of the Federal government in the field of settlement policy are the repair and modernisation of the existing buildings, the improvement of urban infrastructures and the restructuring of the legal frameworks towards democratic, market-oriented and decentral planning processes. Many of the Central and East European states could profit from the experience which Germany has gained in the new Laender - for example with the rehabilitation of the existing buildings, particularly under ecological aspects, or the resource-conserving reorganisation of the supply and disposal structure.

#### **Cooperation with neighbouring countries**

The settlement policy cooperation of the Federal Republic of Germany with the neighbouring countries takes place in bilateral commissions formed in the '70s with the Netherlands, Belgium, Switzerland and Austria. In 1971, the German-French-Luxembourg government commission was constituted with France and Luxembourg within the framework of which trans-border questions of settlement policy are handled. The German-French-Swiss government commission has been in existence since 1975; this commission also deals with important trans-border questions of settlement policy. Cooperation at regional level with Denmark takes place between the Land government of Schleswig-Holstein and its regional Danish partner. Following the unification of Germany it became necessary to agree upon a similar cooperation with the Eastern neighbours, Poland and the Czech Republic.

Apart from these bilateral government commissions it is primarily the border regions themselves who pursue the

inter-state cooperation within the framework of Euro-regions. Such regional initiatives of cross-border cooperation are also supported and sponsored by the EU within the framework of the Community Initiative for Promoting Border Districts (INTERREG). Within the framework of INTERREG, all the areas along the inner and outer borders of the Community can be supported. All economically significant measures, in particular joint development plans, aid for small and medium-sized companies, tourism, traffic and telecommunications networks, preventive environmental protection, rural development, education and employment can be sponsored.

Cross-border cooperation does not, however, take place only in border regions but also between other towns and regions within the framework of various networks of interregional cooperation. Such networks are also supported by the European Commission, in particular by the RECITE (Regions and Cities for Europe) programme. The RECITE programme currently supports 37 networks of differing sizes. All regional or local levels with more than 50,000 inhabitants can participate in the RECITE programme. By promoting such networks, the European Commission is pursuing the aim of strengthening economic and social solidarity within the Community, especially by promoting the economy of disadvantaged regions, supporting economic cooperation and furthering the transfer of know-how and experience from the further developed regions to the less developed regions.

### **Communal development cooperation**

In addition to the bilateral state development cooperation, direct cooperation between communes or towns (town partnerships) is playing an increasingly important role. Many German towns already maintain **town partnerships** with communes abroad on the basis of their own resources. The first partnership following the Second World War was set up between the capital of Lower Saxony, Hanover, with Bristol in Great Britain. That was in 1947. The first German-French town partnership was signed in 1950 between Ludwigsburg and Montbéliard. In the former GDR, town partnerships to the East had existed since the '60s, for example Dresden-Leningrad, Leipzig-Kiev and Potsdam-Minsk.

According to statistics of the German Association of the Central Communal Associations, German towns, counties, and communes now maintain over 4,000 communal links (partnerships, friendships, contacts) with comparable partners abroad in around 80 countries. According to the nomenclature of the Federal Ministry for Economic Cooperation, more than 20 of these countries are developing countries, particularly in Central America and Africa.

"Everything separates the States, but everything unites the communes" - this slogan at the height of the European communal partnerships in the '60s and '70s has become topical again today under different aspects. Third-world partnerships and third world sponsorships are booming. The first town partnerships were concluded between German and third-world communes as long ago as the early '60s.

Brunswick-Bandung (Indonesia), Freiburg-Tananarive (Madagascar), Gelsenkirchen-Kaolack (Senegal), Hanover-Blantyre (Malawi) and Würzburg-Mwanza (Tanzania) were just a few of these friendships. In the mid-'90s, some one hundred German towns and communes have already found partner communes in the third world.

### **Osnabrück: Example of a changed viewpoint in communal development cooperation**

The town of Osnabrück can offer two interesting projects. The town council has passed a "Communal Development Cooperation Concept" which establishes a framework in particular for the administration and in which development cooperation is defined as an interdisciplinary task. Social forces from a very wide range of areas are working on taking stock of the third world and evaluating Osnabrück's relations to the third world.

Common targets for development cooperation have also been drawn up with Osnabrück's partner towns, Haarlem in the Netherlands and Angers in France. The Mayor and chief administrative officer of Osnabrück writes, "A town alone ... cannot meet the growing pressure of the future tasks. Existing networks such as town partnerships or regional cooperation systems should therefore be used to a greater extent in the future for solving worldwide problems. The idea of partnership which, after the Second World War, was aimed at reconciliation between the former enemies can thus be filled with new political contents and a new quality can be created in the relationships between the towns. Through their practical policies, communes can start a movement which brings the questions of global survival to the forefront

Communal partnerships are not a new development strategy; they merely supplement the state, non-state and church development policies. They involve grass-roots cooperation between decentralised authorities, cooperation between town halls and local parliaments and personal contacts from man to man. Town partnerships are an appropriate instrument for exchanging information and knowledge on problems of settlement development, their structures and causes as well as on concepts, measures and instrument of problem management between specialists ("settlement planners" and "settlement politicians").

The needs of a "sustainable settlements and urban development", in particular, are areas in which the support of the developed industrialised countries such as Germany is very much in demand. They are under an obligation to develop models of an ecologically sustainable and socially compatible urban life and to act along these lines. Even allowing for the different political and socio-cultural conditions, the towns in the third-world countries can certainly benefit most from a clear presentation of the practical experience gained by the towns in the industrialised countries on the road to a sustainable settlement development. It is therefore an important task for the future to organise and maintain this exchange of experience.

The German towns are willing to promote the intercommunal exchange of experience, not only nationally through their central communal associations, in particular the Deutsche Städtetag (German Convention of Municipal Authorities), but also internationally through the international communal associations (such as for example the Council of Regions and Communes in Europe/RGRE and the International Union of Local Authorities/IULA). Today the German towns know that anyone who has knowledge and experience must pass it on to and share it with others. The success of global environmental policy can only be achieved by the community of peoples and states and cannot be attained without the cooperation of the towns.

## Annex 1: Sources for Data and Indicators

The description of the settlement development in Germany is based essentially on data from the official statistics. These statistics are predominantly Federal statistics and, in accordance with the Federal Statistics Act, have the function of continuously collecting, processing and presenting data on mass phenomena. The statistics have to observe the legality principle: All Federal statistics need a legislative basis. The legislative bodies thus decide whether Federal statistics are necessary. The results of the Federal statistics provide information on social, ecological and economic relationships for the Federation, for the Laender and for the communes, but also for society, business and research.

Federation, Laender and communes share the work of collecting data for the statistics. The Federal Statistical Office as the central authority is responsible for the content and the methodical and technical processing of the individual statistics and the compilation and presentation of the Federal results. The statistical offices of the Laender as organisationally independent Land authorities are responsible for the collection of statistics and for processing these up to the Land result. Finally most larger towns still have their own statistical offices. They cooperate on the one hand in collecting the Federal and Land statistics, but also carry out their own statistical surveys for the independent communal administration.

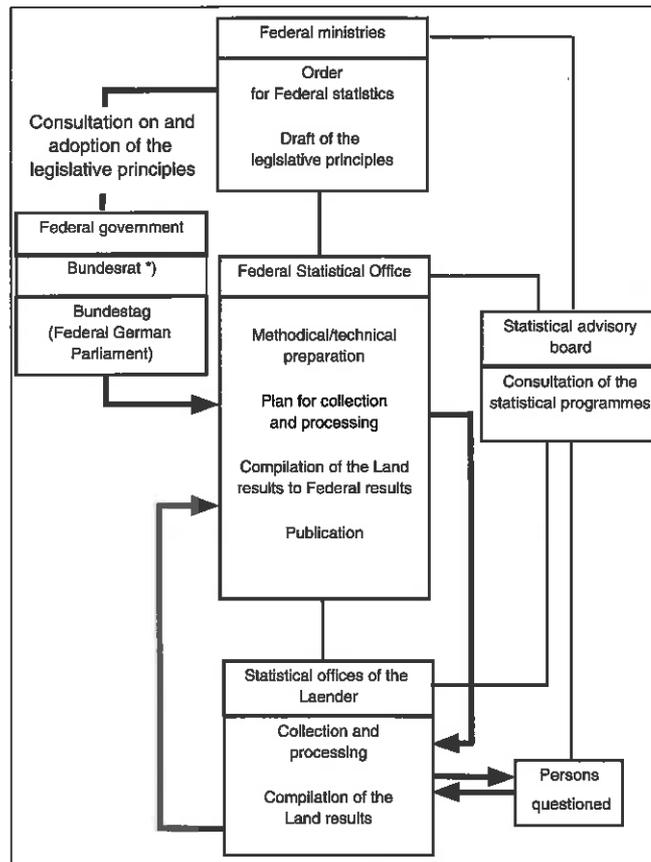
The communal statistics in Germany, however, are essentially built up from the base. This means that in areas which are not more or less standardised by the official statistics, there are considerable differences in some cases in the scope and content of the statistics from town to town. This makes the comparison of the communal statistics and data more difficult. The communes are trying, however, to also standardise the communal statistics. The bases for the data are agreed upon and evaluation programmes are developed jointly. The Communal Statistics Information System (KOSIS-Verbund) was founded specially for this purpose.

### Contents of the official statistics

Most Federal statistics are kept as "total statistics". They completely cover all the units of the populations to be investigated. Federal statistics include i.a. the following areas:

- Population and employment
- Companies and workplaces
- Productive companies
- Building activity and housing
- Traffic
- Education and culture
- Health
- Social services
- Finances and taxes
- Environmental protection

### Passage of Federal statistics



\*) The Bundesrat ist the medium through which the Federal Laender take part in Federal Legislation.

In addition to the continuous total statistics, periodic censuses are held. One of the most important of these is the population and employment census which is held at roughly ten year intervals. As a total inventory of the population, it determines the demographic as well as employment and educational structural data with a profound technical and regional breakdown. Censuses of workplaces collect structural data on companies, workplaces and employees. The building and housing census collects basic statistical data on buildings and houses, including the type and year of construction of the building, method of heating and for the housing the size, furnishing and rent prices.

Random sample censuses complement the total surveys and censuses. The most important of these is the microcensus, a representative statistic on the population and employment market - in other words a small-scale population and employment census. The microcensus is carried out annually with one percent of the population and contains not only population statistical information but also data on households, employed persons, aliens, education level, housing situation, rent burden and commuters.

In order to be in a position to make better use of the information potential of the official statistics, a binding regional statistical minimum programme was drawn up between the Land statistical offices and the consumers at

the recommendation of the Conference of Ministers for Regional Planning (MKRO). It contains nationwide results at communal and county level from all areas of the official statistics. The user can obtain the results from the Land statistical office for his area. Authorities using these results are supplied by the Federal Statistical Office. Following unification of Germany and the establishment of Federal statistical structures in the new Laender, the statistical offices of the new Laender were also incorporated into the minimum programme.

### Regional information systems

In recent years, information systems are becoming more widespread in Germany which facilitate access to the data for the user. The Federal Statistical Office, for example, offers a statistics information system - STATIS-BUND - which permits a large group of users online access to numerous data of the official statistics. Data from other sources are also stored here, such as from the Federal Employment Office, the Deutsche Bundesbank, etc. The data are technically and comprehensively documented; they are very up-to-date, but only up to the level of the Laender.

Since 1993, the regional statistical minimum programme of the MKRO has also been available in the form of a uniform data bank (Statistik Regional) for all the Laender on data medium. The smallest regional reference level are the counties and self-governing towns. The access to the data is via a retrieval program which permits not only data research but also the export of data into commercially available statistics programs. The data bank is updated annually.

In addition to the information systems of the official statistics, numerous Federal and Land authorities also operate their own regional information systems. The most important information system for the informative support of the settlement policy of the Federal government is the **"Continuous Spatial Monitoring"** conducted by the Federal Research Institute for Regional Geography and Regional Planning (BfLR). This is a computer-aided information system which images the settlement development using indicators.

The "Continuous Spatial Monitoring" consists essentially of three components:

- Spatial monitoring
- Continuous BfLR surveys
- Inner city monitoring

The heart of the "Continuous Spatial Monitoring" is the **spatial monitoring in Germany**. Regional statistical data, i.e. data from the official statistics for counties and communes, form the most important basis for the monitoring, since a characteristic of the monitoring is that the regional statistical data are constantly confronted with questions arising out of the problems and tasks of the practical settlement policy. Indicators are used to image the regional development and the level of regional disparities as comprehensively and representatively as possible. In addition to the nationwide comparable and available data from the official regional statistics, data from

other offices, authorities and organisation are used, particularly in the fields of employment market, infrastructure, land use and environment.

With the **BfLR survey**, the concrete day-to-day living conditions of individual persons and individual groups within the given settlement structural contexts are surveyed as well as day-to-day deficits and their subjective relevance, resulting behavioural consequences and general scales of values, action orientations, needs and priorities with which the objective living conditions are met. The survey has been conducted as a representative census (some 2,000 persons are questioned) since 1985 by the BfLR in the form of participation in the multi-theme survey of the social sciences and is aimed selectively at immediate region-specific phenomena and trends relevant for regional developments.

The **"inner city monitoring"** concentrates in particular on the level and direction of development of towns and urban regions. The basis are communal statistical data based on comparable isolated urban districts which the towns supply to a cooperation association according to an agreed catalogue of characteristics. This also involves an agreement on urban regional and urban structural district types with which the major development trends within towns and their surrounding areas can be illustrated.

The "Continuous Spatial Monitoring" of the Federal Research Institute for Regional Geography and Regional Planning is predominantly used as an instrument for scientific political consultation. It supports the drawing up of periodic reports, such as for example the Regional Planning Reports of the Federal government or also this national report on settlement development and settlement policy in Germany for the Habitat II world conference. Results from the "Continuous Spatial Monitoring" are regularly published with greater regional and technical breakdown (in particular in the BfLR series "Materialien zur Raumentwicklung" (Materials for Regional Development) under the title "Laufende Raumb Beobachtung, Aktuelle Daten zur Entwicklung der Städte, Kreise und Gemeinden" ("Continuous Spatial Monitoring, Current Data on the Development of Towns, Counties and Communes"). It is also available to interested users on data medium.

The information systems at Federal or Land level are complemented by communal statistical information systems. The German Convention of Municipal Authorities (Deutsche Städtetag) publishes the annual "Statistisches Jahrbuch Deutscher Gemeinden" (Statistical Yearbook of German Communes) in which information on the sectors population, education and culture, sport, recreation, leisure, business, building and housing, traffic and the finances and taxes of communes above 20,000 inhabitants are presented. The standardisation efforts of the KOSIS-Verbund have resulted in more and more towns structuring their files according to given standards. Even in the mid-'90s, however, comprehensive information systems operated by the towns still do not exist.

The following summary of selected key indicators from the URBAN and HOUSING INDICATORS PROGRAMME for Germany, the old and new Laender and selected towns is essentially based on the information systems described.

## Urban and Housing Indicators Programme

The Urban and Housing Indicators Programme forms a major part of the Habitat II World Conference and serves to allow a comparative description and analysis of the settlement development. It marks the start of a worldwide "reporting system" intended to enable responsible players to diagnose the regional development, observe sectoral processes and use comparative indicators on an international scale in order to be able to evaluate the influences of communal political strategies and controls. The aim of the Indicators Programme is to develop a sensitive set of instruments which can be used in the political decision-making process. The Indicators Programme was developed by the United Nations Centre for Human Settlements and the World Bank.

In preparation for the Habitat II Conference, the set of key indicators should be available for at least one town in each Land. In view of the very differentiated urban system in the Federal Republic of Germany, the concentration of the illustration on an individual town is problematical, so that the Indicators Programme was implemented in close cooperation with a selection of six towns (see map). The following tables summarise the results for the key indicators of the Indicators Programme.

Four West German and two East German towns are included in the survey. Cologne and Duisburg form part of the largest German agglomeration, the Rhine-Ruhr region. Cologne is a city with a population of more than one million which is currently undergoing a dynamic development into a media city. Duisburg's development is very much characterised by the structural problems of the mining and steel industry. Wiesbaden is the capital of the Land Hesse and lies on the Western edge of the Rhine-Main region whose development is predominantly determined by Frankfurt. Freiburg lies in the south-west of Germany and is a traditional university town. Leipzig and Erfurt are two towns from the new Laender which are undergoing a very dynamic development since the unification of Germany. Leipzig is trying to regain the traditions of the period before the Second World War and become a modern service centre (trade fair, banking centre, etc.). Erfurt, as the capital of the Land Thuringia and future home of Federal authorities is characterised predominantly by administrative affairs.

The towns are arranged in the table according to their size. Allowing for the special situation after unification, the indicators for the old and new Laender have also been calculated alongside the value for Germany as a whole for comparison purposes.

The method of the programme is oriented exactly to the survey instruments of the United Nations Centre for Human Settlements. The questionnaire was translated by the Federal Research Institute for Regional Geography and Regional Planning and sent to the six towns. The towns completed the questionnaire as far as possible, utilising a variety of statistical sources. In individual cases, additions

or corrections were made by the BfLR in order to complete the information and to ensure the comparability of the indicators.

During the processing and evaluation of the questionnaires, problems were encountered which arose from the global orientation of the Indicators Programme. Not all the indicators are of equal importance in all the countries. The number of buildings destroyed by natural catastrophes in Germany, for example, is negligible. The same applies to the number of illegally built buildings. There is therefore practically no exact statistical material on this so that estimates had to be made. For certain indicators it would be desirable for the future if more exact definitions were given in order to ensure the comparability.

### German towns with participation in the Indicators Programme



In summary we can say that the indicators are less suitable or less relevant for a domestic comparison, although they provide important information for international comparisons.

The breakdown of the tables is oriented to the system of the Indicators Programme. Gaps in the data were closed wherever possible, but could not be completely avoided. The regional reference in each case is the corresponding metropolitan area.

Indicator	Federal Republic	Old Laender	New Laender	Cologne	Duis-burg	Leipzig	Wies-baden	Erfurt	Freiburg i. Br.
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## Background Data

### Module 0: Background Data

#### D1: Land use (in km<sup>2</sup>)

Total area	356,970	248,635	108,334	405	233	151	204	269	153
Residential area	10,638	8,348	2,291	54	33	51	20	33	18
Commercial and industrial area	10,019	7,861	2,157	34	31	5	8	2	5
Traffic area	16,327	12,740	3,587	63	35	20	22	18	15
Agricultural area	195,433	133,081	62,352	89	50	41	65	176	41
Other uses	124,553	86,605	37,947	165	84	34	89	39	74
Area utilisation (in %)									
Residential area	3.0	3.4	2.1	13.3	14.2	33.8	9.8	12.3	11.8
Commercial and industrial area	2.8	3.2	2.0	8.4	13.3	3.3	3.9	0.7	3.3
Traffic area	4.6	5.1	3.3	15.6	15.0	13.2	10.8	6.7	9.8
Agricultural area	54.7	53.5	57.5	22.0	21.5	27.2	31.9	65.4	26.8
Other uses	34.9	34.8	35.0	40.7	36.1	22.5	43.6	14.5	48.3

#### D2: Population according to sex (in 1,000)

Male (absolute)	39,518	31,991	7,527	487	258	228	126	102	93
Female (absolute)	41,820	33,789	8,071	519	278	253	140	111	105
Female (%)	51.4	51.4	51.7	51.6	51.8	52.6	52.5	52.2	53.2
Total	81,338	65,738	15,598	1,006	536	481	266	213	198

#### D3: Annual average population growth rate

	0.6	1.1	-1.25	0.19	-0.07	-1.53	-0.07	-1.56	0.48
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#### D4: Households with females as head of household (in 1,000)

Households	10,749	8,682	2,067	/	53.0	86.5	44.4	/	/
Female singles households	7,557	6,296	1,260	21.5	20.9	/	33.5	/	/
Total households	35,700	29,043	6,657	494.2	/	/	/	/	/

#### D5: Average household size

	2.25	2.24	2.36	2.0	2.2	2.0	2.1	2.3	1.8
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#### D6: Annual growth rate in number of households (in %)

	1.37	1.62	0.16	0.9	-0.1	-2.0	/	/	0.3
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#### D7: Income distribution (no data or no comparable figures)

#### D8: "City product"/ gross domestic product (in DM per inhabitant)

	40,831	45,296	20,016	53,453	37,754	/	/	21,500	/
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#### D9: Residential status of the households (in %)

Resident-owned	37.1	49.9	25.5	13.4	10.7	4.0	17.5	14.5	13.6
Rental	53.1	48.3	73.4	64.1	59.9	94.9	63.6	84.4	60.2
Social housing	8.3	10.1	0.3	21.0	27.9	0.3	16.9	0.3	12.8
Sub-let	1.5	1.7	0.8	1.4	1.5	0.8	2.0	0.8	13.4

the following categories do not appear

- Rental-free living
- Illegal
- Miscellaneous

/ = No figures

Indicator	Federal Republic	Old Laender	New Laender	Cologne	Duis-burg	Leipzig	Wies-baden	Erfurt	Freiburg i. Br.
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## Urban Indicators

### Module 1: Socio-economic Development

<b>1: Proportion of social assistance households (In %)</b>	5.9	6.2	3.7	6.5	9.6	3.2	10.5	2.2	5.3
1.1: Percentage of social assistance households with females as head of household among all social assistance households	35.9	35.8	36.5	40.4	36.9	/	33.4	38.9	37.8
<b>2: Percentage of employees in the informal sector (no figures)</b>									
<b>3: Inhabitants per hospital beds</b>	140	152	122	127	97	112	118	111	75
<b>4: Infant mortality</b>	0.14	0.14	0.12	0.2	0.16	0.13	0.14	0.11	0.18
<b>5: Class sizes</b>									
Primary school	22.2	22.4	21.7	22.6	22.3	22.1	21.9	22.1	20.6
Secondary school	24.1	24.6	22.8	17.8	27	23.2	26	19.6	22.4
<b>6: Reported crimes per year per 1,000 inhabitants</b>									
Murder (homicides)	0.05	/	/	0.06	0.04	0.02	0.02	0.02	0.05
Theft, burglary	83.4	/	/	76.9	54.3	130.0	44.4	71.3	80.6

### Module 2: Infrastructure

<b>7: Proportion of households connected to supply and disposal networks (in %)</b>									
Water	98	99	95	100	100	100	99.9	100	100
Sewage	90	94	75	99	99.6	95	99.5	95	99.4
Electricity	100	100	100	100	100	100	100	100	100
Telefonphone connections per 100 inhabitants	42.6	48.6	21.7	56.5	51.5	17.9	55.5	15.2	48.7
<b>8: Access to drinking water supply</b>	100	100	100	100	100	100	100	100	100
<b>9: Daily water consumption per inhabitant (in l)</b>	144	145	139	140	168	86	135	141	196
<b>10: Average water price per 100 l (in DM)</b>	0.23	0.23	0.22	0.245	0.23	0.30	0.55	0.39	0.27

/ = No figures

Indicator	Federal Republic	Old Laender	New Laender	Cologne	Duisburg	Leipzig	Wiesbaden	Erfurt	Freiburg i. Br.
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### Module 3: Transportation

#### 11: Modal split in commuter traffic

Local public transport	Car	/	58.5	/	41	64	52	68	47	46
		/	14.8	/	17	21	33	23	32	26
	Motorcycle	/	1.5	/	1	2	0	1	0	0
	Bicycle	/	6.1	/	11	7	8	1	4	28
	Foot	/	19.1	/	30	5	7	7	17	0

#### 12: Average travelling time at peak periods (no figures or not comparable)

#### 13: Expenditure on traffic infrastructure (in DM per inhabitant)

	228.7	162.0	466.5	/	117	/	122	/	50
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#### 14: Car density

	482	502	410	445	471	396	401	393	418
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### Module 4: Environmental Management

#### 15: Proportion of treated sewage volume (in %)

	78	83	55	>80	100	80	100	100	100
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#### 16: Refuse volume per year and inhabitant

Volume						no figures			
Mass (in t)	0.35	0.33	0.42	0.63	0.44	0.42	0.3	0.48	0.3

#### 17: Waste disposal structure (in %)

Controlled dumping	89.6	86.6	97.5	75	2	100	93	100	54
Incineration	6.1	8.3	0.2	0	35	0	0	0	0
"Wild" dumping	0	0	0	0	0	0	0	0	0
Recycling	2.7	3.7	0.1	25	63	0	7	0	46

#### 18: Regular refuse collection

##### Proportion of houses connected to system (in %)

	100	100	100	100	100	100	100	100	100
Number of collections	1-4	1-4	1-4	4	4	2	4	2-8	2-4

#### 19: Destroyed houses (in %)

	0	0	0	0	0	0	0	0	0
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/ = No figures

Indicator	Federal Republic	Old Laender	New Laender	Cologne	Duis-burg	Leipzig	Wies-baden	Erfurt	Freiburg i. Br.
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## Module 5: Local Government

### 20: Main sources of income

#### 20.1 Average communal income per capita (in DM)

	4,028	3,927	4,427	5,499	4,044	4,829	6,973	3,450	4,709
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#### 20.2 Sources of income (in %)

Taxes	27.8	32.9	8.1	37.5	29.1	12.7	33.8	16	31.2
Charges	13.5	14.8	8.3	17.9	14.9	8.8	11.3	10	5.0
Other self-generated income	/	/	/	20	11	16.5	13.8	5	/
Grants	43.3	38.5	62.2	16	38.5	42.2	16.5	50	32.2
Credits	9.2	8.6	11.7	6	6.5	8.8	4.9	6	4.8
Other income	6.1	5.1	9.7	/	/	11.0	19.9	13	26.8

#### 21: Average communal expenditure per capita (in DM)

	4,042	3,958	4,413	5,554	3,520	4,829	7,065	3,450	4,709
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#### 22: Proportion of credit repayments in total expenditure (in %)

	4.3	5.0	2.1	2	2.1	0.5	5.7	1	1.2
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#### 23: Communal personell per 1,000 inhabitants

	25.0	21.0	41.6	23.1	18.2	29	21.5	22.5	22.6
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#### 24: Proportion of personell costs in total current expenditures (in %)

	34	32	52	27.2	32.9	41.0	32.0	43.0	31.6
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#### 25: Degree of externalisation of public services (no figures or not comparable)

#### 26: Institutional involvement in public expenditure

Water supply				P	S	S	C/S	S	P
Sewage				C	S	S	C	S	S
Waste disposal				C/P	S	C	C	S	S
Electricity				P	S	S	C/S	S	P
Telephone				P	P	P	P	P	P
Local public transport				F/S	P	S	C/S	S	P
Emergency services				C/P	C/P	C	S/P	P	P
Road maintenance				C/F/L	C/F/L	P	C/F/L	P	C
Schools				C/F/L	C/F/L	L	C/L	S	C/L
Health services				C	C/F/L/S	C	C/P	P	L/P
Recreational and sports facilities				C/P	C	C/P	C/S/P	C/P	C/P

Key: C = Commune, F = Federal government, L = Land, S = Self-owned companies, P = Private Companies

#### 27: Institutional involvement of the communes

##### Possibilities of intervention of higher-order state levels

Dismissal of communal governments	/	yes	/	yes	yes	/
Dismissal of members of the local council	/	all	/	some	some	/

##### Autonomy of the communal government: The communal government can, without approval of higher authorities:

Set communal taxes	all	some	some	/	all	some
Set communal charges	all	some	some	some	all	all
Take up credits	yes	yes	yes	no	no	yes
Freely select contract partners	all	all	some	all	all	some

##### The communal government knows the level of grants when drawing up the budget

	/	some	some	some	all	some
Estimation of the extent (in %)	/	90	50	10	/	/

/ = No figures

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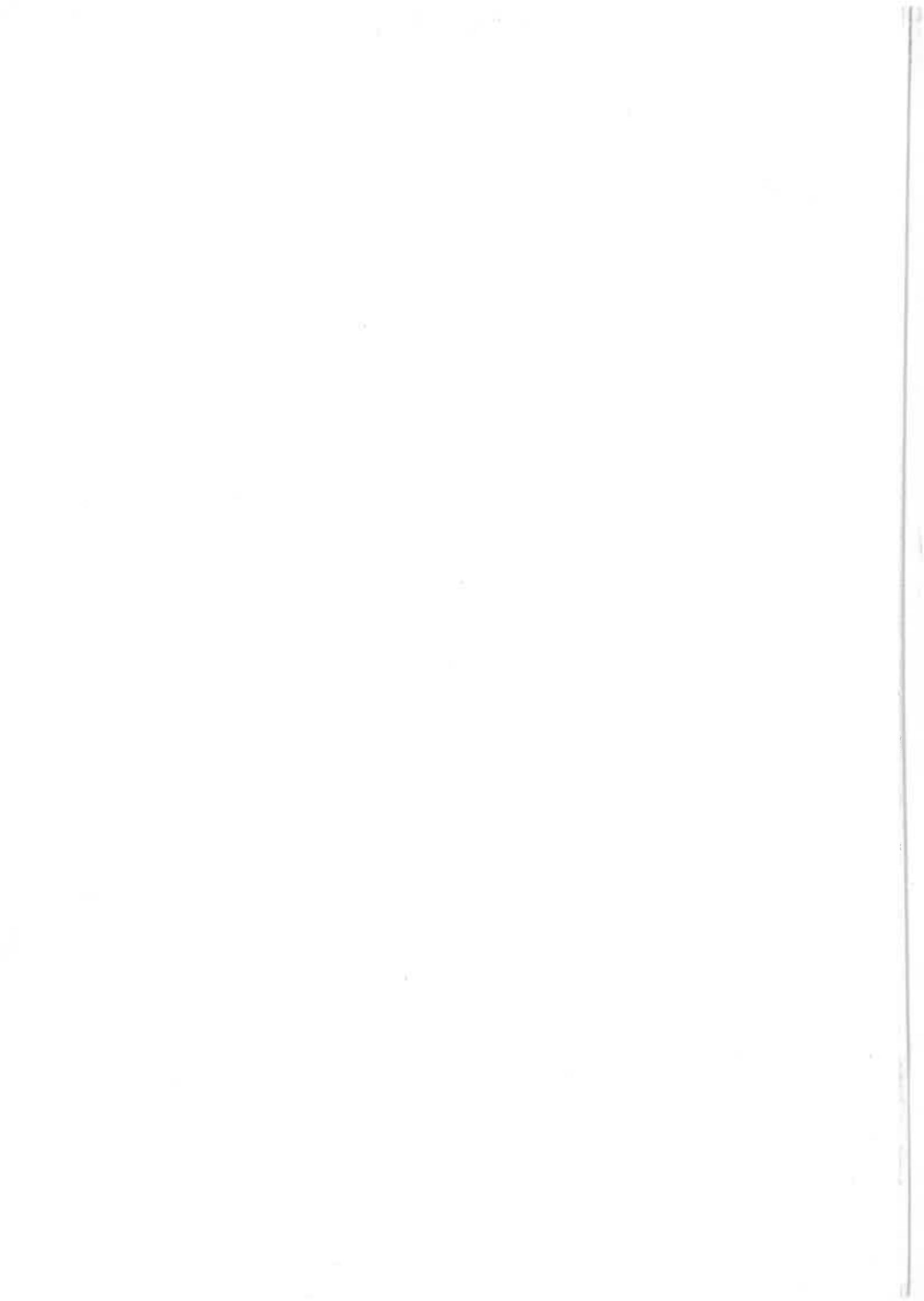
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# **HUMAN SETTLEMENTS DEVELOPMENT AND POLICY**

NATIONAL REPORT GERMANY HABITAT II 

## **SUMMARY**





## Preface



The global impacts of progressive urbanisation in the world and the serious housing shortage that still exists in many countries moved the General Assembly of the United Nations to adopt a resolution at its 47th session in 1992 to hold the next World Settlement Conference in Istanbul in 1996, the last one having been held in Vancouver in 1976.

All nations were called upon to prepare reports on the housing and settlement situation in their countries and, in this way, to render account to themselves as well as to others regarding this vital issue of human living conditions.

The German National Report on HABITAT II fulfils this task. Through a sometimes controversial assessment by the various social groups, it draws an objective picture of the current status of settlement development in Germany, without leaving out the problems that clearly exist.

However, the National Report also reflects the internationally acknowledged successes that have been achieved by Germany in the fields of housing, urban development and regional planning in recent decades.

Through a policy pursued since the 1970s and aimed at promoting urban renewal and thus preserving small and medium-sized cities, the basic principle of sustainable development was already adhered to before the term 'sustainability' had even become a subject of general discussion.

On the other hand, there are also trends towards urban sprawl in Germany and consequently towards inappropriate use of natural resources as well as other environmentally damaging developments. So there is a very clear need for a breakthrough in instituting the principle of sustainable regional and settlement development through wise political decisions and awareness-promoting measures. The National Report is therefore directed at a national audience as well as the rest of the world.

It is intended as a basis for discussion on how to solve existing problems and as an impetus for new approaches to urban development that comply with the principle of sustainability and demand responsibility from the whole society.

I would like to thank the German National Committee for HABITAT II, in which the Laender, the communes as well as social institutions and major non-governmental organisations are represented. It has contributed to the quality of this report through its numerous suggestions and ideas.

It is my hope and wish that the National Report will reach a wide audience and, in doing so, clearly point out the responsibility borne by all those involved in the planning and implementation of building measures, given the crucial influence of such measures on environmental protection in their own country as well as on a global scale.

Prof. Dr. Klaus Töpfer, Member of the Bundestag  
Federal Minister for Regional Planning, Building and Urban Development



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## INTRODUCTION

Habitat II is a world conference convened by the General Assembly of the United Nations on questions of human settlements. It will be held in Istanbul, Turkey, in June 1996, twenty years after the first World Conference in 1976 in Vancouver, Canada (Habitat I). The UN General Assembly has defined "Adequate Shelter for All" and "Sustainable Human Settlements Development in an Urbanising World" as the themes for Habitat II. The focal points of the conference are therefore the cities and the urbanisation process to be observed worldwide.

The challenges have increased dramatically since Vancouver. The world population is growing daily by more than 250,000 people. The efforts to date are not sufficient to ensure a general minimum subsistence. The percentage of people living in cities is growing at the same time. In Europe and America, three-quarters of the people already live in cities. By the year 2005, according to forecasts by the UN, half the people will be living in cities. The city will thus also become the dominating living space even in the Third World.

Production of goods, turnover of energy and materials and transport services are concentrated in the cities. It is undisputed that the cities bear not only responsibility for their local environmental situation, but also increasingly for the global ecological problems. The consequences of an economic and prosperity growth - for example the growing consumption of free land for settlement purposes and the increasing demand for mobility - find their spatial expression in the cities. The cities are the place where the problems of resource-consuming and environment polluting ways of life and economic forms which threaten the natural resources and ecosystems worldwide can be felt most clearly and most insistently. The chances of a global policy for sustainable development are thus decided in the cities.

Habitat II aims to draw attention to the fact that the urbanisation process causes problems, but at the same time offers opportunities to durably improve the living and environmental conditions of the people. The German Federal government is taking up this challenge. Germany, like the other signatory states to Agenda 21 of the Rio Conference on environment and development, has committed itself to pursuing the goal of a sustainable development in its settlements policy and also to promote this in the European framework. As part of the rich industrialised society, Germany bears a particular responsibility to initiate sustainable development; many causes of the worldwide ecological problems emanate from the

industrialised countries. For example, one quarter of all the people who live in the rich industrialised countries consume three-quarters of all the primary energy.

This national report informs on how settlement policy is understood and practised in Germany in order to sustainably improve the living and environmental conditions for the people. The report attempts to provide a comprehensible presentation even for non-specialists and for foreign readers not familiar with the situation in Germany. This explains the basic and simplistic statements made in the report in some cases.

The report has five parts: The first part, "Principles of the settlement policy in Germany", starts by giving a survey of what is understood in Germany in the mid-90s by settlement policy and on which institutional and financial principles it is based.

