

THE CONTRIBUTION OF STRATEGIC SPATIAL PLANNING TO THE  
ESTABLISHMENT OF DEMOCRATIC GOVERNANCE MECHANISMS:  
ANKARA STRATEGIC SPATIAL PLANNING PROCESS

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ESTABLISHMENT OF DEMOCRATIC GOVERNANCE MECHANISMS:  
ANKARA STRATEGIC SPATIAL PLANNING PROCESS**

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## **ABSTRACT**

### **THE CONTRIBUTION OF STRATEGIC SPATIAL PLANNING TO THE ESTABLISHMENT OF DEMOCRATIC GOVERNANCE MECHANISMS: ANKARA STRATEGIC SPATIAL PLANNING PROCESS**

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This thesis aims to search the contribution of strategic spatial planning to the establishment of democratic governance structures. Within this aim; it discusses strategic spatial planning with respect to its procedural and organizational characteristics and the notion of governance with respect to the issue of participatory democracy. Additionally; it argues that strategic spatial planning includes some conditions including that enhance the development of democratic governance. In doing these; it both covers a theoretical framework and a case study. In the theoretical framework; it encompasses the traditional and contemporary planning approaches in a comparative way and it studies the circumstances that have triggered the emergence of contemporary planning approaches by concentrating on the notions of democracy, participation and dialogue. The theoretical part also discusses the democracy models with respect to different participation patterns, the characteristics of strategic planning and different models of governance. Within these issues; on the theoretical ground, the study presents the components of strategic spatial planning, participation, dialogue and action which enhance the emergence of democratic governance mechanisms. In the case study part; Ankara Strategic Spatial Planning Experience is presented by an insider's point of view by extracting the theory from within the practice. The case study assesses each phase of the planning process within a consideration of the notions of participation, dialogue and action and in the context of organizational structure, dialogical process and action plans. In addition to

all; this study embraces action research approach since it has been the research methodology implemented in the case which has fostered the formation of democratic governance mechanisms.

The study assesses strategic spatial planning as an interactive approach which challenges participatory democracy while contributing to the emerging governance structures in space. The theoretical research and the case study analysis shows that strategic spatial planning approach enhances the establishment of democratic organizational structures, dialogical processes and inter-institutional relations. Also, the application of a strategic spatial planning approach in Ankara Strategic Spatial Planning Process has triggered cooperation among different governmental and sectoral levels and different spatial scales. Additionally, it has reinforced the construction of social and political capacities of stakeholders. The participatory practice that strategic spatial planning has yielded has had an integrative effect for the organizational structure in space. In conclusion, as the result of broad participation and establishment of dialogical processes, Ankara strategic spatial planning process served as an integrating device for the development of inter-sectoral and inter-institutional relations within dialogue and collaboration among actors. Thereby, as a result of the theoretical research and the case study it is concluded that strategic spatial planning approaches are likely to foster the establishment of democratic governance structures. However; there are some local circumstances that may affect the strategic spatial planning processes to develop an effective organizational structure. The local circumstances including lack of participation culture, active citizenry, the bureaucratic structure, the existing political structure in the locality are some significant factors that affect the process. Hence; this thesis argues that strategic spatial planning processes embrace prominent conditions including; participation, dialogue and action that have an important affect on the formation of democratic governance structures. Nevertheless, the local circumstances have an important weight on the process and its expected results.

Keywords: Strategic spatial planning, Governance, Participation, Dialogue, Action

## ÖZ

### **STRATEJİK MEKANSAL PLANLAMAININ DEMOKRATİK YÖNETİŞİM MEKANİZMALARININ OLUŞUMUNA KATKISI: ANKARA STRATEJİK MEKANSAL PLANLAMA DENEYİMİ**

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Bu çalışma; stratejik mekansal planlama yaklaşımlarının demokratik yönetim mekanizmalarına katkısını ortaya koymayı amaçlamaktadır. Bu kapsamda; süreçsel ve organizasyonel özelliklerini göz önünde bulundurarak stratejik mekansal planlamayı ve katılımcı demokrasiye vurgu yaparak yönetim konusunu ele almaktadır. Stratejik planlama süreçlerindeki, demokratik yönetim mekanizmalarının oluşmasına imkan veren koşulları irdelemektedir. Bunları yaparken; çalışma hem teorik çerçeveyi hem de bir örnek planlama çalışmasını incelemektedir. Teorik çerçevede çağdaş ve geleneksel planlama yaklaşımları karşılaştırmalı olarak ele alınmakta, çağdaş planlama yaklaşımlarının ortaya çıkmasını tetikleyen şartlar; demokrasi, katılım ve diyalog gibi kavramlara vurgu yapılarak anlatılmaktadır. Farklı katılım örüntülerine ilişkin demokrasi modelleri; stratejik planlama ve yönetim konuları kapsamında tartışılmaktadır. Aynı zamanda; farklı yönetim modelleri ele alınmaktadır. Bütün bu tartışılan konular ışığında; çalışma, stratejik planlamanın katılım, diyalog ve eylem gibi bileşenlerine teorik bir çerçeve sunmaktadır. Örnek planlama çalışmasında ise; Ankara Stratejik Planlama Deneyimi çalışmaya dahil olan bir araştırmacının bakış açısından yararlanılarak sunulmaktadır. Bu örnek çalışmada; planlama sürecindeki her evre, demokratik yönetim mekanizmalarının oluşumunu destekleyen koşullar ve oluşan katılımcı organizasyonel yapılar kapsamında incelenmektedir. Sonuç olarak; örnek çalışma planlama sürecindeki her evreyi katılım, diyalog, eylem gibi kavramları göz önünde

bulundurarak örgütsel yapı, diyalog süreçleri ve eylem planları kapsamında değerlendirmektedir. Bu çalışmada ayrıca, örnek çalışmada kullanılan bir araştırma yaklaşımı olarak kullanıldığından; demokratik yönetim mekanizmalarının oluşumuna bulunduğu katkısıyla eylem araştırması yaklaşımı ele alınmaktadır.

Çalışma, stratejik mekansal planlamayı katılımcı demokrasiye ve mekanda yönetim mekanizmalarının oluşumuna katkıda bulunan etkileşimli bir planlama yaklaşımı olarak değerlendirmektedir. Ankara Stratejik Planlama Deneyimi araştırması bu yaklaşımın katılımcı örgütsel yapılar ve diyalog süreçlerinin oluşmasını desteklediğini ve kurumlararası ilişkilerin ortaya çıkmasına katkıda bulunduğunu göstermektedir. Aynı zamanda stratejik planlama yaklaşımının izlenmiş olması çeşitli yönetim organları ve sektörel düzeyler arasında diyalog ve işbirliğinin oluşmasını sağlamıştır. Buna ek olarak; ildeki paydaşların sosyal ve politik kapasite inşa süreçlerini güçlendirmiştir. Stratejik planlamanın yol verdiği katılım pratiği; mekandaki örgütsel yapı için birleştirici bir etkiye sahip olmuştur. Sonuç olarak; süreçte elde edilen geniş katılım ve diyalog pratiğiyle, Ankara Stratejik Planlama süreci; sektörlerarası ve kurumlararası ilişkilerinin diyalog ve işbirliği içinde gelişmesi için birleştirici bir araç olmuştur. Böylece, teorik araştırmanın ve örnek çalışmanın sonucunda stratejik mekansal planlama yaklaşımının büyük oranda demokratik yönetim yapılarının oluşmasını desteklediği çıkarılabilir. Ancak; bazı yerel etmenler stratejik planlama pratiklerinde etkin bir örgütsel yapı oluşumunu etkilemektedir. Katılım kültürü yoksunluğu, aktif yurttaş bilincinin eksikliği, yerelliğin bürokratik ve mevcut politik yapısı stratejik planlama sürecini bu anlamda etkileyen bazı yerel koşullardandır. Bu yüzden, bu tezde stratejik planlamanın katılım, diyalog ve eylem gibi demokratik yönetim yapılarının oluşumunda önem taşıyan koşulları barındırdığı ve bununla birlikte; yerel koşulların sürecin yürütülmesinde ve demokratik örgütsel yapıların oluşması açısından beklenen sonuçlarda önemli bir etkisi vardır.

Anahtar Kelimeler: Stratejik Mekansal Planlama, Yönetişim, Katılım, Diyalog, Eylem

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## LIST OF ABBREVIATIONS

AIOI	Ankara İl Özel İdaresi
ASPA	Ankara Special Provincial Administration
ASPO	Ankara Special Provincial Administration Strategic Spatial Planning Office
METU	Middle East Technical University
NGO	Non-governmental organization
TEPAV	Economic Policy Research Foundation of Turkey
TESEV	Turkish Economic and Social Studies Foundation
TÜSSİDE	Turkish Institute For Industrial Management

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## **CHAPTER 1**

### **INTRODUCTION**

#### **1.1. Scope Of The Thesis**

This thesis builds a relation between the issues of strategic spatial planning and governance. The scope of this study covers strategic spatial planning, emphasizing its procedural and organizational characteristics; and governance stressing the issue of participatory democracy. It highlights the issues about the capacity of strategic spatial planning in developing democratic governance structures.

The study establishes the theoretical framework of strategic spatial planning within a discussion of the communicative planning approach, the emergence of strategic spatial planning and its various characteristics, the issue of governance. It focuses on the conditions enhancing the democratic governance mechanisms in strategic spatial planning and with the elaboration of a strategic planning case, it examines how the three conditions, including full participation, dialogical process and the action, appeared in the case and enhanced what kind of an organizational structure.

In the theoretical part, it focuses on the circumstances fostering the development of contemporary planning approaches including the emergence of communicative planning approach. In the last 40 years, the change in the understanding of knowledge, the enrichment in the notion of democracy, participation and civil rights had a great influence in the approach changes in planning. Within this context; how the way the knowledge is approached has been changed is examined. Before the 1960s, knowledge was considered only within a context of rational and scientific thinking, the problem-solving was reflected just as an activity of scientific reasoning but after the late 1960s; collective reasoning and concerns of the society



were valued in knowledge generation and problem solving. In addition to the emergence of a different understanding of knowledge, the changing understanding of democracy and the urban management had been discussed as another factor affecting the development of contemporary planning approaches. The representative conception of democracy was no more eligible for the new world order in which a multi-power structure including interests of public, private institutions and civil society was prevalent. Parallel to this development, decision-making models have undergone a significant change. The top-down decision-making structures of the past have been replaced by the horizontal organizational structures. By such a change not only the government and central government institutions became active in policy making and implementation but other actors also became involved in those processes. The necessity of making a conception of democracy and urban management led to the need to define the shift from “government” to “governance” in urban management models.

Consequently; in this study the changes in the understanding of knowledge generation as the essence of decision making and shifts in democracy models have been mentioned to explain the circumstances leading to the development of contemporary approaches. Within such a structure; the study emphasized the notions of participation, participatory democracy instead of representative democracy and governance instead of the dominance of the government in decision-making.

The term “governance” that implies horizontal relationships in public-policy making have become an important term in urban planning. This term has gained importance in urban policy-making due to the formation of different settlement patterns which build different kinds of relations between each other. The new set of challenges and new tendencies in planning have required new ways of understanding the institutional design of governance. Different relations among localities necessitated an integrated urban management approach emphasizing concepts including democracy, active citizenship, full participation of local actors, democratic dialogue as fundamental elements of decision – making processes.

The issue of democracy and different models of it have been discussed very widely in today's systems of government and urban administration. The representative democracy has remained deficient in regarding the needs of various political and social groups and in responding to the diverse needs of the society (Pateman, 1970). The demands of citizens were not reflected in this democracy model based on a majority ruling. Thus, the emergence and practice of models of democracy focusing on citizen and civil society participation became necessary. The development of theories about democracy in consideration with different patterns of participation triggered the growth of the democratic planning approaches (Ataöv, 2007).

The application of participatory democracy in planning stimulated the discussion of notions such as full participation, active citizenry, collaboration, dialogue (Ataöv, 2007) In addition, governance and the provision of governance structures in terms of democracy are subjects discussed very recently by the planning theorists (Albrechts et al, 2003, Fischer, 2006 Healey, 2004). They emphasize notions of democracy within the discussion of governance. Related to such a contemporary area of research, this thesis concentrate on the notions such as democracy, participation, dialogue and governance.

With the search for more democratic models in policy making, governance models have been criticized for its enabling capacity for participatory democracy. Different governance models have been set in terms of the power relations they encourage. Although governance has been regarded as the horizontal relation among actors, the kind of relation can differ according to the dominant actors that affect the decision-making structures. Thus, all types of governance may not show a democratic structure. The way the horizontal interactions is built can make difference in the constitution of different governance structures. While the consideration of the whole range of actors, regarding their full participation in decision-making can lead to a democratic one, a decision-making structure considering the ideas of top-level administrators can trigger another kind. Governance types such as corporatist governance, democratic governance and clientelist governance can be considered related to the constitution of different horizontal relations among actors

(Healey,1997). Thus, in the study these notions are investigated in terms of democratic relation-building. The tendency for inclusionary argumentation and pluralist decision-making seeks to change the clientelist relations and entrepreneurial approach to democratic forms of governance.

On the one side the communicative approach in planning gained importance and on the other hand, the need for new organizational mechanisms favouring horizontal relationships and a democratic milieu in space has been discovered. These tendencies provoked theorists to investigate the relation between the communicative planning approaches and democratic horizontal decision-making processes. Links among communicative planning and processes of governance has been built. The communicative approach has been regarded as a premise in the development of governance structures (Healey 1997, Albrechts 2005). Following such an argument, the study elaborated the development of the communicative approach in planning and the strategic spatial planning used as an effective tool to track a communicative approach.

In the 1960s, the understanding of planning as an art was replaced by a view regarding planning as a scientific discipline. During the 1970s, planning theorists criticized deficiencies of traditional planning approaches more deeply and questioned the role of science and instrumental reason in planning. They realised the importance of common concerns of society and the need for the reflection of them in knowledge generation as well as pure technical reasoning. Thus, collective knowledge generation with pluralistic policy approaches entered into the planning agenda. Followingly; planning approaches such as participatory planning, collaborative planning, deliberative planning and appropriate planning models such as strategic spatial planning following the elements of contemporary planning approaches became recent issues debated in the planning discipline. The investigation of ways of enabling democratic reasoning, enabling horizontal relations among actors; through communicative processes in planning became one of the main concerns in planning Following these developments, in the 1980s and

1990s, communicative planning theory came to prominence which viewed planning as an exercise in “communicative action”.

The discourse on democracy and the ideal of democratic and participatory planning involving all interested groups became one of the main issues in planning theory and practice. Planning theorists started to explore the possibilities for extending participatory democracy via communication and dialogue.

Strategic spatial planning; with its contextual, procedural and organizational characteristics, has presented the proper conditions for the enhancement of conditions of participatory democracy allowing collective knowledge generation, a participatory organizational structure allowing dialogical processes.

Strategic spatial planning came out as an approach that deals with the contemporary challenges including, economic competitiveness, the environmental agenda regarding sustainability and issues related to the institutional reorganization; such as search for more democratic policy-making mechanisms, more integrated governance systems. This thesis will focus on the relation of strategic spatial planning with the institutional organization in favour of democracy and dialogue among actors. It will refer to the contextual and procedural characteristics of strategic spatial planning enhancing the development of democratic organizational structures and in space. Developing dialogue and fostering participation, strategic spatial planning fosters the management of planning processes involving a wide range of public and non-public stakeholders, Thereby, it contributes to the establishment of new democratic organizational structures in space. It constitutes a guideline for democratic institutional reorganizations favouring horizontal relations and collaboration since it covers the organizational processes considering the horizontal interaction of all relevant stakeholders (Healey, 1997). In terms of democracy and the constitution of horizontal relations among actors, it introduces new potentials for the creation of democratic decision making milieus, interaction, dialogue and collaboration among stakeholders. It allows the participation of various interests in decision-making and the formation of inter-institutional relations seeking multi-sectorial development of a locality. It triggers cooperation

among different governmental and sectoral levels and different spatial scales. In addition to its participatory and dialogical character, it presents an emphasis on action necessitating the commitment of the actors and generation of actionable knowledge. In line with all these these debates, the study argues that strategic spatial planning enhances the establishment of democratic governance structures.

## **1.2. Aim of the Thesis**

This study asserts that strategic spatial planning enhances participation, dialogue and action; all constituting the conditions contributing the establishment of democratic governance structures. In parallel with such an assertion, it aims to demonstrate how strategic spatial planning with its institution building capacity contributes to the constitution of democratic governance structures in space. The study deals with strategic spatial planning and its capacity to build governance structures in space, touching on issues of strategic spatial planning, participatory democracy and governance. It assesses strategic spatial planning as an interactive approach which challenges participatory democracy while contributing to the emerging governance structures in space.

This thesis argues that the participatory approach that strategic spatial planning processes embrace can foster democratic governance mechanisms. The study aims to explain how strategic planning can enhance active participation, process design and action, and this, in turn, can help form democratic governance mechanisms. This claims that collaboration activity in the strategic spatial planning processes requires the development of a governance capacity that can respond to the new demands of representative democracy.

In recent years, there has been an increasing emphasis on the institutional processes on strategic spatial planning. Planning theorists (Albrechts 2001a, Healey 1997, Innes 1995) debate new inter-institutional relations that strategic spatial planning processes refer to. Additionally, there has been an increasing interest in bridging the issues of governance and strategic spatial planning (Albrechts, Healey, Kunzmann,

2003). To sum up, discussions on strategic planning processes have brought up some common issues such as a need for democratic institutional dynamics in localities and the emphasis on a more negotiative form of planning with respect to new governance structures (Healey, 2001a). This study examines the relation between strategic spatial planning and democratic governance by elaborating the organizational characteristics of strategic spatial planning and its capacity to create the conditions fostering the creation of democratic participatory settings. To do this, it applies to a strategic spatial planning case in addition to the theoretical debates.

In summary, the purpose of the study is to demonstrate in what ways the strategic spatial planning process contributes to the formation of the democratic governance structures in space. It pursues the assumption that the establishment of conditions of participation, dialogue and action are absolutely essential in the constitution of democratic milieu. In addition to such an assertion, it argues that strategic spatial planning approach favours the establishment of these conditions and contributes to the establishment of organizational structure of space in favour of democratic governance schemes. It aims to explore the contribution of strategic spatial planning to democratic governance by both making a theoretical research and elaboration of the Ankara Strategic Spatial Planning case. By integrating the results of the theoretical and practical inquiry, it targets to reach an argument whether strategic spatial planning enhances the establishment of democratic governance or not; and how it contributes to it. In the light of the theoretical research, it overviews the necessary conditions fostering democratic governance, and the organizational and procedural characteristics of strategic spatial planning that yields the set up these conditions. Within this framework; it studies on the case by asking two questions; 1) How far did the Ankara Strategic Spatial Planning Process encompass the conditions such as participation, dialogue and action for the constitution of democratic decision-making structures to achieve the establishment of a governance system? and 2) How much did the institutional capacity enhance participatory democracy and which characteristics of the process enabled the constitution of a participatory realm? The sample process has been reviewed around the purpose of finding the answers of these questions.

### **1.3. Outline**

Within an aim to the relation of strategic spatial planning to the establishment of democratic governance structures, the thesis has been composed of two main parts. The first part (Chapters 2, 3) draws a theoretical framework about the relation of strategic spatial planning to democratic governance. In line with this, this part focuses on the issues of participatory democracy, governance and procedural/organizational characteristics contributing to the notions of democracy and governance. The second part of the study comprising chapter 5, exemplifies the Ankara Strategic Spatial Planning case and searches the presence of the inputs of the theoretical research in the case. The chapter 4 constitutes a transition from the theoretical debates to the case. It presents both the methodology followed in the establishment of the thesis and the methodology carried out in the process of Ankara Strategic Spatial Planning. Since the implementation of an action research approach has established a very essential frame to follow a democratic route, the theoretical frame of action research has been also examined.

To present what each chapter has included, the scope of each chapter will be summarized. The second chapter following the introduction; suggests the circumstances leading to the emergence of strategic spatial planning. It presents three factors that have been effectful in the development of strategic spatial planning. It argues that the changing approach to scientific knowledge, the shift in the approach of democracy from the representative democracy to the participatory democracy and the need of change in administration models from the top-down relations in the patronage of the governments to the horizontal decision-making structures in the form of governance; had led to the emergence of the conditions necessary for the arise of new planning approaches. Following such a context, it studies the communicative approach in planning which has been the basic approach to strategic spatial planning. Within a description of communicative approach in planning, it explains the notions of democracy and governance. It explains the way the planning theorists have built a link between communicative planning and, democracy and governance. In line with this, the interrelation between democracy

and participation has been put forward and different models of democracy encompassing representative, participatory and deliberative democracy has been summarized. Moreover; different conceptions of governance and different models of governance such as, clientelistic mode of governance, the corporatist mode of governance and democratic modes of governance have been examined.

The third chapter examines strategic spatial planning through its procedural and organizational characteristics and its capacity to contribute to democratic governance. It explains the conditions enhancing democratic governance by going in depth the notions of participation, dialogue and action. Furthermore, it studies strategic spatial planning in the Turkish context by exploring the history of democratic participatory planning and the regulations and legal acts promoting democratic planning. Having finished the theoretical framework of strategic spatial planning; the fourth chapter provides information about the methodology conducted in the construction of the thesis and the methodology followed in the establishment of Ankara Strategic Spatial Planning Case. The action research approach has been introduced with respect to its capacity to assist the establishment of conditions for democratic governance. Thereby, the notions of participation, dialogue and action has been once more analyzed under the clarification of action research.

Chapter 5 and 6 provide an indepth research on Ankara Strategic Spatial Planing Case. Chapter 5 introduces Ankara Strategic Spatial Planning Process with its main features and the challenging issues to examine in the process. Chapter 6 seeks to understand the system of governance in Ankara Strategic Planning Case by the further examination of the case with respect to the establishment of conditions promoting a governance mechanism and with respect to the organizational mechanisms established in each phase of the process. Consequently, this chapter considers each phase of the process by studying the notions of participation, dialogue and action in each phase. Moreover, it systematically presents the organizational structure, the dialogical process and the action taken in each phase. The last chapter of the study provides a conclusion and summary of the whole study. It comments on from which aspects Ankara Strategic Planning Case has



accommodated the establishment of the conditions of democratic governance. It presents remarks about strategic spatial planning by the synthesis of the theoretical research and the case study.

## **CHAPTER 2**

### **THE EMERGENCE OF STRATEGIC PLANNING**

For the last twenty years, the traditional planning approaches have become insufficient due to the transformations the world has encountered. In the 1970's and the 1980's problems became evident due to the fact that new political forms and economic relations became dominant in cities. The scales of physical, economic and social problems with which the cities face in the new circumstances necessitated the reformulation of values that should regulate urban life, the type of knowledge constituting a basis for urban research and concepts such as democracy and civic identity that are central to urban life. Consequently, the changes in the organization of society and economic activity have questioned the modernist view in planning. This has arisen due to the inadequacy of the conventional planning approaches of the modernist thought. To respond to the new challenges, and thus, it is replaced by the new planning approaches of the post-modernist thought (Beauregard, 1989). In the era of post-modernist thought, taking the social inquiry and the human experiences and values into consideration, the contemporary planning approaches have triggered the introduction of a democratic perspective into the planning. In line with these developments, strategic spatial planning emerged as a mode of planning that strongly pursues a communicative approach.

#### **2.1. The Circumstances Leading To Contemporary Planning Approaches**

In the last 40 years, the world witnessed significant transformations. Some of these changes have been very influential in the emergence of different approaches in the planning discipline. The change in the way the scientific knowledge is approached and the way it is anticipated has been one of the main breaks that caused a change in the planning approaches. Additionally, the change in the understanding of

concepts such as democracy, civic and human rights have constituted a cornerstone in the transformation of planning approaches. Furthermore, the shift in the need for the change in urban management models has been an essential factor leading to shift in planning thought. This assists horizontal decision-making rather than the hierarchical type of decision making of the early administrative patterns,. This change in the administrative structure of urban policy making signifies the shift from “government” to “governance”.

To sum up, the three factors that are important for the planning discipline embraces the change in the perception of the scientific knowledge, the change in the understanding of democracy, and following these the change in the public decision-making order, which can be also regarded as the shift from government model to governance, These have been essential in the emergence of new planning approaches comprising the development of strategic spatial planning.

### **2.1.1. Different Approaches to Scientific Knowledge: The Post-Modernist Thought versus Modernist Thought**

The first change that triggered the emergence of new planning approaches can be referred to the change in the conception of scientific knowledge. To begin with, there are two prominent periods in which approaches to scientific knowledge differ. The perception of knowledge in these two periods, very simply, distinct in terms of the way people have described and explained the reality. The theorists call these two periods of thought, in very general terms, as “modernism” and “post-modernism” in which different approaches to planning, with respect to understanding and reasoning, have been prevalent (Taylor, 1998).

The modernist faith in reason and science goes back to the eighteenth century, having its routes in the “European Enlightenment”. Starting from that period, science was regarded as the main activity that saved humanity from the enclosure of unknowns. A climate of thought including both the components of humanity and science became prevalent. Conceptions highlighting the value of humanity such as

democracy, rights of individuals were significantly shaped in this period. This period has been accepted as the period of intellectual movement and frequently referred to the project of modernity which regards human beings as capable of creating a better world through reason and science (Healey, 1997). The idea of modernity affirmed the power of human beings to create, improve, and reshape their environment, with the aid of scientific knowledge (Taylor, 1998).

In the modernist period, the key source of problem solving was seen as scientific knowledge and instrumental rationality. Scientific knowledge was regarded as a key for identifying the problems and predicting future possibilities (Taylor, 1998). However, in the late 1960s, a significant change has occurred in the Western thought. The period, which this change took place, is called “post-modernism”. The philosophical and social scientific inquiry of this thought explored alternative conceptions of ontology, epistemology and social order. Thus, the emergence of such an understanding has affected disciplines in various ways, and so has the planning.

