THE BROADER SOCIAL NETWORK OF COMMUNITY PLANNING:
A DIAGNOSTIC TOOL FOR COMMUNITIES TO
ASSESS THEIR PLANNING CAPACITY

BY

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DISSERTATION

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ABSTRACT

This research examined the relationship between social networks of a community and its planning capacity. Nine common patterns (traits) of effective planning efforts were identified and aligned with social network methods. This provided the framework from which to develop a tool determining the capacity of a community to implement planning efforts, regardless of which planning approach it is utilizing. Between 2007 and 2009, the diagnostic tool was administered through a case study. The case study employed a snowball survey and key informant interviews that explored informal and formal communication patterns of a community's capacity planning to do implementation and planning activity.

Based upon that research, a model was developed to formatively assess the capacity of any community to implement plans and planning activities. In doing so, it is hoped community leaders and planning professionals may more effectively understand the full communicative dynamics at work in their local planning efforts. In that way locals may be able to better engage, be empowered to plan in a more comprehensive manner, and potentially be more successful in resolving their communities' challenges. The diagnostic model tool is called the "Engaged Planning Communities Diagnostic Tool."

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A special thanks to Dr. Emily Talen for her ongoing support, guidance, and patience over the last eight years. She stood by me through thick and thin in my admittedly numerous endeavors exploring community planning from unusual perspectives. Her guidance as committee chair was irreplaceable. I am also grateful for the advice and feedback of the other dissertation committee members, Dr. Luc Anselin, Dr. Zorica Nedovic-Budic, and Noshir Contractor. A big thank you to Pam Schallhorn, Steve Ernst, John Lewis, Anne Duquennois, Terrance Hall, Colin Belle, and Janyce Fadden, for their invaluable and unquestioning support to cross the finish line while holding down a full-time job; their infallible assistance allowed me to see the light at the end of the tunnel.

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CHAPTER ONE

INTRODUCTION

"Accidents' are normal expectations rather than random exceptions to the rule in comprehensive planning.
There are no absolutes; there is only a maze of interrelated and conditional probabilities."
– Melville Branch, <u>Continuous City Planning (Branch 1981)</u>

NEED FOR STUDY

Communities, by nature, all prepare for their futures to at least some extent. Community preparation is the essence of what has come to commonly be referred to as "community planning". Despite this, theorists and practitioners have not reached consensus on what "community planning" is about.

First, disagreement centers on "who" is involved in community planning. Specifically, there is a focus on whether or not informality[1] -that is, action found outside the formal planning process guided by professionals- can be considered "planning" (Innes, Connick, Booher 2007; Friedmann 1987; Forester 1989). Even the best participatory efforts are commonly translated into the technical jargon of comprehensive,[2] rational, technical, land use-oriented community planning (Arnstein 1969; Campbell and Marshall 2000; Neuman 2000). When stakeholders are not being *effectively* engaged by planning professionals they tend to look elsewhere in how to impact their goals and objectives for their community. This creates tension and ongoing challenges for planning professionals trained in formality (Branch 1981; Campbell and Marshall 2000; Portugali 2000; Chettiparamb 2007; Arnstein 1969). Some experts assert multiculturalism, diversity, grassroots activism, politics, culture, and emotion are problematic and thus are outside of the planning realm (Forester 1989; Barrett 2002; Stein and Harper 2003; Harwood 2005; Platt 1996). Other experts recommend embracing informality (Branch 1981;

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[1]Latent power and influence of the general public (Chettiparamb 2007)

[2] "Comprehensive plans are sometimes referred to as land-use plans, because in many cases they are dealing with issues related to the appropriate uses of land. In many cases, comprehensive plans are prepared to address compatibility issues between various uses of land, management and preservation of natural resources, identification and preservation of historically significant lands and structures, and adequate planning for infrastructure needs. In other instances, comprehensive plans are utilized to address issues related to schools, recreation, and housing." –Ohio State University Extension Services.

Campbell and Marshall 2000; Portugali 2000; Chettiparamb 2007) as they recognize not everyone wants, cares, or is capable of participating in formal methods.

Second, disagreement also centers on "how" community planning is "best" accomplished. Community planning is not legally simple to put in to practice. It is the responsibility of the planning field to engage the general public and reach more well-informed, recommended solution(s) (DeSario and Langton 1987). After all, planning is supposed to be unbiased and neutral (Friedmann 1987). Empirical information forms the best plans (Hopkins 2001). Arbitrary and capricious decision making unlocks an otherwise air-tight defense of core planning tenants: health, safety, welfare, and well-being (Platt 1996). Communities prepare because the future always comes.

As a result, a community planning process can focus on a means-to-an-end (a policy or plan document), an ongoing-means, or some combination thereof. Those two concepts are often lumped together as "planning" but are really mutually exclusive concepts. Means-to-an-end planning methodologies develop a product a community subscribes to with the assumption, when the future arrives, it will be put in to practice. Ongoing-means planning methodologies center on continual engagement in preparing for a community's future. For example, a comprehensive planning process focuses more on a means-to-an-end (a comp plan) (Hopkins 2001), while a collaborative planning process focuses more on the ongoing-means to engage community members (Innes, Connick, and Booher 2007). Sometimes collaborative planning is used to first develop a comprehensive plan and also to continually engage after the comprehensive plan is adopted.

Strategic, comprehensive, and rational planning are some of the main means-to-an-end planning approaches utilized and consensus, advocacy, equity, and incremental planning are just some of the main ongoing-means planning approaches professionals and practitioners subscribe to (Arnstein 1969; Molotch 1976; Branch 1981; Flyvbjerg 1998; Forester 1999; Innes, Connick, Booher 2007; Campbell and Marshall 2000; Chilton 2003; Ehin 2004; Chettiparamb 2007). Some planning approaches center on more holistic, sustainable efforts (McDonough and Braungart 2002). Sometimes communities lean more heavily towards short-term incrementalist approaches (Lindblom 1959; Chilton 2003) while other communities embrace long-range planning approaches (Forester 1999). Even the definition of "community planning" varies within the various methodologies (Arnstein 1969; Molotch 1976; Branch 1981; Flyvbjerg 1998; Forester 1999; Innes, Connick, Booher 2007; Campbell and Marshall 2000; Chilton 2003; Ehin 2004; Chettiparamb 2007).

Yet there is commonality to be found. Whether a locale tends towards a means-to-an-end, an ongoing-means approach, or some combination, communities muddle through challenges and implement the preparatory work for their futures (Lindblom 1959; Chilton 2003; Branch 1981; Chettiparamb 2007). This "implementation" is one component universal to all community planning processes. Many recognize implementation is pivotal to helping communities plan over time, and it is commonly listed as the final step[3] in planning processes. It can be planning activity or efforts, or plan enactment.

In reality, nevertheless, implementation is often an afterthought left open to interpretation as different planning approaches require different sets of implementation practices (Flyvbjerg 1998). Different planning implementation processes seem to work better for different communities. There is no one "best" method as communities' particular needs are so complex. Implementation *happens,* but what does it *mean* for planning?

Together, all of this confusion begs the question: how does one know, or assess, what effective planning looks like while it is going on? Taking a step back, it appears there are three assessment areas within community planning. They are:

- *plan and planning activity review (pre-evaluation before implementation),*
- *the capacity to implement a plan or planning activity (formative evaluation during implementation), and*
- *the effect of the plan and planning activity itself on a community (summative evaluation after implementation).*

A plethora of research and practice in planning focuses on reviewing the quality of a plan or planning activity itself before it is "used" (Hopkins 2001; Innes, Connick, Booher 2007; Friedmann 1987; Forester 1989). Usually review occurs in a one-time analysis before a plan is updated, a plan is initially published, or planning activity is implemented. In theory, after all, good preparation produces better results. This sort of evaluation aims to maximize the affect of a plan or planning activity.

The summative evaluation of the impact, or effect, of plans and planning activity also exists and is common in practice (Talen 1996; Talen 1996; Talen 1997; Flyvbjerg 1998; Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003). Summative evaluations measure alignment with a community planning process' goals. There is plenty of evidence in published case studies showing no community plan or planning activity is perfect; something can always be done better. Not even the

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[3] (Talen 2003; Laurian, Day, Berke, Ericksen, Backhurst, Crawford, Dixon 2004; Talen 1996; Mandarano 2008; Seasons 2003; Laurian and Shaw 2008; Innes and Booher 1999; Margerum 2002; Innes, Connick, and Booher 2007; Campbell and Fainstein, 2003)

most famous community plans, for example the Chicago Burnham Plan, are fully implemented (Club 2001; Schwieterman and Caspall 2006). This is largely a consequence of individuals drawing up the plans or activities and those implementing it are usually not the same (Flyvbjerg 1998; Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003).

Most planning evaluation appears to be pre-review or summative in nature. But preparing for a community's future is about more than the affect (pre) or effect (post) of a plan or planning activity. It is also about evaluating the *ability*, or capacity, to do planning implementation (during) while it is going on.

The formative assessment of the capacity of a community to implement a plan or planning activity is mutually exclusive from the others. It, in concept, can occur at any time and is comparable to taking a snapshot of the community dealing with its future at a present time. Taking a snapshot of "who" and "how" affords the opportunit(ies) to change course before the verdict (the future) is in. Think social network analysis meets planning.

But unlike the review or summative planning evaluation processes, there is no universally-applicable formative assessment methodology for planning capacity. Perhaps this is because planning capacity is such an amorphous concept. When planning evaluation is not pre-review or summative it is usually qualitative, case-study based, and is not readily applicable to other communities.[4] Examples of planning theory and practice incorporating social networks as a conscious, formative diagnostic tool are limited (Meehan 1977). Some articles refer to "networks" in passing but do not evaluate planning capacity (Innes, Connick, and Booher 2007; Innes and Booher 1999; Margerum 2002). Little empirical information exists (other than qualitative case study research) on who is actually involved, their roles, and what relationships leveraged in community planning (Campbell and Marshall 2000; Flyvbjerg, Bruzelius et al. 2003; Innes and Booher 2007). Communicative planning patterns will always be incredibly complex and varied, especially given the plethora of approaches listed above.

In sum, a plan or planning activity can be pre-reviewed when it is first drawn up to determine how it will affect implementation.[5] And, the efficacy of the implementation of a plan or planning activity can be evaluated after a period of time.[6] However, there is no readily-usable, universal, formative, analytical

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[4] (Talen 1996; Talen 1996; Talen 1997; Talen 2003; Laurian, Day, Berke, Ericksen, Backhurst, Crawford, Dixon 2004; Talen 1996; Mandarano 2008; Seasons 2003; Laurian and Shaw 2008; Innes and Booher 1999; Marerum 2002; Innes, Connick, and Booher 2007)
[5] (Innes and Booher 1999; Margerum 2002; Innes, Connick, and Booher 2007)
[6] (Talen 2003; Laurian, Day, Berke, Ericksen, Backhurst, Crawford, Dixon 2004; Talen 1996; Mandarano 2008; Seasons 2003; Laurian and Shaw 2008)

method to determine how *capable* a community is to implement a plan or planning activity *while the implementation is going on*. This research utilizes social network analysis as a diagnostic tool to accomplish that.

PURPOSE OF RESEARCH

A diagnostic tool capable of helping a community enhance its capacity to implement plans and planning activity is needed. The purpose of this research is to offer this readily-usable, diagnostic tool to the field of planning. Utilizing social network analysis,[7] the tool demonstrates how a community's planning communicative characteristics, relationships, and methods of implementation are forming healthy or unhealthy patterns or tendencies. The diagnosis can then reveal opportunities for professionals to better engage informality occurring within the community's plan implementation and planning activity and also reveal how stakeholders can better engage professionals.

The result is a more solid foundation for more effective community planning implementation. The tool developed within this research aims to identify opportunities for higher capacity in planning communication. This may or may not result in better implementation; realities facing a community are continually evolving. However, it does provide for the opportunity to enhance planning capacity before it is "too late".

Published literature defines "good" community planning implementation,[8] but the literature fails to offer a formative tool assessing planning implementation capacity within any given community. The premises of the published works are deductively used herein as a diagnostic framework capable of assessing the capacity of a community to implement a plan or planning activity (Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008). Measurements of solid communicative skill, alignment, accessibility, balance of power, and other characteristics of key stakeholders of the broader community planning network is the foundation for understanding the ability of the community to implement their own planning goals. Communities with healthy assessments will hereafter be termed "Engaged Planning Communities."

There is a clear opportunity for community stakeholders implementing a plan or planning activity to understand basic patterns occurring within their sometimes seemingly messy community planning

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[7] Specifically power-structure analysis utilizing the snowball method is utilized for this diagnostic tool.
[8] (Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008)

process. The diagnostic tool developed within this research demonstrates to community planning stakeholders' opportunities for improving their efforts. Perhaps most importantly, this formative assessment concedes that there is no one "right" way to do community planning but it diagnoses implementation capacity regardless of the planning approach used.

RESEARCH STATEMENT

This research examines the relationship between social networks of a community and its planning efforts; based upon this research, a model will be developed to formatively assess a community's planning capacity.

RESEARCH OBJECTIVE

The objective of this study is to develop a social network analysis tool to formatively diagnose—and therefore assess and understand—the capacity of a community to implement plans and planning activity. This tool was tested through a case study for development purposes. Once completed, this case study informed how the tool was molded into a model methodology readily-usable in any community.

As cited in published planning literature, a community with the capacity to implement a plan or planning activity has: (1) broad-based stakeholder representation,[9] (2) broad-based participation,[10] (3) inclusion of many information types,[11] (4) flexible alignment,[12] (5) effective timing,[13] (6) accessibility of leadership,[14] (7) communicative skill,[15] (8) a sustainable approach,[16] and (9) is rational and practical.[17] These premises form the framework from which this diagnostic tool was developed. Details on each element (or trait) are described in Chapter Two.

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[9] (Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008)
[10] (Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008)
[11] (Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008)
[12] (Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008)
[13] (Innes and Booher 1999; Innes and Booher 2007)
[14] (Innes and Booher 1999; Innes and Booher 2007; Laurian and Shaw 2008)
[15] (Innes and Booher 1999; Innes and Booher 2007; Laurian and Shaw 2008)
[16] (Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008)
[17] (Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008)

RESEARCH FRAMEWORK
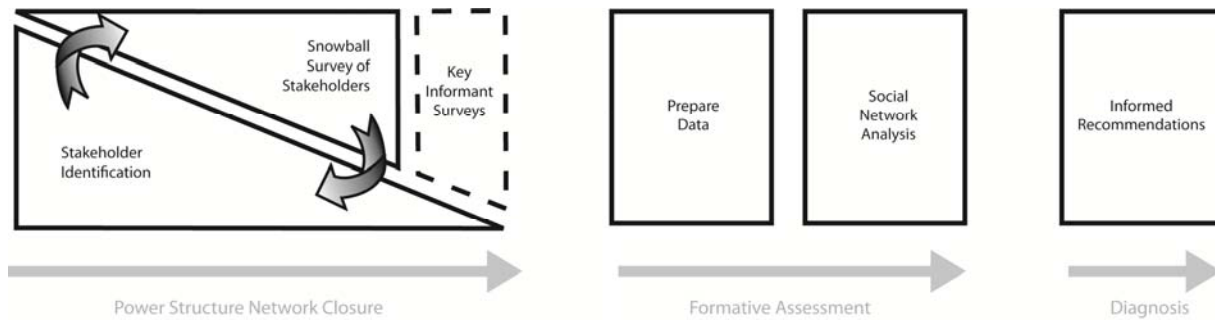
Figure 1. Formatively Assessing a Community's Planning Capacity

SIGNIFICANCE OF STUDY

This research creates the first readily-usable, formative diagnostic tool for community planning capacity. It specifically investigates the social network dynamics within the community to assess its ability to implement plans and planning activity. This research does not attempt to summatively evaluate community planning implementation. Instead, it is designed to provide a tool any community can utilize to understand their collective ability to implement plans and planning activity. Stakeholders, from here, can begin to understand their own unique opportunities for improvement in their capacity to do planning implementation efforts.

Much like the U.S. Green Building Council's LEED Certification system for building and neighborhood infrastructure, the 54-point diagnosis rates a community's ability to implement planning initiatives *while the work is going on*, not *an initiative before or after the work is being done*.

This diagnostic tool is designed to identify patterns within the broader planning network of any community. The diagnostic process describes a local planning network through the aforementioned nine traits of good community planning capacity. Each of those nine traits is assessed based on an operationalized social network theory through six degrees. Those continuums are then compiled for a final diagnostic reading for the community. The diagnosis indicates the tendency of a community to be an "Engaged Planning Community" at the time the tool is administered and provides the community an analysis of areas of improvement within their capacity to do planning activity.

The diagnosis aims to empower community leaders and planning practitioners to more effectively understand and engage the full communicative dynamics at play in their own community. Planning practitioners and community members should better understand how to engage the other with a

diagnosis from this tool. As a result, they may become more effective by being more engaged, empowered to plan and do planning activity, and thus potentially better able to resolve their communities' challenges.

Benefits of real world application include:

- *Show growing companies a community means business & is able to "get stuff done"*
- *Create set of civic vitality community indicators*
- *Improve communication among a community's key stakeholders including business leaders, planners, elected officials, and other key leaders*
- *Increase efficacy of organizations and agencies by identifying who, what, and how they need to work with other entities on an initiative*
- *Empower disengaged groups towards a common vision*
- *Identify how power structures are helping or hurting planning efforts*
- *Explore areas of sustainability not being adequately addressed*
- *Show in grant applications the ability to bring an initiative to fruition*

This tool works to reveal key planning stakeholders within both informal and formal circles in a community. It documents commonly used informal and formal participation methods and information types stakeholders use. It illustrates alignment tendencies among the various individuals and groups involved in planning efforts and also how flexible these groups are in re-adjusting to modified collective goals. This tool looks for patterns of ongoing planning efforts. It uncovers how accessible those with formal positions in community planning are and the extent of their power, influence, and connections. It identifies key community leaders as power brokers (great communicative skill through wielding power and influence) in plan implementation and planning activity. The diagnosis detects a community's human, environmental, financial, social, and political capital patterns. It looks at whether the core stakeholders are truly utilizing a sustainable approach in their implementation efforts. Finally, it confirms how realistic plan implementation and planning activity efforts are in achieving set planning goals.

Together these collectively and formatively assess the capacity of a community to implement a plan or planning activity. Any community can benefit from the tool's individualized, tailored diagnosis if it is administered properly. It can be administered:

- *when a major community issue surfaces for a locale,*
- *while a plan or planning activity is being developed to understand if adequate engagement and communication activity is occurring,*
- *when a major community organization or agency wants to identify how they can improve their engagement efforts,*
- *when a plan or planning activity is being implemented, or*
- *when it is time to get ready for a new plan or planning activity process.*

It is a snapshot at any given point of time and can be re-administered at regular intervals to see social network trends. The diagnostic results, in summary, assist a community to re-adjust their individual and collective capacity to plan more effectively.

LIMITATIONS OF RESEARCH

Several challenges were encountered while developing this research. First, social network analytical theories and methods had to be adopted for use in the context of planning. Second, neutrality and participant confidentiality had to be protected. Third, the researcher's limited time and resources meant a longer period to complete the data collection and achieve closure of the snowball survey. Fourth, an additional procedure was added to ensure all key stakeholders were reached (key informant interviews were added as a secondary procedure to the snowball survey process). Finally, a considerable effort was needed to develop the online Engaged Planning Communities Tool website so that the diagnostic assessment process is readily available to any community in the country.

THE CASE STUDY

While each community has a unique set of issues at hand, planning, to some extent, is present in every locale in America (Kelly 1994; Platt 1996). The scale of cities and local issues change participation patterns, but overall components of the social networks remain fundamentally the same (Blee and Taylor 2002; Diani and McAdam 2003; Monge and Contractor 2003; Gilchrist 2007; Powers 1975; Kelly 1994; Platt 1996). All community planning approaches include (to some extent) participation, stakeholder representation, ranges of planning information, a common vision, a time-horizon, leadership, foci on community resources, communicative skill, a focus on community issues, and are reality-based (Kelly 1994; Platt 1996; Hopkins 2001; Innes and Booher 1999; Margerum 2002; Innes and Booher 2007; Laurian and Shaw 2008).

Because every community has both formal and informal stakeholders working to better its future through planning activities, this tool was developed to apply to any locale. It does not look at the outcomes of plan implementation or planning activities. A good diagnosis from this tool does not guarantee improved planning implementation. It merely provides a diagnostic snapshot of a community's current ability to implement planning efforts.

The community chosen for this research was picked for its proximity to the researcher. Its smaller-sized metropolitan area suggested closure might be achieved a bit more easily than in a much larger

community. Planning issues facing the community were complex (as with any area) and generally representative to many of communities nationally.

OVERVIEW OF STUDY

A literature review is contained in the next section, Chapter Two. The review provides an overview of community planning and social network theory, including the relationship between the two. The chapter discusses different views on planning implementation and how experts propose to evaluate "good" planning capacity. Finally, Chapter Two outlines the aforementioned nine traits used to formatively assess the ability of a community to do planning implementation.

Chapter Three summarizes the framework for this research and the methodology employed. The researcher triangulated the nine traits indicating the ability of a community to implement plans and planning activity. This was done through an unstructured survey technique drawing the sample from the snowball sampling method. The snowball survey was used to develop a power structure analysis followed by key informant surveys.

Chapter Four includes an analysis of the data collected in the case study. It discusses details about the case study as well as data entry challenges. Data sets were used to triangulate the nine traits listed above and formatively assess whether the case study community has a healthy ability to implement plans and planning activity. The data was also used to triangulate any irregularities and larger patterns within the broader community planning network. The social network analysis in the diagnostic tool revealed individuals' attributes and cliques. It also revealed the types of relationships, roles, influence, power, and position of each person within the larger network. The analysis produced the density, centrality, reciprocity, and extent of homophily of the broader community planning network. It shows, for each of the nine traits, a summary worksheet from within diagnostic tool. The worksheet lists the six questions needing to be assessed for that particular trait, an explanation of the results of the trait's analysis, a meter rating of that trait, and a set of broad recommendations for the community based on the findings.

Chapter Five describes how the diagnostic tool was developed from the trial run in the case study formatively assessing a community's ability to do planning implementation. It explores how the case study diagnosis was refined to become a model formative assessment tool for any community to administer. Finally, this chapter outlines the components of the diagnostic tool and gives specific directions on how effective administration of the tool is accomplished.

In Chapter Six the researcher assesses the usefulness of the diagnostic tool. It outlines limitations and benefits of this research. It also introduces the potential for future research opportunities. The following sections consist of the Appendices.

CHAPTER TWO

LITERATURE REVIEW

INTRODUCTION

There is no extensive body of research on social network theory or analysis in community planning literature. However, a large amount of research addresses social network theory and social movements that is germane to this subject. That research has been synthesized in a number of comprehensive literature reviews.

Likewise, a comprehensive literature review of community planning social networks does not exist. A plethora of literature explores peripheral concepts. That literature reviews citizen participation, power and influence, and what implementation means for the various main community planning approaches. As mentioned earlier, there is much written on summative evaluation in community planning. Those works fail, however, to formatively assess specific social network patterns within the process.

The following literature review synthesizes published works relevant to the idea of utilizing social network analysis as a formative diagnostic tool for community capacity to do implementation of plans and planning activity. The review consists of the following topics:

- *Community Planning in Social Network Theory*
  - *Theories of Self Interest and Collective Action*
  - *Exchange and Dependency Theories*
  - *Homophily, Proximity, and Social Support Theories*
  - *Evolutionary Theories*
- *Social Networks in Community Planning Theory*
- *Planning Implementation Theory*
- *Assessing "Good" Planning Capacity*
  - *Broad-based Stakeholder Representation*
  - *Broad-based Participation*
  - *Inclusion of Many Information Types*
  - *Flexible Alignment*
  - *Effective Timing*
  - *Accessibility of Leadership*
  - *Communicative Skill*
  - *A Sustainable Approach*
  - *Rationality and Practicality*
- *Integrating Social Network Theory into Planning Application*

COMMUNITY PLANNING IN SOCIAL NETWORK THEORY

Community planning as a process or concept does not readily appear in social network theory. Social network theory mainly focuses on organizational or institutional network dynamics. Given that, there is an opportunity to introduce the chaordic patterns of communities to social network theory and application.

The most pertinent published work within social network literature discusses community development, not community planning. The Well-Connected Community: a Networking Approach to Community Development, by Alison Gilchrist, discusses patterns of interaction and influence within larger community social networking as a strategic self-help intervention. Gilchrist also explores how social networking is a method to strengthen community participation (Gilchrist 2007).

David E. Booher & Judith E. Innes' (2002) "Network Power in Collaborative Planning" is a seminal article combining social network and community planning theories. The article begins with an overview on how power is a misunderstood concept within community planning. Planners feel they don't have it; rather, they exist to give recommendations. Citing planning authors Bansfield and Altschuler, the article explores the cynical and antagonistic attitude developed by the planning profession. Booher and Innes also discuss the retreat to rationalized technical planning. Perhaps the most important contribution of the article is the evolving role information dissemination has within community decision-making. Those with access and understanding to important information participate in planning implementation, and those outside are left "in the dust." The article explores the evolution of communication patterns in terms of technology and planning (Innes and Booher 2002).

Barry Wellman and Caroline Haythornthwaite (2002), editors of The Internet in Everyday Life, explore social networks at the community level to a small extent. They discuss power in connectionist networks. More ideas are produced when effective networking is occurring. Diversity, interdependence, and authentic dialogue are crucial if "participants are able to suspend judgment and share the meaning being presented by another participant without necessarily accepting it, if they are to be able to uncover the rationalizations and get beyond the taken-for-granted ideas that may be hindering a solution." However, the book fails to examine the formative assessment of this process. It acknowledges planners are "part of the information flow," but the book stops short of fully exploring communication about planning issues (Wellman and Haythornthwaite 2002).

Joseph Galaskiweicz, author of The Structure of Community Organizational Networks (1979), studied the network position, centrality, and ties of community organizations. This research begins to give insight

into divergent formal and informal sub-networks. However, it fails to examine the direct impact of those patterns within community planning capacity (Galaskiewicz 1979).

Another study, by Cooperative Extension Services (1968), defined the different roles community members can play within the community power structure. It identifies informal and formal stakeholders within a community power network, and introduces how a snowball method can accomplish a power structure analysis.[18] It stops short of suggesting or exploring how that method can formatively assess of the ability of a community to implement plans or planning activity (Tait, Bokemeier et al. 1968; Powers 1975).

Peter Monge and Noshir Contractor (2003) discuss different approaches to studying complex systems in social networks in Theories of Communication Networks. This book does not touch directly upon community planning processes. However, it does summarize social theories applicable to network dynamics.[19] And, those network dynamics can explain the capacity of planning networks through the use of those social theories. The theories and analytical methods of this book are used within the diagnostic tool developed within this research to explain the formative assessment findings (Monge and Contractor 2003).

To introduce the foundational social theories for this research, the following is a brief overview the theories of Theories of Communication Networks most applicable in exploring a community's planning ability found within social network patterns (Monge and Contractor 2003). Each of these theories can be used to describe a community's behavior tendencies in planning capacity. The relationship between these theories and the dynamics of planning capacity will be explained within Chapter Three and applied within Chapter Four to analyze the case study results of this research.

Theories of Self-Interest and Collective Action

> **Structural Holes Theory:** people accumulating information or knowledge invest in social opportunities from which they expect to benefit.

> **Transaction Cost Economics Theory:** supply and demand results in people determining whether or not to exchange goods or ideas.

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[18] The primary method of the diagnostic tool developed within this research.
[19] For instance, the behavior, relationships, and dynamics of these types of communication processes.

Self-Interest Theory: attributes of an individual determine whether or not stakeholders create, maintain, or dissolve relations.

Mutual Interest Theory: communication occurs when there are benefits from coordinated action. Public Goods Theory is a specific example of mutual interest theory where collective action is needed to create or maintain community resources for everyone to use.

Exchange and Dependency Theories

Network Exchange Theory: individuals' power is a function of their vulnerability to be excluded from communication and other exchanges.

Social Exchange Theory: people create, maintain, and dissolve relations based on resources and attributes they have or need based on the resources and attributes others in the network have or need.

Prisoners Dilemma Theory: while mutual cooperation is the best choice between stakeholders, self-interests at times overrides in decision-making.

Homophily, Proximity, and Social Support Theories

Balance Theory: communication between individuals is predicated on the presence of their ties to the rest of the network.

Evolutionary Theories

Evolution Theory: networks have a greater chance at surviving with duration of the same stakeholders, smaller group size, adoption of necessary changes.

SOCIAL NETWORKS IN COMMUNITY PLANNING THEORY

Developing a formative tool assessing planning capacity also requires understanding how social networks are currently represented in community planning literature. Social network analysis within community planning is limited to say the least. Perhaps that is due to the complex nature of communities given the vast differences of participation, cliques, size, issues tying residents together, etc. Overall, social

network analysis appears to be the missing lens needed to focus in on the multifaceted dynamics of participation within a community's planning capacity.

The only piece of published literature found on the subject was a Master's thesis by Patrick Joseph Meehan (1977), entitled "An Approach to the Use of Social Network Analysis as an Urban Design Tool". The thesis discusses how social networks are strong within the physical proximity of neighborhoods. It does not utilize social network analysis as a formative diagnostic tool for community planning capacity (Meehan 1977).

The few articles appearing to touch, albeit indirectly, on social network theory in community planning largely investigate informal or formal participation separately or note how informality in planning is minimized by the rational nature of the planning profession (Hibbard and Lurie 2000; Innes and Booher 2002; Carp 2004; Harwood 2005; Hou and Kinoshita 2007). Jana Carp (2004) discusses the communicative dynamics of participatory planning and asserts planning professionals limit effective citizen participation by choosing the place, control the face-to-face interaction, the level of comprehension of knowledge and actions, and the strategies used (Carp 2004). That lays the groundwork for differing world views, and thus sub-networks, in community planning capacity.

Scott A. Bollens (2002) explores the dynamics causing different world views and consequent informality in planning activity. He describes how the communication of that pattern is valuable. And, he outlines how it can and should be incorporated into a larger community planning paradigm (Bollens 2002).

June Manning Thomas (1996) discusses how the world views of key stakeholders in planning implementation are different than planning professionals' knowledgebases. She notes that those differences do not have to cause fragmented pluralism (Thomas 1996). Overall, however, planning literature touching on social network theory stops short of formatively dissecting social network dynamics of a community's planning capacity.

PLANNING IMPLEMENTATION THEORY

Creating a formative community planning capacity tool requires an understanding of the theories of different planning implementation approaches[20]. Traditional planning implementation is typically top-down, hierarchical, mechanistic, and a closed system (Chettiparamb 2007). Limitations in the face of

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[20] In addition to social network theories.

changing communication patterns are the primary reason formative planning capacity assessment is needed. An investigation into existing planning implementation theory provides insight into the disparate abilities for planning capacity.

Campbell and Marshall (2000) published an insightful case study illustrating how community planning implementation has much room for improvement. They outline how miscommunication and apathy commonly occur between those operating formally and those operating informally. Specifically, it lays out familiar failures of planning professionals to effectively engage community members. And, they discuss key stakeholders' consequent attempts to circumvent that breakdown through informal action (Campbell and Marshall 2000).

Campbell and Marshall (2000) posit that power and status leveling are important for key stakeholders to informally affect planning implementation. They recognize that wealth, strong formal relationships, and ability to leverage deal-making often achieves desired self-interested outcomes in the politics of planning implementation. Refusal to conform to formal participation efforts brings exclusion to key stakeholders. That is commonly a result of planning professionals' lack of training in informal participation (Campbell and Marshall 2000).

Campbell and Marshall (2000) found there was a profound lack of respect for "bureaucrats" who regularly make the easiest, inconsistent decisions over the best decisions. The consequence was most often to ameliorate professional activists' groups. Self-interests regularly override the needs of the public good. And planning practitioners are often frustrated at the lack of direction of elected officials. The authors of the article described a "battle" of sorts, where instead of positive engagement, professional staff and elected officials are left bewildered and ineffective (Campbell and Marshall 2000).

Perhaps the most significant contribution of Campbell and Marshall's article (2000) is Figure 2, "Rationales for Participation in Planning". It lists the

Figure 2. Rationales for Participation in Planning (Campbell and Marshall 2000)

various implementation concepts. The lower left indicates more power and influence by professional
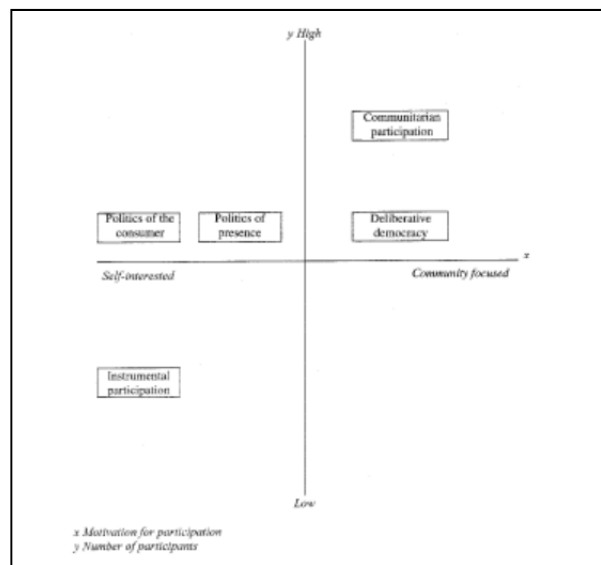
planners and elected officials where formality reigns. The top right indicates more influence by key stakeholders, where informality reigns. In short, Campbell and Marshall cite how low planning capacity is often go unrecognized because those patterns are overlooked (Campbell and Marshall 2000).

Several planning approaches focus on planning implementation more than the traditional process outlined by Campbell and Marshall does. Before formative assessment of a community's planning capacity can occur an overview of these approaches is important. Some are case study-based, others are theory-based. All include strong elements of natural and open systems and self-organization (Scott 2002).

Collaborative planning, the most widely known of the approaches, focuses on consensus building (Farrell 2001; Innes and Booher 2002; Margerum 2002; Healey 2003; Planning 2004). Collaborative planning often works to engage the disenfranchised or at risk populations in the community, a small minority within the larger community (Campbell and Marshall 2000; Innes and Booher 2002; Healey 2003). However, when those stakeholders are ineffectively engaged they begin to circumvent the process established to assist them in the first place (Flyvbjerg 1998; Margerum 2002).

W. Richard Scott (2002) compared three organizational system approaches:

1) *Rational systems (emphasizing efficiency and core, long term planning). Example: Robert Moses of New York at the turn of the Century.*
2) *Natural systems (social groups interacting within informal and formal structures). Example: Microsoft's team management campus system.*
3) *Open systems (unfettered entry and participation). Example: getting a library card.*

Planning professionals often use the natural system approach in implementation when they attempt to incorporate different world views. For instance, an economic development team may be working with a developer in the morning and discuss a marketing program in the afternoon. Natural system planning is much less hierarchical than rational planning; greater levels of information are transferred between different groups. Rational planning is technically designed while natural system planning leans towards organic growth (Scott 2002).

Examples of open systems planning implementation are emerging more and more often. That can be in large part attributed to internet and social media growth revolutionizing engagement patterns. Several authors emerged within the last decade to discuss the trending of more diffuse communication and ensuing participation patterns. (Molotch 1976; Branch 1981; Campbell and Marshall 2000; Portugali 2000; Portugali 2003; Chettiparamb 2007; Gilchrist 2007).

ASSESSING "GOOD" PLANNING CAPACITY

An overview of existing literature exploring the assessment of "good" planning abilities is foundational for the development of an assessment tool for planning capacity. Each, interestingly, define quite similarly what is considered "good" planning capacity. The following section explores those similarities and attempts to demonstrate, regardless of the planning approach, that universal traits are characteristic of successful planning capacity.

Several articles discuss evaluation of community planning efforts.[21] Emily Talen in, "Do Plans Get Implemented? A Review of Evaluation in Planning," summarized that well by citing the typology of evaluation in planning (Talen 1996):

- *Evaluation prior to plan implementation*
  - *Evaluation of alternative plans*
  - *Analysis of planning documents*
- *Evaluation of planning practice*
  - *Studies of planning behavior*
  - *Description of the impacts of planning and plans*
  - *Policy implementation analysis*
- *Evaluation of the implementation of plans*
  - *Non-quantitative*
  - *Quantitative*

In addition, some literature introduces theories or methods to review plans or planning activity when they are introduced - before implementation.[22] Others discuss summatively evaluating plans or planning activity after implementation, or planning outcomes.[23] However, this research is focused on the formative assessment of planning capacity while implementation is going on. Specifically, it focuses on the development of a model tool. The tool is shaped so any community can diagnose its own ability to implement plans and planning activities.

The following key articles outline traits of "good" planning capacity. These articles specifically emphasize planning capacity, not planning implementation outcomes. Some focus on specific approaches, while others do not. While the articles span over several decades of theory, the premises within are very much

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[21] (Talen 1996; Talen 1996; Talen 1997; Talen 2003; Laurian, Day, Berke, Ericksen, Backhurst, Crawford, Dixon 2004; Talen 1996; Mandarano 2008; Seasons 2003; Laurian and Shaw 2008; Innes and Booher 1999; Marerum 2002; Innes, Connick, and Booher 2007)

[22] (Innes and Booher 1999; Margerum 2002; Innes, Connick, and Booher 2007)

[23] (Talen 1996; Talen 1996; Talen 1997; Talen 2003; Laurian, Day, Berke, Ericksen, Backhurst, Crawford, Dixon 2004; Talen 1996; Mandarano 2008; Seasons 2003; Laurian and Shaw 2008)

similar. They were reviewed for commonalities and condensed into nine traits any community can use to formatively assess their ability to do quality planning.

Innes and Booher published "Consensus Building and Complex Adaptive Systems: A Framework for Evaluating Collaborative Planning" (1999). They state the following are key components to evaluating planning capacity:

1) *Includes representatives of all relevant and significantly different interests*
2) *Is driven by a purpose and task that are real, practical, and shared by the group*
3) *Is self-organizing, allowing participants to decide on ground rules, objectives, tasks, working groups, and discussion topics*
4) *Engages participants, keeping them at the table, interested, and learning through in-depth discussion, drama, humor, and informal interaction*
5) *Encourages challenges to the status quo and fosters creative thinking*
6) *Incorporates high-quality information of many types and assures agreement on its meaning*
7) *Seeks consensus only after discussions have fully explored the issues and interests and significant effort has been made to find creative responses to the differences*
8) *Creates social and political capital*
9) *Results in institutions and practices that are flexible and networked*

Richard Margerum (2002) develops a similar list when he published "Evaluative Collaborative Planning: Implications from an Empirical Analysis of Growth Management." According to Margerum, summarized evaluation should be based on:

1) *Includes full range of stakeholders*
2) *Public participation and involvement*
3) *Support and facilitate the process*
4) *Establish common definition or shared task*
5) *Organize the process in terms of ground rules, agendas, etc*
6) *Engage participants, jointly search information, and invent new options*
7) *Reach agreement through consensus*

In 2007, Innes and Booher issued an updated set of traits in "Informality as a Planning Strategy: Collaborative Water Management in the CALFED Bay-Delta Program." In the article, Inne and Booher outline informal and formal participation and representation in planning social networks. Both are present in all planning capacity; as such they need to be each supported and embraced to be effective. Innes and Booher also emphasize the importance of balancing mechanistic (formality) and organic (informality) management systems in planning processes.

Formalistic Interaction Orders

1) *Ratification of authority*
2) *Routinization of interaction*
3) *Social and emotional detachment*
4) *Procedural fairness*
5) *Status differentiation*

Informalistic Interaction Orders

1) *Free flow of information*
2) *Creativity*
3) *Familiarity and affective involvement*
4) *Relative chaos*
5) *Status leveling*

Mechanistic Management Systems

1) *The focus is on abstract tasks and improvement of means rather than ends*
2) *The structure of control, authority, and communication is hierarchic*
3) *A precise definition of rights, obligations, and technical methods is attached to each functional role*
4) *Operations and working behavior are governed by instructions and decisions issued by superiors*
5) *Greater importance is given to internal knowledge than to general knowledge, experience, and skill*
6) *Communication involves instructions and decisions from superior to subordinate*
7) *Loyalty to the agency and obedience to superiors are most valued*
8) *The head of the organization reconciles tasks and assesses their relevance, implying this person's omniscience*

Organic Management Systems

1) *The focus is on realistic tasks*
2) *There is a network structure of control, authority, and communication (diffuse)*
3) *Individual responsibility is not limited to a specific field of rights and obligations*
4) *Members adjust and continually redefine individual tasks through interaction with others*
5) *Special knowledge and experience are valued as contributing to the common task*
6) *Communication consists largely in information, advice, and consultation. It takes place among people of various ranks*
7) *Commitment to ends and tasks are most valued*
8) *Knowledge about the task may be located anywhere in the network, which then becomes the ad hoc center of control, authority, and communication*

Laurian and Shaw (2008) published "Evaluation of Public Participation: The Practices of Certified Planners." They list the following components to employ in evaluating planning capacity:

1) *Mutual learning*
2) *Increase public, agency awareness*

3) *Transparent*
4) *Inclusive*
5) *Fairness and power sharing*
6) *Increase trust*
7) *Increase legitimacy of agency, decisions*
8) *Reach consensus*
9) *Build social networks, mutual understanding among participants, social capital, sense of citizenship*
10) *Improved outcomes for most disenfranchised*
11) *Participant satisfaction*

Those four articles have much overlap in outlining planning capacity evaluation. However, aside from applying the premises within a case study approach, these authors stopped short of making them readily applicable as a model diagnostic tool any community can administer. They are not easily understood or applied.

The overarching themes of each list are condensed as follows into nine traits. Those traits comprise the theoretical planning concept of formatively assessing a community's ability to do planning implementation. Communities with those traits are hereafter referred to as "Engaged Planning Communities."

TRAIT NAME	TRAIT DESCRIPTION	Innes and Booher 1999	Margerum 2002	Innes and Booher 2007	Laurian and Shaw 2008
Broad-based stakeholder representation	*informal and formal stakeholders*	x	x	x	x
Broad-based participation	*informal and formal participation*	x	x	x	x
Inclusion of many information types	*alternate world views*	x	x	x	x
Flexible alignment	*elastic vision and purpose*	x	x	x	x
Effective timing	*ongoing implementation*	x		x	
Accessibility of leadership	*open network*	x		x	x
Communicative skill	*egalitarian wielding of power and influence*	x		x	x
Sustainable approach	*human, environmental, financial, social, and physical capital*		x	x	x
Rational and practical	*reality-based*	x	x	x	x

Table 1. The Nine Traits of Planning Capacity

The next sections describe those nine traits and describe how they are utilized with the Tool developed herein to formatively assess the ability of a community to implement plans and planning activity.

BROAD-BASED STAKEHOLDER REPRESENTATION

Broad-based stakeholder representation is the first trait of assessing the ability of a community to do planning implementation. The trait reviews whether or not there is representation from both formal and informal social circles. Some studies consider involvement in formal implementation as the only valid involvement opportunity (Arnstein 1969; Friedmann 1987; Kelly 1994). Formal stakeholders in planning implementation are those with formal titles and roles in the planning implementation process. Such group of individuals may be participating either in a professional or voluntary capacity. They include statutory planners, strategic planners, professional planners, transportation planners, planning and zoning commissioners, environmental planners, economic development planners, social planners, tourism planners, infrastructure planners, open space planners, neighborhood planners, regional planners, cultural planners, regeneration planners, mayors, city council members, city administrators, and other city staff.

Some "experts" cite grassroots activists or informal community business or organizational leaders as participants (Arnstein 1969; Peterman 2000; Hove 2001; Boyte 2004; Diers 2004). Those are individuals without formal titles or roles within planning processes. Common informal stakeholders in planning include environmentalists, community development corporation staff, developers, social services staff, church leaders, non-profit members and staff, urban designers, neighborhood leaders, community development Extension Services staff, engineers, main street program staff, utility company staff, chamber directors, economic development staff, business leaders, financial land investors, and former formal stakeholders. Again, those are just some of the stakeholders regularly mentioned in related literature.

Richard Margerum identified four general cohorts involved in planning (Margerum 2006). The diagnostic tool utilizes these cohorts: 1) the general public 2) community leaders 3) local government (elected officials) and 4) planning practitioners. Members of each of those groups have different world views, communicative methods, and priorities in the broader community planning process. Generally speaking, the general public and most community leaders are informal stakeholders. Elected officials and planning professionals, and community leaders with official roles and titles within planning implementation are formal stakeholders. Key stakeholders of both sides can serve as "bridges" between informality and formality in planning participation patterns.

BROAD-BASED PARTICIPATION

The second trait, broad-based participation by informal and formal stakeholders, has been mentioned several times already within this chapter. Formal and informal participation (the "how") is different than formal[24] and informal[25] stakeholders (the "who") of the broader social network in planning. It is the informal and formal methods and communication patterns utilized in implementation activity. The ability of a community to dualistically allow for formality and informality in plan and planning activity implementation carries the process potentially further, faster.

Traditional planning processes are steeped in formality and often ignore informality (Innes and Booher 2007; Chettiparamb 2008; Branch 1981). However, the formal process can only take plan or planning activity implementation so far. This section describes that challenge and how assessing this trait can assist a community in understanding one of the main opportunities for improvement they may have, regardless of their implementation approach.

In 1969, Sherry Arnstein published her now-famous Ladder of Citizen Participation. The ladder outlines variant levels of so-called citizen participation in planning implementation. It ranges from manipulation (total formality) to citizen control (total informality). Her largely critical appraisal of formal citizen participation leaves little promise towards the inclusionary balance of public and private sectors in planning implementation (Arnstein 1969).
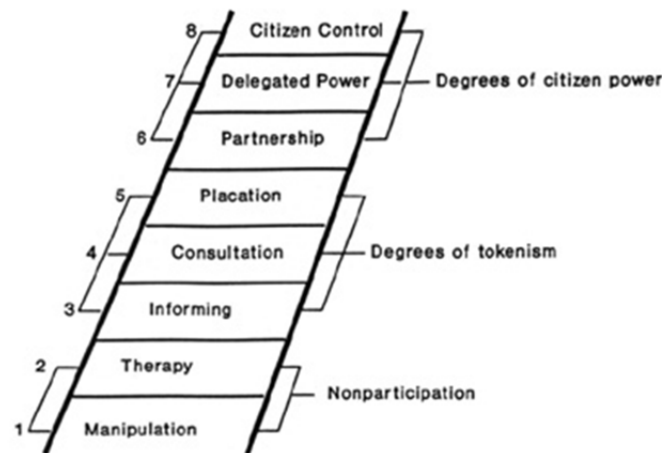
Figure 3. Ladder of Citizen Participation (Arnstein 1969)

Picking up where Arnstein left off, Harvey Molotch (1976) wrote, "The City as Growth Machine: Toward a Political Economy of Place." He explains there are two different political processes within a community. First, he defines "symbolic politics" to be the big issues elected officials and professional planners work to address. That is formality in planning implementation. Second, he defines "politics of distribution" to be

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[24] Those with official titles and roles within community planning implementation. For example, professional planners and elected officials.
[25] Those without formal titles or roles in planning implementation. For example, developers or community activists.

the "unseen" politics in the background. That is the informal participation of key stakeholders in implementation (Molotch 1976).

Formal participation in community planning consists mainly of municipal and agency staff and elected officials working together and soliciting input by local residents. Countless books have covered different ways to engage those key stakeholders. However, they are largely limited to top-down approaches (Altshuler 1965; Arnstein 1969; Checkoway 1984; DeSario and Langton 1987; Friedmann 1987; Campbell and Fainstein 1996; Platt 1996; Peterman 2000). Michael Hibbard and Susan Lurie (2000) summarized it well by stating participation is mainstream but largely not meaningful (Hibbard and Lurie 2000).

Informal participation in community planning implementation is starkly different and is often sidelined as grassroots or radical activism. Finding the right balance between formality and informality in planning implementation is continually a challenge for communities (Branch 1981; Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003). That is perhaps largely due to informal stakeholders' disingenuous past as the primary blockade to planning implementation efforts of formal stakeholders.

Leonie Sandercock touched on that subject matter in several works, most notably "Towards a Planning Imagination for the 21st Century." She states there is a multiplicity within planning participation. Informal and formal stakeholders need to come to terms with social realities and political natures of planning implementation. Sandercock reviewed how estranged participants can be successfully integrated into planning activity by encouraging these individuals -that is, those wanting and currently attempting to participate- to think about balancing the collective and self-interest needs within their community. She asserts reason (common in formality) does not have to work apart from emotion (common in informality) when it comes to participation. In fact, reason and emotion can feed off each other in planning efforts (Sandercock 1999; Sandercock 2003; Sandercock 2004).

Common formal participation methods include community forums, surveys, formal email correspondence, city council meetings, focus groups, and formal meetings with city staff (Burns, Schlozman et al. 2001; Green and Haines 2002). City Hall is the quintessential location for formal participation. In addition, occasionally formal participation exercises will require meeting in semi-public spaces to achieve neutrality, such as a local theatre or community center. Those lie on the bottom five rungs of Sherry Arnstein's "Ladder of Citizen Participation": manipulation, therapy, informing, consultation, and placation (Arnstein 1969). Participatory directive goes from formal to informal, and it breaks down often (Branch 1981; Campbell and Marshall 2000; Ehin 2004; Chettiparamb 2007).

On the informal side, stakeholders are learning new ways to circumvent formal planning processes (Reingold 2002; Gladwell 2005). Membership in issue-based organizations is up; people are impacting community issues by asserting power and influence through such groups (Skocpol and Fiorina 1999). Additionally, organizational membership (a traditional indicator of community informal participation) is increasingly becoming fluid (Skocpol and Fiorina 1999; Skocpol 2003; Reingold 2002; Crumlish 2004). Mario Diani and Doug McAdams indicate in <u>Social Movements and Networks</u> this means community participation has grown to be more issue-based instead of retaining ongoing membership (Diani and McAdam 2003). In other words, "fluid membership" ebbs and flows based on various social network factors and the ability of the "network" to permeate non-active, rolling members. That, again, is found within informal planning efforts.

Common informal participation methods include happy hour business meetings, lunch or coffee meetings, meetings at the country club, discussions at the barbershop, email correspondence, petitions, online networking, neighborhood meetings, running into someone while out and about in the community, and participation in community organizations (Verba, Nie et al. 1978; Green and Haines 2002). Social interaction and participation in community life is evolving (Wellman, Boase et al. 2002; Wellman and Haythornthwaite 2002; Crumlish 2004; Boyd 2005). Informality progressively circumvents and supplements the formal planning processes through the use of social media[26]. Wifi, internet connectivity, digital communication, smartphones, and iPads are increasingly usurping and supplementing face-to-face communication to get things done in planning (Weiss 1988; Mitchell 1995; Vidler 2000). Online networking sites allow people to connect with like-minded individuals about any sort of local issue they want to impact (Wellman and Haythornthwaite 2002). The planning field has only just begun to understand the impact of that evolution in their work.

Ray Oldenberg, author of <u>The Great Good Place</u> coined the term "third place". His thesis was there are three primary "types" of locations in our lives. The first type is home, the second type is the work place, and the third type is the informal place settings we visit. The "third place" is where every sort of dialogic activity imaginable takes place from "bullshitting" to talking politics (Oldenburg 1999; Oldenburg 2001). Oldenberg's book contributes to this research in that it gives a plausible identity to those locations where informality in planning activity operates outside of city hall (Oldenburg 1999; Oldenburg 2001).

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[26] LinkedIn, email, instant messaging, twittering, facebooking, texting, blogging, skyping, online open classifieds, and video/audio streaming are just some of the main forms of social media sources.

Informal methods operate on the top three rungs of Arnstein's "Ladder of Citizen Participation" (1969): partnership, delegated power, and citizen control. When informality and formality intermingle in those areas it is often instigated by the informal participation (Branch 1981; Campbell and Marshall 2000; Portugali 2000; Chettiparamb 2007). Developers circumvent even the best community plans -- the economy doesn't wait for it to implement itself (Branch 1981; Campbell and Marshall 2000). Furthermore, stakeholders learn they do not need organizational membership or to have powerful titles to make a difference (Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003; Chettiparamb 2007).

Several published works examine the intersection of informality and formality in community participation. One to note is Norman Nie, Sidney Verba's Participation in America, which examines different grassroots participation methods in community politics. Voting, campaign activity, communal activity, particularized contacts, and political discussions were the methods examined. Nie and Verba's study is a comprehensive assessment of a set of informal and formal methods ordinary citizens can partake in affecting the outcome of community issues (Verba, Nie et al. 1978; Burns, Schlozman et al. 2001). On the other hand, communication has evolved (the study was published in 1972), and an empirical investigation into newer methods offers new insight into how people impact local community issues through both informal and formal channels.

Within a similar multicultural context, Stacy Harwood[27] (2005) discusses the political nature of planning in her article, "Struggling to Embrace Difference in Land-Use Decision-Making in Multicultural Communities." She explores how planning professionals have a difficult time engaging multicultural issues or parties because of politics. That is another example of informality and formality struggling to coexist and co-join in planning activity (Harwood 2005).

Communities are incredibly complex systems. Each emerging issue involves different stakeholders, each of whom uses different methods. The list of methods developed for this diagnostic tool was derived from the participation research conducted by Sidney Verba, Kay Lehman Schlozman, and Henry Brady as well as Gary Paul Green and Anna Haines (Verba, Nie et al. 1978; Green and Haines 2002). It was updated for contemporary communication methods.

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[27] and to a smaller extent Robert J. Chaskin (Chaskin 2005)

INFORMAL METHODS OF PARTICIPATION IN PLANNING

- *Make phone calls*
- *Send emails*
- *Send snail mail*
- *Written correspondence (i.e. note to friend)*
- *Use media for discussion*
- *Advertise with print, internet, radio, or tv*
- *Community bulletin boards*
- *Planned third place discourse*
- *Unplanned third place discourse*
- *Discussions at home*
- *Meetings at someone's home*
- *Self-educate through internet or printed materials*
- *Blog*
- *Online social network websites*
- *Create or maintain website*
- *Online chat*
- *Distribute or receive print material*
- *Post printed material*
- *Attend conference*
- *Text Message*
- *Community-organized meetings*
- *Attended a protest*
- *Canvass*
- *Write letters to the editor*
- *Membership in community organization*
- *Attend community organized event*
- *Fundraising campaign*
- *Other?*

FORMAL METHODS OF PARTICIPATION IN PLANNING

- *Make phone calls*
- *Send emails*
- *Send snail mail*
- *Written correspondence (i.e. memos)*
- *Use media for discussion*
- *Advertise with print, internet, radio, or tv*
- *Business activities (i.e. land development/business relocation)*
- *Private meeting with by city staff*
- *Survey sent by city staff*
- *Vote*
- *Websites-issue balloting*
- *Arbitration and mediation meeting*
- *Charrette*
- *Attend conference*

- *Attend workshops*
- *Focus group meetings*
- *Community training by city staff or consultants*
- *Community technical assistance*
- *Drop-in centers*
- *Meetings – municipal or county sponsored*
- *Meetings – neighborhood level*
- *Meetings – open informational*
- *Public hearing*
- *Public Information Program*
- *Open-door policy of city staff*
- *Task forces*
- *Neighborhood Planning Council*
- *Citizen's Advisory Board*
- *Membership on boards, councils, or commissions*
- *Served as an elected official*
- *Create or use public reports and documents*
- *Other?*

INCLUSION OF MANY INFORMATION TYPES

Each stakeholder in community planning has a slightly different world view. Because of that, stakeholders are accustomed and prefer different types of information. And, they communicate differently as a consequence of those preferences. Assessing the inclusion of many information types, accordingly, is the third trait of the tool.

Informal stakeholders participate in formal planning mainly under ownership of formal stakeholders (Arnstein 1969). Numerous factors such as meeting time, technical jargon, locational discomfort, and uncomfortability with other participants discourage their involvement, limit input and feedback, and increase distrust of the processes (Arnstein 1969). As a result, the information they communicate tends to be misleading to formal stakeholders. That misinterpretation becomes a part of a static document for a number of years. And, in turn, plans become difficult to implement by informal stakeholders. That is due usually to informal stakeholders' lack of technical jargon and unwieldy plan formatting (Arnstein 1969; Campbell and Marshall 2000). Plan content leaves little applicability for them to relate to; that can be a dangerous situation threatening to discourage planning efforts (Chettiparamb 2007).

Formal planning is hierarchical in structure and relies on technical, explicit thought processes (Portugali 2000; Thomas 1996; Portugali 2003; Kelly 1994; Flyvbjerg 1998; Portugali 2000). Because of this, information flows through distinct vertical patterns up and down the chain of power and influence of the that group (Portugali 2000; Portugali 2003). Elected officials are taught formal participation by planning

professionals, and local residents are engaged through the citizen participation process (Arnstein 1969.; Friedmann 1987; Forester 1989; Kelly 1994). Formal stakeholders' world view consists of working towards collective or public goods. Influential stakeholders' personal viewpoints sometimes become de-facto interests of the community (Forester 1989; Campbell and Marshall 2000; Monge and Contractor 2003). Overt power and covert influence is often established and perpetuated through the land use planning information (Campbell and Marshall 2000). Combined, that is the world-view of the formal sub-network[28] of community planning (Kelly 1994; Flyvbjerg 1998; Campbell and Marshall 2000; Portugali 2000; Meehan 1977; Portugali 2000; Chettiparamb 2007).

