Active Neighbourhoods Canada:

Evaluating approaches to participatory planning for active transportation

in Peterborough, Ontario

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Abstract

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This research considers the historic context of power that planning operates within, and looks at the ways in which certain community members are marginalized by traditional planning processes. Participatory planning, which has theoretical roots in communicative planning theory, may have the potential to shift the legacy of power and marginalization within planning processes, resulting in improved planning outcomes, more social cohesion, and a higher quality of urban life. I used a community-based research approach to evaluate approaches to participatory urban planning in Peterborough, Ontario. I worked with a community-based active transportation planning project called the Stewart Street Active Neighbourhoods Canada project. This thesis evaluates the participatory planning approaches employed in the project, and determines if they are effective methods of engaging marginalized community members in planning. The research also identifies the professional benefits of participatory planning, and examines the barriers and enablers to incorporating participatory approaches into municipal planning processes. Finally, I developed a set of recommendations to implement participatory planning approaches more broadly in the city of Peterborough, Ontario.

Keywords: Participatory planning, communicative planning theory, public participation, community engagement, community-based research, active transportation

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Chapter 1 Introduction

1.1 Research Area

Within an urban context, streets and sidewalks make up a majority of public space, yet the built environment in Canada's cities often promotes automobile-centric transportation, which serves to isolate people from these public spaces (Danneberg, Frumkin, & Jackson, 2011; Moscovich, 2003; Pucher, Dill, & Handy, 2010; Speck, 2012). Car-centric culture discourages active engagement with public space, and undermines the environmental, social, and cultural dimensions of sustainability (Danneberg et al., 2011; Richards, Murdoch, Reeder, & Amun, 2011; Speck, 2012).

In addition to being unsustainable, built environments that prioritize the automobile can disadvantage marginalized community members, including youth, older adults, people with disabilities, and individuals living in poverty, creating systemic and spatial barriers to transportation equity (Kochtitzky, 2011). In contrast, built environments that support active transportation can contribute to a reduction in greenhouse gas emissions, increased physical activity, improved public health outcomes, and enhanced mobility for community members of varied socio-economic backgrounds (Badland et al., 2009; Boarnet, Greenwald, & McMillan, 2008; Dobson & Gilroy, 2009; Heinen, van Wee, & Maat, 2010; Jabareen, 2006; Kennedy, Miller, Shalaby, Maclean, & Coleman, 2005; Pucher et al., 2010; Speck, 2012).

In order to design a transportation system that is equitable for all users, the needs and desires of diverse community members should inform the design of the transportation system. Involving community members in urban planning processes contributes to the creation of public spaces, streets, and sidewalks that are responsive to community needs,

thus encouraging healthier and more sustainable transportation choices, improving planning outcomes, and building transportation equity (Blanchet-Cohen, 2015; Brown & Chin, 2013; Dill & Carr, 2003; Innes & Booher, 2004; G. Rowe & Frewer, 2000; Rowe, G., Frewer, 2004). However, many status quo methods of engaging community members in urban planning are inadequate, inaccessible, or tokenistic, resulting in planning outcomes that are not responsive to the community's needs, or that prioritize certain populations and modes of transportation while marginalizing others (Arnstein, 1969; Booher, 2008; Brown & Chin, 2013; Hou & Kinoshita, 2007; Innes & Booher, 2004; Listerborn, 2008).

As one response to this engagement gap in planning, communicative planning theory arose in the late 20th century. Communicative planning theory views planning as a discursive exchange between stakeholders, with an attempt to build consensus and engage in participatory democracy (Brown & Chin, 2013; Healey, 1997, 2002; Holgersen & Haarstad, 2009; Innes, 1996; Willson, 2001). However, there is a sustained critique of communicative planning theory that suggests that it fails to adequately acknowledge power dynamics that stem from positions of privilege and marginalization in the planning process, which arise from factors including education, occupation, class, age, and traditional role in the planning process (Brown & Chin, 2013; Holgersen & Haarstad, 2009; Voogd, 2001).

This research looks at how public engagement in active transportation planning can more meaningfully involve citizens, including those marginalized by traditional engagement methods. I analyze the public engagement literature and communicative planning theory to create an argument for the benefits of increased engagement in

planning. I also offer a critique of communicative planning theory in its current iteration, and posit that partnership-based and community-led participatory planning creates a more inclusive planning environment that better addresses the need to involve citizen input in planning outcomes.

I use my role as an embedded participant-researcher in a participatory urban planning project in the City of Peterborough, Ontario (called the Stewart Street Active Neighbourhoods Canada project) as a case study to evaluate participatory planning approaches, examine the institutional barriers to improving public participation in planning, and propose strategies to operationalize participatory urban planning practices in the municipality of Peterborough, Ontario.

1.2 Research Questions

This research uses the Stewart Street Active Neighborhoods Canada Project[1] [referred to herein as ANC] as a context to evaluate newly emerging participatory planning approaches, and answer the following research questions:

1) Is the participatory planning process employed in the ANC project an effective method of engaging marginalized community members in planning, based on evaluation criteria generated by Stewart Street neighbourhood residents and validated by the literature?
    a. Of the participatory planning activities undertaken during the ANC process, which engagement activities are perceived as most effective, from the perspectives of:
        i. Stewart Street neighbourhood residents; and

[1] The ANC project will be explained in greater detail in Section 2.1

ii. The Stewart Street ANC project steering committee?

2) How can professional planners benefit from using participatory planning processes, and what are the barriers and enablers to incorporating participatory planning processes into professional practice?
3) What are some recommendations to operationalize participatory planning processes in the municipality of Peterborough, Ontario?

1.3 Clarifying terminology

Throughout this research, I will refer to two concepts that I wish to clarify early in the work. The first term is "marginalized residents". While I acknowledge that there is a diversity of personal, social, and economic factors that contribute towards experiences of marginalization, for the purpose of this research, I have defined "marginalized" as including: people living in poverty, older adults, youth, people with disabilities, and people facing barriers to accessing education. This is because these forms of marginalization are quantifiably present in the Stewart Street neighbourhood (as will be explored in section 2.2.1), and these factors also impact an individual's ability to participate in planning processes, and influence and individual's mobility or immobility in a car-centric urban environment.

The second term I wish to clarify is "participatory planning". Participatory planning, in this work, refers to a bottom-up planning approach which: employs non-traditional engagement techniques, combines citizen knowledge and professional knowledge, promotes open dialogue, and involves community members throughout all phases of the planning process. My understanding of participatory planning has theoretical roots in communicative planning theory, which will be discussed in section

2.3. The specific activities and approaches that are a part of the Active Neighbourhoods Canada participatory planning approach will be discussed in sections 2.1 and 3.2.2.1.

Chapter 2 Research Context

The following chapter provides the context for my research, including an overview of the Active Neighbourhoods Canada project [ANC] project, and a discussion of the literature regarding public participation in planning and communicative planning theory.

2.1 Background on the Active Neighbourhoods Canada Project

The Stewart Street Active Neighbourhoods Canada project is a neighbourhood-based participatory urban planning project undertaken in the Stewart Street neighbourhood in Peterborough, Ontario. The Stewart Street ANC project is part of a national network projects under the Active Neighbourhoods Canada umbrella, which is "a national partnership of organizations bringing participatory planning to 12 communities in Alberta, Ontario and Quebec" (Martin et al., 2015, p. 3). The ANC project is particularly interested in engaging marginalized community members, who are more likely to be excluded from traditional planning processes (Holgersen & Haarstad, 2009; Listerborn, 2008; Martin et al., 2015).

