

PARTICIPATION AND GOVERNANCE IN REGIONAL PLANNING IN THE  
CASE OF ZAFER DEVELOPMENT AGENCY

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THE CASE OF ZAFER DEVELOPMENT AGENCY**

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## **ABSTRACT**

### **PARTICIPATION AND GOVERNANCE IN REGIONAL PLANNING IN THE CASE OF ZAFER DEVELOPMENT AGENCY**

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Regional planning involves widespread issues concerning the overall development of regions. This thesis focuses on evaluation of participatory planning practices at the regional level of planning. Regional Development Agencies (RDAs) are considered as the institutions that contribute to the participatory planning practices and governance at regional level. International examples are presented focusing on the topics of participatory planning and governance in regional planning.

The study elaborates the participation and governance in the regional planning processes performed by Zafer Development Agency. Zafer Development Agency operates in TR33 Region on NUTS II level in Turkey. The aim of the research is to examine the dialogue between the planner, planning authorities and the society during the planning process of the first and second regional plans of the Agency. This study focuses on the application of participatory process during regional planning which Zafer Development Agency conducted.

Inclusion, participation and improved regional administration require attention in order to improve the effects of RDAs that have been operating for the last 10 years in Turkey. A further research is suggested for improved participatory planning and regional governance practices.

**Keywords:** Participation, Regional Governance, Regional Development Agencies, RDA, Zafer Development Agency.

## ÖZ

### **BÖLGE PLANLAMADA KATILIM VE YÖNETİŞİM: ZAFER KALKINMA AJANSI ÖRNEĞİ**

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Yüksek Lisans, Bölge Planlama, Şehir ve Bölge Planlama Bölümü

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Bölge planlama, bölgelerin genel gelişimi ile ilgili geniş çapta konuları ele alır. Bu tez çalışmasında bölge düzeyinde katılımcı planlama uygulamalarının değerlendirilmesine odaklanılmaktadır. Bölgesel Kalkınma Ajansları (BKA) bölge ölçeğinde katılımcı planlama uygulamalarına ve bölgesel yönetişime katkıda bulunan kuruluşlar olarak düşünülmektedir. Bu çalışmada bölge planlamada katılımcı yaklaşım ve bölgesel yönetişim konularına odaklanarak uluslararası örnekler sunulmuştur.

Tez çalışması Zafer Kalkınma Ajansı tarafından uygulanan bölge planlamada katılım ve yönetişim pratiklerini inceler. Zafer Kalkınma Ajansı Türkiye'de İBBS II düzeyinde TR33 Bölgesinde faaliyet göstermektedir. Araştırmanın amacı bölgedeki plancı, karar alıcılar ve halk arasındaki diyalogun, Ajansın ilk ve ikinci bölge planı uygulamaları sırasında incelenmesidir. Bu çalışma, Zafer Kalkınma Ajansı'nın yürütmüş olduğu bölge planlama süreci sırasında katılımcılığın uygulanması üzerine odaklanır.

Dahil olma, katılım ve iyileştirilmiş bölgesel yönetim, Türkiye'de son 10 yıldır faaliyette olan BKA'ların etkisini geliştirmek için dikkat edilmesi gereken yönlerdir. Bölgesel yönetişim ve katılımcı planlamanın geliştirilmesi için daha fazla araştırma yapılması önerilmektedir.

**Anahtar Kelimeler:** Katılım, Bölgesel Yönetişim, Bölgesel Kalkınma Ajansları, BKA, Zafer Kalkınma Ajansı.

*In the loving memory of Fahriye, Rifat and Kenan*

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## **LIST OF ABBREVIATIONS**

- CEEC:** Central and Eastern European Countries
- EBRD:** European Bank for Reconstruction and Development
- EC:** European Commission
- EIB:** European Investment Bank
- ERVET:** The Emilia-Romagna Development Agency
- EU:** European Union
- EURADA:** The European Association of Development Agencies
- EURASTAT:** European Statistical Bureau
- GAP:** Southeastern Anatolia Project
- IADB:** Inter-American Development Bank
- NGO:** Non-Governmental Organization
- NUTS:** Nomenclature of Territorial Units for Statistics
- OIZ:** Organized Industrial Zones
- R&D:** Research and Development
- RDA:** Regional Development Agency
- SPO:** State Planning Organization
- SWOT:** Strengths, Weaknesses, Opportunities, Threats
- TURKSTAT:** Turkish Statistical Institute
- UNDP:** United Nations Development Programme
- USA:** United States of America
- VAT:** Value Added Tax









## **CHAPTER 1**

### **1. INTRODUCTION**

#### **1.1. THE SUBJECT OF THE RESEARCH**

Development of human settlements has been a steady pursuit of civilizations throughout different societies up until nowadays. Although the development of many parts of the world is from time to time hindered by some unexpected events, the primary goal remains the same, to advance and increase the quality of life of people. Regional Development Agencies (hereafter RDAs) were created in pursuit of this goal, to help regions to develop and improve their living standards and socio-economic situation. As a part of participatory planning and regional governance practices, RDAs are researched in this study.

RDAs have been operating as regional institutions with diverse functions in different jurisdictions. EURADA (1999) defines RDA as an organization that provides the problem identification about sectoral or overall development, the choices of opportunities and methods to solve these problems, and the promotion of projects for maximum solutions. Regional Development Agencies were created more than 50 years ago and in the last decade they found their place in Turkey, too. Firstly, in the 1950s and 1960s, Regional Development Agencies were established to provide information for the development programs that were pioneered by the central government. Agencies were responsible for the implementation and monitoring of the plans related to development programs. RDAs, together with the increased perception of public management and developed local competition due to the globalization during the 1980s, were assigned to provide the active participation of private sector and local actors in the regional development process (Özen, 2005). Since the 2000s, Lisbon Agenda of the EU encouraged regional governance by the application of participatory practices. These participatory practices were supposed to provide ‘better government’,

EU takes into account regional and local authorities as bodies with perspectives to inform, engage citizens, local businesses and organizations (Gualini, 2004b as cited in Lagendijk, Kayasü and Yaşar, 2009).

Based on EU pre-accession criteria/requirements, there has been a noteworthy change in the formation of this new level of regional institutions in Turkey. In this research, regional decision-making processes during the establishment of RDAs are discussed in the scope of regional development. Development is indicated here as enhancing regional economic standards for development. Enhanced standards can be explained as advanced investment opportunities and improved planning resolutions that respond the local necessities. As literature and practice suggest, participation and inclusion of other stakeholders has a potential to improve the efficiency of planning and consequently life quality of citizens and increased investments into areas.

The contribution of RDAs to the regional planning process is worth elaborating. The formation of RDAs shows the signs of improved relations of regional actors. Therefore, regional plan making processes are scrutinized in this research to reveal the relations and dialogues between regional authorities and stakeholders. In some examples, RDAs are powerful enough to conduct regional plans or projects without a direct influence from the state. In some cases, there has been an increasing reorganization in decision-making by the time agencies operate. Some RDAs establish formal links with the state institutions. In addition to this, there has been an increasing combination of top-down and bottom-up policy making mechanisms that RDAs contributed to.

This research focuses on the analysis of the contribution of RDAs to regional planning and governance in Turkey. It looks into the possibilities of an improved participatory approach to the regional planning. The previous planning processes of Zafer Development Agency are analyzed with the aim of emphasizing the participatory plan making process of an RDA.

## **1.2. THE AIM OF THE RESEARCH**

The aim of the research is the examination of the dialogue between the planner, planning authorities and the society during the planning process of the regional plan. This study focuses on how effective the participatory process was and how it can be improved to obtain better results in the case of Zafer Development Agency. The research aims at contributing to the discourse with a case study on highlighted concepts.

The scope of the research is to study the participation and governance topics in the actions of the RDAs such as plans and projects since they have been established. In order to fulfill the objectives of this research, several research questions are asked as follows:

- How participatory/inclusionary are the planning stages of the regional plans and in what aspects?
- How to strengthen the planning process of regional plan from the standpoint of plan makers in terms of participation?
- What is the role of RDAs when coordinating the regional stakeholders?
- How do RDAs/proposed plans develop the cooperation and partnership on the region?
- How do RDAs foster regional governance in the decision-making process?

The research focuses on the difference between the two regional planning practices of regional development agency. Case study is chosen with the aim of observing the change in the regional plans that were prepared by the Zafer Development Agency. The possibility of more participatory practices and tendency to improve the regional governance are analyzed according to the perspectives of planners and coordinators.

## **1.3. THE METHODOLOGY OF THE RESEARCH**

Qualitative research is chosen in order to represent the events, cases and experiences in a proper way (Miles & Huberman, 1994; Strauss & Corbin, 1990 as cited in

Sandelowski, 1995, p.180). Case study research is one of the principal means by which inquiry is conducted in the social sciences. Case study is an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, program or system in a “real life” context (Simons, 2009, p. 21) Wolcott (1992, p.36) refers to case study as an outcome or a format for reporting qualitative/descriptive work (Wolcott as cited in Macpherson et al., 2000, p.52). In order to answer the main research questions and represent this research properly, case study method is applied.

In this respect, this study is elaborated in two main parts. First is the literature review and second is the case study part. Two parts of the case study are desk research and in-depth interviews. The reasons for using these methods are obtaining information, checking facts, utilizing the complementarity of the methods and testing theory in practice.

First of all, desk research consists of analyses of plans and reports of the agency. The published documents that are related to regional plans are examined. Apart from official plans, reports and documents, outputs that provide insights about the planning processes of RDAs are examined such as interviews from online publications.

Secondly, in-depth interviews are done with the aim of gaining insights about the planning processes. Four interviewees are chosen from the people who have knowledge on the concepts and are part of the planning process. Three interviewees were staff of the agency and were involved in the planning process of the regional plans. One interviewee who has knowledge on the regional governance and regional development agencies was from an NGO. In-depth interviews are conducted in order to comprehend the perspective of the planning team of Zafer Development Agency. In order to gain knowledge on the decision-making processes, it is accepted appropriate as to make direct contacts with the people and institutions. By looking the formal regional plans and documents, only some proportion of the real condition can be known. For this reason, interviews are conducted to get more information on the planning process of the regional plan. The methodology is deliberated further in the Chapter Four.

#### **1.4. THE STRUCTURE OF THE RESEARCH**

This research consists of five chapters. Chapter One presents an overview of this research. In introduction, the methods and the reasons of the study are explained. These are followed by the main motivations for this research. Research questions are presented. The methodology that was used in the research is explained.

Literature review is conducted in Chapter Two and Chapter Three. The literature provides present state of discourse, the actions that were done before and some answers to the research questions. Chapter Two examines the Participatory Planning concept in detail. Detailed research is conducted based on the objects of participation and contributing concepts such as democracy, citizenship and communicative rationality. The origin and aims of participation are described. Course of events that contribute to the participation progress are elaborated. Costs and benefits of the participatory practices in planning are stated. The driving forces behind and approaches to participation amongst the years in planning are deliberated. Towards the end of the first stage of literature review, a link to the concept of Regional Governance is provided. Chapter Three elaborates the concepts of Regional Governance and Regional Development Agencies. Regional Governance is defined in many aspects. The international perspective, the advantages of regional governance and the positions of stakeholders in this scheme are explained. RDAs are taken as actors that practice the regional governance and participatory practices on regional level. In order to deliberate these concepts in the scope of RDAs, international examples are presented. The practices of participation and regional governance are examined based on the different context of the countries.

In Chapter Four, after the formation of main theoretical framework, an empirical research is conducted responding the particular questions about the planning process. The emphasis is on participatory planning in practice. Zafer Development Agency is selected as a case study. First part of the research comprises of desk research on the plans and projects that are done by the development agency. In order to get a better knowledge on the planning processes of two plans, in-depth interviews are done. From the standpoint of planning team, open discussions are made in order to comprise the

main research topics. In the discussion part, two regional planning processes are examined in general terms.

Chapter Five elaborates the conclusion part. An overall conclusion is made with all the information. Inferences are made in the light of the case study. The outcomes of the research are deliberated. Chapter Five discusses the possible ways to improve the planning processes regarding participation from the viewpoint of the development agency. The chapter ends with an attempt to form a general framework of participatory practices of RDAs in making inclusive regional plans and proposes the future research ideas.

## CHAPTER 2

### 2. PARTICIPATORY PLANNING

#### 2.1. DEFINITION

Word participation in the dictionary signifies the act of taking part in some action (Dictionary.com, 2016). It is a phenomenon present in human society since its early beginnings when people participated together in hunting and gathering, later in farming and after that in participating in various forms of ruling and governing. People want to be part of something, to contribute with their knowledge or work or sometimes they just want to be informed.

In planning, the word participation is frequently used since mid-1960s as a response to rational comprehensive planning. Comprehensiveness can be explained as the understanding about the connected social and economic variables encompassing over space. Firstly, planning is supposed to be in agreement with citywide relationships. Cost and benefit analysis is to be done as broad as possible. Finally, the entire appropriate variables are to be taken into account when designing the programs. All these concerns shape the professional fields of competency. Neither any individual is accepted to have the absolute knowledge on technical issues of planning, nor is land use control or urban design the mere critical points in coordination. The technical expert takes the place of the comprehensive planner in a sense by influencing decisions about the development of a city (Friedmann, 1965, p.195-196).

Since the 1980s, according to Friedmann (1987), modern planning ideas have been linked to democracy and the development concepts. Central aim is to find methods to meet the collective needs of citizens. In this way, citizens act mutually with regard to space and time allocations (Friedmann as cited in Healey, 1992).

Fagence (1977, p.122) states that "participation is an addition to, not a substitute for, professional planning", i.e. the public's role is complementary to those of the planning expert and the responsible politician. If the participation is carried on with the increased involvement of the local level, wider civic issues and regional demands are covered. These issues and demands become more relevant to citizens and raise their interest. The success of participation lies in the activation of proponents towards a broader community understanding and an improved political analysis. The combination of goal orientation and political communication on local level is needed, however, each part has to commit to sustain and to take part in the process (Sewell & Coppock, 1977).

Public participation may be defined at a general level as "the practice of consulting and involving members of the public in the agenda-setting, decision-making, and policy-forming activities of organizations or institutions responsible for policy development" (Rowe and Frewer, 2004, p.512).

There has been an ongoing tension between the political, economic and membership functions of the society. Political functions are characterized by the actions of the governing institutions. Economic function includes the claims to realize the economic intentions in relation to the governmental institutions. On account of the membership function of the society, different groups of society aggravate the tension from their side. All parts seek better organizational structure in order to express their needs (Marris, 1998).

Participation has various forms. It is an unstable concept and not easy as defining or performing democracy, it evokes publicly desirable connotations that can be cancelled in practice easily (Sewell & Coppock, 1977). According to Fagence (1977), participation is thought as a "two-edged sword". On the one hand, planners are supposed to be ready to collaborate with citizens; on the other hand, citizens should be active and capable in decision-making, which also includes the planning realm.

Considering participation as a limited formal interaction between citizens and government with only aspiration of reacting the governmental suggestions is not



appropriate. It is proper to consider it as preliminary formal and informal negotiations between citizens and other stakeholders. These negotiations that are conducted in a multi-dimensional scope have impacts on public space. The government is not the mere party that involves in the decision-making but there is the distribution of power and action among society (Innes and Booher, 2004, p.429).

If the conditions for an effective dialogue between stakeholders and state are met, learning process is shaped, expected returns increase. It is because of the value created by this type of social dialogues. An increase in the data quality, comprehension and recognition is possible. Mutual solutions and purposes, advanced approaches can be developed for inflexible problems in appearance (Innes & Booher, 1999b; Innes, 2004 as cited in Innes and Booher, 2004, p.429).

The relations between the public sector, NGOs, private sector, advocacy groups and institutions are needed in order to form an effective participation system which constitutes the modern society with ever-evolving complexities (Innes and Booher, 2004, p.429).

There are two realms that participants can live and act. One consists of open channels of communication while the other one comprises of biased judgments. Participation has a more representative nature than the other methods. It enables disadvantaged groups of society to find a ground to speak for themselves. Participation makes it possible to reach technical assistance to provide equality between the groups of society. Fiscal support is also needed for participation. On the other hand, not so many citizens fully invest time and resources to participate. Some workshops or large dialogues are more open for participation. Many techniques are developed for the different group sizes to provide participation (Lukensmeyer et al., 2004; Susskind & Zion, 2002 as cited in Innes and Booher, 2004, p.429).

There are some relevant concepts to the concept of participation, which are important to mention. These concepts are related to the representation of citizens and the ideal speech situation. How the democracy is perceived on regional basis and the suitable rationale for participation are taken into consideration.

Representation may be comprised of ‘speaking of’ and ‘speaking for’ people. The latter one consists advocating and mediation. Participatory learning and action associate these two notions. A change in political relations for the sake of people can be managed by speaking of their experience (Hickey and Mohan, 2004).

In the evolution of participation, one of the questions is about the relation of representative democracy and participatory democracy. There is a clear need for more participatory practices on regional basis for solving regional problems. Nevertheless, high levels of participation do not necessarily provide more social agreement or democratic decision-making or decrease in alienation (Wengert, 1971:3). How much participation possible and desirable is the main question about the success of participatory democracy. Representative practices are believed to provide democratic setting, is it also possible for participatory practices to sustain democracy? The underlying idea is that participation might be accepted ideologically, yet; there are considerable difficulties when putting participatory democracy into practice. When considering both ideological and practical terms, despite the shortages, many politic body support still the representative democracy (Sewell and Coppock, 1977).

The communicative rationality is based on the work of German sociologist-philosopher Jürgen Habermas. Habermas scrutinizes the relation of rationality to the social action, inter subjective communication and social historical change (Tewdwr-Jones and Allmendinger, 1998). According to Habermas (1984), valid claims are raised by communication. Solutions for this type of claims can be achieved only by discussion. The “speakers of a language” can possess implicit knowledge and this process produces subjectively correct results. He expands on this issue by giving the features of “ideal speech situation”. Communicative rationality refers to “the capacity to engage in argumentation under conditions approximating to the ideal situation, with the aim of achieving consensus” (Dews, 1998).

Approaching the planning as communicative action is challenging because it articulates a new role for acquiring information, and also an ethical and legitimate standpoint is developed for planners. In order to acquire embedded information from people, institutions and practices, rules are needed to guarantee adequate, socially

sensible and properly informed discussions (Innes, 1996). In the academic discourse, communicative planning generally indicates different participatory methods for interacting planning and local government/governance (Huxley, 2000).

Although Habermas sees communicative rationality as being threatened by actual modern society, he nevertheless argues that the core of the communicative rationality, “the unconstrained, unifying, consensus-bringing force of argumentative speech,” is a “central experience” in the life of a human being. According to Habermas, this central experience is inherent in human social life: “Communicative reason is directly implicated in social life processes insofar as acts of mutual understanding take on the role of a mechanism for coordinating action.” (Flyvbjerg, 1997).

For Habermas, a collaborative communicative work is formed to be democratically sustainable and multi-dimensional in terms of scientific, ethic or aesthetic. The place the planning take part is in the context of post-rationalist, inter-communicative, reasoned, many-dimensional world. The aims and practices of collaborative approach should be formed by the communicative practices. Knowledge is created as a result of these processes. Planning tasks cannot be predefined in an obligatory way but they are to be discovered, learnt and comprehended through inter-communicative processes (Healey, 1992).

