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PRESERVATION PLANNING AT THE LOCAL LEVEL: A CASE STUDY ANALYSIS

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A THESIS in Historic Preservation Presented to the Faculties of the University of Pennsylvania in Partial Fulfillment of the Requirements of the Degree of MASTER OF SCIENCE IN HISTORIC PRESERVATION 2009

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PRESERVATION PLANNING AT THE LOCAL LEVEL: A CASE STUDY ANALYSIS

Abstract

One of historic preservation planning's greatest tools is the preservation plan itself, which coordinates the various interests and activities of planning into one comprehensive document. While a growing number of localities are publishing preservation plans, comparatively little analysis exists that focuses on preservation plan implementation and effectiveness. The intention of this thesis is to further contribute to the critical reflection of this discipline, through a case study-oriented analysis that focuses on preservation planning history and plan implementation in several cities, in order to determine the usefulness of such plans and methods of improving successful implementation. The case study cities analyzed in this thesis are: Providence, Rhode Island, Lancaster, Pennsylvania and Staunton, Virginia. The selected preservation plans vary in form, content and implementation, and also represent a diversity of localities. These case study plans were analyzed not only through study of the plans themselves, but by examining implementation and success of preservation activities in each locality after its publication. As a result, the analysis presented here includes both a "quantitative" study of outcomes, directly linking plan recommendations with future results, as well as a qualitative assessment of success in each city, primarily based on insights expressed by local preservation professionals through interviews. Themes that are explored here include the planning process, citizen involvement, educational outreach and preservation incentives.

Comments

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in

Historic Preservation

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MASTER OF SCIENCE IN HISTORIC PRESERVATION

2009

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To my parents, thank you for your constant support and belief in me.
And in memory of my uncle, John Broderick,
who I know would be very proud.

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INTRODUCTION

Interest in citywide preservation planning as a distinct field from comprehensive city planning began to develop significantly in the 1970s and 1980s. The growth of the preservation planning field at that time was demonstrated by the growing number of localities which began to specifically plan for their historic resources. Localities adopted historic preservation ordinances, created historic districts and commissions and began to develop further tools for implementation. One of the greatest such tools has become the preservation plan, which organizes the various local preservation activities into one comprehensive document. Interest in preservation planning has continued to grow in more recent decades, especially as city officials further realize the value of preservation planning in local design, economic revitalization and sustainability. As preservation planning has developed, the plan itself has diversified in its form and content.

Historic preservation plans take many different forms, from elements of broader comprehensive plans to design guidelines, are published for various areas, from rural towns to larger regions spanning various state lines, and have been published by groups ranging from external consultants to the local historical commission. The elements contained within each preservation plan are as varied as its forms and its authors. Some focus on defining historic contexts and architectural styles, while others are more concerned with economic development and downtown revitalization. While some are broad policy documents, others put forth specific recommendations with defined roles for staff and a time frame for accomplishing each goal. In some localities preservation goals are incorporated with broader

planning interests such as housing and tourism, while in others they are treated alone, focused on the creation of historic commissions and ordinances.

While collections of preservation plan examples exist, describing the form and content of a variety of plans, few take the next step to assess the implementation and effect of these plans within their respective communities. The intent of the thesis is to study a selection of local historic preservation plans that vary in form, content and implementation in order to assess the success of preservation planning, and secondly, to identify a set of common themes from those studies which will contribute to further refinement of best practices in preservation planning. The thesis will define common components based on background research, study of selected preservation plans, and analysis of subsequent preservation efforts in the respective localities that the writer believes should be included in preservation plan efforts. Such definition of recommended components will be useful to the growing number of localities producing their first preservation plans, as well as those which are revising previous efforts.

This thesis begins with Chapter 1, *Methodology*, which describes the thesis process, including preliminary research, method of plan evaluation and plan selection. Chapter 2 focuses on *Literature Review*, providing a context for this thesis, including available comprehensive plan and planning literature, plan evaluation literature and preservation planning literature. This literature review reveals the need for more preservation literature that focuses on preservation plan evaluation and implementation. Chapter 3, *City Planning History: An Overview*, follows with a brief introduction to the evolution of the city planning and preservation planning fields and their respective uses of the written plan as a method of

establishing and implementing planning policy. Chapter 4 introduces the first case study, *Preservation Plan Implementation in Providence, Rhode Island*. Chapters 5 and 6 continue with additional case study reviews, *Preservation Plan Implementation in the City of Lancaster, Pennsylvania* and *Preservation Plan Implementation in Staunton, Virginia*, respectively. The thesis concludes in its final chapter with a comprehensive review of themes revealed in each case study, leading to a final presentation of recommended practices for local preservation plans.

CHAPTER 1: METHODOLOGY

Research for this thesis began with the topics of comprehensive city planning and preservation planning. Gathering such information was important in order to form the context for this thesis topic. This research formed the background understanding for this work, as well as several specific components of the thesis, specifically *Chapter 3: City Planning History: An Overview*, which introduces the concepts of city planning and the comprehensive plan, the history of preservation planning and the preservation plan, and finally, provides an overview of relevant literature on implementation and evaluation methods in the planning fields. The process of forming this literature review and background contributed first to a more thorough knowledge of the field, and secondly to an understanding of the gaps in preservation planning literature that will be discussed in this thesis.

Comprehensive city planning was studied first in order to gather information on the history and general principles of planning practice. As historic preservation planning and preservation plans are closely related to developments in the broader field of city planning and comprehensive plans, initial research appropriately focused on these topics. While comparatively little analytical research has focused on the actual implementation and evaluation of preservation plans, the broader planning field itself has a longer history and more literature devoted to its general principles and best practices. The content, form and evaluation of comprehensive city plans was also researched in order to gain a better understanding of how preservation plans might be analyzed and evaluated.

The next step of initial research focused on the history and background of preservation planning and preservation plans specifically. As a result, commonly accepted

elements of preservation plans were explored and outlined. The final steps of initial research involved synthesizing available writings which analyze common preservation plan components and generally accepted best practices.

With initial research completed and preservation plan precepts understood and defined, the next step was the actual evaluation of selected preservation plans in order to assess best practices and tools for evaluation. This included first defining how this evaluation would be performed. As established through the literature review, there are several generally accepted (if much debated) methods for evaluating plans, including plan critique of individual plans, comparative evaluation of multiple written plans, and finally, evaluation of plan outcomes after assumed implementation. Through literature review, it was found that on the whole, planning evaluation has focused mainly on evaluating the form and content of the plan itself, but that there has been little focus on whether plan objectives are actually achieved in practice.¹ In order to begin to fill this gap in preservation planning literature specifically, this thesis uses the evaluation method of plan outcome, which involves researching if the plan was implemented and if so, how successfully.

This evaluation was accomplished through use of three case studies, where implementation successes and failures could be studied within specific localities. Rather than choose plans and localities at random, the author based the choice on published bibliographies and summaries of preservation plans. As discussed previously, while evaluation of plan implementation is lacking in preservation literature, a fair amount of plan

¹ Lucie Laurian, Maxine Day, Philip Berke, Neil Ericksen, Michael Backhurst, Jan Crawford and Jenny Dixon "Evaluating Plan Implementation; A Conformance-Based Methodology," *Journal of the American Planning Association*, Vol. 70, No. 4 (Autumn 2004).

summary and review does exist. Most of these published works focus on discussing a selection of published plans, and summarizing plan components and form. The plans included are generally singled out for their well-written form and presumed success as a result. One often cited example of preservation plan review is *Local Historic Preservation Plans: A Selected Annotated Bibliography* by Neil Gagliardi and Stephen Morris. The *Annotated Bibliography* was initially published in 1993 by the National Park Service, which sought to provide an overview of the range of plans in use at that time and thereby to convey the flexibility inherent in planning. The authors selected plans from various locations throughout the country, and included a range of community types from rural areas to larger cities. The authors also consciously included a wide range of approaches to preservation planning and the forms that such preservation documents take. The *Annotated Bibliography* was published with the intent of giving interested communities a resource from which to research how similar communities have approached the incorporation of historic preservation into their community planning, and also to emphasize the diversity of preservation plans, thus demonstrating that plans can be tailored to specific community needs. The authors of the *Annotated Bibliography* acknowledged that the scope of their project was limited to the evaluation of the written documents. No efforts were made to assess the success of the included plans as research did not include field evaluation of whether the plans were well-implemented, if at all.

The three discussed case studies in this thesis were chosen from this *Annotated Bibliography*. The selection was made from this work first because the selection of plans had already been screened by the authors, and because by the fact of their assessment each plan had the potential to be a successful example of preservation planning. The author felt that

research would be aided by the knowledge that each plan had what professionals considered the potential for success. The question was how these well-written plans actually performed in the context of real planning and policy efforts. The final result would be hindered by analysis of poorly written plans that had little chance of succeeding to begin with. Secondly, the case study plans were selected from the *Annotated Bibliography* because sufficient time has passed since their publication that the author could effectively analyze how preservation efforts have played out in accordance with the published plans. Planning efforts cannot be analyzed without ample perspective, therefore the author wanted to ensure that analysis took place in localities where defined and planned preservation efforts have had time to mature.

In choosing the three case studies, the plans were first narrowed down by geographical accessibility to the author, in this case limited to Mid-Atlantic and New England cities. Case studies were limited to those localities which could be easily visited by the writer, in order to accomplish in-person interviews if necessary. The final choice of case studies did not heavily rely on including a variety of locality size or characteristics, although this was taken into account, but were chosen by including plans with a variety of form, content and recommendations. The final case studies chosen for this thesis are: *A Plan for Preservation, Providence, Rhode Island*; *Preserving Community Character: City of Lancaster, Pennsylvania*; and *Preservation in Staunton: A Comprehensive Preservation Plan for Staunton, Virginia*.

With the plans chosen, the next step was to define the method of plan evaluation. One of the most often cited sources on plan evaluation is an article entitled “General Plan Evaluation Criteria” by William C. Baer, published by the *Journal of the American Planning Association* in 1997. Within the broader topic of plan outcome evaluation, Baer discusses

several approaches, and presents important questions such as whether a “post hoc measure should be the difference between plan and reality, or the difference between what would have occurred in the absence of any plan and what happened with a plan in place?”² In other words, should a plan be treated as a “blueprint,” as Baer calls it, or as a vision for change which can have varied outcomes in reality and still be considered successful. For this thesis, a combination of the blueprint, or what could be called the quantitative, method of evaluation was employed in conjunction with a qualitative outlook.

After case study selection, each plan was read, and specific goals, recommendations and actions put forth by the plan were extracted. The next stage of research involved finding out whether or not each of these recommendations had been successfully completed, and if not, what have been the obstacles to success. Each case study approached recommendation review slightly differently and this has been reflected in the analysis presented in this thesis. For example, Providence presents “30 achievable, key actions” in its “28-page action strategy,”³ each of which has been individually analyzed in this thesis. In contrast, both Lancaster and Staunton represent vision and policy approaches, respectively. Case study analysis for those cities focused on the more goal-oriented approach of these cities rather than on specific, detailed actions.

Much of this work was accomplished through internet research, as many municipal planning and historic preservation departments provide detailed information through website publication on their activities and accomplishments, as well as subsequently

² W.C. Baer, “General Plan Evaluation Criteria: An Approach to Making Better Plans,” *Journal of the American Planning Association*, Vol. 63, 1997.

³ Neil Gagliardi and Stephen Morris, *Local Historic Preservation Plans: A Selected Annotated Bibliography*, U.S. Department of the Interior, National Park Service, Cultural Resources Branch of Preservation Planning, 1993, 9.

published plans which often describe intervening accomplishments and reasons for successes or failures in the past. This secondary source research helped to reveal “quantitative” results which directly linked plan recommendations with outcomes.

In addition to analysis of available internet information and published plans, research also involved contact with the plan’s writers if possible, as well as representatives of local planning offices, historical commissions, advocacy groups, and other involved parties for both access to the plans and for information and interviews regarding the successes and failures of the plans. Interview subjects were contacted through e-mail correspondence and phone. The majority of discussions were conducted through phone interviews, while several of the Lancaster interviews were conducted in-person. Before each interview, interview subjects were e-mailed a list of questions. Generally, half of the questions were directed at understanding of general preservation issues within the locality, while the second half were focused on the implementation of specific plan elements. Questions were tailored specifically for each interview subject, but the following list is representative of questions asked to the majority of interview subjects:

1. In your opinion, or to your knowledge, are preservation professionals in ____ still aware of the plan, _____?
2. Do you recall if at the time of publication, there was broad support for the plan and active moves towards implementing its recommendations?
3. Are there any preservation achievements that you would directly attribute to this plan?
4. Overall, would you rate the plan as a success or failure, effective or ineffective? In other words, has the plan directly played a role in decision-making within the community and planning efforts, has it guided preservation actions?
5. Based on your experience with prior preservation plans or preservation in ____ if you were to issue and RFP for an update (or replacement) today, what elements or recommendations would you want to see included in the plan?
6. Today, do you feel that historic preservation is a priority in the city - do city departments consider preservation goals in their decision-making? Do municipal actions generally reflect a preservation policy?

7. Do you feel there is preservation “awareness” among local citizens – are property owners included in the preservation planning process?
8. What are (or what have been) the most significant obstacles to achieving preservation goals in ____?
9. Were preservation priorities in ____ different at the time of the publication (or in the 1990s) than they are today?
10. Who/what are the main implementers of preservation in ____? City departments, advocacy groups, private professionals, volunteers, citizens?

Interview subjects provided not only opinions on the implementation and impact of the plans and the quality of preservation efforts within their localities, but also relevant data.

With this information gathered and synthesized, preservation plan success was analyzed, and final conclusions made as to best practices for preservation plans, and the varied factors which influence successful implementation.

CHAPTER 2: LITERATURE REVIEW

This literature review is divided into clear research sections. While each topic discussed here may not be specifically discussed again in subsequent chapters, the research presented here has informed the ideas underlying this thesis, and has been vital to analysis and development of conclusions and recommendations. For example, this literature review takes the opportunity to briefly explore the evolution of the city planning field and of its most well-known tool, the comprehensive plan. This research has been performed because preservation planning and the historic preservation plan itself have received comparatively less attention in published literature. As preservation planning has grown along with developments in the general planning field, and borrowed as well as enriched many of its concepts and tools, it is appropriate here to analyze developments in comprehensive city plans in order to apply concepts of implementation and evaluation to preservation plans. The distinct research veins presented here are these: an introduction to the development of city planning and the comprehensive plan, with sub-sections on works that focus on new developments in the evolution of the plan, and plan implementation and evaluation of plans; history of preservation planning and the preservation plan; and finally, works focused on review of preservation plans or analysis of their function and evaluation. The selected plans for this thesis, while probably the most important literature reviewed for this work, are not discussed here as they are the basis of the work and receive full attention in future chapters.

The development of the city planning profession and of the comprehensive plan has been well-documented in academic and practical literature. Numerous works are

devoted not only to the history of the field, but to its evolution as new developments and trends rise to the surface. Additionally, articles analyzing planning's actual role in cities and its effectiveness have been extensively published. Finally, much has been written about how one can connect the written plan to what is actually implemented in cities, and how one can evaluate the implementation of plans in cities.

Most works dealing with the development of the field and the comprehensive plan, as well as accepted elements of comprehensive plan documents, are published in introductory texts to the field, which thoroughly introduce those new to the field to the basics of planning. Such works include John M. Levy's *Contemporary Urban Planning* (1st edition 1991), Melville C. Branch's *Comprehensive Planning: General Theory and Principles* (1983), and Eric Kelly's and Barbara Becker's *Community Planning: An Introduction to the Comprehensive Plan* (2000). These works provide generally accepted approaches to planning today as well as cover the basics of planning's development over time.

Articles published in varied journals of the planning profession address more specific and critical approaches to planning, analyzing how and why the field has evolved and what new approaches have come to the forefront. Numerous articles focus on the development of the profession and the difference between academic planning, or what is considered ideal planning, and what actually occurs in practice when numerous concerns, stakeholders and politics are involved. One such article is "Toward Greater Heights for Planning; Reconciling the Differences between Profession, Practice and Academic Field" (2005) by Dowell Myers and Tridlib Banerjee, in which the authors discuss the growing interest in the planning field, their concern over the field's identity as attached to the

comprehensive plan, and their opinion that the field should grow to include the varied planning activities that planners actually practice today.⁴ “Does Planning Need the Plan?” published by Michael Neuman in 1998, questions the comprehensive plan’s status as the centerpiece of planning, and compares plan-based and non-plan based practice. The article provides a useful history of “the plan” and discusses varied critiques that have been aimed at it over time. Plans focused on the physical and those focused on policy are discussed in-depth. Neuman concludes that to be most effective, the new and varied tools introduced to planning need to be linked to a plan which gives them a legal and implementation basis.⁵

The latest approaches, which such authors argue produce stronger plans, are discussed and debated in both complementary and competing articles. Many recent articles discuss the importance of community involvement in the planning process, an issue which may prove to be particularly applicable to successful historic preservation planning efforts. Knowledge of such developments and new tools will be applied in subsequent recommendations for historic preservation plan improvement. For example, Raymond Burby’s “Making Plans that Matter; Citizen Involvement and Government Action” (2003) focuses on the concept that strong plans come from planning processes that involve various stakeholders, and argues that ineffective plans and poor implementation usually occur when the public is not involved in creating the plan. Most importantly, the article provides evidence to the truth of these statements through

⁴ Dowell Myers and Tridib Banerjee, “Toward Greater Heights for Planning, Reconciling the Differences between Profession, Practice, and Academic Field,” *Journal of the American Planning Association*, Vol. 71, No. 2, (Spring 2005).

⁵ Michael Neuman, “Does Planning Need the Plan?” *Journal of the American Planning Association*, Vol. 64, No. 2, (Spring 1998).

thorough research and data analysis.⁶ “Mandating Citizen Participation in Plan Making: Six Strategic Planning Choices” published by Samuel Brody, David Godschalk and Raymond Burby in 2003, echoes the idea that citizen participation is a key component in planning which leads to the production of “enduring plans.” They emphasize the importance of participation in not only building trust, but in enforcing commitment to the implementation of proposed policies. Again, the authors scientifically analyze the connection between citizen participation and outcome. In “Planning Through Consensus Building; A New View of the Comprehensive Plan” (1996), Judith Innes focuses on responding to critiques of the practice of planning and plans by emphasizing the development of new practices that have renewed the field - most specifically, consensus building and stakeholder involvement.⁷

Important to this thesis is the review of works that focus on the evaluation of the success or failure of plan implementations, thereby refining ideas as to what is most important in plan creation and what elements must be included. Literature review shows that this has become a particularly pressing issue in recent decades, with numerous articles published throughout the 1990s and 2000s devoted to the topic. Such research has informed not only specific recommendations for this thesis project, but has formed the very basis for the project. The amount of discussion devoted to plan implementation and evaluation reveals that it is considered a significant issue worthy of close study.

⁶ Raymond J. Burby, “Making Plans that Matter; Citizen Involvement and Government Action,” *Journal of the American Planning Association*, Vol. 69, No. 1, (Winter 2003).

⁷ Judith E. Innes, “Planning Through Consensus Building; A New View of the Comprehensive Planning Ideal,” *Journal of the American Planning Association*, Vol. 62, No. 4, (Autumn 1996).

For example, Mark Seasons, the author of “Monitoring Evaluation in Municipal Planning; Considering Realities,” (2003) opens his article by acknowledging that planners often come away from their work feeling uncertain about “the efficiency, effectiveness, or impact of their interventions.” He states that planners would feel more confident in their work if some “causality” could be established between planning interventions or suggestions and actual decisions and implementation. The author also specifically mentions that planners need “clearer definitions of success or failure in specific contexts,” an idea first put forth by a variety of E. Talen’s works published in the early 1990s concerning methods to evaluate implementation. Important to the research of this thesis, Seasons emphasizes the equal importance of qualitative research to complement quantitative data when evaluating plan effectiveness.⁸ This opinion will affect the approach to analysis in this thesis, and validate a qualitative approach to analysis of success and failure where quantitative data may be unavailable or where qualitative analysis seems more applicable.

One of the most influential and cited articles concerned with plan implementation and evaluation is “General Plan Evaluation Criteria” written by William C. Baer in 1997. Baer begins his article by describing several types of plan evaluation, and goes on to review each of these approaches. Baer emphasizes that planning will not be taken seriously as a profession unless evaluation criteria exists with which to judge effectiveness. The type of plan implementation most applicable to this thesis is what Baer calls “Evaluating Post Hoc Plan Outcomes.” Baer states that the purpose here is to

⁸ Mark Seasons, “Monitoring and Evaluation in Municipal Planning, Considering the Realities,” *Journal of the American Planning Association*, Vol. 69, No. 4 (Autumn 2003).

discover first of all if the plan was implemented, and next, how it performed or its effectiveness. The author points out that significant time needs to pass before a plan can be implemented and therefore evaluated. Generally, this type of evaluation calls for what he calls the “blueprint method,” whereby one compares the plan’s intended outcome against what has actually occurred. While this type of evaluation has faced some criticism, Baer seems to support its application as long as the evaluator keeps in mind the underlying concept of the plan and allows for some variants in implementation, recognizing that implementation in the real world may not adhere strictly to the plan, but can still be considered successful.⁹

In a field like historic preservation planning, in which ideas like quality of life or sense of place are so emphasized, qualitative data may be the best means to analyzing the outcome of preservation plans. “Evaluating Plan Implementation,” published by a group of planning professors under the direction of Lucie Laurian, emphasizes that planners know very little about actual implementation of their plans, relying more on assumptions about success or failure than on any actual assessment. Published in 2004, the article asserts that “To date, the planning evaluation literature has focused on evaluating the nature and quality of plans and planning practice, but has paid little attention to whether plan objectives and policies are actually achieved in practice.” The writers propose to address this problem by employing what they call a “conformance-based approach” to evaluation, which focuses on planning outcomes and the link between plans and actual development. The authors would consider a plan implemented and therefore successful if

⁹ W.C. Baer, “General Plan Evaluation Criteria: An Approach to Making Better Plans,” *Journal of the American Planning Association*, Vol. 63 (1997).

development patterns were to adhere to the plan's policies and objectives.¹⁰ While the details of such works may not be directly employed to analyze the preservation plans studied in subsequent chapters, their basic ideas have greatly helped to inform this thesis project and have proven the need for such evaluation.

The extensive writing about comprehensive planning and the thorough analysis its practices have received, which are only hinted at above, is not echoed within historic preservation literature. Literature review has revealed that the major focus of published historic preservation literature remains on physical conservation techniques or planning for the conservation and preservation of individual structures. While planning literature has grown, its focus seems to remain mostly on the history and development of the preservation field and preservation planning as a concept. Practical application of preservation planning is usually discussed in the context of tools like local historic districts and commissions. There is little available research on the concrete application of preservation planning in the form of preservation plans, which form both the conceptual and practical basis for the use of such tools.

Preservation literature does, however, address the link between planning practice and preservation practice, which is needed here to legitimize the connection between approaches to comprehensive plan evaluation and preservation plan evaluation. Preservation planning has borrowed from urban planning before, and it should continue to follow its lead in analyzing implementation. One article that addresses the evolution of this linkage is Eugenie Birch's and Douglass Roby's "The Planner and the

¹⁰ Lucie Laurian, Maxine Day, Philip Berke, Neil Ericksen, Michael Backhurst, Jan Crawford and Jenny Dixon, "Evaluating Plan Implementation: A Conformance-Based Methodology," *Journal of the American Planning Association*, Vol. 70, No. 4 (Autumn 2004).

Preservationist,” published in 1984, which emphasizes that the planning and historic preservation fields have had similar patterns of development. The article not only addresses planning’s initial ambivalence to preservation, but also how the two fields have moved closer together in recent years.¹¹ The article provides a useful background on the history of preservation planning and its connection to general urban planning. Another useful work has been Marya Morris’ “Innovative Tools for Historic Preservation” (1992) which devotes a full chapter to “Preservation and the Comprehensive Plan,” covering the types of local preservation plans and what preservation gains in the planning process. Morris explains both the inclusion of planning elements into comprehensive plans as well as the development of the stand-alone comprehensive plan itself. The article mostly focuses on descriptions of types of plans, but does provide some guidance on how historic preservation should be coordinated with the comprehensive plan.¹²

As for analyzing preservation plans specifically, most literature in the past has been in the form of a summary review of one or several plans. Publications that focus on a variety of plans which have been analyzed at least for a likelihood of success appears rare, with the most cited and referenced example being Neil Gagliardi’s and Stephen Morris’ *Annotated Bibliography* (1993) which influenced the case study selections for this thesis project. As with other annotated bibliographies and general reviews, the authors acknowledge that the scope of their project did not include evaluation of successful (or unsuccessful) plan implementation.¹³ Until recently, little published work in a similar vein to that publication has been produced. Just recently, Randall Mason, a professor of

¹¹ Eugenie Ladner Birch and Douglass Roby, “The Planner and the Preservationist: An Uneasy Alliance” (APA Journal Spring 1984).

¹² Marya Morris, *Innovative Tools for Historic Preservation* (Chicago, IL: American Planning Association, 1992).

¹³ Gagliardi.

planning in the historic preservation program at the University of Pennsylvania, published an article entitled “Preservation Planning in American Cities,” (Winter 2009) for *Forum Journal*. The article describes a survey process undertaken by Mason as well as other faculty and students from the University of Pennsylvania, in which researchers “surveyed patterns and trends in preservation planning at the citywide scale in U.S. cities.” The article puts forth a useful detailed description of current plan type and form as well as some analysis on the “ideal” for preservation planning.¹⁴

One significant exception to this more common bibliography or survey form of study is *Preparing a Historic Preservation Plan*, a booklet written by Bradford J. White and Richard J. Roddewig, published by the National Trust for Historic Preservation and the American Planning Association in 1994. This work devotes considerable effort to explaining the purposes of preservation planning, types of preservation planning, and the concept of a written preservation plan. Most importantly, it also devotes a chapter to “Elements of a Good Preservation Plan,” which the authors believe should include such elements as a historic resources survey, coordinating preservation efforts with zoning and land use plans, and incentives for historic preservation. The publication’s final chapter is devoted to the preparation and implementation of historic preservation plans. The majority of this chapter is devoted to plan preparation and adoption, which the authors describe through the use of several case studies. A smaller section at the end of the chapter discusses several identified steps to effective plan implementation, but does not identify any specific examples of successful plans or analyze the actual implementation of any of its identified case studies. Published shortly after Gagliardi and Morris’ *Annotated*

¹⁴ Randall F. Mason, “Preservation Planning in American Cities,” *Forum Journal*, Vol. 23, No. 2. (Winter 2009).

Bibliography, this work emphasizes many of the same principles of well-written plans, but again does not analyze plan success in the context of actual implementation.¹⁵ This is largely due to the fact that the publication of comprehensive preservation plans did not begin to significantly emerge until this period, therefore not allowing the authors sufficient time for such analysis.

In addition to journal and book research, attempts at researching the topic through internet resources has been thoroughly undertaken, with the hopes that the most up-to-date information would be provided by preservation firms, foundations or interest groups through their sites. This search returned an unexpectedly small amount of literature, with most work again focusing on examples of preservation plans, but very little evaluation of the successes or failures of their implementation.

The website of the National Park Service provides the most information and guidance for preservation planning. The website includes discussion of preservation planning within the context of the *Secretary of the Interior's Standards*, as well as some guidelines for creation of a preservation plan through inclusion of historic contexts and integration with management frameworks, which means other city planning concerns and their defined land units. The National Park Service web publications also greatly emphasize the new focus on public participation, and provide detailed information on the importance of public involvement as well as specific ways to accomplish this goal.¹⁶

¹⁵ Richard Roddewig and Bradford White, *Preparing a Historic Preservation Plan* (APA Planning Advisory Service, 1994).

¹⁶ Historic Preservation Planning Program, National Park Service; available from <http://www.nps.gov/history/hps/pad/index.htm>; Internet; April 2009.

The most relevant publication found through internet research is a draft document circulated by the National Park Service entitled “Draft Principles of Preservation Planning; Guidance for Local, State, Tribal and Federal Preservation Efforts,” dating from March 2000. The goal of this project is similar to that proposed by this thesis, with the intent “To identify best practices [or guiding principles] in historic preservation planning at the federal, state, tribal, and local levels to help guide future planning activities.”¹⁷ Sue Renaud, Preservation Planning Program Manager at the National Park Service, states that these draft principles grew out of a project to identify best practices in order to update the *Secretary of the Interior’s Standards for Preservation Planning*. The project was the product of an “Issues Identification Meeting” in 1998 which brought together representatives from municipalities, State Historic Preservation Offices and federal agencies. A “Document Study” covering planning theory and practice and plans themselves was conducted, and a “Fact Finding” phase collected “best practices” based on survey of practitioners through meetings and correspondence. 44 “Preliminary Statements of Best Practice in Preservation Planning” were gleaned from this process, which were then edited to the final “Draft Principles” in 2000. According to Renaud, the principles are still in draft form, and have not yet been completed.¹⁸

Literature review research has not uncovered any other documents which are specifically related to analyzing preservation plan implementation and evaluation, or best practices of preservation plans. While the importance of such analysis is supported by the more thorough study demonstrated in the field of comprehensive city planning, similar

¹⁷ National Park Service; *Draft Principles of Preservation Planning*, available from www.nps.gov/hps/pad/PlngPrinc.html; Internet; accessed December 2008.

¹⁸ Sue Renaud, e-mail to the author, January 2009.

work in the field of preservation has not been undertaken in-depth to date. Furthermore, while some principles and recommendations have been set forth in a scattering of documents based on literature research, analysis has not yet been undertaken by revisiting cities with preservation initiatives and evaluating based on actual circumstances and fieldwork. This gap in preservation literature provides an opportunity to initiate such analysis within the field of historic preservation, with further refinement of best practices and evaluation tools encouraged in the future.

CHAPTER 3: CITY PLANNING HISTORY: AN OVERVIEW

3.1 Introduction to the History of City Planning and the Comprehensive Plan

Over time preservation planning and the preservation plan have grown to be increasingly interrelated with the field of comprehensive city planning. Preservation planning has adopted much of the theory and practice of city planning, and has developed and evolved along with the broader planning field. City planning has a significantly longer history than preservation planning, and its history and development from the 19th through the 21st centuries will be briefly described here in order to provide a context for the eventual birth of the preservation planning field and its subsequent phases in theory and practice.

While “planning” is a broad field which can occur at many levels, from national to neighborhood planning, the focus of this thesis is on planning at the local or community level in keeping with the subsequent analysis of local preservation plans. Planning at any level, for any type of activity, has “in common a conscious effort to define systematically and think through a problem to improve the quality of decision making.”¹⁹ Such planning becomes necessary due to issues of “interconnectedness and complexity.”²⁰ At its most basic level, city planning can be defined as the field of study and practice that determines the design and organization of space and activities within a defined locality.

To some extent, planning for cities has existed for centuries. In *Comprehensive Planning for the 21st Century*, Melville Branch states that:

“Since the earliest days of humankind, planning has been inherent in personal and society activities, recognized as essential to the conduct of government, business, and war... This forethought has been organized and formalized in most areas of human

¹⁹ John M. Levy, *Contemporary Urban Planning*, 6th edition (Upper Saddle River, N.J.: Prentice Hall, 2003), ix.

²⁰ Levy, 1.

endeavor, and has long since been incorporated into the institutional and legal structure of society.”²¹

Another source points out, however, that while “Efforts to prescribe the shape of human settlement have occurred throughout recorded history and many historians have chronicled the results....this fact does not mean that city planning, as conceived by its Progressive Era proponents, had been present all along.”²² City planning as it has developed as a professional field in the United States, then, came about primarily in response to the rapid urbanization that began in the late 19th century.²³ Prior to that period, planning in the United States was either focused on the creation of new settlements, or was focused on independent projects.²⁴ The pressures of urban growth and development brought about a need for organized intervention and action. With growth and greater complexity “more systematic shaping of cities seemed warranted.”²⁵ This more systematic view of planning for cities grew from the earlier and more fragmented response to growing urban pressures (or special purpose planning²⁶), combined with the ideals of the Progressive Era and the City Beautiful movement.

While sources unanimously support the idea that city planning as a professional field began its growth in the early 20th century, it is Jon Peterson’s *The Birth of City Planning in the United States 1840-1917* that most directly links the field’s beginnings with Progressive Era reform stating that “City planning is best understood as a child of Progressive Era urban

²¹ Melville C. Branch, *Comprehensive Planning for the 21st Century: General Theory and Principles* (Westport, CT: Prager, 1998), 11.

²² Jon A. Peterson, *The Birth of City Planning in the United States, 1840-1917* (Baltimore: Johns Hopkins University Press, 2003), 5.

²³ Levy, 7.

²⁴ Levy 25-26, Peterson 6.

²⁵ Peterson, xvi.

²⁶ Peterson, 22.

reform.”²⁷ In fact, it was during this era that “city planning” was first officially used in this period.²⁸ The rapid industrialization and urbanization of recent years produced problems like pollution, congestion, and related social ills that awakened reform instincts in activists. Slowly, local reform became more widespread and began to focus on the city as a comprehensive whole. The City Beautiful movement grew out of these concerns and discussions.

While the City Beautiful movement is best known for its concentration on the monumental beautification of cities in order to create civic virtue among populations, Peterson treats City Beautiful as “a complex historical force rooted in local life and linked to the broader sweep of urban reform in the United States.”²⁹ Emerging first between 1897 and 1902,³⁰ the movement’s grand designs were often utopian in nature and not completely practical, but they did promote a comprehensive view of the city, and cohesion of its ideas in plan form, which would greatly influence the development of city planning. This comprehensive view of the city is said to be entirely new to this period. Peterson states that the movement’s leaders, including Frederick Olmstead, felt that “the overall development of the modern city as a physical entity should be controlled in a coherent, all-encompassing way by public authority. Without question, this was a new idea, warranting fresh nomenclature.”³¹ In order to carry out their ideas and goals planning advocates promoted framing planning ideas in a comprehensive plan.³² It is said that “By 1905, the movement

²⁷ Peterson, 2.

²⁸ Peterson, 6.

²⁹ Peterson, 98.

³⁰ Peterson, 98.

³¹ Peterson, 2.

³² Peterson, 3.

was fulfilling its most ambitious ideal: the comprehensive planning of cities.”³³ The first deliberate comprehensive plan was that published by the Municipal Art Society for New York City in 1903.³⁴ Peterson states that “By 1911, the birth of city planning was an accomplished fact. A self-conscious, nationally organized field of endeavor with comprehensive planning as its core principle had emerged as the unintended response to the social progressive challenge.”³⁵ Once established, the field next had to begin to define itself and build credibility.

Slowly, authority and laws were transformed in order to adapt to the need to implement these plans. City authorities that had the legal basis to implement plans needed to be created. The first was a planning commission established by Hartford, Connecticut in 1907.³⁶ The combination of the comprehensive plan with this designated authority to implement it is what truly transformed the field. One such plan, which had a marked impact on the history of city planning, was the *Plan of Chicago*. One source calls it the “single most important offshoot of the City Beautiful movement, as far as the development of an American planning tradition is concerned.”³⁷ It is said that “the Plan of Chicago defined for a long time the planner’s and perhaps also the informed citizen’s view of what a plan should be.”³⁸ The plan was comprehensive, long-term, focused on public land, and was to be implemented largely through public capital investment.³⁹

³³ Peterson, 171.

³⁴ Peterson, 171.

³⁵ Peterson, 259.

³⁶ Peterson, 207.

³⁷ Levy, 35.

³⁸ Levy, 36.

³⁹ Levy, 36.

The concepts of the comprehensive plan formed in these early years lasted for many decades, with the most important developments in that period focusing on “the evolution of public control over privately owned land. Beginning in the very late nineteenth century, a series of laws and court cases began to establish the right of local government to control the use of land that it did not own. The capacity of government to zone land for different uses was fairly well established by 1920 or so.”⁴⁰ Throughout the 1920s, zoning ordinances were created throughout the United States as legal precedents were established.⁴¹ This right of the government to exercise control over use of private property is “one of the central stories in the history of modern planning. Were local governments unable to exercise control over the use of privately owned land, the practice of planning in the United States would be vastly different and more limited.”⁴² Concurrently, planning commissions and staff were created and hired to oversee implementation of plans and compliance with these new zoning regulations.⁴³

Some historians note that the city planning field suffered setbacks during the Great Depression, but following World War II, the concepts of planning and the comprehensive plan were revived.⁴⁴ An increase in planning activity came about as a response to the growth and expansion of suburbs, as well as to the increased need to revitalize inner cities due to this suburbanization.⁴⁵ During this period in the 1950s and 1960s, city planning became known for its alignment with the federal government’s urban renewal projects. At this time, federal law required that urban renewal projects follow a comprehensive city plan before the

⁴⁰ Levy, 37.

