Conservation Plans: Understanding Historic Cultural City and Stakeholders' Perceptions

by

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AUTHOR'S DECLARATION

I hereby declare that I am the sole author of this thesis. This is a true copy of the thesis, including any required final revisions, as accepted by my examiners.

I understand that my thesis may be made electronically available to the public.

Abstract

Urban planning intended to conserve cities' valuable past, both areas and structures, is challenging due to the need to find a balance between preserving urban heritage and fulfilling development needs. In China, efforts to preserve cities designated to be Historic Cultural Cities (HCCs) are affected by HCC planning mechanism (HCCPMs), which have been developed to protect the cities' significant value as a whole. In this study, policies in HCC conservation plans are evaluated on their amount of detail and are compared to stakeholders' expectations. A case study is carried out for areas in the City of Beijing. Findings of this study include the following: a general level of the detail used in HCC conservation plans; this level of detail ranges distinctively in various policy categories and HCC classes; stakeholders desire a higher level of detail than currently exists in the conservation plans; different expectations exist among stakeholder groups (residents, participants from the central districts, and participant without planning knowledge). Five statements can be reflected from the general level of detail: 1) urban conservation is not a primary concern in HCCs; 2) plan objectives were achieved in HCC plans; 3) the public did not effectively impact planning decisions; 4) little financial and human resources support exists for conservation activities; 5) the written legislative guidance is inaccurate. The differences in stakeholders' expectation and the current plans reveal the failure to achieve public participation goals such as transparency and democracy. Recommendations are provided on improving plan quality and public participation in Historic Cultural Cities to better serve for urban conservation in Chinese cities.

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Dedication

To all the fighters timelessly working to protect the valuable pasts of our cities.

To my parents.

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Chapter 1

Introduction

Chapter 1 of this study consists of three parts. First, an overall introduction of this study including purposes, rationale, and overall approach will be explained. Second, the background topic essential for this study, including classification of Historic Cultural Cities, socio-economic background, and an introduction of the study area – the Old City of Beijing – will be provided. Third, objectives and research questions will be stated.

1.1 Overall Approach

It is challenging for many urban areas to properly deal with the valuable legacy of cities (Tiesdell, Oc, & Heath, 1996). This legacy of cities, which the term “cultural heritage” describes, refers to “inherited property” and includes “monuments, groups of buildings and sites with historical, aesthetic, archaeological, scientific, ethnological or anthropological value” (UNESCO World Heritage Center, 2008). In the Ontario planning domain, a cultural heritage landscape is “the area of heritage significance which has been modified by human activities” (Ministry of Municipal Affairs and Housing, 2005, p. 29). The concept of historic urban quarters is also introduced. They include physical evidence of the cities’ past, as well as the history of urban communities. A large number of historic urban quarters face threatening challenges brought by urban development, and tend to deteriorate physically or be completely destroyed (Vehbi & Hokara, 2009). In China urban development as a result of globalization intensely threatened the urban heritage

nationwide. Therefore the issues relating to urban conservation became increasingly predominant in planning domain (Qian, 2007).

Urban preservation and conservation have emerged as tools used to mitigate further negative impact on the cities' valuable past. The international charters created by the International Council on Monuments and Sites (ICOMOS) define conservation to be "any process to look after a place so as to retain its cultural significance" (ICOMOS, 1999, p. 2). ICOMOS is an academic organization focusing on researches and studies of urban conservation and heritage preservation, and is an affiliate of United Nations Educational, Scientific and Cultural Organization (UNESCO).An examination of the international charters complementary to the UNESCO World Heritage Conventions helps one build the understanding of the changing notions in urban conservation (Khirfan, 2010). From the first published international charter, the Athens Charter in 1931, to the Venice Charter in 1964, the 1987 ICOMOS Charter on the Conservation of Historic Towns and Urban Areas, and finally the Burra Charter in 1999, it can be identified that the agenda of conservation planning had evolved from monuments to the their large surrounding areas. Furthermore, conservation activities had even transcended concerns over physical structures (Khirfan, 2010). It was conducted for physical, spatial, and social purposes (Nasser, 2003), with focuses on preservation of individual buildings, conserving the space and function of a city as a comprehensive entity, and relationship between the built environment and local population. The international guidelines used in this thesis align with the charters developed from the International Council on

Monuments and Sites (ICOMOS).

Urban redevelopment and “the co-existence of unprecedented awareness and damages” remain the principal threat to urban conservation in China (Qian, 2007; Zhang, 2011, p. 56). Most Historic Cultural Cities face the fact of “partial improvement and continuous deterioration” (Zhang, 2011, p. 56). The concept of historic district conservation was initially introduced when the second list announced by the State Council in China, intending to mitigate conflicts between urban development and conservation of cities with legacy (Zhang, 2011a). The Historic Cultural City planning was issued by the Ministry of Urban and Rural Construction and Environment in 1983 and ever since the historic city conservation was viewed as an issue of urban planning. The concept of Historic Cultural City originated from the concern of preserving heritage at city-scale among municipal governments (Abramson, 2007). It either refers to Historic Cultural City as planning mechanism or designated cities that are named “Historic Cultural City”. To clarify these two meanings, in this thesis, HCCPM stands for Historic Cultural City planning mechanism, while HCC stands for Historic Cultural City as actually designated cities. The State Council has also promulgated statutes, including the PRC Urban Planning Act (1990) and the PRC Environment Protection Act (1990) regarding historic district conservation to set up legal support for urban conservation in China. The Regulations on Plan Making for Famous Historic Cultural Cities (1994) is the legal step in integrating historic conservation into urban planning (Qian, 2007).

To Chinese cities, the combination of urban conservation and urban

development was the reason and purpose of conservation planning. The PRC Urban Planning Act (1990) determines that urban master plans should aim to conserve historic relics, traditional urban features, and local identity. Urban planning plays a significant role in conserving activities in HCCs as it functions in coordinating and controlling urban spatial distribution. Through urban planning efforts, the following conservation purposes are expected to be accomplished (Ruan, et al., 1999):

1) The historic background and current situation of HCCs can be analyzed and summarized, strategic planning and main development direction determined, and conservation practice implemented through urban master plans;

2) Conservation of the urban environment can be conducted by setting reasonable urban land distribution, height limit on buildings, and road systems;

3) Education of local residents on conserving valuable legacy can be achieved;

4) Conservation standard can be established in the legal system.

Conservation should be guided by previous work on evaluation and planning. The conservation effort mainly addresses the heritage value and significance of the conserved place through developing conservation policies and defining the scope of conservation work (ICOMOS New Zealand, 2010). The Burra Charter states a clear description of conservation planning process, which include:

1) A statement of significance;

2) A conservation policy according to the understanding of significance; and

3) Management according to the policies (ICOMOS, 1999).

The main objectives of planning for conservation is to identify, protect, and manage the significance of that place. As urban heritage features are diverse in different locations, the importance of unique heritage conservation practice to each region is addressed (Qian, 2007).

As the HCCPM arose with Chinese professionals, the definition of it will align with the *Code of Conservation Planning for Historic Cities* promulgated by the Ministry of Housing and Urban and Rural Development of the State Council. According to the code, HCCs are defined to be “cities rich in cultural relics and are of significant historic values” (CAUPD, 2005, p. 3). Conservation plans, as tools to guide conservation activities in cities, are the subject plans of urban master plans. The content in conservation plans is thus vital as it offers guidance in HCCs, which will be one of the main focuses of this study.

Generally, plans created for any purposes would work well with high quality of plan content, and plan evaluation is expected for monitoring plan quality consistently. Plan quality relates to the process of plan making, which is also the reason for the predominance of this issue in planning domain since the 1990s (Berke, et al., 2006). Numerous studies have attempted to demonstrate plan quality by identifying factors that cause effective plans (Berke, et al., 2006; Berke & Godschalk, 2009; Tang & Brody, 2009; Baer W. , 1997; Kaiser, Godschalk, & Chapin, 1995). By understanding plan quality, one can evaluate a plan on whether it reflects legitimacy during planning process. Legal documents, guidelines, and ordinances directing conservation plans of HCCs will also be

explored in this study to understand the basic concern and logic of the contents of conservation plans (CAUPD, 2005; China ICOMOS, 2002; The State Council of China, 2008).

Urban conservation needs to consider multiple stakeholders. Besides balancing development and conservation, it is also vital for conservation activities to create environments that fulfill the daily needs of local residents (Khirfan, 2010). Thus public participation is critical to be examined in order to determine the quality of conservation planning. In this study, perceptions of the public on how conservation plans of HCCs should be will be explored. Further information on the multiple stakeholders' opinion of HCCPM will also be obtained and studied.

Based on previous studies on urban conservation, plan quality and evaluation, as well as public participation, this study explores how current conservation planning tools act in the planning process in a conformance-based manner. The multiple stakeholders' contribution to conservation planning is linked to existing mechanisms through comparisons of both quantitative and qualitative forms. This study examines policies on urban conservation in China at a municipal level, and tries to reveal the differences between urban reality and existing plans.

1.2 Background Topics

The classification of HCCs, the social-economic background of urban conservation in China, and a brief introduction of case study will be introduced. Historic Cultural Cities were undertaken as the theme of this thesis. By the year of 2012, there are

totally 119 HCCs designated for conservation. In the system of HCCPM, hundreds of Historic Cultural Districts (HCDs) are also contained. All the HCCs and HCDs are managed by the combination of Ministry of Housing and Urban and Rural Development and Ministry of Cultural Relics of the State Council.

1.2.1 Classification of Historic Cultural Cities

The "Historic Cultural Cities" (HCCs) is defined by *Law of the People's Republic of China on the Protection of Cultural Relics* as "cities rich in cultural relics, and with high value and significance in revolutionary history". The HCCs aim to emphasize the characteristics of each listed city and to encourage the creation of conservation plans. By grouping the cities with similar characteristics one can distinguish HCCs with different characteristics and look for methods of conservation for each group. Classifications of HCCs are the result of such grouping.

It is understood that classification of HCCs is not a goal but a medium of conservation. Criteria of setting HCC classifications can be targeted according to conservation objectives and help decide the method of conserving HCCs according to their characteristics, styles and features. The basic purpose of classification is to help clarify the direction and target of conservation actions (Ruan, et al., 1999).

There are two ways to classify HCCs. One is to group HCCs based on their common characteristics and the other is based on the physical situation of HCCs. According to the first way of classifying HCCs the cities can be divided into seven types: the ancient capital-HCCs, traditional style-HCCs, scenic spots-HCCs, local featured

HCCs, modern historic HCCs, specific function-HCCs, and HCCs with historic sites (Ruan, et al., 1999). Table 1-1 describes each HCC type in detail.

Type of HCC	Description
The ancient capital city	Cities as the historic relics of capital city of past era, which is featured for the style of ancient capital city;
Traditional style cities	HCCs with complete retention of built environment for a period of time;
Scenic-spot HCCs	HCCs featured by natural environment. Cities show their distinct characteristics with natural and built landscape;
Local featured HCCs	HCs which cityscape featured by unique characteristics caused by localization and history;
Modern historic HCCs	HCCs which characteristics reflecting the history of a certain period;
Specific-function HCCs	Some features of HCCs are significantly impacted by certain functions (industry) of these cities;
HCCs with historic sites	HCCs with historic sites dispersed at different locations in the cities.

Table 1-1: Types of Historic Cultural Cities (Adapted from Ruan, et al., 1999)

According to the integrity and location of the conserved areas, the following classification can be defined (Ruan, et al., 1999):

1) Complete or well protected the ancient cityscape;

2) Partial complete ancient cityscape; and

3) Barely exiting ancient cityscape.

HCC Condition Class	Relevant Resolutions
Complete or well protected the	comprehensive method of conservation is

ancient cityscape	expected
HCC Condition Class	**Relevant Resolutions**
Partial complete ancient cityscape	The urban morphology of the conserved area in HCCs is worthy protected
Barely exiting ancient cityscape	Some original communities with ancient style remain in the city.

Table 1-2: Conditions of HCC and Relevant Resolutions (Ruan, et al., 1999)

Table 1-2 listed the three categories and the brief description of conservation method corresponding to each category. Features of cities and the complexity of situations of HCCs vary, therefore different methods and focuses of conservation are expected. The general objective of classifying HCCs is to group cities with similar characteristics, to understand the fundamental problems of each type of HCCs, and to look for solutions. These following types and relevant conservation methods will not be elaborated, as this kind of grouping HCCs will not be the focus of this thesis.

1.2.2 Socio-Economic Background of Urban Conservation in China

After the market reform and revival of land property development in the 1980s, enormous changes occurred within the Chinese urban built environment, as well as in its institutional and administrative fields. Changes of various aspects triggered intentions to maximize the economic potential of urban land, with the consequences of destruction of older buildings in the inner-city and displacement of population from the urban core (Fang, 2000). This destructive phenomenon continued with the project of renewing “old and dangerous houses”, which prompted broad criticism. In response to these critiques,

many municipal governments announced preservation policies to support conservation through adding funds and control of displacement. Urban conservation came out in such a social-economic background (Ren, 2011).

Chinese urban areas have unique physical context. The inner-city of Chinese cities did not experience decline like Western downtown areas. The function of city core land was defined by Mao's postwar policies which addressed turning the city center into areas for both production and residence. Hence building complexes of manufacturing continuously emerged in the inner-city (Qian, 2007). To date, inner-city has remained the center of political, economic, and social issues in China.

1.2.3 Case Study Introduction

Beijing is the capital city of China, with a history of more than 3000 years since it was first established. The Old City of Beijing, which also refers to the area of historic districts, is the foundation for the development of the city. The "Old City" in this study refers to the inner-city historic area circumscribed by the second ring road of the city. In figure 1-1, the area within the red Line shows the locale of the Old City of Beijing. This area is composed of the northern part built between 1409 and 1420, and the southern parts constructed between 1521 and 1566 (BDD, 2006). According to American architect Bacon, the Old City of Beijing is recognized as one of the greatest masterpieces of urban planning in the world (Wang, 2011). Since the foundation of the People's Republic of China, the city of Beijing has undergone hasty demolition due to industrialization and rapid construction. This experience extensively threatened physical and social structure

of the Old City of Beijing, and has caused the traditional urban structure of the Old City of Beijing to collapse (Fang, 2000). The demolition of the old city wall of Beijing is an example of such heritage structure that has been torn down. The old city wall of Beijing was initially constructed in Yuan dynasty (1271 AD – 1368 AD) and was completed in Ming dynasty (1368 AD – 1644 AD). It was about 30 kilometers in circumference, eight meters in height, and was built with rammed earth. In total 47 gates were built on the city wall (see figure 1-2). During post-World War II period, although the initial conservation system had been gradually established through introducing heritage ordinances, creating administrative agencies, and developing heritage research centers, tangible and intangible heritage was viewed as the obstacle of development and was against the political philosophy of the leadership at that time (Qian, 2007). Demolition of the old city wall started in 1952. Now, only three gates and a small fraction of the city wall remain (see figure 1-3).

Figure 1-1: The Old City of Beijing (Source: Google Map)

Figure 1-2: Zhengyang Gate in Early 20th Century (Source: Tinder Lamp)

Figure 1-3: Zhengyang Gate after 1949 (Source: Tinder Lamp)

The Old City of Beijing consistently dealt with numerous problems involving the decline in this historic area. To prevent increasing deterioration of the urban fabric and social connections, the municipal government has been planning urban renewal since the 1980s. Qianmen area was one of the most vibrant commercial districts since Ming dynasty in Beijing (see figure 1-4). However during the past few decades, Qianmen had

undergone rapid decline which is mainly attributed to ownership problems of the historic residences (Wang, 2008). Although this area was designated as Historic Cultural District in 2000, a whole-scale redevelopment was conducted in Qianmen starting in 2006 and completed in 2008 (see figure 1-5).

Figure 1-4: Qianmen Street was One of the Most Vibrant Commercial Streets in Beijing, Picture Taken in the Early 20th Century (Source: Tinder Lamp)

Figure 1-5: Qianmen Street after Whole-scale Redevelopment in 2006 (Source:

CITS)

Rapid urban development has resulted in a consistently growing population in the Old City of Beijing in the past decades. Large number of people flooded into residential areas to access comparatively more job opportunities. With most original residents remaining, the population density in the residential areas became considerably higher within a short period. The high density directly caused a crowded living environment and limited housing, all of which contribute to a substantial deterioration of living conditions in the Old City of Beijing (Jin, 2009). Overcrowding leads to another problem in terms of the residential environment in the Old City of Beijing. The original residents grew in numbers over the generations and remained to live in the same house. It was common for two or three generations to stay in the same room, with an average of three or four square meters of space for each family member. The resulting lack of privacy is an apparent problem for these same reasons (Jin, 2009). This severe situation of daily life led the researcher to investigate present conservation systems in the study area. It has involved, in part, asking the local population to provide their actual perceptions of the conservation mechanism in the places they live.

1.3 Research Questions, Objectives, Significance, and Methodology

The general purpose of this study is to gain a comprehensive understanding of urban conservation in a Chinese setting. Specially, the current conservation plans of the Historic Cultural Districts that have been designated within the Historic Cultural City of Beijing will be examined, in relation to the perceptions of multiple stakeholders. To

elaborate the main topic, the level of detail on policies presented in conservation plans of HCCs will be compared with the level of detail stakeholders desire to be included in plans. This study aims to gain insights into present actions regarding conservation planning and public participation.

Central research question:

What is the difference between the level of detail of policies presented in conservation plans of Historic Cultural Cities and the level of detail that stakeholders expect in policies of conservation plans?

Sub-research questions:

1. Is there a difference among conservation plans in terms of level of detail of policies?
2. Is there a difference among different stakeholder groupings in terms of level of detail of policies they expect?

This study examines conservation mechanisms in China through plan evaluation techniques introduced by Western scholars. It is assumed that the objective content of Historic Cultural City conservation plans could be measured in a quantitative form. This study also attempts to create a connection between the multiple stakeholders in HCCs and the planning process, which stresses public participation in conservation activities in the study area.

The overall strategy focuses on a case study of the City of Beijing, China. Using IBM SPSS analysis, stakeholders' opinions are analyzed in terms of their expectations of HCCPM. The quantitative data collected from the study area is compared according to

participants' stakeholder group, knowledge and location. The quantitative research focuses on selected Historic Cultural City conservation plans that had influenced conservation actions at a city level. Plans are measured by conservation policy frameworks developed by international charters, national charters and national conservation codes. The qualitative research focuses on key informants in-depth perceptions on their understanding and expectation of HCCPM. The results of this empirical research aim to supplement multiple stakeholders' perceptions with elaborate information, with the hopes of revealing potential gaps between the effectiveness of conservation actions and conservation goals in Chinese cities.

1.4 Organization of the Study

This thesis is organized into six chapters. Chapter 1, the introduction, describes the overall approach and background of the study, and proposes research questions. Chapter 2, literature review, examines literatures on the topics related to this study: urban conservation, the Chinese experience of conservation, plan quality and plan evaluation, and public participation. Chapter 3, methodology, demonstrates three stages of data collection. In each stage, sampling method, research instrument, and data analysis are explained. Chapter 4, results, describes what is found through analyzing data collected in an objective manner. In Chapter 5, discussions, results of data analysis will be explained in various perspectives, with the comparison of information explored during literature review. In Chapter 6, recommendations, overall findings will be summarized, limitations of the study will be explained, and recommendations on future studies will be provided.

Chapter 2

Literature Review

Chapter 2 of this thesis, the literature review, consists of five sections. First, general aspects of urban conservation will be introduced. Second, urban conservation specified in Chinese situation will be explained. Third, conservation plans will be described. Fourth, literature on plan quality and plan evaluation will be summarized. Fifth, issues of public participation will be stated.

2.1 General Aspects of Urban Conservation

The International Council on Monuments and Sites (ICOMOS) is a professional association founded in 1965. It aims to conserve and protect heritage places worldwide (ICOMOS, 2011). The United Nations Educational, Scientific and Cultural Organization (UNESCO), which is a specific agency of the United Nations (UN), operates programmes concerning cultural heritage (UNESCO, 2011). International charters set out by UNESCO and ICOMOS were viewed as they guide the trends of conservation practice world-wide and define the meaning of conservation, heritage value, and significance. According to Lisbeth Saaby (1997) and Ken Taylor (2004), both on national and international levels, charters influence conservation practice through establishing a moral sense and directing ethics (Shipley & Kovacs, 2005). The drafting and release of charters over time were the milestones of the evolution of conservation practice. For instance, the Athens Charter created in 1931 set the principles of conservation practice for the very first time. The Venice Charter released in 1964 emphasized on protecting

physical relics of heritage sites. The Burra Charter created in 1999 made further effort in defining the principles, processes, and practice of conservation. It set guidelines in detail for creating cultural significance and conservation policies.

2.1.1 Heritage and Urban Conservation

Heritage can be viewed as "a process of engagement, an act of communication, and an act of making meaning in and for the present" (Smith, 2006, p. 3). It is a multi-faceted concept. Various meanings of historic buildings may have different intentions (Henderson, 2011; Smith, 2006). Heritage is defined by the UNESCO World Heritage Center as a legacy from the past that serves both current and future generations. Heritage needs to be identified by official bodies such as UNESCO World Heritage. Meanwhile, many governments also establish legal instruments for protection purposes (Henderson, 2011).

Heritage conservation allows rehabilitation of the original built form that may appeal to new users but maintains its heritage value at the same time (Elsorady, 2011; Fram, 2003). It undertakes development within the existing resources (Elsorady, 2011; Jokilehto, 2006). In the practical process, conservation provides support on restoration work and to assure the quality of the built heritage (Elsorady, 2011; Stovel, 2002). Maintenance and management of heritage can also be made through conservation as it is a process of safeguarding heritage resources (Elsorady, 2011; McKercher, Ho, & Cros, 2005). However, many heritage property owners are concerned about conservation causing the economic value of their property to decline (Elsorady, 2011; Nahkies, 1999).

Heritage management is a social process, and should always involve human elements (Nyaupane & Timothy, 2010; Hall & McArthur, 1993). Heritage management requires four steps: 1) background study, 2) documentation, 3) significance and integrity evaluation, and 4) determining and interpreting. World Heritage Conventions were utilized as the international legal instrument that ensures conservation theory to be implemented in practice. (Akagawa & Sirisrisak, 2008). The implementation of urban conservation relies on various factors, such as politics (Elsorady, 2011; Sirisrisak, 2009). Authorities are responsible for decision making on the method of protection or demolition of heritage (Henderson, 2011). During the process of conservation, a range of stakeholders will be involved. As one of the stakeholders, the heritage property owner, are highly expected to make efforts to support sustainable urban conservation (Elsorady, 2011).

Urban conservation is becoming a popular field worldwide. For example, ICOMOS New Zealand interprets cultural heritage as heritage of diverse cultural significance. It significantly relates to human activity (Turnpenny, 2004). In South Africa, conservation management plans for conservation practice are required by legislations and management authorities, in order to identify and protect heritage value. It mainly focuses on protecting the physical fabric of heritage (Deacon, 2004). On the other hand, many heritage sites in the East, especially ones not listed in World Heritage, were underestimated in their heritage value as there is lack of understanding (Elsorady, 2011; Zhang, 2010).

2.1.2 The Chinese Experience

While the physical structures of the built heritage can be quantified, other heritage value is not easily measured objectively. The significance of heritage value needs to be understood and underlined with governments in Asia (Fang, 2000; Taylor, 2004; Qian, 2007b)**.** Cultural heritage management helps clarify the reason for conserving a certain culture. It is a key issue in Asia that people tend to value culture in a spiritual way (Qian, 2007b). According to the Asian culture, memories of the past are more important than the physical fabric of built heritage. However, conservation of physical fabric is an integral part of the management of a place of cultural significance. During the conservation process, the evaluation of heritage significance was the most crucial step. Less intervention is preferable. Charters and principles provide guidelines for conservation practice, and establish important implementation step (Landorf, 2011). The guiding methodology, together with the national legislation of protecting heritage, sets up the conservation system on the national level (Taylor, 2004).

In the early 1980s, heritage officials created a national register and national heritage laws to establish the legal foundation of heritage conservation in China. The concept of heritage conservation in China was firstly inspired by international expertise. Specifically, the Burra Charter, authored by ICOMOS, has had great influence as it emphasizes the significance of heritage sites and conservation of the living community. Urban conservation officials in China had been seeking well-accepted conservation principles to manage conservation practice in China. It is believed by the State

Administration for Cultural Heritage (SACH) that international principles should be appropriate to conservation practice in China, and should be in accordance with national guidelines (Qian, 2007b). International charters concentrating on conservation in China, such as Principles for the Conservation of Heritage Sites in China (The China Principles) represent a milestone of effort of establishing internationally accepted guiding theories particularly for Chinese situations. The China Principles address the authenticity of the physical structure of a heritage site through prescribing detailed requirements for the conservation process (China ICOMOS, 2002). Guidelines such as the China Principles state strict conservation methodologies while the implementation of these principles is flexible. The China Principles were authored by ICOMOS China and are supervised under SACH**.** The adoption of China Principles involves high levels of government engagement and they have to be approved by SACH before they can be used in real operations in conservation practice.

The process of composing China Principles is unfamiliar to most planning professionals because of the top-down system. This type of system of conservation management in China brings up two main issues in conservation practice: 1) there is a lack of independence of both professionals and organizations in the heritage conservation field, 2) conservation professionals are usually forced to implement certain conservation practices to comply with government interventions. The conservation management system in China is also multi-departmental, which also causes problems such as gaps in conservation policies. However, to date, the China Principles are the most systematic

conservation guidelines in China, and provide a detailed methodology of conservation (Qian, 2007b).

2.2 Urban Conservation in China

In this section urban conservation literature will be examined. It will be divided into three sub-sections: firstly, background and current conditions; secondly, conservation mechanism; thirdly, the current gaps in urban conservation in China.

2.2.1 Background and Current Condition

Under the direction suggested by market-oriented Reform and Opening policy, the concept of rationalizing urban planning was conceived, also affecting the orientation of historic preservation in Chinese cities. During the transition, a request for decreasing construction in the Old City of Beijing was proposed (Abramson, 2007). After the establishment of People's Republic of China, economic construction led to a large amount of construction within the existing urban center. Consequently, a transformation of the urban environment in Chinese cities took place (Bray, 2005).

Conservation of historic districts is financially supported by the municipal government as the government is in charge of funding programs (Zhang, 2002). The funding initiatives were made possible with the transition from command economy to market economy. In the past, conservation projects were not undertaken by any individual authority or government agency. The final accomplishment of conservation practice depended on the cooperation of local, national, and social entities (Qian, 2007;

Ren, 2011). Funding tends to be project-based. Various projects are tied to each other in terms of funding, rather than obtaining financial support from general development funds. City governments have little control over the central funding for various projects (Bray, 2005).

Presently, conservation activities in China remain elite concern (Abramson, 2001). In the urban conservation process, stakeholders hold varying expectations. Developers are concerned about land value and profits. Municipal authorities prefer rapid urban development in the historic districts. Urban planners were usually restricted by limited understanding of the inner-city land form, and the enforcement of conservation laws and accommodate developers too willingly. Potential resolutions are proposed so that conflicts between redevelopment and conservation can be solved with well balancing benefits for both long term and short term. Profit-oriented activities in the rehabilitation process sometimes prompt local authorities to stand with developer instead of supporting local residents (Qian, 2007). Thus in conservation practices, it is often the administrators that determine which part is to be conserved, regardless of local residents' preferences (Broudehoux, 2004).

