

# CHARACTER STUDY PROJECT: Developing a New Type of Historic Resource Survey



An Initiative of the Graduate Program in Historic Preservation/  
Center for Research on Preservation and Society  
**UNIVERSITY OF PENNSYLVANIA SCHOOL OF DESIGN**



CHARACTER STUDY PROJECT:  
**Developing a New Type of Historic Resource Survey**

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# Contents

- Executive Summary ..... 1
- Introduction ..... 3
- Case Studies ..... 7
- Methodology ..... 16
- Methodology Elements ..... 25
- Philadelphia Planning Context ..... 31
- Pilot Study ..... 36
- Findings ..... 50
  
- Appendix A: Digital Data ..... 52
- Appendix B: Engagement ..... 54
- Appendix C: Philadelphia Planning Goals ..... 60
- Appendix D: Pilot Material ..... 63
  
- Bibliography ..... 77



## Executive Summary

Character studies are a promising new model for historic resource surveys. The Character Study Project (CSP) documented in this report is designed to address immediate practical needs as well as long-term strategic issues in the planning and preservation fields by (1) collecting and analyzing block-scale data about the historic urban environment, (2) integrating this data into existing planning and policy frameworks, and (3) completing survey work within tight timeframes and budgets.

Currently, no methodology exists in the professional preservation and planning fields for producing practical, plan-ready data about historic resources across large areas quickly and inexpensively. Traditional historic preservation surveys collect and analyze data building by building, a detailed method whose cost and time requirements can prohibit any survey work from happening—and result in reactive, ad hoc preservation efforts and plans that lack important data on the historic built environment.

The CSP bridges this gap with a time- and cost-efficient way to collect data about the typology, period of development, and integrity of built landscapes, including potential historic resources. Its innovative approach employs web-based aerial images, digitized historic maps, and Geographic Information Systems (GIS) technology to quickly classify multi-parcel clusters by chronology and building typology, assemble and analyze the data, and field-check the digital survey to gauge integrity and ensure accuracy. The results can be easily integrated into planning systems and considered on an equal footing with other planning issues.

The CSP has three primary goals:

- To create citywide data on potential historic resources in Philadelphia that can be integrated with planning databases and inform public decision-making;
- To enable evidence-based prioritization of future preservation efforts by providing a baseline of information on the historical character of the built environment; and
- To develop a replicable, resource-efficient methodology that can be used in other towns, cities, and regions.

CSP work builds on the recent efforts of the Preservation Alliance of Greater Philadelphia, Philadelphia City Planning Commission, and Philadelphia Historical Commission to undertake comprehensive preservation planning for the entire city. The need for citywide data on historic resources, though long recognized, was made more urgent by the Philadelphia 2035 comprehensive plan process. Developed by the Graduate Program in Historic Preservation at the University of Pennsylvania, the CSP was designed to input directly to the PCPC's District Planning process and to aid the Historical Commission and Preservation Alliance in regulating and advocating preservation matters in the context of the entire city. Character study data is envisioned as a direct contribution to the District Plans (documenting the historical evolution of the districts and identifying areas warranting preservation attention as well as areas with few historic resources) and a valuable input to strategic deployment of advocacy and documentation efforts by the entire preservation community.

Research drew from previous work in Philadelphia and incorporated best practices from American and international projects in Austin, Los Angeles, Norway, England, and others. A methodological framework was discussed with local partners from the City of Philadelphia and the preservation community, then expanded into a pilot study for local testing. The pilot was conducted in Philadelphia's Lower Northeast planning district in January 2012. It included classification, fieldwork, and analysis, and concluded in the incorporation of results

into the Philadelphia Planning Commission's Lower Northeast District Plan. It successfully demonstrated character studies' efficacy, yielding focused, useful data in a short time period and producing an analysis of historic resource patterns over a complex six-square-mile district. The next step envisioned for the CSP is implementing character studies for the rest of the city, in coordination with each of the 16 remaining District Plans and with the ongoing cooperation of the Planning Commission, Historical Commission, and Preservation Alliance; and conducting outreach about the methodology to other towns, cities, and regions.

## Introduction

Metropolitan areas across the U.S. and the world are changing at a rapid rate, stretching the capacity of cash-strapped governments and overtaxed staff to manage change. As development pressures—or the risk of abandonment—threaten the unique sense of place that draws people and businesses to settle and invest in towns, cities, and regions, fresh, responsive planning and agile decision-making are critical.

Traditionally, historic preservation planning responds to high rates of change by calling for detailed parcel-by-parcel surveys of architectural value. These surveys produce detailed data about each age-eligible building in the defined study area, collecting information about factors such as building height; siding, roof, and window material; architectural style and façade composition; decorative elements; and use. The time required for this type of survey makes it costly and time-consuming to do in neighborhoods under pressure, and nearly impossible to complete for an entire city—especially when plans may be driven by short timelines. Consequently, systematic, quantifiable data on potential historic resources for entire cities and districts is often neither collected nor incorporated into planning efforts.

Character studies help address this challenge by offering a pragmatic way to quickly describe the historic built landscape at a level of detail easily integrated into municipal planning processes, specifically assess areas' potential for preservation and sensitivity to new development, and prioritize areas of potential historic value for more intensive historic resource surveys and preservation projects. They are not academic studies, but practical tools with final products that seamlessly integrate with planning databases. They are intended to strategically assess large swaths of urban fabric for resources and areas that warrant closer historic preservation attention, not to substitute for the detailed survey of areas with high architectural, cultural, or social value.

The studies combine web-based survey, archival and secondary research, streamlined fieldwork, and limited public engagement to evaluate sub-block, multi-parcel groupings for development type and continuity over time (integrity) (Figures 1.1-1.3). Results include identification of potential historic resources and a broad-brush portrait of each district's history, significance, and resource types. Data collection and analysis in GIS allow preservation con-



1.1 Sample block in Frankford



1.2 Parcels with overlaid groupings



1.3 Groupings classified by typology

siderations to be integrated with other planning factors—something not currently possible except for properties with official historic resource designation.

Initially, character studies were envisioned as a means of broadening the ability of historic preservation practice to benefit from extensive community input. However, this mission of community engagement was set aside due to concerns about collecting, measuring, and evaluating social and cultural significance in the built environment with constrained time and financial resources.

The Character Study Project benefitted from a cooperative partnership with the City of Philadelphia. City staff shared data, discussed integration, and assisted in a pilot study to test and refine the methodology. However, recognizing that Philadelphia is not alone in its urgent need for “plan-ready” knowledge about the historic environment and few resources for carrying out detailed survey work, the character study methodology presented in this report is intended to be flexible and adaptable to diverse cities and situations.

The Character Study Project was initiated and carried out by the University of Pennsylvania’s Graduate Program in Historic Preservation/Center for Research on Preservation and Society in consultation with the Philadelphia City Planning Commission, the Philadelphia Historical Commission, and the Preservation Alliance of Greater Philadelphia. Research Associate Cara Bertron (M.S. Historic Preservation 2011) authored this report and led the project, with direction from Professor Randall Mason. All research was completed from July 2011 to February 2012.

## Project Goals

- To create citywide data on potential historic resources in Philadelphia that can be integrated with planning databases and inform public decision-making;
- To enable evidence-based prioritization of future preservation efforts by providing a baseline of information on the historical character of the built environment; and
- To develop a replicable, resource-efficient methodology that can be used in other towns, cities, and regions.

The Character Study Project set out to evaluate various aspects of the framework, asking *why* as well as *what*. The first priority was to find a way to define and show morphological character that reflected the historical evolution of the landscape as well as the contemporary landscape, was mappable at a scale relevant to municipal planning departments, and could be easily communicated to planners—a systematically defined “sense of place.” The *Historic Preservation in 2020* report produced by the Preservation Alliance of Greater Philadelphia and the *Community Character Methods* research report by Randall Mason (with a focus on the Orton Family Foundation’s *Heart and Soul* report) provided a baseline; they were reinforced by UNESCO’s Vienna Memorandum and case studies that aimed to measure and operationalize “character” within preservation and planning contexts.

The character studies concept developed here drew on best-practices research in general areas: preservation planning, survey work, digital tools, historic context statements, and public participation. Sources consisted primarily of planning documents and on-the-ground results from a variety of heritage-focused case studies in the U.S. and internationally. In an effort to discern how best to design public participation schemes, researchers reviewed scholarly articles on engagement from the planning, environmental, economic, and public administration fields. Results are reported in the *Methodology Elements* section and related appendices.



## Methodology

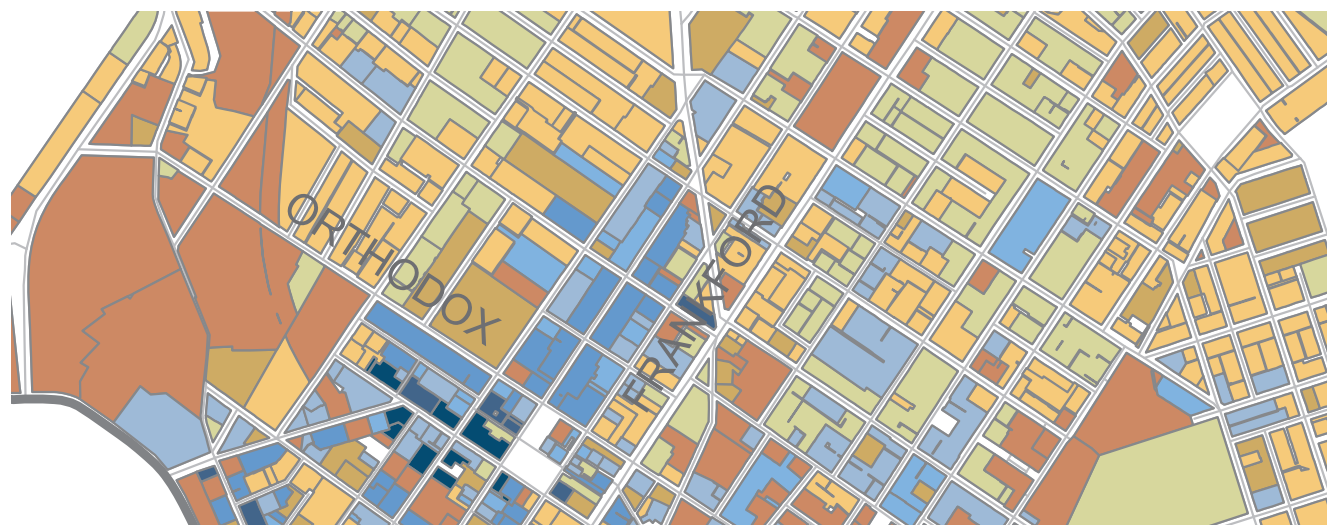
The process for developing a character study includes historical research, classification of building and block types, fieldwork, and public engagement. Working at the intermediate scale (sub-block level), character studies create and apply a classification system to describe the morphology (character) of the existing built environment. Online bird's eye and aerial views are used to group and classify properties with similar built character into *groupings*. Built character (distinct from use) is classified for the same groupings from historic maps and fire insurance atlases, revealing the origins of the contemporary landscape (Figure 1.4). Meanwhile, basic historic research provides a foundation for understanding major themes and developments in each district and allows periods of significance and related property types to be highlighted in a Geographic Information Systems (GIS) database, analytical maps, and fieldwork. In the final phase of work, surveyors complete windshield surveys to field-check the classifications and gauge integrity in groupings built during periods of significance or before a given date.

Throughout the process, a project manual and careful training help ensure that data collection and classification are consistent. Public meetings and workshops with municipal planners, preservation staff, and local nonprofits add layers of community landmarks, socially and culturally significant properties, and institutional knowledge to the analysis. The resulting maps and GIS files can be easily updated and flexibly used for different purposes, including area or citywide plans and more detailed historic resource surveys.

## Products

Character studies produce a brief historic context, as well as the following information in the form of maps and GIS shapefiles:

- Contemporary neighborhood built character
- Evolution of the contemporary landscape
- Areas with historic integrity
- Areas for further investigation/potential historic districts
- Areas where no further investigation is necessary



1.4 Development periods in upper Frankford

## Pilot Study

A pilot study was completed in Philadelphia, Pennsylvania, from January 4 to January 9, 2012. Four graduate students studying Historic Preservation and Architecture at the University of Pennsylvania followed key steps of the methodology in the Lower Northeast Planning District, classifying groupings through web-based survey and historical maps, field-checking for integrity, and analyzing the results over 4½ days. The pilot methodology and results are discussed in more detail in the *Pilot Study* section and *Appendix D: Pilot Materials*.

## Acknowledgments

The *Historic Preservation in 2020* report, authored by John Andrew Gallery and Randall Mason for the Preservation Alliance of Greater Philadelphia, was the genesis for the project concept and components, while studio work undertaken by Penn Historic Preservation graduate students in fall 2010 provided a methodological starting point for research, fieldwork, and synthesis.

Consultation with City of Philadelphia staff and local organizations was critical to ensure that character studies would efficiently utilize existing resources and produce results that contributed effectively to planning efforts. Laura Spina, Ian Litwin, Jennifer Barr, and Andrew Meloney of the Philadelphia City Planning Commission provided a helpful picture of the City's planning goals and process, as well as a sense of the Lower Northeast Planning District that was the subject of the pilot study. Jon Farnham and Erin Coté of the Philadelphia Historical Commission also helped orient us to the Lower Northeast landscape and offered realistic advice and valuable information. Ben Leech of the Preservation Alliance explained the Pride of Place initiative, which adds a layer of community-generated landmarks to the character studies analysis. Finally, Laura Spina, Ian Litwin, Jon Farnham, Ben Leech, Amy McCollum (consultant to the Preservation Alliance), and Suzanna Barucco generously gave their time to offer thoughtful critiques of the methodology and to review drafts of this report.

Additional assistance was provided by Professor Amy Hillier, Nels Youngborg, and Rebecca Chan—all affiliated with the University of Pennsylvania—who offered advice on how to bring ideas to reality in GIS. Deborah Boyer and Tamara Manik-Perlman of Azavea also provided a sounding board for initial ideas about the project's digital element. Rich Boardman, curator of the Map Collection at the Free Library of Philadelphia, patiently pulled many Sanborn maps.

The pilot study would not have been possible without student surveyors. Mary Catherine Collins, Collette Kinane, Olivia Tarricone, and Xiaojuan Zhu brought enthusiasm and dedication to the project over more than four days. Jesse Lattig and Sharon Reid provided valuable assistance in follow-up field surveys.

Finally, the financial support of the Sardegna Fund of the University of Pennsylvania's School of Design is gratefully acknowledged.

## Case Studies

Character studies are a new technique in preservation planning, but a number of projects and reports contributed to development of the project concept and methodology. Relevant projects include other historic resource survey projects with innovative approaches to scale and technology, initiatives around articulating urban character for applications in planning, and work to document large areas. Case studies were determined through researchers' knowledge, exploring heritage organizations' websites, keyword internet searches, and consultation with project partners.

This section provides brief summaries of each case study, with particular attention to elements that informed the development of character studies or that offer a model for recommended future work.

Case studies include:

- Surveys by the Preservation Alliance in Philadelphia;
- Austin Historical Survey Wiki, under development in Austin, Texas;
- SurveyLA, currently being conducted in Los Angeles, California;
- DIVE, a project by several Scandinavian countries;
- Several initiatives of English Heritage; and
- Common Ground, a localism project in England.

Complete citations can be found in the Bibliography. Detailed information was sought for the Denver Cumulative Effects Assessment, a project by the University of Colorado Denver/Boulder that used GIS to identify historic resources across the Denver metro area, but could not be obtained within the timeframe of this project.

### Preservation Alliance Surveys

From 2007 to 2009, the Preservation Alliance of Greater Philadelphia sponsored two historic resource survey research projects as part of a larger preservation planning process, the Philadelphia Preservation Plan. (For information on the other initiatives that comprised the Philadelphia Preservation Plan, see the Philadelphia Planning Context section.) A precursor to character studies, the projects had the same impetus—the development of significant citywide plans that lacked systematically collected information on historic resources in many areas—and the same goal of developing a viable model for a citywide survey. The surveys used remote data collection and GIS, which eventually became two major components of the character studies methodology.

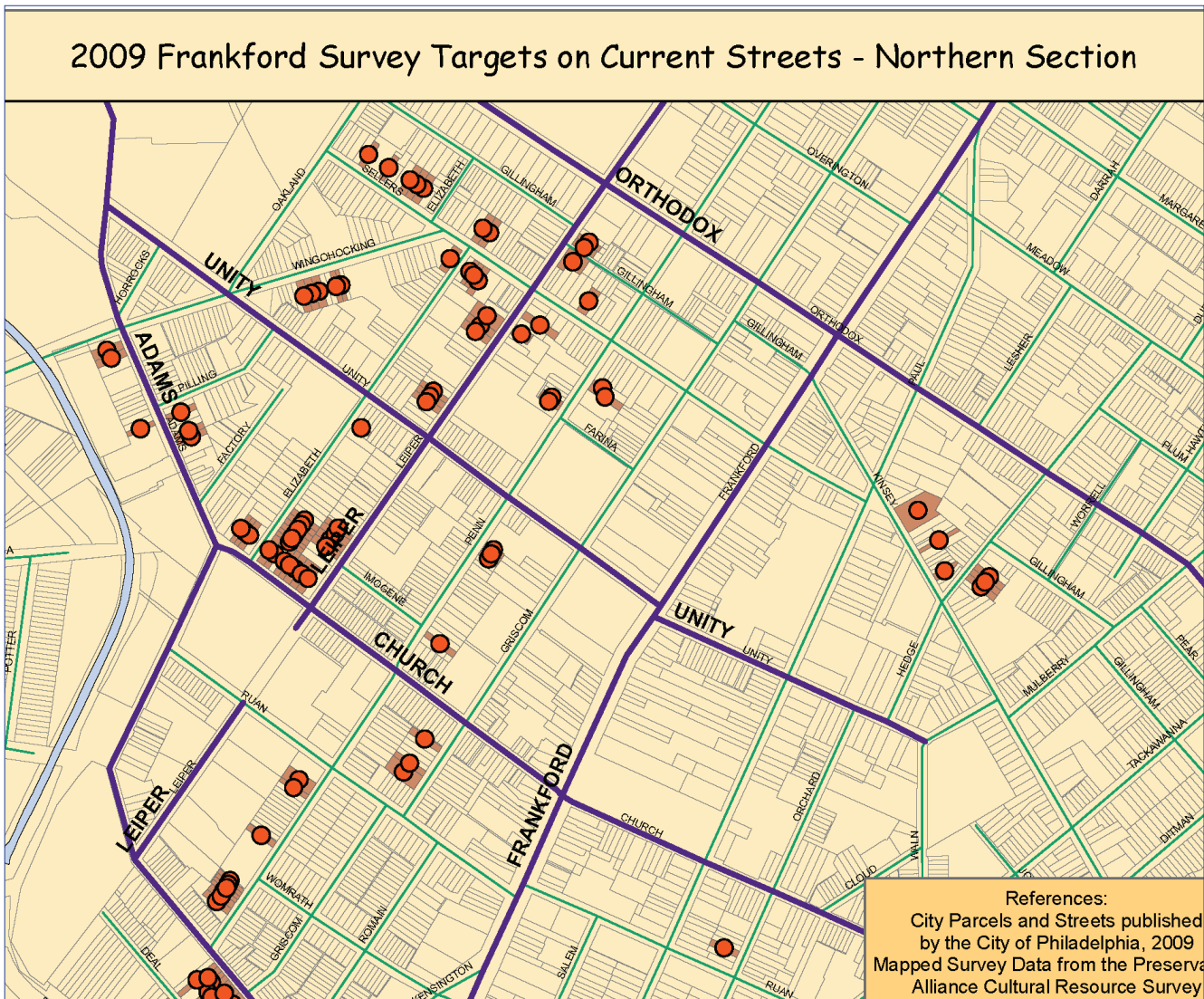
The survey methodology that emerged from these projects adopted a three-part approach to scattered-site survey:

1. Identification of potential individual historic resources using historical sources or local knowledge;
2. Field surveys to locate and record resources that still existed; and
3. Development of an overarching historic context statement supported by neighborhood-level and thematic contexts.

The methodology was tested in the Frankford neighborhood in two iterations (2007 and 2008-09). In the first survey, churches, factories, and businesses from a 1912 booklet on Frankford were located on a current map with the help of digitized historical atlases. These properties

were then checked in a field survey to determine whether they still existed. During the second survey, Frankford Historical Society volunteers identified the likely locations of early workers' housing (Figure 2.1). Surveyors utilized hand-held Trimble devices with GIS capabilities to field-check the locations, then input detailed information on still-extant buildings into a geodatabase. This information was supplemented by property-specific research by volunteers, including approximate building date from historical atlases. Linked efforts included the completion of historic context statements for the city of Philadelphia, two neighborhood "clusters" in North and Northeast Philadelphia, and the themes of industrial heritage and Modernism from 1945 to 1980.

Grants from the Barra Foundation, the Pew Center for Arts and Heritage, and the William Penn Foundation funded the survey, which was a collaborative effort between the Preservation Alliance and the Athenaeum of Philadelphia. Staff members from the Philadelphia Planning Commission and Philadelphia Historical Commission sat on the project's advisory committee. Though the Preservation Alliance hoped to continue surveying other Philadelphia neighborhoods, it was not able to secure sufficient funding. In fall 2010, the University of



2.1 Focus of second Frankford survey. Source: Preservation Alliance of Greater Philadelphia



Pennsylvania's Graduate Program in Historic Preservation continued developing the survey concept in a graduate-level studio, which further developed a firm foundation for the Character Study Project (see *Philadelphia Planning Context* section).

The Preservation Alliance survey work laid important groundwork for character studies. Use of a GIS database, a key feature of character studies, was tested and endorsed by the survey consultants as an appropriate platform for data collection and analysis. Likewise, character studies built upon the surveys' use of layered historical maps as a way to trace area development from a desk prior to fieldwork.

But there are several fundamental differences. Character studies do not begin with a pre-defined list of potential resources from one historical source or institutionalized knowledge, though they do incorporate existing knowledge. Instead, they scan a planning area for potential resources and produce a supporting body of data about the entire area's character. They also operate at a different scale: the multi-parcel grouping rather than the individual building. This allows surveyors to classify property typology, trace historical development, and conduct field surveys much more quickly. The overall difference in scale is dramatic. In the first Preservation Alliance survey, over 300 sites were inspected, 117 were selected, and 45 were documented in detail. The second survey produced detailed survey forms for 107 properties. In contrast, character studies produced information about the typology and development period of 2,349 groupings composed of 32,477 parcels, with additional information about integrity for a subset of 1,618 groupings. (27,591 parcels)

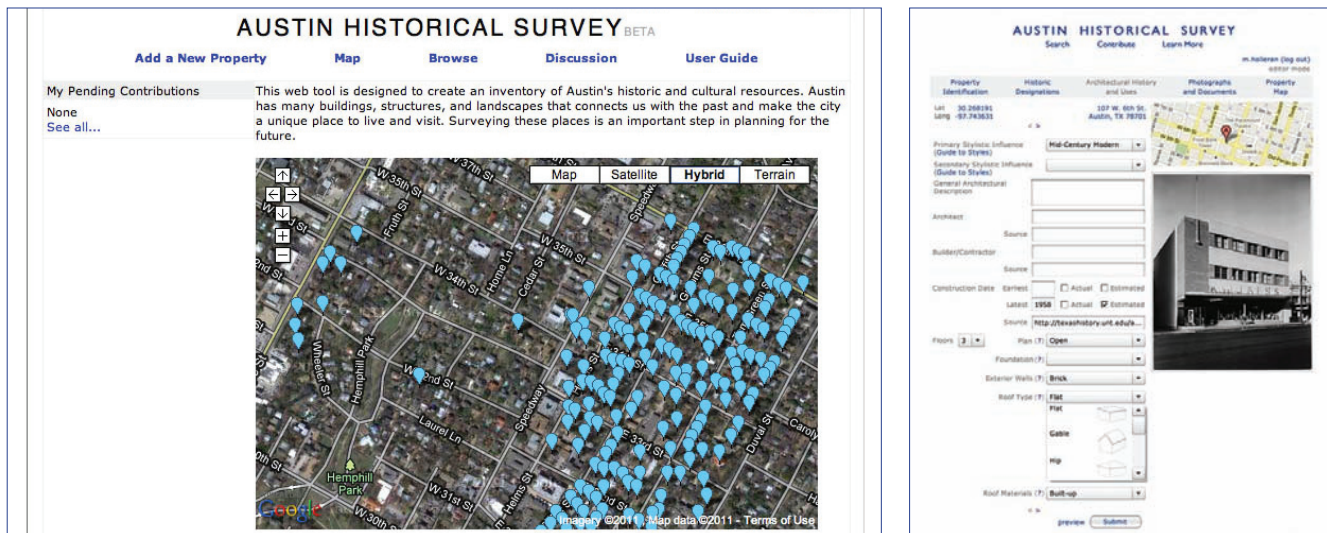
Character studies also have different products: data designed to dynamically integrate with planning systems, rather than static survey forms for individual resources. GIS in the Preservation Alliance surveys seems to have been used exclusively for data collection and organization, whereas character studies utilize it for multi-factor analysis. Character studies' focused, limited fieldwork means that using a hand-held device is not necessary; indeed, color-coding integrity by hand is likely faster.

