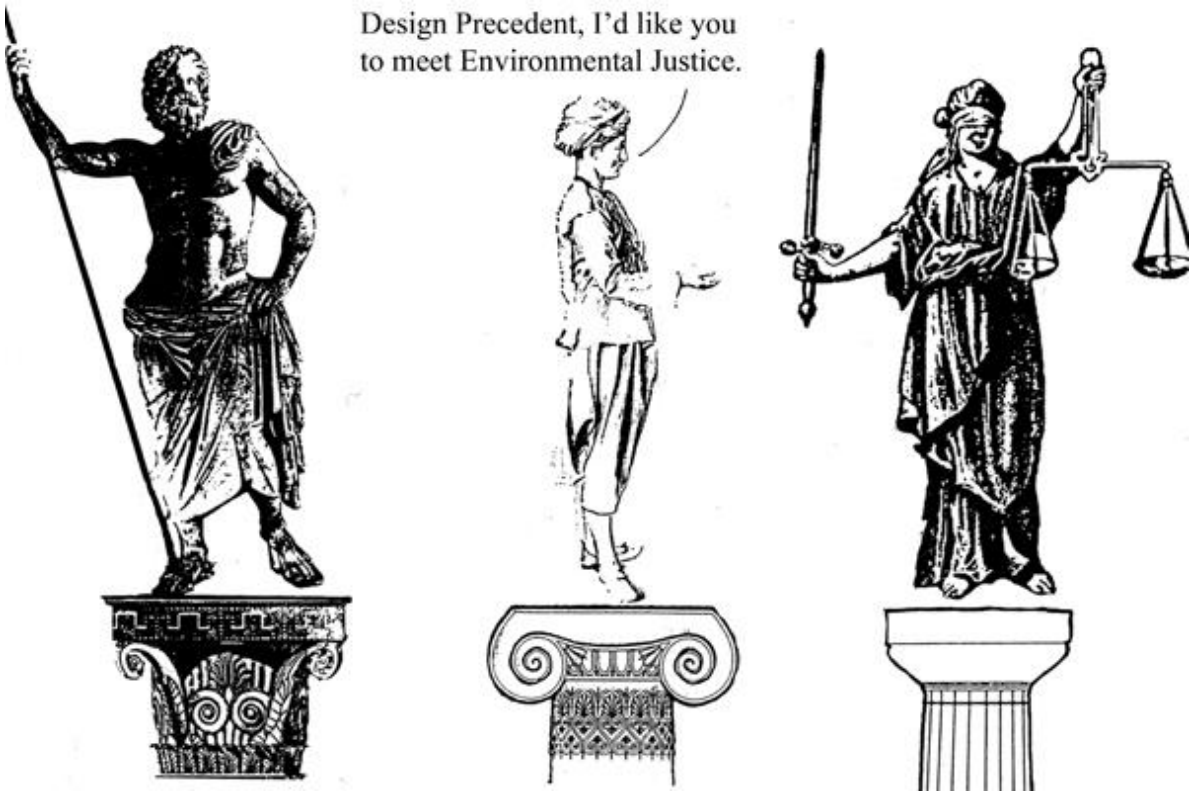


COMMUNITY PARTICIPATION

An (incomplete) international perspective

Prof. Deni Ruggeri

Dr. Eva Schwab

LED Seminar – Spring 2017

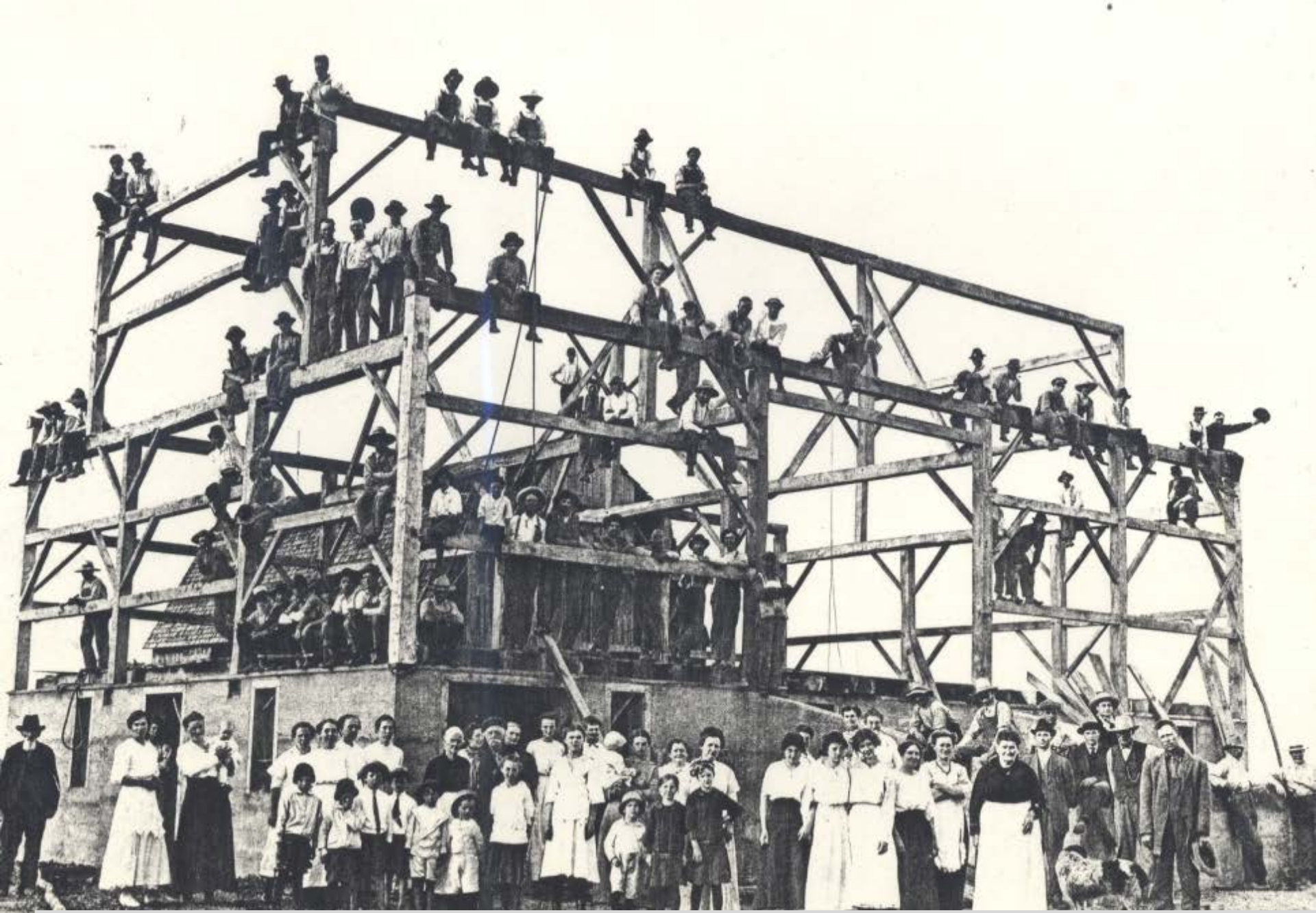
Co-funded by the Erasmus+ Programme of the European Union

Ecclesia (600 BC) summoning of citizens for oversight of public policy,

Alexis de Tocqueville (1835) *Democracy in America*

Background
Roots of Community Participation

- First example of participation in Ancient greek **ecclesia**
- Deliberative democracy in North America
  - De Tocqueville described **collective decision-making** in early US society
  - In contrast with hierarchical European society of the time
- Barn-raising by pioneers
- Late 1800s: politics as a profession



Barn raising in rural America. Early 20th century collective decision making

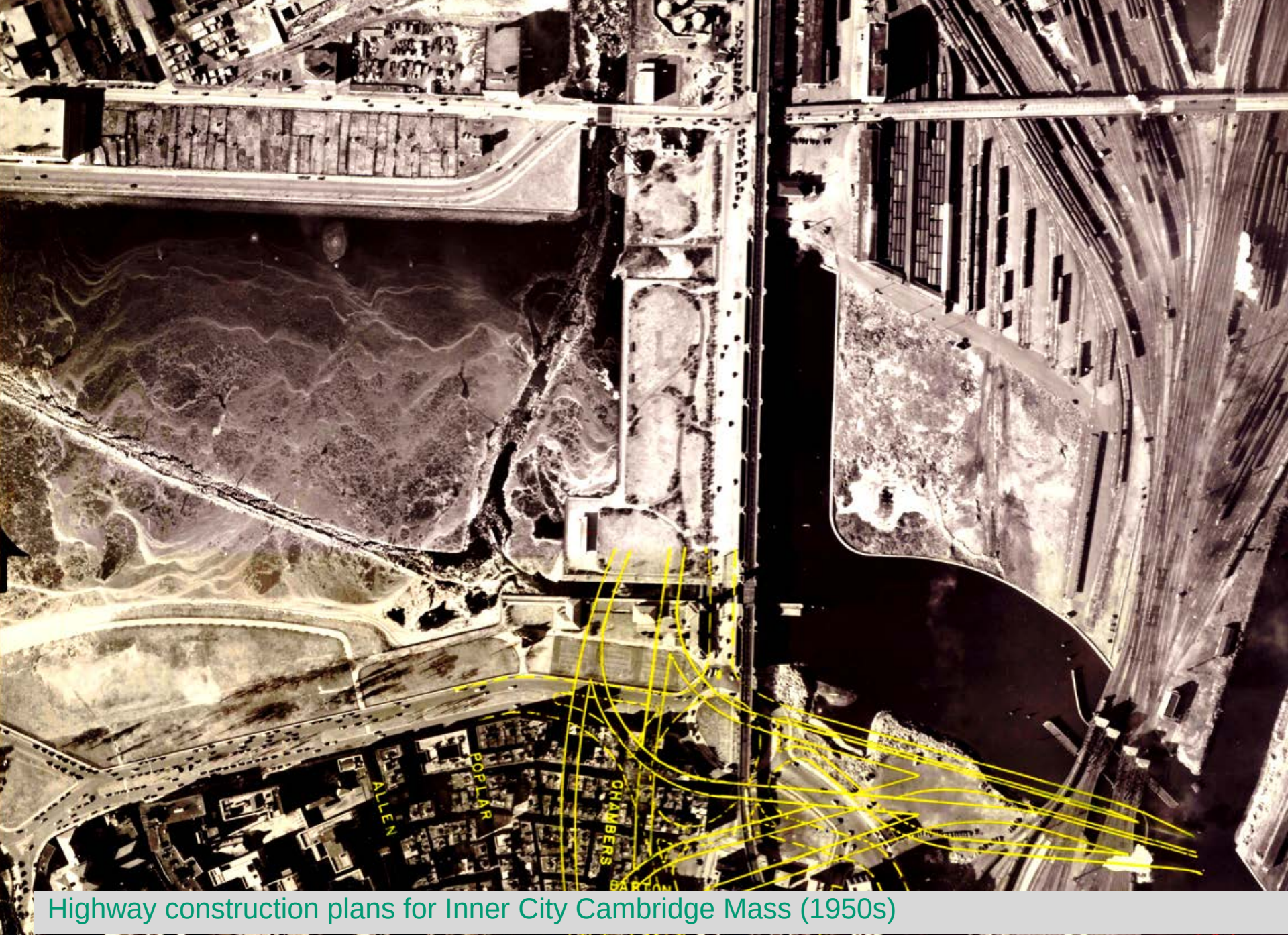
Background
Early participation in Germany/Austria

