



FP7 project Shrink Smart, work package 7

Governance of shrinkage – Lessons learnt from analysis for urban planning and policy

D13 Transferable set of strategies

D14 Tool box

D15 Policy recommendations

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Introduction: The Governance of urban shrinkage – lessons learnt from analysis for urban policy and planning

This Workpackage 7 Report „Governance of Shrinkage – Lessons learnt from the Analysis for Urban Planning and Policy“ consists of three main parts, the deliverables D13 „Transferable set of strategies“, D14 „The Toolbox“ and D15 „Set of policy recommendations“.

In the first part, there is presented the new analytical knowledge on strategies for shrinking cities, which were pursued in our case study city regions of Leipzig (and Halle), Liverpool, Genoa, Sosnowiec (and Bytom), Ostrava and Donetsk (and Makiivka). Additionally, the notion of transferability of strategies and tools will be discussed in the following text. Then follows a second part of this Report „The toolbox“. We describe, analyse and assess the tools (instruments), which were applied to face different challenges related to causes and consequences of shrinkage in the mentioned city regions. The third part deals with policy recommendations for policy makers at different levels of decision making such as supranational or EU level, national government level and subnational - local and regional level. For the purpose of dissemination of the new body of knowledge there will be published a Policy brief, which will make familiar all in the topic interested stakeholders and practitioners with research results in an appropriate way. On the other hand the contents of the Policy brief has been discussed with and evaluated by practitioners.

The outcomes fulfil objectives set up in the description of work and working model of the research project and are based on the results of WP5 and WP6 and on a second international stakeholder workshop with representatives of all case study city regions in Halle, in 2011. On this workshop were discussed and improved the hitherto worked out results and knowledge for action via guided and focused discussions in working groups.

The results of this document will be further discussed and finetuned for a Research Brief summarizing our knowledge on strategies against shrinkage, implemented instruments and tools as well as policy recommendations in early 2012.

D13 Strategies to cope with shrinkage: Comparative analysis and transferability

Introduction

D13 is based on the knowledge gained during our research and contained in our case studies on trajectories of shrinkage and governance of shrinkage, on answers to the questionnaire (Template see Appendix), on the results of discussions on the working seminar in Leipzig (November 2011), additional desk research results and knowledge of the teams incorporated into the D13 during the feedback process on the draft.

The report is structured as follows: First a comparative analysis of strategies is presented. We define, discuss and compare different strategies of urban development. Then a „Typology of cities according to their trajectory of shrinkage and related strategic planning“ is presented. The distinctions and specificities of West European strategies (Liverpool, Genoa and even Leipzig / Halle as a cities developing in framework conditions of FRG) and strategies in postsocialist Central and East European cities (Ostrava, Sosnowiec / Bytom, Timisoara, Donetsk / Makiivka) has been elaborated. The most important part of the D13 report presents characteristics of strategies coping with causes of shrinkage and then with consequences of shrinkage. Many examples of partial strategies are here presented. Finally we discuss the issue of transferability of strategies for coping with shrinkage.

PART 1: Comparative Analysis of Strategies

Strategies of development

A strategy is a collection of actions and activities that help achieve a predetermined goal. Similarly, strategy is planned set of actions for specific development goals of a community based on the options and opportunities available. Strategies can be at different scales: state, region, city, and neighbourhood; or for a specific sector i.e. small businesses or large export firms. A development strategy must include both short-term, visible objectives as well long-term, process objectives. It is important that the decision makers consider clearly how to incorporate both shorter-term and longer-term goals in any development strategy (Blakely, 1994). Particular development tools should not be confused with a comprehensive strategy. Instruments / tools such industrial zones, one stop business information offices, tax relief, or even more sophisticated public-private financial schemes are ingredients of an (economic development) strategy. Development strategies and projects must be designed to fit not only the areas' or region's resources but also its competencies.

In reality, we can distinguish between strategies as documents, which are explicit official political documents, whether they are implemented or not, and actual implemented strategies (which can be implicit) and may or may not coincide with explicit official policy documents. In our research we put emphasis on the strategies that were actually implemented in shrinking cities. By this we mean the complementary set of projects, measures and tools, which were implemented in response to population decline in our case study cities over the period 1990-2011.

Typology of shrinking cities according to their strategies

We can divide and categorize our shrinking urban regions into two main types. Firstly, long-term shrinking European cities such as Liverpool in the UK and Genoa in Italy; secondly, Central and East European postsocialist shrinking cities such as Ostrava in Czech Republic, Sosnowiec and Bytom in Poland, Timisoara in Romania, where the process of shrinkage of the cities as whole entities began mainly at the beginning of 1990s as they began the process of structural adaptation to market economies. There are also two special cases: Leipzig / Halle and Donetsk / Makiivka. Leipzig is postsocialist city in Eastern Germany (Central European shrinking city), which has shrunk over a long period. However, in 1990 after re-unification of Germany, this process was accelerated by the reunification between former East and West Germany. The other special case is Donetsk and Makiivka, two industrial cities in the Ukraine and not within the European Union.

In our earlier work we identified the causes of population decline as being either: i) economic decline, generally leading to net out migration from the city region in search of work; ii) suburbanisation or urban sprawl, where the population disperses from the core city toward more peripheral locations within the city region; and, iii) natural demographic change, whereby, usually in an ageing population, death rates exceed birth rates and the population naturally declines.

There are essentially three possible policy responses to population decline:

- i) the first is to do nothing, either to deny that there is a problem or to recognise the problem but not to respond;
- ii) the second is to try and reverse the trend towards population decline and to stimulate population growth;
- iii) the third approach is to accept decline and to manage the consequences.

Verwest (2011) classifies the possible policy responses as:

- i) Do nothing (policy stability): when a local government does not explicitly adapt its policies in reaction to demographic decline;
- ii) Conservative local policy changes: when a local government adapts its policies in reaction to demographic decline in order to increase population. The aim is to combat this decline.
- iii) Radical local policy changes: when a local government accepts the decrease in population and adapts policy accordingly.

In discussing alternative responses to rapid population decline in the UK in the 1970s, policy makers considered three alternative responses:

- i) Passive decline: which continued previous policies, not based on any overall assessment of what should be done or what resources would be needed (i.e. do nothing);
- ii) Urban regeneration: concentrating investment in existing urban areas, especially those with the most acute problems (i.e. trying to reverse the trend of population decline but at the same time adapting policy and dealing with some of the consequences of decline);
- iii) Managed dispersal: accepting decline of the older urban areas as inevitable but encourage investment in those suburban areas and beyond offering the best prospects for growth (in the city region) (Merseyside County Council, 1979, p7)

Combining these various approaches it is possible to suggest that policy makers have choices along two dimensions: between conservative (growth orientated) and radical (accepting/mediating) policy responses; and spatially between focussing investment in areas of decline (typically inner urban areas and peripheral social housing areas) or in areas with the best growth potential (typically suburban and urban fringe areas). We can see elements of all these choices in each of our case study cities.

Generally, according to our research results we distinguish between i) „western“ holistic explicit growth strategies dealing implicitly with consequences of shrinkage and ii) postsocialist pro-growth strategies emphasizing job - creation based on attraction of external resources mainly FDIs (1990-2008) and European funding, rather ignoring causes and consequences of shrinkage. These both strategies are exogenous based mainly on external resources. Of course, these external resources were mixed with local knowledge.

'Western' European holistic strategies

In the 'western' European case study cities we generally found the following policy characteristics to be more important than in comparison with strategies of CEE cities:

- Well established and functioning public sector and planning institutions;
- Ad hoc established partnerships, agencies and intermediary institutions e.g. quangos, PPPs;
- Established know-how, skilled experts, established organizations and institutions in the field of urban planning and strong traditions of urban planning;
- Relatively sufficient financial resources at EU, government and sub-national levels for coping with causes and consequences of urban shrinkage;
- Holistic approach thanks to available resources: economic development (focused on knowledge service economy and SMEs; little emphasis on re-industrialization, external FDIs and large investments); development of physical structures, housing regeneration and refurbishment; development of built environment and green infrastructure in the city; social inclusion programmes etc...;
- An acceptance of the desirability of tackling urban sprawl and promoting more compact cities;
- Regional planning and coordination of policies of local municipalities in a region;
- The acceptance of legal and statutory restrictions, such as restrictions on housing and retail development at the urban fringe; public sector investment and the use of compulsory purchase order to achieve policy objectives;
- A certain acceptance of shrinkage by politicians and experts and of the necessity of planning for decline in some city parts;

Thus the 'western' European cases might be said to show a combination of conservative and radical responses, still promoting growth but accepting:

- the fundamental concepts of sustainable and compact cities;
- the need to adapt policy to decline and to mediate the consequences of shrinkage in some areas;
- the need for substantial public sector intervention and investment to achieve both conservative and radical objectives.

Liverpool

To give an indication of the nature of „western“ holistic strategies against shrinkage in an advanced form we start with the urban region of Liverpool. In Liverpool was identified a mix of growth strategy and managing decline. A number of approaches to dealing with shrinkage during the period 1990-2011 were recorded which addressed both the causes (economic/suburbanisation) and consequences (housing vacancies, brownfields, lower numbers of young people) of shrinkage. However, these strategies rarely explicitly mention shrinkage in their public rhetoric. The 'growth' strategies implemented during this period involved strong urban regeneration policies and economic development initiatives. These included physical redevelopments, city marketing strategies (including through large scale events – most notably the European Capital of Culture in 2008), development of the city's tourism potential, retail-led regeneration, business support and labour market policies. Many of these were supported with external funding (primarily the national government and European Union). On the other hand, approaches to managing decline, implemented in parallel to the growth strategies, included strategic consolidation of schools in neighbourhoods where the young population was falling, housing renewal activities and brownfield management. These latter two interventions were supported by a series of strong policies at local, regional and national level. Also during the period since 1990 restrictive land use planning policies were exercised in order to prevent further suburbanisation (or 'urban sprawl'). These included a 'green belt' around the city where only limited development was permitted (through a Merseyside Green Belt Local Plan), and strong restrictions on housing development outside inner city areas (through the statutory land use planning system). At the regional level, a Regional Spatial Strategy (2004-2010) designated mandatory housing targets for sub-regions within its remit, so limiting the ability of suburban and peripheral districts to increase their housing stock. At the national level, in addition to planning policy guidance on housing, targets were established during the 1990s and 2000s for the percentage of development which should be on brownfield land. This also contributed towards preventing further suburbanisation.

In terms of international comparison, a key distinguishing feature of the responses in the UK/Liverpool has been the strength of central government in both financing and shaping policy and in assisting with implementation.

Genoa

In Genoa we recorded similar approach to development strategy as in Liverpool. Many strategies were quite urban centred, supporting the idea of the compact city and limiting developments in the urban fringe or on greenfields. The strategy was focussed on giving a new role to the historical centre – improving also its liveability and increasing the number of its residents - without massive development. The main task was to use the touristic potential of the historical city centre. The central issue of strategy was not explicit management of shrinkage but renewal of the city centre i.e. refurbishment of dilapidated buildings inside the city centre, regeneration of the historical housing stock, the reduction of the size of large historical flats in order to make them suitable for smaller families (small/er households are one of the consequence of shrinkage). An important part of the general development strategy has been the usage of the available waterfront space to create retail/commercial and touristic facilities. In terms of economic development the new economy has been supported through attracting investments into the ICT sector. The strategy was coping with consequences of shrinkage as well: there are ageing assistance at home and active ageing support initiatives and projects to favour social inclusion and participation in labour

market. However, to accomplish these tasks external resources were usually used (national and European funds), which shows the importance of external funding for coping with consequences of urban shrinkage.

Thus in Genoa we see an essentially a conservation strategy designed to encourage growth, but in a manner that responds to the issue of population shrinkage in the urban core.

Leipzig and Halle

Leipzig and Halle are postsocialist cities, too, but their development was to a large extent determined by reunification of Germany and change of legal and institutional settings after 1989 according to the constitution and law of Federal Republic of Germany.

In Leipzig from 1991-2000 an explicit growth strategy was pursued. However, since 2000 there was a juxtaposition of declared growth policy and practiced management of shrinkage.