### Austin Historical Survey Wiki

The Austin Historical Survey Wiki is an online historic resource survey in development at the University of Texas at Austin (UT). Its goal is to enable registered users from the larger community to collect and contribute historic resource survey data at the parcel level—essentially, to develop a more democratic, less expensive way to produce a traditional historic resource survey. This data appears in a publicly accessible online database linked to GIS, with professionals and City staff vetting accuracy (Figures 2.2-2.3). After several levels of review, survey data gains official status in the City, joining past surveys to form a larger, transparent base of information about historic resources in Austin.

The project team consists of UT-based preservationists and GIS experts who get feedback from a large, loose-knit group of stakeholders by email and work with on-the-ground neighborhood partners. The second pilot testing phase is currently underway, and the Wiki will be transferred to the City of Austin after completion. It is funded by grants from UT, the Certified Local Government program, Preserve America, and the National Center for Preservation Technology and Training.

Character studies and the Historical Survey Wiki are both university-based responses to similar challenges: the lack of a citywide historic resource survey, highlighted by important planning processes; little funding; and inadequate staffing levels to conduct preservation survey work. Both aim to facilitate the development of citywide survey work, the Wiki through opening the survey process to citizens and character studies through information-layering



2.2-2.3 Austin Historical Survey Wiki beta web interface and survey form. Source: University of Texas at Austin

that can focus future detailed research on potential historic resources. Both focus on adding historic resource data to municipal data systems, and both use GIS as a tool to facilitate easy integration.

The configuration of the project team—a small group of academic researchers with a broader email-based stakeholder group and neighborhood partners—offers a useful model for character studies. Indeed, it may be a necessary shortcut for character studies seeking to quickly collect information about large areas. The platform for user-contributed surveys central to the Wiki is not immediately relevant to character studies, which seek to survey and describe areas on a much broader, coarser scale. However, a wiki structure could vastly expand the capacity for survey, research, and designation as municipal planners and preservationists begin to look more closely at buildings, sites, and neighborhoods that character studies recommend for further study.

The crowd-sourced aspect of the Wiki also introduces a new possibility for recognizing buildings, sites, and other resources in terms of their significance to the community:

“If significance means, at root, what a community values and wishes to save, then expert judgment is a proxy for the answer to a question that might be asked of the community... Broad participation in the existing apparatus of cultural resource surveys provides a structure, and invites a conversation in which experts must act not as authorities but as facilitators and interpreters.”<sup>1</sup>

Though the character studies timeline precludes extensive engagement efforts, this aspect should be explored later through more intensive efforts to engage community members in survey work.

<sup>1</sup> Michael Holleran and Jennifer Minner, “From Expert Determinations of Significance to Generative Local Knowledge: A Web Experiment,” EDRA Abstract (n.d.).



2.4 Public meeting in SurveyLA. Source: City of Los Angeles

## SurveyLA

The City of Los Angeles is undertaking SurveyLA, a citywide historic resource survey of 880,000 parcels across 466 square miles. SurveyLA was supported by a report from the Getty Foundation noting that only 15 percent of Los Angeles had been surveyed for potential historic resources. Like character studies, it aims to provide data on potential historic resources to area plans as part of a comprehensive planning process; unlike character studies, it focuses on the parcel level. Survey work phased by planning area began in 2010, after four years of planning, and is anticipated to take until 2013.

SurveyLA has a complex process, including extensive community engagement. Public meetings are held with the goal of collecting information about architectural, social, cultural, and historical significance, and community members can organize walkabouts (Figure 2.4).<sup>2</sup> Detailed historic context tables and narrative contexts help surveyors to evaluate significance by establishing citywide themes and defining associated property types. All properties are considered during windshield reconnaissance surveys, but only properties with integrity and apparent contextual significance—and those highlighted by community members—are recorded using the Multiple Property Documentation format. A custom field GIS system (FiGGS) and the historic context tables provide sophisticated technological and contextual frameworks to record and analyze properties across the city for area and thematic significance.

The City's Office of Historic Resources is managing the survey process, with support from the Planning Department's Systems and GIS Division. Staff and consultants develop historic context tables and statements, and teams of consultants conduct survey fieldwork. A five-person survey review committee composed of high-level professionals and an area-specific community representative reviews consultants' findings and recommendations; others may also give input on findings. The Getty Foundation provided a \$2.5 million matching grant to the city, while the Getty Conservation Institute is supplying technical and advisory support.

<sup>2</sup> SurveyLA's public outreach efforts—the MyHistoricLA Guide, the project website, social media, and other tools—were recognized by the American Planning Association (APA) with the the 2011 National Planning Excellence Award for Public Outreach.

The goal of SurveyLA is one of the central goals of character studies: to integrate historic resources into planning considerations, thereby informing and shaping changes to communities. Like character studies, SurveyLA is being conducted in concert with community planning activities, and it incorporates GIS at a fundamental level to integrate information with the City's planning database. However, the scale of SurveyLA is larger and much more detailed than that of character studies. Though not every resource is recorded or evaluated, every building and piece of infrastructure constructed before 1980 is considered, and data collection takes place at the parcel level.

Two components of SurveyLA were incorporated into the character study methodology. Asking community members to identify local landmarks is a way to quickly gather important information that might otherwise be overlooked or lost in character studies' rapid process. This concept has been expanded to a similar information-gathering session with City planning and preservation staff. Historic context tables or outlines are also recommended for character studies. A brief historic context statement is part of the process for each character study area, and citywide context tables are an efficient way to develop and link themes across multiple study areas.

Character studies' short schedules constrain public outreach during the study timeline, but the *MyHistoricLA* guide could serve as a model for community education and outreach in future preservation efforts. Its accessible language, thorough explanations of the survey process and benefits, and clear assignment of citizen responsibilities are particularly useful.

## DIVE

DIVE is an urban heritage analysis developed by a working group with members from Norway, Sweden, Finland, and Lithuania. It grew out of a need to “develop knowledge that can contribute to a more predictable and professional management of cultural heritage values, as a basis for local community development.”<sup>3</sup> To this end, DIVE offers a flexible framework to conserve and enhance built resources through the process of urban change. The DIVE methodology provides pragmatic ways to sift, discuss, and process built heritage information as part of a range of planning and development projects. The scale of the framework can be adapted from one site with multiple buildings to neighborhoods, towns, and even regions.

The DIVE methodology includes four principal stages: Describe, Interpret, Valuate, and Enable, as well as an initial Preparation stage. The Describe stage focuses on establishing a knowledge base through data collection, organizing the information into a readable form, identifying gaps, and clearly communicating information. During the Interpret stage, the project team asks which themes, periods, and stories are significant; explores the area's historical legibility, or overall integrity; and describes and communicates historical significance. The Valuate stage includes a series of complex assessments around cultural and historical built resources: their value, development potential, vulnerability, tolerance, and capacity for change. The Enable stage suggests strategies and principles to deal with the heritage resources moving forward.

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<sup>3</sup> Dag Arne Reinart, “The DIVE Approach: Tool for Activating the Development Potential of Cultural Heritage Resources in Urban Planning and Development,” paper presented at conference, Urban Heritage: Research, Interpretation, Education (September 25-26, 2007, Vilnius Gediminas Technical University, Vilnius, Lithuania).



Five test cases of the DIVE methodology have been completed in Finland, Lithuania, Norway, and Sweden. Each case had a different project team, scale, and degree of public participation, though most focused on articulating the values embedded in historic areas to help respond to current development pressure and guide future planning. Municipal governments headed the projects in Finland, Norway, and Sweden; a university architecture program ran a project in Lithuania. Projects' scale ranged from several blocks to entire historic neighborhoods.

Several elements of DIVE were loosely incorporated in the character study methodology. Character studies include the first two stages of DIVE (Describe and Interpret) as basic models for data collection and analysis, and the follow-up work in character studies' final stages is in line with the Valuate and Enable stages. The time-space matrix, a graphic tool used in DIVE to organize and examine information, helped develop character studies' use of multiple layers of information in GIS to analyze relationships (Figure 2.5).

<b>Time era</b> The area of analysis seen from today and backwards in time	<b>Macro level</b> Landscape and geographical contexts of the area and surroundings	<b>Overview level</b> Overall organisation, structure and features of the site	<b>Local level</b> Inner organisation, structures and buildings within the site	<b>Detail level</b> Individual properties, buildings and objects within the site
<b>Historical matrix</b>				
	<b>Spatial Dimension</b>			
<b>Time dimension</b>	World outside Odda	Odda town	The factory area	The individual structures
<b>2003-present</b> Search for a new identity				
<b>1970-2003</b> Environmental concerns, falling turnover, bankruptcy				
<b>1945-1970</b> Modernisation, optimism				
<b>1921-1945</b> Changing times, bankruptcy and new owners				
<b>1906-1921</b> Establishment of the industry; from village to town				
<b>1850-1906</b> Tourism, unspoiled nature				
<b>&gt; 1850</b> Farming, self sufficiency and church community				
				No information available

Asplan Viak - Stedsanalyse Odda Smelteverk 2008

2.4 Time-space matrix for Odda, Norway. Source: DIVE Handbook

## English Heritage

English Heritage is the principal nongovernmental organization (NGO) working to conserve and promote England's historic landscapes. It stewards historic properties, promotes policy that supports heritage, and assists municipalities in conserving cultural and historic resources. Three of the organization's locally focused projects are described here: Historic Area Assessments, Historic Urban Character Assessments, and draft guidance on the setting of heritage assets.

### *Historic Area Assessments*

Historic Area Assessments (HAAs) document and explain the character and significance of the historic built environment at an area scale and address issues that threaten to change that character. HAAs are intended to provide heritage information in planning and regeneration (redevelopment) decisions, increase public awareness of resources, and encourage better stewardship of the historic environment. They may be prompted by development or regeneration plans.

Local authorities, community groups, regeneration agencies, and developers complete HAAs with English Heritage's support. HAAs may be conducted at three levels: Outline, Rapid, or Detailed. The choice depends on the area's size and estimated importance, what is threatened, what is of particular importance in defining character, and other circumstances.

The concept behind Outline and Rapid HAAs—collecting limited information across a large area that does not contain many known historic resources—provided evidence for generating basic survey data in an initial study, with further investigations in smaller areas where more detail is warranted. The Outline HAA is particularly relevant. It bases a day-long windshield survey on historic maps and cursory research and collects a level of data that appears to be roughly equivalent to character studies, though without the process of tracing extant buildings back through historical layers. The methodology for examining historic maps and targeting fieldwork is unknown; GIS is employed, but details about its use were not highlighted in reports. The methodological stages for developing an HAA also offered a useful model with detailed questions for research, fieldwork, and analysis.

### *Historic Urban Character Assessments*

Historic Urban Character Assessments (HUCAs) are products of “extensive urban surveys” undertaken in historic towns and villages across entire counties. The surveys collect data on setting, archaeology, history, and periods of physical development, and result in a proposed framework for future research. Archaeology, history, and historic urban character are placed in a GIS for mapping and analysis.

HUCAs are broken down in terms of countywide Historic Character Types (property types, also called HCTs) and evaluated for archaeological potential, historic environment value, and vulnerability. HCTs are a citywide typology identified by common historic functions or physical characteristics (typomorphology), which can then be mapped according to development period.

The list of HCTs provided a starting point in the development of the property typology for character studies, and HUCA maps of the development of common property types over time is similar to some results of character studies. The function and extent of GIS use were not found in research.

### *Setting of Heritage Assets*

“The Setting of Heritage Assets” is planning-oriented guidance that English Heritage issued as a draft in 2010. Intended to inform and facilitate planning efforts in areas immediately surrounding heritage assets, the document puts forth definitions of key concepts, discusses different types of value, and asks questions about how significant attributes contribute to significance.

The report provides a helpful semantic basis for character studies by differentiating between historic assets, setting, character, and context. Character is defined as the sum of all physical and temporal attributes in a historic place, while context is the relationship of the historic place with other places. The document argues that—though historic assets contribute to character—they should not be confused with character. This distinction, while generally important, takes center stage in neighborhoods that do not have many historic resources but still have character worth recording.

### Common Ground

Common Ground is a small NGO in England that focuses on celebrating place-based local distinctiveness and meaning. The organization produces maps and narratives that recognize highly localized culture and encourages the continuation of local festivals and historic practices. Two essays produced by Common Ground staff were referenced in case study research.

Like “The Setting of Heritage Assets” guidance discussed above, these essays helped frame the underlying goal of character studies by asserting that places do not have to be remarkable to be appreciated as special. This is particularly relevant in area plans that do not contain obvious historic resources, but still have recognizable local character that character studies seek to document. A broad definition of character that includes intangible factors and a focus on community engagement are not currently applicable to character studies, but pose an interesting challenge for related work in the future.

## Methodology

Character studies provide unique information on potential historic resources at the sub-block level to local planners and preservationists, using a digital platform for fast data collection and easy integration with planning systems. Efficiency, consistency, broad-brush accuracy, and compatibility with municipal planning data systems are the primary goals.

The methodology outlined here is designed to achieve these goals by quickly creating and synthesizing a broad array of information into a legible, dynamic spatial database to inform plans; collecting information that will help target and inform more detailed future historic research and designations; and engaging City staff and community members in identifying resources at the neighborhood and area levels. A geographic information system (GIS) is used as a platform for collection, analysis, and mapping of geographically linked data. City data systems typically employ GIS, and its use allows character study data to be smoothly integrated.

The methodology responds to and accommodates significant constraints, including short timelines and limited funding. Within the project, the biggest challenge is balancing planning needs for broad-brush portraits of area history, significance, and resources with the temptation—reinforced by preservation training—to document and analyze every property. An informed determination of scale and disciplined execution are critical to effectively survey and analyze planning areas at the sub-block level.

Collaboration is also key to the methodology. While character studies are carried out primarily by research teams—such as the University of Pennsylvania, in Philadelphia—they include City staff, preservation advocates, and community members. Character studies can and should be creatively integrated with the public engagement activities of a municipal planning department or historic preservation agency; they are designed to fit in with extant planning processes.<sup>4</sup> Developing a preservation primer (perhaps a section of a project website or blog) and using language that non-preservationists can understand are additional steps toward including diverse constituencies in the discussion.

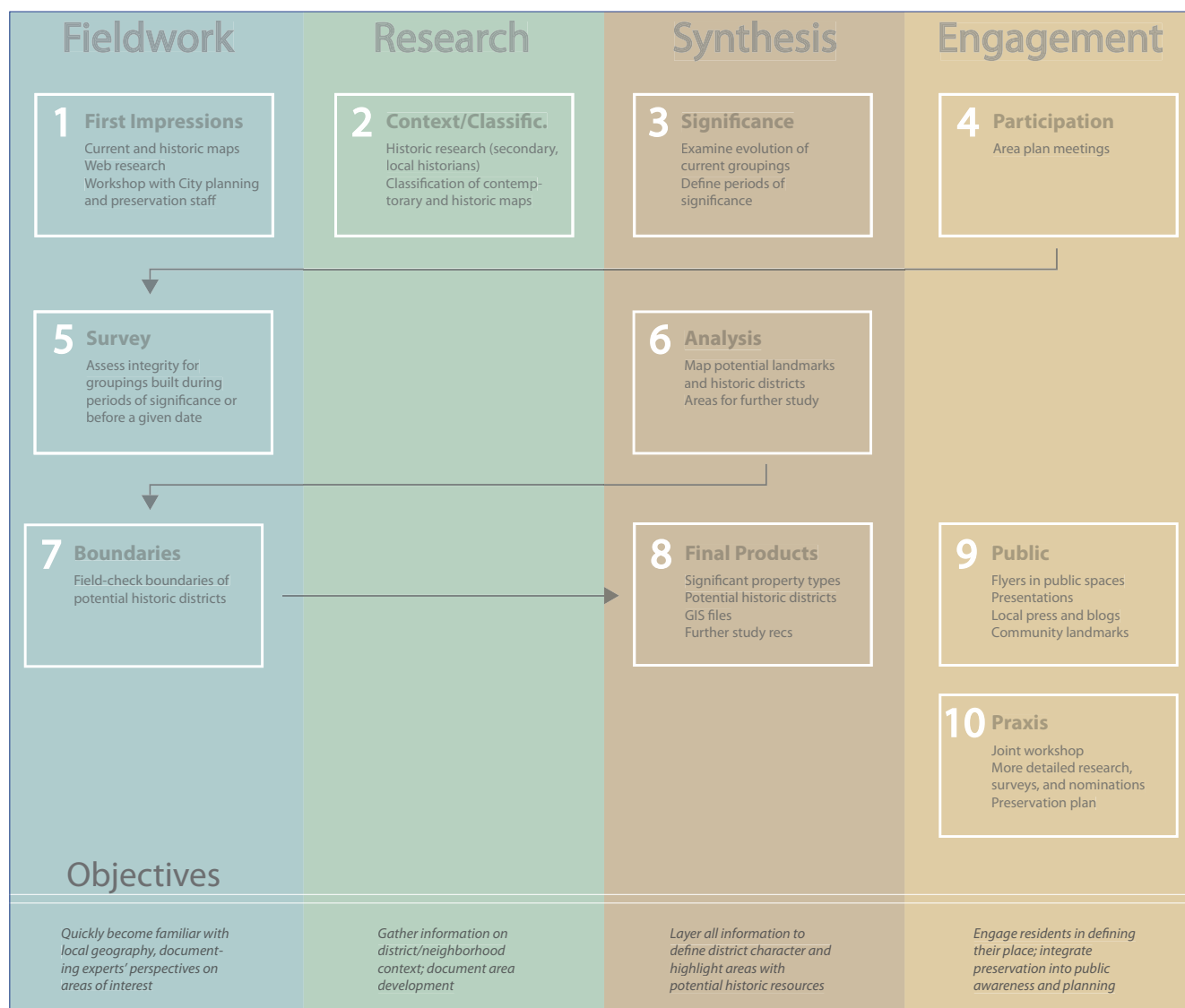
Though the methodology was developed with reference to the planning context in Philadelphia, many cities have an urgent need for knowledge about local landscapes and constrained resources for collecting this information. This methodology is intended to be general enough to apply to diverse cities and sufficiently detailed to be a useful guide. Its ten broad stages provide a sequential approach and goals that can be adapted to many unique landscapes and situations.

Student or volunteer surveyors are the primary implementers of character studies, with a paid part-time Project Coordinator overseeing the project, providing continuity in community relationships, and serving as liaison with City staff. The times given below are estimated for teams of 5 or 6 surveyors working one planning area; they are based on the pilot study in Philadelphia's 6-mile-square Lower Northeast Planning District. (See *Pilot Study* section for sample schedule and results.)

The methodology developed by the Character Study Project consists of ten steps, graphically summarized in Figure 3.1 and elaborated on below.

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<sup>4</sup> In Philadelphia, the character study methodology defers to existing ways of collecting public input; e.g., the District Planning process.



### 3.1 Character studies methodology

#### 1) First Impressions

**Goals** Develop a sense of local history and geography; collect information to direct initial research and survey work

**Time** 1-2 days

**Products** Map of potential landmarks and historic districts from City planning and preservation staff; major research themes

In this initial research stage, surveyors gather a limited array of broad, shallow data, or “skimmed” information. Institutional knowledge is collected from knowledgeable planners and preservationists from City staff and perhaps local nonprofits. A two- to three-hour workshop with these staff that includes marking up maps and taking close notes informs the research process and reveals historical themes, including cultural and social significance; and areas of interest that might otherwise require extensive research to discover. This information on “properties of interest” is transferred to a GIS layer.

Other work may include:

- Examination of the area in Bing Live Maps, Google Maps, and/or Google Earth
- Review of available historic maps
- Quick review of previous surveys, existing reports, historic designation reports, and other easily obtained secondary-source documentation

At the end of this stage, surveyors convene to discuss findings, particularly typical and unusual property types, character-defining features, and themes for research.

## 2) Context/Classification

Goal	Gather and synthesize information on area development and context
Time	3-5 days for classification; 3-5 days for historic research, if no historic context statement exists
Products	Rapid historic context statement, if necessary; building typology; maps showing evolution of contemporary landscape; quick graphic representation of findings to inform community meeting

The components in this stage gather and synthesize information into a concise, useful form.

If a historic context of the planning area does not already exist, a “rapid” historic context statement (Rapid HCS) is drafted to provide a short narrative history covering important developments and themes. Research for the Rapid HCS may include secondary sources, local newspapers, and historic maps and photographs; area historians and local libraries should be consulted early on. Primary sources may be necessary in some places with little secondary documentation, but research should not be exhaustive. The themes identified in the Rapid HCS will guide the identification of periods of significance and thus survey work. Broad historical themes should be tied into a citywide historic context statement, if one exists.

The other task involves mapping the current form of the built environment and its evolution. Surveyors examine Bing Live Maps or Google Earth 3D and note adjacent parcels with similar character—form, lot position, etc. Using a GIS program, these properties are merged into groupings that provide a realistic scale for tracking changes in form over time. Groupings may contain several parcels or an entire block-face, and are classified by form according to a locally specific typology of physical character. Entire blocks with similar development forms should be classified by block-face to allow different integrity ratings. Surveyors may add a “second look” note when a grouping type is unclear or contains a property that appears significantly older or is otherwise distinctive; these properties are added to the later survey map. (See *Appendix D: Pilot Material* for brief guidelines on grouping and classifying properties.)

Working backwards from the present, surveyors examine historic maps of the area to ascertain when each grouping appeared in its current form (Figures 3.6-3.8). The dates and intervals of the maps used should be determined in conjunction with the district’s known history and historical research. Ideally, these maps are digitized and georeferenced. Consulting paper maps is also possible, though more time-consuming; the time required for this task depends on the number and format of historic maps.

A GIS is used as the primary information container and analytical tool for classification, with planning shapefiles as a base. The task does not require extensive preexisting knowledge of ArcMap or other GIS programs, though mid- to high-level familiarity with computers and cartographic programs is helpful. (See Digital Tools in the *Methodology Elements* section for more information.) If reliable information about construction dates is available, this step may be streamlined significantly.





3.2 Sample block in Frankford (2010)



3.3 Parcels and groupings



3.4 Groupings classified by typology

### 3.5 Property Typology for Pilot Study

#### Residential

- 10 Traditional rowhouses
- 11 Twins
- 12 Traditional detached
- 13 Traditional multifamily
- 14 Contemporary rowhouses
- 15 Contemporary duplex
- 16 Contemporary detached
- 17 Contemporary multifamily
- 18 Multiple types of residential development

#### Commercial

- 20 Traditional commercial
- 21 Mixed-use

- 22 Auto-oriented commercial

#### Institutional

- 30 Religious buildings
- 31 Government/civic buildings
- 32 School
- 33 Health-related buildings

#### Industrial

- 40 Traditional industrial
- 41 Contemporary industrial
- 42 Transportation-related development (depots, train stations); infrastructure; utilities

#### Open Space

- 50 Park, playground, cemetery

#### Undeveloped

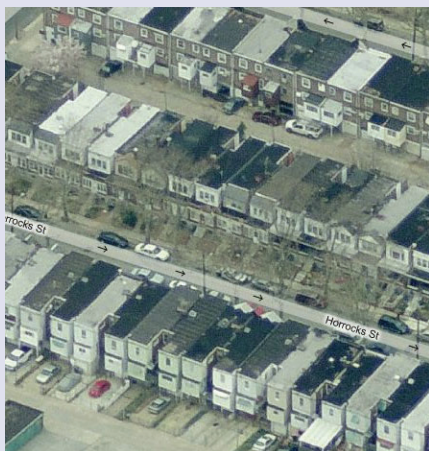
- 60 Not developed
- 61 Parking lots (not associated with any buildings)

#### Mixed

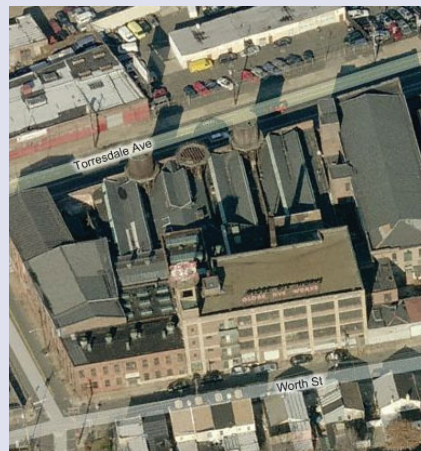
- 70 Multiple development forms; no clear groupings

#### New

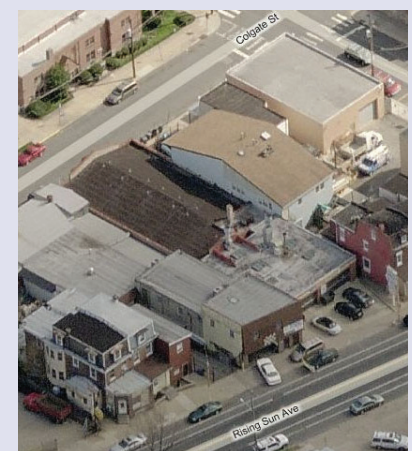
- 80 New development noted in survey (originally misclassified)



Contemporary rowhouse (#14)



Traditional industrial (#40)



Mixed forms (#70)





3.6-3.8 These historic maps and corresponding GIS polygons show the origins of the built environment, from 1929 (left) to 1910 to 1895. Following the classification of contemporary groupings (Figures 3.2-3.5), surveyors use historic maps to determine when each grouping appeared in its current form.

