

# Towards social meaningful public participation

An exploratory study into meaningful public participation processes becoming socially sustainable in mixed-use urban area developments







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**Educational Institution**  
Graduation Laboratory MSc  
Urban Development Management  
Master track: Management in the Built Environment  
Delft University of Technology

**Supervision TU Delft**  
First mentor: Dr. Y. (Yawei) Chen  
Second mentor: Dr. G.A. (Gerard) van Bortel  
Informal mentor: Ir. C. (Céline) Janssen (PhD, TU Delft)

**Supervision Fakton**  
Ir. M. (Maarten) Kievits (Fakton)

**Delegate of the Board of Examiners**  
Prof. dr. ir. arch. S.I. (Sevil) Sariyildiz

**Author**  
W. (Wanchy) Yeh  
4325079  
yehwanchy@gmail.com









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## Preface

In front of you lies the final version of my research, which represents my graduation thesis for the master Management in the Built Environment at the Technical University of Delft. The research is conducted in the domain “Urban (Re)development Management”.

My interests in the complexity of inner-city mixed-use (re)developments combined with the social influence stakeholders have on the built environment, resulted in the topic of my graduation research.

A case study analysis has been conducted of two opposing cases (bottom-up/top-down). The goal was to define a meaningful participation process by its characteristics and to find a potential relationship with social sustainability. The importance of integrating social sustainability in the development process becomes more demanding these days since the focus has shifted to the resilience of urban areas for the next generations. This resilience is based on the economic, environmental and social sustainability. The outcomes of this research can contribute to a better understanding of the features of a meaningful participation process as an obliged component of the development process due to the new Environmental and Planning Act.

Although the graduation period had ups and downs, I overall look back at an enjoyable and educational year. I would especially like to thank a number of people who always supported me.

First of all, I would like to thank my graduation mentors Yawei Chen, Gerard van Bortel and Céline Janssen for all their knowledge, humour and (critical) feedback. Thank you for letting me ‘swim’ when needed, and your support when I thought to be lost. Your all-day optimism and positivity have always been really motivational to me.

Besides, I would like to thank my company supervisor Maarten Kievits for his valuable insights into the field of development processes in practice and guidance during my graduation internship at Fakton Capital.

To all the involved interviewees, I would like to express my gratitude for your given time, insights and enthusiasm. Although the corona-crisis made it impossible to meet in person, I very much enjoyed our digital conversations.

Finally, I would like to express a special thanks to my friends and family. To my friends, for all the moments of laughter we have had. To Chris, for forcing me to relax and making this graduation year much more fun. And to my family, for their unconditional support in any possible way.

Wanchy Yeh  
June 2020



## Abstract

During the last decade, the acknowledgement for sustainability has arisen to meet the demands for then and future generations. Thereby, the attention has shifted to incorporate the civic demands into urban planning processes. By 2021, a mandatory integration of participation will be obliged from a governmental perspective due to the implementation of the new Environmental and Planning Act. Although there are many kinds of research on the theoretical part of the participation process, it is not yet clear which factors are essential for meaningful participation, while becoming socially sustainable as well. Besides, this study focuses on mixed-use (re)developments, where the configuration of actors is more diverse. Therefore, the main question of this research is: How can a meaningful public participation process be achieved in mixed-use (re)developments and thereby become socially sustainable? To answer the main question, a literature study and empirical study are conducted on participation processes in mixed-use area development. Two extremes of participation processes are selected for the case-studies: top-down and bottom-up. They give insight into the relationship between participation and social sustainability, the social relation of the affected public and the preconditions for meaningful participation in mixed-use areas. The conclusion of this study indicates factors as “observed mutual help”, “improvement of the willingness of affected public” and “transparency” as crucial elements overlapping the communicative planning approaches, preconditions and social sustainability.

**Keywords:** social sustainability, meaningful public participation process, mixed-use (re)developments, affected public



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## Management summary

### Problem statement

From 2021, a new Environmental and Planning Act will be implemented, which obligates an integration of a participation process in every upcoming urban development. Currently, participation processes are used as a method to engage the public, although these processes are not meaningful to the public in every development. In some cases, they are rather seen as a procedure than a valuable addition to improve the (future) social sustainability of the areas.

The procedural way of thinking is in contrast with the ambition of many Dutch cities. Multiple municipalities in the Netherland acknowledge the importance of inclusivism, multi-culturalism and cohesive communities. They strive for economic and environmental sustainability, and in recent years, the emphasis has been put on the social sustainability aspect as well. A participation process can be a possible means to contribute to social sustainability. However, limited research is conducted on this topic.

### Research goal and questions

The main question of this research is: **How can a meaningful public participation process be achieved in mixed-use (re)developments and thereby become socially sustainable?** The following sub-questions are formulated to answer the main question:

- (1) How are the affected public actors involved in the participation process for it to become meaningful?
- (2) What are the preconditions to establish meaningful participation processes in mixed-use areas?
- (3) How does public participation contribute to social sustainability?

The first sub-question provides a context of the process and gives insight into the used communicative planning approaches. The second sub-question focuses on how the preconditions -established in literature- are met in practice. The third sub-question provides an overview of the social sustainability concepts in practice. By answering the sub-questions, the characteristics of a potential social meaningful participation process are researched.

### Methodology

Due to the social character of this study, the research is conducted qualitatively. The methods are a literature study, semi-structured interviews and document study. In the literature, a theoretical framework was established, which connected the aspects of the sub-questions to the main question. Based on the adjusted ladder of participation by Edelenbos (2006), different communicative planning approaches were identified. Four different preconditions were found, which were essential to establish meaningful participation. Lastly, the definition of social sustainability was divided into several concepts, which were directly related to the planning process.

The empirical part of the research was based on a comparative study between two opposite cases. The cases of the Zomerhofkwartier and Kogerveldwijk were chosen based on several criteria. The data was obtained through in-depth semi-structured interviews, for which basic questions were adjusted according to the individual interviewee. These questions were related to the social sustainability concepts, preconditions and the process. To support



information about the process, a document study was conducted as well. All the retrieved data was analysed, compared with each other and with the theory.

Cases

Kogerveldwijk background

The Kogerveldwijk is a collective name for three residential areas and two recreational areas in Zaandam. Investments are needed to upgrade the area because, in the last years, many industrial businesses have left the area. Since 2016, the municipality of Zaanstad has actively participated with the local businesses and inhabitants to create a future area perspective in the MAAK. process. The involvement of representatives formed a crucial element for the municipality to connect with the inhabitants during the period before the MAAK. process, as well as during this process.

Actors & relationships

The actors within the participation process of the Kogerveldwijk are divided into three groups: the municipality of Zaanstad, local representatives and local businesses/inhabitants. It is observed that the representatives are involved in both the area management process and the MAAK. process. Besides, they represented many businesses/inhabitants from different areas. The chosen approach differed per actor: a consultative/advisory approach was taken towards inhabitants, where an advisory/co-creative approach was selected to involve the businesses.

Preconditions

An identity was not established in the Kogerveldwijk because the different (residential) areas did not interact with each other. Among a small number of representatives, a certain level of trust was built, although miscommunication led to mistrust between affected and effectors. The miscommunication was not intentionally since the administrators were willing to participate, and multiple attempts were made to reach the affected public. Possibly, a lack of sufficient time and budget were reasons why participation in practice did not go as intended.

Assessment of preconditions	Between affected (1-5)	Between affected & effectors (1-5)
Established an identity	Not supported	-
Trust is built	Moderately supported	Slightly supported
Administrators willingness for participation	-	Strongly supported
Sufficient time & budget	Not supported	Slightly supported

(Scale from: not supported- slightly supported -moderately supported - strongly supported - fully supported)

Figure A. Statements of preconditions supported based on a scale from not supported – fully supported

Social sustainability

The concept of social sustainability has been divided into several concepts, which are important for the planning process. During the participation processes, feedback was slightly given to the affected, although all documented information was accessible digitally. This did not contribute to an increase in inhabitants/businesses in the participation processes. Therefore, certain groups of the affected public were excluded. The informal contact between the effectors and affected was often one-sided from the effectors. Between the affected public, only representatives offered each other mutual help and support and the desire to stay in the neighbourhood was not very supported. It was challenging for the representatives to find new inhabitants/businesses to represent the area, and therefore, the same people

were involved throughout the whole participation process. In the perspective of multiple interviewees, the safety level was not considered as part of the participation process.

Social concept	Measurements	Supported
Social equity	- Feedback given from effectors during process (open dialogue) - Documentation/information of process has reached affected	- Slightly - Strongly
Social inclusion	- No exclusion of groups of affected based on age, nationality, education during the participation process	- Slightly
Social capital	- Increase of informal contact between affected and effectors through mutual help and support	- Moderately
Social cohesion	- Increase of informal contact between affected through mutual support and help - Desire to stay in the neighbourhood - Willingness to represent neighbourhood during process	- Not occurred - Slightly - Slightly
Safety	- Feeling of safety during daytime increased after process - Feeling of safety during the night increased after process	-Not supported -Not supported

(Scale from: not supported - slightly supported -moderately supported - strongly supported - fully supported)

Figure B. Support of social concepts my measurements and scale of support

### Zomerhofkwartier background

The Zomerhofkwartier is a former industrial area surrounded by inhabitants. Since 2012 a new method of urbanism was applied in this area: Slow Urbanism. By renting out unoccupied offices to creative businesses for low rent, the area could potentially build character and grow in small steps. With this approach, the aim was to develop a broad-based tender for future developments. In 2019, the developers were announced who won the tender.

### Actors & relationships

The actors within the planning process can be divided into three groups: the municipality of Rotterdam, ZOHO-citizens/inhabitants and Havensteder. During the Slow Urbanism phase, all three groups were represented in the participation process. Inhabitants who did not want to co-create were kept informed. Different representatives of the three groups were involved in the tender procedure, which resulted in a division of relationships between de group before the tender and the group during the tender.

### Preconditions

In the theory, four different preconditions were established for meaningful participation processes in mixed-use areas. The identity in the was moderately supported because the identity only represented a part of the affected public. The shared trust was always strong among the affected public. It only decreased between affected and effectors during the tender procedure. The administrator's willingness was also strongly supported because the administrators would profit from their own involvement. And both time and budget were mostly sufficient for both stakeholder groups.

Assessments of preconditions	Between affected	Between affected & effectors
Established an identity	Moderately supported	-
Trust is built	Fully supported	Slightly supported
Administrators willingness for participation	-	Strongly supported
Sufficient time & budget	Fully supported	Strongly supported

(Scale from: not supported- slightly supported -moderately supported - strongly supported - fully supported)

Figure C. Statements of preconditions supported based on a scale from not supported – fully supported



### Social sustainability

Regarding social equity, feedback in an open dialogue was given in both participation processes, although the response to get involved by inhabitants remain low. A social exclusion was observed because of the different social-economic background of the inhabitants in the area. Also, mutual help and support were moderately supported between affected and effectors. Among the affected public, there was also moderate support and help, which potentially correlates with the moderate desire to stay in the neighbourhood and representation. The participation process could potentially influence the level of safety during the day in a positive way.

Social concept	Measurements	Supported
Social equity	- Feedback given from effectors during process (open dialogue) - Documentation/information of process has reached affected	- Fully - Moderately
Social inclusion	- No exclusion of groups of affected based on age, nationality, education during the participation process	- Slightly
Social capital	- Increase of informal contact between affected and effectors through mutual help and support	- Moderately
Social cohesion	- Increase of informal contact between affected through mutual support and help - Desire to stay in the neighbourhood - Willingness to represent neighbourhood during process	- Moderately - Moderately - Slightly
Safety	- Feeling of safety during daytime increased after process - Feeling of safety during the night increased after process	- Moderately -Not supported

(Scale from: not supported - slightly supported - moderately supported - strongly supported - fully supported)

Figure D. Support of social concepts my measurements and scale of support

## Synthesis

### Actors & relationships

In the literature study, a definition was given to “the effectors” and “the affected” as two different categories of actors. From the analysis can be concluded that they are rather two opposites on a continuum on which actors can be positioned. Some actors are affected by the redevelopment but have more decision-making power than others. Therefore, three different kinds of actors are distinguished: affected public and effectors who are engaged, affected public (who change into effectors) and effectors who have high decision-making power, and affected actors who are not engaged in the process intentionally or unintentionally.

When comparing the two cases, Zomerhofkwartier casus has more “effectors” than the Kogerveldwijk, since during the participation process more affected actors were given a say.

### Preconditions

Based on the analysis and case comparison, several key findings can be given:

- Establishing an identity is dependent on the (financial/facilitating) support from effectors, time and the social-economic status of the community members;
- To establish an identity in a development process, it is important to make ideas concrete to create mutual understanding between affected public;
- Trust is built by transparency in sharing information, creating knowledge of cultural differences, and by a feeling of being heard;
- Administrators willingness for participation is dependent on the profit the effectors will gain;
- Sufficient time and budget are dependent on the willingness of the affected public to involve, which is related to the social-economic status of the affected public.

- Sufficient time and budget are dependent on representatives since they can shorten the lines of communication with the affected public and stimulate the affected willingness to participate.

#### Social sustainability

For each of the social sustainability concepts, comparisons are made between the two cases. The following summarised conclusions are given to establish social sustainable participation processes:

- How much the affected public can make decisions indicates how open dialogues were. This influences the level of social equity;
- Social equity is also related to the willingness of the affected public to participate since only input from the effectors will not increase the number of participating affected;
- The willingness of affected public to participate is dependent on language barriers, cultural differences and their own (more) urgent problems; this influences the social inclusion of an area chosen by the affected themselves;
- Clear communication on expectations is needed to improve informal contact between affected and effectors for social capital;
- Intense collaboration with area management and representatives is crucial for social capital because it presents mutual help and support;
- Social cohesion is only increased when there is mutual help and support among the affected public;
- Liveliness and social-economic status of affected public affect the desire to stay in the neighbourhood and thus the social cohesion;
- Social-economic status of affected public influences the willingness to represent the neighbourhood and thus the social cohesion;
- Safety is dependent on the liveliness and hence the involvement of the affected public.

#### Conclusions

This research concludes by answering the three sub-questions related to the main question.

##### **(1) How are the affected public actors involved in the participation process for it to become meaningful?**

Three conclusions were made regarding the usage of communicative planning approaches, which contribute to the meaningfulness of the participation process. First of all, it is essential for both parties to co-create on equal grounds at the start of the process without any predetermination of the further process. Secondly, a conclusion for the usage of communicative planning tools is that they can be complementary to each other in their function to engage the public. Lastly, a selection of communicative planning instruments can be combined during the participation process if there is clear communication to the public why a certain instrument is chosen and what is expected from them.

##### **(2) To what extent do preconditions contribute to meaningful participation processes in mixed-use areas?**

Two preconditions were added to the preconditions from literature. These preconditions were retrieved from the case study analysis: observed mutual help and affected public's willingness to participate.

The preconditions derived from literature are compared per case, and the conclusions indicate to what extent the preconditions were met in both cases and which enablers are needed to meet the preconditions. For an identity, support from the effectors is needed to gain trust and acknowledge social-



economic differences. Also, ideas need to be made concrete to discuss them with the affected public. Trust is only built when there is transparency in sharing information, understanding for each other’s cultural differences and a feeling of being heard. The administrators’ willingness for participation is dependent on the social and/or financial profit they would gain. If there is sufficient budget and time depends on the input from representatives as well as the social-economic status of the public.

**(3) How does public participation contribute to social sustainability?**

The social sustainability concepts derived from literature are analysed, compared with each other and with the theory. To the sub-question how public participation contributes to social sustainability, several aspects are identified per social sustainability concept.

Social equity is reached when there is openness/transparency of dialogues and a certain level of willingness of the affected public. Social inclusion mainly depends on the willingness of the affected public. Social capital is also dependent on the transparency within communication and the collaboration between representatives and the affected public. For social cohesion, it is crucial that help and support are mutual as well as observed. Also, liveliness in the area influences social cohesion. A direct relation between participation processes and safety was not in all interviewees supported. However, some state that safety can be influenced by the liveliness of areas and active involvement of the affected public.

With the insights of the sub-questions, the main question can be answered: **How can a meaningful public participation process be achieved in mixed-use (re)developments and thereby become socially sustainable?**

The first sub-question provides insight into the used communicative planning approaches and how the actors were involved. Therefore, this gives a broader perspective and context of the research. The second and third sub-questions answer to what extent the social sustainability concepts and preconditions, derived from literature, match in practice. Figure D illustrates how these aspects are connected to each other.

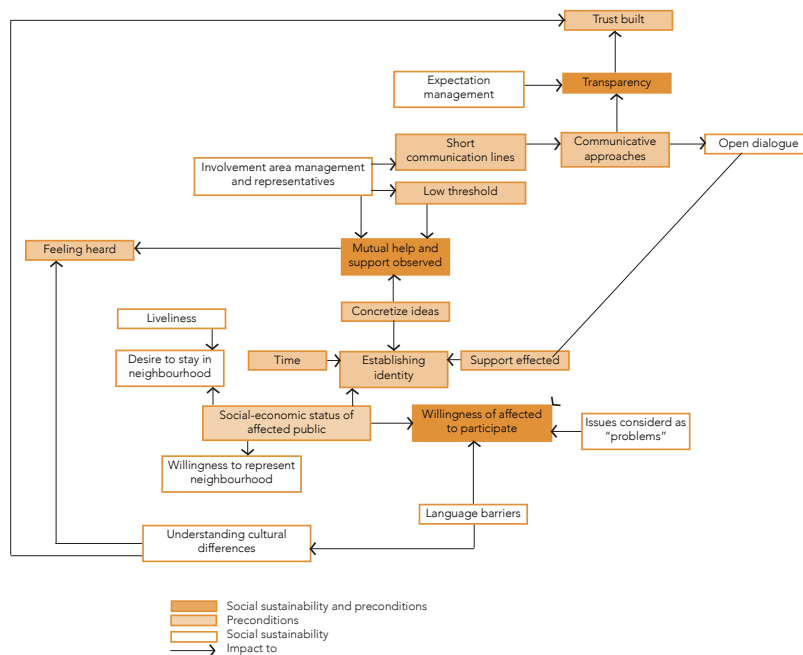


Figure D. Aspects of social sustainability and preconditions regarding communicative planning.

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In conclusion, to establish participation processes which are meaningful and socially sustainable, three different aspects need to be achieved:

- (1) Mutual help needs to be observed
- (2) The willingness of the affected public needs to be improved
- (3) Transparency through an open dialogue

#### Recommendations

The new Environmental and Planning Act is structured according to four steps: initiate, plan, realisation and evaluation. In order to achieve social meaningful participation processes, the three different aspects from the conclusion need to be considered and implemented. A possible design for implementation is illustrated in figure E.

#### Discussion

Although the results indicate how to achieve a social meaningful participation process, there are some limitations to the research. The empirical data for both social sustainability and preconditions were retrieved by the same questions during the interviews. These measurements were clearly described together with the differences in processing the data. Also, some limitations are related to the theoretical part, which differed from the practice. An example is the definition for affected public and effectors. To conclude, this research focused on the relation between administrators and local businesses/inhabitants. The impact of market parties was not considered, although this could have influenced the processes.



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# INTRODUCTION



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## 1. Introduction

Where the focus has been mainly concentrated on the economic and physical aspect of sustainability, a trend is observed that social sustainability aspects of mixed developments are becoming more critical (Chan et al., 2019). Since the economic crisis in 2008, there is a shift towards incorporating more public demands in the planning process to create developments for current and future generations and thus to create more sustainable developments. This ambition is observed as well in policy documents of multiple municipalities in the Netherlands, where they aim for sustainable social values such as safety, healthy environment and inclusion (Gemeente Rotterdam, 2018; Gemeente Amsterdam, 2018).

It is essential to create a better understanding of social and meaningful participation processes because in practice is observed that administrators are not aware of the crucial elements, such as in the participation process of the Hembrugterrein.

The Hembrugterrein in Zaandam is a previous military-industrial area. In April 2018 the area was sold to a private developer and plans were defined to redevelop the area into a mixed-use area to locate now and future businesses, 1000 condominiums and places for leisure. Besides, the option was offered to the currently located businesses to become owners of their (renovated) workplace(s) by signing a sales agreement with the government directly (Gemeente Zaanstad, n.d.).

Although the location of Hembrugterrein is not in use as an industrial area anymore, the surrounded areas do have an industrial function. During the early development of the plan, Havenbedrijf Amsterdam (business maintaining port-activities) already expressed their criticism on the lack of communication and negotiation to the organisation of the Hembrugterrein and involved municipalities. Criticism was expressed even though participation-meetings were organised (Clahsen, 2019).

In January 2019, Havenbedrijf Amsterdam objected the realisation of 1000 condominiums and thereby preventing that their industrial activities would cause noise pollution to the future residents. The Council of State expressed its opinion in favour of Havenbedrijf Amsterdam and therefore, the complete zoning-plan of the Hembrugterrein was annulled.

The situation of the Hembrugterrein shows that the communication between the involved parties was inadequate because parties with diverse interests were not involved in the planning process, and advice was not taken into account. From 2021, the new Environmental and Planning law will be introduced in the Netherlands, obliging all urban development processes to involve participation from an early stage. It is questionable how this law can be implemented successfully, as when it is not completely clear how affected the public can be involved in a socially meaningful way.



### 1.1. Problem statement

It is assumed that mixed-use (re)developments tend to improve the social sustainability of areas by potentially increasing the sense of belonging, improve the welfare and the physical environment for its stakeholders and users with different interests (Heurkens, 2012). When redeveloping certain areas from 2021, participation will be a mandatory step in the planning process due to the implementation of the new Environmental and Planning Act. However, this process of participation can be very time-consuming and expensive. This can result in the situation that administrators are not fully willing for the affected public to participate, and they tend to see participation as a somewhat procedural process than meaningful. For it to be meaningful, a broader look should be given on the communication approach of administrators and/or the affected public. It is crucial to understand the features of meaningful participation before it can be applied in urban development processes (Solitare, 2005; Irvan & Stansbury, 2004).

The participation process is a possible means to contribute to social sustainability because it is a process that should involve the actors who are affected by these developments. Also, social sustainability and participation processes tend to improve the living conditions for the affected public. This could mean that there is a relation between participation processes and social sustainability. However, the link between social sustainability and the participation process in mixed-use areas is still missing and not elaborated. (Turnhout et al., 2010; Heurkens, 2012).

Therefore, the main question of this research is: How can a meaningful public participation process be achieved in mixed-use (re)developments and thereby become socially sustainable?

### 1.2. Relevance

#### *Societal*

The implementation of the new Environmental and Planning Act by 2021 results in a necessity to improve our understanding of public participation and its relationship with social sustainability. At the moment, municipal ambitions emphasise the importance of sustainable social areas. Public participation can be a method to enhance the social sustainability of these (re)developments.

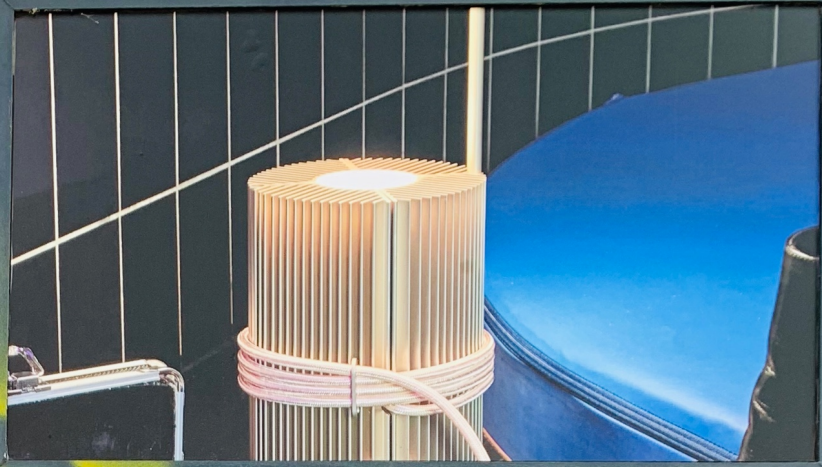
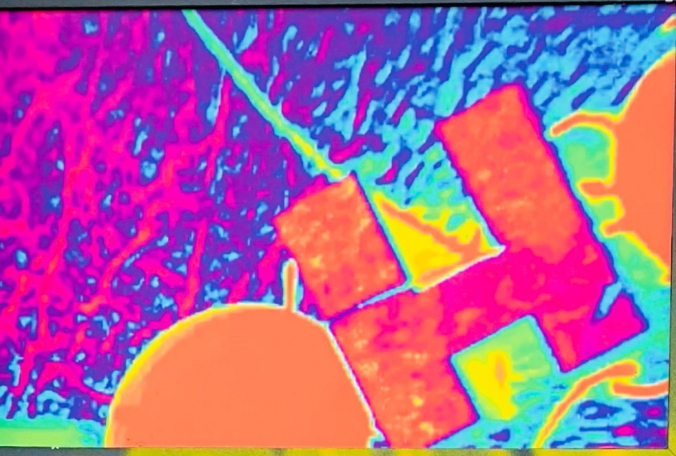
The results of this research can contribute to the practical understanding what a meaningful participation process is, and an explorative study can potentially indicate what the crucial elements are to establish social meaningful participation processes in the context of the new Environmental and Planning Act.

#### *Scientific*

The findings of this research contribute to the scientific relevance by describing social sustainability in mixed-use areas since a lot of scientific researches concentrates solely on residential areas. Besides, there are many definitions of social sustainability. However, this research will try to find a definition specific for planning processes regarding the participation process.

From a theoretical perspective, the results of this research can contribute to understanding the effect of participation processes on social sustainability. Therefore, it can give a further perspective on the definition of social sustainability in mixed-use redevelopments.





ALSTO

THEORY





## 2. Theory

This research focuses on public participation processes during mixed-use redevelopments. The aim is to find out how meaningful public participation can be measured and how this can contribute to social sustainability. Firstly, the social sustainability themes will be defined and linked with public participation. Afterwards, the public planning process will be elaborated to find an answer on how to measure meaningfulness in public participation processes. Then, the context (mixed-use areas) will be explained, together with the actors, who will be affected by these redevelopments. Lastly, the complexity is described between meaningful participation in mixed-use areas and the (mixed) involved actors with different interests. This indicates several preconditions for meaningful participation in mixed-use areas.

### 2.1. Social sustainability values

#### 2.1.1. Concepts defined of social sustainability

Sustainability exists in three mutually dependent principles: economic, social and environmental principles (Elkington, 1997). The definition of social sustainability remains broad, and there is a considerable amount of interpretations. An interpretation is that social sustainability refers to “*the improvement and maintenance of the well-being of current and future generations, for example through the equal distribution of resources*” (Chiu, 2003) or “*by recognising every person’s right to belong to her or his community and participate as a valued member of it*” (Castillo et al., 2007). According to McKenzie (2004), the definitions given by literature are mostly too vague and cannot be interrelated with all the aspects given by various researchers. Also, an attempt is made by various researchers to link social sustainability to a specific scope. One of the most often used scopes is ‘residential area’, where the focus is put on the satisfaction level of current living residents, rather than on the planning process that can influence it (Chavis & Wanderman, 1990). Rashidfarokhi et al., (2018), however, describes several concepts within social sustainability that are relevant to planning processes: social equity, social inclusion, community participation, social capital, safety and social cohesion. The concepts relate to each other and describe social sustainability on a process level, as on a neighbourhood level. Therefore, for this research, these concepts are used to define social sustainability. Firstly, these concepts will be explained below.

#### Social equity

The definition of social equity is part of the meaning of social justice (UN, 2006). Social justice has emerged in the mid-nineteenth century from Europe. By the United Nations, justice is tied to the concepts of social and economic equity and in more specific to three critical domains: equality of rights, equality of opportunities and equity in living conditions (Bales, 2018). The equality of rights refers to freedom and the opportunity to be free and think differently based on language, religion, colour etc. The equality of opportunities usually refers to economic justice and support from the government’s perspective for health, education and housing. The equity of living conditions refers to resources, services and facilities. Social and economic equity are intertwined, but social equity mainly focuses on the domain of equality of rights (UN, 2006).

Social equity forms the basis of social inclusion (DESA, 2009; Rashidfarokhi et al., 2018).

### Social inclusion

The definition of social inclusion refers to the accessibility and acceptance of a range of citizen rights. The definition of social inclusion is often described as the opposite of social exclusion. In that case, people do not have equal access to resources. There are unequal participation and a denial of opportunities (Shortall, 2008; UN, 2019). Social inclusion mainly focuses on improving this process for people who are disadvantaged based on sex, disability, race, ethnicity, religion, age and economic/social/financial status and aims to create a social mixture in which all different backgrounds are represented (UN, 2019; Rashidfarokhi et al., 2018). In planning processes, social inclusion can be a goal to ensure the equality of its citizens since there is a struggle with managing diversity, inclusion and participation with marginalised groups of citizens (Fincher & Iveson, 2008; Kohon, 2018). By enhancing the social inclusion, the opportunity to participate in collective community initiatives increases among citizens (Rashidfarokhi et al., 2018).

### Community participation

A community is referred to a group of people who are living in a particular area with a shared interest and/or background (Oxford Dictionary, n.d.). When involving communities, considerable knowledge, empathy, pride, and skills can be taken into account to contribute to the decision-making process. People cannot be forced to participate, but the option to participate can be seen as a fundamental human right and principle of democracy (European Commission, n.d.). Necessary for community participation is the sense of belonging/ community sense and the matter of trust. According to Chavis & Wanderman (1990), three components illustrate the sense of community: (1) perception of the community environment, (2) social relations within a neighbourhood, (3) perceived control and empowerment within the community.

The perception of community environment is either perceived more positive or more negative by an individual and focuses on specific aspects within the environment, e.g. troubled youth on the streets, gathering places, playgrounds, litter etc.

Social relations within a neighbourhood refer to positive interactions between individuals that support each other. In that way, social networks increase, and it helps to regulate social behaviour and social control.

Perceived control and empowerment refer to a process in which individuals take control over their own decisions. It helps to gain experience in identifying resources and developing strategies to achieve goals.

Based on Creighton (2005), participation is seen as a continuum process, and four different categories can be distinguished: inform the community, listen to the community, engage in problem-solving and develop agreements. Thereby, a distinction is made between “effectors” and “affected”. Based on Solitare (2005), effectors are actors who have a certain level of decision-making power, where affected are actors who will be affected by the (re)development and have considerably low decision-making power. Unequal power distributions between effectors and the affected public can be one of the reasons why community participation is seen as a somewhat procedural instead of meaningful. This can have different reasons based on financial abilities and/or time limitations. In these cases, potentially only the first two categories (inform and listen) are taken into account, and the community does not get involved in the decision making (Kreissl et al., 2015).

### Social capital

By the OECD (2007, p.103), social capital is defined as ‘*networks together with shared norms, values and understandings that facilitate co-operation within or among groups.*’ Therefore, networks exist out of shared norms, values and understandings, and they enhance trust in order to collaborate and create social cohesion. Three different network-forms are bonds, bridges and linkages. Bonds are social relationships with people who share the same identity (family, friends), bridges are relationships with broader networks who do not particularly share the same identity (colleagues). Linkages are social relationships with people who have lower/higher decision-making power (institutions, decision-makers) (Rashidfarokhi et al., 2018). In planning processes, an aim for administrators is to strengthen social relationships in order to have productive benefits, such as reciprocal trust and effective collaboration.

### Social cohesion

Based on the article of Fonseca et al. (2018), a more concrete definition is given for social cohesion: it is believed that social cohesion is an ongoing process between the individual, the community and the governmental institutions. On the level of the individual, the willingness to belong to a society/community/group with the same shared norms and values of the individual is needed. The individual only tends to participate if it feels cohesive in a group with compatible norms and values, but also if the regulations, norms and laws allow the individual to participate.

On the level of community, the shared norms and values within networks form the social environment. Moreover, the ties of these relationships within the community are linked to (mutual) trust, support and social capital. On the level of institutions, with social cohesion, governance of conflict management and decision making is supported, e.g. reducing the inequalities of exclusion (Maxwell 1996; Fonseca et al., 2018). Responsibility of the governmental institutions together with the society, existing form individuals and communities, for the environment are identified by trust and social stability. To summarise, Fonseca et al. (2018, p. 246) give the following definition of social cohesion: “*The ongoing process of developing well-being, sense of belonging, and voluntary social participation of the members of society, while developing communities that tolerate and promote a multiplicity of values and cultures, and granting at the same time equal rights and opportunities in society.*”

### Safety

A safe community has the freedom to express differently than others without fear or threats. Therefore, it can contribute to other social concepts such as social cohesion. People should feel safe when participating in the community and their social relations. Some of the described elements of the concepts above on social sustainability are also highly related to safety, e.g. contributing to a sense of belonging (similar to community participation), enhancing trust and social cohesion (Dempsey et al., 2011; Rashidfarokhi et al., 2018). As Dempsey (2011) describes safety: “*In a neighbourhood free from crime and disorder, residents can feel secure in their social interactions with other people and participation in community activities*”. Thus, it can be stated that there are two different parts of safety: expressing freely and neighbourhoods free from crime and disorder. The first part is highly related to social equity, where the focus has been put on also the possibility to be free and think differently.

