I, Yuguiong Cheng, hereby submit this original work as part of the requirements for the degree of Master of Community Planning in Community Planning.

It is entitled:
Urban Villages in China: Issues from Rapid Urbanization and Society Transformation

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Urban Villages in China:
Issues from Rapid Urbanization and Society Transformation

A thesis submitted to the
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ABSTRACT

Urban villages have emerged as a unique phenomenon in China, resulting from rapid urbanization, and then they affect the development of Chinese cities. This thesis analyzes urban villages in China, their characteristics and existing renewal efforts, and tries to investigate proposed solutions to improve their physical renewal, housing provisions, management regulations, and socio-cultural conditions.

The city of Shenzhen is used as a major case study to illustrate the issues with urban villages. Through the analysis of several data and physical conditions, the problem of urban villages in the city is assessed as well as the current need for solutions. The review of literature and policy analysis showed that current policy makes urban village reform more difficult, while current renewal patterns can work for different conditions of urban villages. Through case studies, lessons from history and successful cases are used to improve the quality of life for the needs of the innovations of urban villages. Based on the above findings, a recommended concept design is proposed and is applied to a real urban village in the city of Shenzhen.

The key words

Urban Village, Land Use, Urbanization, Urban Renewal
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I. Introduction and research question

“Cities are the future of the world” (Eaves 2007). The 21st century is the stage for cities. Rapid urbanization has been developing globally. In this context, the urbanization in China, which is the country having the largest population, might intensely affect global development in the coming 20 years.

According to the economist Joseph Stieglitz (2005), two things will change the world in 21st century- American high-technology industries and China's urbanization. He holds that China’s urbanization will be a locomotive for the regional economic growth and produce the most important economic benefits (Stieglitz 2010).

Since China’s opening up reform in 1978, with the rapid growth in the coastal cities, urbanization process in China reached a high speed. Compared to the developed countries, however, China's urbanization level is still lagging behind. Based on the World Bank, until 2006 the urbanization rate of high-income countries was 75%, world’s average rate was 51%, medium-income countries was 62%, low-income countries was 30%, and China's urbanization rate has not up to 40%. China's urbanization rate was 12% points lower than the average of the world and almost 40% points lower than the developed countries.

Table I-1. Urbanization rate of countries

<table>
<thead>
<tr>
<th>Countries</th>
<th>High-income</th>
<th>medium</th>
<th>World average</th>
<th>China</th>
<th>low-income</th>
</tr>
</thead>
<tbody>
<tr>
<td>Urbanization rate</td>
<td>75%</td>
<td>62%</td>
<td>51%</td>
<td>39%</td>
<td>30%</td>
</tr>
</tbody>
</table>

Lagging behind in socio-economic development and industrialization has become a major obstacle to China's strength and competitiveness. The next 20 years is an opportunity for China's social and economic development so that advancing the urbanization and coordinating developments in urban and rural areas is a long-term strategic task.

Invented by Ray Northman (1975), the Urbanization S Curve is a model indicating the progress of urbanization, in which there are three phases: primary phase, acceleration phase, and late phase as Fig. I-1 shows.

Figure I-1. Urbanization S curve

In a traditional society that stays in the primary phase, the urbanization rate is below 20%, and the curve slopes gently. The urbanization level stays low, and the development is
slow. With a rise in the importance of industrialized manufacturing and services, the pace of urbanization quickens until the curve slackens at about 75%. While most developed countries have reached this third stage with a slow urban population growth or even stagnation, the developing countries are still on a rising curve of urbanization, often with a steeper gradient caused by agriculture population moving to cities and advanced economies.

From the above urbanization rate number and characteristics of the Urbanization S Curve, China is now entering the acceleration stage. In this middle stage, because the tempo of urbanization is much faster than urban development and there is an increasing speed at the urban management level, many problems were produced, such as traffic jams, infrastructure lag, and environmental destruction. The urban village problem, which will be addressed in this thesis, is a comprehensive problem from the rapid urbanization process in China. It is a major issue that has the attention of urban planners in China driven by tremendous social and economic changes (Li 2005).

**Defining Urban Villages**

At first, the definition of ‘urban village’ has different meaning between developed countries and China. In developed countries, it usually refers to a well-planned development at the edge of an urban area. In the Dictionary of Human Geography edited by American geographer R · J · Johnston (1971), an urban village is defined as a residential community, in which residents have the same or similar cultural and ethnic identity, often placed in the transition zone. In the latest version of the Urban Economics Dictionary, American economist Arthur O'Sullivan (2001) defines ‘urban village’ as a sub-center of suburban districts around
the modern city. He points out that the urban village developed from suburbanization and concentrated in retail and office buildings in suburbs. In the United States, recent sustainable community designs use the urban village concept as a model which refers to a place where people achieve a harmonious relationship between nature and people, in working, leisure and everyday life (Greenbelt Alliance 2000). In contemporary China, urban villages are rural settlements and the original inhabitants are farmers. The villages commonly are inhabited by the poor and the transient within squalor and overcrowding environments (Wei 2005), which is in contrast to the urban village in developed countries, where urban villages associated with exclusive high-income inhabitants.

The first urban village in China appeared during the 1980s. In the meantime, the policy of open up reform, which was a turning point in the transformation of the planned economy into a market economy, was executed. Since then, with the accelerated process of urbanization, urban villages gradually became a widespread phenomenon in China, especially in the coastal cities such as Shenzhen. One can easily identify these villages from their irregular, shabby buildings, which make them stand out amidst otherwise well-planned skyscrapers and modern transport facilities (Chung 2009). The conditions in urban villages resulted in a series of social, economic and environmental problems such as crime, drug addiction, alcoholism, and prostitution (Zhang 2000).

Fig. I-2 shows the formation process of urban villages. While the urban area is sprawled during the rapid urbanization process, surrounding traditional rural villages were forced to become a part of urban area. Under the urban-rural dual system, however, those villages have not yet been entirely urbanized. Therefore, they become separate islands in the urban area.
Research Question

In the process of urban villages formation, they can be divided into three types: (a) villages which are located at the core of a city and have lost their farmland completely; (b) villages located at the suburban area retaining a certain amount of farmland; and (c) villages located at the periphery of a city which still retain a large amount of farmland (Li 2001). This thesis will consider the first type. Mature villages are the research object because they represent the most urgent problem facing urbanization and need to be dealt with first.

The basic research question is how can these urban villages be improved and revitalized and what specific actions would be necessary.

Until now, there were substantial differences between the city and urban villages in physical landscape, household registration, administration and planning, facilities and sanitation, education, and family planning management systems. The villagers do not engage in agricultural production anymore; however, they still keep the farmer's identity, rather than
adopting the citizen identity, though they live within the framework of the city already. They are no longer traditional villages but be more town like village in the city - urban village.

With the continued acceleration of urbanization, the imbalanced development between rich and poor, the distinction between urban and rural made the problem increasingly complex and difficult to solve because urban village reforms due not only a matter of physical change, but also includes economic, social, cultural, and landscape dimensions. The problems affect the competitiveness of Chinese cities, and then pose a challenge if China's urbanization can be successfully developed.

Thus, the goals of urban village reforms belong to four categories: physical renewal, housing provision, regulatory improvements, and socio-cultural enhancements. Thus the research question of this thesis can be divided into four specific sub-sets: how to optimize the physical environment in the village; how to provide proper housing for village residents; where the gap in existing policies is; and how to help renewed villages be sustainable. In general, the physical environment can be changed in a few years, the housing provision needs longer time, policy improvement may be gradually substituted in a couple of decades, and the social and cultural enhancement might be experienced by generations.

Consistence with above qualitative methodology is applied to research. Through reviewing existing policy and practice, the thesis synthesizes typical causes of urban village problems. It uses the Special Economic Zone city- Shenzhen as an example, classifies villages into two categories, and presents relevant reform modes and patterns. In addition, a specific proposal of design project is provided as an illustration to explain a concepitive solution. Additional recommendations are developed based on existing problems.
II. Literature Review

A Brief Description of China

China is a developing socialist country, and is socialist, which is different from capitalist countries in urbanization and economic development. In order to establish a foundation for understanding this study, key relevant concepts and background information are provided below. Based on the brief review of its development history, national policy is found to be an important factor influencing the Chinese development process.

Before 1949, China was a semi-feudal and semi-colonial country with an extremely backward economy and culture (Kraus 1982). Immediately after the establishment of the People’s Republic of China (PRC) in 1949, Chinese society went through a rather gradual and moderate restructuring over almost 20 years. Then from 1966 to 1976, due to incorrect political leadership, China experienced extreme turmoil in every facet of society, especially a huge setback to technical and social advancement (Ho 1982). Under the political pressure, people were focusing on inside conflict but not development.

In December 1978, the Chinese Communist Party (CCP) launched a reform for the country. The years since then have witnessed dramatic changes on every facet. Economic, rather than political conflict, were considered as the most important, as China finally returns back to the right track of development (CCP 1978).

A number of specific measures were gradually put into effect. Agricultural production changed from being organized on a collective basis to being organized by households. In industry, the central planning system moved toward a supervisory rather than a directive function, emphasizing enterprise autonomy. Market-oriented policies were introduced and
the private sectors grew. In foreign economic relations, the open up policy was practiced to absorb foreign technology and management. The idea of direct foreign investment into China, mainly through joint ventures, was approved, and the free trade zones, or "special Economic Zones", were authorized, which accelerated the existing trend towards increasing China's involvement in the world economy (Goodman 1986).

Given the changes in economy and policy along the last sixty years, Chinese urbanization developed based on economic growth.

**Previous Research by Chinese Scholars**

The urban village phenomenon occurred in the process of rapid urbanization in China. The rapid urbanization appeared in the 1980’s when population immigration was encouraged. Scholars began to notice the phenomenon in the 1990’s. By the late 1990’s, urban villages were a major concern for city governments. The scope of research by Chinese scholars had grown more comprehensively, to include urban geography, local economies and a general organization of the society. The body of literatures described here will present a historical review of concepts related to the urban village, their features, the mechanisms that formed them, and suggestions for renewal.

**Urban Village Concept**

The name of ‘urban village’ is applied broadly in academic research, media reports, and government profiles after 2000. Before that time it was called a ‘rural village in an urban area’ (Tian 1998; Fang 1999; Jing 1999; Qiu and Chen 2001). Scholars define the urban
village from different research perspectives, influenced largely by geographic location and
the rural-urban dual system in China which is the remnant of the planned economy that was
in place before 1978. Since then, the planned economy was transformed to the market
economy, and the dual system was in existence until now.

Zhang (1998) stated that an urban village is a rural community located in an urban fringe
area, sharing urban infrastructure and lifestyle and at the same time retaining rural values. Li
(2002), all echoed this belief. Though these articles are different, their main points about the
substance of urban villages are the same, which is that urban villages are villages with the
same characteristics as rural villages but located in an urban area.

Urban Village Features

Conducted by local governments, land collection programs led to the geographic
features of village land. Villagers lost land and their traditional agricultural lifestyle. Due to
weak management and selfish interests, numerous of illegal construction activities began to
rise in urban villages. Consequently, there was a lack of scientific planning and infrastructure
that created dense and crowded environments and narrow streets. These obvious differences
are shown in TableII-1. It is not difficult to find that the largest difference between the rural
village and urban village is that the urban village does not relevant to agriculture anymore.
Meanwhile, even though both are located in an urban area, urban villages and urban
neighborhoods are different in all other facts.
Table II-1. Comparison of rural village, urban village and urban neighborhood

<table>
<thead>
<tr>
<th></th>
<th>Rural village</th>
<th>Urban village</th>
<th>Urban neighborhood</th>
</tr>
</thead>
<tbody>
<tr>
<td>Existing land owner</td>
<td>Collective-own</td>
<td>Collective-own</td>
<td>State-own</td>
</tr>
<tr>
<td>Industry</td>
<td>agriculture</td>
<td>Rental</td>
<td>secondary, tertiary industry</td>
</tr>
<tr>
<td>Economic organization</td>
<td>Collective economy</td>
<td>Collective economy</td>
<td>company</td>
</tr>
<tr>
<td>Society administration</td>
<td>Village committee</td>
<td>Village committee</td>
<td>neighborhood committee</td>
</tr>
<tr>
<td>Public costs</td>
<td>Collective economy</td>
<td>Collective economy</td>
<td>Government funds</td>
</tr>
</tbody>
</table>

Source: Qian 2005.