⁴¹ Levy, 37.

⁴² Levy, 64.

⁴³ Levy, 38.

⁴⁴ Peterson, 29.

⁴⁵ Levy, 60.

work could be funded.⁴⁶ This work renewed interest in and awareness of city planning and the comprehensive plan.

By the mid-1960s, however, backlash against both urban renewal, and by connection, comprehensive planning, began to build. First, it had become apparent that urban renewal was failing to revitalize cities, and that well-defined, strategic goals needed to be formulated by cities, rather than relying on the utopian, top-down approach put forth by the City Beautiful movement decades before. Secondly, comprehensive plans began to be seen “as elitist and too preoccupied with the physical city.”⁴⁷ Citizen involvement and an integration of physical design with social concerns became more important. City planning was “moving away from its traditional view that there is a unified public interest which should guide urban development and whose discovery is the planner’s special province, and toward a pluralistic view of the public interest and of the necessity for a reconciliation of separate special interests.”⁴⁸ These new ideas have grown since that period, with a greater focus on citizen involvement, community awareness and smaller-scale planning at the local and neighborhood level. Comprehensive plans are now associated more with an integrated, fluid approach to numerous issues and concerns than with the former idea that treated the planner as the only expert and the comprehensive plan as a blueprint document that controls every aspect of the city regardless of competing ideas.

City planning and the comprehensive plan have not disappeared, then, and in fact are as present as ever in United States cities. Peterson states that:

⁴⁶ Peterson, 29.

⁴⁷ Peterson, 328.

⁴⁸ Peterson, 328.

“Whether comprehensive planning, simply as a technique, is dead is another matter altogether. Many city planning commissions and departments exist in the United States, and many of them still produce or hope to produce master plans of some sort. At least fifteen states by 1997 prescribed growth-management mandates to be reflected in local plans, with twelve states requiring or encouraging local comprehensive plans.”⁴⁹

The comprehensive plan is still a strong force in planning efforts, though it now attempts to incorporate a more citizen-minded, and truly comprehensive, attitude. Recently, the comprehensive plan of the 21st century has been defined as:

“A plan for an organizational entity as a whole, as distinct from a plan for one or several of its parts. It is a set of interrelated policies, objectives, and sequential actions derived from continuous analysis and decision concerning the present state and future development of the organism. It is the current, adopted statement of intent, strategy, programmed accomplishment, and expected actions: periodically re-examined to determine what modification is necessary or desirable, but subject to revision or replacement whenever called for by emergency conditions or unexpected events of major import. It is a principle measure of institutional, managerial, or command performance.”⁵⁰

In addition to the comprehensive plan are “component” plans which can cover a specific element of the greater comprehensive plan. One such example of this would be the historic preservation element of a comprehensive plan. Branch points out that “the component plan can be comprehensive within itself if it considers the full range of its constituent parts.”⁵¹

These elements of a city’s comprehensive plan are usually dictated by its state’s enabling legislation, as “A municipality’s authority to do comprehensive planning comes from state planning and zoning enabling legislation. Comprehensive plans are a declaration of policy and intent of a local government.”⁵² While some cities have voluntarily published comprehensive plans, others are instructed to do so by the state, and are often required to

⁴⁹ Peterson, 329.

⁵⁰ Branch, *Comprehensive Planning for the 21st Century*, 5.

⁵¹ Branch, *Comprehensive Planning for the 21st Century*, 5.

⁵² Morris, 31.

include certain specific elements like historic preservation. Today, planning agencies (generally with a director, commission and staff) still exist to oversee planning in the city. Additionally, the agency will generally foster links to the community through advisory and lay groups.⁵³

The comprehensive plan itself is the result of a planning process that typically includes several basic phases which are acknowledged by various sources. Levy specifically lists them as: research phase; clarification of community goals and objectives; period of plan formulation; period of plan implementation; period of review and revision.⁵⁴ Behind these phases lies what Levy calls “a highly politicized environment”⁵⁵ which involves the entirety of the city government, the planning agency, local business leaders and developers, citizens and visitors. Carrying out day-to-day city planning activities and implementing a plan, then, involves engaging each of these groups and integrating their own vision for the community. As the city planning field has developed in the 20th and 21st centuries, community involvement has become an increasingly significant ideal, as well as a practical action of the planning process. It is generally accepted that successful city planning today includes this citizen involvement, as well as a fluid, continually updated planning process and document which can respond to the city’s needs.

3.2 Introduction to the History of Preservation Planning and the Preservation Plan

As discussed above, an historic preservation element is often required as part of a city’s comprehensive plan. This element may take the form of a separate “component plan” as Branch calls it, or may be incorporated within the comprehensive plan itself. While urban

⁵³ Levy, 85-87.

⁵⁴ Levy, 105.

⁵⁵ Levy, 78.

design and physical character have been an important part of city planning since its earliest days as part of the City Beautiful movement, preservation planning as its own acknowledged field has a much shorter history. Historic preservation's evolution of focus from planning for single buildings only (still a significant part of preservation's conservation science focus) to preservation planning as a comprehensive tool for an entire community is a fairly recent phenomenon which has followed the lead of the broader city planning movement. Here, a brief introduction to preservation planning and the comprehensive historic preservation plan will be presented, followed by a more in-depth look at preservation plan elements and "best-practices."

The connection between historic preservation and planning, and the evolution of the preservation planning field, was closely analyzed in an article entitled "The Planner and the Preservationist; An Uneasy Alliance," published by Eugenie Birch and Douglass Roby in spring 1984. Here, the authors state that

"Historically, the planning and preservation movements have pursued distinct goals, served different populations, and experienced dissimilar patterns of organizational growth. In recent years, however, the two groups have moved closer together. Their growing cooperation has hinged on two interrelated items: each movement's evolving definition of its function in American society, and the changing nature of public-sector involvement in urban development."⁵⁶

It is acknowledged that while neither side has lost sight of its own interests, they have generally established grounds for agreement and support, as illustrated through their "joint participation in selected government activities."⁵⁷ This cooperation is of course an ever-evolving aspect of local planning, but the fields certainly have more in common today than they did in their beginning years.

⁵⁶ Birch and Roby, 194.

⁵⁷ Birch, 194.

Birch and Roby assert that “At their inceptions, the planning and preservation movements had very little in common, despite their shared progressive roots. Although both were responses to late nineteenth-century urbanization and industrialization, they differed in thrust, in organizational style, and in their views of the relationship between the public and private sectors.”⁵⁸ Birch and Roby discuss the planning field’s development - much as outlined above in *3.2 Introduction to the History of Preservation Planning and the Preservation Plan* - focusing on its development of the master (comprehensive) plan, its developed implementation devices like zoning and the capital budget, and what the authors felt was an organized, rational approach to planning that quickly gained support and credibility.⁵⁹ This development is contrasted with historic preservation’s beginnings as a movement initially motivated by a desire to “Americanize” recent immigrants and by a desire to save important American monuments from a wave of new construction in the period.⁶⁰ Most of these early preservation efforts were reactionary, and also focused on one landmark or monument at a time. In these beginning years, preservation also lacked the legal structure and professional background that planning had begun to build upon.

As a result of these differences, preservation and planning had little in common in the early years of the 20th century, and did not work to integrate their values. This mutual independence began to change in the mid-1920s, first with the restoration of Williamsburg, Virginia in 1924, and then with the creation of the Old City District in Charleston, South Carolina in 1931.⁶¹ While Williamsburg was in many ways a continuation of old-fashioned preservation approaches that focused on reconstruction of historic buildings and elements, it

⁵⁸ Birch, 195.

⁵⁹ Birch, 194-196.

⁶⁰ Birch, 195.

⁶¹ Birch, 196.

moved preservation planning forward by also eventually taking into account the integration of other concerns like visitor access.⁶² Charleston was a much more significant step forward in the evolution of preservation planning, utilizing three major tools which have become important to preservation planning: “surveying, zoning and financing.”⁶³ Not only were boundaries set for an historic overlay district, but an historic architectural review board was also created. This development in Charleston did not have an immediate effect throughout the nation, but its tools would become more common in future years.

The integration of preservation and planning would grow during New Deal activities in the 1930s. As planners concentrated on projects like slum clearance and transportation, preservationists took advantage of federal funds through more site-specific projects like those undertaken by the Historic American Buildings Survey, which was created during this era. By the end of this period, “the framework for a planning/preservation alliance was in place,”⁶⁴ and preservationists had begun to adapt techniques from the planning profession.⁶⁵

As discussed in the previous section, the next significant phase in city planning took place during the urban renewal years after World War II. Such activities, which promoted large-scale destruction and new construction in older inner-cities, were not particularly friendly to preservation, but some cities began to set a new standard in urban revitalization. Among these were Philadelphia and Boston, both of which included some amount of successful revitalization activity among their broader Urban Renewal goals. As urban renewal techniques became less popular, new developments such as Model Cities (in 1966) and the

⁶² Birch, 196.

⁶³ Birch, 196.

⁶⁴ Birch, 197.

⁶⁵ Birch, 197.

Neighborhood Development Program (1968)⁶⁶ shifted planning's focus towards integration of community concerns and a more inclusive comprehensive planning process. At the same time, historic preservation would become further strengthened legally throughout the 1960s and following decades. Of critical importance in this regard, the National Historic Preservation Act was passed in 1966, officially integrating preservation with government concern and practice. "Section 106" of the Act enforced federal consideration of historic resources. Next, the Tax Reform Act of 1976 was passed (which was amended throughout the 1980s). This Act favored rehabilitation through historic tax credits, and these incentives greatly increased support of and interest in preservation activities. Birch and Roby acknowledge that by the 1980s "The preservationists had a greatly expanded vision of their functions...They shaped a systematic approach to their work incorporating the surveying, evaluation, districting, and zoning tools of the planner."⁶⁷ The success of the preservation movement was manifested in an increasing number of historic districts, historic commissions, planning tools and the like.

It is said that historic preservation "came of age" in the decades of the 1970s and 1980s, demonstrated by a rapidly growing number of communities that adopted historic preservation ordinances.⁶⁸ The growth of the preservation planning field is demonstrated through numbers that show 421 communities with programs to protect historic resources in 1975, and 1,863 communities with historic preservation commissions in 1993.⁶⁹

⁶⁶ Birch, 200.

⁶⁷ Birch, 204.

⁶⁸ Richard J. Roddewig and Bradford J. White, *Preparing a Historic Preservation Plan* (Planning Advisory Service Report No. 450, Chicago: American Planning Association, 1994), 1.

⁶⁹ Roddewig, 1.

Furthermore, the growth of laws and tools supportive of preservation has spurred an escalation in planning activity at all levels of government, including locally.⁷⁰ Integration of preservation planning with comprehensive planning has been one of the most significant effects. In 1992, Marya Morris wrote that

“In the last decade, preservation concerns and values have found their way into the comprehensive plan and the overall plan process. Too often, preservationists and planners have viewed each other as obstructionists who really do not understand one another’s purpose or motivation. Today, many communities are recognizing the value of preservation from both a design and economic development point of view. Increasingly, municipalities are including a preservation element in their comprehensive plans or, at a minimum, incorporating preservation techniques into other standard elements of the plan.”⁷¹

This interest in and growth of preservation as a component of comprehensive planning, and as a legitimate and independent form of planning in its own right, spurred the writing of several publications that focus on the creation and writing of the preservation plan.

By the late 1980s and early 1990s, then, a growing number of resources were dedicated to helping communities understand how to write a preservation plan. One such work was *Innovative Tools for Historic Preservation*, written by Morris and published in 1992. In Chapter 4 of the work, Morris addresses “Preservation and the Comprehensive Plan.” Here, Morris mainly discusses how preservation can be incorporated into the plan, and uses case study examples to demonstrate these points. Morris explains that:

“Communities with a strong policy commitment to preservation will, as a matter of course, include preservation concerns in several other elements of their comprehensive plan. Some communities, given adequate staff time and a policy commitment (or where required by state law), break out the elements of the plan into separate documents: These documents are produced by staff, task forces, or steering committees with expertise in that policy area. Local historic preservation plans, in

⁷⁰ Roddewig, 1.

⁷¹ Roddewig, 37.

fact, are often a detailed off-shoot of an element in the community's comprehensive plan."⁷²

Morris also states that "Communities may also develop specific historic preservation plans, such as neighborhood, historic district, or resource-based plans that prescribe a detailed strategy for a specific area."⁷³ Morris goes on to explain what preservation can gain through involvement in the comprehensive planning process, namely, bringing "preservation concerns to the forefront of local public policy"⁷⁴ by making use of comprehensive planning's "clearly defined strategies for implementing goals and policies."⁷⁵ Morris points out that preservation plans can and should make use of comprehensive planning's attention to clearly defined tasks, implementation and timeframes.⁷⁶ Furthermore, by combining preservation with the comprehensive plan, a "forum for inter- and intragovernmental cooperation" is created.⁷⁷

Another such work published at this time is *Preparing a Historic Preservation Plan*, by Bradford White and Richard Roddewig, published in 1994 by the American Planning Association. In keeping with the comprehensive plan trend of the time, the authors promote preservation's inclusion in such documents, stating that:

"the most effective preservation plan is adopted as an element of the comprehensive plan complete with goals, definition of historic character, summary of past preservation efforts, survey of historic resources, explanation of legal basis, discussion of the relationship between historic preservation and other land-use and growth management authority, explanation of public-sector responsibilities,

⁷² Morris, 31.

⁷³ Morris, 31.

⁷⁴ Morris, 32.

⁷⁵ Morris, 32.

⁷⁶ Morris, 32.

⁷⁷ Morris, 33.

discussion of incentives, summary of the relationship between historic preservation and local education programs, and a statement of an agenda for future action.”⁷⁸

The authors emphasize that plans will vary due to a community’s own unique characteristics and needs: “A preservation plan will vary depending on the community’s stage of development, the size of the community, the number of historic resources located in the community, awareness of local historic resources, and existing protection and incentives for the preservation of historic resources.”⁷⁹ A plan can create an entirely new preservation program, strengthen an existing preservation program or help to resolve conflicts between preservation and planning.⁸⁰ Most importantly, Roddewig and White provide a number of clear lists of what they considered to be the purposes of preservation and important elements of a well-written plan. For example, essential components that the authors believe should be contained in every formal written preservation plan are listed:

1. Statement of the goals of preservation in the community, and the purpose of the preservation plan;
2. Definition of the historic character;
3. A survey of historic resources;
4. Explanation of the legal basis for protection of historic resources in the state and community;
5. Statement of the relationship between historic preservation and other local land use and growth management authority;
6. Statement of the public sector’s responsibilities;
7. Statement of incentives;
8. Statement of the relationship between historic preservation and the community’s educational system and program; and
9. A precise statement of goals and policies, including a specific agenda for future action to accomplish those goals.⁸¹

The authors follow this list with what they consider nine steps to effective implementation:

⁷⁸ Roddewig, 1.

⁷⁹ Roddewig, 1.

⁸⁰ Roddewig, 1.

⁸¹ Roddewig, 1.

1. “Make sure that the plan is officially adopted by resolution or ordinance...;
2. Follow adoption of the plan with an Executive Order of the mayor or city manager requiring each city department and agency to give special attention to the needs of any historic resource under its jurisdiction...;
3. Make sure that the resolution adopting the plan states that all public projects undertaken by federal, state, or local government bodies that might adversely affect historic resources will be subject to review and comment by an appropriate entity, such as the local preservation commission...;
4. Ensure that the planning agency systematically considers the possible adverse impact on historic resources of all private projects reviewed by it for zoning approvals...;
5. Work to include capital appropriations in the annual local government budget for the preservation incentives or programs specified in the preservation plan, effectively ensuring that ‘preservation projects become part of the long-term capital budget...;
6. Work to include annual maintenance appropriations for the local government budget for significant public and private historic resources, including such basic items as street paving in historic districts, to improve the general quality of life in historic districts and neighborhoods, again effectively ensuring that specific recommendations in the preservation plan will be implemented...;
7. Be certain that money is budgeted for public purchase of those historic resources that cannot be saved by private efforts alone...;
8. Make sure that the preservation ordinance is effectively enforced but try to go beyond the mere review of actions directly affecting historic resources...;
9. Be certain that the city gives special attention to areas and neighborhoods not yet qualifying as ‘historic’ but which someday might be so considered.”⁸²

Such lists are found throughout preservation planning literature, in which preservation academics, advocates and practitioners have attempted to define common elements which any locality interested in preservation can follow.

Since this time, national organizations devoted to historic preservation have also focused their energies on better defining preservation planning practice and its form in the preservation plan. The National Park Service has developed a Historic Preservation Planning Program which “develops national policy related to historic preservation planning.”⁸³ One of this program’s major activities is “Development and delivery of technical assistance and

⁸² Roddewig, 40.

⁸³ National Park Service, Historic Preservation Planning Program; Internet; available from <http://www.nps.gov/history/hps/pad/index.htm>; accessed January 2009.

guidance in historic preservation planning to a broad audience, including SHPOs, federal agencies, tribes, and local communities.”⁸⁴ The goals of the Historic Preservation Planning Program include strengthening integration of preservation into broader public policy, increasing opportunities for public participation in planning and preservation, expanding knowledge and skills in preserving planning, and providing flexibility in program administration .⁸⁵

One of the National Park Service’s most recent projects is entitled “Draft Principles of Preservation Planning.” The project was undertaken to provide guidance for future planning activities. The most recent version of the draft which has been made available to the public was published in March 2000. The main focus of this work is to modernize previous preservation planning standards and to provide a new summary of best practices. The authors state that “It is not the intent of this project to define the right way to do preservation planning, because there isn't any right way to do it. There are, however, in general terms, more effective ways and less effective ways to do planning. This project, therefore, attempts to identify those more effective ways, in all their variations.”⁸⁶ The “Draft Principles” have been organized into several categories: planning process, plan document and plan implementation. The list which the National Park Service has thus far compiled is quoted in full below:

“Planning Process

1. The preservation planning process is innovative, flexible, and carefully designed to respond to the scale, audience, and needs of the specific planning area.

⁸⁴ National Park Service, *Historic Preservation Planning Program*.

⁸⁵ National Park Service, *Historic Preservation Planning Program*.

⁸⁶ “Draft Principles of Preservation Planning,” Historic Preservation Planning Program, National Park Service; available from <http://www.nps.gov/history/hps/pad/PlngPrinc.html>; Internet; accessed December 2008.

2. Preservation planning involves the public in plan development, implementation, and revision, and tailors an approach to public participation that is appropriate for the varying identities and roles of the plan-maker and planning participant.
3. Preservation planning assesses the status of the full range of historic and cultural resources in the planning area, or that are affected by the plan-making entity, and examines the factors that affect the resources and their preservation.
4. Preservation planning uses historic contexts and, as appropriate, other special planning studies to help support conclusions and findings in the plan, to help identify critical issues, and to develop goals and priorities for the identification, evaluation, registration, and treatment of historic properties.
5. Preservation planning establishes goals and objectives that address the preservation needs of historic and cultural resources in the planning area, as well as the critical issues, threats, and opportunities facing those resources.
6. Preservation planning produces a preservation plan that documents the findings and conclusions reached during the planning process, and that is distributed to its intended audience, and to others as appropriate.
7. Preservation planning is timely and dynamic, accommodating change and providing for revision and updating when needed.

Plan Document

8. The preservation plan is understandable and usable by its intended audience(s).
9. The preservation plan explains how it was developed and by whom.
10. The preservation plan describes historic and cultural resources in the planning area and explains the issues that affect them and their preservation.
11. The preservation plan sets forth clear goal statements and provides guidance for implementation.
12. The preservation plan has a specific and explicitly stated time frame, after which it is reaffirmed, substantially revised, or a completely new plan is developed.
13. The preservation plan's level of technical detail and its format, length, and appearance are guided by the extent to which these will serve the plan's purpose(s) and the needs of its audience(s).

Plan Implementation

14. The preservation plan is implemented.
15. Preservation planning, the plan, and plan implementation are integrated and coordinated with other planning and decision-making processes in the planning area.
16. Preservation plan implementation has access to realistic strategies and legally sound tools that are appropriate for achieving plan goals and policies.
17. Preservation plan implementation includes ongoing evaluation, monitoring, and review of changing conditions and progress toward achievement of plan goals and policies.⁸⁷

⁸⁷ “Draft Principles of Preservation Planning.”

In general, the elements listed here are common to generally accepted standards of planning practice and plan documents. In fact, similarities can be seen between the Roddewig and White document of the early 1990s, and these “Draft Principles,” published in 2000. For example, both documents recommend a clear statement of goals and objectives as well as full survey and consideration of all local historic resources. Differences between the documents are found mainly in that the “Draft Principles” focus more on integration and coordination with other entities and public involvement. In contrast, the Roddewig and White document focuses more closely on legal support for the plan and attention to available capital investment and budget resources.

The most recent document revealed through literature review which focuses on the form and content of preservation plans is “Preservation Planning in American Cities” published by Randall Mason in 2009. The result of extensive surveying of local plans in the nation’s largest cities, the document is useful here for its definition of the most recent trends and forms of preservation plans. Mason summarizes the “ideal citywide preservation plan” as one that:

“should include up-to-date physical survey backed up by contextual historical research to provide a knowledge base about resources to preserve. It should also include a range of preservation planning and policy options to support such activities as historic designation, design guidelines, and financial incentives for rehabilitation. Further, a preservation plan should relate to the overarching planning, zoning, economic development, and other built environment functions of the city government.”⁸⁸

Mason asserts that the majority of cities include preservation planning as part of their larger comprehensive plans, while only a few devote an independent “free-standing” plan to the

⁸⁸ Mason.

process. The older method of “survey-driven” plans has become less common recently, although the use of context statements to inform plans remains important. Today, common elements of the most recently published plans include recommendations to protect resources through historic district listing and other protections, and recently, a more concentrated effort on connecting historic preservation to economic benefits.⁸⁹

As a result of such past studies, planners today know that such elements as establishing clear goals and objectives, integrating and coordinating efforts, establishing a time frame and tools and so on, are important to eventual success in preservation planning and city planning in general. This leaves the question of how preservation planning actually works in localities. Questions posed in this thesis are: if a locality prepares a well-written preservation plan that incorporates these elements, are the plans being successfully implemented? What obstacles are localities facing in plan implementation? What common factors do communities face that effect preservation efforts, and how can they be addressed in the planning process and the plan?

In order to assess these questions, from basic preservation planning to success to more detailed achievements and challenges, three cities have been chosen for case study analysis. The following chapters, discussing Providence, Rhode Island, Lancaster, Pennsylvania, and Staunton, Virginia, respectively, will address these questions. Each case study is structured to include an overview of general city and architectural history, followed by planning history and preservation planning history within the city, followed in turn by a specific discussion of plan recommendation implementation in order to discuss direct

⁸⁹ Mason.

success and failure. Finally, each case study ends with a conclusion that discusses themes revealed in each locality.

CHAPTER 4: PRESERVATION PLAN IMPLEMENTATION IN PROVIDENCE, RHODE ISLAND

4. 1 Introduction

When *A Plan for Preservation: Providence, Rhode Island* was published in 1991 the city was in the midst of what has since become known as the “renaissance” of the city. The publication was one of many planning efforts undertaken in this period, when a diverse group of citizens, city officials and advocates began to actively engage in the city’s in revitalization. While the renaissance of Providence is the result of a variety of influences, visitors to the city in recent years can see that a great deal of its rebirth has been the result of the city’s utilization of its unique physical attributes including its historic building stock.

4. 2 Introduction to the History of Providence, Rhode Island

First settled in the early 17th century by religious dissenters from nearby Puritan colonies, Providence has had a long and interesting history. In 1636, English colonists settled on “the east bank of the Providence River and overlooking a Great Salt Cove founded by the confluence of the Woonasquatucket and Moshassuck Rivers.”⁹⁰ These settlers built Providence’s first homes “in linear fashion paralleling the waterfront.”⁹¹ Today, only the original street pattern remains from this earliest period,⁹² but the city’s geographical location on the waterfront has continued to influence its growth and development patterns ever since.

⁹⁰ William McKenzie Woodward, *PPS/ALARI Guide to Providence Architecture* (Providence, RI: Providence Preservation Society, 2003), 10.

⁹¹ Woodward, *Guide to Providence Architecture*, 10.

⁹² Woodward, *Guide to Providence Architecture*, 10.

Throughout its early history, Providence was essentially a subsistence-agriculture based settlement,⁹³ but in the late 17th century it began its first steps into commercial and industrial development.⁹⁴ Over the next decades growth continued and by 1760 commerce was the largest factor in Providence’s development.⁹⁵ At this point the city’s waterfront location became more than just a resource for subsistence, and the city’s entrepreneurs began to turn to shipping enterprises.⁹⁶

Beginning in the last decades of the 18th century, Providence was transformed by the development of its industrial-based economy.⁹⁷ In the earliest years of this era, industrialization mainly occurred along riverside locations, while related commercial activities such as insurance companies and banks expanded west, clustering near one another in what would eventually form the central business district.⁹⁸ By the 1820s, this area west of the Providence River had become a “thriving” downtown.⁹⁹ Mill development continued along the Woonasquatucket and Moshassuck Rivers¹⁰⁰ and by the early 20th century Providence was heavily industrialized.¹⁰¹

Providence would continue this growth for almost half a century,¹⁰² due not only to industrial growth, but also to evolution of transportation technology. Developments ranged

⁹³ Woodward, *Guide to Providence Architecture*, 10.

⁹⁴ John Hutchins Cady, *Civic and Architectural Development of Providence, 1636-1950* (Providence, R.I.: The Book Shop, 1957), 13.

⁹⁵ Cady, 37.

⁹⁶ Woodward, *Guide to Providence Architecture*, 10.

⁹⁷ Woodward, *Guide to Providence Architecture*, 11.

⁹⁸ Woodward, *Guide to Providence Architecture*, 11.

⁹⁹ *Providence Tomorrow: The Interim Comprehensive Plan* (City Plan Commission and the Providence City Council, 2007), 1.1.

¹⁰⁰ Francis J. Leazes, Jr. and Mark T. Motte, *Providence: The Renaissance City* (Boston: Northeastern University Press, 2004), 30.

¹⁰¹ Woodward, *Guide to Providence Architecture*, 111.

¹⁰² Woodward, *Guide to Providence Architecture*, 12.

from the introduction of railroad systems in the late 19th century through to the growing popularity of the automobile in the early to mid 20th century. The development of the rail system superseded the importance of the city as a shipping center, and by the time of the city's incorporation in 1832, "Railroads more than ships became important vehicles for commerce."¹⁰³ An unfortunate result of this alternative transportation was that the city began filling its riverfronts, and by the 20th century, "While it still had a waterfront, Providence was no longer a city whose economic fortune rested on access to the ocean. Providence's commercial land orientation was clear."¹⁰⁴

Providence entered a new phase beginning in the 1920s. Its industrial giants such as textile manufacturing began to move out of the city or close all together.¹⁰⁵ This was the beginning of a slow industrial decline which was only further encouraged by the development of the automobile industry and the public's growing reliance on car transportation. By the middle of the 20th century, Providence was beginning to experience a difficult transition that was common to medium-sized cities throughout the nation at this time.¹⁰⁶ Deindustrialization of cities and the rapid suburbanization of outlying areas greatly threatened cities throughout the 1960s and 1970s and led to declining population and prosperity. The city of Providence would lose approximately 100,000 residents between 1940 (when the population was 253,504) and 1980.¹⁰⁷

¹⁰³ Leazes, 30.

¹⁰⁴ Leazes, 30.

¹⁰⁵ Woodward, *Guide to Providence Architecture*, 12.

¹⁰⁶ Leazes, 62.

¹⁰⁷ Leazes, 36.

Like many northeastern cities during this period, Providence's first attempts at revitalization included turning to federal funding sources for urban renewal.¹⁰⁸ Urban renewal and highway construction were not as drastic here as in other cities, but the new interstate highway network constructed in the 1960s did divide the city, and in some instances required large-scale demolition. As a result the downtown was separated from many of its neighborhoods,¹⁰⁹ which further compounded the decline. One source states that "By 1980 Providence found itself with a legacy of obsolete, deteriorating buildings with no chance for their immediate adaptive reuse and rapidly emptying neighborhoods that had once been filled with the workers of an industrialized city."¹¹⁰

City leaders began to recognize that major steps would need to be taken to revive the city, and this instigated discussions towards planning and revitalization. As a result, a "series of projects ranging widely in scope were undertaken."¹¹¹ It is said that "In the period from 1976 to 1994. . .the city was literally transformed."¹¹² Since 1980, the City's population has steadily risen, a positive and demonstrable sign of its revitalization. The 2000 U.S. Census recorded 173,618 people, an 8% growth from 1990,¹¹³ and which almost returned the city to its population of one hundred years before, when the city was still at its peak.¹¹⁴

In that time, Providence saw significant development in residential and commercial sectors, and also implemented various plans for its revitalization (see *4.3 Planning History in Providence, Rhode Island: An Overview* for a more detailed description of Providence's planning

¹⁰⁸ Woodward, *Guide to Providence Architecture*, 13.

¹⁰⁹ Leazes, 36.

¹¹⁰ Leazes, 37.

¹¹¹ Leazes, 210.

¹¹² Leazes, xvii.

¹¹³ *The Interim Comprehensive Plan*, Section 2.1.

¹¹⁴ Leazes, 37.

history). In addition to large-scale urban design improvements including its ambitious uncovering and rerouting of its rivers and its numerous adaptive reuse projects typical of former industrial sites, the city has also transformed its economy, and today non-profits, health care and higher education are major sectors where heavy industry was once supreme. Today, Providence's population has continued to rise and visitors are increasingly attracted to the city as a tourist destination.

4.3 Planning History in Providence, Rhode Island: An Overview

As mentioned in the preceding history of Providence, much of the city's "renaissance" was a result of planning activity, sometimes the product of city officials, and in other cases the work of advocacy or academic groups. As one source states,

"An early hallmark of the Providence renaissance was the existence of a number of plans for the city's 'comeback.' These plans constituted rational choice opportunities or system inputs for public and private decision makers. While planning played an important role in the renaissance at times, some plans were never implemented; elements of others were adopted; a few were opportunistic, drawn in response to immediate need; and others still hope to guide significant change in Providence."¹¹⁵

This following section will briefly describe the key moments in Providence's planning beginning in the mid-20th century through the present.

The basis for future planning efforts in Providence began in 1913 when the City Plan Commission was first created. The Commission enacted the city's first zoning ordinance in 1923.¹¹⁶ Formal planning in the city was inactive for many years, and was not restored until the 1970s when Mayor Vincent Cianci revived the city's planning department.¹¹⁷ Today this department is known as the Department of Planning and Development, a result of Mayor

¹¹⁵ Leazes, 51.

¹¹⁶ Leazes, 43.

¹¹⁷ Leazes, 43.

Joseph Paolino Jr.'s 1985 consolidation of the Department of Planning and Urban Development, the Mayor's Office of Community Development, and the Office of Economic Development. Providence, under the Providence Home Rule Charter of 1980, has a strong mayor and city council form of government.¹¹⁸ The mayor has the power to appoint all department heads (including that of the planning department) as well as many agency, board and commission members.¹¹⁹ Much of the planning function of the city falls under the mayor, including the actions of the Department of Planning and Development and the City Planning Commission.¹²⁰ Other city authorities that have the potential to affect planning activity include the Providence Public Building Authority created in 1987 and the Providence Redevelopment Agency.¹²¹

In 1945, the City Planning Commission published what might be called its first "plan" entitled "Future Population of Providence." Between 1945 and 1953, a series of reports were published which collectively formed a master plan for the city. In the 1980s, the Plan Commission created an update to this 1964 Master Plan by creating a series of neighborhood plans as well as a revitalization plan for the downtown and port area, and several plans directed at preservation at the neighborhood level. In response to a state act of 1988, the Rhode Island Comprehensive Planning and Land Use Act, the city published a new comprehensive plan, *Providence 2000: The Comprehensive Plan*, which was adopted in 1993.¹²² This *Comprehensive Plan* guided the majority of city planning over the next fifteen

¹¹⁸ Leazes, 42.

¹¹⁹ Leazes, 43.

¹²⁰ Leazes, 43.

¹²¹ Leazes, 43.

¹²² *The Interim Comprehensive Plan*, Section 1.3.

years.¹²³ Other plans published in this period, include *Downtown Providence* 1970, the *Old Harbor Plan* (1992), and the Rhode Island School of Design published *Interface Providence*.¹²⁴ While the majority of these plans were not officially implemented, many of the ideas influenced future work in the city. Today, new neighborhood plans are being prepared for each neighborhood in the city, as well as a new comprehensive plan, which is still in its interim version entitled, *A Vision for Providence; Fulfilling our Vast Potential*.

4.4 Preservation Planning History in Providence, Rhode Island: An Overview

The history of preservation planning in Providence begins at the same time as the city's initial redevelopment plans beginning in the 1950s and 1960s. As one source says, Providence's "future lay in historic preservation."¹²⁵ The Providence Preservation Society (PPS) was formed by Antoinette Downing in 1957 in reaction to the urban renewal ideas which were spreading in the city at the time.¹²⁶ The beginning of concrete preservation planning work in Providence was the publication of *College Hill: A Demonstration Study of Historic Area Renewal* in 1959 by the Providence Preservation Society, an advocacy group that is still strongly active today. This plan was directed at the preservation of historic buildings in one of the city's oldest neighborhoods.¹²⁷

The College Hill plan was so successful that it inspired further preservation work throughout the city. When the city actively began planning for its revitalization in the 1970s, preservation therefore became part of the conversation. In the 1970s, Mayor Cianci "made historic preservation a high-profile activity" and publicly advocated for preservation's

¹²³ *The Interim Comprehensive Plan*, Section 1.3.

¹²⁴ Leazes, 64.

¹²⁵ Woodward, *Guide to Providence Architecture*, 13.

¹²⁶ Leazes, 53.

¹²⁷ Woodward, *Guide to Providence Architecture*, 13.

revitalization promise.¹²⁸ The College Hill plan also inspired the creation of a historic district and a design review committee, as well as city ordinances that would require private institutions to submit master plans and get approval from the Planning Commission.¹²⁹ The Providence Historic District Commission was created in 1960, in order to regulate development in designated local historic districts (today there are eight in the city, encompassing about 2,500 buildings).¹³⁰

Active preservation work continued into the 1980s, beginning in 1980 when the Providence Preservation Society began a revolving fund for homeowners.¹³¹ Today, that revolving fund is a separate entity, the Providence Revolving Fund. Antoinette Downing, founder of the Providence Preservation Society, also pushed for the creation of the Rhode Island Historical Preservation and Heritage Commission, which completed a state-wide historic preservation survey program in the mid-1980s. This work would greatly affect Providence's later historic preservation and development decisions.¹³² In 1984, the entire downtown (or "downcity" as it is known in Providence) was placed on the National Register of Historic Places.

Preservation planning work continued into the next decade with the publication of *A Plan for Preservation*, the focus of this thesis case study. An alternative to the local historic district which has nevertheless played an important role in preservation activities was created in 1994. The "Downcity District" is an overlay zoning which is meant to "direct downtown development, protect historic and architectural character, encourage round-the-clock

¹²⁸ Leazes, 56.

¹²⁹ Leazes, 56.

¹³⁰ *The Interim Comprehensive Plan*, Section 4.

¹³¹ Woodward, *Guide to Providence Architecture*, 13.

¹³² Leazes, 56.

pedestrian activity, promote the arts and entertainment, and support residential uses.”¹³³ A separate Downcity Design Review committee was created to administer the district’s regulations. Additional preservation-related districts were created in the late 1990s to regulate building and site design within four primary commercial corridors in the city. The Main Street, West Side and Commercial Corridor overlay districts have not been quite as successful as the local historic districts, though, as their guidelines do not apply across the city and many projects within the district areas have received variances from the design regulations.¹³⁴ One of the most successful district designation additions has been the Industrial and Commercial Buildings District in 2000. The district is not an overlay, but rather includes non-contiguous parcels in a thematic local district. Buildings included in the district are mid-19th to 20th century industrial buildings which are reviewed by the Historic District Commission for demolition and major alterations.¹³⁵ One impetus behind the creation of the Industrial and Commercial Buildings District was that designation would make these landmarked buildings eligible for state and federal tax incentives for rehabilitation.¹³⁶ As a result, adaptive reuse has been a significant part of Providence’s preservation story into the 2000s.

4.5 Introduction to *A Plan for Preservation: Providence, Rhode Island*

As referenced in the preceding section, Providence’s *A Plan for Preservation* was published in 1993 as the historic preservation element (as required by the State of Rhode Island’s 1988 Rhode Island Local Comprehensive Planning and Land Use Regulation Act) of the city’s *Providence 2000: The Comprehensive Plan*. The plan was produced in coordination with

¹³³ *The Interim Comprehensive Plan*, Section 4.