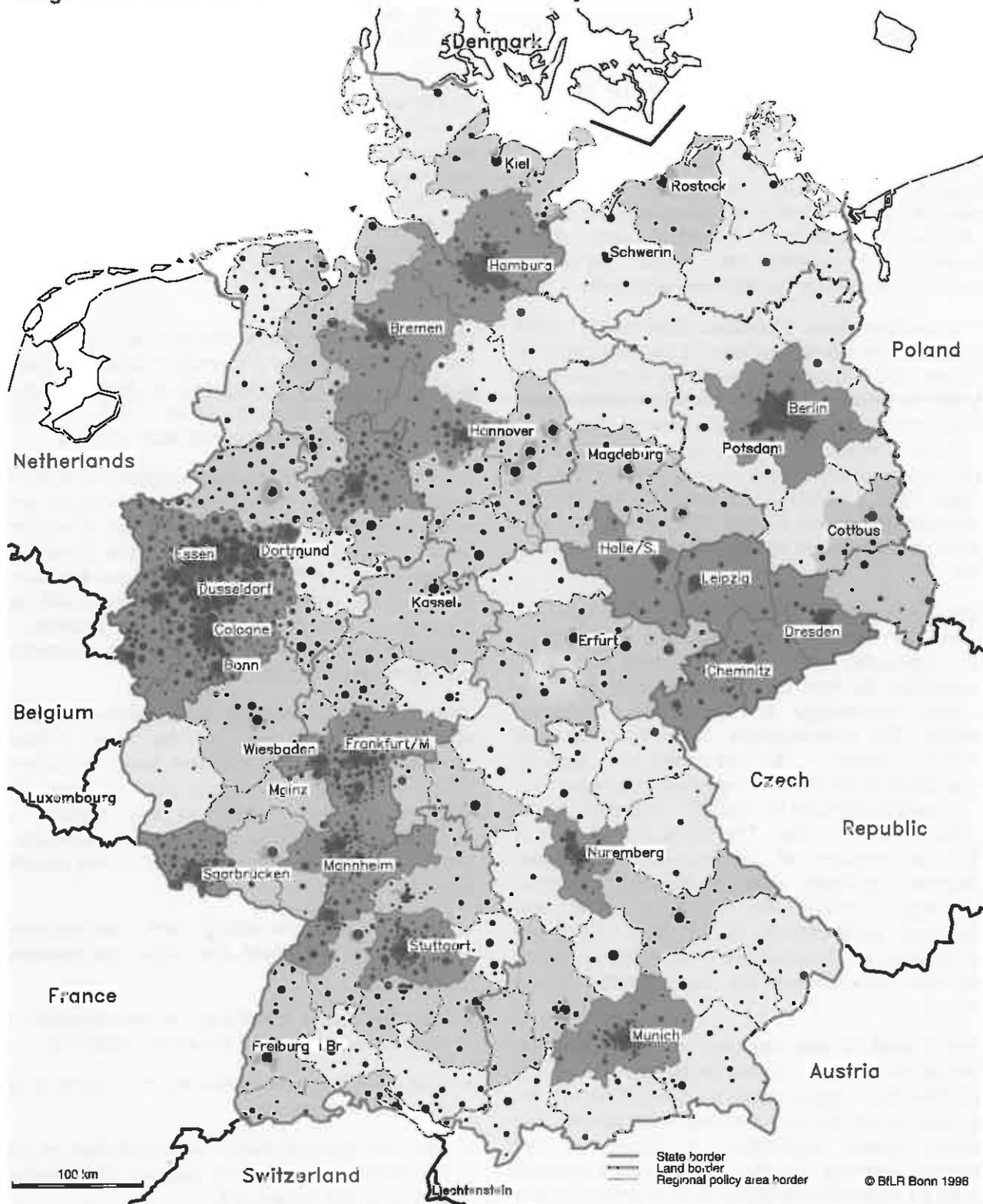
In the second part, "Settlement system and settlement development", the report draws an up-to-date picture of the settlement system and settlement development on the basis of various indicators. The presentation focuses on aspects of environmental pollution and the quality of the environment, the economic and social situation in the cities, the housing situation and housing availability of the people and the elements of the urban infrastructure

The third part, "Functions of the settlement policy", answers the question of the most important foreseeable tasks of settlement policy in Germany. Part four, "Selected concepts and measures of the settlement policy", builds on this question with concrete considerations and positive examples as proof of the use of existing scopes for manoeuvre. It shows:

- how a resource-saving and environmentally compatible settlement and urban development is promoted,
- how the living conditions of economically and socially disadvantaged groups are improved,
- how an appropriate availability of housing for all is achieved and assured,
- how the establishment and installation of urban infrastructure facilities is assured and developed further for the future, and
- how cities can develop into attractive and future-oriented economic locations.

The fifth part reports on development policy cooperation at various levels.

# Large-scale settlement structure and urban settlement system



Agglomeration areas	Urbanised areas	Rural areas
Central cities	Central cities	
Surrounding counties	Surrounding counties	

Towns according to population
• 10,000 to less than 20,000
• 20,000 to less than 50,000
• 50,000 to less than 100,000
• 100,000 to less than 300,000
• 300,000 and more

Source: Spatial Monitoring of the Federal Research Institute for Regional Geography and Regional Planning (BfLR) – counties, communes

## Urbanisation Process and Sustainability

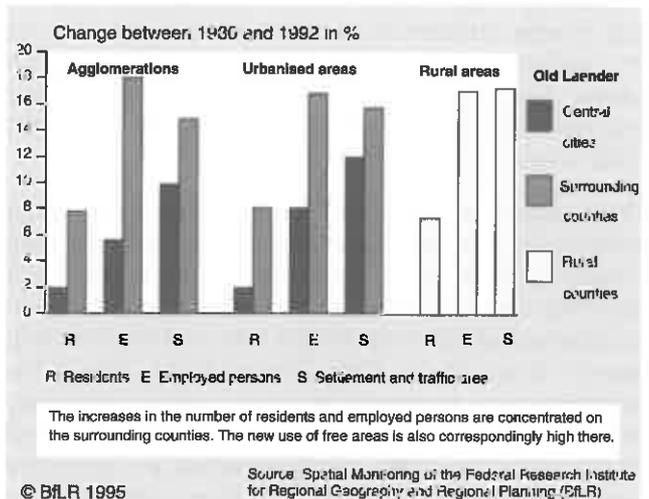
Human settlement policy in Germany is based on democratic and pluralistic principles. As in the past, the future settlements development in Germany will therefore be a compromise between different social demands. The predominant question will be how the future settlements and urbanisation development can be reconciled with an ecologically compatible development model which contributes to maintaining the natural fundamentals of life for coming generations, and which allows the states which do not belong to the rich industrialised countries a fair chance of development.

**Sustainable development** - the latest development paradigm since the UN Conference on Environment and Development in Rio in 1992 - can serve as the starting point for such a settlement policy. The global task of the sustainable development must lead to consequences at national, regional and communal level. The industrialised states in particular, with their ruthless exploitation of natural resources, must face up to the criticism and develop ecologically compatible settlement strategies.

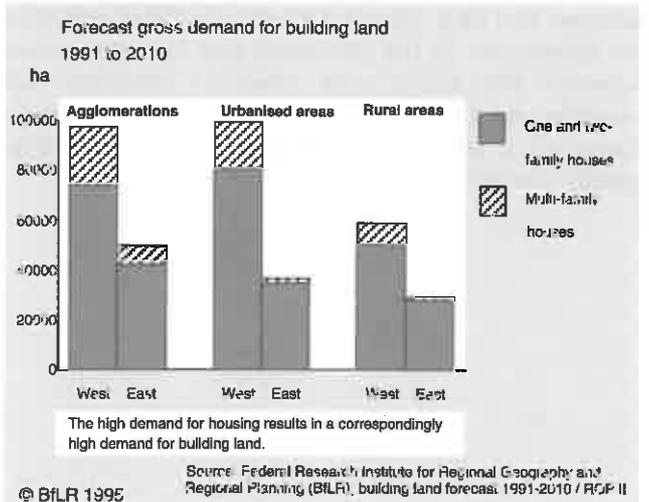
The current trends in settlements development and the foreseeable further perspectives under status quo conditions show that the settlements development in Germany is still a long way from being sustainable. The urbanisation process is continuing. The demands from private households for accommodation and the location demands of companies in conjunction with economic cost/benefit considerations are the primary driving forces for the continuing expansion of settlement areas. Settlement growth is shifting further and further from the central towns into towns and communes in the surrounding areas rather like a wandering sand dune. The result is a further land-consuming spatial expansion of urban agglomerations, a further increase in motor traffic with a consequent increase in environmental pollution due to immissions and noise, a further loss of green areas near the settlements and a further reduction in ecological compensation functions.

The unrestricted urbanisation process causes not only ecological but also social problems. Particularly in the central towns, it results in structural deficits. Whilst the high-income population groups move into the urban fringe, the lower income groups are left behind. Many households in the agglomeration areas have difficulty finding affordable accommodation. The problems of poverty predominantly produced by unemployment often only become apparent under living conditions intowns. This is further intensified by the rapid

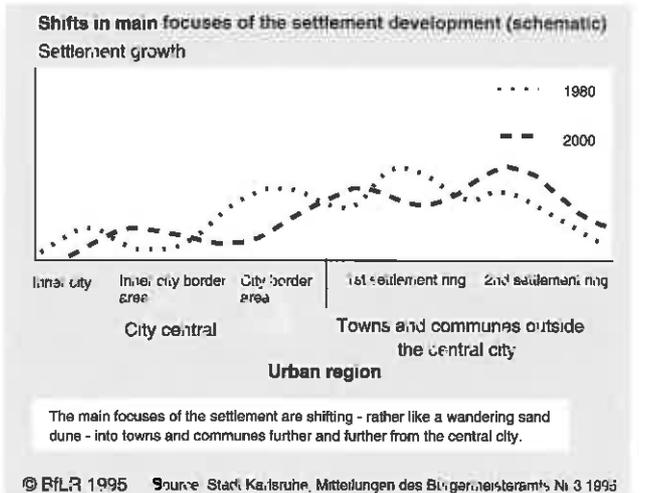
### Resident, employed person and settlement area development



### Forecast demand for building land



### Urbanisation in urban regions



changes in economic structures which lead to considerable job losses in the traditional industries and a large number of new, poorly paid jobs with no job security in the consumption-oriented service sector. The price of the accelerated modernisation process are social segregation processes in certain urban areas.

The economic development perspectives of the towns in Germany and their finances are also very different. Polarising development patterns are to be seen: For the West German towns and urban regions, the span for future developments ranges from stability to strong growth. A few of the East German towns will, in the long term, take on the development pattern previously known only in the West. Many of the towns in the East of Germany, however, are threatened by persistent employment and job market problems and a further decrease in the population. Although the economic gap between West and East Germany will be reduced in the medium term, at the same time the differences between the East German towns and cities and thus the differences in the economic and financial power between the towns and cities in Germany will nevertheless become larger. And so the financial scope for a sustainable settlement policy will differ greatly from town to town.

## **Selected Concepts and Measures of the Settlement Policy in Germany**

Room for manoeuvre for a town of the future, for a sustainable settlements and urban development exists in different fields of activity. The report shows that there are a large number of different starting points for the process of a sustainable settlements and urban development and that numerous measures are employed at the different spatial levels of action in order to reach this target. This shows that there is scope for achieving the goal of sustainable development even within the existing boundary conditions of the state as a whole.

In the light of the two central themes of HABITAT II, "Adequate shelter for all" and "Sustainable human settlements development in an urbanising world", the report underlines the following main tasks for the settlement policy in Germany:

- Promotion of a resource-conserving and environmentally compatible settlements and urban development
- Assurance of a socially compatible settlements and urban development
- Creation and assurance of an adequate availability of housing for all
- Creation and assurance of a sustainable urban infrastructure
- Urban development for attractive and sustainable business locations

Goals and principles are the first step towards sustainability, concepts and measures and their implementation are their essential continuation. The central intention of the report is therefore to show, using concrete considerations and examples, how settlement policy is implemented in practice in Germany. Attention is given particularly to selected positive examples, i.e. projects and attempted solutions in the sense of the "best practice". As representatives of many other examples equally worthy of mention, they illustrate the feasibility and variety of the concepts and measures, i.e. possible ways of reaching the goal of fulfilling the settlement policy tasks in Germany.

### **Promotion of a resource-conserving and environmentally compatible settlements and urban development**

A sustainable settlements and urban development can only be achieved in a long-term search and coordination process, whereby the social demands for

land use have to be reconciled with the natural fundamentals of life. This underlines the importance of the settlement policy, in particular the integrating spatial planning, for achieving the goal of sustainability, since its primeval tasks are the coordination and cooperation of a very wide range of land-use demands.

Settlement policy as a social task involves an interaction of different responsibilities. In addition to the commune as the level directly affected by the settlement policy, there are also a large number of other institutions at Federal and Laender level whose work can influence a sustainable settlements and urban development, whereby the different levels of action have clear spatial differences: At Federal level, settlement policy works on a macroscopic supra-regional scale; at Laender level, it focuses on regional and inter-communal aspects, whereby the cooperation between central town and the surrounding communes is constantly growing in importance in the urban regions. Finally at the communal level, questions of smaller scale areas and of the inner city as well as property and building-specific questions come to the forefront of the settlement policy.

The contents and results of the work of the main players and actors in the settlement policy are equally as varied as the bodies involved: Programmatic and conceptional approaches, informal voluntary agreements, legally binding prescriptions, economic incentives or technical rules exist. However, more and more concepts and measures are now aimed at influencing private households and companies in their decisions for locational and behavioural patterns by means of incentives and provisions in the sense of a sustainable development.

As far as the Federal level is concerned, the Federal and Laender governments agreed in the Guidelines for Regional Planning of 1992 to align regional and settlements development in Germany to the example of the decentral concentration. This decentral concentration aims to control and distribute the settlement activity in such a way that on the one hand, unhealthy agglomerations are avoided and, on the other, people cannot only live but also work and spend their leisure time in their immediate surroundings instead of constantly having to drive long distances by car.

The principle of decentral concentration can be regarded as a central (ecological) example of future regional development aligned with the settlement structure. Only the strict pursuit of this concept will create the regional and structural preconditions for

bringing the functions of work, home, services and leisure closer together again.

The political possibilities of the Federal government for influencing the settlements and urban development are not, however, limited to the provisions of programmatic guidelines. Far more important are the further development of planning law principles geared to the future requirements of a sustainable settlement and urban development as well as financial support. The most important financial measure of the Federal government for the modernisation and development of the towns and cities are the urban renewal and town development funds. It is the joint responsibility of the Federal and Laender governments and the communes to maintain, renew and develop the towns, cities and villages. Urban renewal and town development funds for modernisation and development measures in the towns and cities promote urban renewal and town development on equal terms. The instrument of the urban renewal and town development funds can thus be seen and used not only in its environmental and socio-political functions, but also under politico-economic aspects.

The programmatic and conceptional ideas of the Federal government for settlements development are put into concrete terms and into practice in particular by the Laender. At Laender level, a well-coordinated system of development programmes and plans containing general targets for the aspired settlement development and the individual "Land"-specific concepts has existed for many years. These general targets are concretised by the regional planning and implemented as binding guidelines for the communal planning.

However, plans as instruments for influencing settlements development have lost significance in recent years. Regional planners are increasingly recognising that it is more important to win over the implementing partner, i.e. the commune, for the objectives defined in the plan before the plan is finalised. Greater cooperative regional development is demanded in which the regional planners take on the role of a regional development manager with the portfolio "settlements development". Different forms of intercommunal cooperation are therefore increasingly growing in importance in the complex sphere of settlement policy.

Furthermore, market-controlling instruments from the environmental protection policy and settlement policy, i.e. instruments distinct from plans and cooperation, have also been increasingly under discussion for some years. Such instruments are designed in the long term to change the behaviour of the different

actors (private households, companies) in order to achieve the goals by means of 'sustainable ecological prices', i.e. prices intended to induce sparing use the scarce natural resources.

The report deals at length with the settlement policy at communal level, since the concrete start of sustainable settlements and urban development must be at the communal level. Existing burdens should be removed and new environmental impacts should be avoided or minimised and compensated. Towns and communes have a key role to play in both the planning and implementation of land use and in the execution of the environmental protection legislation of the Federal and Laender governments. Their decisions shape the local living surroundings as well as the social and natural environment of the residents and companies.

A resource-conserving and environmentally compatible settlement policy at the communal level is, on the one hand, a classic task of the communal environmental policy. It deals with, for example, prevention of air pollution, with waste disposal, sewage treatment or noise control. On the other hand a sustainable settlement policy is also cross-sectionally oriented when, in the urban development and structure planning, it comes to achieving the most environmentally compatible and efficient land use and town development, or when it comes to developing traffic avoidance and energy supply concepts.

The report underlines the inner-city development, i.e. measures for urban renewal, urban conversion and urban fringe development as a central component of a town development strategy aimed at sustainability. The primary aim of these measures is to maintain the attractiveness of the particular location. Maintenance and conversion of the existing land must be used to suppress as far as possible the urge to expand outwards. This necessitates, amongst other things, revitalising town centres and ensuring a balanced mixture of functions. This also includes making towns more pleasant in which to live, for example by conserving buildings of historic or monumental value. Secondly, these measures also strive to achieve a further concentration of the available land. Unused and under-used land (gap plots, fallow land and conversion land) should be (re)activated and thus the land used more intensively and more efficiently. In particular, concentration in the existing settlements also offers a chance of improving the functional mixture by a further enrichment of functions.

From the point of view of sustainability, urban expansion, urban conversion and urban fringe development have one main aim: To further inner city

development in order to be able to reduce expansion outwards. In perspective, however, urban expansions will nevertheless also be necessary. In this development, it will be particularly important to ensure that the expansion as a whole is kept within ecologically acceptable limits. It will be essential to examine how these expansions, if they are really unavoidable, can be carried out with less environmental impact than in the past, i.e. with better adaptation to the locality, more compact, with less land use and with a better mix of functions.

It is after all important to give greater consideration to ecological aspects during the actual building. It starts with the establishment of environmentally compatible supply and disposal structures (particularly for energy, water and waste) and finishes with the sparing use of materials and recyclability of the materials used.

### **Assurance of a socially compatible settlements and urban development**

A socially compatible settlements and urban development must be guided primarily by targets of social justice in distribution and chance. Efforts must also be made to recognise and compensate the disadvantages and risks of lower-income and more vulnerable groups of the population (for example, the homeless, single-parent families, foreigners and refugees, older people). Furthermore, socially compatible settlements and urban development must permit chances for self-determined action and planning. In a pluralistic society individual life planning as well as self-organisation and self-determination in the neighbourhood must be possible for private households in different phases of the family cycle, with different cultural backgrounds and different financial scopes for manoeuvre.

In order to achieve the aims of a socially compatible settlement and urban development it will be necessary in the future to regard participation as a natural part of the planning procedures. Democratic power-sharing creates a better basis for durable and tolerable solutions. This becomes particularly important when, in times of financial stringency in the communes, aims of socially compatible settlements and urban development are in competition with economic and ecological aims. There are various approaches to assuring the targets of socially compatible settlements and urban development: Approaches with spatial reference, with target-group reference and with process reference. The concrete approaches to be taken depend mainly on the local conditions.

The report illustrates, on the one hand, approaches for an urban renewal and town development policy of social compensation. Individual measures here are,

inter alia, a problem-oriented social reporting, district-specific social work and the consideration of social needs in the urban development and structure planning and in the urban renewal. On the other hand, it looks at special in the urban development and housing policy concepts and measures for improving the living and housing conditions of disadvantaged groups, in particular the elderly single-parent families and the homeless. One major focus of attention is concentrated on preventive measures, in other words measures to ensure and expand the availability of low-cost housing as well as measures to counter unemployment and poverty.

Furthermore, the report takes a special look at the consideration of women's interests in the settlements policy. Many women today no longer want to be just mothers and housewives, or have to earn their living themselves. The more these needs and demands have grown in the past, the more clearly the discrepancy between social development and spatial structures has become apparent to the women concerned. The more urgent is therefore also the task of giving a greater consideration to the interests of women in the spatial planning. Two possible approaches are open here: Institutional approaches (for example, offices for women, equal-rights jobs) and the integration of women's interests into spatial planning procedures.

#### **Creation and assurance of adequate availability of housing for all**

Housing policy in Germany is a pluralistic process. The different levels of Federal and Laender government and the communes as well as a large number of social groups in the run-up to political decisions play a role in its conception, legal form and implementation.

Under the provisions of the Second Housebuilding Act the responsibility for the housing policy lies with the Federal and Laender governments and the communes. The general legislative framework provisions for the housing market, for example rental provisions, taxation provisions to promote housebuilding, rental assistance legislation and framework provisions for construction are laid down at the Federal level. Furthermore, the Federal government supports the Laender governments with funds for social housing construction.

The responsibility for the concrete working of the housing policy lies with the Laender governments. They are directly responsible for deciding on the award of direct funds for housing construction, are involved in the making of Federal law and enact their own laws which complement or supplement the Federal laws.

Within the scope of the framework plan laid down by the Laender government, the communes decide in particular on the designation and provision of building land and also bear a high degree of responsibility for housing policy. In addition the communes also supplement the Laender funds for housing construction and are responsible for the provisional accommodation of emergency housing cases.

The associations of the building and housing trade, house and property owner associations, tenants' protection associations, settlement associations, building societies and mortgage banks, in particular, are also involved in the making of housing policy as social interest groups. No fixed organisational framework exists for this. They influence and participate in parliamentary procedures, for example in hearings, and their knowledge and experience is incorporated into the legislation.

The report shows in detail the concepts and measures with which social housing is assured in Germany, and how private investment in housing construction is promoted so that a balance of housing supply and housing demand is ensured. An important precondition for this is the provision of suitable building land at affordable prices. The report focuses particular attention on the new Federal Laender where a functioning housing market is now being established on the basis of market economic principles and socially assured by selective individual supporting payments.

#### **Sustainable further development of the urban infrastructure**

The safeguarding and improvement of the urban infrastructure in Germany starts with two problems and pursues two objectives: Firstly, the serious differences in supply which still exist, particularly between West and East, must be eliminated and the existing level of supply must be assured even in times of extreme social change and limited financial flexibility in the public sector. This applies in particular to the social infrastructure. Secondly, the technical infrastructure of supply and disposal, including traffic facilities, must be maintained and renewed with the aim of improving the environmental situation in the cities and thus retaining the natural fundamentals of life.

A mobility policy compatible with the needs of towns and cities plays a key role here in turning the trend in the urbanisation process into a sustainable development. In order that the towns and cities can continue in the future to fulfil their function as economic, trade and cultural centres, and particularly as places to live, measures are necessary which reduce the avoidable traffic in the cities as far as

possible and cope with unavoidable traffic in the most environmentally safe manner possible. The report draws attention to the promotion of local public transport and non-motorised traffic and to a more effective mobility management, particularly for handling the essential urban commercial traffic, as important individual components in such an environmentally compatible traffic policy. The long-term aim of spatial planning must be a town with short distances between its major points, which generates minimum traffic and which increases the chances of an environmental association.

The focal point of a sustainable further development of the supply and disposal infrastructures are, in particular, measures aimed at reducing the use of the resources and minimising emissions. The report presents concepts and measures for conserving the water resources, for avoiding waste and for saving energy. The saving of fossilised energies plays a central role in a climate protection-oriented energy supply. The amendment to the Heat Protection Ordinance and the Small Fireplaces Ordinance were first steps in this direction in Germany. A further important role is also played by the better coordination of the line-bound energy infrastructure to be expanded and the energy demand. The use of efficient energy supply systems is to be improved. Energy concepts which have been drawn up in the meantime by most larger towns and communes are important instruments for coordination and implementation.

Attempts are being made to promote decentralised and user-friendly structures in order to assure the social and cultural infrastructure systems. For this, itinerant and mobile services are being developed, the important company sizes are being reduced and the "district culture", for example, is being promoted more strongly and neighbourhood aid is being expanded. In order to achieve decentralised supply structures, the administrations and decision-making bodies must be strengthened at the communal level and the residents and social groups involved in the various considerations. This will help to ensure that the jointly found solutions will then be supported and accepted by the people. Overall, the restriction of the (financial) scope for manoeuvre will be countered by a more intensive cooperation and by a more intensive utilisation of the resources.

#### **Urban development for attractive and sustainable business locations**

The attractiveness of a location is a benefit in competition which is reflected in higher investments by the companies and a wider range of jobs. On the other hand, the design freedom and scope for

manoeuvre in urban development and settlement policy depends to a great extent on the economic success of the local companies and on the income of the employees, since the financial strength of the towns and cities is directly influenced by the trade tax and the splitting of the income tax. Indirectly the economic strength of a town and the scope for investment in urban construction is affected by the level of the social expenditures: Money which has to be spent on social assistance is not available for other purposes.

It must also be considered, however, that the sustainability is threatened also - and in particular - by an excessive competition for locations between the towns and regions. Modern and well developed communications structures, the outstanding incorporation into the national and international traffic infrastructure, the availability of adequate reserves of space will be of critical importance for successful competition for the favour of companies willing to settle in an area. It is not difficult to imagine that in the light of such competition, sustainability aims can easily fall by the wayside. Urban construction measures to improve the attractiveness of the location must therefore be ecologically compatible. The aim must be to create attractive and sustainable business locations.

In the long term this necessitates close cooperation between communes and companies. The possibilities for taking environmental aspects into account here can cover a wide spectrum of measures: From the choice of sites for the business locations through the type of development (technical supply and waste disposal) and landscaping right up to the choice of the companies, possibly linked to an influencing on the starting materials and production methods. These possibilities must be utilised if the towns wish to make progress also as business sites on the road to sustainability.

### **Improvement in the international development cooperation**

In international cooperation, the German Federal government has been promoting projects of integrated urban development for more than 20 years. The aims are to improve the availability of homes for the poorer classes of the population and improve the living conditions in spontaneous settlements and slums, where "helping the people to help themselves" plays a central role. The primary aims of the strategy employed and supported in particular by the World Bank include the improved meeting of basic requirements, greater participation of the people

affected, strengthening of the ability of the people to help themselves, legalisation of illegal land ownership, coverage of the costs of public services and lowering of excessive building and infrastructure standards. In many countries, integrated redevelopment and urban expansion projects have contributed to stimulating a discussion on the urban development policy predominating up to that time and which - whether intentionally or unintentionally - was often oriented to the models of the Western industrialised countries.

The new sector concept, "Environmentally compatible communal and urban development", published by the German Federal Ministry for Economic Cooperation and Development (BMZ) in September 1995 developed further the principles for supporting development cooperation projects in the field of urban development. The sector concept describes the intervention possibilities of the development cooperation in this complex field on the basis of the experience to date and of the discussion about a more environmentally compatible urban development which has been more strongly conducted in recent years. In particular it translates the recommendations of Agenda 21 of the UN Conference on Environment and Development held in Rio de Janeiro in 1992 into a manual for the planning and performance of projects in German development cooperation.

In addition to the development cooperation between states, there are a large number of other non-profit organisations which, together with partner organisations in developing countries, are active in the field of settlement and housing policy, such as the German development aid for housing and settlement and the church development aid organisations.

Processes and projects of communal urban development in developing countries can be effectively supported by education and further training measures. Such measures are generally monitored by the German Foundation for International Development. The concrete aims of the Federal government's advisory policy in the field of settlement policy, particularly for Eastern Europe, are the repair and modernisation of the building substance, the improvement of the urban infrastructure and the reorganisation of the legislative boundary conditions towards democratic, market-oriented, decentralised planning processes. Many of the countries in Central and Eastern Europe can profit from German's experience in coping with the transformation process in the new Laender.

The direct cooperation between communes or towns (town partnerships) is of major importance. Many German towns already have town partnerships with

communes in the developing countries and provide a specific contribution in the field of redevelopment and consultation in the duties of communal self-management. Such partnerships are also suitable instruments for the exchange of information and knowledge on the problems of settlement development, their structure and causes as well as on concepts, measures and instruments for solving problems between specialists in the fields of settlement planning and settlement policies. Through the international communal associations (e.g. Communes and Regions Council (RGRE) and International Union of Local Authorities (IULA)) the German cities also promote inter-communal exchanges of experience at an international level in implementation of Agenda 21.

## Conclusion

In the international comparison, there are good preconditions for a sustained settlement and urban development in Germany. This applies not only to the comparatively favourable settlement and urban structures but also to the economic and technological potential, know-how and environment consciousness. If - thanks to these preconditions - a corresponding turnaround in the settlement and urban development in Germany is made possible, we can succeed in coming very close to the image of a sustainable development. The towns and cities in Germany could then both contribute to a reduction in the use of the resources and in the global environmental impacts as well as serving as examples for a sustainable settlement and urban development in other countries of the world.



Habitat Global Best Practices Initiative in Improving the Living Environment

## German Best Practices



# Preface



On the occasion of the Second Conference on Human Settlements, the HABITAT II-Secretariat has called for a worldwide competition of projects for the sustainable development of cities and settlements („Best Practices“). The German examples participating in the competition demonstrate impressively how cities and settlement areas can contribute towards an environmentally, economically and socially compatible development.

Based on the resolution of the German National Committee for HABITAT II, a selection of German model projects is presented as the national contribution in the framework of HABITAT II. This documentation provides a concise overview of the individual projects. It may thus serve the exchange of experiences for the future of sustainable settlements.

A handwritten signature in black ink, which appears to read "K. Töpfer". The signature is written in a cursive style with a long horizontal stroke above the first part of the name.

Prof. Dr. Klaus Töpfer, Member of the Bundestag  
Federal Minister for Regional Planning,  
Building and Urban Development



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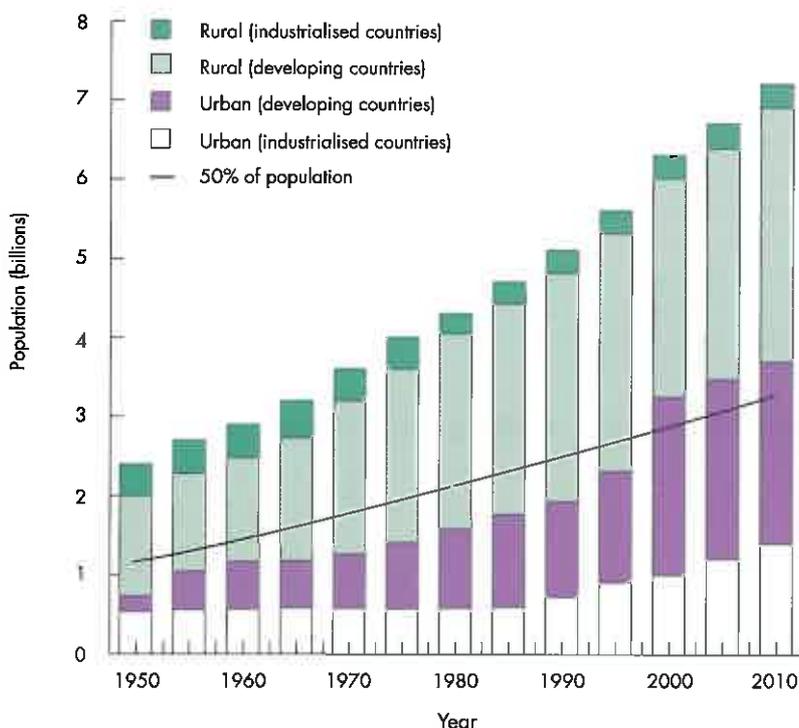


# The Global Task

The global impacts of progressive urbanisation in the world and the serious housing shortage that still exists in many countries moved the General Assembly of the United Nations in 1992 to hold the Global Conference on Human Settlements, Habitat II. As themes of the City Summit the General Assembly has defined „Sustainable Human Settlements Development in an Urbanising World“ and „Adequate Shelter for All“.

The challenges have increased dramatically since Habitat I in Vancouver, Canada, in 1976. The world population is growing daily by more than 250,000 people. The efforts to date are not sufficient to ensure a general minimum subsistence.

## The urbanisation of humanity



Source: Habitat News, Vol.16, No.3, Dec. 1994

The percentage of people living in cities is growing at the same time. In Europe and America, three-quarters of the people already live in cities. By the year 2005, according to forecasts, half the people will be living in cities. The city will thus also become the dominating living space even in the developing countries.

Production of goods, turnover of energy and materials, and transport services are concentrated in the cities. It is undisputed that the cities do not only bear responsibility for their local environmental situation, but also increasingly for the global ecological problems. The consequences of an economic and prosperity growth - for example the growing consumption of free land for settlement purposes and the increasing demand for mobility - find their spatial expression in the cities. The cities are the place where the problems of resource-consuming and environment polluting ways of life and economic forms which threaten the natural resources and ecosystems worldwide can be felt most clearly and most insistently. The chances of a global policy for sustainable development are thus decided in the cities.

Habitat II aims to draw attention to the fact that the urbanisation process causes problems, but at the same time offers opportunities to durably improve the living and environmental conditions of the people. The German Federal Government is taking up this challenge. Germany, like the other signatory states to the Agenda 21 of the Rio Conference on environment and development, has committed itself to pursuing the goal of a sustainable development in its settlements policy and also to promote this in the European framework. As part of the rich industrialised society, Germany bears a particular responsibility to initiate sustainable development; many causes of the worldwide ecological problems emanate from the industrialised countries. For example, one quarter of all the people who live in the rich industrialised countries consume three-quarters of all the primary energy.

This global task must lead to consequences at national, regional and local level. In particular, the communes can act in those places where problems arise. Due to the declining natural and financial resources and the economic and social changes related to this, the mandate of the Agenda 21 provides the communes with opportunities to initiate a process of finding social consensus concerning a general development concept for the 21st century. **Therefore, the question is how to shape the different structures in our cities and regions at the beginning of the 21st century in order to offer a stable and sustainable future for our community to our citizens.**

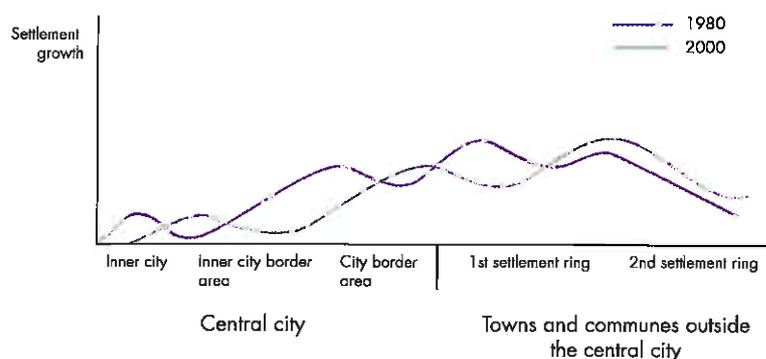
# Exhibition of Best Practices of the Federal Republic of Germany

In preparing the UN World Conference, Habitat II, the German National Committee, representing the Länder, the local administrations, social institutions and major nongovernmental organisations, has recommended this exhibition of national best practices.

The Federal Research Institute for Regional Geography and Regional Planning conceptualized the exhibition on behalf of the Federal Ministry for Regional Planning, Building and Urban Development. It was prepared in close co-operation with external project holders: they have provided the individual contributions to the model examples. Besides, the Federal Ministry of Economic Cooperation and Development is involved in this exhibition as well, which, by the video „Strategies for Developing Cities“, presents different examples of development co-operation. The German National Committee Habitat II has accompanied the work on the exhibition as well as the other national activities for the UN World Conference Habitat II with advice and has finally decided on the selection of best practices and on the exhibition. At this point we would like to thank everyone who has provided their knowledge and advice for their co-operation.

The current trends in settlements development and the foreseeable further perspectives under status quo conditions show that the settlements development in Germany in general is still a long way from being sustainable. The urbanisation process is continuing. The demands from private households for accommodation and the location demands of companies in conjunction with economic cost/benefit considerations are primary driving forces for the continuing expansion of settlement areas. Settlement growth is shifting further and further from the central towns into towns and communes in the surrounding areas rather like a wandering sand dune. The result is a further land-consuming spatial expansion of urban agglomerations, a further increase in motor traffic with a consequent increase in environmental pollution due to immissions and noise, a further loss of green areas near the settlements and further reduction in ecological compensation functions.

## Settlements development like a shifting sand dune



### Urban region

The main focuses of the settlement are shifting - rather like a wandering sand dune - into towns and communes further and further from the central city.