Consensus building has been corresponded to the communicative rationality idea that deduced by Habermas (1984), then developed by Dryzek (1990) in the scope of policy making and eventually its application to planning is done by Forester (1989), Sager (1994), and Innes (1995) through other scholars. According to Innes (1996), “a decision is ‘communicatively rational’ to the degree that it is reached consensually through deliberations involving all stakeholders, where all are equally empowered and fully informed, and where the conditions of ideal speech are met. Communicatively rational decisions are those that come about because there are good reasons for them rather than because of the political or economic power of particular stakeholders” (p.461).

Consensus building, as a negotiation method, delivered the reformulation of comprehensive planning. Practice of consensus building becomes more popular when

addressing multifaceted, controversial public matters where various interests are involved (Innes, 1996, p.461).

## **2.2. COURSE OF PARTICIPATION**

The term participation has been evolved considerably. This process has been affected by the concepts such as democracy, citizenship, cooperation and communicative rationality. With the planning practices, participation concept has been evolved. The changing rationalisms affect the process of participation. Change in the planning paradigms and underlying philosophies (Sabatier and Jenkins-Smith, 1993) are the major denominators that shape the planning spheres.

Arnstein (1969) analysed citizen participation in decision-making in social urban programmes in the USA from the point of view of the redistribution of power. On this basis, she characterized a series of levels of 'devolution' of power to citizens, represented as rungs on a ladder. The range is from bottom to the top. At the bottom, there is the manipulation of public opinion to control the citizens. At the top, citizens make decisions. Arnstein did interpretation of power dynamics in the scope of decision-making with the aim of generating a provocative viewpoint on the approaches of citizen participation. Each step of the ladder is created for better understanding of citizen power.

Arnstein (1969) dealt with a number of studies and none of the studies were examples from the upper levels of the participation ladder (Figure 2.1), i.e. no involvement in power redistribution causes preserved status quo. Arnstein accepted that in reality there is a chance to have more than 150 rungs without sharp and pure divisions among them. There are many ways that participation can be effective and many participation forms that can be conducted.



Figure 2.1 Ladder of citizen participation

(Source: Arnstein, 1969)

Douglass and Friedmann (1998) assume that ladder drawn by Arnstein provoked further discussions on participation. The ladder shows status of participant on each rung and concludes the associations based on the effectiveness. Neither in all cases full citizen control is always desired nor will higher rungs of participation ladder lead more ‘democratic decision-making’. Douglass and Friedmann (1998) emphasize the real content of the claims and struggles against the state. All these do not mean to turn down or to substitute the state but not only ideologically and intentionally but also practically incline a transformation of state with the purpose of serving all citizens.

In 1970s, planning was facing a serious challenge to adapt the growing need for public participation (Sewell & Coppock, 1977). There are some insights on the necessity for greater public participation degree such as:

- Development of civic society
- Increasing public awareness
- Public disagreement with planning performance
- Increasing accessibility to information and need for involvement in decision-making
- Increasing voices to be heard.

Since the mid-1970s, economic crisis has damaged the capacity of nation state to supply the aspirations of voters. State no longer had strong mechanisms to supply the socio-democratic ideals. Due to the globalization, neoliberalism and economic crises, planning discourse has been challenged everywhere. The motivation for participation has been reconstituted and the methods of participation have been used for the creation of public identity (Smith, 2004). Fung and Wright (2001: 5-6) states that responses to the crises should focus on intensifying the democracy and the techniques to express it instead of dismantle the state. The institutional forms of state have to be adjusted for the novel problems of 21<sup>st</sup> Century that state faces (Fung and Wright as cited in Gaventa, 2004, p.27).

Based on the nature and type of agency, the effect and nature of participation may differ in different planning activities. According to Burke (1979), planning can be defined on several counts. A single organization, planning commission, governmental council or authority for urban regeneration can be responsible for the planning processes. Various organizations, which offer specialized or subsidiary functions, might be involved fully or partially in these processes.

There are difficulties for assessment of various participation methods overall. According to Day (1997), each agency differs in terms of “degree of openness, organizational objectives and needs, legislation and regulations, geographical scope of authority, and substantive influence on policymaking” (p. 424).

Participation has a longer history in development thought and practice than expected in terms of periodic regenerations with the influence of new thoughts, institutional agendas and varied political settings. Participation can be categorized and compared no fewer than four ways: the focus and level of engagement, ideological/political plan, citizenship concept, and connections to development theory. The purpose and the form of participation can be clarified by the citizenship concept and connections to development theory. The focus of participatory practices can be on micro or macro levels and the level of engagement might be on individual or institutional level (Hickey and Mohan, 2004, p.9).

During the 1990s, increased criticisms were related to the popular approach of participation in development. Key arguments of participation were about its features. Instead of opposing injustice and oppression structures, participation was preoccupied a lot with ‘local’ (Mohan and Stokke 2000). In some cases, this conception is insufficient on power dynamics on society and how empowerment occurs (Mosse 1994; Kothari 2001). According to Cleaver (1999), there was not enough comprehension on the roles of structure and agency in the cause of social change. Therefore, certain agents tend to approach participation more as a technical method rather than as a political methodology of empowerment (Carmen 1996; Cleaver 1999; Rahman 1995).

The link between the participation and political sphere implies the review of participation concept and implementation in development setting (Gaventa and Valderrama 1999). Whereas local knowledge and perception were important for early practices of participatory development, broader methods and tools have grown later consisting of improved knowledge with regards to pluralism in planning and policy-making (Gaventa, 2004: 28).

Jenkins and Smith (2001) summarize the different paradigms in planning subject to participation (Table 2.1). This table shows increasing emphasis on participation practices and civic involvement as the time evolves.

Table 2.1 The three paradigms of planning

(Source: Jenkins and Smith, 2001:25 as cited in Smith, 2004)

	Name of Planning	Planning Techniques	Predominance in planning	Division of power	Assumed nature of relations	Underlying philosophy
First Paradigm Before 1980s	Fixed vision of future (designed 'blueprint')	Master plans, zoning	State planners	Government dominated	Common consensus exists	Rationalism
Second Paradigm 1980s onwards to 2000s	Flexible vision and specific action ('systems')	Structure plans, action plans, special development areas	Public-private partnerships	Government with private sector	Common consensus has to be built	Rationalism
Third Paradigm 2000s	No fixed vision	Above techniques with participatory planning	Negotiation forums	Government, private sector and civil society	Conflict needs negotiation	Relativism

### 2.2.1. AIMS OF THE PARTICIPATION IN PLANNING

Policy makers utilize participatory methods for an improved connection with their local communities and citizens possess an improved understanding of given political and economic realities (Innes and Booher, 2004, p.429). Collaborative model paves the way to define participatory practices better with displaying improved participation purposes. Instead of the standard methods to gather data about the focus group, with the usage of collaborative approaches more precise data, which include preferences of participants and explanatory information, is collected. Recommendations can be formed based on the citizen knowledge. Citizens integrate their information with the knowledge of experts and planners. This collaborative approach enables more equal and just planning process in case all groups of people are included in the process (Innes and Booher, 2004, p.429).

In participatory development literature, there is an objective to assure transformation from existing practices and capacity gaps that cause social marginalization to more radical, socially inclusive institutional practices (Hickey & Mohan, 2004).

According to Kasperson (1977), in each participation action, there is a need for political intervention established upon a social theory or a paradigm in order to create a social change. If the success is aimed in participation approach, theory basis has to be founded explicitly and be examined thoroughly. Assumptions about the empirical studies should be valued carefully due to the fact that each study has particular dynamics (Day, 1997).

Forester (1982) highlights the role of planners in the comprehension of power during the plan making. More qualified planning analysis can be done in case there is an efficient structuring of power dynamics among the society. This structuring enables empowerment of citizens and community action. Planners shape participation. Planners classify people according to their ability to participate. To earn their trust and to meet the expectations of citizens are the main incentives of planners. Planners aim to provide cooperation, agreement or involvement besides the organization of data and plan materials (Forester, 1982, p.68). The planners with the aim of preventing



misinformation prepare participants to the planning process. They prepare the participant with information, inquiries and arguments, and sometimes with a mere early notice on the processes they are going to be take part (Forester, 1982, p.68).

According to Forester (1982, p.77), in the presence of various power relations, single actions of planning cannot adequately meet every need. Yet, each action is essential in case planners are being responsive and citizens are being eager to participate on the issues that shape their lives. Planners have the capacity to distinguish inevitable from avoidable, communicative and ad hoc distortions from structural and systematic distortions. Planners may respond to these distortions, therefore they protect well-informed planning and empowering citizen action.

#### 2.2.2. BENEFITS OF PARTICIPATION IN PLANNING

Planning literature has acknowledged the benefits of public participation in decision-making processes (Creighton, 2005). Public participation can be seen as a logical extension of the democratic process in more local, direct, deliberative ways (Pimbert and Wakeford, 2001 as cited in Brabham, 2009). Involving citizens in the planning process helps ensure a plan that will be more widely accepted by its potential users (Burby, 2003; Brody et al., 2003; Miraftab, 2003 as cited in Brabham, 2009). Rowe and Frewer (2000) make a connection of public participation as recognition of basic human rights considering procedural justice and democracy. They also make an argument about the frequent limitations of knowledge of professionals as a green light for increased public involvement. Lowndes et al (2001) made a study in the UK on local government level on the benefits of public participation and two reasons stood out, first, the public being better informed if they were connected to participation procedures and, second, participants in the study perceived participation directly related to service improvements. King et al (1998) in their study on public participation gathered views that participation gives people opportunity to be part of something ‘bigger than oneself’, to have responsibility of the community.

As long as a genuine dialogue is created in equal terms among all groups of citizens where there is empowerment, shared-information, joint working, respect, and mutual-agendas, planning process can be improved. New ideas for planning can emerge. The

ideas of others are open to realization among the society. Participation provides new ways to conduct joint projects and express shared values. Citizens have the chance to acquire new heuristics (Innes and Booher, 2004).

In general, it can be said that every member of the local society (citizens, entrepreneurs, interest groups, public workers, politicians and others) can benefit from a well-planned participatory process. Every member has his/her own reason to participate in the process (Katılımcılık Rehberleri 1/4, 2014).

General benefits of the participation are:

- High quality decision making process; an important proportion of the existing knowledge is shared with all stakeholders. New and innovative solutions are discovered, and a wider group of stakeholders differentiate desired and undesired results and outputs.
- High implementation of plan decisions; participation process generally aims for the reconciled decisions. Due to potential conflicts and objections are already dealt with during the process, implementation will be both easier and supported by the public.
- Mutual living and cooperation; all the stakeholders that are included in the process interact with each other. They share information, opinions, personal point of views and wishes. New relationships and connections improve the reciprocal understanding, and improve active and developed society.
- Good governance; participation processes would be more transparent, accountable and legitimate for the members of the society. Participatory process is a step from good government (making decisions for citizens) to good governance (making decisions by citizens or by cooperation of citizens and plan makers).
- Trust for democratic system and elected representatives; decision makers become more approachable. Citizen participation also causes represented democracy to improve (Katılımcılık Rehberleri 1/4, 2014).

Participation is assumed as an act of taking part and contributing knowledge or work to a plan/project. Participatory discourse surpasses the comprehensive planning with reference to the development and democracy terms. Participation is an expression of needs. Institutional agendas are affected by this course of events. Power dynamics are defined profoundly during these participatory practices. Participatory planning literature lead these assumptions overall. These assumptions are expected to guide through the empirical research.

### 2.2.3. COSTS OF PARTICIPATION IN PLANNING

Participation has been considered as an essential practice in planning since Arnstein (1969) came up with the concept. Nevertheless, there is an ambiguity about the concept. Arnstein (1969) stated in her frequently cited article “A Ladder of Citizen Participation” that “the idea of citizen participation is a little like eating spinach: no one is against it in principle because it is good for you” (p.216). This same uncertainty is revealed in a work of Benevise (1989). He notes, “One of the dilemmas of planning is that it cannot succeed without some participation, it cannot afford to be dominated by participatory processes” (p.145). In his words, citizen participation is the “Achilles heel of planning” (Benevise, 1989 as cited in Day, 1997).

Potential problems of compromising different interests and objectives of each group might occur even though the planners, politicians and bureaucrats agree on the provision of most public requests. Participation is costly either in expenditure or in time when expecting great results (Wengert, 1971). Long and involved debates are needed when the participatory practices deal with the complex, comprehensive, strategic and philosophical issues (Fagence, 1977).

According to Henkel and Stirrat (2001), the reason for many projects to fail is the enforcements from above instead of a participatory approach in planning and implementation. In other words, a bottom-up approach to development in many cases is more rational that it delivers the required outputs.

Although there is great number of academic researches on the citizen participation concept, the literature on the concept is in disorder. This disorder emerges because of the confusion about the theory and the practical part. The exact implementation and the expected returns of participatory practices are not reconciled enough (Day, 1997).

### **2.3.RELATION OF PARTICIPATION TO REGIONAL GOVERNANCE**

Participatory agenda was broadened to embrace institutional governance. In addition to development policy and practices, which necessitate broader concerns on the changing state, participatory agenda associates democratization and decentralization. All the critiques on the participatory practices lead to more bottom-up approach in the development practices. The proper institutional setting is necessary in order to broaden the participatory practices on spatial level. There has to be a correlation between the theory and practice when embedding the participation into development practices. Participatory practices trigger local capacities with the aim of adjusting new circumstances of the 21st century economic structuring. There is a chance that flexibility of participation can respond to the socio-democratic prerequisites and make room for broader and developed framework that is called governance (Hickey and Mohan, 2004).

There are dilemmas about the participatory practices from institutional limitations to characteristics of participants. There might be no straightforward solutions but participation is shaped by the practices. Participatory practices have flexible nature that procedures might change during the plan making. One of the key characteristics of effective participation models can be this flexibility. Monitoring and ongoing analysis of each step in decision-making are required and suggested with independent investigation (Sewell & Coppock, 1977).

Friedmann (1979, 207) argued that rather than sustaining the traditional ways of regional planning, professional thinking and practice were needed due to the impact of transnational economic changes. Regional planning became one of the increasing defense mechanism opposing to the intercontinental economic changes. In addition to

the economic developments of the regions, there was an increasing need for social improvement in order to associate the regions to the transnational economic level. Wannop (1995, p.385) continues ‘geographical coverage and administrative power do not alone guarantee effective regional planning and actions. There must be real scope to distribute or to influence the distribution of revenues in accord with the planning strategy’.

There are opinions on the ruling areas of participatory practices. Some argue that participatory practices should arise from local level where people oppose existing power dynamics and express their needs in everyday life. Others believe that participatory practices have to engage with a level consisting of more globalized actors and struggles due to the power shift. However, in between, there are debates about the power mediation and reciprocity of nation-state in terms of the efficiency of nation-state to extend power according to the wishes of local spaces (Gaventa, 2004). It is not either-or but both perspectives are needed. Therefore, shift from centralistic approach to both participatory approach of supranational level and regional level is necessary in terms of the restructuring necessities of current economic mechanisms of the world.

Significant quantities of people, activities and inequities of services and prosperity daily straddle local government boundaries. In this scheme, strategic decision-making and resource distribution becomes fair and necessary. Fragmented strategic responsibilities invite non-elected or representative bodies, which are poorly equipped to take decisive action on inequities and priorities within regions. The consequence might be wasted potential and ineffective use of land and resources. Reassembling a system of strategic and regional planning and development faces many political issues (Wannop, 1995).

Institutional change is fundamental even it is not easy or rapid. Creativity is needed in the institutional transformation. The decision makers and planner, who are open to new practices of planning, will reach evolved structures of participatory planning. The necessity of citizens’ involvement and the faith that planners have in their work in professional terms will lead successful governance examples. Both sides of the action

need to approach participation as fair, representative, well informed and transparent. In this way, collaborative participation contributes to more advanced practices of governance (Innes and Booher, 2004, p.429).

## CHAPTER 3

### 3. REGIONAL GOVERNANCE

This section discusses how governance is perceived by planning authorities, how it is implemented in planning process, and how the term can be related to participation concept. It is significant to distinguish the role of Regional Development Agencies as actors practicing these concepts on regional level. Whereas participation is thought to stand on citizen level, governance is predominantly used for a wider context. In order to make a differentiation in the understanding of these two terms, it is important to grasp the importance of social mechanisms these terms refer to.

The idea of planning has moved towards a more inclusive approach. Government, once declared as the only authorized body, has started to transform. Governance is deliberated as having the efficient capacity to create ad hoc solutions to various problems occurring in diverse places with the activation of different actors (Balducci and Fareri, 1996 as cited in Albrechts, 2003).

Instead of immensely taking participation processes as technical and managerial remedies, Guijt and Shah (1998: 3) view these processes as ultimately political issues. For more than 30 years, participation was mentioned in the discussions about growth. The term was mostly assigned to societal spheres. Nevertheless, the term is lately interrelated to citizenship rights and democratic governance (Gaventa, 2004). In modern times, the term participation has a role, which stimulates a partial transfer of the official tasks towards the participants. Nonetheless, it is highly difficult to estimate the similar types of behaviors from all participants to the decision-making. Participation, in this sense, is unexpected and in the contemporary form participation rises as a form of governance (Henkel & Stirrat, 2001: 179).

Smith (2004) states that besides the manipulations and objections towards the participation, more recent governance practices should be courageous as class

appealed ideologies reproduced by representative democracy are no longer stable. In societies, which appraise consumption and involve differences and various identities, governance needs to be practiced and engaged, in order to be validated. The approach of the state towards spatial planning practices can be developed by the participatory practices. Local and socio-cultural dynamics can be comprehended by the help of participatory practices (Smith, 2004).

With the help of the growing discussions on participation and regional governance, democracy can be redefined and intensified, government reforms can be linked to civil society and there can be an extension of comprehensive citizenship (Gaventa, 2004).

### **3.1. DEFINITION**

When explaining the term governance, it is important to understand the relation among different levels of decision makers in local societal and political spheres (Hickey and Mohan, 2004). Governance can be explained as different layers of responsible bodies or a mechanism where dimensions of ‘authority’ intersect (Benington and Harvey, 1994). Regional government is a number of actors deliberately make efforts to realize goals in environments with multiple authorities. Regional governance can be defined as complex, multilevel politics, part of historical adaptation processes to uneven environments and unexpected shifts in political economy (Barnes, 2012).

A growing interest in the scope of regional governance is highly concentrated in the previous decades. While some of the theorists identify the governance term as less or no government and collective decision-making, another group of theorists relate the governance term with an inter-disciplinary focus. In detail, according to the work of Chhotray and Stoker (2009) governance can be defined as “the rules of collective decision-making in settings where there are a plurality of actors or organizations and where no formal control system can dictate the terms of the relation between these actors and organizations” (p.3).

Urban and regional economy studies started to involve state rescaling and regional governance as main areas for analysis more and more (Brenner, 1998; MacLeod and



Goodwin, 1999 as cited in Gibbs and Jonas, 2000). There has been a decline in Keynesian demand oriented management policies, and supply oriented policies have been reemerged. These new factors in policy making have affected production cost, competitiveness, and methods to create and to adapt technology-based production (Newlands, 1997). Under these conditions, it is deliberated that regional governance has considerable potential of affecting economic and industrial development. The development is fostered by regional governance from the point of introducing adapted policies in areas such as technology, training, venture capital, formation of a new firm and the industry ownership. Although, McGregor et al. (1997) and Newlands (1997) discuss, intervention does not necessarily provide improvements. Policy regime is needed instead of applying unsuitable strategies of the nation state (Danson and Whittam, 1999).