#### 2.1.2. Public participation & social sustainability

As described, social sustainability in planning processes can be defined into several concepts: social equity, social inclusion, community participation,



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social cohesion and safety. Based on a literature study, the characteristics of these concepts represent different values of social sustainability. It is remarkable that some characteristics are overlapping and therefore, the concepts are partly related to each other in a way that they tend to influence each other.

First, when looked at the description of community participation, the concepts 'sense of belonging', 'trust', 'power distribution' and the 'financial/time ability' can be distinguished as essential preconditions. These will be further elaborated in the upcoming chapters. The concept of community participation is similar to public participation. The difference is that community participation focuses on a community. In this research, the community is not yet defined due to the context of mixed-use areas. By "public" all the affected actors of the (re)development are taken into account. When referring to "community", only a group of individuals are meant. Without assuming that the affected public is a community, the process will be described as public participation. In both participation processes, the underlying social networks and relationships are necessary to understand before participation is effective (Holman & Rydin, 2013).

Secondly, the question is how public participation can contribute to social sustainability. As seen in figure 1 and appendix I, the concepts of social sustainability are related to preconditions for community participation and specific variables. These variables are the translation of values of the social sustainability concepts in participation processes. Although the concepts have multiple similar (overlapping) values, the variables in appendix I are focused on their main value(s). Public participation can contribute to social equity because people can get a say in decision-making making and therefore, fight for their rights, opportunities and living conditions. E.g. the main variable of the above-described values of social equity is the equal distribution of power by transparency during the process. By including everybody who is affected in the process, it forms as a basis for social inclusion, and therefore, representation and diversity are the main variables for social inclusion. A public participation process is an open process of discussion of interests before decisions are made, which links people from different networks (e.g. inhabitants as a network with a network of administrators) and creates social capital. However, it also links people from the same network with the same interests (e.g. a goal to protect the neighbourhood). It enables these people to unite in the participation process and create social cohesion. Thus, for social capital and social cohesion, the variable of interaction is essential, where for social cohesion also the attachment & belonging in the community forms a critical variable. Lastly, participation processes can increase the feeling of security to speak freely because of a transparent/open process and/or there is no fear from the neighbourhood to have a different opinion (crime). Since the variable of equal distribution is discussed in social equity, the concept of safety will focus on security within the neighbourhood.

Concept	Main value	Variable
<b>Social equity</b>	The influence of the public in the decision-making process, contributes to their rights, opportunities and living conditions.	- Equal distribution/ transparency
<b>Social inclusion</b>	Underrepresented individuals are represented during participation process	- Representation - Diversity
<b>Social capital</b>	The social relations within professional networks are strengthened by sharing knowledge during the process	- Interaction
<b>Social cohesion</b>	- The social connection in the neighbourhood is strengthened - Public feels more connected to the neighborhood	- Interaction - Attachment & belonging
<b>Safety</b>	Public feels secure to express opinion and to be in neighbourhood	- Security

Figure 1. Public affected main value and variable(s) during the participation process related to social sustainability that forms the basis of the variable(s) (Own. ill).

## 2.2. Meaningful public participation

### 2.2.1. Planning process

Processes of redeveloping urban areas are considered to be urban planning processes. It is a process to improve the physical structure and economy of areas by investing in the built environment (Weaver, 2001). In the Dutch context, Heurkens (2012) distinguishes three different ways of planning: permitted planning, development planning and coalition planning (fig. 2). Since the end of the Second World War in 1945, spatial planning became mainly a government-led system due to the urgent need for housing to rebuild cities.

At the start of the 1970s, citizens became more critical towards this government-led control, hierarchy and power, which led to a shift towards more market-led planning. The political context changed, resulting in more market mechanisms in urban planning, e.g. privatisation of public transport and formations of public-private partnerships. Also, the government had the ambition to develop internationally renowned urban areas and therefore, private investments and their participation were needed to realise this ambition. The role of the national government shifted from an initiator-role towards a more director and/or participant-role, where the public bodies became a development partner and/or a shareholder (Wolting, 2006; Heurkens, 2012).

With the start of the economic crisis in 2008, Dutch urban development projects became troubled due to financial difficulties from private and public actors. As a result, the acknowledgement for sustainability arose to meet the demands for then and future generations, as well to ensure financial profit. This resulted in two changes: a more private-led urban development process and developments based on (civic) demand in a less speculative way, rather more future-proof. Private actors could bear the financial risks, while the public actor takes in a facilitative public role. The civic and private actors would form the initiators based on local demand: coalition planning (Heurkens, 2012).

In literature, strategic planning is another definition of coalition planning. This way of planning addresses the importance of sustainability as well in an economic, social and environmental way. It has been increasingly more adapted since the 1990s in Europe (Hersperger et al., 2019). The process involves the state, the market and civic actors to combine forces in different settings (Private-public-partnerships) and thereby prepare strategic plans to manage spatial change (Albrechts et al., 2017; Hersperger, 2019). De Graaf and Dewulf (2010) state that the characteristics of strategic planning are as follows: (1) recognition that the environment is continually changing and needs attention, (2) need for stakeholder participation during an interactive development process with them, (3) closing the gap between plan-making and staged implementation. This again, makes clear that the focus is put on the (civic) demand and sustainable solutions. Although strategic planning has received much attention, this shift from a bureaucratic approach has not been adopted much in the Netherlands until 2010.



Urban governance	1980 - 2000	2000-2010	2010>
Planning concept	Permitted planning	Development planning	Coalition planning
Power position	State	State & market	Market & civic society
Public role	Initiator	Director/participant	Facilitator
Characteristics	Post-war developments	Market mechanism to increase capital	Demand-driven & sustainability

Figure 2. Process of the Dutch urban governance (own ill. based on Private Sector-led Urban Development Projects [dissertation] (p. 140), by E. Heurkens, 2012, Delft: Delft University of Technology, Faculty of Architecture, Department of Real Estate & Housing)

### 2.2.2. (Public) participation process

As described in the previous paragraph, there has been a shift towards sustainability and the public demands in collaboration with market parties. This is also stated by Edelenbos et al. (2001), who confirms that policymaking is not a one-way, top-down approach anymore, but known for the interactive collaboration between public institutions, civic society and market parties. The public participation process is seen as a way to improve planning processes since these processes should involve the actors who are affected by them (Turnhout et al., 2010). Edelenbos et al. (2001) compare public planning with interactive governance during policymaking. This means that public authorities need to involve other public administrators, citizens, businesses and other stakeholders to develop policies communicatively.

Solitare (2005) makes a distinct division between the affected public and the effectors. The affected public is residents, organisations and businesses with low decision-making power, who will be affected by the (re)developments. The effectors do have a certain level of decision-making power such as authorities, private business sector (financial investors) and (re)development organisations.

The ladder of citizen participation by Arnstein (1969) is one of the earliest models of participation and is still used for policymaking. She distinguishes eight different levels of participation, which are directly related to the matter of power of the participant in the end-product and relation to the public authorities (Arnstein, 1969; Callahan, 2007). The bottom two rungs are non-participation, and from *informing* to *placation*, a certain level of tokenism can be measured. The upper three rungs are characterising a certain level of citizen/participant power (fig. 3).

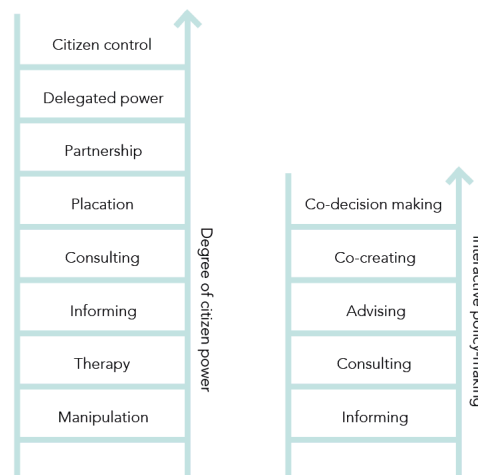


Figure 3. Left Arnstein's traditional framework, right Dutch adjusted framework on the ladder of participation by Arnstein (own ill., adapted from Arnstein, 1969, p. 217; Edelenbos & Monnikhof, 2001, p. 18)

De Vries (2019) states that the usage of the participation ladder is outdated and a disadvantage when participation is enhanced. Firstly, the ladders are defined by public authorities without the involvement of citizens. Thus the focus concentrates mainly on the role of the public bodies instead of the other involved actors. Secondly, the ladder suggests that one of the instruments can be chosen and implemented by the local authority, while the process of participation is much more complicated. It restricts the governmental bodies in their flexibility, as well as the citizens in their (complex) demands. Lastly, room for initiatives is limited due to the strict rungs of the ladder. Before the development process starts, the maximum involvement is predetermined.

In the Dutch context, an adjusted version of the framework is made with the most often used instruments that comply with the ladder of Arnstein (According to Edelenbos et al. (2001; 2006). The Dutch participation ladder consists of five rungs of instruments based on the interaction of actors in policymaking: co-decision making, co-creating, advising, consulting and informing.

- Informing: Administrators inform the participants. The participants do not become part of the decision-making process;
- Consulting: Administrators involve participants in a conversation. The results of conversations are not always taken into account when decisions are made;
- Advising: Administrators involve participants in the process as they can address problems and generate ideas. Public administrators can incorporate the ideas into decisions, but are not obliged;
- Co-creating: Administrators and participants together agree on an issue and collaboratively search for solutions. If preconditions are met, solutions will be implemented policies by the public administrators;
- Co-decision making: Participants are the ones making the decision. The administrators only have a facilitating/facilitating role, and the public administrators implement the results of the decisions.

The highest rung of the ladder suggests that participation still involves a public administrative party due to laws and regulations. However, the position of the public role can change, as explained with the shift within the planning process (fig. 1). The different involved actors within a participation process will be more elaborated in the following chapter.

Creighton (2005) states that public participation is a continuum that covers different phases in the process, including decision-making (fig. 4). Thereby, it is possible to have several participation processes within the (re)development process. The phases of the participation process by Creighton are related to the rungs of the participation process, but the focus differs in the rungs. Whether or not the outcomes of the problem-solving process will be implemented, depends on (collaboration with) the administrators (develop agreements). Also, whereas in consulting and advising, the (public) administrators initiate to involve participants in the process, in co-creation, both administrators as participants can initiate (fig. 5). Only in the highest four rungs, participants are involved in the decision-making and engaged in problem-solving. E.g. consultation can be seen as a form of engaging the affected public. Therefore, only these four rungs are

considered as participation. Co-decision is a bottom-up approach, and the initiatives are taken by participants, where after the public administrators adopted the decisions. In this case, co-decision is not seen as public participation, rather a form of State participation.

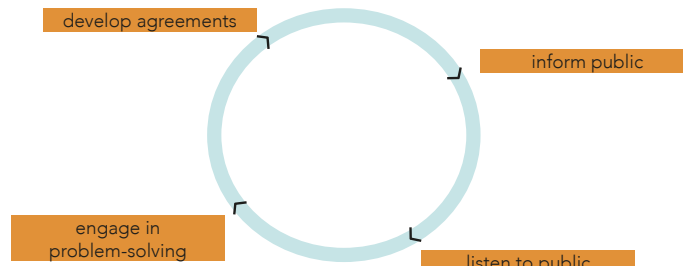


Figure 4. Continuum of public participation (own ill., adapted from Creighton, 2005, p. 9)

	Consulting	Advising	Co-creation	Co-decision
<b>Phase involvement</b>	Late: response participants to the outcomes	Early: participants adress issues in collaboration	Early: participants adress issues in collaboration	Early: participants determine process and outcome
<b>Problem initiator</b>	Administrators	Administrators	Administrators and/or participants	Participants
<b>Implementation outcomes</b>	Non-binding: not obliged to implement outcomes	Semi-binding: not obliged to implement if preconditions are not met	Binding: outcomes are implemented without changes	Binding: no need to be confirmed by administrators
<b>Preconditions outcomes</b>	Predetermined by administrators	Criteria to test outcomes	Determined during process in collaboration	Determined during process by participants
<b>Techniques</b>	Focus group Public meetings Surveys	Workshops Referendum	Advisory committies Consensus building Charette	Citizen juries Ballots

Figure 5. Participation instruments in Dutch context (Own ill. Based on Edelenbos & Monnikhof, 1998; Edelenbos, 2006; IAP2, n.d.)

### 2.2.3. Meaningfulness public participation

In the foregoing paragraphs, the planning process and participation are explained according to the methods of Creighton and Edelenbos. However, there are different public participation instruments described in the literature, and in policies, the participation process by these instruments do not automatically contribute to the meaningfulness of its involved actors. Therefore, the communication between actors by using these methods are as important as the tools themselves.

First, the definition of meaningful is determined from literature: the active interaction between the initiators and participants, who will be affected by the decision-making (Susskind et al., 1999; Turnhout et al., 2010), where knowledge is exchanged and acknowledged to represent multiple views from both participants and initiators, which together form the basis for an inclusive decision (Clarke, 2008; Beierle, 1999; Beierle & Konisky, 2000; Julian et al., 1997; Hoffman, 1989; Piller, 1991; Innes, 2002)

The definition of meaningful participation makes clear that the focus of meaningfulness is related to the communication with affected actors during the process. As described in the previous paragraph, the participation process is seen as a continuum (Creighton, 2005) where the affected public is informed in the first place on a particular issue and is able to address other related issues as well. A critical step afterwards is that the public is taken seriously and listened to by the administrators. Then, the affected public can



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engage with a participation instrument where they either consult, advice or co-create on a potential decision. In these participation instruments, different communicative tools can be used such as charettes, advisory boards etc. The affected public can influence the decisions, and they are involved in the process, which are conditions for meaningful participation as described in the definition. Next, the agreements are defined, which can be measured whether the input of the process by the affected are related to the outcomes and implementation of the final product by the effectors. This does not mean that all the ideas from the affected should have been adapted for it to be meaningful participation. However, the effectors should be able to explain well to the affected during the process why specific ideas, advice and/or addressed issues are/ are not taken into account to create mutual understanding. Then, an effective dialogue can start in which knowledge is still exchanged that can lead to a more inclusive decision made by the effectors with meaningful direct/indirect participation of the affected (Glicken, 2001; O'Hara, 2001; Irvan & Stansbury, 2004). The communication determines how successful the participation process was with the affected public and therefore, how meaningful it was. Therefore, it is essential to state that matter of meaningfulness is highly dependent on the process, which is based on the communication between actors.

### 2.3. Mixed-use area redevelopments

The affected public differs in every development; however, in this research, the focus will be on mixed-use area redevelopments. First, these areas will be described. Then there will be elaborated on the affected public in these developments. To conclude, the complexity of communicative planning with the affected public in mixed-use areas is described.

#### 2.3.1. Definition mixed-use area redevelopment

Urban area development is seen as a practice in which government bodies, private parties and other involved actors collaboratively aim to implement spatial projects, developed as a result of an integration of planning activities and spatial investment (Daamen, 2010). Redevelopments (re-) indicate that the urban situation tends to be improved by actors who cooperate and invest in the area and therefore, can make changes to the land use of functions (Heurkens, 2012). Sustainability is divided into three dimensions: social, economic, environmental (Elkington, 1997). In many kinds of research, the focus has been mainly concentrated on the economic and environmental aspect of sustainability within redevelopments. However, since the 1990s, there has been a shift towards understanding the importance of including more social values (Chan et al., 2019). It is assumed that redevelopments tend to contribute in a socially sustainable way to the area by potentially increasing the sense of belonging to the area, improve the welfare of local residents and the physical environment and thus improve the social cohesion of an area. Often, the focus of these social values has been researched on mono-functional, residential redevelopments (Heurkens, 2012).

First, the origin of the mixed-use areas will be described. The CIAM (Congrès Internationaux d'Architecture Moderne) has had a significant influence in the planning processes of European and American countries after the Second World War. They believed in the principles of functionality, where the four main functions of the city should be separated (housing, employment, infrastructure, recreation). As a reaction to this mono-functional planning process, area developments with a mixture of the four main functions have become an essential way of planning in the last decades (Hoppenbrouwer & Louw, 2007). Recent years, in the Netherlands as well, different areas have been transformed into mixed-use areas: an urban development that contains a high level of different levels of functions and believes in enhancing the urban sustainability due to the variety of stakeholders and economic benefit (Miller & Miller, 2003).

This possible mix of different functions has certain limitations addressed from the governmental perspective. Whether or not housing can be added to the mix of functions depends on the environmental classification of the industries, designed by the Association of Dutch Municipalities (VNG). Important for developing mixed-use areas is that the functions of housing and industries do not hinder each other. Therefore, the involvement of the actors is essential to identify problems, demands, questions and find possibilities to create a physically healthy environment (Pols et al., 2009; NVG, 2009).

When looking at the social context of actors, there are challenges of mixed-use areas that can be found (Wardner, 2014). These are shortly summarised below, and in the next paragraph, it will be further discussed per actor.

The positive side on social effects of mixed-use areas is the opportunity it gives to improve the quality and attractiveness of areas by, e.g. increasing the liveliness and permanent movement during the day and therefore, achieve it may create safer areas. Also, due to the reduced distances, social interaction

and contact can be strengthened, and social links and relationships can be created (Hoppenbrouwer & Louw, 2007; Nabil & Eldayem, 2015).

The negative social effects are related to the demands of the end-users (residential/commercial). Attracting more movement can cause an increase in the population density that negatively influences the private zones in residential areas and may affect the rate of violence. Also, it should be acknowledged that certain types of activities demand to be separated from others, e.g. heavy industrial in residential areas do not particular mix well (Nabil & Eldayem, 2015).

### 2.3.2. Social context: involved actors and relationships

Communities within mixed-use areas differ from residential areas based on their function mixture. In general, these different roles can be distinguished: the residential and commercial end-users who demand space, the developers, financial institutions and investors that supply space and space regulators: planners and policymakers (Wardner, 2014). As described in the previous chapter, an urban planning process is an interaction between the civic society, market and state. In this research, the focus will be on the participation processes with the affected public: the commercial/residential end-users. All processes differ from each other, and so does the role/relationships of the actors. Some actors have multiple roles based on their resources and interests, as is seen in figures below (Wolting, 2006).

To implement the outcomes, the critical part for public administrators is to find a balance between the values of equity, fairness and participation, but also consider what is responsive and efficient. Market administrators tend to focus mainly on economic effectiveness and overlook the democratic values of society (Callahan, 2007).

Role of actor	Residential end-user	Commercial end-user	Investor	Developer	Financial institution	Urban planner	Policy maker
	Affected public		Effectors				
	- Community representatives - Inhabitants - Community organisations	- Local businesses - (Customers)	- Non-institutional investor - Municipality - National Government	- Municipality - Commercial companies for development - Housing association	- Funds - Insurance companies - Banks	- Municipality - Architects - Engineers	- Municipality - National government

Figure 6. Roles for potential actors in the planning process (own ill.)

Involvement	Potential important resources	Interest in neighbourhood
<b>Inhabitants</b>	knowledge / (mobilizing) people	lively, attractive, safe to live and recreate
<b>Businesses</b>	knowledge / (mobilizing) people	lively, attractive, safe to work increasing financial profit (commercial)
<b>Civic organisations</b>	knowledge / (mobilizing) people	lively, attractive, safe to work/live/recreate
<b>Housing associations</b>	knowledge / network / land-owner / financial resources	lively, attractive, safe to live and recreate for social tenants increasing financial profit (social)
<b>Investor</b>	financial resources / land-owner	financial profit for selling land/housing
<b>Developer</b>	financial resources / network / knowledge / land-owner	financial profit for selling land/housing
<b>National Government</b>	laws & regulations / knowledge / financial resources	lively, attractive, safe to work/live/recreate and balance with other neighbourhoods financial profit for selling land/housing
<b>Municipality</b>	permits / land-use plan / financial resources	lively, attractive, safe to work/live/recreate and balance with other neighbourhoods financial profit for selling land/housing

Figure 7. Potential resources and interest of effectors and affected actors (own ill.)



To create a better understanding of the affected public of mixed-use areas, their role(s) in the planning process and their potential relation with other actors will be elaborated in this chapter. The local inhabitants (residential end-users) are distinguished from the local businesses (commercial end-users).

#### Local (future) inhabitants

The local inhabitants are usually unfamiliar with engaging in formal politics; however, they are essential in the planning process. Their influence on other inhabitants is significant since they usually are part of the community and retain social relations with the neighbourhood. Although in the first place, inhabitants do not have authority power, their social power in the form of relations and local knowledge is significant and mainly based on a trust-relation (Heurkens, 2012). If inhabitants feel empowered to make changes in their neighbourhood, their initiatives can lead to a collaboration with the market and (local) public authority

A mixture of functions can lead to the improvement/disadvantage of the housing price since it is dependent on the quality of the environment. In general, there is a demand for spacious housing, in low-density spaces and green areas (Wardner, 2014; Pols et al., 2009). However, there are popular high densified mixed-use areas where these demands are not met, but the satisfaction-level is high. Based on a research by Pols et al. (2009), the factors of liveliness (composition of population, social cohesion, public space, safety, amenities, available housing) of neighbourhoods are set out against the extent of mixed functions. This resulted in a higher number of amenities, safety and public space in mixed-use areas. Also, the composition of population is more in balance in these areas, and they tend to have an equal liveliness level compared to residential areas.

Amenities and infrastructure play an essential role in the satisfaction-level of (future) inhabitants as well. Not only do they impact the value of the housing assets, as well do they contribute to the liveliness. As described above, the level of liveliness eventually determines the matter of satisfaction for inhabitants, and in the planning process, these should be taken into account.

To identify the different types of inhabitants, the traditional household life-cycle model of Murphey and Staples (1979) is used. Some of the stages are clustered to create a more comprehensive overview of the different households. “Young singles” are considered as starters (and students), as well as the “Young Married without children”. The “Young Married with Children”, “Middle-Aged with Children” are considered as household families. Then, the “Middle-Aged Married Without Dependent Children” are seen as the empty nesters. The “Older Married” and “Older Unmarried” are categorised as elderly.

The types of different households can be set out against the income-groups defined by Nibud (2019) based on the taxes/year. This, because the income of the households can be considered as an important factor in measuring the sustainable social concepts. Together they can form 16 type of residents (fig. 8) The first income group is until a gross income of €20.384 and is considered as low income. The second group is based on a gross income until €34.000 and will be considered as low middle income. The third group, high middle income, is based on a gross income until €68.507. All the incomes from €68,507 are considered as the fourth group and defined as high income.

	Low income < €20.384	Low middle income < €34.300	High middle income < €68.507	High income > €68.507
<b>Starters &amp; students</b>	Starter/student < €20.384	Starter/student < €34.300	Starter/student < €68.507	Starter/student > €68.507
<b>Young families</b>	Young families < €20.384	Young families < €34.300	Young families < €68.507	Young families < €68.507
<b>Empty nesters</b>	Empty nesters < €20.384	Empty nesters < €34.300	Empty nesters < €68.507	Empty nesters < €68.507
<b>Elderly</b>	Elderly < €20.384	Elderly < €34.300	Elderly < €68.507	Elderly < €68.507

Figure 8. Type of residential end-users in mixed-use areas (Own ill.)

#### Local (future) businesses

The reason for choosing a location for (local) businesses in a mixed-use area depends on several aspects according to Pieters et al. (2006) and Pols et al. (2009): spaces for parking, ratio price/quality, possibilities to grow and expand the location, easily accessible by transport, close to the target market, availability of human resources and suitable image. The aim of businesses is to grow, and they see land as a resource to increase financial profit. For example, businesses can be in favour to create more liveliness in areas, but their main goal is to attract more customers instead, that it contributes to social values. Locations that lead to the highest economic advantages will be preferred. As discussed in the background information on mixed-use, businesses can be classified in certain levels of the environmental impact they cause to the neighbourhood. These determine whether or not it is physically healthy to locate the business in the same block or street as residents or need to be allocated with a minimal distance to the residents (VNG, 2009). However, mixed-use areas can attract new businesses, and the current businesses should be taken into account as well.

When planning processes occur for redevelopments and businesses need to be relocated because their environmental impact causes trouble for a potential land-use plan, the municipality is responsible for the relocation of these businesses according to the Dutch expropriation law (Rijksoverheid, n.d.). Therefore, it is highly important to involve these businesses from early on in the decision-making process, since they can share and contribute with their knowledge and have a certain level of control.

As well as inhabitants, businesses can initiate changes in the neighbourhood as they can be part of a community of the neighbourhood, e.g. local creative entrepreneurs. Therefore, a distinction needs to be made between businesses as part of the community and those who are not. Together with inhabitant's community-orientated businesses can form stable social relations to strengthen their point of view, which are not necessarily the opposite from each other but can create a win-win situation for both.

The commercial end-users can be distinguished in four categories based on the of contribution to the neighbourhood: by facilitating, providing services, financial contribution or direct involvement. Facilitating businesses are, e.g. civic organisations and/or housing associations which support the satisfaction level of businesses/inhabitants. Services are, e.g. restaurants, grocery stores that provide services in the neighbourhood to the inhabitants, visitors and other employees. Another contribution to the neighbourhood is by making financial resources available and/or by direct involvement in, e.g. participation processes to better the neighbourhood (Katz & Wagner, 2014). Below, two examples are further elaborated of facilitating businesses.

#### *Civic organisations*

Civic organisations form an important role in (re)development planning processes: they form a link between the community (inhabitants and businesses) and the public authorities/market parties (Solitare, 2005). Usually, there is one or a few community representatives, whom most of the times work voluntarily and want to strengthen the voice of the interest of a community. Their main power is to bring people together based on trust and for the public authorities/market parties they form an essential role for their local knowledge and/or potential partnership.

A community is a group of residents/businesses, who aim for a common interest. Therefore, in mixed-use areas, it depends if the residents and businesses are united in one of the separated civic organisations.

However, the organisations tend to represent the community, there is not a guarantee that they do, rather than representing a particular interest group within the community (Desai & Potter, 2008; Chavis & Wandersman, 1990). Still, as Solitare (2005) states, meaningful participation was often reached in areas with civic organisations compared to areas without these organisations.

#### *Housing association (social developer)*

Housing associations are developers and owners of social dwellings. They form an organisation that provides affordable housing, let and/or sell accommodation to people in the social sector. Therefore, they get subsidised by the state. There are restrictions, rules and laws for the allocation of social housing, people who can be classified in the social sector and performances of the housing associations. For example, since the government adopted the new Housing Act in 2015, housing associations were not allowed to develop for commercial purposes anymore. Only if commercial market parties are not willing to invest in such areas, housing associations can execute commercial activities.

The operations of housing associations are strongly connected with the civic (organisations) and municipality. Civic organisations, together with housing associations, can form a stronger party to realise the interests of local inhabitants. Also, when civic organisations do not represent inhabitants, the housing association can become the link between the demands and interest of the public and the (local) authorities during the development process. Further responsibilities of housing associations are to provide social properties and maintain public spaces (het Rijk, n.d.).

Before 2015, housing associations could involve as a traditional developer (commercial purposes) in development processes. This means that they could let/sell housing in the private sector and the commercial sector. Investments and returns could, e.g. be used to develop new social housing. The reason for housing corporations to invest in commercial purposes is also to create more mixed areas (Aedes, 2019).

#### 2.3.3. Preconditions for meaningful public participation in mixed-use areas

As described in the previous chapter, the communicative planning with the affected public defines whether or not participation has been meaningful to the affected. In the context of mixed-use, there is a certain complexity when it comes to communicative planning based on the literature. These preconditions for communicative planning in mixed-use areas will be briefly explained.



### *Creating an identity*

In mixed-use areas, the community exists from inhabitants and businesses with different interests. As described in the previous chapters, inhabitants mostly like to invest in their neighbourhood to improve the social cohesion and social capital, which have a social goal. The reason for businesses to improve their neighbourhood is for economic profit, e.g. to attract more customers. In the first place, their approach/method can be the same; however, the outcomes can result in conflicting demands (Pols et al., 2009). The importance of creating an identity before a participation process starts is because it can contribute to the willingness of the actors to involve (Solitare, 2005). Both (contrasting) demands should be considered to create a win-win for both parties (Stenfert & Graaff, 2019). Nevertheless, parties should be careful in this process because it can also cause conflict and alienation (Solitare, 2005).

### *Building trust*

Trust is an essential precondition for communicative planning. There is a level of trust between businesses and inhabitants on a shared interest for the neighbourhood, between inhabitants/businesses and civic organisation representatives if they are represented correctly and between inhabitants/businesses/civic organisations and the administrators on their willingness for public participation. If there is a lack of perceived trust, the more likely it is that the participants act in a way to protect self-interest instead to openly communicate and share knowledge (Solitare, 2005; Clarke, 2008). Putam (2000) indicates that a lack of trust harms social capital. Building trust in mixed-use areas can be enhanced by building social networks exist out of shared norms, values and mutual understandings between participants and administrators (Rashidfarokhi et al., 2018). For example, these questions can arise: Do participants perceive the process to be transparent? Or do they think parties left out information on purpose? Do inhabitants and businesses consider improvements to the neighbourhood as a collective initiative?

### *Administrator's willingness for participation*

The perceptions of inhabitants and businesses on how committed the effectors are to their involvement determines in what way the communicative planning approaches were implemented. Only if effectors genuinely listen to the concerns of inhabitants and businesses, an open dialogue can be started where mutual knowledge can be exchanged. If not, inhabitants and businesses can see the process as a waste of time and can decide not to participate at all. Therefore, the possibility to engage in an open dialogue, the reach of the affected public and ways of reconsiderations are ways for administrators to express their willingness (Solitare, 2005).

### *Time and budget*

The overall communicative planning within participation processes is an intense, lengthy and time-consuming process for all involved parties. Effectors should see the long-term benefits for investing costs in these processes and appreciate the knowledge of the affected public (Irvan & Stansbury, 2004). Importantly, the demands of the affected public should be considered together with the demands of the effectors and put in the legal policy framework. This alignment of all demands can be a very lengthy process of discussions before decisions can be made. In mixed-use areas, even more actors with different interest are entering this process. Besides the budget for participation should be supported by the effectors. This can influence whether or not the participants are willing to invest time.

## 2.4. Environmental and Planning Act 2021

In 2021, the government of the Netherlands has decided to combine all the 26 laws and regulations regarding spatial planning, housing, infrastructure, environment, nature and water into one well-arranged framework: The Environmental and Planning Act. The new framework will have a significant influence on urban developments in the Netherlands as it will give more room to creative and private initiatives by providing an overview of all the restrictions and therefore create an easily accessible solution for urban area developments. The Environmental and Planning Act will replace the current Spatial Planning Act and thereby former 50.000 'zoning-plans' will be combined to 400 municipal Environmental and Planning plans (Liebregts, 2018). Also, one of the main aims is to protect the environment and strengthen the resilience of new developments (IPOw, n.d.)

One central pillar of the new Environmental and Planning Act is to mandatorily integrate participation in the developing process to enable a more effective plan- and decision-making process. For every development phase, different instruments are used to define the progress and test whether requirements are met. By making use of participation, different parties are obliged to develop (preliminary) solutions collaboratively in early stages, which have the benefits to increase support from affected public and to limit the potential costs, time and ineffective research (Rijksoverheid, 2020).

There are five regulatory/steering instruments in the Environmental and Planning Act 2021, where participation is included. The five instruments are described in figure 9, and figure 10 describes how participation helps to establish these instruments per policy-phase. Inhabitants and/or businesses can also initiate the problem. They need to follow the same policy-cycle as authorities: initiative, plan, realisation and evaluation.

In the Environmental and Planning vision, a long-term environmental vision is added next to the spatial planning vision. The program can give a more concrete realisation of the environmental vision, wherein the Environmental and Planning plan the basis is formed for legal planning on both spatial and environmental planning. All projects that comply with the spatial and environmental regulation and quality assurance can be granted an Environmental permit. Notable is that the participation process and results are described before the permit is given. Due to this instrument, urban developments are more flexible in their plans as long as it complies with the level of quality. Since public authorities determine whether or not a project meets the defined quality, for its public projects, they need to follow the Project procedure- decision. This instrument has five steps with an elaborated participation process (Rijksoverheid, 2020).

<b>Instruments involving participation in Environmental and Planning Act 2021</b>	<i>Description</i>
Environmental and Planning vision (Omgevingsvisie)	Non-binding strategies to include all aspects of spatial and environmental planning on long-term and on national, provincial and municipal level.
Program (Programma)	Non-binding or binding documents on more concrete specific environmental/spatial -related topics containing descriptive policies or required measurements to protect the environment.
Environmental and Planning plan (Omgevingsplan)	Binding document containing all spatial and environmental regulations by the municipality. Contains basis for legal planning.
Project procedure-decision (Project besluit)	Procedure for public authorities to integrally fasten the process for public projects (e.g. infrastructure) and potentially adjust the Environmental and Planning plan of a municipality.
Environmental permit (Omgevingsvergunning)	Initiatives will be tested on the Environmental and Planning Act before a permit will be given.

