Erasmus+

KA220-HED - Cooperation partnerships in higher education

(KA220-HED)

PROJECT NUMBER: 2023-1-EL01-KA220-HED-000164728

Project acronym: **DEMo4PPL**
Project full title: **Digital Education Modules 4 Participatory Planning**

OPT-G1: ADVANCED PP THEORIES AND POLICY CONSIDERATIONS

1. Short description

In the 1960s, critics of traditional planning charged planners with imposing an idealized bourgeois vision on a resistant population. Their proposal emphasized the need to shift planning from a top-down approach to a participatory process (Fainstein and Fainstein, 1996).

Public participation constitutes a fundamental principle of governance (ESPON, 2006). It is included among the five principles of good governance as outlined in the White Paper on European Governance (EC, 2001). Participation is generally defined as “the set of democratic possibilities offered to the population to take part in decision-making” (Stathakopoulos, 1988). It is traditionally viewed as a means of legitimizing decision-making processes (Schmitter, 2002), while some approaches argue that it leads to “better results” (Heinelt, 2002). The latter assumes that individuals impacted by the decisions have been afforded the opportunity to engage in the decision-making process, ensuring that, even if the final decision diverges from their perspectives, they have had the chance to voice their opinions. Moreover, open and unrestricted participation, encompassing diverse interests, encourages participants to articulate their positions thoughtfully, thereby constraining "selfish" and irrational viewpoints (Heinelt, 2002). The contributions of Habermas (1984, 1987) are particularly significant, as he formulated the concept of the ‘ideal state of discourse’. This concept posits that all participants should engage in the public sphere through rational and unconstrained communication, aimed at understanding and reconciling conflicting values while integrating pertinent political objects. The author posits that this fundamental process represents a participatory bourgeois democracy.

Co-funded by the European Union

Funded by the European Union. Views and opinions expressed are however those of the author(s) only and do not necessarily reflect those of the European Union or the European Education and Culture Executive Agency (EACEA). Neither the European Union nor EACEA can be held responsible for them.

Over the past four decades, significant changes have occurred in the nature, role, and functioning of governments and other institutions in spatial development and urban policy, indicating a transition from forms of government to forms of governance. The diversification of urban planning and local responses to planning policy has led to the establishment of new institutions and a redefined conception of planning aimed at restoring legitimacy and enhancing flexibility. Conventional planning methods have been found insufficient and unsatisfactory. There is a growing recognition of the necessity to emphasize not only the outcomes of planning but also the decision-making process, addressing the multi-sectoral and dynamic characteristics of strategies and aligning with the aspirations of the local population (Tasopoulou, 2011).

Power is distributed among multiple actors, indicating that no single entity can dominate the decision-making process. Policies aim to influence things and achieve legitimacy; therefore, they should be developed through processes that diverge from traditional linear models and hierarchical approaches. They must possess mobilization capabilities rather than rely on "command and control" methods, and they should adopt a collaborative approach to effectively manage the complexities of emerging conflicts. There is a pressing necessity to establish new intergovernmental relations and political cultures that facilitate more horizontal interactions instead of hierarchical ones, promoting cooperation over conflict between government and society (Koresawa and Konvitz, 2001).

The current Module examines theories of participatory planning and relevant policy considerations. The discussion begins by explaining the social and political dimensions of planning, followed by a critical review of the evolution of spatial planning approaches in relation to public participation. Emphasis is placed on the communicative turn in planning theory and its link to the concept of democracy. Next, the rise of new forms of governance is highlighted and special focus is given on the notion of participatory governance and the presentation of some differentiated governance models. A selection of participatory planning typologies is subsequently presented. The Module concludes with the presentation of Global and EU priorities, guiding documents and the conception of public participation through time, and the quest for promoting sustainable development and resilience through public participation.

The Learning outcomes of this Module are: i) Knowledge of the evolution of spatial planning approaches with regard to PP, ii) Understanding the shift towards new forms of urban governance, iii) Comprehension of different participatory models and typologies / critiques, iv) Ability to identify critical parameters for successful PP as well as potential barriers or forms of “nonparticipation”, v) Usage of obtained knowledge for planning purposes.

This module is developed in conjunction with Module BASIC-1, particularly regarding the historical overview of participatory planning (section 3.2 of BASIC-1), and it seeks to provide a more comprehensive examination of specific elements of the subject, such as Arnstein’s “ladder of citizen participation”. The two Modules discuss various and at the same time complementary aspects of the theoretical background of participatory planning. Their substance as training materials in reference to the theoretical

foundations and historical evolution of concepts and approaches may be amended and further deliberated in connection with the course context and the needs of the trainees.

2. Keywords

Participatory Planning; Spatial / Urban Planning; Public Participation; Planning Theories; Governance; Communicative Model; Sustainability; Resilience

3. Content

3.1. Introduction: The social and political aspects of spatial planning

The idea that planning is a political process originated mostly in the 1970s. Rydin (1993) identified three dimensions:

The first relates to the fact that planning involves resource allocation decisions. Land use planning impacts land values and spatial patterns by approving or denying licensing rights. A common example is the emphasis of planning in many cases on the conflict between different groups for control over land and the value it represents, either for direct use or for exchange in the market. Planning has a redistributive effect because it influences resource allocation.

The second dimension is concerned with the variety of actions produced by the planning system when one group strives to influence the decisions and actions of others. This might involve non-governmental organizations or pressure groups aiming to influence a government agency, as well as interactions between government agencies (for example, a local authority negotiating financing with the national government). This political action ranges from open conflict to coordinated action and negotiation, as well as regular consultation and communication.

The third dimension is ideological (left-right approach to planning, as well as others which lie outside of these two). Supporters of various ideological positions may produce different results in terms of individual elements of the planning system, such as the framework for intervening in market forces in urban restructuring, the degree of community involvement in land use planning, the size of public spending on pollution control, and so on.

Since the late 1970s, there has been criticism of the rational process of public policy design based on the 'top-down' approach, which has been challenged by the 'bottom-up' approach. Conceptions of policy development as interacting processes that evolve over time and reach diverse actors at different levels challenged the formerly accepted linear model of the policy process (Healey, 2002a).

During this time, city governments were heavily challenged by urban social movements, and disputes erupted in the terrain of urban policy, particularly in the areas of housing, planning, large infrastructure projects, economy, and culture. Organized

groups seeking to promote urban change addressed issues such as quality of life, democracy and participation.

Along with the rise of these movements, over the mid-1990s, new forms of social organization and demands for greater civil society participation in political processes arose. Simultaneously, the emphasis shifted away from formal political organizations and administrations that represented formal decision-making authority towards strengthening the role of civil society in the exercise of democratic rights and functions. There was an increasing need for more flexible and capable forms of governance than traditional ones (Rakodi, 2003). Policy-making was now viewed as a social process of expressing ways of thinking and acting that might garner support from a diverse range of players, with power distributed in complicated ways rather than concentrated in the hands of a single elite (Healey, 2002a).

Developments accelerated in the late 1990s, with the introduction of planning approaches that promote consensus building and the formation of collaborative strategies. Healey (2002a) asserts that there is a growing interest in building a democratic culture and a style of governance that is inspired by citizens and empowers them to shape policy agendas.

By the end of the twentieth century, the concepts of bringing together multiple views and ideas in policy-making through processes of public consultation, debate and dispute resolution had found many supporters, questioning the adequacy of relevant processes that were based exclusively on negotiations between specialist professionals. The qualities of inclusiveness, empowerment, and respect for all individuals had become important values in the planning process. The viewpoints produced shared a common goal of making societies less state-centric.

These issues are further discussed below.

3.2. The evolution of spatial planning approaches with regard to PP: from rational comprehensive planning to the communicative turn in planning theory

International urban policies up to the 1950s and 1960s exemplified a model of "physical planning" focused on land use through master plans, neglecting the social, political, and economic resources of each area. Planning typically emphasized outcomes, concentrating on the provision of technical and social infrastructure while maintaining a relative balance in the competitiveness of various land uses, with government agencies playing a vital role.

The rational-comprehensive model represents a planning approach centered on the plan development process, overlooking political conflicts, the unique characteristics of the spatial environment under study, and the nature of the planning agencies involved (Fainstein, 2000). One of its core assumptions was the identification and selection of the optimal urban solution in each context over alternative options. This assumption entails the scientific objectivity of urban planning and the existence of a "common interest" that the solutions deemed optimal by urban planners can address.

Critiques of the rational model approach, frequently employing a political economy analysis, have centered on identifying the beneficiaries of planning (Fainstein, 2000). The focus on the social aspect of planning prompted inquiries into the "tacit assumptions" that lead to the perception of one urban planning proposal as "objectively better" than others. Concurrently, the attention to the political aspect of planning highlighted important issues surrounding the notion of the "common interest". Opinions demonstrated that, according to the rational model, planning represents the interests of a social group that "controls the planning process". The comprehensive/rational model's uniform approach has been criticized for neglecting diverse perspectives, interests, and values. Abukhater (2009) contends that the implementation of a formula based on general principles and beliefs is inconsistent with the practical realities of planning. Differences in the broader context must be acknowledged and cannot be overlooked in the pursuit of comprehensiveness. Comprehensiveness must be achieved via a method that recognizes the city as a network of interdependent social and economic variables that extend beyond spatial boundaries (Friedmann, 1965).

The late 1960s saw a shift in discussions and practices towards bottom-up, people-centered planning. Institutionally, the emphasis was on empowering non-governmental and private voluntary organizations rather than state-owned entities, as the former were deemed more effective, equitable, adaptable, and accountable. Concurrently with this "paradigm shift" in planning practice, civil rights movements prompted urban planners to acknowledge the multicultural nature of the urban population, leading to a more open to the public planning process (Sanyal, 2005).

Davidoff argued in 1965 that future planning should be viewed as a discipline that publicly allows the examination and contestation of political and social values. Accepting this perspective entails rejecting planning prescriptions in which the planner solely serves as a technician (Davidoff, 1965). The planner should advocate for the interests of the government as well as other groups, organizations, or individuals interested in defining policies for their community's future development. The advocate planner is accountable to his customer and strives to express his viewpoints. Davidoff's approach included citizens in participatory processes so that they could both express their views and be informed of the arguments for planning proposals. The responsibility of the public planning body remains important and consists of deciding on appropriate future actions for the community (Davidoff, 1965).

The political economy approach to planning in the mid-1970s aimed to situate the urban planner in a sociological setting in which class relations are fundamental (Harvey, 1996), and to position him/her as a mediator and negotiator between these interests.

In the 1990s, discussions centered on an entrepreneurial and managerial planning approach, wherein the urban planner assumed the role of an "entrepreneurial manager," tasked with cultivating a city image attractive to both external and internal capital investment. Strategies were endorsed aiming at enhancing urban economic productivity by re-evaluating service delivery systems, reinforcing local government, and promoting increased financial and administrative autonomy at the municipal level

(Harris, 1992). The urban planner was tasked with establishing connections and acting as a liaison between the public and private sectors, demonstrating management skills.

