

THE PARTICIPATION OF LOCAL COMMUNITIES ON URBAN REGENERATION PROJECT

CASE STUDIES IN LISBON AND SÃO PAULO

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1. INTRODUCTION

Both city and society are complex and evolutive systems. Cities have a multitude of problems which unfold and diverse throughout time. Problems such as the characterization and use of public space enlance discussions from actors with a wide spectre of interests and possible answers. The problems of society also evolve and include discrimination and exclusion from rights such has conditions of habitability, economic opportunities and equal access to public structures.

The answer to such problems may lay on a bigger participation of the public in urban policy. Evaluating participation in urban habitats is to evaluate the relationship between city and society (Jenkins & Forsyth, 2010). More and more it is a standard political procedure to make participation a statutory requirement (Jones, Petrescu & Till, 2005; Brownill, 2009). Particularly in the field of urban regeneration, participation by local communities has become something regular and natural (Aitken, 2012; Lundmark, 2017).

It is in this context that this research takes place, focusing on the topics of: (1) the role of community participation in architecture and urban planning; (2) the forms, structures and techniques used in such participation; and (3) the research for comprehensive, innovative and integrated frameworks of analysis of public participation and its evaluation. The purpose of this research is to inform, propose enhancements and share knowledge between the two analysed case studies and other participatory structures in the field of urban regeneration. The aims are to: (1) understand how participatory processes involving local communities organize; (2) understand how local communities can decide about their surroundings; (3) identify where is the initiative in such processes; (4) identify the benefits and problems of participation in urban regeneration processes; and (5) identify the ideal conditions for such processes to occur. To achieve this, an extensive analysis of research on the topic is done and two case studies are analysed, compared and discussed. A new framework for analysis is defined and data on the case studies is gathered in site, through document analysis, direct observation and interviews with stakeholders.

2. PARTICIPATION OF LOCAL COMMUNITIES ON URBAN REGENERATION PROJECTS

2.1. CONCEPTS AND STATE OF THE ART

URBAN REGENERATION

Urban regeneration is a method of response to degradation surging from multifaceted problems in a determined city area (Ercan, 2011). It consists of a process of “comprehensive and integrative vision and action which seeks to resolve urban problems and bring about a lasting improvement in the economic, physical, social and environmental condition of an area that has been subject to change or offers opportunities or improvement” (Roberts & Sykes, 2000). As a public policy, it is implemented by the government in areas where the forces of the market are not sufficient to battle the levels of degradation (Tyler, Warnock & Provins, 2010). Such processes are long-term, complex and involve high rates of uncertainty in completion (Jung, Lee, Yap & Ineson, 2015). In general, urban regeneration projects encompass: (1) the rehabilitation of historical areas; (2) the increase conditions for living in residential areas; (3) the development of public spaces (squares, parks, urban furniture, etc.) and (4) the modernization of urban infrastructure (transport network, water, gas and electricity supplies and the sewer and water drainage networks) (Alpoli & Manoli, 2013). It is frequent to involve a wide range of stakeholders both from the public sphere (governments) and private sphere (private entities and local communities) in the development and implementation of the policy. Such approaches are a response to the austerity of urban plans (Rabbiosi, 2016).

LOCAL COMMUNITIES

“**Community**” is a problematic umbrella term sometimes used to cause confusion (Chamhuri, Hamdan, Ahman & Ismail, 2015). It is frequently wrongly denoted by public organizations which condense the heterogeneity of a community into a sea of “those people”, generally with a negative undertone towards the group (Arnstein, 1969; Wilcox, 1994; Cornwall, 2008). Contemporary society is composed of a wide range of vocal minorities, each with its own set of values and priorities (Comerio, 1984). A community consists of a group of people who “share interests, location, gender or age” (Wilcox, 1994:5). Different communities will participate in different projects, according to their **interests** and **needs**. Ercan (2011) categorizes urban communities needs as falling into 3 general types: (1) economic needs; (2) cultural, environmental and health needs; and (3) political needs. In this research the focus goes to local communities, that is, communities which share the bond of the location where they live, work or study. According to Till (1998), it is an important step of working in projects with the participation of local communities that there is some process of **community building**.

The term **community architecture** has many different meanings depending on the historical and geographical context from which is interpreted (Toker, 2007). For long associated with civic rights movements in the UK and USA between the 60’s and the 80’s of the twentieth century, the notion has since spread to accommodate a set of services given to local communities in the areas of architecture, planning, landscaping, object and graphic design so that people can “actively participate in the (re)development of their environment” (Jenkins & Forsyth, 2010: chap.2). This way of acting in direct contact with the community and according to their interests and needs can be found in many movements and theories which, despite the diverse toponomies¹, share similar meanings with slight changes in characteristics (Toker, 2007).

