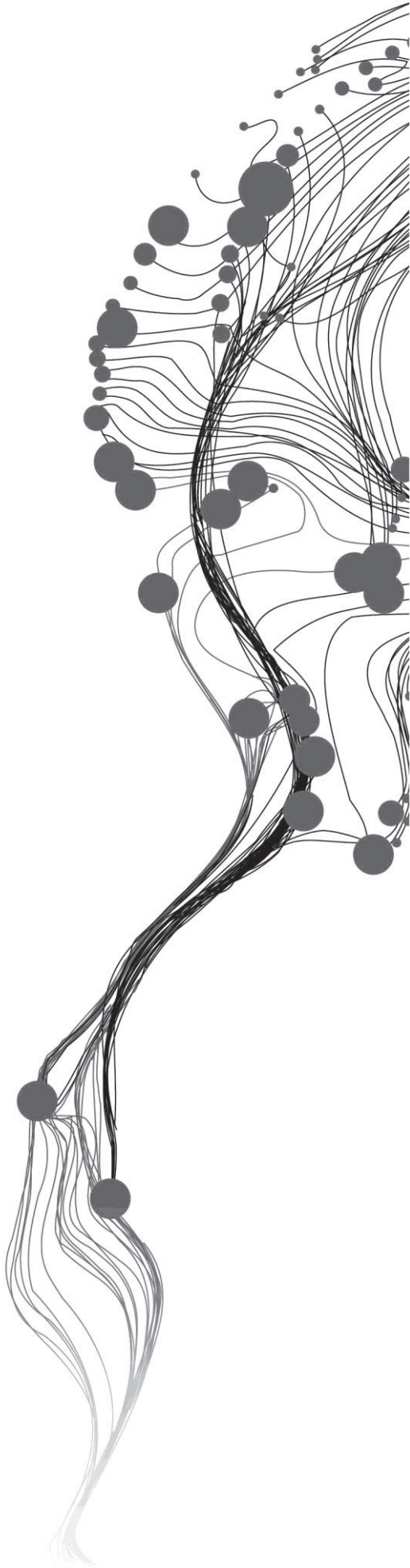


# **DEMOCRATIC ASSESSMENT OF COLLABORATIVE PLANNING PRACTICES**

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November, 2011

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# Democratic Assessment of Collaborative Planning Practices

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# ABSTRACT

**Keywords:** Collaborative Planning, Urban Democracy, Democratic Evaluation

Over the past several decades, collaborative planning as communicative and interactive nature of planning practices has been increasingly emphasized (Forester, 1989; Friedmann, 1973; Healey, 1992; Innes, 1996). Considerable attention has been given to developing guidelines and tools while collaborative planning evaluation field is not so elaborated (Laurian & Shaw, 2009). Some efforts have been done for devising comprehensive practical assessment frameworks (Frame, Gunton, & Day, 2004; Innes & Booher, 1999; R. D. Margerum, 2002; Moote, McClaran, & Chickering, 1997; Susskind, Wansem, & Ciccareli, 2010; Wondolleck & Yaffee, 2000) but as Agger and Lofgren (2008) discuss, they ignore specific democratic values essential for any collaborative practice as part of urban democracy.

“Democratic Assessment Framework” as an alternative approach tries to fill this gap by suggesting a conceptual structure based on Dahl’s theory of democracy (Agger & Löfgren, 2008). This framework is premised on five norms of access, public deliberation, adaptiveness, accountability and political identity and evaluates to what extent different phases of collaboration (input, process and outcome) meet those democratic norms. Although this framework provides planners with a comprehensive conceptual structure, for being practical it lacks well-defined criteria. Hence defining criteria for different norms and phases of this framework is the main aim of this study.

In this study some criteria were defined based on ideals of collaborative planning practices extracted from literatures on urban democracy, collaborative planning guidelines and principles with the idea that instead of consensus, the ideal outcome of these processes should be unmasking power relations. Other criteria were developed using concepts extracted from literatures on evaluation frameworks for democracy in large-scale governance. The main adopted concept for these set of criteria is rule of law; Existence of ground rules and urban laws which support the collaborative process which is considered to be part of democratic nature of the process.

To make a practical framework a methodological framework for evaluating each criteria and interpreting final results is developed. The final status of each project is represented in a range from non-democratic to fully democratic. Application of this framework for evaluation of different cases from different types of collaboration (decision-making and consultation) with different used methods and techniques reveals that by only using this structure one cannot thoroughly evaluate and explain the collaboration process so a set of explanatory criteria should be investigated in each context. Furthermore difficulty in finding those involved in the process and relevant documents necessary for evaluation of specific criteria may reduce efficiency of this framework. Hence improving the criteria and methods for final interpretation can be subject for further studies.

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# 1. INTRODUCTION

Collaborative planning was introduced during 1980s in response to failures of technocratic planning which was predicated on independent experts and scientific analysis. Relying on critical theory of Jorgen Habermas, this new approach was built on the idea of public involvement in planning. The fundamental assumption was that different preferences can come up with shared goal and principles through unconstrained discussion (Pellizzoni, 2003). In practice this approach seeks to bring together major stakeholders to address controversial issues (R. D. Margerum, 2002) in order to come up with more innovative solutions.

Habermas theory and indeed collaborative planning is predicated on 'ideal speech situation' which is referred to a situation in which these conditions are met: a) no affected party is excluded; b) all parties have equal opportunity to present and criticize; c) each party is willing to empathize with all other parties; d) power differences are neutralized to the extent that they have no impact on the creation of consensus; and e) participants are transparent about their goals and interests and do not engage in strategic action (Flyvbjerg, 1998b). Collaborative planning is now formally adopted as a preferred planning model in forest and land use planning, watershed planning, regulatory rule-making, and urban planning in the United States, Canada, and Australia (Gunton, 2010).

Since its emergence, collaborative planning faces many critiques on its theoretical basis. Foucault can be considered as a main critic of Habermas theory. He argues that the fact that Habermas's theory is grounded on consensus, make it unrealistic due to ignorance of power relations. Based on Foucault's ideas Flyvbjerg (2002) discusses that in practice in non-trivial situations there are few clear criteria for determining what is considered an argument, how good it is, and how different arguments are to be evaluated against each other to reach consensus. Pellizzoni (2001) also argues that agreement on the 'best argument', on a shared justification of a course of action cannot be reached, even in the most favourable and equitable conditions.

On the other hand, Healy believes that the practice of collaborative planning, was often far from reflecting the inclusionary qualities of a potential collaborative process and this has led to a critical commentary from planning theorists on the conceptualization and practical relevance of the collaborative planning idea, and communicative planning theory generally (Healey, 2003). She argues that several groups advocating inclusive participative processes in project design and development were using the collaborative label. And the metaphor 'collaborative planning' became used and misused by politicians and policy-makers to describe their ambitions for a new form of governance.

## 1.1. Assessment of Collaborative Practices

Although many guidelines were developed in recent years, few efforts have been done for assessing how well these guidelines have worked. After decades of practicing collaborative planning, researches now have enough evidences to support their assessment frameworks. Reviewing literatures on evaluation of collaborative practices, Morton (2009) has identify strengths and challenges as it is shown in table 1 and table 2.

He then categorize drivers and barriers of collaborative practices into seven general categories: (1) Preconditions; (2) Access to resources; (3) Degree of inclusiveness; (4) Degree of authority; (5) Communications and dispute resolution; (6) Alternatives for stakeholders, and (7) Process mechanics. A

well-designed process will attempt to join drivers of success within each of these categories, whereas a poorly designed process will likely face barriers in one category or more.

Table 1: Strengths of Collaborative Practices

		(Moote, et al., 1997)	(Steve W. Selin, 2000)	(Wondolleck & Yaffee, 2000)	(Beierle & Cayford, 2002)	(Leach, Pelkey, & Sabatier, 2002)	(Susskind, et al., 2010)	(Frame, et al., 2004)
<b>Strengths</b>	Increased Social/Political Capital	•	•	•	•	•	•	•
	New shared knowledge- base	•	•	•	•		•	•
	Representation	•	•	•		•	•	•
	Satisfaction, Teamwork		•	•				•
	New, Higher quality solutions			•	•		•	•
	Legitimacy/buy-in		•	•				•

Source: (Morton, 2009)

Table 2: Challenges of Collaborative Practices

		(Moote, et al., 1997)	(Wondolleck & Yaffee, 2000)	(Richard D. Margerum, 2002)	(Beierle & Cayford, 2002)	(Leach, et al., 2002)	(Frame, et al., 2004)	(Mascarenhas & Scarce, 2004)	(Brand & Gaffkin, 2007)
<b>Challenges</b>	Power Imbalance	•	•	•			•	•	•
	High Cost	•	•	•					
	Participant burnout/attrition	•	•	•					
	Unrepresentative	•	•		•			•	•
	Increased or Unreduced Conflict	•				•	•		•

Source: (Morton, 2009)

Innes and Booher (1999) suggest a framework which deals with assessing process and outcomes of the consensus building practice. They indicate that their framework is grounded on three sources: 1) the results of their and others’ research and practice in consensus building, 2) the idea of complexity science and 3) the concept of communicative rationality. In their framework they give two categories of criteria including process and outcome. They also emphasize that process and outcome are so interrelated. Well designing the process can lead to better outcomes. This framework also considers first, second and third order possible outcomes of consensus building.

Margerum (2002) believes that an important factor influencing the effectiveness of collaborative planning is the quality of the process. Hence he extracts seven common criteria for assessing process of collaborative practices in existing literature. These criteria are: Including the full range of stakeholders, including public participation and involvement, supporting and facilitating the process, establishing a common problem definition or shared tasks, organizing the process in terms of ground rules, agendas, etc., engaging participants (jointly search information and invent new options, reach agreement through consensus.

A different newly developed framework is based on assessment frameworks in political sciences. Democratic assessment introduced by Agger and Lofgren (2008) predicated on Dahl's definition of democratic practice. According to Dahl ideal of democracy is only a theoretical utopia. He (Dahl, 1989) believes that for reaching that ideal five criteria should be met:

1. **Effective participation:** Citizens must have adequate and equal opportunities to form their preference and place questions on the public agenda and express reasons for one outcome over the other.
2. **Voting equality at the decisive stage:** Each citizen must be assured his or her judgments will be counted as equal in weights to the judgments of others.
3. **Enlightened understanding:** Citizens must enjoy ample and equal opportunities for discovering and affirming what choice would best serve their interests.
4. **Control of the agenda:** Demos or people must have the opportunity to decide what political matters actually are and what should be brought up for deliberation.
5. **Inclusiveness:** Equality must extend to all citizens within the state. Everyone has legitimate stake within the political process.

Adapting this conceptual framework to micro-level participation, they use following norms for constructing their conceptual framework: access, inclusion and participation, public deliberation, democratic adaptiveness, accountability and the development of democratic identities.

Considering all the discussed frameworks evaluating collaborative planning practices can be challenging for many reasons. First it is difficult to distinguish and compare collaborative and non-collaborative initiatives and keep all other variables constant. Secondly each case is unique in terms of issues of discussion, stakeholders' groups and organizational structures. Thirdly, collaborative processes are lengthy and usually take several years to complete. That is why most of the studies are more focused on assessing the process of participation and not the implemented outcomes.

## 1.2. Research Problem Statement, Objectives and Questions

Most of the theoretical frameworks that have been developed for assessing collaborative practices are so broad that it is almost impossible to apply them completely to a specific case. So in most cases studies are focused on few aspects of assessment; either it only concerns complete set of process criteria or outcome criteria. There exist also some studies which consider both phases but with limited number of criteria.

On the other hands as it is mentioned in framework introduced by Innes and Booher (1999) the quality of each phase can influence output and quality of its following phases. This aspect is always ignored in different studies. There are very limited studies how different phases can influence each other but they are mostly focused on specific methods or processes.

Democratic assessment framework gives a clear organized structure for assessing collaborative practices but it does not have yet well-developed criteria. Although it has some overlaps with traditional evaluation frameworks it still lacks complete set of criteria in number of its norms. The fact that the democratic framework has referred to the three main phases of planning and has interpreted each norm in all these phases, gives this framework a potential to consider influence of each phase on its following phases.

Hence the main problem that this research will tackle is: 'Lack of well-structured assessment frameworks for assessing collaborative practices which is able to consider the influence of quality of each phase on the following phases.'

'Regarding the discussed problem the main aim of this research is: Enhancing democratic assessment framework through introducing new indicators for each norm and phase and testing it on specific case.'

To reach the main aim of this research following objectives should be considered:

- Defining criteria for assessing norms of democratic assessment framework in each phase of collaboration (input, process and outcome)
  - In which aspects the new democratic framework assessment overlaps with traditional frameworks?
  - Which criteria already defined in traditional frameworks can be used in democratic assessment framework and in which norm and phase?
  - What new criteria can be defined to make democratic assessment more practical? From which field of study these new criteria can be defined?
- Evaluating to what extent practical cases of collaboration are democratic regarding the democratic norm.
  - Does preparation of the collaboration meets democratic ideals?
  - Does the actual process of collaboration reach the aims which were set in preparation phase?
  - Is the actual process democratic based on defined criteria?
  - Does the outcome of the project reflect the consensus built in collaboration process?
  - Does the outcome meet democratic criteria?

For answering above questions, following conceptual framework is considered (Figure 1: Conceptual Framework of the Research. Possible criteria for assessing collaborative practices will be extracted from three sources being theoretical comments about nature of collaborative planning, guidelines for good collaborative practices and existing evaluation frameworks. By fitting these possible criteria in democratic assessment framework structure, final set of criteria for democratic assessment of collaborative practices will be provided.

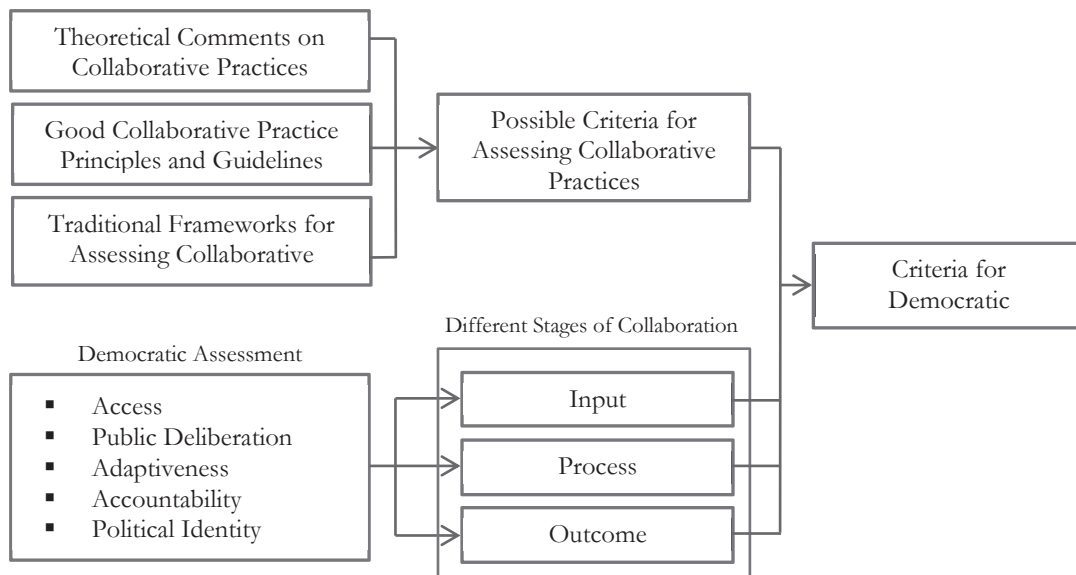


Figure 1: Conceptual Framework of the Research

In following report, the complete process of defining criteria and applying them in different cases has been delivered. In the first chapter the conceptual grounding of the framework has been defined. In second chapter issues regarding how to make the framework practical have been discussed. Methodology to follow and possible appropriate case studies are explained. In third chapter the resultant criteria for different norms and phases of the framework are fully discussed and three different examples of applying the framework are given. In the final chapter advantages, limitation and challenges of using the framework has been discussed.

## 2. CONCEPTUALIZING THE DEMOCRATIC ASSESSMENT FRAMEWORK

### 2.1. Urban Democracy in Theory

There is a huge body of literature on democracy and democratic governance. Collier and Levitsky (1997) identified hundreds of different subtypes of democracy in the literature. Since then, the attempt to distinguish between different kinds of democracies has increased further as a number of scholars have tried to construct new typologies of political regimes (Møller & Skaaning, 2010). Apart from different categorization, three main notions of democracy related to governance and planning practices can be defined as: elitist, participatory and discourses theory of democracy (Hanberger, 2006).

According to the theory of elitist democracy, sometimes referred to as the liberal or Lockean view, political elites compete for power in open societies. It is assumed that citizens can control their government by choosing among competing elites (Hanberger, 2006). Citizens are not given a direct role in the policy process and decision-making is a task for those in power. According to this theory democratization involves improving the elite's representation of the people. In other words, the core idea here is the same as representative democracy, but it is a very limited elitist version (Hanberger, 2006).

The participatory theory of democracy assumes that people's participation is the most important quality of democracy. According to this view, the power of the people is exercised when they participate. Moreover, participation is assumed to foster democratic citizens and to help in the creation of identity, to encourage a desire to participate further in common affairs, to develop responsibility and so on (Hanberger, 2006). According to this approach, it is only through participation that the idea of democracy can be realized hence non-participation is seen as the major threats to democracy.

The discourse theory of democracy, sometimes called 'deliberative democracy', is also concerned with participation. However, this theory goes one step further in its participatory requirements (Hanberger, 2006). Based on this view, it's only through discussions among free and equal citizens that the idea of democracy can be achieved. The main idea in this type of democracy is common commitment to a mode of reasoning. Hence the discourse is open to those affected by collective decisions and/or their representatives. It is a mode of decision-making by "means of arguments offered by and to participants who are committed to the values of rationality and impartiality" (Elster, 1998). Democratization, from this viewpoint, involves (re)creating meeting-places where communication without domination can take place (Hanberger, 2006).

Beetham (1999) claims that the core idea of democracy is that of popular control over collective decision making. Beyond the broad commitment to rule by the majority, democracy involves a set of contentious debates concerning the proper function and scope of power, equality, freedom, justice and interests. But development of complex societies in the twentieth century has made direct citizen rule an unrealistic option (Michels, 2011) hence representative democracy seems to be the most realistic option for modern democracy.

Complex decision-making structures, in which many actors interact, and the decline of the representation function of political parties foster discussion of the legitimacy of democracy and have raised demands for

additional forms of citizen participation (Cain, Dalton, & Scarrow, 2006). Theoretically, the role of citizen participation in democracy is a discussion mainly conducted by participatory and deliberative democrats.

In urban planning context understanding and explaining the democratic character of urban transformation processes and the power relations that lie in such processes continue to challenge planning theorists and practitioners. Two dominant theoretical frames are commonly used to explain and understand democracy in urban governance processes: communicative planning theory and Chantal Mouffe's radical agonistic pluralism which are both predicated on deliberative democracy notion (Bond, 2011).

### **2.1.1. Communicative Planning**

The term communicative planning is used to refer to a broad and varied range of concepts including collaborative, deliberative and argumentative planning. This concept was introduced in 1960s and later was developed by many planners such as Patsy Healy, Judith Innes and others. Juergen Habermas theory of communicative action became basis for many of these works. In communicative approach it is assumed that the most democratic way of decision-making in planning practices is consensus oriented debate between all the relevant stakeholders (Bond, 2011).

In communicative action theory Habermas (1984) introduced concept of ideal speech situation in which validity claims are based on consensus amongst equal participants, and the negative, distorting effects of power are removed. He set five conditions for an ideal speech situation: 1) no affected party is excluded; 2) all parties have equal opportunity to present and criticize; 3) each party is willing to empathize with all other parties; 4) power differences are neutralized to the extent that they have no impact on the creation of consensus; and 5) participants are transparent about their goals and interests and do not engage in strategic action (Flyvbjerg, 1998b).

In rational of communicative action theory argumentation is central. In theory, underlying validity of reasons given in the argumentation (validity claim) are either accepted or rejected in the communicative space, and alternative claims put forth, until agreement is reached (Bond, 2011). A rational and reasoned agreement then is based on recognition of the corresponding validity claims of comprehensibility, truth, truthfulness, and normative rightness (Hillier, 2003). Hence what is true, or what is right, is determined by the consensus, resulting from a free and open discussion between all relevant actors (Hillier, 2003). But According to Flyvbjerg in practice in non-trivial situations there are few clear criteria for determining what is considered an argument, how good it is, and how different arguments are to be evaluated against each other (Flyvbjerg, 2002).

Reaching such consensus needs communicatively rational process and appropriate tools and techniques. Language is the most commonly used mean of communication. According to Gunder (2011) we largely take language and the resultant social reality it produces for granted while it may cause many misconceptions and illusions and is never fully comprehensive or complete. Focusing on reaching consensus will also influence the process and tools used in the practice. It will overemphasize the importance of key communicative events in planning, such as public meetings and consequently fails to capture the importance of non-communicative processes and action (Gunder, 2011)

Habermas's efforts to achieve more rationality and democracy draw attention away from critical relations of power (Flyvbjerg, 2002). Gunder (2003) points out that such consensus-formation processes often fail, because Habermasian theory is based on a metaphysical belief that an ideal communicative situation can create understanding and agreement for all participants. As Flyvbjerg (Flyvbjerg, 2002) discusses Habermas (1990) himself recognize lack of "crucial institutions", lack of 'crucial socialization' and 'poverty, abuse, and degradation' as barriers to discursive decision making.

The basic weakness of Habermas's ideas is its lack of agreement between its ideals and reality (Flyvbjerg, 2002). Actual implementation of discourse ethics would run based on the interests of social and political



actors, which is inevitable for societies and decisions of any complexity. It is an inevitable fact that every practice is governed by the implicit local “rules” of a given time, place or community which may change the common interest (Bond, 2011). In reality, actors may see little benefit in behaving ‘communicatively rationally’ when strategic, instrumental power plays and manipulation of information could result in more favourable outcomes for themselves (Hillier, 2003). The basic contradiction here is that power would be needed to arrive at Habermas’s non-forced communication. Agreement would, in this sense, be forced (Flyvbjerg, 2002).

Adopting this approach to planning context, the role of the planner in “regulating” communicative planning practice, as Gunder (2003) discusses, is as that of a “critical friend” whose task involves seeking the achievement of ideal speech and discourse ethics by facilitating the process and addressing the distorts created by the power relations. This includes: “shaping attention”, “guiding judgments on how claims are justified and validated”, “mediating and negotiating outcomes”, and “anticipating and counteracting misinformation, clarifying, elucidating policy options and implications, and challenging misrepresentations and flawed appeals to legitimacy”.

### **2.1.2. Agonistic Theory**

An alternative approach to urban democracy is agonistic theory. According to Hillier (2003) in planning practices, making a decision requires accommodating for some values against others. In this sense consensus cannot exist without control and exclusion of some ideas. So instead of trying to omit differences in conceptions and values of participants in communicative theory, agonistic approach tries to value them as driver for reaching better decisions (Flyvbjerg, 1998a, 2002; Gunder, 2003; Hillier, 2003). As Schiffman (2002) states “democracy without institutionalized normative disagreement is simply not democracy”. Flyvbjerg (2002) also by referring to Foucault’s ideas emphasizes the importance of “understanding of democracy, and the role of planning within it”, based on the notion which place conflict and diversity in centre.

The value of agonistic theory is in recognition of dynamics of power, which considers understanding of how power works as pre-requisite for any action. For Foucault, “the problem is not of trying to dissolve [relations of power] in the utopia of a perfectly transparent communication, but to give...the rules of law, the techniques of management, and also the ethics...which would allow these games of power to be played with a minimum of domination” (Flyvbjerg, 2002). Lacanians also believe that “perfect information and consensus’ is not reachable”. As Dean (2001) stated: “No inclusion, whether of groups or information, people or issues, will provide enough legitimacy to justify what is claimed in the name of the public”.