Many negative impacts on villages are mentioned in a variety of studies, on social, economic, and environmental depredation (He 2001; Chen 2002; Jiang and Peng 2003). In those villages, few agricultural land were left, the physical environment in squalor was surrounded by urban buildings and inhabited by the poor and transient in dense population and a complicated structure. There were obvious differences between the city and urban villages in physical landscape, household registration, administration and planning, facilities and sanitation, education, family planning management system. The villagers do not engage in agricultural production anymore; however, they still keep the farmer's identity rather than citizen identity though they already live within the scope of the city. As a result these villages are no longer traditional, but ‘the town like the city and village’.

Only a few positive factors were cited by some scholars, such as the fact that an urban village mainly attracts and accommodates a large number of low-income groups and helps to relieve the social conflict in cities (Luo 2003; Hu 2004; Liu 2005).
Formation Mechanism

Most research that traced the formation of the urban village showed that the current urban-built environment cannot be separated from its past. According to Wu (1998), the urban village issue pertains to the transition from a planned economy to a market economy since 1978. Numerous significant changes in the built environment of Chinese metropolitan areas were described and recommended in this study. The changes include landscapes of the new business districts, gentrified residential communities, new social areas, as well as large peripheral residential communities, development zones and sub-centers. They were given great consideration because the changes directly affected people’s welfare. Villages, however, were neglected because all of the attention was attracted by those significant developments in the built environment. Thus, this article typically illustrates one of the reasons of urban villages and the negative lesson to learn.

Similarly, Zhang’s (2000) research identified why urban villages saw an increase during the 1990’s from the perspective of urban sprawl and land control. It identifies the local government’s willingness to lease land in order to collect new tax revenue. The presence of interest groups within the public sector aggravated the sprawl and urban village problems. Unfortunately, no detailed recommendations can be found in the article.

While no research could pinpoint at an exact cause, a few theories were developed. Further research may lead to probable explanations and possible solutions to the urban sprawl and urban village problems.
**Renewal Suggestions**

Most advice from existing research is fixed towards the psychological inertia which is the ‘demolition- resettlement’ pattern. It has been the most common renewal pattern during the recent decade mostly because demolition is the easiest way to think of when deterioration and damage happened. Under this condition, few other possible solutions to urban village were addressed, such as low-rent housing (Jia 1998; Zhang 2006; Luo and Peng 2008). Luo et al. (2008) compared urban villages versus public low-rent housing as the table below shows. From the table, obviously low-rent housing has many advantages over the urban village, in terms of the physical environment, standardization of rental houses and services, complete supportive facilities, social identities and belongings.

Table II-2. Comparison of urban villages and low rent houses

<table>
<thead>
<tr>
<th>Factor</th>
<th>Urban village (supply)</th>
<th>Low-rent houses (demand)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location</td>
<td>Urban built-up area</td>
<td>Urban built-up area</td>
</tr>
<tr>
<td>Social function</td>
<td>Offering cheap rent service</td>
<td>Offering standard Low-rent service</td>
</tr>
<tr>
<td>Physical environment</td>
<td>Poor quality constructions and environment, deficient municipal facilities</td>
<td>National standard low-cost houses, the complete supporting facilities</td>
</tr>
<tr>
<td>Economy</td>
<td>Individual economy and village collective economy</td>
<td>State-owned economy</td>
</tr>
<tr>
<td>Society</td>
<td>Complex demographic composition and uncontrolled floating population</td>
<td>Government unified planning and arranging of population</td>
</tr>
<tr>
<td>Community</td>
<td>Social instability, social exclusion</td>
<td>Social identity and belonging</td>
</tr>
</tbody>
</table>


After comparison, Luo et al. (2008) suggested that the low-rent housing, which oriented
village, was an effective way to achieve collaboration between urban village population and
the government. The most important reason is that urban village population desired to
achieve their identity as citizens initiating improvements in their village’s physical
environment through scientific design to serve society more efficiently and openly; and
low-rent housing can achieve these requests as well. At last, the authors grouped their
suggestions for implementation around their key ideas: to promote cooperation between
government and village inhabitants, and to guarantee state-run administration of rental units
(Luo et al. 2008). The limitation of low-rent housing project, however, is that current lack of
adequate supply of available houses has led to an unbalanced implementation of the low-rent
housing program. This is a question offered by authors but with no answer; in the other hand,
it is a long-term problem to solve for the government. Thus, the research about low-rent
housing, while incomplete, provided theoretical support to addressing housing provisions in
urban villages.

Findings

In summary, previous studies all provided theoretical support for addressing the
problems of urban villages. There are some gaps that need to be filled though.

First, existing views on concept, feature, formation mechanism, and renewal suggestions
are uniform. While the village is a complex phenomenon that requires attention from
multiple-disciplines, existing studies focus primarily on physical perspectives and
socio-economic factors, which are important but superficial compared to root causes-
regulation and policy. More analysis from finance, law and policy is needed. They will be
developed in Parts III and IV, “Data Analysis” and “Policy Analysis” in the thesis.

Second, affected by huge differences between villages and urban areas, recommendations from existing research are more fixed towards the psychological inertia, the ‘demolition - resettlement’ pattern which is mostly commonly adopted. The serious outcomes, however, are rarely predicted. In the rest of part II, “Literature Review” in the thesis, inspired from the urban renewal movement occurred in United States in 1950-1960’s, similar characteristics will be considered and lessons will be provided.

In addition, when villages were demolished and then rebuilt, rarely scholars mentioned possible continuation of them: will new villages be produced somewhere else? How to prevent the same problem from happening? To answer the above questions, the provision of affordable housing will be applied to seek strategies to solve the urban village problem in Part V, “Concept Design.”

Last but not least, a city is a comprehensive phenomenon with industrial structure, labor distribution, and different levels of settlements related to each other. Thus, recommendations for the balancing distribution of urban villages and social advocacy will be discussed in Part VI, “Recommendation and Discussion.”

**Internationally Relevant Research**

Even though urban village is a unique phenomenon in China, it is still a product from urbanization. The history of urbanization in western countries is longer so that the similar phenomenons are valuable lesson to learn on urban village reform. After reviewing, the slums and Urban Renewal are studied as international relevant research.
Brief Introduction to Urbanization Process

At first, because the urban village appears in the urbanization process, the brief history of urbanization can provide a basic background for further discussion. In western countries, the concept of “urbanization” is used as early as the 18th century. Due to the industrial revolution in the mid-18th century, western countries experienced a fast urbanization process. In the process, however, various problems ballooned, including the spreading scale of cities, the inferior quality of building, and deteriorating safety and health conditions. These problems forced western designers and scholars to begin research on the city and to advance improved models for urban development.

Among them, the Garden City by Ebenezer Howard (2003) and the Radiant City by Le Corbusier (1967) represent two typical, but different ideas. The Garden City offered a vision of towns enjoying the benefits of both town (such as opportunity, amusement and high wages) and country (such as beauty, fresh air and low rents) by the Three Magnets diagram (Howard 2003). Le Corbusier states that the city must be compact - to have population concentrated in numerous tall buildings, and to solve traffic problems through technical means. He advocated increasing residential density as the solution of the overcrowding problem in city. In his view, several-story skyscrapers are the ideal building mode, so that more free space can be saved in order to improve traffic and increase green space, allowing people to enjoy more sun and air (Corbusier 1967).

The International Congresses of Modern Architecture (CIAM) held similar planning idea as Le Corbusier. At his initiative, in 1933 CIAM adopted the "Athens Charter ". In essence, the city was still thought as a static thing by Le Corbusier and CIAM. Via
technology and money, people tried to show the omnipotence of human rationality, to achieve the ideal model depicted in the drawings, which overcame the difficulties faced by urban development, stimulating the development of people's unlimited natural desire (Pawley 1994). In 1977, in Peru, CIAM realized the limitation of the modern city pattern, so they developed the "Machu Picchu Charter" that criticized the "Athens Charter". After 1980, when Post-modernism affected the world, the city was thought of as a diverse space, in which people are involved in a complex network of relationships (Hock 2007).

In summary, the above theories provide illustrations to China’s urbanization from different perspectives. Although the Garden City's theory is overly idealistic, it provides a reference for future urbanization, that achieve a low population density eventually in the space and the spread of the green should be maintained (Howard 2003). The modern city theory prefers intensive land use rather than the expansion of the scale of cities, which fits current land use in China (Corbusier, 1996). However, the limitations of modern city pattern are realized as well, more concern with social networks should be considered in existing China’s urbanization.

Slums

As mentioned before, the urban village is a unique phenomenon in China's rapid urbanization process. The appearance and transformation of urban villages are related to the environment of existing China. However, some forms similar to China’s urban village have occurred, especially slums all over the world and the Urban Renewal Movement to clear slums in United States in 1950s-1960s. Even though the social system and formation
mechanism are different, the slum and urban renewal movement are the closest historical precedents. The relevant causes, problems and solutions should still be considered for the urban villages in China.

A slum, defined by the United Nations agency UN-HABITAT, is a run-down area of a city characterized by substandard housing and squalor and lacking in tenure security. According to the United Nations, the proportion of urban dwellers living in slums decreased from 47 percent to 37 percent in the developing world between 1990 and 2005. However, due to rising population, the number of slum dwellers is once again rising. One billion people worldwide live in slums and the figure will likely grow to 2 billion by 2030 (UN-HABITAT, 2009).

The term has traditionally referred to housing areas that were once relatively affluent but which deteriorated as the original dwellers moved on to newer and better parts of the city, but has come to include the vast informal settlements found in cities in the developing world (Greg 1998; Yok-Shiu and Lee 1998).

Although their characteristics vary between geographic regions, they are usually inhabited by the very poor or socially disadvantaged. Slum buildings vary from simple shacks to permanent and well-maintained structures. Most slums lack clean water, electricity, sanitation and other basic services (Mukhija 2002).

Many shack dwellers vigorously oppose the description of their communities as 'slums' arguing that this results in them being pathologies and then, often, subject to threats of evictions (Mayhew 1997). Many academics have vigorously criticized UN-Habitat and the World Bank arguing that their 'Cities without Slums' Campaign has led directly to a massive
increase in forced evictions.

The urban village is more complex than the slum as related to the land system and farmers’ interests. Slums and villages have certain similarities. In terms of landscape features of mixed and crowded, population characteristics of non-native and poverty population-based, community characteristics of segregation from adjacent communities. Hence, the upgrading slums can provide a reference for the transformation of urban village. As slums and urban villages have similar physical forms but different mechanisms, some lessons of reforming slums should be noticed, especially the Urban Renewal movement analyzed below.

Urban Renewal

The Industrial Revolution in the 19th century contributed to the acceleration of the urbanization process and unprecedented development, and with the phenomenon of large-scale rural to urban migration, and the increasing number of new cities, the old city scale expanded. The Industrial Revolution also brought traffic congestion, the emergence of slums, environmental degradation, and serious air pollution problems (Holyoak 1997). After World War II, in order to restore economic and urban development, western countries such as the United States, the United Kingdom, and France, made ambitious urban development plans characterized by a large-scale demolition, renovation and construction. The plan is known as the Urban Renewal Movement.