Stakeholders operating outside of that formal sub-network are hereby referred to herein as the informal sub-network of community planning implementation[29] (Meehan 1977; Portugali 2000; Flyvbjerg 1998; Forester 1999; Campbell and Marshall 2000; Portugali 2000; Harwood and Myers 2002; Flyvbjerg, Bruzelius et al. 2003; Harwood 2005; Chettiparamb 2007). Informal planning occurs when informal stakeholders feel either disengaged or would prefer to work outside of the formal process for their property, block, neighborhood, and greater community (Campbell and Marshall 2000; Ehin 2004). While they are sometimes convinced to do something for the collective good of the community, their world view also looks out for their own self-interests (Campbell and Marshall 2000; Monge and Contractor 2003). Latent power and influence guide the group's involvement (Chettiparamb 2007). The group has a much wider range of perspectives because the realities they deal with are much more complex (Branch 1981; Campbell and Marshall 2000; Chettiparamb 2007). The work of the informal sub-network is largely conducted without the technical, explicit knowledge[30] that planning professionals are privy to (Campbell and Marshall 2000; Ehin 2004). Yet, tacit knowledge (everyday, indigenous perspectives) produces explicit knowledge (Ehin 2004). And, some of that explicit knowledge remains within the informal sub-network, and some is transferred into the technical jargon of the formal sub-network (Campbell and Marshall 2000; Chettiparamb 2007).

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[28]*Formal Sub-Network:* the sub-network within the broader community planning process where those within the rational planning process utilize explicit knowledge, bonding social capital, and overt power and influence.

[29] *Informal Sub-Network:* the sub-network within the broader community planning process where community members work together. Tacit knowledge, bridging social capital, and latent power and influence characterize this sub-network. This group drives the continuous planning process.

[30] …is the captured and cataloged knowledge made ready for people to use.

FLEXIBLE ALIGNMENT

Flexible alignment means having an elastic vision and purpose in planning capacity. The transient nature of informality in planning means adjusting the alignment of priorities to planning efforts. Communities are not static in nature, nor are planning processes. Flexible alignment is the fourth trait of the tool.

Saul Alinksy (1972) spent a great portion of his career mobilizing those outside formal planning implementation. Those informal stakeholders were underprivileged, younger, less-entrenched individuals looking to make a difference. His biggest challenge was that such individuals often became despondent about their planning efforts. They use different methods to communicate than formal stakeholders, and they operate within highly organic organizational systems (Alinsky 1972).

Charles Ehin (2004), organizational theorist, discusses open systems approach to leadership in his book, Hidden Assets: Harnessing the Power of Informal Sub-networks. He discusses the organizational approach of smart organizations (Ehin 2004). His approach can readily be applied to community plan and planning activity implementation. It is summarized as follows:

1) *Knowledge and knowledge professionals can't be managed in the traditional sense,*
2) *All life forms are self-organizing systems by design, down to their individual cells and molecules.*
3) *All biological systems have genetically transmitted behavioral tendencies modified by their life experiences for responding to different environmental conditions.*
4) *The more an institution supports the principles of self-organization openly, the more social capital and tacit knowledge it will generate which, in turn, will lead to increased levels of innovation and entrepreneurship.*

He also lists longitudinal societal success factors of "un-management" of self-organizing systems (Ehin 2004). Those may be the key to encouraging informality to co-exist more readily in traditionally formal planning efforts. They are:

1) *Live in relatively small very interdependent groups*
2) *Maintain high, sustained levels of reciprocity, egalitarianism, and practiced consensus decision-making*
3) *Members own their own means of production*
4) *Emphasize individual autonomy and self-reliance tempered with social responsibility and accountability*
5) *Practice situational or shared leadership with no status differences*

In every community it is important for some formal and some informal stakeholders' work to be generalized to connect the specialized stakeholders involved. If the majority of the stakeholders involved in a community's planning efforts are narrowly engaging others, there is a higher likelihood alignment isn't occurring if this work isn't being bridged or connected by power brokers.

Formal stakeholders are more often generalized – that is working for the public good on numerous types of issue areas for the community- due to their neutral roles in the community. Informal stakeholders are more often specialized -working towards self-interests on a more narrow range of community issues. However, it is just as important to have generalized informal stakeholders to help support informality and to serve the public good in planning efforts (behind the scenes work to align and re-align the communities' varied issues).

EFFECTIVE TIMING

Communities constantly face evolving challenges. Thus, the capacity to do planning implementation is an ongoing process. Charles Lindblom's incrementalism argues formal stakeholders do not need to seek prior consensus in order to make sound decisions in the short run. Incrementalism is also known as "muddling through" (Lindblom 1959; Chilton 2003). By emphasizing short-term needs, incrementalism sees comprehensive capacity assessment as unrealistic (Etzioni 1989). Accordingly, judging the effectiveness of the timing of planning capacity is the fifth trait of the tool.

Building on incrementalism, Amatai Etzioni proposed a "mixed scanning" approach (Etzioni 1968; Etzioni 1991; Etzioni 1993; Etzioni-Halevy 1997; Etzioni 1998). That approach combines rational core decision making and long term visioning with incrementalists' emphasis on pressing needs of the immediate time period (Etzioni 1989). One follows the other and cycles back to the beginning. His critique of rationalism argued that a full scan of all relevant data and choices is theoretically and realistically impossible. Etzioni also critiqued incrementalism by arguing that it did not distinguish between core and peripheral matters (Etzioni 1989). If formal stakeholders are limited to the exclusive use of Lindblom's incrementalism (Lindblom 1959), the ability of our communities to climb out of short-term difficulties is reduced (Branch 1981; Kelly 1994; Campbell and Marshall 2000; Flyvbjerg, Bruzelius et al. 2003).

The opinions of Melville C. Branch[31] have been largely absent from contemporary planning theory and practice. Branch argues that traditional master planning falls short in the ability of a community to do planning implementation (Branch 1981). He summarizes:

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[31] Former member of the Board of Planning Commissioners for the City of Los Angeles and author of <u>Continuous City Planning (1981)</u>

1) *The picture of the physical city 20-25 years in the future shown by traditional end-state master plans does not represent what the community wants nor what is possible, but what city planners' wish could be.*
2) *Physical plans do not treat financial, economic, political, social, technological, and other "non-physical" realities which must be incorporated in meaningful city plans.*
3) *Traditional city plans are formulated as if the municipal government can provide whatever funds are needed and will enact whatever laws and regulations are required to achieve the end-state city planners believe is desirable for many years to come.*
4) *The end-state depicted in city plans is so far in the future and so idealized that it does not represent the outcome of a feasible sequence of shorter-range municipal operations and attainments.*
5) *City planning has attempted to function independently of politics and separately from the administrative processes of the municipality.*
6) *Past city planning has presumed that it can avoid the primary, most pressing, and most difficult urban problems.*
7) *Master city plans are conceived and issued as inflexible printed publications, revised and republished only at long intervals, regardless of changing conditions and events.*

Branch suggests several modifications for improving capacity by employing a more ongoing process (Branch 1981). They are as follows:

1) *In continuous city planning – unlike traditional city planning – certain elements of the city are projected far into the future, others into the mid-range, and some into the near future, and a few are not projected at all.*
2) *City planning should be the central mechanism for synthesizing – not formulating – the operations, budgets, and functional plans of the different [city] departments, with relation to the total city system and its projected future.*
3) *Information must be available to represent the state of each element analyzed [in the planning process].*
4) *There is a limit to the amount of core information and analysis that can be processed, maintained, and conceptualized for regular reference and decision-making.*
5) *Both ongoing and emergency reformulation should be borne in mind when determining the process, procedures, and mechanisms of continuous city planning.*

Juval Portugali (2001, 2003) discusses a similar concept in "Planning Just-in-Time versus Planning Just-in-Case." Essentially planning implementation can be "just-in-time[32]" where traditional hierarchical models force out informality. That, in turn, limits the ability of key stakeholders to effectively engage. He proposes a "just-in-case[33]" alternative. The "just-in-case" approach relies on engaging a community's full network of stakeholders (including those working informally). It embracing self-organizing and emphasizes an open system approach (Portugali 2000; Portugali 2003).

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[32] A Fordist, mechanistic model.
[33] A Toyotist organic model

ACCESSIBILITY OF LEADERSHIP

The sixth trait of the Engaged Planning Community Tool is assessing the accessibility of both informal and formal leadership –key stakeholders. Communicating with current leaders is important to planning capacity. Becoming a leader and potentially "joining" the core group of stakeholders is also important.

Angelique Chettiparamb picked up on this notion of ongoing planning capacity in "Re-conceptualizing Participation in Planning: A View through Autopoiesis." Autopoiesis is "a self-organizing system." The concept evolved out of science, was translated from social science theory, and was transferred into community planning. Chettiparamb's work is seminal in describing an open network style of leadership.

This includes both the idea of communicating with existing leadership and also how informal and formal stakeholders can become leaders within community planning efforts –the two tenants of leadership accessibility.

Chettiparamb (2009) discusses how a community planning process can be modified to embrace informality in plan development and planning action (Chettiparamb 2007). Embracing informality is key for leadership accessibility. The author notes first how societies are autopoietic (open systems) in nature.

FIGURE 1
The Process of Planning the People's Planning Campaign, Kerala, India
Source: Chettiparamb, 2005.

Figure 4. Second Order Approach to Planning (Chettiparamb 2007)

The author then develops the notion of "planning of planning." Typical planning approaches address plans and planning activity in a "first order sense[34]" where planning professionals are directly involved in all aspects of implementation. That approach, by default, controls informal key stakeholders'
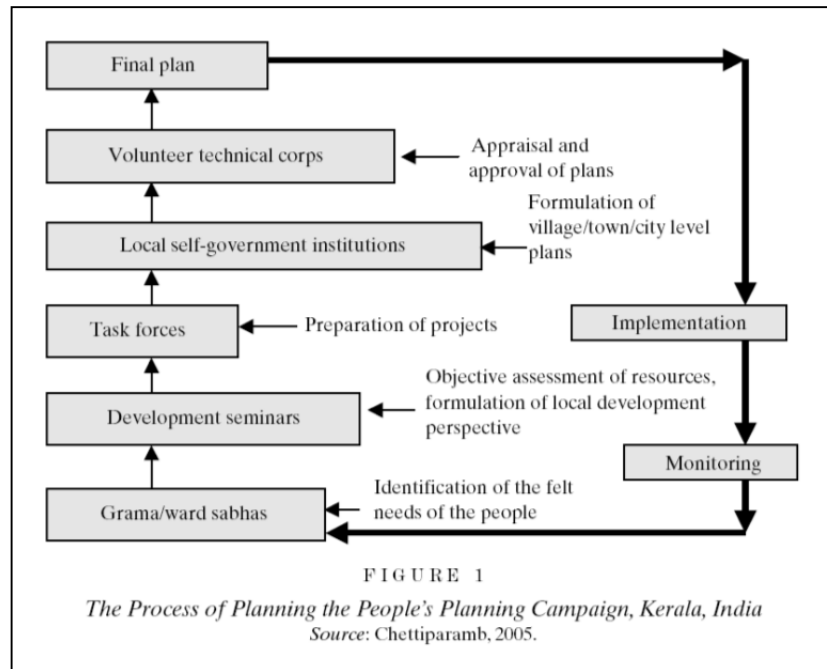
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[34] "the first order process is opened up and incorporates many stakeholders, including planners, citizens, different types of 'experts', politicians, bureaucrats, and so on…This level of planning links more to system principles and is concerned with how entities within it are related to each other to produce systems objectives, how parts within it, which can have an independent existence, come to be constituted as parts of the system, how entities constituted within the systems achieve variability while remaining part of the system, and so on." (Chettiparamb 2007)

participation and informality is sidelined. In other words, communicating with leadership that is not readily accessible and the ability to become a leader in planning implementation efforts is limited. Chettiparamb instead proposes a "second order" approach with the indirect planning of implementation. Indirect planning acknowledges key stakeholders' informal participation is key to implementation and it cannot, and should not, be directly controlled as control stifles its chaordic abilities (Chettiparamb 2007). The open nature of a second order approach affords greater leadership accessibility.

Figure 4 is Chettiparamb's framework showing how the "second order approach" of planning (the planning of planning) works within her case study. Chettiparamb developed extensive lists on how to empower bottom-up participation by community members without controlling the inputs they give to the system. Chettiparamb's model includes the importance of latent and overt influence, tacit and explicit knowledge, bonding and bridging social capital, and most importantly formal and informal participation (Chettiparamb 2007).

Stakeholders can accomplish a second-order approach by cultivating the open-system nature of their organization, and empowering people to participate when they want (Monge and Contractor 2003; Campbell and Marshall 2000; Portugali 2000; Ehin 2004; Chettiparamb 2007; Gilchrist 2007). Some participate as "professional activists," while others "plug in" when they have time or are particularly interested in a planning issue or situation. Autopoiesis is crucial to the existence, perpetuation, and success of informal participation but is completely uncharacteristic of formal participation (Portugali 2000; Chettiparamb 2007). However, formal operations cannot survive without input and participation from informal stakeholders (Chettiparamb 2007).

Accessibility to leaders is a regular challenge when working to integrate formal and informal planning. Informal stakeholders' participation is often viewed as problematic by formal stakeholders (Branch 1981; Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003). Their rich perspectives and efforts to plan for their own community represent a direct threat to the neat, orderly, and rational nature of formal planning efforts (Friedmann 1987; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003). In effect, it seems there is a general attempt by formal stakeholders to disassociate from such uncoordinated and undefined chaotic processes because of their perceived "non-technical" and "irrational" nature (Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003). Social movement theory, local politics, deliberative democracy, organizational theory, social capital, social psychology, and social network theory all identify, at least peripherally, definitive processes working directly against or at least in competition with formal planning (Wasserman and Faust 1994; Blee and Taylor 2002; Diani and McAdam 2003; Boyte 2004; Gastil and Levine 2005; Zuckerman 2005). In fact, taking it a step further,

there are numerous examples describing how informal stakeholders direct planning efforts from time to time (Flyvbjerg 1998; Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003).

Two studies served as key precedents for assessing leadership accessibility patterns in developing this research. A 1970 study by Blankenship conducted an audit of both formal and informal power stakeholders (stakeholders) within a community. His audit explored who was communicating with key leaders and the perceptions of how open the network was to adding new leaders. He found significant correlation between formal stakeholders in prominent positions and those with reputational influence –a key attribute to traditional leadership accessibility. Individuals identified by their social participation and decision-making abilities were more diverse. They did not as often hold formal community power but were identified as informal stakeholders with influence –a key attribute to becoming a leader (Aiken and Mott 1970). A similar study by Robinson and Clifford (1974) indicates formal stakeholders are more easily identified in cliques. Informal stakeholders are more dispersed and numerous within the community as they do not need the technical knowledge of those cliques to take action in their community. Informal stakeholders with connections, lay expertise, or other power can still achieve change (Robinson and R.A. Clifford 1974). This is yet another example of leadership accessibility through communicating with current leaders and also becoming one.

COMMUNICATIVE SKILL

Assessing communicative skill is the seventh trait of this tool. This trait explores key informal and formal stakeholders' ability to communicate effectively in unison through the use of both power and influence. This is perhaps one of the most challenging traits for communities to master as stakeholders change and they may or may not have leadership training or expertise regarding what good planning capacity looks like.

According to Eric P. Canada, of Blane Canada, Ltd. (a nationally-renown economic development research consultant), power is "the ability to make a decision and have others abide by the decision." And, influence is "indirect power and the ability to sway people in authority" (Canada 1983). Those two concepts correspond to how effectively ideas are implemented in community planning capacity. Communicative skill means stakeholders possess the ability to wield both.

Power relations between formal and informal stakeholders are perhaps the largest challenge to having sound planning capacity (Branch 1981). Little recent research has explored the dynamic between those

two groups. That is especially true as related to capacity in community planning leadership (Powers 1975). In formal participation planning professionals impart their technical knowledge, politicians exert political pressure to receive the "best" scenarios for their constituencies, and informal stakeholders attend city council meetings to exert influence on planning efforts (Peterson 1981; Flyvbjerg 1998; Forester 1999).

Formal stakeholders often have easier access to the power structures due to their existing technical knowledge, community involvement, and roles within planning (Powers 1975; Campbell and Marshall 2000). Thus, engagement of informal stakeholders is often lopsided and becomes ineffective. Flyvbjerg (1999), along with Forester (1999) and Innes (1999), follows in a long line of so-called power-theorists leaning towards the Habermasian notion of communicative rationality (Healey 2003). They posit social power structures determine interaction (Healey 2003) and call for formal stakeholders to use their technical expertise in planning. However, that system relies heavily on consensus building and on position-based and interest-based methods.

Informal stakeholders sometimes fight for altogether different priorities. It is not well understood how informal stakeholders effectively assert influence, or communicate, outside formal planning activity (Branch 1981; Portugali 2000; Chettiparamb 2007; Gilchrist 2007). Social movement theory, local politics, deliberative democracy, organizational theory, social capital, social psychology, and social network theory all investigate, at least peripherally, that issue (Meehan 1977; O'Neil 1995; Lin 1999; Clark and Lipset 2001; Dekker and Uslaner 2001; Edwards, Foley et al. 2001; Diani and McAdam 2003; Ehin 2004; Zuckerman 2005).

A SUSTAINABLE APPROACH

The next trait used to formatively assess planning capacity by a community is the sustainability and comprehensiveness of the approaches being employed by stakeholders. That is important because there are differing world views and consequent competing community priorities. If social, economic, or environmental priorities are prioritized over the others, there is a tendency of a community to have an imbalance of self-interests with collective interests.

Some planning experts advocate land use planning and implementation as a means to a sustainable ends (Platt 1996; Berke, Godschalk et al. 2006), while others tout more holistic, ongoing approaches (McDonough and Braungart 2002). John Friedmann's "Areas of Planning in Market Societies" lies more towards latter end of the implementation spectrum (Friedmann 1987). Eliminating the area not scalable to communities (national security planning), Friedman's list consists of city planning, social planning,

environmental planning, economic planning, and regional planning. The framework for understanding local problem solving (planning capacity) exists within Friedmann's directory (Friedmann 1987). Each of Friedmann's items listed below deals with specific plans and planning activities for a community's pertinent resources.

FRIEDMANN'S AREAS OF PLANNING IN MARKET SOCIETIES

City Planning

- *land use (zoning, public facility location)*
- *local transport (highways, rapid transit, airports, ports)*
- *urban redevelopment*
- *urban redevelopment*
- *urban design*
- *conservation of the built environment*
- *community development (neighborhood planning)*

Economic Planning

- *investment for economic growth*
- *full employment (anti cyclical)*
- *monetary policy (anti-inflation, pro-growth)*
- *trade policy (tariffs, etc.)*
- *incomes (redistribution)*
- *employment (education, job training)*
- *strategic resources (energy)*
- *science policy (research and development)*
- *sectoral policies (agriculture, transportation, etc.)*

Social Planning

- *"safety net" for the victims of market rationality (unemployment insurance, workmen's compensation, retraining)*
- *social welfare services and transfer payments*
- *meeting individual and collective needs (health, education, housing, old age, day care)*

Environmental Planning

- *residuals management and anti-pollution*
- *public lands management*
- *water resources*
- *resources conservation*
- *wilderness preservation*
- *protection of rare species*
- *protection of fragile and unique environments*

- *energy (alternative energy)*

Regional Development Planning

- *natural resources development (irrigation, hydro-energy, integrated river basin development)*
- *regional economic development (inter-regional inequalities, special problem areas, urban-rural "imbalance"*
- *migration and settlement policy*
- *location of industry (growth centers)*
- *regional transportation*
- *comprehensive rural development*

~~National Security Planning (national, state, local)~~

Friedmann, however, is not considered an expert in sustainable community planning approaches. McDonough and Braungart, authors of <u>Cradle to Cradle</u> -a seminal book on sustainability- are two of the most highly regarded experts on the subject. In their book, community problem solving is examined from another perspective. The book explains how communities struggle to balance social (equity), environmental, and economic issues, often prioritizing one or two of the components over the other(s). Having said "all sustainability is local," McDonough and Braungart recognize that those three components are addressed through social networks within a local community (McDonough and Braungart 2002).

Cornelia Flora (1997) succinctly summarizes resource areas community planning implementation attempts to problem solve for in a list that mirrors Friedmann's and incorporates McDonough and Braungart's more holistic premise of sustainability. Flora's list includes human, environmental, financial, social, and political capital –five cohesive areas to assess how sustainable a community planning implementation is (Flora 1997). Flora separated political, social, and cultural capital; however, for the purposes of this research they are too closely intertwined and have been combined. Environmental capital has been separated into environmental (natural resources) and physical capital (built environment) as they are two very different issue areas. Combining Friedmann's Areas of Planning to Flora's list of Community Capitals, the following list of community issues was developed by the researcher for this diagnostic tool (Friedmann 1987; Flora 1997).

COMMUNITY ISSUE AREAS IN SUSTAINABLE PLANNING IMPLEMENTATION EFFORTS

Human Capital

- *Community Development*
- *Economic Development*
- *Poverty*
- *Education*
- *Unemployment*

Financial Capital

- *Residential Growth*
- *Commercial Growth*
- *Industrial Growth*

Social Capital

- *Youth Wellbeing*
- *Senior Citizen Wellbeing*
- *Healthcare*
- *Social Welfare*
- *Culture*
- *Diversity*
- *Crime*

Physical Capital

- *Land Use*
- *Regional Transportation*
- *Rural Development*
- *Urban Development*
- *Downtown Redevelopment*
- *Regional Planning*
- *Neighborhood Planning*
- *Public Space*
- *Urban Design*
- *Housing*
- *Disaster Planning*
- *Utilities*

Environmental Capital

- *Energy*
- *Biodiversity*
- *Wilderness Preservation*
- *Resource Conservation*
- *Water Resources*
- *Pollution*
- *Agriculture*

Formal planning often focuses on land use priorities (environmental and economic) (Campbell and Fainstein 1996). Informal planning deals with all types of community issues, but stakeholders are more often specialized in one or a few of those five community capital areas (Flora 1997). Together formal and informal stakeholders overlap in their work to assist their community to plan for their futures.

RATIONALITY AND PRACTICALITY

The final trait assesses rationality and practicality in the planning capacity of a community. Rationality is the foundation of American planning. This trait evaluates how realistic and practical a community's planning efforts tend to be. That includes reviewing how "in sync" the full network's participation is, regardless of the planning approach they are utilizing.

Rational planning is based on the economic theory of maximizing utility and efficiency. It ideally balances personal and collective rights (Platt 1996). Two very distinct realms of publication exist pertaining to this topic. One encompasses conventional theorists where rational planning is implemented by formal stakeholders (Altshuler 1965; Habermas 1971; Foucault 1982; Friedmann 1987; Flyvbjerg 1998; Stein and Harper 2003). The other explores more liberal concepts like grassroots planning (Christenson and Jerry W. Robinson 1989; Etzioni 1989; Zukin 1995; Chase, Crawford et al. 1999; Sandercock 1999; Healey 2003).

Rational planning is arguably subjective at best (Arnstein 1969; Branch 1981; Campbell and Marshall 2000; Flyvbjerg, Bruzelius et al. 2003; Monge and Contractor 2003). It is not possible to be values-neutral while "rationally" planning (Forester 1999). Inevitably stakeholders manipulate their efforts through bluffing, deceiving, negotiating, posturing, or falling subject to political vulnerability. In fact, John Forester's critique of Flyvbjerg's Rationality and Power: Democracy in Practice (1999) cites how planners interject values aiming for best-case implementation (Forester 1999).

James A. Christenson and Jerry W. Robinson, Jr. cite self-help, technical assistance, and conflict as three rational models to implementing community-wide efforts (Christenson and Jerry W. Robinson 1989). Additional normative rationality systems include Social Learning Theory (Bandura 1977), Social Mobilization Theory, and Transactive Planning Theory (Friedmann 1987). Those models do not attempt to assimilate formality and informality beyond possibly collaborative planning, incrementalism, and mixed scanning. Thus, formal stakeholders struggle to engage in the amalgamation of formal and informal power and knowledge. After all, best-case scenarios are formal stakeholders' stated priority, regardless of how attainable they may be with current resources and the political climate (Branch 1981; Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003). Meanwhile, informal stakeholders are bound by economic, environmental, and social private-sector realities.

In practice, technical rationality often prevents formal stakeholders from effectively engaging informal stakeholders (Arnstein 1969; Branch 1981; Campbell and Marshall 2000; Flyvbjerg, Bruzelius et al. 2003; Chettiparamb 2007). They do not know how to utilize or engage non-expert and non-technical information found within informal participation (Branch 1981; Campbell and Marshall 2000; Portugali 2000; Chettiparamb 2007; Gilchrist 2007). Information changes and new issues evolve (Branch 1981; Portugali 2000; Chettiparamb 2007). Rationality can be subjective (Branch 1981; Portugali 2000; Monge and Contractor 2003; Chettiparamb 2007). Cities are rarely run by stakeholders with enough power to implement large-scale activity (Caro 1975; Branch 1981). Different stakeholders have different priorities for different issues and thus participate differently in community planning (Chettiparamb 2007). They all work on coming up with solutions—*and they each believe they are rationally planning* (Chettiparamb 2007). Communities can become victims of stakeholders' competing world views (Campbell and Marshall 2000).

Simply getting informal stakeholders to participate solely on formal stakeholders' terms risks missing the richest efforts going on outside formal planning (Arnstein 1969; Branch 1981; Zukin 1995; Barrett 2002). There is a disconnect between formal and informal stakeholders due to divergent world views (Campbell and Marshall 2000; Portugali 2000; Gilchrist 2007). That is why apathy is strong about planning (Campbell and Marshall 2000).

One of the best examples illustrating those phenomena is Bent Flyvbjerg's seminal book <u>Rationality and Power: Democracy in Practice</u>. It is a classic story of what can "go wrong" when formal stakeholders do not effectively understand and engage informal stakeholders operating outside of their process. Their efforts miss what was really involved in informal planning (Flyvbjerg 1998). Another famous example is the Burnham Plan of Chicago. Perhaps the most famous plan in America, its creation and implementation

was spearheaded by informal stakeholders. However, it largely fell short as informal stakeholders' self-interests fractured the public's collective vision during implementation (Smith 2006, Burnham 1993).

Despite those ongoing challenges, new systems are beginning to emerge, irrespective of formal planning, attempting to address the limitations. Although not as extreme as Foucault, Stein and Harper discuss trust as an important notion missing in realistic planning efforts (Stein and Harper 2003). Informal trust systems are cited within the published literature of Harry Boyte (Boyte 2004), Jim Diers (Diers 2004), and Sirianni and Friedland (Sirianni and Friedland 2001). In fact, informality and formality in planning intersect through such "social capital." Rationality and practicality are necessary components in assessing the ability of a community to do planning implementation.

INTEGRATING SOCIAL NETWORK THEORY INTO PLANNING APPLICATION

Tying the concepts together in the development of the diagnostic tool allows for a comprehensive diagnostic method. The traits aid a community in assessing ability to do planning implementation and are useful to identify areas of improvement in planning capacity.

To summarize, the diagnostic tool developed within this research has nine traits formatively assessing community planning capacity. Each trait has a corresponding theoretical social network concept. The social network theories are derived from Monge and Contractors' Theories of Communication Networks. First, the theories explain tendency patterns of planning capacity observed in a given community; second, they reveal how to improve within that pattern.

This next section explores the relationship between these social network theories and the planning capacity premises described above. The nine traits form the topical assessment areas of the diagnostic tool formulated within this research. Below is the summation of each of the nine theories as applied to its specific planning capacity trait. Together they are the traits of an "Engaged Planning Community." The theories are as follows:

TRAIT NAME	TRAIT DESCRIPTION	Innes and Booher 1999	Margerum 2002	Innes and Booher 2007	Laurian and Shaw 2008	Monge and Contractor 2007
Broad-based stakeholder representation	informal and formal stakeholders	x	x	x	x	Social Exchange Theory
Broad-based participation	informal and formal participation	x	x	x	x	Mutual Interest Theory
Inclusion of many information types	alternate world views	x	x	x	x	Structural Holes Theory
Flexible alignment	elastic vision and purpose	x	x	x	x	Self-Interest Theory
Effective timing	ongoing implementation	x		x		Transaction Cost Economics Theory
Accessibility of leadership	open network	x		x	x	Balance Theory
Communicative skill	egalitarian wielding of power and influence	x		x	x	Network Exchange Theory
Sustainable approach	human, environmental, financial, social, and physical capital		x	x	x	Prisoners Dilemma Theory
Rational and practical	reality-based	x	x	x	x	Evolution Theory

Table 2. The Nine Traits of Planning Capacity and Corresponding Social Network Theories

ASSESSING BROAD-BASED STAKEHOLDER REPRESENTATION

First, this diagnostic tool assesses the extent to which formal and informal stakeholders are involved in a community's planning efforts. Formal stakeholders become key participants because it is their responsibility as rational, technical experts to do so. Informal stakeholders are key participants because they take ownership by owning property and businesses and help promulgate the communities' wellbeing by living in the community. Social Exchange Theory posits that stakeholders create, maintain, and dissolve relations based on resources and attributes they have or need versus the resources and attributes others in the network have or need (Monge and Contractor 2003). In other words, they participate when it is beneficial (to them or to their community they want to aid).

ASSESSING BROAD-BASED PARTICIPATION

Second, the informal and formal sub-networks of community planning aren't mutually exclusive of one another. They inevitably work together as stakeholders successfully engage each other. The extent to which that occurs is also measured in this diagnostic social network analysis through uncovering formal and informal participation. To reiterate, Mutual Interest Theory (Monge and Contractor 2003) states that participation occurs where there are benefits from coordinated action. Public Goods Theory is a specific

example of mutual interest theory where collective action is needed to create or maintain community resources for everyone to use. That is common in community planning capacity.

ASSESSING INCLUSION OF MANY INFORMATION TYPES

Formal and informal stakeholders in planning often struggle to communicate with each other because there is a disparity of world views and different information types employed (Branch 1981; Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003). This is the third trait to formatively assess in planning capacity. Technical, rational, expert information competes with local, indigenous information. Formal and informal stakeholders use both; but, assessing to what extent is important to understand. Structural Holes Theory (Monge and Contractor 2003) acknowledges stakeholders accumulating information or knowledge invest in social opportunities from which they expect to benefit. This trait assesses how the inclusion of different world views aligns with the perceived benefit of participating in planning efforts.

ASSESSING FLEXIBLE ALIGNMENT

Each community is a self-sustaining, autopoietic system. That status suggests two traits, flexible alignment and effective timing (Monge and Contractor 2003; Ehin 2004; Chettiparamb 2007). At any given point in time a community planning network's composition and influence is changing. Ties (relationships) connect and disconnect depending on communication patterns. Evolving power and influence, stakeholders' participation rates, and changing community issues cause varying degrees of communicative symbiosis in planning capacity. Patterns of participation ebb and flow as network characteristics evolve. Participation is largely issue-based nowadays (Chettiparamb 2007). This is explained by Self-Interest Theory (Monge and Contractor 2003). Elastic vision and purpose for a community's planning efforts is explained by self-interest theory, where attributes of an individual determine whether or not stakeholders create, maintain, or dissolve relationships. Individuals' collective needs drive planning priorities.

ASSESSING EFFECTIVE TIMING

Transaction Cost Economics Theory (Monge and Contractor 2003) asserts that supply and demand (the economy) drives whether people exchange goods or ideas. That explains how individuals' collective needs determine when certain implementation efforts occur (effective timing). If a developer is ready to

implement a project or initiative, they will -sometimes regardless of what the community's long-term plan encourages them to do.

ASSESSING ACCESSIBILITY OF LEADERSHIP

Accessibility of leadership and communicative skill are important traits to assess as well. Balance Theory (Monge and Contractor 2003) posits communication between individuals is predicated on the presence of their ties to the rest of the network. If leadership is accessible and egalitarian a more organic, not mechanistic, model helps a community implement planning. Sometimes the informal sub-network of planning is so powerful and influential it trivializes[35] the formal sub-network's efforts. On the other end of the spectrum, core formal stakeholders can be so influential and powerful they essentially run the community. They avoid engaging informal stakeholders minimally[36], if at all.

ASSESSING COMMUNICATIVE SKILL

Network Exchange Theory (Monge and Contractor 2003) argues individuals' power is a function of their vulnerability to be excluded from communication and other exchanges. If stakeholders control resources in planning they have more power and influence. Sometimes the informal sub-network can have as much, if not more, communicative skill as the formal sub-network in planning efforts. But that is not an absolute rule (Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003; Chettiparamb 2007). Members of both formal and informal sub-networks "win" battles in planning efforts (Campbell and Marshall 2000; Altshuler and Luberoff 2003; Flyvbjerg, Bruzelius et al. 2003).

ASSESSING A SUSTAINABLE APPROACH

Cities are extremely complex and dynamic systems (Portugali 2000; Chettiparamb 2007). Assessing how sustainable a community's implementation activities and plans are and how integrated community resources (human, environmental, financial, social, physical capital) (Flora 1997) are reveals how some priorities may be outweighing others, are balanced, or need to be emphasized. Prisoners Dilemma Theory (Monge and Contractor 2003) asserts while mutual cooperation is the best choice between stakeholders,

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[35] An example of this is the Chicago Burnham plan and implementation process.

[36] An example of this is Mr. Potter in the famous movie "It's a Wonderful Life." Another example is Robert Moses' carte blanche power to overhaul the infrastructure system of New York City. Flyvbjerg's Aalborg is a great instance of this dynamic. (Flyvbjerg 1998)

self-interests overrides at times in decision-making. If specific issues or resources of a community are focused upon or held as higher priorities over others because of self-interests, a community will suffer long-term.

ASSESSING RATIONALITY AND PRACTICALITY

Last, the diagnostic tool assesses how realistic planning efforts are within a community. This trait is especially important to determine capacity for alignment with pre-set goals and priorities. Evolution Theory (Monge and Contractor 2003) argues networks have a greater chance at surviving with duration of the same stakeholders, smaller group size, adoption of necessary changes. While ongoing implementation is necessary for a community to continually address its future, the researcher argues maintaining the same member list (inferring a closed network) isn't as critical as maintaining the realistic nature of the group's mission.

BRINGING IT ALL TOGETHER

In short, the diagnostic tool is designed to give communities a snapshot diagnosing the complex and chaotic processes of their planning capacity. Instead of trying to force a communication system into a hierarchical paradigm, social network analysis allows community leaders and planners to learn and recognize the autopoietic, networked nature of community planning. This is similar to the philosophy behind Monge and Contractor's MTML Framework (multi-theory, multi-level) construct for the complex nature of social networks analysis (Monge and Contractor 2003). Understanding communication patterns reveals structural holes in relationship patterns and participation methods within a community's broader planning process.

CHAPTER THREE

METHODOLOGY

INTRODUCTION

This chapter summarizes the framework for this research and the methodology employed. Developing a diagnostic tool to formatively assess the ability of a community to implement plans and planning activity included several steps. The steps are as follows.

CONCEPTUAL FRAMEWORK
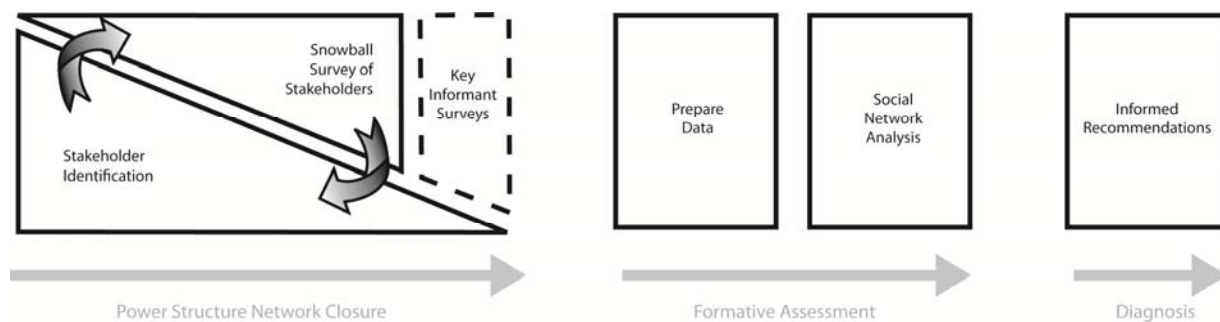
The graphic above illustrates the framework of this research. To begin, the researcher triangulated nine traits indicating the capacity to implement plans and planning activity within a community. Those traits are again explained later in this chapter. Measurement of those traits was undertaken with an unstructured survey technique. The sample was drawn through a snowball sampling method focusing on the power structure of those doing planning implementation within the community case study.

The snowball survey within this tool begins with the most overt, positional "power." That individual changes based on the form of government a community relies upon. For instance, in a Mayor-Council form of governance (strong Mayoral form) the Mayor would be interviewed. In a community relying on a Mayor-Council form of government with a City Manager (weak Mayoral form) or a Council-Manager form of government, the City Manager would be interviewed first. Multiple snowballs (depending on the goals of the application of the diagnostic tool) may be executed to see if different "cohorts" are interacting sufficiently.

The snowball survey was followed by key informant interviews to ensure network closure was reached. That secondary step verified that no key stakeholders are missing from the planning social network. From here, data was prepared for analysis and was visually drawn in social network maps.

The graphic below is an example of a social network map. It shows with whom individuals (dots) communicate (lines between dots). Some individuals have many relationships, while others communicate with no one and are isolates. The dotted circle shows a clique, or sub-network, within the larger network. Each relationship, or tie, represents the communicative connection between individuals. In this graphic, there are two main sub-networks. It shows how each "side" is "connected" through key individuals (stars) bridging the sub-networks (Wasserman and Faust 1994).

Figure 5. Example of a social network map.

To reiterate, this diagnostic tool was developed to investigate the capacity of a community's planning network as a snapshot. Relationships are temporary--people move, make different friends, join different groups, change jobs, motivations for involvement change, and different planning issues arise. After all, communities' issues are not static. Thus, social network maps are snapshots of such activity visually brought to life. They are an internal means for the tool administrator to understand the tendencies found within the community being assessed.

Next, the network was investigated with a power structural social network analysis[37]. Following that, results were compiled into a useable report for community review. Finally, that process was refined into a model diagnostic tool any community can utilize to formatively assess their community planning capacity.

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[37] All definitions of social network terms used within the remaining chapters are found in Appendix I.

RESEARCH ANALYSIS

Literature on social network analysis has grown exponentially in recent years. Wasserman & Faust (1994), Monge & Contractor (2003), and Kilduff and Tsai (2003) all write about how social networks allow the researcher to map who is involved in communication patterns, characteristics about the participants, and ways they communicate. Each of those three main texts has empirical formulas and analytical techniques for social network assessment.

In particular, Blee and Taylor's (2002) literature was preeminent in framing the semi-structured, snowball approach to social network analysis for this research. The snowball method begins with a known stakeholder and asks him or her to name others they perceive to have influence in dealing with community issues. The researcher also asks them to name several individuals they work with when they, themselves, deal with community issues. The researcher subsequently interviews those who have been named from the first interview. Blee and Taylor write, "Individuals are selected because they have particular experiences in social movements, such as different levels of activism in different factions of a movement, rather than because their experiences are representative of the larger population" (Blee and Taylor 2002).

They also state, "Such interviewing strategies have been particularly useful in research on loosely organized, short-lived, or thinly documented social movements and in studies that explore issues for which it is difficult to gather data through structured questionnaires, field observation, or documentary analysis…Through semi-structured interviewing, researchers can gain insight into the individual and collective visions, imaginings, hopes, expectations, critiques of the present, and projections of the future on which the possibility of the collective action rests and through which social movements form, endure, or disband" (Blee and Taylor 2002).

Blee and Taylor point out as people's participation comes and goes (depending on the issue(s) at hand), semi-structured interviewing allows the researcher to go back and conduct follow-up interviews with individuals to ascertain how their responses evolve over time. Opening the interview with closed-ended questions "discourages open-ended discussion, reflection, and rapport that make for a quality interview." They also discuss the importance of completing an interview with survey-style questions (Blee and Taylor 2002). Blee and Taylor's approach was utilized when developing the interview questions for this research. See Appendix A.

However, the snowball survey does not guarantee all key stakeholders are identified within the power analysis network or that the findings of the snowball survey are, in fact, telling a true story of the capacity

to do planning implementation within the community. As such, a secondary method to affirm the findings of the snowball survey has been included in this methodology.

Key informant surveys supplement and reinforce network information received through the snowball analysis. In "Key Informant Surveys as a Tool to Implement and Evaluate Physical Activity Interventions in the Community" the authors note how key informant surveys can be utilized as a secondary method to supplement information received during primary data collection (Eyler, Mayer, Rafii, Houseman, Brownson & King, 1999). Key informants are individuals who are typically highly involved in a community's planning network but are not mentioned as a result of the power analytical snowball survey method. The network structure revealed thru the snowball method and the information received through those interviews is then double-checked with the individuals to determine legitimacy. That added process reveals whether or not closure is reached or if another set of stakeholders was missing from the original snowball survey interview process. Examples of key informants to interview are: city planners, significant property or business owners within the community, key community organizational leaders, elected officials, or former formal stakeholders still within the community.

TRIANGULATION

> "Triangulation strengthens a study by combining methods...The logic of triangulation is based on the premise that no single method ever adequately solves the problem of rival casual factors. Because each method reveals different aspects of empirical reality, multiple methods of observations must be employed. This is termed triangulation. I now offer as a final methodological rule the principle that multiple methods should be used in every investigation. (Denzin 1978b:28) Triangulation is ideal." (Patton 2001)

Peter Monge and Noshir Contractor, authors of Theories of Network Communication, have embraced triangulation in developing a "Multi-theoretical, Multi-level *p Analytic Framework" (MTML Framework) to researching complex social networks. That is in stark contrast to the majority of social network analysis literature because most other authors' research frameworks are limited and narrow in scope. Examining a complex social network from only one or two levels (i.e. measuring individual stakeholders or network dyadic ties) often does not accurately depict what is really happening within a community's broader planning network (Monge and Contractor 2003).

Given the complexity of community planning networks, it is most beneficial to examine communicative dynamics from multiple directions. (Monge and Contractor 2003) This research method achieves that by triangulating answers to multiple questions from individual (node), relationship (dyad and triad), and

network-wide perspectives (global). Social network analysis software packages have advanced greatly in the last decade and are capable of processing complex research hypotheses within social network analysis.

To reiterate, the objective of this study is to develop a social network analysis tool to formatively diagnose—and therefore assess and understand—the capacity of a community to implement plans and planning activity. To do so, this research utilizes a multi-level (nine traits), multi-theoretical analytical framework to assess the complex patterns of a community's implementation network through the specific data sets. Results of the case study were collectively analyzed to refute or support this research statement: "This research examines the relationship between social networks of a community and its planning efforts; based upon this research, a model will be developed to formatively assess a community's planning capacity."

TRIANGULATING STAKEHOLDER PARTICIPATION

In the first step of the process the community's power structure of its planning capacity is identified by peer-reported co-participation through a power structure snowball survey. That peer-reporting is done by asking each interviewee, "Who are three individuals (by name) you have regular contact with in dealing with community issues?" Since the snowball survey starts with the individual with the most positional power in their community's form of governance, a power structure analysis of core stakeholders regularly involved in planning is performed.

Second, key informants confirm those results through "outsiders" perspectives. Those individuals are asked open-ended questions to refute or verify the results of the snowball survey. They are also asked for their own connections to the network to assess if they are, in fact, outliers to the core network.

Third, each interviewee is asked who they think are the most influential individuals in dealing with planning in their community. Both snowball survey and key informant interviewees are asked, "Who would you describe as the five most influential people in dealing with community issues? These individuals can be influential in either formal or informal social circles." This is done to cross-reference interviewees' general perspectives on who is influential in planning to those they immediately co-participate with in planning efforts.

UTILIZING THE TOOL

Each of the nine traits within this diagnostic tool has a set of six criteria to formatively assess the community's propensity towards it. The six criteria are used to determine if there is a "low tendency" (meaning the element is largely missing in the community's capacity to do planning implementation) or there is a "high tendency" (meaning the trait is commonly present in a community's planning capacity). Those six criteria, worth one point each, are answered from the internal social network analysis done on the responses of the snowball survey and key informant interviews. It is important to reiterate that the diagnostic tool is a formative assessment and not a summative evaluation in nature. The social network analytical methods used to assess the criteria within each trait are explained in the next chapter.

Again, each trait operationalizes a social network theory and is formatively assessed based on several social network analytical methods. The tool incorporates a formative assessment; evaluation of the social network mapping is mainly qualitative in nature. Much like the LEED evaluation process, once each trait is evaluated through the six criteria, total points are tallied for an overall diagnosis on whether or not a community qualifies as an "Engaged Planning Community." There are 54 total points possible. Classifications of "Engaged Planning Communities" are as follows:

Platinum Engaged Planning Community	**49-54 total points**
Gold Engaged Planning Community	**43-48 total points**
Silver Engaged Planning Community	**37-42 total points**

The following page is a template example of the worksheet developed within the tool for each trait. Collectively these worksheets form the report provided to the community after the tool is administered. It is intended to be the analysis provided by the tool administrator; no personal identification or content provided within the interviews is shared so that interviewee confidentiality is maintained.

ENGAGED PLANNING COMMUNITIES – REPORT CARD

Determining "Trait Name"

QUESTIONS TO ANSWER		
1. Question #1	☒ Yes	☐ No
2. Question #2	☐ Yes	☒ No
3. Question #3	☒ Yes	☐ No
4. Question #4	☒ Yes	☐ No
5. Question #5	☒ Yes	☐ No
6. Question #6	☒ Yes	☐ No

EXPLANATION OF RESULTS
This section is a detailed description of findings written by the administrator of the tool. It summarizes the internal findings without revealing the identity or content of participants' interviews.

FINAL ASSESSMENT	RECOMMENDATIONS
2/6	This section contains broad recommendations for the community to pursue to improve their community's planning capacity.

ASSESSMENT TOOL METHODOLOGY

This section describes how each trait's trending tendencies are assessed through the diagnostic tool. The following traits each have a set of six questions (trait characteristics) that are answered "yes" or "no." All nine traits are weighted the same. To receive a point for a question, the formative assessment must indicate a positive trend for that characteristic. Affirmative findings indicate "good" criteria for a specific trait based on the descriptions in the literature review. If any of the questions are answered negatively then it indicates a key element of that trait is missing and there is an opportunity for the community to improve in that area. The following sections introduce each trait within the methodology in further detail, including the assessment questions (or characteristics) of that trait.

ASSESSING BROAD-BASED REPRESENTATION

Low amounts of broad-based representation are exhibited when only informal stakeholders, only formal stakeholders, or hardly anyone is involved in a community's planning implementation efforts. High broad-based participation is achieved when there is a tendency of both informal and formal stakeholders to be regularly engaged. Again, Social Exchange Theory posits stakeholders create, maintain, and dissolve relations based on resources and attributes they have or need compared to what others in the network have or need. In other words, they participate when it is beneficial (to them or to their community they want to aid). Broad-based participation, in short, is assessed by a wide-range of individuals wearing formal and informal "hats" as stakeholders (roles) and relationships. This trait is measured by:

- *Interviewees (a combination of snowball survey and key informant participants)*
- *Roles (relationship attributes between stakeholders)*
- *Tendencies towards informal and formal relationships*

Assessment Questions

1) *Are both informal and formal stakeholders recognized through peer-reported identification and by Key Informant interviews?*
2) *Do most interviewees indicate no dominance of a small amount of informal or formal stakeholders?*
3) *Do most interviewees indicate no lack of inclusion of key informal or formal stakeholders?*
4) *Do snowball survey participants affirm informal and formal stakeholder representation?*
5) *Is there inclusion (if these roles exist) of all of the following usual types of stakeholders in the core network: elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders?*
6) *Does the core group of stakeholders connect with minor stakeholders?*

ASSESSING BROAD-BASED PARTICIPATION

Low broad-based participation occurs when stakeholders engage in only informal or formal participation methods or operate independently of the broader network. High broad-based participation is exhibited when both informal and formal participation methods are utilized and formal and informal stakeholders engage each other. To reiterate, Mutual Interest Theory states participation occurs where there are benefits from coordinated action. Public Goods Theory is a specific example of mutual interest theory where collective action is needed to create or maintain community resources for everyone to use. Informal and formal participation indicates informal and formal stakeholders utilizing methods most beneficial for them in coordinated action (connectivity). This trait is assessed by several factors:

- *Community planning in job description*
- *Participation in an official capacity, volunteer basis, or both*
- *Overall connectivity patterns*
- *Network density*
- *Tendencies of individuals towards having informal or formal relationships*
- *Tendency of individuals utilizing informal or formal communication methods*
- *Tendency of individuals towards utilizing formal or informal locations*

Assessment Questions

1) *Is planning implementation part of at least some of both informal and formal stakeholders' job descriptions?*
2) *Do at least some informal and formal stakeholders report participating in both official and volunteer capacities in planning implementation?*
3) *Is the core network fairly dense (meaning "≥.6") so at least some of both of the informal and formal stakeholders appear well connected?*
4) *Is there a balance (not heavy reliance on one or other) of both informal and formal relations present among the majority of both informal and formal stakeholders?*
5) *Do most informal and formal stakeholders balance utilization of both informal and formal communication methods and locations?*
6) *Do the open-ended questions of all interviewees indicate there is common utilization of informality and formality by both informal and formal stakeholders?*

ASSESSING INCLUSION OF MANY INFORMATION TYPES

Low diversity of information types occurs when only a narrow range of information or world views are regularly utilized in a community's planning (tacit, explicit, technical information or indigenous, implicit, everyday information). High assessment occurs when there is a blend and a wide range of both. Structural Holes Theory acknowledges stakeholders accumulating information or knowledge invest in social opportunities from which they expect to benefit. This trait is measured by social network mapping of:

- *Tendencies to work on physical or non-physical community issues*
- *Diversity of knowledgebases*

Assessment Questions

1) *Do top key stakeholders participate in both informal and formal issues?*
2) *Do most informal stakeholders appear to be engaging in issues directly benefitting their role?*
3) *Do most formal stakeholders appear to engage in issues for the public good?*
4) *Are the majorities of both informal and formal stakeholders learning from both lay, indigenous information and professional, technical information?*
5) *Are the majorities of both informal and formal stakeholders using both lay, indigenous information and professional, technical information?*
6) *Are stakeholders effectively bridging information types?*

ASSESSING FLEXIBLE ALIGNMENT

Low levels of flexible alignment happen when there is a lack of an elastic, cohesive vision. Elastic vision and purpose for a community's planning capacity is explained by Self-Interest Theory, where attributes of an individual determine whether or not stakeholders create, maintain, or dissolve relations. Unfortunately individuals' collective needs drive implementation priorities of the collective, and the ability of these collective needs to disseminate throughout the network's power structure. This is assessed by social network mapping of the:

- *Individual work*
- *Collaborative work*
- *Motivation to participate*

Assessment Questions

1) *Are there informal stakeholders who are generalists and some who are specialists?*
2) *Are there formal stakeholders who are generalists and some who are specialists?*
3) *Are there informal and formal stakeholders strong in informal and formal individual work and collaboration?*
4) *Are formal stakeholders generally motivated to participate for the public good?*
5) *Are there some informal stakeholders with influence who are motivated to participate for the public good?*
6) *Do stakeholders sense there is a collective vision the community is working towards?*

ASSESSING EFFECTIVE TIMING

Low levels of effective timing are exhibited when stakeholder turnover prevents progress, there is a large one-time effort to create a plan (and then shelve it), and ongoing implementation is lacking. Transaction Cost Economics Theory asserts supply and demand results in people determining whether or not to

exchange goods or ideas. This explains whether or not effective timing is present in planning capacity based on individuals' collective needs. Assessing this trait examines short and long-term and one-time versus on-going participation patterns.

- *Participation rates*
- *Stakeholders' regularity of learning about community issues*
- *Tendency towards short-term planning implementation*
- *Tendency towards long-term planning implementation*

Assessment Questions

1) *Have most stakeholders lived in the community for less than 10 years?*
2) *Are most stakeholders not newcomers to participation in planning implementation?*
3) *Does stakeholder turnover allow for progress?*
4) *Do most stakeholders regularly learn about planning implementation issues?*
5) *Do most stakeholders regularly participate in planning implementation efforts?*
6) *Do the short-term economic interests not override the long-term vision of the community?*

ASSESSING ACCESSIBILITY OF LEADERSHIP

Low levels occur when informal stakeholders cannot become leaders or when formal leaders are inaccessible. High levels are found when many people can effectively affect and partake in planning efforts. Balance Theory posits communication between individuals is predicated on the presence of their ties to the rest of the network. If leadership is accessible and egalitarian a more organic, not mechanistic, model helps a community's planning capacity. This attribute of Engaged Planning Communities is assessed by the following social network maps:

- *Degree centrality*
- *Group affiliations*
- *Issue reciprocity*
- *Directional network*

Assessment Questions

1) *Does a mix of informal and formal stakeholders have strong ties through the amount of connections they have to other stakeholders?*
2) *Does the network appear to be overly decentralized?*
3) *Does the network appear to be overly centralized?*
4) *Does a mix of informal and formal stakeholders have strong ties through reciprocity?*
5) *Do the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public?*
6) *Does leadership appear accessible through both formal and informal channels?*

ASSESSING COMMUNICATIVE SKILL

When power and influence within a planning network is too highly concentrated low levels of this trait happen. High levels occur when power and influence is more dispersed among informal and formal stakeholders. Network Exchange Theory argues individuals' power and influence is a function of their vulnerability to be excluded from communication and other exchanges. If stakeholders control resources in planning capacity they have more influence and power. The social network maps utilized to assess this attribute are:

- *Bonacich Power*
  - *compared to group affiliations*
  - *with preference for strong or weak ties*
- *Self-reported influence in community issues*
- *Self-reported versus peer reported influence, by attributes*

Assessment Questions

1) *Do some formal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?*
2) *Do some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?*
3) *Are the informal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?*
4) *Are the formal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?*
5) *Are there stakeholders capable of garnering consensus towards a collective vision?*
6) *Are power and influence working together (not circumventing informality or formality) in this community?*

ASSESSING A SUSTAINABLE APPROACH

When a community's planning efforts focus on one or a few of a community's resources (capitals) then low levels of this trait are found. When none of a community's resources are being ignored or valued at greater levels than others high levels of this trait are exhibited. Prisoners Dilemma Theory asserts while mutual cooperation is the best choice between stakeholders, self-interests overrides at times in decision-making. If specific issues or resources of a community are focused upon or held as higher priorities over others because of self-interests a community will suffer long-term. In other words, a balance of individuals focusing on self-interests within each of the five community capital areas is necessary in

conjunction with individuals working more broadly to connect these self-interested efforts. The social network maps utilized to assess this trait are:

- *Self-reported influence of a community's environmental capital*
- *Self-reported influence of a community's physical capital*
- *Self-reported influence of a community's financial capital*
- *Self-reported influence of a community's human capital*
- *Self-reported influence of a community's social capital*
- *Self-reported versus peer-reported influence in issue areas*
- *Perception of a sustainable approach*

Assessment Questions

1) *Do informal and formal stakeholders with influence appear to be working together on environmental issues facing the community?*
2) *Do informal and formal stakeholders with influence appear to be working together on physical issues facing the community?*
3) *Do informal and formal stakeholders with influence appear to be working together on financial issues facing the community?*
4) *Do informal and formal stakeholders with influence appear to be working together on human issues facing the community?*
5) *Do informal and formal stakeholders with influence appear to be working together on social issues facing the community?*
6) *Do stakeholders appear to be connecting these five issue areas through coordinated implementation efforts or a regional sustainability plan*

ASSESSING RATIONALITY AND PRACTICALITY

Rational and practical initiatives create a higher likelihood of effective on-going communication that, in turn, accumulates more rational and practical knowledge over the long term (high assessment levels). Low amounts of reality-based planning capacity occur when there is unrealistic disconnect between planning goals and priorities. Evolution Theory argues networks have a greater chance at surviving with duration; having ongoing realistic approaches is critical for planning capacity. As such, assessment of this trait includes social network maps of:

- *Comparing perspectives of the importance of short and long term community interests with use of the comprehensive plan*

Assessment Questions

1) *Do the majority of informal stakeholders sense short-term economic interests are the most influential in this community?*
2) *Do the majority of formal stakeholders sense long-range planning interests (not short-term economic) are the most influential in this community?*
3) *Are the short-term economic interests of the community not taking priority over long-range visioning in this community?*
4) *Does there seem to be a cohesive vision for the public good that informal and formal stakeholders support?*
5) *Do the most influential formal stakeholders seem to be practical in their priorities?*
6) *Do the most influential informal stakeholders seem to be practical in their priorities?*

CASE STUDY CHOSEN

Robert Stake (1995), author of <u>The Art of Case Study Research</u>, points out, "A case study is expected to catch the complexity of a single case…We look for the detail of interaction with its contexts." He continued with, "We are interested in them for both their uniqueness and commonality. We seek to understand them. We would like to hear their stories" (Stake 1995).