Source: City of Karlsruhe, 1995

Nevertheless, the exhibition shows that there is a large number of different starting points for the process of a sustainable settlements and urban development and that numerous measures are employed at the different spatial levels of action in order to reach this target. This shows that there is scope for achieving the goal of sustainable development even within the existing boundary conditions of the state as a whole.

The case studies present the current practice within the decentralised planning system of the Federal Republic of Germany. They contribute to

- a resource-conserving and environmentally compatible settlements and urban development
- a socially compatible settlements and urban development
- an adequate availability of housing for all.

The theme „**Sustainable Human Settlements Development in an Urbanising World**“ is presented by qualified, integrated approaches of action, initiatives, projects or actions on different spatial levels, which have resulted in improvements of the quality of life and of the living environments of people in a sustainable way.

The theme „**Adequate Shelter for All**“ is illustrated by socially compatible housing projects with different main focuses.

## Theme „Sustainable Human Settlements Development in an Urbanising World“

The theme „**Sustainable Human Settlements Development in an Urbanising World**“ includes the following subjects on different spatial levels.

**Innovation in Housing and Urban Development** is a practical programme of the Federal Ministry for Regional Planning, Building and Urban Development. It is managed by the Federal Research Institute for Regional Geography and Regional Planning.

### **Urban Networks - Inter-Urban Co-operation and Spatial Interdependencies**

The main interest is focused on how voluntary and sustainable interurban co-operation can be achieved in questions of settlement policy. Selected case studies from the research field **Urban Networks** of the Innovation in Housing and Urban Development programme will be presented.

### **Revitalizing Urban Agglomerations**

The **International Building Exhibition Emscher Park** promotes strategies for redeveloping the main industrial region in the Federal Republic of Germany, the Ruhr area.

### **Urban Management of Structural Transformation**

It was at the peak of the structural crisis in 1988 that an integrated approach was designed for **Duisburg** to achieve a more efficient urban management of structural changes.

### **Protecting and Recovering Open and Green Areas**

The objective of the **Green Belt** planning of **Frankfurt am Main** is to protect the existing open spaces in the long term and to stabilise them in their structure, to reduce existing strains on them and to improve their quality as a habitat and natural place.

### **Urban Rehabilitation, Rebuilding and Quarters in Particular Need**

This topic mainly combines social and ecological aims: The first is to improve the living conditions of the inhabitants who are often disadvantaged groups of the population. The second is to promote inner-city development in order to be able to reduce expansion outwards. Two types of urban areas are presented: **Berlin-Prenzlauer Berg** and **Nürnberg Gostenhof-Ost** as older inner-city quarters as well as **Berlin-Hellersdorf** as a large housing estate.

### **New Districts by Redeveloping Wasteland or Former Military Sites**

New quarters with a mixture of functions will be created by redeveloping wasteland or former military sites. **München-Riem** und **Freiburg Vauban** are presented.

## Theme „Adequate Shelter for All“

The theme „**Adequate Shelter for All**“ includes socially compatible housing projects in the existing housing stock as well as in new housing. These are individual projects which represent general solutions appropriate for everyday life.

<b>Mannheim</b>	- <b>Social Integration of Migrants through Co-operative Housing</b>
<b>Leipzig</b>	- <b>Meyer'sche Häuser - Establishing Self-help</b>
<b>Langenhagen</b>	- <b>Increase in Quality - Decrease in Costs</b>
<b>Schwabach</b>	- <b>Ecological, Sociable and Friendly</b>
<b>Kiel Mettenhof</b>	- <b>Project for Women</b>
<b>Hamburg-Altona</b>	- <b>Women's Housing Co-operatives</b>



**Sustainable**

**Human**

**Settlements**

**Development in an**

**Urbanising World**

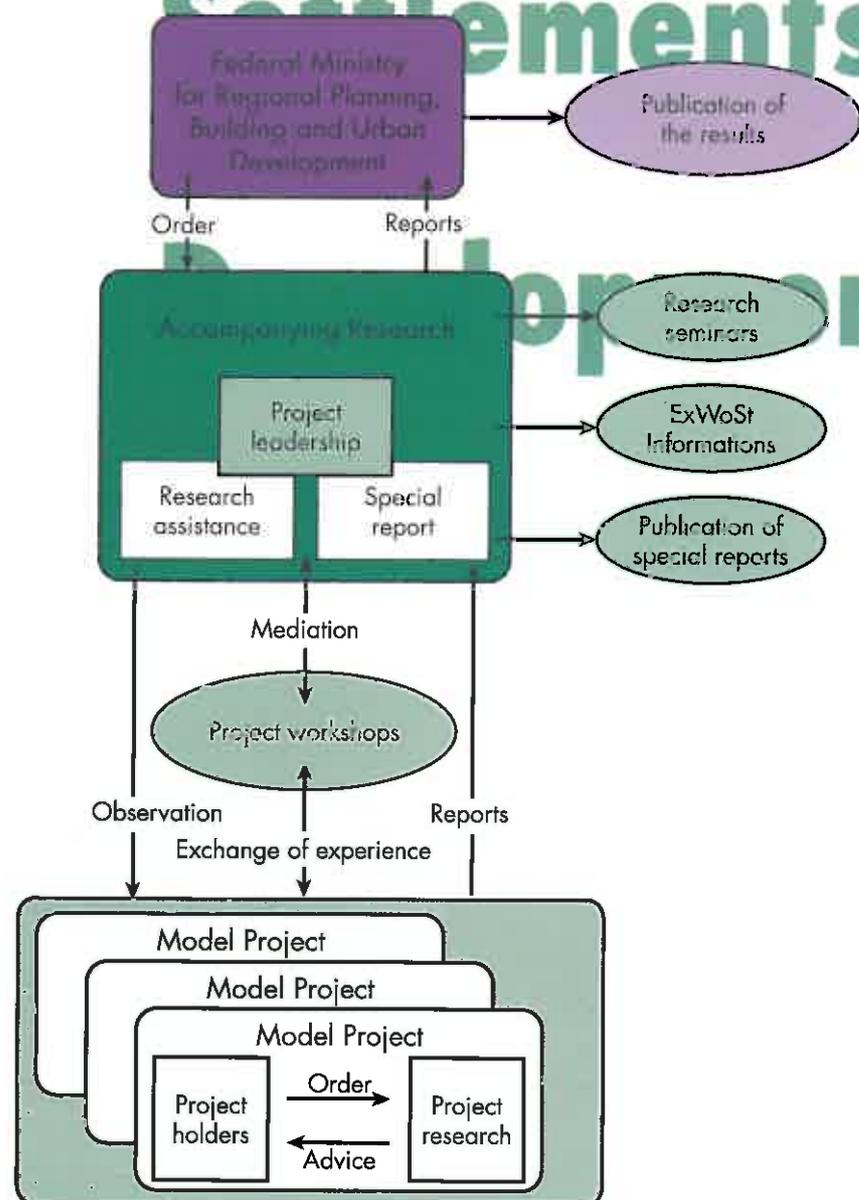
# Innovation in Housing and Urban Development

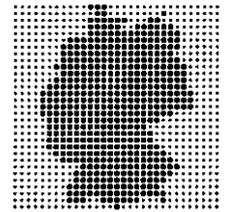
„**Innovation in Housing and Urban Development**“ is a research programme of the Federal Ministry for Regional Planning, Building and Urban Development. Within the framework of this programme, model projects in the form of case studies of selected planning and building measures are financially supported and investigated scientifically. The experiences made in urban development shall give indications of the general conditions concerning urban development and housing set by the Federal Government. Innovation in Housing and Urban Development has become an important practical tool of policy related research and advice in housing and urban development. Since 1987, 320 model projects in over 20 research fields have been assisted.

The research method oriented to the case studies shows the following advantages:

- Closeness to urban development practice
- Pilot function through experimental formulation and innovative solutions
- Exemplary function owing to the realization of practical projects
- Promotion of co-operation and of the exchange of experiences between the actors of science and practice
- Evaluation of the process according to scientific methods
- Fixing of the cognitive interest: „Central questions of research“ as a basis for the selection of model projects and for the evaluation by the accompanying research

## Organisation of Research for the Innovation in Housing and Urban Development





### **Practical research as a measure of political consultation**

Funds of the Innovation in Housing and Urban Development programme for the project holders cover research-related additional costs eg occurring from: Scientific advice and expertise, competitions, special procedural costs, additional expenditure in the phase of planning and building, compensation for risks and costs arising in connection with the model projects as well as the documentation of model projects.

The accompanying research observes the progress of the model projects and evaluates them according to scientific methods in order to get general indications for political consultation. Altogether the tasks of the Innovation in Housing and Urban Development programme strengthen the role of research as policy advice. They require the scientifically founded determination of research fields and focal themes which are relevant in urban development and of basic research questions serving as rasters for search and analysis. Further prerequisites are the goal-oriented selection of model projects and the scientific accompaniment of the supported model projects („accompanying research“). Finally it is expected that recommendations for guidelines and support programmes by the federal legislature can be derived on the well-founded basis of practical results and conclusions.

### **Important current research fields**

- **Urban ecology and environmentally compatible planning and construction**

Objectives: Implementation of ecologically oriented requirements in settlement expansion and within the scope of inward development through the use of the instruments of urban planning.

- **Urban planning qualities in new housing construction - environment-friendly specifications, faster procedures**

Objectives: Assurance of urban planning qualities through the implementation of environment-friendly specifications in planning, construction and use of new residential areas

- **Cost and land-saving construction**

Objectives: Acceleration of urban renewal and of urban development (in the new Laender), avoidance of suburbanisation of the landscape, promotion of home ownership.

- **Conversion - urban planning possibilities as a result of reallocation of military installations**

Objectives: Development of transferable methods and strategies for the use of former military sites, in particular urban planning integration of conversion areas, handling of environmental pollutants.

- **Reduction of pollutants in urban construction**

Objectives: Allowance for the needs of pollutant minimisation in the planning and clarification of the implementation needs and the consequences for the basic frameworks in urban development.

- **Urban development and transport**

Objectives: Improvement in the living conditions by integrated concepts for urban construction and transport strategies in order to reduce the negative effects of transport related to urban development measures.

- **Urban development and mixed utilisation**

Objectives: Implementation of planning concepts of mixed utilisation which pursue objectives such as the creation of urbanity, the increase in urban qualities, breakdown of segregation and avoidance of traffic.

- **Centres (development of inner-cities and urban district centres; urban development integration of large-scale facilities in suburbs)**

Objectives: Revitalisation and functional further development of inner-cities and district centres and incorporation of large-scale commercial, trade and recreational facilities in the suburbs or in the urban belt into urban/settlement structural relations.

- **Urban networks**

Objectives: Practical testing of the cooperation form of urban networks as a regional planning instrument for implementation of settlement concepts of poly-central structure.

- **Housing situation of single-parent families and single pregnant women in need**

Objectives: Improvement in the housing conditions of single-parent families and of single pregnant women in need by linking urban planning, housing construction and social measures.

- **Elderly people and their housing and living conditions**

Objectives: Improvement in the housing and living conditions of elderly people through district-specific concepts and by linking urban planning, housing construction and social measures.

- **Permanent housing availability for homeless**

Objectives: Overcoming housing problems and promotion of the social integration of the homeless.

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# Innovation in Housing and Urban Development

## **The Povel Experience - Revitalization of a Contaminated Industrial Urban Area**

Nordhorn, a medium-sized town in north-west Germany, has been shaped by the textile industry for more than 100 years. With the decline of the European textile industry also Nordhorn had to suffer radical changes in the structure of the city. 1979 the big factory Povel-van Delden was given up. It left an industrial fallow in the heart of the town and a challenge to its citizens: soil and ground water were highly contaminated by industrial production.

The Povel project in Nordhorn has been managing the poisonous legacy of the closed down textile factory Povel-van Delden since 1987.

This was achieved without an export of waste and poison to other regions. With the soil cleaning the basis was made for an unusual ecological town renewal, creating new employment and giving way for private investments.

The Povel project has been supported by the Federal Ministry For Regional planning, Building and Urban Development, the Federal Environmental Agency and by Lower Saxony as a research project of „Innovation in Housing And Urban Development“.



### **Ecological City Renewal**

The success of the Povel model and the fact, that this example for a recycling of urban resources can be applied to any town with similar problems, encourages us to pass on our experience to European cities with their industrial history as well as to the now developing cities worldwide as one possible solution for their forthcoming postindustrial problems.

### **A New Urban Area For Living, Shopping, Working**

Povel now gives home for 500 people. Moreover offices and shops were built. Approximately 300 flats more, commercial buildings and places of employment will be created till the year 2000.

In addition to this - looking forward to an ageing society - a modern center for elderly people has been erected, which is designed especially for the needs of our senior citizens.

With the new Povel an attractive, lively part of town was developed, which has its own infrastructure with shops, offices and surgeries. This and the neighbourhood of the city center but also the green belt around town makes the Povel area a liveable modern habitat, obeying the demands of a positive social and ecological environment and such with standard of living.

### **Phoenix From The Flames**

The revitalization area is surrounded by the historical city center and the waterways of the nearby Vechte river and lake. Framed by canals and watergardens, connected with colourful bridges, paths and unusually designed green areas emerged a „White Water Town“ like a phoenix from the flames.

### **Revitalization - Holistic**

The fact that the City of Nordhorn did not solve its problem to other regions costs, as for example a far away poison dump, but instead cleaned the soil on the spot and so made way for a new public use, shows in an impressive manner, that man is willing and able to face an unknown challenge in his immediate urban environment and to correct development errors in his own responsibility.

**Nordhorn**  
**Povel**

### High Think - Low Tech

- After 100 years of industrial production on an area 15 hectare wide and in 5 minutes walking distance from the city center anorganic toxic substances were found, mainly metals out of the textile dying processes. In addition to this organic compounds, such as mineral oil, chlorinated hydrocarbons and others, polluted the ground.
- Due to the holistic renovation on the spot the not yet urbanized areas around town need not to be developed and keep their function as a retreat for nature: a local aspect with a global dimension.
- Nordhorn pioneered in daring a soil treatment on the spot by using biological means almost exclusively with the aim to household with the given resources. For this it was necessary to reduce the amount of soil that had to be cleaned. This problem was solved by the exact historical analysis of the sites and processes of production and the waste treatment as well as by exactly spotted soil samples and analyses.
- Since the soil areas with their different contaminations were not mixed up an appropriate inexpensive method could be chosen or developed for each specially contaminated soil part.
- On the whole 200.000sqm ground were dug out, sorted and, if necessary, cleaned. More than half of the dug-out and analyzed material could be reinstalled instantly because it was not polluted. The biggest part of the contaminated soil was cleaned biologically, that means in huge humus soil beds with their natural bacteria and fungi, on the Povel area. The toxic waste concentrated in the water seeping through the beds and was transported to a poison dump.
- Less polluted soil was thrown up to experimental „ecotechnological hills“. The hills are covered with humus soil and left to the natural decomposition. The hills are integrated in the garden department of the Povel area.
- Highly contaminated soil which could not be fed to the microbes was cleaned technically in a special soil-washing machine. This kind of soil made a mere 3% of the whole treated ground. Only 0,7% of the Povel soil was highly concentrated material out of cleaning processes and had to be transported to an incinerating plant or depositing site for poisonous waste.
- The former waste disposal site of the Povel factory was secured against seeping through, covered with soil and will be part of the new Povel park.



### Ecology And Economy In Balance

Apart from the far-sighted ecological city renovation also an economical effect came to be a gain for our town: concerning the city economy the project and the money spent on it have been most effective since the Povel renewal caused investments from private side 10 times higher than the public money spent on it. The project is throughoutly financed. The costs are low compared with the costs for the „classical method“ of complete soil exchange and the transport logistics bound up with this.

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# Inter-Urban Co-operation and Spatial Interdependen- cies

Arnhem  
Nijmegen  
Emmerich  
ANKE  
Kleve

Region Trier-  
Luxemburg  
Bifburg  
Wittlich

Luxemburg  
Trier  
Hermersdorf

## Urban networks: A strategy for a sustainable settlements development

There is one *general idea*: Several cities try to fulfil their tasks for their citizens by joining together in an *urban network*. They try to use their tight financial and natural resources in a more economical and efficient way by offering coordinated or common services. There is also the expectation to improve their international competitiveness. The *Federal Ministry for Regional Planning, Building and Urban Development* (in co-operation with the Federal Research Institute for Regional Geography and Regional Planning) presently promotes eleven *urban networks as model projects* in the *Innovation in Housing and Urban Development programme*. In total more than 50 cities are involved.

### "Urban Networks" model projects



- Higher-order central places
- Middle-order central places
- Communes without higher central function
- Cooperation partner in adjoining country

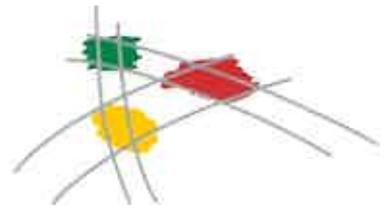
"Urban Networks" model projects are promoted within the scope of Innovation in Housing and Urban Development by the Federal Ministry for Regional Planning, Building and Urban Development  
Sources: Institut Raum & Energie Hamburg, Spatial Monitoring System of the BfL R

Federal Research  
Institute for Regional  
Geography and  
Regional Planning  
(BfL R, Bonn)

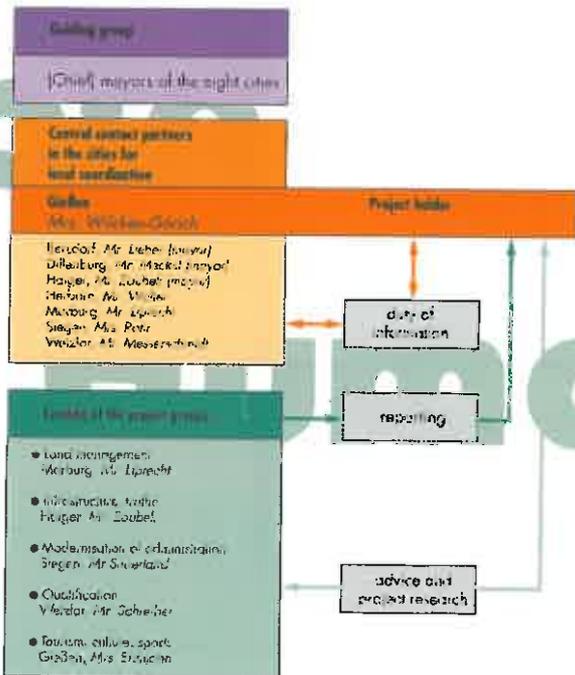
### 10 important *criteria* for urban networks:

- Equality for the co-operation partners
- Voluntariness of the co-operation partners
- Common goal of co-operation
- Common main topics
- Benefits for all partners
- Orientation towards projects, processes and implementation
- Permanent co-operation aiming to increase its efficiency
- Co-operation partners keep their competences
- Diverse tasks oriented to spatial development
- Regional reference with common responsibility for the region

Urban  
Networks



### Organisation of the model project "Städtenetz Lahn-Sieg-Dill"



Source: Städtenetz "Lahn-Sieg-Dill"

### The example of „Urban Development and Land Management“

has the following goals in the „Städtenetz Lahn-Sieg-Dill“:

- to find new and supplementing methods of land management
- to reduce land consumption by land recycling, eg by the
  - conversion of former military sites and
  - the re-use of derelict land formerly used by railway.

### The example of „Technology Network“

The „Schwarzwald-Neckar-Donau-Baar-Quadrat“ (the cities Donaueschingen, Rottweil, Schramberg, Tuttlingen, Villingen-Schwenningen are involved) aims at coping with the structural changes (eg declines in the watch-and-clock and mechanical engineering industry) in a (comparatively) less populated region: The specific linking-up of technology parks and establishment centres, research and consulting facilities shall improve the attractiveness of the locations within the *Urban Network* and the whole region following the objective of a sustainable settlements development.



### The example of „Transport“

The „EXPO-Region“ (the cities Celle, Haineln, Hannover, Hildesheim, Nienburg are involved) faces new challenges. It is

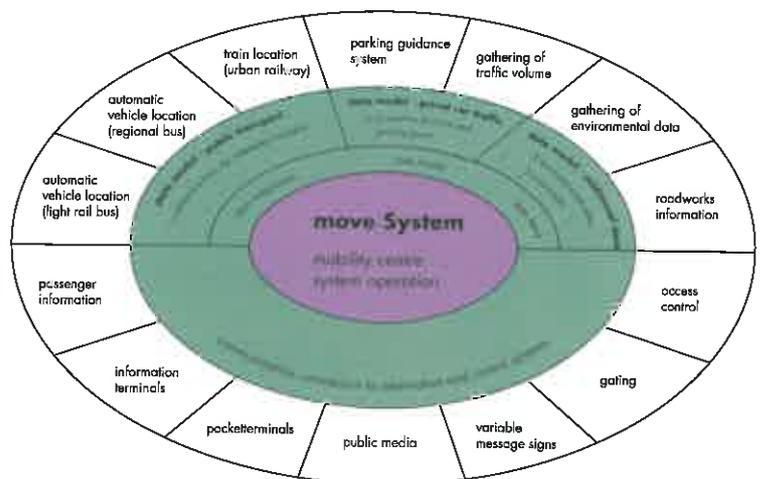
- the crossing point of main European traffic axes
- an international exhibition place
- an attractive economic and touristic location with development perspectives and
- the host of the EXPO 2000 World Exhibition in Hannover.

Investments in the traffic infrastructure and traffic management sector aim at

- efficiency
- environmental compatibility and
- sustainability.

*Individual measures cannot be successful. They have to be packed into a bag of measures which complement one another.*

### Co-operative traffic management Hannover



Source: Landeshauptstadt Hannover/Kommunalverband Großraum Hannover



The „Sächsisch-bayerische Städtenetz“ links cities from the new and the old German

Länder. The cities jointly concentrate on regional subjects and see themselves as a development axe of supraregional and international importance. Therefore the cities co-operate concerning central infrastructure plans. An especially important topic: the environmentally compatible expansion of long-distance railway links and its linking to local public transport.

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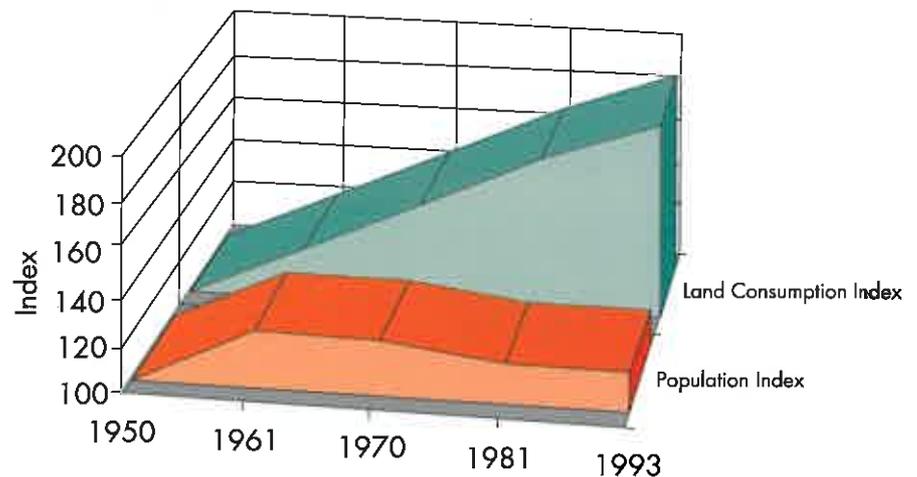
# Revitalising Urban Agglomerations

## THE INTERNATIONAL BUILDING EXHIBITION EMSCHER PARK Workshop for the future of old industrial regions A project for sustained regional development

### Population trend and land consumption in the Ruhr district

With its 5.6 million inhabitants, the Ruhr district is the largest metropolitan area in Central Europe. With the end of the strong period of growth the region now has the opportunity to adopt a consistent policy of careful resource management and sustained economic development.

To inject life into this regional policy, the government of the Land of North Rhine-Westfalia established in 1989 an International Building Exhibition scheduled to run until 1999. This building exhibition is a regional development programme committed to Agenda 21 and to a revival in urban development. In this strategy, the environmental renewal of the region serves as a foundation for the economic future.



Population trend and land consumption in the Ruhr district

### The four pillars of environmental renewal

- Recycling development land
- Reconstruction of damaged countryside
- From rainwater to new groundwater
- Re-utilizing existing buildings

#### Recycling development land

A region which has grown so fast and suffered such widespread development that scarcely any countryside has been spared cannot afford to develop any more greenfield sites. There is a strong case for adopting the principle of recycling when designating sites for development. This is possible because, as a consequence of de-industrialization, more land is becoming vacant than is actually needed for new purposes. The International Building Exhibition Emscher Park is carrying out its over 90 projects exclusively on recycled land.

The consumption of land and hence the destruction of the countryside probably represents the most serious form of long-term damage to natural resources. It is also expensive for the regional economy because in this way the metropolitan areas expand further and further into the urban field, thus pushing up the cost of development, traffic routes, waste disposal and the social infrastructure.

#### Reconstruction of damaged countryside

The countryside in the industrial landscape is frequently contaminated, dismembered and inaccessible, and no longer conforms with our aesthetic and cultural conceptions. The countryside therefore has to be "reconstructed" - not on the cultural precursors of the pre-industrial age, but in tune with visions for the 21st century.

Emscher Park

The International  
Building  
Exhibition



It is not enough to create isolated expensive and spectacular parks. The entire outlying countryside must be incorporated in the design and preservation process. Only in this way can ecosystems be restored and a "regional park" created. Together with the local authorities, the International Building Exhibition Emscher Park is developing the 70 km long and 15 km wide "Emscher Landscape Park" as a network of greenery in the developed industrial landscape

### From rainwater to new groundwater

Mining, industrial and expansive settlement have almost totally destroyed the original system of drainage and groundwater accumulation. Drinking water has to be imported from a long distance away. Waste water is exported in huge open and closed sewers. The groundwater reserves have been seriously depleted. Waste water treatment and flood protection are becoming more and more expensive. The process of restoring the system of water drainage to a near-natural state is a task which will take several generations.

The primary task is to manage rainwater in an intelligent way. At the large construction site of the IBA Emscher Park, decentralized rainwater systems have been used as a matter of principle, for example, grassed roofs, absorbing wells, ponds large and small, and, last but not least, cisterns for the use of rainwater as non-potable water.

As a result, near-natural streams are created with springs and new water-tables. In the heart of the Ruhr district it is our ambitious goal to rebuild the Emscher - a water course totally downgraded into an open sewer - to create a new river of high environmental and aesthetic quality: in other words to create a "new Emscher valley".

### Environment-friendly building

Environment-friendly building means the economical use of materials and energy. If an existing building continues to be used or is put to a new use, demolition waste can be saved and about 70 % of the energy necessary for the construction of a new building, too. For this reason the modernization and re-utilization of existing structure is the best contribution towards environment-friendly building.

Energy conservation cannot be confined solely to better thermal insulation during construction. Sooner or later, buildings will have to be supplied with heat and electricity from renewable energy sources. Any building can in fact be used as a solar power station. As part of the International Building Exhibition, a community centre is being built beneath a large glass canopy which also serves as a huge solar power station. With over 1 megawatt of installed load, this project is currently the world's biggest building-integrated photovoltaic installation.

### Building which ignores demand

Building without regard for actual demand is the biggest environmental and economic mistake. Everywhere we see dwellings being built which those who really need housing cannot afford. Everywhere we see office complexes going up which have little prospect of finding tenants. For this reason, and particularly in the housing sector, dwellings should be built specifically for those sections of society which are worst affected and have problems on the housing market. This can only succeed if houses are so inexpensively built that dwellings become affordable for low-income people.

This means "simple building" and "build-it-yourself", making use of the appreciable surplus of time and labour available in these sections of society. In this way it's possible to build simple but attractive and environmentally sensible houses. If appropriately planned, they can be grouped together to form settlements in their own right and become an integral part of the urban environment.

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# Urban Management for Structural Transformation

## Management of Structural Urban Transformation in Duisburg - an Integrated Approach

We use the term structural urban transformation to mean the permanent process of adapting the economic, employment and social system of the city to global change. Managing this process in Duisburg entails determined action based on broad consensus in the city and region aiming towards a certain objective: to ensure the economic and social balance in the city and region and thus sustain and enhance the quality of life of its citizens.

### Integrated Approach

Duisburg is a city with approximately 540,000 inhabitants situated in the heavily industrialized Rhine-Ruhr agglomeration. Duisburg, where the rivers Rhine and Ruhr meet has the largest inland harbour in the world and is a major centre in the Lower Rhine region. Due to over thirty years of structural crises affecting Duisburg's monostructured industrial base of coal and steel, this traditional stronghold of German industry has been undergoing extensive economic and social change. To have a positive impact on the structural transformation of the city thus adapting it to changing economic and social conditions, an integrated package of measures was launched in the early nineties, based on the participation of various relevant players and groups. Selected examples illustrate the range of action.

**Modernization of the City's Administration.** The deteriorating situation of local authority finances combined with the increasing amount and complexity of tasks and demands on municipal staff is an outcome of structural change facing the City of Duisburg necessitating the modernization of its administration. Based on consensus the council, the administration and elected staff representatives formed a joint committee to launch and direct the modernization process. Furthermore, a project group was established to implement measures. The focal points of action are the decentralization of resources responsibility and the enhancement of human resources management whilst upgrading the skills of existing staff on a broad scale.

**Vocational Training - Future Initiative Education.** A result of Duisburg's traditionally monostructured economic base has been the below-average standard of qualifications of school leavers. To counteract this situation and thus enhance the city's economic and social transformation the "future initiative education" was launched, based on the cooperation of relevant players in the city and region. A key instrument thereof is the vocational training report that analyses structural deficiencies and progress achieved by consequent action in education to date. Moreover, the annual report provides the general public and policy-makers with clarity and a foundation for future action.

**Large Cities Statistics Project - Global Networking.** Realizing the benefits of enhancing the locational factors of Duisburg by global networking and information exchange the city's strategy of structural modernization includes international recognition of the city as a centre of urban research and management expertise. An important module there of is LCSP - currently being conducted in cooperation with two UN agencies and IULA and ISI - by the Administrative Directorate of the Network on Urban Research in the European Union, N.U.R.E.C., based in the municipal Department for Urban Research and European affairs in Duisburg. The project aims to provide a unique global database on the world's cities covering a variety of policy-relevant indicators.

**The Marxloh Project - Neighbourhood Development.** Northern Duisburg comprises neighbourhoods that are particularly affected by heavy industrial crisis creating profound changes to their economic and social structures. In Duisburg-Marxloh this features increasing unemployment, growing numbers of citizens dependent on transfer payments, the out-migration of Germans accompanied by a concentration of non-German nationals and a decline in private investment in housing. A municipal project unit and a public/private development agency were established on location to promote the neighbourhood's economic and social modernization and redevelopment based on the cooperation of neighbourhood groups with other relevant players and agencies in the city and local, regional, national and EU support. Redevelopment also entails action in the IBA international building exhibition framework.

**Inner harbour.** The port of Duisburg is arguably the largest inland harbour in the world. As a result of economic change the harbour section bordering on the city centre, called the inner harbour, has become redundant creating a 90-hectare area of inner-city industrial wasteland. Following the decision of the city council to redevelop the site a public/private development agency was established to promote its conversion into a multi-functional services park combining dwellings with workplaces and leisure facilities. As part of the IBA international building exhibition it is one of several "guiding" projects which demonstrate to local citizens and the outside world how the industrial and residential location Duisburg will develop.

Human



in

Urban

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# Protecting and Recovering Open and Green Areas

## Frankfurt am Main Green Belt

### „Green Belt, Frankfurt am Main“

The Green Belt, Frankfurt am Main is urban development using other means, it defines the city and their development from „Green“. The Green Belt adds an important point of orientation and a structural element for the city and the region to the naturally grown system of landscape levels. The Green Belt is a key part and the core of the regional system of green areas in the Rhine-Main metropolitan area.

The circular open space system of the Green Belt covering approx. 80 km<sup>2</sup> includes typical Frankfurt landscape structures, such as the water meadow landscapes of the rivers Main and Nidda, the open orchard and farmland landscape and the city forest. The objective of the Green Belt planning is lastingly safeguard the existing open spaces and stabilise them in their structure, to reduce existing strains and improve their quality as a habitat and natural place. Open areas improving the city climate will be protected.

The value of the forest will be preserved by cultivation according to nature. When an existing forest needs new, young trees, natural rejuvenation is preferred; new forest areas will preferably be planted with trees indigenous to the Rhine-Main-region.

Agriculture contributes to the conservation and development of the green areas in the Green Belt. In cooperation with agriculture, the city government will try to see that environmentally sound agricultural and horticultural methods of production will be used in the Green Belt. A dialogue between the city and agriculture will be initiated. Model farms could be a forum for this dialogue. The Green Belt enables city people to learn about agricultural production close to their city - moreover, agriculture in the Green Belt supplies Frankfurt with fresh local farm produce.

Green Belt with a chain of new parks represents a consistent continuation of Ernst May's Green Belt concept in the twenties. These Green Belt parks define the main focus in the open spaces for further development; as impressive landscape areas, they characterise the Green Belt and contribute to the local identity. Their future quality lies in their function as urban compensatory areas: this means the promotion of extensive forms of utilisation structures left in their natural state, the opening as well as an appropriate fitting out of these areas for relaxation. Clearly separated from their surroundings, new walks and parks, especially in densely inhabited areas are intended to reduce existing deficits or take the burden off from existing parks.

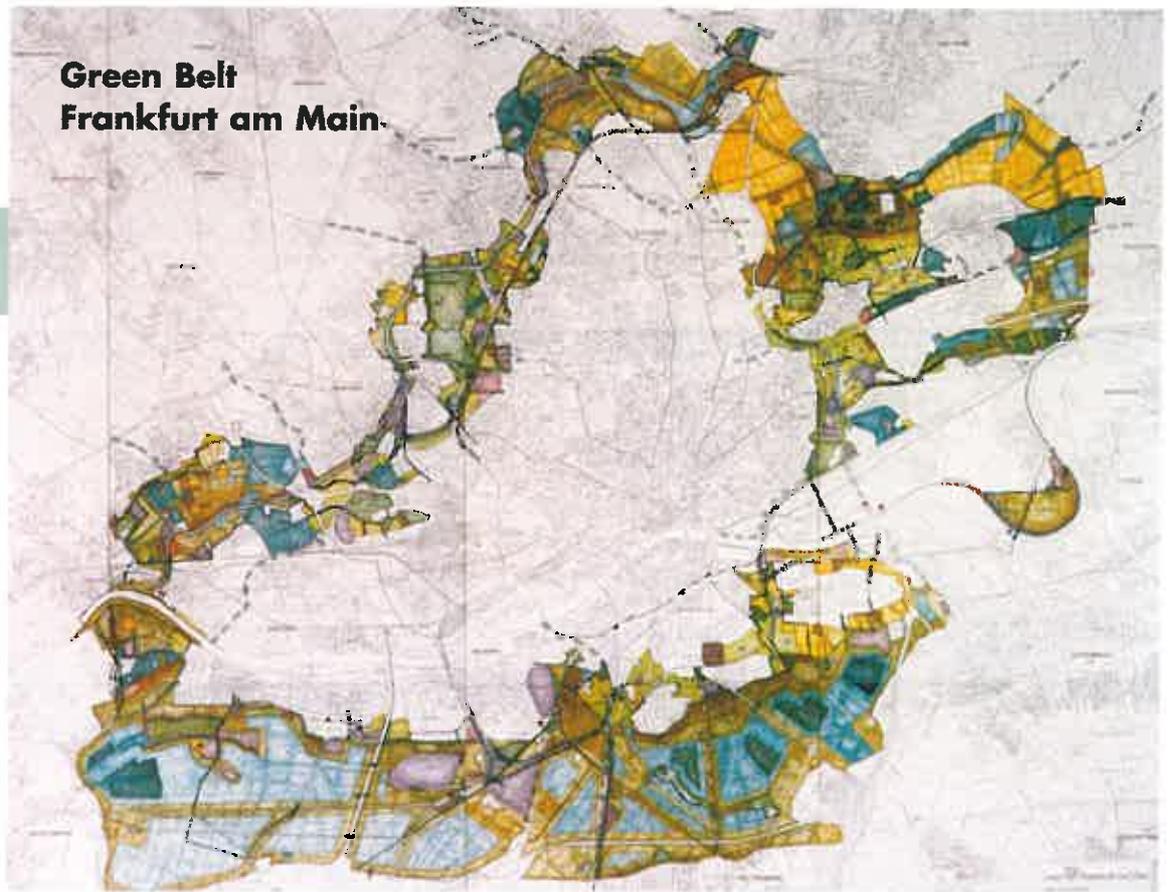
The circular system of the Green Belt is supplemented and overlaid by the radial system of green links and green features. The link between the inner city and the open spaces of Green Belt is made by avenues, they continue radial connections in an inward direction with footpath and cycle path system. In an outward direction, the Green Belt is linked to the adjoining countryside by green features. They provide, for instance, important ecological links across the streams flowing down from the Taunus.