PARTICIPATION

The concept of participation is “infinitely malleable and can be used to evoke, or give meaning to, practically any activity which involves people” (Cornwall, 2008), so it can easily be reframed to various uses and interests. In policy it means at a general level “the practice of consulting and involving members of the public in the agenda-setting, decision-making, and policy-forming activities of organizations or institutions responsible for policy development” (Rowe & Frewer, 2004:512). There is no one universal model for the practice and analysis of participation, but there are some common elements which are on the foundation of participation.

According to Jenkins and Forsyth (2010), there are three typical stakeholders on architecture, construction and urban planning: the **client**, the **users** and the **wider public**. For pragmatic reasons it is impossible to have all interest parties actively involved in participatory structures (Cornwall, 2008), usually there are **representatives** of wider groups (e.g. local community representative, head of the architectural office, municipality service representative, etc.) (Guerra, 2006). These representatives will negotiate or co-operate to reach concertation. Stakeholders can be divided according to the sectors of society they represent (Le Feuvre *et al*, 2016), according to Zheng *et al*. (2014) in urban regeneration projects these include: (1) local, regional and national government officials (politics and technicians); (2) privates with capital interests (of various kinds) who want to reduce risk, generate profit or improve their reputation; and (3) the local community. The stakeholders may be **institutional** or **non-institutional**, depending on whether they represent an organization with its own aims, values and mission for society and/or the city.

The point at which stakeholders get **involved** is decisive. Jenkins and Forsyth, (2010) enlist 3 main phases in such projects: (1) **conception** (or design), (2) **construction** and (3) **actual use**. Wilcox (1994) adds another phase which is crucial in participatory projects, the (0) **initiation**, which is where the idea for the project starts. The earliest a local community is able to take seat at the negotiation table, the better the chances it will have power to decide on the project, since the ground-rules of the game of participation are set on initiation (Wilcox, 1994; Mayo, 1997; Rowe & Frewer, 2000).

The level of power to decide is one of the **typologies** of participation. Better explained as in the figure of a ladder - by Arnstein (1969) – which consists of 8 **levels**, from bottom to top: (1) manipulation, (2) therapy, (3) informing, (4) consultation, (5) placation, (6) partnership, (7) delegated power and (8) citizen control. By reaching upper rungs of the ladder the local community is getting more involved and gaining power to decide and act on their habitat. Both Arnstein (1969) and Till (1998) defend that “citizen participation is citizen power” and “participation is a political act”. Arnstein (1969) argues that the manipulative and tokenistic ways in which some participatory processes are conducted should never be the objective of participation and are not acceptable. Cornwall (2008), on the other hand, emphasizes that the lower levels of participation - such as information - are also essential as the

¹ Including: collaborative design, collaborative architecture, collaborative planning, community design, community participation community planning, participatory design, participatory architecture or participatory planning

basis for upper levels - such as partnership. From this typology it can be derived that the participatory act has a strong value of **empowerment** to the community. But participation is not just a matter of reaching higher grounds (Davidson, 1998). Those distinct levels of impact on outcome should be encouraged on distinct phases of the participatory process, according to Wilcox (1994). Another valuable typology of participation is that of White (1996) which focuses on the different **interests** involved in the process (both from top-down and bottom-up) and analyses the function of participation. White (1996) presents 4 different forms of participation: (1) nominal, (2) instrumental, (3) representative and (4) transformative. The International Association for Public Participation (IAP2) created a tool to analyse participatory processes, a “spectrum of participation” (IAP2, 2014). The model encompasses both the typologies of levels - presented by Arnstein² (1969) - and interests - White (1996). It is arguably the most updated framework for a participation typology. Yet it was not considered sufficient for a comprehensive analysis of participation because, as Cornwall (2008) argued, such typologies usually miss to nominate aspects such as who is participating, in what, representation matters, the existence of networks and the results of such participatory actions. Hence, they generate an incomplete reading of the participation process by themselves.

There are different ways in which people can take part and get involved, these are the **participatory methods** (Wilcox, 1994; “communityplanning.net”, 2018). According to Wilcox (1994), there are two main types of participatory methods: **structures**, which are organizations or groups of medium-to-long-term (e.g. consortiums, associations, executive team, etc.) and **techniques**, which are short-term events organized for participatory purposes (e.g. workshops, meetings, flyers, elections, etc.). Structures can have a hierarchy (and hence a coordination) or not, they also might have a formal or informal approach³ in action (Nunbogu, Korah, Cobbinah & Poku-Boansi, 2018). Different methods apply to different phases, as do different levels (Wilcox, 1994). The variety of participatory methods available is constantly rising (Rowe & Frewer, 2004), in great part due to technological advances (Deakin & Allwinkle, 2007; Steltze & Noennig, 2017).