Management of shrinkage has never been an explicit strategic goal and it is unlikely to become so in the future, as continuing planning for growth (positive population prospects) is being recorded. For Leipzig and Halle post-socialist transformation, German unification and rapid integration into the EU has set a total new economical and political framework, which was connected with growth expectations. Despite massive deindustrialisation and serious shrinkage both cities 1991-2000 pursued explicit growth strategies, dedicated to combat one of the causes of shrinkage, job-related outmigration. Whereas Halle tried to maintain and to develop its chemical industry, Leipzig has formulated the model of a service metropolis of European importance and elaborated several concepts for this; such as the 'media-city', 'financial city', 'city of trade, commerce and trade fairs'. Based upon the concept of the entrepreneurial city, Leipzig acquired an abundance of public subsidies, fostered rapid decision making, and renewed and expanded its infrastructure. By 2000, it was explicitly envisaged that the city would grow to as many as 500,000 inhabitants and include up to 250,000 jobs. Beside this the city has promoted image campaigns, performed several events (like the EXPO 2000, Soccer World Championship 2006) or applied for others (like the Olympic Games 2012 or European Capital of Culture 2020) Because of its initial role during the peaceful revolution in 1989 the city became a symbol of German unification and reconstruction in the 1990s and was therefore able to attract public and political attention as well as public and private investments. In contrast to this and because of the competition with its bigger neighbour Leipzig, Halle's growth strategy failed, the city wasn't able to attract investments in a similar way and to force reindustrialisation. The year 2000 marks a turning point, where shrinkage came on the political agenda in both cities and was addressed explicitly. In the context of the federal programme "Urban Restructuring East" both cities have elaborated integrated master-plans to tackle with shrinkage. In Leipzig there is a juxtaposition of declared growth policy and practiced management of the consequences shrinkage like housing vacancies, brownfields and oversized infrastructures. With the strategy of reurbanization Leipzig tries to prevent suburbanisation and to foster population growth. Halle is practising management of shrinkage as well with a controlled downsizing and restructuring of the city and the goal of a stabilisation at a population number of 200,000 inhabitants.

Thus in Leipzig and Halle we can see a shift from rather crude conservative growth orientated strategies to a more realistic acceptance of more radical policies to manage decline in a better way. There is also strong evidence of federal Government intervention and support through substantial subsidies and focussed policies.

Conclusion

Generally, the development strategies of shrinking city regions in traditional democratic countries with market economies are a mix between growth strategies supporting economic development (especially in the field of service economy) combined with strategies dealing with the consequences of shrinkage. The strategies are rather holistic because they are not limited to the support of economic / business development, but deal with urban regeneration (renovation, refurbishment of houses, public space improvements, appropriate retail and hospitality development), intensive re-usage / recycling of brownfields (especially in inner city) and with social exclusion. The strategies generally appear to be closely aligned with notions of sustainable development along all its dimensions: environmental, economic and social.

Central and East European postsocialist shrinking cities.

In Central and East European postsocialist countries are different institutional arrangements for local and regional development in comparison with Western European countries. A lot has been written about the postsocialist cities and their transitions and transformations (Sýkora, Bouzarovski, 2011;) or about differences in institutional arrangements determining local and regional development in Central and East European postsocialist countries (Blažek, Uhlíř, 2007; Blažek et al. 2011). Thus, the general framework conditions for implementation of strategies dealing with shrinkage are as follows:

- The influence of state socialist past and legacy on recent institutions with negative consequences for local governance systems and local democracy (lack of trust, corruption, weak public sector, lack of strong postsocialist leaders, low individual activity in public life etc.);
- Attempts to carry out and implement the western strategies within / by postsocialist institutional arrangements. We could call it copy-paste strategy;
- The modest scale of shrinkage in secondary cities such as Ostrava, Sosnowiec and the magnitude of problems connected to economic development have driven these cities towards more conservative (growth orientated) policy responses that by only limited attention to the causes and consequences of slight but persistent demographic shrinkage. Moreover, frequently more severe processes of shrinkage are experienced by subordinate cities in the framework of urban hierarchies e.g. cities of Karvina and Orlova adjacent to Ostrava; (Sosnowiec vs. Bytom, Donetsk vs. Makiivka, or even Leipzig vs. Halle);
- The general belief in market forces as panacea solving any problems and the „harmfulness“ of strong public sector for economic and social development;
- The general implemented reindustrialisation-strategy by attracting FDIs and private investors, creating of any jobs and economic growth as panacea for all economic, societal and environmental problems;
- EU policies, regulations and funds as determining external structures for policy making at national, regional and local level (Blažek and Vozáb, 2004). EU bureaucracy and (international) private consultancies does not always play a very helpful role in creation of inflexible framework conditions for appropriate usage of EU funding for the elimination of shortages in cities and regions;
- Lisbonization of regional / urban policies in new member states and regional metropolises (Blažek and Uhlíř, 2007). According to this Lisbon logic and simplified mechanistic application „all large cities should / could / may have an excellent university, research and

development centres and facilities, system of transfer of technologies from universities to private companies, who will become competitive, create jobs and attract creative class people.“ Many development strategies overestimate the economic development, creation of any kind of jobs and provision of new infrastructures on the one hand and on the other hand underestimate the necessity to develop „soft factors“ contributing to attractiveness of the city such as safe and clean environment, attractive housing, public spaces, green areas and parks, sport and culture facilities and events etc.

- The outcome of the exogenous „low road development“ strategies pursued by old industrial post-socialist shrinking cities was re-industrialization and emergence of new branches and development of service sector, especially retail and advanced business services.

Ostrava

Ostrava as slightly shrinking old industrial city developed in a specific context of postsocialism. Shrinkage has not really been explicitly accepted as a problem by politicians and experts („only“ unemployment has been considered a problem). This modest degree of shrinkage and the lack of severe consequences has allowed the city authorities to ignore shrinkage and play the growth game. The general strategy of the city of Ostrava in the period 1990-2008 was mainly to seek exogenous growth, based upon a „low road strategy“ to attract investors and developers with public sector support and subsidies. The exogenous resources were exogenous finance, both public (EU funds and national funds) and private (FDIs and developers / investors) and knowledge (know-how). Within the explicit growth strategy there have been implemented measures dealing with consequences of urban shrinkage such as closures of public schools and re-usage for new functions (e.g. new university faculties and tertiary education facilities), closures of kindergartens, construction of retirement homes for elderly population, decontamination of brownfields (only in favourable locations etc.

There has been very strong role of private sector – investors and developers in the regional development strategy, especially in the period 2004-2008. The outcome of the strategy was the re-industrialization of the regional economy and service sector development. The second part of the strategy was urban regeneration of city centre and city districts and neighbourhoods based on mass privatisation of buildings (property led re-development) and dwellings. Private owners renovated and retrofitted the buildings. Since 2000s we can notice the growing activity in the field of inner city brownfields revitalisation. The urban development strategy is highly dependent on external EU policies and principles of their implementation, which leads to creation of many explicit „strategies“ i.e. Strategic development documents which include almost all possible urban development measures without realistic possibility of implementation. The large cities in new member states – and Ostrava as well - do not define their urban development strategies according to their major needs but according to possibilities of EU funding.

It is possible to call the urban development strategy of old industrial shrinking city of Ostrava as muddling through in urban development. The approach is determined by neoliberal thoughts and unfavourable market conditions such as low demand for land and labour force in Ostrava city region (or in whole Czechia with exception of Prague and Central Bohemia metropolitan region). The solutions are short-term, very pragmatic and leading to unsustainable, chaotic urban development passing by the idea of attractive compact inner city (within the polycentric urban structure) with mixed functions. However, on the other side we have to admit that urban structures improved significantly in comparison with state socialist era of 1980s. Since 2009 (and

as weak emerging process even at the beginning of 2000s) there is second more endogenous strategy based on political support by local and regional authorities of university development, establishment of R&D centres and strengthening of regional innovation system. However, the city of Ostrava supports cultural and sport events in order to improve the image. There are noticeable shifts in the stage of agenda setting towards more holistic approach by urban governance systems. Unfortunately, due to weak formal and informal institutions at the national, regional and local level the implementation of coherent long term strategies based on strong coordinating role of public sector seems to be a problem.

Sosnowiec / Bytom in Poland

Sosnowiec is an old industrial postsocialist city similar to Ostrava. The process of depopulation was considered natural consequence of economic transformation and deindustrialization. The development strategy of Sosnowiec was focused on attraction of FDIs into special economic zones with the objective of creation of jobs and support of economic growth. The implementation of strategy was motivated by loss of jobs during deindustrialization and growing unemployment. Generally, Sosnowiec pursued exogenous „low road strategy“. In comparison with Ostrava, Sosnowiec was able to use better the brownfields for the preparation of special economic zones. Both Sosnowiec and Bytom have not developed a strategic planning against shrinkage or planning for the context of decline up to present. Although local policies follow the impetus that „every problem has to be solved“ by local authorities, the applied strategies did not include a holistic or integrated approach but focused on pro-growth strategies only. However, the handling with shrinkage in more detail differed in the two cities: Sosnowiec supported attraction of investors to the sites on the former brownfields and carried out urban development activities such as residential and retail development. Bytom was hit by depopulation much harder and there was non active attitude by politicians and whole governance system to the solution of problems related to causes and consequences of shrinkage. Nowadays, both cities try to support economic growth and development on the one hand and cope with consequences of shrinkage such as vacant or derelict buildings on the other hand.

Timisoara in Romania

After the political changes in 1990s, the city of Timisoara has experienced a continuous process of population loss. Since the entire country of Romania has passed a similar process it has not been considered to be a real problem. The main causes were the drop in birth rates, out-migration and, later, roaring suburbanisation (urban sprawl). Timisoara as postsocialist city pursued growth strategy with emphasis on attraction of exogenous resources such as foreign investors, EU funds, students etc. The population loss – i.e. demographic shrinkage was not explicitly included into the strategy's targets but only indirectly mentioned as a challenge. The topic of suburbanisation, as a main cause of population decline, was only recently included into the metropolitan urban plan. The exogenous “low road strategy” of attracting FDI was successful because the unemployment rate decreased in 2006 below 3%. Nowadays, the municipal authority wants to move the economic facilities to suburbs, e.g. the commercial centres and even some administrative institutions (such population evidence, car registration office, financial administration office and so on).

Donetsk and Makiivka in Ukraine

Donetsk and Makiivka are special case industrial cities outside the European Union. In both Donetsk and Makiivka, the official strategy has been pro-growth and job creation, with both cities aspiring to become highly-developed, affluent urban centres of the knowledge economy based

around high-technology, innovative activities, and local entrepreneurship. Whilst Donetsk downplays its heavy industrial legacy, positioning itself as ‘the business capital of Ukraine’, Makiivka plans to remain an ‘industrial city’, yet with profound improvements in its natural environment conditions.

In Donetsk, the implemented strategy has been first and foremost focused on the economic regeneration of heavy industries, stimulating growth, the big domestic business, and explicitly ignoring most aspects of urban shrinkage. The city has made every attempt to retain the big business players (e.g. SCM: System Capital Management, ISD: The Industrial Union of the Donbas, Concern Energo, Metinvest, DTEK, and others) – especially the export-led industries, and financial and banking institutions (PUMB: First Ukrainian International Bank, Dongorbank: Donetsk City Bank) – and provide them with incentives to re-invest into the city, by fast-tracking planning applications, approving and co-financing major developments. As a result, Donetsk was able to attract around US\$1billion of private investment, primarily from Ukraine’s largest companies headquartered in the city centre. The special economic zone in Donetsk has provided generous tax breaks.

Spatially, however, the city authorities have also pursued ‘The City Without Outskirts’ policy, trying to disperse growth away from the city centre, by providing property rent incentives and easing planning applications for the location of businesses and retail outlets in the peripheral areas. Given its strong financial standing – the city is a major fiscal donor to the central government – Donetsk has also been able to invest in the urban infrastructure and amenities. The city of Donetsk has successfully won the right to co-host the Euro-2012 football tournament in the city at the newly-built Donbas Arena of FC Shakhtar Donetsk; a considerable amount of public and private funds has been invested into the related transport and hospitality infrastructure, including the expansion of Donetsk airport, road network, hotels and restaurants. The recovery of the Donetsk economy (in striking contrast to Makiivka’s) has boosted the local consumer demand and increased the city purchasing power, allowing for a major retail expansion, often on brown-field sites.