Foucault finds knowledge as a crucial factor in shaping and influencing power relations. He rarely separated knowledge from power: “we should abandon a whole tradition that allows us to imagine that knowledge can exist only where the power relations are suspended and that knowledge can develop only outside its injunctions, its demands and its interests” (Flyvbjerg, 2002).

The Foucauldian approach criticizes existing planning tools and processes, suggesting the need for a power-sensitised understanding of the nature of knowledge, rationality, spatiality, and inclusivity in planning theory. According to this approach effective communicative planning comprises an impossible set of tasks for the planner to successfully achieve within the real world (Flyvbjerg, 1998a; Hillier, 1998, 2002; Gunder, 2003). Hence as Forester (1989) express the planner responsibility is to “work toward the correction of needless distortions, some systematic and some not, that disable, mystify, distract and mislead others”.

### **2.1.3. Concept of Effective Democracy**

For any practice of democracy or assessment of it, it’s important to have a clear idea about the ideal state of democracy or in other word how we define effective democracy. Each approach to democracy has its



own ideal; communicative approach to urban democracy has consensus as its ideal state while for agonistic approach the ideal is that the process help participants become more aware of existing power relations in the context of practice. Schumpeter (1976) suggested to define democracy as “institutional arrangement for arriving at political decisions in which individuals acquire the power to decide by means of a competitive struggle for the people’s vote”. He emphasizes on institutional setting and empowerment of individual but it still doesn’t address the main critique about previous definition.

In contrast Dahl (1971) discusses that democracy can be considered as an ideal concept in which ideal would be “Egalitarian distribution of power over collective decision-making among citizens”. In other words an ideal practice of democracy would be “the empirical possibility of relatively equal political influence” among all the involved individuals (Knutsen, 2010). So the effective democracy in this view is “better empirical approximation to a theoretical definition” of ideal democracy.

In the concept of effective democracy, introduced by Welzel et al. (2007), they have differentiated between two quality of democracy: definitional and substantiating. Definitional quality is a core of the concept of democracy in which public freedom of choice is established by political participation rights. Beside these rights there should be an “institutional quality” to ensure possibility of putting these rights into practice. This institutional quality which is the main difference of effective democracy than any other definitions is rule of law (Alexander, Inglehart, & Welzel, 2012). They emphasize that rule of law it’s not a supplementary feature of democracy, but it demonstrates quality of democracy.

Adopting an agonistic approach to urban democracy and Dahl’s theory of democracy, the main standpoints in this study is considering the ideal practice of collaboration as a process which does not seek complete consensus, instead it should be able to unmasked power relations and as an outcome it should give all participants the better insight of how existing power relations are. On the other hand, the process should be supported by urban or general laws as part of its accountability and effectiveness.

## **2.2. Urban Democracy in Practice**

Communicative theory was introduced to planning domain in 1966 with the work of Godschalk and Mill (1966). They believed that “meaningful and effective planning must be based on a two way communication flow between the public and the planning agency” (Godschalk & Mills, 1966). Although the terminologies have been changed during decades, “planning as collaborative process” is still the main element of planning domain (Richard D. Margerum, 2002) and over the past several decades, it has been increasingly emphasized as communicative and interactive nature of planning practice (Forester, 1989; Friedmann, 1973; Healey, 1992; Innes, 1996).

Terms such as *transactive planning* (Friedmann, 1973), *communicative planning* (Forester, 1989; Healey, 1992; Innes, 1996), *the Discourse Model of Planning* (Taylor, 1998), and *collaborative planning* (Healey, 1997; Innes & Booher, 1999) all emphasize an interactive approach. Furthermore, there is a rich body of literature from related disciplines such as public policy and environmental management that offers valuable contributions to collaborative approaches (Gray, 1989; Wondolleck & Yaffee, 2000).

Adopting different approaches to urban democracy, planners have designed different tools and processes for engaging all affected parties in urban projects. These processes vary greatly in their aim, approach, tools and responsibilities and roles of those involved in the process. Therefore for developing any framework for assessing these practices, understanding different component of these practices is essential.

### **2.2.1. Types of Participatory Practices**

The first attempt to distinguish between different types and level of collaboration was done by Arnstein in 1969. Arnstein (1969) conceptualized level of participation in relation to power. She distinguished eight

different level of participation (Figure 1) from citizen manipulation to citizen control (Arnstein, 1969; Collins & Ison, 2006) and categorized them based on degree of citizen engagement from non-participation through tokenism to citizen power (Arnstein, 1969). As Collin (2006) expressed: “ the ladder depicts participation as essentially a power struggle between citizens trying to move up the ladder and controlling organizations and institutions limiting their ascent to the top.”

Arnstein (1969) herself has mentioned some limitations of such typology. She discuss that this typology doesn't consider variations within powerful and powerless citizen while neither of them are homogenous blocs. In addition it is incapable of explaining process and reasons behind emergence of these categories. Moreover she emphasize that in real word there may be over 100 steps for this ladder which may make it difficult to purely separate these steps on the ladder (Arnstein, 1969).

As Tritter and McCallum discuss (2006) in Arnstein's conceptualization citizen control is considered to be main goal of participation while this is not the main reason for participants themselves to participate. On the other hand linear relationship which is assumed in this conceptualization between non-participation and citizen control is somehow controversial. Such linear relation will overlook processes and loops within real participatory practices.

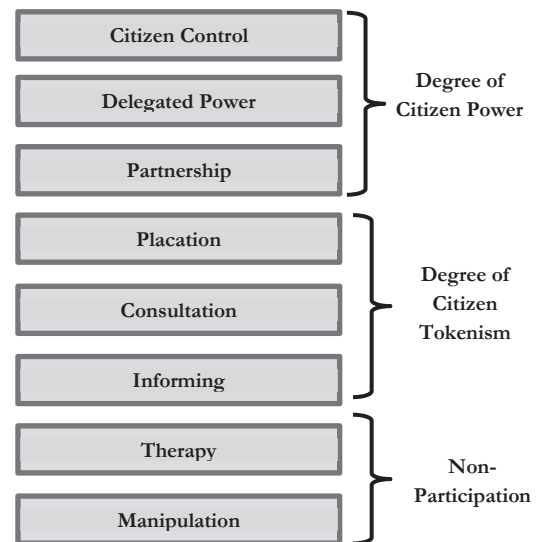


Figure 2: Arnstein's Ladder of Participation

The other comment on Arnstein's work is that it overlooks complexity of roles and responsibilities of different stakeholders in the process of participation. As Tritter and McCallum (2006) expressed “A linear, hierarchical model of involvement, Arnstein's ladder, fails to capture the dynamic and evolutionary nature of user involvement. Nor does it recognise the agency of users who may seek different methods of involvement in relation to different issues and at different times. Similarly Arnstein's Model does not acknowledge the fact that some users may not wish to be involved.”

Considering discussed limitation of Arnstein's ladder in 1999, South Lankshire Council suggested a “theoretical underpinning for an open and democratic planning system that encourages the right participation techniques to achieve the identified objective -be that information, consultation, participation and/or empowerment.”(South Lanarkshire Council, 1999). They add that for applying this approach, new techniques such as using software and models should be adopted. This typology contains 4 main parts as being information, consultation, participation and empowerment and three sub-categories for each of them. Although they tried to present this typology in cycle (see Figure 3), the core categorization still has the same linear nature as Arnstein's ladder.

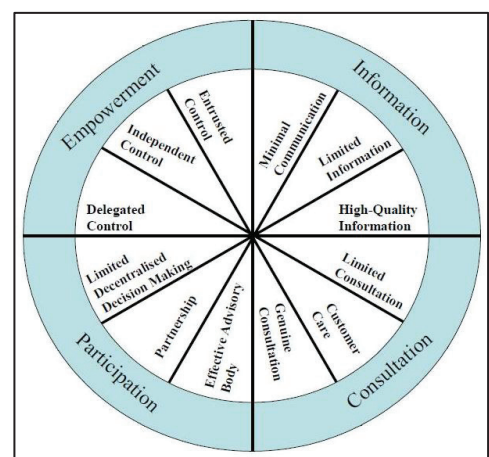


Figure 3: Wheel of Participation

The other alternative approach is a conceptual framework for social-environmental learning which was developed by Finger and Verlaan (1995), later it was used by Daniels and Walker (1996) for ecosystem-based management. In Collins and Ison's work (2006) they introduce this new approach, social learning, as

a new policy paradigm. Based on Bateson's three levels of learning – knowing, knowing about knowing and knowing about nature of knowing- they elaborate previous approach in participatory practices. And they present their model as it is shown (Figure 4). The main strength of this illustration and typology is that each stage contains also the previous stages which means for having consultation all the necessary elements of information also should be fulfilled. But it overlooks the non-participation categories of Arnstein ladder which is the case in many practices.

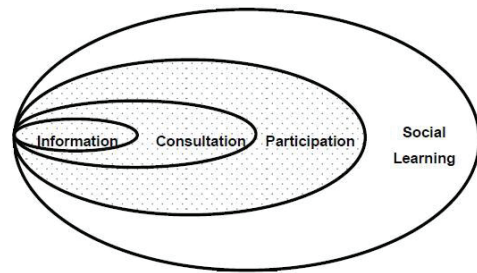


Figure 4: Social Environmental Learning stages

Despite differences between discussed approaches, the main idea which should be considered in studying participatory approaches is that based on different levels of public involvement, participatory practices can be significantly different in their approach and methods used during the process. For better understanding of the design and outcomes of the participation process, it's important to have in mind goals and ideal outcome of each type of practice.

Although Arnstein's ladder has many limitations, it better fits specific purposes of this study. In urban planning context, single participatory practice may contain different degree of participation for different stakeholders and power relations among different stakeholders are of great importance. Arnstein's ladder gives clear categorization in relation to power. On the other hand it also contains levels such as manipulation and therapy which are common in urban planning practices. Therefore in this study the suggested typology by Arnstein will be adopted.

### 2.2.2. Tools of Participatory Practices

For reaching its own specific goal, each type of participatory practices should be designed in certain ways, using certain tool and techniques. A huge range of participatory tools and techniques has been developed over the years. Each has their own advantages and disadvantages. Hence for designing a good process of participation it's important to have clear idea about the ideal output of the process and how and by which tool these ideals can be reached. Many attempts have been done for categorizing participatory tools (Geilfus, 2008; HIV/AIDS Alliance, 2006; Mike McCall, 2008).

The Georgia Department of Community Affairs in its planning recommendation in 2006 gave a very comprehensive categorization of participatory techniques applicable to planning context. In this categorization they list different techniques based on their types (being informative, public input, interactive or partnership), level of involvement it can be used for and level of its expenses and complexity. Techniques such as media strategies, press released, information kiosks, public information meetings and etc. are considered as informative techniques. They have categorized Public hearing, direct mail survey and websites as public input, visioning meetings, workshops, interactive surveys in websites and etc. as interactive and stakeholder meeting and interview, steering committees and etc. as partnership type (Georgia Department of Community Affairs, 2006). The main strength of this categorization is that it can consider types of the participation in which these tools can be used.

In the last two decays with technological developments new techniques and tools have been introduced to this field. Participatory GIS and web-based participation are of these newly developed forms of participation. Participatory GIS has become common in many contexts such as urban planning and community revitalization, land use and natural resource planning and conservation and environmental management (Michael McCall & Dunn, 2012). As McCall defined (Michael McCall & Dunn, 2012) PGIS is "a form of participatory spatial planning which makes use of maps and other geo information output, especially using GIS, thus incorporating the tools within the context of use."

Since design of the participation process and consequently tools and techniques that are used in the process are the main components of any participatory practice, it's important to take into consideration how choosing each type of tool can influence democratic nature of practice. Few studies have been done on this issue. McCall and Duun show in their studies that being used properly, PGIS can be useful in fulfilling good governance criteria although they also add that there are also some challenges in reaching theoretical ideals of this tool in practice (Michael McCall & Dunn, 2012).

### 2.2.3. Guidelines and Principles

To better practically reach theoretical ideals of participatory approaches, different guidelines and principles have been developed in governance and planning fields. Although there are some differences in suggested guidelines, there exists a huge overlap between concerns of different practices. Specific characteristics of context, such as social, political and cultural backgrounds, can partially explain these differences. Therefore in reviewing and analysing different guidelines it's important to have in mind how context can influence details of principles and guidelines.

Several guidelines mention the C.L.E.A.R. framework as an effective tool for a good participatory practice (CDLR, 2008; Gardiner, 2010). According to this framework people participate when they *Can*, when they have necessary resources to make their arguments, when they *Like*, i.e. when they feel part of something and like to participate because it's central to their sense of identity. Also they participate when they are *Enabled* to do so by an infrastructure of civic networks and organisations and when they are directly *Asked* for and more importantly when they experience the system they are seeking to influence as *Responsive*.

For each of the five factors this framework provides a series of themes which have been elaborated into indicative questions. These questions suggest the types of issues that users of the framework might want to investigate but not all questions will be relevant in every context. In this approach in '*Can do*' factor educational attainment, employment and social class, demography, resources and skills/knowledge are discussed. '*Like to*' factor is more about identity, homogeneity, trust and citizenship. In '*Enabled to*' factor issues such as types of civic organization, activities and civic infrastructure are important. In '*Asked to*' factor forms of participation, strategy and reach and diversity are discussed and in '*Responded to*' factor listening, balance and prioritisation and feedback and education is of concern (CDLR, 2008). So for a good participatory practices not only these factors should be properly studied and provided but also state of each should be kept as clear profile of the city.

Reviewing different literatures on participatory practices, Gunton (2010) recommend three phases for any collaborative practice. The first phase is pre-negotiation which has four steps being "background preparation", which consists of stakeholder analysis, "identifying the stakeholder groups that will participate in the collaborative process and appoint representatives for each group". Stakeholders can be chosen on the basis of existing organizations, sectoral coalitions, value orientation, and geographic region. "Preparing draft ground rules", or terms or references, that outline objectives, rules of procedure, roles and responsibilities, timelines, and logistics and "identifying relevant facts and information required by involved stakeholders".

Phase two is the negotiation phase. "The first step in this phase is to identify interests of stakeholders and use procedures such as brainstorming and idea mapping to identify a broad range of options. The second step is to begin packaging options and encourage principled negotiation around a single text or document that records the status of discussions. The next step is to reach an agreement and ensure that all the stakeholders approve the agreement. The final phase is post-negotiation. This phase includes "achieving required approvals of the agreement necessary to start implementation" and "creating a monitoring process to evaluate implementation followed by renegotiation of components of the agreement that may be necessary due to changing circumstances".

Although different contexts acquire different specification in principles, there is a huge overlap between different sets of existing guidelines. Main common points in different proposed principles and guidelines can be listed as: Ensuring Inclusive Representation; Providing clear ground rules; Reducing inequities among stakeholders; Ensuring process accountability; Remaining flexible and adaptive; Providing process management; Provide realistic timelines; Provide implementation and monitoring process; And using multiple-objective evaluation (Beierle & Cayford, 2002; Frame, et al., 2004; Innes & Booher, 1999; Leach, et al., 2002; Richard D. Margerum, 2002; Moote, et al., 1997; Susskind, et al., 2010; Wondolleck & Yaffee, 2000).

Although in some cases there exist some guidelines for monitoring and preparation of the process of participation, most of the guidelines and principles are focused on the appropriateness of the process of collaboration itself. This can be considered as one of the main limitation of existing guidelines for collaborative practices. For the purpose of this study it is necessary to classify different guidelines and principles based on each phase and steps of collaboration. Therefore it adopts the three step structure proposed by Gunton (2010). In this study the assessment framework will therefore be able to assess different phases separately.

### **2.3. Assessment of Democratic Practices**

Despite considerable attention given to public participation in planning practice and research, the field of collaborative planning evaluation is still so behind. House and Howe (1999) were the first to seriously discuss how evaluation [in general] can contribute to making society more democratic and following them some studies are done on defining frameworks for evaluating democracy in general (Hanberger, 2006; Knutsen, 2010). But published evaluations of participation are limited and they mostly rely on few case studies (Laurian & Shaw, 2009). Planning professionals and academics lack definitions and criteria of success in participation as well as methods to assess participatory processes. Concepts and methods for generally assessing democracy provide a good standpoint for developing frameworks for public participation evaluation.

According to Laurian and Shaw (Laurian & Shaw, 2009) there are four main ways to evaluate democracy. First is in relation to democratic institutions: mainly political rights or in other words “free and fair elections, the existence of opposition and civil liberties, such as freedom of speech and organization”. Criteria for this type of evaluation are mostly based on six political and civil institutions which Dahl find them fundamental for achieving democracy; these criteria are “elected officials; free, fair and frequent elections; freedom of expression; access to independent sources of information; autonomous associations; and inclusive citizenship” (Laurian & Shaw, 2009).

Second is evaluation of democracy in relation to its outcomes. The outcomes from democratic decision-making can be accounted for in terms of legitimacy, stability or effectiveness (Laurian & Shaw, 2009). Robert Putnam’s institutional performance index (Putnam, Leonardi, & Nanetti, 1994) with its 12 variables is one of the best examples of this kind of evaluation. In another way democracy can also be evaluated in relation to a range of democratic values being representativeness, participation, accountability and deliberation. And the evaluation will examine to what extent these values are presented in the practice. Although there are some commonly used democratic values they can vary in different practices (Laurian & Shaw, 2009).

The last way is to evaluate democracy in relation to main notions of democracy and their ideal. Elitist, participatory and discursive/deliberative democracy as three main notion of democracy have their own expressed ideals and practices can be compared to those ideals. Such comparison is a method to show the democratic implications of public policies/programs and the governance structure in which they are



embedded (Laurian & Shaw, 2009). In this type of evaluation it's important to have in mind the appropriateness of criteria used for defining the accepted notion of democracy in the context in hand.

Møller and Skaaning (2010), based on third type of evaluation, have chosen two out of five criteria of already defined index (Bertelsmann Transformation Index (BTI)) being public participation and rule of law. They have also defined different sub-categories for each of them as free election, democratic rule, association/ assembly rights and Freedom of expression as sub-categories of public participation and separation of power, independent judiciary, abuse of office prosecuted and civil rights as sub-categories of rule of law.

Reviewing huge range of democracy typologies they then relate these sub-categories to different types of democratic systems from non-democratic to very democratic ones. Hence based on existence or non-existence of these factors in one system they evaluate democratic nature of the system. They have used some quantitative indicators to be able to compare different cases but at the end they have redefined the typologies of democracy. (Figure 5)

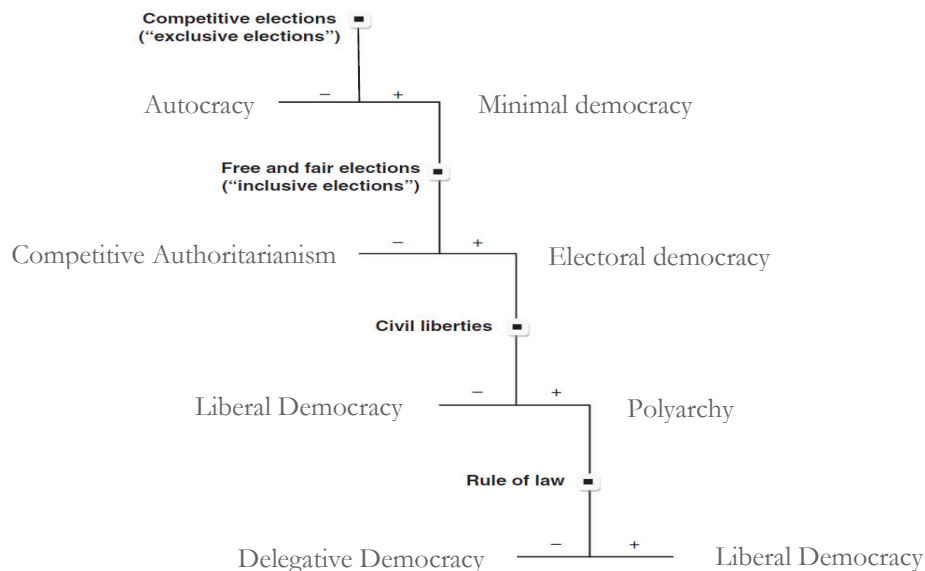


Figure 5: Typologies of Democracy

One of the other common general democracy evaluation frameworks is Freedom House Index. Knutsen (2010) explains:

“The FHI is one of the most utilized democracy indicators in contemporary academic research. And it's known to be the “best available empirical indicator of liberal democracy”. Freedom House scores countries on a scale from 1 to 7 (where 1 is the most democratic) on two dimensions: political rights (PR) and civil liberties (CL). The FHI is an average of PR and CL. Both PR and CL are indices constructed from large subsets of indicators, which are formulated as “check questions.” Freedom House scores its indices (primarily) on the basis of 25 such questions, each of which has several sub-questions. Ten of the check questions relate to political rights, and fifteen to civil liberties. The FHI is, to a large degree, based on the presence or absence of different institutions, but it also seeks to account for the actual functioning of these institutions”

Using basic structure of Freedom House Index, Knutsen (2010) suggest a new approach being effective democracy Index. In this approach he tries to look at systematic components which affect level of democracy. Based on Inglehart and Welzel ideas about importance of absence of corruption and rule of law for reaching effective democracy, he argues that rather than focusing on “formal democracy”, as

presence of institutions and rights, there should be relative absence of corruption and existence of rule of law for those institutions and rights to be able to function well. Hence by combining some indicators of previously developed frameworks with indicators of corruption and rule of law he has created an index named Effective Democracy Index.

### **2.3.1. Frameworks for Collaborative Planning Practices Assessment**

Beside the discussed frameworks for large scale democracy evaluation in governance field, some efforts have been made to develop frameworks for assessing small scale urban democracy as public participation. According to Gunton (2010) evaluation of collaborative practices is so challenging due to great number of “confounding variables” and absence of consensus on the variable to be used. In his study by reviewing existing evaluation frameworks Gunton (2010) identify four common criteria for assessing collaborative practices:

1. Success in reaching an agreement
2. Efficiency of the collaborative process relative to alternative processes
3. Satisfaction of stakeholders with the process and outcome
4. Achievement of other social capital benefits such as improved relationships among stakeholders and enhanced stakeholder skills and knowledge

Innes and Booher (1999) devised their framework for evaluation based on three sources being the results of theirs and others’ research and practice in consensus building, the emerging ideas of complexity science and the concept of communicative rationality. Based on complexity perspective which suggests that a high quality consensus building process in an uncertain and changing society should be self-organizing and evolving, good at gathering information from the environment, and effective at making connections among participants (Innes & Booher, 1999)

Using this concept and integrating it with two other sources, they conclude that consensus building should help a community to learn and be creative. To do this it must challenge accepted knowledge. It must experiment, take risks, and make mistakes from which it learns. It must engage and empower all those with interests and relevant knowledge. It must ensure that information is shared and trusted by all, not only for fairness and to assure information is high quality and relevant, but also so that individuals can act on it. It must build trust, along with understanding of the shared context. It should produce change, including second and third order effects. A complex adaptive system depends on each individual being empowered to act autonomously and in an informed way, so that manipulation of any participants or suppression of their views can only make a system less intelligent (Innes & Booher, 1999)

They discuss that for the framework to be practical these characteristics should be interpreted into criteria hence in their framework they give set of criteria for process and outcome of collaborative practice. Based on their work a good process of collaboration is the one that meets following criteria:

- Includes representatives of all relevant and significantly different interests.
- Is driven by a purpose and task that are real, practical, and shared by the group.
- Is self-organizing, allowing participants to decide on ground rules, objectives, tasks, working groups, and topics of discussion.
- Engages participants, keeping them at the table, interested, and learning through in-depth discussion, drama, humour, and informal interaction.
- Encourages challenges to the status quo and fosters creative thinking.
- Incorporates high-quality information of many types and assures agreement on its meaning.
- Seeks consensus only after discussions have fully explored the issues and interests and significant effort has been made to find creative responses to differences

And the outcome of the collaboration should meet following criteria:

- Produces a high-quality agreement.
- Ends stalemate.
- Compares favourably with other planning methods in terms of costs and benefits.
- Produces creative ideas.
- Results in learning and change in and beyond the group.
- Creates social and political capital.
- Produces information that stakeholders understand and accept.
- Sets in motion a cascade of changes in attitudes, behaviours and actions, spinoff partnerships, and new practices or institutions.
- Results in institutions and practices that are flexible and networked, permitting the community to be more creatively responsive to change and conflict.