There is a crucial role around **networks** in participation (Innes & Booher, 2000). The complex ambient of interactions for cooperation, negotiation, advocacy, definition of rules and exchange of resources is the basis for the creation of networks (Guerra, 2006). They exist in different levels, from structures, to organizations and to stakeholders who interconnect, exchange, multiply and vanish (Innes & Booher, 2000; Guerra, 2006; Lundmark, 2017). The base network is the one of **information** for “as soon as the network of communication, or the network of networks, is broken or is made impotent due to the monopolization of resources by central institutions and organizations, the amount of resources available diminishes” (Turner, 1976:xviii). According to Innes and Booher (2000) the power of networks lies in the efforts of different stakeholders in attaining a common goal and, while doing so, developing shared identities, meanings and heuristics.

EVALUATION OF PARTICIPATION IN URBAN REGENERATION

According to Rowe and Frewer (2004) participation evaluation is important for multiple motives: (1) **financial**, to assure the correct use of public and institutional money; (2) **practical**, to learn with the successes and mistakes from the past; (3) **ethical/moral**, to establish a fair representation of interests and guarantee that participants are not eluded about the impact of their contributions; and (4) **theoretical**, to deepen the comprehension of human behaviour. Evaluation should mostly be formal (analytical; based on scientific methods), opposing to informal (biased; based on intuition and opinion) which might happen naturally throughout the process but has limited implications (Rowe & Frewer, 2004). There are multiple difficulties in evaluating participation. The ambiguity and divergence of meanings and forms of participation itself spread to evaluation, particularly in selecting frameworks, criteria and data gathering methods (Rosener, 1981; Rowe & Frewer, 2000, 2004; Zheng *et al*, 2014). The diversity of fields of action (e.g. geography, urbanism, sociology, education, health, etc.) and contexts (e.g. political, historical period, spatial scale – local, regional, national -, spatial characterization – urban, rural -, etc.) create even more confusion in adopting frameworks and criteria (Jenkins & Forsyth, 2010; Le Feuvre *et al*, 2016). For all these reasons a new framework for analytical evaluation is established in this research.

According to Rowe and Frewer (2004), the first step for defining a framework for evaluation of participation is establishing **effectiveness** (or success, quality, or any other terminology which is appropriate). Problem is that “effectiveness in this domain is not an obvious, unidimensional and objective quality (such as speed or distance) that can be easily identified, described, and then measured” (Rowe & Frewer, 2014). Consequently, the meanings given to effective participation must be defined. The second step is defining the **criteria** (or variables) in which effectiveness will be measured. Particularly in the field of urban regeneration, the evaluation criteria tend to focus

² IAP2 (2014) updated the levels of community impact to 5: (1) **inform**, (2) **consult**, (3) **involve**, (4) **collaborate** and (5) **empower**.

³ Nunbogu *et al.* (2018) describe these approaches with terms from strategic management: the handbook approach, where structures act according to their own regulation and mechanism; and the handshake approach, where they act according to the stakeholders' own set of principles and motivations.

in physical transformation and cost-benefit measures while ignoring social, environmental and indirect transformations that occur and are more difficult to value and measure (Deakin & Allwinkle, 2007; Tyler *et al*, 2010, 2012; Saunders, 2011). There is discussion around researcher if such projects should be evaluated through **process** itself, for it can generate empowerment and social inclusion, or through the **products** they generate, evaluation tends to focus in one or the other, rarely in both (Rowe & Frewer, 2004). Comerio's (1987:227) approach is that "we should recognize that the social motivation behind community design does not, and should not, preclude the creation of good design". Jenkins & Forsyth (2010) underline that the products of a urban regeneration project might have different meanings for a jury composed of architects than for the client or the users, so an evaluation of product quality will be highly subjective. The third step is establishing which **measurement instruments** will be used for the gathering of data. Lastly, the analysis and interpretation of results is conducted.

2.2. INTERNATIONAL PRACTICE

A total of 7 international participatory practices around local communities and urban regeneration were analysed from bibliography. The practices range from (1) a state program to support low-income housing in Brazil through land use regulation (*Zonas Especiais de Interesse Social - ZEIS*); to (2) one that supports it through financial support (*Minha Casa Minha Vida*); (3) a program which has allowed Portuguese low-income families to discuss their conditions of housing in the 1970's (*SAAL*); (4) a municipal program which allows the citizens of Lisbon to propose and vote in what interventions should the municipality funds be invested (*Orçamento Participativo*); (5) centres in the USA where specialized technicians defend local communities interests through advocacy (*Community Design Centres - CDC*); (6) an architect who revolutionized social housing by giving more power of decision to the inhabitants (Habraken); and (7) an architecture collective that solely works with local communities in the development of projects and plans (*ASSIST*).