In Makiivka, no coherent urban regeneration strategy can be identified; most policies are of a short-term crisis management nature. Local authorities have only recently initiated the work on a new Master Plan and a longer-term social and economic development strategy, stressing the impact of shrinkage. Until now, the city has been primarily engaged in tackling various emergencies and cost-cutting exercises. As the city is almost entirely dependent on central government transfers, properly managing the government grants and subsidies is the city executive’s major preoccupation. In case of a major budgetary shortfall, the city uses its party political connections in Kyiv to lobby for assistance. The role of municipal authorities in reviving growth and stimulating job creation is much less evident.

Conclusion

Thus generally the development strategies of shrinking city regions in post-socialist countries have been more conservative (growth orientated) than in the countries with more traditional, democratic, market-orientated structures. There seems to have been a strong preference for the private sector to solve problems and heavy reliance on exogenous investment to stimulate this growth. Despite emphasising neo-liberal pro-growth strategies one can observe attempts to add elements dealing with consequences of shrinkage in other policy fields, but without holistic approaches.

Besides the pro-growth, exogenous „low road strategies“ pursued by all the post-socialist states and city regions are not replicable in European shrinking cities for following reasons: 1. since 2009 there is the economic crisis affecting negatively the investment climate 2. In CEECs the level of wages and salaries increased until 2009 and so did the prices of production factors as well, which eliminates the competitive advantage of these countries based on low costs 3. The new EU countries can not apply any kind of social and environmental dumping and thus became „unattractive“ for investors, who would prefer low-cost countries with even more liberal approach to environmental and social protection.

PART B: Transferability of strategies

As it became obvious during our research on shrinking cities across Europe, their situation differs much in terms of local specifics and different national legal and institutional settings. We pointed to this very much in our research outputs such as D7 and D12 discussion paper (Rink et al. 2010, Rink et al. 2011). The same holds true for their strategic planning with respect to counteracting shrinkage more or less actively/comprehensively. The summary for the single cities above in this paper showed clearly that strategic planning differs considerably between the sample of cases, and even between the two groups of „western“ and „eastern“ cities according to their planning regimes there is a lot of differences.

The direct transferability of whole general strategies is therefore rather limited due to different contexts amongst countries, regions and urban regions. Transferability is affected by the different legal context of strategies, different notion of time, different understanding of the role and the power of planners, different policies and political decision making processes, different cultures differ and different leadership. However, even if the direct transferability of strategies is disputable, there is the possibility of getting inspired by a certain strategy for a shrinking city. Thus, we will describe and analyze the strategies in our shrinking cities and try to generalize and derive a body of knowledge, which will be a base for formulation of policy recommendations for different types of shrinking cities.

We can recommend rather transferable tools for coping with consequences of shrinkage e.g. to restrict the suburbanisation on the fringe, demolish the worst building stock e.g. deteriorated vacant high rise building in the urban peripheries, and retrofit, refurbish buildings and dwellings in more attractive city neighbourhood (create or retain compact city centre); to decontaminate, regenerate and revitalize inner city brownfields and re-use them for mixed purposes (e.g. not only retail and office developments but parks, green spaces ((urban forest)), sport facilities etc.

PART C: Conclusions

Whilst the scope for transferring strategies between countries and cities is limited by an array of cultural, institutional and socio-economic factors, there are nevertheless opportunities to learn from the experiences of others and to adapt and modify strategies and policy tools to local situations.

One of the key differences identified in our research was that between our case-study cities in western Europe (including re-united Germany) with a long experience of shrinkage, and the post-socialist case-study cities of Central and Eastern Europe (CEE), where population decline has come as a relative recent and unpleasant shock.

It seems likely that these more recently shrinking cities can usefully learn from the longer experience of the western European cities, with their institutional capacities and well-developed knowledge of strategies and tools to respond to the causes and consequences of shrinkage. What is needed is to create learning organisations within these CEE countries and cities that can adapt the western experience to their own cultural, institutional and economic situations. However, such learning structures would also benefit from considering the critiques to western practices which have emerged as they have been implemented. Whilst such strategies have been very effective in many cases, they should not be viewed as faultless.

In the western European cities politicians and officials appear generally to have come to accept the 'reality' of shrinkage and to engage in mature debates about policy responses: whether conservatively regarding shrinkage as a short-term 'blip' and applying policies to stimulate re-growth; or whether more radically recognising shrinkage as an increasingly 'normal' pathway for many cities and applying decline management strategies to ameliorate its consequences.

A key question for cities is what mix of strategies to apply? Many of the cities with longer experience of shrinkage appear to combine a mixture of both re-growth and decline management policies. Experience also shows that the desire for re-growth is sometimes associated with relaxing controls on peripheral development, usually at some socio-economic cost to the shrinking inner urban areas. On the other hand, if a decline management strategy is pursued without re-growth, the question becomes one of finding the resources and usually increases a city's reliance on external funding sources.

A general ambition of European Union perspectives on urban development is to create prosperous, attractive, diverse and compact cities. Thus, even shrinking cities should be expected to balance population and employment opportunities, provide clean, safe, sustainable environments, and avoid social exclusion. Strategies therefore need to be coherent and holistic, i.e. they need to comprehensively deal with all the economic, social and environmental issues that arise from shrinkage, and not focus partially on economic growth alone, or stemming suburbanisation alone.

The European Union has for many years put forward strong arguments against urban sprawl and in favour of more compact cities. Whether pursuing strategies for re-growth or managed decline, there seems little reason why these arguments should be relaxed: they are as valid for shrinking cities as for expanding cities.

Without significant endogenous re-growth, shrinking cities are not able to implement holistic strategies and solve all their problems without significant external political and financial support. Thus external agencies, including regional and national governments and the European Union need to formulate coordinated responses to shrinkage for each city. However, these responses will be contingent upon local circumstances and so require an input from local communities and stakeholders (Hollander and Németh, 2011). Thus, 'smart' responses to shrinkage are likely to

combine top-down European Union, national and regional government programmes supporting bottom-up initiatives.

In implementing strategies to cope with shrinkage, whether through re-growth or managed decline, many cities with longer experience of these problems have benefitted from the establishment of specialised expert regeneration or development agencies to assist in policy development and implementation. Cities that are beginning to experience shrinkage, or are likely to do so in future (particularly in CEE countries) may also find it beneficial to establish such agencies.

The evidence from the cities with longer experience of tackling shrinkage is that city-regional and regional planning and coordination can play an important role in mediating market behaviour in favour of urban re-growth or better managed decline. Regions and cities that are beginning to experience shrinkage, or are likely to do so in future (particularly in Central and Eastern Europe) may also find it beneficial to establish strong city-regional and regional planning capacities.

D14-TOOL BOX

Building the Toolbox

The aim of this deliverable is to build a typology of governance solutions (Toolbox) which deal with the problems of urban shrinkage. Recently the use of policy tools has become more frequent and every strategy or master plan typically identifies a set of policy actions to cope with problems. Thus studying policy tools means studying policies in action. In this sense, building the Toolbox is as a heuristic method to recognize policy goals, policy coalitions, and mechanisms of decision making, and governance solutions for specific collective issues as shrinkage.

Policy tools reproduce almost all of these characteristics of policy making. Quoting Salamon (2002), “the use of tools is at heart of the new governance approach in which public choices are ever more taken by a network of actors - public and private – and are based on negotiation practices, cooperative and bendable approach to solve public issues”.

This evolution of policy making is visible in Shrink Smart research too. From the collected evidence of the seven case studies analyzed, one can identify a whole group of policy choices generated at different institutional levels and with different degrees of success. In order to identify a Toolbox of governance examples (good and less good), it is necessary to make a premise with regard to one of the main results achieved through research: many diversities and similarities are co present across countries in the usage and preference of policy tools.

Thus, the research questions are: How can policy tools be analyzed? Which instruments are there dealing mainly with shrinkage? Can they be compared or grouped together? What are the criteria for evaluating them? Which of the policy tools are transferable to other contexts?

In order to answer these questions and to find useful tools which can be used for different challenges in urban contexts we have adopted the following approach:

1. compiling a typology of policy tools according to main descriptive elements (method-vehicle adopted to deliver policies, good or services (sphere of actions); traditional or innovative character of tool; material or immaterial vehicle to achieve policy goals, etc.
2. analyzing instruments in relation to different policy fields in which shrinkage manifested itself (social cohesion, business and employment; social infrastructure and services; housing and vacancies; technical infrastructure; land use, environmental quality, Brownfield; municipal finance and budgeting). In this part also the interrelation among actors involved become visible.
3. proposing to evaluate the impact of the policy instruments in order to assess their effectiveness (from positive and negative, to ambivalent)
4. correlating policy tools with shrinking cities to understand the role and impact of tools within a strategy carried out in urban contexts

As a result of this deliverable, we will be able to suggest some practical ideas, share stimulating examples, and learn from the experience of other stakeholders in the ten cities concerned. The Toolbox is focused not only on the best practice but on a wide range of actions taken, decisions made, methods and tools applied, both successful and failed. In this way, our suggestion to the stakeholders would be not only to use one tool rather than the other; the added value of the Toolbox proposed is to identify both methods, techniques, approaches, practical modes to deal with a public problem, concrete actions and instrument at the service of the implementation of strategy, which can support decision making in different contexts and at multiple levels.

What do policy tools mean? A typology of policy tools

Identifying and determining a policy tool is not a simple operation. For example, it is fairly difficult to distinguish among political tools, programmes, policies, and mere instruments, even if they are different in an analytical or operational sense. A standard handbook definition suggests that “a tool of public action is an identifiable method through which collective action is structured to address a public problem.” (Salamon 2002:19) Hence, policy tools should be considered as hands at work to realize strategies and policies in different fields, as concrete instruments and action at the service of the strategy.

As we have already said, the policy tools do not possess clear borderlines and attempts at differentiating amongst them may lead to confusion. The criteria adopted has been to choose the main descriptive characteristic of the tool as its defining attributes in itself: an Urban Development Plan is a financial support initiative, yet it is primarily a programme; a school closure is a method, likely to be based in national legislation and/or municipal resolution, but it belongs to the budget line of the city council.

In Figure 1, we have proposed a typology of some typical instruments related to several spheres of policy making. All these instruments have been used by the ten shrinking cities under investigation in different ways; yet they might also be useful in dealing with other challenges or public problems.

These tools can be divided in to normative tools (e.g. *laws* and *rules*) with a traditional regulative aim, from informative tools, which are used for a symbolic management of problems or, more simply, for spreading information about a policy issue (through hosting *a city conference*, contacting the *local press*, organising *events*). There are a number of even more diffused tools such as *plans*, *projects*, *programmes*, which represent a formal manner, i.e. written documents through which the analysis of the problem is correlated to its resolution, identifying purposes, actors involved, and source of financing (*planning frameworks*). Other instruments are related to financial support through long-term *funds* and ad hoc *grants* (with the source of funding typically being European or National-level government agencies). Furthermore, there are tools related to economic regulation (*direct provision* or *budget lines*) and incentives, which usually take the form of a *direct loan*, *tax relief* and *tax expenditure*. These financing tools are frequently delivered by the national or regional government to lower level of public administration. *Agencies* (i.e. a local development agency) and *offices* (i.e. an employment office) or *laboratories* (i.e. laboratory for migrant integration) represent tools and vehicles within an institutional and/or technical office which are located in the urban context to offer public goods or services. Lastly, there are many policy tools inspired by the new public management approach, whereas the delivery of public goods is increasingly undertaken by a network of actors (e.g. via *public and private partnerships - PPPs*) and are based on contractual obligations and negotiation practices to solve public affairs (*agreements*, *pacts*).

Amongst the characteristics, which make all of these instruments of great interest, is that they often are cross policy fields, relate to a specific goal or a defined system of action.

Figure 1 Typology of Policy Tools

Sphere of action	Tools
Normative	LAWS AND RULES
Communicative (or Soft Tools)	CONFERENCES, LOCAL PRESS, EVENTS, FAIRS
Documental Planning	PLANS, PROJECTS, PROGRAMMES
Financial support	FUNDS, GRANTS
Economic Regulation	BUDGET-LINE
Economic Incentives	TAX EXPENDITURE, TAX RELIEF, DIRECT LOAN
Institutional and/or Technical office	AGENCY, OFFICE, LABORATORY
Contracting	AGREEMENT, PACTS AND PUBLIC PRIVATE PARTNERSHIP (PPP)

Which tools for which problems? The Toolbox

Following the rationale proposed in Transferable Set of Strategies – Deliverable 13 – we observe how many policy tools are related to shrinkage in terms of governance solutions for its causes or consequences.

