

## **Conceptual Framework Critique on Participatory Planning Process for Urban Transformation: A Case Study of Baan Man Khong Projects in Bangkok**

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### **Abstract**

The participation project is a popular concept having influence on project planning process that highly concerns with the community. Although there is participation phenomena in the project but the operational outcomes usually do not achieve the goals as set. Baan Man Khong project is a project under supervision or operation of the Community Organization Development Institute focusing on the development of community organization for the construction of housing security. In this respect, the target group is slum or crowded community and it is through the planning process for the construction of community organization. This begins with the determination of crowded community area, group forming/the establishment of community organization related to savings for housing, planning process for housing development, and operation to gain stable housing. Nevertheless, the Community Organization Development Institute has clear goals and process of Baan Man Khong projects but outcomes of the project implementation are not always fully successful. Baan Man Khong project puts the importance on urban transformation for housing security which it leads to this study and article. Quantitative research is employed in this study in which the analysis unit is Baan Man Khong projects in Bangkok. Independent variables are a level of participation in Baan Man Khong project planning process of the community organization. The independent variables are measured by using a set of questionnaires administered with the community organization head of each project. The dependent variable in this study is urban transformation form of housing security. Area analysis is used for measuring the dependent variable. Results of the study reveals that there is a statistically significant relationship between a level of the participation in planning process (not all projects which are in the form of community organization partnership) of the community organization. That is, a level of community organization partnership participation is mostly in the form of community plan improvement. A level of the participation in the form of opinions is mostly related to development/improvement of basic infrastructure of the community. These phenomenon are usually impacts of a level of the community organization participation.

**Keyword:** Participatory planning process, urban transformation, Baan Man Khong process

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## 1. Introduction

Public participation concept is important having influence on the preparation of action project of all types. In the past ten years, however, the participation concept became to be popular and adopted in various project implementation in Thailand. Very often that many projects prefer to hold a colloquium venue and consider it as a participation process. Besides, many projects have operational outcomes which do not achieve the goals as it should be. This is particularly on the projects related to area transformation or the project of urban development having a lot of concerned stakeholders.

Baan Man Khong project is under the supervision of the Community Organization Development Institute which focuses on the stability construction of slum or crowded community. This is through the process of group forming of the community organization not be the saving cooperative for housing. It also provides land and develops quality of structures for appropriate environmental quality. This is on the basis of country development is living security as a basic factor of the development of quality of life and family institution. Therefore, the problem solving in living security of the crowded community which is important to urban transformation.

According to the observation of the basis for area transformation of various Baan Man Khong projects, it is found that not all of the project are successful in the creation of security and area transformation. Some of the project can only improve the common area of the community. This phenomena leads to the research question “What should be the form of participation conceptual framework which truly can deal with urban transformation?” This is under the condition that how concerned stakeholders can implement the project.

## 2. Review of Related Literature

Review of relative literature in this study involved 3 aspects: 1) concepts and theories related to process planning and roles of the community organization; 2) concepts and theories related to hierarchy of the community organization participation; and 3) area transformation of Baan Man Khong project.

### 2.1 Concepts and theories related to process planning and roles of the community organization

This study employed concept and theory of planning by Faludi, A. (1984). It classified 2 forms of planning: 1) The planning theory focusing on content analysis – point of view related to various phenomenon which happen in urban area. In other words, it is the adoption of various concepts in planning e.g. land use system and urban settlement.

There was investigation and creation of understanding for planning. 2) Procedural planning theory or theory of planning – point of view related to procedures and methods of planning process; particularly on decision-making method and roles of stakeholders in the planning process. This study focused on an analysis of procedural planning process comprising 7 operational steps as follows: 1) formulation of goals and objectives; 2) formulation of form and selection of operational steps; 3) determination of roles of concerned operators of each step; 4) budget setting; 5) determination of form and details of the community plan which will be transformed; 6) construction of the community plan which will be transformed; and 7) maintenance of the community plan obtained from the project implementation.

