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1 The Tianjin Eco-City model in the academic literature on urban 2 sustainability

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9 Abstract

Recent intensive eco-city development in China has been accompanied by rising 10 enthusiasm for environmental sustainability indicators. Whilst there are calls for the 11 12 indicators to be standardised, and criticism of the difficulties in applying them, little 13 effort has been made to understand their scientific rationale. This article employs a 14 comprehensive bibliometric analysis to investigate the use of environmental 15 indicators from the Tianjin Eco-City Key Performance Indicators by the international 16 scientific community working on urban sustainability. The findings draw a clear 17 picture of the place of Tianjin Eco-City's indicators in the international scientific 18 literature. China's ecological problems are found to attract interest not only from 19 domestic researchers but also researchers outside the country. The indicators are used 20 not only for urban planning and management but also for a wide range of urban-21 related and non-urban-related purposes. The scientific rationale of the eleven 22 indicators is specifically addressed, revealing a number of underlying questions about 23 the Tianjin Eco-City indicators.

24 Key words

25 Urban sustainability, environmental indicators, Tianjin Eco-City KPI, scientific

26 rationale, bibliometric analysis, geographical analysis

27 1 Introduction

28 Following the recent promotion of eco-cities, there is increasing interest among 29 researchers and policy makers in sustainability assessment. A sustainable city can be 30 defined by analogy with the Brundtland Commission's definition of sustainable 31 development (WCED, 1987) as a city that ensures that development meets the needs 32 of the present without compromising the ability of future generations to meet their 33 own needs. Conventionally incorporated into the triple bottom line of environmental, 34 social and economic criteria, the substantive purpose of sustainability assessment is to 35 provide policymakers and city planners with tools for evaluating their cities and to

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36 help them to decide what actions to take and not to take (Devuyst et al., 2001). In this 37 context, the main functions of sustainability assessment include decision-making and 38 decision management, target setting, advocacy, participation and consensus building 39 (Joss et al., 2012; Parris and Kates, 2003; Pastille Consortium, 2002). The indicators 40 can be broken down into single-unit indices (such as ecological footprint, wellbeing index, emergy) and indicator-based indices. By contrast with single-unit indices, 41 which score the combined performances of a city, indicator-based indices provide 42 43 disaggregated information and are used to track sector-level factors (Fiala, 2008).

44 China has been characterised in recent decades by growing enthusiasm for the 45 development of large-scale eco-cities. At the time of writing, there is no consensus on 46 a rigorous definition of what an eco-city is, and in practice the term is used 47 interchangeably alongside other words for sustainable city models such as "sustainable cities", "low carbon cities", "resilient cities", and so forth, despite the 48 49 underlying conceptual differences that may exist (de Jong et al., 2015). So the term 50 eco-city may encompass a broad range of factors: carbon-neutral and renewable 51 energy supply; a dense urban fabric supported by a public transport system; resource 52 conservation; water and waste reduction and reuse; green buildings; urban renewal; 53 local urban agriculture; decent and affordable housing for all socio-economic and 54 ethnic groups; improved job opportunities; and voluntary change in lifestyle choices.

The Sino-Singaporean Tianjin Eco-City project has been widely discussed since its 55 inception in 2007. Built close to the centre of Tianjin Binhai New Area and the 56 57 second government-to-government urban project between China and Singapore, 58 Tianjin Eco-City has been designed to leverage Singaporean expertise in "practical", "replicable" and "scalable" city planning and management (de Jong et al. 2013; M.-C. 59 Hu et al. 2015; Lee et al. 2014; Weiss 2014). In parallel with the making of master 60 plan, a set of indicators – entitled Key Performance Indicators (KPIs) – an umbrella of 61 62 twenty-two "control" indicators and four "guidance" indicators, was jointly developed 63 by Chinese and Singaporean specialists. The indicators cover major urban sectors such as air, water, transport and energy (Li et al., 2018). Presented as one of the 64 65 standout features of Tianjin Eco-City and "the first indicators system bespoke to Chinese eco-cities", the KPI system has been extensively discussed in scientific 66 67 publications and media communication. However, in-depth studies, among which we can cite the report by Caprotti et al. (2015), have focused on the lack of social balance 68 69 in this primarily upper-middle-class new town project. There has been little attention 70 on the expected environmental performance of Tianjin Eco-City, which seems have 71 been taken for granted. Other papers are content to praise the high-profile bilateral 72 cooperation in the new town development and the KPIs, with little in-depth scientific 73 investigation.

Echoing the enthusiasm for eco-city development in China, there has been intense discussion of sustainable city indicators by both government institutions and urban specialists around the world. Reflecting today's mainstream concern with the promotion of social equity and economic viability, criticisms of the indicator systems have unsurprisingly concentrated on the imbalance between the environmental and socio-economic aspects (Greed, 2012; Medved, 2016). While recognising the

importance of reinforcing social equity and environmental viability in the 80 81 construction of sustainable eco-cities, we argue that this overwhelming focus on the 82 socio-economic dimension may obscure the importance of the environmental 83 indicators themselves. First, environmental challenges remain in the forefront of political discourse (Cook et al., 2017; Hao, 2012; Nelson, 2012; Shiuh-Shen, 2013). 84 85 Second, environmental performance is a precondition for any achievement in the 86 social and economic arenas, as is apparent in the conventional expression "social and 87 economic development that should be environmentally sustainable".

88 Given the inherent importance of this environmental dimension of sustainability, 89 governments and non-governmental organisations are keen to devise indicators for the 90 assessment of environmental performance. For instance, the European Union approved the "20-20-20 target" for its environmental agenda towards 2020: a 20 91 92 percent reduction in greenhouse gases emissions, a 20 percent share of renewable 93 energy resources and a 20 percent rise in energy efficiency (Moldan et al., 2012). A 94 number of scholars have been calling for environmental indicators to be standardised. 95 In the recent report Tomorrow's City Today, Simon Joss and his collaborators argue 96 for the standardisation of indicators in order to drive innovation and render locally 97 generated knowledge and practice transferable (Joss et al., 2015), following an earlier 98 analysis of the absence of global standardisation of eco-city indicators produced by 99 the same authors (Joss et al. 2012). In the same vein, Shen et al. (2011) point out that 100 the lack of consensus on urban sustainability indicators in local practices has caused 101 confusion in the setting of targets and implementation of policies. A number of governments and non-governmental organisations, such as the World Bank (Suzuki et 102 al., 2010), the United Nations (United Nations, 2007) and Ecocity Builders (2015) 103 104 have been endeavouring to build overarching systems of sustainability indicators.

Meanwhile, there are impediments to the on-the-ground application of an 105 106 environmental indicator and substantial questions remain un-answered and in need of 107 elucidation. By way of example, one indicator in the Tianjin Eco-City KPIs refers to 108 the proportion of green trips. Apparently simple and easy to use, this indicator is in 109 fact hard to monitor for multiple reasons. First, there is no consensus at this time on what types of travel (commuting, leisure...) should be included in this category. 110 Second, the geographical range of "green trips" has been defined as the inner part of 111 Tianjin Eco-City, which prompts questions about how the concept of "green trips" is 112 defined in the international literature. For instance, should intercity travel and transit 113 114 traffic be included in the calculation? Third, the meaning of "green" can sometimes 115 be unclear. How should a vehicle be judged as being green or not? On the basis of 116 vehicle type or power source? Is public transport inherently green? Fourth, what 117 should be the unit of measurement for green trips? Proportion of trips? Cumulative 118 distance? Travel time? This partial list gives an idea of the many questions raised by 119 an apparently simple indicator, which need to be answered before any standardisation 120 can be achieved. While there is no shortage of debate on these conceptual questions, we note that the debates are mostly sectorial, i.e. limited to one indicator or a series of 121 122 indicators for a given sector, e.g. urban transport.

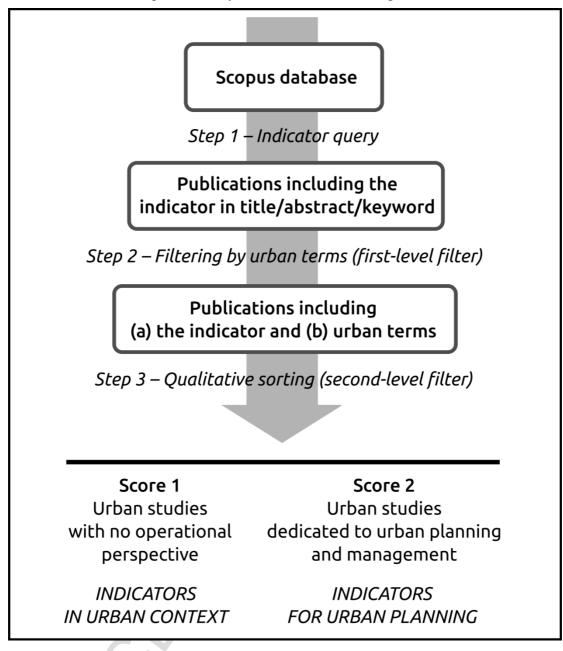
As previously mentioned, plenty is known about both (Chinese) eco-city development and environmental sustainability indicators, thanks to the work of scientific researchers in recent years. As far as we know, however, there has been no in-depth 126 study comparing the two, i.e. examining the environmental indicators within the 127 context of a real-world eco-city. Our paper seeks to fill this gap. It takes as its object 128 of study a set of major environmental indicators produced by Tianjin Eco-City, and 129 employs a bibliometric analysis to investigate the scientific rationale behind these 130 indicators. The number of occurrences of each indicator in the international scientific literature was counted, by reference to the following questions: What is the exact 131 132 definition of a given indicator? What is it supposed to measure? Is the indicator 133 problem-oriented and relevant to the most urgent local concerns? Is it specific to the 134 urban environment? What are the unsolved scientific questions underlying the 135 indicator? Intertwined with these global scientific questions is the question of whether 136 the indicator is specific to the Chinese context or, conversely, context free. Put 137 another way, is the indicator recognised and widely used by researchers inside and 138 outside China? This question will be addressed by geographical analyses of the 139 publications. This will cast light both on whether Tianjin Eco-City's indicators are aligned with mainstream challenges in the field of urban sustainability and on the 140 status of Chinese urban environmental problems in the international research agenda. 141

142 The remainder of the article is organised as follows. Section 2 outlines the 143 methodology informing this research, especially the empirical methods used to pick 144 out publications relating to the Tianjin Eco-City KPIs. Section 3 presents the main 145 results of this bibliometric exercise, followed by an overall discussion of the findings 146 and study conclusion in Section 4.