### 3) Significance

Goal	Distill collected data to focus fieldwork
Time	1 day
Product	Periods of significance

In this stage, surveyors analyze the Rapid HCS and evolutionary maps to determine the period(s) of significance in the planning area. Maps that show groupings that developed during the periods of significance or before a given date are created.

During this stage, surveyors may lay the groundwork for public participation by helping to advertise public meetings, planning the preservation portion of the meetings, making contacts, and developing material for the information table. Useful material may include a brochure explaining the Character Study Project, a map showing the contemporary landscape's evolution, and a large blank map of the planning area for marking up.



#### 4) Participation

Goal Engage neighborhood residents in defining their place  
 Time 1 day preparation leading to public meeting  
 Product Map of potential historic resources from community members

Public participation is folded into meetings for area plans. A few brief questions at the beginning of the meeting about important places in the neighborhood (cultural, social, and historical landmarks), elements of local character, and significant events in local history can yield useful information.

Surveyors set up and staff a table with a map where community members can note local non-designated landmarks. This table can also include more information about character studies and a map showing results from the Significance stage. This map may also be used as a prompt in the group discussions to get people thinking about what a landmark means and how the district has developed. (See Engagement in the *Methodology Elements* section for more information.)

#### 5) Survey

Goal Refine understanding of landscape based on fieldwork  
 Time 2 days  
 Products Integrity maps; identification of areas and themes for further study

The Survey stage layers information from the first four stages to produce maps showing the integrity of potentially significant properties. The maps from stage 2 form the primary layer. Potential landmarks and areas of interest according to planning and preservation experts (stage 1) and community members (stage 4) are added to the primary layer. The remaining groupings are surveyed; planning fieldwork routes in advance may be helpful.

The goals of the survey are to:

- Quickly evaluate integrity of potentially significant groupings
- Propose areas for further study
- Map obvious landmark buildings
- Look for coherent historic districts or neighborhood conservation districts
- Correlate themes from the Rapid HCS with built evidence
- Check grouping classifications for accuracy

This information is collected in teams of 3 people in a car, optimally covering areas that the team members have classified. Prominent built features, patterns, and developments may be added to the Rapid HCS as a result of survey work.

#### 6) Analysis

Goals Map results; explain historic patterns and themes more substantially  
 Time 2 days  
 Products Maps showing form, development period, and integrity; list of areas for further study; list of areas that do not require further study; more thorough Rapid HCS

This stage of research can be completed concurrently with the Boundaries stage. It should be used as necessary to analyze and explain observed patterns and landscapes.

However, it is important to remember that this survey work is largely preliminary. While intended to capture the overall spirit and elements of a place, it is not expected to be comprehensive. Thus, simply identifying gaps in knowledge and outlining recommended future work will be appropriate in many circumstances.

## 7) Boundaries

Goal	Refine potential historic districts identified in Survey stage
Time	1-2 days, dependent on project timeline and resources; may occur as follow-up to character studies
Product	More accurate and detailed maps of potential historic districts

This stage is dependent on time and funding; it may be completed at a later date by persons other than the surveyors. This survey work is completed by car or on foot and results in maps clearly showing potential historic district boundaries. Contributing and non-contributing properties may be tentatively marked as a guide for future survey efforts, both in terms of specific work and to assist in planning scope.

## 8) Final Products

Goal	Develop a more complete Rapid HCS using information collected during Survey stage (and potentially Analysis and Boundaries stages); produce information for final handoff to City
Time	1 week, including preparation, meeting, and revisions
Products	Project summary; Rapid HCS; analysis maps and GIS files; recommendations for further study; final presentation to stakeholders

This stage takes the initial synthesis and reworks it to include new information from subsequent stages. This process can be done first by individual surveyors and then in the larger group to ensure that all viewpoints and details are captured.

The following overarching questions should be addressed in narrative and graphics:

- How did the place/landscape develop?
- What themes, periods, and stories are important? Why?
- How readable/legible are they? Which elements survive from each period? What level of integrity do they have?
- What are defining characteristics of the place?
- Which areas should be more closely studied? Which do not require further study?

Products of this stage include a short project summary, the Rapid HCS, GIS maps and files, clearly outlined gaps in knowledge and recommended future research, and clear graphic representations of significant information. Potentially historic buildings, groupings, and districts should be highlighted. Conclusions should be distilled and condensed into concise, easily-understood graphics and narratives.

A presentation to City planners and preservationists and staff from the local preservation organization(s) is followed by revisions. Clean GIS datasets are given to City planning and preservation departments. Additionally, an appropriate archive should be determined for any historical material collected.

## 9) Public

Goal	Begin to develop broader public support for historic preservation/neighborhood preservation
Time	1 week or ongoing, with scattered events
Products	Flyers, posters, blog posts, articles, community presentations

This stage consists of community-level follow up. While not essential to inform area plans regarding historic resources, dissemination encourages public support of preservation and builds momentum for follow-up research and survey. Dissemination can involve a range of publicity and educational items and events. Graphic items should have a clear, compelling graphic format and very brief narrative; presentations should be brief and focus on results and discussions about future neighborhood preservation work.

Potential dissemination methods include:

- Flyers, posters, and broadsheets on the street, in libraries, in coffee shops, on public bulletin boards, and in other public areas
- Blog posts, if a project blog has been maintained
- Local news articles and website links
- Exhibitions and/or presentations at local libraries
- Exhibitions at local coffee shops
- Community meetings
- Bus station displays

## 10) Praxis

Goals	Integrate historic preservation into public consciousness and make it part of planning and community decision-making
Time	Ongoing
Products	Area plans and other plans that consider preservation as an important element; more community engagement; more research and designations of historic properties; greater recognition of neighborhood character among residents, planners, community organizations, and developers

This stage transitions between the well-defined Character Study Project and the ongoing process of recording and preserving historic resources and neighborhood character. It includes some additional work by surveyors and City stakeholders, as well as opportunities for participation by the broader community.

Soon after the character study for a planning area is completed, a joint workshop should be scheduled with surveyors and City planning and preservation staff. Together, participants should assess vulnerability, tolerance, and capacity for change in historic neighborhoods and draft strategies and principles for dealing with sensitive historic areas in a planning context. A similar but shorter discussion could also take place during the presentation in stage 6 (Analysis), if a full-fledged workshop is not possible.

City staff should encourage preservation organizations and community members to build on the broad foundation laid by character studies. Additional research and more detailed survey work can lead to a better understanding of place, as well as potential designation at the local, state, or national levels and eligibility for preservation incentives. This work can and should include more extensive community outreach and education about preservation and local history.

Finally, relationships should be maintained with interested community members. Local residents can contribute to knowledge of local history, help to rally and organize neighbors to preserve their neighborhood, and advocate for preservation initiatives at both neighborhood and citywide scales.

## Methodology Elements

This section elaborates on several prominent elements of the character studies methodology. More in-depth discussions can be found in *Appendices A and B*.

### Historic Context Statements

A historic context statement describes how a place or theme evolved over time, tying diverse aspects of history, architecture, archaeology, engineering, and culture to the contemporary built environment. One or more context statements usually preface historic resource surveys, placing resources within a larger story or stories and helping ensure that properties representing significant aspects of an area's history are preserved. In explaining the patterns and layers of history—periods of time, technological innovations, economic trends, cultural nodes, and more—a context statement allows properties to be evaluated in terms of their significance within larger developments and in relation to similar properties in the area or elsewhere in the city. Context statements can focus on a geographic area, time period, or particular theme, such as transportation or postwar residential development.

Historic context statements are tied to tangible resources and landscapes through the concept of property type: properties with common physical characteristics or associative attributes related to a particular period, development type, and/or style. The Secretary of the Interior's Guidelines for Preservation Planning state, "Each of the contexts...should be developed to the point of identifying important property types to be useful in later preservation decision-making."

Though context statements are generally narrative documents, SurveyLA has developed 10 historic context tables that provide a thematic framework for categorizing and evaluating properties. Each context table includes multiple sub-contexts, themes, sub-themes, property types, and property sub-types that hone the focus from broad contexts like industrial development to property sub-types like metal shops and oil company offices. Each table establishes specific eligibility standards.

Character studies use historic context statements as a tool to guide survey work and enable informed comparisons within geographic areas and across citywide themes. Context statements produced for each planning area highlight important themes and historical developments, while a citywide historic context statement offers a larger narrative. Area contexts enable surveyors to quickly assess whether blocks and larger areas are significantly related to local development. These should be explicitly connected to citywide and thematic contexts to (1) allow efficient assessment of potential thematic significance and (2) help readers understand how neighborhoods developed in relation to the entire city and how national and citywide trends played out at a local level.

The character studies timeline requires quick, targeted work on context statements. Area contexts are necessarily brief and should be qualified as rapid historic context statements. They do not employ exhaustive research, instead relying on secondary sources and easily accessible primary sources. Though their primary function is to direct survey work, Rapid HCS can serve, secondarily, as foundations for future research by architectural historians, preservationists, and other interested groups and citizens.



Thematic context statements identify common trends between districts and enable significant resources and areas to be recognized across a town, city, or region. Yet it may be impossible to complete context statements for every important theme before character study work begins. In that case, a framework of context tables similar to SurveyLA is appropriate. The tables should provide basic information about chronological periods, themes, and associated property types, with large-scale character-defining features noted. They should be expanded to include more detail on evaluation criteria, character-defining features, and eligibility standards, in conjunction with more detailed survey work or as time and funds allow. These should be developed by a group of experts in local history, architecture, and planning. The tables can link historic events, patterns, and trends with the built environment, allowing quick evaluations of significance at the sub-block level.

## Digital Tools

Character studies rely on a broader scale of investigation—sub-block, multi-parcel groupings—and a modest array of digital tools to produce effective results. Contemporary digital maps are classified according to development form, then layered with information from historic maps to track the evolution of the current landscape and target fieldwork. A Geographic Information Systems (GIS) is used to collect and analyze geographically linked data and generate maps during the survey; it then produces data that can be flexibly queried by City planning and preservation departments and integrated into complex decisions.

Free, easily accessed online maps allow surveyors to note, group, and classify similar development forms in the contemporary landscape. Such maps avoid time-consuming fieldwork; allow building forms to be evaluated from the air rather than only the street-level façade; and cut the labor required by half, as surveyors can tackle large parts of planning areas by themselves. Bing Live Maps ([maps.live.com](http://maps.live.com)) offer a 45-degree bird's eye view produced by the Pictometry International Corporation, with reasonably current maps available for most cities and regions. Some city governments may purchase imagery from Pictometry that is higher-resolution and more up-to-date, but the free online version is adequate for places without recent large-scale changes in the built environment.

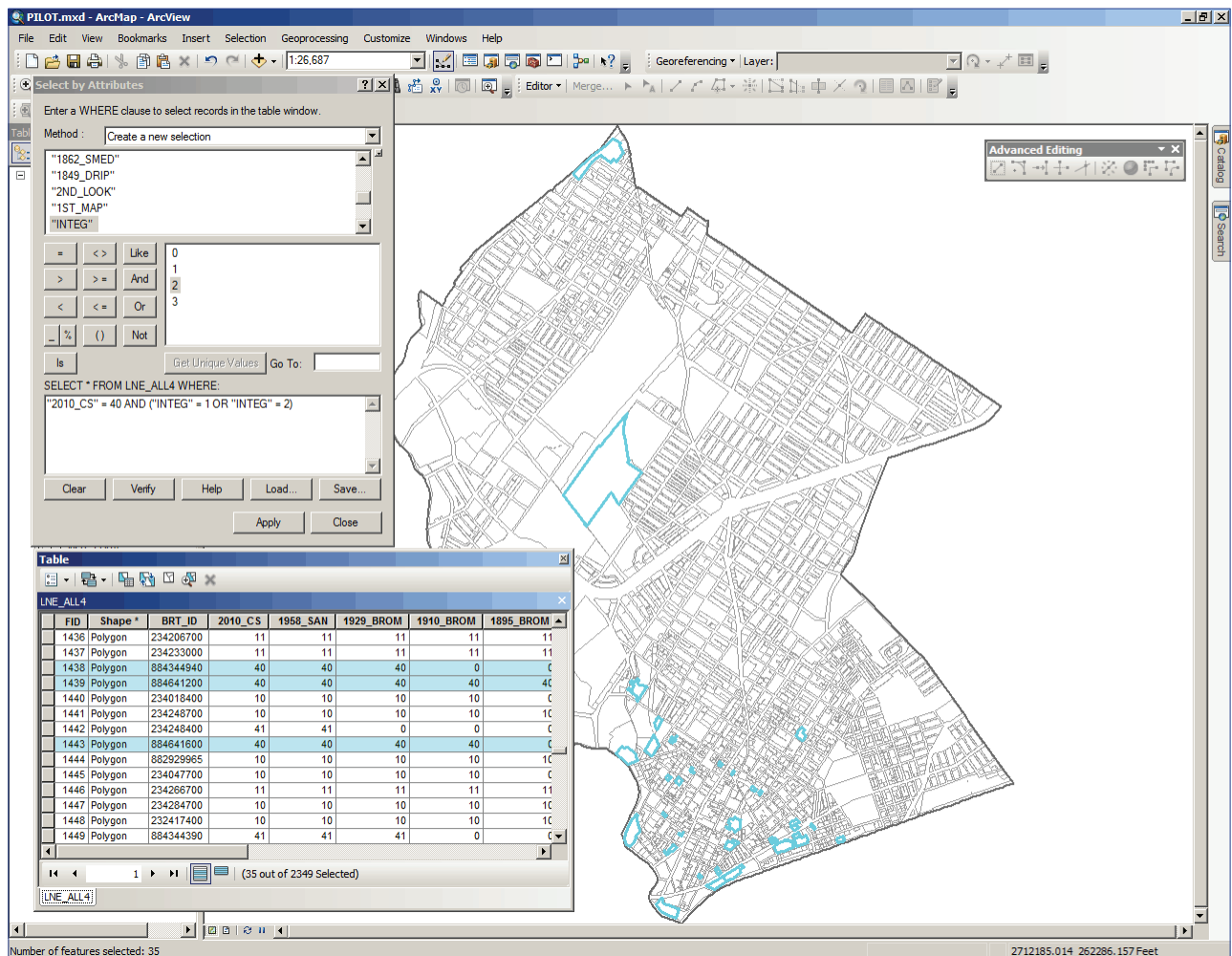
GIS is the other critical tool. It plays two parts: (1) allowing complex analysis and mapping during the survey and (2) ensuring that data produced by the survey is compatible with planning and preservation databases. A character study should use a parcel shapefile from the City planning department as the working layer. Surveyors use the Merge function to combine adjacent parcels with similar contemporary development forms into groupings, then classify the groupings in a “Current Form” attribute field. Additional attribute fields are used to enter identical information from historic maps and track the evolution of the current landscape (Figure 4.1). After fieldwork, integrity ratings are entered into a new attribute field.

The resulting shapefile includes information on the planning area's contemporary form, approximate development periods, and integrity. It can be easily analyzed for individual classifications (such as traditional detached residential, properties developed in the late 19<sup>th</sup> century, or high integrity) or combinations of several attributes using the Field Calculator function in ArcMap or its equivalent in another GIS program (Figure 4.2).

GIS also enables more nuanced, powerful analysis of concentrations of grouping age, typologies, integrity, and combinations of these attributes with regard to other factors such as development pressure. Drawing information about these relationships can assist planners in analyzing complex situations and help target preservation efforts more effectively.

### 4.1 GIS Attribute Fields for Pilot Study

Field Name	Field Contents	Data Source
PROPTYPE	Property (grouping) type	Classification from Bing Live Maps
CORR_TYPE	Corrected property type	Field survey
SEC_LOOK	"Second look" groupings	Classification from Bing Live Maps (unclear or notable)
PHC_PCPC	Properties of interest	Initial meeting with City staff
FRST_MAP	Map where grouping first appeared	Classification from historic maps
POS	Period of significance, if applicable	Rapid historic context statement
INTEG	Integrity	Field survey
PTNTL	Potential for historic status	Field survey
NOTES	Notes	Any



4.2 In this window, all traditional industrial groupings (#40) with high or medium integrity are highlighted

## Field Survey

A windshield survey is used to rate the integrity of groupings that developed during defined periods of significance or before a given date, as well as “properties of interest” recommended for a closer look by planners, preservationists, and community members and “second look” properties called out by surveyors during classification. It is completed by small teams of surveyors.

### *Integrity*

The Secretary of the Interior defines integrity through seven aspects: location, setting, design, materials, workmanship, feeling, and association. The field survey primarily gauges integrity of setting, design, and material, three aspects that can be easily and quickly identified for entire groupings from the public right-of-way. Integrity is rated on a simple low/medium/high scale, yielding a fast process and easily readable color-coded map.

Setting is the physical environment of a grouping/property that illustrates the character of the place. Integrity of setting rates whether a grouping appears to have the same surroundings now that it had when it originally developed, or if the surroundings have been altered significantly through demolition or new construction. Integrity of setting can be partially determined through reference to the development periods of surrounding groupings on the survey map.

Design equals the elements that constitute the form, structure, and style of a grouping/property. Integrity of design rates whether most of the properties in a grouping appear to have the same design as when they originally developed, or if they have been changed through alterations or additions to the form or changes of style. However, the windshield survey will not highlight situations in which groupings were convincingly altered as a whole to reflect a different historical period.

Materials are the physical elements in a grouping/property. Integrity of materials rates whether most of the properties in a grouping appear to have the same materials as when they originally developed, or whether they have been altered through new siding (e.g., stucco) and new windows. If most of the properties in a grouping have new windows but other materials appear to be original, the grouping should be rated as having material integrity.

If a grouping appears to have all three aspects of integrity—setting, design, and materials—it likely has high integrity (Figure 4.3). If a grouping has two of the three, it likely has medium integrity. If a grouping has only one aspect of integrity, it likely has low integrity (Figure 4.4). However, surveyors should use their best judgment to make exceptions when a grouping or property appears highly significant due to age, architecture, or another outstanding factor.

Groupings should be rated according to the majority of the included properties (approximately 75 percent). Surveyors should not spend much time on calculation. If in doubt about integrity level, a grouping should be “rounded up” to the higher level to reduce the risk of potential historic resources being passed over because of a snap judgment.

### *Logistics*

The field survey is a simple process, but it requires some preparation to go smoothly. Large maps of the planning area that clearly show groupings make orientation easier. Contrasting highlighter colors are used to rate high, medium, and low integrity.



4.3 Part of high-integrity grouping with intact setting, design, and materials



4.4 Low-integrity grouping with replacement siding (materials) and infilled porches (design).

Three or four surveyors comprise each survey team. Roles include driver, caller, and mapper. While the driver focuses on safe navigation, the caller and mapper determine the integrity of groupings and the mapper marks the map. In a four-person team, the caller may double as navigator, with two mappers who rate and map integrity of the left and right sides of the street. This model reduces the need for “second look” drive-bys.

If the planning area has one-way streets or irregularly distributed groupings to be surveyed, it can be worthwhile to plan a general route for survey.

See *Appendix D: Pilot Materials* for sample field survey materials.

## Engagement

Surveying the built character of a neighborhood, planning area, or entire city is a monumental effort that can impact short- and long-term plans and establish a foundation for future preservation work. A limited public participation process helps accomplish the first goal of character studies—to create useful data on potential historic resources—by identifying landmarks that might otherwise slip through the cracks of rapid classification and assessment. Benefits to community members include knowledge about the goals of character studies and preservation and increased familiarity with language and concepts to describe their neighborhoods. However, public participation is not a foundational aspect of the character studies framework, and its inclusion and form are predicated on local circumstances. (See *Appendix B: Engagement* for detailed analysis of engagement.)

Three types of public participation are recommended for character studies, where appropriate:

1. Research meetings with individuals or small groups that have knowledge about local history and/or the contemporary local landscape
2. Opportunities for community members to identify community landmarks through the area plan process
3. Input from stakeholder group, by invitation (see *Partners*)

### 1. Research Meetings

Research meetings during the Context/Development stage can enable more thorough and efficient contextual research. In neighborhoods that have not been well-documented, local historical societies and historians may be able to fill in information gaps more efficiently than sifting through local newspapers and property records. The local preservation nonprofit may be able to collect this type of information through a program such as the Preservation Alliance's Pride of Place. (See *Philadelphia Planning Context* section.)

### 2. Area Plan Process

Planning processes can engage people who would not consider themselves preservationists, in addition to the preservation community. Combining the public processes for character studies and area plans promotes better incorporation of preservation into the planning process, avoids "meeting fatigue," and saves staff time on outreach and facilitation.

During the Participation stage, a few discussion questions at planning meetings address local landmarks and neighborhood character, and a table at the event provides additional information and allows interested residents to give more detailed answers. Participants are asked to identify community landmarks, places they take visitors, and directional markers in their neighborhood; this may be used as a warm-up exercise.

The Public stage of character studies can also be combined with the final area plan meeting to present results to the community. Dissemination is critical to gathering public support for preservation and helping to ensure that follow-up work happens.

### 3. Stakeholder Group

The stakeholder group provides feedback on larger questions, encourages attendance at public meetings, and builds on character studies' results. This group is composed of key individuals identified by the character studies team and City staff, and represents diverse organizations and interests. Group tasks balance a sense of real responsibility with necessary expediency, given character studies' quick timeframe. Depending on the local political context, the stakeholder group may be an important part of making character studies inclusive and effective; however, its approval should not be required.

Stakeholders' responsibilities may include:

- Participating in an online forum to discuss strategies and issues around character studies
- Attending area plan meetings
- Providing feedback on draft material
- Assisting in building relationships with local partners such as neighborhood historians and community organizations
- Helping to set priorities for follow-up actions and participating in those actions

The Project Coordinator builds relationships with planners, preservationists, community groups, and interested citizens, and is the primary coordinator of the stakeholder group.



## Philadelphia Planning Context

The character study framework grew from a local proposal and is rooted in Philadelphia's planning and political context. This section outlines elements of that context, which may be helpful in reflecting situations in other places.

Though the impetus for character studies came from the City of Philadelphia, preservation advocates have long recognized that a citywide preservation plan and historic resource survey were needed. In 2007, Philadelphia voters provided a mandate to reform the City's badly outdated Zoning Code, which was last updated in 1962. The City's comprehensive plan also dated from the early 1960s, and the development of a new comprehensive plan was soon prioritized as well. The comprehensive plan effort, called Philadelphia2035, produced a Citywide Vision in June 2011. The overarching vision will be translated to on-the-ground policies through 18 District Plans and parcel-level zoning remapping.

The new Zoning Code and comprehensive plan effort established frameworks that would shape the physical city for decades to come, and preservationists watched their development closely. Though Philadelphia's landscape is deeply historic, encompassing many periods of significance, a 2007 study by Emily T. Cooperman and Cory Kegerise reported that only 4 percent of the city had been surveyed for historic resources, and most surveys were completed in the 1980s or earlier. The vast majority of the city was undocumented with regard to historic buildings and landscapes. If these new planning frameworks did not include the unknown array of potential historic resources, many could be lost forever.