According to Barnes (2012), regional governance:

- overlaps borders in terms of functional (e.g., environment, economic, social), sectoral (public, private, nonprofit, civic) and jurisdictional definitions.
- provides an embraced system of institutions, tools or structures which to be used in decision-making and action and more.
- comprises aims and goals — solutions to regional problems or applications to regional opportunities — as the purpose of regional governance endeavor
- is a political process that does not attempt to dominate a consensus or cooperation, but praises exercises of power in terms of interests, opinions, and values.

The main aspect of regional governance is to show a mutual commitment to work collectively in terms of achieving a purpose within appropriate time and notwithstanding the differences. Thus, regional governance is not the final goal but the tool to acquire the goals (Barnes, 2012).

### 3.1.1. INTERNATIONAL PERSPECTIVE

Since the 1980s, regions have started to be one of the main focuses for governance in Europe and also in other countries. Economic and social relations on regional level are extensive, which creates a need for metropolitan governance in order to correspond the social and economic necessities. During the 1990s, there was the renewal of existing regional planning practices.

EUROSTAT provides data for particular European statistical administrative regions, depending on the Nomenclature of Territorial Units for Statistics (NUTS). The spatial detail of the regionalization ranges from raw country data (NUTS 0) to sub-national (NUTS 1), regional (NUTS 2) and sub-regional (NUTS 3) data (EUROSTAT, 2016).

On the one hand, planning context has been changing rapidly. Regions cannot be thought as the only parts of nation states because they currently exceed boundaries. European Commission determines regions according to their economies. On the other hand, NUTS classification of EC creates the governance capacity for member countries. Whereas in some countries the physical systems of governance fit well to the NUTS classification, they collide with the existing regional planning scheme in others (Wannop, 1995).

Newman (2000) notes that to build right regional governance, nevertheless, necessitates the precise fiscal policies and Amin (as cited in Newman, 2000) emphasizes that the EU level economic support is needed for institutional reforms. Therefore, political interventions and institutional change in various kinds can influence regional governance (Newman, 2000). The role of regional governance actions speculated in the beginning of the era in terms of transforming a new base of wealth formation in fast globalizing economies (Gibbs and Jonas, 2000).

EU's perspective when creating NUTS system is likely to be related to the issue of these fiscal policies. According to Kayasü and Yaşar (as cited in Legendijk, 2009), RDA development throughout the Europe characterizes a process, which is well suited and adaptive in membership period of a country for European Union standards in terms of structural and regional policies. The governance structures of countries, which are

in accession period, on local and regional level, are extremely reformed by the institutional necessities of EU during the negotiations (Beleli as cited in Kayasü, 2006). Each state has its specific institutional and economic framework; therefore, a generalization about exact transformation is not likely to be done.

On the one hand, based on the claims of some researchers, either level or financing of public expenditure does not necessarily shape successful regional governance structure in terms of economic policies. On the other hand, local development and economic growth rate are likely to shape successful regional governance structures (Newlands 1997 as cited in Danson and Whittam, 1999).

Economic regions might not correspond the necessities of a political region. There are quite a few regions fulfilling both economic and political region concept even if political dimension dominates governance design. Nevertheless, consistent restatements of rules for politics are needed in the scope of regional concept. As Friedmann (as cited in Wannop, 1995), points out:

“Flexibility in the application of regional concepts is a corollary to the experimental character of planning... No set of regions is ever completely satisfactory. Each problem must be analyzed in its own terms.” (p.500)

Regional governance advocates collectively compromised actions on regional level. The term is sophisticated in multiple dimensions, which contain political, economic adjustments in various localities. In order to reach a specific purpose, in the sense of regional governance, negotiations or disagreements are supposed to be processed by official and unofficial actors at regional level. There is a new formation of actors on regional level by means of the regional governance practices. It is unfounded to take into account the regional governance as a network because of the fact that its nature is unbalanced and inconsistent. Regional governance practices are spatiotemporal and target oriented which includes the progress of possible fiscal and social dynamics. The actor group for solving the particular regional problems can be varied from officials to individuals (Barnes, 2012).

### 3.1.2. ADVANTAGES

Ostrom (1990) emphasizes that independent local bodies that adopted individual local conditions can create more effective solutions in terms of collective action problems than central intervention.

Experiencing long and repeated regional planning practices reflect alterations in terms of various aspects of regions namely priorities, politics, methods and the nature. Provided the demand, whatever title it acquires, regional planning practices will also continue. As long as regional governance preparations are adaptable to the inconstant nature of regional planning and of regions, they will be sustainable and effective (Wannop, 1995).

Governance can be defined as a more complex process than decentralized responsibilities of state for financial development or search for supposed democratic legitimacy. If governance was defined precisely, it could maximize the profit of public interventions (EURADA, n.d.).

The advantages of regional governance can be classified into two groups. The contribution of regional governance to the regional planning approach and the administrative advantages due to regional governance are shown in the Table 3.1. This classification is derived from the overall references of regional governance chapter.

Table 3.1 The Advantages of Regional Governance

Planning Approach	Administration
-Inclusionary approach	-Activation of different actors on regional level
-Enhanced capacity to create ad-hoc solutions	-Corresponds to economic, social and political necessities
-Increased ability of plan making within a nation state or cross border areas	-Increased subsidiarity due to specific actors in regions
-Consistent policy making for spatial differences	-Improved relation to national and international levels
-Activated local capacities	-Consensus building between almost all actors from officials to individuals
-Spatiotemporal and target oriented to regional problems	-Regionalized economy
-Attracted investments	
-Powerful against global economic challenges	
-Open to adapt the inconsistent nature of regional planning	
-Flexible towards administrative rationality	
-Reciprocal and intermediary nature	

### **3.2. STAKEHOLDERS AND BODIES OF DECISION-MAKING**

Regional governance process has the possibility to offer a multiple formal and informal dialogues from local to international levels of decision-making bodies. There is a potential to trigger the local capacities with the help of the relation between European Union and national institutions (Newman, 2000). Regional governance discourse aims to enrich the understanding of who the ruling bodies are and the way they rule (Feiock, 2009, p.374).

A specific regional problem is approached by groups of actors varying from formal authorities to individuals who deal with the problem for a particular purpose (Barnes, 2012). From private to civic sectors, both formal and informal actors are included in the regional governance process in addition to government units to seek an aim (Barnes, 2012).

Different levels of decision makers are not necessarily the formal ones. There are bodies that can be additional to these authorities on regional level, namely non-governmental organizations. On the one hand, the retrieval of state from economic reforms caused by restructuring and global accumulation creates an impulse to voluntary-based, non-governmental organizations; on the other hand, the importance of public funds cannot be disregarded. These organizations have increased to tens of thousands internationally. There are types of these new organizations such as community-based organizations; first-, second- and third-generation NGOs; intermediary organizations, and more (Korten 1990; Friedmann 1992; Carroll 1992).

Interaction of all actors is needed for regional governance for the cooperation when to measure the possible actions and to control their characteristics in order to address a setback or an opportunity (Barnes, 2012). For either officials or individuals that participate in the problem solving, regional level of planning is very important with the presence of all these actors. According to Newman (2000), in order to correspond a variety of newly established uses applied the economic and political changes; regions are expected to work hard. Economy needs to regionalize and correspondingly new authorities at regional level for improved regional governance is needed (Scott, 1998; Barnes and Ledebur, 1998). There is the useful requirement of governance at the

suitable scale. Newly established authorities are needed for the new spatial regime of global economic change (Newman, 2000).

In order to keep up with the competitiveness among both national and local levels, improvements in the regional economies are necessary with newly established active and flexible institutions, which can rapidly produce solutions to regional problems and implement ad hoc planning decisions (Sobacı, 2009). In this case, these new regional level institutionalization is supported by using some external fiscal support. Such support can be observed lately on European Level. Europeanization refers to processes of institutionalization that are specifically related to the EU and European integration. It relates basically to the impact of the EU on member states and regions and how domestic practices adapt to this. The EU in this case refers to policies, regulations, subsidies, formal and informal rules, but also more abstract notions such as the creation of the single market or the project of European integration, or, for stakeholders, just the reflection on being part of the EU as a large institutional context. The processes of Europeanization take place in exactly the same ways as processes of institutionalization in general (Waterhout, 2008:25).

### **3.3. REGIONAL DEVELOPMENT AGENCIES AS ACTORS PRACTICING REGIONAL GOVERNANCE**

Regional Development Agencies can be defined as “any publicly-financed institution outside the mainstream of central and local government administration” (Yuill, 1982; Halkier, Danson and Damborg, 1998) to “promote industrial development” (Yuill, 1982) or “economic development” (Halkier, Danson and Damborg, 1998). Regional Development Agencies (RDAs) have significant roles in the formation of bottom-up policies conducted at regional level in Western Europe. These institutions also allow an important added feature or substitute to the existing monetary impetus of central government. A ‘model RDA’ is supposed to be half sovereign public body and a strategy developer to strengthen the economy. Although RDAs were established around 60 years ago, in the academic literature the significance of RDAs is narrowed down to some case studies of individual organizations (Halkier and Danson, 1997).

Beginning from the 1980s, European regions have been proposing regional economic development practices in order to be able to have an improved place compared to other regions both within their home state and abroad. These regions have various tools; yet, regional development agencies have been providing bottom-up regional policies more than 20 years. Importance of RDAs was apprehended with a concept of ‘model RDA’ during the mid-1990s. Halkier and Danson (1997) explain the model RDA as:

- bodies consistent with their political supporters causing shift from central government to much local level, i.e. firms and organizations,
- supporters of indigenous companies by using ‘soft’ policy tools namely advisory services, network building and support for cluster organizations as a strategy,
- providers to address complex problems of specific regions in order to utilize a variety of measures by integrated implementation.

EURADA (1999) defines RDA as an organization that provides the problem identification about sectoral or overall development, the choices of opportunities and methods to solve these problems, and the promotion of projects for maximum solutions.

RDAs have provided more proactive and entrepreneurial role rather than existing regulations of public sector in order to bind the economic side of the regional development to socio-politic dimensions. Since more than 30 years, RDAs have guided policy activities of public sector in order to generate more analytic types of policies that mentioned and highlighted in RDAs historical academic development (Halkier et al. 1998; Danson et al. 2000).

In addition, European RDAs involve in networks, projects and programs. Five main groups of international actions of RDAs can be presented as their involvement of community programs, membership in European networks, participation in non-EU projects, advisory services to non-EU countries within the EU framework and project implementation (Kayasü, 2006).

Two important notions in regional policy meet in the scope of RDAs. These two notions are the policy change from top-down to bottom-up and increased appearance of policy performers apart from the conventional government mechanism. On the one hand, conventional top-down policy contains the promotion of equality between regions assisted by central governments with the tools to engage economic activity to problem areas. This policy involves 'hard' policy instruments namely infrastructure and financial subsidies. On the other hand, bottom-up policy is a new-model policy that region implements itself. With the use of 'soft' policy instruments, advice or training, region aspires an improvement in the competitiveness of local firms. Additionally, a local development body should be inclined to have the capacity to meet the specific needs of different regions. This development body is to have a variety of policies in use so rather than dealing with the bureaucratic limitations on spending to specific policy instrument this development body can have supremacy over the execution of problem-oriented solutions (Halkier and Danson, 1997).

Besides the involvement of RDAs to new policies, they are also required to engage in the tasks that are different from the conventional regional arrangements of central government. Different tasks include divided tasks, but the expectations from model RDAs are the coordinated operation to have the capacity to employ a variety of policy instruments to deal with structural problems of the regional economy or specific hardships which firms ineffectively come across. Three different norms, namely focusing on sponsorship, policy profile, and implementation, should be fulfilled in order by the 'model agency' in scope of the RDA approach in regional development. Capacity of a specific organization to implement all three norms attracts a wider, multidimensional description of bottom-up regional policy in Western Europe (Halkier and Danson, 1997).

The identification of the role of improved, more reactive development agencies in order to promote more efficient and reasonable methods of involvement paves the way to comprehend the benefits of participation for the poor (Jarman and Johnson 1997; Thompson 1995), or the contribution of the state action to replace or promote community participation in which the participant faces the high costs. An improved dynamic vision on accounts of institutions and community is necessary in order to



combine social networks and to provide a recognition of detached and dependent relations of power both exclusionary and inclusionary matters of participation (Cooke & Kothari, 2001, p.54).

Innes (1998; et al., 1994) states that in order to guarantee the incorporation of local knowledge in plans, stakeholders should be included. Therefore, the interaction between ideas from planners to interested bodies at local level delivers stakeholders' contribution to acquisition of the knowledge and improved plans (Innes, 1998; Innes et al., 1994). If the inclusion of different stakeholder provides improved plans, only an economic perspective would be inadequate when interpreting regional development agencies case.

By means of the views of practitioners who work for development, anthropologists might combine significant perceptions for wider debate. By doing these development interventions can be reached to a better level of self-reflexivity additional to being more acceptable and participatory. Therefore, development agencies that utilize the self-knowledge not only can be responsible for these interventions but also they can build a bridge between development professionals and people who are affected by these processes (Henkel & Stirrat, 2001, p.184).

Both actions of EU about regional policy with the intervention via Structural Funds (Hooghe, 1996; Bachtler, 1997; Halkier, 2009) and the growing engagement of cities and local bodies in economic development leads new multi-level patterns of governance (Deas and Ward, 2000; Healy, 2009). These newly emerged governance patterns have an impact on the RDAs. RDAs are no longer alone bodies who solve economic development challenges on regional level. Also there is a rising need for more coordination of authoritative development bodies than RDAs (Bellini, Danson and Halkier, 2012).

Some regions with the distribution of administrative powers among local authorities reveal new regional development politics. Therefore, these practices in a way limit the capacity of RDAs to conduct decision-making, which is followed by the recent strategy of EC, namely Europe 2020 supports 'smart inclusive growth' which aims

political accountability, environmental sustainability, and social inclusiveness (Bellini, Danson and Halkier, 2012).

Instead of being alone policy-maker with multiple functions, model RDA concept is expected to be more of every aspect such as having international dimension, knowledge orientation, improved network, and improved one-sidedness of growth engine locally. Recently RDAs have evolved into a rather different concept with the contemporary necessities of regional economic development (Bellini, Danson and Halkier, 2012).

Two comprehensive components of analysis are done on the topics of new regionalism and multilevel governance. New regionalism is presented by attributing to the idea that “globalization is challenging the traditional macro-economic planning functions of the nation-state and that, rather than localities or national economies, regions are the natural territories in which economic development should be promoted through a combination of institutional and policy innovations” (Cooke and Morgan, 1998; Scott, 1998; Storper, 1997). Multilevel governance topic is related to the readjusted capacity of state to handle policy functions in terms of upwards and downwards transfers. These transfers involve actors such as EU and sub-national bodies. According to the discourse on these topics, the outcome should be a more flexible system of multilevel governance, a more prominent role for regional political-economic institutions, a strengthening of the connections between regional actors and intensified competition between regions (Pearce and Ayres, 2009). The position of RDAs within these two concepts is considered as important. RDAs aim to provide political flexibility on regional level with the participation of local entities. There is a relation between RDAs and the practices of regional governance. The rising importance of the regions and significant roles that posed to regional institutions are taken into consideration in terms of regional development. The capacity of RDAs in strengthening regional governance and improving regional socio-economic development as strategically significant organizations is open to further research (Legendijk, Kayasü and Yaşar, 2009).

All things considered, RDA formation has been in transformation since it was first established in Europe. Each country and each region has naturally distinct

characteristics. The working mechanisms of RDAs are based on localities. It is important to notice the shift from early examples of model RDAs to the recent RDAs. Changes in the political arenas have an immense impact on the localities. As Kayasü (2006) discusses that besides their aim of providing the endogenous growth to the regions, RDAs comprised of different features in Europe. One of the main objectives of this thesis is to reveal how participatory practices are evolved and how some specific RDAs in chosen countries contributed to regional governance.

### 3.3.1. INTERNATIONAL PERSPECTIVE

Firstly, in the 1950s and 1960s, Regional Development Agencies were established to provide information for the development programs that were pioneered by the central government. Agencies were responsible for the implementation and monitoring of the plans related to development programs. RDAs, together with the increased perception of public management and developed local competition due to the globalization during 1980s, were assigned to provide the active participation of private sector and local actors in the regional development process. While RDAs were established first time at 1950s in Austria, Belgium, Ireland and France at 1950s, at 1960s in Germany, Holland, England and Italy and at 1980s in Greece, Spain, Finland and Denmark (Figure 3.1) (Özen, 2005).

Whereas in America and England, RDAs are semi-autonomous institutions which aim to collaborate private and public sector operated since 1960s, in Japan and France RDAs provide solutions for the lagging regions and conduct long-term programs like in GAP in Turkey. In parallel to the widespread approaches of governance and new regionalism, institutions provide great fiscal support for economic and social development (World Bank, UNDP, EU Funds and loans, EIB, EBRD, IADB, etc.) paved the way for new development agencies, in the meantime, existing development agencies functional and institutional changes. As a result of this, in 1990s high number of diverse development agencies were emerged in terms of institutional identities, financial resources, tasks and responsibilities, also relations with central, local administration and international, supranational organizations (Özen, 2005).

The emergence of many and quite diverse development agencies are connected to two main reasons. The first reason is, based on a research done by Halkier and Danson between 1991 and 1992, the differences between the RDAs are not merely based on regional socio-economic characteristics but more based on the differences in political processes and the time period in which they founded. The second one is according to Clark (2004), local/regional development is very inconstant and dynamic process. Therefore, different needs create different institutional structures (Özen, 2005).

In 1990s, when Halkier and Danson conducted their research, most activities of RDAs were limited to stimulate the improvement of local/regional private companies, to introduce the region to foreign investors, and to provide counselling services these foreign investors. It was noticed that sponsor institutions and EU Funds were used to finance these activities. Approximately after 15 years, a new generation of RDAs was founded in parallel to the EU Regional Policies. These agencies operated in order to conduct EU programs, to prepare projects that were supported by EU programs and public resources funded them. For example, in Italy, there were 39 development agencies until 1990s. Afterwards, with the usage of EU Funds, there are 224 development agencies. Similarly, in England, France, Spain and Ireland, RDAs were formed as bodies particularly in public resources supported by central state and actively use the EU Funds on regional level. These agencies were responsible for the efficient and effective utilization of fiscal resources. EU requested the foundation of RDAs in the countries as Hungary, Czech Republic, Slovakia, Poland, Estonia, Lithuania, and Latvia. In these Eastern Europe countries, both EU funds and experts that appointed by the EU supported the RDAs (Özen, 2005).

Since 2000s, Lisbon Agenda of the EU attempted to encourage regional governance by the application of participatory practices. These participatory practices are supposed to provide ‘better government’, EU takes into account regional and local authorities as bodies with perspectives to inform, engage citizens, local businesses and organizations (Gualini, 2004b as cited in Lagendijk, Kayasü and Yaşar, 2009).