In order to build a Toolbox, each partner has selected one or more exemplificative tools across different policy fields in the seven urban regions which were characterised by varying degrees of success or failure. Indeed, the impact of shrinkage has spread into different ambits of the socio-economic context that we have identified in the previous stages of the Project: segregation and social cohesion; business and employment; social infrastructure and services; housing and vacancies; technical infrastructure; land use environmental quality, and Brownfield; municipal finance and budgeting

While policy choices largely depend upon the specificity of each urban context (starting social conditions, the institutional context and political tradition – Deliverable 12), there are some similarities in the usage of policy tools. This evidence is particularly visible when tools are analyzed in correlation with the policy fields as described in the Toolbox (Figure 2): i.e. in Housing Policy there is a tendency to use *programmes* (mainly at national level) and projects (mainly at local level) to carry out regeneration processes. In Business and Employment, the Foreign Direct Investments (FDI) and Tax relief are the most frequent means to favour revitalization of the local economy and labour market.

After having identified an analytical classification of policy tools (see above), one could investigate a connection between the tools and various policy fields, in which they have been realized, to further one's understanding about their application across various sectors, with regard to different problems.

Figure 2 shows how policy tools are articulated in according to our typology (see also, Figure 2 Legend) and subdivided across different policy fields. This list of exemplificative tools is related to the ten shrinking cities. The value following each tool in the box assesses its measure of success, with (+) indicating a positive outcome, (-) a negative outcome; and (+/-) an ambivalent result.

Looking at Figure 2 (Toolbox), one can reveal this complexity. In each policy field, different types of policy tools coexist and every tool has many components and may be multi-purpose. Within the social cohesion policy, there are many tools which deal with impacts of shrinkage on demographic structure and social consequences such as isolation, formation of deprived neighbourhoods and bad living conditions. These tools promote active ageing (as in Genoa where

there are numerous projects carried out by the Social Policy Department); they contrast both the ethnic segregation of minority groups in suburbs and the social exclusion in shrunken neighbourhoods. In this policy field there are many documents (projects, plans, and programmes), often containing an innovative proposal based on participation of people or integrated policy approach. For example, in the cases of Ostrava and Genoa there were two projects ('village of cohabitation' and 'neighbourhood agreement'), which represent practical attempts at social innovation: the former has been aimed at improving the living conditions in some of the most deprived areas in decay through social and ethnic integration; the latter has been trying to achieve the goal through public participation, social activities, and facilities for the local residents. In other cases, a programme may be a document, plenty of ideas, good intentions, and practical solutions, which, nevertheless, need a lot of time to generate a positive outcome, for example, the Municipal Programme Donetsk Without Outskirts, following which a large disparity between the central and peripheral areas in the city is still reportedly in existence.

Within the business and employment sector, we have found many agencies and technical offices dedicated to providing support to achieve a match between the demand for and the supply of labour in some former industrial cities, where the economic change has had an adverse effect upon the local labour markets, with many negative consequences in terms of unemployment and the low-skilled people. The transition towards a 'knowledge-based economy' based around information and communications technologies (ICT) and tertiary sectors has been mainly guided in the shrinking cities through direct financing from the EU (European Regional Development Fund; Objective 1 funding for Western European countries, and Convergence Objective funding for Eastern European countries; European Social Fund), and central governments (for example, the Federal Funds in Leipzig and the National Fund for Start-Ups in Genoa). In addition, private and foreign direct investment (FDI) funding has been clearly present in these cities, yet with ambivalent results for growth and local development. Another exemplificative example in this policy field has been the Katowice Special Economic Zone, which have enjoyed economic incentives and tax relief in favour of business start-ups, new enterprise, and investment. Finally, some cities (e.g. Donetsk) have prioritised paying higher wages to municipal employees as an economic boost incentive.

In the sphere of social infrastructure and services, many shrinking cities have attempted to solve the problem of depopulation through a retrenchment of the educational budget lines via a closure of schools (Ostrava, Makiivka, Donetsk), a withdrawal of social infrastructure (, Ostrava, Makiivka), and a re-usage of older/derelict public infrastructure facilities for other municipal functions (Leipzig, Donetsk, Ostrava). At the same time, the cities have built new social infrastructure for the elderly people (residential homes and nurseries) (in Genoa, Ostrava) and resorted to a mixed use of kindergartens to deal with the change in the demographic age structure of the population.

In housing policies, there have been a host of different types of policy tools, including many programmes to plan regeneration, revitalization, and renewal of older urban zones, former industrial areas, and dilapidated building (Master Plan SEKO in Leipzig; Urban Regeneration Tools such as PRU and PRUSST in Genoa; Development Programme for the Central District (ReROŚ) in Bytom). Several new agencies have been established for managing housing re-development (e.g. the Housing Action Trust and Merseyside Development Corporation in Liverpool); and a normative intervention in Leipzig (Urban Restructuring East) was undertaken to foster the demolition of vacant housing as a successful attempt at decreasing the over-supply of housing.

Laws, economic incentives and reformulations of the municipal budget have been the main tools used by the shrinking cities to deal with emerging problems in the technical infrastructure sector.

In the area of urban land use and environment, many shrinking cities have had to tackle a very substantial problem of contaminated land and deal with the problem of brownfields, coal-mining and industrial waste. Tools, methods, and strategies used in the shrinking cities were aimed at the establishment and improvement of green spaces through- 'green urban zones' (through a more thorough and tighter application of the tight environmental legislation in Donetsk; constraints on greenfield development in Liverpool, and 'urban forestry' in Leipzig). A few new quasi-governmental organisations have also been established in this area, for example the National Regeneration Programme in Donetsk and the National Regeneration Agency in Liverpool.

Finally, in the sphere of local government finance and municipal budgeting, the main tools have been related to the provision of specific budget allocations and economic incentives (e.g. tax breaks) as well as attempts to tackle the consequences of depopulation by though public expenditure cuts and efficiency savings. For example, Makiivka authorities has led a campaign to abolition inner-city borough councils to concentrate monetary resources in within the city council budget, whereas local authorities in Leipzig has resorted to a fairly sophisticated financial engineering technique known as cross-border leasing.

By juxtaposing policy tools with policy fields, we have been able to identify different ways in which various policy tools have been used both to address specific problems and achieve particular aims. Our toolbox has provided evidence that the ten shrinking cities concerned have been rather flexible in applying a variety of policy approaches to deal with both causes and consequences of urban shrinkage; they have also had to use different modes of governance solutions for different challenges faced.

These empirical evidences presented here, along with the comments about strategies outlined in Policy Brief no. 1, allows us to understand how and why policy-makers tend to choose following one approach rather than the other and using one instrument rather than the other (tools are usually related to strategies) to cope with collective problems across different spheres of action concerning urban shrinkage.

In the light of this information, one can recognize a preliminary useful learning: policy tools are related not only to urban shrinkage, but rather to public issues at a more general level regarding other interesting public topics such as the unemployment, vacant houses, economic investment, jobless and social inclusion. This makes the presentation of these tools helpful for other sphere of policy.

Figure 2 – TOOLBOX: Instruments, methods and techniques per policy fields and cities

	LEIPZIG/HALLE	OSTRAVA	GENOA	BYTOM/SOSNOWIEC	LIVERPOOL	TIMISOARA	DONESKT/MAKIJVA
SOCIAL COHESION			Neighbourhood's Agreement "Ghetto" (+/-)				
		Village of cohabitation (+/-)	Active Ageing Projects (+)				Municipal Programme 'Donetsk Without Outskirts' (+/-)
		Special Elementary School (+)	Migrations Laboratory and Territorial Education Laboratory (LET) (+)	Local revitalization program Sosnowiec 2010-2020 (+/-)			
BUSINESS AND EMPLOYMENT						Start-up (+)	
						Tax preference for Economical revitalization (+/-)	
		Foreign Direct Investments (+/-)		Katowice Special Economic Zone (+)		Industrial Technological Parks (+)	
						Foreign Direct Investment FDI (+/-)	
						Business Incubator (+/-)	
SOCIAL INFRASTRUCTURE AND SERVICES		Re-usage of schools (+/-)		Re-use and re-creation of social and cultural functions in Bytom (+/-)			Closure of schools (+)
							Privatization of nurseries and kindergartens (-)
	Demolition (+/-)		Urban Regeneration Projects (PRU) "La Fiumara" (+/-)		Unitary Development Plan (UDP) (+)	Integrated Plan of Urban Development - The Masterplan for	

HOUSING						development of the metropolitan area (+)	
	Town Houses (+)				Planning Policies on Housing Development (+)	Social Houses administrated by the municipality (+/-)	
	Guardian Houses (+)	Regional Development Agency (RDA) (+)	Urban Regeneration Projects (PRU) "Pre" (-)	Revitalization and Development Plan Downtown in Bytom (ReROŚ) (+)	New Deal for Communities 2003-2010	Program for renewal of the Historical Building (+)	
	New Urban development Master Plan (SEKo) (+)				Renewal 1989-2002 – Rock Ferry (+)	Urban regulation in suburbs (+)	
	Special tax deduction Sonder-AFA (-)	New residential homes for elderly (+)			Housing Market Renewal (HMR) 2002-2011 (+/-)		
	Owneroccupiers (Selbstnutzer) (+)				Homes and Communities Agency 2008		
TECHNICAL INFRASTRUCTURES						Metropolitan line bus (+/-)	
				Economic Gateway of Silesia (+)		"Masterplan for extension of current water, sewage and metropolitan lines" (+)	
BROWNFILED	Urban Forest (+/-)						
	Revitalization (+)						
	Decontamination (+)			Regeneration of European Sites in Cities and Urban Environments - RESCUE – in Bytom and Sosnowiec (EU Project) (+/-)			Private investments (+)
	Interim Use Agreements (+)	Inner city Brownfield revitalization: New Karolina and Lower Vitkovice (+)					Environmental Legislation (+)
	Public re-development agencies (+)						

MUNICIPAL FINANCING							Abolition inner-city boroughs (+)
				Council tax exemptions council tax or tax reduction (+/-)			Ignoring population loss in inter-budgetary transfers (-)
							Municipal taxation powers (+)

- Law and Rules*
- Conference, Events, Local Press*
- Plan, Project, Program*
- Funds, Grants*

- Budget-line*
- Tax expenditure, tax relief, direct loan*
- Agency, Office, Laboratory*
- Agreement and PPP*

Range of Tools Evaluation:
 (+): Positive impact
 (-): Negative impact
 (+/-): Ambivalent impact

Which tools in which city? A Glossary of tools

As we have seen the causes and consequences of demographic decline are spread across different policy sectors, ranging from social cohesion, to housing, to Brownfield management.

In this section we make clearer the characteristics of some representative policy tools which each case study has analyzed in their respective policy fields providing briefly details regarding: the aim of the instrument, actors involved, policy coalitions, implementation and evaluation of the main results achieved.

What makes this section interesting is the understanding of the wide variety of tools proposed by shrinking cities and how they have different implementation within diverse institutional frameworks of the countries. Strategies and tools are sometime similar for the same issue such as revitalization and renewal programs within Housing Policy carried out by Liverpool, Timisoara, Bytom, Leipzig; and Foreign Direct Investments to solve economic disadvantages in Ostrava, Timisoara; and Tax relief to contrast negative impact of deindustrialization (Brownfield).

Yet policy tools have different working methods across shrinking cities and build specific networks of actors based on the strong institutional level of accountability or on the well-built collaboration with the private sector. This diversity in methods partly reflects the individual institutional and legal attributes of the nations involved, different systems of hierarchical competences and the way major policy concerns are prioritised. These characteristics have certainly resulted in different political choices, policy goals, and, consequently, in policy tools.