### Philadelphia Preservation Plan

In this context, the Preservation Alliance of Greater Philadelphia launched the Philadelphia Preservation Plan, consisting of three research efforts: a strategic preservation plan, local historic context statements, and a citywide historic resource survey (discussed in the *Case Studies* section).

#### *Preservation Plan*

The strategic preservation plan is still under development. *Historic Preservation in 2020: A Strategic Vision and Strategic Initiatives* (2009) established a framework for the plan and a Philadelphia-wide historic resource survey. The report articulated an ambitious vision: a diverse collection of appreciated neighborhoods and historic resources, informed and coordinated preservation infrastructure, and a preservation movement characterized by creative partnerships and a broad base of community support. It emphasized a broader scope for historic preservation, community engagement, and integration of preservation with planning. Character studies were mentioned briefly in *Historic Preservation in 2020* as a model effort.

A companion report by Randall Mason, "Survey of Citywide Preservation Planning in American Cities," argued for the inclusion of preservation as an important planning factor and outlined an ideal for citywide preservation planning. The report reported results from a survey of preservation plans in the 100 largest cities in the United States, summarizing four types of plans, common elements, and key variables.

### *Historic Context Statements*

The context statement effort was coordinated in 2008-09 by Dr. Emily T. Cooperman, along with sixteen locally knowledgeable historians. Their initial intent was to create thematic statements, but they decided that it would be more useful to develop a geographically focused historic context statement supplemented by thematic studies. An approach was proposed that consisted of a citywide overview, more detailed statements focused on concurrently developed neighborhood clusters (30 clusters of 2 to 3 neighborhoods), a series of citywide thematic statements, and supplementary cross-neighborhood studies. Together, the context statements would guide survey work by identifying central factors, themes, and periods of significance within neighborhoods and across the city.

The group produced an overview historic context statement for the city of Philadelphia, detailed context statements for two neighborhood clusters, and two thematic statements for industrial heritage and Modernism from 1945 to 1980. Members prioritized five other thematic contexts of immediate interest: rowhouses/attached houses, fraternal/social groups/institutional buildings, commercial buildings (with subtypes), resources associated with various ethnic communities, and institutional/“sanitary” landscapes. The overview context statement offers a concise, easily digestible history of Philadelphia’s development. However, its brevity precludes an important function: relating history to the built environment, particularly what remains today, via property types.

### *Historic Resource Surveys*

The historic resource surveys that are part of the Philadelphia Preservation Plan effort are discussed in detail in the *Case Studies* section.

## Penn Studio

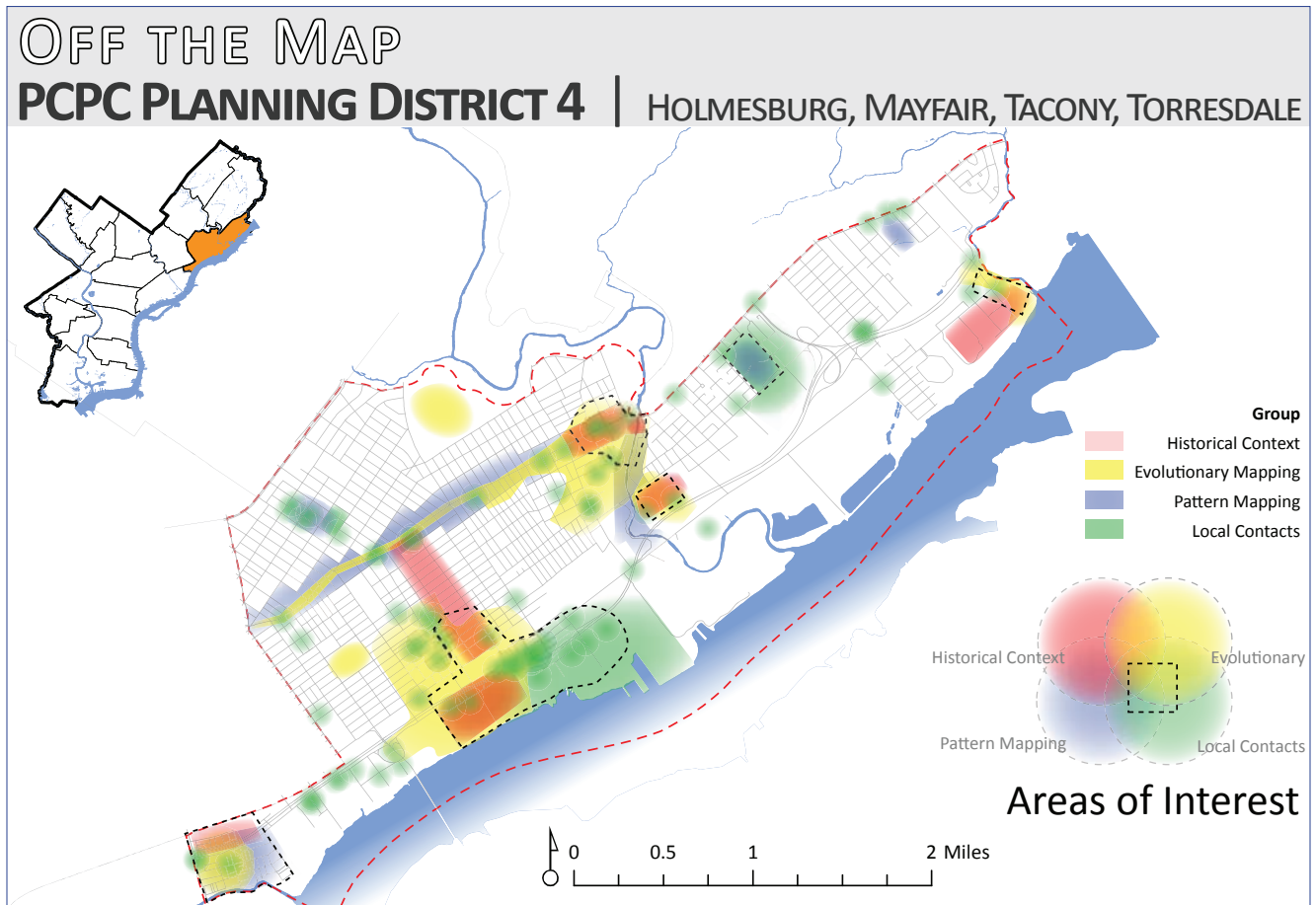
In fall 2010, the University of Pennsylvania’s Graduate Program in Historic Preservation organized a graduate studio that included a character studies test loosely based on the Preservation Alliance’s citywide survey concept. Over four weeks, Historic Preservation masters students tested a methodology in two Northeast Philadelphia planning districts that layered information from the contemporary landscape, historical atlases and research, and local contacts to target field surveys and recommend areas for further study. All information was synthesized in GIS.

Research on the districts’ evolution through archival data collection and digitization of historic maps yielded information on how physical growth patterns related to major historical themes. These conclusions guided the rest of the work: classification and mapping of building typologies across the district, windshield surveys, photography, and formal interviews with contacts from local community groups and informal conversations with residents and employees. All information was synthesized to highlight significant areas for further survey and potential preservation (Figure 5.1).

The students encountered several challenges. Local contacts provided by the Preservation Alliance were relatively few and occasionally hard to reach. Historic context researchers struggled to locate sources on local history. Creating and classifying building typology was a nuanced challenge, and the typology turned into a basic land-use map. In the bigger picture, the studies were initially intended to coincide with the first district plans to be developed; however, changes in Planning Commission priorities resulted in other districts being selected

for the first plans. Planners attended the studio’s final presentation but were not otherwise involved with the project.

The current character study methodology takes some streamlined elements of the 2010 test and adds other elements. Character studies now work at the grouping scale, a much more efficient way to collect data with some precision across a large area. They use GIS as the central data collection platform, employ municipal parcel shapefiles as the base information layer, and incorporate a hand-off of resulting data to the City. Instead of relying on potentially elusive local contacts, character studies are incorporated into existing public processes. They also engage City staff as key stakeholders who can pass on institutional knowledge and check preliminary conclusions. They utilize historic atlases for backward rather than progressive evolutionary mapping—a shorter process—and target fieldwork more precisely with a smaller dedicated group of surveyors working in a more concentrated period of time.



5.1 Map showing results of character studies test. Source: HSPV 701, University of Pennsylvania

## Philadelphia2035

The Philadelphia2035 comprehensive plan is designed to provide a municipal vision and policy road map for the next 25 years. The plan builds on local strengths like location, transportation and infrastructure connections, and cultural and built assets to propose priorities for public and private investment.

The Citywide Vision is an overarching policy document adopted by the City Planning Commission on June 7, 2011. It sketches 3 themes—THRIVE, CONNECT, and RENEW—then becomes incrementally more detailed with 9 plan elements, 25 overarching goals, 72 objectives, and many more phased strategies. (See *Appendix C: Philadelphia Planning Goals*.) As the next step in the comprehensive planning process, 18 District Plans will apply the Citywide Vision's ideas and goals to planning districts across the city (Figure 5.2). District Plans will be developed over 7 years and provide the foundation for a major outcome of the plan: zoning map revisions completed on a district-by-district basis.

Character studies were designed to integrate with Philadelphia2035 as a test case application. By providing block-level data about potential historic resources and neighborhood character across Philadelphia in a planning-friendly format, character studies will enable District Plans to leverage some of the city's major strengths—its historic neighborhoods and unique sense of place—in enhancing quality of life, strengthening the local economy, and making decisions about what areas can sustain new development and where targeted reinvestment can benefit existing fabric. A pilot character study was completed in the Lower Northeast Planning District in January 2012, and character studies for other District Plans are anticipated in the near future. (See *Pilot Study* section.)

The products of character studies in Philadelphia are straightforward: a brief account of how the district came to be what it is today, maps of contemporary neighborhood character and historical development, and analytical maps showing areas with significance, integrity, and potential historic resources. These outputs can, if integrated into the planning and zoning remapping process, accomplish a number of things:

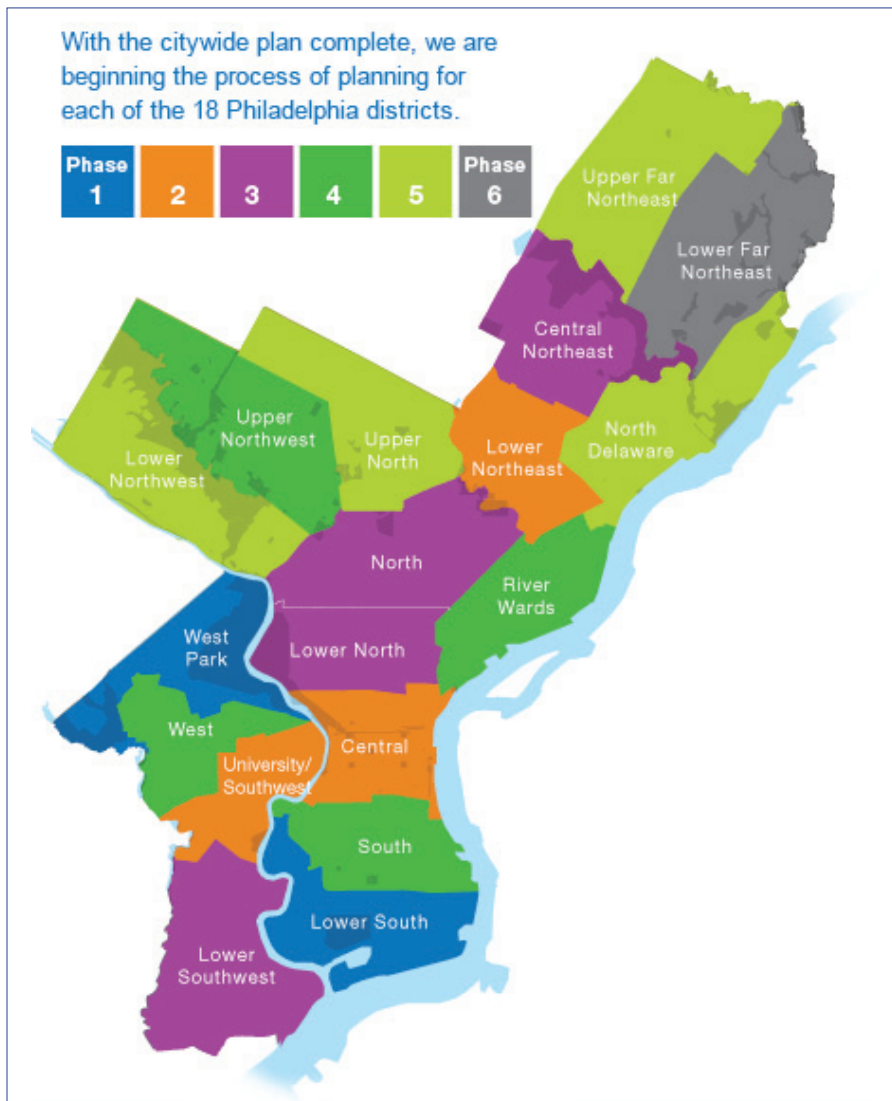
- Inform zoning remapping, highlighting areas with intact neighborhood character that can be reinforced by zoning and providing information about that character
- Identify areas with potential historic resources, where development proposals should receive more careful review
- Form the basis for neighborhood design guidelines for additions, alterations, and infill development
- Identify areas with vacant historic buildings that could be reused as mixed-use transit-oriented development, housing (affordable, senior, or other), industry, business, or for other uses
- Establish a baseline layer of information about the built landscape across the city, which can be used for identifying and prioritizing historic designation nominations
- Help enable rehabilitation and reuse of historic properties by encouraging historic designation in the National Register, which is linked to federal Historic Rehabilitation Tax Credits

## Pride of Place

The Preservation Alliance of Greater Philadelphia is currently implementing the Pride of Place program, which reaches out to local community groups and historical societies in planning districts with upcoming District Plans. It aims to encourage community members to

engage in the district planning process with full awareness of their neighborhoods, while building support for historic preservation. These goals are accomplished through basic education about what preservation is and asking groups to define their neighborhood, develop brief neighborhood histories, describe land use patterns and “sub-areas,” and identify non-designated local landmarks and potential historic districts. As an incentive, completed results may be used to apply for small or large grants from the Preservation Alliance. The Preservation Alliance hopes that the Pride of Place results will inform community input into District Plans.

The Pride of Place program offers a valuable partnership opportunity for character studies and serves as a model for preservation organizations in other towns and cities. Its results, particularly the neighborhood histories and community-generated landmark maps, can assist surveyors in gathering localized information quickly and efficiently. Though surveyors will not focus on individual resources, clusters of highlighted resources indicate areas of potential significance and integrity and add another layer of information to direct field surveys.



5.2 Planning district map. Source: Philadelphia City Planning Commission



## Pilot Study

A pilot study was conducted in Philadelphia over five days in January 2012 to test elements of the character studies methodology. The pilot study surveyed the Lower Northeast planning district, where the Planning Commission was simultaneously beginning to develop its next District Plan. The Lower Northeast occupies 5.9 square miles and has a varied history, with development spanning from the 17<sup>th</sup> century in Frankford to the mid-20<sup>th</sup> century north of Roosevelt Boulevard (Figures 6.1-6.2).

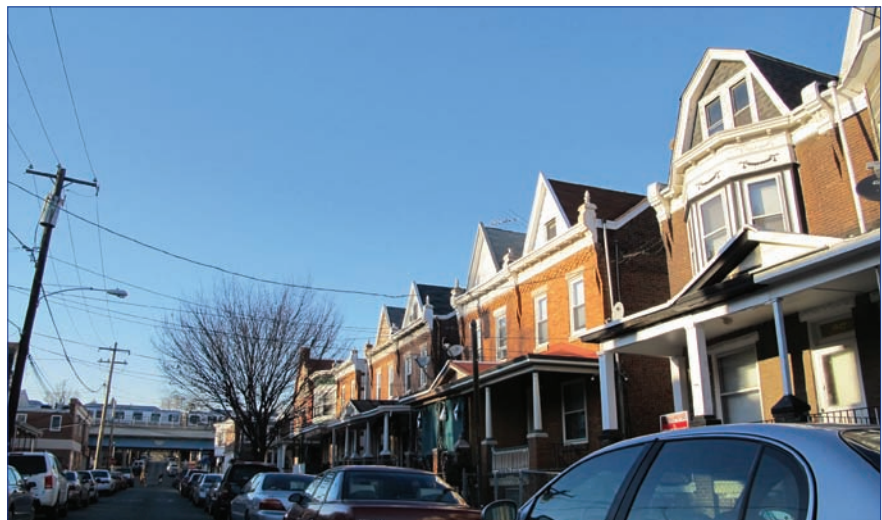
Relatively few historic resources have been designated in the Lower Northeast. The district contains 16 Philadelphia Register properties, most located near Tacony Creek on the district's western border; 1 National Historic Landmark District, the Friends Hospital (1813); and 12 National Register-listed schools located throughout the district. Eleven of the schools were built in the first decades of the 20<sup>th</sup> century, with seven constructed between 1923 and 1930.

The pilot study tested the efficacy of a central premise of character studies—that largely web-based data collection can quickly produce accurate information that yields useful analysis. It also checked the compatibility of character studies data with Philadelphia City Planning Commission data systems by creating and populating new data fields in a Philadelphia Water Department (PWD) parcel shapefile and spatially joining the resulting new file with the City's existing data. After the completion of the pilot, stakeholders from the Planning Commission, Historical Commission, Preservation Alliance, and private practice attended a workshop to give feedback on the pilot, fine-tune the methodology, and discuss implementation.

See *Appendix D: Pilot Materials* for materials used in the pilot study and the full array of maps produced.



6.1 Globe Dye Works sign



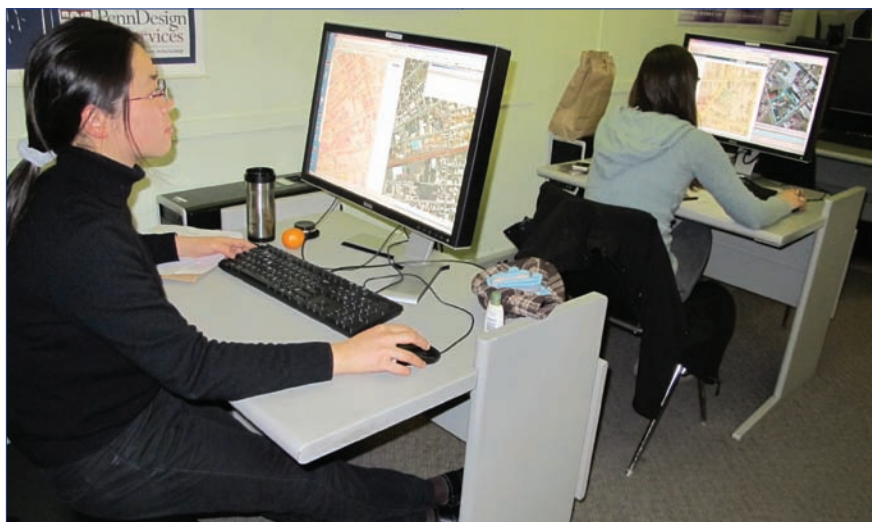
6.2 Block of high-integrity twins off Frankford Avenue

## Methodology

Survey and analytical work for the pilot study were carried out by Research Associate Cara Bertron and four University of Pennsylvania graduate students in Historic Preservation and Architecture who were knowledgeable about historical research, interpretation of historic architecture, and digital media applications. Using bird's-eye views from Bing Live Maps, surveyors merged 32,477 parcel polygons in the PWD shapefile with similar contemporary development forms into 2,349 groupings, which they then classified according to an established typology of physical character (see Classification System note below) (Figure 6.3). The groupings' approximate construction dates were determined and classified using eight historic maps from the Free Library of Philadelphia and PhilaGeoHistory: 1849, 1862, 1876, 1887, 1895, 1910, 1929, and 1958. All classification data was added to the attribute table of a GIS parcel shapefile in ArcMap 10 using the Editor function.

Historic context statements from the Planning Commission and Preservation Alliance were used to identify major themes in the district and define three periods of significance. After classification was complete, analysis in ArcMap was used to map groupings that first appeared during the periods of significance.

Two teams of two and three surveyors rated integrity for these groupings, as well as properties of interest noted by the district planner, Historical Commission staff, and Modern buildings photographer Betsy Manning (on Architectural Wallflowers, [deeperview.wordpress.com](http://deeperview.wordpress.com)). Surveyors rated 1,618 groupings containing 27,591 parcels for integrity. The surveys were conducted entirely from cars at speeds of 5 to 20 miles per hour (Figure 6.4). Some block-faces were viewed two or three times to ascertain the integrity of all properties. Civic, religious, and some industrial properties were given more leeway in integrity ratings, as they are more likely to be monumental buildings. Commercial properties' integrity ratings were heavily influenced by the integrity of upper stories, as ground-floor storefronts may be changed frequently to accommodate new commercial tenants. All groupings were given the benefit of the doubt in integrity ratings; if a grouping's integrity seemed to fall between two ratings, surveyors assigned the higher rating. Designated historic properties were not surveyed for integrity.



6.3 Surveyors completing the Context/Classification stage



6.4 Field survey

## 6.5 Pilot Study Schedule

Day	Time	Task
Day 1	10 a.m. - 12 p.m.	Get to know the district: Google Earth, Wikipedia, etc.
	1 p.m. - 3 p.m.	Workshop with PHC staff and planner to identify focus areas and resources
	3 p.m. - 5 p.m.	Database introduction and test blocks exercise
Day 2	9 a.m. - 12 p.m.	Classification of current and historic blocks (mapping)
	12 p.m. - 1 p.m.	Lunch meeting with review of work, questions, and feedback
	1 p.m. - 6 p.m.	Mapping
Day 3	9 a.m. - 5 p.m.	Mapping
Day 4	9 a.m. - 5 p.m.	Field survey
Day 5	9 a.m. - 5 p.m.	Field survey

### Schedule

Classification of the approximately 6-mile-square Lower Northeast planning district took roughly 80 person-hours (Figure 6.5). Field survey took about 64 person-hours; navigating convoluted one-way streets in the Frankford area added considerable time to initial estimates.

Immediate follow-up included mapping areas for further research and potential designation and outlining no-interest areas. Student surveyors provided feedback to the Research Associate on the pilot study process via email.

### Classification System

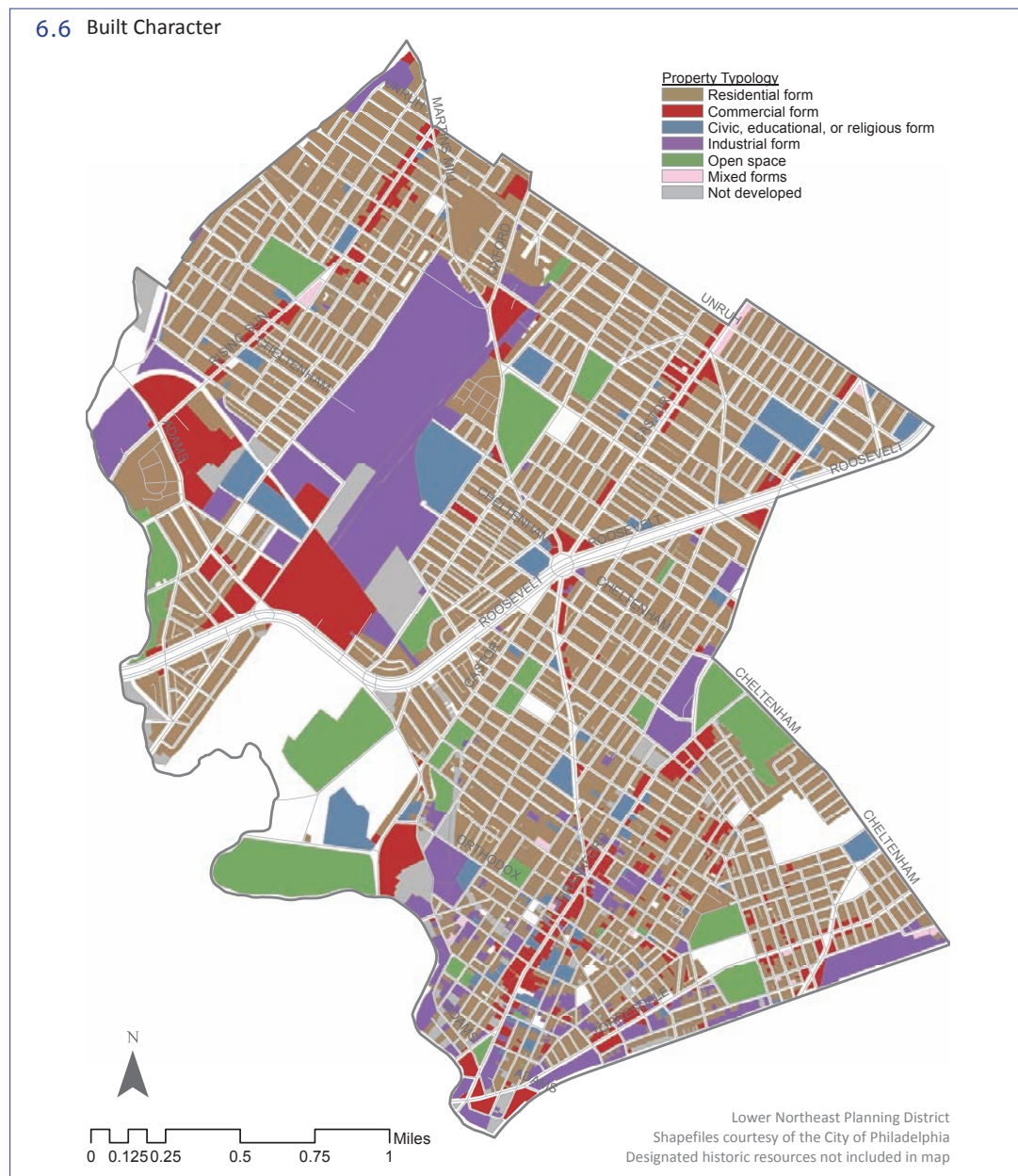
The pilot study sought to do three things: 1) establish the Lower Northeast's existing built character through classifying property typologies, 2) link that character to historical development patterns, and 3) rate the integrity of potentially significant groupings. Researchers sought a standardized typology for urban morphology from urban design literature, but did not find an applicable system. Thus, they developed a typology with basic property types that was checked and expanded with bird's-eye scans of the district (see *Appendix D: Pilot Material*). The focus was on capturing important distinctions in form while keeping the typology brief enough for easy, intuitive use. "Contemporary" property types were differentiated from "traditional" types by their orientation to and accommodation for automobiles, as well as features typical of automobile-oriented development: for example, contemporary rowhouses included rear driveways, garages, and small front yards. One property type (33—Health-related) was added during classification, and another was added during the field survey to note groupings that were classified but, on closer inspection, clearly constructed after the cut-off date of 1958 (80—New). See Critique, at end of this section, for discussion of an alternative typology.