The first step in developing the Green Belt was a „Workshop“ in June 1990 and the „Summer Academy“ in September 1990. Experts from home and abroad, as well as specialists from the municipal departments involved were invited to discuss the guidelines for the future development of the Green Belt. While the procedures were a under way, public tours were made by cycle offering the local residents the opportunity of getting to know the area of the future Green Belt, as well as discussing it with politicians and planners. Parallel to the Summer Academy, the people of Frankfurt had the opportunity to put their ideas on the Green Belt into the planning by taking part in the „Citizens competition of ideas“. In an exhibition the works from the „Summer Academy“ and Citizens competition gave a first impression of the future of the Green Belt. At the „Congress“ (December 1990), the draft of the „Green Belt Constitution“ stood at the center of the discussions.

This served to fix the same in the legal and administrative system, this provides a workable basis for the realisation of the Green Belt. Imitating of the „Ramparts Easement“ existing since 1890 (Resolution for the Protection of the Inner City Open Spaces, the former fortification ramparts) general development objectives for the Green Belt were stipulated and procedures shown for their implementation.

The go-ahead for a long term perspective for the Green Belt was given by animous vote by the City Council for the Green Belt Constitution on 14th november 1991. Since January 1994 the Green Belt stands under protection of a special landscape protection law by local government. In the last three years many plannings in the Green Belt were realized.

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# Urbanising World

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# Urban Rehabilitation, Rebuilding and Quarters in Particular Need

Type of Urban Area:  
Older Inner-City  
Quarter

## Careful urban renewal in Berlin

22 redevelopment areas with about 82,000 dwellings have been designated in Berlin since 1993. In the next 15 to 20 years, they will mean fundamental improvements in the housing and working conditions of some 150,000 people.

**The aim of redevelopment** is careful urban renewal adapted to the needs of people who live and work in the area. Priority is attached to preserving urban structures, ensuring that the proposed measures are socially acceptable, involving those concerned in the process, and considering ecological approaches.

**Prenzlauer Berg - Europe's biggest redevelopment area:** Six areas within the borough have been designated for environmental investigation and redevelopment. Together they cover 344 ha, with a population of 74,000 in 48,000 dwellings. The district still draws cohesion from its late 19th-century origins. It suffered little damage in the Second World War, but was neglected for 40 years due to East Germany's construction policy. The historical value and high urban quality of this community so close to the city centre now pose a challenge of major dimensions to politicians and planners.

Tremendous renewal will be required over the next 15 to 20 years. A large proportion of the buildings used for housing, employment, schools and child care is in severe need of modernization and repair. The years of neglect have resulted in a lack of public amenities, such as green spaces and playgrounds close to people's homes.

The aim of redevelopment is to preserve and enhance the lively urban character of these areas, with their typical mix of residential, commercial and cultural functions. Considerable commitment will be required just to renew the social infrastructure, which has to be funded primarily by the public purse. Public funding alone will not suffice to modernize the old buildings. Private investment is needed here, and this calls for new, unconventional approaches:

### Private funding for modernization and repair

To achieve rapid progress in the area, privately funded projects must also respect the aim of discreet urban renewal, geared to the needs and potential of local residents.

Rents can be kept within affordable limits by:

- consulting in detail to ensure cost-efficient construction techniques
- renewing gradually and provisionally postponing non-urgent measures
- refraining for a specific period from charging tenants the full cost of modernizing their homes
- drawing on public funding programmes

### Tenant investments/self-help

Self-help should be encouraged when offered, and tenants should have the right to carry out their own modernization. In social terms, this is the most acceptable way to modernize housing, and it is also the cheapest.

### Social infrastructure

Consolidating and improving the social infrastructure is vital to stabilizing urban renewal in areas as dense as this. Given Berlin's difficult financial situation and the many needs, considerable delays can be expected in expanding these facilities and constructing new ones.

- Promotion of model projects which include job creation and training schemes.

### Involving local people

Particular importance is attached to the participation of local people. After all, they know the area best. Owners, tenants, businesses and job holders in the area can articulate their interests in the redevelopment process by joining the democratic structures of representation, including the redevelopment committee.

Berlin  
Prenzlauer  
Berg



**S.T.E.R.N.**  
Gesellschaft der behutsamen Stadterneuerung mbH  
- Treuhänderischer Sanierungsträger -

## Ecology

There are major ecological deficits in Prenzlauer Berg, which suffers sizeable environmental impacts. The situation can be alleviated by exemplary model projects and helping people to help themselves

- Support for alternative technologies (e.g. small-scale CHP generators) to replace old forms of heating
- Launch of the crash programme „A Hundred Courtyards“ to encourage local self-help initiatives
- Crash programmes to redesign streets and squares stage by stage with the aid of sponsors to assist community action



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# Urban Rehabilitation, Rebuilding and Quarters in Particular Need

Type of Urban Area:  
Older Inner-City  
Quarter

## Ecological Renewal in Gostenhof East

### Description of the Area

The area of Gostenhof East is situated very close to Nuremberg's old town district. In the 19th century, the independent 13th century village developed into an important industrial location. Many new buildings were erected, resulting in a densely built-up area with many industrial and residential buildings. The population grew, and related to this also the district's social problems increased.

In 1986, renewal of this largely neglected district was begun. A „programmatic plan“ for all activities was made.

### Problem Zones Identified at the Beginning of the Renewal Process

Gostenhof East covers an area of about 60 acres and can be divided into 18 blocks of buildings. There are 306 residential buildings, 50 % of them were built before 1918. The problem zones are:

- Great lack of green areas and playgrounds
- Soil sealed (asphalt and stone) to a large extent
- Heavy through traffic
- Some of the buildings in bad state of repair
- Apartments partly with insufficient installations
- No social and cultural infrastructure
- Large fluctuation of residents

### Goal Setting

An ecological approach was chosen. This took into account all essential elements of life in the district - including their complex relations and interactions. Ecological renewal looks after the „classical“ tasks, such as refurbishment of old residential buildings, traffic solutions, inner city green areas and trade and industry, but also takes into consideration new fields, such as public health, culture, social relationships and education. This leads to the following goals for renewal:

- Providing low-cost living space by renovating to a simple basic standard, providing environment-friendly heating systems
- Developing green areas and free spaces, unsealing the soil
- Traffic calming
- Building up and strengthening social relationships
- Creating social and cultural institutions
- Giving people a feeling of responsibility for their district and helping them identify with the area they live in.



Nürnberg

Gostenhof-  
Ost



## Renewal Measures and Projects

### New Buildings

State-subsidised apartments with ecological design considerations  
48 new flats to be built

### Modernising and Renovating

Installing environment-friendly heating systems, installing  
bathrooms and toilets in 25 residential buildings

### Heat Supply

Heat supply from block heating plants, for example in the  
Protestant Family Education Centre

### Landscaping and Unsealing

Creation of 2,700 square meters of play area („Linde“ grounds)

Landscaping of 42 private courtyards

Redesign of a schoolyard as playground

Redesigning and landscaping street spaces

### Cultural, Social and Public Health Aspects

Creating 150 new kindergarten places

Creating and developing 3 societies and 2 residents' associations

Offering courses and advice

### Residents' Involvement

Open planning process (Leonhardstraße project)

District conferences

District news bulletin

Information and advice centre in the district



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# Urban Rehabilitation, Rebuilding and Quarters in Particular Need

Type of Urban Area:  
Large Housing Estate

## Large Scale Pre-Fabricated Housing Developments:

### The problems are similar, ...

Large, pre-fabricated housing developments determine the character of the cities of Europe's former communist countries. More than 170 million people live here in more than 70 million apartments, usually in large housing developments on the outskirts of the city. The construction defects of concrete slab construction are so serious that these apartments are in danger of irreparable damage. Action must be taken.

In Berlin, 17 large slab-construction housing schemas with a total of 270,000 apartments are in critical condition – among them Hellersdorf district, with 45,000 apartments for 100,000 residents.



Like many other housing developments in European cities, Hellersdorf, despite numerous deficiencies, has excellent potential for sustainable development:

- The opportunity for ecological solutions as a part of the necessary renovation.
- Renovation being possible at a quarter of the cost of new construction.
- Outstanding transport connections to downtown Berlin.
- The intact social mixture of residents.

### ...the strategy for solving them can be generalized.

In Hellersdorf, this potential was made the starting point of a goal-oriented strategy of development planned for the next 10 to 15 years with economical and ecological solutions. Government subsidy programs have been created to aid the rapid funding of the enormous task – including for supplemental new buildings and targeted improvements to the residential surroundings.

#### Renovating buildings in harmony with ecological goals

In renovating the large development the best way to protect natural resources is to continue to use the existing buildings, rather than replacing them with new construction. Additionally, their technical improvement can save a great deal of energy.

On a typical residential block of 196 apartments in Hellersdorf, an ecological program was being realized in addition to the regular renovation of the buildings: the use of rain water, solar technology, selected construction materials on the basis of ecological criteria, and facilities to reduce wastes. Elements of this pilot project have meanwhile become a part of the standard renovation package.

#### Designing the surroundings

Even where major landscape gardening measures would be too expensive, a courtyard can be made pretty, wholesome, and "user-friendly" in a multi-stage plan. The individual project stages can be carried out over an extended period (whenever money is available). The courtyard is in a usable state at the conclusion of each stage.

Concrete covers broad surfaces in these complexes. To bring more vegetation into the slab construction developments, the concrete must be broken up and replaced with more natural surface materials wherever possible. Tenants used the remains of the concrete pavement to create garden terraces directly in front of their apartments.



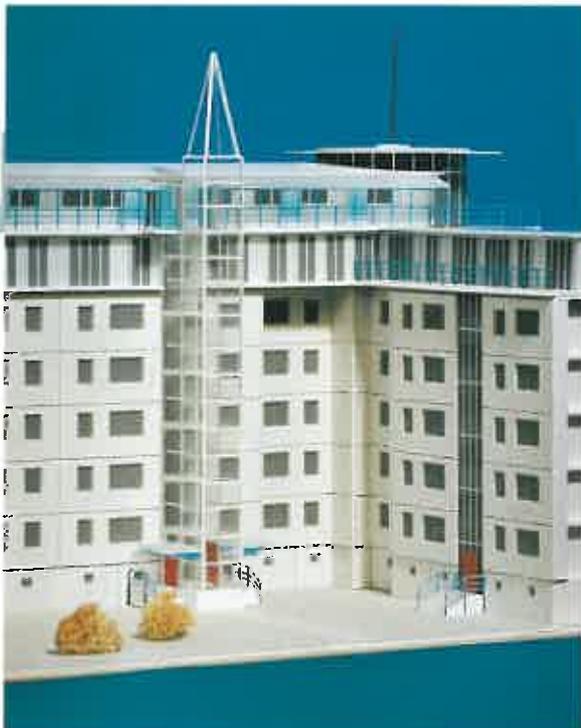
Recyclable construction materials. The chunks of broken-up concrete surfaces are smashed. They are a low-priced material that can easily be layered into edgy walls and subsequently planted.

### Community Planning and Environmental Forum

In summer 1995, the Hellersdorf Housing Company held a two-day workshop together with residents, local business owners, local politicians, and city planners, and led by an international team under the British architect John Thompson. The topic was how to improve Cecilienplatz, an important transport and shopping center of Hellersdorf that is surrounded by some 3,700 apartments. The workshop's result was an urban planning "vision" of the quarter that will now be realized step by step.

Hellersdorf's experience with five years of the Environmental Forum (30 public forums, 40 project discussions, 10 site inspections and bicycle tours, an annual environmental festival, the environmental film festival, an environmental prize, and the "info-mobile") have shown that early participation by those who will be affected is worthwhile for the owners, builders, and administration. The effort pays off by accelerating the formal procedures, markedly increasing the general acceptance of decisions, and facilitating realization.

The principle of ecology: supplementary new construction within the housing developments protects the landscape from sprawl. New buildings to complete corners, along the edges of streets, on waste ground, and on roofs provide urban density to the housing complexes. These additional buildings also make the offering of apartments more suited to demand. The result: the large housing development becomes more economical and there is no need to encroach upon the surrounding landscape in the foreseeable future.



Concentration: Adding floors and supplementing existing slab-constructed buildings can create space for additional apartments within the housing developments.



Building renovation: Thermal insulation combined with re-designing the façades.

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# New Districts

by Redeveloping  
Wasteland

## Messestadt Riem

### A new district

### The unique chance

For decades „München Riem“ was synonymous with „Riem Airport“. The relocation of the airport gave the capital of Bavaria the unique opportunity to make new use of this area of 5,56 million square metres.

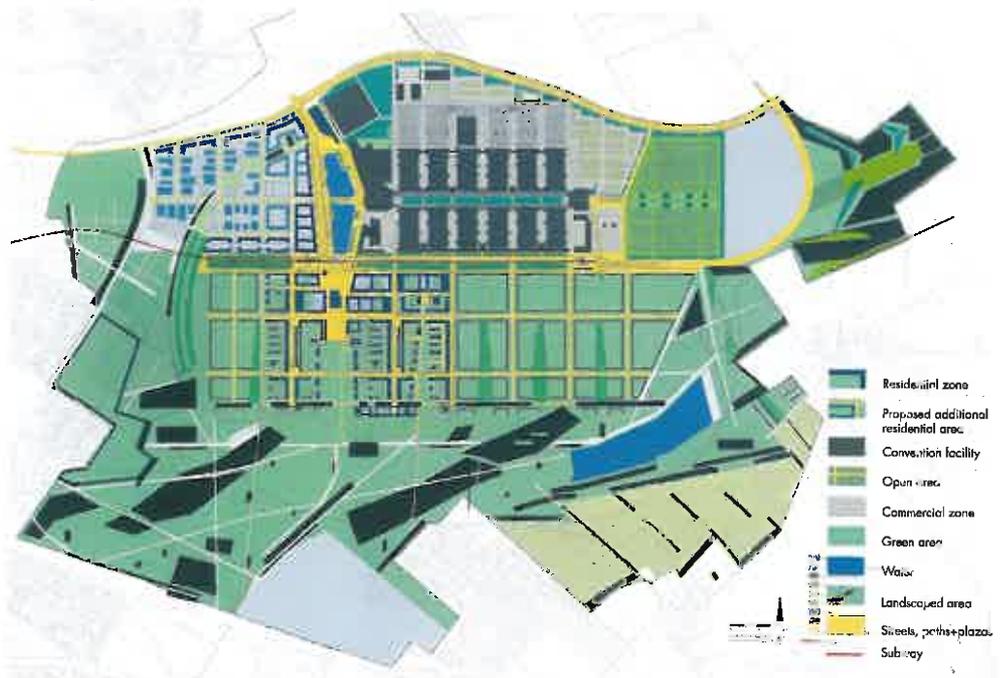


### Planning Objectives

The planning for Messestadt Riem pursues the objective of building up an urban structure between the metropolis and the region which is varied in its use, largely self-sufficient and attractive in its design. With this end in view, three main planning objectives, to which all projects can be allocated, have been defined:

- Identity and urban design  
Messestadt Riem should have its own identity and a characteristic urban design, which should give the people living and working there a feeling of local heritage.
- Ecological urban development  
The city should develop according to ecologically oriented objectives, in order to offer the people a high quality of life in harmony with nature.
- Complete infrastructure  
The necessary infrastructure and supply facilities should be created to promote coexistence and public spirit among the people.

### Masterplan



München  
Riem

A coexistence of living and working, city and nature, a coexistence of families and single persons, children and senior citizens, of sport, play and culture, should become reality.

Within the framework of these abstract planning objectives, Messestadt Riem is to be the location for the „Neue Messe München“ (New Munich Fair), and provide living accommodation for 16 000 people and up to 13.000 jobs in the vicinity of this accommodation.

### Planning History

Several preparatory investigations preceded the overall planning of Messestadt Riem. The numerous concepts as well as the competitions are based on the findings of these studies.

With this procedure, the state capital of Munich is pursuing a planning culture which ensures a high level in the overall planning as well as in the part sections of the new district in terms of subject matter and of design.

### Planning Concept

The core idea of the planning concept is the intensive dovetailing of urban and rural aspects. A basic rule of ecological urban construction is being logically implemented here: high construction density with low utilisation of surface area.

Urban and rural structures are arranged, weighted and enmeshed with each other in such a way as to allow a populated area to develop a character of its own, a character in which urbanity and at the same time an open-spacetype living quality and working quality can be achieved.

The development of the entire urban district is based on a clear spatial concept, which arranges the planned building into individual areas of utilisation. Two main development axes (east-west-axis and north-south-axis) divide the district into three areas with the following main areas of utilisation:

- **in the north-western area**  
office and administrative uses as well as a modern industrial estate
- **in the north-eastern area**  
„Neue Messe München“ and a classical industrial estate
- \* **south of the east-west axis**  
office and retail trade areas, mixed areas and residential areas interlocked with the large landscape park in the south.

The two main axes, by means of which the district is also to be developed, form a characteristic identification and orientation feature of the new district.

The northern entry to this district is marked by a gate situation. In a gripping sequence, the approaches to the fair, with a lake, the central square and the city square follow. In the south, the axis passes into the landscape park with a wide green belt.

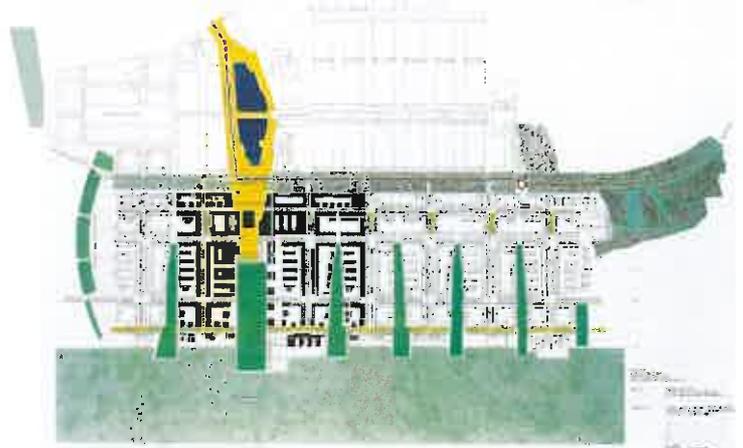
The central square links different areas of utilisation: the entry situation to the fair and the adjacent Congress Center, shopping centre, supply facilities, office and administration structures, surgeries, services and residential areas. At the same time the central underground railway station is located here, with the option to change the bus connections-infrastructure according to the principle of short distances.

The smaller, so-called city square borders on the south side of the central square and opens out southwards towards the lower Alpine landscape. These two squares, the „busy“ central square, and the city square, which is more intended to be a meeting point for the inhabitants, will decisively characterise and promote the development of the independent identity of Messestadt Riem.

The fundamental urban arrangement of the new urban district is characterised by a right-angled grid pattern. This grid system for the construction work provides a neutral urban framework which offers a large amount of scope for architectural design and time-based development.

Every second north-south axis is a green axis oriented towards the large, higher-priority free space in the south. The block system construction along the side streets changes into a loose, open construction form leading to the green zones. In the south there will be a clear boundary to the district, with a promenade going from east to west as an avenue with three rows of fruit trees; numerous social, leisure and sport facilities will be located here.

Structural plan



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# New Districts

by Redeveloping Former  
Military Sites

## Sustainable Model City District Freiburg Vauban Conversion of a Former Army Base into Residential and Commercial Areas

### Situation

In the South of Freiburg, 2.5 km from the city centre, a new district is being built on the area formerly occupied by the Vauban barracks. In 1992, the site of 38 ha was abandoned by the French army and was subsequently bought by the city of Freiburg from the Federal Republic of Germany. Planned are flats for 5,000 people plus an additional 600 jobs in the commercial area. Some of the barrack buildings are being preserved, including four which will be getting renovated by an independent settlement initiative, the others by the students' society, which transforms them into dormitories.

### Goals

For the draft of the district's plan, the following goals were set:

- balance of working and living areas
- conservation of the 50-60-year-old trees and the biotopes of the bordering creek
- priority to pedestrians, cyclists and public transport
- co-generation plant and short-distance heating system
- residential buildings constructed with low energy standard (65 kwh/m<sup>2</sup>.a)
- balance of social groups
- district centre with shops for the daily needs
- primary school and nurseries
- public green spaces
- diversity of building shapes
- division of land into small lots
- family and children friendliness

### Participation

From the beginning of the planning process, the city administration made possible a participatory process, which goes beyond what is demanded by German law. In different working groups, citizens can express their interests, wishes and criticisms concerning the planning of the district. Forum Vauban e.V., the acknowledged legal body of the citizen participation passes on the ideas into the public discussion. With financial support of the city, they also run an office where the citizens can inform themselves about the planning process. In the city council's special committee concerned with Vauban, Forum Vauban e.V. has advisory status. Furthermore, Forum Vauban and the city administration jointly run a publicity campaign aiming to attract potential residents.

### Goals of the Citizen Participation

Forum Vauban e.V. aims at creating a sustainable model city district. For the accompanying studies they get funding from the Federal Environmental Foundation of Germany (DBU). The focal points of their work are:

- Traffic: residential areas without parking space, living without an own car
- Energy: 'passive houses', exclusive use of renewable energies
- Urban Life: combined residential and commercial areas, public space
- Ecology: concept for biotope connectivity
- Water: vacuum toilets combined with a biogas plant
- Construction: co-operative building societies, ecological building materials, combined living and working, openness in the development plan

### District of Short Distances

All facilities for satisfying the daily needs should be provided within the district. This not only enhances the quality of life, but helps reducing unnecessary traffic. Nurseries, the primary school and the grocery store are all within walking and cycling distance.

### Public Transport

Vauban is already connected to the local and regional bus lines today. An attractive means of public transport is therefore available already at the time construction begins. As the development continues, a bus line will go right into the residential area of Vauban. Furthermore, enough space gets reserved for the construction of a new tram line. The financing share required is reserved in the budget of the development project. At the same time, an option exists for getting connected to the new system of suburban trains, which is presently in the planning. The time to get to the city centre would be reduced to only a few minutes.

### Individual Traffic

Freiburg is well-known for its cycle tracks policy. So naturally, Vauban will be linked to the existing network. Connections to the city centre or the surrounding recreation areas will be provided. Within the residential area, cars should not play a dominating role. The following options exist for the residents:

- Living without an own car
- Living with an own car, parked in a community car park at the periphery of the district
- Living with an own car, parked close to the house

The parking space will be provided with automatic car parks, which need less space. They will be placed at the periphery of the district in a maximum distance of 350 m to the houses.

### Infiltration of Rainwater

Modern water management collects water in a divided system. Rainwater therefore does not get conducted to the sewage plant but rather into some receiving body of water. For Vauban, it is planned to collect all surface waters in open trenches which lead to the two central streams in Vauban, from where the water can be infiltrated into the ground. Rain falling on Vauban will then not contribute to floods in the St.Georgen stream or the river Rhine anymore.

### Waste Water Management

At the suggestion of the citizen participation, instead of a conventional sewerage system a vacuum system is now in discussion for the new district. A feasibility study will examine the chances of this new technology in the field of residential development. Through vacuum pipes faeces get conducted into a biogas plant, where they ferment anaerobically together with organic household waste, thus generating biogas, which can be used for producing energy. Remaining waste water (grey-water) can be cleaned in constructed wetlands or decentralised biofilm plants and returned to the water cycle. The conventional central sewerage system would not be needed anymore.

### Energy

In 1992, the city council of Freiburg adopted a regulation prescribing, that newly erected buildings on city-owned land must be low energy houses. This regulation also applies for Vauban. Required is a heating energy indicator lower than 65 kwh/m<sup>2</sup>.a, which goes far beyond the requirements of federal law. Residential buildings must be connected to the short-distance heating grid. The heat is produced in a co-generation plant based on gas, which should also have the option to be fuelled with wood chips. It is in discussion to build a settlement of solar houses with 400 flats in Vauban, as well as some 'passive houses'.



Freiburg i. Br.  
Vauban Viertel

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Adequate  
**Shelter**  
for **All**

# Social Integration of Migrants through Co-operative Housing

## Rental Housing Co-operative Ludwig-Frank e.G., Mannheim Preservation of low-cost housing and concomitant community work

Chaotic conditions prevailed in the 80s in the social housing, which constituted the first larger-scale building project in Mannheim in 1949/51 built by using simple means in the city quarters of Lindenhof and Neckarstadt-East. In the beginning these apartments were viewed as the No.1 housing district. The better the general housing and living standards got, however, the more the initial tenants started moving out. The subsequent tenants comprised migrants, unemployed, single parents and social welfare recipients. Soon a process of de-generation set in, which was accelerated by the fact that sufficient funds were not available for repairs.

The tenants, two-thirds of which were foreigners from 14 different countries - most however from Turkey - suffered more and more from problems of discrimination. Vandalism, the rising crime, drug abuse and not least the increasingly noticeable deterioration of the substance of the buildings initiated a vicious circle of stigmatization which led to the director of the Housing Office remarking on the some 100 vacant dwellings that, „these flats are no longer acceptable even for those who count among the problem groups looking for housing, not even for a transitional period.“ Consequently the decision already made by the municipal society (owner) years before to tear down the buildings and to replace them with new ones led to a phase of heated discussion.

A tenant initiative was unwilling to simply accept the expulsion of the entire city quarter and by no means the loss of inexpensive housing. The residents called for repairs and conscientious modernization of the affordable housing space. The media snapped up the topic and fierce discussions arose in public, especially in the parts of the city concerned and within the city council. Two camps were formed with conflicting opinions. Major politicians from all parties spoke out for demolition of the buildings, since „this housing wasn't good enough any longer even for the poorest of the poor.“ The tenants' struggle to preserve their housing seemed to be lost.

Under these circumstances the tenant initiative came up with the idea of relying on their own resources and responsibility in trying to repair, preserve and modernize the buildings as much as possible with the help of a co-operative. After many meetings between the initiative group and the residents, some of which still viewed such a project with a fair amount of scepticism, the „RENTAL CO-OPERATIVE“ was founded in mid-1990. They were successful in enlightening the residents on their rights and obligations, on the advantages and disadvantages of a co-operative and in gaining their support for their project and objectives. They also succeeded in convincing the local city council that it was not impossible to preserve and improve housing, or even to upgrade the general living conditions. The concept submitted by the initiative was so promising, that in late 1990 the city handed over the desolate buildings to the co-operative. Only a half year later the previously vacant buildings had been modernized and occupied by tenants. Within two years all of the buildings had undergone thorough repairs and had been upgraded to modern standards.

The main measures carried out: renovation of the baths and sanitary facilities, renovation of the cement structures, new roofing, repair of the staircase, insulated glass windows with roller blinds, central heating with public gas utility hook-up, hot water heaters, heat insulation, balcony railings, front doors equipped with mail-boxes, doorbells and intercoms, television hook-up, playgrounds and improvement of the surrounding outdoor landscape.

Despite enormous expenses, to which the residents contributed by means of financial participation and their own hard work, the rent could be maintained at 20 % below the local rent table levels for comparable dwellings. Even the Lord Mayor of the city, who was part of the camp supporting demolition of the buildings, had to admit, that the successful results confirmed the fact that the co-operative had been right in carrying out their project.

Tenants once again enjoy living in the restored and modernized buildings. The success of the project, which in the meantime has come to serve as a model for others, has helped the residents to gain pride and self-confidence. They are once again respected in their quarters of the city. The mental changes in the housing and the housing environment were not only attained through construction measures. It required intensive community involvement on the part of the co-operative, e.g. at the new meeting centre equipped with a kindergarten. Three full-time workers supported by 12 workers on a fee basis offer community assistance of various kinds demanded by such an area - from social work to debt counselling, planning and conducting recreational activities with a wide variety of occupational and educational programmes for all ages from small children to senior citizens. These activities are financed mainly by membership fees from a newly founded support group and donations with the exception of government subsidies and parent contributions.

In summary we can say that the project is undisputedly accepted today in Mannheim. The living conditions in the housing settlements have improved quite remarkably. By intense socialization of life here the project was able to reduce the previous feelings of hopelessness and resignation. It also succeeded in preserving peace among the various ethnic and cultural groups through understanding for one another. Thus the motto of our logo „Working together creates peace“ has proven itself to be true.



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# Establishing Self-help

## Leipzig and Herrmann Julius Meyer's housing scheme

Achieving renown with its trade fairs dating back more than 700 years, the City of Leipzig underwent a period of rapid industrialisation in the second half of the 19th century which caused the population to leap from 40,000 to over 625,000. Land speculation and a desperate shortage of housing among the poorer inhabitants were the results. Consequently, several industrialists and intellectuals drew up schemes to improve housing and living conditions, such as Dr. Schreiber's campaign to popularise allotments.

Thus it was that in the year 1900 encyclopaedia publisher Herrmann Julius Meyer established the "Foundation for the Construction of Low-Cost Housing", which continues to bear his name and manages 2,700 dwellings on estates known as the "Meyersche Häuser". The social principles behind the "Meyersche Häuser" were as follows:

- The erection of urban architectural ensembles with economic ground-plans and construction costs
- The graduation of rents geared to prime costs
- Elements of self-management
- The maintenance of communal facilities (e.g. nursery schools, libraries and laundries)
- The usage of inner courtyards as parks and allotments to enable tenants to cultivate their own fruit and vegetables.

The aim enshrined in the charter was to safeguard "the means of existence of a regular-sized working-class family by reducing the cost of something indispensable to life - namely shelter." The underlying principle was not charity but rather good deeds.

Although the Foundation was not expropriated during the Third Reich and the subsequent era of German division, it was (like several dozen other civic foundations in Leipzig) unable to function independently. As all construction projects were at the mercy of the state's authorities, the maintenance necessary could not be performed and living conditions lagged behind growing needs. This was a fate shared by virtually all late 19th century housing in Leipzig, for in the 1970s state construction policy had adopted different priorities, specifically the building of "concrete jungle" housing estates on the outskirts of the city. Since German reunification, Leipzig has been faced with huge structural, economic, redevelopment and social problems such as:

- A 10% decline in the population to 485,000
- The loss of 85,000 jobs in industry since 1990
- The need to refurbish 196,000 of the total of 262,000 dwellings
- The architectural monostructure of the large housing estates on the outskirts housing a sixth of the population
- A technical infrastructure decades behind present-day standards
- Huge industrial estates, shopping centres and housing estates vying with each other for land in the area around Leipzig

In view of these various problems, the "Meyersche Häuser" are eminently suitable for careful, socially balanced urban revitalisation using existing housing stock.

### Modern, compact, affordable housing with natural surroundings

Acting in conjunction with the city administration and teams of architects, the Foundation has drawn up refurbishment programmes for all four housing estates. In addition to structural aspects, these plans also take into account social, ecological and architectural preservation considerations. All these projects have been presented and discussed at a number of tenants meetings so that they can be tailored to the residents' needs.

The renovation and modernisation of all 500 flats on the estate in Lindenau began in 1995. The aims of this 10-year project are to enable existing tenants to remain and to upgrade properties in order to increasingly attract younger families with children.

Routine repair and construction costs are very high owing to the preceding decades of negligence. However, excessive rent increases to cover these costs would contradict the Foundation's principles. Therefore expensive alterations to the existing ground-plans are being avoided and as many of the old building components as possible are being reused. Flats are also being enlarged by incorporating the corner turrets and via loft conversions in order to provide for families with children. Although previously all flats were refurbished empty, the Foundation has for some time been testing the installation of showers and toilets in occupied flats in order to accelerate renovation.

Assistance is given in particular to senior citizens during removals by helpers working within job-creation schemes funded by the Labour Exchange.

Leipzig

Meyersche  
Häuser

# STIFTUNG MEYER'SCHE HÄUSER

Housing is also being made affordable by allowing tenants to perform some of the work themselves. All such work is chosen from a list contained in the Foundation's self-help catalogue and carried out on a contractual basis. Such work is by way of remuneration set off against the rent.

Because the installation of bathrooms, showers and indoor lavatories reduces the living space, special attention is devoted to maximising the layout of the green inner courtyards. All courtyards are kept free of cars and have communal facilities such as gardens, allotments, playgrounds, washing lines and benches. Other aspects of the outdoor programme include climbing plants on facades, the installation of rainwater cisterns and the building of nesting sites for rare species of birds.

## Established forms of co-operation between the Foundation and residents

The "Meyersche Häuser" were originally built on the outskirts of Leipzig. As a result of urban sprawl, however, the estates (along with their attractive courtyards) are now situated within the City of Leipzig itself. Increasing traffic, exploding purchase prices and rents for both new housing projects and refurbished buildings, not to mention the overdevelopment of the environs, mean that preserving the "Meyersche Häuser" as an affordable form of housing is more important than ever before.

The Foundation is faced with the difficult task of maintaining Hermann Julius Meyer's intentions by refurbishing a large number of properties as quickly as possible and in a socially sustainable manner without losing sight of sound business practices. In political terms, the Foundation is supported by the Leipzig City Council and a representative of the Mayor sits on the Foundation's advisory board. State subsidies for roof repairs over the past few years have provided the basis for graded refurbishment by stages. In addition, assistance has come from the Employment Exchange, which has financed job creation schemes for certain aspects of building, the upkeep of the green areas and the implementation of the social plan (which includes among other things a residents office and the provision of help during removals).

The Tenants Association set up in 1992 provides the Foundation with a direct contact representing the residents' interests.

Members of the Association document the history of the "Meyersche Häuser", organise festivals, lay out children's playgrounds, maintain their own residents offices on the estates and regularly hold discussions with the Foundation on how refurbishment is to continue. On the largest estate, another association runs a café for the elderly. Furthermore, interested tenants can work on special committees set up by the Foundation dealing with issues, such as how running costs are charged, and the maintenance of gardens.



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# Increase in Quality - Decrease in Costs

## Increase In Quality - Decrease In Costs

A Comment On The Experimental Social Housing Project: „Europahaus“

**Project representative:** Gundlach GmbH & Co Housing Company in cooperation with the Council of Langenhagen

**Main contractor:** Jacobson & Widmark, Lidingö (S)/Berlin (D)

**Design:** Nyréns arkitektkontor, Stockholm (S)

**Building contractor:** Mjöbäck's entreprenad AB, Överlida (S)

**Project partners:** 14 teams consisting of architects and builders from 7 European countries, building research (Wohnbund, Prof. Laage, LBS), Council of Langenhagen, KGH, County of Hannover, Social Ministry of Lower Saxony

**Ground:** 7,000 m<sup>2</sup>

**Living space:** 4,640 m<sup>2</sup>, 64 dwellings in 16 semi-detached houses plus communal building;

12 with 58 m<sup>2</sup> for 1 person,

32 with 67 and 71 m<sup>2</sup> for 3 persons,

8 with 81 and 85 m<sup>2</sup> for 4 persons,

12 with 94 m<sup>2</sup> for 5 persons,

Communal building with 86 m<sup>2</sup>

**Finance:** State subsidy for social house building for persons receiving income support. The building costs were less than 30% of normal costs for social house buildings. Profiting from this reduction:

- the administration because of reduced subsidies
- the tenants because of lower rents
- the housing company because of cost-effectiveness by the German model of rent calculation
- the environment because of the realization of new ecological standards

**Building construction:** Prefabricated wood construction with clinker brick, 2 and 2.5 storeyed houses, individual entrances without staircases, storerooms instead of cellars, concrete walls and composite ceiling units, brick roof, ecological materials, linoleum, 40% increase in heat insulation

Heating/hot water: Coupling of energy and heating due to a cogeneration set with two gas operating car motors and turbines for the supply of a central energy and heating/hot water system

**Rainwater:** Rainwater seepage over base drainage, rain barrels

**Exterior:** Two playgrounds for the youngsters, benches and an arbour for the adults, the basement flats all provided with small tenant gardens in the front and back, all the other flats provided with a 12 m<sup>2</sup> balcony with plant troughs on three sides, planting with the help of the tenants

**Communal building:** Communal building with rooms for a day-nursery, homework supervision, neighbourly and family parties, guest rooms; a communal kitchen with a washing machine and a drier

Persons in charge: social worker, caretaker, tenants advisory council





### The Architectural Competition »Europahaus«

The settlement »Europahaus« is the result of an international competition. The competitive procurement procedure was aimed at teams of architects and building constructors. This specific kind of procedure was nearly as important as the building result itself:

- The concept of the competition was worked out in cooperation with politicians, administration, building research and the investor.
- The process was initiated by a colloquium, where the handling of the project was discussed with interested bidders from all over Europe
- The Council of Langenhagen helped by the unbureaucratic and speedy creation of the necessary legal basis
- The project was accompanied by the »Wohnbund« and the building research.
- The competition was centred on an urban development of high quality, planning and turn-key construction with a fixed price.
- In the end there were 15 bids from teams of architects and builders from 7 European countries.
- The jury consisted of the cooperation partners from politics, administration, research and the investor. Each had one vote. The decision on the winning team was mainly influenced by »quality« and »cost-saving« -criteria.
- The real construction work started in April 1994. In January 1995 the tenants moved in.