In the 1960s, the major purpose of the Urban Renewal Movement was to solve the housing shortage, clean slums, and to construct infrastructure, the "slum clearance" in
particular provided a reason for the government to implement large-scale transformation in old urban areas (Roberts 2001).

The transformation approach included large-area demolition of houses in the urban area, which moved the poor to low standard housing outside the city. On the site, office buildings, commercial buildings and high-end residential were re-constructed, to attract high-income groups. Large-scale transformation demolished a variety of historic districts, which resulted in the disappearance of neighborhoods with cultural diversity, having been replaced by blocks of high-rise buildings (Noseda 2000).

The large-scale urban renovation movement in the United States was carried out by local authorities who were led by federal government’s guidance with huge funding. Since the "Housing Act" was enacted in 1949, and until it was terminated in 1973, 20 years of development saw this movement go through three stages of evolution: the early period was mainly characterized by cleaned-up slums; the mid-period was mainly characterized by large-scale commercial development; and the late phase was mainly characterized by comprehensively managed and developed urban areas (Duncan 1990). In this process, the scope of urban renewal continued to expand from the Northeast and Midwest regions to the west and south, as well as the content continued to enrich from a single clean to repairing and protecting.

In 1973, at the end of the movement, the published statistics showed that in a total 2800 update projects were implemented in 1,100 American cities; about 200 million people living in 60 million housing units were forced to move; on these areas, about 25 million new housing units were built, compared to 120 million square feet public area and 2.24 million
square feet of commercial space. The urban renewal project spent nearly $13,000,000,000 federal funds, up to 20 million acres urban land including 80,000 acres cleared from former slums (Jamieson 1984).

Regarding the campaign execution, the movement was top-down: first, congressional legislation unified national planning policy and standards to determine priorities and amount of federal funding; then, the federal system updated guidance and review planning; and last, was specifically implemented by local governments. In the Renewal Movement, private funding was effectively used for providing the capital support, but the impact of the developers’ interests and monopoly capital often interfere with the Government’s efforts for the low-income class. Therefore, the renewal process was full of contradictions with government policy changing (Fitz-Gerald 1990). On the one hand, the policy should answer most low-income people’s actual demands; on the other hand, it had to take care of the interests of monopoly of capital. In reality, the interests of these two classes are always in a contradictory relationship. This is an important reason that the renovation works were often difficult to implement in the face of social resistance. As the intention of the movement is to improve the living conditions of low-income people and to solve the urban decay problem, the initial plan tilts towards the interests of low-income class. However, most of the construction funds come from the large enterprises industries. Thus, the result of renewal might be negatively impacted by monopoly capital (Stone 1975).

From an objective perspective, the U.S. federal government’s most significant replacement program inserted continued economic vitality into the development, and had a profound impact to the geographical distribution of cities and urbanization process. In the
general sense, the Renewal Movement expanded the city’s space, partially alleviating urban population pressures caused by the continuing waves of immigration; improved the urban living environment and residents’ quality of life; contributed to the adjustment of urban industry layout; provided development space for the rapid emerging new urban industries; improved the city's traffic and water, electricity, gas, parking and other infrastructure; increased the city's various services; provided opportunities for a rapid real estate boom and a variety of related industries’ development; and played an important role for the expansion of market demand, promoting the rapid growth of the U.S. economy (Aughton 1977).

In spite of the benefits there were resulting problems and limitations as well. The Urban Renewal is a comprehensive social system project. However, most of the time, the renewal was only viewed as a simple construction of the physical environment. Issues such as racial segregation, affected community relations, education, health, culture and employment were not taken into account. Therefore, it is difficult for Urban Renewal to address issues such as poverty leading to urban decay and providing job training to low-income people (Montgomery 2008). Furthermore, Urban Renewal brought new social conflicts, including entrenching race segregation. The removal of slums and new residential construction resulted in the collapse of the city from the original stable community system and especially after the trend to high-rise residential, the relationship between people tended to be more indifferent. The new cultural community could not be established in a short period of time, so the residents had to deal psychologically with a general lack of sense of belonging, which also triggered a number of social problems (Landry 2008). To sum up, there is a considerable distance between the actual demand and the implementation of the Urban Renewal plan.
Findings

As mentioned before, even though the background of the Urban Renewal (which is the 1950-1960s in United States) is totally different from the existing Chinese political system, there are some similarities in understanding the issues with respect to social conditions. Based on above discussion to the Urban Renewal process, the urgent demand to improve low-income people’s living conditions, the impacts from monopoly interest groups, and the limitations of renewal implementations, are similar problems existing in urban village revitalization. The key findings as they apply to Chinese urban villages are listed below.

(1) The renovation of the urban village must be adjusted based on socio-economic structure.
(2) Government should be able to put the public interest requirements on the first place.
(3) Reconstruction of the Village cannot be equaled with real estate development. While transformation should absorb social funds to resolve the situation of lack of funds, transformation should also prevent a small number of developers and interest groups negatively affecting the inhabitants of the village for their own profits.
(4) Reconstruction of the village relates to the interests of thousands of households and sectors. Once planned, its impact will be extensive and far-reaching. Public hearings to collect views from the broad way of communities are essential.
(5) A successful renovation project must be "people-oriented". Ignoring the human needs in developing regions is bound to undermine the stability of the community relations system, leading to various social problems.

The key words used to search sources

Urban Village, Land Use, Urbanization, Slum, Urban Renewal
As stated in the beginning, the goals of urban village reform are as follows: physical renewal, housing provision, regulation improvement, and socio-cultural recommendation. In this chapter, four case studies will be researched as lessons for urban village reform in China from above four goals. The first case study in China has very similar background with the concept design target village so that it is a practical example to learn. The second case study in Canada is a successful solution for housing issues. The third case study in New York provides historical experience of Urban Renewal policy’s impact, which might be the potential trend of existing urban village renewal pattern. The fourth case study in London offers specific strategies, which mainly are physical and socio-cultural recommendations, to improve the old city for all needs.

**Case Study 1: Foshan Lingnan Tiandi Master Plan, Guangdong, China**

The Foshan Lingnan Tiandi Project is a successful demonstration of how to achieve the balance between private development and heritage preservation. The project had received numerous recognitions for its achievements, including the prestigious “American Institute of Architects (AIA) Honor Award for Regional & Urban Design 2009”. Covering a site of 63.90 hectares in central Foshan, a mixed development including office, retail, hotel, cultural facilities, residential complexes as well as the 900-year-old Buddhist Temple, Zumiao was proposed.
Heritage conservation in Foshan starts with the physical restoration of heritage buildings, but in addition to preserving and retaining alone, new uses would be introduced to revitalize heritage buildings. Incompatible insertions into the historic district would be removed and replaced by sensitively tailored urban fabrics with compatible architectural style and building materials. As a result, the unique local character would be preserved and the visual quality of the old town area would be improved.

As the scheme aimed to revive the historic neighbourhood instead of replacing it, the traditional residential land use was retained. Taller constructions towards the sides of the site create an urban hill and valley form that would facilitate the penetration of light and preserve the view of old town residents. The comprehensive and delicate old town alley networks were preserved given their importance as integral parts of the heritage. Also, new arcades and public open spaces were installed given their significance in enhancing liveability of Foshan Old Town. The social and cultural function would be strengthened in both the newly inserted
or restored public spaces.

In summary, removal of incompatible structures and the infill of new compatible structure is one of the feasible means to remedy and reverse the damage done to heritage buildings and their surroundings in the ancient cities in China. Through a process of “creative destruction”, the original spatial patterns in the ancient city would be restored.

Case Study 2: West Broadway, Winnipeg, Manitoba, Canada

West Broadway is located in the poorest neighborhood in Halifax. The average household income in the city is 53,000 Canadian dollars (CAD), $17,000 USD. Among various residents, there are many single families, and many people with mental problems. Almost 70% of homicides, though less than one case within the whole city per year on average, occurred here.

The geographic location of West Broadway is beside the Manitoba Legislative Building and downtown Winnipeg, facing a living river where residents can fish and swim. Convenient public transportation is available. Based on two characteristics, West Broadway seems to be a typical place for gentrification. Fortunately, the planning principle of the neighborhood is to curb the rise of property prices, and to prevent gentrification.

The sign shows an example of projects applied by the collaboration reconstruction. The collaboration pattern is constituted by government funds, residents purchase, private investment and donations, and a financial allowance from the developer. Similar to the United States, the government funds include funds from the Federal Government of Canada, The Province of Manitoba, and The City of Winnipeg. The project worked with various
communities to affect real change in several areas: composting and waste management, community gardens, and the conservation of nature in our urban setting (West Broadway development corporation/alliance 2005). Names of some firms and banks could be seen after partners. The profits of these private institutions were reduced to a minimum degree by supervision, but with help from government, their profits are guaranteed, so there is no worry about losing money. In addition, some community organizations mainly are responsible of soft work, for example, organizing the residents to clean up the streets.

What is unique in this area is that the richest two communities in the city, which are Wolseley and Wellington Crescent, are very close to West Broadway. Wolseley is just one block away and Wellington Crescent is one river divided from West Broadway. The property prices in these two neighborhoods are almost 10-20 times as those of West Broadway. This is not common in North American cities. However, there is no obvious boundary so that anyone can walk there to enjoy the nice view.

Returning to the planning principle of the neighborhood, how does West Broadway prevent inflation of property values? Within the public and private partnership in the land trust, the constitution clearly identifies limitations of price rising, including land prices, housing prices, and rent. In this neighborhood, anyone that wants to buy a house has to prove that the family income is less than 22,000 (slightly adjust according to the market rate). The rich are not qualified to invest in real estate (West Broadway development corporation/alliance 2005).

Behind the principle is the government’s realization that the market mechanism is not perfect and the market competition is not entirely fair. Therefore, the government must
intervene in the problem. Based on the cooperation pattern and plan principle, the condition of West Broadway has been gradually improved, but has not changed much within this short period. In addition, from the successful samples we can see that “context-fit” is the highest principle in the physical reconstruction process.

Because the public interest always excluded minorities and low income citizens, their interests should be considered particularly. In this case, the residents’ interests were protected by the land trust. After planners clarified, advocated initially, citizens used their vote to create coalitions supporting social equity (CMHC, 2006). Although no detailed report about the citizens’ activities exists, it is not difficult to imagine that they took active and meaningful involvement in the planning process.

**Case Study 3: New York Master Plan, U.S.**

After industrialization and capitalism in earlier United States history, American cities began to develop rapidly. In the 1920’s, New York’s plan focuses on “re-centralization” via regional zoning guiding the local zoning plan. For various reasons, the evolution of the New York metropolitan area did not re-centralize. After World War II, road construction expanded as the leading, low-density suburbs rapidly spread to surrounding areas, forming a typical American-style development, so-called "urban sprawl" (Ginsberg 1992). In 1969, the Plan for New York City was enacted by the New York City Planning Commission (1969), which asserted that “Concentration is the genius of the city”. It can be seen that the plan tried to re-gather to prevent a post-war explosion of the metropolitan area. Also the plan has taken note of the decline of housing and transportation problems. However, “Do not care so much
about maintaining the middle class reputation, but more so bringing people to the city.” (New York City Planning Commission, 1969) showed that the ethics in planning are different from different stances. Similarly, “Jumping and humming with life” which represents variety of people: ages, ethnicities, talents and large numbers of immigrants, is unfair to local people in a sense, but good for most immigrants and a variety of subcultures. Moreover, the development of locations “central for specialized services, stores, galleries, restaurants, studios, offices, community departments” was profitable to the city, but brought environment a problem at the same time.

The urbanism principles of modernism of Le Corbusier were fiercely implemented in N.Y. by Robert Moses, who built magnificent projects including Riverside Park and Jones Beach, as well as dozens of neighborhood playgrounds and swimming pools, added 20,000 acres to the city’s parkland and 40,000 acres to Long Island, built seven major bridges and almost all the highways and parkways in Greater New York—627 miles total—without which the city would have become completely immobilized and stagnant (Lopate, 2007).