Within the national ANC framework, "the meaning of the word 'active' is threefold. The project works towards changes in the built environment that encourage *active* transportation, *active* public spaces and *active* engaged citizens" (Martin et al., 2015, p. 3 [emphasis mine]). Each ANC project is divided into three phases, which are characterized as follows:

> **Phase 1: Understanding [Portrait Phase]**: The goal of the first phase is to understand the current context in the neighbourhood in order to identify potential improvements and constraints related to mobility. Different data collection methods are used to create a 'Neighbourhood Portrait'. [Data

collection methods] include field surveys, documentation, and consultation activities.

Phase 2: Exploring [Vision Phase]: The objective of Phase 2 is to establish a common vision, define priorities for action, and create design solutions that respect the local identity and practices of the neighbourhood. Examples of methods used during this phase include a Citizen's Forum and workshops with professionals.

Phase 3: Building [Plan Phase]: Local partners collaborate on a Community Plan outlining goals and design solutions. The plan is used as a tool to strategize and partner with local municipal officials, transit authorities, other levels of government, as well as institutions, retailers and individuals towards the incremental implementation of these goals (Martin et al., 2015, p.3).

The Stewart Street ANC project is guided by a steering committee comprised of representatives from the neighbourhood, not-for-profits, the City of Peterborough, and Trent University, representing broadly the community sector, NGO sector, public sector, and academic sector. The organization that coordinates the ANC steering committee is GreenUP, a local environmental charity. The breakdown of organizations represented on steering committee is seen in Table 1.

Table 1 Organizations represented on the Stewart Street ANC Steering

	Community Sector	**NGO Sector**	**Public Sector**	**Academic Sector**
Represented Organization	The Stewart Street & Area Community Association	GreenUp (local lead organization)	City of Peterborough-Dept. of Transportation Demand Management	Trent University-Faculty
	Individual non-affiliated neighbourhood residents	The Toronto Centre for Active Transportation (the ANC Ontario provincial lead)	City of Peterborough-Dept. of Planning	Trent University-Graduate Student (me)
		Peterborough Community Garden Network	The Peterborough County-City Health Unit	
		B!KE: The Peterborough Community Cycling Hub		
		Trent Community Research Centre		

In addition to the project partners on the steering committee, the Stewart Street ANC project is supported by a diversity of funding sources. The Public Health Agency of Canada funds the national ANC network, and provides funding to the Toronto Centre for Active Transportation to support two part-time staff people as provincial project managers. These staff people support the four ANC projects in Ontario, including the Stewart Street project. The Ontario Trillium foundation provides funding to GreenUP to support staff capacity, event and program expenses, and stipends for neighbourhood representatives on the steering committee. Lastly, the Social Sciences and Humanities Research Council of Canada funds the research component of the project, through a grant called Communities First: Impacts of Community Engagement.

2.1.1 Characteristics of the Stewart Street Neighbourhood

This section provides some relevant physical and social characteristics of the Stewart Street neighbourhood, to give context for my research. A more detailed overview of the neighbourhood demographics, land use, and physical and social infrastructure is contained in the *Portrait of the Stewart Street Neighbourhood* document, of which I am a co-author. The full *Portrait* document can be found in Appendix 1.

The Stewart Street neighbourhood is a mixed-use, medium density neighbourhood in the south end of downtown Peterborough. The neighbourhood encompasses roughly 20 square blocks, with residential, commercial, and industrial zoning uses contained within the 20-block area. The street layout follows a traditional grid pattern (Martin et al., 2015, p.13). The land use mix, street grid layout, and proximity to downtown means that the neighbourhood is highly walkable and bikeable (Jabareen, 2006; Martin et al., 2015; Moscovich, 2003; Speck, 2012; Kennedy et. al., 2005). Figure 1 shows the location of the Stewart Street neighbourhood relative to the City of Peterborough as a whole, and also shows the street grid in the Stewart Street neighbourhood.

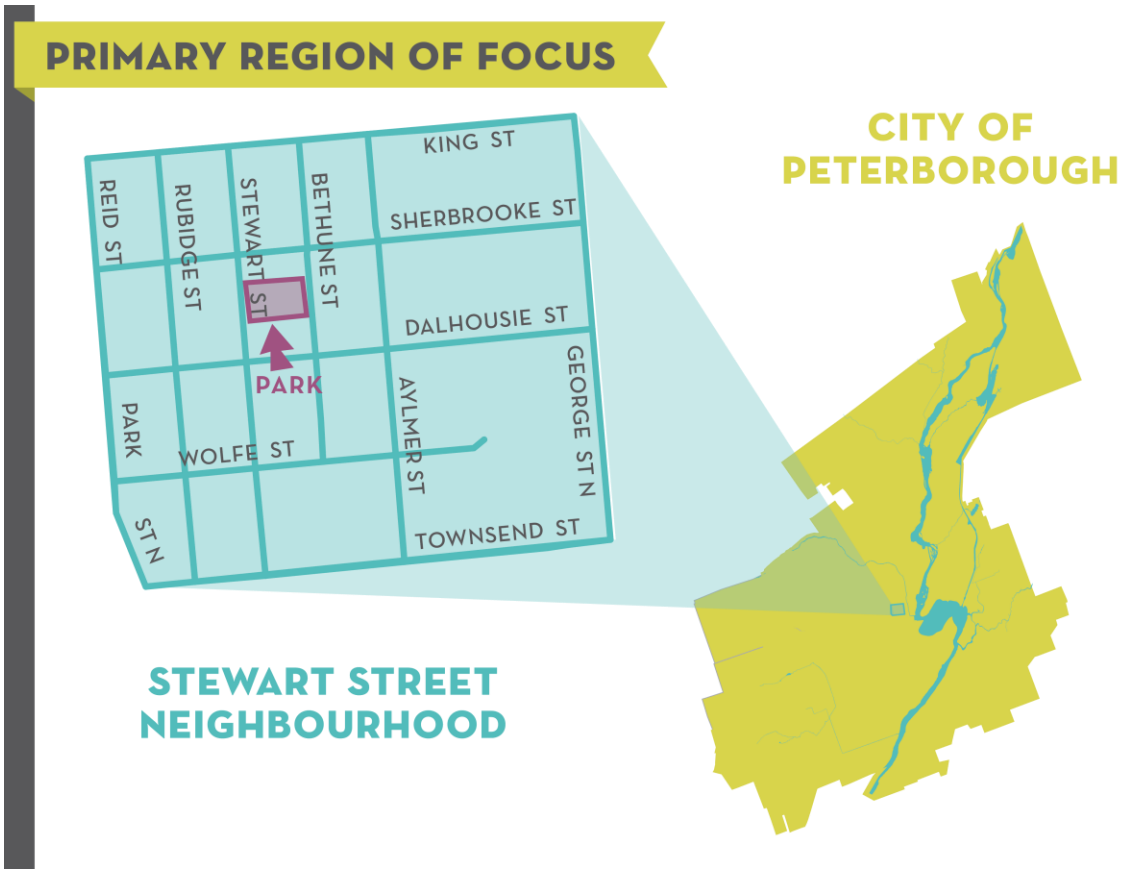

Figure 1: Map of the Stewart Street neighbourhood (Source: ANC Steering Committee)

At the centre of the Stewart Street neighbourhood is a one-half square block public park. Until recently, this public park was underutilized, and was viewed as rundown and unsafe by neighbourhood residents (Martin et al., 2015), but in 2013 a group of residents created a community association to revitalize the shared public space. The association, called the Stewart Street and Area Community Association [SAACA][2], in collaboration with the Peterborough Community Garden Network, successfully created a community garden in the park, which enjoyed its first growing season in 2013 (Martin et al., 2015). Furthermore, SAACA raised funds to build a play structure in the park,

[2] Throughout the course of the ANC project, the Stewart Street and Area Community Association ultimately dissolved. The events that led to the dissolution of the Association are discussed in greater detail in subsequent chapters.

which was installed in fall 2015 (Martin et al., 2015). The community-driven momentum for positive change in public spaces, and the social infrastructure developed by SSACA, made the Stewart Street neighbourhood ideal for the ANC project to work with. In spring of 2014, SAACA partnered with GreenUp, a local environmental charity, to successfully apply to become one of the twelve ANC pilot projects.