Regional development agencies become fundamental parts and essential mediators of regional policy for members and candidate states of the EU. Legal arrangements and

administrative changes are required by EU from the candidate countries. The reason for this is to harmonize with the regional policy of the EU and RDAs take an important part in terms of administrative reforms. Funding is the most important tool that is used by EU to serve the purpose of regional policy. Nevertheless, additionally to this financial side of regional policy, legal and administrative sides of regional policy have also equal importance. In short, regional policies of other candidate countries are counted as successful in case they apply necessary legal arrangements, strengthen administrative capacity at regional level and implement administrative changes. One of the most significant change is the establishment of RDAs which have an important role in regional development (Sobacı, 2009).

The establishments of RDAs show various characteristics. The most significant reasons of this are the various institutional structures, legal status, budget, duty and authority that related to the actions of member and candidate countries. The countries develop some ways in order to utilize the EU Funds and Loans their legal, administrative and fiscal structures and socio-economic necessities for regional development (Özen, 2005).

The legal status of the development agencies (Table 3.2) varies from one state to another. In general, it can be said that RDAs are public institutions which are governed by private law because of the flexibility of financial and staff management (EURADA, 1999).

The financial resources of RDAs are varied. The budget of development agencies differs considerably between EU States both in terms of scale and source. This is also true of agencies within states, varying with the level of the local or regional authority within which they operate, the legal entity they have adopted, and the range of service delivery prescribed (EURADA, 1999).

Consequently, the financial resources for RDAs can be grouped as public funds as start-up funds or equity funds, annual grants, bidding process or on a contract basis, and private funds as yearly fee or financial engineering. Based on this case, RDAs should confirm the involvement of private sector or else they have to attract new partners. By doing invoicing the services, offering spaces of communication facilities

for free, and providing international projects, funds as EU programs, RDAs have the chance to improve this capacity (EURADA, 1999).

Table 3.2 Legal status of RDAs in Europe and CEECs (Central and Eastern European Countries)

(Source: EURADA, 1999)

COUNTRIES	LEGAL FORMS OF RDA
Germany	Public limited liability company of the public sector
Spain	Limited company (special law – public companies)
France	Nonprofit association (Act of 1901) Mixed Economy Company
Belgium	Inter-municipal agency
Romania, Denmark	Foundations
Czech Republic, Estonia, Slovakia, Poland	Public-private joint stock company
Sweden	Limited company
Netherlands, Italy, Ireland, Portugal	Public limited liability company (semi-state company)
England	Quango, Company limited by guarantee of the local authorities (incl. the TECs)
Lithuania	Nonprofit company
Greece	Municipal enterprise

According to the previous studies on RDAs, RDA development is a delicate matter both politically and economically. Nevertheless, bottom-up way of policy making can be used to fill the gaps in regional economic development and additionally RDAs have the potential to include external resources (Lagendijk, Kayasü and Yaşar, 2009).

There is a difference between the understanding of theoretical function of RDA and its actual function. Whereas RDA is thought as a crucial body, which forms the strategic and related capacities in the region, its actual function comprised of meeting the demands of local bureaucracies and the continuous financial support (Lagendijk, Kayasü and Yaşar, 2009). That being said, these differences were one of the motives for conducting this research.

3.3.2. EXAMPLES OF PARTICIPATORY PRACTICES

This part presents successful examples of RDAs from four different countries, namely England, Austria, Italy and Czech Republic. Based on the capability of RDAs to

conduct regional governance and participation in their countries, it is believed that these examples might provide inferences about efficient regional governance.

In order to explain the concept of being successful, these examples are likely to provide enhancements in economic, political and social spheres. Walburn (2006) suggests a list of criteria to enhance good practice and success for RDAs. Building effective partnerships among all sectors is a must and it is significant in terms of regional economic development. The sectors might involve businesses, voluntary sector, political sector, and all people that might affect economic development. Being the only actor that handles everything by itself is not logical for an agency. According to Harding (2006), if the local and central government is strongly committed supporting and inspiring the work of RDAs and the ability and level of involvement of non-governmental partners, RDAs will be successful. Thus, there are a number of criteria that define the success of an RDA.

As it was explained in the beginning of this section, governance might be considered as a new framework of participation. Importantly, on regional level, it is very significant for nation states to deliver improved plan practices. Whatever the reason is, i.e. competitiveness, regional development, improvement in social cohesion, improvement in social services and etc., RDAs pose an important role on regional level or one can say that RDAs have the potential to correlate the national and local level of institutions.

England, Austria, Italy and Czech Republic are taken as examples in order to provide a wider point of view. Whereas England is ruled by the central government, Austria has a system of federal government. While Italy is strongly decentralized, Czech Republic is governed by central government and is a unitary parliamentary republic. Gaining insight into the way these countries approach the formation of RDAs can be beneficial to discuss and possibly strengthen the positions of the RDAs in Turkey. They do not have the exact system as Turkey has, yet; comparisons and inferences can be made based on the characteristics of these countries. RDAs in England have in common with RDAs in Turkey in terms of being ruled by a central government and having a specific Ministry that is responsible for them. In England, there is one upper

level organization that is called ‘Government Offices’. These Government Offices show the signs of strong central government influence. In Austrian example, it is rather different. There is a federal level in between national and local level to organize and rule the RDAs. Every province in Austria is highly autonomous in decision-making but not as autonomous as in fiscal aspects. There are national and federal levels to be taken into consideration. In Italy example, the formation process of regional development agencies can be related to the actual creation of decentralized regions. RDAs were evolved similar to the devolution process from central to local and regional authorities. RDAs were established in the beginning of 1990s with the aim of creating institutional frameworks for economic restructuring. Many RDAs got involved in the management of EU programs and ministries and agencies of national government developed relationships with them.

#### 3.3.2.1. ENGLAND

Firstly, England example will be explored in detail. It is significant to take England as example due to the comparable state structures in terms of forming RDAs with Turkey. Harding (2006) argues that factors to build RDAs for countries, which do not have independent regional government, are shown in the England example.

RDAs were established with the aim of resolving territorial problems that were related to the long-standing lack of steady and meaningful management in the English regions (Shaw and Lloyd, 2000). As Bradbury and Mawson (1997) claimed, this lack of territorial governance, related design mechanisms and policy implementation on development caused this advantageous situation.

RDAs in England were public figures that are under the charge of Parliament and central government for their actions. Department of Trade and Industry (DTI) was responsible for these figures. The operation of each RDA was in a particular economic setting based on the strengths, actions, structure, and character of each region. Every RDA confronted distinct challenges. Nevertheless, RDAs were expected to provide a balance between the welfare of the region, national policy necessities and inconsistent demands of various regional stakeholders. Under the guidance of central government,



RDAs were expected to establish a strategic vision for the region. The government encouraged RDAs not only to improve economic capacity of the region with strong priorities, but also classify and produce strategies to accomplish this improvement (Harding, 2006).

As the focal point for regional economic development, RDAs in England were charged with five statutory purposes:

- to further economic development and regeneration;
- to promote business efficiency, investment and competitiveness;
- to promote employment;
- to enhance the development and application of skills relevant to employment;
- and
- to contribute to sustainable development (Pearce and Ayres, 2009).

The RDAs were “business-led, but they also include people with experience and expertise from local government and further and higher education, as well as trade unions and the voluntary sector. The intention was that they will bring greater coherence into national programs by helping to integrate them regionally and locally” (Feser and Bergman, 2000, p.16). In England and the rest of the United Kingdom, RDAs were recognized as a policy method of reducing the level of localized market failure in accordance with and in support of the government’s macroeconomic regional policy instruments and objectives (Danson and Whittam, 1999). Based on the results, though the RDAs were fairly new regional figures in England, they generated rational regional economic strategies that cause most of the stakeholders to consider them as successful. Additionally, they efficiently worked as main partners to support regional initiatives.

The goals and activities that the RDAs want to achieve have to be clearly explained to the affected sides. In this way, RDAs can find broader areas to conduct their policies (Harding, 2006). Most importantly, the agency should operate to a sustainable development specification that seeks to express the balanced development of

environmental, social and economic aspects in space and over time (Shaw and Lloyd, 2000).

There was an example of cooperation in England. In order to reduce the possibility of disharmony, and to ensure the most effective use of resources, a number of regions were investigating ways of bringing together the various parties who are involved in regional planning, management and development. One of the most advanced of these exercises was the ‘concordat’ that has been developed by the RDA Project Team and the Regional Chamber for Yorkshire and Humberside. This agreement provides a sound basis for collaborative working and for the incorporation of all regional-level organizations and agencies in a unified program of regional planning and development (Roberts and Lloyd, 2000). A concordat between the two cities, signed in September 2001 in the wake of a vision study commissioned by the overarching North West Development Agency (the region’s RDA) (Harding & Wilks-Heeg, 2001), suggested recognition by the two cities that collaboration rather than competition was a more realistic proposition in view of their greatly diminished economic status (Deas et al., 2003).

The RDA operations have been expanded importantly in England within several areas. Yet, one should not forget that England is “a mature democracy with a strong economy” that allows this to happen. Long history of non-governmental sector has a large role in this (Harding, 2006). Capacity building is what agencies on regional level try to achieve. Success is possible if RDAs provide the efficient communication flow between stakeholders. Participatory practices are therefore very vital in the regional development.

The role of the RDAs is not exclusively economic – social and environmental issues are also considered part of their policy agenda. The authority of RDAs on the economic issues of a region might lead a dualism in the region because of the presence of publicly accountable regional assemblies. Nevertheless, the powers of the RDAs are limited and there is little evidence that RDAs will possess much autonomy from central government (Gibbs and Jonas, 2000).

Additional to RDAs on regional level, in England, Government Offices and Regional Assemblies exist as regional players. Regional assemblies are publicly accountable. The closure of RDAs on 2012 might be related with their insufficient decision-making setting. A particular problem is that the new RDAs are not entering an empty policy stage; a variety of local and regional institutions and actors are already involved in the development and implementation of sustainable-development and environmental policies (Harman, 1998 as cited in Gibbs and Jonas, 2000). The current situation is that UK established Local Enterprise Partnerships (LEPs) instead of RDAs. RDAs are no longer operating in English regions.

### 3.3.2.2. AUSTRIA

Secondly, Austrian example will be discussed. The classification method of the Austrian RDAs is based on their various characteristics. This multidimensional approach to RDAs in Austria is highly notable for further groupings. The position of RDAs to enhance the participation and regional governance is exemplary. The established organizations such as universal, autonomous RDAs in Austria lead to an improved participation.

The most significant and permanent institutions on the regional level among new institutions in Austria are RDAs even though they show different institutional forms. Although RDAs are defined as “a regionally based organization that appears to claim to play an independent role in the promotion of economic development, which is publicly financed and outside the mainstream of central and local administration” (Halkier, et al., 1998:3), differentiation is needed in terms of the degree of autonomy, their roles, the change in previous instruments, their goals, the various fiscal means they use and distributions of these fiscal means and their degree of position to the larger organizational structure of regional policy, and also their trans-regional actions (Steiner and Schelnast, 2012).

Austria, a federal country, is comprised of 9 provinces (Länder). Each province has its own governmental institutions and is highly sovereign in decision-making. However, at the federal level, areas of policy are more restrictive. On the one hand, these

provinces are highly independent in policy making; on the other hand, due to the responsibility of central and federal governments for the distribution of resources (Finanzausgleich), these provinces nearly have no authority in their budgets (Steiner and Schelnast, 2012).

For about two or three decades, there has been a tendency to transform from a pure top-down approach in policy making to a combination of top-down and bottom-up approaches. On a larger scale provincial level agencies are independent from federal effects in policies (Steiner and Schelnast, 2012). Multi-governance nature of regional development necessitates management of various institutions. Whereas funding is provided by federal promotion agencies, RDAs provide advisory services.

RDAs were created in late 1980s in Austria. Firstly, RDAs were the sprouts of existing regional governmental administrations. Back then, nine provincial governments were in charge of advancement in economic and business developments. Regional inequalities were assessed by a number of economic pointers such as growth rates, income levels or the unemployment rate. Also, financial support to activate the authorized shares of less advantageous regions restricted the economic development and advancements (Steiner and Schelnast, 2012).

In the beginning of 1990s, objectives of development policy changed with the formation of RDAs. Besides the mere focus on financial authorized shares of a region, these new RDAs concentrate on immobile resources like “infrastructure, the abilities and skills of the workforce, the local economic structure, the local technical and organizational know-how and the social and institutional structures” (Steiner and Schelnast, 2012, p. 251). RDAs recently aim to support the internal potentials of a region to consolidate its competing capacity. Nevertheless, since 1990s, difference still exists in autonomy levels when developing strategies and using different instruments in Austria (Steiner and Schelnast, 2012).

According to Steiner and Schelnast (2012), RDAs in Austria can be categorized into three groups, namely ‘universal agencies’, ‘pure service providers’ and ‘specialized agencies’. The features of each group are as follows:

- Universal agencies: Provision of financial and non-financial services is done by these agencies. Universal agencies are subsidiary institutions of the public bodies in provinces that transfer the regional and business development agendas in the 1990s as a whole.
- Pure service providers: No financial services are provided by these agencies. They concentrate on providing consultancy and advisory services. In some occasions these agencies act as mediators between business corporations and the funding agencies in order to support stockholders. They help provinces and encourage entrepreneurs to invest in the region.
- Specialized agencies: These agencies have three separate subgroups. The first subgroup of agencies is specialized in loans or private investments in SMEs. The second subgroup focuses on European level programs with the utilization of EU sources for people and entrepreneurs. The third subgroup is specialized in specific business spheres such as technology and innovation.

### 3.3.2.3. ITALY

Italy example will be explored in detail. The history of Regional Development Agency, in Italy, is strictly connected with the actual establishment of Regions and with the lengthy devolution process from the Central Government to Local and Regional Authorities (Dall'olio, 2006).

Development agencies as such were created by a number of Italian Regions at the beginning of the seventies, in the aftermath of the actual establishment of Regions, as originally provided for by the Constitution. At that time, they had statutory tasks different from the ones they have been later assigned. In that period, Central Government had and exercised exclusive powers in economic policy and its decisions concerned not only direct market interventions, but also the provision of financial aids to companies at risk and producing public goods. Furthermore, it was to establish the main directions and goals of national economic development for almost every economic sector. When they were first created regional authorities had little or none power for intervening in the economy of the territory that they were representing. In

Italy, economic instability caused the restructuring process of the national production system: while big industries were scoring bad performances, small firms were increasing their importance and market share. In this framework and with the aim of responding to the economic crisis by strengthening small enterprises, regional governments started establishing Development Agencies as instruments for initiating local industrial programs. Regional Agencies were then a pilot policy instrument designed to provide creative local answers to the national economic crises and a way of creating balanced solutions for local development, less dependent from central authorities. This is the period when ERVET Regional Agency for Socio-Economic Development was founded, as well as few other Agencies in other Italian regions (Dall'olio, 2006).

ERVET was founded in 1974 as a private company, whose major share-holder was the Emilia-Romagna Region of which oriented the strategy and exercised control over it (Dall'olio, 2006). The RDA of the Italian region of Emilia-Romagna, ERVET (Ente Regionale per la Valorizzazione Economica del Territorio) is constructed around a shareholding principle that, according to Cooke and Morgan, “reflects an ethos of collaborative engagement in the sense that ERVET has tried to integrate the potential of public and private sectors, of credit and financial institutions, entrepreneurial associations, and chambers of commerce, etc.” (Cooke and Morgan 1995:109 as cited in Ansell, 2000, p.316)

Three principle lines of activities of ERVET were the following:

- Creation and execution of projects for the support of the innovation process of the companies and their capacity of international exchange
- Supporting the process of reaching agreements between the local administration, public entities, social organizations and private operators, with the goal of economic development of the territory
- Technical assistance to the Region of Emilia-Romagna in the execution of its programs (Dall'olio, 2006).

The Agency contributes to the definition of the best policies for sustainable development, acting on the principle of integrated policies and no more on the principle of vertical specialization. New competences include:

- Execution of development programs originated by regional, national or European initiatives
- Promotion and coordination of new Agencies for territorial development
- Management of the actions of the Region in various international and national institutions
- Cooperation with other European regions
- Promotion of foreign investments in the Region of Emilia-Romagna

In the second half of the nineties the decentralization process in Italy brought about another important formula: governance. During this period, Emilia-Romagna Region adopted and promoted a new governance concept, based on the subsidiary principle and not on the delegation of powers once reserved to central authorities (Dall'olio, 2006).

The concept of regional governance leads us to the last phase of the relationship between ERVET and the Region, which is framed by a three-year action plan, negotiated between them. The Region maintains the right of monitoring and evaluating the results after every three-year period. ERVET has no longer a central role in the delivery of services to the market nor in managing specialized service centers, as it gets more and more tasks as the executor of specific missions focused on the valorization of territory (Dall'olio, 2006). Italy example gives some fundamental insights on how an RDA can be evolved into a strong entity in the region.

#### 3.3.2.4. CZECH REPUBLIC

The characteristics of RDAs in Czech Republic will be explored in detail. In the Czech Republic, RDAs were established in the early 1990s to help create institutional frameworks for economic restructuring. There are more than 18 institutions that describe themselves as RDAs, with a wide range of policy and practical experience.

Many have been involved in the administration of EU programs, and national government ministries and agencies have established formal links with the RDAs. At local and regional levels, RDAs have provided an opportunity for formerly fragmented interests to combine and, through a single organization, work towards meeting regionally based development goals (McMaster, 2006).

At a stage when increasing regional disparities have led to regional policy issues moving up the national political agenda, and considerable regional development resources are available through EU Structural Funds, McMaster (2006) asserts that Czech RDAs should now be poised to take on a key regional development role. However, their function and position in regional development networks is continually plagued by uncertainty, and they are struggling to define a clear role (McMaster, 2006).

In the Czech Republic, Regional Development Agencies are one of the few comparatively well established, experienced and regionally based development institutions. The first RDAs were established in 1993–1994 in the heavy industrial areas around Ostrava in Moravia Silesia, and Most, in North West Bohemia. There are 18 RDAs in the country. All operate at the regional level, although not necessarily within the boundaries of the country's 14 self-governing regions (*kraj*) (McMaster, 2006). Early RDAs were isolated actors in the regional development field. In the Czech Republic after 1989, market-based regional policy was slow to develop. The efforts of post-communist governments focused on fundamental, large-scale national economic, political and social reform. What could loosely be termed 'regional policy' was largely developed and implemented at the national level through sectoral policies. In contrast, the latter half of the 1990s saw the gradual development of an increasingly integrated and coherent approach to regional policy, as well as related institutional arrangements (Ferry & McMaster, 2005, pp. 19–39). The Czech government introduced a series of reforms that established a new regional level of administration in 2001 and placed an increased emphasis on regional economic development. As a result, RDAs form part of a complex framework of institutions that are involved in promoting regional economic development (McMaster, 2006).



In a complex and shifting institutional environment the fortunes and prospects of RDAs have changed over time, linked to evolving EU, national and sub-national policy agendas and interests. The first RDAs in the country were viewed as resources, which could encourage innovative, regional responses to economic development challenges. Yet, in practice, RDAs in the country have struggled to meet these expectations. Many are peripheral institutions, fulfilling a small consultancy role outside formal regional development networks. Others have evolved to become robust partners for regional administrations, but, as a result, their capacity to take on an independent, coordinating and strategic role is limited. In an increasingly competitive environment, unless RDAs can be seen to contribute genuine added value and develop a distinctive role for themselves, it is difficult to see all of them surviving in the long-term (McMaster, 2006).