The tool was able to be created due to the utilization of a case study approach. This case study enabled testing of the methodology, refinement of the approach developed, and ensured real-world applicability. Again, this diagnostic tool was specifically formulated to be utilized within any community, big or small, blue-collar or high-tech. It was designed to reveal social network patterns of planning efforts regardless of which planning approach a community utilizes. It is a snapshot in time to provide insight into the health of a community's ability to do planning implementation.

The community chosen for this case study was picked for its accessibility and familiarity for the researcher. It was also chosen because it was not the town the researcher resided in; this afforded neutrality and confidentiality in the interview process between the researcher and interviewees. Finally, because the community is mid-sized, its smaller-scale indicated closure might be achieved a bit more easily than in a much larger community.

The community utilizes a Mayor-Council form of governance with a City Manager. That means the Council sets policy and the City Manager oversees policy implementation. The Mayor presides at Council meetings and, with the approval of the Council, appoints members of various city boards, commissions, and committees.

The planning issues facing the community are quite complex and generally similar to many of the communities around the nation today. Historically the community has served as a regional retail,

medical, education, and employment hub, and it is well-connected via rail, interstate, and highway. It grapples with sprawl issues, aging commercial properties, and an aging public infrastructure. It is, in summation, unique but similar to many communities in the Unites States today.

The community has practiced city planning for decades. Despite that, the local comprehensive plan is becoming increasingly irrelevant to land use development even though the most recent update to the land use plan was in 2009. Perhaps that is occurring because the community has marked differences of opinion as to how the community should develop and a perceived (or real) lack of a vision.

The local government has a strong city administrative model of management, and the City Administrator has been in his or her current position for many years. The City Council has had much turnover, but the Mayor has relatively high approval ratings from the community. While the city has has an adequately sized municipal planning department, the staff has experienced a large amount of turnover in the last decade.

The strongest community organizations outside of local government, in many mid-sized communities in the United States, are the local Chamber of Commerce, economic development council, Rotary, and United Way. This community has traditionally low unemployment rates due to the presence of a large number of state and federal institutions, including a major state university. The educational institutions (the local school district and the higher education) have significant reported clout in the community.

POPULATIONS OF INTEREST IN THE RESEARCH FRAMEWORK

This research focuses on the stakeholders named within the snowball survey and the key informant interviews of this case study. Specifically, the research seeks to discern the communication patterns of the formal and informal stakeholders of this community planning network within a power structure analysis. It aims to understand their influence, participation rates, and involvement in community planning.

Again, formal stakeholders are those with formal, identifiable, public titles or roles within the community planning ─informal stakeholders do not have such rules. Formal stakeholders are either elected by the general public or appointed or hired by the community's public administration. As such, formal stakeholders are not self-generating and are therefore not autopoietic like the informal stakeholders are. The informal sub-network has no formal barriers to participation.

Community leaders (key stakeholders) bridge communication between informality and formality in planning stakeholders. They can, because of this, be either formal or informal stakeholders. Most often,

however, they are informal stakeholders because it is easier for them to utilize both technical and indigenous information and communication in that role. Informal stakeholders can be quite powerful and influential in their own right. Merely preventing implementation of a community's planning goals and priorities alters formal stakeholders' expected status quo.

RESEARCHER'S ROLE

Blee and Taylor (2002) discuss the advantages and drawbacks for the researcher being an "insider" versus "outsider" to the social network they are studying. Certainly, being an insider can promote rapport, trust, and empathy. But, by being an outsider a more distanced, neutral perspective from the emotions embedded in the network can be achieved. A different sort of trust and rapport can be developed from that position. Interviewees tend to have more open, opinionated confessions, and deeper network dynamics are revealed (Blee and Taylor 2002).

The researcher decided on a community outside her hometown to retain neutrality and confidentiality for the interviewees during the interviewing process. This would allow for open dialogue based on a neutral history between interviewer and interviewees. That being said, the case study chosen had enough familiarity to the researcher so issues discussed during data collection would not be foreign. In that way a richer dialogue could be achieved through the semi-structured nature of the snowball survey.

In developing the diagnostic tool within this research perhaps the most crucial component of administering the assessment was the idea of neutral administration. If key stakeholders named within the snowball survey or key informant interviewees felt their responses would not remain completely confidential the tool would be rendered useless. That is because results would not provide an accurate reading of the nine traits assessing a community's planning capacity.

DATA COLLECTION AND RECORDING

It is common to examine social movements as social networks, and it is not unusual to recognize informal efforts in community planning as social movements themselves. Blee and Taylor (2002) in Methods of Social Movement Research provided a sizeable portion of the methodological theory for this research. They discuss the difference between structured and semi-structured interviews. Flexibility is afforded by semi-structured interviewing as it allows for the evolution of questioning both within an interview (i.e. probing more deeply on a specific topic to address a participant's specific experiences) and within an interview series (improving the line of questioning slightly from interviewee to interviewee). They also

discuss the importance of accurately assessing overriding themes within the interviews. By continually analyzing the data as the interviews proceed, the interview questions can evolve, and richer data can hopefully be received (Blee and Taylor 2002).

The researcher utilized an unstructured survey technique drawing the sample from the snowball sampling method. In addition, key informant interviews were conducted to validate the findings of the snowball surveys. Each interview explored the scope of the interviewee's ego network and how he or she participates in planning implementation, as revealed through the collection of quantitative data for social network analysis.

Each interview began, per Blee's suggestion, with open-ended questions to establish rapport between the researcher and interviewee (Blee and Taylor 2002). These questions aimed to encourage interviewees to think about his or her general thoughts about the community planning process. The questions prompted a discussion about how there is a need for social, financial, environmental, human, and physical issues to be planned for at the community level. Appendices include the survey tool, the finalized diagnostic tool, and supplemental administration direction.

DETERMINING NETWORK CLOSURE

Each interview was recorded for notes of the initial open-ended questions. The snowball survey continued until sufficient "closure" to the network was achieved. That became apparent when three behaviors were exhibited within the snowball survey results. First, a significant majority of the participants started identifying each other as co-participants. Second, the majority of people mentioned as having influence in dealing with community issues matched the snowball interviewees. Third, some potential participants declined to participate. In other words, the network "closed" when few or no new names were introduced. The degree of closure will vary from community to community; the administrator of this tool will need to use discretion in determining closure. If adequate closure is not reached the findings will not truly represent the core stakeholder group implementing planning activity and the results will be skewed.

However, to ensure closure was reached an added technique was employed to affirm the results of the power structure analysis of the snowball surveys. Through key informant surveys the researcher interviewed individuals that would typically, through their roles, be involved in planning but were not named in the power structure snowball survey. The same diagnostic tool questions were utilized, but

additional open-ended follow-up questions were asked to examine the results of the primary snowball survey process. These secondary interviews' goals were tri-fold:

1) *To affirm those mentioned in the primary stakeholder identification process (power analysis snowball surveys) were in fact the key stakeholders in that community's planning implementation*
2) *To get "outsider" perspectives of the community's planning implementation power structure*
3) *To ask additional follow-up questions to assess specific questionable initial patterns found within the primary identification process*

A worksheet has been developed within the tool for the administrator of the tool to determine if adequate closure is reached. This worksheet instructs the administrator of the tool to affirmatively answer the following questions:

1) *Are the vast majority of peer-reported stakeholders and general-reported stakeholders similar in composition?*
2) *Are no or few new individuals being named that: (all must apply)*
   a. *aren't reported through the peer-reported stakeholder list*
   b. *aren't reported through the general-reported stakeholder list*
   c. *aren't very personal contacts to an existing stakeholder and are not of the power structure*
   d. *aren't declining to participate through negative or non-response*
3) *Is there inclusion (if these roles exist) of all of the following usual types of stakeholders through either snowball survey or key informant interviews: (all must apply)*
   a. *elected officials*
   b. *municipal administration*
   c. *municipal planning staff*
   d. *business leaders*
   e. *property owners*
   f. *community organizational leaders*
4) *Do Key Informant interviews largely confirm they are isolated from the core stakeholder network in this community?*
5) *Do Key Informant interviews largely confirm the results of the snowball interviews?*

DATA CLEANING AND FORMATTING

Once closure was reached, responses were converted to binary, categorical, ordered, continuous, or numerical data and entered into spreadsheets as matrices for analysis (within Microsoft Excel). Depending on the type of analytical calculation or network mapping, desired information was entered and complied differently. Basic network matrices were symmetrical or rectangular. Attribute data was also collected and formatted into a rectangular matrix. Occasionally information was broken further into separate worksheets or tabs (i.e. transformation functions were conducted in UCInet).

The possibilities of response combinations from the survey questions required a sizeable time commitment entering datasets. Binary data was mainly used so synthesis and comparison between

datasets could occur. Occasionally data sets were joined or aggregated and normalized for further analysis.

ANALYZING DATASETS

Combined, individuals' attributes (stakeholder level), relationships (dyad, triad, and sub-group levels), and communicative patterns (global network-wide level) were explored within mainly affiliation network, two-mode sociomatrix analysis against the nine traits and corresponding social network theories listed above. In social network analysis terms, the data sets of each of the nine traits of an "Engaged Planning Community" empirically outline similarities and differences between the informal and formal sub-networks of a community's planning capacity. It includes identifying tendencies stakeholders most often utilized through measures of network dependency.

Datasets revealed individuals' attributes, cliques, relationships, roles, and position within the larger network. It also showed the density, centrality, reciprocity, and extent of homophily. It gives multi-level insights into the communicative dynamics of a community's broader planning network. Appendix A contains the worksheets the administrator of the tool follows to determine the overall prevalence of each trait of Engaged Planning Communities. Appendix B defines social network terms used within this diagnostic tool for formative analysis of a community's planning capacity.

Fairly simple and efficient in execution, the data sets were compiled into sociomatrices within Microsoft Excel. The UCInet software package was utilized as an analytical aid for each of the nine traits in the methods listed again above. NetDraw was utilized to map the group density, dynamics, relationships, patterns, etc. The resulting social network maps describe stakeholders' socioeconomic and demographic characteristics, intergroup relationships, ties, and density of networks. Bipartite, multipart graphs, and hypergraphs were the main form of visual representation produced. Those results are for internal analysis purposes of the tool administrator; they are not to be released to the community. The results can be viewed in the next chapter.

While the snowball survey and the key informant interviews used the same questionnaire, the key informant participants were outliers to the power structure of the snowball interviews. As such, they were only included in some of the social network maps as isolated nodes. That can be seen in Chapter 4.

Researcher received IRB approval in March 2008 and renewed in April 2009, March 2010, and March 2011. Materials included in the IRB approval packet consists of the IRB application, interview

introduction and phone script, informed consent form, and interview questions. Some of the materials have been eliminated to protect the identity of participants' confidentiality.

The following sub-sections of analysis presents the results of the trial-run of the diagnostic tool formatively assessing a case study community's capacity to do planning implementation. The results are presented through social network maps that have variable color, size, and shape of nodes and ties contained in each graphic. It is also done through statistical social network analysis. Finally, the results are reviewed in written analysis. Each sub-section presents the diagnosis of the nine traits through a tool worksheet.

CHAPTER FOUR

DATA AND ANALYSIS

INTRODUCTION

This research worked to develop a formative diagnostic tool any community could use to formatively assess its own local capacity to do planning implementation. This chapter employs the tool through a case study. The following sections introduce that foundational study through the nine assessment trait worksheets of the Engaged Planning Community tool. Each trait's prevalence is appraised on six criteria described in the previous chapter. Finally, overall insights into those trends are explored in this initial case study.

NETWORK CLOSURE

Below is the worksheet for determining if network closure is reached. Administrators of the tool fill it out to determine whether or not to continue with first the snowball survey process and second whether or not to do additional Key Informant interviews. If all questions are answered affirmatively the administrator can stop interviewing and begin data formatting.

ENGAGED PLANNING COMMUNITIES – WORKSHEET
Determining Network Closure

QUESTIONS TO ANSWER	
1. Are the vast majority of peer-reported stakeholders and general-reported stakeholders similar in composition?	☒ Yes ☐ No

2. Are no or few new individuals being named that:
(all must apply)
    a. aren't reported through the peer-reported stakeholder list
    b. aren't reported through the general-reported stakeholder list
    c. aren't very personal contacts to an existing stakeholder and are not of the power structure
    d. aren't declining to participate through negative or non-response
	☒ Yes ☐ No
	
	a. ☒ Yes ☐ No
	
	b. ☒ Yes ☐ No
	
	c. ☒ Yes ☐ No
	
	d. ☒ Yes ☐ No

3. Is there inclusion (if these roles exist) of all of the following usual types of stakeholders through either snowball survey or key informant interviews:
(all must apply)
    a. elected officials
    b. municipal administration
    c. municipal planning staff
    d. business leaders
    e. property owners
    f. community organizational leaders
	☒ Yes ☐ No
	
	a. ☒ Yes ☐ No
	
	b. ☒ Yes ☐ No
	
	c. ☒ Yes ☐ No
	
	d. ☒ Yes ☐ No
	
	e. ☒ Yes ☐ No
	
	f. ☒ Yes ☐ No

4. Do Key Informant interviews largely confirm they are isolated from the core stakeholder network in this community?	☒ Yes ☐ No
5. Do Key Informant interviews largely confirm the results of the snowball interviews?	☒ Yes ☐ No

SUMMARY OF FINDINGS	
All categories were met; a reasonable amount of network closure is achieved.	☒ Yes ☐ No

BROAD-BASED STAKEHOLDER REPRESENTATION

Introduction

Broad-based stakeholder representation is crucial for the community to develop a collective vision (the responsibility of the public sector) and implement it (the responsibility of the private sector). Formal stakeholders are those with titles and official roles in planning affecting change through power and influence. Informal stakeholders are those without such roles, but are still affecting change through power and influence.

Assessment Questions

1) *Are both informal and formal stakeholders recognized through peer-reported identification and by Key Informant interviews?*
2) *Do open-ended questions of the vast majority interviewed indicate no dominance of a small amount of informal or formal stakeholders?*
3) *Do open-ended questions of the vast majority interviewed indicate no lack of inclusion of key informal or formal stakeholders?*
4) *Do snowball survey participants affirm informal and formal stakeholder representation?*
5) *Is there inclusion (if these roles exist) of all of the following usual types of stakeholders in the core network: elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders?*
6) *Does the core group of stakeholders bridge their work to minor stakeholders in town?*

1. Are both informal and formal stakeholders recognized through peer-reported identification and by Key Informant interviews?

Core participants in the inaugural use of this diagnostic tool were wide-ranging. In total, 25 people were interviewed the core survey through either the snowball survey or through key informant interviews in this case study. Interview responses identified 39 stakeholders. 9 were identified as formal stakeholders, and 30 were informal stakeholders. 20 participants were interviewed directly through the snowball survey. A secondary set of interviews (5) of Key Informants confirmed that group of stakeholders as being the core participants in community planning implementation in the locale.

During the first portion of every survey each participant (both snowball survey and key informant interviewees) was asked, "Who would you describe as the five most influential people in dealing with community issues? These individuals can be influential in either formal or informal social circles." The

list of the results to this question was also broken up into formal and informal stakeholders based on the presence or absence of formal roles and titles in the community planning implementation.

Formal Stakeholders

1) *2nd Assistant City Administrator*
2) *Assistant City Administrator*
3) *City Administrator*
4) *City Councilman*
5) *City Councilman II*
6) *County Board Chairman*
7) *Mayor*
8) *P&Z Commissioner*
9) *Traffic Engineer*

Informal Stakeholders

1) *Bank President*
2) *Bank Regional President*
3) *Banker*
4) *Board President United Way*
5) *CEO Real Estate Company*
6) *CEO Real Estate Company II*
7) *Chamber Director*
8) *Citizen At Large*
9) *Co-Chair Mayor's Special Committee*
10) *Community and Industrial Realtor*
11) *County Human Services*
12) *CVB*
13) *Developer*
14) *Economic Development Vice President*
15) *Former Mayor*
16) *Hospital CEO*
17) *Owner Real Estate Company*
18) *Police Chief*
19) *President Alumni Association*
20) *Realtor*
21) *Retired Businessman*
22) *School District Board Chair*
23) *Smart Growth I*
24) *Smart Growth II*
25) *United Way Campaign Chair*
26) *United Way Director*
27) *University Director of Public Safety*
28) *University President*
29) *University Vice President - Business & Finance*
30) *University Vice President - Student Affairs*
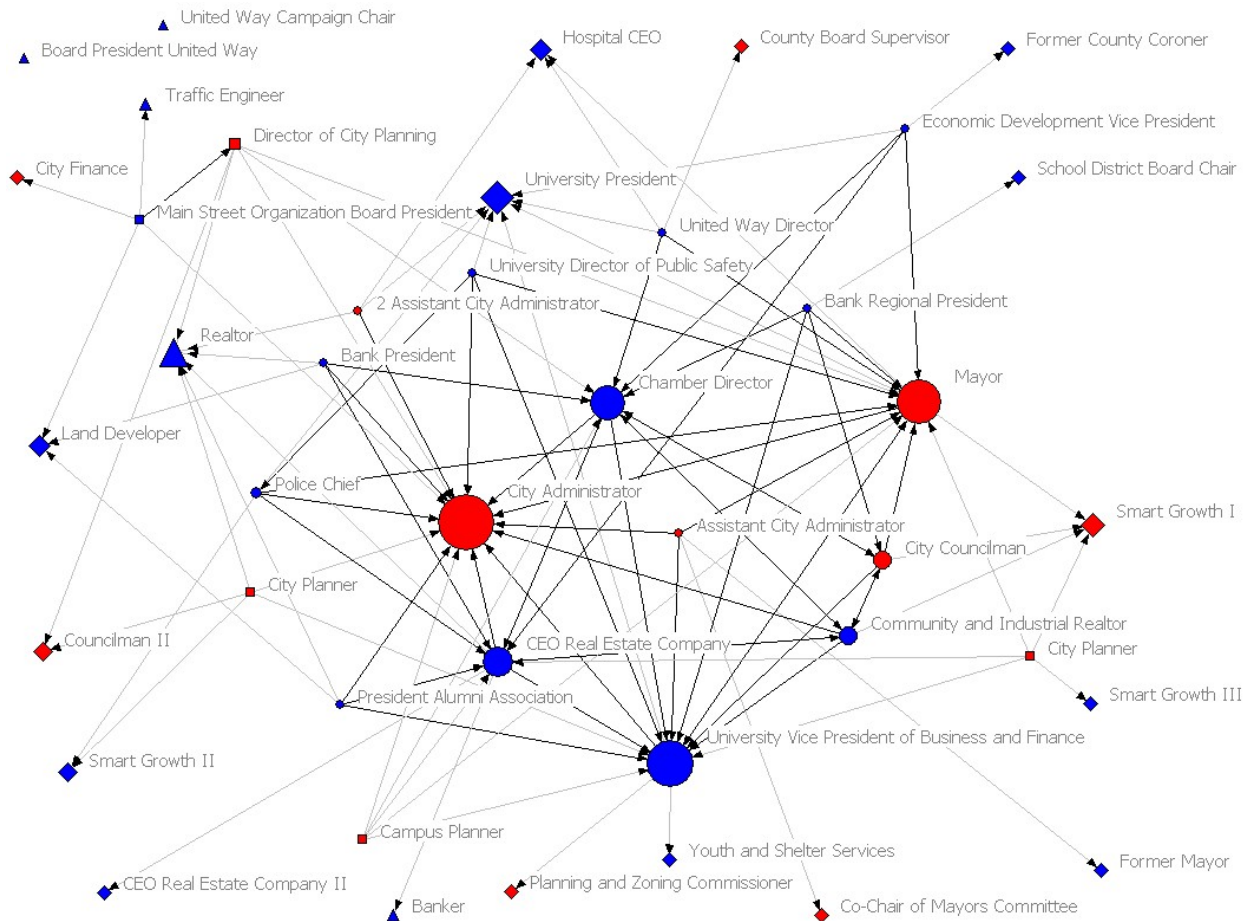
Figure 6. Total Social Network Map

Next, Figure 6 (above) reveals this data set through a social network map; it can be understood by:

- *Figure 6 is a directional social network map.*
- *Informal stakeholders are in blue; formal stakeholders are in red.*
- *The size of the nodes are based on the number of times snowball survey or key informant interviewees named them as having general influence in dealing with community issues. The larger the node the larger number of times they were identified.*
- *The shape of the node indicates the type of participant in stakeholder identification they were. Circle nodes indicate snowball survey interviewees; triangles indicate they were identified by snowball survey interviewees but not interviewed themselves; squares indicate key informant interviewees; diamonds indicates key informants identified them but they were not interviewed themselves.*
- *Line color indicates ties being within actual interviewees (black) and those not interviewed (gray).*

Several things can be learned from this social network map. First, stakeholders who were named the most often by interviewees were almost all named in the core power structure snowball surveys (node size). Second, it is apparent the majority of interviewees constituted the core power structure of local planning

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(based on tie color). Third, node color indicates there is a healthy balance of informal and formal stakeholder participation of those identified. Therefore, the answer to this question is "yes."

2. Do most interviewees indicate no dominance of a small amount of informal or formal stakeholders?

Answers to open-ended questions did indicate there was a dominance of a small amount of stakeholders. Namely, the City Administrator was almost universally described to be a stop-gap for the forward movement of planning implementation initiatives. Therefore, the answer to this question is "no."

3. Do most interviewees indicate no lack of inclusion of key informal or formal stakeholders?

Key Informants confirmed the list of stakeholders through an "outsiders" perspective. Those individuals were asked open-ended questions to refute or confirm the results of the snowball survey. They were also asked for their own connections to the core network to assess if they were, in fact, outliers to the core network. Key Informant interviews were conducted with individuals who typically would be stakeholders in planning, but were not named through the snowball survey administration.

Key Informant Interviewees

1) *Campus Planner*
2) *City Planner*
3) *City Planner*
4) *Director of City Planning*
5) *Main Street Organization Board President*

The social network map below shows the power structure of the core stakeholders working on planning efforts in the case study community. Informal stakeholders[38] are represented in blue, while formal stakeholders[39] are in red. Key informant interviewees are shown as "isolates[40]" because they were not named in the core power structure snowball interview process. They were included in this initial social network map to show 1) they were administered the same survey of the diagnostic tool as key informants

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[38] Those without formal roles or titles in the community planning implementation process.
[39] Those with formal titles or roles within the community planning implementation process.
[40] Not connected with a relational network tie.

and 2) their isolated position is of note. Figure 4 below can be understood with the following list of key characteristics.[41]

- *This is a directional social network map.*
- *Arrow direction indicates individuals naming stakeholders they regularly interact with in dealing with community issues.*
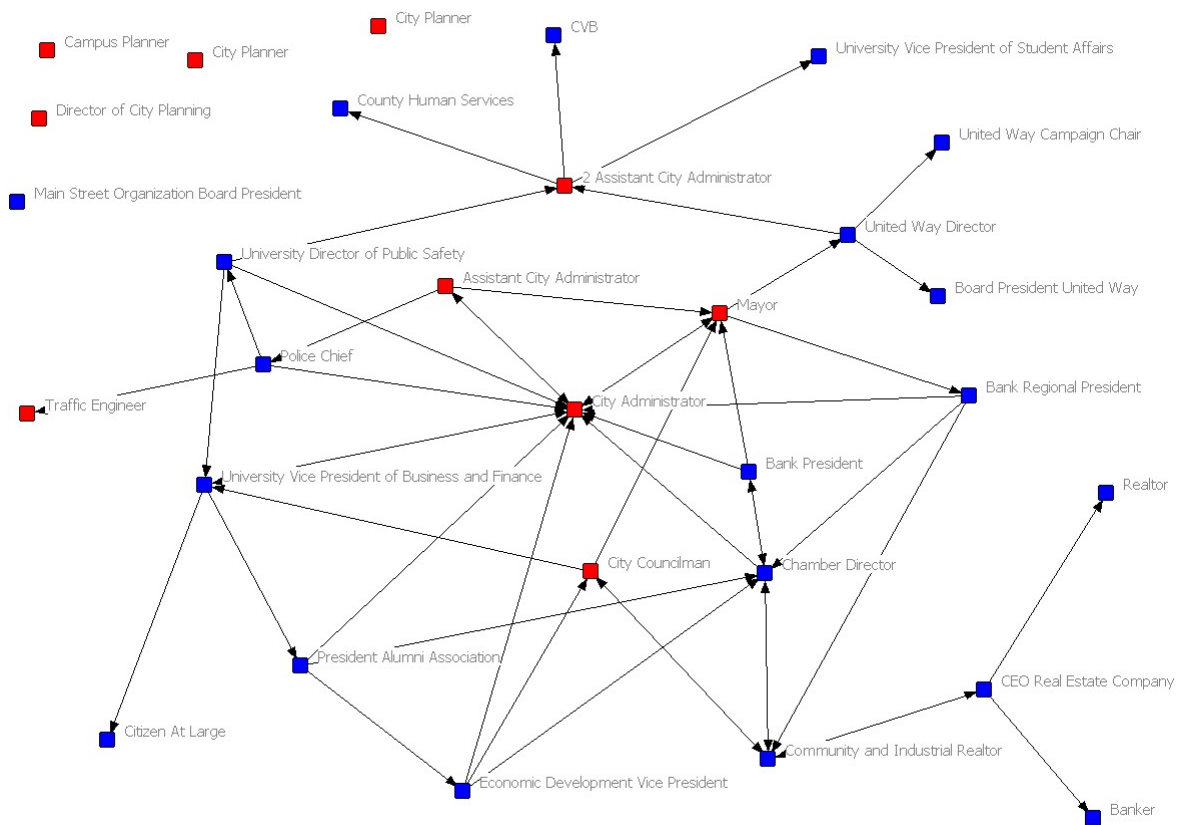
Figure 7. Directional Social Network Map

Several items of note are reflected in this social network map. First, there appears to be a balance of informal and formal stakeholders engaged in the power structure. Second, several key informal and formal stakeholders appear well connected. This was confirmed in open-ended questioning of the key informants. Third, the map indicates there is not domination or a lack of inclusion of informal or formal stakeholders. Fourth, it appears several key stakeholders to planning are isolated. There appears to be a

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[41] Unless otherwise noted, these same key characteristics repeat in all other social network maps.

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lack of inclusion of all the usual types of stakeholders. With the goal of triangulation mentioned before, additional insight is helpful to determine if broad-based stakeholder representation is occurring.

The social network map below examines this data set from a different perspective. When key informant's responses to this same question are included in the social network map, a clearer understanding of their relationship to the power structure can be seen. Figure 5 can be understood with the following overview.

- *This is a directional social network map.*
- *Informal stakeholders are in blue; formal stakeholders are in red.*
- *Large nodes indicate individuals identified through the snowball surveys; small nodes indicate individuals identified through the key informant interviews.*
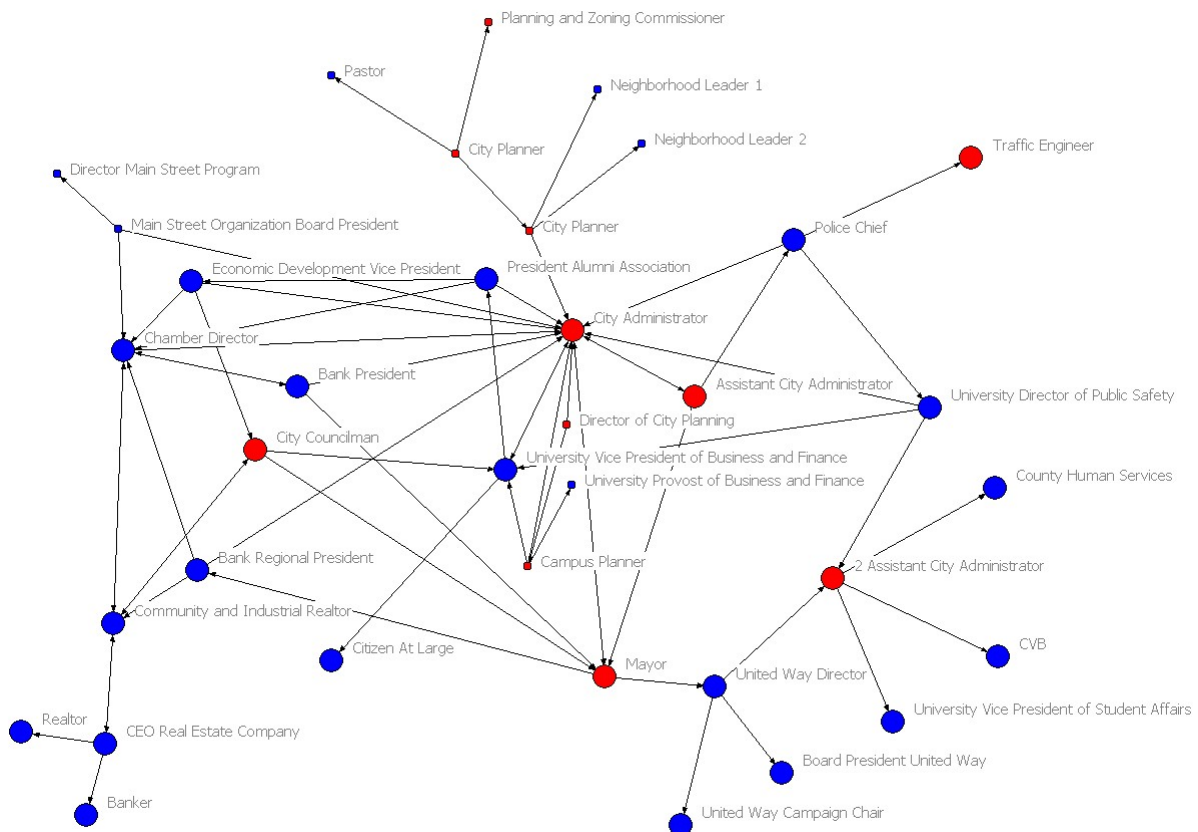
Figure 8. Total Directional Social Network Map

As seen in the social network map above, several things can be learned from including the results of the Key Informant's responses[42]. Most important to note is that key informants were largely isolated from the power structure as revealed through the snowball surveys. The individuals they named in their response to this question were mainly personal contacts[43] or pre-existing stakeholders ("folding" back into the power structure). That is a strong indication there is a fundamental flaw to truly broad-based stakeholder representation.

Additionally, two small cliques (subsets) of stakeholders were tied to a pre-existing stakeholder in the network: there was a city planning clique and a university planning clique. Both of those cliques tied back to the power structure through the main power structure network: the city planning clique connected through the City Administrator and the campus planning clique connected back through the University Vice President of Business and Finance and the City Administrator. In short, that information indicates the core power structure as perceived through the snowball survey was affirmed by the Key Informant surveys. Therefore, some lack of inclusion of key stakeholders was documented.

4. Do snowball survey participants affirm informal and formal stakeholder representation?

Below is a list of all stakeholders[44] identified through the initial use of this diagnostic tool within this research's case study. Peer-reporting was done by asking each interviewee, "Who are three individuals (by name) you have regular contact with in dealing with community issues?" Since the snowball survey started with the individual occupying the most characteristically powerful position in the community's form of governance, the survey formed a power structure analysis of core stakeholders regularly involved in planning. Alphabetical ordering of the interviewee's[45] roles was utilized whenever possible in reporting to protect confidentiality while still representing each individual's role in the community's planning process.

Through the survey process stakeholders were identified as core participants in local planning. Stakeholders were identified specifically as informal or formal stakeholders based on whether they had a

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[42] Answers to: "Who are three individuals (by name) you have regular contact with in dealing with community issues?"
[43] Individuals of personal relations not connected to the larger power structure.
[44] Not just those interviewed. This also includes those who declined to participate but were identified within the social network survey, those who did not respond to an invitation to participate, those interviewed, and those identified as regular co-participants by interviewees.
[45] Individuals denoted with an asterisk were named by an interviewee, but did not respond to repeated attempts to set up an interview or declined to participate.

formal role or title within the community's planning process. It is interesting to note the degree of similarity between this list and the list of stakeholders named in the snowball survey and key informant interviews above. Those who were interviewed and named within the snowball survey are also the ones community leaders perceive as influential in planning. In short, closure of the snowball survey process was achieved in recognition of those two lists combined with confirmation in key informant surveys, non-respondents, respondents declining to participate, and a finite time constraint. This was the third of three ways to identify informal and formal stakeholders. Therefore, snowball survey participants did affirm informal/formal stakeholder representation.

Informal Stakeholders

1) *Bank President*
2) *Bank Regional President*
3) *Banker**
4) *Board President United Way**
5) *CEO Real Estate Company*
6) *Chamber Director*
7) *Citizen At Large**
8) *Community and Industrial Realtor*
9) *County Human Services**
10) *CVB**
11) *Economic Development Vice President*
12) *Police Chief*
13) *President Alumni Association*
14) *Realtor**
15) *United Way Campaign Chair**
16) *United Way Director*
17) *University Director of Public Safety*
18) *University Vice President of Business & Finance*
19) *University Vice President - Student Affairs**

Formal Stakeholders

1) *2nd Assistant City Administrator*
2) *Assistant City Administrator*
3) *City Administrator*
4) *City Councilman*
5) *Mayor*
6) *Traffic Engineer**

5. Is there inclusion (if these roles exist) of all of the following usual types of stakeholders in the core network: elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders?

Figure 9, below, indicates the breakdown of roles within planning of the stakeholders interviewed within the snowball survey. This social network map gives a more detailed view of the core community planning implementation group and how informal and formal stakeholder roles were identified. Interviewees are red nodes; the roles they identified with are in blue.
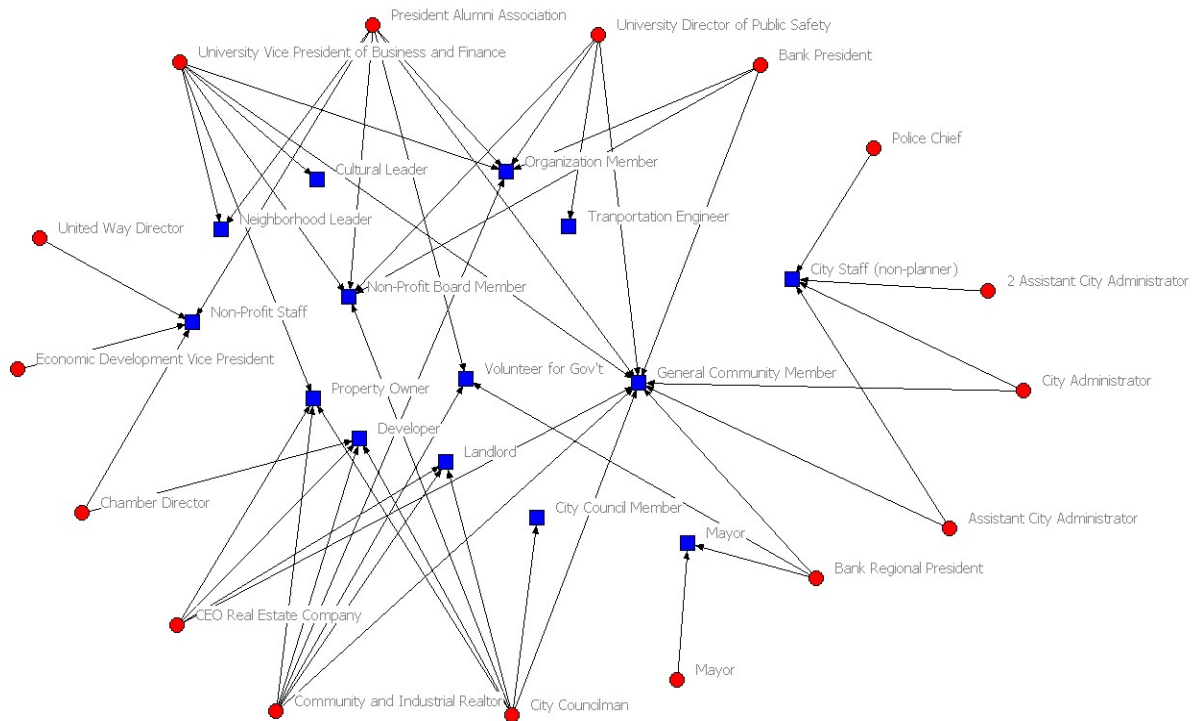
Figure 9. Roles

Formal stakeholders all listed a much more limited spectrum of roles in community planning. Mayor, Assistant City Administrators, and City Administrator are the most noticeable in how their formal roles outweighed any informal roles they might otherwise have. Informal stakeholders, conversely, often held many roles within planning. Therefore, the answer to this question is "no", there is not inclusion of all the usual key types of stakeholders in the core planning network.

6. Does the core group of stakeholders connect with minor stakeholders?

This trait, broad-based stakeholder representation, is predicated on Social Exchange Theory (Monge and Contractor 2003). To reiterate, that theory posits people create, maintain, and dissolve relations based on resources and attributes they have or need based on the resources and attributes others in the network have or need. That encourages investigation of this finding at a deeper level. Examining the relations based on roles within the social network maps listed above enables a greater understanding of general tendencies of the broader social network of planning in this case study.

Figure 10 was constructed to examine the core relational ties of the stakeholders named within the core power structure of planning. This final social network map can be understood with the following list of key characteristics:

- *This is a directional social network map. Ties with two arrows means the both stakeholders named each other indicating reciprocity and a stronger tie.*
- *Formal stakeholders are represented in red, informal stakeholders in blue.*
- *The size of the node represents the number of times the stakeholder was named by others as having influence in dealing with community issues.*
- *The shape of the node denotes the main sector they represent (circle – government, triangle – nonprofit, square – private sector, downward triangle – general public)*
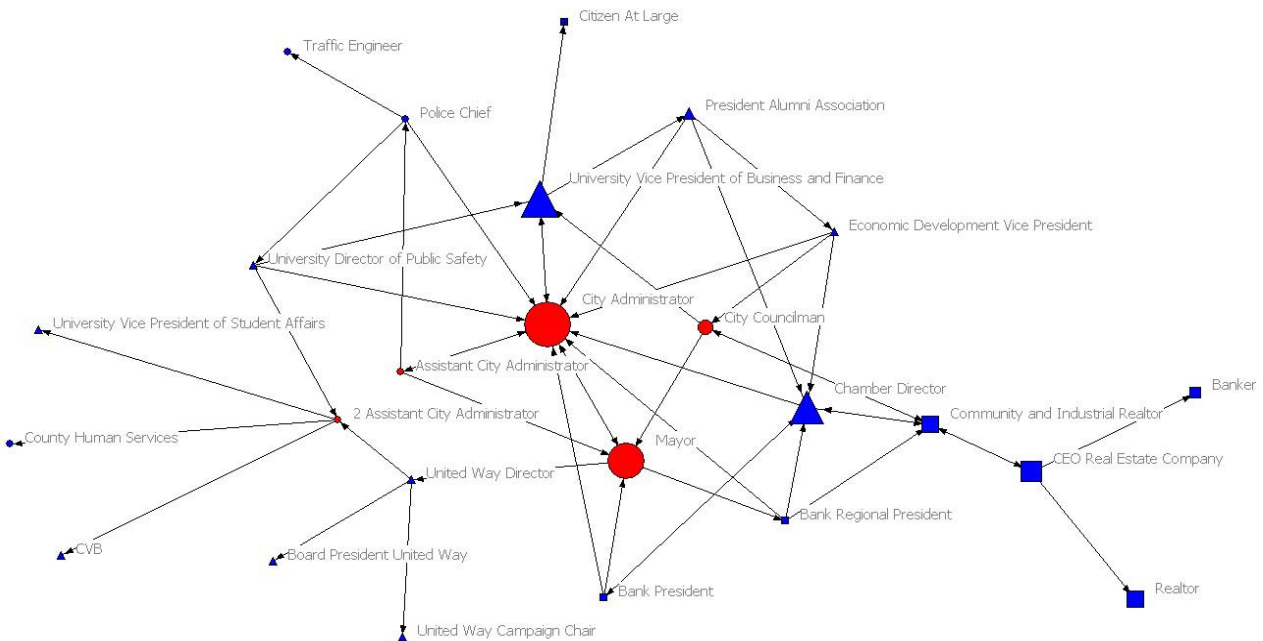
Figure 10. Influence in the Network

This social network map is revealing. Taking Social Exchange Theory into account (with the core power structure network of planning of this community) a clear pattern emerges. Several key stakeholders bridge sub-networks in this case study--they are of both informal and formal representation. This direct power embodies the resources and attributes other core stakeholders need in the core power structure. The Vice President of Business and Finance seems to bridge networking opportunities between the largest private entity in town (the major university) and city administration, and the Chamber Director bridges the local business and land development clique. However, it will be determined later in this Chapter if these individuals are, in fact, power brokers by wielding BOTH overt power and covert influence. Therefore, the core group of stakeholders appears to be connecting with minor stakeholders.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Broad-based Stakeholder Representation

1

QUESTIONS TO ANSWER		
1. Are both informal and formal stakeholders recognized through peer-reported identification and by Key Informant interviews?	☒ Yes	☐ No
2. Do most interviewees indicate no dominance of a small amount of informal or formal stakeholders?	☐ Yes	☒ No
3. Do most interviewees indicate no lack of inclusion of key informal or formal stakeholders?	☐ Yes	☒ No
4. Do snowball survey participants affirm informal and formal stakeholder representation?	☒ Yes	☐ No
5. Is there inclusion (if these roles exist) of all of the following usual types of stakeholders in the core network: elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders?	☐ Yes	☒ No
6. Does the core group of stakeholders connect with minor stakeholders?	☒ Yes	☐ No

EXPLANATION OF RESULTS

The community appears to have fairly balanced participation by both informal and formal stakeholders. If anything more engagement could be occurring by formal stakeholders. Low communicative skill on the part of professional planners (in particular, influence) is causing them to be sidelined in planning implementation processes. This indicates a high likelihood planning implementation may break down at times. Even so, both informal and formal stakeholders are generally and peer-reported to be regular participants in the core planning implementation community. And, analysis of the core power structure reveals key stakeholders regularly bridge key operative planning cliques by holding crucial resources and attributes.

FINAL ASSESSMENT

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RECOMMENDATIONS

Several action items are recommended to help open the network to additional stakeholders. First, empowering the local planning staff, city councilmen, and planning and zoning commissioners not currently engaged as stakeholders is important. Without increased engagement of these individuals the community will continue to struggle to garner consensus towards a cohesive vision. This can be done through education and training in how informality (methods, knowledgebases, etc) plays a crucial role in the planning process and how formal stakeholders can engage and align the strong informal processes now occurring with formal processes. In addition, there is an opportunity to open the network by engaging additional informal stakeholders into the core group working on planning. Mentorship and leadership programs work well for this goal.

BROAD-BASED PARTICIPATION

Introduction

Broad-based participation is important to assess to determine if both formality and informality are occurring in a community's planning efforts. Formality is the official intent, overt participative methods, and formal locations in participation. Informality is the unofficial intent, covert participative methods, and informal locations in participation.

Assessment questions

1) *Is planning implementation part of at least some of both informal and formal stakeholders' job descriptions?*
2) *Do at least some informal and formal stakeholders report participating in both official and volunteer capacities in planning implementation?*
3) *Is the core network fairly dense (meaning "≥.6") so at least some of both of the informal and formal stakeholders appear well connected?*
4) *Is there a balance (not heavy reliance on one or other) of both informal and formal relations present among the majority of both informal and formal stakeholders?*
5) *Do the most informal and formal stakeholders balance utilization of both informal and formal communication methods and locations?*
6) *Do the open-ended questions of all interviewees indicate there is common utilization of informality and formality by both informal and formal stakeholders?*

1. Is planning implementation part of at least some of both informal and formal stakeholders' job descriptions?

A higher level of participation is indicated where planning implementation is included as part of either informal or formal stakeholder's job descriptions. While formal stakeholders often indicate planning implementation is part of their job description, the absence of planning implementation in all informal stakeholders' job descriptions indicates perhaps they are not as integral to the core implementation in formal processes. The following social network map can be understood by:

- *This is a directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *Large nodes indicated the interviewer said "yes" when asked this question; small nodes indicate their response was "no."*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*
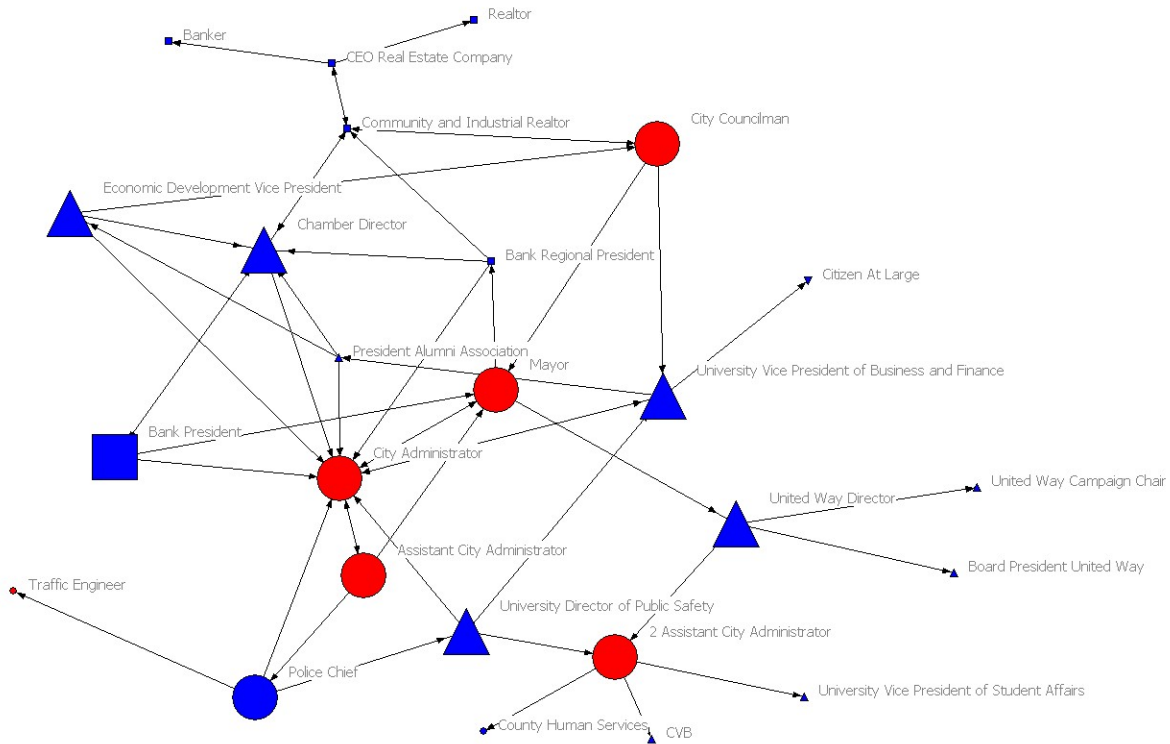
Figure 11. Planning Implementation in Job Description

The graph above, Figure 11, shows which individuals deal with community issues as a part of their job description. Not surprisingly the formal stakeholders affirmed planning implementation was part of their work. However, it does show several informal stakeholders affirmed this as well. Therefore, planning is a part of at least some of the stakeholders' job descriptions.

2. Do at least some informal and formal stakeholders report participating in both official and volunteer capacities in planning implementation?

The next social network graph shows which stakeholders reported dealing with community issues in an official capacity (medium), on a volunteer basis (small), or both (large). A mixture of participation in both official and unofficial (volunteer) bases indicates both formal and informal participation in planning implementation. If both are not present then the behind-the-scenes work is not supporting formal processes, and vice-versa. The optimum result for this trait is achieved when at least some of both informal and formal stakeholders report participating in both official and volunteer capacities.

This social network map can be understood by:

- *This is a directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*

- *Stakeholders reported dealing with community issues in an official capacity (medium), on a volunteer basis (small), or both (large).*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square),*
- *Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*
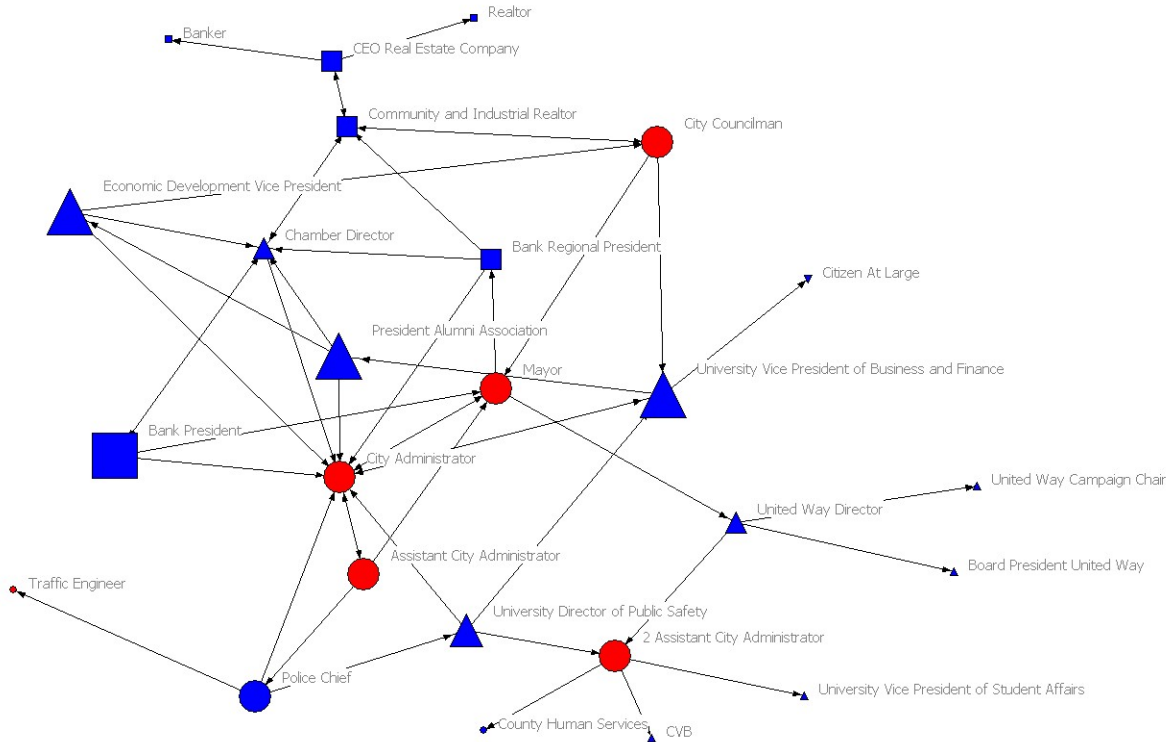
Figure 12. Participation in an Official Capacity, Volunteer Basis, or Both

The largest nodes are not surprisingly informal stakeholders. Four informal stakeholders utilize both informal and formal participation methods in the community. They participate in formal implementation when necessary, but they also work behind the scenes to accomplish their goals on a volunteer basis when essential. The City Administrator and Mayor admitted their capacity to do this is largely limited due to their formal positions in the community. Therefore, some informal and formal stakeholders report participating in both official and volunteer capacities in the community's planning efforts.

3. Is the core network fairly dense (meaning "≥.6") so at least some of both of the informal and formal stakeholders appear well connected?

In decision-making networks, higher density levels indicate a greater degree of communication among the members in the implementation. Lower density indicates there are many individuals providing more diffuse support in planning implementation activity (Wasserman and Faust, 2000).

Again, with 16 interviewees, 25 total stakeholders were named within the core case study community planning network. For each stakeholder, the following is a list of their personal univariate statistics

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within the network. They are ordered by the mean connectivity. The second column is the standard deviation of that. The total number of in-degree ties each stakeholder has is the third column.

As you can see, the City Administrator was the most connected individual of the survey. The University Vice President of Business and Finance, the Mayor, the Chamber Director, and the Community and Industrial Realtor were the next "best connected" individuals. As stated later this does not necessarily equate into having large degrees of power (having the "right" connections). Overall, there appeared to be a notable number of formal and informal stakeholders connected to each other. The social network maps for the previous trait of Broad-based Stakeholder Representation show those connections in graphical form. Even so, this trait of "Engaged Planning Communities" needs further investigation.

The mean rate of connectivity is .077, meaning there is almost a mean 8% rate of connectivity among all network stakeholders. The global network has a density of .8, and 48 total ties connecting the stakeholders. With a possible range being from 0 to 1, this network is fairly globally dense, or not diffuse in core decision-

Table 3. Case Study Participants

	Mean	Std Dev	Sum
City Administrator	0.4	0.49	10
Chamber Director	0.2	0.4	5
Mayor	0.16	0.37	4
Community and Industrial Realtor	0.16	0.37	4
University Vice President of Business & Finance	0.12	0.32	3
2 Assistant City Administrator	0.08	0.27	2
City Councilman	0.08	0.27	2
Assistant City Administrator	0.04	0.2	1
Bank Regional President	0.04	0.2	1
Police Chief	0.04	0.2	1
President Alumni Association	0.04	0.2	1
Bank President	0.04	0.2	1
University Director of Public Safety	0.04	0.2	1
United Way Director	0.04	0.2	1
Economic Development Vice President	0.04	0.2	1
CEO Real Estate Company	0.04	0.2	1
Citizen At Large	0.04	0.2	1
Traffic Engineer	0.04	0.2	1
United Way Campaign Chair	0.04	0.2	1
Board President United Way	0.04	0.2	1
Banker	0.04	0.2	1
Realtor	0.04	0.2	1
County Human Services	0.04	0.2	1
CVB	0.04	0.2	1
University Vice President of Student Affairs	0.04	0.2	1

making stakeholders in the community overall. That indicates there is significant communication between these core stakeholders. The question still remains, however, if that communication is able to cross both informal and formal participation barriers or if it is largely relegated to formality or informality.

The Theory of Homophily posits similar types of people associate with one another. The Figure 9 supports this theory because formal stakeholders appear fairly well-connected, and informal stakeholders of specific sectors appear well-connected as well. Private sector and non-profit sector employees also seem to associate with fellow sector members. This is important to note as those sectors most often determined what primary role stakeholders played within community planning efforts. Therefore, the core network appears to be dense.

4. Is there a balance (not heavy reliance on one or other) of both informal and formal relations present among the majority of both informal and formal stakeholders?

Another way to investigate informal and formal participation is to examine if there is a balance of formal and informal relations occuring in the case study's planning efforts. That is one indicator assessing the propensity towards broad-based participation by indicating both informality and formality. The social network map below can be read with the following descriptors:

- *This is a bipartite social network map.*
- *Stakeholders' relations to other informal and formal stakeholders were aggregated.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node the more times they were identified within the snowball survey process.*
- *The numbers along the ties and the thickness of the ties indicate a greater number of connections in that relation type.*
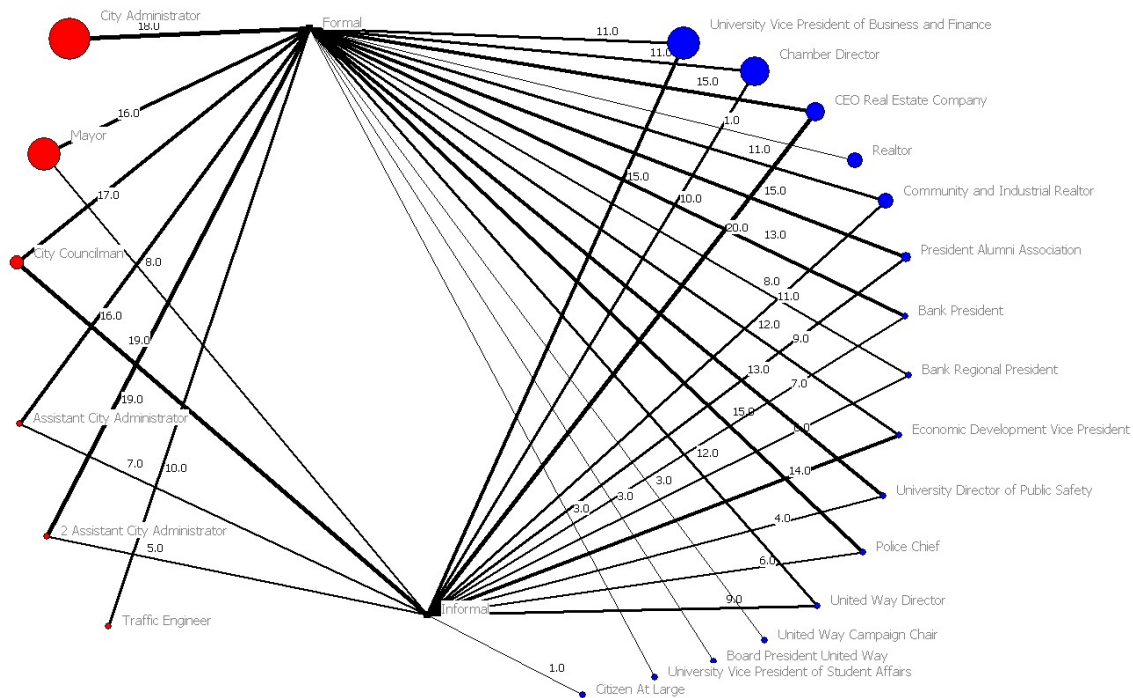
Figure 13. Tendencies Towards Informal or Formal Relationships

Again, larger tie strengths in the graph above, Figure 13, indicate higher levels of multiplexity in formal or informal relationship patterns. Assessing the map, formal stakeholders tend towards formal relationship types; as peer-reported identification increases, their propensity towards that pattern increases. It appears informality is difficult for a large majority of these stakeholders to practice.

