

张兵 著

# 城市规划实效论

## 城市规划实践的分析理论



中国人民大学出版社

# Effectiveness of Urban Planning

A Framework for the Theory of Planning Praxis

“论文可以称得上是规划理论的理论，对学科的发展，对规划工作的评价的判断，有很高的价值。”

——董鉴泓

“[研究]另辟蹊径，……，虽属初步，但很难能可贵，对我国的城市规划的理论建设做出了贡献。”

——朱自焯

“至少直到现在，还很少有界内专家如此深入地剖析过城市规划‘自身’的各种外在条件和内在矛盾。”

——邹德慈

“这类研究确是一项开创性的工作。”

——董光器

“从命题到研究的哲学基础，及于研究框架的设置，以至于论说的思路等，新意迭出，是一篇富有创建的论著。”

——朱锡金

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## 献给我的父母和老师

## 提 要

本书着力于探讨城市规划理论新的发展方向，系统分析和总结城市规划实践的内在规律，是一部批判与建构相结合的专著。全书将规划理论与规划实践的统一作为贯穿始终的基本立意，应用科学哲学的有关理论工具，阐述城市规划理论进步过程中存在的问题，提出发展城市规划实践的分析理论的主张，为进一步剖析规划实践奠定了必要而坚实的认识基础。

作者运用科学哲学家劳丹的“研究传统”的概念分析提出，在旧的城市规划研究传统所包含的本体论、方法论和价值论方面存在一系列的问题，导致长期以来规划理论对规划实际过程研究的薄弱。构建城市规划实践的分析理论，修正有关的本体论信念、方法论准则和认知价值，目的在于从理论上突破旧的研究传统，改善理论与实践的关系，把规划理论的重点转向研究与城市土地使用相关的城市规划主体行为的规律，以及城市规划与城市发展主客体的互动关系。

城市规划理论需要回答的中心问题是，城市规划在社会、经济、政治的环境中究竟发挥什么样的作用。因此，围绕城市规划实效这一主题，本文重点分析规划的作用性质和作用过程，揭示城市规划有效作用的意义与条件。

文中采取“动力主体分析”的方法，比较城市发展的动力机制，推证市场与计划两种体制原型下城市规划之制度基础与实践基础的类似性，指明规划作用不是城市发展的直接动力，而是动

力的利用机制。

规划过程包含规划的环境、编制、实施工具、组织四种要素。规划的环境是规划价值选择的参照系统。环境、效率和公平的核心价值是生成规划合法权威的法理基础，但在城市规划权力制度化的过程中可能发生异化。为了服务于政策目标，规划的编制除在技术方面存在“有限理性”的特征外，还具有“政策实施工具”的理性特征，即体现政治的偏好与过程。法定规划系统的制度安排则以保持政府间政治关系的平衡为前提条件，特别是在中央政府与地方政府之间。规划组织的职业化程度较低。在以物质性规划为基本内容的职业社会服务中，规划师不同的角色认知致使维护城市整体利益和公共利益的行动，缺乏一致和独立的职业道德标准。

认识规划作用过程的局限性，目的是寻求规划新的理性起点。有效作用的城市规划需要具备四种条件：即合理的理论技术，灵活的政治运作，广泛的社会基础和严格的职业自治。

作为结论，作者强调指出，城市规划理论与实践的关系并不是对立的，统一的出路在于明确理论对规划实践者理性意识的启发、澄清和拓展的批判性作用，摒弃将实践等同于应用技术，而理论仅仅是为实践提供技术方法的狭隘观念。

## ABSTRACT

Bridging the gap between theory and practice in urban planning is a long-term and arduous process for planning theorists, and despite serious efforts to do so, theorists have fallen short of this goal. The lack of success can be attributed to the fact that such mainstream planning approaches as “theory in planning”, based on civil engineering, architecture and fragments of social sciences, and “procedural theory”, based on mathematical models, overlook real-world conditions and exclude many important political, economic and social phenomena. The author argues that although these phenomena have often been ignored in scientific urban planning studies, real-world conditions demand that they are factored into studies of planning processes. Therefore, urban planning theory has not adequately satisfied the need to solve empirical and conceptual problems in the practice of urban planning.

The author suggests that the ontology, methodology and axiology embedded in the Laudanian research tradition of urban planning have inhibited the evolution of urban planning theory and ultimately hindered efforts to close the theory-practice gap.

On the basis of a critical analysis and modification of related ontological doctrines, methodological rules and cognitive values, the author has attempted to construct a framework for the theory of



planning praxis and break through existing limitations in the research tradition. It is asserted that the theoretical foci must concentrate on two fundamental elements. Urban planning theory should swing towards exploring and interpreting the dynamic interaction between planning and urban development. It must also analyse the actions of planners and planning organisations as they relate to land use within a relevant political, technological and cultural context.

Therefore, the author asserts that the central question in planning theory should be: what role does urban planning play in society? In choosing the effectiveness of urban planning as his main topic, he emphasises the importance of analysing the role of planning and the actual planning process so as to clearly define and set preconditions for effective planning. At the same time, the theory of planning praxis with heuristic logic is developed.

The author applies the notion of a "dynamic subject" as the primary element in understanding the mechanism of urban development. In developing his methodology, he focuses on two elements in urban planning practice: the institutional basis and the practical basis. He uses these elements to compare urban planning in a market economy with urban planning in a planned economy, identifying the commonalities between the two. Further, the author argues that the primary planning role is to utilise the dynamics of urban development rather than drive development directly.

A planning process consists of four fundamental factors: context, plan-making, planning instruments, and professional organisation. The context provides the backdrop against which values in planning are derived. Although the core values

(environment, equity and efficiency) provide the legal basis for the legitimate authority of planning, these values are inevitably alienated by the impact of the institutional context. The author goes on to argue that planning is only one of the tools used to achieve policy objectives. Thus, in addition to Simonian boundary rationality which points to technological aspects, the feature of rationality in plan-making also symbolises the political biases and processes. On the other hand, the institutional rationality in a statutory planning system exists on the condition that relationships within the government hierarchy, especially between the central and the local governments, necessarily maintain balance.

As for the field of urban planning, the degree to which the specialty has been professionalised is relatively low. In social service, where the key content is physical planning, the heterogeneity of the planner's role perception means that "the overall interest" and "the public interest" are regarded and protected without public consensus or self-governing. Of the four factors which demonstrate the planning process, context emerges as the principal influence as it imbues the others with specific socio-political significance.

The author argues against those pessimistic viewpoints that highlight only the limitations and difficulties that exist within the planning profession and pessimistically declare the failure of planning. Instead, he argues for the re-establishment of rationality in the profession. His study suggests four conditions for a more effective urban planning field of practice. First, additional rational theories and methods of planning are needed. Second, planning-in-action should pay added consideration to political strategy during plan making and development control. Third, planning should be

based on wider consultation with communities. Last, professional self-governing should be retained with respect to institutions, particularly in terms of ethics codes as the core of a moral community.

In conclusion, the author suggests that, in order to integrate planning theory with practice, additional emphasis needs to be paid to the critical function of planning theory, which is to enlighten, clarify and unlock planners' rational consciousness and judgement in the planning process. Another critical function of planning theory should also be to rethink and develop the current narrow understanding among urban planners of "practice" as simply applying technology, and "theory" as merely providing practical methods.

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城市  
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