The postmodern approach to planning, emerging concurrently with the entrepreneurial model, promotes a perspective of consensus and collaboration grounded in mutual respect and constructive conflict. Healey (2011) asserts that planning, referred to as the "planning project," necessitates the collaboration of numerous individuals beyond those formally trained as planners. It may also take place in various contexts beyond planning offices. Planners are often perceived as primarily responsible for facilitating discussions about future prospects and strategies. This function is complex, particularly when the community possesses limited awareness of the stakes involved or the issues that need to be addressed initially, or when significant disagreements exist regarding specific topics.

In the early 1990s, interest in strategic spatial planning significantly increased. This relates to a comprehensive emphasis on a strategic framework for local economic development. The focus is primarily on action, results, and implementation (Kaufman and Jacobs, 1987). Strategic planning is characterized by the development of formal plans and policies that guide decision-making while synthesizing and integrating a diverse array of stakeholders with differing interests and responsibilities to achieve consensus on the management of spatial issues (Andrikopopoulou et al., 2007). Unlike traditional public planning, it promotes broader and more diverse participation in the planning process, although the relevant literature points mainly to the necessity for greater participation from specific segments of the private business sector (Kaufman and Jacobs, 1987).

> "*... strategic planning thus maybe shifting the debate in public sector planning from whether to do it to how to do it. In these times, that would be a significant shift*" (Kaufman and Jacobs, 1987).

In brief, the emergence of the 'collaborative consensus-building' agenda emphasizes its quest for integration and coherence among various public, private, and societal interests. Significant efforts have been made to a) engage various actors in the design and acknowledgment of institutional interests among diverse stakeholders, b) highlight the importance of deliberative processes for fostering mutual understanding, c) acknowledge the value of multiple forms of knowledge and the strategic organization of ideas, and d) enhance institutional capacity for strategic decision-making (Williams, 1999 based on Healey, 1994, Healey et al., 1997, Healey, 1997).

Healey (2001) advocates for a shift from technical planning to collaborative approaches, presenting three key reasons: A broader distribution of jurisdiction for action, extending beyond the technical planning team and public planning authority, will yield more favorable outcomes for socio-spatial relations. Secondly, an effective strategy must consider the perceptions of all stakeholders involved regarding the specific location, the interconnections among networks, potential synergies, and integration links. Third, a strategy must exhibit legitimacy by showing that it is not merely a routine decision made by technical experts or politicians. Healey recognizes that despite the collaborative nature of the process, there exist complex conflicts that

require attention, some of which cannot be resolved through consensus-building and will necessitate political or legal resolutions. The primary objective of the entire process is to enhance the visibility and credibility of significant investments and arrangements, minimize the necessity for judicial conflict resolution, and bolster the overall legitimacy of the final strategy (Healey, 2001).

Thus, in the 1990s, conversations about participatory theories shifted toward methods and programs emphasizing negotiation and integration. Fainstein (2000) looks into three related approaches to planning theory as a 'reaction' to the dominant planning models - rational and physical planning through master plans - each of which includes a perspective of social reform: the communicative model, new urbanism, and the just city.

The first type, the communicative model, confronts the imposition of ‘top-down’ planning by experts by proposing an approach which assumes that public interest can be attained through the implementation of the rational model. The planner serves as a mediator among stakeholders. He listens to public assumptions and facilitates consensus among diverse viewpoints. He/she provides information to the participants while ensuring the identification of points of convergence. Bringing all participants together around specific planning content is insufficient; it is also essential to achieve consensus among individuals and ensure that no single interest prevails over others, irrespective of the participants' socio-economic status. The next section provides a further analysis of the communicative model.

The second type, ‘new urbanism’, diverges from market-driven development and emphasizes the enhancement of a city's physical image through planning to achieve a desirable urban environment. Advocates of the theory support an urban plan that incorporates diverse building types, mixed uses, housing for various income levels, and a robust public realm. New urbanism prioritizes planning substance over the processes or methods employed to achieve it, leading to various criticisms concerning social inequality. Unlike the communicative model centered on the sensitive urban planner who listens and adopts the ideal discourse, new urbanism presents the advocate who is committed to a goal and who is decidedly non-neutral.

The third type, the just city, addresses the social and spatial inequalities arising from capitalism by proposing a model of spatial relations founded on equality. Theorists of the just city can be categorized into two groups. The first group, radical democrats, distinguishes itself from the theorists of the communicative model by advocating a more radical understanding of participation. This perspective encompasses not only stakeholders but also governance and civil society, acknowledging a confrontational aspect of society. Progressive social change is perceived as the outcome of power exercised by those previously marginalized. Participation is the vehicle through which power intervenes dynamically. The second group of theorists, proponents of political economy, contrasts with the communicative model by rejecting the notion of neutrality as a favorable stance for the government from the outset. The primary focus is on public mobilization rather than the methodologies that officials ought to adopt.

Emphasis is placed on the involvement of all societal groups, irrespective of their power, and on achieving equality in outcomes.

3.3. The communicative turn in planning theory and its link to the concept of democracy

> "*Citizen participation is usually seen as a vital aspect of democracy. Many theorists claim that citizen participation has positive effects on the quality of democracy*" (Michels and De Graaf, 2010).

Democratic planning is firmly situated within the core of democratic theory. Democratic theory commences with the inviolability of the individual and the precedence of their interests. All individuals possess equal rights to promote their respective causes. All societal interests can be traced back to the interests of its members. Consequently, the Democrats begin with individuals and their desires, subsequently equating the public interest with the interests of the public, or at least those of the majority (Fainstein and Fainstein, 1996). In a democracy, appropriate policy is established through political debate. The planning process aimed at fostering democratic urban governance must function to include citizens in participation rather than excluding them. Inclusion entails not only allowing citizens to express their views. This means enabling individuals to gain a comprehensive understanding of the foundational rationale behind planning proposals and to engage with these using the technical terminology employed by professional planners (Davidoff, 1965).

Theories of participatory democracy, deliberative democracy, and social capital posit that citizen involvement positively impacts democracy. This involvement enhances the inclusion of individual citizens in the policy process, fosters civic skills and virtues, promotes rational decision-making through public reasoning, and bolsters the legitimacy of both the process and its outcomes (Michels and De Graaf, 2010). These aspects are summarized in Table 1.

Table 1: Aspects of citizen participation and democracy: a framework for analysis (source: Michels and De Graaf, 2010: 481)

Aspects	**Clarification**	**Theoretical perspective**
Inclusion	Allows individual voices to be heard (openness; diversity of opinions)	Social capital Deliberative democracy
Civic skills and virtues	Civic skills (debating public issues, running a meeting) and civic virtues (public engagement and responsibility, feeling a public citizen, active participation in public life,	Participatory democracy Social capital

	reciprocity)	
Deliberation	Rational decisions based on public reasoning (exchange of arguments and shifts of preferences)	Deliberative democracy
Legitimacy	Support for process and outcome	Participatory democracy

The modern idea of planning is linked to the concepts of democracy and progress (Friedmann, 1987 in Healey, 1992). It focuses on the challenge of identifying strategies for citizens to address their collective concerns about space and time sharing through collaborative action.

Healey (1992) argues that "a communicative conception of rationality" constitutes "route for invention of a new planning".

> "*A communicative conception of rationality, to replace that of the self-conscious autonomous subject using principles of logic and scientifically formulated empirical knowledge to guide actions. This new conception of reasoning is arrived at by an intersubjective effort at mutual understanding. This refocuses the practices of planning to enable purposes to be communicatively discovered*".

Drawing on the work of Haberma's and other planning academics, Healey (1992) summarizes the new planning direction through ten propositions:

1. *Planning is an interactive and interpretive process, focusing "deciding and acting*
   within a range of specialized allocative and authoritative systems but drawing on the multidimensionality of "lifeworlds" or 'practical senses", rather than a single formalized dimension (for example, urban morphology or scientific rationalicm) . …
2. *Such interaction assumes the preexistence of individuals engaged with others in diverse, fluid and overlapping "discourse communities", each with its one meaning systems and, hence, knowledge forms and ways of reasoning and valuing. … Communicative action thus focuses on searching for achievable levels of mutual understanding for the purposes in hand, while retaining awareness of that which is not understood … .*
3. *Such interaction involves respectful discussion within and between discursive communities, respect implying recognizing, valuing, listening, and searching for translative possibilities between different discourse communities. …*
4. *It involves invention not only through programs of action but in the construction of the arenas within which these programs are formulated and conflicts identified and mediated. Such a planning thus needs to be reflective about its own processes. …*
5. *Within the argumentation of these communicative processes, all dimensions of knowing, understanding, appreciating, experiencing, and judging may be*

brought into play. The struggle of engaging in interdiscursive communicative action is to grasp these and find ways of reasoning among the competing claims for action they generate, without dismissing or devaluing any one until it as been explored. …

6. *A reflexive and critical capacity should be kept alive in the processes of argumentation, using the Habermasian claims of comprehensibility, integrity, legitimacy, and truth. But the critical intent should not be directed at the discourses of the different participative communities … but at the discourse around specific actions being invented through the communicative process …*
7. *… interest overlaps and conflict, with conflicts experienced within each one of us magnified in the interdiscursive arena, The important point is that morality and the dilemmas are addressed interdiscursively, forming thereby both the processes and arenas for debate.*
8. *… fixed preferences may be altered when individuals and groups are encouraged to articulate their interests together. Interaction is thus not simply a form of exchange, or bargaining around predefined interests. It involves mutually reconstructing what constitutes the interests of the various participants - a process of mutual learning through mutually searching to understand.*
9. *It is not only innovative but has the potential to change, to transform material conditions and established power relations through the continuous effort to "critique" and "demystify"; though increasing understanding among participants and hence highlighting oppressions and "dominatory" forces; and though creating well-grounded arguments for alternative analyses and perceptions, through actively constructing new understanding. Ultimately, the transformative potential of communicative action lies in the power embodied in "the better argument", in the power of ideas, metaphors, images, stories. …*
10. *The purpose of such an intercommunicative planning is to help to "start out" and "go along" in mutually agreeable ways …*

Numerous forms of democracy could be conceptualized. Learning, listening, and engaging in respectful argumentation are insufficient. It is essential to cultivate skills in translation, constructive critique, collective invention, and respectful action to effectively harness the potential of planning as a collective and intersubjective process that addresses and resolves common concerns regarding urban and regional environments. A new form of planning is being developed in both planning practice and theory, characterized by a respectful argumentative form of *planning through debate* (Healey, 1992).

Healey (2002b) argues that the perception of a shared public realm serves as the foundation for collective action focused on establishing and preserving the qualitative attributes of the city. The author contends that the contemporary challenge lies in developing multidimensional understandings of the city that capture and connect the diverse and complex nature of urban life, while fostering a public space for discourse on the future of the city. These conceptions are associated with the potential for strategic urban governance that can address specific circumstances, is interactive, relies on a general framework, and fosters innovation. Conversely, it is not imposed

from a hierarchical level, nor dictated by professionals or political groups, and does not adhere to rigid, generalized rules that lack adaptability and creativity.