Besides conservation planning traditions in Chinese cities, some changes regarding funding and partnership of conserving urban heritage have emerged during the past decade. In Chinese cities, conservation actions were realized based on a model in which municipal governments dominate in conducting actual conservation activities and various partnerships are encouraged to get involved in this process. Although still

restrained by limited funding, many attempts were made to ensure conservation projects to be practically implemented. Local governments had increased special funding for conservation projects from 150 million Yuan ($24 million) in 2001 to 9.7 billion Yuan ($1.5 billion) in 2011. Starting in 1992 when the Funding Program of Chinese Cultural Relics was established, non-governmental funding program had begun to play an important role in conservation urban heritage in China (Zhou & Wang, 2011). NGO organization had begun to act and impact conservation planning process, especially in documentation of cultural heritage resources, education of various stakeholders, and to raise funds from the society (Ruan, 2011).

Financial support for practical conservation actions are vital to ensure desired results of conserving heritage can be literally realized. Several improvements need to be further made in terms of conservation mechanism, especially funding and partnership of conservation planning. First, multiple methods of raising money are expected as the current singular way usually results in limited financial support for conservation. Second, efforts need to be made to involve social capital through supportive mechanism. Presently social involvement had only minor impacts in conservation process due to insufficient mechanism exist to formally ensure social involvement. Third, monitoring mechanism especially in funding programs is needed to make sure that financial support are actually utilized in conservation projects (Zhou & Wang, 2011).

2.2.2 Conservation Mechanism

By examining the legislations relevant to conservation planning that has been

promulgated during the past decades, one can gain a brief understanding of the evolution of conservation practice and the process of establishing a legal system for conservation in China. Before the year of 1949, the year of the foundation of People's Republic of China (P.R.C.), the foundation for the very first heritage conservation measures had been completed by the Central Commission for the Preservation of Antiques (CCPA) (CCPA, 1930). Beginning the year of 1922, a series of legislation had been promulgated, and several professional institutes had established (Zhang, 2011a). After the foundation of P.R.C., more regulations and ordinances had been introduced, administrative agencies were set up on state and local levels, academic research centers had established. In the year of 1982, the new P. R. C. Cultural Relics Preservation Act was released, and the national HCCs were announced by the State Council (Wang & Ruan, 1999). These accomplishments represent a step of effort in historic conservation was completely made (Qian, 2007). According to information from the State Council Information Office of the People's Republic of China (SCIO), the State Council announced several additional regulations afterwards in 1990 and 1994 regarding urban planning, environmental protection and Historic Cultural Cities. The Ministry of Housing and Urban and Rural Development and the National Cultural Relics Bureau were in charge of historic conservation issues ever since (SCIO, 1997).

The branches of government consist of municipal level, provincial level, and central level, without lateral coordination to each other. Municipal governments, which are in charge of urban planning, basically pursue financial benefits at the expense of

heritage preservation. Although national standards of urban planning had been set by central government, planning actions remains to be locale specific. Conservation policies are conducted in the form of urban design in cities with heritage legacies. Conservation at a city-scale is more abstract than those of individual sites (Abramson, 2007). Planners, whose work is delimited by planning departments, attempt to provide rehabilitation strategies for old city centers and preserve heritage monuments. Most policy strategies and practices are influenced by administrative and economic considerations (Bray, 2005).

Academic organizations had also greatly contributed to the foundation of historic conservation in China. The most influential ones relate to HCCPM, including academic committees and research centers representing the academic contribution to conservation and the establishment of the National Famous Historic Cultural City Foundation as the support of financial perspective (Qian, 2007). By exploring the literature on the Ministry of Housing and Urban-Rural Development of the People's Republic of China (MOHURD), one can recognize that institutions regularly provide professional suggestions to planning authorities of the listed HCCs (MOHURD, 2007).

2.2.3 Current Gaps

The centralization of the inner-city leads to problems. As the inner-city is the most crucial area of urban land in China, most of the traffic flow and commercial activity were kept here (Fang, 2000). Historic districts are facing conflicts. It is an integral part of the entire city and systematically linked to the rest of the city (Tiesdell, Oc, & Heath, 1996). Under the circumstances that the larger urban areas are undergoing transitions,

historic districts are required to both enlarge economic value and to abide by the conservation provisions (Qian, 2007). Additionally, living conditions in the inner-city are usually very poor compared to newly developed districts according to the national standard (Fang, 2000).

Transitions have emerged in institutional and administrative fields since the 1980s in China. As a consequence to make the largest profit on inner-city land, buildings were demolished and residents were displaced by rapid new development (Ren, 2011). These changes threatened built heritage as well as local identity. The heritage value of inner-city areas is usually ignored in the conservation process mainly because of dense population and little available land. The current condition of historic districts presents high cost of relocation and redevelopment. Financial issues have always been the main concern to determine which areas to be conserved. Conservation activities are always restrained by limited public resources and conflicts between opposing interests. Limits also come from gaps in legal framework and funding system. It is a fact that municipalities set aside very limited funds for conservation projects. Financial supports regularly go first to development projects rather than conservation projects (Qian, 2007). Districts are estimated and conserved according to their commercial value rather than heritage value (Ren, 2011). Western style architectures were pursued and had replaced vernacular buildings (Orbasli, 2000).

Qian (2007) advocated several aspects regarding the problem of a lacking understanding of the heritage value of the past legacy. First, at the beginning of a

conservation effort, many historic legacies are underestimated and disrespected. This means that older buildings are destroyed and to be replaced by new ones which are generally larger and therefore bring more income to the owner. Second, destruction of the social structure, local identity and original built heritage, continuously occurs as a result of ignorance of the heritage value of historic districts. Third, problems also arise when decision-makers on the municipal level try to maximize land profit of historic districts. Redevelopment would result in pressure on population and increased traffic which would make quality of these areas worse. Planners and decision makers are often forced to side with developers in order to overcome financial difficulties in the rehabilitation process. Fourth, the long-term nature of rehabilitation makes conservation practice more easily affected by the market-oriented governmental policies.

Gaps in conservation in China also exist in the implementation process, which is reflected in the following two statements: 1) a lack in education support leads to inappropriate practices in operating conservation activities by professionals, even though legal supports do exist. Normally in-depth field study should be conducted before the implementation of conservation. However, as long as the conservation projects are managed by developers, the resolution is often to entirely redevelop the historic districts (Qian, 2007); 2) developers usually ignore the requirements of rehabilitation process, such as getting approval from Cultural Relics Administration. This leads to an accelerating speed in the decay of historic districts (Wang, 1995); 3) planning goals are usually constrained by financial limitation during the process of plan implementation

(Bray, 2005).

It is a fact that little empirical or theoretical study on conservation currently exist in East Asia (Whitehand & Gu, 2007). Cultural heritage is greatly influenced by traditional philosophies and religious beliefs that focused more on intangible heritage than the tangible ones (Howe & Logan, 2002). Thus the relocation of the physical fabric of built heritage is often acceptable in Asian countries (Taylor, 2004). It is also stated that, in China, theories and methodologies of planning are basically physical design-oriented. Planners and authorities usually address division of functions and separation of land uses due to their preference on rational urban land form. Conservation, a process that highly involves government intervention, usually exists as an illusion while development was actually implemented in practice to pursue financial income. Cultural heritage, especially traditional activities were threatened by such development and forced to move out of the conserved areas (Qian, 2007; Ruan, 2001).

During the rehabilitation process, the status of property ownership is complicated and tends to cause problems (Ren, 2011). Relocating residents to decrease the cost of rehabilitation is a commonly used approach (Qian, 2007). This approach is problematic in several aspects. Firstly, it brings inconvenience into residents' daily life as the suburban areas where residents were often moved lack basic facilities and requires long-time commuting between work and home. Secondly, plans involving compensation are not explained clearly enough to residents. Thirdly, insufficient public participation in the decision making process had caused problems. Fourthly, rehabilitation threatens the

original social structure of historic districts as it forces the low-income residents to move out of the area. As successful conservation involves high level of local residents' participation, issues relating to the benefit of residents and the need to improving physical structures and built environment should be balanced properly for desirable planning outcomes.

2.2.4 Beijing Conservation

Urban planning agendas regarding state functions and the public realm are popular discourses in the Western context. Moreover, these discourses are also applicable in Chinese cities as urban planning and conservation actions are linked to the theories and practices in urban conservation and design at the global level. The regulatory tools adopted by the planners in the case study area of this thesis – the City of Beijing – have significant impact on the heritage of the city and have shaped urban space (Abramson, 2007). The City of Beijing had rich physical heritage like the old city wall which located on the boundary of the Old City with three Gates on each side of the wall. After the establishment of the People's Republic of China in 1949, the socialist state started to conduct urban development aiming to achieve fast industrial growth. This led to massive-scale productive construction on the inner city land of Beijing (Lu, 2005), whereas consumption constructions, like housing facilities, was totally insufficient to provide a living base for local residents. In post-1949 China, numerous former residential

building like *siheyuan*[1] traditional courtyards in the Old City of Beijing were occupied by the People's Liberation Army and Chinese Communist Party in the name of liberation. This phenomenon resulted in even more severe scarcity of residential facilities in the inner city land of Beijing (Bray, 2005). Due to the subsequent scarcity of inner city housing, extensive construction of living structures was done without the approved state plan (Lu, 2005). It is also argued by Lu (2005) that, under the socialist economy, municipal government had little control over investment on urban affairs. The resulting decentralized urban growth caused by project-specific forms of investment in Chinese cities extensively shaped the built environment in the inner city land.

Three agencies – the State Planning Commission, the State Economic Commission, and the State Construction Commission – were in charge of investment decision making on the construction projects. Investments were distributed through ministries of the State to local governments, while some of the investments could be used for other purposes rather than those proposed (Lu, 2005).

The City of Beijing as an integral whole was continuously compared to nineteenth-century Paris in terms of preservation of the historic center, especially with the debate over the conflict between large-scale redevelopment and preserving the Old City in its intact condition (Wang, 2011). The panoptic aspect, or "view from above" aspect, towards the preservation policy of the City of Beijing makes the case of its urban conservation unique even in comparison with other Chinese cities. This panopticism is

[1] Siheyuan is a traditional type of residence that was commonly found in Beijing. It literally refers to a courtyard residence which is surrounded by several (usually four) one to two-storey buildings (Wikipedia, 2012)

largely attributed to the special urban form of Socialist and Imperial Beijing (Abramson, 2007).

While conceiving plans for Beijing right after the establishment of the P. R. C. in 1949, socialist planning professionals from the Soviet Union came to assist in overseeing the plans for socialist transformation (Bray, 2005). In the 1950s, master plans of the City of Beijing defined four main functions of the city: housing, work, recreation, traffic. Socialist planners in China anticipated a city distributed into various functional zones, each of which combining to each other for a completely coherent functional zone (Lu, 2005). By the year 1953, a draft plan of Beijing was completed. This plan stated that Beijing, the capital city of China, should become the center of political, economic, cultural, industrial, technological, and scientific affairs. Fundamental transitions were expected to happen in the city in order to put desired urban future into reality (Bray, 2005).

Concern about what to eliminate from the historic center of Beijing emerged when planners encountered the conflict between valuing the ancient urban form and demolishing some outdated city structures for development. A demarcation between the old and new structures in the Old City of Beijing therefore became necessary (Bray, 2005). Well-known architect Liang Sichen described the city's future in his plan proposal to be: 1) both ancient structures and modern form of city will be valued; 2) separate land uses for both old and new to keep each with integrated features (Bray, 2005; Wang, 2011). Plans are also required to be monitored, as central government asked urban centers to

have organs overseeing plans for urban development in the future (Bray, 2005).

Historic preservation in Beijing involves the following three scales of regulation, “individual sites, whole streets and districts, and the Old City as a whole”. Abramson (2007) summarizes the main regulatory tools shaping built heritage of the City of Beijing after the market transition. In 1982, the national preservation legislation expanded the extent to designating heritage sites through adding construction control zones in order to ensure the protection of monument character. This revised legislation was activated in Beijing in 1987. Municipal Planning Institute proposed construction control zones for heritage sites of national and municipal level, which mainly focus on setting height limit for new constructions in the control zones. The regulation of Building Heights in Planned Urban Areas in 1985 and the Land-use and Height Control Planning Measures for the Old City of Beijing in 1987 defined height limit zones in Beijing to protect the historic character physically. The height restricted zones in the Old City of Beijing vary in the limit of height from six meters to 45 meters. Height limits defined in the 1993 master plan is visualized on Figure 2-1. Moreover, the new buildings were also required to fit in the existing urban forms and to be in harmony with historic sites in the control zones (Abramson, 2007).

The conservation scale of both the individual historic sites and their surrounding areas is counted in the regulation category as “the designation of specific areas of the Old City as Historic Cultural Preservation Districts” and “Characteristic Streetscapes”. In the Beijing case, twenty-five conservation areas were integrated into the 1990 version of City

Master Plan. Later in 1999 the detailed plan with defined boundaries of twenty-five designated areas were approved by Beijing municipal government (Beijing Municipal City Planning Commission, 2002). During the time designated areas without officially approved boundaries, destruction of heritage characters had occurred in these areas (Abramson, 2007). The plan for additional eighteen designated areas in the Old City of Beijing was approved by municipal government in 2004, which made Beijing an HCC with 33 conservation areas (Beijing Municipal City Planning Commission, 2004).

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Figure 2-1: **Height Limits in the Old City of Beijing Described in 1993 Master Plan** (Map Revised from Katherine J. Idziorek) (Abramson, 2007)

The planning issues of designated conservation areas were under the purview of Ministry of Housing and Urban Rural Development (previously Ministry of Construction). In 1990, the preservation regulation was promulgated to announce two

main preservation-related policies: one was to designate Beijing as an HCC, and the other was to create height limit for the entire the Old City of Beijing. The height limit is a specific preservation oriented strategy in the conservation plan. The 2004 master plan of Beijing addresses the problems of urban conservation during the 1990s, including "the loss of urban fabric as a whole" (Beijing Municipal City Planning Commission, 2004). With respect to the Old City of Beijing as a whole, perspectives on "conservation of the road system and the hutong fabric[2]" and "Control of Building Height of the Old City" were stressed in the 2004 plan. The height limit is the response to criticizing high-rises emerged rapidly during economic transition era. The 2004 plan also addressed the priority to public transportation with high respect to road system. It stresses the expansion of the city with concentric ring roads and octagonal street grids out from the center of the Old City of Beijing (Beijing Municipal City Planning Commission, 2004).

The master plan for recent urban growth of Beijing states the subject of historic preservation in a form of subsection, with cursory explanation. More explicit articulation of planning policy was given to the protection of heritage monuments, rather than city-scale conservation (Abramson, 2007).

Regulatory and legal systems and a hierarchy of urban conservation concept in Chinese cities had largely influenced the redevelopment in Beijing. Putting conservation concepts into practice is always difficult due to following factors: 1) municipal planning departments have little control over construction investment; 2) ineffective legal support

[2] Hutong is a type of alleys commonly found in Beijing. Usually hutongs are formed by lines of siheyuan (Wikipedia, 2012).

to ensure plans are implemented according to expected planning ends; 3) unstable national direction on planning for cities' futures; and 4) fundamental political campaigns (Bray, 2005; Lu, 2005). Constraints listed above result in outdated conservation policies in plans of Beijing, as plans mainly address the aesthetic features of the urban form and pay too much attention to individual heritage sites while ignoring the spaces around the sites (Abramson, 2007).

Comparing the Beijing case to Boston in the 1960s, we see they share the similarity in anticipating clearance while proposing investment within historic districts in urban masters plans (Abramson, 2007). Leaf (1998) argues that the weak power of planning in Chinese cities is largely attributed to the "overlap of public and private interest at local levels".

Before July 1st, 2010, there were four administrative districts in the inner city of Beijing, which were Dongcheng, Xicheng, Xuanwu, and Chongwen. Dongcheng and Xicheng districts were located in the northern part of inner city Beijing, while Xuanwu and Chongwen were located in the southern part. Most of the central districts defined in this thesis are located in the northern part of the inner city, whereas the remaining districts are locates in the south. Beginning on July 1st , 2010, the districts of Xicheng and Xuanwu were combined into one a new administrative district – the new Xicheng district. The districts of Dongcheng and Chongwen made the same change and were combined into the new Doncheng district. The two main reasons for this combination, as provided by the municipality, are described as follows (China Cultural Daily, 2010). First, it aims

to balance urban development in the inner city of Beijing. Historically, Xuanwu and Chongwen districts were generally restrained in economic development for local reasons, especially compared with districts in the Northern part of the Old City of Beijing. Second, it aims to better execute HCCPM by simplifying administrative structure.

2.3 Conservation Plans

The concept of “Historic District Conservation” was mentioned when the HCCPM were announced. This concept attempted to balance the contention between conservation and development within the designated areas in HCCs (Ye, 1996). The concept of “Historic Conservation Areas”, the designated areas, and the standard and requirements for conservation planning was also stated when the second round of HCCs was announced. Requirements stated in that announcement helped in the implementation of conservation plans, selecting approaches, and education (Zhang, 2011a).

In order to gain a deep understanding of conservation plans, the theoretical base from which plans originally developed will be explored. Theories in urban conservation in China show some unique features compared to predominant Western theories. The following section lists a few.

2.3.1 Theories in Urban Conservation

There is a very limited theoretical base relating to conservation in the Chinese context, academically or empirically (Dix, 1990). The following three concepts in conservation are currently utilized: 1) organic renewal, 2) small-scale self-help

rehabilitation, and 3) community cooperative renovation (Qian, 2007). The theory of organic renewal appeared when the value of historic structures in the inner-city of Beijing was first seriously realized in the 1950s. Attempts were made to lessen the pressure on historic districts that were threatened by urban development. Planners were pursuing a new approach instead of the redevelopment of entire areas. Organic renewal aimed at operating conservation activities while ensuring residents were able to adapt to modern life. It advocates that the "city is a living organism whose parts and tissue undergo a metabolic process" (Wu, 1999, p. 61). This concept suggests the conservation approach that divides a problem of original built form into small parts, so that each part could be solved with the appropriate strategy. This approach was implemented in some redevelopment projects in the 1980s (Wu, 1999; Qian, 2007).

Small-scale self-help approach was intended to solve problems in the historic districts, using strategies involving small-scale construction (Wu, 1999). This approach also requires little cooperation between residents and government authorities (Fang, 2000). Residents could conduct housing constructions – such as renovation and rehabilitation – by their own preference. This approach of conservation is the most widely used one across the country (Qian, 2007). Small-scale self-help rehabilitation could effectively reduce the cost of construction by avoiding intermediate steps (Fang, 2000).

The community cooperative renovation approach requires collaboration among different bodies – the state, work units, and individuals – to provide financial support for conservation (Fang, 2000) .

The *Historic Cultural Cities, Towns, and Villages Conservation Ordinance* was promulgated in July, 2008 to regulate HCC conservation related issues, such as application processes conservation approaches, and funding. The conservation plans for HCCs should have editing completed within a year of approval of the HCC application (The State Council of China, 2008). In the Ordinance, the following content is required in conservation plans: 1) principles, content, purpose of conservation; 2) conservation strategies and approaches; 3) requirements on conserving local identity and traditional urban forms; 4) boundaries; 5) implementation plan.

2.3.2 Purposes and Functions of Plans

An accurate understanding of the objectives, types and functions of conservation plans is vital to being able to evaluate the quality and implementation since the criteria for assessment is set according to various objectives, types and functions of those plans. Through the examination of national legislations and guidelines for HCCPM (CAUPD, 2005; The State Council of China, 2008), the international charters of conservation modified to the situation of China (China ICOMOS, 2002), and the relevant literature on evaluation (Baer, 1997; Berke & Godschalk, 2009; Ruan, et al., 1999), the objectives, types and functions of conservation plans can be summarized. Table 1-3 shows the objectives of conservation plans that could be explored in the documents mentioned above.

Objectives of Plans
1. to provide basis for conservation intervention and interpretation (China ICOMOS, 2002; Ruan, et al., 1999)
2. to prepare for special problems (China ICOMOS, 2002)

3. to be integrated into development plans (China ICOMOS, 2002)
4. to guide conservation activities (CAUPD, 2005; Ruan, et al., 1999)
5. to meet the legislative requirements (The State Council of China, 2008)
6. to underpin professional deliberation (Berke & Godschalk, 2009)

Table 2-1: Objectives of Plans

As there are no clear objectives claimed in some documents, the following statements of objectives were retrieved from the policies. The *Principles for the Conservation of Heritage Sites in China* (the China Principles) states objectives of a conservation plan include: 1) to provide a basis for conservation intervention and interpretation; 2) to prepare for special problems; and 3) to be integrated into development plans. The first objective comes from the statement "The conservation master plan is the basis for managing sites and for undertaking conservation interventions and interpretation". The second objective is retrieved from "Specialized plans should be drawn up in the case of protected sites or parts of sites with special needs or problems". The third objective summarized from the policy statement "Conservation master plans for historic precincts (villages or towns) should be integrated with municipal and town development plans" (China ICOMOS, 2002, p. 82). The *Code of Conservation Planning of Historic Cities* describes the objective of conservation plans as it guides conservation activities in HCCs. Similarly to the objectives retrieved from policy statements in the China Principles, this objective was developed from the statement in Section 1.0.1 "This code is composed in order to ensure the conservation of places of cultural significances and the implementation of effective management of cultural relics" (CAUPD, 2005). The Historic Cultural Cities, Towns, and Villages Conservation Ordinance defines the

objective of conservation plans as it aims to meet the legislative requirements, by stating "conservation plans should be created by the local government once the HCC is designated by the State Council" (The State Council of China, 2008).

Beside the objectives of plans, it is also crucial to understand the type of plan for selecting relative criteria for plan evaluation (Baer, 1997). The following types were identified, with further explanation of each type stated in table 1-4, including: vision, blueprint, land use guide, remedy, administrative requirement, planning process, pragmatic action, and responses to state planning mandates.

Types of Plan	Function of this Type of Plan
Vision	An attempt on involving the public to envision the desired results of planning; it collect possibilities and proposals that come from participatory inputs.
Blueprint	The guide on physical development of a city by determining what to be included in the plan presentation on the municipal level; it has limitations as usually viewed as zoning ordinances.
Land Use Guide	It highlights public participation, and practical activities. It set up visions, goals, policy statements, and concerns on short-term practice.
Remedy	Plans that aim to solve specific problems, which are usually short-range.
Administrative Requirement	Plans as responses to present social science paradigms, legal rules, and administrative theories.
Planning Process	Largely influenced by the development of social science, this type of plans focus on relationships in urban issues. Viewing plans as ongoing planning process, involving high percentage of public participation, and owning great legitimacy of planning.
Pragmatic Action	Focusing on practical procedures that relate to the method and implementation of actions.
Response to State Planning Mandates	This type of plans gives priority to intergovernmental coordination over various topics of general plans. Administrative mandates of each level of governments reshape the plans.

Table 2-2: Types and Functions of Plans (Adapted from Baer's Article in 1997)

The *Code of Conservation Planning for Historic Cities* defines conservation plans as "the plan conducted for the purposes of conserving HCCs, and coordinating issues of conservation and development; for determining the principles, desired content, and focuses of conservation; and for providing strategies" (CAUPD, 2005, p. 4). *Historic Cultural Cities, Towns, and Villages Conservation Ordinance* has required content that should be included in the conservation plans (The State Council of China, 2008): 1) principles, content, and extent of conservation; 2) conservation methods, and management of development and construction; 3) requirements on protecting traditional structures and historic features; 4) setting of buffer zones and historic conservation districts; 5) implementation plans with timeline. It is also claimed by the Code that conservation plans of HCCs should align with purposes of relevant national legislations in conservation system (CAUPD, 2005).

2.4 Plan Quality and Plan Evaluation

This section will collect literature on plan quality and plan evaluation. First, a brief introduction of the definition of plan quality and factors influence plan quality will be provided. Then issues relating to plan implementation and the quality of planning process will be examined. Finally, literature on plan evaluation will be summarized and discussed.

2.4.1 Plan Quality

Generally, adopted plans have blanket powers to actuate many significant aspects of community life. Giving the broad usage and importance of plans, it is vital that they regularly assessed against authorized plan quality standards (Berke & Godschalk, 2009). It was not until the mid-1990s that planners began to define the features of plan quality and to assess the relationship between plan-making and plan quality (Berke, et al., 2006). Numerous studies have brought up factors that could affect plan quality, such as local commitment, planning mandates, public participation, intergovernmental collaboration, and plan implementation (Tang & Brody, 2009). To identify the characteristics of plan quality is often more difficult for planners to determine whether a plan is of high quality or not (Berke & French, 1994).

A large body of literature discusses what features constitute and subsequently influence plan quality. Berke and Godschalk (2009) summarize that some researchers have studied conceptual dimensions of plans – goals, policies, and fact base – as features to annotate plan quality, while others focus on a plan's relevance in fulfilling local needs. Table 2-3 shows characteristics of plan quality identified from the literature discussing in this theme.

Berke et al, (2006)	1. Identification of community issues; 2. Fact base; 3. Internal consistency; 4. Monitoring of provisions
Berke and Godschalk, (2009)	Internal characters: 1. Issue identification and vision; 2. Goals; 3. Face base; 4. Policies; 5. Implementation' 6. Monitoring and evaluation; 7. Internal consistency

	External characteristics: 1. Organization and presentation; 2. Inter-organizational coordination; 3. Compliance
Tang and Brody (2009)	1. Factual basis 2. Goals and objectives 3. Inter-organization coordination 4. Policies, tools, strategies 5. Implementation and monitoring
Kaiser, Godschalk, & Chapin, (1995)	1. Factual base; 2. Goals; 3. Policies
Baer, (1997)	1. Context; 2. Rational model; 3. Procedure; 4. Scope; 5. Implementation; 6. Approach, data, and methodology; 7. Communication; 8. Plan format

Table 2-3: Characteristics of Plan Quality

Among all the researchers defining the characteristics of plan quality, Berke and Godschalk (2009) further divide plan quality characters into two conceptual dimensions for plan evaluation: internal character and external character. According to their definition, internal plan quality concerns the content and format of the plan. The characteristics of plan quality include issues and vision statement, fact base, goal and policy framework, implementation, and monitoring. External plan quality concerns how plans maximize benefit for stakeholders and how well plans fulfill local needs. The external characteristics of plan quality include organization and presentation, inter-organizational coordination, and compliance (Berke & Godschalk, 2009). Inter-organizational coordination is used in this study to evaluate the external character of HCC conservation plans. It is defined to be “integration with other plans”, “Horizontal

coordination with plans or policies of other local parties within or outside local jurisdiction" (Berke & Godschalk, 2009, p. 231).

2.4.2 Plan Implementation and Planning Process Quality

As Burdy (2003) states, plans come along with governments' action about issues they highlight. However, planning professionals often lack in knowledge about the implementation of plans and their effects on interventions (Laurian, 2005; Seasons, 2003). There has been long debate over the significance of assessing plan implementation (Brody & Highfield, 2005). The realization of the significance of plan implementation was triggered through the recognition of planners' incapacity to make plans that fulfill local needs and through questioning about the ineffectiveness of policy and planning (Alexander, 1986). However, studies conducted on this theme mainly focus on measuring how plan quality influence implementation of adopted plans, while little inquiry was made on implementation itself in the planning field (Brody & Highfield, 2005; Talen, 1996a; Talen, 1996b). Researchers believe that the following factors need to be further studied: the objective plan evaluation, a clearer image of plan impact in communities, and definitions of plan success (Seasons, 2003; Murtagh, 1998) for a better understanding of plan implementation.

The effectiveness of plans under a variety of levels has been questioned. Stakeholders complain about them being costly, overly controlling, and not making changes (Laurian, et al., 2010). The lack of studies on how to measure implementation remains a challenge in the planning domain, while more demands for confirming

valuable plan outcomes persist (Brody & Highfield, 2005; Laurian, et al., 2010). Planning professionals have suggested several reasons for the dearth of plan implementation evaluation: 1) vague plan objectives (Laurian, et al., 2010); 2) difficulties in confirming evaluation indicators caused by limits of available data (Laurian, et al., 2010; Brody & Highfield, 2005); 3) lack of time, staff, and expertise (Seasons, 2003; Baer W. , 1997; Brody & Highfield, 2005); 4) constraints resulted from politics and culture (Laurian, et al., 2010); 5) lack of methodology (Talen, 1996a; Laurian, et al., 2010; Brody & Highfield, 2005).