147 **2 Methodology**

As stated above, our aim is to investigate the scientific rationale behind the 148 environmental indicators used in the Tianjin Eco-City KPIs by analysing the 149 150 international scientific literature on urban sustainability relating to the indicators in 151 question. To do this, we above all have to construct the corpus of scientific publications that will be the subject of our analysis. However, we encountered 152 153 methodological hurdles to automatic corpus generation by keyword query, which 154 included the semantic problems caused by the polysemic nature of indicators and the 155 increased blurring of the distinctions between urban and non-urban areas. To 156 overcome these difficulties, we designed a three-step roadmap, which will be 157 described below.

158 Figure 1 depicts the methodology underpinning this study. Among the twenty-two indicators in the Tianjin Eco-city KPIs, we selected eleven environmental indicators 159 160 relating to water, air, energy, transport and waste, as listed in Table 1. The indicator 161 numbers are the same as those published in official documents and research papers, 162 which explains their discontinuity. The Scopus database was chosen for our 163 bibliometric inventory, because it includes publication records for journals since 1996, irrespective of changing ISI status (de Jong et al., 2015). The time span of our 164 165 collection is from 2000 to 2016, given that the early 2000s are recognised to be the 166 starting point of urban sustainability policies in China, with the proliferation of eco167 city initiatives at both regional and continental scales (Joss et al., 2013), and 2016 was168 the most recent ended publication year at the time of writing.



169 Figure 1 Research design.

170 2.1 Step 1: Indicator query

As indicated above, the study was carried out in three steps. The first was to pick out scientific publications containing references to the indicators through keyword query. The keywords used to query each indicator were constructed through careful interpretation and translation of the official formulation of the indicator. As with many indicators, synonyms and similar expressions can exist and be used in publications at the authors' discretion, so we incorporated all possible variants of the indicators' official formulation into our query. By way of illustration, for the indicator *Carbon emission per unit GDP*, the terms "CO2", "greenhouse gases" and "GHG" are
all possible variants of "carbon" and were therefore incorporated into the query.
Similarly with "per unit of GDP", for which "per unit of gross domestic product" and
"CO2 intensity" were included in the search as possible variants. The detailed
syntaxes of the search query are provided in the Appendix.

183 For certain indicators, we judge that the official formulation is not lucid enough and 184 provide further explanations of the definition, as shown in Table 1. These explanations are based on a thorough examination of the guide to the Tianjin Eco-City 185 KPIs published by the eco-city's Administrative Committee, entitled "Navigating the 186 187 Eco-City" (Tianjin Eco-city, 2010). To give two examples, for the indicator Proportion of green buildings, we explain that the eco-city designed its own standard 188 189 of green building; for the indicator Overall recycling rate, we give supplementary 190 information on waste categorisation in the eco-city.

191 The result of the query is a corpus of publications for each indicator in which the 192 indicator is referred to in a publication's title, abstract, or keywords.

193 Table 1 Indicators and targets of the Tianjin Eco-City KPIs selected in the present study.

194 Supplementary explanation of the indicators is provided when necessary to clarify the definition195 of the indicator.

N°	Indicator	Supplementary explanation	Target
		Days per year on which ambient air quality meets Grade II of Chinese National Ambient Air Quality Standard (GB 3095-1996)	310 days
1	Ambient air quality	Days per year in which SO2 and NOx content in the ambient air meets the requirement of Grade I of Chinese National Ambient Air Quality Standard (GB 3095-1996)	55 days
2	Quality of surface water in the Eco-city	Surface water quality meets Grade IV of Chinese National Surface Water Quality Standard (GB 3838-2002)	-
5	Carbon emission per unit GDP	-	t/million US dollar
7	Proportion of green buildings	Tianjin Eco-City's own green building standard	100%
10	Per capita domestic water consumption	-	120 l/per/day
11	Per capita domestic waste generation	-	0.8 kg/per/day
12	Proportion of green trips	-	90%
13	Overall recycling rate	 Waste is categorised into domestic waste, industrial solid waste, construction waste and other waste. 'Recycling' includes reuse, recycling and energy recovery. 	60%

		• There are no separate categories for hazardous waste from hospitals, industry and construction	
15	Treatment to render solid waste non hazardous	-	100%
19	Renewable energy usage	-	15%
20	Water supply from non- traditional sources	Refers to alternative water resources	50%

196 2.2 Step 2: Filtering by "urban" terms

197 The second step in the process was to crop the corpus generated by the first step, in 198 order to select urban-related publications by filtering out all studies that are not 199 relevant to urban areas. This was difficult in that urban research is not set as a specific 200 category in Scopus, given that cities are multifaceted and the boundary between 201 urbanised and non-urbanised areas is increasingly blurred (European Commission, 202 2016). There was therefore no automatic way of filtering out non-urban studies, so 203 one was developed for the present study based on an *ad hoc* filter on urban terms. To 204 construct the list of urban terms, we used the EuroVoc thesaurus, a multilingual and 205 multi-disciplinary thesaurus which provides a controlled vocabulary set in multiple 206 fields (http://eurovoc.europa.eu/drupal). In the EuroVoc's English language interface, 207 a "construction and town planning" micro thesaurus list is available in the "social questions" domain. The 176 terms included in this list were retrieved and used as our 208 209 urban filter. It should be noted that the plurals of the terms were also incorporated.

Once the urban filter had been constructed, the abstract, title and keywords of each publication for each indicator were run individually through it. Using the text-mining function in the RapidMiner software (https://rapidminer.com/), the time of occurrence of any word in the urban term list was calculated and numbered. Publications that did not include any urban terms in their title, in their abstract or in their keywords, were considered to be non-urban studies and rejected from the corpus. The outcome of this step was therefore to produce a refined corpus of urban-related studies.

217 2.3 Step 3: Unavoidable qualitative sorting

As described above, the publications rejected by the urban filter can safely be assumed not to be urban-related. Nevertheless, those retained after this step may still not be limited to urban studies, because many words from EuroVoc's "construction and town planning" list, such as "building", "electricity", "community", can also be used in rural settings.

This semantic complication in distinguishing between urban-related and non-urbanrelated studies was bound up with a concern about the paper's subject. For example, should we leave in the corpus relating to *water supply from non-traditional sources* a publication on techniques for monitoring organic pollutants in sewage treatment plants, given that its abstract does include "water reuse", a term that was included in the search query for the indicator (Robles-Molina et al., 2013)? On the one hand, such

a study can arguably be considered to be urban, given the overlap between the topic and urban sewage and water reuse. On the other hand, it seems somewhat remote from the paper's focus on sustainability indicators for urban planning and management. One possible approach for dealing with such a paper would be to retain it in the corpus but to separate it from those that fully match the focus.

234 At this stage, therefore, we were facing a twofold challenge. First, the non-urban 235 studies that had not been filtered out by the first two automatic steps had to be found 236 and rejected. Second, the urban-related studies had to be classified in terms of their 237 match with our focus. These two tasks entailed a third step, content-based qualitative 238 manual sorting of the publications. In this step, the abstracts of the articles were 239 studied one by one and scored on a 0-1-2 scale, where 0 means totally outside our 240 scope, and 2 highly relevant to our focus on urban planning and management. 241 Particular care was taken when the name of a city was used to provide this study 242 location, as a city name might refer both to the central city area and to the sublevel 243 administrative zones. This is particularly common in China, where a study that refers 244 to Beijing is not necessarily restricted to its inner-city areas but may also include the 245 extensive and still largely rural hinterland.

246 2.4 Abstract analysis and geographical analysis

The total number of 896 publications retained after the three-step query process 247 248 formed our final corpus, on which an abstract analysis and a geographical analysis 249 were conducted. In the abstract analysis, the abstract of each paper was thoroughly 250 studied, with attention to the following key questions: which indicator is used or 251 mentioned in the study? In which country? Is it the same as the indicator from Tianjin 252 Eco-City? If not, what are its advantages and drawbacks in terms of scientific 253 rationale? This "abstract" analysis was reinforced by a review of the article text in 254 cases where the abstract was too vague to provide any relevant information on the 255 indicator in question.

256 The purpose of the geographical analysis was to understand how international 257 researchers use the Tianjin Eco-City KPIs. For each article, three pieces of 258 geographical information were retrieved: 1) the country of origin of the authors, i.e. 259 here *authors' country*; 2) the *country studied*; and 3) the link between the two. The 260 authors' country, as an aggregate location, quantifies the relative importance of the 261 countries as a source of research. The country studied, also an aggregate location, 262 quantifies the relative interest in a given country as an object of research. The link 263 between the two locations is a piece of relational information that indicates the level 264 of scientific interest in a country A for a country B.A set of text mining methods was 265 employed in order to extract the locations from the corpus. The algorithm was developed under the R software (R Development Core Team, 2011). A set of specific 266 packages were used, mainly stringr (Wickham, 2017) for string manipulation, igraph 267 268 (Csardi and Nepusz, 2006) and bipartite (Dormann et al., 2009) for network analysis, 269 and ggplot2 (Wickham, 2016) for plotting.