3.4. New forms of governance, with emphasis on participatory governance

Over the past decades, significant transformations have occurred in the nature, role, and functioning of governments and other institutions concerning spatial development and urban policy, indicating a transition from traditional forms of government to contemporary forms of governance. The diversification of urban planning and local responses to planning policy has led to the establishment of new institutions and a redefined conception of planning aimed at restoring legitimacy and enhancing flexibility. Transformations in political, social, economic, and institutional domains significantly impact urban spatial structures (Nedovic-Budic et al, 2006).

The growing involvement of various private entities, including citizens, necessitates the evolution of planning processes to establish a novel relationship with the private sector in addressing economic and social challenges (Koresawa and Konvitz, 2001). Power is distributed among multiple actors, indicating that no single entity may dominate decision-making. Policies aim to influence events and attain legitimacy; therefore, they must be developed through processes that diverge from traditional linear models and hierarchical methods. They should emphasize mobilization over "command and control" and adopt a collaborative approach to effectively manage the complex contexts of emerging conflicts. There is an urgent need to establish new intergovernmental relations and policy cultures that promote horizontal rather than hierarchical structures, fostering greater cooperation instead of conflict between government and society (Koresawa and Konvitz, 2001).

Table 2 illustrates a correlation of governance types, as documented by Jordan et al. (2005), from which the level of governance achievement is determined. The table illustrates that, in examining the transition to governance, it is essential to consider both the determination of the means (or tools) of policy and the intended policy objectives. The upper left cell contains 'government,' while progression towards the lower right cell indicates forms of administration that exhibit more collective self-organization and guidance (i.e. governance).

Table 2: A simple typology of governance types (source: Jordan et al., 2005: 484)

	Government Determines Societal Goals (Ends)	*Society Determines Societal Goals (Ends)*
Government selects the means of policy	STRONG GOVERNMENT *hierarchical steering from the centre*	HYBRID TYPES
Government selects the means of policy	HYBRID TYPES	STRONG GOVERNANCE

		society is ‘*self-steering*’ *and* ‘*self-organising*’

Governance processes vary not only across countries, localities, and policy fields but also within the same region, influenced by the specific issue and the stakeholders involved (Martens, 2007). Martens observes that governance processes align with the roles and responsibilities of the involved participants, noting that these roles can be centralized among a few individuals or distributed evenly across many. The same player may assume different roles in each instance, either leading or secondary. His analysis explores the roles, responsibilities, and authority assigned to political institutions, government agencies, private business interests, issue-specific interest groups, local citizen groups, and individual citizens, as defined by three governance models: the coordinative model, the competitive model, and the argumentative model.

The coordination model has a significant historical background in planning theory. A fundamental premise is the clear differentiation between the governing body and the governed, or, in other terms, the distinction between government and society. The government's prominent position in the hierarchy designates it as responsible for guiding society toward the benefit of the governed. This entity gathers necessary information, establishes goals and priorities, and chooses and executes policies. Elected officials possess comprehensive authority, bolstered by the bureaucratic structures of government. Coordination involves the various departments, sectors, and functions of the governing body and is deemed essential to ensure that the policies approved by elected officials and executed by government agencies align with the same objectives and support one another. No other player possesses decision-making authority, and their roles and responsibilities are significantly constrained. Agencies at lower levels of government may, in certain instances, engage in the coordination of government policy; however, they can also be regarded as part of the ‘governed’ in other situations. Other players are primarily regarded as sources of information. In this instance, the role appears to be assigned to organizations that represent collective interests rather than to individual participants, such as citizens, businesses, or lower levels of government.

In the competitive model, individuals with varying interests establish their objectives and develop policies autonomously, subsequently competing to attain these objectives. No player is inherently positioned more favorably than others; rather, all participants occupy equivalent roles. Each individual possesses interests they seek to advance and resources to bolster those interests. Governance evolves in accordance with the power resources accessible to each participant. A player's resource availability directly correlates with their capacity to succeed against opponents and overcome challenges. Consequently, numerous weaker national institutions, smaller local governments, small businesses, interest groups, and community organizations frequently find themselves marginalized in the governance process, limiting the ability of the 'ordinary' citizen to exert influence unless affiliated with a group or organization. Cooperation among various stakeholders occurs only when it benefits both parties.

Political institutions serve to mediate the interests of various groups, thereby legitimizing particular interests and policy proposals.

The third model is rooted in the discourse and literature surrounding communicative planning and democratic consultation methods. The fundamental ideology represents a governance model grounded in argumentation, engaging all stakeholders within the political community in the development of policies and actions, while acknowledging their knowledge and contributions. Unlike the competitive model, the policy development and implementation process is devoid of power dynamics, allowing the strength of sound argumentation to dominate. All participants are regarded as equals, with emphasis placed on the knowledge, argumentation, and solutions each can contribute, rather than on their formal roles, authority or interests. The absence of this argumentation process renders current political institutions and bureaucratic mechanisms ineffective in ascertaining the public interest.

Various analysts have approached the topic of participatory governance through distinct yet complementary perspectives. Two significant approaches are 'institutional design' perspectives and 'grassroots empowerment' perspectives. Some perspectives emphasize the role of institutions in promoting individual participation. This emphasis results in the identification of institutional mechanisms that can facilitate a ‘rational’ consensus and promote democratic participation. Conversely, some argue that the presence of sensitized communities is essential for empowerment. This perspective posits that the objective is to establish an empowered base capable of articulating critical opinions within the policy arena. This perspective pertains to the establishment of mechanisms that incorporate various stakeholders directly into the decision-making process (Beaumont and Nicholls, 2008). Beaumont and Nicholls (2008: 92) contend that urban participatory governance has progressively shifted from direct and intentional decision-making processes to contemporary methods that highlight intrinsic political conflict and the ‘normalization’ of social institutions within neoliberal power dynamics.

Community participation in public action can occur through various means, including citizen engagement, public meetings, advisory committees, negotiation and mediation processes, and representation via interest groups. This participation may be political or apolitical, voluntary or involuntary (Wagle, 2000). Stathakopoulos (1988) categorizes participation into two main sources: local community involvement, termed de facto participation or spontaneous participation, and interest group engagement, where members share a common, conscious, and organized intent to act. Participation can also be classified as preventive (prior to action), therapeutic (following action), reactive (against an action), passive (indifferent to an action), active (committed to an action), unilateral (arising from a single agent), or multilateral (involving multiple agents in pursuit of a common solution).

Citizen participation in the policy-making process serves dual purposes: it offers valuable insights to policymakers (Wagle, 2000), positioning citizens as both stakeholders and informants (Van Marissing et al., 2006), while simultaneously enabling citizens to gain knowledge regarding policy formulation and their interests in

various policy options. Citizens must engage at every stage of the policy-making process within a democratic framework, from problem formulation to policy selection (Wagle, 2000). The primary focus of the topic at hand is safeguarding and assuring public interest to the greatest extent feasible.

3.5. Typologies of participatory planning

The history of participation typologies began in 1969 with Sherry Arnstein's 'Ladder of Citizen Participation' (Figure 5.1) which remains widely utilized today. Arnstein identifies eight distinct levels -'rungs' - of participation in her model, each reflecting varying degrees of citizen power.

The ladder is described briefly as follows:

1 Manipulation: It occurs when individuals are appointed to advisory committees or boards under the guise of citizen participation, primarily to "educate" them or to cultivate their support. The lowest level of the participation ladder represents the transformation of genuine citizen engagement into a public relations tool by those in power. This represents an illusory form of "participation".

2 Therapy: Dishonest and pompous group therapy disguised as citizen involvement should be on the lowest rung of the ladder. Administrators -social workers and psychiatrists- consider powerlessness a mental illness. In the name of involving citizens in planning, the experts subject citizens to clinical group therapy. This "participation" is invidious since citizens are engaged, but the focus is on curing their "pathology" rather than changing racism and victimization that create their "pathologies".

3 Informing: Legitimate citizen participation begins with citizens knowing their rights, responsibilities and options. However, officials frequently provide information to citizens without incorporating a feedback mechanism or negotiation leverage. Under these conditions, particularly when information is provided late in the planning process, citizens have a limited opportunity to impact the program designed for their benefit. News media, leaflets, posters, and queries serve as primary methods for one-way communication. Meetings may devolve into unidirectional exchanges by offering superficial information, stifling inquiries, or providing irrelevant responses.

4 Consultation: Seeking citizens' opinions, similar to providing them with information, may enhance their thorough participation. However, if consulting them is not integrated with other forms of participation, this level of engagement remains ineffective, as it provides no guarantee that citizen concerns and ideas will be considered. Attitude surveys, neighborhood meetings, and public hearings are the main consultation methods. When those in power limit citizen input to this level, participation becomes merely a superficial exercise. Individuals are often viewed as statistical entities, with participation quantified by attendance at meetings, distribution of brochures, or responses to questionnaires. Citizens achieve through this activity the status of having "participated in participation". The outcomes achieved by powerholders serve as

evidence of their compliance with the necessary procedures for involving the relevant stakeholders.

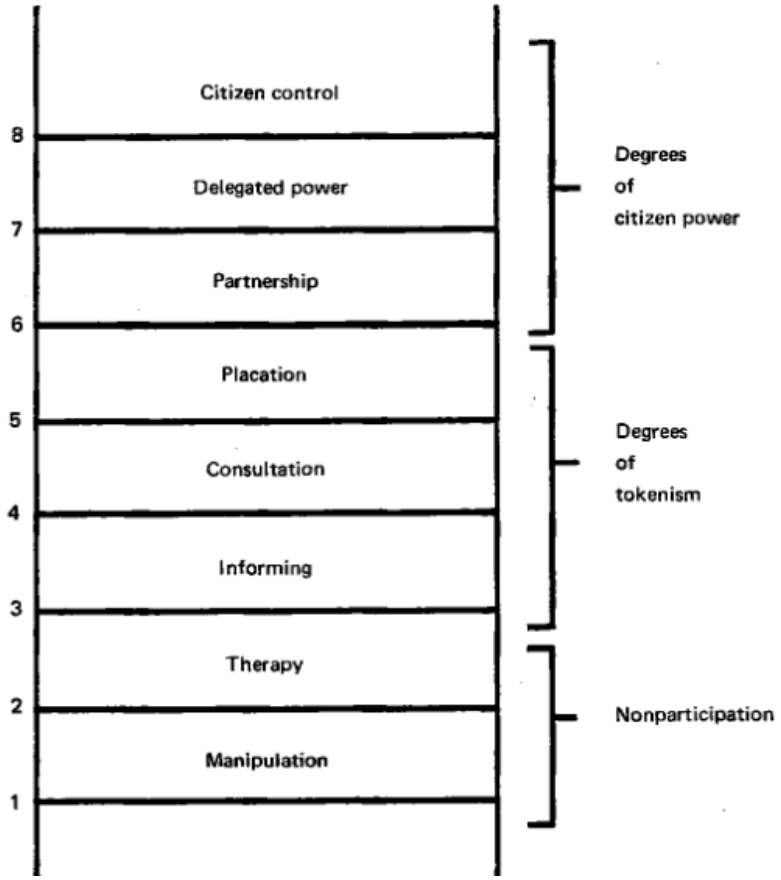

Figure 1: Arnstein's Ladder of Citizen Participation (source: Arnstein, 1969: 217)

5 Placation: At this level, citizens start to exert some influence, although tokenism remains evident. Arnstein presents an example of a placation strategy by suggesting the inclusion of selected "worthy" poor individuals on the boards of Community Action Agencies or public bodies. If there is a lack of accountability to a community constituency and the traditional power elite occupy the majority of seats, the disadvantaged can be readily outvoted and outmaneuvered. Another case involves committees that permit citizens to provide advice or engage in planning indefinitely, while maintaining for powerholders the authority to assess the legitimacy or feasibility of the recommendations. The extent to which citizens are actually placated depends primarily on two factors: the quality of technical assistance available for articulating their priorities and the degree of community organization to advocate for those priorities.