The main contexts, formats and methods of participation retrieved from the search were: **self-construction**, when the local community brings resources to the project through its own labour; **self-management**, when the local community manages the project by deciding on the beneficiaries, the constructor and buying construction materials; the use of **online tools** to engage the local community; the **training** opportunities for the local communities which arise from participatory projects; the connection to **academy** which is common in participatory projects and may facilitate the allocation of resources, particularly knowledge; the **flexibility** which can be imprinted to the project, allowing it to change in one or more of the phases; and the **incrementation** of the project, which allows for it to grow later.

2.3. ARGUMENTS FOR THE PARTICIPATION OF LOCAL COMMUNITIES

According to Jenkins and Forsyth (2010) urban regeneration projects are the most likely ones to have users engaged in participatory decision-making in the context of architecture, construction and urban planning. For the authors there are two philosophical paths to participation: the one which accepts it as a basic right of the interest groups and the one that sees participation as an instrumental motive to make plans better. Following the second possible perspective, some arguments for participation must be set.

Among the **opportunities** that come with community participation are: additional resources; better decisions; building community; compliance with legislation; democratic credibility; easier institutional fundraising; community empowerment; more appropriate results; education; responsive environment (flexible and incremental); satisfying public demand; faster development; sustainability; mutual learning from different stakeholders; and acknowledgement to city areas (Habraken, 1972; Turner, 1976; Wilcox, 1994; Mayo, 1997; Innes & Booher, 2000; Irvin, 2006; Deakin & Allwinkle, 2007; Jenkins & Forsyth, 2010; Aitken, 2012; Chamhuri *et al*, 2015; Layson & Nankai, 2015; Borsekova, Vanova & Vitaliszova, 2016; Le Feuvre *et al*, 2016; Rabbiosi, 2016; Lundmark, 2017; "communityplanning.net", 2018). These opportunities might be reached through the participatory process but are not assured when making such a project without guaranteeing the conditions for participation. Some of the common **problems and barriers** on participatory approaches include: disappointment (on failing to meet expectations); frustration (caused by delays and bureaucracy); apathy from the local community; politics, technicians, economic powerful and other traditional powerholders trying to maintain their power; conflicts of interests; inadequate communication (both channels and transparency); cynicism (towards governments caused by institutional corruption and distancing from everyday life); fear to participate (and commit mistakes or look inferiorly educate); lack of acknowledgement of the opportunities; inappropriate scheduling; inappropriate participatory methods and lack of availability (because the process is time-consuming) (Damer & Hague, 1971; Comerio, 1984; Wilcox, 1994; Mayo, 1997; Innes & Booher, 2000; Rowe & Frewer, 2000; Irvin, 2006; Deakin & Allwinkle, 2007; Cornwall, 2008; Aitken, 2012; Chamhuri *et al*, 2015; Ferilli, Sacco & Blessi, 2016; Le Feuvre *et al*, 2016; Rabbiosi, 2016; Lundmark, 2017; "communityplanning.net", 2018). The **conditions** for effective participation are strongly related to the opportunities (by agreement) and problems (by opposition) mentioned. Others include: interdependence of stakeholders; optimization of number of representatives; adaptation to context; previously agreed formats; existence

of an organized community base; continual support and maintenance; access to necessary resources; facilitators, mediators and technicians neutrality; and authentic dialog (Arnstein, 1969; Wilcox, 1994; Innes & Booher, 2000; Rowe & Frewer, 2000; Irvin, 2006; Cornwall, 2008).

3. INVESTIGATION METHODS

3.1. FRAMEWORK FOR ANALYSIS

A new framework for a qualitative analysis is proposed which considers 7 main criteria (presented below). A comprehensive approach to both process and results is intended, so effectiveness of participation was considered according to **fairness and representativity**, along with **better results**. The framework is **exploratory** for it is meant to evaluate 2 case studies as well as to enhance and clarify theoretical knowledge on participation of local communities (Rowe & Frewer, 2004). It is also a **holistic** approach, that is, even though analysis is divided into sets of criteria, the relations between different sets and the whole analysis are not ignored. This framework is not solely based on literature review, it also takes some ideas and formulations from the interviewed stakeholders' experience. Such empiric knowledge was sensibly incorporated into the framework.

The (1) **organizational structure** informs about the base structures under which participation will occur. The different structures present, their roles, how they act, and the existence of networks are evaluated. The (2) **stakeholders and interests'** identification, characterization and categorization (both by society sector and institutionalism) leads to the analysis of whom and why they participate. The evaluation of when did the local community and other stakeholders enter the participation process is done in (3) **stakeholders' involvement**. This will inform about the power of the different stakeholders, their ability to set the rules of the game and how they got involve. The (4) **participatory techniques** inform how the participatory events and process were organized, if they were adequate to the different phases and aimed levels of participation and how is the local community represented. The (5) **levels of participation** are directly connected to the capacity of the local community to have impact on the outcomes. It is evaluated not only for the levels reached but also for the ones set and for its adequacy to the stage of the project. The (6) **degree of success** and the (7) **problems and barriers** to participation are both connected to the existence of final products and its quality, the gathering of ideal conditions for participation, the opportunity to generate some empowerment and training of the community and the adequacy of all the above measures.