Figure 9. Summary of planning instruments based on IPOw (n.d.)

<b>Phase</b>	<i>Instruments</i>	<i>Aim of participation</i>	<i>Methods</i>
Initiative	Environmental and Planning vision	Indication of perspectives and future visions of multiple different actors	Sketches of potential future Scenario's
Plan	Environmental and Planning plan/ Program	Formulating policy more concrete by integrating opinions of representatives	Testing concrete plan Debate Forum
Realisation	Environmental and planning plan	Setting up framework of costs, limitations, risks for certain involved actors	Dialogues Agreements
	Environmental permit/ Project procedure-decision	Testing if criteria are transparent for involved actors	
Evaluation	-	Feedback on process from involved actors	Evaluation methods

Figure 10. Summary of planning instruments per phase focussed on participation based on VNG, IPO and UvW (n.d.)



## 2.5. Conclusion

In the theoretical part, the concept of social sustainability and meaningful public participation are explained. In the first chapter, it is described how public participation can contribute to social sustainability based on literature. Several social sustainable concepts are translated into variables for the participation process to the affected public. More elaborated, the variables are explained by more detailed measurements given in appendix I. If these measurements are met, then the participation process meets a certain level of social sustainability. In the second chapter, the planning process is elaborated, and the participation ladder is revised in order for it to contribute to meaningful public participation. A meaningful public participation process is defined as a continues process with the focus on communicative planning and its tools. This means that the decision-making process needs contribution from the affected public by advice, consult(s) and/or co-creation. During these approaches, there needs to be room for dialogue, explanation, discussion and listening in order for knowledge exchange. Therefore, for meaningful participation, the social relations between all involved actors are highly relevant and are highly related to the social sustainability concepts (and measurements).

In the third chapter, the affected public in mixed-use areas and social relationships are elaborated. The complexity of mixed-use areas and meaningful participation is described in the preconditions: creating an identity, building trust, administrator’s willingness for participation and time and budget. The preconditions are based on the complexity of the relationship between different actors within a mixed-use development, which differ from mono-functional areas. Also, these preconditions are related to the measurements of social sustainability concepts, as is given in appendix 1.

Below a theoretical framework is presented, which links the main concepts of the research with each other. The figure elaborates more on the based literature and the sub-questions of the research, which will be further explained in the design and methodology.

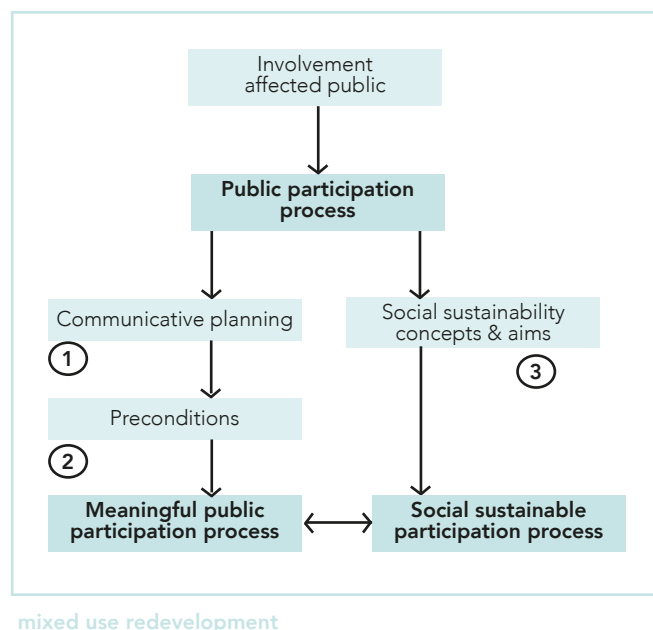


Figure 11. Theoretical framework (Own ill.)

### *Conclusion of variables*

The relation of the concepts of this literature reviews will be tested in the empirical research. There are three relations to test if participation can be considered as meaningful participation. Then the relationship will be considered how this contributes to social sustainability. For all relations, appendix 1 forms a critical literature overview. Figure 11 shows that the relations to understand the communicative planning tools during the process and the preconditions complement each other. The question is not if the participation process was meaningful, but what the features are to make it meaningful. Parallel, the relation between a public participation process and the social sustainability concepts will be observed. Here the question also remains how these concepts contribute to the level of social sustainability. Then, conclusions can be drawn to what extent the features of meaningful public participation process according to communicative planning have in common with the features of a social sustainable participation process.

The first relation is between public participation process the communicative planning approaches. The affected public are civic organisations, businesses and inhabitants, as is described in the third chapter, and they form input for the communicative planning approaches. This relation focuses on the process-side of public participation. The usage of communicative planning tools can be an essential indicator of meaningful participation. Therefore, there will be looked at the involvement of the affected public by the decision-making rungs (advice, consult, co-create), if the involvement of affected public has impacted the decisions and how the affected public has experienced their involvement during the process. Besides, it is necessary to understand the involvement of stakeholders, to have an overview of the possible participation processes as background information for the other sub-questions.

The second relation is to find out to what extent the preconditions, derived from the literature, meet in practice. Therefore, input from the (representatives of) affected public, such as their social relations within the neighbourhood are used to define the preconditions as identity creation, trust-building and administrator's willingness. These are highly related to the communicative planning tools that are chosen by the effectors/affected during the process, and an elaborated view can be given on the perspective of the preconditions. Budget and time are preconditions which are related to the practical possibility to financial support participation processes and is therefore mostly considered by the effectors.

The last relation is how public participation contributes to social sustainability. Based on the literature study, the definition of social sustainability is defined into several concepts. Public participation processes can contribute to these concepts (and therefore, to social sustainability). The concepts are summarised by variables. The variables are summarised in figure 1 and more elaborated in appendix 1. The perceptions of the affected public and effectors on the social sustainability concepts and variables during the participation process will determine to what extent the participation is socially sustainable.

Based on the literature, the following conclusion can be made. A meaningful participation process is based on communicative planning and certain preconditions. Parallel the participation process can be tested to the social sustainability aims and concepts to identify whether or not it contributes to social sustainability. Then, conclusions can be drawn to what extent these two meaningful and sustainable participation processes are related to achieve a meaningful social participation process.



these two meaningful and sustainable participation processes have in common to establish a meaningful social participation process.

ARATIE

REPARAT

merij

*Stomerij*

DESIGN &  
METHODOLOGY

NG OP MAAT

KLEDING OP MA

LESSEN

NAAILESS

ekleren@denda  
denaister.co

an@dendaist  
am 0622



### 3. Design & methodology

This chapter elaborates on the design of the research and the applied methods. First, the research questions will be discussed, which support the main question and the theoretical framework addressed in the first chapter. Then, a research framework will be introduced and explained. Lastly, the methods will be described together with a summary of the cases.

#### 3.1. Research questions

Followed from the problem statement, the main research question of this study is: **How can a *meaningful* public participation process be achieved in mixed-use redevelopments and thereby become socially sustainable?**

As described in the conclusion of the previous chapter, several essential elements of the main research questions are related to each other in order to answer the main question. The importance of this research is to understand the features of meaningful participation and sustainable social participation. Then, the relation between these two forms of participation is drawn.

The sub-questions are formulated as they comprise the elements of the theoretical framework:

##### Communicative planning

How are the affected public actors involved in the participation process for it to become meaningful?

- Applicable to effectors and affected of case studies
- Outcome: this question gives background information about the (chronological order of the) process and how the actors are involved using which communicative tools and participation instruments. The aim is to provide an overview without the perceptions of affected/effectors.
- Data collection: to answer the question, a study on the available documentation will be made, and process-related questions will be asked to the effectors to conduct data. Also, questions will be asked to the affected if they consider the process to be chronological correct according to the effectors, and which additions they have to the participation process. Based on a timeline from available documentation, the perception of the effectors and effectors will be integrated.

##### Preconditions

To what extent do preconditions contribute to meaningful participation processes in mixed-use areas?

- Applicable to affected and effectors of case-studies
- Outcome: this question will provide an overview of how the preconditions from the literature study comply with the practice in the case studies. All preconditions from the literature will be elaborated based on the perception of the affected and effectors to understand which preconditions are crucial, establishing meaningful participation processes and why they are essential.
- Data collection: this question will be answered based on the outcomes of the semi-structured interviews with the affected and effectors. The precondition of 'creating identity' is mostly based on the perception of the affected public. 'Administrator's willingness' is questioned to effectors and affected to gain insight on both sides. 'Building trust' is also questioned to both sides, since the process to

build trust can be among affected and between effectors and affected. The precondition 'budget & time' will be questioned to mostly effectors. However, it is also essential to understand the participation process initiatives among affected. Thereby, background information from sub-question one is used as a starting point for the questioning.

#### Social sustainability concepts & aims

How does public participation contribute to social sustainability?

- Applicable to affected and effectors of case-studies
- Outcome: this question will provide an overview of the social sustainability concepts and how they are translated per case-studies based on the variables from appendix I. An indication can be given to which social sustainability concept(s) public participation has contributed.
- Data collection: the data will be collected according to different social sustainability concepts and how these will be measured during semi-structured interviews with both effectors and affected. The variables and measurements are given in appendix I. Some concepts are related to only the affected; others will be asked to both kind of actors. Because social sustainability concepts are related to the preconditions based on the literature, the gathered data will also give insights on the preconditions.

After the empirical research is conducted, and the data will be processed. A conclusion can be drawn what a meaningful participation process inheld according to the communicative planning tools and preconditions. Then, it can be concluded how the features of meaningful participation relate to the features of sustainable social participation. A possible correlation can be made to give insight into the crucial elements necessary for social meaningful participation processes.

The goal is to improve the participation processes in the involvement of the affected public in the context of the new Environmental and Planning Act. The following sub-question is a reflection and helps to make recommendations at the end of the research:

- Which lessons need to be taken into account when designing a social meaningful participation process within the context of the new Environmental and Planning Act 2021?

### 3.2. Research objectives

The goal and objectives of this study by answering the research questions are the following:

*Contributing to the implementation of participation processes in the context of the new Environmental and Planning Act 2021*

From 2021, the National Government opt to change its planning process by implementing the new Environmental and Planning Act, that makes it mandatory to integrate public participation in every planning process. This change makes it essential for investors, market-parties, developers and municipalities to gain insight on how public participation processes can become more successful for both the effectors-side as the affected-side. Also, how the participation process can contribute to more inclusive decision-making made by the effectors with meaningful (direct/indirect) input from the affected public. This study aims to provide recommendations on how the



public participation processes during different phases of the planning process can be created in a more meaningful way.

*Contributing to frame social sustainability in policymaking in mixed-use area development*

There is limited research on the topic of social sustainability in mixed-use areas, although social topics are incorporated in many policy-documents in the Netherlands. As Chen & Qu (2019) describe, sustainable urban strategies rely on the collaborative effort of public, private parties, and the civil society to exchange resources. This suggests that there is a link between public participation and social sustainability. However, it is not known how it contributes yet. This research aims to understand better the affected public (civic society) and how to involve them in participation processes better. It may be an essential tool to realize sustainability goals in policymaking and may contribute to the meaningfulness of participation processes in mixed-use areas.

### 3.3. Research framework

Based on the article by Bryman (2012), this study is considered as social research in which topics are addressed that are relevant to the social scientific field. As discussed in the social scientific relevance, this study aims to contribute to improvements to public participation and its relationship with social sustainability, which is a topic with limited scientific research.

To carry out this research, different methods are used, which will be elaborated in the next paragraph. Due to the focus of this research on people's social relations, perceptions and behaviour, this research will be conducted qualitatively.

As Bryman (2012) discusses, qualitative research contributes to the relation between theory and research with an inductive approach. This is in line with this research because the literature study is used to abstract the theoretical findings for the sub-questions. Then, the data from the contrary cases Kogerveldwijk and Zomerhofkwartier will be analysed in depth. The outcomes will be compared with the literature study and compared with each other. As a result, a set of recommendations in the context of the new Environmental and Planning Act 2021 for mixed-use area redevelopments are given. Eventually, a conclusion can be drawn to answer the main question (fig. 12).

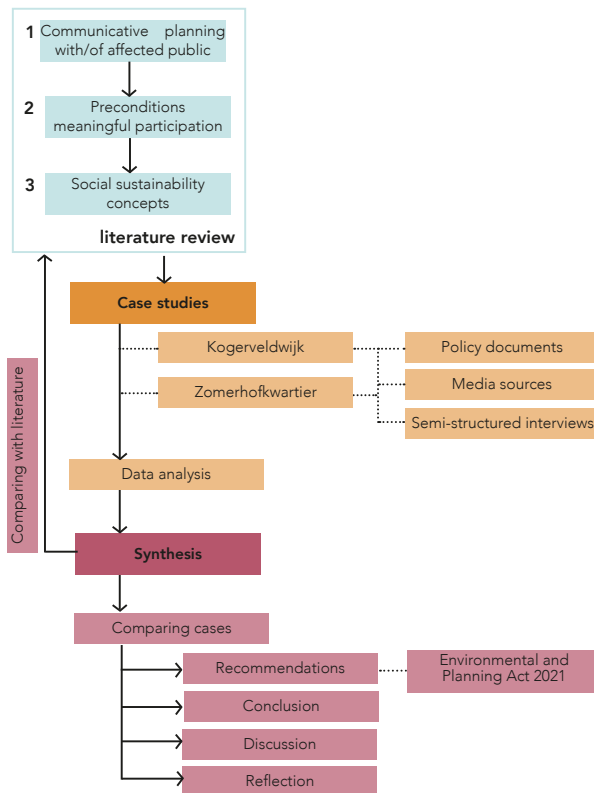


Figure 12. Research design (Own ill.)

### 3.4. Case selection

In order to select the cases, several criteria are set up, which align with this research. The method of case studies is chosen because it gives a viewpoint of different concepts and the ability to generalize them. Besides, by using multiple cases, comparisons can be drawn with each other and with the literature. Therefore, a more in-depth understanding of the concepts can be created (Bryman, 2015).

*Mixed-use area redevelopments* – One of the main requirements is that cases are mixed-use area redevelopments according to the main question and all the sub-questions. It sets the context of this research. Mixed-use areas are defined as urban (re)development that contains a high level of different levels of functions and believes in enhancing the urban sustainability due to the variety of stakeholders and economic benefit (Miller & Miller, 2003).

*Participation process(es)* – During the redevelopment process, different approaches to participation should have taken place. It is necessary for this research that at least one participation process has taken place in which the affected public has been involved by consulting, advising and/or co-creation. These three participation instruments illustrate how communication took place. This relates to the main question and to the first sub-question, which focuses on how the affected public is involved during the redevelopment process.

*Mixed affected public* – To be able to compare the participation processes, all cases must have the same main composition of the affected public: businesses and inhabitants. The composition relates to the main question and the preconditions of sub-question two, which are described in the literature

study. Two preconditions are based on the interaction between these two main actors and their contrary demands.

*Contrasting cases* – The number of cases is not decisive for the research since the design of case-studies is flexible (Bryman, 2012). Based on sub-question three and the main question, the main goal is to identify the features of meaningful participation and how case-studies correspond to social sustainability concepts. Therefore, an in-depth qualitative research is needed to be conducted, which highlights different perspectives. Primarily the focus of this empirical research is on the affected public and their perception of processes. Thus, two cases are chosen that represent two extremes: participation processes from top-down and bottom-up. By choosing two cases, more elaborated research can be conducted with the involved actors, and a broad view can be given on the features from both perspectives that makes participation meaningful. A balance between the workload and availability of time is taken into account.

The cases selected are Kogerveldwijk and Zomerhofkwartier. Empirical research will be conducted to gain knowledge about the participation process, communicative involvement of the affected actors, the preconditions and how it all can contribute to social sustainability. The lessons based on the case-studies can be used to make recommendations for future mixed-use redevelopments.

#### *Cases*

##### *Kogerveldwijk – Zaanstad*

The sub-areas Boerejonkerbuurt, Hofwijk, Kogerveldbuurt, Sportpark Oostzijderveld and Sportpark Hoornseveld together form the mixed-use neighbourhood Kogerveldwijk. Since 2016, the municipality of Zaandam has the aim to redevelop this area in collaboration with the current residents, businesses, and other organisations to make the area more attractive (MAAK.Zaanstad). At the moment, the area is seen as a place where people want to live, be and/or recreate; however, investments are needed to upgrade the area and attract new residents and businesses.

The infrastructure needs to be bettered to connect the sub-areas, more spatial quality should be integrated as green areas, and the aim is to create 2000-2500 new condominiums. Realization of the redevelopments is aimed in 2040, which indicates that the planning process is still in the initiation phase.

Currently, a collective future area-perspective created by the public, organisations and municipality is presented to the city council. A future area perspective is an ambition document with spatial program and strategy set up as a collective aim (Zaandam, 2019).

Parallel to the MAAK.Zaanstad, local initiatives are set up by the municipality to enhance the social cohesion of every individual sub-area. This process is highly connected with several representative groups within these areas.

##### *Zomerhofkwartier – Rotterdam*

The Zomerhofkwartier is an area next to the city centre. It is enclosed by residential streets, a former elevated railway and one of the main traffic-roads that separates the area from the inner city. It has changed from 19th-century mixed-use areas to a mostly industrial area, characterized by light industry and offices. The shift began after WWII, as this area was appointed for businesses affected by the demolition of the city centre. In the 1990s



part of the residential area was replaced for social housing. Since then, the area has deteriorated.

In 2005, housing association Havensteder bought a few parcels with office-buildings in the area intending to redevelop Zomerhofkwartier into a mixed-use area. However, in 2012, due to the economic crisis, Havensteder did not see potential in their unrealistic ambitions. Instead, they rented out their unoccupied office-buildings to creative businesses in order for the area to build character and grow potential in small steps: Slow Urbanism. This was also the start for the organisation ZOHOcitizen; representing citizens, businesses and investors. The result was that many more bottom-up initiatives arose. With this approach, the municipality of Rotterdam and Havensteder aimed to create a broad-based tender for the future developments in collaboration with businesses, organisations and residents of the area.

In the summer of 2019, the developers Leyten and Stebru won the tender-procedure. They are going to develop the area together with the ZOHO-citizens.

	<i>Kogerveldwijk</i>	<i>Zomerhofkwartier</i>
mixed-use area development	Transformation of a suburban mixed-use area in Zaanstad next to the city centre	Transformation of an inner suburban mixed-use area in Rotterdam on the border of the heart of city centre
Participation process	Part of MAAK.Zaanstad and local area management from municipal viewpoint; mainly advice/consult by the affected public	'ZOHO Citizens' as a collective of local businesses and formal tender-procedure with Havensteder and municipality; co-creation by the affected public
Mixed affected public	Mostly residents and supportive businesses	Mostly businesses and surrounding residents
Contrasting cases	Top-down approach	Bottom-up approach

Figure 13. Comparison of cases with criteria

### 3.5. Research methods

In order to collect the needed data for this research, several methods will be explained in this paragraph. These are a literature review and case studies. The methods used for data-generating in the case-studies is by analysing policy documents, media sources and semi-structured interviews. By using these different methods, different viewpoints are taken into account, which can validate the data.

#### *Literature review*

A literature review is formed as a contextual basis for the research. It helps to gain insight on the subject, concepts and related methods and theories. Therefore, it identifies what already is known and what can be elaborated for further research (Bryman, 2012). The literature review first explains what the definition is of social sustainability and which concepts are related. The relation of the concepts and the participation process is given in the conclusion. They form an essential basis for the operationalization of the research.

Secondly, the process of participation is explained according to the adjusted Ladder of Arnstein: instruments of participation are co-creation, consulting and advising. Within these instruments, different communicative planning tools can be used such as advice-groups, charettes, information gatherings etc.

The third chapter focuses on mixed-use redevelopments and the involved actors within these projects. Several preconditions can be concluded to create meaningful participation with the use of communicative planning tools.

Figure 14 illustrates the input from literature to the translation of measurements applicable to the case-studies. The measurements are derived from the variables formulated in figure 1 and appendix I. From the measurements, basic questions for both cases are constructed. As shown in appendix II, the questions are linked to the social sustainability themes, which describe to whom the questions will be related. As explained in the theoretical part, five concepts are explained to form social sustainability in planning processes: social equity, social inclusion, social capital, social cohesion and safety. Where social equity, social inclusion and social capital are focussing on both the relation and perception of both affected public and effectors, the two remaining concepts are more focussed on the relation and perception of residents towards each other. Since the preconditions are highly related to the social sustainability concepts and the involved actors, the outcomes of the questions will also give insight into the preconditions taken in every case-study. After the empirical research is conducted, the outcomes will be evaluated with the literature review and compared with each other.

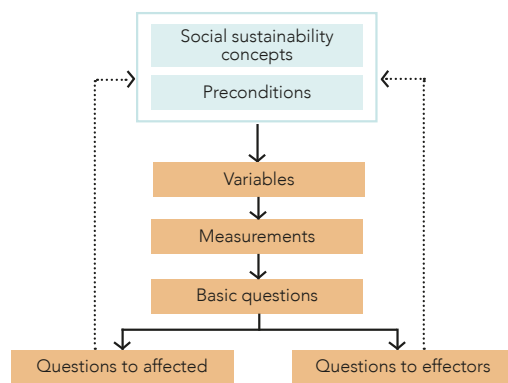


Figure 14. Structure of operationalization

#### *Semi-structured interviews*

In semi-structured interviews, the topics and questions of the interviews are defined before the interview is conducted. However, the order of the questions can vary, and new questions can be added. This provides a certain level of freedom, and the focus can be put on the personal interpretation of the interviewee (Bryman, 2015). Also, basic questions are formulated in appendix II; however, before the interview, the questions will be rephrased to a particular interviewee. The reason is to create a more in-depth conversation per topic while keeping the same comparable direction of questions to all interviewees. The comparability of the questions is vital to process the data.

The semi-structured interviews of this research are not only essential to understand the participation process and its preconditions, but it also gives information about the related social sustainability topics. Therefore, different people with different roles and involved in the participation processes will be interviewed to broaden the perspective on specific themes.

Since the interviews can result in more (unknown) actors, per case, there will be room for four additional interviews. Four interviews will be planned as a starting point, with both effectors and affected to create this 'snowball-effect'. In figure 15, an overview is given of the interviews. In bold are given the planned interviews as the starting point. Notable is that two (representatives of) inhabitants and businesses will be interviewed per case since some questions will only be asked to these actors.

Kogerveldwijk (KOVE)	Zomerhofkwartier (ZOHO)
<b>Process manager MAAK.</b> Advice board (resident) Advice board (business)	<b>Tender manager</b> Municipality of Rotterdam Havensteder
<b>Area manager</b> Representative resident Representative business	Representative business <b>ZOHO citizen during tender</b> Neighbourhood counsellor

Figure 15. Interviews set-up

*Policy documents and media sources*

Policy documents and media sources can be used as an additional form of information as preparation for the semi-structured interviews, to check allegations of interviewees, but mostly to create a better understanding of the process concerning communicative planning tools. Some participation processes are documented into e.g. ambition documents/ structure vision/ master plan/ website links/ news articles. These can also form a broader external view on the process and help to create an overview of the process.





# CASE STUDY



## 4. Case study

In this section, preliminary information will be given on the Zomerhofkwartier and Kogerveldwijk. The information from the first analysis is structured according to the sub-questions. Besides, the context will be given in both cases. Then, the cases will be synthesized in the next chapter with input from the analysis. This chapter mainly focuses on informative information from the case-studies. The references are related to individual interviewees, who are listed in an overview with references in appendix III.

### 4.1. Bottom up: Zomerhofkwartier

#### 4.1.1. Introduction

The Zomerhofkwartier is an inner suburban area, which is enclosed by the residential suburban streets Noordsingel and Teilingerstraat, and the inner city by Heer Bokelweg. Formally, the Zomerhofkwartier is part of the residential area Agniesebuurt. However, it has been an isolated industrial area since bombardments have destroyed the housing in the WOII (Platform Wederopbouw Rotterdam, 2020).

Until the bombardments in 1940, the Zomerhofkwartier was a mixed-use area with a markable infrastructural landmark: the Hofbogen. These railways, built-in 1900, formed an essential connection between Scheveningen and Rotterdam and from street-perspective, many local businesses and warehouses were located under the cross-over although it caused nuisance and pollution. The railways were seen as a physical barrier to the surrounding areas since they enclosed the western side of Zomerhofkwartier (Platform Wederopbouw Rotterdam, 2020).

After the bombardments in 1940, the area was appointed by the municipality as an emergency-area for affected businesses from the inner city. Later in 1962, permanent industrial buildings and offices were built for a wide variety of larger and smaller businesses as bread-factories but also a local contractor company. Businesses and inhabitants of the whole Agniesebuurt were not sure how the neighbourhood would develop. Especially when in 1969 a municipal 'Saneringsnota' was published, which stated that all housing (mostly north/south Rotterdam) classified as low living quality needed to be demolished. The reason for this municipal note was the high demand for housing in Rotterdam as well as potential plans for a highway to better the connection with the inner city. Under high pressure and protests, the plans for the highway were annulled in 1972. Due to these continuous threats for demolishment, the areas were deteriorated, and the neighbourhoods were more populated with inhabitants with a low social-economic status.

In 1980, the municipality aimed to regenerate the deteriorated areas to socially responsible areas: a safe place for the social-economic disadvantaged. In the Almondstraat in the Zomerhofkwartier, all original housing had been demolished and rebuild for new social housing. Also, the municipality tried to become the owner of as many private condominiums as possible to regulate social housing in areas. At the same time, they were transferred and maintained by social housing corporations (Gemeente Rotterdam, 2013). Although the living quality of many surrounding areas in the North of Rotterdam increased, the Zomerhofkwartier was left with empty industrial buildings.

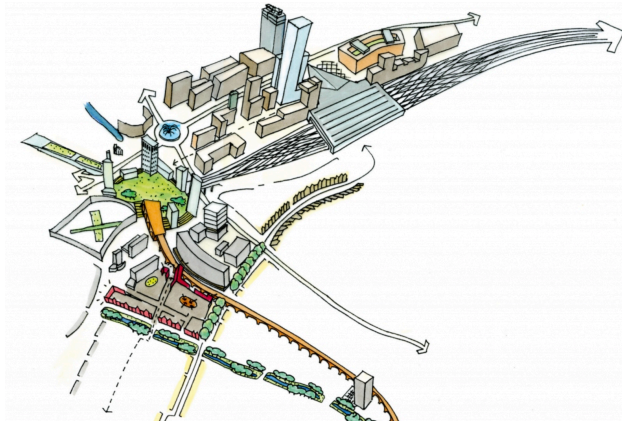


Figure 16. ZOHO in the context of Rotterdam and landmarks at Weena; derived from (BGSV, 2011 retrieved on 31/03/20 from: <http://www.bgsv.nl/stedelijke-vernieuwing-zomerhofkwartier>)



Figure 17. ZOHO from top-down view; derived from (Top010.nl on 31/03/20 from: <https://nieuws.top010.nl/zomerhofkwartier-zoho.htm>)

### Demographics

The most recent demographical data from the Agniesebuurt is from 2015. At that time, 4059 inhabitants were living in the area, of which 68% have a migrant background. About 60% of them have an income which can be considered as 'low', 28% as 'middle' and 12% as 'high'. The division is also seen in the percentage of social housing: 68%. Besides, it is markable that 60% is a single household with only 12% of students living in the area. The percentage of m2 intended for commercial use is 59%, compared to 41% residential use (Gemeente Rotterdam; OBI, 2020).

Last years, the commercial use within Zomerhofkwartier grew. Based on an analysis from the ZOHO-citizens (2017), there dominant specializations within ZOHO are in the architecture and advisory sector, creative artists and in graphic design. From all the local businesses, approximately 19% worked in ZOHO for less than a year. The majority of 53% were ZOHO-citizens for 2-5 years (Gemeente Rotterdam, 2020).

#### 4.1.2. Planning process

In 2005, housing-corporation Havensteder bought several parcels and buildings in Zomerhofkwartier with the ambition to redevelop this area into a mix of working and living. Due to the crisis, their plans were put on hold. Instead, organisation 'Nu Hier' was able to use a part of the area for their experiment to develop temporary initiatives until Havensteder could continue their (re)development. With the start of 'Nu Hier', Havensteder decided in 2012 apply this experimental strategy to the area of Zomerhofkwartier, which is known as Slow Urbanism. The strategy of Slow urbanism focuses on the organic (slow) growth of area development where there is room for the users

to innovate, create, experiment and be entrepreneurial. Many creative local businesses are currently located in the Zomerhofkwartier, and they have collectively united themselves as 'ZOHO-citizens'. Local business STIPO has played a crucial role at the start of Slow Urbanism by attracting many local businesses to the area. The Zomerhofkwartier (ZOHO) has a unique character with a strong community of 'citizens', who initiated many local projects with each other and surrounding inhabitants. Due to several active ZOHO-citizens, the first future ambitions for ZOHO were written down and translated into visualisations in 2015. As a result, the ambition grew to contribute to the development process together with Havensteder and the municipality.



Figure 18. Prisoner's Dilemma Game – role-playing game; derived from (ZOHO-citizens on 08/05/2020 from: <https://zohorotterdam.nl/zohocitizens-the-game-is-on/>)



Figure 19. ZOHO informal event with inhabitants: "binnenstebuiten"; derived from (ZOHO-citizens on 08/05/2020 from: <https://zohorotterdam.nl/22-juni-zoho-binnenstebuiten/>)

Around 2017, Havensteder and the municipality of Rotterdam decided to sell the Zomerhofkwartier by an open tender. For this tender, a few representatives of the ZOHO-citizens were asked to take place in the jury because participation was an essential criterion within the tender. Also, it was accepted that the citizens continued with their ambition-document, which led to the 'ZOHO-principles'. The ambition of the municipality and Havensteder mostly complied with the aims of the ZOHO citizens: creating a lively and resilient mixed-use area for all different kind of people while maintaining the



existing character of current ZOHO: innovative and playful (ZOHO citizens, 2019). While the ZOHO-citizens, Havensteder and the municipality of Rotterdam prepared the tender for a few months, the tender officially started for the market in December 2018. After an intensive collaboration of eight months, in July 2019, Stebru and Leyten were announced as (provisional) winner.



Figure 20. Tender procedure in the ZOHO-atelier; derived from (Volq on 08/05/2020 from: <https://volq.nl/project/tender-zomerhofkwartier-rotterdam/>)

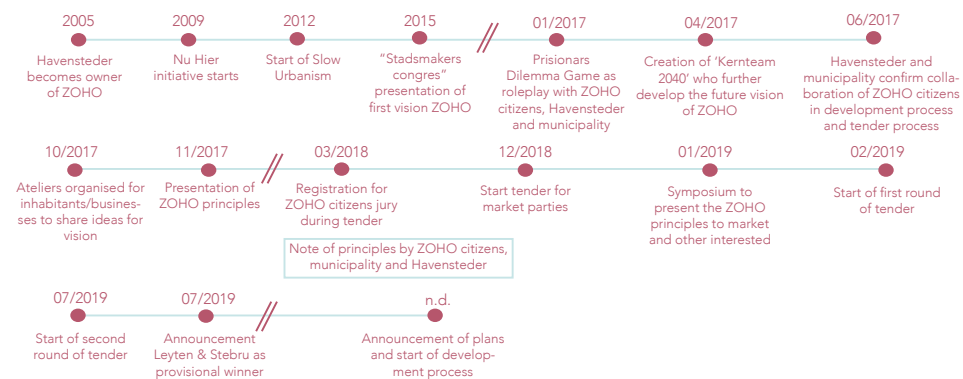


Figure 21. Timetable of planning process Zomerhofkwartier (ZOHO)

#### 4.1.3. Actors & communicative planning

This paragraph focuses on participation during the planning process based on the interpretation of the inhabitants and businesses. The timeline from the previous paragraph will be further analysed. Also, the relationship between the affected public and effectors will be elaborated.

##### Actors

In 2009, Nu Hier started an initiative for placemaking in the Zomerhofkwartier. The initiative was supported by different parties such as property-owner Havensteder and the municipality of Rotterdam. At the start of Slow Urbanism in 2012, the idea arose by the municipality to bring people together in the Zomerhofkwartier. It was subsequently contributing to the social connection with other deprived surrounding areas. This initiative was addressed by an area manager, who formally works for the municipality of

Rotterdam, but has informal contact with the inhabitants and businesses. Together with a social area team, they form the area management. Area management aims to improve the social conditions of the inhabitants/businesses on an individual scale, and with each other on a neighbourhood scale. The idea resulted in the realization of ZOHO-citizen as its own collective of businesses in the area (ZOHO-5). Havensteder, the municipality of Rotterdam and STIPO (an organization that helped to retain and attract new businesses and also ZOHO-citizen) collaboratively took the leading role in the process to build the character of ZOHO. Havensteder promised to continue Slow Urbanism for ten years, gave transparency to all its tenants about the rent and supported the possibilities by businesses to initiate in the area. The municipality also contributed by supporting local initiatives and openly discussed with the businesses about the possibilities, e.g. the public spaces (Laven, 2020).