Four fields were examined for each study: address of the corresponding author, title, keywords and abstract. The first step was to clean the data (lower case conversion, 272 punctuation and removal of editor's location (such as "Copyright Springer Berlin, 273 Germany")). Then, country detection was performed using a dictionary of locations 274 available in the GeoNames database (http://www.geonames.org). We implemented a 275 simple method, applying regular expressions from a list of level-1 administrative units (countries) and some level-2 administrative units. A comparison between the 276 277 locations retrieved and the results vielded by the Aylien API (http://aylien.com) 278 showed that the simple detection of high-level administrative units would be 279 sufficient to return the location at country level. In most cases the location name is 280 followed by an indication of the country, such as "Muritz National park (Germany)". 281 This indication is missing in a few US and Chinese cases for which only the lower-282 level administrative unit is given, for example "Everglades National Park (Florida)" 283 or "Foshan (Guangdong)".

The time incidence of the country name as the location studied was then calculated both for the entire corpus, expressed as "absolute frequency", and for the corpus of each indicator, expressed as "relative frequency". The difference between the absolute and relative frequency for a country gives the relative weight of the indicator among the eleven indicators regarding that country.

289 **3 Results**

290 **3.1** A multi-level final corpus

Table 2 shows the gradual, step-by-step evolution of the corpus. Figure 2 shows the 291 292 interplay between the datasets. In total, 8129 publications were generated by the 293 keyword search in step 1. The urban keyword filter in step 2 and the qualitative 294 sorting in step 3 reduced the number of publications to 896, the final number 295 analysed. This corpus is further divided into two categories. The first contains 562 296 publications, 63% of the total, which are considered to be specifically linked to the 297 topic of urban planning and management. The remaining 37% relate to cities and to 298 indicators, but are considered not directly applicable to a city planning and 299 management perspective.

There are two main comments to be made on the changes in the number of publications included in the corpuses. First, the indicators examined are common in non-urban studies, which suggests that the indicators are not specific to problems found in urban environments. Second, even when the indicators are associated with urban settings, the objective of the research may in many cases go beyond the dimension of urban planning and management.

Table 2 Quantity of publications generated by each step. It should be noted that the "Urban"
column also includes publications that scored 0 in the "Qualitative sorting" column, i.e. which
are not urban studies but were not filtered in step 2.

N°	Indicator	Query (step 1)	Urban (step 2)	Qualitative sorting (step 3)	Papers examined (score 1 and 2)
----	-----------	----------------	----------------	------------------------------------	------------------------------------

				Score	number	
				2	89	
1	Ambient air quality	350	206	1	53	142
				0	64	
	Quality of water			2	88	
2	bodies within the	330	144	1	31	119
	Eco-city			0	25	
				2	18	
5	Carbon emission per unit GDP	505	92	1	52	70
				0	22	
	Dranation of moon			2	19	
7	Proportion of green buildings	107	33	1	11	30
				0	3	
	Der conite domostia			2	28	
10	Per capita domestic water consumption	58	48	1	8	36
				0	12	
	Per capita domestic			2	27	
11	waste generation	46	33	1	0	27
				0	6	
	Proportion of green			2	89	
12	trips	2312	1259	1	32	121
				0	1138	
	Overall recycling	K		2	86	
13	rate	1584	169	1	37	123
				0	46	
	Treatment to render			2	21	
15	solid waste non hazardous	2155	132	1	30	51
				0	81	
	Renewable energy			2	67	
19	ratio	620	162	1	60	127
				0	35	
20	Water supply from non-traditional	62	62	2	30	50

		sources			1	20	
					0	12	
1	Total		8129	2340	-	2340	896

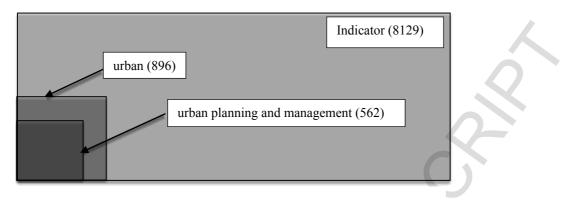


Figure 2 Interplay of the corpuses generated in each step.

309 3.2 Authors' countries and studied countries

Figure 3 provides an overview of the links between the authors' countries on the left
and the countries studied on the right. The thickness of the line connecting a country
A on the left and a country B on the right is proportional to the volume of publications
about B produced by authors from A.

As can be seen in Figure 3, China and the United States share the first and second positions on the lists of countries studied and authors' countries, respectively. The two countries combined account for 40% of the cases studied and 42% of the authors' origins, far ahead of India and the UK, which are respectively in third place on the list of countries studied and on the list of authors' countries. Besides the top four, Japan, Australia, Germany and Spain are well positioned in both lists. Studies relating to the top 10 countries account for 60% of the total number of publications in the corpus.

321 A dominant share of the studies relating to China are conducted by Chinese authors, 322 the rest being from the US, Australia, Japan, Singapore, UK, Canada, European 323 countries, as well as Hong Kong and Taiwan, which have close links with mainland 324 China. Moreover, the primary research focus of Chinese authors is China, as shown 325 by the multiple links to China on both the left and right sides of Figure 3. American 326 authors, by contrast, have far-flung interests across the world. This is further 327 illustrated by indicator 5 (Figure 7), for which authors from the US publish on 21 328 countries other than their own, including China.

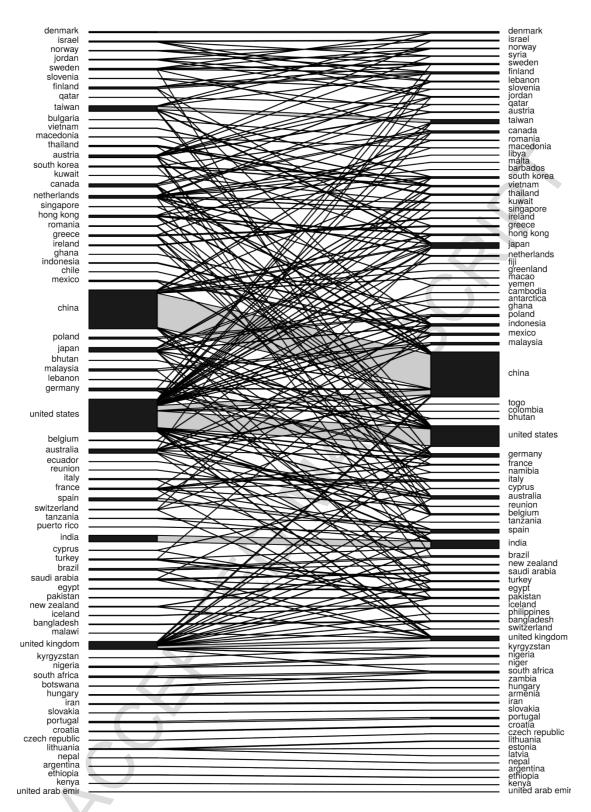


Figure 3 Connections between authors' countries and countries studied for the entire indicatorset.

329

In order to better understand this overall pattern of connections between authors'
countries and countries studied, each indicator's situation was further examined.
China and the US are no longer in the first two positions when the focus is shifted to

individual indicators. The United States is the country most studied for five out of the

eleven indicators, including Ambient air quality, Proportion of green buildings,
Overall recycling rate, Treatment to render solid waste non hazardous and Water
supply from non-traditional sources. China is the country most studied for the other
five indicators, including Quality of water bodies, Carbon emission per unit GDP,
Per capita domestic water consumption, Proportion of green trips, and Renewable
energy ratio.

342 Details for each indicator are given in Appendix B. Here only the two most relevant 343 indicators - Quality of water bodies and Carbon emission per unit GDP - are 344 discussed. Figure 4 and Figure 5 show the absolute and relative frequencies of the 345 countries studied for indicators 2 and 5 respectively. The absolute frequency of a 346 studied country for an indicator was calculated by dividing the number of occurrences 347 of the country by the total number of publications on this indicator. The relative 348 frequency of a studied country for an indicator was calculated as the difference 349 between the number of occurrences of this indicator for the country and the 350 occurrence of all the indicators combined. The relative frequency of a country reflects 351 the weight of the indicator in the set of indicators concerning the country, and therefore provides at least a partial measure of the relative attractiveness to 352 353 international scholars of the problems in the sector targeted by the indicator compared 354 with other sectors in the country in question. 78% of the publications for Quality of 355 surface water (Figure 4) and 42% for Carbon emission per unit GDP (Figure 5) relate 356 to China. Most of these studies have been conducted by Chinese authors, followed at 357 a considerable distance by American authors (Figure 6 and Figure 7). There are two 358 hypotheses concerning the dominance of Chinese authors for these two indicators. 359 The first is that the perception of surface water quality as an urban concern is a 360 specifically Chinese perspective, rather than one that is widespread elsewhere in the 361 world. Indeed, it is rarely the case that rivers (and to a lesser extent lakes) endure 362 pollution from urban activities alone. The second hypothesis is that the deterioration 363 in surface water quality in China is so serious today that it has become a focus of 364 international research. As to the indicator Carbon emission per unit GDP, the 365 dominance of China as an object of study is more likely attributable to the method of 366 normalisation used. The explanation of this is given in 3.3.2-(2).