In addition to the social infrastructure in the neighbourhood, the Stewart Street neighbourhood has several demographic characteristics that led to its participation in ANC project. The ANC project seeks to engage marginalized community members in participatory planning, including people living in poverty, people with disabilities, older adults, and youth. The Stewart Street neighbourhood is home to many individuals who represent these groups, as is evidenced by the following statistics (drawn from the *Portrait of the Stewart Neighbourhood, Peterborough,* which used the 2006 Canadian Census, the 2011 Transportation Tomorrow Survey, and the 2014 Peterborough City & County Active Transportation and Health Indicators Report as data sources). The Stewart Street Neighbourhood:

- Is one of the lowest-income neighbourhoods in the city of Peterborough, with 35.35% of residents over the age of 15 considered low income (versus 13.10% for the city of Peterborough as a whole, and 14.70% for the province of Ontario), and with a median household income of $29,176 (versus $52,638 across the whole city of Peterborough) (Martin et al., 2015 p. 11);
- Is the youngest neighbourhood in Peterborough, with 27.9% of residents between the ages of 15-29 (versus 19.8% across the city) (Martin et al., 2015 p.10);

- Is home to two seniors' residences (Martin et al., 2015 p. 10), and one mixed-income, city-subsidized housing complex that has accessible units for individuals with disabilities;
- Has very low rates of home ownership, with only 32% of residents owning their home (versus 73% for the city as a whole) (Martin et al., 2015 p. 8); and
- Has very low rates of vehicle ownership, with non-vehicle households representing 42% of households in the neighbourhood's census tract (versus 12% in the city, and 8% in the region) (Martin et al., 2015 p. 16).

A confluence of factors including income, age, street grid layout, land use, and density result in a neighbourhood that is heavily reliant on active transportation; 25% of neighbourhood residents use active transportation as their primary transportation mode for work trips, versus 10.1% of commuters using active transportation across the city as a whole (Martin et al., 2015, p. 16).

However, despite the high use of active transportation, the neighbourhood has inadequate infrastructure for supporting active tranpsortation. For example, the city of Peterborough's fifth most heavily trafficked cycling corridor, Bethune Street, runs through the neighbourhood. Bethune Street is the only corridor in the city's top ten cycling corridors that does not inclue the provision of cycling-specific infrastrucutre (Salmon, Dawson, & Sauve, 2014). In fact, the Stewart Street neighbourhood does not contain any dedicated cycling infrastrucutre. Furthermore, pedestrian infrastrucutre is lacking in many areas, with some streets missing sidewalks, street amenities, and lighting. Figure 2, a map of a community street audit undertaken by the local ANC team,

highlights some gaps in pedestrian infrastructre in the neighbourhood. Shaded areas represent particularly problematic gaps in pedestrian infrastrucutre.

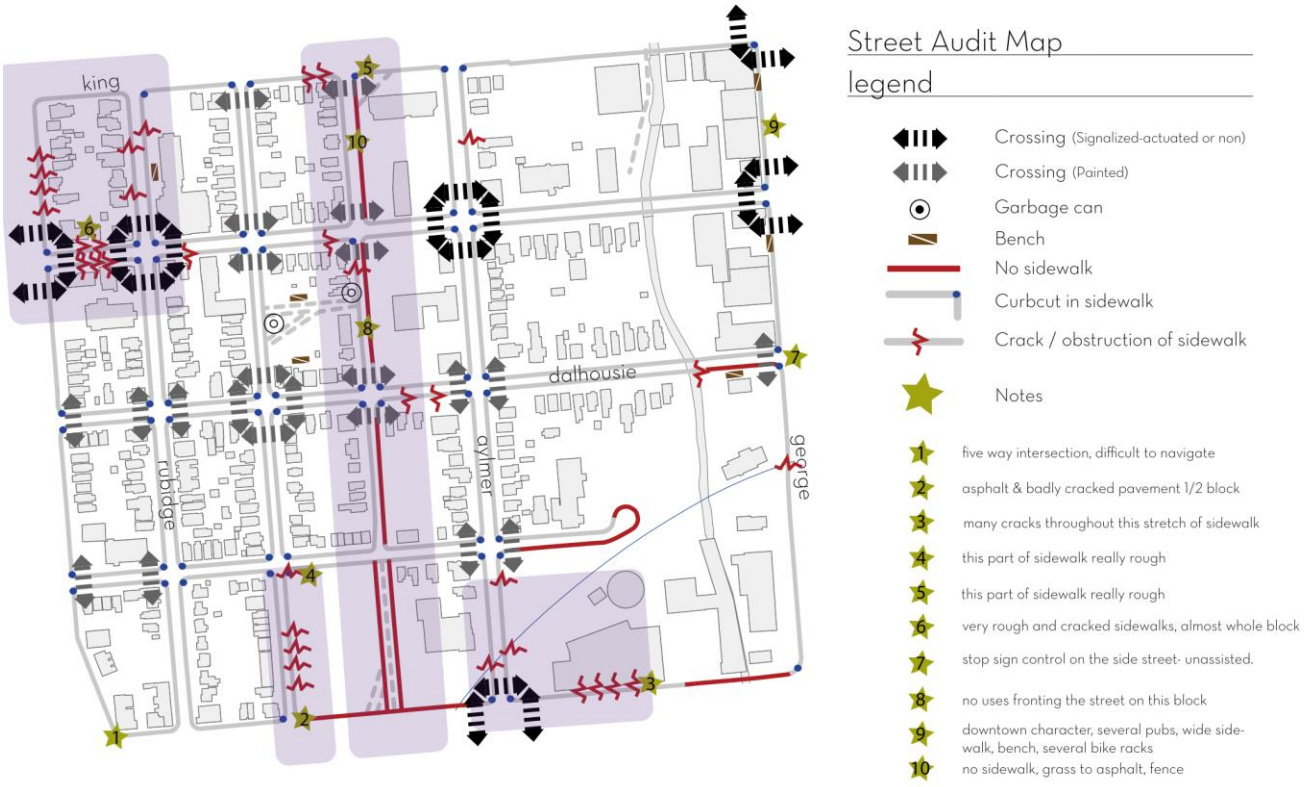

Figure 2: Community street audit map (Martin et al., 2015).

While the neighbourhood currently lacks pedestrian and cyclist infrastructure, there are two major upcoming street redevelopment projects in the neighbourhood, which create potential for the ANC project outputs to inform City-led design and planning processes. One project is a proposed Complete Streets project proposed for the South end of George Street. A Complete Streets design approach involves designing roadways so that they are accessible to all users, including the most vulnerable road users (i.e., children, older adults, and people with disabilities). Therefore, a Complete Streets approach involves designing roadways with provisions for pedestrians, cyclists, transit

users, and automobiles ("Backgrounder: Complete Streets Policy and Adoption in Canada and the U.S.", 2012; Geraghty et al., 2009; McCann & Rynne, n.d.). The design for the Complete Streets redevelopment of George Street South is in the post-approval phase, and implementation is scheduled to begin in 2017.