The classification phase began with a group exercise to familiarize surveyors with the methodology and typology. Surveyors classified one block together, then worked individually to classify two additional test blocks. A group discussion followed.



Property Typology

Surveyors created and classified property typology for 2,349 groupings containing 32,477 properties with similar physical forms (Figure 6.6). These form-based groupings provide a sense of properties' historical use. Residential groupings dominate the district, with noticeably smaller groupings in the Frankford area. Commercial groupings line several commercial corridors: Frankford, Torresdale, Rising Sun, Oxford, and Castor avenues. Large new commercial developments sit in the western part of the district, their recent construction evidenced by the large grouping size. Many institutional properties are located along Frankford Avenue and, to a lesser degree, other commercial corridors, with relatively few in residential areas. Most industrial groupings are concentrated along historic and current rail corridors and Tacony Creek; however, smaller groupings are scattered throughout lower Frankford. Open spaces of varying sizes are located around the district.



### *Development Patterns*

The built character of the Lower Northeast reflects local history (Figure 6.7). Frankford, which began developing in the 17<sup>th</sup> century, has patchwork development patterns with smaller groupings and diverse adjacent uses (Figure 6.8). Development patterns are much more uniform northwest of the Frankford—Orthodox intersection, with more parcels in each grouping and fewer uses in a small area (Figure 6.9).

Web-based classification identified only 33 remaining pre-1862 groupings containing 226 properties. All of these groupings are located in Frankford, most below Orthodox, and some face side streets. The majority of these are residential, with one commercial, two civic/religious, and one industrial.

Much of the Frankford area was constructed between 1863 and 1895, and many late-19<sup>th</sup>-century properties remain, with a few larger contemporary cemeteries on the outskirts. Frankford Avenue, Penn, Kinsey, Tackawanna, and Worth have especially high concentrations of development from 1863 to 1876. Development is largely residential, with some commercial and industrial properties.

Between 1896 and 1910, some of the current landscape developed along Frankford Avenue and in clusters around Foulkrod, Haworth, and Leshar. The extension of horse-drawn trolley lines into the area in 1896 likely drove much of this development, which is mostly residential. This is the last era of small groupings, except for later infill in Frankford's constrained street grid.

A significant portion of the district south of Roosevelt Avenue developed between 1911 and 1929.<sup>5</sup> This period saw the construction of the Market-Frankford El (1915) and Roosevelt Boulevard (1914), two major advances in transportation. The densest new developments from this period are residential groupings between Cheltenham, Castor, and Orthodox, with scattered residential, commercial, and industrial development south of Orthodox.

Most of the land north of Roosevelt was built to its current form between 1930 and 1958; other groupings from the same era are scattered to the south.<sup>6</sup> Mid-century development above Roosevelt is predominantly residential, with some civic/religious groupings and a few industrial groupings. South of Roosevelt, development from this period is mostly residential, with some commercial groupings along Frankford Avenue and scattered industrial groupings.

Nearly 15 percent of the district's groupings containing 4.5 percent of the total properties (346 groupings with 1,513 properties) developed between 1958 and 2010. A few of these are new industrial or institutional groupings, but most are residential, commercial, or undeveloped (vacant lots or parking lots).

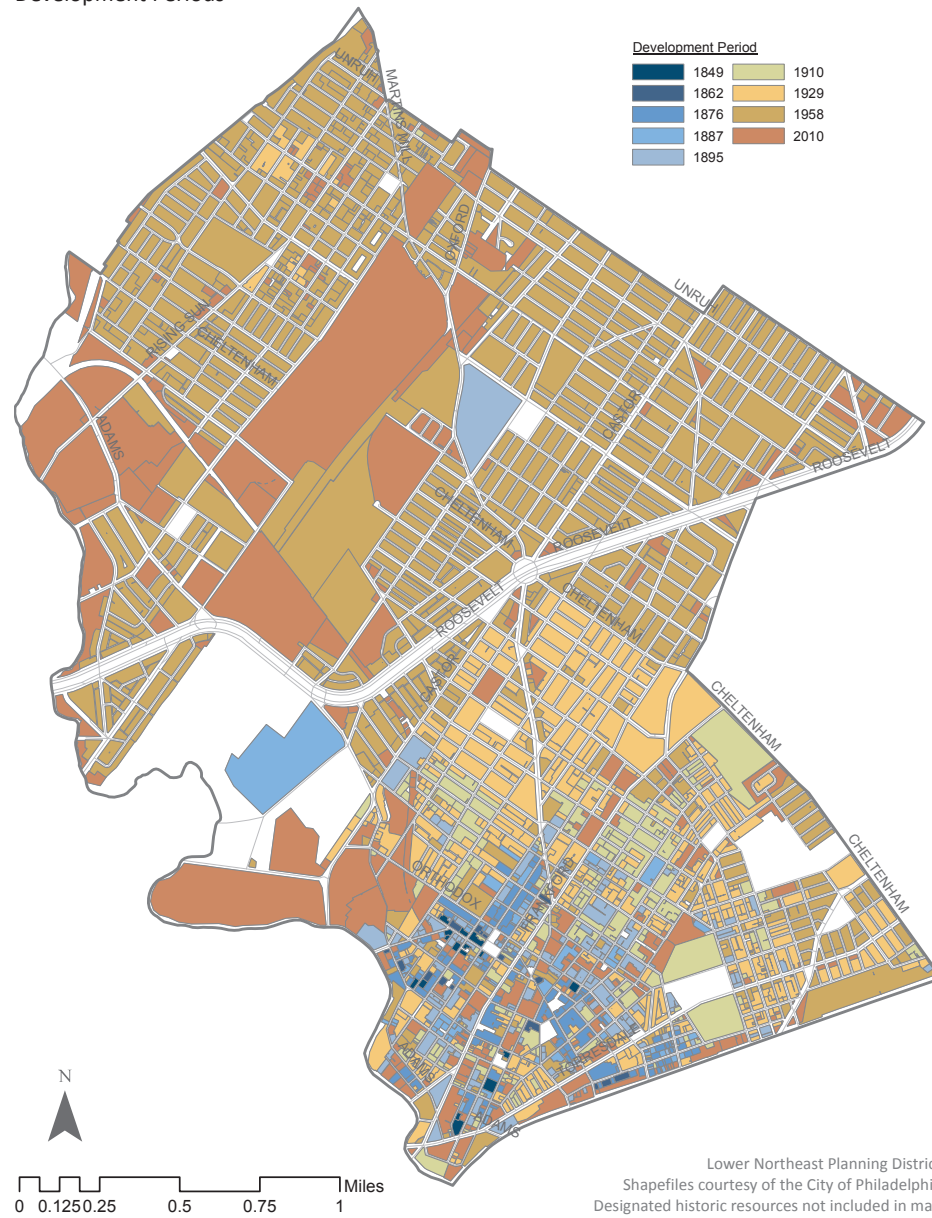
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<sup>5</sup> The 1929 Bromley map used to note development between 1910 and 1929 does not extend west past Castor Avenue.

<sup>6</sup> Sanborn maps from 1958 were used to track development from that period in most of the district. However, 1958 maps were not available to surveyors for classification in limited areas of upper Oxford Circle and Lawncrest. Sanborn maps from 1950-51 were used in the areas between Bustleton, Roosevelt, Knorr, and Magee; and Bingham, Tabor, Cheltenham, and the railroad corridor southeast of Allengrove.



### 6.7 Development Periods



6.8 Buildings south of Frankford Ave.



6.9 Mid-20th-century residential development north of Roosevelt Avenue

## Survey

In total, 1,711 groupings containing 28,331 properties were called out for field survey. Three periods of significance were defined based on context statements from the Planning Commission and the Preservation Alliance. The three periods of significance were 1862 and earlier, 1896 to 1929, and 1930 to 1958; 1,676 groupings (18,146 properties) first appeared during those periods. Twenty groupings with properties of interest were identified by City staff and others knowledgeable about the district; these groupings contained 63 properties total. Surveyors also called out 126 groupings (916 properties) for a “second look,” either because the property type was unclear during classification or the grouping appeared to contain a potential historic resource. Designated landmarks were excluded from the survey, even if they were called out by City staff or surveyors.

Due to time constraints, 93 groupings (770 properties) were not surveyed. Most of these groupings (74) were located north of Roosevelt Avenue, and 60 were included in the third period of significance (1930 to 1958). Sixteen groupings from the second period of significance (1896 to 1929) were not surveyed, along with five groupings noted by City staff and 20 “second look” properties. Two additional groupings were not visible from public rights-of-way.

The survey also field-checked the accuracy of web-based classification. Thirty-two of 1,618 surveyed groupings, or 1.9 percent, were re-classified as a result of survey work.

## Integrity

As discussed in the *Methodology Elements* Field Survey section, surveyors used three aspects—design, materials, and setting—to rate the integrity of groupings (Figure 6.10). Integrity was rated according to roughly 75 percent of the properties in a grouping. High-integrity groupings had all three aspects intact, medium-integrity groupings had two of the three aspects intact, and low-integrity groupings had one or none of the aspects intact. As noted, civic, religious, and commercial properties were given more latitude in higher integrity ratings. For many blocks in the district that developed in a single period, the parcels on entire blocks were combined in single groupings during classification. This meant that block-faces with different integrity ratings could not be separated. In these cases, the block was assigned the highest integrity rating of all block-faces; consequently, the number of medium- and low-integrity groupings is underrepresented.

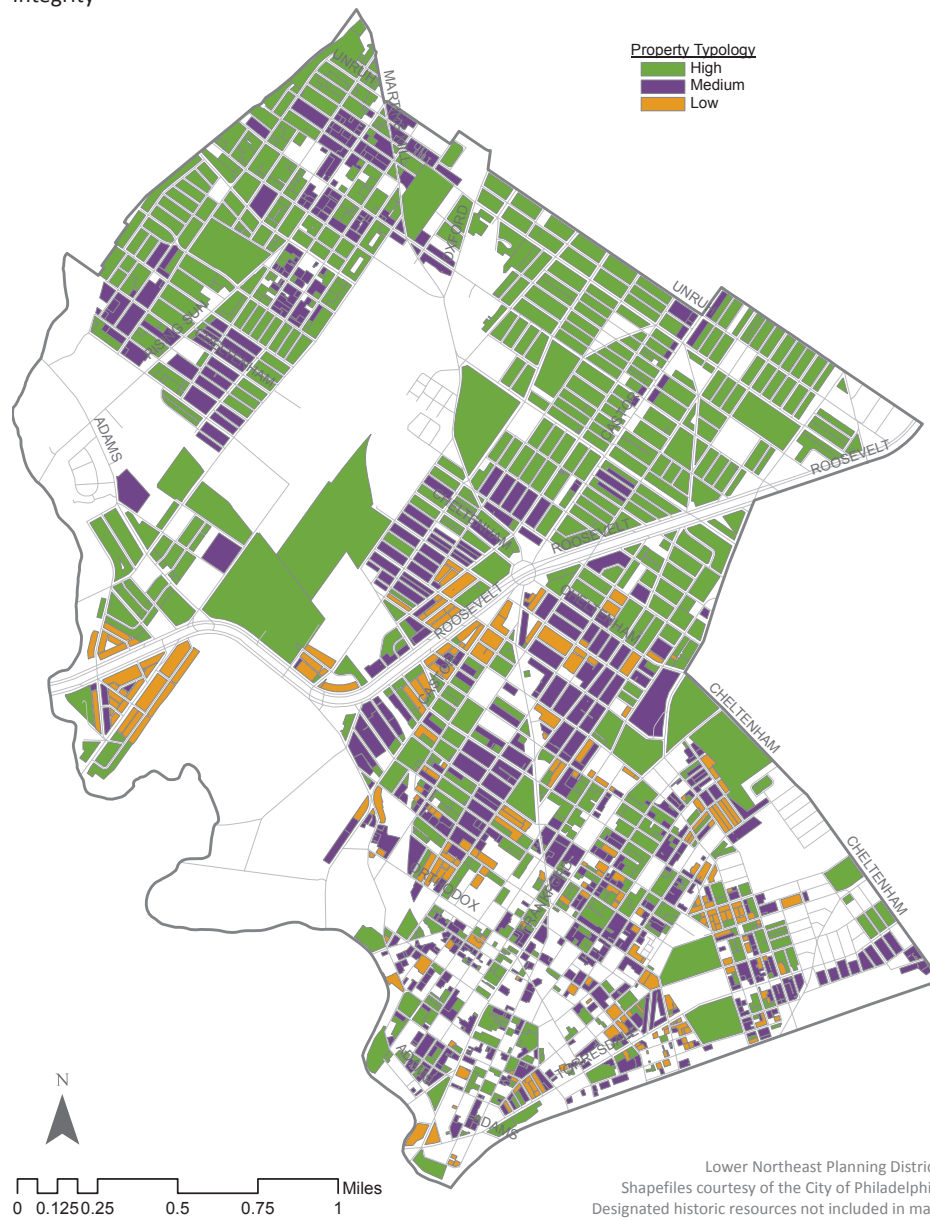
Over 750 groupings (753, or 46.5%) have high integrity; these contain 15,548 properties. Many of these groupings are mid-century residential areas north of Roosevelt Boulevard (Figure 6.11). Earlier commercial and institutional properties along Frankford Avenue and other commercial corridors also form noticeable concentrations.

The district has 612 groupings with medium integrity (37.8%), including early- and mid-20<sup>th</sup> century residential areas surrounding Oxford Circle, north of Roosevelt, and at the east end of Torresdale. Other medium-integrity groupings include commercial groupings along Frankford Avenue and residential and industrial groupings scattered throughout Frankford (Figure 6.12). Medium-integrity groupings contain 8,943 properties.

About 250 groupings (246, or 15.2%) were rated as having low integrity (Figure 6.13). The vast majority of low-integrity groupings are residential, with a few industrial and commercial properties. The groupings are largely located in clusters below Roosevelt, with a concentration of mid-century groupings at the west edge of the district and east along Roosevelt. Torresdale, Oakland, and Wakeling all have clusters of low-integrity groupings at various locations. Low-integrity groupings contain 3,100 properties.



6.10 Integrity



6.11 Grouping with high integrity



6.12 Grouping with medium integrity



6.13 Grouping with low integrity

## Analysis

The pilot study yielded a broad temporal and geographic view of 263 groupings (2,463 properties) containing potential historic resources.<sup>7</sup> These groupings are a diverse set. Most include properties that potentially could be designated as a historic district, due to the grouping-oriented classification and integrity rating systems, but some include one or more properties that are potential individual landmarks. Criteria were as follows:

Development Period	Required Integrity	# Pot. Historic Groupings
Before 1862	Medium or high	29
1896 – 1929	High	214
<b>Other Criteria</b>		
Noted by City staff/other	Medium or high	16
Called out as having potential by surveyor	Medium or high	12

In ArcMap, this was executed through the Select by Attribute function, with this equation:

```
( "POS" = 3 AND "PHC_PCPC" = 1 AND "INTEG" = 1) OR (
"POS" = 1 AND ( "INTEG" = 1 OR "INTEG" = 2)) OR ( "IN-
TEG" = 1 AND ("FRST_MAP" = 1910 OR "FRST_MAP" =
1929 )) OR ( "PHC_PCPC" = 1 AND ( "INTEG" = 1 OR "IN-
TEG" = 2)) OR "PTNTL" = 1
```

As with designated historic resources, properties constructed between 1896 and 1929 dominate the potential resources map, comprising 219 of the 263 total groupings (2,159 properties)—not surprising, as much of the district’s existing fabric was constructed following the transportation advances of that period (Figure 6.14). Twenty-nine groupings (198 properties) that developed before 1862 were also potential resources; these are largely residential. Civic, religious, and commercial groupings along Frankford Avenue are prominent, as well as industrial groupings along the southern railroad line and Tacony Creek.

Groupings in the third period of significance (1930 – 1958) were generally not included in the list of potential historic resources, due to the numerous groupings with high integrity and the more pressing need to focus on rarer older properties. Exceptions include groupings that developed during this period and were highlighted by City staff or surveyors as “of interest” or “having potential”; nine groupings (25 properties) from this period are included in the Potential Historic Resources map. The Future Resources map shows groupings from the third period of significance with high integrity, groupings constructed between 1888 and 1895 with high integrity, groupings called out for survey but not surveyed, and groupings constructed between 1863 and 1887 (Figure 6.15).

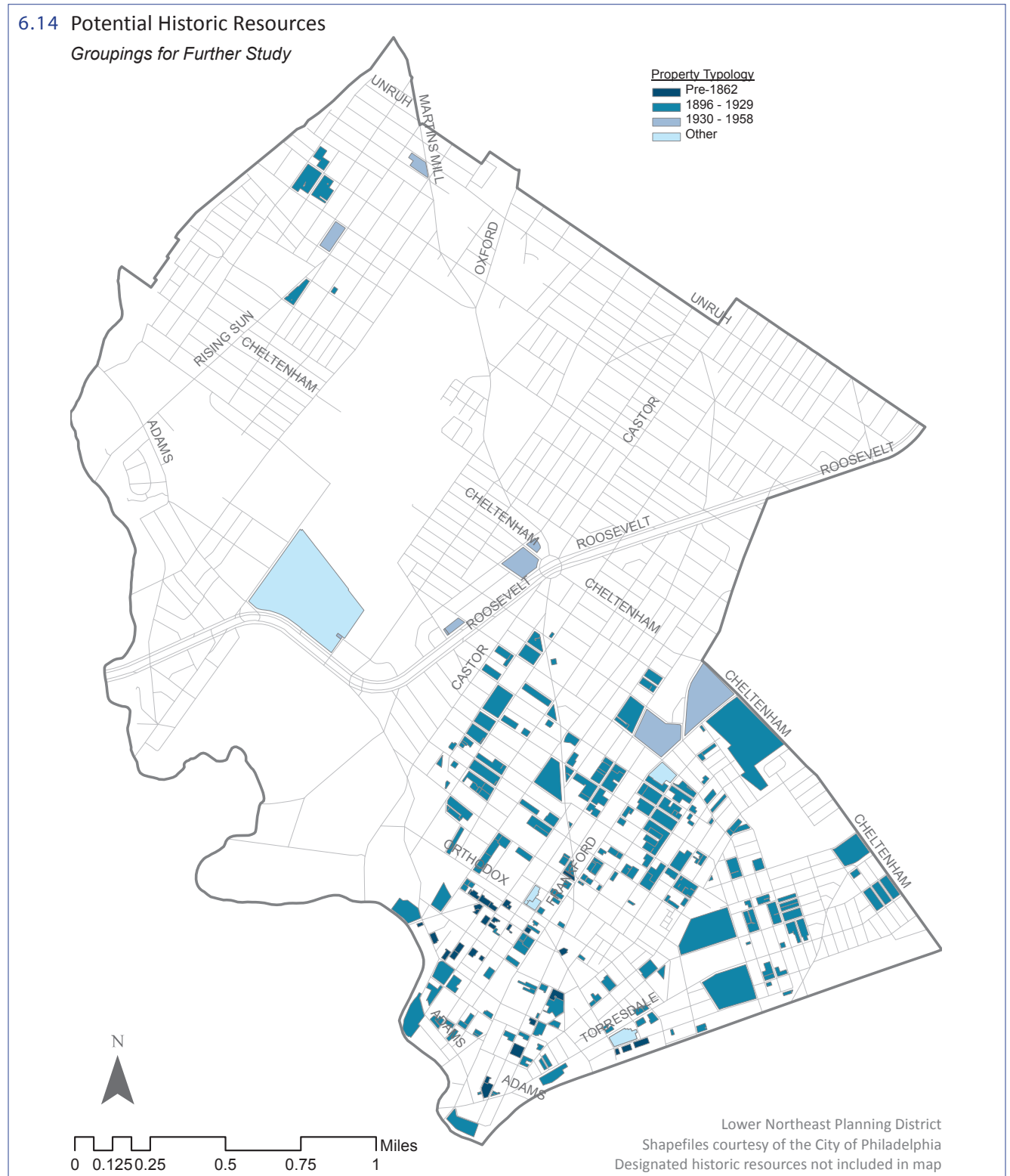
This analysis made it possible to determine areas where no further study is needed (Figure 6.16). Forty-nine percent of groupings (12,799 properties) are in this category, which includes:

- Groupings constructed since 1959
- Groupings constructed between 1896 and 1958 with medium or low integrity (unless noted by City staff or surveyors)
- Groupings constructed before 1862 with low integrity
- Groupings not called out by City staff or surveyors

<sup>7</sup> Properties built between 1888 and 1895 were also surveyed, but were not included in potential historic resources.

Groupings that were not included in the three periods of significance were not included in the No Further Study map. The 161 groupings constructed between 1888 and 1895 were included in the survey, but not the historic resources evaluation. The 176 groupings constructed between 1863 and 1887 were not surveyed.