Informal stakeholders tend towards informal relationship types; but, as peer-reported influence increases informal stakeholders' propensity towards formal relationships increases as well. It appears formality comes with connectivity and peer-reported influence. That aside, informal stakeholders demonstrate the ability to partake in informality and formality in planning implementation through this assessment. Therefore, there does not appear to be a balance of informal and formal relations among stakeholders.

5. Do most informal and formal stakeholders balance utilization of both informal and formal communication methods and locations?

The next area to assess is informal and formal communication methods utilized by informal and formal stakeholders. That will give further insight into their ability to participate both informally and formally and provides yet another view into whether or not broad-based participation is occurring in this case study. Figure 14 shows stakeholder's propensity towards using informal[46] versus formal[47] communicative methods on community issues. This social network map can be understood with:

- *This is a bipartite social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node the more times they were identified within the snowball survey process.*
- *Stakeholders' propensity towards utilizing informal and formal methods was aggregated by individual.*
- *The scores and corresponding weight of each tie shows the normalized comparison of whether a stakeholder tends to utilize formal or informal methods to communicate about community issues.*
- *The numbers along the ties and the thickness of the ties indicate a greater amount of methods of that type.*

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[46] Informal methods include making phone calls, sending emails, sending snail mail, written correspondence, using media, advertising, community bulletin boards, planned or unplanned third place discourse, discussions at home, meetings at someone's home, self-education through internet or print, blogging, using listservs or online social network sites, create or maintain websites, online chat, distribute or receive print material, post printed material, attend conferences, text message, community-organized meetings, attend protests, canvass, writing letters to editors, membership in community organization, attend community organized event, and participating in a fundraising campaign.

[47] Formal methods include making phone calls, sending emails, sending snail mail, written correspondence, utilizing media, advertising, business activities, private meetings with city staff, survey sent by city staff, voting, website-issue balloting, arbitration and mediation, charrette participation, attending conferences, attend workshops, focus groups, community training by city staff or consultants, community technical assistance, utilizing drop-in centers, municipal meetings, neighborhood meetings, open informational meetings, public hearings, public info programs, open-door policy of city staff, task forces, neighborhood planning councils, citizen's advisory boards, memberships on boards-councils-commissions, serving as an elected official, and creating or using public reports.
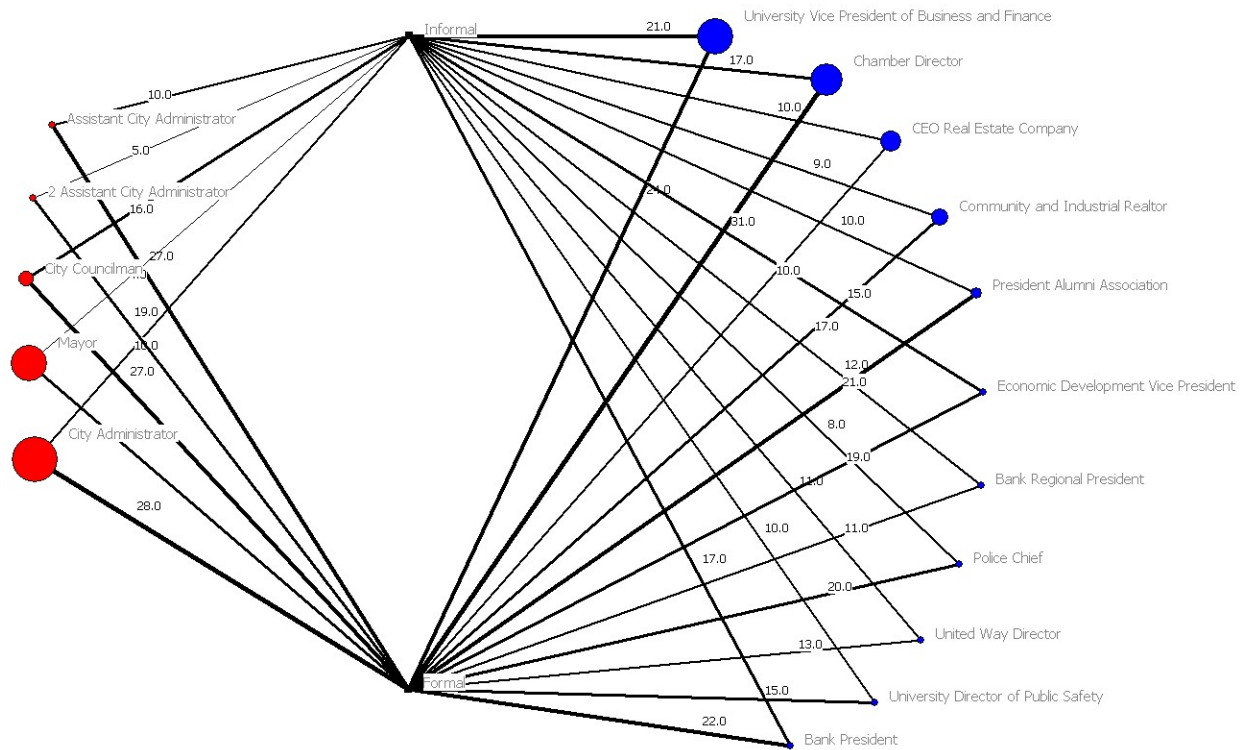
Figure 14. Tendency towards Utilizing Informal or Formal Communication Methods

As you can see, the majority of formal stakeholders tend to rely more heavily on formal communication methods. The City Administrator and City Mayor are examples of that. Informal stakeholders slightly tend to use informal methods (i.e. the Chamber Director). Also, it appears more frequently peer-reported influence (node size) informal stakeholders also rely on formal methods. Again, informal stakeholders demonstrate the ability to partake in informality and formality in planning implementation.

The next way to assess broad-based participation is stakeholders' propensity towards utilizing both formal[48] and informal[49] locations for planning implementation efforts. The graph below shows the breakdown of this indicator in the final social network map of this "Engaged Planning Community" trait:

- *This is a bipartite social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *Formal locations are represented by (Sum) and informal by (Sum2).*

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[48] Second Places: Work, City Hall, etc. (Oldenburg 1989)
[49] First and Third Places: Barber or Beauty Shop, Waiting Rooms, Transit Stop, Coffeeshop, Bar or Pub, Restaurant, Community Center, Country Clubs, Organization Meeting Hall, Bowling Alley, Church, Daycare, Market, Gym, Home, Break Room, Outdoor Public Space, Indoor Public Space, etc. (Oldenburg 1989)

- *The numbers and weight of the ties again show whether the stakeholder tends (through normalized scores) to utilized formal or informal locations.*
- *Stakeholders' propensity towards utilizing informal and formal locations was aggregated by individual.*
- *The scores and corresponding weight of each tie shows the normalized comparison of whether a stakeholder tends to utilize formal or informal methods to communicate about community issues.*
- *The numbers along the ties and the thickness of the ties indicate a greater tendency towards using that locational type.*
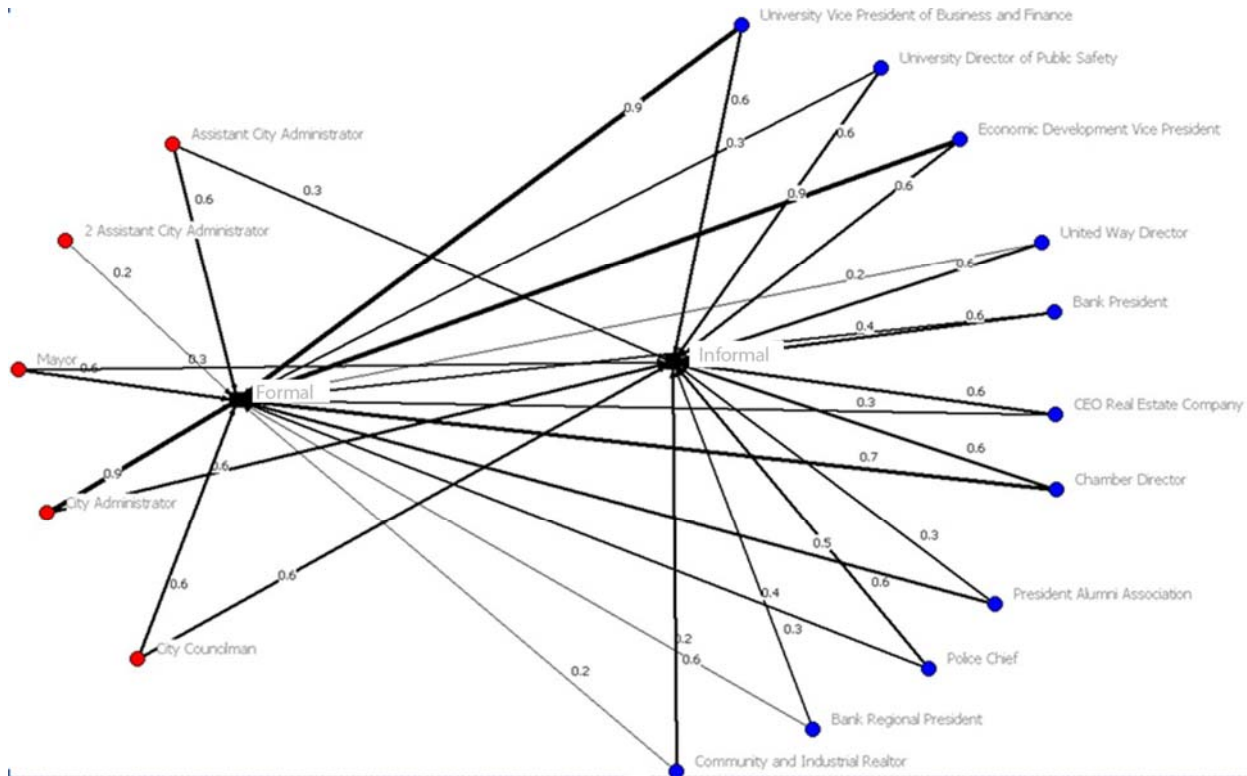
Figure 15. Tendency towards Utilizing Formal or Informal Locations

The majority of formal stakeholders tend to prefer formal locations, but just slightly. The City Administrator is on the extreme end of that finding and reported utilizing only formal locations. Informal stakeholders fairly consistently use informal locations more often (i.e. Community and Industrial Realtor and Bank Regional President). These results are not surprising. Formal stakeholders need to utilize third places more often, and informal stakeholders need to feel more comfortable using City Hall.

Together, those indicators indicate clear patterns in the presence of broad-based participation in planning capacity. Formal stakeholders tend to utilize formality when participating, and informal stakeholders tend to desire the neutrality and privacy of informality while asserting influence in planning efforts. The more connected informal stakeholders are, however, the more those individuals tend to utilize both formality and informality. Therefore, stakeholders do not appear to be utilizing both informal and formal communication methods.

6. Do the open-ended questions of all interviewees indicate there is common utilization of informality and formality by both informal and formal stakeholders?

The final way to assess broad-based participation is stakeholders' propensity towards utilizing both formality and informality in stakeholders' planning efforts. Responses to open-ended questions of snowball survey and key informant interviews indicate formal stakeholders tended to not utilize informality in their efforts and instead relied heavily on formality in their planning efforts. Informal stakeholders appear to circumvent formal stakeholders in their planning efforts. This is perhaps due to the fact there is a lack of "buy in" with the community's established vision and goals. Therefore, some stakeholders do not appear to be utilizing informality and formality in their planning efforts.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Broad-based Participation

2

QUESTIONS TO ANSWER		
1. Is planning implementation part of at least some of both informal and formal stakeholders' job descriptions?	☒ Yes	☐ No
2. Do at least some informal and formal stakeholders report participating in both official and volunteer capacities in planning implementation?	☒ Yes	☐ No
3. Is the core network fairly dense (meaning "≥.6") so at least some of both of the informal and formal stakeholders appear well connected?	☒ Yes	☐ No
4. Is there a balance (not heavy reliance on one or other) of both informal and formal relations present among the majority of both informal and formal stakeholders?	☐ Yes	☒ No
5. Do most informal and formal stakeholders balance utilization of both informal and formal communication methods and locations?	☐ Yes	☒ No
6. Do the open-ended questions of all interviewees indicate there is common utilization of informality and formality by both informal and formal stakeholders?	☐ Yes	☒ No

EXPLANATION OF RESULTS

The tendency of centralized power (not influence) by city administration appears to be causing a disconnect between how the informal and formal stakeholders engage each other. Formal stakeholders tended to not utilize informality in their efforts and instead relied heavily on formality in their planning efforts. Informal stakeholders appear to circumvent formal stakeholders in their implementation efforts. This is perhaps due to the fact there is a lack of "buy in" with the community's established vision and goals.

FINAL ASSESSMENT

3/6

RECOMMENDATIONS

The largest opportunities for improvement for this trait all center around training existing formal stakeholders and newly engaged formal stakeholders on better understanding, engaging, and utilizing informality in their planning implementation efforts. Innovative training sessions, literature in trade journals, and developing new expectations within the work environment will all aid in this endeavor. Almost equally important is continued encouragement and empowerment of existing and newly engaged informal stakeholders in demanding more from the formal processes instead of circumventing them. This community needs a cohesive, realistic vision both informal and formal planning efforts can work towards. And, it appears the current core stakeholders (both informal and formal) do not have the leadership and skill set to locally grow this vision. Seattle, Washington's work to engage local neighborhoods and community leaders in their sustainability planning has shown much promise.

INCLUSION OF MANY INFORMATION TYPES

Introduction

Low diversity of information occurs when only a narrow range of information or world views are regularly utilized and bridged between both informal and formal stakeholders in a community's planning capacity (tacit, explicit, technical information or indigenous, implicit, everyday information).

Assessment questions

1) *Do top key stakeholders participate in both informal and formal issues?*
2) *Do most informal stakeholders appear to be engaging in issues directly benefitting their role?*
3) *Do most formal stakeholders appear to engage in issues for the public good?*
4) *Are the majorities of both informal and formal stakeholders learning from both lay, indigenous information and professional, technical information?*
5) *Are the majorities of both informal and formal stakeholders using both lay, indigenous information and professional, technical information?*
6) *Are stakeholders effectively bridging information types?*

1. Do top key stakeholders participate in both informal and formal issues?

Healthy diversity in information types and world views need to be regularly utilized in a community's planning capacity. That includes tacit, explicit, technical information and indigenous, implicit, everyday information. The following social network map explores stakeholders' propensity towards working on physical (land-use issues), non-physical (non-land-use issues), or both issue types in their planning efforts. That is an important way to assess this trait because being able to assist with multiple issue types indicates stakeholders are capable of integrating many types of information and information sources. This social network map can be understood by:

- *Blue nodes indicate informal stakeholders; red formal.*
- *This is a bipartite social network map.*
- *The scores and corresponding weight of ties and the thickness of the ties indicate a greater tendency towards working on that sort of issue types.*
- *Stakeholders with similar line weights to both physical and non-physical issues work on both in similar amounts.*
- *The larger the node the more times they were identified within the snowball survey process.*
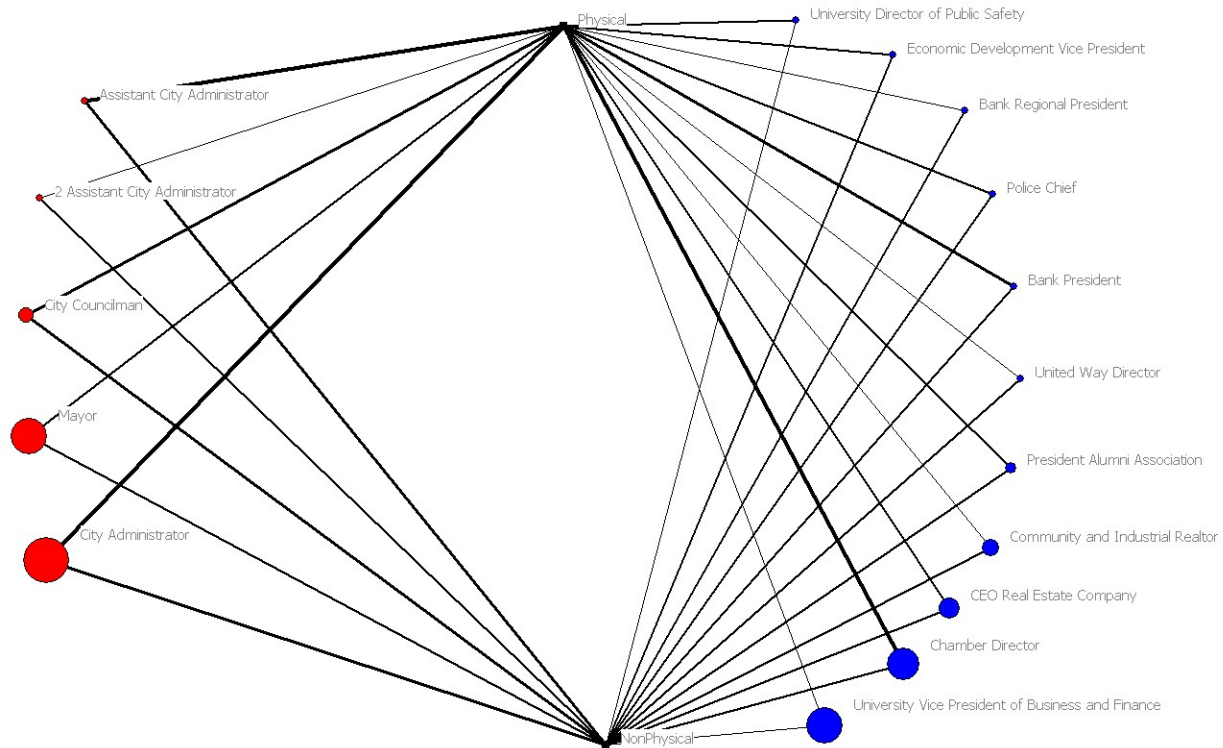
Figure 16. Tendency towards Working on Physical or Non-Physical Issues

Overall, informal stakeholders tend to deal with both non-physical and physical issues; some tend more heavily towards working on physical issues. Formal stakeholders tend to deal with both non-physical and physical issues. For instance, the City Administrator had high levels of influence (see node size), and deals equally heavily (see line thickness) with both physical and non-physical issues. Conversely, the University Director of Public Safety dealt slightly more often with physical issues than non-physical issues.

When the responses were broken down further much more complex patterns were revealed. Specific dynamics began to emerge when composite graphs of the five community resources were developed. To reiterate, social, human, and financial issues are the three non-physical community resource areas. Physical and environmental issues are the two physical community resource areas. Those areas will be explored in more detail, however, in the section addressing the Sustainable Approach trait later in this chapter.

There was low occurrence of broad-based participation because mutual interest was not being regularly achieved. Structural Holes Theory acknowledges stakeholders accumulating information or knowledge invest in social opportunities from which they expect to benefit. Looking first at the tendency towards

physical and non-physical issues stakeholders very much appear to be engaging in issues directly benefitting their role. For instance, informal stakeholders working on land development have heavier tendencies to work on physical issues. Furthermore, formal stakeholders are expected to deal with all community issues and they report working on both non-physical and physical issues. While both of those are true in this case study, ideally stakeholders bridge self-interested activity with the public good through formal stakeholders engaging local/indigenous information and informal stakeholders engaging technical, professional information. Therefore, top stakeholders appear to deal with both physical and non-physical issues.

2. Do most informal stakeholders appear to be engaging in issues directly benefitting their role?

By examining the types of issues each informal and formal stakeholder participates in and if issues they participate in largely benefit their own "role," it is apparent the majority of informal stakeholders do so. That is a large reason stakeholders participate in planning initiatives; when they see a direct benefit relating to their self-interests they tend to participate more readily. Therefore, most informal stakeholders appear to be engaging in issues directly benefitting their role.

3. Do most formal stakeholders appear to engage in issues for the public good?

By examining the types of issues each formal stakeholder participates in and if issues they participate in are largely benefitting their own "role," it is apparent the majority of stakeholders do so. This is important to show to demonstrate there are formal stakeholders looking out for the interests of the public good. Formal stakeholders' self-interest in representing the public good is, in fact, the role those stakeholders are intended to carry out. In fact, the City Administrator and Mayor reported only participating in issues formally for the public good. Therefore, most formal stakeholders appear to be engaging in issues for the public good.

4. Are the majorities of both informal and formal stakeholders learning from both lay, indigenous information and professional, technical information?

(See combined answer below with Q.5)

5. Are the majorities of both informal and formal stakeholders using both lay, indigenous information and professional, technical information?

The next graph explores stakeholders' propensity to use certain types of knowledge and information sources (lay/indigenous or professional/technical) when engaging planning efforts. It also shows what

types of sources (lay/indigenous or professional/technical) they learn this information from or through. This social network map can be understood by:

- *This is a bipartite social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *Black nodes are the knowledge and learning types stakeholders tend towards.*
- *The larger the node the more stakeholders were identified in the snowball survey process.*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*
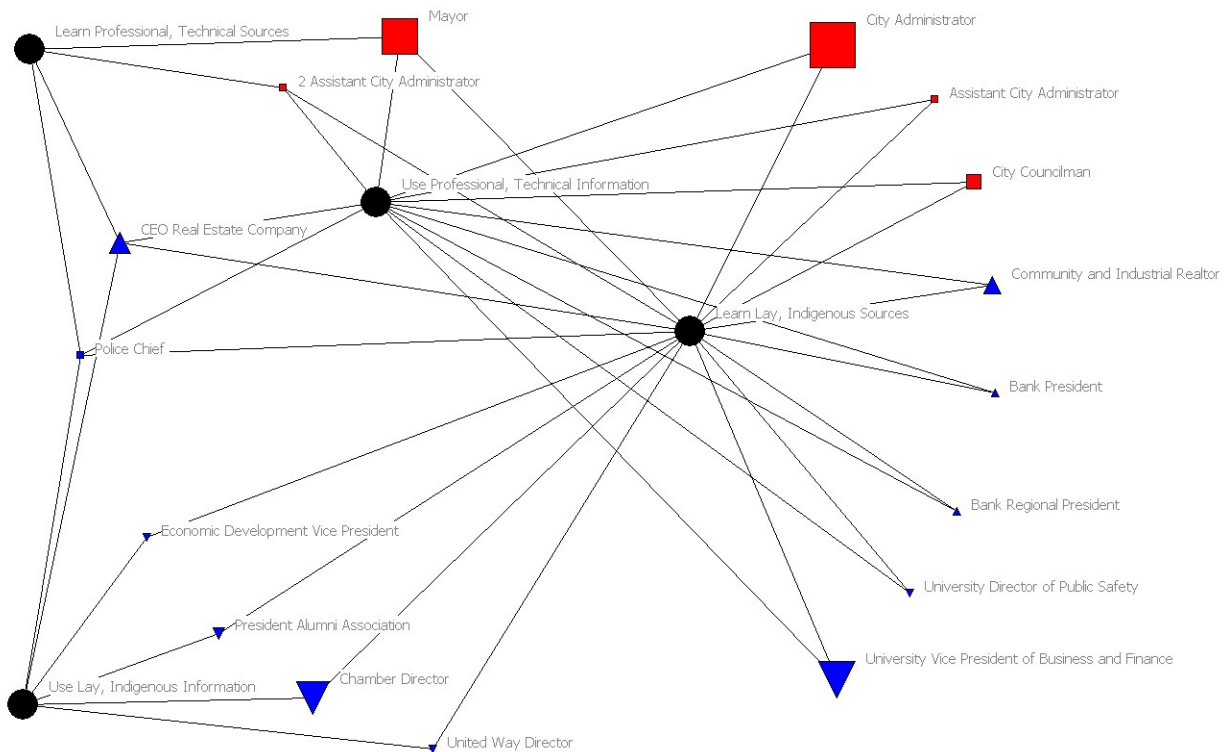
Figure 17. Learning and Using Information Types in Implementation Efforts

This map shows the majority of stakeholders (both informal and formal) interviewed indicated that they tend to learn about community issues from indigenous sources but use professional technical information. However, there is a lack of formal stakeholders utilizing lay, indigenous information (as seen by only blue nodes connecting to the black node in the lower left corner of the map). A few stakeholders utilize different combinations of knowledge sources. Therefore, the majorities of stakeholders are learning and using both lay, indigenous information and professional, technical information.

6. Are stakeholders effectively bridging information types?

It is important for stakeholders to "bridge" everyday, local information types with technical, expert information. In that case study it appears this is not the case. Key formal stakeholders tend to not utilize everyday knowledge, and key stakeholders were missing from the core group (planners) whose job it is to bridge the two types of information. Therefore, stakeholders appear to effectively bridging information types.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Inclusion of Many Information Types

3

QUESTIONS TO ANSWER		
1. Do top key stakeholders participate in both informal and formal issues?	☐ Yes	☒ No
2. Do most informal stakeholders appear to be engaging in issues directly benefitting their role?	☒ Yes	☐ No
3. Do most formal stakeholders appear to engage in issues for the public good?	☒ Yes	☐ No
4. Are the majorities of both informal and formal stakeholders learning from both lay, indigenous information and professional, technical information?	☒ Yes	☐ No
5. Are the majorities of both informal and formal stakeholders using both lay, indigenous information and professional, technical information?	☒ Yes	☐ No
6. Are stakeholders effectively bridging information types?	☐ Yes	☒ No

EXPLANATION OF RESULTS

Stakeholders appear to be utilizing many types of information in their planning efforts. However, formal stakeholders appear to not readily utilize lay, indigenous information. That being said, the variety of world views and information sources exhibited through the interviews indicates many perspectives are coming to the forefront of planning capacity. In fact, at times the multitude of sources may be preventing the community in coming to consensus. Informal and formal stakeholders are utilizing methods most beneficial for them, but not necessarily in traditional coordinated action (connectivity). Since informal stakeholders are utilizing both formality and informality, and formal stakeholders utilize mainly formality, there is a tendency for informal stakeholders to operate outside of the formal process. This is one of the largest challenges to overcome in planning capacity. This was reconfirmed through open-ended dialogue in the interviews where participants indicated there was a large lack of coordinated vision and implementation.

FINAL ASSESSMENT

4/6

RECOMMENDATIONS

Existing and newly engaged formal stakeholders have an opportunity to further engage and utilize local, indigenous sources and information in their work. In addition, stakeholders have the potential to better connect technical and indigenous information through a more extensive visioning process. Traditional visioning processes have not seemed to "stick" in this community where high-turnover and traditional low-unemployment rates have stalled innovative visioning in this community between business and property owners, municipal leaders, and neighborhood groups. Boston's Sustainability Indicators Project is an excellent example of how local, everyday information can be gathered and combined with technical information for planning purposes.

FLEXIBLE ALIGNMENT

Introduction

The next trait, Flexible Alignment, is crucial to identify when determining if there is alignment of a community's planning efforts to one another and to the community's collective planned vision for their future. It is important to assess this trait to determine if, as challenges arise, there are ongoing efforts to realign and deal with new issues. Finally, this trait is important when considering the community's ability to elastically grow and evolve their collective vision to the changing challenges facing a locale.

Assessment Questions

1) *Are there informal stakeholders who are generalists and some who are specialists?*
2) *Are there formal stakeholders who are generalists and some who are specialists?*
3) *Are there informal and formal stakeholders strong in informal and formal individual work and collaboration?*
4) *Are formal stakeholders generally motivated to participate for the public good?*
5) *Are there some informal stakeholders with influence who are motivated to participate for the public good?*
6) *Do stakeholders sense there is a collective vision the community is working towards?*

1. Are there informal stakeholders who are generalists and some who are specialists?

(See combined answer below with Q.2)

2. Are there formal stakeholders who are generalists and some who are specialists?

Stakeholders were asked to report which of the possible 35 issues they worked on informally (meaning behind the scenes influence) and which of this same list of issues they worked on formally (meaning overt power). This set of "scores" is the first indicator of whether or not a stakeholder is specialized in their formal or informal participation or is more of a generalist in either category. Some stakeholders tend to work behind the scenes, while others work more overtly.

Table 4. Individual Work on Issues

	Informal	Formal
City Administrator	0	36
Assistant City Administrator	12	31
University Vice President of Business and Finance	10	28
Mayor	0	27
Bank Regional President	2	4
Police Chief	8	15
Chamber Director	36	35
Community and Industrial Realtor	10	6
President Alumni Association	1	6
Bank President	21	11
University Director of Public Safety	7	7
United Way Director	7	6
Economic Development Vice President	11	7
CEO Real Estate Company	10	13
2 Assistant City Administrator	14	12
City Councilman	34	34

Stakeholders with a top score of 10 or less in either the formal or informal category can generally be considered specialized, not generalists in their work. This threshold was established based on each of the five community resource areas (social, human, environmental, financial, and physical). Each area has approximately 5-10 issues included. For instance, the Vice President of Business and Finance had a score of 10 in informal work (meaning he or she were specialized in informal efforts) but a top score of 28 in the formal category, indicating this individual was a generalist overall and preferred to work overtly.

Generalists are usually formal stakeholders (public good) while informal stakeholders tend to be specialists (self-interests). However, that is not always the case. For instance, the City Administrator (generalist in formality), Mayor (generalist in formality) follow this line of reasoning, but the Bank President (generalist in informality), and Alumni Association President (specialist in formality) do not.

Some stakeholders have balanced, higher scores in both informality and formality. That indicates they network and wield power and influence well by connecting many different issue areas. That also signifies they maintain weak ties well –meaning keep in touch well with those who they know a little bit. The Chamber Director (generalist in informality AND formality), the City Councilman (generalist in informality AND formality), and the Bank President (specialist in formality AND generalist in informality) are prime examples of this. Those stakeholders are more capable of bridging formality and informality and thus are candidates for serving as power brokers (individuals capable of both influence--weak ties AND power--strong ties). Therefore, there are informal and formal stakeholders who are generalists and informal and formal stakeholders who are specialists.

3. Are there informal and formal stakeholders strong in informal and formal individual work and collaboration?

Next, each stakeholder was asked to name which community issues they work on with their three most regular relations in the network (collaborative work). This indicates how complex a stakeholder's strong ties are. And, this is the other litmus test to determine if the power brokers identified in the previous section are, in fact, power brokers (wielding weak and strong ties).

To explain, for each self-reported relation a stakeholder could list collaborating on 35 issue categories in planning implementation. The total possible score is 105 (35 potential issues for each of their 3 relations they listed). The larger either score is the more community resources a stakeholder is collaboratively involved in dealing with and, therefore, is more of a generalist (physical, social, environmental, financial, and human resources). Stakeholders with lower numbers, as such, are not as collaborative. For peer-reported collaboration, the total score possible is a multiplier of the number of stakeholders identifying

them as a regular relation in their planning implementation work times the number of issues they were named working on with that relation. Note how the rankings change only slightly from peer-reported to self-reported collaboration on planning issues.

The only stakeholder previously identified as a potential power-broker that appears to maintain strong ties well through collaboration is the Chamber Director (an informal stakeholder). The other two, the City Councilman and the Bank President, are only skilled with weak relations. This being said, they appear to bridge community groups and issues together in more diffuse connections through influence but are not as strong in direct power. Therefore, there are informal and formal stakeholders that are strong in informal and formal work and collaboration.

4. Are formal stakeholders generally motivated to participate for the public good?

(See combined answer below with Q.5)

5. Are there some informal stakeholders with influence who are motivated to participate for the public good?

Figure 18, below, outlines stakeholders' motivation to participate in planning implementation. This alludes to their willingness to align to the community vision. Four options were given to interviewees to indicate why they participate:

1) *my best interests*
2) *issues benefited me directly*
3) *satisfaction of doing something good for the community*
4) *notoriety for doing something good for the community*

This social network map can be understood by:

- *This is a bipartite social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *Black nodes are the motivation types stakeholders tend towards.*
- *The larger the node the more times stakeholders were identified within the snowball survey.*

Table 5. Collaborative Work on Issues	Peer-Reported Collaborative Issues	Self-Reported Collaborative Issues
City Administrator	170	86
Assistant City Administrator	34	83
University Vice President of Business & Finance	58	75
Mayor	112	66
Bank Regional President	9	57
Police Chief	19	43
Chamber Director	61	41
Community and Industrial Realtor	55	37
President Alumni Association	3	34
Bank President	20	28
University Director of Public Safety	6	22
United Way Director	3	20
Economic Development Vice President	13	18
CEO Real Estate Company	6	16
2 Assistant City Administrator	11	13
City Councilman	16	10
Citizen At Large	4	
Traffic Engineer	4	
United Way Campaign Chair	4	
Board President United Way	6	
Banker	7	
Realtor	15	
County Human Services	5	
CVB	3	
University Vice President of Student Affairs	5	

- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*
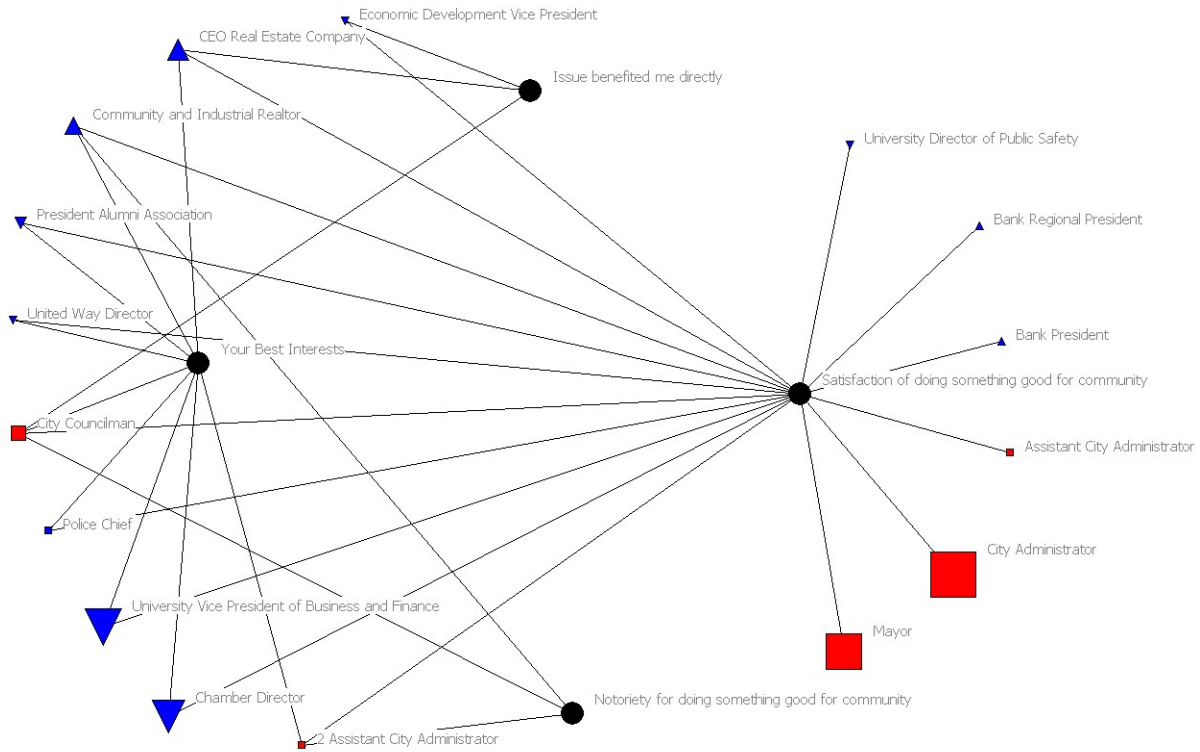

Figure 18. Motivation to Participate

Not surprisingly the City Administrator and Mayor chose politically neutral answers; on several occasions throughout the interview they mentioned the importance of their neutrality as political figureheads. That acknowledges their role as working towards public good. In contrast, informal stakeholders chose different motivations. They (at least the ones with peer-reported power) admitted the issues benefiting them directly were also good for the community. That honesty reveals while they at least try to work towards maintaining public goods, they acknowledge their participation is partly self-interested. That, coupled with formal stakeholders' motivation for public good, supports flexible alignment. Therefore, formal stakeholders appear to generally be motivated for the public good, and there are informal stakeholders with influence who are motivated to participate for the public good as well.

6. Do stakeholders sense there is a collective vision the community is working towards?

Almost every interviewee stated there is a lack of collective vision the broader community works towards. Some suggest that was a consequence of a general lack of community leadership. Many others stated that the city administration bottlenecks progress and does not adequately engage the private sector (business and development cliques) in aligning public work to the realities of the economic issues at hand. Given that information, Self-Interest Theory appears to align with the reported motivation and flexible participation patterns in this case study's core stakeholders planning efforts. There seems to be a lack of elastic vision and purpose for this community's planning efforts. Therefore, stakeholders do not sense there is a collective vision the community is working towards.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Flexible Alignment

4

QUESTIONS TO ANSWER		
1. Are there informal stakeholders who are generalists and some who are specialists?	☒ Yes	☐ No
2. Are there formal stakeholders who are generalists and some who are specialists?	☒ Yes	☐ No
3. Are there informal and formal stakeholders strong in informal and formal individual work and collaboration?	☒ Yes	☐ No
4. Are formal stakeholders generally motivated to participate for the public good?	☒ Yes	☐ No
5. Are there some informal stakeholders with influence who are motivated to participate for the public good?	☐ Yes	☒ No
6. Do stakeholders sense there is a collective vision the community is working towards?	☐ Yes	☒ No

EXPLANATION OF RESULTS

There appears to be a lack of flexible alignment in this community with a broader vision and planning priorities. Although well connected, City Administration appears to be preventing alignment to a broader-community vision by failing to connect informality and formality. This appears to be due to the reliance of strong ties (direct power) and a lack of influence or indirect power (weak ties). Three stakeholders appear to have direct power and influence to align various stakeholders in achieving a larger vision. However, this appears to not be enough as greater alignment is overall not occurring.

FINAL ASSESSMENT

4/6

RECOMMENDATIONS

Motivating informal stakeholders to work towards a collective community vision is paramount. The creation of ad-hoc municipal advisory groups lead by private-sector community leaders is a great way to accomplish this and has been highly successful within other communities. In fact, some of the most successful plans and planning activity is lead by private-sector business leaders within a community as their economic short AND long-term needs are the primary driver of the sustainability of a community. Rockford, Illinois' Mayoral Civic Advisory Groups are a great example of how formal and informal community stakeholders are given a formal communication medium to work together—lead by informal stakeholders.

EFFECTIVE TIMING

Introduction

The next trait of "Engaged Planning Communities" is about on-going planning efforts connecting with the future. Effective Timing measures the autopoiesis of the community's stakeholders and participation efforts. That includes how long each member reported being in their current roles and living in the community, participation rates, and how often they learn about community issues. Transaction Cost Economics Theory asserts supply and leads stakeholders to determine whether or not to exchange goods or ideas. Low levels of effective timing are exhibited when:

1) *stakeholder turnover prevents progress,*
2) *ongoing implementation of the comprehensive plan is lacking, and*
3) *informal stakeholder's short-term economic interests are overriding collective work towards this long-term vision and plan.*

Assessment Questions

1) *Have most stakeholders lived in the community for less than 10 years?*
2) *Are most stakeholders not newcomers to participation in planning implementation?*
3) *Does stakeholder turnover allow for progress?*
4) *Do most stakeholders regularly learn about planning implementation issues?*
5) *Do most stakeholders regularly participate in planning implementation efforts?*
6) *Do the short-term economic interests not override the long-term vision of the community?*

1. Have most stakeholders lived in the community for less than 10 years?

(See combined answer below with Q.2)

2. Are most stakeholders not newcomers to participation in planning implementation?

Most stakeholders reported living within the community for over a long time. The newest residents were all informal stakeholders. Overall stakeholders reported longevity in roles and positions within the network, indicating a semi-closed network that is not easily accessible by just anyone. The City Administrator has been in their position in this community for over a decade. Conversely, informal stakeholders mentioned their roles have changed in community planning over the years, despite almost always being long-term residents. This makes sense as there is turnover in organizations and issues. No one interviewed indicated they were a "newcomer." Every interviewee indicated they had been in their current role for at least a few years. Therefore, most stakeholders have not lived in the community for less than 10 years, and most stakeholders are not new to participation in local planning efforts.

3. Does stakeholder turnover allow for progress?

Formal stakeholders' longevity in their positions works to keep the network partially closed. The lack of newcomers to the core stakeholder group limits the weak ties and resources the core has at hand to deal with many of the communities' problems as issues evolve. Therefore, stakeholder turnover does not appear to be allowing for progress.

4. Do most stakeholders regularly learn about planning implementation issues?

The next social network map, exploring how regularly stakeholders report learning about planning issues, has the following characteristics:

- *This is a directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The more stakeholders say they learn about planning issues the larger the node size.*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*
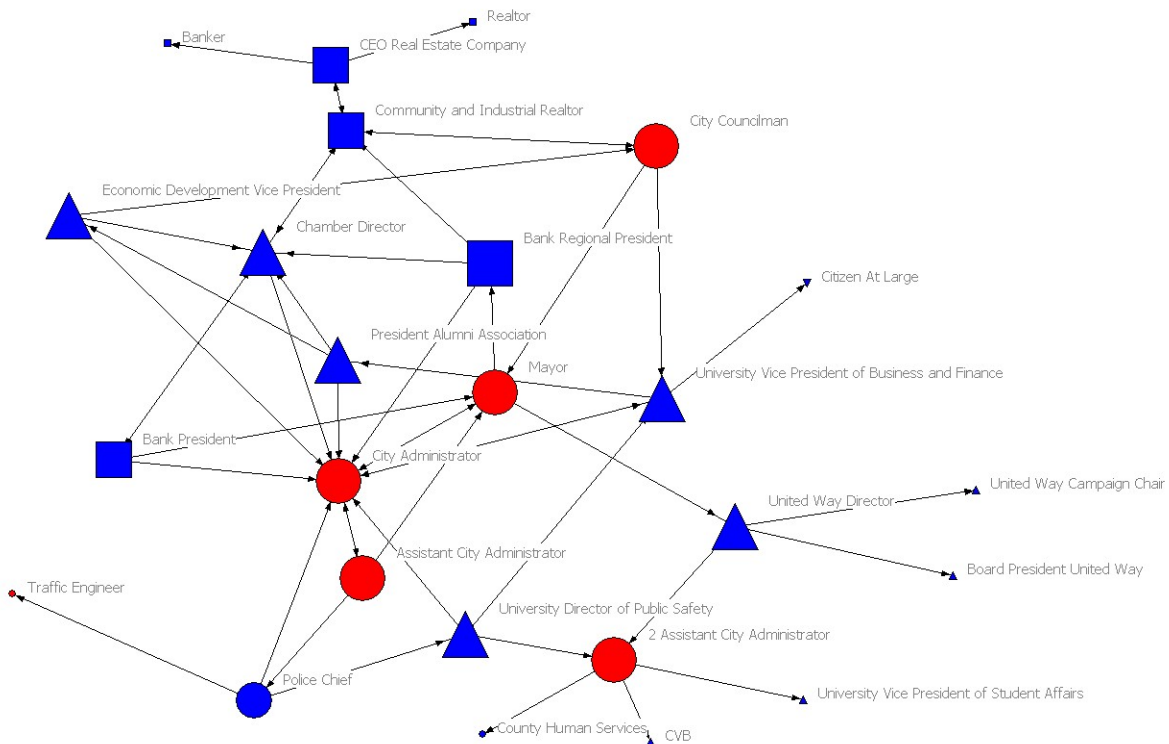
Figure 19. How Often Learn About Community Issues

Here, too, all stakeholders interviewed reported high rates of learning about community issues. Both informal and formal stakeholders appear to involve themselves in planning regularly. However, that

partially contradicts with the finding that there is not much turnover in the formal stakeholders for autopoiesis in the planning network. With the lack of vision comes a tendency to result in reactionary planning efforts. While that is not a firm rule, it does appear more work can be done by the marginalized planning staff to align the timing of projects. Even so, the answer to this question is "yes."

5. Do most stakeholders regularly participate in planning implementation efforts?

The next social network map shows the self-reporting of regularized participation (Figure 20). Participation indicates how often stakeholders engage in planning efforts. Regular participation by the majority of stakeholders indicates their ability to implement through either informality or formality is maintained.
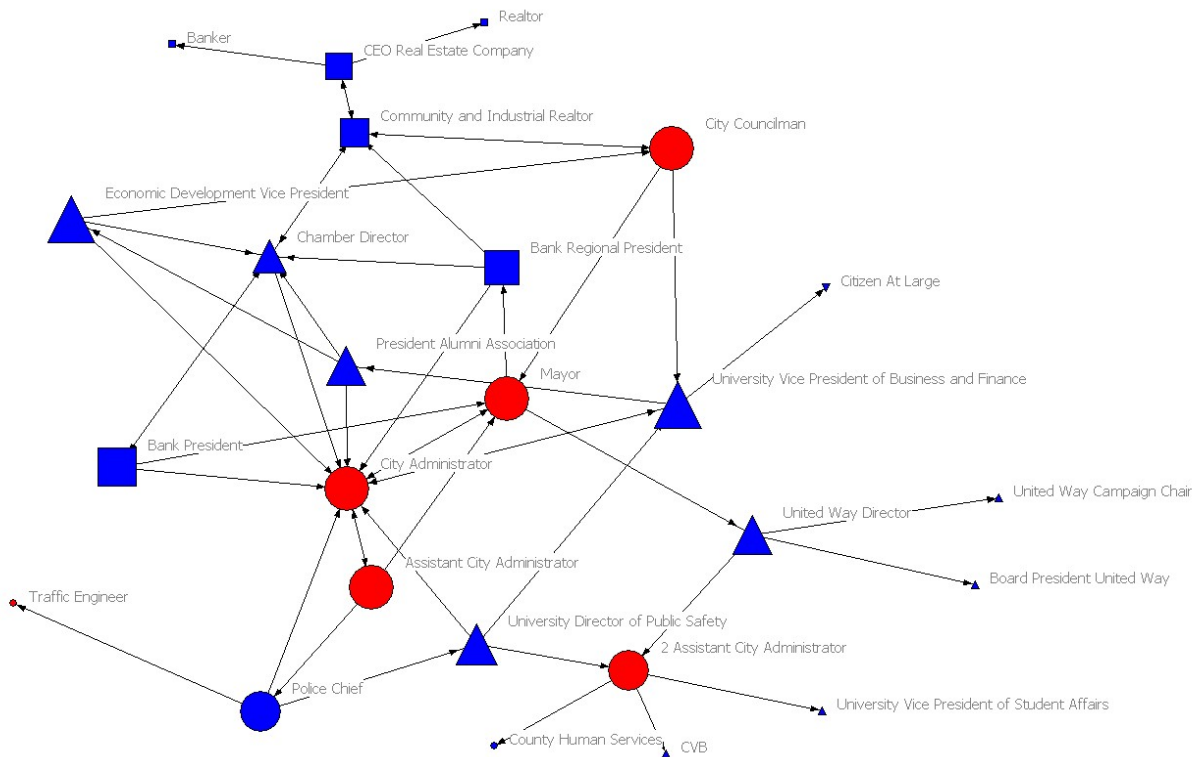
Figure 20. How Often Stakeholders Participate with Community Issues

This map can be understood by:

- *This is a directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The more stakeholders report participation the larger their node size.*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*

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All stakeholders interviewed reported high participation rates. This indicates on-going work in local planning capacity. However, this map does not indicate if this work is inside the formal process where a collective vision is being worked towards or if it is mainly outside the formal process where short-term economic interests are the main priority. This will be explored further next. Therefore, most stakeholders regularly participate in planning implementation efforts.

6. Do short-term economic interests not override the long-term vision of the community?
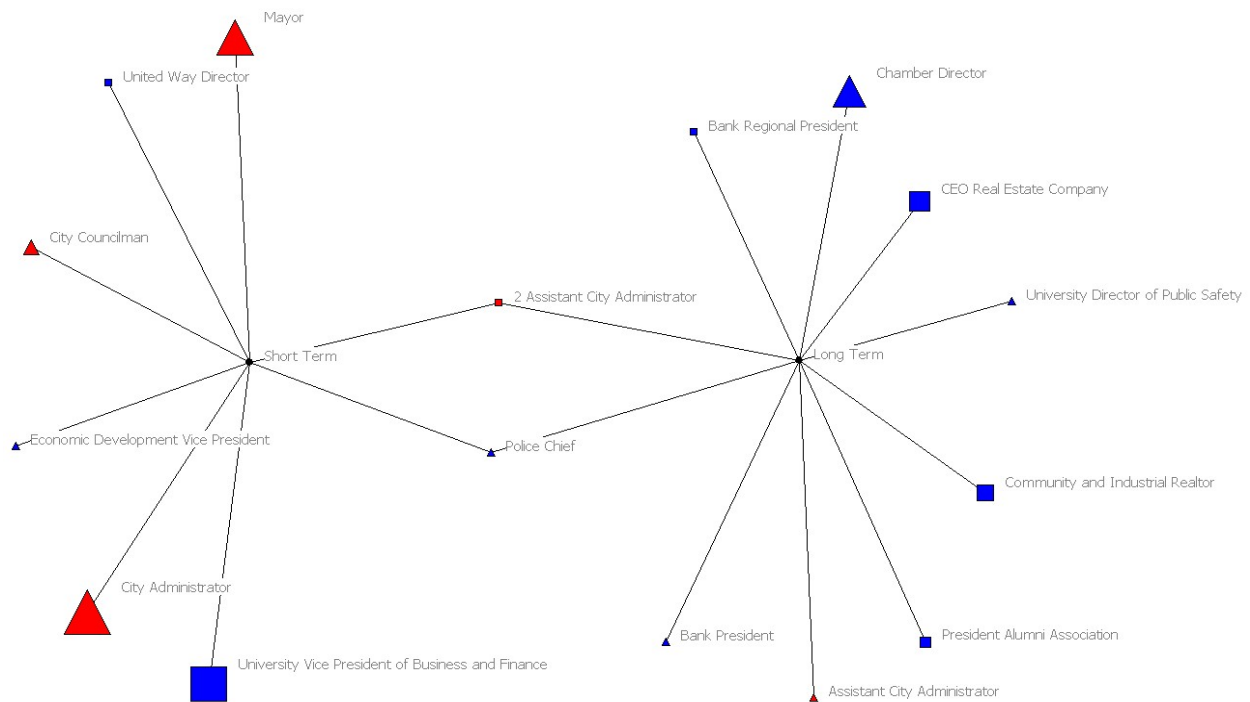
Figure   21.   Comparing   Importance   of   Short   and   Long   Term   Interests   of   the   Community

Figure 21, above, indicates which individuals feel short-term economic interests of community members are more influential in planning capacity. It also indicates which individuals feel long-range planning goals of the community are more influential in planning capacity. This final social network map can be understood by:

- *This is a bipartite social network map.*
- *Blue nodes indicate informal stakeholders; red formal. Black nodes are the short and long term interest responses.*
- *The larger the node the more self-reported influence the stakeholder felt they had on that resource area.*

While results are fairly evenly split, almost all the formal stakeholders believe the short-term economic interests of community members have the most influence. Only one informal stakeholder with influence falls in that group; that stakeholder is the one peers reported most often when naming individuals with the most influence in dealing with community issues. Conversely, most informal stakeholders felt long-range planning goals of the city were more important.

Those findings were also supported by sentiments shared in the open-ended questions. Many felt they needed to keep the City Administrator in the "loop." But, no one mentioned needing to engage other formal planning stakeholders in order to communicate about various community issues. In fact, two key stakeholders (banking and real estate) mentioned an exclusive group of informal stakeholders met on a regular basis in private to achieve their goals.

As stated in an earlier trait assessment, the community's comprehensive plan was cited by a large majority of individuals as being irrelevant, in practice. Some of the largest areas slated for growth had not been developed because property owners' economic interests did not align with the plan. Special interest groups successfully prevented municipal and county government officials from incentivizing two large, new development projects in the last five years.

Further complicating matters was a wide disparity in opinions in how the community should grow. Smart growth turned into stunted growth for the community over the last decade. Very low unemployment rates undoubtedly were a key factor making it difficult for growth of any kind.

Formal stakeholders directly acknowledged that stakeholders' short-term economic interests drive community planning. Informal stakeholders admitted self-interest was a key factor in their motivation to participate, but humility perhaps prevented them from acknowledging their priorities override long-range planning goals. Finally, as affirmed through the key informant interviews planning professionals did not seem to be effectively understanding and engaging informality in this community. Therefore, short-term economic interests do appear to override the long-term vision of the community.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Effective Timing

5

QUESTIONS TO ANSWER		
1. Have most stakeholders lived in the community for less than 10 years?	☐ Yes	☒ No
2. Are most stakeholders not newcomers to participation in planning implementation?	☒ Yes	☐ No
3. Does stakeholder turnover allow for progress?	☐ Yes	☒ No
4. Do most stakeholders regularly learn about planning implementation issues?	☒ Yes	☐ No
5. Do most stakeholders regularly participate in planning implementation efforts?	☒ Yes	☐ No
6. Do the short-term economic interests not override the long-term vision of the community?	☐ Yes	☒ No

EXPLANATION OF RESULTS

Effective timing seems to be an opportunity for improvement for this community. With the lack of vision comes a tendency to result in reactionary planning efforts. While that is not a firm rule, it does appear more work can be done by the marginalized planning staff to align the timing of projects. Formal stakeholders' longevity in their positions works to keep the network partially closed. That limits the weak ties and resources the core has at hand to deal with many of the communities problems as issues evolve. Again, there is high reporting (by both the key informant and the informal and formal stakeholders themselves) of the community not moving towards a collective future. The development and banking communities reported, in particular, frustration with the lack of vision. Instead, the economic, short-term interests are overriding the ability of the community to work towards public goods.

FINAL ASSESSMENT

3/6

RECOMMENDATIONS

Turnover amongst the core stakeholders in this community appears to have stalled. Opening that network to new leadership and innovative thinkers may assist the community in moving towards a collective vision that has broad-based support among different sectors in the community. With formal stakeholder leadership failing to garner support for initiatives aligning with the existing long-range plan, there is an opportunity in the short-term for leadership to better engage informal leaders in aligning private-sector initiatives with the public good. This may take formal leadership going outside their comfort zone and engaging informal leadership on their own terms. Chicago Metropolitan Agency for Planning does an excellent job engaging the private sector in their regional planning work.

ACCESSIBILITY OF LEADERSHIP

Introduction

Leadership accessibility does not just mean having an open-door policy. It means working with non-leadership to achieve the community's collective goals. Accessible leadership results in a more organic, not mechanistic, model of planning. When this occurs it further indicates an open network where new leaders influence the outcomes of the community's planning efforts as needed. This is being assessed through degree centrality, group affiliations, issue reciprocity, and directional network analysis.

Table 6. Freeman's Centrality Calculation	OutDegree	InDegree
City Administrator	3	10
Chamber Director	3	5
Mayor	3	4
Community and Industrial Realtor	3	4
University Vice President of Business and Finance	3	3
2 Assistant City Administrator	3	2
City Councilman	3	2
Assistant City Administrator	3	1
Bank Regional President	3	1
Police Chief	3	1
President Alumni Association	3	1
Bank President	3	1
University Director of Public Safety	3	1
United Way Director	3	1
Economic Development Vice President	3	1
CEO Real Estate Company	3	1
Citizen At Large	0	1
Traffic Engineer	0	1
United Way Campaign Chair	0	1
Board President United Way	0	1
Banker	0	1
Realtor	0	1
County Human Services	0	1
CVB	0	1
University Vice President of Student Affairs	0	1

Assessment Questions

1) *Does a mix of informal and formal stakeholders have strong ties through the amount of connections they have to other stakeholders?*
2) *Does the network appear to be overly decentralized?*
3) *Does the network appear to be overly centralized?*
4) *Does a mix of informal and formal stakeholders have strong ties through reciprocity?*
5) *Do the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public?*
6) *Does leadership appear accessible through both formal and informal channels?*

1. Does a mix of informal and formal stakeholders have strong ties through the amount of connections they have to other stakeholders?

First to assess this, degree centrality was calculated for the network using Freeman's Approach (Monge and Contractor 2003). Freeman developed basic centrality measures of stakeholders based on their degree of connections and centralization within their network. The table to the right evaluates the number of people naming each other in the network. As shown, each interviewee was asked to name three individuals they regularly work with in planning efforts. This

resulted in an out-degree of 3 for each stakeholder.

The in-degree, however, is more revealing. As demonstrated in the univariate statistics mentioned before, the stakeholders with the highest in-degree centrality are the City Administrator, the University Vice President of Business and Finance, the Mayor, the Chamber Director, and the Community and Industrial Realtor. That indicates those five informal and formal stakeholders have strong ties, or relations. Therefore, yes there appears to be a mix of informal and formal stakeholders have strong ties through the amount of connections they have to other stakeholders.

2. Does the network appear to be overly decentralized?

(See combined answer below with Q.3)

3. Does the network appear to be overly centralized?

The data initially indicates the formal implementation sub-network is highly centralized in this case study. Only two formal stakeholders appear to have direct power (the City Administrator and Mayor). That is reaffirmed by the degree of ties they have with other stakeholders of the network and through open-ended answers given within the interviews and by several interviewees affirming this through various personal stories and accounts of their interaction with City Administration. Therefore, the network does not appear to be overly decentralized, but it does appear to be overly centralized.