The municipality was represented in the planning process of the Zomerhofkwartier in two different ways: by an elected committee (by inhabitants) of inhabitants in the Agniesebuurt and project management during the tender. The general structure of the municipality of Rotterdam is as follows: The Board of Aldermen and the Mayor decide upon policies and ambition documents, but there is also an elected city council that addresses new ideas to the board. The policies and how they get implemented depends on the task and the related department within the municipality. One of the departments is the Real Estate Department, which is related to the project management of the tender in ZOHO. Next to this, Rotterdam is divided into different districts, and per district, an elected committee represents its neighbourhood(s) chosen by its citizens. They advise the Board of Aldermen and the Mayor (Gemeente Rotterdam, 2020). Integral communication between all the departments was limited due to the structure of the organization. For example, the elected committee of the Agniesebuurt was aware of the tender procedure, but no information was shared about the outcomes and the period after selection. That results that the elected committee is not able to inform inhabitants and give advice to the board (ZOHO-3).

The integral communication between involved actors at Havensteder was higher compared with the municipality of Rotterdam. Although there was a new representative appointed when the tender was announced, the new representative was aware of the previous process of Slow Urbanism. The ZOHO-citizens and the social housing residents are tenants of housing association Havensteder, although they considered the inhabitants not as part of the Slow Urbanism movement in the Zomerhofkwartier (ZOHO-6).

Everyone who works uses, creates or lives in ZOHO, can become a ZOHO-citizen (ZOHO, 2020). Formally, this means that both businesses and inhabitants can be considered as ZOHO-citizens. However, most businesses applied to become a citizen. 10-15 of them represented themselves as the board and took the lead in setting up events and meetings (ZOHO-2). During the announcement of the tender, a request was sent to all the ZOHO-citizens to participate in the tender process as a representative of ZOHO-citizens in the jury. They needed to sign a confidentiality contract and were not allowed to share information from the tender procedure with other (ZOHO-citizens). This formed another division and overlap in the group of ZOHO-citizens since some of the citizens were representing different sub-groups.

	Slow Urbanism	Tender
Effectors	Area management (municipality) Havensteder program manager	ZOHO citizens jury Project management municipality Project developer Havensteder
Affected	ZOHO citizens board ZOHO citizens Other businesses (Surrounding) inhabitants Elected committee	ZOHO citizens Other businesses (Surrounding) inhabitants Elected committee

Figure 22a. Summarized list of effectors and affected in ZOHO case

**Relationships**

In figure 22, the relations of the actors are illustrated. There are two participation processes during the planning process; before and during the tender. Per process, most of the organizations were subdivided into smaller groups/ other departments. This results in slightly separate processes with different people collaborating.

In the first participation process before the tender, the collaboration between Havensteder as place-maker, area manager from the municipality and organization STIPO is strong. STIPO (as part of the board of ZOHO-citizens) played an essential role in attracting and retaining businesses. The board of the ZOHO-citizens tried to build a community with the inhabitants and the businesses. With initiating multiple activities (fig. 24), they tried to create a character of the area (ZOHO-5). Active ZOHO-citizens often took place as board-member; others were content by an indirect involvement.

During the organized events by the citizens, (surrounding) inhabitants and other interested were all invited to join. The surrounding inhabitants considered ZOHO still as an industrial area and were often not interested in the events. The elected committee indirectly informed them, because they were interested in the plans of the ZOHO-citizens.

After the tender was announced, a select group of ZOHO-citizens was invited as jury. While the request was open for all citizens, most of the applications were from active ZOHO-citizens (ZOHO-2). Havensteder, the municipality and the selected team of citizens were isolated from the rest of the actors due to the confidential information.

The difficulty of different representatives during different phases of the planning process is that information will get lost and misinterpreted by people. A dissatisfaction grew among the (ZOHO) citizens because they were not informed and/or involved in the tender process. This also impacted the citizens, who were part of the jury (ZOHO-2). In the structure of the municipality, representatives are even more divided from each other. The departments within the municipality can be seen as separate organizations, whom all have their confidential information. This makes it difficult to make decisions and to have an open process (ZOHO-3).

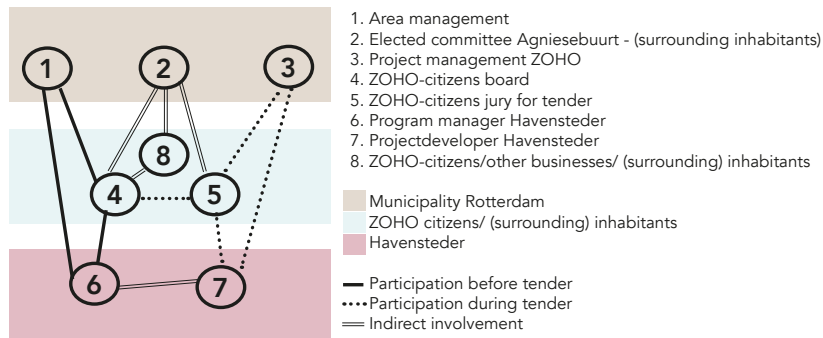


Figure 22b. Actor scheme per participation phase in Zomerhofkwartier



### *Communicative planning in timetable*

The following figure illustrates the timetable in an abstract form with the main used communicative planning tools. They will be further described in this paragraph.

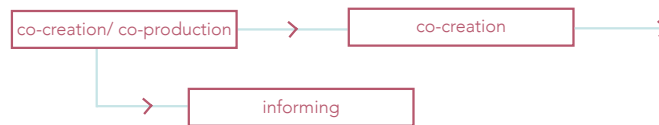


Figure 23. Abstract timeline of the planning process with communicative tools

#### *- Slow Urbanism: co-creation and co-production*

Havensteder and the municipality took both a facilitating and collaborative approach during the beginning of Slow Urbanism. Havensteder contributed financially to let the businesses re-invest their rent in their building, where the municipality collaboratively redeveloped the public spaces in the Zomerhofkwartier (ZOHO-5).

*“In 2017, after we already created a first draft of the future vision, it was clear that there would be a tender. Havensteder facilitated us in the process to develop the principles with a financial contribution.” - (ZOHO-2)*

#### *- Slow Urbanism: informing*

A distinction was made by the effectors between inhabitants and the businesses. From an early beginning, the effectors considered the businesses and their involvement within the area as a method to establish the entrepreneurial character. The inhabitants were considered to be meaningful for their input only during the participation process of the development process after the tender process. Because of this, the effectors' intention was not to include the inhabitants in the participation processes until the tender (ZOHO-4).

The initiative of ZOHO-citizens was mainly formed to create a network of businesses. However, the ZOHO-citizens did see the added value of involvement of the inhabitants. During all different kinds of (informal) activities, but also information sessions, they tried to attract inhabitants as well. Officially, as the ZOHO-citizens state themselves; the ‘ZOHO-citizen’ is defined as anyone who works, lives, uses or creates in the Zomerhofkwartier. Within this definition, the inhabitants should be included. The ZOHO-citizens experienced difficulties to connect with the (surrounding) inhabitants due to cultural differences. Possibly this created a language-gap, but also the lack of interest (ZOHO-2; ZOHO-5). In figure 24, a summarized list is given of all the activities organized by the ZOHO-citizens. Aiming to connect with the inhabitants, inform them of the developments and about their businesses. All of these activities were initiated for both inhabitants and businesses, but in most cases, only a few interested inhabitants attended.

Type of activity	Date	Aim	For whom:	Visited by:
Open ZOHO sessions	2015	Attract inhabitants and introducing (new) businesses through informal events (BBQ, photo-exposition, workshops etc.)	Inhabitants and businesses	Inhabitants and businesses
Prisoner's Dilemma game	2017	Role-playing game to understand each other's interests	Havensteder, municipality, inhabitants, businesses	Havensteder, municipality, inhabitants, businesses
Ateliers	2017	Sessions for input for development of principles	Businesses and inhabitants	Businesses, few interested inhabitants
Plan for Raingarden	2017	Presenting collective plan between ZOHO-citizens, municipality of Rotterdam and Hofbogen BV	Inhabitants and businesses	Businesses, few interested inhabitants
ZOHO Inside out sessions	2018 - 2019	Informing about future developments in ZOHO and informal contact through workshops, lunches etc.	Inhabitants and businesses	Inhabitants and businesses
ZOHO Inspiration afternoons	2019	Providing information and ideas about developments possible for ZOHO	Inhabitants and businesses	Businesses, few interested inhabitants
ZOHO lunches	Monthly since 2018	Informal contact where one of the ZOHO-citizens present themselves	Inhabitants and businesses	Businesses, few interested inhabitants
Informal drinks (spring/Christmas)	Seasonal since 2017	CitizensTALK to provide information and generate ideas for the following semester together with workshops	Inhabitants and businesses	Inhabitants and businesses

Figure 24. Summarized list of activities organized by ZOHO-citizens during Slow Urbanism and tender procedure.

- *Tender: co-creation*

After the Slow Urbanism period, the tender procedure started. The ZOHO-citizens were asked to develop the 'ZOHO-principles' to represent the different viewpoint from businesses and inhabitants (ZOHO-5). Also, they were invited to join as part of the jury for the selection of the winner. However, there were a few criteria: the involved citizens were obliged to sign a confidentiality contract, they would be excluded from the financial criteria round, and only a few citizens could get involved. Based on the distribution of power: Havensteder and the municipality both had 40% of the say and ZOHO-citizens 20%. The division caused contrasting opinions:

*"Despite the division of 20-40-40, it seems as if the ZOHO-citizens did not really have a say, but it seems that we agreed very often with the municipality, which made it 60 against 40. Thus, from the viewpoint of Havensteder, the spatial qualities were translated into arguments with a monetary benefit." - (ZOHO-2)*

*"As the developer in the area with 90% ownership, I believe it has been quite generous to what extent the ZOHO-citizens were involved and had a say for 20% in the selection." - (ZOHO-6)*

Throughout the process, effectors and affected were equally present during meetings, discussions and involvement with market-parties (ZOHO-1). In advance, Havensteder always communicated transparently about their financial aims. Sometimes in contrast with the municipality, who tried to be transparent as possible, but their organizational structure made that problematic. Lack of communication between department caused for multiple

issues through the process, for example; the note of principles was after completion changed last-minute by a senior from the municipality (ZOHO-2; ZOHO-6).

After the phase in which ZOHO-citizen participated, the municipality and Havensteder continued their financial discussion on the pricing of ZOHO. Until April 2020, the plan was not published, leaving the inhabitants and ZOHO-citizens in an uncertain situation for a more extended period than expected. The aim is to develop the area together with the inhabitants/businesses in the upcoming stages.

#### 4.1.4. Preconditions meaningful participation

In the past paragraph, the actors and their communicative planning were analysed. To elaborate more on the communicative planning, they will be further analysed according to four preconditions retrieved from literature. These will give a further view of the effect of the communicative approaches by using the perception of both effectors and affected.

##### *Creating an identity*

Creating an identity among the affected public is related to the social inclusion, social cohesion and safety; the mix of affected public determines the feeling of identity within a neighbourhood and whether or not it is considered as safe. In the Zomerhofkwartier, there were two kinds of tenants from Havensteder: the social housing tenants and the ZOHO-citizens. From surrounding the area, private owners (of housing) were also invited for the initiatives from the ZOHO-citizens, although they are not living in the Zomerhofkwartier. Therefore, the affected public can be considered as a mix of different nationalities, education levels and income. It is markable that, although attempts were made to involve the inhabitants by the ZOHO-citizens, this did not sufficiently contribute to the identity of the area. The strong identity of the area was mainly created by a collective aim of (creative) businesses to strengthen each other (ZOHO-5). It was also acknowledged by others, who stated that the engagement from inhabitants towards the Zomerhofkwartier was mainly work-related. The Zomerhofkwartier provides opportunities for jobs and a new work environment for low rent (ZOHO-3). Besides, this corresponds to the feeling of safety in the area. During the day it is considered as safe due to the liveliness. However, in the evening/night, the area can feel a bit isolated from the residents, which makes it for surrounding inhabitants and businesses less safe.

Also, the residential tenants in the Almondestraat (from Havensteder) are recently supported by Stad In De Maak; an organisation that provides housing in vacant buildings and support its residents with their economic independence by helping them with small business initiatives. In the last year, social contact between new and current residents in the Almondestraat grew, and this also led to more social contact with the ZOHO-citizens. However, this has not contributed to the planning process (ZOHO-2).

To conclude, there is a strong identity observed between the ZOHO-citizens, where the inhabitants were not directly involved. In de last year, the informal contact between the tenants of social housing and businesses grew. Thus, the created identity by inhabitants and businesses is moderately supported.



Assessment of preconditions	Explanation	Addition
Established an identity	<ul style="list-style-type: none"> <li>-The affected public is considered as three different groups with different aims; the entrepreneurial character of ZOHO mainly related to the businesses instead of all the affected public</li> <li>- Attempts were taken to involve all the affected public by the businesses through informal activities and meetings; not much attendance thus not all the affected public feels connected with ZOHO</li> <li>- There is a feeling of security during the day, because of the liveliness of the businesses while at night the area feels isolated</li> <li>- Informal contact grew last year due to the introduction of organization Stad In De Maak; providing contacts between social sector inhabitants and businesses; identity among all affected public grows</li> </ul>	<ul style="list-style-type: none"> <li>-</li> <li>+</li> <li>±</li> <li>±</li> </ul>

Figure 25. Assessment of preconditions summarized by explanation.

### *Building trust*

Building trust is related to social equity, social capital, social cohesion and safety. A distinction is made between two different levels of trust: between affected actors, and between affected and effectors. The matter of transparency of the process is related to the matter of trust between effectors and affected. Also, the extent of informal contact, support and help during the process is considered as trust on both levels. Safety is observed as a matter of trust within the neighbourhood.

First, the process is separated into an open and transparent process and a more closed tender process. Both have impacted the matter of trust among actors. In the period before the tender, the municipality of Rotterdam and Havensteder supported the ZOHO-citizens by facilitating the ideas, possibilities and financial contributions. This, because both parties saw the beneficial side of improving the area: improve the living quality and connection with neighbouring areas, and for Havensteder, it contributed to their place-making period (ZOHO-5). During this period, many initiatives were taken to involve all the ZOHO-citizens and keep them updated, while also reaching out to other (surrounding) inhabitants. Although not many inhabitants attended very often, some were interested in the development of the area. Through this transparent process, the inhabitants did have the opportunity to read about the developments in the area newspapers, and they got updated during information events from the elected neighbourhood committee. This improved the informal social contacts between the affected actors who were interested in the area (ZOHO-3).

The second period of participation took place during the tender procedure. The initiators from Havensteder and the municipality were replaced by other representatives of the organisations (ZOHO-5). Due to a select part of the ZOHO-citizens as jury and their obliged confidentiality, the other ZOHO-citizens and (surrounding) neighbourhoods were not included at all. The citizens of the jury were not allowed to discuss ideas and give feedback to the citizens who were not involved; causing a gap of knowledge between a united whole. The tender process officially started in 2018, and the winning plan has not been published yet. It was causing a substantial reduction of activities from the ZOHO-citizens with other citizens and inhabitants (ZOHO-2). The citizens of the jury tried to inform others during gatherings with a limited amount of information that they were allowed to discuss. However, it was so limited and vague, that many citizens and inhabitants were not interested in attending (ZOHO-5). The trust between the effectors and the affected differs in the two participation phases. After the tender, it decreased due to the lack of information available and uncertainty

for the businesses to keep existing. Therefore, it can be stated that the built trust between affected has not changed and remains solidly because they are aware of the confidentiality, while the trust between affected and effectors minimized.

Assessments of preconditions	Explanation	Addition
Trust is built	- Slow Urbanism-phase beneficial for Havensteder, citizens and municipality; low threshold to participate and initiate	+
	- Due to transparent character of Slow Urbanism, inhabitants who were interested could join meetings: creating informal contact	+
	- During tender period only a select group of ZOHO-citizens were involved, and others intentionally excluded	-
	- Confidential information could not be shared with other ZOHO-citizens and inhabitants	-
	- Attendance of inhabitants/citizens decreased due to lack of shared information and timing; blaming the effectors	-
	- Due to long period of silence, businesses are uncertain of future situation; decreased the level of trust to effectors	-

Figure 26. Assessment of precondition summarized by explanation.

#### *Administrators willingness*

The administrator's willingness for participation with the affected is related to the extent of a transparent process, and the relation between the inhabitants/businesses with the effectors. Thereby, the willingness is related to social equity and social capital.

Regarding the process before the tender, there was a collective aim from Havensteder, municipality of Rotterdam and the ZOHO-citizens to create an exceptional piece of Rotterdam. Also, due to the central location, Havensteder was able to sell the property for a higher bid if the area had a positive character. For the municipality, the improvements and connection with the deprived surrounding areas was a reason for collaboration. The ZOHO-citizens could be seen as activators of the area, whilst renting commercial spaces from Havensteder for a reduced price (ZOHO-3). This developed entrepreneurial character of ZOHO was valuable for the municipality from a perspective of creating (social) sustainable areas (ZOHO-4). Havensteder complied with the character but also tried to limit some sustainability demands because it could influence the bid (ZOHO-2). A selected group of citizens were invited to join the jury during the tender procedure. They were strictly appointed that from that moment, all information was confidential, and they were on the side of the effectors instead on the side of the citizens (ZOHO-4). This statement is important because it shows that the effectors intend to limit the amount of shared information from a group of affected public and thereby exclude them. From the effectors' point of view, this ensures a transparent process for the market-parties throughout the different rounds (ZOHO-6). However, ZOHO-citizens do not agree upon this point. They believed that a transparent process also inheld to share information with all the affected public or at least allowing them to get involved without affecting the market-parties. Also, the effectors state that the (surrounding) businesses were never their focus-point. They would get involved in the participation process after the tender selection when they would continue a dialogue with the neighbourhood (ZOHO-4).

Regarding the social capital, the affected public has been supported by the effectors in the process before the tender. During the tender, the ZOHO-citizens involved as the jury were equally treated in dialogues and discussions. The tender process was seen as an intense period for all actors. From the perspective of a ZOHO-citizen; there has always been a willingness of participation, but the hierarchical organizational structure of the municipality does not support the efficient and open process as it should be.

At the end of the tender process, it caused delay and unplanned changes (ZOHO-2). Therefore, it is believed that the willingness of effectors was present with the ZOHO-citizens, but the process needed changes to be a fully participatory process. Also, the inhabitants and part of the ZOHO-citizens were intentionally excluded from the process.

It can be concluded that Havensteder and the municipality offered a different kind of support during the Slow Urbanism phase, but also saw the contribution of the ZOHO-citizens during the tender. However, due to juridical processes, the effectors choose to limit the number of ZOHO-citizens involved in the tender jury. Therefore, the assessment is strongly supported.

Assessment of preconditions	Explanation	Addition
Administrator's willingness for participation	- Havensteder supports Slow Urbanism due to increase of (future) value; financial support	+
	- Municipality supports Slow Urbanism due to willingness to connect deprived surrounding areas; facilitating support	+
	- Effectors intentionally limited the amount of involved affected public for tender process	-
	- Internal discussion regarding sustainability matters during tender	+
	- Organizational structure of municipality caused time delay and unplanned changes in the process	-

Figure 27. Assessment of precondition summarized by explanation.

*Time & budget*

Time and budget are essential as they allow effectors and affected to initiate activities to support participation. This precondition is not directly related to a social concept but holds a relation with the process on the social equity level. If there is no budget to invest in the process, participants will not invest their time.

In the Zomerhofkwartier, an intrinsic motivation by the ZOHO citizens to create a particular area in Rotterdam was enough to initiate activities with other ZOHO-citizens and the (surrounding) inhabitants. For some activities, the ZOHO-citizens even paid by ‘adopting’ a neighbouring resident during a lunch to increase the social cohesion. While also supporting the branding of their own business and the area. The ZOHO-citizens were financially supported by a reduced rent from Havensteder to initiate such activities and create liveliness in the area. Occasionally, Havensteder supported the entrepreneurial character of ZOHO as well by a financial donation to, e.g. improve the façade and thereby improve their visibility, and the to establish the ZOHO-principles (ZOHO-5).

Beforehand, the agreement was made that Havensteder and the municipality would decide upon the financial aspect of the tender. ZOHO-citizens would only jury for the spatial and social aspects of the market plans. The citizens who agreed to be part of the jury did not receive any salary or payment for their involvement. This was all based on their voluntary willingness to improve the neighbourhood and maintain its character of ZOHO.

Regarding the timing of the process, the tender procedure was all confidential. The winner of the tender was announced in 2019, but the plans for the Zomerhofkwartier remain secret. The reasons for not publishing the plan, are based on the financial discussions between Havensteder and the municipality on the land sale. The discussions have impacted the inhabitants and mostly the businesses in an uncertain situation. E.g. some businesses are not sure whether or not to extend their period as a tenant. It is acknowledged that time-management should have been an aspect of discussion before the tender started (ZOHO-4).



To conclude in both processes (Slow Urbanism and tender), the time and budget were sufficient. However, the time delay of the announcement of the final plan caused frustration and unexpected uncertainties for businesses. Therefore, the assessment is fully supported between affected and strongly supported between affected and effectors.

Assessments of preconditions	Explanation	Addition
Sufficient time & budget	- Intrinsic motivation from affected businesses to involve	+
	- Financial contribution by Havensteder during Slow Urbanism	+
	- Facilitating contribution by municipality during Slow Urbanism	+
	- Havensteder and municipality clients of the tender; no payment for citizens	±
	- Timing after winner of tender caused frustration and uncertainty among businesses and (surrounding) inhabitants	-

Figure 28. Assessments of preconditions summarized by explanation.

Assessments of preconditions	Between affected	Between affected & effectors
Established an identity	Moderately supported	-
Trust is built	Fully supported	Slightly supported
Administrators willingness for participation	-	Strongly supported
Sufficient time & budget	Fully supported	Strongly supported

(Scale from: not supported- slightly supported -moderately supported - strongly supported - fully supported)

Figure 29. Statements of preconditions supported based on scale from not supported – fully supported

Figure 29 comprises the supportiveness of the assessments of preconditions based on the explanation. Therefore, a distinction is made between affected and the assessment of preconditions between affected and effectors. A complete overview of the assessments of preconditions with explanation is listed in appendix IV.

#### 4.1.5. Relation to social sustainability

This paragraph will show how the described participation process contributed to social sustainability according to five social concepts retrieved from literature. A more elaborated version of figure 35 is given in appendix V.

##### *Social equity*

Social equity is measured based on two measurements: the extent of feedback for an open dialogue, and if the documented process has reached the affected public. The communicative tools, used in the process before the tender, were focussing on a collaborative approach where the effectors were seen as main facilitators. During the tender procedure, a same process was established where the citizens had 20% of the say in the jury decision because they were not involved in the financial discussion. This because the ZOHO-citizens were tenants of the area and not property-owners as Havensteder and the municipality of Rotterdam (ZOHO-2). The vote of the citizens was equal to Havensteder and the municipality on the spatial/social qualities. Also, the citizens were involved in all dialogues and discussions. They actively participated in the tender procedure. So, this means that the feedback was fully supported.

The ZOHO-citizens distributed and promoted the image of the area while promoting their own business. Different methods were used to reach other local businesses and inhabitants. Due to the significant social-economic

differences, the ZOHO-citizens were not able to reach all the (surrounding) neighbourhood (ZOHO-2) Also, the distribution of information regarding the tender was limited. The citizens of the jury needed to assign a confidential contract, where sharing information with the rest of the citizens/inhabitants was prohibited. Therefore, the information has not reached its potential, and the measurement was moderately supported (ZOHO-4; ZOHO-1).

Measurement(s)	Explanation	Addition
- Feedback given from effectors during process (open dialogue)	- Facilitating role of effectors in the first round creates a low threshold to join slow urbanism	+
	- Tender procedure is open and transparent; affected equally involved/treated compared to effectors	+
- Documentation/information of process has reached affected	- Feedback was given to a select group of ZOHO-citizens; information was confidential	-
	- ZOHO-citizens tried to involve all (surrounding) inhabitants by (informal) events, meetings, newsletters etc.	+
	- The response was limited due to a different social-economic background of the inhabitants	-
	- Information of tender was confidential; not possible to distribute	±

Figure 30. Summary of measurements explained per social sustainability concept.

*Social inclusion*

Social inclusion is measured by the extent of exclusion of groups of the affected public based on age, nationality and education during the participation process. In the Zomerhofkwartier, inhabitants, in general, were excluded from both the process before the tender as during the tender. The ZOHO-citizens tried to reach out towards the (surrounding) inhabitants, but creating a vision seemed to be too abstract for inhabitants. They rather discuss and give feedback on more concrete plans (ZOHO-3). During the tender, all affected public was excluded except a select group of eight ZOHO-citizens who were part of the jury. They were not allowed to share the information during the tender (ZOHO-2). Therefore, the measurement was slightly supported.

Measurement(s)	Explanation	Addition
- No exclusion of groups of affected based on age, nationality, education during the participation process	- ZOHO-citizens tried to involve all (surrounding) inhabitants by (informal) events, meetings, newsletters etc.	±
	- Social-economic background of inhabitants plays a role in understanding the issue(s). Most of these people have more relevant problems of their own.	-
	- Inhabitants surrounding the Zomerhofkwartier find the addressed issues too abstract and vague	-
	- Diverse and active involvement of ZOHO-citizens and other local businesses	+

Figure 31. Summary of measurements explained per social sustainability concept.

*Social capital*

The informal contact between affected and effectors through support and mutual help is seen as the primary measurement for social capital. In the first period before the tender, the municipality and Havensteder supported the citizens by financial contributions, but they did not involve in the implementation of the monetary contribution. The citizens were allowed to spend it how they wanted. However, the threshold to engage the

effectors/affected was low, and from their collaboration, the informal contact grew (ZOHO-5). During the tender, the citizens were obliged to follow the rules set by the municipality and Havensteder as property-owner and client of the tender. Although the citizens were able to discuss and involved throughout the whole tender procedure, they were not able to steer the process (ZOHO-6). Therefore, informal contact has increased between the affected and effectors until a certain extent, but not through mutual help and support. In the period before the tender, the informal contact was built due to the willingness of effectors to stay informed and involved. Thus, the measurement was in some situations contributing to the informal contact through mutual help. However, mutual help was not observed in all cases. Therefore, the measurement is moderately supported.

Measurement(s)	Explanation	Addition
- Increase of informal contact between affected and effectors through mutual help and support	- Facilitating role of effectors in the first round, but are not involved in the way of spending; not a matter of mutual consent	±
	- Low threshold to engage effectors due to the intense contact between different parties	+
	- Rules and procedure were set up by a third party where effectors remain client and no steering of ZOHO-citizens	-
	- Tender procedure is open and transparent; affected equally involved/treated compared to effectors with mutual help and support	+
	- Only informal contact between selected group of affected public due to confidential character	-

Figure 32. Summary of measurements explained per social sustainability concept.

### *Social cohesion*

Regarding social cohesion, three different measurements are taken. The first one is similar to the measurement of social capital but refers to the contact between the affected public. Also, the extent of satisfaction is measured according to the desire to leave/stay in the neighbourhood, and the willingness to represent the neighbourhood is essential.

There has never been a disagreement between ZOHO-citizens on interest, only a discussion on which aspects of the area are more relevant to maintain than others. The ZOHO-citizens tried to involve the inhabitants, but their response was limited (ZOHO-2). Only a few interested inhabitants joined a meeting/lunch or another activity. Thus, there was not much mutual support and help between inhabitants and ZOHO-citizens, resulting in moderate support.

The desire to stay in the neighbourhood is limited among inhabitants and is strong among businesses. It is believed that this has a relation with the identity of the area. The social housing tenants within the Zomerhofkwartier are not likely attached to their condominiums, and the surrounding neighbourhoods consider themselves to be part of the neighbourhoods Agniesebuurt or Oude Noorden. This indicates moderate support.

This was also seen in the willingness to be representative of the neighbourhood for the tender procedure. Among businesses, some were not interested in representing ZOHO because they wanted to participate in the tender as a market party, and/or others declined due to the confidentiality (ZOHO-5). Although the request was published among inhabitants and businesses, only businesses responded to join the tender as jury. This indicates slight support of the measurement.



Measurement(s)	Explanation	Addition
- Increase of informal contact between affected through mutual support and help	- Inhabitants surrounding the Zomerhofkwartier find the addressed issues too abstract and vague; low level of attendance - Social-economic background of inhabitants plays a role in understanding the issue(s). Most of these people have more relevant problems of their own; since a year growth in informal contacts due to Stad in de Maak - Among ZOHO-citizens there is much help and support, both professionally as in the process - ZOHO-citizens tried to involve and reach all (surrounding) inhabitants by (informal) events, meetings, newsletters etc.	- - +
- Desire to stay in the neighbourhood	- Social housing tenants are not very attached to housing and area due to their problems - Identity is mainly focused on the entrepreneurial aspect of the area focussing on ZOHO-citizens - Strong desire to stay in the area by businesses	- ± +
- Willingness to represent the neighbourhood during process	- Request sent to participate in the tender for both inhabitants as businesses - Some businesses dropped out to enter competition/be available to be critic/ not willing to sign a confidential contract - No inhabitants were interested	± - -

Figure 33. Summary of measurements explained per social sustainability concept.

### Safety

Safety is measured by the feeling of being safe during the day/night, and if that feeling has changed throughout the process. Most of the interviewees agree that ZOHO is considered safe during the day, where during the night the liveliness of the area diminishes. This leaves room for theft and a possible drugs scene (ZOHO-3). By some, it is believed that the process of ZOHO did not very much contribute to the level of safeness. When Havensteder became the owner of the area in 2005, the safety of the area was one of the focus points for Havensteder, police and municipality. Since then, not much has changed (ZOHO-5). Others believe that the process by initiating different activities between ZOHO-citizens (and the inhabitants) improved the image of the area and also the feeling of safety (ZOHO-5).

Based on the data from the municipality's safety-index in 2016, the Agniesebuurt compared to other neighbourhoods in Rotterdam scored under average. Overall, vandalism and nuisance are considered as problems in the area (Gemeente Rotterdam, 2020).

Measurement(s)	Explanation	Addition
- Feeling of safety during daytime increased after process	- Issue of safety in Zomerhofkwartier addressed before Slow Urbanism started - Some believe the interaction/activities between citizens helped to improve the feeling of safety, others say it was handled beforehand and therefore not related to process	± ±
- Feeling of safety during the night increased after process	- Area is not used during the night; feeling of unsafe remains - The process has not contributed to this, because businesses are working during the day to create liveliness	- -

Figure 34. Summary of measurements explained per social sustainability concept.

Social concept	Measurements	Supported
Social equity	- Feedback given from effectors during process (open dialogue) - Documentation/information of process has reached affected	- Fully - Moderately
Social inclusion	- No exclusion of groups of affected based on age, nationality, education during the participation process	- Slightly
Social capital	- Increase of informal contact between affected and effectors through mutual help and support	- Moderately
Social cohesion	- Increase of informal contact between affected through mutual support and help - Desire to stay in the neighbourhood - Willingness to represent neighbourhood during process	- Moderately - Moderately - Slightly
Safety	- Feeling of safety during daytime increased after process - Feeling of safety during the night increased after process	- Moderately -Not supported

(Scale from: not supported - slightly supported -moderately supported - strongly supported - fully supported)

Figure 35. Summary of the extent of support of social concepts by main measurements in the Zomerhofkwartier

Figure 35 illustrates a summary of the measurements and to what extent they were supported per measurements. This was based on the (textual) explanation and the addition, which were explained in the previous paragraphs.

## 4.2. Top down: Kogerveldwijk

### 4.2.1. Introduction

The Kogerveldwijk is a mixed-use suburban area next to the city centre of Zaandam. The sub-areas Boerejonkerbuurt, Kogerveldbuurt, Hofwijk, Oostzijderveld and Hoornseveld, are collectively named as the Kogerveldwijk. However, each neighbourhood has its characteristics. Where the Kogerveldbuurt is mainly a low/middle segment residential area with several local businesses, the Oostzijderveld and Hoornseveld are used for recreational use. The Hofwijk and Boerejonkerbuurt are characterized by a mix of (social) housing and deteriorated non-used industrial plots. By physical barriers such as the railway, highways and the river Zaan, the neighbourhoods are separated from not only each other but also the rest of Zaanstad (Gemeente Zaanstad, 2017).

In 2016, the municipality of Zaanstad published a spatial ambition-document: MAAK.Zaanstad 2040. One of their goals is to transform all industrial areas to mixed-use areas, which will create resilience in the growth of inhabitants on an economical and spatial level. Expected is that Zaanstad will increase by 20%, demanding for 13.000 new condominiums in the middle and higher segment. This is influenced by the ambition for Zaanstad to become part of the metropole of Amsterdam. It was thereby aimed to improve the inter-, and inner-city connection with infrastructural changes and additions (Gemeente Zaanstad, 2016). Currently, the infrastructure mainly forms barriers and separates areas in Zaanstad instead to connect them.