The second major street planned infrastructure project occurring in the neighbourhood is the Bethune Street redevelopment. As a part of the City of Peterborough Flood Reduction Plan, Bethune Street's entire right-of-way will be torn up from curb to curb, in order to accommodate for a sub-surface flood mitigation strategy (City of Peterborough, 2005). The removal of the entire right-of-way presents a unique opportunity for residents to inform the redesign of the streetscape. As previously noted, the existing streetscape lacks provisions for cyclists and pedestrians, despite being a prominent active transportation corridor. The Bethune Street corridor also provides an opportunity to enhance the overall connectivity of Peterborough's cycling network, as it joins major cycling facilities in the North, and proposed cycling facilities in the South (Martin et al., 2015). The design process for the Bethune Street streetscape is currently underway, and the ANC steering committee has been invited to participate in early conceptual design workshops and to present project outputs at a City-led public information session. Citizen consultation for the Bethune Street reconstruction began in May 2016, and development will begin in 2017 and will be competed within a five-year timeframe.

The social infrastructure in the Stewart Street neighbourhood, the demographic character of the neighbourhood, current transportation trends, infrastructure gaps, and proposed infrastructure development in the neighbourhood made it an ideal candidate to

become one of the twelve communities engaged in the ANC pilot project. In addition, the Stewart Street ANC project was positioned to access a local network of active transportation expertise. In Peterborough, there are several organizations that do active transportation planning, education, and advocacy work. These organizations include: GreenUP, B!KE: The Peterborough Community Cycling Hub, the Active and Safe Routes to School Committee, and the Peterborough Bicycle Advisory Committee. In addition, the City of Peterborough has a Transportation Demand Management Planner who plays a significant role in developing active transportation infrastructure in the city. The local expertise reflected in these organizations meant that the city of Peterborough had a robust professional network to support an active transportation focused participatory planning project.

2.1.2 ANC project problem statement and vision

The Stewart Street ANC Steering Committee has articulated a project problem statement and vision that inform how the ANC project hopes to create change in the community. The problem and vision statement serve as a basis for the project *Theory of Change* document, which is a guiding document for my evaluation work. The project *Theory of Change* document was created in fall 2014 by the project coordinator (GreenUP) and a Carleton University graduate student, through a series of engagement sessions with the ANC steering committee. Relevant excerpts from the *Theory of Change* document are in Appendix 2.

The problem statement articulated in the Project Theory of Change is as follows:

> Current planning practices do not consistently and meaningfully engage all citizens in the process of visioning and designing their communities

> from start to finish. This results in public spaces and streets that prioritize certain populations and modes of transportation, while excluding and marginalizing others (Salmon & Pole, 2015, p.4).

The local ANC vision, which arises to solve the aforementioned problem, is as follows:

> The Stewart Street Active Neighbourhoods Canada project hopes:
>
> > That neighbourhood development and community planning become accessible and participatory processes that support the creation of healthy and vibrant public spaces and streets. With livable spaces and complete streets, people of all ages and abilities will travel actively, resident safety will be enhanced, and a sense of pride and inclusion will be fostered within the community (Salmon, 2015, p.4).

2.1.3 Underlying Assumptions

The Stewart Street ANC project approach is predicated on several underlying assumptions, which my research and review of the literature work to validate. I feel that it is important to make these assumptions explicit, because they influenence my my role as a participant-researcher in the ANC project, and impact my interpretation of data. These assumptions are also drawn from the Stewart Street Active Neighbourhoods Canada Projecy Theory of Change (Salmon & Pole, 2015, p. 7-8).

The underlying assumptions are:

1) Participatory planning approaches are needed;
2) Citizens have a desire to engage;
3) Certain populations should be prioritized, including neighbourhood residents and marginalized community members;

4) Public spaces need enhancement;
5) Active transportation infrastructure is needed and desired;
6) Residents identify with the neighbourhood;
7) Sustained capacity exists to support partnerships;
8) Organized and engaged people can excerice influence over planing outcomes;
9) Citizen engagement can be sustained;
10) The role played by community organizations is apprpriate.

2.1.4 Personal postion

I have personally been engaged in the Stewart Street ANC project as an embedded participant-researcher since May 2014. Chapter 3, Section 3.2.1 elaborates on how this role has informed my research methods and design. However, I believe that it is also relevant to briefly describe my personal position as a member of the ANC steering committee.

Prior to undertaking this research, I worked in the active transportation field in Peterborough, as the Program Coordinator at B!KE: The Peterborough Community Cycling Hub. Therefore, at the onset of the research, I had existing professional relationships with individuals representing many of the community and public sector organiations on the steering committee. My professional and academic experience informed my desire to undertake this research. I also had a personal friendship with one of the three neighbourhood residents on the committee, although I had no pre-existing relationship with the other two residents.

While I am not a resident of the Stewart Street neighbourhood, there are several ways in which I pesonally identify with residents of the neighbourhood. My income level

has historically been reflective of median incomes in the Stewart Street neighbourhood, although I acknowledge that my access to education may provide future higher earning potential. In addition, I do not own a home or a car, and I am young (in the 15-29 year old cohort that comprises a large portion of the Stewart Street neighbourhood), and rely on active transportation to meet nearly all of my transportation needs (with transit and car pooling making up the other portion). While these experiences are not universal to residents of the Stewart Street neighbourhood, and do not represent all of the ways that residents may be marginalized within planning processes and public spaces, these personal similarities to residents of the Stewart Street neighbourhood infomed my desire to work towards meaningful engagement of marginalized demographics in planning processes.

2.2 Articulating a need for public engagement in planning

This research stems from a recognition in the literature that public engagement in urban planning contributes to social cohesion and the quality of urban life (Booher, 2008; Jacobs, 1961; Laurian & Shaw, 2008; Sorensen & Sagaris, 2010), and that planning decisions and outcomes can be improved by incorporating local knowledge held by the citizens (Blanchet-Cohen, 2015; Innes & Booher, 2004; Rowe & Frewer, 2000; Sorensen & Sagaris, 2010). As Jane Jacobs expressed in *The Death and Life of Great American Cities,* "Cities have the capability of providing something for everybody, only because and only when, they are created by everybody" (Jacobs, 1961, p.312). When citizens are involved in planning processes, the benefit between citizens and planners is mutual; citizens benefit from improved quality of urban life, and planners benefit from stronger outcomes with greater community support.

Further, the literature acknowledges that public participation processes that involve a degree of power sharing between citizens and governments are an important element of deliberative democracy, and promote fair, transparent, and inclusive decision making (Arnstein, 1969; Booher, 2004, 2008; Healey, 1997, 2002; Innes & Booher, 2004; Laurian & Shaw, 2008). Meaningful community engagement in planning can help to build trust between citizens and their governments, and in contrast, a lack of opportunities for citizens to meaningfully engage in planning can create discontent and mistrust between citizens and governments (Laurian & Shaw, 2008; Rowe & Frewer, 2000).

The literature also recognizes that many status quo methods of community engagement in urban planning are inadequate, inaccessible, and tokenistic, which can lead citizens feeling disempowered (Booher, 2008, Arnstein, 1969; Hou & Kinoshita, 2007; Innes & Booher, 2004). According to Sorenson and Sargaris (2010), "contemporary practices of public participation [leave unaddressed] three main critiques: those that suggest that participation masks fundamentally unequal power relationships; those concerned with who initiates participation; and those addressing who actually participates" (Sorensen & Sagaris, 2010, p. 299).

Shelly Arnstein's (1969) foundational work in public participation positions methods of public engagement using a "ladder of public participation." This framework classifies public engagement methods into an eight-step ladder, with each successive step representing an increase in the degree of power available to citizens within the engagement process (Arnstein, 1969). Arnstein's ladder sub-categorizes types of engagement as "non-participation", "tokenism", and "power sharing". Consultation, one

of the most frequently practiced forms of public engagement in municipal transportation planning, lies at fourth level of Arnstein's ladder, and is classified as a "tokenistic" form of engagement (Arnstein, 1969, p. 2). Consultation is an engagement method in which "information is conveyed from members of the public to the sponsors of the initiative, following a process initiated by the sponsor" (Rowe & Frewer, 2005, p. 225). A consultation method of engagement involves a one-way flow of information, rather than a dialogic exchange between the community and the sponsor (Arnstein, 1969; Rowe & Frewer, 2005), and thus is typified as tokenistic.