## **2.2 Concepts and theories related to hierarchy of the community organization participation**

Hierarchy of urban dweller participation was investigated and classified into various forms. This aimed to empower urban dwellers to formulate a plan for urban rehabilitation and community development.

Community participation process had a mechanism important to planning process. That was, support on the occurrence of the community organization to play roles as the representative of urban dwellers in the

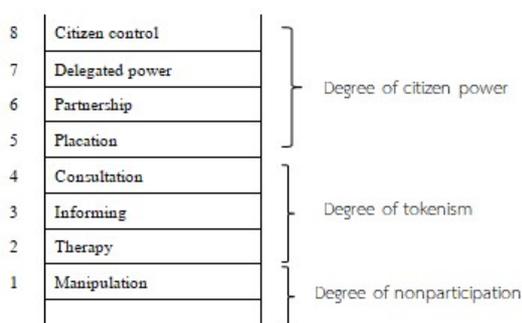
coordination of planning process leading to create project implementation (Alinsky, 1941; Arnstein, 1969: p.2016).

The creation of community participation in the process of urban rehabilitation and community development was a dimension concerning with method strategies of mutual data using which would lead to the mutual creation of goals and policies. In other words, it was a method leading to social reform for social benefit sharing. The concept of community participation were popular and there was the application to various fields of study such as Public Health, Educational Administration, Natural Resource Management, etc. each field of study had operational definition of terms and there was the classification of hierarchy of different participation.

Regarding review of related literature and hierarchy analysis of the community organization participation, there was participation theory investigation by Arnstein (1969), Choguill (1996), and Harndi and Goethert (1997). There were three criteria of compilation and level of participation classification as follows: 1) form of data/information perception; 2) roles of the community organization; and 3) decision-making power. Then, it was compiled to be a conceptual framework for and analysis of form of the participation process of the community organization in this study.

### Participation hierarchy of Arnstein

Arnstein had investigated participation hierarchy of urban dwellers through 3 types of an urban development: Urban renewal/rehabilitation, anti-poverty, and model cities. In this respect, hierarchy of urban dweller participation consisted of the following: 1) manipulation, 2) therapy, 3) informing, 4) consultation, 5) placation, 6) partnership, 7) delegated power, and 8) citizen control.



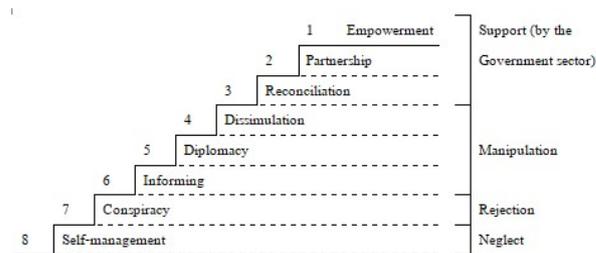
**Figure 1** Hierarchy conceptual framework of urban dweller participation (8 steps) of Arnstein (1969: p.217) (Adapted by the researcher)

Arnstein had discussed about hierarchy of community participation. It revealed that if urban dweller participation in urban renewal/rehabilitation is a matter of delegated power of the citizen, hence step 1 and 2 are not community participation. Meanwhile, step 3-5 are tokenism and only step 6-8 can be considered as true urban dweller participation.

### Participation hierarchy of Choquill

Choquill (1996) had argument against the hierarchy and details of community participation hierarchy of Arnstein. He claimed that the participation hierarchy of Arnstein could not be coverly analyzed with the less developed

country group. In addition, Arnstein cited about less opportunity communities in the developed country that they had potential in concrete social reform. This was possible that they could share benefits in the prosperous society in economy. For context of the less developed county group, the community group having less incomes would have more demand than power. Therefore, Choquill focuses on empowerment of the government sector in resource managerial administration. These less income communities also needed for two more factors in participation: 1) empowerment helping in the influence on the decision-making income issues having impacts on earning a living and 2) services of the urban system and housing offered by the government sector. Therefore, it should have operational definition of terms and detail explanation of a level of participation to be appropriate with the context of the less developed country group.