The wide-ranging interest of US researchers is clearly shown by Figure 7 for the indicator *Carbon emission per unit GDP*, where US researchers are observed to have published on 21 countries across the globe besides the United States.

370 It is interesting to note that China does not appear in the corpus for indicator 15, 371 *treatment to render solid waste non-hazardous* (the graphic not shown here), a fact 372 that relates to the definition of the indicator. Detailed explanation is given in section

373 3.3.4.

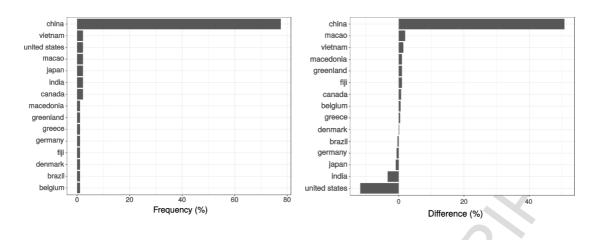
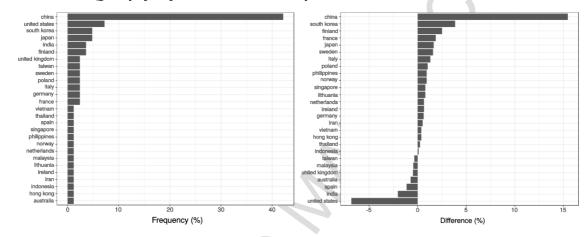
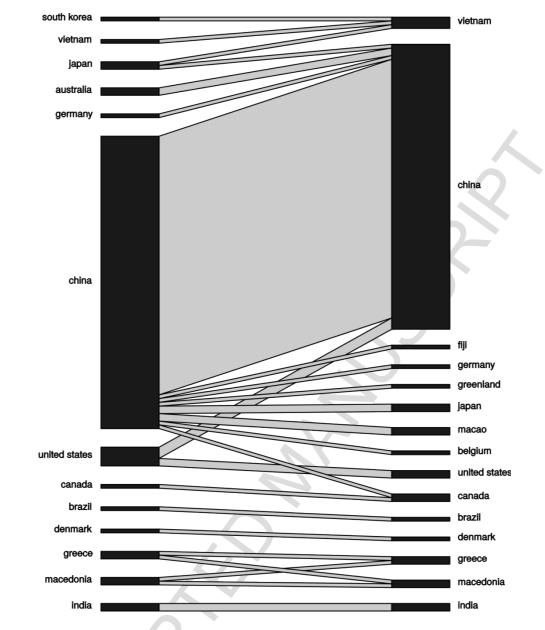


Figure 4 Absolute frequency (left) and relative frequency (right) of countries studied for
indicator 2 -- Quality of surface water in the Eco-city.

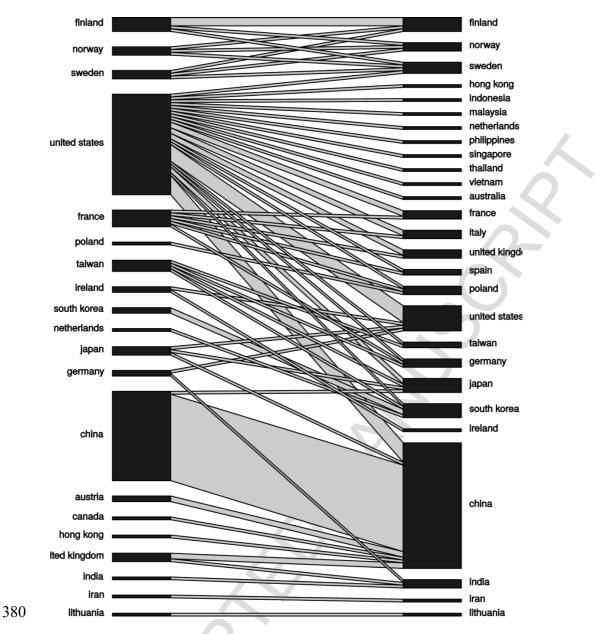


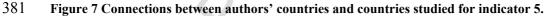
- Figure 5 Absolute frequency (left) and relative frequency (right) of countries studied for
- 377 indicator 5 -- Carbon emission per unit GDP.



379 Figure 6 Connections between authors' countries and countries studied for indicator 2.

378





382 3.3 Scientific rationale of the indicators

The eleven environmental indicators are classified into four groups according to their levels of scientific rationale, as discussed below. A detailed note for the scientific rationale of each indicator is provided in Appendix-B.

386 3.3.1 Group 1 Aggregated indicators

There are two aggregated indicators among Tianjin Eco-City's environmental indicators, which are *Ambient air quality* and *Quality of surface water*. Both indicators are, in fact, a composition of sub-level indices for individual pollutants affecting ambient air quality in the first case and surface water quality in the second case. As can be expected, this type of indicators are made for larger spatial scales and administrative jurisdictions than those of a city – national level in most cases and regional level in the case of the European Union. In the case of a city, such as Tianjin

394 Eco-City, it is understandable that city managers apply the sectorial standards that 395 have been developed at national level. On this understanding, a comparison was made 396 between the Chinese national standards and the standards from several developed 397 countries in the present study. The current national air quality standard in China, 398 GB3095-2012, is found generally less strict than that of developed countries such as 399 the United States (NAAOS, https://www.epa.gov/criteria-air-pollutants) and the 400 European Union (EU, 2008), which are in their turn less strict than the WHO air 401 quality guidelines (WHO, 2005). For all the criteria pollutants encompassed by these standards, except NO2, GB3095-2012 is more tolerant than the American and 402 403 European standards. Especially for PM10 coarse particles, the threshold for 24-hour 404 mean concentration defined in the Chinese standard is 150 µg/m3 for residential 405 zones, which is 3 times that of the European and WHO standards, at 50 μ g/m3. It can be argued then, achieving the ambient air quality target as defined by this indicator, 406 407 should it happen sometime in the future, will still fall far short of guaranteeing air 408 quality in the city with respect to public health.

409 The current Chinese national quality standard for surface water, GB3838-2002, was 410 promulgated in 2002. It is a revised version of the 1983 standard GB3838-83. During 411 the revision, the criterion values were updated, essentially by referencing to the 412 standards of developed countries, including the US, the EU and Japan, given that 413 "there were no lake nutrient criteria related studies during the revision period for 414 GB3838-2002" (Zhou et al., 2014). As a result, the strictness of the criteria values for 415 pollutants in the GB3838-2002 is quite close to that of the developed countries. 416 Certain thresholds in the Chinese standard are even stricter, as noted by Su et al. 417 (2017). The same authors point out however the lack of contextualisation in the 418 implementation of the standard, stating that GB3838-2002 is "generally applied (in 419 all the lakes) in China without considering the differences in different regions...various climates, elevation, geography and other factors". 420

421 It has to be recognized that China needs to consider its economic and social realities 422 (industry-dominant economy, demographic challenge, need of urbanisation...) while 423 making progress in environmental protection. This to some extent explains the lower 424 air pollutant threshold set in the national standard GB3095-2012. Bearing this in 425 mind, the immediate challenge for Chinese environmental protection may not be how 426 to match the standards of developed nations at all costs, but how to develop tailor-427 made indicators that take local specificities into account.

- 428 3.3.2 Group 2 Scientifically-sound indicators
- This category covers the majority of Tianjin Eco-City's environmental indicators,which are:
- (1) the two proportion indicators, one pointing to the built sector, *proportion of green buildings*, the other the transport sector, *proportion of green trips*;
- 433 (2) one of the two energy indicators, *renewable energy*;
- 434 (3) the two indicators of the waste sector, *per capita domestic waste generation*435 and *overall recycling rate;*

436 437 (4) and the two indicators on water consumption, *per capita water consumption* and *water supply from non-traditional sources*.

438 These indicators are clearly defined, measurable, widely known and used across the 439 world for the purposes of sustainability assessment and inter-city comparison. Their 440 main advantage is their concreteness and problem specificity – it is easy to interpret 441 the meaning of the indicator and which problem it targets. Because of this 442 concreteness however, these indicators have relatively limited reach and are little use 443 on their own for assessing holistic performance. For instance, while ratios of 444 renewable energy or green trips can be used to measure the level of deployment of 445 renewable energy and low-emission transport facilities in a city, they cannot measure 446 the city's overall sustainability performance in the energy and transport sectors. Not 447 to mention the technical difficulties of accurately calculating the "ratios", as discussed 448 at the beginning of the paper. Even more bothering, an exclusive focus on these 449 indicators could impede holistic consideration of sustainability -- even at sectorial 450 level -- by overlooking other aspects, such as urban regeneration in the case of green 451 building, water saving in the case of water supply from non-traditional sources, economic viability in the case of *renewable energy use*, the inclusion of informal 452 453 collectors in the case of overall recycling rate, and walkability in the case of green 454 trips.