When it is noticed that planning is more than creating plans, increasing demands for focusing on plan implementation arise (Alexander, 1986). Several empirical studies have been conducted to assess plan implementation through measuring outputs and outcomes (Laurian, et al., 2010; Vedung, 1997). As defined in the literature, plan outputs refer to products and services offered for planning activities by an organization; while plan outcomes act as a result of plan outputs, and they refer to the effect of a planning system (Morrison & Pearce, 2000) .By considering plan outputs, planners can start the first step to evaluating whether plan objectives are approached (Morrison & Pearce, 2000). Usually in the planning domain, evaluation of implementation concentrates on considering outputs as intended guidance for regulations (Newcomer, 1997). Outputs are expected to reflect objectives, to be measurable, and to lead outcomes (Morrison & Pearce, 2000). On the other hand, Outcomes, the result of outputs (Vedung, 1997; Laurian, et al., 2010), have been generally ignored when planning agencies attempt to

measure performance of plans (Jackson & Palmer, 1989; Morrison & Pearce, 2000). This statement is supported by a group of researchers, who indicate that few endeavors have been made to assess planning outcomes in either theory or practice (Carmona, 2007; Baum, 2001; Carmona & Sieh, 2004; Laurian et al, 2010). Outcomes are the desired results of planning programs (Newcomer, 1997), and studying them helps to increase the level of accountability of planning authorities, as well as to improve plans and practices overall (Kaiser, Godschalk, & Chapin, 1995; Seasons, 2003). Plan outcomes can be divided into two types: intermediate and final outcomes. As defined by Morrison and Pearce (2000), intermediate outcomes refer to the results of all influential factors in of plan. Plan outcomes can be assessed quantitatively. Final outcomes relate to consequences resulting from change of land use after plans are implemented (Morrison & Pearce, 2000).

Evaluating plan implementation is “methodologically complex” (Talen, 1996b). Plan implementation reflects the extent to what degree which plan policies are applied via specific development strategies in practice (Laurian, et al., 2010). To evaluate plan implementation, two approaches were introduced in the literature: conformance-based approach and performance-based approach (Laurian, et al., 2010). In conformance-based approach, plan implementation success is decided by whether and how the actual plan actions and policies are in accord with the plan (Laurian, et al., 2010; Brody & Highfield, 2005; Morrison & Pearce, 2000; Wildavsky, 1973). This approach is usually adopted in an assumption of rational planning, indicating that there is a direct relationship between

plan objectives and plan outcomes (Laurian, et al., 2010; Wildavsky, 1973). It measures two aspects of plan implementation, namely breadth and depth. Implementation breadth refers to the variety of implemented policies; while the implementation depth refers to the proportion of implemented policies (Laurian, Day , Berke, & Ericksen, 2004). In a performance-based approach, whether a plan is well implemented or not depends on its influence on planning decisions (Laurian, Day , Berke, & Ericksen, 2004). The usage of these two different approaches on plan implementation evaluation depends on the type of plan functions (Laurian, Day , Berke, & Ericksen, 2004). The conformance-based approach considers plans as blueprints (Alexander & Faludi, 1989; Baer, 1997; Faludi, 1987; Hopkins, 2001; Mastop & Faludi, 1997; Laurian, Day , Berke, & Ericksen, 2004), requires clear planning objectives and tactics, and is suitable for assessing the outcomes of different plan parts. It relates better to daily land use planning. (Laurian, et al., 2010). On the other hand, the performance-based approach considers plans as directions for future decisions as it concerns the process of planning (Alexander & Faludi, 1989; Baer, 1997; Faludi, 1987; Hopkins, 2001; Mastop & Faludi, 1997; Laurian, Day , Berke, & Ericksen, 2004) . It views planning as a progressive process that needs to be modified to ongoing contexts (Laurian, Day , Berke, & Ericksen, 2004). One study indicating that planning professionals usually prefer the conformance-based approach (Laurian, Day , Berke, & Ericksen, 2004). Brody and Highfield (2005) introduced a quantitative method to measure the quality of local environmental plans. Plan quality indicators were developed from policies within the plans, and covered two aspects: environmental

policies and plan implementation. Each indicator was assigned to weight and then positioned on a numerical scale. Policies were then assessed according to the degree they reflected those indicator elements described in the policies. Additionally, a plan quality index was calculated for each plan element (Brody & Highfield, 2005).

Currently, there is no ongoing exploration of planning objectives (Brody & Highfield, 2005). Recently, researchers have begun to realize that the force of a plan is not fully related to plan content and plan implementation (Brody & Highfield, 2005). The finding that there is not a direct relationship between the implemented plan and plan outcome demonstrates a main restraint for plan evaluation (Talen, 1996b; Brody & Highfield, 2005). Many studies assessing plan quality are constrained by obstacles like this in plan implementation evaluation (Berke & French, 1994; Brody & Highfield, 2005; Burdy & May, 1998; Burdy, May, Berke, Dalton, French, & Kaiser, 1997). Another scholar has discovered that plans are usually poorly implemented if they are of inadequate quality (Clawson, 1971; Burdy, 2003). As summarized in the literature, some factors in planning practice could influence plan implementation, including, planning agency's commitment (Laurian, Day , Berke, & Ericksen, 2004); implementation provisions and techniques (Laurian, Day , Berke, & Ericksen, 2004); the usage of management techniques (Laurian, Day , Berke, & Ericksen, 2004) and the state of the economy and market (Morrison & Pearce, 2000).

Moreover, there is little knowledge in the planning domain about the relationship of the planning process and plan quality (Brody & Highfield, 2005;

Alterman & Hill, 1978). Creighton's study (1992), found that planning process has impact on plan quality and subsequently influences plan implementation (Creighton, 1992; Burdy, 2003). A similar study is described in Healy (1994), who indicates that the a higher level of consensus formation for plan content will more likely lead to supportive action from a government during plan implementation (Burdy, 2003; Healy, 1994).

2.4.3 Plan evaluation

As defined by Weiss (1998), plan evaluation is "the systematic assessment of the operation and outcomes of a program or policy, compared to a set of explicit standards, as a means of contributing to the improvement" (Seasons, 2003; Weiss, 1998, p. 4). There are a series of terms utilized in the literature to explain the theory of "plan evaluation": "plan appraisal", "plan testing", "plan assessment". Those terms are used interchangeably to confer the same meaning (Baer, 1997). Plan evaluation is of high complexity (Oliveira & Pinho, 2010). There are several difficulties in plan evaluation; these are explained in a group of studies as including the gap between theory and practice (Oliveira & Pinho, 2010); the dearth of evaluation actions (Oliveira & Pinho, 2010); the limited result from the ascendency quantitative methods while increasing demands of qualitative strategies emerge (Oliveira & Pinho, 2010).

To put plan evaluation into practice, it is necessary to establish adequate evaluation criteria. One vital principle of evaluation criteria is that it must be able to judge planning effectiveness, in order to distinguish good plans from the bad (Alexander & Faludi, 1989). According to Baer (1997), the formality of plan evaluation includes plan

assessment, plan testing and evaluation, comparative research, plan outcomes, and plan critique.

The type of plan evaluation can depend on the stage of the planning process, the way it is viewed, and planning purposes (Baer, 1997; Laurian, et al., 2010). The adequate criteria are always in accordance with plan concept. It is significant because, by doing this, evaluation criteria can be judged through this background information in the assessment phase. To group plans usefully, Baer (1997) summarizes the types of plans based on various-user participation: vision, blueprint, land use guide, remedy, administrative requirement for funds, pragmatic action, etc. Each type of plan relates to a certain type of plan evaluation. In terms of planning purposes and their related evaluation, Scriven (1967) introduced three types of evaluation: priori (ex ante) evaluation, ongoing monitoring (formative) evaluation, and ex post facto (retrospective) evaluation (Scriven, 1967; Laurian, et al., 2010). The related purposes of each type of evaluation are shown in table 2-4.

Evaluation type	**Related Purpose**
Priori (ex ante) evaluation	To guide the selection of planning alternatives by comparison.
Ongoing monitor (formative) evaluation	To measure progress in need to modify
Ex post facto (retrospective) evaluation	To identify and to learn from plan impacts for improvement in future decisions.

Table 2-4: The Evaluation Types and Relevant Purposes (modified from Laurian et al., 2010)

Planning scholars have made enquiries on the evolution of plan evaluation in the second part of 20th century (Oliveira & Pinho, 2010; Alexander, 2006b; Khakee, 2003;

Oliveira & Pinho, 2010). According to the literature, evaluation is explored through three perspectives respectively: policy program, planning theory, and welfare economics (Oliveira & Pinho, 2010). Others note that the evaluation paradigm has shifted from positivist to constructivist, which can be described in four generations (Guba & Lincoln, 1989; Khakee, 2003). The first generation of evaluation measures individual attributes; the second attempts to demonstrate programs and goals; the third tends to determine the contextual value; and the fourth concentrates on communicative process among varieties of stakeholder (Oliveira & Pinho, 2010; Guba & Lincoln, 1989). Scholars have also discovered the influence of social transition on the evolution of evaluation models (Oliveira & Pinho, 2010; Voogd, 1998).

Several factors have influenced evolution of plan evaluation, such as planning theory, the shifting democracy paradigm, and rationality (Oliveira & Pinho, 2010; Khakee, 1998; Alexander, 2000; Lichfield, 1998; Voogd, 1998; Oliveira & Pinho, 2010). Khakee (1998) summarized eight types of planning that emerged during the evolution of planning paradigms in his research. He assumes that the planning concept within each paradigm is mainly related to one particular evaluation type. The shifting, democracy paradigm happening in society largely restrains the use of traditional methods to evaluate planning (Oliveira & Pinho, 2010; Voogd, 1998). Changes in plan evaluation methods are demanded by the continuous changing environment of society (Oliveira & Pinho, 2010; Lichfield, 2001).

2.5 Public Participation

This section of literature review explores studies of public participation. Firstly, the definition, background, benefits, forms, and limitations of public participation will be discussed. Secondly, factors identified as influencing public participation quality are examined.

2.5.1 Understanding Public Participation

According to a series of studies discussing public participation, the meaning refers to organized deliberations for information exchange and communication in terms of involving government, citizens, stakeholder, and interest groups in administrative decision making (Renn, Webler, & Wiedemann, 1995; Ozerol & Newig, 2008; Laurian & Shaw, 2009; Beierle, 1998). Forester (1993) demonstrates the function of public participation in planning by defining planning as “the organizing of citizens’ attention toward the possibility of public action and anticipating implementation” (Forester, 1993; Burdy, 2003).

Public participation seeks to build effective communications between administrators and the public in order to achieve a high level of success, as well as to broaden the impact of policies (Ozerol & Newig, 2008; McLaverty, 2002; Laurian & Shaw, 2009). Such participation is crucial when it comes to creating strong plans which require the involvement of a variety of stakeholders, especially when the plans will greatly affect local governmental actions (Burdy, 2003). In some cases that draw great

attention from the public, the rising discussion among different stakeholders can offer sufficient information for further resolutions, and can also gain public support on these issues (Burdy, 2003). In the earlier stage of public participation studies, a group of scholars state that although it is widely admitted that public participation contributes to improving plan making process, little study has been done to systematically prove this view (Abney & Lauth, 1986; Beierle, 1998; Bierle & Konisky, 2000; Burdy, 2003; Day, 1997; Forester, 1993; Healy & Hillier, 1996; Kweit & Kweit, 1981). However, recently researches on public participation summarized cases that public participation actually had a great influence on decision making during planning process (Ellis, 2004; Lindsay & Smith, 2001; Shipley & Utz, 2011). Governments were required to give priorities to current interest as well as to provide fair chance for all relevant groups. Public participation had gained increasing attention in legislative system (Shipley & Utz, 2011). According to Kaiser et al. (1995), participation allows participants to be educated in the plan making process, through which stakeholders can gain understanding of policies and plans (Kaiser, Godschalk, & Chapin, 1995; Burdy, 2003). It is also believed that through public participation, political support can be obtained for planning ideas (Burke, 1968; Glass, 1979; Goggin, Bowman, Lester, & O'Toole, 1990; Levin & Ferman, 1986; Monnikhof & Edelenbos, 2001; So, Hand, & McDowell, 1986; Vogel & Swanson, 1988; Burdy, 2003)

According to Laurian and Shaw (2009), one of the most commonly utilized types of public participation involves a deliberative mechanism (Laurian & Shaw, 2009).

It is argued that hearings and notices as forms of a non-deliberative participation provide only limited public feedback, while a deliberative mechanism would contribute to establishing “meaningful participation” (Chechoway, 1981; Kemp, 1985; Kemmis, 1990; Moote, McClaran, & Chichering, 1997; Adams, 2004; Margerum, 2002; Forester, 1999; Laurian & Shaw, 2009). Forms of deliberative mechanism of public participation that have been introduced in the literature to improve meaningful deliberations include: public meetings (Cogan, 2000); Citizen Advisory Boards (CABs) (Raimond, 2011; Laurian, 2005); consensus-building processes (Innes, 1996); mediation processes and regulatory negotiations (Susskind & Cruikshank, 1987; Susskind & Field, 1996); citizen juries (Armour, 1995; Leib, 2004); and conferences (Ackerman & Fishkin, 2000; Fishkin, 2003).

Innes (1995) discussed that under the emerging planning paradigm based on communicative rationality, stakeholder involvement mainly contributes to consensus building and political support, which would subsequently influence plan proposals (Burdy, 2003; Innes, 1995). As defined by Carroll and Nasi (1997), a stakeholder refers to an individual or a group who has interaction with an organization and its attached features. It is assumed that stakeholders own interests in the issues of the certain organization and their expected results. Forms of stakeholders’ interests include moral claims and legal rights on the organization (Carroll & Nasi, 1997). This definition is also interpreted by other scholars as “interested party” and “the public”, which refers to “any person, group, or organization with a ‘stake’ in an issue” and actively attempting to deal

with the issues (Burdy, 2003; Cobb & Elder, 1972; Ozerol & Newig, 2008). An interested party would either impact or be impacted by the outcomes of this issue, and the term is exchangeable to "stakeholder" (EU, 2002; Ozerol & Newig, 2008). A similar definition of stakeholder is also mentioned by Freeman (1984) and Yetano, Royo Sonia and Acerete (2010).

Planning is strongly directed and transformed by the changing environment. Public participation is determined by planning perspectives that would lead the movement of participation from traditional mechanisms to a more communicative form (Laurian & Shaw, 2009). The potential benefits of public participation were widely discussed in the literature, which are summarized in table 2-5.

Benefits of Public Participation	**Sources**
1. Building social capital	(Burdy, 2003; Innes J. , 1996; Brody, Godschalk, & Burdy, 2003)
2. Upgrading citizen trust in authorities and governmental responsiveness	(Cooper, Bryer, & Meek, 2006; Yang, 2005; Yetano, Royo Sonia, & Acerete, 2010; Ozerol & Newig, 2008)
3. Gaining control over the policy process for participants	(Irvin & Stansbury, 2004; Ozerol & Newig, 2008)
4. Avoiding litigation	(Irvin & Stansbury, 2004; Ozerol & Newig, 2008)
5. Increasing government actions	(Burdy, 2003)
6. Managing and building consensus	(Burdy, 2003; Ozerol & Newig, 2008)
7. Incorporating local knowledge into plans	(Innes J. , 1996; Innes, Gruber, Neuman, & Thompson, 1994; Burdy, 2003; Ozerol & Newig, 2008)
8. Building incentives of collaboration among stakeholders	(Kaiser, Godschalk, & Chapin, 1995; Burdy, 2003; Ozerol & Newig, 2008)
9. Gaining political support for planning ideas	(Burke, 1968; Glass, 1979; Goggin, Bowman, Lester, & O'Toole, 1990; Levin & Ferman,

	1986; Monnikhof & Edelenbos, 2001; So, Hand, & McDowell, 1986; Vogel & Swanson, 1988; Burdy, 2003)
10. Creating political capital and alliances	(Innes, Gruber, Neuman, & Thompson, 1994; Innes J. , 1996; Innes & Booher, 1999; Creighton J. , 1992; Burdy, 2003)
11. Supporting plan implementation	(Burdy, 2003; Creighton J. , 1992)
12. Exchanging two-way knowledge	(Macnaghten & Jacobs, 1997; Wallerstein, 1999; Conrad, et al., 2011)
13. Enhancing legitimacy	(Fischer, 2000; Reed, 2008; Conrad, et al., 2011)
Benefits of Public Participation	**Sources**
14. Creating critical thinking towards common knowledge and state authority	(Irwin, 1995; Lee & Abbot, 2003; Conrad, et al., 2011)
15. Enhancing social justice among diverse groups	(Gerasidi, Apostolaki, Manoli, Assimacopoulos, & Vlachos, 2009; Conrad, et al., 2011)
16. Leading to sustainable development	(Flint, 2010; Richards, Blackstock, & Carter, 2004; Conrad, et al., 2011)

Table 2-5: Benefits of Public Participation from Literature

In the public participation process, levels of public participation have been distinguished, including information supply, consultation, and active involvement (Ozerol & Newig, 2008; Arnstein, 1969; Mostert, 2003). Information supply acts as a base of public participation. By applying it, the public can get access to necessary information regarding planning issues. Consultation refers to involving the public in communication about plans. According to empirical studies, however, consultation is usually not the preferred choice due to its time-consuming and costly nature (Ozerol & Newig, 2008). In active involvement, participants are welcome to attend discussions over planning issues and contribute to resolution of problems (EU, 2002; Ozerol & Newig,

2008). Other scholars exploring the typologies of public participation differentiate between two levels of participation: at the lower end is supplying information and consultation in less participatory (lower ends) processes, while at the upper end is to more empowering and participatory processes (Arnstein, 1969; Davidson, 1998; Pretty, 1996; Conrad, et al., 2011). This division shows the progression of empowerment to the public (Conrad, et al., 2011). However, the operational steps of public participation differ as they depend on the unique context of each issue (Ozerol & Newig, 2008).

The goals (potential benefits) of public participation are summarized by Laurian and Shaw (2009). Depending on different bases, goals are divided into process-based, outcome-based, and user-based. Criteria of evaluation for each related goal are also provided by Laurian and Shaw (2009) and are used to test the level of accomplishment of these goals in how they are reaching the desired results, mainly focusing on participation processes, outcomes, and participants' satisfaction (Laurian & Shaw, 2009). The list of goals and criteria mentioned in the literature is shown on table 2-6.

Process based goals	***Goals***	Mutual learning	Increasing public awareness	Increase agency awareness of public views
	Evaluation Criteria	N/A	Issues, stakes, and decision-making processes informed to participants and publics	Agency is aware of public views, concerns, and preferences
	Democratic Process	Transparency	Inclusiveness	Fairness and power sharing
	Evaluation Criteria	Public understands	Broad attendance and involvement.	Fair rules, decision making, solutions, and implementation. No

		decision-making process; accessible information	Views from all stakeholders are respected	dominating group. Shared power	
Outcome based goals	***Issue related outcomes***	Meet statutory requirements	Find solution, reach consensus	Improve quality of decision	
	Evaluation Criteria	Requirement met	Acceptable solutions found	Decision integrates broad knowledge base and public input	
	Governance outcomes	Increase legitimacy of agency	Increase legitimacy, acceptability of decisions	Avoid or mitigate conflict	Facilitate implementation of solution
	Evaluation Criteria	Agency and officials seen as legitimate by participants and general public.	Assessment of implementation, level of opposition/ acceptance of decision	Presence/absence of decision	Solution implemented
Outcome based goals	***Social outcomes***	Build institutional capacity, resilience	Increase trust in planning agencies	Build social networks, mutual understanding among participants, social capital, sense of citizenship.	Improve outcomes for most disenfranchised.
	Evaluation Criteria	Community capacity to participate and act in the future.	Agency seen as responsive to public input, committed, and capable to implement decisions.	Participant feel included in governance, build trust and lasting relationships, understand and are committed to the public good identified.	Distribution of the costs and benefits of outcomes.

User based goals	***Goals***	Participants satisfied	Overall satisfaction, satisfaction with process and outcomes.
	Evaluation Criteria	Other goals defined by participants	Criteria depend on participants' goals.

Table 2-6: Goals and Evaluation Criteria on Public Participation (modified from Laurian and Shaw, 2009)

It has been discussed in previous articles that a gap persists between discourse in the theoretical level and practice in the operational level of participation (Conrad, et al., 2011). Evaluation of public participation lacks in either academic studies or empirical research. There are few methods of testing participation processes in planning domain (Laurian & Shaw, 2009).

While it is admitted that participation process ought to be incorporated into decision-making (Ozerol & Newig, 2008), it is crucial to identify factors that could restrain participation for a better decision-making process. Capacity of planning agencies and public participants might result in barriers in public participation (Laurian & Shaw, 2009). Limits are also attributed to participation formats as they fail to include all the expressions from stakeholders and eventually cause unfairness and lack of transparency (Laurian & Shaw, 2009). Distrust among planning agencies, stakeholder, and authorities furthermore create obstacles in participation (Cvetkovich & Earle, 1994; Raimond, 2001; Laurian & Shaw, 2009). Among all the obstacles in public participation, some are argued to be surmounted through effective structuring, while others are claimed to be contextual (Irvin & Stansbury, 2004). Public participation might have negative influence on both participants and governments if it is incorrectly handled. Limits to participants include: cost in time, unclear objectives, and poor policy decision; drawbacks to governments

include waste of time and money, backfire, rising hostility from citizens, losing control over decision-making, lower capacity of project implementation, and bad political decisions (Irvin & Stansbury, 2004).

2.5.2 Factors Influencing Public Participation Quality

Participation success is defined as the degree that public participation has attempted to accomplish "social goals", and is influenced by the participation process (Beierle & Cayford, 2002; Irvin & Stansbury, 2004). Participation success can be assessed through testing to what extent fairness and competence have been achieved in the process (Webler, 1995; Irvin & Stansbury, 2004). Ozerol and Newig (2008) proposed a strategy to evaluate success of participation according to resources utilized in participation process. The resources include time, human and financial resources, relating to five constituents that can be used throughout the whole process of participation. Success therefore refers to the degree to which these constituents are applied. Key constituents identified by Ozerol and Newig (2008) include human resources, scope, communication, timing, and financing (Ozerol & Newig, 2008). Supplementary to the constituents listed above, other scholars also have described factors affecting participation success, such as power dynamics and distribution of knowledge (Forester, 1989; Flybjerg, 1998; Laurian & Shaw, 2009)

This section discusses the factors that affect quality of public participation. These factors originate from qualities provided by Conrad et al (2011) and constituents stated by Ozerol and Newig (2008), including scope, representativeness, timeliness,

comfort and convenience, influence, communication, financing, and capacity building (Conrad, et al., 2011; Ozerol & Newig, 2008)

2.5.2.1 Scope

Scope of participation refers to the range of participants, according to a definition provided by Ozerol and Newig (2008). Relevant individuals or groups should be recognized and chosen to be involved in participation (Ozerol & Newig, 2008). Conrad, et al. (2011) refers to scope as the rationale to get the public involved. As Beierle and Cayford (2002) define, public participation is the mechanism – using techniques such as public meetings, focus groups, and citizen juries – to incorporate the public or community representatives in decision making (Beierle & Cayford, 2002; Ozerol & Newig, 2008). Stakeholders vary in the levels of interest to participate in the process. Stakeholder analysis therefore is proposed to be applied before participation process to assess this degree; it can also be utilized throughout the entire process (Ozerol & Newig, 2008). Stakeholders can be distinguished into different categories, within each type their contributions to participation vary (Ozerol & Newig, 2008).

2.5.2.2 Representativeness

Representativeness is defined as the range of the public involved in the process represent and whether all stakeholders are involved (Conrad, et al., 2011). Those involved should include as many as possible impacted groups (Carr & Halvorsen, 2001; Kathlene & Martin, 1991; Mascarenhas & Scarce, 2004; Rowe & Frewer, 2004; Conrad,

et al., 2011)

Based on multiple goals and forms, public participation aims to achieve and take, it is crucial to identify certain mechanisms of participation (Rosener, 1978; Laurian & Shaw, 2009), which subsequently influence the range of participants. When considering including potential participants in the participation process, there are several standards that can help the selection process, including (Manwarning, 2010; Ozerol & Newig, 2008; Rowe, Marsh, & Frewer, 2004; Conrad, et al., 2011),

- Whether interested groups are accurately identified;
- Whether the participants are chosen adequately and cover all stakeholders;
- Whether participants balance well between the role of representatives and involved individuals;
- Whether attempts are made to include individuals or groups that rarely participate.

However, a need to enlarge the extent of participation is suggested to transcend symbolic participation (Cornwall, 2008; Yetano, Royo Sonia, & Acerete, 2010). Participation is often challenged by unequal power sharing, lack of consultation over agendas, and limited time and funds available (Taylor, 2007; Yang & Callahan, 2007; Yetano, Royo Sonia, & Acerete, 2010). It is further argued that planners can take actions to upgrade the quality of participation in several perspectives, including to inform and to empower citizens in terms of objectives of participation, to start involvement of participant early in the process, and to ensure continuous involvement in order to improve the timing of participation. A larger range of stakeholders can be drawn to

participate through thoughtful selection of participants, communication with the public to gain local knowledge and information to improve techniques of participation and by providing clearly expressed and easily understood information (Burdy, 2003)

2.5.2.3 Timeliness

Timeliness refers to how early public involvement starts in the process (Conrad, et al., 2011). It is required for any good quality participation that stages of processes should be identified, and the time when to involve participants in each stage of a process should also be made clear (Ozerol & Newig, 2008). It is suggested that participation start early and continuously, ideally when the problems of the issue is made clear and chances exist to impact the processes (Creighton, 2005; Ozerol & Newig, 2008; Conrad, et al., 2011; Burdy, 2003), in order to ensure better public acceptance (Mostert, 2003; Ozerol & Newig, 2008). Late involvement of stakeholders tends to result in a low level of acceptance of decisions (Ozerol & Newig, 2008).

Timeliness is variable on goals, historic and political context of participation, as well as suggestions from stakeholder analysis, and relates to the utilization of participation forms (Ozerol & Newig, 2008). For instance, information supply is most properly taken in the initial stage of the decision making process, and more interactive forms of participation are appropriate for later stages (Harrion, Schmidt, Avis, & Hauser, 2001; Ozerol & Newig, 2008). Participation as an investment at the early stage of decision making can pay off when better solutions emerge, thus protect stakeholders' benefit in the long run (Godschalk, Parham, Porter, Potapchuck, & Schukraft, 1994;

Brody, Godschalk, & Burdy, 2003)

2.5.2.4 Comfort and Convenience

According to Conrad et al (2011), comfort and convenience refers to "the extent to which the process of participation is rendered easy for the public", and reflect "the relevance of the logistics of public participation" (Conrad, et al., 2011, p. 26; Halvorsen, 2001).

Strategies to improve participation convenience and to encourage citizens to get involved in the process have been explored, such as compensating to participants for their efforts (Harrion, et al., 2001; EU, 2002; Ozerol & Newig, 2008). Continuous communicating to participants with the results of participation is also crucial to prevent participants from assuming themselves unhelpful to the process or stopping future participation (Ozerol & Newig, 2008). Considerations of comfort and convenience during public participation includes, notice, timing and location, and methods to involve the public (Conrad, et al., 2011)

2.5.2.5 Influence

Influence of participation describes how public participation impacts the results. It assesses the effectiveness of outcomes and the extent to which participation affects the results of decision making process (Rowe & Frewer, 2004; Aasetre, 2006; Aitken, 2010; Conrad, et al., 2011). Many studies note that lack of public participation is a common challenge in planning (Burdy, 2003; So, Hand, & McDowell, 1986; Rosener, 1978).