The introduction of value rationality of Weber (1970) constitutes a cornerstone in the shift to the post-modernist understanding. With the value rationality, he emphasized the formation of facts in people’s consciousness, and thereby, the understanding of people’s thoughts in knowledge generation. According to him, facts and values were shaped in people’s consciousness and he claimed that they were not generated in isolation; but were created within a specific context. He argued that, the conception of different parties could define the values of the society. This perspective has placed value rationality as a clear reaction towards the status-quo and to the domination of the values of technocrats. It has brought forward the idea of multiplicity of values. Accordingly, the sort of the place in which a society wants to live in necessitated the integration of different values. This kind of an understanding requires the planning processes in which definition of values and images of what a society wants should be considered. Before Weber, actually Mannheim(1940) had also introduced ideas about the necessity of having the people’s perception in shaping the society. Thus, the Weberian understanding

and precedingly the thoughts of Mannheim(1940) have both constituted the basis for the post-modernist understanding (Albrechts, 2003).

In line with Mannheim and Weber who emphasized the importance of values and diversity in the generation of knowledge, in the 1980s, Habermas brought forward the theory of communicative rationality. He investigated the ways of expanding the basis of reasoning and provided criteria for a democratic reasoning process based on communicative processes. Consequently, with the introduction of communicative rationality in the 1980s, the instrumental rationalism of the preceding period was replaced by communicative rationalism. This, in turn, replaced the modernist approach of knowledge with the post-modernist way of reasoning.

In summary, in the period following the 1960s, the post-modernist era of thought dominated the field of science. Thus, in many fields including planning, the instrumental approach was replaced by the communicative approach. Consequently, a different understanding dominated the scientific field since these two approaches focus different aspects of knowledge. While the instrumental rationality seeks the “whats”, the communicative approach explores the “hows” and “whys.” It was considered to focus on the most efficient or cost-effective means to achieve a specific end. However, the post-modernist thought found the instrumental rationality inadequate. It claimed that instrumental rationality is contrasted with forms of rationality concerned with improving the human condition by focusing “the ends”. It argued that rather than pursuing a route of technical knowledge to achieve a solution, the ideas and values of individuals are important and not only “the ends” matters but also the processes that embrace interactions and encounter of values. With respect to all these, as a result, the post-modernist approach favoured another type of rationality; “the communicative rationality.”

### **2.1.2. The Changing Understanding of Democracy**

The second important change, that also triggered a change in the way planning was thought, relates to the notion of democracy. The inadequate possibilities of the

mode of representative democracy initiated the need for exploring the possibilities that other modes of democracy could offer in the planning practice.

The representative democracy does not present solutions to the problems of the contemporary society since it lacks political equality (Carter and Stokes, 2002). The representative democracy assumes that the representative, which is elected by the votes of citizen, can think, give decisions and make policies instead of the citizen. This kind of an understanding of democracy remains insufficient to respond various social choices. Moreover, it considers citizens as passive actors (Philips 1995 in Sitembölükbaşı). However, citizens of contemporary communities have been in demand to be involved in the processes which are likely to affect their future (Elster, 1993). According to the representative democracy model, democracy is understood as the selection of the political leaders by the individuals' votes (Carter and Stokes, 2002). Nevertheless, only voting does not provide a direct link between what people want and about the decisions arrived (Warren, 2002).

Consequently, the representative model of liberal democracy constituted a closed system for direct influence on decisions and it becomes insufficient to meet the needs of communities and the political and social system. Moreover, democracy is composed of two complementary ideas; one of them is the equal distribution of power and the other is equal distribution of participation to make collective arguments. Relying on such an argument, not only voting but also notions such as communication, dialogue, argument, deliberation becomes central to the issue of democracy (Warren, 2002). Thus, new democracy models embracing these concepts and promoting the equal participation of different parties evolved.

Deliberative democracy, relying on political equality has emerged as a response to the problems of representative democracy. The theory of deliberative democracy encompasses public dialogue and debate in political decision-making, therefore brings a new understanding of democracy emphasizing the concepts of citizenship and participation. According to this model of democracy, the citizenship is not perceived as casting vote in elections. On the contrary, this model favours

citizenship ideal in which citizens are regarded responsible from public policy making and become a part of in policy making by active participation (Carter and Stokes, 2002). Compared to the representative model of democracy, deliberative democracy promotes an institutional structure of open dialogue in which different interests are capable of argument on their own view and bringing up reasonable solutions. All these circumstances has triggered the development of planning approaches that are responsive to the contemporary models of democracy.

### **2.1.3. The Need For A Change in Urban Management Models: The Shift From Government to Governance**

The idea that democracy is legitimate when it is participatory, pluralist and deliberative also triggered a change in the field of public administration. The modern understanding of democracy beginning with Foucault rather considers the general functioning of governments related to the studies of “governmentality”. In this kind of view, the citizenship right and concepts of direct participation was limited. However, the following democracy theories brought a deeper understanding to citizenship rights. The recognized importance of citizenship rights and the notion of active citizenship have reinforced new participatory policy making structures. Unlike the representative democracy, the contemporary democracy models favours the participation of various actors in urban policy making in addition to the state. Consequently, governance emerges as a more flexible government system dealing with problems and promoting a more decentralized decision-making mechanism including citizen engagement. Due to the developments in the thought of democracy, the hierarchical and top-down approach in decision-making structures as well as in the management of public affairs were no more eligible. Besides,, the idea of governance that necessiates horizontal relations became prominent in urban administrative systems (Tekeli, 2002).

The circumstances leading to the emergence of contemporary planning approaches, encompassing the development of strategic spatial planning, are diversified. To be exact, the emergence of contemporary planning approaches are in close relation

with the changing understandings of the knowledge, notion of democracy and efficient administrative structures.

To conclude, in the contemporary era, the changes in the type of knowledge have occurred that the scientific knowledge is no more self-sufficient but it necessitates the knowledge created as a result of human relations. Planning is no more regarded as an activity resulted from scientific knowledge but it appears now as the association of the scientific knowledge and human insight and perception. In addition, the rise of the participatory democracy responsive to various social choices, enabling public deliberation in policy making processes became influential. It emerged as a response to representative democracy which have been unresponsive to plurality and direct participation of various parties. Emphasizing equal distribution of power, participatory democracy also reinforced the growing importance of horizontal relations instead of the hierarchical decision-making in policy-making. Additionally, the process of globalisation, reinforced fundamental changes in the spatial structure of urban areas, in which various localities are in close relation and in economic, socio-cultural and political interactions. This necessitated an integrative urban management structure, Consequently, the governance structures in urban management models became prevalent. With respect to all these factors, the traditional planning approach has encountered an irresistible transformation. All these changes gave way to the emergence of planning approaches which respond to these developments and foster the establishment of structures favouring human knowledge, participatory democracy and horizontal relations among actors (Tekeli, 2002).

## **2.2. The Development of the Communicative Approach in Planning**

Planning discipline has undergone various changes up to today, mainly with respect to the changing circumstances mentioned previously. The previous section discussed the changes in the planning discipline after the 1960s. However, since the beginning from the second world war, there has been significant changes in the planning field.



During the twenty years following the Second World War, planning was considered as an exercise in physical design. Until the 1960s, it was perceived as an art. Nevertheless, in the 1960s, the comprehensive rationality dominated the planning field. This planning approach argued that following a multi-dimensional and comprehensive analysis, the plans should predict the future form of the city in the following twenty year period. In the modernist era, such a comprehensive approach had relied on scientific findings. However, in the late 1960s and throughout the 1970s, planning theorists started to discuss the deficiencies of comprehensive rational planning. They stated that this kind of comprehensiveness in planning was overdetermining. They stated that the traditional planning approach that was based on rationality and comprehensiveness remained insufficient for a couple of reasons. Firstly, the future of the city was being planned in a very rigid way, underestimating the possible changes that can occur; thus being inflexible. That kind of planning has not adequately respond to today's world made of volatile circumstances, that has been also referred to the process of globalisation, such as social, economic imbalances and changes in socio-economic patterns. Secondly, the rational model disregarded how plans and policies were implemented (Taylor, 1998). This lacked the action side of planning. Consequently, in the 1970s, the issue of implementation in planning became a prominent issue. Thirdly, the comprehensive-rational type of planning considered the plan as the product of the most-powerful and the planning process as a hierarchical one. It applied a top-down approach, and thus, disregarded the voices of different groups and horizontal relations in society (Tekeli, 2002). Thus it remained anti-democratic. As a basic idea, the classical conception on planning, based upon mainly "instrumental rationality", has become problematic under the changing conceptions of democracy. Following these, in the 1970s, planning theorists, more specifically, started questioning the role of science and instrumental reason in the Western thought. Followingly the different approaches to rationality in the 1970s. planning theorists argued for a more interactive and a participation enabling approach to planning (Healey, 1997).

With the introduction of substantive rationality of Mannheim (1940) and the value rationality of Weber (1970), the concern of planning shifted from a concern of the

content of planning to a concern of “how to plan”. Consequently, the necessity to counteract the pure instrumental planning became more evident. In the US and in the Western Europe, the discussions of appropriate planning processes considering the model of a pluralistic polity became common (Healey, 1997).

The different approaches of Mannheim and Weber with respect to rationality constituted the roots of a pluralist approach in planning. However, following these theorists, two other philosophers have a very important impact on the emergence of dialogue-centered approaches in planning.

The first is, Anthony Giddens, drawing on the Marxist & Weberian tradition in sociology, who offers a social theory that helps to interpret individual ways of being in the context of social constraints, through a theory of structuration. Following his ideas, a sociological conception of space replaced the geographical conception of space. Consequently, his ideas have yielded an understanding in planning that considers socio-economic components of space.

The second theorist is Jurgen Habermas, whose ideas are considered as a cornerstone in the emergence of a democratic planning approach. By his introduction of communicative rationality in the 1980s, he enabled a new reference point for a new planning approach which can cope with the new challenges of democracy. Following the ideas of Habermas, in the 1980s, theorists recognised that planning requires the interpersonal skills of communication and negotiation. They have considered that a communicative process in planning would lead an efficient implementation. In the same way, a communicative theory adopted to planning was believed to assist the action-leading planning. Following these developments, in the 1980s and 1990s, a new planning theory came to prominence which viewed planning as an exercise in “communicative action” (Tekeli, 2002). The introduction of communicative theory in planning enhanced the establishment of new planning approaches taking a normative position for a participatory democracy in a pluralist society (Albrechts, 2001d). Consequently, planning has started to be seen as an activity which allows deliberation in a world of composed of very diverse interests,

who could manage their common affairs in participatory environments (Tekeli, 2002).

To conclude, till the early 1970s, the modernist thought of science dominated the field of planning which lacks a pluralist and democratic approach. However, in the early 1970s, the post-modernist thought started to dominate the planning field; stating that the modernist approach is open to criticisms since rational approach is not the best way to reach the reality. It claims that the world is more complex than it has been considered in the modernist era. Consequently, it emphasizes complexity, diversity, difference and pluralism whereas modernism thinks of simplicity, disregarding diversity, difference and pluralism. Thus, the post-modernist thought perceives knowledge differently than the modernist thought. It considers knowledge as the compromise among different subjectivities. This kind of understanding enables both the existence of knowledge and the freedom of possible choice (Taylor, 1998).

Consequently, the planning approaches following a post-modernist view, not only considers scientific inquiry but also social inquiry regarding the human experience and values. In the 1980s and the 1990s, in line with the communicative theory of Habermas, plan-making is seen as a more democratic activity, which values the participation of various actors and allows dialogue and communication among them. Additionally, the idea of hierarchical, top-down approach in plan-making was replaced by the horizontal way of plan-making considering the deliberation of various actors. A planning view became dominant in which, plan-making processes embrace knowledge actively generated through social interaction, instead of a planning view being dominated by technical experts and politicians. In summary, as a result of all these, a deliberative and collaborative planning approach that values communicative rationality has become prominent in planning and traditional planning approaches deficient to respond to democracy were replaced by the contemporary ones.

### **2.2.1. The Communicative Planning As An Issue Of Democracy & Governance**

Contemporarily, the planning theorists have been interested in the relation between communicative planning and the issues of democracy and governance. Many theorists (e.g., Alexander, 1986; Fischer, 2006; Forester, 1999; Healey, 1997) explore the possibilities for extending democracy and participation via the principles of communicative approach. Alexander (2001) and Forester(1999) investigate the relation between communicative planning and democracy. They value the use of deliberative reasoning in collective decision-making and argue that the communicative planning builds a link between deliberative democracy practices and planning (Salet and Faludi, 1999). Furthermore, in the last decade; the link between communicative planning and processes of governance has been intensively searched. Healey (1997) considers the communicative planning approach as a premise in the development of the notion of democratic governance. She discusses communicative planning as an implication for developing governance capacity. She argues that communicative planning theory provides a normative approach to the design of interactive governance processes. She states:

Habermas frames his ideas on new forms of governance within a dualistic conception of social evolution as proceeding through the interaction between social life, and the world of bureaucratic and the scientific-technical systems... The ambition of communicative planning theory is to contribute to transforming governance cultures, by providing concepts, critical criteria and examples of open and participative governance through which conceptions of place qualities can be articulated, debated, disseminated and used to focus and inform new initiatives and responses to change (Healey 1999, 117).

With respect to the Habermas' theory of communicative action to planning, Healey states that communicative planning enhanced the emergence of democratic governance practices. According to Healey, communicative planning theory provides suggestions for the design of interactive governance practices in which

collaboration among actors are encouraged, social learning is improved and institutional capital is reformed (Healey, 1999).

With the evolution of the communicative approach in planning, planning have become an activity that creates a deliberative setting in the public space (Tekeli, 2007). Thus, it has reinforced the ideal democratic decision-making in planning (Taylor, 1998). It has provided planning an ethical ground for enabling the stakeholders to express their perception of the environment they share. This contributed to the practical meaning of participatory democracy that can be raised in urban and regional space (Healey, 1997). In line with these ideas, the communicative theorists (Healey, 1997; Albrechts, 2003) argue that the new governance approach created by communicative planning practices have the potential to reduce the democratic deficit and the distance between state and other actors including the civil society, which the previous planning approaches lack (Healey, 1999). As a result, the communicative approach in planning promotes the democratization of decision-making processes and new organizational models including the implementation of concepts such as collaboration, participation, consensus-building in decision-making processes.

### **2.2.2. The Notion Of Democracy in Planning**

Having mentioned so far the relation between democracy and communicative planning, this part elaborates the notion of democracy with respect to planning. There exists different democracy models according to their focus to participation. The argumentation of these theories are important for the growth of democratic planning (Ataöv, 2007) and democratic governance platforms in planning.

Notions of democracy and participation are used very loosely, most of the time instead of each other . Whenever actors related to an issue involve in someparts of the decision-making process, the process is assessed as democratic and participatory. Democracy and participation can be used interchangeably, however they do not denote the same thing. Participation refers to the authority structure and

democracy refers to the general climate, that is created generally through the approach of the decision-maker. However, in most cases democracy is used to describe the situations of pseudo-participation (Carter and Stokes, 2002).

The interrelation between democracy and participation can be analyzed in detail by introducing the different models of democracy with respect to participation. Different democracy models exist with respect to the level of participation (Bobbio in Ataöv 2007).

The two very widely mentioned democracy models in the planning literature, with respect to the participation and collaboration of actors, are participatory democracy and deliberative democracy. In most cases, these two democracy models are appraised as variant models (Albrechts, 2003, Forester, 1999; Healey, 1997). Thus, this thesis, will use both terms. This study argues that these models are complementary to the representative model of democracy which lacks the notions such as participation, dialogue, communication, and deliberation.

In representative democracy; the elections are important to have the views of citizens. Democracy is seen as the selection of the the political leaders by the individuals' votes (Carter and Stokes, 2002). However, only voting does not provide a direct link between what people want and about the decisions arrived. But when the structure of democratic institutions is examined, they do not distribute power in the form of votes; but they attempt to guarantee a connection between distribution of power and equal participation (Warren, 2001). Warren states that democracy is composed of two complementary ideas; one of them is the equal distribution of power and the other is equal distribution of participation to make collective arguments. Relying on such an argument, not only voting but also notions such as communication, dialogue, argument, deliberation become central to the issue of democracy.

One of the most profound theorists of deliberative democracy is Jürgen Habermas. He claims that the traditional democracy models of liberal democracy had remained

inadequate in terms of political equality and social choice. Thus, the implications of traditional democracy models do not present solutions to the problems of contemporary society. The contemporary society is composed of different social groups and therefore, the ones who have an interest in any issue should be allowed to take part in public debate. Habermas indicates that the deliberative democracy is essential since it seeks for the institutionalization of the conditions of communication and dialogue (Carter and Stokes, 2002). Consequently, deliberative conception of democracy favors a process open to dialogue in which different interests are capable to argue on their own view and bring up reasonable solutions that lead to an agreement in policy making (Miller, 2002).

In addition to the model of deliberative democracy with respect to some key theorists, also the participatory model constitutes prominence since it has been mentioned by various planning theorists (Albrechts, 2003, Forester, 1999; Healey, 1997). Although in most cases, both of the democratic theories are used as variants; some theorists rely on participatory democracy while some emphasize deliberative democracy in explaining the notions of participation, negotiation, dialogue in planning.

The application of participatory democracy is discussed in various areas including planning. In a very general sense, participatory democracy points out the generation of actions and structures for citizens to take place in decision-making. Notions emphasized in participatory democracy may vary with respect to its implication areas. The most emphasized notions with respect to participatory democracy in planning are broad participation, active citizenry, collaboration, dialogue (Ataöv, 2007). In addition, governance and the provision of governance in terms of democracy are subjects discussed very recently by the planning theorists (Albrechts et al, 2003, Fischer, 2006, Healey, 2004). They emphasize direct participation within the scope of planning, as important notions in the foundation of democratic governance.

Jean Jacques Rousseau and John Stuart Mill are two important theorists of participatory democracy. According to Rousseau, participation gives citizens the chance to have a control over his environment. They state that participatory democracy enables participation of various social groups into decision-making by its principle of the equality of participation(Pateman, 1970).

### **2.2.3. The Notion Of Governance in Planning**

The development of communicative planning has a very close relation with the emergence of the notion of governance in planning. Healey (1997) states that an assertion of notion of governance in urban policy making emerged in paralel with the emergence of a communicative approach in urban planning. The contemporary understanding and practice of planning is at the interlocking of the study of dynamics of urban and regional change and the study and practice of governance (Healey,1997). In contemporary urban policy, there is a considerable emphasis on joining-up, integrating and co-ordinating policy-making efforts. Theorists dealing in the institutional aspects of planning are in search for what institutional work different levels of space including district, city, region can offer in joining-up different sectoral policies, different interests and integrating policy-agendas. Hence, the search for governance mechanisms enabling management of common affairs in space and and the co-ordination of policy-making efforts have become a common search for planning theorists (Healey et al, 2005). They have been in search for the reconstruction of a public realm within which different range of actors can debate and manage their collective concerns in as a democratic way as possible. With respect to the planning theorists' theoretical structuration of urban policy making, local planning activity becomes an effort in shaping the webs of relations through which actors take action and the actors which are affected by the actions taken. In such a context, spatial planning work could be related to deliberative governance efforts by the maintainance of public discourses about the qualities of places. Planning can be regarded as an effort to build relational links between networks of actors existing in a city or region. Planning has such a role in building the instutional capacity of a place (Fischer, 2006).



There are different definitions and conceptions about the term “governance”. According to Rhodes (1996), the term “governance” is used with very diverse meanings in the social sciences including “minimal state, corporate governance, democratic governance, new public management, good governance, and self-organized networks”. More generally, it refers to “governing without government” or more precisely “governing without too many governmental institutions” (Rhodes 1996). In a broader sense, the main activity of governance is to associate different interest groups together in public policy making and the constitution of an organizational environment in which policies for collective problems are generated with the ones who are affected from the consequences of the policies generated (Healey, 2004).

“Governance” refers to processes, ways in which power is exercised regarding notions such as openness, participation, accountability, effectiveness and coherence. One of the connotations of the term “governance” regards it as “the opportunity for problem solving through cooperation of public, private agents and civil society” (Rhodes 1996).

According to the definition of HABITAT, urban governance is “the sum of many ways individual citizens and public and private institutions plan and manage the common affairs of the city”. It is considered as a continuing process through which a wide range of interests may be accommodated and cooperative action including efforts of both formal and informal institutions can be taken (HABITAT 2001).

According to Healey, governance can be regarded as an organizational process through which political communities can address their common dilemmas about what is happening to their locality. It refers to the processes through which collective affairs are managed collectively. She states that any governance effort includes policy development and bringing of decision-makers together (Healey, 2004).

Healey (1997) defines governance as a general process, the management of collective affairs. She links strategic plan making process to governance efforts (Healey, 1997). She approaches governance relating to strategic planning. She states governance effort embraces taking strategic decisions and deciding on the key actions by organising the responsible body for that key action.

As mentioned, in the planning literature, different definitions of governance exist. Additionally, according to different types of democracy, different governance types are described. For instance, in the representative democracy model, governance is focused on the institutions of the formal government. In this model, people elect the politicians as their representatives. Thus, governments are created on interests of the people. The electeds articulate policy on the behalf of the electors. This model has been criticized since politicians cannot aggregate up all interests of electors although they come together and share ideas for policy generation. Therefore, the necessity to have governance mechanisms for sharing the task of policy formulation and carrying out the programmes with civil society has become evident. Growing interest in participatory governance models within the rising emphasis on participatory democracy took place to overcome the weakness of the governance model of liberal democracy (Healey, 1999).

In the conventional democratic practices, clientelism has been the prevalent tendency in governance systems. It involves an interactive relationship, but mainly based on the relationship between politicians and government officials. It is not open to pluralist democratic relations since it does not consider interest of social networks. Consequently, in the traditional type of planning, in legal land-use plans, governance relations used to exist as a type of interaction between different levels of government agencies can come together. In such a situation, the relationship among agencies used to be a more client-patron relationship. Furthermore, the communication has been usually between politicians, administrators, experts and applicants in the zoning master plans. This kind of relation used to foster patronage relations and clientelistic modes of governance (Healey, 1997).

The second model of governance can be considered as the corporatist model of governance. It assumes a shared-power world, but the power is shared among a few, powerful interest groups. According to this model, the public interest is recognized as primarily the interests of major business groups. This model has some deficiencies since it considers mainly a managerial approach. In this model, the range of values incorporated in the consensus is too limited compared to the interest of the whole society since it disregards the corporation of civil society.

The “inclusionary argumentation”, which Healey developed as a concept referring to the collaborative consensus building, seeks to change the clientelistic relations and entrepreneurial approach of corporatism in governance forms. The democratic governance model based on “inclusionary argumentation” as a third model of governance appears as an outcome of the deficiencies of those anti-democratic forms of governance and advocates a style which could realize the ideas of a participatory discursive democracy in a practical way (Healey, 1997).

The communicative planning theorists link the concept of democratic governance to the participatory democracy by emphasizing direct participation as a premise in the development of democratic governance. The stress of direct participation in decision-making processes has triggered developments in urban policy-making with respect to governance modes which are more sensitive to the consumers of public policy rather than the producers of policy. Thus, governance forms that are more responsive to the multiple views and social worlds of civil society have been evolved. Besides, communicative planning approach has provided implications for development of democratic governance exercises(Healey, 1999).

In addition to all these, strategic spatial planning pursuing a communicative approach, has much to offer to the establishment of conditions of democratic governance, with its emphasis on the interrelationship among actors and sectors, with its emphasis on the transformation of decisions to actions with the participation of actors. Besides, the recent rise of strategic spatial planning as a contemporary planning approach is much related to the effort for overcoming the democratic

deficit and making the agendas and nodes of delivery of governance more relevant to citizens. An important evidence for this argument has been shown as the rising interest on strategic spatial planning in the US for transferring the locus of argumentation from the arena of project permits, which involves a more clientelistic relation to the construction of policy frameworks in a more democratic pluralist way considering different interests (Albrechts et al, 2005).

In conclusion, planning in the general sense of policy analysis tradition can be seen as a style of governance. But not all types of governance are democratic, and thus, serve to diverse interests. As mentioned in the previous part, the traditional planning approaches mostly comprise clientelistic modes of governance whereas, strategic spatial planning pursuing a communicative approach, contributes to the quality of governance structures by adding further qualities, such as taking a long-term and strategic look at the direction of governance activity, drawing a long-term action plan including different actions of diverse stakeholders; interrelating different spheres of activity, different policy fields and also challenging a democratic form of governance. The contribution of strategic spatial planning to the democratization of the governance processes constitute an important point for this study since it argues that strategic planning processes have the capacity to challenge democratic form of governance. It claims that the field of strategic planning fosters the development of pluralistic democratic practices for governance. It offers a challenge for democratic governance processes since since it challenges the processes of institutional design which could promote more pluralistic, democratic forms of managing co-existence in shared places (Healey, 1997).

## **CHAPTER 3**

### **STRATEGIC SPATIAL PLANNING**

Strategic spatial planning arised as a convenient instrument for the implementation of the changes the contemporary era, including the change in approach to knowledge, the change in the notion of democracy and the necessity for a change in urban management.

Strategic spatial planning following a communicative planning approach came onto the picture in the 1980s. It is regarded as a product of increasing recognition of communicative logic in plan-making. It is a flexible type of process-based planning, which aims to foster the implementation of actions decided through horizontal relations of actors. It was introduced as a type of planning implying far-reaching changes, compared to traditional linear planning, in terms of consideration of different actors in plan-making process,. Additionally, in terms of democracy, strategic planning contains considerable emancipatory and broadly-based democratic potential since it enables participation of a wide range of actors and communication among them (Salet and Faludi, 1999).

Strategic planning responds to the deficiency of traditional land-use planning by putting emphasis by placing more importance to the process (how to plan) side of planning rather that the content. Before the introduction of the strategic spatial planning, planning was based on reaching a product. Conventional planning approaches concentrated more on the results but not how the planning process was carried out. However, strategic spatial planning defines planning as a process-based activity. In addition, it is a convenient planning approach that can respond to volatile situations. Strategic planning is regarded capable of meeting the needs of a

new era of thought as it is a flexible type of planning, performing the necessary minimum control and providing the place to be remain in a regular formation.

Having mentioned the basic notions important in the emergence of strategic spatial planning in the previous sections; in the following part, the strategic spatial planning with its various dimensions is debated. The roots of strategic planning and the emergence of it as a new discourse, various characteristics of strategic planning with the main processes it covers will be mentioned. Covering all these issues, the contribution of strategic spatial planning to the organizational structures in favour of democratic governance is emphasized.