4. Does a mix of informal and formal stakeholders have strong ties through reciprocity?

The next social network analysis explored reciprocity in the planning network. That means communication was mutually identified within a dyad (relationship pairing) on the same issues and that indicates stakeholders' strength in close relationships in this case study's planning efforts. That is important to determine direct power. Of those who experienced any level of reciprocity (symmetry) in their communications about various community issues, the rankings are in the table to the right. For instance,

Table 7. Reciprocity	Symmetric	Non-Symmetric
Community and Industrial Realtor	1.00	0.00
University Vice President of Business and Finance	0.50	0.50
City Administrator	0.38	0.63
Assistant City Administrator	0.33	0.67
Chamber Director	0.33	0.67
Bank President	0.33	0.67
CEO Real Estate Company	0.33	0.67
City Councilman	0.33	0.67
Mayor	0.20	0.80
Bank Regional President	0.00	1.00
Police Chief	0.00	1.00
President Alumni Association	0.00	1.00
University Director of Public Safety	0.00	1.00
Economic Development Vice President	0.00	1.00
Banker	0.00	1.00
Realtor	0.00	1.00

for every relationship the Community and Industrial Realtor had in dealing with community issues, his or her fellow dyadic actor named working on the same issues. On the opposite end of the spectrum[50], for every issue the Bank Regional President named, none of his or her fellow stakeholders named similar issues.

The Community and Industrial Realtor, the University Vice President of Business and Finance, and the City Administrator had the greatest amount of issue reciprocity. As those are also some of the most connected and most influential[51] individuals in the community, that indicates a likelihood of accessible leaders. Therefore, a mix of informal and formal stakeholders has strong ties through reciprocity.

5. Do the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public?

Tracking group affiliation[52] reveals which stakeholders (both informal and formal) identify themselves as both leaders and as members of the general public. Individuals doing so are more accessible than those who just view themselves as leaders within the community. If the top leadership (through previous assessment methods above) views themselves as "suits" then they may have a difficult time with informality, and thus wielding influence. The next social network map, exploring group affiliations, has the following characteristics:

- *This is a bipartite social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node the more times stakeholders were identified within the snowball survey process.*
- *Black nodes indicate which group(s) they affiliate with.*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*

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[50] Italicized stakeholders were not interviewed due to declining to participate or non-response.
[51] To be explored further in the trait, Communicative Skill later in this chapter.
[52] General public, special interests, community leader, city staff, and elected official
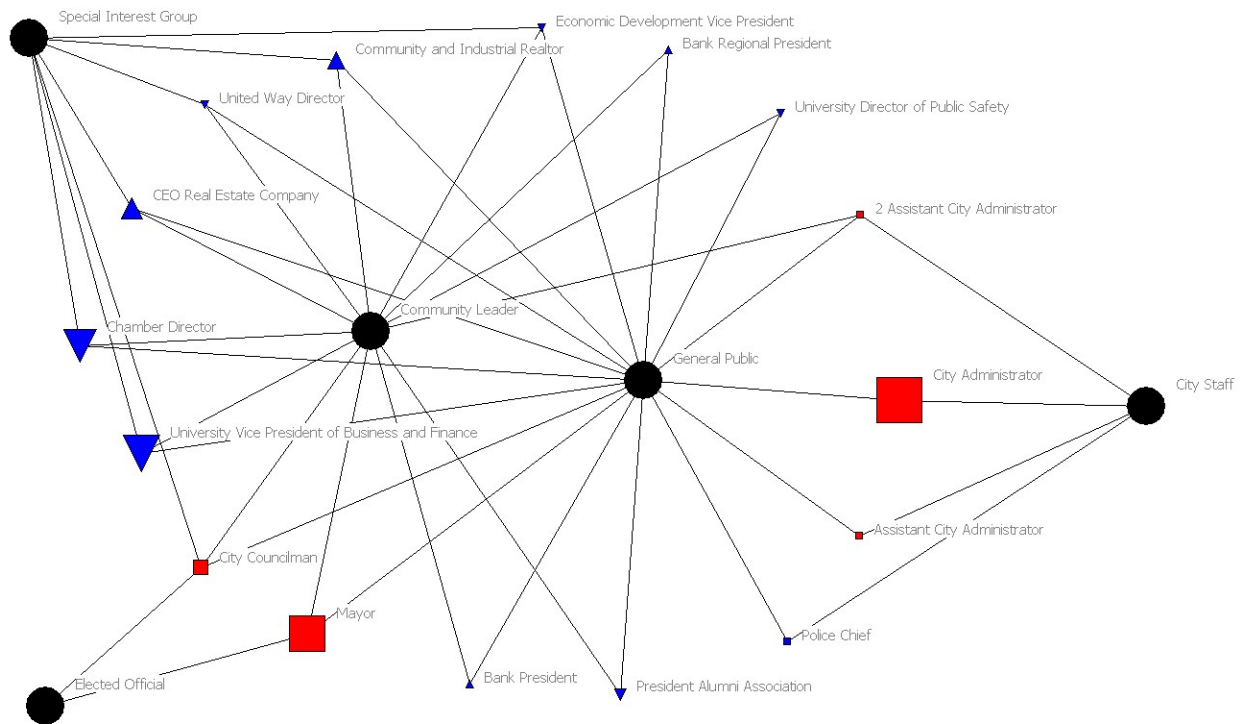
Figure 22. Group Affiliation

Every stakeholder identified themselves as being a member of the general public. All formal stakeholders in the snowball survey were officially involved in the community planning process through their title or role. Informal stakeholders in land development and banking acknowledged their special interest role in community planning. That correlates with the higher level of influence of these stakeholders as explained in the next section. Therefore, the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public.

6. Does leadership appear accessible through both formal and informal channels?

The next social network map explores relational reciprocity within the network. It has the following characteristics:

- *This is a hierarchical directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node the more times stakeholders were identified within the snowball survey process.*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*
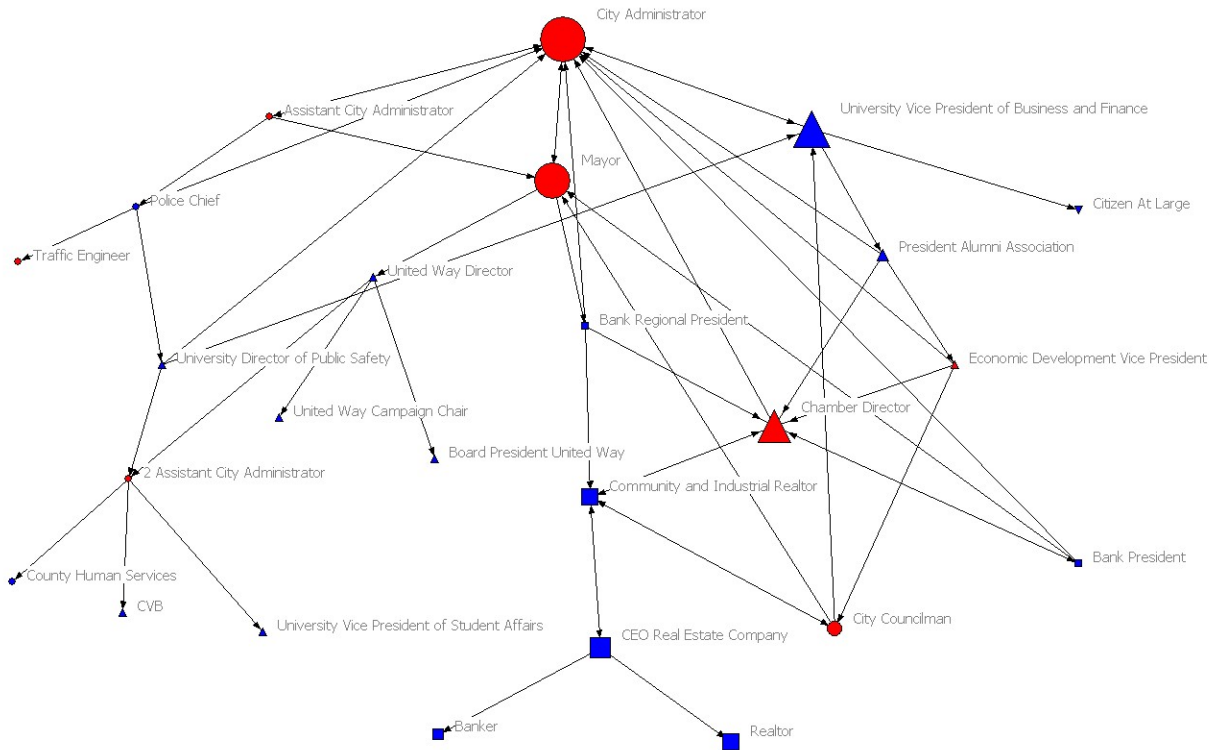
Figure 23. Directional Network

When looking at the hierarchical, directional graph above, it becomes apparent communication flow is concentrated towards a few key stakeholders. Individuals with high levels of peer and self-reported power appear to have the most reciprocated relationships. That is perhaps an indication of how strong the relationships are for those individuals. As seen later in the analysis, stakeholders with the highest levels of reciprocity are also the ones that appear to be brokers within the network between the informality and formality in this community's planning efforts.

However, accessibility of leadership is not limited to mere accessibility. It is also about the *quality* of the accessibility. In top-down planning approaches leadership is accessible, but it does not always result in engaging informality and planning efforts outside of formal efforts.

Balance Theory posits communication between individuals is predicated on the presence of their ties to the rest of the network. If leadership is accessible and egalitarian a more organic model helps a community implement planning. Looking at the social network map above through this lens, it does appear leadership is accessible. While many list the most influential stakeholders within the network, these leaders cross both informal and formal sub-networks. Therefore, leadership appears accessible through both formal and informal channels.

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ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Accessibility of Leadership

6

QUESTIONS TO ANSWER		
1. Does a mix of informal and formal stakeholders have strong ties through the amount of connections they have to other stakeholders?	☒ Yes	☐ No
2. Does the network appear to be overly decentralized?	☐ Yes	☒ No
3. Does the network appear to be overly centralized?	☒ Yes	☐ No
4. Does a mix of informal and formal stakeholders have strong ties through reciprocity?	☒ Yes	☐ No
5. Do the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public?	☒ Yes	☐ No
6. Does leadership appear accessible through both formal and informal channels?	☒ Yes	☐ No

EXPLANATION OF RESULTS

The accessibility of the leadership in this community appears to be one of the brightest spots found. Both formal and informal stakeholders were cited as being available. In fact, perhaps some were too available in their long tenure in their positions in that lack of turnover appears to be resulting in stagnation in vision and ideas. That is a result of the core stakeholder network being too centralized.

FINAL ASSESSMENT

5/6

RECOMMENDATIONS

Decentralizing the network appears to be an opportunity for the existing core formal and informal stakeholders to engage each other more effectively AND opening the network to new stakeholders (and thus new perspectives). That can be done through understanding how indirect power and communication (influence) is not being utilized as much as direct power and communication in this community. Instead of doing direct planning, initiatives utilizing the approach of the planning of planning (secondary planning) can empower more community members to engage in planning activity. Angelique Chettiparamb is an innovative planning researcher who has developed a new model of local planning to better engage local community members.

COMMUNICATIVE SKILL

Introduction

Communicative skill assesses how effective stakeholders are in wielding power and influence. Power, to reiterate, is overt and direct ability to affect change in planning participation. Influence is covert and indirect (behind the scenes) ability to affect change. Power brokers utilize both while being generalists (to some extent) in their participation.

Assessment Questions

1) *Do some formal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?*
2) *Do some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?*
3) *Are the informal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?*
4) *Are the formal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?*
5) *Are there stakeholders capable of garnering consensus towards a collective vision?*
6) *Are power and influence working together (not circumventing informality or formality) in this community?*

1. Do some formal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?

(See combined answer below with Q.2)

2. Do some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?

Bonacich Power was computed for the network. In this case study Bonacich's Power calculations indicate stakeholders have more influence[53] because of having *certain* connections. Using a positive attenuation factor (.5), this calculation posits the more connections one has that are well connected themselves, the more influence one has. In other words, it's not how many people one knows, it is about knowing the right people. If influence is too concentrated the communicative skill breaks down and planning efforts suffer.

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[53] The original calculation described this as "power," but the term as used originally within this dissertation is more closely aligned with the use of the word "influence."

Using a negative attenuation factor (-.5) this calculation can also be used to determine power (not necessarily influence) in a different way: that of dependency. In other words, if an ego is connected to stakeholders that don't have a lot of connections themselves, they are most likely more dependent, or vulnerable, on the ego stakeholder. That is supported by Network Exchange Theory.

The basic network and network of relations based on issues discussed were calculated for both Bonacich positive and negative attenuation factors. In terms of positive attenuation factors (knowing the right folks), it appears power and influence is highest for the President of the Alumni Association, the Chamber Director, the Economic Development Vice President, the Bank President, and the Regional Bank President. The City Administrator and Mayor are towards the middle rankings of influence according to this calculation.

In terms of negative attenuation factors the CEO of the Real Estate Company, 2nd Assistant City Administrator, City Councilman, and Chamber Director have the highest ratings in this calculation. That indicates they are powerful (direct power) because people are dependent on them. Again, the City Administrator and Mayor are towards the middle rankings of power.

Table 8. Bonacich Scores	Basic Negative	Basic Positive	Issues Negative	Issues Positive
City Administrator	1.36	-10	1.5	-13
Assistant City Administrator	0.78	-8.5	1.5	-13
University Vice President of Business and Finance	1.78	-11	0.3	-6
Mayor	0.72	-7.5	1.3	-14
Bank Regional President	1.7	-15	0	-18
Police Chief	2.36	-5.1	0.3	-6
Chamber Director	2.86	-14	2.5	-27
Community and Industrial Realtor	-1.6	-12	-1	-23
President Alumni Association	1.08	-17	0	-18
Bank President	0.53	-13	0.4	-24
University Director of Public Safety	-0.1	-6	0.9	-2
United Way Director	1.5	4.5	0	0
Economic Development Vice President	-0.4	-15	-0	-19
CEO Real Estate Company	3.81	-2.8	3.4	-8
2 Assistant City Administrator	3	3	0	0
City Councilman	2.55	-12	1.8	-16

While those two individuals are the most-often relied on formal stakeholders in the network, they are not that influential (indirect power) according to Bonacich calculations overall. That conclusion is contradicted by the amount of times those two stakeholders were named as being among the most influential people in the community's planning efforts. Community leaders THINK the City Administrator and Mayor are influential and powerful, but they might not be quite as powerful and influential as first thought.

The graph below (Figure 24) is a visual representation of the information. The social network map has the following characteristics:

- *This is a directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node, the higher the stakeholders' Bonacich Score.*
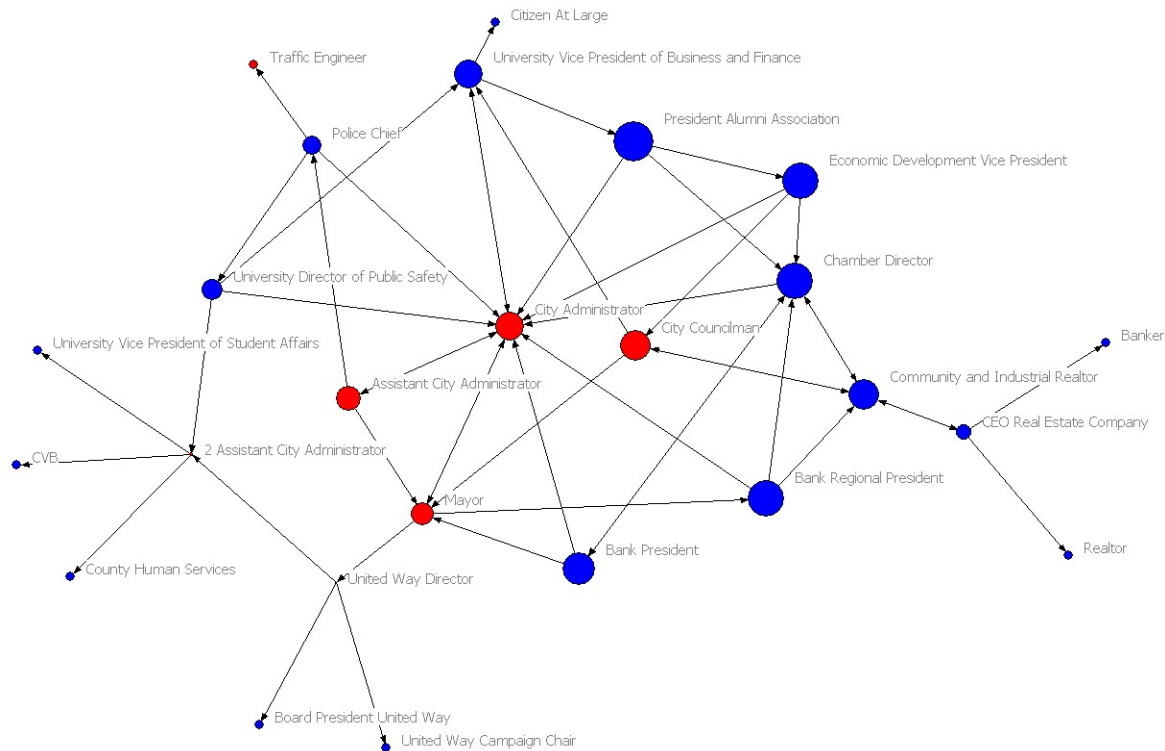
Figure 24. Bonacich Power

Perhaps most striking (when reviewing the lists of participants in the snowball survey participants and the social network map--see above) is the absence of key formal planning stakeholders. Not present are professional planners, planning and zoning commissioners, and city councilpersons with formal planning experience. Planning professionals are either in an isolated clique or are isolates themselves. That was affirmed through the key informant interviews; also, only one snowball interviewee named a planning official--a planning and zoning commissioner. When stakeholders are prevented from participating in planning, they have little influence and power within the network. Therefore, the formal stakeholders most often relied upon in the network do not tend to rank towards the top of the power and influence calculations, but some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations.

3. Are the informal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?

(See combined answer below with Q.6)

4. Are the formal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?

(See combined answer below with Q. 6)

5. Are there stakeholders capable of garnering consensus towards a collective vision?

(See combined answer below with Q. 6)

6. Are power and influence working together (not circumventing informality or formality) in this community?

Bonacich Scores with Group Memberships

Figure 25 examines whether there is a correlation between stakeholders with high Bonacich power levels and the amount of community organizations they are a member of. Network Exchange Theory indicates the more memberships a stakeholder has the more communicative skill they should have. Figure 22 has the following characteristics:

- *This is a directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node, the higher correlation between a stakeholder's Bonacich Score and amount of community organizations they are members of.*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (circle), Private Sector (square), Non-Profit Sector (triangle)*
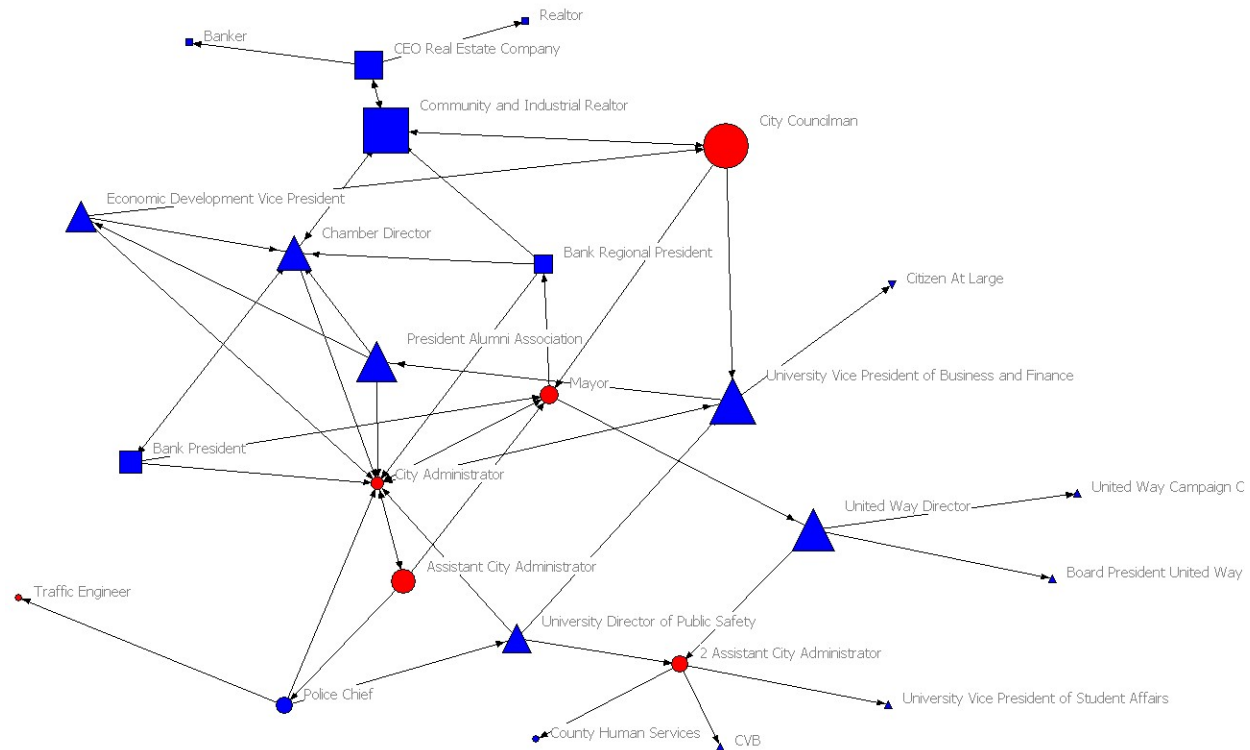
Figure 25. Bonacich Power Compared to Memberships

A clear pattern emerges where key informal stakeholders with high Bonacich power levels and who are considered to have significant influence in dealing with community issues appear to broker ties to key sectors. For instance, the Chamber Director appears to broker information between the City Administrator and the banking and land development sector. The United Way Director brokers information between the social service sector and the second Assistant City Administrator. The more organizations they belong to appears to relate to the amount of key people they are connected to. This information appears to indicate formal stakeholders of this case study are vulnerable to being excluded from communication in planning. Informal stakeholders, in other words, circumvent formal stakeholders and thus minimize them (as posited by Network Exchange Theory).

This appears to also support Network Exchange Theory where individuals' power and influence is a function of their vulnerability to be excluded from communication and other exchanges. Informal stakeholders appear to wield both power and influence. Formal stakeholders appear to lack influence beyond their direct power connections. Therefore, the informal stakeholders most often relied upon in the network are appearing resistant to being excluded in planning implementation, but the formal stakeholders most often relied upon in the network are potentially being excluded in planning.

Preference for Strong or Weak Ties

The next social network map relates Bonacich scores with preferences for strong or weak network relations. That can be revealing in that those preferring strong ties are perhaps more vulnerable from being excluded from a community's planning network. It can be understood by the following characteristics:

- *This is a directional social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node, the higher the stakeholders' Bonacich Score.*
- *Stakeholders preferring strong ties are triangles, and stakeholders preferring weak ties are squares.*
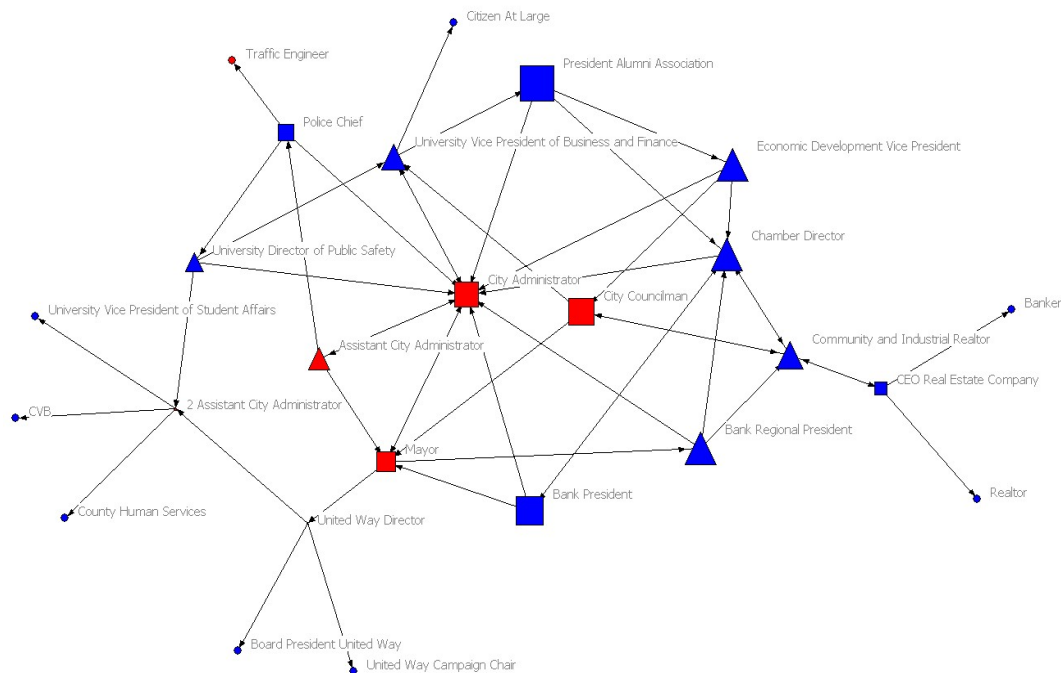
Figure 26. Bonacich Power with Preference for Strong or Weak Ties

Examination reveals stakeholders with many in-degree ties generally prefer weak ties. And, those with more out-degree ties generally prefer strong ties indicating vulnerability. Both formal and informal stakeholders with the highest Bonacich Scores prefer weak ties. That may indicate there is a lot of turnover in those participating around them but low levels of vulnerability to being excluded from communication.

For example, the City Administrator and Mayor prefer weak ties and have higher Bonacich Scores. They both stated while responding to the open-ended questions there is a lot of turnover in community leaders they deal with on community issues while they have been in their positions for many years. The

President of the Alumni Association and the Bank President also stated they had been in the community for quite some time and prefer weak ties. The Chamber Director, Economic Development Vice President, the Community and Industrial Realtor, and the Bank Regional President had among the highest Bonacich Scores for informal stakeholders. They all prefer strong ties. From the responses of the open-ended questions from those interviewees the group appears to be a strong land-development clique. Generally speaking, they had not been involved for the same duration in community issues as those preferring weak ties.

Self-Reported Influence on Community Resources

By looking at the combined total self-reported influence scores perhaps a more accurate picture can be obtained on whether or not communicative skill is diffuse or concentrated. While the City Administrator has a high number of in and out degree ties and a high level of self-reporting influence score as seen to the right, that stakeholder had a relatively medium ranking in Bonacich Score. The Bank President, conversely, had a high Bonacich Score but medium rankings in influence and in and out degree ties. In other words, some people are highly connected (and thus believe they have influence) but do not have as much actual influence. Others self-rank their influence as lower and do not have as many ties but have higher levels of actual influence in the community.

Table 9. Total Influence on Resources

City Administrator	35
City Councilman	33
University Vice President of Business & Finance	31
Assistant City Administrator	27
Mayor	27
University Director of Public Safety	26
CEO Real Estate Company	26
Chamber Director	25
Community and Industrial Realtor	24
United Way Director	23
2 Assistant City Administrator	23
President Alumni Association	22
Bank President	21
Bank Regional President	20
Economic Development Vice President	20
Police Chief	13

Overall Influence Patterns

The next social network map explores self-reported versus peer-reported influence. Network Exchange Theory indicates a correlation should exist between these two variables. See Figure 27, with the following characteristics:

- *This is a directional social network map.*
- *The darker the node the more self-reported rating of influence a stakeholder has.*
- *Node size indicates overall peer-reported influence.*

Clearly the City Administrator, the Mayor, the University Vice President of Business and Finance, and the Chamber Director have the most combined (peer and self-reported) influence in this community's planning network. That indicates perhaps communicative skill is more diffuse. Again, that again somewhat contradicts the Bonacich Scores.

On the other hand, there are definitive communicative clusters (cliques) represented in Figure 27 indicating concentrations of communicative skill among the informal stakeholders. There is a land development and banking clique on the right. A social and human services clique can be identified on the lower left, and on the upper left a public safety clique can be found. None of those communication patterns are surprising given the roles clique members hold in the community.
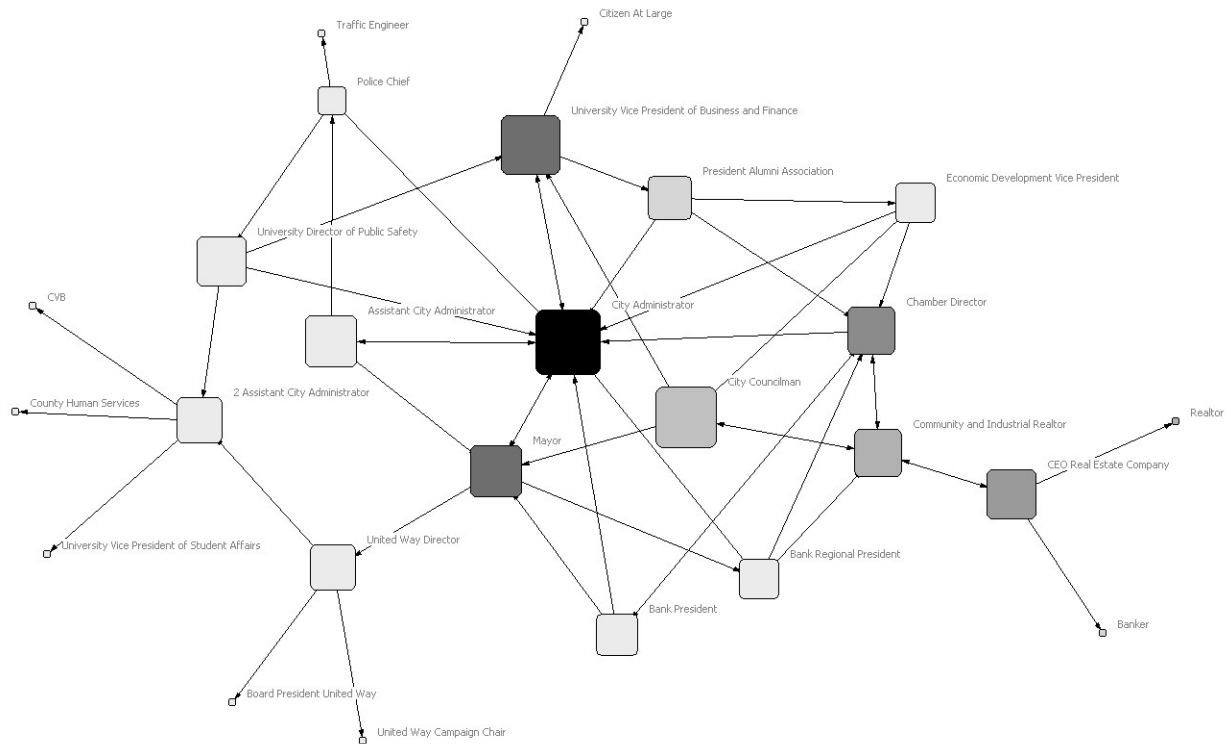
Figure 27. Overall Influence Patterns

Overall Versus Peer-Reported Influence

The final social network map of this trait, Figure 27, explores the relationship between peer-reported influence and joined datasets of self-reporting influence in community resources. It has the following characteristics:

- *This is a directional social network map.*

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- *Blue nodes indicate informal stakeholders; red formal.*
- *Node shape indicates which main group the stakeholder identifies with: Public Sector (square), Private Sector (pyramid), Non-Profit Sector (down-pointed triangle)*
- *The ties are who each interview participant felt had overall influence in dealing with community issues.*
- *More ties indicate that greater number of people felt the stakeholder had influence.*
- *Node size represents the combined amount of self-reported influence a stakeholder felt they had on social, physical, financial, environmental, and human resources.*
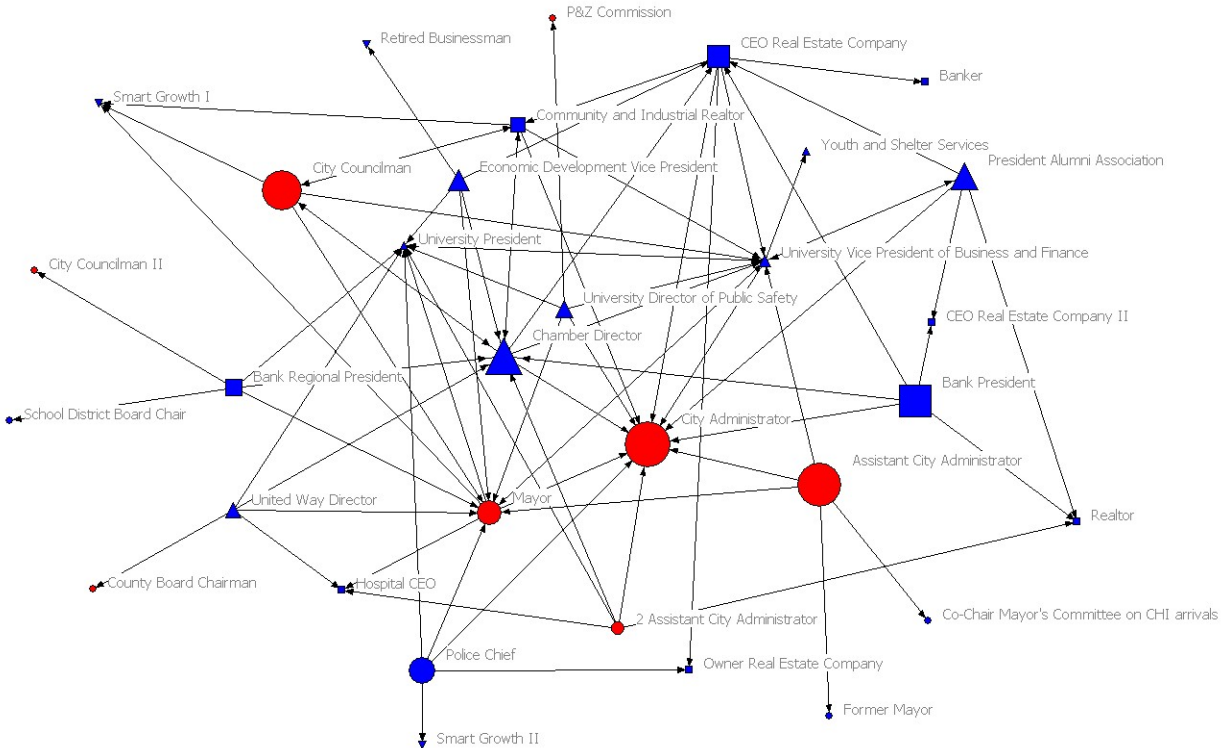
Figure 28. Self-Reported Versus Peer Reported Influence, by Attributes

Again, the stakeholders with the most self-reported influence are also usually the ones named by interview participants as having influence in dealing with community issues overall. That also indicates diffuse communicative skill. An exception would be the difference in the two levels for the University Vice President of Business and Finance. The community obviously feels this individual has more influence than was self-reported.

In total, there are many more informal stakeholders with significant peer and self-reported community influence than formal stakeholders with peer and self-reported influence. That is because the Mayor and City Administrator effectively serve as de-facto public planners. Their longevity in the community may be a primary reason the planning department staff in this community has experienced a high turn-over. It is not clear if that is due to ineffective hires or if the high degree of control the Mayor and City Administrator has in dealing with community issues disables planning staff and planning and zoning

commissioners from bridging to informal stakeholders. To summarize, those vulnerable to exclusion to participation have lower communicative skill by their lower influence and dealing with community issues.

Given the contradictions between these findings, the open-ended responses are necessary to clarify the patterns of this trait. One of the most common observances of interviewees described how planning towards a common future is largely ineffective because of the City Administrator's strength within the community. As a result, planning professionals do not engage or understand the informal sub-network in this case study. While some interviews indicated support for the centralized power, the vast majority communicated that the concentration of power results in stakeholders not affecting change through formal channels. As a result, the community's growth is stagnant towards a common vision.

The responses also indicate a monopoly of power, not influence, is occurring through the City Administrator. That explains the contradictory findings above. Given the and the Bonacich Power calculations, when power and influence within a planning network are too highly concentrated, low levels of this trait occur (as is the case in this case study). Therefore, stakeholders are not capable of garnering consensus towards a collective vision, and power and influence are not working together (not circumventing informality or formality) in this community.

ENGAGED PLANNING COMMUNITIES – REPORT CARD

Determining Communicative Skill

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QUESTIONS TO ANSWER		
1. Do some formal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?	☐ Yes	☒ No
2. Do some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?	☒ Yes	☐ No
3. Are the informal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?	☒ Yes	☐ No
4. Are the formal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?	☐ Yes	☒ No
5. Are there stakeholders capable of garnering consensus towards a collective vision?	☐ Yes	☒ No
6. Are power and influence working together (not circumventing informality or formality) in this community?	☐ Yes	☒ No

EXPLANATION OF RESULTS
It appears the greatest opportunity for improvement for this community is communicative skill (wielding power and influence). Formal stakeholders, though small in number, appeared to have power and not much actual influence. Informal stakeholders appeared to have both, but because of this they are circumventing the formal process at times.

FINAL ASSESSMENT	RECOMMENDATIONS
2/6	First and foremost, the formal stakeholders have an opportunity to get out of their offices and engage the informal stakeholder leadership to a greater degree. Their lack of power and influence (and concentration in the City Administration offices) is preventing alignment in planning efforts. Incorporating informality in planning processes will allow private-sector priorities to better align with public priorities. This can be done by holding more formal meetings in neutral third places (coffeeshops, restaurants, etc) and formal stakeholders delegating action items to informal stakeholders. Harry Boyte and Ray Oldenberg are two authors on this subject matter as well as an article in the Spring 2007 Journal of the American Planning Association entitled: "Informality as a Planning Strategy."

SUSTAINABLE APPROACH

Introduction

When a community's planning efforts focus on one or a few of a community's resources a community will often suffer long-term. Prisoners Dilemma Theory asserts self-interests of stakeholders tend to override mutual interests of a community. However, if stakeholders' collective self-interests are balanced over all of a community's resources (environmental, physical, financial, human, and social) a more sustainable approach is achieved in a locale.

The following shows a set of social network maps for each of the five key community resource areas (capitals). The aim is to explore whether or not the collective self-interests of community members are working towards the collective good for the community. These next social network maps have the following characteristics:

- *These are a bipartite social network maps.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *The larger the node the more self-reported influence the stakeholder felt they had on that resource area.*
- *The scores next to the ties represent normalized participation strength of all these issues combined in that resource area.*

Assessment Questions

1) *Do informal and formal stakeholders with influence appear to be working together on environmental issues facing the community?*
2) *Do informal and formal stakeholders with influence appear to be working together on physical issues facing the community?*
3) *Do informal and formal stakeholders with influence appear to be working together on financial issues facing the community?*
4) *Do informal and formal stakeholders with influence appear to be working together on human issues facing the community?*
5) *Do informal and formal stakeholders with influence appear to be working together on social issues facing the community?*
6) *Do stakeholders appear to be connecting these five issue areas through coordinated implementation efforts or a regional sustainability plan?*

1. Do informal and formal stakeholders with influence appear to be working together on environmental issues facing the community?
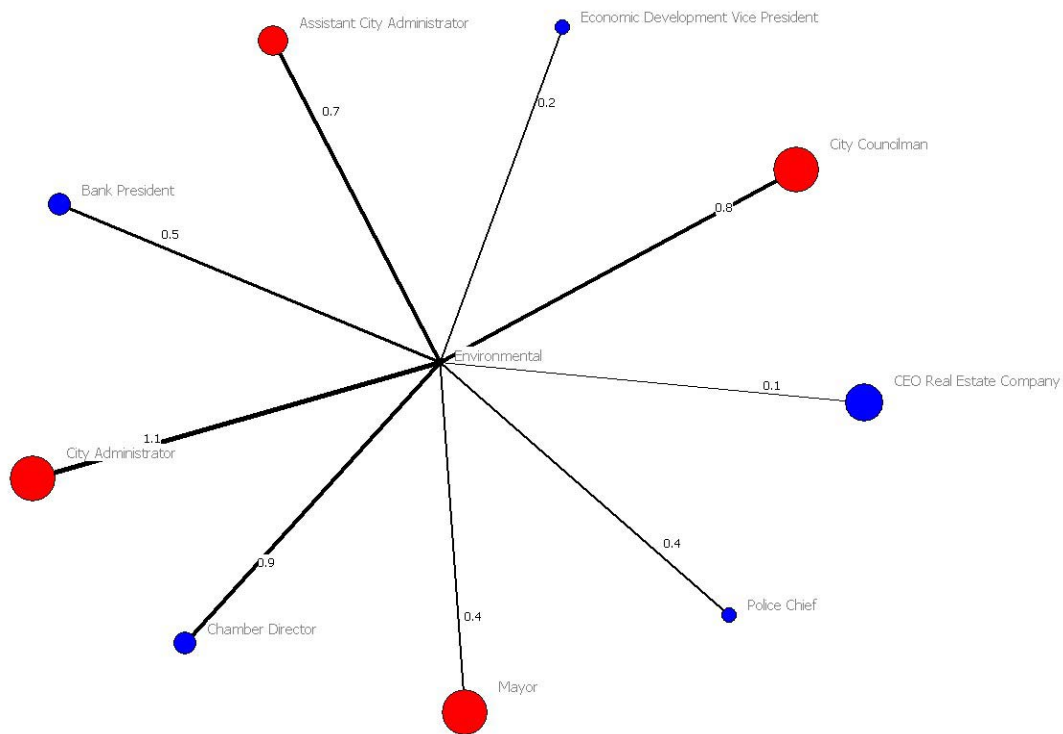
Figure 29. Environmental Issues and Self-Reported Influence

First, for this case study stakeholders' participation in planning for environmental resources is shown in graphical form. See Figure 29 above. These community issues included agriculture, pollution, water resources, resource conservation, wilderness preservation, biodiversity, and energy.

Not surprisingly both formal and informal stakeholders work on community issues in this area. Formal stakeholders collectively self-report more influence than informal stakeholders do. The City Administrator appears to have the most self-reported influence in this area. Informal stakeholders tend to represent banking and land development. No correlation seems to exist between self-reporting influence and the amount of different issues in this area stakeholders are involved with. This could mean some stakeholders have a specific focus within this resource area on one or two topics. Therefore, informal and formal stakeholders with influence do not appear to be working together on environmental issues facing the community.

2. Do informal and formal stakeholders with influence appear to be working together on physical issues facing the community?

Second, stakeholders dealing with physical resources in the community are shown. That resource area includes land use, transportation, urban redevelopment, rural development, urban design, public space, neighborhood planning, regional planning, regional transportation, housing, and disaster planning.

All informal and formal stakeholders reported working on this area. Self-reported influence seems to be balanced in this case study. In general, formal stakeholders have high levels of self-reporting influence AND work on many of the issue areas. Examples of this include the City Administrator, the Assistant City Administrator, the Mayor, and the City Councilman. Informal stakeholders have an inverse relationship.
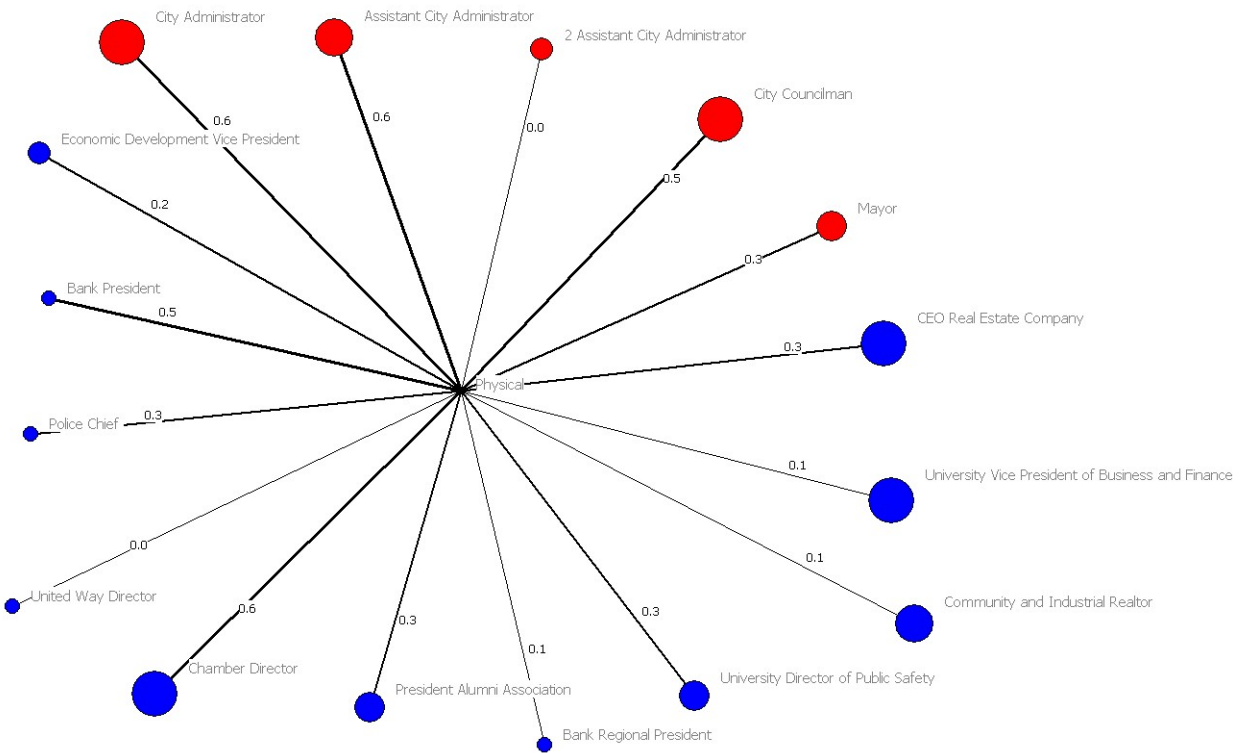
Figure 30. Physical Issues and Self-Reported Influence

Examples of individuals having high levels of overall influence but weak strength in their normalized participation score in physical issues include the University Vice President of Business and Finance, the Community and Industrial Realtor, and the University Director of Public Safety. That could be explained by stakeholders with high levels of self-reporting influence tending to work on just a few of the areas and are thus specialized in their participation in the issues. Therefore, informal and formal stakeholders with influence do appear to be working together on physical issues facing the community.

3. Do informal and formal stakeholders with influence appear to be working together on financial issues facing the community?

Third, financial issues are represented in the graph below. This resource and issue area includes community, residential, and industrial growth.
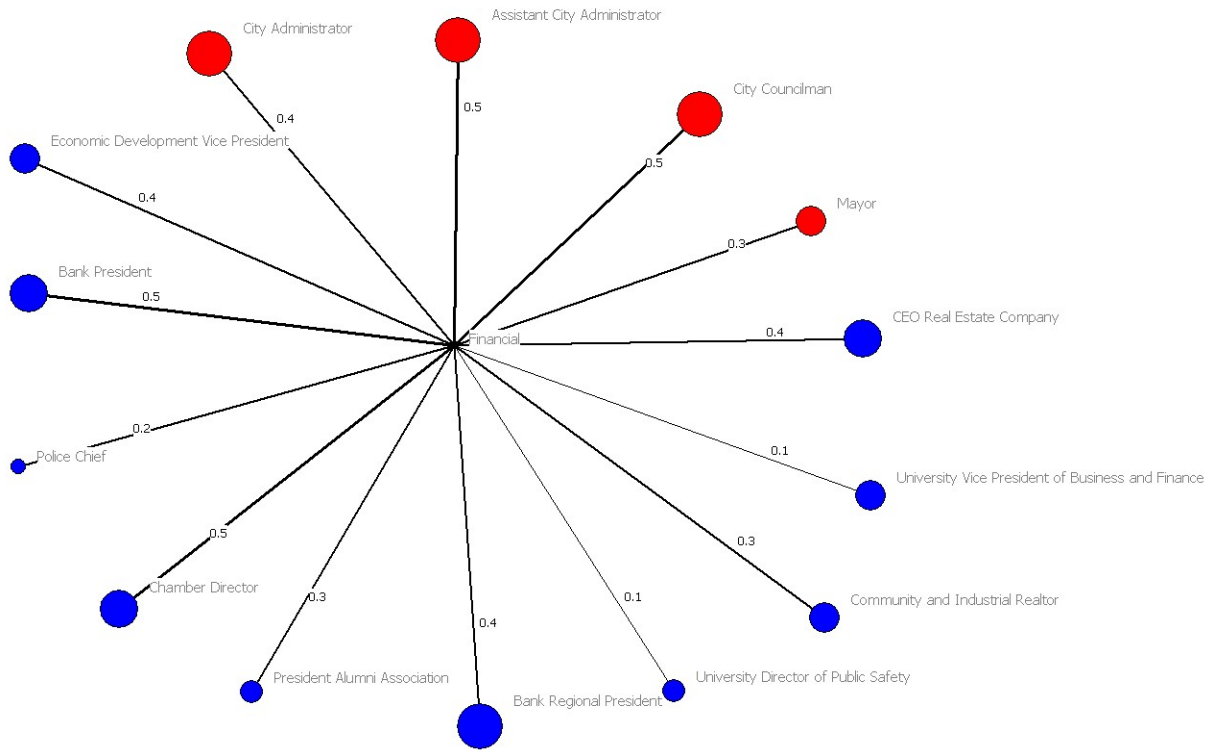
Figure 31. Financial Issues and Self-Reported Influence

Again, formal stakeholders claim to have high influence in most of these areas (i.e. City Administrator, Assistant City Administrator, City Councilman, and Mayor). Informal stakeholders tend to vary more in their patterns of influence and specificity in participation area. For example, the Economic Development Vice President and Bank President work on a broad range of financial issues and have high levels of overall influence while the CEO Real Estate Company and University Vice President of Business and Finance have high levels of influence but work on very specific issues in this area. Therefore, informal and formal stakeholders with influence do appear to be working together on financial issues facing the community.

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4. Do informal and formal stakeholders with influence appear to be working together on human issues facing the community?

Fourth, the following social network graph overviews participation and influence in human resources and issues. That includes unemployment, economic development, education, poverty, and community development.
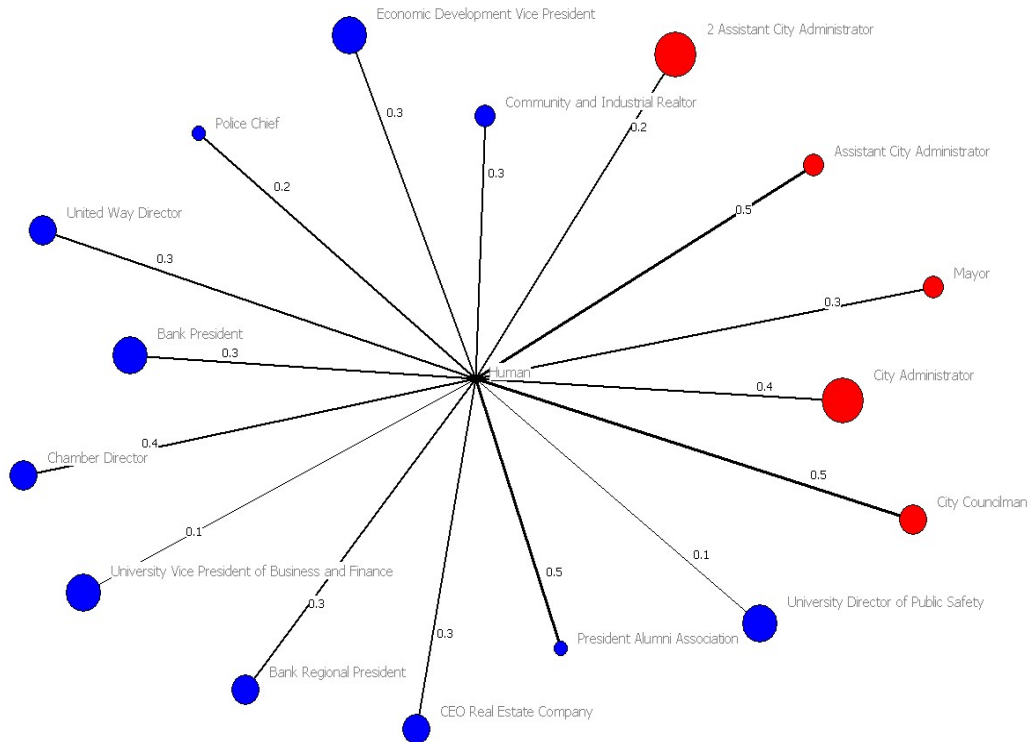
Figure 32. Human Issues and Self-Reported Influence

Again, everyone in the network worked on at least one of these issue areas. Most individuals working on issues in this area had median to high self-reporting influence and worked on a broad range of these issues. Therefore, informal and formal stakeholders with influence do appear to be working together on human issues facing the community.

5. Do informal and formal stakeholders with influence appear to be working together on social issues facing the community?

Finally, social issues were explored. This issue area includes youth and senior citizen wellbeing, health care, social welfare, diversity, crime, and culture.
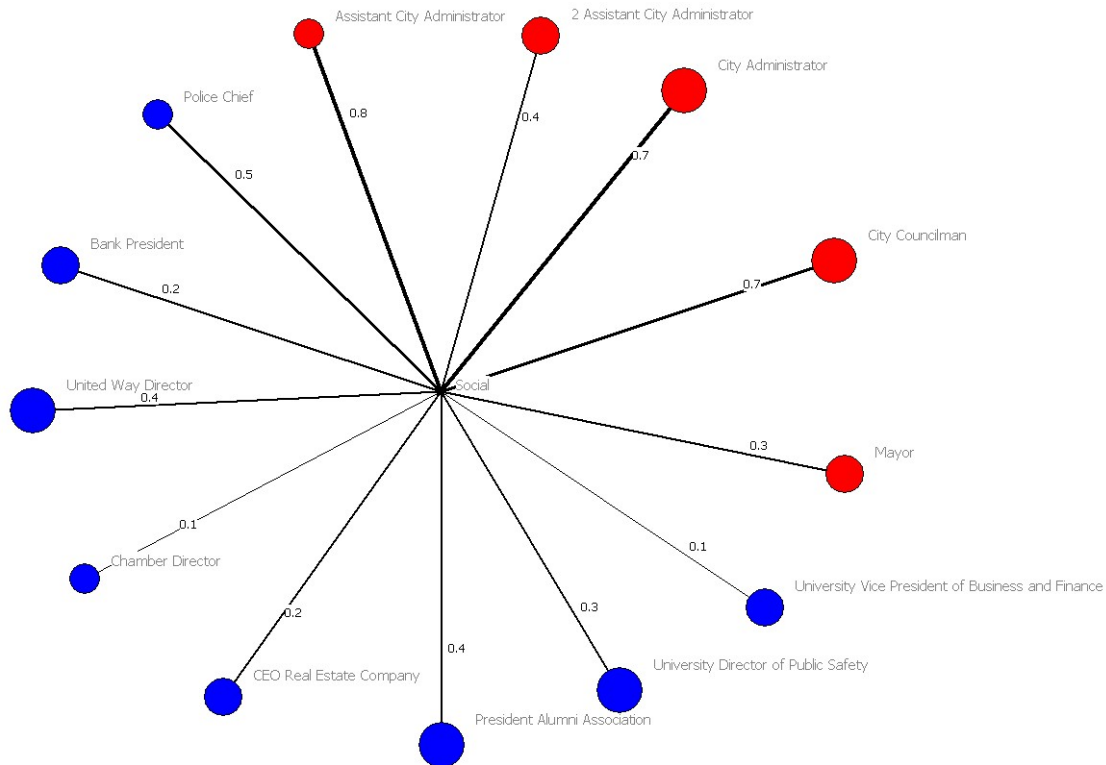
Figure 33. Social Issues and Self-Reported Influence

Formal stakeholders tended to not have a narrow focus on issues within this area, whereas informal stakeholders did. All the formal stakeholders felt they were influential and participated on multiple issues within this area; conversely, most informal stakeholders felt they had higher levels of influence but worked on specific issues (i.e. the CEO of the Real Estate Company). Almost all stakeholders self-reported their influence in this area at average or above-average levels. Therefore, informal and formal stakeholders with influence do appear to be working together on social issues facing the community.

6. Do stakeholders appear to be connecting these five issue areas through coordinated implementation efforts or a regional sustainability plan?