The conciliation between global and local is another critical question raised by the 455 456 analysis. On the one hand, there are growing calls for the standardisation of 457 sustainability assessment methods and indicators and intensive research efforts made 458 in that direction (Ecocity Builders, 2015; Eurostat, 2016; Suzuki et al., 2010). On the 459 other hand, the importance of accounting for regional disparities and local 460 characteristics is increasingly recognised, as noted by Joss et al. (2012): "indicators 461 specify in concrete terms what urban sustainability means to a given community by 462 defining the elements and benchmark targets". Taking the built sector for example, whilst the leading certification schemes, namely LEED, BREEAM, CASBEE, and 463 464 France's HQE, have been widely recognised around the world, their use at local scale 465 is far from systematic. This is undoubtedly attributable to the overwhelming 466 enthusiasm of politicians for economic growth, but also to the fact that these certification schemes are not applicable to local contexts (Zhou et al., 2011). In the 467 468 case of Tianjin Eco-City, all these well-known foreign green building standards, as 469 well as the Chinese national standards (ESGB and EIASGG), were rejected, giving 470 way to a green building standard developed by the eco-city its own, in order that 471 "local climatic and cultural specificities are taken into consideration during the 472 buildings' performance assessment" (Li et al. 2018).

473 3.3.3 Group 3 Indicator under scientific scrutiny

This group concerns one indicator, *carbon emission per unit GDP*. The indicator is conventionally used to assess a city's energy performance, together with another form of normalisation for carbon emissions, namely *per capita*. Despite their widespread use, there is intense debate among scientists over their scientific rationale. 478 The problem is twofold. The first concerns the measurement of carbon emissions. 479 How to accurately measure total greenhouse gas (GHG) emissions for a given city, in 480 a global context of increasing interaction between economic activities? Should 481 indirect emissions from local production and consumption be counted in the total 482 GHG? How should emissions relating to import and export activities be counted for? Despite the efforts of scholars to answers these questions (Ala-Mantila et al., 2014; 483 Ramaswami and Chavez, 2013), we seem to be a long way from any universal 484 485 agreement. The second problem concerns the two possible ways of standardising total emissions, namely *per capita* or *by GDP*. Normalising the total emissions of a city by 486 487 capita or by GDP can lead to contrasting results. For example, Price et al. (2013) 488 reported the carbon emission of two large cities in China, Beijing and Chongqing. 489 Both cities were found to be 20 times more carbon-intensive than international cities 490 when assessed using the GDP-based indicator, but show a similar scale of carbon 491 emissions with the per capita indicator. The authors conclude that indicators of CO2 492 emissions per unit of GDP or per capita were too aggregated, and cannot fully explain 493 end-use energy consumption and emissions within a city.

494 3.3.4 Group 4 Indicator lacking scientific foundation

495 Treatment to render solid waste non-hazardous is the indicator that seems to be the most problematic of the eleven. First, the literal definition of the indicator is 496 497 confusing. To all appearances this indicator relates to hazardous waste such as 498 electronic or medical waste. In fact however, as explained in "Navigating the Eco-499 City", the indicator is a portmanteau of multiple waste-treatment goals that basically 500 refer to two fundamental issues in the waste treatment sector. The first is hazardous 501 waste, a term that refers to byproducts of the medical, industrial or construction 502 sectors, and listed in relevant legislative documents promulgated by the Chinese 503 authorities. The second issue concerns the so-called "solid domestic waste", which 504 refers to all the waste generated by urban human activities, with the exception of the 505 three types of hazardous waste mentioned above. Rendering this kind of waste "non-506 hazardous" means "setting up an appropriate hierarchical disposal system through landfill, biological treatment, recycling, incineration and energy-recover facilities" 507 508 and "assuring that the emissions from each of these procedures meet the relative 509 national standards". As a whole, the indicator "treatment to render solid waste non-510 hazardous" means "to proceed to non-harmful disposal of the hazardous waste and 511 solid domestic waste in order that the harmful substances contained in these wastes 512 meet the current national or sectorial pollutant discharge standard" (Tianjin Eco-513 city, 2010). The value of the indicator will be a calculation of the ratio between the quantity of hazardous/solid waste that has been rendered "non-hazardous" and the 514 515 total quantity of such waste generated in the eco-city before disposal.

516 Having clarified the definition of the indicator, we can now fairly safely argue that the 517 indicator should be replaced by one or more indicators that will be simpler, more 518 concrete and more problem-focused, in a nutshell, more scientifically sound. It would 519 be interesting to know why the indicator has been formulated in this way, but that is 520 beyond the scope of this paper. Here we will be content to note that the United Nations sets separate guidelines for the indicators on "waste treatment and disposal"and "generation of hazardous waste" (United Nations, 2007).

523 4 Discussion and conclusion

In this paper, we have conducted a comprehensive bibliometric investigation into the scientific rationale for the environmental indicators used in the Tianjin Eco-City KPI system. To our knowledge, this is the first time that the well-known Tianjin Eco-City KPIs have been scientifically studied, and also the first time that a set of real-case environmental sustainability indicators has been addressed as a whole.

529 The results reveal above all that the Tianjin Eco-City KPIs are far from being a 530 system specifically dedicated to the urban scale, but are applicable to a city, to a 531 region, or to a country. This is in fact not so surprising if two realities are recognised: 532 1) that the boundaries between urban and rural are increasingly blurred, both 533 conceptually and in practice; and consequently 2) that no one can tell today how 534 urban sustainability might differ from sustainability in general. There are actions and 535 programmes dedicated to both themes, but the difference between urban and non-536 urban sustainability is never specifically discussed and the formulation is more likely 537 to be case-specific (urban sustainability when the case studied is a city and 538 sustainability otherwise) than to be based on a scientific rationale. Suffice it to say 539 that applying nationwide sustainability indicators to a city without contextual 540 adaptation could lead to inappropriate measures and unwanted consequences. In the 541 case of Tianjin Eco-City, the course of the river within the jurisdiction of the 542 Administrative Committee has been artificially cut off from the polluted river 543 upstream, so that surface water quality inside the city meets the requirements of the 544 indicator (Li et al., 2018), a pragmatic measure that can safely be described as 545 unsustainable.

That having been said, most of the environmental indicators from Tianjin Eco-City 546 547 are found to be scientifically relevant, which means that they are clearly defined, 548 problem-oriented, measurable and widely used by the international community 549 involved in urban sustainability. This is the case, for example, of *per capita domestic* 550 water consumption and renewable energy ratio. Nonetheless, there is still the 551 challenge of how to standardise measurement/calculation of the indicator and how to 552 gear considerations towards holistic urban sustainability by avoiding excessive 553 attention to one facet at the expense of the others.

554 As for the two indicators taken from the national standards on ambient air quality and 555 surface water quality, the question concerns the rationality of applying the national 556 scale indicators to city-level management. Clearly, the eco-city's managers can do 557 little about upstream water pollution outside the city (except through drastic measures 558 such as cutting the water course), or about air pollution originating from other parts of 559 Tianjin and north China. In other words, meeting air and water quality targets depends less on measures taken inside the eco-city than regional and national policies. In 560 561 consequence, the relevance of setting such indicators at eco-city scale, though 562 politically acceptable and necessary, is questionable.

563 The differences in the scientific rationale for Tianjin Eco-City's environmental 564 indicators are further reflected in their dispersal across the international scientific 565 literature, as revealed by our geographical analyses. The connections between the 566 authors' country and the country studied for the whole set of indicators clearly confirm that China remains the hotspot of world research on environmental 567 sustainability, and that the Western world (US, Europe, Japan, etc.), to which China 568 569 has turned for finding new planning strategies and technical environmental solutions 570 during the recent decades, maintain their interests in China's urban and ecological transition. Furthermore, the eco-city's environmental indicators, at least the main ones 571 that have been selected in this study, are consistent with the major challenges in 572 573 making sustainable cities that have been recognised by international scientists: urban 574 air pollution, clean energy use, traffic congestion, CO2 emissions, water saving and 575 reuse, waste reduction, etc. These challenges are a matter of debate in a wide range of countries across the world, as shown by our geographical analysis. Two of the eleven 576 indicators are found to be very "Chinese", namely Quality of water bodies and 577 Carbon emission per unit GDP. for which papers about China account for 78% and 578 579 42% of the corpus, respectively. Since the possible reasons of this have already been 580 developed, here we will focus on two important issues revealed by these indicators:

- Should trans-boundary pollution, such as that of a river, be defined as the responsibility of a city and incorporated into the assessment of the city's sustainability performance? While the answer is *a priori* negative, in a country like China where administration is highly segmented, strictly top-down, and framework for watershed management has yet to be built, it seems difficult to see other ways to tackle the watercourse pollution problem that has already become critical.
- Bundling environmental performance with economic outcome, as embodied by the indicator *Carbon emission per unit GDP*, to some extent reflects the tricky choice between economic growth and environmental protection in Chinese cities, at a time when a balance between economic and environmental objectives remains to be found, whether in China or elsewhere. Still, measuring pollution in relation to GDP is fraught with risk as it presupposes that "you can continue to pollute if it creates enough growth".
- 595 Based on the bibliometric analyses presented in this article, we made the following 596 recommendations on sustainable city indicators:
- The nature of existing indicators should be defined if these indicators are to be recycled in a new system. Local conditions and the characteristics of the (eco-city) project are main factors that impact the suitability of the indicators in the specific setting. In case where an indicator is an aggregated one or/and has been made for national- or regional-scale management, such as those used for air quality and water quality in Tianjin Eco-city, the applicability of the indicator in the new setting should be considered with caution.
- The exact definition of an indicator should be clearly understood, and its scientific rational sufficiently evaluated. An indicator is a highly synthetical

- thus simplified expression of sustainability goals, and this simplicity could
 easily lead to inexact even incorrect interpretation of the goals. Exact
 understanding of the meaning of the indicator is a pre-condition for
 evaluating its scientific rational, which in its turn impact the utility and
 exportability of the indicator.
- Last but not least, an indicator system embodies its makers' understanding of and preference to sustainability, thus its nature and scientific rational can be conditioned by the makers' specialty. It is thus of importance to investigate the construction process of an indicator system – who made the indicators, how were the indicators selected – before taking the system as a reference.