### **3.1. The Development of Strategic Spatial Planning**

Strategic planning first emerged in the 1950's in the private sector (Kaufman and Jacobs, 1987). It came out as a need for rapidly changing and growing corporations to plan and manage their futures effectively since the future seemed to be increasingly uncertain. In the early 70's, government leaders in the US needed to adapt strategic planning to the public sector because of sudden deterioration of economic conditions as a result of the oil crisis (Bryson and Roering, 1988).

Although some theorists argue that strategic planning entered into the field of spatial planning in the 1970s in the pioneering of US, Mastop (1999) claims that the first traces in Northwestern Europe date back to the 1920s and 1930s. He links strategic spatial planning closely to the idea of the modern nation state. Some argues (Salet and Faludi, 1999) that some strategic plans had already been developed for some metropolitan areas at the regional level before the Second World War, however it became to be used in different levels widely after the 1960s (Salet and Faludi, 2000).

Beginning from the 1960s, stages of development in strategic planning can be examined in three stages. Firstly, strategic planning was defined as a separate object of research. Then, debates about the 'implementation' side of strategic planning

arose, and in the end of the 1980's new questions on the strategic planning concerning its linkage to communicative theory and its interdependence with the notions of democracy, participation and governance (Salet and Faludi, 2000).

The foothold and expansion of strategic thought first occurred in the 1960s when national governments in Europe and abroad assumed a proactive role in the construction of the welfare state. Consequently, the strategic planning became prevalent in the 1960s and in the 1970s in a number of European countries but in the eighties a retreat from strategic planning occurred as a result of the focus on the project level urban studies. The focus on a comprehensive level of planning was replaced by the growing attention to the run-down parts of cities and regions, and on land-use regulations. However, in the end of eighties with respect to the communicative planning agenda, the search for collaborative types of planning became prevalent (Albrechts, 2005). Following this, strategic planning came out as a planning approach that embraces the principles of communicative planning approach.

When strategic planning arose in planning agenda in the 1980s, there were several challenges for its revival such as the competitiveness agenda, the developing agenda of governmental reorganization and the rise of participatory democracy. The importance of economic competitiveness for the localities and environmental agenda emphasizing on sustainable resource use became one of the main concerns of the European cities (Albrechts, 2005). In addition, There was an increasing effort in the field of re-scaling in Europe. Reducing hierarchies of levels of governmental organization and at the same time building stronger institutional capacity at the regional and sub-regional levels was targeted in such a re-scaling agenda. Search for a process which involves cooperation among different governmental and sectoral levels and different spatial scales were necessary in order to adapt the conditions of the contemporary world. The need for inter-sectoral policy coordination was obvious. In addition, the erosion of representative democracy and the rise of civil society and democracy theories favoured the need for new institutional organizations, including actors other than governments, Furthermore,

notions the individuality, the differences and the notion of variety gained importance (Ergin, 2003).

All these occasions necessitated to widen the range of actors in policy-processes. The search for multiple forms of different levels of institutional organization including diverse actors constitutes an important impetus for the search for communicative and democratic planning approaches. These conditions necessitated a planning tool that the involvement and collaboration of a wide range of stakeholders implying the mutual dependency of actors. Consequently, a strategic spatial planning understanding that emphasizes dialogue among various sectors and levels became prominent (Albrechts, 2005).

Albrechts (2005) argues that the search for new institutional organizations enabling the participation of plural actors was a striking factor in the emergence of strategic spatial planning as a new discourse with an emphasis on communicative theory. The previous planning approaches with their technical-bureaucratic characteristics lack the notions of the communicative theory. They were anti-democratic, being close to dialogue and participation. They followed an elitist approach regarding the technical side of planning. They carried out a rigid fordist structure generated non-democratic circumstances (Göksu, 2006).

In summary, the circumstances of the 1980s necessitated a democratic perception in planning to which, strategic planning renewed with the notions of communicative theory, provided a response. In an environment in which the borders of localities became more permeable and open to the interference of various actors and in which the role of the state has decreased and the roles of other actors including the civil society increased; the previous planning approaches were no more sufficient. Specifically, the traditional planning approaches had got the biggest blow due to the lack of democratic notion. The new formulation of strategic planning constituted a solution to these circumstances. with respect to its characteristics enhancing democratic dialogue, participation and interaction of diverse actors, and the generation of collective action.



### **3.2. Characteristics of Strategic Spatial Planning**

In the 1990s, strategic planning, with its communicative emphasis, came out as a planning activity that responds to the circumstances of the contemporary era that proved that planning activity needs an emphasis on the interaction among different parties and the collaboration among actors. It emerged as a response to an urban management model which encompasses various interests to find solutions to problems. In this respect, strategic spatial planning, embraces diverse characteristics. The characteristics of strategic spatial planning can be grouped in three; contentwise, procedural and institutional characteristics. It embraces a broad context since it encompasses various issues including social, cultural, economical, organizational, institutional aspects of urban life. Additionally, the strategic spatial planning processes possess some procedural and organizational characteristics including processes promoting participation of various actors, deliberation of diverse interests, processes enabling action.

Since this thesis is focused on the issue of democratic governance and aims to discuss the strategic planning within the context of democratic governance, it focuses on the procedural and organizational characteristics of strategic planning rather than its contentwise characteristics.

Albrechts defines the strategic spatial planning as a 'transformative and integrative socio-spatial process through which a vision, coherent actions and means for implementation are produced that shape and frame what a place is and might become'. With this respect, he defines various characteristics of strategic planning. Driven for such a conception, the strategic planning includes the determination of visions and perspectives that the plan will follow as a basic premise and strategies related to various sectors and different levels. In doing this, it takes into account the power structures with respect to political, economic, cultural and gender issues. In the determination of the policy steps, it necessitates the analysis of strengths and weaknesses within the context of opportunities and threats by taking a critical view

of the environment. In addition it analyses problems, external trends, forces and resources available (Albrechts, 2006). Strategic spatial planning embraces such characteristics related to its content.

Strategic spatial planning exercise enables the constitution of conditions and mechanisms that relate to democracy by conducting relevant processes and procedures of collective decision making (Ataöv, 2007). Within this context; it presents some key concepts such as coalition, collaboration, participation, deliberation, process design, vision development, strategic action (Göksu, 2007). Related to the aim of this thesis, as mentioned previously, the following part of the study concentrates on the procedural and organizational characteristics of strategic spatial planning marking these concepts will be elaborated. It discusses the basic characteristics of strategic spatial planning that triggers the formation of democratic governance structures.

### **3.2.1. Procedural & Organizational Characteristics of Strategic Planning**

The emphasis of strategic planning to the process enables social, cultural interaction and change within the process. Unlike the traditional planning approaches, strategic planning does not mainly aim to have the plan as a product but it aims to achieve a process which embraces new organizational structures including a wide range of actors (Borja and Castells, 1995). The process objectives are distinctive features of strategic planning making them different from other planning approaches. Consequently, in a strategic planning exercise, it is not only the plan and policies of the plan that provides economic, social and cultural change when implemented, but also the process that have the ability to reinforcing various social impacts.

Constituting a social process, strategic spatial planning embraces various procedural characteristics. Adopting a democratic polity, it includes processes of generating new ways of understanding, ways of building consensus among actors through various organizational structures (Albrechts, 2006).

With an emphasis on procedural and organizational characteristics of strategic planning, Castells and Borja defines strategic planning as:

The strategic plan itself represents a planning process that emphasizes people's participation in shaping the goals, and seeks to achieve its goals via coordination among different players in the city—also known as “governance”—rather than the bureaucratic master plan...(Castells and Borja, 1997, p.155).

Admittedly, strategic planning possess a democratic characteristic. Involvement of different range of actors including public, private agents, actors from civil society is one of the main peculiarities of strategic plan making process. Collaboration among these various groups of actors constitute an indispensable component in strategic planning. It is the multidisciplinary and multi-sectoral character of strategic planning makes interaction and collaboration among various governmental levels and various range of actors a fundamental issue in the process (Salet and Faludi, 1999). It is necessary to gather diverse actors encompassing a wide range of multiplicity (Albrechts, 2006) since it provides a common concern such as, their locality and various aspects including social, cultural, and economic, that various actors deal with. In any collaborative decision-making process, the participation of a wide range of actors from diverse sectors calls for establishing a discursive key which enables the discussion to move from one conception to another. In strategic spatial planning, it is various issues that relates to space are considered tht attracts and also necessitates diverse range of interests. Additionally, phases such vision creation, goal formulation, strategy determination constitute prominent processes in strategic plan that motivates people to share common grounds since imagining the future of their places and thinking about it excites and evokes people (HABITAT, 1996). Consequently, strategic plan-making activity fosters participatory settings since it includes such processes of building ideas and shared agreements by enabling broad and diverse involvement of actors (Albrechts, 2005).

Being able to raise collective interest of different actors in space, strategic spatial planning enables the creation of settings that stakeholders can collaborate. These settings play an important role in initiating dialogue, building interaction between different interest groups and incorporating actors of the public sector (Healey, 1993). These arenas of dialogue foster the involvement of stakeholders in a three-dimensional power structure. They enable access of diverse sectors that complement each other. Additionally, the participatory settings allow the generation of capacity to integrate, to co-ordinate, to collaborate and to permit the discussion in an open and transparent way of shared problems (Albrechts, 2001a). They foster the establishment of a democratic decision-making structure and collective basis for policy-making (Bryson and Crosby, 1993). Van den Broeck (1996) states that the formation of participatory settings in strategic planning process contributes to the deficiency of democracy in governance structures since stakeholders coming from diverse interests reproduce organizational structures by participating into decision-making process (HABITAT, 1996). In addition, the use of forums and arenas quite possibly can make change in social relations. They are social settings in which human beings communicate, interactively discuss policy issues. They reproduce organizational and inter-organizational social relations and structures (Bryson and Crosby, 1993).

Participation takes place in all stages of planning including a wide range of activities such as decision making, implementation and monitoring of the process. Additionally, the social process of collective understanding and negotiation of values are peculiar to the participatory characteristic of strategic planning (Borja and Castells, 1995). Strategic planning aims to design social processes of collective understanding and decision-making by stimulating participation, facilitating communication (Granados, 1995).

In the strategic planning process, the necessity for coordination among actors fosters the development of horizontal relations among actors. Hence, it rejects a top-down approach, favoring interaction among different interest groups and the negotiated agreement in the process (Salet and Faludi, 1999). Rather than decisions

given by the technical experts following the ratification of the bureaucrats, strategic planning process calls for consensus among all involved stakeholders in future imagining of a city including strategic and policy formulation, action planning (Innes, 1996). Gedikli (2004) supports this idea by arguing that whereas traditional master plans are used to be carried out through a certain hierarchy in which governmental bodies have responsibilities, strategic plans are carried out in a “horizontal negotiative logic” in all phases in which various actors take responsibilities.

To conclude, strategic planning embraces distinct procedural and organizational characteristics. First of all; strategic planning is a process-based activity about joint decision-making and integrated action (Albrechts, 2006). The spatial focus of strategic planning enables the integration of agendas and actions at different levels of governance and for integrating the actors. It facilitates the democratic determination of policies by providing a context that enables citizens and elected officials to learn, discuss and decide in an informed way (Innes, 1996). Secondly, strategic planning facilitates the constitution of a common platform bringing diverse actors together since it handles the space in a comprehensive way aiming at the overall development of the community (HABITAT, 1996). Thirdly, in strategic spatial planning processes, the emergence of collective interest, has a profound impact in decision-making processes such as the constitution of organizational structures in space (Bryson and Crosby, 1993). Consequently, setting up stakeholder groups may foster a change in top-down political relations and trigger shifts in longstanding power relationships. Thus, it is very likely that the strategic planning process change clientelist relationships in favour of horizontal & democratic relations (Innes, 1996). Embracing all these characteristics, the process of strategic planning yields an increase in the quality of management of public affairs and securing social balance among different groups while addressing an increase in the quality of space (Borja and Castells, 1995).

### **3.3. Strategic Spatial Planning & Democratic Governance: Contribution of Strategic Spatial Planning to Democratic Governance Mechanisms**

With the emphasis on the process side of planning, theorists (Albrechts, Forester, Healey, Innes) became interested in the institutional aspects of planning. Thereby, they have been in a search of the relationship between institutional organization in a place and the strategic planning. As discussed above, theorists focus on various dimensions of strategic spatial planning including contextwise dimensions, procedural or organizational dimensions. However, as mentioned above; this study focused on the procedural/organizational characteristics of strategic planning, since its aim is to elaborate the contribution of strategic planning to the democratic governance mechanisms. In line with this issue, the democratic governance mechanisms and their relation to strategic planning will be explored.

The new sets of challenges in planning require new ways of understanding in the institutional design of planning. A growing interest to the organizational structures, that contribute to the practical meaning of participatory democracy, has emerged. Additionally, theorists realized that communities could address their common problems through institutional mechanisms. These circumstances, in turn, necessitated the design of democratic institutional mechanisms in planning (Healey, 1997). In the same way; the researchers started to question the relation between strategic planning and the institutional organization. For instance; Granados-Cabezas(1995) argues that strategic plans provide some benefits to institutional organization in space in terms of democracy. They foster a democratic organizational structure that favours participation and co-operation of various stakeholders. They help to overcome organizational problems and improve the functioning of various institutions (Granados-Cabezas, 1995). Additionally, Healey states that they reinforce the generation of a collaboration structure among actors in space by enhancing ways of understanding each other, building agreement and organizing activities for the development of cities and regions (Healey, 1997).

According to Albrechts (2005), strategic spatial planning, affected by the communicative action, is concerned with a democratic and an open process. It searches for a vision for placing problems, challenges and actions within the framework of a revised democratic tradition. Active involvement, open dialogue, collaboration and consensus building constitutes the key terms of strategic planning with respect to its organizational characteristics. These characteristics imply a democratic decision-making and collaboration among actors and horizontal interaction on equal terms in all phases of decision and plan making (Albrechts, 2005).

### **3.3.1. The conditions enhancing democratic governance in Strategic Spatial Planning**

The organizational characteristics and capacity of strategic planning processes are likely to contribute to democratic planning and governance mechanisms since they foster the development of conditions for a democratic organizational structure. Thereby, this part of the thesis will elaborate the conditions of a planning process to allow the flourishing of a democratic governance structure. To do this, the notions of participation, democracy, action-and contribution of strategic spatial planning to the development of these conditions will be explained.

#### **3.3.1.1. Participation**

Participation has been a very prevalent concept since the communicative agenda had dominated the planning field. However, it is generally misunderstood since it is used very resiliently (McGregor in Pateman, 1970). Many planners, politicians, decision-makers, project leaders refer to the term of participation in a very wide sense and call any process as participatory when some degree of interaction occurs in the process (Arnstein, 1969). To avoid such a concept confusion, McGregor (in Pateman, 1970, p. 67) makes such a definition for participation:

[participation] consists basically in creating opportunities under suitable conditions for people to influence decisions affecting them. [participation] is a special case of delegation in which the subordinate gains greater control, greater freedom of choice, with respect to his own responsibilities. The term participation is usually applied to the subordinate's greater influence over matters within the superior's responsibilities (McGregor in Pateman, 1970, p. 67).

Additionally, there are some other definitions for participation. According to Reason and Bradbury, participation embraces peoples' right and ability to have a say in decisions which affect them and which claim to generate knowledge about them ( Reason and Bradbury,2001).

Consequently, participation can be defined as a method of decision-making in which the ones affected from the decisions make becomes a part of the decision-making process.

Each process showing somehow a participatory character can not be evaluated as the same. In the same way with the varying definitions for participation, also there are different participation situations and levels defined by various actors. There are different classifications about participation.

Pateman categorizes participation in three: pseudo participation, partial participation and full participation. According to him, pseudo participation is the type in which the policy-makers persuade the stakeholders to accept decisions that have already been taken. In this type; not a reel sense of participation exists. If stakeholders are able to influence the decision although final decision making rests to the political leader, this kind of participation is called as partial participation. The last type of participation, called as full participation, is a process where each stakeholder has the equal power to determine decisions and outcome of the decisions (Pateman, 1970).



Arnstein, in her study “Ladder of Citizen Participation” suggests a typology of participation composed of eight levels, that provides an in-depth understanding of different types of participation. According to her, the level of participation is made up by the delegacy given to citizens in the decision-making structure. To illustrate different levels of participation, she refers to steps of a ladder. She mentions different participation levels visualizing a ladder figure in which she labels the bottom steps of the ladder as the level of non-participation and by going up the ladder the decision making mechanisms become the citizens. In the upper step, citizen control dominates the decision-making. (Arnstein, 1969). According to her, the lowest level of participation is “non-participation” in which the policy-makers do not enable people to participate. She calls the second type of participation as “tokenism” which can be regarded as a kind of symbolic participation. As the third level type of participation she mentions the “citizen power”. At the top of this participation level, full participation of citizens is emphasized, which Arnstein refers as “citizen control” (Arnstein, 1969).

The level of participation is crucial in order to define democratic character of decision-making mechanisms. Different levels of participation may refer to different democracy models. For instance, the implementation of partial participation may address pluralist democracy, whereas a process based on full participation shows the characteristics of participatory democracy (Bobbio in Ataöv, 2007). Within the definition of Arnstein’s participation levels, if the level of participation is like informing and consultation, which she calls them as “tokenism”, this kind of a process can lead to clientelistic relations which hampers the process from being a democratic one. But if the participation can be in the level of decision-making and/or implementation level, in which stakeholders can directly participate and have a direct influence; then, planning process can approach to a democratic participatory one.

In summary, to define the organizational structure of a planning process as democratic, the level of participation is important. A planning process to lead a democratic structure necessitates a full participation figure. Full participation is one

of the basic conditions in the development of a democratic governance structure. It enhances a systemic institutional design in which various public agents, private sector representatives and free associations of people are able to engage as equal partners in policy articulation and reflection (Dryzek, 2000).

### **3.3.1.2. Dialogue**

In addition to the concept of participation, dialogue in planning have also become emphasized since the rise of participatory democracy showed its reflection in the field of planning. Dialogue became an important device in plan-making processes since the domination of communicative planning on the planning agenda. Jürgen Habermas is one of the most important philosophers that mentioned the notion of dialogue and its importance in solving many political, economic, cultural problems that the modern society faces. He states that the solutions to many social problems can be found by the enhancement of dialogical processes serving to communication and collective decision making based on the norms, values and concerns of the society (Innes, 2004).

Dialogue is explained as deliberation between actors coming together for a “transformative event”(Dallmayr in Yilmaz). It constitutes prominence since it is a must for a planning process to be democratic. Furthermore, the presence of dialogue defines the level of participation in a decision-making process since it refers to the fact that the flow of knowledge is two-way; not one way such as inviting local actors and informing them. The absence of dialogue usually indicates the “tokenism”, a partial participation level (Arnstein, 1969).

The presence of a dialogical process in any decision-making structure enhance the subsistence of a democratic organizational structure. Enabling a two-way communication, it reinforces the actors to communicate and to have knowledge of the other’s necessities and values. Enabling the creation of settings in which dialogue among stakeholders initiate; strategic spatial planning fosters the

establishment of a dialogical process which in turn leads to a democratic organizational setting.

### **3.3.1.3. Action**

In addition to participation and establishment of dialogical process, a process leading to action constitute an important factor to enhance democratic governance. The issue of action has been a widely discussed subject in planning. Any planning process that does not lead to action may become purposeless since it is the actions which leads to concrete solutions. It is necessary that policy should reflect onto the practice (Albrechts, 2006). With respect to such a context, the communicative planning theorists of the 1980s and 1990s became more interested in the problems of action in planning (Taylor, 1998).

Action is one of the essential notions in democratic planning since it is one of the three important domains, which are the dialogical process, participation and action, of democratic planning (Ataöv, 2007). In most of the planning exercises, participation is applied in the decision-making but does not reflect to the implementation processes. Additionally, it is mostly the local authority which takes action and thus, being the one to decide the reflection of the collective decisions on action. However, for realizing democracy; stakeholders should determine, and commit actions. To do this, a process enabling devices for effective action so that participants participate to action-planning and implementation, constitute prominence (Ataöv, 2007).

Ataöv states that there are three prerequisites to be met in generating action in a planning process: “the actors’ capacity to translate thought into action, the generation of actionable knowledge and the implementers’ participation in the action planning process” (Ataöv, 2006, p.341).

Strategic planning reinforces a process that enables the construction of actionable knowledge. One of the most specific characteristics of strategic planning is that it

relates to action. It provides a framework for action that is embedded in the strategies and goals determined by a collective decision-making structure since it is defined as a “socio-spatial process in which coherent actions and means for implementation’are produced (Albrechts, 2006, p.4). Having a participatory organizational capacity; strategic planning also relates to implementation. In addition to aiming at the generation of a participatory environment by gathering a wide range of actors; strategic planning aims at ‘action, results and their practical realization’. It is an endeavour for both generating collective decisions and actions (Granados-Cabezas, 1995).

To conclude, action is one of the prominent element for the constitution of a democratic governance structure in planning. In most of the planning cases, the stakeholders do not commit on actions and does not participate to implementation. However; in addition to the participation of stakeholders in decision-making, the participation of stakeholders to generate action plans and followingly take actions is also essential for a democratic planning framework. Within such a context; strategic planning is a convenient planning approach that provides a planning framework that fulfills the conditions such as; generation of actionable knowledge and action, in addition to full participation and dialogical process, that are necessary for enhancement of a democratic milieu in planning (Ataöv, 2007).

#### **3.4. Strategic Spatial Planning in the Turkish Context**

The strategic spatial planning literature provides a theoretical framework about the strategic spatial planning and its interrelation with democracy and establishment of democratic organizational structures. However, every local context may have a different development processes of strategic planning within the regulations, legal context introduced and within the different local motives. Followingly, in this part of the study, the development of strategic spatial planning in the Turkish context and the previous participatory planning practices will be mentioned.

### **3.4.1. The History of Democratic Participatory Planning In the Turkish Context**

Not all the strategic planning applications involves participatory democracy. However, strategic spatial planning is a very convenient planning approach to establish democratic planning milieus. Since this thesis aims to establish the relation of strategic planning with respect to democratic governance, it subfocuses on the notion of participatory planning. Within this context, this thesis claims that the strategic spatial planning implications pioneer the realization of democratic planning applications. Thereby, to overview the history of democratic planning constitute prominence.

The history of democratic planning goes back to the Republican Period. Both the legal context built in those years and the presence of the institutions relying on the Turkish tradition have had an impact in the establishment of participatory decision-making structures in those years. The Village Law<sup>1</sup> established in 1924 constitutes a prominent document in terms of promoting a democratic decision-making structure. These act defines the “Village Associations”; in which, the decisions related to the village within the participation of villagers are taken. This institution is important in terms of realization of democracy. Additionally, “imece” which refers to taking collective action in doing the village’s work, is an important notion of democracy in villages that traces back to ancient Turkish traditions. Furthermore, one of the democratic exercises of those years were the “community centres<sup>2</sup>” which have been regarded as centers that brings central, local governments and the citizens together. Following all these means of democratic decision-making, the “Municipality Act” enacted in 1930 has been regarded as one of the cornerstones for the practice of democracy since it included a definition about “Citizenship law<sup>3</sup>”. This definition states the right to participation as a principle right for citizens.

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<sup>1</sup> Köy Kanunu

<sup>2</sup> Halkevleri

<sup>3</sup> Hemşehri hukuku

Including the later one, such participatory trends were very meaningful since anti-democratic trends were prevalent in most parts of the world (Toksöz, 2001).

Although, the notion of citizenship rights was mentioned in the Municipality Act of the 1930s, it did not reflect so much to practices. It was in the 1970s that this concept has come to agenda again. Until the 1970s, the central administration was the dominating actor in the field of policy-making, but after that showing more sensibility to urbanization problems than the central administration, the local governments started to be realised as urban policy-developers; and thus they arised once again to the decision-making arena (İstanbul Metropolitan Municipality Report, 2006).

With respect to the field of planning, new developments took place in the period between 1950 and 1980. In this period, State Planning Organisation had been established and the implementation capacity of Ministry of Development and Housing were increased. When the State Planning Organization was established in 1960; partially, a democratic understanding to planning was brought. The State Planning Organisation emphasized the necessity of collaboration of various sectors and organs into the planning process. It was realized that; without having the views of relevant actors, the probability of implementing a plan, would be very weak. Thus, the importance of participation of relevant actors in plan-making was specified in plans (DPT, 1973). Owing to this fact, the introduction of the five-year national development plans triggered a participatory approach in the Turkish planning system (İstanbul Metropolitan Municipality Report, 2006).

Another important attempt in this period in terms of participatory planning was the establishment of Metropolitan Master Planning Offices in 1970. In the three metropolitan cities, comprising İstanbul, Ankara, İzmir, master planning offices were built which played a crucial role in the development of the urban policies in dialogue with different actors including universities, public instutions, and professional chambers. These planning institutions worked with a Board of Consultants composed of universities and professional chambers. In addition to

having a democratic character, the works of Master Planning Offices was regarded as first attempts for the generation of strategic plans since those plans were carried out within a consideration of economic and social elements in addition to physical ones. They followed a process-based approach and considered the institutional aspects of planning since they proposed organizational schemes. Nevertheless, as early as 1983, they were abolished, since the new government made changes in the structure of planning system (Altaban, 2002).

In addition to such developments with respect to democracy, those years have witnessed some local democracy practices. Fatsa experience and 1 Mayıs District constitute important evidences of local democratic organizational patterns. These practices include figures of direct democracy in which citizens generated collective solutions to the collectively defined problems through “public committees<sup>4</sup>” (Toksöz, 2001).

As a following development, in the period between 1980 and 2000, the local district governments were authorized for plan-making. This development can be regarded as somehow democratization in urban policy since it was the electeds who started to generate urban policies. Nevertheless, this attempt only constitutes a development in terms of representative democracy. As a result, since most of the local district governments pursued a topdown planning approach in urban policy-making, the planning activity continued in an anti-democratic manner.