¹³⁴ *The Interim Comprehensive Plan*, 4.1.

¹³⁵ *The Interim Comprehensive Plan*, 4.1.

¹³⁶ *The Interim Comprehensive Plan*, 4.1.

the city by planning consultants Buckhurst Fish Hutton Katz Inc. of New York. A Providence Preservation Plan Advisory Committee also contributed, as well as “Special Representatives” from various groups including the Providence Preservation Society, the Historic District Commission and the Rhode Island Historical Preservation Commission. The purpose of the *Plan for Preservation* as described in its preface is “to fulfill and implement the overall goals and policies of comprehensive planning in Providence. The *Plan for Preservation* is the second in the *Providence 2000: Comprehensive Plan* series and emphasizes the central role of historic preservation in all these comprehensive plan elements.”¹³⁷ The plan’s introduction recognizes Providence’s unique collection of historic resources as a strong asset for the city, and preservation’s potential to strengthen the city in relation to other planning goals like economic development. It states that “By setting broad policies and recommending a series of actions, this plan integrates preservation into the mainstream of Providence life so that the city’s impressive array of historic resources are not only well protected but can serve as catalysts for the city’s continuing economic development.”¹³⁸ The plan’s writers hoped to utilize preservation and its built environment in a dynamic way that could interact with the city’s other revitalization goals.

The *Plan for Preservation* was created after interviews, research and public workshops that identified key issues. The result is what could essentially be described as an “action plan” or “blueprint plan” (as opposed to a vision based plan, for example, which emphasizes broader goals). Its introduction presents this idea, stating:

¹³⁷ City of Providence, RI, Department of Planning and Development, *A Plan for Preservation* (Providence, RI: 1993), ii.

¹³⁸ *A Plan for Preservation*, ii.

“The actions which fulfill the city’s preservation vision are the cornerstones of the plan. They were developed after an investigation of the city’s existing preservation issues and opportunities disclosed both strengths and weaknesses in the local preservation program. The resulting action strategy lists, describes and gives an implementation timeframe for 26 key actions, addressing both general and specific issues. Cumulatively, these actions set the city on a course for effective preservation planning.”¹³⁹

Shortly after its publication, the plan was recognized by the National Park Service’s *Local Historic Preservation Plans: A Selected Annotated Bibliography* as a particularly well-written example of a local preservation plan. It is described as being a “concise, well-organized, engaging report.”¹⁴⁰ The *Bibliography* states that “The 28-page action strategy for preservation is what distinguishes the plan. The strategy lists and describes tools and techniques for preservation and provides an implementation timeframe for 30 achievable, key actions.”¹⁴¹ Furthermore, it is recognized for the coordination of its recommendations with the city’s overall planning process, for example its institutional planning and economic development goals.

The underlying intention of the *Preservation Plan*’s writers, and the assumption implied by the *Bibliography*, is that the plan will likely prove successful as a result of this specific action strategy and integration. The following *Recommendation Review* will proceed through each of the plan’s seven goals, and analyze the success of the subset of actions recommended in order to attain each goal.

¹³⁹ *A Plan for Preservation*, ii.

¹⁴⁰ Gagliardi, 9.

¹⁴¹ Gagliardi, 9.

4.6 Recommendation Review¹⁴²

Goal 1: *Make preservation a priority in Providence.*

Actions	First Steps
1. <i>Establish subcommittee/ advisory board to City Plan Commission to oversee implementation of this plan.</i>	<ol style="list-style-type: none"> 1. Draft legislation. 2. Establish mission, rules and procedures. 3. Submit list of nominees to Mayor.
2. <i>Promote heritage tourism as a form of economic development.</i>	<ol style="list-style-type: none"> 1. Create central visitors' center. 2. Create self-guided tours in historic neighborhoods/downtown. 3. Solicit coverage from national/foreign travel writers, local media. 4. Promote attractions in conjunction with other RI destinations. 5. Plan/promote heritage festivals.
3. <i>Recognize and protect more of Providence's historic resources.</i>	<ol style="list-style-type: none"> 1. Target new NR districts: Smith Hill, 20th c. resources. 2. Target new local districts: Doyle Ave., Smith Hill. 3. Maintain PHDC staff levels, increase as needed.
4. <i>Prepare/implement citywide demolition delay ordinance.</i>	<ol style="list-style-type: none"> 1. Revise model ordinance to include current NR listed/eligible properties. 2. Solicit City Council and community support.
5. <i>Establish interdepartmental review process for city projects affecting historic resources.</i>	<ol style="list-style-type: none"> 1. Executive mandate creating process. 2. Establish working group, build support among key personnel. 3. Improve enforcement of zoning ordinance regarding variances for historic properties.
6. <i>Establish local property tax credits for rehabilitation.</i>	<ol style="list-style-type: none"> 1. Research use of credits in other RI communities. 2. Inform city and state officials of the benefits of credits, solicit their support. 3. Draft legislation for submittal when local economy improves.
7. <i>Strengthen technical skills of city staff and board/commission members involved in the city's physical development.</i>	<ol style="list-style-type: none"> 1. Perform organizational analysis, determine needed skills. 2. Update job description/qualifications. 3. Educate employees.
8. <i>Promote protection of natural features (parks, open spaces, scenic views, street trees).</i>	<ol style="list-style-type: none"> 1. Identify features to preserve. 2. Establish street tree ordinance, plant trees where appropriate. 3. Establish overlay zones to protect views. 4. Plan public open spaces for positive impact on streetscapes.

¹⁴² Each goal in this *Recommendation Review* begins with matrix of that goal's specific actions and recommended first steps. These goals, actions and steps are quoted from *A Plan for Preservation*, pages 39-42. For more detail, see Appendix A of this thesis.

This first goal of *A Plan for Preservation* is to “Make preservation a priority in Providence.” This goal is perhaps the plan’s most important, encompassing the plan’s overall purpose and its potential to have a long-term effect on preservation in the city. Research and interviews with preservation professionals in Providence reveal that at the time of the plan’s publication and in the immediately following years, the goal of making preservation a priority in Providence was accomplished. Implementation began immediately following its publication, when the plan went before the City Plan Commission and the City Council.¹⁴³ Interview subjects also believed that a subcommittee was established at the time to oversee its implementation,¹⁴⁴ although the length of time that subcommittee served for is unclear.

The second step of this goal called for promoting heritage tourism as a form of economic development, and this action has been extremely successful for Providence. Since the revitalization of the city’s physical infrastructure (including its historic buildings, river ways, view sheds, streetscapes and so on), many tourists have been attracted to Providence. In addition to its physical revitalization, arts and culture have become important assets to the city. Many cultural heritage efforts are coordinated through the Providence Preservation Society, while others are accomplished in cooperation with state groups like the Rhode Island Historical Preservation & Heritage Commission, whose work includes coordinating annual heritage festivals and organizing education programs on ethnic traditions and history.¹⁴⁵ While some specific steps in this action did not occur, such as creation of a central visitors’ center,¹⁴⁶ interview subjects did stress that heritage tourism became, and continues to be, important to Providence. Mack Woodward of the Rhode Island Historical

¹⁴³ Jason Martin, interview by author, March 11, 2009.

¹⁴⁴ Martin Interview.

¹⁴⁵ “Heritage Programs: Overview,” State of Rhode Island Historical Preservation and Heritage Commission; Internet; available from <http://www.preservation.ri.gov/heritage/>; accessed February 2009.

¹⁴⁶ William “Mack” Woodward, interview by author, March 12, 2009.

Preservation & Heritage Commission stated that when the plan was created “heritage tourism didn’t happen here”; while people might have come to Providence for university education and visits, there was not a draw to the city otherwise. Woodward stated that studies have shown that unlike in the early 1990s, Providence is now a place that people come to for the “experience” alone.¹⁴⁷ While Woodward felt that more could be done with tourism within Providence, he emphasized that the city is more of a destination today than it was in the early 1990s.

The third action within this goal, to “Recognize and protect more of Providence’s historic resources” has been particularly important to preservation success in the city. Its basic focus of district designation had already been a priority in the city, as demonstrated by the 1960 College Hill district. Local district designation and zoning is often one of the most important preservation tools in a locality, and overall, it has been utilized with success in Providence. Since the time of plan publication, seven new National Register districts (including Smith Hill) have been added and several new local districts have been added (although the expansion of already existing local districts has been more common). Today, the eight local districts include approximately 2,500 historic properties.¹⁴⁸ In addition, various individual 20th century resources (like the Louttit Laundry and the Providence Fruit and Produce Warehouse Company Building) have been designated.

National Register designation has been particularly successful for Providence, as the city has greatly utilized tax credits and incentives in its revitalization efforts. Jason Martin, the Providence Department of Planning and Development’s preservation planner, stated

¹⁴⁷ Woodward Interview.

¹⁴⁸ City of Providence Department of Planning and Development, “About Providence’s Historic Districts”; available from <http://www.providenceplanning.org>; Internet; accessed January 2009.

that much of the National Register designation has taken place in “more depressed areas” of the city, which in turn are actually getting better aesthetic rehabilitation and infill as result of being able to receive federal tax credit incentives. Many of these neighborhoods are now “coming back” as a result.¹⁴⁹ Mack Woodward also emphasized this point, stating that more districts have been added to the National Register, usually in areas with strong neighborhood associations.¹⁵⁰

One interesting aspect in analyzing plan implementation is that sometimes goals or actions have been achieved, but not by the party or through the methods proposed by the plan. In several cases throughout this thesis study, it has been found that goals proposed by a preservation plan have been achieved, but not through efforts of preservation professionals or the preservation advocacy community. In these cases, it is possible to name the goal a success, but more difficult to trace the goal’s implementation back to the plan itself. For example, in the case of Goal 1, interview subjects stated that natural feature protection in Providence has generally been successful, but that these successes have not come from the preservation community. Karen Jessup, of the northeast office of the National Trust, emphasized that natural protection has been successful because of the environmental community, *not* the preservation community, although preservationists have been involved in some plan review.¹⁵¹ Within Providence specifically, then, this is an example of an ambiguous situation where success has been achieved with a positive result, but where that achievement cannot be directly attributed to the preservation plan. This does not in any way diminish the success of the plan, but rather demonstrates how important it is

¹⁴⁹ Martin Interview.

¹⁵⁰ Woodward Interview.

¹⁵¹ Karen Jessup, interview by author, March 11, 2009.

that preservation is integrated with other city activities, and that communication and coordination are essential.

Another similar example seen in Goal 1 is the recommendation for local tax credits. While this action was not implemented, federal and state tax credits have been credited with significantly influencing rehabilitation and revitalization in Providence, and it appears that local tax credits were not actually necessary.

Several actions recommended within Goal 1 have not been attained. These actions generally failed due to lack of budget support for preservation, lack of city government support for preservation, or conflict with city development goals - three factors that are often related in municipalities. For example, two recommended actions relating to incorporation of preservation into the city government have been only partially successful. The first recommends that the city “Establish interdepartmental process for city projects affecting historic resources.” This has not been successful in the long-term. Karen Jessup (who represented the Historic District Council in Providence at the time of publication) stated that when the plan was first published, she met with other city departments to tell them about it, and how these departments should work together.¹⁵² Jessup further noted that at that time, the building department had not even heard of preservation. Compared to the level of preservation awareness at that time, one might evaluate this action as being implemented. As a long-term action, though, demonstrating the continued support of preservation by other city departments through interdepartmental efforts, this has not been successful. According to all interview subjects, initial cooperation has decreased, as most

¹⁵² Jessup Interview.

departments are primarily concerned with their own agendas and concerns. Furthermore, the plan's call to "Strengthen technical skills of city staff and board/commission members involved in the city's physical development" has also not been implemented. Martin states that while he thinks there should be training programs for employees, there are not any at the moment.¹⁵³ Finally, maintaining PHDC staff levels has also been only partially successful due to lack of commitment by the City Council. The PHDC as designed was intended to include twelve volunteer members, ten appointed by the Mayor, including two City Council members.¹⁵⁴ Jason Martin stated that one of these City Council positions (which appoints its members to the PHDC) has not been filled in six or seven years. Today, there are only 9 members and one alternate.¹⁵⁵ Additionally, the PHDC is currently not particularly diverse racially or economically, a situation which Martin would like to see improve.¹⁵⁶

Goal 1 has also demonstrated that many times recommended actions are eventually achieved, but often not within the timeframe expected by the plan, or that working towards full implementation continues to be ongoing. Furthermore, a recommendation may be accomplished, but may not have the result the plan's writers imagined. The action recommending "Prepare/implement citywide demolition delay ordinance" demonstrates each of these points. A commonly cited issue with demolition delay is that oftentimes it only puts off the inevitable. Mack Woodward was only one of several interviewees who mentioned that the most significant demolition issue in Providence is that a developer can

¹⁵³ Martin Interview.

¹⁵⁴ City of Providence Department of Planning and Development, "About the Providence Historic District Commission"; available from http://www.providenceplanning.org/index.php?option=com_content&view=article&id=95&Itemid=81; Internet; accessed January 2009.

¹⁵⁵ Martin Interview.

¹⁵⁶ Martin Interview.

tear down a building without guaranteeing that something will go in its place. Often, a project will not be far enough along in its financials, and eventually is unable to complete the project. He mentioned that the city needs a fining mechanism or similar type of enforcement. Clark Schoettle of the Providence Revolving Fund stated outright that demolition delay “does not really work.”¹⁵⁷ Schoettle also stated that developers are promising to build newer, bigger and better, but then the result is often a vacant lot, with another historic building torn down for nothing. He states that this happened several times in the past 5 years, and that the historic downtown has been weakened in the process. He agrees that the idea of developing a posting bond for developers might force them to act more responsibly. As it is the city is not performing sufficient due diligence.¹⁵⁸

In recent years some positive steps have been taken, after the Providence Preservation Society lobbied for improvement. Concerned by demolitions in National Register districts, the group believed that a demolition delay ordinance for National Register listed resources would help the city and developers consider alternatives to demolition.¹⁵⁹ A policy did not go into place until April 2008, when Mayor Cicilline signed an Executive Order to adopt a demolition delay policy for designated historic buildings. The new policy includes a provision that requires building officials to refer any proposed demolition of locally or Register listed structures to the Historic District Commission or Downcity Design Review Commission for review. At the same time, a process was initiated to inventory endangered historic properties and draft further policies to discourage demolition by

¹⁵⁷ Clarke Schoettle, interview by author, March 11, 2009.

¹⁵⁸ Schoettle Interview.

¹⁵⁹ Providence Preservation Society; available from <http://www.ppsri.org/>; Internet; accessed January 2009.

neglect.¹⁶⁰ Aside from the hopefully positive results of this work, this process also demonstrated the success of advocacy and coordinating various groups. While it took many years for steps to be taken towards successful demolition delay policies, it was finally accomplished when a “Working Group for the Review of City of Providence Demolition Policy” was pulled together. Several interview subjects cited this as a positive action, and its success stands as an example of preservation success achieved through communication and coordination with other city interests.

¹⁶⁰ “City Enacts New Measures to Protect Providence's Historic Buildings”; available from <http://www.providenceri.com/CityNews/newsletter2.php?id=149#article1>; Internet; accessed February 2009.

Goal 2: *Balance institutional expansion with the preservation of neighborhoods/ city tax base.*

Actions	First Steps
1. <i>Require institutional master plans to include inventory of historic properties, statement of intended use, regular maintenance property, and enforcement mechanisms.</i>	<ol style="list-style-type: none"> 1. Amend the zoning ordinance regarding institutional master plans. 2. Increase community involvement in institutional planning.
2. <i>Prepare an inventory and maintenance program for city-owned historic properties.</i>	<ol style="list-style-type: none"> 1. Develop inventory data base; update regularly. 2. Develop city policy/programs for preservation and maintenance of historic public properties.
3. <i>Establish site plan review process for institutional expansion/ alteration/ remodeling, especially adjacent to local historic districts and in/ adjacent to NR districts.</i>	<ol style="list-style-type: none"> 1. Establish criteria for evaluating institutional expansion, timeframes and review process. 2. Draft ordinance, with input from institutions.

With a large base of institutional uses within the city, including a multiplicity of university institutions including Brown University, the Rhode Island School of Design and Providence College, preservation interests often have to contend with the development and expansion needs of serious players in the city. Education and health care institutions own a significant amount of property in the city and have been major economic contributors in the city’s revitalization, and their interests may compete with preservation’s. Additionally, there is a significant amount of city-owned property within the capital city, including government offices and schools. In response, the plan put forth Goal 2 which calls for balancing institutional expansion with preservation.

The first action calls for institutional master plans to include an inventory of historic properties, statement of intended use, maintenance of property and enforcement mechanisms. While institutions do have to submit master plans for review, they do not necessarily consider historic resources in the way called for. Karen Jessup stated that the institutional zone overlay is currently under revision due to such issues. Currently,

institutions must submit master plans for city comment, citizen comment and approval, but “that said have gotten away with a lot.”¹⁶¹ Usually it just comes down to the discretion of the property owner. Brown University is said to have expanded beyond its initial base and is now knocking down historic structures to build new structures that are out of scale. RISD on the other hand, has been far more preservation aware and sensitive.¹⁶² As for city-owned properties, Martin stated that the group in charge of city properties is “notorious.” One significant issue has been schools, which often do not go through reviews. Several years ago school groups wanted to demolish old schools and build new, and it was only a citizen backlash which made them rethink the action and consider renovation. As with the city universities, some buildings like City Hall are mindful just by their own discretion, but Martin also stated that in some cases with landmark buildings, the public holds the city accountable and can make a difference.¹⁶³ The city’s experience with institutional expansion and city-owned buildings demonstrates that “accountability” can have a significant influence on preservation action.

¹⁶¹ Jessup Interview.

¹⁶² Jessup Interview.

¹⁶³ Martin Interview.

Goal 3: *Strengthen the mechanism for designation and administration of local historic districts.*

Actions	First Steps
1. <i>Maintain at least 2 full-time preservation planning staff positions in DPD.</i>	<ol style="list-style-type: none"> 1. Tighten job description/qualification to ensure hiring of preservation professionals. 2. Maintain positions in budget.
2. <i>Prepare Historic Districts Handbook and other educational materials for PHDC and property owners.</i>	<ol style="list-style-type: none"> 1. Edit draft Handbook; distribute to PHDC and staff as interim training manual. 2. Seek grant funding for Handbook publication. 3. Publish PHDC brochure in English and Spanish; seek grants for translating into other languages as needed. 4. Provide annual notice to historic district property owners about review process.
3. <i>Clarify designation process through public meetings and direct contact with property owners.</i>	<ol style="list-style-type: none"> 1. Amend zoning ordinance to include designation criteria. 2. Develop official petition form for designation proponents. 3. Hold early informal public information meetings in neighborhoods where districts are proposed. 4. Invite residents in prospective districts to attend PHDC meetings. 5. Improve direct contact with property owners.
4. <i>Devise signage program for city gateways and local historic districts.</i>	<ol style="list-style-type: none"> 1. Identify funding sources, begin fundraising. 2. Determine appropriate locations for signs. 3. Design sign prototypes (design competition).

Goal 3 of the *Plan for Preservation* calls for the city to “Strengthen the mechanism for designation and administration of local historic districts”. Implementation of this goal has only been partially successful, although the city has expanded its local districts in recent years, and also added several creative and unique district ideas including the Downcity Design Review District and the Industrial and Commercial Buildings District. Better implementation of administration actions, though, would greatly improve the influence of such zoning regulations.

The first action is again related to the restraints of city budget and government support of preservation. The action calls for maintaining at least 2 full-time preservation planners as staff positions in the Department of Planning and Development. Since the time

of the plan's publication, one preservation planner has been added onto the staff but never more. Jason Martin, currently filling the preservation planner position in the DPD, stated that for preservation policy to really run well there should be an entirely separate preservation division with two to three preservation planners. He went on to say that that while "that's ideal, it's not going to happen."¹⁶⁴ The budget for such a position is not there, and is not likely to be in the foreseeable future. With 2500 landmarked properties in the city, the situation can be overwhelming for only one full-time staff person. Furthermore, several interview subjects expressed concern that preservation no longer receives the support of the city government or the mayor's office, making the job of the existing preservation planner very difficult.

The second action called for preparation of a Historic Districts Handbook and other educational materials for PHDC and property owners. While guidelines are published, providing enough education can often be a significant challenge due to staff and funding. The most recent guidelines were published in 2000-2001 for homeowners, but as Martin stated, HDC zoning often comes down to a case-by-case basis which is difficult for many homeowners to understand, when they want to know step-by-step what they are allowed to do.¹⁶⁵ Martin stated that the HDC tries to work with homeowners closely, but with staff constraints it is not always possible to work with individuals as much as the Commission or staff would like. The Commission has tried to become more friendly and open with homeowners, though, attempting to give advice and recommendations when approached.

¹⁶⁴ Martin Interview.

¹⁶⁵ Martin Interview.

This demonstrates that while preservationists in the city would sometimes like to further implement actions staff and time constraints do not always allow for full implementation.

Thus far, the fourth and final action within Goal 3 has not been implemented. While some unofficial signs exist within neighborhoods, there are no official signs to declare the entrance of historic districts.¹⁶⁶

¹⁶⁶ Martin Interview.

Goal 4: Preserve and protect the integrity of Providence’s neighborhoods.

Actions	First Steps
1. <i>Establish a neighborhood conservation overlay zone, with review procedures for alterations, demolition and new construction.</i>	<ol style="list-style-type: none"> 1. Survey NR districts and other areas to determine locations for neighborhood conservation zoning. 2. Draft zoning amendment and design regulations (less restrictive than for local historic districts) 3. Encourage neighborhood self-help repair training programs, tool lending shops. 4. Add conservation zoning to PHDC Handbook.
2. <i>Target code enforcement to specified neighborhoods on a rotating basis, while providing technical and financial assistance for home improvement.</i>	<ol style="list-style-type: none"> 1. Identify local and NR districts with the most code violations; prioritize for enforcement. 2. Restructure code enforcement program to include referrals to PHDC where necessary, and retrain staff accordingly. 3. Include preservation standards in minimum housing code standards.
3. <i>Initiate vacant lot clean-up program and review process for new development on vacant lots in NR districts.</i>	<ol style="list-style-type: none"> 1. Secure additional funding for PRA Special Vacant Lot Program 2. Develop site plan review standards for new development on vacant lots in NR districts.
4. <i>Amend zoning ordinance to require DPD comment on development proposals in NR districts.</i>	<ol style="list-style-type: none"> 1. Define kinds of projects to be reviewed and establish trigger to notify DPD of proposals. 2. Establish time frame and review guidelines. 3. Prepare zoning amendment.
5. <i>Prepare neighborhood plans for each city neighborhood.</i>	<ol style="list-style-type: none"> 1. Establish citywide neighborhood planning process. 2. Initiate prototype plans in 4 priority neighborhoods.
6. <i>Make rehab loan funds available (revolving funds) for NR properties.</i>	<ol style="list-style-type: none"> 1. Identify neighborhoods with active organization experienced in loan administration. 2. Establish revolving fund(s) as non-profits.

Providence has a great variety of unique, historic neighborhoods that have been the focus of preservation attention over the last several decades. The purpose of Goal 4, to “Preserve and protect the integrity of Providence’s neighborhoods” specifically looks to protect these resources. Implementation of this goal has only been partially successful, and much of the success it has seen is the result of neighborhood and advocacy efforts rather than serious participation on the part of the city.

While a conservation overlay zone has not been implemented, the city has instituted several “alternative” historic overlay districts, which are supportive of preservation, but are not quite as stringent as historic districts and also incorporate other interests. The two most

successful examples are the Downcity Design Review District and the Industrial and Commercial Buildings District as previously mentioned in *4.4 Preservation Planning History in Providence, Rhode Island: An Overview*. Again, preservation has been successful in these circumstances without necessarily conforming to the plan word-for-word.

Code enforcement has not been targeted to specified neighborhoods on a rotating basis as called for. When asked about this action, Martin said that code officials are so overwhelmed with what they consider “real” code issues, such as priorities like health and safety, that everything else falls behind.¹⁶⁷

Currently, neighborhood plans are being completed throughout the city, and Providence preservationists actually feel that the most for preservation currently lies here, rather than at the comprehensive level. Neighborhood workshops are currently being held in neighborhoods throughout the city through 2009 with plans being incrementally published for each area. Many interview subjects focused on the strength of neighborhoods and neighborhood organizations in Providence. These groups are found to usually be pro-preservation, and often have the energy and interest to successfully implement projects.

The last recommended action for this goal shows that sometimes another group has accomplished a recommended action outside of the city government or suggestion of the plan, making implementation of the plan action unnecessary. In this case, Providence has a highly successful revolving fund, the Providence Revolving Fund. There is currently no city revolving fund or tax incentive,¹⁶⁸ but the private revolving fund has filled this role successfully. The Providence Revolving Fund makes loans available to low to moderate

¹⁶⁷ Martin Interview.

¹⁶⁸ Martin Interview.

income neighborhoods, and some neighborhood associations also have lending programs.¹⁶⁹

In addition to grants, the Fund has also done some repair workshops. Schoettle stated that the Fund has played a permanent role in preservation in many neighborhoods, making preservation affordable and providing technical services and funds. Without the revolving fund, maintenance would certainly decline. In this case, a private group has again demonstrated the capabilities of outside advocacy groups when the city does not have the budget or the political will to implement recommendations.

¹⁶⁹ Schoettle Interview.

Goal 5: *Revitalize the downtown core and promote its historic, architectural and cultural character.*

Actions	First Steps
1. <i>Implement the Downcity Plan.</i>	<ol style="list-style-type: none"> 1. Adopt the Downcity District overlay zone. 2. Create design review process. 3. Identify contributing and non-contributing buildings. 4. Compile inventory of historic buildings suitable for reuse as residential and arts-related space. 5. Explore financing options for adaptive reuse of historic buildings.

Goal 5 calls for revitalization of the downtown core and promotion of its historic, architectural and cultural character through implementation of the Downcity Plan. Implementation of this goal and action has been extremely successful and noted by various preservation professionals within the city of Providence. The Downcity District overlay zone suggested in the Downcity Plan has been adopted by the Providence Zoning Ordinance, in order to “protect its historic architectural character, to encourage round-the-clock pedestrian activity, to promote the arts and entertainment, and to support residential uses.”¹⁷⁰ The district’s Downcity District Design Review Committee is appointed by the mayor just as the Historic District Commission is. The Committee is authorized to conduct design review, to grant variances for non-conforming uses and dimensions and demolition, and to grant incentives for development that fulfills the district’s purpose. Review, then, includes new construction, major alterations and additions, and streetscape improvements.¹⁷¹

The implementation of the Downcity Plan was one of the few actions which preservation professionals felt comfortable directly attributing to the recommendations of the *Plan for Preservation*. While all interview subjects credited the *Plan for Preservation* with spurring some action and influencing success, due to the length of time which has passed

¹⁷⁰ *Code of Ordinances, City of Providence, Rhode Island*; Internet; available from <http://www.municode.com/resources/gateway.asp?pid=11458&sid=39>; accessed April 2009.

¹⁷¹ *Code of Ordinances, City of Providence, Rhode Island*.

since publication and the variables that have played a part in preservation's and the city's successes, most interview subjects were wary of directly tracing action back to the plan. Schoettle, Woodward and Jessup all pointed to the designation of downcity as a direct, measurable achievement of the plan. Woodward called its implementation in 1994 an "immediate direct response".¹⁷² Jessup stated that the *Plan for Preservation* made it clear that at the time, there was no historic district or design review process for any of the downtown. Jessup stated, though, that while she considers the idea great in theory, its practice does not always live up to its potential due to political interference. As a result, she states that "very mediocre new development has occurred." Even in successful implementation, then, preservation professionals must be aware of the need to consistently advocate for preservation and design interests.

¹⁷² Woodward Interview.

Goal 6: *Promote the adaptive reuse of historic industrial buildings and complexes.*

Actions	First Steps
1. <i>Survey industrial buildings for potential reuse.</i>	<ol style="list-style-type: none">1. Seek grant funding for survey.2. Create database for survey information.3. Use survey data to market industrial facilities for new uses.
2. <i>Update building codes to facilitate adaptive reuse of industrial facilities.</i>	<ol style="list-style-type: none">1. Draft state and local code revisions.2. Educate and train officials responsible for interpretation and enforcement of new regulations.

The *Plan for Preservation's* emphasis on promoting the adaptive reuse of historic industrial buildings and complexes has been very successful. Providence had an abundance of vacant industrial buildings in the 1990s, many of them former mills, which have since been converted to residential and economic development projects.¹⁷³ This implementation can be attributed on one end to the incentives which made rehabilitation useful and financially viable, and on the other end, to the economic success of industrial building rehabilitation projects which inspired further adaptive reuse work.

A major effort in recent years has been survey of the city's industrial buildings, as called for in the goal's first action.¹⁷⁴ Schoettle recognized two major steps that have occurred (although he was not able to definitively connect them to the *Plan for Preservation*): this survey, and subsequently the creation of the Industrial and Commercial Buildings District. This district is a scattered site district which is closer to a "conservation district" in theory than a traditional historic district. This district reviews demolition (and works with demolition delay) and also uses a "broad brush review of renovation."¹⁷⁵

¹⁷³ Jessup and Schoettle Interviews.

¹⁷⁴ *Providence Preservation Society Industrial Sites and Commercial Buildings Survey 001-2002*; available from <http://local.provplan.org/pps/>; Internet; accessed January 2009.

¹⁷⁵ Schoettle Interview.

This district was created after a series of demolitions in the late 1990s and early 2000s. Major adaptive reuse of industrial buildings along Providence's major rivers began in 2000 when a developer first proposed tearing down a group of buildings in order to develop big-box stores. After press on the project created uproar in the community, several large buildings were saved and reused as part of the development, and also helped to guide the design of the new structures. This event catalyzed other groups to save buildings, and many artists rehabilitated and sold space within old mill buildings. The buildings had not been protected in anyway, and this prompted the creation of the district in 2001 (which was expanded in 2004).¹⁷⁶ Since this time, adaptive reuse has continued to be very successful in Providence, and much of this work can be attributed to state and federal tax credit incentives.¹⁷⁷

This goal also called for updating building codes to facilitate adaptive reuse of industrial facilities. Jason Martin stated that there is now a rehabilitation code for industrial buildings, but that many people do not fully understand it and actually find it more difficult to work with now despite its more flexible nature.

The success of industrial building adaptive reuse in Providence demonstrates the impact that a negative event can have to inspire action. While the response has been impressive, cities should try to be proactive rather than reactive to such events. Fortunately, adaptive reuse has since continued to be extremely successful for the city, and its economic achievements have promoted the positive, demonstrable results of preservation work in localities. The success of adaptive reuse has also demonstrated the impact of incentives, with

¹⁷⁶ Woodward Interview.

¹⁷⁷ Jessup and Schoettle Interviews.

proactive preservation work taking place as a result, whereas the city continues to struggle with regulatory preservation.

Goal 7: *Encourage development of vacant or underutilized waterfront areas, including increased public access, while protecting water-dependent land uses.*

Actions	First Steps
<ol style="list-style-type: none"> 1. <i>Prepare/implement design guidelines for the waterfront, in conjunction with Downcity and Old Harbor Plans.</i> 	<ol style="list-style-type: none"> 1. Update PPS draft waterfront guidelines, including heights, street patterns, views and public access. 2. Draft zoning amendment.

As with protections for natural and open space within the city, waterfront protection has not occurred as a direct result of preservation work within the city. In recent years, the city has returned to its waterfront for its unique views and possibilities for economic success. Numerous plans and projects have been centered around its waterfront and harbors, but while preservation professionals may have been involved in review and comment periods for these projects, success cannot be traced back to the recommendations of this Plan for Preservation.

4.7 Case Study Conclusion

The in-depth recommendation review presented in the above section revealed that on the whole, all of the projected goals of the *Plan for Preservation* have been successful, and that the majority of the recommended actions have also been implemented to some degree. This review of recommendation implementation revealed several direct successes, such as designation and expansion of National Register and local historic districts and several full implementation failures such as targeting code enforcement to specified neighborhoods on a rotating basis. The majority of action implementations, though, fell somewhere in the middle, with either partial (and in that case often on-going) implementation, or implementation occurring through another entity or project not intended by the plan. In such cases defining the implementation as a success or failure could not be accomplished in concrete terms. This speaks to the difficulty in evaluating a plan in “blueprint” terms, directly connecting a line between recommendation and implementation and thereby determining success or failure. In reality, planning for any interest is more dynamic and complex.

Departures from the plan do not mean the plan has failed in any way, rather it points to the complexities in local and preservation planning, including such “real life” issues as budgeting, department coordination and timing. The Section 4.6 *Recommendation Review* demonstrated that obstacles to recommendation accomplishment included budget, shortage of staffing and time, lack of political will and buy-in from the city, lack of education and preservation awareness, and recommended actions falling outside of the scope of the preservation field in the city.

While the *Plan for Preservation* could be determined a success by a purely quantitative measure, with the majority of its goals accomplished, it is perhaps more useful and informative to look at the story of its creation, its initial implementation, and the evolution of preservation planning in Providence since that time. For the purposes of this thesis, such evaluation could only be accomplished through reliance on the experience and the opinions of preservation professionals in the city who have witnessed its transformation and continued preservation work there today, whether it be in the official capacity of the city government or as a local advocate for preservation. Through such conversations, the obstacles to recommendation implementation listed above could be more fully considered, with a better understanding of their cause, and the potential to find practices which will mitigate their potentially negative effect.

Beginning with the plan's publication, Karen Jessup stated that in 1993, *A Plan for Preservation* was well-recognized as it brought good press for Providence outside of the city. The plan was well publicized locally,¹⁷⁸ as even lay people helped with public education and the presence of education in the community.¹⁷⁹ As noted earlier, the plan was also adopted by the city council and initially received the support of a sub-committee formed to see its initial implementation. Interview subjects were next asked if people in Providence, including city workers and citizens, are still aware of the *Plan for Preservation* in any way. Jason Martin of the Department of Planning and Development stated that not many people still know about the plan, that it is no longer on peoples' radar.¹⁸⁰

¹⁷⁸ Martin and Jessup Interviews.

¹⁷⁹ Jessup Interview.

¹⁸⁰ Martin Interview.

Particularly interesting responses were given as interview subjects were asked to discuss plan “success or failure” and specific achievements as a result of the publication of a *Plan for Preservation*. All interview subjects generally identified the plan as successful, but not without several caveats (such as one pronouncement that the plan was “as much success as any of them are – or as little”¹⁸¹) and opinions on the planning process. Most interview subjects noted that even the creation of a plan itself was a positive step. While historic preservation was required as an element of the comprehensive plan at the time, devoting a document of this length and depth was not necessarily required. Martin noted that where preservation can often be a reactionary field, where some people will only actively engage themselves when something bad is happening, the plan in contrast, was a truly positive action.¹⁸²

With the exception of a few mentions of direct plan achievement (like implementation of the Downcity Plan) almost all discussions of plan success focused on its effect on preservation *awareness* in the city and on the *process* of preservation plan creation and preservation planning. Karen Jessup emphasized several points in relation to the plan’s “success.” Jessup stated that it is not so much that the 1993 plan was a success or a failure, but that it was effective in many ways, and that since then, preservation planning has been ineffective. This would lead to the conclusion, then, the preservation success in the city was a result of the plan in some way. She also noted the plan’s effect on awareness, saying that it did in fact cause city agencies to think twice before they engaged in anti-preservation

¹⁸¹ Woodward Interview.

¹⁸² Martin Interview.

activities, saying that it put a burden on city agencies to pay attention to city preservation values.

Several interview subjects spoke to the *process* of planning and creating the plan over the publication of a plan itself, or its final content and form. Jessup directly stated that she thinks the “outgrowth of this 1993 planning is the process.” Clark Schoettle of the Providence Revolving Fund expressed this idea several times throughout his interview. He did not necessarily feel that the plan set a new direction, or that the content of the plan presented new or innovative ideas to the Providence community. Instead, Schoettle stated that through his reading of the plan, he felt it was picking up vibes that were already in existence at the time. The plan then, continued in the direction the city was already going. As he put it, “Plans are sort of funny, because they’re not necessarily charting a course, but pulling together the direction [the city is] actually going.”¹⁸³ In his opinion, then, the importance of the plan was really its process. When asked if the matrix of action steps was useful to the city in reality, Schoettle responded that while it was a nice way to put the plan into a nice package, those steps are still difficult to implement because they are not ending up on anyone’s desk as a work program, because plan implementation is not anyone’s job.¹⁸⁴ The plan, then, serves the purpose of gathering information and giving direction.¹⁸⁵ The importance of the plan in starting discussion and creating connections was also specifically mentioned as important. Schoettle stated that the plan served a purpose of convening groups, starting discussions, and getting a consensus of what was important at that time. In his opinion, the result of those discussions likely only worked for three to four years,

¹⁸³ Schoettle Interview.