6 Partnership: At this level, power is redistributed through negotiations between citizens and those in power. They consent to distribute planning and decision-making responsibilities via structures such as joint policy boards, planning committees, and mechanisms for resolving impasses. Once the ground rules are established through

mutual agreement, they cannot be altered unilaterally. Partnerships are most effective when there exists an organized power base within the community to which citizen leaders are accountable.

7 Delegated power: Negotiations between citizens and public officials may lead to citizens obtaining primary decision-making authority regarding a specific plan or program. Examples offered by Arnstein include policy boards or delegate agencies where citizens hold a clear majority of seats and exhibit defined powers. At this stage, citizens possess the essential tools to ensure the program's accountability to them. Power holders should initiate the bargaining process to address differences instead of reacting to external pressures.

8 Citizen control: This situation arises when individuals possess a level of power that ensures participants or residents can oversee a program or institution, manage policy and administrative matters, and negotiate the terms under which external parties may implement changes. According to Arnstein's research, the model most commonly recommended is a neighborhood corporation that operates without intermediaries between itself and the source of funds.

Another interesting and recent model is the the *3A³-framework of participation* developed by Hoffer and Kauffmann (2022). "The framework presents three dimensions of participation, which are embedded in broader planning processes and particular contexts. Each dimension is constituted by three interacting elements. The first dimension -*actors*- addresses the *subjects* involved in participation, their *roles* and applied *recruitment* strategies. The second dimension -*arenas*- examines how participatory processes are structured; it captures the *spaces*, *formats* and *rhythms* of participation. And lastly, the third dimension -*aims*- encompasses the *issues*, *rationales* and *outcomes* of participation".

actors - who

arenas - how

aims - why

According to the authors, the framework redirects attention from the assessment of practical examples to a conceptual analysis of the phenomenon itself. This process facilitates reflection on various forms of engagement, acknowledging the diverse practices of individuals involved in the development and design of places and their specific integration within broader social, cultural, political, spatial, and temporal contexts. The framework serves as an analytical tool that facilitates a structured examination of similarities and differences, emphasizing the necessity of comprehending both the dimensions of participation and the evolving configurations of their elements. It also serves as an operational tool, offering guidance for navigating various arrangements of elements in diverse participatory processes (Figures 2, 3 and 4).

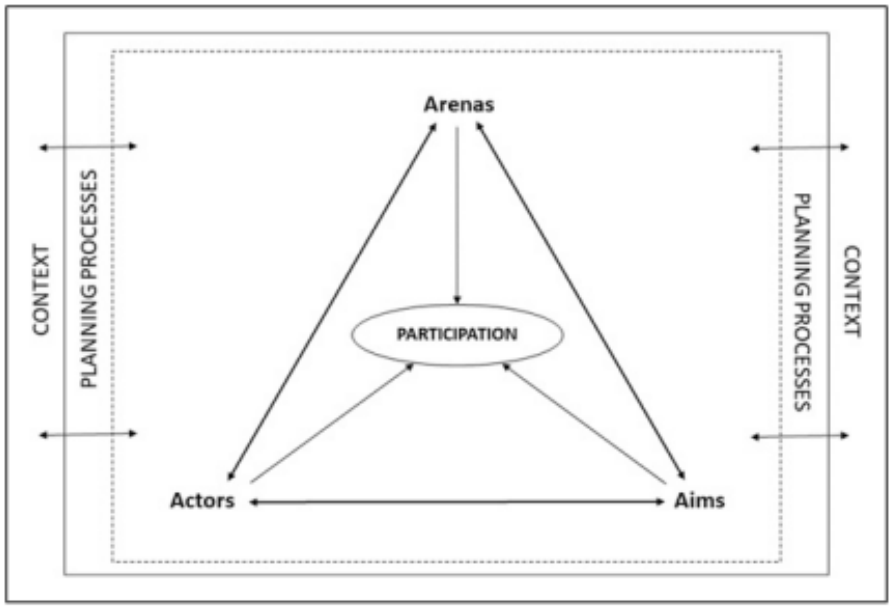

Figure 2: The 3A[3] -framework of participation (source: Hoffer and Kauffmann, 2022: 360)

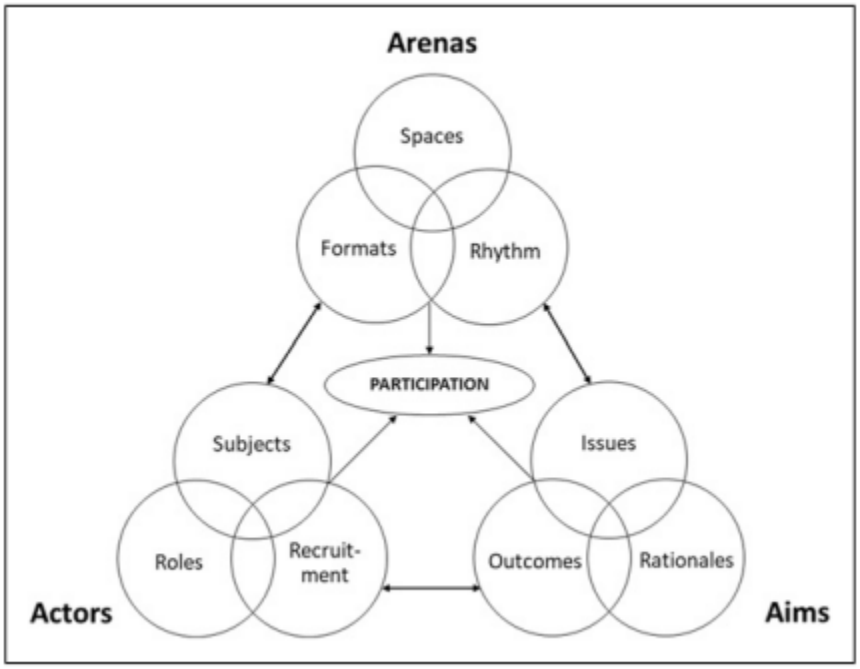

Figure 3: The dimensions of participation and their elements (source: Hoffer and Kauffmann, 2022: 361)

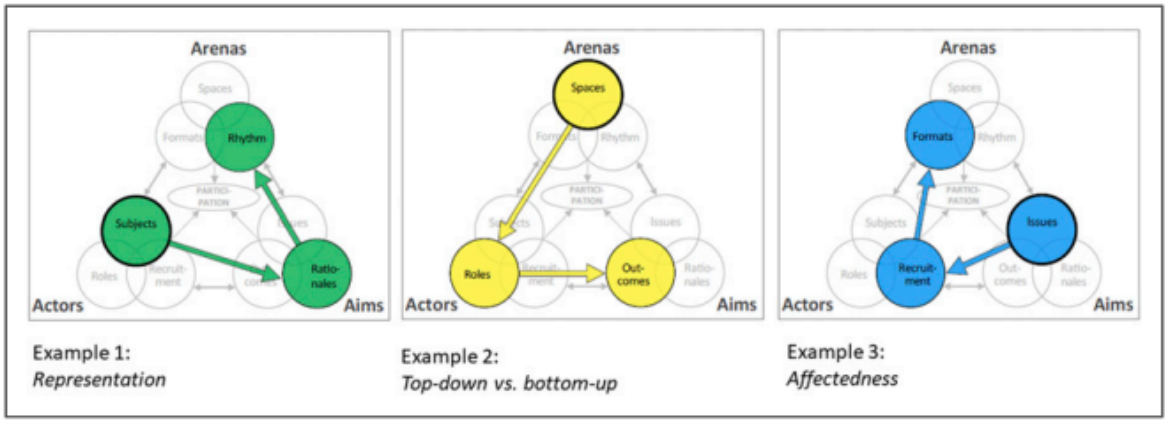

Figure 4: Interdependencies of the elements (source: Hoffer and Kauffmann, 2022: 370)

A more simplified approach is that of Van Marissing et al (2006). The authors employ the three models of citizen involvement initially proposed by Sprinkhuizen (2001) -the voice model, the participation model, and the discussion model- to connect different forms of participation and governance with social cohesion. Three types of social cohesion are distinguished: horizontal, institutional, and vertical. Horizontal denotes cohesion among residents, institutional pertains to cohesion among policymakers, stakeholders, and other decision-making entities, while vertical describes interactions between citizens and policymakers or stakeholders. In revisiting the correlation between forms of participation and types of social cohesion, Van Marissing et al. (2006) arrive at the following conclusions:

- In the voice model, citizen participation serves as a mechanism for individuals to safeguard their interests against detrimental plans. This model appears to be outdated. Opportunities for citizen engagement in reflecting on local policies and plans have increased significantly. Rather than a singular official moment for feedback, there is now a continuous exchange of communication between policymakers and the public. The voice model is closely associated with institutional cohesion, as plans are developed within a restricted group of professionals. Citizens are afforded the opportunity to respond solely during the final phase of the plan.
- The participation model facilitates early interaction between policymakers and residents by ensuring that all relevant stakeholders, as identified by the organizing partner, are engaged from the outset. They serve as representatives responsible for addressing the interests of diverse groups and individuals within the community. This model is primarily associated with vertical cohesion, as residents participate in the decision-making process alongside institutional actors. Resident participation is recognized as a critical component of democracy; however, the legitimacy of a policy or plan depends on the representation of all residents by a select group. The dominance of a particular

subgroup among representatives in a neighborhood may negatively impact horizontal cohesion among residents.

– The discussion model bases itself on the concept of ad hoc consultancy among residents, aimed at engaging a greater number of citizens than what is achievable through conventional participation methods, as outlined in the participation model. The discussion model is primarily associated with horizontal cohesion. The focus is not on representation, but rather on involving as many residents as possible through the organization of accessible activities and meetings. These may function as a gathering space for residents, thereby enhancing horizontal cohesion, as well as a forum for discussing local issues with policymakers to identify optimal local solutions, potentially benefiting vertical cohesion.

3.6. Global and EU policy priorities, guiding documents and the conception of public participation through time

DEMo4PPL Deliverable Report No. O.8 (2024) "*Report on Participatory Planning approaches and practice at EU level*" synthesises the main European Union (EU) coordinates and perspectives regarding public engagement in decision-making processes and, in particular, regarding the development of a Participatory Planning approach in EU policy. It illustrates when the EU has started to include public participation in its Treaties and how this principle has been then translated into practice in the last three decades. By exploring a list of official documents and programmes, this report offers an overview on the experiences developed so far and provides a clear picture on how public participation has been conceived and delivered. It concludes discussing the limits of and challenges for the promotion of participatory planning in EU policy.