Next to all the changes, a critical goal for the municipality is also to preserve the identity of Zaanstad. At the start of the 20<sup>th</sup> century, Zaanstad's economic opportunities attracted new residents, therefore, resulting in more suburban areas in the north of Zaandam. The Kogerveldwijk is one of these areas, which expanded even more after WWII. Although the current residents appreciate their neighbourhood on its central location and green spaces, it is acknowledged that the current conditions of the public spaces and (social) housing stock is rather 'poor'. The ambition is to maintain the suburban character while improving these living conditions. Also, the addition of higher segment housing is needed to increase the social-economical balance of the area and thus attract and maintain local (new) businesses to the area as well (Gemeente Zaanstad, 2017).

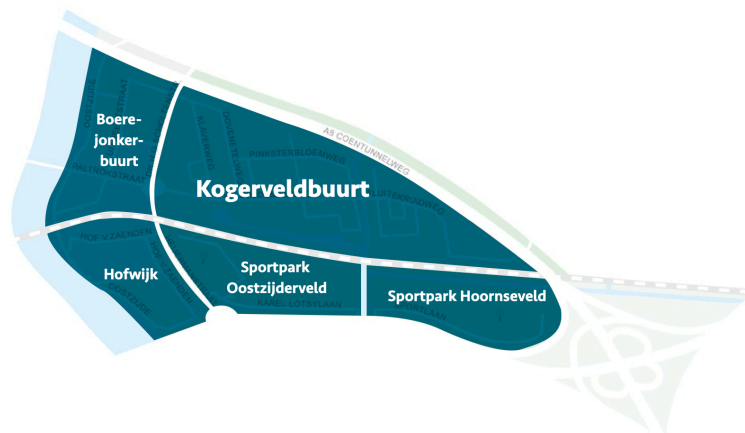


Figure 36. Location of Kogerveldwijk divided in neighbourhoods with infrastructure; derived from (Municipality of Zaanstad on 09/04/20 from: [https://cms.zaanstad.nl/system/attachments/files/000/001/769/original/Analyse\\_Kogerveld\\_2017.pdf](https://cms.zaanstad.nl/system/attachments/files/000/001/769/original/Analyse_Kogerveld_2017.pdf) )

### Demographics

The Kogerveldwijk has 4700 inhabitants divided over the three neighbourhoods Hofwijk, Boerejonkerbuurt and Kogerveldbuurt. All areas also have their characteristics based on the demographics. In the Kogerveldbuurt, 60% of the housing stock is privately owned compared to 42% in the Boerejonkerbuurt. In the Hofwijk almost all condominiums are rental. From the overall housing stock, 61% are single households. About 14% of the total inhabitants has an income under the social minimum. In the Kogerveldbuurt, the average income is €22.100 gross per year, which is considered as low, middle income. The Boerejonkerbuurt has an average income of €19.900, which is considered as low income. Although there are no numbers available on the average income in Hofwijk, it is assumed that the income-level is also considered as 'low' (Gemeente Zaanstad, 2017). In the Kogerveldbuurt, the number of local businesses is 165. The businesses are mostly retailers. In the Boerejonkerbuurt there are 170 businesses, which are mostly used for industrial use. About the Hofwijk, no data is given (AlleCijfers.nl, 2020).

#### 4.2.2. Planning process

From a municipal perspective, the Kogerveldwijk was appointed as focus-area for the developments of MAAK. Zaanstad. After the ambition-document was published in 2016, the planning process started with a plan of intent for the participation process. The importance for the municipality of Zaanstad to involve the affected public was based on the quality assurance (wisdom of the crowd), while creating understanding for each other. The process was planned according to the APS-method: analysis, perspective, strategy.

In the analysis-phase, a first workshop was organized with local businesses, housing associations, social workers and other professionals. Afterwards, several interviews were held in all the different neighbourhoods of Kogerveldwijk with inhabitants. Also, the inhabitants were invited for a walk through one of the neighbourhoods to point out the possible (short-term) changes. Together they formed the input for the analysis, which was publicly presented in July and December 2017. Not only a general analysis was made for the Kogerveldwijk, but also all the neighbourhoods separately were identified on their strengths, weaknesses, opportunities and threats. The main conclusions from the analysis were that the neighbourhoods need to be better connected, where also the connection between people of these neighbourhoods need improvements. Besides, the lack of trust among the inhabitants and businesses towards the municipality was also shown. This challenged the municipality to be more visible during the next phase of the process.





Figure 37. Meeting with the professionals; derived from: (Municipality of Zaanstad on 08/05/2020 from [https://maakkogerveldwijk.zaanstad.nl/system/attachments/files/000/005/953/original/ZAA901\\_2\\_Rapportage\\_Kogerveldwijk\\_070519.pdf](https://maakkogerveldwijk.zaanstad.nl/system/attachments/files/000/005/953/original/ZAA901_2_Rapportage_Kogerveldwijk_070519.pdf))

The output from the analysis formed the input for the perspective phase at the start of 2018. First of all, an advisory board was appointed with representatives from the city council, municipal board members and local businesses/inhabitants from the areas. The aim for setting up the advisory board was to critically get feedback during the/on process from different perspectives, especially on the topic 'participation'. In April 2018, the municipality invited the businesses, civic organisations and other professionals for a first session of the (long-term) perspective of Kogerveldwijk in 2040, which was based on the focus-points retrieved from the analysis. On the short-term, the municipality initiated a second walk through the neighbourhood Hofwijk, where after an amount of €250.000 was made available to invest in short-term initiatives. The MAAK weeks mainly influenced the perspective-stage: two weeks of different workshops were organized for the inhabitants, businesses, civic organisations, and other interested to create a perspective per theme together with the municipality collaboratively. All the ideas and input per theme were combined and visually displayed at the end of the second week, where people were also able to add suggestions and new ideas. In January 2019, the final perspective was presented to all the involved public. Afterwards, the perspective of Kogerveldwijk was presented to the city council in May 2019.



area management within the Kogerveldwijk has been crucial. Directly involved in the area is the social area team, which supports the inhabitants directly with their problems such as informal care.

The Kogerveldwijk is subdivided into two recreational areas with no inhabitants/businesses and three mostly residential areas with (supporting) businesses. All of these areas have their character (KOVE-1). The Boerejonkerbuurt has a focus group which connects with the inhabitants and businesses by occasionally initiating activities. However, most of their time is spent on solving problems to ensure the living quality of the neighbourhood (KOVE-3). From an activity during the MAAK. process (walk through the neighbourhood), an area centre has opened with volunteers who are participating in Hofwijk: afterschool-support, cooking classes, a sewing club (KOVE-4). The active inhabitants in Kogerveldbuurt are not represented in a collective. However, some of them take place on the advisory board of MAAK. Zaanstad, where they represent their neighbourhoods and the aims of inhabitants/businesses. Also, they tend to provide advice to the team of MAAK. Zaanstad on the process.

All neighbourhoods separately initiate activities and some social gatherings. However, the focus and organisation differ. They are not connected with each other. Only the 'buurtcamping' is an example of an initiative from the Kogerveldwijk. For inhabitants who are not able to go on holiday, a few initiative-takers set up a camping in the area to support those families with a holiday within their neighbourhood (KOVE-1)

	Participation area management	Participation MAAK.
Effectors	Area management (municipality) Social Area Team (municipality)	Advice group MAAK. Process manager MAAK.
Affected	Focus group Boerejonkerbuurt Area centre Hofwijk Active inhabitants Kogerveldbuurt Businesses Other inhabitants	Focus group Boerejonkerbuurt Area centre Hofwijk Active inhabitants Kogerveldbuurt Businesses Other inhabitants

Figure 40a. Summarized list of effectors and affected in KOVE case

### Relationships

There are two participation processes within the Kogerveldwijk: in area management and during MAAK. The area management and MAAK process management are collaborating to improve both participation processes. MAAK. focuses on mainly long-term redevelopments of the area, but they need the inhabitants to get involved. Therefore, interaction with the inhabitants through area management is essential. Officially, the social area team is supporting the area management and thus, they influence the process of MAAK. indirectly. However, all contact with the inhabitants does not relate to the involvement of the area management in all cases; the process management of MAAK. has established its own goals and methods to attract citizens. One of these methods is by involving area management.

The local representation is divided per neighbourhood by a focus group in the Boerejonkerbuurt and an area centre in Hofwijk. Their volunteering work is compared with the work of social area teams; however, they are living in the area and are directly representing the inhabitants. Most of these representatives are only focussed on the inhabitants, not on the businesses. The advisory board of MAAK Zaanstad indirectly represents the businesses. They also represent inhabitants of all the neighbourhoods. Besides, the businesses were seen as a separate group from the inhabitants and were directly involved in the MAAK. process. Only the inhabitants from the Kogerveldbuurt are not represented by a collective. However, they are directly involved in area management.

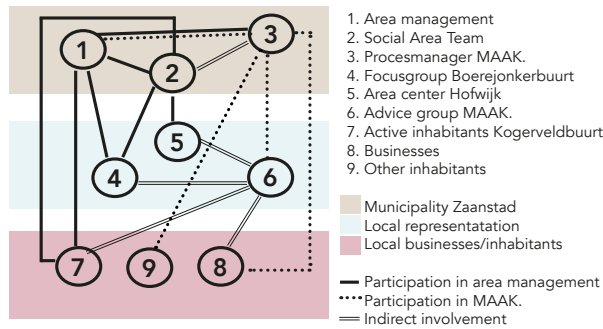


Figure 40b. Actor scheme per participation process in Kogerveldwijk

*Communicative planning in timetable*

The following figure illustrates the timetable in an abstract form with the main used communicative planning tools. The tools are distinguished in the analysis phase and the perspective phase.

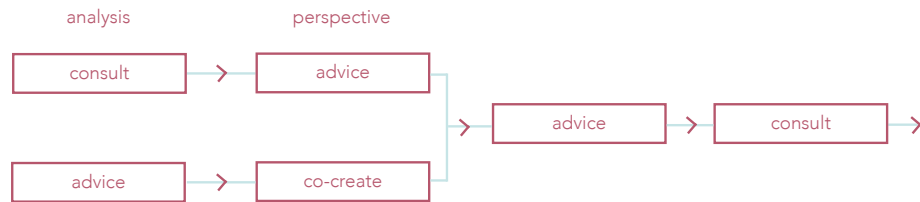


Figure 41. Abstract timeline of planning process with communicative tools

- *Analysis phase: consult and advice*

The analysis phase focused on consulting the inhabitants and getting advice from businesses and other civic organisations. Inhabitants were asked about their opinion on their neighbourhood through interviews. This was only seen as data collection. After the process, not all inhabitants were aware of the feedback given on their input by an analysis presentation. Some of them even taught that the meeting had different purposes (KOVE-6).

Businesses and other civic organizations were already in the analysis phase seen as potential partners, with whom the municipality wanted to share a vision. Therefore, a workshop was organized for only these actors to analyze the area from their perspective (KOVE-2).

Only the ‘walk through the neighbourhood’ could be seen as advice from the inhabitants, because the short-term initiatives were taken into account and implemented in a short period. Because the initiatives were based on short-term, these implementations can be seen as part of area management collaborating with MAAK.

(4) *Perspective phase: advice, co-create and consult*

For the per perspective phase, the municipality continued their approach mostly by advice. At the start of the process, the municipality established an advisory board, existing from businesses, inhabitants and municipal representatives as well. Although the board was set up to advise on the process, most of the advice from inhabitants/businesses was given on short-term problems in the neighbourhood (KOVE-2).

Parallel to this, the municipality continued to separate professionals (businesses as housing associations, caretakers etc.) from the inhabitants. In a partner-workshop, the municipality wanted to gather all the visions from the professionals at first. Subsequently, they would effectively tell the story during the MAAK. weeks. It could be stated that the professionals from the area were used to co-create and collaboratively start the conversation with the



other inhabitants/businesses of the (surrounding) area. The themes for the MAAK. weeks were collaboratively chosen.

The MAAK. workshops were divided into several subjects, where not only the municipality led the workshops, but also the municipal professionals working in the area, e.g. the healthcare department (KOVE-2). The participants during the workshop could give their opinion and ideas about a particular topic, which were bundled in a visual drawing. It all formed input for the municipality to develop the perspective. Before the perspective was presented to the municipal board and city council, there were different meetings in the neighbourhoods organized to discuss the perspective until that point. The developed was in that stage almost finished, which makes it a form of consulting the inhabitants/businesses.

#### 4.2.4. Preconditions meaningful participation

In the past paragraph, the actors and their communicative planning were described. To elaborate more on the communicative planning, they will be further analysed according to four preconditions retrieved from literature. These will give a further view of the effect of the communicative approaches by using the perception of both effectors and affected.

##### *Creating an identity*

The identity of the area is based on social inclusion, social cohesion and safety since this focus directly on the identity between affected public. The Kogerveldwijk exists in three (mostly) residential areas and two recreational areas. Each of the areas has its character: Kogerveldbuurt is considered as the neighbourhood with the highest income and amount of active businesses. Boerejonkerbuurt is partly deteriorated by vacant industrial plots/buildings but has a close community. The Hofwijk is a mixed area with much social housing and also vacant industrial areas. Between the neighbourhoods, there is almost no interaction. Most of the local businesses for the area are located in the Kogerveldwijk, where the Boerejonkerbuurt offered space for self-employed entrepreneurs. They did not directly contribute to the area with their business. In all the areas, the businesses and inhabitants are observed as different groups with different interests.

The engagement of the affected public to the participation processes was limited. There is a certain level of enthusiasm among a select group of inhabitants/businesses, who are willing to represent their neighbourhood and invest time in the area. When one of the representatives stops, it is hard to find a replacement in the neighbourhoods (KOVE-1). Inhabitants blame the lack of engagement to different reasons: cultural differences, language barriers, social disability and age differences (KOVE-1; KOVE-2; KOVE-3; KOVE-6). This, although the municipality tried to reach out to all the possible affected public for the MAAK process through newspapers, flyers, digital communication, location visits and personal contact (KOVE-2; KOVE-5).

The social cohesion of the areas is concentrated on the initiatives by the few representatives in the area and the area management (with social area team) from the municipality. In the Boerejonkerbuurt, a focus-group is active of a few inhabitants. They mainly support the living conditions, and thus, most of the time, they are handling problems within the area. A few years ago, several informal activities were organized (BBQ), but a decreased number of children has also limited the social willingness for interaction between inhabitants and businesses. Although there are businesses within the network, their main concerns go to inhabitants (KOVE-3). Hofwijk is an area with much social housing. Since a few years, an area centre has been set up. They also support its inhabitants with help, but also initiate a cooking club and sewing club. Only a minimal number of inhabitants join these events (KOVE-4). In the

Kogerveldbuurt, there is not a representative group of inhabitants and businesses.

The feeling of safety also depends per area. All the interviewees who live in the areas do not have the feeling that any participation process has influenced this feeling. The Boerejonkerbuurt is considered safe during the day, but not lively. Because of this, youth who is hanging around can cause a feeling of unsafe. In the evening, all the inhabitants rather walk on the main road, instead of a shorter route (KOVE-3, KOVE-5). The Hofwijk is not seen as an unsafe area; only people have become more individualistic (KOVE-4). The Kogerveldbuurt is known for criminality. Businesses take that into account and adjust their opening times (KOVE-7).

Based on the missing character, no interaction between neighbourhoods, low willingness to represent and participate and the businesses which are barely represented, it can be concluded that there is not an identity established among all the affected actors.

Assessment of preconditions	Explanation	Addition
Established an identity	<ul style="list-style-type: none"> <li>- Different neighbourhoods with own character and no interaction</li> <li>- Representatives are hard to find in the area</li> <li>- Solving problems rather than initiating informal events to connect with other inhabitants/businesses</li> <li>- Businesses barely represented in the area</li> <li>- Low willingness to participate in all participation processes due to cultural differences, language barriers, social disability and age differences</li> </ul>	<ul style="list-style-type: none"> <li>-</li> <li>-</li> <li>-</li> <li>-</li> <li>-</li> </ul>

Figure 42. Assessment of precondition summarized by explanation.

#### *Building trust*

Trust is potentially related to social equity, social capital, social cohesion and safety. Social equity and capital focus on the trust between affected and effectors, there social cohesion and safety focus on the trust among the affected public.

Area management and the MAAK. process were intertwined with each other. Where MAAK. focuses on long-term area development, area management concentrates on short-term interests in the neighbourhoods. During both participation processes, continuous communication was maintained between area management and the process management of MAAK (KOVE-1). During the analysis-phase, several issues were addressed by the inhabitants. The short-term issues were passed on to the area manager. For example, they were improving the crossovers and maintenance of a local square in the city centre. The approach of the municipality was based on advice and/or consult. Also, in short-term initiatives, the implementation of the improvements was done by the municipality, although inhabitants/businesses were asked for their opinion beforehand. In some cases, it caused miscommunication because the inhabitants/businesses believed to be able to influence on the details. Due to this miscommunication, the inhabitants/businesses had the idea that their involvement in future initiatives would be worthless in any way (KOVE-7). Miscommunication is more often seen in the MAAK. process: the municipality tries to contact inhabitants and businesses through digital communication and personal contact in the neighbourhoods, however, the inhabitants do not look at websites and purposes of events were not always clear. (KOVE-3; KOVE-6). The advisory board did not always acknowledge their role as a representative. Some of them rather saw the advisory board as a method to complain about short-term problems (KOVE-7, KOVE-5).

The municipality is divided into three actors, which support each other. The process manager of MAAK. is in contact with the

inhabitants/businesses through the advisory group, and the area manager is, together in the social area team, more in contact with the inhabitants/businesses daily. The area management is considered as positive since the inhabitants and businesses have the feeling that they are heard through direct short-term initiatives (KOVE-5) although inhabitants/businesses do have to address their problems/ideas before area management can help them. The addressed issues during the MAAK. process by the involved representatives of inhabitants and businesses were also taken into account. The representatives considered their contact also as informal (KOVE-3). However, it must be acknowledged that the representatives are a small number of inhabitants/businesses who are living/working in the areas. Social cohesion and safety are related to the trust within the neighbourhoods. As explained in the ‘creating identity’, the representatives within the focus group and area centre were necessary for the social cohesion. Some of the interviewees state that the involvement of the inhabitants/businesses was severe because people do not feel responsible for the neighbourhoods. Trust is built through these representatives by personally asking inhabitants to engage (KOVE-3), where others try to take the cultural differences into account as much as possible (KOVE-4). In the Hofwijk, promotion is distributed and translated into different languages. E.g. a young girls-night was organized where after the organizers brought all of them home. This is also related to safety because the feeling of safety is not always guaranteed in all areas. The initiatives are taken by the inhabitants/business themselves, not in collaboration with the municipality.

Therefore, it can be concluded that the assessment that trust is built among the affected public is moderately supported. The trust between affected and effectors is slightly supported.

Assessment of preconditions	Explanation	Addition
Trust is built	<ul style="list-style-type: none"> <li>- Area management and process management of MAAK. support each other to create understanding and low threshold for informal contact</li> <li>- Miscommunication has taken place on different levels, although attempts by the municipality are made</li> <li>- Large percentage of affected public has not been reached, although attempts by the municipality are made</li> <li>- Small number of representatives who take the lead in local initiatives, who do not feel supported by the rest of the neighbourhood</li> </ul>	<ul style="list-style-type: none"> <li>+</li> <li>-</li> <li>-</li> <li>±</li> </ul>

Figure 43. Assessment of preconditions summarized by explanation.

#### *Administrator's willingness*

The administrator's willingness is related to the matter of transparency within the process towards the affected public, and the interaction with them. The municipality has tried to reach its inhabitants/businesses of the Kogerveldwijk through direct support by area management and involvement within the process. Before the process of MAAK. started, they defined the extent of participation with the affected public by advice/consult, but this was not communicated in all cases to the affected public. It seemed to the affected that the municipality heard them but did not do anything with it (KOVE-4). Besides, information and feedback were given mostly digitally, while the advisory board has advised them that information provision online would not reach all the affected. (KOVE-3; KOVE-5). However, their advice was taken into account partly by location visits and sending personal letters to each household/business in the Kogerveldwijk (KOVE-2).

For representatives of the inhabitants/businesses, there was a low threshold to contact the area manager and/or the social area team. The

informal contact between the affected and effectors strengthened. However, the division of actors representing the municipality also caused difficulties for the communication towards the affected public, as the short-term initiatives were seen as part of MAAK. and/or long-term ideas were related to area management. This caused miscommunication between affected and effectors. Therefore, the assessment is strongly supported.

Assessment of preconditions	Explanation	Addition
Administrators willingness for participation	- Municipality tried to reach all the affected public by multiple methods	+
	- Advice was taken from advisory board	+
	- Feedback was given to all questions digitally	+
	- The approach was not communicated properly to the affected public	-
	- Informal contact increased due to area management	+
	- Division area management and process MAAK. caused miscommunication and/or not realizable ambitions for affected public	-

Figure 44. Assessment of preconditions summarized by explanation.

#### *Time & budget*

One of the preconditions is time invested by both affected and effectors, and sufficient budget for the participation process. The municipality has initiated the process in the Kogerveldwijk from top-down. The municipality both financed the participation process in area management and during the MAAK. process. A decade ago, centralization of finances within the municipalities was needed. At that time in the Hofwijk, subsidies were given to local organizations to support its social workers and stimulate social cohesion. Nowadays, it is stimulated that the inhabitants/businesses take the first steps in initiatives to improve the neighbourhoods. When initiatives are taken by inhabitants/businesses, the municipality can (financially) support them or facilitate the initiatives (KOVE-4). This is seen at the moment as well, where area management is based on supporting the initiatives and problems addressed by the affected public (KOVE-3). However, the neighbourhoods in the Kogerveldwijk are considered as low until middle-low income households, who often do not have the time and budget to take the lead in participation processes (KOVE-4; KOVE-5; KOVE-6).

The budget from top-down is also limited. As stated by one of the interviewees; participation is dependent on the engagement of inhabitants/businesses and on sufficient budget. In the case of Kogerveldwijk, the engagement was dependent on the issue which was addressed during the MAAK. weeks and besides, youth and citizens with another cultural background were not/limited represented. The municipality acknowledged that the budget has its limits, and they were not willing to invest more in the area to reach out for all the affected public (KOVE-2).

Assessment of preconditions	Explanation	Addition
Sufficient time & budget	- Municipality supports and facilitates, however initiatives from affected public is expected	±
	- Kogerveldwijk is considered as a deprived area with a lot of social housing and low-middle income households	-
	- Municipality acknowledged not reaching out to all the affected public due to lack of financial resources and time	-

Figure 45. Assessment of preconditions summarized by explanation.



Assessment of preconditions	Between affected (1-5)	Between affected & effectors (1-5)
Established an identity	Not supported	-
Trust is built	Moderately supported	Slightly supported
Administrators willingness for participation	-	Strongly supported
Sufficient time & budget	Not supported	Slightly supported

(Scale from: not supported- slightly supported -moderately supported - strongly supported - fully supported)

Figure 46. Assessment of preconditions supported based on scale 1-5.

Figure 46 comprises the supportiveness of the assessments of preconditions based on the explanation. Therefore, a distinction is made between affected and the assessment of preconditions between affected and effectors. A complete overview of the assessments of preconditions with explanation is listed in appendix VI.

#### 4.2.5. Relation to social sustainability

This paragraph will show how the described participation process contributed to social sustainability according to five social concepts retrieved from literature. An elaborated version of figure 52 can be found in appendix VII.

##### *Social equity*

During the MAAK. process, the feedback was given to the affected public by mostly digital communication. The affected public was able to ask any questions regarding the process and developments, which would be answered digitally on the website. However, the municipality acknowledges that the average attendance was a native speaker above 65 years (KOVE-2). Besides, the advice was given from the advisory board that digital communication would not be very much effective (KOVE-5). It was challenging to attract the youth and inhabitants with a different ethnic-cultural background.

In both phases, the municipality took a consult/advice approach towards the affected public, which was not stimulating an open dialogue. One of the interviewees stated that it seemed as if the municipality was only attending the gatherings, without any involvement (KOVE-3). Questions from the meetings were gathered and answered on the website, without taking the questions into reconsideration. After the MAAK. weeks, an exposition was organized where inhabitants and businesses could comment on the output. A difficult part is the intention of the municipality to communicate about future developments, where the affected public mostly concerns about issues at that moment (KOVE-2). To make it more concrete, a map of the Kogerveldwijk purposed as a base to draw/write and/or other ways to express what the inhabitants meant.

The process was very transparent in its documentation. Municipal meetings between the team of MAAK. and the city council were openly accessible, the analysis phase and perspective phases are documented, and feedback was given online per MAAK. session and/or other gathering/initiatives. Although the transparency, the amount of information did not reach all of the affected public. People were not aware of the online documentation, due to a lack of interest, understanding and/or were too busy (KOVE-6; KOVE-2).

Measurement(s)	Explanation	Addition
- Feedback given from effectors during process (open dialogue)	- Feedback was given digitally as reaction to questions; no further consideration and dialogue	-
	- Advice was given that digital communication was not effective in the area; municipality continued its communication approach	-
- Documentation/information of process has reached affected	- Advice/consult approach seems to be in contrast with the expectations of the inhabitants/businesses	-
	- Transparent documentation; all steps were documented digitally	+
	- Municipality tried to reach all the affected by different methods; lack of interest by affected public	+

Figure 47. Summary of measurements explained per social sustainability concept.

### *Social inclusivity*

The municipality was aware of the difficulty in attracting inhabitants with a different cultural background because of the language barrier, but also the youth and other inhabitants. The Kogerveldwijk is a mix of ethnical differences. Incomes and education-levels. It is considered as one of the most deprived areas in Zaanstad (KOVE-2). However, the municipality tried to reach out to all the affected public as much as possible: visits to the mosque, locating meetings in different areas to extend its reach, posters and banners within the building blocks and every household received a letter per post. However, little response was given and during the MAAK. weeks and other meetings, the attendance was low. Also, they are not involved in focus groups and the area centre, although attempts were made (KOVE-3; KOVE-5). The interviewees have different opinions on why there is a lack of involvement: social disability, differences between tenants and homeowners, ethnical differences. One of the interviewees stated that a real satisfied feeling might cause a lack of interest: people from different cultures may be already satisfied in their neighbourhood and do not see the necessity to complain. This differs from the perspective of native speakers, who have been living in the area for almost all their lives (KOVE-2).

Measurement(s)	Explanation	Addition
- No exclusion of groups of affected based on age, nationality, education during the participation process	- Alternative methods to approach the affected by the effectors did not contribute to attendance	±
	- Exclusion of groups mostly related to the affected public themselves	-
	- Mixed area with many different cultures. Education-level considered low and low-low middle-income households.	-

Figure 48. Summary of measurements explained per social sustainability concept.

### *Social capital*

Area management maintains the informal contacts within the neighbourhoods. The MAAK. process team collaborated intensely with the area manager and the social area team. Short-term complaints were directly handled by the area manager, which resulted in trust and lowered the threshold to connect with the municipality (KOVE-1; KOVE-2). All of the interviewed affected public consider their short-term complaints to be taken seriously. However, the low threshold is a result of contact with the area management, and thus for a large number of inhabitants/businesses who are not active in the area, the threshold may be high(er) (KOVE-4).

The interaction between the affected and effectors within the advisory board was considered as mainly positive. In the beginning, the municipality repeated the interests of the representatives without taking actions. This was because the actions were based on long-term. The process management of MAAK explained to the representatives that they had the same ambitions and documented this to the Board of Aldermen and the Mayor. This gave the representatives the feeling that the municipality stood behind their citizens (KOVE-5; KOVE-7). The collaboration was, from a municipal point of view, sometimes difficult because the advice was given on specific issues in the area, instead of advice on the process (KOVE-2). Mutual help and support have not always been achieved.

Measurement(s)	Explanation	Addition
- Increase of informal contact between affected and effectors through mutual help and support	- Intensive collaboration between process management and area management; short-term actions could be realized	+
	- Feeling of inhabitants to be taken seriously; low threshold to approach municipality for other issues.	+
	- Low threshold only for active inhabitants; only small percentage of neighbourhoods	±
	- Representatives advisory board had the feeling that the municipality stood behind its inhabitants	+
	- Municipality intended other interpretation of advisory board; help was one-sided.	-

Figure 49. Summary of measurements explained per social sustainability concept.

#### *Social cohesion*

A few representatives are engaged in creating initiatives within the Kogerveldwijk. In 2017, a foundation was established in the Kogerveldbuurt to realize a neighbourhood camping during the summer. These people initiated the camping for inhabitants in the Kogerveldwijk, who are not able to go on a holiday and are required to stay at home. The foundation was extracted from a neighbourhood committee in Kogerveldbuurt, which does not exist anymore. At the moment, the initiatives are taken from the social area management by setting up children disco's, clean-up operations and other activities. As is stated by one of the interviewees: it is hard to find inhabitants/businesses who are willing to replace the representatives (ZOHO-1). This difficulty is found in the other neighbourhoods as well: one of the representatives of the focus group in the Boerejonkerbuurt asked inhabitants personally if they wanted to invest time in the area by "adopting" green public spaces. Unfortunately, the response was low. There are different clubs (cooking, sewing, after-school care) initiated from the area centre in the Hofwijk. The attendance to the activities or events was also minimal (KOVE-4). The representatives of the areas, connected by a local collective, try to reach its inhabitants by personal contact, creating trust, translating (online) posters, but this all does not contribute to the participation of more inhabitants (KOVE-3; KOVE-4; KOVE-5). The informal contact between affected is thus only led by several representatives.

Most of the interviewees did see a desire to leave the neighbourhood compared to last years. The attachment to the area is mainly limited in social housing areas. Reasons to leave may be the lack of liveliness because there has been a decrease in children, but also nuisance is a problem (KOVE-5).

Measurement(s)	Explanation	Addition
- Increase of informal contact between affected through mutual support and help	- Different organisations per neighbourhood; not representing whole Kogerveldwijk - Attendance was minimal by inhabitants/businesses	- -
- Desire to stay in the neighbourhood	- Representatives tried to reach out to the affected public in different ways - Desire to stay in neighbourhood is moderately supported; depends on rental/homeownership/ social housing	± ±
- Willingness to represent neighbourhood during process	- Desire to leave grew in the last years - Few representatives in the neighbourhoods; hard to find replacement	- ±

Figure 50. Summary of measurements explained per social sustainability concept.

### Safety

All the affected public, who have been interviewed, agree that the participation processes in the neighbourhood did not contribute to the safety level of the Kogerveldwijk. In former times, children were much more represented in the area, causing more liveliness in the area. In the past years, the population of Kogerveldwijk has become more individualistic compared to ten years ago (KOVE-4). The inhabitants and businesses believe that it is caused by a decreased number of informal activities since the subsidies were pulled back (KOVE-4).

Also, aggression and criminality are seen in the Kogerveldwijk. Businesses are adjusting their opening hours, and people are not willing to walk at night on sideways (KOVE-7; KOVE-5). This has also increased compared to what it used to be.

This feeling of unsafety is in contrast with the most recent data in 2013 and 2015 from the municipality of Zaanstad. They presented the living environment from both years in an area-monitor and illustrated that the safety in the area is considered as average compared to other areas in Zaanstad (Gemeente Zaanstad, 2017).

Measurement(s)	Explanation	Addition
- Feeling of safety during daytime increased after process	- Process not related to the level of safety - Less informal activities due to limitations of subsidies	- -
- Feeling of safety during the night increased after process	- Less liveliness during the day - Criminality and aggression during the night - Adjusted opening hours by businesses - Inhabitants tend to walk safer route rather than shorter route	- - - -

Figure 51. Summary of measurements explained per social sustainability concept.

Social concept	Measurements	Supported
Social equity	- Feedback given from effectors during process (open dialogue) - Documentation/information of process has reached affected	- Slightly - Strongly
Social inclusion	- No exclusion of groups of affected based on age, nationality, education during the participation process	- Slightly
Social capital	- Increase of informal contact between affected and effectors through mutual help and support	- Moderately
Social cohesion	- Increase of informal contact between affected through mutual support and help - Desire to stay in the neighbourhood - Willingness to represent neighbourhood during process	- Not occurred - Slightly - Slightly
Safety	- Feeling of safety during daytime increased after process - Feeling of safety during the night increased after process	-Not supported -Not supported

Figure 52. Summary of the extent of support of social concepts by main measurements in the Kogerveldwijk



Figure 52 illustrates a summary of the measurements and to what extent they were supported per measurements. This was based on the (textual) explanation and the addition, which were explained in the previous paragraphs.





# SYNTHESIS





## 5. Synthesis

The synthesis contains two sections where the cases will be compared with each other, and the cases will be evaluated with the literature. In the third chapter, all the findings will be summarised to explain what the characteristics are for social meaningful participation processes. The fourth chapter elaborates on how the instruments of the Environmental and Planning Act 2021 are implemented in both case studies.

### 5.1. Case comparison

The Kogerveldwijk and the Zomerhofkwartier are cases with urban similarities and differences. First, the actors will be compared with both cases. This links the communicative planning tools during the planning process with the involvement of the actors. Afterwards, the preconditions per case will be compared with each other. Lastly, a comparison will be made between social sustainability concepts.