¹⁸⁴ Schoettle Interview.

¹⁸⁵ Schoettle Interview.

because the connection that was created among different people was strong at first but dissipates over time.¹⁸⁶ Finally, the planning process and the plan brought “focus and legitimacy” to preservation planning in Providence.¹⁸⁷

Obstacles to preservation in Providence were identified by Martin as education and economics, a theme which was seen through the *4.6 Recommendation Review* and reiterated by other interview subjects. Martin spoke of the difficulty in attempting to compete with the propaganda machine of advertisers and television, where citizens think they are learning preservation. He also related this to issues of “short sightedness,” saying that preservation needs a better counter argument to convince citizens of preservation, as he feels the argument for “future generations” no longer works.¹⁸⁸ Martin finds that an emphasis on carrot (incentives) instead of all stick (regulations) might improve this situation. Jessup stated that in general she feels preservation planning in Providence has gone downhill over the decades. She feels that the main obstacle here is that the city currently has a city council and mayor whose priority is not preservation. Jessup stated that the mayor is not aware enough of preservation, but she also acknowledges that the preservation field has not gotten his attention; to some extent, Jessup said she faults the preservation community for not being proactive with the mayor in a positive way.¹⁸⁹ Therefore awareness is not being built, and political buy-in is not created. When asked to specifically list obstacles to preservation, Jessup listed: political; advocacy oriented; preservation development; and the economy. She stated that while there is much preservation awareness on some level that does not translate

¹⁸⁶ Schoettle Interview.

¹⁸⁷ Schoettle Interview.

¹⁸⁸ Martin Interview.

¹⁸⁹ Jessup Interview.

into public sector pressure for preservation planning.¹⁹⁰ Schoettle reinforced this point stating that there is a “lip service to preservation,” but that Jason Martin, as the city’s only preservation planner, is “really a lone ranger.”¹⁹¹ Currently, Schoettle stated that there is not support from the city administration. Woodward also stated that most people understand that preservation is important, but when it comes down to making decisions, they are not necessarily in favor of preservation.¹⁹² Woodward also emphasized that preservation is not currently a high priority of the planning department, also saying that they “pay lip service to preservation because they know they have to” but that the department is really more pro-development.¹⁹³

Within the context of these conversations, a focus on neighborhood planning and advocacy for preservation came up again and again. This was a direct response to the fact that preservation has lost its standing in the city government’s list of priorities. Jason Martin stated that it is in the non-profits and Community Development Corporations in neighborhoods where preservation happens, also stating that “a lot of preservation comes from people.”¹⁹⁴ Schoettle agreed that much significant preservation work occurs outside of the planning department, as the initiative of one interested person or small group.¹⁹⁵ Woodward asserted that neighborhood groups and advocacy groups have made the biggest difference in Providence recently, as they are often vocal and outspoken, but also organized.

¹⁹⁰ Jessup Interview.

¹⁹¹ Schoettle Interview.

¹⁹² Woodward Interview.

¹⁹³ Woodward Interview.

¹⁹⁴ Martin Interview.

¹⁹⁵ Schoettle Interview.

When asked what they would include in a new preservation plan if they could get the support for a new publication to be written, many of the interview subjects mentioned issues like stronger regulation, but much of the focus was on education and awareness. Martin stated that he thinks it needs to be recognized by the preservation community that you need to put forth every tool that you can, including education and staff, or preservation will not be successful. As Martin said, you need the proper tools, but mostly it is “help, help, help, help, help,” working with property owners through education. Jessup emphasized that more than a plan, what the city most needs is the political will to implement preservation. She stated that if there was a serious effort behind a publication that she would call for appropriate staffing, institution of a required education process and a requirement that city agencies work together for preservation’s benefit.¹⁹⁶ Schoettle did not list specific components, but again emphasized the idea of bringing focus to preservation, as well as legitimacy to preservation work.¹⁹⁷ While he spoke often about the planning process, Schoettle also stated that he has actually advocated for a new preservation plan, not so much for its hardcopy result, but for the process that is built behind it.

This analysis of preservation planning through *A Plan for Preservation* has revealed that the plan was a successful, useful document for the city. At the same time, deeper analysis revealed that there are many complications and obstacles behind the plan, which continue to effect preservation efforts. It appears that in addition to recommending more stringent regulatory tools and providing more incentives for preservation such as tax credits and grants, that the most important aspect of preservation planning is an advocacy and education

¹⁹⁶ Jessup Interview.

¹⁹⁷ Schoettle Interview.

process for citizens and city officials alike. Creating awareness among citizens and buy-in from political powers are important to ensure preservation success. Communication of preservation goals and benefits, and integration of the same into citizens' care of their property and the city's approach to development, will help to ensure a preservation ethic which will remain stable over time.

CHAPTER 5: PRESERVATION PLAN IMPLEMENTATION IN THE CITY OF LANCASTER, PENNSYLVANIA

5.1 Introduction

Located in the heart of Pennsylvania's famous Lancaster County, the City of Lancaster has long acted as the center of this mainly agricultural and suburban region. Today, Lancaster is a small city of seven square miles and is home to about 56,000 residents.¹⁹⁸ The city has a natural boundary formed by the Conestoga Creek to its south and east, and retains its 18th century grid pattern which radiates from its central Penn Square.¹⁹⁹ Its traditional role as the county's center and this historic street pattern are just several legacies from Lancaster's significant history. In recent years, Lancaster has strengthened its link to this past by turning to its historic architecture as a tool in revitalization and future stability. Conscious efforts in historic preservation began in the late 1960s, and accelerated in the 1990s with the incorporation of preservation values and activities into local comprehensive planning, beginning with the creation of *Preserving Community Character*, Lancaster's first formal preservation plan.

Preserving Community Character, published in 1992 for the City of Lancaster, Pennsylvania, is a unique vision for preservation planning. Rather than focusing strictly on historic preservation, the document emphasizes the overall "community character" of Lancaster, recognizing not only its significant history and architecture, but the city's distinctive quality of life and continual evolution. Presented as more of a visionary document than an action plan, *Preserving Community Character* encouraged a new direction for

¹⁹⁸ Suzanne Stallings, *The Best Places to Buy an Old House: Nomination, This Old House* and *PreservationDirectory.com*, 2009.

¹⁹⁹ *City of Lancaster, Pennsylvania*, available from cityoflanasterpa.com; Internet; accessed February 2009.

preservation in Lancaster, promoting community involvement, a neighborhood focus and recognition of the city's diversity.

5.2 Introduction to the History of Lancaster, Pennsylvania

The city was founded in the early 1730s and soon developed as a center in the midst of the surrounding agricultural region.²⁰⁰ Lancaster's location at the intersection of several major roadways at the time expanded its importance and growth. While Lancaster is considered a small city today, in 1760 it was actually the largest inland town in America, and acted as Pennsylvania's capital from 1799 to 1812.²⁰¹ From its founding through to the late 19th century, Lancaster's growth was relatively modest.²⁰²

Like many cities, though, Lancaster grew rapidly in the late 19th century due to transportation improvements and industrial and manufacturing expansion. The preservation plan states that "The city which we appreciate today, and the distinctive character that the city has become known for, should be recognized and respected as a product of late nineteenth century and early twentieth-century industrial America."²⁰³ The point is made that Lancaster's "history is reflected in its built environment."²⁰⁴ These historic resources can be found throughout the city, in landmarks like its famous Central Market, its rowhouses and warehouses, and its historic roadways and grid pattern. Lancaster's most enduring legacies from its late 19th and early 20th century growth are its central business district and surrounding residential land area, which contain a variety of buildings from all periods. The

²⁰⁰ David Schneider and Peter Benton, *Preserving Community Character* (Lancaster, PA: Historic Preservation Trust of Lancaster County, 1992), 2.

²⁰¹ Suzanne Stallings, *The Best Places to Buy an Old House: Nomination*.

²⁰² *Preserving Community Character*, 2.

²⁰³ *Preserving Community Character*, 2.

²⁰⁴ *Preserving Community Character*, 2.

greatest amount of building in Lancaster occurred between 1840 and 1930,²⁰⁵ and the greatest number of residences, mostly in the form of rowhouses, date between 1875 and 1915.²⁰⁶ The architectural styles mostly reflect the Victorian period, and many of the buildings have Italianate, Romanesque, Queen Anne and Colonial Revival elements from this period.²⁰⁷

Preserving Community Character presents Lancaster's more recent 20th century history within the context of the challenges it has presented to the city. After World War II, Lancaster experienced challenges similar to those of many cities of the time, such as the closing or relocation of many important mills and factories.²⁰⁸ While the city's landmark buildings have long been appreciated even during times of economic challenge, its "ordinary old buildings" have not always been treated with similar respect. While smaller in scale than Providence (see Providence Case Study Chapter 4), Lancaster also received attention from urban renewal activities in the late 1960s. Urban renewal "resulted in a tremendous loss of Lancaster's historic building stock in both the central business district and the city's southeast quadrant."²⁰⁹ By the time *Preserving Community Character* was written in 1992, one source says that Lancaster was a "depressed city" that was "in need of revitalization."²¹⁰ Specific problems at the time included maintaining its downtown as a commercial center and competition with growing suburban developments.²¹¹ The late 20th century is said to have

²⁰⁵ *City of Lancaster, Pennsylvania.*

²⁰⁶ Suzanne Stallings, *The Best Places to Buy an Old House: Nomination.*

²⁰⁷ *City of Lancaster, Pennsylvania.*

²⁰⁸ *City of Lancaster, Pennsylvania.*

²⁰⁹ *Preserving Community Character*, 3.

²¹⁰ Timothy Smedick, interview by author, March 26, 2009.

²¹¹ *Preserving Community Character*, 3-4.

been “a period of gradual loss of commercial and industrial activity in the district.”²¹²

Planning for preservation activities grew out of the need for a response to these issues, with the community’s leaders recognizing the city’s unique historic building stock, and its potential for the future.

5.3 Planning History in Lancaster, Pennsylvania: An Overview

The City of Lancaster began formal planning with the adoption of the city’s first comprehensive plan in 1929. In 1945, the “Baker Plan,” a second comprehensive plan, was published. Lancaster subsequently adopted its first zoning ordinance in 1948. In 1968, the city adopted a *Land Use Plan*, and began the urban renewal activities discussed above. An extensive survey of all city land uses occurred in 1988.²¹³ In June 1991, the city began the planning process for its *New Comprehensive Plan for the City of Lancaster*, in which the city addressed “the high priority concerns of its citizens.”²¹⁴ As part of this process, the city completed a historic preservation element of the comprehensive plan. The first step towards this process was the writing and publication of *Preserving Community Character, City of Lancaster, Pennsylvania*, by Peter Benton and David Schneider in 1992. This document is the focus of this thesis case study and will be discussed in further detail in the following sections of this chapter.

As will be discussed in the following section, that document was not officially adopted by the city, but instead formed the basis for the *New Comprehensive Plan’s* Chapter III, “Community Character”. The *New Comprehensive Plan* was published in 1993 by the

²¹² *City of Lancaster, Pennsylvania*.

²¹³ *A New Comprehensive Plan for the City of Lancaster: Policy Plan* (City of Lancaster, PA: Department of Housing and Community Development, 1993), 55-56.

²¹⁴ *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 5.

Department of Housing and Community Development and was adopted by the city. Since that time, most planning efforts in the city have been based off of this comprehensive plan. A new comprehensive plan for the city has not since been published, but in May 2008, the city adopted an ordinance authorizing the city council “to enter into the intergovernmental cooperation agreement” for *Growing Together: A Comprehensive Plan for Central Lancaster County*, a regional comprehensive plan developed by the Lancaster County Planning Commission.²¹⁵

Today, Lancaster’s main planning body is the Bureau of Planning, part of the Department of Economic Development and Neighborhood Revitalization. The Bureau of Planning describes its responsibilities as: “related to land development and subdivision plan review and approval, historic preservation planning, review and approval of construction, renovation, and demolition projects within historic districts, storm water management for new building and paving projects, and long-range comprehensive planning and implementation.”²¹⁶ The Bureau administers four ordinances in the city, including the Heritage Conservation District Ordinance and the Historic District Ordinance. In connection to these ordinances, the Bureau provides technical assistance and staff support to the Planning Commission, the Historical Commission, and the Historical Architectural Review Board. Other divisions within the Department of Economic Development and Neighborhood Revitalization which can have a significant effect on planning efforts are the

²¹⁵ *File of the City Clerk, Administration Ordinance No. 7 2008*; available from <http://www.co.lancaster.pa.us/lancastercity/lib/lancastercity/bills/bill0708.pdf>; Internet; accessed February 2009.

²¹⁶ *City of Lancaster, Pennsylvania.*

Bureau of Zoning and Inspections, the Neighborhood Revitalization Division, and the Structural Inspections Division.²¹⁷

5.4 Preservation Planning History in Lancaster, Pennsylvania: An Overview

Conscious preservation planning in Lancaster began in the 1960s when the city faced its first threats to historic property through urban renewal schemes. According to the city, “In the mid-twentieth century, local citizens began to actively encourage preservation of the City’s historic buildings and neighborhoods, and urged local elected leaders to implement plans and ordinances to protect this unique heritage. Lancaster City Council created Lancaster's first local historic district in 1967.”²¹⁸ Aside from this first creation of the local historic district, one of Lancaster’s most significant preservation undertakings to date is the *Preserving Community Character* plan, published in 1992. While the plan was not officially adopted by the city, its creation and publication have had a significant effect on preservation planning in the city since that time, with its main ideas included in 1993’s *A New Comprehensive Plan for the City of Lancaster*, which has guided planning activity in the city since the early 1990s.

Today, the city’s preservation initiatives are directed under the Bureau of Planning’s planning staff, which includes one preservation planner position. Additionally, the city has a Historical Commission and a Historical Architectural Review Board. These groups oversee preservation under two types of local historic districts, the HARB district and a Heritage Conservation District. The HARB oversees the original local historic district which was created in 1967. HARB review includes changes to the exteriors of included buildings, and

²¹⁷ *City of Lancaster, Pennsylvania.*

²¹⁸ *City of Lancaster, Pennsylvania.*

new construction and alterations are assessed for their affect on the appearance of a building or overall character of the street. All applications for new construction, demolition and exterior alterations to buildings within the district are reviewed by the seven person HARB which is appointed by the City Council.²¹⁹ A separate district and commission was created in 1999, the Heritage Conservation District and the Historical Commission, respectively. The Conservation District and the Historical Commission were created to review new construction and demolition visible from a public street for the city's remaining resources which were not included in the HARB reviewed local historic district. The goal here is to protect the overall character of streets and neighborhoods, and reviewed projects include constructing a new building or addition, adding a porch, or demolishing a building or porch, dormer, etc. The Historical Commission is appointed by the city council and includes seven members.

5.5 Introduction to *Preserving Community Character: City of Lancaster, Pennsylvania*

History of Preserving Community Character

As discussed in the above sections, *Preserving Community Character* was published in 1992 as part of Lancaster's comprehensive planning process which was officially undertaken in 1991. The plan, as it was not officially adopted by the city, has had a more complex history than Providence's *A Plan for Preservation*, as discussed in the previous case study in Chapter 4. The interview process for this case study began by speaking with Peter Benton, the author of *Preserving Community Character*. At the time of the plan's publication, Benton worked at John Milner Associates, Inc., and was hired for this project as a writer and

²¹⁹ *City of Lancaster, Pennsylvania.*

consultant, in partnership with David Schneider, then the executive director of the Historic Preservation Trust of Lancaster County. Benton described his experience with the project during an interview conducted with the author on March 13, 2009. He stated that he began by thoroughly surveying the city, and stated that his fundamental observation from this work was that the whole town was National Register eligible and significant and needed to be a part of the final plan. Benton was particularly interested in the city's neighborhoods, stating that he was able to clearly see its land evolution over time, from the center of the city to its edges.²²⁰

Based on these observations, Benton and his team put together what would become the comprehensive set of recommendations as published in the final document of *Preserving Community Character*. Benton revealed during the interview process that he was unsure what actually became of the plan that he wrote. Benton's final observation was that part of this case study's story was not just the plan itself, but what became of it, and unexpected influences in its successes and failures.²²¹

Many of the details of this plan's subsequent use in Lancaster's planning work was filled in through a joint interview process with Paula Jackson, chief planner in Lancaster, and Suzanne Stallings, preservation planner in the city's Bureau of Planning, as well as through documentation of the process as provided by the Bureau of Planning. Jackson worked on the planning staff at the time of *Preserving Community Character's* publication, and remains intimately connected to the comprehensive planning process and subsequent preservation planning activities. Jackson described the process leading to the comprehensive plan

²²⁰ Peter Benton, interview by the author, March 13, 2009.

²²¹ Benton Interview.

beginning with collaboration between the planning office and Lancaster citizens. The process began with a citizen advisory group which discussed issues such as the character of Lancaster.²²² A later report from the Historic Preservation Initiatives Committee in 1997 describes the 1993 plan process as a two and one half year process in which “grass-roots citizens input identified Lancaster’s architecture as the second most desirable feature on a list of the top ten positives” (accessibility was listed as number one).²²³ The group, then, decided that its character was not just its buildings, but also its “good urban design” as a whole, including its streetscapes, sidewalks, trees, density and alley system.²²⁴ Furthermore, the group first brainstormed the phrase “community character.” The advisory group felt that using “historic preservation” would be a “turn-off” particularly to Lancaster’s sizeable minority population. They specifically brainstormed a title they felt would appeal to that population of the city, and struggled through an entire meeting to come to “community character.”²²⁵ The group felt that if preservationists wanted to reach out to the community, that historic preservation should not be explicitly used as it would not be embraced by the whole community.²²⁶

Jackson stated that this preservation effort was meant to be part of the *New Comprehensive Plan* which was eventually published in 1993. At the time, the city government was encouraged to include *Preserving Community Character* as part of the comprehensive plan, which would have been going “beyond the limits of the state planning code” which does not require devotion of a separate plan or chapter to preservation. After the citizen advisory

²²² Paula Jackson and Suzanne Stallings, interview by author, March 20, 2009.

²²³ *Historic Lancaster: Recommendations for Protecting Our Historic Quality*, Report of the Historic Preservation Initiatives Committee, Executive Summary (City of Lancaster, PA: 1997).

²²⁴ Jackson and Stallings Interview.

²²⁵ Jackson and Stallings Interview.

²²⁶ Jackson and Stallings Interview.

group had met, 68 neighborhood meetings were held within 4 months to gather public opinion. What Jackson and her colleagues heard from residents was how important the architecture of Lancaster was to them, in addition to other qualities like walkability. From the list made in these meetings, goals were developed.

Preserving Community Character was not adopted, but it did serve as the background to the adopted comprehensive plan. It was the “Community Character” chapter of the comprehensive plan, then, that was specifically adopted and implemented, although *Preserving Community Character* was actually a strong basis for preservation planning in this period. *A New Comprehensive Plan* directly references *Preserving Community Character* and states that “the character of a community is defined by its physical, cultural, and social qualities.”²²⁷ The plan states that “Protecting the aesthetic and historic quality, structural integrity, and urban character of the city’s neighborhoods and buildings will help to preserve Lancaster’s community character.”²²⁸ One specific policy goal of the plan was “To protect and enhance Lancaster City’s physical attractiveness and historic quality while allowing for reasonable growth and development.”²²⁹ The plan lists objectives such as “adaptive reuse of existing nonresidential structures,” “formal designation of historic areas throughout Lancaster,” and “a system of design review should be established for existing structures and for new construction in areas outside of official Historic Districts.”²³⁰

²²⁷ *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 10.

²²⁸ *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 10.

²²⁹ *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 11.

²³⁰ *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 12.

Content of Preserving Community Character

As discussed in the previous section, *Preserving Community Character* was written by Peter Benton, of John Milner Associates, Inc., and David Schneider, executive director of the Historic Preservation Trust of Lancaster County. Published in 1992, the process for creating the plan included extensive survey and historical research by Benton²³¹ and “substantial public participation”²³² through community meetings. The plan was funded by the Pennsylvania Historical and Museum Commission’s Certified Local Government Grant Program and Lancaster’s Community Development Block Grant Program.²³³

The authors divided the plan into three sections, titled “Community Character,” “Enhancing Community Character,” and “Recommendations.” The first section provides a background for the plan, describing Lancaster’s historical development, its current downtown, the city’s neighborhoods, and introduce the reader to Lancaster’s cultural diversity. The second section presents community character as a unique characteristic which can be strengthened in the future, and used as a tool in economic development and community revitalization efforts. This chapter concludes with a section on using historic preservation as a tool for preserving community character. The final section is devoted to recommendations based on the previous two chapters. The plan states that “The following recommendations are directly related to increasing public awareness of the city’s rich history, its cultural diversity, and its physical attributes. They are intended as first steps toward improving the quality of life for all those who live and work in the City of Lancaster.”²³⁴

²³¹ Benton Interview.

²³² Gagliardi, 13; Jackson and Stallings Interview.

²³³ *Historic Lancaster: Recommendations for Protecting Our Historic Quality*.

²³⁴ *Preserving Community Character*, 17.

These recommendations are broken into: *Community Character Education*, *Neighborhood Focus*, *Historic Preservation as a Tool*, *Minority Involvement*, *Community Design Consensus*, and *Comprehensive Plan*. Each broad goal contains several specific objectives, each of which recommends leaders for the process and how the objective will be paid for.

The authors of *Local Historic Preservation Plans: A Selected Annotated Bibliography* noted the plan's focus on cultural diversity, and its related publication in both English and Spanish. The authors call it a "highly readable document" which emphasizes Lancaster's community character as "an important asset that can used to achieve a variety of social and economic goals in the city."²³⁵ One of the most important aspects of the plan, though, was that it was "Developed with substantial public participation."²³⁶ At the time the plans for the *Annotated Bibliography* were collected, the authors did not know that *Preserving Community Character* would not be officially adopted by the city. This part of Lancaster's preservation planning story, then, sets it apart from both the Providence and Staunton case studies. The following case study review reveals that while the plan was not officially adopted, many of its suggested recommendations have been implemented in some form. This result shows how important the planning process is to the plan itself, and the document has clearly influenced preservation activity in Lancaster since that time. *Preserving Community Character's* recommendations will be presented in detail in the following section, with each recommendation followed by a discussion of its components and future success in implementation.

²³⁵ Gagliardi, 13.

²³⁶ Gagliardi, 13.

5.6 Recommendation Review²³⁷

Goal 1: Community Character Education: *The community needs to continue the process begun by this study to define the strengths and weaknesses of our community character and the role our people play in defining that character. As people become more aware of the significance and condition of their neighborhoods, they will be more likely to take meaningful action to make improvements. This specifically includes a need to document and promote minority communities within the city with an eye toward improving understanding between them and the community at large.*

Recommendations	Details
1. <i>Audio/Visual Presentation.</i>	1. Presentation to increase community character awareness.
2. <i>Rehabilitation/Maintenance Handbook</i>	1. Handbook to provide guidelines for rehabilitating existing buildings and addresses strategies for reducing rehabilitation and maintenance costs while preserving community character.
3. <i>Demonstration Projects</i>	1. Community character preservation demonstrated through tangible projects; can initially be accomplished through ongoing programs underway by such groups as SACA, Habitat for Humanity, City of Lancaster's Housing Rehabilitation Program, etc.
4. <i>Document Minority History</i>	1. A program to document history of Lancaster's primary minority populations, African-Americans and Latinos; examining historic and potential contributions of these communities to the physical character of the city and promoting preservation of buildings and neighborhoods associated with these groups.
5. <i>Community Character in the Schools</i>	1. Educational programs about community character and heritage are in place in many areas of the country and should be examined to identify methods to introduce heritage education into the city's elementary and secondary curriculums.
6. <i>Newspaper Series</i>	1. Series of articles describing aspects of Lancaster's history and community character.

Preserving Community Character's first goal contains two elements, concentrating first on general public education through such tools as presentations and handbooks, and secondly on documenting and promoting minority history within Lancaster. The city has had mixed success with this goal. The planning department has taken steps towards education, publishing a variety of educational materials when budget allows, but has not seen as much success with minority history documentation.

²³⁷ Each goal in this *Recommendation Review* begins with matrix of that goal's specific recommendations and details. These goals, recommendations and details are quoted from *Preserving Community Character*, pages 17-20. For more detail, see Appendix B of this thesis.

In the past, Jackson and Stallings stated that tours were given for interested groups, but this was an activity that has been limited by budget. Documents such as *The Historic City of Lancaster, A Report on its Historic Resources* published in 1995, have been published not only to help the city move forward in planning efforts, but to help educate citizens interested in the city's architectural and neighborhood highlights. Today, what would serve as the "Rehabilitation/Maintenance Handbook" suggested in the recommendations, is provided to residents on a useful city website. Several webpages are devoted to informing homeowners about the importance of maintenance and repair, and what programs and grants are available to assist them.²³⁸ A "Preventative Maintenance Checklist" is available for printout to guide citizens through regular maintenance of their historic homes. Another booklet, titled "Property Maintenance: Tips on Repairing, Renovating and Respecting Older Buildings" is also available, and in addition to addressing common problems and recommended approaches, also discusses the benefits of preventative maintenance over the use of harmful modern synthetic materials. Other webpages specifically address such elements as doors and windows, porches and masonry walls.²³⁹

Bringing "community character" to the schools through education programs has been accomplished to some extent. The planning department published a "Teacher's Guide" to Lancaster's Architectural Heritage, which was given to all of Lancaster's schools and librarians.²⁴⁰ One of Lancaster's more impressive educational outreach initiatives is that the city has published a vast amount of information on Lancaster's history, architecture and preservation on its internet website. Some of these webpages are devoted to historical and

²³⁸ "Lancaster's Architectural Heritage," City of Lancaster, Pennsylvania; available from <http://www.cityoflancasterpa.com/lancastercity/cwp/browse.asp?a=869&bc=0&c=43736>; Internet; February 2009.

²³⁹ "Lancaster's Architectural Heritage."

²⁴⁰ Jackson and Stallings Interview.

architectural summaries and descriptions, and others are specifically education oriented. For example, the “Education and Children” webpage²⁴¹ provides two fieldwork forms which are “available here to help children look carefully at details and describe what they see.” A form for younger children helps them to “analyze shapes, patterns, and functions” while a form for older children helps “them to differentiate stylistic details and materials.” Additionally, the site helps children in “building a vocabulary” in architecture, illustrating architectural terms, setting up an “architectural treasure hunt,” and describing the patterns of bricks that children may notice on local buildings. As many preservation education efforts too often turn into more history than historic preservation lessons, Lancaster’s preservation and architecture specific education activities are notable.

The documentation and promotion of minority history in Lancaster is one aspect of this goal which local preservationists acknowledge has not been addressed well. There has been some outreach, such as programs held on a local Spanish language radio station discussing historic preservation, but such efforts are infrequent and have not occurred in recent years.²⁴² The general opinion among Lancaster’s preservationists was that historic preservation issues by and large are not important among the city’s minority populations. Timothy Smedick of the Lancaster Historic Trust, the county’s leading advocacy group, stated that he does feel education is a problem, but that interest must come from both sides. He stated that while preservation must be better promoted, minority populations in Lancaster also must begin to accept and recognize the value of the city’s historic resources. Both Jackson and Smedick spoke to the difficulties in persuading the significant Puerto

²⁴¹ “Educators and Fieldwork: Children,” City of Lancaster, Pennsylvania; Internet; available from http://www.cityoflancasterpa.com/lancastercity/cwp/view.asp?A=869&QUESTION_ID=551673; accessed February 2009.

²⁴² Jackson and Stallings Interview.

Rican population in the city to feel a connection to a historic architecture that does not relate to their own cultural past. Jackson stated that most Latinos in the community appear to be more interested in their daily lives, and their connections to their family, religion, and so on, than to the historic buildings in a new home town.

Education initiatives in Lancaster, then, face many of the same problems as other cities tackling preservation education and awareness. First is the issue of budget, which may allow for the initiation of programs, but not a continuous effort over time. Lancaster has published reports and booklets when able to receive grants or funding, but can not rely on this consistently. A second issue is that of time. While the planning department has clearly made concerted efforts towards education, the day-to-day demands of planning work do not allow for complete devotion to educational outreach and promotion. Last, every interview subject spoke to the issue of interest in preservation having to be two-sided. Preservationists in the city seemed to feel discouraged that some outreach efforts have been made to minority populations, but that the interest is not returned. This issue is not exclusive to this population or to Lancaster, but speaks more to the competition preservation often receives from easier methods of maintenance and repair than those promoted by preservation advocates. Lancaster's most important step towards education may be its availability of preservation information on its internet website. While the city does not always have the budget or time to actively reach out to the public at all times, the internet has provided a way for the city to make information available and accessible to the public. Interested citizens are able to educate themselves on history and style as well as practical repair and maintenance.

Goal 2 Neighborhood Focus: *Lancaster’s neighborhoods should be the focus of community revitalization activity. Community should develop effective mechanisms to promote and reinforce the special qualities and character of our neighborhoods, foster and promote active neighborhood associations, and broaden their focus to include the preservation of neighborhood character.*

Recommendations	Details
1. <i>Neighborhood Task Force</i>	1. Effort similar to the Downtown Task Force is needed to continue to define neighborhood issues, to promote the significant role of neighborhoods to the overall vitality of the city, and to begin establishing a more formalized role for neighborhoods within the city planning and political processes.
2. <i>Neighborhood Study</i>	1. Comprehensive study needed to document the historical development of the City’s neighborhoods and to serve as a basis for developing neighborhood awareness. In addition, the study should identify existing groups, assist the Neighborhood Council and other parties in networking among them, suggest possible definition/redefinition of neighborhoods in order to foster groups where none currently exist, and make recommendations to the City on methods to formalize communication from such groups.
3. <i>Incentive Programs</i>	1. A series of incentive programs, such as property tax abatements for community character enhancement, formal involvement of neighborhood associations within city government, etc. should be developed.

The second goal of *Preserving Community Character* called for making the city’s neighborhoods a focus of community revitalization. In this case, Lancaster has not specifically implemented the recommendations listed above, but the city has a Housing and Neighborhood Revitalization Unit which works directly with residents in neighborhood improvement neighborhoods, and neighborhood associations have started to become important players in revitalization efforts.

The Housing and Neighborhood Revitalization Unit of Lancaster describes its principal goal as “to promote reinvestment in the existing housing stock. Preserving existing housing through maintenance and rehabilitation and increasing home ownership are goals in the City’s adopted comprehensive plan and are primary means to promote this strategy.”²⁴³ The city has been able to accomplish maintenance and rehabilitation activities through federal and state funding programs. Specific programs within the greater Housing and

²⁴³ *City of Lancaster, Pennsylvania.*

Neighborhood Revitalization Unit include the Critical Repair Program, the Homeowner Rehabilitation Program, the Renovate and Repair Program and the Lead Base Paint Reduction Program.

Specific incentives are also offered to homeowners through the Housing and Neighborhood Revitalization Unit which provides a zero percent loan from the city to rehabilitate owner-occupied properties. This incentive is funded through the federal HUD program. The loans can be received by any owners who occupy a home, and meet current family income guidelines and the criteria established by the Homeowner Rehabilitation Program. The work done is meant to bring the property up to the standards of the current city Housing Code. The work provided through this unit and its programs and incentives are not preservation-specific, but have acted on a neighborhood-specific level, which partially supports Goal 2. Further incentives are offered through a facade easement program run through the Historic Preservation Trust of Lancaster County.²⁴⁴ Finally, like many other cities across the nation, Lancaster has made significant use of federal tax credits for historic rehabilitation. One interview subject, though, stated that incentives have not necessarily improved over time.²⁴⁵

According to interview work, neighborhood associations have also begun to play a very important role in preservation work in recent years. This theme was also seen in the Providence and Staunton case studies, and continues here. Neighborhood meetings were an extremely important part of the process of creating both *Preserving Community Character* and the *New Comprehensive Plan*, and citizen influence has continued through the present. Timothy

²⁴⁴ *Historic Preservation Trust of Lancaster County*; available from <http://hptrust.org/>; Internet; accessed February 2009.

²⁴⁵ Smedick Interview.

Smedick specifically stated that it is “really neighborhood groups that make the biggest difference.”²⁴⁶ Such groups do not have regulatory authority in the city, but have had a significant influence. Specific neighborhood groups in Lancaster include the James Street Improvement District, East Grant Street neighborhood group and the Elm Street neighborhood group. Smedick stated that while these groups often have an uncoordinated group of initiatives, they have been successful, and he hopes that they will eventually be able to adopt their own design standards.²⁴⁷ One of the most successful has been the James Street Improvement District, which effectively encourages adaptive reuse by private developers and has learned how to be advocates to developers. They are currently expanding their geographic area of influence, and Smedick stated that it “will be a major plus for the city if they expand their program as well.”²⁴⁸

With their independent and uncoordinated efforts, though, Smedick also warned that such groups can just as easily have a negative effect on preservation. While some neighborhood groups have been very responsible and promote preservation, others will “get around preservation statutes” and “bend the rules” like any other citizen. Formally incorporating neighborhood groups within the city has not happened to this point, but with the success and influence of neighborhood groups in each of the case studies analyzed, it appears that this would be a worthwhile process for other cities to evaluate in the future.

²⁴⁶ Smedick Interview.

²⁴⁷ Smedick Interview.

²⁴⁸ Smedick Interview.

Goal 3 Historic Preservation as a Tool: *The role of historic preservation in Lancaster has been limited in recent years and, for many, the term has come to mean design control and costly restoration of landmark buildings. Yet there are many successful examples of the adaptive re-use of old and historic buildings and the strengthening of neighborhoods by focusing on their physical character. They indicate that a broader and more flexible interpretation of historic preservation can be used as an important tool for meeting primary community goals involving economic development, housing, and the preservation of our community’s character.*

Recommendations	Details
1. <i>Building Survey</i>	1. Existing Historic Sites Survey maintained by Historic Preservation Trust should be updated and expanded. Existing survey documents only fraction of total building stock within city.
2. <i>Preservation Education Project (PEP II)</i>	1. Historic Preservation Trust completed its first Preservation Education Project (PEP) in 1981. PEP II would be program to inform property owners, developers, investors, etc. about the Secretary of the Interior’s Standards, use of federal tax incentives, and their responsibilities for, and strategies responding to, compliance with state and federal review requirements (106, etc). Material would be applicable to both publicly assisted and private providers of both owner occupied and rental properties and a variety of economic development programs and activities.
3. <i>Tourism Development Utilizing Community Character</i>	1. Historic Preservation Trust should sponsor a workshop in cooperation with the Lancaster Chamber of Commerce, the D.I.D. Authority, the Pennsylvania Dutch Visitors Bureau and other interested parties, to discuss strategies for utilizing community character to promote tourism in the City of Lancaster. Specifically, materials from the Heritage Development and Heritage Tourism initiatives of the National Trust for Historic Preservation should be examined and discussed for their applicability to local needs.
4. <i>National Register District for Downtown</i>	1. National Register district proposed for downtown several years ago should be reconsidered.

Preserving Community Character’s Goal 3 specifically addresses historic preservation, whereas its other goals reflect the plan’s broader “community character” outlook. While both *Preserving Community Character* and *A New Comprehensive Plan* utilize the phrase “community character” as a way to reach out to a broader community of people, historic preservation is a strong part of this overall goal. Goal 3 addresses how historic preservation can be used in such areas as economic development and preservation of character. Within this goal, building survey, tourism development and National Register District designation have been successful, although again, in slightly different forms than the plan originally suggested.

Following up the 1992 *Preserving Community Character* and the 1993 *New Comprehensive Plan* was a 1995 document entitled *The Historic City of Lancaster: A Report on its Historic Resources*, published by the city's Department of Housing and Community Development. This document fulfilled the first recommendation of Goal 3, which calls for a full survey of the city. The purpose of that report was "to identify and map all historically significant areas within the City of Lancaster and to determine the boundaries of a district that would be potentially eligible for the National Register of Historic Places. This has been done to assist city government, community organizations, and others in complying with federal and state historic preservation requirements."²⁴⁹ The report approached the study from the community character perspective already established in the comprehensive plan. Additionally, the report was meant to act as "part of a larger project to organize and make more readily available to the general public more than twenty-five years of historical and architectural research."²⁵⁰ This *Report on Historic Resources* led into a process designating Lancaster's downtown as a National Register Historic District. As a result, the Lancaster City Historic District was designated in 2001. It covers most of the city's limits, and includes almost 14,000 historic resources, one of the largest districts in the United States. Listing on the National Register has allowed for the utilization of financial incentives for rehabilitation within the city.

While the specific steps in the "Tourism Development" recommendation have not been followed, the city has been making an effort in promoting heritage tourism.²⁵¹ Paula Jackson from the city planning department states that much of this heritage tourism draws

²⁴⁹ *The Historic City of Lancaster: A Report on its Historic Resources*, 1.