### Purpose of the Competition

In Germany the building costs are much higher than in other European countries. At the same time there are higher standards and more legal restrictions. It was the aim of the competition to demonstrate by the realization of an example from outside Germany that there were more architectural, economical, ecological and juridical leeways, than anyone was able to imagine. The aims of the competition:

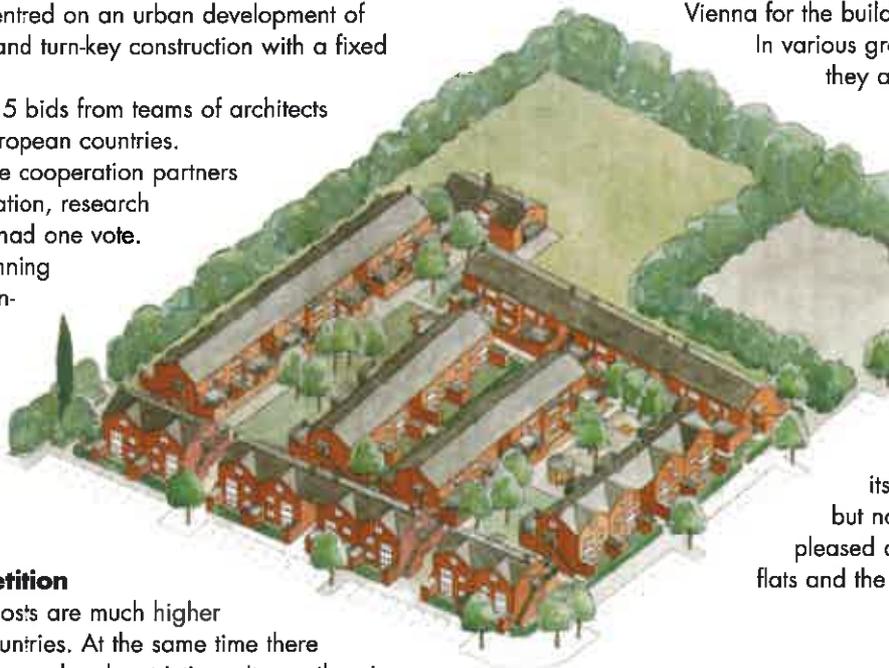
- Cost saving house building at a high social, ecological and architectural standard
- Stimulus to vitalize the fixed and expensive German social house building by international design and construction ideas
- Openness for a more and more international market
- Preliminary exercise in building following the motto: »Man - Nature - Technology« of the EXPO 2000 in Hannover

### The Consequences of the Competition

Already before the real construction work started the open competition attracted the interest of the professional public. It initiated a broad discussion on housing, urban development and the improvement of social, ecological and economical qualities. The intense cooperation of building administration, architects, trade and investor was an effective instrument for the increase in quality combined with a reduction of costs.

Inspired by the plenty of small architectural innovations the Council of Stadthagen took over the whole project for a new realization. Many commissions of communes and administrations from all over Germany and our neighbours have visited the »Europahaus« for further information. The competitive procurement procedure for architects and builders, combined with a fixed price offer, was taken over by the Council of Vienna for the building of 10,000 dwellings.

In various ground-related procedures they achieved an extreme increase in quality and a nearly as extreme reduction of costs and subsidies. The procedure and the building result have opened the mind of the public for the complicated German building and trade organization and the possibilities of its improvement. And, last, but not least, the tenants are pleased about their life in the new flats and the neighbourly settlement.



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# Ecological, Sociable and Friendly

## Schwabach am Holzgarten

It costs twice as much to build a house in Germany as it does in most comparable European countries. At a time when there is a growing shortage of housing, and no money to finance new building, this is a luxury we can no longer afford.

Our aim is to demonstrate, taking specific projects as good examples, that it is possible to build houses more cheaply than in the past but still to attain the same or a better quality of housing.

This project is a pilot project forming part of the Bavarian „rented housing built with modular wood systems“ programme, which has attained its main goals.



### Economy

Rational planning and pre-production, and series construction as well, permit construction cost to be reduced and building times to be shortened.

In addition to this wooden construction - which is subject to numerous prejudices in Germany - will open up new competition with building materials and construction companies. Although all the standards and norms, as well as statutory building requirements, have been met, the cost of building are one-third lower than those regarded as normal for residential house building.

### Recycling of land

This residential property was built on a site where worthless old buildings had previously stood. The demolition rubble was re-used in the foundations of the new houses.

All main services were already available, which meant that there was no need to build new roads, lay drains, or bring in water pipes or electric cables. This saved resources and money.

### Low rents

All these cost reductions have enabled rents to be set 5 percent lower than the usual level for government-subsidised housing.

### Ecology

Trees grow to replace those that have been cut down. The wood is easy to transport and results in components with a favourable energy input/output ratio. This places less of a burden on Nature.

### Saving energy cost

A compact building and good heat insulation result in energy consumption of about 20 percent lower than with conventional structures. Also, these houses are supplied by a neighbourhood heat-and-power station (which couples electric power with a heating supply), which has reduced the primary energy requirement and the CO<sub>2</sub> and NO<sub>x</sub> emissions by a further 50 percent when compared to conventional central-heating boilers and heat-and-power stations.

### Closed circuit for rainwater

The rainwater stays on the site where it falls. It is collected in enormous cisterns and can be pumped up by hand for watering gardens. This saves valuable drinking water - and rainwater is better for the plants and flowers anyway.

### Roof gardens, climbing plants

To prevent these cisterns from slitting up, all the roofs are covered by roof gardens. This prevents dust from being swilled into the catchment basins, and also gives the flats on the upper floors a better climate in summer.

A „green curtain“ has been provided for the covered walkways and on the south facade. The foliage provides protection from the summer sun.

The climbing plants are bare of leaves in the winter, and thus let the sun rays in.

### Sociable and friendly

This residential estate is next to town centre with shops and medical and cultural facilities. This makes it perfectly easy to live without a car.

The car parks are located harmlessly around the edge of the estate, and are clearly separated from the pedestrian paths.

A number of different designs have been used for the gardens and open spaces. Each building has its own garden, with an identity of its own, for children to play in and the inhabitants to communicate with one another and enjoy a little recreation.



### Useful ground

Tenants' gardens in front of the ground-floor flats and along the eastern edge of the site provide their users with a zone of privacy or a stimulation to indulge in gardening. Tenants can identify themselves with their residential estate and its surroundings, which gives them a feeling of contentedness and of being at home.

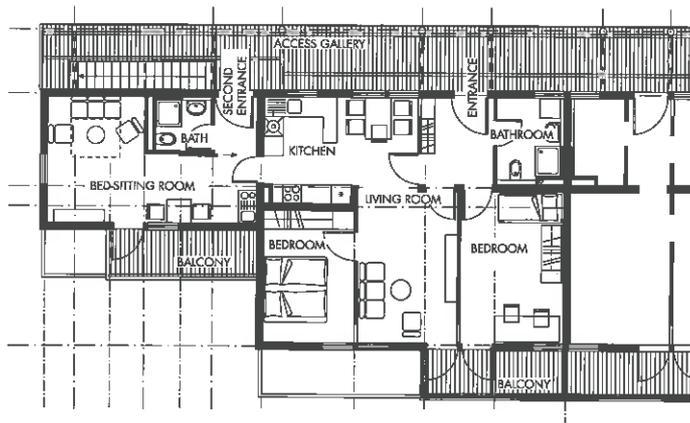
### Meeting tenants' needs

The design of the flats takes into account the needs of various different groups of people. The ground-floor flats are intended for older people, and access to them is free of obstacles.

Special flats have been designed for single-parent families.

In the four-room flats, one room can be set aside as a separate apartment, enabling several generations to live together in harmony.

Long before the first tenants moved in, a show flat was set up furnished tastefully but not expensively. This made it easier for many tenants to choose the furnishings for their own apartments.



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# Project for Women

## Kiel's Project for Women

The plans were executed by women for women.

WOB AU Schleswig-Holstein initiated a working group in 1992 consisting of female representatives of the ministry for women, the ministry of the interior, the ministry of social affairs, health and energy, the commissioner for the parity of treatment of the Land capital, Kiel, as well as a planning team from WOB AU Schleswig-Holstein.

The specific life situation of women and the resulting housing needs have been considered in the plans.

The residential facility comprises 42 housing units in four three-storey buildings, which are arranged in U-shape.

The project has a sustained influence on the development of that town area because efforts are made with this project to break through the anonymisation of living.

This project is addressed to three groups of persons which are especially disadvantaged on the housing market: female single parents, families with children, and elderly people. With the help of the residential facility orientated to their special needs, these groups are put in a position to live in a neighbourhood organised by themselves, thus acting against elderly people getting lonesome on the one side, and against communalizing the cost caused by the special situation of single parents and families with children on the other. In this case the project helps to enable multi-generation contacts and communication by a certain structure of occupancy and, above all, by the structural peculiarity of the estate.

# Adequate Shelte





The dwellings for one to five persons with living spaces from 45 to 85 sqm consist of six one- and two-person units suitable for old-age people, 13 units for female single parents with one or two children each, 12 units for one- and two-person households, and 11 units for families with one to three children. The common pavilion has a useable area of 110 sqm. There are 39 parking spaces in all the immediate vicinity of the housing estate.

In all, this project shows that within the subsidised housing construction scheme it is possible to provide a high quality of living for the specific needs of the particularly disadvantaged groups of people at comparatively little cost and few deviations from the standards of subsidy rules.

The project can easily be repeated in smaller towns as well. Planning ideas, typical flat layouts and certain details are excellently suited for importing into a similar construction projects, which may then have a smaller number of housing units, as the case may be.

The planning, the close cooperation with the Land authorities, the town and the fund-granting agencies can serve as an example for further construction projects.

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# Women's Housing Co-operatives

## Single Parents Co-Housing Projects in Hamburg

### Creating housing solutions for new forms of living

Hamburg, with a population of 1.7 million, is the second largest city in the Federal Republic of Germany. The City of Hamburg supplies public housing for a broad number of inhabitants. For fifteen years, it has also been supporting cooperative housing groups that wish to make new forms of living possible and revitalize inner-city neighborhoods.

By renovating old structures, or building a new, these people have created over 70 group housing projects. Women have played an active role in these self-help groups and have, with time, created an increasing number of projects specifically for women.

### Women revitalize an abandoned industrial site - in central Hamburg

Since the Autumn of 1994, „HausArbeit“ (HouseWork) and „Frauen leben zusammen“ (Women Live Together), two co-housing groups made up primarily of women and children, have been living in the lively, inner-city neighborhood of Altona. They built their new apartments, for 23 adults and 19 children, on an abandoned industrial site and share an inner-courtyard with other co-housing projects.

Living in this urban sub-center is especially good for the women with children. They can manage their everyday lives better because of the high density of shops and services and resulting short distances to be traveled. Cultural facilities and good public transportation also contribute to their quality of life and ability to take an active role in society.

### The women as housing-seekers on the housing market - creating new ways of living

Co-operative housing projects by women are not common in Hamburg. Women-headed households - single mothers, women living with women and women living alone - are disadvantaged on the housing market in the whole country. In Hamburg there are approximately 41 000 single parents with children under 18 years. Around 90 % are women. Nearly 65 000 children live in these families. High rents and prejudice by apartment owners often stand in the way of adequately meeting housing needs. For this reason, women with children are especially interested in alternatives to the general housing market.

A few women from Altona and two female architects initiated the presented housing projects in order to overcome these barriers. A desire for autonomous decision-making and housing management was and is an integral part of their expectations in housing. To meet their goals, the women formed co-housing groups with an emphasis on the specific needs of single mothers. They were their own developers of the buildings and financed their projects themselves as investors with public grants. Today they are renters and co-operative members of two self-organized housing associations they founded.

### The women as investors on the real-estate market - building with public support

Thanks to support by the city, the women were able to attain an exceptionally attractive piece of land that was formerly an inner-city industrial site. They had to contribute over 20 % of the total project costs themselves. This was a difficult hurdle for many, overcome only with the support of friends and relatives. Part of the building costs was met by the women through practical self-help. Some installed windows, wallpapered and painted, landscaped the inner-courtyard and laid wood flooring. The main costs were met by subventions at a level that assures reasonable rents. Subventions at this level are common in financing social housing in Germany.

### Women in co-operative housing projects - managing their housing

The women have given themselves an organizational roof over their heads by forming co-operative housing associations. They are simultaneously users of the apartments and their own managers. They have a life-long right to inhabit the buildings that can be passed on to their children. Besides this they have no other individual rights of disposal - especially not the right to sell the living space to others.

The women manage the housing projects themselves. Autonomous management means common responsibility for: the buildings, the courtyard, financial matters, the rents and the community.

Hamburg

Altona

# STATTBAU HAMBURG



Many women find it extremely important to have the feeling they can receive help or support at anytime from someone next door. Besides offering this, co-housing also increases the feeling of physical security in their building and outdoor areas. Children profit considerably also. They have more adults to rely on and bond with and can have many friends on their block. They experience fewer limits to their movement and articulation, because having children in the building complex is something „normal“. This can make the mothers feel less burdened and gives them more freedom as well.

Co-operative living can thus minimize the dependency, loneliness and excessive demands that often dictate the daily lives of women-headed households. It increases the possibilities for social and societal participation and for self-determination.

The projects described here have paved the way for more women's housing cooperatives in Hamburg. They were part of a nation-wide study by the Federal Ministry for Regional Planning, Building and Urban Development to determine which aspects can be integrated into regular public housing projects in general.

## **The women as developers - planning their own apartments**

From the beginning, the women integrated their needs into the planning process and developed individual floor plans for the apartments. Every household has its own apartment. There is one large apartment where two women live with three children. Floor plans reflect the thought given to spatial limitations. They are an attempt to translate individual housing needs and ideas into architecture. A wide array of floor plans is the result. Good visual connection to the street and inner courtyard was an important aspect of the plans.

## **The women as inhabitants - self-managed, co-operative living**

Co-operative housing projects in the form of apartment buildings are difficult to achieve. They require a great deal of patience, the ability to assert oneself and being in a position to take risks. Those who wish to move in must be low-income. But they must also contribute relatively large amounts of financial resources. Because of these high demands, women, especially with children, are often excluded although they could greatly profit from the benefits.

Living with other women and single mothers in similar situations makes it easier to carry out the tasks of daily life: to earn a living, run the household, and raise the children - and remain a woman.



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# Germany's Commitment to Sustainable Municipal and Urban Development



## About the German Ministry for Economic Cooperation and Development (BMZ)

The German Ministry for Economic Cooperation and Development (BMZ) is responsible for all aspects of development cooperation with developing countries. The German Ministry shapes foreign aid policies in partnership with developing countries. The planning, coordination and negotiation of related projects and programmes are part of BMZ's mandate, as well as financing and steering development measures with recipient countries and with NGOs and multilateral organizations.

## Priority Concerns of German Development Assistance

German development policy incorporates three priority areas of concern: poverty reduction, education and environmental issues. Within this framework, programmes of municipal and urban development aim to improve the living and working conditions of the urban poor, and to limit the negative ecological impacts of urbanisation. Development programmes are designed to conserve the natural resources on which life in cities and their hinterlands depends, and to harness urban potentials for national economic development.

## Main Objectives of Urban Development Cooperation

Programmes of municipal and urban development usually pursue three levels of intervention:

### 1. Supporting Decentralisation at the National Level:

Improvement of political and legal frameworks for urban development, and strengthening the autonomy and competence of municipal institutions by initiating and supporting decentralisation processes;

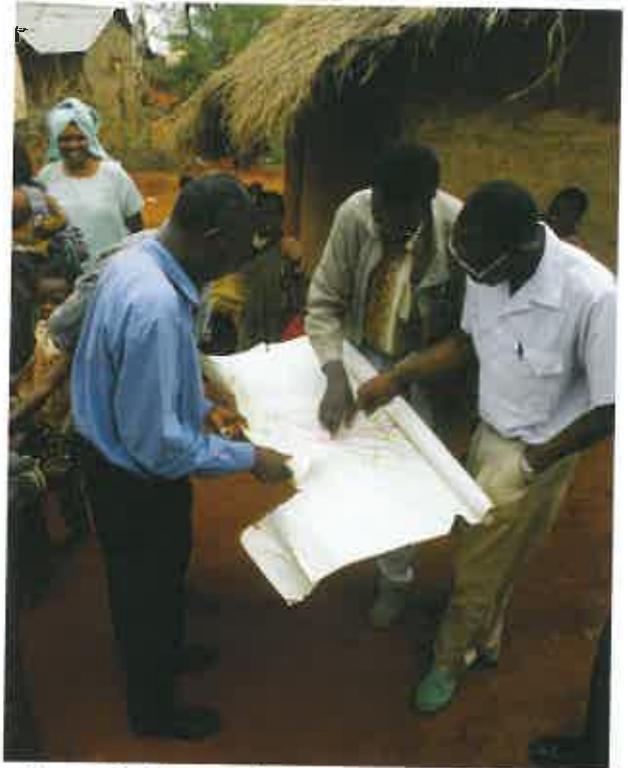
### 2. Strengthening Capacity at the Municipal and Local Level:

Strengthening the capacities of local actors lies at the heart of German technical development assistance. In this context, the public sector should be prepared not only to improve its efficiency in administration and management, but also to become more receptive for public-private partnerships;

### 3. Improving Living Conditions of the Urban Poor at the Urban District Level:

Realisation of appropriate local measures designed primarily to improve the living conditions of the poor, and to support environmentally sound natural resource management, and the reduction of acute environmental burdens.

Germany's development assistance has allocated over DM 6 billion (US \$ 4.0 billion) for the urban development sector. This includes financial assistance for urban infrastructure such as water, sanitation and waste disposal projects as well as technical assistance for urban management and municipal support programmes.



Kenya: Participatory Planning in Voi, Southern Kenya



South Africa: Mamelodi Township near Pretoria



Bolivia: The City of La Paz



# Annex

## Further Case Studies

### Submitted to the Habitat Global Best Practices Initiative

The following case studies were submitted to the Habitat Global Best Practices Initiative as well as the Best Practices described before. They show further good practices for improving the living environment.

#### **Berlin**

Preparatory Land-Use Plan - a Strategy for Berlin as a Whole

#### **Berlin**

Urban Development Measure Wasserstadt Berlin-Oberhavel

#### **Bielefeld** (Land: North Rhine-Westphalia)

From Institution to Homes - Creating Apartments instead of Closed Institutions

#### **Essen-Stoppenberg** (Land: North Rhine-Westphalia)

Construction and Living: Labour Market Project to Alleviate the Housing Shortage

#### **Flotwedel** (Land: Lower Saxony)

Flotwedel Development Study: how to Create Better Environmental Conditions

#### **Hagen** (Land: North Rhine-Westphalia)

Housing Underprivileged People - Project in the City of Hagen

#### **Halle/Saale** (Land: Saxony-Anhalt)

Heide Süd: Conversion of Former Military Sites into a Residential and University District in Halle/Saale

#### **Hamburg**

Combining Housing, Commercial Area and Recreation Space in Hamburg-St. Georg

#### **Neuss** (Land: North Rhine-Westphalia)

Environmentally Friendly Urban Development Project in Neuss-Allerheiligen

#### **Obere Kyll** (Land: Rhineland-Palatinate)

Landscape Plan for the Community of Obere Kyll

#### **Potsdam** (Land: Brandenburg)

Kirchsteigfeld Estate

#### **Roßlau** (Land: Saxony-Anhalt)

European Village Roßlau-Meinsdorf

#### **Solingen** (Land: North Rhine-Westphalia)

Preparatory Land-Use Plan from the City of Solingen for the Purpose of a Sustainable Development Plan

#### **Speicher** (Land: Rhineland-Palatinate)

Landscape Plan for the Community of Speicher, Extension of a Commercial Area

#### **Wuppertal** (Land: North Rhine-Westphalia)

Townhall Gallery



# Nationaler Aktionsplan zur nachhaltigen Siedlungsentwicklung

## National Plan of Action for Sustainable Settlement Development

Deutsches Nationalkomitee HABITAT II  
German National Committee HABITAT II



Bundesministerium  
für Raumordnung, Bauwesen und Städtebau

# Nationaler Aktionsplan zur nachhaltigen Siedlungsentwicklung

beschlossen vom  
Deutschen Nationalkomitee Habitat II  
am 5. März 1996

## Präambel

(1) In Anerkennung der Verantwortung für den Schutz der natürlichen Lebensgrundlagen der Menschheit, die Gerechtigkeit zwischen den Völkern und innerhalb der Völker, den Abbau von Armut und Unterentwicklung auf der Welt und die Bereitstellung einer angemessenen Unterkunft und Lebensumwelt für alle Menschen hat das Deutsche Nationalkomitee Habitat II den Nationalen Aktionsplan zur nachhaltigen Siedlungsentwicklung beschlossen. Das Deutsche Nationalkomitee Habitat II mißt einer solchen nachhaltigen Siedlungsentwicklung eine große Bedeutung für eine zukunftsbeständige Welt bei. Die Mitglieder des Deutschen Nationalkomitees Habitat II bekräftigen daher ihren Willen, die im Nationalen Aktionsplan formulierten Ziele und Leitlinien im Rahmen ihrer Verantwortungsbereiche umzusetzen.

## Bedrohung der natürlichen Lebensgrundlagen der Menschheit

(2) Ressourcenverbrauch, Umweltbelastung und Artensterben haben weltweit alarmierende Ausmaße angenommen. Verantwortlich sind hierfür einerseits konsumorientierte und ressourcenverzehrende Lebensstile und Wirtschaftsweisen in den Industriestaaten und zunehmend auch in den sogenannten Schwellenländern, andererseits Armut und eine mit der Bevölkerungsentwicklung nicht schritthaltende wirtschaftliche und gesellschaftliche Entwicklung in vielen Ländern des Südens. Die dabei auftretenden Probleme haben nicht nur lokalen und regionalen Charakter, sondern zunehmend auch eine globale Dimension. Die reichen Industrieländer, in denen ein Viertel der Menschheit lebt, verbrauchen drei Viertel der Primärenergie und sind daher die Hauptverantwortlichen für die Bedrohung der Erdatmosphäre.

## Neue wirtschaftliche Herausforderungen

(3) Die gesellschaftliche und wirtschaftliche Entwicklung ist weltweit von tiefgreifenden Veränderungen gekennzeichnet. Die Globalisierung der Wirtschafts-

märkte und die wachsende Bedeutung moderner Informations- und Kommunikationstechnologien auf nationaler und regionaler Ebene führt zu verstärkter Wirtschaftskonkurrenz, einer Neubewertung von Standortqualitäten und einer Veränderung im städtischen Gefüge. Das Ende des Ost-West-Gegensatzes eröffnet neue Chancen, hat aber auch zusätzlich neue Herausforderungen geschaffen. Veränderung der Arbeitswelt, Strukturwandel und zunehmende Konzentration ziehen ein starkes Anwachsen der Arbeitslosigkeit nach sich. Die Entwicklungen sind begleitet von beachtlichen interregionalen und internationalen Migrationsströmen.

## Wohnungsnot als wachsendes soziales Problem

(4) In vielen Regionen der Erde zählen ungesunde und menschenunwürdige Wohn- und Lebensbedingungen zu den drängendsten Problemen. Trotz der vergleichsweise sehr günstigen Gesamtsituation gibt es auch in Deutschland Defizite in der Wohnungsver-sorgung. Besonders für die wachsende Zahl von Langzeitarbeitslosen, aber auch für andere sozial benachteiligte Gruppen wie beispielsweise kinderreiche Familien mit geringem Einkommen, Alleinerziehende oder Zuwanderer gibt es vermehrte Wohnungsnot. Problematisch sind vielfach vor allem hohe Mieten, ein eingeschränktes Angebot an preiswerten Wohnungen sowie die Rechte der wirtschaftlichen Verwertung von Wohnungen bei Neubau, Modernisierung und Eigentumswechsel. Bau- und Bodenpreise sind in Deutschland insbesondere in Ballungsräumen sehr hoch. Vielerorts besteht die Gefahr von sozialer Segregation und Ghattobildung.

## Die Notwendigkeit einer nachhaltigen Siedlungsentwicklung

(5) Viele der ökologischen und sozialen Probleme stehen auch in Zusammenhang mit der Siedlungsweise und Raumnutzung. Durch wachsende Siedlungs- und Verkehrsflächen werden Natur- und Landschaftsräume zunehmend zerschnitten und zerstört. Außerdem erfordert die derzeitige Entwicklung der Siedlungs-

und Standortstrukturen einen immer größeren Transportaufwand. Siedlungsdispersion, Funktionstrennung und gestalterische Monotonie tragen aber auch zum Verlust von Urbanität und zur Schwächung sozialer Stabilität bei.

(6) Deutschland hat sich in der Rio-Deklaration und der Agenda 21 der Konferenz der Vereinten Nationen für Umwelt und Entwicklung dazu verpflichtet, das Ziel der nachhaltigen Entwicklung auch im Bereich der Siedlungspolitik zu verfolgen. Nachhaltige Entwicklung bezeichnet eine Entwicklung, in der die Bedürfnisse der heutigen Generation befriedigt werden, ohne zukünftigen Generationen die Möglichkeit zur Befriedigung ihrer eigenen Bedürfnisse zu nehmen. Hierzu ist es erforderlich, daß die weitere Entwicklung nur innerhalb der Tragfähigkeit und Belastbarkeit der natürlichen und von Menschen geschaffenen Systeme stattfindet. Eine Gemeinde entwickelt sich nachhaltig, wenn sie allen Bewohnern eine Grunddaseinsvorsorge in umweltbezogener, sozialer, kultureller und wirtschaftlicher Hinsicht gewährt, ohne die Lebensfähigkeit der natürlichen, gebauten und gesellschaftlichen Systeme zu bedrohen, auf denen die Sicherstellung dieser Grunddaseinsvorsorge beruht. Eine solche nachhaltige Entwicklung der Gemeinde bedingt auch die volle Gleichstellung von Frauen und Männern.

#### **Nachhaltige Siedlungsentwicklung als Beispiel für andere Länder**

(7) Ohne ein ernsthaftes und sichtbares Bemühen um Nachhaltigkeit bei uns wird es nicht gelingen, viele andere Länder von der Richtigkeit und Notwendigkeit einer nachhaltigen Entwicklung zu überzeugen. Außerdem darf nicht verkannt werden, daß ein erheblicher Teil unseres Wohlstands zulasten dieser anderen Länder erwirtschaftet wird. Aus der besonderen Verantwortung der Industrieländer für die globale Umwelt ergibt sich eine besondere Verpflichtung, vorbildliche Wege zur Lösung der anstehenden sozioökonomischen und ökologischen Probleme zu beschreiten, gleichzeitig anderen Ländern Hilfe zu geben für sozial gerechte und ökologisch wirksame Entwicklungen. So dient auch alles, was eine nachhaltige Siedlungsentwicklung fördert, real und vorbildlich der gemeinsamen Zukunft von Industriestaaten und Entwicklungsländern.

(8) Deutschland besitzt ausreichende materielle und intellektuelle Ressourcen, um die anstehenden Aufgaben in sinnvoller und gerechter Weise zu lösen. Da eine kontinuierliche Steigerung solcher "Vorsorgeauf-

wendungen" langfristig auch Einsparungen bei der Reperatur der ökologischen Schäden und bei staatlichen Transferleistungen zur Minderung sozialer Fehlentwicklungen mit sich bringt, sprechen auch ökonomische Argumente für eine nachhaltige Siedlungsentwicklung.

#### **Nationaler Aktionsplan als ganzheitliches Zielkonzept für eine nachhaltige Siedlungsentwicklung**

(9) Der Nationale Aktionsplan formuliert ein ganzheitliches Zielkonzept zur nachhaltigen Siedlungsentwicklung. Die Umsetzung dieses Plans erfordert eine Bündelung rechtlicher, finanzieller, organisatorischer, technischer und baulicher Handlungsbausteine ebenso wie die Berücksichtigung informatorischer und partizipatorischer Handlungsansätze. Hierzu ist ein integriertes und aufeinander abgestimmtes Handeln der verschiedenen Fachpolitiken notwendig, insbesondere der Raumordnungspolitik, Städtebaupolitik, Wohnungsbaupolitik, Verkehrspolitik, Infrastrukturpolitik, Umweltpolitik, Steuerpolitik und Förderpolitik, aber auch der Sozial-, Wirtschafts-, Kultur-, Bildungs-, Familien-, Frauen-, Jugend- und Migrationspolitik.

#### **Wahrung und Entwicklung des kulturellen Erbes**

(10) Unsere Städte und Dörfer sind mehr als die Summe ihrer Funktionen. Durch die Vielfalt ihrer ökonomischen, sozialen, historischen, architektonischen und kulturellen Eigenarten sind insbesondere die Städte Quellen lokaler Identität und Sinnbild bürgerlichen Selbstbewußtseins. Durch Teilnahme ihrer Bewohner am öffentlichen Leben stellen sie einen zentralen politischen Ort gemeinsamer Verantwortung dar. Dieses kulturelle, auch baukulturelle Erbe ist ein hervorragendes Kapital, das gewahrt und auf der Grundlage eines fundierten Geschichtsbildes der jeweiligen Stadt mit einem hohen Anspruch an die architektonische Qualität und an die städtebauliche Gestaltung weiterentwickelt werden muß. Besonders in den neuen Ländern erfordert dabei die notwendige Sanierung der Städte und Dörfer sowie deren Infrastruktur große gesellschaftliche und ökonomische Anstrengungen.

#### **Verantwortung der Akteure und Ausschöpfung von Handlungsmöglichkeiten**

(11) Gesellschaft, Wirtschaft und Politik, sowohl der Staat als auch die einzelnen Bürgerinnen und Bürger tragen gleichermaßen die Verantwortung, auf eine nachhaltige Siedlungsentwicklung, eine angemessene Wohnungsversorgung eingeschlossen, hinzuwirken und so einen notwendigen Beitrag zur weltweiten so-

zialen und wirtschaftlichen Gerechtigkeit sowie zur Bewahrung der natürlichen Lebensgrundlagen für zukünftige Generationen zu leisten. Dies erfordert nicht nur wirtschaftspolitisches Umdenken, sondern auch eine Überprüfung unserer Lebensgewohnheiten und Konsumstandards. Wissenschaft und Forschung müssen durch eine Verbesserung der Kenntnisse räumlicher, ökologischer, wirtschaftlicher und sozialer Wirkungszusammenhänge die nachhaltige Siedlungsentwicklung unterstützen.

(12) Die Umsetzung des Nationalen Aktionsplans setzt ein Zusammenwirken von Bund, Ländern, Gemeinden, öffentlichen Einrichtungen und privaten Entscheidungsträgern voraus. Vor allem angesichts der Tatsache, daß durch private Investitionen vielfach ein äußerst starker Einfluß auf die Siedlungsentwicklung ausgeübt wird, muß insbesondere auf lokaler Ebene das Zusammenwirken von Wirtschaft und öffentlicher Planung gestärkt werden. Zur Förderung von Einsicht und Verständnis wie auch zur Beeinflussung von Handlungsabsichten sind Information und Aufklärung von Bürgerinnen und Bürgern sowie von Unternehmen ebenso von Bedeutung wie die Förderung dezentraler Partizipations- und Entscheidungsprozesse.

(13) Die die Siedlungsentwicklung beeinflussenden Akteure müssen sich verpflichten, in den ihnen zugewiesenen Verantwortungsbereichen die Möglichkeiten zur Förderung von Nachhaltigkeit auszuschöpfen. Hierzu sind geeignete rechtliche, finanzielle, organisatorische, technische und sonstige Rahmenbedingungen zu schaffen, aber auch klare qualitative und quantitative Zielvorgaben zu formulieren.

(14) Eine nachhaltige Siedlungsentwicklung kann nur dann erreicht und gesichert werden, wenn private Haushalte und Unternehmen als unmittelbare Entscheidungsträger entsprechende Handlungsmöglichkeiten und Anreize für deren Umsetzung vorfinden. Schlüsselansatz hierzu ist eine verursachergerechte und den Knappheiten der Ressourcen entsprechende Anlastung von Kosten.

### **Stärkung der lokalen Gemeinschaft**

(15) Im Rahmen der föderalen Organisation auf Basis des Subsidiaritätsprinzips bilden starke autonome Gemeinden einen zentralen Bestandteil der deutschen Staatsverfassung. Die Selbstverwaltungsgarantie überläßt den Gemeinden im Rahmen des geltenden Rechts breite Zuständigkeiten, etwa für die Beplanung des Gemeindegebietes, den Bau und die Unterhaltung

vieler Infrastruktureinrichtungen, die Bereitstellung eines öffentlichen Personennahverkehrs oder den örtlichen Umweltschutz. Damit können auf lokaler Ebene wichtige Weichen gestellt werden für eine Entwicklung, die umweltbezogenen, wirtschaftlichen und sozialen Erfordernissen gerecht wird.

(16) Diese herausgehobene Position der Gemeinden muß mehr noch als bisher als Chance begriffen, weiter entwickelt und durch entsprechende Rahmensetzung der Europäischen Union sowie auf Bundes- und Länderebene unterstützt werden. Die Gemeinde muß gestärkt werden als derjenige Ort, in dem das Zusammenleben und das Wohnen "organisiert" werden müssen, als politischer Ort einer gemeinsamen Verantwortung für das Recht aller Bürgerinnen und Bürger auf Teilhabe an bezahlter Arbeit für die Versorgung mit angemessenem Wohnraum, den Schutz von Natur und Umwelt, für den Schutz des baukulturellen Erbes und für sozialen Ausgleich. Hierzu bedarf es auch einer ausreichenden Finanzausstattung der Kommunen.

(17) Neben der Setzung vieler formaler Rahmenbedingungen müssen das Verantwortungsbewußtsein jedes einzelnen für sein Leben in der städtischen oder dörflichen Gemeinschaft gestärkt und vielfältige Möglichkeiten zur Beteiligung am kommunalen Leben und an den die lokale Gemeinschaft betreffenden Entscheidungen entwickelt werden. Es müssen tragfähige dezentrale Strukturen geschaffen werden, um auch die Identifikationsmöglichkeiten mit dem Ort, aber auch die Brauchbarkeit und Aneignungsfähigkeit der kommunalen Einrichtungen zu verbessern.

### Bewahrung und Weiterentwicklung der günstigen Siedlungsstruktur

(18) Die dezentrale Siedlungsstruktur in Deutschland bietet gute Voraussetzungen für eine räumliche Entwicklung, die umweltbezogenen, wirtschaftlichen und sozialen Erfordernissen gerecht wird. Sie stellt bereits heute einen wichtigen Vorteil für den Standort Deutschland dar. Diese günstige Ausgangssituation ist zu bewahren und weiterzuentwickeln. Sie bietet eine zentrale Voraussetzung dafür, daß alle Regionen langfristig an einer zukunftsfähigen Entwicklung teilhaben.