The final social network map (see below) of this trait shows the self-reported degree of influence each actor feels they have within the five core areas of community resources, or a combined assessment. This social network map is a bit different in colors, shapes and sizes:

- *Government sector nodes are red, non-profit sector representatives are in blue, and private-sector representatives are in yellow.*
- *Node size is still based on the degree of influence others reported each actor had, overall, in dealing with community issues.*

- *The size of the arrow is scaled to represent the amount of self-reported influence each actor had on the five key community resource areas. The larger the area the more influence they each felt they had in helping the community overall with that topic.*
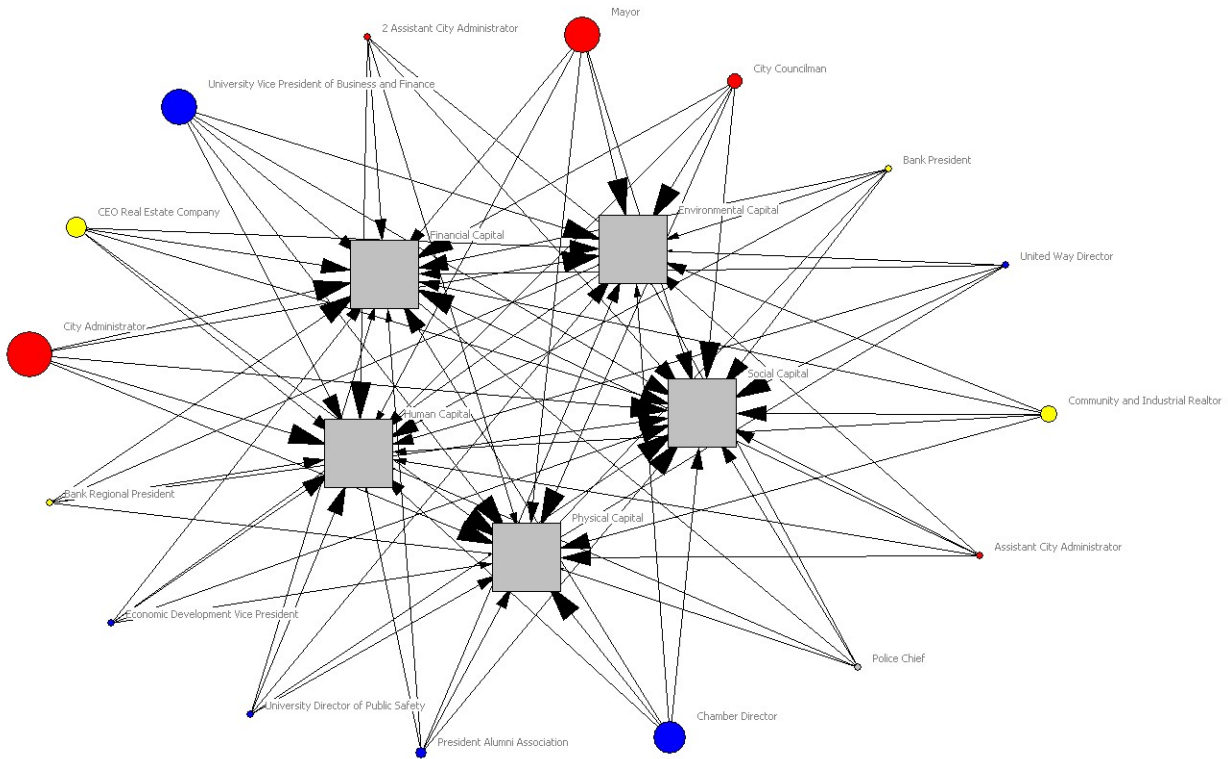
Figure 34. Self-reported influence on community issues

Not surprisingly, formal stakeholders reported either having large amounts of influence in at least physical and environmental issues, and informal stakeholders tended to rate themselves as having high degrees of influence in all issues. There was a balance of representation among representatives from the private, public, and non-profit sectors. And, for the most part, there were similar responses in the self-reporting degree of influence stakeholders had and the amount others felt each stakeholder had in dealing with community issues. In addition, there was a perception that the general approaches to dealing with community issues were not sustainable enough.

Overall, these patterns indicate formal stakeholders tend to broadly address non-physical and physical community issues. Legally (as mentioned in the literature review) they focus directly on physical planning issues and indirectly on non-physical planning issues. Key informant interviews indicated

support of this. Informal stakeholders address physical issues to a lower extent than formal stakeholders do. But, informal stakeholders tend to have a more narrow focus within non-physical issue areas.

Prisoners Dilemma Theory asserts while mutual cooperation is the best choice between stakeholders, self-interests overrides at times in decision-making. If specific issues or resources of a community are focused upon or held as higher priorities over others because of self-interests a community will suffer long-term. In other words, a balance of individuals focusing on self-interests within each of the five community capital areas is necessary in conjunction with individuals working more broad-based to connect these self-interested efforts. This community appears to have a healthy balance in dealing with a wide-spectrum of community issues within the core group of stakeholders in planning efforts. However, as there is no vision being subscribed to the coordination is not occurring among the five areas. Therefore, stakeholders do not appear to be connecting these five issue areas through coordinated planning efforts or a regional sustainability plan.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining a Sustainable Approach

8

QUESTIONS TO ANSWER		
1. Do informal and formal stakeholders with influence appear to be working together on environmental issues facing the community?	☐ Yes	☒ No
2. Do informal and formal stakeholders with influence appear to be working together on physical issues facing the community?	☒ Yes	☐ No
3. Do informal and formal stakeholders with influence appear to be working together on financial issues facing the community?	☒ Yes	☐ No
4. Do informal and formal stakeholders with influence appear to be working together on human issues facing the community?	☒ Yes	☐ No
5. Do informal and formal stakeholders with influence appear to be working together on social issues facing the community?	☒ Yes	☐ No
6. Do stakeholders appear to be connecting these five issue areas through coordinated implementation efforts or a regional sustainability plan?	☐ Yes	☒ No

EXPLANATION OF RESULTS

Overall, the community appears to be working on most sustainability issues. There is a smaller amount of the core stakeholders working on environmental issues for the community; this may be of concern as there tends to be regular concerns in this area. In addition, while sustainability initiatives exist in piecemeal, there is no overarching initiative or planning process connecting these five areas.

FINAL ASSESSMENT

4/6

RECOMMENDATIONS

Regional sustainability plans are of growing interest. While this community appears to be working on most areas of sustainability, there is an opportunity to align the plans, initiatives, groups, and resources to a greater degree. This will help the private sector understand how their "silos" of work can align to a greater degree for the future wellbeing of the community. In addition, the process of creating a regional sustainability plan will help decentralize and open up the core stakeholder network to additional community leaders by delegating tasks. The San Francisco Regional Sustainability Plan represents a quality example to look at.

RATIONALITY AND PRACTICALITY

Introduction

Aligning the short-term interests to the long-term future of a community is vital for its short and long-term interests. This dynamic creates a higher likelihood of effective on-going communication that accumulates more rational and practical knowledge over the long term. Otherwise there is unrealistic disconnect between planning goals and priorities.

Assessment Questions

1) *Do the majority of informal stakeholders sense short-term economic interests are the most influential in this community?*
2) *Do the majority of formal stakeholders sense long-range planning interests (not short-term economic) are the most influential in this community?*
3) *Are the short-term economic interests of the community not taking priority over long-range visioning in this community?*
4) *Does there seem to be a cohesive vision for the public good that informal and formal stakeholders support?*
5) *Do the most influential formal stakeholders seem to be practical in their priorities?*
6) *Do the most influential informal stakeholders seem to be practical in their priorities?*

1. Do the majority of informal stakeholders sense short-term economic interests are the most influential in this community?

(See combined answer below with Q. 6)

2. Do the majority of formal stakeholders sense short-term economic interests are the most influential in this community?

(See combined answer below with Q. 6)

3. Are the short-term economic interests of the community not taking priority over long-range visioning in this community?

(See combined answer below with Q. 6)

4. Does there seem to be a cohesive vision for the public good that informal and formal stakeholders support?

(See combined answer below with Q. 6)

5. Do the most influential formal stakeholders seem to be practical in their priorities?

(See combined answer below with Q. 6)

6. Do the most influential informal stakeholders seem to be practical in their priorities?

The next two social network maps describe stakeholders' views on whether short-term or long-term efforts are "more influential" in their community's planning capacity. They also describe whether these stakeholders utilize the comprehensive plan in their efforts.

These elements investigate alignment with a community's goals from a different perspective. Working on short-term planning implementation is most often reactionary in nature and focusing on issues pressing "now." Long-term implementation efforts tend to aim for alignment with future visions for a community. The key is whether or not there are informal and formal stakeholders in a community bridging these two perspectives by referring to the comprehensive plan in their work.
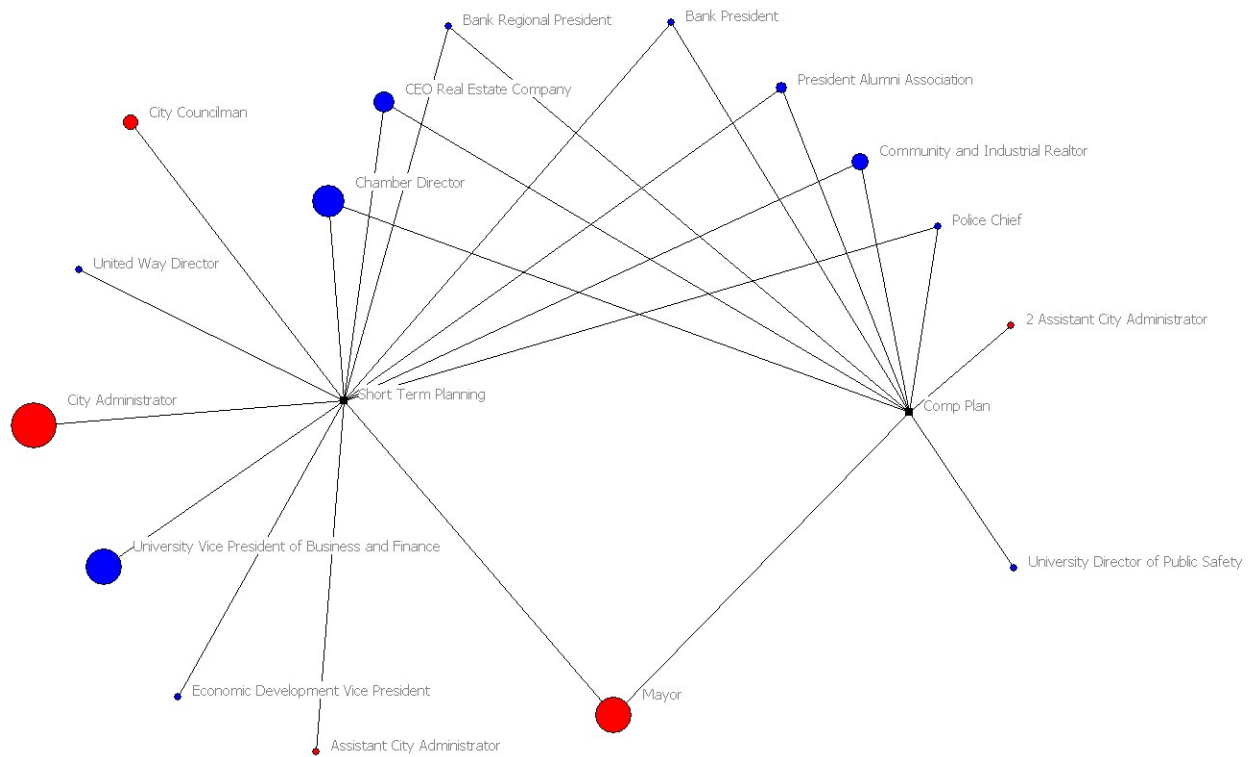
Figure 35. Short Term Implementation Efforts – Referring to Comprehensive Plan

The social network map, above, has the following characteristics:

- *This is a bipartite social network map.*

- *Blue nodes indicate informal stakeholders; red formal.*
- *Black nodes are the preference stakeholders tend towards having for short term planning and utilizing the comprehensive plan.*
- *The larger the node the more times stakeholders were identified within the snowball survey process.*

Informal stakeholders tended to report using the comprehensive plan when working on short-term planning implementation efforts, mirroring the literature suggesting that informal stakeholders tend to deal with immediate implementation efforts more than formal stakeholders. Formal stakeholders did not exhibit that pattern. In fact, several key formal stakeholders reported (through the open-ended responses) a long-term vision was not present and the comprehensive plan was not effective nor used.

The next social network map has the following characteristics:

- *This is a bipartite social network map.*
- *Blue nodes indicate informal stakeholders; red formal.*
- *Black nodes are the preference stakeholders tend towards having for long term planning and utilizing the comprehensive plan.*
- *The larger the node the more times stakeholders were identified within the snowball survey process.*
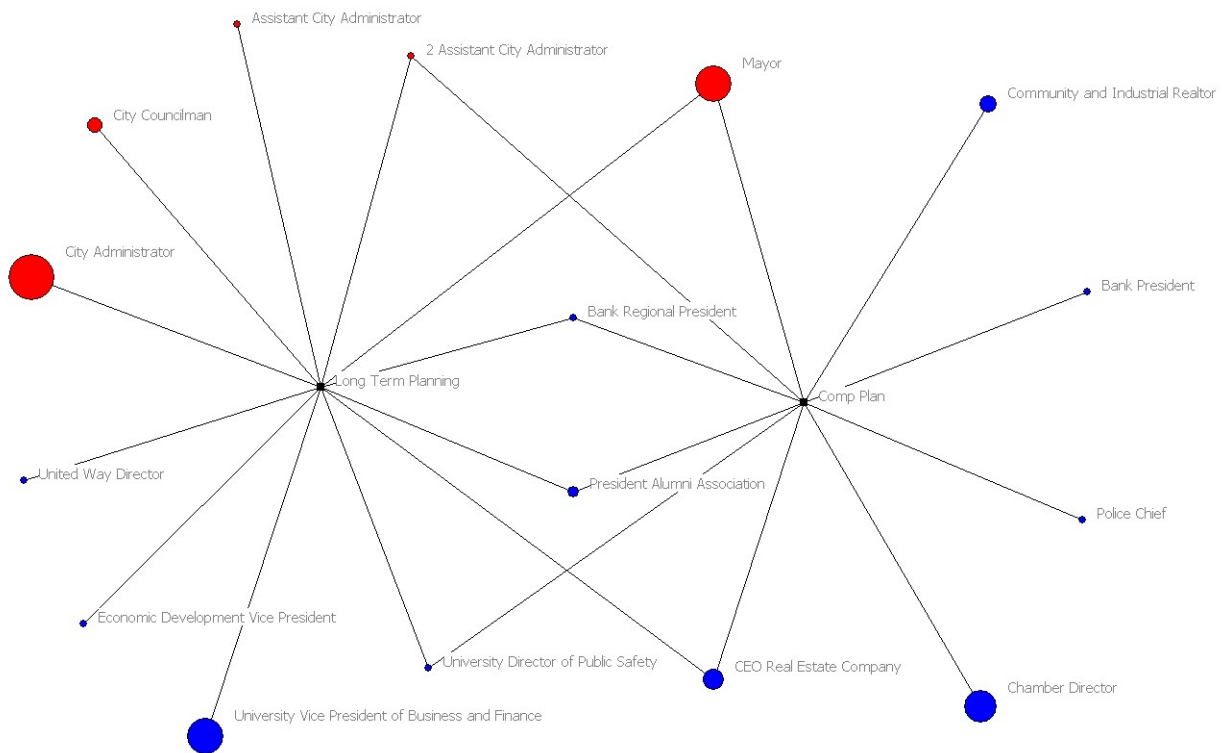
Figure 36. Long Term Implementation Efforts – Referring to Comprehensive Plan

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Fewer stakeholders stated long-term planning implementation efforts are more important. In addition, the three individuals with the highest generalist scores and collaboration scores either find short-term interests more important or do not refer to the comprehensive plan regularly in their work. Those findings were re-affirmed in open-ended questioning of both snowball survey and key informant interviewees.

The results indicate a tendency towards unrealistic and ineffective communication and a disconnection between planning goals and implementation priorities. To reiterate, Evolution Theory argues networks have a greater chance at surviving with duration of the same stakeholders, smaller group size, adoption of necessary changes. While the same stakeholders are present and this group seems to be fairly connected, there seems to be a lack of necessary changes when needed.

Therefore, the majority of informal stakeholders sense short-term economic interests are the most influential in this community. The majority of formal stakeholders do not sense long-range planning interests (not short-term economic) are the most influential in this community. The short-term economic interests of the community are taking priority over long-range visioning in this community. There does not seem to be a cohesive vision for the public good that informal and formal stakeholders support. The most influential formal stakeholders do not seem to be practical in their priorities. But, the most influential informal stakeholders seem to be practical in their priorities.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Rationality and Practicality

9

QUESTIONS TO ANSWER

1. Do the majority of informal stakeholders sense short-term economic interests are the most influential in this community?	☒ Yes ☐ No
2. Do the majority of formal stakeholders sense long-range planning interests (not short-term economic) are the most influential in this community?	☐ Yes ☒ No
3. Are the short-term economic interests of the community not taking priority over long-range visioning in this community?	☐ Yes ☒ No
4. Does there seem to be a cohesive vision for the public good that informal and formal stakeholders support?	☐ Yes ☒ No
5. Do the most influential formal stakeholders seem to be practical in their priorities?	☐ Yes ☒ No
6. Do the most influential informal stakeholders seem to be practical in their priorities?	☒ Yes ☐ No

EXPLANATION OF RESULTS

The divide between key stakeholders involved seems to be resulting in a lack of rationality and practicality in planning capacity. Formal stakeholders are unable to be realistic in aligning private sector parties to the common vision and goals. Again, that appears due to their adherence to formality in approach.

FINAL ASSESSMENT

2/6

RECOMMENDATIONS

The rationality and practicality of the private sector needs to be aligned with the rationality and practicality of the public sector. The economic stagnation of the community can be spurred by the implementation of new incentive programs. Look for communities around the country that are creating the sort of change this community wants to see happen, and see what incentives they have in place to generate this activity. Don't wait for the economic downturn to pass; it is recommended local informal and formal stakeholders pick one major, "low-hanging fruit" initiative to jumpstart a strategic planning process. This will re-ignite support for planning while engaging new stakeholders in planning efforts.

OVERALL INTERPRETATION OF FINDINGS

No two communities are alike. Each community subscribes to different dynamics of stakeholders and issues involved in planning capacity. As such, while acknowledging communities approach planning implementation differently, this tool aimed provide parameters to formatively assess what is occurring at any given locale. The results of this diagnosis aim to be an aid to communities in understanding how their efforts can be more effective within planning capacity.

THE RESULTS

Much like the LEED evaluation process, now that each trait has been assessed along its spectrum the total points are tallied for an overall insight into whether or not a community can be called an "Engaged Planning Community." Each trait has six criteria worth one point each, for a total of 54 points. Those criteria are qualitative in nature as this is a formative assessment tool, not a summative tool. The tool reveals tendencies within a community's planning capacity, not hard and fast results. After all, a community's ability to do planning implementation is never complete; maintaining a high score takes ongoing work as well.

THE CONCLUSIONS

For each of the nine traits explanations of findings as well as recommendations have been made on the worksheets. It is important to summarize trends (not particular identities) within the components of the final report. In addition, on the next page there is a "Quick Reference Guide of Results" that summarizes the overall findings of each of the nine traits and the analysis and conclusions for the case study community.

There are three classifications of "Engaged Planning Communities." Communities not making the threshold classifications (such as the case study community) have additional improvement to make to meet basic criteria. Classifications of "Engaged Planning Communities" are as follows:

PLATINUM ENGAGED PLANNING COMMUNITY   **49-54 Total Points**

GOLD ENGAGED PLANNING COMMUNITY   **43-48 Total Points**

SILVER ENGAGED PLANNING COMMUNITY   **37-42 Total Points**

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Quick Reference Guide of Results

OVERALL FINDING	
This community does not yet rank among "Engaged Planning Communities." However, several areas traits show positive strengths in planning capacity, and several new areas have been identified as elements community leaders can improve on.	☐ Platinum (49-54 points) ☐ Gold (43-48 points) ☐ Silver (37-42 points)

SUMMARIZED SCORES FOR NINE TRAITS	
1. Broad-based Stakeholder Participation	3/6
2. Broad-based Participation	3/6
3. Inclusion of Many Information Types	4/6
4. Flexible Alignment	4/6
5. Effective Timing	3/6
6. Accessibility of Leadership	5/6
7. Communicative Skill	2/6
8. A Sustainable Approach	4/6
9. Rationality and Practicality	2/6
TOTAL SCORE	**30/54**

SUMMARY OF RECOMMENDATIONS

The community has an opportunity to re-invigorate its planning capacity. The largest challenge facing the community appears to be stagnation and lack of consensus. First and foremost existing stakeholders need to ask themselves how to help the community think outside the box with planning. Developing an innovative, private-sector led, regional sustainability plan is a first step in garnering support. Leadership training and opening the core stakeholder network to new informal and formal leadership will bring new ideas to the table as well as empower a larger portion of the community to implement initiatives. Educating existing formal stakeholders as well as local planning staff in the benefits of incorporating informality in their processes will help connect the existing informal, private-sector planning processes with formal, public processes.
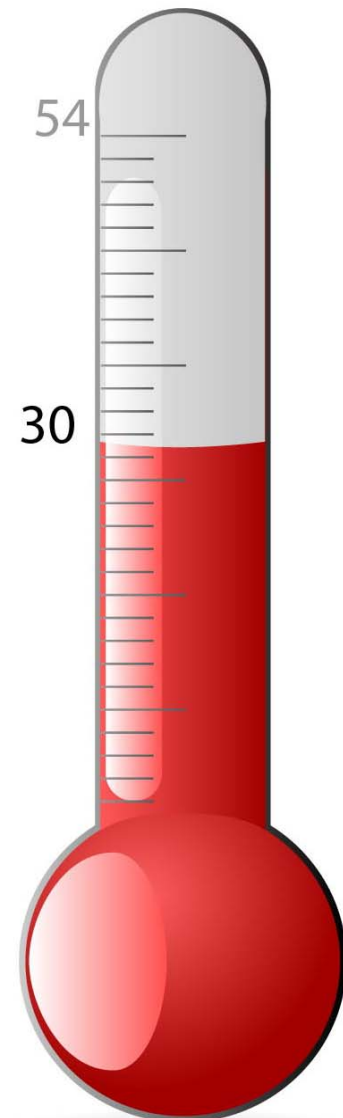
CHAPTER FIVE

DEVELOPING THE MODEL

CONVERTING THE TOOL FOR UNIVERSAL USE

The diagnostic tool, developed from the trial run in the case study, formatively assesses a community's capacity to do planning implementation. The resulting diagnostic report is an aid for communities to identify how community leaders can improve:

- *Who works with whom in the core stakeholder group*
- *What types of initiatives they work on*
- *When (how often) they are involved*
- *How they participate in community initiatives*
- *Why they are involved*

Much like the rating system developed by the US Green Building Council for their LEED Certification system for building and neighborhood infrastructure, the 54-Point diagnosis rates a community's capacity to implement planning initiatives *while they are going on*, not the *results of the initiatives before or after*. While it does not guarantee quality planning implementation results, diagnosing a community's planning capacity positions it to potentially implement plans and planning activity more effectively. One of the primary goals of this research was to develop a readily-usable diagnostic tool that any community could, with relative ease, administer. Appendix A includes the final tool and supplementary administrative information. It is also available to any community online at www.engagedplanningcommunities.com.

First, for this conversion, the researcher streamlined interview questions to better apply to the analysis finalized within the nine traits of an Engaged Planning Community. Second, a few of the questions that were not utilized in the final tool were removed. Finally, a few answers were added in a couple of the multiple choice questions based on respondents' "other" suggestions.

Next, the researcher developed a tutorial for use in training the interviewer. The tutorial serves as a training manual for individuals looking to become Certified Tool Administrators and also as a guide on how to administer the tool:

- *What the EPC Tool is for*
- *What makes a good tool administrator*

- *The importance of confidentiality in Tool Administration*
- *Working with interview participants*
- *Key informant interviews*
- *Preparing the information for analysis and final report*
- *How to get started diagnosing your community*
- *What is involved with "self-administering" your community with the EPC Tool*
- *What is measured in this Tool's diagnosis*
- *What this Tool's diagnosis delivers*
- *An explanation of the diagnostic components (54 total characteristics) universal to Engaged Planning Communities*

The researcher subsequently developed a process to certify Tool Administrators. Any community is able to administer the tool with itself and consultants can be hired to administer the tool as well. In order to better assure effective administration of the tool, an online certification exam was developed from the training manual material. Once an individual passes the exam (available for free), they are listed on the website as a Certified Tool Administrator and are given access to the tool components through a hidden web link.

The following step was to develop templates and implementation materials for the following components of the Tool. All items are available online to Certified Tool Administrators, again, through the hidden link. Together the components of the EPC Tool are:

- *Template informed consent form for interviewees to be officially introduced to what their participation involves and to formally communicate their participation will be on a confidential basis*
- *Template resolution for communities to officially sanction support for the tool administration*
- *EPC Survey for interviews*
- *Template form for determining network closure and when data collection can cease*
- *Directions on how to compile results of the interviews*
- *Directions on how to analyze compiled results for the final report*
- *EPC Diagnostic Report Template Package*

The final step was to develop a website online for the Tool. Instead of having the tool only available in print, the online presence will allow for greater accessibility to users. The website (www.engagedplanningcommunities.com) was created for three specific audiences of the Tool: sponsoring entities of the tool, Tool Administrators, and those being invited to interview. Each group has a separate section with the site that caters to the specific components of the Tool that apply to them.

WHAT THE DIAGNOSIS DELIVERS

Every community has some sort of planning process for the environmental, social, and economic challenges facing their area. Diagnosis of a community's capacity to implement the strategic planning activities is only helpful if it can occur while the activities are underway, not assessing the capacity to

implement after the fact. Developed on 9 Traits found in effective Engaged Planning Communities, each community is assessed on 54 diagnostic characteristics with the EPC Tool. Those characteristics reveal 54 different ways a community is doing well or has an opportunity to improve its capacity to implement plans and planning activity.

This tool is flexible enough to apply to any community, regardless of the planning approaches it uses. Certification as an Engaged Planning Community provides business and property owners with third-party verification that community stakeholders are capable of implementing initiatives a community undertakes. It also provides support for grant applications the community is capable to execute the project. It provides community stakeholders a concise framework for identifying and implementing practical and measurable ways to improve planning implementation efforts. The diagnosis is a snapshot of a community's capacity is to implement planning efforts; it can be conducted as needed.

Becoming a Certified EPC Community is a statement that communities can potentially "get stuff done." That signals businesses looking to expand their operations or locate a new facility in a community that their decision to do so is a solid choice. It demonstrates to financiers that investing in a community is a sound decision. And, it affirms to community leaders and stakeholders within a community that the 54 elements to their work are important for the continued viability of the area's future. The EPC Tool is for BOTH the private and public sectors. It is the public sector's job to help align a common community-wide vision and priorities, but in the end it is the private sector's job to implement it. Aligning stakeholders of both the private and public sectors in their implementation efforts is crucial for a community's well-being.

When a community decides to commit to becoming a Certified Engaged Planning Community it may not achieve certification status with a diagnosis the first time it is administered the tool. However, the results of a non-qualified diagnosis provide a clear set of areas the community's stakeholders can focus on to improve its "score" the next time the community is ready to administer the Tool. In addition, re-certification of existing certified communities is recommended every five years to show it is, in fact, still an Engaged Planning Community.

OFFERING ANALYSIS TO THE COMMUNITY ON THE RESULTS

Offering an assessment "report card" to a community stops short of giving stakeholders concrete ideas on what the results of this tool mean. Distribution alone of the Engaged Planning Community analysis is not an effective way to help a community's stakeholders understand how they can improve. Interpretation and concrete action steps are necessary for them to understand how improvement can occur in their planning capacity.

Given that, a clear opportunity exists for the administrator of this tool to work with the sponsoring entity of the diagnosis to help educate and implement actionable items for the community that can be used to improve their planning capacity. This snapshot diagnosis provides a framework through with a community's leaders can understand what actionable steps are needed to maintain or improve their Engaged Planning Community diagnosis score. Catering this assistance to the community based on its diagnosis is critical for the successful improvement of their capacity to do planning efforts. Additional assistance can occur through (to give a few examples):

- *Workshops with key community leaders on how to engage new stakeholders or utilize new sources of information*
- *Training material on methods on how to communicate more effectively behind the scenes (i.e. more meetings at third places or using social media more effectively)*
- *Webinars with key community leaders on how to retrain elected officials or planning staff in non-traditional engagement methods*

CHAPTER SIX

CONCLUSIONS

Since the inception of the American planning profession a century ago, there has been much debate about what is the "best" planning approach for our communities. Each mainstream approach is predicated on rational theories and case studies. However, rationality can be subjective in planning.

That subjectivity can result in poor communication in a community when doing planning efforts. Formal stakeholders tend to minimize or ignore the self-interests of community members as their work tends to approach initiatives based on the public good. Informal stakeholders struggle to communicate through formal participation because of that disconnect. Consequently, plans have a tendency to disintegrate into varying degrees of chaos in implementation.

Three assessment opportunities exist within community planning:

1) *plan and planning activity pre-review (before implementation),*
2) *the ability to implement a plan and planning activity (formative evaluation during implementation), and*
3) *the effect of the plan and planning activity itself on a community (summative evaluation after implementation).*

Preparation for a community's future is crucial. That is why community planning exists. But all too often communities expect if a good plan or proven planning process is developed the result will be good too. Granted, planning implementation is incredibly complex -- a myriad of dynamics can unhinge a good vision from coming to fruition.

This research attempts to close the gaps in determining where breakdowns in communication during planning tend to occur in a community. It aims to create a readily-usable, formative assessment tool any community can utilize to determine where local stakeholders have the opportunity to improve their capacity for planning implementation. In short, it establishes an empirical aid that assesses how communities can increase the likelihood a plan or planning activity comes to fruition through better alignment of formality and informality in a locale. This tool removes the theoretical and qualitative guesswork out of the communicative patterns in community planning capacity and provides a way to empirically determine what is really going on at a local level.

Utilizing social network analysis[54], the tool demonstrates how a community's planning communicative characteristics, relationships, and methods of implementation are forming productive or unproductive patterns or tendencies. That diagnosis reveals opportunities for professionals to better engage informality occurring within the community's plan implementation and planning activity. It can also reveal how informal stakeholders can better formal stakeholders. The result, in other words, is an understanding of how there can be a higher ability to do community planning efforts.

Published literature discusses what is considered "good" community planning capacity, but there is failure to offer a formative tool assessing implementation ability within any particular community. There are clear opportunities for both formal and informal local stakeholders to understand basic patterns occurring within seemingly messy community planning capacity. The diagnostic tool developed within this research demonstrates opportunities for improving such efforts. Perhaps most importantly, this formative assessment recognizes that there is no one "right" way to do community planning but it diagnoses capacity regardless of the planning approach used.

This tool works to reveal key planning stakeholders within both informal and formal circles in a community. It documents commonly used informal and formal participation methods and information types stakeholders use. It illustrates alignment tendencies amongst the various individuals and groups involved in planning capacity and also how flexible these groups are in re-adjusting to modified collective goals. This tool looks for patterns of ongoing implementation efforts. It uncovers how accessible those with formal positions in community planning are and that they do not always have the greatest power, influence, and connections. It identifies key community leaders as power brokers (great communicative skill through wielding power and influence) in plan implementation and planning activity. It assesses human, environmental, financial, social, and physical community capital patterns. It looks at whether the core stakeholders are truly utilizing a sustainable approach in their implementation efforts. Finally, the tool explores confirms how realistic plan implementation and planning activity efforts are in achieving set planning goals.

Together the traits collectively and formatively measure the capacity of a community to implement a plan or planning activity. Any community can benefit from this tool's individualized, tailored diagnosis if it is administered properly. It can be administered:

- *when a major community issue surfaces,*

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[54] Specifically power-structure analysis utilizing the snowball method is utilized for this diagnostic tool.

- *while a plan or planning activity is being developed to understand if adequate engagement and communication activity is occurring,*
- *when a major community organization or agency wants to identify how they can improve their engagement efforts,*
- *when a plan or planning activity is being implemented, or*
- *when it is time to get ready for a new plan or planning activity process.*

BENEFITS OF RESEARCH

As stated earlier, this research offers a tool to formatively "map" the planning capacity patterns within a community. Perhaps the greatest benefit of this research is the application of an empirical, qualitative approach able to be replicated in any community in America, regardless of the size, challenges, and planning approaches taken within that community. The tool was specifically designed to be downloaded and excluded by key qualified individuals in any region. It guides those individuals in how to administer the tool. It offers specific measures to analyze the results and distribute the results to the community at hand. Finally, the detailed action items provide a community's formal and informal stakeholders specific measures to take to, over time, improve the ability to do planning implementation efforts. It empowers local community leaders to continually improve communicative relations.

Benefits of real world application of this diagnostic tool include:

- *Show growing companies your community means business & is able to "get stuff done"*
- *A set of civic vitality community indicators*
- *Improve communication among your community's key stakeholders including business leaders, planners, elected officials, and other key leaders*
- *Increase efficacy of organizations and agencies by identifying who, what, and how they need to work with other entities on an initiative*
- *Empower disengaged groups towards a common vision*
- *Identify how power structures are helping or hurting planning efforts*
- *Explore areas of sustainability not being adequately addressed*
- *Show in grant applications the ability to bring an initiative to fruition*

Utilizing social network theory and analysis, the tool developed within this research reveals tendencies of a community's planning capacity within nine traits. And, that snapshot can be replicated over time to track improvement. It provides planning professionals and other community stakeholders valuable insights regarding informality within planning capacity in their locale. Engaging the general public on their indigenous, informal terms does not have to be chaotic. In addition, the tool reveals how well informal stakeholders are engaging the formal planning efforts, and how well their self-interests are aligning with a greater community vision.

It is anticipated planning practitioners and community members alike may better understand how to engage the other by recognizing there are actionable steps they can take to make their community a better

place. From here both informal and formal stakeholders may better engage existing efforts, plan more effectively, and thus potentially better resolve their communities' problems. Together the results collectively aid in identifying the capacity of a community to implement a plan or planning activity.

Any community can benefit from this tool's individualized, tailored diagnosis if it is administered properly. It can be administered while a plan or planning activity is being developed to understand if adequate engagement is occurring, when a plan or planning activity is being implemented, or when it is time to get ready for a new plan or planning activity process. It is, so to speak, a snapshot at any given point of time and can be re-administered at regular intervals to see social network trends. The diagnostic results, in summary, assist a community to re-adjust their individual and collective efforts and potentially plan more effectively.

LIMITATIONS OF RESEARCH

The primary challenges to executing this research were in the application of social network analysis and theory to planning capacity patterns, the limited time of the researcher, closure of the snowball survey, and the adjustment and refinement of the tool to be utilized by any community.

The first challenge was molding social network analytical methods to planning application. Social network analysis has traditionally focused on social movements (issue-based) and closed-network dynamics (organizational-based). Community planning operates almost always in an open network and has many issues at any given time involved. Monge and Contractor (2003) developed a multi-theoretical, multi-level framework that fit well with the complex nature of community planning.

To reiterate, quality planning capacity patterns are uniform in nature. This research's primary goal was to assess the delineation of nine traits of an engaged planning community. This assessment tool acknowledges that power structures differ from community to community depending on the size, density, and proportion of centralized influence. For instance, this case study revealed a highly centralized power structure with a sub-network of informality circumventing this power through informal influence. Other communities may have a more decentralized pattern.

Second, the researcher had limited time and resources to execute this project. With additional resources additional communities could have been explored and the study replicated for further refinement, such as identifying specific intricacies correlating density and centrality to the integration of informal and formal patterns. The researcher suspected density and centrality change the strength and trust between

formal and informal stakeholders. However, this research question is outside the scope of this dissertation.

Third, an unforeseen design component of the research methodology resulted in two things. Interviews within the snowball survey revealed planning professionals, the planning and zoning commission, and key city councilmen with a planning expertise have little influence and actual power in local planning capacity. The clique creating the plans and the clique responsible for plan implementation are two largely autonomous groups. That circumstance was addressed by conducting key informant interviews to ensure network closure.

Finally, there was a significant amount of time needed to develop a readily-usable tool for non-traditionally trained individuals to use as a model process. Developing the messaging, process to access the tool, and the tool materials themselves were important to the improving the usability of this tool.

FUTURE RESEARCH POSSIBILITIES

Based upon the findings of this research it is hoped additional investigation can continue to study the efficacy (and the result) of communication between formal and informal stakeholders. That includes evaluating the result of an EPC diagnosis and attempts by communities to improve on their scores in relation to their planning capacity. C-IKNOW, an online social network surveying and analysis tool developed by Noshir Contractor at Northwestern University, appears to have the potential to collect the quantitative survey responses real-time during the interviews and automate the process for analyzing for the EPC administrator. GIS also has the potential to further allow for analysis of the responses in even deeper dimensions. In addition, research is needed in developing training for communities to understand and improve on their EPC diagnostic score. This is especially true as planning embraces informality and social networks and social media become more pervasive. That, in turn, will hopefully improve the results of planning capacity within a community.

Bottom line, this research provides a great foundation to identify and understand what is occurring at the local level in planning capacity. It is hoped the profession and general community members alike might better understand how people communicate within the broader community planning process. And, it is hoped these diagnostic results empower communities to better shape their own future success.

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APPENDIX A
ENGAGED PLANNING COMMUNITIES
DIAGNOSTIC TOOL

DIAGNOSTIC TOOL
ADMINISTRATION

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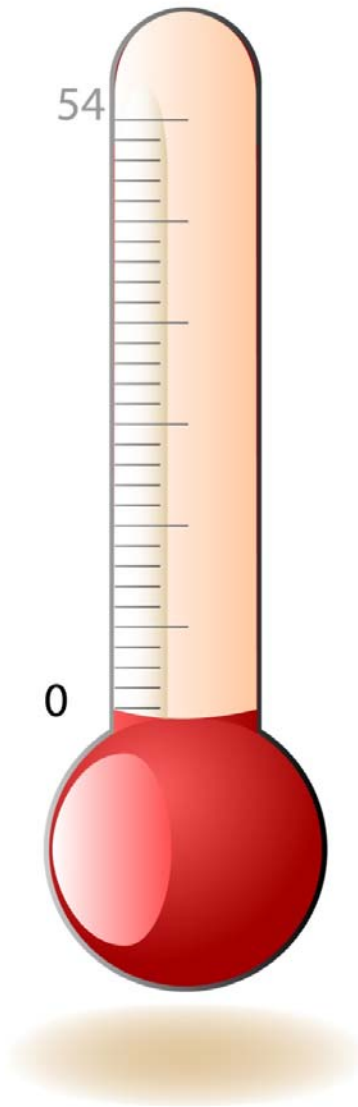
ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL ADMINISTRATION

The following detailed instructions on how to administrate the Engaged Planning Communities Diagnostic Tool explain the main components EPC Tool Administrators need to know.

This tutorial includes information on:

- What the EPC Tool is for

- What makes a good tool administrator

- The importance of confidentiality in Tool Administration

- Working with interview participants

- Key informant interviews

- Preparing the information for analysis and final report

- How to get started diagnosing your community

- What is involved with "self-administering" your community with the EPC Tool

- What is measured in this Tool's diagnosis

- What this Tool's diagnosis delivers

- An explanation of the diagnostic components (54 total characteristics) universal to Engaged Planning Communities

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

GENERAL INFO

WHAT THE EPC TOOL IS FOR

Preparation for a community's future is crucial. This is why community planning exists. But all too often communities expect if a good plan or proven planning process is developed the result will be good too. Granted, planning implementation is incredibly complex -- a myriad of dynamics can unhinge a good vision from coming to fruition.

Every community has some sort of planning process for the environmental, social, and economic challenges facing their area. Diagnosis of your community's ability to implement the strategic planning activities is only helpful if it can occur while the activities are underway, not assessing the ability to activity after the fact.

This diagnostic tool was developed to directly address this ongoing challenge facing communities. The diagnostic result of this assessment provides greater understanding of what is working in planning implementation and what isn't. These results empower communities to shape their own future success. Developed by Dr. Genevieve Borich, PhD, this tool is flexible enough to apply to any community, regardless of the type of planning approaches it uses.

An EPC Diagnosis is a snapshot in time--a barometer reading--of your community's current ability is to implement the strategic steps necessary to reach its long-term vision and goals. As the challenges facing your community and the dynamics of those involved in your community's planning implementation efforts change, Certification is not a "one-time" designation. Re-certification of Engaged Planning Communities is required every five years, at minimum. This is done simply by re-administering the EPC Tool. The Tool should be administered as often as needed; it is especially useful when a major change occurs in the community or before a major plan update or planning process is embarked upon. There is never a bad time to administer the Tool.

Becoming a Certified EPC Community is a strong statement that a community can "get stuff done". This signals businesses looking to expand their operations or locate a new facility in a community that their decision to do so is a solid choice. It demonstrates to financiers that investing in a community is a sound decision. And, it affirms to community leaders and stakeholders within a community these 54 elements to their work are important for the continued viability of the area's future.

The EPC Tool is for BOTH the private and public sectors. It is the public sector's job to help align a common community-wide vision and priorities, but in the end it is the private sector's job to implement it. Aligning the stakeholders of both the private and public sectors in their implementation efforts is crucial for a community's well-being. After all, there is no "I" in "TEAM". Certification as an Engaged Planning Community provides business and property owners with third-party verification that community stakeholders are capable of implementing initiatives your community undertakes. It also provides demonstrable proof for grant applications the community is capable to execute the project. It provides community stakeholders a concise framework for identifying and implementing practical and measurable ways to improve planning implementation efforts. The diagnosis is a snapshot of your community's ability is to implement planning efforts; it can be re-applied as needed showing improvement and decline among the 54 points.

This being said, it will ultimately be difficult to control who wants the tool administered and who doesn't. Other than Tool Administrators being the only individuals being able to access the tool, it is possible the Tool might be distributed to non-Certified individuals. The danger in disseminating the Tool to non-Certified individuals is that the responsibility of effectively administering the Tool is lost. It is possible non-municipal community leaders may approach you to administer the tool. For instance, a political campaign, a local non-profit, or a grassroots community organization may want to understand how they may be more effective within the local power structure. With your guidance they can do so, AND the broader community can be better informed on how to improve their planning implementation efforts. It is not the job of Tool Administrators who can "request" administration; it is the job of Tool Administrators to ensure it is effectively administered. This is why Certified Administrators are listed in the directory on the website—they serve as "experts" and resources for those interested in obtaining an EPC diagnosis for their community.

If a Community has decided to commit to becoming a Certified Engaged Planning Community it is important to realize it may not achieve Certification status with its diagnosis the first time the community is administered the Tool. However, the results of a non-qualified diagnosis provide a clear set of action items a community's stakeholders can focus on to improve its "score" the next time the community is ready to administer the Tool. In addition, re-certification of existing certified communities is required every five years to show the same efficacy is occurring of the characteristics of Engaged Planning Communities.

This tool surveys stakeholders of your community's core power structure working on planning implementation efforts. These confidential surveys reveal aggregate patterns of planning implementation in your community. These patterns are assessed within 9 traits of planning implementation efforts universally found in Engaged Planning Communities.

These traits each have 6 characteristics that, together, comprise the diagnostic score for the community when the tool is administered. These 54 points are a snapshot into the tendencies of the community in its planning implementation efforts. While the tool can be administered at any point in time, it is especially helpful before a major planning process occurs, when a major initiative is about to be undertaken, or before a plan update is scheduled.

An EPC Diagnosis is much like the rating system developed by the US Green Building Council for their LEED Certification system for building and neighborhood infrastructure. 54 characteristics universal to all Engaged Planning Communities assess a community's ability to implement planning initiatives while they are going on. Using social network analysis as a framework, this tool shows the implementation patterns of the communication and relationships of the community's core stakeholder group.

Certification levels for Community's diagnoses meeting certain thresholds are as follows:

- Certified "Platinum Engaged Planning Communities" require 49-54 point diagnoses.

- Certified "Gold Engaged Planning Communities" require 43-48 point diagnoses.

- Certified "Silver Engaged Planning Communities" require 37-42 point diagnoses.

A high diagnostic EPC score means the community receives Certification as an Engaged Planning Community. However, they will need to continually work to maintain their communicative tendencies. The tool is only a snapshot in time…issues change, stakeholders come and go, and scores can fluctuate for a community over time. A low diagnostic EPC score merely means the community has identified areas of improvement in planning implementation.

WHAT MAKES A GOOD TOOL ADMINISTRATOR

Due to the delicate nature of EPC Tool Administration, not everyone is well suited to be a Tool Administrator. Effective Tool Administrators are people who do not influence their interviewees' responses through ineffective mannerisms, explanations, preparation, or analysis of their responses. Having a neutral "role" in community planning is important to get candid answers from interviewees. In addition, Tool Administrators need to have expertise and a deep understanding of community planning, community engagement, citizen participation, social networks in community planning, etc. This knowledge ensures the Tool Administrator is capable of both asking effective follow up questions in the interviews but also effectively analyze the aggregated results of the interviews.

Almost always this means Tool Administrators cannot be from the community they are interviewing. If they have the skill set to administer the Tool they most likely are a community leader and are involved in planning implementation efforts. Or, at minimum they are likely to be biased about responses with their first-hand knowledge of what the community is going through. This, however, is not always the case. If the community is large enough and you can truly be a neutral administrator that will not influence interviewees' responses from your presence,

Extension Services staff, academic researchers, and consultants are usually have the skills and ability to serve as effective EPC Tool Administrators. Municipal planners, city staff, and elected officials are examples of individuals who are unable to effectively serve as a Tool Administrator because their participation automatically skews responses. The expertise and qualification to conduct interviews includes being articulate on the theories and methods of the tool. This can be achieved by reading the dissertation on the development of the tool and/or completing the requisite training exam on the EPC website for tool administrators.

Administering the Engaged Planning Communities Tool is an important responsibility. As such, Certification is required of all EPC Tool Administrators to ensure a basic understanding of this responsibility and what is involved in this role. Becoming a certified administrator of this Tool is done by simply passing the requisite exam on the EPC Website. Once you pass this exam your bio and contact information will be listed on the Engaged Planning Communities website among the Certified Tool Administrators.

There are several good resources available for Tool Administrators to keep up-to-date on the latest trends pertinent to this diagnostic tool. They include:

- EPC's social media (facebook, twitter, blogger, youtube)

- Recommended 3rd Party resources listed on the website (professional publications, organizations, events)

THE IMPORTANCE OF CONFIDENTIALITY

Retaining confidentiality is of the utmost importance to protect participant's identity and information shared in the interviews. Local politics can be hard enough; participation shall not, in any way, impede upon the progress being made or the efficacy of local stakeholders. In fact, confidentiality aims to encourage participants to share frank information and be as honest as possible.

Interviewees' identity and the specific information they share will never be released upon the publishing of the Engaged Planning Community diagnosis for your community. In addition –and this is very important- when participants are asked for opinions on local politics, their participation within it, and others they participate with, the information will be shared only with the EPC Tool Administrator conducting the interviews. Subsequent interview participants in the community will not be allowed to know of previous participants' or the information they share.

Informed consent forms are necessary for each interviewee to sign. The purpose of this printed record is to explain to interviewees their participation will remain completely confidential. And, it explains to them the purpose of their participation and your commitment to keeping their participation private. Verbally telling an interviewee the information they share during the interview will remain completely confidential provides them with a reminder of this commitment; it is crucial to confirm they understand.

The potential harm interviewees may incur if their interview does not remain confidential includes losing the trust of their fellow stakeholders or losing their job. Due to this serious nature, informed consent forms should be signed before an interview for liability purposes and all interviewees to agree they understand their confidentiality will be retained so that they will be as forthcoming in the interview as possible.

Once an interview is completed, it is important to retain confidentiality of interviewees by not citing their name or title in the final report and generalizing any comments they make in their interview without citing their identity.

WORKING WITH INTERVIEW PARTICIPANTS

Based on a snowball survey method, Certified EPC Tool Administrators set up a series of interviews in the community they are administering the diagnostic tool. These confidential interviews help Tool Administrators comprehensively identify the dynamics of a community's planning implementation efforts. Interviewees are asked to identify personal insights into their participation in a community's planning initiatives. These responses will later be aggregated with others' responses, which together will identify patterns affecting the ability of an area to implement planning efforts.

Participation in the EPC Tool is by invite-only, through design of the EPC administration process, from a Certified EPC Tool Administrator. Once agreeing to participate in this process, participants will set up a face-to-face interview time with the EPC Tool Administrator. The interview includes a series of questions about the current trends in your community's local planning, the interviewee's participation in dealing with community issues, and other community leaders they participate with in planning implementation initiatives. The interviews each last approximately 1 hour in a private location decided upon by both the Tool Administrator and interviewees. It is suggested it occur at participant's place of work or a public location (coffeeshop or library) where confidential conversations can occur.

There are no risks to participants beyond those of everyday life. There are no direct benefits to participation in this research. However, the knowledge gained from the interviews are crucial to understand and possibly improve how community decisions are made in a community's planning implementation efforts. EPC interview participants directly help a community to shape its future success.

Tool administrators determine who to start the snowball survey with based on the type of governance model found in the community. Start with the individual with the most overt power in the community (city administrator or mayor), not who a community leader recommends you start with or who is the most popular stakeholder in the community.

Some individuals named in the snowball survey process may hesitate at participating. The best way to convey to potential interviewees their participation is important and will assist the community is to explain their participation was highly recommended (not name by whom) and their input is vital to understand the community's efforts to deal with community issues. In addition, the best way to convey to potential interviewees their participation is part of an officially-sanctioned community planning activity is to direct them to the community's website where the official announcement of participation in the tool is listed. In addition, it is recommended sharing the EPC Website to potential interviewees give background on the process and what the Tool is about.

The best locations for interviews to take place are the interviewee's private work office (1st places) or coffeeshop, restaurant, or pub (3rd places), Your home or their home is too informal for the interview. Casual business wear is encouraged during interviews for tool administrators. Interviewees will be put at ease but still take the interview seriously. Tool Administrators should never accept compensation from interviewees due to the conflict of interest resulting from this altered interviewee-interviewer dynamic. However, it is ok to accept it from the entity sponsoring the tool administration.

An Administrator knows when enough interviews have been conducted in the snowball survey when no new stakeholders are named in the snowball survey responses and key informant interviews confirm the responses obtained on the composition of the core network found in the snowball survey process.

Interviews should be conducted in person to allow the interviewer to read mannerisms for follow-up questions and establish trust/rapport from your mannerisms. This is completely lost if the survey results are obtained over the phone or via email. Information obtained in in-person interviews cannot be replicated through an interviewee filling out the form themselves.

It is crucial prior to the official start of the interview to introduce to the purpose of the tool and set a neutral location (or private location) to conduct the interview. An effective way to begin an interview is to explain the purpose of the diagnostic tool and how their confidential answers are important for an accurate assessment of the community's ability to implement plans. It is

helpful for the Tool Administrator explain to the interviewees their background and qualifications to administer the tool. It helps establish rapport and trust with the interviewee the information they share will be interpreted and utilized well. Then have the interviewee sign the confidentiality form (if they haven't already done so) and begin asking questions. It is recommended you additionally have a copy of the interview questions for them to read and follow along with, especially for them to browse answers for the multiple-choice questions.

Several challenging situations may occur during your interview. If an interviewee hesitates on committing to one of the given answers in a single-response question guide them to pick the answer that best fits their sentiment for analysis purposes. If pressed, the best response to interviewees wanting to know how you got their information and asked to interview them is to respond with something like, "Due to the confidential nature of this interview process, I apologize but that information is not to be disclosed; however, the information you shared will not be disclosed to others either".

If an interviewee has a question about a term used in the interview, explain the term based on its reference to the diagnostic tool and community planning and give a contextual example. It is recommended Tool Administrators ask follow-up questions to unusual responses to multiple choice questions, including those with accompanying uncomfortable body language and ambiguous answers, When follow up, open-ended questions are being posed to find out more in-depth information, the best tactic to frame the question is to say something like: "That is interesting; can you tell me more about _____?" And, the best response to interviewees wanting to know what other interviewees shared in their interviews is to avoid responding to their request and ask…"I would like to know what YOU think."

If an individual named in the snowball process does not respond or declines an interview request it is ok to not interview them if they are not named in the question, "Who would you describe as the 5 most influential people in dealing with community issues? These individuals can be influential in either formal or informal social circles." and key informant interviews do not cite this stakeholder as integral to planning implementation.

Once an interview is completed, the first thing to do is to thank the interviewee for their time and remind them their participation will remain completely confidential. Next, Administrators determine who to interview next based on the answers to the question, "Who are three individuals, by name, you have regular contact with in dealing with community issues?"

KEY INFORMANT INTERVIEWS

Key informant surveys supplement and reinforce network information received through the snowball analysis. Key informants are individuals who are typically highly involved in a community's planning implementation network but are not mentioned as a result of the power analytical snowball survey method. The network structure revealed thru the snowball method and the information received through these interviews is then double-checked with these individuals to determine legitimacy. It has help reveal whether or not closure is reached or if an entirely other set of stakeholders was not identified through the original snowball survey interview process. Key informant interviews are necessary every time the tool is administered for a community because otherwise there is no way to know if entire important sub-networks are missing from the power-structure (core stakeholder network)

Examples of key informants to interview are: city planners, significant property or business owners within the community, key community organizational leaders, elected officials, or former formal

stakeholders still within the community. These are neutral individual normally named in a community's core stakeholder network but not named in the snowball process.

Key informant interviewees administered the same interview questionnaire as snowball survey interviewees. But, because they are conducted after the administrator suspects the snowball survey closes additional follow-up questions are important to ask to confirm general trends in responses in the snowball survey process

If key informants' responses contradict the reports of the snowball survey interviewees additional snowball surveys may need to occur, either by finishing the few remaining individuals to be interviewed or by starting a second snowball survey. In addition, the contradictory responses may provide superfluous insights the snowball survey interviewees were not willing to admit.

PREPARING INFORMATION FOR ANALYSIS AND FINAL REPORT

The best way to record open-ended responses for later analysis is with an MP3 recorder. Once an interview is completed, the next step with the interview responses if you, as a tool administrator, are doing analysis yourself is to enter the multiple-choice responses into the template Excel spreadsheets. You will then input the multiple-choice responses into UCInet

When analyzing the results of the tool, the results are tendencies of a community's planning implementation efforts, not absolute findings, This is a formative diagnosis, not a summative diagnosis; a community is never "complete" or "done" as new challenges will continually arise. After analyzing the data Administrators do not release the raw data with the final report because it compromises the confidentiality of the interviewees' participation.

Once the report is released, the best to communicate the diagnostic results to the press is the sponsoring entity of the tool administration. This is their story to tell; after all, they are going to have to spear-head improving on the areas needing so found within the diagnosis. Based on a community's diagnosis, assistance is available to communities needing improvement through leadership training from local Extension Services, and resources on the EPC Website.

If the tool administrator is completing the tool themselves (including analysis), if the analytical results for one of the 54 points is not clear (it's not clear if the answer is "yes" or "no") look at the overall trends of that trait, including open-ended answers, and look for a trend.

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

TO BEGIN

HOW TO GET STARTED DIAGNOSING A COMMUNITY

1. The first step in utilizing this tool is understanding what is involved in its application. This Training Guide contains a plethora of information to assist you in preparation. Considerable resources are needed to collect the survey responses, to analyze the responses, and to compile the diagnosis. Discussing the tool with other leaders in your community and getting their support is paramount. If any questions arise, contact Ms. Borich for assistance.

2. The second step is deciding if your community has the resources to administer the tool on its own or if outside consulting assistance is needed. This step includes securing commitments from qualified individuals to administer the tool for the survey data collection, the analysis, and the final reporting. Potential Tool administrators should check out the portion of our website dedicated to these individuals. It contains information on what to expect as a tool administrator, training to become a Certified Tool Administrator, a list of Certified Administrators, the tool itself, and directions on how to administer the tool.

3. The third step is securing official commitment by the community itself to obtaining an EPC diagnosis. It is recommended this occur in the form of a resolution from a municipal or a local agency governing board. This action commits resources to the tool administration and provides survey participants with an understanding this is an official assessment process.

4. The fourth step is to administer the tool. This begins with a confidential, in-person survey process of the power players in your community. It is a snowball survey, meaning Administrators track down:

   a. who works with whom in the core stakeholder group

   b. what types of initiatives they work on

   c. when (how often) they are involved

   d. how they participate in community initiatives

e. why they are involved

5. Follow up interviews will then occur with key individuals in the community to confirm the findings. There is a section on this website for those being asked to take the survey and be interviewed. It provides an introduction to the tool, what they can expect, and a FAQ section.

6. Next, the responses are compiled using Microsoft Excel and UCInet (a social network software package). Finally, the results are analyzed by a trained tool administrator and assembled into final report form.

7. The sixth step is to release the diagnosis and assemble community leaders in understanding the results. As this is a formative tool, not summative, the final "score" is a touch point for your stakeholders to gauge where they can improve their planning implementation efforts.

8. The seventh step to this process is for your community's stakeholders to collectively decide on action items to improve its EPC diagnostic score in the future.

9. The final step is to implement these action items.

WHAT IS INVOLVED WITH A COMMUNITY SELF-ADMINISTERING THE TOOL

1. If you do not want the assistance of the Tool Developer, Genevieve Borich, in administering the tool, it has been designed so a local community can do it on its own. There are several **benefits** to self-administering the tool: it can sometimes be more cost-efficient; local tool administrators provide greater ease of access to conducting the surveys; and, the local community then has trained tool administrators and can more easily re-administer the tool again in the future.