616 The scientific contribution of this paper is three-fold. First, it is the first time that the 617 Key Performance Indicators of Tianjin Eco-City is analysed, with a focus on their 618 scientific rationale. To our knowledge, it is also the first time that a set of urban 619 environmental indicators is analysed about scientific rationale. Second, instead of higher-level social-economic reflections, we deal with the most basic one among the 620 621 three pillars of sustainability, environment, in which field problems are far from being 622 solved, especially in rapidly urbanised countries like China. We suggest environment performance of our cities remain an issue to be tackled and should not be overlooked. 623 624 Third, we show a picture of the consilience and contrast between Chinese perception of urban environment performance and international ones. The information revealed 625 626 is expected inspirational both for Chinese and international specialists in 627 sustainability.

Finally, our work has limitations. The most significant is perhaps the source used for 628 629 the bibliometric survey. We used bibliometric tools to sample the most relevant 630 academic publications in Scopus that contain environmental indicators that overlap with the Tianjin Eco-City KPIs. However, urban development and sustainability are 631 core concerns not only for academics, but also for policymakers, practitioners, 632 633 consultants, think tanks, environmental industries, non-governmental organisations, 634 economists, the media.... Writings produced by these actors, such as reports, policy 635 documents and technical manuals, may not be published in scientific journals.

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641 Appendix

642 A. Keyword query per indicator

643 Table 3 Search terms employed and the number of publications found in each step.

N°	Indicator	Query in Scopus
1	Ambient air quality	TITLE-ABS-KEY ("Ambient Air Quality" AND "days") AND PUBYEAR > 1999
2	Quality of water bodies within the Eco-city	(TITLE-ABS ("surface water" W/2 "quality Standard")) OR (TITLE- ABS-KEY ("Quality Standards for Surface Water" OR "surface water environmental quality standards" OR "standard of Environmental Quality Standards for Surface Water" OR "surface water environment quality standard" OR "surface water quality standards" OR "water quality standards for surface water")) AND PUBYEAR > 1999
3	Carbon emission per unit GDP	(TITLE-ABS-KEY (((carbon OR "CO2" OR "greenhouse gas" OR "GHG") W/2 emission) AND ("per unit of GDP" OR "per unit GDP" OR "per GDP indicator" OR "per unit of gross domestic product")) OR "CO2 intensity" OR ("tons of carbon equivalent" AND (gdp OR "gross domestic product"))) AND PUBYEAR > 1999
4	Proportion of green buildings	TITLE-ABS-KEY (("Sustainable buildings" OR "Green Buildings" OR "High-performance buildings" OR "eco construction" OR "ecoconstruction" OR "sustainable construction" OR "green construction" OR "eco architecture " OR "eco architecture " OR "sustainable architecture " OR "green architecture") W/1 (proportion OR rate OR ratio OR percentage)) AND PUBYEAR > 1999
5	Per capita domestic water consumption	TITLE-ABS-KEY (("domestic water consumption" OR "Household water consumption" OR "Residential Water consumption" OR "water consumption of Household") AND ("per capita" OR "per person" OR "per habitant" OR "per citizen" OR "per resident" OR "per inhabitant")) AND PUBYEAR > 1999
6	Per capita domestic waste generation	TITLE-ABS-KEY (((("waste generation" OR "waste production" OR "generation of waste") W/3 domestic) OR "domestic waste") AND ("per capita" OR "per person") AND ("kg" OR kilogram OR ton)) AND PUBYEAR > 1999
7	Proportion of green trips	TITLE-ABS-KEY ("low carbon transportation" OR "low carbon transport" OR "green trip" OR "green transport" OR "green transportation" OR "sustainable transportation" OR "sustainable transport" OR "eco mobility" OR "ecomobility") AND PUBYEAR > 1999
8	Overall recycling rate	TITLE-ABS-KEY (("recycling rate" OR "recycling ratio" OR "recycling performance")) AND PUBYEAR > 1999
9	Treatment to render solid waste	(TITLE-ABS-KEY ((nonhazardous OR (toxic W/1 non) OR (hazardous W/1 non)) AND (waste AND NOT wastewater)) AND PUBYEAR > 1999)

	nonhazardous	
10	Renewable energy usage	(TITLE-ABS-KEY ("Renewable energy usage" OR "Renewable energy utilization" OR "Renewable energy use")) AND PUBYEAR > 1999
11	Water supply from nontraditional sources	TITLE-ABS-KEY ((urban OR city OR town) AND ("water reuse" OR "rain water harvesting" OR (water AND "non-traditional sources") OR "non-traditional water sources" OR (water AND "alternate sources") OR (water AND "alternative sources") OR "alternate water sources") AND ("per capita" OR "per person" OR "per inhabitant" OR "m3/d" OR "gal" OR "litre" OR "liter" OR "m/day" OR proportion OR percentage)) AND PUBYEAR > 1999

644 **B.** Notes per indicator on the scientific rationale

645 B.1 Indic 1 Ambient air quality

Clean air is recognised as a basic requirement of human health and well-being. The 646 primary factors of ambient air quality include land use, traffic emissions, industrial 647 648 emissions, biomass burning and trans-border air movement (Ling et al., 2010). Many 649 countries have set their own air quality standards. The most frequently cited standard 650 is the US Environmental Protection Agency's National Ambient Air Quality Standards (NAAQS). Of the 144 studies scored 1 or 2, 50 use the NAAQS, of which 9 651 652 are about areas outside the Unites States. The second mostly used standard is the 653 Chinese Ambient Air Quality Standards (GB3095-2012), with 20 occurrences, followed by the Indian National Ambient Air Quality Standards, 14 occurrences. The 654 European Union Air Quality Standard (EU, 2008) is commonly applied in European 655 Member States. The World Health Organisation guidelines (WHO, 2005), which set 656 657 lower guideline values for air pollutants than those of national standards, is only 658 referred to in 4 of the 144 studies.

Few studies address the relevance of the standards themselves. Among them, Tao et 659 660 al. (2015) monitored air quality and hazy weather conditions on an urban site in Guangzhou, and found that the incidence of hazy weather was not reduced as much as 661 expected, because of humidity. The authors therefore suggested more stringent PM2.5 662 guideline values in the national standard, with a distinction between dry and wet 663 conditions. J. Hu et al. (2015) found that the current Chinese air quality index based 664 on the maximum value of individual pollutants underestimated the severity of the 665 health risk associated with air pollution caused by multiple pollutants. 666

667 As to the metrics of air quality, maximum daytime hourly value is probably the most representative indicator, because the daytime concentration profile of the pollutants is 668 influenced by meteorological drivers and anthropogenic activities. In Chinese cities, 669 except for ozone (Shan et al., 2008), there is a priori not distinction between 670 weekdays and weekend (Hu et al., 2014), probably because of the relatively 671 homogeneous patterns of urban activity within Chinese cities across the week. 672 Andrews (2008) was the sole author who questioned the current air quality metrics 673 used in China. By analysing the discrepancy between reported 'Blue sky' days in 674 675 Beijing and published monitoring station data for the period 2002-2007, the author

676 observed that the reported improvements in air quality were more attributable to 677 deficiencies in the metrics than to tangible air quality improvement.

B.2 Indic 2 Quality of surface water in the eco-city

The first finding for this indicator is that Chinese studies, *i.e.* both the authors and 679 680 case study are Chinese, represent a majority of the corpus. Nevertheless, of the 119 681 papers retained, no one investigates urban water quality from a planning perspective. 682 The studies focus mostly on surface water sampling and chemical analysis of the water quality. This finding has two implications. The first is the cross-boundary 683 684 nature of the water quality deterioration, of which contributors go beyond urban 685 activities. For example, intensive use of pesticides in rural areas is a main contributor 686 to water body deterioration. Second, the quality of watercourses should be managed 687 by basin and not by administrative jurisdictions. Integrated river basin water 688 management (IRBM) is governance approach of surface water in Europe (EU, 2008). 689 China is also on its way to setting up its own IRBM systems (NPC, 2002). Clearly 690 then, surface water quality goes beyond the scope of city planners and managers.

691 The current National Environmental Quality Standard for Surface Water in China, 692 GB3838-2002, promulgated in 2002, is the third revision of the 1983 standard GB3838-83. In GB3838-2002, the guideline values were mostly set in reference to the 693 694 standards of certain developed countries (US, EU and Japan), in a context where 695 " (there was) not lake nutrient criteria related studies during the revision period for 696 GB3838-2002" (Zhou et al., 2014). Therefore, the stringency of the guideline values 697 set in the Chinese standard is similar to, and sometimes even more stringent than that 698 from other countries. However, there seems a lack of consideration of local conditions 699 when the guideline values were chosen. Chinese authors Su et al. (2017) 700 acknowledged the findings of Ding et al. (2015) and noted that GB3838-2002 is 701 "generally applied (in all the lakes) in China without considering the differences in different regions...various climates, elevation, geography and other factors". Besides, 702 703 Ma et al. (2015) indicate that the current water quality identification indices in the 704 GB3838-2002 do not consider the degree of importance of each parameter.

705 B.3 Indic 5 Carbon emission per unit GDP

Only 69 out of 505 search-generated articles (step 1 and 2) are urban studies, which indicates that greenhouse gas (GHG) emissions is a concern that crosses the boundary between urban and rural. The examination of the articles' abstracts reveals that the development of scientifically sound approaches of emission assessment remains a topic of debate. Scholars disagree on a multiple of issues, as described below.