But then, Robert Moses took away the streets which were used for traditional mixed use, rendered them as cars, mono-functional buildings and mono-functional "zones". The result, a couple of decades later, is that the city is no longer an organic entity where different social actors interact, for good and for worse, in each of its parts. Instead, it is socially divided and made into machines, each zone with its specific function, separated from each other by non-places designed for mobility.

However, it is unfair to hold Moses entirely accountable. At that time, as “It was not only one person who can choose the automobile as the preferred mode of transportation in the
twentieth century, or passed the federal highway construction act that unleashed billions of dollars for suburbanization, or decided that highways ought to be placed along water fronts, or decreed that public housing should be sited according to neighborhood racial patterns, or mandated millions for slum clearance” (Lopate 2007).

From the current point of view, dozens of districts were hollowed out in the name of the “slum clean-up plan” leaving unnecessarily large tracts of barren concrete parking lots, bright office buildings and poor stand-alone high-rise social housing. The climax of the buildings makes the city the monotonous, cold, inhuman place.

It is not difficult to think that if China continues repeating American history, they will make the same mistake. One issue I am concerned with is community construction. A hierarchical organization, from the governor top-down to each building, with grid management system, was applied for more than fifty years in Chinese cities. They have been doing a good job in maintaining the order and basic facilities; they are willing to help if welfare is provided by the city government. But they also have serious problems, one being how much money can be spent and how to fund the money. With preparation for 2010 World Expo, most communities in downtown Shanghai got enough funds to paint the walls, to cement the ground with concrete, to leverage the infrastructure to a new level. The improvements are quite obvious, but the rule behind the curtain is quite arcane.

Most scholars on the issue of community construction assert that the cash flow for environmental improvement has to be generated largely from local businesses. It seems a trade-off, maybe a losing game for a small, incompetent community. Take communities in Shanghai as an example again, the ground every people walk on had not been improved for
years, and no one knew how to raise money to fix it. Now the roads are repaved with a layer of asphalt. It is more convenient for cars to move in and out, but at the same time, fewer children play around, which is quite like the history of N.Y. City. What's worse, with the introduction of so-called “innovative” industries, land is segregated with steel fences and becomes “no-man’s land” at night, only with cars parking there. It is certain that the area taken by cars is several times larger than the area of a playground or green for people. China is becoming more and more similar with the past United States, especially in those areas which are proved harmful since Urban Renewal.

In summary, Urban Renewal contains an overtaxing composition. The “slum clean-up plan” left behind unnecessarily large vacant tracts. If the Chinese government continues to pursue the “demolition-rebuild” pattern, it may result in another "Urban Renewal" in China.

**Case Study 4: Bishops Square Spitalfields Master Plan, London, UK**

Being one of the most historically important neighbourhoods in London, Bishops Square in Spitalfields is a BURA (The British Urban Regeneration Association) awards winner for best practice in regeneration. After 17 years of efforts, Bishops Square has become a local destination with a few landscaped public squares surrounded by a mix of offices, retailing areas, affordable housing, cafés and restaurants. The most significant success of the scheme lies on the physical integration of the city of London and its east end, together with the concomitant economic opportunities created at the local level.
Among the existing buildings in Bishops Square, three new public open spaces were inserted: at the Bishops gate, Market Street, and the central square. Office Blocks with diversified building heights would create a stepped profile (ranging from 6 to 13 storeys) allowing solar and wind penetration into the buildings as well as the streets (http://www.e-architect.co.uk/london/bishops_square.htm).

Heritage buildings in the vicinity include the main market buildings, the listed nineteenth-century Horner buildings and the 1928 buildings along the main street. These
buildings would be preserved and retained, and all the neighbouring new development must
conform to the historical architectural style of brick and stone facades, especially along the
main street
(http://www.allenovery.com/AOWEB/PeopleOffices/OfficeMap.aspx?contentTypeID=6&ite
miID=31239&prefLangID=410).

The central square holds a wide variety of local activities and events throughout the year
in its three public spaces mentioned above. One of the examples is the Public Arts Program
supported by famous art management and arts trust with an aim to celebrate the rich artistic
heritage of the area. Permanent artworks, like Eleonora Aguiari's bright red Church, and
archaeological artifacts on display set a permanent stage for the dynamic events in the square.
Both periodic and regular events can be found in the square. Periodic events such as the 2009
Free Summer Event Program, which provides free classical, jazz and blues concerts and three
open air concerts, were launched in June. Tea dances and music performances are featured on
a regular basis in the square

In summary, the experience of Bishops Square had demonstrated that both physical and
place programming are essential to successful urban regeneration programs. In terms of urban
design, a holistic approach considering not only the heritage building but the entire
neighbourhood should be employed to preserve the local character. Programs with an
emphasis on local culture and history would encourage the utilization of the place by local
people and result in a truly vibrant destination for both locals and visitors alike. These
implements help to satisfy two goals in four: physical renewal and social-cultural
improvement, including economic development and neighbourhood coherence. The urban village concept plan is expected to be constructed based on same target.

**Conclusion**

In summary, the first case study highlighted the importance of respecting the original spatial pattern, local character, and considerations in forming new public space in the planning process. They helped the above two neighbourhoods to revive, and they are supposed to help the other villages with natural/historical resources as well. The substantial reason is that those villages with resources also have unique original spatial patterns and local character.

The second case generally delegates a strong and promising start. As the development continues, there is more time for residents to take greater responsibility for the management of residential community.

The third case study emphasized negative impacts of the “demolition-rebuild” pattern adopted in Urban Renewal Movement in N.Y. Even though in different background, the impacts on all dimensions should be learned and considered.

At last, the fourth case study indicates that, in addition to the physical harmony, urban design and historic preservation have to address social, educational, infrastructure, services, and housing issues, because they represent all the needs of villagers’ quality of life. For the mature urban villages in China, crowded, resident-dense, limited social service resource, and comparative backward facilities and education, all require more public space to compensate—when people cannot take exercise or socialize in their small-area home, they can go to a
public space. When separate services are not convenient to offer, concentrating them in the public space is the most efficient way to improve neighbourhood coherence. Also, when people gather in the public space, some new community centers emerge. It will be more efficient for economic development and other cultural communications in the area, which would result in sustainable development.
IV. Data Analysis

All data in thesis are secondary data from published statistical books and reports, such as China Statistical Yearbook, China Land Bureau Report, China Department of City Planning Report, China Ministry of Construction Report, City Department of City Planning Report, and World Bank Report.

Urbanization in China

Urbanization refers to a process in which an increasing proportion of an entire population lives in cities and the suburbs of cities. Historically, it has been closely connected with industrialization. When there are increased surpluses in agricultural production, larger proportions of a population could live in cities.

In the past twenty years, China's non-agricultural population grew rapidly from the agricultural population. As the Table and Figure show below, the urbanization rate is much higher than the natural population growth rate. The most intensive increase occurred from 1978 to 1999. The non-agricultural population was 172,450,000 in 1978, and increased to 416,210,000 in 1999; the growth rate is 126.84%, which is far greater than the natural population growth rate. After 2000, the urbanization level developed into a higher stage. In 2008, the non-agriculture population was 606,640,000 and the urbanization rate is 45.68%, almost six times as 7.3% in 1949 (China Statistical Yearbook 2008).
Table IV-1. Change of Population numbers, Growth rate and Urbanization rate 1949-2008

(unit: ten thousand people)

<table>
<thead>
<tr>
<th>Year</th>
<th>Population in total</th>
<th>Non-agriculture population</th>
<th>Agriculture population</th>
<th>Population growth rate</th>
<th>Urbanization rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>1949</td>
<td>54096</td>
<td>3949</td>
<td>50147</td>
<td>24.79%</td>
<td>7.30%</td>
</tr>
<tr>
<td>1978</td>
<td>96259</td>
<td>17245</td>
<td>79014</td>
<td>12%</td>
<td>17.92%</td>
</tr>
<tr>
<td>1983</td>
<td>103008</td>
<td>22274</td>
<td>80734</td>
<td>13.29%</td>
<td>21.62%</td>
</tr>
<tr>
<td>1988</td>
<td>111026</td>
<td>28661</td>
<td>82365</td>
<td>14.20%</td>
<td>25.81%</td>
</tr>
<tr>
<td>1993</td>
<td>118517</td>
<td>33173</td>
<td>85344</td>
<td>11.45%</td>
<td>27.99%</td>
</tr>
<tr>
<td>1998</td>
<td>124761</td>
<td>41608</td>
<td>83153</td>
<td>9.14%</td>
<td>33.35%</td>
</tr>
<tr>
<td>2003</td>
<td>129227</td>
<td>52376</td>
<td>76851</td>
<td>6.01%</td>
<td>40.53%</td>
</tr>
<tr>
<td>2008</td>
<td>132802</td>
<td>60664</td>
<td>72138</td>
<td>5.08%</td>
<td>45.68%</td>
</tr>
</tbody>
</table>

Source: China Statistical Yearbook in related years.

Figure IV-1. Growth from Rural Population to Urban Population

Source: China Statistical Yearbook in related years
As these figures show, the rural population probably peaked around 1990 and declined after that until now, while the urban population is growing rapidly (China Statistical Yearbook, 2009). The transfer process remained rapid as every year 1% of China’s population moves from rural area into urban area. It is not difficult to relate this migration to the questions of major housing developments, as migration creates massive domestic demand for housing.

Meanwhile, the growth of city population and the rise of “large cities”, which are defined as cities with populations over one million, also indicated the rapid urbanization process. In 1980, there were 193 cities in total and only 45 large cities. By 1999, there are 667 cities, including 87 large cities. The large cities in particular experience in high speed urbanization, continuously increasing population and built area of them noted rapid development (China Statistical Yearbook, 2008).

Table IV-2. Change of numbers of cities 1978-2008

<table>
<thead>
<tr>
<th>Phase</th>
<th>Number of cities in total</th>
<th>increase number</th>
<th>increase percentage</th>
<th>Average increase per year</th>
</tr>
</thead>
<tbody>
<tr>
<td>1978</td>
<td>193</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1983</td>
<td>289</td>
<td>96</td>
<td>49.70%</td>
<td>16</td>
</tr>
<tr>
<td>1991</td>
<td>479</td>
<td>190</td>
<td>65.70%</td>
<td>23</td>
</tr>
<tr>
<td>2008</td>
<td>655</td>
<td>176</td>
<td>36.70%</td>
<td>11</td>
</tr>
</tbody>
</table>

Source: China Statistical Yearbook in related years
Urbanization in Shenzhen city and South China

From the above figures, it is not difficult to find that during the rapid urbanization phase since 1978 until now, the decade 1990-2000 is the most intensive change among these three decades. The reason might be that the 1980 was the initial decade after socio-economical transition in 1978. After ten years of adjustment, the government became familiar with the urban build process, thus rapid construction competitions were launched between cities. From this time until 2000, the globalization process and gradual negative outcomes inspired people to wake up from the mad expansion and construction. Government began to realize it was not a sustainable development, thus, the urbanization process decreased to rates slower than the 1990s. The same trend happened in Shenzhen city and Pearl River Delta as the whole country, which are shown in following pictures and charts.
Figure IV-3. Growth of Urban Built Area in Shenzhen 1979-2004

Source: *Shenzhen City Statistical Yearbook* in related years

Figure IV-4. Growth of Urban Built Area in Pearl River Delta 1979-2008

Source: *Guangdong Province Statistical Yearbook* in related years
Figure IV-5. Urban sprawl occupied village lands (area) in Shenzhen and other 3 central cities in Pearl River delta 1979-2004

![Graph showing urban sprawl](image)

Four cities from left to right: Shenzhen, Guangzhou, Zhuhai, Donguan.