(19) Die bisher relativ ausgeglichene Raum- und Siedlungsstruktur ist in Teilen bedroht: Einerseits besteht die Gefahr zunehmender Zentralisierung auf Ballungsräume, verbunden mit Überlastungstendenzen, steigendem Siedlungsflächendruck, Zersiedelung und Beeinträchtigungen ökologischer Funktionen, andererseits drohen strukturschwache ländliche Räume verstärkt durch Abwanderung geschwächt zu werden. Durch das Leitbild der dezentralen Konzentration, verbunden mit einer differenzierten Förderung nach räumlichen Schwerpunkten, wird dem Ziel der gleichwertigen Lebensbedingungen am besten Rechnung getragen, indem Konzentrationsprozessen auf wenige Wachstumsregionen entgegengewirkt wird und ländliche Regionen stabilisiert und in ihrer Eigenentwicklung gestärkt werden.

(20) Das Zusammenwachsen Europas hat auch Folgen für die Raum- und Siedlungsstruktur. Eine Raumentwicklungspolitik der europäischen Staaten ist notwendig, da zahlreiche Probleme der Raum- und Siedlungsstruktur nicht mehr isoliert auf nationaler Ebene zu lösen sind. Die Staaten der Europäischen Union haben daher in den "Grundlagen einer europäischen Raumentwicklungspolitik" Aktionsbereiche und Handlungsfelder zur Verwirklichung einer nachhaltigen Raum- und Siedlungsentwicklung in Europa formuliert, die nun umzusetzen sind.

### Bildung und Ausbau von Städtenetzen

(21) Um durch gemeinsame Projekte Synergieeffekte zu erzeugen und Ressourcenverbrauch zu reduzieren, müssen Städtenetze aufgebaut werden. Vor allem freiwillige interkommunale Kooperationen sind ange-

sichts der wachsenden räumlichen Verflechtungen und der angespannten Lage der öffentlichen Haushalte auch unter dem Aspekt der Kostenreduktion anzustreben. Die erhöhte Standortkonkurrenz erzwingt zunehmend interkommunale Handlungsansätze.

(22) In regionalen Städtenetzen sind die kommunalen Planungen und Projekte so aufeinander abzustimmen, daß Flächen z.B. durch gemeinsame Gewerbegebiete oder Entsorgungsinfrastrukturen eingespart, regionale Eigenkräfte unter Wahrung der jeweiligen regionalen Identitäten gestärkt und Beiträge zur Stärkung der dezentralen Siedlungsstruktur und damit zur nachhaltigen Raumentwicklung geleistet werden können. Städtenetze ergänzen das abgestufte System der Zentralen Orte und tragen zur Vermeidung von Zersiedelung und Landschaftszerstörung bei.

### Abbau von Anreizen zur Sub- und Disurbanisierung

(23) Verschiedene Gegebenheiten schaffen heute Anreize zur Sub- und Disurbanisierung und stellen erhebliche Probleme für das Stadt-Umland-Verhältnis dar. Da ist einerseits das hohe Bodenpreisgefälle zwischen den Kernstädten und ihrem Umland, spekulative Zurückhaltung von Bauland durch private Eigentümer oder die verbilligte Bereitstellung von gewerblichen Grundstücken im Umland im Rahmen der kommunalen Gewerbeansiedlungspolitik. Andererseits bieten die vergleichsweise geringen Mobilitätskosten den Betrieben und Haushalten sehr große Flexibilität bei ihrer Standortwahl und erschweren damit eine nachhaltige Siedlungsentwicklung. Diese Anreize müssen überprüft werden.

(24) Eine verursachergerechte Anlastung der ökologischen und sozialen Kosten einer ungeordneten Besiedlung des Umlandes, besonders im Verkehrsbereich, ist dabei von zentraler Bedeutung. Dazu zählt die Weiterentwicklung des Bodenrechtes, um zu Bodenpreisen zu kommen, die den Wert der Ressource Boden besser widerspiegeln, damit möglichst sparsam mit ihr umgegangen wird. Die preisliche Steuerung von Standortwahl und Flächennachfrage muß ergänzt werden durch gemeindeübergreifende Konzepte zur Steuerung des regionalen Flächenangebots, eine regionale Bodenvorratspolitik und die gemeinsame Entwicklung von Siedlungsschwerpunkten.

(25) Die Landes- und Regionalplanung muß darauf hinwirken, die bisherige Trennung von Wohnen und Arbeiten zurückzuführen. Notwendig ist eine Stärkung mittelstädtischer Zentren im Umland der Kernstädte, die über eine gute Anbindung an den öffentlichen Verkehr verfügen. Im Sinne einer besseren räumlichen Arbeitsteilung ist eine enge Zusammenarbeit zwischen Kernstadt und Umlandgemeinden nicht nur bei der Ausweisung von Gewerbe- und Wohngebieten und ihrer günstigeren räumlichen Zuordnung, sondern auch beim öffentlichen Nahverkehr sowie bei Planung und Betrieb von Ver- und Entsorgungsanlagen erforderlich.

(26) Interkommunale Kooperation erfordert neben der Gleichberechtigung aller beteiligten Partner vor allem aber effektive Mechanismen des Finanzausgleichs. Die Weiterentwicklung des kommunalen Finanzausgleichs wird zum Ziel haben müssen, zu einer fairen Abgeltung der in Anspruch genommenen Leistungen zwischen Kernstadt und Umland zu gelangen. Dabei wären auch ein "Verzicht" auf Wachstum und die Erbringung ökologischer Leistungen wie die Umstellung auf extensiven Landbau im Interesse der Allgemeinheit zu honorieren.

#### **Stabilisierung ländlicher Räume und Siedlungen**

(27) Einige agglomerationsferne, gering verdichtete Regionen haben mit besonderen Struktur- und Anpassungsproblemen zu kämpfen. Um hier eine nachhaltige Stabilisierung zu erreichen, sind umfassende Maßnahmen erforderlich. Im Mittelpunkt muß hierbei die Sicherung der Grundversorgung stehen, auch durch Zugrundelegung niedrigerer Schwellenwerte bzw. Bevölkerungsrichtwerte für die Tragfähigkeit von Versorgungseinrichtungen. Dies erfordert aber in der Regel eine Konzentration der Förderung auf ausgewählte Kristallisationspunkte sowie eine Bündelung von Infrastruktur und Dienstleistungsarbeitsplätzen in gut ausgebauten Zentralen Orten.

(28) Parallel zur Bereitstellung eines qualitativ und quantitativ ausreichenden Angebotes ist aber auch eine sozialgerechte und umweltverträgliche Erreichbarkeit dieser Angebote sicherzustellen. Daher muß der öffentliche Verkehr auch in gering verdichteten Regionen eine wichtige Rolle spielen. Ebenso wie Verdichtungsräume können sich solche Regionen nur dann nachhaltig entwickeln, wenn in ihnen die interkommunale Zusammenarbeit gestärkt, regionale Entwicklungskonzepte gefördert und Leistungen für den Freiraum- und Ressourcenschutz und die Umstellung

auf extensive Landwirtschaft finanziell unterstützt werden.

#### **Städtebauliche Nutzungsmischung und soziale Integration**

(29) Wohnen und Arbeiten, Versorgungs- und Freizeiteinrichtungen sowie Freiräume müssen räumlich integriert bleiben bzw. werden, sofern nicht berechtigte Schutzansprüche einzelner Nutzungen dem entgegenstehen. Nutzungsmischung kann zur Erhöhung der Energie- und Flächeneffizienz beitragen. Es können gleichermaßen Spitzenbelastungen von Einrichtungen vermieden wie auch Flächen und Anlagen mehrfach genutzt werden. Eine städtebauliche Mischung verbessert auch die Chance zu sozialer Integration und zum Ausgleich von Interessen.

(30) Die wirtschaftlich und sozial verträgliche Integration von Zuwanderern stellt eine der zentralen gesellschaftlichen Herausforderungen dar. Sie erfordert auch eine städtebauliche Neuorientierung an den Stadträndern. Insgesamt gilt es, offene und gleichzeitig komplexe städtische Strukturen zu installieren, in denen verschiedene kulturelle Identitäten koexistieren und soziale Ausgrenzungsprozesse verhindert werden können.

(31) Die Stadt muß ihr historisches Wesensmerkmal bewahren, gleichzeitig aber auch die Herausforderungen des gesellschaftlichen, demographischen, wirtschaftlichen und technologischen Wandels annehmen. Gemischte, kleinteilig gegliederte, und komplex vernetzte Strukturen sind für eine flexible Nutzung und für die Integration verschiedener Alters- und Lebensformgruppen viel besser geeignet als monofunktionale Großstrukturen. Nutzungsmischung soll zur Verbesserung der Qualitäten von Nahräumen beitragen. Im Zuge verstärkter Nutzungsmischung ist besonderes Augenmerk auf die Attraktivität und Nutzbarkeit öffentlicher Räume (Straßen, Plätze, Grünanlagen) zu legen. Die historisch gewachsene Stadt weist dazu günstige Voraussetzungen auf und sollte dementsprechend erhalten und weiterentwickelt werden. Dabei ist eine kleinräumige Nutzungsmischung so zu gestalten, daß in einer "Stadt der kurzen Wege" der Verkehrsaufwand gering bleibt.

(32) Handlungsansätze zur Nutzungsmischung müssen die Chancen aufgreifen, die sich vor allem durch den wirtschaftlichen Strukturwandel ergeben, d.h. sie müssen die Modernisierung und Flexibilisierung der Produktionsprozesse, die Umstellung auf umweltschonende Produktionsprozesse und umweltfreundliche

che Technologien sowie die Potentiale zur Verkleinerung von Betriebseinheiten unterstützen.

### **Städtebauliche Dichte, Innenentwicklung und Freiraumschutz**

(33) Ergänzend zur Funktionsmischung ist in vielen Fällen eine ausreichende städtebauliche Dichte erforderlich. Diese unterstützt die Effizienz von Versorgungs- und Entsorgungsstrukturen, z.B. von öffentlichen Verkehrsnetzen. Verdichtung ist außerdem eine wichtige Voraussetzung für den effektiven Schutz von Freiräumen.

(34) Um den Schutz und die Entwicklung von Freiräumen in Einklang zu bringen mit der Siedlungsflächenachfrage, sind ein umfassendes Flächenmanagement, eine konsequente Innenentwicklung und Planungen kompakter Neubauprojekte erforderlich. In der Regel hat die Wiedernutzung ehemals genutzter und jetzt brachliegender Flächen sowie ungenutzter Bauwerke Vorrang vor einer Neuinanspruchnahme von Freiflächen.

(35) Die im Siedlungsbestand vorhandenen Nachverdichtungspotentiale sind unter Beachtung stadttökologischer Rahmenbedingungen zu nutzen. Gewerbe- und Industriebrachen sowie Konversionsflächen sind flächige Potentiale zur Siedlungsergänzung. Baulückenschließungen und städtebauliche Ergänzungen in Einfamilienhausgebieten oder in Gebieten des Geschoswohnungsbaus müssen unter Beachtung der Freiraumausstattung, des Stadtklimas und der städtebaulichen Qualitäten auf Eignung überprüft werden. Mit zunehmender Verdichtung sind die Qualitäten öffentlicher Räume zu sichern und zu verbessern. Private Rückzugs- und Ruhezone sind zu erhalten oder zu schaffen.

(36) Die geordnete Entwicklung der Stadtränder, bei der die ökologische und soziale Bedeutung der umgebenden Landschaft berücksichtigt werden muß, ist ein wesentlicher Aspekt der städtebaulichen Weiterentwicklung. Alle Politikbereiche sollen dazu beitragen, die Ränder der Siedlungsbereiche geordnet zu entwickeln und ungeordnete Bereiche zu konsolidieren. Eine Zerfransung dieser Ränder gilt es zu vermeiden.

### **Ausgleich von Flächeninanspruchnahme im lokalen und regionalen Verbund**

(37) Es ist anzustreben, daß weitere Freiflächen für Siedlungszwecke nur dann in Anspruch genommen werden, wenn an andere Stelle ein Ausgleich stattfindet. Ein solcher Ausgleich soll im gesamtstädtischen

oder regionalen Kontext erfolgen. Hierzu müssen die Belange einer nachhaltigen Entwicklung im Planungsrecht integriert und gestärkt werden.

(38) Die heute noch übliche Praxis, einen Ausgleich innerhalb eines Bebauungsplangebietes durchzuführen, kann im Einzelfall aus gesamtstädtischer und regionaler Sicht - gemessen an den Zielen nachhaltige Ressourcenschonung und gesunde Lebensverhältnisse - wenig effektiv, wenn nicht sogar kontraproduktiv sein. Daher müssen dem Ziel des kleinräumigen Naturschutzes in allen Teilräumen der Stadt immer auch die Ziele der Kompaktheit der Siedlung, der Nutzungsmischung und des großflächigen Freiraumschutzes als mindestens gleichrangig gegenübergestellt werden.

(39) Bei der Anwendung der naturschutzrechtlichen Eingriffsregelung ist dem Prinzip der Vermeidung bzw. Minimierung von Eingriffen in der Praxis ein größeres Gewicht zu geben. Dies kann durch eine direkte Einbeziehung des Naturschutzes in die städtebauliche Konzeption und Planung erreicht werden. Bei der Anwendung des Ausgleichsgebotes sind großflächige Konzepte des Freiraumschutzes zu unterstützen und zu verwirklichen. Dabei sind Maßnahmen zur Entwicklung von Natur und Landschaft - beispielsweise durch Biotopvernetzung, Extensivierung der Nutzung, Ausweisung von Schutzgebieten - ebenso erforderlich wie Maßnahmen zur Verbesserung der quantitativen und qualitativen Ausstattung mit zur Naherholung geeigneten Freiräumen.

### **Integrierte Förderung städtischer Quartiere mit besonderem Erneuerungsbedarf**

(40) Zur wirtschaftlichen, sozialen und ökologischen Stabilisierung städtischer Bereiche mit dringendem Erneuerungs- bzw. Handlungsbedarf müssen integrierte Handlungs- und Förderstrategien entwickelt werden. Solche Strategien umfassen vor allem Maßnahmen zur Siedlungsentwicklung, zum Wohnungsbau und zur Schaffung von Arbeitsplätzen, aber auch Sozialprogramme, Kriminalitätsprävention und Maßnahmen des Umweltschutzes. Finanzielle Ressourcen sind zu bündeln und auf die Durchsetzung der stadtentwicklungspolitischen Strategie zu konzentrieren.

### **Stärkung von Innenstädten und Stadtteilzentren**

(41) Zu den Bereichen mit besonderem Handlungsbedarf zählen vor allem in den neuen Ländern die Innenstädte und Stadtteilzentren. Vitale Zentren und Subzentren leisten einen Beitrag zur Verkehrsvermeidung, zur sozialen Integration, zur Si-

cherheit in der Stadt, zur Identifikation der Bürgerinnen und Bürger mit der Stadt und zur Belebung der örtlichen Wirtschaft. Notwendig ist eine stärkere, integrierte Förderung der Zentren als Wohnstandorte und Standorte des Einzelhandels sowie des wohnungsverträglichen Gewerbes, in der ganzheitlich Aspekte der Nutzungsmischung, der sozialen Integration, der baulichen Gestaltung, der Kriminalitätsvermeidung, der wirtschaftlichen Revitalisierung und der Beschäftigungsförderung zusammengeführt werden. Von besonderer Bedeutung ist dabei die räumliche und städtebauliche Integration von Zuwanderern.

(42) Parallel zur Stärkung von Innenstädten und Stadtteilzentren müssen die Zulassungsbedingungen für großflächige und publikumsintensive Einrichtungen (Verbrauchermärkte, Freizeitparks, Multiplexkinos u.ä.) an peripheren oder integrierten Standorten verschärft werden. Dazu sind insbesondere die Subventionen der Flächenbereitstellung abzubauen sowie ökologische und soziale Folgekosten anzulasten. Dazu zählt die Internalisierung der Infrastruktur- und Verkehrskosten. Anforderungen an die Grundstücksausnutzungen und an die Gestaltung sind zu verschärfen.

#### **Städtebaulicher Denkmalschutz und zeitgemäße Architektur**

(43) Stadtgrundrisse, Stadt- und Ortsbilder, historische Straßen und Plätze, Ensembles und die klassischen Einzelbaudenkmäler prägen die Individualität einer Stadt. Geschichte wird in der überlieferten Bausubstanz sichtbar und macht mit neuer, qualitätvoller Architektur die Stadt unverwechselbar. Städtebaulicher Denkmalschutz ist daher zur Wahrung historischer und kultureller Identität dringend erforderlich. Behutsamer Denkmalschutz muß den besonderen Charakter der einzelnen Stadtteile achten. Architektur und Städtebau sind Spiegelbild der gesellschaftlichen Entwicklung unseres Landes und haben der Erfüllung menschlicher Bedürfnisse zu dienen. Ideen- und Realisierungswettbewerbe sind geeignete Instrumente zur Förderung der Gestaltung der gebauten Umwelt.

(44) Behutsamer Denkmalschutz und zeitgemäße Architektur müssen auch als Chance begriffen werden, den gewachsenen Innenstädten im Rahmen ganzheitlicher Strategien Impulse zur wirtschaftlichen Belebung und Attraktivitätssteigerung zu geben. Insbesondere in den neuen Ländern müssen der städtebauliche Denkmalschutz und die Erhaltung historischer Stadträume als wesentliche Elemente einer integrierten Revitalisierungsstrategie gelten.

#### **Städtebauliche Weiterentwicklung und Urbanisierung von Großwohnsiedlungen**

(45) Gerade bei den Großwohnsiedlungen zeigt sich die Notwendigkeit ganzheitlich-integrativer städtebaulicher Erneuerungskonzepte, durch die bauliche, ökologische, wirtschaftliche, soziale und kulturelle Aspekte zusammengeführt werden.

(46) Die Großwohnsiedlungen stellen einen besonderen und wichtigen Typ städtischer Wohngebiete dar. Sie bilden vor allem in den neuen Ländern das Zuhause für mehrere Millionen Menschen. Angesichts ihrer Bedeutung für Wohnungsmarkt und Stadtentwicklung ist es wichtig, die Großwohnsiedlungen im Kontext der Belebung der Innenstädte und Stadtteilzentren sowie der notwendigen Bereitstellung neuer Baugebiete zu erhalten und weiterzuentwickeln. Dies liegt auch im Interesse einer ressourcen- und flächensparenden Stadtentwicklung. Wesentliche Probleme der Großwohnsiedlungen bestehen in ihrer stadträumlichen Isolation und in der einseitigen Funktionsausrichtung auf das Wohnen. Diese Strukturprobleme ziehen städtebauliche, soziale und ökologische Probleme für die Siedlungen selbst, für benachbarte Stadträume und für die Gesamtstadt nach sich.

(47) Entwicklungsmöglichkeiten für Großwohnsiedlungen bieten sich durch Umnutzungen und Erweiterungen im Gebäudebestand, aber auch durch ergänzenden Neubau in gering verdichteten Siedlungsteilen. Ein enges Zusammenwirken von Kommunen, Wohnungsunternehmen, Eigentümern und Mietern muß vor allem darauf hinzuwirken, die jeweilige kulturelle und soziale Identität der Siedlung zu wahren und zu entwickeln. Erforderlich sind Modernisierung von Wohnungsbestand und haushaltsnaher Infrastruktur, Funktionsergänzung durch nichtstörendes Gewerbe sowie umwelt- und nutzungsorientierte Freiraumgestaltung. Drohenden Segregationserscheinungen ist entgegenzuwirken. Aufmerksamkeit ist auch der Anbindung von Großwohnsiedlungen an den öffentlichen Personennahverkehr und der Ordnung des ruhenden Verkehrs zu widmen.

#### **Sichere Stadtquartiere**

(48) Im Bewußtsein der Bevölkerung sind Kriminalität und Gewalt insbesondere in den Großstädten zu einem Problem von herausragender Bedeutung geworden. Angst vor Gewalt, Belästigung und Übergriffen schränkt vor allem den Freiraum von Frauen ein. Betroffen sind neben den Innenstädten insbesondere

Großsiedlungen am Stadtrand. Zur Kriminalprävention sind Maßnahmen im baulichen und städtebaulichen Bereich erforderlich, die darauf zielen, die Sicherheit und das Sicherheitsgefühl der Wohnbevölkerung zu erhöhen, die Sozialisationsbedingungen und aktuellen Lebensbedingungen insbesondere von Jugendlichen zu verbessern sowie Tatgelegenheiten zu verringern. Die Maßnahmen der unmittelbaren Kriminalprävention sind aber zu integrieren in eine Gesamtstrategie zur Erhaltung bzw. Verbesserung der Attraktivität von Wohnquartieren, um segregationsfördernde Abwanderungen von Teilen der Bevölkerung zu verhindern und so im Ansatz der Bildung kriminalitätsfördernder Milieus vorzubeugen.

### **Umweltgerechter Stadt- und Regionalverkehr**

(49) Das Verkehrswachstum stellt mittlerweile eines der drängendsten Probleme in den Städten dar. Die starke Zunahme des Kfz-Verkehrs vor allem in den Verdichtungsräumen kann wegen der Flächennutzungskonflikte, des Freiraummangels sowie der Erfordernisse des Landschafts-, Natur- und Umweltschutzes in der Regel nicht mehr durch den Ausbau des Straßennetzes bewältigt werden. Daher müssen neue Wege beschritten werden, die auf eine Beeinflussung des Mobilitätsverhaltens zielen.

(50) Zur Vermeidung eines weiteren Wachstums des Verkehrsaufwandes und der Verkehrsauswirkungen ist eine integrierte Stadtentwicklungs- und Gesamtverkehrsplanung erforderlich. Die Handlungsansätze müssen zur Verringerung des Verkehrsaufwandes, zur Verlagerung auf umweltverträgliche Verkehrsmittel und zur ressourcen- und umweltschonenden Abwicklung des Verkehrs beitragen. Besondere Bedeutung kommt dabei den siedlungsstrukturellen Handlungsansätzen wie dezentrale Konzentration, Nutzungsmischung und verträgliche Dichte zu.

(51) Durch marktorientierte, ordnungsrechtliche und planerische Instrumente müssen der ÖPNV und der nicht-motorisierte Verkehr gefördert sowie der motorisierte Individualverkehr umweltverträglicher gestaltet und eingeschränkt werden. Moderne Ansätze des Mobilitätsmanagements etwa durch Mobilitätszentralen, City-Logistik-Konzepte oder Parkraummanagement sind zu stärken.

(52) Die Gemeinden im Umland der Verdichtungsräume müssen sowohl tangential untereinander als auch durch besonders leistungsfähige ÖPNV-Schnellverbindungen mit dem Regionszentrum ver-

bunden werden. Die Regionalisierung des öffentlichen Nahverkehrs soll auch diesem Ziel dienen.

(53) Zur Entlastung hat künftig verstärkt auch der Kombinierte Ladungsverkehr beizutragen mit dem Ziel, Güterverkehr auf die Schiene zu verlagern. Darüber hinaus sind die Güterverkehrs- und Güterverteilzentren zügig auszubauen. Nicht verlagerbarer schwerer Lkw-Verkehr ist innerhalb der belasteten Verdichtungsräume auf kleinere City-Lkw mit umweltschonendem Antrieb umzuladen.

### **Zukunftsbeständige städtische Infrastrukturen**

(54) Bei der Sanierung und beim Neubau von Ver- und Entsorgungsinfrastrukturen, vor allem in den Bereichen der Energieversorgung, der Wasserversorgung, der Abwasserbeseitigung und der Abfallwirtschaft, sind vorrangig Aspekte der zukunftsbeständigen Entwicklung zu berücksichtigen.

(55) Zur Wahrung des kulturellen Erbes unserer Städte und Dörfer, zur umwelt-, und sozialgerechten Entwicklung und Stabilisierung von Siedlungsgebieten ist die Sicherstellung einer bedarfsgerechten sozialen und kulturellen Infrastruktur unerlässlich. Hierbei sind insbesondere auch die demographische und gesellschaftliche Veränderungen zu berücksichtigen. Die flexible Nutzbarkeit von sozialen Einrichtungen, Gesundheits-, Freizeit- und Kultureinrichtungen muß in Zukunft stärker beachtet werden. Die Schaffung neuer Infrastrukturangebote wie etwa spezifischer Beratungsdienste muß dazu beitragen, schwerwiegende Sozialprobleme schon im Ansatz zu entschärfen.

(56) Der notwendige Aufbau kommunaler Infrastrukturen kann vielfach aus öffentlichen Mitteln allein nicht mehr im erforderlichen Umfang bewältigt werden. Die Mobilisierung privaten Kapitals und die Privatisierung öffentlicher Aufgaben, insbesondere der freiwilligen Selbstverwaltungsaufgaben, müssen helfen, die dringend erforderlichen Investitionen zu realisieren.

### **Städtische Umweltpolitik**

(57) Zahlreiche Verbesserungen im kommunalen Umweltbereich dürfen nicht über den nach wie vor großen Handlungsbedarf hinwegtäuschen. Um eine nachhaltige Entwicklung der Städte und Regionen zu gewährleisten, muß eine städtische Umweltpolitik weiterhin mit Nachdruck betrieben werden. Die Kommunen müssen ihre umweltpolitischen Handlungsmöglichkeiten im Rahmen ihres Verantwortungsbe-

reichs ausschöpfen und hierbei durch alle gesellschaftlichen Kräfte unterstützt werden.

(58) Wichtige Leitgedanken zur Ressourcenschonung sind auf das gesamte Leben und Wirtschaften in der Stadt bzw. die dortigen Energie- und Stoffströme zu übertragen. Die grundsätzliche Vermeidung von Belastungen muß Vorrang haben vor einer Verminderung durch Einsatz von Technik.

(59) Vor dem Hintergrund globaler Verantwortung zählt der Klimaschutz zu den zentralen umweltpolitischen Aufgaben. Im Rahmen ihrer Möglichkeiten müssen daher die Kommunen auf eine Verminderung der Emission klimarelevanter Gase hinwirken und dabei die vielfältigen Maßnahmen ergreifen, die zur Umsetzung von Klimaschutzzielen zur Verfügung stehen. Die Kommunen sollen sich verpflichten, ihren Beitrag zur Energieeinsparung und zum Klimaschutz nachzuweisen und sich einem Städtevergleich zu stellen.

(60) Zur Minderung des Wasserverbrauchs und zur Sicherung der Trinkwasserqualität sowie zur Sicherstellung der Abwasserbehandlung und -entsorgung sind geeignete Vorsorgemaßnahmen erforderlich. Die Abfallwirtschaft muß an der Prioritätenfolge Vermeidung, Mehrfachnutzung und Wiederverwertung ausgerichtet werden. Eine Sanierung oder Sicherung von Altlasten und Deponien ist erforderlich, um Brachflächen wiedernutzen zu können. Im Rahmen eines vorsorgenden Bodenschutzes gilt es, neue Belastungen mit ihren negativen Wirkungen für das Grundwasser und die Bodenstruktur, für die Flächennutzung und die Stadtentwicklung zu vermeiden.

(61) Sozial benachteiligte Bevölkerungsgruppen sind häufig diejenigen, die am meisten unter lokalen Umweltbelastungen leiden und die am wenigsten zur Lösung der Probleme beitragen können. Auch aus diesem Grund ist es erforderlich, daß kommunale Wirtschafts-, Sozial- und Wohnungspolitik mit den städtischen Anstrengungen zum Umweltschutz verzahnt werden.

(62) Zur Erreichung kommunaler umweltpolitischer Ziele ist es erforderlich, das Verhalten der Akteure in der Stadt entsprechend zu beeinflussen. Hierzu müssen die zur Verfügung stehenden Instrumente genutzt werden, vor allem die planerischen, ordnungsrechtlichen, preispolitischen und organisatorischen Möglichkeiten sowie gezielte Aufklärungskampagnen und eine wirksame Öffentlichkeitsarbeit. Als Grundlage für all diese Ansätze ist aber auch der Einsatz moder-

ner Mittel der Umweltbeobachtung und Umweltberichterstattung erforderlich, durch die die Verfügung stehenden natürlichen Ressourcen und ihre Belastungen erkannt und dokumentiert werden können.

### **Umweltgerechtes Bauen**

(63) Umweltgerechtes und ressourcenschonendes Bauen bezieht sich einerseits auf die Modernisierung von bestehenden Altbauten, andererseits auf die Realisierung neuer Bauprojekte im Wohnungsbau, im Gewerbebau und bei Infrastrukturbauten der öffentlichen Hand. Dabei sollten gute Gestaltung einerseits sowie Energie- und Flächensparsamkeit andererseits nicht länger als Gegensätze, sondern als Chance für eine neue qualitätsvolle Architektur der Lebensumwelt betrachtet werden.

(64) Im Mittelpunkt müssen weiterhin Maßnahmen um Energieeinsparungen im Gebäudebereich stehen, vor allem durch Wärmedämmung, durch Ausbau und Sanierung von Wärmenetzen und durch neue Energieversorgungskonzepte. Baukörperausrichtungen zur Sonnenenergieausnutzung und zur Verringerung von Windexpositionen müssen durch Stadtplanung ermöglicht oder vorgegeben werden. Anschlußmöglichkeiten einer zentralen oder dezentralen Wärme- und Energieversorgung müssen genutzt werden.

(65) Wichtig ist auch der Einsatz moderner Haustechnik zur Wassereinsparung. Zur Ressourcenmentlastung, Klima- und Umweltverbesserungen im Gebäudeumfeld verdienen Dach- und Fassadenbegrünung, dezentrale Regenwasserversickerung sowie Abfallkompostierung besondere Beachtung. Bei der Auswahl der Baustoffe sind die baubiologischen Eigenschaften, gesundheits- und umweltfreundliche Verarbeitungseigenschaften sowie Kriterien der umweltverträglichen Herstellung, Wiederverwertbarkeit und Entsorgung zu beachten.

### **Nachhaltiges Wirtschaften in der Stadt**

(66) Wirtschaftliche Aktivitäten konzentrieren sich in den Städten. Daher sind vor allem die Städte den Belastungen ausgesetzt, die insbesondere von der produzierenden Wirtschaft ausgehen. Sie bilden als Markt- und Kommunikationszentren aber auch die Brennpunkte von Innovation und Fortschritt. Dies muß als Chance genutzt werden, nachhaltiges Wirtschaften in der Stadt zu fördern.

(67) Die Kommunen können dazu beitragen, daß durch das Zusammenspiel unterschiedlicher Beteiligter - von der Wissenschaft über die Politik bis hin zu

den forschungs- und entwicklungsorientierten Anbietern von Dienstleistungen - Synergieeffekte bewirkt werden, die sich für die Entwicklung und Anwendung umwelt- und ressourcenschonender Technologie nutzen lassen. Hierbei kommen der Infrastruktur, der Beratung und der finanziellen Förderung besondere Bedeutung zu.

(68) Die Wirtschaft trägt eine besondere Verantwortung etwa für eine effizientere Ressourcenverwertung, eine Substitution von nicht-erneuerbaren durch erneuerbare Stoffe, eine Schließung von Kreisläufen, für die Entwicklung umweltverträglicherer Produkte und damit indirekt auch für die Veränderung von Nachfrage- und Konsumgewohnheiten. Beispielsweise sind Produktions- und Konsummuster dahingehend zu beeinflussen, daß auf den verschiedenen Stufen der Beschaffung und Distribution von Gütern der Transportaufwand gering ist. Das erforderliche stärkere Zusammenwirken von öffentlicher Hand und Wirtschaft, gegebenenfalls durch Einschaltung externer Moderatoren, muß auch dazu genutzt werden, diese und ähnliche Aspekte einer nachhaltigen Entwicklung in den Städten zu fördern.

## Teil II Zukunftsfähige Wohnungspolitik

### Weiterentwicklung von Rahmenbedingungen für funktionsfähige Wohnungsmärkte und für die Verbesserung der Wohnungsversorgung

(69) Wohnen ist ein menschliches Grundbedürfnis. Deshalb gibt es eine besondere staatliche Verantwortung für die Wohnraumversorgung.

(70) Nach den Grundprinzipien der sozialen Marktwirtschaft hat die Wohnungspolitik vor allem dafür zu sorgen, daß die Vorteile marktwirtschaftlicher Effizienz möglichst umfassend zur Verbesserung der Wohnungsversorgung genutzt werden können und die notwendigen Rahmenbedingungen für einen ausgeglichenen Wohnungsmarkt geschaffen werden. Darüber hinaus geht es darum, die Marktkräfte im Sinne der sozialen Marktwirtschaft dort zu korrigieren, wo sie den notwendigen sozialen Ausgleich bei der Deckung des Wohnungsbedarfs nicht sicherstellen können. Wohnungspolitik ist auf allen Handlungsebenen daher immer ein Kompromiß zwischen marktwirtschaftlichen und sozialen Notwendigkeiten und Anforderungen. Das Wohnen als Sozialgut und die Wohnung als Wirtschaftsgut verlangen sowohl nach günstigen ökonomischen Rahmenbedingungen für den Bau und den Erhalt von Wohnraum wie auch nach zielgerichteten Instrumenten und Maßnahmen zur Sicherstellung der sozialen Belange des Wohnens.

(71) Der zukünftige wohnungspolitische Handlungsrahmen dürfte in hohem Maße unter dem Eindruck eines effizienteren Einsatzes direkter und indirekter Förderung, der Diversifizierung der Nachfragestruktur, regional und zeitlich differenzierter Anforderungen an das Wohnungsangebot sowie hoher Anforderungen an planerische und bautechnische Verfahrensabläufe stehen.

(72) Vor diesem Hintergrund erscheint eine konsequente Weiterentwicklung der Wohnungspolitik angezeigt, welche einerseits die marktwirtschaftliche Grundorientierung stärkt und andererseits staatliche Maßnahmen zielgenau ausrichtet, d.h. auf die sozial Bedürftigen konzentriert und ökologisch verträglich ist. Dabei gilt es auch, wirksame Bezüge zu den zentralen Feldern angrenzender Politikbereiche herzustellen.

(73) Im Rahmen der Wohnungsbauförderung muß die Entscheidungskompetenz der kommunalen Ebene gestärkt werden, die die staatlichen und die eigenen Mittel effizient, situationsbezogen und zielgerecht entsprechend den örtlichen Verhältnissen einzusetzen hat. Dieser Prozeß beinhaltet das abgestimmte Zusammenwirken der Vorgabe allgemeiner Ziel-, Leistungs- und Effizienzkriterien und der den Gemeinden überlassenen projektorientierten Festlegungen von Konditionen im Einzelfall.

(74) Die Einführung einer sozialen Wohnungsmarktwirtschaft in den neuen Ländern ist reibungsloser verlaufen als allgemein vorhergesagt. Von besonderer Bedeutung war der mit den neuen Ländern vereinbarte Übergang in das Vergleichsmietensystem Mitte 1995, der Ende 1997 abgeschlossen sein soll. Dennoch ist das Ziel einer vollständigen wohnungspolitischen Integration noch nicht erreicht. Insbesondere bringt die Klärung der Eigentumsfragen noch für mehrere Jahre Probleme und Investitionshemmnisse. Der massive Arbeitsplatzabbau führt in einigen Regionen zu zunehmender Abwanderung insbesondere jüngerer Menschen. Wachsender Wohnungsleerstand wird in diesen Regionen zum Problem der kommenden Jahre werden. Für die Zukunft ist es entscheidend, die ostdeutsche Wohnungswirtschaft für ihre umfassenden Aufgaben in der Altbau-sanierung, der Plattensanierung und der Wohnumfeldverbesserung zu stärken. Hierfür gilt es, öffentliches und insbesondere privates Kapital zu mobilisieren. Gleichzeitig soll die Bildung von selbstgenutztem Wohneigentum und das Genossenschaftswesen unterstützt werden. Mehr Mieter sollen Eigentümer werden.