Increasing complexity in economic and social issues has made governments take more difficult decisions and improve knowledge about collective questions. This also means enlarging the policy making through the cooperation with other actors (public agencies, institutional organizations, private enterprises, firms, associations) to find more comprehensive solutions. As a result of this new participatory approach, traditional methods of public administrations (law, direct loan, grants) have been flouted by new policy tools. These are integrated planning based on agreements, public and private partnerships or also new institutional or technical offices managed by multiple set of actors (Local development agency, Incubators).

In the light of this framework, we propose in the next pages a Glossary of exemplificative tools per urban region or city-region giving details concerning the descriptive features of the tools, their objectives and main results.

Leipzig/Halle

Policy field: Housing

Type of tools: Plan, Project, Program

1. Guardian Houses (+)

The aim of this tool is to save an old and probably derelict building by using it, to prevent the building from damage through vandalism and ongoing decay. The “Guardian houses”-programme creates a framework where homeowners and potential renters sign a flexible contract to settle the conditions of the use of these vacant houses. The contract regulates the permission for a temporary use of the house. The mutual agreement is, that no rent has to be paid (except heat, water and electricity) but the tenants or users have to protect, to

maintain and to renovate the rooms, the flat or the house by themselves. The private owners will be given the chance to reduce the ongoing running costs and to find and to turn over simple uses as first steps of a revitalisation.

2. Town-houses (+)

Town-houses are normally described as terraced housing or medium density housing in a terraced style. In the European context of shrinking cities this type of housing was established in order to revitalize inner-city brownfields, to close empty plots and implement low density housing into high density environments. The aims are to increase owner-occupied housing in particular for young families to make them stay in the inner-city and to avoid ongoing suburbanization.

3. New Urban development Master Plan (SEKo) (+)

In order to cope with the impacts of shrinkage, the cities in Eastern Germany have elaborated and established comprehensive and integrated urban development master plans (INSEK or SEKo). Starting from the identification of the main problems, developing tools, instruments and strategies as well as formulating overarching aims a long-term master-plan of the city is elaborated. In addition the plan takes into account all existing resources and potentials as well as particular spatial needs, normally such a plan is developed by including (all) important stakeholders. The plan could be approved by the city council as a formal planning instrument, but it could be used as an informal tool as well.

4. Owner-occupiers (Selbstnutzer) (+)

Owner-occupiers is a public-private programme, which was created by the city of Leipzig in order to offer advisory functions for interested buyers, who would like to create their owner-occupied and self-determined houses in inner-city areas. The municipality takes over the tasks to develop the funding, the pre-selection and planning preparation of adequate sites and the responsibilities of moderation and marketing. Owner-occupiers is not a traditional funding programme, it rather relies on a network formation: Interested buyers come together in one group for a good cooperation to become a home owners' association or a community for individual building owners. The municipality makes arrangements about the future rights and duties, the owner-occupiers hire an architect, who provides support in structural regard.

Type of tool: Tax expenditure, tax relief, direct loan

5. Special tax Deductions (Sonder-Afa) (-)

With extremely high tax deductions the federal government in Germany in the 1990ies tried to initialize and promote housing construction and renewal in Eastern Germany. By giving the chance to deduce the maximum of 50% of the investment from the income tax (Sonder-Afa), ca. 28 billion € were mobilized. Whereas half of the sum was invested into the renewal of the decayed housing stock in the inner-cities, the other half was dedicated to the construction of new houses in the suburbs. Under the conditions of ongoing shrinkage these unspecified tax deductions produce additional housing vacancy and an unsustainable settlement structure.

Type of tool: Law and Rules

6. Demolition (+-)

Demolition of vacant or derelict buildings is a tool to reduce housing vacancy and to stabilize the housing market. Demolition can be problematic insofar as it can lead to less attractiveness of the concerned districts or to perforation. In order to strengthen the inner-city and re-urbanization demolition should be steered and organized from the outskirts.

Leipzig/Halle**Policy field: Brownfield****Type of tool: Agreement and Public-private partnership**

7. Interim Use Agreements (+)

The Interim Use Agreement (Gestattungsvereinbarung) was created by the city of Leipzig as an informal planning tool to establish a clearance, design and limited use of a private open plot or brownfield. While the owner maintains the building rights for his property, the local authority gets the right for a public use. The municipality is able to revitalize brownfields, to convert them into green spaces, make them accessible for public use and improve the attractiveness in the affected neighbourhoods. The advantages for the owner include subsidized land clearance and design, property tax exemption for the duration of the contract, and the reduction of some running costs for maintenance.

Type of tools: Budget-line

8. Urban Forest (+-)

Urban forest is an instrument for the design of brownfields and an interim use, normally it is implemented at the outskirts of cities but recently inner-city locations were established as well. Urban forest is an extensive and long-term oriented form of landscaping; the costs of the input and landscaping are relatively low. In contrast to an open space or classical park urban forest hasn't to be decontaminated nor to be secured, the equipment (benches, bins, lamps) is very limited. The advantages are lower maintenance costs, improving the supply of public green space and economic and ecological (long-term) benefits.

9. Decontamination (+)

Decontamination consists from the elimination of poisonous materials, for instance chemicals, and otherwise harmful substances from the soil and possibly the groundwater. In addition often rests from the former building development or use have to be cleared. The decontamination is a basic precondition of a revitalisation or reuse of a brownfield and increases its property value.

10. Revitalisation (+)

Revitalisation is in a broad sense the re-use of a brownfield or un-used property. Through revitalisation an un-used property can be incorporated into the property market and regains value. Revitalisation can be a new use but as well an interim use, often revitalisation has to start with decontamination and clean-up. Whether a new profitable use will be established depends from the demand.

Type of tool: Agency, Office, Laboratory

11. Public re-development agencies (+)

Public re-development agencies are proper instruments to promote urban restructuring, revitalisation and renewal. Their tasks could range from moderating and networking to financing measures like decontamination or clean up to the whole process of site redevelopment.

Ostrava**Policy field: Social Cohesion****Type of tools: Plan, Project, Program**

1. Village of cohabitation (+/-)

VoC is a project of residential development of 30 family houses for Roma families living together with families of majority population, which through physical vicinity stimulates social contacts and can eliminate conflicts and animosities. The implementation of the project was carried out by network of actors, who were the representatives of the NGO Civilia Foundation, Archdiocese charity (the church), Ministry of labour and social affairs (as state actor) and the city of Ostrava (as local self government). The opinions on this instrument of social integration are ambiguous: On the one hand, this project (in terms of the applied philosophy or approach) is (generally) perceived as promising because Roma and majority population are living together which can contribute to mutual integration. On the other hand, there is no real evidence of positive changes in the living together of both groups.

2. Special Elementary School (+)

In Ostrava-Přívov was established as a pilot project by Church Charity a multicultural (multiethnic) institution for children and their families (parents). The main goal of this school is to reach a certain higher level of education and change the children's attitude to education and social behaviour. The school was established not only for Roma population but for everybody interested. The school has been successful in providing education for Roma children and in organizing diverse activities for their parents, who could get integrated into activities of majority society.

Policy field: Business and Employment**Type of tool: Funds and Grant**

3. Foreign Direct Investment (+/-)

Ostrava city authority supports the attraction and inflow of direct investment into the regional economy in order to create new jobs after the deindustrialization. The main idea is to stop job related out-migration (and "brain drain") and reduce the intensity of demographic and economic shrinkage. The city authority supported by Czech state agency for business support Czech Invest (providing lots of investment incentives) prepared Science and Technology Park (STP) and economic zones on greenfields. Thanks to the activities of the city authority We can estimate that about 30.000 new jobs were created directly by new investors in the urban metropolitan area of Ostrava: approximately 8,000 new jobs in the economic zone Ostrava-Hrabová, 3,000 in the Hyundai assembly plant and 7,000 in their tier

one supplier companies, 2,000 in the Tieto company, 800 in STP, etc. However the attraction of FDIs is not a panacea and can not help to cope with the complex process of shrinkage. The precondition for successful application of this tool are favourable market conditions for investment such as low costs of productive factors and economic boom in the particular macroeconomic region.

Policy field: Social Infrastructure and Service

Type of tool: Budget line

4. Re-usage of closed elementary schools (+)

The city of Ostrava had to close some kindergartens and elementary schools in the course of slight demographic shrinkage in certain localities. However, the buildings were re-used for allocation of new faculties of universities (both public and private), for allocation of private high schools or other educational institutions such as language schools. The buildings and their premises were used for allocation of public sector institutions and as sports and cultural facilities as well. The city authority privatised the school buildings or transferred the property rights to public institutions (public universities), who are able to reconvert and reuse the premises.

Policy field: Housing

Type of tool: Agency, Office, Laboratory

5. Regional development agency (RDA) (+)

In 1993 had been established RDA Ostrava, which was the political initiative of European Communities aiming at strengthening regional institutions in the most problematic region of Ostrava - North-Moravia and Silesia, which should help the restructuring of the metropolitan region and strengthen the regional economy via e.g. attraction of FDIs. The establishment of RDA had been financed by PHARE and French government grant. RDA's main stakeholder had been the city of Ostrava. RDA had been very important institution for especially know-how transfer from Western Europe to the region Ostrava (European pipelines of knowledge) and for gaining and distribution of European funds and grants. We can say that this RDA substituted for missing regional government until 2000 and missing capacities and capabilities of local administration of Ostrava in terms of economic development support until 1996 or even later on.

Type of tool: Budget Line

6. New residential homes for elderly (+/-)

The city authority faces the problem of ageing via investments into social infrastructure and constructed new retirements homes with related social services for elderly. However, unfortunately, the demand is larger than the capacity of premises.

Policy field: Brownfield

Type of tool: Tax expenditure, tax relief, direct loan

7. Inner city brownfield regeneration and revitalization: New Karolina and Lower Vitkovice (+)

The city supports projects for the revitalization of brownfields in inner city in order to cope with the consequences of deindustrialization. The brownfields were decontaminated (with the necessary support by state) and sold to private investors and new private owners. In Ostrava there are

two main inner city brownfields: New Karolina and Lower Vitkovice. The investors plan to use the former brownfields and industrial buildings for mixed usage retail, residential, offices, educational and conference facilities, culture and leisure.

Genoa

Policy field: Social Cohesion

Type of tool: Plan, Project, Program

1. Active Ageing Projects (+)

Ageing is one of the main impacts of shrinkage. It brought about a deep change in the demographic structure of population and consequent challenges in the social supply for elderly people. Traditional social supports (payments, kind) have been followed by more innovative projects (Active Ageing, SiCura, Silver Steps, Walking Together, No more alone) carried out by the Social Policy Department to favour active ageing through the participation of elderly persons in active life, cultural activities, assisted journeys, voluntary work, and to reduce expenditure for public assistance. In fact many policy tools are also funded through private funding from Banking Foundations, such as San Paolo or Carige Banks, and are managed by Religious Communities and NGOs.

Type of tool: Agency, Office, Laboratory

2. Migration laboratory (LabMig) and the Territorial Education Laboratory (LET) (+)

Over the last twenty years Genoa has undergone strong international migration flows and these projects are founded on the idea that multiculturalism is the future for urban living together (mainly in some shrunk neighbourhoods where many migrants live). The Migration laboratory was formed in 1993 by a group of teachers from public infant school. It promotes the intercultural education in the schools of the city and the social inclusion of foreigners through scholastic activities.

The Territorial Educational Laboratory (LET) was established in all the Municipalities of Genoa in the 90'. An NGO delivers the service and operates in collaboration with the Districts to carry out policy actions for the integration of foreigners (mainly young Latinos involved in baby gangs) at a scholastic, social, and subsequently at an employment level.

Type of tool: Agreement and Public-private partnership

3. "Ghetto": Neighbourhood Agreement (+/-)

Started in 2007, it took place in one of the most critical and depopulated areas of the Historic Centre. This policy tool (funded through National and Regional integrated funds), provided two lines of strategy carried out by the Urban Department with the collaboration of private owners and NGOs: urban renewal and social actions. There have been refurbishment of buildings, renovation of streets, buildings and gas, power, the water supply; and there has been the building of social housing (Casa della Giovine – for young woman), a Nursery School and an AID health-station; and the opening of Casa di quartiere "GhettUp" (Neighborhood house), it is a sort of headquarter for associations, citizens and residents of Ghetto to organize activities and cultural events to promote solidarity, and social inclusion activities. Even if social and urban decline are still visible, this program has improved the quality of building as well as the living conditions of many citizens thanks to the creation of real opportunities to access the social and public services.