Source: *Guangdong Province Statistical Yearbook* in related years

From the above pictures, another trend can be found which is not positive. In Fig. III-5, even in Shenzhen and Guangzhou, which are cities in the first class of China, the urban expansion that occupied cultivated land decreased since 1999. In the other two cities, Zhuhai and Donguan, which are small cities that were developed from towns, the area increased rapidly. The urban expansion of the area came to occupy cultivated land in Pearl River delta, and keeps increasing all the time. Thus, the education and advocacy of protecting cultivated land needs to be expanded from large cities to small cities.

In summary, since the opening door reform, rapid urbanization is an important feature of social transformation and power source of economic growth. All the above data has shown significant changes in the rapid urbanization process, and also reflects the potential threats.
In the other hand, the urban village formed in this economic and social background. It has promoted city development to a certain extent, while guarding the process, and especially the quality of urban development. As the third strategic target of China's modernization construction is expected in 2050, when the per capita GDP will equal to the medium developed countries and basically indicates that China has achieved modernization.

According to development plan, in the next 20 years, China's urbanization level will increase to about 60% (CCP, 2009). Solutions to the urban village problem are necessary and urgent.
V. Policy Analysis

As mentioned in the Literature Review, the regulation and policy are substantial causes of urban problems. In this chapter, relevant policy in finance, law and other socio-economical factors will be analyzed.

A dual urban-rural structure is an institutional structure of China that appears as the dual economic form of modern industry in urban areas as opposed to traditional agriculture in rural areas, as well as the dual social form of urban society that is different than rural society. Nowadays, how to reduce urban-rural differences is the key to settling the socio-economic problems in rural China and to realizing harmonious urban-rural development.

The dual structure refers to traditional agriculture and modern industry in coexistence with socio-economic and population division of agricultural and industrial departments. (China urban planning 2010) It has been in existence in numerous countries’ development history. But as China is a traditionally agricultural country, the industrialization and urbanization began comparatively late. Agricultural population has the majority so the dual structure was implemented in planned economy, as a series of the isolation policies to give priority to promote the heavy industry development. After the planned economy transferring to market economy, the dual structure should be eliminated as well, but it still being adopted until now. Urban village is the remnant of this dual system.

Therefore, due to the dual structure in the long term, differences in management systems, social security, education and infrastructure of public investment systems lead to a significant gap, which is shown in the differences in production, lifestyle, consumption, and ideology, between urban society and countryside community (Zheng 2005). Among these differences,
the most substantial one is significant difference in household income between urban and rural population. As the following table shows, the gap between urban and rural income has been becoming imbalanced and unreasonable.

Figure V-1. Changes of gap between urban and rural family incomes from 1978 to 2007, Unit: RMB

<table>
<thead>
<tr>
<th>Year</th>
<th>Family income in rural area</th>
<th>Family income in cities</th>
<th>Income gap between urban &amp; rural</th>
<th>Ratio of urban and rural income</th>
</tr>
</thead>
<tbody>
<tr>
<td>1978</td>
<td>134</td>
<td>343</td>
<td>209</td>
<td>2.57</td>
</tr>
<tr>
<td>1983</td>
<td>310</td>
<td>564</td>
<td>254</td>
<td>1.82</td>
</tr>
<tr>
<td>1987</td>
<td>426</td>
<td>1002</td>
<td>576</td>
<td>2.16</td>
</tr>
<tr>
<td>1992</td>
<td>784</td>
<td>2027</td>
<td>1243</td>
<td>2.57</td>
</tr>
<tr>
<td>1994</td>
<td>1221</td>
<td>3496</td>
<td>2275</td>
<td>2.86</td>
</tr>
<tr>
<td>1997</td>
<td>2090</td>
<td>5160</td>
<td>3070</td>
<td>2.47</td>
</tr>
<tr>
<td>2000</td>
<td>2253</td>
<td>6280</td>
<td>4027</td>
<td>2.79</td>
</tr>
<tr>
<td>2003</td>
<td>2622</td>
<td>8472</td>
<td>5850</td>
<td>3.23</td>
</tr>
<tr>
<td>2005</td>
<td>3255</td>
<td>10493</td>
<td>7238</td>
<td>3.22</td>
</tr>
<tr>
<td>2006</td>
<td>3587</td>
<td>11580</td>
<td>7993</td>
<td>3.28</td>
</tr>
<tr>
<td>2007</td>
<td>4140</td>
<td>13786</td>
<td>9646</td>
<td>3.33</td>
</tr>
</tbody>
</table>

Source: Data from *China Statistical Yearbook* in related years

**Dual structure in China**

**Dual structure in population management**

The Household registration system is a particular population management system in China. In 1958, the Chinese government began using the household registration system to control the migration of people between urban and rural areas. Individuals were broadly categorized into agricultural or non-agricultural identities. With the development of
interaction between city and country, there are increasing disputes and criticisms on the system, which promoted the institutional reform throughout the country. From the 1990s onward, the institutional control over the migration of people has been increasingly weakened in more and more areas (Hu 2010). Until now, however, the household registration system reform has been slow because of high social cost, such as welfare. It led to the villagers in the urban village to be exclusive of city life because of their agricultural identity.

**Dual structure in land management**

Another difference in the dual structure is the state-owned land and collective-owned land. It indicates that the urban land is owned by the country, supervised and managed by urban planning and facility administration, while the rural land is owned by the village collective which means that every villager can apply for and gain new land-use for free or with very low cost.

At the basis of urbanization is economic development, particularly the industrial economy aggregation. Urbanization is performed in rural populations transferring to non-agriculture populations; on the other hand, it is performed in urban areas and the performance of agricultural land transferring to non-agriculture land results in urban land expansion. Therefore, urbanization must rely on land, either infrastructure construction or industry restructuring, to implement land reconfiguration.

Thus, urbanization is a land-use change process. There are two laws involving land property—*Law Of Land Administration of the P.R.China (Land Administration Law)* and *Law of the P.R.China on Land Contract In Rural Areas (Rural Land Contract Law).*
According to Article 2 of *Land Administration Law*, “based on the People's Republic of China's socialist public ownership, all land is owned by the people and collectives- in urban areas land is owned by the state, in rural areas land is owned by the villagers, including land, houses, and the peasants” (*The Law of Land Administration of the P.R.China 1965*). It also regulates “the provisions of the state-owned and collective-owned rights to land cannot be transacted. Only the use right can be transferred.” This regulation was applied to limit the trade of lands. After separation of the state-owned land’s ownership and use right in the 1980s, state-owned land use rights are free flowing in the market, but the collective lands are still restricted to be transacted. Only collective land transferred to state-owned land then can be traded. As discussed in Literature Review in Part II, the Land collection programs by local governments kept robbing the collective land.

According to Article 63 of *Land Administration Law*, “the collective-owned land cannot be sold, transferred or leased to non-agriculture construction.” From the perspective of a market economy system, such a collective-owned land property is incomplete, because of the restriction of transaction (*Zhou 2007*).

According to Article 43 of *Land Administration Law*, “all construction sites must be state-owned land only.” “State-owned land includes land owned by the state and transferred land from former collective-owned land.” In principle, this means collective-owned land cannot join the land market except by being transferred into state-owned land by the government land collection program, which requires requisition and compensation paid to villagers (*Zhou 2007*). With economic development and urban area expansion, the value of the land soared, which has led to the disorder of it being occupied by government, villagers,
and investors.

According to *Rural Land Contract Law enacted in 2002*, “collective-owned land should be protected but its agricultural purposes cannot be changed.”

Rapid growth of the economy and urbanization could lead to great demand for land and multiple increases of land value. The existing law permits the government to repossess collective-owned land; it also confirms that the government is permitted to sell those lands to market. While the government pays compensation to villagers assessed by agricultural profit, it sells land assessed by market principles - the expected return of land and highest in land-bid. In other words, existing laws admit the government’s right to collect land under exclusive monopoly, and protect the right to gain the maximum legal value. This reality was summed up by Zhou (2004) as a strong engine of the government’s control of land. Existing land requisition policy makes villagers lose their right to negotiate prices, making it appealing to break the current system.

Alternatively, the government and investors went on a frenzy for collect land, driven by interest and economic performance. Constant urban area expansion swallowed villagers’ land, but villagers cannot fairly share market value by land allocation of resources (Zhou 2004). Furthermore, to gain land faster, or to gain profit in a shorter period, the government always adopted land re-subdivision where large pieces of land were cut to small pieces by various features of construction sites, but the urban villages which need more money and time to negotiate were by-passed.
**Dual structure in social security system**

After 1978, because of government and market support, a series of pension insurance, medical insurance, labor protection, unemployment insurance, disability security, social welfare and security system have been gradually established in cities. For a long time, however, the high agriculture population was still dependent on traditional family security. This significant difference in the social security system between urban and rural areas severely limits the urbanization process.

**Dual structure in public investment system**

Remarkable differences have been observed for sometime in the public investment system between urban and rural areas. Under the planned economy, with the implementation of the priority development strategy, all the infrastructure construction, such as roads, bridges, parks, electricity, and all public facilities, such as culture, sports, medical were afforded by the state; all funds in the country were raised by collectives. After the reform in 1978, although the state increased financial investment in rural villages, the dual system in the public investment system has not fundamentally changed, which created a serious lack of rural infrastructure, productive forces, and low quality of life in the long run. Especially for those urban villages, the city government has not compiled city-surrounded urban villages into the unified city planning and management. Few fiscal funds from city governments and insufficient investments from the collective resulted in degrading conditions. Therefore, the surrounding areas were urbanized already, but the villages were still kept in rural form (Zhang 2002).
**Dual structure in education**

Similar to the public investment system, the facilities and educational work requirements in urban schools are supported by city government, particularly the elementary and secondary schools, in rural areas, all funds are raised independently by villagers.

This serious inequality in the funding of education resulted in low educational quality of the rural population, thus, lower job skills and unequal opportunities. The weak education also constrained the villages from being urbanized, because they lack competitiveness to participate in the city works, and so villagers have to rely on renting out their units in urban village, never to be employed and live in a real city life.

In summary, the main problem in the dual structure is that in an economic society with unbalanced regional and interpersonal wealth distribution if leads to increasing the material and cultural gap between rich and poor, so few villagers can enjoy modern life. Therefore, the dual structure forces rural population to live at a pretty low standard, and has deprived their right to urban development (Zhou 2007).

History has proved that the dual structure is an inefficient system. But because China has been adopting a progressive reform, mainly external and incremental reform, contradictions in the old system are difficult to be fundamentally solved in the short term.

**Interest Groups in Urban Village Issues**

Furthermore, the interest was thought to be the substance cause in urban village transformation (Wang 1999). In the urban village reform process, there are three subjects: government, developers, and the village collective constituted by villagers under the strategy
of interdependence. Their own interest drove them to chase different goals. Scarcity of land—the desire for limited resources—indicates the complicated relationship between them.

**Interest relationship between government and owner**

Government, as the essence of the land property owners, is necessary to not only solve the village problem, but also to maintain social stability and development. The villagers and the village collective, as the nominal owner of the land property and de facto land users, desire to improve their earnings and living environment. However, they are used to relying on rental income earned by collective-owned land, now they fear losing this only income after the transformation of land to state-owned. Therefore, the compensation about land property to villagers paid by government is the main conflict in the village reform process.