- Europe after WWI
- **Democratization of society** and urban reconstruction influenced by socialist idea(l)s
    - housing co-operatives

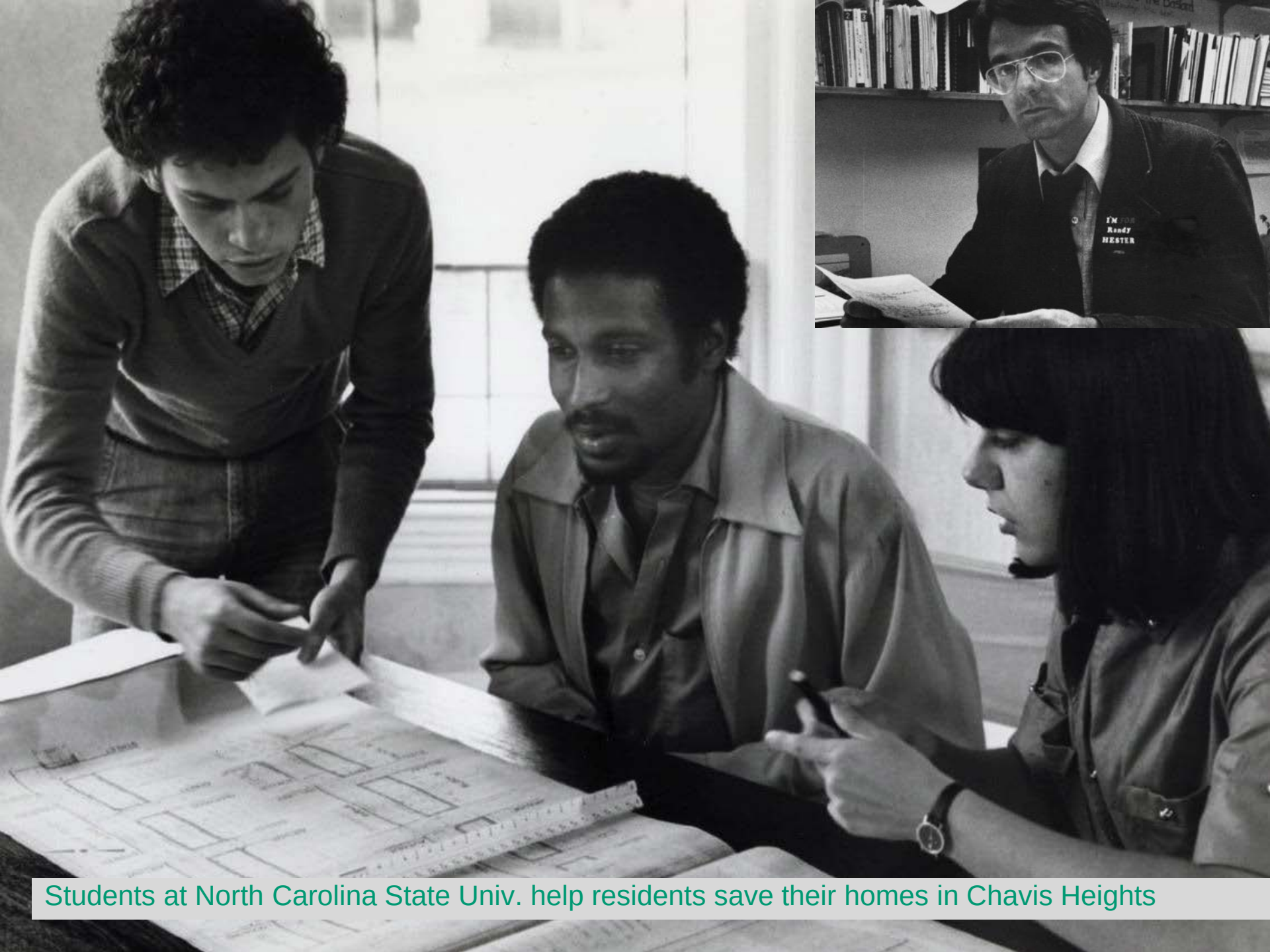
Wiener Siedlerbewegung / Housing Co-operatives

Background
US participation as advocacy after WWII

- Participation used to fight/stop/limit urban renewal/urban freeways in American cities
- Civil rights and environmental movements participation **= advocacy planning**
- Results of the advocacy planning
  - NIMBYism
  - Gridlock: politically charged projects are ‘resolved’ though participation
  - Focused on **litigation** and **mediation**



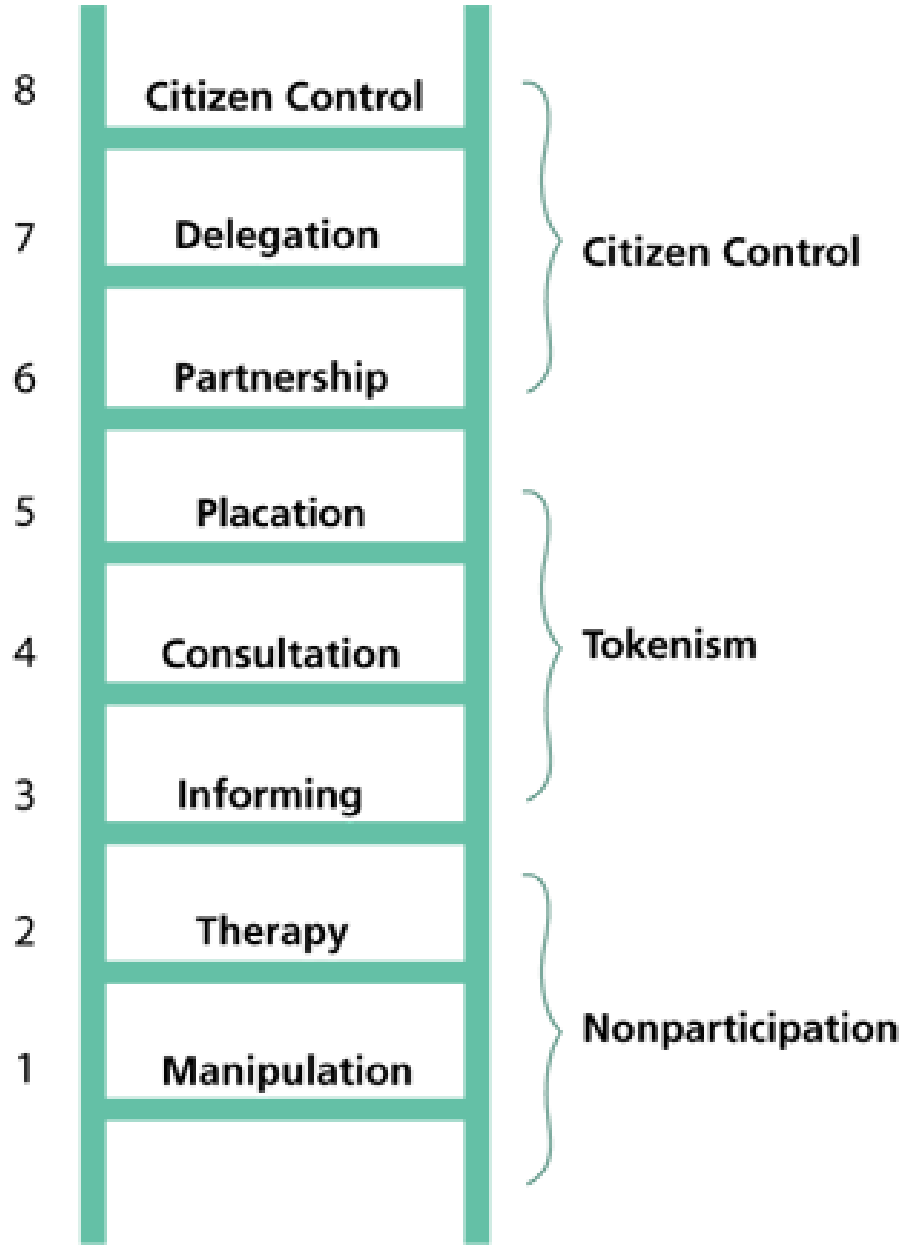
Highway construction plans for Inner City Cambridge Mass (1950s)



Students at North Carolina State Univ. help residents save their homes in Chavis Heights

Background
Community Participation as law in the US

- 1954 US Legislation on Housing requires citizens advisory groups
- 1969 Arnstein's critique of participation **(the ladder)**
- 1970s and 80s: participation as a business
  - ***"maximum feasible citizen participation"***
  - Applied to Environmental planning/Ecological preservation
  - Historic Preservation
- 1981 Donald Appleyard and the livable streets movement



Arnstein, S. (1969). A ladder of citizen participation. *Journal of the American Institute of planners*, 35(4)