In a local context, consultation is a frequently practiced method of public engagement. For example, according to the City of Peterborough Comprehensive Transportation Plan,

> Community and stakeholder *consultation* was conducted [during the development of the plan] in several capacities to solicit feedback and engage the community in the update process. In accordance with the Municipal Class EA Process, three points of public *consultation* in the form of Public Involvement Centres (PICs) were held. These PICs represented significant points of *consultation* where opinions were sought from members of the community, and progress on the study update was presented (City of Peterborough, 2012, p.4 [emphasis added]).

As is evident in this passage, consultation is a public engagement mechanism employed in transportation planning in the City of Peterborough.

Bailey and Grossardt (2010) argue that there is an "Arnstein gap" between actual and ideal levels of citizen engagement in transportation planning. They suggest that the

ideal level of citizen involvement is *partnership*, which lies at level six of Arnstein's ladder (versus the actual level of engagement, consultation, which lies at level four) (Bailey & Grossardt, 2010; Blanchet-Cohen, 2015). Within a partnership form of engagement, "power is in fact redistributed through negotiation between citizens and power holders" (Arnstein, 1969, p. 9), and there is an ongoing exchange of dialogue. The public participation literature broadly recognizes that two-way flow of communication is an important element in creating meaningful and non-tokenistic forms of engagement (Arnstein, 1969; Brown & Chin, 2013; Halvorsen, 2001; Laurian & Shaw, 2008; Mannarini & Talò, 2012; G. Rowe & Frewer, 2000; Gene Rowe & Frewer, 2005; Rowe, G., Frewer, 2004).

2.2.1 Evaluating public participation in planning

In addition to facilitating communication, the literature suggests a broader set of criteria to evaluate the effectiveness of engagement opportunities (Brown & Chin, 2013; Crosby et al., 1986; Blahna & Yonts-Shepard, 1989; Petts, 1995; Carnes et al., 1998; Lauber, 1999; Rowe & Frewer, 2000; IAP2, 2007b; Godschalk & Stiftel, 1981; Laurian & Shaw, 2009). Brown and Chin (2013) have succinctly compiled evaluation criteria from the public participation literature into a table, included in this document in Table 2. The table divides evaluation criteria into *process* and *outcome* categories (Brown & Chin, 2013). While my evaluation of the ANC project activities uses a participatory evaluation approach, and therefore applies user-based (i.e., participant-derived) evaluation criteria[3], the evaluation criteria frequently cited in the literature help situate my work within this body of literature, and therefore I found it valuable to include Table 2 for reference.

[3] See section 3.2 for a definition of participatory evaluation, and my rationale for making this methodological choice.

Table 2: Criteria to evaluate public participation (from: Brown & Chin, 2013, pp. 565-566)

Process Criteria		
Criterion	**Description**	**Sources**
Representative-ness	The participants should comprise a broadly representative sample of the population of the affected public'.	(Crosby et al., 1986; Blahna & Yonts-Shepard, 1989; Petts, 1995; Carnes et al., 1998; Lauber, 1999; Rowe & Frewer, 2000, p. 12)
Independence	'The participation process should be conducted in an independent, unbiased way'.	(Crosby et al., 1986; Lauber, 1999; Rowe & Frewer, 2000, p. 13)
Early Involvement	'The public should be involved as early as possible in the process as soon as value judgments become salient'.	(Blahna & Yonts-Shepard, 1989; Rowe & Frewer, 2000, p. 14)
Transparency	'The process should be transparent so that the public can see what is going on and how decisions are being made'.	(Lauber, 1999; Rowe & Frewer, 2000, p. 15)
Resource Accessibility	Participants should have access to the appropriate resources to enable them to successfully fulfil their brief'.	(Rowe & Frewer, 2000, p. 15)
Seeking out and involving those affected by decisions	Public participation seeks out and facilitates the involvement of those potentially affected by or interested in a decision.'	(IAP2, 2007b, p. 1; Godschalk & Stiftel, 1981; Blahna & Yonts- Shepard, 1989)
Comfort and convenience	The timing and place of meeting should be convenient to the participants' schedule. They should also feel comfortable'.	(Halvorsen, 2001)
Deliberative quality	All participants should be given the chance to speak and provide their opinions.	(Lauber, 1999; Halvorsen, 2001)
Level of conflict	Public participation process should avoid or mitigate conflict	(Laurian & Shaw, 2009)
Seek input from participants in how they participate	Public participation seeks input from participants in designing how they participate'.	(IAP2, 2007b, p. 1)
Task definition	The nature and scope of the participation task should be clearly defined.	(Rowe & Frewer, 2000, p. 16)
Non-technical information	The information provided to participants must be easy to understand and contain minimal technical language to prevent confusion.	(Chakraborty & Stratton, 1993)
Communicates influence on decision	Public participation communicates to participants how their input affects the decision'.	(IAP2, 2007b, p. 1)

Outcome Criteria		
Criterion	**Description**	**Sources**
Influence	'The output of the procedure should have a genuine impact on policy'.	(Petts, 1995; Carnes et al., 1998; Lauber, 1999; Rowe & Frewer, 2000, p. 14; Butterfoss, 2006)
Increased Understanding	Public participation should build mutual understanding between stakeholders and commit the public good identified	(Petts, 1995; Carnes et al., 1998; Laurian & Shaw, 2009)
Consensus reached	Decisions made as a result of public participation were based on consensus and mutual understanding.	(Twight & Carroll, 1983; Innes & Booher, 1999)
Increased trust	Public participation should build trust and lasting relationships.	(Laurian & Shaw, 2009)
Workable solutions	Public participation should create a compromise and acceptable solution.	(Laurian & Shaw, 2009)
Satisfaction	Good public participation should result in high satisfaction amongst participants.	(Halvorsen, 2001; Butterfoss, 2006; Laurian & Shaw, 2009)

2.2.2 Power, privilege, and marginalization in planning

While inadequate methods of community engagement can impact all citizens, marginalized people are often disproportionality impacted. This is due in part to the power dynamics implicit in the citizen-professional relationship, which privileges technical knowledge over lived experience, and therefore places the majority of the power with the professionals (Holgersen & Haarstad, 2009; Kochtitzky, 2011; Listerborn, 2008; Sorensen & Sagaris, 2010; Willson, 2001). For example, the highly specialized language of professional planning creates barriers for the layperson to understand and engage with planning processes, which leads to inequitable access to the planning process. While some community members hold sufficient power to have voice within traditional planning processes and community engagement opportunities, the intersection between social, political, and economic factors (e.g., class, race, gender, age, disability,

and access to education) contribute to the marginalization of other community members, and create systemic barriers to accessing power (Holgersen & Haarstad, 2009; Listerborn, 2008).

Holgerson and Haarstad (2009) discuss how "issues of class and economic antagonisms structure the planning process" (p. 349). They apply Lefebvre's (1991) discussion of the production of space in the city to suggest that there is an antagonistic relationship between community "users" of space and capitalist "utilizers" of space (Holgersen & Haarstad, 2009, p. 352). Within the planning process, the capitalist *utilizers* of space have the potential to generate economic activity, and thus their voices are favoured in the planning process. In contrast, community *users* of space, especially community members that are visible minorities or are visibly poor, can be seen as negatively impacting the economic potential of a space, and thus their voices are marginalized in the planning process (Holgersen & Haarstad, 2009). The class antagonisms implicit in the planning process often go unacknowledged by those that are in a position of power, and thus it is difficult for those in positions of marginalization to break this systemic oppression (Holgersen & Haarstad, 2009; Listerborn, 2008).