#### 3.3.2.5. EVALUATION OF EXAMPLES

In the Table 3.3 the characteristics of selected RDAs are grouped as Administrative, Level of Autonomy, and Projects and Plans. The highlighted lines with red are the exemplary practices of RDAs in participation and regional governance concepts. Both in the England and Austria examples, a strong cooperation between the stakeholders is necessary in order to stabilize the system of RDAs. Whether these regional figures are autonomous, semi-autonomous or dependent, the regional development is their main goal. They use different tools according to the region and the country they operate. Breuss and Eller (2003) explain within the theories of federalism that RDAs provide information flow between firms and national institutions with stronger financial tools. Also they pursue strategies that deal with a region's spatial and economic strengths and weaknesses. All in all, RDAs are inseparable entities from regions, which is included or is planned to be included in European Union context.

Italy and Czech Republic RDAs, sectoral economic development is aimed to be improved on regional basis. Whereas RDAs in Italy once had very little power over the regions they operate, within the scope of high levels of devolution lead well improvement of some of the RDAs. Czech RDAs aim to combine separated interests of different entities on regional level. They provide regional responses to the regional

development challenges. Besides the Italy example, Czech RDAs have a limited role on the regional development.

Table 3.3 Characteristics of selected RDAs (Source: \*Halkier and Danson, 1997)

	Administrative	Level of Autonomy	Projects and Plans	Participation	Regional Governance
<b>Model RDA*</b>	Country-dependent	Semi-autonomous organizations	Promotion of economic development	Closeness to companies and enterprises	Promotion of vertical and horizontal coordination
<b>England RDAs</b>	Unitary State	Publicly Owned	Improvements in economic development, business efficiency, sustainable development	Cooperation of regional initiatives	Capacity building
<b>Austria RDAs</b>	Federal State	Universal Agencies/Pure Service Providers/Specialized Agencies	Advisory services	Advancements in endogenous growth and immobile resources	Partial bottom-up approach in policy making
<b>Italy RDAs</b>	Unitary State	Publicly Owned	Sectoral economic development and reinforcement of the local enterprises	Supporting local agreements between stakeholders	Negotiated regional plans – regional governance
<b>Czech Republic RDAs</b>	Unitary State	Publicly Owned	Economic restructuring	Integrated approach to regional policy	Partners of regional administration – regional governance

On the account of the prospects of RDAs, Hall (2012) states that other than what conventional perspective refers and demand to decrease territorial inequalities, RDA presence is prevalent. RDAs commit to convert agendas of regions by substituting regional inequality agendas. The position of RDAs in a broader mechanism depends on their contributions to development strategies and political grand schemes, together with the nature of wielding effective adaptations to global challenges (Rončević, 2012).

According to Roberts and Lloyd (2000), “even with their incomplete mandate, the RDAs offer a substantial degree of self-determination to regional communities and it would appear that in most cases the opportunity to exercise this power of self-

determination has been welcomed”. Thus, quite apart from the wider regulatory context, it is these local agencies and their various struggles that will ultimately play a key role in shaping regional capacities to ‘balance’ environmental, social, and economic policies (Gibbs and Jonas, 2000).

### **3.4. OVERVIEW OF RDAS IN TURKEY**

The State Planning Organization had been responsible for the regional development since 1960s in Turkey. The State Planning Organization (SPO) which was founded in 1960 was reorganized as the Ministry of Development in June 2011 with Decree Law No. 641. Ministry of Development is an expert based organization which plans and guides Turkey’s development process in a macro approach and focuses on the coordination of policies and strategy development (Ministry of Development, 2016).

Twenty-six NUTS2 regions (territorial units for statistical classification of regions in the EU) were established in 2002. The new NUTS2 regions group Turkey’s eighty-one provinces into clusters with geographical or economic similarities (Loewendahl-Ertugal, 2005, p.31).

According to the research of Loewendahl-Ertugal (2005, p.37), the EU is referred as the most important factor in change of regional governance due to the following developments:

- The establishment of NUTS level regions in Turkey by the SPO in 2002,
- The preparation of the Preliminary National Development Plan covering the period 2004-2006
- The draft law on Europeanisation of Regional Policy & Governance prepared by the SPO on establishing RDAs for NUTS2 level regions in response to EU requirements.

In other cases, such as the establishment of statistical regions, other bureaucracies may be involved, the decision of which has to be approved by the Council of Ministers. It was the SPO and the State Institute of Statistics, which together determined the NUTS regions in Turkey (Figure 3.2). The map of the NUTS regions was approved by the

Council of Ministers, which forms the core of the government (Loewendahl-Ertugal, 2005, p.39).

SPO prepared two draft laws on establishing RDAs for NUTS2 level regions in Turkey (SPO, 2003a, 2003b). In both of the drafts RDAs are envisaged as structures, which institute co-operation between the local authorities (Special Provincial Administrations and municipalities), the private sector and the NGOs, under the leadership of provincial governors. This kind of arrangement is different from creating a dedicated, separate, layer of regional institutional structure, as was indicated in the EU's progress reports (CEC, 2003 as cited in Loewendahl-Ertugal, 2005, p.44).

RDAs (Table 3.4) have been studied in many researches in Turkey. This study aims at examining the tools to improve the regional governance and participation in the regional plans of RDAs in Turkey.



Figure 3.1 Development Agencies in Turkey on NUTS II Level

(Source: <http://www.kalkinma.gov.tr/Pages/KalkinmaAjanslari.aspx>)

Regions have become the fundamental discussion points in terms of regional policy making after the impact of New Regionalism perspective throughout Europe (Keating, 1998). Relatedly, provision of competitive regions and proliferation in the local/regional capacities of the regions are the primary concerns of regional policy making. Regional policy in Turkey proceeds towards the Europeanization with the agenda of EU membership (Kayasü, 2006). An appropriate structure of regional

governance is obligated by EU in each phase to Turkey in terms of the installments in the institutional and policy spheres (Lagendijk, Kayasü and Yaşar, 2009).

Table 3.4 Nomenclature of Units for Territorial Statistics and RDAs of Turkey

(Source: TURKSTAT, 2011)

TR10	İstanbul Kalkınma Ajansı (İSTKA)	İstanbul
TR21	Trakya Kalkınma Ajansı (TRAKYAKA)	Tekirdağ, Edirne, Kırklareli
TR22	Güney Marmara Kalkınma Ajansı (GMKA)	Balıkesir, Çanakkale
TR31	İzmir Kalkınma Ajansı (İZKA)	İzmir
TR32	Güney Ege Kalkınma Ajansı (GEKA)	Aydın, Denizli, Muğla
TR33	Zafer Kalkınma Ajansı (ZAFER)	Manisa, Afyon, Kütahya, Uşak
TR41	Bursa, Eskişehir, Bilecik Kalkınma Ajansı (BEBKA)	Bursa, Eskişehir, Bilecik
TR42	Doğu Marmara Kalkınma Ajansı (MARKA)	Kocaeli, Sakarya, Düzce, Bolu, Yalova
TR51	Ankara Kalkınma Ajansı (ANKARAKA)	Ankara
TR52	Mevlana Kalkınma Ajansı (MEVKA)	Konya, Karaman
TR61	Batı Akdeniz Kalkınma Ajansı (BAKA)	Antalya, Isparta, Burdur
TR62	Çukurova Kalkınma Ajansı (ÇKA)	Adana, Mersin
TR63	Doğu Akdeniz Kalkınma Ajansı (DOĞAKA)	Hatay, Kahramanmaraş, Osmaniye
TR71	Ahiler Kalkınma Ajansı (AHİKA)	Kırıkkale, Aksaray, Niğde, Nevşehir, Kırşehir
TR72	Orta Anadolu Kalkınma Ajansı (Orta Anadolu Kalkınma Ajansı)	Kayseri, Sivas, Yozgat
TR81	Batı Karadeniz Kalkınma Ajansı (BAKKA)	Zonguldak, Karabük, Bartın
TR82	Kuzey Anadolu Kalkınma Ajansı (KUZKA)	Kastamonu, Çankırı, Sinop
TR83	Orta Karadeniz Kalkınma Ajansı (OKA)	Samsun, Tokat, Çorum, Amasya
TR90	Doğu Karadeniz Kalkınma Ajansı (DOKA)	Trabzon, Ordu, Giresun, Rize, Artvin, Gümüşhane
TRA1	Kuzey Doğu Anadolu Kalkınma Ajansı (KUDAKA)	Erzurum, Erzincan, Bayburt
TRA2	Serhat Kalkınma Ajansı (SERKA)	Ağrı, Kars, Iğdır, Ardahan
TRB1	Fırat Kalkınma Ajansı (FKA)	Malatya, Elazığ, Bingöl, Tunceli
TRB2	Doğu Anadolu Kalkınma Ajansı (DAKA)	Van, Muş, Bitlis, Hakkari
TRC1	İpekyolu Kalkınma Ajansı (İKA)	Gaziantep, Adıyaman, Kilis
TRC2	Karacadağ Kalkınma Ajansı (KARACADAĞ)	Şanlıurfa, Diyarbakır
TRC3	Dicle Kalkınma Ajansı (DİKA)	Mardin, Batman, Şırnak, Siirt

In the direction to overcome the regional disparities that has always been referred in development plans of the state, economic, political and administrative interests have to be taken into account. There is a need to provide a balance between these interests. The state has to consider its position in between general support for economic development and decrease in spatial inequalities economically; central state conditions and improved regional autonomy politically; political motivations and governmental capacity administratively. In this view, existing spatial organization that is the division of 81 provinces serves basic managerial tasks beneath the central state. In terms of regionalization, critical challenges and dilemmas are posed for Turkish state (Legendijk, Kayasü and Yaşar, 2009).

This overview of RDAs in Turkey is based on three main sections namely:

- The historical process of RDAs,
- Legislation,
- Current situation.

#### 3.4.1. HISTORICAL PROCESS

Central administration is composed of two branches in Turkey: central administrative institutions in Ankara and provincial administration. According to the 1982 Constitution, the provincial administration was established on a provincial system. Accordingly, the whole country was divided into provinces and provinces into subgroups. Consequently, the 1982 Constitution did not mention a level called “region” in its administrative division. However, article no. 126 in the 1982 Constitution decrees that “for the purpose of providing effective and cohesive public services, a central administrative institution comprising more than one province can be established.” (Sobacı, 2009).

Regional development policies in Turkey have been developed around the primary aim of reducing the regional inequalities. Nevertheless, due to the insufficient institutional capacities and financial resources on regional level, policies have not been accomplished successfully (Kayasü, 2006). There have been plans, proposals and

policies in order to deal with the problems of different regions in planned period in Turkey (Akpınar, 2004 as cited in Kayasü, 2006).

Exceptional reforms in legal and institutional areas have expanded in Turkey since the advancements in EU candidate status (Kayasü, 2006). Intensified collaboration between Turkey and EU led to a radical change in regional policy context, encouraged by the full accession possibility (Lagendijk, Kayasü and Yaşar, 2009). In respect of structural means, rather than a vertical and sectoral planning and policy making horizontal and territory oriented structure of planning and policy making are enforced to the states (Loewendahl-Ertugal, 2005).

Turkey has dedicated to adapt itself with regard to the EU policy areas such as governance organizations and techniques for the possibility of full accession to EU with the inclusion of regional policy. Integration to EU is supposed to be facilitated with the developments in legal and institutional structures. These developments, which are used for RDA creation, are followed by the increased need for collaboration among all actors in a specific territory. This collaboration represents the design and supervision of regional policies and the regional development achievements (Kayasü, 2006).

EU legislation body in the context of accession negotiations is comprised of 31 chapters called *Acquis Communautaire*. In Chapter 21, “Regional Policy and Co-ordination of Structural Instruments” are discussed (Kayasü, 2006). Unlike the other chapters of *acquis*, Chapter 21 does not consist formal conditionality on the context and guidelines (Beleli, 2005 as cited in Kayasü, 2006). The ambiguity of *acquis* on regional policy leads disorganized regional setting in each candidate country on behalf of the arrangements for accession negotiations. Regional policy has appeared as the most significant and controversial issue, and sometimes it was one of the last chapters to be closed in the accession process (Hughes et al, 2004).

The current *acquis* under Chapter 21 on regional policy that forms the formal basis of negotiations is consisted of:

- a territorial organization based on a provisional NUTS classification,
- a legislative framework allowing for the implementation of the specific provisions,
- an institutional framework and administrative capacity whereby clear tasks and responsibilities of all involved bodies and institutions are defined,
- an effective inter-ministerial co-ordination,
- programming capacity whereby the country can design a development plan,
- appropriate procedures for multi-annual programming of budgetary expenditure,
- implementation of partnership principle at the different stages of programming, financing, monitoring and evaluation (Kayasü, 2006).

### 3.4.2. LEGISLATION

The new division of regions is introduced by the state in line with the EU in order to adjust the EU agenda. The Law on the Establishment and Duties of Development Agencies, No. 5449 was approved on 25 January 2006 (National Gazette, February 2006). Central government established development agencies with strategic and general operative functions with this Law (National Gazette, February 2006 as cited in Lagendijk, Kayasü and Yaşar, 2009). The law does not precisely describe the commitment degree of RDAs on regional plans and strategies for regional development (Lagendijk, Kayasü and Yaşar, 2009).

Objective of the Law on the Establishment and Duties of Development Agencies is to set principles and procedures with the aim to accelerate regional development, ensure sustainability and reduce regional development inequalities. The Law defines RDAs as institutions that have to keep up with the global competitiveness agenda with the local entrepreneurialism and the activation of local resources. Flexible and dynamic structure is needed for RDAs. For this reason, if the RDAs want to create a sustainable regional plan, the organizational structure has to be participatory and include the efforts and potentials of the local actors (Özen, 2005, p.19). In this connection, with



respect to Law No. 5449, drifting away from nonselective incentives and the regional policies devoid of local economic strategies, Turkey aimed at a transition to new regional policies. Those policies were intended to consider the unique socio-economic structure of every local/regional economy, stimulate the local/regional resources, improve the cooperation amongst the local/regional agents and bring the regional competitive dominance to the foreground. This process, in which the RDAs are one of the main agents, signifies a new regional development conception realized by the “bottom to up” fashion and led by the local/ regional agents instead of a regional development conception led by the central government and realized in a “top to down” fashion (Övgün 2007). In this way, it is aimed to ensure that local governments, NGOs and regional agents all take part in the decision-making process. Therefore, RDAs are considered an example of the instruments of governance model commonly adopted after the 1990s (Webb and Collis 2000; Brown 2005; Beer and Maude 2005).

There is a vagueness on the description of tasks of RDAs. Formally RDAs are not responsible for the preparation of regional development strategies, coordination of projects or allocation of finance. For RDAs, law defines a mere task of supporting to the projects related to regional plans that is applied by other organizations (Lagendijk, Kayasü and Yaşar, 2009). Given insufficient strategic capacity and resources, RDAs have limited chances to be proactive when adopting the EU regional policy guidelines (Lagendijk, Kayasü and Yaşar, 2009).

According to the new legislation, RDAs are composed of three bodies:

- 1) Development Board

The Development Board is composed of members from representatives of various public and private organizations, NGOs and universities, and primarily plays an advisory role. The Board provides broad regional support and legitimization.

- 2) Management Board

The Management Board is composed of provincial governors, mayors from metropolitan municipalities, the chairmen of the Chambers of Commerce and Industry, and three representatives from NGOs or the private sector.

### 3) General Secretariat

The General Secretariat is the executive body in RDAs. Alongside, Investment Support Offices are established, located in each province in related NUTS-II regions (Lagendijk, Kayasü and Yaşar, 2009).

#### 3.4.3. CURRENT SITUATION

A decade ago, the discussion about the future of RDAs was mainly on the proposed roles of RDAs on regional level. A key focus is lately on the future role of RDAs in fostering endogenous development by means of describing and debating a shared development agenda (Lagendijk, Kayasü and Yaşar, 2009).

Regional development and institution building are in Turkey's program in the accession process of EU. According to Lagendijk, Kayasü and Yaşar (2009), "with the right institutional backing, an RDA could fill the gap by providing a bottom-up, regionally tailored framework for economic strategy making".

Given the prominence of RDA development across Europe, they represent a type of organization well suited to the adaptation of the country to the EU standards and practices of regional and structural policies. Yet, in the end the development and competitiveness of regions depend on a number of factors which no single agency has the power to command (Kayasü and Yaşar, 2003).

It would not be realistic to expect RDAs to solve all problems. Nevertheless, RDAs can still be successful as intermediate agencies in making vital contributions and inducing change. But this will require more thinking and action on the organizational and institutional embedding of RDAs (Lagendijk, Kayasü and Yaşar, 2009).

## CHAPTER 4

### 4. PARTICIPATORY PLANNING IN PRACTICE: ZAFER REGIONAL DEVELOPMENT AGENCY

#### 4.1. INTRODUCTION

Zafer Development Agency is selected as the case study to exemplify the participatory planning attempts by RDAs. Participation in regional planning and development is examined in practice. The relation of this case with previous studies on regional planning sphere is significant to take into account. The methods of this agency to implement participatory practices into planning are deliberated.

The functions of RDAs vary in different countries in terms of the specific necessities and priorities. The case of Zafer Development Agency is likely to provide an important insight on the current regional planning trends in the Turkish case. In-depth analysis is conducted in order to reveal current participation and governance attempts of regional development agencies. The collected implications from this case can provide some insights for practice for other regional development agencies.

The agency operates in TR33 Region (Figure 4.1) on NUTS II level, which consists of Afyonkarahisar, Kütahya, Manisa and Uşak provinces. Provinces are located in the Northern Aegean part of Turkey.

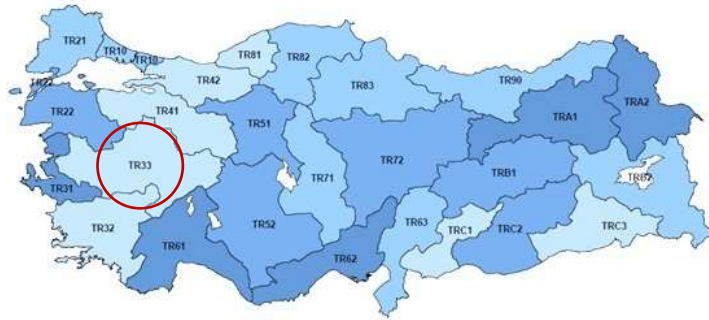


Figure 4.1 Location of TR33 Region in Turkey

(Source: Zafer Development Agency, 2014-2023 Regional Plan, p. 34)

The Agency aims to deliver various functions in its region namely local synergy and networking, project support, investment support and promotion, research and planning. These functions can be elaborated as follows. Firstly, Zafer Development Agency promotes cooperation and communication among local actors including members of local government, private sector, universities, NGOs, local media and the public. They try to create and promote strategic partnerships among these actors in a way to strengthen regional socio-economic growth and development. Secondly, the Agency provides financial and technical support to the projects developed by local actors through support programs with funds transferred to the Agency from the central budget. Then, One-stop Investment Support and Promotion Offices in the four provinces provide valuable information and guidance to potential foreign and domestic investors, regarding investment processes and business opportunities. These offices actively help investors in the process of attaining necessary investment permits and licenses and in benefiting from government incentives. Last of all, Zafer Development Agency creates Regional Development Plans which outline development priorities for the region. The Agency also supports planning efforts and capabilities of local institutions. It continually surveys the region; its economy, sectors, trends, dynamics, social issues in order to identify strengths, potentials as well as threats and shortfalls. This way the agency tries to increase local awareness and guide policy makers for achieving a sound development perspective with its social and economic aspects (Zafer Development Agency, 2014).