#### 5.1.1. Actors & communicative planning

The involved actors in the Zomerhofkwartier and the Kogerveldwijk are illustrated in figure 53. Although both cases have many affected public actors and effectors, the organisational structures with the roles and relationships within the planning process are substantially different.

#### *Actors*

In literature (par. 2.2.2), the definitions are given for effectors and affected. The affected public are actors who are considered to have low decision-making powers and will be affected by the developments. On the contrary, effectors have a high level of decision-making power and determine (process of) the growth. If the actors of both cases are positioned according to the level of decision-making power, it is observed that there are affected actors who influence the process much more than other affected actors. Besides, effectors are found, who do not particularly have much decision-making power in the process but support the effectors who do have that influence. Therefore, the nuances are essential to make. The “effectors” and “affected” are instead seen as each other’s opposites in a continuum where all the actors can be positioned based on their influence on the decision-making. However, the research is set up by the assumption of two different categories: actors who will be affected, and actors who create the effect. These definitions will be continued in the following chapters to avoid confusion. In figure 53, an overview is given per case of all the involved actors.

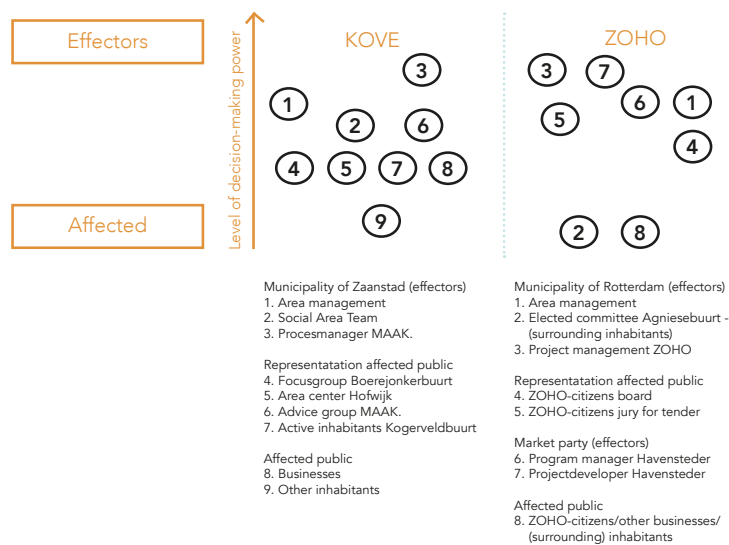


Figure 53. Overview of involved actors in diagram extent of effectors/affected

The position of the actors in figure 53 indicates how much the actors have been involved in the process. The involvement is related to the matter of making/influencing decisions. There is a concentration in the middle between affected and effectors. This indicates a higher level of involvement of all the affected public in the Kogerveldwijk compared to the Zomerhofkwartier. However, in the Zomerhofkwartier, the concentration of actors lays mainly on the side of the effectors, which means that the involved actors contribute to the decision-making. This contribution is seen in the communicative planning tools, which are used in both cases. They will be elaborated further in this paragraph.

One important group of actors are the representatives of the affected public in both cases. These representatives are living and/or working in the areas and will be influenced by the developments. However, they are involved in the process. These representatives aim to link the wishes of the affected public to the effectors, and thus this group of actors can be considered as both effectors as affected. The inhabitants/businesses within the case studies are represented by an organisation/focus-group/area centre at the beginning of the process. Only one representative's group was involved in a further stage of the process, where it receives more decision-making power. The advice group MAAK. and the ZOHO-citizens jury are both initiated by effectors with more decision-making power. The ZOHO case was led by a bottom-up approach for some time, but MAAK. was initiated from top-down. In the Kogerveldwijk, there are three areas represented each by inhabitants, wherein the Zomerhofkwartier there is only one group of representatives.

Although the Kogerveldwijk is a top-down initiative and the Zomerhofkwartier is considered as bottom-up, the effect of the actors considered as "effectors" is similar. Area management has played an important role to engage its inhabitants/businesses. In both areas, small initiatives were realised to improve the living environment of the affected public, e.g. in the public space. A difference between the effectors in both cases is the collaboration with other effectors. Havensteder, STIPO and the municipality collaborated to enhance the identity in the Zomerhofkwartier, wherein Kogerveldwijk the municipality struggled on its own. In a later stadium, the municipality of Zaanstad tried to co-create the MAAK. weeks in



collaboration with professionals. However, this may have been too late because the (following) process was already predetermined (e.g. the set-up of the MAAK. weeks and the different phases). Also, the collaboration within the municipality was strong where the process manager and the area manager shared knowledge and essential contacts. The collaboration between departments within the municipality of Rotterdam for the Zomerhofkwartier lacked.

The affected public, who has not been involved are considerably the (non-active) inhabitants in the Kogerveldwijk. Based on the interviews, the lack of interest caused the level of involvement. This is in contrary to the Zomerhofkwartier where the affected public wanted to be involved. The surrounding inhabitants, rest of the ZOHO-citizens and the elected committee were excluded from the process intentionally. They were only invited to local meetings with usually an informal event or information provision.

*Relationships*

The following figure illustrates the relationship between the actors related to the matter of influence in the planning process.

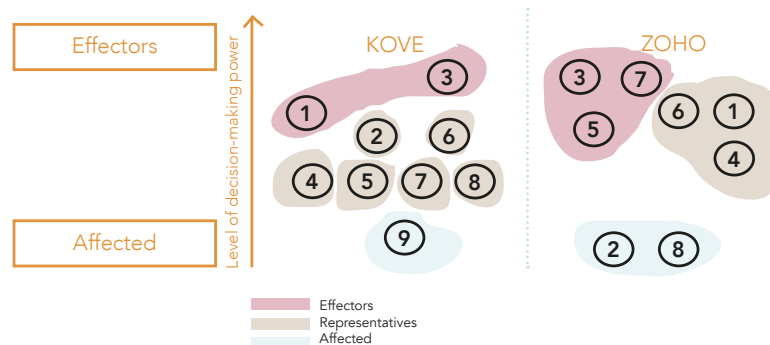


Figure 54. The relation between actors based on influence. Function of the actors is listed in figure 53.

Based on the overview figure of the actors, different patterns of relationships are visible (fig. 54). Overall, both cases exist in three different groups: the effectors, the representatives who support both sides and the affected. The effectors take decisions, representatives influence decisions and the affected will be informed. The difference between the two cases is that the representatives in the Kogerveldwijk were not collaborating. In the Zomerhofkwartier they did. This shows the scattered division of the actors compared with the grouped division in Zomerhofkwartier. The approach of the effectors in the Zomerhofkwartier was to involve a representative on (almost) equal grounds to influence the process and project collaboratively. In the process before the tender, as after the tender, this relationship between Havensteder, municipality and ZOHO-citizens was visible. The effectors in the Kogerveldwijk kept the decisions by themselves and involved the representatives separately from each other in different phases of the planning process. By engaging the representatives, the aim was to get in contact with other inhabitants. However, this was not in both cases successful.

*Communicative planning*

In the following two figures 55 and 56, a more conceptualized timeline is presented with the involved actors per communicative planning tool.

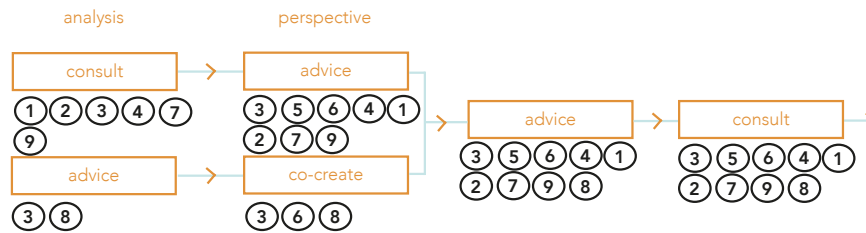


Figure 55. Kogerveldwijk abstract timeline with actors. Function of the actors is listed in figure 53.

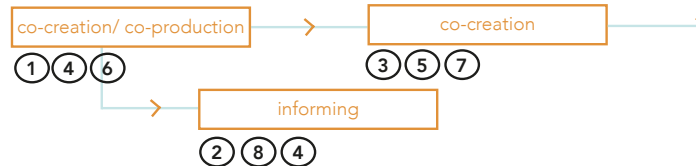


Figure 56. Zomerhofkwartier abstract timeline with actors. Function of the actors is listed in figure 53.

In the Kogerveldwijk, multiple approaches were used fragmentedly through the complete process. Also, the approach to participate with businesses was different compared with the inhabitants. The overlap of different methods of approach confused the affected public and inefficiency during the meetings. Representative groups were asked to join almost all the meetings because there was a lack of involvement by the inhabitants/businesses. The planning process of the Zomerhofkwartier differed in multiple ways from the Kogerveldwijk. First of all, the effectors and a representative of the ZOHO-citizens started collaborating on equal grounds and with clear goals. The tasks and aims of these actors were transparent: the municipality facilitated, Havensteder contributed, and ZOHO-citizens created. In the Zomerhofkwartier, many ZOHO-citizens were willing to actively participate in creating a cohesive area due to economic benefits for their own companies. During events/meetings and gatherings was questioned until what extent individual ZOHO-citizens were willing to be involved. The citizens who had a lack of time were kept informed—this limited confusion in the planning process due to a few precise communicative planning approaches. Another difference is the duration of the planning process. The Kogerveldwijk process started in 2016, where the Zomerhofkwartier had ten years to establish a character with active involvement of businesses. In the Kogerveldwijk, it was more challenging to create one identity because of the different sub neighbourhoods, which did not interact with each other.

### 5.1.2. Preconditions

Each of the cases was analysed according to the established preconditions from the literature. Based on the outcomes, comparisons can be made between both cases. In figure 57, an overview is given on the scores from the case study analysis.

Assessment of preconditions	Supported by affected KOVE	Supported by affected ZOHO	Supported affected & effectors KOVE	Supported affected & effectors ZOHO
Established an identity	Not occurred	Moderately	-	-
Trust is built	Moderately	Fully	Slightly	Slightly
Administrators willingness for participation	-	-	Strongly	Strongly
Sufficient time & budget	Not occurred	Fully	Slightly	Strongly

Figure 57. Comparison between ZOHO and KOVE

*Established an identity*

The entrepreneurial character of ZOHO is strongly visible. However, this is related only to the businesses located in the Zomerhofkwartier. Attempts were made to involve the (surrounding) inhabitants, but the attendance of inhabitants was low. In the Kogerveldwijk a collective identity was not established. The Kogerveldwijk is a collective name of three different areas, with each a different character based on the social-economic characteristics of the inhabitants and the spatial conditions. During the process, neighbourhood representatives tried to support the inhabitants with their (daily) issues such as after-school support, financial knowledge support and informal care. Therefore, not much time was left to initiate informal activities to enhance the identity, mainly because not many inhabitants and/or businesses were willing to become a representative of the area. Thus, in both areas, an identity by all the affected public was not established. Although there is a stronger identity in the Zomerhofkwartier. This can be explained by the fact that effectors supported businesses in the Zomerhofkwartier. They were able to grow their identity for ten years slowly, and the inhabitants saw the businesses as an 'elite' group, who did not have to worry about daily issues due to a low social-economic position (ZOHO-2).

*Trust is built*

The trust among the affected public is moderately supported in the Kogerveldwijk and fully supported in Zomerhofkwartier. The transparency from the ZOHO-citizens characterises the planning process in the Zomerhofkwartier at the early start of Slow Urbanism. Besides interested inhabitants, were always welcome during one of the many informal events. The affected public in the Kogerveldwijk was more focussed on improving the living conditions for those who need support. Because the areas have a diverse mix of cultures, this led to language barriers and other cultural differences, which also led to a lack of trust in the first place. Although the representatives were trying to gain this trust by, e.g. personal contact, they tend to feel minimal support. Inhabitants were not willing to become a representative of the area and/or get involved/participate in any way. This, in comparison with the Zomerhofkwartier, where the surrounding inhabitants and other ZOHO-citizens felt excluded from the tender procedure. Due to the transparency of the ZOHO-citizens, they did not blame the jury of citizens for their exclusion. As a result, the trust remained.

The trust between affected and effectors are in both cases slightly supported. The Zomerhofkwartier started with a trustful relationship during the Slow Urbanism period, but this changed after the confidential contract and exclusion of any information leaving all businesses and inhabitants in an uncertain situation. The relationship between the effectors and the affected in the Kogerveldwijk built trust along the way. Due to the implementation of different short-term problems in the area by a collaboration between the team of MAAK. and the area manager, the affected public observed differences and felt heard. This caused trust to engage in the participation process. However, it was not clear for the inhabitants and businesses what their roles were during this process, causing miscommunication multiple times. This declined the build trust.

*Administrators willingness for participation*

In both cases is the administrator's willingness for participation strongly supported. This could be explained because the administrators/effectors profit from the participation. The Kogerveldwijk is characterised by multiple deprived areas with social-economic difficulties within each area. A task for the municipality is to improve the living conditions of these areas, and a

method is to enhance the social cohesion of the area by participation. In the Zomerhofkwartier, the municipality and Havensteder are the owners of the area. By investing in the area at the beginning of the process, the value of the area would rise. Also, by involving the businesses, the character of the area would remain.

#### *Sufficient time & budget*

Budget and time are seen as barriers in the Kogerveldwijk, wherein the Zomerhofkwartier both among the affected public as effectors it seemed to be sufficient. As in both cases was described: inhabitants with a low social-economic status have other issues on their mind than participating in area developments. This resulted in weak representation of the inhabitants of the Zomerhofkwartier until they got supported by an organisation which helped them to set up their own business. In the Kogerveldwijk almost all inhabitants have a low or low-middle income. As the representatives of the neighbourhoods pointed out: they aim to provide comfort and support in the area for daily issues, instead of organising informal events to strengthen the social connection.

The difference between the two cases is the ratio of businesses and inhabitants and their socio-economic status. In the Zomerhofkwartier, more businesses were financially able to invest in their areas. Besides, they were supported in initiatives and financially by effectors. For example, during the ZOHO upside-down initiatives, every business 'adopted' an inhabitant for lunch and activities. In the Kogerveldwijk, there were subsidies from the municipality to organisations who provided these informal initiatives a decade ago to the inhabitants. Only, due to cutbacks and reorganisation on the subsidy spending's, the focus was put on the local effort of inhabitants to initiate these activities (KOVE-4). Also, the high mix of different cultures in the area caused different opinions and language barriers. Only a few representatives were willing to support their neighbourhoods but do feel as if they are standing alone.

In both cases, the effectors tried to invest in the area by involving the affected public within the participation process. However, where time has only been a barrier at the last stage of the tender process in the Zomerhofkwartier, time & budget have been a barrier throughout the whole process in the Kogerveldwijk. In the Zomerhofkwartier, the businesses also invested financially in the events and housing association Havensteder was a partner of the municipality. In the Kogerveldwijk, all initiatives were supposed to be initiated by the municipality.

#### 5.1.3. Social sustainability

Both case studies contributed to social sustainability in different ways. The measurements per social sustainability concepts will be discussed concerning the comparison of both cases. Besides, they correspond with the figures from the analysis in the description of the case studies. In this section will be explained how the chosen communicative planning approaches contributed to the concepts of social sustainability.



Social concept	Measurements	Supported KOVE	Supported ZOHO
Social equity	1. Feedback is given from effectors during process (open dialogue) 2. Documentation/information of process has reached affected	1. Slightly 2. Strongly	1. Strongly 2. Moderately
Social inclusion	3. No exclusion of groups of affected based on age, nationality, education during the participation process	3. Slightly	3. Slightly
Social capital	4. Increase of informal contact between affected and effectors through mutual help and support	4. Moderately	4. Moderately
Social cohesion	5. Increase of informal contact between affected through mutual support and help 6. Desire to stay in the neighbourhood 7. Willingness to represent neighbourhood during process	5. Not occurred 6. Slightly 7. Slightly	5. Moderately 6. Moderately 7. Slightly
Safety	8. Feeling of safety during daytime increased after process 9. Feeling of safety during the night increased after process	8. Not occurred 9. Not occurred	8. Moderately 9. Not occurred

Figure 58. Comparison of social concept measurements per case

### *1 Feedback given from effectors (social equity)*

The inhabitants and businesses led the initiatives in the Zomerhofkwartier during the Slow Urbanism phase. Not only was feedback given to the effectors, but also the affected public gave feedback on how to enhance the identity of the area to the effectors. This equal distribution of power in having a say created an open dialogue which also continued in the tender procedure. Only a select part of the businesses was able to participate in the tender. Thus most of the affected public were intentionally excluded during this phase of the planning process. Different from the Kogerveldwijk was the involvement of the affected public, from whom the effectors only took the advice and/or consults. Therefore, an open dialogue was not established because questions were taken into account and responded digitally without further reconsideration.

### *2 Documentation to reach affected (social equity)*

In both cases, the affected were reached by transparent documentation and information sharing. Different events and information gatherings were organised in the Zomerhofkwartier. Also, a local newspaper distributed the promotion of these events, and the ZOHO-citizens used their websites to announce all activities. However, not all the (surrounding) inhabitants attended these events, only the inhabitants who were interested in the stages of the developments. In the Kogerveldwijk, the documentation followed a strict procedure where everything was published and openly accessible on the internet. Not only was a letter sent to every household and business of the area, but also adjustments to reach specific inhabitants were taken, e.g. visits to the mosque, flyers of promotion were distributed in the housing blocks and the local city centre. Also, in this case study, the attendance of the affected public was limited, although the municipality put more effort into attracting specific inhabitants compared to the Zomerhofkwartier.

### *3 No exclusion of groups of affected (social inclusion)*

The social mixture based on income, education, age and nationality of the inhabitants is similar in both cases. In the Zomerhofkwartier, many businesses are the dominant group of the affected public, only in the Kogerveldwijk, all areas are mostly residential. The income of these groups differs between low and middle-low income, where a large percentage of the households of both areas are considered as social housing. The difficulty in

engaging these inhabitants is related to language barriers, understanding the issues, cultural differences in opinions and often these people have other more urgent problems in their own lives. Therefore, in both cases, a large percentage of these inhabitants were not involved in the planning process, although attempts were made to engage them.

#### *4 Increase informal contact between affected and effectors (social capital)*

The Kogerveldwijk and Zomerhofkwartier are both cases where informal contact has been increased among a specific group of the affected public. In the Kogerveldwijk, intensive collaboration took place between area management and the representatives of the multiple neighbourhoods. The process manager was indirectly involved, since short-term problems from the MAAK. process were addressed to the area manager, and advice was taken from an advisory board. Also, in the Zomerhofkwartier, the collaboration between Havensteder, the municipality of Rotterdam and the jury of the ZOHO-citizens was intensive. In the Slow Urbanism phase, the cooperation with the board of ZOHO-citizens was also considered as stable. However, when looked at the mutual help and support, it is observed that in the Zomerhofkwartier, the affected public was not able to steer the tender process, since the effectors organised it. As well as in the Kogerveldwijk, for the affected public represented in the advisory board, it was not clear what their exact role was in the process. Some of them did not see themselves as representatives. Instead, it was an opportunity for them to communicate all the (short-term) problems from their own perspectives. Thus, often the advice was not seen as advice: the help and support were only one-sided.

#### *5 Increase informal contact between affected (social cohesion)*

Only in the Zomerhofkwartier the informal contact between (some) affected increased. Among ZOHO-citizens help and support is observed both professionally as in the process by initiating and participating in activities. As mentioned earlier, the inhabitants of ZOHO have a low social-economic status, which made it more challenging to engage them. The surrounding inhabitants were occasionally interested in the events and attended in some cases. On the contrary, in the Kogerveldwijk, there was no increase in informal contact between the affected public. The division between the three residential areas remained separated after the MAAK. weeks. Also, among the representatives, there was (almost) no form of collaboration. The only initiative was taken by two different areas – the area camping- most probably will not be continued due to a lack of new organisers. Because the attendance of the MAAK. events was low, and the representatives only focus on solving one-sided problems of the inhabitants, the informal contact did not increase by mutual help and support.

#### *6 Desire to stay in the neighbourhood (social cohesion)*

Since the percentage of social housing in both areas is high, it is assumed by the interviewees that these inhabitants are not much attached to their condominiums as private owners. In het Zomerhofkwartier, a part of the social housing has been replaced already by the housing association Havensteder. The surrounding inhabitants and the businesses are more attached to their environment since those inhabitants are private owners of their houses, and the businesses have a strong desire to stay due to the entrepreneurial character of the Zomerhofkwartier. In the Kogerveldwijk, it is observed that some neighbourhoods have dominantly only social housing, where there is also a percentage with homeownership and regular rental. Also, in de Kogerveldwijk, the matter of desire is highly dependent on the social-economic status of the inhabitant. However, compared with a decade

ago, the Kogerveldwijk is a much less lively area than it used to be. This is mainly because of cutback on subsidies and informalities, but also because many children grew up and left their parent's home. It resulted in a feeling among inhabitants that in de last years the desire grew to leave the area.

#### *7 Willingness to represent neighbourhood (social cohesion)*

In both cases, it was challenging to find affected public who are willing to represent the area. The procedure to become board-member of the ZOHO-citizens and the advisory board of MAAK is limitedly discussed during the interviews with the interviewees. A few interviewees mentioned that they were asked for the advisory board/ to become a board member because they were already participating in an event and/or were actively involved. This complies with the other interviewees who stated that there are representatives in both cases, but often these are the same people.

There was an open request to both inhabitants and businesses to become a jury-member as ZOHO-citizen. Due to the confidentiality of participation, many citizens were not willing to engage. In the Kogerveldwijk, just a few inhabitants were willing to become part of a focus group, area centre and/or engage in other participative initiatives. Follow up by new representatives is therefore very difficult.

The reason for low willingness by the affected public in the Kogerveldwijk can be a result of the social diversity of households and income groups. As mentioned earlier, people with a low social-economic background tend to have more urgent problems than becoming a representative in the area. For the Zomerhofkwartier, the main barrier was the confidentiality of the participation, which was not in line with their own business. E.g. one of the interviewees worked as a (local) publisher and ought it to be important to remain transparent and critical towards all actors.

#### *8 + 9 Feeling of safety during daytime/night-time after process (safety)*

Only in the Zomerhofkwartier, the feeling of safety increased potentially after the process. In the Kogerveldwijk, all the interviewees believed that the participation process did not have any influence. Still, the safety was related to the lack of informal activities compared to a decade ago and liveliness (by children) in the area. Data from a governmental instrument – “Leefbaarometer” shows us an indicated score of the living conditions of both cases compared with each other in 2014 and 2018. The Kogerveldwijk had a weak-insufficient score for both 2014 and 2018, where the Zomerhofkwartier scored weak-sufficient for both years (Ministerie BZK, 2020). The scores indicate that the affected public could be right by suggesting that the process did not contribute to the safety-level since the analysis-phase started in 2016 and the MAAK weeks took place at the end of 2018. The data for the Zomerhofkwartier do not substantially contribute to the assessment that the process has increased the level of safety because the Slow Urbanism phase stated officially in 2012. There may have been a change of safety-level in the period that Havensteder bought the plot until 2012.

## 5.2. Comparison theory with practice

In this paragraph of the synthesis, the literature study will be compared with the findings from the case studies. The comparison will be made according to the structure of the previous chapters.

### 5.2.1. Actors & communicative planning

The first sub-question of this research is: “How are the affected public actors involved in the participation process for it to become meaningful?” The most important elements of this research question are the participating actors, their relationships and how they were involved in communicative approaches.

#### *Actors*

Based on the literature study, two different roles can be distinguished within the planning process in mixed-use areas: the residential/commercial end-user, who is considered as the “affected public” and the administrators (investors, policy-makers, developers) who are determined as “effectors” (Wardner, 2014). The comparison analysis of both cases indicated that the balance between “affected” and “effectors” is much more nuanced. Effectors have a certain level of decision-making, but by taking different communicative approaches, the end-users can also become decisive in the decision-making process. In the Kogerveldwijk, a method is chosen to limit the influence of the affected on the decisions. Therefore, most of the actors are considered as “affected”, wherein the Zomerhofkwartier was chosen to co-create from an early start, which resulted in more ‘effectors’.

#### Local (future) inhabitants

In literature is described that local inhabitants are not very familiar with engaging in formal politics. Still, their power is more socially by building trust among other inhabitants and gathering local knowledge (Heurkens, 2012). In practice, this partly differed in the case studies, since the power of the local inhabitants is related to the extent of involvement is given to them. In the Kogerveldwijk, representatives of the inhabitants were the ones trying to build a social network within the area. However, the other inhabitants must be willing to do the same. In the Zomerhofkwartier, the local inhabitants were excluded from the process and only involved in (informal) events organised by the ZOHO-citizens.

Different types of inhabitants were identified by the traditional life-cycle model of Murphey and Staples (1979). Since data is given on the characteristics of the neighbourhood, an assumption can be made for the general profile of the inhabitants in the Zomerhofkwartier and Kogerveldwijk. The surrounding inhabitants from the Zomerhofkwartier have a high middle income, wherein inhabitants in ZOHO are considered as social tenants with a low income. About 60% of all the households are single householders. In the Kogerveldwijk, nearly half of the housing is social, and the other half is privately-owned or rented. Although this differs within the area, generally the income of the inhabitants is between low – middle low income.

#### Local (future) businesses

The aim for local (future) businesses is to grow and increase their financial profit. Therefore, they are creating liveliness and/or contribute to a participation process. Thus, there is a difference between community-orientated businesses and businesses which do not profit from the developments. The different contributing businesses can be identified as: facilitating businesses such as housing associations and civic organisations, services such as restaurants, financial contribution by businesses and/or direct involvement (Katz & Wagner, 2014). In practice, civic organisations



were not often represented as a separate organisation but represented by inhabitants and/or local businesses themselves. In previous years, these organisations were the only businesses which were usually not dependent on their financial profits, since they are subsidised by municipal and/or other governmental bodies. Due to governmental cutbacks, the focussed has been shifted to own participation by businesses/inhabitants themselves. Only in the Kogerveldwijk, a social area team (as part of the municipality) was engaged. The other kind of businesses are shown in the figure below per case study.

Theory	Practice ZOHO	Practice KOVE
Facilitating businesses	Havensteder	Social Area Team
Services	ZOHO-citizens	City centre in Kogerveldwijk
Financial contributing businesses	Havensteder	-
Direct involvement	ZOHO-citizens	Businesses in advisory board

Figure 59. Comparison theory and practice based on businesses

As seen in figure 59, businesses have overlapping contributions to the area. In the Kogerveldwijk, the businesses were not as united as in the Zomerhofkwartier because there are less community orientated businesses. In the Boerejonkerbuurt, almost all businesses are industrial and are not involved in the participation process because the developments do not affect their business. The businesses in the Zomerhofkwartier are tenants and directly affected by the (re)developments.

*Communicative planning*

In the literature review, the participation process is described according to Creighton (2005) and the adjusted participation ladder of Edelenbos (2006). Creighton (2005) observed different approaches within one public participation process and based on the ladder of Edelenbos (2006), three communicative planning approaches can be identified. These three approaches indicate that there is a certain level of public participation. In the figures below, the theoretical part is compared with the practice outcomes of the case studies.

Consulting	Theory	Consulting in KOVE
Phase involvement	Late: response participants to the outcomes	Early: at the start of the analysis phase Late: as response to the almost defined perspective after MAAK. weeks
Problem initiator	Administrators/effectors	Administrators/effectors
Implementation outcomes	Non-binding	Semi-implemented: input for analysis, last adjustments for perspective
Techniques	Focus groups Public meetings Surveys	Early: surveys Late: public meetings

Figure 60. Consulting in theory and practice

Advising	Theory	Advising in KOVE
Phase involvement	Early: participants address issues in collaboration	Early: at start of analysis phase with businesses Early: at start of perspective phase with advisory board
Problem initiator	Administrators/effectors	Administrators/effectors
Implementation outcomes	Semi-binding	Semi-implemented: input process by advisory board Semi-implemented: input MAAK. weeks
Techniques	Workshops Referendum	Workshops with businesses MAAK. weeks workshops Advisory board

Figure 61. Advising in theory and practice

Co-creation	Theory	Co-creation in ZOHO	Co-creation in KOVE
Phase involvement	Early: participants address issues in collaboration	Early: at start of Slow Urbanism Early: at start of tender	Early: start of perspective phase with businesses
Problem initiator	Administrators/effectors and/or affected/participants	Administrators/effectors	Administrators/effectors
Implementation outcomes	Binding	Implemented: local initiatives with facilitating and financial contribution, collaboration with the tender Semi-binding: ZOHO principles	Implemented: set-up of the MAAK. weeks process and themes
Techniques	Advisory committees Consensus building Charettes	ZOHO jury during tender Facilitating/financial contribution by effectors Collaborative initiatives	Charette

Figure 62. Co-creation in theory and practice

When comparing the literature with practice, it is observed that the approaches “informing” and “co-decision” are also partly involved in the participation process as an additional form to complement and strengthen advising, consulting and/or co-creation. In the Zomerhofkwartier, a process of informing has taken place next to co-creation, because not all the affected public was willing to engage in the co-creation. However, some interested inhabitants wanted to keep informed. This indicates that “informing” and “co-decision” are communicative planning approaches used to strengthen other communicative planning approaches.

The figures are comparing the instruments in theory and practice generally comply with each other, except for a few process details. Firstly, in the Kogerveldwijk is chosen to start early with consulting the inhabitants in the phase by surveys. This, because the set-up of the process was predetermined with a structure of analysis, perspective, strategy. The affected public was asked later in the perspective phase to consult on the almost finished perspective, which is in line with the theory. Secondly, not all the documents from the co-creation phase were binding, such as the ZOHO-principles. These principles were created by the ZOHO-citizens and formed an important resource for the formal letter of intent; however, they were not adapted directly.

### 5.2.2. Preconditions

As described in literature: the communicative planning approaches are taken based on certain preconditions. These preconditions are highly related to the involved actors within a mixed-use (re)development. In this paragraph, the established preconditions from literature will be compared with the case-study in practice. They will indicate to what extent the precondition can be called a “precondition” rather than a “barrier”.

#### *Creating an identity*

In literature is described that inhabitants often have a social goal when investing in their neighbourhoods, where businesses are more focussed on the economic profit of the development (Pols et al., 2009). Therefore, a shared identity is essential to establish, where shared demands should be considered by both parties to create a win-win situation (Stenfer & Graaff, 2019). In practice is observed that in both cases, the identity between inhabitants and businesses was challenging to establish. Not only because the effectors considered them as two separate actors and involved them separately in the process, but also because they both did not see themselves as a united whole. It is crucial to notice that in the Zomerhofkwartier, an identity was established, only representing the businesses. They tried to involve the inhabitants as well. However, the inhabitants did not consider themselves to be part of that identity, and most of them did not see the value of contributing because creating a vision was too abstract. In the Kogerveldwijk, there was not one dominant actor-group who was willing to take the lead in the process to create an identity. In both cases, it resulted that the communicative planning approaches were adjusted to the feeling that there were two different kinds of affected public, instead of one.

#### *Building trust*

There are two different levels of trust distinguished: trust between affected and trust between affected and effectors. In both levels of trust: if there is a perceived lack of trust, individuals can act in a way to protect self-interest rather than sharing knowledge and communicate openly (Solitare, 2005; Clarke, 2008). In both cases, the trust between the effectors and the affected was limited. Prejudices from the affected cause this. Also, the process was not considered as transparent, although attempts were made. The relation between the affected and effectors is often seen as “us against them”. In the Zomerhofkwartier, trust was built between effectors and affected in the Slow Urbanism phase, but this decreased when the effectors decided to organise a closed tender process with only a selected number of affected. This only put more pressure on the “us against them”-feeling and may influence the willingness for participation by the affected in the further stage of the development. In the Kogerveldwijk, the effectors did not have a chance to improve the level of trust because most of the affected public was not willing to participate in the first place and to share knowledge. Thus, in this case study, trust was a barrier for participation while it functioned as a precondition in the Zomerhofkwartier.

Trust among affected was in both cases higher than trust between affected and effectors. The representatives of the Kogerveldwijk put a lot of effort in creating trust among other affected public, which did contribute to an increase in trust. However, these representatives did not tend to feel supported by the rest of the neighbourhoods mutually. The main reason for this was the number of social housing residents who had their own, more urgent problems. In the Zomerhofkwartier, only a small percentage of the affected public were social tenants, which did not affect the opportunity to participate with the rest of the affected public and build on their mutual trust.

#### *Administrators willingness for participation*

The administrator's willingness influences the feeling of the affected public whether or not a participation in the process will be seen as a waste of time (Solitare, 2005). Although the number of participants was disappointing in the Kogerveldwijk, this was not caused by a lack of willingness from the effectors. On the contrary, they tried to involve all individuals, adjusted their way of engaging inhabitants/businesses and reached out to every household by a letter and digitally. The willingness of administrators in the Zomerhofkwartier was also strongly supported.