Some scholars state that in the participation process, stakeholders' views are seldom or poorly paid attention to (Monnikhof & Edelenbos, 2001; Burdy, 2003), while others criticize techniques used in participation as being leaving unhelpful (Rosener, 1978; Kathlene & Martin, 1991; DeSario & Langton, 1987; Burdy, 2003).

To better understand the influence of participation, three levels are identified to describe degree of citizen's influence on the outcomes of an issue, namely non-participation, tokenism, and citizen power. Non-participation is the lowest level of participation effectiveness, referring to the unwillingness of authorities to empower citizens in the decision-making process. Tokenism reflects the condition when citizens' views are listened to but make no change in the end product. The level of citizen power shows citizens' influential role in a process that involve sufficient negotiation and engagement (Brody, Godschalk, & Burdy, 2003). Levels of participation, furthermore, are determined by the choices made by planners in involving citizens (Brody, Godschalk, & Burdy, 2003).

2.5.2.6 Communication with the Public

As creating communication is one purpose of public participation, effective communication among the variety of stakeholder therefore is significant (Ozerol & Newig, 2008). As in the nature of public participation information expected by participants is usually held by authorities, a key effort to improve communication in participation requires a balance between implementing authorities and citizens for two-way interactions (Rowe & Frewer, 2004; Ozerol & Newig, 2008). Through

communication, the legitimacy of the participation process can be promised through authoroties' receiving public ideas and making responses (Beierle & Cayford, 2002; Ozerol & Newig, 2008). Management of desired outcomes is expected to be achieved by communication in every stage of participation (Ozerol & Newig, 2008).

To ensure quality communication in public participation, several criteria are summed up by Ozerol and Newig (2008), including continuous idea exchange, clear language usage, quality information supply, and confidentiality (Ozerol & Newig, 2008; Harrion, Schmidt, Avis, & Hauser, 2001; EU, 2002)

2.5.2.7 Financing

The cost of public participation mainly comes from management and administration, such as organizing activities, employing of consultants, and involving of stakeholders (EU, 2002; Ozerol & Newig, 2008). According to Harrison et al (2001), a study on assessing benefits and costs of participation states that benefits of public participation include higher income of stakeholder, upgraded services, fewer cost for operation, and more responses. On the other hand, the costs of participation are identified as being higher than the benefits, although coming from it (Ozerol & Newig, 2008).

Participation costs participants financially (Ozerol & Newig, 2008). It is suggested that participants can be analyzed to determine whether they need financial support to be involved in participation, and also whether they should be compensated for their effort (Harrion, et al., 2001; Mostert, 2003; Ozerol & Newig, 2008)

2.5.2.8 Capacity Building

As Beierle and Cayford defined, capacity refers to the ability of the public to identify problems, get involved, and make a change on decisions (Beierle & Cayford, 2002; Ozerol & Newig, 2008). Capacity building implies providing the public with opportunities to participate (Ozerol & Newig, 2008). Levels of impact differ according to relevant participation forms, thus standards set for information supply, consultation, and active involvement are different in terms of capacity needed (Ozerol & Newig, 2008).

Capacity building in participation creates common understanding and encourages the public to engage more in participation process, which leads to results that will in turn be crucial for setting rules of participation (Harrion, et al., 2001; Ozerol & Newig, 2008). Other scholar argues that training activities for both authorities and participants improve their capacity for a better implementation of participation requirements (Ozerol & Newig, 2008)

2.5.3 Public Participation in China

Impacted by the Soviet Union socialist ideology, urban planning in China does not own a rich base to involve the public into planning process (Yao, 2011). Public participation was introduced to urban planning issues related to urban conservation in the 1980s (Li, 2005), which generally was referenced from Western experience. There are two forms of public participation in China: formal participation and informal participation. Formal participation is mandatory according to relevant legislations. It is

usually implemented through public convention and professional deliberation. Informal participation is not legally required. The public can be involved in the planning process through this form to contribute their knowledge and perceptions (Wu, 2011).

There are several laws and legislations that suggest providing more public participation opportunities in planning process in China. Wu (2011) has listed a few which will be summarized as follows. Proposals on enhancing public participation mechanism were put forward in the 17th CPC National Congress on: 1) involving the public into political process; 2) improving the democracy, transparency and scientificalness in decision making process; 3) integrating public opinions while establishing laws and legislations that are highly related to the benefit of the public. *Notice of the State Council on Enhancing Cultural Heritage Conservation* (the State Council, 2005) stresses that conservation related plans must be shown to the public and public consultations must be conducted before the final decision. This requirement on consulting with the public during planning process is also stated in the *Urban and Rural Planning Law*, which confirms the legal force of public participation. It suggests conducting reasoning conferences and public hearings to collect public opinions on the draft plan, and integrating these opinions into decision making process. Forms of public participation such as public hearings and reasoning conference are also required to be involved in urban conservation planning issues in *Historic Cultural Cities, Towns, and Villages Conservation Ordinance*.

2.6 Summary

Three main information sources have been examined by this literature review: issues of conservation, plan evaluation, and public participation. The meaning and focus of conservation has been continuously changing due to the transformation of institutional context and socio-economic circumstances, especially in Chinese cities which have undergone tremendous changes as a result of rapid development. Conservation plans play a significant role as a planning tool to ensure the conservation activities to be implemented according to clear defined goals and methods. The topic of plan evaluation did not gain dominance until the 1990s, when the need to define good plan quality and to evaluate plan implementation was increasingly required in the planning domain (Berke, et al., 2006). The key stages of the planning process stated in the literature review will be adopted to assess the conservation plans of HCCs later in this study. Stakeholders' perceptions will be explored and integrated in this research. The process based goals will be used later in this thesis to investigate the scope of which the conservation planning has met the requirements of democratic process.

Chapter 3

Methodology

3.1 Introduction

Chapter 3 of this thesis, Methodology, describes three approaches: 1) content analysis of conservation plans, 2) residential surveys, and 3) key informants in-depth questionnaires. Each method will be explained in detail in terms of sampling, research instruments, and data analysis.

3.2 Study Framework

The research methods utilized in this study aim to achieve three research objectives: 1) to distinguish the level of detail in HCC conservation plans with a focus on conservation policies, 2) to clarify the level of detail local residents expect in the conservation policies of the HCC conservation plans, and 3) to obtain an in-depth understanding of stakeholders' opinions on conservation plans.

This is an example of mixed method approach which is a technique that combines the virtues of both qualitative and quantitative studies, thereby providing better insight than that which can be obtained from the individual method (Creswell, 2009). In this study, both quantitative and qualitative data collected will be used to answer different questions. The quantitative data collected during content analysis of conservation plans will explore the differences among conservation plans in terms of the level of detail of policies. Comparing quantitative data collected from conservation plan analysis with

quantitative data collected during surveying of local residents will aim to answer the question: What is the difference between the level of detail of policies presented in conservation plans of HCCs and the level of detail that stakeholders expect in conservation plan policies? Qualitative data from in-depth questionnaires submitted to key informants will supplement the quantitative data, providing more detailed information in order to properly address and answer these research questions.

A case study approach was adopted to obtain an understanding of the opinions of stakeholders from a specific study area. As defined by Yin (1994), a case study is “an empirical inquiry that investigates a contemporary phenomenon within the real life context”, and aims to understand, describe, and predict the selected case (Yin, 1994, p. 23). Yin (2008) stated that from a theoretical point of view, a single case study can be generalized. For this study the city of Beijing was chosen for analysis for three reasons, including: 1) this selected study area is the capital city of China, 2) conservation planning in this study area tends to lead conservation actions across China, and 3) this study area falls within the “Ancient Capital” category of a HCC, ideal for the purpose of this study.

Findings from the case study can be generalized to the rest of the HCCs. The information regarding the expected level of detail of conservation plans required by residents and key informants in the Beijing Historical City, based on participant surveying, can be compared with the results of content analysis based on 17 different categories of conservation plans and an explanation of these policy categories will be provided in page 72, 75, and 76. Qualitative results of in-depth questionnaires of the key

informants further provides information from the personal accounts of the participants, contributing to the study by providing broad perspectives towards the specific research questions addressed in this study (Legard, Keegan, & Ward, 2003).

The specific categories of policies that should be included in the conservation plans remains a fundamental issue in conservation related theories. In places where conservation is integrated into the general management, international charters play a fundamental role in providing principles and guidelines for conservation (Taylor, 2004). Although most countries have legislation for protecting their own heritage, it is vital to have specific guidance on conservation practices (China ICOMOS, 2002). In order to evaluate the level of detail of conservation plans, a framework of policy categories for this study was established. At the beginning, a checklist of categories of conservation plan policies was created. Principles for the Conservation of Heritage Sites in China (China Principles), together with the Code of Conservation Planning for Historic Cities (CCPHC) were adopted as a basis for the checklist of policy categories for this study.

The framework of policy categories utilized in the present study was established with contributions from two sources. Specifically, the first set of contributions comes from the *Principles for the Conservation of Heritage Sites in China* (China Principles), which provides an explanation of guidance on conservation plans. The section headings of the chapter “Conservation Management Plans” from this document were utilized as policy categories. The other source of the policy categories utilized in this study comes from the section headings of the third chapter of the CCPHC, which states regulations on

the HCCPM. Table 3-1 lists and describes each policy category adopted for the purpose of this research study.

The China Principles, which is short for Principles for the Conservation of Heritage Sites in China, were released in 2000. They are composed of the official guidelines for conservation practice in China by China ICOMOS co-operating with Australian Heritage Commission and the Getty Conservation Institute (California). The China Principles incorporate conservation approaches that were actually suggested by the Burra Charter, and provide guidelines on how to identify heritage value in designated areas. It takes North American experiences and uses them to establish guidelines for conservation in China, fulfilling the conservation requirements in Asian Culture (Qian, 2007; Taylor, 2004). In additional to Western conservation concepts, the China Principles greatly relies on Chinese experiences, providing conservation guidance while taking into account Chinese cultural context (China ICOMOS, 2002). The China Principles are concretely integrated into the framework of conservation laws and regulations. They are viewed as guidelines for conservation plans and as criteria for evaluating the appropriate implementation of conservation actions. (Taylor, 2004). Additionally, the China Principles are claimed to be suitable to the city-scale of conservation, which is applicable to HCCPM (Qian, 2007). The China Principles advocates “Chinese approaches” of conservation which stresses conservation practices involving less intervention. This conservation concept is in accordance with the Burra Charter, the Venice Charter and Liang’s concept of “repair the old as it is” (Qian, 2007).

The implementation of the China Principles allows intervention on decision-making processes involving conservation, due to the conclusion that conservation mechanisms in China should be adopted within the legislative system, and must be implemented in accordance with the Chinese laws (China ICOMOS, 2002).

The China Principles highlights the bureaucratic framework and the implementation formula in conservation practice (Qian, 2007). Therefore, the “Code of Conservation Planning for Historic Cities” (CCPHC), released by the State Council, was adopted to comprehensively establish the framework of policy categories for evaluating the level of detail of conservation plans in this study. CCPHC is primarily edited by the China Academy of Urban Planning & Design, in combination with Urban Planning & Design Institutions from the City of Shanghai, Chengdu, and Wuhan, as well as the Department of Heritage Preservation of the State Administration of Cultural Heritage. This guideline was approved by the State Council in 2002, as it was in accordance with relative policies in “P.R.C.’s Law on the Protection of Cultural Relics” and “Regulations on Historic Cultural Cities Conservation”, and simultaneously was accommodating to recently emerged conservation issues in the HCCs (Zhao, 2005). The CCPHC was composed in order to ensure that the practices of conservation planning and relative implementation were conducted in a scientific, reliable, and effective way. It is applicable to conservation planning at three levels, including: Historic Cultural Cities, Historic Cultural Districts, and the Heritage Sites. It contains policies on conservation planning structures, including the extent, contents, focuses, and methods of conservation (CAUPD,

2005).

Policy Category	Description
1. Level of protection	Policies on: description of conservation areas, including level of conservation, background, the extent of conservation
2. Legislative base	Policies on: regulations, laws, legislations related to conservation
3. Current condition	Policies on: the evaluation of current conditions of conservation areas
4. Purpose of conservation	Policies on: the overall purposes that direct the conservation management of the conservation areas
5. Focuses of conservation	Policies on: the major focus of conservation practice in the conservation areas
6. Conservation strategy	Policies on: conservation strategies aiming at different problems
7. Conservation approach	Policies on: approaches of conservation, including different approaches for different situations
8. Content of conservation	Policies on: identifying what to be conserved in the conservation districts
9. Boundaries	Policies on: the set of boundaries of conservation districts
10. Conflict management	Policies on: conflicts that may arise during the conservation planning process
11. Height restriction	Policies on: height restrictions on the physical structures in the conservation areas
12. Methods of transportation	Policies on: methods of transportation in the conservation districts (such as pedestrian, bus, subway, roads)
13. Road system	Policies on: framework, scale, restrictions of roads, and parking
14. Public utilities	Policies on: public utilities (such as drainage system, waste management, hydro, communication devices)
15. Risk management	Policies on: risk management within the conservation districts, including fire rescue, emergency response, and requirements relating to security issues
16. Human resources	Policies on: the number, type, and qualification of human resources in conservation districts

Policy Category	Description
17. Monitoring mechanism	Policies on: the programs ensuring conservation activities in the conservation areas

Table 3-1: Final Framework of Policy Categories

3.3 Conservation Plan Content Analysis

Content analysis is generally defined as "the systematic, objective, quantitative analysis of message characteristics" (Neuendorf, 2002, p. 1). Through content analysis, policies of conservation plans will be explored to determine the overall level of detail of the plans.

3.3.1 Sampling Method

For the purpose of this study the conservation plans to be evaluated were selected from the 118 listed HCCs in China. The criteria of conservation plan selection were: 1) falling within any of the following classes of conservation plan: Ancient Capital city, Traditional Style city, Local Featured city, Modern Historic city, or HCCs with historic sites, 2) the conservation plans have been approved by the State Council or the relevant provincial government, and 3) the conservation plans are publically accessible. The criterion of conservation plan classification was set because in these classes of conservation plans, organic wholes, which refer to original communities and historic districts with various functions, were aimed to be conserved. These conserved areas link human activities and the built environment, making them valuable study candidates for the purpose of this research. The criterion of public accessibility is included as open

access resources tend to involve higher level of public participation, whereas some conservation plans are assumed as not open to the public, as the researcher have spent four months on attempting to collect full content of conservation plan through online and printed resources but failed. Conservation plans which are not open to the public therefore barely involve public participation.

The HCC conservation plans can be found at the official websites of the listed Historic Cultural Cities and the Municipal Planning Bureaus. Table 3-2 shows the conservation plans that fall within the selected classes. Each conservation plan was evaluated according to the selection criteria. Additionally, the date of approval of the plans and whether the selected plan is independent or subsidiary to the City Master Plan are explored and recorded. A blank in the table means no available information pertaining to that measurement could be found by the researcher. In total, 21 conservation plans successfully met the selection criteria. A second round of selection for a more detailed refinement among these selected conservation plans was made. Chongqing, Hancheng, Luoyang, Qingdao, Shanghai, Lijiang, and Xi'an were not selected because only brief introductions to the conservation plans of these cities were included in the city master plans. Hangzhou, Wuhan, Yulin and Jinan were excluded as their conservation plans were too short for adequate content analysis. Langzhong was also excluded from content analysis as the available source of conservation plan was only the plan instructions rather than the full content. This resulted in nine plans that qualified for content analysis, which are marked in grey in Table 3-2. They include: Beijing, Nanjing, Dali, Chaozhou, Yibin,

Ganzhou, Zhongxiang, Zhaoqing and Foshan. The locations of the nine selected HCCs are shown in figure 3-1.

City	**Approved (A) or Not Approved (NA)**	**Public Accessibility**	**Classification**	**Date of Approval**	**Independent or Subsidiary**
Beijing	A	Yes	Ancient Capital	May, 1st, 2007	Independent
Nanjing	A	Yes	Ancient Capital	May, 1st, 2012	Independent
Luoyang	A	Yes	Ancient Capital	Jan, 2007	Subsidiary
Kaifeng	NA	No	Ancient Capital		
Hangzhou	A	Yes	Ancient Capital	Feb, 26th, 2007	Subsidiary
Xi'an	A	Yes	Ancient Capital	May, 6th, 2008	Subsidiary
Anyang	NA	Yes	Ancient Capital		
Xianyang	A	No	Ancient Capital	Nov, 2008	Subsidiary
Pingyao	A	No	Traditional Style	Feb,12th, 1997	Independent
Shangqiu	NA	No	Traditional Style		
Langzhong	A	Yes	Traditional Style	2004	Independent
Zhenyuan	A	No	Traditional Style		Independent
Hancheng	A	Yes	Traditional Style	2004	Subsidiary
Yulin	A	Yes	Traditional Style	2008	Subsidiary
Qixian	A	No	Traditional	Nov, 20th,	Independent

			Style	2006	
City	**Approved (A) or Not Approved (NA)**	**Public Accessibility**	**Classification**	**Date of Approval**	**Independent or Subsidiary**
Changsha	NA	Yes	Modern Historic		Independent
Zunyi	A	No	Modern Historic	Nov, 2005	Independent
Yan'an		No	Modern Historic		
Tianjin	A	No	Modern Historic	July, 27th, 2006	Subsidiary
Shanghai	A	Yes	Modern Historic	May, 11th, 2001	Subsidiary
Nanchang	NA	No	Modern Historic		Independent
Wuhan	A	Yes	Modern Historic	Mar, 8th, 2010	Subsidiary
Chongqing	A	Yes	Modern Historic	Oct, 15th, 2011	Subsidiary
Harbin	NA	Yes	Modern Historic		Independent
Qingdao	A	Yes	Modern Historic	Aug, 5th, 1999	Subsidiary
Dali	A	Yes	Local Featured		Subsidiary
Lasa	A	No	Local Featured	Mar, 12th, 2009	Subsidiary
Huhehaote		Yes	Local Featured		
Fuzhou	NA	No	Local Featured		Independent
Chaozhou	A	Yes	Local Featured		Independent
Lijiang	A	Yes	Local Featured	Aug, 7th, 2005	Subsidiary
Rigaze		No	Local Featured		
Yinchuan	NA	No	Local Featured		Independent
Kashi	NA	No	Local Featured		Independent

City	Approved (A) or Not Approved (NA)	Public Accessibility	Classification	Date of Approval	Independent or Subsidiary
Jianshui	A	No	Local Featured	July, 2010	Subsidiary
Weishan	A	No	Local Featured	Dec, 2011	Independent
Jiangzi	NA	No	Local Featured		
Tongren	NA	No	Local Featured		
Baoding	A		HCCs with Historic Sites		Subsidiary
Shenyang	A	No	HCCs with Historic Sites	June. 28, 2012	Independent
Xuzhou	NA	No	HCCs with Historic Sites		Independent
Huai'an	NA	Yes	HCCs with Historic Sites		Independent
Zhangzhou	A	No	HCCs with Historic Sites	July, 12, 2012	Independent
Jinan	A	Yes	HCCs with Historic Sites	December, 30, 2010	Subsidiary
Nanyang	NA	No	HCCs with Historic Sites		
Xiangfan	A	No	HCCs with Historic Sites	November, 30, 2012	Independent
Yibin	A	Yes	HCCs with Historic Sites	August, 15, 2010	Independent
Zhengding	A	No	HCCs with Historic Sites	July, 2011	Independent
Handan	A	No	HCCs with Historic Sites	July, 2011	Independent
Xinjiang	A	No	HCCs with Historic Sites	1996	Independent
Daixian	A	No	HCCs with Historic Sites	June, 2009	Independent
Jilin		No	HCCs with Historic Sites		

City	Approved (A) or Not Approved (NA)	Public Accessibility	Classification	Date of Approval	Independent or Subsidiary
Ji’an		No	HCCs with Historic Sites		
Quzhou		No	HCCs with Historic Sites		
Linhai	NA	Yes	HCCs with Historic Sites		Independent
Ganzhou	A	Yes	HCCs with Historic Sites	August, 25, 2010	Independent
Liaocheng		No	HCCs with Historic Sites		
Zibo		No	HCCs with Historic Sites		
Zhengzhou		No	HCCs with Historic Sites		
Xunxian	A	No	HCCs with Historic Sites	March, 11, 2006	Subsidiary
Suizhou			HCCs with Historic Sites		
Zhongxiang	A	Yes	HCCs with Historic Sites	March, 1, 2002	Independent
Yueyang	A	No	HCCs with Historic Sites	April, 2003	Independent
Zhaoqing	A	Yes	HCCs with Historic Sites		Independent
Foshan	A	Yes	HCCs with Historic Sites	2006	Independent
Meizhou		No	HCCs with Historic Sites		
Leizhou		No	HCCs with Historic Sites		
Liuzhou	A	No	HCCs with Historic Sites	November, 10, 2010	Subsidiary

Qiongshan		No	HCCs with Historic Sites		

Table 3-2: Conservation Plans Selection for Content Analysis

Figure 3-1: Locations of the Nine Selected HCCs (Source: Google Map, 2013)

3.3.2 Research Instrument

Human content analysis coding was adopted as the research instrument to analyze the level of detail of the policies of the sampled conservation plans (Auerbach & Silverstein, 2003). The researcher of this study was the individual coder for content analysis, creating a codebook and a coding form. In the codebook, each policy category was listed and the corresponding statements in the conservation plans were examined.

Statements that fell within the 17 listed policy categories were copied under the category heading. In the coding form, content from the conservation plans that relates to each of the policy categories will be measured quantitatively based on levels of detail. Five levels of detail categories were composed in the order of increasing comprehensiveness. This design was chosen based on a survey of available literature regarding plan quality, planning process quality, plan implementation, and plan evaluation studies. Essentially the internal characteristics of the plan quality – issue identification and vision, goals, fact base, policies, implementation, evaluation and monitoring – were examined (Berke & Godschalk, 2009). According to Berke and Godschalk, headings to state each level of detail category were developed. Background description stands for issue identification and fact base. Objectives stand for vision and goals. Implementation directly comes from implementation defined by Berke and Godstchalk (2009). Evaluation and monitoring in this study also adopt the definition from Berke and Godschalk's literature. The level of detail categories and the corresponding statement of each category are shown inn Table 3-3.

Level of Detail Category	Statement of Category	Scale
No detail	Not included in the plan	1
Minimal level	Background description of the conservation practices.	2
Common level	Minimal level + Objectives	3
High level	Common level + plan implementation	4
All-inclusive level	High level + evaluation	5

Table 3-3: Level of Detail Categories and Statement of Categories

From the first level to the fifth level, the detail categories are in an incremental

form, with each category of level of detail representing a more comprehensive nature. In order to ensure the transparency in terms of level of detail categories and accuracy of the data analysis results, elements constituting each level of detail will be explained and defined according to literature on plan quality and plan evaluation.

i. Background description

Background description refers to information relating to the analysis of current conditions and their relevant causes. It also includes facts of demographic and economic aspects. It is the description of present land use and land supply.

ii. Objectives

The desired future outcomes that the public expect in terms of land use, development patterns, and community values.

iii. Implementation

Involves commitment, timeline, and identified responsibility for actions. Sometimes sources of funding to ensure the actions are undertaken will also be clarified.

iv. Monitoring and Evaluation

Monitoring and evaluation involve setting measurable indicators in order to track the progress and effectiveness of conservation plans. It also needs to outline the individuals or the organization that will be responsible for evaluation. Usually a timeline of each step of evaluation will be provided.

Due to the increasing nature of the level of detail categories, content of each level must strictly align with the associated definitions and descriptions. This means that

each level of detail category must contain all the content set by the definition. During content analysis, if the conservation plan content contains only parts of a certain level of detail, then it will not count for that level. The level of detail recorded for any policy will be the highest level that falls into a certain policy category.

3.3.3 Data Analysis

Tables of univariate frequency were used to state the result of analysis on each policy category. Aligning with the framework of 17 policy categories, the tables in the results chapter outline the selected conservation plans with level of detail of each of their policies. The tables also outline the overall level of details of sampled conservation plans, as well as the conservation plan of independent and subsidiary status.

3.4 Residential Surveys

Residential surveys were conducted to obtain an understanding of residents' expectations regarding the level of detail of conservation plans based on the 17 policy categories. This section outlines the sampling method, research instruments, and data analysis processes that were used in this study.

3.4.1 Sampling Method

The stakeholder group targeted for residential surveys was residents living in the Old City of Beijing, who are representatives of this designated area. These residents were asked questions relating to their experiences living in the district and their understanding

of conservation plans. The group of residents was selected because the policies of conservation plans directly influence them and the Historic Cultural District policies are ultimately designed to benefit this group (CAUPD, 2005).

Before conducting the survey, a random sampling method was designed. However, during data collection, the researcher encountered resistance to being surveyed indoors from both residents and Neighborhood Committees. This obstacle mainly resulted from a cultural phenomenon called “guanxi”, in Chinese “关系”. This phenomenon involves a network of individuals or organizations, referred to as the guanxi network. Those in the guanxi network will be resistant to assist others who are not in the network. This is attributed to the fact that Chinese society tends to separate population into two groups: those who are trustworthy and those who are not. Those who can be trusted are highly welcomed in the guanxi network, while those identified as strangers may be considered untrustworthy and are not welcomed (Snejina & Verner, 2003).

In order to overcome this challenge, the researcher adopted a convenience sampling approach called nonprobability sampling. In convenience sampling research, participants are selected according to their convenience and availability (Creswell, 2009). It is a commonly used selection approach, and is widely accepted in many nonprofit and academic research organizations. Nonprobability sampling is preferable compared to samples that result in low response rates (Fowler, 2002). The researcher conducted survey interviews with residents living in the 25 districts of the Old City of Beijing until a certain number of responses were obtained. The target was set to collect at least 100

surveys for the convenience sampling data collection.

To explore the residents' understanding and expectations on the level of detail of conservation plans, criteria were set out to identify the potential participants that are local and have their own understanding of the community. The researcher wandered within each of the 25 districts and made an effort to survey residents on the streets. Constraints were set on the characteristics of the potential participants that included: 1) age between eighteen and sixty, 2) continuously living in the district for at least six months, 3) availability to be surveyed at that moment, 4) having a local accent and 5) not having a typical visitor appearance. The researcher asked each resident encountered on the street if he or she approved to be surveyed. Those who agreed to participate were asked if they have met the criterion constraints, and the pool of potential participants was formed based on the criteria. Although residents are more content with being surveyed on the street than being surveyed indoors, many refused to be involved. In total, 101 residents from 23 districts participated. Two more resident surveys were gained from participants that have personal contact with the researcher. In total, 103 resident surveys were collected during the data collection process.

In each stakeholder group including both residential surveys and key informant surveys, participants were asked to provide descriptive information. Beyond the characteristic constraints set for participant selection, inquiries regarding their knowledge related to the conservation plans of HCCs were also conducted. In this study, the knowledge of conservation plans refers to the experience of a participant if he or she had

either 1) attended public conventions relating HCCPM, 2) read a conservation plan, 3) discussed or proposed topics relating to conservation plans with government officials, or 4) been involved in conservation planning works. Ethics clearance to conduct residential surveys and key informant surveys was approved by the University of Waterloo, Office of Research Ethics on March 13, 2012. Table 3-4 provides categorization of participants that were contacted in this study.

Stakeholder Group	**Numbers of Potential Participants Contacted**		**Number of Individuals That Responded to Surveys**	**Percentage of Respondents**
Residents	413		103	25%
Planning Professionals	Academic Institutions	21	11	18%
	Planning Companies	16		
	Governmental Departments	25		
NGO Workers	3		1	N/A

Table 3-4: Participant Recruitment

In Table 3-4, respondents of each participant group are summarized, along with the calculated percentage of responses collected from each potential participant contacted. Three nongovernmental organizations (NGO) were contacted by phone and email in the recruiting process. The work of these particular NGOs was in the conservation and preservation field, including protection of local culture, Historic Cultural Districts, and education on preservationists.