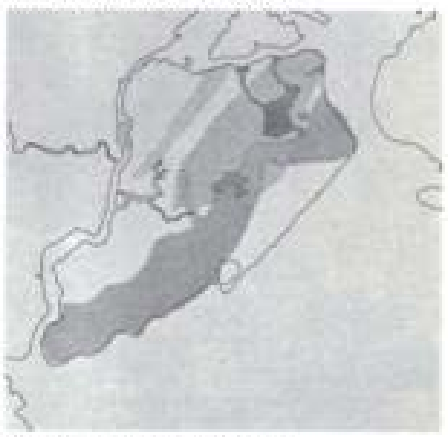
ISTORIC FEATURES VALUE

XISTING FOREST QUALITY

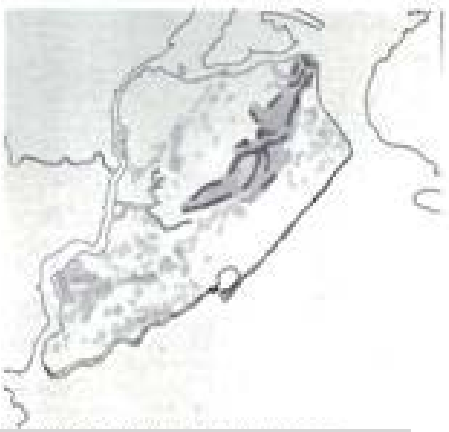
BEACH QUALITY

STREAM QUALITY

INTERTIDAL HABITAT VALUE

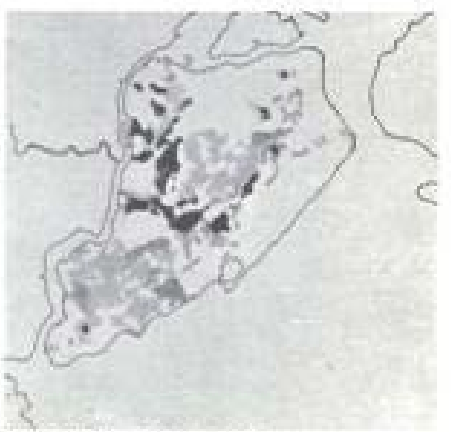


GEOLOGIC FEATURES VALUE



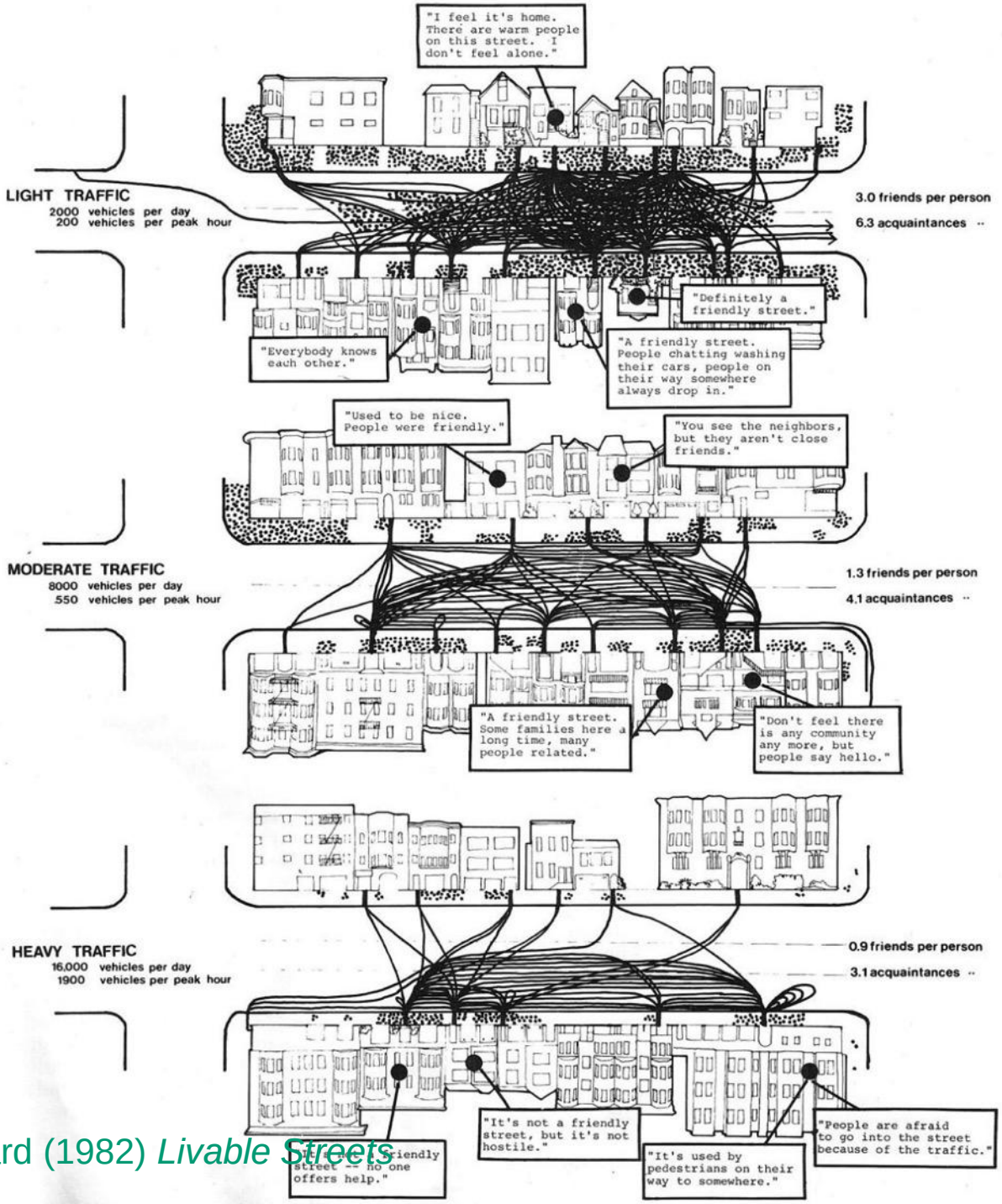
SCENIC VALUE (LAND)

SCENIC VALUE (WATER)



ECOLOGICAL ASSOCIATIONS VALUE

Ian McHarg (1969) *Design with Nature*



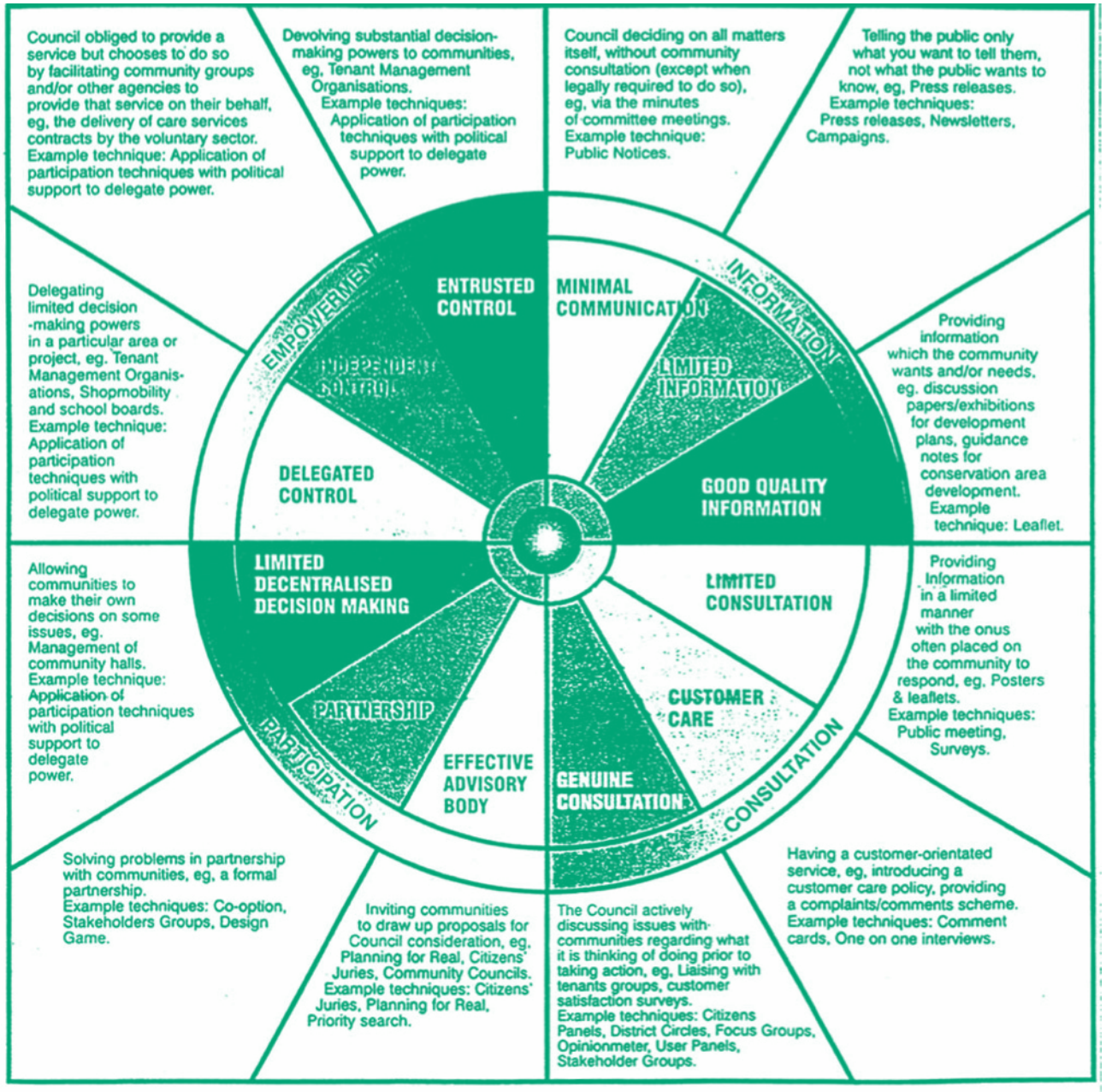
Donald Appleyard (1982) *Livable Streets*

Background
Community Participation as New Social Movement in Germany/Austria

- 1970/1980 civil-rights/ecological movement ("68er Bewegung")
  - strong link to **urban renewal and urban quality** of life (racial issues were not a driver as in the US)
- **Changing relationship experts/communities**
- **Increased relevance of everyday culture/architecture**
  - Yona Friedman 1970s – different kinds of knowledge
  - Bernard Rudofsky 1980s – architecture without architects

Planquadrat Vienna, early 1970s

Ottokar Uhl: The Human Scale in Architecture, Austria, early 1980s



Davidson, S. (1998) 'Spinning the wheel of empowerment', Planning, vol 1262, 3 April, pp14–15

Today
Participation and EU policies

- Participation and sustainable development
  - Agenda 21 (Rio 1991, Aalborg 1994)
  - 1998 Aarhus-Convention
- Participation required in environmental planning
  - 2000 - EU Water Framework Directive
  - 1991/1997 EU Convention on Environmental Impact Assessment and land use planning – often only information!
- Participation as voluntary, non legally binding
  - mostly recommendations
  - Bürgerbeteiligung (citizens' participation) and Öffentlichkeitsbeteiligung (public participation+ advocacy)

Today
Participation and International policies

- The 2000 European Landscape Convention
  - Landscape as **perceived by people**
  - **Signing countries to engage residents in participation (article 5, section b).**
- UN Sustainable development Goals
  - 17 integrated goals
  - Goal 17 **“A partnership to achieve all goals”**
- **UN Agenda 2030**

  *“We are determined to mobilize the means required to implement this Agenda through a revitalised **Global Partnership** […] based on a spirit of strengthened global solidarity, focussed in particular on the needs of the poorest and most vulnerable and with the participation of all countries, all stakeholders and all people.”*

Quizzes!

- Think of your own experience in participation: at which level of the ladder was it?

1_Manipulation

2_Therapy

3_Informing

4_Consultation

5_Placation

6_Partnership

7_Delegated Power

8_Citizen Control

Quizzes!

- What was the key method of engagement employed in these participatory projects?

Today
The Nuances of Participation

- Recognition that participation should be **rich** and **full (e.g. include diverse points of view)**
- A nuanced approach: from the ladder (Arnstein) to the wheel of participation (Davidson)
- From advocacy to **visionary synthesis** (Hester 1999)
- Participatory Action Research. Designers as partners in **co-creation (Reason and Bradbury)**

Sanoff, H. (2006). Multiple views of participatory design. Journal of the Faculty of Architecture, 23(2), 131-143
Reason, P., & Bradbury, H. (Eds.). (2001). Handbook of action research: Participative inquiry and practice. Sage.

Future
Performance of participation

Henry Sanoff's **functions/goals** for participation:

- generate ideas
- identify attitudes
- disseminate information
- resolve conflict
- review of proposals
- allow pent up emotions to surface

other functions:

- Opening of process to stakeholders
- Diversity of viewpoints
- Meaningful participation
- Integrating stakeholder concerns
- Information exchange

Sanoff, H. (2000). Community participation methods in design and planning. John Wiley & Sons.