Criteria	Task of analysis
Organizational structure	Identification of existing structures
	Structures' functions
	Formal or informal approach in action
	Identification of networks
Stakeholders and interests	Identification of stakeholders
	Categorization of stakeholders by societal sector of representation
	Categorization of stakeholders by institutionalism
	Structure dimension and amount of representation of interested parts
	Identification of conflicts of interest between stakeholders
Stakeholders' involvement	Method of involvement
	Stage of entry in process
Participatory techniques	Identification of techniques applied
	Guarantees of the local communities' representation
	Number of inhabitants participating in activities
	Adequacy to stage of the process
Levels of participation	Defined levels
	Levels reached in practice
	Adequacy to stage of process
Degree of success/Problems and barriers	Construction products
	Adequacy to promises and the community's needs
	Identification of success and benefits of the program format
	Adequacy of structures, stakeholders' representation, stage of involvement, techniques and levels
	Community capacitation through training
	Existence of conditions for effective participation and possible barriers

Table 1. Synthetic framework for analysis.

3.2. METHODS FOR GATHERING INFORMATION

The analysis of the case studies was conducted in a qualitative manner. The methods for gathering information were **analysis of documents** (legislative, academic, meeting briefings, etc.), **direct observation** (visits to construction sites, attendance in meetings, etc.) and, most often, **interviews to stakeholders**. A total of 33 interviews were conducted in a semi-structured format to all types of stakeholders and 5 meeting were attended. The analysis of case study "OUCAB" (*Operação Urbana Consorciada Água Branca*) was undergone from March to May and to case study "BIP-ZIP" (*Bairros - Zonas de Intervenção Prioritária*) from October to December 2017.