As a result of marginalization in the planning *process*, certain community members are also marginalized by planning *outcomes*. Lefebvre's concept of the "right to the city" (1968) is applied by several scholars to illustrate the ways in which class antagonisms lead to the exclusion of certain individuals within urban space, creating a dynamic in which it is challenging for marginalized people to assert their right to occupy space in the city (Andres, 2012; Carless, 2009; Gilbert & Dikec, 2008; Lefebvre & Nicholson-Smith, 1991; Sorensen & Sagaris, 2010) Feminist geographers and political

economists J.K. Gibson-Graham (1996) also discuss how class dynamics and capitalism impact access to public space. Marginalized community members are relegated to peripheral areas of the city, and central spaces are reserved for privileged individuals involved in capitalist production (Gibson-Graham, 1996).

Failing to include marginalized voices in the planning process results in planning outcomes that do not equitably consider the needs of marginalized community members. In terms of transportation equity, vulnerable populations, including people living in poverty, youth, older adults, and people with disabilities, are marginalized within urban transportation systems (Kochtitzky, 2011). The built form of North America cities typically favours the automobile as a transportation mode, and thus the designs of our cities and our transportation systems are automobile-centric (Danneberg et al., 2011; Pucher et al., 2010; Schiller, Bruun, & Kenworthy, 2010; Speck, 2012). The automobile is a transportation mode that privileges certain people over others; marginalized community members may not be able to choose this mode due to financial, legal, or mobility-related restrictions. When these voices are excluded from engagement processes, there is little impetus to create transportation systems that are responsive to their diverse mobility needs.

The financial barrier to car ownership, in particular, disproportionately impacts people in the Stewart Street neighbourhood. In the city of Peterborough, an individual making less that the city-wide median employment income is three times more likely to walk, twice as likely to bike, and ten times more likely to ride transit than higher income community members (Salmon et al., 2014, p. 7). The average car commuter in Peterborough has a median income of $42,911, and the median income in the Stewart

Street neighbourhood is only $29,176, making car ownership inaccessible to many residents of the Stewart Street neighbourhood (Martin et al., 2015, Salmon et al., 2014). This is reflected in the very low rates of vehicle ownership in the neighbourhood (mentioned in section 2.1.1). The barriers to accessing vehicle ownership mean that the transportation systems in many North American cities (including Peterborough) further marginalize already vulnerable community members.

2.3 Communicative planning theory

Communicative planning theory arose in response to a desire to create a more inclusive planning paradigm (Healey, 1997, 2002). Communicative planning theory suggests that planning can occur as a dialogic exchange between all parties, and that conflict can be resolved through communication and efforts towards consensus building (Ataöv, 2007; Bailey & Grossardt, 2010; Healey, 1992, 1997, 2002; Hoehner, Brennan, Brownson, Handy, & Killingsworth, 2003; Holgersen & Haarstad, 2009; Innes, 1996; Willson, 2001).

Communicative planning theory applies Jürgen Habermas' theory of communicative rationality (also referred to as discursive democracy) to a planning context (Healey, 1992, 1997, 2002; Innes, 1996; Willson, 2001). According to Willson,

> Habermas' theory uses four criteria to understand the rationality of communication and ideal speech. They are 1) the comprehensibility of statements, 2) the accuracy of statements (their relationship to the objective world), 3) the legitimacy of the speaker (in relationship to the social world) and 4) the sincerity of the speaker (in relationship to the speaker's subjective world) (Habermas, cited in Willson, 2001, p. 11).

The ideal of communicative planning, therefore, is to reduce barriers to communication and facilitate conditions that allow for the criteria above to be met within the planning process. Point three, which draws attention to the legitimacy of the speaker, is of particular importance when considering the involvement of marginalized voices in the planning process; the ANC process seeks to give legitimacy to voices that are not traditionally considered legitimate in planning processes.

While communicative planning theory calls for more community engagement, not all forms of public involvement are considered effective under communicative planning theory. In communicative planning, the focus of public involvement is dialogue, so effective engagement must involve two-way communication. In the words of Willson, "Communicative rationality places language as the core planning activity… [it] is the working out of claims, the interpretation of knowledge and values, and the sharing of facts and stories, while maintaining a critical self-awareness of the ground rules for communication" (Willson, 2001, p. 11).

Proponents of communicative planning theory believe that it can build a planning paradigm based in discursive democracy (Healey, 1997, 2002; Innes, 1996). However, critiques of communicative planning theory have arisen within the literature to challenge the effectiveness of this approach. Section 2.3.1 discusses some prevalent critiques of communicative planning theory.

2.3.1 Critiques of communicative planning theory

One prevalent and sustained critique of communicative planning theory is that it fails to address the practical context of power within which planning occurs (Bailey & Grossardt, 2010; Brown & Chin, 2013; Holgersen & Haarstad, 2009; Listerborn, 2008; McGurick,

2001). This critique states that socio-economic class structures perpetuate an inequitable power dynamic in planning processes (i.e., people of lower socio-economic classes have less access to the education and tools necessary to meaningfully engage in a communicative planning dialogue) (Holgersen & Haarstad, 2009). Privileging communication "at the expense of [acknowledging] wider social and economic contexts" (Hou & Kinoshita, 2007, p.303) results in a failure to recognize, and change, the systems that perpetuate power and marginalization within planning processes.

In addition to the broader social and economic contexts that structure power relations in planning, there is a tangible way in which the sponsors of engagement activities are afforded power over the citizen participants in these activities. In many instances the state (i.e., government) is the sponsor of engagement activities, and, therefore, the state unequally directs the conversation by selecting if, when, and how citizens are invited to participate, and who is given relevant information to meaningfully participate in the engagement activities. The critique suggests that "many participation processes are state run... and the fundamental discourse remains that of the state, not of the communities it seeks to engage" (Sorenson & Sagris, 2010, p. 299; Mathers, Parry, & Jones, 2008). According to this critique, because government representatives (rather than the citizen users of space) facilitate public engagement activities, communicative planning can never truly be participatory, discursive democracy.

In addition to the state power that influences public engagement in planning, planning professionals have also attainted a degree of power that informs the equity of planning processes. Planning professionals often use complex, professionalized language to conceptualize planning processes, and some citizens face barriers to understanding and

communicating in this language. Therefore, some citizens face barriers to contributing to planning processes, because there is an expectation that they will participate using the language of the planning profession. Because professional planners are primarily in charge of facilitating engagement opportunities, they occupy a place of inherent privilege as the facilitators of communication, and the language and tools they are accustomed to prevail over the language that citizens may wish use to communicate their lived experiences (Brown & Chin, 2013; Hoehner et al., 2003; Holgersen & Haarstad, 2009; Listerborn, 2008; Willson, 2001).

Another critique of communicative planning theory is that promotion of the communicative ideal can be used to mask the advancement of neoliberal ideology in planning. Some scholars assert that neoliberalism (i.e., liberal market-driven capitalism) is hegemonic in planning, and thus planning processes are a mechanism to translate neoliberal ideology into physical spaces that prioritize privatization and market-driven development approaches (Roy, 2015; Farhat, 2014; Gunder, 2010; Perkins, 2013; Sager, 2014; Purcell, 2009). According to Gunder (2010) communicative planning can uphold neoliberal ideologies in planning:

> [communicative] planning has been deployed… with a promised focus on ensuring local community inclusion; this has, at best, resulted in an 'inclusion' that largely depoliticized conflict, neutralized dissent, and legitimized the values of both government and private-sector pro-development interests (p. 302).

Neoliberal ideology, I argue, is an underlying cause of the economic and social marginalization experienced by residents of the Stewart Street neighbourhood. Therefore,

this critique is concerning to me because it suggests communicative planning reproduces an ideology that further engrains this marginalization.