Future
Performance of participation

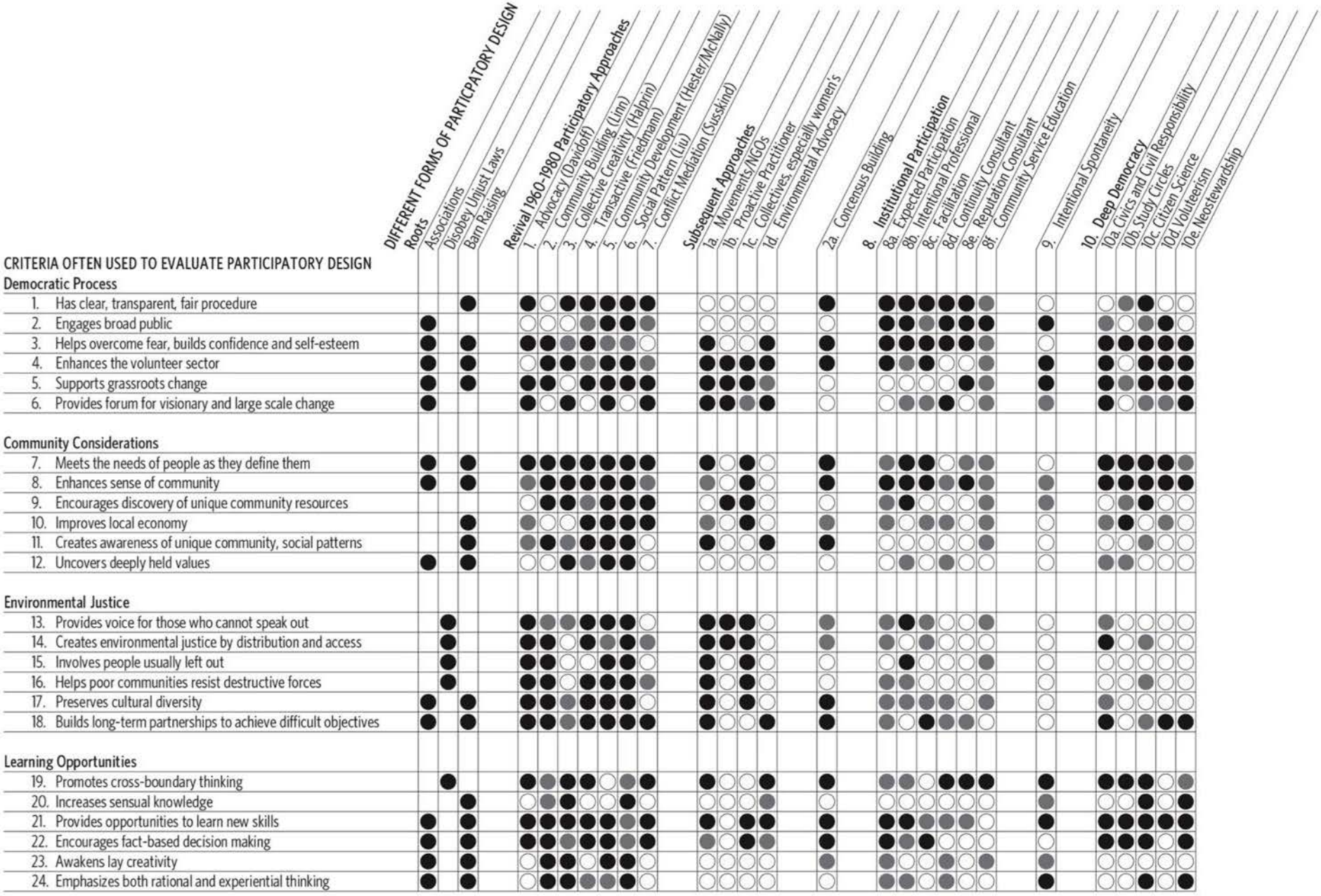
Randy Hester (2012):

42 criteria for evaluating community participation

organized by areas of impact:

- Democratic Process
- Community Considerations
- Environmental Justice
- Learning Opportunities
- Power Distribution
- Ecological Considerations
- Design Outcomes

Hester, R. T. (2012). Scoring collective creativity and legitimizing participatory design. *Landscape Journal*, 31(1), 135-143.


DIFFERENT FORMS OF PARTICPATORY DESIGN
Roots
Associations
Disobey Unjust Laws
Barn Raising
Revival 1960-1980 Participatory Approaches
1. Advocacy (Davidoff)
2. Community Building (Linn)
3. Collective Creativity (Halprin)
4. Transactive (Friedmann)
5. Community Development (Hester/McNally)
6. Social Pattern (Liu)
7. Conflict Mediation (Susskind)
Subsequent Approaches
1a. Movements/NGOs
1b. Proactive Practitioner
1c. Collectives, especially women's
1d. Environmental Advocacy
2a. Concensus Building
8. Institutional Participation
8a. Expected Participation
8b. Intentional Professional
8c. Facilitation
8d. Continuity Consultant
8e. Reputation Consultant
8f. Community Service Education
9. Intentional Spontaneity
10. Deep Democracy
10a. Civics and Civil Responsibility
10b. Study Circles
10c. Citizen Science
10d. Volunteerism
10e. Neostewardship
CRITERIA OFTEN USED TO EVALUATE PARTICIPATORY DESIGN
Democratic Process
1. Has clear, transparent, fair procedure
2. Engages broad public
3. Helps overcome fear, builds confidence and self-esteem
4. Enhances the volunteer sector
5. Supports grassroots change
6. Provides forum for visionary and large scale change
Community Considerations
7. Meets the needs of people as they define them
8. Enhances sense of community
9. Encourages discovery of unique community resources
10. Improves local economy
11. Creates awareness of unique community, social patterns
12. Uncovers deeply held values
Environmental Justice
13. Provides voice for those who cannot speak out
14. Creates environmental justice by distribution and access
15. Involves people usually left out
16. Helps poor communities resist destructive forces
17. Preserves cultural diversity
18. Builds long-term partnerships to achieve difficult objectives
Learning Opportunities
19. Promotes cross-boundary thinking
20. Increases sensual knowledge
21. Provides opportunities to learn new skills
22. Encourages fact-based decision making
23. Awakens lay creativity
24. Emphasizes both rational and experiential thinking

Sample Benchmarks and Data Collection Methods for the Core Components of Organizing

Organizing Component	Benchmarks	Data Collecting Methods
PARTICIPATION AND MEMBERSHIP	• Changes in numbers, demographics or location of members • Changes in attendance (numbers, types of events, who attends)	• Membership tracking (including demographic and geographic info) • Attendance tracking
CONSTITUENT LEADERSHIP AND POWER	• Changes in attitudes, skills, and knowledge • Changes in self-esteem and self-efficacy • Changes in stature within community or among decision makers	• Tracking elements of leadership growth • Organizer check-ins and debriefs • Documenting 1-to-1s • Journaling/portfolios • Focus groups
ORGANIZATIONAL POWER	• Development of relationships with decision makers, media, and influential figures • Changes in stature within community or among decision makers • Changes in membership • Changes in turnout to events • Policy wins	• Power analysis • Relationship/champion tracking • Base-building/mobilization tracking • Media tracking • Policy developments tracking • Interviews • Critical incident debriefs or case studies
ORGANIZING WINS	• Policy wins • Shifts in norms or content of debate • Holding the line against negative actions	• Policy tracking • Collection of archival documents • Media tracking • Critical incident debriefs or case studies
MEANINGFUL IMPACT FOLLOWING WINS	• Implementation of policies • Changes in practices • Public accountability for action or inaction • Sustained shifts in norms or content of debate • Impact on community	• Policy implementation tracking • Community indicators tracking • Action research (accountability surveys, interviews, focus groups) • Interviews • Critical incident debriefs or case studies
ORGANIZATIONAL CAPACITY	• Changes staffing • Changes in infrastructure • Changes in skills • Changes in resources	• Organizational capacity assessments • Most Significant Change • Interviews and check in calls or meetings
REFLECTION AND INNOVATION	• Building on and systematizing internal processes • Infusing data and documentation into reflection • Use of data in refinement of strategy or tactics	• Interviews and check-in calls or meetings • Collection of assessment documents or examination of systems

movers
&
shakers

Participation practices
It takes a ‘special’ person: **movers & shakers**

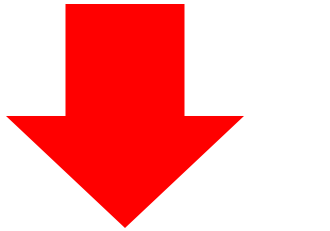
Randy Hester (UC Berkeley, Manteo, Big Wild, SAVE Spoonbill project)
Lawrence (Larry) Halprin (The RSVP cycle, Levi’s Plaza and Headquarters)
Karl Linn (UC Berkeley, Community Gardens)
Mark Francis (Village homes)
Anne Spirn (Philadelphia Mill Creek Project)
Ken Reardon (University of Memphis, East Saint Louis Project)
Jan Gehl (‘Life between buildings’, How to study public life)
Henry Sanoff (Planning Games)
Ralph Erskine (Byker Redevelopment)
Jeff Hou (Insurgent Urbanism, International district in Seattle)
Walter Hood (UC Berkeley, Lafayette Park Oakland, CA)
Samuel Mockbee (The Rural Studio)
James Rojas (place-it)
Re-Bar (Parking day/parklets)

Giancarlo De Carlo (Team 10, Legitimizing architecture)
Paula Horrigan (Cornell University, Rust to Green project)
Christopher Alexander (The Oregon Experiment, Pattern Language)
Julian Petrin et al. (nexthamburg - Hamburg, Germany)
Leonie Sandercock (University of British Columbia, Collingwood Neighbourhood House)
Klaus Overmeyer (Urban Catalyst)
Robert Jungk (Zukunftswerkstatt)
Cecily Corti (Vinzi Rast mittendrin)
Plansinn.at
Sonja Hörster http://www.partizipativ-gestalten.de (Germany)
Dominika Tihanyi (Budapest)
Monika Arzberger (www.koine.de -Germany)
Alessandra Orofino

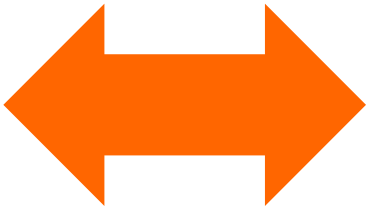
IMPETUS AND POWER FLOW

FORMS OF ENGAGEMENT

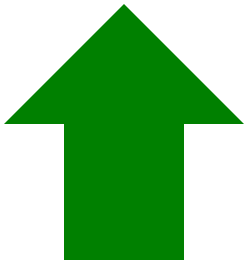
KNOWLEDGE PRODUCTION



High-design
TOP
DOWN



PARTNERSHIP



Co-created Design
BOTTOM
UP

- Pro-bono design
- Community Design
- Service learning
- Collaboration and cooperation
- Socially responsible design
- Design-Built