3.4.2 Research Instrument

Of particular interest to the study is what residents expect the level of detail regarding each individual policy category contained in the conservation plan of the HCC. Residential surveys were conducted in order to obtain quantitative evaluation. The sample of a residential survey is provided in Appendix C. The residential surveys ask participants how comprehensive they think the conservation plan policies should be in terms of each policy category. Participants were required to rate each conservation plan policy on the level of detail they believe each policy should contain in terms of each of the 17 policy categories. Other options, “Not Applicable (N/A)” and “I have no idea”, were also provided to participants in case some participants advocate a policy category not necessary, or they are not knowledgeable enough to scale on a policy category. Participants were also given a chance to express in their own words how they think about conservation plans and the conservation mechanism of HCCs in response to an open question provided at the end of the residential surveys.

Residential surveys were printed and used by the researcher during field work. Residents who met the sampling criteria were asked the questions on the residential survey, following a brief introduction on the topic and purposes of the study, the identification of the researcher, and the approximate time the survey would take. Participants’ answers to each question were marked or written down by the researcher. If the participants were confused about a certain question, further elaboration and explanations were provided until consensus about the meaning of the particular question

was reached between the participant and the researcher. Only completed surveys were included in the data analysis. Completion indicated that the participant had finished answering all of the questions that involved scaling the level of detail of plans. For example, if all the questions were answered except for the final open question, the survey was still viewed as being completed; however, if the open question is answered, but some of the questions on scaling the level of detail were ignored by participants, that survey will be counted as incomplete.

Due to the fact that the case study was conducted in a non-English speaking country, the collected data and materials were translated from Chinese to English, including residential surveys, in-depth key informant surveys, posters, and feedback letters. As the researcher is bilingual, all the materials were translated by the researcher from English to Chinese and vice versa as shown from Appendix B to Appendix E. All the surveys and interviews were conducted in Chinese for the convenience of the participants. At the end of the surveys and interviews, participants were asked if they approve to be contacted for follow-up questions. Feedback letters were sent back to the participants to appreciate their contribution on the data collection work.

3.4.3 Data Analysis

IBM SPSS Statistics 19.0 was used for data analysis of 103 residential surveys collected. Frequency tables were created to demonstrate the responses from participants on the level of detail related to the 17 policy categories. Chi-square analysis was used to

analyze data collected from participants in terms of their location, stakeholder group and planning knowledge level.

3.5 Key Informants In-depth Questionnaires

In this stage of research, in-depth questionnaires were carried out with key informants, which included planning professionals from academic institutions, planning companies, and governmental departments. This provided a variety of different perspectives regarding HCCPM and HCC conservation plans. This section outlines the sampling method, research instrument, and data analysis for key informant in-depth questionnaires.

3.5.1 Sampling Method

In an attempt to obtain responses from key informants, in-depth questionnaires were submitted to potential participants from four different stakeholder groups, including: 1) planning researchers from academic institutions, 2) governmental authorities, 3) planning professionals from local companies, and 4) NGO workers. These groups were chosen due to their significant involvement regarding conservation plans in the designated districts. The in-depth questionnaires are a qualitative investigative portion of the study. Qualitative research is suitable for complex research questions, and it helps researchers to understand and context and phenomena of their studies (Snape & Spencer, 2003).

Because of the limited personal contact of the researcher with potential

participants in the sample, the primary method of contact was through the Internet. Initially, the researcher posted recruitment advertisements on the website of Beijing Municipal Commission of Urban Planning (BMSOUP), local preservationist Bulletin Board System, and local NGO websites. The researcher had also contacted three NGO organizations and 20 planning professionals directly through email and phone. After the first stage of attempts, four responses were collected during March and May of 2012. As such, this limited number of responses was not sufficient for qualitative analysis, so follow-up data collection work was conducted between June and July, 2012. Snowball sampling was applied in this stage and involved dropping off questionnaires to potential participants. Snowball sampling is designed to identify cases of interest from people who know other potentially available participants (Miles & Huberman, 1994). The researcher asked every participant if he or she knew anyone that could get involved in this study. Additional responses were gained from academia and newly established personal contacts, such as international students who have some indirect relationships with potential participants in the study field, and personal contacts that have good relationships with planning professionals. This culminated in a contact list containing potential participants that were then sent the in-depth questionnaires. Responses were collected 10 days after the initial drop-off.

During the second stage, seven more responses were obtained, culminating in 11 responses total from key informants. Difficulties in approaching the potential respondents included the fact that contact through phone and internet was easily ignored, and cultural

limitations including the Guanxi phenomenon, which was explained in page 86.

3.5.2 Research Instrument

Key informant questionnaires with open-ended questions were used to help gain a detailed understanding of participants' perceptions and access to first-hand information. In the in-depth questionnaires, questions were set for participants focusing on how they understand the nature of conservation plans and conservation mechanisms in China. The questions were created in an open-ended and semi-structured manner to ensure the responses from participants would not be restricted within a certain context. A sample of a key informant in-depth questionnaire is shown in Appendix E.

3.5.3 Data Analysis

Coding techniques, rooted in grounded theory were adopted for qualitative data analysis of the key informants' questionnaires. Grounded theory methods "consist of systematic and flexible guidelines for collecting and analyzing qualitative data to construct theories 'grounded' in the data themselves" (Charmaz, 2006, p. 2). It involves grouping information into categories, positioning the selected categories into a theoretical framework, and narratively explaining the links among categories (Creswell, 2009). Coding is a process to divide data into segments of contents and to make information meaningful (Rossman & Rallis, 1998). According to Charmaz (2006), the aim of coding is: 1) to distill and sort data into segments, 2) to label each segment, and 3) to explain the meaning of each segment. The coding technique used in this study includes three main

phases: initial coding, focused coding, axial coding, and theoretical coding according to the grounded theory method. Specifically, a line-by-line coding was used during the initial coding process. Line-by-line coding is to define a theme of each line of your data (Glaser, 1978). Focused coding uses the important pieces of contents and categorized them into groups (Charmaz, 2006). Axial coding "relates categories to subcategories, specifies the properties and dimensions of a category, and reassembles the data you have fractured during initial coding to give coherence to the emerging analysis" (Charmaz, 2006, p. 60). Lastly, theoretical coding "specifies possible relationships between categories" developed from earlier steps of coding process (Charmaz, 2006, p. 63).

Auerbach & Silverstein (2003) have provided a practical guide on how to conduct the coding process. Developed from the concept of grounded theory coding, they have specified six steps of coding process, namely: 1) explicitly state the research concerns and theoretical framework, 2) select the relevant text for further analysis, 3) record repeating ideas by grouping together related passages of relevant text, 4) organize themes by grouping repeating ideas into coherent categories, 5) develop theoretical construct by grouping themes into more abstract concepts, and 6) create a theoretical narrative. The qualitative data analysis of this study will follow these steps, as they provide a detailed, direct coding process that aligns with principles and main phases of coding technique stated in literature. Table 3-5 shows the steps of coding provided by Auerbach & Silverstein (2003) and a description of each step.

Step of Coding Process	**Description**

1. Explicitly state the research concerns and theoretical framework	By learning the research concerns (what the researcher expect to learn and the reason) and theoretical frameworks (the overall approach of the study), the researcher would have a clear direction while reading through the raw text.
Step of Coding Process	**Description**
2. Select the relevant text for further analysis	Highlight and select content relevant to research concerns. The decision on relevant information is subjective to the researcher.
3. Record repeating ideas by grouping together related passages of relevant text	Search within the relevant text for repeating ideas (which are the ideas stated in similar format and content by more than one participant). It is also crucial to record a distinct statement expressed by a single participant. The repeating ideas should be named with short quotes.
4. Organize themes by grouping repeating ideas into coherent categories	Group repeating ideas into categories of common themes. The grouped repeating ideas share topics in common. Name the themes.
5. Develop theoretical construct by grouping themes into more abstract concepts	Position groups of themes into theoretical structure. By doing this, theoretical constructs will be developed. Name each theoretical construct.
6. Create a theoretical narrative	According to theoretical constructs, tell a story of participants in order to address the theoretical concerns. During theoretical narrative, participants' own language will be adopted.

Table 3-5: Steps of Coding Process and Description. Adapted from Auerbach & Silverstein (2003)

3.6 Summary

This chapter explained four main components of methodology used in this study. First, the study framework – including 17 policy categories, five level of detail categories, and their theoretical background – was described to provide a base for evaluation in the following steps of data analysis: conservation plan content analysis, residential survey, and key informants in-depth questionnaires.

Secondly, different sampling methods, research instruments and data analysis method were adopted in each step of the study. Conservation plans for content analysis were chosen according to specified selection criteria from 118 HCC conservation plans. The levels of detail to each policy category of the sampled plans were analyzed through human coding technique.

Thirdly, a convenience sampling approach was used to select residents for residential surveying. Participants were asked about their expectation on level of detail to each policy category in conservation plans. The results of the residential surveying were compared to the results of conservation plan content analysis, with the results of the comparison stated in Chapter 4. Chi-square analysis was conducted on how different identifications of participated residents influence their perceptions.

Lastly, key informants' opinions on HCCPM were explored through in-depth questionnaire. A snowball sampling method was utilized to collect qualified key informants. Respondents' perceptions were analyzed through coding technique from grounded theory.

Chapter 4

Results

4.1 Introduction

Chapter 4 of this thesis – results – consists of five parts: 1) results of content analysis of current HCC conservation plans, 2) results of analysis of residential surveys on participants' expectation of conservation plan policies, 3) results of analysis on responses according to participants' location, planning knowledge, and stakeholder group, 4) comparison of results from content analysis of current conservation and analysis of residential surveys, and finally 5) results of qualitative feedbacks.

4.2 Level of Detail of HCC Conservation Plans

In total nine conservation plans were analyzed to determine their level of detail according to 17 policy categories provided in research method in Chapter 3. Through the content analysis, an understanding of the links among the levels of detail of sampled conservation plans was expected. Policies of conservation plans were measured through a five-level scale to determine how comprehensive the plans are in terms of a certain policy category. The five-level scale of detail includes: one as "not included" , two as "minimal level" , three as "common level" , four as "high level" , and five as "all-inclusive level".

The nine sampled conservation plans – Beijing, Chaozhou, Dali, Foshan, Ganzhou, Nanjing, Yibin, Zhaoqing, and Zhongxiang – were analyzed according to the

identified 17 policy categories. In table 4-1, the results of content analysis are presented in grouping plans of the same classification. Information on the word count (Chinese character) of each plan, whether plans are independent, and classification is provided. Words contained in each conservation plan range differently from five thousand to twenty thousand. Among these conservation plans, two of them fall in the Ancient Capital class of HCC, two plans fall in the Local Featured class, and five plans fall in the Historic Sites class. One plan is subsidiary to the city master plan, while the rest of the sampled plans are all independently published.

Conservation Plan Policy Category	**Beijing Ancient Capital, Independent, 9,737**	**Nanjing Ancient Capital, Independent, 16,589**	**Chaozhou Local Featured, Independent, 5,729**	**Dali, Local Featured, Subsidiary, 9,923**	**Foshan HCCS with Historic Sites, Independent, 15,790**	**Ganzhou HCCs with Historic Sites, Independent, 21,541**	**Yibin HCCs with Historic Sites, Independent, 30,779**	**Zhaoqing HCCs with Historic Sites, Independent, 57,921**	**Zhongxiang HCCs with Historic Sites, Independent, 21,339**
1. Level of Protection	2	2	2	4	2	4	2	2	4
2. Legislative Base	4	4	2	3	2	2	3	2	2
3. Current Condition	3	2	3	3	3	4	3	4	4
4. Purpose of Conservation	3	3	3	3	3	3	4	3	3
5. Focuses of Conservation	3	3	2	4	4	3	4	5	5
6. Conservation Strategy	3	3	3	4	3	4	4	3	3
7. Conservation Approach	3	5	2	3	4	4	4	4	4
8. Content of Conservation	3	3	3	3	4	4	4	2	4
9. Boundaries	2	2	2	2	2	2	4	2	4

Conservation Plan Policy Category	Beijing Ancient Capital, Independent, 9,737	Nanjing Ancient Capital, Independent, 16,589	Chaozhou Local Featured, Independent, 5,729	Dali, Local Featured, Subsidiary, 9,923	Foshan HCCS with Historic Sites, Independent, 15,790	Ganzhou HCCs with Historic Sites, Independent, 21,541	Yibin HCCs with Historic Sites, Independent, 30,779	Zhaoqing HCCs with Historic Sites, Independent, 57,921	Zhongxiang HCCs with Historic Sites, Independent, 21,339
10. Conflict Management	1	2	1	2	1	2	2	3	3
11. Height Restriction	4	4	3	3	1	4	3	4	3
12. Methods of Transportation	3	3	1	3	3	3	3	3	3
13. Road System	3	3	3	3	3	3	3	3	3
14. Public Utilities	1	3	1	1	1	1	2	3	3
15. Risk Management	1	3	1	3	1	2	1	3	4
16. Human Resources	1	1	1	1	2	3	2	1	3
17. Monitoring Mechanism	4	3	4	3	3	4	5	4	4

Table 4-1: Content Analysis of HCC Conservation Plans Results

According to the results of content analysis shown in table 4-1, the level of detail of the certain policies in different conservation plans generally ranges distinctively. For instance, it can be clearly recognized that the Nanjing HCC conservation plan (Ancient Capital class) has a higher level of detail that the Chaozhou HCC conservation plan (Local Featured class). The road system is the only policy category that all the plans are described in a "common level" of comprehensiveness. There is one level different in the following two policy categories: purpose of conservation and conservation strategy. Two levels of differences exist in these seven policy categories: legislative base, current condition, content of conservation, conflict management, public utilities, human resources, and monitoring mechanism. There are three levels of differences in the description of level of detail of policies in: focuses of conservation, conservation approach, and risk management. The following policy categories were described among plans in totally distinct level of detail, rather than in a ranging fashion: level of protection, boundaries, height restriction, and methods of transportation.

Conservation Plan Policy Category	**Level of Detail of Overall Plans**	**Level of Detail of Ancient Capital Plans**	**Level of Detail of Local Featured Plans**	**Level of Detail of HCCs with Historic Sites Plans**
1. Monitoring Mechanism	3-5	3-4	3-4	3-5
2. Conservation Approach	2-5	3, 5	2-3	4
3. Focuses of Conservation	2-5	3	2, 4	3-5
4. Purpose of Conservation	3-4	3	3	3-4

Conservation Plan Policy Category	Level of Detail of Overall Plans	Level of Detail of Ancient Capital Plans	Level of Detail of Local Featured Plans	Level of Detail of HCCs with Historic Sites Plans
5. Conservation Strategy	3-4	3	3-4	3-4
6. Height Restriction	1, 3-4	4	3	1, 3-4
7. Level of Protection	2, 4	2	2, 4	2, 4
8. Boundaries	2, 4	2	2	2, 4
9. Legislative Base	2-4	4	2-3	2-3
10. Current Condition	2-4	2-3	3	3-4
11. Content of Conservation	2-4	3	3	2, 4
12. Risk Management	1-4	1, 3	1, 3	1-4
13. Road System	3	3	3	3
14. Methods of Transportation	1, 3	3	1, 3	3
15. Public Utilities	1-3	1, 3	1	1-3
16. Conflict Management	1-3	1-2	1-2	1-3
17. Human Resources	1-3	1	1	1-3

Table 4-2: Content Analysis of Plans Results Ordered by Policy Category

In table 4-2, policy categories are lined up in decreasing order according to how they were presented in the plans in terms of level of detail. Policy categories were listed in the table with the most comprehensive one at the top, and the least comprehensive one at the bottom. It summarizes the level of detail presented in policies of all conservation plans, as well as of conservation plans of certain classifications – ancient capital, local featured, and HCCs with historic sites. By summarizing the level of detail presented in

plans of different classes, the researcher can explore the effect of classification on conservation plans on the level of detail for each policy category.

It can be identified from table 4-2 that the level of detail presented in different policy categories range distinctly. Policies like monitoring mechanism, purpose of conservation, and conservation strategy were stated in a comparatively more detailed manner. Policies such as public utilities, conflict management, and human resources were described in a low level of comprehensiveness. Most policies were presented in the level of detail of common level. Three policies had been described in the all-inclusive level of detail. Seven policies were stated by any plan in the minimal level of detail. Five policies were not included in any plans at all. Plans of different class show distinct levels of detail towards each policy category. The plans that are presented differently compared to plans of other classes were highlighted and summarized. Plans of HCCs with historic sites show comparatively higher levels of detail in most policy categories.

4.3 Level of Detail Residents Expected in Plans

All the completed residential surveys were analyzed by SPSS 19.0 to explore the level of detail participants expected in conservation plans. The results of data analysis list policy categories in a top-down order according to the level of detail participants desired. The results also show results with statistical significance when comparing responses according to participants' location, planning knowledge, and stakeholder group.

4.3.1 Respondent Frequencies

Respondent frequencies of each participant feature were stated in the following tables. Table 4-3 to 4-6 demonstrates respondents by stakeholder group, location, demographic category, and planning knowledge, respectively.

Stakeholder Group	Number of Respondents
Local Residents	89
NGO workers	2
Government Officials	3
Business Owners	9
Total	103

Table 4-3: Respondent by Stakeholder Group

We can see from table 4-3 that, 89 local residents, two NGO workers, three government officials, and nine business owners participated in the residential survey. It is obvious that most participants identified themselves as local residents.

District	Number of Respondents
The Central District	56
All Other Districts	47
Total	103

Table 4-4: Respondent by Districts

Respondents' locale were marked and summarized. According to the definitions in Chapter 1, central districts are the Historic Cultural Districts located in the northern side of the Old City of Beijing. They featured in shared geographic boundaries and similar socio-economic conditions. All other districts refer to those spread around various locations in the Old City of Beijing, without shared boundaries. Fifty-six respondents

were located in the central districts, whereas 47 respondents were located in all other separated districts.

Demographic Category	Number of Respondents
Gender	
Male	63
Female	40
Age Range	
18-24	8
25-34	36
35-44	17
45-54	22
55-60	20
Total	103

Table 4-5: Respondent by Demographic Category

Some demographic information of the participants is shown in table 4-5. Among the 103 participants, 63 of them were male, and 40 of them were female. The age of the participants mainly falls within the range of 25 and 34. Eight participants were aged between 18 and 24. 36 participants were aged between 25 and 34. 17 participants were aged between 35 and 44. 22 participants were aged between 45 and 54. And 20 participants were aged between 55 and 60.

Whether Has Planning Knowledge	Number of Respondents
Yes	43
No	60
Type of Planning Knowledge	
Have Read Conservation Plans	33

Type of Planning Knowledge	
Have Made Comments through Email, Phone, Websites	5
Have Attended Public Meetings / Speeches	5
Have Been Involved in Conservation Plan Making	3

Table 4-6: Respondent by Planning Knowledge

Participants were also asked whether they had planning knowledge, and if they had experience in planning work. Forty-three of them responded that they did have planning knowledge or experience, while 60 of them responded that they were not knowledgeable in planning. Further questions were asked of those who responded as being knowledgeable in planning on what type of planning knowledge they possessed. Thirty-three of them identified themselves as having read conservation plans. Five of them responded that they had made comments through email, phone, and websites. Five of them said they had attended public meetings or had listened to speeches on the topic of conservation planning. Three of them responded that they had participated in conservation plan development. Among those respondents who had planning knowledge or experience, three of them had more than one type of planning knowledge.

4.3.2 Overall Level of Detail Responses – Policies Listed in Priority Order

Tables were created to indicate the results of data analysis on what level of detail the participants expected on each policy category in conservation plans. In each policy category, the percentage of overall response to each level of detail category was summarized. The level of detail categories within all policy categories that ranked the

highest percentage of response was highlighted. It was found through analyzing residential surveys that, the highest percentage of responses fall within either of the two level of detail categories: high level (background description + objectives + implementation plan) and all-inclusive level (high level + monitoring and evaluation). The following two tables separate policies of conservation plans according to the level of detail category the highest percentage of responses fall under.

Policies listed in table 4-7 were ranked high in level of detail. It means those policies were expected by respondents to include statements detailing up to an implementation plan. Those policies were ranked in priority order with the highest percentage response in the high level of detail at the top. According to overall responses, policies in public utilities, method of transportation, road system, height restriction, human resources, purpose for conservation, content of conservation, boundaries, conservation approach, level of protection, and current conditions were desired to reach high level of detail.

Policy Category	**No Detail**	**Minimal Level**	**Common Level**	**High Level**	**All-inclusive Level**	**Others (N/A, I don't know)**
1. Public Utilities	0.9	4.9	10.7	50.5	28.2	4.9
2. Methods of Transportation	2.9	3.9	19.4	46.6	21.4	5.8
3. Road System	0.9	0.9	18.4	46.6	30.1	2.9
4. Height Restriction	2.9	8.7	21.4	43.7	20.4	2.9
5. Human Resources	0.9	4.9	19.4	40.8	28.2	5.8

Policy Category	No Detail	Minimal Level	Common Level	High Level	All-inclusive Level	Others (N/A, I don't know)
6. Purposes of Conservation	0.9	1.9	18.4	39.8	33.0	5.8
7. Content of Conservation	1.9	1.9	20.4	37.9	35.9	1.9
8. Boundaries	0.9	5.8	23.3	37.9	25.2	6.8
9. Conservation Approach	0.9	3.9	18.4	36.9	32.0	7.8
10. Level of Protection	0.9	7.8	25.2	36.9	23.3	5.8
11. Current Condition	0.9	8.7	25.2	35.9	24.3	4.9

Table 4-7: Results of Residential Surveys – Policies that are Expected to Express in a High Level of Detail

Policies ranked "all inclusive level" by the overall respondents are listed in table 4-8. These policies were desired by participants to include details up to a monitoring and evaluation plan. They include policies in risk management, conflict management, focuses of conservation, monitoring mechanism, legislative base, and conservation strategy.

Policy Category	No Detail	Minimal Level	Common Level	High Level	All-inclusive Level	Others (N/A, I don't know)
1. Risk Management	0.9	1.9	14.6	31.1	47.6	3.9
2. Conflict Management	0.9	3.9	17.5	24.3	43.7	9.7
3. Focuses of Conservation	1.9	1.9	13.6	34.0	40.8	7.8

Policy Category	No Detail	Minimal Level	Common Level	High Level	All-inclusive Level	Others (N/A, I don't know)
4. Monitoring Mechanism	1.9	1.9	17.5	34.0	39.8	4.9
5. Legislative Base	1.9	5.8	20.4	28.2	38.8	4.9
6. Conservation Strategy	0	2.9	10.7	35.0	37.9	13.6

Table 4-8: Results of Residential Surveys – Policies that are Expected to Achieve an All-inclusive Level of Detail

The overall response shows differences in the level of detail respondents expected in each policy category. Generally, respondents desired policies to be indicated in a high level of detail at least. Most respondents stated that they would like to see policies fall under either a high level or all-inclusive level of detail.

4.4 Perceptions Based on Location, Planning Knowledge, Stakeholder Group

To understand the participants' expectation on the level of detail of each category of policy in HCC conservation plans and their relevance to participants' location (districts where they live), planning knowledge, and stakeholder group, a chi-square analysis was conducted. As the numbers of respondents who fell into other stakeholder groups rather than local residents were not sufficient to be analyzed, the chi-square analysis of respondents by stakeholder group was then conducted to compare responses of the local residents' and those of all other stakeholder groups. The analysis of location was conducted to compare responses from the central districts and those from all other

districts. The analysis was also conducted on planning knowledge to compare responses from participants who had planning knowledge and those from participants who did not. Through the chi-square analysis measuring the influences of planning knowledge, location (districts), stakeholder group on level of detail of conservation plan policies, two sided asymptomatic significance results were gained. Those results which have a P value of 0.05 or less have statistical significance. Results of chi-square analysis are listed in table 4-9.

Policy Category	**Districts**	**Planning Knowledge**	**Stakeholder Group**
1. Level of Protection	0.483	0.560	0.298
2. Legislative Base	0.004	0.353	0.292
3. Current Condition	0.909	0.426	0.765
4. Purpose of Conservation	0.384	0.070	0.362
5. Focus of Conservation	0.069	0.927	0.411
6. Conservation Strategy	0.545	0.590	0.477
7. Conservation Approach	0.290	0.365	0.006
8. Content of Conservation	0.434	0.316	0.946
9. Boundaries	0.657	0.577	0.507
10. Conflict Management	0.245	0.376	0.931
11. Height Restriction	0.425	0.165	0.447
12. Methods of Transportation	0.554	0.346	0.569
13. Road System	0.608	0.330	0.639
14. Public Utilities	0.399	0.225	0.839
15. Risk Management	0.488	0.028	0.919
16. Human Resources	0.472	0.398	0.673

Policy Category	Districts	Planning Knowledge	Stakeholder Group
17. Monitoring Mechanism	0.430	0.200	0.056

Table 4-9: Chi-square Results Shown in Asymp. Sig. (2 sided)

The results of chi-square analysis show that in total there are three significant results. There is one significant result in the comparison of location, which falls in the policy category of legislative base. This result demonstrates that participants from the central districts are more likely to expect more detailed conservation plan policies in legislative base. There is one significant result based on planning knowledge; policy risk management. Respondents who are knowledgeable in planning tend to desire a higher level of detail in risk management of policies than those who do not have expertise in planning. There is one result of significance based on the stakeholder group, falling in conservation approach category. Therefore it can be explained that local residents expected more detailed content in conservation approach category of plans than people of other stakeholder groups. All the significant results are highlighted with grey column in table 4-9. In diagrams 4-1 to 4-3, histograms are provided to demonstrate significant results found in chi-square analysis.