#### *Time and budget*

In literature is described that time and budget are preconditions for communicative planning in participation processes because a participation process is usually intense, lengthy and time-consuming for all involved parties. Thus, effectors need to acknowledge the long-term benefits of involving the affected public, and the affected public also needs to be willing to invest their time (Irvan & Stansbury, 2004).

In practice, not only is time and budget needed for the process between affected and effectors, but also for the participation between affected public budget and time is needed. It is observed that in both cases, there were two separate processes: one between affected and one where the effectors were involved as well. The participation process between the affected enhances the community feeling and improves trust and identity, which positively contribute to the level of participation with the effectors. However, in the Kogerveldwijk, there was no sufficient budget for both processes, which was one of the reasons for a limited number of participants. In the Zomerhofkwartier, both budget and time were provided by the effectors but also invested by the affected. Therefore, time and budget are considered as preconditions for the Zomerhofkwartier and barriers for the Kogerveldwijk-case.

#### 5.2.3. Social sustainability

In this paragraph, a comparison will be made between the theory of social sustainability concepts and how they were observed in practice. The question is how public participation contributed to these social sustainability concepts in both cases.

#### *Social equity*

In literature is described that social equity stands for equity in three different domains: rights, opportunities and living conditions (Bales, 2018). In a participation process, this was translated into the variable of "equal distribution of power by transparency" during the process to give the affected public a say about their rights. In practice, it is observed that the chosen communicative approach determines the equal distribution of power and thus, the level of social equity. In the case-studies the approach to co-create led to open discussion, where an advisory approach may hinder the willingness of the affected public to engage in the first place.

#### *Social inclusion*

Social inclusion is described as the opposite of social exclusion, where there is no equal access to resources such as participating in a participation process (Shortall, 2008; UN, 2019). Important variables in a participation process for social inclusion are representation and diversity.

In both cases, a different kind of exclusion has taken place: intentionally and chosen. Intentionally exclusion is when effectors on purpose exclude a part



of the affected public, where chosen exclusion is a conscious decision by the affected not to participate. In the Zomerhofkwartier, the effectors decided to exclude the inhabitants in the tender process, and the (surrounding) inhabitants decided not to get involved in initiatives of the ZOHO-citizens during the Slow Urbanism phase. In the case of the Kogerveldwijk, both inhabitants and businesses were allowed to participate, but some choose not to get involved.

#### *Social capital*

Social capital is defined as a network based on shared norms, values and understandings where cooperation is facilitated (OECD, 2007). To create social capital between affected and effectors, a mutual understanding is needed and support. The primary variable in the participation process is the interaction between the affected and the effectors.

The effectors in the case studies were also area managers aiming to improve the social cohesion of specific areas. These area managers are aware of the issues within the area, know the inhabitants and the businesses and form a low threshold when the affected have a problem. Regarding this involvement of area managers, the social capital grew. Thus, the shared values, norms and understandings are important in practice when improving the social capital.

#### *Social cohesion*

Social cohesion is similar to social capital; only social cohesion focuses on the interaction between affected public by shared norms, values and understandings. The relationships between the affected public are linked to trust and support (Maxwell 19976; Fonseca et al., 2018). Therefore, besides interaction, attachment, and belonging are important variables as well.

In practice is observed that interaction between affected public is not always mutual. In both cases, a dominant group of affected public (ZOHO-citizens/representatives KOVE) tried to reach the other affected public with sometimes a positive reaction, but mostly no reaction at all. This is markable since the affected public will share the same benefits when they participate. A reason for this may be that social cohesion focuses on the shared norms, values and understandings of individuals, instead of common interest. This can explain why some individuals are interested in the (re)developments, and others are not.

#### *Safety*

Safety is described as two different processes: being able to express yourself differently in a neighbourhood and the feeling of physical safety in a neighbourhood (Dempsey, 2011; Rashidfarokhi et al., 2018). Since openly expressing opinions is also part of social equity, safety is described as a physical aspect. The primary variable from literature in the potential changed feeling about safety as a result of the participation process.

The statistics of both areas indicate that the level of security is generally insufficient compared to other areas of the municipalities. This indicates that there is a certain level of e.g. crime, nuisance, trouble-youth, which can impact the sense of safety by the affected public. In the Kogerveldwijk case, all affected public separated the feeling of safety from the participation process, wherein the Zomerhofkwartier some believe that the participation process positively contributed to the feeling of safety. A possible reason can be that in the Zomerhofkwartier, the affected public was much more involved in the participation process than in the Kogerveldwijk. Therefore, communicative planning approaches can influence the feeling of safety.

### 5.3. Conclusion synthesis

In this chapter, the findings will be summarised from the synthesis where after the characteristics for social meaningful public participation processes will be explained. Also, the variables for the characteristics are dependent on each other, which will be elaborated in 5.3.2.

#### 5.3.1. Summarised findings synthesis

The preconditions are related to the preconditions to establish a meaningful participation process. Parallel to this process is observed what the crucial elements are for social sustainable participation processes. In figure 63 is illustrated how the findings from the synthesis are impacting each other. These will be summarised below.

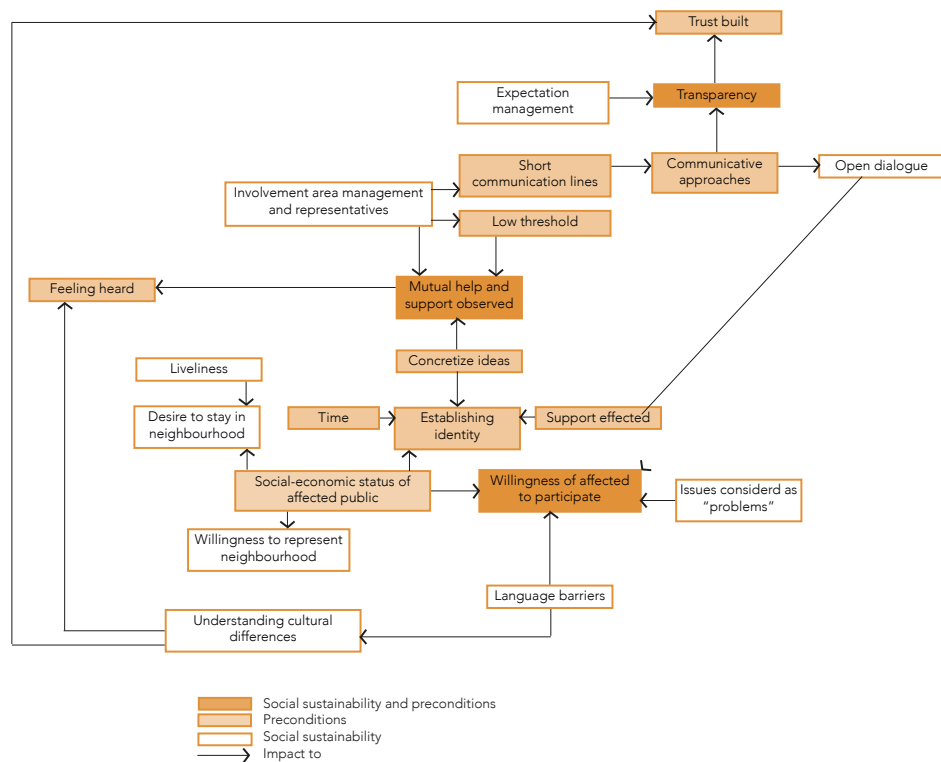


Figure 63. Crucial elements of social sustainability and preconditions regarding communicative planning.

Meaningful participation by actor involvement and communicative planning approaches:

- (5) Representatives and area management are essential in the planning process since they represent and engage affected public while influencing the decision-making process. Besides, they lower the threshold for affected public to engage in the participation process;
- (6) The more actors are considered as “effectors”, the higher their decision-making was during the communicative planning approach;
- (7) Engaging representatives on a decision-making level can positively contribute to reaching other affected public because of short lines of communication;
- (8) Transparency in selecting a communicative approach is as important as communicating what is expected from participants. A variety of different communicative approaches during the participation process can lead to confusion.

Meaningful participation by meeting the preconditions:

- (9) Establishing an identity is dependent on the (financial/facilitating) support from effectors, time and the social-economic status of the community members;
- (10) To establish an identity in a development process, it is crucial to make ideas concrete to create mutual understanding between affected public;
- (11) Trust is built by transparency in sharing information, creating an understanding of cultural differences, and by a feeling of being heard;
- (12) Administrators willingness for participation is dependent on the profit the effectors will gain;
- (13) Sufficient time and budget are dependent on the willingness of the affected public to involve, which is related to the social-economic status of the affected public.
- (14) Sufficient time and budget are dependent on representatives since they can shorten the lines of communication with the affected public and stimulate the affected willingness to participate.

Social sustainable participation processes:

- (15) How much the affected public can make decisions indicates how open dialogues were. This influences the level of social equity;
- (16) Social equity is also related to the willingness of the affected public to participate since only input from the effectors will not increase the number of participating affected;
- (17) The willingness of the affected public to participate is dependent on language barriers, cultural differences and their own (more) urgent problems; this influences the social inclusion of an area chosen by the affected themselves;
- (18) Clear communication on expectations is needed to improve informal contact between affected and effectors for social capital;
- (19) Intense collaboration with area management and representatives is crucial for social capital because it presents mutual help and support;
- (20) Social cohesion is only increased when there is mutual help and support among the affected public;
- (21) Liveliness and social-economic status of affected public affect the desire to stay in the neighbourhood and thus the social cohesion;
- (22) Social-economic status of affected public influences the willingness to represent the neighbourhood and thus the social cohesion;
- (23) Safety is dependent on the liveliness and thus, the involvement of the affected public.

## 5.4. Environmental and Planning Act 2021 in cases

A description is given in literature on the new Environmental and Planning Act 2021 with its instruments. By 2021, the new instruments will be implemented. In figure 64 and figure 65, both cases are compared with the theoretical part. These figures illustrate to what extent the instruments were already applied in the planning and participation process.

Phase theory	Instruments theory	Aim of participation theory	Implemented in ZOHO	Methods ZOHO
Initiative	Environmental and Planning vision	Indication of perspectives and future visions of multiple different actors	Yes	Bottom-up initiative: ZOHO principles Workshops with effectors and affected
Plan	Environmental and Planning plan/ Program	Formulating policy more concrete by integrating the opinions of representatives	Yes	Tender procedure resulting in winning plan
Realisation	Environmental and Planning plan	Setting up framework of costs, limitations, risks for certain involved actors	No	-
	Environmental permit/ Project procedure-decision	Testing if criteria are transparent for involved actors		
Evaluation	-	Feedback on process from involved actors	No	-

Figure 64. Zomerhofkwartier compared to Environmental and Planning Act 2021

The Environmental and Planning vision is a non-binding document, which indicates the future perspective of different actors. From bottom-up, the ZOHO-citizens brought different perspectives for ZOHO together from the active affected public during several workshops. These were mostly businesses, and some interested (surrounding) inhabitants. Although the perspective of the housing association Havensteder and the municipality were not integrated directly, they facilitated the process to establish the ZOHO-principles by financial contributions, since the document formed an important resource for developing the 'Note of Intent' during the tender phase.

Different representatives selected the winning plan of the tender based on spatial and social qualities (e.g. the participation process) and on financial specifications. During the tender process, all involved market parties had the chance to develop a more concrete plan by gathering information from the different representatives in dialogues. Therefore, the winning plan can be seen as a draft for the Environmental and Planning plan, although this has not been presented in public to the rest of the affected public.



Phase theory	Instruments theory	Aim of participation theory	Implemented in KOVE	Methods KOVE
Initiative	Environmental and Planning vision	Indication of perspectives and future visions of multiple different actors	Yes	Analysis Perspective with input from MAAK. weeks
Plan	Environmental and Planning plan/ Program	Formulating policy more concrete by integrating opinions of representatives	No	-
Realisation	Environmental and Planning plan	Setting up framework of costs, limitations, risks for certain involved actors	No	-
	Environmental permit/ Project procedure-decision	Testing if criteria are transparent for involved actors		
Evaluation	-	Feedback on process from involved actors	No	-

Figure 65. Kogerveldwijk compared to Environmental and Planning Act 2021

In the initiative phase of the Kogerveldwijk, an analysis was made with the affected public. Afterwards, these findings were presented and formed input for the perspective phase. Because the Kogerveldwijk is a collective of different neighbourhoods, the process of involving all actors is lengthy and time-consuming. The perspective was established as a result of the workshops during the MAAK. weeks, and is considered as an Environmental and Planning vision. In the next phase – strategy – the perspective will become more concrete.



A photograph of a yellow fence with the words 'ROTTERDAM CENTRAL DIS' embossed on it. The fence is made of vertical wooden planks. In the background, there is a blue sky with white clouds and a building with a sign that says 'Duisenberg'.

# CONCLUSIONS



## 6. Conclusions

This chapter contains the conclusions of this research. Section 6.1 answers the sub-questions and the main question by describing the relation between meaningful public participation processes and social sustainable participation processes. Section 6.2 elaborates on the recommendations regarding meaningful social public participation processes in the context of the new Environmental and Planning Act 2021. Section 6.3 contains a discussion with the limitations of the research, validation of results and recommendations for further research. The reflection will be given in section 6.4.

### 6.1. Tackling the problem

At the beginning of this research, the main question was formulated: “**How can a *meaningful* public participation process be achieved in mixed-use redevelopments and thereby become socially sustainable?**”. The aim is to identify how participation processes within mixed-use (re)developments can become meaningful social sustainable participation processes. Besides, the findings could contribute to developing recommendations within the context of the new Environmental Planning Act 2021, which obliges a public participation process. To answer the main question, three different sub-questions were formulated, which cover the essential issues of the main question: (1) actors & communicative planning, (2) preconditions for communicative planning in mixed-use areas, (3) social sustainability concepts regarding communicative planning in public participation processes. The theoretical framework addressed at the end of the literature study provides an overview of the relationship between the sub-questions and the main question (fig. 66).

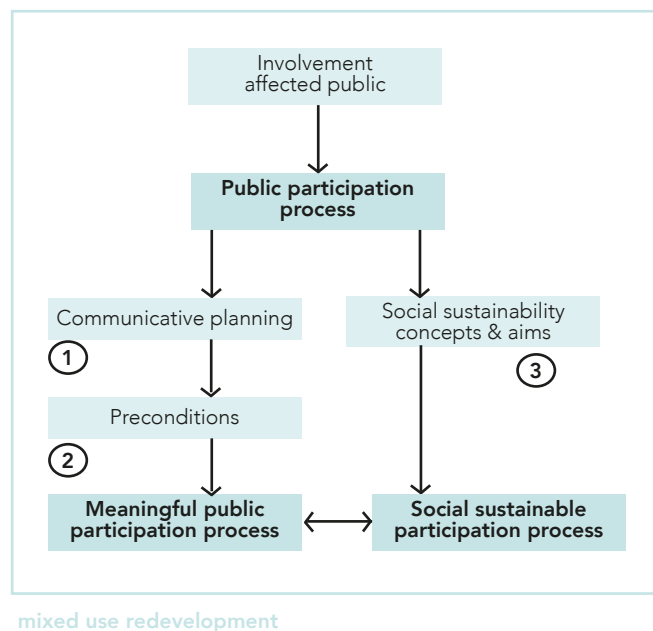


Figure 66. Theoretical framework aligning sub-questions.

#### 6.1.1. Sub-question 1: How are the affected public actors involved in the participation process?

In paragraph 5.1.1 is explained that the categories “affected”, and “effectors” are each other’s opposites within a spectrum where all actors can be positioned. The more influence effectors have on the decision-making

process, the more they become “effectors”, even if the (re)developments will influence these actors, e.g. citizen representatives. However, to avoid confusion, the terminology will be continued in the following chapter, where the “affected” are all the actors who are considered to be affected by the (re)developments.

#### *Use of communicative planning approaches*

With the framework from Edelenbos (2016), the usage of different communicative approaches was analysed. Both cases used a variety of instruments during the participation process illustrated in figure 67.



Figure 67. Instruments used during participation process

In both cases, the instrument of ‘co-creation’ was applied in an early stage of the participation process. This indicated that the administrators/effectors were willing to adopt input from bottom-up. However, achieving co-creation seemed to have one main difficulty: finding the balance between keeping the affected public willing to participate and keeping the process transparent to the affected public. In the Kogerveldwijk, businesses were involved to co-create the set-up for the MAAK. weeks, while the rest of the process was predetermined. Only a small number of businesses (besides from the municipal sub-departments) were willing to participate. At the same time, there were many actors in the Zomerhofkwartier willing to participate in the co-creative tender process, only not on a confidential basis. **Thus, it is important for both parties to co-create on equal grounds at the start of the process without any predetermination of the further process.**

Although in the literature only the instruments “consulting”, “advising” and “co-creating” were determined as approaches where the affected public is participating, in practice is seen that the instruments “informing”, and “co-decision” were used as well. Yet, these instruments were used to support the “co-creation” in the Zomerhofkwartier case, since inhabitants did not want to be highly involved, only informed. Figure 63 from the synthesis conclusion showed that the communicative approaches were complementing each other when the affected public is more involved. This indicates why the effectors combined “co-creation” with “co-decision” at the beginning of Slow Urbanism. By facilitating the public’s initiatives, trust is given to the public, which can contribute to the willingness to participate by the public and strengthens the public’s identity. **A conclusion for the usage of communicative planning instruments is that they can complement each other in their function to engage the public.**

Paragraph 5.1.1 also illustrated the timelines involving the communicative approaches. Both cases made use of three different approaches, although the implementation differed. The Zomerhofkwartier had one primarily approach (co-creation), which strengthened by some characteristics of co-decision, and parallel to this approach, the actors who were interested were informed. In the Kogerveldwijk, they made a division of phases and involvement of the public. Each phase and each group of actors was involved by a different approach. This made the process unclear and led to confusion and miscommunication. **Therefore, selecting a variety of communicative planning instruments during the participation process is possible, if**



there is clear communication to the public why a particular instrument is chosen and what is expected from them.

6.1.2. Sub-question 2: To what extent do preconditions contribute to the meaningful participation processes in mixed-use redevelopments?

From literature, four different preconditions were derived for meaningful participation processes in mixed-use areas. These four preconditions were analysed per case, compared with each other and with the theoretical part of this research. The following figure 68 illustrates to what extent the preconditions were met in both cases and/or which preconditions were rather considered as barriers. Furthermore, the crucial aspects of the preconditions will be summarised. In practice, observations of mutual help and with the willingness of affected public were of importance too. Therefore, these are added to as fifth and sixth precondition.

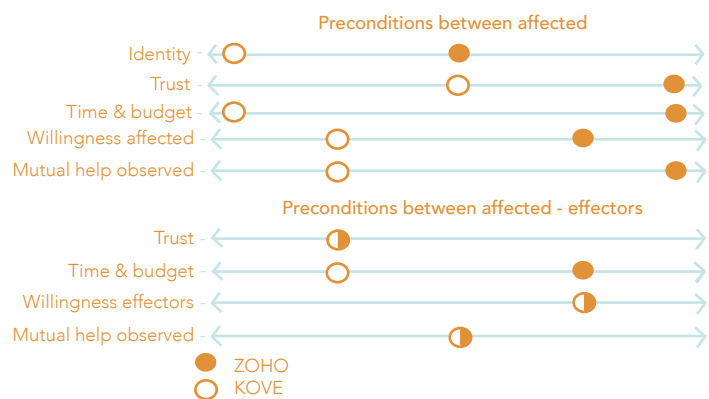


Figure 68. Extent of occurrence of the preconditions derived from synthesis

*Creating an identity*

The communicative approaches not only differed in their matter of involvement of the affected public, but they also indicated the willingness of effectors of support the addressed ideas. To create an identity, **support from the effectors was important to gain trust over a certain period**. The exact length of a period depended on the actors. **Due to the social-economic status of the affected public, cultural differences, and other (financial) difficulties resulted in a more extended period to establish an identity**. Subsequently, because the affected public differs, it is important to **make ideas as concrete as possible during the methods** (charettes, surveys, workshops, etc.) of communicative planning instruments.

*Trust in built*

Trust is important because it supports the identity of an area. One of the aspects of trust is **the transparency of sharing information** both between affected as between affected and effectors. Also, due to the cultural mix of the case study areas, **understanding is needed for each other's cultural differences** improving the willingness of affected to engage and mutual trust. In both cases is observed that trust increased when the public has the **feeling to be heard**, which is related to the observed mutual help.

*Administrator's willingness for participation*

In both cases, the effectors had a **social and/or financial profit** by engaging the affected public in the participation process. This can be considered as the main aspect of administrators to be willing to engage the affected public.

### *Sufficient budget & time*

One of the main aspects of sufficient budget and time is the **input from representatives** to make mutual help observed by the affected public. These representatives shorten the lines of communication between the affected public and effectors. It is crucial because in the case studies, it is shown that the public is not always willing to participate. Therefore, also the **socio-economic status of the public** is relevant for the budget and time to be sufficient.

### *Mutual help is observed*

Practice shows that realisation of initiatives helps to improve the trust and engagement by affected to participate. In the casus of Kogerveldwijk, only one-sided help is provided from the representatives to the public. These representatives tend to stand alone in improving the neighbourhood, wherein the Zomerhofkwartier there is more mutual help among the affected public. **Therefore, the level of mutual help/support is correlated to the build trust by input from representatives**, although in some cases, support was not reciprocal yet.

### *Affected public's willingness to participate*

This precondition was not derived from literature, but the importance was emphasised during multiple case-study interviews. For any communicative planning approach, a crucial aspect is if the affected public is willing to participate. Based on the findings from the semi-structured interviews, several aspects determine whether or not the public wants to be involved. Firstly, **the socio-economic status of the public** influences how the issues of (re)development are perceived. If the public has more urgent daily problems due to their low social-economic status, they instead spend their time (and budget) on solving their problems. In these cases, the issues addressed during the participation process, are by those actors not **considered as “problems”**. Furthermore, **cultural differences in an area** can lead to language barriers and different cultural (mis)interpretations, which can affect the willingness of the public to engage. Lastly, **transparency in the form of an open dialogue** is essential to create understanding for both parties.

#### 6.1.3. Sub-question 3: How does public participation contribute to social sustainability?

From the case-study synthesis, where the cases were compared with each other and with literature, conclusions can be drawn by illustrating the extent of social sustainability concepts met in practice (figure 69). The aspects of the social sustainability concepts will be elaborated in this paragraph.

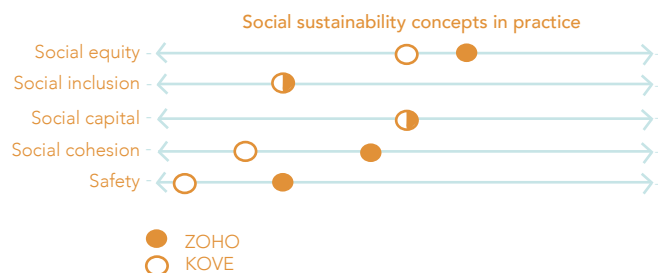


Figure 69. Extent of occurrence of the social sustainability concepts derived from synthesis

#### *Social equity*

Both cases score relatively high on social equity compared to the other sustainability concepts because the effectors were willing to engage the public in the participation process. The main aspect related to this willingness is the **openness/transparency of dialogues** during the communicative planning approaches. Next to this, the **willingness of the affected public** is also essential to effectively reach all the affected public.

#### *Social inclusion*

The **willingness of the affected public** defines why an individual wants to participate. This is dependent on several aspects, which are already described in the preconditions: cultural differences, social-economic status and the consideration of the problem. In both case studies, a part of the affected public was not represented during the communicative planning approaches due to one (or more) of these aspects.

#### *Social capital*

The extent of social capital was equal in both cases because the **transparency within communication** was often not correctly between affected and effectors. This did not contribute to the informal contact between the two parties and led to misinterpretations on expectations by the affected. On the contrary, an **intense collaboration between representatives/area managers and the affected public** resulted in a balance of the social capital level. This collaboration showed the affected public that they were heard, and their ideas were taken seriously.

#### *Social cohesion*

The social cohesion is measured according to three different assessments: increase of informal contact, desire to stay in the neighbourhood and the willingness to be a representative. Although the assessments were supported differently by groups of the affected public, a general conclusion is given regarding all the affected public in the case study areas. Social cohesion was increased when **the affected public observed mutual help and support**. It built trust and stimulated the affected to get in contact with each other informally. Besides, an **increase of liveliness** in the areas also determines whether or not the public has a desire to stay in the neighbourhood. This desire is one of the measurements for social cohesion. Lastly, the social-economic status of the effected public influences the willingness to be a representative of the area, since being a representative is much more demanding than participating.

#### *Safety*

The direct relation between safety and the participation process was not often supported during the semi-structured interviews. However, in some interviews, **the liveliness in areas** was emphasised to be an aspect of safety. Also, the **active involvement of the affected public** is an aspect to increase informal contact.

- 6.1.4. Main question: How can a meaningful public participation process be achieved in mixed-use redevelopments and thereby become socially sustainable?

From the sub-questions can be concluded that there is a certain level of dependency between meaningful public participation and sustainable public participation. First of all, the dependencies will be explained according to the two case studies, where after the main question can be answered how social

meaningful public participation can be achieved. Figure 70 illustrates all the characteristics of social meaningful public participation processes. This figure combines all the outcomes of the sub-questions.

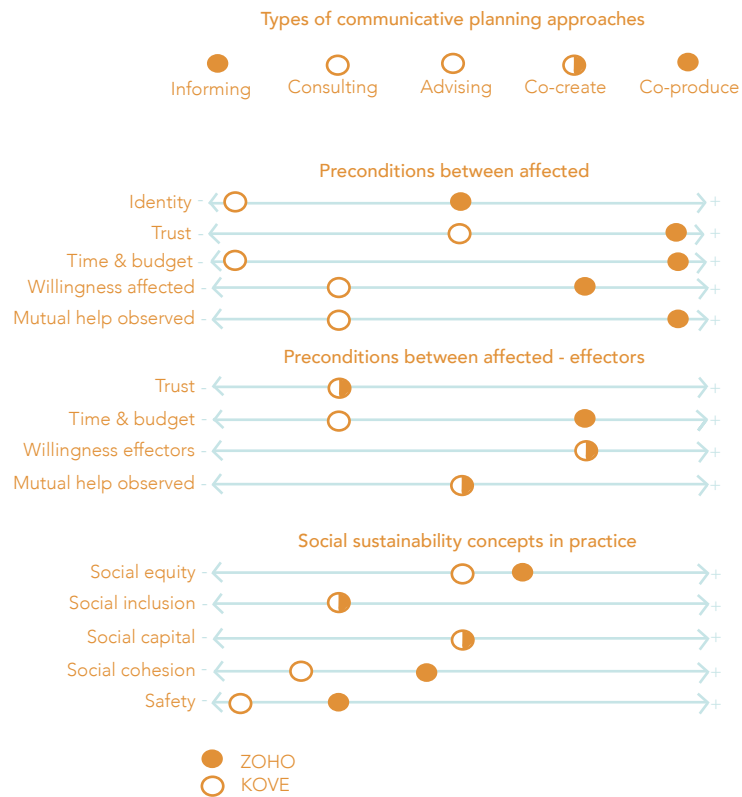


Figure 70. Characteristics of social meaningful public participation processes

*Dependencies in characteristics*

Figure 70 shows the characteristics of a social meaningful public participation process and until what extent the two case studies meet these characteristics. Since the characteristics are related and dependent on each other, this will be explained below.



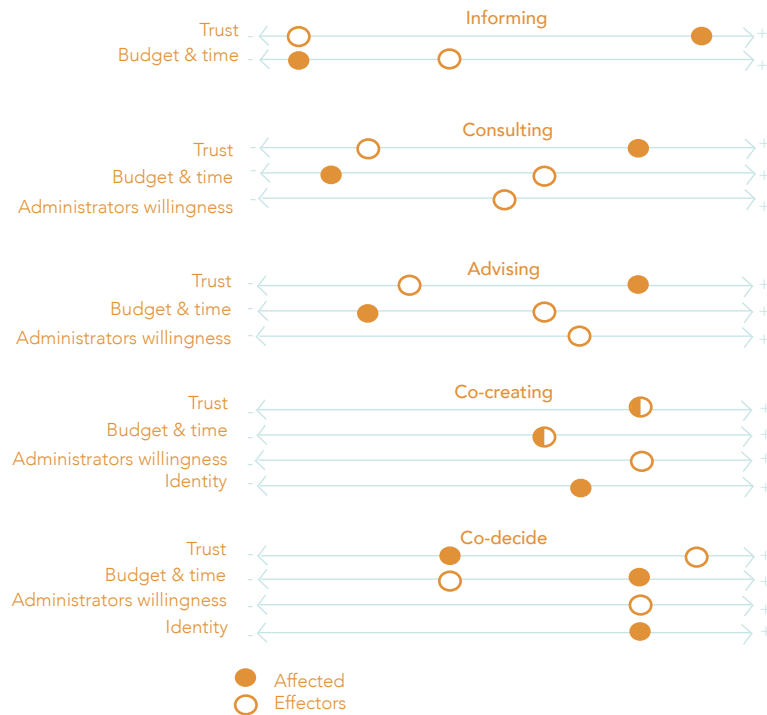


Figure 71. Communicative planning in relation to preconditions

The types of communicating planning approaches are dependent on certain preconditions between affected and between the affected with effectors (fig. 72). For informing, there needs to be a certain level of trust for the affected public to attend the information meetings, and there needs to be sufficient budget and time to organise these events. For advising and consulting, the willingness of the affected public becomes relevant because the effectors must be willing to consider the consults/advice. Otherwise, it is a waste of time and budget. Also, the level of trust is important for the affected. Co-creation is an approach where the trust must be mutual. There must be sufficient budget and time, a willingness from the effectors and an identity is important for the affected. Otherwise, the affected need to have a specific goal and/or attachment to the process to co-create. Lastly, for co-producing the trust towards the affected is mostly important, combined with the willingness from effectors. In this last communicative planning approach, the effectors take a more facilitating position where the affected are leading. Thus, it can be concluded that the more the affected public gets involved, the more preconditions are complementing each other. This may be a reason why, in the Zomerhofkwartier, the dominant approach is co-creation.

The preconditions are dependent on the social sustainability concepts since they are related to elements of several of these concepts. The relationship is indicated in appendix 1.

Creating an identity is related to social inclusion, social cohesion and safety because it focuses on the interaction between affected. Building trust between affected and effectors is related to social equity and social capital, where between affected it is related to social cohesion and safety. The willingness of effectors for participation is dependent on social equity, social inclusion and social capital. With social equity, the transparency of the process can be observed, where exclusion and the relation with the affected indicate how willing the participation was. Lastly, time and budget are related to the process as well: social equity. It may explain why the case study with

the most positive precondition scores, also score higher on the social sustainability concepts.

Figure 70 illustrates the characteristics of a social meaningful public participation process per case study. The meaningfulness is observed by preconditions and the type of communicative planning approach(es). Social sustainability is determined per concept. Based on the outcomes of the synthesis of the case study analysis, it can be concluded that the Zomerhofkwartier is considered more as a social meaningful public participation process, than in the Kogerveldwijk.

#### *Achieving social meaningful public participation process*

In the conclusion of the synthesis, figure 63 illustrates all the aspects of the preconditions and social sustainability by using communicative planning approaches. Three aspects were overlapping both the preconditions and the social sustainability aspects. These aspects also comply with the conclusion for the usage of the communicative planning approaches. This indicates that these aspects are crucial in achieving social meaningful public participation:

#### **1. Mutual help needs to be observed**

To prevent mistrust from both parties, mutual help needs to be observed parallel to the participation process. It is important to acknowledge that the contribution by representatives and/or area managers is from great value to the social cohesion and social capital of the area, by strengthening the informal contacts. By showing mutual help, the threshold will be lowered to participate. Mutual help also needs to be applied during the participation process, where both parties need to show support to each other by understanding the perspectives. For example, concretising ideas by setting goals and making solutions tangible are options to show mutual support.

#### **2. Improve the willingness of the affected public**

The level of involvement by participants determines the meaningfulness of a communicative planning approach. Therefore, it is important to focus on barriers to the willingness of these actors. The social-economic status of these actors often influences whether or not they consider (re)development and its participation process as “their problem”. Maintaining local support for daily difficulties stimulates mutual trust. Still, also it allows the affected public with a low social-economic status to engage in informal activities and build on the social cohesion of the area. Another barrier is the cultural differences within the area, which can result in a language barrier, but also a different interpretation of an issue. On the long term, when the willingness of the affected public is improved, the social inclusion will increase as well. The usage of different communicative planning approaches can be a method to strengthen the willingness of the affected public.

#### **3. Transparency through an open dialogue**

Based on the conclusion of the first sub-question, communicative planning approaches are complementing each other and can be used to strengthen the participation process. However, transparency during the complete participation process is an important aspect. First of all, both parties need to be transparent and treated on equal grounds, expectations need to be expressed towards each other, and there is transparency needed why a certain communicative planning approach is chosen. All of those are part of an open dialogue, which is required in order to create transparency. Not only will this contribute to the social equity of the process, but also it can improve the

willingness for affected to engage, increases the level of trust and eventually contribute to the social inclusion.