711 1) GHG emissions calculation

Numerous questions about how to accurately calculate total GHG emissions for a given country or city remain unsolved. These include: Should indirect emissions from local production and consumption be left out of total GHG emissions? Should GHG from infrastructures and local community consumption be included? How do you account for emissions associated with import and export? Despite of the efforts made

717 by many researchers on questions (Ala-Mantila et al., 2014; Ramaswami and Chavez,

718 2013), there seems to be a long way to go before any universal agreement be found.

719 2) Normalisation

720 Indicators of GHG intensity build generally on a normalisation by GDP - this is the 721 case for Tianjin Eco-City - or per capita. Depending on specific conditions, these two 722 normalisations methods may lead to contradictory results. In a comparative study 723 conducted by Price et al. (2013), for instance, the two Chinese cities studied, Beijing and Chongqing, were found to be 20 times more carbon intensive than international 724 725 cities as calculated by the GDP-based indicator, while they manifested similar scales 726 of carbon emissions according to the capita-based indicator. The authors argued 727 furthermore that indicators of CO2 emissions per unit of GDP or per capita were too 728 aggregated and could not fully explain end-use energy consumption and emissions in 729 a given city. They developed therefore a composite end-use low-carbon indicator that 730 took into account, for a given city or country, both the normalised per-sector energy 731 consumption and the percentage contributions of the end-use sectors to total local 732 energy use.

733 3) Energy consumption and GHG emissions

Last but not least, energy consumption and GHG emissions should be distinguished even though they are closely connected. Between them lies a hidden variable – carbon intensity in energy supply – which expresses the amount of carbon emitted per unit of energy and depends on the energy fuel mix (Ramaswami and Chavez, 2013). In concrete terms, a decline in a city's GHG emissions does not necessarily imply better energy-saving policies, since it can be a consequence of, say, a global shift from coal to renewable energy in national energy production.

741 B.4 Indic 7 Proportion of green buildings

The quantity and diversity of green building rating systems around the world is 742 increasing. The current frontrunners include LEED (USA), BREEAM (UK), 743 744 CASBEE (Japan) and, to a lesser degree, France's HQE. In China, two standards coexist, which are, ESGB promulgated by the Ministry of Construction, and EIASGG 745 by the Ministry of Environment. Their on-ground implementation is, however, not for 746 747 granted. A convincing example is Tianiin Eco-City, which has established its own 748 green building standard. in order that "local climatic and cultural specificities are 749 taken into consideration during the buildings' performance assessment" (Li et al. 750 2018). Vij (2010) advocated for developing countries to produce their own 751 assessment and rating tools which cater to their 'specific concerns and factors in the 752 local building industry and construction standards'.

In broad terms, the proportion of green buildings is an indicator frequently used to
appraise sustainability. Paradoxically, however, it is not easy to find rankings of cities
or countries based on the proportion of green buildings. According to a report by
Mohan and Loeffert (2011), approximately 5% of buildings in the United States were
LEED certified green buildings as of 2011.

758 Buildings have been recognised as major consumers of energy and emitters of 759 greenhouse gas, so it is understandable that the quantity of green buildings in a city represents to a certain level its performance as regard to sustainability. As 760 761 certification schemes for green buildings have become increasingly popular, it seems 762 crucial today to clarify how these international and local schemes differ from one another. All of them undoubtedly cover factors such as energy efficiency, reduced 763 764 carbon emissions, rainwater recycling and reuse, etc. What is interesting to know is 765 how the indicators for the same factor are differently defined in different certification 766 systems. More importantly, constructing green buildings should not be a goal in itself, 767 but a way of achieving tangible sustainability outcomes. The undue enthusiasm for green building labelling and for the construction of new buildings to be labelled can 768 769 blind us to the importance of renovating existing buildings. As Onat et al. (2014) 770 remarked, 'focusing on the construction rate of net zero or high performance green 771 buildings alone did not help with stabilising or reducing GHG emissions unless the 772 retrofitting of existing residential building stock was seriously considered as a strict 773 policy along with green building policies'. Should a city district that consists 774 exclusively of new green buildings with old buildings entirely demolished be 775 considered more sustainable than a district where old buildings have been preserved 776 and retrofitted but without being able to be labelled as green buildings?

B.5 Indic 10 Per capita domestic water consumption

Residential water consumption is an essential field of urban planning (Troy and
Holloway, 2004). Our review shows that per capita consumption is the indicator
commonly used to measure domestic water demand and to plan water supply.

781 Water demand is expected to increase in coming years as a result of climate change, 782 especially in arid and semi-arid regions (Yan, 2013). Rain water harvesting and water 783 reuse offer two major water supply alternatives. While it is obvious that reuse policies 784 can save large quantities of water from potable sources (Gonzalez et al. 2011), public 785 perception has proved to be a big challenge to the implementation of such policies. It 786 has been found that the public tends to be more supportive of low-contact reuse, less 787 so for higher-contact reuse (Friedler and Lahav, 2006; Matos et al., 2013). It is thus 788 recommended to use holistic tools, which assess not only technological and 789 environmental benefits but also socio-cultural, institutional and economic factors 790 when water reuse is planned (Garcia et al., 2015; Rahman et al., 2010; Urkiaga et al., 791 2008). Furthermore, the question of alternating water sources should be considered 792 within a broader category of urban water management (Capodaglio et al., 2016).

With regard to technological possibilities contributing to better management of urban
water demand, automated water meters are proved to be efficient appliances because
of their monitoring capacity. The installation of such equipment can lead to an
immediate reduction in water use (Harutyunyan 2012; Joo et al. 2015).

While there are growing international calls for water conservation, current pricing policies for this fundamental and inelastic need are seemingly inconsistent with the international consensus (Salman et al., 2008). A survey in the city of Qingdao, China, shows that the average proportion of household expenditure on water is no more than 801 0.40% (Jin et al., 2015). Harutyunyan (2012) found that water consumption would
802 rebound after a short, though sharp decline following the installation of water meters,
803 if water prices were not adjusted at the same time. Similar finding have been reported
804 by Fielding et al. (2013).

There seems to be a need for technological improvement in household appliances in order to avoid waste. In the UK, 10% of daily per capita household water consumption is caused by waiting for tap water to become hot (Nawaz and Waya, 2014). Separate indicators for cold and hot water consumption might provide a better guide to action than aggregated per capita water consumption.

810 B.6Indic 11 Per capita domestic waste generation

Per capita per day is a conventionally used norm for measuring the rate of urban 811 waste generation, alongside its two alternatives, per week or per year. The lack of 812 813 international standards and methodologies for characterising urban solid waste is 814 recognised to be problematic: the content of reported waste may vary from one city to 815 another, making intra-city comparisons difficult (Edjabou et al., 2015). An example of 816 this concerns Chinese cities. While one study reported a waste generation rate of 817 1.08 kg/person/day in Chongqing (Hui et al., 2006), another study showed a very low rate of 0.23 kg/person/day in Beijing (Qu et al., 2009). The stark contrast between the 818 819 two Chinese megacities is less likely a reality than an artefact of possible differences 820 in the method of measurement.

Of equal importance are the manner and the extent to which socio-economic 821 822 conditions influence waste generation. Findings on this issue diverge. Gomez et al. 823 (2008), Sujauddin et al. (2008) and Ogwueleka (2013) found positive correlation 824 between household income and per capita waste generation, whereas Phuntsho et al. (2010) reported an absence of 'conclusive result' between the two. Ou et al. (2009) 825 826 even found negative correlation between household size/income and waste 827 generation. In general terms however, economic and policy incentives such as 'payas-you-throw', and spending on education, are found to be effective measures for 828 829 reducing waste generation (Grazhdani, 2016).

830 B.7 Indic 12 Proportion of green trips

831 Sustainable transport is a pre-requisite for a sustainable city (Wadhwa, 2000). To 832 date, however, there is no generally accepted definition of sustainable transport, or its 833 variant, "green trips" used in Tianjin Eco-City. Indeed, indicator occupies a core 834 position among urban transport studies (Buzási and Csete, 2015). Baggen and Aben 835 (2006) suggest using time, price and comfort as criterion to compare the performance 836 of urban transport solutions. Jiang et al. (2013) developed a system of 26 indicators to 837 measure transport sustainability in Chinese cities. Among the indicators, "public 838 transport and non-motor share (%)" is similar with Tianjin Eco-City's green trips 839 indicator.

B40 Developing a transit network that offers a variety of transport options and favouring B41 walkability is the primary policy for city sustainability (Haghshenas et al., 2015; Wey B42 and Hsu, 2014). Assessing the performance of a city's transport system is an

843 extremely complex task, bound up with issues such as renewable energy use, GHG emissions, and socio-economic reliability. As Kasperska (2015) says, "How to 844 845 minimise the costs generated by the development of innovative transport 846 infrastructures and offset them by environmental and social gains is still a challenge". 847 In light of this, a high green trip proportion alone suffices hardly to make transport sustainable, not to mention the difficulties in appropriately computing the so-called 848 849 "green trip proportion" (Cottrill and Derrible, 2015; Schipper, 2002). Similar with 850 renewable energy development, sustainable transport is intertwined with a large board of questions of the urban system and requires holistic approaches to tackle with. 851 852 Integrated analytical and decision-making support tools are thus needed for the make 853 of sound urban transport policies (Praticò and Vaiana, 2012).