- Ecoliteracy efforts

- Community Mapping

- Participatory planning

- Community organizing

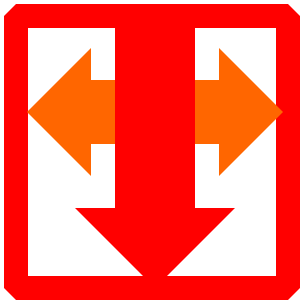
- Community development

- Environmental justice
- Community Gardening /urban agriculture

EXPERT
KNOWLEDGE
Science/objectivity

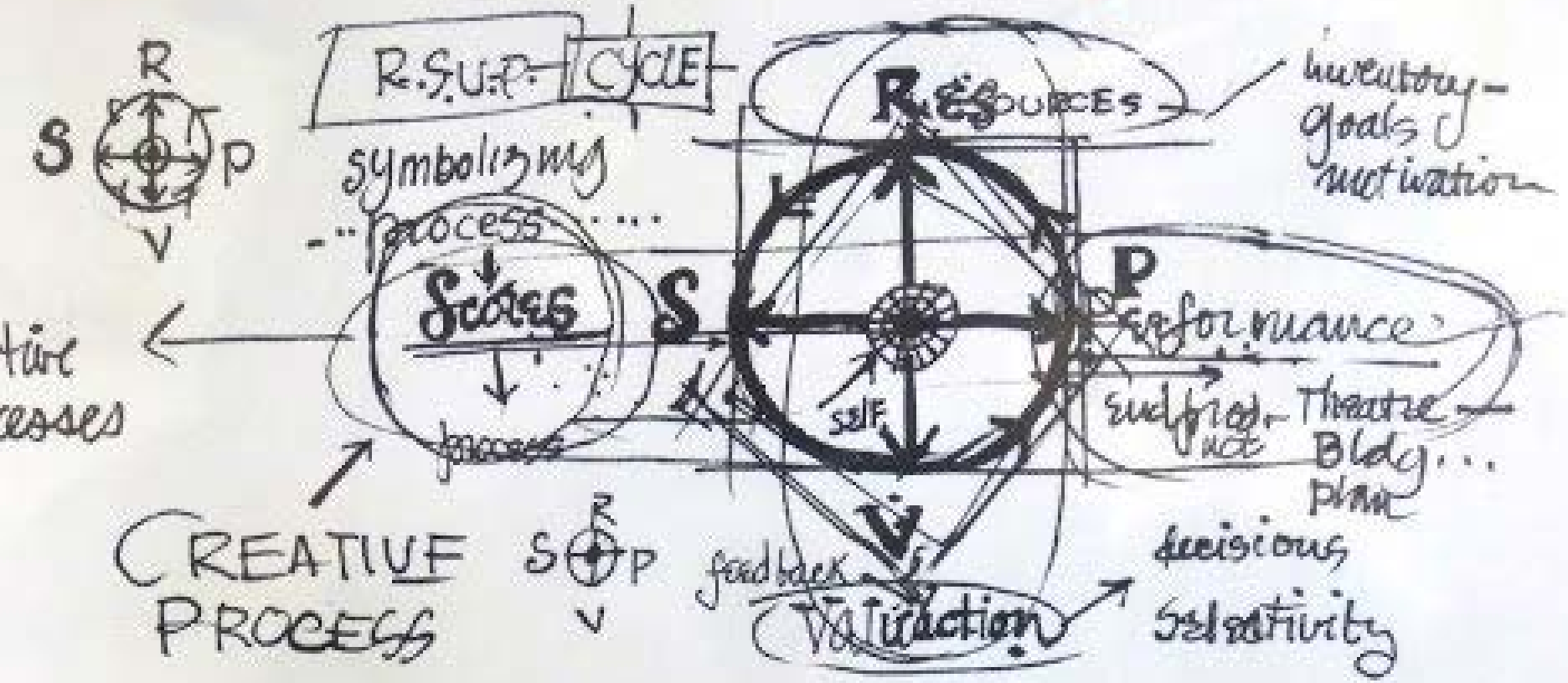
Social Sciences/ phenomenology
LOCAL
KNOWLEDGE

Participation practices
Larry Halprin's RSVP Cycle



- Lawrence Halprin (1916-2009) incorporated participation in his design work
  - Levi's plaza/Portland parks sequence
- **Collective creativity**
- **RSVP Cycle** (1969) and **'Take part'** (1970)
  - Resources - the knowable and controllable quantities in a given situation both external and internal to the group
  - ***Scores - the vehicle by which groups carry out their activities; the plan, instructions, schedules, and so on. A graphic representation of a project (the key contribution of a designer)***
  - Performance - the execution of the score by the group; the way in which objectives are realized
  - Valuactions - the evaluation, feedback, decision making portion of a cyclic process involving the above elements

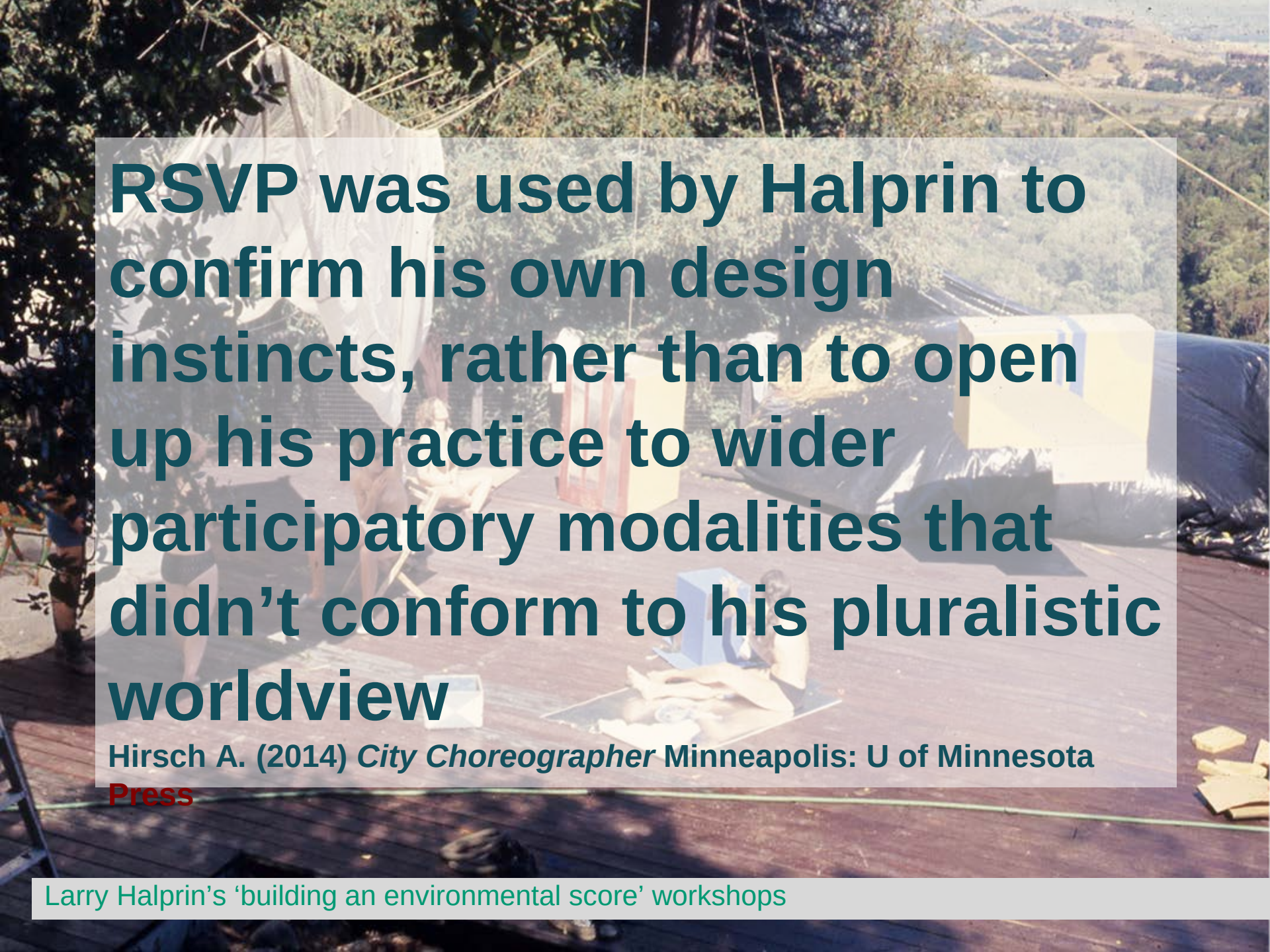
The RSVP Cycles



Larry Halprin's "RSVP Cycle" process (1969)

Larry Halprin’s “take Part” process for Seaside, CA

Larry Halprin’s ‘building an environmental score’ workshops



RSVP was used by Halprin to confirm his own design instincts, rather than to open up his practice to wider participatory modalities that didn't conform to his pluralistic worldview

Hirsch A. (2014) *City Choreographer* Minneapolis: U of Minnesota Press

Larry Halprin's 'building an environmental score' workshops

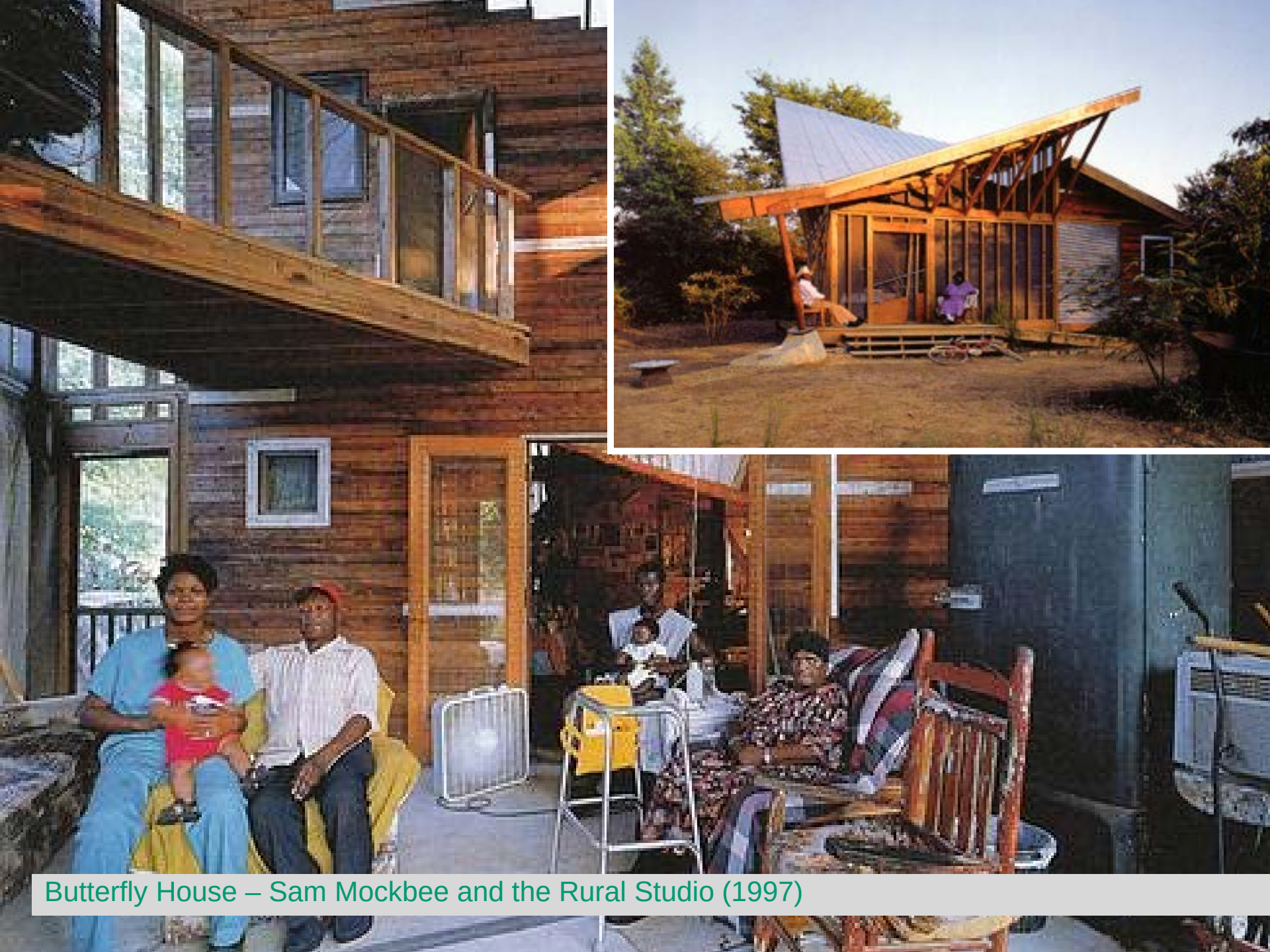
Participation practices
Service-learning