**Interest relationship between government and developer**

In order to obtain a good environment for urban development, as well as to avoid an excessive supply of housing and the impact on the real estate market, the government is bound to develop a series of village land use policies to determine the appropriate intensity of development to ensure that the urban village reform and urban development are in harmony. An important target is a relatively low floor area ratio (FAR). However, in the free market, developers are always in pursuit of maximizing their own interests through purchasing land at a low-cost and sell developed land at a high price. The favorable location of village land is undoubtedly an advantage, and in order to gain higher profits, the developers make an effort to create higher-intensity developments. In addition, developers ask the government to
provide a subsidy for construction and other incentives, including industrial policy, taxation, legal system, as well as environmental protection. Thus, how to keep a balance of the contradictions between market-oriented and public interest has become the main content of a game between the government and developers.

**Interest relationship between developer and owner**

For villagers, the compensation they desire is not only from the agricultural output of collective-owned land, but also the rental income. For developers, they participate in village reform focusing on the village’s superior geographic location and the enormous business opportunities and economic benefits. They do not want to negotiate the question of compensation with the collective and the villagers who do not in fact own the land actually. They are also unwilling to bear the resettlement of villagers in the future, as well as medical, unemployment, pension and other social security responsibilities. However, the villages reform does not only relate to the villagers’ houses and house sites, but is also related to the issue of their placement and source of livelihood. Therefore, compensation or otherwise, as well as a compensation package, has become a conflict of interest between developers and villagers in the urban village reform.

**Categorization of villages and renewal pattern**

As mentioned earlier, the villages located in the city are the research subject of this thesis. Among them, different villages met different treatment under reform condition. All villages can be divided into two categories: with or without heritage/natural resources. Their
characters are compared in the table below. On the other hand, planning intervention by the government is different for urban villages with or without heritage resources.

Table V-1. Comparison of villages with / without heritage or natural resource

<table>
<thead>
<tr>
<th>Comparison</th>
<th>Villages with heritage or natural resource</th>
<th>Villages without resource</th>
</tr>
</thead>
<tbody>
<tr>
<td>Land use</td>
<td>Mix-use: residential, culture, entertainment, industry..</td>
<td></td>
</tr>
<tr>
<td>Design guide pattern</td>
<td>preservation</td>
<td>Demolition - redevelopment</td>
</tr>
<tr>
<td>Context</td>
<td>Low density, high plot ratio</td>
<td>High density, high plot ratio Planned fit</td>
</tr>
<tr>
<td>Infrastructure</td>
<td>revitalization</td>
<td>renew</td>
</tr>
<tr>
<td>Style</td>
<td>Conservative and creative</td>
<td>Modern and industrialized</td>
</tr>
<tr>
<td>Plan implementation</td>
<td>Government support</td>
<td>Developer’s investment</td>
</tr>
</tbody>
</table>

For villages without resource, the most common “demolition - redevelopment” is proper to reform them because of efficiency. For villages without resource, preservation should be adopted to transfer those resources into valid capital.
Table V-2. Comparison of existing three main urban renewal patterns

<table>
<thead>
<tr>
<th>Pattern</th>
<th>#1 Government-leading</th>
<th>#2 Villagers-autonomy</th>
<th>#3 Developer-involving</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competent authority</td>
<td>All levels of government</td>
<td>Village organization</td>
<td>Developer or developer and village organization cooperation</td>
</tr>
<tr>
<td>pros</td>
<td>Top-down, easy to implement and administrate</td>
<td>Bottom-up, highly-motivated</td>
<td>Professional authority guarantee the quality</td>
</tr>
<tr>
<td>cons</td>
<td>Government failure Government finance stress</td>
<td>Weak administrate</td>
<td>Market failure Interest conflict</td>
</tr>
<tr>
<td>Application condition</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fund</td>
<td>High requested</td>
<td>Low requested</td>
<td>High requested</td>
</tr>
<tr>
<td>existing land use</td>
<td>few</td>
<td>many</td>
<td>many</td>
</tr>
<tr>
<td>planning guideline</td>
<td>strict</td>
<td>loose</td>
<td>flexible</td>
</tr>
<tr>
<td>implement ability</td>
<td>High requested</td>
<td>High requested</td>
<td>Low requested</td>
</tr>
<tr>
<td>evaluation</td>
<td>Social, environmental improvement</td>
<td>Economic, social, environmental improvement</td>
<td>Profit maximize</td>
</tr>
</tbody>
</table>

From the existing practice, there are three village reform patterns which are existing implement operations in China. They are Government-Leading (Pattern#1), Villagers-Autonomy (Pattern#2), and Developer-Involving (Pattern#3). They will be studied in comparison to apply to different conditions. These three patterns are broadly used approaches in existing urban village reform in China.

Pattern#1 is characterized by local government to implement top-down transformation. Although the government is the representative of the public interests, its financial ability might owe to the high demands. Thus it is not realistic to promote reform based on this pattern. Being the makers and performers of the policy, government’s failure might lead to
bias from the initial objective. In addition, the market does not play its role fully in the process. Because of these reasons result to the pattern#1 was adopted by the government because of its strong financial potential. Most of this phenomenon is found in governments in the coastal developed cities (Zhou, 2007). The disadvantage of this pattern is that the villagers are not actively participating so that it has high cost for the government to negotiate with them. While numerous cities have been adopting it to promote the village transformation, essentially this pattern is not sustainable.

The characteristic of Pattern#2 is that the village collective plays the main role in the reform process. In contrast to Pattern#1, this is a bottom-up implementation. The greatest strength is the villagers’ participation, which meets villagers’ wishes and guarantees a relatively smooth process. But if a vast amount of transformation funds are demanded and the collective financial strength is limited, this pattern could not be implemented. In addition, due to weak expertise and management capability, a new community's physical landscape might be degraded.

Last, the characteristic of Pattern#3 is to introduce market funds to the village reform. It solves financial problems, obtains professional development and makes full uses of market configuration, and it seems rather an ideal tool for reform. But as the interest relationships described above, three stakeholders- government, developer, and villagers- chase different interest, especially if the government cannot be a fair player, the reform will be complex, and villagers’ interests might be invaded. Because of weak economic basis, most of the villages are not able to make enough earnings. In addition, with recent decade’s surging real estate market condition, developers did not actively participate in the village reform projects.
Thus, government providing preferential policies to encourage developers’ participation is the widely spread way to adopt.

Theoretically speaking, Pattern#3, rather than the two others, is more in line with the principle of market economy, which should be adopted as urban village reform broadly. Although the government does not directly get involved in the village reform, its regulatory and supervisory capacity is highly demanded.

When the market cannot participate in or the government desires to exaggerate the public interest, the Pattern #1 is the best choice. When the market is not mature or real estate still in surging, the Pattern#2 is easier and more practical to promote. However, it poses strong demands on the village’s condition and collective management capabilities.

In summary, the existence of current policy makes urban village reform more difficult and complicated. Among them, the policies involved in interests are the most important: the innovation of land owner rights, the innovation of villagers’ reemployment and social security, and their public participation system.
VI. Concept Design

According to the four objections of urban village reform mentioned at the beginning and the case study findings, villagers’ quality of life is expected to improve by enhancing its physical form, housing provisions, regulation efficiency, and socio-cultural environment improvements. Thus, in this section of the thesis, a concept project is planned to try to address the existing issues as a specific example. Based on the target villager’s typical background, specific solutions to achieve the goals are easier to conclude.

Specifically, physical form includes land re-uses, architecture and landscape renovation, public facility expansion, new public spaces creation, and local character enhancement. Housing provision, which refers to when village residents have to move out from existing villages because of the over-crowded physical environment to prevent the new villages repeat the over-crowded construction style, proper houses should be provided to all village residents, including those who can still live there and those who have to move. Regulation efficiency includes the land transforming from collective ownership to state-ownership, the identity transformation from villager to citizen, and administration transformation from village level to city community. Finally, social and cultural reform includes villagers’ awareness of city life and public participation. Except for Regulatory improvements, the concept design will provide specific solutions on physical form, housing provision, and the socio-cultural environment to improve the village residents’ quality of life. In addition, more suggestions for regulatory efficiency will be given in Part VII.
Physical design background

Introduction

The village selected to be planned is located in Shenzhen City which was designated one of the coastal open cities with the injection of foreign direct investment. Since 1978, Shenzhen has been led to adjust its urban control policy through a new planning system the ion (Yeh and Wu, 1999).

Figure VI-1. Site Location of Shenzhen City in China

Source: http://www.colorado.edu/geography/class_homepages/geog_3822_s06/
The ancient city in Shenzhen (SZAC) Nanshan district was founded more than 1600 years ago during the Qin Dynasty (214 B.C.) and is generally considered as the cultural roots to Shenzhen and Hong Kong. Throughout history the SZAC had been regarded as the administration center, the coastal defense fort, the ocean communication hub and the foreign trade center in the Lingnan region until 1953.

Since that time SZAC has experienced drastic transformations of Shenzhen city in the past two decades. Starting off as a Special Economic Zone in 1982, Shenzhen has developed
into a modern city within the last 20 years with 10.8 million populations and a 25% increase in economic development on average per year (Shenzhen City Statistical Yearbook 2008). The process is fuelled by the influx of both domestic and foreign capital, as well as human resources. Among the 10.8 million populations, only 0.2 million is original residents, the other 10.6 million are labors from other parts of China (Shenzhen City Statistical Yearbook 2008). They did huge contribution to the city, at the same time they suffered the dual system as mentioned in Policy Analysis. In addition, the density of population in Shenzhen is 17,150 persons per square kilometers, which is the 5th in the world (Shenzhen City Statistical Yearbook 2008). The above ratio and population density make the urban village more demanding and complicated.

**Site Analysis**

According to the Zoning Ordinance of Nanshan District, Shenzhen City (2002-2010), SZAC belongs to Site of NS06-04, which is full of old towns. The main issues are the mixed-use, serious excessive building density, crowded population, lack of facilities, and the poor quality of the overall environment. Hence the strategy is to improve and protect the transformation of the environment through planning and construction to make SZAC a cultural tourism destination. According to <Statutory Plan of 06-04and05 sections (Tongle Section) in Nanshan District, Shenzhen City>, the Southern District Block belongs to No. NS06-04-03-02. SZAC is targeted as a protected area with important historical and cultural features. As the aerial photo shows, SZAC is located in the residential zone between two city center zones.
Besides the trunk route of city, SZAC is the gate site of Shenzhen. The modern residential apartments on the other side of the trunk route, however, make a strong visual conflict with SZAC. As the photo shows, while at the left side stand orderly high-rise apartments, at the right side, villagers’ self-constructed houses are crowded disorderly.
Located in a residential zone, SZAC is surrounded by a huge park in the north, a middle school in the west, trunk route and new high-rise apartments in the south, and multi-storey old apartments in the east.
Population

In SZAC, 87% of the total population (25000 people) is temporary residents, this number is a bit higher than the average ratio which is 83.3%. Most of temporary residents are individual small business owners, taxi drivers, factory workers, and the unemployed. The table illustrates the increase of the resident population of SZAC in last decade, mainly from
the rapid growth of temporary residents, with extremely limited or even negative growth of
the permanent population. This special composition of population leads to the loose
structure of social organizations.