However, Sager (2015), finds that neoliberalism, while present in communicative planning, is not hegemonic. He employs a case-study approach to examine the ideological traces that are found in communicative planning processes and outcomes, and finds that neoliberalism is not a hegemonic force. He asks, "Are [critical bottom-up planning initiatives] predetermined to unintentionally serve neoliberal interests, or do at least some of them have the potential to engender real political change?" (Sager, 2015, p. 269). Sager finds three dominant ideological underpinnings in the municipal plans he examined. These include neoliberalism, participatory democracy, and environmentalism (Sager, 2015). He writes,

> The strategic municipal plans do not suggest that neoliberalism has a strong position among politicians and planners in Trondheim. They do show, however, that the longstanding goal of pursuing economic growth as a road to prosperity has been coupled to newer ideas that are common elements of neo-liberal urban policy… [including] public–private co-operation, city marketing, attracting the 'creative class', encouraging individual responsibility and emphasizing participation as consumers and clients instead of as citizens…. Nevertheless, the ideologies of participatory democracy and environmentalism are also easily recognizable in the goals and objectives of the strategic municipal plans (Sager, 2015, pp. 284-285).

Sager's work is supported by a school of thought which suggests that neoliberalism is not the sole hegemonic ideology in planning (Baptista, 2013; Parnell & Robinson, 2012) and that "to cast planning as having been neoliberalised is an over-simplification" (McGurick, 2005, p. 67 qtd. in Sager, 2015). Shevallar, Johnson, & Lyons (2015) consider community-based coalitions (similar to the one found in the ANC project) as a means to empower communities and respond to the constraints of planning within a neoliberal policy setting, and emphasize other ideological discourses, such as direct democracy and environmentalism. Nevertheless, in this thesis, it is important to be aware of the potential for communicative planning to reproduce neoliberal ideologies, and to consider how differing ideological underpinnings inform the planning process.

Henk Voogd (2001) introduces social dilemma theory to frame a fourth critique of communicative planning theory (Bailey & Grossardt, 2010; Blanchet-Cohen, 2015; Voogd, 2001). Voogd's critique, which he calls the *communicative planning paradox,* states that "conflicts between individual self-interest and group interest could not be resolved by communicative planning approaches" (Bailey & Grossardt, 2010, p. 69) because a mechanism does not exist with which to incentivize individuals for protecting the interests of broader society (Bailey & Grossardt, 2010; Blanchet-Cohen, 2015; Voogd, 2001). Therefore the protection of group interests requires a guiding body, which Voogd suggests is often the state (Voogd, 2001). The paradox, then, is that while communicative, bottom-up planning approaches are more equitable, they are not viable because "top-down" approaches are needed to protect collective interest (i.e., if individuals are given more voice in the planning process, they will prioritize their personal interests, and collective interest will suffer) (Voogd, 2001; Blanchet-Cohen,

2015). Governments are often the guiding body tasked with building collective interest, and, therefore, the role (and power) of the government in planning processes is necessary to safeguard the interests of broader society.

Blanchet-Cohen, however, challenges the *communicative planning paradox* by suggesting that community-based organizations, rather than governments, can build collective interest, while remaining an effective channel to engage citizens in a communicative planning process (Blanchet-Cohen, 2015). Blanchet-Cohen uses the Green, Active, and Healthy Neighbourhoods program in Montréal (which the national network of ANC projects is based on) to examine how community organizations can "activate citizen engagement" through four primary dimensions: "1) Mobilization to generate awareness and interest; 2) Giving voice to problems and solutions; 3) Pooling citizen and professional expertise; 4) Maintaining participation and implementation" (Blanchet-Cohen, 2015, p. 269). By mobilizing citizens, pooling expertise, and maintaining citizen participation, community organizations become a tool for building collective interest, while occupying a more power-neutral position in the planning process (relative to governments).

Cohen-Blankshtain, Ron, & Perez (2013) also examine the role of NGOs in facilitating participatory planning, noting that NGO's are often "a driving force in demanding participation processes, experimenting with and inventing a range of new participatory mechanisms" (p. 62). They discuss two forms of power present in planning processes: one form of power is the "official administrative authority of the state" to initiate and approve planning processes, while the other form of power is the capacity of community organizations to empower citizens, collectivize interest, and build capacity

within the community (Cohen-Blankshtain et al., 2013, p. 62). NGOs, the authors suggest, can be a meaningful broker of power, because they exist "at the juncture of the two different mediums of power, and that the NGOs' role can be understood as one of exchanging between the two mediums" (Cohen-Blankshtain et al., 2013, p. 62).

Sorenson and Sagaris (2010) also find that community organizations play a critical role in facilitating meaningful public participation processes. They suggest that public participation can be "either a valuable and in-need-of-improvement planning tool, or a deeply troubling manipulative process" (Sorenson & Sagris, 2010, p. 298), and that one way to improve the process and ensure that it is less manipulative is to undertake planning processes that are led by citizens' groups (i.e., community organizations or neighbourhood associations). This is because citizens' groups are autonomous and self-managed, and have their own defined set of goals, separate from the interests of governments (Sorenson & Sagris, 2010). They can be an effective tool in fostering skill development and creating opportunities for people to engage in planning, while building collective power amongst citizens (Sorenson & Sagris, 2010).

Sorenson and Sagris also suggest that the neighbourhood-level (defined as an area of approximately one-square mile) is an appropriate scale for participatory planning exercises. The face-to-face connections and shared daily experiences of people living in a neighbourhood help build common goals and communal respect, create spaces of communication, and foster communities of learning (Sorenson & Sagris, 2010, p. 301), making it relatively easier for community organizations, neighbourhood associations, and community groups to build collective goals and empower citizens to participate in planning processes.

In addition to addressing the *communicative planning paradox* by creating an alternative mechanism to build collective interest, the community-led participatory planning approach explored by Blanchet-Cohen, Cohen-Blankshtain et al., and Sorensen and Sagaris addresses the other critiques of communicative planning theory. Recalling Arnstein's classification of *partnership* as a "power sharing" method of public participation (Arnstein, 1969), grounding communicative planning practice in a partnership between citizens, community organizations, and governments can help to expose the power context, and lead to a more equitable distribution of power. Situating community organizations as sponsors or co-sponsors of engagement opportunities can also lessen the power imbalances arising from state-sponsored community engagement, and can lead to the creation of engagement events that are accessible to a diversity of community members, and place greater value on community knowledge and expertise.

2.4 Situating the Stewart Street ANC project

While my primary research specifically evaluates the Stewart Street ANC project, this work is situated within the public participation and communicative planning literature. The ANC project structure follows a partnership model of engagement, which Bailey and Grossardt (2010) find is the ideal level of engagment for transportation planning and Arnstein (1969) suggests is a form of power sharing between citizens and governments. Similar to the Green, Active, and Healthy Neighbourhoods program explored by Blanchet-Cohen (2015), a partnership-based approach to engaging the community in planning, in which NGOs build collective interest, can mitigate some of the critiques of communicative planning theory, while maintaining a participatory and discursive element. As suggested by Sorenson and Sagaris (2010), the ANC project operates at the

neighbourhood level, and uses goals defined by the community to guide the participatory planning process, which mitigates the critiques of communicative planning theory by situating power with community groups.

In addition to the ways in which the ANC project responds to the critiques of communicative planning theory, the project also prioritizes the inclusion of marginalized community members. Involving youth, older adults, people with disabilities, and low-income community members in planning exercises works to shift the legacy of marginalization experienced by certain populations (Holgersen & Haarstad, 2009; Listerborn, 2008) and create access to the planning process for those that are historically marginalized.