- Design-built (Rural Studio @ Auburn University since 1993)
- Collaboration between universities and communities (top-down, **goal-oriented community participation**)
  - Outcome 1: It teaches students how to ‘serve communities”
  - Outcome 2: Transfer of state-of-the-art research/practical knowledge in exchange for ‘hands on’ design training
- “Consultancy” model
- **Empowerment:** a community resource to support **bottom-up redevelopment**

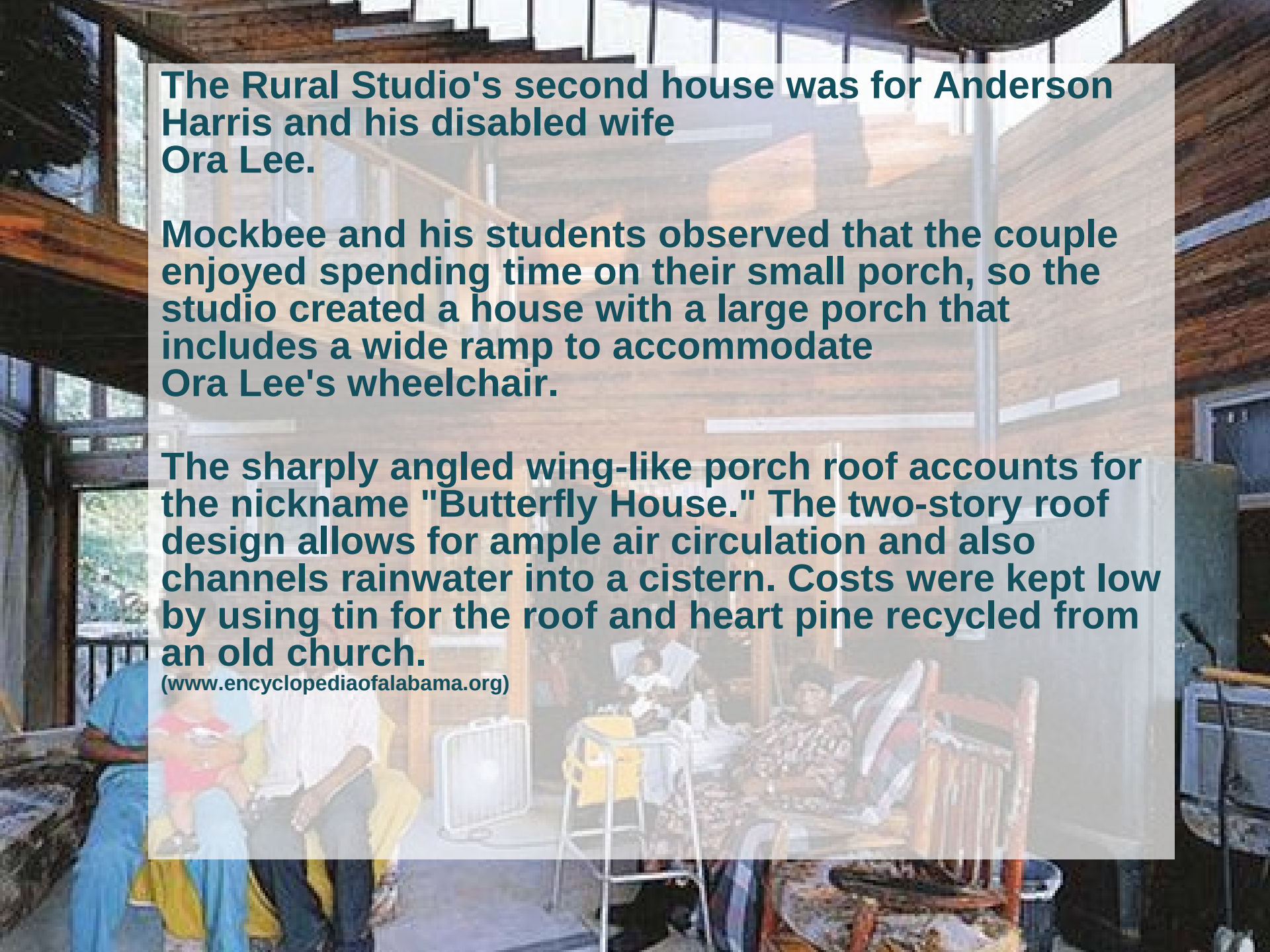
RURAL STUDIO AT TWENTY

DESIGNING AND BUILDING IN HALE COUNTY, ALABAMA

ANDREW FREEAR and ELENA BARTHEL, with ANDREA OPPENHEIMER DEAN
photography by TIMOTHY HURSLEY



Butterfly House – Sam Mockbee and the Rural Studio (1997)



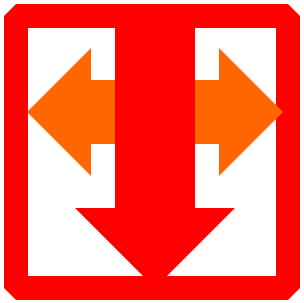
The Rural Studio's second house was for Anderson Harris and his disabled wife Ora Lee.

Mockbee and his students observed that the couple enjoyed spending time on their small porch, so the studio created a house with a large porch that includes a wide ramp to accommodate Ora Lee's wheelchair.

The sharply angled wing-like porch roof accounts for the nickname "Butterfly House." The two-story roof design allows for ample air circulation and also channels rainwater into a cistern. Costs were kept low by using tin for the roof and heart pine recycled from an old church.

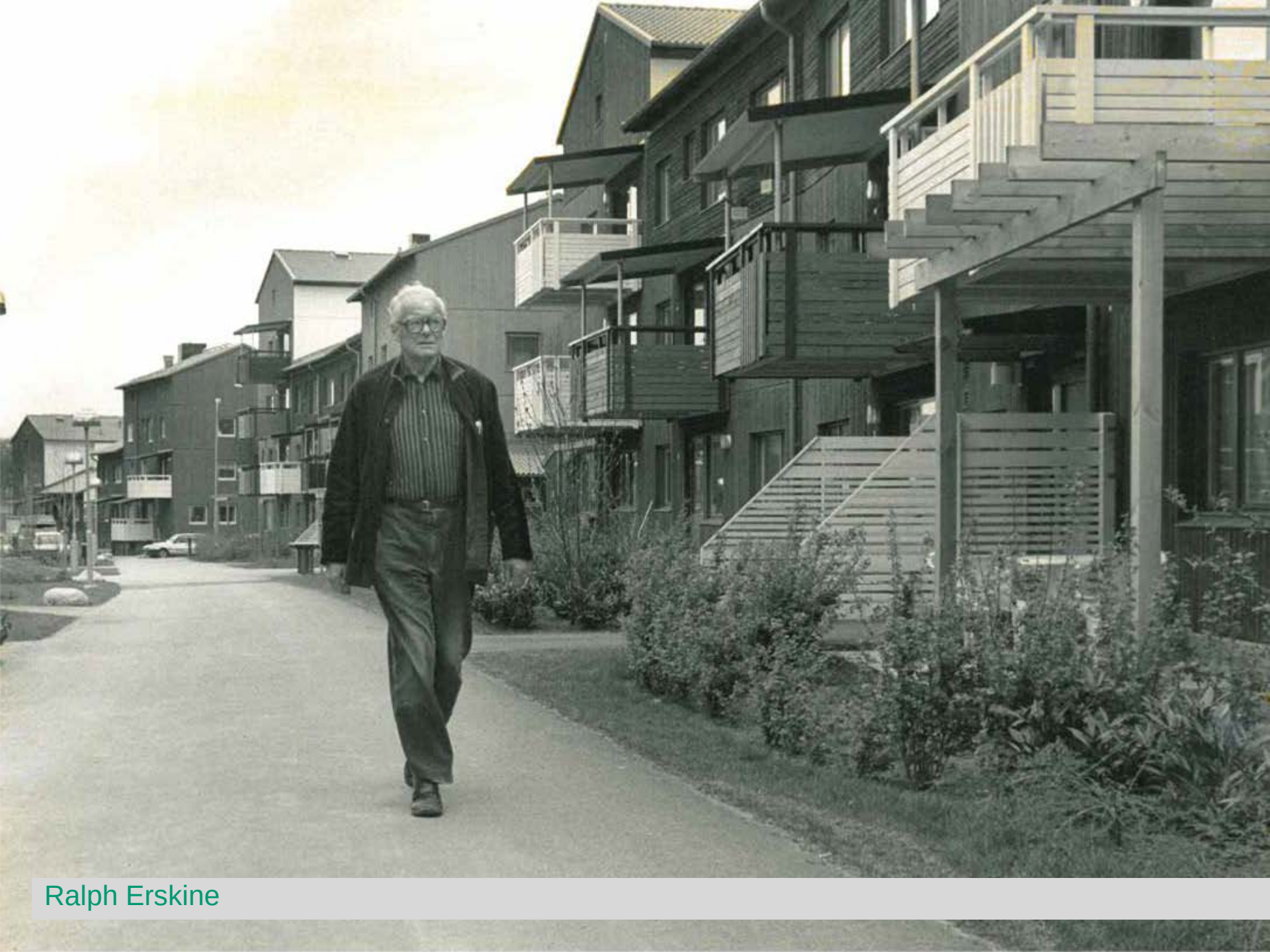
(www.encyclopediaofalabama.org)

Participation practices
Erskine & participatory architecture



- Ralph Erskine (1914-2005)
- Trained in the ‘garden city’ ideals
- Influenced by Scandinavian society and its emphasis on collaboration/*dugnad*/pragmatism of the 1960s and 70s
- **Social engineering**
  - Architecture as a source of good citizenship

•Driven by the designer but **aimed at residents’ empowerment/self governance**



Ralph Erskine

Byker in the 1950s prior to Erskine's redevelopment process http://bykerlives.com/

Community Action No 55 Jan-Feb 1978 - 25p

WHO BENEFITS FROM PUBLIC PARTICIPATION?