They also discuss that “Some of these outcomes will be direct effects immediately identifiable at the end of the project. As shown in others will be second order effects that show up while the project is underway but outside the boundaries of the project or even after it is completed. Still other outcomes are third order effects which may not be evident until sometime later.”(Innes & Booher, 1999). Innes and Booher summarize these categories of effects. (Figure 6)

First Order Effects	Second Order Effects	Third Order Effects
<ul style="list-style-type: none"> <li>• Social Capital: Trust, Relationships</li> </ul>	<ul style="list-style-type: none"> <li>• New Partnerships</li> </ul>	<ul style="list-style-type: none"> <li>• New Collaborations</li> </ul>
<ul style="list-style-type: none"> <li>• Intellectual Capital: Mutual Understanding, Shared Problem Frames, Agreed Upon Data</li> </ul>	<ul style="list-style-type: none"> <li>• Coordination and Joint Action</li> </ul>	<ul style="list-style-type: none"> <li>• More Coevolution, Less Destructive Conflict</li> </ul>
<ul style="list-style-type: none"> <li>• Political Capital: Ability to Work Together for Agreed Ends</li> </ul>	<ul style="list-style-type: none"> <li>• Joint Learning Extends Into the Community</li> </ul>	<ul style="list-style-type: none"> <li>• Results on the Ground: Adaptation of Cities, Regions, Resources, Services</li> </ul>
<ul style="list-style-type: none"> <li>• High-Quality Agreements</li> </ul>	<ul style="list-style-type: none"> <li>• Implementation of Agreements</li> </ul>	<ul style="list-style-type: none"> <li>• New Institutions</li> </ul>
<ul style="list-style-type: none"> <li>• Innovative Strategies</li> </ul>	<ul style="list-style-type: none"> <li>• Changes in Practices</li> </ul>	<ul style="list-style-type: none"> <li>• New Norms and Heuristics</li> </ul>
	<ul style="list-style-type: none"> <li>• Changes in Perceptions</li> </ul>	<ul style="list-style-type: none"> <li>• New Discourses</li> </ul>

Figure 6: Effects of Collaborative Practices

Margerum (2002) studied existing frameworks for consensus building in land use planning practices. According to him the important factor influencing the effectiveness of collaborative planning is the quality of the process. Reviewing existing frameworks he has used following indicators as suitable indicators for evaluation of participatory land use planning practices: “Include the full range of stakeholders”, “Include public participation and involvement”, “Support and facilitate the process”, “Establish a common problem definition or shared task”, “ Organize the proves in terms of ground rules, agendas, etc.”, “Engage participants, jointly search information, and invent new options”, “Reach agreement through consensus”.

Using these indicators Margerum (2002) discusses the weaknesses and strengths of processes of collaboration and he proceed by indicating how these specific characteristics of the process has influenced the implementation of the plans. He also investigate the effects of collaboration on “agreement and strategies”, “ partnerships and joint actions”, “ secondary policy effects”, “perceptual effects”, “new collaborations” and “real changes on the ground”. Although he hasn’t present his evaluation framework in specific structure, the main phases which he has included in his framework is process and outcome of collaboration. Discussing about effects of the process on the outcome of the project is one of the strength of his work.

Moote et al. (1997) in his study define five issues and evaluative criteria for public participation in land use planning. These issues are efficacy, representation and access, information exchange and learning,



continuity of participation and decision-making authority. And evaluative criteria for the issues are as it is shown in Table 3.

Table 3: Evaluation Criteria

Issue	Evaluative criteria
Efficacy	Groups and individuals interested in or affected by public land decisions report that the resultant plan addresses their needs, concerns, and values, and they will not appeal it
Representation and access	Everyone who might be affected by or have an interest in the plan is involved, particularly non-activist, nonaligned members of the public. Access is provided through informal forums that give everyone an opportunity to voice their needs and concerns. Agency representatives strive to make people feel comfortable and respected.
Information exchange & learning	All interests are encouraged to discuss their needs, concerns, and values in informal, multidirectional exchanges. Active dialogue improves everyone's understanding of the range of values, interests, and concerns. Collective revision and refinement of goals, objectives, and decision-making criteria is encouraged
Continuity of participation	The public is involved continuously throughout all stages of planning and decision making.
Decision-making authority	Decision-making authority is explicitly shared among all participants, with agencies holding no exclusive decision making authority.

Source: (Moote, et al., 1997)

Considering all the discussed frameworks Frame (2004) introduced one of the most comprehensive frameworks and criteria for evaluating collaborative practices. The framework consists of 14 process criteria, which define desirable features of process design and 11 outcome criteria, which define desirable outcome objectives. For using this framework in different cases he had done a comprehensive survey of participants in the CP process and a review of all relevant planning documents (Frame, et al., 2004).

He developed multiple questions to test for each criterion. In his study 24 questions were developed to test for the 11 outcome criteria and 46 questions to test for the 14 process criteria. The questions were designed as statements requesting responses on a four-point scale of agreement or disagreement (strongly agree, somewhat agree, somewhat disagree, strongly disagree) or not applicable. "For ease of interpretation, percentages were calculated based on the frequency of a particular response, divided by the total number of responses. Averages of the responses were then calculated for all the questions under each criterion to provide an overall response by criterion". Open-ended questions were also used to assess participant's perceptions. A coding system was developed to summarize participants' responses to open ended questions, and to calculate the frequency with which a particular response was made (Frame, et al., 2004).

Although most of the criteria which are defined in these frameworks are so helpful for using in any context, there are some limitations in nature of criteria and applying the framework to practice. In most of the evaluation studies done in urban planning or environmental planning field, the main focus is on process and outcome of collaboration. Although they have mentioned some criteria for pre-negotiation phase most of the time, they have overlooked the importance of considering all three collaboration phases. On the other hand the defined criteria are not as specific as they should be for being used in practice. So there is a need for more comprehensive framework which covers all collaboration phases and provides well-defined criteria.

### **2.3.2. The Democratic Assessment Framework**

Considering collaborative planning as part of urban democracy and comparing main components of frameworks for assessing democratic nature of governance and collaborative practices, one can conclude that the existing frameworks used in planning context, have not considered certain democratic components (Agger & Löfgren, 2008). Although there is a huge overlap between existing frameworks in planning context and democratic governance, there is a need for reconsidering components of evaluation frameworks.

According to Agger and Lofgren (2008) “Existing thinking on democratic criteria usually portrays them as ‘interactive qualities’ of planning processes” and emphasize mostly on public deliberation and consensus building, while democratic values of outcomes and inputs of collaborative planning tradition is still an unexplored field. Having this in mind, Agger and Lofgren devise a new theoretical framework based on Dahl’s defined criteria for assessing democracy.

Dahl (1998) identifies five criteria for large scale democratic governance assessment based on rationale of political equality. These criteria are “effective participation, voting equality, enlightened understanding, and control of the agenda and inclusion of all adults”. Accepting the rationale behind these criteria and reviewing existing literature on communicative and collaborative planning, Agger and Lofgren (2008) has come up with five criteria for developing their framework. These criteria are: “access, public deliberation, democratic adaptiveness, accountability, the development of democratic identities (political identity)”.

#### **▪ Access**

According to Agger and Lofgren (2008) the access (and inclusion) criteria is one of the main block of any citizen involvement and is also one of the basic norms within most liberal democratic political system. The idea is not to include all the affected stakeholders in the process but the networks for participating should “ideally be accessible to those concerned (stakeholders)”. Furthermore they discuss that the collaboration networks should also be transparent for those who do not actively participate but would like to be informed. This criterion also includes range and extent of collaborative networks which examine number of those who actually participate out of those who could. This will evaluate active citizenship which is considered to be beneficial within any political system.

The other requirement of participation which is related to this criterion is equality of access to collaborative networks. Ideally all the affected stakeholders should have access to these networks and necessary information for decision making. Apart from intentional exclusion of specific groups, in many cases structural or systematic inequalities keep certain groups out of the networks and favour citizens and representatives with better resources. Design of the process of participation, institutional designs and methods that are used in the process can have great influence of reducing or increasing these inequalities.

#### **▪ Public Deliberation**

This criterion primarily concerns “the opportunity for those affected by a planning process to put items on the political agenda and discuss them in an open and tolerant manner, prior to the decisive stage of a decision making process” (Agger & Löfgren, 2008). This criterion focuses more on quality of the actual participation. Communication as a main tool used in collaborative practices should have two main aspects; First openness, tolerance and interactivity of public debate and second efficiency of the dialogue.

Furthermore the rules of the discussion shouldn’t empower specific groups and directly or indirectly prevent representatives of the public from taking part in the actual deliberation. Hence the rules should be such that encourage all participants to a tolerant communication. Agger and Lofgren emphasize that certain view points, attitudes and assertions should not be excluded. Collaboration with these characteristics will produce something that can be useful further in decision- making process.

#### **▪ Adaptiveness**

This democratic criterion refers to “a vision of matching constantly changing political institutions and their environments with a commitment to democratic values”. Predictability of political institutions and collaboration process and its vulnerability to too rapid external changes is the main focus of this criterion. The idea is that the success of collaborative network is embedded in continuity and stability of the participation and this should be guaranteed by possibility of altering the composition of the network, changing the rules and long term strategies for monitoring the collaboration.

Also the collaboration scheme should be adapted in a way that it can handle conflicts that may occur during the process. The idea is not that the process solve these conflicts but it should be able to “facilitate a functioning and legitimate realm for managing conflicts, and negotiations that may occur as a result of the conflicts” (Agger & Löfgren, 2008). The collaboration in which conflicts are transferred or removed is of less importance in enhancing democratic inclusion and equality.

- **Accountability**

According to Agger and Lofgren (2008) “one of the basic premises of modern democracy is that citizens should have the capacity to hold policy-makers accountable for their actions”. For this criterion they have adopted two important aspects of accountability from March and Olsen which are information and sanction. Accountability of information has already been dealt with in access norm so in this criterion they focus more on sanctions.

They (Agger & Löfgren, 2008) discuss that sanctions can be formal/official which is practiced through rules and regulation or can be derived from “internalized personal obligations of the policy-maker”. There can be many different interpretations of these types of sanctions. But in planning practices there are set up bodies of governance with accountable actors and public authorities. In any practice there could be point in the networks that these sanctions are imposed on accountability of the practice.

- **Political Identity**

This criterion is about how participation in a network develops capabilities and new political identities for the actors involved. Capacity building can be viewed as developing intellectual (knowledge resources), political (mobilization capacity) and social (relational resources) capitals. Social capital can refer to trust-building through social interactions among participants, and the personal and professional relationships. Political capital refers to the ability to work collectively for agreed ends at a relational level.

Referring to Sorensen and Torfing work they formulate three factors that influence this ability: level of access to the decision-making process (endowment); their capability to make difference in the process (empowerment); and their perception of themselves as political actors (political identity). So the main aim is to examine whether the actors in the networks feel that their participation has contributed to the development of endowment, empowerment and democratic identity and whether the networks themselves enhance institutional capital or not.

Agger and Lofgren (2008) summarize their norms and phase with relevant questions as it is shown in Table 4. They also give some guiding questions to help designing new practical frameworks based on democratic values. These questions, which are summarized in Table 4, reflect the main points to be discussed in each norm in each phase. The output of Agger and Lofgren study can be considered as conceptual basis of a comprehensive assessment framework for collaborative practices.

For being used practically for assessing collaborative practices, this conceptual framework needs to be elaborated. All the broad concepts which are introduced in this framework needs to be investigated in more details in a way that they can be related to real practices of collaboration. Then it would be possible to reflect these concepts in number of criteria by which different aspects of collaborative practices will be possible. For defining the criteria concepts and evaluation methods can be used from many different fields such as large scale urban governance, urban democracy and also ideals of collaborative planning practices.

Discussion on different concepts of democratic assessment framework and how they can be assessed will be discussed in following chapters.

Table 4: Democratic Assessment Framework Structure

<b>Norms</b>	<b>Input</b>	<b>Process</b>	<b>Outcome</b>
Access	Who are invited to participate? Which channels for participation exist?	Do the institutional settings for the processes favour some types of participation? Are the processes transparent?	Are the outcomes biased in terms of fulfilling the wishes of only certain groups of participants?
Public Deliberation	Are different types of knowledge included in the deliberation?	Are the deliberation processes characterized by reciprocity and tolerance?	To what extent do the debates produce something which is perceived, by the participants, as essential for the decision-making process?
Adaptiveness	Are there clear rules for the network process prior to the deliberation?	Is the network capable of handling conflicts?	Is the network's work secured sustainability and continuity?
Accountability	Is there a clear political mandate from politicians which can be held accountable?	Are the processes transparent?	What are the possibilities for accountability when implementing the outcome
Political identities	-	To what extent do the processes of the networks contribute to endowment and empowerment?	Have processes contributed to the building of institutional capital and capacity?

Source: (Agger & Löfgren, 2008)



### 3. HOW TO MAKE A PRACTICAL DEMOCRATIC ASSESSMENT FRAMEWORK

Conceptual grounding of democratic assessment framework was discussed in previous chapter. These concepts cannot practically be included in the framework unless it is clearly defined how these concepts will be used for developing criteria and how they would be evaluated. Therefore in this chapter methodology of making these concepts practical is discussed and three collaborative practices which were evaluated using the framework are introduced.

#### 3.1. Methodology

To be practically usable, democratic assessment framework needs a set of well-defined criteria. These criteria can be extracted and defined using three main sources; Literature on collaborative planning and its ideals, existing principles and guidelines for effective participatory practices and existing frameworks for evaluation of large scale governance and collaborative planning. So in the first phase of this study, extensive literature review was done to define all the possible appropriate criteria related to democratic nature of collaborative planning. Then criteria were categorized based on the suggested structure of democratic assessment framework. Hence at the end of this phase each phase and norm of the framework had their own criteria. In order to make criteria more understandable and measurable set of sub-criteria were suggested for each criterion.

Apart from conceptual structure, a methodological framework should be developed for analysing and measuring the defined criteria. This methodological framework is highly dependent on nature of criteria, purpose of the study, number of criteria, available tools and resources and available data. Previous evaluation studies have used different methodologies being only quantitative studies in large scale governance (Alexander, et al., 2012; Knutsen, 2010), complete qualitative approach in most planning evaluation studies (R. D. Margerum, 2002; Morton, 2009) or mixed approach in different evaluation studies (Driscoll, Appiah-Yeboah, Salib, & Rupert, 2007; Spratt, Walker, & Robinson, 2004). Each has its own advantage and disadvantages and there are many factors affecting effectiveness of different approaches.

Quantitative research is defined, not just by its use of numerical measures but also that “it generally follows a natural science model of the research process measurement” to create objective knowledge. In this type of evaluation social reality is considered as something objective and measurable and generally it makes use of deduction, that is, research is carried out in relation to hypotheses drawn from theory (Spratt, et al., 2004). Quantitative evaluations tend to have great problems in “illustrating the dynamics at work, the role of parties, organisations and persons and their motivations” (ESPECS). Surveys (questionnaires), structured interviewing, structured observation, secondary analysis and official statistics, content analysis according to a coding system are examples of tools which are used for this type of evaluation.

On contrary, qualitative evaluations are able to explain “what happened when, to whom, and with what consequences”(Patton, 2003). Qualitative methods are often used in evaluations because they include different sources of information and most importantly participant’s stories and they are critical in collaborative contexts as many of collaborative participation's complexities are impossible to be captured quantitative analysis (Elliott, 2008). This type of evaluation is generally inductive rather than deductive in its approach, that is, it generates theory from interpretation of the evidence. Online platform, surveys and

interviews with a range of individuals across all participant groups are tools which can be useful to gather this information (Elliott, 2008). The main limitation of qualitative evaluations (Driscoll, et al., 2007) is that it's difficult to generalize the case study findings or to compare several case studies. Also evaluator can have a great influence on the outcomes in this type of evaluation (ESPECS).

In response to limitation of quantitative and qualitative evaluations, new approaches have been developed in recent years which try to combine different sources of data and tools to deepen the understanding and to improve quality of outcomes (Creswell, 2009; Driscoll, et al., 2007; Spratt, et al., 2004). As Tashakkori and Teddlie (1998) discuss the term “quantitizing” has been coined to describe the process of transforming coded qualitative data into quantitative data and “qualitizing” to describe the process of converting quantitative data to qualitative data. There are three main ways to combine two approaches (Figure ...); merging or converging the two datasets by actually bringing them together, connecting the two datasets by having one build on the other, or embedding one dataset within the other so that one type of data provides a supportive role for the other dataset (Creswell, 2009).

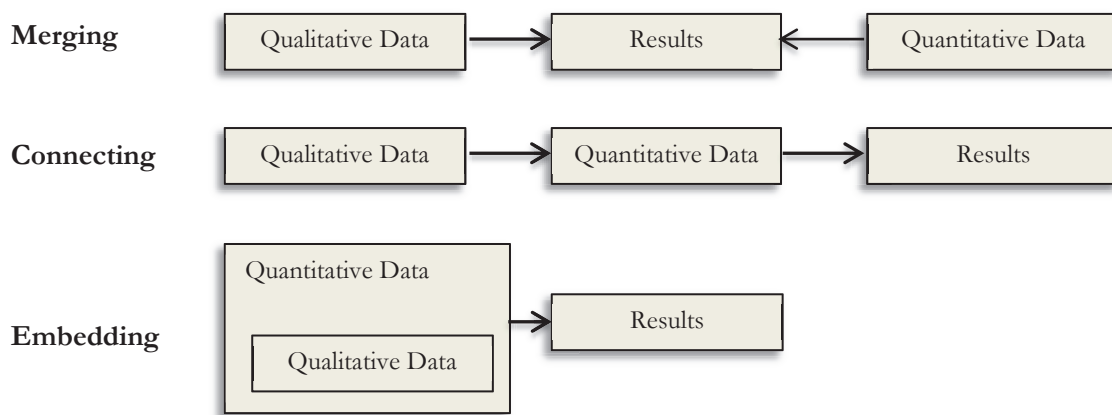


Figure 7 : Three Main Ways of Combining Qualitative and Quantitative Approaches

Due to complexity of collaborative practices and importance of specific characteristics of context in which collaboration is happening, it is impossible to evaluate different practices using single type of data and criteria. Hence in this study the third approach is being adopted which focus on embedded type of integration of quantitative and qualitative data. Furthermore this approach will reduce possible influence of evaluator in the final outcome of assessment framework so it will be the case that with using the same criteria, two different evaluators can come up with the same results.

In this framework evaluating criteria will be in a form of checklist in which existence or non-existence of certain democratic qualities of collaborative practices will be evaluated. After defining all the possible criteria and sub-criteria, maximum score a project can get in each criterion will be defined based on measurement of its sub-criteria. Beside this binary measurement there are also some quantitative criteria which directly are measured (such as number of people who attend the practice out of maximum number of possible attendants) and the result is combined in the score of criterion. To be able to better describe outcome of this checklist, certain qualities of context has been studied qualitatively. Also to be able to judge on existence or non-existence of certain criteria in the practice qualitative analysis have been performed.

Using different tools such as content analysis, document review and interviews with real and potential participants of collaborative practice, existence and non-existence of democratic values are evaluated. Number of people to interview is dependent on number of participants in the collaborative practice and scale of the practice. So in different projects which are evaluated in this study different number of people are interviewed. For qualitative analysis direct observation, interview and document analysis have been



performed. For these analyses minimum number of 30 people should be interviewed. The questions which are asked form public in this study is provided in appendices (Appendix 1).

The final score of the project in each phase is presented by a radar chart including five points which represent five democratic norms in each phase. Each norm has one or many criteria, and each criterion has several sub-criteria which existence or non-existence of them shows democratic nature of the practice. Since the number of criteria is not equal in different norms, scores should be standardized to enable the user to compare performance of the project in different norms in the final radar chart. The criteria in each phase are defined in a way that there is no correlation between different norms within single phase. But based on existing literature it is assumed that combination of two norms in a phase may affect other norms in its following phases. So the sequence in which different norms are placed in radar charts was with regard to these correlations.

## **3.2. Case Studies**

To find out how useful this framework could be in practice, different projects have been chosen to be evaluated using this framework. First the criteria for democratic assessment framework were devised totally based on literature (Appendix 2). This framework was then applied to one case as a pilot. Then after being modified, the final framework was applied to all three cases. Case selection was based on aim, scale, tool and specific context of each project. Since as it was discussed before, these parameters can greatly influence other parameters and consequently success of the practice, to be able to focus on one of them in each evaluation, other parameters are kept constant. The other important factor in case selection was whether the project is complete or not. Since the framework contains the outcome phase, the chosen project should be already completed and have approved or implemented plans. With this regard two cases were chosen in England and one case in the Netherlands.

### **3.2.1. Collaborative Planning in Manchester**

Manchester Partnership (Manchester's Local Strategic Partnership) and Manchester City Council have produced the strategy with input from partner organisations and residents. This strategy is published as 'The Manchester Way, Manchester's community strategy 2006-2015'. The first Community Strategy for Manchester, launched in 2002, set out our goals and how they aimed to achieve them. The new strategy updates the Community Strategy 2002-2012. According to the Manchester Partnership's report (2006) new issues have emerged and reshaped the vision for 2006-2015. The Manchester Way strategy sets out the steps for change that will enable us to realise the revised vision (The Manchester Partnership, 2006).

As it is stated in The Manchester Way report (2006), The Manchester Partnership is made up of agencies delivering public services, private, community and voluntary organisations. Key representatives from police, health, employment, the city council and other organisations, provide solutions to issues that matter most to most people to bring about long-term improvements and change lives for the better. According to this strategy "A key role for Manchester Partnership and Manchester City Council is to produce a community strategy. Delivery of the strategy is the responsibility of all partnerships, organisations, services and individuals within Manchester Partnership."

In Manchester, these structures will be strengthened by three agreements which will clearly set out what actions must be achieved, and by whom. These are:

- The Local Area Agreement which is between Manchester Partnership, Manchester City Council and the Government
- The Partner Agreement between the key partners within Manchester Partnership and



- The Mancunian Agreement which will be between individuals, groups or localities and Manchester Partnership.

In line with these strategies, Manchester Partnership Community Engagement Task group has developed Manchester Partnership's Community Engagement Strategy for 2011-15. The purpose of this strategy is: "to develop strong, empowered and cohesive communities which can bring people together, influence decision making and lead on community action." And it aims at increasing and strengthening the contribution of communities to the delivery of the Manchester Community Strategy; enabling communities to influence decision making across the Manchester Partnership; Support community action, enabling communities to identify needs and support them to develop their own solutions; increasing the scope of community engagement to enable seldom heard groups to have a voice; and supporting and enabling future policy and service delivery that meets the needs of individuals and communities (The Manchester Partnership, 2011).