Table VI-1. Population size and structure of SZAC

<table>
<thead>
<tr>
<th>Unit: person</th>
<th>Resident Population</th>
<th>Temporary resident</th>
<th>total people</th>
</tr>
</thead>
<tbody>
<tr>
<td>1997 quantity</td>
<td>2650</td>
<td>6050</td>
<td>8700</td>
</tr>
<tr>
<td>proportion</td>
<td>30%</td>
<td>70%</td>
<td>100%</td>
</tr>
<tr>
<td>2007 quantity</td>
<td>3456</td>
<td>13005</td>
<td>16461</td>
</tr>
<tr>
<td>proportion</td>
<td>21%</td>
<td>79%</td>
<td>100%</td>
</tr>
<tr>
<td>2009 quantity</td>
<td>3300</td>
<td>21800</td>
<td>25000</td>
</tr>
<tr>
<td>proportion</td>
<td>13%</td>
<td>87%</td>
<td>100%</td>
</tr>
</tbody>
</table>

Data Source: Community Committee of Nantou Street District

**Economic Livelihood**

A considerable portion of the resident population received the allocation of house sites
in rural areas. In the 1990s, with the huge profit from the sale of land, 70-80% migrated to
Hong Kong, while the remaining 20-30% are the old people for whom it is inconvenient to
leave. With the constant development outside SZAC but no improvement of living conditions
within it, most of the remaining indigenous people left SZAC and leased their houses to
temporary residents. A steady flow of workers from all over China, the convenient location and cheap rent of SZAC guarantee the indigenous people have a fairly stable rental income. However, the existing temporary residents belong to the less privileged social classes, owing to their low education as well as income level. Their average income is only 1000 Yuan / month, compared to almost 4000 Yuan / month, which is average income of Shenzhen city (Shenzhen City Statistical Yearbook, 2007). Hence it is important to include improvements on both physical environment and human capital in the revitalization plan.

**Social Livelihood**

Theft is frequent due to the extraordinarily high density of development. The narrow streets with their vibrant street activities create an ideal setting for pickpockets to thrive. At present, there is no official ordinance or regulation governing the operation of stalls and hawkers blossoming along the streets. This has been a source of disturbance for local residents and passers-by. The trading stalls for catering and retail that residents wander in are fewer in the morning and more in the afternoon. There are fewer stalls of chaos at night but it is still bright on the streets, even late into the night, and residents still come and go to work or entertainment.

**Physical Environment**

Basic infrastructure like road paving and drainage were designed for merely 2000 people more than 30 years ago. The population boom in the previous decade had overstretched the maximum capacity of the system. To make things worse, the system has severely aged over
the years, but their renewal is impeded by the dense overlying developments. In order to uproot the problem, it is deemed necessary to have a face-lift renewal. The existing streets are too narrow for the access of fire engines which is against the fire safety regulations. The insufficiency of fire hydrants is another issue to be addressed. Residents’ per-capita living area is below the national standard of 16 square meters minimum, and the lack of drainage network forces residents to drink water from wells. The public services provided are mainly catering and retail, the lack of outdoor public space and entertainment is obvious. The actual students of secondary schools, primary schools, preschools are not the residents in village. The new multi-story factory buildings and the private residential houses have changed the scale of village. All of them make the atmosphere more uncoordinated.

Figure VI-6. Photo of only public space- playground in SZAC

Source: Author
S.W.O.T Analysis

Strengths

The strengths include: unique historic and cultural value with more than 1600 years of local history; human scale development, all below ten stories in height; pedestrian-friendly environment; limited development pressure in the local context; strategic location; and government’s support. SZAC is considered a strategic asset to Shenzhen in its positioning as an international city.

Weaknesses

The weaknesses include: poor heritage conservation; poor living environment, building quality and city management; low socio-economic level based on low education and income levels.
Opportunities

For economic development, adaptive commercial re-use of existing building blocks can be proposed. Connectivity with the Park should be strengthened, forming a loop between the Park and the village. In addition, to improve city management by transferring power to local community committees can be an appropriate mode of management. Finally, SZAC is an important tourism resource for the local community or even Shenzhen as a whole. Employment opportunities created from a more vibrant tourism industry in the area would promote the economic development of the local population.

Threats

Threats due to over-development could include: a theme-park-type of development that would lead to the loss of local identity; irrecoverable damage on heritage buildings would significantly lowered historical value; the existing highly dense urban form presents major obstacle for access, street level improvements, and installation of public open space, street furniture and greening etc for street level improvements; loose social structure renders the city management by community less feasible.

Design Approach

Story and Brand Building

A story can be developed based on the site’s history and context. With SZAC’s geographical heritage of a riverbed and the original seat of the regional Governor, a unique story can be generated. Each key element in physical form could inform the design of each
feature, from the visual to the tactile. The ‘gate’ or entrance to the area has been adequately preserved and could be enhanced to become a symbol for the project, portraying the welcoming portal to the interesting offerings inside. A common logo or brand involving some form of this ‘gate’ symbol could be used for navigating and for the development of products for the Ancient City to promote the branding of the area.

**Presenting a Project Face to the City**

The project has an advantageous corner location along the trunk route of the city. Shennan Road presents a good frontage, and should be utilized, despite the fact that the corner is blocked by the existing mall. Other parts of the frontage could be exposed and opened up with event space, accented with portal lighting and activated by performance related to the history (e.g. Chinese Opera, acrobatics, musicals, Sunday flea market etc). The increased accessibility and range of activities could attract more attention to the project and establish it as a district center.

**Districting of the Streets**

The various parts of the site demonstrate an existing pattern of uses. For example, the eastern area of the site has a concentration of everyday food and vegetable markets essential to local residents, who are mostly a migrant population and require affordable daily necessities. The western end of the site is in close proximity to the high school, great for inserting education and learning-related programs. The West Gate signifies its existence in the past and the importance of this linkage will draw pedestrian flow from the high school to
bring new energy into the area. The northern end is adjacent to the Zhong Shan Park, through which it may be possible to establish a greater loop through the adjacent district, enhancing the pedestrian traffic flow. There is existing open space near the intersection of the two streets that could be turned into flexible open space by re-providing the basketball court in the park with better facilities. The southern part of the site provides the main entrance to the old town, preceded by the front court landscaped park.

Use of Open Space

The existing parking area could be consolidated and cleaned up to be used as a recreational venue and flexible space for different day and night uses. Day uses could include sporting activities and a resting area, while at night, performances and events could be featured with the relocation of the coach station, more open space could be created for the provision of community amenities and facilities.

Topography

The topography across both the north-south and east-west axis is quite significant, culminating at approximately the intersection of the main street in SZAC. The paving of the streets can further emphasize the change in level and it is conceivable to convert some of the building rooftops into outdoor or semi-outdoor dining, which in addition to being community amenities, would take advantage of the available views.
Elementary Improvement to the Streets

The general physical environment within the “ancient town” is considerably run-down; therefore, any improvement will be welcomed. Much of the history has been lost, and the only preserved heritage structures are the heritage buildings near the South Gate and the cluster of heritage buildings near the intersection of the two streets including the Club House and the Smoke Room, the Ancestral Hall and the Gates themselves. Some restoration and adaptive reuse of the heritage building should be implemented. For instance, design elements such as using stone paving, adopting the colour palette of the old town and the texture of the Gate portals, could potentially bring back some of the historical character. The existing shop fronts are a hodgepodge of modern day rudimentary signage, and should be cleaned up and dressed over with texture paint or tiles following the Lingnan Style to give them an integrated and traditional character. Careful investigation may reveal better preserved structures that can be restored and converted into usable spaces.

Programming and Activities

Heritage-related activities could include museum and courtyard tours, historical re-enactment, school performances, and storytelling sessions, in the Hyde Park Speaker’s Corner style. Educationally-related activities could include school tours, college study tours, architectural tours, as well as conversion of some buildings into multipurpose spaces for classes, exhibitions, or a roving art gallery. Arts and crafts-related activities could include show rooms where people can learn to play a classical instrument or learn opera singing to enrich the traditional culture. In addition, the district management should be convinced to
keep the heritage buildings open as long as possible so they can be part of the residents’
daily life.

**Integration with the Existing Malls and Bus Station**

Should it be feasible for the bus station to be converted, it could be possible to create
either a hotel or a town hall style public amenity that locals could identify as a type of living
room. Benefits include improving the circulation to the spaces that are currently used as
parking.

**Underground Space Utilization / Parking Requirement**

Parking can be accommodated within the park itself so the space above is usable green
open space, with allowance for service loading and unloading at the rear end of the buildings
using existing roads.

**Design Proposal**

This part is from the final work for Shenzhen Ancient City International Design
Competition made by a cooperation team from Urban Planning & Design Institute of China
(Shenzhen, China), Urban Design & Planning Consultants Limited(Hong Kong SAR, China),
Earthasia Landscape Design Group(Hong Kong SAR, China), The Jerde Patenership(U.S.),
Radian Joint Models Ltd.(Shenzhen, China), Longying Rendering Ltd.(Shenzhen, China). I
presided over the whole project and participated in cooperating design workshop and final
work editing. They can be used in my thesis by the team’s permission.
Node 1: South Gate - Sense of Arrival

A gateway into the area, the South Gate is designed to feature a Multi-Media Visitor’s Center as a first stop for visitors into the area, creating a transition space between the gateway and the beginning of the streets. A fitting tribute to the heritage buildings within this node and in setting a scene for the visitors, it will be a reminder to the residents of the rich heritage of SZAC, including the museum and temple in the vicinity (Final work for Shenzhen Ancient City Design Competition 2009). Moving northward along the main street, visitors would be greeted by a historical street, where existing canopies would be cleaned out and facades restored to the traditional architecture style, linking in a gradual transition from the historical quarter near the South Gate to the renewed town center.

Figure VI-8. Perspective View towards the South Gate

Source: Final work for Shenzhen Ancient City Design Competition 2009.
To instil a sense of arrival in the area, a visitor information center featuring a multimedia exhibition would be established at the first Gateway, the South Gate. As the picture shows, introductory Videos about the local history would be projected on the external wall of heritage building, which serves as a major street-level attraction for visitors that sets the mood for the subsequent visits into the Ancient City. Clear and attractive signage would sustain the force that encourages visitors’ movement to the town center.

Figure VI-9. South Elevation

![South Elevation](Source: Final work for Shenzhen Ancient City Design Competition 2009.)

Figure VI-10. Perspective of Typical Street View

![Perspective of Typical Street View](Source: Final work for Shenzhen Ancient City Design Competition 2009.)
Node 2: Town Center – Sense of Place

Following the gradual transition from historical at the South Gate, at the core of the SZAC lays the Town Center, a place of diverse functions and round-the-clock activities. Adaptive reuse will be a prevailing theme within the town center as there is an abundance of heritage buildings within this node. Through adaptive reuse, the heritage building cluster will include community amenities, in addition to introducing small commercial uses within these old structures. In creating a sense of place and attracting people to the center of SZAC, a Plaza will be the anchor of this node. A new plaza will take the area of the existing open space, moving the basketball court southwards into the SZAC Park. Surrounded by lines of shops and alfresco dining places, the plaza will provide much-needed public space to the local community. On weekday mornings, the plaza will be an exercise space, a playground to children and a resting place for elderly in the afternoon; dining would be carried out at night, providing also the space for the occasional community forums and events (Final work for Shenzhen Ancient City Design Competition 2009). During weekends and festive dates, the plaza would become a performance, celebration and events venue, or as a Sunday market.
selling authentic local products. Heritage buildings circling the plaza would be rejuvenated for a variety of community and visitors uses.

Figure VI-12. Perspective View towards the Town Center

Source: Final work for Shenzhen Ancient City Design Competition 2009.

Node 3: East Gate – Sense of Community

The eastern gateway into the Ancient city is more community-oriented. The existing vibrant marketplace would be preserved and upgraded with a series of physical improvement measures to boost economic growth at the local level. Current canopies would be removed, giving way to new transparent shading that allows both air and light penetration. Shadows
in a Lingnan pattern would be casted onto the ground with simple paving, guiding people to walk along the street and link them with the town center.

In strengthening the street market culture at the East Gate, focus will be put on the neighborhood in providing an economic livelihood for the residents within the area. Through the introduction of restaurants and specialty shops within the vicinity to promote natural and fresh foods and in fulfilling the daily shopping needs of the people in and around SZAC, the identity of area will be reinforced, creating a destination intended for daily visits (Final work for Shenzhen Ancient City Design Competition 2009). A major landmark within this area will be the existing Ancestral Hall, providing an opportunity to celebrate the heroes of the past and retelling the history of the place.