More specifically, in *section 5* of the report, an attempt is made to answer the question of how EU documents have conceived participation, with particular emphasis on the European spatial development perspective and EU urban, rural, and territorial agendas. In *section 6,* the discussion proceeds on how the operationalisation of participatory practices has been foreseen by EU programs and instruments. Finally, the limits and challenges of participatory planning in EU policy are reflected.

On a global level, a "historical perspectives on participation in development" is provided by Cornwall (2006). Based on his literature review, international agency documents from the 1970s onward frequently highlight the advantages of participation. A study commissioned by the World Bank in 1975 indicated that projects were more likely to succeed when there was involvement from the community. A review of World Bank projects conducted in 1987 reached a similar conclusion, as did an evaluation in 1994. By 2004, the bank employed analogous concepts and arguments to promote 'community-driven development' and 'empowerment'. Similar trajectories are evident in the documents of UN organizations and bilateral donors. Each document contains minimal or no references to prior initiatives aimed at promoting participation or to earlier participation policies. Each surge of enthusiasm for participation leads to the

reformation of arguments, occasionally employing contemporary euphemisms or rhetoric, while remaining fundamentally interchangeable in essence.

UN Habitat's report "Building Bridges through Participatory Planning", published in 2001, offers planning tools to increase collaboration and participation within local governments, NGOs, CBOs, leaders, staff, and citizen constituents. Part I includes the participatory planning process as it has evolved over time and provides strategies for implementing the process.

Within the report, some lessons learned by UN-Habitat over the years in using participatory planning (PP) approaches are included:

- *External interventions based on establishing participatory planning and implementation activities must necessarily start with where the local institutions and leaders are, not where you would like them to be, in terms of commitment to participation and the knowledge and skills to collaborate successfully.*
- *Awareness raising initiatives and management training are essential early inputs to the PP process. They need to be targeted to the level of participant education and experience to be successful. Or, as described by one country programme, training was "non-formal, unorthodox, demand driven, on-the-job, context oriented, non-classroom, non-lecture, facilitative and participatory."*
- *Contrary to what might be assumed, high level communication is essential when you work from the grassroots up. What those at the apex of power don't know about your efforts to get others to participate, could very well bring suspicion and unfortunate sanctions to your endeavours.*
- *On the other hand, monitoring and challenging questions from national officials when they have a stake in the outcome can do much to bring rigour to locally defined and implemented endeavours.*
- *Specific capacity-building efforts are likely to be needed to improve the collaborative skills of local government elected officials and staff as well as those of local development NGOs, CBOs and other partners.*
- *While community-based planning activities would suggest it is unnecessary to keep records or put in place formal reporting procedures and monitoring and evaluation systems ("after all, we all know each other"), it's not true.*
- *Participatory planning at the local level is largely an act in institutional and personal capacity building. This needs to be recognised and dealt with accordingly. The successes achieved over time will depend on the foundations built and secured early in the collaborative process.*

The report indicates that achieving effective participation by and with citizens presents significant challenges. Local governments frequently encounter citizen reluctance to engage, even when outreach efforts are made. Several factors may deter citizens from participating:

- *They have been denied access to the political process in the past and are wary about getting involved.*
- *They have no real interest or connection to the issues that arise to the top of the political agenda. The issues they are asked to make a contribution to through some process of citizen participation simply don't reflect their needs or interests.*
- *Their faith in how decisions get made has been shaken by past efforts to engage with public officials in shared leadership and decision-making activities. The power brokers always have the final say.*
- *Citizens often do not know how to participate in public dialogues and decision-making processes. Which suggests that participation or collaboration is a learned behaviour. This also applies to many elected and appointed officials.*

In 2022, OECD published a report on 'Guidelines for Citizen Participation Processes'. The report posits that citizen and stakeholder participation is an essential element of an open government. Open government is defined by the OECD as "a culture of governance that promotes the principles of transparency, integrity, accountability and stakeholder participation in support of democracy and inclusive growth". The concept posits that citizens and the public must be empowered to see, understand, contribute to, monitor, and evaluate public decisions and actions. Open government enhances the legitimacy of public decision-making and improves outcomes by informing and engaging citizens, particularly those who are typically underrepresented, while addressing the genuine needs of the populace. Long-term open government reforms can enhance trust in government and strengthen democratic processes.

The guidelines seek to address a gap by offering practical support for organizing citizen participation processes. They emphasize specific considerations and dedicated methods to ensure quality, inclusion, and impact. Among other things, the report provides a ten-step path for planning, implementing, and evaluating a citizen participation process (Figure 5). It provides guidance on how to implement each step, and details eight participatory methods from information to deliberative processes.

Figure 5: Ten-step path for planning and implementing a citizen participation process (source: OECD, 2022: 22)

The 2030 Agenda for Sustainable Development, adopted by all United Nations Member States in 2015, provides a shared blueprint for peace and prosperity for people and the planet, now and into the future. At its heart are the 17 Sustainable Development Goals (SDGs), which are an urgent call for action by all countries - developed and developing - in a global partnership. As cited in the UN's site,"the multi-stakeholder nature of the 2030 Agenda demands an enabling environment for participation by all, as well as new ways of working in partnerships to mobilize and share knowledge, expertise, technology and financial resources at all levels". Two reports are of direct relevance:

- *Stakeholder Engagement & the 2030 Agenda. A practical guide* by UN DESA and UNITAR (2022)

- *Multi-stakeholder engagement in 2030 Agenda implementation: A review of Voluntary National Review Reports (2016-2019)* by UN DESA

The 2030 Agenda refers to participation in the follow-up and review system, which is planned to operate at the national, regional, and global levels and will include reviewing mechanisms based on country-led evaluations and data. It emphasizes that government-led, voluntary review processes will examine national realities, capacities, and development levels while preserving national policy space and priorities.

3.7. Promoting sustainable development and resilience through public participation

The World Commission on Environment and Development (1987) made public participation in decision-making an integral part of the sustainable development discourse.

> ”*Meeting essential needs requires not only a new era of economic growth for nations in which the majority are poor, but an assurance that those poor get their fair share of the resources required to sustain that growth. Such equity would be aided by political systems that secure effective citizen participation in decision making and by greater democracy in international decision making*” (WCED, 1987, as cited in Geczi, 2007).

The three pillars of sustainability (Figure 6), the economy, the environment, and society, are inextricably linked, as each action made inside one of the fields has an impact on the others. Social sustainability, in particular, seeks to promote equity, justice, and well-being within society. It recognizes the value of inclusive and participatory decision-making procedures that take into account the needs and ambitions of all individuals.

The UN Conference on Environment and Development (Rio 92) launched Agenda 21 (A21), a worldwide sustainability and social empowerment agenda. A21's hierarchical spatial scale strategy includes subglobal, national, and locally settled plans, including Local Agenda 21 (LA21). LA21, implemented globally since Rio 92, involves participatory efforts to create a local plan for sustainable development environmental, economic, and sociocultural factors (Xavier, Jacobi and Turra, 2019). LA21 implementation has five steps that can be customized for each situation (Figure 7).

Figure 6: The three pillars of sustainability (source: https://positiveplanet.uk/what-are-the-three-pillars-of-sustainability/)

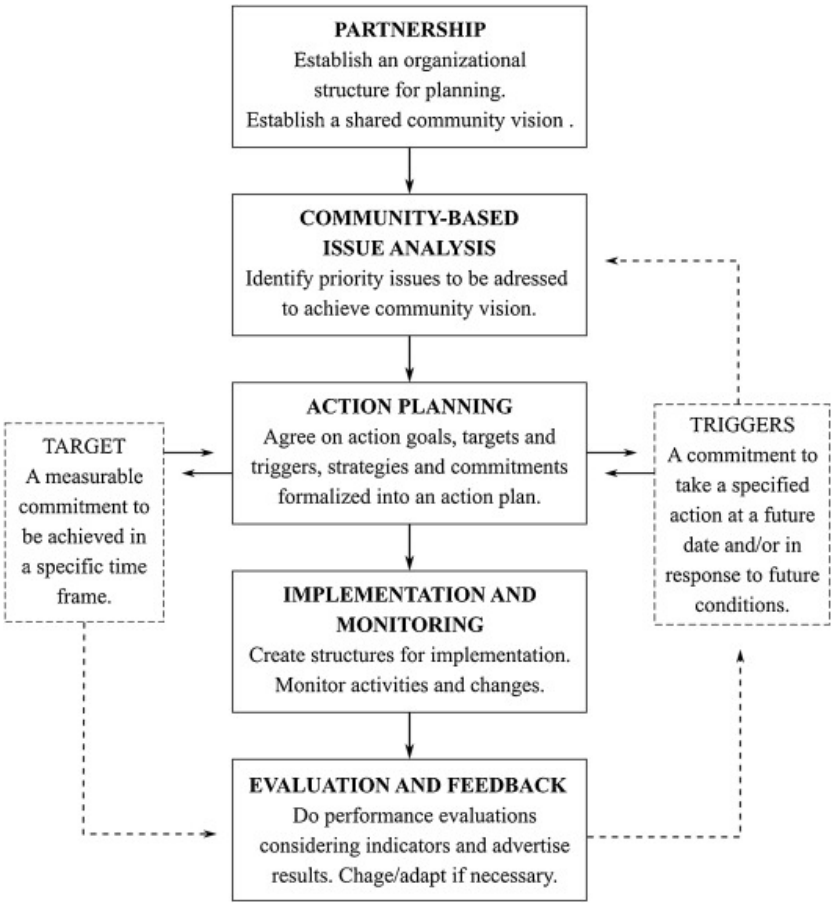

Figure 7: Steps to sustainability through the implementation of a Local Agenda 21 process (source: Xavier, Jacobi and Turra, 2019: 8, adapted from International Council for Local Environmental Initiatives (ICLEI et al., 1996))

Agenda 21 outcome evaluations show long-term failure and limited public participation, which is essential to management. Quality rather than quantity of public participation in management processes is crucial for sustainable growth, according to research. This quality may arise from social learning, which involves collaborative learning among various stakeholders. Through interaction, this process enhances their ability to undertake joint tasks related to environmental issues and fosters the development of social capital (Xavier, Jacobi & Turra, 2019).

Nonetheless, implementing a participatory approach to sustainability decisions encounters considerable obstacles prior to its adoption by numerous communities in challenging situations. Geczi (2007) examines the topic and posits that micro-level group dynamics and communication mechanisms alone are insufficient. Public managers should recognize the institutional and ideological constraints on public engagement and utilize this understanding to develop genuinely inclusive mechanisms for citizen involvement.

The Centre for Climate and Energy Solutions (C2ES) in its report (undated) titled “Best practices in sustainability engagement” posits that successful engagement programs often incorporate four main elements: education, empowerment, a strong call to action, and recognition. Recognizing the barriers to audience engagement is essential for the effective design of an engagement strategy.