Figure 4.2 TR33 Region

(Source: <http://www.zafer.org.tr/kekaresim/tr33.jpg>)

TR33 Region (Figure 4.2) has approximately three million inhabitants. The surface of the region is 4.206.289 ha. The region consists of four provinces and many prominent sectors. Sectors are ceramics, mining, electronics and home appliances, automotive, agricultural technologies, food and animal products (bio-technology), textile and leather, culture, history and tourism (Zafer Development Agency, 2014).

TR33 Region has advantages such as government incentives. This means that two of the provinces in TR33 Regions are able to utilize the Region III incentives. These investment incentives are named as Land Grant Subsidies, Customs Duty Exemptions, Social Security Premium Support (Employer's Portion), Reduced Income/Corporate Tax Rate, VAT Exemption, and Interest Support. Another advantage is its geographical location. Major Turkish state highways of Ankara – İzmir and İstanbul – Antalya pass through TR33. The region neighbors, Bursa, Eskişehir and İzmir, are three of the most industrialized provinces of Turkey. Other strategic locations that can be reached by motorway are İstanbul, Kocaeli, Antalya and Mersin. Combined with the railway infrastructure, access to ports and customs poses no difficulty for the investors. TR33 region has valuable source of labor. It has fairly young population and it is supported by the four universities and vocational schools in the region. Another advantage is the Organized Industrial Zones (OIZs). TR33 Region has a total of 10 organized industrial zones in its four provinces and their townships. Not only do these zones mark the intensive industrial activity in the region, they also offer land and infrastructure for new investments. All in all, Zafer Development Agency plays a crucial role in this region in order to provide connections between the central institutions and local stakeholders. The agency can be named as a strong local partner that leads the investments within the region (Zafer Development Agency, 2014).

The development agency produced two regional plans since it was established. These regional plans cover the years between 2010-2013 and 2014-2023 of Zafer Development Agency. These two regional plans were examined in order to observe and study how the participatory approach in the plans evolved throughout the time, what the plans aimed at, if the experience of participation from the previous planning process was incorporated to the new plan.

## **4.2. PLANNING APPROACH**

Regional Plans, which are prepared by the Regional Development Agencies, are between the National Development Plans and the Territorial Plans. The aim to prepare these plans is to provide the consistency and integrity in the planning hierarchy. Zafer Development Agency prepares the regional plans with respect to the Guide for Regional Plan Preparation that was provided by the Ministry of Development. The improvement of the economic and social development of the region by means of strategies and policies is the core aim of the regional plan (Zafer Development Agency, 2013).

### **4.2.1. FIRST PLAN**

In the planning process of the first regional plan (Figure 4.3), Zafer Development Agency aimed to raise the involvement of stakeholders in the regional planning process by informing the regional stakeholders about the regional planning process and more actively by doing workshops. 21 workshops were done by the agency on the concepts of Agriculture, Tourism, Environment, and Industry and Social Structure. The distribution of stakeholders based on institution/company in these workshops. SWOT Analyses are done with the contribution of 471 regional stakeholders. In Figure 4.3, sections of Meetings and Interviews, Views of Stakeholders can be taken into consideration as participatory approach. According to the plan report, Meetings and Interviews were done only for giving information to participants. Views of stakeholders were gathered via workshops. The study examines the participatory planning process by using in-depth data with the method of in-depth interviews.

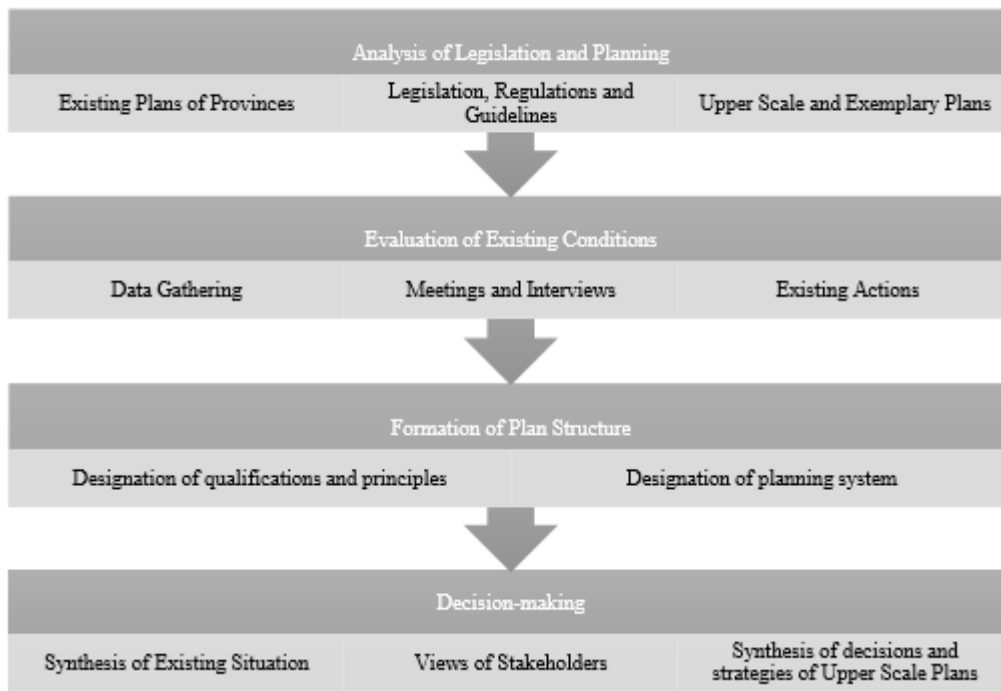


Figure 4.3 Planning Process of the First Regional Plan

(Source: Regional Plan 2010-2013, Zafer Development Agency, p. 102)

Figure 4.3 describes the regional planning process for Zafer Development Agency for years 2010 – 2013. As the first step, the legislation and planning were analyzed in order to examine the existing plans in the regions, what were the legislative requirements and also limitations. The next phase was to evaluate the present conditions in the region which means gathering the data, planning and conducting the meetings and interviews, generally speaking taking a look at the existing work. Third step was to form the structure of the plan – to design the basic principles and qualifications and rules to attain systematic work. The final step was decision making – to synthesize all the existing information with the decisions and strategies of decision makers and the views of stakeholders.

SPO authorized Zafer Development Agency for the creation of thematic axes in the regional plan. Agency is considered as a leading institution which produces solutions to the regional problems, with aiming the provision of social and economic development. Agency aimed at defining some criteria such as directing, dynamic,

realistic, authentic and participatory/embraced regional plan with the aim of realizing the planning objectives. The regional plan was considered as a bridge between national policies and regional development, a guide for the regional stakeholders, a directing plan. Dynamic criterion of the plan was related to the capacity of the plan to deal with the changing market and life conditions. It was aimed to be realistic because existing situation, regional opportunities and threats had to be considered. Authenticity was important due to the right appreciation of proposed regional aims and priorities in terms of regional values and dynamics. Regional stakeholders (Table 4.1) had to actively participate in the planning process for the sake of criterion of participatory/embraced (Zafer Development Agency, 2010).

During the elaboration of the plan the authorities were aiming to utilize and implement the following principles:

- Innovative Approach – to come up with new innovative ideas advancing the region, thinking out-of-the-box, responding to the current situation not always in conventional way and to base these on the plan decisions
- Sustainability – ensuring the long-term sustainability and longevity of region by smart use of resources, sectoral growth was aimed to be sustainable
- Subsidiarity/Locality – in order to be effective and efficient to perform measures on the appropriate levels, and give priorities peculiar to regional potentials and regional inner dynamics
- Lifelong learning – to work in cyclical manner, to get feedback and learn from it, to incorporate the feedback from previous plans and strategies into the new plan and to support constant development of social capital in every decision

As it is shown in Table 4.1, there are stakeholders to be included in the planning process. In the plan document, these stakeholders were listed. The expected roles from these stakeholders were clearly defined in the plan document. The real involvement of the stakeholders is examined in the scope of this study.



Table 4.1 Stakeholders of the First Regional Plan (2010-2013)

(Source: Zafer Development Agency, 2010-2013 Regional Plan, pp.110-111)

Stakeholders	Expected Roles
Central Government Representatives: Governor, District Governor	Necessary information and data for regional plan Legal support Involvement in planning process
Municipalities in the region	Environment management Development of municipal infrastructure Information for regional plan Involvement in planning process
Special Provincial Administration	Development of areas within provincial borders to municipal borders Involvement in planning process Implementation of the plan
Universities in the region	R&D and Innovation activities Information for regional plan Involvement in planning process Utilization of both intellectual and private sector knowledge
Media Organizations: Media representative on regional level, National media	Publications about agency Promotion of the agency Transfer of information to stakeholders
NGOs in the region	Interviews Involvement in the workshops Recommendations and views
Industrial Regions: Organized Industrial Regions, Other Industrial Regions	Involvement in the workshops Involvement in planning process Implementation of the plan
Private Sector Organizations in the region	Sectoral information for regional plan Involvement in planning process
Agency Development Board	Provision of continuity of participation and applicability Involvement in planning process
Finance Organizations	Provision of insurance, loan and banking needs Cooperation with the agency on regional development
Locals	No direct involvement in planning process Affected party

#### 4.2.2. SECOND PLAN

In the planning process of the second regional plan (Figure 4.4), Zafer Development Agency aimed at building more competitive economic structure, to increase the quality

of life, to decrease the development differences, and to provide balanced spatial organization.



Figure 4.4 Planning Process of the Second Regional Plan

(Source: Zafer Development Agency, 2014-2023 Regional Plan, p.23)

The Figure 4.4 describes the planning process for the second regional plan for years 2014-2023. For the first stage of the plan, expertise and technical commissions gathered. Regional development working group meetings were conducted. Two Organized Industrial Areas Summits were organized. Development board gathered the technical commissions. Expertise commission meetings were comprised of Development board members, whereas technical commission meetings were consisted of both Development board members and the people who were invited by the board members. In the scope of Regional development working groups, three meetings were conducted with the contribution of academicians from the universities in the region (Zafer Development Agency, 2014).

In the second stage, existing conditions of the region were evaluated and upper scale plans were examined. Data about the whole region were gathered, then agency assessed this data. This assessed data were reflected on documents that are called

‘District Cards’. There was a research on the parameters about the TR33 Region. Economic and social indexes on district level were generated. In the focus process, questionnaires for identification of regional thematic fields and modeling of the structure of production were conducted. Meetings were organized for thematic areas. Innovation strategies, entrepreneurialism strategies, focus groups and tourism strategies were developed. Transportation Strategy for TR33 Region was formed. Additionally, sub-regions were defined. Stakeholders from both public and private sector were gathered in meetings (Zafer Development Agency, 2014).

In the policy making stage, agency made a synthesis of all strategic focus group works. Meetings for both identification of district priorities and consultations of provinces were organized in order to form the regional plan. Throughout the consultation process, views of Management and Development Boards, stakeholder views via internet, institutional views and Ministry views were taken into consideration. In the last stage, plan was approved by the Management Board, Ministry of Development, Regional Development Committee, Regional Development High Council (Zafer Development Agency, 2014).

The planning process of the second plan took approximately three years. It was a long process which all the necessary steps were followed to fulfill the requirements for plan preparation. TR33 Region 2014-2023 regional plan was defined by the agency as “governance and coordination tool for regional development”. Two planning principles were defined namely governance based and applicable plan (Zafer Development Agency, 2014).

- Governance based – the participation procedures are seen in the case of Zafer Development Agency as merely first step towards the shift to governance. The objective is to create open and inclusive governance mechanism into which the regional stakeholders can be incorporated and use their knowledge and expertise in managing the region. Especially the planning period was aimed to be governance based. Also the focus in the spatial reflections of the policies aimed to raise the awareness among the responsible institutions and organizations efficiently.

- Applicable – plan needs to consist of applicable policies in case the development of the region is aimed. This applicability necessitates the coordination between the upper scale policies, existing conditions and individual strategies of stakeholders. Based on the needs of the region, existing resources were tried to be canalized to the prioritized policy areas.

During the elaboration of the plan the authorities were aiming to utilize and implement the principles. In the direction of aims and strategies, two principles were supposed to taken into consideration for precautions and interventions related to the region. These principles are as follows:

- Innovative – different sectors in the region were aimed to become innovative in terms of productions, services and manufacturing technology. Innovative practices were important in terms of diminishing the regional development differences between the TR33 region and surrounding regions.
- Sustainable – listening to the needs of the region and its stakeholders and responding to them in sustainable way, aiming at long-term feasibility of the plan. Based on the exemplary environment and development schemes, efficient use of resources is always in need in order plan to achieve long-term goals.

These two principles correspond to each other in an integrated planning approach. Agency made the plan in order to fulfill national targets and visions created by stakeholders. Phases of the plan were planned to be innovative and contributory to more sustainable regional development.

In order to make the plan applicable and governance-based, a method of participation (Figure 4.5) was produced by the Zafer development agency. Plan preparation process was conducted by the agency. In the next stage, planning process was conducted in the spokesmanship of the agency. Correspondingly, preparation, focus, policy making and consultation processes of the plan were conducted with the aim of maximum contribution of the stakeholders (Table 4.2).

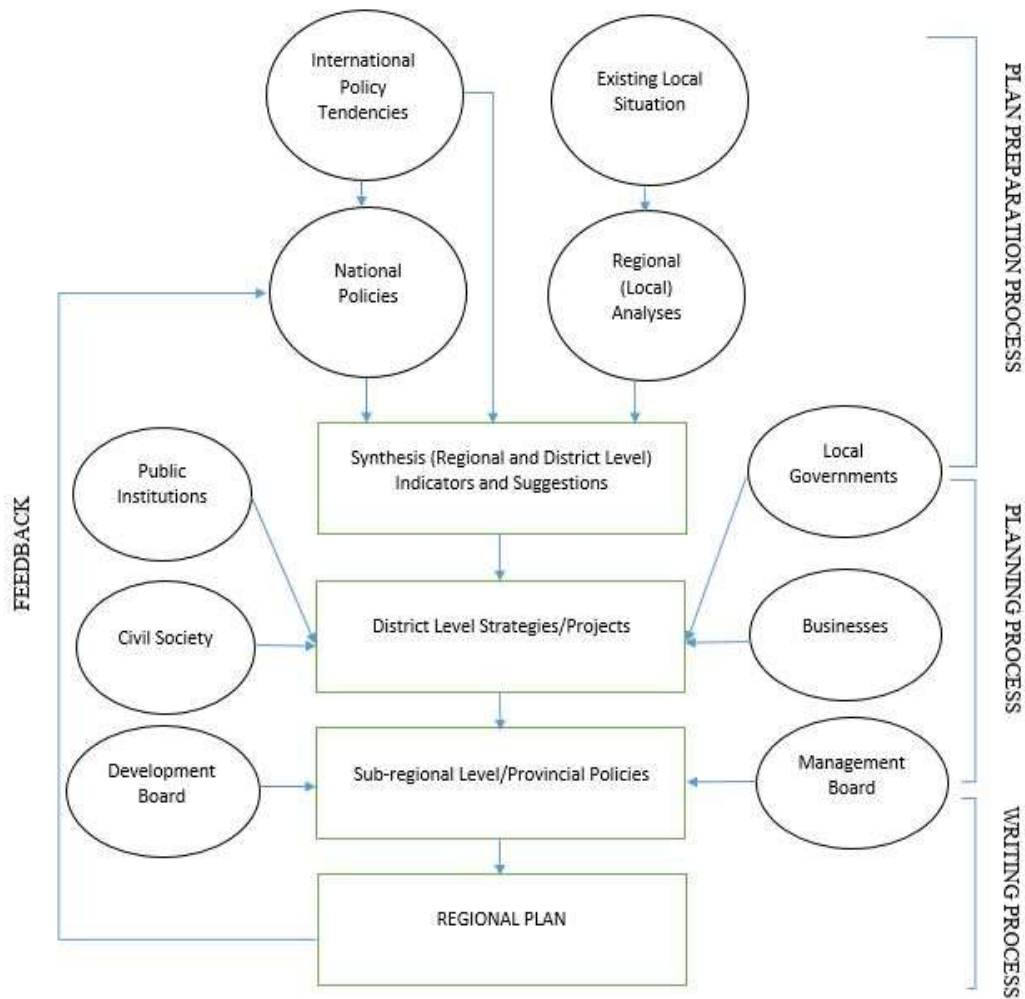


Figure 4.5 Method of Participation of Zafer Development Agency  
 (Source: Zafer Development Agency, 2014-2023 Regional Plan, p.27)

In the planning process of second regional plan, Zafer RDA used participation methods namely open space meetings, round tables and questionnaires. Meetings have a significant proportion in the whole participatory practices as they were opportunities for stakeholders to discuss the issues and come up with innovative solutions for the region. Meetings are categorized based on expertise areas, technical areas, industrial summits, thematic spaces, entrepreneurialism and employment, spatial strategies and collaboration with other agencies in order to go into appropriate depth in the solutions and to cluster the experts in their respective fields. The whole approach was reciprocal

(Zafer Development Agency, 2014). The purpose of the agency was to develop the plan according to the received feedbacks from different stakeholders (Figure 4.5).

Table 4.2 Stakeholders of the Second Regional Plan (2014-2023)

(Source: Zafer Development Agency, 2014-2023 Regional Plan, pp.164-166)

Stakeholders	Expected Roles
NGOs in the region	Contribution to the implementation of social policies Implementation of the plan Increase the awareness among the society about social activities
Professional Associations: Chambers of Trade, Chambers of Industry, Stock Exchanges, Professional Associations, Cooperatives, Associations of Manufacturers and Farmers	Inform the members of each about the implementation of the plan Initiation of the social dialogue between labor market actors Take mutual precautions about the market
Governors and District Governors	Directing and coordinating the public administrations Implementation of the plan Contribution to the rural areas
Local Government: Municipalities and Special Provincial Administration	Coordination during the regional plan making
Provincial Government Representatives	Intermediary institution between central and local level Provision of inputs to the regional plan Implementation of the plan Technical and analytical comments and feedback
Universities: Afyon Kocatepe University, Dumlupınar University, Celal Bayar University, Uşak University	R&D and Innovation activities University-Industry Cooperation Making projects with public sector, private sector and NGOs
Educational Institutions: Institutions under the Ministry of Education, Public Education Centers, Lifelong Learning Centers, Private Education Institutions	Provision and development of social capital Vocational training
Media Organizations: Local Media Regional and National Media	Inform locals and raise the awareness

The first two subheads of this chapter is based on the methods which the Zafer Development Agency used during the two regional planning processes. The information about the two regional plans was gained from the desk research. Desk research was based on the planning documents that are published online by the agency.