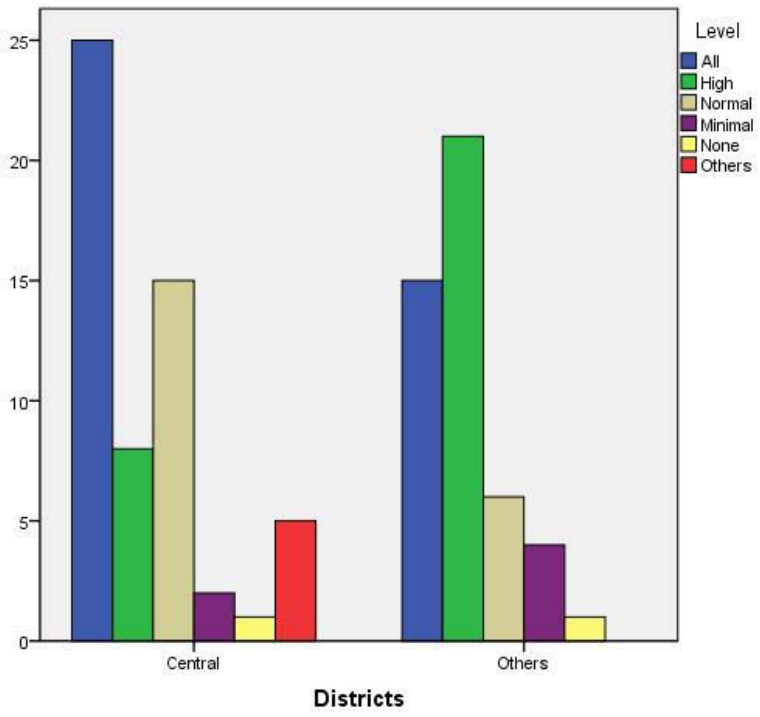

Figure 4-1: Response Results by Location to Legislative Base Category

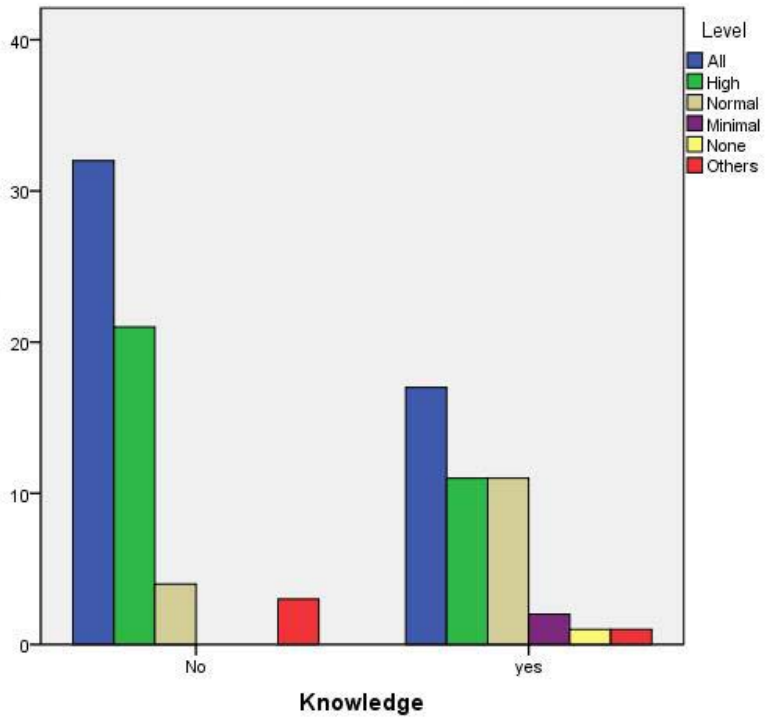

Figure 4-2: Response Results by Planning Knowledge to Risk Management Category

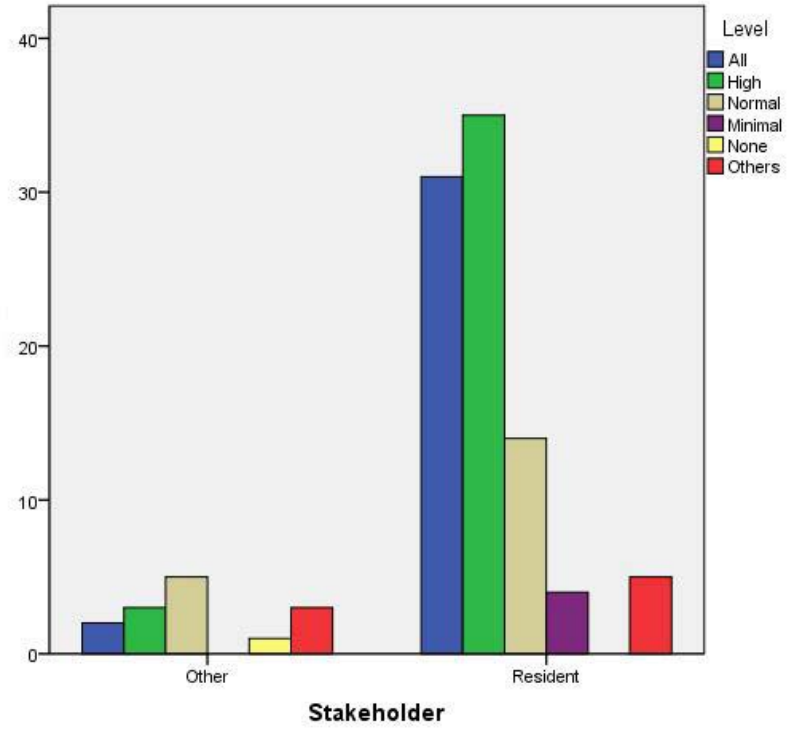

Figure 4-3: Response Results by Stakeholder Group to Conservation Approach Category

Response frequencies to each policy category are also provided. Results are grouped by location, planning knowledge, and stakeholder group to each level of detail category. In the following tables from 4-10 to 4-12, the percentages of responses to each level of detail category are listed in each policy category. In table 4-10, response results to each policy category by location – whether they are from the central districts or other districts – are outlined. The significant result is highlighted in the grey column. In table 4-11, response frequencies by planning knowledge are listed. In table 4-12, results to each policy category and level of detail category by stakeholder group – residents or all other stakeholder groups – are listed. Significant results are highlighted in the grey column.

Policy Category	Location	No Detail	Minimal Level	Normal Level	High Level	All-inclusive Level	Others (Not Applicable, I don't know)	Total
1. Level of Protection	**Central Districts**	1.8	8.9	26.8	28.6	26.8	7.1	56
	All Other Districts	0	6.4	23.4	46.8	19.1	4.3	47
2. Legislative Base	**Central Districts**	1.8	3.6	26.8	14.3	44.6	8.9	56
	All Other Districts	2.1	8.5	12.8	44.7	31.9	0	47
3. Current Condition	**Central Districts**	1.8	7.1	26.8	33.9	25.0	5.4	56
	All Other Districts	0	10.6	23.4	38.3	23.4	4.3	47
4. Purpose of Conservation	**Central Districts**	0	3.6	16.1	35.7	39.3	5.4	56
	All Other Districts	2.1	0	21.3	44.7	25.5	6.4	47
5. Focus of Conservation	**Central Districts**	0	1.8	12.5	26.8	53.6	5.4	56
	All Other Districts	4.3	2.1	14.9	42.6	25.5	10.6	47
6. Conservation Strategy	**Central Districts**	0	5.4	8.9	33.9	39.3	12.5	56
	All Other Districts	0	0	12.8	36.2	36.2	14.9	47
7. Conservation Approach	**Central Districts**	1.8	3.6	14.3	46.4	26.8	7.1	56
	All Other Districts	0	4.3	23.4	25.5	38.3	8.5	47
8. Content of Conservation	**Central Districts**	1.8	3.6	17.9	37.5	39.3	0	56
	All Other Districts	2.1	0	23.4	38.3	31.9	4.3	47
9. Boundaries	**Central Districts**	0	7.1	21.4	42.9	21.4	7.1	56
	All Other Districts	2.1	4.3	25.5	31.9	29.8	6.4	47
10. Conflict Management	**Central Districts**	1.8	0	17.9	23.2	44.6	12.5	56
	All Other Districts	0	8.5	17.0	25.5	42.6	6.4	47
11. Height Restriction	**Central Districts**	3.6	3.6	23.4	48.2	21.4	3.6	56
	All Other Districts	2.1	14.9	23.4	38.3	19.1	2.1	47

Policy Category	Location	No Detail	Minimal Level	Normal Level	High Level	All-inclusive Level	Others (Not Applicable, I don't know)	Total
12. Methods of Transportation	**Central Districts**	5.4	3.6	17.9	46.4	23.2	3.6	56
	All Other Districts	0	4.3	21.3	46.8	19.1	8.5	47
13. Road System	**Central Districts**	0	1.8	14.3	48.2	32.1	3.6	56
	All Other Districts	2.1	0	23.4	44.7	27.7	2.1	47
14. Public Utilities	**Central Districts**	0	3.6	8.9	46.4	33.9	7.1	56
	All Other Districts	2.1	6.4	12.8	55.3	21.3	2.1	47
15. Risk Management	**Central Districts**	1.8	0	12.5	30.4	50.0	5.4	56
	All Other Districts	0	4.3	17.0	31.9	44.7	2.1	47
16. Human Resources	**Central Districts**	0	3.6	16.1	41.1	30.4	8.9	56
	All Other Districts	2.1	6.4	23.4	40.4	25.5	2.1	47
17. Monitoring Mechanism	**Central Districts**	1.8	1.8	16.1	30.4	41.1	8.9	56
	All Other Districts	2.1	2.1	19.1	38.3	38.3	0	47

Table 4-10: Response Frequencies by Location

Policy Category	Planning Knowledge	No Detail	Minimal Level	Normal Level	High Level	All-inclusive Level	Others (Not Applicable, I don't know)	Total
1. Level of Protection	**Yes**	0	9.3	18.6	37.2	25.6	9.3	43
	No	1.7	6.7	30.0	36.7	21.7	3.3	60
2. Legislative Base	**Yes**	2.3	11.6	23.3	25.6	32.6	4.7	43
	No	1.7	1.7	18.3	30.0	43.3	5.0	60
3. Current Condition	**Yes**	0	11.6	27.9	25.6	27.9	7.0	43
	No	1.7	6.7	23.3	43.3	21.7	3.3	60

Policy Category	Planning Knowledge	No Detail	Minimal Level	Normal Level	High Level	All-inclusive Level	Others (Not Applicable, I don't know)	Total
4. Purpose of Conservation	**Yes**	2.3	4.7	27.9	37.2	23.3	4.7	43
	No	0	0	11.7	41.7	40.0	6.7	60
5. Focus of Conservation	**Yes**	2.3	2.3	16.3	34.9	34.9	9.3	43
	No	1.7	1.7	11.7	33.3	45.0	6.7	60
6. Conservation Strategy	**Yes**	0	2.3	16.3	34.9	32.6	14.0	43
	No	0	3.3	6.7	35.0	41.7	13.3	60
7. Conservation Approach	**Yes**	0	7.0	18.6	44.2	23.3	7.0	43
	No	1.7	1.7	18.3	44.2	38.3	5	60
8. Content of Conservation	**Yes**	2.3	0	16.3	44.2	32.6	4.7	43
	No	1.7	3.3	23.3	33.3	38.3	0	60
9. Boundaries	**Yes**	2.3	7.0	20.9	44.2	18.6	7.0	43
	No	0	5.0	25.0	33.3	30.0	6.7	60
10. Conflict Management	**Yes**	2.3	7.0	20.9	23.3	34.9	11.6	43
	No	0	1.7	9	25.0	30	8.3	60
11. Height Restriction	**Yes**	2.3	11.6	11.6	53.5	20.9	0	43
	No	3.3	6.7	28.3	36.7	20.0	5.0	60
12. Methods of Transportation	**Yes**	2.3	4.7	9.3	55.8	20.9	7.0	43
	No	3.3	3.3	16	40.0	21.7	5.0	60
13. Road System	**Yes**	2.3	2.3	20.9	48.8	25.6	0	43
	No	0	0	16.7	45.0	33.3	5.0	60
14. Public Utilities	**Yes**	2.3	9.3	11.6	53.5	20.9	2.3	43
	No	0	1.7	10.0	48.3	33.3	6.7	60
15. Risk Management	**Yes**	2.3	4.7	25.6	25.6	39.5	2.3	43
	No	0	0	6.7	35.0	53.3	5.0	60

Policy Category	Planning Knowledge	No Detail	Minimal Level	Normal Level	High Level	All-inclusive Level	Others (Not Applicable, I don't know)	Total
16. Human Resources	**Yes**	2.3	9.3	16.3	41.9	25.6	4.7	43
	No	0	1.7	21.7	40.0	30.0	6.7	60
17. Monitoring Mechanism	**Yes**	4.7	4.7	16.3	37.2	34.9	2.3	43
	No	0	0	18.3	31.7	43.3	6.7	60

Table 4-11: Response Frequencies by Planning Knowledge

Policy Category	Stakeholder Group	No Detail	Minimal Level	Normal Level	High Level	All-inclusive Level	Others (Not Applicable, I don't know)	Total
1. Level of Protection	**Local Residents**	1.1	9.0	23.6	36.0	25.8	4.5	89
	All Other Stakeholder Groups	0	0	35.7	42.9	7.1	14.3	14
2. Legislative Base	**Local Residents**	2.2	6.7	16.9	29.2	40.4	4.5	89
	All Other Stakeholder Groups	0	0	42.9	21.4	28.6	7.1	14
3. Current Condition	**Local Residents**	1.1	9.0	23.6	34.8	25.8	5.6	89
	All Other Stakeholder Groups	0	7.1	35.7	42.9	14.3	0	14
4. Purpose of Conservation	**Local Residents**	1.1	2.2	20.2	40.4	29.2	6.7	89
	All Other Stakeholder Groups	0	0	7.1	35.7	57.1	0	14
5. Focus of Conservation	**Local Residents**	2.2	2.2	14.6	30.3	41.6	9.0	89
	All Other Stakeholder Groups	0	0	7.1	57.1	35.7	0	14
6. Conservation Strategy	**Local Residents**	0	2.2	10.1	34.8	37.1	15.7	89
	All Other Stakeholder Groups	0	7.1	14.3	35.7	42.9	0	14
7. Conservation Approach	**Local Residents**	2.2	2.2	14.6	30.3	41.6	9.0	89
	All Other Stakeholder Groups	7.1	0	35.7	21.4	14.3	21.4	14

Policy Category	Stakeholder Group	No Detail	Minimal Level	Normal Level	High Level	All-inclusive Level	Others (Not Applicable, I don't know)	Total
8. Content of Conservation	**Local Residents**	2.2	2.2	20.2	38.2	34.8	2.2	89
	All Other Stakeholder Groups	0	0	21.4	35.7	42.9	0	14
9. Boundaries	**Local Residents**	1.1	6.7	19	38.2	27.0	5.6	89
	All Other Stakeholder Groups	0	0	35.7	35.7	14.3	14.3	14
10. Conflict Management	**Local Residents**	1.1	4.5	16.9	24.7	43.8	9.0	89
	All Other Stakeholder Groups	0	0	21.4	21.4	42.9	14.3	14
11. Height Restriction	**Local Residents**	2.2	10.1	22.5	41.6	21.3	2.2	89
	All Other Stakeholder Groups	7.1	0	14.3	57.1	14.3	7.1	14
12. Methods of Transportation	**Local Residents**	2.2	4.5	20.2	48.3	19.1	5.6	89
	All Other Stakeholder Groups	7.1	0	14.3	35.7	35.7	7.1	14
13. Road System	**Local Residents**	1.1	1.1	18.0	49.4	28.1	2.2	89
	All Other Stakeholder Groups	0	0	21.4	28.6	42.9	7.1	14
14. Public Utilities	**Local Residents**	1.1	5.6	10.1	49.4	28.1	5.6	89
	All Other Stakeholder Groups	0	0	14.3	57.1	28.6	0	14
15. Risk Management	**Local Residents**	1.1	2.2	14.6	31.5	46.1	4.5	89
	All Other Stakeholder Groups	0	0	14.3	28.6	57.1	0	14
16. Human Resources	**Local Residents**	1.1	5.6	20.2	40.4	28.1	4.5	89
	All Other Stakeholder Groups	0	0	14.3	42.9	28.6	14.3	14
17. Monitoring Mechanism	**Local Residents**	2.2	2.2	16.9	36.0	40.4	2.2	89
	All Other Stakeholder Groups	0	0	21.4	21.4	35.7	21.4	14

Table 4-12: Response Frequencies by Stakeholder Group

4.5 Level of Detail Residents Expect Compared to Level of Detail in Plans

A comparison between the results of the conservation plan content analysis and results found in analysis of residential surveys was conducted. This comparison was made in order to identify the differences between the level of detail expected by participants of this study and the level of detail existing in current conservation plans. Numeric results in the column of “level of detail existing in conservation plans” of 17 policy categories come from the results of content analysis during the first step of data analysis, which can also be found in table 4-2. Numeric results in the column of “level of detail expected by respondents” come from the second step of data analysis, analyzing residential surveys, which can also be found in table 4-7 and table 4-8. The level of detail categories with the highest percentage of respondents to each policy category were selected to represent the overall level of detail expected for that certain policy category. Differences were made by subtracting “level of detail expected by respondent” by “level of detail existing in conservation plans”. Table 4-13 shows the results of comparison. In a decreasing order, policies were listed in table 4-13 with the ones that greatest difference between level of detail existing in plans and level of detail expected by participants at the top, and those with the least differences at the bottom.

Policy Category	**Level of Detail Expected by Respondents**	**Level of Detail Existing in Conservation Plans**	**Differences between Level of Detail Existing in Plans and Expected by Respondents**
1. Conflict Management	5	1-3	2-4

Policy Category	Level of Detail Expected by Respondents	Level of Detail Existing in Conservation Plans	Differences between Level of Detail Existing in Plans and Expected by Respondents
2. Risk Management	5	1-4	1-4
3. Legislative Base	5	2-4	1-3
4. Public Utilities	4	1-3	1-3
5. Human Resources	4	1-3	1-3
6. Methods of Transportation	4	1, 3	1, 3
7. Focuses of Conservation	5	2-5	0-3
8. Monitoring Mechanism	5	3-5	0-2
9. Content of Conservation	4	2-4	0-2
10. Current Condition	4	2-4	0-2
11. Conservation Approach	4	2-5	-1, 0-2
12. Conservation Strategy	5	3-4	1-2
13. Boundaries	4	2, 4	0, 2
14. Level of Protection	4	2, 4	0, 2
15. Road System	4	3	1
16. Height Restriction	4	1, 3-4	0-1, 3
17. Purpose of Conservation	4	3-4	0-1

Table 4-13: Level of Detail Difference between Existing Plan and Participants' Expectations

Through the results of comparison, it can be seen that there is a great difference between the level of detail in current conservation plans and the level of detail expected by participants. Almost all respondents expected more detailed policies than current conservation plans include. Two policies have up to four levels of differences in content

detail, six policies have up to three levels of differences in content detail, seven policies have up to two levels of differences in content detail, and two policies have up to one level of differences in content detail. However, there is one policy category which has more detailed content than the respondents expected. This policy category is conservation approach, and the more detailed content is contained in the conservation plan of the City of Nanjing. Results of the comparison demonstrate that there is a large gap between residents' expectation and conservation plan content.

4.6 Qualitative Feedback

In the third step of data analysis, coding technique is conducted by evaluating qualitative feedback from key informants. Eleven in-depth questionnaires were analyzed and respondents' perceptions on six questions listed on key informant questionnaire (see Appendix E). Similar opinions to each question are grouped under particular themes. From table 4-15 to table 4-20 themes of each question were listed and include every respondent who has stated ideas that fall under this theme.

Participant Number	Stakeholder Group	Other Stakeholder Group	Have Read Conservation Plans	Have Involved in Planning Work in HCCPM
1	Academic Researcher	Local Resident	Yes	No
2	Academic Researcher	Local Resident	Yes	Yes
3	NGO Worker	N/A	Yes	Yes
4	Academic Researcher	N/A	Yes	Yes
5	Local Urban Planner	N/A	Yes	Yes
6	Local Urban Planner	N/A	Yes	Yes
7	Academic Researcher	N/A	Yes	Yes
8	Academic Researcher	N/A	Yes	No

Participant Number	Stakeholder Group	Other Stakeholder Group	Have Read Conservation Plans	Have Involved in Planning Work in HCCPM
9	Local Urban Planner	Visitor	Yes	Yes
10	Local Urban Planner	NGO Worker	Yes	No
11	NGO Worker	N/A	Yes	No

Table 4-14: Background Information of Key Informant Participants

In table 4-14, the background information – stakeholder groups and planning knowledge – of key informant respondents are provided. The locations of respondents were not provided as key informants were recruited basically according to their planning knowledge, regardless of where the respondents were located. Most key informant respondents came from other cities rather than the city of Beijing. The background information will not be used for data analysis due to the small sample size of the key informants who participated. In all of the 11 participated key informants, five of them identified themselves as planning researchers from academic institutions, four of them considered themselves to be of the stakeholder group of planning professionals from local companies, and two of them identified themselves as NGO workers. In terms of planning knowledge, all of the respondents stated that they had read at least one HCC conservation plan. Seven of them were involved in planning work on HCCPM, such as creating conservation plans or city master plans.

The responses summarized in the following tables (table 4-15 to 4-20) were directly provided by key informant participants. Each table contains responses from participants to one research question in the key informant questionnaire. Using human coding techniques provided by Auerbach and Silverstein (2003), responses to each

question were analyzed and presented through various themes. Each theme was listed in the tables with an explanation as to which participants advocate that theme.

Question 1: What are the purposes of HCCPM?	
Themes	**Respondents**
1. Livable Areas and Reusable Heritage Resources	
a) To make conservation livable and reusable	a) 2 (Participants: 1, 5)
2. To Guide Conservation Activities	
a) To preserve heritage value b) To Contribute to establishing conservation mechanism in China c) To provide conservation plans d) To define the extent and content of conservation	a) 8 (Participants: 2, 4, 6, 7, 8, 9, 11) b) 2 (Participants: 7, 10) c) 2 (Participants: 7, 11) d) 1 (Participants: 7)
3. Incorporating Urban Development	
a) To be incorporated into urban development strategy	a) 1 (Participants: 7)

Table 4-15: Key Informant Response Results to the Purpose of HCC

Table 4-15 summarizes the responses on the purpose of a HCCPM. Responses fall under three themes: livable areas and usable heritage resources, well conserved areas, and incorporating urban development. Eight out of eleven respondents stated that the ultimate purpose of the HCC is to preserve heritage value. Five participants advocated that the HCC should focus on building a conservation mechanism, including composing conservation plans and defining the extent and content of conservation. A smaller number (three participants) commented on livable places and incorporating urban development as the purpose of the HCC.

Question 2: What is the relationship between a HCC conservation plan the relevant city master plan?	
Themes	**Respondents**
1. The jurisdiction over Land Use Management	

a) HCC conservation plans and city master plans should work together. b) City master plans have higher level of jurisdiction than HCC conservation plans over land use management. c) City master plans have the same level of jurisdiction as HCC conservation plans over land use management. d) HCC conservation plans should have higher level of jurisdiction than city master plans e) HCC conservation plans can work independently.	a) 5 (Participants: 6, 7, 8, 10, 11) b) 2 (Participants: 1, 2) c) 2 (Participants: 4, 6) d) 1 (Participants: 7) e) 1 (Participants: 7)
2. Relationship between HCC Conservation Plans and Other Plans	
a) Not their relationship but relationship between HCC conservation plans with other plans matter.	a) 1 (Participants: 3)
3. Balancing the Conflict	
a) There will be conflicts b) Incorporating conservation into urban development plans	a) 2 (Participants: 2, 3) b) 2 (Participants: 8, 10)
4. Plan Content	
a) HCC conservation plans are parts of the city master plans.	a) 4 (Participants: 5, 7, 9, 10)

Table 4-16: Key Informant Response Results to the Relationship between HCC plans and City Master Plans

Table 4-16 outlines the responses to the relationship between an HCC conservation plan and a city master plan. Reponses broke into four main themes: the jurisdiction over land use management, relationship between the HCC conservation plans and other plans, balancing the conflict, and plan content. Five participants felt that the HCC conservation plans and city master plans should work together rather than either of them individually adopted to better achieve conservation goals, whereas one participant advocated that it is possible to let HCC conservation plans independently direct conservation activities. Five participants commented on the jurisdiction of conservation

plans and city master plans over land use management. Comments show that participants hold distinct perspectives on the jurisdiction of the HCC conservation plans and city master plans. Two participants believed that the HCC conservation plans have a higher level of jurisdiction, while the other two participants felt that the city master plans and the HCC conservation plans have the same level of jurisdiction over land use management. One participant stated that the HCC conservation plans should have a higher level of jurisdiction. Four participants felt that the conservation plans are included in the city master plans. Four participants assumed that the city master plans focus on urban development, which bring conflict during conservation planning that need to be balanced. One participant felt that the relationship between the HCC conservation plans and other types of plans rather than city master plan is the relationship that matters in conservation planning.

Question 3: What factors will influence the level of detail of HCC conservation plans?	
Themes	**Respondents**
1. Understanding of Urban Conservation	
a) Planning knowledge b) Awareness and attitude of decision makers c) Ideology	a) 2 (Participants: 2, 11) b) 2 (Participants: 9, 10) c) 1 (Participants: 1)
2. Beneficial Conflicts	
a) Beneficial conflicts among stakeholder groups	a) 1 (Participants: 2)
3. Plan Functions	
a) Standards and definition of conservation actions b) Content, level of protection, issues of problems, purposes c) Feasibility and significance of plans d) Depends on each case	a) 3 (Participants: 3, 5, 11) b) 2 (Participants: 6, 10) c) 1 (Participants: 8) d) 1 (Participants: 2)

4. Expectation on Level of Detail	
a) No need for a minimal level of detail on plans	a) 4 (Participants: 3, 6, 7, 9)
b) Requiring a minimal level of detail	b) 2 (Participants: 3, 8)
c) Expect high level of detail	c) 1 (Participants: 10)
5. Plan Implementation	
a) Implementation of plans speak louder than content of plans	a) 1 (Participants: 10)
b) The guidance on conservation actions	b) 1 (Participants: 4)

Table 4-17: Key Informant Response Results to Influential Factors on Level of Detail of HCC Plans

In table 4-17, responses from key informant participants to the factors that influenced the level of detail of policies in the HCC conservation plans are outlined. Responses fall under five themes, including: understanding of urban conservation, beneficial conflicts, plan functions, expectations, and plan implementation. A significant proportion of participants (seven participants) believed that plan functions highly influence the level of detail of plan content. Plan functions consist of factors including standards and definition of conservation (three participants), policy categories such as content of conservation and issues of problems (two participants). Five participants stated that how decision makers understand conservation actions will affect the level of detail. Factors of their understandings in conservation actions include: planning knowledge (two participants), awareness and attitude (two participants), and ideology (one participant). There was a small proportion of participants indicating other factors that influenced the level of detail of plan content, including: beneficial conflicts among stakeholder groups (one participant), feasibility and significance of plans (one participant), and case base (one participant). Three participants required a minimal level of detail in conservation plans, whereas four participants do not believe that the plan content should achieve a

certain level of detail. Two participants stated that plan implementation is more important than content itself.

Question 4: Should there be any difference on level of detail in conservation plans according to classification of HCC?	
Themes	**Respondents**
1. Same Conservation Principles	
a) The principles of conservation should be the same	a) 3 (Participants: 2, 4, 10)
2. Depends on Internal and External Characteristics of Plans	
a) Level of detail of HCC conservation plans is dependent on classifications of HCCs	a) 5 (Participants: 5, 6, 7, 8, 9)
b) Level of detail of HCC conservation plans is dependent on contexts of HCCs	b) 2 (Participants: 3, 11)
c) Level of detail differs according to the "target" of conservation – heritage resources	c) 2 (Participants: 1, 2)

Table 4-18: Key Informant Response Results to the HCC Classification's Impact on Level of Detail of HCC Plans

Table 4-18 shows responses to the influence of classification of the HCC on conservation plan content. Responses mainly fall under two themes: all plans using the same conservation principles, and differences depending on internal and external characteristics of plans. Three participants believed that regardless of the classification of HCC, conservation actions should be guided by the same principles. According to Berke and Godchalk (2009), internal characteristics of the plan refer to the content and format of plans, whereas external characteristics concern the organization and presentation of plans. Five participants agreed that the class of HCC have an impact on the level of detail of the plans. Two participants believed that the context of HCC influenced the level of detail. Two participants stated that the kind of heritage resources that a HCC owns also have an impact on the level of the detail of plans.

Question 5: How do you believe public participation can influence the planning process of HCCPM?	
Themes	**Respondents**
1. Timing of Public Participation	
a) Public participation can be involved at the beginning of planning process b) Public participation should influence every steps of planning process c) Public participation monitors plan implementation d) Public participation plays a vital role in planning process	a) 5 (Participants: 2, 3, 6, 8, 10, 11) b) 5 (Participants: 1, 3, 4, 5, 9) c) 4 (Participants: 2, 6, 8, 10) d) 2 (Participants: 2, 11)
2. Level of Protection	
a) Public participation is more needed in detailed level of protection.	a) 1 (Participants: 7)
3. Education	
a) Public participation educates planning professional b) There is no public participation during planning process in China	a) 1 (Participants: 5) b) 1 (Participants: 4)
4. Factors Influencing Public Participation	
a) Beneficial and social relevance to the public b) Factors from conservation system c) Institutional base d) Factors differ in each step of planning process e) Factors from conservation techniques f) Attitudes of decision makers	a) 3 (Participants: 8, 9, 11) b) 2 (Participants: 2, 3) c) 2 (Participants: 3, 8) d) 2 (Participants: 5, 10) e) 1 (Participants: 3) f) 1 (Participants: 1)

Table 4-19: Key Informant Response Results to Public Participation's Influence on Conservation Planning Process

Table 4-19 outlines responses to the question on how public participation influences the planning process of HCC conservation. Responses fall under four themes: timing of public participation, level of protection, education, and factors that influence public participation. In terms of timing of public participation, participants provided various responses. Five participants believed that public participation should be involved

in each step of the planning process, while five participants stated that it just needed to be involved at the beginning of a planning process. Four participants advocated that public participation should occur during plan implementation to play a monitoring role. Two participants generally addressed the significance of public participation in planning process, while one participant believed that it should also be involved in a more detailed level of conservation actions than HCC. Two participants were of the opinion that public participation should gain more attention among stakeholders, especially planning professionals due to the low level of participation in conservation planning presently in China. Participants also commented on factors that could influence the level of public participation during the planning process, including: beneficial and social relevance to the public (three participants), conservation system (two participants), institutional base (two participants), phase of planning process (two participants), conservation techniques (one participant), and attitude of decision makers (one participant).