²⁵⁰ *The Historic City of Lancaster: A Report on its Historic Resources*, 1.

²⁵¹ Jackson and Stallings Interview.

from the county, but the city has begun to make an effort to draw visitors downtown. The city has been trying new and creative approaches to drawing new residents and visitors, such as recently entering the city into a contest to be featured in *This Old House* magazine.²⁵² Today, it is felt that many people have moved to Lancaster specifically because they learned of its architecture and were attracted to its buildings and streetscapes.²⁵³ Smedick stated that the city is now specifically embracing historic preservation as a marketing tool and for tourism.²⁵⁴ In fact, with the success of tourism, Smedick has found there is a new aspect to historic preservation in the city, as people have discovered its economic benefits.²⁵⁵

²⁵² Jackson and Stallings Interview; Suzanne Stallings, *The Best Places to Buy an Old House: Nomination*.

²⁵³ Jackson and Stallings Interview.

²⁵⁴ Smedick Interview.

²⁵⁵ Smedick Interview.

Goal 4 Minority Involvement: *Ethnic, cultural, social, and religious diversity has historically been, and should remain, a primary character-defining element of our community. However, the role of present day minority communities within this tradition is not well understood by the community as a whole. Documenting and promoting the historic contributions of longstanding minority communities, such as African-Americans, and emerging role of newer minority communities, notably people of Latino and Asian origin, will promote community pride within those minorities and will foster greater understanding among all people in the city. A program to document the history of Lancaster’s primary minority populations, African-Americans and Latinos, should be actively pursued. Further, the historic and potential contributions of these communities to the physical character of the city should be examined.*

Recommendations	Details
<p>1. <i>Respect for Cultural Diversity Through Community Character Related Programs</i></p>	<p>1. Specific mechanisms must be developed to incorporate cultural diversity within existing community character-related programs.</p> <ul style="list-style-type: none"> a. Design review guidelines: for historic districts and the ECPRC should respect cultural diversity, provide improved access for minority communities, and provide additional flexibility to accommodate financial hardship. Design review requirements modified to accommodate creative methods to reduce the rehabilitation and maintenance costs of old and historic buildings based on the proposed Rehabilitation/Maintenance Handbook. b. Technical assistance programs: should be developed to aid applicants from minority communities in working with the HARB, ECPRC, and all other city permitting and review processes involving building construction or remodeling. Should include development of multi-lingual brochures and design guideline publications; the identification of staff or volunteer liaison persons between the boards and minority applicants; and the development of methods to assist non-English speaking individuals in their presentations. c. Minority Representation: the ECRPC has taken steps to include minority representation in its membership; these efforts should be continued. Minority representation on the HARB should be developed.

Preserving Community Character has been noted for its awareness of the cultural diversity of the City of Lancaster, and its unique focus on the community’s diversity in its history, goals and recommendations. Goal 4 “Minority Involvement” explicitly states that diversity “should remain a primary character-defining element” of Lancaster. The authors noted that the role of minorities in Lancaster was not “well understood by the community as a whole.” In order to work towards greater integration of Lancaster’s diverse population into community character and preservation efforts, the authors recommend incorporating cultural diversity into such elements as design review guidelines, technical assistance

programs and minority representation in HARB. To some extent the city has worked toward this overall goal, but interviews with preservationists and planners in Lancaster revealed that it is still an issue that the city struggles with. The concern of this case study analysis and this thesis as a whole is not necessarily the incorporation of minority groups specifically into preservation, but rather the general struggle to cooperate and communicate with a variety of groups with divergent interests.

Currently, representatives of this minority population have not been incorporated into Lancaster's HARB or the Historical Commission.²⁵⁶ Lancaster's planners and preservation advocates feel that in general, the local Puerto Rican population is not interested in preservation; while these residents have pride in their family, their religion and their culture, the same connection does not exist to the city's buildings.²⁵⁷ Smedick also stated that while preservationists must improve education and outreach, minority groups in Lancaster must also come to recognize the need for preservation.²⁵⁸ He specifically stated that while there is a certain lack of education, he feels that puts the burden on preservation, which is somewhat unfair.²⁵⁹

Specific outreach efforts to the local minority population have been relatively few, including a Latino preservation workshop about 10 years ago, which Jackson stated the city would like to do again. As discussed in Goal 1, a program was devoted to speaking about technical assistance in historic preservation on a local Spanish language radio station.²⁶⁰

²⁵⁶ Jackson and Stallings Interview.

²⁵⁷ Jackson and Stallings Interview.

²⁵⁸ Smedick Interview.

²⁵⁹ Smedick Interview.

²⁶⁰ Jackson and Stallings Interview.

Multi-lingual brochures have also been published, and *Preserving Community Character* itself was originally also published in Spanish and English.

Based on discussions with preservation professionals in Lancaster, then, it appears that lack of success in this goal has come through a failure to build an ethic of preservation among minority residents. While education and community outreach are expensive and time-consuming activities, they contribute to the creation of a long-lasting ethic among residents which benefits preservation in the long-term. In Lancaster, with its high proportion of minority residents, failure to build this ethic has resulted in typical preservation disputes where homeowners bend the rules of the local historic districts.²⁶¹ While the city has taken fragmented steps to address this goal, the attention it received from *Preserving Community Character's* authors has not been reflected in preservation implementation.

²⁶¹ Smedick Interview.

Goal 5 Community Design Consensus: *If we are to preserve this community’s special character, the people of Lancaster must begin to develop a consensus as to what we want the city to look like in the future, how we want to see our traditional buildings maintained, and what we collectively want to see in terms of new construction. This need not be a mandated set of standards; rather it should serve as a benchmark to promote a common acceptance of what Lancasterians like about their community and how this should be reflected in design. For those areas of the city where design control is present, such a process will help to address more adequately the specific needs of individual neighborhoods and accommodate cultural diversity.*

Recommendations	Details
1. <i>Community Design Consensus Process</i>	1. Written downtown design consensus should be developed to help shape growth and development within the city. The consensus should be a broad statement of general design principles that reflects the diversity of both the central business district and the neighborhoods and that addresses new construction, infill construction, and the rehabilitation of existing structures. The consensus should serve as basis for the development of more detailed guidelines. Consensus should be developed through a process that involves all aspects of the community.
2. <i>Rehabilitation/Maintenance Handbook (Minimum Maintenance Guidelines)</i>	1. A brief, concise (i.e. 2-3 pages) set of simple building and maintenance guidelines, based upon the Maintenance/Rehabilitation Handbook designed to promote the preservation of community character should be developed. The guidelines should be widely distributed and easily understood document and should become a guideline promoted by the City and other groups.
3. <i>Detailed Neighborhood Conservation Guidelines</i>	1. Using the Maintenance/Rehabilitation and the Community Design Consensus Process as a background, these guidelines would explore design issues and recommendations for the city as a whole as well as for characteristic areas of the city (central business district, like neighborhoods, etc.). The guidelines would illustrate principals for maintenance, restoration, additions, and new construction using specific examples. The guidelines would also deal with streetscapes, alleyways, and other public spaces. Separate chapters, or specific publications, would review issues related to different areas of the city. The guidelines would provide information to property owners, but would also establish a basis for long-term City policy and infrastructure improvements.

Goal 5 of *Preserving Community Character*, “Community Design Consensus,” addresses how Lancaster’s residents “want the city to look like in the future, how we want to see our traditional buildings maintained, and what we collectively want to see in terms of new construction.” Implementation of this goal has been particularly successful in Lancaster.

One aspect of the recommendations, design principles, is one which may have seen limited success, depending on perspective. Interview subject Timothy Smedick expressed his

opinion that the design standards are sub par and incomplete, and furthermore, inconsistently enforced.²⁶² Additionally, while the city does have design guidelines, the historic commission is constrained by the fact that it cannot enforce the guidelines, only recommend action to the city council. Smedick stated that an applicant with enough influence can ensure that the historical commission can be overruled.²⁶³ In order to improve design guidelines and the design process, Smedick believes that better enforcement needs to be included.²⁶⁴ More broadly, though, more has to be done to reach out to the public and build acceptance of the design guidelines and rules.²⁶⁵

As discussed previously, maintenance and rehabilitation guidelines have been published and made available to the public. In addition to broader guidelines, the planning department has published smaller brochures on specific topics like window and porch maintenance and repair.²⁶⁶ Today, those guidelines are available to the public on the city's internet website.

By far the most important success of this goal is work that has accomplished the third recommendation, to create neighborhood conservation guidelines which would address restoration and new construction, buildings and public space, and “would provide information to property owners, but would also establish a basis for long-term City policy and infrastructure improvements.” Such an intensive effort was undertaken in 1997, which would eventually culminate in the creation of Lancaster's unique Historic Conservation District. In 1997 the planning department started another series of neighborhood meetings

²⁶² Smedick Interview.

²⁶³ Smedick Interview.

²⁶⁴ Smedick Interview.

²⁶⁵ Smedick Interview.

²⁶⁶ Jackson and Stallings Interview.

where staff members literally went door to door to get people involved. At each meeting, participants filled out a questionnaire, and results were compiled from this process. The questionnaire asked citizens how they would feel about public review of demolition and new construction outside of the original 1967 local historic district. Additionally, citizens were asked to identify what they thought Lancaster’s most important historic buildings were – the result was that they found the majority of those buildings were not under any protection. Lastly, citizens were questioned as to whether they wanted the zoning board or the city council to decide on the review process; most people decided they would prefer elected officials, and the result was that the city “went the city council route with enabling legislation.”²⁶⁷ The process continued into the term of a new city administration in 1998. That year focused on narrowing down what would actually go into the final ordinance. For example, while preservationists and planners originally wanted major alterations reviewed, it was felt the entire ordinance would not be passed with this provision, and so it was not included.²⁶⁸ This result shows the spirit of compromise that is sometimes necessary in order to accomplish broad preservation goals. Even with such changes, the final vote was very close. The final result of this process, though, was that the city of Lancaster now has a conservation district, which Jackson stated has more organization and “teeth.”²⁶⁹ The review process for the Conservation District includes review for new construction and demolition visible from a public street. Peter Benton called this district the most successful implementation of *Preserving Community Character*.²⁷⁰

²⁶⁷ Jackson and Stallings Interview.

²⁶⁸ Jackson and Stallings Interview.

²⁶⁹ Jackson and Stallings Interview.

²⁷⁰ Benton Interview.

Goal 6 Comprehensive Plan: *The preservation of Community Character should be an integral component of Lancaster City’s new Comprehensive Plan. A comprehensive plan serves as a blueprint for managing growth, development and change within a community. The plan serves as the basis for creating and revising planning and zoning processes. The City of Lancaster is in the process of developing a new comprehensive plan. It is essential that a detailed assessment of community character be a component of this plan and that community character be a consistent theme throughout the document. If we do not clearly spell out what it is we as a community want to preserve, strengthen, or change about our community’s character in coming years through this document, we will have missed an important opportunity.*

Recommendations	Details
1. <i>Community Character Vision</i>	1. As part of the comprehensive planning process, the city should work to develop an overall vision as to what the community character of Lancaster should be in the future. This statement should serve as a basis for the comprehensive plan itself.
2. <i>Community Character Coordination with Other Studies</i>	1. The City should ensure that the preservation and enhancement of Community character becomes an integral component of all current and proposed planning efforts.
3. <i>Develop Historic Preservation Expertise Within City Planning Staff</i>	1. City should seek to ensure that at least one member of the planning staff have professional training in historic preservation. This could be accommodated as new staff is added or replaced within the staff or by providing an existing staff member with external training opportunities (such as the certificate program in historic preservation offered by Harrisburg Area Community College). In addition, a training seminar should be developed with the cooperation of the Historic Preservation Trust to provide an introduction to historic preservation to the city planning staff and appropriate review board members.
4. <i>Coordination of Community Character Preservation and City Codes and Planning and Zoning Documents</i>	1. Revisions and additions should be made to existing city codes and planning and zoning mechanisms to promote the preservation of community character through the rehabilitation of existing buildings.

The preservation plan’s final goal is to incorporate the preservation of “community character” as an important component of Lancaster’s *New Comprehensive Plan*. Aside from that overarching goal, recommendations also called for creating a “community character” statement, coordinating community character with other planning efforts, developing preservation expertise on the planning staff, and coordinating preservation with city planning, zoning and codes. This goal has seen tangible success with “community character” inclusion in the comprehensive plan, a preservation planner included on the planning staff, and other activities discussed below. At the same time, the overall success of incorporating

preservation into overall planning and city goals is difficult to quantify, and the interview process revealed that opinion varies as to the success of that undertaking.

As discussed earlier, while the *Preserving Community Character* plan was not adopted by the city, a chapter of the *New Comprehensive Plan* of 1993 was devoted to “community character” and adopted its ideas directly from the preservation plan. While ideals related to community character are found throughout the comprehensive plan, one chapter entitled “Community Character” is specifically devoted to the concept. Two policy goals were included under this concept:

1. To protect and enhance Lancaster City’s physical attractiveness and historic quality while allowing for reasonable growth and development;²⁷¹ and
2. To strengthen neighborhoods and to make all neighborhoods desirable, safe places to live.²⁷²

Specific policy objectives under each of these goals included planning guidelines for new development, adaptive reuse, formal designation of historic areas, compatibility of new construction with neighborhood surroundings, and design review for structures outside of the existing historic districts at the time.²⁷³

While a new comprehensive plan has not yet been published by the city, preservation has been incorporated into new planning efforts in Lancaster County, such as *Growing Together: A Comprehensive Plan for Central Lancaster County*, which the city adopted in 2008. Additionally, the city’s planning department has intensively worked towards implementing

²⁷¹ *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 12.

²⁷² *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 15.

²⁷³ *A New Comprehensive Plan for the City of Lancaster: Policy Plan*, 12-14.

the goals and objectives stated in the *New Comprehensive Plan* and has succeeded on many fronts including those discussed previously such as the Heritage Conservation District. In addition, since the publication of *Preserving Community Character*, a staff member specializing in preservation has been added to the planning staff under the title of preservation planner.²⁷⁴

The final objective under this goal called for coordination of preservation with city codes, planning and zoning documents. The city has taken formal steps to accomplish this objective, but has seen mixed results in its application. First, the *Comprehensive Plan* was published with preservation objectives included. The first ordinance passed after legislation for the comprehensive plan was for zoning. An intensive rezoning effort was undertaken in 1997 which would eventually culminate in the creation of Lancaster's unique Historic Conservation District.²⁷⁵

One common element of difficulty in cities attempting to promote and then enforce preservation is that of incorporating it into building codes, and even more difficult, convincing building code officials to include preservation concerns as a normal component of their reviews. Lancaster has experienced similar difficulties in this regard, showing that even with implementation of proper zoning and planning measures, preservation objectives may not always be adhered to by citizens or other city officials. For example, Jackson stated that while other city departments know what they must comply with, they know exactly their piece but nothing else. Smedick described the problem as a "historic building is guilty until

²⁷⁴ Jackson and Stallings Interview.

²⁷⁵ Jackson and Stallings Interview.

proven innocent,” with some departments considering preservation priorities and others needing to be constantly convinced.²⁷⁶

²⁷⁶ Smedick Interview.

5.7 Case Study Conclusion

The preceding review of recommendation implementation from Lancaster's *Preserving Community Character* showed that the plan was successful as a policy or vision document. Not meant to act as an action plan or blueprint for planning activities, and not officially adopted by the city, the relative success of *Preserving Community Character* can be attributed to the process behind creation of the plan, initial political support, and subsequent effort by a small group of individuals who have been committed to preservation. In this case study, not every objective was fulfilled, nor was every successful objective fulfilled in the exact manner the plan described. Overall, though, the majority of its goals have either been reached or are in a continuous process of implementation. The city has seen "failure" or challenges to preservation mostly in interdepartmental support for preservation, and participation from all Lancaster's citizens. Additionally, like any other city, Lancaster has also experienced challenges in budget, time and staff support.

Starting at the creation of the plan, the most common theme revealed was an intensive process of community involvement and citizen participation. This participation in the planning process was common to both *Preserving Community Character* (1992) and a *New Comprehensive Plan* (1993). The ideas expressed about Lancaster's community character and historic preservation in the plans were the direct result of citizen task forces and neighborhood meetings which took place throughout the early 1990s.²⁷⁷ Citizens' vision of their community, such as their appreciation of its streetscape and walkability, and their opinion on how preservation review should occur, would directly influence plan content and future city policy.

²⁷⁷ Jackson and Stallings Interview.

This initial citizen participation in plan creation and support for its initiatives seem to have helped contribute to several early successes, including “community character” inclusion in the comprehensive plan, zoning updates and the eventual creation of the Heritage Conservation District. At that time, preservation had “council buy-in,” according to Jackson of the planning department, and citizens had an ethic for preservation.²⁷⁸ Early successes led to the city putting preservation processes in place, giving preservation at least a chance of working.²⁷⁹ Since that time, the challenge in Lancaster seems to have been maintaining this ethic and the associated level of support. The city has witnessed many accomplishments and has undertaken many activities, but they do not all occur on a continuous basis, such as its education outreach, and what has been accomplished has often been the result of strong individual initiative, such as that displayed by Paula Jackson in the planning department,²⁸⁰ or by responsible individual building owners.²⁸¹

“Buy-in” from both citizens, city council and other government departments is a theme seen in each preservation plan case study. In Lancaster, such buy-in has been uneven over the years. In the years surrounding initial plan creation and publication, there was buy-in from all parties and political will for preservation activity. Jackson stated in interview that planners had council buy-in, and that a preservation ethic existed among citizens. The most significant challenge in convincing citizens of preservation at the time was dispelling typical preservation myths. Citizens cared about their historic buildings, but had to be educated in preservation. Jackson stated that this cultural interest and support of historic buildings by citizens has been helpful to city staff over the years. When asked how the city accomplished

²⁷⁸ Jackson and Stallings Interview.

²⁷⁹ Smedick Interview.

²⁸⁰ Carole Wilson, interview by author, March 20, 2009.

²⁸¹ Smedick Interview.

the *Preserving Community Character* plan and subsequent inclusion in the *Comprehensive Plan*, Jackson stressed that it was the citizens - “consultants helped with the plan’s chapters, but they did not do it.”

Today, though, it seems that this political buy-in and citizen acceptance of preservation is not something that preservation professionals in Lancaster can count on. Smedick called citizen support “inconsistent” and states that while citizens feel they are more empowered to complain about specific projects, and are not afraid to speak out, preservation is not always the public’s primary concern, and projects have at times been changed significantly as a result.²⁸² Such citizen influence is clearly positive for preservation only if preservation is the side citizens are fighting from. Moreover, within the confines of the city’s district guidelines and regulations, “weak enforcement” and “weak knowledge” sometimes work against preservation.²⁸³ While Jackson attributed the plan’s initial success to an “ethic,” today Smedick states that he thinks a “conservative nature prevents [citizens] from conforming to rules – an ethic problem if you will.”²⁸⁴

Despite differing opinions on overall community ethic, one point upon which all interview subjects agreed was that minority involvement in the preservation planning process has not been particularly successful. As discussed in the preceding recommendation review, there is not an interest in preservation from the local Puerto Rican community, and a preservation ethic is not a priority in this community. Unfortunately, while greater “minority involvement” was one of *Preserving Community Character*’s most unique contributions to preservation planning, it has not been successful in the long-run, with only sporadic outreach

²⁸² Smedick Interview.

²⁸³ Smedick Interview.

²⁸⁴ Smedick Interview.

to the community such as the Spanish language brochures and programs discussed in Goal 4. In order to build an ethic in this community, a stronger advocacy and educational effort would have to be directed at the community.

In addition to citizen support of preservation, political buy-in seems to be a transitory process in Lancaster, which does not continuously support preservation. This is not unique to this city, and here, has actually shown that individual initiative can at times override such issues. Both Wilson of the county planning department and Smedick of the Historic Preservation Trust questioned the political will of the city. As discussed previously, Smedick stated that preservation is a priority in the city depending only on who you talk to, with many city departments that do not incorporate preservation or historic property considerations into their actions.²⁸⁵ Smedick stated that he would not say the city has been a leader in preservation at all, with an economic development policy that does not promote preservation.²⁸⁶ Wilson attributed much of the success of *Preserving Community Character* and the community character component of the *New Comprehensive Plan* not to political will, which she stated has not been in the city consistently, but to the work of Paula Jackson, the city's chief planner, who has tried to accomplish plan recommendations over the years, sometimes with success and sometimes not.²⁸⁷ She stated that Jackson has kept the plan alive depending on the current political situation.²⁸⁸ In addition to professional planners like Jackson, preservation success in the city has also been attributed to strong-willed advocacy groups, individuals, and at times, neighborhood groups. Smedick stated that “a lot of

²⁸⁵ Smedick Interview.

²⁸⁶ Smedick Interview.

²⁸⁷ Wilson Interview.

²⁸⁸ Wilson Interview.

preservation happening here is private initiative, it's not planned at all."²⁸⁹ Furthermore, much preservation work is occurring more in the private sector, where "people want to do the right thing."²⁹⁰ Smedick stated that preservation professionals in the city, including advocacy groups like the Trust, are not living up to their promise, and that success is often due to private and individual initiatives.²⁹¹ He stated that there is "no cohesive force for preservation yet."²⁹²

In addition to individuals, neighborhood groups have also begun to make an impact in Lancaster. While their efforts can sometimes work against preservation, some like the James Street Improvement District, have been credited with encouraging positive adaptive reuse and design. In learning how to advocate preservation to developers, these groups could be a "major plus for the city" if they become more coordinated and expand their area of influence.²⁹³ The issue of coordination, not only among these groups, but among city departments and preservation professionals and advocates is an area for improvement in Lancaster.

Finally, each interview subject was asked to rate the plan's success or failure, and to discuss its achievements and failures, as well as preservation priorities in the past and today. Benton, the plan's writer, was not involved in its implementation, but specifically acknowledged the plan's contribution to the creation of such initiatives as the Heritage Conservation District. Jackson, who has been working in the city's planning department since before the time of plan publication, and has actively advocated for "community

²⁸⁹ Smedick Interview.

²⁹⁰ Smedick Interview.

²⁹¹ Smedick Interview.

²⁹² Smedick Interview.

²⁹³ Smedick Interview.

character” implementation, stated that she did *not* feel *Preserving Community Character* or the *New Comprehensive Plan* was a plan on the shelf. More importantly, though, she emphasized that she is “not a real fan of planning,” preferring instead “to get stuff done”. Jackson felt that the plan set directions, but that actions were set later. Wilson, from the county planning office, felt that the 1992 *Preserving Community Character* did go on the shelf due to lack of political will, but acknowledged that Jackson has sometimes been successful in implementation due to her own initiative. Smedick was wary of attributing specific achievements to the plan as he was not working in Lancaster at the time of its publication, but upon studying the plan he found it interesting that many preservation activities today do conform to its recommendations. Overall Smedick would rate the plan as a “mixed bag” that has directly effected preservation in some circumstances.

Specific achievements that interview subjects all credited to the plan mostly focused on designation of historic districts (such as the National Register), changes in zoning to accommodate preservation, and the creation of the Heritage Conservation District. Furthermore, Smedick noted the revitalized downtown and the embracing of historic preservation as a marketing tool where the city had not seen that before. Jackson and Stallings also noted the improvements in the city’s tourism.

Interview subjects noted challenges in Lancaster as being consistent political will and citizen support, as discussed, as well as weak education and a lack of incentives.²⁹⁴ With initial goals accomplished such as zoning and districting, it does not appear that the main priorities of preservation in Lancaster have changed over the years. The most significant

²⁹⁴ Smedick Interview.

difference is a more concentrated focus on marketing the town and economic development. Otherwise, continuous issues of education, advocacy and coordination of competing interests remain the main challenges.

This Lancaster case study has revealed many of the same themes seen in Providence. These themes specifically include political will, government and citizen buy-in, preservation ethic, education and coordination. The city's most significant preservation successes took place in the years immediately surrounding the planning process. While *Preserving Community Character* was not adopted, its process of citizen involvement and the values it revealed had a significant influence on the adopted *Comprehensive Plan* and future preservation work in the city. Lancaster has been particularly successful in implementing new zoning and districts which lay the groundwork for preservation success. In reality, these regulatory tools are not always successful, due to a lack of political will and a sometimes disinterested public. Lack of budget and resources for strong educational outreach also hinder efforts. Local preservation professionals noted that citizen involvement and *action* based on plan policy contributed to success.²⁹⁵ In addition, it was noted that the best plan can be written, but it will be unsuccessful if there is not the political will to implement it.²⁹⁶ While this is not a complex observation, it was noted again and again that the city and its citizens have to “*want* to do preservation.”²⁹⁷ A plan otherwise will not be a success no matter how well-written. One planner stated that if preservation “is not embraced, accepted and enforced,” then plans do not matter.²⁹⁸ Furthermore, the best way to accomplish preservation is through “advocacy,

²⁹⁵ Jackson and Stallings Interview.

²⁹⁶ Wilson Interview.

²⁹⁷ Wilson Interview.

²⁹⁸ Smedick Interview.

demonstration and education,” and “by example.”²⁹⁹ Even with a well-written plan, “it takes a bold advocacy” to make preservation happen.³⁰⁰

²⁹⁹ Smedick Interview.

³⁰⁰ Smedick Interview.

CHAPTER 6: PRESERVATION PLAN IMPLEMENTATION IN STAUNTON, VIRGINIA

6.1 Introduction

Preservation in Staunton: A Comprehensive Preservation Plan for Staunton, Virginia was published in 1987 as part of the Historic Staunton Foundation's (HSF) ongoing efforts to protect its city's historic resources. Formed in 1971, HSF had been undertaking strong preservation advocacy efforts for almost two decades when this document was published. The plan was published in order to further that work in an organized fashion, and to help guide preservation activities in the subsequent years with more integrated support from the city government and the public. Located within Augusta County, Virginia, Staunton is a small city of approximately 23,853 residents³⁰¹ within 19.7 square miles. Since the early 1990s, the town has experienced an impressive downtown renewal which has been attributed to its marriage of historic preservation with economic revitalization.

6.2 Introduction to the History of Staunton, Virginia

Within *Preservation in Staunton*, the city's physical history is presented in thematic sections, including themes such as residential domestic, military and transportation. This approach was undertaken as HSF considered it necessary to thoroughly survey Staunton's historic resources before planning was undertaken. The plan states that "To plan for the protection and reuse of Staunton's historic resources, it is necessary to survey those resources, evaluate their condition, and assess their importance to the community."³⁰² That survey work was used as a basis for the preservation plan. A brief summary of that survey

³⁰¹ "Census 2000," *Census Bureau Homepage*; available from census.gov; Internet; accessed March 2009.

³⁰² Historic Staunton Foundation and Land and Community Associates, *Preservation in Staunton* (Staunton, VA: Historic Staunton Foundation and the City of Staunton, 1987), 17.

history is provided here, in combination with information gleaned from other Staunton history resources.

First settled in the 17th century, Staunton's history as a true city began with laying out its plot in 1747, and founding as a town in 1761.³⁰³ Its growth in these early days was relatively slow, with the Blue Ridge mountain chain obstructing access to the Shenandoah Valley.³⁰⁴ The town experienced its first major growth following the American Revolution.³⁰⁵ In Staunton, the years following the Revolution were “a time of physical expansion, improved services, and commercial diversification.”³⁰⁶ Roads were improved, businesses established and trade began to increase dramatically.³⁰⁷ It is said that Staunton's “first signs of sophistication began to appear in the town's buildings,” when brick became its more common building material after 1800, replacing the former use of native stone.³⁰⁸

Like many other towns in the United States, including the previously discussed Providence and Lancaster, Staunton's evolution was greatly affected by nationwide improvements in transportation. *Preservation in Staunton* states that “Staunton's history cannot be completely understood without a clear concept of its role as a transportation center. From before the founding of the community, this area has been a transportation center.”³⁰⁹ By the early 19th century, toll roads and turnpikes had made Staunton a commercial center,³¹⁰ but most traffic continued to flow north-south, as the Blue Ridge Mountains cut the valley off

³⁰³ Staunton's Downtown Residential Historic Districts, Virginia Main Street Communities; available from <http://www.nps.gov/history/nr/travel/VAmainstreet/sta.HTM>; Internet; accessed March 2009.

³⁰⁴ Edmund D. Potter, *A Guide to Historic Staunton, Virginia* (Charleston, SC: The History Press, 2008), 18.

³⁰⁵ Potter, 19.

³⁰⁶ Elizabeth Bray McCue, David J. Brown, Charles Rickenbrode Chittum, William C. Pollard, *Staunton, Virginia: A Pictorial History* (Staunton, Virginia: Historic Staunton Foundation, 1985), 18.

³⁰⁷ McCue, 18.

³⁰⁸ McCue, 19.

³⁰⁹ *Preservation in Staunton*. A-57.

³¹⁰ Potter, 54.

from surrounding areas. It is said that “This all changed with the arrival of the Virginia Central Railroad from Richmond to Staunton in 1854. The railway transformed the economy of the community,”³¹¹ as goods could now be shipped to eastern markets.³¹²

Although Staunton acted as a “mobilization point” during the Civil War, by the end of the war it had “suffered little physical damage” in comparison to other Virginia cities.³¹³ As a result, “The reconstruction period that followed was not as bitterly humiliating for this area as it was for other parts of the south.”³¹⁴ From the 1870s through the beginning of the 20th century, Staunton experienced “unparalleled growth and prosperity.”³¹⁵ Improved rail service in this era made the town one of Virginia’s “leading mercantile cities.”³¹⁶ Although the area’s central location attracted banking institutions, loan associations, insurance companies, etc., in general it was not attractive to industry.³¹⁷ The growth experienced in those years, though, gave “the town an unmistakable Victorian character.”³¹⁸ In fact, most of Staunton’s surviving downtown core dates to the period between 1870 and 1910.³¹⁹ Staunton would remain a small town for the next half century, experiencing little significant growth or change.

Like many cities and towns across the nation, the period following World War II was one of significant change for Staunton. Unlike Providence and Lancaster, which had previously been industrial centers, Staunton was actually trying to grow out of its

³¹¹ Potter, 54.

³¹² *Preservation in Staunton*, A-57.

³¹³ McCue, 35.

³¹⁴ McCue, 35.

³¹⁵ McCue, 44.

³¹⁶ McCue, 44.

³¹⁷ McCue, 44.

³¹⁸ McCue, 57.

³¹⁹ Potter, 87.

traditionally agricultural character at this time, and begin to attract real industry for the first time.³²⁰ At the time same time, and like other towns large and small, suburbanization would shift shopping and commercial businesses away from the central business district while an increasing population strained existing facilities and the built environment.³²¹ During this period, “growth took its toll....as Staunton began to lose its unique architectural heritage.”³²² “Several manufacturing concerns located in the Staunton area during the 1950s as part of the nationwide trend toward industrialization.”³²³ In efforts to compete with suburbanization, Staunton undertook urban renewal projects which resulted in frequent building demolition in the 1950s and 1960s, and replacement with new construction.³²⁴ This great period of change in Staunton was also one during which the city became more actively involved in directly planning for Staunton’s growth and future. Eventually, preservation advocacy efforts would develop in response to both the city’s changes and its original revitalization plans.

6.3 Planning History in Staunton, Virginia: An Overview

Comprehensive planning for Staunton’s future growth was first undertaken in 1959 under the City Planning Commission.³²⁵ This plan mainly addressed the trends of suburbanization and downtown decline as described above. While most of this comprehensive plan was not implemented, the city began an urban renewal project through federal government funding that cleared blighted blocks in the downtown, a decision that caused controversy among citizens.³²⁶ In 1972, 1977 and 1987 updates were made to the

³²⁰ McCue, 80.

³²¹ McCue, 80.

³²² McCue, 80.

³²³ McCue, 80.

³²⁴ McCue, 81.

³²⁵ *A Comprehensive Plan: City of Staunton, Virginia 1996-2016* (Staunton, VA: 1996), 4.

³²⁶ McCue, 81.

comprehensive plan.³²⁷ The 1987 update introduced a Citizens Advisory Board Committee process, as the city hoped to gain more insight into the needs of its citizens, rather than planning with a top-down approach.³²⁸ In 1996 the city published an extensively updated version of the Comprehensive Plan.³²⁹ The most recent comprehensive planning process, from 2001-2003, has resulted in the 2003 Comprehensive Plan, which the city continues to implement today, primarily through the Department of Planning and Inspections, which includes a director of planning, a zoning code administrator and building inspectors.

6.4 Preservation Planning History in Staunton, Virginia: An Overview

Staunton’s historic preservation efforts initially grew out of the struggles the city’s downtown faced beginning in the 1950s and 1960s, and the subsequent urban renewal efforts that began to demolish much of the city’s historic building stock. “In 1970, a group of concerned citizens met to discuss Staunton’s past and how little of it might be left for the future. Despite the failure of urban renewal...there were those felt that Staunton could only attract needed development by tearing down more old structures to start fresh and build anew. Those at this meeting, however, believed that the city’s lack of economic growth in the late 1950s and 1960s might work to the community’s advantage.”³³⁰ A group of these citizens formed the Historic Staunton Foundation in 1971 and began to actively fight against city redevelopment plans, at a time that the city government was “tearing down buildings on weekends,” as Bill Frazier, a founding member of HSF, stated in an interview with the author.³³¹ At that time, HSF was made up of citizen activists³³² who took it upon themselves

³²⁷ *A Comprehensive Plan: City of Staunton, Virginia 1996-2016*, 4.

³²⁸ *A Comprehensive Plan: City of Staunton, Virginia 1996-2016*, 5.

³²⁹ *City of Staunton, Virginia*; Internet; available from Staunton.virginia.us; accessed February 2009.

³³⁰ Potter, 121.

³³¹ William Frazier, interview by author, March 31, 2009 .

to not only protest anti-preservation revitalization plans, but to actively engage the public in preservation and rehabilitation measures.

HSF's first major advocacy fight took place in 1972, when it began to protest city plans to demolish Staunton's warehouse district (locally nicknamed "The Wharf") to make room for a highway.³³³ HSF and citizens ended up winning the battle against the Virginia Department of Transportation, and the area underwent revitalization led by several local citizens who began to rehabilitate and work out of the old factory buildings.³³⁴ HSF began a façade improvement program in 1978 that provided advice to business owners who wanted to bring back the historic character of their building.³³⁵ Kathy Frazier, then a leader in HSF, accomplished about 60-70 façade improvements at that time.³³⁶ Another early project of HSF was to complete an inventory of Staunton's historic structures and to nominate several historic districts to the National Register. In the early 1980s, five such districts were listed, including the Wharf District, which only several years early had faced demolition.

Over the years, HSF gained more success in its preservation efforts, and eventually gained more support from Staunton's city council. When the city initiated an update of the comprehensive plan, HSF involved itself in the process:

"In 1986, the Board of Directors of HSF voted to prepare a comprehensive preservation plan for Staunton to help direct the work of the foundation for the next five years. This plan was designed so that portion could be integrated with the City of Staunton's update of its comprehensive plan, which was taking place at the same time. The proposal for a comprehensive preservation plan was supported by the City

³³² Frazier Interview.

³³³ Frazier Interview.

³³⁴ Potter, 122.

³³⁵ Potter, 124.

³³⁶ Frazier Interview.

of Staunton, through the City Manager, and by the Chairman of the Central Shenandoah Planning District Commission.”³³⁷

The result was *Preservation in Staunton: A Comprehensive Preservation Plan for Staunton, Virginia*, published in 1987. Subsequent preservation work in Staunton stemmed from the plan’s observations and recommendations, and continued to follow the course that HSF had been setting for years previously.

Today, preservation regulation within the city continues as a partnership between HSF and the city itself. Preservation is regulated locally through Staunton’s Historic Preservation Commission, and through five local historic districts, all of which were created in 1996. Repairs, modifications, additions, new construction and demolition are under review in these districts. Further discussion of these regulations is found in *Section 6.6 Recommendation Review*.