Hereupon, the focus shifts more on the knowledge that was gained from the qualitative research by using the method of the in-depth interviews with the experts.

#### **4.3. ANALYSIS OF PARTICIPATORY APPROACH IN MAIN ISSUES**

The empirical part is based on in-depth interviews supported by scientific and online data. The case study is examined according to the data. The expectations and the real outcomes of the process are elaborated in this study from the perspective of regional development agencies. In-depth interviews were conducted with three planning experts who were involved the planning process and one expert who is specialized in the related areas. The questions were prepared in order to get information on the regional plan making process.

Established upon the knowledge that were obtained from the planners and the expert in this specific research area, results are grouped according to the views of some of the respondents, majority of the respondents, and all of the respondents. This part of the research reflects the experiences and views of the experts of this area. Mostly the answers were similar on the topics.

In-depth interviews were categorized in five main parts namely planning process, participation, cooperation, governance and contribution of regional development agencies to the regional development. Based on the literature review on the participatory planning and the role of RDAs in this system, five main topics are highlighted. These five topics are chosen in order to focus on the participation process in the second regional plan making. Additionally, the progress between the planning processes of two regional plans was elaborated with regard to participation. Being founded on the five grounds, the planning approach of Zafer Development Agency was examined.

##### **4.3.1. PLANNING PROCESS**

Power relations affect the participatory approaches in planning. According to Forester (1982:67), planners are one of the main actors in the planning process and they are supposed to manage the different dynamics in the process. Planners are expected to

comprehend the power relations among various actors who contribute the plan. Improvements in the planning process are related to this comprehension.

During the process of establishing the RDAs in Turkey, it is believed that agencies have a key role to achieve the effectiveness by utilizing the principle of subsidiarity and applying methods in the provision of regional development strategies. Bodies of decision-making on local level are expected to adopt plans, programs and applications which are participatory, highly legitimate and accepted, also meet the local potentials. There is a chance for making actual progress and realize material outcomes with the regional development agencies on the issue of regional planning (Yaman, 2013, p.54).

This set of questions was prepared in order to understand how the two regional planning processes were conducted. The responsible entities, which organized the planning process, and the phases of the process, were discussed with the respondents. A brief description of the planning process was asked for better comprehension of the process. The techniques that were used to decide the main fields of development were asked. The main idea behind this was to examine the involvement of different stakeholders in the decision of main development areas. The contribution of participation, national and international examples of RDAs were the additional dimensions.

#### ***Who conducts the planning process?***

The focus of the first group of questions was on the institutions/groups/people who planned and conducted the process. Based on the information that most of the respondents gave, general scheme of planning process was represented. Planning and Regional Coordination Department of Zafer Development Agency conducted the whole planning process. There were small interventions of the Ministry of Development during and towards the end of the planning process. Governorship and District Governorship contributed the process fundamentally. Additionally, the members of Management Board of the Agency, they improved the collaboration between the Agency and the local governments. On district level, District Governorship contributed the process by organizing district meetings. Involvement of different entities can be seen below (Figure 4.6).



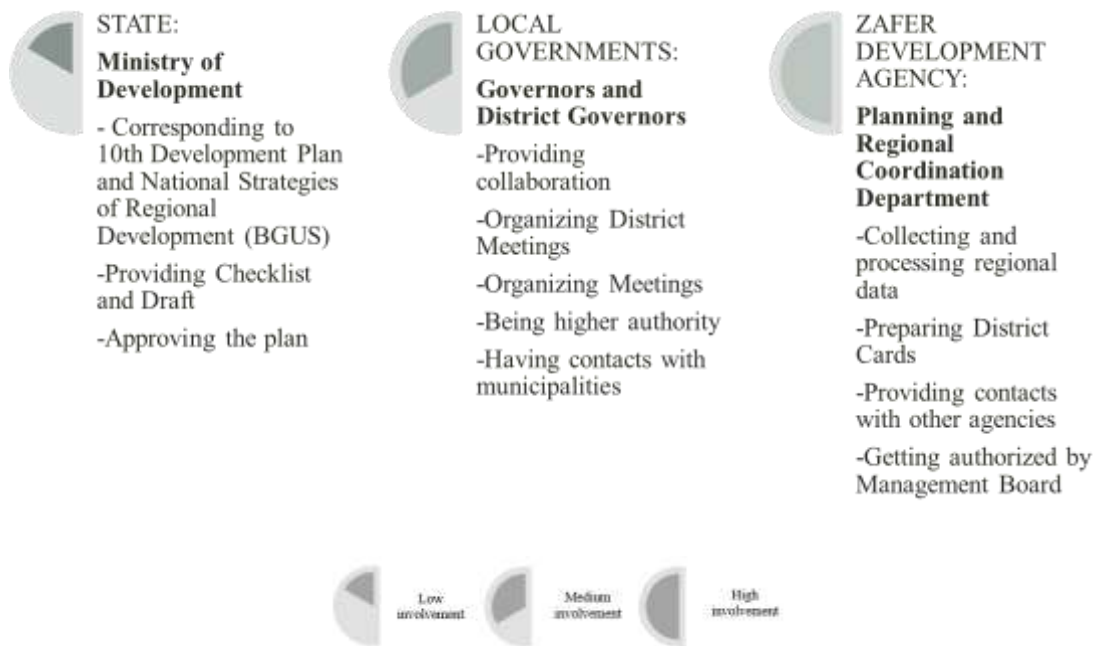


Figure 4.6 Involvement of Entities in the Planning Process (Second Regional Plan)

The stages of the planning process were developed based on the exchange of views within the agency. Development agency benefited from the knowledge of local stakeholders in developing the regional plan. District meetings were organized in order to include majority of stakeholders. District Governorship invited the representatives of District Municipalities in order to involve the process. Zafer Development Agency included all municipalities, district governorships and chambers of trade and industry. Other stakeholders were selected freely by the districts. In order to utilize the local knowledge that districts can offer, development agency was flexible with the additional stakeholders. Stakeholders varied in different districts. In some cases, craftsmen were invited in the district meetings because of their knowledge on the development process of the district. According to the responses, the development agency was the coordinator and organizer of the planning process with the support of local governments.

### *How is the process conducted?*

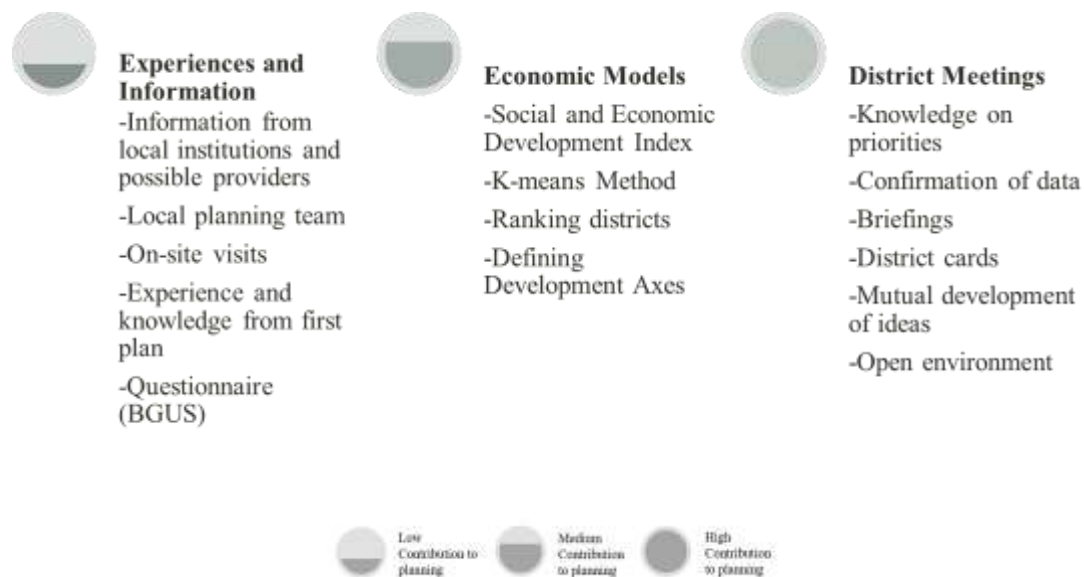


Figure 4.7 Produced Information and Methods for Second Regional Plan Making

The planning process is explained in this part. According to one expert in the agency, planning phases were identified similarly as in the studio work of the planning education. All the necessary steps were aimed at fulfilling during the process. There were no direct obligations from the Ministry of Development when forming the planning process. The planning process was based on principles and working methods, which the Planning and Regional Coordination Department of Zafer Development Agency defined. There was also support from the technical staff, which work in other departments of the development agency.

Three main bodies of the Agency are General Secretariat, Development Board and Management Board. According to the respondents, General Secretariat did not impose any rules when forming the regional plan. Management Board of the Agency was consulted among the process. During the planning process, presentations were made to the Management Board by the planning team. In a way, planning team performed a reciprocal process with the Management Board. Management Board empowered the planning team based on their work.

In the first stages of the planning process, agency made research and analysis of the existing situation of the region. Inputs that are needed for the preparation of upper scale plan making were gathered. Agency tried to confirm the information about the region by on-site visits and gained some information from locals. It shared its policies with the stakeholders with the light of this information. Agency consulted local stakeholders to verify the proposed vision and policies for regional development. In most occasions, governance became a part of the plan making process. According to agency staff, main focus points were defined with the experience from the first plan additional to the further analysis. Some of the focus points were already known from the basic sectors in regions. Fields of interest were defined based on these basic sectors. They were defined according to the classic development theories. Focus was primarily on the production/manufacturing industry.

The characteristics of the planning department staff also contributed to the preparation phase of the regional plan. The planning department includes people who actually live in the region. They had the chance to reach the local knowledge and experience in first hand. In case of planning team and locals were not sufficient to provide adequate knowledge, agency consulted private firms. The management board approved this procurement of services. Planning team aimed to benefit the positive returns of these services and the knowledge synthesis.

Agency approached each province of the region different from the others. Based on this separation, grouping at province level was not enough for further research. First of all, agency prepared the Social and Economic Development Index. K-means method was used to rank all districts. This method was used in order to understand how to approach these districts. Analysis was done as secondary (desk) research. In addition to this research, there were district meetings. The meetings gave insights on the priority areas of specific districts. Development agency connected the data, stakeholder views and its work during the process. Planning team was specialized in each development area. The whole plan was prepared based on the decision of stakeholders and management, experience of planning team, statistical data and the needs of the region.

According to findings of in-depth interviews, the planning process is examined with an emphasis on the participation concept. Management board prioritized the main fields of interest. Development axes were defined by planning team without any positive or negative comments. A general questionnaire was made in order to get some priorities and strategies about the region and the country as part of BGUS – (Bölgesel Gelişme Ulusal Stratejisi) National Strategies of Regional Development. This questionnaire was aimed to provide knowledge for the 10<sup>th</sup> Development Plan and Regional Plan. Based on the meetings the agency organized, the question was whether there were some additional fields of interest or not. Some experts responded that there were some fields of interest in the plan as a result of the discussions of participants/stakeholders.

The involvement of other administrative levels in the planning process is also examined. Primarily the involvement of the Ministry of Development is elaborated. According to the respondents, regional development agencies have fairly open scheme of plan making but they are not completely autonomous on the plans they made. In the approval stage, the Ministry of Development involved in the process. The Ministry provided a checklist for the development agency after the regional plan was made. There was a draft provided by the Ministry in 2011. Ministry can be defined as an advisory body. Nevertheless, towards the finalization of the regional plan Ministry necessitated some guidelines for the agencies. Development axes were recommended to be on the same page with previous successful projects, and 10<sup>th</sup> Development Plan.

As it was mentioned, the district meetings improved the participation in the planning process. Before the district meetings, agency made a briefing about the basic information on the specific district. Agency prepared “district cards” with the aim of conveying the knowledge to the stakeholders, who participated in the meeting. Based on these cards, ideas were developed mutually with stakeholders. Stakeholders were set free in expressing their recommendations. The district cards had both sides. One side consisted information on district and the other side consisted of blanks to be filled with additional ideas or approvals by the stakeholders. The further produced economic models for region were not shared with the stakeholders during the district meetings.

Only the raw data, a simplified version of economic models, was shared via the district cards. Because of the various natures of stakeholders, shared data was aimed to be comprehended by every group of stakeholders. The data did not include too many details.

### ***Contribution of participation in planning process***

One respondent suggested that the participatory and governance approach contributed the planning process. Participatory approach was appreciated since the beginning of the project. Participation led to the exchange of views of different parties. Visions changed and developed with the contribution of this approach. Participation rate was rather low in the region. Due to the unwillingness of local people, sufficient participatory approaches could not be implemented in some district meetings. People were not so enthusiastic based on their previous experiences. Agency aimed to encourage the local people for expressing their ideas. The draft version of the regional plan was published online with the aim of getting feedback from the people of the region. There were not many qualified feedbacks gained from this approach. Even if the agency tried to resolve the existing hesitations, it is not definite if the agency achieved this aim and provided a sustainable participatory approach.

All of the respondents indicated that during the planning process, some other national and international regional planning examples were examined. The agency analyzed them with respect to their own contexts. The agency differentiated the regional plan making practices based on the characteristics of the country. Additionally, in terms of the national examples, Zafer Development Agency also examined the work of other development agencies in progress in Turkey. Aegean region was subject to this examination because of the close regions. During the planning process, the group of experts who made the regional plan wanted to inform and get informed about the situation of border settlements in terms of their roles in the general development system of the NUTS II region. Zafer Development Agency wanted to get informed by the other regional plans beyond its administrative borders. Nevertheless, there were limited and informal relations between agencies. Agencies mentioned their initial ideas

but no further idea transfer is realized. Agencies tend to keep their ideas and methods for themselves in a competitive environment.

#### 4.3.2. PARTICIPATION

With reference to the academic discourse, one of the fundamental definition of participation was made by Arnstein in the “A Ladder of Participation” in 1969. From the power point of view, she described the decision-making processes. Participation, in theoretical terms, represents partial power transfer. Participation is a mutual act of citizens on the collective concerns within the limits of shared space and time (Healey, 1992). Categories of participation, according to Hickey and Mohan (2004), are the focus and level of engagement, ideological/political plan, citizenship concept, and connections to development theory. Participation can be formed by the features of citizens and development of the region. Different levels of participatory practices can be inferred to different areas of interest. RDAs aimed to realize participation and to provide policy transparency at the highest rate (Yaman, 2013, p.54).

The questions were prepared in order to find how the Agency defines participation. How the agency determines the number of participants, the areas of participation, and the methods for participation were fundamental research interests. The outcomes of the most and least effective participation methods were questioned.

The approach of stakeholders to participatory planning practices were important. The information about the stakeholders, who participated in the process, gave insights on the direction of the plan. The benefits and challenges of participation were also directive points of the research. During the planning process, the presence of any institution or organization or individual that support the participation was important to elaborate.

#### ***How the participation is defined?***

From the standpoints of respondents, participation has two dimensions. Participation is a reciprocal process between participants and decision makers. On the one hand, it is about getting the knowledge and priorities that are specific to one region from the

participants in order to make right decisions about the region. On the other hand, it is related to the accountability of the plan. Decision makers need to create accountable plans and monitoring should be possible in the end of the planning process. The participants should have the chance to monitor the whole planning decisions in the end. Participation was defined by all of the respondents, who took place in the process, as a concept where maximum stakeholders participate in the planning process. Stakeholders were defined as internal and external stakeholders. All the necessary information and views about the region was supposed to be achieved by participation. The plan was pursued to be accepted and to be implemented by all parties.

### ***Who participates in plan making?***

Participants are chosen according to their effectiveness level. One group of people makes the decisions and creates plans, whereas others are affected by these decisions and plans. When the subject is regional planning, a multiple number of parties are involved. The operation areas of such parties are coincided. If the stakeholders are involved in the planning process, final plan is more realistic. In general, there is a distinction of participant groups as institutions and citizens. If the plan needs certain knowledge on some specific area, citizens' participation would not be enough. In this respect, group of stakeholders are decided. Agency aimed at including optimal number of participants in the planning process. Solution oriented stakeholders were chosen in terms of the issues relevant to the region.

Governors and district governors made a significant contribution to the planning process. Governors specially invited regional stakeholders in order to raise the participation to the meetings. Zafer Development Agency procured some services in order to provide participation in some areas. Some firms were assigned for specific projects but the main coordinator was Zafer Development Agency. There were not so many qualified firms in the region for service procurement.

### ***How is participation provided?***

In respect to the responses, participation methods can be chosen accordingly to the expected outcomes. The size of the group can affect the methods. Methods can be

varied according to the characteristics of each group that are dealt with. Expectations or information can be acquired from different groups. By using various methods, legitimacy of the plan can be ensured. For Zafer Development Agency, participation methods were selected carefully in order to include different parts of districts of the region. The first method was questionnaires. The success of questionnaires was a bit controversial issue. The overall contribution of conducting questionnaires was rather weak. This might be related to the characteristics of the region itself. The region was not completely used to this approach and it is possible to say to be part of decision making in general. Questionnaires were filled via Internet so in this case the Internet access was necessary in order to participate in the planning process. Whether all the possible participants had access was questionable. On the other side, based on what the technical staff learned from the training programs, they tried to define existing methodology. Most significantly, there were some recommendations from staff who were responsible for the separate axes of development. In specific, the expert on social axis of the development suggested to make province level meetings in order to reach the necessary information and ideas about social problems and opportunities. These additional views contributed the participation methods.

One respondent described one of the most successful methods as negotiation. This type of meetings aimed at reaching a consensus among the affected parties. For all of the respondents, for conducting an efficient participatory planning process, negotiation was both necessary and useful. District meetings can be included as the other successful method. District meetings provided the local level of research findings. When the agency organized the district meetings with well-prepared and correct information, many beneficial ideas were shaped. People comprehended the actions that agency proposed more easily. RDA obtained accurate information from the local people. Some ideas were even evolved to project proposals owing to the district meetings method.

### ***Contribution and limitations of participation***

According to the responses of interviewees, the shortcomings of participation might be the lack of understanding on the methods that agency used and lack of desire to



participate. There are still some problems about the undefined authority of regional development agencies. Some provincial administrations are reluctant to own the plan produced by agencies because of their institutional dynamics. The other shortcoming might be related to the sizes of stakeholders. Rather wide companies or institutions are inclined to dominate the decision making process. It is hard to arrange the method and the stakeholder group at the same time. The other downside might be related to infrastructure. For Zafer Development Agency, accessibility and time limitations were the main problems. It was hard for the experts to reach all 53 districts when conducting the district meetings. The program, which consisted of meetings in two or three districts in one day, was hard to achieve. Also there might be psychological shortcomings such as oppositions and hesitancy.

According to the planning staff of agency, the contribution of this participatory approach was noteworthy. Participation gave people the sense of attachment to the plan. Plan gained a high level of acceptance due to the inclusiveness of each parties. Regional plan was used as a tool to conduct participation. Decision makers and stakeholders were convinced by the agency on the issue of implementation. Agency considered that there is a high chance to make a mistake when only conducting a desk research in the plan making process. Agency realized district meetings in order to validate the information they had about the region. District meetings were beneficial in terms of utilizing the local knowledge better. Agency solved most of the hesitations they had before. The feasibility of the proposed visions for the region was tested with the local information.