3.3. CASE STUDIES

CASE STUDY 1: OUCAB, São Paulo

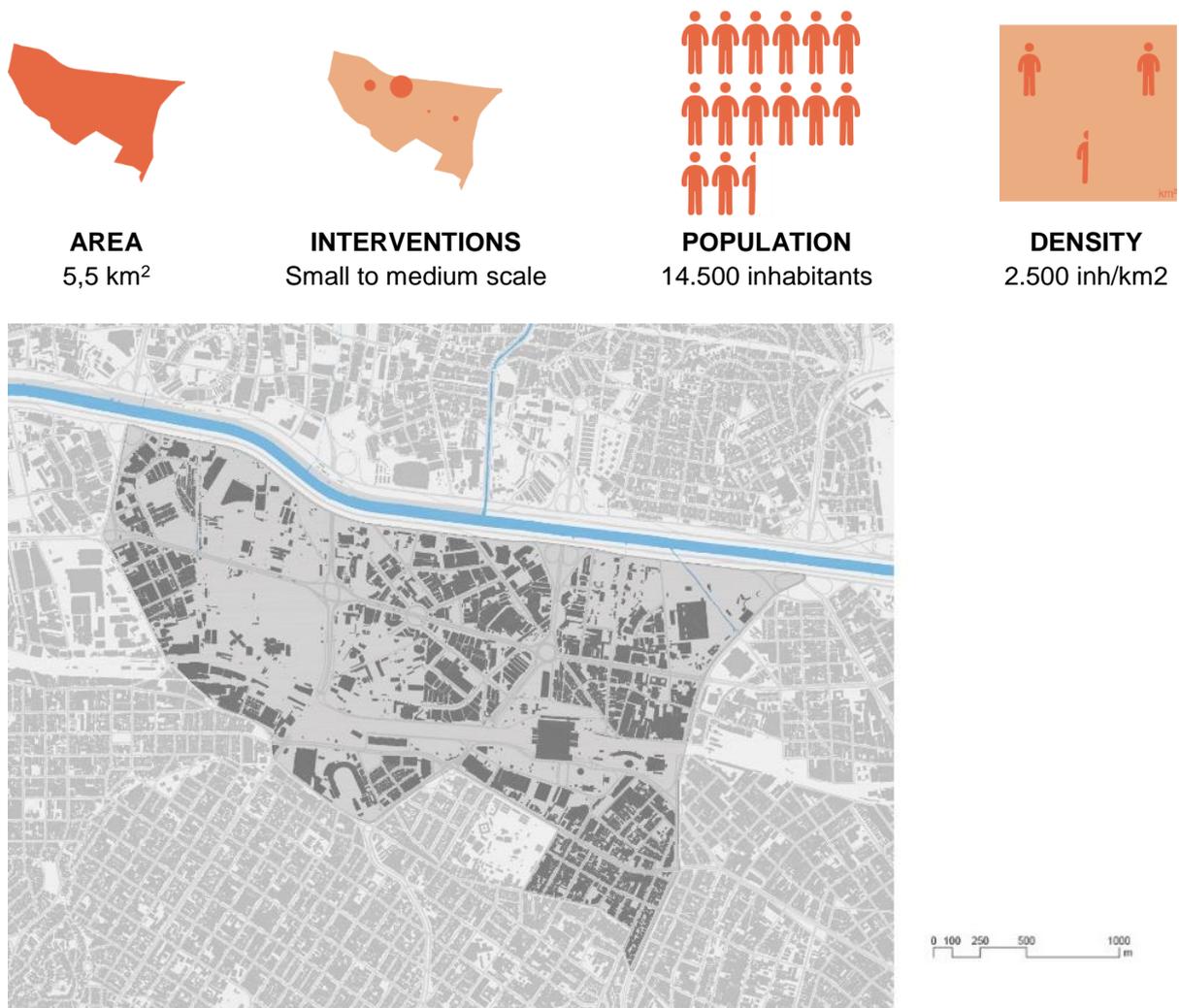


Figure 1. Informational graphics and plan of case study 1: OUCAB. Data retrieved from Mapa Digital da Cidade de São Paulo in <http://geosampa.prefeitura.sp.gov.br/>; IBGE (2010).

The *Operações Urbanas Consorciadas* (OUC) are instruments for urban management which promote “groups of interventions and measures taken co-ordinately by the public municipality service, with the participation of proprietors, inhabitants, permanent users and private investors, with the aim to accomplish an area of structural urban transformations, social enhancement and environmental valuation” (*Estatuto da Cidade: Lei 10.257/2001, artº32*). OUCAB is one of such operations, in an area designated *Água Branca*, in Barra Funda district, city of São Paulo. The operation started in 1995 and since 2013 has a participatory management structure, called *Grupo de Gestão* (GG). Money to fund the program comes from the sale of additional building potential permits in the area, which allow investors to surpass the limit of construction established by municipality plans.

The operation is undergone in an area of strong historical industrial presence which, through the process of deindustrialization of the city, has left big gaps on the urban tissue. These gaps are starting to get filled with large commerce and third sector industry. The roads are mostly large, and lanes are fast, it is a place which favours the mobilization of cars over pedestrians.

The main interventions proposed for OUCAB include: an urbanization plan for a large plot with 1.300 low-income family houses and education and health services; emergency renovation work to prevent health dangerous situations in *Comunidade Água Branca*, a former favela turned to a small residential nucleus with low-income inhabitants; and works on the street and water drainage network throughout the area of operation. The latest intervention list, from 2013, includes 16 interventions, 7 of which were already executed or are in execution.

CASE STUDY 2: BIP-ZIP, Lisbon



Figure 2. Informational graphics and plan of case study 2: BIP-ZIP. Data retrieved from LXi – Lisboa Interativa in <http://lxi2.cm-lisboa.pt/lxi/>

Bairros/Zonas de Intervenção Prioritária (BIP-ZIP) is an initiative of the Lisbon municipality to promote interventions with the contribution of local communities in priority neighbourhoods and areas around the city. The initiative encompasses the BIP-ZIP program, which promotes small-scale interventions to improve the quality of life; the *Gabinetes de Apoio aos Bairros de Intervenção Prioritária* (GABIP), which are participatory structures to discuss and solve specific problems of the neighbourhoods; and *Rede DLBC (Desenvolvimento Local de Base Comunitária)*, the network of all partners collaborating in BIP-ZIP projects. The facet of the BIP-ZIP with arguably most results is the BIP-ZIP program, where local communities collaborate with institutional partners to propose and execute projects to promote change on landscape, public areas, entrepreneurship and social causes. The program is cyclical with a 1-year deadline for the projects. Financing comes from the municipality funds.

There is great territorial dispersion in BIP-ZIP throughout the city, so a parcel of the city with concentration of BIP-ZIP (5 territories) was chosen as the case study. In this area there was another participatory experience on a European level but very related to BIP-ZIP, the USER project. The inhabitants denote specially the lack of equipment, urban hygiene, green spaces, security, problems in transportation network and accessibility as the main problems of the area (CML, 2010).

The list of proposed and executed interventions on the territory include parks, squares, green areas, sports and cultural equipment and communitarian spaces. A total of 24 projects were executed or are in executions, from the 50 proposals to this area in 7 years.