6.5 Introduction to *Preservation in Staunton: A Comprehensive Preservation Plan for Staunton, Virginia*

Preservation in Staunton: A Comprehensive Preservation Plan for Staunton, Virginia, was published in July 1987, written by Land and Community Associates of Charlottesville, Virginia, in cooperation with the Historic Staunton Foundation, led by David Brown as Executive Director at that time. The executive summary of the plans calls it a “policy document that surveys the types of historic resources present in the city, assesses current conditions and issues facing the preservation community, and then outlines a broad range of steps that should be taken to strengthen the city’s preservation effort.”³³⁸ The final plan was

³³⁷ *Preservation in Staunton*, 13

³³⁸ *Preservation in Staunton*, 3.

a result of survey, study of conditions and issues, and interviews with city officials, residents, business owners and preservationists, as well as a review of previous planning documents.³³⁹

By the time the plan was published, HSF had been working for many years in Staunton to bring preservation to the forefront of the city's planning, and the plan states that "Most preservation efforts have been originated or stimulated by Historic Staunton Foundation (HSF), an active local preservation organization. Preservation is generally acknowledged to benefit the city economically, educationally, and culturally."³⁴⁰ Leaders and residents had begun to see the positive effects of rehabilitation, but it had not been fully integrated into city policy, or been fully accepted by the average resident. The plan states that "Preservation will not be as effective as it could be until the City of Staunton plays a more active role."³⁴¹ The need for the plan is described as resulting from that situation; as stated in the plan:

"While the City has acknowledged the value of preservation in the past through such actions as appropriations to HSF and some physical improvements in the historic central business district...it has no official policy on historic preservation beyond mention in the comprehensive plan. Preservation concerns have not always been incorporated into the day-to-day planning and governing of the city."³⁴²

The plan was created, then, not only to continue HSF's work, but to more fully and formally integrate it into city policy and action.

The result is a policy document that is divided into three main sections: an overview of Staunton's historic resources, a description of conditions and issues in preservation at the time, and a concluding set of goals, objectives and implementation activities to be carried

³³⁹ *Preservation in Staunton*, 23.

³⁴⁰ *Preservation in Staunton*, 23.

³⁴¹ *Preservation in Staunton*, 24-25.

³⁴² *Preservation in Staunton*, 25.

out. The authors of *Local Historic Preservation Plans: A Selected Annotated Bibliography* noted Staunton’s plan for its purposeful design “so that portions could be integrated with the city’s update of its comprehensive plan.”³⁴³ The *Annotated Bibliography* also states that “The strength of the plan is its implicit and explicit intent to integrate historic preservation within the broader context of municipal planning and operations.”³⁴⁴ The following “Recommendation Review” will present each goal laid out in the plan, with a discussion of its implementation and success. In this case study, activities were significantly extensive and outside the scope of this thesis; examples of recommended activities are included in each goal, with discussion reserved mainly for stated goals and objectives.

³⁴³ Gagliardi, 16.

³⁴⁴ Gagliardi, 16.

6.6 Recommendation Review³⁴⁵

Goal 1: *To recognize officially the important role of historic preservation in the life of the City and ensure that all municipal actions reflect a policy of preservation.*

Objectives	Selection of Recommended Activities
1. <i>To develop an official historic preservation policy to guide the City in its decision making.</i>	1. Adopt a policy statement or resolution by City Council that pledges the City to a policy of a wise use of all its historic resources in recognition of the following:
2. <i>To incorporate historic preservation concerns into the long-range planning and development process in Staunton.</i>	2. Formally define the relationship between the City of Staunton and HSF to ensure that a historic preservation ethic is represented and considered in all significant decisions that affect the preservation, development, and use of historic resources.
3. <i>To integrate historic preservation concerns into the daily operations of city government.</i>	3. Identify historically and architecturally significant resources that are owned, maintained, regulated, or managed by the City of Staunton. These resources are expected to include but not necessarily be limited to city-owned buildings and open space, limestone curbs, retaining walls, street trees, and sidewalks. 4. Endorse the <i>Secretary of the Interior's Standards for Rehabilitation</i> as official policy for all maintenance, rehabilitation, and other actions undertaken for significant city property. 5. Adopt the City's comprehensive plan which will include materials from this comprehensive preservation plan.

Goal 1, which calls for official recognition of historic preservation in city policy, is central to *Preservation in Staunton*. Specific components of this goal included incorporating preservation into long-range planning and into daily operations of Staunton's city government.

Analysis of successful implementation of this aspect of the plan is the result of several interviews with Staunton preservation professionals, rather than detailed analysis of each activity. David J. Brown, executive director of HSF at the time of the plan's publication (and current executive vice president at the National Park Service), Bill Frazier, a founding

³⁴⁵ Each goal in this *Recommendation Review* begins with matrix of that goal's objectives and a selection of the plan's recommended activities. These goals, objectives and activities are quoted from *Preservation in Staunton*, pages 61-81. These matrices are treated slightly differently from those in the Providence and Lancaster case studies, as the number of recommended activities in Staunton far exceeded the others'. As a result, only a selection is provided here, and in addition, each goal was evaluated based on the overall goal and its objectives, with a lesser focus on individual activities. To see the full lists of recommended activities, see Appendix C.

member of HSF and local architect today, and Frank Strassler, current director of HSF, each spoke about the integration of historic preservation into city policy, and the city's acceptance of historic preservation. According to all accounts, this goal has been extremely successful in Staunton, first due to the initial hard work by HSF and its members. Later, as revitalization and economic successes in Staunton due to preservation work became apparent, the city government became even more supportive of preservation causes. At the same time, while city acceptance and promotion of preservation has been successful, it was a long, patient process to get city leaders involved. Strassler stated that while he does not believe a direct "policy statement" was undertaken by the city, preservation is certainly on the city's mind and the city is always conscious of it.³⁴⁶

Bill Frazier provided a particularly lengthy history of HSF, from its early efforts to promote preservation through to Staunton's preservation successes today. While *Preservation in Staunton* was published in 1987, HSF members had been advocating and actively pursuing preservation efforts for almost two decades. Frazier said that there were many battles in these early years, and that at the time it was about "changing the ethic" in Staunton.³⁴⁷ In order to accomplish this, a public education program was actively implemented, which included tours, talks, façade improvements, a mailing list which automatically sent preservation news to citizens, preservation balls and cocktail parties, and so on.³⁴⁸ This was all undertaken for public education outreach to get the community involved,³⁴⁹ building support among the community as direct battles against the city's plans were undertaken.

³⁴⁶ Frank Strassler, interview by author, April 1, 2009.

³⁴⁷ Frazier Interview.

³⁴⁸ Frazier Interview.

³⁴⁹ Frazier Interview.

Frazier stated that in the 1970s and 1980s the city council was not interested in historic preservation. Frazier emphasized the efforts HSF undertook early on to bring preservation to the attention of the city, stating that they “pressured and prodded,” and that members “fought pretty hard” and “picked their battles because we didn’t have a lot of political capital to spend.”³⁵⁰ In order to change this, HSF began strong community outreach as described above, and slowly began to demonstrate to the city that preservation was the answer to their city’s downtown decline. Frazier stated that the easiest thing HSF did was to “marry preservation with economics,” asking residents and officials if they wanted to give up on their town and accept its vacant lots, or make use of their buildings.³⁵¹ As a result, Frazier stated that while the city “used to be challenging” today it is a “committed partner” and that preservation has “had strong city council support since the 1990s.”³⁵² Like most other cities, the public works department can still pose a challenge to preservation efforts, but on the whole “city departments heads are really on board now” and HSF has good working relationships with the city, city engineers, planners and so on.³⁵³

Frank Strassler, current director of HSF, supported this statement, saying that city departments including planning and economic development (often a challenge to preservationists) work very well with HSF.³⁵⁴ Strassler stated that “one of the best things HSF ever did was engaging city council candidates.”³⁵⁵ City council candidates have a forum where they have an opportunity to speak before elections. HSF develops a notebook of preservation issues, which they give to candidates to educate them on the right preservation

³⁵⁰ Frazier Interview.

³⁵¹ Frazier Interview.

³⁵² Frazier Interview.

³⁵³ Frazier Interview.

³⁵⁴ Strassler Interview.

³⁵⁵ Strassler Interview.

answers.³⁵⁶ Strassler stated that as a result, when most council members are elected, they “then always have a preservation ethic in the back of their mind.”³⁵⁷ Furthermore, at this point these leaders have realized that Staunton “is successful because of preservation and economics.” As a result, while HSF still sometimes has to convince city officials on individual issues, they are generally conscious of preservation.³⁵⁸ Strassler also specifically stated that the “city government is still very supportive” and that “most of the time, we [HSF] are part of the conversation, we are not an afterthought.”³⁵⁹ When asked to specifically link preservation achievements to *Preservation in Staunton*, Strassler specifically stated that “One of the most significant would be the relationship with the city.”³⁶⁰ Staunton is a unique city in that HSF, a private advocacy group, acts as the city’s preservation advisor, and Strassler said he is used almost as a regular staff person in the city.³⁶¹ This relationship became even closer when a historic ordinance was adopted in 1996; HSF has worked with that ordinance and the historic commission since 1998.³⁶² Strassler stated that this has “solidified a very formal relationship with the city.”³⁶³

Out of the three cities studied in this thesis, Staunton seems to have demonstrated the most steady and strong commitment to preservation. Preservation leaders in the town emphasized that it was the result of very strong education and outreach, and also of demonstration of preservation success, which has convinced the city and its residents of its worth.

³⁵⁶ Strassler Interview.

³⁵⁷ Strassler Interview.

³⁵⁸ Strassler Interview.

³⁵⁹ Strassler Interview.

³⁶⁰ Strassler Interview.

³⁶¹ Strassler Interview.

³⁶² Strassler Interview.

³⁶³ Strassler Interview.

Goal 2: To complete the comprehensive investigation, documentation, evaluation, and registration of Staunton’s historic resources.

Objectives	Selection of Recommended Activities
<p>1. <i>To identify and register all historic resources eligible for listing in the National Register of Historic Places.</i></p>	<p>1. Complete and comprehensive inventory of the historic resources of the city, giving special attention to the geographic and thematic areas identified in the Study Unit and Conditions/Issues sections of this report. Special attention should also be given to archaeological resources. This inventory should proceed with the newly annexed area first, then on to endangered transportation resources such as bridges, and then to 20th century neighborhoods. Further priorities should be established by HSF as staff capabilities and funding allow.</p> <p>2. Use the results of future inventories to prepare and submit National Register nominations for eligible properties identified.</p> <p>3. Compile for the City of Staunton a specific inventory list, keyed to a map, of all historic resources located on public property.</p> <p>4. Undertake boundary evaluation of existing National Register districts; complete inventory in areas where expanded districts are desirable, and submit revised district edges where appropriate.</p> <p>5. Review all existing inventory data and National Register nominations to make sure that all contributing buildings and elements in each district are identified as such to assist the City in making planning and maintenance decisions.</p>

Preservation in Staunton’s second goal has a more measureable outcome than its first, calling for the documentation and listing of Staunton’s historic resources that are eligible for National Register listing. While the other case study cities seemed to be more up-to-date on surveying and district listing and expansion, Staunton actually appears to have had more success in other areas, like adaptive reuse, than with traditional surveying and districting. Strassler stated that the survey process has not been ongoing, and that HSF still utilizes surveys from the 1970s and 1980s.³⁶⁴ The most updating that is done is to modify descriptions within existing surveys, but they have not been revised in a comprehensive way.³⁶⁵ In addition, districts have “not been expanded very much in 15-20 years.”³⁶⁶ Frazier further stated that more survey has not occurred yet, although there is actually a push from

³⁶⁴ Strassler Interview.

³⁶⁵ Strassler Interview.

³⁶⁶ Strassler Interview.

developers to do so, so that they can receive more tax credits if districts are expanded.³⁶⁷

Currently, Staunton's five National Register districts were all added between 1972 (when the Wharf District was first added) and 1985.³⁶⁸ This lack of updating seems to be the result of limited staff and time, especially as HSF and the city have seen success and gained work in adaptive reuse and main street initiatives as will be discussed below in the review of subsequent goals.

³⁶⁷ Frazier Interview.

³⁶⁸ "National Register of Historic Places"; available from nationalregisterofhistoricplaces.com; Internet; accessed February 2009.

Goal 3: *To encourage a community-wide preservation ethic through preservation education.*

Objectives	Selection of Recommended Activities
<p>1. <i>To increase city-wide knowledge about historic resources, the value and benefits of preservation, and effective preservation tools and techniques.</i></p>	<p>1. Continue activities of Historic Staunton Foundation in completing an architectural survey of the city and publicizing its findings. 2. Continue educational activities of Historic Staunton Foundation for the groups listed below. These include activities such as lecture series, school programs, slide shows, walking tours, and publications. (All activities are assumed to be the responsibility of HSF unless otherwise noted.) 3. Increase efforts to celebrate National Historic Preservation Week each year to promote knowledge about and understanding of historic preservation. Designate Preservation Week officially with a proclamation issued by the City Council and commemorate it with city-wide activities and observances to reinforce the importance of preservation to the entire community. 4. Hold both formal and informal meetings on the proposed historic district and demolition ordinances to promote understanding of the concepts of both and to gain community support. 5. Publicize the Façade Improvement Program in residential neighborhoods to increase its use.</p>

As discussed in Goal 1, preservation education and outreach has been a major component of Staunton’s preservation efforts. HSF and the city have worked towards basic preservation awareness and support, as well as more involved technical education and practical assistance. Frazier emphasized that HSF “has *always* done a lot of public education.”³⁶⁹ HSF began its preservation efforts with a strong community outreach campaign. As described in Goal 1, programs like a preservation mailing list and a façade improvement program were executed by HSF staff members. More recently, HSF has continued its education initiatives, including for children. Preservationists have even reached out to the real estate community providing professionals with educational brochures.³⁷⁰ HSF also engages the city in some education, inviting officials to public talks on preservation such as HSF’s “Brown Bag Lunch” tours. HSF also just recently completed formal education

³⁶⁹ Frazier Interview.

³⁷⁰ Frazier Interview.

training with the historic commission.³⁷¹ Strassler stated, though, that while Staunton does some education outreach, there “could be much more”.³⁷² As in other cities, this appears to be an issue of staff and time. In general, though, Staunton began with a very strong educational program that has remained fairly steady through the years. One of the best tools to educate the public came through visible rehabilitation projects; as the city officials and citizens have been able to physically see the transformative effects of preservation, they have become more supportive, helping Staunton to achieve a true preservation ethic.

³⁷¹ Strassler Interview.

³⁷² Strassler Interview.

Goal 4: *To encourage appropriate rehabilitations as a means of preserving Staunton’s historic resources for present and future generations to enjoy.*

Objectives	Selection of Recommended Activities
<p>1. <i>To maintain and rehabilitate Staunton’s historic buildings as both visual and historic assets.</i></p>	<p>1. Encourage voluntary use by property owners and tenants of the <i>Secretary of the Interior’s Standards for Rehabilitation</i> for all historic buildings.</p>
<p>2. <i>To make wise and appropriate use of Staunton’s historic buildings and to encourage rehabilitation of existing buildings over their demolition for new construction.</i></p>	<p>2. Continue design assistance through the Façade Improvement Program of Historic Staunton Foundation and expand educational aspects of the program.*</p> <p>3. Continue to encourage the Wharf Historic District revitalization efforts through both building rehabilitation efforts and through streetscape improvements coordinated with the Middlebrook Avenue and Train Station projects.</p> <p>4. Encourage use of the Façade Improvement Program in residential areas through activities such as the expansion of the “Residential Rehabilitation” packet and with brochures such as <i>Owning and Renovating Older Properties in Staunton</i>.</p> <p>5. Continue the purchase by Historic Staunton Foundation of significant endangered buildings for resale with protective covenants to owners who agree to rehabilitate in accordance with the <i>Secretary of the Interior’s Standards for Rehabilitation</i>.</p> <p>6. Undertake a local easement donation program (both façade and open space) to protect Staunton’s unique architectural fabric.</p>

Goal 4 recommends “appropriate rehabilitations” as a means of preserving the city’s historic resources. After experiencing unfortunate demolition and new construction (or often, land left vacant) adaptive reuse became a positive way for Staunton to save its historic buildings and revitalize the city.

The city itself “has taken very positive steps with significant revitalization of historic properties,” and has both worked to attract developers and make incentives like tax credits available.³⁷³ One such recent example is the adaptive reuse of Western State Lunatic Asylum, a former asylum then correction center, which is currently being redeveloped as “The Villages at Staunton.”³⁷⁴

³⁷³ Strassler Interview.

³⁷⁴ Strassler Interview.

Despite this general success, many of the specific activities that HSF recommended for this goal in *Preservation in Staunton* were not specifically implemented. For example, the city does not have a revolving fund or property program. Strassler pointed out that one reason this can not happen today is that HSF could not afford the costs of starting a revolving fund process due to the rise of prices in downtown property. He argues that these property values actually mean that it is not necessary to have such a fund. Easements are also not provided through HSF. Strassler stated that while HSF would work with an interested party on an easement, he believes that there are better ways to approach protection than through a local easement donation. HSF does continue to work with owners on specific properties in giving rehabilitation advice.³⁷⁵

³⁷⁵ Strassler Interview.

Goal 5: *To use public sector techniques such as ordinances and capital expenditures to protect and enhance the city's historic built environment.*

Objectives	Selection of Recommended Activities
<p>1. <i>To use governmental tools and techniques to protect historic resources and adjacent areas and to make city ordinances work for, and not against, the goals of historic preservation and neighborhood integrity.</i></p>	<p>1. Create for the historic central business district a historic district ordinance establishing a board of architectural review to issue certificates of appropriateness for new construction, exterior alterations of existing buildings, and demolition. Use staff of HSF as professional advisor to the board.* (City, HSF)</p> <p>2. Develop guidelines and standards for acceptable exterior alterations and new construction.* (HSF, City, ARB)</p>
<p>2. <i>To use expenditures of public dollars to finance public improvements that will improve the appearance and function of the central business district.</i></p>	<p>3. Create a demolition ordinance requiring a certificate of appropriateness before demolition of any building considered to be a contributing element in any of the city's National Register districts or listed individually (or eligible for individual listing) in the National Register of Historic Places. (City, HSF)</p>
<p>3. <i>To use expenditures of public dollars to improve the appearance and function of the city's historic neighborhoods in recognition of the fact that people buy in certain areas of the city because of such amenities as brick sidewalks and shade trees.</i></p>	<p>4. Develop and implement a coordinated and attractive signing system identifying major attractions and institutions in the city and directing motorists to them.* (SURE, HSF, City, TAB)</p> <p>5. Upgrade above-ground and below-ground utilities (street lights, water, sewer, etc.) in historic neighborhoods to make these areas more desirable places for people to live and make investments. (City, HSF)</p>

Goal 5 calls for the use of public sector tools to protect the city's built environment.

The most common method of local historic resource protection is the adoption of historic ordinances which create protection zoning for historic resources. This goal has been accomplished through the creation of Staunton's local historic districts, and its local Historic Preservation Commission.

In 1995, HSF began to undertake the creation of an historic district zoning ordinance for Staunton. The city adopted its Historic Preservation Ordinance in 1996, in order to create regulations in a historic overlay district, and simultaneously created the Historic Preservation Commission to act as Staunton's local board of architectural review. The Commission has five members who serve three-year terms. In another demonstration of the integration of HSF and the city, the foundation was asked to serve as advisor to city staff

in administration of this ordinance and as advisor to citizens in need of guidance during rehabilitation.³⁷⁶

Today, Staunton has five local historic districts: Newtown, the Wharf, Beverley, Gospel Hill and the Stuart Addition. The Historic Preservation Commission reviews alterations, additions, new construction and demolition of property within its historic districts. The Commission reviews each application according to its established guidelines.³⁷⁷ These guidelines were produced for the city and for the HSF by Frazier Associates in 1996, and cover topics from architectural style to specific issues like window replacement and site improvements.³⁷⁸

The adoption and success of Staunton's local districts and commission regulation are again the result of HSF's advocacy and educational work within the community. Frazier stated that when HSF first began its activities, citizens in Staunton were not yet ready for an architectural review board. Instead of immediately trying to pass such regulations, HSF began by first focusing on National Register districts. HSF used such districts to get tax incentives for rehabilitation, and began to give advice for this work and façade improvements. As citizens became aware of preservation's successes due to such projects, and became comfortable working with HSF for project advice, gradually an ethic was established and the city became comfortable with the idea of more focused regulation. As with any other city, there are some citizens who continue to complain about the

³⁷⁶ Historic Staunton Foundation, "Timeline of Events Related to Tourism & Economic Development"; available from <http://www.historicstaunton.org/About%20HSF/Timeline.pdf>; Internet; accessed April 2009.

³⁷⁷ "Historic Districts Section," *City of Staunton, Virginia*; available from <http://www.staunton.va.us/default.asp?pageID=9CDB6DA3-C3B0-4C41-81E6-2448A5AC98D5>; Internet; accessed April 2009.

³⁷⁸ "Historic Districts Section," *City of Staunton, Virginia*.

Commission's "strict" regulations. On the whole, though, Frazier noted that most of Staunton's citizens continue to respect the guidelines. In educating the public first then, Staunton was able to create a supportive environment for preservation regulation that has since become ingrained in the city.

Goal 6: *To implement coordinated physical improvements and streetscape amenities as part of an overall downtown revitalization program.*

Objectives	Selection of Recommended Activities
<p><i>1. To increase the ability of the historic central business district to keep and attract businesses, shoppers, and investors.</i></p>	<p>1. Adopt and begin implementing the downtown plan as discussed in the Conditions/Issues Section of this report concentrating on adding streetscape amenities that will improve the function and appearance of the area for both pedestrians and motorists. Major emphasis should be focused on removal of overhead wires and upgrading of underground infrastructure (water, sewer, etc.) to make the area more attractive and increase its capacity for intensive rehabilitation of historic buildings and appropriate development of vacant parcels.</p> <p>2. Place different street light posts, luminaires, and lamps in the downtown and call for community input to determine preferred choices.</p> <p>3. Implement streetscape improvements in the Wharf Historic District that tie in with the proposed widening of Middlebrook Avenue and are complimentary with the improvements in the Wharf Parking and Pedestrian Center.</p> <p>4. Determine the feasibility of establishing a special tax district to assist in financing downtown improvements.</p>

Goal 6 recommends streetscape improvements in the context of overall downtown revitalization; suggested activities include establishing a special tax district to assist in financing improvements and implementing streetscape improvements in the Wharf Historic District. Its specific objective “To increase the ability of the historic central business district to keep and attract businesses, shoppers, and investors” is closely related to Goal 7 which recommends using economic development techniques to accomplish historic preservation. Implementation successes for Goal 6 and Goal 7 are closely related. Both have been successful, and much of this can be attributed to the Staunton Downtown Development Association (SDDA), while some policy changes have come from the city.

The most visible streetscape improvement success was Staunton’s “Big Dig” of the 1990s, which implemented a streetscape plan for the downtown.³⁷⁹ One source directly

³⁷⁹ Frazier Interview.

credits this “Big Dig” with Staunton’s renaissance since the late 1990s.³⁸⁰ Work included putting all of Staunton’s utilities underground and re-bricking its sidewalks. While this case study analysis shows that this “renaissance” was really the result of a complex combination of a variety of preservation and economic redevelopment actions, this aesthetic improvement to the downtown’s streetscape can certainly be credited as being a significantly contributing factor.

Another specifically implemented activity under Goal 6 was the establishment of a special tax district specifically targeting downtown revitalization. This tax assessment district is for Staunton’s downtown only. The Staunton Downtown Development Association (SDDA) (which will be discussed more in-depth in Goal 7), essentially acts as a Business Improvement District (BID), where a portion of business’ tax money goes directly to the SDDA which then provides services to the downtown. While HSF was at one time more involved in similar downtown revitalization projects, other groups have since taken on much of this work, showing an ethic of cooperation in Staunton that has allowed the town to accomplish more than it would if it relied only on one party.

In recent years, “streetscape” improvements have moved beyond the downtown core. Frazier described the implementation of recent corridor overlay districts, which can be used in conjunction with historic overlay. There are custom guidelines for each corridor which will transform these entryways to town in much the same way the downtown streets were improved.³⁸¹

³⁸⁰ Phil Audibert, “Passionate About Staunton,” *The Virginia Sportsman*, February/March 2008; available from <http://www.vasportsman.com/Staunton.pdf>; Internet; accessed April 2009.

³⁸¹ Frazier Interview.

Finally, streetscape improvements are continuing today through city action and through the SDDA, which published a *Downtown Staunton Streetscape Plan* in 2004, which narrowed in on specific streets for improvement, and elements as detailed as entryways and alleyways.³⁸²

³⁸² Staunton Downtown Development Association, *Downtown Staunton Streetscape Plan* (Staunton, Virginia, 2004); available from <http://stauntondowntown.org/images/stories/streetscape%20cover.pdf>; Internet; accessed March 2009.

Goal 7: *To use economic development techniques to accomplish historic preservation goals.*

Objectives	Selection of Recommended Activities
1. <i>To increase the amount of used square footage in historic buildings in the downtown and thus to reduce the potential threat of demolition and the possible negative impact of neglect for vacant and underutilized buildings.</i>	1. Strive for a more balanced use of all four points of the successful Main Street program approach that combines economic restructuring, promotions, coordination, and quality design for successful revitalization in historic downtowns.
2. <i>To increase the revenues from sales and property taxes and increase the number of jobs in the historic central business district.</i>	2. Undertake economic restructuring activities that build a downtown based on specialty shops, professional services, and quality housing.
3. <i>To increase cooperative efforts of City of Staunton, SURE, Historic Staunton Foundation, the Chamber of Commerce, and others in business retention and recruitment in the downtown.</i>	3. Recruit new investors both locally and from out of town to rehabilitate historic buildings, redevelop vacant parcels, and open new businesses. 4. Continue to develop and publicize financial incentives for investors. 5. Develop and offer incentives for quality residential rehabilitation in historic buildings in and adjacent to downtown. 6. Conduct periodic shoppers' surveys to identify trends, physical improvements most likely to pay off in increased sales revenues, and market characteristics during different seasons and shopping periods. 7. Identify gaps in the retail mix of downtown and be aggressive in trying to fill those gaps to make downtown a successful specialty shopping area.

As discussed in Goal 6, much of Staunton’s revitalization work has focused on its downtown area. Goal 7 recommends using economic development techniques to accomplish historic preservation goals. In the interview process, this idea of marrying historic preservation to economics was one of the most often cited reasons for Staunton’s successful revitalization. The first specifically recommended activity within this goal was to “Strive for a more balanced use of all four points of the successful Main Street program approach that combines economic restructuring, promotions, coordination, and quality design for successful revitalization in historic downtowns.”³⁸³ Other activities included recruiting new investors, and developing incentives for rehabilitation.

³⁸³ *Preservation in Staunton.*

Staunton’s participation in the Main Street program has brought much of its success in recent years. Since the plan, Staunton has become a Virginia Main Street and National Main Street.³⁸⁴ Staunton became a designated Main Street community in 1995.³⁸⁵ Staunton’s main street efforts are organized under the Staunton Downtown Development Association (SDDA), as mentioned in Goal 6. The SDDA describes itself as a “non-profit volunteer-based association established to enhance downtown Staunton’s economic environment as a center of commerce while maintaining the character and integrity of the Downtown Service District.”³⁸⁶ SDDA follows the 4 point Main Street program of promotions, design, economic development and organization, as recommended in Goal 7.

This approach has been extremely successful for Staunton, and the city has in fact received numerous awards in relation to its Main Street efforts. In 2001, it received “Distinctive Dozen” status by the National Trust for Historic Preservation, naming Staunton as one of its 12 best communities in America.³⁸⁷ In 2002, Staunton became the first city in Virginia to receive the Great American Main Street Award from the National Trust.³⁸⁸ The city has also won numerous awards for the number of volunteer hours committed since its designation.³⁸⁹

In addition to this impressive national recognition, the success of these efforts has been clear to the city’s preservation leaders. Frazier noted that successful economic redevelopment of the area could be seen just by looking at the downtown sidewalks on

³⁸⁴ Frazier Interview.

³⁸⁵ *Staunton Downtown Development Association*; Internet; available from stauntondowntown.org; accessed February 2009.

³⁸⁶ *Staunton Downtown Development Association*.

³⁸⁷ Audibert.

³⁸⁸ *Staunton Downtown Development Association*.

³⁸⁹ *Staunton Downtown Development Association*.

weekends which are now teeming with people, whereas they would have once been fairly empty.³⁹⁰ One factor Frazier noted in Staunton's economic revitalization success was its Development of Economic Department, which has been led by Bill Hamilton for 15 years; Frazier stated that with his leadership, Staunton has had the resources to become a player, and has gotten its downtown economic development started. In a recent magazine story, Hamilton stated that "We are determined to maintain the unique 'feel' of Staunton as a small city that has maintained our architectural heritage and values from the past while incorporating 21st century 'cool' in our lifestyle."³⁹¹ Among the case studies, Staunton was unique in its unqualified support of the city's economic development department, not appearing to experience the conflict between preservation interests and developments that the other cities have. This appears to be due to the deep ethic of preservation that has been built here, as people see that it is preservation that has worked for Staunton and that it can be used in combination with other desires of a modern town.

The positive impact has been seen through what Frazier said was a tripling in property values since the 1990s, then another doubling in the past couple of years.³⁹² He stated that these downtown property values are beyond what HSF had ever thought possible or hoped for when they began their efforts. As a result, the city has also seen a rise in downtown living, and less vacancies.³⁹³ The goal also called for rehabilitation in neighborhoods surrounding the downtown; Frazier stated that there has been a "huge reinvestment in neighborhoods around downtown" and that even a lower income area west

³⁹⁰ Frazier Interview.

³⁹¹ Audibert.

³⁹² Frazier Interview.

³⁹³ Frazier Interview.

of downtown has taken off.³⁹⁴ Frazier also stated that “Staunton didn’t have a great reputation” before this economic redevelopment and preservation-oriented revitalization, and had been “known to be backward” in the region while developers were interested in surrounding areas, Staunton was often overlooked. Such recent successes have really changed even developers’ perceptions of the town, and the city has recently been able to engage in more sophisticated development projects, using more financing and more financing complexity. It appears that in Staunton, “growth” is seen as something that happens because of preservation, not at the expense of it.

³⁹⁴ Frazier Interview.

Goal 8: *To make traffic flow and parking more efficient and less disruptive in historic areas.*

Objectives	Selection of Recommended Activities
1. <i>To increase parking opportunities and improve access to existing parking areas in the downtown area.</i>	1. Reassess the potential impacts of the transportation proposals discussed in the Conditions/Issues Section and make revisions where possible to protect historic resources and their environments. 2. Study all one-way streets to determine both efficiency and motorists' visual impressions under the current system and consider making revisions to the current system where called for.
2. <i>To provide adequate and appropriate parking in historic neighborhoods.</i>	3. Undertake a central business district parking study of private and public parking, on-street and off-street parking, metered and timed parking, loading and other special parking zones, and directional and informational signs to parking areas to determine the capacity, efficiency, and accessibility of existing parking in the downtown. This should build on SURE's 1987 parking survey. 4. Develop a master plan to improve the efficiency and increase the capacity, if necessary, of downtown parking without loss of historic buildings. 5. Encourage screening and landscape improvements for privately owned parking lots by offering design assistance. 6. Appoint a parking authority as recommended in the SURE Parking Study Paper to consolidate management of parking in one department.

Goal 8 calls for making traffic flow and parking more efficient and less disruptive to the city's historic areas, which includes increasing parking opportunities in the downtown and surrounding areas. Usually parking is another issue which can prove to be a challenge to historic neighborhoods and traditional commercial downtowns. The city has continued to work towards this goal and has so far been successful. When asked to describe achievements after the plan, Brown stated that its parking issues have been addressed, and Strassler and Frazier also both named this goal as a success. Again in this case, the city has managed to solve its parking issues while remaining sensitive to preservation. Both Strassler and Frazier spoke about a recently designed (by Frazier Associates) and constructed parking garage in the downtown. Strassler called the parking garage a case where funding and political will all came together at once to produce a great project. The New Street Parking Garage has been recognized for its aesthetic sensitivity to the surrounding historic architecture. The result came from working closely with both city government and citizens in an impressive public

design process. The garage has won numerous awards including the 2002 Palladio National Design Award from *Traditional Building Magazine*.³⁹⁵ In recent years the city manager has also undertaken a parking study and a traffic study, with successful results including the conversion of some streets from one-way orientation to two.³⁹⁶

Goal 8 has been fulfilled, with efforts undertaken by the city, private action and citizen involvement. The result has both fulfilled the city's practical need for parking and traffic improvements, while actually serving preservation and community desires at the same time. Incorporating the interests of each group proved particularly successful for the city, even bringing it positive national attention.

³⁹⁵ ArchNewsNow, "Enter Here: New Street Parking Garage by Frazier Associates"; available from <http://www.frazierassociates.com/images/pdf/ArchNewsNow.pdf>; Internet; accessed March 2009.

³⁹⁶ Frazier Interview.

Goal 9: *To increase awareness and stewardship of historic resources among Staunton’s institutional property owners.*

Objectives	Selection of Recommended Activities
<p>1. <i>To increase among the City’s institutional property owners (the Commonwealth of Virginia, County of Augusta, Mary Baldwin College, Stuart Hall School, and numerous churches) a sense of the significance for the historic resources they own or control and to reduce any negative or potentially negative impact these institutions exert on adjacent historic resources.</i></p>	<p>1. Work with the Commonwealth of Virginia in developing a comprehensive policy for the care and protection of state-owned landmarks. 2. Develop and use regular channels of communication between the City of Staunton, Historic Staunton Foundation, and each major institution in the city. 3. Keep institutional property owners aware that the City and HSF share a substantial degree of concern for the preservation, appearance, care, and use of these properties. 4. Encourage each institution to have a preservation or long-range maintenance plan that takes into account the information identified in the Study Units Section of this report. Hold preservation workshops for personnel directly involved in the decision making or maintenance of each institution. 5. Encourage each institution to develop a preservation policy for both its buildings and grounds that calls first for the retention of the historic fabric and second for incorporating quality new design elements when additional space requirements cannot be met through reuse or adaptive use. 6. Encourage each institution to undertake protective easements and assist them in developing agreements that are flexible enough to allow for their growth and development but protective of the significant qualities of each institution.</p>

Goal 9 focuses on Staunton’s institutional property owners. This effort has not received as much focus as the town’s streetscape and building revitalization activities, but in general has seen success. Frazier stated that around the time of HSF’s initial formation, Mary Baldwin College, like many other property owners in the 1960s and 1970s, had wanted to tear down about a dozen buildings on its campus. This was one of HSF’s early fights, which was successful. Since that time, institutional property owners in the city, including this educational institution and the city itself, appear to have become supportive of preservation as a result of the activities described in previous plan goals. Strassler stated, though, that HSF and preservation advocates still must work closely with state agencies that have historic

buildings in town, and believes that Staunton is “too reactionary at this point” in working with such institutions, and must plan better in this area.

Goal 10: *To develop heritage tourism at a level that the city’s facilities and resources can support without harmful impact.*

Objectives	Selection of Recommended Activities
<p>1. <i>To increase the number of visitors to Staunton while protecting the historic environment from undue stresses caused by overuse.</i></p>	<p>1. Undertake a thorough study of the tourism potential of the city that identifies current and potential market conditions, identifies comparable and competitive visitor attractions, assesses the ability of the city to meet visitor demands, and evaluates the need to hire a full-time staff person to promote, manage, and coordinate visitor promotions.</p>
<p>2. <i>To improve the quality of the visitor experience in Staunton.</i></p>	<p>2. Use the city’s wealth of historic architecture as the basis for heritage tourism and develop and promote, according to the tourism plan described above, complementary activities such as specialty shopping, dining, and overnight lodging that will appeal to the type of visitor interested in historic attractions.</p> <p>3. Develop tourism goals and strive for an increase that will complement the city’s existing economy.</p> <p>4. Coordinate citywide tourist promotions with the Museum of American Frontier Culture while realizing that each tourist destination has the capability to attract visitors independent of the other and that not all visitors to one will have the time or interest to visit the other.</p> <p>5. Develop coordinated goods and services that may include but would not necessarily be limited to overnight lodging facilities, tours, restaurants, a downtown visitor center, outdoor interpretation, and exhibits that will help create a quality visitor experience and encourage visitors to spend more than an hour or two in Staunton.</p> <p>6. Promote regional tourism with Staunton as the central location for originating day trips to other visitor attractions in the vicinity and state.</p>

Preservation in Staunton’s final goal focuses on heritage tourism within the town at a level that does not cause a negative impact on its resources. Heritage tourism has been very successful in Staunton after its first major rehabilitation and adaptive reuse efforts, and continued streetscape improvements to the downtown. This tourism success has been anchored by several main draws, including the American Shakespeare Center and the Woodrow Wilson Presidential Library. The Shakespeare Center was mentioned in particular by Frazier, who noted that it is a “huge draw” and has “brought new energy to the downtown.” Frazier also stated that in addition to its immediate tourism draw that the Center has also brought many young actors to live in the downtown area. Other smaller efforts include walking tour brochures, a new tourism visitor center downtown and

continuing exhibits on Staunton's architecture.³⁹⁷ An expanding variety of restaurants and art galleries also draws visitors downtown.³⁹⁸ Frazier noted that the city's commitment to tourism is also demonstrated by their hiring of a new tourism director, Sheryl Wagner in 2007, who has also been good for both preservation and tourism efforts.³⁹⁹

³⁹⁷ Frazier Interview.