In this strategy five types of community engagement is introduced for different practices of collaboration. These types are communicating, researching, involving, consulting, devolving decisions and supporting community action. They have defined aims of different types of engagements as below:

- **Communicating:** giving information about events, a decision, services available or changes to services using a variety of ways. This can include newsletters, leaflets, websites and meetings.
- **Researching:** investigating or finding out something new about an area or population in order to improve service delivery. This can include questionnaires, surveys, census and focus groups.
- **Involving:** including people in decision-making processes. This can include service planning, development or improvements to an area.
- **Consulting:** seeking comments or feedback on a question or a proposal, which can lead to change. This can include service planning, development or improvements to an area.
- **Devolving decisions:** empowering communities to make final decisions. This can include decisions on budgets, service planning or development, or improvements to a local area.
- **Supporting community action:** power, influence and responsibility are given to communities and support is provided by services. This can include supporting communities through grants to improve their local area, or supporting them to develop local initiatives.

Among these six types, consulting and devolving decisions are the most common practices in Manchester city council. Consulting public is necessary in preparing local action plans in different neighbourhoods. This includes asking people's feedbacks on outcome of studies on their neighbourhoods. Devolving decisions practice in urban planning context is a practice called 'Participatory Budgeting' in which people should decide on the projects on which city council should invest based on the limited defined budget allocated for that specific neighbourhood.

### ○ **Chorlton Local Action Plans**

Local Action Plans are part of regeneration plans provided for different areas in Manchester. In total Manchester has five main strategic regeneration frameworks including central, south, north, east, west and Wythenshawe strategic frameworks. The South Manchester Strategic Regeneration Framework (SRF), 'The Living City', was completed and approved in October 2007. The SRF sets out the vision, policy and development framework for the ten wards in south Manchester.

Among different local action plans for south Manchester, the Chorlton neighbourhood was chosen because of two reasons. First of all it is believed that Chorlton neighbourhood is one of the most successful neighbourhoods in participatory practices due to high level of education and economical background of its residents. And secondly among all south Manchester action plans, Chorlton is the latest

one and it is very well documented. Hence it is supposed that besides existing documents, people also can remember details of the process more clearly.

Chorlton District Centre is one of the strongest and most distinctive district centres in Manchester. To date it has seen organic growth, which has led it to become a neighbourhood of choice in south Manchester. The facilities, provided by the strong mix of retail, employment and public services, coupled with a recognised independent retail offer, attract people to Chorlton. To ensure Chorlton protects and more importantly enhances its unique character and offer, investment is needed. The Action Plan was needed to “suggest the short, medium and long-term actions necessary to create a strong, vibrant and successful centre that supports the local community” (South Manchester Regeneration Team, 2010).

Drivers Jonas Deloitte was appointed in December 2009 to develop a district centre plan for Chorlton. Between September and December 2009 a public consultation was carried out by the Council in conjunction with Visiontwentyone. The findings of the public consultation, along with the Drivers Jonas district centre analysis, formed the basis of the final district centre plan (South Manchester Regeneration Team, 2010).

The Visiontwentyone TALKChorlton Consultation gathered public perceptions of developing a plan for Chorlton District Centre. The 12-week consultation period ran from 28 September to 21 December 2009. The programme gathered feedback on the strengths, challenges and draft key principles in order to form a foundation for the District Centre Action Plan. The methods used included articles in newsletters and the local press, an information booklet, a dedicated TALKChorlton website, exhibitions at key venues, drop-in events and targeted consultation with user groups – such as traders, BME groups, older and young people – and local stakeholders. Survey results were obtained from 1,003 completed questionnaires and targeted focus group feedback (South Manchester Regeneration Team, 2010). The more details of this project will be discussed during the evaluation of each norm and phase.

#### ○ ‘U Decide’ Events

Apart from regular participatory practices for preparing urban plans, city of Manchester is experiencing another type of public engagement which is called ‘Participatory Budgeting’. According to the developed toolkit (Manchester City Council, 2009) for carrying out such project, Participatory Budgeting (PB) is a “mechanism of community engagement to devolve power or influence of public budgets to the community at a local level.” In Manchester council has some grants (CASH grant) dedicated to each neighbourhood. So Manchester Councillors, Ward Co-ordinators, and Support Officers have been encouraged to use these money to engage residents and community groups to discuss and vote on spending priorities. This has been done through holding “U Decide” Events.

From April 2009 all council services have a “duty to involve” residents and communities in local decision-making. Pilots have shown that “U Decide” events help to contribute to increasing number of people who feel that they can influence decisions in their local area, and satisfaction of residents with local area. A toolkit has been developed in Participatory Budgeting Department of Manchester city Council. In this toolkit details of holding the ‘U Decide’ events from applying for the grant to details of timing of the meeting are discussed.

According to this toolkit (Manchester City Council, 2009) to ensure that all the possible stakeholders are involved, a steering group should be set up. The steering group should be made up of resident representatives, community and voluntary organisations, council officers and other services from the local area. This will ensure joint ownership of the process rather than people feeling something is being imposed on them.”

It is indicated in the guidelines that preparation for the event is responsibility of the steering group. There are also some concerns about location and time of the event which should be appropriate for people to be

able to participate. Some point about the importance of good advertisement for the event and existence of incentives such as refreshments and food during the process is also concerned. It is suggested to get a participants' feedback exactly after the event to evaluate whether the process was successful or not.

In these events people should vote for different projects so the fairness of voting system is one of the main concerns of steering group. Hence there are some guidelines on how to decide who is eligible to vote, what should be the minimum age of the participants and whether the steering group can vote or not.

The monitoring of the process is also an issue of concern for designers of the projects. Based on the guideline clear processes should be agreed for frequency of monitoring returns of spend and progress, when and how they will be collected and how many requests for changes to original proposal will be considered. During 2009 and 2010, four pilot 'U Decide' events took place in Manchester. From these 4, two most recent ones which had the highest amount of participants were chosen for this study.

In October 2010, Chorlton carried out a U Decide event. In Chorlton, £14,000 was allocated from Chorlton Wards CASH Grant budget to hold a Participatory Budgeting event for residents. The maximum amount accepted for each bid was £1,000. 15 projects were submitted to the value of £13,355.00. 142 people attended and 115 people voted on spending priorities. Participants were asked to complete a feedback from the event. 49 people completed evaluation forms which were %35 of participants (Manchester City Council, 2010).

In Whalley Range £12,000 was allocated from Whalley Range Ward CASH Grant programme to hold a 'U Decide' event on 24 March 2011. Residents were encouraged to put forward project proposals to help improve their local area. The maximum amount for each bid was £1,200. 16 eligible project proposals were submitted to the value of £16,954.60. 98 people attended the event and 83 people voted on spending priorities. Participants were asked to complete a feedback form following the event. Among all participants only 44 people completed evaluation forms (45%) (Manchester City Council, 2011).

### **3.2.2. Roombeek Redevelopment in Enschede, The Netherlands**

With its 154,000 inhabitants, Enschede is one of the most important cities in the east of the Netherlands. (Gideon Consult bv, 2008). "On May 13, 2000, a major explosion in a fireworks storage depot destroyed the entire urban district of Roombeek in the city. A total of 22 residents were killed, more than 900 people were injured, well over 1,500 citizens were displaced because their homes were destroyed, and more than 200 companies were forced to relocate" (Denters & Klok, 2010).

Weeks after the disaster intensive participation was initiated among all groups concerned: young people, older people, tenants, home owners, migrants, entrepreneurs, building corporations and schools. Participation was organised around former neighbourhoods within the district, such as the 'Roomveldje'. Simple question were asked from the residents: 'what do you want to keep – or bring back – from the former neighbourhood or district, what must be different, and what is important?' In the end, more than 3,000 wishes, suggestions and ideas were received (Gideon Consult bv, 2008).

The decisions were influenced by important people that were interested by the case such as the president on European Commission in 2000. It was agreed that decision making process has to have two major objectives: social and economic restructuring. European Commission was directly involved in consultancy of rebuilding the infrastructure and to re-launch the economic activities in the affected area. The establishment for the development project was guaranteed by Dutch urban initiative for urban renewal and through National Urban Policy of channelling the urban flows (Van den Berg, Van der Meer, & Braun, 2007).

According to Denters (2010) "before the fireworks disaster, Roombeek had about 1,500 residents living in 650 houses. In general terms, Roombeek can be characterized as a deprived inner-city district, with high unemployment rates and many low-income households. Some of the neighbourhoods in the district,

however, were relatively prosperous. About 69% of the district's residents were of Dutch origin, about 8% were of Turkish origin, 5% came from the former Dutch colonies (Surinam, the Netherlands Antilles, and Indonesia), and 2% had a Moroccan background. The remaining 17% had origins in a wide range of other countries all over the world."

The main aim of authorities after the disaster was to enable every former resident who would want to participate to do so. To achieve these aims, a new set of guidelines and rules for public involvement was prepared. The "process architecture" was developed by the municipality of Enschede, based on the recommendations of an independent committee under the chairmanship of a former Dutch cabinet minister. "A main characteristic of this "architecture" was the inclusion of multiple participatory arenas. On one hand, this variety was created to accommodate the diversity of Roombeek's residents"(Denters & Klok, 2010). According to Denters (2010) the "process architecture" also provided for three panels of experts that were formed to discuss the social, economic, and physical dimensions of the redevelopment process.

The aim of a first round of meetings which were held on February and March 2001 was to receive ideas of former residents and experts regarding the future redevelopment of the area. The outcomes of the citizen meetings and the expert panels provided the input for the planners. The results of the planners' work were presented to the municipal executive board. After this board's approval, the first draft of the redevelopment program was presented to the citizens, who could react in a second round of meetings on July 2001. At the end of these meetings, the participants were asked whether they permitted the plan so that it could be submitted to the municipal council for final approval. A slightly amended proposal was then introduced to the municipal council, and on November 19, 2001, the council unanimously approved the redevelopment plan (Denters & Klok, 2010).

An important element of the process architecture was the institutional rules that determined who was entitled to participate in the various arenas and what the rights of participants and other parties involved in the process were. In Roombeek case most of these rules were not formally written and agreed but they were respected by all involved parties (Denters & Klok, 2010; Gideon Consult bv, 2008). The overall success of this project become subject of many studies and this case has become a guiding experience for redevelopment practices.



## 4. APPLYING THE DEMOCRATIC ASSESSMENT FRAMEWORK IN THREE CASES

Considering all the discussed concepts for constructing the framework and procedure to use the assessment framework in practice, in this section the defined criteria and their sub-criteria for each norm and phase will be discussed thoroughly. Also challenges and outcomes of applying these criteria in evaluating the chosen projects will be argued. Results are presented separately for each norm. Hence based on basic structure of democratic assessment framework this chapter contains five sections dedicated to five norms of access, public deliberation, political identity, accountability and adaptiveness. In these five sections the results are narratively discussed. And in the final section of this chapter, 4.6 the summary of score of the project in different norms and phases are given and the overall assessment is done using graphical representation in form of radar graphs.

### 4.1. Access

Similar to Agger and Lofgren (2008) interpretation, in this study access criterion refers to democratic accessibility of information, resources and opportunities. This norm can be considered as the main common criteria among all existing evaluation frameworks for collaborative planning. Such accessibility have different aspects and importance in different phases of collaboration being input (pre-negotiation), process (negotiation) and outcome (post-negotiation). Hence different criteria will be discussed based on specific characteristic and requirements of each phase.

#### 4.1.1. Input (Pre-negotiation Phase)

According to agonistic theory knowledge is a critical factor in increasing one's power (Flyvbjerg, 2002). The amount of information different stakeholders have and clarity of given information is of great importance in assessing democratic nature of a practice. On the other hand for citizens to be involved in decision making process it is necessary that they know their rights and be aware of legal issues and related land administration laws and regulations. Although this is of less influence in the final characteristics of practice it can be considered as part of rule of law in this phase. In input phase there are some concerns about clarity and appropriateness of channels of communication, but the focus is more on availability of information about the project and other stakeholders which is reflected in following criteria and sub-criteria.

- **Availability of information about the project for all stakeholders** **5 Credits**
  - Availability of information about purpose of the project and participation
  - Availability of information about the exact location of project
  - Availability of information about responsible authorities
  - Availability of information about the bigger context in which the project is being planned
  - Availability of information about the participation process (number of meetings, deadline of the project, location, time, etc.)
  
- **Availability of information about other stakeholders** **2 Credits**
  - Availability of information about all other involved stakeholders

- Availability of information about the role and responsibility of each stakeholder

➤ **Clear ground knowledge about rights to the city** **1 Credit**

- Availability of information about the legal rights of the citizens to the city
- Availability of information about land administration laws

➤ **Appropriateness of channels for informing participants** **3 Credits**

- Affordability of accessing information for all stakeholders
- Time limits: how long before the process the information were provided? Is the provided time enough for stakeholders to collect enough information that they need?
- Clarity of information provided before the process (clarity of maps showing location of project, explanation of technical terms, etc.)

Since the first two criteria is dealing more with availability of the information, the required data for evaluating these criteria can be extracted from documents on the collaborative process in question and more specifically the announcements for inviting people to collaboration and distributed leaflets or brochures. The third criteria which is more related to participant's knowledge about their rights can also be extracted from documents and existing websites related to different juristic institutions.

The fourth criteria can be evaluated based on both sources; public perception and existing documents. Depending on the case, if the participants of the collaborative practice in question are accessible, it would be better if they evaluate appropriateness of communication channel. But based on the practiced cases in this study, the participants of the collaborative practice are not easily accessible if contacts are not recorded during the process phase. Another issue is that since the chosen project is the one which has been completed or implemented, the evaluation can be done several months or years after the collaboration phase so even those participants who are accessible cannot clearly remember details which are required for this evaluation.

○ **Chorlton Action plan**

In preparing Chorlton Action plan different methods were used for inviting people to participate in the process. These methods include:

- **Posters** were delivered by hand and by post prior to and during the consultation to various locations, both within and outside the district centre. Venues included libraries, Sure Start centres, schools, shops, businesses and places used by local community and interest groups. Chorlton district centre serves an area greater than the ward of Chorlton itself and it was important that posters also went out to neighbouring wards such as Chorlton Park and Whalley Range.
- **Letters** notifying stakeholders of the consultation and newsletters were distributed prior to the consultation, accompanied by newsletters. Local traders and businesses within the district centre and on Beech Road were hand delivered letters notifying them of the TALKChorlton consultation, inviting them to attend a focus group and offering a one-tone visit to discuss the consultation.
- **E-shots** were mailed at key points, encouraging participation, notifying people of website updates and additional events taking place.
- **Press** releases appeared in the South Manchester Reporter.
- **Websites** belonging to a number of local groups and organisations uploaded information and links to the TALKChorlton website. These included the Big Notice Board, CN4M, Whalley Range Community Website, Chorlton Library and the Unicorn Grocery.



- **Local publications** highlighted information about the consultation, including Chorlton Civic Society Newsletter and Community Index. Distributed to over 4,000 households, the latter carried a full page advert in its November and December issues.
- **Leaflet/postcards** Prior to the consultation taking place, leaflets were distributed with 25,000 Chorlton Arts Festival programmes. During the consultation, postcards were placed in bars and shop counters for people to pick up and take away, with details of how they could access the consultation materials.
- **Newsletters** were distributed to a number of venues in the area including libraries, doctors, surgeries, schools and community centres.

The available information in all these sources includes the purpose of the project, how it is connected to the South Manchester Strategic Regeneration plan, who are involved, how people can contact and access further information about the project and the process and details of the plan. People also have easy access to different approved plans through Manchester city council website. They are also provided with information about their civil rights and procedure and responsible people in any plan. Hence this project gets the full credits of availability of information about the project for all stakeholders and Clear ground knowledge about rights to the city.

In availability of information about other stakeholders, although in different sources they have mentioned different involved groups such as traders, local communities and etc., since they have not named specific groups, organization or people who are involved, public are not able to identify their specific role or responsibility in the process. So out of 2 possible credits of this criterion, this project only gains 1 credit. On the other hand although the provided information was clear enough for all stakeholders, based on interviews with some local residents the given time was not enough for all possible residents to get informed.

Also since the focus was more on online access of participants to provided information not all residents were informed because they do not have easy access to internet or they are so busy that they don't regularly check city council or other organizations' websites. This indicated that the chosen channels for communication with public were not good enough to inform all the possible stakeholders. So this project scores 2 out of 3 possible credits. And in total the project gets 8 credits out of possible 11 credits for access norm in input phase.

#### ○ **'U Decide' Events**

In both practices two months before the event people were informed to announce their motivation to be part of steering groups and for organizations and people to submit their proposals for project with maximum £1000. In the advertisements which were published in all local newspapers, and also in the posters which were delivered the purpose, location and responsible authorities were announced. After the phase of receiving the proposals the information about the participation process, the time, the location and eligible people for voting were given. But no information was given about the projects and other stakeholders in the process and their role and responsibilities. The information about the bigger context of the plan and about the right of citizens, as it was discussed before, are available through the website of Manchester city council.

The channels used for informing people were local newspapers and different community groups' websites and delivered posters. And also for those who wanted to propose a project an e-mail and other contacts of responsible person were given. Appropriate amount of time was given to people to propose projects and participate. The information was clear and the channels were affordable for those who wanted to participate. This make the project receive 9 out of 11 possible credits of access norm in pre-negotiation phase.



### ○ Roombeek Redevelopment

In this case, weeks after the disaster participation process started with the aim of enabling “every former resident who would want to participate to do so”(Denters & Klok, 2010). Hence before the start of the process the “process architecture” was developed by the municipality of Enschede, based on the recommendations of an independent committee under the chairmanship of a former Dutch cabinet minister. The aim of the participation was to ask people for their wishes for redevelopment of neighbourhood. Because of specific context of the practice, everybody was well informed about the participation process, the purpose of it, other stakeholders who are involved and exact location of the project. All the updated information about the plan and responsible authorities were published and people could access them through media or through municipality website. Due to sensitivity of the case the plan for participatory process was prepared quickly but sufficient time was given to public to be informed about the project.

Two groups of citizens received personal invitations; people who lived in the Roombeek district and people living in adjacent streets and neighbourhoods who were affected. Both groups insofar as their addresses could be retrieved, received a personal invitation. Due to dislocation of residents, however, indirect methods were also used for announcing the meetings and inviting former residents. According to Denters (2010) “all people who were directly invited were asked to inform and bring along as many of their former neighbours and neighbourhood friends as possible. This strategy was supplemented by using the networks of professional organizations in the neighbourhood (e.g., the health centre, community workers).” this was the most active and affordable way of inviting public.

The survey conducted by Denters (2010) reveals that the project was successful in informing possible participants because in the inner ring of the area, 83% of respondents knew about the participatory meetings and among the residents of the outer ring, this was only slightly less (77%). This shows that the chosen channels were appropriate enough for approaching different stakeholders. Regarding the ground knowledge about the rights to the city, all the necessary information are accessible through the website of municipality of Enschede and also there are some free services of legal consultation in the city which everyone can access. Due to given information this project gets the full credits of all criteria in access norm in input phase.

#### **4.1.2. Process (Negotiation Phase)**

The access norm regarding process phase can be considered as main component of any existing evaluation framework for participatory practices. During the process of collaboration it is important that all the stakeholders have relatively same access to information about the project and its consequences. Especially all the stakeholders should have access to information which is so influential in decision making; information such as costs or benefits of different alternatives, other possible existing alternatives and goal and benefits of each stakeholder in different alternatives.

Since the information in this phase can be so technical, it is important to assure that all the given information is clear and comprehensible for all possible participants. Hence it is suggested in different guidelines and principles that different version of information should be available for each groups of stakeholders. It is also mentioned in guidelines and principles that each groups of stakeholders should be approached by using different processes and tools. This becomes more critical in involving hard-to-reach groups such as elderly, children, and disabled people.

As it was discussed before a chosen tool and design of the process are main elements of any collaborative practices. So depending on the involved stakeholders the chosen tool should be able to reflect feedbacks from different participants and be transparent in a way that allows participants to know others' ideas. Furthermore the design of the process and the chosen tool should be compatible with resources available

in a context of the practice so that the process would be affordable for all possible participants. Hence following criteria and sub-criteria can be discussed in this phase:

- **Availability of information about the project and participants** **6 Credits**
  - Awareness of participants of goals and benefits of each stakeholder in the project
  - Availability of information about the costs of each alternative
  - Availability of information about benefits of each alternative for different stakeholders
  - Availability of information on short term and long term effects of each alternative on their daily life and business
  - Availability of information about other possible locations for implementing the project
  - Access to plans and maps of larger context of the plan (surrounding neighbourhoods and important city-wide projects)
- **Quality of provided data** **5 Credits**
  - Availability of different version of data/reports for different stakeholders
  - Availability of explanations for technical terms and expressions or reading maps and plans
  - Level of accuracy and amount of information given (how detailed were the maps for determining spatial effects of the project on each participant property)
  - Equality in amount of information for different stakeholders: (Is it the case that amount of detail provided for different stakeholders benefit them greatly in decision making?)
  - Comprehensiveness of data provided: do they contain all the necessary information for proper decision making?
- **Appropriateness of chosen tools for participation** **6 Credits**
  - Possibility of giving feedbacks on previous discussions
  - Possibility of getting to know other stakeholder's feedbacks on the project
  - Accessibility of updated information about the participation process during the process
  - Accessibility of channels for getting more information about the project
  - Affordability of the process and method for different stakeholders
  - Compatibility of the chosen tool with resources of the target context

In the first criteria except for the awareness of people of other stakeholder's benefits, other sub-criteria can be evaluated objectively based on existing documents on collaboration process. The second criteria also mostly can only be evaluated from expert's point of view; sub criteria such as accuracy, equality of information and comprehensiveness are totally dependent on objective evaluation. The third criteria similar to the one discussed in previous phase, can be evaluated both from public perception point of view and objective evaluation. Although participant's evaluation in these criteria would be more accurate and beneficial, fair amount of information can be extracted from documents for evaluating this criterion.

### ○ **Chorlton Action plan**

During the three months process of participation in this project, different methods were used to approach all possible stakeholders. Throughout the consultation period the team organised dedicated events, in addition to participating in local events and group meetings. Events and meetings included:

- **Traders focus group:** A focus group took place with local traders from Chorlton district centre prior to the start of the consultation. 16 people attended to talk about the consultation and give their feedback. Three one-to-one visits were also held with local traders who were unable to attend the focus group.

- Meeting stakeholders: Following requests the consultation team attended meetings with a number of stakeholders and groups including Chorlton Civic Society, the Department for Work and Pensions and the Indian Senior Citizens 'Society.
- TALKChorlton exhibitions: Dedicated TALKChorlton exhibitions took place in Chorlton Precinct. Staffed by the consultation team, the exhibitions offered people the opportunity to view the consultation materials, talk through them and have discussions with other people attending the event. Throughout the course of the two days members of the consultation team were present on the street in and around the district centre handing out consultation materials and raising the profile of the consultation process. Over 350 people attended the exhibitions, with many taking the opportunity to complete a feedback questionnaire. At the exhibitions, there was also an opportunity for younger members of the community to feed into the consultation, telling us what they like about Chorlton by completing a 'brick' and so helping to build a feedback wall.
- Library exhibition: During the consultation period, all the exhibition materials and feedback questionnaire were available to view in the foyer of Chorlton Library during normal opening hours.
- Valuing older people events: TALKChorlton attended the Valuing Older People event held at St Ninians Church on 8th October. Over 180 people attended the event, which offered interested parties an opportunity to read the materials and talk about the consultation with a member of the team. Representatives of TALKChorlton also attended the Lifetime Neighbourhood Event at St Werberghs Church in December 2009 organised by the Valuing Older People Team of the Manchester Joint Health Unit. 35 residents from Chorlton and Whalley Range, representing a range of ages, backgrounds and community organisations attended the half-day event.
- Drop-ins: During the consultation period a number of drop-in events were held at various locations in the local area, including Morrison's, the Precinct, Department for Work and Pensions, Manchester Town Hall and Chorlton Co-op. Consultation materials and questionnaires were available at the sessions, which were facilitated by a member of the consultation team.
- Craft market: Chorlton Christmas Craft Market was held at St Clements Church on Saturday 28th November. TALKChorlton facilitated a stall at the market offering people the opportunity to view and talk through the consultation materials and complete a questionnaire.
- School visits: A member of the consultation team presented at assembly sessions held by a number of local schools. Following the sessions, children gave their feedback to the consultation by completing questionnaires and producing posters illustrating what they thought of, and would like to see in the district centre.
- Young Spaceshapers: The TALKChorlton Team were invited by Pathways to attend a Young Spaceshapers Event on Thursday 29th October with 10 young people. Spaceshapers helps local people to assess the quality of their public spaces. A workshop based tool, participants worked through a series of questions and were encouraged to explore their feelings about a public space.
- Children's arts event: A local artist led a session for young people in Chorlton Library on Saturday 29th November. Using fabric paint, quilting and sewing techniques children created a giant wall hanging, illustrating what they would like to see in the area.
- Seldom heard groups: A number of groups and communities were identified early on in the consultation process as often seldom heard, such as young people, older people and members of BME communities. Various activities were undertaken to raise awareness and encourage participation by members of these groups, including targeted postal correspondence, liaising with and attending local groups and events, telephone calls and drop-in events (South Manchester Regeneration Team, 2010).