THE BYKER EXPERIENCE

Introduction: The promise

When it first became popular in Britain about ten years ago public participation was hailed by many as a welcome reaction to the ever-increasing power of the state, and in particular the local authorities. As an idea, participation is now widely accepted and built in to all sorts of state functions, from housing management to structure planning. But who benefits? Have the working class

I was commissioned by the Department of the Environment to carry out research on Newcastle's urban redevelopment project at Byker. On the basis of that research I shall try to show that **for participation to be successful from the public's point of view it is necessary to oppose the** authorities' **tendency to organize the process in ways which result in a minimal redistribution of power.** Otherwise participation will continue to be very often little more than a technique of ur-

Byker's participatory process advertisement http://bykerlives.com/

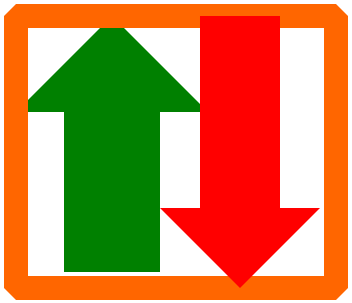
their needs and preferences are not only heard but

The Council's interests

Byker’s architectural ‘wall’ http://bykerlives.com/

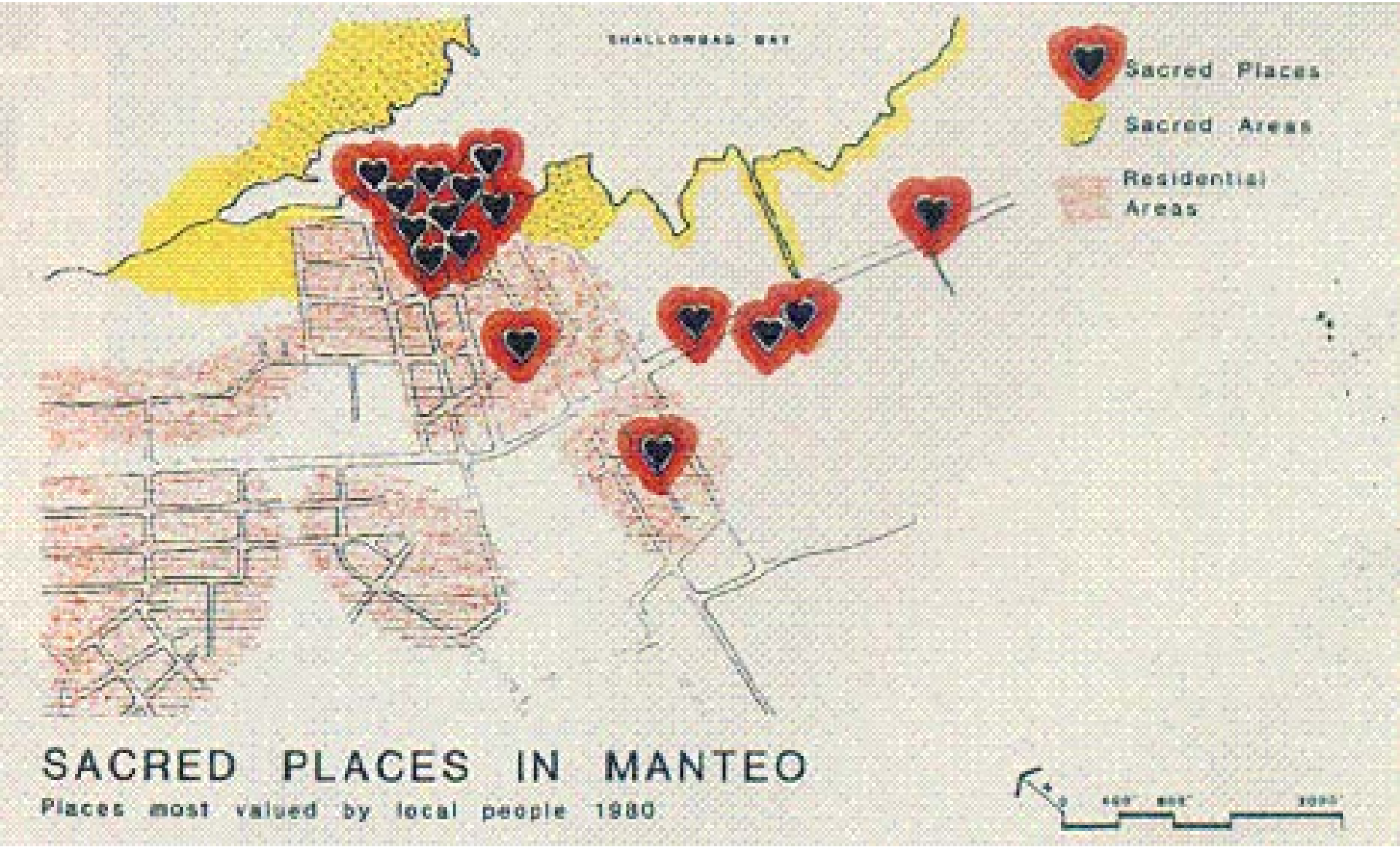
Byker’s wall from the perspective of residents http://bykerlives.com/

Participation practices
Randy Hester's 'twelve-steps'



- A participatory process for **community development**
- The designer as the **'score keeper' and intermediary**
- Extensive 'listening' and 'collective goals setting' to lead to **creative consensus**
- Processes operating at multiple scales
- Extensive and inclusive
- Capacity-building
- Structured and grounded in theory