### Schaffung und Sicherung von Wohnraum

(75) Die wachsende Bevölkerung im Zusammenhang mit einer anhaltenden Verringerung der durchschnittlichen Haushaltsgröße und einer wahrscheinlich zunehmenden Wohnflächennachfrage pro Kopf der Bevölkerung stellt die Wohnungspolitik vor besondere Herausforderungen. In den nächsten Jahren sind insbesondere zwei Aspekte von Bedeutung. Zum einen muß die Wohnungspolitik positive Rahmenbedingungen für Wohnungsbauinvestitionen sichern, zum anderen muß die Effizienz der Wohnungsbauförderung zur Befriedigung der Bedürfnisse sozial schwacher Bevölkerungsgruppen durch Konzentration auf Ziel-

gruppen und bessere Berücksichtigung der Einkommenssituation bei der Ausgestaltung der Förderung gesteigert werden. Zur Sicherung des auch in Zukunft weiterhin notwendigen Sozialen Wohnungsbaus sind auch hier die Instrumente zu überprüfen und im Sinne einer möglichst hohen Effizienz und sozialen Treffsicherheit zu verzahnen. Solche Instrumente sind insbesondere die Förderung des Sozialen Wohnungsbaus als gemeinsame Aufgabe von Bund, Ländern und Gemeinden, die Zahlung von Wohngeld (Subjektförderung) als Mittel zur Entlastung von Wohnkosten im Bedarfsfall und zur Sicherung der Wohnung bei Einkommensverlusten, die Sicherung von Belegungsrechten, um auch solche Haushalte wohnungsmäßig zu versorgen, die auf dem freien Wohnungsmarkt Zugangsprobleme haben sowie die steuerliche Wohneigentumsförderung zur Stärkung derjenigen Haushalte, die ohne Förderung nicht oder erst später Wohneigentum erwerben würden.

#### **Berücksichtigung der Bedürfnisse benachteiligter Gruppen in der Wohnungs- und Siedlungspolitik und Förderung neuer Wohnformen**

(76) Wohnungs- und Siedlungspolitik müssen künftig noch verstärkt den besonderen Wohnbedürfnissen verschiedener Bevölkerungsgruppen gerecht werden. Hierzu gehören vor allem Behinderte, ältere Menschen, Familien und alleinerziehende Elternteile sowie Zuwanderer. Haushalte, die sich etwa wegen geringen Einkommens oder sozialen Benachteiligungen nicht aus eigener Kraft angemessen mit Wohnraum versorgen können, brauchen besondere Unterstützung.

(77) Zur Vermeidung einseitiger Siedlungs- und Sozialstrukturen und als Voraussetzung für eine vielseitige nachbarschaftliche Gemeinschaft ist eine soziale Mischung im Wohnquartier anzustreben, auch durch Unterstützung neuer Wohnformen, z.B. des betreuten Wohnens, des generationenübergreifenden Wohnens oder anderer Formen gemeinschaftlichen Wohnens. Eine angemessene Wohnungsversorgung ist von zentraler Bedeutung für die eigenständige Lebensführung von Frauen.

#### **Marktgerechte und sozialverträgliche Mietenregelung und ausreichender Mieterschutz**

(78) Eine marktkonforme und zugleich sozialverträgliche Mietgesetzgebung ist eine zentrale Voraussetzung für ein ausreichendes Wohnungsangebot und für den sozialen Frieden. Deshalb wird das soziale Mietrecht als Interessenausgleich zwischen Vermietern und Mietern auch künftig nicht zur Disposition ste-

hen. Um das Mietrecht zu vereinfachen und seine Handhabung für Mieter und Vermieter zu erleichtern und so zusätzliche Anreize für Investitionen zu geben, wird die Bundesregierung die Vereinfachung von Rechtsvorschriften in Angriff nehmen. Dabei sollen auch Möglichkeiten zur vermehrten Aufstellung von Mietspiegeln geprüft werden. Klar ist, daß der Kündigungsschutz und das Vergleichsmietenverfahren in ihrer Substanz erhalten bleiben müssen.

#### **Förderung von Wohneigentum durch entsprechende Finanzierungsbedingungen und Bereitstellung von Grundstücken**

(79) Das Wohnen im eigenen Heim bietet erweiterte Gestaltungsmöglichkeiten sowie Wohnsicherheit und erlaubt den Aufbau von Vermögenspositionen. Wohneigentum steht deshalb weit oben in der Prioritätenskala vieler Menschen. Es aktiviert Eigeninitiative und mobilisiert privates Kapital für den Wohnungsmarkt. Die Förderung der Eigentumbildung durch direkte und indirekte Förderung trägt diesen Anliegen Rechnung und soll die Belastungen des Eigentumserwerbs für Bezieher niedrigerer und mittlerer Einkommen tragbar machen.

(80) Ein ausreichendes Angebot an Wohnbauland ist eine wesentliche Bedingung für eine verstärkte Wohneigentumbildung und für ein ausreichendes Wohnungsangebot allgemein. Hierfür ist ein zweckmäßiger Einsatz baulandpolitischer Instrumente notwendig. Eine flexible Baulandpolitik zeichnet sich dadurch aus, daß die Ausweisung von Wohnbauland nicht gegenüber der Ausweisung von Gewerbebauland diskriminiert wird. Darüber hinaus kann durch Unterstützung innovativer Bauformen erreicht werden, daß das notwendige Wohnbauland mit einem möglichst geringen Flächenverbrauch verbunden ist.

(81) Entsprechend der Nachfrage der Haushalte nach Wohnraum ist für die Wohnungsversorgung neben dem Marktsegment des selbstgenutzten Wohneigentums ein funktionsfähiger Mietwohnungsmarkt von Bedeutung

#### **Förderung des kosten- und flächensparenden Bauens und Senkung von Betriebskosten**

(82) Möglichkeiten kostensparenden Bauens sind zentrale Voraussetzung für die Sicherung einer sozialen und umweltverträglichen Wohnungspolitik. Alle Möglichkeiten, Baukosten zu senken, müssen ausgeschöpft werden. Hierzu gehört auch die Überprüfung aller wohnungspolitischen Instrumente auf ihren möglichen Beitrag zur Verringerung von Baukosten. Um

außerdem Fortschritte bei der Betriebskosteneinsparung zu erreichen, sind kostensparende ökologische Bauweisen zu bevorzugen. Kosten werden auch durch eine sparsame Inanspruchnahme von Grund und Boden gesenkt - hierdurch wird auch das Ziel des Freiraumschutzes unterstützt. Zahlreiche Einzelbeispiele belegen, daß kostensparende Bauweisen im Rahmen bestehender Normen ohne qualitative Einbußen und mit günstigen Betriebskosten möglich sind. Durch Pilotprojekte und intensive Öffentlichkeitsarbeit soll eine breite Umsetzung kostengünstiger ökologischer und flächensparender Bau- und Wohnmodelle in die Praxis gefördert werden.

### **Sicherung, Erhaltung und Aufwertung der vorhandenen Wohnbausubstanz**

(83) Eine angemessene Wohnraumversorgung für alle erfordert - wegen des langfristig auf etwa 1 Prozent des Gesamtbestandes begrenzten Beitrages des jährlichen Wohnungsneubaus - die kontinuierliche Pflege und den Erhalt vorhandener Wohnungen. In besonderem Maße gilt das für die neuen Länder, in denen infolge jahrzehntelang unterlassener Instandhaltung viele Wohnungen und Wohngebäude einen schlechten qualitativen Standard haben.

(84) Eine unerläßliche Voraussetzung für die anhaltende Sicherung des Wohnungsbestandes ist ein vernünftiges und ausgewogenes Mietrecht, das bei Wahrung berechtigter Mieterinteressen gleichzeitig substanzerhaltende Modernisierungs- und Instandhaltungsmaßnahmen erlaubt. Gezielte Maßnahmen der Städtebauförderung und des Denkmalschutzes tragen zu Aufwertung und Erhalt vorhandener Bausubstanz bei.

### **Stärkung des Genossenschaftsgedankens und Förderung der Selbsthilfe zur Verbesserung von Wohnbedingungen**

(85) Selbsthilfe im Wohnungsbau und dabei vornehmlich die Gruppenselbsthilfe können dazu beitragen, Familien mit Kindern bereits in einem früheren Lebensabschnitt die Schaffung von Wohneigentum zu ermöglichen oder zu erleichtern. Durch die eigene Arbeitskraft werden der Eigenkapitalbedarf und die Kreditaufnahme spürbar verringert. Die Belastungen aus dem Hausbau werden tragbar. Auch für Mieterhaushalte können diese Gesichtspunkte der Selbsthilfe eine höhere Bedeutung erlangen. Ergänzend können die Instandhaltungs- und Bewirtschaftungskosten durch Selbstverwaltung gesenkt werden. Bund und Länder können durch Informationsveranstaltungen

und -broschüren, durch Handlungsempfehlungen, Modellprojekte und gezielte Wohnungsbauförderungsmaßnahmen dazu beitragen, den Gedanken der Gruppenselbsthilfe im Wohnungsbau zu propagieren bzw. zu intensivieren.

(86) Selbsthilfe, Selbstverwaltung und Selbstverantwortung als Elemente des Genossenschaftsgedankens müssen revitalisiert und weiterentwickelt werden. Mit staatlichen Rahmenbedingungen kann hier Eigeninitiative und privates Kapital mobilisiert werden. So wurden mit der Neuregelung der steuerlichen Wohneigentumsförderung erstmals Genossenschaften in diese Form der Förderung einbezogen.

### **Dauerhafte Wohnversorgung von Obdachlosen**

(87) Zur Vermeidung und Bekämpfung der Obdachlosigkeit müssen die Instrumente der Sozialpolitik, der Arbeitsmarktpolitik, der Wohnungspolitik und andere Maßnahmen gezielt eingesetzt und koordiniert werden. Aufgaben der Wohnungspolitik hierbei sind vor allem die Sicherung eines ausreichenden Wohnungsbestandes, insbesondere auch eines Bestandes an belegungsgebundenen Wohnungen, für Haushalte mit Zugangsschwierigkeiten am Wohnungsmarkt sowie die soziale Sicherung des Wohnens durch das Wohngeld und durch stabile Rahmenbedingungen im Mietrecht. Fortschritte im Bereich der Kostensenkung können helfen, die mit hohen sozialen und finanziellen Folgekosten verbundenen sogenannten "Schlichtbauten" für Obdachlose zu vermeiden. Die Verbesserung bzw. die Herstellung der Datenbasis für Informationen zu den hier genannten Haushalten ist eine wichtige Voraussetzung für eine zielgerichtete Wohnungspolitik. Eine bessere Datenbasis erleichtert auch die notwendige Prävention von Wohnungs- und Obdachlosigkeit. Für eine erfolgreiche Prävention sollten die existierenden Hilfemöglichkeiten aller betroffenen Institutionen besser koordiniert bzw. im Idealfall an einer Stelle gebündelt werden.

### Teil III

## Stärkung von Partizipation und Handlungskompetenz auf lokaler und regionaler Ebene

### Förderung der breiten Partizipation aller gesellschaftlichen Gruppen auf kommunaler und stadtreionaler Ebene

(88) Die komplexe Organisation von Siedlungsräumen durch starke lokale Gemeinschaften ist ein wesentliches Merkmal unserer politischen Kultur. Zur lokalen Handlungsfähigkeit sind Prozesse der Konfliktbewältigung und Konsenssuche erforderlich, durch die widersprüchliche Interessen unterschiedlicher Gruppen anerkannt und in den politischen Prozeß einbezogen werden müssen.

(89) Kapitel 28 der Agenda 21 richtet einen Appell an alle kommunalen Gebietskörperschaften der Welt, bis zum Jahr 1996 in einem partizipativen Prozeß einen Konsens aller gesellschaftlichen Kräfte vor Ort über eine "Lokale Agenda 21", d.h. ein langfristiges kommunales Handlungsprogramm mit dem Ziel nachhaltiger Entwicklung, herbeizuführen. Hierbei müssen bereits vorhandene Ansätze kommunaler Planung und Politik, etwa eine die Sektorpolitiken integrierende Stadtentwicklungsplanung, aufgegriffen und so weiterentwickelt werden, daß sie sowohl inhaltlich als auch hinsichtlich der Verfahrenskultur in Theorie und Praxis den Forderungen von Kapitel 28 der Agenda 21 und weiterer relevanter Kapitel der Agenda 21 entsprechen. Die kommunalen Anstrengungen zur Entwicklung lokaler Agenden müssen eine breite Unterstützung erfahren.

(90) Im Rahmen eines allgemeinen Konsenses zur nachhaltigen Entwicklung müssen auf der Grundlage einer angemessenen Informationsbasis klare Ziele und Leitbilder über das zukünftige Leben und Wirtschaften in der Stadt, insbesondere auch über die zukünftige Wohnungs- und Siedlungsentwicklung vereinbart werden, deren Umsetzung dann in gemeinsamer Verantwortung liegt. Hierbei ist sicherzustellen, daß die spezifischen Bedürfnisse der unterschiedlichen Interessen- bzw. Betroffenengruppen in den Planungs-, Entscheidungs- und Umsetzungsprozeß auf kommunaler Ebene und Stadtteilebene einfließen. Insbesondere ist dafür Sorge zu tragen, daß auch die nicht oder nur schwach artikulierten Interessen benachteiligter Bevölkerungsgruppen angemessene Berücksichtigung finden. Zur Verwirklichung der vollen Gleichstellung von Frauen und Männern bedarf es Maßnahmen zur besonderen Formulierung und Be-

rücksichtigung von Fraueninteressen sowie der Teilhabe von Frauen an allen Planungs- und Entscheidungsprozessen.

(91) Die Kommunen stellen mit ihrer in langer Tradition gewachsenen, verfassungsrechtlich verankerten Selbstverwaltung die am besten geeignete Ebene dar, Partizipation zu realisieren. Da jedoch das Leben und Wirtschaften zunehmend eine regionale Dimension annimmt, müssen Zielformulierungen zur Wohnungs- und Siedlungsentwicklung darüber hinaus auch einem regionalen Abstimmungsprozeß unterzogen werden.

### Bildung regionaler Netzwerke auf der Grundlage kooperierender Städte

(92) Je bedeutender in unserer Gesellschaft die Verarbeitung von Informationen wird, desto wichtiger werden Kooperation und Austausch von Ideen, von Wissen und Erfahrungen. Daher ist die Bildung regionaler Netzwerke zu unterstützen. Um großräumige Konzentrations- und Zentralisierungstendenzen entgegenzuwirken, müssen regionale Identitäten gestärkt und die Nutzung regionseigener Entwicklungspotentiale gefördert werden.

(93) Aufgabe der Planung auf allen Ebenen ist es, räumliche Grundorientierungen für die verschiedenen Akteure zu geben, die maßgeblich die Raumentwicklung beeinflussen. Durch die Analyse raumwirksamer Trends und frühzeitige Information lassen sich langfristig wirksame Planungen - auch im privaten Sektor - koordinieren und Fehlinvestitionen vermeiden. Planung im demokratischen und sozialen Rechtsstaat ist daher vor allem Koordination, Information, Unterstützung und Initiierung von Maßnahmen sowie Zusammenarbeit. Diese Art von Planung ist flexibel und dynamisch angelegt. Sie erschöpft sich nicht in der Entwicklung perfekter und starrer Planwerke, sondern wird zu einem dynamischen Prozeß der Verständigung über regionale Zielvorstellungen und ihre Umsetzung. Die Bildung von regionalen Netzwerken der Akteure vor Ort gewinnt dabei verstärkt an Bedeutung.

(94) Die formellen Instrumente zur Steuerung der räumlichen Entwicklung müssen ergänzt werden durch eine Reihe von informellen und "weichen" Instrumenten, die eine breite Beteiligung der gesell-

schaftlichen Gruppen und der Öffentlichkeit gewährleisten. Die Regionalplanung übernimmt dabei verstärkt die Aufgabe der Moderation zwischen unterschiedlichen Akteuren und Interessen. Sie muß in diesem Zusammenhang verstärkt projektbezogen auf der Vollzugsebene tätig werden, ohne ihre klassische Aufgabe der Erstellung von Regionalplänen zu vernachlässigen.

(95) Durch offene Ausgestaltung der Fördermöglichkeiten von Bund und Ländern soll es den Regionen möglich sein, Entwicklungskonzeptionen auf breiter Basis umzusetzen. Für die Entwicklung der einzelnen Räume sind die regionalen Initiativen mitentscheidend. Die Nähe zu den Bürgern und zu den jeweiligen Problemen zeigt die Überlegenheit dezentraler Lösungsansätze. Solche regionalen Entwicklungskonzeptionen sind sektorübergreifend angelegt und ermöglichen es, die regionalen Interessen und situationsbedingten Besonderheiten zu berücksichtigen sowie auf kurzfristige Veränderungen flexibel zu reagieren. Regionalkonferenzen und regionale Entwicklungskonzepte eignen sich in besonderer Weise dazu, durch die Betonung der regionalen Ebene das Leitbild der dezentralen Konzentration zu verfolgen und eine nachhaltige Raum- und Siedlungsentwicklung zu fördern.

## Teil IV

### Internationale Zusammenarbeit

#### Förderung der bilateralen Zusammenarbeit in den Bereichen Siedlungs- und Wohnungswesen

(96) Im Rahmen der entwicklungspolitischen Zusammenarbeit ist der Stellenwert der Förderung des Siedlungs- und Wohnungswesens zu stärken. Von zentraler Bedeutung ist hierbei eine langfristige Begleitung bzw. Beeinflussung von Stadtentwicklungsprozessen und von Maßnahmen zur Wohnraumbeschaffung. Hierzu sind sektorübergreifende und umweltorientierte Konzepte erforderlich.

(97) Die entwicklungspolitische Zusammenarbeit im Bereich des Siedlungs- und Wohnungswesens muß auf eine Stärkung der kommunalen Selbstverwaltung zielen. Diese erfordert das Zusammenwirken von politischen Entscheidungsgremien, Verwaltungseinheiten, Dienstleistungsbetrieben und der Bevölkerung. Hierzu sind bürgernahe, gegebenenfalls mehrstufige Verwaltungsstrukturen und -verfahren erforderlich. Projekte der Zusammenarbeit sollen nicht nur die Verwaltungseffizienz steigern, sondern auch auf lokaler Ebene und Stadtteilebene politische Entscheidungsprozesse fördern, um den Bedürfnissen und Interessen des ärmeren Teils der Bevölkerung Geltung zu verschaffen.

(98) Einen Schwerpunkt der entwicklungspolitischen Zusammenarbeit im Bereich des Siedlungs- und Wohnungswesens muß die Verbesserung städtischer Infrastrukturen und Dienstleistungen bilden. Zur Verbesserung der Versorgung der ärmeren Bevölkerungsgruppen und wegen der beschränkten finanziellen Ressourcen der Kommunen und des gesamten öffentlichen Sektors müssen hierbei neben der direkten Finanzierung von Investitionen vor allem die Entwicklung innovativer Konzepte einschließlich neuer Formen der Zusammenarbeit der Zielgruppen selbst, der Nichtregierungsorganisationen, des öffentlichen Sektors und der Privatwirtschaft sowie zwischen den Kommunen im Vordergrund stehen.

(99) Eine der wichtigsten Voraussetzungen für eine wirksame Wahrnehmung der kommunalen Selbstverwaltung sind rechtlich gesicherte Zuständigkeiten für lokal wahrzunehmende Aufgaben, ausreichende und verlässliche Finanzierungs- und Einnahmequellen aus eigenen Gebühren und sonstigen Abgaben sowie eine angemessene Beteiligung am staatlichen Steuerauf-

kommen. Elementare Aufgabe von Vorhaben im Bereich des kommunalen Siedlungs- und Wohnungswesens ist daher die Verbesserung der Eigeneinnahmequellen und des Finanzmanagements.

(100) Zu den drängendsten Problemen der zunehmenden Verstädterung in den Entwicklungsländern zählen die hohen Umweltbelastungen. Eine Voraussetzung für ein wirksameres kommunales, auf Umweltvorsorge bedachtes Management ist eine bessere Kenntnis der Probleme und Ursachen der Umweltbelastungen und -gefährdungen in den Städten. Die entwicklungspolitische Zusammenarbeit sollte aufgrund der Kenntnis der spezifischen Ursachen den Aufbau eines nachhaltigen Umwelt- und Ressourcenmanagements auf kommunaler Ebene fördern. Probleme, die dort nicht gelöst werden können (vor allem im Bereich der Luftverschmutzung und der industriellen Produktion), erfordern entsprechende Interventionen und Regelungen durch Regierungsinstitutionen und internationale Organisationen. Hierzu ist eine bessere Zusammenarbeit zwischen den verschiedenen Regierungsstellen und zwischen dem öffentlichen und privaten Sektor erforderlich.

(101) Eine der Hauptaufgaben des städtischen Managements ist eine wirksamere Planung der räumlichen Entwicklung. Sie erfordert einen möglichst breiten Konsens zwischen Politik und Verwaltung, Bürgern und Fachinstitutionen, um den Rahmen für die räumliche, soziale und wirtschaftliche Entwicklung von Stadt und Umland sowie ländlichen Regionen zu definieren, deren ökologische Tragfähigkeit zu sichern und die entsprechenden öffentlichen wie privaten Investitions- und Standortentscheidungen zu lenken. Entwicklungspolitische Vorhaben sollten auch dazu beitragen, das Management der begrenzten Ressource "Land" transparent und effizient zu machen, den unteren Einkommenschichten Zugang zu Bauland zu sichern und die Gefährdung der natürlichen Ressourcen durch unkontrollierte Nutzung zu verhindern. In den ländlichen Bereichen sind landwirtschaftliche Strukturen zu stärken, die die Landflucht eindämmen helfen.

(102) In vielen Entwicklungsländern ist als Begleiterscheinung des starken Verstädterungsprozesses die Wohnungsnot Ausdruck einer ungleichen wirtschaftlichen und sozialen Entwicklung. Immer mehr Men-

schen sind in den Slum-Gebieten, ausufernden Spontansiedlungen und verfallenden Innenstädten von Verelendung und Verelendung betroffen. Im Rahmen verstärkter entwicklungspolitischer Zusammenarbeit sollen Projekte der Wohnungsversorgung zur unmittelbaren Verbesserung der Wohnsituation der einkommensschwachen Bevölkerung, zur Einleitung von längerfristigen und breitenwirksamen Prozessen zur Verbesserung der Wohnbedingungen und zur Förderung von Beschäftigung und Einkommen beitragen. Große Bedeutung haben hierbei sowohl die Sanierung und Regularisierung informeller Siedlungen als auch die Förderung bzw. Entwicklung innovativer und integraler Ansätze des Wohnungsneubaus mit flankierenden Maßnahmen der Beschäftigungs- und Einkommensförderung, wichtig ist hierbei die "Hilfe zur Selbsthilfe".

(103) Vorhaben der entwicklungspolitischen Zusammenarbeit im Bereich Siedlungs- und Wohnungswesen haben alle betroffenen gesellschaftlichen Gruppen am Planungs-, Entscheidungs- und Durchführungsprozeß zu beteiligen. Nichtregierungsorganisationen und Basisgruppen sind als Vertretungsorgane unterschiedlicher, vor allem der ärmeren und benachteiligten Bevölkerungsgruppen zu fördern. Ihre organisatorische Leistungsfähigkeit und politische Artikulationsfähigkeit sind durch speziell hierauf ausgerichtete Beratungs-, Trainings- und Bildungsprogramme zu stärken. Ähnliches gilt für die bessere Beteiligung von Frauen an Fragen der Stadtentwicklung und Wohnungsversorgung zur Verbesserung von Chancengleichheit und Lebenssituation. Eine wichtige Aufgabe ist hierbei die Erleichterung des Zugangs der Frauen zu gesicherten Wohn- und Eigentumsverhältnissen und die Förderung von Einkommens- und Beschäftigungsmöglichkeiten in der Nähe der Wohnung.

(104) Bisher gibt es in Deutschland zu wenig Fortbildungsmöglichkeiten zu Fragen der Wohnungsversorgung und des Siedlungswesens, die speziell die Bedürfnisse von Studierenden aus Entwicklungsländern berücksichtigen. Solche Angebote sollen daher eingerichtet werden. Außerdem besteht ein beträchtlicher Bedarf an lokal spezifischer Ursachenforschung und an der Erprobung von örtlich anwendbaren Problemlösungskonzepten. Auch im Interesse der Wirksamkeit der entwicklungspolitischen Zusammenarbeit im Wohnungs- und Siedlungssektor sind entsprechende Forschungsaktivitäten in Kooperation mit ausgewiesenen Instituten in Entwicklungsländern innerhalb wie außerhalb des Hochschulbereiches besonders förderungswürdig.

(105) Im Rahmen der Zusammenarbeit mit den mittel- und osteuropäischen Staaten soll die Sanierung von Plattenbauten und die Entwicklung von Großwohnsiedlungen verstärkte Aufmerksamkeit erhalten. Im Rahmen von Pilotprojekten können die deutschen Erfahrungen und die Erfahrungen nordischer Länder vermittelt werden.

(106) Projekte der Stadtentwicklung und Verbesserung der Wohnverhältnisse in Entwicklungsländern werden auch von deutschen nicht-staatlichen Organisationen durchgeführt, wie etwa von Misereor, Brot für die Welt und von der Deutschen Entwicklungshilfe für soziales Wohnungs- und Siedlungswesen (DES-WOS). Solche Aktivitäten bedürfen einer starken Förderung.

(107) Eine wachsende Bedeutung hat auch die direkte Zusammenarbeit von Kommunen durch neue Formen von Städtepartnerschaften und der interkommunale Erfahrungsaustausch über regionale und internationale Netzwerke sowie Kommunalverbände gewonnen. Insbesondere sogenannte "Umweltstädtepartnerschaften" geben den bereits bestehenden Partnerschaften neue Akzente. Solche und ähnliche Initiativen, die mehr einem wirklichen Austausch von Erfahrungen als einem einseitigen Transfer dienen sollen, sind in Zukunft als Ergänzung zur staatlichen entwicklungspolitischen Zusammenarbeit finanziell zu unterstützen.

#### **Ausbau der multilateralen Zusammenarbeit und Stärkung internationaler Organisationen im Bereich des Siedlungs- und Wohnungswesens**

(108) Angesichts der Internationalisierung wirtschaftlicher Verflechtungen und der Zunahme weltweiter ökonomischer, sozialer und ökologischer Probleme müssen bilaterale Kooperationsformen durch eine wirkungsvolle multilaterale Entwicklungszusammenarbeit im Bereich des Siedlungs- und Wohnungswesens ergänzt werden. Hier sind vor allem das United Nations Centre for Human Settlements (UNCHS), das United Nations Development Programme (UNDP), das United Nations Environment Programme (UNEP), die Weltbank und die Europäische Kommission zu nennen. Projekte und finanzielle Zuwendungen insbesondere für nicht-staatliche Organisationen müssen auf die besonderen Bedürfnisse der von Umweltbelastung und Wohnungsnot betroffenen Bevölkerung in den jeweiligen Ländern ausgerichtet sein. Es ist darauf hinzuwirken, daß die Städte einen stärkeren Einfluß auf die Kriterien der internationalen Fi-

finanzierungsprogramme erhalten und direkter daraus Ressourcen beziehen können.

(109) Welthandel und internationale Finanzmärkte üben unmittelbaren Einfluß auf Siedlungsentwicklung und Wohnungsversorgung in den Städten aus. Daher muß sichergestellt werden, daß Projekte und Maßnahmen mit dem Ziel einer nachhaltigen Entwicklung durch Verbesserung der Lebensbedingungen, der wirtschaftlichen Entwicklung und der sozialen Stabilität in den Städten stärker verknüpft werden mit denjenigen internationalen Entscheidungsmechanismen, die Einfluß auf den Welthandel und die internationalen Finanzmärkte ausüben.

(110) Umwelt- und sozialverträgliche Technologien und entsprechendes Know-how bestimmen maßgeblich die städtischen Lebens- und Wirtschaftsweisen und sind von zentraler Bedeutung für eine nachhaltige Siedlungsentwicklung. Die Verbreitung von Informationen über und die Ermöglichung des Zugangs zu diesen Technologien müssen daher ebenso wie Maßnahmen zur Aus- und Fortbildung durch dafür geeignete internationale Einrichtungen gefördert werden.

# **National Plan of Action for Sustainable Settlement Development**

German National Committee HABITAT II 

# National Plan of Action for Sustainable Settlement Development

adopted by the  
German National Habitat II Committee  
5th March 1996

## Preamble

(1) In recognition of the responsibility for the protection of humanity's natural bases of life, justice between and within peoples, the eradication of poverty and underdevelopment all over the globe and provision of appropriate shelter and living environment for all people, the German National Habitat II Committee has adopted the National Plan of Action for Sustainable Settlement Development. The German National Habitat II Committee attaches great importance to such sustainable settlement development for a viable world in the future. The members of the German National Habitat II Committee therefore emphasise their determination to implement the objectives and guidelines formulated in the National Plan of Action within the scope of their responsibility.

### Threat to humanity's natural bases of life

(2) Resource consumption, environmental stress and the extinction of species have reached an alarming scale worldwide. The reasons behind this are, on the one hand, consumption-oriented and resource-consuming lifestyles and economic activities in the industrialised states and also increasingly in the so-called newly industrialising countries and, on the other hand, poverty and an economic and social development in many countries of the South that is not keeping pace with population development. The resulting problems are not only of a local and regional nature, but are increasingly taking on global proportions as well. The rich industrialised countries, in which a fourth of humanity lives, consume three fourths of the primary energy and are therefore mainly responsible for the threat to the Earth's atmosphere.

### New economic challenges

(3) Social and economic development is characterised by profound changes all over the world. The globalisation of economic markets and the growing

importance of modern information and communication technologies at national and regional level lead to more intense economic competition, a reassessment of location qualities and changes in the urban structure. The end of the East-West conflict is opening up new opportunities, but has also created new challenges. Changes in the working world, structural transformation and growing concentration cause rapid growth in unemployment. These trends are accompanied by considerable interregional and international migration flows.

### Housing shortage as a growing social problem

(4) In many regions of the world unhealthy housing and living conditions that do not befit the dignity and worth inherent in the human person are among the most urgent problems. In spite of the relatively favourable overall situation, there are deficits in the housing supply in Germany, too. Particularly the growing number of long-term unemployed persons but also other socially disadvantaged groups, such as in-migrants or low-income families with many children, are increasingly affected by the housing shortage. Major problems include high rents, restricted availability of low-cost housing as well as the rights of economic use of housing in the case of new buildings, modernisation and change of ownership. Building and land prices in Germany are extremely high in agglomerations. Many areas are threatened by social segregation and the formation of ghettos.

### The need for sustainable settlement development

(5) Many of the ecological and social problems are also connected with the type of settlement and land use. As settlement and transport areas expand, natural and landscape areas are increasingly fragmented and destroyed. Moreover, the current development of settlement and location structures requires higher and higher transport expenditure. Settlement dispersion, functional division and monotony of design also

contribute to the loss of urbanity and to the weakening of social stability.

(6) In the Rio Declaration and in Agenda 21 of the UN Conference on Environment and Development, Germany has committed itself to the goal of sustainable development in the field of settlement policy. Sustainable development means a development in which the needs of the present generation are met without taking away the possibility for future generations to meet their own needs. Therefore, this further development must only take place within the carrying capacity of the natural systems and within the systems created by humanity. A local community develops in a sustainable way, if it guarantees a basic existence to all its inhabitants, taking into account environmental, social, cultural and economic aspects and without threatening the viability of the natural, built-up and social systems on which the safeguarding of this basic existence is based. Such a sustainable development of the local community also requires equal rights for women and men in every respect.

#### **Sustainable settlement development as a model for other countries**

(7) Without serious and visible efforts to achieve sustainability, we will not succeed in convincing other countries of the appropriateness and necessity of sustainable development. Furthermore, it cannot be denied that a considerable portion of our prosperity is obtained at the expense of these other countries. The special responsibility of the industrialised countries for the global environment is linked to a special commitment to solve the socio-economic and ecological problems facing us in an exemplary way and at the same time to assist other countries in undertaking socially just and ecologically effective developments. Thus, everything that fosters sustainable settlement development serves the common future of the industrialised and developing countries in a real and exemplary fashion.

(8) Germany has sufficient material and intellectual resources to meet the challenges facing us in a sensible and just manner. As a continuous increase of these "precautionary expenditures" will, in the long term, provide for savings in the repair of ecological damage and in state transfers aimed at correcting misdirected social developments, there are also economic arguments in favour of sustainable settlement development.

#### **The National Action Plan as a holistic concept for sustainable settlement development**

(9) The National Action Plan formulates a holistic concept on sustainable settlement development. Implementation of this plan requires a combination of legal, financial, organisational, technical and structural modules of action as well as consideration of action approaches based on information and participation. This means integrated and coordinated action of the different specific policies is necessary, in particular regional planning policy, urban development policy, housing policy, transport policy, infrastructure policy, environmental policy, tax policy and promotion policy as well as social, economic, cultural, educational, family, women's, youth and migration policy.

#### **Protection and development of cultural heritage**

(10) Our cities and villages are more than the sum of their functions. Due to their variety of economic, social, historical, architectural and cultural characteristics, cities especially are a source of local identity and a symbol for citizens' self-consciousness. Through the involvement of their inhabitants in public life they represent a central political site of joint responsibility. This cultural and architectural heritage represents an outstanding asset which has to be protected and enhanced on the basis of the historical character of the respective town with high demands on the architectural quality and urban design. Especially in the new Laender the necessary renewal of towns and villages as well as of their infrastructure requires great social and economic efforts.

#### **Responsibility of the actors and exploitation of scope for manoeuvre**

(11) Society, economy and politics, i.e. the state as well as the individual citizens, are equally responsible for working towards sustainable settlement development, including provision of an adequate housing supply, and thus for making a necessary contribution to worldwide social and economic justice as well as to the preservation of the natural bases of life for future generations. This not only requires a rethinking of economic policy, but also an examination of our habits and consumption standards. Science and research have to support sustainable settlement development by improving knowledge about spatial, ecological, economic and social interrelationships.

(12) Implementation of the National Action Plan requires cooperation between the Federation, Laender, communes, public institutions and private decision-makers. In view of the fact that settlement development is often strongly influenced by private investments, cooperation between business and public planning must be strengthened above all at the local level. To promote insight and understanding and to influence intended action, it is important to inform citizens and enterprises as well as to support decentralised processes of participation and decision-making.

(13) The actors having an influence on settlement development must be committed to exhausting their capacity to promote sustainability within their scope of responsibility. For this purpose, appropriate legal, financial, organisational, technical and other framework conditions have to be created and clear qualitative and quantitative targets formulated.

(14) Sustainable settlement development can only be achieved and safeguarded if private households and enterprises as direct decision-makers find appropriate ways and incentives for its implementation. A polluter-oriented costing scheme that takes into account resource scarcity is a key approach in this context.

#### **Strengthening the local community**

(15) Based on the principle of subsidiarity within the framework of a federal organisation, strong autonomous communes are a central element of the German Constitution. The guarantee of self-government grants the communes broad competencies within the framework of applicable German law, such as regarding the planning of municipal territory, the building and maintenance of many infrastructural facilities, the provision of local public transport and local environmental protection. In this way important signals can be given at the local level for development that meets environmental, economic and social needs.

(16) This outstanding position of the local communities must be seen, more than ever, as an opportunity that should be developed further and supported within an appropriate framework of the European Union as well as at the Federal and Laender level. The commune has to be strengthened as a place where social life and housing have to be "organised", as a political place of joint responsibility for the right of all citizens to participate in gainful employment, for the provision of adequate shelter, for the

protection of nature and the environment, for the safeguarding of cultural and architectural heritage and for social balance. To provide for all of this, local governments also need an adequate financial endowment.

(17) Apart from establishing many formal general conditions, each individual's sense of responsibility for his or her life in an urban or village community has to be strengthened and a variety of ways of participating in community life and in the decisions affecting the commune have to be developed. Viable decentralised structures have to be created in order to improve not only the capacity for identification with the town, but also the usefulness and the acquisition capability of local institutions.

## **Part I**

# **Environmentally, economically and socially compatible urban and regional development**

### **Preservation and further development of a favourable settlement structure**

(18) The decentralised settlement structure in Germany offers good preconditions for a spatial development that meets environment-related, economic and social needs. Today it already constitutes an important advantage for Germany as a location. This favourable starting point must be safeguarded and developed further. It is a key prerequisite, ensuring that all regions participate in a long-term development that will be viable in the future.