In all these meetings and events people are asked to discuss strengths and weaknesses of their neighbourhood, give feedbacks on outcome of previous studies and discussing the concerns that they wanted to be reflected in the final plan. But it was not clear for them how these strengths and weaknesses will change the final plan. So it can be said that participants were not aware of how different alternatives are shaped and how their decision is modifying that alternative. Although the nature of collaboration was not about giving alternatives or decision making, for a process to be democratic participants should be aware that how choosing priorities in strengths and weaknesses will change alternatives in the final plan and how it would benefit specific groups. In this sense this project does not meet the first four sub-criteria and will score 2 out of 6 for availability of information about project and participants.

Regarding the quality of data, necessary data for different stakeholders were available in different versions and everyone was able to contact the group in different ways for asking for more information about any technical terms. And the provided data are accurate enough for different stakeholders but not all the stakeholders have same amount of information. Some NGOs and community groups have had previous contacts with city council and had more information about different projects and groups which are benefiting from them. Although it is assumed that these community groups will inform their members about these issues, this has not happened during the process of collaboration. But instead the members have been always informed after the final negotiations. So not only the information wasn't enough for some groups to be influential in modifying the plan, but also the process could not meet the equality of information sub-criteria. Hence in total the project gets 3 out of possible 5 credits of this criterion.

For the last criterion, although the existing websites enable participants to get informed about the process and have access to more information about the project, with chosen tool it was impossible for the participants to get to know the feedbacks of other stakeholders during the process. All the consultations were separately with different stakeholders and even most of the contacts with community groups were through e-mails hence other participants were not able to know the feedbacks of different groups during the process. Also as it was discussed before the online participation although it's more affordable, it does not ensure full participation of all possible stakeholders because of its passive nature. So this project gets 4 out of 6 possible credits for this criterion.

### ○ 'U Decide' Events

During the 'U Decide' event (process of negotiation) each person who had proposed a project had quite some time to introduce a project, talk about the cost of the project and the benefits it will give to different stakeholders. They had also a chance to say about the effect the project will have in short or long term. But since the design of the event was in a way that there was no room for discussing different other alternatives for single project no data or information was available for other possible options and larger context of plan. It should be indicated that some of the project were just about holding courses or classes and other small projects so spatial component was not so significant in some of the proposed projects. In the first criterion both events score 4 out 6.

For submission of the project, the full information should have been given about the cost of the project and the needed time for implementation but for public presentation during the event each person was free to introduce the project the way they wanted. And public had time to ask about unclear points and discuss the projects with each other. Since some of the residents were in steering group it can be said that all stakeholders had same amount of information about the project. So both practices get the full credit of second criterion.

In this case, participatory practices had only two phase, submission of projects and voting for the projects. Since the proposed projects were not announced before the event, people were not updated about the participation context and they had no option for knowing more about the projects. During the process public could not give any feedback but during the time given for thinking about the projects before

voting, people were able to talk to each other and get to know others feedbacks about the project. Hence the project gets 3 out of 6 possible credits for this criterion.

#### ○ Roombeek Redevelopment

In this practice, during the process details of each alternative were discussed with public. In some meetings such as focus group with children in school small scale model of the neighbourhood was provided. Different methods were used for consulting with different stakeholders. Costs and benefits of changing each block were discussed in focus groups with residents. All the plans of larger context of plan were available for public but since the participation was in initial stages of planning, people were not aware of short term and long term effect of the plan. So for first criterion the project scores 5 out of possible 6 credits.

Regarding the quality of provided data, in each focus group different methods were used. People were able to ask for explanation of any technical words during the meetings and detailed accurate information was provided for residents of the neighbourhood about legal processes and possible changes. But apart from public consultation, a group of experts were using the outcome of negotiation phase in preparing the plan and they had more information about the allocated budget and also they had more contacts with companies which support the project so information for all stakeholders was not equal. Therefore this project gets 4 point out of 5 possible credits for this criterion.

All the meetings were held within the neighbourhood so it was easy and affordable for people to participate. During the process people were able to talk about their wishes and hear about other ideas and also in the process of deciding on appropriateness of final plan they could give their comments about every aspect of the plan. Apart from meetings, the outcome of each focus group was presented in different ways so that other stakeholders would be informed about others decision. For example as Denter (2010) express “The results [of focus group with children in schools] were presented and exhibited in the National Gallery of Twente, located on the edge of Roombeek. Parents were invited for this widely publicized event.” On the other hand, organizers were obliged to give a report of the event they hold and publish it for public. So people were informed about updates on the process. Hence the project gets the full credits of access norm in process phase.

#### 4.1.3. Outcome (Post-Negotiation Phase)

The access to the outcome is interpreted as both access to information and plans and access to implemented outcomes of negotiation. In this sense, in the approved or implemented plan distribution of costs and benefits of the agreed alternative should be fair among different stakeholders. In other words the outcome of the negotiation phase and implemented plan should not favour specific groups of stakeholders. So following criteria and sub-criteria are of relevance for evaluation of access norm in this phase.

- **Accessibility of outcomes of negotiation and agreed plans for all stakeholders** **3 Credits**
  - Accessibility of outcomes of the participation practice to all stakeholders involved in the process
  - Accessibility of final plan for all involved stakeholders
  - Accessibility of the final plan for public
- **Fair distribution of costs and benefits** **2 Credits**
  - Fairness of outcome of final plan: (Does the final plan favour specific groups of participants?)
  - Fairness of outcomes of the discussions: (Are they biased to favour ideas of specific stakeholders?)



The first criteria can be evaluated using both sources of information being public point of view and existing documents. In case the participants of the process are accessible it would be more preferable to have the evaluation based on their idea. For second criteria it is important to bear in mind that interpretation and way of measuring costs and benefits would not be the same in different cases. Each evaluator can have his own way of defining cost of benefit. Hence such criteria need to be double checked with information gathered from interviews and questionnaires from different stakeholders.

#### ○ **Chorlton Action plan**

The outcome of participation process and the final action plan of the neighbourhood are presented as reports and it is available for public through Manchester City Council website. Details of discussions, feedbacks from different stakeholders and documentation of some meeting are also accessible to public. On the other hand the website of each community group which were involved in the process, have detailed documentation of their opinion and contacts with city council in their archives. So the project gets the full credits for the first criterion.

For determining the fairness all the feedbacks and e-mails that people sent to city council has been reviewed and the final plan is compared to the first drafts and the outcomes of participation process. The main issue that is clear is that from the beginning people have questioned the lack of enough commercial units in the centre of the town and have asked for more support for local businesses. Also as a final outcome of negotiation phase they have mentioned need for community centres and more involvement of people in the plans as one of their priorities. Although in final plan supporting local businesses are of short-term policies, there is more emphasize on creating new shopping units. So although the outcomes of negotiation phase are fair based on different stakeholders' benefits, it has not fully reflected in the final plan. Hence this project gets only one out of 2 possible credits for second criterion.

#### ○ **'U Decide' Events**

The results of the voting were announced in the same event in both practices so the outcome of collaborative practice was available for those who were involved. Afterward the outcomes were published in all local newspapers and community groups' websites and it was accessible for whoever who is interested in knowing the outcome. The details of the chosen projects were also published by the companies or people who proposed the project.

Since the projects were all small scale projects, there is not a huge cost (monetary and non-monetary) in each project. All the projects would be beneficial for the public and other stakeholders. So the outcome can be considered fair. In the evaluation form which was filled by participants in Chorlton event (Manchester City Council, 2010) %61 of participants thought that the process was fair and almost %25 has not answered this question. and in Whalley Range (Manchester City Council, 2011) %82 believe that the process was fair. In this sense the Chorlton case won't get the credit of these sub-criteria.

#### ○ **Roombeek Redevelopment**

The outcome of negotiation phase was published as a report called "The Urban Development Spatial Vision 'Roombeek, a familiar district' on October 2001 "(Gideon consult). This report was accessible for public and for all those who were involved in the process. Regarding the fairness of the outcomes, although the final decision was taken by city council, public should have approved the plan before the final decision therefore the outcome of negotiation wasn't in favour of specific groups. That was because all the diverse inhabitants of Roombeek were involved from the very early stages in planning process. The approved plan also contains all the concerns of public which were expressed during negotiation phase. The implemented plan was also the same as what it was agreed during the negotiation phase and municipality didn't make huge changes in the agreed plan (Denters & Klok, 2009). Hence the project receives 5 credits from 5 possible credits of access norm in this phase.

## 4.2. Public Deliberation

Similar to Agger and Lofgren's (2008) definition, this norm deals with the extensive inclusion of different relevant stakeholders in the process. This is something that has been mentioned in most of the principles and guidelines for collaborative planning as essential part of any collaboration. Inclusion of different stakeholders will ensure inclusion of different types of knowledge in the process which will lead to more comprehensive and better democratic decisions. It is believed that including local knowledge in the process of decision making is one of the main aims of any collaborative process so it is important to ensure that the design and preparation of the process enables local experts to have chance to express their ideas and be involved in decision making.

### 4.2.1. Input (Pre-negotiation Phase)

Public deliberation in this phase focuses more on the chances different stakeholders have for participating in the process. That means all the possible stakeholders should be informed and be invited to the process. Approaching stakeholders in different ways is also considered to be important in including local knowledge. In some cases special design of the process or chosen tool unintentionally keep some groups of stakeholders out of the process. So there is a need for a plan for collaborative process in which different ways of approaching stakeholders are pre-defined. Therefore public deliberation can be evaluated based on following criterion and its sub-criteria. All data required for evaluating these sub-criteria can be extracted from existing documents on collaboration process.

#### ➤ Inclusive targeting of stakeholders

**3 Credits**

- Presence of local knowledge/ their representatives in designing phase of the process
- Existence of a clear stakeholder analysis and proper recognition of stakeholders before the start of the process
- Existence of plans to approach different groups of stakeholders differently in participation process

#### ○ Chorlton Action plan

In stakeholder analysis, the Chorlton action plan can be considered as a successful project. Different groups of stakeholders have been identified based on previous practices. As it is indicated in the report (South Manchester Regeneration Team, 2010), before start of the negotiation phase different processes for approaching traders, local organizations, children and young people and elderly was planned. The time, procedure and specific method to be used during the process of negotiating with each of these groups were determined prior to the process but local knowledge being local organizations and groups were not involved in designing the process and were not ask to give their opinion on how the process should be. So the project gets 2 out of 3 possible credits of this criterion.

#### ○ 'U Decide' Events

Since public were able to be in the steering group, it can be said that the local knowledge was involved in designing the process of negotiation. Preparing the stakeholder analysis report was responsibility of steering group. The dominant idea in steering group was that all the small scale projects are affecting the community as whole and all community groups and their representatives should be present in the process. The main weakness of these projects was that the stakeholder analysis was not done based on the proposed projects. In some cases like the proposed mapping project in Whalley Range other stakeholders from outside of the ward could also be involved. Since the stakeholder analysis is not so detailed, there is no plan for approaching stakeholders differently accordingly. So both projects get 1 credit out of 3 possible credits for this criterion.



### ○ Roombeek Redevelopment

In developing the “process architecture” local knowledge being local inhabitants were not in the independent committee although their representatives were always present in all stages of plan preparation. Based on this “process architecture” three panels of experts were formed to discuss the social, economic, and physical dimensions of the redevelopment process. Beside series of general sessions, there were special participatory opportunities for specific groups such as male Turkish residents, female Turkish residents, Moroccan men, Moroccan women, elderly people, local shop owners and entrepreneurs, artists (the area hosted many studios), and young people (Denters & Klok, 2010). This shows that extensive stakeholder analysis was done and the whole participatory practice was well organized and planned to approach various stakeholders differently. Hence the project gets 2 out of 3 possible credits in for this criterion.

#### 4.2.2. Process (Negotiation Phase)

In the input phase the framework evaluates how many different stakeholders have a chance to participate while in this phase, the main focus is the extent to which design of the process allows the stakeholders to actually participate. Incentives can have a great influence on the extent people participate. Although due to differences in roles and responsibilities, stakeholders may have access to different resources, it shouldn't be the way that they have a great influence on their power and influence on taking decisions.

Furthermore according to agonistic theory, the most important democratic value of collaborative practice is reflected in the way it deals with arising conflicts during the process (Flyvbjerg, 2002). The role of facilitator in the process is of great importance. In some cases using certain tools doesn't allow different stakeholders to become aware of each other's' point of view during the process. Although it may seem that there is no conflict in such design of the process, this cannot be considered as a good way of dealing with conflict since it avoids conflict rather than facing it. So for evaluating public deliberation in collaborative process the relevant criteria will be as follows:

- **Inclusiveness of the process** **2 Credits**
  - Presence of different social/economic/cultural groups in the participatory process
  - Existence of a proper incentive for public participation
- **Equal chances and resources for all stakeholders** **5 Credits**
  - Equal chance for each stakeholder to express their point of view (opposition and approval groups)
  - Equal resources for all stakeholders to make others aware of their point of view (existence of appropriate media for doing so)
  - Handling conflicts: Success of the project in dealing with conflicts
  - Equal opportunity of changing properties of the plan and giving new alternatives for different stakeholders
  - Neutral influence of mediators (organizers) on emergence of or change in dominant ideas

Both of these criteria can be evaluated both from participants' point of view and from objective evaluation. Although the required data for this evaluation can well extracted from documents in the process, there is not always detailed information documented about the project. In this case finding people who were involved in the process can be helpful. Or in case that, the actual participants of the process are accessible their point of view on evaluating these sub-criteria can be cross checked with existing documents.

### ○ **Chorlton Action plan**

Although chosen tools in this practice make it difficult for some groups to be involved, with combining different methods they have tried to involve as many groups as they could in the process. Compared to other previous practices in this neighbourhood, they were successful in approaching different groups of residents. In preparation plans and also in actual practice there was no planned incentive for public to participate. This is because in the plan it is assumed that due to the specific economic and cultural characteristics of residents of this neighbourhood and previous practices people do not need any incentives to participate if they want to.

During the process all residents and different groups in the community had a chance to express their ideas in different meetings of their own community or through the city council and community groups' websites. Also in serious cases all residents can have direct contact with city council officials through their council representative. But not all the involved stakeholders in this case had relatively same access to resources. Some stakeholders such as traders or other possible benefited stakeholders, who were aware of more detail part of the plan, could better decide on the proposed alternatives.

As it was discussed before, the online way of participation does not allow all stakeholders to get to know others' feedbacks and ideas. Also the outcome of discussions with elderly and focus groups with traders were not published during the participation time. Hence this design of the process avoids the conflicts. This way of treating conflicts based on discussed ideals of democratic practices is not successful. Regarding the last sub-criterion, based on the existing documents on the process, in focus groups with traders, elderly and children, the role of mediators were just assisting the participants to express their ideas and it was not influential in the outcome of the process. So this project gets 2 out of 5 possible credits for the second criterion.

### ○ **'U Decide' Events**

By the advertisements done during two months before the start of the event, Whalley Range with 98 attendants and Chorlton with 142 attendants were among successful PB practices (Manchester City Council, 2010, 2011). And also neighbourhood community groups considered these practices as one of the most successful practices. Among these attendants there were people from different social and economic groups and in both practices incentives such as food, performances by local groups and refreshments were planned.

During the process all stakeholders had access to equal resources to make others aware of their opinion and the mediators were just organizers of the event and had no critical influence on the outcomes. But not all the possible stakeholders had a chance to express their point of view. This is because the event was just held one night and those who were not able to anyhow attend the meeting had no other chance to participate. Also by choosing voting system and project introductions, this practice actually avoids any discussion which may lead to conflicts. Furthermore only those who propose the project can further change properties of the projects. Although these modifications can be based on feedbacks they may receive afterwards, but in the process participants have no chance of suggesting new alternatives of changing plan properties. Hence both projects get 2 out of 5 possible credits in second criterion.

### ○ **Roombeek Redevelopment**

According to outputs of Denters's survey almost one in every four (24%; n = 328) residents from the inner ring attended one of the participatory meetings. In the outer ring of the area, only 9% (n = 376) of respondents indicated that they took part in these meetings. 40% of inhabitants of inner ring had indicated that although the authorities granted all residents a "right to return" to the area, they did not intend to come back and that's the reason they are not eager to participate. The incentive for public to participate

was the insurance that the local authorities gave to all inhabitants that they will fully compensate all their losses. So the project gets the 2 possible credits of first criterion.

Regarding the second criterion existing documents show that everyone had a chance to freely express their ideas. The organizers and mediators in the process were not that influential in changing participants focus. Although different stakeholders were able to modify the plans, municipal council approval was necessary for the final decision (Denters & Klok, 2010). Despite the fact that municipal council members were elected by public, their power in approving or disapproving the plan can be considered influential in final decision making.

Denters (2010) study shows that there was not a huge difference between people's point of view in consequently requires specific approaches for dealing with conflicts. Even so, the design of the process in which there were plans for many rounds of discussions, decision makings and modifying plans, allows participants to get to know others point of view and discuss it wherever it was necessary. Therefore the project can be considered successful in dealing with conflicts. So the overall score of the project in second criterion would be 3 out of 5.

#### **4.2.3. Outcome (Post-Negotiation Phase)**

Public deliberation in outcome phase can be interpreted as influence of different stakeholders on the final decision of negotiation and collaboration of different stakeholders in monitoring the implementation of the plan. In this sense this norm deals with evaluating whether the outcome of negotiation phase really reflect the ideas of all the involved stakeholders and whether they can have their voice in monitoring and implementation of the plan. Hence the following criteria and sub-criteria are relevant in evaluating this phase.

- **Public monitoring of outcome of the project** **3 Credits**
  - Existence of Clear ground rule for involving public in implementation phases for monitoring the progress
  - Existence of channels for communicating output of different phases of implementation with public: (like website, specific organization or a department in urban governance)
  - Possibility of monitoring and giving feedbacks on output of participation process which will be used in preparing final plan
- **Compatibility of final plan with outcome of participatory practice** **2 Credits**
  - Compatibility of outcome of participatory practice with final plan
  - Occurrence of modification in pre-defined alternatives

All these sub-criteria can be evaluated using objective evaluation based on existing documents on the process of collaboration. In this phase, since the implemented plan is there on the ground, for evaluating last criteria direct observation of implemented plan and comparing that to outcomes of negotiation phase can be useful. Although this compatibility can have different ranges but in this study the plan would be compatible if not dramatic changes has happened in the implementation of the plan.

#### **○ Chorlton Action plan**

In the final report of Chorlton action plan, there is a section for management of neighbourhood centre and also a section for culture which deals with involvement of public in the plan (South Manchester Regeneration Team, 2010). In none of these sections there is no clear rule or mandate for public monitoring of the plan or implementation of it. But there is a website dedicated to neighbourhood discussions which is in line with TALKChorlton website which was specifically designed for public participation. Through this website public can express their ideas and feedbacks on urban plans or any other issue of their neighbourhood. The point is that although these feedbacks are expressed and

available, the extent to which these feedbacks can influence the outcome of plans is questioned. Because in each plan like preparing Action plan the practice start and finished in a specific time and monitoring of the plans are not happening in a short time.

Based on the final report of Chorlton Action Plan (South Manchester Regeneration Team, 2010) and TALKChorlton Consultation Statement (Vision Twenty One, 2010b), the final plan has been modified based on feedbacks from the public. Issues such as having more community meeting spaces or emphasizing support for local businesses were not in the first draft of the plan. But in total the focus of the final plan is the same as the first draft. And some main points that people have mentioned although they are in the final plan, but they are not highlighted as much as public would like them to be in the final short-term, medium-term and long-term action plans. This is why this project only gets one out of two possible credits of second criterion.

#### ○ 'U Decide' Events

As it was discussed before in the guidelines of 'U Decide' events steering group should have prepared a clear rule for monitoring implementation of the projects. Also all the channels which were used for inviting people are still available for communicating the outcome of the voting event and also the report on implementation of the projects. At the end of both practices evaluation forms were provided for public to give their feedbacks about the event. So both events get the full credits of first criterion.

Regarding the second criterion, although the outcomes of the projects are the same as what it was decided based on public votes, there is no chance for public to change or modify the project because they didn't have the details of accepted projects before the voting event. So the practice only got 1 credit out of 2 possible credits in second criterion.

#### ○ Roombeek Redevelopment

Different channels existed for different stakeholders during the process and after that to give feedback on the outcome of negotiation phase or the final prepared plan. In the first round of meetings (February–March 2001) residents and experts' point of view were investigated regarding the future redevelopment of the area. "The outcomes of the citizen meetings and the expert panels provided the input for the planners. The results of the planners' work were subsequently presented to the municipal executive board. After this board's approval, the first draft of the redevelopment program was presented to the citizens, who could react in a second round of meetings (July 2001). At the end of these meetings, the participants were asked whether they permitted the plan so that it could be submitted to the municipal council for final approval" (Denters 2010). This shows that many opportunities were given to public and experts to comment on the outcomes of negotiation phase and the plan.

In the final plan for Roombeek Redevelopment there is no clear statement about the rules which enforce involvement of public in monitoring of the plan. Although, people have the right to complain or object any plan through the existing channels which are available for them. So this project gets 2 credits out of 3 possible credits of this criterion.

Regarding the second criterion, as it was mentioned before the alternatives in this case were developed by participants hence from the beginning they modified it based on their desires. Hence the final approved plan fully reflects concerns of participants. The fact that people who were involved in the process also approve the final plan shows that the plan was successful in addressing needs of the participant. Hence the project gets full credit of the second criterion.

### **4.3. Adaptiveness**

Adaptiveness is more concerned about flexibility of process preparation, participation process itself and decisions as outcomes. Although ideal level of flexibility can varied depending on the aim and type of the

collaboration, minimum flexibility is necessary for any participatory practice. For instance flexibility in those practices in which the aim is involving different stakeholders for decision making is of more importance than practices of consulting type. So it is important to consider the discussed types of collaboration (see section 2.2.1) in evaluating this norm.

On the other hand this norm is strongly connected with ability of process to deal with conflicts and it can influence it. Most of the successful processes are those who are flexible and responsive to arising conflicts and unexpected things which happen during and after the negotiation process. The democratic concern is that the plans for collaborative process should not be that strict that doesn't allow any changes in the process and should not be that open to let different events or specific groups of stakeholders to change the process in favour of their own benefits.

#### 4.3.1. Input (Pre-negotiation Phase)

In most collaborative practices, negotiation process starts with number of existing alternatives which guide the discussions and the process. Although it is always stated that these alternatives can be changed during the process based on feedbacks of stakeholders, in most cases the discussions rarely go beyond existing elements of pre-defined alternatives. This becomes controversial when existing alternatives do not include concerns of specific stakeholders. Therefore regarding democratic concerns it is important to know in the plans and preparation of collaboration process to what extent different stakeholders are allowed to make changes in the plans. This is determinant of type of collaboration practice (section 2.2.1). Hence the following criterion is relevant for evaluation of this norm.