In recent years, the concept of resilience has become more prevalent across multiple disciplines. Numerous discussions have occurred regarding the implementation of resilience thinking to enable cities and communities to prepare for potential stresses and shocks. Despite the existence of frameworks designed to develop inclusive resilience strategies that promote participation and engagement, there is a scarcity of resilience-related literature addressing the conceptualization of participation (Mahajana et al, 2022). Mahajana et al’s review examines citizen participation in the context of participatory resilience through a comprehensive analysis of diverse publications, policy documents, and case studies that highlight the principles of participation, coordination, and co-creation. One major conclusion is that:

> ”*... participatory approaches possess a great potential to enhance multi stakeholder cooperation, social innovation, and capacity building for resilience. Realization of the potential of participatory resilience will remain limited, however, unless participation strategies and frameworks are made more transparent, inclusive, and context-sensitive*”.

The same authors recommend that decision-makers reformulate information accessibility and availability and use insights from that information for effective action (Figure 8). Information transparency and accessibility can reduce information asymmetries by providing stakeholders with the appropriate information. This can be enhanced by comprehensive contextual knowledge present within local communities. Partnerships have the potential to address the shortcomings of current power structures and are essential for enhancing the effectiveness of participatory interventions (Mahajana et al, 2022).

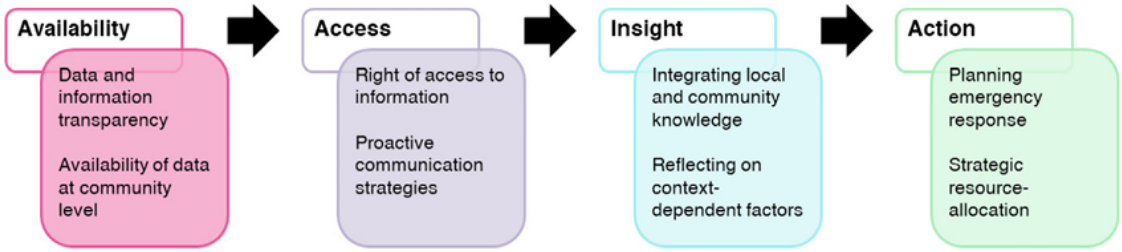

Figure 8: From information availability to collective intelligence (access and insight) to connective action (source: Mahajana et al, 2022: 11)

The OECD identifies four drivers of resilience (OECD, 2018). The first is the economic. This necessitates diversification within the industry and opportunities for innovation. The second driver is social: it involves ensuring societal inclusivity and cohesion, fostering active citizen networks, and providing access to opportunities for individuals. The third pertains to the environment: the sustainability of urban development, the availability of adequate and reliable infrastructure, and the accessibility of sufficient natural resources. Finally, institutional factors necessitate definitive leadership and a long-term vision, adequate public resources, collaboration with various government tiers, and a transparent and participatory governance approach (Figure 9).

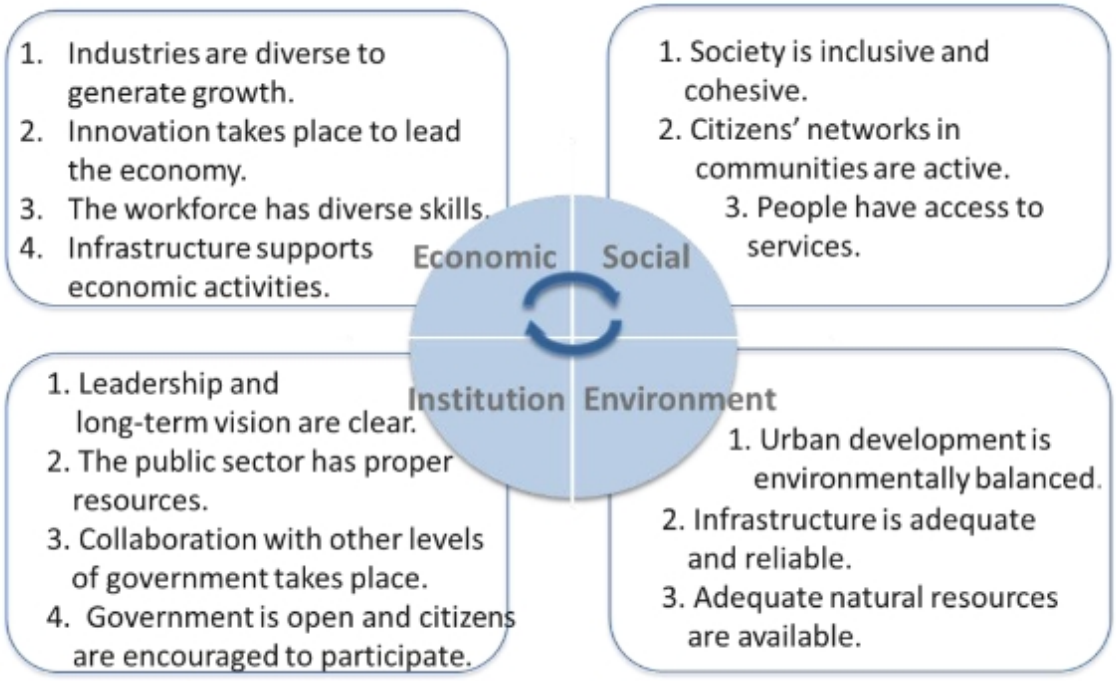

Figure 9: Resilience framework (source: OECD, 2016 in OECD, 2018)

ARUP with the support of the Rockefeller Foundation has developed the City Resilience Index. This index serves as the foundation for a tool that should allow all of us interested in city resilience to come together around a shared understanding of the concept and begin to 'baseline' what is most important for making cities more resilient. The index aims to encourage a process of involvement with and within cities that fosters debate and greater understanding. Finally, this will provide new ideas and chances to engage new actors in civil society, government, and business about what makes a city resilient. The structure of the Index is shown in Figure 10.

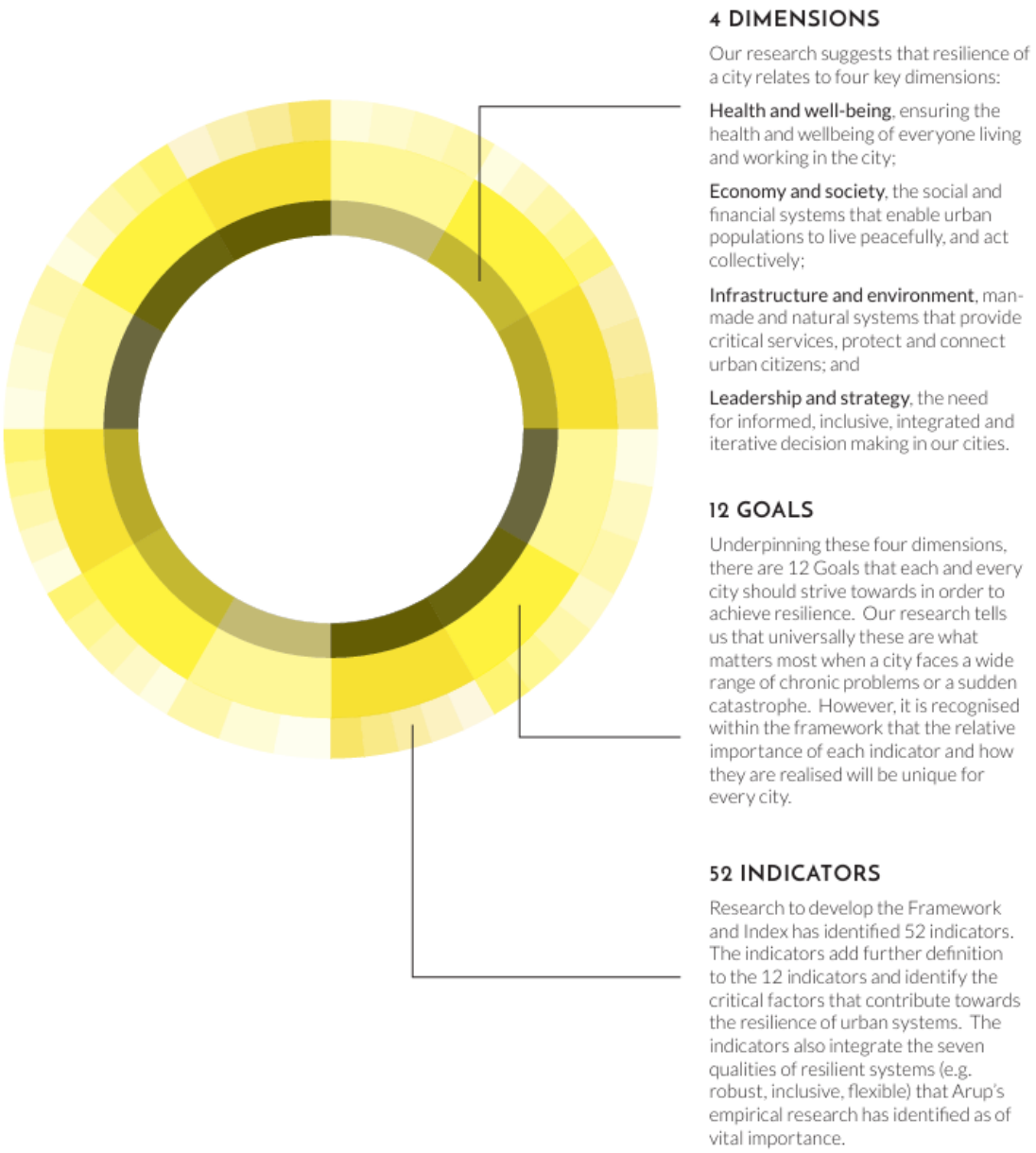

Figure 10: Structure of the City Resilience Index (source: ARUP, undated: 9)

The Leadership and Strategy dimension is about knowledge. A resilient city learns from past experiences and adopts evidence-based actions. Effective leadership and urban management in a city require participatory governance, evidence-based decision-making, and collaboration among government, business, and civil society. A city should empower its stakeholders by providing access to information and education, enabling individuals and organizations to take appropriate action. Integrating the city's vision with sectoral strategies and plans and individual projects is crucial for effective development (ARUP, undated).

The goal "Empowered stakeholders" is underpinned by education for all, and relies on access to up-to-date information and knowledge to enable people and organisations to take action (Figure 11).