³⁹⁸ Frazier Interview.

³⁹⁹ Frazier Interview.

6.7 Case Study Conclusion

This review of *Preservation in Staunton's* recommendations has shown that Staunton has been overwhelmingly successful in accomplishing its preservation goals. This case study was approached slightly differently, in that it did not focus on the long lists of activities suggested by the plan, but rather on the overall goal and several objectives under each. Prepared as a policy plan and not an “action” plan as seen in Providence, this level of analysis seemed appropriate. Had this thesis looked at each individual activity, it likely would have found that Staunton had not implemented each activity. Since 1987, though, most of its goals have been accomplished. The plan’s most successful goals were related to economic redevelopment, streetscape improvements and encouraging an ethic of community-wide preservation acceptance. The city needs to continue to work towards its surveying of historic resources and protection of institution owned buildings. Even in goals that have not been completely fulfilled, though, Staunton has taken meaningful steps towards implementation.

The beginning of this plan’s story was not necessarily its creation process, but instead the HSF preservation activities of the two decades leading up to plan publication. Frazier talked in depth about the work that had occurred in the years leading up to the plan, and specifically stated that “You need to realize that there was a lot going on before and during – the plan was a nice thing to do in the middle of all this.”⁴⁰⁰ Brown stated that Staunton was already on the trajectory of preservation, and that there was a great deal of momentum at the time. The plan was really trying to codify preservation and bring it into the city’s planning office. Brown felt the plan had an impact that way, but that by and large, it is mostly an overview of what had happened and then what its needs were, without making a “huge

⁴⁰⁰ Frazier Interview.

break” from what was already occurring in preservation circles.⁴⁰¹ This appeared to be the general impression of the plan in Staunton, that it had to be seen in the context of the town’s ongoing efforts. One of the greatest results that came from the plan was that the term “preservation planning” was used for the first time in 1987, in describing the activities already occurring in the town.⁴⁰² This planning process was important to Staunton for its expansion of preservation visibility and awareness within the town and incorporation of various stakeholders into the process.

Brown also stated that the plan occurred within the context of a number of issues going on in the city at the time.⁴⁰³ As executive director of HSF at the time of the plan’s publication, Brown stated that their goal was to lay out the issues the city was facing in a document, as well as to highlight opportunities. Furthermore, they hoped to make a connection between the city’s comprehensive plan and the historic preservation component. This was ultimately accomplished. In this case, while the plan itself did receive good community support for its general outlines and the process did try to involve a broad range of people from across the community, on the whole, the planning process itself was not as citizen oriented as in Providence and Lancaster. In Staunton, the plan did not get much exposure across the community, but was mostly intended for city officials.⁴⁰⁴

When asked to attribute specific achievements to the plan, Brown stated that one such achievement was further defining the roles of HSF and the city in preservation, and bringing their work together. As in the other case study cities, however, each interview

⁴⁰¹ David J. Brown, interview by author, April 15, 2009.

⁴⁰² Frazier Interview.

⁴⁰³ Brown Interview.

⁴⁰⁴ Brown Interview.

subject was reluctant to attribute preservation achievements to the plan alone. Brown noted the city's focus on the downtown, the move forward to the vibrant downtown that has occurred, the parking issues that have been addressed, and the maintenance of historic neighborhoods. He stated that much of the work envisioned in the plan has been seen, but specifically stated that it was not "necessarily because of the plan, but because people really had an interest." Strassler noted that it is "interesting that whether it's consistently referenced or not, it may be a coincidence, but [the city] implemented a great deal of what's in the plan. Did it happen exactly as the plan said? No."⁴⁰⁵ Strassler went on to state that he thinks much of its achievement came because of the evolution of the preservation field at that time, from money made available through the Federal Tax Program, which he says had a "huge influence in Staunton." Strassler stated that "a lot of the plan wouldn't have happened without credits. So did it happen because of the plan or because of credits?" He also stated that the city has at least picked up the plan's "verbiage" and incorporated it into its policy.⁴⁰⁶ Frazier felt, again, that the plan was part of an "ongoing program that the [it] was a part of," where the city and HSF "intuitively did a lot of stuff, but maybe not consciously doing the steps listed."⁴⁰⁷

What came out of the entire process leading up to the plan, though, and the time following it into the 1990s, is that a "good ethic was established here."⁴⁰⁸ Today, Frazier stated that like in many other places, people in Staunton are now excited about "green." Preservation is no longer as exciting as it once was, but the ethic is there, and "people

⁴⁰⁵ Strassler Interview.

⁴⁰⁶ Strassler Interview.

⁴⁰⁷ Frazier Interview.

⁴⁰⁸ Frazier Interview.

continue to do it because they have seen that it worked.”⁴⁰⁹ Through a “conscious effort” HSF “got people on their side.” In a town where citizens would attempt to tear down buildings several decades ago, today “people would be outraged” and are on the side of HSF.⁴¹⁰ This good ethic has not only extended to citizens, but also to city officials. This ongoing support from within the city government is unusual among the case studies, Providence has recently lost such support, and in Lancaster, that support continues to fluctuate through various mayoral terms. As discussed in the recommendation review section, HSF worked very hard to get the city on its side in the 1970s, when the city was still committed to tear-downs and new development. HSF undertook a conscious and difficult effort to impress a preservation point of view upon the city. This accomplishment, which has allowed for long-term continuous success of preservation in Staunton, did not occur because of the plan, but because HSF patiently worked to show the city through example that preservation could work for their community. Today, preservation leaders acknowledge that they “always need to be diligent and keep the relationship going” and as a result, “most of the time municipal action reflects” preservation goals.⁴¹¹

Preservation leaders in Staunton were hard-pressed to discuss obstacles to achieving preservation goals in the city. The obstacles named, though, are similar to those in the other case studies. Like advocates in other cities, Strassler spoke of problems created by the “quick fix industry” saying that it is “hard to keep up with the vinyl additions and replacement window industry” and their advertising.⁴¹² Furthermore, like any other city, Staunton “could

⁴⁰⁹ Frazier Interview.

⁴¹⁰ Frazier Interview.

⁴¹¹ Strassler Interview.

⁴¹² Strassler Interview.

always use more staff and more money.”⁴¹³ What sets Staunton apart, is that an ethic has been established that it seems to allow the city to weather ups and downs in budget and staff, and despite some citizens’ attraction to quick home fixes, most understand and are proud of the overall preservation effect in their town.

The most significant lessons to be learned from the Staunton case study are those related to HSF’s long-term, continuing efforts towards creating and then maintaining a preservation ethic among citizens *and* city council members. Staunton’s impressive revitalization came through marrying preservation with economics, which has proven extremely successful for the community economically, and has also shown by example to citizens, leaders and developers that preservation works. Such success makes the case for continued support of preservation incentives such as tax credits and grants. Staunton is a different city than Lancaster, and certainly a very different city than Providence; this perhaps makes maintenance of its preservation ethic slightly easier. Staunton’s small-town characteristics are likely to promote more attachment to and pride in its neighborhoods and its accomplishments. Nonetheless, HSF’s continued outreach and cooperation with the city is a lesson that can be applied in any locality looking to incorporate preservation into successful city planning.

⁴¹³ Strassler Interview.

CHAPTER 7: FINAL CONCLUSIONS

As interest in preservation planning has grown in recent decades, the field has gained increasing attention as a discipline in its own right, complementary to but distinct from broader comprehensive city planning. Like many disciplines, as preservation planning has developed, it has begun to define itself and its specific elements in order to gain legitimacy as both an academic subject and in practical application. Furthermore, academics and professionals with an interest in the field have begun to analyze and refine preservation planning's tools in order to strengthen its effectiveness.

One of preservation planning's greatest tools is the preservation plan itself, which coordinates the various interests and activities of planning into one comprehensive document. The result of preservation planning analysis is often publications focused on review and survey of written plans and attention to suggested plan elements. The intention of this thesis has been to further contribute to the critical reflection of this discipline, through a case study-oriented analysis that has focused on the preservation planning history and plan implementation of several cities, in order to determine the usefulness of preservation plans and methods of improving successful implementation.

The case studies analyzed in this thesis - Providence, Rhode Island, Lancaster, Pennsylvania and Staunton, Virginia - represent three very different cities with preservation plans that reflect their unique characteristics and needs at the time of plan publication. For example, in Providence and Staunton, the preservation plan was directly incorporated as the historic preservation component of each city's comprehensive plan, while in Lancaster, the plan directly influenced the content of the preservation (or in this case, "community

character”) chapter of the subsequent local comprehensive plan. Additionally, each plan has a distinctive form and approach to content. Providence’s *A Preservation Plan* is an action-oriented document, with 30 specific actions presented in a clear matrix of goals, actions and first steps to be taken, as well as a time frame and suggested participants. In Lancaster, *Preserving Community Character* was written in order to “start an ongoing dialog” regarding community character, and encourages “people to use the report as a basis for discussion.”⁴¹⁴ This plan is less action-oriented than Providence’s, and instead was developed to serve as a means to envision the Lancaster that residents wanted to see in the future. This plan presents recommendations for Lancaster in a narrative format. Finally, *Preservation in Staunton* was written as a policy plan, explicitly directed at integrating the historic preservation goals of the leading local preservation advocate, the Historic Staunton Foundation, with the planning policy of the city. Staunton presents its recommendations in a narrative format, with clear goals and objectives and lengthy action recommendations for each.

These case study plans were analyzed not only through study of the plan itself, but by examining implementation of the plan and success of preservation activities in each locality after its publication. Plan analysis did not follow one specific method of implementation evaluation, but followed basic methods as reviewed in *Chapter 2 Literature Review*. Both William Baer’s “General Plan Evaluation Criteria” and Mark Seasons’ “Monitoring Evaluation in Municipal Planning: Considering Realities” particularly influenced plan evaluation in this thesis. Specifically, Baer discusses the idea of “evaluating post hoc plan outcomes,” by comparing a plan’s intended outcome against what actually occurred, as long as allowances are made for variants in implementation. Seasons emphasizes the equal

⁴¹⁴ *Preserving Community Character*, 1.

importance of qualitative data when evaluating plan effectiveness. As a result, the analysis presented here includes both a “quantitative” study of outcomes, directly linking plan recommendations with future outcomes, as well as a qualitative assessment of success in each city, primarily based on opinions expressed by interview subjects.

Despite their differences in form and content, case study analyses showed that the creation and use of a preservation plan and the process of preservation planning has been successful in each city. They prove that municipalities derive significant benefit from the process of developing a plan and from undertaking its implementation. This conclusion is based first on the “quantitative” research performed, which traced each goal or recommendation to an outcome. Through this research it was found that each locality had accomplished the majority of the preservation goals set forth in its plan. It should be noted that while general success has been determined, in several cases it was difficult to directly attribute successful action to the plan itself. The accomplishment of some recommendations, for example, was due to an independent party, which took on a preservation project without knowledge of the plan itself or its recommendations. This was seen in Providence, for example, where the plan called for protection of natural features within the city; while this has been a significant accomplishment there, the movement has been entirely independent from the work of historic preservation. It was also noted in each city that city planners themselves do not refer to published plans on a regular basis in order to direct their actions or lead decision-making.

The determination of overall plan success was also informed by the subjective opinions expressed by local preservation professionals in interviews with the author.

Interview subjects were asked both subjective opinion questions, such as what they felt were the most significant obstacles to preservation in their cities, as well as direct questions about the implementation of specific plan recommendations. These interviews revealed a slightly different story than what would have been concluded based just on the quantitative process, which determined only whether recommended actions were taken or not. In many cases, interview subjects were cautious about directly attributing preservation achievements back to the plan itself. As stated above, some achievements were accomplished by a group or individuals not designated in or familiar with the plan, or took place well after plan publication. However, all interview subjects in each case study did credit the respective plan with making a difference in preservation accomplishments in their community, whether that was due to spurring direct action or creating public interest and awareness, or simply helping to establish a general platform from which preservation actions were possible.

The overall success of each plan, beyond validating creation and use of preservation plans as a worthwhile activity for localities, also demonstrates that preservation plans do not need to conform to any specific format or content. When Gagliardi and Morris' *Local Historic Preservation Plans: An Annotated Bibliography* was published in 1993 the authors consciously endeavored to select plans from "a wide range of community types" as well as "plans illustrating a wide range of approaches to preservation planning."⁴¹⁵ Works since then have also emphasized variety in plan form and content, including the recent "Draft Principles of Preservation Planning" published by the National Park Service, which recommends that "The preservation plan's level of technical detail and its format, length, and appearance are guided by the extent to which these will serve the plan's purpose(s) and the needs of its

⁴¹⁵ Gagliardi, 1.

audience(s).”⁴¹⁶ The case studies presented in this thesis represent a variety of localities with divergent histories and present characteristics, each of which created a plan that specifically suited its needs at the time of publication. Since that time, each of these communities has achieved significant preservation success. With commonly accepted plan standards such as clearly stated goals and activities accounted for, then, individual communities can, and should, tailor plan content to their needs rather than directly conform to a specific model or guidelines.

While every case study revealed diverse experiences in implementation, each locality also shared many similar achievements and obstacles. Several themes became apparent in the interview process, which assist in forming a basis for best practices in local preservation planning. The most significant theme revealed in interviews was the importance of the planning process itself. The process of creating a preservation plan has a significant effect on preservation planning and policy implementation in a community. With such a concentration on the exact elements that should be included in a plan, such as maps, a timeframe, historic contexts, and so on, the benefits of the process itself are at times overlooked. While they are not concrete or easy to quantify, each of these elements was named by almost every interview subject, while the importance of having specific components in a plan that would ensure success (like plan format, a timeframe, etc.) was dismissed outright by all.

The first result of this planning process is the interest it generates in preservation. The process of creating a plan has the potential to bring citizens, advocates, professionals and city government officials together for a common cause, in this case, preservation. The

⁴¹⁶ “Draft Principles of Preservation Planning.”

interest generated in the process builds excitement, energizing the preservation movement in a locality. Community and stakeholder involvement in the planning process has been emphasized in planning in the past several decades, and this case study analysis proves its usefulness. Each preservation plan analyzed here was the result of strong community involvement, which professionals felt contributed to success. Exposing stakeholders to each other's interests serves to enrich the final plan product. Additionally, the interest built serves to create "buy-in" to preservation, a phrase that was repeated in almost every interview conducted. Both citizens and leaders must be convinced of the benefits of preservation in order to actively support any preservation plan and work towards its implementation. This helps to create a stable preservation ethic within the community.

In a related theme, the planning process starts a discussion about preservation that requires city government departments and commissions to communicate with each other *within* the local government, and also to communicate with external local preservation advocates and neighborhood groups. One often cited issue in preservation planning was the conflict of goals or agendas among different city departments. Preservation goals have a greater chance of success if these various groups are able to coordinate their efforts with mutual understanding of differing interests. This requires continued communication which must extend outside of the plan creation process.

With the planning process completed, professionals must continue to advocate for preservation in their city. Interview subjects repeatedly emphasized that having a plan, whether it is actively referred to or not in everyday planning, gives preservation legitimacy and preservation planners credibility within the city as they continue to advocate for

implementation of its recommendations and activities. Planners may not refer back to the plan on a regular basis, but its very existence gives their recommendations and views credibility in the eyes of the mayor, other city departments, commissions and citizens. If challenged, preservation planners or the local preservation authority have a concrete document to refer to that defines the city's commitment to the cause of preservation through identified actions.

The educational outreach begun in the plan creation process also must continue after plan publication. Each interview subject highlighted the necessity of education and outreach, focusing on every member of the community from citizens to the mayor. Preservation education continues to be important in order to dispel misunderstandings and negative perceptions about preservation that continue even today. For citizens, outreach dispels such longstanding concerns as those associated with excessive historic district control over private property, and educates residents as to correct materials and methods for rehabilitation. This educational theme continues with city officials such as building departments and code officials, many of whom continue to lack knowledge of or interest in preservation. Education can also lead by example; in Staunton, for instance, a series of preservation successes convinced the city that preservation has a demonstrable economic benefit.

Finally, each interview subject emphasized the importance of providing incentives for preservation. While the plan itself does not have the power to create incentives, it is important that it explore opportunities and specific entities that might coordinate these efforts. Every interview subject emphasized that while tools for protection of historic resources are important, they are not enough to build support for preservation or stimulate

significant preservation activity. This point was particularly emphasized in Staunton, where the current executive director of its main preservation advocacy foundation went so far as to question whether preservation success happened “because of the plan or because of [historic rehabilitation tax] credits?”⁴¹⁷ Interview subjects in both Providence and Lancaster also spoke of the demonstrable effect of tax credits, grants and other incentives in their cities, which directly encouraged preservation activity and brought it to the attention of developers, city leaders and others with significant power to affect the future of these localities.

The main conclusion from this case study analysis, then, is that it is not necessarily a plan’s form or content that influences preservation success. Outside of preservation interests, factors including shifting demographics, changing economic circumstances and varying support from city government will significantly effect the implementation of preservation plan recommendations. Furthermore, preservation professionals and planners themselves may not directly use the plan to guide their actions, especially as regular administrative concerns overwhelm their attention. With these variables in mind, the results of the preservation planning process become increasingly significant in influencing future success. The interest and “buy-in” created through the planning process, as well as the communication between different interest groups and coordination of their activities, contributes to long-term preservation ethic in a community. Furthermore, this process must be repeated periodically or interest will decline, as well as the credibility and legitimacy gained as discussed above. Other elements, such as education and outreach, must remain stable undertakings maintained by preservationists as a long-term, continuing process.

⁴¹⁷ Strassler Interview.

While the daily process of trying to keep up with planning is difficult and time-consuming, some provision should be made (perhaps through partnership with a local advocacy group) to measure plan implementation and outcome. This thesis process has revealed several important themes, but a more accurate measure of implementation can only be achieved by the constituents involved. If preservation is local, as is often said, then continued success of a preservation plan is best determined through analysis by the community itself. Continual measurement of plan achievements and updates to the plan that repeat the process described above will maintain interest in preservation planning and create a long-term preservation ethic.

Plan content will not guarantee implementation, but certain statements and provisions in the plan can help contribute to future success. *Chapter 3 Planning History and Background* discussed several studies which recommend specific components for preservation plans, specifically, Roddewig and White's *Preparing a Historic Preservation Plan* (1994) and the National Park Service's "Draft Principles of Preservation Planning" (2000). Such recommendations, as quoted in *Chapter 3*, have been proven effective through this case study analysis, but several in particular apply to the themes as discussed here. These recommendations are quoted below, in coordination with the themes as discussed above.

- *(Process)*
 1. "The preservation planning process is innovative, flexible, and carefully designed to respond to the scale, audience, and needs of the specific planning area."⁴¹⁸

⁴¹⁸ "Draft Principles of Preservation Planning."

2. “Preservation planning involves the public in plan development, implementation, and revision, and tailors an approach to public participation that is appropriate for the varying identities and roles of the plan-maker and planning participant.”⁴¹⁹
- *(Communication and Coordination)*
 1. “Statement of the relationship between historic preservation and other local land use and growth management authority.”⁴²⁰
 2. “Preservation planning, the plan, and plan implementation are integrated and coordinated with other planning and decision-making processes in the planning area.”⁴²¹
 - *(Legitimacy and Coordination)*
 1. “Explanation of the legal basis for protection of historic resources in the state and community.”⁴²²
 2. “Preservation plan implementation has access to realistic strategies and legally sound tools that are appropriate for achieving plan goals and policies.”⁴²³
 3. “Make sure that the plan is officially adopted by resolution or ordinance...”⁴²⁴

⁴¹⁹ “Draft Principles of Preservation Planning.”

⁴²⁰ Roddewig, 1.

⁴²¹ “Draft Principles of Preservation Planning.”

⁴²² Roddewig, 1.

⁴²³ “Draft Principles of Preservation Planning.”

⁴²⁴ Roddewig, 40.

4. Follow adoption of the plan with an Executive Order of the mayor or city manager requiring each city department and agency to give special attention to the needs of any historic resource under its jurisdiction...⁴²⁵
- *(Education)*
 1. “Statement of the relationship between historic preservation and the community’s educational system and program.”⁴²⁶
 - *(Incentives)*
 1. “Statement of incentives.”⁴²⁷
 2. “Work to include capital appropriations in the annual local government budget for the preservation incentives or programs specified in the preservation plan, effectively ensuring that preservation projects become part of the long-term capital budget...”⁴²⁸
 - *(Evaluation)*
 1. “The preservation plan has a specific and explicitly stated time frame, after which it is reaffirmed, substantially revised, or a completely new plan is developed.”⁴²⁹
 2. “Preservation plan implementation includes ongoing evaluation, monitoring, and review of changing conditions and progress toward achievement of plan goals and policies.”⁴³⁰

⁴²⁵ Roddewig, 40.

⁴²⁶ Roddewig, 1.

⁴²⁷ Roddewig, 1.

⁴²⁸ Roddewig, 40.

⁴²⁹ “Draft Principles of Preservation Planning.”

As preservation plans continue to be published in the future, it is important for preservation professionals to keep in mind that, upon publication, the plan becomes part of the dynamic, changing environment of the real world. As a result, plan form and content in and of themselves will not guarantee implementation of the plan or preservation success in any community. The plan is only capable of serving as a guide for future action and as an official document to which the preservationist or planner can refer to for legitimacy in the eyes of other city leaders and the public. Setting forth clear goals and recommendations as well as guidance for integration of those recommendations into broader city objectives will further encourage successful plan implementation. From there, every tool must be put forth to encourage preservation, including protective measures like historic zoning, incentives such as tax credits or a local revolving fund, and a sustained education program that reaches out to everyone from the city council to local citizens. Ups and downs in factors like city government support, city budget and the economy are challenges that preservation will always face, but the continued process of planning and a strong, committed advocacy will create and maintain a long-term preservation ethic among citizens and leaders upon which a locality can rely.

⁴³⁰ “Draft Principles of Preservation Planning.”

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**APPENDIX A: “ACTION STRATEGY FOR PRESERVATION,” EXCERPT
FROM A PLAN FOR PRESERVATION: PROVIDENCE, RHODE ISLAND.**

Figure 6: ACTION STRATEGY FOR PRESERVATION

GOALS	ACTIONS	FIRST STEPS	TIMEFRAME	PARTICIPANTS
CITYWIDE Make preservation a priority in Providence.	1. Establish subcommittee/advisory board to City Plan Commission to oversee implementation of this plan.	<ul style="list-style-type: none"> a. Draft legislation. b. Establish mission, rules and procedures. c. Submit list of nominees to Mayor. 	immediate and ongoing	DPD, CPC, City Council, Mayor, Preservation Plan Steering Committee
	2. Promote heritage tourism as a form of economic development.	<ul style="list-style-type: none"> a. Create central visitors' center. b. Create self-guided tours in historic neighborhoods/downtown. c. Solicit coverage from national/foreign travel writers, local media. d. Promote attractions in conjunction with other RI destinations. e. Plan/promote heritage festivals. 	immediate and ongoing	RIDED, DPD, Convention and Visitors Bureau, Johnson Center, Johnson & Wales Tourism Program
	3. Recognize and protect more of Providence's historic resources.	<ul style="list-style-type: none"> a. Target new NR districts: Smith Hill, 20th c. b. Target new local districts: Doyle Ave., Smith Hill. c. Maintain PHDC staff levels, increase as needed. 	short term	RIHPC, DPD, City Council, Mayor, neighborhood groups
	4. Prepare/implement citywide demolition delay ordinance.	<ul style="list-style-type: none"> a. Revise model ordinance to include current NR listed/eligible properties. b. Solicit City Council and community support. 	short term	RPS, DPD, DIS, City Council, Mayor, neighborhood groups
	5. Establish interdepartmental review process for city projects affecting historic resources.	<ul style="list-style-type: none"> a. Executive mandate creating the process. b. Establish working group, build support among key personnel. c. Improve enforcement of zoning ordinance regarding variances for historic properties. 	short term	Mayor, department heads, key administrative personnel
	6. Establish local property tax credits for rehabilitation.	<ul style="list-style-type: none"> a. Research use of credits in other RI communities. b. Inform city and state officials of the benefits of credits, solicit their support. c. Draft legislation for submittal when local economy improves. 	long term	General Assembly, Mayor, DPD, Tax Assessor
	7. Strengthen technical skills of city staff and board/commission members involved in the city's physical development.	<ul style="list-style-type: none"> a. Perform organizational analysis, determine needed skills. b. Update job descriptions/qualifications. c. Educate employees. 	short term	DPD, DIS, DPW, municipal unions
	8. Promote protection of natural features (parks, open spaces, scenic views, street trees).	<ul style="list-style-type: none"> a. Identify features to preserve. b. Establish street tree ordinance, plant trees where appropriate. c. Establish overlay zones to protect views. d. Plan public open spaces for positive impact on streetscapes. 	short term	DPD, Sharpe Tree Fund, neighborhood groups

Figure 6: ACTION STRATEGY FOR PRESERVATION

GOALS	ACTIONS	FIRST STEPS	TIMEFRAME	PARTICIPANTS	
INSTITUTIONAL BUILDINGS Balance institutional expansion with the preservation of neighborhoods/city tax base.	1. Require institutional master plans to include inventory of historic properties, statement of intended use, regular maintenance program, and enforcement mechanisms. 2. Prepare an inventory and maintenance program for city-owned historic properties. 3. Establish site plan review process for institutional expansion/alteration/remodeling, especially adjacent to local historic districts and in adjacent to NR districts.	a. Amend the zoning ordinance regarding institutional master plans. b. Increase community involvement in institutional planning. a. Develop inventory data base; update regularly. b. Develop city policy/programs for preservation and maintenance of historic public properties. a. Establish criteria for evaluating institutional expansion, timeframes and review process. b. Draft ordinance, with input from institutions.	immediate and ongoing short term and ongoing short term	DPD, City Council, institutions, neighborhood groups RHPC, PPS, PHDC, City depts, responsible for properties DPD, City Council, institutions	
	LOCAL HISTORIC DISTRICTS Strengthen the mechanism for designation and administration of local historic districts	1. Maintain at least 2 full-time preservation planning staff positions in DPD.	a. Tighten job descriptions/qualifications to ensure hiring of preservation professionals. b. Maintain positions in budget.	immediate and ongoing	DPD, municipal unions
		2. Prepare Historic Districts Handbook and other educational materials for PHDC and property owners.	a. Edit draft Handbook; distribute to PHDC and staff as interim training manual. b. Seek grant funding for Handbook publication. c. Publish PHDC brochure in English and Spanish, seek grants for translating into other languages as needed. d. Provide annual notice to historic district property owners about review process.	short to mid term	PHDC staff
3. Clarify designation process through public meetings and direct contact with property owners.		a. Amend zoning ordinance to include designation criteria. b. Develop official petition form for designation proposals. c. Hold early informal public information meetings in neighborhoods where districts are proposed. d. Invite residents in prospective districts to attend PHDC meetings. e. Improve direct contact with property owners.	short term	DPD, PHDC, City Council, neighborhood groups, individual property owners	
4. Devise signage program for city gateways and local historic districts.		a. Identify funding sources, begin fundraising. b. Determine appropriate locations for signs. c. Design sign prototypes (design competition).	long term	DPD, DPW, RIDOT, local artists/art students	

Figure 6: ACTION STRATEGY FOR PRESERVATION

GOALS	ACTIONS	FIRST STEPS	TIMEFRAME	PARTICIPANTS
NEIGHBORHOOD CONSERVATION Preserve and protect the integrity of Providence's neighborhoods.	1. Establish a neighborhood conservation overlay zone, with review procedures for alterations, demolition and new construction. 2. Target code enforcement to specified neighborhoods on a rotating basis, while providing technical and financial assistance for home improvement. 3. Initiate vacant lot clean-up program and review process for new development on vacant lots in NR districts. 4. Amend zoning ordinance to require DPD comment on development proposals in NR districts. 5. Prepare neighborhood plans for each city neighborhood. 6. Make rehab loan funds available (revolving funds) for NR properties.	a. Survey NR districts and other areas to determine locations for neighborhood conservation zoning. b. Draft zoning amendment and design regulations (less restrictive than for local historic districts). c. Encourage neighborhood self-help repair training programs, tool lending shops. d. Add conservation zoning to PHDC Handbook.	short term	DPD, City Council, Mayor, neighborhood groups
		a. Identify local and NR districts with the most code violations, prioritize for enforcement. b. Restructure code enforcement program to include referrals to PHDC, where necessary, and retrain staff accordingly. c. Include preservation standards in minimum housing code standards.	immediate	DPD, DIS/Code Enforcement
		a. Secure additional funding for PRA Special Vacant Lot Program. b. Develop site plan review standards for new development on vacant lots in NR districts.	short term	DPD, PRA
		a. Define kinds of projects to be reviewed and establish trigger to notify DPD of proposals. b. Establish time frames and review guidelines. c. Prepare zoning amendment.	short term	DPD
		a. Establish citywide neighborhood planning process. b. Initiate prototype plans in 4 priority neighborhoods.	long term	DPD, neighborhood groups, preservation groups, local residents
		a. Identify neighborhoods with active organizations, experienced in loan administration. b. Establish revolving fund(s) as non-profits.	long term	DPD, neighborhood groups, local banks
DOWNTOWN Revitalize the downtown core and promote its historic, architectural and cultural character.	1. Implement the Downcity Plan.	a. Adopt the Downcity District overlay zone. b. Create design review process. c. Identify contributing and non-contributing buildings. d. Compile inventory of historic buildings suitable for reuse as residential and arts-related space. e. Explore financing options for adaptive reuse of historic buildings.	immediate	DPD

Figure 6: ACTION STRATEGY FOR PRESERVATION

GOALS	ACTIONS	FIRST STEPS	TIMEFRAME	PARTICIPANTS
INDUSTRIAL BUILDINGS Promote the adaptive reuse of historic industrial buildings and complexes.	<ol style="list-style-type: none"> 1. Survey industrial buildings for reuse potential. 2. Update building codes to facilitate adaptive reuse of industrial facilities. 	<ol style="list-style-type: none"> a. Seek grant funding for survey. b. Create data base for survey information. c. Use survey data to market industrial facilities for new uses. <ol style="list-style-type: none"> a. Draft state and local code revisions. b. Educate and train officials responsible for interpretation and enforcement of new regs. 	<p>short term</p> <p>long term</p>	<p>RIHPC, PPS</p> <p>state and local building officials, RIHPC</p>
WATERFRONT Encourage development of vacant or underutilized waterfront areas, including increased public access, while protecting water-dependent land uses.	<ol style="list-style-type: none"> 1. Prepare/implement design guidelines for the waterfront, in conjunction with Downcity and Old Harbor Plans. 	<ol style="list-style-type: none"> a. Update PPS draft waterfront guidelines, including heights, street patterns, views and public access. b. Draft zoning amendment. 	<p>short term</p>	<p>DPD, PPS, City Council, neighborhood groups</p>

KEY:

- DPD: Dept. of Planning and Development
- DIS: Dept. of Inspection and Standards
- DPW: Dept. of Public Works
- CPC: City Plan Commission
- PHDC: Providence Historic District Commission
- PRA: Providence Redevelopment Agency
- RIDOT: RI Dept. of Transportation
- RIHPC: RI Historical Preservation Commission
- RIDED: RI Dept. of Economic Development
- PPS: Providence Preservation Society
- SWAP: Stop Wasting Abandoned Property

**APPENDIX B: “SECTION 3: RECOMMENDATIONS,” EXCERPT FROM
PRESERVING COMMUNITY CHARACTER: CITY OF LANCASTER,
PENNSYLVANIA.**

SECTION 3: RECOMMENDATIONS

Lancaster's community character is an important asset that can be used to achieve a variety of social and economic goals for the city and its people. Yet recognition of the potential benefits of improving and using the city's identity in this way is quite low. The following recommendations are directly related to increasing public awareness of the city's rich history, its cultural diversity, and its physical attributes. They are intended as first steps toward improving the quality of life for all those who live and work in City of Lancaster.

Community Character Education

It is vital that all Lancastrians realize what is truly significant about the character of our city: the diversity of our people, the strengths of our social institutions, and the character of our historic built environment. Awareness of these elements, along with an understanding of how all people within the community relate to these elements, will promote community harmony and will strengthen individual commitment to improving the physical and social condition of Lancaster.

The community needs to continue the process begun by this study to define the strengths and weakness of our community character and the role our people play in defining that character. As people become more aware of the significance and condition of their neighborhoods, they will be more likely to take meaningful action to make improvements. This specifically includes a need to document and promote minority communities within the city with an eye toward improving understanding between them and the community at large.

- 1) **Audio/Visual Presentation** - A presentation to increase community character awareness; Who should lead it: Historic Preservation Trust (HPT); How could it be paid for: Donated services with seed money from City, Pennsylvania Historical and Museum Commission (PHMC), local corporations and foundations (C&F)
- 2) **Rehabilitation/Maintenance Handbook** - A handbook that provides guidelines for rehabilitating existing buildings in the city and addresses strategies for reducing rehabilitation and maintenance costs while preserving community character; Who should lead it: City, HPT; How could it be paid for: City, PHMC, C&F
- 3) **Demonstration Projects** - Aspects of community character preservation should be demonstrated through tangible projects; this can initially be accomplished through ongoing programs underway by such groups as SACA, Habitat for Humanity, the City of Lancaster's Housing Rehabilitation Program, etc. ; Who should lead it: City, HPT; How could it be paid for: through existing programs and sources to be identified
- 4) **Document Minority History** - A program to document the history of Lancaster's primary minority populations, African-Americans and Latinos; examining the historic and potential contributions of these communities to the physical character of the city and promoting the preservation of buildings and neighborhoods associated with these groups; Who should lead it: HPT, Lancaster County Historical Society (LCHS), and minority representatives; How could it be paid for: City, PHMC, C&F
- 5) **Community Character in the Schools** - Educational programs about community character and heritage are in place in many areas of the country and should be examined to identify methods to introduce heritage education into the city's elementary and secondary curriculums; Who should lead it: School District with assistance of HPT and LCHS; How could it be paid for: School District of Lancaster, PHMC, C&F
- 6) **Newspaper Series** - A series of articles describing aspects of Lancaster's history and community character; Who should lead it: to be identified

Neighborhood Focus

Downtown revitalization efforts that have occurred throughout this country over the past thirty-five years have shown us that community vitality is best preserved and strengthened at the neighborhood level. Lancaster's neighborhoods should be the focus of community revitalization activity. The community should develop effective mechanisms to promote and reinforce the special

KEY: C&F: local corporations and foundations; D.I.D.: Downtown Investment District; ECPRC: Exterior Commercial Property Review Committee; HARB: Historical Architectural Board of Review; HPT: Historic Preservation Trust; LCHS: Lancaster County Historical Society; NTHHP: National Trust for Historic Preservation; PHMC: Pennsylvania Historical and Museum Commission; SACA: Spanish American Civic Association

qualities and character of our neighborhoods, foster and promote active neighborhood associations, and broaden their focus to include the preservation of neighborhood character.

Strong neighborhoods require the commitment and involvement of the residents who live in them. A strong, vital, and healthy community character can only be created at the grassroots level. Government can provide a framework, but the building must occur from within the community.

- 1) **Neighborhood Task Force** - An effort similar to the Downtown Task Force is needed to continue to define neighborhood issues, to promote the significant role of neighborhoods to the overall vitality of the city, and to begin establishing a more formalized role for neighborhoods within the city planning and political processes. Who should lead it: City; How could it be paid for: City, C&F
- 2) **Neighborhood Study** - A comprehensive study is needed to document the historical development of the City's neighborhoods and to serve as a basis for developing neighborhood awareness. In addition, the study should identify existing groups, assist the Neighborhood Council and other parties in networking among them, suggest possible definition/redefinition of neighborhoods in order to foster groups where none currently exist, and make recommendations to the City on methods to formalize communication from such groups. Who should lead it: City, HPT, LCHS; How could it be paid for: City, PHMC, C&F
- 3) **Incentive Programs** - A series of incentive programs, such as property tax abatements for community character enhancement, formal involvement of neighborhood associations within city government, etc., should be developed. Who should lead it: City, Neighborhood Task Force; How could it be paid for: City

Historic Preservation as a Tool

The role of historic preservation in Lancaster has been limited in recent years and, for many, the term has come to mean design control and costly restoration of landmark buildings. Yet there are many successful examples of the adaptive re-use of old and historic buildings and the strengthening of neighborhoods by focusing on their physical character. They indicate that a broader and more flexible interpretation of historic preservation can be used as an important tool for meeting primary community goals involving economic development, housing, and the preservation of our community's character.