4. RESULTS AND DISCUSSION
4.1. CASE STUDY 1: OUCAB, SÃO PAULO

TOPIC OF ANALYSIS	OBSERVATIONS
Organizational structure	<ul style="list-style-type: none"> • 3 participatory structures identified: <i>Grupo de Gestão (GG)</i>, <i>Comissão Técnica</i> and <i>Conselho Gestor de ZEIS (CGZ)</i> • GG is the element of analysis; acts as the decider for prioritization and implementation of interventions; it acts formally according to a regulatory guideline and has a fixed structure and hierarchy • <i>Comissão Técnica</i> is a sub-structure of GG which decides on technical matters • CGZ is concerned with another urban planning program in the area but, due to the nature of decisions and coincidence of stakeholders, is strongly related to OUCAB • There are networks between structures and between stakeholders due to proximity and coincidence of stakeholders in different structures
Stakeholders and interests	<ul style="list-style-type: none"> • 9 representatives of government (different agencies) and 4 of private sector (Non-Governmental Organizations - NGOs, academic and real estate market) and 5 of the local community (inhabitants and workers) • Coordination lies on the government • Institutional stakeholders: government, NGOs, academy and syndicates • Non-institutional stakeholders: local community • Despite different motivations to participate, stakeholders note that in voting events consensus was always reached inside the structure
Stakeholders' involvement	<ul style="list-style-type: none"> • Stakeholders can get involved directly on the law (government), by nomination from their peers (private sector) and by elections (local community) • Some stakeholders got involved informally in initiation (during revision of the law in 2013), but formal involvement only happened at conception of interventions or later
Participatory techniques	<ul style="list-style-type: none"> • Techniques include: public hearings, workshops, elections of representatives and local meetings • GG meeting are open to public and there are special meetings with the community occasionally, these are meant to assure representativity • Public hearings and elections on earlier stages; workshops and meetings later
Levels of participation	<ul style="list-style-type: none"> • Different interventions and stages have different levels of participation • Levels of participation reached range from informing (generally more technical interventions) to collaborating • Ideal level of participation was not set, but stakeholders agree it should be a collaboration
Degree of success	<ul style="list-style-type: none"> • Most of the interventions that the local community demanded are executed or in execution • Stakeholders representatives feel they are doing an important work which is relevant for the community • Benefits noted by stakeholders vary according to the intervention at hand, including: more appropriate results, public satisfaction and community empowerment
Problems and obstacles	<ul style="list-style-type: none"> • Lack of financial resources limits the possible interventions • Not enough transparency in communication and difficult technical language (power holding) • Lack of organization between the multiple sectors of government • Delays and excessive number of meetings (frustration) • Some suggestions from the local community are not taken into account (disillusion)

Table 2. Analysis of case study 1: OUCAB.

4.2. CASE STUDY 2: BIP-ZIP, LISBOA

TOPIC OF ANALYSIS	OBSERVATIONS
Organizational structure	<ul style="list-style-type: none"> • 3 types of structures present: project consortiums, GABIP and USER local action group • Consortiums are the main structures, established for each project; the structure is nominated in initiation, but it is not fix • GABIP develops wider strategies for the territory and deals with the legalization of municipal housing; stakeholders criticize lack of activity, usually they act informally and can have or not a hierarchy • USER group has finished their work; consultation for projects which are being developed by the consortiums • Network between structures and stakeholders, both for similarity of objectives and coincidence of members present
Stakeholders and interests	<ul style="list-style-type: none"> • In the initiation of a project each consortium must have at least one promoter (with financial responsibility) and one partner • The number of members in consortiums varies widely, they can include government officials (local government), private sector (NGOs, academic and artistic associations) and the local community (resident's association) • Institutional stakeholders: governmental, NGOs, academic, artistic and residents' associations • Non-institutional stakeholders: occasional informal residents' groups • Coordination is possible, but not mandatory • Conflicts between stakeholders occur occasionally, usually one of the conflicted parties steps away from the project
Stakeholders' involvement	<ul style="list-style-type: none"> • Primary stakeholders are involved since initiation and set the format for the structure • Consortiums can invite other partners later on the participatory process • Involvement can be voluntary or by invitation
Participatory techniques	<ul style="list-style-type: none"> • Techniques include: consultation door to door, flyers, enquiries, community meetings, voting sessions and workshops • Most techniques serve the purpose of consultation • Representation of the community is solely guaranteed by elections on residents' associations • Number of residents attending activities and events range from low to very low
Levels of participation	<ul style="list-style-type: none"> • Different projects and phases have different levels of participation • Levels of participation reached range from consultation to empowerment • Some consortiums define the ideal level of participation <i>a priori</i>, generally collaboration • Long-term objective for some NGOs is emancipation of the community
Degree of success	<ul style="list-style-type: none"> • All approved projects were executed • Better conditions in public areas are noticeable • Deadlines and cycles are important for the conclusion of projects • Government is flexible and a facilitator • Projects can generate other positive physical transformations on the long-term
Problems and obstacles	<ul style="list-style-type: none"> • Low budget (50.000€ maximum per project) • Lack of interest (apathy) and disappointment from previous experiences of the community • Difficulties in communication and occasional conflicts of interests • Feeling of doing the municipality's work by some stakeholders (excess of responsibilities) • Incapacity to deal with deeper problems of the area due to limitations on budget and schedule • Incapacity to offer opportunities for deeper training of the community

Table 3. Analysis of case study 2: BIP-ZIP.