Genoa

Policy field: Housing

Type of tools: Plan, Project, Program

1. "Fiumara": Urban Regeneration Programs (PRU) (+/-)

Within the urban regeneration policy the PRU "La Fiumara" represents a good example because it has intervened in an ex industrial area where shrinkage showed its effects. Objectives were to convert the area's economy towards a commercial centre, to create business around technology activity and to build new residential areas with facilities. Today the main visible outcomes are: the Trade Centre "La Fiumara" with Multiplex Cinema; the Techno Pole is under construction around the Erzelli hill (waiting for the funds from a private investor - Eriksson); the 9 planned tower buildings for residential and office space have been an unsuccessful attempt due to demographic decline which has made this investment not profitable for the Construction Company (Coopsette). In addition, the programme has brought about Sport Centre, Public Parking, green space (27,000 sqm) and transport facilities. Political support was strong at different institutional levels and local government (Department of Urban Policy) in close collaboration with the national establishment and the Ansaldo Company.

2. Prè: Experimental Restoration Program (-)

It was a project financed by the central Minister for Public Investments in 1986 and finalized to the restoration with experimental materials (which implied the use of particular concrete appropriate for medieval building). It covered a very large area and needed the expropriation of several decaying blocks, which were bought by a real estate company in order to speculate on the likely rising process of the dilapidated but extremely valuable buildings. The point is that the funding was more or less consumed to expropriate, and the complex work of renovation was stopped for many years. When it started again in the second half of the nineties other types of national program (called just Urban Innovative Program and Urban II) there were endless negotiations between the Developers in charge of making the renovation job and the Municipality Planning Department in order to save the experimental original idea about the experimental methods of renovation. The Restoration Program foresees the chance for the Municipality to finance private developers in order to renovate public or private properties in a state of decay; the renovated flats can be put on the social housing rental market by the Municipality or sold at a moderate price by the Municipality. The reason of inefficiency of the programme was due to the scarce financing compared to the size of the area that should be renovated and to the disconnection between the renovation of residential buildings and public area which were regenerated thanks to other projects

Sosnowiec

Policy field: Social Cohesion

Type of tool: Plan, Project, Program

1. The Local program for Renewal of Sosnowiec, 2010-2020 (Local revitalization program Sosnowiec 2010-2020) (+/-)

The renewal programme represents a guideline which focuses on solving problems of selected parts of the city. Problem of the city have been diagnosed primarily in terms of

social, but also the spatial and infrastructure. The tasks posed in the work spot, are targeted and tailored to the specific problem area. The programme sets the framework for reducing unemployment, alcoholism, and social exclusion. Overall, this project should be assessed positively. Negatives: often too high expectations and lack of money to carry out certain tasks.

Sosnowiec

Policy field: Business and Employment

Type of tool: Tax expenditure, tax relief, direct loan

2. The Katowice Special Economic Zone (+)

Since the 90s of the 20th century, this tool has to solve problems related to the labor market. Areas of Investment are localized in places with earlier industrial activities. The new facilities represent a different industry from the mining and metallurgy. Comparison with other cities in the region where there is no The KSEZ, you can see the success of the initiative - about 4,000 new jobs, new taxes to the city budget, a decrease of unemployment, new development of brownfields. The project received a very positive assessment. The KSEZ represents a necessary tool of urban renewal and redevelopment of post-mining and post-industrial towns. Partnership: The KSEZ, investors, municipal authorities.

Bytom

Policy field: Social Infrastructure and Service

Tool: Fund, Grant

3. Re-use and re-creation of social and cultural functions (+/-) (Since the 90s of the 20th century)

Potential tool to enhance the city through spectacular growth, exceptional, elite time (strongly exogenous) investment in recreation and sport. Bytom is the best traditions of The Katowice Conurbation. These are: a golf course and recreational areas created by Armada Development and even earlier in the project: Dolomites Sports Valley - the centre of winter sports. Tools generally positive, but slowly implemented. They have some economic and organizational problems. The problems are the result of a weak external funding and the limited possibilities of support by the city. These are private initiatives. The city authorities sympathize with them, but rather indirectly supported.

Bytom

Policy field: Housing

Type of tool: Plan, Project, Program

4. Plan for Inner City renewal and Development (Revitalization and Development Plan Downtown - ReRoS) (+) (since 2004)

The Plan for organizing and ordering Bytom inner-city development. The advantage of the plan is to look at many issues, with particular emphasis on the problem of housing, and vacancy-housing. Reported are the main problems and needs identified and possible options for action. Disadvantages of this plan are: lack of reference to the problem of urban shrinkage as a whole, limited feasibility because of economic problems (lack of) or legal (complicated ownership situation of buildings). The plan, however, is a solid and important start-point for the liquidation of housing problems in the inner-city of Bytom.

Sosnowiec

Policy field: Technical infrastructure

Type of tool: Tax expenditure, tax relief, direct loan

5. Economic Gateway of Silesia (Silesia Commerce Gate) (+/-)

Since the half of the 2000s the idea of this tool is to prepare by municipal authorities a complete technical and communication infrastructure, which is an element of support for initiatives of new industries and services: High-Tech. The city is the initial investor; investors are economic partners (the target) or tenants. There are already two initiatives within the Economic Gateway of Silesia: new investment sites in the district of Bor (investor: Salzgitter Mannesmann), and Sosnowiec Park of Science and Technology in the district of Niwka (investors will take revitalized buildings to use in 2012). Very positive effect, which gradually successful. Disadvantages - high dependence on individual private companies, a large contribution of the city. However, the main costs are paid from external funds or resources, including the EU.

Bytom and Sosnowiec

Policy field: Brownfields

Type of tool: Plan, Project, Program

6. Regeneration of European Sites in Cities and Urban Environments - RESCUE – EU Project, The 5th Framework Programme of the EU (+/-)

It was a project that has set the philosophy of solving problems linked with brownfields in the region. Appointed two ways: the development of industry and large-scale trade and services (mainly Sosnowiec) and social services and recreation areas (mainly Bytom). RESCUE Project template was very important for both cities. Disadvantages: Not all assumptions are realized (the slow pace in Bytom, or changes from previous plans in Sosnowiec). Participation of: Municipal Office in Bytom and Municipal Office in Sosnowiec, scientists, private companies.

Bytom

Policy field: Municipal financing

Type of tool: Tax expenditure, tax relief, direct loan and Budget line

7. Council tax exemptions council tax or tax reduction (+/-)

Instrument which allows medium and large investors to obtain a waiver or reduction of council tax. This instrument is dependent on the size of the investor (employment in the company) and partly of his character. These exemptions are classified according to size ranges of the new company. This is intermediate (indirectly) instrument and is limited in nature, due to competition of investment areas that localized in special economic zones in other cities of The Katowice region. However, it is absolutely necessary - is "the entry point" of the investment policy of the city. It is difficult to estimate its real effectiveness. In our opinion, its role is better with connection of other tools and instruments.

Liverpool

Policy field: Housing

Type of tools: Plan, Project, Program

1. Unitary Development Plan (+)

The Liverpool Unitary Development Plan (UDP) was adopted in 2002. The plan had an overriding objective of urban regeneration, and this was split into three themes: economic regeneration, environmental improvement and reduction of inequality. Policies developed under these three themes have guided development in the city during the past decade. One of the plan's key objectives with regard to housing is to maximise the contribution of housing to urban regeneration. The plan specifically seeks to enable the reversal of the decline in population experienced by the city, including through an emphasis on bringing forward vacant and derelict sites and buildings for housing development.

2. Planning Policies on Housing Development (+)

During the period since 1990 restrictive land use planning policies were exercised in order to prevent further suburbanisation (or 'urban sprawl'). This included a 'green belt' around the city where only limited development is permitted (through a Merseyside Green Belt Local Plan), and a housing 'moratoria', whereby new housing development was restricted to inner city areas (the moratoria was in the form of a statutory 'supplementary planning document' to the Liverpool UDP). At a national level, in addition to planning policy guidance on housing, targets were established during the 1990s and 2000s for the percentage of development which should be on brownfield land. This contributed towards preventing further suburbanisation. At the regional level, a Regional Spatial Strategy (2004-2010) also designated mandatory housing targets for sub-regions within its remit.

3. New Deal for Communities (NDC) (+)

In 1998 the Government designated 39 parts of the country as NDC areas, and Liverpool City Council successfully bid for £61.9 million of funding for an area of 4,200 households in the inner city area of Kensington. The initiative was focused on local community regeneration, but in Liverpool also included a significant degree of housing renewal. Whilst the programme had a number of difficulties and evaluation as to its impact is inconclusive, it was generally successful in increasing community engagement in regeneration and money put into the area during this period is likely to have made a net positive contribution.

4. Housing Market Renewal (HMR) (+-)

The HMR initiative was established in England in 2002. It was a national government programme which sought to address so-called 'failing' housing markets – many of which were the result of substantial falls in population. The programme was focused on nine urban areas in the north and midlands and was led by local authorities in partnership with the private sector and social housing providers. Each area decided how to spend the funds, and this generally involved a mix of refurbishment, demolition and new build. Whilst the programme did have some successes in both the refurbishment and construction of properties, it has also been widely criticised on two counts. Firstly, because of the mass demolition of 19th century terraced housing. Secondly, the programme was stopped by the Coalition Government in 2011. This has left many areas of demolished or boarded up houses with no certain future.

Type of tools: Agency, Office, Laboratory**5. Renewal Rock Ferry (1989-2002) (+)**

In 1989 Wirral Metropolitan Borough Council designated the Rock Ferry area as a Renewal Area (specifically with regards to housing). This designation gave the Council legal powers to acquire land and property for improvements, repair and management. During the following decade the piecemeal approach to renewal was conducted, including refurbishment of properties, acquisition, demolition and new build. This was supported by complementary investment in retail provision, health, education and the physical environment. Whilst this period of activity has not been subject to an official evaluation, anecdotal evidence suggests that it was positively received.

6. Homes and Communities Agency 2008 (+)

In 2008 the Homes and Communities Agency (HCA) bought together two national government quangos related to housing and brownfield redevelopment – the Housing Commission and English Partnerships (EP). Previously, the Housing Commission had been responsible for funding and managing the country's social landlords. English Partnership was the national regeneration agency, established in 1994. Its role was the promotion of the regeneration of areas through the reclamation, development or redevelopment of land and buildings. EP and HCA have generally been considered successful interventions in this regard, although the amount of money they have available to support regeneration has reduced substantially since 2010.

Timisoara**Policy field: Business and Employment****Type of tools: Tax expenditure, tax relief, direct loan****1. Start-Up (+)**

The public administration has a specific policy to facilitate all the necessary approvals and authorisations for the start of any relevant investments (for the community) with an average term of 3 to 7 days. This is a very important facility because the incoherence of the national legislation can delay the obtaining of all necessary documentation until one year.

2. Tax preference for economic revitalization (+/-)

In some circumstances the municipality can sustain some very specific content of the economical development by applying some facilities into the tax scheme (related by the local tax). This measure can generate also speculative behaviour (business plan that follow only the financial facilities and not a real development) and there are quite difficult to prevent.

3. Industrial Technological Parks (+)

Booth, the city administration and the county administration have developed two distinct new industrial technological parks around the city. These spaces are special configured to sustain new complex industrial facilities and provide adequate electricity system, natural gas, water and sewage, optical connections, public transport, access to road and transportation systems

Type of tool: Funds, Grants

6. Foreign Direct Investment FDI (+/-).

Have represented one of the most important target since it was proved that can not be always a sustainable approach (some time a large industrial facility was relocated after not so long time, with massive impact on the community).

Type of Tool: Agency, Office, Laboratory

5. Business Incubator (+/-)

It was a local plan for encouragement of the new idea of local business. The action had only partial positive results because other idea was not survive without the direct support.

Timisoara**Policy field: Housing****Type of tools: Plan, Project, Program**

6. Integrated Plan of Urban Development (+)

The Masterplan for development of the metropolitan area was developed in 2009 and follow to transform the chaotic urban sprawl areas around the city into living suburbs administrated by the city municipality.

7. Program for renewal of the Historical Building (+)

Timisoara City Hall has lunched a collaboration with GTZ (Deutsche Gesellschaft für Technische Zusammenarbeit) to obtain technical know-how about the renewal of the façade for the historical buildings. Even there are some financial difficulties, the output of the collaboration was a real successful.