In the 1990s, the international agenda on democracy became quite influential in the Turkish legal context. In 1991, Turkey adopted the European Charter of Self Government which emphasized the main principles of democratic and participatory local governments. Followingly, in 1992, Turkey was introduced with the Local Agenda 21(LA 21) as an output of United Nation’s Rio Conference, which constitutes an important milestone for the adoption of participatory approaches in local governments. With respect to this, participation has been regarded as a

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<sup>4</sup> Halk Komiteleri

fundamental element of decision-making in municipal levels including metropolitan cities.

The foundation of LA 21 has contributed to the creation of conditions for a democratic society, such as creating an active citizenry and enabling a mechanism for participation. They fostered the construction of participatory organizational mechanisms and democratic governance milieu in cities (Ataöv, 2007). Within LA21, different participatory platforms including different policy areas have been established but what has come out so far has not been efficient to bring in a strategical view for the related spaces. In most of the cases, the ideas produced in LA 21 platforms have not been able to merge on a direction where various policy makers and citizens follow, rather project specific solutions have been generated in assistance of LA applications. Although the establishment of LA 21 enhanced collective decision-making, it did not build a direct connection with the decision-makers. Thus, participation is conventionally addressed but does not include a decision-making power (Ataöv, 2007).

Following the introduction of LA 21 in 1992, The Habitat Conference in 1996 played an important role in the reinforcement of the participatory approaches in Turkey. In that conference, Turkey presented The National Report and The Action Plan in which it adhered principles such as sustainability, citizenship and governance. Following the establishment of these documents, governance, has been introduced and exercised in Turkish administration system. In the same year, the LA 21 applications accepted in 1992 was started in 9 pilot cities and in the following years, this implementation expanded to more than 50 localities. With these developments, the democratization process with respect to planning and the establishment related governance mechanisms gained momentum in Turkey (Göymen, 2000).

The National Report and The Action Plan prepared in the Habitat Conference are noteworthy in terms of fostering democracy. By the generation of these documents Turkish government have made commitments that the development of human



settlements can only be possible if democratic participation of various parties is achieved. These commitments emphasized the importance of the participation and collaboration of actors in decision and policy-making processes and raised an awareness about a pluralist democracy approach. The National Report highlighted the necessity of creation of democratic governance models considering the participation of public in decision-making processes (BM, 1996). Although the issue of participation and the importance of democratic governance mechanisms took place in the reports prepared for Habitat II in 1996, the planning approaches in this period could not provide a successful implementation of these notions (İstanbul Metropolitan Municipality, 2006).

In addition to Local Agenda 21 initiatives took place after 1996, some other participatory projects were also managed in this period. With the increasing emphasis on urban regeneration, participatory attempts in urban regeneration projects have become prevalent. The Dikmen Valley Project in Ankara in 1990, being the first example of participatory urban regeneration, urban regeneration projects embodying participatory organizational bodies constitute important cases of the participatory planning methodology and local governance (Göymen, 1999).

In the 2000s, participatory planning became more widely applied with the introduction of some legal regulations, the discussions and implementations about strategic planning approach. The legal context improved with an emphasis on the participatory context of planning; the issue of participation, decision-making processes with multi-actors became more discussed issues in plan-making exercises.

#### **3.4.2. Contemporary Regulations Contributing To Participatory Planning: The Introduction of Strategic Spatial Planning In the Legal Acts**

The international consideration to enhance participatory processes had a direct affect in the promotion of legal and organizational arrangements, with respect to participation, in the Turkish context.

As mentioned in the previous part; after the 1990s, there have been considerable changes in the planning acts in favour of participation and democratization of planning processes. Many initiatives about participatory planning have been introduced as a result of the international concern to delegate responsibilities to local communities (Ataöv, 2007).

In the 1990s, although, Turkey signed international agreements promoting participation and democratic decision-making, it was mainly in the 2000s, participation became mandatory by changes in legislation.

In the 2000s, regulations promoting participation have been introduced into the Turkish Planning system. In the same way, those regulations contributed to participatory planning as they introduced participation of different actors into the plan-making process

To begin with, in the VIII. Five Year Development Plan prepared for the term 2001–2005, the importance of participation has been emphasized in various titles, The necessity for the establishment of participatory mechanisms and the enhancement of civil society participation have been mentioned in a very wide range of issues, including investment policies, regional development, rural development, cultural policies, environmental policies, agricultural policies. Following the preparation of the Development Plan, various legal acts were enacted including notions about participation. Firstly, a legal act draft called “Basic Principles of Public Administration and Its Restructuring<sup>5</sup>” was introduced. Covering the basic principles of this draft, legal acts such as Municipality Law no. 5393, Greater Municipality Law no.5216, Province Special Administration Law no.5302, Public Fiscal Management and Control Law no.5018 have been enacted. All these new acts have brought regulations in terms of democratic participation and the establishment of participatory organizational structures. The Municipality Law 5393 have included the establishment of “city councils” which can be regarded as

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<sup>5</sup> Kamu Yönetiminin Temel İlkeleri ve Yeniden Yapılandırılması Hakkında Kanun Tasarısı

essential institutions in terms of the institutionalization of participatory democracy. Additionally, Greater Municipality Law 5216, have consisted of articles emphasizing that the municipality should carry out its responsibilities including infrastructure, transportation; within dialogue with civil society members. Furthermore, all these legal regulations have obliged the preparation of strategic planning in the public sector. They have stated that local authorities produce strategic plans through participation of local stakeholders, including professional chambers, universities and other public institutions. With respect to these acts, the participation of civil society became legalized in strategic plan making processes. In addition to these acts, The Planning and Building Code Draft, prepared in 2005, constitutes an essential document for the enhancement of participation in the planning processes. It mentions the necessity of participation of stakeholders into the plan making process in every level of plan-making including Country Spatial Policy Plan<sup>6</sup>, regional plans and land-use plans (Bayındırlık Bakanlığı, 2005). However, this code has not been legalized yet.

In summary, the regulations and acts enacted currently includes essential elements in terms of participation. The praxis shows that with the enactment of these laws, the issue of participation and the establishment of participatory organizational structures have become an item of the agenda. Especially, the legal acts introducing regulations about strategic plan-making contributed to the the formation of participatory decision-making exercises. In many provinces and cities, strategic planning applications have become very prevalent. The Special Provincial Administrations and municipalities started strategic planning processes. Institutions such as Chamber of Commerce, Chamber of Industry in Kocaeli, Rize and İzmir, non-governmental organizations such as EGEV in İzmir, Kalder in Bursa made attempts to carry out strategic plans regarding the issue of participation of stakeholders into the plan - making process. These attempts triggered different interest groups to take active role in strategy- making for their provinces, cities and neighbourhoods (İstanbul Metropolitan Municipality Report, 2006). However, since

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<sup>6</sup> Ülke Mekânsal Politika Planı

the acts do not include direct expressions about the participatory structure and mechanisms, every strategy planning exercise encompass a different level of participation and structure. For instance, whereas some examples include a broad range of actors, some may include a few. Moreover, some practices may embrace stakeholder participation only in a consultation level but do not consider full participation. However, within consideration of all the insufficient aspects of the contemporary legal acts; it is possible to say that; with the introduction of regulations about strategic spatial planning, participatory approach and participatory organizational structures including diverse actors have become more tangible in the Turkish planning system.

## **CHAPTER 4**

### **METHODOLOGY**

This thesis will examine the methodology related to the study with respect to two aspects. One of them is the methodology the author of this thesis used in order to conduct the study, the other is the methodology used in the construction of the case the author will give as an example to understand the systems of governance.

In this paper, a strategic spatial planning case is mentioned after having a theoretical framework about strategic spatial planning. The author attempts to establish a link between theory and practice. To do this, the strategic planning case is elaborated from an insider point of view by extracting the theory from within the practice.

In the examination of the process, the author's field notes and observations she made throughout the process, have been essential sources in elaborating the case with respect to the construction of democratic governance structures in the strategic spatial planning process. Since the author took place as a researcher and a proactive participant both in the management of the process and in the systematization of the generated new knowledge in the process, she could make active observations about what and how things have functioned in the process. Being a proactive participant, the author did not conduct the inquiry as an observer, but as one of the involved actors in the process. Being an insider allowed her to reflect her own ideas and perceptions as she took an insider role in the process. In conclusion, the position of the planner in the process has enabled the use of the tacit knowledge generated throughout the process and the field notes she have got.

In addition to the methodological tools used in the elaboration of the case, the methodology used in the conduction of the strategic spatial planning process

constitutes prominence since it reinforced the participation of the researcher to the process. It is the implementation of the Action Research methodology that enabled the involvement of the researcher as an integrated part of the research. Additionally, the democratic character of the planning exercise is very likely to relate to the implementation of the AR approach in the process.

Following such a context, One of the subsidiary hypothesis of this study is that the application of an AR approach reinforces the establishment of a democratic participatory realm. Consequently, the following part will discuss the theoretical framework of the AR approach and its implementation as a methodological means in the case of Ankara Strategic Spatial Planning process.

#### **4.1. Action Research**

AR is a research methodology that was proposed by Lewin (1947) as an alternative to traditional research methodologies. It is different from the other research methodologies both with respect to the methodological means and also to the way researchers understand the nature of the inquiry. In the western conventional type of research methodologies, science and research were conceived as different objects, separated from everyday life. Besides, the creation of theory and practice was perceived as different activities. However, the necessity of linking theory and the development of practice were realised. The realisation of the need for a more efficient interplay between theory and practice triggered the emergence of action research (Reason and Bradbury, 2001).

The positivist understanding, that asserts that knowledge is obtained through strict scientific research, was replaced by a post-positivist approach with the shift from modernism to post-modernism. With the emergence of post-modernist period, the technical knowledge generated by the researcher has become inadequate in solving the problems of communities. The involvement of the problem owners became necessary to generate efficient solutions that can change the undesired circumstances in communities. Thus, researchers began to search for new types of

methodologies that respond to these developments in inquiry methods. Consequently, it has been realised that, collaboration among the researcher and community has constituted the best way to approach problems of the community (Reason and Bradbury, 2001).

Since 1940s, the AR approach developed dramatically. Although the AR dates back to the 1940s, it developed with the introduction of the agenda of participation in the 1960s. The people's right to enter into agreements to generate knowledge of their own became important for the legitimacy of the research following the development that the researchers became more aware of the rights of people to join in the generation of knowledge. In accordance with the rising importance of participation of researchers and people into research, the design of appropriate dialogical processes and participatory roles came to prominence (Paine, 1995).

When action research approach was first started to be implemented, the main examples were from the micro level projects; including schools, marginalized groups, local community projects. However in the 1990s, the scale enlarged and various governments, development agencies, universities, large and powerful institutions in the global scale started to adapt it (Cornwaal and Gaventa in Bradbury and Reason, 2001).

There exist various theoretical definitions about the action research. Reason and Bradbury defines action research as “a participatory, democratic process concerned with developing practical knowing” (Reason and Bradbury, 2001, p.15). They argue that in participation and including people's concern and ideas, it combines practice, research, and theory (Reason and Bradbury, 2001). It is based on the idea that “social reality is constructed through human activity” (Baburoglu and Ravn, 1992, p.22). This kind of a definition helps to reveal situation-specific conceptions of the AR approach. In AR, “the world of values” and “the world of science” take place together as matters of action and research. Both are considered as important assets to develop the society's capacity to take action (Baburoglu and Ravn, 1992).

Levin and Greenwood state that two things emphasized in AR as: “knowledge generation through action and the role of participatory democracy”. They argue that action research is “a knowledge construction process that both involve researchers and local stakeholders, thereby fulfilling both a participative democratic ideal and achieving knowledge generation through learning from action”(Greenwood and Levin, 1998). Action research is a research methodology meaningful “with”, “for” and “by” people and groups, seeks to include all stakeholders in finding the questions and answers of the research, of the questioned issue. Hence, AR is allied to the ideas of participatory democracy (Park, 1997).

#### **4.1.1. The Action Research Assisting the Establishment of Conditions for Democratic Governance Structures**

As stated before, this thesis aims to argue how strategic spatial planning may contribute to the establishment of democratic governance structures. As mentioned in the previous parts, the emergence of democratic governance structures necessitate the existence of some conditions; including full participation, a dialogical process and realization of actions. The former theoretical compilation of the study suggested that the procedural characteristics of strategic spatial planning embraces the participation of a broad range of actors in all phases of the planning process, a dialogical process and the transformation of decisions into actions. It was stated by fullfilling these three conditions, strategic spatial planning is likely to foster the enhancement of democratic governance structures. In a similar way, the action research approach assists the establishment of a democratic milieu; by enhancing full participation, a dialogical process and the generation of actionable knowledge and hence the generation of action.

Ataöv (2007) argues that the interrelation between action research and the conditions for a democratic process to become reality; by giving a participatory planning example in which an AR strategy in the planning process contributed to the creation of a democratic milieu. She states that the implication of an AR approach is likely to foster a process providing conditions that enhance a democratic governance mechanisms including “a process for deliberation and



liveable agreement, effective participation of stakeholders and translation of thoughts into action”(Ataöv, 2007, p. 342). In line with Ataöv’s arguments, the following part examines action research with respect to its assistance in the formation of conditions for democratic governance.

The implementation of the AR approach constitutes an essential element in meeting the three conditions for the establishment of a democratic governance mechanism; 1. Participation, 2. Dialogue, 3. Action.

#### **4.1.1 1. Participation**

Participation and the effort for democratization, regarded as components of social construction process, conceptualize the AR approach (Ataöv, 2007). Action research is nourished by a participatory worldview; seeing scientific inquiry as a process aiming to have human knowledge in which they have a direct influence in the creation of and serving to a democratic knowledge generation process (Greenwood and Levin in Reason and Bradbury, 2001). The action research approach is compatible with the developing democratic theories, especially with participatory and deliberative democracy since action research reinforces the participatory forms of inquiry that helps solving the practical problems and contributes to a wide range of issues including democracy (Hall in Reason and Bradbury, 2001).

#### **4.1.1.2. Dialogue:**

Dialogue occupies a central position in action research. The dialogue component of action research make the creation of the social space for participants possible. By the way of dialogue various actors share experiences and information, and create common meanings and generate joint actions together(Park, 1997).

In AR, research is carried out collaboratively by both the stakeholders and the researcher (Baburoglu and Ravn, 1992). The researcher is not in a situation of an outsider simply collecting information but he acts as a catalyst who systemize the

knowledge gathered and presents it to the community. Providing such a context, the action research designates the role of the planner as an active participant, in dialogue with the problem owners (Yılmaz, 2001).

The action research approach enhances dialogue between the researchers and stakeholders. Through the participation of actors and the researcher, and dialogue among them; the AR also encourages action towards achieving a better state for the relevant stakeholders (Ataöv et al. 2002).

#### **4.1.1.3. Action**

One of the goals of action research is the intervention of the researcher into the problem area and finding relevant solutions. The researcher may assist and facilitate action since he is also a participant and builds dialogue with stakeholders. Thus, action research is likely to promote the actors to take actions to change the existing situation. It reinforces the development of a new consciousness level in the actors. The active dialogue, interaction among actors and feedback given to the actors about the research process facilitates the actors to take the responsibilities of the actions about their future (Ataöv et al, 2002).

In conclusion, the AR approach contributes to the establishment of a democratic milieu; by enhancing full participation, a dialogical process and the generation of action. It promotes knowledge generation through actors by involving a wide range of stakeholders and the researcher into the research process. Being an active participant in the process, the researcher builds dialogue with the stakeholders, thus contributes to actionable knowledge and promotes action generation.

## CHAPTER 5

### THE ANKARA STRATEGIC SPATIAL PLANNING PROCESS

The previous chapters have presented the theoretical framework of strategic spatial planning with respect to democratic governance structures. Within a theoretical overview, the former chapters demonstrated how the issues of participatory democracy and governance are associated with strategic spatial planning. In addition to such a theoretical review, this chapter will present; how strategic spatial planning links to the practices of participatory democracy and governance structures, by the introduction of a strategic spatial planning case. This part of the study elaborates Ankara Strategic Spatial Planning Process with respect to the conditions enhancing the establishment of governance structures. To serve this aim, the following part of the study will first present an overview of the Ankara Strategic Spatial Planning Case with its main characteristics and the basic issues it encompasses with respect to participatory democracy and governance. Furthermore, it will study each phase of the planning practice by going in depth the establishment of necessary conditions including participation, dialogue and action. Thereby, the organizational structure of each phase including participation, a dialogical process and action will be laid out.

#### **5.1. An Introduction to Ankara Strategic Spatial Planning Process**

Ankara Strategic Spatial Planning Process got started in the spring 2005. It was flourished as a result of the legislative reform package, which was established between 2003 and 2005, including the legalization of strategic planning<sup>7</sup>. Within these legislations, the emergence of Special Provincial Administration Law

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<sup>7</sup> These legislative changes referring to the need for initiation of strategic planning processes has been mentioned in details in the second chapter of the study.

numbered as 5302 in 2005 constituted an essential factor in the initiation of Ankara Strategic Spatial Plan. Since this law enacted the necessity of strategic plan making and suggested participation of local actors in the plan-making process, by stating that local authorities collaborate with universities, professional chambers and civil organizations in the planning process.

Following the legislation change and developing context about strategic spatial planning, civil society actors took action to trigger a strategic spatial planning process in the Ankara province with an emphasis on broad participation. Thereby, the Ankara Strategic Spatial Planning Process emerged as an outcome of a civil attempt. The civil actors that were active in the establishment of the process was three non-governmental organizations named as TEPAV, TÜSSİDE, TESEV and the academics from METU. They activated Ankara Special Provincial Administration to initiate a participatory strategic planning process for the Ankara province. Consequently, by the encouragement of the civil actors, Special Provincial Administration of Ankara started the Ankara Strategic Spatial Planning Process in the fall of 2005. After the civil actors convinced the administration about leading the process, the civil actors and Strategic Spatial Planning Administration came together and developed the epistemological frame and the methodological approach to follow in the conduction of the process and they figured out a process design embracing the steps of the process.

The civil actors and the Ankara Special Provincial Administration attempted to work out a model project with its process design and its process principles. One of the most important characteristics of the process was that it seized on broad participation of actors and generation of action in all phases of the process. Owing to that principle of the process; the process aimed to ensure full participation, enhancement of dialogical processes and generation of actionable knowledge, and followingly action. Hence, involved stakeholders generated knowledge through participation and dialogue in participatory platform including meetings, group works and workshops. Since participation was the essential component of every phase in the process, the local knowledge generation was left to the stakeholders.

Thus, the collective knowledge created by the stakeholders was never interfered in any part of the process. Additionally, the researchers have always studied by the output of each meeting without making any change but only processing the knowledge by the assistance of different scientific methods. Consequently, the resource of the knowledge generation had always been kept as the stakeholders. The stakeholders who both generated the contextual knowledge and become a part of the methodological design were regarded as the main conductors and owners of the process. The conduction of the process with an AR methodology facilitated the process to navigate on such a discourse. The AR approach helped generate the new knowledge salient to the varying interests of the local community with the participation of stakeholders in a democratic way. Additionally the use of AR approach allowed the process to be conducted by a collaborative effort between researchers and stakeholders in the province. In addition to all these, AR approach contributed to the development of various organizational structures in different phases of the process. Babüroglu and Ravn (1992) state that the purpose of AR is to generate theories about the new organizational structure and the change that the process brings, since the generated knowledge leads the change in the process as well as in the organizational structure. Consequently, the use of AR approach contributed to the creation of the conditions necessary for a democratic governance structure.

Following such a procedural context, Ankara Strategic Planning process was conducted as a participatory planning process composed of six phases encompassing various organizational structures, dialogical processes; to generate a collectively agreed on planning framework for the province for the following five years. The strategic spatial planning of Ankara was treated as an inquiry process which allowed the participation of interested stakeholders and their collaboration through structured dialogue in action.

In the Ankara Strategic Planning Process, the involved stakeholders with researchers defined the problems, examined them, co-generated the shared

knowledge about how to go about it, and took joint action. This continued through successive phases of planning and action.

In the Ankara process, the researchers participated to the process and engaged in an equalitarian democratic relationship with other stakeholders. They acted as facilitators of the planning process and contributed to the generation of the practical knowledge. They have not taken place in the process as outsiders, but they also contributed to the conduct of the process with methodological and practical knowledge. They helped management of the process by reporting, systematizing, modeling and reformulating the collaboratively generated knowledge. The new knowledge, generated through the participation of involved stakeholders, is entered into the process to produce joint action.

## **5.2. The Challenging Issues to Examine**

In the theoretical part of the study, the necessary conditions for the establishment of participatory democratic planning processes were introduced as; full participation, dialogical processes and action. These were asserted as the conditions that promote the rise of democratic governance structures. Following such an assertion, the case will examine how the conditions of a participatory democratic process was established in the Ankara Strategic Planning Process. Within this context, various organizational structures established in different phases of the process and approaching democratic governance exercises, will be elaborated. Consequently, the system of governance in the Ankara Strategic Spatial Planning Process will have been sorted out and each phase in the process will have been analyzed with respect to the constitution of democratic governance structures.

In conclusion, the examination of the case will respond to two main research questions: 1) How much did the institutional capacity enhance participatory democracy and which characteristics of the process enabled the constitution of a democratic realm?; 2) How far did the Ankara Strategic Spatial Planning Process encompass the conditions such as participation, dialogue and action for the

constitution of democratic decision-making structures to achieve the establishment of a governance system?

To answer the first question, firstly the existing institutional capacity of the province to carry out democratic participatory planning exercises will be searched. It is essential to examine the institutional capacity in space for the functioning of participatory democracy. In line with this, Fiorino states that one of the most important conditions to make direct democracy real is the permeability of the existing political situation in a locality to the practices of democracy (Fiorino in Ataöv, 2007). Hence the contextual setting in the Ankara province is important to study the potential of establishment of democratic governance structures. Thus, the planning background of Ankara comprising the existing institutional structure and the collaboration culture in the province will be analyzed in the next part of the study. To answer the second question, each phase of the process will be examined with respect to the three components; which constitute essential conditions for the achievement of democratic participatory structures. These three components are 1. participation, 2. dialogue, 3. generation of actionable knowledge/action. The organizational structure generated in terms of participation of each phase, the dialogical process pattern and the generation of actionable knowledge and followingly action in each phase will be elaborated to reveal the structuration of a democratic decision-making mechanism.

## CHAPTER 6

### UNDERSTANDING THE SYSTEM OF GOVERNANCE IN THE ANKARA STRATEGIC SPATIAL PLANNING PROCESS

As mentioned previously, the main aim of this thesis is to explore the contribution of strategic spatial planning exercises to the establishment of democratic organizational structures in space. In order to do this, this thesis studies a strategic spatial planning case conducted in the Ankara province. To make an evaluation of whether Ankara Strategic Spatial Planning Process has led to formation of democratic organizational structure or not, the contextual setting of Ankara Strategic Spatial Planning Process will be examined. Following this, the phases of the process and the efforts in these phases to formulate participatory organizational structures, dialogical processes and generation of action will be elaborated. In doing these, the main aim is to reveal the system of governance in the process.

#### **6.1.The Contextual Setting Of The Ankara Strategic Spatial Planning Process: The History of Democratic Participatory Planning in Ankara**

The history of participatory planning attempts constitute prominence for the efficiency of democratic planning processes exercised in a locality. Ataöv (2007) states that the history of participatory activities in related space is influential in the establishment of active citizenship and an enabling mechanism for participation. The existence of previous participatory projects help the establishment of social grounds for more participatory democratic decision-making in urban affairs(Ataöv, 2007). Furthermore, Tekeli and Pınarcıoğlu (2004) argue that one of the most important conditions for the enhancement of democratic participation is the existing political mechanisms allowing to participatory practices. In accordance with these



arguments, this part studies the previous participatory planning attempts and the existing institutional mechanism in the province with respect to participation.

Ankara had constituted prominence in the Turkish planning experience, with its various aspects. Being constructed as the capital city of modern Turkish Republic, it has fulfilled many strategic, political and socio-economic functions. For several years following the foundation of Republic, it used to serve as a symbol of modernism. Since then, it used to constitute an example and model for urban policies generated in other cities (Şehir Plancıları Odası, 2002).

Being the capital city of Turkish Republic, Ankara has been regarded as a city that needs to pursue a planned development. The planned city trend had been started with the planning attempt of Ankara by the assignment of German planner, Hermann Jansen (Tekeli, 2005). For the foundation of the capital city of the country, Ankara had been designed by individual efforts of the planner. However, the planned approach started with the establishment of the Republic could not last for a long time. The estimated planning results could not be achieved. Following the Jansen plan, Uybadin -Yücel Plan was generated. All these plans were expert-based plans. This plan was again an outcome of experts; not including any participatory processes.

In Ankara's planning history, different comprehensive plans had been generated; however they could not include a participatory structure, neither they could lead to proper action. Instead of a consistent political will that considered the implementation of those comprehensive plans with determination and with upgrading if necessary, a partial planning approach followed by individual preferences of political leaders had been prevalent. In most of the cases, the politicians have not been used to consider the plans established, in generation of policies and action. In line with all these circumstances, the plan changes were made easily with respect to personal and political interests. The failure in the implementation phase of the plans can be hinged on the lack of participation and commitment of the stakeholders. The lack of participation gave rise to the main

beneficiaries and users not to, willingly, own the plans and follow-up the implementation of the decisions in the prevailing. Due to such circumstances, since a long time, Ankara necessitated a comprehensive plan that considers various interests and leads to long-term actions. Plans generated for Ankara in the past were mostly the products of planners, bureaucrats but in general had not engaged various interest groups and the local community. It was the first time in the preparation of “1990 Ankara Master Plan” between 1970 and 1975; that different interests were taken into consideration and participation of stakeholders was provided. It was carried out by Ankara Metropolitan Master Planning Office<sup>8</sup> which was established in 1970 to develop a comprehensive plan for the Ankara province. With this planning experience in the 1970s, the plan-making process was, for the first time in the province, carried out, through dialogue with different interest groups including universities, professionals, and public institutions.