Randy Hester, Emeritus Professor of Landscape Architecture, UC Berkeley



Hester's "sacred structure mapping" in Manteo, NC, USA

1 LISTENING

Place Knowing

2 SETTING GOALS

Place Knowing

3 MAPPING & INVENTORY

Place Knowing
Place Understanding

4 INTRODUCING THE COMMUNITY TO ITSELF

Place Knowing
Place Understanding

5 GETTING A GESTALT

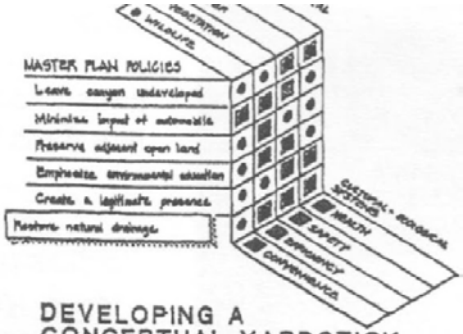
Place Understanding
Place Caring

6 DRAWING ANTICIPATED ACTIVITY SETTINGS

Place Understanding

7 IDIOSYNCRACIES INSPIRE FORM

Place Understanding



8 DEVELOPING A CONCEPTUAL YARDSTICK

Place Understanding

9 SPECTRUM OF PLANS

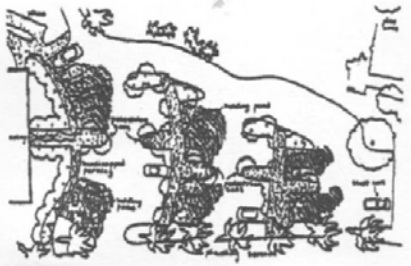
Place Understanding
Place Caring

10 EVALUATING COSTS & BENEFITS

Place Caring

11 TRANSFERRING RESPONSIBILITY

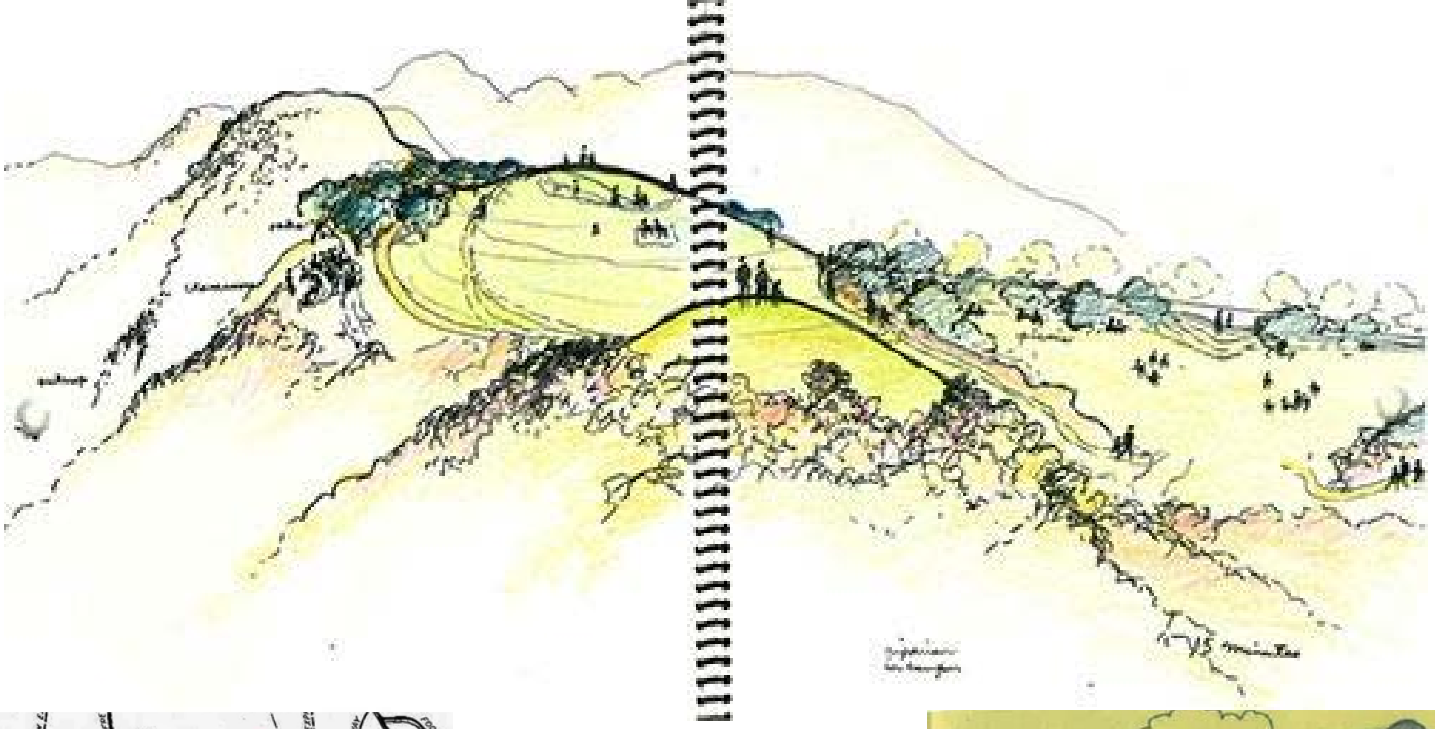
Place Caring

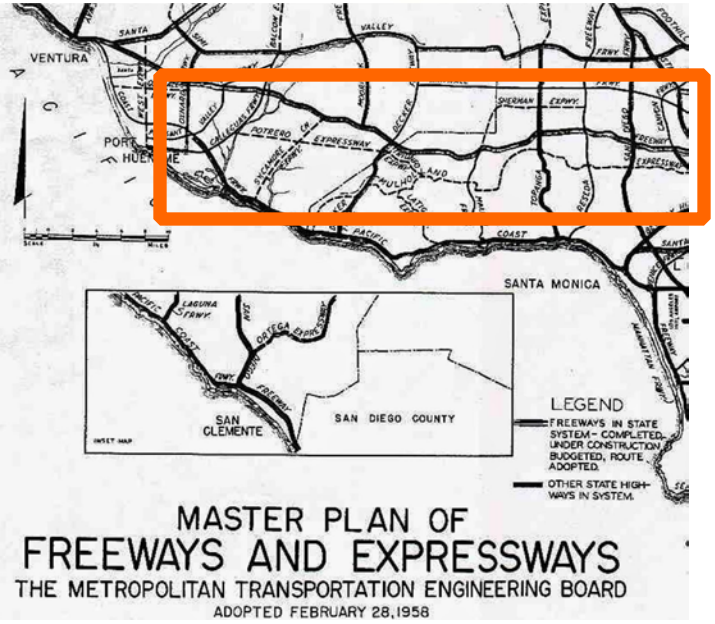


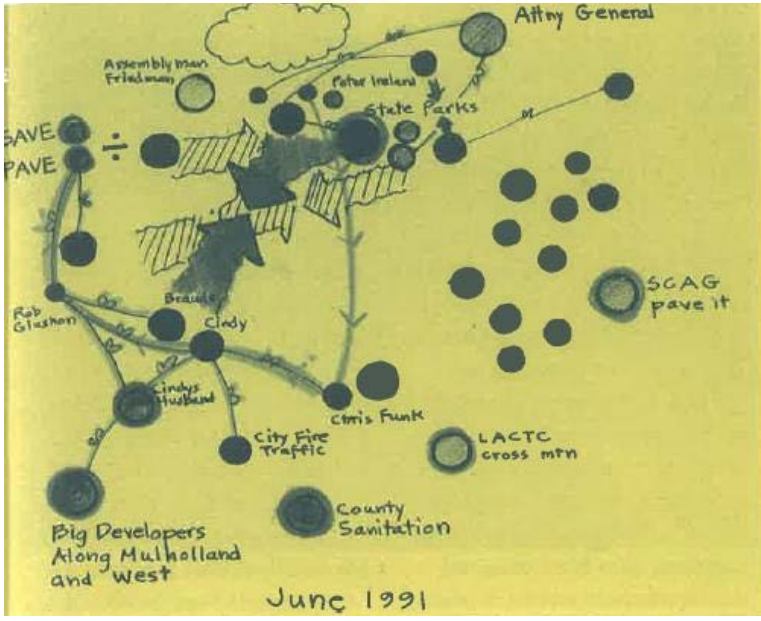
12 EVALUATION AFTER CONSTRUCTION

Place Understanding

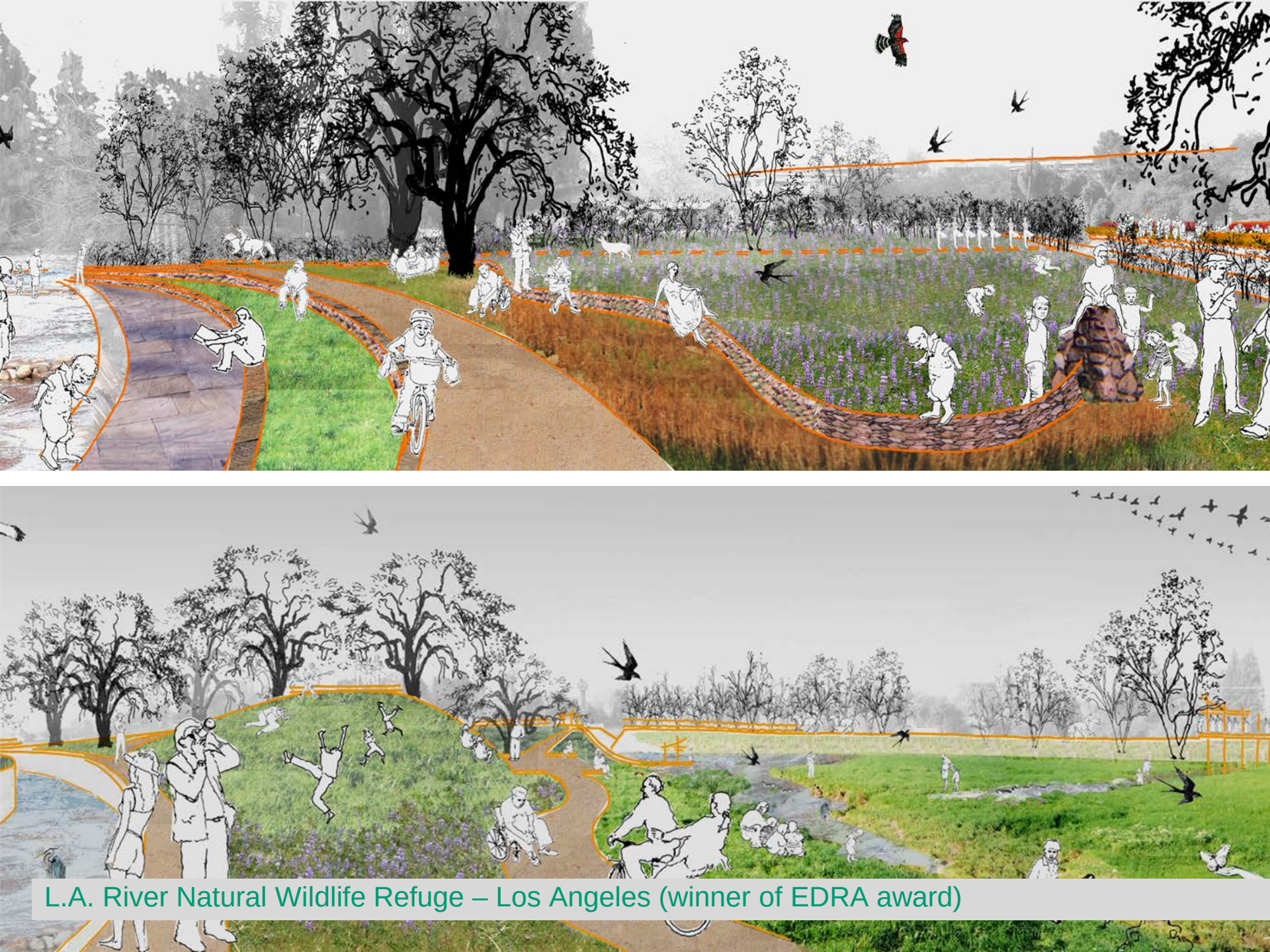
Randy Hester's "twelve steps process for community design" (1993)





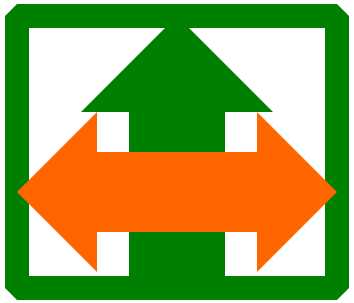


Parque Natural, the first ecological park in South Central Los Angeles, 1980s (R. Hester and Community Development by Design)



L.A. River Natural Wildlife Refuge – Los Angeles (winner of EDRA award)

Participation practices
Participant Action Research P.A.R.



P

Partnership……a collaboration as equal partners
Emergent…… processes and goals vary as they unfold
Inclusive…….. seeks to engage a multitude of perspectives
Native wisdom driven…… there are no experts
Transdisciplinary…….. working together on complex solutions

A

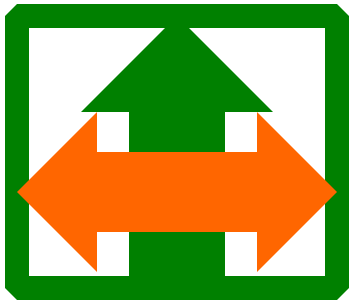
Dialogic…… from top-down to bottom up
Action driven…… projected toward change, not status quo
Adaptable……. it has the capacity to evolve with the context
Strategic……. it is creative in achieving the most with the least

R

Reflective.. it seeks to build on experience (successes/failures)
Rigorous…… carefully documented and conceptualized
Communicative…… shared knowledge and education

Park, P. (Ed.). (1993). Voices of change: Participatory research in the United States and Canada. Praeger Pub Text.
Stokols, D. (2006). Toward a science of transdisciplinary action research. American journal of community psychology, 38(1-2), 63-77.

Participation practices:
Rust to Green in New York State



- R2G begins in 2009
- Community development in 7 NY state declining yet ‘smart’ cities
- **Placemaking by design**

Goals

- To identify sites, networks and communities with the greatest green development potential
- To foster community-based decision-making capacity and **co-author new narratives** of sustainability and resilience

Tools

- Urban agriculture; stormwater management, **public art**, eco-literacy workshops, **mapping**

RUST2GREEN

Advancing Green Futures for New York's Rust-Belt Cities

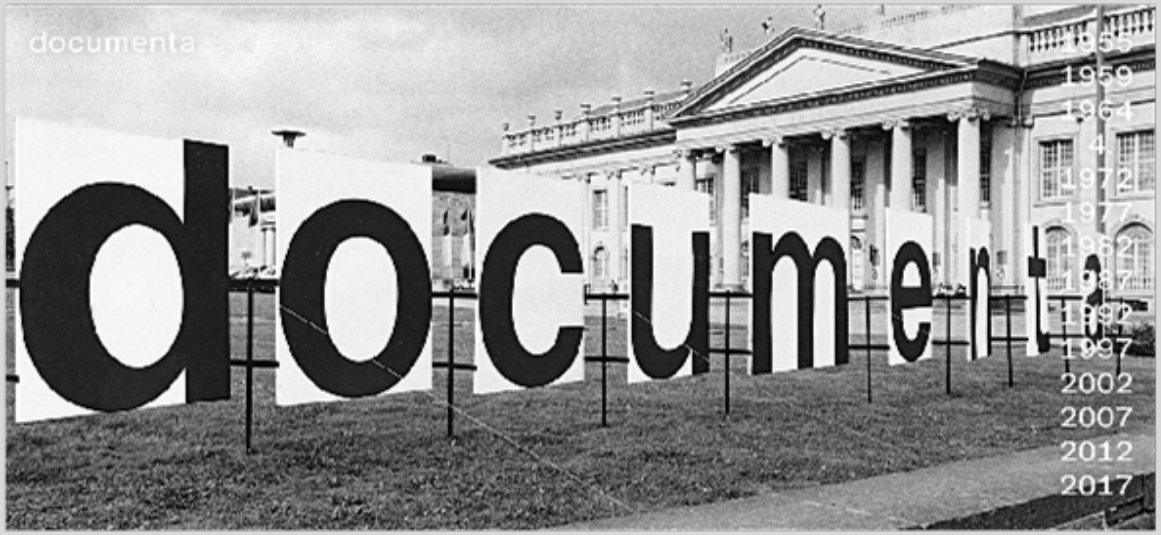
Building On Assets In NYS Communities

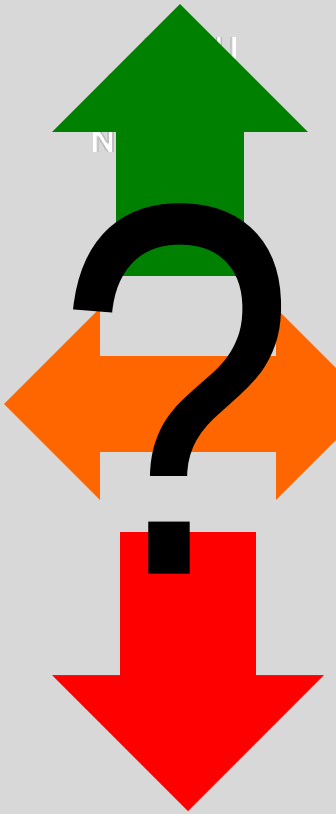
Building on social, cultural, economic, and environmental assets to foster greater strength innovative. driven, participatory, place-based, creative, and the community... more

R2G is a Collective Action toward A Sustainable Future in NY State

The Rust to Green New York Action Research Initiative is an emerging network of Cornell educators, researchers and students-from a myriad of fields and disciplines- working together and in collaboration with a wide range of community partners to identify and design innovative strategies and solutions addressing the unique problems and needs of New York's Rust Belt cities. more

Rust to Green's 'One World Flower Festival" in Utica's Oneida Square





The LED intensive programme will happen in parallel to the 14th edition of the *documenta*, which is one of the world's most influential exhibitions of contemporary art. Next to its traditional home in Kassel, this years' documenta will also take place in Athens. Our workshop will actively reflect the artistic positions of the documenta 14 against local landscape democracy action.

Summer 2017 Intensive Program at Kassel's Nordstadt district

UNIKASSEL VERSITÄT

Norwegian University of Life Sciences

Hochschule für Wirtschaft und Umwelt Nürtingen-Geislingen

LE:NOTRE Institute
Linking Landscape Education, Research and Innovative Practice

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