- **Flexibility of project alternatives and participation process design** **3 Credits**
- Non-Existence of pre-defined alternatives for the plan
  - Extent of possible changes in the alternatives based on plans in larger context
  - Non-existence of any political mandate for implementation of specific alternative or planning specific participatory process

All the required data for evaluating this criterion and its sub-criteria can be extracted from the existing documents on the collaboration process.

#### ○ **Chorlton Action plan**

In this project, main focus of the plan has been already outlined. Also there is a mandate that the main outline and the final actions should be compatible with main agreed goals and strategies for the neighbourhood in the South Manchester Strategic Regeneration plan. In this practice, main weaknesses and strengths of the neighbourhood have been defined based on a comprehensive study on city center. Despite existence of these strategic plans, each neighbourhood had a choice to adopt an approach in delivering those goals. So there could have been many alternatives for designing the process of participation and the possible outcomes of the plan. So this project gets 2 credits out of 3 possible credits.

#### ○ **'U Decide' Events**

The outline of the projects was well defined before the event. The fact that by law projects cannot cost more than certain amount of money is the limitation which was set beforehand. This limits the nature and scale of the projects. The designed voting system process also limits the possible changes in alternatives. Although there is no political mandate for specific projects and processes, the pre-defined structure of grant payment limits the alternatives in these practices. So both practices get only one credit in this criterion.

### ○ Roombeek Redevelopment

As it was discussed in previous criteria there was no predefined alternative in this practice. Instead the alternatives were developed by different stakeholders. And they were free to make as much changes as they want. Although the feasibility of the plan was determined by experts and planners, public were able to discuss any topic which was related to the neighbourhood redevelopment plan. No political, economic or social mandates were imposed for planning for participation. This was partially due to specific situation and context in which the practice was happening. So this project can be considered fully adaptive in input phase.

#### 4.3.2. Process (Negotiation Phase)

Not always everything in practice goes as well as it is expected to be according to preparation plans. So a good process should be able to handle the obstacles and challenges which may occur during the process. Apart from unexpected problems, in some cases the chosen tool or the design of the process is not fitting well to specific stakeholders' resources and abilities and it requires modifications. There should be always an alternative plan to face these issues.

On the other hand, if we accept that stakeholders have a right to modify alternatives, the chosen tools in the process should enable them to do so. Therefore there is a need for tools which can analyse costs and benefits and consequences of new alternatives suggested by stakeholders. So the practice would be democratic in regard to adaptiveness norm in the process phase if it meets following sub-criteria. All the required data for evaluating this criterion can be extracted from existing documents on detail of collaboration process.

#### ➤ Flexibility of process and the chosen tools

4 Credits

- Possibility of modifying process and tool during the process, based on feedbacks
- Time limits: Enough given time to participants to evaluate the alternatives and make possible changes
- Possibility of getting data and operating analysis for new suggested alternatives for the project (whether the tool allows instant analysis of data for new alternatives or there is a need for another session)
- Existence of alternative tools (availability of alternative tool in case the chosen tool is not comprehensive for specific stakeholders)

### ○ Chorlton Action plan

According to TALKChorlton Consultation Statement report (Vision Twenty One, 2010b), the consultation process for three months was well planned beforehand. Different events were organized in specific time although the consultation process delayed for 3 months, the sequence of events was the same as it was planned. Therefore it was not possible for organizers to change the process and plan based on people's feedbacks. Also the tools for each stage of consultation were already defined and with fixed timing of consultation process there was no room for having alternative tools or modifying the tool based on the previous phases of consultation. Assuming that interested people were informed about the process from the very beginning, the planned 3 months of consultation was enough for participants to get more information and give feedbacks on them.

During the process and also in all the available materials distributed prior to the process the possible contacts for receiving more information or data were announced. So in any stage of this consultation process people could individually or through their community groups have access to more information. But since the nature of consultation was only getting feedbacks from the public, and considering the limited time of consultation, the information that people asked for were more about the timings of events



and some details of the plan (Vision Twenty One, 2010a). Based on the discussed details this project gets 2 out of 4 possible credits of this criterion.

#### ○ **'U Decide' Events**

The chosen method of participation in these practices as it was discussed before is not so flexible. This is because there is no planned alternative tool which can be used in case of occurrence of any unexpected problems. In these practices people listened to descriptions of projects and had to decide on which project to vote for in a very short given time. On the other hand their influence on the projects is just to say yes or no to the project. There was no chance to give suggestion for modifying proponents of any project to make it appropriate for investment. So these projects don't score in any of the sub-criteria of this criterion.

#### ○ **Roombeek Redevelopment**

Although people have many opportunities for changing details of the plan, in this practice, the process of participation was carefully designed by the independent committee and it was not possible to modify participation tools and processes based on feedbacks. Also during the process, different tools were planned to be used for different stakeholders and in single meeting there was no alternative tool. It should be mentioned that the tools which were used in the process were efficient enough for enabling participants to express their ideas.

The time given for public participation and planning was relatively enough and in each round of meetings public were able to get more information and modify the plan accordingly. Also using small scale models of the neighbourhood in number of meetings enabled participants to change properties of the plan and visually observe the changes. Hence this project receives 2 out of 4 possible credits for this criterion.

#### **4.3.3. Outcome (Post-Negotiation Phase)**

Since the implementation of the plan is a long-term process, many unexpected social, political, financial or technical problems may occur which can greatly influence the implemented outcome of the plan. Therefore it is preferable that in negotiation phase some alternative options be discussed and brought to discussion again. Apart from collaboration process issues, such flexibility should be supported by rules or laws which clearly define responsibilities and role of different stakeholders in monitoring phase and mandate them to take actions where it is necessary. So the last two sub-criteria are related to rule of law which will consequently assure continuity of collaborative process.

So following sub-criteria will be of relevance for evaluating adaptiveness in outcome phase. The evaluation of this criterion can be done completely by objective evaluation based on documents and direct observation of cases.

#### ➤ **Flexibility of plans for implementation**

**2 Credits**

- Existence of different agreed alternatives for implementation in case of facing problem in implementation of the most agreed alternative
- Existence of clear ground rule for determining responsible authority/organization for deciding on changes in the plan in case of facing unpredictable barrier in implementation
- Existence of clear ground rule for dealing with oppositions and negative feedbacks during or after implementation

#### ○ **Chorlton Action plan**

In the final report of Chorlton action plan (South Manchester Regeneration Team, 2010) three categories of actions being short-term (1-3 years), medium-term (3-5 years) and long-term (5-10 years) are suggested. Although there are not different alternatives for the plan, from the approval of the plan till its



implementation, people, organizations or other stakeholders have a chance to comment or express their strong opposition to the plan through different existing channels. Since these actions are still in form of goals and strategies they are flexible enough to be change or modified in implementation.

In the institutional structure of Manchester city council, role and responsibilities of all related persons and companies are well defined. Council representatives in each neighbourhood are the link between residents and city council officials. There are clear rules about responsibility and extent of power of each involved parties in any urban plan. Although each neighbourhood can have its own structure based on Mancunian Agreement, there are clear rules how plans should be approved and implemented. So based on existing facts, this project gets full credits of this criterion.

#### ○ **'U Decide' Events**

In these practices, projects were ranked based on their priority and based on public votes. This means in case one of the agreed projects anyhow became impossible to implement, the other choices can be used as alternative. In practice based on the clear rules that each steering group in each ward have had agreed, responsible authorities for modifying and implementing the projects are determined. One of the main positive points about these practices is that since the emphasis of the projects are on public participation clear rules mandate authorities to accept outcomes of the participation phase. Hence these practices get full credits of this criterion.

#### ○ **Roombeek Redevelopment**

In the final meeting in which people were asked to vote for different alternatives, four alternative were prepared and discussed (Gideon Consult bv, 2008). Beside the complete plan, different properties of desired neighbourhood were discussed and agreed during negotiation phase. As Densters (2010) express different rules and regulations for this practice were not signed formal regulations. They were more informal agreements among all the involved actors which is mostly due to specific context of the project. so the project gets 1 point out of 2 possible points of this criterion.

### **4.4. Accountability**

Similar to what Agger and Lofgren (2008) has defined for this norm, accountability is more about the extent local authorities can be held accountable for their actions. Accountability is one of the major prerequisite components of good collaborative practice and it can also be the main outcome of a democratic collaboration. It also includes evaluating to what extent people trust responsible authorities. Many issues can be influential in creating or ruining this trust; dominance of specific political groups, previous experiences, overall democratic nature of political experiences in the context are just few examples of these issues. Accepting the fact that previous failures or successes in collaborative experience can greatly influence trust of the people in such practices, democratic nature of any practice can influence sustainability of collaboration in future.

#### **4.4.1. Input (Pre-negotiation Phase)**

It is almost impossible to separately evaluate success of collaborative practice without considering success or failure of previous practices. Accountability of local governance system and social institutes can greatly influence the extent to which people participate. This is mostly related to outcomes of previous collaborative practices. Although evaluating the level of trust people have in authorities, itself is a very complicated issue. Differences in defining trust and difficulties in measuring the trust are subject of many studies. But in this study existence or non-existence of following three main elements are concerned in defining and evaluating trust.

#### **➤ Level of public trust in authorities**

**3 Credits**

- Existence of previous successful participatory practices in recent years
- Regular meetings of local authorities/representatives with residents
- Existence of specific known channels/plan for participatory practices in context

The main point in choosing these three elements is that they can be evaluated based on existing documents and records. Although evaluation of these criteria does not need direct perception of public, in case the resources and tools are available cross-checking outcomes of these three elements with public perception of trust would be helpful in explaining the scores the project gets in this criterion.

### ○ **Chorlton Action plan**

As it was mentioned before, Chorlton neighbourhood is one of the most active neighbourhoods regarding participatory practices. Few years ago there was a strong opposition against opening of a large supermarket in the neighbourhood which was not successful. This failure influenced people's trust in planning process so much that even in interviews everybody mentioned this project as a big failure of public participation. Also in the e-mails people sent (Vision Twenty One, 2010a) for city council during the consultation phase, there are many e-mail concerning this issue. Here are some examples:

"I am also concerned about the process of the planning application that big supermarkets like Tesco take advantage of. There was a lot of support against the opening of the Tesco Express store next to Unicorn and opposite the Barbakan Deli, regardless of the public's outcry and a large petition against the opening of the store; Tesco and other savvy organisations re-submit their applications until they are passed. I think that this is extremely unfair and I also think that the council MCC disregards the concerns of the public in favour big business."

"This is a really lovely idea ... but will it really make a difference to the final decision? Being an old cynic, and based on previous poor decisions by local planners (such as the Tesco fiasco, lack of support around Longford Park/save Ryebank Fields campaign, the lack of interest in traffic calming despite a rise in accidents in our area, the poor parking and so on and so on... )."

"... What kind of "consultation" and "analysis" are you referring to? I believe 596 objections to the Chorlton Tesco Express development were received by the council - one of the highest protests ever recorded in South Manchester - and the council rejected the plans in 2007, yet we still ended up with it."

On the other hand based on interviews, few people know who their city council representative is and how they should contact him. Although community groups have their own regular monthly meetings, no meeting were arranged by neighbourhood council representative. In this system it is assumed that people can have direct contact with city council through the website and they can access all the information. As it was discussed before there are many well defined plans to engage public in urban decisions in different scales. This makes authorities responsible and accountable for such practices. Hence this project only gets one out of three possible credits of this criterion.

### ○ **'U Decide' Events**

The Chorlton neighbourhood previous practices were discussed in the previous section. Whalley Range doesn't have a long history in participatory practices. This is also highlighted in the evaluation form filled by participants in the process. In the evaluation form (Manchester City Council, 2011) there is a question which asks participants to evaluate how much they feel that they could influence decisions prior to the event. In Whalley Range %62 were not sure whether they could change decisions.

As it was discussed for Chorlton Action Plan case there is a strategic and action plans for community engagement in all wards. But in none of the wards, council representatives do not have regular contacts with residents. So both wards get one score out of 3 possible score for this criterion.

## ○ Roombeek Redevelopment

Dutch planning system has long history of collaborative practices. Many successful participatory planning has happened in national, regional or city scale plans so that Dutch society is fully familiar with and believed in such practices. Apart from public participations for specific plan, people are provided with different channels to express their ideas about their living environment. Direct contacts with municipality or through municipality's website are examples of these channels. Councillors in Enschede do not have regular meetings with public but in specific cases they have to gather public opinion and based on regulations and laws indicated in website of Enschede municipality, they have to give annual report of their collaboration and works and publish them for public. So the project gets 2 out of 3 possible credits.

### 4.4.2. Process (Negotiation Phase)

The process would be accountable if all the participants have clear information about the process and how the decisions and plans are made. The logic behind the analysis and choosing different alternatives should be transparent. This way participants can better defend or reject alternatives or suggest new ones during the process. On the other hand if the process is not transparent enough to let participants be informed about other stakeholders' feedbacks and the influence they have on changing the outcomes, it cannot be successful in dealing with potential conflicts in the outcome phase. Therefore following criterion is helpful in evaluating accountability of the process.

#### ➤ Transparency of the process and the chosen tool

**3 Credits**

- Clarity of the logic behind analysis for all stakeholders (are stakeholders aware of the logic of analysis for defining alternatives and effects of each alternative)
- Awareness of participants of when and how other stakeholders will participate in the process
- Accessibility of updated information about the feedbacks and changes in the process during the process

This criterion is more subjective and need to be evaluated based on participants' feedback on the process of collaboration. Due to discussed limitations in finding participants after implementation of plans it is also possible to get the required information through documented details of the process or the feedbacks which were collected exactly after the process.

## ○ Chorlton Action plan

Based on the sent e-mails from public to consultation authorities (Vision Twenty One, 2010a), there are some concerns about the clarity of analysis. Especially people were concerned about how the planners have come up with this outcome that the neighbourhood needs more commercial units specially supermarkets. Here there are some examples:

“The case for an additional supermarket is not proved. There are already sufficient supermarkets in the area, and in aggregate they arguably already occupy a dominant position. If, as is suggested by reading the subtext of the consultation document, it is intended to construct a supermarket on the Precinct site, it should be only be as a replacement for one of the existing supermarkets of equivalent size.”

“I'm left clueless by what you're actually talking about. Do you mean another specialist, stand alone retail outlets or are you talking about a large supermarket like Tesco? The fact that you're already talking about it providing extra car parking spaces would seem to indicate that you are referring to one of the giants”

“We don't understand what is meant by the proposed 'gateways'. As above, they appear to be somewhat arbitrary.”

Since only outcome of studies have been provided for public, some of the analyses were not clear for public. On the other hand through the existing websites, leaflets and local newspapers, people were aware of how other stakeholders will be involved in the process and when would that happen. But since the process was planned very strictly due to limitation in time, there were no chance for different stakeholders

to know others' feedbacks during the process. This is even reflected in one of the e-mails that were sent by public:

“You have reached the half-way point in the consultation, and according to today's South Manchester Reporter you are still welcoming further comments. Where can I find the comments which you have already received, to ascertain other residents' views and decide whether I need to contribute? If the comments are not being publicised you can hardly call the process a "consultation" (Vision Twenty One, 2010a).”

Based on given facts, this project will score 1 out of 3 possible credits.

○ **‘U Decide’ Events**

The process, by which different projects were determined as eligible for being in the voting event, was not published or announced for the public. Different existed alternatives being different projects to vote were limited to the projects that were approved by steering group. And although all the organizations which had proposed projects published their proposal in their websites, officially no report was published about accepted projects and their descriptions or the report of updated information about different participants in the event. So the practices get one credit for this criterion.

○ **Roombeek Redevelopment**

As it was mentioned before participation process happened in different stages of planning in several rounds. Although public were not directly involved in planning and the outcomes of their meetings were used as an input for planners, they had chance in later rounds of participation to ask about the logic behind each alternative and discuss possible changes. On the other hand in each round of discussion they had updated information about the outcome of meeting and changes in the redevelopment plan. They were also fully aware of how and when other stakeholders participate and what their points of view about future of the neighbourhood are. So the project gets all the credits of this criterion.

**4.4.3. Outcome (Post-Negotiation Phase)**

Sustainability of participatory practices indicates that the participatory practice is held accountable. Although this norm in this phase mostly concerns criteria related to rule of law, it is an essential part of any democratic practice. Ownership of outcomes of negotiations or produced maps and information during the negotiation phase also is another issue that leads to a more or less accountable practice. As Aitken et al. (1995) discuss all actors involved in the production and consumption of information should have some ownership in the creation of knowledge. Hence following criteria will be relevant in evaluating accountability of outcomes of negotiation and plans.

- **Ownership of produced maps and data** **1 Credit**
  - Existence of clear ground rules for determining who will be the owner of output of participatory practice
  - Existence of any urban law or regulation which legitimize decisions taken in participatory sessions
- **Sustainability of participatory practices** **2 Credits**
  - Low risk of dramatic changes in participatory practices by modifications in planning system
  - Increase in trust of the people in participatory practices after this practice

The first criterion can be evaluated based on existing documents and records in juridical institution. For the second criterion, interviews should be done with experts and with local people. The risk of change can only be determined based on different expert's point of views from different related fields. The rise in trust can only be evaluated based on interviews with local people and other involved stakeholders. Since it is assumed that a good democratic practice will encourage those who have not been in the process to

participate in next practices, people who are interviewed for second sub-criteria should not be necessarily participants of the process.

#### ○ **Chorlton Action plan**

Neither in final report of the action plan nor in plans of bigger context there is no clear rule on ownership of outcome of the negotiation phase. Also there is no mandate for using the outcome of consultation in the final plan. Although there are many strategic plans for participation, they are no rule or mandate so it can be taken accountable in any plan. So the project won't get any credit from the first criterion.

Existence of long term strategic plan reduces the chance that the whole participatory process face dramatic changes. Although some details of the practices may be vary in different period of time, the main structure of collaborative planning will stay the same in next 5 to 10 years. In this practice, according to the comments people put in TALKChorlton webpage after the practice, people now have more trust in such practices. They can easily express their ideas and thoughts even after the practices through the website. This has a positive influence on people's trust in collaborative practices. Hence this project gets 2 credits out of 3 possible credits for accountability norm in this phase.

#### ○ **'U Decide' Events**

In each project proposal it is defined that who is the owner of the project and who will be responsible for its implementation. Steering groups are responsible for defining the ownership of agreements but in general as it was discussed before these practices are supported by clear rules that all the agreed decisions should take into consideration. Regarding the first sub-criteria related to sustainability of the practices, discussed in previous section for Chorlton Action Plan case is also valid for both cases here.

For the second criteria the evaluation after the process shows that the event was successful in increasing people's trust in such practices. %93 of participants in Whalley Range event and %73 of participants in Chorlton event said that they will participate in similar events in future. So both practices are fully accountable in outcome phase.

#### ○ **Roombeek Redevelopment**

Regarding the existing laws for legitimizing public decisions, there is no such rule in urban laws that enforce planners to involve people in decision making process but in this specific case one of the main aims of the practice was involving as much of the former residents possible in planning for redevelopment. So the project won't get any credit from the first criterion. Regarding the second criterion, public participation is one of the main parts of any planning practice and it is a well-established routine in different practices. So there is a very low possibility that this would change dramatically with modifications in planning system.

Roombeek redevelopment not only became a role model for different participatory redevelopment plans in The Netherlands, it also became internationally well known. By all the supports which were given from different sources the project was successful in fulfilling its aim of extensive inclusion of public. The fact that people were fully involved in the plan and were able to even choose their desired planner and architects to plan for the neighbourhood makes the public trust in the planning authorities. So the project gets full credits of this criterion.

### **4.5. Political Identity**

As it was discussed in section 2.3.1 according to Innes and Booher (1999) political capital as ability to work together for an agreed end is one of the first order effects of collaborative practise. In any context, specific characteristics exist in political structure and behaviour of different social groups. Democratic collaborative practices can enhance or reduce activity of different groups or NGOs which exist in specific

context. According to agonistic theory revealing the power relations and raising awareness about existing active political groups is one of the main goals of any participatory practice. Therefore this norm will deal with the extent that collaboration changes political structure and behaviour of different groups and NGOs.

#### 4.5.1. Input (Pre-negotiation Phase)

Each society has its own unique political and social characteristics. In some cases the society is more willing to participate in different aspects of their living environment while in others with all the existing infrastructures people do not engage in collaborative practises. This is an important issue in evaluating success of any collaboration. Existence of different NGOs and social institutes can be a good indicator of people's will to be involved in social activities. There may be large number of NGOs in a city but with few members and few amount of activity. So for a good democratic society not only these NGOs should exist they should be active in different fields. The following sub-criteria are defined and can be evaluated objectively based on existing documents on the collaboration practice.

##### ➤ Existence of social institutes in the city

**3 Credits**

- Existence of different NGOs and social institutes with different domain focus
- Existence of active NGOs besides governmental organizations/groups
- Clear role of public representatives in structure of urban governance organizations

##### ○ Chorlton Action plan

There are many community groups in Chorlton. They all have their own institutional regulations and structure. Some of the well-known groups are: Alexandra Practice; Chorlton Civic Society; Chorlton Good Neighbours; Conservative Club; Crime and Disorder Partnership, GMP South M/C; Department for Work and Pensions (DWP); Ellesmere and Chandos Residents Association; Oswald Road Primary - Governing Body; H.E.A.R.T Hampton Environmental and Residential Trust; HT Burt Ltd. These groups are active in many different fields but some are more active and influential in urban decisions than others. In Chorlton case Chorlton Civic Society, Chorlton Good Neighbours and Conservative club are three most active groups regarding urban issues and they have highest number of members among other community groups.

Regarding the last sub-criteria in the Manchester City Council website under the section called 'the council and democracy', responsibilities and role of the councillor have been defined and explained in detail. It is also indicated that how the decisions are made in upper scales of urban governance and what is the role of neighbourhood councillors in such decision makings. These sections are publicly available so anyone who is interested in knowing about the roles and responsibility of councillors can refer to this website. Hence Chorlton action plan case gets the full credits of political identity norm in input phase.

##### ○ 'U Decide' Events

Existing community groups in Chorlton were discussed in previous section. Although in Whalley Range community groups are not as active and as numerous as in Chorlton, there are several groups active in different fields (Whalley Range Forum, 2012). The most active group in Whalley Range which has regular contacts with city council is Whalley Range Tree group. And also the same institutional structure discussed in the previous section is valid for these two practices. So both events get full credits of this criterion.

##### ○ Roombeek Redevelopment

Different community groups and NGOs exist in Enschede. Especially with its high number of students there are many organizations which deal with different aspects of living in Enschede from environmental groups, to sport and religious activities. The groups which are more related to students' work are more



active than other community groups. Regarding the rules which define role and responsibility of councillor, there are very clearly defined laws about the responsibilities of councillors and how they should be elected. All these information about councillor's role and responsibilities are accessible for public through Enschede municipality website. So this project gets the full credits of political identity norm in input phase.

#### 4.5.2. Process (Negotiation Phase)

Concerning the accepted ideals of collaboration, an ideal process should value conflicts and let opposition groups express their ideas and enable them to make changes in the plan. Hence a process would be democratic if it fosters social interactions by giving a chance to opposition groups to take part in decision making process. The design of the process should not systematically eliminate oppositions so the following criteria should be met to ensure accordance of the process with democratic values.

#### ➤ Contribution to empowerment of different social groups 2 Credits

- Contribution of the process to unifying or separating different social, economic or cultural groups during the process (regarding the design of the process and chosen tool)
- Does the design of the process allows emergence of strong dominant opposition or approval group during the process

Both sub-criteria for this criterion can be evaluated by both documents and interviews with participants in the process. If those limitations in finding participants are not an obstacle, it would be better if objective evaluation will be cross checked with public view. If the detailed documentation of the process has already done and feedbacks and discussions are recorded, document review can be done for evaluating these sub-criteria.