After the generation of the 1990 Ankara Master Plan, the following comprehensive planning attempt was the “Transport Master Plan” in 1986; which was also called “Ankara 2015”. Although this plan aimed at determining the transport pattern and policies for the city, thus seems a partial plan related to only the issue of transport, it had encompassed a comprehensive study since it carried out a comprehensive analysis about different sectors in the province. However, similar to many planning experiences, in the implementation of this process there had been some problems as a result of the authority conflicts and insufficient coordination among different actors.

The last plan prepared in a comprehensive and participatory manner was the “1990 Ankara Master Plan”. It had introduced a new planning approach to the province since it constituted an example of a structure plan (Tekeli, 1986). However this plan had been expired in the 1990s. Since then, the Ankara province has lacked a guiding plan that shows way to the future development of the province.

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<sup>8</sup> In the second chapter of the study (p. 31), The Metropolitan Master Planning Offices were mentioned as crucial establishments with respect to the reinforcement of dialogue with different actors in the development of urban policies.

The planning attempts in Ankara have generally encountered difficulties due to the disagreements and the absence of coordination among institutions. The lack of collaboration and coordination between actors resulted in ineffective decision-making and absence of relevant action. This, in turn, have brought unavoidable problems in various sectors and fractions of the city. For a long time the Ankara province has not neither formulated a vision nor developed a comprehensive plan. The only development occurred in response to the property market demands and interests of special groups. In general, the local authorities in Ankara implemented flashy large-scale projects following a top-down decision-making approach. Consequently, no comprehensive planning processes involving different stakeholders' values and preferences have been carried out for a long time after the preparation of the 1990 Master Plan. Local authorities mostly followed a top-down and an incremental approach. They produced the plans either within their organizational capacity or hired planning consultants to do it, thus mostly did not consult to collaboration with other institutions in the province. There had been no evident attempts to bring diverse stakeholders and interests, to create a democratic milieu involving various stakeholder groups in the decision-making processes. However, in contrast with all these, Ankara planning experience comprises two profound examples with respect to the implementation of democracy in planning. These are two urban regeneration projects, The Dikmen Valley Regeneration Project and the Portakal Çiçeği Valley Project, which were carried out in the 1990s (Şehir Plancıları Odası, 2002).

These regeneration projects which constitute a cornerstone in participatory approach in urban projects importance started in 1989 by the municipal mayor of the period. Both of these projects pursued a participatory approach suggesting a new organizational model established for the first time in the province. The two projects had grounded on a collaborative methodology in which public and private sector, and local community negotiate on different policy alternatives and cooperate in action. Consequently, these planning exercises brought out a new planning formulation (Vadide Yeni Hayat, Dikmen Vadisi Projesi, 1992).

In Dikmen Valley project, the participation of the local community, composed of slum residents, in various phases of the planning process was a noteworthy matter with respect to full participation. The local community took an active position in both plan-making and implementation phases. Moreover, they also participated to the follow-up process. Within this context, various meetings in small and large scales, and face-to-face discussions had been organized. Additionally, the project organizers and participants established cooperatives so that the local community and municipal officers could collaborate. These cooperatives enabled an open dialogical process and followingly enabled the development of a sustainable authority for the functioning of the planning process. Furthermore, they contributed to transformation of decisions to actions. Owing to such an organizational structure, the local community and the municipality cooperated under cooperatives for the provision of residential and environmental services, even after the implementation phase of the project. Naturally, these organizational establishments including regular meetings, discussions and the foundation of cooperatives enabled the emergence of a democratic participatory decision-making structure in this project (Vadide Yeni Hayat, Dikmen Vadisi Projesi, 1992).

Similar to the Dikmen Valley Project; in Portakal Çiçeği Valley Project, a participatory organizational framework was formed. Various stakeholders including the local community living in the project area, land proprietors and other investors participated into the decision-making process (Vadide Yeni Hayat, Dikmen Vadisi Projesi, 1992). Additionally, NGOs such as The Chamber of City Planners, The Chamber of Architects participated and gave their opinion about the process (Göksu, 1994).

In conclusion, these projects have been prominent planning exercises in the history of the province with respect to democratic participation and constitution of collaborative urban project management structures. Both of the projects have presented essential democratic organizational structures reinforcing participation of local actors into the decision-making process and dialogue among stakeholders. Consequently, these two projects attempted to establish a certain degree of a

governance structure through the participation of different local actors in the decision-making process. However, these projects could only introduce a project democracy and the establishment of such organizational structures could not become widespread in the further planning experiences. In Ankara, urban regeneration projects had been common fields in which democratic dialogue with local community and governance structures have been likely to be established (Ataöv and Osmay, 2007).

In addition to the urban regeneration projects of Dikmen Valley and Portakal Çiçeği Valley, the foundation of Local Agenda 21 constitute an important element in the enhancement of exercises of participatory organizational structures. The Local Agenda 21 was founded in Ankara in 1997, one year later after the pilot implementations in the country. They presented a potential for the establishment of participatory local decision-making structures and followingly local governance structures. City councils and working groups about various study areas, developed as the products of LA 21, have served as environments of collective decision-making by bringing various actors together. However, the implementing municipalities and implementation areas of LA 21 remained limited in Ankara province. Yenimahalle Municipality was first to initiate an LA 21 process. They formed democratic decision making environments in issues related to women, children, disability and environmental issues. However within such a context, a comprehensive organizational scheme serving to various sectors in space could not have been achieved. Governance structures including various sectors and areas could not be attained by LA 21 efforts. Mostly, project and subject specific solutions have been provided (Emrealp, 2004).

To evaluate the past planning experiences of Ankara with respect to democratic participation; it has been inferred that the organizational structures established had remained project specific and a broad participatory figure encompassing diverse interest could not been achieved since most of the projects was very local scale project. Only 1990 Ankara Master plan carried out by Ankara Metropolitan Master Planning Office and the Transport Master Plan could attain some dialogical

processes with various stakeholders and the characteristics of participatory comprehensive plans. However, 1990 Ankara Master Plan has been expired since the 1990s and the transport plan could not have been implemented and was a more specific plan rather than being comprehensive. Consequently, Ankara had been in need of a comprehensive plan, considering various sectors and levels in the province, prepared with the participation of various interest groups. Lack of comprehensive approach and cooperation with interested stakeholders in planning interventions have been among the main problems in the recent planning experience in Ankara. Additionally, Ankara has been facing various urban problems, in which the urban management with respect to personal interest has been one of the main reasons of the problems. The privatization of land, the degradation of public space and pedestrian use in the city, the massive transformation of squatters into unliveable residential districts has been among the main problems of the city. In most of the cases, local authorities have pursued a top-down and incremental approach in plan-making. They used to produce the plans either within their organizational capacity or by hiring planning consultants to do it. Moreover, the type of participation pursued in the urban projects has been pseudo or partial participation. In some cases, the local authority negotiate and persuade the stakeholders to accept the decisions which refers to partial participation definition of Pateman. Especially in the Greater Municipality, the general tendency has been on pseudo participation in which; stakeholders have been involved to the projects and seems to influence the decisions; however, in most of the decision-making exercises, it has been the political leader who has given the last decision. Therefore, in accordance with Arnstein's classification of participation, in Ankara, generally non-participation has prevailed which did not enable citizen participation and tokenism has been prevalent in some cases which indicates a symbolic participation. In most of the planning practices, the opinion of the civil society have not been taken and non-governmental organizations could participate to planning processes by sending their objections and bringing the the unagreed planning decisions and implementations into the court. As a result, in most cases, the decisions of civil society is not used to be taken in any phase of the planning. In addition to all these, collaboration among institutions and different sectors to work together for the overall

development of the province was not very common. In general, sectoral departments of both central and local governments and non-governmental organisations that serve to different sectors of Ankara used their fragmented and isolated policies.

With respect to the review related to the history of participatory planning exercises, it can be concluded that; up to today, the institutional capacity in the province has not provided an adequate ground for functioning of participatory democracy. Being the capital city of the country, it has a bureaucratic character that effects the existing political structure of the province in a way that it does not provide so much permeability to the practices of direct democracy. Even, in recent past there had been noteworthy democratic participatory experiences including two participatory urban regeneration processes and the attempt of LA 21, the conditions for a democratic society; including “active citizenry and an enabling mechanism for participation”(Ataöv, 2007, p.337) have not been built. When the provinces such, that democratic participatory projects are prevalent; as İzmir and Kocaeli, are examined it is realized that the “social ground”(Ataöv, 2007, p.337) and the institutional ground for the establishment of participatory decision making structures have been planted. Thus, the previous efforts for the establishment of participatory organizational structures are influential in the establishment of further governances schemes.

The picture of Ankara with respect to democratic participation and the establishment of a democratic institutional structure, has not been promising. On the other hand, since 1990s Ankara has been in need for a comprehensive plan that can be carried out with the commitment and collaboration of actors. Most of the planning schemes could not been implemented due to the lack of collaboration, cooperation among actors and lack of commitment of actors in taking actions. Consequently, Ankara province necessitates a plan, considering the overall development of the province including participation of various interest groups and, coordination and cooperation among them.

## **6.2. The Conditions Promoting A Governance Mechanism in the Process**

The lack of a social and political ground for “active citizenry and an enabling mechanism for participation” (Ataöv, 2007, p.337) necessitates the establishment of the further attempts as thriving processes for the establishment of a participatory organizational structure. In this respect, the characteristics of the process enabling the constitution of a participatory realm and the organizational mechanisms built, promoting a participatory institutional structure constitute cardinal importance.

Ankara Strategic Spatial Planning Process was designed as a model project with its process design and its process principles. The process aimed to ensure full participation, co-generation and co-learning in all phases. Moreover, the process allowed dialogue with the use of various communication and negotiation channels. In addition, it was designed as an ongoing process, allowing planning, feedback, action, and planning again. In line with these general characteristics of the process, every phase of the Ankara strategic spatial planning process will be analyzed according to the issues of participation, democratic dialogue and, actionable knowledge generation and action that have been set as the necessary conditions for the development of democratic governance structures.

## **6.3. Emergent Organizational Mechanisms in the Phases of the Ankara Strategic Planning Process**

Including the attempts to ensure full participation of the stakeholders in the process, a dialogical process and the generation of actionable knowledge and consequently action; the Ankara Strategic Spatial Planning Process has been composed of 6 phases. Each phase has embraced different organizational and procedural characteristics with respect to the goal of each process and thereby, every phase revealed a different organizational structure. Following these, in this part of the study, how the process have generated the potential for the establishment of a governance system will be clarified. Serving to this aim, each phase will be examined with an emphasis on three components: 1. The participation structure, 2.



The dialogical process, 3. The generation of actionable knowledge and action. These components will be examined due to the theory that the existence of participation, a dialogical structure, and generation of actionable knowledge and followingly action is effectful in the establishment of democratic governance structures. Covering these conditions of democratic governance, how each of the conditions was generated in each phase will be figured out. The organizational structure, the dialogical process in each phase is conceptualized with a schema.

### **6.3.1. Phase I: Preparation of The Participatory Realm**

This phase is the first phase of the process in which the theoretical and the methodological ground of the project was developed by the collaboration of the non-governmental organizations. Hence, this phase has been the phase in which the roots of the Ankara strategic planning process was seeded and the establishment of Ankara Strategic Spatial Planning Process was promoted.

The participation structure of this process has been composed of the actors that triggered the initiation of the process. Within this structure, the main dialogue milieu has been developed within the civil actors and the local government actors to agree upon the conduction of a model democratic participatory strategic planning process. In line with such a framework, the action generated was related to the start of the studies for the generation of a strategic plan. Covering all these issues, how conditions for the establishment of a democratic governance structure has been fulfilled will be argued under the following titles.

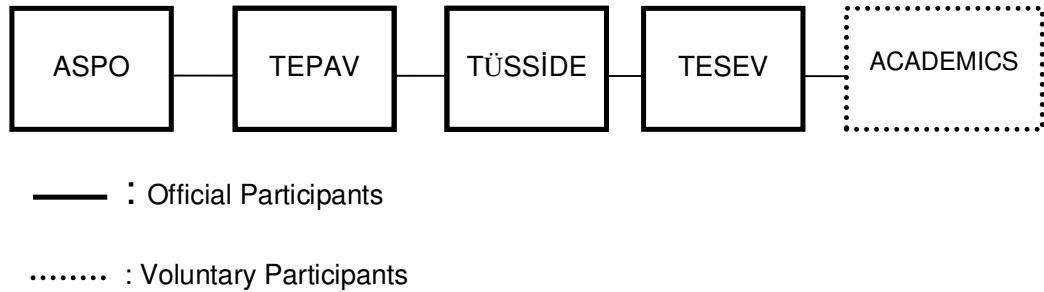
#### **6.3.1.1. Participation**

Ankara Strategic Spatial Planning Process emerged with the collaboration of three non-governmental organizations including TEPAV, TUSSIDE, TESEV and the academics from METU. Following the package of legislation changes made in 2005, these civil actors started to discuss what these legislations have presented with respect to public policy making and what kind of a practice strategic planning

legislations suggest. In the 2005 Spring, a group composed of The General Directorate of Local Administration of Ministry of Internal Affairs, State Planning Organisation, TEPAV, TESEV, two academics from METU conducted a series of meetings and deliberated on the legislation changes and its possible reflections on planning practices. These meetings aimed at the elimination of conceptual confusion and provided an environment for institutions to have a common understanding about the legislation changes especially regarding the issue of strategic planning and participation (Ataöv and Gedikli, 2006).

In the meetings, the group examined the theoretical and methodological framework of strategic planning considering its various aspects. They set the relation of strategic planning with various spatial scales including region-province-city-institutions. Additionally, they studied on the establishment of an epistemological framework in search of a proper approach and process design. They agreed on the necessity for a participatory process and the need for a model implementation that could constitute an example and serve as a guide for future planning applications. Additionally, they determined the two main pillars of the process as the possible broadest participation of the stakeholders and a process leading to action. To enable a process encompassing these principles, they set the ground for the strategic planning approach to be conducted as an Action Research (AR) inquiry. This was implicitly suggested by the researchers from Middle East Technical University and welcomed by the civil society members. The AR approach was not explicitly imposed, but how such a process in consideration of the notions of participatory democracy and action could be conducted had best fitted to the action research approach. The proposed participatory planning process has fitted both the ideological approach and the methodological means of AR.

As a result of all decisions taken, the aim of the process was determined as the application of a participatory strategic spatial planning process that constitutes a model for other planning applications both in the province and other provinces.



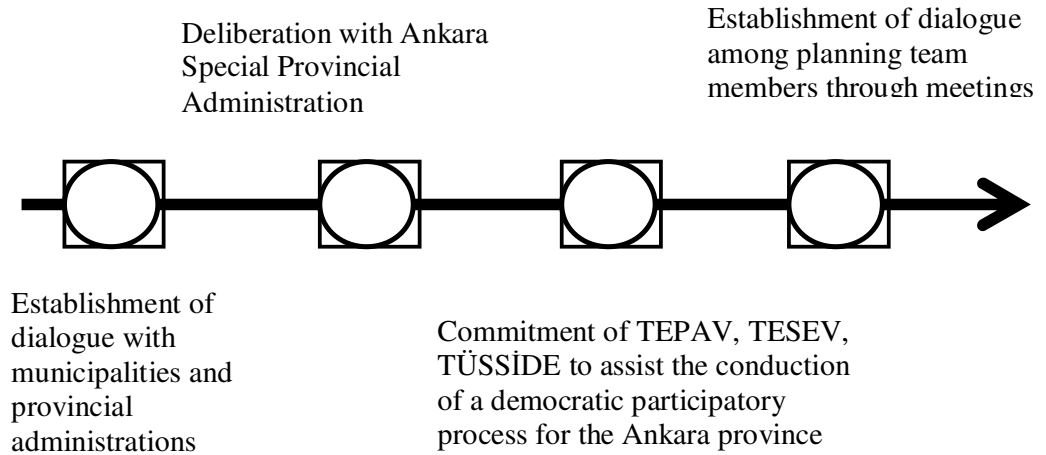
**Figure 1 - The Organizational Structure Of The First Phase**

### **6.3.1.2. Dialogue**

Having decided that a model project has been necessiated, TEPAV and TESEV built relations with various municipalities and special provincial administrations and talked about the issue with related high level administrators. With respect to this, administrators of TEPAV and TESEV started negotiations with the Ankara Special Provincial Administration to convince them about the iniation of a participatory process for the generation of a strategic spatial for the Ankara province. They got into contact with the General Secretary of Ankara Special Provincial Administration. The administrators of TESEV and TEPAV had former links with the General Secretary of Ankara Special Provincial Administration since they served as public servants in different administrative positions. Thus, they have had a former dialogue with the bureaucrats of Ankara. This eased the dialogue establishment with the General Secretary of the Ankara Special Provincial Administration and facilitated the persuasion process to start the strategic planning process in Ankara. After that, the General Secretary got across with the Governor of Ankara who agreed on the initiation of the process. Consequently, the three non-govermental organisations, TEPAV, TESEV and TÜSSİDE gave commitments to initiate and conduct the Ankara Strategic Spatial Planning Process with Ankara Special Provincial Administration. Additionally, academics from METU, who had

given their support for the development of the theoretical and methodological frame of the process since the beginning of negotiations, gave their commitment to participate in the planning phase of the process.

After the Ankara Special Provincial Administration agreed on the conduction of a participatory planning process for the generation of a strategic spatial plan for Ankara province, the core coordinating group and the provincial administration decided to the foundation of a strategic spatial planning Office under the provincial administration. The General Secretary approved the establishment of such a unit, since such a participatory process needed a main body responsible for the conduction of the process. Thus; a strategic planning Office, which would be personally involved and deal with the process, was established under the Ankara Special Provincial Administration. Specialists from different disciplines employed in the Strategic Planning Office owing to the multi-disciplinary and inter-sectoral character of strategic planning. The Office staff was composed of two planners, which one of them was me, an environmental engineer and graduates of business administration. Following the enhancement of dialogue among the participants of this phase, the tasks were distributed among the coordinating group. Since the generation of the decisions with the participation of the actors were fundamental, the dialogue among the members of the group constituted prominence. The team members formulated the decisions taken for the design of the process when it was necessary due to the contextual needs and dynamics.

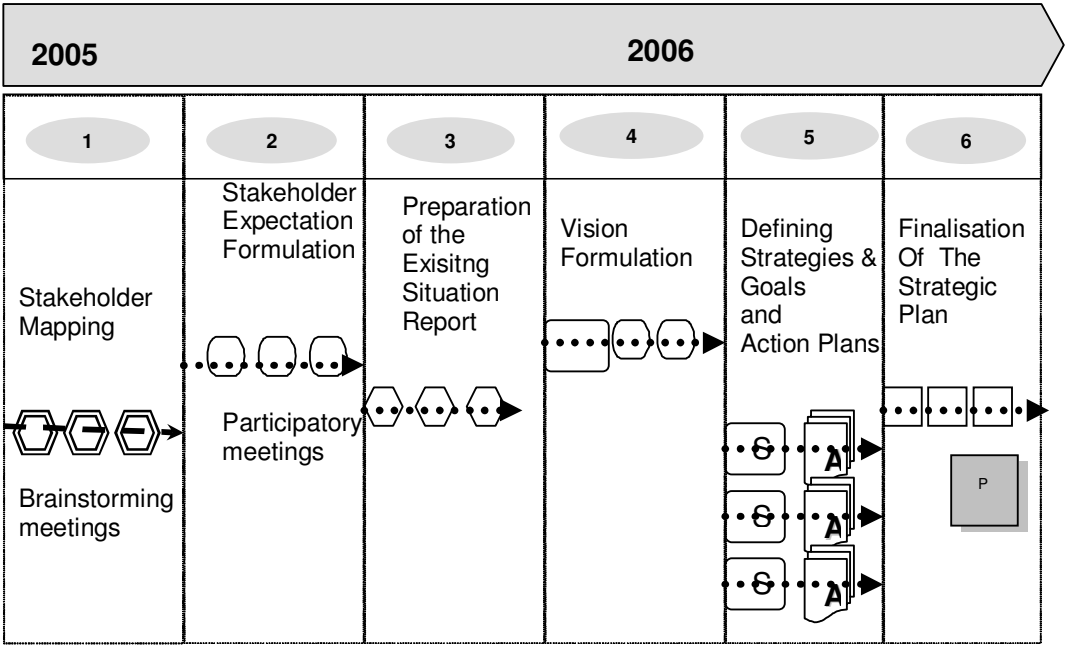


**Figure 2 The Dialogical Structure of The First Phase**

### 6.3.1.3. Action

As a result of the deliberation of TEPAV; TESEV and TÜSSİDE with Ankara Special Provincial Administration, a Strategic Spatial Planning Office, that would conduct the process as a central body mainly responsible from the Ankara Strategic Spatial Planning Process under the umbrella of Ankara Special Provincial Administration, was established. The General Secretary of the Special Provincial Administration had delegated all responsibility of the process management to Strategic Planning Office. Additionally, in this phase; the planning team composed of the coordinating members and the Strategic Spatial Planning Office determined the principles of the process and the process design structure. They defined the main pillars of the process as a broad participatory structure and an action-leading process. As a result of the participatory meetings they carried out among themselves, they produced a process design map that would guide the further steps of the process. Furthermore, they distributed the tasks among themselves to take further actions. Consequently, each member of the coordinating group took a different responsibility to conduct the following steps in the process and gave their

commitments to carry out the given task. TEPAV, TESEV and TÜSSIDE became charged for, enabling a wide range of necessary equipments, from technical knowledge to other kind of equipments. The academics from METU committed to supervise the design and steps of the process with their theoretical and methodological knowledge. The Strategic Spatial Planning Office would manage all the main aspects of further processes.



**Figure 3 The Process Design Map**

As a result of the deliberation among the team members, a process design map had been established which divided the process into 6 main phases. Following the map, the further actions had been taken in the process.

This first phase of the process did not present a very wide participatory structure. However, the fact that this phase was the preparatory phase of the process in which

the principles of the process especially with respect to the preparation of a participatory realm throughout the process had been effectful. Although, this phase did not encompass a very comprehensive context for the fulfillment of a broad participatory structure, a dialogical process and action, it met the conditions of a governance pattern within the own context of the process. Moreover, the determination of the the main pillars of the process as a broad participatory structure and an action-leading process can be interpreted as an instructory presumption that the following phases would lead to a more inclusive structure with respect to the components of democratic governance.

### **6.3.2. Phase II: Stakeholder Mapping**

In accordance with the process map generated in the previous phase, the planning team carried out studies of stakeholder mapping in the second phase of the process. Since the provision of broad participation was one of the main pillars of the process, stakeholder mapping constituted one of the basic steps of the planning process with respect to the provision of participation and dialogue. The achievement of a participatory structure and establishment of a dialogical process was very much related to the development of a comprehensive stakeholder map. Thus, the establishment of a detailed stakeholder map was one of the main necessities for a planning attempt that asserts the establishment of a broad participatory process.

In this phase of the process, participatory structure occurred in a series of steps for the establishment of a stakeholder map. In the first step of the development of the map, the members of planning team conducted collaborative meetings about how to perform a stakeholder mapping analysis study. They deliberated on the main principles of a stakeholder mapping study. The Strategic Spatial Planning would carry out the study with the supervision and support of the members of the coordinating group, with respect to the theoretical and practical issues about a stakeholder mapping process.

As a result of the participatory meetings, the planning team defined the meaning ascribed to “stakeholder” in such a large scale of project and for such a process

stating broad participation as one of its pillars. Consequently, in Ankara Strategic Spatial Planning Process, the term of stakeholder was defined as the ones who affect and are affected from the decisions given for the Ankara province, the institutions and organizations studying about various subjects pertaining to the policy-making. Following this conception, the Planning Team decided to carry out a two-step stakeholder analysis. Firstly, the institutional structure of the province was taken as the first determinant to map out the stakeholders. In this study, the administrative structure of Turkish State and administrative structure of the Turkish provinces were taken as the basic input and as a result, a stakeholder map, encompassing the stakeholders in the province according to their institutional structure, came out as the first output of this phase. As a result of the first phase; all the stakeholders of the Ankara province were searched out and were fit under the institutional stakeholder structure. The map created as a first step to determine the stakeholders; consisted of three main groups, including, international institutions, public institutions and civil society and non-governmental organizations. Under each category, sub-groups, detailing the stakeholder categories, were created including; governorship, provincial directorates, administrative district offices; electeds such as municipalities, village headmen, etc.; civil society representatives such as NGOs, trade associations, political parties, various unions, organizations and cooperations, charities, and other institutions such as universities, press enterprises.



**Table 1 The Stakeholder Map According To The Institutional Structure**

<b>Main Stakeholder Groups</b>	<b>Sub-Stakeholder Groups</b>	<b>Specific Stakeholder Groups</b>
THE INTERNATIONAL INSTITUTIONS	<b>The Representative Offices of International Agencies</b>	
THE PUBLIC INSTITUTIONS	<b>The Central Government Institutions</b>	The General Secretary of Presidency
		The presidency of Turkish Grand National Assembly
		The Prime Ministry
		The Ministries
		The Universities
		Other Governmental Institutions
	<b>The Provincial Institutions</b>	The Governorship

Table 1 (continued)

		The Administrative District Offices
		The Provincial Directorates
	<b>The Local Governments</b>	The Provincial Special Administration
		The Municipalities
		The Village Administrations
THE CIVIL SOCIETY AND NGOS	The Political Parties	
	The Professional Chambers	The Industry and Trade Chambers
		Other Professional Chambers
	The Associations, Foundations and Charities	
	The Unions	The Labour Unions

Table 1 (continued)

		The Employer Unions
		The Public Unions
	The Artisans and Craftmen Organisations	
	The Local Associations and Cooperations	
	The Press Enterprises	
	Other NGOs	

**Source:** Special Provincial Administration, 2007

The Strategic Spatial Planning Office defined each institution in the province under each title. Consequently; covering all these stakeholder groups, the total number of stakeholders reached to 10980.