Question 6: Provide any additional comments about HCCPM	
Themes	**Respondents**
1. Improving Conservation Mechanism	
a) HCC align with principles of conservation of all levels	a) 3 (Participants: 5, 8, 11)
b) Strengthening monitoring on plan implementation	b) 2 (Participants: 1, 2)
c) Strengthening legal support	c) 1 (Participants: 1)
d) Requiring a minimal level of detail in plans	d) 1 (Participants: 3)
e) Requiring accurate definition of HCCs	e) 1 (Participants: 6)
2. Involving the Public to HCC Conservation	
a) Making the public aware of HCC	a) 1 (Participants: 2)
b) Balance between development and conservation, improve residents' living quality	b) 1 (Participants: 8)

3. Ensuring Proper Conservation Activities	
a) Inappropriate decision making in conservation planning causes threatens in HCC b) Planning implementation is vital c) HCC should preserve authenticity of heritage resources	a) 3 (Participants: 2, 10, 11) b) 2 (Participants: 9, 10) c) 1 (Participants: 11)

Table 4-20: Key Informant Participants' Comments on HCC

In table 4-20, additional comments from participants on the HCCPM are summarized. Most participants provided recommendations on various aspects of the HCC conservation mechanism. Responses fall under three themes: improving the conservation mechanism, including aligning with conservation principles (three participants), strengthening monitoring and implementation of the plan (two participants), legal support (one participant), a need for a minimal level of detail in plans (one participant), and an accurate definition in conservation actions (one participant), involving the public in HCC conservation, including making the public aware of the HCC (one participant), and balance between development and conservation (one participant), and ensuring proper conservation activities, including preserving authenticity of heritage resources (one participant), and stressing the importance of plan implementation in the HCC conservation (one participant). Three participants commented on the current situation in the HCC conservation as many inappropriate decisions have been made that caused a decreasing heritage value in conserved areas in HCCs.

4.7 Summary

This chapter describes the results of three step data analysis: quantitative content

analysis, quantitative residential survey analysis, and qualitative key informant feedback. First, results of content analysis of current HCC conservation plans on the level of detail to each policy category are provided in numeric form. Results show the overall level of detail of the selected nine HCC conservation plans. Policy categories are listed in a top-down order according to the overall level of detail rank.

Second, results of residential survey analysis are provided. The background information including location, planning knowledge, stakeholder group, and the demographics of the participants are given. Responses on the level of detail categories of the highest percentage of the overall results are summarized and highlighted, including two groups: high level of detail category, and all-inclusive level of detail category. According to the participants, these two levels of detail categories are the most desired in the HCC conservation plans. Results of chi-square analysis are also provided.

Third, chi-square analysis attempted to investigate the impact of participants' location, planning knowledge, and stakeholder groups on the expectations of level of detail in HCC conservation plans. In total three significant results are found, which fall in the following policy categories: legislative base, conservation approach, and risk management.

Fourth, results on the comparison between the level of detail in current HCC conservation plans and level of detail the participants desired in the plan are provided. Results show that in most cases, participants expect more detailed content in the HCC conservation plans than what already exists in the current plans. One exception is the

conservation approach category in Nanjing HCC conservation plan that states more detailed policies than the participants expected.

Lastly, results of analysis of qualitative feedback from key informants are provided. Results show the responses to six research questions on various topics in terms of HCCPM. Responses are grouped and explained through themes, with the relevant participants that support those themes.

Chapter 5

Discussion

5.1 Introduction

Chapter 5 of this thesis – discussion – consists of three parts: 1) discussion on level of detail among plans; 2) discussion on comparison between stakeholders' perceptions and plan content; and 3) discussion on stakeholders' responses based on various aspects.

5.2 General Level of Detail among Plans

Plan content analysis results are discussed in this section. As stated in Chapter 4, most HCC conservation plan policies were stated in a general level of detail. This result is reflected in the following aspects: value of urban conservation, purpose of conservation plans, role of the public in planning process, financial and human resources, and legislation and guiding documents. These aspects are summarized from the main perspectives discussed in the literature review chapter. The relationship between the plan content and these five respects will be revealed in this section.

5.2.1 Value of Urban Conservation of HCC Conservation Plans

The level of detail in HCC conservation plans regarding conservation policies could be reflective of how urban conservation is valued in HCCs, especially in HCCs of the following classes: ancient capital, local featured, and HCCs with historic sites. For

this study, comparisons of how conservation objectives are stated among different classes of HCCs are drawn in order to understand how plans of various classes value urban conservation objectives.

The parallel content analysis of HCC conservation plans of various classes (and aiming at different objectives) could reflect how differences in conservation objectives influence the level of detail of conservation plan policies. The result of this content analysis is shown in table 4-2. It evidences that urban conservation is not a primary concern in HCCs due to the general detail stated in most conservation policies. Twelve of the seventeen policy categories were either not mentioned or were done so with only a minimal level of detail. The low level of detail in conservation policies in HCC conservation plans could reflect that a large number of activities related to urban conservation occurring in the HCCs were not recorded in plans. The general detail of conservation plans implies that many conservation plans are not an accurate statement of conservation activities. This may suggest that the initial function of HCC conservation plans is blueprint, while according to the objectives of conservation plans identified in table 2-1 the main functions of conservation plans fall on vision, remedy, response to state planning mandates, land use guide, and administrative requirements (Baer, 1997).

5.2.2 Purpose of Conservation Plans

Six purposes of conservation plans were identified in the literature review, as discussed in Section 2.3.2. As described in the literature, whether plan objectives are approached can be examined by studying plan outputs (Morrison & Pearce, 2000). The

level of detail of the existing conservation plans could reflect how these plans work in assisting the stakeholders to achieve desired results in terms of urban conservation in HCCs. In this section each of the six plan objectives has been analyzed. First, the least level of detail required in the plan content to meet the objectives of conservation plans has been clarified. Second, whether the existing conservation plans meet the least level of detail to each conservation plan objective has been determined. The least level of detail to fulfill the conservation plan objectives is identified by the type of objectives, as some types of objectives require plan content to include goals and objectives at least, while others require plans to contain background description at minimum. The level of detail met by most policy categories in the existing conservation plans was used to compare with the least level of detail requirements.

Table 5-1 explained the least level of detail required by the six conservation plan objectives. Five of them require a common level at least. This entails that policies provided in conservation plans should contain information about conservation goals and objectives of HCCs. One objective – meeting the legislative requirements – requires plans to achieve a minimal level. As stated in the *Code of Conservation Planning for Historic Cities*, level of detail of conservation plans of HCCs equals to the level of detail of regulatory plans (CAUPD, 2005). According to the *Urban and Rural Planning Law of P. R. C.*, no minimum level of detail was required in regulatory plans. Therefore the conservation plan objective “meeting the legislative requirements” could be met by a minimal level of detail. Comparing the results of content analysis of conservation plans

and the six purposes stated in the literature (China ICOMOS, 2002; Berke & Godschalk, 2009; CAUPD, 2005; The State Council of China, 2008; Ruan, et al., 1999), all the six objectives could be reached according to this analysis.

Objectives of Plans & Level of Detail		
1.	**provide basis for conservation intervention and interpretation**	
	Level of detail required	***Have the existing plans met the requirement?***
	Common Level	Yes
2.	**prepare for special problems**	
	Level of detail required	***Have the existing plans met the requirement?***
	Common Level	Yes
3.	**be integrated into development plans**	
	Level of detail required	***Have the existing plans met the requirement?***
	Common Level	Yes
4.	**guide conservation activities**	
	Level of detail required	***Have the existing plans met the requirement?***
	Common Level	Yes
5.	**meet the legislative requirements**	
	Level of detail required	***Have the existing plans met the requirement?***
	Minimal Level	Yes
6.	**underpin professional deliberation**	
	Level of detail required	***Have the existing plans met the requirement?***
	Common Level	Yes

Table 5-1: Least Level of Detail Required in Plans to Achieve Objectives of Plans

The following five plan objectives were listed as requiring a common level of detail in conservation plans: providing basis for conservation intervention and

interpretation, preparing for special problems, integrating into urban development plans, guiding conservation activities, underpinning professional deliberations. The objective to provide basis for conservation intervention and interpretation was explained as requiring a common level of detail at minimum as intervention stresses conservation actions in the future, and a description of goals and objectives is expected at least. The objective to prepare for special problems would require conservation plans to identify the problems and to propose desired results of resolutions. Integrating conservation plans into urban master plans and development plans requires the conservation plans to align with the main direction of urban development, which would at least demand content including statements of goals. The objective of guiding conservation activities requires conservation plans to provide desired future to direct conservation actions. Professional deliberation offers opportunities for the public, especially those with professional insights in HCC conservation. A common level of detail would allow the public to gain an understanding, as well as to make an impact on the planning decisions made for the future of HCCs.

The level of detail required listed in Table 5-1 are not the ideal level of detail of plan content to reach the objectives, but the minimum to make the identified goals possible. Therefore, result to this analysis that the level of detail of existing plan content has met the requirement of all the conservation plan objectives entails that the content of most HCC conservation plans have generally provided valuable information to achieve conservation goals. Most HCC conservation plans have missed out statements of plan

implementation and plan monitoring and evaluation. As a higher level of consensus formation of plan content will likely to result in effective plan implementation (Healy, 1994), the existing HCC conservation plans still need to improve plan quality to achieve conservation plan objectives.

5.2.3 Role of the Public in Decision Making

The level of detail presented in HCC conservation plans can reflect how HCCPM value public participation in the conservation planning process. In section 2.5.2 of this thesis, 16 potential advantages of public participation are summarized. According to the summary, public participation could benefit the planning process, planning outcome, and the participants themselves (Burdy, 2003; Irvin & Stansbury, 2004; Ozerol & Newig, 2008; Innes J. , 1996; Creighton, 1992; Conrad, et al., 2011). Based on the potential benefits of public participation, Laurian and Shaw (2009) developed a measurement framework by using potential benefits as public participation goals and defining associated evaluation criteria. The statement of public participation goals and related criteria is shown in Table 2-6. The following goals will be examined in this study: 1) increased legitimacy of agency in governance outcome; 2) transparency in democratic process.

In addition, there are five principles of good governance as defined by Shipley and Kovacs (2008), two of which are applicable to public participation: governance accountability and fairness. Governance accountability is composed of seven criteria, while fairness is made up of five criteria, especially in heritage sector. This analysis will

be conducted in section 5.3.1 which stresses the comparison of participants' expectations and currently existing conservation policies in terms of level of detail in plans.

The 2008 version of the national Urban and Rural Planning Law (URPL) requires public participation to be incorporated into planning processes for the first time in urban planning history in China. This requirement ensures legal support of public participation by setting it as a significant step of urban planning processes. However, this requirement has only proposed legal procedures and methods of public participation (Wang, Duan, & Zhao, 2008), while concerns about the concrete mechanism to involve the public into planning processes and the need to open plans to the public are still insufficient in this or other relevant legal documents.

5.2.4 Financial and Human Resources

The level of detail of HCC conservation plans can reflect resources available for conservation planning in HCCs. Conservation activities are usually limited by public resources, as municipalities in China provide little funding for HCC conservation, and instead pay more attention to development project (Ren, 2011). HCC conservation is financially supported by municipal governments, which manage the funding programs for various urban projects, and is finally implemented with the cooperation of bodies at national, social, and local levels (Qian, 2007; Zhang, 2002). The content analysis of conservation plans shows that most plans contain information at a common level of detail in terms of conservation policies. This finding reveals that only limited effort had been made to create conservation plans; a higher level of detail could have been reached, with

elaborate implementation and evaluation plans. Among all the plans analyzed, the policy category of human resources ranked as of the lowest level of detail, with only two HCC conservation plans containing a common level of detail. Most of the HCC conservation plans do not include policies on human resources at all. The financial and human resources deficiencies might partially lead to a weak general description of conservation activities in HCC conservation plans. It can be anticipated that a higher level of detail could be reached in plans if sufficient resources on funding and well trained planning professionals were involved in the conservation planning system in China.

5.2.5 Legislation and Guiding Documents

The level of detail of HCC conservation plans could reflect how effectively legislation and guidelines direct conservation planning in HCCs. In the literature review, three documents were analyzed: *Code of Conservation Planning for Historic Cities* (CAUPD, 2005), *Principles for the Conservation of Heritage Sites in China* (China Principles) (China ICOMOS, 2002), and *Historic Cultural Cities, Towns, and Villages Conservation Ordinance* (The State Council of China, 2008). These documents suggest that municipalities adopt a practical approach for conservation activities, as they require at least mentioning implementation in conservation plans (The State Council of China, 2008). *Principles for the Conservation of Heritage Sites in China* (China Principles) defines conservation plans as "the basis for undertaking conservation intervention and interpretation" (China ICOMOS, 2002, p. 81), and requires conservation plans concerning intial evaluation of conservation areas, conservation principles and overall

aims, conservation strategies, regulation of conservation areas, an interpretaion plan, and monitoring (China ICOMOS, 2002). China Principles further suggests a “heritage conservation management system” to “ensure that conservation work is carried out according to prescribed procedures” (China ICOMOS, 2002, p. 79). However, due to a common level of detail currently existing in various policies of HCC conservation plans, a heritage management system cannot be appropriately conducted as it requires at least a high level of detail (plan implementation) in plan content.

Regulations and guidelines demand that HCCPM include content of implementation on conservation plans. However, these regulations do not provide sufficient guidance on how a plan could meet these requirements. *Historic Cultural Cities, Towns, and Villages Conservation Ordinance* is the regulation that directly required an implementation plan, while the rest of content in the regulation mainly focuses on two levels of conservation plans and the application process, including the clarification of relevant authority departments. There is room for description at the Historic Cultural City level on what level of detail conservation policies should be described. *Code of Conservation Planning for Historic Cities* describes conservation plans to be “the plan aiming at conserving HCCs and balancing conservation and development, as well as defining principles, content, focus, extent, and strategies of conservation” (CAUPD, 2005, p. 4). In China Principles, it is interpreted that “all conservation plans, especially those for historic precincts, should be closely coordinated with the local official development plan” (China ICOMOS, 2002, p. 62). Therefore,

planning professionals must determine what conservation issues could both balance conservation and development activities, and coordinate with local development plans.

The language used in regulations is generally broad and imprecise about what issues are related to the objectives set by regulations themselves. In *Code of Conservation Planning for Historic Cities,* for instance, it is stated that "during creating the conservation plans, planners should consider the direction of urban development and land use distribution comprehensively at a city-scale level" (CAUPD, 2005, p. 21). It is clearly demonstrated that the consideration regarding development in conservation processes aligns with the direction of "balancing conservation and development"; however, the quality and extent of the "consideration" is not described.

Furthermore, although *Historic Cultural Cities, Towns, and Villages Conservation Ordinance* (The State Council of China, 2008) and China Principles (China ICOMOS, 2002) both offer checklists on what to include in conservation plans, no specific level of detail is mandated. China Principles requires "a program for routine maintenance and monitoring", which suggests an all-inclusive level of detail in conservation plans; however, it only entails that monitoring actions should take place during the conservation planning process rather than providing clear monitoring plans.

5.3 Comparing Stakeholders' Expectation on Level of Detail to Existing Plans

The results on stakeholders' expectation on plan content were gained from residential surveying (step 2) and key informant questionnaires (step 3) of this study. These results will be used to test public participation democratic process and governance

quality according to good governance principles.

5.3.1 Democratic Planning Process of Public Participation

According to Laurian and Shaw (2009), the democratic process goal of public participation can be reached if the following three factors are realized: transparency, inclusiveness, and fairness and power sharing. The relevant criteria of each factor are also provided in the literature. The criteria for the transparency goal are: 1) the public must have an understanding of the decision-making process; 2) the public can easily get access to necessary information (Laurian & Shaw, 2009). Each criterion will be compared to the responses of participants of this study.

According to the questionnaire responses by key informant participants, the public does not hold precisely the same understanding of planning process compared to the understanding of HCC planning officials. The majority of key informant participants (eight participants) believe that the purpose of HCC plans is to guide conservation activities. Two participants stated that the purpose of HCC plans is livable environment and reusable heritage resources, while one participant (participant 7) described it to be incorporating urban development. These three purposes stated by participants align with three of the plan objectives identified in the literature, as shown in Table 2-1. This alignment suggests that the public, especially those with planning expertise, have the same perception of understanding as HCC planning officials in terms of plan purposes and objectives. Eight participants agreed that public participation should be involved in conservation planning processes, which contradicts one of the plan objectives that

underpin “professional deliberation” rather than public involvement, as demonstrated in Table 2-1. Based on the questionnaire results, literally, no participant commented on the accessibility of information regarding HCC conservation planning. This lack of comment reflects on the limitations in public participation discussed later in this section. However, during the sampling process for content analysis, 42 HCC conservation plans out of 69 were found to be not open to the public, meaning that among all the HCC conservation plans of classification of ancient capital, traditional style, modern historic, local featured, and HCCs with historic sites, 60.8% plans are not accessible. This result might generally reflect how inaccessible HCC conservation plans can be to the public scrutiny. Insufficiency in valuable information on HCC conservation would place the Chinese process low on Arnstein’s participation ladder, as even the basic level “degree of tokenism” requires relevant authorities to provide information to the public.

The difference in participants’ expectations in conservation plan content and the existing plan content could reflect the minimal level of public participation in HCCs. It might also be attributed to an elite concern with the conservation planning process, which confirms Abramson’s discussion about conservation activities in China (Abramson, 2001). Elite concern directly links to one of the plan objectives: to underpin professional deliberation.

Furthermore, the gap in participants’ expectations about examining and critiquing plan content and the actual level of detail in current conservation plans reflects that the transparency goal of a democratic planning process is not met in the study area. It

also failed to follow the proposals stated put forward in the 17th National Congress on improving transparency in decision making process (Yao, 2011). If a higher level of public participation is possible during conservation planning, and the public is provided with chances to comment on the conservation plans, the public will tend to understand the process better and gain more information about HCC conservation plans. One key informant participant commented that no public participation is involved in planning processes in China.

The inclusiveness in a democratic planning process can be measured by whether a broad body of stakeholders is considered in that planning process. Fairness and power sharing can be measured by 1) whether decision making, solutions, and implementation are generated by fair rules; 2) "no dominant group" exists in the planning process, each group share the same amount of power (Laurian & Shaw, 2009). As these two goals share one of the criteria – no group hierarchy and inclusion all varieties of stakeholder groups – they will be tested together. One participant (participant 2) suggested that it is vital to understand stakeholders' degree of interest in the conservation issue to better involve them in public participation. Stakeholder analysis is helpful to identify this degree before public participation and even throughout the whole process (Ozerol & Newig, 2008).

Regarding the planning process in HCCs, several participants stated that the public was neither involved in nor has impacted decision making. In fact, the participants even believed that public participation is not a necessary in the planning process, as one

participant (participant 7) advocated that it is needed only in the more detailed level of planning, such as designated-district conservation, rather than HCC conservation planning which is an action at a city-scale. This result further confirms the elite concern in conservation planning in China (Abramson, 2001), and how people with planning expertise have already accepted this ideology. Stakeholder groups identified in this study are residents, planning professionals, NGO workers, government officials, and business owners. No generally available information was offered to the public about the responsible departments or bodies for involving various stakeholder groups in the planning process. Therefore HCC conservation plans should include relevant content to involve various stakeholders in the conservation planning process; this statement is also supported by proposals put forward in the 17th National Congress on improving public participation in decision making process. This finding also suggests that improvement needs to be made in HCCPM in order to increase inclusiveness in democratic planning goals, as suggested by nine participants advocating HCC planning has improved public involvement.

Concerning fairness and power sharing goals in public participation, significant room for improvement is also expected to be made in HCCPM. Three participants described the decision making process in HCCPM as inappropriate. One participant (participant 2) advocated that we should attempt to make the public aware of HCC plans. This finding suggests that the goal of public participation “gaining control over the policy process for participants” was not achieved in the study area, and tremendous effort

would be needed to educate and empower stakeholders in HCC conservation planning process. One participant (participant 1) explained that the attitude of decision makers is vital in influencing the level of participation. Public participation opportunities should be provided in HCCPM so as to form a basis for a democratic governing process to insure the benefits of all stakeholder groups and to offer them the power to impact final decisions, which align with suggestions provided in *Notice of the State Council on Enhancing Cultural Heritage Conservation (2005).*

Three participants stated that public participation could be restrained by social and beneficial relevance to the public, corresponding to the discussion of Yetano et al. (2010), which states that participant's interest, time and financial availability often influence the level of public participation. One participant (participant 5) stated that public participation is a process that provides the opportunity for educating planning professionals, a demonstration aligns with one participation goal as "incorporating local knowledge into plans" (Innes, 1996; Innes, Gruber, Neuman, & Thompson, 1994; Burdy, 2003; Ozerol & Newig, 2008). Three participants suggested that appropriate participation should be included in HCC conservation plans. Nine participants also stated that the timing of participation in the planning process is vital for a variety of aspects, such as influencing monitoring plan implementation. According to Burdy (2003), promoting participation at an early stage of the planning process, and maintaining involvement, can be helpful in increasing the participation rate. This point of view is agreed upon by seven participants of this study.

According to the findings, HCC conservation plans did not meet the participants' expectations in this study. Public participation is missing in a fundamental manner in the HCC conservation planning process, as law and legislations related to urban planning issues in China suggest to involve the public into decision making process (Yao, 2011). Changes must be made in the way information is provided to the public and to ways stakeholders are involved in all HCCs.

5.3.2 Governance Principle Test

Shipley and Kovacs (2008) developed an evaluation measurement to examine governance principles in heritage sectors, two of which will be tested in this study: accountability and fairness. The evaluation criteria are shown in Table 5-2 as follows.

Governance Principle	**Evaluation Criteria**
Accountability	1. Clarity 2. Coherence and Breadth 3. Role of Political Leaders 4. Public Institutions of Accountability 5. Transparency 6. Civil Society and Media 7. Assurance against Interest Conflict
Governance Principle	**Evaluation Criteria**
Fairness	1. Supportive Judicial Context 2. Fair Enforcement of Conservation Rules 3. Fair Process in Establishing Conservation Sites 4. Fair Management Process 5. Balancing of Decisions

Table 5-2: Criteria for Evaluating Accountability and Fairness (adapted from Shipley and Kovacs, 2008)

According to the democratic process analysis in section 5.3.1, the HCC conservation planning process needs improvement in terms of inclusiveness, transparency, fairness and power sharing goals. The analysis results suggest that adjustments need to be made in the planning process to fulfill governance accountability and fairness requirements. Though the public is expected to be involved in the planning process and impact decisions in HCCPM, conservation actions remain to hold elite concern currently. Participants desired a higher level of accountability than existing condition in HCC planning.

5.3.3 Existing Plans and Urban Reality

Concerning the differences in existing content and urban reality in the Historic Cultural Cities, especially in the study area, several points can be summarized. A very important principle proposed by HCC conservation plans is that the original urban form and pattern should not be changed when conducting urban renewal projects in the conserved areas. This principle includes conserving the designated areas as the complete entities. The historic residences, surrounding residential facilities, and local people had gradually disappeared because of land development and gentrification. In terms of traffic control and road system, it is required in the conservation plan of the study area that public transit should be the main method of transportation to avoid further threatening by traffic jam and high density. While in reality, public transit and private cars both bring traffic flow into the inner city land. Public transit, such as the subway line, is extended

constantly and has replaced some traditional residences that are actually under Historic Cultural City Conservation. In addition, conservation process is required to be conducted properly in the conservation plan. Conservation process includes documentation and exploration before conducting conservation activities, implementing plans according to relevant requirements, involving the public, and monitoring and evaluating after plan implementation. However, the huge difference between stakeholders' expectation in plan content and the condition of existing conservation plans shows that further efforts are needed to ensure this process. Also in the plans, traditional commerce is required to be preserved to sustain the vibrancy and to protect intangible heritage of the study area. But many local businesses including the traditional business are forced to move out of the conserved area as they are threatened by increasing higher rent caused by land development. Differences between existing plans and urban reality reveals the quality of plan implementation and the actual impact of conservation plans in the study area.

5.4 Stakeholders' Perceptions Based on Location, Planning Knowledge, and Stakeholder Group

The stakeholders' responses based on location, planning knowledge, and stakeholder group will be discussed respectively to reveal how these indicators affect stakeholders' understanding of HCCPM. Stakeholders' responses based on these three respects will be compared to relevant literature and to reveal gaps between plans and reality in HCCs.

5.4.1 Location

Responses are compared between stakeholders located in the central districts and those located in all other districts of the study area. There is one significant difference in the legislative base policy category. Further analysis shows that participants from the central districts comparatively expect a higher level of detail in plans that those from all the other districts of the City of Beijing conservation areas, as stated in Table 4-9. As most central districts are located in the north of the Old City of Beijing (and all the other districts are located in the south), it can be speculated that conservation areas in the north are expected to be managed by more detailed plans. This conjecture is based on the assumption that participants consider their own and surrounding neighborhoods more keenly than areas further away. These four districts have been combined into two administrative districts since 2010 (China Cultural Daily, 2010). However, the effect of administrative change tends to take a long term to militate, while the previous conditions maintain their impact on conservation planning. The northern districts of the Old City of Beijing had a denser population and higher government receipts than the southern districts (National Bureau of Statistics of China, 2001). Therefore, the survey results reflect that there is link between participants' expectations on conservation plans and population density and available money. It also can be hypothesized that the more money and population there is, the higher level of detail conservation plans should achieve.

Based on the results that stakeholders from the central districts have stronger concern over legislative base, it can be speculated that illegal constructions occur more

frequently in the districts in the north than all other districts. Lu (2005) argues that illegal construction is a commonly used approach to fulfill housing needs in the inner city of Beijing. This is because of the scarcity of housing caused by socialist planning ideology which in the past addressed building productive structures rather than consumptive ones. Three participants further stated that the attitude and ideology of decision makers mainly shaped the content of conservation plans. By stating this point of view, participants reflected that there was not sufficient stakeholder involvement in the conservation planning process, as the “decision makers” usually consisted of government officials and planning professionals rather than local residents and NGO workers. According to the analysis results, democratic process is expected in HCC conservation planning, especially within conservation areas of Northern districts where there are more designated areas than the southern inner city.