Type of tool: Budget line

8. Social Houses administrated by the municipality (+/-)

The city hall has a stock of social houses that are offered for rent to the inhabitants with social problems. These houses have remained from the state housing patrimony and, without an adequate maintenance their physical conditions are bellow average.

Type of tool: Law and rule

9. Urban regulation in suburbs (+)

The urban sprawl toward the villages around the city has achieve its non-functionality. Thus, the municipalities from involved communities have started a convergent set of rules toward the regulation of the housing building, elevation, aesthetical dimension, distance between constructions etc.

Timisoara**Policy field: Technical infrastructures****Type of tool: Budget line**

10. Metropolitan line bus (+/-)

Under the pressure of the continuous and accelerated growing of the suburbs neighbourhoods the municipality has tried to connect these areas by the extension of the local transport system with deploying of several metropolitan bus lines (towards living and commercial areas). Due to the specific of the inhabitants from the suburbs (middle to upper class) the utilisation of these bus lines are limited (and yet not sustainable).

Type of tool: Plan, Project, Program

11. Extension of the urban infrastructure toward suburbs “Masterplan for extension of current water and sewage” (+)

As a strategically approach to assure a full functionality infrastructure for the entire metropolitan area. This planed action can deal with all difficulties generated by the chaotically result of the city sprawl.

Donetsk**Policy field: Social Cohesion****Type of tools: Plan, Project, Programme**

1. Municipal Programme “Donetsk Without Outskirts” (+/-)

The aim of this programme which was implemented in the second half of the 2000s was to diminish the development gap between the city centre of Donetsk (in particular, the Central Business District of Voroshylivskiy raion) and its outlying, peripheral boroughs. The primary actor behind the initiative has been the mayor of Donetsk Oleksandr Lukianchenko, who successfully won re-election in 2006 running with the Donetsk Without Outskirts as his electoral manifesto. The major tool of the programme is differential land and municipal property rental prices across the city, with preferences given to business development in peripheral areas. The programme’s major achievement has been the economic resurgence of Petrivskiy raion – the city’s most distant borough. The pre-eminence of Donetsk’s CBD has not been sufficiently challenged, nevertheless.

Donetsk & Makiivka**Policy field: Social infrastructure****Type of tools: Budget line**

2. Closure of schools (+)

The ongoing process of primary and secondary school closures has been carried out in the Greater Donetsk conurbation in order to reduce the vacant capacity caused by the nation’s demographic crisis (primarily, collapsing birth rates). As the number of school pupils decline in some establishments by over a half, the cities’ education boards have made a decision to merge schools to cut maintenance costs and achieve operational efficiency. Despite a fairly successful implementation of this policy in the 1990s and 2000s, subsequent school closures carried out in the 2010s met with strong opposition from parents and a wave of protests, before being postponed for further consultation.

Donetsk & Makiivka**Policy field: Social infrastructure****Type of tools: Budget line**

3. Privatization of nurseries and kindergartens (-)

A drastic decline in the number of newborn babies, which occurred in the early to mid-1990s, combined with a prolonged economic depression and the subsequent collapse of local government tax revenue forced local authorities to close the bulk of nurseries and kindergartens, before selling off the vacant building to new private small businesses and government agencies for re-use as office space. In addition, a major aspect of Ukraine’s

economic policy during transition was aimed at swiftly privatising state-owned enterprises and off-loading the companies from their social obligations and the provision of social benefits to employees. After the forced transfer of company-provided social infrastructure, including nurseries and kindergartens, to cash-poor local authorities, the establishments were closed and the assets put on the market. This tool for dealing with vacant social infrastructure was constructed as a short-term response to fiscal austerity; nevertheless, the evident preference for such a quick-fix amongst local authorities was also driven by personal clientelistic and often corrupt arrangements between local government leaders and private businessmen and women, with both parties often receiving substantial financial gains in the process. The policy backfired in the mid- to late 2000s, when Donetsk and Makiivka experienced a small 'baby boom' causing a significant shortage of available child-care facilities.

Donetsk

Policy field: Land use and environment

Type of tools: Laws and regulations

4. Environmental Legislation (+)

In the second half of the 2000s, the Donetsk city council executive embarked on a major campaign to protect the natural environment of the city from air, water, solid, and noise pollution generated by local mining and manufacturing companies, and to speed up the city's structural change away from heavy industries towards a services-based economy. A strict implementation of legal environmental protection standards and hefty penalty fines imposed by local authorities for non-compliance became the thrust of this successful policy.

Donetsk & Makiivka

Policy field: Land use and environment

Type of tools: Tax expenditure, tax relief, direct loan

5. Private investment in the re-usage of brownfields and buildings as shopping malls and entertainment centres (+)

Both cities can boast a number of successful flagship brownfield regeneration projects, including a removal a slag heap and the subsequent re-usage of the site as an IKEA retail outlet in Makiivka or a Donetsk City Shopping, Entertainment, and Business Centre constructed on a former industrial brownfield site in the late 2000s. The city executive has been the major actor in the process, searching for potential private investors, selecting between competing propositions, and actively facilitating the process of de-contamination and re-cycling.

Makiivka

Policy field: Municipal finance

Type of tools: Budget line

5. Abolition inner-city boroughs (+)

In 2001, as an efficiency savings measure, the city council of Makiivka pioneered the abolishing of inner-city borough councils, combining the financial resources of four local municipalities and cutting public administration costs. Subsequently, a large number of Ukrainian cities has followed this example, with the city of Donetsk planning to abolish its nine municipalities ahead of the 2015 local elections.

Donetsk & Makiivka

Policy field: Municipal finance

Type of tools: Budget line

6. Municipal taxation powers (+)

Since Ukraine's independence in 1992, local government leaders, predominately from the southern and eastern regions, have been campaigning for devolution of powers and a decentralisation of fiscal capacity across the country. In the last twenty years, Ukraine's local authorities have not only been able effectively to resist the centripetal tendencies of the national government in Kyiv, but have also gained substantial fiscal responsibilities as well as local tax-levying and -sharing powers. Ukraine's currently ruling political party – the Party of the Regions – have come into being in the late 1990s as a policy coalition of local east Ukrainian elites with the primary objective of gaining devolution and implementing further decentralisation and fiscal autonomy reforms. Despite a number of initial setbacks, the city councils of Donetsk and Makiivka (along with other major cities) have been able to benefit from the radical reform of Ukraine's public finance system and the introduction of a new Budget Code legislation in 2001 (revised in 2010).

Donetsk

Policy field: Municipal finance

Type of tools: Tax expenditure, tax relief, direct loan

7. Ignoring population loss in inter-budgetary transfers (-)

On average, almost a half of municipal budget revenues in Ukraine comes in a form of transfers from the central government. At the same time, a small number of cities and regions serve as net donors to the Consolidated State Budget, contributing more funds as transfers to the central government than they could receive back. The inter-budgetary transfer's formula is heavily geared towards considering output per head indicators as the primary measure of socio-economic health of a municipality. The formula used ignores both the decline in population and environmental degradation suffered by large, (post-)industrial, 'net donor' cities, including Donetsk, leaving them with insufficient funds to deal with profound challenges of urban shrinkage.

D15 Policy recommendations

We presented in the previous pages strategies and tools which are dealing with causes and consequences of shrinkage. Starting from these findings we have to indicate now some recommendations to policy makers. Certainly we are aware that not all recommendations will fit any type of shrinking city but they could be useful to improve the strategy to cope with such a complex issue like urban shrinkage. Since the administrative competences for dealing with shrinkage are embedded in multi-levelled approaches, the following recommendations are turned at the different institutional levels: regional and local, national and EU.

Sub-national level (local/municipal and regional)

Main suggestions are directed to sub regional levels. This is also due to the fact that the Shrink Smart Project was based on the study of the governance of urban shrinkage and many analyses were designed to describe the local institutional capacity and the availability of resources to solve shrinkage impacts.

Governance responses were different across countries as well as the efficiency of policy responses, therefore it has been possible to identify a set of indications for local policy makers which cover many dimensions: from the improvement of institutional capabilities in planning policy, to the enforcement of collaborative methods and participation in decision making, to the endorsement of an holistic and integrative approach to deal with the collective issue.

- Examples from the UK proved the positive effects of the alignment of regeneration policy with planning policy. The streamlining of policies made them more efficient; regeneration policy is a part of integrative planning policy.
- Good experiences were also made by establishing a professionalized agency/authority that is specialised agencies for local business, decontamination, land-preparing, housing etc. The precise form of such an agency of course depends from the country context. In the UK, it is often QUANGOS, in other countries rather authorities or stakeholders/enterprises authorized and financed by state bodies.
- An instrument to actively limit suburbanization and to strengthen urban housing markets is housing moratoria; moratoria are also applicable in other fields such as commerce etc. Recommended are also targets for the redevelopment of brownfield or greenbelt land.
- Based on UK or (eastern) German experience, the establishment of a coordinating, intermediating agency/across-sector-overseeing agency or individual is highly recommended to assure comprehensive planning and the coordinated handling of different actors' interests. Cross-sectoral monitoring is also important for a comprehensive view and assessment of problems and strategic planning.
- To provide a better balance of cooperation and competition and to look for cross-benefits, the establishment of multi-settlement-strategic planning is recommended, first and foremost for conurbations or neighbouring cities and regional connecting (experiences exist here from the Shrink Smart examples Halle/Leipzig, Donetsk/Makiivka, Sosnowiec/Bytom). Set incentives for regional networking and

cooperation, limit negative results of intra-regional competition with respect to actors and network building, efficient use of resources; strengthen urban networks.

- To strengthen participation, the involvement of affected stakeholders from the very beginning can reduce problems with NIMBYs, e.g. when it comes to demolition of buildings or compulsory purchase. Compulsory purchase order should be applied only in emergency cases; it has to be reflected carefully under which conditions CPO might be a solution. Experience with that stems from the UK.
- Since shrinkage faces all actors in a city with problems, it is important to involve the key actors /those actors who have something to say in a matter. Give all those actors a voice who have to say something important even if it means (in the short run) non-consensus, time delay, higher costs etc. Provide finances for moderation/mediation to ensure on-going communication.
- For shrinking cities, actors should be recommended to be sensitive to demographic changes in a holistic way because demographic issues are often reduced to a small number of dimensions, e.g. ageing, migrations etc. The same applies to actors at the national level.
- Maintain, expand and strengthen local government assets for local entrepreneurialism (avoid excessive privatization). Negative experience for the last mentioned issue stems from Germany with respect to cross-border leasing of municipal infrastructures.
- In some cases, we learnt it in Shrink Smart from Donetsk (Ukraine), it might have sense for a municipality to foster communication with major local private-sector players (in an ad-hoc and strategic way). Local authorities collectively should use corporate social responsibility (CSR) in their communication with big companies.
- Important is to improve knowledge management in public administration (improve capacity building, communication, information, cooperation etc., foster the integration of different sectors to come to comprehensive thinking). Related to this, it is crucial to integrate policy fields at the local level, this is a recommendation for cases where there is no such thing or cross-sectoral planning is not developed yet.
- Leave space for a “wait and see” approach towards vacant lots, brownfields, after-demolition places, vacant buildings etc. This is a lesson learnt in positive terms from cases where a good development took a while or in negative terms from cases where hasty action led to bad/non-sustainable results.
- Stabilize existing or established governance networks. Assure their long-term survival and flexible support; perpetuate structure where it makes sense, advocacy building for useful governance structures (also in times of financial constraints). This lesson stems from the German Stadtumbau (Urban restructuring) in eastern Germany.
- Highly recommended is also the strategic creation of land assets by the municipality for planning and comprehensive projects, experience stems here also from US cities.
- Shrinking cities are rarely promoted with respect to their offered opportunities. They should promote themselves more self-confident and should be promoted more actively by national/EU bodies. Innovative strategies for this purpose should be developed.
- Shrinking cities and regions such as Katowice or Sosnowiec in Poland made good experiences with Special Economic Zones facilitating investment and offering tax releases for a limited period of time. The creation of such zones might be an

opportunity also at other place but it has to be checked whether such an instrument is in line with EU law.