**6.14 Potential Historic Resources**  
*Groupings for Further Study*

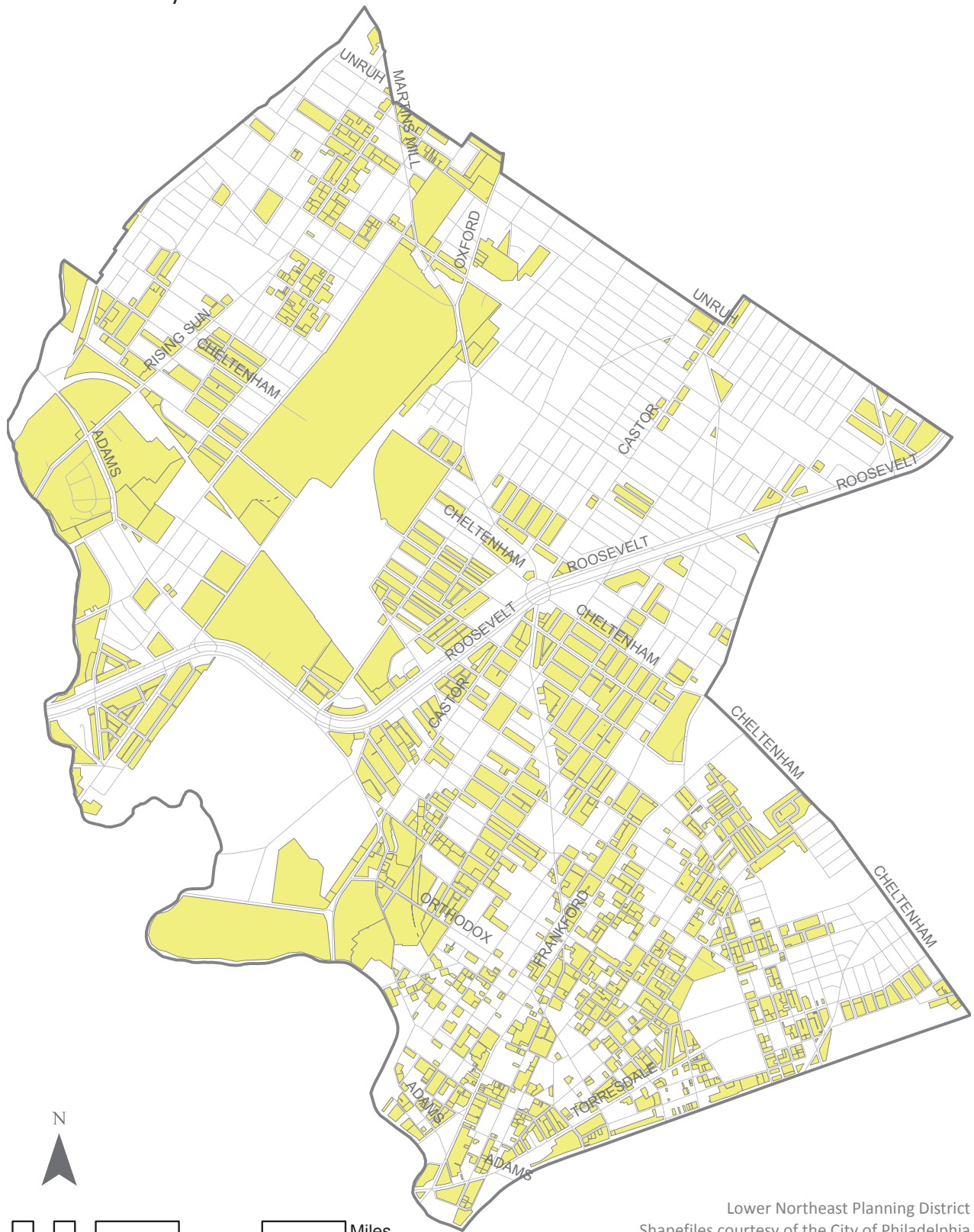






6.16

No Further Study Needed



Lower Northeast Planning District  
Shapefiles courtesy of the City of Philadelphia  
Designated historic resources not included in map

## Critique

The pilot study's primary purpose was to test the efficacy of the project methodology and the utility of resulting data. It successfully completed five primary steps of the methodology—First Impressions, Context/Classification, Significance, Survey, and Analysis—and produced data for use in the Planning Commission's Lower Northeast District Plan. Work was completed roughly within a five-day timeframe by five people: one Research Associate and four students who were trained in the methodology as part of the pilot.<sup>8</sup> Surveyors gave positive feedback on the project, particularly the project orientation, the initial information-gathering meeting with City staff, and the group test blocks exercise.

For future character studies in Philadelphia and elsewhere, several changes are recommended. In the Classification phase, surveyors merged parcels with similar forms into a block-sized polygon, and occasionally merged groups of several separate blocks. The latter groups could be exploded into individual blocks using an advanced editing tool, but remained block-sized polygons at their smallest size. This scale meant that blocks with different integrity ratings on different block-faces could not be accurately recorded in coding. Blocks should be classified by block-face to allow different integrity ratings for each block-face.

The survey strategy should also be amended. Depending on the area, survey work might cover all development prior to a certain year, rather than development that occurred during discrete periods of significance. In the Lower Northeast, groupings constructed between 1863 and 1887 were not surveyed for integrity and thus not evaluated as potential historic resources. Surveying all properties constructed prior to 1958 would have added only 176 groupings (1,188 properties) to the survey from the 1876 and 1887 maps, in areas that were already being surveyed. Also, in a situation where most groupings from a development period are concentrated in one part of the planning area, with a few isolated contemporary groupings in another part, those outliers should be surveyed.

Logistics were generally smooth, particularly considering that this was a pilot study, but some aspects could be improved. Mapping the survey routes, either specifically or generally, could save time and energy and increase efficiency; as it was, survey teams unfamiliar with the area chose their own routes. All survey teams should include at least three people to allow safe navigation, attention to grouping integrity, and accurate recording. The field survey phase should begin with a group exercise and discussion around rating integrity, similar to the test blocks exercise. Also, a visual glossary for surveyors (like the property typology glossary) should be created to make sure that integrity ratings are consistent between surveyors, survey areas, and survey dates.

Additional training could increase the amount of information captured. Surveyors in the pilot study were instructed to mark "second look" groupings where the typology was not clear or the properties appeared to be outstanding. Providing surveyors with more extensive training in local architecture could help them spot and mark potential architectural landmarks with more consistency and acuity and add a limited dimension of architectural significance to the age and integrity factors measured in the pilot.

The speed and scale of character studies means that omissions and errors are possible. While some inaccuracies are inevitable, including City staff and local preservationists in the process can reduce errors. For example, periods of significance and areas to be surveyed should be discussed with City staff and other stakeholders prior to survey. This can help catch large

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<sup>8</sup> This timeframe did not include setup of the project GIS, development of basic instructional materials for the survey, historical research, or development of a Rapid Historic Context Statement.

oversights or noticeable errors, particularly where less precise maps make exact classification difficult. This was not done in the pilot study due to lack of time.

Finally, as discussed, the property typology used in classification was developed from a basic list of building forms and expanded during web-based views and surveys in the Lower Northeast. It is expected that this typology can be used in other planning districts in Philadelphia with minor changes and could serve as a starting point for typologies in other cities.<sup>9</sup> An alternative approach to developing a property typology is to rely on existing public data that includes building form. In Philadelphia, the Office of Property Assessment (formerly the Board of Revision of Taxes/BRT) assigns codes to buildings according to form, material, and use. These codes largely coincide with the typology developed for the pilot study and could be used as a “first pass” in classification, though the data should first be checked for accuracy (see *Appendix A: Digital Data*).

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<sup>9</sup> Future character studies should carefully note the difference between “traditional” and “contemporary” development forms at the beginning of classification work, if that distinction is included in the typology. The term “auto-oriented” might be used instead, for clarity.

## Findings

Based on research, pilot survey results, and feedback from professional partners in Philadelphia, character studies are a highly effective way to quickly gather data on large or small planning areas. Web-based classification allows fast, accurate determination of built character, and windshield surveys provide a good way to gauge integrity at the scale of groupings.

As noted in the *Pilot Study* section, there is still room for improvement. Some data may be missing; some resources will probably be misclassified. Yet the incorporation of field surveys and institutional and community knowledge reduces the risk of important information falling through the cracks. The speed, scale, and clarity of a character study significantly outweigh potential drawbacks.

Periodically repeating the field survey—perhaps every five years—would take little time and provide a reliable continuing baseline of information across a planning area. This update could simply be entered as an additional field in the municipal database. Alternatively, updates to character studies could be partially automated using remote digital tools. Data on building permits could track exterior alterations and high-resolution bird’s-eye views could be used to verify their impact on integrity (if the municipality subscribes to up-to-date Pictometry images). However, the field survey method would likely be more systematic and reliable.

Technically speaking, GIS provides a superb platform for character studies. It allows efficient collection of data for multiple attributes and has a powerful capacity for dynamic multivariate analysis. At the conclusion of a character study, it is possible to locate groupings of *X* typology that developed during *Y* time period and have *Z* level of integrity. This type of quantitative knowledge at a multi-property, sub-block scale has the potential to be highly useful to planners and preservationists seeking specialized information, particularly when integrated with existing planning databases.

GIS also has the potential to support much more sophisticated analyses. For example, the data collected in the pilot study could be used in the following analyses:

- Analyzing where the oldest properties are located in relation to contemporary industrial, religious, and civic properties; historic streams; railroads and trade routes; and topography
- Examining whether proximity to major streets or the Market-Frankford El is correlated with integrity
- Identifying potential worker housing as housing located within a given radius from an industrial property that developed in the same interval
- Exploring the relationship of integrity and building age with other factors in the City database, such as property values, building and demolition permits, vacancy rates for nearby buildings and lots, and so forth; or block-level Census data

The pilot study relied on existing historic context statements and student surveyors with relatively high technological aptitude. A character study that required historical research, did not have access to georeferenced historic maps, and employed surveyors who were less familiar with computers and GIS would take more time. The methodology remains extraordinarily time- and cost-efficient compared to traditional parcel-level historic resource surveys—especially if it employs graduate-student expertise.

Finally, this report focuses on data directly applicable to planning efforts. However, redrawing the “preservation map” to include identification and protection of sociocultural land-



marks and neighborhood character could help engage a broader audience in the conversation about what constitutes a sense of place and what should be preserved. This project could be expanded with a crowd-sourced, wiki-style online forum or map to build on the initial character studies, resulting in additional layers of information to the GIS database available for planners' use. The Austin Historical Survey Wiki should be examined for its use of web-based wiki technology.

## Appendix A: Digital Data

The central goal of the Character Study Project was to develop a methodology capable of producing useful, accurate, plan-ready information about built character and potential historic resources over a large geographic area quickly and relatively inexpensively. The scale, speed, and planning orientation of the work demanded agile, multi-use digital tools and informative datasets.

This section summarizes the software, shapefiles, maps, and other data utilized in the classification and analysis portions of the character studies pilot in Philadelphia. Since the character study methodology is intended to be broadly applicable to other towns, cities, and regions, using publicly accessible data that other places have access to at no or low cost was a priority, and general data availability is noted in addition to Philadelphia details.

### Software

Surveyors used the Firefox and Internet Explorer browsers to identify groupings and classify current typology. Most places are covered by Bing Live Maps, which offers a bird's eye view essential to this type of work. Google Earth may also be used where 3D data is available.

Geographic Information Systems (GIS) software is necessary to make character studies data compatible with municipal planning systems. It is also a powerful tool for mapping change over time and understanding relationships. In the pilot study, all data was entered into ArcMap 10.<sup>10</sup> Another GIS program may be used; for example, gvSIG includes standard GIS tools and can be downloaded without cost. (This is an example, not an endorsement or recommendation; Character Study Project researchers are not familiar with gvSIG or other ArcGIS alternatives.)

### Shapefiles

In a GIS program, surveyors enter character studies data into new fields in an existing shapefile. The following data should be used:

- Parcels (primary shapefile)
- Street centerlines
- Designated historic resources listed in local, state, and National Registers (not necessary but helpful)
- Hydrology (not necessary but helpful)

Ideally, the parcel shapefile will come from the municipal government and contain parcel polygons. Municipal data will help ensure that character studies data can be easily integrated into City databases, and parcel polygons will allow sub-block groupings that accurately reflect built character. For the pilot study, staff from the City of Philadelphia's Office of Information Technology provided a form to request municipal shapefiles.

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<sup>10</sup> ArcMap 10 has aerial views as a base map; these are convenient for orientation but not necessary.

## Historic Maps

Surveyors use historic maps to approximate construction dates for groupings in the existing built landscape. Pilot study surveyors utilized Philadelphia's PhilaGeoHistory website ([www.philageohistory.org](http://www.philageohistory.org)), which includes a wealth of local historic maps, both georeferenced and not. A resource with the same breadth, depth, and technological savvy is rare, but local libraries and historical societies likely hold fire insurance atlases and other historic maps that can be used to trace local development. Some public and university libraries subscribe to Digital Sanborn® Maps (1867-1970) through ProQuest Online (<http://www.proquest.com>).

## Other Data

Some basic information for character studies can be mined from extant data. For example, Philadelphia's Office of Property Assessment codes parcels by building types that roughly translate to the property typology developed for the character studies pilot. This data could be used in future character studies in Philadelphia to speed the classification process, though it should be checked for accuracy first.

Other data can be collected to help develop the Rapid Historic Context Statement and explain historical development patterns. For example, historic streams, active and inactive railroads, and local topography likely played large roles in determining where different types of development occurred. In Pennsylvania, the PASDA data clearinghouse ([www.pasda.psu.edu](http://www.pasda.psu.edu)) contains many shapefiles with this type of information. Other states have similar clearinghouses (see [libraries.mit.edu/gis/data/datalinks/statedataweb.html](http://libraries.mit.edu/gis/data/datalinks/statedataweb.html)).

## Predictive Models

Predictive models offer predictions about where historic properties are likely to occur, based on existing data and known relationships. They are generally used in archaeological surveys. The Character Study Project did not explore predictive models, but researchers believe that it would be worthwhile to test them in urban areas with regard to potential historic resources.

## Appendix B: Engagement

The question of public participation was raised early in the development of character studies. Several iterations of public participation frameworks were developed, ranging from public “checks” of expert-produced information to much broader public participation and information collection.

This appendix considers three central questions: When is public participation in public affairs necessary and good? Will it yield better decisions? What amount and type of public participation yields useful planning data with a constructive, representative balance of community engagement? A survey of participation’s advantages, disadvantages, and effectiveness from recent literature is followed by recommendations for a draft community engagement framework in character studies.

Research drew principally from literature published from 2000 to the present. Thomas J. Campanella’s “Jane Jacobs and the Death and Life of American Planning” (2011) articulated questions that drove initial research. Renee A. Irvin and John Stansbury’s article “Citizen Participation in Decision Making: Is It Worth the Effort?” (Public Administration Review, 2004) outlines the commonly accepted advantages and challenges associated with public participation. Public Participation in Environmental Assessment and Decision Making (2008), edited by Thomas Dietz and Paul C. Stern, and “Is Increasing Community Participation Always a Good Thing?” (Journal of the European Economic Association, 2004), by Asim Ijaz Khwaja, focus on the effectiveness of participatory processes. An article entitled “Citizen Participation: Can We Measure Its Effectiveness?” (Public Administration Review, 1978), in which Judy B. Rosener underlines the need for clear goals for citizen participation, is the exception to the recent-literature focus. Complete source information can be found in the Bibliography.

### Literature Survey: Benefits and Drawbacks

Typically, public participation is seen as good and desirable. Participatory processes have the potential to increase public awareness of issues, provide in-depth knowledge about complicated decisions, and provide a means for citizens to influence decisions that affect them. The processes also offer a forum for community members to understand solutions that extend beyond their personal purview and to meet other people who care about similar issues. Participation may be legally required as part of a planning or political process.

Meanwhile, public officials can gain insight into citizen perspectives, build support for potentially risky decisions, and help break political gridlock via popular pressure for a solution or compromise. Policies and programs that have developed out of a public process are likely to garner more public support (or less opposition) and may have a smoother implementation. It is arguable that decisions in which more public stakeholders participate are better, smarter, and have more efficient benefits for the public.

Disadvantages of public participation are less numerous, but they are significant. A public participation process takes time and money, with no guarantee of a representative process or productive outcome. Staff members or facilitators must plan the process, conduct strategic outreach, facilitate multiple public meetings, and follow up with decisions or action items that emerge, trading off work time that could be spent on other matters and slowing an already sluggish government apparatus. Citizen participants must also invest unpaid time in learning about detailed issues, attending meetings, and perhaps sitting on specialized committees—

and then make the effort to communicate what they learn to their community. Recruiting participants who have enough social influence in their community to disseminate information and goodwill may be difficult, particularly in large, diverse populations. Participants may skew toward well-off citizens with free time, strongly partisan stakeholders, and paid advocates with financial motivation.

Public participation efforts also cost money. In addition to the staff time and funds spent on the participation process, unpredictable delays can reduce available funding for the actual program or project. It can be difficult to justify an extensive public participation program when one thoughtful, well-informed person could come up with the same decision in a shorter time for a much lower sum. This is particularly true in communities with a history of complacency toward government decisions.

Finally—and most critically—meaningful public participation requires a commitment by government agencies to allow the public to influence its decisions. After-the-fact superficial participation that is structured to preclude meaningful participation can cause disenchantment and frustration among participants, foster future disengagement, and raise potential opposition. On the other hand, publicly guided decisions can be difficult to overturn or ignore, even if elected officials and staff members disagree strongly.

### *Effectiveness*

Is public participation effective? Under what circumstances? What empirical evidence exists? Knowing final goals is essential to gauging effectiveness, as public participation is complex and enormously varied. Participation processes include a number of factors that influence the results: who is involved, the timing and extent of participation, the time and effort invested by participants and conveners, and the influence of public input in the final decision or program.

Public participation is complex and enormously varied, and evaluating its effectiveness is concurrently complicated. Fundamentally, the goals of public participation run a wide gamut. Rosener asks, “Where is it that we wish citizen participation to take us... Where is the ultimate goal we wish to achieve by involving citizens?”<sup>11</sup> Knowing final goals is essential to gauging effectiveness. Practical mechanisms for participation include a number of factors that influence the results: who is involved, how early and extensive participation is, the time and effort expended by participants and conveners, and the influence of public input in the final decision or program. The field or subject of public input also matters: participation in environmental decision-making as described by Dietz and Stern assumes different knowledge and responsibilities than participation in the development projects described by Khwaja. Literature around public participation reflects a similar diversity of topics.

The effectiveness of public participation is often gleaned from participant responses and focuses on changes that occur in individuals or personal perceptions of project success rather than empirical project outcomes. Research by Dietz and Stern shows that processes that are more participatory in terms of involvement (breadth), timing and extent (timing), effort (intensity), and influence on final decisions yield improved overall outcomes as measured by participants’ and observers’ views of decision quality and legitimacy and participant capacity. Increased legitimacy may lead to a stronger consensus and smoother, more comprehensive project implementation.<sup>12</sup> However, participatory processes also can lead to “undesired results” that could be worse than the alternatives reached through less public processes.

<sup>11</sup> Judy B. Rosener, “Citizen Participation: Can We Measure Its Effectiveness?” *Public Administration Review* (September/October 1978), 457-463.

<sup>12</sup> Some studies show an opposite effect, of less support of implementation; however, Dietz and Stern theorize that those processes may have been merely symbolic, prompting public mobilization against



Khwaja examines the impacts of community participation on development project outcomes, using evidence from infrastructure projects in Northern Pakistan to prove a theoretical framework and model. Here, participation is explained as increased ownership and power—community control of project initiatives, decisions, financial resources, and planning—and differentiated from preference-based “asking and telling,” which is counted as information transfer rather than participation. Empirical outcome is measured in terms of project maintenance. Khwaja finds that community participation leads to improved project outcomes in non-technical decisions that require and are responsive to local knowledge, but it hurts project success in technical decisions where the community does not have a similar ability to provide relevant inputs.

### Summary

The effectiveness of public participation is highly situation-specific and still inconclusive, largely because few studies examine outcomes, and even fewer look at evidence independent from participant views. Dietz and Stern indicate that participatory processes that begin early, require frequent and intensive time outlays by a representative group of stakeholders, and have a strong influence on final decisions or programs are more successful in terms of decision quality and legitimacy and participant capacity, as judged by participants and observers. Khwaja is more specific: project outcomes are improved only when the decisions require non-technical input that the community can provide effectively.

It is worth noting that the limited literature evaluating participatory project outcomes may not be transferable between different situations. For example, Dietz and Stern focus on public participation in the context of environmental assessments and decisions. This type of decision-making process, where participants add perspective and help distinguish between options, is different than the participation process for character studies, in which participants add raw data. In the absence of empirical evidence specific to character studies, though, Dietz and Stern’s conclusions have been applied to character studies.

### Local Precedent

Four planning and preservation projects undertaken in Philadelphia in the last three years have incorporated public participation in various ways.

The Preservation Alliance report *Historic Preservation in 2020* articulates an approach to a citywide preservation plan and historic resource survey. The process lasted two years and included three public participation components:

- Two sets of focused conversations with a variety of stakeholders. Fourteen meetings in August and September 2008 included 69 people in 10 focus groups (e.g., African-American interests, historic site and house museums, commercial corridors and CDCs); the second set included 60 people in 4 meetings that mixed members from the focus groups.
- Online survey with 24 questions. 366 surveys were completed.
- 25 one-on-one conversations Randall Mason conducted in summer and fall 2008

This mix seems effective. The focused group conversations broadened the conversation to less traditional voices (e.g., community development corporations), the online survey allowed the general public to participate, and one-on-one conversations drew insight from key stakeholders. However, the multifaceted process was likely expensive and occurred over at least

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an implementation that did not include public input.

two years. Character studies may be able to build on the Preservation Alliance's participation efforts by engaging people who participated in the development of the report as allies in outreach and potentially as members of a stakeholder group.

The character studies test completed by the Penn Historic Preservation graduate studio in fall 2010 included limited public outreach. Students in one district conducted formal interviews with a few local contacts obtained through the Preservation Alliance; contacts from the other district did not respond to interview requests. This method felt scattershot and ineffective. Students from both districts conducted brief informal interviews with residents and employees about historic resources. These interactions were helpful in gaining a quick view of some community landmarks, but were very brief, not numerous enough to be representative of the community, and not consistent or thorough enough to ensure that respondents understood the question completely. A more organized and extensive process was needed with better contacts.

Two series of public meetings contributed to the Philadelphia2035 Citywide Vision. A Facebook page and student poster contest also raised awareness of the planning process. The planning process for subsequent District Plans includes:

- Three large public meetings publicized through website announcements, mailings to community groups and stakeholders, flyers in public places, and the Philadelphia2035 Facebook page. Attendees are seated at smaller tables for discussion and workshop.
- A handpicked District Plan Steering Committee that meets monthly to review progress and help organize community meetings

The Preservation Alliance is currently implementing the Pride of Place initiative, which prompts community members to engage in the District Plan process through the creation of neighborhood histories and the definition of local landmarks. The initiative is discussed further in the *Philadelphia Planning Context* section.

## Public Participation in Character Studies

Public participation in character studies should be founded on and contribute to the project's main goals:

- To create citywide data on potential historic resources in Philadelphia that can be integrated with planning databases and inform public decision-making;
- To enable evidence-based prioritization of future preservation efforts by providing a baseline of information on the historical character of the built environment; and
- To develop a replicable, resource-efficient methodology that can be used in other towns, cities, and regions.

Public participation is not obviously necessary to achieve the first goal. An extensive public participation process would not fit within the tight timeframe required to provide the Planning Commission with information to tie into District Plans. The nature of character studies—a project initiated and coordinated by Penn—means that an extensive public process would not necessarily lead to significant changes or recognition at the city level. Participants would have to accept that their input might not have any influence, or they might become discouraged.

The second goal would benefit from the increased awareness about preservation and neighborhood historic resources that a public participation process could bring. Indeed, a well-publicized, carefully designed process could build on the current project and future plans to diversify and expand the preservation constituency, increase political influence stemming

from this broader support, and promote a new, more inclusive, publicly-recognized concept of preservation and its purpose. However, higher awareness of preservation would probably not outweigh the negative feelings that could be generated from a lack of results from an extensive participatory process. Asking a few preservation-related questions in District Plan meetings could add this element without raising expectations.

Public participation is not necessary to accomplish the third goal. If included, it could provide a more germane framework for cities where participation is politically imperative; conversely, other cities that do not require extensive participation could use the framework sans participation. This is not a major concern. As participatory processes are not a foundational aspect of the character studies framework, their addition or subtraction could be predicated on local circumstances.

The chief advantage of public participation in character studies is the opportunity to gain local knowledge from community members. The necessary speed of the research process requires use of secondary sources and digital tools to identify historical themes and areas with potential historic resources. In neighborhoods that have not been well documented, however, secondary sources will probably not be available. Local historians and other citizens may be able to fill in information gaps efficiently, relative to the alternatives of sifting through local newspapers and property records or glossing over certain aspects—known or unknown—of local history. Areas with potential historic resources will be identified through evolutionary maps and birds-eye/aerial views, but community input can highlight areas that might fall through the cracks of fast research and synthesis, however thoughtful. The Pride of Place program can also contribute this type of information and identify helpful local contacts.

Character studies provide an opportunity for non-technical input more along the lines of Khwaja's "asking and telling," where participants provide information that informs particular aspects of the project. It is critical to define and clearly communicate the goals and objectives of participation, so that results are successful and consistent across participant perspectives and empirically measured outcomes.

Here, public participation is defined through five journalistic questions put forth by Rosener.

#### 1. Who is defining public participation?

Public participation is defined by this framework, produced by the University of Pennsylvania's Graduate Program in Historic Preservation/Center for Research on Preservation and Society to inject preservation data into planning processes with tight timeframes and limited budgets. In this context, participatory processes are valued for their ability to provide information that would otherwise not be known or take a long time to locate.