**Figure 2** Conceptual framework of hierarchy classification of urban dweller participation for less developed countries as viewed by the government sector attitude of Choquill (1996)

### Participation hierarchy of Hamdi and Goethert

Concept and method of Hamdi and Goethert (1997) were developed from that of

Arnstein (1969), Burke (1979), Wulz (1986), Burn (1979), and Massaki (1993). It aimed to be used for action planning with the communities in developed and less developed countries. It was the point of view of interaction between the community and external organizations. To understand and analyze participation hierarchy by Hamdi and Goethert of the community in each area based on urban renewal/rehabilitation and community development, it would focus on the reaction between the urban dwellers and external organizations.

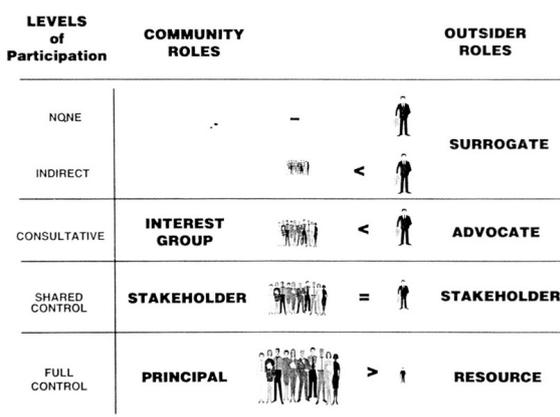
In this respect, urban dwellers refers to a group of diverse individuals living together in the same area and they share common interest for successful operation. These individuals group has relationships in the dimension of the area and the society. In fact, they have the difference in community hood. Some area may have a high level of coordination and management whereas some other have only relationships in the same area which has no social relationships.

External organizations refers to an individual who is a representative of an urban or the government sector such as practitioner and planner. It may consist of a group of technical staff from a local administrative organization, a group of counselling companies, private development organization, etc. Roles of external organizations are diverse such as care-taking of

an action meeting and human resource in planning.

Furthermore, Hamdi and Goethert claimed that the external organization is only an external person. He may not fully understand context or situations of the community area. However, the external representative group can decentralize appropriate roles based on structure of the organization. The procedural planning is mostly controlled easily by the external organization. Nevertheless, the encouragement of urban dweller participation by the internal organization is part of the process of community hood development and group forming of people living in an area.

Therefore, relationships between the community and the external representative are diverse which lead to hierarchy of participation and responsibility. Hamdi and Goethert (1997) explained 5 forms of interaction between urban dwellers and the external representative. They explained that the external representative plays roles as surrogate indecision-making related to the operational plan whereas the dweller group plays little roles in it.



**Figure 3** Conceptual framework of 5 steps of urban dweller participation hierarchy classification in view of the interaction between urban dwellers and the external representative (Hamdi and Goethert, 1997).

In the case of external organization plays roles as a supporter (Advocate) in decision-making in various aspects of an operational plan, the urban dweller group will play roles about the operational plan in the form of a benefit group (interest group) of the operational plan. Nevertheless, the said interest group can oppose the external representative about some issues of the operational plan although the decision-making power is in the hand of the external representative group.

In the case of the urban dweller group and the external representative play roles as stakeholders and they fully concern with procedural planning, the urban dweller group will fully be responsible for the operational plan management (Principal). Meanwhile, the external representative will only play roles as a resource in the operational planning process.

In view of the interaction between urban dwellers and the external representative, Hamdi and Goethert classified roles of the urban dweller group into 3 forms according to the intensity of participation and decision-making: interest group, stakeholder group, and principal.

According to the review of literature related to community participation, the researcher had analyzed and compared the three points of view as shown in Table 1 and 2.