- 1) **Building Survey** - The existing Historic Sites Survey maintained by the Historic Preservation Trust should be updated and expanded. The existing survey documents only a fraction of the total building stock within the city. Who should lead it: City; HPT; How could it be paid for: City, Community Development funding, PHMC
- 2) **Preservation Education Project (PEP II)** - The Historic Preservation Trust completed its first Preservation Education Project (PEP) in 1981. The Preservation Education Project II (PEP II) would be a program to inform property owners, developers, investors, etc. about the Secretary of the Interior's Standards, the use of federal tax incentives, and their responsibilities for, and strategies for responding to, compliance with state and federal review requirements (Section 106, etc.). The material would be applicable to both publicly assisted and private providers of both owner-occupied and rental properties and a variety of economic development programs and activities. Who should lead it: HPT with assistance from the Lancaster Chamber; How could it be paid for: Community Development funding, PHMC, City, C&F
- 3) **Tourism Development Utilizing Community Character** - The Historic Preservation Trust should sponsor a workshop in cooperation with the Lancaster Chamber of Commerce, the D.I.D. Authority, the Pennsylvania Dutch Visitors Bureau and other interested parties, to discuss strategies for utilizing community character to promote tourism in the City of Lancaster. Specifically, materials from the Heritage Development and Heritage Tourism initiatives of the National Trust for Historic Preservation should be examined and discussed for their applicability to local needs. Who should lead it: HPT with assistance from D.I.D. (as this relates to the D.I.D. area) and Lancaster Chamber; How could it be paid for: National Trust for Historic Preservation (NTFHP), C&F
- 4) **National Register District for Downtown** - The National Register district proposed for downtown several years ago should be reconsidered. National Register listing would add no additional design review or other regulatory restrictions on property owners. It would allow them to utilize federal tax incentives for rehabilitating their buildings. Who should lead it: Lancaster Chamber and HPT, with input from D.I.D. (as this relates to the D.I.D. area); How could it be paid for: HPT, PHMC, donations

KEY: C&F: local corporations and foundations; D.I.D.: Downtown Investment District; ECPRC: Exterior Commercial Property Review Committee; HARB: Historical Architectural Board of Review; HPT: Historic Preservation Trust; LCHS: Lancaster County Historical Society; NTFHP: National Trust for Historic Preservation; PHMC: Pennsylvania Historical and Museum Commission; SACA: Spanish American Civic Association

Minority Involvement

Ethnic, cultural, social, and religious diversity has historically been, and should remain, a primary character-defining element of our community. However, the role of present day minority communities within this tradition is not well understood by the community as a whole. Documenting and promoting the historic contributions of longstanding minority communities, such as African-Americans, and the the emerging role of our newer minority communities, notably people of Latino and Asian origin, will promote community pride within those minorities and will foster greater understanding among all people in the city.

A program to document the history of Lancaster's primary minority populations, African-Americans and Latinos, should be actively pursued. It is essential that the history and cultural traditions of these communities be recognized and respected. Further, the historic and potential contributions of these communities to the physical character of the city should be examined.

- 1) **Respect for Cultural Diversity Through Community Character Related Programs** - Lancaster's cultural diversity is one of its strongest assets and helps to define much of the community's character. Specific mechanisms must be developed to incorporate cultural diversity within existing community character-related programs. Who should lead it: City with assistance from HPT; How could it be paid for: Community Development funding, PHMC, City, C&F, NTFHP
Design review guidelines for historic districts and the ECPRC should respect cultural diversity, provide improved access for minority communities, and provide additional flexibility to accommodate financial hardship. Design review requirements modified to accommodate creative methods to reduce the rehabilitation and maintenance costs of old and historic buildings based on the proposed Rehabilitation/Maintenance Handbook.
Technical assistance programs should be developed to aid applicants from minority communities in working with the HARB, ECPRC, and all other city permitting and review processes involving building construction or remodeling. This should include the development of multi-lingual brochures and design guideline publications; the identification of staff or volunteer liaison persons between the boards and minority applicants; and the development of methods to assist non-English speaking individuals in their presentations.
Minority Representation. The ECPRC has taken steps to include minority representation in its membership; these efforts should be continued. Minority representation on the HARB should be developed.

Community Design Consensus

If we are to preserve this community's special character, the people of Lancaster must begin to develop a consensus as to what we want the city to look like in the future, how we want to see our traditional buildings maintained, and what we collectively want to see in terms of new construction. This need not be a mandated set of standards; rather it should serve as benchmark to promote a common acceptance of what Lancastrians like about their community and how this should be reflected in design. For those areas of the city where design review control is present, such a process will help to address more adequately the specific needs of individual neighborhoods and accommodate cultural diversity.

- 1) **Community Design Consensus Process** - A written downtown design consensus should be developed to help shape growth and development within the city. The consensus should be a broad statement of general design principles that reflects the diversity of both the central business district and the neighborhoods and that addresses new construction, infill construction, and the rehabilitation of existing structures. The consensus should serve as basis for the development of more detailed guidelines. The consensus should be developed through a process that involves all aspects of the community. Who should lead it: City, HPT, D.I.D. (as this relates to the D.I.D. area), Lancaster Chamber; How could it be paid for: Community Development funding, PHMC, City, C&F
- 2) **Rehabilitation/Maintenance Handbook (Minimum Maintenance Guidelines)** - A brief, concise (i.e. 2-3 pages) set of simple building and maintenance guidelines, based upon the

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Maintenance/Rehabilitation Handbook designed to promote the preservation of community character should be developed. The guidelines should be a widely distributed and easily understood document and should become a guideline promoted by the City and other groups. Who should lead it: City, HPT; How could it be paid for: Community Development funding, PHMC, City, C&F, NTFHP

- 3) **Detailed Neighborhood Conservation Guidelines** - Using the Maintenance/Rehabilitation Handbook and the Community Design Consensus Process as a background, these guidelines would explore design issues and recommendations for the city as a whole as well as for characteristic areas of the city (central business district, like neighborhoods, etc.). The guidelines would illustrate principals for maintenance, restoration, additions, and new construction using specific examples. The guidelines would also deal with streetscapes, alleyways, and other public spaces. Separate chapters, or specific publications, would review issues related to different areas of the city. The guidelines would provide information to property owners, but would also establish a basis for long-term City policy and infrastructure improvements. Who should lead it: City, HPT; How could it be paid for: Community Development funding, PHMC, City, C&F, NTFHP

HARB/ECPRC New design review guidelines and publications should be developed for the HARB and ECPRC based upon the Detailed Neighborhood Conservation Guidelines.

Comprehensive Plan

The preservation of Community Character should be an integral component of Lancaster City's new Comprehensive Plan.

A comprehensive plan serves as a blueprint for managing growth, development and change within a community. The plan serves as the basis for creating and revising planning and zoning processes. The City of Lancaster is in the process of developing a new comprehensive plan. It is essential that a detailed assessment of community character be a component of this plan and that community character be a consistent theme throughout the document. If we do not clearly spell out what it is we as a community want to preserve, strengthen, or change about our community's character in coming years through this document, we will have missed an important opportunity.

- 1) **Community Character Vision** - As part of the comprehensive planning process, the city should work to develop an overall vision as to what the community character of Lancaster should be in the future. This statement should serve as a basis for the comprehensive plan itself. Who should lead it: City; How could it be paid for: through comprehensive planning process
- 2) **Community Character Coordination with Other Studies** - The City should ensure that the preservation and enhancement of Community character becomes an integral component of all current and proposed planning efforts. Who should lead it: City; How could it be paid for: Through the studies themselves
Partnership for Affordable Housing/Enterprise Foundation. Community character should be integrated into the housing study currently being conducted for the city.
- 3) **Develop Historic Preservation Expertise Within City Planning Staff** - The City should seek to ensure that at least one member of the planning staff have professional training in historic preservation. This could be accommodated as new staff is added or replaced within the staff or by providing an existing staff member with external training opportunities (such as the certificate program in historic preservation offered by Harrisburg Area Community College). In addition, a training seminar should be developed with the cooperation of the Historic Preservation Trust to provide an introduction to historic preservation to the city planning staff and appropriate review board members. Who should lead it: City; How could it be paid for: City
- 4) **Coordination of Community Character Preservation and City Codes and Planning and Zoning Documents** - Revisions and additions should be made to existing city codes and planning and zoning mechanisms to promote the preservation of community character through the rehabilitation of existing buildings. Who should lead it: City, HPT; How could it be paid for: City, PHMC

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**APPENDIX C: “GOALS AND OBJECTIVES,” EXCERPT FROM
PRESERVATION IN STAUNTON: A COMPREHENSIVE HISTORIC
PRESERVATION PLAN FOR STAUNTON, VIRGINIA**

GOALS AND OBJECTIVES

GOAL 1: To recognize officially the important role of historic preservation in the life of the City and ensure that all municipal actions reflect a policy of preservation

Objectives

- to develop an official historic preservation policy to guide the City in its decision making
- to incorporate historic preservation concerns into the long-range planning and development process in Staunton
- to integrate historic preservation concerns into the daily operations of city government

Activities:

1.01 Adopt a policy statement or resolution by City Council that pledges the City to a policy of wise use of all its historic resources in recognition of the following:

- that the city's historically and architecturally significant neighborhoods constitute a unique and irreplaceable resource
- that these neighborhoods provide important physical links with the past and increase the enjoyment and quality of life in Staunton
- that historic buildings, if used and rehabilitated, can have a significant and substantial impact on the city's economy, particularly in the central business district and in the city's potential to increase tourism. (City, ARB, HSF)

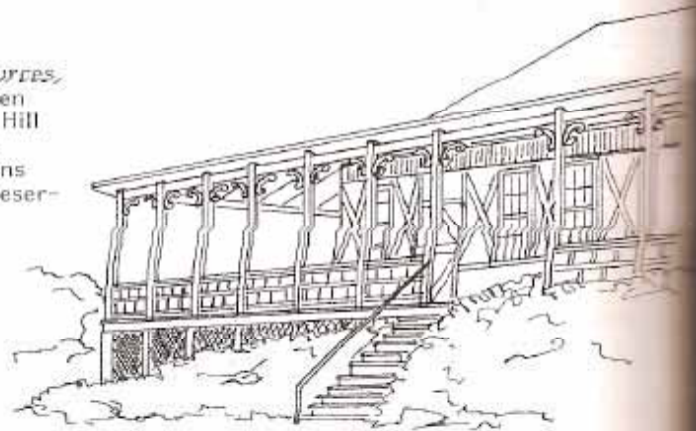
1.02 Formally define the relationship between the City of Staunton and HSF to ensure that a historic preservation ethic is represented and considered in all significant decisions that affect the preservation, development, and use of historic resources. (City, HSF)

1.03 For example, HSF should be asked to participate in the development of each subsequent comprehensive plan and all partial plans that may affect historic resources and to offer an official opinion on the potential impacts of any proposals on historic resources. (City, HSF, CSPDC)

- b. Request the advice of HSF on matters of preservation policy and expenditures in development of the city's strategic plan by the Mayor, City Council, and City Manager. Areas of concern should include capital improvement expenditures for the city's historic resources and municipal actions within historic areas of the city. *(HSF, City)*
- c. Establish a more precise and accountable relationship between the City of Staunton and HSF in a letter of agreement or contract clearly delineating specific level of funding that is tied to a scope of services and products. HSF has the potential to provide a number of consultant services to the City including *but not limited to advice on zoning, design review, and other issues in historic areas; highway and parking plans; and housing.* Such an agreement should delineate the specific issues and geographic areas of the city in which HSF has an interest and in which its advice will be of benefit to the city. *(City, HSF)* Activities included in this plan that could be performed by HSF for the City are noted with an asterisk*.

1.03 Identify historically and architecturally significant resources that are owned, maintained, regulated, or managed by the City of Staunton.

City-owned resources, such as the Garden Center in Gypsy Hill Park, need to be identified and plans made for their preservation.



These resources are expected to include but not necessarily be limited to city-owned buildings and open space, limestone curbs, retaining walls, street trees, and sidewalks.* (HSF, City, ARB)

1.04 Endorse the *Secretary of the Interior's Standards for Rehabilitation* as official policy for all maintenance, rehabilitations, and other actions undertaken for significant city property. (City, HSF, ARB)

1.05 Adopt the City's comprehensive plan which will include materials from this comprehensive preservation plan. (City, HSF, CSPDC)

1.06 Include expenditures for identified historic resources in the City's capital improvements plan, including civic amenities that are part of or enhance the historic environment. These may include but not necessarily be limited to street trees, lighting, and specialty pavement. (City, HSF, SURE, CC)

1.07 Include funds for the maintenance, repair, and replacement of the City's identified historic resources in the annual public works budget. (City, HSF, SURE, CC, RMA)

1.08 Review and revise land development regulations so that they are protective of historic resources.* (City, HSF, CSPDC) [Goal 4 deals with these recommendations in more detail.]

1.09 Develop an economic development plan that while recognizing the need for new residential, commercial, and industrial development - particularly in the newly annexed area - also promotes the rehabilitation, reuse, and adaptive use (where appropriate) of the city's historic resources. (City, SURE, HSF, CC, CSPDC, BOR)

1.10 Develop feasibility and marketing studies for the vacant Robert E. Lee High School with an eye toward recruiting investors. Determine and coordinate efforts and responsibilities among the various groups interested in this large vacant building. (City, SURE, BOR, HSF, CC)

1.11 Update the Transportation Plan with concern for the projected impact on historic preservation as well as improvement of traffic flow and parking in the city giving particular attention to the proposals identified in the Conditions/Issues Section. (City, HSF, SURE, VDOT, CSPDC)

1.12 Meet regularly with representatives of the Virginia Department of Transportation to ensure that all highway plans and other proposals are designed to avoid adverse impacts on the city's historic resources. All plans should be investigated to ensure compliance with environmental review requirements. (City, HSF, SURE)

1.13 Educate and inform city staff, through workshops conducted by HSF, of the importance and the proper methods of preserving, repairing, and replacing in-kind (where necessary) the historic resources that are affected by the city's various departments.* (HSF, City, ARB)

1.14 Direct city staff to consider the impact of all decisions and activities on both publicly and privately owned historic resources. Whenever a decision is made to remove or substantially alter a historic resource for health and safety, economic, or other concerns, request the advice of HSF in reducing the harmful impact of such action. (City, HSF, ARB)

1.15 Continue to enforce building codes, fire codes, occupancy permit conditions, trash pickup, etc., in accordance with designated standards. Careful and conscientious management of Staunton's historic environment will help make the city an attractive place to live, work, visit, and invest, thereby maintaining and increasing the demand for historic buildings for residential and commercial uses. (City)

1.16 Develop and enforce a city policy and standards for the maintenance and replanting of street trees in keeping with the historic preservation policy established above. (City, BC, HSF, SURE)

a. Develop and enforce a city policy and standards for the pruning of street trees by public utility companies and their subcontractors in keeping with the historic preservation policy established above. (City, HSF)

- b. Add an arborist to the City's Parks and Recreation staff to direct all maintenance of existing vegetation and placement and selection of new plantings in a manner compatible with the city's historic environment. (City)

1.17 Develop a set of mandatory, recommended, and acceptable conferences that city officials and staff can attend. Suggested organizations with meetings of importance to preservation to the City of Staunton include but should not be limited to: HSF, Preservation Alliance of Virginia, Virginia Downtown Development Association, the National Trust for Historic Preservation, Association for Preservation Technology, and Metropolitan Tree Institute of America. (City)

GOAL 2: To complete the comprehensive investigation, documentation, evaluation, and registration of Staunton's historic resources

Objective

- to identify and register all historic resources eligible for listing in the National Register of Historic Places

Activities

2.01 Complete the comprehensive inventory of the historic resources of the city, giving special attention to the geographic and thematic areas identified in the Study Unit and Conditions/Issues sections of this report. Special attention should also be given to archaeological resources. This inventory should proceed with the newly annexed area first, then on to endangered transportation resources such as bridges, and then to 20th-century neighborhoods. Further priorities should be established by HSF as staff capabilities and funding allow.* (HSF, VDHL)

2.02 Use the results of future inventories to prepare and submit National Register nominations for eligible properties identified.* (HSE, VDHL)

2.03 Compile for the City of Staunton a specific inventory list, keyed to a map, of all historic resources located on public property.* (HSF, City)

2.04 Undertake boundary evaluation of existing National Register districts; complete inventory in areas where expanded districts are desirable; and submit revised district edges where appropriate.* (HSF, VDHL)

2.05 Review all existing inventory data and National Register nominations to make sure that all contributing buildings and elements in each district are identified as such to assist the City in making planning and maintenance decisions.* (HSF)

GOAL 3: To encourage a community-wide preservation ethic through preservation education

Objectives

- o to increase city-wide knowledge about historic resources, the value and benefits of preservation, and effective preservation tools and techniques
- o to increase preservation awareness among the city's decision makers

Activities

3.01 Continue activities of Historic Staunton Foundation in completing an architectural survey of the city and publicizing its findings.* (HSF)

3.02 Continue educational activities of Historic Staunton Foundation for the groups listed below. These include activities such as lecture series, school programs, slide shows, walking tours, and publications. (All activities are assumed to be the responsibility of HSF unless otherwise noted.)

- a. for board members, staff, interns, and regular volunteers:
 - o continued organizational and individual memberships in state and national preservation organizations and continued subscriptions to the publications of other preservation groups
 - o attendance at national, state, and regional preservation meetings, particularly those that are focused on specific issues of concern and interest to Staunton
 - o continued dissemination of information as discovered from historical and architectural investigations

- b. for general membership:
 - continuation of lecture series, newsletter, and other activities aimed primarily at members
 - continued notices in the HSF newsletter of events, publications, and meetings of interest to preservationists
- c. for city leaders:
 - increase preservation awareness among the city's decision makers through regular contact by HSF, distribution of HSF's newsletters, regular presentations on preservation, and similar efforts (HSF, City)
 - target specific groups for special programs, such as city officials, members of major organizations, bankers, real estate firms, staff and board members of related organizations, and merchants, that are essential to the success of historic preservation
 - identify city officials and other key individuals who are in paid or volunteer positions that have a major impact on Staunton's historic resources and encourage each to attend at least one preservation, marketing, business recruitment, or related conference, workshop, or short course annually (incentives such as full or partial reimbursement for registration fees or compensatory time for paid personnel may be considered) (HSF, City)
 - identify leaders in each neighborhood or historic district to establish a neighborhood advisory council that meets quarterly and serves as an advocate for neighborhood conservation, determines joint issues of concern, and develops strategies to improve transportation, zoning, and other issues of importance to both preservationists and neighborhoods
- d. for school children:
 - evaluate current school-based programs oriented primarily at the fourth grade level and expand as funding, staff and volunteer capabilities, and local interest and support allow
 - continue involvement in statewide heritage education efforts of the Preservation Alliance of Virginia and other groups' heritage education efforts

Fourth grade students in the Staunton Public Schools work on HSF's heritage education unit.



- e. for contractors and craftsmen:
 - develop and conduct workshops for craftsmen and contractors and/or give scholarships to same to attend workshops sponsored by other groups
 - investigate and determine the potential for expansion of school programs into such areas as vocational education as a means of educating future contractors and craftsmen who may be involved in historic rehabilitation projects in Staunton in the future.
 - evaluate the feasibility of sponsoring an actual rehabilitation project through a vocational education class
- f. for the general population:
 - develop and print in the newspaper annually (perhaps in conjunction with "Spring Cleaning" program if it is reinstated) an inspection checklist to encourage property owners and tenants to undertake annual maintenance (Such a checklist could be based on that of *The Old House Journal* and also offer basic hints on proper techniques such as cleaning masonry, repairing windows, etc.)* (HSF, SL)

- increase publicity of preservation publications, slide shows, videotapes, and products and make materials more readily available to the general public by having checkout copies available in the library and at City Hall as appropriate* (HSF, LB)
 - develop a home improvement brochure oriented to the lay reader (that includes information on the HSF Facade Improvement Program and that incorporates the principles of the *Secretary of the Interior's Standards for Rehabilitation*) and have copies available at City Hall for building permit applicants and at area hardware and home improvement stores* (HSF, HA, BOR)
 - make property owners aware of elements such as brackets, gates, trees, etc., that may be at risk by workmen
 - use the *Preserving Staunton* column to inform the general public about the significance of its historic streetscape elements, threats to those resources, and appropriate ways to maintain, repair, and replace them* (HSF, SL)
- g. for visitors:
- continue to distribute walking tour brochures, provide summer guided walking tours, and develop special interest tours as repeat visitation demands* (HSF, TAB, WWBF, MAFC)

3.03 Increase efforts to celebrate National Historic Preservation Week each year to promote knowledge about and understanding of historic preservation. Designate Preservation Week officially with a proclamation issued by the City Council and commemorate it with city-wide activities and observances to reinforce the importance of preservation to the entire community. (HSF, City)

3.04 Hold both formal and informal meetings on the proposed historic district and demolition ordinances to promote understanding of the concepts of both and to gain community support. (HSF, City)

3.05 Publicize the Facade Improvement Program in residential neighborhoods to increase its use. (HSF)

3.06 Publicize the Investment Tax Credit regulations in the local media. (HSF, SURE)

GOAL 4: To encourage appropriate rehabilitations as a means of preserving Staunton's historic resources for present and future generations to enjoy

Objectives

- to maintain and rehabilitate Staunton's historic buildings as both visual and historic assets
- to make wise and appropriate use of Staunton's historic buildings and to encourage rehabilitation of existing buildings over their demolition for new construction

Activities

4.01 Encourage voluntary use by property owners and tenants of the *Secretary of the Interior's Standards for Rehabilitation* for all historic buildings. (HSF)

4.02 Continue design assistance through the Facade Improvement Program of Historic Staunton Foundation and expand educational aspects of the program.* (HSF)

4.03 Continue to encourage the Wharf Historic District revitalization efforts through both building rehabilitation efforts and through streetscape improvements coordinated with the Middlebrook Avenue and Train Station projects. (HSF, City, SURE, CC, RMA)

4.04 Encourage use of the Facade Improvement Program in residential areas through activities such as the expansion of the "Residential Rehabilitation" packet and with brochures such as *Owning and Renovating Older Properties in Staunton*. (HSF, BOR)

FACADE IMPROVEMENT PROGRAM RESIDENTIAL REHABILITATION



Thank you for requesting Historic Staunton Foundation for assistance in rehabilitating your residential property. We have prepared this small packet of information to help you with your project.

Several important guides to preservation work are a part of this packet. We have included:

- Principles for residential rehabilitation
- A list of common questions in the rehabilitation of old houses, along with recommended solutions
- A guide to painting authentic exteriors
- Details for additional information



Where available, we have also included individual information on your property. If your house is a part of our architectural survey of the city, you will find a copy of our Inventory sheet. Furthermore, we will include a style sheet and paint recommendations where appropriate.



Special planning should be undertaken prior to beginning your rehabilitation project. The Historic Preservation guidelines and plan accordingly. Schedule your work so that the tasks follow a logical order -- for example, do not finish a brick fireplace, or a tile patio, until the work that will follow the finished project is done. If your project is a large one, it may be worthwhile to obtain the services of a professional experienced in the rehabilitation of historic buildings.



To help you with your project, we offer free design services as a benefit of membership. In other words, property owners in the selection of paint colors. General guidance on rehabilitation techniques can also be obtained from the HSF staff. Furthermore, specific preservation questions for residential properties can be addressed on a non-fee basis as the way of the common questions on rehabilitation.

Best of luck on your project!

Expanded services are needed to help residential property owners with their renovation work.

 HISTORIC STAUNTON FOUNDATION
BOX 2534 STAUNTON - VIRGINIA 24401 703 885-7676

4.05 Continue the purchase by Historic Staunton Foundation of significant endangered buildings for resale with protective covenants to owners who agree to rehabilitate in accordance with the *Secretary of the Interior's Standards for Rehabilitation*. (HSF)

4.06 Undertake a local easement donation program (both facade and open space) to protect Staunton's unique architectural fabric. (HSF, VDHL)

4.07 Encourage land use policies that follow historic land use practices as a disincentive toward demolition for new uses. (City, HSF, CSPDC)

4.08 Encourage and assist property owners in development of feasibility studies for vacant or endangered historic buildings - particularly in and near the historic downtown - with an eye toward recruiting investors. *Determine and coordinate efforts and responsibilities.* (SURE, HSF, BOR)

4.09 Develop market strategies for key buildings and land parcels. (SURE, City, HSF)

4.10 Provide design, financial, and other assistance to potential developers for "white elephants" and other vacant or underutilized buildings.* (HSF, City, SURE)

4.11 Publicize the advantages of using the preservation incentives of the Investment Tax Credits and encourage their continued use in the rehabilitation of income-producing properties. (HSF, SURF)

GOAL 5: To use public sector techniques such as ordinances and capital expenditures to protect and enhance the city's historic built environment

Objectives

- to use governmental tools and techniques to protect historic resources and adjacent areas and to make city ordinances work for, and not against, the goals of historic preservation and neighborhood integrity
- to use expenditures of public dollars to finance public improvements that will improve the appearance and function of the central business district
- to use expenditures of public dollars to improve the appearance and function of the city's historic neighborhoods in recognition of the fact that people buy in certain areas of the city because of such amenities as brick sidewalks and shade trees

Activities

5.01 Review and revise the existing zoning and subdivision ordinances so that they can be applied to historic neighborhoods without a negative impact on the historic architectural fabric. The HSF/Planning Commission Zoning Study Paper recommendations for changes in zoning categories in specific areas should be implemented to protect historic buildings from increased threat of demolition.* (City, HSF, CSPDC)

5.02 Create for the historic central business district a historic district ordinance establishing a board of architectural review to issue certificates of appropriateness for new construction, exterior alterations of existing buildings, and demolition. Use staff of HSF as professional advisor to the board.* (City, HSF)

5.03 Develop guidelines and standards for acceptable exterior alterations and new construction.* (HSF, City, ARB)

5.04 Create a demolition ordinance requiring a certificate of appropriateness before demolition of any building considered to be a contributing element in any of the city's National Register districts or listed individually (or eligible for individual listing) in the National Register of Historic Places. (City, HSF)

5.05 Undertake a signing study with an eye toward reviewing and revising the sign ordinance so that it allows for creative but appropriate signs in the entire city, especially in the historic central business district.* (City, HSF, SURE, CSPDC)

5.06 Identify and visually enhance the major vehicular entrance points to the city in accordance with the proposals included in the city's downtown plan and streetscape study. (City, SURE, HSF)

5.07 Develop and implement a coordinated and attractive signing system identifying major attractions and institutions in the city and directing motorists to them.* (SURE, HSF, City, TAB)

5.08 Retain, repair, and replace in-kind where necessary, historic streetscape elements such as limestone and granite curbs and retaining walls. (City, HSF)

5.09 Establish a street tree planting and maintenance program for the city.* (City, HSF, SURE, BC)

5.10 Undertake a historic landscape rehabilitation of Gypsy Hill Park. Inventory existing plant material and design elements and undertake appropriate historic research to understand the park in its period of significance. Attempt to save what historic fabric remains and make future modifications that are sensitive to this context.* (City, HSF, PR, BC)

5.11 Upgrade above-ground and below-ground utilities (street lights, water, sewer, etc.) in historic neighborhoods to make these areas more desirable places for people to live and make investments. (City, HSF)

5.12 Make necessary sidewalk repairs, keeping the same historic alignment, height, width, and materials. It should be noted that the least expensive action is not necessarily the best. (City, HSF)

5.13 Maintain, repair, and replace limestone curbs where they exist. (City, HSF)

5.14 Locate necessary above-ground utilities funded as part of an increased capital improvements program (including but not limited to electric substations and transformers, sanitary sewer pump stations, water towers) where there is little or no impact on historic resources. (City, HSF)

GOAL 6: To implement coordinated physical improvements and streetscape amenities as part of an overall downtown revitalization program

Objective

- to increase the ability of the historic central business district to keep and attract businesses, shoppers, and investors

Overhead wires and cluttered signs detract from streetscape.



Activities

6.01 Adopt and begin implementing the downtown plan as discussed in the Conditions/Issues Section of this report concentrating on adding streetscape amenities that will improve the function and appearance of the area for both pedestrians and motorists. Major emphasis should be focused on removal of overhead wires and upgrading of underground infrastructure (water, sewer, etc.) to make the area more attractive and increase its capacity for intensive rehabilitation of historic buildings and appropriate redevelopment of vacant parcels. (City, HSF, SURE, CSPDC)

6.02 Place different street light posts, luminaries, and lamps in the downtown and call for community input to determine preferred choices. (City, HSF, SURE)

6.03 Implement streetscape improvements in the Wharf Historic District that tie in with the proposed widening of Middlebrook Avenue and are complimentary with the improvements in the Wharf Parking and Pedestrian Center. (City, HSF, SURE)

6.04 Determine the feasibility of establishing a special tax district to assist in financing downtown improvements. (City, SURE, HSF, CC, RMA)

GOAL 7: To use economic development techniques to accomplish historic preservation goals

Objectives

- to increase the amount of used square footage in historic buildings in the downtown and thus to reduce the potential threat of demolition and the possible negative impact of neglect for vacant and underutilized buildings
- to increase the revenues from sales and property taxes and increase the number of jobs in the historic central business district
- to increase cooperative efforts of City of Staunton, SURE, Historic Staunton Foundation, the Chamber of Commerce, and others in business retention and recruitment in the downtown

Activities

- 7.01 Strive for a more balanced use of all four points of the successful Main Street program approach that combines economic restructuring, promotions, coordination, and quality design for successful revitalization in historic downtowns. (SURE, City, HSF, CC, RMA)
- 7.02 Undertake economic restructuring activities that build a downtown based on specialty shops, professional services, and quality housing. (SURE, City, CC, RMA, HSF)
- 7.03 Develop a sound marketing study delineating problems and potentials of the downtown and implement its recommendations. (SURE, City, CC, RMA)
- 7.04 Recruit new investors both locally and from out of town to rehabilitate historic buildings, redevelop vacant parcels, and open new businesses. (SURE, CC, City, HSF)
- 7.05 Continue to develop and publicize financial incentives for investors. (SURE, HSF, City, CC)
- 7.06 Develop and offer incentives for quality residential rehabilitation in historic buildings in and adjacent to downtown. (SURE, HSF, City, CC)
- 7.07 Conduct periodic shoppers' surveys to identify trends, physical improvements most likely to pay off in increased sales revenues, and market characteristics during different seasons and shopping periods. (SURE, RMA)
- 7.08 Identify gaps in the retail mix of downtown and be aggressive in trying to fill those gaps to make downtown a successful specialty shopping area. (SURE, CC, RMA)
- 7.09 Determine the potential for new office development in the downtown and encourage the conversion of upper floors and other nonretail space for office development. (SURE, HSF, CC, City)

7.10 Conduct a periodic study and publicize results demonstrating the positive economic benefits in increased jobs, tax revenues, etc.* (SURE, HSF, CC, RMA, City)

GOAL 8: To make traffic flow and parking more efficient and less disruptive in historic areas

Objectives

- = to increase parking opportunities and improve access to existing parking areas in the downtown area
- = to provide adequate and appropriate parking in historic neighborhoods

Activities

8.01 Reassess the potential impacts of the transportation proposals discussed in the Conditions/Issues Section and make revisions where possible to protect historic resources and their environments. (HSF, City)

8.02 Study all one-way streets to determine both efficiency and motorists' visual impressions under the current system and consider making revisions to the current system where called for. (City, HSF, SURE)

8.03 Undertake a central business district parking study of private and public parking, on-street and off-street parking, metered and timed parking, loading and other special parking zones, and directional and informational signs to parking areas to determine the capacity, efficiency, and accessibility of existing parking in the downtown. This should build on SURE's 1987 parking survey. (City, SURE, HSF, RMA)

8.04 Develop a master plan to improve the efficiency and increase the capacity, if necessary, of downtown parking without loss of historic buildings. (City, SURE, HSF, RMA)

8.05 Encourage screening and landscape improvements for privately owned parking lots by offering design assistance. (HSF, City)

8.06 Appoint a parking authority as recommended in the SURE Parking Study Paper to consolidate management of parking in one department. (City)

8.07 Establish permit parking in neighborhoods at the request of residents. (City)

8.08 Institute realistic off-street parking requirements for each zoning category.* (City, HSF, CSPDC)

8.09 Offer design assistance to institutions, particularly churches, looking for ways to increase parking opportunities in historic neighborhoods. (HSF)

8.10 Encourage institutions located in historic neighborhoods to use existing on-street parking, car pools, buses, and other alternatives to the demolition of historic buildings to provide additional parking. (HSF, City, SURE)

GOAL 9: To increase awareness and stewardship of historic resources among Staunton's institutional property owners

Objective

- o to increase among the City's institutional property owners (the Commonwealth of Virginia, County of Augusta, Mary Baldwin College, Stuart Hall School, and numerous churches) a sense of the significance for the historic resources they own or control and to reduce any negative or potentially negative impact these institutions exert on adjacent historic resources.

Activities

9.01 Work with the Commonwealth of Virginia in developing a comprehensive policy for the care and protection of state-owned landmarks. (HSF, City)

9.02 Develop and use regular channels of communication between the City of Staunton, Historic Staunton Foundation, and each major institution in the city. (HSF, City)

9.03 Keep institutional property owners aware that the City and HSF share a substantial degree of concern for the preservation, appearance, care, and use of these properties. (City, HSF, VDHL)

9.04 Encourage each institution to have a preservation or long-range maintenance plan that takes into account the information identified in the Study Units Section of this report. Hold preservation workshops for personnel directly involved in the decision making or maintenance of each institution. (HSF)

9.05 Encourage each institution to develop a preservation policy for both its buildings and grounds that calls first for the retention of the historic fabric and second for incorporating quality new design elements when additional space requirements cannot be met through reuse or adaptive use. (HSF)

9.06 Encourage each institution to endorse the *Secretary of the Interior's Standards for Rehabilitation* as official policy for all maintenance and rehabilitation of significant buildings. (HSF)

9.07 Encourage each institution to undertake protective easements and assist them in developing agreements that are flexible enough to allow for their growth and development but protective of the significant qualities of each institution. (HSF)

9.08 Offer design assistance for parking areas, signs, and other exterior alterations.* (HSF)

9.09 Undertake efforts to retain Staunton as the county seat of Augusta County. Assist the County of Augusta through both the City of Staunton and HSF in locating appropriate rehabilitation opportunities for their expanded facilities needs as an incentive to keeping the city as the traditional county seat. Offer design assistance in developing a preliminary

rehabilitation concept, comparison of rehabilitation costs to new construction costs, and in space utilization analysis for possible rehabilitation projects. (City, HSF, SURE, CC)

9.10 Undertake a joint Augusta County/City of Staunton preservation plan to recognize the interrelationships between the two entities, realizing that together they form a distinct social/economic unit with a shared heritage and history. Land use, transportation, and other policies in one jurisdiction can have major impacts on the other. (VDHL, HSF, City, AC)

GOAL 10: To develop heritage tourism at a level that the city's facilities and resources can support without harmful impact

Objectives

- to increase the number of visitors to Staunton while protecting the historic environment from undue stresses caused by overuse
- to improve the quality of the visitor experience in Staunton

Activities

10.01 Undertake a thorough study of the tourism potential of the city that identifies current and potential market conditions, identifies comparable and competitive visitor attractions, assesses the ability of the city to meet visitor demands, and evaluates the need to hire a full-time staff person to promote, manage, and coordinate visitor promotions. (City, TAB, AC)

10.02 Use the city's wealth of historic architecture as the basis for heritage tourism and develop and promote, according to the tourism plan described above, complementary activities such as specialty shopping, dining, and overnight lodging that will appeal to the type of visitor interested in historic attractions. (City, TAB, HSF, SURE, CC, RMA, WWBF, MAFC)

10.03 Develop tourism goals and strive for an increase that will complement the city's existing economy. (TAB)

10.04 Coordinate citywide tourist promotions with the Museum of American Frontier Culture while realizing that each tourist destination has the capability to attract visitors independent of the other and that not all visitors to one will have the time or interest to visit the other. (City, TAB, HSF, SURE, CC, RMA, WWBF, MAFC)

10.05 Develop coordinated goods and services that may include but would not necessarily be limited to overnight lodging facilities, tours, restaurants, a downtown visitor center, outdoor interpretation, and exhibits that will help create a quality visitor experience and encourage visitors to spend more than an hour or two in Staunton. (City, TAB, HSF, SURE, CC, RMA, WWBF, MAFC)

10.06 Promote regional tourism with Staunton as the central location for originating day trips to other visitor attractions in the vicinity and state. (City, TAB, SURE)

10.07 Continue development and dissemination of brochures, walking tours, and other printed material. Increase the number of places where such material is available.* (City, TAB, HSF, SURE, CC, RMA, WWBF, MAFC)

10.08 Clearly delineate areas for visitor parking, offer attractive and legible directional signing to such areas, and continue to offer incentives such as limited free parking, redeemable coupons, or vouchers for using visitor parking. (City, TAB, HSF, SURE, CC, RMA, WWBF, MAFC)

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