Public participation in character studies does not require the participation of the full community, but of a smaller subset of residents who are familiar with local history and/or local landmarks. However, including a larger group of people as part of the area planning processes could broaden perspectives and raise awareness of preservation and historic resources without committing significant results.

2. Where do we want citizen participation to take us?

Citizen participation generates more information for use in area plans. A desirable side effect is increased awareness of preservation; however, character studies' speed, low level of resources, and inability to promise tangible results from planners suggests that a bigger awareness campaign should not be tied to character studies.

3. What do we want the participatory process to produce?

Community members can provide helpful—in some cases irreplaceable—information about neighborhood history and potential historic resources.

4. How do different kinds of issues relate to participation?

Completing character studies efficiently and effectively involves a straightforward transfer of information. This type of participation requires knowledge of local history and local landscape and impacts a well-defined area (the planning area). Participation costs include participant and surveyor time and participant expertise.

5. When do we need or desire participation?

Participation occurs during the information-collecting stages to inform the Rapid HCS and classification process.

## Appendix C: Philadelphia Planning Goals

Many Philadelphia2035 objectives align with character studies' goals of integrating neighborhood character and historic resources into the planning process. Eighteen goals and thirty-five objectives were identified that incorporate historic preservation in some way and will benefit from information produced by character studies. These common elements are diverse, ranging from boosting health to reducing air pollution to strategically consolidating public facilities. The most prominent theme—one that is critically tied to preservation—is the need to take advantage of existing built and natural assets to spur economic development and improve quality of life for Philadelphians.

This section calls out shared goals under four headings. Goals (in the left column) are numbered according to their place in the Citywide Vision.

### Capitalize on Unique Built Assets

The most obvious assets, particularly for preservation advocates, are cultural, historic, and architectural resources in neighborhood centers and around the city. Vacant buildings, notably factories or “industrial legacy areas,” also present an opportunity to preserve industrial heritage while providing space for new industries, offices, shops, and housing; existing housing offers a similar chance to reinvest in historic fabric to serve diverse populations. Historic transportation systems and infrastructure lay the groundwork for efficient local and regional connections for people and goods. Parks, trails, historic streams, and cemeteries showcase natural resources and can communicate compelling stories about the changing urban landscape. In new construction, the plan's emphasis on fine-grained design within a close-knit street grid looks to reinforce Philadelphia's walkable historic neighborhoods.

#### *Citywide Vision Goals*

- 1.2.1 Stabilize and upgrade existing housing stock
- 1.2.3 Promote new affordable housing developments to strengthen existing neighborhood assets
- 2.2.2 Reposition former industrial sites for new users
- 3.1.2 Prevent abandonment of land and structures
- 3.1.3 Reuse vacant land and structures in innovative ways
- 7.2.1 Restore and create urban stream banks and tidal wetlands along watersheds
- 8.1.1 Preserve culturally, historically, and architecturally significant buildings, sites, structures, and districts
- 8.1.2 Rehabilitate abandoned industrial infrastructure for new uses and reuse industrial buildings to create new neighborhood anchors
- 8.1.3 Preserve and reuse all “at risk” historic anchor buildings, commercial corridor buildings, and districts' elements
- 8.1.5 Ensure maintenance and management of cemeteries and religious properties
- 9.1.2 Ensure that new development reinforces the urban scale
- 9.2.1 Apply sound design principles to guide development across the city
- 9.2.2 Create welcoming, well-designed public spaces, gateways, and corridors
- 9.2.3 Link public art with major capital initiatives



## Create Healthier, More Walkable Communities

Mixed-use neighborhoods with strong commercial corridors and access to public transit and community facilities encourage residents and visitors to walk, bike, and take transit to meet their daily needs. Concentrating activity in healthy neighborhoods and along transit lines will reduce air pollution. Consolidating public facilities in dense, well-connected neighborhoods will use public funds wisely while continuing to meet community needs. Mixed-use historic neighborhoods, where access to transit is often a given, are a natural focus of policies designed to accomplish these goals.

### *Citywide Vision Goals*

- 1.1.1 Strengthen neighborhood centers by clustering community-serving public facilities
- 1.1.2 Strengthen neighborhood centers by developing viable commercial corridors
- 1.1.3 Strengthen neighborhood centers by promoting transit-oriented development around stations
- 4.1.3 Coordinate land use decisions with existing and planned transit assets to increase transportation choices, decrease reliance on automobiles, increase access to jobs, goods, and services, and maximize the economic, environmental, and public health benefits of transit
- 6.1.2 Create a trail corridor network that connects parks, neighborhoods, and trails city-wide
- 7.1.1 Reduce overall and per capita contributions to air pollution
- 9.1.1 Preserve the walkable scale of the city

## Support Economic Development

A concerted effort to strengthen diverse local assets can reduce vacancy and create local wealth; generate jobs in business, industry, cultural and educational institutions, and the construction trades; increase the value of housing stock; attract new residents; promote and expand tourism with more diverse stories and landscapes; bolster business in viable commercial corridors; and ensure that new development reinforces the urban scale and neighborhood character—all while maintaining the unique character that draws businesses and residents to the city.

### *Citywide Vision Goals*

- 2.1.1 Support and promote Center City/University City as the primary economic center of the region
- 2.1.2 Strengthen metropolitan subcenters
- 2.1.3 Encourage the growth and development of both existing and emerging Regional Centers
- 2.2.1 Ensure an adequate supply and distribution of industrially zoned land
- 2.3.1 Encourage institutional development and expansion through policy and careful consideration of land resources
- 2.3.2 Encourage cooperative relationships between institutions and neighbors
- 2.4.1 Maintain Philadelphia's strong role in the national and international tourism market
- 2.4.2 Provide ample resources to cultural institutions to enrich the City's quality of life
- 6.3.3 Ensure proper maintenance and vibrancy of park and recreation facilities
- 8.2.1 Create new and enhance existing tourism programs based on various cultural experiences unique to Philadelphia

## Wisely Use Limited Financial Resources

By capitalizing on existing infrastructure and built assets, preservation can model responsible stewardship of limited resources.

### *Citywide Vision Goals*

- 3.3.1 Reduce expenditures for municipal support facilities
- 4.1.1 Invest in existing infrastructure to improve service and attract riders
- 4.3.1 Upgrade and modernize existing streets, bridges, and traffic control infrastructure to ensure a high level of reliability and safety

## Appendix D: Pilot Material

### Grouping Guidelines

- Groupings typically include more than 3 properties, except monumental buildings (churches, schools, large factories) or large parcels that contain different built forms
- If a grouping has a predominant morphology and a few scattered buildings with different forms or ages, use the dominant code and enter “1” in the SEC\_LOOK field. This includes groupings with single buildings that are older and/or clearly monumental.
- Use the “Mixed” classification where there is no predominant morphology; that is, fewer than 3 adjacent properties have similar forms
- In blocks with vacant lots between buildings, classify the overall development pattern and ignore scattered vacancies
- Include associated parking lots in groupings if they appear to have been concurrently developed or are clearly related to buildings in the grouping

### Maps Used in Classification

<i>Year</i>	<i>Map Name</i>	<i>Source</i>
1849	Map of the Township of Oxford, Boroughs of Frankford & Bridesburg, by M. Dripps	PhilaGeoHistory
1862	Atlas of the City of Philadelphia, by Samuel L. Smedley	PhilaGeoHistory
1876	City Atlas of Philadelphia, Vol. 3, 23rd Ward, by G. M. Hopkins, C. E.	PhilaGeoHistory
1887	Atlas of the City of Philadelphia, 23rd Ward, by G. M. Hopkins	PhilaGeoHistory
1895	Atlas of the City of Philadelphia, 1895, by George W. & Walter S. Bromley, Civil Engineers	PhilaGeoHistory
1910	Atlas of the City of Philadelphia, by Geo. W. & Walter S. Bromley, Civil Engineers	PhilaGeoHistory
1929	Atlas of the City of Philadelphia, 23rd and 41st Wards, by Geo. W. & Walter S. Bromley, Civil Engineers	PhilaGeoHistory
1958	Insurance Maps of Philadelphia, Pennsylvania, Published by the Sanborn Map Company	Map Collection, Free Library of Philadelphia
2010	Bing Maps	Microsoft Corporation/Pictometry International Corp.

## Property Typology

### CLASSIFICATION CODES

#### *Residential*

- 10 Traditional rowhouses: no yards or driveways
- 11 Twins: duplexes, possibly set back from street
- 12 Traditional detached: single-family houses (not auto-oriented)
- 13 Traditional multifamily: low-rise apartment buildings
- 14 Contemporary rowhouses: yards and/or driveways (auto-oriented)
- 15 Contemporary duplex: yards, driveways, and/or garages
- 16 Contemporary detached: single-family houses with yards, driveways, and/or garages
- 17 Contemporary multifamily: high-rise or modern low-rise
- 18 Multiple types of residential development

#### *Commercial*

- 20 Traditional commercial: buildings at property line, no parking
- 21 Mixed-use: traditional commercial with residential above
- 22 Auto-oriented commercial: parking, maybe bigger boxy buildings

#### *Institutional*

- 30 Religious buildings
- 31 Government/civic buildings
- 32 School

#### *Industrial*

- 40 Traditional industrial: multi-story, built to lot line, near railroad lines
- 41 Contemporary industrial: low-rise/one level, parking, loading docks
- 42 Transportation-related development (depot, train station)

#### *Open Space*

- 50 Park, playground, cemetery (not built up)

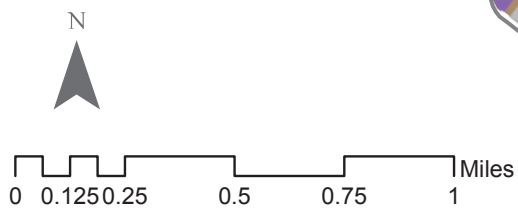
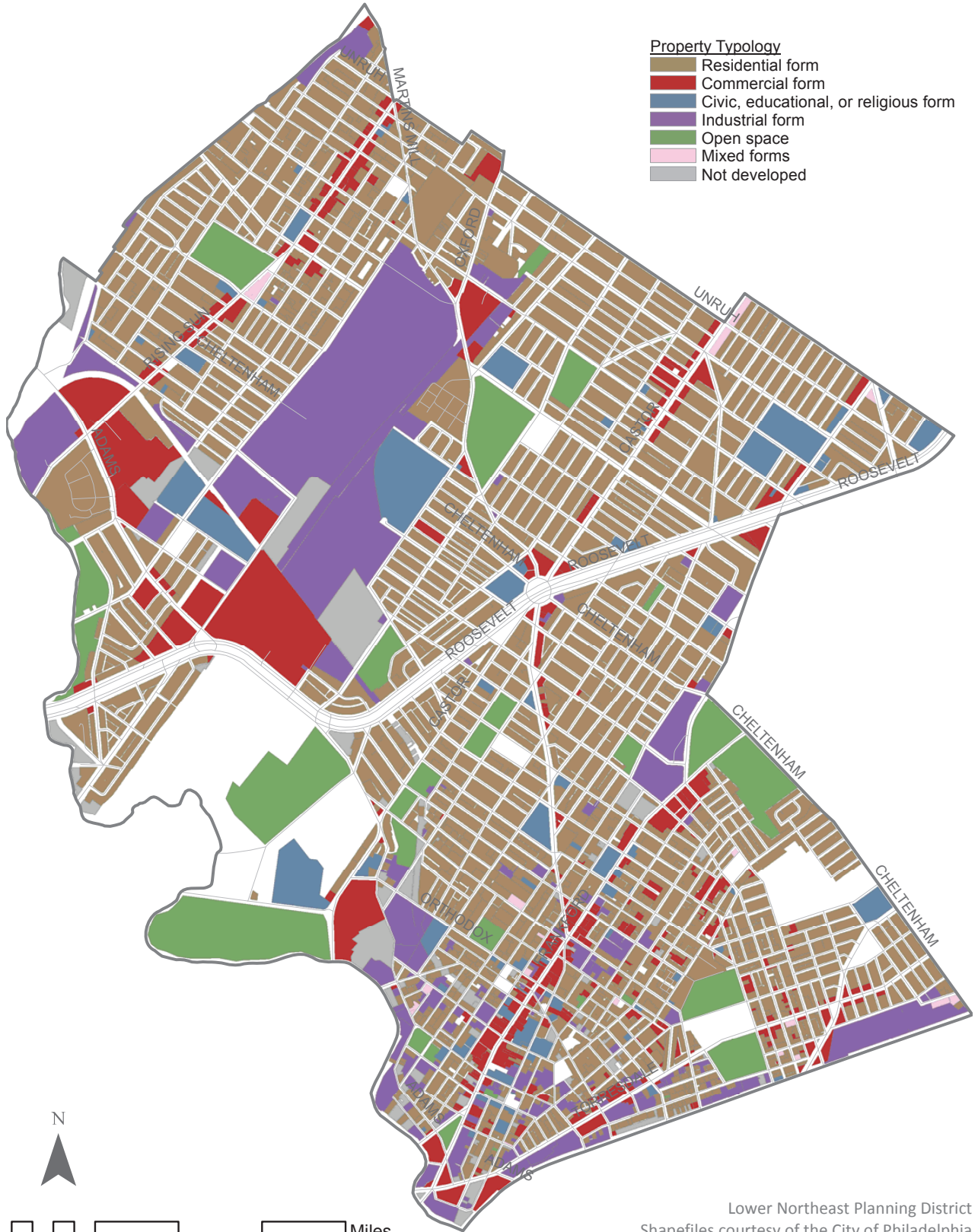
#### *Undeveloped*

- 60 Not developed
- 61 Parking lots (not associated with any buildings)

#### *Mixed*

- 70 Multiple types of developments in close proximity; no clear assemblages

### Built Character



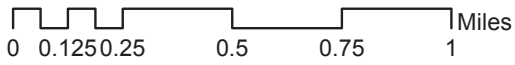
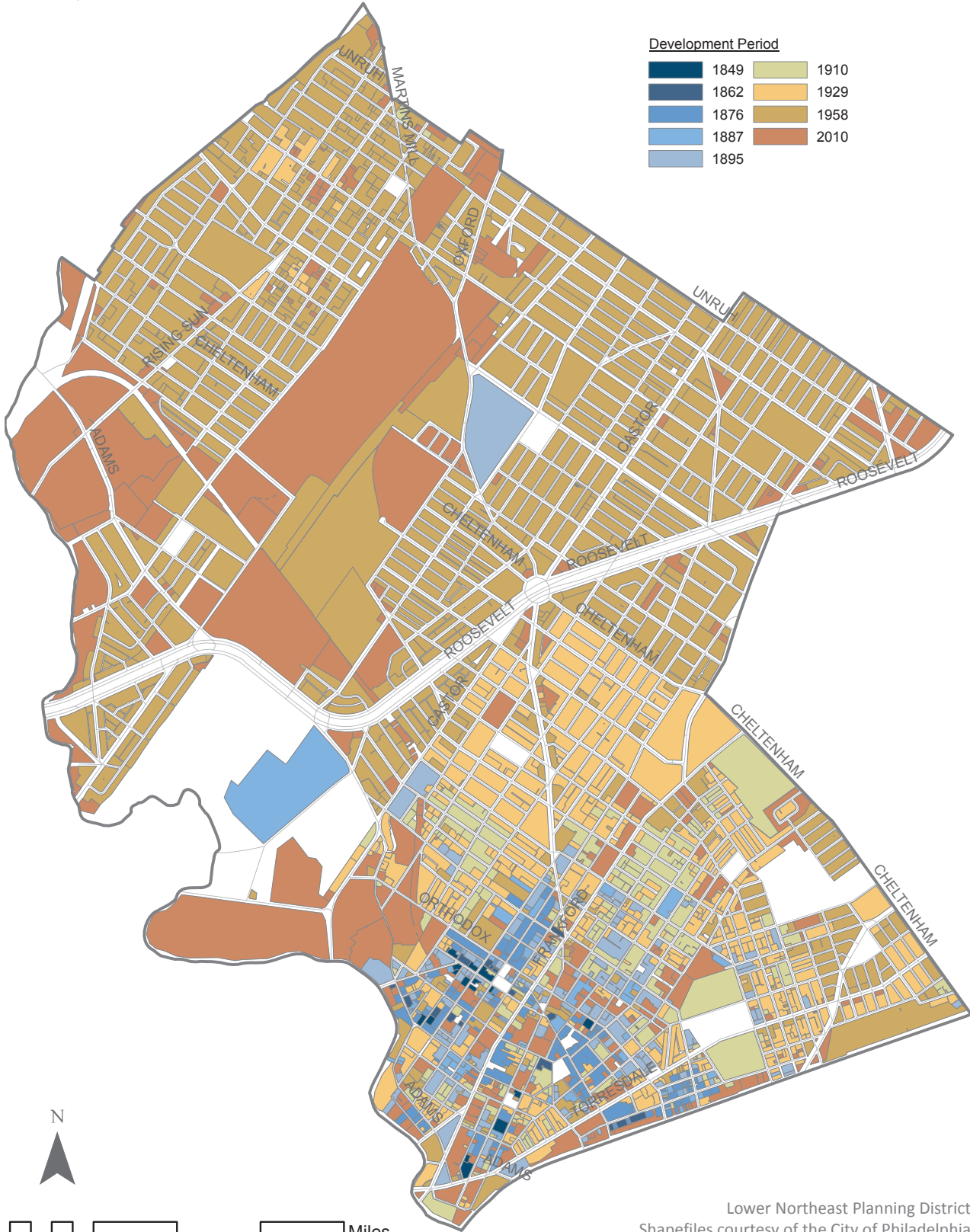
Lower Northeast Planning District  
Shapefiles courtesy of the City of Philadelphia  
Designated historic resources not included in map



### Development Periods

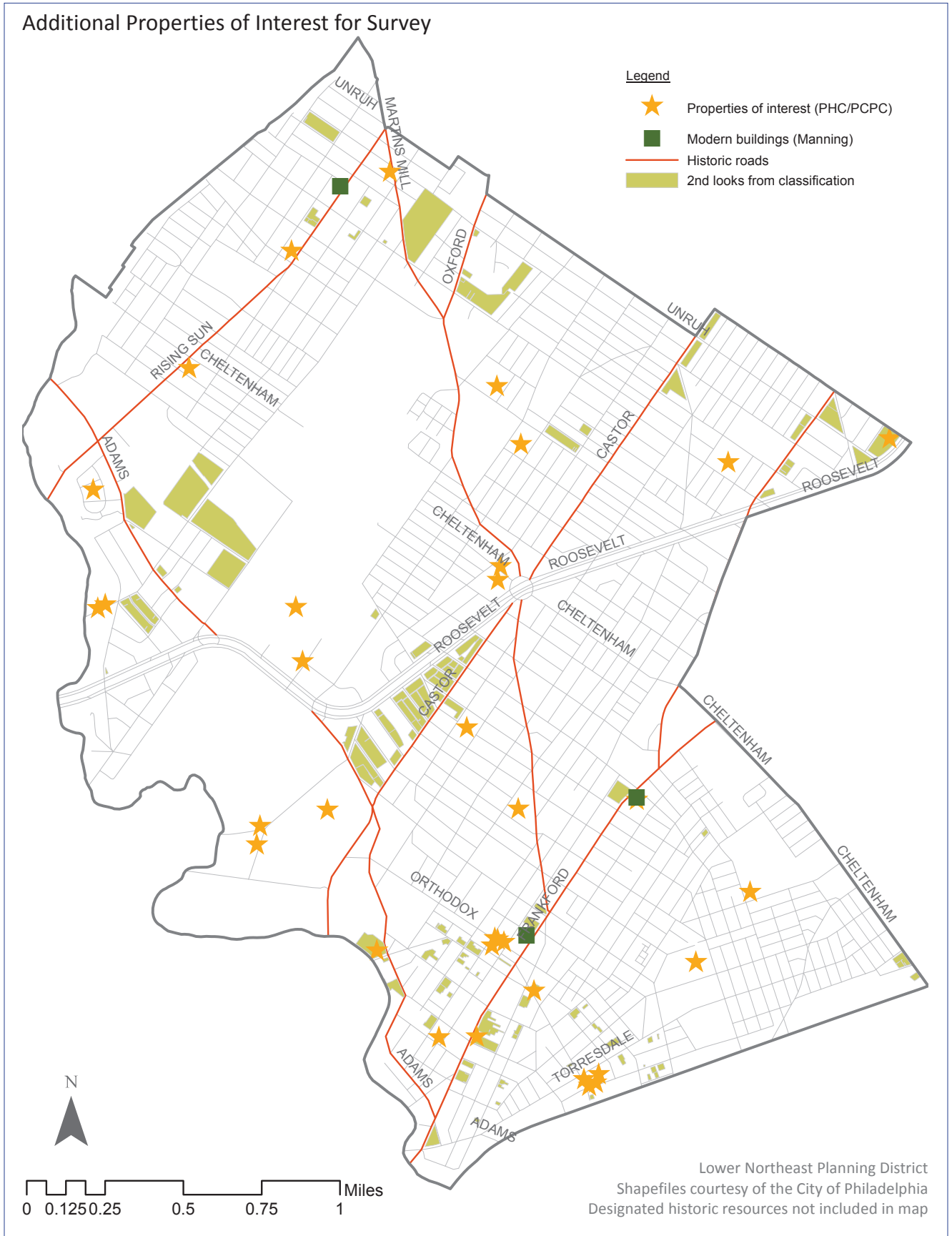
**Development Period**

1849	1910
1862	1929
1876	1958
1887	2010
1895	



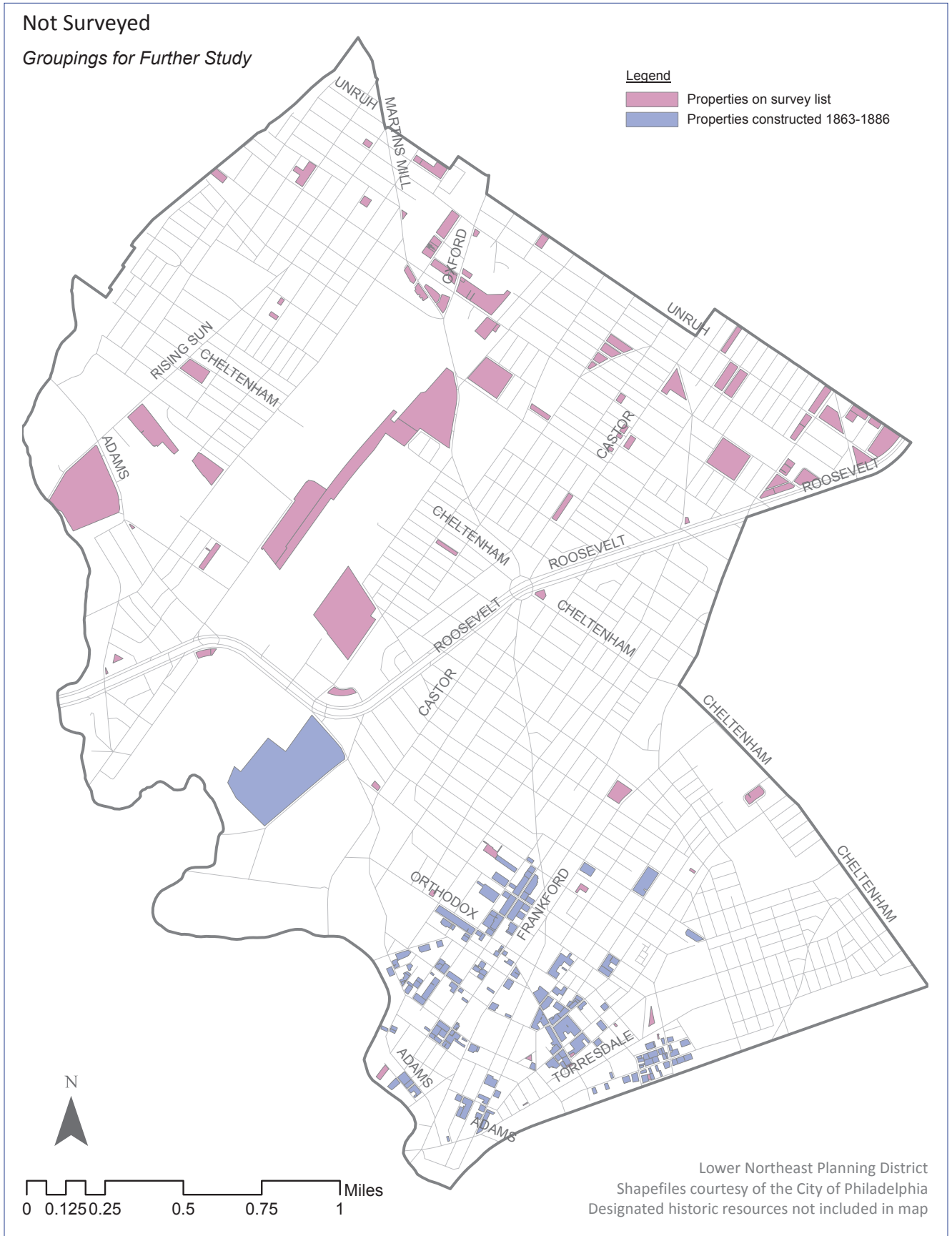
Lower Northeast Planning District  
Shapefiles courtesy of the City of Philadelphia  
Designated historic resources not included in map