**Table 1** an analysis of content and details of indicator of the classification of participation hierarchy of the community or urban dwellers based on each point of view of Arnstein, Choguill, and Hamdi and Goethert

|                  | Participation hierarchy by Arnstein       | Participation hierarchy by Choguill  | Participation hierarchy by Hamdi and Goethert                   |
|------------------|---|--------------------------------------|---|
|                  | Decentralization of decision-making power | Empowerment of the government sector | Interaction between the community and the external organization |
| participation    | 8 Delegated power                         | 8 Empowerment                        | 5 Delegated power   |
|                  | 7 Citizen control                         | 7 Partnership                        | 4 Decision-making power-sharing                                 |
|                  | 6 Partnership                             | 6 Reconciliation                     | 3 Consultation  |
| participatio     | 5 Placation                               | 5 Tokenism                           |   |
|                  | 4 Consultation                            | 4 Diplomacy                          |   |
|                  | 3 Informing                               | 3 Informing                          | 2 Indirect participation  |
| nonparticipation | 2 Therapy                                 | 2 Conspiracy                         |   |
|                  | 1 Manipulation                            | 1 Self-management                    | 1 nonparticipation  |

**Table 2** Conclusion of conceptual framework in the construction of criteria on an analysis of a participation level of project implementation on community development through Baan Man Khong project

| Participation type: | Hierarchy | Participation form   | Interaction with the external organization | Role of the external organization | Decision-making power |
|---------------------|-----------|--|--|-----------------------------------|-----------------------|
| Nonparticipation    | 1         | Waiting for outcomes of the operational plan                 | One-way                                    | Non                               | Non                   |
|                     | 2         | Perception of the operational plan                           | One-way                                    | Non                               | Non                   |
|                     | 3         | Roles are controlled in accordance with the operational plan | One-way                                    | Non                               | Non                   |
| Placation           | 4         | Opinion sharing  | Two-way                                    | Yes                               | Non                   |
|                     | 5         | Diplomacy  | Two-way                                    | Yes                               | Non                   |
| Partnership         | 6         | Delegated power  | Two-way                                    | Yes                               | Yes                   |
|                     | 7         | Self-decision-making   | Two-way                                    | Yes                               | Yes, very much        |

Source: Adapted from Arnstein (1969), Choguill (1996), Hamdi and Goethert (1997)

### 2.3 Area transformation of Baan Man Khong project

Area transformation of Baan Man Khong project refers to a form of community development in area transformation on the basis of outcomes of process interaction among social and economic stakeholders. Thus, it can be an indication reflecting a relationship structure of the participatory procedural planning variable. Criteria of the classification of form of area transformation based on transformation form between the common area and the private area and situations which cannot be in the existing area. Therefore, it can be conclude that there are 3 forms of area transformation: 1) improvement of infrastructure of the community, 2) community plan adaptation, and 3) resettlement of the community.

### 3. Research Methodology

In this respect, 3 topics were explained: 1) research mythology design, 2) method of data collection, research instrument, and method of

data analyses, and 3) analysis unit and locale of the study.

#### 3.1 research methodology design

Determination of independent variable relationship-participation hierarchy of each step of planning for a case study of Baan Man Khong project.

Determination of dependent variable relationship based on the hypothesis-participation hierarchy of the community organization was at a high level which would be varied in accordance with a level of area transformation of the community.

#### 3.2 data collection method, research instrument, and method of data analyses

The variable group on a level of participation of the organization was aimed to analyze relationships between the external organization and the community organization which was from the variable on knowledge and resource support of the external organization. It had an effect on influence of the participation process and decision-making of the community organization. The said relationships would have an effect on the group forming process, strength of the organization, and communication connecting with activities and community members.

The tool measuring forms of the community organization participation process

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(particularly with the external organization) was designed to be in the form of the measurement of a participation level (questionnaire). This would convey a level of participation of the community organization and the external organization.

The method measuring a level of participation of the community organization and the external organization was based on the assessment of a level of participation by the community organization representative such as the organization president, the organization coordinator, or the organization secretary. The assessment of a level of participation would have the explanation of the assessment conditions in each step before providing data in the questionnaire.

The questionnaire is in the check list form of a level of participation of the community organization particularly with the external organization in each step of the Baan Man Khong project implementation (7 steps as mentioned before).