B.8 Indic 13 Overall recycling rate

855 Recycling rate is a widely used indicator for assessing waste management in cities, 856 aside indicators of waste generation and collection. Another indicator often used is "equivalent CO2 emissions" (Wilson et al., 2012). Kaila (2013) addressed the issue of 857 potential hazardous substances in recycled and re-used materials and suggested using 858 859 material flux to different types of sinks as an indicator of waste management 860 performance. Harder et al. (2008) proposed a Maximum Practicable Recycling Rate Provision indicator for measuring the percentage of local waste that could be recycled 861 by the existing municipal services. The European waste management programme 862 ACR+ (De Clercq and Hannequart, 2010) makes recommendations on setting 863 864 common indicators for European countries. Wilson et al. (2015) developed a set of 865 indicators on the basis of two overlapping "triangles" defined by UN-Habitat: one triangle containing the three physical components, i.e. collection, recycling, disposal, 866 867 and one triangle containing the components of governance, i.e. inclusivity, financial 868 sustainability and proactive institutional policies.

869 In Western countries, the transition from landfill to integrated urban waste 870 management has almost been accomplished, though challenges remain in terms of 871 disparities between areas (Clarke and Maantay, 2006; Rudden, 2007). In these 872 countries, the focus of research has shifted from technical issues relating to public 873 services to the socio-economic factors of neighbourhood scale recycling rate. For instance, Clarke and Maantay (2006) developed a Recycling Education, Awareness, 874 875 and Participation index for measuring the socio-economic variables of recycling rates in urban districts. In developing countries where municipal waste collection and 876 recycling are largely carried out by the informal recycling sector (individual waste-877 pickers), it is crucial to incorporate this sector into the waste management network in 878 879 order to create synergies around sustainable waste management targets. This 880 integration is believed by many scholars to offer an opportunity for win-win solutions 881 (Linzner and Salhofer, 2014; Sim et al., 2013; Tirado-Soto and Zamberlan, 2013).

882 B.9Indic 15 Treatment to render solid waste non-hazardous

According to "Navigating the Eco-city" (Tianjin Eco-city, 2010), this indicator refers to the proportion of the total waste produced in the eco-city that are rendered nonhazardous. This includes: 1) treatment of dangerous and toxic waste generated by medical, industrial and construction activities; and 2) treatment of domestic through
recycling, re-use, biological methods, incineration and landfill. In the book, the
authors provide a further explanation relating to point 2):

- 6889 "the first form (recycling and re-use) is considered by default as nonhazardous treatment, the second (biological) and third (incineration)
 691 forms need to meet requirement by relevant standards; (as to) the fourth
 692 form (landfill), it is obligatory to assure non-hazardous landfilling."
- In a nutshell, this indicator is not restricted to *hazardous* solid waste as sensibly seems
 to be, but to all solid waste. It can therefore be reformulated more generically, for
 example as *safe treatment and recycling of solid waste*.

896 After this definition clarification, it will come as little surprise that the corpus shrunk 897 very substantially after the two filters for urban (step 2 and 3), from a considerable volume following the keyword search on non-hazardous (Table 2). Among the papers 898 899 retained, we can cite Farzadkia et al. (2009) who points out the absence of appropriate 900 separation of hazardous waste from non-hazardous waste in some cities, and the paper 901 on the European Council Directive that suggests an impermeable mineral layer for 902 sealing non-hazardous landfills (Simon and Müller, 2004). A certain number of 903 papers talk about healthcare waste, one paper deals with the impacts of (hazardous) 904 waste on real estate, certain papers explore the use of incineration bottom ash as a 905 non-hazardous material in road construction. But there is not any paper dealing with 906 the treatment of hazardous waste from an urban planning and management 907 perspective.

A further examination of the larger corpus before filtering on the urban criterion 908 909 reveals that many studies on hazardous and non-hazardous waste originating from construction and industrial were rejected because they did not include any terms from 910 911 the list of urban terms. This finding implies certain discordance between hazardous 912 industrial and construction waste and urban waste management. Whereas the 913 management of non-hazardous waste is the responsibility of local governments 914 (Bacinschi et al., 2010), that of hazardous waste from the healthcare, construction and 915 industrial sectors may remain the responsibility of the producers, which could be a 916 matter of concern with regard to more comprehensive urban waste management.

917 B.10 Indic 19 Renewable energy ratio

918 Renewable energy (RE) ratio is widely used for the assessment of energy 919 performance, especially in the green building and electric vehicle sectors (Begum et 920 al., 2013; Beheiry, 2011; Chen et al., 2014; Gerylo, 2010; Januševičius and 921 Streckienė, 2013; Monteiro and Nunes, 2015; Prata et al., 2013). Other indicators for 922 measuring the development and outcome of RE include "investment in renewable 923 energy" (Spalding-Fecher, 2003), and "household savings" with smart energy control 924 systems (Mourad et al., 2014).

Xia et al. (2008) show the importance of taking into account the extra conventionalenergy consumed in the use of renewables in order to obtain more realistic RE

927 outcomes. Otherwise the contribution of RE systems may be exaggerated, leading to928 "wide use of renewable energy without improving energy efficiency".

929 A majority of studies in our corpus assess the potential contribution of renewable 930 energy to total energy or total electricity demand by considering the availability of RE 931 facilities or the remaining space for the installation of further facilities. Few studies 932 address RE from a planning perspective. Some explanatory clues can be found in the 933 analysis by Wall et al. (2012), in which the authors identified three architectural 934 barriers to the greater integration of solar technologies into buildings, namely: 1) 935 limited diversity/range of designs for integration into buildings, stemming from insufficient architectural knowledge among manufacturers, 2) lack of knowledge of 936 937 technology and innovative products among architects, 3) lack of tools to quantify, 938 illustrate and communicate the outcome of including solar energy at the early design 939 phase. We can assume by analogy that the lack of sufficient shared knowledge between planners and RE professions impedes the development of appropriate 940 941 support tools for holistic RE planning and assessment. Comprehensive planning that 942 includes a variety of city scale RE solutions seems yet to come. As Pitt and Bassett 943 (2013) observed: "While many cities are aggressively pursuing clean energy 944 opportunities in their municipal operations, far fewer are taking action to promote 945 clean energy community wide."

946 The RE ratio is certainly a criterion that makes sense in promoting RE development. 947 since it enables comparisons between cities and countries. Nevertheless, introducing 948 RE facilities should be seen less as an ultimate goal than a way of tackling energy 949 demand and GHG emission challenges. It is essential to develop holistic approaches 950 that consider other criteria alongside RE ratio. In particular, the economic reliability 951 of any RE planning should not be neglected. Unfortunately, there seems a paucity of literature addressing the economic viability of RE solutions, though we can cite the 952 study of Bassiouny et al. (2011), who evaluated the cost and value of connecting wind 953 954 farms to electricity grid.

955 B.11 Indic 20 Water supply from non-traditional sources

As might be expected, increasing the proportion of water supply from non-traditional 956 sources, *i.e.* from outside the municipal supply network, is one of the major objectives 957 958 of urban water management. All of the 50 papers ranked 1-2 deal with this issue. The 959 reuse of grey/black water and rain harvesting are two major sources for non-potable 960 water supply that receive the most attention. Research topics from our corpus include 961 the potential of the aforementioned two sources, their drivers, and the barriers to their 962 large-scale implementation. Wung et al. (2006) estimated that 35% of the water 963 supply to Taipei's schools could be provided by rainwater harvesting. Garcia et al. 964 (2015) examined the sociological drivers of rainwater harvesting for garden irrigation in 965 a Spanish region, and found that household income, estimated water requirement and 966 education level were direct drivers, and interest in gardening and attitudes to water 967 conservation were indirect drivers. In the context of the USA, Steffen et al. (2013) 968 found that the performance of household rain harvesting systems depended on cistern 969 size and climate patterns.

- In Dhaka city, average household grey water was 85 l/cap/d, i.e. 60% of the total waste
 water generated (Biswas et al. 2012). A survey taken by Yamagata et al. (2003) showed
 that 61% of non-potable water demand in 23 wards of the metropolitan region of Tokyo
- 973 was met by reclaimed water, thanks to biological treatment and ultra-filtration processes.

The advantages of scale have been found in the construction cost of on-site water recycling systems. In the case of Tokyo, a capacity of 100m³/d was found to be the threshold for greater economic viability. In the case of Houston in humid sub-tropical Texas, increasing the size of rainwater cisterns was found to increase payback (Sweeney and Pate, 2015).

979 The performance of parcel rainwater harvesting systems greatly depends on climatic
980 conditions, as demonstrated by research carried in a number of regions and cities
981 (Steffen et al., 2013; Sweeney and Pate, 2015).

982 The risks to human health of using reclaimed water are found to be relatively low, 983 provided that rigorous and appropriate treatment processes are implemented for the 984 target usage (Barker-Reid et al., 2010; Sinclair et al., 2010; Wang et al., 2011; 985 Yamagata et al., 2003). Apart from routine issues, which are the object of continuous 986 research, including patterns of indoor water use (Matos et al., 2013), the quality and 987 aesthetics of reclaimed water (Biswas et al. 2012), further progress in regulations and 988 incentive strategies also seems to be a key contributor to the use of alternative water 989 sources. A change in public attitudes from acceptance of low-contact reuse only 990 (Friedler and Lahav, 2006) to acceptance of higher-contact reuse, can only be 991 achieved through greater awareness.

Last but not least, the request for alternative water sources should not be a substitute of water-conservation measures and encouragement of behavioral change. It is easy to understand that reuse could lead to excessive consumption because of the lower price of reused water compared with tap water, which in turn would have an adverse impact on sewage (more wastewater to be drained). From this perspective, continuing encouragement is needed both for the use of *different* water and of *less* water, in order to alleviate the pressures on surface and underground water resources.

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