**Table 2 Stakeholder Groups in Ankara Strategic Spatial Planning Process**

<b>Stakeholder Groups</b>	<b>Number of Stakeholders</b>
International Institutions	4
General Secretary of Presidency	2
Turkish Grand National Assembly Presidency	5
Prime Ministry	3
Ministries	30
Universities	10
Member of Parliaments	29
Other Governmental Institutions	19
Governorship	35
Administrative District Offices	24
Provincial Directorates	10
Province Special Administration	160
Municipalities	67
Village Administrations	838
Political Parties	12
Chambers of Trade and Industry	22
Other Professional Chambers	36
Association & Foundations	7672
Charities	1800
Labour Unions	24
Employer Unions	9
Public Unions	24
Organisations of Artisans and Craftmen	56
Local Association and Cooperations	8
Press Enterprises	65
Other NGO's	16
<b>Total</b>	<b>10980</b>

Following the first step of stakeholder mapping; as a second action, the Planning Office conducted another study on the grouping of stakeholders. They worked out different sectors and specialization areas in the province that pertain to urban policy making. This study was carried out in addition to the first step with an aim of not to exclude any stakeholders that have their say in the future of the province. To do this, the researchers in the Office investigated sectoral plans and studies carried out by various institutions such as ministries, provincial directorates, Ankara Chamber of Trade and Chamber of Industry. Furthermore, they reviewed the LA21 applications in the province since LA21 applications include various participatory practices about different subjects relating to the city. A sectoral classification also aimed at examining the stakeholder group of NGOs in more details since there have been a large number of stakeholders in the province which some of them were no were active. The existing NGO lists, obtained from the records of various institutions, were not updated. Thus, the Strategic Planning Office revised the list of NGOs in the province by considering the present active ones in the province. Following such a study, the Strategic Spatial Planning Office narrowed down the number of 9472 non-governmental organizations in the province by defining the names of NGOs that respond to each sector and specialization area. The list defined, referred to the NGOs with whom the ASPO would establish direct dialogue.

In the clarification of the NGOs for getting into direct contact; in addition to a sectoral and specialization analysis, the ASPO established some criteria such as; the geographic distribution (in which part of Ankara did the NGO located), activeness & effectiveness of the NGO, accessibility to the NGO (the access of Strategic Spatial Planning Office, by mail, e-mail, telephone, to the stakeholder). As a result of the studies carried out for the determination of NGOs, an NGO map, grouped with respect to the specialization areas of the NGOs, was generated.

**Table 3 NGOs Determined According to Different Stakeholder Sub-Groups**

SUB-GROUPS	NAMES OF SUB-GROUPS	NAMES OF NGOs
<p align="center"><b>SUB-GROUPS ACCORDING TO DIFFERENT SECTORS</b></p>	<p align="center">AGRICULTURE &amp; HUSBANDRY</p>	<ul style="list-style-type: none"> <li>• Tarımsal Koruma Hizmetlerini Geliştirme Derneği</li> <li>• Sürdürülebilir Ekolojik Tarım Derneği</li> <li>• Tarımsal Gelişme Eğitim ve Sosyal Dayanışma Vakfı</li> <li>• Tarımsal Enerji ve Mekanizasyon Araştırma Ve Eğitim Vakfı</li> <li>• Tarımla Uğraşanlar Yardımlaşma Vakfı(TİGEM)</li> <li>• Ziraatçılar Birliği Derneği</li> </ul>
	<p align="center">INDUSTRY</p>	<ul style="list-style-type: none"> <li>• Ankara Giyim Sanayicileri Derneği</li> <li>• Ankara Sanayici ve İşadamları Derneği</li> <li>• Siteler Sanayici &amp; İşadamları Derneği</li> <li>• Ostim Ortadoğu Sanayi ve Ticaret Geliştirme Eğitim Kalkınma ve Dayanışma Vakfı</li> </ul>
	<p align="center">SCIENCE, TECHNOLOGY &amp; RESEARCH</p>	<ul style="list-style-type: none"> <li>• Teknoloji ve Uluslararası Gelişim Derneği</li> <li>• Türkiye Teknoloji Geliştirme Vakfı</li> <li>• Bilimsel ve Teknik Araştırma Vakfı</li> <li>• Türk Sosyal Bilimler Derneği</li> <li>• Türkiye Toprak Bilimi Derneği</li> <li>• Yöneylem Araştırmaları Derneği</li> </ul>

Table 3 (continued)

	EDUCATION	<ul style="list-style-type: none"> <li>• Asya Avrupa Araştırma ve Eğitim Kurumu(ASYAV)</li> <li>• Eğitim Gönüllüleri Derneği</li> <li>• Türk Eğitim Derneği</li> <li>• Eğitimciler Birliği Vakfı</li> <li>• Mesleki Eğitim ve Küçük Sanayi Destekleme Vakfı(MEKSA)</li> <li>• Yaygın Eğitim Geliştirme Vakfı(YAYGEL)</li> </ul>
	HEALTH	<ul style="list-style-type: none"> <li>• Ankara Sağlık ve Eğitim Vakfı</li> </ul>
	ENVIRONMENT & NATURE & ECOLOGY	<ul style="list-style-type: none"> <li>• Ankara Doğal Güzellikleri Koruma Derneği</li> <li>• Çevre ve Eğitim Derneği</li> <li>• Doğa Derneği</li> <li>• Doğal Denge Ekolojik Yaşam Üretim Derneği</li> <li>• Ekolojik Araştırmalar Derneği</li> <li>• Ormancılık ve Tabiatı Koruma Vakfı</li> <li>• TEMA Vakfı Ankara Temsilcisi</li> <li>• Türkiye Çevre Vakfı</li> </ul>
	TRANSPORTATION &TRAFFIC	<ul style="list-style-type: none"> <li>• Ulaşım 2023 Derneği</li> <li>• Ankara Trafik Vakfı</li> </ul>
	CIVIL PROTECTION & DISASTER MANAGEMENT	<ul style="list-style-type: none"> <li>• Türkiye Yanık ve Yangın Afetleri Derneği</li> <li>• Sivil Korunma, Acil Yardım Yangın, Yangın ve Eğitim Vakfı (SİSAV)</li> </ul>

Table 3 (continued)

	PUBLIC ADMINISTRATION & MANAGEMENT	<ul style="list-style-type: none"> <li>• Kamu Yönetimi Uzmanları Derneği</li> <li>• Türk İdareciler Derneği</li> <li>• Yerel Yönetimler Derneği</li> <li>• Kamu Araştırmaları Vakfı</li> <li>• Türk İdareciler Vakfı</li> <li>• Yerel Hizmetler Proje Araştırma Geliştirme Dayanışma ve Yardımlaşma Vakfı</li> </ul>
	ART	<ul style="list-style-type: none"> <li>• Ankara Caz Derneği</li> <li>• Ankara Güzel Sanatları Yaşatma Derneği</li> <li>• Ankara Sinema Derneği</li> <li>• Güzel Sanatları Destekleme Derneği</li> <li>• Çağdaş Sanat Vakfı</li> <li>• Ankara Fotoğraf Sanatçıları Derneği</li> <li>• Türk Sanat Kurumu</li> <li>• Türkiye Yazarlar Birliği Derneği</li> </ul>
	ECONOMY	<ul style="list-style-type: none"> <li>• Başkent İktisatçılar (Ekonomistler) Derneği</li> <li>• Ekonomik Sosyal Araştırma ve Geliştirme Derneği</li> </ul>
	BUSINESS	<ul style="list-style-type: none"> <li>• Genç İşadamları Konfederasyonu</li> </ul>
	PUBLIC RELATIONS	<ul style="list-style-type: none"> <li>• Ankara Halkla İlişkiler Derneği</li> </ul>
	CONSERVATION & RESTORATION	<ul style="list-style-type: none"> <li>• Koruma &amp; Restorasyon Uzmanları Derneği</li> </ul>
	SPORTS	<ul style="list-style-type: none"> <li>• Spora Hizmet Vakfı</li> </ul>



Table 3 (continued)

<p><b>SUB-GROUPS ACCORDING TO DIFFERENT NECESSITY GROUPS</b></p>	<p>WOMEN</p>	<ul style="list-style-type: none"> <li>• KA-DER</li> <li>• Başkent Kadın Platformu Derneği</li> <li>• Türkiye Kadın Dernekleri Federasyonu</li> <li>• Başkent Kadın Platformu</li> <li>• Uçan Süpürge</li> </ul>
	<p>CHILDREN</p>	<ul style="list-style-type: none"> <li>• Özgürlüğünden Yoksun Çocuklarla Dayanışma Derneği</li> <li>• Sokak Çocuklarını Koruma Derneği</li> <li>• Türkiye Çocuklara Yeniden Özgürlük Vakfı Ankara Şubesi</li> </ul>
	<p>YOUTH</p>	<ul style="list-style-type: none"> <li>• Ankara Gençlere Hizmet Derneği</li> <li>• AEGEE Ankara</li> <li>• AIESEC Ankara</li> </ul>
	<p>AGED PEOPLE</p>	<ul style="list-style-type: none"> <li>• Yaşlıları Koruma Derneği</li> </ul>
	<p>DISABILITY</p>	<ul style="list-style-type: none"> <li>• Altı Nokta Körler Derneği</li> <li>• Ankara Bedensel Engelliler Derneği</li> <li>• Türkiye Sakatlar Derneği Ankara Şubesi</li> <li>• Zihinsel Özürlüler Federasyonu</li> <li>• Zihinsel ve Bedensel Engelli Çocuklar Derneği</li> <li>• Zihinsel Yetersiz Çocukları Yetiştirme ve Koruma Vakfı</li> <li>• Eğitilebilirler Rehabilitasyon ve Eğitim Vakfı(EREV)</li> <li>• Türkiye Sakatları Koruma Vakfı</li> </ul>

Table 3 (continued)

<p><b>SUB-GROUPS ACCORDING TO RECENT POPULAR ISSUES IN TURKEY</b></p>	<p>HUMAN RIGHTS</p>	<ul style="list-style-type: none"> <li>• İnsan Hakları Derneği</li> <li>• Tüketici Dernekleri Federasyonu</li> <li>• Vatandaş Haklarını Koruma Derneği</li> </ul>
	<p>SUSTAINABLE DEVELOPMENT</p>	<ul style="list-style-type: none"> <li>• Sürdürülebilir Kentsel Ve Kırsal Kalkınma Derneği</li> <li>• Kırsal ve Kentsel gelişme Vakfı</li> <li>• Türkiye Kalkınma Vakfı</li> <li>• Kalkınma Atölyesi</li> </ul>
	<p>POVERTY</p>	<ul style="list-style-type: none"> <li>• Yoksullara Yardım&amp;Eğitim Vakfı</li> <li>• Deniz Feneri Yardımlaşma ve Dayanışma Derneği Ankara Şubesi</li> </ul>
	<p>ENTREPRENEURSHIP - GOVERNANCE</p>	<ul style="list-style-type: none"> <li>• Girişimciliği Güçlendirme ve Geliştirme Vakfı</li> <li>• Genç Girişim ve Yönetişim Birliği</li> </ul>
	<p>RELATIONS WITH EU</p>	<ul style="list-style-type: none"> <li>• Türkiye Avrupa Birliği Derneği</li> </ul>
<p><b>OTHER IMPORTANT SUB-GROUPS</b></p>	<p>DISTRICT &amp; NEIGHBOURHOOD ORGANISATIONS</p>	<ul style="list-style-type: none"> <li>• Ankara İli Muhtarlar Derneği</li> <li>• Tüm Muhtarlar Derneği</li> <li>• Türkiye Muhtarlar Derneği</li> <li>• Çankaya İlçesi Muhtarlar Derneği</li> <li>• Çayyolu Platformu</li> <li>• Ankaram Platformu</li> </ul>
	<p>LOCAL AGENDA 21</p>	<ul style="list-style-type: none"> <li>• Çankaya Yerel Gündem 21</li> <li>• Keçiören Yerel Gündem 21</li> <li>• Yenimahalle Yerel Gündem 21</li> </ul>

Table 3 (continued)

	OTHERS	<ul style="list-style-type: none"><li>• Türkiye Gazeteciler Federasyonu</li><li>• Çağdaş Hukukçular Derneği</li><li>• Odtü Öğretim Elemanları Derneği</li><li>• Türk Mimarlar Derneği</li><li>• Türkiye Müteahitler Birliği Derneği</li><li>• Arı Hareketi Ankara Şubesi</li><li>• Halkevleri Genel Merkezi</li></ul>
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Following the group of NGOs, a clarification study about the number of village administrators that would directly be in dialogue with ASPO. Similar to the group of NGOs, the group of village administrators were large in number. Strategic Spatial Planning Office got into contact with Village Administrators Association and negotiated about the possibility to designate representative village administrators would build the link between the Office and village administrators and chose representatives who would inform the other village administrators about the outputs of the process and provide the knowledge flow from and to the non-representative village administrators.

After all the studies for achieving a more manageable number of stakeholders in the participatory meetings of the plan generation, the total number of the stakeholders with whom the Planning Office would establish direct dialogue was determined as 1074.

**Table 4 The Participant Profile in Ankara Strategic Spatial  
Planning Process**

<b>Stakeholder Groups That Directly Would Attend To Meetings</b>	<b>Number</b>
International Institutions	4
Central government	8
Universities	10
Member of Parliaments	29
Other Governmental Instutions	19
Governorship	35
Administrative District Offices	24
Provincial Directorates	10
Province Special Administration	160
Municipalities	67
Village Administrations	12
Political Parties	22
Other Professional Chambers	36
Association & Foundations	354
Charities	50
Labour Unions	24
Employer Unions	9
Public Unions	24
Artisan and Craftman Organisations	56
Local Association and Cooperations	8
Press Enterprises	65
Other NGO's	16
<b>Total</b>	<b>1074</b>

The stakeholder mapping phase consisted of various stages. After the generation a comprehensive stakeholder map, the Strategic Spatial Planning Team started its studies to establish channels of dialogue with the stakeholders. They established two different channels; one of which is getting into direct contact with the stakeholders and the other is announcing the process via the means of mass communication. The 1074 had been determined as the number of the stakeholders with whom direct dialogue would be established. Consequently, the Strategic Spatial Planning Office got into contact with those stakeholders by telephone and by sending an informing document to inform them about the initiation of a participatory planning process in Ankara. Sending this document, the Planning Office requested a written return from the stakeholders about whether they were interested in the process and would participate to the process. As a second channel of establishing dialogue with stakeholders, the Planning Office announced the initiation of the process via the channels of mass communication. The Planning Office got into contact with various press associations and arranged meetings with them to give statements to press members. News and columns about the process have been established in both local and general newspapers and magazines. Similar to these, Similarly, the start of the process was announced through the web site of Ankara Special Provincial Administration. This step of announcing the process via the channels of mass communication was taken as a precaution for the achievement of full participation since some of the stakeholders that would like to participate could have been excluded as the stakeholders of direct dialogue had been limited to 1074.

As a result of the informing studies, 492 stakeholders out of 1074 returned to the Strategic Planning Office by either telephone, mail or a letter expressing their interest about the process and explaining their expectations and perceptions about the province.

**Table 5 The List of Stakeholders that Replied to The Strategic Spatial Planning Office**

<b>Stakeholder Groups</b>	<b>Number Of Stakeholders</b>
Provincial Council	37
Governorship	11
Village Administrations	24
Provincial Directorates	18
Province Special Administration	21
Municipalities	67
Universities	10
Professional Chambers	21
Industry and Trade Chambers	13
Artisan & Craftsmen	40
Press & Media	50
Unions	47
Association & Foundations	94
Charities	39
<b>Total</b>	<b>492</b>

Source: Şahin, 2006

Despite the fact that, 1074 stakeholders were directly informed and invited for participating the process, and additionally the process was announced via different channels to the other stakeholders, in total 492 stakeholders showed interest to the process.

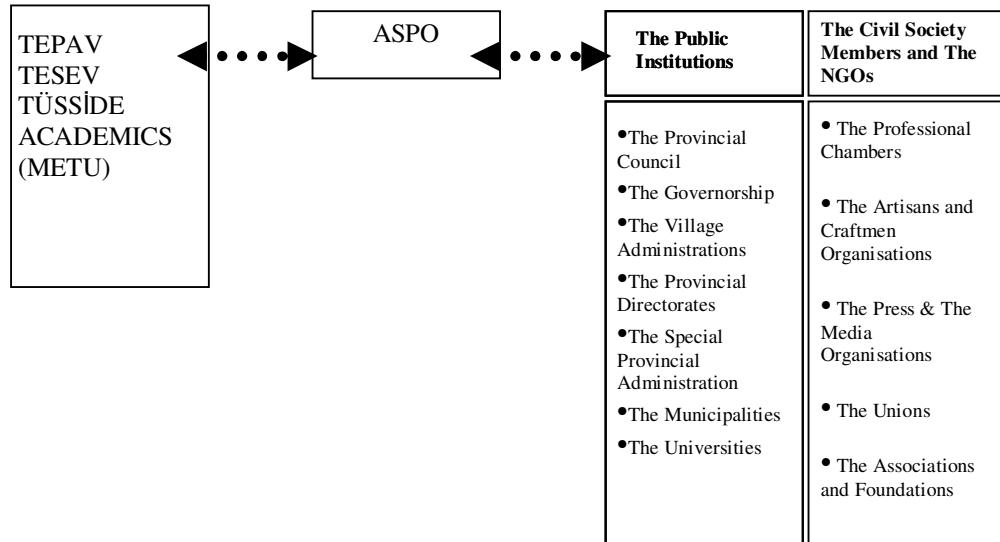
In this second phase of the process, participation, dialogue and action had penetrated to each other. To introduce them separately seems a bit demanding analysis. Thus, the examination of the conditions of democratic governance will be made not as an explanatory one as done in the previous part, but as a critical one.

#### **6.3.2.1. Participation**

Participation in the second phase of the process originated as a result of the effort to determine a stakeholder map as broad as possible. To achieve this aim, as a first step, the Planning Team prepared participatory meetings among themselves in which they deliberate on the generation of a stakeholder map as inclusive as possible. This first step did not include a very participatory structure.

As a result of the studies of ASPO with assistance of the coordinating group, the stakeholder map of all the province was established. The stakeholder group that would actively participate to the process was determined with the participation of stakeholders. This second step of the process had encompassed a more participatory structure since it included 492 stakeholders.

TECHNICAL  
SUPPORT/CONSULTATION



**Figure 4 The Organizational Structure of The Second Phase**

The participatory organizational structure of this phase can be conceptualized as shown in the Figure 4. The first two groups of stakeholders show the participatory structure in the first step of the process while the remaining stakeholder groups represent the ones who showed interest to the process and participated and; built dialoge with the ASPO.

When the stakeholder groups in the initial stakeholder map is shown in the Table 2 is examined and compared to the institutions participated to the process shown in the Figure 4, it is realized that some of the stakeholder groups remained uninterested to the process. These groups consist of the branches of international institutions in the province, the political parties, the General Secretary of Presidency, the Turkish Grand National Assembly Presidency, the Prime Ministry, the Member of Parliaments, the Administrative District Offices. Consequently, it is obvious that it has been the central government institutions which did not show



much interest to the process. On the contrary, it is the civil society and local government branches that showed participation in this phase.

### **6.3.2.2. Dialogue**

In the first step of the process, an intensive dialogical procedure took place among the Planning Team members. Especially, ASPO and the academics in the process had got into direct contact to generate a stakeholder map as wide as possible. Additionally, to define the stakeholders according to their sectoral expertise and specialization areas, the Strategic Spatial Planning Office established dialogue with the General Directorate of Charities<sup>9</sup> and Civil Society Development Center<sup>10</sup>. Through dialogue with these institutions; the Strategic Spatial Planning Office obtained the numbers of active NGOs in the province. Since the objective was to ensure the broadest participation and at the same time a manageable number of stakeholders, the determination of active stakeholders was substantial. Similar to the dialogue with those two institutions to determine the active NGOs; also the Planning Office got into contact with the Village Administrators Association, to designate the representative stakeholders from this group, due to the fact that they were very large in number.

In the phase of stakeholder mapping, different dialogical processes were established to clarify the number of stakeholders with whom direct dialogue and interaction would be built in the plan-making process. The first type of the dialogue was the one among the members of the Planning Team and the second was the dialogue with the Planning Office and the institutions including The General Directorate of Charities, The Civil Society Development Center and the Village Administrators Association.

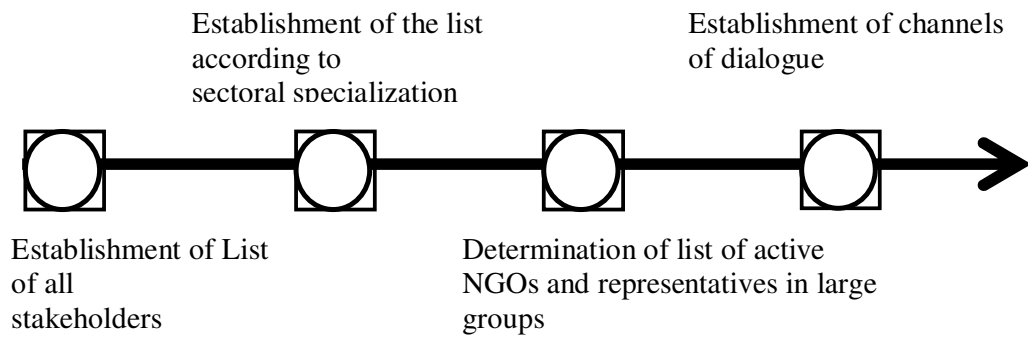
Following such dialogical processes, in the second stage of the stakeholder mapping process, channels of building dialogue with other stakeholders in the province were

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<sup>9</sup> Vakıflar Genel Müdürlüğü

<sup>10</sup> Sivil Toplum Geliştirme Merkezi (STGM)

established. This constituted the first step to initiate dialogue with the stakeholders. As a result; as also mentioned above, among the 1074 stakeholders with whom direct dialogue established and the others accessed through mass media channels, 492 of the stakeholders got into contact with the researchers in the Planning Office and built dialogue with them.



**Figure 5 The Dialogical Structure of The Second Phase**

### 6.3.2.3. Action

As a result of the second phase of the process, a stakeholder map had been produced with respect to the various steps of the stakeholder mapping. Additionally, the ASPO produced a database including the contact address and telephone number of each stakeholder. The generation of a database helped the pursuit of stakeholder participation and assisted in the establishment of further dialogue with the stakeholders. Also, an important outcome of this process had been the establishment of initial dialogue among the stakeholder.

### 6.3.3. Phase III: Stakeholder Expectation Formulation

Following the establishment of a preliminary dialogue with the stakeholders, in the third phase; a more comprehensive structure of participation and dialogue could have been observed since in this phase the researchers of ASPO started to determine the inputs of the plan with the participation of various stakeholders. This phase sought to obtain two inputs; one of which is the expectations of stakeholders and their point of views about the Ankara province; and the other is the strengths, weaknesses, opportunities, threats (SWOT) of the province from the stakeholders' point of view. With respect to the aim of attainment of two basic inputs in the process, two series of participatory meetings were arranged. In the first one, stakeholders expressed their expectations and future dreams about the province. In the second, the SWOT of the province from the stakeholders' points of view was derived. To these meetings, 492 stakeholders were invited, which constitute the ones who showed interest to the process and established dialogue with the ASPO in the previous phase of the process, However 257 of the stakeholders participated in this phase of the process.

**Table 6 The List of Stakeholders That Are Invited and Participated To Expectation Determination Meetings**

<b>Stakeholder Groups</b>	<b>Invited</b>	<b>Participated</b>
Provincial Council	37	31
Governorship	11	9
Village Administrations	24	21
Provincial Directorates	18	16
Province Special Administration	21	15
Municipalities	67	35
Universities	10	6

Table 6 (continued)

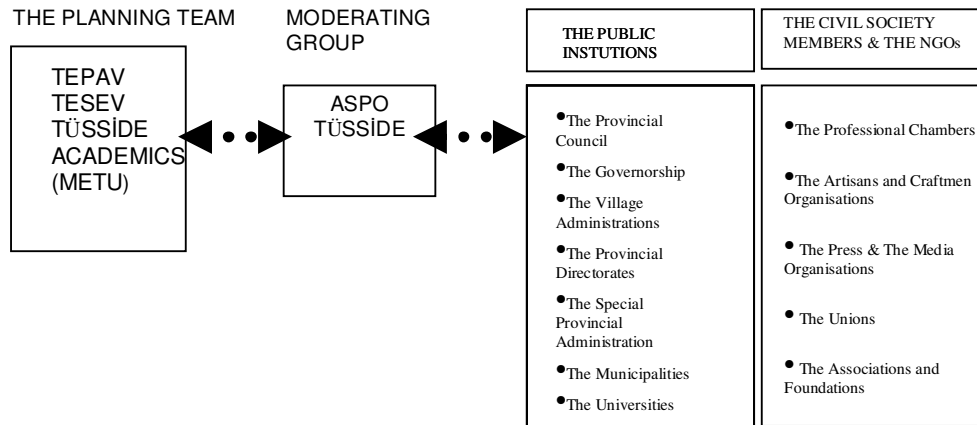
Professional Chambers	21	13
Industry and Trade Chambers	13	7
Artisan & Craftsmen	40	16
Press & Media	50	4
Unions	47	18
Association & Foundations	94	50
Charities	39	16
Total	492	257

Source: Şahin, 2006

### 6.3.3.1. Participation

257 stakeholders participating to the process, a broad participatory milieu had been established in this phase of the process. In a similar way to the previous phases, the planning team conducted meetings with the participation of its members and negotiated on the contextual and procedural issues related to the meetings of broad participation. These small meetings encompassed issues such as the sort of knowledge aimed to be generated in the end of the phase, the constitution of an organizational structure in the meetings enabling the establishment of a democratic milieu. In accordance with these subjects, the planning team deliberated the issue of power, democratic participatory methods and precautions to prevent a top-down approach, in those participatory meetings.

Including the participatory structure among the team members and the structure obtained in the participatory meetings; as a result, an organizational structure has occurred as in the following figure:



**Figure 6 The Organizational Structure of The Third Phase**

Even a broad participatory structure was attained in this phase, the number of stakeholders interested with the process has declined compared to the previous phase. The interested groups to the planning process remained the same as in the previous phase. However; the percentage of stakeholders from the civil society, participating to the process, declined; whereas the stakeholders from the public institutions increased.