#### ○ Chorlton Action plan

As it was discussed before, the online-based consultation and specific focus groups did not allow stakeholders to get informed about each other's' ideas. So the consultation process neither unify or separate different social, economic or cultural groups nor it allowed emergence of strong dominant opposition or approval group of participants. So the project won't score any credit in this section.

#### ○ 'U Decide' Events

Although the event was held only one day, since it gathered around hundred people from different backgrounds together and they had quite some times for discussing different projects together, the process can be considered as a good process in gathering different social groups. Also since the proposed projects were all small scale projects which are proposed by public and most of them will be implemented by them, this helped the community to better know each other and create small but powerful goals for their community. But still the design of the process doesn't allow emergence of strong oppositions. Hence both practices get only one credit out of two possible credits of this criterion.

#### ○ Roombeek Redevelopment

This project brought most of the former residents together to decide for the future of the neighbourhood. This helped the community to know more about their ambitions and enabled them to create a collective goal together. Also the whole practices and surrounding events were become so highlighted nationally and internationally. That gave residents more motivation to participate in different phases. The practice was flexible enough to allow different ideas to be expressed. Hence the project gets the full credit of this criterion.



### 4.5.3. Outcome (Post-Negotiation Phase)

As it was discussed before, the ideal outcome of the process in this study is unmasking power relations hence at the end of the negotiation phase all the involved stakeholders should be aware of different social groups and institutions and their responsibilities. The process should also help in fostering social relations by connecting different groups with same concerns. On the other hand if in the final plan concerns and issues of different groups have been addressed, it shows that they could have their voices on the outcome of the project and this makes them more eager to participate in afterward participatory practices. So following criteria are of relevance regarding this norm in this phase and both of them with all their sub-criteria can be evaluated using existing documents and direct observation of the case.

- **Contribution to empowerment of different social groups** **2 Credits**
  - Increase in number of members of different community groups
  - Increase in number of organized social events after the practice
- **Addressing needs of specific social groups or institute in final plan** **2 Credits**
  - Addressing specific needs of different economic groups of the community
  - Addressing specific needs of a desired target group of the project (would it be different ethnic groups, elderly or children)

#### ○ **Chorlton Action plan**

Based on evidences in the archive of websites which are dedicated to community activities in Chorlton neighbourhood, many discussions were going on about the participatory practices and how well the outcomes were. These discussions and gathering has brought some groups of people together which consequently has led to more social events and gatherings. But the consultation practice has not had great influence on empowering different community groups and NGOs.

Regarding the success of the plan in addressing specific needs of different social, economic and ethnic groups it should be mentioned that the main focus of the final plan is economic development of the centre of the neighbourhood. Although there are some suggested short term and long term actions which indirectly address needs of elderly and children there is no direct policy or action for these groups. And since proportion of the people from different ethnic groups is not significant, nowhere in the plan the specific needs of these groups are of concern. Hence the project gets one credit out of two possible credits of this criterion.

#### ○ **'U Decide' Events**

These events didn't have direct influence on increasing number of members in different community groups but based on the interviews these events have increased awareness of people and somehow had indirect influence on social events. Also in some cases like Chorlton music festival the approved projects themselves were about social gatherings.

Although the discussed projects in these events were small scale short term projects the outcome of participation phase was in favour of all participant groups. The accepted projects also include projects for elderly or mostly youths. So both projects get full credits of political identity norm in outcome phase.

#### ○ **Roombeek Redevelopment**

The final plan for redevelopment of Roombeek neighbourhood was successful in addressing needs of different groups such as industrial companies, residents, non-Dutch residents of the neighbourhood and other involved parties. All the concerns which were expressed in meetings were reflected in the final plan of the neighbourhood. In this sense the plan was fully successful in fulfilling requirements of the second criterion.

Since the project has been implemented about 12 years ago, it is difficult to clearly define how much the project was influential in increasing number of members of different community groups or in increasing number of social events. But in none of the documents there is no evidence of such effect for this practice. It is important to bear in mind that the focus of the project was more on former residents of the neighbourhood so there was not the case that different community groups would be involved in the process. So the project only gets one credit out of two possible credits of this criterion.

#### 4.6. Overall Evaluation

In previous sections criteria for each norm in each phase of the framework were discussed. To be able to decide whether the project meets democratic values or not, the overall performance of the project should be evaluated. Since we have considered three main phases of collaboration, by using radar charts we will discuss how different criteria will be merged and how the final credits for each phase will be calculated.

Adding all the credits the project got in criteria and sub-criteria of each norm and phase, the overall performance of project is evaluated. The maximum possible credits also are calculated by adding maximum possible credits of each criterion in different phases and norms. Since number of criteria and maximum possible credits are not the same in different norms, there is a need for standardization of the scores so that we would be able to compare overall performance of the projects in different norms. To do so the ratio of received credits to maximum possible credits has been calculated.

By having all the credits for different projects in the range between 0 and 1, radar charts can be created for each phase of the project with five norms. Radar charts are composed of five points for five existing norms. For each project three radar charts are created which shows performance of the project in each phase. Summarized received credits for each project and their radar charts are shown below.

- **Chorlton Action Plan**

The details of this project and how the credits are given were discussed in previous section. As it is shown in radar charts, in input phase this project meets democratic values quite well except for accountability. This is mostly because of the unsuccessful participatory practices that have previously happened in this neighbourhood. The project though has not fulfilled ideals of democratic process of collaboration. Avoiding conflicts is the main cause of such low score. In the outcome phase, although in the public deliberation and political identity norms, project has scored low, the overall outcome of the negotiation phase and the project is as democratic as the input phase.

Table 5: Summary of Chorlton Action Plan Scores

	Public Deliberation			Access			Adaptiveness			Accountability			Political Identity		
	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits
<b>Input</b>	3	2	<b>0.67</b>	11	8	<b>0.72</b>	3	2	<b>0.67</b>	3	1	<b>0.34</b>	3	3	<b>1</b>
<b>Process</b>	7	3	<b>0.43</b>	17	9	<b>0.53</b>	4	2	<b>0.50</b>	3	1	<b>0.34</b>	2	0	<b>0</b>
<b>Outcome</b>	5	2	<b>0.40</b>	5	4	<b>0.80</b>	2	2	<b>1</b>	3	2	<b>0.67</b>	4	1	<b>0.25</b>

Although different stakeholders had a quite well access to information about the project and they were invited to participate (high score in public deliberation), the actual participation in the process (public deliberation score in process phase) is not high. One of the factors that explain this low score is the lack

of trust among public in urban local authorities which is reflected in the very low score of accountability norm in the input phase. On the other hand high score of political identity in input phase shows that there are a lot of opportunities for collaborative practices but with low amount of actual participation in the process and low accountability score in the input phase, the project was not successful in using this potential or to enhance it.

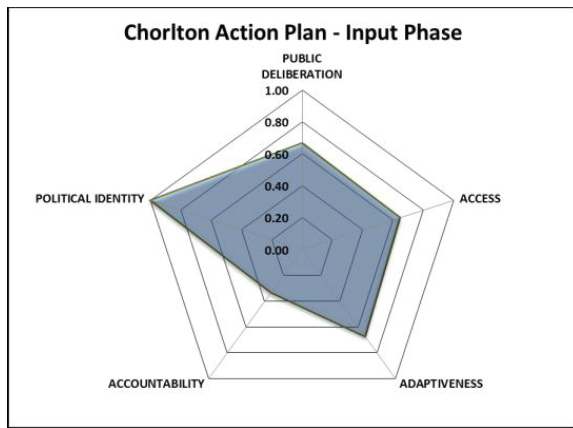


Figure 9: Radar Chart for Chorlton Action Plan Input Phase

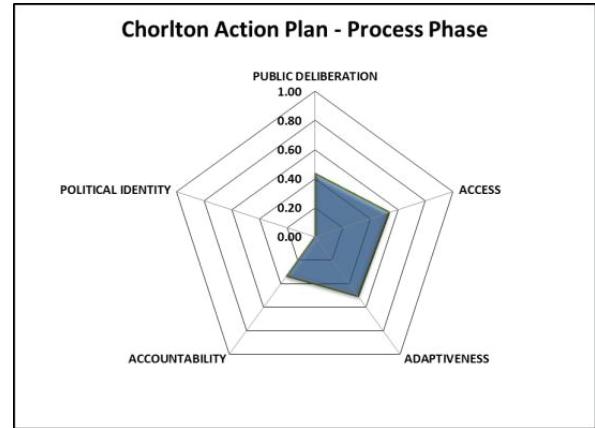


Figure 8: Radar Chart for Chorlton Action Plan Process Phase

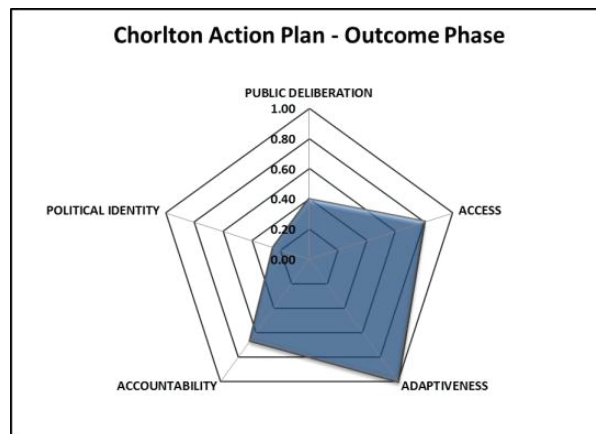


Figure 10: Radar Chart for Chorlton Action Plan Outcome Phase

▪ **‘U Decide’ Events**

Since these events directly engaging public in decision making process, they seemed to be more democratic than previous practices. The results shows that ‘U Decide’ event were not successful in meeting democratic values in the input phase. Inability of the project in identifying stakeholders, strict timing and plan for participation and number of previous unsuccessful participatory project lead to low score of these practices in input phase. Despite insufficient stakeholder analysis, due to good publicity and high potential of participation (reflected in high political identity in input phase) in both wards, many people actually participate (high score in public deliberation) and that leads to more collaboration between different community groups in the process (high score of political identity in process phase).

The design of the event in which decision making process happened once without any chance of modification, leads to 0 score in adaptiveness in process phase. In both prior and during the process, people have quite well access to all the necessary information for decision making. This can be one of the reasons that the actual participation is relatively higher than what it was planned. Compared to the

Chorlton Action Plan case, these projects were more successful in enhancing political identity of the community.

The outcome of these practices highly meets democratic ideals of collaborative practices. The type of the practices which is decision making by public and the scale of the decisions allow people to be more involved in outcome of the project and it increases accountability of the outcomes. Since in most of the chosen projects public are responsible for implementation, people get more informed about different social events and consequently get more involved in them.

Table 6: Summary of 'U Decide' Events Scores

	Public Deliberation			Access			Adaptiveness			Accountability			Political Identity		
	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits
<b>Input</b>	3	1	<b>0.34</b>	11	9	<b>0.81</b>	3	1	<b>0.34</b>	3	1	<b>0.34</b>	3	3	<b>1</b>
<b>Process</b>	7	4	<b>0.57</b>	17	12	<b>0.70</b>	4	0	<b>0</b>	3	1	<b>0.34</b>	2	1	<b>0.5</b>
<b>Outcome</b>	5	4	<b>0.8</b>	5	4	<b>0.8</b>	2	1	<b>0.5</b>	3	3	<b>1</b>	4	3	<b>0.75</b>

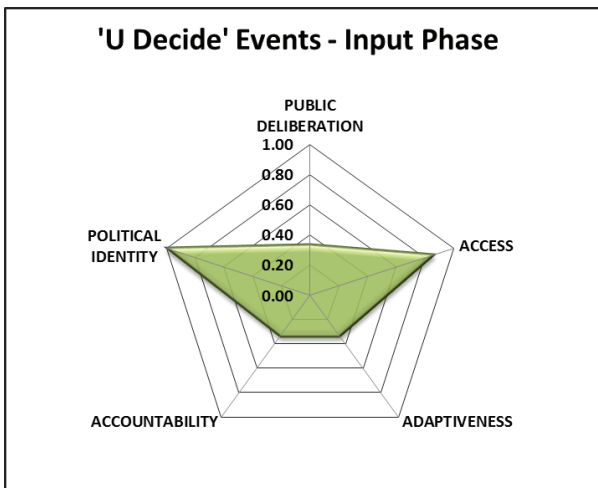


Figure 12: Radar Chart for 'U Decide' Events – Input Phase

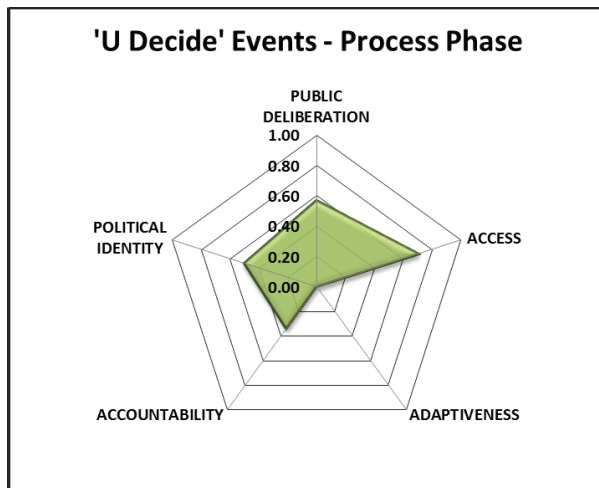


Figure 11: Radar Chart for 'U Decide' Events – Process Phase

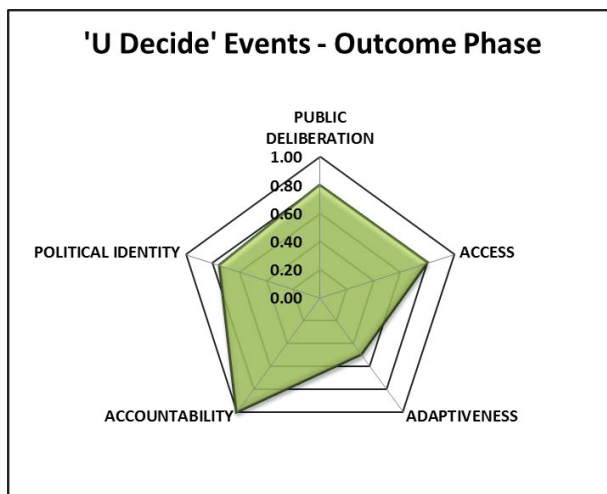


Figure 13: Radar Chart for 'U Decide' Events – Outcome Phase

▪ **Roombeek Redevelopment**

Roombeek redevelopment case is considered as one of the successful participatory practices in the Netherlands and Europe in many studies. The specific context of this case was so influential in success of this project. The post disaster situation and the urgent need for the redevelopment plan and compensating people’s loss were factors which enforce authorities to involve people in the planning and decision making process from very early stages. The stakeholders were mostly former residents of the neighbourhood. So certain group of people with specific aim gathered together and planned for future of their neighbourhood. This can explain high public deliberation in process phase, adaptiveness of the input and high accountability in outcome phase.

Table 7: Summary of Roombeek Redevelopment Case Scores

	Public Deliberation			Access			Adaptiveness			Accountability			Political Identity		
	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits	Max Credits	Received Credits	Standardized Credits
<b>Input</b>	3	2	<b>0.67</b>	11	10	<b>0.90</b>	3	3	<b>1</b>	3	2	<b>0.67</b>	3	3	<b>1</b>
<b>Process</b>	7	5	<b>0.71</b>	17	15	<b>0.88</b>	4	2	<b>0.5</b>	3	3	<b>1</b>	2	2	<b>1</b>
<b>Outcome</b>	5	4	<b>0.80</b>	5	5	<b>1</b>	2	1	<b>0.5</b>	3	2	<b>0.67</b>	4	3	<b>0.75</b>

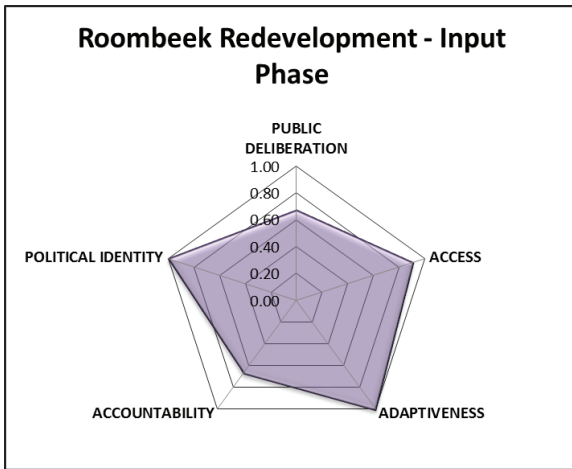


Figure 15: Radar Chart for Roombeek Redevelopment Case – Input Phase

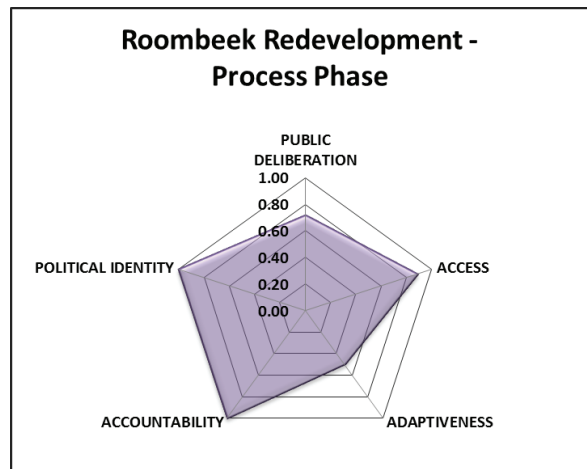


Figure 14: Radar Chart for Roombeek Redevelopment Case – Process Phase

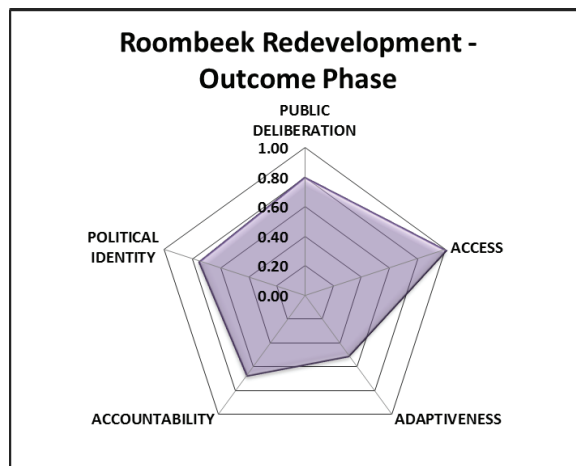


Figure 16: Radar Chart for Roombeek Redevelopment Case – Outcome Phase

The chosen method for informing people which was sending personal invitations for former residents leads to high public deliberation in the process phase. Also due to high sensibility of the issue for city authorities and national authorities, full access to necessary information was given to all possible stakeholders prior and during the process. Also the planning of participatory process was so flexible because public were free to choose their desired way of participation but when the process was planned, during the process the methods and meeting was not so flexible due to limited time for deciding on the final plan. That is why the adaptiveness in the process phase is low.

With high access to information, high accountability of the process and the fact that people were free to express their ideas, the outcomes are highly accountable. Also the process has helped the residents to strengthen their community activities. Although this practice is special in many aspects it can be considered as a successful practice in meeting democratic values.

## 5. IS A DEMOCRATIC ASSESSMENT FRAMEWORK USEFUL?

Applying democratic assessment framework in different cases reveals that compared to other existing evaluation tools, this framework can more comprehensively evaluate the democratic nature of the collaboration practice. Its structure with five norms and considering three phases enable the user to define which particular deficiency in input, process and outcome, has led to success or failure of the practice in meeting democratic values. The overall output of this framework which is radar charts and detail score of the projects in different criteria, gives an overview of democratic nature of the practice and how they have changed during the phases. These outputs can be used as a starting point for defining processes and reasons behind success or failure of collaborative practices.

Although the output of this framework gives an overview of the processes, it cannot explain reasons behind it. With help of some explanatory criteria, the outcome of democratic assessment framework can be used for explaining reasons of success or failure of any collaborative practice. Democratic assessment framework evaluates a single practice. The scores of the project in any of the norm are explainable within the limits of the defined criteria and sub-criteria. Explanatory criteria can help the user to discuss why the project scores low in any of the criteria or sub-criteria. On the other hand, the output of the framework for different practices and the reasons of their success or failure won't be comparable unless these explanatory criteria are investigated. These criteria focus more on the context in which the practice is happening and can include:

- **The subject of negotiation:** the main aim of the collaborative practice and the subject of negotiation have great impact on public deliberation during the process and accountability of the outcomes. Some topics are more tangible for public and they feel that they know more about it hence they can more confidently express their ideas. Comparing two cases in same context like 'U Decide' event and Action Plan in Chorlton reveals the importance of the criterion. Compared to three months process of developing action plan, in deciding for small scale projects which are proposed by local people and will be implemented by them, people participate relatively more despite few efforts which were made for publicity of the event. Complexity of issues at hand in negotiation can encourage or limit public participation.
- **Motivation for public to participate:** in any context, each individual can have his/her own reasons to participate in the process. In cases like Roombeek in which the situation after the disaster has led to collaborative planning practice, due to direct impact of the plan on people's life and the high importance of the issue, people are more eager to participate or even it can be said that they need to participate. So they have more motivation compared to regular collaborative practices for modifying neighbourhood plans like the Chorlton Action Plan case. So high score of public deliberation in the process phase can directly be related to this criterion.
- **Dominance of certain political/social/ethnic group:** in some cases dominance of certain groups limits existence or activity of community associations. These dominant groups can also influence number of participants in the process and the outcomes of negotiation and implementation phase. In some cases this criterion needs more attention. It can be the case that many active NGOs or associations are present in the context but all of them have same political or social view so although political identity



will score high it is not comparable to the case which has different groups being active in several fields and in favour of different social, political or ethnic groups. Low public deliberation in process phase, low political identity in input phase, accountability of input and outcomes and unfairness of outcomes of negotiation can be all related to this criterion.

- **History of the neighbourhood:** each neighbourhood has its own characteristics and history. The more the neighbourhood is known to the public, the more the residents care about it and they will be more eager to participate in making decisions for that. Based on the results of interviews in Whalley Range neighbourhood, those residents who have lived there for more than 5 years were more concerned about the issues and had higher sense of belonging to certain places or characteristics of their neighbourhood. Hence in case of any public participation, they are more eager to be involved. Comparing Chorlton as a very old neighbourhood with certain well known characteristics to Walley Range in Manchester city shows the influence of this criterion on public deliberation in process phase and political identity in input phase.
- **History of social activities:** the background of the neighbourhood in collaborative social practices is also influential in success or failure of individual practices. In cases that many previous participatory practices are done, not only officials are enforced to include public in any decision, different community groups are more prepared and organized for taking part in collaboration practice. Previous social activities not only enhance political identity of input and public deliberation in process, it is also influential in public deliberation in input phase.

Discussed criteria were examples of possible criteria which can be found in most participatory practices but there could be many other criteria that according to the context are influential in explaining outcome of democratic assessment framework.

The outcomes of the democratic assessment framework can also be used in designing new processes and tools for participatory practices. The results of applying the framework in different cases show that some correlations can be found between norms of different phases. The structure of the framework and nature of the norms provide enable the user to explain the process between input, process and outcome phases. Investigating common co-relations which exist in all participatory cases, and determining how these relations influence the success of practice in each phase, can be useful in designing new processes and tools. Although to be able to find these co-relations the framework should be applied to several cases, general assumptions can be made as follows.

It is assumed that if in input phase people do not have enough information about the project or not all the stakeholders are invited in the first phase, public deliberation in process phase won't score high. Also it is assumed that if public deliberation and political identity in the process phase is high, accountability will also increase in the outcome phase. Many other assumptions exist in collaborative guidelines and many evaluation frameworks are developed based on them but not all of these assumptions are proved. Hence by applying this framework to different cases validity of these assumptions can be evaluated.