2. There are also several **drawbacks** to consider with self-administration: the amount of time and draw on resources can be significant in self-administration; often there are not individuals qualified to administer the tool; and, there is a higher chance of error in tool administration.

3. If your community decides to self-administer, a **neutral tool administrator** is needed to collect the survey responses. This individual cannot be in the community's power structure as they will taint the survey responses. Extension Services staff and private planning consultants are often the best to serve as administrators. Specific expertise and training in interviewing and retaining interviewee confidentiality is important to have.

4. A **full list of trained EPC tool administrators** is found on this website.

5. This tool administrator will then follow the process as decribed on this website and, by utilizing the survey provided on this site, **collect survey responses** from local community leaders.

6. The **time committment of survey administrators** will vary based on your community's size. It is estimated for smaller communities (>25,000) anywhere from 20-50 non-consecutive hours are needed to complete the surveys. For mid-sized communities (25,000-100,000) anywhere from 30-60 non-consecutive hours are needed to complete the surveys. It is estimated for large communities (100,000-500,000) anywhere from 50-100 non-consecutive hours are needed to complete the surveys. It is estimated for very-large communities (500,000+) anywhere from 80+ non-consecutive hours are needed to complete the surveys.

7. Once the surveys are completed, this individual or another trained EPC tool administrator can begin **compiling the results** into Microsoft Excel and UCInet (both software packages required). UCInet is available for purchase online, and online tutorials are available as well. Specific expertise and training in social network analysis is required to compile survey results.

8. **Time committment for response compilation** is estimated anywhere from 30-100+ hours, again depending on the size of the community and also on the expertise level of the tool administrator.

9. Once compilation is completed, this individual or another trained EPC tool administrator can **analyze the aggregate results** with the steps outlined in the tool administration section. Specific expertise and training in social network analysis is required for analysis of the survey results. Analysis is done on 54 separate characteristics of Engaged Planning Communities.

10. **Time committment for analysis** is estimated anywhere from 30-100+ hours, again depending on the size of the community and also on the expertise level of the tool administrator.

11. Analyzed results are then inserted into the **pre-developed report** template, which is then prepared for release.

12. The tool administrator should be available upon the release of the diagnosis to help **communicate about the findings** of the tool.

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

WHAT'S MEASURED

WHAT THIS TOOL MEASURES

1. This tool surveys stakeholders of your community's core power structure working on planning implementation efforts.

2. These confidential surveys reveal aggregate patterns of planning implementation in your community.

3. These patterns are assessed within 9 traits of planning implementation efforts universally found in Engaged Planning Communities.

4. These traits each have 6 characteristics, that together, comprise the diagnostic score for the community when the tool is administered.

5. These 54 points are a snapshot into the tendencies of the community in its planning implementation efforts. While the tool can be administered at any point in time, it is especially helpful before a major planning process occurs, when a major initiative is about to be undertaken, or before a plan update is scheduled.

6. Using social network analysis as a framework, this tool shows the implementation patterns of the communication and relationships of the community's core stakeholder group.

WHAT THIS TOOL DELIVERS

1. Certification as an Engaged Planning Community provides business and property owners with third-party verification that community stakeholders are capable of implementing initiatives your community undertakes. It also provides demonstrable proof for grant applications the community is capable to execute the project.

2. It provides community stakeholders a concise framework for identifying and implementing practical and measurable ways to improve planning implementation efforts.

3. Developed by Dr. Genevieve Borich, PhD, this tool is flexible enough to apply to any community, regardless of the type of planning approaches it uses.

4. The diagnosis is a snapshot of your community's ability is to implement planning efforts; it can be re-applied as needed showing improvement and decline among the 54 points.

EPC CERTIFICATION LEVELS

An EPC Diagnosis is much like the rating system developed by the US Green Building Council for their LEED Certification system for building and neighborhood infrastructure. 54 characteristics universal to all Engaged Planning Communities assess a community's ability to implement planning initiatives while they are going on.

A "Platinum Engaged Planning Community" has 49-54 point diagnosis.

A "Gold Engaged Planning Community" has 43-48 point diagnosis.

A "Silver Engaged Planning Community" has 37-42 point diagnosis.

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

THE NINE TRAITS

BROAD-BASED STAKEHOLDER REPRESENTATION

...assessing the involvement of both formal and informal stakeholders in a community's planning implementation efforts.

WHAT THIS TRAIT IS ABOUT

- Formal stakeholders are those with official titles or roles in community planning; they participate as rational, technical experts.

- Informal stakeholders are community leaders, own property and businesses, and overall work to help the communities' wellbeing behind the scenes.

- Participation by both stakeholder types is important as all planning efforts are part public-sector, part private-sector.

SIX CHARACTERISTICS OF THIS TRAIT

1. Are both informal and formal stakeholders recognized through peer-reported identification and by Key Informant interviews?

2. Do open-ended questions of the vast majority interviewed indicate no dominance of a small amount of informal or formal stakeholders?

3. Do open-ended questions of the vast majority interviewed indicate no lack of inclusion of key informal or formal stakeholders?

4. Do snowball survey participants affirm informal and formal stakeholder representation?

5. Is there inclusion (if these roles exist) of all of the following usual types of stakeholders in the core network: elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders?

6. Does the core group of stakeholders bridge their work to minor stakeholders in town?

BROAD-BASED STAKEHOLDER PARTICIPATION

...assessing how informal and formal methods are utilized within a community's planning efforts.

WHAT THIS TRAIT IS ABOUT

- Formal methods range from official correspondence to utilizing formal locations for the communication; these methods are relied on by both informal and formal stakeholders.

- Informal methods range from behind-the-scenes communication to utilizing informal locations for the communication; these methods are relied on by both informal and formal stakeholders.

- Utilization of both types of participation are important as all planning efforts have elements of formality and informality.

SIX CHARACTERISTICS OF THIS TRAIT

1. Is planning implementation part of at least some of both informal and formal stakeholders' job descriptions?

2. Do at least some informal and formal stakeholders report participating in both official and volunteer capacities in planning implementation?

3. Is the core network fairly dense? (meaning "≥.6") so at least some of both of the informal and formal stakeholders appear well connected?

4. Is there a balance (not heavy reliance on one or other) of both informal and formal relations present among the majority of both informal and formal stakeholders?

5. Do the majority of both informal and formal stakeholders balance the utilization of both informal and formal communication methods and locations?

6. Do the open-ended questions of all interviewees indicate there is common utilization of informality and formality by both informal and formal stakeholders?

INCLUSION OF MANY INFORMATION TYPES

...assessing how different world views are incorporated into a community's planning implementation efforts.

WHAT THIS TRAIT IS ABOUT

- This includes technical knowledge and information most often utilized by formal stakeholders.

- It also includes local, everyday knowledge and information most often utilized by informal stakeholders.

- Both are important to incorporate as they provide a more complete understanding of the dynamics of the specific effort at hand.

SIX CHARACTERISTICS OF THIS TRAIT

1. Do the top key stakeholders participate in both informal and formal issues?

2. Do the majority of informal stakeholders appear to be engaging in issues directly benefitting their role?

3. Do the majority of formal stakeholders appear to engage in issues for the public good?

4. Are the majorities of both informal and formal stakeholders learning from both lay, indigenous information and professional, technical information?

5. Are the majorities of both informal and formal stakeholders using both lay, indigenous information and professional, technical information?

6. Are stakeholders effectively bridging information types?

FLEXIBLE ALIGNMENT

...assessing how well stakeholders re-align efforts with evolving planning dynamics facing their community.

WHAT THIS TRAIT IS ABOUT

- Having a cohesive, collective vision for stakeholders to work towards is the foundation for planning for a community's future.

- Adjusting goals, priorities, and tactics is vital for a community's continued ability to plan.

- The ability of a community to work together (not on parallel tracks) enables it to work towards this collective vision.

SIX CHARACTERISTICS OF THIS TRAIT

1. Are there informal stakeholders who are generalists and some who are specialists?

2. Are there formal stakeholders who are generalists and some who are specialists?

3. Are there informal and formal stakeholders strong in informal and formal individual work and collaboration?

4. Are formal stakeholders generally motivated to participate for the public good?

5. Are there some informal stakeholders with influence who are motivated to participate for the public good?

6. Do stakeholders sense there is a collective vision the community is working towards?

EFFECTIVE TIMING

...assessing how well stakeholders work on short-term and long-term initiatives in unison.

WHAT THIS TRAIT IS ABOUT

- Planning is never "done" for a community.

- New issues arise; stakeholders come and go.

- On-going efforts for both short and long-term needs enables a community to not be just reactive in the short-term nor continually stuck in "visioning-mode" for the long-term.

SIX CHARACTERISTICS OF THIS TRAIT

1. Is there no majority of stakeholders having lived in the community a long time (5+ years)?

2. Is there no majority of stakeholders who are newcomers?

3. Is a lack of stakeholder turnover not preventing progress? 4.

4. Do the majority of stakeholders regularly learn about planning implementation issues?

5. Do the majority of stakeholders regularly participate in planning implementation efforts?

6. Do the short-term economic interests not override the long-term vision of the community?

ACCESSIBILITY OF LEADERSHIP

...assessing the accessibility of current leadership as well as accesibility of new leaders into the core stakeholder network in planning implementation efforts.

WHAT THIS TRAIT IS ABOUT

- Both informal and formal stakeholders must be accessible to non-core stakeholders; this means both in place and time but also in the comprehension of different world views.

- An open network is key for stakeholder turnover in a community.

- If no-new stakeholders are "admitted" to the core network efforts run the risk of becoming stagnant unable to deal with evolving issues at hand.

SIX CHARACTERISTICS OF THIS TRAIT

1. Does a mix of informal and formal stakeholders have strong ties through the amount of connections they have to other stakeholders?

2. Does the network appear to be not too centralized?

3. Does the network appear to be not too decentralized?

4. Does a mix of informal and formal stakeholders have strong ties through reciprocity?

5. Do the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public?

6. Does leadership appear accessible through both formal and informal channels?

COMMUNICATIVE SKILL

...assessing how well stakeholders of planning implementation efforts wield both power and influence.

WHAT THIS TRAIT IS ABOUT

- Power is the ability to make a decision and have others abide by the decisions. It is direct and overt.

- Influence is indirect power and the ability to sway people in authority. It is covert and more behind-the-scenes.

- Utilization by both types are important by both informal and formal stakeholders to accomplish a community's planning goals.

SIX CHARACTERISTICS OF THIS TRAIT

1. Do some formal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?

2. Do some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?

3. Are the informal stakeholders most often relied upon in the network appearing not vulnerable to being excluded in planning implementation?

4. Are the formal stakeholders most often relied upon in the network appearing not vulnerable to being excluded in planning implementation?

5. Are there stakeholders capable of garnering consensus towards a collective vision?

6. Are power and influence working together (not circumventing informality or formality) in this community?

A SUSTAINABLE APPROACH

...assessing how well stakeholders are addressing all of a community's social, economic, and environmental resources.

WHAT THIS TRAIT IS ABOUT

- Core community resources include human, social, financial, environmental, and physical capital.

- It is important stakeholders not over-address one resource type at the expense of the others.

- Self-interests and public-interests are balanced through efforts to maintain the five community resource types.

SIX CHARACTERISTICS OF THIS TRAIT

1. Does a balance of informal and formal stakeholders with influence appear to be working together on environmental issues facing the community?

2. Does a balance of informal and formal stakeholders with influence appear to be working together on physical issues facing the community?

3. Does a balance of informal and formal stakeholders with influence appear to be working together on financial issues facing the community?

4. Does a balance of informal and formal stakeholders with influence appear to be working together on human issues facing the community?

5. Does a balance of informal and formal stakeholders with influence appear to be working together on social issues facing the community?

6. Do stakeholders appear to be connecting these five issue areas through coordinated implementation efforts or a regional sustainability plan?

RATIONALITY AND PRACTICALITY

...assessing stakeholders' ability to realistically and practically align efforts to a community's planning goals.

WHAT THIS TRAIT IS ABOUT

- On-going communication affords stakeholders to assess the realities facing a community's planning implementation efforts.

- Amassing the necessary resources (including policies, incentives, participation, methods, etc) is crucial.

- Balancing the short-term realities with long-term vision is key.

SIX CHARACTERISTICS OF THIS TRAIT

1. Do the majority of informal stakeholders sense short-term economic interests are the most influential in this community?

2. Do the majority of formal stakeholders sense long-range planning interests (not short-term economic) are the most influential in this community?

3. Are the short-term economic interests of the community not taking priority over long-range visioning in this community?

4. Does there seem to be a cohesive vision for the public good that informal and formal stakeholders support?

5. Do the most influential formal stakeholders seem to be practical in their priorities?

6. Do the most influential informal stakeholders seem to be practical in their priorities?

RESOLUTION NO: _____

**RESOLUTION AUTHORIZING ADMINISTRATION OF THE
ENGAGED PLANNING COMMUNITIES DIAGNOSTIC TOOL**

WHEREAS, the ability of our community to implement planning efforts effectively is paramount for its future social, economic, and environmental well-being; and

WHEREAS, the community stakeholders of [Geographic EPC Study Region] need a concise framework for identifying and implementing practical and measurable ways to improve planning implementation efforts; and

WHEREAS, [Agency Governing Board] has reviewed and concurs the Engaged Planning Communities Diagnostic Tool and Community Certification process of formatively assessing our community's ability to implement planning activity has the ability to identify and implement practical and measurable ways to improve these efforts; and

WHEREAS, this diagnosis and effort to become Certified as an Engaged Planning Community is consistent with the regional economic development and planning goals in [Adopted Planning Document] , [Adopted Planning Document] , and [Adopted Planning Document] ; and

WHEREAS, Certification as an Engaged Planning Community will provides business and property owners with third-party verification that our community stakeholders are capable of implementing initiatives our region undertakes; and

WHEREAS, Engaged Planning Community Certification also provides demonstrable proof for grant applications the community is capable to execute the project.

NOW THEREFORE BE IT RESOLVED, by [Agency Governing Board] financially supports and endorses the administration of the Engaged Planning Community Diagnostic Tool and certification process.

BE IT FURTHER RESOLVED, the duly elected [Agency Governing Board Chairman] is authorized and instructed to sign any and all documents associated with the implementation of administering the Engaged Planning Community Diagnostic Tool, and that the [Name of Appointed Engaged Planning Community Certified Tool Administrator] is hereby authorized and empowered to execute all necessary steps to administer the aforementioned Diagnostic Tool on behalf of [Geographic EPC Study Region] .

PASSED AND ADOPTED THIS THE _____ DAY OF _____, _____

_____
[Title]
[Agency Governing Board]

**Engaged Planning Communities
Informed Consent for Interview Participants**

Preparation for a community's future is crucial. This is why community planning exists. But all too often communities expect if a good plan or proven planning process is developed the result will be good too. Granted, planning implementation is incredibly complex -- a myriad of dynamics can unhinge a good vision from coming to fruition.

About Engaged Planning Community (EPC) Certification for Your Community: This diagnostic tool was developed to directly address this ongoing challenge facing communities. The diagnostic results of the assessment you've been asked to contribute to provide greater understanding of what is working in your community's planning implementation and what isn't. These results will help show your communities' leaders to better shape their own future success. Developed by Dr. Genevieve Borich, PhD, this tool is flexible enough to apply to any community, regardless of the type of planning approaches it uses.

How EPC Certification Can Help Your Community: Certification as an Engaged Planning Community provides your community's business and property owners with third-party verification that your local stakeholders are capable of implementing initiatives they undertake. It also provides demonstrable proof for grant applications your community is capable to execute projects. It provides your community's leaders a concise framework for identifying and implementing practical and measurable ways to improve planning implementation efforts. The diagnosis is a snapshot of your community's ability is to implement planning efforts; it can be re-applied as needed showing improvement and decline among 54 characteristics universal to Engaged Planning Communities.

Purpose of your Interview: Your confidential interview will help to comprehensively identify the dynamics your community's planning implementation efforts. You will be asked to identify personal insights into your participation in your community's planning initiatives. These responses will later be aggregated with others' responses, which together will identify patterns affecting the ability of your area to implement planning efforts.

What to Expect in your Interview: Once agreeing to participate in this process, a Certified Engaged Planning Community Tool Administrator will set up a face-to-face interview time. The interview includes a series of questions about the current trends in your community's local planning, your participation in dealing with community issues, and others you participate with. The interview will last approximately 1 hour in a private location decided upon by both the Tool Administrator and yourself. It is suggested it occur at your place of work or a public location (coffeeshop or library) where you can have a confidential conversation.

Benefits to Helping with this Process: There are no risks to you as a participant beyond those of everyday life. There are no direct benefits to you as a participant in this research. However, the knowledge gained from your participation will be useful in understanding and possibly changing how community decisions are made in implementation efforts.

Statement of Confidentiality: Retaining confidentiality will be of the utmost importance to protect your identity and information shared in the interview. Local politics can be hard enough; your participation shall not, in any way, impede upon the progress being made or the efficacy of your participation. In fact, confidentiality aims to encourage you to share frank information and be as honest as possible.

Your identity and the specific information you share will never be released upon the publishing of the Engaged Planning Community diagnosis for your community. In addition –and this is very important- when you are asked for your opinions on local politics, your participation within it, and others you participate with, the information will be shared only with the EPC Tool Administrator you are interviewed by. Subsequent interview participants in your community will not be allowed to know of your participation or the information you share.

I have read and understand the above consent form and voluntarily agree to participate in this study.

_____

Type Your Name

_____   _____

Your Signature   Date

EPC PHONE SCRIPT

Hi, I am with the [insert name of organization hosting EPC tool implementation], and we are currently working [insert scope of initiative for EPC diagnosis here].

Part of the process is to do interviews with key community leaders to find out what they working on and their perspectives on what's going on in the community.

You were recommended as a key, really important person to talk to because of your community involvement…and I'd like to set up a time to have a member of our team sit down with you and talk about your perspectives and experience.

The interview will be completely confidential, and the discussion will take anywhere from 45 min to no longer than an hour.

When would you be available to meet? I can come to you…wherever and whenever is easiest for you.

[YES – Schedule Interview]

[Hesitate – say following]

If they want to know who recommended them:

Because the interviews are confidential, I cannot say their name…but they spoke highly of you and what your perspectives are. They said you really have a unique perspective that could help us understand the community better and how to get the community more involved in this project to develop a regional sustainability plan.

If they want to know more about the project:

BACKGROUND: [Insert customized sentence here]. Finding out perspectives from key community leaders representing different groups and sectors in the community is a critical component to launch this process. You were mentioned as the best person to talk with based on your experience and the leadership roles you have played in the community.

CONFIDENTIALITY: We can send you an email explaining the project a bit more and also the confidentiality form participants sign assuring complete confidentiality in the interview if that would help.

TIMING/LOCALE: We want to have the interview be the easiest for you, so whenever the soonest you have available would be great. We can come to your office or meet at a coffeeshop – whatever you prefer.

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

INTERVIEW QUESTIONS

TO GIVE YOU A BRIEF OVERVIEW, the U.S. Department of Housing and Urban Development's Partnership for Sustainable Communities has awarded the Rockford Metropolitan Agency for Planning (RMAP) a $600,000 grant to expand and continue the efforts to create a regional sustainability plan and performance measuring process. Part of this process is to find out what participation and perceptions local community leaders have about the region.

Your participation will provide greater understanding of what is working in your community's planning implementation and what isn't. These results will help show your community leaders how to better shape the region's future success. This tool is flexible enough to apply to any community, regardless of the type of planning approaches it uses.

BEFORE WE BEGIN THE INTERVIEW…

1. Have you read and signed the participant informed consent form?

2. Your participation will remain completely confidential…as such you are encouraged to provide frank and open responses to the questions.

3. The interview will take approximately one hour to complete.

4. Aim for 2-3 sentence responses for open-ended questions.

5. If you do not understand any of the phrasing, ask about what a term means.

TO BEGIN, I AM GOING TO ASK YOU A FEW QUESTIONS ON YOUR **GENERAL THOUGHTS ON COMMUNITY AND COMMUNITY PLANNING…**

1. What are the most important characteristics to a successful community? *(Name 3)*

   i. _____

   ii. _____

   iii. _____

2. What do you generally know about community planning?

3. What do you think are the most important characteristics to a successful community planning process?

4. When do you consider a "community issue" a "planning issue"?

NEXT, I AM GOING TO ASK YOU A FEW QUESTIONS ON **THIS REGION'S PLANNING EFFORTS...**

5. Generally speaking, how do you think this region is doing with its planning efforts?

6. What do you see as the biggest strength and weakness for this region?

    S: _____

    W: _____

7. What do you see as the biggest opportunity and threat for this region?

    O:_____

    T: _____

8. What is the biggest social challenge for this region?

9. What is the biggest economic challenge for this region?

10. What is the biggest environmental challenge for this region?

11. Do you feel this region generally knows what it wants to be in the future?

    ☐ Yes   ☐ No

12. Does the region have a solid comprehensive plan supported by community leaders?

    ☐ Yes   ☐ No

13. Do you think the current local political climate is helping or hurting the region?

    ☐ Helping   ☐ Hurting

14. Do you think there are adequate efforts to address sustainability?

    ☐ Yes   ☐ No

15. What tends to be more effective in this community's planning implementation efforts: formal power, behind-the-scenes influence, or both?

    ☐ Formal Power   ☐ Behind-the-Scenes Influence   ☐ Both

16. What do you believe is more influential in this community's planning implementation efforts?

    ☐ Short-term economic interests of community members   ☐ Long-range public planning goals

17. Do you sense the community is practical in aligning planning implementation efforts to long-range planning goals?

    ☐ Yes   ☐ No

18. How would you describe the community's participation, generally speaking?

☐ High   ☐ About right   ☐ Low

19. To your knowledge, what are the types of "hot spots" community stakeholders go to exchange information and ideas on community issues? *(circle multiple)*

☐ Home   ☐ Daycare
☐ Work   ☐ Market
☐ Barber or Beauty Shop   ☐ Gym
☐ Coffeeshop   ☐ Bus Stop
☐ Bar or Pub   ☐ Waiting Room
☐ Restaurant   ☐ Break Room
☐ Community Center   ☐ Outdoor Public Space
☐ Country Clubs   ☐ Indoor Public Space
☐ Fraternal Meeting Hall   ☐ City Hall or County Bldg
☐ Bowling Alley   ☐ Other
☐ Church

20. Are there a couple of locations you know of that are known as hotspots?

    i.   _____

    ii.   _____

21. Do you think "enough" of the "right people" are effectively engaged in this community's planning implementation efforts?

☐ Yes; there are enough of the key stakeholders effectively engaged

☐ No: *(pick one of the following reasons as the primary cause for "No")*

    ☐ A few key stakeholders prevent others from effectively being engaged
    ☐ The private-sector isn't being engaged by the public-sector (the primary decision-makers in community)
    ☐ The public-sector isn't being engaged by the private-sector (the primary decision-makers in community)
    ☐ There are too many "chiefs at the table" preventing effective implementation

☐ There is a large lack of community leaders stepping forward to be key stakeholders in our community's planning implementation initiatives

22. Who would you describe as the 5 most influential people in dealing with community issues? These individuals can be influential in either formal or informal social circles. *What are their occupations? What is their primary role in planning implementation efforts?*

iv.   _____

v.   _____

vi.   _____

vii.   _____

viii.   _____

SWITCHING GEARS A BIT, NOW I AM GOING TO ASK YOU A SERIES OF QUESTIONS ON YOU AND **YOUR PARTICIPATION AND INVOLVEMENT IN THIS COMMUNITY**…

23. What is your "story" of living in this region?

24. How would you describe your general community involvement?

25. What roles do you have in community planning? *What is your primary role?*

☐ County Board of Directors	☐ Environmentalist
☐ Mayor or County Chairman	☐ Developer
☐ City Council Member	☐ Land or Property Owner
☐ City Staff (non-planner)	☐ Landlord
☐ County Staff (non-planner)	☐ Neighborhood Leader
☐ City Planner	☐ General Community Member
☐ County Planner	☐ Academic Expert
☐ Regional Planner	☐ Extension Services Staff
☐ Volunteer for Municipal or County Board	☐ Utility Company Staff
☐ Transportation or Engineer	☐ Organization Member
☐ Consultant	☐ Non-Profit Staff
☐ Cultural Leader	☐ Non-Profit Board Member

26. How many years have you been in this primary role?

☐ 0-1   ☐ 2-5   ☐ 6-10   ☐ 11+

27. How integral to the community do you consider yourself when you participate in planning implementation efforts?

☐ Very   ☐ Somewhat   ☐ Not a whole lot

28. What level of influence do you consider yourself having within the following community resources? *Rate each type of community resource on a scale of 1 to 5, with 1 being low levels of influence and 5 being high. Numbers may be used more than once.*

☐ Human Capital: influencing workforce development and maintenance

☐ Social Capital: building and maintaining trust, norms, and networks

☐ Physical Capital: controlling the buildings, property, and land development

☐ Environmental Capital: controlling the environment

☐ Financial Capital: controlling the public and private distribution of money

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29. Which group(s) would you consider yourself to be a part of? *Also, which group is the most important to you when you participate in the community planning process?*

☐ County or City Staff

☐ Elected Official

☐ Community Leader

☐ Special Interest Group

☐ General Public

NOW I AM GOING TO ASK YOU A SERIES OF QUESTIONS ON **HOW YOU PARTICIPATE IN COMMUNITY PLANNING INITIATIVES**…

___

30. Do you participate in planning implementation efforts in an official capacity, informally as a member of the general public, or both?

☐ Official Capacity (Job or Volunteer Position)
☐ Informally as a Member of the General Public
☐ Both

31. Is resolving community issues part of your job description or a part of an official role you serve in a volunteer capacity?

☐ Yes   ☐ No

32. Why do you support community issues? *(May choose multiple)*

☐ It fundamentally is something good for the community
☐ Notoriety or satisfaction of doing something good for the community
☐ The issue(s) benefited me directly either personally or professionally
☐ Other?

33. How do you formally learn about community issues?

- [ ] Telephone
- [ ] Email
- [ ] Snail mail
- [ ] Public reports

- [ ] Public meetings (formal)
- [ ] Membership on Boards/Commissions
- [ ] Elected officials

- [ ] City or County staff
- [ ] Other?

34. How do you informally learn about community issues?

- [ ] Telephone
- [ ] Newspaper
- [ ] Television
- [ ] Radio
- [ ] Internet
- [ ] Email
- [ ] Bulletin Boards

- [ ] Business meetings
- [ ] Community meetings (informal)
- [ ] Membership in community organization
- [ ] Hotspots
- [ ] Neighbors

- [ ] Coworkers
- [ ] Relatives
- [ ] Friends
- [ ] Acquaintances
- [ ] Other?

35. When learning about community issues, are you most comfortable using…

- [ ] scientific, technical, or professional information sources

- [ ] everyday, real-world experience information sources

36. How often do you learn about new community issues?

- [ ] Daily
- [ ] Weekly

- [ ] Monthly
- [ ] Every few months

- [ ] Once a year
- [ ] Less than once a year

37. Do you tend to participate in implementation efforts when a particular issue arises (on an issue by issue basis), or on a regular, consistent, on-going basis?

- [ ] When a particular issue arises

- [ ] Regular, consistent, on-going basis

38. What are community issues you deal with in a formal capacity?

- [ ] Comprehensive Plan
- [ ] Land Use/Zoning
- [ ] Transportation
- [ ] Urban Redevelopment
- [ ] Utilities
- [ ] Urban Design
- [ ] Public Space
- [ ] Neighborhood Planning
- [ ] Regional Planning
- [ ] Agriculture
- [ ] Rural Development
- [ ] Regional Transportation

- [ ] Community Development
- [ ] Economic Development
- [ ] Commercial Growth
- [ ] Industrial Growth
- [ ] Residential Growth
- [ ] Pollution
- [ ] Water Resources
- [ ] Resources Conservation
- [ ] Wilderness Preservation
- [ ] Biodiversity
- [ ] Energy
- [ ] Disaster Planning

- [ ] Crime
- [ ] Unemployment
- [ ] Poverty
- [ ] Diversity
- [ ] Cultural
- [ ] Social Welfare
- [ ] Health Care
- [ ] Education
- [ ] Housing
- [ ] Senior Citizen Wellbeing
- [ ] Youth Wellbeing
- [ ] Other?

39. Do you tend to refer to the comprehensive plan when you deal with short-term community issues?

☐ Yes   ☐ No

40. What are community issues you deal with in an informal capacity?

☐ Comprehensive Plan   ☐ Community Development   ☐ Crime
☐ Land Use/Zoning   ☐ Economic Development   ☐ Unemployment
☐ Transportation   ☐ Commercial Growth   ☐ Poverty
☐ Urban Redevelopment   ☐ Industrial Growth   ☐ Diversity
☐ Utilities   ☐ Residential Growth   ☐ Cultural
☐ Urban Design   ☐ Pollution   ☐ Social Welfare
☐ Public Space   ☐ Water Resources   ☐ Health Care
☐ Neighborhood Planning   ☐ Resources Conservation   ☐ Education
☐ Regional Planning   ☐ Wilderness Preservation   ☐ Housing
☐ Agriculture   ☐ Biodiversity   ☐ Senior Citizen Wellbeing
☐ Rural Development   ☐ Energy   ☐ Youth Wellbeing
☐ Regional Transportation ☐ Disaster Planning   ☐ Other?

41. Do you tend to refer to the comprehensive plan when you deal with long-term community issues?

☐ Yes   ☐ No

42. When you work on these issues, does the majority of the knowledge come from…

☐ previously-published scientific, technical, or professional information sources

☐ self-researched, indigenous (local), and/or real-world experience information sources

43. When you are dealing with community issues, do you tend to work with…
☐ …individuals you have strong, close relationships with, understand how you want to approach the subject matter, and you trust to help you "get the job done".
☐ …individuals you know a little, have different knowledge and resources than you immediately have, and have better knowledge about the subject matter to "get the job done".

44. How do you *informally* deal with community issues? *Answer Y/N to the following…*

- ☐ Send emails
- ☐ Telephone
- ☐ Send snail mail
- ☐ Written correspondence
  (i.e. note to friend)
- ☐ Use media for discussion
- ☐ Advertise: print, internet, radio, or tv
- ☐ Community bulletin boards
- ☐ Planned 3rd place discourse
- ☐ Unplanned 3rd place discourse
- ☐ Discussions at home
- ☐ Meetings at someone's home
- ☐ Self-educate: internet or print materials
- ☐ Blog
- ☐ Online social network websites

- ☐ Create or maintain website
- ☐ Online chat
- ☐ Distribute/ receive print material
- ☐ Post printed material
- ☐ Attend conference
- ☐ Text Message
- ☐ Community-organized meetings
- ☐ Attended a protest
- ☐ Canvass
- ☐ Write letters to the editor
- ☐ Membership in community organization
- ☐ Attend community organized event
- ☐ Fundraising campaign
- ☐ Other?

45. How do you *formally* deal with community issues? *Answer Y/N to the following…*

- ☐ Make phone calls
- ☐ Send emails
- ☐ Send snail mail
- ☐ Written correspondence *(i.e. memos)*
- ☐ Use media for discussion
- ☐ Advertise: print, internet, radio, or tv
- ☐ Private meeting with city or county staff
- ☐ Survey sent by city or county staff
- ☐ Vote
- ☐ Websites-issue balloting
- ☐ Arbitration and mediation meeting
- ☐ Charrette
- ☐ Attend conference
- ☐ Attend workshops
- ☐ Focus group meetings
- ☐ Community training by Staff or Consultants

- ☐ Community technical assistance
- ☐ Drop-in centers
- ☐ Meetings—municipal or county sponsored
- ☐ Meetings—neighborhood level
- ☐ Meetings—open informational
- ☐ Public hearing
- ☐ Public Information Program
- ☐ Open-door policy of city or county staff
- ☐ Task forces
- ☐ Neighborhood Planning Council
- ☐ Citizen's Advisory Board
- ☐ Membership: boards, councils, or commissions
- ☐ Served as an elected official
- ☐ Create or use public reports and documents
- ☐ Other?

46. Where do you go to exchange either information or ideas on community issues? *Answer Y/N to the following…if "yes", state name of location…*

- ☐ Home
- ☐ Work
- ☐ Barber or Beauty Shop
- ☐ Coffeeshop
- ☐ Bar or Pub
- ☐ Restaurant
- ☐ Community Center

- ☐ Country Clubs
- ☐ Fraternal Meeting Hall
- ☐ Bowling Alley
- ☐ Church
- ☐ Daycare
- ☐ Market
- ☐ Gym

- ☐ Bus Stop
- ☐ Waiting Room
- ☐ Break Room
- ☐ Outdoor Public Space
- ☐ Indoor Public Space
- ☐ City Hall or County Bldg
- ☐ Other

47. Are there specific hotspots you like to go to?

    i.   _____

    ii. _____

48. How often do you participate in resolving community issues?

☐ Daily
☐ Weekly
☐ Monthly
☐ Every few months
☐ Once a year
☐ Less than once a year

NEXT, I AM GOING TO ASK YOU A SERIES OF QUESTIONS ABOUT **WHO YOU PARTICIPATE WITH** IN RESOLVING COMMUNITY ISSUES…

---

49. Who are three individuals, by name, you have regular contact with in dealing with community issues? *Describe your relationship with each (how long known, frequency of interaction, etc.) and their occupation…*

    i.   _____

    ii. _____

    iii. _____

50. For each individual, which of the following categories describes your relationship with each…?
(Check as many as applicable)

Overall

INDIVIDUAL ONE	INDIVIDUAL TWO	INDIVIDUAL THREE	
☐	☐	☐	Formal relationship with
☐	☐	☐	Informal relationship with
☐	☐	☐	Both Formal and Informal

Formal

☐	☐	☐	Co-worker of
☐	☐	☐	Boss of
☐	☐	☐	Supervised by
☐	☐	☐	Business Acquaintance of
☐	☐	☐	Other?

Informal

☐	☐	☐	Family with
☐	☐	☐	Friends with
☐	☐	☐	Personal Acquaintance of
☐	☐	☐	Organization Member with
☐	☐	☐	Board Member
☐	☐	☐	Lives near
☐	☐	☐	Classmates
☐	☐	☐	Fellow Church Member
☐	☐	☐	Regular "Patron" with
☐	☐	☐	Volunteer with
☐	☐	☐	Other?

51. What is the best way to reach each person?

i. _____

ii. _____

iii. _____

52. Which community issues do you work on with each of these individuals?

INDIVIDUAL ONE	INDIVIDUAL TWO	INDIVIDUAL THREE	
Physical			
☐	☐	☐	Land Use
☐	☐	☐	Transportation
☐	☐	☐	Urban Redevelopment
☐	☐	☐	Utilities
☐	☐	☐	Urban Design
☐	☐	☐	Public Space
☐	☐	☐	Neighborhood Planning
☐	☐	☐	Regional Planning
Environmental			
☐	☐	☐	Agriculture
☐	☐	☐	Pollution
☐	☐	☐	Water Resources
☐	☐	☐	Resources Conservation
☐	☐	☐	Wilderness Preservation
☐	☐	☐	Biodiversity
☐	☐	☐	Energy
☐	☐	☐	Disaster Planning
Financial			
☐	☐	☐	Rural Development
☐	☐	☐	Community Development
☐	☐	☐	Economic Development
☐	☐	☐	Commercial Growth
☐	☐	☐	Industrial Growth
☐	☐	☐	Residential Growth
Human			
☐	☐	☐	Education
☐	☐	☐	Unemployment
Social			
☐	☐	☐	Crime
☐	☐	☐	Poverty
☐	☐	☐	Diversity
☐	☐	☐	Cultural
☐	☐	☐	Social Welfare
☐	☐	☐	Health Care
☐	☐	☐	Housing
☐	☐	☐	Senior Citizen Wellbeing
☐	☐	☐	Youth Wellbeing

FINALLY, I WOULD LIKE TO ASK YOU A FEW **BACKGROUND QUESTIONS** ABOUT YOURSELF. THIS WILL ALL BE KEPT IN CONFIDENCE...

53. Where did you grow up?

54. Would you describe your community within the region as a rural, urban, or metropolitan area?

☐ Rural
☐ Urban
☐ Metropolitan

55. How many years have you lived in this community?

☐ 0-1
☐ 2-5
☐ 6-10
☐ 11+

56. In the past, what ways have you participated in local or national politics?

☐ Voting

☐ Made a campaign contribution
☐ Volunteer for a political campaign
☐ Worked for a political campaign
☐ Served as an elected official
☐ Served on local governing board

☐ Worked informally on a political issue
☐ Contacted a government official
☐ Attended a protest
☐ Affiliated with a political organization
☐ Other?

57. Are you a member of any of the following types of organizations? *Y/N...*

☐ Fraternal
☐ Veterans
☐ National, Ethnic
☐ Senior Citizens
☐ Women's Rights
☐ Union
☐ Business, Professional

☐ Political Issue
☐ Civic, Non-partisan
☐ Candidate, Party
☐ Youth
☐ Literary, Art, Study
☐ Hobby, Sports, Leisure
☐ Neighborhood/Homeowners'

☐ Charitable, Social Service
☐ Educational
☐ Cultural
☐ Environmental
☐ Religious
☐ Professional
☐ Other?

58. Do you have a leadership position within any of these organizations?

    i.   _____

    ii.   _____

    iii.   _____

    iv.   _____

59. What is your political philosophy on a scale of 1-5, with one being extremely liberal, and 5 being extremely conservative?

☐ 1   ☐ 2   ☐ 3   ☐ 4   ☐ 5

60. How many years of education have you completed?

☐ Less than High School
☐ High School
☐ Associates
☐ Bachelors
☐ Masters
☐ PhD
☐ Post-Doctoral

61. What's your income bracket?

☐ Low Income

☐ Middle Income
☐ Upper Middle Income
☐ Upper Income

62. How would you define yourself in terms of ethnicity?

☐ White   ☐ Filipino
☐ Black or African American   ☐ Japanese
☐ American Indian or Alaska Native   ☐ Korean
☐ Asian Indian   ☐ Vietnamese
☐ Chinese   ☐ Native Hawaiian

☐ Guamanian or Chamorro   ☐ Other Pacific Islander
☐ Samoans   ☐ Other race?

63. What is your age?

☐ 0-14   ☐ 35-44   ☐ 64-74
☐ 15-19   ☐ 45-54   ☐ 75-84
☐ 20-24   ☐ 55-59   ☐ 85+
☐ 25-34   ☐ 60-64

64. Gender?

☐ Male
☐ Female

65. What is your occupation? _____

66. What is your job title?_____

67. What are the addresses of…? *(this will be used for GIS only)*

Home _____

Work_____

ENGAGED PLANNING COMMUNITIES – WORKSHEET

Determining Network Closure

QUESTIONS TO ANSWER	
6. Are the vast majority of peer-reported stakeholders and general-reported stakeholders similar in composition?	☐ Yes ☐ No

7. Are no or few new individuals being named that:
 (all must apply)
     a.   aren't reported through the peer-reported stakeholder list
     b.   aren't reported through the general-reported stakeholder list
     c.   aren't very personal contacts to an existing stakeholder and are not of the power structure
     d.   aren't declining to participate through negative or non-response
	☐ Yes ☐ No
	
	 e. ☐ Yes ☐ No
	 f. ☐ Yes ☐ No
	 g. ☐ Yes ☐ No
	 h. ☐ Yes ☐ No

8. Is there inclusion (if these roles exist) of all of the following usual types of stakeholders through either snowball survey or key informant interviews:
 (all must apply)
     a.   elected officials
     b.   municipal administration
     c.   municipal planning staff
     d.   business leaders
     e.   property owners
     f.   community organizational leaders
	☐ Yes ☐ No
	
	 g. ☐ Yes ☐ No
	 h. ☐ Yes ☐ No
	 i. ☐ Yes ☐ No
	 j. ☐ Yes ☐ No
	 k. ☐ Yes ☐ No
	 l. ☐ Yes ☐ No

9. Do Key Informant interviews largely confirm they are isolated from the core stakeholder network in this community?	☐ Yes ☐ No
10. Do Key Informant interviews largely confirm the results of the snowball interviews?	☐ Yes ☐ No

SUMMARY OF FINDINGS	
All categories were met; a reasonable amount of network closure is achieved.	☐ Yes ☐ No

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

COMPILING RESPONSES

The following is step by step instructions on how to compile and aggregate the data to the survey responses to the snowball survey and key informant interview responses. Once this data is compiled, you can later enter the data into UCInet and NetDraw for analysis.

6. Once network closure is reached (make sure to have filled out the Network Closure worksheet provided), you are now ready to compile the survey responses.

7. Make sure you have Microsoft Excel installed on your computer.

8. Matrices are spreadsheets of the responses you will use in Microsoft Excel, specifically set up so the data can be aggregated and analyzed. Prior to entering the response data, preview the section of the Social Network Analysis online tutorial about setting up data in matrices. You can reach it at: http://faculty.ucr.edu/~hanneman/nettext/C5_%20Matrices.html This page is part of an on-line text by Robert A. Hanneman (Department of Sociology, University of California, Riverside) and Mark Riddle (Department of Sociology, University of Northern Colorado).

9. There are three template matrices you will use:

    a. Attribute Table (Attributes.xls). This table contains data of characteristics of each stakeholder interviewed.
    b. Square Matrix (SquareMatrix.xls). This table contains relational data between stakeholders identified.
    c. Rectangle Matrix (RectangleMatrix.xls). This table contains data of each stakeholder's responses to multiple answer questions.

10. Before entering responses from questions below, open all three Excel files and enter each unique Stakeholder's Identity listed in the responses to answer #47 with a nickname alluding to their primary role in local planning implementation efforts. Only input stakeholders actually interviewed.

Remember, participants' identity cannot be revealed within the final report; these nicknames are for you, as Tool Administrator, to relate stakeholder's participation patterns. For instance, "Mayor", "CEO of Hospital, and "Local Developer" are all good examples of nicknames. If you have less stakeholders than the example number given, delete the extra rows in the Rectangle Matrix and the Attribute Table and the rows and columns in the Square Matrix. If you have additional, add extra rows in the Rectangle Matrix and the Attribute Table and the rows and columns in the Square Matrix. Save the Templates retaining the same file names.

11. Re-open the Square Matrix file, and re-save it as "extendedmatrix.xls" so that the original squarematrix.xls file is retained. Add individuals identified in responses to #47 but not interviewed in Column 1. Transpose these new rows into additional columns. Save the file with the new file name, "extendedmatrix.xls".

12. Re-save the file as "totalmatrix.xls", so that the original "extendedmatrix.xls" spreadsheet is retained as its own file. Add key informant interviewees in Column 1. Transpose these new rows into additional columns. Save the file with the new file name, "totalmatrix.xls".

13. In the Rectangle Matrix, "Elements" are the responses to the multiple choice questions. Instructions are listed for each question as to how to enter data into this matrix. Sometimes you will need less columns than the example three listed, sometimes extra columns will be needed. If you did not end up interviewing some of the stakeholders named in Question #47, they will obviously not have responses, and thus data, for some of the questions below. When this is the case, delete their rows out of the matrices for each question before saving the final file.

14. Create a new folder on your desktop and entitle it "Matrices". This is where you will save all the prepared matrices with entered interview responses. Save them as .xls spreadsheets.

15. For each question below, there are instructions on how to compile the responses in **red**.

TO BEGIN, I AM GOING TO ASK YOU A FEW QUESTIONS ON YOUR **GENERAL THOUGHTS ON COMMUNITY AND COMMUNITY PLANNING…**

1. What are the most important characteristics to a successful community? *(Name 3)*

   Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

2. What do you generally know about community planning?

   Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

3. What do you think are the most important characteristics to a successful community planning process?

   Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

4. When do you consider a "community issue" a "planning issue"?

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

NEXT, I AM GOING TO ASK YOU A FEW QUESTIONS ON **THIS COMMUNITY'S PLANNING AND PLANNING IMPLEMENTATION EFFORTS…**

5. Generally speaking, how do you think this community is doing with its planning and planning implementation efforts?

    Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

6. What do you see as some of the biggest strengths and weaknesses for this community?

    Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

7. What do you see as some of the biggest opportunities and threats for this community?

    Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

8. Do you feel this community generally knows what it wants to be in the future?

    ☐ Yes   ☐ No
    Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "0" for a "No" response, a "1" for a "Yes" response. Save the file as "FutureVision".

9. Do you feel the community has a solid comprehensive plan stakeholders support?

    ☐ Yes   ☐ No

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "0" for a "No" response, a "1" for a "Yes" response. Save the file as "SolidCompPlan".

10. Do you think the current local political climate is helping or hurting the community?

☐ Helping   ☐ Hurting

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "1" for a "Helping" response, a "2" for a "Hurting" response. Save the file as "Political Climate".

11. What are some of the short-term and long-term planning implementation efforts dealing with social, economic, and environmental issues facing this community? *Do you think there are adequate efforts to address community sustainability?*

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

12. What tends to be more effective in this community's planning implementation efforts: formal power, behind-the-scenes influence, or both?

☐ Formal Power   ☐   Behind-the-Scenes   ☐   Both
                                    Influence

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "1" for a "Formal Power" response, a "2" for a "Behind-the-Scenes" response, a "3" for a "Both" response. Save the file as "PowerVsInfluence".

13. What do you believe is more influential in this community's planning implementation efforts? *Please describe your response…*

☐ Short-term economic interests of   ☐ Long-range planning goals of the
community members   City

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "1" for a "Short-Term Economic Interests of Community Members" response, a "2" for a "Long-Range Planning Goals of the City" response. Save the file as "STvsLT".

14. Do you sense the community is practical in aligning planning implementation efforts to long-range planning goals?

☐ Yes   ☐   No

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "0" for a "No" response, a "1" for a "Yes" response. Save the file as "Alignment".

15. How would you describe the community's participation, generally speaking?

☐ High   ☐ About right   ☐   Low

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "1" for a "Low" response, a "2" for a "About right" response, a "3" for a "High" response. Save the file as "CommParticipationLVL".

16. To your knowledge, what are the types of "hot spots" community stakeholders go to exchange information and ideas on community issues? *(circle multiple)*

☐ Home   ☐ Country Clubs   ☐ Bus Stop
☐ Work   ☐ Fraternal Meeting Hall   ☐ Waiting Room
☐ Barber or Beauty Shop ☐ Bowling Alley   ☐ Break Room
☐ Coffeeshop   ☐ Church   ☐ Outdoor Public Space
☐ Bar or Pub   ☐ Daycare   ☐ Indoor Public Space
☐ Restaurant   ☐ Market   ☐ City Hall
☐ Community Center ☐ Gym   ☐ Other

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "1" to a "21" with the number of responses each stakeholder gives. Save the file as "HotSpots".

17. Is there a particular location or two you know of in particular that is known for this sort of activity?

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

18. Do you think "enough" of the "right people" are effectively engaged in this community's planning implementation efforts?

☐   **"1"** Yes; there are enough of the key stakeholders and they are all mostly effectively engaged in planning implementation efforts

☐   No: *(pick one of the following reasons as the primary cause for "No")*
        "2" A few key stakeholders prevent others from effectively being

        engaged

        "3" The private-sector isn't being engaged by the public-sector (the

        primary decision-makers in community)

        "4" The public-sector isn't being engaged by the private-sector (the

        primary decision-makers in community)

        "5" There are too many "chiefs at the table" preventing effective

        implementation

"6" There is a large lack of community leaders stepping forward to be key stakeholders in our community's planning implementation initiatives

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. If they answered yes, enter a "1". If it was no, enter a corresponding "2" to a "6" with the response above. Save the file as "BroadEngage".

19. Who would you describe as the 5 most influential people in dealing with community issues? These individuals can be influential in either formal or informal social circles. *What are their occupations? What is their primary role in planning implementation efforts?*

Utilizing the Rectangle Matrix Template, you will use several columns of Element data. For each unique influential person cited, enter a nickname for each person in a new column based on the primary role of each person cited. Each row represents your interview with each interviewee. For those not interviewed but cited as influential, they will have rows entirely filled with "0"s. Each column will aggregate the number of times all interviewees named that influential person. Enter data by interviewee; enter a "0" if they did not cite that stakeholder; "enter a "1" if they did. In other words, each row will have five total "1"s and the rest as "0"s. Save the files as "Influential".

SWITCHING GEARS A BIT, NOW I AM GOING TO ASK YOU A SERIES OF QUESTIONS ON YOU AND **YOUR PARTICIPATION AND INVOLVEMENT IN THIS COMMUNITY...**

20. What is your "story" of living in this town?

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

21. How would you describe your general community involvement?

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

22. What roles do you have in community planning? *What is your primary role?*

☐ County Board of Directors
☐ Mayor
☐ City Council Member
☐ City Staff (non-planner)
☐ County Staff (non-planner)
☐ City Planner
☐ County Planner

☐ Regional Planner
☐ Volunteer for Municipal or County Board
☐ Transportation or Engineer
☐ Consultant
☐ Cultural Leader
☐ Environmentalist

☐ Developer   ☐ Extension Services Staff
☐ Land or Property Owner   ☐ Utility Company Staff
☐ Landlord   ☐ Organization Member
☐ Neighborhood Leader   ☐ Non-Profit Staff
☐ General Community Member   ☐ Non-Profit Board Member
☐ Academic Expert

Utilizing the Rectangle Matrix Template, you will use several columns of Element data. Enter each role listed above in a separate column. Each row represents your interview with each interviewee. Each column is a role they may have listed in planning implementation. Enter data by interviewee; enter a "0" if they did not cite that role; "enter a "1" if they did. Enter a "2" if they listed it as their primary role. Save the file as "Roles".

23. How many years have you been in this primary role?

☐ 0-1   ☐ 2-5   ☐ 6-10   ☐ 11+

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. If they answered 0-1, enter a "1"; 2-5 enter a "2"; 6-10 enter a "3"; 11+ enter a "4". Save the file as "YrsRole".

24. How integral to the community do you consider yourself when you participate in planning implementation efforts?

☐ Very   ☐ Somewhat   ☐ Not a whole lot

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. If they answered "Not a whole lot", enter a "1"; Somewhat enter a "2"; Very enter a "3". Save the file as "SelfIntergral".

25. What level of influence do you consider yourself having within the following community resources? *Rank each type of community resource on a scale from 1 to 5, with 1 being low levels of influence and 5 being high.*

☐   Human Capital: influencing workforce development and maintenance

☐   Social Capital: building and maintaining trust, norms, and networks

☐   Physical Capital: controlling the buildings, property, and land development

☐   Environmental Capital: controlling the environment

☐   Financial Capital: controlling the public and private distribution of money

Utilizing the Rectangle Matrix Template, you will create five spreadsheets for this Question. Each Matrix (within a separate file) will use only one column of Element data, one for each Captial type. Enter the value from 1-5 they gave for each resource type. Save the file as "HumanCapital", "SocialCapital", "PhysicalCapital", "EnvironmentalCapital", and "FinancialCapital". Create a sixth

26. Which group(s) would you consider yourself to be a part of? *Answer Y/N to the following…*
Which group is the most important to you when you participate in the community planning process?

	City Staff
	Elected Official
	Community Leader
	Special Interest Group
	General Public

NOW I AM GOING TO ASK YOU A SERIES OF QUESTIONS ON **HOW YOU PARTICIPATE IN COMMUNITY PLANNING INITIATIVES…**

27. Do you participate in planning implementation efforts in an official capacity, informally as a member of the general public, or both?

☐ Official Capacity (Job or Volunteer Position)
☐ Informally as a Member of the General Public
☐ Both

28. Is resolving community issues part of your job description?

☐ Yes   ☐ No

Utilizing the Attribute Table Template, you will enter responses into the "JobDescription" column. If they answered No, enter a "0"; Yes enter a "1". Save the file.

29. Why do you support community issues? *(May choose multiple)*

☐ It fundamentally is something good for the community
☐ Notoriety or satisfaction of doing something good for the community
☐ The issue(s) benefited me directly either personally or professionally
☐ Other?

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. If they answered "It fundamentally is something good for the community", enter a "1"; "Notoriety or satisfaction of doing something good for the community" enter a "2"; "The issue(s) benefited me directly either personally or professionally "enter a "3"; "Other" enter a "4". Save the file as "Motivation".

30. How do you formally learn about community issues?

☐ Snail mail
☐ Public reports
☐ Public meetings (formal)

☐ Membership on Boards/Commissions
☐ Elected officials
☐ City staff

☐ Other?

For Questions 30 and 31, you will create one combined matrix utilizing the Rectangle Matrix Template; you will use several columns of Element data. Enter each method to learn listed above (Q.30) and below (Q.31) in a separate column. Each row represents your interview with each interviewee. Each column is a method they may have listed in learning about planning issues. Enter data by interviewee; enter a "0" if they did not cite that method; "enter a "1" if they did. Save the file as "Learn".

31. How do you informally learn about community issues?

☐ Newspaper
☐ Television
☐ Radio
☐ Internet
☐ Email
☐ Bulletin Boards

☐ Business meetings
☐ Community meetings (informal)
☐ Membership in community organization
☐ Neighbors

☐ Coworkers
☐ Relatives
☐ Friends
☐ Acquaintances
☐ Other?

See Question #30 on how to enter data.

32. When learning about community issues, are you most comfortable using…

☐ previously-published scientific, technical, or professional information sources

☐ self-researched, indigenous (local), and/or real-world experience information sources

33. How often do you learn about new community issues?

☐ Daily   ☐ Monthly   ☐ Once a year
☐ Weekly   ☐ Every few months   ☐ Less than once a year

34. Do you tend to participate in implementation efforts when a particular issue arises (on an issue by issue basis), or on a regular, consistent, on-going basis?

☐ When a particular issue arises   ☐ Regular, consistent, on-going basis

35. What are community issues you deal with in a formal capacity?

☐ Comprehensive Plan   ☐ Community   ☐ Disaster Planning
☐ Land Use/Zoning   Development   ☐ Crime
☐ Transportation   ☐ Economic   ☐ Unemployment
☐ Urban   Development   ☐ Poverty
Redevelopment   ☐ Commercial Growth   ☐ Diversity
☐ Utilities   ☐ Industrial Growth   ☐ Cultural
☐ Urban Design   ☐ Residential Growth   ☐ Social Welfare
☐ Public Space   ☐ Pollution   ☐ Health Care
☐ Neighborhood   ☐ Water Resources   ☐ Education
Planning   ☐ Resources   ☐ Housing
☐ Regional Planning   Conservation   ☐ Senior Citizen
☐ Agriculture   ☐ Wilderness   Wellbeing
☐ Rural Development   Preservation   ☐ Youth Wellbeing
☐ Regional   ☐ Biodiversity   ☐ Other?
Transportation   ☐ Energy

data by interviewee; enter a "0" if they did not cite that area; "enter a "1" if they did. Save the file as "FormalIssues".

36. Do you tend to refer to the comprehensive plan when you deal with short-term community issues?

☐ Yes   ☐ No

   Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "0" for a "No" response, a "1" for a "Yes" response. Save the file as "STcompplan".

37. What are community issues you deal with in an informal capacity?

☐ Comprehensive Plan   ☐ Community   ☐ Disaster Planning
☐ Land Use/Zoning   Development   ☐ Crime
☐ Transportation   ☐ Economic   ☐ Unemployment
☐ Urban   Development   ☐ Poverty
Redevelopment   ☐ Commercial Growth   ☐ Diversity
☐ Utilities   ☐ Industrial Growth   ☐ Cultural
☐ Urban Design   ☐ Residential Growth   ☐ Social Welfare
☐ Public Space   ☐ Pollution   ☐ Health Care
☐ Neighborhood   ☐ Water Resources   ☐ Education
Planning   ☐ Resources   ☐ Housing
☐ Regional Planning   Conservation   ☐ Senior Citizen
☐ Agriculture   ☐ Wilderness   Wellbeing
☐ Rural Development   Preservation   ☐ Youth Wellbeing
☐ Regional   ☐ Biodiversity   ☐ Other?
Transportation   ☐ Energy

   Utilizing the Rectangle Matrix Template, you will use several columns of Element data. Enter each issue area listed above in a separate column. Each row represents your interview with each interviewee. Each column is an issue area they may have listed dealing with in their planning implementation work. Enter data by interviewee; enter a "0" if they did not cite that area; "enter a "1" if they did. Save the file as "InformalIssues".

38. Do you tend to refer to the comprehensive plan when you deal with long-term community issues?

☐ Yes   ☐ No
   Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "0" for a "No" response, a "1" for a "Yes" response. Save the file as "LTcompplan".

39. When you work on these issues, does the majority of the knowledge come from…

☐ previously-published scientific, technical, or professional information sources

☐ self-researched, indigenous (local), and/or real-world experience information sources

40. When you are dealing with community issues, do you tend to work with…

☐ …individuals you have strong, close relationships with, understand how you want to approach the subject matter, and you trust to help you "get the job done".

☐ …individuals you know a little, have different knowledge and resources than you immediately have, and have better knowledge about the subject matter to "get the job done".