To conclude, there is a connection between socially sustainable processes and meaningful participation processes. The aspects “observed mutual help”, “willingness of the affected public” and “transparency by an open dialogue” are crucial features for both processes. To establish social meaningful participation processes, these aspects need to be considered.

## 6.2. Recommendations within the new Environmental and Planning Act 2021

Based on section 5.4, the Environmental and Planning Act of 2021 is structured according to four steps: initiative, plan, realisation and evaluation. In figure 72, a more concrete framework of recommendations is set up, which incorporates the three aspects to achieve social meaningful participation processes per step.



Figure 72. Steps to incorporate resulting aspects to achieve social meaningful public participation processes

### Initiative

During the initiative phase, the aim is to indicate the (future) perspectives of multiple different actors within the (re)development and collaboratively put input in the Environmental and Planning vision. The recommendations for this phase are as follows:

- Improving social cohesion and social capital are crucial elements to enhance the willingness of the affected public and trust.
  - Area management and representatives should be more supported by administrators in the workforce and financial contributions to improve the daily difficulties of inhabitants/businesses in a specific area.
  - The speed of the participation process is highly dependent on the progress "at home/work" and the "neighbourhood". When the situation improves at home/work for businesses/inhabitants, the next step is to improve the neighbourhood by organising informal events.
- Before a vision is created, an open dialogue should be considered to design the process with all the participants. For



example: which instruments will be used when, why and by whom? What are the mutual benefits? What is the goal of the redevelopment?

- To establish a collaborative vision, a context needs to be created for all the participants based on transparent expectations, benefits and agreements

### **Plan**

During the planning phase, the aim is to formulate the policy for a plan more concrete by integrating opinions of representatives. The recommendations for this phase are as follows:

- Even though a certain level of social cohesion is reached, the process of area management (with support) must be maintained next to the participation process. Continuous evaluation is needed to prevent mistrust and exclusion.
- Social equity is an important concept in this phase. The formulation of policies can be too abstract; use methods as visualisation, case examples, maps etc. Where, how, and to whom are the policies applicable?
- Evaluate if all the participants are represented by the representatives to prevent exclusion.
- Evaluate if all the participants are still on the same page regarding the agreements and expectations from the initiative phase. Adjustments are possible after an open dialogue.

### **Realisation**

During the realisation phase, the aim is to finalise the plan with a framework of costs, limitations and risks for the participants and to test if they meet the criteria. The recommendations for this phase are as follows:

- Transparency in the costs, limitations and risks is important to support the mutual trust from both sides. This should be seen as an end-product after an open discussion with the participants to establish the framework.
- The willingness of inhabitants/businesses to keep involved is still one crucial element for participation in this phase. Thus, social cohesion and social capital are still concepts to maintain/improve the household and neighbourhood scale.
- Evaluate if all the participants are still on the same page regarding the agreements and expectations from the initiative phase. Adjustments are possible after an open dialogue.

### **Evaluation**

During the evaluation phase, the aim is to receive feedback from the participants on the process. The recommendations for this phase are as follows:

- The evaluation is an integrated method to check every step in the process. The final evaluation is to test whether the outcomes are in line with the goals, expectations and agreements set in the previous phases.

## 6.3. Discussion

In this chapter, the limitations of the research, validation of the results and recommendations for further research will be elaborated.

### 6.3.1. Limitations of the research

During the literature study, it was noticed that the social sustainability concepts and the preconditions were overlapping in multiple ways. Therefore, in the empirical part of the research, the elements of the preconditions/social sustainability were measured by using the same questions. This made it seem as if the concepts were already similar to the preconditions. As a result, clarification is given in appendices and in the data analysis, how the preconditions were built up with elements of different social sustainability concepts to make a distinction of the different meanings.

Also, an assumption was made in the literature study that the “affected” and the “effectors” were two different categories of actors, while in practice it is observed that the terms are rather each other opposites on a spectrum, on which all the involved actors can be positioned. Thereby, actors can be affected by the (re)developments and influence the process by decision-making power.

Furthermore, in this research, two cases were selected based on opposite extremes: bottom-up and top-down. Based on the findings from the semi-structured interviews, both of the cases were initiated from top-down where after from bottom-up, a participation process was led. This means that the case-selection did not illustrate opposite extremes, rather elements of opposite extremes.

Lastly, as described in the actor description of the literature study, this research has only focussed on administrators considered as “effectors” and inhabitants and local businesses as “affected”. The role of the market parties was not acknowledged, although this potentially could have influenced the participation processes.

### 6.3.2. Validation

For the semi-structured interviews, basic questions were constructed per social sustainability concept where after the questions were changed according to the role of the interviewee. This attempt has been made to provide a general guideline for the interviews while leaving room for interpretation and personalisation. For example, questions were asked about social equity and the transparency of the process to all the interviewees, only the specific questions were asked regarding a particular process in which the interviewee was involved (tender process, Slow Urbanism). The division of topics within the main concept led to difficulties during the data processing. Not only was the data not “similar”, but also the amount of data given on a specific topic differed per process. As a result, some processes were not as represented as others. Therefore, processes were measured as equally, although some processes have had more influence on the (re)development than others.

Subsequently, more interviews should be conducted to get a more in-depth overview of all the processes in top-down and bottom-up participation processes. As described before, this research had the aim to research both extremes. However, the bottom-up case was initiated from top-down.

The research goal was to investigate the definition of meaningful public participation by different communicative planning approaches and to find the overlapping variables with social sustainability. Although not all the factors of meaningful public participation were considered due to the limited amount of time for this research, there are conclusions drawn on how communicative planning approaches can be improved. Therefore, it can be said that the results are valid.

### 6.3.3. Recommendations for further research

This study is based on a qualitative research, where a relation is sought between meaningful public participation and social sustainability. There are some recommendations for further research:

- The scope of this research reaches until the planning phase. In neither of the two case studies, the execution of the (re)development has not started yet. However, the attempts are made on how to involve the inhabitants/local businesses in the further process. For future research, a study providing insights over the complete (re)development phase would be interesting to conclude on specific attempts throughout an entire process.
- A quantitative insight into the relation between meaningful public participation and social sustainability would be interesting to test the conclusions from this research. A quantitative survey could do this with the involved actors after completion of phases in multiple contrasting (bottom-up/top-down) cases.
- The recommendations in the context of the new Environmental and Planning Act 2021 are not tested in practice. It would be interesting if this approach can be elaborated by the design of further developed new process approach.

## 6.4. Reflection

A reflection will be provided in this final chapter of the thesis. This chapter will reflect on the research relevance, the research methodology and the research process.

### 6.4.1. Research relevance

#### *Societal relevance*

In current municipal ambition documents is observed that there is a growing focus on social sustainability in future/current (re)developments. Subsequently, due to the growth of the population and the desire of inhabitants and businesses to locate in central areas within the city, the need for meaningful participation is needed that complies with the new Environmental and Planning Act of 2021 as well as to social sustainability.

This study showed that there is a relation between participation processes and social sustainability based on multiple concepts; social equity, social inclusion, social capital and social cohesion. Only a direct relation between the social sustainability concept 'safety' and participation is not observed.

Besides, with this research, the crucial aspects of social meaningful participation processes are indicated, which can contribute to more social sustainable neighbourhoods. The conclusion focused on the vulnerability of actors who are affected by them (development) and their disability to engage in participation processes. This insight emphasises on the importance of social cohesion and social capital before any form of development starts and can contribute to the societal relevance of future developments.

#### *Scientific relevance*

Although there are numerous academic researches on social sustainability in residential areas, the focus in mixed-use areas was missing. Besides, social sustainability was not linked to a participation process yet. This study provides an overview of all the elements of social sustainability, but also meaningful participation where after these are connected with each other.

### 6.4.2. Research methodology

#### *Literature study*

A literature study forms the basis for empirical research and is one of the most essential methods used in this research. The topics in this research, however, were broad and multi-interpreted. Conducting the literature study, therefore, was considered as intensive and challenging. Especially the definition of meaningfulness in a participation process and the related features were difficult to find. After a period of the three two months, I made an overview of all the found features related to meaningful participation. Although I thought that the overview would give a certain level of structure, it led to confusion due to the broadness. Subsequently, it was difficult to define social sustainability as well, since most of the scientific papers were contrasting and had a different perspective. Eventually, I limited to scope to only communicative planning approaches as the main feature for meaningful participation. Also, social sustainability was deconstructed into several concepts which were related to the planning process.

#### *Case study*

At the start of the case study, the methodology of the research was not yet defined. This led to a time-consuming deconstructive approach to finding all the operational elements for the semi-structured interviews. Also, during the operationalising period, the theory fell into place because I needed to compare theory and practice continuously.



After a framework was set up for the semi-structured interviews, a parallel process started between a documentation study and conducting the interviews. Because a set of basic questions was established, the interviews were personalised per interviewee based on their experiences in the process. This was not only very time-consuming; it also led to more difficulty during the data processing since the answers to questions were related to different kinds of processes.

The input from the data process was first analysed based on the answers given by the interviewees. Afterwards, comparisons were drawn between the cases and with the theory.

#### 6.4.3. Research process

This last paragraph reflects on the research process from my point of view for the past year.

At the start of the graduation project, my interests in development processes led me to the variations of participation processes. Besides, social sustainability was a topic which I was missing in researches from other students. The initial idea was much more focussed on one specific participation instrument: co-creation. However, the link between social sustainability and co-creation was difficult to find. Thus, a logical step was to enlarge the scope to 'meaningful' participation in general, which was in a way too broad. For three weeks, I've struggled with the definitions of meaningfulness and social sustainability and how to make them explicit.

After the P2, comments were given on the matter of operationalisation of these broad definitions. Since the weeks before the P2 were intensive by linking the literature with each other, I did not focus much on the operationalisation-part of the research yet. Therefore, I needed to start with this process at the beginning of the P3 process, which influenced the semi-structured interviews. I've conducted the first interviews before the complete methodology and operationalisation was finalised. This resulted that every protocol of an interview needed to be personalised according to the experiences of the interviewee per process. At that point in time, the corona-crisis started in the Netherlands, which made it impossible to conduct any interviews in person. Luckily, I only had half of the interviews left to conduct. Thus, conducting the interviews at the start of the P3 period seemed to be a blessing in disguise.

At the P3 presentation, a part of the analysis was obtained from the document study. From all the interviews, a transcript was written. However, the data from these interviews were not analysed in-depth yet. The next step was to focus on how the data was measurable and made comparable with each other. I was aware of the time and that it was urgent to speed the progress for the remaining four weeks until the P4. The support I had from my mentors was very fruitful for the progress, but also gave confidence that I was going in the right direction.

With a strict time and planning schedule, I finalised the report on time. Although I thought that the findings of the result were more focussed on a complete set-up of a design for a participation process, the research has contributed to in a few valuable lessons and recommendations, which apply to the new Environmental and Planning Act.







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## Appendix I

Sub-type	Preconditions related	Variables	Measures
<b>Social equity</b>	Building trust Administrator's willingness Time & budget	Equal distribution	Feedback given from effectors during process (open dialogue) Documentation/information of process has reached affected
<b>Social inclusion</b>	Administrator's willingness Creating identity	Representation Diversity	No exclusion of groups of affected based on age, nationality, education during the participation process
<b>Social capital</b>	Building trust Administrator's willingness	Interaction	Increase of informal contact between affected and effectors through mutual help and support
<b>Social cohesion</b>	Creating identity Building trust	Interaction Attachment & belonging	Increase of informal contact between affected through mutual support and help Desire to stay in the neighbourhood Willingness to represent neighbourhood during process
<b>Safety</b>	Creating identity Building trust	Security	Feeling of safety during daytime increased after process Feeling of safety during the night increased after process

## Appendix II

Measures	Basic questions	Who(m)
<p>(24) Feedback given from effectors during process (open dialogue)</p> <p>(25) Documentation/information of process has reached affected</p>	<p>In a situation where interests were conflicting:</p> <p>(26) How was feedback given to the affected during the process on their input?</p> <p>(27) During which situation?</p> <p>(28) How was the reaction of the affected on the feedback taken into account for further reconsideration?</p> <p>(29) How was the process documented and distributed to inform the affected and/or other interested parties?</p> <p>(30) How did this contribute to the accessibility of the affected during the participation process?</p>	<p>In depth</p> <p>ZOHO Tender manager (TD)</p> <p>ZOHO Municipality Rotterdam (TD)</p> <p>ZOHO Havensteder (TD)</p> <p>ZOHO Citizen (BU)</p> <p>KOVE Process manager MAAK. (TD)</p> <p>KOVE Advice board resident (TD)</p> <p>KOVE Advice board business (TD)</p> <p>KOVE Area manager (BU)</p> <p>Shortly to check:</p> <p>KOVE representative resident (BU)</p> <p>KOVE representative business (BU)</p> <p>ZOHO neighbourhood counsellor (BU)</p> <p>ZOHO representative business</p>
<p>(31) Social mix based on income/household of residents during process (D)</p> <p>(32) Social mix based on different organisations during process (D)</p> <p>(33) No exclusion of groups of affected based on age, nationality, education during the participation process</p>	<p>(34) What is the income/household ratio of participants in the neighbourhood? (D)</p> <p>(35) Which kind of businesses can be considered within the neighbourhood? (D)</p> <p>(36) To what extent do you think that a certain group within the neighbourhood is underrepresented during the process based on age, nationality and education-level?</p>	<p>In depth</p> <p>ZOHO Municipality Rotterdam (TD)</p> <p>ZOHO Havensteder (TD)</p> <p>ZOHO Citizen (BU)</p> <p>KOVE Process manager MAAK. (TD)</p> <p>KOVE Advice board resident (TD)</p> <p>KOVE Advice board business (TD)</p> <p>KOVE Area manager (BU)</p> <p>KOVE representative resident (BU)</p> <p>KOVE representative business (BU)</p> <p>ZOHO neighbourhood counsellor (BU)</p> <p>ZOHO representative business</p> <p>Shortly to check:</p> <p>ZOHO Tender manager (TD)</p>
<p>(37) Increase of informal contact between affected and effectors through mutual help and support</p>	<p>(38) How often were meetings organised with effectors and affected?</p> <p>(39) What kind of meetings were organised?</p> <p>(40) What was the reason for choosing this type of meeting?</p> <p>(41) To what extent do you consider these meetings becoming more informal during the process? E.g. do affected and effectors see each other also informally and do they know each other's names?</p> <p>(42) How was there room for help and support for understanding the topics during the participation process by the effectors?</p> <p>(43) How were the affected open for help and support from the effectors?</p>	<p>In depth</p> <p>ZOHO Tender manager (TD)</p> <p>ZOHO Municipality Rotterdam (TD)</p> <p>ZOHO Havensteder (TD)</p> <p>ZOHO Citizen (BU)</p> <p>KOVE Process manager MAAK. (TD)</p> <p>KOVE Advice board resident (TD)</p> <p>KOVE Advice board business (TD)</p> <p>KOVE Area manager (BU)</p> <p>KOVE representative resident (BU)</p> <p>KOVE representative business (BU)</p> <p>ZOHO neighbourhood counsellor (BU)</p> <p>ZOHO representative business</p>
<p>(44) Increase of informal contact between affected through mutual support and help</p> <p>(45) Desire to stay in the neighbourhood</p> <p>(46) Willingness to represent neighbourhood during process</p>	<p>(47) How did (a phase of) the participation process contribute to the informal contact between businesses and inhabitants? E.g. do inhabitants and businesses see each other also informally and do they know each other's names?</p> <p>(48) How was there room for help and support for understanding the topics during the participation process between businesses and inhabitants?</p> <p>(49) How were businesses and inhabitants willing to be helped and supported by each other?</p>	<p>In depth</p> <p>KOVE representative resident (BU)</p> <p>KOVE representative business (BU)</p> <p>KOVE Area manager (BU)</p> <p>KOVE Advice board resident (TD)</p> <p>KOVE Advice board business (TD)</p> <p>ZOHO Citizen (BU)</p> <p>ZOHO neighbourhood counsellor (BU)</p> <p>ZOHO representative business</p>

	<p>(50) How were businesses and inhabitants open during the participation process about their aims?</p> <p>(51) How many local events are organised by inhabitants and businesses?</p> <p>(52) What kind of local events were organised?</p> <p>(53) Were these events often visited by both inhabitants and businesses? Why do you think this is/ is not?</p> <p>(54) To what extent did the participation process influence the desire to stay/leave the neighbourhood among inhabitants and businesses?</p> <p>(55) How many inhabitants and businesses were willing to be a representative during the participation process of the neighbourhood?</p> <p>(56) To what extent do you consider them to be representative for the neighbourhood?</p>	
<p>(57) Feeling of safety during daytime increased after process</p> <p>(58) Feeling of safety during the night increased after process</p>	<p>(59) To what extent do you feel comfortable during daytime to walk alone in the neighbourhood before/after the participation process?</p> <p>(60) To what extent do you feel comfortable to let your children play on the streets without supervision before/after the participation process?</p>	<p>In depth</p> <p>KOVE representative resident (BU)</p> <p>KOVE representative business (BU)</p> <p>KOVE Area manager (BU)</p> <p>KOVE Advice board resident (TD)</p> <p>KOVE Advice board business (TD)</p> <p>ZOHO Citizen (BU)</p> <p>ZOHO neighbourhood counsellor (BU)</p> <p>ZOHO representative business</p>

(D) – Quantitative data which can be obtained by online measuring tools of demographics etc. Not included in interviews.

(TD) – Top-down

(BU) – Bottom-up

## Appendix III

A list of all the interviewees for this research are presented below per case. All interviewees are related to a number, which will be used for the analysis of the research.

### Interviewees Zomerhofkwartier

Interviewee	Function/ relation to ZOHO	Date	Organisation
ZOHO-1	Tendermanager of ZOHO tender (third party)	04/02/2020	Third party
ZOHO-2	Representative ZOHO-citizens + participating in selection jury of the tender as ZOHO-citizen**	19/02/2020	ZOHO citizen
ZOHO-3	Chosen representative in area-council for inhabitants in Agniesebuurt	04/03/2020	Inhabitant
ZOHO-4	Projectmanager ZOHO from municipality	24/03/2020	Municipality of Rotterdam
ZOHO-5	Representative of ZOHO-citizens in the area not involved in tender	02/04/2020	ZOHO citizen
ZOHO-6	Processmanager ZOHO from Havensteder	06/04/2020	Havensteder

### Interviewees Kogerveldwijk

Interviewee	Function/ relation to ZOHO	Date	Organisation
KOVE-1	Area manager of Kogerveldwijk (supported by social area team)	27/02/2020	Municipality of Zaanstad
KOVE-2	Processmanager MAAK. Zaanstad perspective phase	27/02/2020	Municipality of Zaanstad
KOVE-3	Representative inhabitant in advisory board MAAK. + <b>focus group representative Boerejonkerbuurt *</b>	20/03/2020	Inhabitant
KOVE-4	Active inhabitant in Hofwijk	25/03/2020	Inhabitant
KOVE-5	<b>Representative inhabitant in advisory board MAAK. *</b> + focus group representative Boerejonkerbuurt	26/03/2020	Inhabitant
KOVE-6	Local business owner Boerejonkerbuurt	31/03/2020	Business
KOVE-7	Local business owner Boerejonkerbuurt + representative business in advisory board MAAK. **	02/04/2020	Business

\*Some of the interviewees have multiple roles regarding the case area. In KOVE-3 and KOVE-4, the focus point of the interview was discussed beforehand and marked in **bold**.

\*\*Some of the interviewees have multiple roles regarding the case area. In KOVE-7 and ZOHO-2, both perspectives are asked. The switch of perspective was introduced during the interviews.



## Appendix IV

An overview of the assessments of the preconditions with related explanation, interviews and level of support.

Assessments of preconditions	Affected supported	Affected – effectors supported	Explanation	Main interview(s) related
Established an identity	Moderately	-	<ul style="list-style-type: none"> <li>- Affected public is considered as three different groups with different aims; entrepreneurial character mainly related to the businesses</li> <li>- Attempts were taken to involve all the affected public by the businesses through informal activities and meetings; not much attendance</li> <li>- There is a feeling of security during the day, because of the liveliness of the businesses while at night the area feels isolated</li> <li>- Informal contact grew last year due to the introduction of organization Stad In De Maak; providing contacts between social sector inhabitants and businesses</li> </ul>	ZOHO-5 ZOHO-3 ZOHO-2
Trust is built	Fully	Slightly	<ul style="list-style-type: none"> <li>- Slow Urbanism-phase beneficial for Havensteder, citizens and municipality; low threshold to participate and initiate</li> <li>- Due to transparent character of Slow Urbanism, inhabitants who were interested could join meetings: creating informal contact</li> <li>- During tender period only a select group of ZOHO-citizens were involved</li> <li>- Confidential information could not be shared with other ZOHO-citizens and inhabitants</li> <li>- Attendance of inhabitants/citizens decreased due to lack of shared information and timing</li> <li>- Due to long period of silence, businesses are uncertain of future situation</li> </ul>	ZOHO-5 ZOHO-3 ZOHO-2
Administrators willingness for participation	-	Strongly	<ul style="list-style-type: none"> <li>- Havensteder supports Slow Urbanism due to increase of (future) value</li> <li>- Municipality supports Slow Urbanism due to connection of deprived surrounding areas</li> <li>- Effectors intentionally limited the amount of involved affected public for tender process</li> <li>- Internal discussion regarding sustainability matters during tender</li> <li>- Organizational structure of municipality caused time delay and unplanned changes in the process</li> </ul>	ZOHO-3 ZOHO-2 ZOHO-4 ZOHO-6
Sufficient time & budget	Fully	Strongly	<ul style="list-style-type: none"> <li>- Intrinsic motivation from affected businesses to involve</li> <li>- Financial contribution by Havensteder during Slow Urbanism</li> <li>- Facilitating contribution by municipality during Slow Urbanism</li> <li>- Havensteder and municipality clients of the tender; no payment for citizens</li> <li>- Timing after winner of tender caused frustration and uncertainty among businesses and (surrounding) inhabitants</li> </ul>	ZOHO-5 ZOHO-4

## Appendix V

An elaborated version of the social sustainability concepts and measurements explained per category in ZOHO. The assessments of the measurements are supported by a scale from not occurred – fully supported.

Social concept	Measurements	Supported	Explanation	Main interview(s) related
Social equity	<ul style="list-style-type: none"> <li>- Feedback given from effectors during process (open dialogue)</li> <li>- Documentation/information of process has reached affected</li> </ul>	<ul style="list-style-type: none"> <li>- Strongly</li> <li>- Moderately</li> </ul>	<ul style="list-style-type: none"> <li>- Facilitating role of effectors in the first round creates a low threshold to join slow urbanism</li> <li>- Tender procedure is open and transparent; affected equally involved/treated compared to effectors</li> <li>- Feedback was given to a select group of ZOHO-citizens; information was confidential</li> <li>- ZOHO-citizens tried to involve all (surrounding) inhabitants by (informal) events, meetings, newsletters etc.</li> <li>- The response was limited due to a different social-economic background of the inhabitants</li> <li>- Information of tender was confidential; not possible to distribute</li> </ul>	ZOHO-2 ZOHO-4 ZOHO-1
Social inclusion	<ul style="list-style-type: none"> <li>- No exclusion of groups of affected based on age, nationality, education during the participation process</li> </ul>	<ul style="list-style-type: none"> <li>- Slightly</li> </ul>	<ul style="list-style-type: none"> <li>- ZOHO-citizens tried to involve all (surrounding) inhabitants by (informal) events, meetings, newsletters etc.</li> <li>- Social economic background of inhabitants play a role in understanding the issue(s). Most of these people have more relevant problems of their own.</li> <li>- Inhabitants surrounding the Zomerhofkwartier find the addressed issues too abstract and vague</li> <li>- Diverse and active involvement of ZOHO-citizens and other local businesses</li> </ul>	ZOHO-3 ZOHO-2
Social capital	<ul style="list-style-type: none"> <li>- Increase of informal contact between affected and effectors through mutual help and support</li> </ul>	<ul style="list-style-type: none"> <li>- Moderately</li> </ul>	<ul style="list-style-type: none"> <li>- Facilitating role of effectors in the first round, but are not involved in the way of spending; not a matter of mutual consent</li> <li>- Low threshold to engage effectors due to the intense contact between different parties</li> <li>- Rules and procedure were set up by a third party where effectors remain client and no steering of ZOHO-citizens</li> <li>- Tender procedure is open and transparent; affected equally involved/treated compared to effectors with mutual help and support</li> <li>- Only informal contact between selected group of affected public due to confidential character</li> </ul>	ZOHO-5 ZOHO-6
Social cohesion	<ul style="list-style-type: none"> <li>- Increase of informal contact between affected through mutual support and help</li> <li>- Desire to stay in the neighbourhood</li> </ul>	<ul style="list-style-type: none"> <li>- Moderately</li> <li>- Moderately</li> </ul>	<ul style="list-style-type: none"> <li>- Inhabitants surrounding the Zomerhofkwartier find the addressed issues too abstract and vague; low level of attendance</li> <li>- Social economic background of inhabitants play a role in understanding the issue(s). Most of these people have more relevant problems of their own; since a year a growth in informal contacts due to Stad in de Maak</li> <li>- Among ZOHO-citizens there is much help and support, both professionally as in the process</li> <li>- ZOHO-citizens tried to involve and reach all (surrounding) inhabitants by (informal) events, meetings, newsletters etc.</li> <li>- Social housing tenants are not very attached to housing and area due to own problems</li> <li>- Identity is mainly focused on the entrepreneurial aspect of the area focussing on ZOHO-citizens</li> <li>- Strong desire to stay in the area by businesses</li> </ul>	ZOHO-2 ZOHO-5

	- Willingness to represent neighbourhood during process	- Slightly	- Request sent to participate in the tender for both inhabitants as businesses - Some businesses dropped out to enter competition/be available to be critic/ not willing to sign confidential contract - No inhabitants were interested	
Safety	- Feeling of safety during daytime increased after process  - Feeling of safety during the night increased after process	- Moderately  - Not supported	- Issue of safety in Zomerhofkwartier addressed before Slow Urbanism started - Some believe the interaction/activities between citizens helped to improve the feeling of safety, others say it was handled beforehand and therefore not related to process  - Area is not used during the night; feeling of unsafe remains - The process has not contributed to this, because businesses are working during the day to create liveliness	ZOHO-3 ZOHO-5

## Appendix VI

An overview of the assessments of the preconditions with related explanation, interviews and level of support.

Assessments of preconditions	Affected supported	Affected effectors supported	Explanation	Main interview(s) related
Established an identity	Not occurred	-	<ul style="list-style-type: none"> <li>- Different neighbourhoods with own character and no interaction</li> <li>- Representatives are hard to find in the area</li> <li>- Solving problems rather than initiating informal events to connect with other inhabitants/businesses</li> <li>- Businesses barely represented in the area</li> <li>- Low willingness to participate in all participation processes due to cultural differences, language barriers, social disability and age differences</li> </ul>	KOVE-1 KOVE-2 KOVE-3 KOVE-6 KOVE-5 KOVE-4 KOVE-7
Trust is built	Moderately	Slightly	<ul style="list-style-type: none"> <li>- Area management and process management of MAAK. support each other to create understanding and low threshold for informal contact</li> <li>- Miscommunication has taken place on different levels, although attempts by the municipality are made</li> <li>- Large percentage of affected public has not been reached, although attempts by the municipality are made</li> <li>- Small number of representatives who take the lead in local initiatives, who do not feel supported by the rest of the neighbourhood</li> </ul>	KOVE-1 KOVE-7 KOVE-5 KOVE-3 KOVE-6 KOVE-4
Administrators willingness for participation	-	Strongly	<ul style="list-style-type: none"> <li>- Municipality tried to reach all the affected public by multiple methods</li> <li>- Advice was taken from advisory board</li> <li>- Feedback was given to all questions digitally</li> <li>- The approach was not communicated properly to the affected public</li> <li>- Informal contact increased due to area management</li> <li>- Division area management and process MAAK. caused miscommunication and/or non realizable ambitions for affected public</li> </ul>	KOVE-3 KOVE-5 KOVE-2 KOVE-4
Sufficient time & budget	Not occurred	Slightly	<ul style="list-style-type: none"> <li>- Municipality supports and facilitates, however initiatives from affected public is expected</li> <li>- Kogerveldwijk is considered as a deprived area with a lot of social housing and low-middle income households</li> <li>- Municipality acknowledged not reaching out to all the affected public due to lack of financial resources and time</li> </ul>	KOVE-4 KOVE-3 KOVE-6 KOVE-2



## Appendix VII

An elaborated version of the social sustainability concepts and measurements explained per category in KOVE. The assessments of the measurements are supported by a scale from not occurred – fully supported.

Social concept	Measurements	Supported	Explanation	Main interview(s) related
Social equity	<ul style="list-style-type: none"> <li>- Feedback given from effectors during process (open dialogue)</li> <li>- Documentation/information of process has reached affected</li> </ul>	<ul style="list-style-type: none"> <li>- Slightly</li> <li>- Strongly</li> </ul>	<ul style="list-style-type: none"> <li>- Feedback was given digitally as reaction to questions; no further consideration and dialogue</li> <li>- Advice was given that digital communication was not effective in the area; municipality continued its communication approach</li> <li>- Advice/consult approach seem to be in contrast with the expectations of the inhabitants/businesses</li> <li>- Transparent documentation; all steps were documented digitally</li> <li>- Municipality tried to reach all the affected by different methods; lack of interest by affected public</li> </ul>	<ul style="list-style-type: none"> <li>KOVE-2</li> <li>KOVE-5</li> <li>KOVE-3</li> <li>KOVE-6</li> </ul>
Social inclusion	<ul style="list-style-type: none"> <li>- No exclusion of groups of affected based on age, nationality, education during the participation process</li> </ul>	<ul style="list-style-type: none"> <li>- Slightly</li> </ul>	<ul style="list-style-type: none"> <li>- Alternative methods to approach the affected by the effectors did not contribute to attendance</li> <li>- Exclusion of groups mostly related to the affected public themselves</li> <li>- Mixed area with many different cultures. Education-level considered low and low-low middle-income households.</li> </ul>	<ul style="list-style-type: none"> <li>KOVE-2</li> <li>KOVE-3</li> <li>KOVE-5</li> </ul>
Social capital	<ul style="list-style-type: none"> <li>- Increase of informal contact between affected and effectors through mutual help and support</li> </ul>	<ul style="list-style-type: none"> <li>- Moderately</li> </ul>	<ul style="list-style-type: none"> <li>- Intensive collaboration between process management and area management; short-term actions could be realized</li> <li>- Feeling of inhabitants to be taken seriously; low threshold to approach municipality for other issues.</li> <li>- Low threshold only for active inhabitants; only small percentage of neighbourhoods</li> <li>- Representatives advisory board had the feeling that the municipality stood behind its inhabitants</li> <li>- Municipality intended other interpretation of advisory board; help was one-sided.</li> </ul>	<ul style="list-style-type: none"> <li>KOVE-1</li> <li>KOVE-2</li> <li>KOVE-4</li> <li>KOVE-5</li> <li>KOVE-7</li> </ul>
Social cohesion	<ul style="list-style-type: none"> <li>- Increase of informal contact between affected through mutual support and help</li> <li>- Desire to stay in the neighbourhood</li> <li>- Willingness to represent neighbourhood during process</li> </ul>	<ul style="list-style-type: none"> <li>- Not supported</li> <li>- Slightly</li> <li>- Slightly</li> </ul>	<ul style="list-style-type: none"> <li>- Different organisations per neighbourhood; not representing whole Kogerveldwijk</li> <li>- Attendance is minimal by inhabitants/businesses</li> <li>- Representatives tried to reach out to affected public in different ways</li> <li>- Desire to stay in neighbourhood is moderately supported; depends on rental/homeownership/ social housing</li> <li>- Desire to leave grew in the last years</li> <li>- Few representatives in the neighbourhoods; hard to find replacement</li> </ul>	<ul style="list-style-type: none"> <li>KOVE-1</li> <li>KOVE-3</li> <li>KOVE-5</li> <li>KOVE-4</li> </ul>
Safety	<ul style="list-style-type: none"> <li>- Feeling of safety during daytime increased after process</li> <li>- Feeling of safety during the night increased after process</li> </ul>	<ul style="list-style-type: none"> <li>- Not supported</li> <li>- Not supported</li> </ul>	<ul style="list-style-type: none"> <li>- Process not related to the level of safety</li> <li>- Less informal activities due to limitations of subsidies</li> <li>- Less liveliness during the day</li> <li>- Criminality and aggression during the night</li> <li>- Adjusted opening hours by businesses</li> <li>- Inhabitants tend to walk safer route rather than shorter route</li> </ul>	<ul style="list-style-type: none"> <li>KOVE-4</li> <li>KOVE-7</li> <li>KOVE-5</li> </ul>