Some of the methods which agency used were not fully successful. One method was conducting questionnaires. Questionnaires were done in the first phases of the planning period. There were some participants without efficient knowledge, but with many ideas on the development scheme of the region. Agency had some second thoughts on whether to use this method again in the upcoming preparation of regional plans. Some respondents indicated that if the planning team lives in the region and have broad knowledge on the region, this type of method does not contribute much to the knowledge on the area. Some of the respondents implied that questionnaires did not

provide plenty of input to the planning process. After the questionnaires, agency arranged fairly high number of meeting on the district level consisting four main provinces. Based on the input that gathered from these districts, visions for the regional plan had started to shape. Instead of making policy for each of the provinces, sub-regions were decided. Based on the features of these sub-regions, the tasks were distributed. After the usage of different methodologies, some of experts indicated that alternative methods can be found for the next regional plan making. Practical methods are in need in order to involve local people more in the process.

The participatory approach that was defined in the beginning by the agency had been fulfilled when the outcomes of the regional plan were considered. Fundamental level of participation was achieved during the district meetings. A great number of stakeholders participated in regional plan making process. Nonetheless, citizen participation was rather weak. While some citizens participated in the meetings related to social axis of the development on provincial level, there was approximately no citizen participation during the district meetings. The characteristics of the districts might be the explanation. In metropolitan areas, it is easier to attract people to this type of meetings. In this TR33 region, participatory planning approach had not been developed sufficiently. According to some planning experts, this system does not function very well in this region.

The important question is whether providing participation is a solution or not. The final plan is supposed to be a refined document that is deducted from optimal ideas and wishes from the stakeholders of its region. There is a significant gap between the theory and practice of the participatory approach. From this point of view, Zafer Development Agency preferred a solution-oriented approach while supporting the participation.

#### 4.3.3. COOPERATION

All parts of society are in need of improved organizational structures in order to handle its necessities. In political, economic and social terms, there are tensions among the society (Marris, 1998). Effective participation requires a systems perspective that supports and builds on the interactions among public sector agencies, non-profits,

business organizations, advocacy groups and foundations which make up the complex evolving reality of contemporary society (Innes and Booher, 2004, p.429). Regional development agencies aim at improving the institutional capacity on local level, the quality of human resources and the tendency to cooperation. The collaboration and cooperation environment are advantages for regional development. Primarily in each region, objectives of regional development agencies are similar on these issues (Yaman, 2013, p.54).

Cooperation was defined as the collaborative work between the regional stakeholders. Whether The Law No. 5449 was applied sufficiently and the agency was able to provide this cooperation was asked. Respondents were asked the most participating stakeholders and the most common fields of interest.

#### ***How the cooperation is defined?***

Some respondents defined the process, which the development agency managed, as an example of coordination instead of cooperation. If the vertical levels of public bodies give the tasks, the implementation rate gets higher. Whereas vertical coordination is easier to provide, horizontal coordination is harder to achieve. Institutions that are on similar levels did not tend to meet on the common ground. This type of dissensions makes participatory approach a bit hard to achieve. Nevertheless, development agency was the institution, which provided the coordination of the regional plan.

The fields of cooperation were about mostly meeting organizations and defining the regional priorities. There were 18 projects embedded in the regional plan in the scope of Local Economic Investments. According to that regional plan created the structure of local economic development programs for further collaborations. Mutual projects between the provinces of region such as Afyonkarahisar and Kütahya were made owing to the grant projects provided by EU and state. Especially in the implementation period, these types of mutual projects have been done according to the plan.

#### ***Who are in cooperation?***

In regional plan, stakeholders were selected from fairly wide perspective. Stakeholders were mainly from the decision makers in plan making. They participated in the process

at most. Stakeholders like Municipalities and Governorships were the ones that participated more in the process. Citizens might be the group that were less represented.

The distribution of the stakeholders was public, private and NGOs. Development board members attained to participate. The rest of the stakeholders were fiscally motivated. Due to that fact that NGOs were short in number and private sector was economic-driven in the region, it can be said that the rate of participation in the process was mainly from public institutions. Due to the economic supports, which some parties received, via the regional plans, universities, private sector, counseling firms were motivated to participate in the process.

### ***Contribution and limitations of cooperation***

The cooperation, for some respondents, was one of the lacking areas. There was cooperation between governorship and development agency, yet there was hardly cooperation on horizontal axis other than this. Governorship recommended further projects based on the regional plan. Agency aimed to sustain efficient implementation of the proposed regional plan. Local Economic Development Programs emerged as a result of this. After the plan, agency also paid attention to the monitoring. There have been periodic meetings with the institutions that are related to Local Economic Development Programs. Even plan did not ensure the full cooperation within the region; the plan paved the way for further cooperation.

The Law No. 5449 does not necessarily enforce the cooperation within the region. The Development Board had tools to provide cooperation in appearance such as provision of meetings. Nevertheless, it was not an easy task. Efficient cooperation was hard to achieve. The openness of participants affected the cooperation rate. Most importantly the agency's approach and endeavor designated the success in cooperation. Cooperation was quite weak in this region. Non-governmental organizations were very small in number. The Chamber of Trade and Industry worked as an entity of government in some cases. In each policy area, development agency tried to enforce the law in order to improve the cooperation in its region.

Nearly all the respondents found regional development agency as a very crucial supporting body, a must for cooperation on regional level. Citizens might not communicate with the state directly on local level. There are various numbers of intermediaries that convey the ideas and requests of citizens. The requests and ideas of citizens become something rather different than their actual meanings in this process. Stakeholders and decision makers started to meet on the same platform with the establishment of regional development agencies. The existence of team with high technical capacity on regional level provided benefit for the regional development. This qualified team informed the stakeholders and rapidly processed the central and local priorities. The agency directs the actual needs of the local to the related institutional bodies. This was an advantageous situation. The agency connected project makers that have sufficient technical capacity to the ones that have investment capacity. The required institutional organization on regional level was partly provided by regional development agency. This made regional development agency essential in the regional decision making processes.

#### 4.3.4. GOVERNANCE

Key to successful articulation of decision-making at these different scales is mediation between decisions and strategies emerging from the community and local scale, and policy directions produced at a more strategic or regional level. Negotiation and mediation happen not only at each spatial level, but also between spatial levels (Smith, 2004). As explaining the term governance, it is important to understand the relation among different levels of decision makers in local societal and political spheres (Hickey and Mohan, 2004). Governance can be explained as different layers of responsible bodies or a mechanism where dimensions of ‘authority’ intersect (Benington and Harvey, 1994).

RDAs in Turkey are designed as technical institutions that help to form regional development policies, to implement, monitor and assess these policies with a strategic planning scope. Agencies have the resources and technical know-how to support the

practitioners and local institutions in the region with technical and financial aspects and to coordinate work among them in terms of development, as in a catalyst position. Additionally, development agencies have sufficient flexibility in our country, and also have the necessary authority and legitimacy. Development agencies are designed as institutions that incorporate highly representative local actors within a good governance and coordination mechanism (Yaman, 2013, p.54).

### ***How the governance is defined?***

The roles of Regional Development Agencies in terms of governance were examined. Where the agency stands in the governance scheme, which stakeholders take part in the scope of regional governance, the varieties of stakeholders in terms of public, private and non-governmental organizations were main topics. To find out whether decision making processes were affected by the Zafer Development Agency was essential. The impact of the Zafer Development Agency in the improvement of bottom-up policy making was questioned.

### ***Contribution and limitations of governance***

There is flexibility in the governance issue on regional development agencies. In the legislation, it is indicated that one of the main duties of regional development agencies is to provide the regional cooperation. Nonetheless, the recognition of regional governance is questionable. Still the agencies have potential to improve regional governance. They build a platform to gather the institutions on regional level. Regional development agencies are one of the first institutions of operating outside of the province level and they have tools to achieve regional governance. Agencies have the power to arrange meetings. Governors and municipalities and rest of the stakeholders do not have a common ground in decision making in general.

#### **4.3.5. CONTRIBUTION OF REGIONAL DEVELOPMENT AGENCIES TO REGIONAL DEVELOPMENT**

In this part of the empirical research, the place of RDAs in multi-level/multi-actor governance system, the differences between the two regional plans that RDAs

produced and the characteristic of RDAs as an advantage for the regional development were the main issues.

Establishing a whole new level in the political and administrative system by the provision of regional development agencies is not realistic. Instead, the aim of establishing RDAs is to improve the weak local level with the principles of good governance and to facilitate more coordinated and effective implementation of the central-local relationship (Yaman, 2013, p.54).

The regional plans made by the regional development agency are consulted in the areas such as economic subsidies, annual budget calculations of municipalities, critical investments as site selection for Organized Industrial Areas, EU Funds allocations. Agency is an advantage for its region as it is working as the only body on regional level. Agency also deals with the economic, environmental, social dynamics outside the artificial administrative borders. The Ministry of Development proposes the tools for turning regional development agencies into an opportunity. Mutual working areas have to be developed. The question of how to motivate the different stakeholders has to be raised.

With respect to the responses of the planning staff of the agency, after preparing two regional plans, agency comprehended the importance of the planning process. It was necessary for regional development agency to make the stakeholders feel that they made the right decision. Better outcomes are expected during the implementation of plan. Including the groups into the planning process was based on the size of the groups. The methods, which regional development agency used, informed people. The question is the capacity of participatory practices beyond informing people.

Based on the general overview of responses, regional development agency should not be taken as the mere provider of regional governance. Regional governance should be thought as a team work. During the decision making, all the possible stakeholders should be included. All the decision makers have to feel themselves responsible for the plan. Development agency can coordinate, but cannot handle the whole process.

Table 4.3 Findings of In-depth Interviews

	Process	Participation	Cooperation	Governance	Regional Development Agency
Respondents	<ul style="list-style-type: none"> <li>-Small intervention from state</li> <li>-Individual decision-making</li> <li>-Self-correcting system</li> <li>-Utilization of tacit-knowledge</li> <li>-Inclusion of all possible local actors</li> <li>-Increased communication via district meetings</li> <li>-Aim of inclusionary planning approach</li> </ul>	<ul style="list-style-type: none"> <li>-Maximum stakeholders</li> <li>-Mutual decision-making</li> <li>-Increased accountability of the plan</li> <li>-Sense of attachment to plan</li> <li>-Increased support for the implementation</li> <li>-Way to improve indigenous growth</li> <li>-Realistic plan provision</li> <li>-Acquisition of local knowledge and ideas</li> <li>-Consultation</li> </ul>	<ul style="list-style-type: none"> <li>-Coordination instead of cooperation</li> <li>-Difficulties of horizontal cooperation (between local institutions)</li> <li>-Weak NGOs</li> <li>-Decided by Agency Boards</li> <li>-Sector based cooperation</li> <li>-Economic incentives to cooperate</li> <li>-Mainly public cooperation</li> <li>-Involved parties of Local Economic Development Programs</li> </ul>	<ul style="list-style-type: none"> <li>-Open for further collaborations</li> <li>-A platform for bringing institutions, people together</li> <li>-RDAs as indirect communication between state and local</li> <li>-Less centralized provision of economic support</li> </ul>	<ul style="list-style-type: none"> <li>-Fairly new institutions</li> <li>-Effect on investments</li> <li>-Potential complementary body for the institutional gap</li> <li>-Provider of mutual working environment</li> <li>-Informative stage of participation</li> <li>-Potential level of solving regional problems</li> </ul>

#### 4.4. DISCUSSION

According to the plans that Zafer Development Agency produced, the differences between two regional plans were evident. In the second regional plan, an apparent improvement was seen in the way the agency approaches the planning problems and solutions in TR33 Region. Responsive to the experience the agency gets throughout the operating process, the scope of the plans was improved.



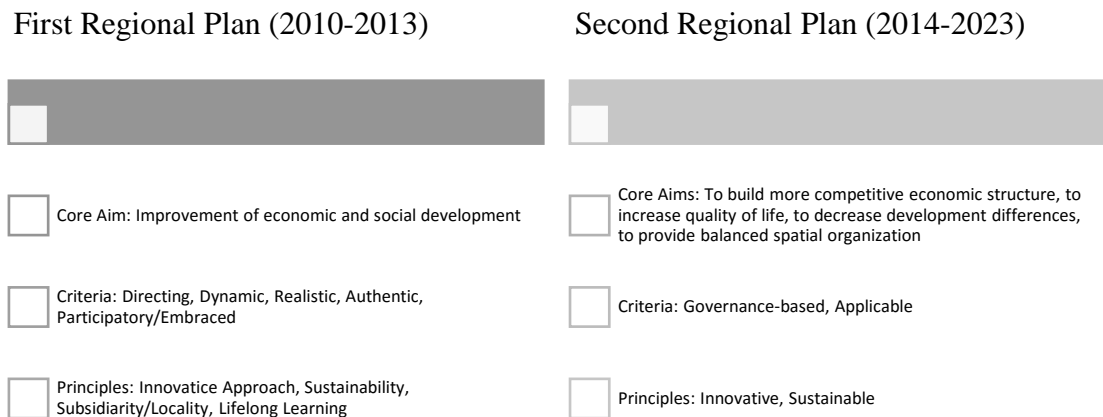


Figure 4.8 Highlights of First and Second Regional Plans

According to the answers of the planning experts who were involved in both of the planning processes, in the first plan, due to the time and resource limitations, plan was prepared as only an official document. It is found out that technical staff was not proficient enough back then. As the list of stakeholders was examined, main stakeholders were included in the document. Nevertheless, whether all the stakeholders that were stated in the list participated fully in the planning process is unclear. One essential point was that the locals were not considered as a part of the planning process. They were only defined as the affected bodies of the regional plan. The first plan was not inclusive in terms of local people.

In the second plan, participation was defined as the core objective. In order to provide maximum participation, several techniques were conducted. Agency prepared the second plan with a broader point of view with the help of the knowledge that agency had from the first planning experience. As the list of stakeholders was examined, stakeholders were improved quantitatively compared to the first plan. This plan gave more responsibilities to the local governments and provincial administrations. The leading aim was to raise the awareness among the stakeholders about the regional development of TR33 Region. Best investment areas for the districts of TR33 Region

were sought with the support of the local knowledge. Nonetheless, there was still no observable contribution of local people in the second regional plan. Even though the agency wanted to include the locals via district meetings and other means; the participation rate of citizens was not sufficient.

## CHAPTER 5

### 5. CONCLUSION

This research underlines the impact of participation and governance in regional planning and development. The thesis focused on RDAs in an international framework, on the theory behind the RDAs and the principles of giving these institutions the reasons to exist. In order to do the analysis, firstly the literature was reviewed and then the case study was elaborated. This research focused on the RDAs, which have been operating last 10 years in Turkey.

First of all, it is important to mention participation in planning and governing processes. Participation is an established and researched topic. Numerous publications had been produced since Arnstein published her thought provocative paper on ladder of participation. Since then, the research focused both on theory and practice. The concept and ideas are in line with democracy and ideas of making decisions by stakeholders in matters, which concern them. In communicative rationality idea that developed by Habermas (1984), a capacity to reach valid claims are possible through discussion. Although participation is ideologically accepted, putting the concept into practice is considerably difficult (Sewell and Coppock, 1977). Bottom-up participatory approach is more rational since in development thinking it delivers the required outputs. It is possible to consider bottom-up approach as morally superior (Henkel and Stirrat, 2001). There are certain limitations of participatory approach and few examples of perfect model cases. According to Fagence (1977), if the participatory practices deal with the complex, comprehensive, strategic and philosophical issues, there is a need for long and involved debates. This situation, however, paves the way for planners and policy makers to focus more and try to implement these principles in practice in plans, policies and strategies.

The idea of participation as any other concept has its advantages and disadvantages. It is important to mention both sides of the concept to objectively understand and critically evaluate the merits. There are numerous positive sides and advantages of

using principles of participation and these were mentioned extensively throughout the thesis.

Secondly, the contemporary requirements for participatory approaches pave the way for regional governance. Regional governance can be defined as complex, multilevel politics, part of historical adaptation processes to uneven environments and unexpected shifts in political economy (Barnes, 2012). Although the term governance is often used openly and signifies rather flexible structure, in practice it necessitates institutional and economic framework. There are still multiple advantages of having a rather flexible system on regional level.

The stance of RDAs in this scheme is important to elaborate. EURADA (1999) defines RDA as an organization that provides the problem identification about sectoral or overall development, the choices of opportunities and methods to solve these problems, and the promotion of projects for maximum solutions. According to Halkier and Danson (2000), RDAs have provided more proactive and entrepreneurial role rather than existing regulations of public sector in order to relate the economic side of the regional development to socio-politic dimensions. For RDAs, the principles of regional governance improve the bottom-up decision-making processes. Accordingly, RDAs might find wider operating areas.

RDAs are capable of negotiating, plan making and visioning in partnership with regional governmental bodies to improve the quality of life of people in the regions. In order to realize this, besides monetary support, the awareness of RDAs needs to be improved, the human capital should be supported and the RDAs should adopt a strengthened position in overall governance scheme. Although RDAs are established in Turkey for a decade, their position might not seem as efficient as it can be in terms of regional governance.

It would be favorable if all stakeholders participated in decision-making. Yet, stakeholders need some motivations. These motivations can be economic and institutional supports. Additionally, participation capacity can be improved by providing necessary information and raising the awareness of stakeholders towards planning. In this case, this awareness needs to be fostered on both regional and local

levels. Actions of RDAs strengthen their positions and they need support from other stakeholders as well as time and experience to evolve and improve as institutions.

Literature portrays that RDAs focus on investment generating activities to stimulate growth and development of regions. The crucial point is how the practices are planned and implemented. There are plentiful examples of what methods can be utilized. Planning team deals with these issues, they need to know who they want to address and based on this formulate the participatory practices.

In this case study, an improved participation for the RDA actions tends to be realized by the help of the decisions made by authorities. Governorship and District Governorship contributed to the participatory actions of RDAs in plan making. Authorities provided improved involvement in planning process with inviting all the possible regional stakeholders to the decision-making processes.

In theory, the position and power of NGOs is immense in regional development as they possess capacities and expertise to advance the regions. In the case study, there was no apparent contribution from the NGOs. However, these institutions need to be further developed in the region for the regional development. Zafer Development Agency plants the seeds of a sustainable participatory approach after two regional planning experiences. The position of development agencies and the sustainability of the participatory approach are fairly crucial. Even if the participatory approach is demanding, Zafer Development Agency have attempts to improve this approach in the actions and planning processes.

The research is important both for theoretical and practical reasons. Studying RDAs brings together theories such as participation, cooperation and governance and looks into ways how regional development can be supported. Establishment of RDAs delivers varied results in terms of their effectiveness and efficiency. In order to improve these, providing the feedback is crucially important into the practice to improve the plan making process.

There is a need for further research on RDAs worldwide and in Turkey, too. The theoretical works as well as practical case studies should be elaborated in academia focusing on real world practical implications. This fosters the volume of knowledge

which can be used to improve the regions and make better life conditions for people. It is essential to obtain more data on all levels, on local, regional and national levels focusing on RDAs and what they are capable of. They need to be scrutinized and critically and constructively evaluated. This case study has examined the important aspects of participatory practices in regional plan making. A further research is suggested for the future agency practices including more efficient, participatory and governance supporting methods.

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