41. How do you *informally* deal with community issues?

☐ Send emails
☐ Send snail mail
☐ Written correspondence
(i.e. note to friend)
☐ Use media for discussion
☐ Advertise: print, internet, radio, or tv
☐ Community bulletin boards
☐ Planned 3rd place discourse
☐ Unplanned 3rd place discourse
☐ Discussions at home
☐ Meetings at someone's home
☐ Self-educate: internet or print materials
☐ Blog
☐ Listserv
☐ Online social network websites

☐ Create or maintain website
☐ Online chat
☐ Distribute/ receive print material
☐ Post printed material
☐ Attend conference
☐ Text Message
☐ Community-organized meetings
☐ Attended a protest
☐ Canvass
☐ Write letters to the editor
☐ Membership in community organization
☐ Attend community organized event
☐ Fundraising campaign
☐ Other?

42. How do you *formally* deal with community issues? *Answer Y/N to the following…*

☐ Make phone calls
☐ Send emails
☐ Send snail mail

☐ Written correspondence *(i.e. memos)*
☐ Use media for discussion
☐ Advertise: print, internet, radio, or tv

- [ ] Private meeting with by city staff
- [ ] Survey sent by city staff
- [ ] Vote
- [ ] Websites-issue balloting
- [ ] Arbitration and mediation meeting
- [ ] Charrette
- [ ] Attend conference
- [ ] Attend workshops
- [ ] Focus group meetings
- [ ] Community training by Staff or Consultants
- [ ] Community technical assistance
- [ ] Drop-in centers
- [ ] Meetings—municipal or county sponsored

- [ ] Meetings—neighborhood level
- [ ] Meetings—open informational
- [ ] Public hearing
- [ ] Public Information Program
- [ ] Open-door policy of city staff
- [ ] Task forces
- [ ] Neighborhood Planning Council
- [ ] Citizen's Advisory Board
- [ ] Membership: boards, councils, or commissions
- [ ] Served as an elected official
- [ ] Create or use public reports and documents
- [ ] Other?

Utilizing the Rectangle Matrix Template, you will use several columns of Element data. Enter each method listed above in a separate column. Each row represents your interview with each interviewee. Each column is a method they may have listed dealing with in their planning implementation work. Enter data by interviewee; enter a "0" if they did not cite that method; "enter a "1" if they did. Save the file as "FormalMethod".

43. Where do you go to exchange either information or ideas on community issues? *Answer Y/N to the following…if "yes", state name of location…*

- [ ] Home
- [ ] Work
- [ ] Barber or Beauty Shop
- [ ] Coffeeshop
- [ ] Bar or Pub
- [ ] Restaurant
- [ ] Community Center

- [ ] Country Clubs
- [ ] Fraternal Meeting Hall
- [ ] Bowling Alley
- [ ] Church
- [ ] Daycare
- [ ] Market
- [ ] Gym

- [ ] Bus Stop
- [ ] Waiting Room
- [ ] Break Room
- [ ] Outdoor Public Space
- [ ] Indoor Public Space
- [ ] City Hall
- [ ] Other

Utilizing the Rectangle Matrix Template, you will use several columns of Element data. Enter each location type listed above in a separate column. Each row represents your interview with each interviewee. Each column is a location type they may have listed dealing with in their planning implementation work. Enter data by interviewee; enter a "0" if they did not cite that location type; "enter a "1" if they did. Save the file as "Location".

Extract formal locations into a new spreadsheet. These include work and city hall. Save the file as "FormalLocation".

Extract informal locations into a new spreadsheet. Everything else besides work and city hall are informal locations. Save the file as "InformalLocation".

44. How often do you participate in resolving community issues?

- [ ] Daily

☐ Weekly
☐ Monthly
☐ Every few months
☐ Once a year
☐ Less than once a year

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. Enter a "1" for a "Daily" response, a "2" for a "Weekly" response, a "3" for a "Monthly" response, a "4" for a "Every few months" response, a "5" for a "Once a year" response, a "6" for a "Less than once a year" response. Save the file as "RegularParticipate".

NEXT, I AM GOING TO ASK YOU A SERIES OF QUESTIONS ABOUT **WHO YOU PARTICIPATE WITH** IN RESOLVING COMMUNITY ISSUES WITH…

47. Who are three individuals, by name, you have regular contact with in dealing with community issues? *Describe your relationship with each (how long known, frequency of interaction, etc.) and their occupation…*

    iv.   _____

    v.   _____

    vi.   _____

    Utilizing the Square Matrix Template, you should have already entered the nicknames of each interviewee in column 1 and then transposed the nicknames into row 1. Delete Close the file after saving again.

48. For each individual, which of the following categories describes your relationship with each…? *(Check as many as applicable)*

    Overall

INDIVIDUAL ONE	INDIVIDUAL TWO	INDIVIDUAL THREE	
☐	☐	☐	Formal relationship with
☐	☐	☐	Informal relationship with
☐	☐	☐	Both Formal and Informal

Utilizing the Square Matrix Template, copy and create a newly named tab for each of the relation types listed above. Each row represents your interview with each interviewee. Each column is the relation they listed with these three other stakeholders they work with in planning implementation work. Enter data by interviewee; enter a "1" if they listed that relation for that individual. In other words, there would be MAXIMUM three "1"s per row (for instance if an interviewee listed "informal relationship" with all three of the stakeholder connections they have). Repeat for each tab. Save the file as "InformalFormalRelations".

Formal

☐	☐	☐	Co-worker of
☐	☐	☐	Boss of
☐	☐	☐	Supervised by
☐	☐	☐	Business Acquaintance of
☐	☐	☐	Other?

Utilizing the Square Matrix Template, copy and create a newly named tab for each of the relation types listed above. Each row represents your interview with each interviewee. Each column is the relation they listed with these three other stakeholders they work with in planning implementation work. Enter data by interviewee; enter a "1" if they listed that relation for that individual. Repeat for each tab. Save the file as "FormalRelations".

Informal

☐	☐	☐	Family with
☐	☐	☐	Friends with
☐	☐	☐	Personal Acquaintance of
☐	☐	☐	Organization Member with
☐	☐	☐	Board Member
☐	☐	☐	Lives near
☐	☐	☐	Classmates
☐	☐	☐	Fellow Church Member
☐	☐	☐	Regular "Patron" with
☐	☐	☐	Volunteer with
☐	☐	☐	Other?

Utilizing the Square Matrix Template, copy and create a newly named tab for each of the relation types listed above. Each row represents your interview with each interviewee. Each column is the relation they listed with these three other stakeholders they work with in planning implementation work. Enter data by

45. What is the best way to reach each person?

iv. _____

v. _____

vi. _____

46. Which community issues do work on with each of these individuals? *(Check as many as applicable)*

INDIVIDUAL ONE	INDIVIDUAL TWO	INDIVIDUAL THREE	
Physical			
☐	☐	☐	Land Use
☐	☐	☐	Transportation
☐	☐	☐	Urban Redevelopment
☐	☐	☐	Utilities
☐	☐	☐	Urban Design
☐	☐	☐	Public Space
☐	☐	☐	Neighborhood Planning
☐	☐	☐	Regional Planning
Environmental			
☐	☐	☐	Agriculture
☐	☐	☐	Pollution
☐	☐	☐	Water Resources
☐	☐	☐	Resources Conservation
☐	☐	☐	Wilderness Preservation
☐	☐	☐	Biodiversity
☐	☐	☐	Energy
☐	☐	☐	Disaster Planning
Financial			
☐	☐	☐	Rural Development
☐	☐	☐	Community Development

☐	☐	☐	Economic Development
☐	☐	☐	Commercial Growth
☐	☐	☐	Industrial Growth
☐	☐	☐	Residential Growth
Human			
☐	☐	☐	Education
☐	☐	☐	Unemployment
Social			
☐	☐	☐	Crime
☐	☐	☐	Poverty
☐	☐	☐	Diversity
☐	☐	☐	Cultural
☐	☐	☐	Social Welfare
☐	☐	☐	Health Care
☐	☐	☐	Housing
☐	☐	☐	Senior Citizen Wellbeing
☐	☐	☐	Youth Wellbeing

Utilizing the Square Matrix Template, you will create five files, one with each of the name of the Capitals: "PhysicalIssueR", "EnvironmentalIssueR", "FinancialIssueR", "HumanIssueR", "SocialIssueR". Copy and create a newly named tab for each of the issue types listed above. Each row represents your interview with each interviewee. Each column is the issue type they listed with these three other stakeholders they work with on in planning implementation work. Enter data by interviewee; enter a "1" if they listed working on that issue type for that individual. In other words, there would be MAXIMUM three "1"s per row (for instance if an interviewee listed "Education" with all three of the stakeholder connections they have). Repeat for each tab within all five files.

FINALLY, I WOULD LIKE TO ASK YOU A FEW **BACKGROUND QUESTIONS** ABOUT YOURSELF.
THIS WILL ALL BE KEPT IN CONFIDENCE…

47. Where did you grow up?

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

48. Would you describe this as a rural, urban, or metropolitan area?

☐ Rural

☐ Urban
☐ Metropolitan

Utilizing the Attribute Table Template, you will enter responses into the "RuralUrbanMetro" column. If they answered Rural, enter a "1"; Urban enter a "2", Metropolitan enter a "3". Save the file.

49. How many years have you lived in this community?

☐ 0-1
☐ 2-5
☐ 6-10
☐ 11+

Utilizing the Rectangle Matrix Template, you will only use one column of Element data. If they answered 0-1, enter a "1"; 2-5 enter a "2"; 6-10 enter a "3"; 11+ enter a "4". Save the file as "YrsLive".

50. In the past, what ways have you participated in local or national politics?

☐ Voting
☐ Made a campaign contribution
☐ Volunteer for a political campaign
☐ Worked for a political campaign
☐ Served as an elected official
☐ Served on local governing board

☐ Worked informally on a political issue
☐ Contacted a government official
☐ Attended a protest
☐ Affiliated with a political organization
☐ Other?

Utilizing the Attribute Table Template, you will enter responses into the "#PoliticalHabits" column. Enter a number corresponding to the number of ways they participate in local or national politics; 0-11 are the possible scores. Save the file.

51. Are you a member of any of the following types of organizations? *Y/N…*

☐ Fraternal
☐ Veterans
☐ National, Ethnic
☐ Senior Citizens
☐ Women's Rights
☐ Union
☐ Business, Professional

☐ Political Issue
☐ Civic, Non-partisan
☐ Candidate, Party
☐ Youth
☐ Literary, Art, Study
☐ Hobby, Sports, Leisure
☐ Neighborhood/Homeowners'

☐ Charitable, Social Service
☐ Educational
☐ Cultural
☐ Environmental
☐ Religious
☐ Professional
☐ Other?

Utilizing the Attribute Table Template, you will enter responses into the "#Memberships" column. Enter a number corresponding to the number of types of organizations they are members of; 0-21 are the possible scores. Save the file.

220

52. Do you have a leadership position within any of these organizations?

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

53. What is your political affiliation?

☐ Liberal

☐ Conservative
☐ Independent
☐ Other

Utilizing the Attribute Table Template, you will enter responses into the "Political Affiliation" column. If they answered Liberal, enter a "1"; Conservative enter a "2"; Independent enter a "3"; Other enter a "4". Save the file.

54. How many years of education have you completed?

☐ Less than High School
☐ High School
☐ Associates
☐ Bachelors
☐ Masters
☐ PhD
☐ Post-Doctoral

Utilizing the Attribute Table Template, you will enter responses into the "Education Level" column. If they answered "Less than High School", enter a "1"; "High School" enter a "2"; "Associates" enter a "3"; "Bachelors" enter a "4"; "Masters" enter a "5"; "PhD" enter a "6"; "Post-Doctoral" enter a "7". Save the file.

55. What's your income bracket?

☐ Low Income

☐ Middle Income
☐ Upper Middle Income
☐ Upper Income

Utilizing the Attribute Table Template, you will enter responses into the "Income Bracket" column. If they answered Low Income, enter a "1"; Middle Income enter a "2"; Upper Middle Income enter a "3"; Upper Income enter a "4". Save the file.

56. How would you define yourself in terms of ethnicity?

"1" White   **"2"** Black or African American

"3" American Indian or Alaska Native

"4" Asian Indian

"5" Chinese

"6" Filipino

"7" Japanese

"8" Korean

"9" Vietnamese

"10" Native Hawaiian

"11" Guamanian or Chamorro

"12" Samoans

"13" Other Pacific Islander

"14" Other race?

Utilizing the Attribute Table Template, you will enter responses into the "Ethnicity" column. Enter the corresponding number as listed above. Save the file.

57. What is your age?

"1" 0-14

"2" 15-19

"3" 20-24

"4" 25-34

"5" 35-44

"6" 45-54

"7" 55-59

"8" 60-64

"9" 64-74

"10" 75-84

"11" 85+

Utilizing the Table Template, you will enter responses into the "Age Bracket" column. Enter the corresponding number as listed above. Save the file.

58. Gender?

☐ Male
☐ Female

Utilizing the Attribute Table Template, you will enter responses into the "Gender" column. If they are Male, enter a "1"; Female enter a "2". Save the file.

Re-save the file as "extendedattributes.xls", so that the original "completed" attributes spreadsheet is retained as its own file. Add the additional stakeholders named in Question #47 in Column 1. Fill out as much information as you can for these additional stakeholders. Where you do not have information, put a "0". This second attribute spreadsheet will be used in analysis stage in conjunction with the "extendedmatrix.xls" file.

Re-save the file as "totalattributes.xls", so that the original "extendedattributes" attributes spreadsheet is retained as its own file. Add key informant interviewees in Column 1. Fill out as much information as you can for these additional individuals. Where you do not have information, put a "0". This third attribute spreadsheet will be used in analysis stage in conjunction with the "totalmatrix.xls" file.

59. What is your occupation? _____

Responses to this question are qualitative supporting information to cross-reference with quantitative multiple-answer question responses analyzed with social network analysis.

60. What is your job title?_____

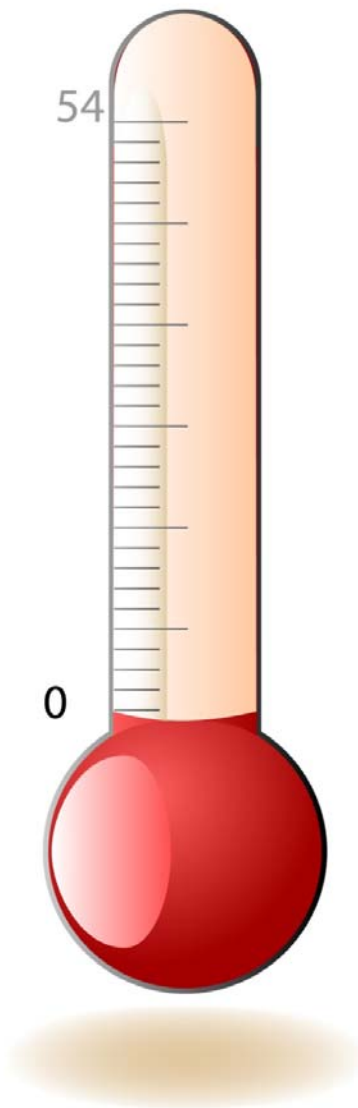61. What are the addresses of…? *(this will be used for GIS purposes only)*

Home _____

Work_____

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

ANALYSIS

54

0

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

BEGIN ANALYSIS

Introduction to Analysis

Perhaps the most challenging step to administering the Engaged Planning Tool Diagnostic Tool is the analytical phase of the data collected within the survey process. By now the snowball surveys of key stakeholders and key informant interviews have been completed, and their responses have been entered into the Microsoft Excel templates provided in the EPC Compilation zip file. Next, social network analysis methods are used, in aggregate, to understand patterns universal to Engaged Planning Communities.

The following are step by step instructions on how to take the information entered into the templates, analyze the data with UCInet (matrix analysis) and Netdraw (visualizing the network data), and finally input into the final report template. These steps start with social network analysis of the matrices. This analysis will provide social network maps and tables that will help you visualize the aggregate responses. From here you will be able to answer the 54-Point Characteristics found in the final diagnostic report.

Prior to analyzing the aggegated results EPC Administrators will need to have UCInet installed on your computer. This is the social network analytical software package that uses the Microsoft Excel spreadsheets you compiled in the prior step. This software can be purchased and downloaded through a link on the EPC Tool Administrators webpage. If you are using UCInet for the first time, access an excellent online tutorial and a help guide through this webpage as well.

Social network analysis is a framework through which to you can understand the dynamics of what is occurring in a community's planning implementation efforts. It takes the guesswork out of observations. To introduce this idea, through the use of a social network "map" it literally helps you literally "see":

- who works with whom in the core stakeholder group
- what types of initiatives they work on
- when (how often) they are involved
- how they participate in community initiatives
- why they are involved

Much like the rating system developed by the US Green Building Council for their LEED Certification system for building and neighborhood infrastructure, an EPC diagnosis rates a community's ability to implement planning initiatives while they are going on, not the results of the initiatives before or after.

This Tool breaks down these many patterns into 54-Point diagnosis. These patterns are assessed within 9 Traits of planning implementation efforts universally found in Engaged Planning Communities. Each trait has 6 characteristics that together comprise the diagnostic "score" for the community when the tool is administered.

How to Begin Analysis

1. **Download UCInet** on your computer. This includes automatically NetDraw, a "sister" software that takes the data from UCInet and allows you advanced ways to visually represent and "read" the data, by stakeholder to stakeholder relations and by stakeholder to a response they have to something. There are three types of matrices you worked with in inputting the data into Excel spreadsheets. These Matrix files are used to compile the data into a format that UCInet can aggregate and calculate patterns. These patterns help reveal trends to you in the community's planning implementation efforts that you are administering the tool for. To reiterate:
   a. The **Attribute Matrix** table contains data of characteristics of each stakeholder interviewed.
   b. The **Square Matrix** table contains relational data between stakeholders interviewed.
   c. The **Rectangle Matrix** table contains data of each stakeholder's responses to multiple answer questions.
2. **Train with UCInet** to understand how software works. While the tool provides a framework for basic analysis of the 54 traits, the survey is designed to allow much more advanced analysis and cross-tabulation of the data collected. Advanced Tool Administrators, if they wish, can do GIS analysis with the advanced analysis from UCInet, socio-demographic cross-tabulation with the responses, and more to provide a much more in-depth report on the planning implementation patterns of a community.

3. **Read some of suggested reading** on EPC Website of social network analysis if you are new to social networks and communities. You will need this knowledgebase to interpret and "read" social network map and trends of the aggregated data you are analyzing.
4. For each of the **EPC Nine Traits** below, this guide walks you through taking the data you input into matrices, inputting it into UCInet, and either performing an analytical task on the matrix within UCInet or converting it for NetDraw and producing a social network map. Finally these sections explain how each of these matrices and analytical tasks align to the 54 Points of the final report—including advice on the trends you are looking for to answer each of the 54 questions of the final report.
5. Next, once you have filled out the 54 "yes/no" questions of the **final report**, you can write-up an explanation of the results of the six characteristics of each of the 9 EPC Traits and write brief overall recommendations for the community to understand what their "score" for that trait indicates (including what they can improve on). The last step is to fill out the first page of the final report, the Quick Reference Guide to Results. Again, make sure you retain complete confidentiality of the interviewees and their identity when using specific comments they made when writing up generalized findings.
6. Once the Final Diagnostic Report is completed it is your final responsibility to sit down with the sponsors of your work to administer the EPC Tool and **orient the community leaders to the diagnostic findings**. From here it is their decision on how to 1) disseminate the data and 2) begin discussions on how their diagnosis can be improved upon so their ability to do planning implementation work is greater than before.

Broad-based stakeholder participation

PEER REPORTED STAKEHOLDERS

1. Regular contact with 3 stakeholders
2. Roles

GENERAL IDENTIFICATION OF STAKEHOLDERS

1. Top 5 most influential stakeholders
2. Roles
3. Main sector (Government, Nonprofit, Private Sector, General Public)

Broad-based Participation

PLANNING IMPLEMENTATION IN JOB DESCRIPTION

1. Planning in Job Description

PARTICIPATION IN OFFICIAL OR UNOFFICIAL CAPACITY

1. Official, Volunteer, Both

NETWORK DENSITY AND CONNECTIVITY

1. Mean Connectivity: In-Degree and Out-Degree
2. Density

PROPENSITY TOWARDS FORMAL AND INFORMAL RELATIONS

1. Aggregate Formal and Informal Relations

FORMAL AND INFORMAL COMMUNICATION METHODS

1. Normalized informal or formal methods
2. Normalized informal and formal location use
3. Normalized informal and formal learning of community issues

Inclusion of Many Information Types

TENDENCY TOWARDS PHYSICAL OR NON-PHYSICAL ISSUES

1. Aggregate land-use and non-land-use issues

DIVERSE KNOWLEDGE UTILIZATION

1. Preference for lay/indigenous or professional/technical

Flexible Alignment

INDIVIDUAL WORK

1. Informal and Formal Issues Worked on
2. Peer-reported versus Self-reported Collaborative Issues

MOTIVATIONS TO PARTICIPATE

1. Motivation to Participate

Effective Timing

RESIDENCY

1. How Long Live in Community
2. How Long in Current Official Role in Planning

REGULAR LEARNING OF COMMUNITY ISSUES

1. How often Learn about Community Issues
2. How Regularly Participate
3. Influence on Community of Short-Term and Long-Term Interests

DEGREE CENTRALITY

1. Out-Degree Relations and In-Degree Relations
2. Issue Reciprocity - Symmetry
3. Group Affiliation
4. Relational Reciprocity – Directional Network

Communicative Skill

BONACICH POWER CALCULATIONS

1. Negative Calculation
2. Positive Calculation
3. Bonacich Scores with Membership Analysis

PREFERENCE FOR STRONG OR WEAK TIES

1. Prefer strong or weak ties

SELF-REPORTED INFLUENCE ON COMMUNITY RESOURCES

1. Self-reported influence on community resources

OVERALL INFLUENCE PATTERNS

1. Overall influence patterns
2. Overall versus peer-reported influence

Sustainable Approach

COMPONENTS OF SUSTAINABILITY WITH RESOURCES

1. Environmental Resources
2. Physical Resources
3. Financial Resources
4. Human Resources
5. Social Resources

SELF-REPORTED INFLUENCE ON COMMUITY RESOURCES

1. Self-reported influence on community resources

Rationality and Practicality

UTILIZING THE COMPREHENSIVE PLAN

1. Utilizing the Comprehensive Plan with Short-Term Issues
2. Utilizing the Comprehensive Plan with Long-Term Issues

ENGAGED PLANNING COMMUNITY

DIAGNOSTIC TOOL

ANALYZING RESPONSES

The following is step by step instructions on how to analyze the data collected from the interviews and survey responses. Once this data is compiled, you can later enter the data into UCInet and NetDraw for analysis.

16. Once you have finished compiling the results of the interviews you are now ready to analyze the survey responses.

17. Install UCInet and NetDraw on your computer. Both software programs come together in a package and can be purchased and downloaded at http://www.analytictech.com/ucinet/

18. To align the compiled data and information to the 54-Points of the EPC diagnostic report template follow the directions below for each of the 9 Traits.

19. For each trait there are 6 characteristics; for each characteristic there are instructions on what data and information to use to **evaluate the tendency** of that characteristic (whether or not to answer "yes" for 1 point, or "not" for 0 points). *Remember, this tool is a formative assessment, looking for trends within the process, not for absolute findings as a summative assessment does.*

20. Before analyzing each characteristic can begin, preparation of network attributes needs to happen first:

    a. Import the identified excel attribute spreadsheet(s) into UCInet

    b. Save the spreadsheet(s) as UCInet dataset(s)

    c. These will be "joined" with the UCInet datasets in NetDraw

21. Basic steps in evaluating each characteristic involves the following:

    a. Import the identified square or rectangle excel spreadsheet into UCInet

    b. Save the spreadsheet as a UCInet dataset

    c. Import UCInet dataset into NetDraw

    d. Import applicable attribute dataset into NetDraw

    e. Assign applicable properties to nodes (color, size, shape), lines (color, thickness, pattern), arrowheads (presence, size, direction), labels

    f. Organize nodes for viewing clarity

g. Determine if any trends are present of the specific characteristic being analyzed (NetDraw files can be saved as jpg's for analysis at a later time – these jpgs are for EPC Administrator internal use only.)

h. Fill out characteristic line item in report template

22. When you are done with each Trait's 6 Characteristics, then summarize the "Explanation of Results" and the "Recommendation" section for that Trait. Remember, all participant's identities are to be kept confidential, so these sections are for the reporting of overall trends. Finally, for that Trait worksheet drop in the provided gauge image and total the score out of __/6.

23. When all 9 Traits have been completed, the "Quick Reference Guide of Results" is next.

    a. Total the scores for each of the 9 Traits on this worksheet.

    b. Mark and denote if the total ranks as a Silver, Gold, or Platinum Engaged Planning Community.

    c. Write a paragraph or two in the "Summary of Recommendations" findings. Again, all participant's identities are to be kept confidential, so this section is for the reporting of overall trends.

24. The process is complete. It is recommended that you, the EPC Tool Administrator, visits with community leaders of the community you just diagnosed to help them walk through the finished report as well as discuss and better understand the findings on areas they can improve on.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Broad-based Stakeholder Representation

HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Are both informal and formal stakeholders recognized through peer-reported identification and by Key Informant interviews?	Review responses from Q.22 in file "extendedattributes.xls", and review whether or not stakeholders are informal or formal stakeholders. (Formal stakeholders are those with titles and official roles in planning implementation affecting change through power and influence. Informal stakeholders are those without, but are still affecting change through power and influence.)
2. Do most interviewees indicate no dominance of a small amount of informal or formal stakeholders?	Review answers to open ended questions and look for a preponderance of responses indicating there is not a dominance of a few individuals in planning implementation efforts.
3. Do most interviewees indicate no lack of inclusion of key informal or formal stakeholders?	Create a social network map using the data from "BroadEngage.xls" and "attributes.xls" in NetDraw and save a jpg called "BroadEngage". Review answers to open-ended questions and look for a preponderance of responses indicating there is not a lack of key individuals in planning implementation efforts within the community's efforts. This may include key individuals that are normally involved in a community's implementation efforts based on their role or title (i.e. elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders). Cross-reference these open-ended responses with answers to Q.22 and Q.47.
4. Do snowball survey participants affirm informal and formal stakeholder representation?	Review informal and formal attributes within the files "attributes.xls" and "totalattributes.xls". Create a social network map using the data from "squarematrix.xls" and "attributes.xls" in NetDraw and save a jpg called "Squarematrix". Create a social network map using the data from "extendedmatrix.xls" and "extendedattributes.xls" in NetDraw and save a jpg called "ExtendedNetwork". Create a social network map using the data from "totalmatrix.xls" and "totalattributes.xls" in NetDraw and save a jpg called "TotalNetwork".
5. Is there inclusion (if these roles exist) of all of the following usual types of stakeholders in the core network: elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders?	Examine responses to Q.25 in file called "roles.xls". Using this file and "attributes.xls", create a social network map in NetDraw and save a jpg called "Roles". Are these groups at least minimally represented in the core stakeholder group?

6.	Does the core group of stakeholders connect with minor stakeholders	In the NetDraw social network map examine the amount of bridging to minor stakeholders and cliques occurring.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Broad-based Participation

2

	HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1.	Is planning implementation part of at least some of both informal and formal stakeholders' job descriptions?	Create a social network map using the data from Q.31 "jobdescription.xls" and "attributes.xls" in NetDraw and save a jpg called "JobDescription".
2.	Do at least some informal and formal stakeholders report participating in both official and volunteer capacities in planning implementation?	Create a social network map using the data from Q.30 "squarematrix.xls" and "attributes.xls" (specifically the Official/Volunteer/Both column) in NetDraw and save a jpg called "OfficialVolunteer".
3.	Is the core network fairly dense (meaning "≥.6") so at least some of both of the informal and formal stakeholders appear well connected?	Using UCInet and the "squarematrix.xls" file, calculate connectivity and density for the network.
4.	Is there a balance (not heavy reliance on one or other) of both informal and formal relations present among the majority of both informal and formal stakeholders?	Using UCInet and the "InformalFormalRelations.xls", FormalRelations.xls", and "InformalRelations" files from Q.48, aggregate informal and formal relations for the network. Save this calculation as a UCInet dataset named "aggregaterelations" Create a social network map using the data from "aggregaterelations" and "attributes.xls" in NetDraw and save a jpg called "InformalFormal".
5.	Do the majority of both informal and formal stakeholders balance utilization of both informal and formal communication methods and locations?	Using UCInet and the "formalmethod.xls" (Q.45) and "informalmethod.xls" (Q.44) files aggregate informal and formal methods utilized for the network. Save this calculation as a UCInet dataset named "methods". Create a social network map using the data from "methods" and "attributes.xls" in NetDraw and save a jpg called "Methods". Using UCInet and the "formallocation.xls" and "informallocation.xls" files aggregate informal and formal locations utilized for the network. Save this calculation as a UCInet dataset named "locations". Create a social network map using the data from "locations" and "attributes.xls" in NetDraw and save a jpg called "Locations". Cross-reference answers to Q.15, Q.19 and look for a preponderance of responses indicating there is both informality and formality by both informal and formal stakeholders in planning implementation efforts.
6.	Do the open-ended questions of all interviewees indicate there is common utilization of informality and formality by both informal and formal stakeholders?	Review answers to open ended questions (especially Q.15) and look for a preponderance of responses indicating there is both informality and formality by both informal and formal stakeholders in planning implementation efforts.

ENGAGED PLANNING COMMUNITIES – REPORT CARD

Determining Inclusion of Many Information Types

3

HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Do the top key stakeholders participate in both informal and formal issues?	Using UCInet and the "formalissues.xls" (Q.38) and "informalissues.xls" (Q.40) files aggregate informal and formal issues worked on by each stakeholder for the network. Save this calculation as a UCInet dataset named "InformalFormalIssues". Create a social network map using the data from "InformalFormalIssues" and "attributes.xls" in NetDraw and save a jpg called "InformalFormalIssues".
2. Do most informal stakeholders appear to be engaging in issues directly benefitting their role?	Using UCInet datasets for "formalissues.xls" (Q.38) and "informalissues.xls" (Q.40), examine the types of issues each informal and formal stakeholder participates in and if issues they participate in are largely benefit their own "role".
3. Do most formal stakeholders appear to engage in issues for the public good?	Using UCInet datasets for "formalissues.xls" (Q.38) and "informalissues.xls" (Q.40), examine the types of issues each formal stakeholder participates in and if issues they participate in are for the public good and above and beyond their own "role within their participation.
4. Are the majorities of both informal and formal stakeholders learning from both lay, indigenous information and professional, technical information?	Create a social network map using the data from Q.33 "Learn.xls" and "attributes.xls" in NetDraw and save a jpg called "Learn". Create a social network map using the data from Q.35 "LearnInfoType.xls" and "attributes.xls" in NetDraw and save a jpg called "LearnInfoType".
5. Are the majorities of both informal and formal stakeholders using both lay, indigenous information and professional, technical information?	Create a social network map using the data from Q.42 "InfoType.xls," and "attributes.xls" in NetDraw and save a jpg called "InfoType".
6. Are stakeholders effectively bridging information types?	Create a social network map using the data from Q.33 and Q.34 "Learn.xls" and "attributes.xls" in NetDraw and save a jpg called "Learn". Review "Learn", "Learn InfoType", "InfoType".

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Flexible Alignment

4

HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Are there informal stakeholders who are generalists and some who are specialists?	Using UCInet datasets for "formalissues.xls" (Q.38) and "informalissues.xls" (Q.40), aggregate the number of formal and informal issues each informal stakeholder participates in and determine if they are specialists or generalists.
2. Are there formal stakeholders who are generalists and some who are specialists?	Using UCInet datasets for "formalissues.xls" (Q.38) and "informalissues.xls" (Q.40), aggregate the number of formal and informal issues each formal stakeholder participates in and determine if they are specialists or generalists.
3. Are there informal and formal stakeholders strong in informal and formal individual work and collaboration?	Using UCInet datasets for Q.49 ("PhysicalIssueR", "EnvironmentalIssueR", "FinancialIssueR", "HumanIssueR", "SocialIssueR"), aggregate the number of issues each stakeholder self-identified participating in with their three most common relations. Using UCInet datasets for Q.49 ("PhysicalIssueR", "EnvironmentalIssueR", "FinancialIssueR", "HumanIssueR", "SocialIssueR"), aggregate the number of issues each stakeholder was named participating in by others in with their three most common relations.
4. Are formal stakeholders generally motivated to participate for the public good?	Create a social network map using the data from Q.32 "Motivation.xls" and "attributes.xls" in NetDraw and save a jpg called "Motivation".
5. Are there some informal stakeholders with influence who are motivated to participate for the public good?	Create a social network map using the data from Q.22 "Influential.xls" and "attributes.xls" in NetDraw and save a jpg called "Influence". Cross-reference social network map "Motivation".
6. Do stakeholders sense there is a collective vision the community is working towards?	Review answers to open ended questions and look for a preponderance of responses indicating there is a collective vision the community is working towards.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Effective Timing

5

HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Have most stakeholders lived in the community for less than 10 years?	Create a social network map using the data from Q.52 "YrsLive.xls" and "attributes.xls" in NetDraw and save a jpg called "YrsLive".
2. Are most stakeholders not newcomers to participation in planning implementation?	Review social network map "YrsLive".
3. Does stakeholder turnover allow for progress?	Review social network map "YrsLive" and answers to open ended questions and look for a preponderance of responses indicating a lack of stakeholder turnover is not preventing progress.
4. Do the majority of stakeholders regularly learn about planning implementation issues?	Create a social network map using the data from Q.36 "RegularLearn.xls" and "attributes.xls" in NetDraw and save a jpg called "RegularLearn".
5. Do the majority of stakeholders regularly participate in planning implementation efforts?	Create a social network map using the data from Q.37 "RegularParticipate.xls" and "attributes.xls" in NetDraw and save a jpg called "RegularParticipate".
6. Do the short-term economic interests not override the long-term vision of the community?	Create a social network map using the data from Q.16 "STvsLT.xls" and "attributes.xls" in NetDraw and save a jpg called "STvsLT". Cross-reference to answers of open ended Q.8, Q.9, Q.10 and look for a preponderance of responses indicating short-term economic interests do not override the long-term vision of the community.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Accessibility of Leadership

HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Does a mix of informal and formal stakeholders with strong ties through the amount of connections they have to other stakeholders?	Using UCInet and "Squarematrix.xls", assess the degree centrality using Freeman's Approach for both the in-degree and out-degree of each stakeholder.
2. Does the network appear overly decentralized?	Cross-reference results of degree centrality calculation above and review answers to open ended questions and look for a preponderance of responses indicating the network appear to be not centralized.
3. Does the network appear overly centralized?	Cross-reference results of degree centrality calculation above and review answers to open ended questions and look for a preponderance of responses indicating the network appear to be not decentralized.
4. Do both informal and formal stakeholders have strong ties through reciprocity?	Using UCInet and "Squarematrix.xls", assess the reciprocity of the network. Using UCInet datasets for Q.49 ("PhysicalIssueR", "EnvironmentalIssueR", "FinancialIssueR", "HumanIssueR", "SocialIssueR"), aggregate the number of issues each stakeholder self-identified participating in with their three most common relations and examine reciprocity for communicating about the same issues. Cross-reference findings of both.
5. Do the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public?	Create a social network map using the data from Q.27 "SelfIntegral.xls" and "attributes.xls" in NetDraw and save a jpg called "SelfIntegral". Create a social network map using "squarematrix.xls" and "attributes.xls" specifically examining attributes from Q.29 in NetDraw and save a jpg called "Groups". Cross-reference findings of both.
6. Does leadership appear accessible through both formal and informal channels?	Create a directional social network map using "squarematrix.xls" and "attributes.xls" in NetDraw and save a jpg called "Directional". Cross-reference findings with social network map called "Methods".

HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Do some formal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?	Using UCInet and "Squarematrix.xls", assess Bonacich Power calculations for the network using both a positive attenuation factor (.5) and then again using a negative attenuation factor (-.5). Name the subsequent UCInet dataset "power". Create a social network map using "power" dataset and "attributes.xls" in NetDraw and save a jpg called "Power". Cross-reference with social network map "influential".
2. Do some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?	Repeat exercises for Q.1 above of this Trait.
3. Are the informal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?	Create a social network map using the data from Q.43 "StrongWeak.xls" and "attributes.xls" in NetDraw and save a jpg called "StrongWeak". Review social network map called "SelfIntegral". Create a social network map using the data from Q.28 "TotalCapitals.xls" and "attributes.xls" in NetDraw and save a jpg called "TotalCapitals". Review social network map called "Influential". Create a social network map using the data from "TotalCapitals.xls", "Influential" and "attributes.xls" in NetDraw and save a jpg called "TotalInfluence". Cross-reference with findings of answers to open ended questions and look for a preponderance of responses indicating informal stakeholders most often relied upon in the network appear to not be vulnerable to being excluded in planning implementation.
4. Are the formal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?	Review findings for Q.3 above of this Trait and repeat for this Characteristic.
5. Are there stakeholders capable of garnering consensus towards a collective vision?	Review findings for Q.3 above of this Trait and repeat for this Characteristic.
6. Are power and influence working together (not circumventing informality or formality) in this community?	Review findings for Q.3 above of this Trait and repeat for this Characteristic.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining a Sustainable Approach

HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Do informal and formal stakeholders with influence appear to be working together on environmental issues facing the community?	Create a social network map using the data from Q.28 "EnvironmentalCapital.xls", SelfIntegral" (only environmental score for each stakeholder), and "attributes.xls" in NetDraw and save a jpg called "Environmental". Cross-reference with findings of answers to open ended questions.
2. Do informal and formal stakeholders with influence appear to be working together on physical issues facing the community?	Create a social network map using the data from Q.28 "PhysicalCapital.xls", SelfIntegral" (only physical score for each stakeholder), and "attributes.xls" in NetDraw and save a jpg called "Physical". Cross-reference with findings of answers to open ended questions.
3. Do informal and formal stakeholders with influence appear to be working together on financial issues facing the community?	Create a social network map using the data from Q.28 "FinancialCapital.xls", SelfIntegral" (only financial score for each stakeholder), and "attributes.xls" in NetDraw and save a jpg called "Financial". Cross-reference with findings of answers to open ended questions.
4. Do informal and formal stakeholders with influence appear to be working together on human issues facing the community?	Create a social network map using the data from Q.28 "HumanCapital.xls", SelfIntegral" (only human score for each stakeholder), and "attributes.xls" in NetDraw and save a jpg called "Human". Cross-reference with findings of answers to open ended questions.
5. Do informal and formal stakeholders with influence appear to be working together on social issues facing the community?	Create a social network map using the data from Q.28 "SocialCapital.xls", SelfIntegral" (only social score for each stakeholder), and "attributes.xls" in NetDraw and save a jpg called "Social". Cross-reference with findings of answers to open ended questions.
6. Do stakeholders appear to be connecting these five issue areas through coordinated implementation efforts or a regional sustainability plan?	Create a social network map using the data from Q.14 "Sustainability.xls" and "attributes.xls" in NetDraw and save a jpg called "Sustainability". Review "TotalCapital" social network map. Cross-reference with findings of answers to open ended questions.

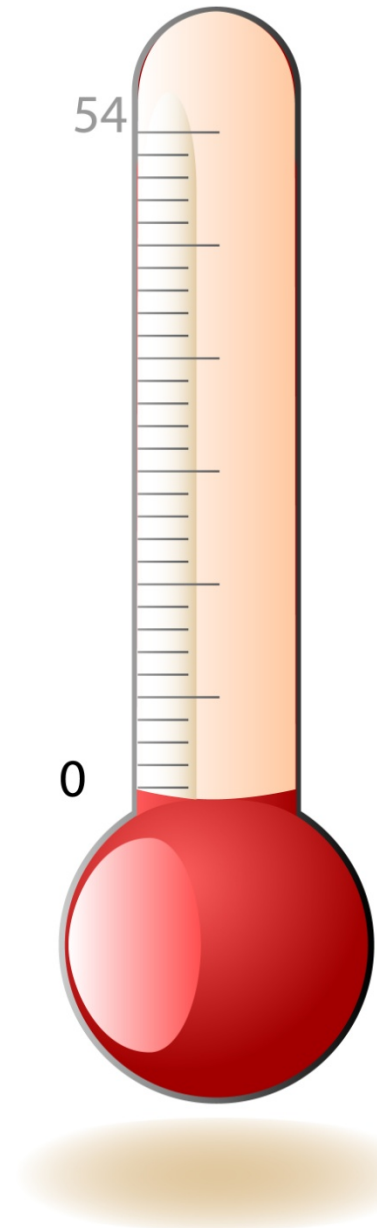| HOW TO ANSWER THE FOLLOWING DIAGNOSTIC QUESTIONS	
1. Do the majority of informal stakeholders sense short-term economic interests are the most influential in this community?	Create a social network map using the data from Q.39 "STcompplan.xls" and "attributes.xls" in NetDraw and save a jpg called "STcompplan". Create a social network map using the data from Q.41 "LTcompplan.xls" and "attributes.xls" in NetDraw and save a jpg called "LTcompplan". Cross-reference with findings of answers to open ended questions.
2. Do the majority of formal stakeholders sense long-range planning interests (not short-term economic) are the most influential in this community?	Review findings for Q.1 above of this Trait and repeat for this Characteristic.
3. Are the short-term economic interests of the community not taking priority over long-range visioning in this community?	Review findings for Q.1 above of this Trait and repeat for this Characteristic.
4. Does there seem to be a cohesive vision for the public good that informal and formal stakeholders support?	Review findings for Q.1 above of this Trait and repeat for this Characteristic.
5. Do the most influential formal stakeholders seem to be practical in their priorities?	Review findings for Q.1 above of this Trait and repeat for this Characteristic.
6. Do the most influential informal stakeholders seem to be practical in their priorities?	Review findings for Q.1 above of this Trait and repeat for this Characteristic.

ENGAGED PLANNING COMMUNITIES – REPORT CARD

Quick Reference Guide of Results

OVERALL FINDING	
This community ranks _____ as "Engaged Planning Communities".	☐ Platinum (49-54 points) ☐ Gold (43-48 points) ☐ Silver (37-42 points)

SUMMARIZED SCORES FOR NINE TRAITS	
1. Broad-based Stakeholder Participation	_/6
2. Broad-based Participation	_/6
3. Inclusion of Many Information Types	_/6
4. Flexible Alignment	_/6
5. Effective Timing	_/6
6. Accessibility of Leadership	_/6
7. Communicative Skill	_/6
8. A Sustainable Approach	_/6
9. Rationality and Practicality	_/6
TOTAL SCORE	**_/54**

SUMMARY OF RECOMMENDATIONS
Type summary here.

54

0

ENGAGED PLANNING COMMUNITIES – REPORT CARD

Determining Broad-based Stakeholder Representation

1

QUESTIONS TO ANSWER		
1. Are both informal and formal stakeholders recognized through peer-reported identification and by Key Informant interviews?	☐ Yes	☐ No
2. Do most interviewees indicate no dominance of a small amount of informal or formal stakeholders?	☐ Yes	☐ No
3. Do most interviewees indicate no lack of inclusion of key informal or formal stakeholders?	☐ Yes	☐ No
4. Do snowball survey participants affirm informal and formal stakeholder representation?	☐ Yes	☐ No
5. Is there inclusion (if these roles exist) of all of the following usual types of stakeholders in the core network: elected officials, municipal administration, municipal planning staff, business leaders, property owners, community organizational leaders?	☐ Yes	☐ No
6. Does the core group of stakeholders connect with minor stakeholders?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT	RECOMMENDATIONS
_/6	Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD

Determining Broad-based Participation

QUESTIONS TO ANSWER		
1. Is planning implementation part of at least some of both informal and formal stakeholders' job descriptions?	☐ Yes	☐ No
2. Do at least some informal and formal stakeholders report participating in both official and volunteer capacities in planning implementation?	☐ Yes	☐ No
3. Is the core network fairly dense (meaning "≥.6") so at least some of both of the informal and formal stakeholders appear well connected?	☐ Yes	☐ No
4. Is there a balance (not heavy reliance on one or other) of both informal and formal relations present among the majority of both informal and formal stakeholders?	☐ Yes	☐ No
5. Do most informal and formal stakeholders balance utilization of both informal and formal communication methods and locations?	☐ Yes	☐ No
6. Do the open-ended questions of all interviewees indicate there is common utilization of informality and formality by both informal and formal stakeholders?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT	RECOMMENDATIONS
_/6	Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Inclusion of Many Information Types

3

QUESTIONS TO ANSWER		
1. Do top key stakeholders participate in both informal and formal issues?	☐ Yes	☐ No
2. Do most informal stakeholders appear to be engaging in issues directly benefitting their role?	☐ Yes	☐ No
3. Do most formal stakeholders appear to engage in issues for the public good?	☐ Yes	☐ No
4. Are the majorities of both informal and formal stakeholders learning from both lay, indigenous information and professional, technical information?	☐ Yes	☐ No
5. Are the majorities of both informal and formal stakeholders using both lay, indigenous information and professional, technical information?	☐ Yes	☐ No
6. Are stakeholders effectively bridging information types?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT	RECOMMENDATIONS
_/6	Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Flexible Alignment

4

QUESTIONS TO ANSWER		
1. Are there informal stakeholders who are generalists and some who are specialists?	☐ Yes	☐ No
2. Are there formal stakeholders who are generalists and some who are specialists?	☐ Yes	☐ No
3. Are there informal and formal stakeholders strong in informal and formal individual work and collaboration?	☐ Yes	☐ No
4. Are formal stakeholders generally motivated to participate for the public good?	☐ Yes	☐ No
5. Are there some informal stakeholders with influence who are motivated to participate for the public good?	☐ Yes	☐ No
6. Do stakeholders sense there is a collective vision the community is working towards?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT	RECOMMENDATIONS
_/6	Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Effective Timing

5

EXPLANATION OF RESULTS

Type Explanation of Results here.

FINAL ASSESSMENT

_/6

RECOMMENDATIONS

Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Accessibility of Leadership

6

QUESTIONS TO ANSWER		
1. Does a mix of informal and formal stakeholders have strong ties through the amount of connections they have to other stakeholders?	☐ Yes	☐ No
2. Does the network appear to be overly decentralized?	☐ Yes	☐ No
3. Does the network appear to be overly centralized?	☐ Yes	☐ No
4. Does a mix of informal and formal stakeholders have strong ties through reciprocity?	☐ Yes	☐ No
5. Do the most prominent informal and formal stakeholders view themselves as leaders AND also as members of the general public?	☐ Yes	☐ No
6. Does leadership appear accessible through both formal and informal channels?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT	RECOMMENDATIONS
_/6	Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Communicative Skill

7

QUESTIONS TO ANSWER		
1. Do some formal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?	☐ Yes	☐ No
2. Do some informal stakeholders most often relied upon in the network rank towards the top of the power and influence calculations?	☐ Yes	☐ No
3. Are the informal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?	☐ Yes	☐ No
4. Are the formal stakeholders most often relied upon in the network appearing resistant to being excluded in planning implementation?	☐ Yes	☐ No
5. Are there stakeholders capable of garnering consensus towards a collective vision?	☐ Yes	☐ No
6. Are power and influence working together (not circumventing informality or formality) in this community?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT	RECOMMENDATIONS
_/6	Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining a Sustainable Approach

8

QUESTIONS TO ANSWER		
1. Do informal and formal stakeholders with influence appear to be working together on environmental issues facing the community?	☐ Yes	☐ No
2. Do informal and formal stakeholders with influence appear to be working together on physical issues facing the community?	☐ Yes	☐ No
3. Do informal and formal stakeholders with influence appear to be working together on financial issues facing the community?	☐ Yes	☐ No
4. Do informal and formal stakeholders with influence appear to be working together on human issues facing the community?	☐ Yes	☐ No
5. Do informal and formal stakeholders with influence appear to be working together on social issues facing the community?	☐ Yes	☐ No
6. Do stakeholders appear to be connecting these five issue areas through coordinated implementation efforts or a regional sustainability plan?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT	RECOMMENDATIONS
_/6	Summarize recommendations for this ECP trait here.

ENGAGED PLANNING COMMUNITIES – REPORT CARD
Determining Rationality and Practicality

9

QUESTIONS TO ANSWER		
1. Do the majority of informal stakeholders sense short-term economic interests are the most influential in this community?	☐ Yes	☐ No
2. Do the majority of formal stakeholders sense long-range planning interests (not short-term economic) are the most influential in this community?	☐ Yes	☐ No
3. Are the short-term economic interests of the community not taking priority over long-range visioning in this community?	☐ Yes	☐ No
4. Does there seem to be a cohesive vision for the public good that informal and formal stakeholders support?	☐ Yes	☐ No
5. Do the most influential formal stakeholders seem to be practical in their priorities?	☐ Yes	☐ No
6. Do the most influential informal stakeholders seem to be practical in their priorities?	☐ Yes	☐ No

EXPLANATION OF RESULTS
Type Explanation of Results here.

FINAL ASSESSMENT
_/6

RECOMMENDATIONS
Summarize recommendations for this ECP trait here.

APPENDIX B

PLANNING NETWORK DEFINITIONS

The following is a comprehensive list of analytical definitions used within the analysis of this dissertation. *(Uehara 1990; Wasserman and Faust 1994; Lin 1999; McPherson, Smith-Lovin et al. 2001; Borgatti and Cross 2003; Foster 2003; Kilduff and Tsai 2003; Haythornthwaite forthcoming)*

Network: A "map" of the communication patterns of the community planning process. This includes both who is involved and how they do it.

Social networks: (personal, ego-centric, and whole): as understood from Wasserman and Faust, the difference between personal and ego-centric social networks are personal or typical in describing and identifying network members. If an ego/actor identifies their own ties and the ties between these ties, then it is an ego-centric social network. If someone else describing and identifying a set of ties they participate in it is a personal network. Specific to community planning communication, networks are based on a specific issue, a specific general position, or a specific political association. An actor within the network may identify existing ties much differently than someone else does.

Community Planning Network: all individuals, organizations, agencies, and governmental members involved in the communication process addressing community planning issues (Friedmann 1987). Community planning networks constantly change as stakeholders "join" or "leave" based on a myriad of reasons. Usually there are multiple planning sub-networks within a community based on various affiliations. The two main sub-networks are:

> **Informal Sub-Network:** the sub-network within the broader community planning process where community members work together. Tacit knowledge, bridging social capital, and latent power and influence characterize this sub-network. This group drives the continuous planning process.

> **Formal Sub-Network:** the sub-network within the broader community planning process where those within the rational planning process utilize explicit knowledge, bonding social capital, and overt power and influence.

Stakeholders: in this case, can be identified in four groups. The spectrum ranges from the general public (who communicate about essentially private interests of public affairs often in private settings) to elected officials (who communicate about public affairs in public forums). Some stakeholders will have multiple roles in planning, depending on their role within the issue at hand.

> **Planning Professionals:** Consists of city staff managing planning issues and citizen planners on pertinent government planning decision-making boards. They provide the city council and general public technical assistance and recommendations on planning topics. They do this with public interests in mind. They are responsible for negotiating with special and collective interests in the general public to implement community plans. Finally, they communicate largely about land use policy and issues (environmental and physical issues of a community).

> **Elected Officials:** Consists of elected officials of local governments. They are responsible for the negotiation of the political, public interests of a community. They communicate about social, environmental, financial, physical, and human issues of a community.

> **Community Leaders:** Consists of members of the community serving in prominent leadership positions such as organization, group heads or private citizens that through title or role have influence on the outcome of various community issues. They are responsible for the negotiation of the special interests in community issues. They communicate about social, environmental, financial, physical, and human issues of a community.

> **General Public:** Consists of the general public. This includes everyone in a community except the few individuals representing the public sector only (i.e. the city manager). They are responsible for the negotiation of collective-interest or private sector decisions in sustaining community. They communicate about social, environmental, financial, physical, and human issues of a community.

Stakeholder Attributes: adjectives describing the characteristics of stakeholders within community planning. These are indicators such as class, age, or gender or characteristics like length of service, political party affiliation, or club membership. In community planning networks, attributes may include demographic characteristics, past involvement in planning issues, education about planning issues, and/or public versus private affiliation. Stakeholders have formal and/or informal communicative characteristics while participating in the communication process.

Ties (strong or weak): describe the relationships between stakeholders involved in community planning. The type of information communicated, the duration, trust levels, type, and strength are examples of relationship descriptions.

Relations: the relationship exchanges forming connections (ties). Relations are what the stakeholders within a network are doing together. For instance, coworkers (tie) may be co-attending (relation) a meeting together. Relations in a planning network may be discourse on a planning issue over a round of golf, having coffee or happy hour and dialogue about an issue, or attending a city council meeting where a planning issue is discussed.

Informal communication: the informal methods used in community planning. These methods are used when covert influence and power are valued in communication patterns, and can be utilized by formal or informal stakeholders in a community planning network. For example, discourse on a planning issue with the mayor at the grocery store.

Formal communication: the formal methods used in community planning. These methods are used when overt influence and power are valued in communication patterns, and can be utilized by formal or informal stakeholders in a community planning network. For example, attending a city council meeting where a planning issue is discussed.

Multiplexity: number of different relations existing. Thus the more complex the set of relations, the more likely a tie is strong. Example: two people are friends and co-workers.

Dyads: are two stakeholders being connected by a tie. For instance, a work dyad may consist of two city staff members of the same department. Dyads may be either formal or informal in nature.

Triads: are systems of three stakeholders or groups bonded by one or multiple relations. Explained further, no actor is specifically responsible for the connection to sustain as it is a group (meaning more than two) identity that exists, not a pair of two stakeholders. In planning communication networks it is common for triads to exist as community residents actively involved in the local "political" scene often have multiple ties to multiple people. Being Rotary members, neighbors, members of the local chapter of the Sierra Club, and having the same babysitter may indicate "stronger" triads than individuals that are just members of the same church, having their kids go to the same swim club, and having graduated from the same high school. Hence, triads just as dyads may alter in strength of the tie(s).

Network size: depends on the number of stakeholders. In a community planning there are often multiple levels of networks and sub-networks that coalesce and "disband" based on the issues at hand. The size

usually depends, of course, on the general impact on the general population. The "breadth" of the network size may actually depend on the decisiveness and aggression of public "participation" and "awareness" of an issue. John Forester, author of <u>Planning in the Face of Power</u>, explains how the "release" of information and at what rate often determines how involved the general public gets in impacting the outcome of a particular community issue.

Roles: (e.g. brokers, gurus) and **positions** (stars, cutpoints): the roles of a community planning network are where stakeholders are similar within a category or the interactions. Their position, however, relies on their spot or location within or between levels of the network hierarchy. Roles are what the actor is DOING in their position within the network. A role can be identified by examining the network, but to determine the position of an individual the examination and comparison of multiple networks is needed. For instance, stakeholders communicating about a planning issue often find themselves negotiating their power (or capability to affect action or change in the rationality desired) based on their role. Knowledge about the issue, the background power-plays and power-players, and the collateral "clout" or credibility overall very much affect the ability of an actor or tie to retain or improve their position to positively affect an issue's resolution.

Brokers receive and send out information about an issue throughout the network…being a broker is their position.

Gurus are roles of stakeholders that are looked to as experts within the network about the relations at hand. Both positions and roles are defined by relations, so one actor may have the same status as others within a network. *Stars* are THE best actor to connect multiple network groups together; this is their position. They may also be **cutpoints** in that if they didn't exist, all ties to the whole network would be lost. Without a cutpoint a group or cluster would break away and become an **isolated clique**.

Cliques within a network are the biggest subgroup with connections to everyone else in the network. **Isolates** are stakeholders that have no ties to the network.

Structural holes are the positions where stakeholders are not connected but could be if a tie developed.

Structural equivalence occurs when two stakeholders or clusters are in the same roles (mirrored). In a community planning network this often manifests as "opposite" or opposing roles about an issue. Sometimes, however, there is little structural equivalence as a "public" or side may "outflank" the opposing collective interests of the general public.

Reachability: is the ease or ability of an actor to connect to others within the network. Obviously, stars and brokers are much more capable of reaching others than isolates, for example. Stakeholders wielding more power have an increased ability to transfer knowledge in a community planning network.

Density: is the extent to which the ties within a network are connected to each other. If all stakeholders are isolated then the density is nil.

Clusters often have high densities because of multiple connections between stakeholders. In community planning there are multiple interconnected networks. These are referred to also as **sub-networks.**

Centrality: is a highly connected (have many ties) actor to others within a network; it is their position within the network. For community planning, an individual with centrality is a node of information transfer as information is the resource connecting individuals (the relations).

Centralization is a centrally dense network. Bonacich Centrality theory states the more power is wielded if those you are connected to have a lot of connections.

Homophily: is the tendency for stakeholders to interact with stakeholders with similar characteristics as them. For instance, in a community planning network folks mainly communicate in clusters based on income, neighborhoods, political party, age, education, and organizational membership (which is often based on one of the mentioned socioeconomic qualifiers).

Heterophily is the opposite. It is folks tending to interact with different folks. In community planning networking this rarely occurs as community issues are largely based on the impact on the aforementioned socioeconomic factors. However, brokers and sometimes stars connect and make separate networks overlap. In other words, brokers and sometimes stars are often heterophilic with multiple types of ties in a network.

Reciprocity: occurs when the benefit of the tie is received by both ends of the relation(s). For this to occur, both must give and take.