Beside benefits of democratic assessment framework, there are some challenges in applying the framework in practice. Availability and accessibility of detail information about the process of participation is a crucial factor in successful application of the framework in different cases. Since the framework includes outcome phase, the participation process has happened at least some months or years before the assessment. In most cases the actual participants of the process are not accessible or some of them do not remember the details which are necessary in assessing the process phase. Hence in cases like 'U Decide' events which evaluation forms were filled by participants after the process, the evaluation is more precise than the other cases. Therefore for further assessment, it is better if after the process, based on defined criteria evaluation will be performed. Or the full contacts of participants should be gathered to ensure that they will be accessible later.

The other challenge is that unequal number of criteria and sub-criteria for different norms and phases make the framework sensitive to some qualities of participatory practice. Some norms such as access and public deliberation and specifically process phase has been studied and discussed more comprehensively. So properties of them are known to planners and more sub-criteria and criteria can be defined for them. Other fields such as accountability of planning practices have not been investigated as thoroughly as other norms. Therefore small variations in these norms will change the overall credits of the project. On the other hand high number of criteria and sub-criteria will make the framework too complex to be used in practice and also will demand more data and information which may not be available in all cases. So making the balance between complexity of the framework and its comprehensiveness will be so important in efficiency of framework in practice.



## 6. CONCLUSION AND RECOMMENDATIONS

Knowing the concepts behind democratic assessment framework, its criteria and its practical applications, in this section, conclusions which are drawn from this study will be discussed. First the research objectives and how the study has achieved them will be argued and afterwards recommendation for enhancing this framework and make it more practical and efficient and will be given and possible further researches are discussed.

### 6.1. Defined Criteria for Democratic Assessment Framework

The first objective of this study was to define criteria for democratic assessment framework. This was done by reviewing literature on large scale democratic governance, existing guidelines and principles for effective collaborative planning and existing frameworks for evaluation of democracy and participatory practices. As it was mentioned, ideally framework should be devised in a way that it can be applicable to any cases. Issues such as different types of collaborative practices, tools they have used and design of the practice were considered in defining main concepts of the framework. Some types of collaborative practices or some specific tools by nature are more democratic than others. The framework should be able to address these issues through different defined criteria. Criteria such as ‘the extend people can modify the plans’ or ‘Non-existence of previously defined alternative’ were included in the framework to address different types of practices.

Most of the existing frameworks for evaluating collaborative practices focus more on access and public deliberation norms in process phase. Therefore for several years these aspects have been studied in detail and they are known to planners. Hence most of the pre-defined criteria in these norms were useful for enhancing democratic framework. On the other hand norms such as accountability, adaptiveness and political identity need more exploration. Fields such as large scale governance can give more insight and many new criteria for planning practices can be defined for these norms and phases. Existing frameworks for evaluating democratic nature of large scale governance are also useful for enhancing democratic assessment framework evaluation methodology and conceptual groundings.

### 6.2. Evaluation of Collaborative Planning Cases

To achieve second objective of this study, the developed framework was applied to three different cases. Frist, based on theoretical reviews, all possible criteria were defined. The Chorlton Action Plan case in Manchester then was used as a pilot case to define limitations and advantages of the framework. After modifying the framework based on practical findings, two other cases were evaluated. ‘U Decide’ Events in Manchester and Roombeek Redevelopment plan were other two cases. The cases were varied in different aspects of their participatory practices such as type of the participation, the chosen methods and reasons for collaboration. The variations in different components were to check whether the framework can be useful in different contexts or not.

From the applications of the framework it can be concluded that the suggested structure of democratic assessment framework by Agger and Lofgren is useful in evaluating collaborative practices. This structure enables planners to more thoroughly evaluate collaborative practices and reasons of their success or failure. The defined criteria are suitable to be used in any context. Also due to large number of criteria

availability of information is critical. This was the reason that the modified framework is more focused on objective evaluation based on existing documents rather than evaluation based on public perception. Although in cases such as 'U Decide' events which had public evaluation exactly after the event, there was a possibility of cross checking existing documents with those evaluations and consequently the evaluation was more accurate and more accountable.

### **6.3. Towards an Enhanced Democratic Assessment Framework**

This study was an attempt to examine how the given conceptual structure of democratic assessment framework would be useful in devising new assessment frameworks for collaborative planning practices. The outcome of this study showed that this structure provide planners with many opportunities for further exploring democratic nature of collaborative practices. But different aspect of this framework can be improved by further studies.

From the conceptual point of view, since in studies, democracy and its components can be defined within different notions of democracy, it is essential to determine which notion of democracy would better suits collaborative planning in urban context. There are few studies on how urban democracy is defined within broader notions of democracy. This issue itself can be subject of further studies since it would change nature of criteria in the framework. Also it would be influential in scoring the project. In this study 'rule of law' was considered as a component of democracy which can assure sustainability and accountability of any democratic practice. This was reflected in the framework by defining criteria which concern existence of certain urban laws and regulations. But they had a weigh of 0.5 compare to other criteria. Adopting different notions of democracy would make these components different.

As it was discussed before unequal number of criteria and sub-criteria for different norms and phases make the framework sensitive to some qualities of participatory practice. Fields such as accountability of planning practices have not been investigated as thoroughly as other norms. This can be done with the help of fields such as large scale governance or behavioural studies on how people trust authorities or how they define accountability. Investigating different ways of defining and measuring these concepts can be subject of further studies.

Beside these conceptual groundings of the framework, the main challenging step in devising a framework is defining how these different criteria will be evaluated. This can be considered as one of the main components of any assessment framework which is greatly influential in efficiency of it in practice. If the evaluation is completely quantitative, it would be unable to capture and evaluate many democratic aspects of collaborative practice. If it is completely qualitative, due to large number of criteria collecting necessary data would be so time-consuming. Also for qualitative assessment it is important to access those who were present in the process which is almost impossible in many cases. Hence ideally the framework should use combination of these methods for evaluation of each criterion. Finding a balance between complexity of the framework and its comprehensiveness needs more investigation.

The outcome of the framework also enable user to explore correlations between different norms and phases of the framework. This is one of the main advantages of this structure which is not present in other existing frameworks. For defining these correlations many practices should be reviewed and the framework should be applied in several cases. Search for these correlations require quantitative data. Hence new methods of scoring for the framework to fulfil this aim may be of concern for further studies.

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## APPENDICES

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### Appendix 1. Chorlton Action Plan Questionnaire

## CHORLTON DISTRICT CENTER PLAN EVALUATION

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### Public Opinion

1- Do you live in Chorlton? How long have you lived in Chorlton?

**From October till December of 2009 there was a 12 weeks period of consultation for preparing a plan for center of Chorlton. There were many meetings and you were asked to answer questionnaire about the strengths and weaknesses of your neighborhood.**

2- Did you know about the plan and consultation process?

3- Did you participate in any of those meeting/did you answer the questionnaire?

▪ **IF NO:**

4- Did you receive any booklet/newsletter from city council/Talkchorlton (giving information about the plan/inviting you for a meeting)?

5- Did you see any exhibition board around the neighborhood, advertising the consultation?

6- How often do you check city council website? Did you know about TalkChorlton website?

7- How you get informed (which sources you use to get information) about new projects in your neighborhood?

8- Are you member of any local organization/NGOs or local groups?

9- Were your representatives (or NGO) present in any stage of process of consultation? Did you hear anything from your representative/ see anything in newspapers about outcome of the consultation/project?

10- Have you ever been into any of such meetings talking about your neighborhood decisions/projects? If yes then was it effective or not?

11- In general do you personally like to be engaged in community activities? Or the fact that your representatives participate is satisfactory for you?

12- In general do you think such events can be helpful in better planning for your neighborhood?

13- How do you evaluate efforts city council make for informing people about ongoing events and projects in your neighborhoods?

14- Do you know your city council representative? How often you contact him/her?

15- Did you participate in election for selecting council representative?

▪ **IF YES:**

16- How did you know about the consultation?

17- How often do you check city council website?

- 18- How long before filling questionnaire you received the information about the project? (Was the time enough for you to completely understand the project and be able to decide on that?)
- 19- Was the purpose of consultation clear to you?
- 20- Did you find information given in booklets/meetings clear enough?
- 21- Did you know other local groups/NGOs/special groups who were involved in consultation?
- 22- Did you hear/know about existence of any strong opposition about the project? If yes were they successful in changing the plan?
- 23- Were you informed about the final plan?
- 24- Are you member of any local groups/NGO in your neighborhood?
- 25- Were your representatives (council or representatives of the group you are part of them) present in the process?
- 26- How many other neighborhood meetings/events you have attended?
- 27- In general do you think such consultations can be helpful and effective in making better plans for your neighborhood?
- 28- How do you evaluate efforts city council make for informing people about ongoing projects and events in your neighborhoods?
- 29- Do you know your city council representative? How often you contact him/her?
- 30- Did you participate in council election?

## Appendix 2. Democratic Assessment framework all possible criteria based on Literature

### Democratic Assessment Framework: INPUT

#### People's Point of view

#### ACCESS

- **Clear ground knowledge about the project**
  - Accessibility of information about purpose of the project and participation
  - Accessibility of information about the exact location of project
  - Accessibility of information about responsible authorities
  - Accessibility of information about the bigger context in which the project is being planned
- **Clear ground knowledge about the stakeholders**
  - Being well-informed about possible stakeholders
  - Being well-informed about the role and responsibility of each stakeholder
  - Being well-informed about legal rights and responsibilities of each organization
- **Clear ground knowledge about rights to the city**
  - Accessibility of information about the legal rights of the citizens
  - Accessibility of information about land administration laws
  - Accessibility of information about land ownership, ...
- **Appropriateness of channels for informing participants**
  - Accessibility of information about the project for all the possible stakeholders
  - Time limits: how long before the process the information were provided?
  - Clarity of information provided before the process (clarity of maps showing location of project, explanation of technical terms, etc)

#### POLITICAL IDENTITY

- **Public awareness of social institutes in the city**
  - Awareness of existence of different NGOs and social institutes
  - Awareness of NGOs rights and responsibilities
  - Membership in different social groups in the city
  - Awareness of institutional structure of municipality and relevant representatives

#### PUBLIC DELIBERATION

- **Public awareness of social structure of the city**
  - Awareness of different social groups and minorities
  - Awareness of spatial distribution of different social groups
  - Awareness of social conflicts in the city
- **Inclusive representation**
  - Presence of different social groups in the participation process
  - Presence of members of different NGOs or their representatives in the project
  - Recognizing and using knowledge of local people with expertise in relevant fields



**ADAPTIVENESS**

- **Flexibility of urban laws and regulation**
  - Public awareness of possibility of changing urban laws and regulations based on public feedbacks
  - Stability of laws and regulations (how often they are reviewed?)
  - Public awareness of institutional or social barrier which can be considered as a threat to effective participatory practice

**ACCOUNTABILITY**

- **Level of public trust in authorities**
  - Number of previous planning participatory practices happened in the city
  - Number of meetings which people attend before
  - Number of people who vote for selecting urban authorities
  - Presence of local leaders in the process and their contact with urban authorities
- **Accountability of urban laws and regulations**
  - Public involvement in preparing urban laws and regulation
  - People perception of fairness of urban laws
  - People perception of enforceability of laws

**Democratic Assessment Framework: INPUT**

Expert's Point of view

**ACCESS**

- **Fair distribution of information about the project**
  - Availability of information on the objectives of the project and participation for all possible stakeholders
  - Availability of information on the spatial boundary of the project and its location for all possible stakeholders
  - Providing clear information on bigger context of the project and how would it fit in larger urban plans and strategies
  - Availability of information on previous urban projects and national urban strategies
  - Amount of information which is provided to each stakeholder (whether all stakeholders have same amount of information about the process or not? details of the maps and descriptions, etc.)
  - Availability of information on participation process (number of meetings, deadline of the project, etc.)
  - Quality of data which is provided to different stakeholders
- **Fair distribution of information on stakeholders**
  - Availability of information on different possible stakeholders
  - Availability of information on the role and responsibility of each stakeholder
  - Availability of information on legal rights and responsibilities of each organization
- **Appropriateness of channels for informing participants**

- Accessibility of information for all possible stakeholders
- Providing clear maps
- Availability of different version of information for different stakeholder with regard to their knowledge (technical terms explanation, maps legend, etc.)
- Time limits: how long before the process the information were provided to each stakeholder
- Compatibility of chosen channel with previous urban participatory practices (if it's so different from previous practices people would not be so familiar with the access channels)

### **POLITICAL IDENTITY**

#### **▪ Social institutes in the city**

- Number of existing NGOs active in urban planning projects and number of their members
- Previous contributions of NGOs to the urban participatory
- Geographic extent of NGOs activities and their importance
- Clear institutional structure: do NGOs have clear institutional structure and defined representatives and rules and regulations?

### **PUBLIC DELIBERATION**

#### **▪ Inclusive representation**

- Number of different social groups or their representatives being invited to participation process
- Number of members of different NGOs or their representatives being invited to the process
- Number of local people whose expert knowledge were used in the process of preparing participatory process and information
- Existence of clear ground plan for participation of different stakeholders in different stages of the process
- Representation balance: how many stakeholders represent themselves and how many people represent other institutes?

### **ADAPTIVENESS**

#### **▪ Flexibility of urban and social laws and regulation**

- Stability of laws and regulations (how often they are reviewed?)
- Possibility of occurring changes in the law based on public feedbacks
- Existence of institutional or social barriers which can be considered as a threat to effective participatory practice

#### **▪ Flexibility of project alternatives and participation process design**

- Existence of pre-defined alternatives for the plan
- Extent of possible changes in the alternatives
- Existence of any political mandate for implementation of specific alternative or planning specific participatory process
- Existence of political mandate or urban regulation or law for amount of information be given to the public

### **ACCOUNTABILITY**

#### **▪ Level of public trust in authorities**

- Number of previous planning participatory practices happened in the city
  - Number of public participation in the participatory urban practices known as good practices
  - Number of people who vote for urban authorities elections
  - Existence of local leaders and amount of their contact with urban authorities
  - Dominance of special social/cultural/ethnic groups in urban authorities
- **Accountability of urban laws and regulations**
    - Possibility of public involvement in preparing urban laws and regulation
    - What are the channels for enforcing urban laws (ensuring implementation of urban laws)
    - Existence of any organization or institute for monitoring urban laws and regulation

## Democratic Assessment Framework: PROCESS

Public participant's Point of view

### ACCESS

- **Accessibility of information about the project and participants**
  - Awareness of participants of goals and benefits of each stakeholder in the project
  - Accessibility of information about the costs of each alternative
  - Accessibility of information about benefits of each alternative for different stakeholders
  - Awareness of people of short term and long term effects of each alternative on their daily life and business
  - Awareness of people of other possible locations for implementing the project
  - Access to plans and maps of larger context of the plan (surrounding neighborhoods and important city-wide projects)
- **Quality of provided data**
  - Clarity of data for different stakeholders
  - Availability of explanations for technical terms and expressions or reading maps and plans
  - Level of accuracy and amount of information given (how detailed were the maps for determining spatial effects of the project on each participant property)
- **Appropriateness of chosen tool for participation**
  - Possibility of giving feedbacks on previous discussions
  - Possibility of getting to know other stakeholders idea about the project
  - Accessibility of relevant information through the chosen tool
  - learning opportunity: Possibility of training for specific group of participant which find the information unclear through the chosen tool
  - Affordability of the process and method for different stakeholders

### POLITICAL IDENTITY

- **Contribution to empowerment of different social groups**
  - Contribution of the process to unifying or separating different social, economic or cultural groups during the process (regarding the design of the process and chosen tool)
  - Emergence of strong dominant opposition or approval group during the process

- Fairness of the tool and process for different stakeholders: (does the institutional setting for the process favor some types of participants?)
- Consistency of the practice with previous urban participatory practices

## **PUBLIC DELIBERATION**

- **Inclusiveness of the process**
  - Presence of different social/economic/cultural groups in the participatory process
  - Existence of any dominant idea among participants or organizers about the project
  - Level of respect among participants
  - User-friendliness of the chosen tool: (are different stakeholders capable of using the tools and operating the analysis easily?)
- **Equal opportunity and resources**
  - Equal chance for each stakeholder to express their point of view (opposition and approval groups)
  - Equal resources for all stakeholders to make others aware of their point of view
  - Handling conflicts: how successful the process was in handling conflicts
  - Equal opportunity of changing properties of the plan and giving new alternatives for different stakeholders
  - Influence of mediators (organizers) on emergence of or change in dominant ideas
  - Influence of local experts on informing public and make changes in alternatives

## **ADAPTIVENESS**

- **Flexibility of process and the chosen tools**
  - Possibility of change the process and tool during the process based on feedbacks
  - Time limits: giving enough time to participants to evaluate the alternative and make possible changes
  - Possibility of getting data and operating analysis for new suggested sites for project (whether the tool allow instant analysis of data for new alternatives or there is a need for another session)
  - Existence of alternative tools (availability of alternative tool in case the chosen tool is not comprehensive for specific stakeholders)

## **ACCOUNTABILITY**

- **Transparency of process and chosen tool**
  - clarity of logic of analysis for all stakeholders (are stakeholders aware of the logic of analysis for defining alternatives and effects of each alternative)
  - Awareness of participants of different stages and phases of participation process
  - Awareness of participants of when and how other stakeholders will participate in the process

## Democratic Assessment Framework: PROCESS

### Expert's Point of view

#### ACCESS

- **Accessibility of information about the project and participants**
  - Availability of information of bigger context of the project (long term strategy of city or plans for surrounded neighborhood)
  - Availability and accessibility of relevant projects which can affect decisions
  - Availability of analysis on costs and benefits of each alternative
  - Availability of explanation of the way alternatives are chosen
  - Availability of all possible alternatives based on different scenarios and different stakeholders goal
  - Availability of analysis of short term and long term effects of each alternative on people's daily life and business
  - Availability of relevant city, regional and national policies or projects which may affect decision about best alternative
  
- **Quality of provided data**
  - Up-to-dateness of provided map and statistics
  - Comprehensiveness of provided information: (Do the maps contain all the possible needed information for stakeholders to decide on best alternative?)
  - Availability of explanations for technical terms and expressions or reading maps and plans for different stakeholders
  - Equality of information for different stakeholders: is it the case that amount of detail provided for different stakeholder benefit them greatly in decision taking
  
- **Appropriateness of chosen tool for participation**
  - Existence of clear plan for different stages of participation and tools to be used in the process and people's awareness of this plan (number of meetings, interval between them, thing to be discussed in each meeting)
  - Informative nature of process: is the process designed in way which enhanced people knowledge about how urban planning processes are practiced? (enough training, explanation, use of local experts)
  - Easiness of getting to know other stakeholders idea about the project by this method
  - Accessibility of relevant information through the chosen tool
  - learning opportunity: Possibility of training for specific group of participant which find the information unclear through the chosen tool
  - Affordability of the process and method for different stakeholders
  - User-friendliness of the chosen tool: (are different stakeholders capable of using the tools and operating the analysis easily?)
  - Compatibility of process with organizations and institutes rules and regulations

#### POLITICAL IDENTITY

- **Contribution to empowerment of different social groups**

- Contribution of the process to unifying or separating different social, economic or cultural groups during the process (the way people were grouped, the way discussions were planned)
- Balance of power in discussion (Is the process aware of differences in power of different stakeholders? What is the strategy to balance the power in discussions)
- Does the design of the process allow emergence of strong dominant opposition or approval group during the process
- Does the design of the process allow other participants become aware of oppositions idea?
- Fairness of the tool and process for different stakeholders: (does the institutional setting for the process favor some types of participants?)
- Consistency of the practice with previous urban participatory practices

## **PUBLIC DELIBERATION**

### **Public attendance in the process**

- Stability of attendance (how many people were present in different stages of participation?)
- Number of people who attend the meetings (compare to best practice in that city)
- Diversity of social/economic/cultural groups attending the meetings (are there any dominant group in any stage of participation?)
- Incentives: what were the incentives for people to participate?

### **Equal opportunity and resources**

- Equal resources for all stakeholders to make others aware of their point of view
- Equal opportunity for changing properties of the plan and giving new alternatives for different stakeholders
- Role of organizers of the process based on participation ladder (facilitator, mediator, ...)
- Role of local experts in the process (how active and influential they were)

## **ADAPTIVENESS**

### **Flexibility of process and the chosen tools**

- Focus of discussion: (was the process designed in a way which turns the focus of discussion only to pre-defined alternatives?)
- Possibility of change the process and tool during the process based on feedbacks
- Time limits: giving enough time to participants to evaluate the alternative and make possible changes
- Possibility of getting data and operating analysis for new suggested sites for project (whether the tool allow instant analysis of data for new alternatives or there is a need for another session)
- Existence of alternative tools (availability of alternative tool in case the chosen tool is not comprehensive for specific stakeholders)

## **ACCOUNTABILITY**

### **Transparency of process and chosen tool**

- Clarity of logic of analysis for all stakeholders (are stakeholders aware of the logic of analysis for defining alternatives and effects of each alternative)
- Clarity of explanation of indicators and way of calculation
- Awareness of participants of different stages and phases of participation process
- Awareness of participants of when and how other stakeholders will participate in the process



- Existence of any legal or political mandate for design of the process and presence of specific stakeholders

## Democratic Assessment Framework: OUTCOME

Expert's Point of view

### ACCESS

- **Access of all stakeholders to outcome of the project and participation (maps and data)**
  - Accessibility of outcome of discussions of each stage of participation for all stakeholders
  - Accessibility of outcome of the project for all stakeholders (to reflect how well their ideas are being included in outcome of project)
  - Accessibility of outcome of the project and participation process for people who may indirectly be affected by the plan (citizens, institutes)
- **Fair distribution of costs and benefits**
  - Location of the project: (does the chosen location favor specific group of stakeholders?)
  - Distribution of facilities: how fairly facilities are distributed
  - The fairness of outcome of discussion: are they biased to favor ideas of specific stakeholders?

### POLITICAL IDENTITY

- **Contribution of process to fostering social networks**
  - Number of organized social events after the
  - Number of NGOs and institutes being formed after participatory practice
  - Number of participatory practices being done after this practice
- **Addressing needs of specific social groups or institute in final plan**
  - Addressing need of specific social/economic/cultural groups in the final plan of the project
  - Addressing legal rights of these groups in urban laws and regulations

### PUBLIC DELIBERATION

- **Public monitoring of outcome of the project**
  - Clear ground rule for involving public in implementation phases for monitoring the progress
  - Channels for communicating output of different phases of implementation with public: (are they appropriate, affordable, accessible and informative for public)
  - Possibility of monitoring and giving feedbacks on output of participation process which will be used in preparing final plan
  - Involvement of participants (or local experts) in making maps of the final plan
  - Involvement of local leaders in process of preparing the final plan
- **Compatibility of final plan with outcome of participatory practice**
  - To what extent outcome of participatory practice is reflected in the plan?
  - To what extent the outcomes are different from pre-defined alternatives?

### ADAPTIVENESS

- **Flexibility of plan for implementation**

- Number of alternatives been agreed in the participation process to be considered in implementation, in case of facing unpredictable barrier in implementation
- Clear ground rule for determining responsible authority/organization for deciding on changes in the plan in case of facing unpredictable barrier in implementation
- Chosen channels of informing public about the changes in the agreed final plan
- Clear ground rule and regulation for dealing with oppositions from public during the implementation of plan

## ACCOUNTABILITY

- **Ownership of maps and data produced in the process**
  - Clear ground rule for determining who will be the owner of output of participatory practice
  - Existence of any urban law or regulation which legitimize decisions taken in participatory sessions
- **Stability of participatory practices**
  - Dependency of having participatory practices on current institutional setting of responsible organizations (likelihood of instability of such practices due to changes in urban governance structure)