### **6.3.3.2. Dialogue**

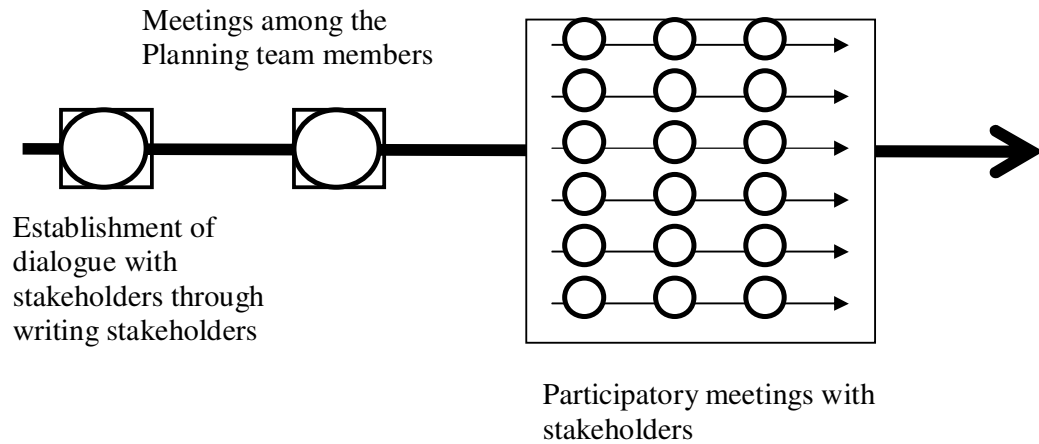
In this phase, the ASPO had got into contact with the interested stakeholders, who had built dialogue with the Strategic Planning Office and who showed interest to the process. Since the voluntary participation was essential in the process, the priority was given to the establishment of dialogue with the interested stakeholders.

In the meetings, the creation of the necessary conditions for the establishment of a democratic dialogue environment was a primary issue of consideration, Two main principles were followed throughout all the meetings to provide a democratic milieu,; the participation of the researchers to the moderation of the meetings by the researchers in the Planning Team and the provision of the control of the power

relations, the prevention of the dominance of the powerful in decision-making. In line with these principles, the meetings were moderated by the members of the Planning Team; including the researchers in Strategic Planning Office and moderators from TÜSSIDE; which enabled the control of power relations. Additionally, the stakeholder groups in the participatory meetings were formed in consideration of power relations.

The formation of stakeholder groups with respect to the power relations led to the establishment of groups in a way that all the participants of the participatory groups to be from a different stakeholder group. Each group consisted of a representative from a different stakeholder group due to the fact that the top-down relations could occur among the stakeholders that belonged to the same group. Consequently, stakeholder determination meetings have been arranged through dialogical processes of equal conditions.

The implementation of these policies; the moderation of the meetings by the insiders from the process and the arrangement of meetings with respect to the relations among the stakeholder groups contributed to the navigation of this phase on a democratic discourse.



**Figure 7 The Dialogical Structure of The Third Phase**

The moderation of the meetings by the members of the Planning Team contributed to the creation of social settings in the meetings, independent of power structures. Thereby, the attempts of stakeholders to direct and dominate the meetings had been prevented. In addition to control power relations, the moderation of the meetings by the researchers in ASPO facilitated the follow of an action research approach in which the researcher also become the participant.

### **6.3.3.3. Action**

In the previous phase, Strategic Spatial Planning Office had requested from stakeholders, to explain their perceptions and expectations about the province which would constitute an input for this phase. In addition to the written documents some stakeholders had sent including their dreams about the province and the problems, opportunities of the province; in this phase, the stakeholders generated collaboratively 2710 ideas related to the future of the province. Furthermore, in this phase, the stakeholders determined the SWOT of the province. Following this stage of knowledge generation, the researchers in ASPO generated the titles of the plan about the priority areas collectively generated. To do this, the researchers of the

Strategic Planning Office analyzed the collectively generated knowledge by using some analysis techniques such as correspondance analysis and social network analysis. Thereby, they transferred the knowledge into prior strategies of the province without interfering into any of them. Consequently, the main principles and the targets of the plan which are important for the development of the contents of the strategic plan were obtained. The participation and deliberation of the stakeholders accompanied by the efforts of the researchers had generated the output of this phase. This collectively generated knowledge, being a basic content for the plan, constituted an input for the following phase.

To sum up how the conditions serving to democratic governance in this phase have been set a participatory structure with the participation of 257 stakeholders that had showed interest in the previous phase of the process. This did not mean that others than the ones showed interest to the process had been kept away from the process; however the process was based on voluntary participation and had been kept open throughout the process. There had been some stakeholders who had not participated to the previous phases but participated to this phase by getting into dialogue with the ASPO. In this phase, there had been two types of meeting similar to other phases in te process: the large participatory meetings to which the all stakeholders could participate and the smaller ones the planning team organized among its members. These constituted the main participatory organizational structures of the process. In addition to this; in this phase, a dialogical process was conducted among the ASPO and the stakeholders before and after the meetings. The meetings in this phase were prepared in consideration with the conditions of a democratic dialogical environment. In this respect, the control of power relations was a main principle. The participation of the researchers had been effectful in the management of power relations within a consciousness of the necessity of the control of power relations among different interests. Also the moderators that have been specialized in moderation had contributed to the development of a participatory milieu; however the researchers had more active role since they had been familiar more with the content and the subjects issued in the plan. Moreover, the ASPO designed stakeholder that would participate to the meetings within the consideration of the



possibility of the affect of power relations on the development of a democratic participatory environment. They formed different meeting groups in which the stakeholders from different interests could come together. Otherwise, the more powerful stakeholder could effect the decisions on that particular subject. In conclusion, all these policies in this phase have contributed to the establishment of a democratic participatory process and a democratic participatory organizational structure within this process.

#### **6.3.4. Phase IV: Preparation of The Existing Situation Report of Ankara**

Obtaining the inputs of the plan including the main subjects of the plan, the priority areas related to each subject; via the participation of the stakeholders; the fourth step encompassed the preparation of the existing situation report of the province. In the previous phase of the process, the SWOT analysis of the province was generated from the perception of the stakeholders. In the Expectation Determination meetings of the previous phase, the Planning Team had conducted studies for the preparation of the existing situation report. However, that analysis included the generation of a subjective SWOT, since it had embraced only the conception of the stakeholders. Nevertheless, a detailed scientific analysis was needed for the further development of the strategies of the province. The knowledge related to the existing situation of the province would be obtained so that it would be given to the stakeholders and the stakeholders could be able to develop the further input of the province by both the consideration of the factual data and their conceptions.

##### **6.3.4.1. Participation**

In the similar way with the previous phases, in the organizational pattern of this phase, two participatory structures had been established; firstly around the discussions among the planning team members and other the collaboration structure between the planning team members and the other stakeholders from the province. In the first step, The Planning Team discussed in the meetings the necessary actions for the preparation of an existing situation report such as reaching the updated data

about various issues related to the province, establishment of a collaborative structure to obtain the data about those various issues. Consequently, a new collaboration structure among the Strategic Planning Team members has been established in this phase. Different from the organizational structure of the previous phases, TESEV committed on conducting a research about the social structure of Ankara province including poverty analysis and service satisfaction survey. Additionally, the academics from METU carried out a research on the determination of the issues that an existing situation analysis covers and deducted a list of titles and sub-titles the existing situation reports include. TEPAV and the Strategic Planning Office cooperated on the data collection and the preparation of the report. By such a collaborative structure among the planning team members, the first step of this phase had been taken. In the following step, collaboration with other stakeholders in the province got started. The ASPO arranged various meetings in which stakeholders participated for sharing the available data about the sectors they are specialized in. Before such an exercise, in the previous phase; the ASPO had requested from the stakeholders to send the available data about the sector they are professionalized in. In that process, 48 stakeholders out of 1074 had sent data about the existing situation of the province.

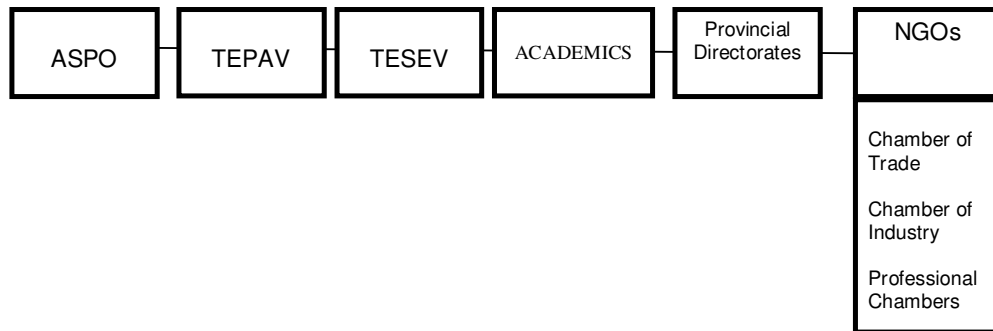
**Table 7 The Stakeholder Groups That Sent Data About The Existing Situation Of The Province**

<b>The Stakeholder Groups</b>	<b>Number of Stakeholders That Sent Data</b>
International Institutions	0
Central government	0
Universities	0
Member of Parliaments	0
Other Governmental Institutions	1

Table 7 (continued)

Governorship	4
Administrative District Offices	4
Provincial Directorates	2
Province Special Administration	2
Municipalities	9
Village Administrations	0
Political Parties	1
Professional Chambers	1
Association & Foundations	11
Charities	2
Labour Unions	2
Employer Unions	1
Public Unions	0
Artisans and Craftmen Organisations	3
Local Association and Cooperations	3
Press Enterprises	0
Other NGO's	2
<b>Total</b>	<b>48</b>

In addition to the written returns by the stakeholder groups shown in the table, some of the stakeholders had collaborated with the Planning Office for enabling further information about the technical data in the small meetings prepared for each stakeholder group. In this step, not much institution has participated. Consequently, the ASPO met with the provincial directorates of each sector, the Chambers of Trade and Industry and other professional chambers. As a result of the meetings these institutions participated to The institutions which participated to the meetings, gave commitment to provide related reports to the studies of the ASPO.



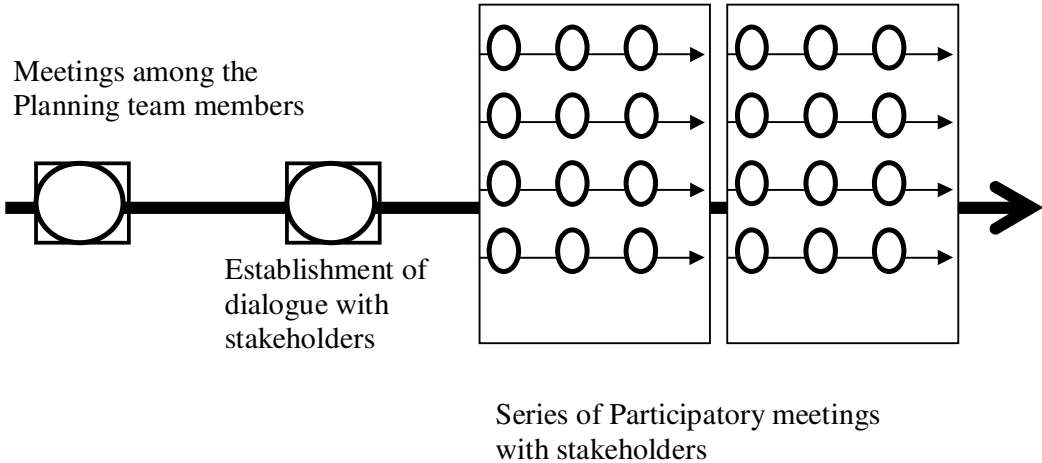
**Figure 8 The Organizational Structure of The Fourth Phase**

#### **6.3.4.2. Dialogue**

In this phase of the process, to enhance the generation of an existing situation report with the democratic participation of the stakeholders, a dialogical process was designed. The ASPO got into contact with the stakeholders that showed interest in the previous meetings. However, a small percentage of stakeholders responded. As also mentioned above it was the provincial directorates, the Chambers of Trade and Industry and other professional chambers that showed interest to this phase. Despite all its efforts, the ASPO had difficulties in getting a respond about the collection of data for the generation the existing situation report. Compared to other institutions. The ASPO built dialogue with the provincial directorates more easily. This was most probably due to the fact that the responsibilities of the provincial administrations were transferred to the Special Provincial administrations<sup>11</sup>. The provincial administrations were in a process of being added to the organizational structure of the special provincial administration. Even this new structural change had not reflect to the application yet, the provincial admnistrations had become more dependent on the Special Provincial administrations. Thus, they became closer to the Special Provincial Administration. However, most of the provincial directorates did not have appropriate and related analyses that could provide an

<sup>11</sup> Special Provincial Administration Act, no. 5302, article 6a

input for the report. Nevertheless, other stakeholders embracing the professional chambers had more qualified and helpful data for the generation of the existing situation analysis. Anyhow, keeping dialogue with ASPO, the stakeholders including provincial directorates, the Chambers of Trade and Industry and other professional chambers, shared the reports related to their sectoral specialization with the Planning Office and contributed to the generation of input for the Existing Situation Report.



**Figure 9 The Dialogical Process of The Fourth Phase**

In summary, the dialogical process of this phase had been composed of three steps. As a first step, the dialogical structure among the planning team members were kept alive via the arrangement of regular participatory meetings among the team members. In this respect, the team members made a work share and kept dialogue alive to give feedbacks among each others. In the second step, the ASPO established dialogue with the stakeholders to collaborate on the generation of the related data in which not much of the stakeholders showed interest. As a last step of

this phase, a series of participatory meetings were carried out in which each stakeholder group constituted a session of meetings.

#### **6.3.4.3. Action**

After all the related data had been collected with the participation of the interested stakeholders, the Strategic Spatial Planning Office synthesized the collected data and prepared the generated data. The report constituted the revision of the all studies carried out about the province including; all sectoral based analyses generated up until today. As a last work in this phase; the finished version of the report was sent to the stakeholders as an input for the further studies in the following phases of the process.

To sum up the the characteristics of this phase; it can be concluded that the phase included common principles with the previous ones but only had some small contextual differences in the structures. The participatory structure established in this phase comprised the planning team members and the voluntary stakeholders that wanted to contribute to the input of the Expectation Determination Meetings. Although the ASPO informed all the stakeholders about the conduction of such a phase, most of the stakeholder groups did not show much interest. Three main stakeholder groups including the provincial directorates, the professional chambers, and Chambers of Trade and Industry actively participated to this phase. Within a dialogical process with these institutions, the data including different sectoral analysis has been collected. However, there occurred some problems in data collection, since most of the institutions had unupdated data. Thus, the ASPO spent further time to reach the updated or revise the existing. In addition to this problem, most of the time, the ASPO needed to push and remind the stakeholders to get the data. Due to the fact that, some of the institutions stood away from sharing data or asked for numerous procedural processes to reach the data, the ASPO had spent much more time than planned for collecting data. As a general conclusion for the participation and establishment of dialogue with stakeholders in this phase, it can be

said that most of the stakeholders remained unwilling to participate to knowledge generation in this phase.

### **6.3.5. Phase V: Vision Formulation**

Having finished the studies about the determination of the expectations of the stakeholders and the technical analysis about the existing situation of the province, stakeholders could have a general picture of the province in addition to their perceptions, so that they would be able to more effectively generate the target the province would reach, which is the vision. The outputs of the previous phases constituted inputs that assisted the stakeholders to join both their own knowledge, their perceptions and the technical knowledge. Consequently, in a large participatory meeting, stakeholders came together to generate the vision of the Ankara province.

#### **6.3.5.1. Participation**

Similar to the previous phases, as a first step in the phase, the Planning Team conducted meetings to determine the issues related to this phase; such as the content of the vision formulation process and the scope of the meetings. Additionally, the way the meetings would be moderated, the conditions provided for the preventing of power exercises, the stakeholder spectrum that would participate to the meetings was among the issues deliberated among the team members.

In the same way with the previous meetings, the meetings were again moderated by the Strategic Planning Office and TÜSSİDE. The meetings were moderated with an effort of creating a democratic milieu enabling the stakeholders to express their ideas freely, without being subject to pressure of any power groups. As also followed as a strategy for control of power in Expectation Formulation Meetings, a participatory meeting structure in which the representatives of different stakeholder groups were mixed to provide a balance in power relations.

In this phase, the planning team members specialized in different disciplines also participated to the meetings as intellectuals. They also contributed to the formulation of the last version of the vision as a result of the deliberation among the actors. For instance, the researchers in the ASPO and the academics from METU assisted the generation of the last version of the vision statement. Additionally, a new stakeholder group has been added to participate to this phase, which are intellectuals; including scientists, artists, musicians. Including all these, in total, 91 stakeholders participated to the Vision Determination Meetings.

**Table 8 The List Of Stakeholders That Are Invited and Participated to Vision Determination Meetings**

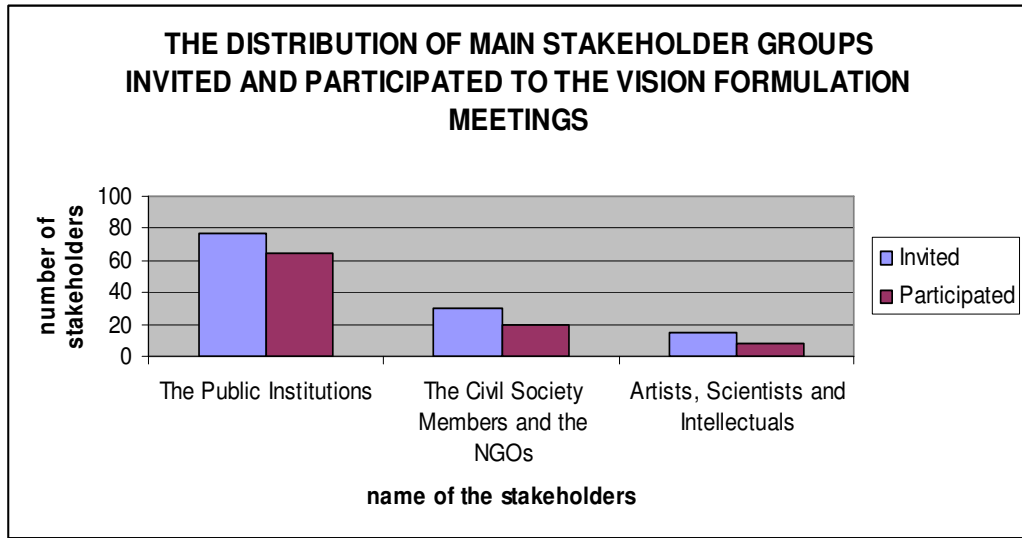
<b>Stakeholder Groups</b>	<b>Invited</b>	<b>Participated</b>
Governorship and Special Provincial Administration	12	12
District Administrators	24	22
Municipal Mayors	24	13
Provincial Directorates	7	8
Universities	10	9
Professional Chambers	11	4
Industry & Trade Chambers	2	1



Table 8 (continued)

Artisans	1	0
Media	1	1
Unions	4	1
Association and foundations	9	11
Charities	2	1
Scientists and Intellectuals	10	5
Artists	5	3
<b>Total</b>	<b>122</b>	<b>91</b>

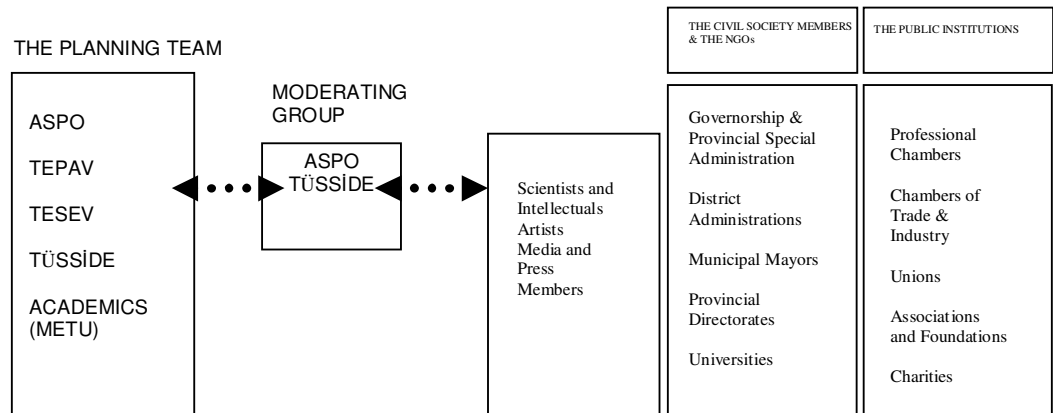
As seen from the figures, in this phase most of the stakeholders invited, participated to the vision formulation. Moreover, the public sector participated more compared to the previous meetings. This could happen due to the fact that the governor, who could not participate to the other meetings, would participate to this meeting and also the high level administrators were invited to this meeting. Both the public institutions and the the civil society members showed a 50% percentage of participation.



**Figure 10 The Distribution of Main Stakeholder Groups Invited and Participated to The Vision Formulation Process**

Compared to these two stakeholder groups, the participation proportion of the group of artists, scientists and intellectuals were lower. In this phase, in addition to the stakeholders invited, some volunteer stakeholders participated. As a result, for instance in the group of associations and foundations, the number of participated stakeholders became more than the invited ones.

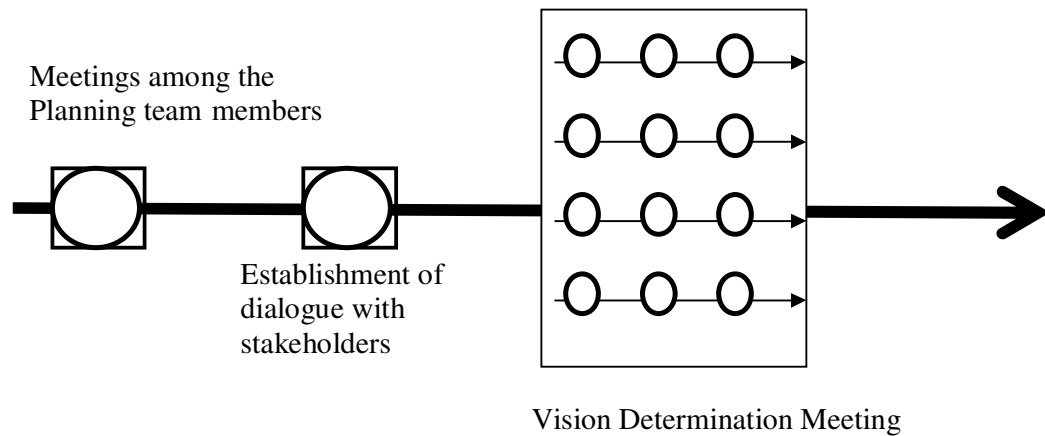
As a result, in this phase, a participatory structure has been formed as shown in the figure 11, in which both the participatory meetings among the planning team members and more comprehensive vision determination meetings provided a participatory organizational structure.



**Figure 11 The Organizational Structure of The Fifth Phase**

### 6.3.5.2. Dialogue

To initiate a dialogical process, The ASPO announced the vision determination meetings to all the stakeholders that participated to the Expectation Formulation Meetings. In this phase; the ASPO established dialogue with some other stakeholder groups, which had not participated to the previous meetings, such as the high level administrators including the governor, president, ministries, municipal mayors. In addition, the ASPO got into dialogue with new stakeholder groups such as artists, scientists and members of media. Despite of all the efforts of the ASPO, dialogue could not be established with the municipality. Additionally, an effective dialogical environment could not be established with the Governor and the Provincial Council. The Govenor did not allocate time for the strategic planning studies and throughout the process; he met the ASPO only for once although he was the main owner of the process. Additionally, The Provincial Council perceieved such a broad participatory and dialogical process as a pointless effort. Nevertheless, the dialogical structure of this phase had been kept alive with the stakeholders interested in this phase.



**Figure 12 The Dialogical Process of The Fifth Phase**

### **6.3.5.3. Action**

As an output of this phase, a vision statement had been generated with the deliberation of stakeholders on various visions they generated in groups.

With respect to one of the most frequently asked questions in academic quarters about the participatory processes, one question arises about the output of this process. Have such an exercise led to the best vision that can be generated? The vision statement was generated after a day-long meeting. It had necessitated much effort and resource. Naturally, a vision generated by a different methodology could lead to such an output. However; the vision generated by the participation of such a large group had been effective for the generation of actionable knowledge since the vision had been generated by the deliberation and commitment of the stakeholders. Also the generation of output by the collaboration of various actors provided the share of knowledge among stakeholders so that it assisted the generation of action plans which the stakeholders negotiated some part of in the Vision determination meetings.

To have an overall conclusion about this phase, an overview of theoretical remarks about vision determination in strategic planning might be helpful. It can be reminded that one of the main phases of strategic plan making is vision determination which would carry the locality to its future by the strategies and action steps generated in the light of the vision (Salet and Faludi, 1999). Vision development is one of the key concepts strategic spatial planning presents (Göksu, 2007). In terms of collective action, vision development in strategic plan making presents much since the aim is mainly to develop a roadmap for the province via the participation and collaboration of various stakeholders. Thereby, vision creation constitute an important step in strategic plan making which bring diverse range of interest and actors in space together (HABITAT, 1996). Consequently also in Ankara Strategic Spatial Planning Process, the vision determination constituted an important part of the plan-making process.

When the participatory structure and action in the process is assessed, it is realized that the participation of the high-level administrators in this phase was necessary since their participation and commitment was needed to turn decisions into actions. By being part of the vision generation process, the ownership and follow-up of high level administrators was aimed. Artists and scientists were added as another important group to participate to this process since they would sustain the generation of a creative vision. Implementation of this kind of phase-based policies aimed to contribute to the action. However, they couldn't provide much success due to some circumstances. First of all; the politics had affected the progress of participatory phases. Despite the efforts to include some stakeholders into the process, some high-level administrators including the Mayor of Greater Metropolitan Municipality, the members of the provincial council, the Governor and the Chairman of the Chamber of Trade (Şahin, 2006). For instance, A. Şen indicated that the members of the provincial council had complained that participatory processes affected their political power and authority and cause them to lose votes and the political power (interview, 2006). Despite all the efforts of the Planning Team, an effective dialogue could not be built with the members of provincial council. In a similar way; the Mayor of Greater Metropolitan

Municipality did not show interest to the process. Besides, the manner of the Mayor in urban management affairs has been criticized as being autocratic and thus, only enabling pseudo-participation in Pateman's terms or non-participation and tokenism with respect to the Arnstein's conception of participation<sup>12</sup>. Additionally, the Governor had not participated to the Vision Determination meeting even the Governor had been the principal owner of the project. This caused a counter affect in the stakeholders' perception of the process. To illustrate, the Chairman of the Chamber of Trade came to participate to the process; however he abandoned to participate by declaring that the Governor had not show interest and participate to the meeting.