### **Technique on an analysis of forms of the participation process of the community organization**

The measurement of forms of the community organization participation process could measure a data level statistically (interval scale). Hence, an analysis of forms of the community organization participation process could employ hierarchy cluster method. It had the classification principle which had statistical

remembrance in each analysis unit of the same group and no statistical remembrance in the different group with a significance level. SPSS for Windows was used data processing.

The said analysis process could classify forms of the community organization participation process to be in accordance with types of the community organization participation and it must be consistent with the theoretical conceptual framework. This led to an analysis of participation relationships with forms of area transformation by Cross Tabulation technique between the independent and the dependent variables.

### **3.3 Analysis unit and local of the study**

A survey of the community having less incomes throughout the country by the Community Organization Development Institute led to the collaboration with the community for organization group forming to join the Baan Man Khong project for land and house security. According to data of the year 2012 by the Community Organization Develop Institute, it showed that Thailand had the community operating organization group forming for community development arised from the Baan Man Khong project for 763 organizations. It was found that Bangkok had the community forming organizations (20.97%), followed by Khonkhan and Pathumthani. (56 organizations or 7.34%).

It could be concluded that Bangkok had a largest number of Baan Man Khong projects or

almost 3 times of the second largest number of the projects. This was the reason why Bangkok was selected to be locale of the study.

#### 4. An analysis of the participatory planning process

An analysis of the participatory planning process was classified into 3 aspects:

- 1) the classification of the participatory planning process: a case study of the Baan Man Khong project in Bangkok;
- 2) Area transformation of the Baan Man Khong project; and 3) an analysis of the relationships of forms of the participatory planning process of the community organization and forms of area transformation.

#### 4.1 Classification of forms of the participatory planning process: a case study of the Baan Man Khong project in Bangkok

Cluster analysis technique was used for an analysis of the classification of forms of the community organization participation process for community development. The variable used for group classification was a level the community organization in each planning step of the Baan Man Khong project which included the following: 1) formulation of goals and objectives; 2) formulation of forms and selected of steps of the project implementation; 3) formulation of roles of concerned personnel in each step; 4) budget determination; 5) formulation of forms and details of the community plan care-taking.

**Table 4. Grouping of the community groups based on a level of the community organization participation in each step of the Baan Man Khong project plan**

| Step  | Plan description  | Group | No.        | M    | SD   | Max. | Min. | Description      |
|-------|---|-------|------------|------|------|------|------|------------------|
| 1     | Formulation of goals and objectives:                                      | 1     | 99 (76.15) | 4.31 | 0.47 | 4    | 5    | Partnership      |
|       |   | 2     | 31 (23.85) | 2.13 | 1.26 | 0    | 5    | Giving opinions: |
| 2     | Formulation of forms and selection of steps of the project implementation | 1     | 99 (76.15) | 4.14 | 0.35 | 4    | 5    | Partnership      |
|       |   | 2     | 31 (23.85) | 2.13 | 0.96 | 0    | 5    | Giving opinions: |
| 3     | Formulation of roles of concerned personnel in each step                  | 1     | 99 (76.15) | 4.06 | 0.42 | 2    | 5    | Partnership      |
|       |   | 2     | 31 (23.85) | 2.97 | 0.98 | 0    | 4    | Giving opinions: |
| 4     | Budget determination  | 1     | 99 (76.15) | 4.06 | 0.40 | 2    | 5    | Partnership      |
|       |   | 2     | 31 (23.85) | 2.39 | 1.09 | 1    | 5    | Giving opinions: |
| 5     | Formulation of forms and details of the community plan                    | 1     | 99 (76.15) | 4.09 | 0.41 | 3    | 5    | Partnership      |
|       |   | 2     | 31 (23.85) | 3.06 | 1.32 | 0    | 4    | Giving opinions: |
| 6     | Community plan construction   | 1     | 99 (76.15) | 4.25 | 0.44 | 4    | 5    | Partnership      |
|       |   | 2     | 31 (23.85) | 3.87 | 1.31 | 0    | 5    | Giving opinions: |
| 7     | Community plan care-taking  | 1     | 99 (76.15) | 4.23 | 0.45 | 3    | 5    | Partnership      |
|       |   | 2     | 31 (23.85) | 3.45 | 1.18 | 1    | 5    | Giving opinions: |
| Total |   | 1     | 99 (76.15) | 4.16 | 0.30 | 3.57 | 5.00 | Partnership      |
|       |   | 2     | 31 (23.85) | 2.86 | 0.64 | 0.86 | 3.57 | Giving opinions  |