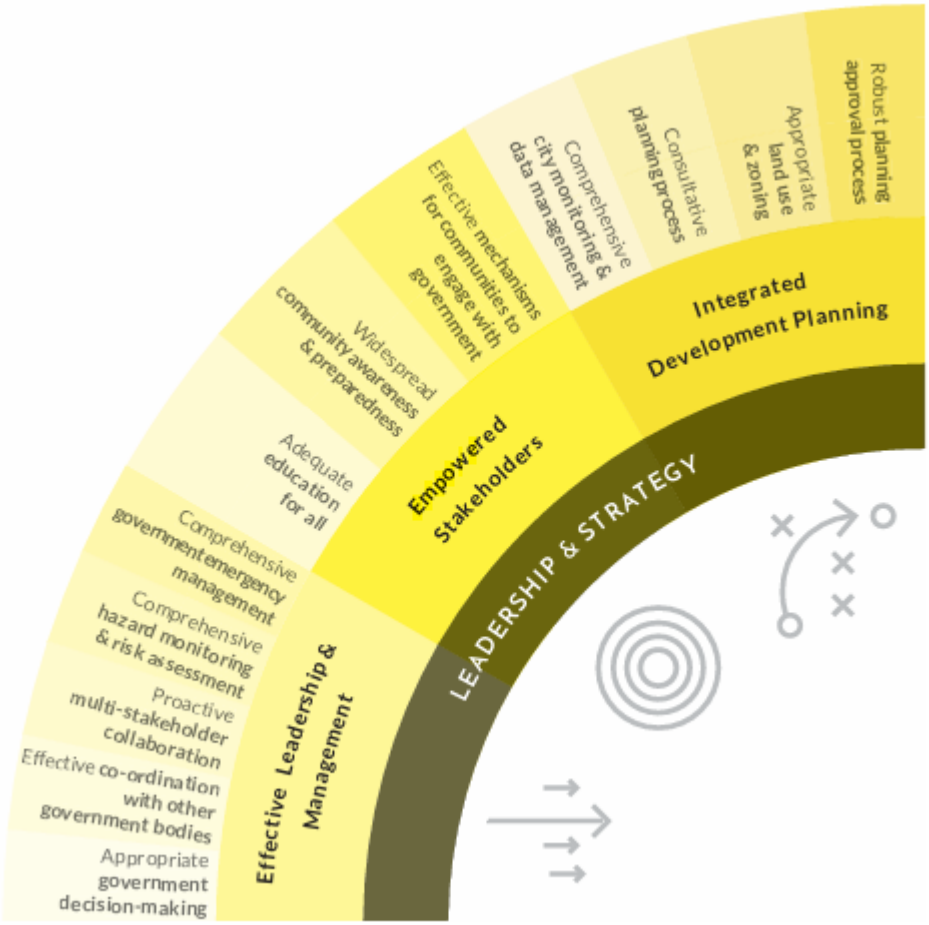

Figure 11: Leadership and Strategy dimensions and its goals and indicators (source: ARUP, undated: 24)

3.8. Contemporary theoretical and methodological challenges regarding participatory planning

Some of the challenges associated with participatory planning and the communicative model are summarized as follows:

- Many analysts acknowledge the advantages of a communicative approach to planning, particularly given the limitations of a purely professional and technocratic method in addressing the complexities of spatial systems and relationships. Nevertheless, concerns have been raised about the communicative ideology's capacity to serve as an adequate framework for safeguarding values and achieving the objectives that have historically guided planning interventions in society (Voogd & Woltjer, 1999). Criticism exists regarding the emphasis on the process, which tends to overlook the fundamental aspects of planning content (Andrikopoulou et al., 2014).
- Governance processes are unclear given the complexity of society, which is marked by high levels of interconnectedness and varying ambitions among stakeholders, all of whom aim to influence these processes. Neglecting to acknowledge and address this reality among players can result in ambiguity and uncertainty regarding each player's roles and responsibilities. The absence of clarity might end up in conflicts among players and potential misuse of roles by certain individuals. More powerful players may exploit a 'open' process by leveraging extensive resources to promote their interests, thereby marginalizing less organized entities (Martens, 2007).
- Citizen involvement yields several beneficial outcomes for democracy: it enhances individuals' sense of responsibility for public affairs, fosters greater public engagement, promotes the consideration of diverse opinions, and leads to increased legitimacy of decisions. A negative effect is the lack of representation for all relevant groups and interests (Michels and De Graaf, 2010).
- Broader participation, with community involvement, serves as a counterbalance; however, it presents challenges for participants, as this approach to planning may be dismissed by individuals preferring a more passive form of citizen engagement (Rydin, 1993).
- Finally, a significant challenge lies in defining what is meant by the “public interest”. This must be considered alongside the reality that not all citizens possess the capacity and resources to engage in these processes or to form partnerships. Therefore, the government’s role as a coordinator and manager of these relations is crucial, alongside its adoption of compensatory mechanisms to protect active citizens and communities. Citizen participation, both individually and collectively, enables governments to align with the needs of the public (Murdoch and Abram, 1998).

> ”*Those who advocate greater citizen participation do so for a variety of reasons: to promote democracy, build trust, increasetransparency, enhance accountability, build social capital, reduce conflict,ascertain*

priorities, promote legitimacy, cultivate mutual understanding, andadvance fairness and justice.
Those who express caution and concern about direct citizen participation raise the following concerns: it is inefficient, time-consuming, costly, politically naïve, *unrealistic, and disruptive, and it lacks broad representation.[Citation] In addition, critics argue that citizens lack expertise and knowledge; are motivated by their personal interest, not the public good; and citizens can be passive, selfish, and apathetic, as well as cynical.[Citation] These differences reflect the competing perspectives on democratic and administrative theory, as well as some of the contradictions inherent in contemporary society.[Citation]" (Callahan, 2007).*

4. Classroom discussion topics

Topics that can be discussed in the classroom include:

- Analysis of the level of stakeholder and citizen participation according to Arnstein's Ladder of Citizen Participation based on specific case studies
- Discussion on the roles, responsibilities and interests of key actors in participation processes and the link to different governance models
- Discussion on the relationship between the qualities of the participatory processes and a) given planning traditions and b) specific elements of the so-called 'planning culture', which goes beyond formal aspects, like administrative competencies and institutional frameworks, and incorporates behaviors, values, norms, standards and beliefs that are shared and adhered to by individuals involved in planning.
- Discussion on the challenges facing participatory planning and the communicative model

5. Summary of Learning

Q1: What are the three governance models defined in the document, and how do they differ from each other?

A: The three governance models defined in the document are the coordinative model, the competitive model, and the argumentative model. The coordination model distinguishes between the governing body and the governed, with the government guiding society towards the benefit of the governed. Coordination involves various departments, sectors, and functions of the governing body, ensuring policies align with the same objectives and support each other. The competitive model involves individuals with varying interests establishing objectives and developing policies autonomously, competing to attain these objectives. Governance evolves in accordance with the power resources accessible to each participant. The argumentative model is rooted in the discourse surrounding communicative planning and democratic consultation methods. This model is devoid of power dynamics, it

engages all stakeholders in the development of policies and actions, allowing the strength of sound argumentation to dominate.

Q2: According to the document, what are the four main elements that successful engagement programs should incorporate?

A: Successful engagement programs should incorporate four main elements: education, empowerment, a strong call to action, and recognition. These elements are essential for effectively engaging the audience and fostering meaningful participation.

Q3: What does the $3A^3$-framework of participation focus on?

A: The $3A^3$-framework of participation focuses on three dimensions: actors (who is involved), arenas (how participation is structured), and aims (the issues and outcomes of participation), facilitating reflection on various forms of engagement.

Q4: How does the document describe the transformative potential of communicative action in planning?

A: The document describes the transformative potential of communicative action in planning as the ability to change and transform established power relations through respectful discussion and reconstruction of what constitutes the interests of various participants. This interaction assumes the preexistence of individuals engaged in diverse, fluid, and overlapping discourse communities, each with its one meaning systems and knowledge forms.

Q5: What is the significance of the City Resilience Index developed by ARUP and the Rockefeller Foundation?

A: The City Resilience Index developed by ARUP and the Rockefeller Foundation serves as a foundational tool for fostering a shared understanding of urban resilience. It aims to encourage involvement within cities and facilitate debate on what is most important for enhancing resilience, ultimately helping cities prepare for potential stresses and shocks.

Q6: What are some of the contemporary theoretical and methodological challenges regarding participatory planning?

A: Some of the challenges associated with participatory planning and the communicative model can be summarized as follows:

- Criticism exists regarding the emphasis on the process, which tends to overlook the fundamental aspects of planning content.

- Governance processes are unclear given the complexity of society, which is marked by high levels of interconnectedness and varying ambitions among stakeholders, all of whom aim to influence these processes.
- Lack of representation for all relevant groups and interests.
- This approach to planning may be dismissed by individuals preferring a more passive form of citizen engagement.
- Defining what is meant by the “public interest”.

Quiz

Q1: Fill in the gap: Rydin identified three dimensions related to the political process of planning: The first relates to resource allocation decisions. The second is concerned with the variety of actors. The third dimension is _____ (left-right approach to planning, as well as others which lie outside of these two).
A: ideological

Q2: True or false: The rational-comprehensive model of planning implies the absence of a "common interest".
A: False

Q3: What aspect is central to the postmodern approach in planning theory?
1. Scientific objectivity
2. Consensus and collaboration
3. Formal decision-making
4. Top-down governance

A: 2

Q4: Which governance model emphasizes the knowledge, argumentation, and solutions each participant can bring, regardless of formal competences?
1. The competitive model
2. The coordination model
3. The argumentative model
4. The comprehensive model

A: 3

Q5: What does the 'just city' theorists' model focus on solving?
1. Social and spatial inequalities
2. Market-driven development
3. Technical aspects of planning
4. Top-down approaches

A: 1

Q6: What number of rugs does Arnstein's Ladder of Citizen Participation include??
1. 6
2. 8

3. 10
4. 12

A: 2

Q7: Which level of participation does 'Placation' refer to in Arnstein's model?

1. Tokenism
2. Genuine empowerment
3. Information sharing
4. Manipulative involvement

A: 1

Q8: What does strategic planning primarily emphasize?

1. Land-use plans
2. Action plans and stakeholder integration
3. Top-down policies
4. Comprehensive analysis

A: 2

Q9: Which significant element is the rational-comprehensive model of planning believed to overlook?

1. Public interest
2. Political conflicts
3. Environmental considerations
4. Different ideological positions

A: 2

Q10: True or false: In the competitive model, governance evolves in accordance with the power resources accessible to each participant.

A: True

Q11: What significant shift defined governance in contemporary planning?

1. Increased public sector dominance
2. Collaboration over competition
3. Centralization of authority
4. Standardization of processes

A: 2

Q12: What is described as the lowest rung of Arnstein's Ladder of Citizen Participation?

1. Manipulation
2. Therapy
3. Informing
4. Consultation

A: 1

Q13: What approach encourages public engagement through dialogue and shared decision-making?

1. Rational planning

2. Competitive governance
3. Participatory governance
4. Coordination model

A: 3

Q14: What is a characteristic of the entrepreneurial approach in planning?

1. Focus on citizen control
2. Emphasis on technical expertise
3. Promotion of city image for investment
4. Community-driven initiatives

A: 3

Q15: True or false: ARUP's City Resilience Index is structured around dimensions, goals and indicators. The Leadership and Strategy dimension is about knowledge.
A: True

6. Bibliography

Abukhater, A. (2009). Rethinking planning theory and practice: A glimmer of light for prospects of integrated planning to combat complex urban realities. *Theoretical and Empirical Researches in Urban Management*, 2(11), 64-79.