Despite the fact that; high-level administrators did not show much interest to the vision determination meetings, other groups of stakeholders mostly engaged in the vision generation study. Moreover, in this phase; the stakeholders built closer contacts, since the total number of participants was less relative to the former phases of the process, the focus groups were smaller, the stakeholders had got known each other in the previous meetings. All these factors enhanced the establishment of closer dialogue among the stakeholders. Similar to the former meetings, the groups in the meetings were formed in consideration of some factors such as power relations, conditions of effective participation and dialogue. Consequently, in the vision determination meeting, stakeholders from different groups and specialization areas remained in the same group. By this way, different stakeholders having knowledge of different issues and sectors, and the stakeholders from different institutional backgrounds could come together. This enabled the variation of the ideas generated and enrichment of the issues in the visions formed by each stakeholder group.

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<sup>12</sup> This issue had also been mentioned in the 'The History of Democratic Participatory Planning in Ankara' part. For the context of the participatory projects in the period of the contemporary Mayor of Greater Metropolitan Municipality, you can have a look to the p.8

### **6.3.6. Phase VI: Strategy and Action Plan Formulation**

Following the generation of vision of the province, the last phase of the process was the determination of strategic objectives serving to the achievement of the vision and the development of action plans conforming to the strategic objectives. Consequently, in this phase, the stakeholders generated strategic objectives based on the outputs of the previous phases, including their expectations and dreams about the province, the existing situation of the province and the vision of the province. Following the determination of strategic objectives, in the participatory meetings the action steps and each institution responsible to realize that actions had been defined.

#### **6.3.6.1. Participation**

In the same way with the other phases; the participatory structure of this phase consisted of two major participatory milieus; the meetings among the planning team members and the meetings with the stakeholders. The moderating group and the planning team members remaining the same, the stakeholder groups participating to this phase slightly changed. Sectoral commissions had been established to which each stakeholder participated to the related one. In this phase, similar to the vision generation phase, the researchers from TEPAV and ASPO participated to the meetings as participants, taking place in the commissions related to their professionalization area. Since ASPO was composed of researchers from different disciplines such as planning, public management and environmental management and also they had been making analyses about the province including these issues; and in the same way the researchers in TEPAV, also contributed to knowledge generation in this phase.

In this phase, commissions related to each priority area and sector would be established; hence, stakeholders were invited according to their sectoral specialization. Consequently, this time each stakeholder group had been formed according to their productivity and activeness in generation of sectoral policies and

of course, with respect to the list of stakeholders that had been voluntarily participated to the previous phases. In this phase, in addition to the previous stakeholder groups participated to the former phases, new stakeholders had been added such as the related departments of universities, the scientists, intellectuals active and productive in each sector. The participation of the ones who take place in practice about the related subjects was essential since they were more versatile in action and project generation . Additionally, the heads and administrators of each institutions were invited to provide the commitment of stakeholders to the action plans. In accordance with these, 224 stakeholders were invited to the strategy and action plan formulation meetings. However, 123 of the invited stakeholders participated to the meetings.

**Table 9 The List of Stakeholders That Are Invited and Participated To The Fifth Phase**

<b>Stakeholder Groups</b>	<b>Invited</b>	<b>Participated</b>
Provincial Council	26	11
Governorship	4	2
Provincial Directorates & Other Governmental Institutions	23	11
Province Special Administration	5	5
Municipalities	5	2
Professional Chambers	11	10
Industry and Trade Chambers	5	2
Artisan & Craftsmen	20	10
Unions	16	5
Association & Foundations	41	23
Charities	39	24
Scientists and Intellectuals	5	3

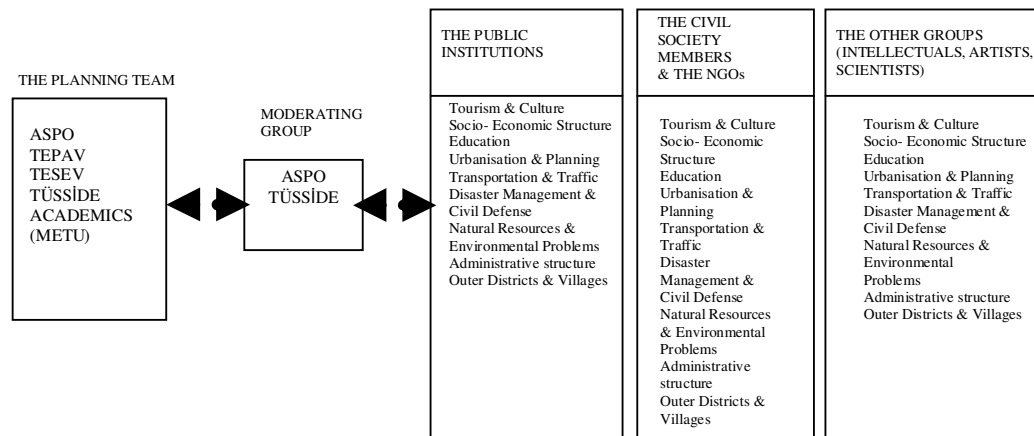


Table 9 (continued)

Artists	3	1
Related Departments Of Universities	21	14
Total	224	123

When the participatory structure of this phase is examined with respect to the the participation figures of each stakeholder groups, it can be inferred that, professional chambers and related departments of the universities had showed the highest level of participation in this phase of the process.

As a result of this phase, a participatory organizational structure has been established in which institutions specialized under each title formed commissions shown as in the Figure 13. In that structure, the stakeholders specialized in each sector and study areas studies under the related subject to their specialization areas.



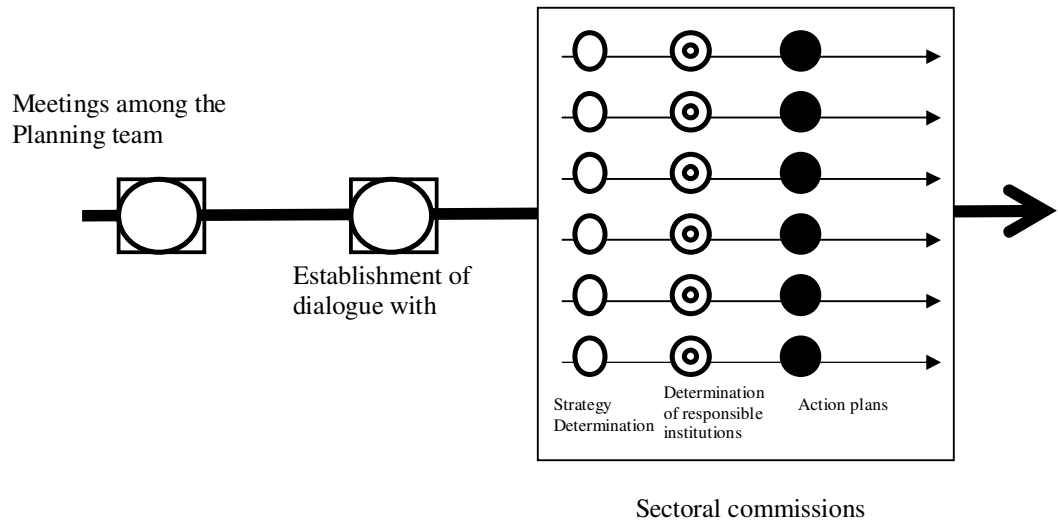
**Figure 13 The Organizational Structure of The Fifth Phase**

### **6.3.6.2. Dialogue**

In this phase, the ASPO established dialogue with stakeholders by sending an informing note to all public institutions and civil organizations that had participated to the previous phases of the process. By getting into contact with the administrators and head officers, the most active policy generators and implementators related to the specialization areas defined, had been invited to the action formulation meetings. Moreover, before the meetings, the stakeholders established dialogue with the ASPO to get prepared by related reports to the meetings.

In a series of meetings, stakeholders specialized in the same sector came together and worked on the issues they are specialized. In this stage, the aim was to obtain the commitment of institutions in the action plans they would be a part of and realize. The institutions responsible for realizing the determined strategies and each action step were determined in this stage.

Similar to the vision formulation meetings, in this phase, the participants found the chance to know each other closer and could build more intensive dialogue. Since the stakeholders from the same specialization areas came together, they could share more and produce more. Consequently, the share of the knowledge of the same sector had been effectful for stakeholders to get into closer dialogue. On the other hand, the control of power relations had been more difficult compared to the previous meetings, since the participation of administrators and individuals from high positions was quite prevalent. Some situations in which the power relations seeked to orient the meetings had occurred. In prevention of such conditions, the intervention and mediation of the researchers of ASPO had been effective.



**Figure 14 The Dialogical Process in The Fifth Phase**

### 6.3.6.3. Action

In this phase; the strategic aims and objectives related to each sector were defined via the negotiation of the stakeholders. In line with this, the stakeholders defined the actions to achieve those aims and actions. Then, the institutions/the stakeholders in charge of realization of those actions were determined. However; the stakeholders did not give their commitment willingly. The moderators had to reinforce the stakeholders to define the institutions to perform the related actions.

Following the determination of strategic objectives, in the participatory meetings the action steps and each institution responsible to realize that actions had been defined. However, the participants did not willingly take responsibility and with the push of the researchers in the ASPO, they generated the action steps and the responsible institutions from each of them.

To sum up, in this last phase of the process, even the stakeholders could generate the strategies related to each specialization area, they remained incompetent in producing the action plans and giving their commitments to carry out the action plan steps. Additionally, even most of the head administrators had been invited, they did not participate and sent other members from their units. However, the participation of heads and administrators of each institution was essential to provide the commitment of stakeholders to the action plans.

After the strategy and action formulation phase has been finished, the inputs of the plan necessary to generate had been completed. However, a finalization study had been needed. In this phase, the ASPO wished to carry out the revisions within dialogue with the stakeholders. This could contribute to stakeholders to give a final commitment. However, in this stage, the ASPO could only build dialogue with the Provincial Council. The statutory obligation mentioned in the Special Provincial Administration Law had been effectful in the realization of such a circumstance. This law obliged the approval of the plan by the Provincial Council. Consequently, in this last stage; as a result of the negotiations of the Provincial Council, the Provincial Council approved the plan. However, the Provincial Council did want some changes in the plan. The members of the Provincial Council visited the ASPO one by one to express the changes they wanted. They behaved with respect to their political interests and due to the fact that they wanted to delight the wishes of their particular electors. Despite of all these conditions, the ASPO struggled to convince the members of Provincial Council via one-to-one negotiations.

In conclusion, in this last stage of the process, the Strategic Planning Office was faced with the pressure of the provincial council to change the plan in the way they want. The Provincial Council got into contact with the General Secretary about this issue, but neither the General Secretary nor the Strategic Planning Office did compromise for any change in the plan in line with their belief to the necessity of participation and respect to the participatory efforts in the process. Otherwise, all the efforts would be wasted. The top-down approach was prevented by the

individual efforts of the General Secretary and the researchers in the Strategic Planning Office.

## **CHAPTER VII**

### **SUMMARY AND CONCLUSION**

Following an overall theoretical framework and the practical implications from a case study, the study has presented a strategic spatial planning case aiming to answer the contribution of strategic spatial planning to the establishment of democratic governance structures by responding two main questions: 1) How much did the institutional capacity enhance participatory democracy and which characteristics of the process enabled the constitution of a participatory realm?; 2) How did the Ankara Strategic Spatial Planning Process achieve the establishment of a governance system by bringing together different actors of different institutional capacities?

Within the theoretical framework, it has discussed the strategic spatial planning and its characteristics contributing to the establishment of democratic governance structures. In this respect, it focused on the conditions enhancing the democratic governance mechanisms in strategic spatial planning. Additionally, the study elaborated a strategic spatial planning exercise and within the elaboration of the case, it examined how the three conditions, including full participation, dialogical process and the action, appeared in the case and enhanced what kind of an organizational structure.

In the theoretical debates of the relation between strategic spatial planning and governance, the discourse on democracy has been very common. The criticisms on democracy had been very forceful in the establishment of new planning approaches such as strategic spatial planning.

One of the most notable criticisms to democracy, developed by Plato, is that democratic decisions are likely to be worse than the decisions taken by experts equipped by related knowledge. But deliberative democracy theorists, decisions resulting from a participatory process have more validity since they reflect the needs

of people. Since collective decision-making is the desires, the needs and preferences of people. Dialogue and participation reveal the information about these. They help the aggregation of information, pooling the information in order to establish and solve the problems (Warren, 2002). Consequently, participatory democracy theorists mostly in an optimistic perception believed that participation yields rational collective outcomes. On the contrary, according to some other theorists, an essential question remains as whether participation yields to the best solution; or policy makers very likely find similar solutions to the ones obtained in participatory environments. With respect to such a discussion; the contribution of participation in decision-making processes can be discussed as one of the inferences of this study.

It is not possible to infer that the principle of broad participation in Ankara Strategic Spatial Planning Case had led to the generation of the most effective and best solutions, policies. However it was likely to contribute to the establishment of dialogue and communication among various stakeholders in a province which has lacked participation culture. The establishment of participatory organizational structures and dialogical processes reinforced the formation of inter-institutional relations. For the first time in the province such a wide range of stakeholders came together for the common future of the province. Various governmental and sectoral levels got into dialogue with each other and cooperated. To conclude, whether such a broad participation provided better policies answering the needs of the locality may remain questionable. However, one of the basic contribution of participatory practices is that they reinforce the construction of social and political capacities of stakeholders (Pateman, 1970). In the same way, the strategic spatial planning praxis does not only embrace the generation of decisions and policies but also covers the generation of dialogical processes that nourish the social and political structure of the locality. Nevertheless, it is evident that the transformation of policies into action

is one of the essential purposes in the strategic spatial planning processes. Admittedly, by the time the plan had been generated, it did not induce much action following the strategies and action plans. However, this kind of participatory planning examples which could not followed by an action are also likely to constitute a crucial point for the establishment of participatory democracy in urban affairs (Bulca in Ataöv, 2007). Consequently, Ankara strategic spatial planning process is likely to constitute a cornerstone for the development of a democratic decision-making structure.

A subsidiary hypothesis about participation related to the issue of democratic governance is that the practices of participation have an integrative effect for the organizational structure in space since they assist the generation of collective decisions that has been mutually agreed on (Pateman, 1970). Supporting such an approach, as the result of broad participation and establishment of dialogical processes, Ankara strategic spatial planning process served as an integrating device for the development of inter-sectoral and inter-institutional relations within dialogue and collaboration among actors. The process provided a milieu and context enabling actors to discuss and reveal the problems related to their locality. Actors of the province found a common platform to get know each other, the studies they have carried out. A foundation for developing further relationships and cooperation among actors have been developed. This planning process constituted prominence among the recent planning exercises in Ankara which had been under the effects of autocratic approaches of urban administrators. It gave way to full participation and dialogue unlike the recent experiences. The past experiences were mostly in type of pseudo or partial participation with respect to Pateman's classification of participation and tokenism according to Arnstein's categorization.

In Ankara Strategic Spatial Planning Process, some circumstances caused some drawbacks. These circumstances can be summarized under two main titles as a first title including the local circumstances such as the lack of participation culture in the province, the bureaucratic character of the province and as a second title; the attitude of political actors. To begin with, the existing political mechanism of the



province gave rise to the existence of difficulties to practice full participation, dialogue and action. In line with this problem this study has argued that one of the most important conditions to make direct democracy real is the permeability of the existing political situation in a locality to the practices of democracy (Fiorino in Ataöv, 2007). The lack of former participatory exercises in the province and followingly the lack of active citizenry, which can also be learned by the practices of participatory projects

in a locality (Mill, 1965), affected the operation of the process in an indeterminative route. There has been fluctuations in the number of participants in every phase. In most of the cases, the ones participating to the former phases did not carry on their support. Consequently, in accordance with various planning practices, Ankara Strategic Spatial Planning exercise supports the idea of history of democracy in the locality constitutes an important input in the realization of participatory democratic planning processes (Ataöv, 2007). It argues that the background of participatory democratic attempts in the locality is an important component in providing the conditions of democracy. As a supporting thesis to this argument, it is evident that the notion of active citizenry is vital in providing the functioning of direct democracy (Pateman, 1970). Hence, the inconsistent participation and the reluctance of stakeholders to take action may be interpreted as a consequence of the lack of the notion of active citizenry among the citizens. These local conditions affected the efficiency and the determination of the planning practice and allowing the conditions leading to the establishment of a democratic governance structure.

It should be regarded that; the existence of an active citizenry culture forms an important ground for the establishment of democratic governance structures. The lack of active citizenry notion in the province has been also one of the variables that affected the implementation of the plan decisions. In Ankara, “an enabling mechanism for participation”(Ataöv, 2007, p.337) have not been built. When the provinces, that democratic participatory projects are prevalent; such as İzmir and Kocaeli, are examined it is realized that the “social ground”(Ataöv, 2007, p.337) and the institutional ground for the establishment of participatory decision making structures have been planted. Thus, the previous efforts for the establishment of

participatory organizational structures are influential in the establishment of further governances schemes.

As a conclusion derived from such outcomes of the process, it can be inferred that local circumstances seem to be influential in the establishment of a democratic institutional structure. Ankara being the capital city of Ankara constitutes both some advantages and disadvantages in terms of the participatory practices. Being a capital city ascribes most of the urban administrators a bureaucratic attitude. For instance in Ankara strategic spatial planning process, the governor did not get involved in the process and committed on the plan due to the fact that he was mostly engaged in matters of protocol. Consequently, the local circumstances including the existing political structure, allowing the rise of a participatory culture; the political character of the locality are important factors affecting the establishment of a democratic organizational structure in a locality.

Additionally, the attitude of stakeholders constitute another important factor for the establishment of a democratic decision-making structure in a locality.

The stakeholder groups equally participated in a collaborative and horizontal structure to the process; however after the beginning phases, they haven't showed much interest and not actively participated to the process. Even a participatory structure had been achieved in each phase in the process; the interest of stakeholders to the process had diminished. Thus, in every further phase, the number of participants to the meetings had declined. This indicates the necessity of establishment of related policies for ensuring the continuing interest of the stakeholders. Especially, such policies for keeping the interest of stakeholders to the participatory processes become necessary when active citizenry is not entrenched in the locality. Especially the consciousness for active citizenry is crucial to make the stakeholders own the process and carry the process forward. In Ankara Strategic Spatial Planning Process, Although most of the stakeholder groups tended to actively participated to the decision-making process, they have behaved reluctant to

take actions. This may be interpreted due to the absence of an active citizenship past in the province.

As a result of the elaboration of Ankara Strategic Spatial Planning Process, it is concluded that the perception of policy makers are crucial for the efficiency of planning processes. To give an example from the Ankara Strategic Spatial Planning Process, the efforts of the ASPO and the General Secretary of the Ankara Special Provincial Administration had been effectful in the prevention of a top-down approach especially in the last stage of the process. Even the provincial council insisted on some changes in the plan despite all the efforts given with the participation of the stakeholders. Also Ankara Strategic Spatial Planning Process witnessed the lack of interest in an important political actor that is the disinterest of the Mayor of Greater Metropolitan Municipality. The Greater Metropolitan Municipality was an important decision making institution in provincial scale as most of the province was included into metropolitan municipality borders. Consequently, the disparticipation of the Metropolitan Municipality was likely to cause a problem for the implementation of the decisions and action plans generated in the planning process. In addition to these, the negative attitude of the electeds, the Provincial Council members constituted a threat for the efficiency of the process and the implementation of the decisions. The Provincial Council opposed since they believed that participatory processes are likely to affect their political power and authority and they complained that they could not produce policies independently. Consequently, an effective dialogue could not be built with members of provincial council in the planning process. The researchers in the ASPO established different policies to include them; one of which was the construction of a strategic planning commission in the council; however, the members Provincial Council kept themselves in distance with an effort of securing their political power.

In conclusion, the participation and commitment of high-level administrators constitutes an important factor to motivate stakeholder groups to participate to the process. As observed from the Ankara Strategic Planning Process, when the stakeholders were informed about the participation of the governor, they showed

much more participation to the process; especially the actors of the public sector. Besides, when the governor could not participate, some of other high-level administrators and popular political figures quitted the meetings. Therefore, the participation of the high-level administrators such as the governor, mayor of municipalities are important to foster the participation of other actors.

Despite all the drawbacks caused by different circumstances in the process; such as the lack of a political structure constraining the development of an efficient participatory structure and the negative attitude of some political actors; the process constituted a successful case in terms of the establishment of democratic decision-making structures.

To start with, the aim of generating a model process has fit with the identity of the province since Ankara has constituted a model for planning implications in other provinces for several years. Being constructed as the capital city of modern Turkish Republic, it pioneered other provinces in various issues(Şehir Plancıları Odası, 2002). Consequently, the establishment of a model project such as Ankara Strategic Spatial Planning Process is very likely to have an effect on other planning applications all over the country in favor of participatory planning practices. These characteristics of the process including the effort to establish the conditions of a participatory organizational structure, a dialogical process and action enhanced the foundation of a democratic governance mechanism. Ankara Strategic Spatial Planning Process performed the conditions promoting a democratic governance mechanism in varying degrees in different phases of the process. The emphasis on the participation, dialogue and actionable knowledge in each phase of the Ankara strategic spatial planning process led to the constitution of new organizational structures including social settings in which a wide range of actors communicate and policy issues are discussed interactively, independent of power structures. Besides, social processes of collective understanding and decision-making is enhanced. Ankara Strategic Spatial Planning Process established democratic organizational structures in space, peculiar to the context of the process, which favour participation and co-operation of various stakeholders.

These conclusions have been also supported by some theoretical debates. To begin with; Innes(1996) argues that strategic spatial planning is a convenient planning exercise that enables the constitution of conditions and mechanisms that relate to democracy by conducting relevant processes and procedures of collective decision making. Strategic planning constitutes a guideline for democratic institutional reorganizations favouring horizontal relations and collaboration since it covers the organizational processes considering the horizontal interaction of all relevant stakeholders (Healey, 1997). The strategic spatial planning literature and the praxis of strategic planning suggest that procedural and organizational characteristics of strategic spatial planning encourage collaboration and the constitution of democratic governance structures. In terms of its procedural aspects, it embraces processes of dialogue triggering the integration of agendas and actions at different levels of governance and for integrating the actors. It facilitates the democratic determination of policies by providing procedures that enable citizens and elected officials to learn, discuss and decide in an informed way (Innes, 1996). With respect to the organizational aspects of strategic planning, strategic planning facilitates the constitution of a common platform bringing diverse actors together since it handles the space in a comprehensive way aiming at the overall development of the community (HABITAT, 1996). Active involvement, open dialogue, collaboration and consensus building constitutes the key terms of strategic planning with respect to its organizational characteristics. These characteristics imply a democratic decision-making and collaboration among actors and horizontal interaction on equal terms in all phases of decision and plan making (Albrechts, 2005). In line with these theoretical framework about strategic spatial planning, Ankara Strategic Spatial Planning Process performed the conditions promoting a democratic governance mechanism in varying degrees in different phases of the process. The establishment of various organizational mechanisms embracing different participatory structures, dialogical processes and action enhanced the formation of democratic milieu.

In addition to all these, also it should be added that the control and balance of power relations is a necessary condition to be established to enhance democratic organizational structures. As Warren(2002) states in order to realize a democracy

project, the equal distribution of power and participation is prominent. Additionally, Pateman(1970) emphasizes full participation as a process where each stakeholder has the equal power to determine decisions and outcome of the decisions (Pateman, 1970). From the perspective of strategic spatial planning, Albrechts suggests that it considers power structures and it embraces a process balancing the power relations(Albrechts, 2006). In Ankara Strategic Spatial Planning Process, stakeholder meetings could have been arranged through dialogical processes of equal conditions via taking some precautions for the control of power relations such as the establishment of stakeholder groups accordingly, the participation of the researchers to the meetings as moderators. The moderation of the meetings by the members of the Planning Team contributed to the creation of social settings in the meetings, independent of power structures. Thereby, the attempts of stakeholders to direct and dominate the meetings had been prevented. In addition to control power relations, the moderation of the meetings by the researchers in ASPO contributed to follow of an action research approach in which the researcher also become the participant. Following these theoretical and practical knowledge, it can be concluded that the establishment of necessary conditions for avoiding power exercises constitute prominence in provision of democratic participation.

In conclusion, with its various aspects, Ankara Strategic Spatial Planning Process constitutes an attempt for planting the managerial ground for more participatory democratic decision-making in urban affairs and urban governance. However to sustain such a participatory democratic organizational structure necessitates some implications. The application of further participatory projects in the province will likely to have a positive affect on the enhancement of consciousness about active citizenry. Being involved in more practices assist the establishment of an awareness about active participation and fosters the constitution of more stable democratic governace structures. Stuart Mill's claim supports this discourse about the significance effect of participatory planning practices on participatory governance. Stuart Mill states that participatory democracy can be learned by doing; and therefore the practices of participatory planning are very important in the establishment of a participatory democratic milieu (Mill, 1965). Paralel to this idea,

Ataöv (2007) argues that the lack of the social and political ground for active citizenry and an enabling mechanism for participation, which is valid for the Ankara province; since it does not encompass much a participatory culture, necessitates the establishment of the further planning attempts as thriving processes having adequate basis for the establishment of a participatory organizational structure. Regarding such a theory, the addition of new participatory practices will constitute important attempts for the establishment of a democratic structure in the province. Besides, the diffusion of strategic spatial planning and further application of it in planning practices will consolidate the notion of participation and dialogue in planning. However, to lead to permanent democratic governance structures, the construction of participatory realm with in consideration with the establishment of three conditions, is essential. These three conditions can be interpreted as full participation, enabling inclusive participation of stakeholders in various phases; a dialogical process ensuring communication among stakeholders and the generation of actionable knowledge/action, guaranteing the implementation of decisions taken collectively.

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