5.4.2 Planning Knowledge

Comparison is made between participants with planning knowledge and those without. Participants – who have any type of planning knowledge ranging from simply having read a HCC conservation plan to being directly involved in HCC conservation planning work – are grouped together to compare to those do not have any form of knowledge. There is no significant difference in the level of detail of plans when comparing expectations from stakeholders having planning knowledge and those without in almost all of the policy categories. It might be possible that an inappropriate criterion is adopted in this study to define an individual’s planning knowledge. Due to the limited

accessible resources to the public regarding conservation plans, it is not easy for the public to actually read conservation plans. However, stakeholders might also hold their own understanding towards conservation plans and have real living experience in the study area. There is one significant difference in the policy category of risk management. Stakeholders without planning knowledge desired a comparatively higher level of detail in conservation plans as compared to those having planning knowledge, as shown in Table 4-9. The fact that participants without planning knowledge expected a higher level of detail in risk management reflects that existing plans did not sufficiently address the importance of risk management as planning professionals and decision makers did not respect the real needs of all stakeholders. The reasons for this difference might be as follows. First, while risk management refers to policies of managing issues related to security in conservation areas (including fire rescue and emergency response), stakeholders tend to understand “risk management” as the management regarding everything related to security issues in their own lives. Therefore, participants with no planning knowledge expect the highest two levels of detail in conservation plans in the hopes of ensuring their individual security. On the other hand, participants having planning knowledge select a common level of detail in plans to fulfill relevant conservation requirements. Second, it is possible that the phrase “risk management” is not demonstrative to stakeholders. If an easier term can be used to let the public know the extent of risk management – such as emergency or fire rescue management – a different result might take place.

5.4.3 Stakeholder Group

Due to few responses from stakeholder groups other than local residents, the local resident group was compared to all other stakeholder groups (government officials, NGO workers, planning professionals, business owners, and visitors) to test the potential differences of participants' expectations from distinct stakeholder groups. One significant result was discovered when comparing stakeholder groups, as shown in Table 4-9. Comparatively, local residents expected significantly higher levels of detail in HCC conservation plans in the "conservation approach" category, as compared with participants from all other stakeholder groups.

Due to the lack of information available for accurate interpretation, one can speculate the reason for this difference. Local residents provide points of view from a "down-to-earth" vantage. They tend to consider the practical value of conservation actions in their daily life. Meanwhile, according to Abramson (2007), the conservation policy of the City of Beijing holds a "panoptic aspect" which fundamentally results from its unique urban form. Therefore, it can be inferred that there is a gap between conservation approaches proposed in HCC plans and what is necessarily needed in reality. Conservation approaches refer to policies related to methods of conservation activities, including different approaches for different situations. Local residents' comparatively higher expectation in this policy category might suggest that current conservation approaches are not addressing all the activities occurring in the study area – activities of which people not living in the areas might not be aware. An "up-to-date" conservation

plan for each HCC is necessary to ensure appropriate conservation actions. According to the *Historic Cultural Cities, Towns, and Villages Conservation Ordinance*, there is no requirement on how often conservation plans should be reviewed. Most HCC conservation plans are approved in the past 1-2 years, as shown in Table 3-2; however, local residents might not have noticed newly approved plans, as they tend to take time to militate due to the long term nature of conservation planning. Additionally, the high expectation of local residents implies that the language used for "conservation approach" and its relevant explanation can only be broadly understood by local residents.

Furthermore, results from the key informant participant questionnaires show that individuals can belong to more than one stakeholder group. Four participants identified themselves belonging to two stakeholder groups. For instance, participant 1 identified himself as a planning professional as well as a local resident. Further research is needed to examine these individuals belonging to multiple stakeholder groups, who that might yield different analytical results.

5.5 Western Theories in a Chinese Context

In this study, theories on urban conservation, plan evaluation, and public participation are mostly referenced from discourses in Western countries. With an attempt to apply these theories to a Chinese context, this study adopted theories in these three fields to explain conservation activities and planning process in Chinese cities.

Urban conservation in China values heritage resources in forms of both individual buildings and groups of such buildings. The Historic Cultural City Planning

Mechanism is a concept to protect cities with legacies as organic wholes. This approach aligns with conservation theories in the West which focuses on preserving individual buildings, as well as the space and function of a city as a comprehensive entity (Nasser, 2003). The guiding legislative documents used in this study were composed especially for Chinese cities. *China Principles*, which is used for establishing study framework of policy categories in this study, is a charter developed by ICOMOS. The direction of conservation in *China Principles* is in accordance with international charters worldwide.

Chinese cities have some unique features due to their history of development. After the establishment of P.R.C. China in 1949, most Chinese cities were planned under socialist ideology, which addressed production of the cities. This led to scarcity of housing facilities and shaped urban forms of cities that intensively influenced urban planning in China. Under socialist economy, urban planning affairs are project-specific; municipal governments had little control over financial and funding management. The inner city land underwent decades of demolition of the historic residences in the name of urban renewal. Although efforts have been made to enhance legal support of planning actions, official support is still needed to ensure plans are implemented. Features of urban planning and Chinese cities result in too much attention paid to protecting heritage sites while ignoring historic areas in practice (Abramson, 2007). Therefore, a need to adopt Western conservation theories in Chinese conservation activities is suggested. Doing so may involve a revolution in planning structure and ideology that is of a long-term nature.

Theories of plan evaluation and public participation in urban planning were

introduced into China only recently (Li, 2005; Zhou, 2012). Chinese scholars argue that some Western plan evaluation methods, such as community impact evaluation (CIE), are applicable to urban planning in Chinese cities (Zhou, 2012; Lichfield, 2001). Factors that influence plan quality are evaluated in this study, including, 1) fact base, 2) goals and objectives, 3) policies, 4) implementation, and 5) monitoring and evaluation. These factors are developed from Western plan evaluation literature (Brody & Highfield, 2005; Berke & Godschalk, 2009). Each factor of plan quality is actually mentioned in the three guiding legislative documents: *Code of Conservation Planning for Historic Cities, Historic Cultural Cities, Towns,* and *Villages Conservation Ordinance,* and *China Principles*. To evaluate these factors in HCC conservation plans helps clarify current plan quality and further efforts should be made to enhance conservation plan quality and strengthen their ability to direct conservation activities in China.

Previously Chinese cities did not have rich base for public participation in planning processes (Yao, 2011). However, the latest version of *Urban and Rural Planning Law* does require public participation to be included, many laws and statements in the National Congress suggest public participation and democracy are increasingly welcome in decision making process in China (Wu, 2011). While in China the public can be involved in planning process through informal participation, more detailed and effective mechanisms of public participation are needed in the urban planning domain. The concept of democracy used in this study was referenced from Western literature to evaluate conservation planning processes in the case study of this research – the City of

Beijing. This attempt will provide a chance to test the gap between existing planning processes and desired democratic planning processes, as democracy has been set as a goal for future participation in urban planning in China.

5.6 Summary

In this chapter, these three main parts are discussed: general detail in HCC conservation plans, stakeholders' perceptions and plan content comparison, and stakeholders' perceptions based on location, planning knowledge, and stakeholder group.

The general detail in most HCC conservation plans are discussed on its link to five respects: value of urban conservation, purpose of conservation plans, role of public in planning process, financial and human resources, legislation and guiding documents. In each respect, content analysis results were compared to relevant literature in order to provide some insights such as how conservation plans reflect actual activities in HCCs.

The gap between stakeholder's perceptions and plan content is discussed in this section in concerning democratic process of public participation and governance principles. The gap reveals that improvements need to be made to conservation planning in HCCs, especially those regarding transparency and accountability in democratic process and fairness as a principle for governance.

Finally, stakeholders' perceptions based on their location, planning knowledge, and stakeholder group are discussed. Each respect of perceptions reveals some differences of understanding about what is vital in HCCs among participants. The location respect discussed the relationship between plan detail and two districts

characteristics, funds and population. It also confirms discussion in literature regarding construction in conservation areas. The planning knowledge respect discussed participants' understanding in conservation planning is influenced by language used in plans. The stakeholder group respect stressed that democratic process is needed in HCC planning.

Chapter 6

Conclusion

6.1 Introduction

Chapter 6 of this thesis – conclusion – consists of four parts: 1) summary of research findings; 2) recommendations; 3) study limitations; 4) further studies.

6.2 Summary of Research Findings

Central research question

What is the difference between the level of detail of policies presented in conservation plans of China's Historic Cultural Cities and the level of detail that stakeholders expect in policies of conservation plans?

This study compares the level of detail currently utilized in the Historic Cultural City conservation plans (through plan content analysis in step one of the study) to the actual level of detail stakeholders expect in such plans (through residential surveying in step two of the study). The results of the comparison show that stakeholders expected more detailed content in conservation plans than the HCC conservation plans can currently provide. The research findings suggest that the conservation planning process needs improvements in involving the public and implementing plans based on good governance principles.

Sub-research questions

1. Is there a difference among conservation plans in terms of the level of detail of

policies?

2. Is there a difference among various stakeholder groupings in terms of the level of detail of policies they expect?

The content analysis results of the nine studied HCC conservation plans demonstrate that there is a difference among plans. The results indicate that improvements need to be made in terms of enhancing inter-organizational coordination. Three types of participant grouping were identified in this study. Comparisons were made between participants' expectations and the current level of detail of HCC conservation plans based on participants' planning knowledge, stakeholder group, and location.

As the responses received were not numerous enough to be analyzed based on all stakeholder groups, the responses from local residents were compared to responses from all other stakeholder groups in this study. In general, there is no significant difference between these two groups of responses in terms of expectation in plan detail. Potential reasons for this result are listed as follows: first, actually no fundamental difference exists between level of detail expected by from local residents and that from all other stakeholder groups. Second, inaccurate results might occur as some participants identify themselves as belonging to more than one stakeholder group. However, one statistically significant result was found in the policy category of "conservation approach", indicating that local residents expect more details about conservation approach policies in plans than all the other stakeholder groups. This result implies that the current conservation approach stated in conservation plans failed to reflect all the

actual activities occurring in the HCC conservation areas, or that the conservation approach currently utilized is not beneficial to local residents' daily life.

The results of the residential survey show that no significant difference exists when comparing expectation from participants that have planning knowledge to those without planning knowledge in terms of the level of detail in plans. The results tend to indicate that an individual's ability to provide adequate comments on conservation planning depends more on his or her understanding of the conserved areas rather than the understanding of planning itself.

There is one significant finding in risk management, however, showing that participants without planning knowledge expect higher levels of detail in plans, especially in policies regarding risk management. This difference arose for various reasons: first, the real needs of stakeholders living in HCCs were not fully understood by decision makers, as the public were not involved in conservation planning activities; second, the phrase "risk management" is not meaningful to stakeholders, as a more descriptive name of the policy category is anticipated to result in different research results.

A comparison of results was made between participants from the central districts and participants from all the other districts of the Old City of Beijing. There is one significant finding in the legislative base policy category, as stakeholders from the central districts desired more detail in plans than stakeholders from all the other districts. As central districts have denser population and more available money than all the other

districts, this difference tends to reveal links between the level of detail to these two characteristics of a district. The reason for the difference in the expectation of legislative base policies is that illegal construction occurred more frequently in the central districts than the other districts. Key informant participants further indicated that conservation activities are mainly controlled by government officials, whose attitude and ideology is playing an important role in guiding HCC conservation planning. A more democratic planning process had been expected to occur in HCCs, especially in conservation areas like central districts of the Old City of Beijing.

6.3 Recommendations

Explaining Function and Purpose of HCC Conservation Plans

Based on the literature review, objectives and functions of any plan were identified in the literature. Four recommendations explaining the function and purpose of plans are offered as follows: 1) it is vital for HCCs to determine which of the objectives conservation plans work towards; 2) the identified objectives of conservation plans should be explained to the public and described in the relevant guiding documents; 3) the functions of HCC conservation plans should be defined to determine the role of the plans in conservation activities; 4) an evaluation and monitoring mechanism should be established to test whether the objectives of HCC conservation plans have been achieved, as well as whether plans are playing the same functional role as claimed.

Involving the Public in Conservation Planning Processes

The following two recommendations are offered regarding public involvement:

1) before the actual process of conservation planning begins, a stakeholder analysis should be conducted as outlined by Thomas and Middleton (2003) to determine which stakeholder groups should be involved in the planning process; and 2) factors influencing public participation such as scope, representativeness, timeliness, comfort and convenience, influence, financing, and communication should be identified according to the type and purpose of conservation activities.

Improving Financing and Human Resources for HCCPM

Regarding financing and human resources in HCCs, the following suggestions are offered. Municipal governments should offer more funding to support HCCPM. Urban development and urban conservation should be balanced within HCCs; for example, development projects can be conducted outside conservation areas. More money should be devoted to plan implementation monitoring as well. More staff should be hired and trained to build a stronger human resource foundation for HCCs. Staff should be involved in various planning processes, including plan making, plan monitoring and plan evaluation.

Describing Clear Direction in Legislation and Guiding Policies

The following recommendations are offered regarding legislation and guiding policies about HCCPM. First, the language used in guiding documents should be more accurate in defining what issues should be related to the plan objectives. For instance, a clear explanation of the term “consideration” is needed in the *Code of Conservation Planning for Historic Cities* to clarify what is being referred to by balancing conservation

actions with development projects. Second, all the HCC conservation plans should contain the content regarding the 17 policy categories discussed in this thesis. Meanwhile, the level of detail should be required in each policy category.

Making HCC Plans Accessible to the Public

Recommendations regarding plan accessibility in HCCs are offered as follows. First, all the HCC Plans should be available to the public. Currently a lot of HCC conservation plans are not. The version of plans should be transformed from hard copy to online digital form. On the municipalities' websites, easy-to-find links to the plans should be shown in order to inform the public. Second, "up-to-date" material should be added to HCC conservation plans. The actual activities occurring in the conservation areas should be reflected in the plans as much as possible. HCC conservation plans should also be reviewed periodically to maintain their relevancy. Third, the language used in conservation plans should be clear and the terms should be easy for the public to understand. Highly technical terms which tend to be misunderstood by the public should be avoided.

6.4 Study Limitations

Four main limitations of this study are identified and stated as follows.

Time and Finance Limitations

Several study limitations resulted from time constraints. First, the total responses from the participants were not sufficient to be representative due to researcher's limited time to conduct field study and data collection. Second, more diverse

groups of stakeholders could have been involved in the study if the researcher had had more time to spend on the study area. Third, although all the conservation areas of the study field have been visited by the researcher, some areas did not receive the same attention as the others due to the time constraints. This study's limitations are also attributed to financial constraints. Furthermore, a compensation approach – an effective way to involve the public – was not possible to be conducted due to the limited finance resources of the researcher.

Content Analysis Approach

The content analysis approach used in this thesis was conducted by a single coder. Therefore the judgments on the level of detail of various HCC conservation plans might be more subjective than desirable.

Stakeholder Surveying

There were several limitations regarding stakeholder surveying. First, when data was being collected through surveys, permanent residents were not distinguished from temporary residents. According to the socio-economic condition of the study area, a demarcation between property owners and renters would have been helpful to understand HCC conservation planning. Second, the actual method adopted in the study was convenience sampling instead of random sampling as planned. This might decrease the responses and representativeness of participants. Third, the definitions of level of detail were not meaningful to some participants. The complexity of the level of detail categories might potentially decrease response rates, as well as prevent participants from

consistently understanding the meaning as defined for plan content analysis. However, the results of surveying were used based on participants' understanding.

Participant Grouping

Chi-square analysis was used in this study to examine how location, stakeholder group, and planning knowledge of participants influence their expectation on plan content. In order to conduct chi-square analysis, a certain number of responses are required on both groups for comparison. In the stakeholder grouping, residents responded far more than any other stakeholder groups, thus the responses of residents were compared to responses of all other stakeholder groups. This method of participant grouping tends to mislead the way to understand the expectation of participants of the following stakeholder groups: NGO workers, government officials, business owners.

6.5 Further Studies

Based on the issues identified in this study, the following two main aspects are suggested for future studies: plan quality assessment and plan evaluation, and public involvement. This study adopted conservation theories and plan evaluation techniques from the Western context. Further studies can focus more on exploring plan quality measurement and plan evaluation techniques especially designed for Chinese context. In the literature, various plan quality indicators are discussed for identifying a good plan. These indicators were not fully reflected in this thesis, but can be studied by future research. Plan evaluation techniques should be adopted according to the purpose and function of plans, which makes analyzing these two factors of plans vital for further

studies.

This study also investigated the stakeholders in the study area based on three types of grouping: stakeholder group, location, and planning knowledge. A fundamental way of distinguishing stakeholders, ownership, could be further studied in similar subjects. For instance, further research can ask questions like “how does ownership affect stakeholders’ perceptions?” to identify this factor and its influence on conservation activities in HCCs. Studies can also select other HCCs and analyze responses from other cities in China to make a comparison to each selected study field. Furthermore, it is also possible to conduct qualitative research focusing on opinions from planning professionals and government officials, using in-depth data collection methods to gain an intensive understanding from the professionals’ perspective.

6.6 Conclusion

Historic Cultural City is a unique urban conservation mechanism adopted in China. HCCs use conservation plans as a planning tool for various purposes in terms of urban conservation, including guiding conservation activities, fulfilling legal requirements, and providing a base for communication. The level of detail of plans can reflect issues such as how conservation is valued, the role of the public the in conservation planning process, financing and legislative conditions in HCCs. Rich detail is generally desirable as it tends to lead to good quality plans. More detailed conservation plans can also assist to provide a documentary base for involving the public in planning processes. Public participation is expected to be conducted in a democratic planning

process. Accountability and fairness are also applicable principles for public participation. Factors regarding public participation such as scope, representativeness, timeliness, influence, and financing should be clearly identified in legislations and guiding policies to define the role of the public in conservation planning process of HCCs.

A significant difference was revealed in this study by comparing the detail in current HCC conservation plans to stakeholders' perceptions. Stakeholders in the study area basically desire more detailed content than HCC conservation plans currently provide. This indicates that more accountability and transparency is expected in plans. The public should be able to access information they require. Relevant documents regarding HCC conservation, especially conservation plans, should be provided to the public in an open form. Documents should be reviewed periodically to maintain their relevancy to the actually condition of HCCs.

Urban conservation, especially in Chinese context, is complex due to uncertainties. HCC conservation plans have been used as a planning tool for three decades in China. This approach has achieved some conservation goals in general, such as establishing the city-scale conservation framework, exploring cities with diverse heritage values, and developing planning tools for conserving identified areas. However, tremendous efforts are expected to be attempted in order to make HCCs effective in reality. Identifying what makes a good plan in China and the relationship between plan quality and plan implementation would be an interesting topic for further studies. Plan monitoring and evaluation will help to identify what makes conservation plans work in

reality, and establish a standard framework for good plans. By doing this, a more effective and democratic conservation planning process is expected, which is anticipated to result in more appropriate decision making and better future for Historic Cultural Cities (HCCs).

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Appendix A

Research Ethics Clearance

ORE Ethics Application System <OHRAC@uwaterloo.ca>

Tue, Mar 13, 2012 at 1:26 pm

To: rshipley@uwaterloo.ca

Cc: l86li@uwaterloo.ca

Dear Researcher:

The recommended revisions/additional information requested in the ethics review of your ORE application:

Title: Conservation Plans: Understanding Historic Cultural Cities and Stakeholders' Perceptions

ORE #: 17993

Faculty Supervisor: Robert Shipley (rshipley@uwaterloo.ca)

Student Investigator: Lin LI (l86li@uwaterloo.ca)

have been reviewed and are considered acceptable. As a result, your application now has received full ethics clearance.

A signed copy of the Notification of Full Ethics Clearance will be sent to the Principal Investigator or Faculty Supervisor in the case of student research.

****

Note 1: This ethics clearance from the Office of Research Ethics (ORE) is valid for one year from the date shown on the certificate and is renewable annually, for four consecutive years. Renewal is through completion and ethics clearance of the Annual Progress Report for Continuing Research (ORE Form 105). A new ORE Form 101 application must be submitted for a project continuing beyond five years.

Note 2: This project must be conducted according to the application description and revised materials for which ethics clearance has been granted. All subsequent modifications to the project also must receive prior ethics clearance (i.e., Request for

Ethics Clearance of a Modification, ORE Form 104) through the Office of Research Ethics and must not begin until notification has been received by the investigators.

Note 3: Researchers must submit a Progress Report on Continuing Human Research Projects (ORE Form 105) annually for all ongoing research projects or on the completion of the project. The Office of Research Ethics sends the ORE Form 105 for a project to the Principal Investigator or Faculty Supervisor for completion. If ethics clearance of an ongoing project is not renewed and consequently expires, the Office of Research Ethics may be obliged to notify Research Finance for their action in accordance with university and funding agency regulations.

Note 4: Any unanticipated event involving a participant that adversely affected the participant(s) must be reported immediately (i.e., within 1 business day of becoming aware of the event) to the ORE using ORE Form 106.

Best wishes for success with this study.

Susanne Santi, M. Math.,
Senior Manager
Office of Research Ethics
NH 1027
519.888.4567 x 37163
ssanti@uwaterloo.ca

Appendix B

Residential Survey (Chinese Version)

调查问卷

年龄_____ 性别_____

1. 同意参与调查问卷
我已经了解接下来的内容，我自愿参与此调查问卷
（）我同意参与

2. 你的身份是？（选择最接近的）
（）居民
（）NGO 工作者
（）访客
（）城市规划从业者
（）政府工作人员
（）其他

3. 请描述你对保护规划的了解
（）曾经阅读过保护规划
（）曾经通过电子邮件，网站，电话的方式发表意见
（）参加过公共会议或公开讲座
（）参与过保护规划的制定工作
（）我没有接触过保护规划

请你选出你认为在历史文化名城保护规划中的各种政策应该达到的详细程度。详细程度分为 5 个程度，详细程度及其解释如下：
1）不包含：在规划中没有提及
2）不太详细：对现有保护行为的描述
3）一般详细：不太详细+对现有和今后的保护行为的目标描述
4）比较详细：一般详细+实施规划
5）非常详细：比较详细+监督评价系统

4. 保护单位的级别：历史及地理简介，实物遗存与环境综述，保护范围及建设控制地带是否划定公布及其界限
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

5. 规划依据（法律条文，规范条例等）
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较

详细； （）非常详细； （）我不知道

6. 现状描述：实物遗存及其环境现状的勘测分析结论
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

7. 规划需要解决的主要问题
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

8. 重点解释：对本项目“不改变文物原状”的认识，和可能干预的限度
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

9. 对现状中的主要问题准备采取的基本对策
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

10. 保护措施：根据不同的状态、不同的部分和不同的价值，在总目标的指导下，分项制定措施。每个项目都应包括拟采取的保护手段和预期的目标
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

11. 保护内容
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

12. 保护界线划定
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

13. 冲突管理
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

14. 建筑高度控制
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

15. 出行方式
（）此处不适用； （）不包含； （）不太详细； （）一般详细； （）比较详细； （）非常详细； （）我不知道

16. 道路系统

（）此处不适用；　（）不包含；　（）不太详细；　（）一般详细；　（）比较详细；　（）非常详细；　（）我不知道

17. 市政工程

（）此处不适用；　（）不包含；　（）不太详细；　（）一般详细；　（）比较详细；　（）非常详细；　（）我不知道

18. 防灾和环境保护

（）此处不适用；　（）不包含；　（）不太详细；　（）一般详细；　（）比较详细；　（）非常详细；　（）我不知道

19. 管理机构设置与人员培训计划

（）此处不适用；　（）不包含；　（）不太详细；　（）一般详细；　（）比较详细；　（）非常详细；　（）我不知道

20. 日常监督制度（monitor）

（）此处不适用；　（）不包含；　（）不太详细；　（）一般详细；　（）比较详细；　（）非常详细；　（）我不知道

21. 请发表你关于历史文化名城保护规划的看法。

_____

_____

_____

_____

Appendix C

Residential Survey

Age:_____ Gender:_____

1. Consent to participate

With Full knowledge of all foregoing, I agree, of my own free will, to participate in this study

( ) I agree to participate

2. To which of the following stakeholder groups do you belong? (choose one of the most applicable)

( ) Local resident
( ) NGO Staff or NGO member
( ) Visitor
( ) Planning Official
( ) Government Official
( ) Other

3. Please indicate in what capacity you have participated in the Conservation Planning process.

( ) Read a park management plan
( ) Provided comment through email, website, or phone
( ) Attended public meetings
( ) Worked on developing a conservation plan
( ) I have not participated

Please rate the level of detail you think each of the following policies should be stated in the Historic Cultural City Conservation Plans. The rating scale options and descriptions are given below:

1) No detail: Not included in the plan
2) Minimal detail: Background description of current conservation activities
3) General detail: Minimal detail + objectives for current and future conservation activities
4) Very detailed: General detail + Implementation plan
5) Comprehensive detail: Very detailed + Monitoring and Evaluation

4. Level of protection: description of conservation areas, including level of conservation, background, the extent of conservation

   ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

5. Legislative base: regulations, laws, legislations related to conservation
   ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

6. Current condition: the evaluation of current conditions of conservation areas
   ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

7. Purpose of conservation: the overall purposes that direct the conservation management of the conservation areas
   ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

8. Focuses of conservation: the major focus of conservation practice in the conservation areas
   ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

9. Conservation strategy: conservation strategies aiming at different problems
   ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

10. Conservation approach: approaches of conservation, including different approaches for different situations
    ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

11. Content of conservation: identifying what to be conserved in the conservation districts
    ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

12. Boundaries: the set of boundaries of conservation districts
    ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

13. Conflict management: conflicts that may arise during the conservation planning process
    ( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

14. Height restriction: height restrictions on the physical structures in the conservation

areas
( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

15. Methods of transportation: methods of transportation in the conservation districts (such as pedestrian, bus, subway, roads)
( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

16. Road system: framework, scale, restrictions of roads, and parking
( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

17. Public utilities: public utilities (such as drainage system, waste management, hydro, communication devices)
( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

18. Risk management: risk management within the conservation districts, including fire rescue, emergency response, and requirements relating to security issues
( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

19. Human resources: the number, type, and qualification of human resources in conservation districts
( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

20. Monitoring mechanism: the programs ensuring conservation activities in the conservation areas
( ) Not Applicable; ( ) No Detail; ( ) Minimal Detail; ( ) General Detail; ( ) Very Detailed; ( ) Comprehensive Detail; ( ) Do Not Know

21. Do you have any comments on Conservation Plans of Historic Cultural Cities?

_____
_____
_____

Appendix D

Key Informant Questionnaire (Chinese Version)

历史文化名城研究调查问题

1. 你属于下列哪个身份？
   a. 居民
   b. NGO 工作人员
   c. 访客
   d. 城市规划从业者
   e. 政府工作人员
   f. 其他

2. 你参与过历史文化名城的保护规划的制定工作，或者阅读/学习过保护规划吗？如果有请描述你的经历。

3. 你认为历史文化名城保护规划的目的应该是什么？

4. 你认为保护规划和城市总体规划的关系是什么？

5. 你认为什么因素会影响到保护规划中各种政策的详细程度？
   a. 你认为所有保护规划中的政策都应该达到某个特定的详细程度嘛？

6. 你认为不同类别的历史文化名城应该有不同的保护规划政策嘛？

7. 你认为公众参与在保护规划过程中起到什么作用？
   a. 在决策过程中的哪一个阶段适合引进公众参与？
   b. 你认为什么因素会印象决策过程中的公众参与？

8. 请说下你对历史文化名城保护规划的看法。

Appendix E

Key Informant Questionnaire

1. To which of the following stakeholder group do you belong?
    a. Local resident
    b. NGO staff or NGO member
    c. Visitor
    d. Planning official
    e. Government official
    f. Other
2. Have you been involved in conservation planning process or read conservation plans of Historic Cultural City? If yes please describe your experiences.
3. What is your understanding of the purpose of Conservation Plan of Historic Cultural Cities?
4. What do you think is the relationship between Conservation Plan and Development Master Plan in Historic Cultural Cities?
5. What factors do you believe that will affect the level of detail on policies of Conservation Plan?
    a. Is there a certain level of detail for all the policies in Conservation Plan?
6. Depending on the classification of Historic Cultural Cities, do you think there should be any differences among policies in Conservation Plan?
7. What do you believe is the goal of stakeholder involvement in the conservation planning process?
    a. What stage(s) in decision making process is preferable for stakeholder input?
    b. Can you think of any factors that will affect stakeholder involvement in decision making process?
8. Please feel free to comment on Conservation Plans of Historic Cultural Cities.