- For shrinking conurbations: municipal and regional strategic development goals have to be better linked and streamlined; a strategic dialogue has to be created (e.g. between administrative bodies of different municipalities within a region or an urban agglomeration, e.g. the association of Upper Silesian Cities (ZMG) in Poland).
- Shrinking cities should draw more attention to administrative borders and their changes (inclusions and exclusions) and the consequences for the involved municipalities. This applies e.g. to cities or urban regions that suffer from roaring suburbanization or urban sprawl.

National level

The following list of recommendations refers to the national level. The national decision making and the political regulation system (federal, decentralized, centralized, etc) have influenced the structure of the power and institutional competences in the dealing with shrinkage. Furthermore national programs and national investments have been crucial in every case study to define strategies and policy instruments. This confirms the strong connection between different institutional levels in the current process of institutional change.

Several solutions proposed are thought to enforce the role of coordinating and guideline of national government improving the devolution system and appropriate financial support of regions and cities.

- Experiences from different countries (UK, Germany) show, that time-limited grants, subsidies, or programmes are appropriate means to give an impulse for a new development in shrinking cities. Examples are for instant so-called international building exhibitions (IBA) from Germany, regeneration programmes from the UK or contributions to EXPO events or others. A time-limitation to these programmes are useful, but not short-term, better midterm (5 to 10 years) to set impulses for a development.
- Being sensitive to demographic change in a holistic way, because demographic issues are often reduced to a small number of dimensions, e.g. ageing, migration. Needed is a demographic mainstreaming of policy, a “demography check” = a check of policy according to a variety of criteria. Include other dimensions of demographic change such as household changes etc.
- Because of the tight budgets the improvement of the devolution system and appropriate financial support is decisive for shrinking cities. Give cities more competence; make sure that cities do not lose their financial and decision-making autonomy. Create emergency funds or “rescue umbrellas” and set incentives for shrinking cities to be more flexible and retain a share of personal income and cooperate taxes.
- Shrinking cities frequently suffer from financial problems and have (very) restricted budgets. They are often not able to apply for national or EU-funds, because they cannot cover the needed equity ratio. So unconditional or flexible grants could be a mean to make them capable for action. The only condition for these grants should be that their use is forbidden for debt retirement.

- Restricted budgets constitute one of the most serious problems of shrinking cities, for this reason they are often “creative” in finding new financial opportunities. To avoid further indebtedness and financial risks it is necessary to forbid speculative borrowing (like Cross Boarder Leasing) and to control local municipal financial engineering. Instead of promote portfolio investments in municipal assets (dept-control).
- The installation of a coordination platform or network infrastructure for shrinking cities on the national level can support local activities, strengthens networking, capacity building and knowledge-transfer. A good example is the transfer agency “Urban Restructuring East” (Bundestransferstelle Stadtumbau-Ost) in Germany. This national funded agency is an instrument to steer urban restructuring in shrinking cities.
- Whereas big cities are in the focus of research and policy in most of the European countries, special attention should be given to medium and small-sized cities. These cities have less resources and capacities but they are crucial to maintain the fine-meshed urban grid in their countries. This would be an important contribution to national cohesion policy as well.
- The redistribution of national government offices in shrinking cities could be an instrument to produce jobs in the public sector and strengthen the local labour market. In addition it can contribute to the capacity building in the resp. cities.
- To create more acceptance and positive recognition of potentials of/in shrinking cities it is necessary to strengthen the public debate to this urban issue. Means can be the development of event-related promotion and PR in favour of shrinking cities like International Building Exhibitions (IBA) in Germany or cultural/arts-projects like the European-American project “Shrinking Cities” (2002-2006). Public and media-related activities can change the negative perception of shrinking cities and not at least mobilise civil society and public participation.,
- Upscale and streamline the problem of brownfields and decontaminations from the city- to a national level. Experiences from the UK with programmes like blueprint could be function as good examples for other countries. Another possibility to promote brownfield-revitalisation with sustainability goals are research programmes like the public-funded German REFINA-programme. Within this programme the federal government supports the exchange between research and planning practise and capacity building.

EU level

The European institutional level is playing an important role in the ability of cities to react on shrinkage. Many programs (Urban, Eurocities, Social City) and many funds (ESF, EFRE) have been used by countries to carry out policy actions such as urban regeneration, social cohesion and regional development investments. Looking to the Europe 2020, we propose several indications to the European Commission asking to maintain its support at the shrinking cities in their run to well-being, to growth and to employability.

- A first recommendation refers to the spatial localisation of EU-policies. Due to the fact that urban shrinkage is most pronounced in Eastern Europe, but capacities and resources to cope with shrinkage are rather rare in Eastern European countries and cities EU-policies and –programmes should be concentrated to the new member states. This means not only funding but capacity building and agenda-setting as well. The EU can play an important role to bring the problem of urban shrinkage to the public agenda in European countries,

in particular in the East. The continuation and specification of INTERREG IV B could be an appropriate framework.

- In connection with this the creation of independent knowledge-capacities can encourage shrinking cities in Europe. Urban shrinkage should be integrated into the agenda of the Joint Programme Initiative Urban Europe to promote scientific research and capacity building. The expertise gained from international resp. EU projects can be the base of capacity building and the exchange of knowledge and experiences. The installation of a coordination-platform or network-infrastructure for shrinking cities on the EU-level can support EU-activities.
- A specific task could be to build ad hoc advocacy for emergency-situations for several shrinking cities. This can be in form of teams of experts and/or funds for unforeseen events or crisis.
- Whereas big cities are in the focus of research and policy special attention should be given to medium and small-sized cities. These cities have less resources and capacities but they are crucial to maintain the fine-meshed European urban grid. This would be an important contribution to the EU- cohesion policy as well.
- Following the former URBAN-programmes of the EU (URBAN I 1994-1999 and URBAN II 2000-2006), the constitution of a similar programme with focus on shrinking cities can be a mean to cope with this problem. This could be embedded within the Joint Programme Initiative URBAN EUROPE and promote the implementation of national or regional funded locally based programs and initiatives.
- Another possibility is to spent unconditional grants for shrinking cities, because they are more flexible. In addition the ERDF regulation for the program-period 2014-2020 should allow the use of unconditional funds for shrinking cities.
- The Joint European Support for Sustainable Investment in City Areas (JESSICA) should be used to improve the situation of shrinking cities in particular in Eastern Europe. With the assistance of this programme exemplary and sustainable approaches and solutions could be elaborated, making brownfield revitalisation as a starting point of resurgence.

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Appendix

TEMPLATE

Please answer concisely the following set of questions for each city region under investigation:

A. (D13 Transferable set of strategies)

A.1. What kind of relevant development strategy or set of consecutive strategies was/were formulated and implemented in respective shrinking city region 1990-2011? What were the priority fields of the strategy/strategies?

Please, here take into account especially implemented strategies because we will have derive tools and policy recommendations! In addition, please mention strategies which were formulated (agenda set, policy formulated), however not implemented because of lack of resources as well.

A.2. Did the concrete strategy (or particular successive strategies) deal explicitly with causes / consequences of urban shrinkage (e.g. population losses, ageing, unemployment, brownfields, vacancies, spatial social segregation, budgetary deficits, underused infrastructures etc.)? Did the strategy/strategies deal with consequences of urban shrinkage implicitly or in any other way? Did the strategy/strategies not mention the necessity to deal with urban shrinkage at all?

B.(D13)

B.1. The implemented strategy/ies in the respective shrinking city region 1990-2011, was a **modernization „growth“ strategy**, „ignoring shrinkage“? If, Yes. Then, what priority challenges should the strategy deal with? What were the major measures and tools of the strategy / strategies?

B.2. The implemented strategy/ies in the respective shrinking city region 1990-2011, was a strategy, which **accepted shrinkage and decline** („strategy for decline“) as a new normality? If, Yes. Then, what priority challenges should the strategy deal with? What were the major measures and tools of the strategy / strategies?

C.(D13)

C.1. Was/were the implemented strategy/ies so called **exogeneous strategies** based on attraction of external resources such as finances (investments, grants provided by EU, national-state/central government, state, region), skilled people, know-how and best practices etc.?

or

C.2. Was/were the implemented strategy/ies so called **endogeneous strategy** better utilization of indigenous resources and mobilization of so far unused/underused potentials (such as Regional innovation strategy)?

C.3. Mixed strategy/successive strategies – special combination of both above mentioned

D. (D13)

Here please, try to describe the partial strategy! Mention NO action as well.

D.1. Was/were the implemented strategy/ies focused on **elimination of causes of shrinkage**? What kind of causes should be eliminated e.g. through new governance dealing with ?:

- D.1.1. Economic decline, deindustrialization and job-related out-migration
- D.1.2. Demographic change (e.g. answer: NO action, no strategy or tools)
- D.1.3. Suburbanisation
- D.1.4. Environmental damages and unattractiveness (natural and social environment)
- D.1.5. Political and administrative changes
- D.1.6. Others

D.2. Was/were the implemented strategy/ies (and tools) focused on facing the consequences of urban shrinkage? Please describe concisely the general/partial strategy dealing with the partial consequence? What were the concrete tools in the respective problem field?

- D.2.1. Loss of population due to demographic change (ageing, low birth rates, downsizing of households, specific in- and out-migration)
- D.2.2. Vacancies (housing, vacant buildings for retail, offices etc.)
- D.2.3. Social segregation polarisation and growing socio-spatial differentiation (e.g. ethnic ghettos)
- D.2.4. Economic decline, labor market (high unemployment, brain drain, skills mismatch)
- D.2.5. Brownfields, emergence of unused, dangerous and unattractive parts of a city
- D.2.6. Unused or underused social and educational infrastructures (nurseries, elementary schools, secondary schools etc.) and need for new social infrastructure due to ageing
- D.2.7. Unused or underused physical infrastructures and facilities (transport infrastructures; gas, electricity, water pipelines; sewages, sport and cultural amenities, deteriorated built environment etc.)
- D.2.8. Shrinking budgets due to loss of population
- D.2.9. Urban sprawl and suburbanisation as unsustainable development
- D.2.10. Other consequences

E. (D14 Toolbox)

Here please, describe the tools/instruments

E.1. The tools/instruments dealing with causes of urban shrinkage

- E.1.1. Economic decline, deindustrialization and job-related out-migration
- E.1.2. Demographic change (e.g. answer: NO action, no strategy or tools)
- E.1.3. Suburbanisation
- E.1.4. Environmental damages and unattractiveness (natural and social environment)
- E.1.5. Political and administrative changes
- E.1.6. Others

E.2. Here please, try to describe the tools/instruments dealing with consequences of urban shrinkage in Your respective shrinking city as concisely as possible mentioning briefly the context of a strategy and governance (who are the implementing actors?) as well!
Do not forget: it is the most important part of WP7

- E.2.1. Loss of population due to demographic change (ageing, low birth rates, downsizing of households, specific in- and out-migration)
- E.2.2. Vacancies (housing, vacant buildings for retail, offices etc.)
- E.2.3. Social segregation polarisation and growing socio-spatial differentiation (e.g. ethnic ghettos)
- E.2.4. Economic decline, labor market shortages (high unemployment, brain drain, skills mismatch)
- E.2.5. Brownfields, emergence of unused, dangerous and unattractive parts of a city
- E.2.6. Unused or underused social and educational infrastructures (nurseries, elementary schools, secondary schools etc.) and need for new social infrastructure due to ageing
- E.2.7. Unused or underused physical infrastructures and facilities (transport infrastructures; gas, electricity, water pipelines; sewages, sport and cultural amenities, deteriorated built environment etc.)
- E.2.8. Shrinking budgets due to loss of population
- E.2.9. Urban sprawl and suburbanisation as unsustainable development
- E.2.10. Tools dealing with other consequences

F. (D15 Set of policy recommendations)

Policy recommendations and recommendations for establishment of new governance arrangements

F.1. What strategy, tools and instruments (or best practice) dealing with consequences of shrinkage **can You recommend to other/all shrinking cities as good/best practice?**

F.2. What kind of **new governance arrangements** at different hierarchical levels (EU, central state, region, municipality) can be recommended to better deal with consequences of urban shrinkage?

F.3. What strategies, tools and instruments have been **appropriate only for Your city region?** But they **can not be recommended** due to their specificities and distinctiv contexts. And why not?