4.3. COMPARATIVE ANALYSIS

Despite the clear differences between both case studies in territorial, temporal, interventions and population scale as some differences in the purposes of interventions, they are comparable in the light of the fact that both are municipality programs that aim for urban regeneration through the direct participation of local communities in management structures.

In OUCAB the participatory **structure** is responsible for all intervention, while in BIP-ZIP each project is guided by an independent structure. In the first case it was the government to set the structure, which acts formally; in the later structures are set by the local community and partners and action is generally informal. Both have complementary structures that act in a strong network with the main structures. Government and the local community are always represented **stakeholders** in case study 1, while in 2 they might or might not be present. In OUCAB the government has a stronger power to change outcome than in BIP-ZIP. Syndicate organizations are only present in the Brazilian program, while artistic organizations are only present in the Portuguese one. Conflicts of **interests** occur in both cases, but not often. The point of **involvement of stakeholders** is generally earlier in the BIP-ZIP program. This allowed for a greater responsibility of the local community in the projects. In both case studies there was a wide range of **participatory techniques** applied. While in OUCAB techniques serve the purpose of consult and collaborate, in BIP-ZIP they inform and consult the population. Representation of the community was considered more effective in OUCAB due to more community meetings. Community attendance is much higher on case study 1. On both case studies techniques were appropriate for the phases they were applied (generally earlier stages), but other techniques should be considered for later application, such as community juris and projects vote sessions. The ideal **level of participation** is not defined in OUCAB, in BIP-ZIP it might be defined by the consortium or not, depending on the project. Levels reached were not always ideal in both cases. In BIP-ZIP sometimes it was impossible to surpass consultation level while collaboration was aimed. OUCAB did a better job at reaching collaboration. The supply of participation is similar in both programs, but demand is clearly higher in OUCAB. Participation levels reached are more appropriate for earlier stages of the process than later in either case. BIP-ZIP was more **successful** in reaching final products. Possible reasons for this may lie in the cyclical condition of the program, which creates deadlines. The programs are considered valuable communitarian work by the stakeholders and generate other positive outcomes (both physical and social). Training was accomplished but never to a full extend. The main **problems and barriers** faced by both programs are related to communication and insufficient funding. While on OUCAB other problems are mainly related to relationship with the government, in BIP-ZIP they are generally related to apathy by the community.

5. CONCLUSIONS

5.1. CONSIDERATIONS ON THE FRAMEWORK

The new framework provided a useful platform for both analytical evaluation and some form of comparison between case studies. Yet, after application to 2 case studies, some hypothesis for reformulation and enhancement already emerged. These are: given the limited evaluation on representativity some changes could be made on the structure of interviews; for a better evaluation of such opportunities as sustainability and long-term effects a longer time frame for analysis should be considered; criteria related to economy was very poorly addressed given difficulties in valuing and measuring resources relate to human and social capital; and the variety of instruments for data gathering was good but could be better (e.g. meeting briefings, if available), this would allow a better triangulation of findings and confirmation of hypothesis (Rowe & Frewer, 2004). The framework was particularly useful in clarify the complex dynamics and meanings of participation and in interlacing process and results while defining effective participation.

5.2. IDEAS FOR PRACTICE

The following are some good practices identified from the analysis of the case studies and from the literature review. This is not a complete guide on how to conduct participatory projects, but rather a set of ideas for organizing effective participatory urban regeneration. The main suggestions derived from this research are: allow for the local community to **dictate the terms of its participation**; never stop **investing in the network**; allow for one of the stakeholders to take the role of **coordination**⁴; guarantee a **transparent communication** through **appropriate channels**; apply participatory techniques which allow for a **superior level of impact** when possible; define **deadlines** and work in **cycles**; imprint the capacity for **flexibility** and **incrementation** in the projects; invest in **education** as a means of retribution to the community for taking part; seek the help of **specialized professionals** in the field of participation both for services and consultation; and maintain a relationship with **academic institutions**.

⁴ As an interviewed stakeholder put it: "allying top-down systems with bottom-up initiatives seems to create the best results".

6. BIBLIOGRAPHY

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