\*\*Remarks Group 1 = participation in the form of partnership

Group 2 = participation in the form of giving opinions

Figures in the parentheses are percentage

#### Measuring a level of the community organization participation

0 = Nonparticipation in the decision-making in activities of each step of the operation plan

1 = Perception of details of activities of each step of the operational plan

2 = External stakeholders of the project give an opportunity to express opinions about activities of each step of the operational plan

3 = Negotiation about the formation of activity details of each step of the operational plan

4 = Taking part in decision-making and formulation of activity details of the operational plan steps with external stakeholders

5 = the community organization making an agreement in the organization about the formulation of activity details of each operational plan step

### **Interpretation**

4.00 – 5.00 = Participation in the form of partnership

2.00 – 3.99 = Participation in the form of giving opinions

1.00 – 1.99 = Nonparticipation

Each step had an assessment of 5 steps of participation: 1) nonparticipation, 2) external stakeholders give an opportunity to express opinions; 3) there is negotiation about policy and goal formulation, 4) taking part in goals and objective formulation with external stakeholders, and 5) formulation of goals and objectives with the community organization. It was a level showing relationships between the community organization and the external organization as the stakeholder having influence on the decision-making to determine a direction of project implementation in each step. Results of the assessment in each community organization were obtained by using SPSS for Windows in the data processing.

Results of an analysis shown in Table 3 could be sorted into 2 groups in terms of a level of the community organization participation with a statistical significance level at 0.01. They

were: 1) the community organization having participation in the form of partnership. Each step of the community organization planning would have a level of participation range of 4.00-5.00. an average mean score of a participation level of all planning steps was 4.16 and 99 organizations were included in this group (76.15%). 2) The community organization having participation in the form of sharing opinions. Each step of the organization planning would have a level of participation range of 2.00-3.99. An average mean score of a participation level of all planning steps was 2.86 and 31 organization were included in this group (23.85%).

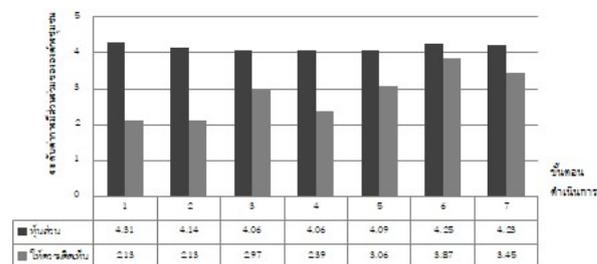
When value of a level of the community organization participation of each planning step was used for the construction of graphs (Figure 6), this could analyze forms of the community organization participation process of each group. The two groups were called in accordance with Hamdi and Goethert's concept (1996). Group 1 was the community organization participating in the Baan Man Khong project in the form of partnership sharing decision-making of each step of the planning process with the external stakeholders. This could be observed from a level of an average mean score of participation in each step which ranged 4.0-4.5. Group 2 was the community organization participating in the

form of sharing opinions. There was variance in each step of planning participation.

This could be observed in step 1: formulation goals and objectives; step 2: formulation of forms and selection of operational steps; and step 5: formulation of forms and details of community plan. The community organization had a level range of participation between 2.0-2.5. This implied that the external stakeholders have an opportunity to the community organization to only present opinions about details of these steps but had no right to make a decision. Step3 was the formulation of roles of concerned personnel in each step. Step 4 was budget determination. Step 6 was the community plan construction. Step 7 was the community plan care-taking. In fact, the community organization tried to negotiate about details of the Baan Man Khong project which would lead to mutual decision-making with the external stakeholders.