### Additional Properties of Interest for Survey



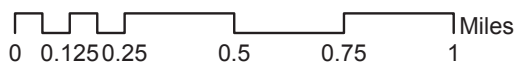
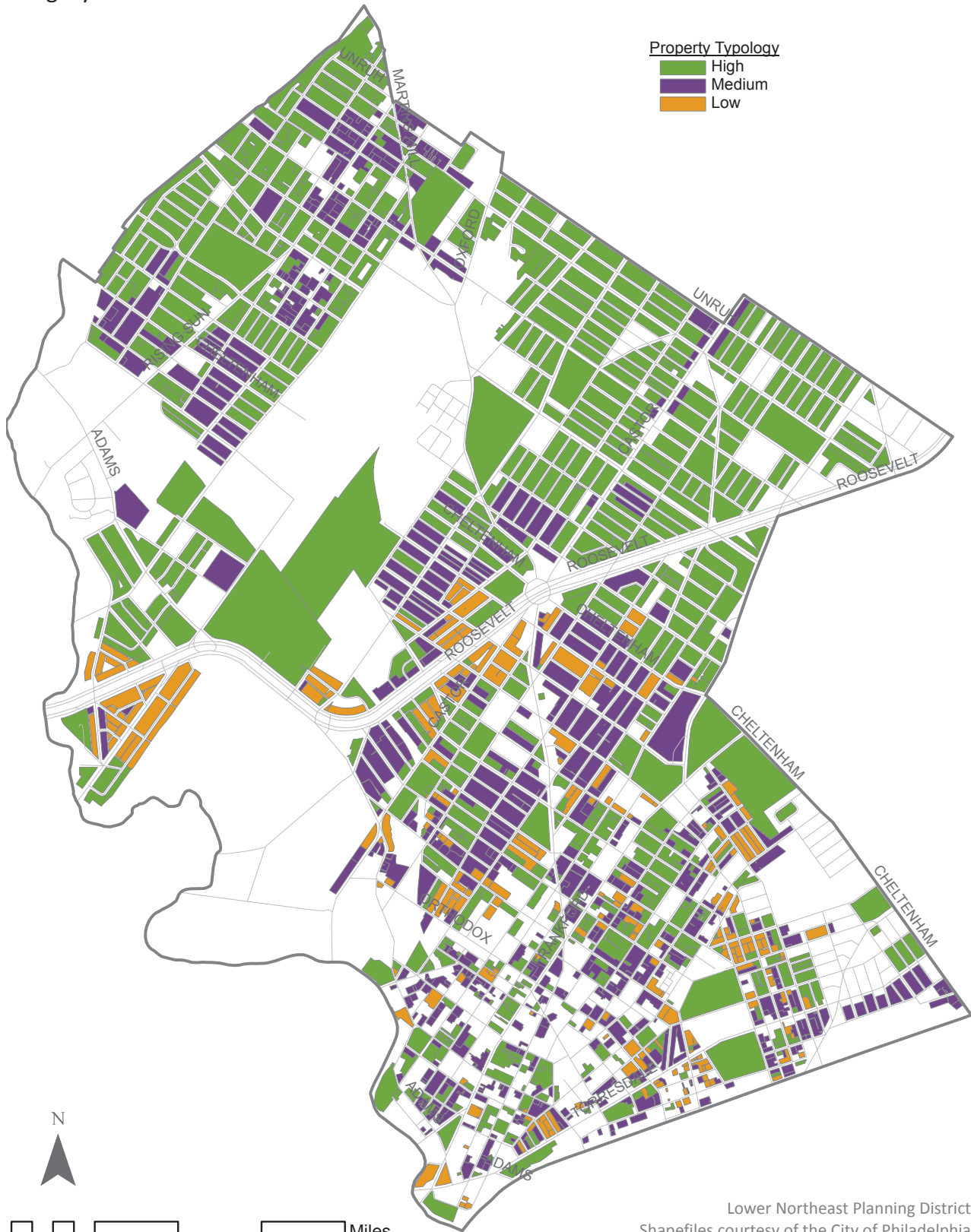






# Integrity

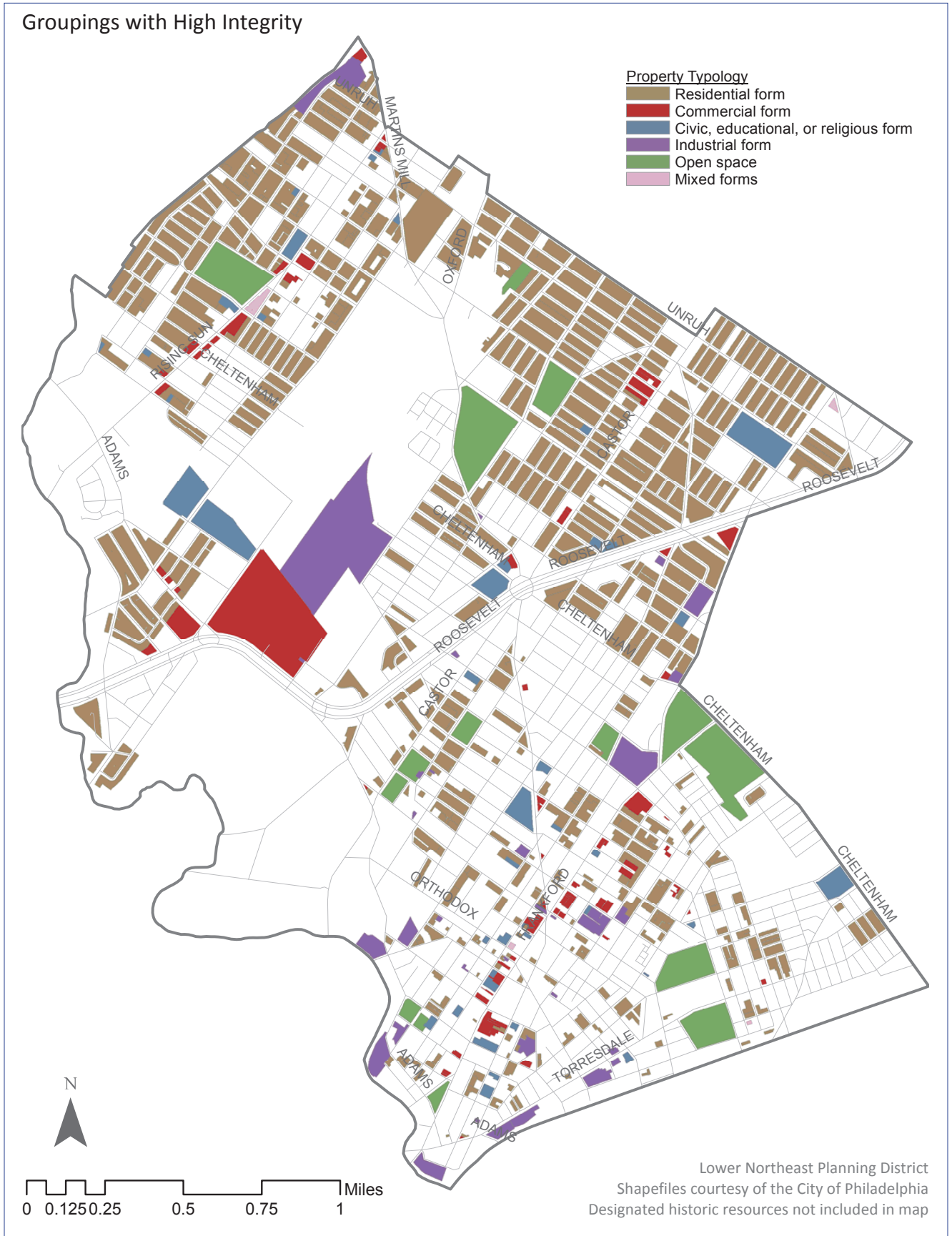
Property Typology  
High  
Medium  
Low



Lower Northeast Planning District  
Shapefiles courtesy of the City of Philadelphia  
Designated historic resources not included in map



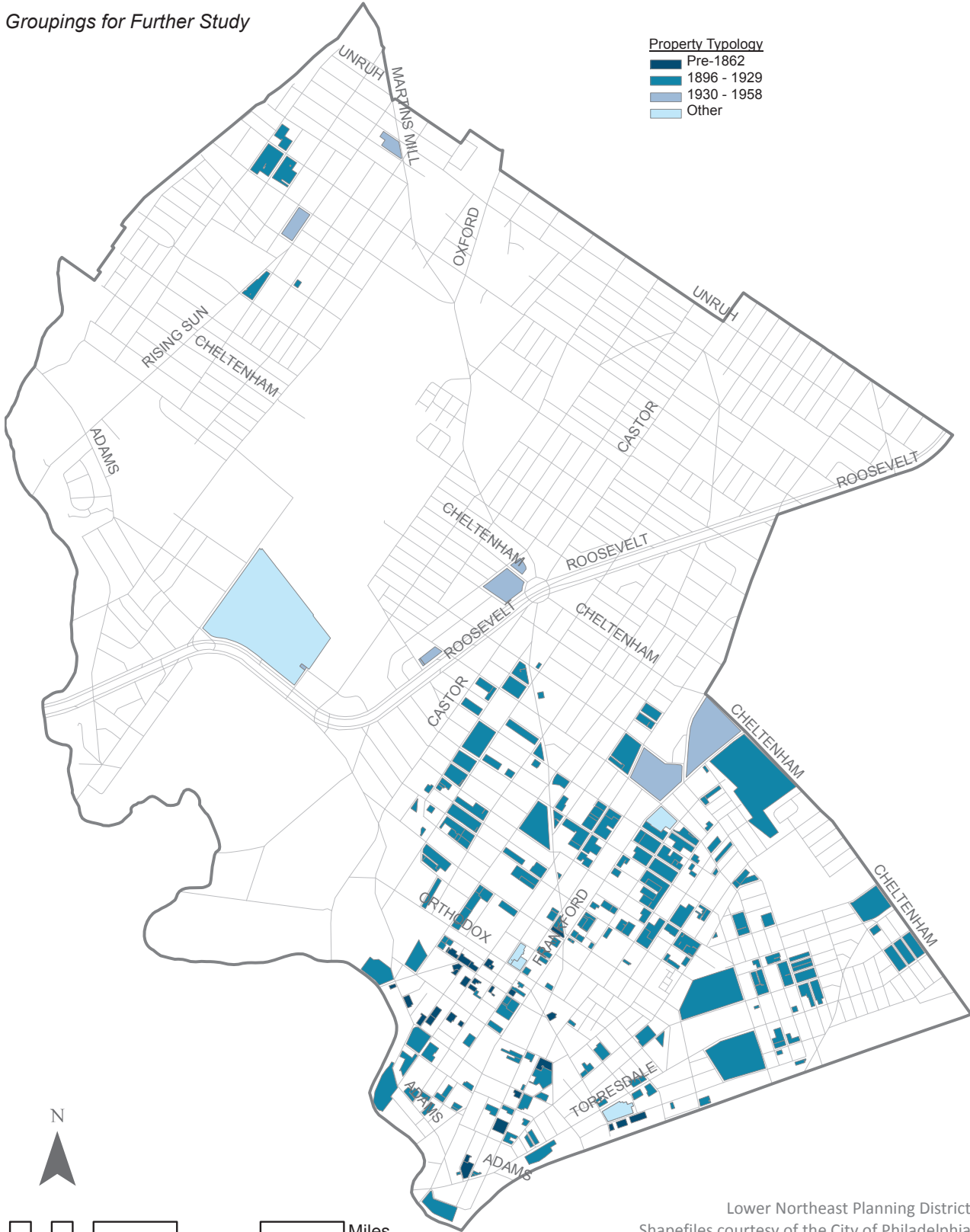
### Groupings with High Integrity



### Potential Historic Resources

*Groupings for Further Study*

**Property Typology**  
■ Pre-1862  
■ 1896 - 1929  
■ 1930 - 1958  
■ Other



Lower Northeast Planning District  
Shapefiles courtesy of the City of Philadelphia  
Designated historic resources not included in map

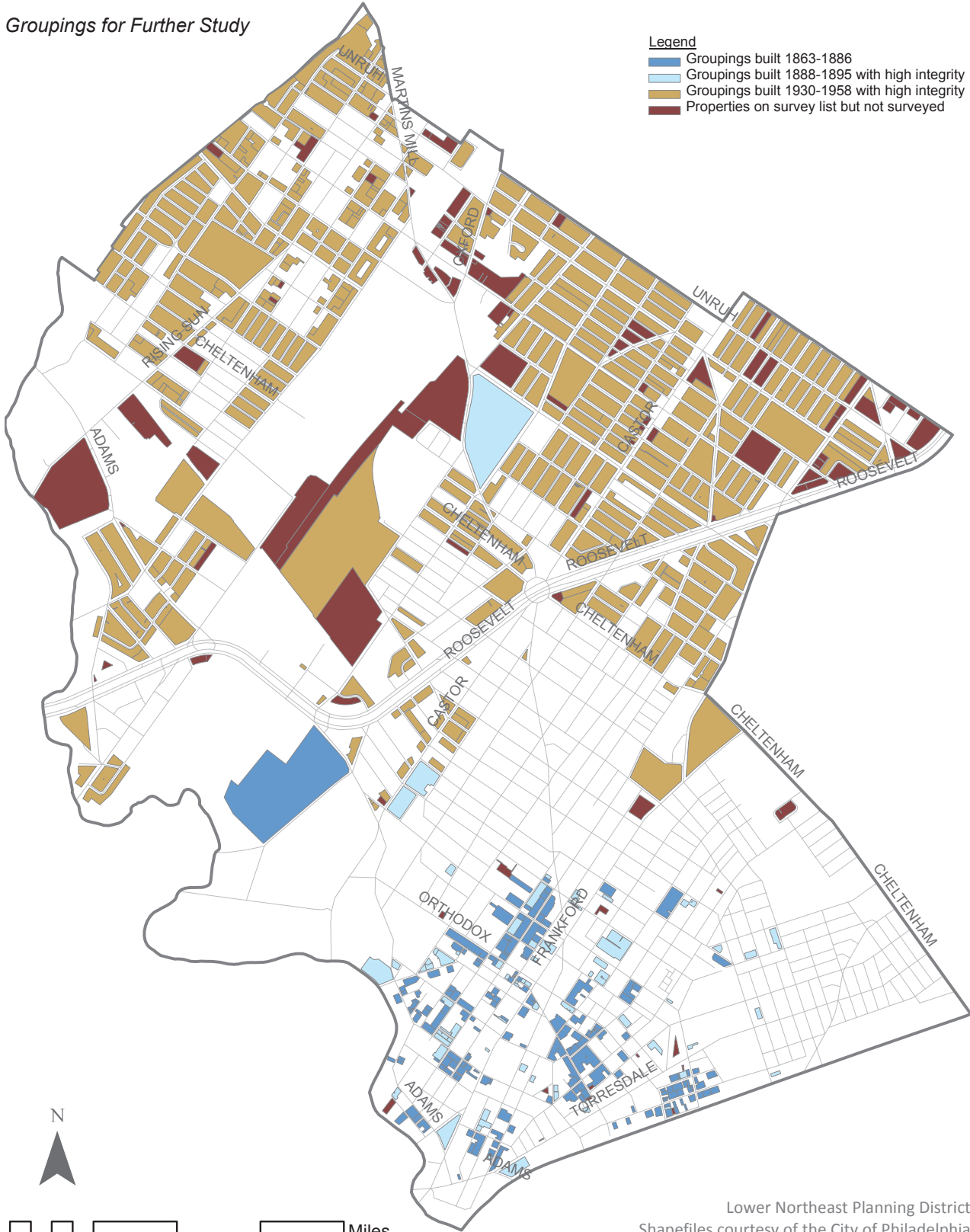


### Potential Historic Resources

#### Groupings for Further Study

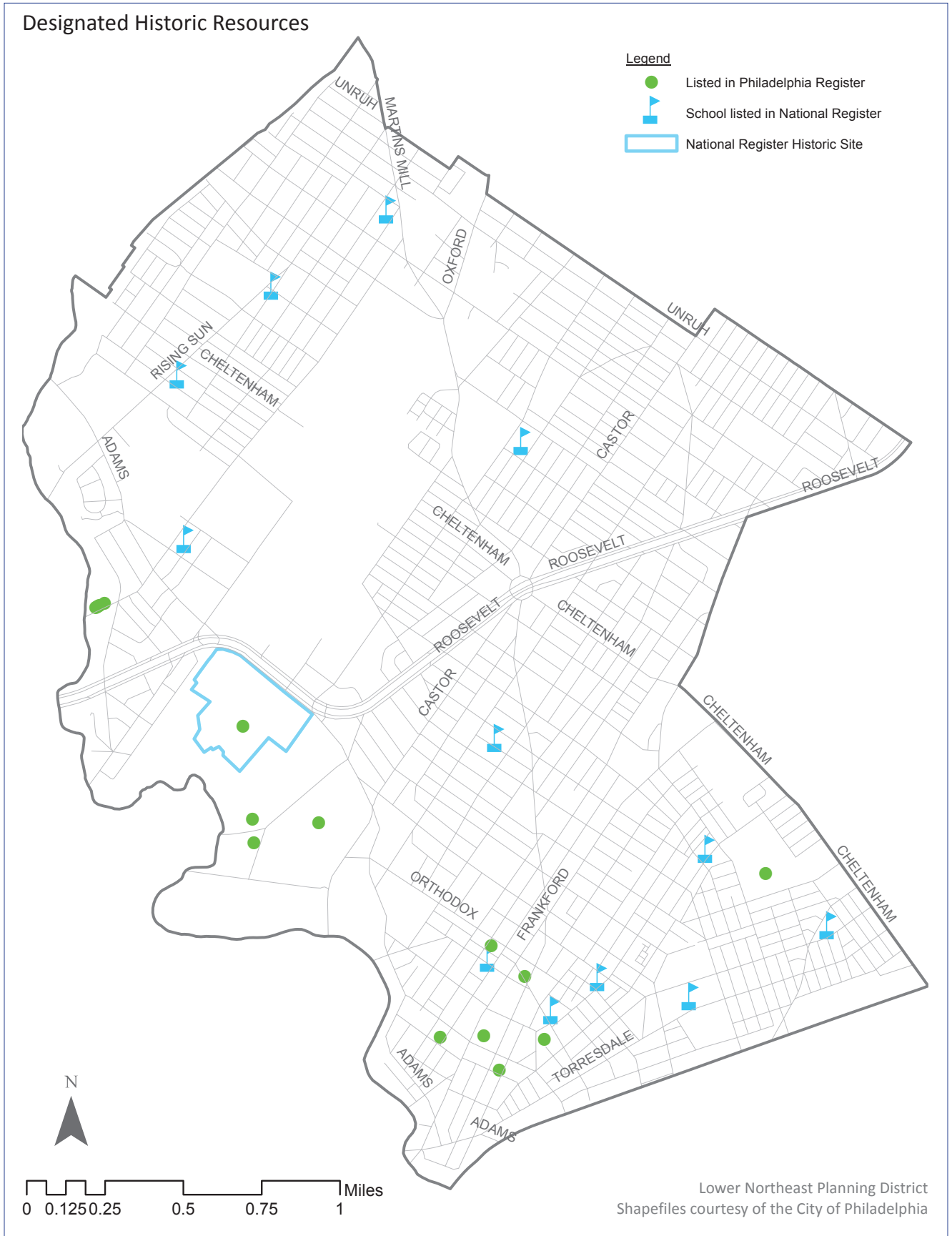
**Legend**

- Groupings built 1863-1886
- Groupings built 1888-1895 with high integrity
- Groupings built 1930-1958 with high integrity
- Properties on survey list but not surveyed



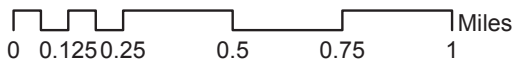
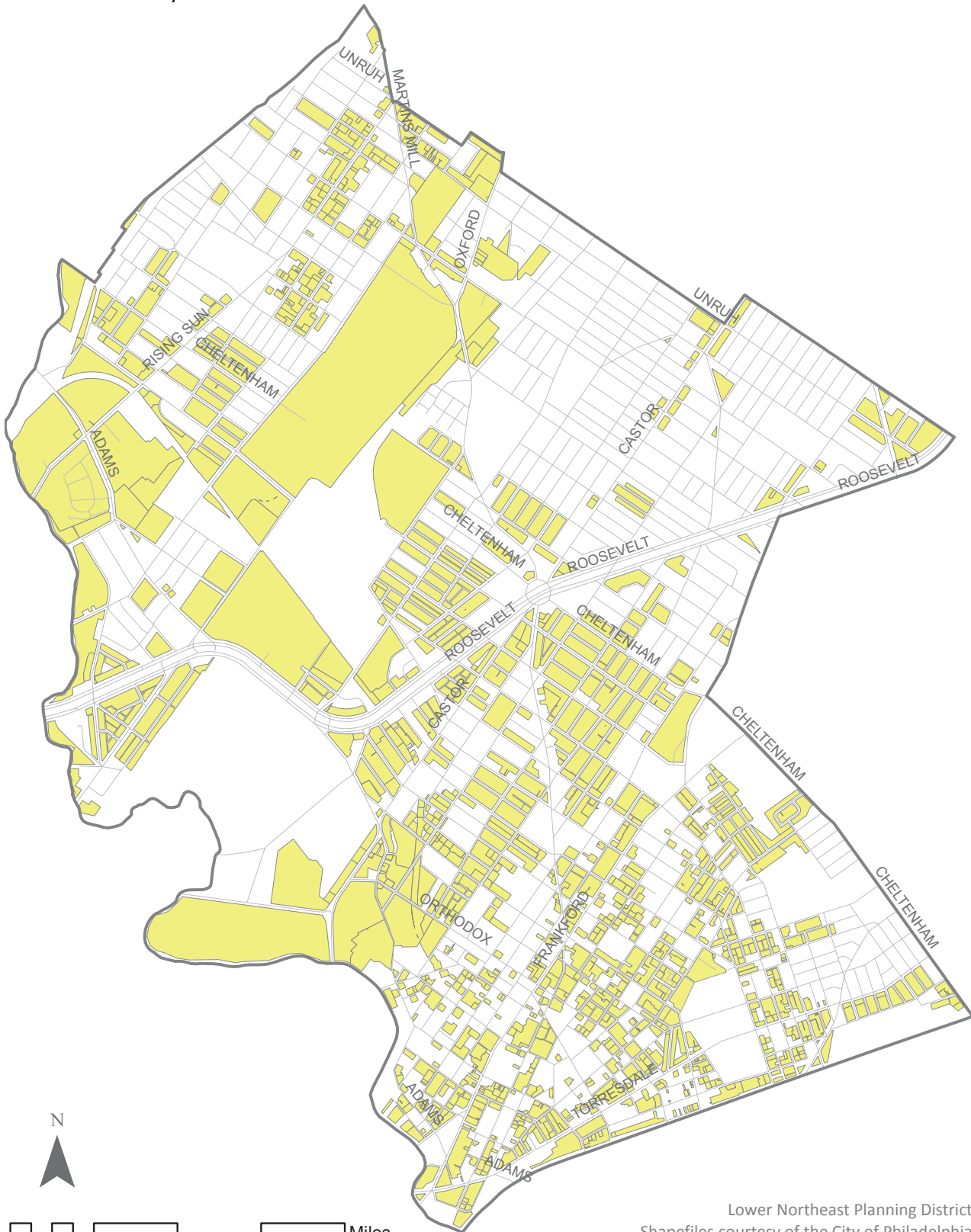
Lower Northeast Planning District  
Shapefiles courtesy of the City of Philadelphia  
Designated historic resources not included in map







No Further Study Needed



Lower Northeast Planning District  
Shapefiles courtesy of the City of Philadelphia  
Designated historic resources not included in map

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Hawkins, Dominique M. and Judy Peters. "Philadelphia Preservation Plan: The Frankford Survey." July 2009.

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