Andrikopoulou, E. Yiannakou, A., Kafkalas, G. & Pitsiava-Latinopoulou, M. (2014). City and urban planning practices for sustainable urban development (2nd revised edition). Kritiki. [in Greek]

Arnstein, S. R. (1969). A Ladder Of Citizen Participation. *Journal of the American Institute of Planners*, *35*(4), 216-224. https://doi.org/10.1080/01944366908977225

ARUP (undated). *City Resilience Index. Understanding and measuring city resilience*. https://www.arup.com/globalassets/downloads/insights/city-resilience-index.pdf

Beaumont, J., & Nicholls, W. (2008). Plural governance, participation and democracy in cities. *International Journal of Urban and Regional Research*, 32(1), 87-94. https://doi.org/10.1111/j.1468-2427.2008.00779.x

Callahan, K. (2007). Citizen participation: models and methods. *International Journal of Public Administration*, *30*(11), 1179-1196. https://doi.org/10.1080/01900690701225366

Centre for Climate and Energy Solutions (C2ES) (undated). *Best practices in sustainability engagement*. https://www.c2es.org/wp-content/uploads/2017/10/C2ES-Best-Practices-Sustainability-Engagement.pdf)

Davidoff, P. (1965). Advocacy and pluralism in planning. *Journal of the American Institute of* Cornwall, A. (2006). Historical perspectives on participation in development. *Commonwealth & Comparative Politics*, *44*(1), 62-83. https://doi.org/10.1080/14662040600624460

planners, 31(4), 331-338. https://doi.org/10.1080/01944366508978187

Demo4PPL (2024). *Report on Participatory Planning approaches and practice at EU level*. Deliverable Report No. O.8.

European Spatial Planning Observatory Network (ESPON) (2006) *Governance of Territorial and Urban* Policies *form EU to Local Level*, ESPON Project 2.3.2., Final Report. Part II - Results of the Project.

Fainstein, S.S. (2000). New directions in planning theory. *Urban Affairs Review*, 35(4), 451-478. https://doi.org/10.1177/107808740003500401

Fainstein, S.S., & Fainstein, N. (1996). City planning and political values: An updated view. In: S. Campell & S. Fainstein (Eds.), *Readings in planning theory*. Blackwell Publishers.

Friedmann, J. (1965). A response to Altshuler: comprehensive planning as a pro cess. In A. Faludi (Ed.), *A reader in planning theory*. Pergamon Press.

Geczi, E. (2007). Sustainability and Public Participation: Toward an Inclusive Model of Democracy. *Administrative Theory & Praxis*, 29(3), 375-393. https://www.jstor.org/stable/25610875

Harris, N. (1992). Productivity and poverty in the cities of the developing countries. In N. Harris (Ed.), *Cities in the 1990s: The challenge for developing.* LUCL Press.

Harvey, D. (1996). On planning the ideology of planning. In S. Campbell & S. Fainstein (Eds.), *Readings in planning theory*. Blackwell.

Habermas, J. (1984). *The theory of communicative action. Volume 1: Reason and the rationalization of society*. Heinemann.

Habermas, J. (1987). *The theory of communicative action. Volume 2: The critique of functionalist reason.* Polity Press.

Healey, P. (1992). Planning through Debate: The communicative turn in planning theory. *The Town Planning Review*, 63(2), 143-162. https://www.jstor.org/stable/40113141

Healey, P. (2001). New approaches to the content and process of spatial development frameworks. In OECD, *Towards a new role for spatial planning*. OECD Publications Service.

Healey, P. (2002a). Planning theory: Interaction with institutional contexts. *International Encyclopedia of the Social & Behavioral Sciences*, 11485-11491.

Healey, P. (2002b). On Creating the 'City' as a Collective Resource. *Urban Studies*, 39(10), 1777-1792. https://doi.org/10.1080/0042098022000002957

Healey, P. (2011). Civic capacity, progressive localism and the role of planning. RTPI Nathaniel Lichfield Memorial Lecture. Retrieved 3 February 2015, from http://www.ncl.ac.uk/guru/documents/lichfieldflyer.pdf

Heinelt, H. (2002). Achieving sustainable and innovative policies through participatory governance in multi-level context". in: H. Heinelt, P. Getimis, G. Kafkalas, R. Smith & E. Swyngedouw (Eds.), *Participatory governance in multi-level context. Concepts and experience*. Leske & Budrich.

Hofer, K., & Kaufmann, D. (2023). Actors, arenas and aims: A conceptual framework for public participation. *Planning Theory*, *22*(4), 357-379. https://doi.org/10.1177/14730952221139587

Jordan, A., Wurzel, R.K.W., & Zito, A. (2005). The rise of 'New' Policy instruments in comparative perspective: Has governance eclipsed government?, *Political Studies*, 53, 477-496. https://doi.org/10.1111/j.1467-9248.2005.00540.x

Kaufman, J.L., & Jacobs, H. (1987). A public planning perspective on strategic planning. *Journal of the American Planning Association*, 53(1), 23-33. https://doi.org/10.1080/01944368708976632

Koresawa, A., & Konvitz, J. (2001). Towards a new role for spatial planning. In OECD, *Towards a new role for spatial planning*. OECD Publications Service.

Martens, K. (2007). Actors in a fuzzy governance environment. In G. De Roo & G. Porter (Eds.), *Fuzzy planning. The role of actors in a fuzzy governance environment*. Ashgate.

Mahajan, S., Hausladen, C.I., Sánchez-Vaquerizo, J.A., Korecki, M., & Helbing, D. (2022). Participatory resilience: Surviving, recovering and improving together. *Sustainable Cities and Society*, 83, 103942. https://doi.org/10.1016/j.scs.2022.103942

Michels, A., & De Graaf, L. (2010). Examining citizen participation: Local participatory policy making and democracy. *Local Government Studies*, *36*(4), 477-491. https://doi.org/10.1080/03003930.2010.494101

Murdoch, J., &Abram, S. (1998). Defining the limits of community governance, *Journal of Rural Studies*, 14(I), 41-50. https://doi.org/10.1016/S0743-0167(97)00046-6Get rights and content

Nedovic-Budic, Z., Tsenkova, S., & Marcuse, P. (2006). The urban mosaic of post-social Europe. In S. Tsenkova & Z. Nedovic-Budic (Eds.), *The urban mosaic of post-social Europe. Space, institutions and policy*. Physica-Verlag.

Organisation for Economic Co-operation and Development (OECD) (2022). *Guidelines for Citizen Participation Processes.* https://www.oecd.org/en/publications/oecd-guidelines-for-citizen-participation-processes_f765caf6-en.html

Organisation for Economic Co-operation and Development (OECD) (2018). *Indicators for Resilient Cities*. OECD Regional Development Working Papers 2018/02 (prepared by Figueiredo, L., Honiden, T. & Schumann, A.). https://dx.doi.org/10.1787/6f1f6065-en

Rakodi, C. (2003). Politics and performance: The implications of emerging governance arrangements for urban management approaches and information systems. *Habitat International*, 27, 523-547. https://doi.org/10.1016/S0197-3975(03)00004-3

Rydin, Y. (1993). *The British planning system. An introduction*. MacMillan.

Sanyal, B. (2005). Hybrid planning cultures: The search for the global cultural com mons. In B. Sanyal (Ed.), *Comparative Planning Cultures*. Routledge.

Schmitter, P. (2002). Participation in governance arrangement: Is there any reason to expect it will achieve 'sustainable and innovative policies in a multilevel context'?. In J.R. Grote & and B. Gbikpi (Eds.), *Participatory governance. Political and societal implications*. Leske and Budrich.

Stathakopoulos, P. (1988). *Participatory processes and urbanism - Forms and degrees of participation*. Delousis. [in Greek]

Tasopoulou, A. (2011). *Urban governance: Urban planning policy and management of space with application to the General Urban Plans in Greece*. Doctoral Thesis. Aristotle University of Thessaloniki. [in Greek]

UN DESA (undated). *Multi-stakeholder engagement in 2030 Agenda implementation: A review of Voluntary National Review Reports (2016-2019)*. https://sdgs.un.org/sites/default/files/2020-11/26012VNRStakeholdersResearch.pdf

UN DESA, & UNITAR (2022). *Stakeholder Engagement & the 2030 Agenda. A practical guide*. https://sdgs.un.org/sites/default/files/2021-08/Stakeholder%20Engagement%20and%20the%202030%20Agenda%20-%20A%20practical%20guide%20English.pdf

UN Habitat (2001). *Building bridges between citizens and local governments to work more effectively together through participatory planning. Part I Concepts and strategies.* https://unhabitat.org/sites/default/files/download-manager-files/Building%20Bridges%20through%20Participatory%20Planning%20-%20Part%201.pdf

Van Marissing, E, Bolt, G. and Van Kempen, R. (2006) "Urban Governance and Social Cohesion: Effects of Urban Restructuring Policies in two Dutch Cities", *Cities*, Vol. 23, No. 4, pp. 279-290. https://doi.org/10.1016/j.cities.2005.11.001

Voogd, H., & Woltjer, J. (2007). From government to overnangce: Actor participation in regional planning. In G. De Roo & G. Porter (Eds.), *Fuzzy planning. The role of actors in a fuzzy governance environment*. Ashgate.

Wagle, U. (2000). The policy science of democracy: The issues of methodology and citizen participation", *Policy Sciences*, 30(2), 207-223. https://www.jstor.org/stable/4532497

Williams, G. (1999). Metropolitan governance and strategic planning: a review of experience in Manchester, Melbourne and Toronto. *Progress in Planning*, 52(1), 1-100. https://doi.org/10.1016/S0305-9006(99)90003-X

Xavier, L.Y., Jacobi, P.R., & Turra, A. (2019). Local Agenda 21: Planning for the future, changing today. *Environmental Science & Policy*, 101, 7-15. https://doi.org/10.1016/j.envsci.2019.07.006

7. Glossary

Arnstein's Ladder of Citizen Participation: The participation ladder is a conceptual model, developed by Sherry Arnstein in 1969, that describes the varying levels of stakeholder engagement in decision-making processes.

Communicative planning: an approach to urban planning that gathers stakeholders and engages them in a process to achieve levels of mutual understanding and to make decisions together in a manner that respects the positions of all involved.

Governance: Governance refers to emerging forms of public action that diverge from traditional government structures, shifting away from state sovereignty and hierarchical systems. This evolution allows for a diverse array of actors, including public, private, and civil society entities, to engage in policy formulation.

Participatory governance: the democratic mechanisms which are intended to involve citizens in public policy-making processes. It is aimed at establishing a bridge between public institutions and ordinary people, in an attempt to increase the effectiveness and responsiveness of public policy-making activities.

Public participation : any process that directly engages the public in decision-making and gives full consideration to public input in making that decision (https://www.epa.gov/international-cooperation/public-participation-guide-introduction-public-participation)

Resilience: a capacity – i.e. a positive attribute that can be built and acquired – by cities, communities, households, organisations or businesses, which comprises certain actions, such as resist, absorb, adapt, transform, change, recover and prepare, in relation to certain events (shocks, stresses, hazards, disasters) or the possibility of them taking place (risks) (OECD, 2018).

Sustainability: a balance between environmental quality, social equity, and economic prosperity.