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**Figure 6** A level of the community organization participation process in each step of the Baan Man Khong project operational plan

#### 4.2 Area transformation of the Baan Man Khong project

Area transformation of the Baan Man Khong project was classified into 3 forms depending on negotiation forms about the right in the community land area and transformation forms of land holding of an individual and common area of the community as follows:

1. Improvement of the community infrastructure it was in the form of negotiation about the community development in a common area and structure renovation.
2. Community plan adjustment it was in the form of negotiation about the community land right. The community development

included common area and personal area. The development of the community focused on the community plan adaptation for a better sanitary which was consistent with the financial system of the community.

3. Resettlement of the community this was in the case of unsuccessful negotiation about the land right so resettlement in a new area must be done.

According to results of an analysis area transformation of the Baan Man khong project in the case that the community organizations could negotiate about the right in land, it was found that 59 community organizations (45.38%) obtained community development in the form of infrastructure improvement; 48 community organizations (36.92%) gained the community plan adaptation; and there were 23 community organizations (17.69%) that could not negotiate and had to move away (Table 4).

**Table 5 Form of community development**

| Form of community development | No. of the community | %             |
|-------------------------------|----------------------|---------------|
| Infrastructure improvement    | 59                   | 45.38         |
| The community plan adjustment | 48                   | 36.92         |
| Move the community            | 23                   | 17.69         |
| <b>Total</b>                  | <b>130</b>           | <b>100.00</b> |

**5.1 Results of the study**

Although the Thai government has a policy on the problem solving in land and house insecurity by using the Baan Man Khong project participated by the community organizations throughout the country, but it does not mean that all of the community organizations can fully

participate in the planning process for community development in the form of partnership. Hamdi and Goethert (1997), Choquill (1996) and Arnstein (1969) cited about the classification and consideration of forms of community participation based on the indicator on form of data communication interaction in the planning process, roles in the planning process of the community organization, and decision-making power in each planning step. According to the empirical evidence of the community organizations in Bangkok, it is found that 99 community organizations (76.15%) participate in the Baan Man Khong project as a partnership and the rest (31 community organizations or 23.85%) participate in the project by sharing opinions.

There was statistical relationships between forms of the participation process of the organization community and forms of community development. The community organizations participating in opinion sharing would develop the community in the form of improvement of the community infrastructure. Meanwhile, the community organizations participating in the form of partnership would develop the community in the form of the community plan adaption most and followed by improvement of the community infrastructure and resettlement, respectively.

Participation in decision-making in each step of project implementation is not

participation or opinion exchange. The step of objective formulation of the project becomes to be important to the creation of participation in the next step of the community organization. A level of participation can be viewed based on 3 aspects: 1) interaction between the external organizations (two-way); 2) the community organization plays roles in the project implementation; 3) the community organization has decision-making power. Relationships of the three aspects is an indicator classifying a level of the community organization participation.

Regarding a level of the community organization participation for community development in Bangkok, it is found that some community organizations participate in community development only in an opinion sharing level even though they are encouraged to be partnership. Therefore, it should have monitoring on a level of the community organization participation in each step of the project implementation. This is particularly on the steps of group forming and objective formulation which should be controlled to be happened by members of the community organization.

### 5.3 Limitations of the study

This study emphasizes on the explanation of the conceptual framework of the public participation level classification in the process of area transformation of a case study of

The Baan Man Khong project. There is only an analysis of component relationships of two independent variables on a level of participation and the variable based on forms of area transformation.

This study is an exploratory research which theoretical explanation should have more details of the variables. In-depth details of an analysis can be found in a research entitled “The Community Organization Process for Community Development in Bangkok” by Sarit Tiya-wongsuwan, Department of Regional and Urban Planner, Faculty of Architecture, Chulalongkorn University.

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