Figure VI-13. Perspective View from the Ancestral Hall towards the East Gate

Source: Final work for Shenzhen Ancient City Design Competition 2009.
Node 4: West Gate - Sense of Learning

West Gate is a gateway from the western end near the High School and forms a symbolic reminder of the former West Gate. Strategically located, this node builds on the existing school facilities, to strengthen linkages to the park and the high school facilities nearby, and is intended to foster an educational environment. Through the provision of education and knowledge facilities geared for youngsters and adults, opportunities for adult learning and vocational training create awareness for education. Entrepreneurship is encouraged to contribute to the knowledge and skill base of the community to improve their economic livelihood (Final work for Shenzhen Ancient City Design Competition 2009).

Being an Education Hub, features including information panels about local history would line the street, leading students, residents and visitors into the Town Center. The sense of learning is realized by introducing new functions to existing facilities, such as evening classes for mature students, and the addition of specially designed street furniture to allow spaces for sharing and discussion.

Figure VI-14. Perspective View towards West Gate, showing the education hub

Source: Final work for Shenzhen Ancient City Design Competition 2009.
Beginning the journey through the South Gate, a sense of arrival is instilled as visitors will be able to learn about SZAC itself, setting the mode for the area. Travelling northwards towards the Town Center, the cluster of heritage buildings will be rejuvenated through adaptive reuse and provides a plethora of activities for all ages. Presenting a mix of old and new, the Plaza will provide a much-needed area of open space. Here, the journey comes to a path either towards the East or West Gate, which aim to portray very different uses. The West Gate, taking advantage of its existing uses, will form an education hub that encourages learning and culture. The last of the four nodes includes the East Gate and will give the visitors a sense of community, with the presence of the local community networks and the market area.

With the four nodes linking the heritage throughout the Ancient City, SZAC Gateway Park forms a unique addition to the project, becoming an attractive destination in itself to local and regional visitors. Sustainability, biodiversity, healthy living, an improved work-life balance, more integrated and mixed-use urban centers area all key elements of an emerging ideal for 21st century living, to which the Gateway Park can make a significant contribution with its historical richness.

The area will be revitalized in an environmentally-friendly and eco-sensitive manner and will continue to be pedestrian oriented. Through effective phasing development and programming of events, the area can continue to be a destination as it is being completed.

The place-based approach to revitalizing and repackaging SZAC emphasizes the linked heritage – the nodes to create a fitting gateway with its rich heritage and strategic location in Shenzhen and strong ties to Hong Kong since hundreds of years ago. The SZAC is set to
remake its mark on Shenzhen’s tourist map as a must-see destination.

Figure VI-15. Bird View of SZAC master plan

Source: Final work for Shenzhen Ancient City Design Competition 2009.

**Suggestion of Phasing Implementation Strategy**

SZAC can be developed physically in five phases, starting with the restoration of the heritage buildings and working towards the formation of a Business Improvement District for the area. The community can be actively involved in upgrading, managing and maintaining the area with the help of resources from the Govt.

Phase I development can start at the South Gate Node including the restoration of the heritage buildings and South Street Improvement. This will include the creation of the multimedia visitor’s Center, enhancement of the South Street, and improvement of the park South Gate Entrance.
Phase II development will include the development of the Town Center Node including the restoration and adaptive reuse of the heritage buildings for a Town Center, including a Tea House and Youth Hostel, as well as community facilities such as banks, health clinics, post office, etc. A plaza with flexible use of space is created at the Town Center Node with strengthened linkages to the park. This phase will also include the development of the Nantou Park East and the revitalization of the Commercial Center at the south east corner to include more vibrant uses such as restaurants, theatres and cinema etc.

Phase III will include the development of the West Gate Nodes including the creation of the West Gate at the western end of East Street and the improvement and enhancement of the East Street. The introduction of the Education and Knowledge Center at the West Gate Node will also act as a catalyst to strengthen the linkages to the park and the high school at the west end of the site. Development of the Nantou Park West will be included in this phase.

Phase IV will include the creation of the Ancestral Hall Node and the East Gate Node including the introduction of the Heritage Discovery Center in the Ancestral Hall. This phase will also include the signage and way finding for SZAC, key to implementing architectural, signage, way finding, lighting designs for the total project.

Phase V will include the formation of the Business Improvement District to manage and maintain the area, including place marketing and advertizing and organizing programs and events to promote SZAC as the Gateway to Linked Heritage.

Quality of life

Affordable housing
Urban villages have been considered obstacles to the development of the city, but their positive role should not be ignored. Similar to the example of SZAC, there are numerous villages playing an important economic and social function in various regions of the city. From the perspective of village resources optimization, revitalization of villages through the long process of transformation process is much more scientific, reasonable and realistic than the "demolition-rebuild" approach, which was adopted by most city governments based on costs of labor and available funds.

In addition to the pressure of funds, reform of the existing village might undermine the organic distribution of population. It may also crush the low-income people to the fringe of city under the action of the market, which will cause inequity in shared public facilities and psychological barriers between different classes. Therefore, after the above physical phases, some existing residents in the village will have to move out. An important problem is how to prevent the new villages suffering the same problems.

Based on the supply and demand condition mentioned in Literature Review, the low-rent housing oriented village was proposed as the effective way since it promotes the collaboration of villagers and government. It was based on the initiative of the villagers’ desire to achieve a citizen identity, and aimed to improve the villages’ physical environments by scientific design and revised rents to serve society better and more openly. In additions, suggestions to the implementation were grouped around three key ideas “Admittance”, “Cooperation” and “Centralization” (Luo 2003).
As the above picture shows, physical renewal focused on the main streets in SZAC. Within the green area beside main streets, it is suggested that all destroyed residential houses be replaced by new public low-rent houses. Three advantages to this plan can be assessed: improved physical environment; more apartments with larger area to more residents; and the continuation of affordable rents. In terms of managing the houses, the case study of West Broadway in Part III can be useful, though it is in different country.

A similar pattern occurs in public low-rent housing construction for urban village
renewal. To apply to the Chinese condition, the collaboration trustee can be constituted by city government funds and bonds, residents’ purchase, financial allowance from developer, and private investment and donations. After transferring collective-owned land to state-owned land supervised by the government and the village collective, new communities are expected to be built by developers according to the national standard. Families and individuals who want to buy apartments need to apply with income certificates, and only those people with income below a limitation are qualified to buy. The collaboration trustee will assess the income and other relative qualities, and decide the proportion of investment to the apartment. This collaboration investment pattern indicates the property right of this apartment belongs to all stakeholders according to proportions. Between stakeholders, one or more of them can transfer part or all of their property rights. The collaboration trustee will maintain its value through transferring, property value increase and transaction fees.

Via this collaboration trustee, most of the problems are resolved. The funding ability of the government is fully considered because as one of the owners of the apartments, government can legally and directly control real estate market to prevent price surges and financial risks. On the other hand, all low-income and float populations share the outcomes of socio-economic development, which include profit when property value increases and risk when property value fluctuates. Affordable housing is provided to minorities and redresses the existing gap between buying and renting property.

In summary, at the beginning of the thesis the goals of urban village reform were presented having four objects: physical renewal, housing provision, regulation improvement, and social and cultural recommendation. In this concept design project, three questions were
answered: the physical environment in the village was optimized by design under principle of conservation; affordable housing was provided by low-rent houses built on demolition of old villages to prevent new villages; attractions were drawn from resources seeking to help villagers to develop tourism businesses and other city jobs to support themselves.

**Suggestion of Phasing Implementation Strategy**

SZAC are suggested to be developed in five phases, starting with the restoration of the heritage buildings and working towards the formation of a Business Improvement District for the area. The community can be actively involved in upgrading, managing and maintaining the area with the help of resources from the government.

Phase I development can start at the South Gate Node including the restoration of the heritage buildings and South Street Improvement. This will include the creation of the multimedia visitor’s Center, maintenance of the South Street, and improvement of the park South Gate Entrance, which make a tradition-saving change to contribute to the cultural enhancement.

Phase II development will include the development of the Town Center Node including the restoration and adaptive reuse of the heritage buildings for a Town Center, including a Tea House and Youth Hotel, as well as community facilities such as banks, health clinics, post office, etc. A plaza with flexible use of space is created at the Town Center Node with strengthened linkages to the park. This phase will also include the development of the Nantou Park East and the revitalization of the Commercial Center at the south east corner to include more vibrant uses such as restaurants, theatres and cinema etc. As the case study of the
Bishops Square in London, the commercial development will contribute to more employment, revenue of business, and neighborhood ambient construction.

Phase III will include the development of the West Gate Nodes including the creation of the West Gate at the western end of East Street and the improvement and enhancement of the East Street. The introduction of the Education and Knowledge Center at the West Gate Node will also act as a catalyst to strengthen the linkages to the park and the high school at the west end of the site. Development of the Nantou Park West will be included in this phase. In this phase, the education environment of the area will be enhanced as the improvement of kindergarten and schools, which is an important part of quality of life for children.

Phase IV will include the creation of the Ancestral Hall Node and the East Gate Node including the introduction of the Heritage Discovery Center in the Ancestral Hall. This phase will also include the signage and way finding for SZAC, key to implementing architectural, signage, way finding, lighting designs for the total project. Based on above implements, the village will be revived by all detail carrying historic tradition. The social-cultural renewal will be supported by these approaches.

Phase V will include the formation of the Business Improvement District to manage and maintain the area, including place marketing and advertising and organizing programs and events to promote SZAC as the Gateway to Linked Heritage. Until this phase, the renewal to SZAC will enter into a fine trend. As mentioned in the beginning, the four goals of urban village reform, physical environment renewal, housing provision, and socio-cultural level enhancement are proposed have been improved by all above implements.
VII. Discussion and Recommendation

Even though the concept design resolves problems at the physical environment, housing and socio-cultural level, and the regulations seriously affect the renewal of urban villages. To achieve final goals, several recommendations are provided to improve the current policies.

First, establish a public interests expression mechanism. The public interest originates from common values. The city government should make a plan from public interest that understands demands of villagers, temporary residents in villages, and developers. All of these need to be established on the basis of a sound expression mechanism to coordinate and integrate all interests in an open and fair premise.

Second, improve the government response mechanisms. The purpose of the government response is to make positive responses to public demands and to question the management process. The reason why villagers always fight for their interests by collective fight or even violence is that some local government officials ignore the public interest or people’s real demands.

Third, establish a comprehensive information-open system. Open public information plays a key role in ensuring effective operation of the market mechanism. If information is not open or transparent, some government officials will attempt to gain personal advantage via sacrificing part of people’s interests. Urban village reform relates to compensation, planning goal, product provision, real estate development, each part of which hides enormous economic benefits. Only an open public information system can make public policies effective. Alternatively, village reform may be confronted with great opposition, cause dissatisfaction of villagers, and may lead to a legitimacy crisis in the government.
Fourth, set up a public interest-guiding scientific performance appraisal system. The traditional performance appraisal system is GDP-guiding, so that various levels of governments implement performance indicators, particularly in urban development projects on urban sprawl, widen roads, extension of large square and high-class housing, which are far from the direction of public interest, or may even impair public interests.

On the contrary, a public interest-guiding scientific performance appraisal system will help the government change its role to provide basic products and public services to all walks of society, including the temporary population, and will strengthen the government's social service function. This is the initial public policy objective of village reform led by government.

Under the frame of efficiency and equity, these four suggestions for improving public policies should work with reforms of other levels. To initiate the implementation strategy provided by the concept design and the above recommendations into the current regulations, the reforms for urban village improvements are expected to bring about improved physical conditions, social-culture improvements, improved health and a more equitable way to address development and village inhabitants’ lives.
-English Part

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-Chinese Part


Urbanization rate.


Maps. [http://www.colorado.edu/geography/class_homepages/geog_3822_s06/](http://www.colorado.edu/geography/class_homepages/geog_3822_s06/)