(19) Parts of the still relatively balanced spatial and settlement structure are threatened. On the one hand, there is the danger of increasing centralisation into agglomerations coupled with overload tendencies, rising pressure on settlement areas, rural sprawl and deterioration of ecological functions. On the other hand, structurally weak rural areas are increasingly weakened by out-migration. The general principle of poly-central structures along with differentiated support according to priority areas is an optimal basis for pursuing the aim of equality of living conditions by counteracting the processes of concentration into a few growth regions, stabilising rural regions and strengthening their individual development.

(20) As Europe grows together, there are also consequences for regional and settlement structure. A regional development policy of the European states is necessary since many problems related to the regional and settlement structure can no longer be solved in isolated fashion at the national level. Therefore, the Member States of the European Union have formulated different spheres of activity and fields of action in the 'Principles for a European Spatial Development Policy' in order to realise sustainable regional and settlement development in Europe; these principles now have to be implemented.

### **Formation and expansion of urban networks**

(21) To generate synergy effects through joint projects and reduce resource consumption, urban networks have to be established. In view of the growing spatial interlinkage and the tight budgetary situation in the public sector, special emphasis must

be placed on voluntary inter-communal cooperation, also with regard to cost reduction. The intensified competition between locations makes inter-communal action approaches increasingly necessary.

(22) In regional urban networks local planning and projects have to be coordinated such that they can contribute to saving land, for example through common industrial trade zones or disposal infrastructure, strengthening regional forces while maintaining individual regional identities and strengthening decentralised settlement structure and thus sustainable regional development. Urban networks supplement the graduated system of central towns and help to avoid urban sprawl and destruction of landscapes.

### **Elimination of incentives for sub- and disurbanisation**

(23) Various circumstances today create incentives for sub- and disurbanisation and constitute significant problems for the city-surrounding area relationship. On the one hand, there is a great disparity in land prices between central cities and their surrounding area, a speculative withholding of building land by private owners or provision of low-cost commercial property in the surrounding area within the framework of the local industrial location policy. On the other hand, the comparably low mobility costs give enterprises and private households a high degree of flexibility in choosing their location and thus make sustainable settlement development more difficult. These incentives have to be examined.

(24) An appropriate scheme for charging the ecological and social costs of uncoordinated settlement of the surrounding area, especially with regard to transport, to the respective polluter or party responsible is of crucial importance in this connection. This includes further development of land law so that land prices more accurately reflect the value of land and soil as a resource and the most frugal use is made of land. Price-based control of location selection and of the demand for land has to be supplemented by inter-communal concepts for controlling the regional land supply, a regional land reserves policy and joint development of settlement focal points.

(25) Regional and sub-regional planning has to be aimed at abolishing the present division between the place of residence and work. This requires strengthening of middle-order centres in areas surrounding central cities that have good connections to public transport. To achieve better regional division of labour, close cooperation between the central city and the surrounding local communities is needed not only with regard to the specification of commercial and residential zones in local planning and a more favourable spatial allocation of these zones, but also with regard to local public transport and the planning and operation of basic supply and disposal facilities.

(26) In addition to equality of all partners involved, inter-communal cooperation requires, in particular, effective financial equalisation mechanisms. Further development of local financial equalisation must focus on fair allocation of payment for services used between the central city and the surrounding areas. A 'renunciation' of growth, performance of ecological services as well as a changeover to extensive farming would also have to be rewarded in the interest of the general public.

#### **Stabilisation of rural areas and settlements**

(27) Some sparsely populated regions far from agglomerations have to contend with special structural and adjustment problems. To ensure sustainable stabilisation in these areas, comprehensive measures are necessary. The focal point here must be on safeguarding basic services, for example by taking lower threshold values or population figures as the basis for the capacity of facilities providing basic services. As a rule, support must concentrate on selected focal points as well as on a combination of infrastructure and service-sector jobs in well-developed central towns.

(28) Parallel to the provision of qualitatively and quantitatively adequate basic services, socially oriented and environmentally compatible accessibility to these services has to be ensured. Therefore, public transport must play an important role in less populated regions, too. Just as in the case of agglomerations, these regions can only develop in a sustainable manner, if inter-communal cooperation is strengthened there, regional development concepts are promoted and services for safeguarding open spaces and resources as well as the changeover to extensive agriculture are financially supported.

#### **Urban use zoning mix and social integration**

(29) Home and work, basic services and leisure-time facilities as well as open spaces have to remain or become spatially integrated, unless justified claims for safeguarding individual types of use zoning stand in the way. A use zoning mix may help to increase energy and land efficiency. Peak loading of facilities can be avoided and land and facilities can be used for several purposes. An urban development mix also improves the prospects of social integration and a balance of interests.

(30) The economically and socially compatible integration of in-migrants represents a major social challenge. It also requires a reorientation of urban development in peripheral areas of the city. In general, open and, at the same time, complex urban structures must be installed in which different cultural identities coexist and social exclusion processes can be prevented.

(31) The city must preserve its historical character, while tackling the challenges of a social, demographic, economic and technological transformation. Mixed, finely differentiated and complex structures are much better suited to flexible use and integration of different age and lifestyle groups than large monofunctional structures. The aim of use zoning mix is to help in improving the qualities of nearby areas. As more and more focus is placed on use zoning mix, special attention must be devoted to the attractiveness and usability of public areas (streets, squares, green areas). Historically developed cities offer favourable conditions in this context and should therefore be preserved and further developed accordingly. Small-scale use zoning mix is to be designed such that the transport expenditure remains minimal in a 'city of short distances'.

(32) Approaches to implementing use zoning mix have to take advantage of the opportunities offered by the economic structural transformation, i.e. they have to support modernisation and flexibilisation of production processes, a changeover to environmentally sound production processes and environmentally friendly technologies as well as the potential for reducing the size of operational units.

#### **Urban development density, inner-city development and protection of open spaces**

(33) In addition to a functional mix, a sufficient urban development density is necessary in many cases. The latter enhances the efficiency of basic service

infrastructure, e.g. public transport networks. Density is also an important prerequisite for effective protection of open spaces and green areas.

(34) Comprehensive land management, consistent inner-city development and planning of compact new building projects are necessary to harmonise the protection and development of open spaces with the demand for settlement areas. In general, reutilisation of formerly used and now disused areas as well as of unused buildings takes precedence over utilisation of open space.

(35) The potential for increased density that exists in the settlement stock is to be utilised while taking into account general urban ecological conditions. Disused commercial and industrial areas as well as conversion areas represent potential for adding to the settlement stock. The closing of gap plots and additional urban development in one-family dwelling or multi-storey building areas have to be examined with regard to their suitability while giving consideration to available open space, the urban climate and urban development qualities. The qualities of public areas have to be safeguarded and enhanced as density increases. Zones of private retreat and recreation are to be conserved or created.

(36) Coordinated development of the urban fringe, while taking into account the ecological and social significance of the surrounding landscape, is an essential aspect of further urban development. All political fields should contribute to developing the urban fringes in a coordinated manner and to consolidate uncoordinated areas. A 'fraying' of these areas should be avoided.

#### **Balanced land use within local and regional networks**

(37) Efforts must be made to make use of additional open spaces for settlement purposes only if compensation is provided for elsewhere. This compensation shall be effected within the overall urban or regional context. This means that the requirements of sustainable development have to be integrated and strengthened in planning law.

(38) In terms of the aims of sustainable conservation of resources and healthy living conditions, the customary practice today of compensation within a local building construction plan zone may not be effective, if not counterproductive, in individual cases from an overall urban and regional point of view. Therefore, the aim of small-scale conservation in all

sections of a city must always be given at least equal priority as the objectives of compact settlement, use zoning mix and large-scale protection of open spaces.

(39) In applying the regulation on intervention according to nature conservation law, focus must be placed on the principle of avoiding or minimising interventions in practice. This can be achieved by integrating conservation directly into urban development concepts and planning. In applying the compensation requirement, large-scale concepts for the protection of open space are to be supported and implemented. Measures to develop nature and landscape - for example, by linking biotopes, through extensive land use, through the specification of protected areas in planning - are just as necessary as measures to improve the quantitative and qualitative provision of open spaces and green areas appropriate for local recreation purposes.

#### **Integrated promotion of urban districts with a special need for renewal**

(40) To provide for economic, social and ecological stabilisation of urban districts with an urgent need for renewal or action, integrated strategies of action and promotion have to be developed. These strategies predominantly encompass measures for settlement development, housing construction and the creation of jobs as well as social programmes, crime prevention and environmental protection measures. Financial resources should be combined and concentrated on the implementation of urban development strategies.

#### **Strengthening inner cities and district centres**

(41) In the new Laender inner cities and district centres are among the areas with the highest need for action. Vital centres and subcentres contribute to traffic avoidance, social integration, safety in cities, identification of inhabitants with their city and stimulation of the local economy. Stronger, integrated support of centres as residential areas and retail trade locations as well as of housing-compatible business and trade is required in which holistic aspects of use zoning mix, social integration, physical design, crime prevention, economic revitalisation and employment promotion are all taken into account. The spatial and urban integration of in-migrants is of special importance in this context.

(42) Parallel to the strengthening of inner cities and district centres, the conditions for approval of large and public-intensive facilities (consumer markets, amusement parks, multiplex cinemas, etc.) have to be

tightened at non-integrated peripheral sites. In particular, subsidies for the provision of land have to be reduced and ecological and social consequential costs have to be charged for this purpose. This includes internalisation of infrastructure and transport costs. Stricter requirements are to be applied to land utilisation and design.

#### **Protection of historical monuments and contemporary architecture within the urban context**

(43) Urban ground plans, townscapes, historical streets and squares, architectural ensembles and classical single monuments characterise the individuality of a city. History becomes visible through traditional structure and makes the city distinctive with new, quality architecture. For this reason, protection of historical monuments within an urban planning framework is imperative to preserve historical and cultural identity. Gentle protection of historical monuments must take into account the special character of the individual city districts. Architecture and urban development are a reflection of the social development of our country and have to meet human needs. Competitions for ideas and methods of implementation are suitable instruments for promoting the shaping of the developed environment.

(44) However, gentle protection of historical monuments and contemporary architecture must also be viewed as an opportunity of giving historically developed inner cities new impetus for economic stimulation and enhanced attractiveness within the scope of holistic strategies. Protection of historical monuments within the urban context and conservation of historical urban districts have to be essential elements of an integrated revitalisation strategy, particularly in the new Laender.

#### **Further urban development and urbanisation of large residential areas**

(45) Large residential areas especially reveal the need for holistic, integrative urban renewal concepts that take into account structural, ecological, economic, social and cultural aspects.

(46) Large residential areas represent a particular and important type of urban area. Above all in the new Laender, they provide a home for several million people. In view of their importance for the housing

market and urban development, it is important to conserve and further develop large residential areas in the context of vitalising inner cities and subcentres and making new building locations available. This is also in the interest of urban development oriented to the conservation of resources and land. The regional isolation of large residential areas in cities and their one-sided orientation towards a residential function pose major problems. These structural problems produce in turn urban development, social and ecological problems for the residential areas themselves, for neighbouring urban districts and for the city as a whole.

(47) Modified-use and expansion of the building stock as well as supplementary construction of new buildings in low-density settlement sections offer development possibilities to large residential areas. Close cooperation between local communities, housing enterprises, owners and tenants must be primarily directed at conserving and developing the individual cultural and social identity of an estate. This requires modernisation of the housing stock and infrastructure close to private households, non-disruptive business and trade as an additional function as well as the environmentally and use-oriented design of open spaces. Action has to be taken to counter the threat of segregation. Moreover, emphasis has to be placed on linking large housing estates to local public transport and on regulation of stationary transport.

#### **Safe urban districts**

(48) In the consciousness of the population crime and violence have become an extremely crucial problem, particularly in big cities. The freedom of women especially is limited by the fear of violence, harassment and attack. Not only inner cities, but also large residential estates in peripheral areas of the city are affected by this. Crime prevention requires measures regarding structural and urban development aspects that are aimed at increasing safety and the feeling of safety among the residential population, improving socialisation conditions and current living conditions, especially of young people and reducing criminal opportunities. Direct crime prevention measures, however, must be integrated into an overall strategy for the preservation and/or enhancement of the attractiveness of residential districts so as to prevent segregation-promoting out-migration of sections of the population and thus avoid the formation of crime-promoting milieus.

## **Environmentally compatible urban and regional transport**

(49) Traffic growth has now become one of the most urgent problems in towns. The sharp rise in motor vehicle traffic, above all in agglomerations, can no longer be coped with through expansion of the road network owing to land use conflicts, a lack of open space and the requirements related to safeguarding landscape, conservation and environmental protection. Therefore, new approaches aimed at influencing mobility behaviour have to be taken.

(50) An integrated urban development and overall traffic planning concept is necessary in order to avoid a further increase in transport expenditure and traffic effects. Measures must be taken to reduce transport expenditure, to shift people to environmentally compatible means of transport and to foster transport oriented to the conservation of resources and the environment. Special emphasis is to be put on settlement structure approaches such as decentralised concentration, use zoning mix and compatible density.

(51) Local public transport and non-motorised transport have to be promoted and motorised private transport has to be organised and restricted in a more environmentally compatible way through market-oriented, regulatory and planning instruments. Modern mobility management approaches are to be strengthened, for example by means of mobility information and coordination centres, city-logistics concepts or parking space management.

(52) The local communities surrounding agglomerations have to be linked both tangentially among each other and to the regional centre via extremely efficient, high-speed local public transport connections. The regionalisation of local public transport has the same purpose.

(53) In future, combined goods transport with the aim of shifting cargo transport to the rail network is also intended to provide relief to agglomerations. Furthermore, cargo transport and distribution centres are to be developed rapidly. Cargo which is transported via heavy road vehicles and cannot be shifted to other means of transport is to be loaded onto smaller, environmentally friendly city trucks within agglomerations.

## **Sustainable urban infrastructure**

(54) Aspects of sustainable development are to be given priority in the renewal and construction of new infrastructure for providing basic services, particularly in the sectors of energy supply, water supply, sewage disposal and waste management.

(55) Safeguarding of a demand-oriented social and cultural infrastructure is indispensable to preserve the cultural heritage of our towns and villages, to develop and stabilise settlement areas in an environmentally and socially compatible way. Especially demographic and social changes have to be considered here. Flexible usability of social, cultural, health and leisure-time facilities must be taken into account more in future. The creation of new infrastructure, such as specific counselling and advisory services, must serve to defuse serious social problems as soon as they appear.

(56) In many cases the necessary development of local infrastructure cannot be adequately provided for with public funds alone. Mobilisation of private capital and privatisation of public tasks, particularly of voluntary self-administration functions, must contribute to acquiring the urgently required investments.

## **Urban environmental policy**

(57) Numerous improvements in the local environmental sector should not hide the fact that there is still a great need for action. Urban environmental policy must continue to be pursued with vigour in order to guarantee sustainable development of cities and regions. The communes have to exhaust their environmental policy scope for manoeuvre within their sphere of responsibility and must be supported in these efforts by all social actors.

(58) Important resource conservation principles have to be applied to life and economic activities in the city and/or to the local energy and material flows. The fundamental avoidance of stress shall have precedence over reduction by means of technical measures.

(59) Against the background of global responsibility, climate protection is regarded as one of the key tasks of environmental policy. Therefore, communes must undertake efforts to reduce the emission of climate-relevant gases within their scope for manoeuvre and make use of the wide variety of

measures available for implementing climate protection targets. The communes should demonstrate their commitment to energy saving and climate protection and compare themselves to other cities.

(60) Appropriate precautionary measures are necessary in order to reduce water consumption, safeguard drinking water quality as well as ensure avoidance, treatment and disposal of sewage. Waste management has to be oriented to the following order of priority: avoidance, multiple use and recycling. Renewal or safeguarding of hazardous waste sites and landfills is required for reutilisation of fallow land. Within the framework of precautionary soil protection, it is necessary to avoid further pollution with its negative impacts on groundwater and soil structure, on land use and urban development.

(61) Socially disadvantaged population groups are the ones who suffer most from local pollution and who are least able to contribute to solution of these problems. For this reason, it is necessary to link local economic, social and housing policy to urban efforts concerning environmental protection.

(62) To achieve local environmental policy targets, it is necessary to influence the behaviour of the actors in the city accordingly. The available instruments must be used for this purpose, particularly planning, regulatory, price policy and organisational options as well as selective information campaigns and effective public relations. The use of modern means of environmental observation and reporting also serves as a basis for all these approaches so that the available natural resources and the pressure put on them can be perceived and documented.

### **Environmentally sound building**

(63) Environmentally sound and resource-conserving building is aimed at both modernisation of existing old buildings and realisation of new building projects in the housing sector, in the industrial building sector and involving infrastructure in the public sector. Good design, on the one hand, and economical use of energy and land, on the other hand, should no longer be considered to be contrary aims but as an opportunity for a new, high-quality architecture of the living environment.

(64) Continued efforts must be made to save energy in the building sector, in particular by means of thermal insulation, further development and renewal of heat networks and new energy supply concepts. Urban planning must enable or prescribe the orientation of

building structures to exploitation of solar energy and reduction of wind exposure. Advantage must be taken of possibilities of connection to a central or decentralised heat and energy supply.

(65) It is also important to apply modern building technology to save water. In order to conserve resources and to enhance the climate and environment around the buildings, special attention should be devoted to roof and facade greenery, decentralised infiltration of rainwater as well as composting of waste. When choosing building materials, consideration must be given to biological building characteristics, non-harmful and environmentally friendly processing features as well as criteria of environmentally compatible production, recycling and waste disposal.

### **Sustainable economic activity in the city**

(66) Economic activities are concentrated in cities. Therefore, cities first and foremost are exposed to the pressures that predominantly stem from the production sector. As market and communication centres, they are also the focal points of innovation and progress. This opportunity has to be exploited so as to promote sustainable economic activities in cities.

(67) Through the interaction of the different parties involved - from science and politics right up to research- and development-oriented suppliers of services - local communities can contribute to bringing about synergy effects which can be utilised for the development and application of environment- and resource-conserving technology. Particular importance is attached to infrastructure, consulting services and financial support in this connection.

(68) The economy bears a special responsibility, such as for more efficient utilisation of resources, substitution of non-renewable by renewable materials, closing cycles, development of more environmentally compatible products and thus indirectly for a change in demand and consumption habits. For example, production and consumption patterns have to be influenced so that the transport expenditure at the different levels of procurement and distribution of goods is low. The closer cooperation required between the public sector and industry, possibly through the involvement of involving external mediators, must also be utilised to promote these and similar aspects of sustainable development in cities.

## Part I

### Sustainable housing policy

#### Further development of general conditions for functional housing markets and for the improvement of housing supply

(69) Housing is a basic human need. The State therefore bears a particular responsibility for housing supply.

(70) According to the basic principles of a social market economy, the primary function of housing policy is to ensure that the advantages of market economy efficiency may be used as extensively as possible to improve housing supply and the necessary general conditions for a balanced housing market are established. Furthermore, market forces have to be corrected in accordance with social market economy principles in those cases where they cannot safeguard the required social balance in meeting housing needs. At all levels of action, therefore, housing policy is always a compromise between market-oriented and social necessities and requirements. The home as a social asset and housing as an economic asset require favourable economic conditions for building and conserving housing space as well as specific instruments and measures to safeguard the social interests of housing.

(71) Future housing policy guidelines will probably be largely characterised by more efficient deployment of direct and indirect financial support, a diversified demand structure, regionally and temporally differentiated demands on housing supply as well as high demands on planning and building procedures.

(72) Against this background, a consistent further development of housing policy would appear to be called for so as to strengthen the basic orientation to a market economy, on the one hand, and steer state measures in a targeted manner, on the other hand, i.e. concentrating on those in need and ensuring ecological compatibility. It is also necessary to establish effective links to key related policy areas.

(73) Within the framework of state housing support, the decision-making competence has to be strengthened at the local level, which has to deploy national and local funds efficiently and purposefully, according to the individual situation and the local conditions. This process includes coordinated

interaction between the specification of general target, performance and efficiency criteria and a project-oriented stipulation of conditions in individual cases by the local authorities.

(74) The introduction of a social housing market economy in the new Laender was effected more smoothly than generally forecast. The transition to the comparative rent system, which was agreed with the new Laender in mid-1995 and which shall be completed by the end of 1997, has been of special importance. Nevertheless, the objective of complete housing policy integration has not yet been achieved. In particular, the clarification of property rights will still cause problems and hinder investments for several years. In some regions the massive loss of jobs is resulting in increasing out-migration, especially of young people. The growing number of empty flats will become a problem in these regions in coming years. For the future, it will be important to support the East German housing industry in its extensive tasks involving renewal of old buildings and of prefabricated slab structures as well as enhancement of the residential environment. It is important in this context to mobilise public and especially private capital. At the same time, the acquisition of owner-occupied housing and the cooperative system should be supported. More tenants should become owners.

#### Creation and safeguarding of housing space

(75) In view of population growth in connection with a constant decline in the average size of private households and the probability of increasing per capita demand for housing space, housing policy is faced with special challenges. In the next few years two aspects will be particularly important. On the one hand, housing policy must ensure positive general conditions for housing investments and, on the other hand, state housing support for meeting the needs of socially weak population groups must be made more efficient through concentration on target groups and better consideration of the income situation in providing financial support. In order to safeguard state-subsidised housing, which will continue to be necessary in future, the existing instruments are to be examined and interlinked to provide for the greatest possible efficiency and targeted, socially oriented

application. These instruments include, in particular, state-subsidised housing as a joint task of the Federation, Laender and communes, the payment of a housing allowance (individual support) as a measure for housing cost relief in cases of need and to secure housing in the case of income losses, the safeguarding of occupancy rights to supply those households with housing that have problems in gaining access to the free housing market, as well as tax-related promotion of home ownership to support those households that, without support, would not acquire residential property at all or not until a later time.

#### **Consideration of the needs of disadvantaged groups in housing and settlement policy and promotion of new forms of housing**

(76) In future, housing and settlement policy must be even more effective in meeting the special housing needs of different population groups, such as handicapped persons, elderly people, families and single parents as well as in-migrants. Private households unable to provide themselves with adequate housing space through their own efforts owing to a low income or social disadvantages need special support.

(77) A social mix is to be striven for in residential areas, for example by supporting new forms of housing, such as supervised housing, housing for more than one generation or other forms of collective housing, to avoid one-sided settlement and social structures and as a prerequisite for a diverse neighbourly community. An adequate and appropriate housing supply is of key importance for an independent lifestyle on the part of women.

#### **Market-oriented and socially compatible rent control and sufficient tenant protection**

(78) Rent legislation that is both in line with market requirements and socially compatible is a central precondition for sufficient housing supply and social harmony. As is the case today, therefore, a social rent law as a balance of interests between landlords and tenants will not be available in the future. To simplify the rent law and facilitate its implementation for tenants and landlords, thus furnishing additional incentives for investments, the Federal government will simplify legal regulations. At the same time, possibilities for increased application of rent levels should be examined. Protection against eviction and the comparative rent system in their essence will obviously have to remain in effect.

#### **Promotion of residential ownership through appropriate financing conditions and provision of property**

(79) Living in one's own home offers extensive scope for design as well as housing security and enables people to build up assets. This is why residential property ranks high on the list of priorities of many people. It stimulates personal initiative and mobilises private capital for the housing market. Promotion of property ownership through direct and indirect support serves this purpose and makes the burdens of property acquisition affordable to low- and middle-income groups.

(80) A sufficient supply of building land is an essential prerequisite for increased acquisition of residential property and for a sufficient housing supply in general. Effective application of building land policy instruments is therefore necessary. A flexible building land policy is characterised by the fact that specification of residential building land in planning is not discriminated against in favour of specification of commercial building land. Furthermore, by supporting innovative forms of building, the necessary residential building land can be limited to the most minimal land consumption possible.

(81) In accordance with the demand of private households for housing space, a functional rented housing market as well as the market segment for owner-occupied housing are important for the housing supply.

#### **Promotion of cost-saving and land-conserving building and reduction of operating costs**

(82) Ways of saving building costs are a key prerequisite for safeguarding a socially and environmentally compatible housing policy. All opportunities for lowering building costs must be exhausted. This includes the examination of all housing policy instruments as regards their possible contribution to reducing building costs. Another way of saving operating costs is to give priority to cost-saving ecological building methods. The costs can also be lowered through economical land use - this additionally supports the objective of protecting open spaces. Numerous individual examples demonstrate that cost-saving building methods within the framework of existing standards are possible without suffering qualitative losses and at favourable operating costs. Broad implementation of low-cost.

ecological and land-conserving building and housing models is to be promoted in practice through pilot projects and intensive public relations.

#### **Safeguarding, preserving and upgrading the existing housing structure**

(83) An adequate housing supply for everyone requires continuous care and preservation of existing housing, since the annual construction of new housing accounts for only about 1 percent of the total housing stock in the long term. This applies particularly to the new Laender where many flats and residential buildings are of a poor qualitative standard as a result of a lack of maintenance for decades.

(84) A sensible and balanced rent law which permits modernisation and maintenance as structural conservation measures, while at the same time safeguarding the justified interests of tenants, is an imperative requirement for sustained safeguarding of the housing stock. Targeted measures of urban renewal and town development funding and protection of historical and cultural monuments contribute to the upgrading and conservation of the existing building structure.

#### **Strengthening of the cooperative concept and promotion of self-help to improve housing conditions**

(85) Self-help in the housing sector, mainly group self-help, may make it possible or easier for families with children to acquire residential property at an earlier stage in life. By employing one's own labour, the need for one's own capital and borrowing are significantly reduced and the financial burdens related to building become affordable. These aspects of self-help may also gain importance for tenant households. In addition, the maintenance and management costs can be reduced through self-administration. The Federation and the Laender can contribute to propagating or more intensively pursuing the concept of group self-help in the housing sector through informative events and brochures, recommendations of action, pilot projects and targeted measures of housing construction funding.

(86) Self-help, self-administration and self-responsibility as elements of the cooperative concept have to be revitalised and developed further. The general conditions in the public sector can help to mobilise personal initiative and private capital. By revising tax-based support of residential ownership,

cooperatives have been included in this form of support for the first time.

#### **Long-term housing supply for homeless persons**

(87) In order to avoid and combat homelessness, the instruments of social policy, labour market policy, housing policy and other measures have to be deployed and coordinated in a targeted fashion. The tasks of housing policy include the safeguarding of a sufficient housing stock, in particular housing with occupancy requirements, for households with difficulties in gaining access to the housing market as well as providing the social security of having a home through housing allowance and a stable framework in the rent law. Progress in reducing cost may help to avoid so-called 'simple structures' for homeless persons, which involve high consequential social and financial costs. Improvement or creation of a database with information on the households mentioned above is an important prerequisite for a targeted housing policy. An improved database facilitates the necessary prevention of homelessness. To ensure successful prevention, the existing aids offered by all institutions involved should be coordinated in a better way or should ideally be concentrated in one place.

### Part III

## Strengthening participation and competence to act at local and regional level

### Promotion of broad participation on the part of all social groups at local and urban-regional level

(88) The complex organisation of settlement areas by strong local communities is an essential feature of our political culture. The capacity to take action at the local level requires conflict management and consensus-building processes through which the opposing interests of different groups have to be recognised and integrated into the political process.

(89) Chapter 28 of Agenda 21 appeals to all local authorities in the world to establish, through a process of participation, a consensus on a 'Local Agenda 21' among all social forces at the local level by 1996, i.e. a long-term local action programme pursuing the objective of sustainable development. Existing approaches to local planning and policy, such as urban development planning that integrates sectoral policies, must be examined and further developed such that they meet the demands of Chapter 28 and other relevant chapters of Agenda 21, in theory and in practice, both regarding contents and procedure. The local efforts in developing local agendas must be given broad support.

(90) In the context of a general consensus on sustainable development and on the basis of an appropriate information base, agreement must be reached on clear goals and general principles concerning future life and economic activity in the city, especially concerning future housing and settlement development, with joint responsibility for their implementation. It must be ensured that the specific needs of the various interest groups or parties concerned will be considered in the process of planning, decision-making and implementation at the local and city district level. Above all, the interests of disadvantaged population groups, which are either not articulated at all or only weakly, must be given adequate consideration.

(91) In view of their self-administration, a product of a long tradition and established in constitutional law, the communes represent the most suitable level for implementing participation. As life and economic activity are increasingly taking on regional dimensions, however, formulations of objectives regarding housing and settlement development must

additionally be subject to a regional coordination process.

### Formation of regional networks on the basis of cooperating cities

(92) The more important data processing becomes in our society, the greater the significance of cooperation and exchange of ideas, knowledge and experience. Therefore, the formation of regional networks has to be supported. To counteract large-scale concentration and centralisation tendencies, regional identities must be strengthened and utilisation of regional development potential must be promoted.

(93) It is the task of planning at all levels to provide a basic spatial orientation for the different actors who have a decisive influence on regional development. By analysing regionally significant trends and furnishing information at an early stage, effective planning can be coordinated, in the private sector, too, and bad investments can be avoided on a long-term basis. Planning in a democratic and welfare state based on the rule of law thus essentially consists of coordination, information, support, initiation of measures as well as cooperation. This type of planning is flexible and dynamic. It is not limited to the development of perfect and rigid planning frameworks, but becomes a dynamic process of reaching agreement on regional objectives and their implementation. The establishment of regional networks by local actors is gaining importance in this connection.

(94) The formal instruments for controlling regional development have to be supplemented by a range of informal and 'soft' instruments that guarantee broad participation on the part of the social groups and the public. Regional planning assumes more and more a mediation task between different actors and interests. In this context, it has to become more involved in taking project-based action at the implementation level, without neglecting its classical task of drawing up regional plans.

(95) An open funding structure for Federation and Laender support is designed to permit regions to implement development concepts on a broad basis. The regional initiatives are also decisive for

development of the individual regions. Proximity to citizens and to the individual problems is an indication of the superiority of decentralised approaches to finding solutions. Such regional development concepts are drawn up on an intersectoral basis and make it possible to take into account the regional interests and situation-related features and to react to short-term changes in a flexible way. Regional conferences and regional development concepts are particularly suitable for pursuing the general principle decentralised concentration and promoting sustainable regional and settlement development by emphasising the regional level.

## Part IV International cooperation

### Promotion of bilateral cooperation in the settlement and housing sector

(96) Within the framework of development cooperation, greater weight is to be given to promotion of the settlement and housing sector. It is vitally important in this context to furnish long-term support or to influence urban development processes and measures for creating housing space. This requires intersectoral and environment-oriented concepts.

(97) Development policy cooperation in the settlement and housing sector must aim at strengthening local self-administration. This requires interaction between political decision-making bodies, administration units, service enterprises and the population. Administrative structures and procedures at the grass-roots level, possibly of a multi-stage nature, are necessary. Cooperation projects should not only increase administrative efficiency, but also promote political decision-making processes at the local and city district level in order to satisfy the needs and interests of the poorer sections of the population.

(98) One of the focal points of development policy cooperation in the settlement and housing sector must be to improve urban infrastructure and services. So as to improve the infrastructure and basic services for low-income groups of the population and owing to the limited financial resources of the local communities and of the entire public sector, not only is direct financing of investments necessary, but also special emphasis must be placed on the development of innovative concepts, including new forms of cooperation between the target groups themselves, non-governmental organisations, the public sector and private industry as well as between local communities.

(99) Major requirements for effective local self-administration include legally protected competencies for tasks to be performed at the local level, adequate and reliable financing and revenue sources from local fees and other charges as well as appropriate participation in the national tax revenue. Therefore, improvement of local sources of revenue

and finance management is an essential task of projects in the local settlement and housing sector.

(100) The high degree of environmental stress is one of the most urgent problems related to growing urbanisation in developing countries. A precondition for more effective local management oriented to precautionary environmental protection is better knowledge of the problems and causes of environmental stress and threats in cities. On the basis of knowledge of the specific causes, development policy cooperation should promote the establishment of sustainable environment and resource management at the local level. Problems that cannot be solved there (particularly with respect to air pollution and industrial production) require appropriate intervention and regulations on the part of governmental institutions and international organisations. This requires better cooperation between the various different government agencies and between the public and private sectors.

(101) One of the main tasks of urban management is more effective planning of regional development. The broadest possible consensus must be found between government policy and administration, citizens and specialised institutions in order to define the framework for the regional, social and economic development of cities and their surrounding areas as well as of rural regions, to safeguard their ecological carrying capacity and to steer the respective public and private investment and location decisions. Development policy projects should also contribute to making management of 'land' as a limited resource transparent and efficient, ensuring access to building land for low-income groups and preventing endangerment of natural resources due to uncontrolled use.

(102) In many developing countries housing shortage as a concomitant of pronounced urbanisation processes is an expression of a disparity in economic and social development. More and more people living in slums, spreading spontaneous settlements and dilapidated inner cities are affected by impoverishment and displacement. Within the scope of increased development policy cooperation, housing supply projects are intended to help in directly

improving the housing situation of the low-income population and introducing long-term and broadly targeted processes for improvement of housing conditions and promotion of employment and income. A crucial role in this context is played by renewal and regulation of informal settlements, promotion or development of innovative and integral approaches to the construction of new housing with supporting measures of employment and income promotion, as well as 'helping people to help themselves'.

(103) Projects focused on development policy cooperation in the settlement and housing sector have to involve all social groups concerned in the process of planning, decision-making and implementation. Non-governmental organisations and 'grass-roots' groups must be supported as representative bodies of different sections of the population, mainly poor and disadvantaged groups. Their organisational efficiency and political capacity to articulate their interests have to be strengthened through specially designed advisory, training and educational programmes. The same applies to enhanced participation of women in matters concerning urban development and housing supply in order to ensure equal opportunity and improve their situation in life. An important task in this connection is to facilitate the access of women to secure housing and property conditions and to promote income and employment opportunities near home.

(104) Up to now there have not been enough opportunities for further training that is focused on housing supply and settlement issues and takes special account of the needs of students from developing countries. Such programmes should therefore be set up. Moreover, there is a substantial need for locally specific causal research and for testing locally applicable problem-solving concepts. Appropriate research activities in cooperation with designated institutes in developing countries, both within and outside of the university sector, deserve special support in the interest of effective development policy cooperation in the housing and settlement sector.

(105) Within the framework of cooperation with central and eastern European states, renewal of prefabricated-slab buildings and development of large residential areas should receive more attention. The experiences of Germany and of Nordic countries could be determined and passed on through pilot projects.

(106) Projects concerning urban development and improvement of housing conditions in developing countries are also carried out by German non-governmental organisations such as 'Misereor', 'Brot für die Welt' and German development aid for subsidised housing and settlements (DESWOS). Such activities require great financial support.

(107) Direct cooperation between local communities using new forms of town twinning and inter-urban exchange of experiences via regional and international networks as well as associations of local communities have grown in importance. In particular, so-called 'environmental town twinning' is giving new impetus to existing town twinning. These and similar initiatives, which aim more at a real exchange of experiences than at one-sided transfer, have to be granted financial support in future as a supplement to state development policy cooperation.

#### **Extension of multilateral cooperation and strengthening of international organisations in the settlement and housing sector**

(108) In view of the internationalisation of economic interlinkages and growing worldwide economic, social and ecological problems, bilateral forms of cooperation must be supplemented by effective multilateral development cooperation in the settlement and housing sector. The United Nations Centre for Human Settlements (UNCHS), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the World Bank and the European Commission deserve particular mention in this context. Projects and subsidies especially for non-governmental organisations have to be oriented to the special needs of the population affected by environmental stress and housing shortage in the individual countries. Cities must have greater influence to bear on the criteria of international financial programmes and must be given more direct access to resources.

(109) World trade and international finance markets exert a direct influence on settlement development and housing supply in cities. For this reason, it must be ensured that projects and measures aimed at sustainable development through improvement of living conditions, economic development and social stability in cities are linked more closely to those international decision-making mechanisms that influence world trade and international finance markets.

(110) Environmentally and socially compatible technologies and appropriate know-how have a decisive influence on urban lifestyles and economic activities and are of key importance for sustainable settlement development. Dissemination of information on and facilitation of access to these technologies as well as education and further training programmes must therefore be promoted through appropriate international institutions.