The following chapters evaluate the ANC process, and find that the community-led neighbourhood participatory planning approach employed in the ANC project is effective based on community-defined evaluation criteria. Because the evaluation finds the approach is effective, I also provide strategic recommendations to expand the ANC participatory planning approach in Peterborough.

Chapter 3 Research Approach

3.1 Research design

This study employs a community-based qualitative case study approach to explore, in depth, the Active Neighbourhoods Canada project (Creswell, 2003, p. 15). The study also employs a participatory evaluation approach, which is an evaluation approach characterized by the ongoing involvement of all stakeholders in the design, implementation, and interpretation of evaluation activities (Campilan, 2000; Chouinard, 2013; El Ansari, 2005; Guijt, 2014; Guijt & Gaventa, 1998; Plottu & Plottu, 2011; Sette, 2016).

The purpose of the study was to understand the efficacy of the ANC project approach, and to use the project as a context to explore participatory planning as an emerging field of interest in Peterborough. Further, the study was designed to understand the barriers to integrating participatory planning into municipal planning contexts, and to work with planning professionals to develop a set of strategies to incorporate participatory planning into municipal processes in Peterborough, Ontario.

A single-case design was employed, because the study was community-based and responsive to a particular local context, and therefore explored phenomena that are unique to this particular case (Yin, 1994). Qualitative approaches were selected because this type of inquiry allows the researcher to "explore new phenomena and to capture individuals' thoughts, feelings, or interpretations of meaning and process" (Given, 2008, p. xxix). Thus, qualitative inquiry is appropriate to explore the newly emerging field of participatory urban planning.

3.2 Participatory Evaluation

Given the community-led and communicative approach to planning employed during the ANC process, the design of my research employs a participatory evaluation approach. Participatory evaluation is characterized by involving all key stakeholders, including local residents, in the process of designing, implementing, and interpreting the results of the evaluation process (Campilan, 2000; Chouinard, 2013; El Ansari, 2005; Guijt, 2014; Guijt & Gaventa, 1998; Plottu & Plottu, 2011; Sette, 2016). Participatory evaluation, much like participatory planning, focuses on the integration of local knowledge and the inclusion of voices traditionally left out of evaluation processes. Therefore, the underlying principles of participatory evaluation reflect the principles and values of the ANC project, so I felt that participatory evaluation was the most effective and context-sensitive evaluation approach to apply within this research.

Participatory evaluation differs from conventional evaluation in several key ways, including: "why the evaluation is being conducted, how the evaluation is done, who is doing the evaluation, what is being evaluated, and for whom the evaluation is being done" (Campilan, 2000, p. 40; Sette, 2016). Within a conventional evaluation approach, the evaluation is most often being conducted by external "expert" evaluators for funders and program monitors, for reasons related to accountability, or as a way "to legitimize… activities, ensure cost-effectiveness, and enhance managerial decision making" (Chouinard, 2013, p. 238; Campilan, 2000; Sette, 2016). In contrast, participatory evaluation is conducted by project participants and stakeholders, and involves all stakeholders in deciding collaboratively how progress should be measured, which

indicators should be used to determine program efficacy, and how evaluation results should be interpreted and used (Guijt & Gaventa, 1998; Campilan, 2000; Guijt, 2014; Sette, 2016, Chouinard, 2013). The results of a participatory evaluation are intended for use by local project partners and community members, rather than for the use of external monitoring agencies.

Since participatory evaluation processes are community-driven, the specific criteria and methods applied during the evaluation will differ from context-to-context. This allows flexibility for the evaluation to address the particular needs identified by the community, and allows the participants to dictate which processes, criteria, and indicators they find relevant to meet their objectives. In addition, this context-specific approach to evaluation allows for the prioritization of local knowledge in the development and implementation of the evaluation strategy, which results in the inclusion of a more well-rounded, inclusive, and broad-base of knowledge within the process (Campilan, 2000; Chouinard, 2000; Guijt, 2014). Campilan (2000) suggests that another benefit of participatory evaluation is that it is more ethically sound than conventional external evaluation, because it directly engages the people that are most impacted by program and evaluation outcomes (Campilan, 2000, p. 43).

Within this research, I have applied the principles of participatory evaluation throughout the development, implementation, and interpretation of the evaluation activities. The research methods and the evaluation process were developed in collaboration with the other members of the ANC steering committee, and the results of

the evaluation are intended for the steering committee and neighbourhood residents to use in understanding program impacts, and in refining the participatory planning approach for future use in the Peterborough community. The *Project Theory of Change* document, which guided my evaluative research, was also developed through a participatory process led by the project coordinator, with robust participation from the ANC steering committee. Furthermore, as will be discussed in section 3.3.2, my research uses user-defined evaluation criteria (Brown & Chin, 2013), which were developed collaboratively by Stewart Street neighborhood residents, to evaluate the ANC process and outcomes. Subsequent sections will detail the specific methods employed within my research approach, and will highlight how different stakeholders were engaged in the participatory evaluation of the Stewart Street ANC project.

3.3 Methods

Within the participatory evaluation case study, methods of inquiry include embedded participant-research and focus groups (Creswell, 2003; Given, 2008), which were conducted using participatory action research methods [PAR] (Chevalier & Buckles, 2013). The subsequent sections will elaborate on each of these approaches.

3.3.1 Embedded participant-research

From the onset of the ANC project, I have been embedded in the project as a steering committee participant, and my role as a project participant is primary, and my research and observation role is secondary (Creswell, 2003, p. 186). I was recruited as a researcher to the steering committee as it was being formed, so my role as a researcher was transparent to all other steering committee members and project partners from the

beginning of the project. All steering committee members signed an informed consent form, approved by the Trent University Research Ethics Board [see Research Ethics Board Consent Form, Appendix 3].

In my role as an embedded participant researcher, I supported the project in multiple capacities over a twenty-four month period, from May 2014 to May 2016. I sat on the project steering committee, and attended a total of eighteen steering committee meetings. I also helped to coordinate and facilitate a total of fourteen ANC engagement events (see section 3.2.2.1 for examples), which engaged an estimated total of 500 community members. During several of these engagement activities, I helped collect data that contributed to the development of the *Portrait of the Stewart Street Neighbourhood* and *Vision for the Stewart Street Neighbourhood* documents, which were the two primary project outputs. I also supported a team of Ryerson University Masters of Planning students, who helped develop the *Vision* document for their client-based final studio course. I attended four meetings at Ryerson University, coordinated one neighbourhood walk-about with the Ryerson studio team, and supported the students in developing and hosting one citizen's forum engagement event. In addition, I presented about the project at a total of three conferences, five local events, and one national ANC community of practice meeting. I also attended a total of three ANC evaluation sub-committee meetings, in order to align my research and evaluation goals with the project needs. Lastly, I facilitated a total of four focus groups, which represent a portion of the data collected for this thesis, and will be discussed in greater depth in subsequent sections. See *Appendix 4* for a chronological log of my participation in ANC events and activities.

Throughout my sustained participation in the project, I have been observing, discussing, and engaging with emerging trends, tensions, successes, and challenges in the project. This method of inquiry provides several advantages to the study. Foremost, my ongoing role in the ANC project developed a level of trust and rapport between myself, the other steering committee members, and the residents of the Stewart Street neighbourhood. This was advantageous, because it created a level of comfort that allowed participants to express themselves freely in my presence (Creswell, 2003). Thus, it allowed me, as the researcher, to participate in "exploring topics that may be uncomfortable for participants to discuss" (Creswell, 2013, p. 186), and it allowed me to observe unusual or unexpected elements of the project as they unfolded. This approach also gave me a nuanced and intimate understanding of the ANC case, which provided a rich interpretation of the results.

This approach, however, also had some limitations. The inter-personal relationships that I developed with my fellow steering committee members (i.e., research participants) made it challenging, at times, for me to express critical reflections on the project and the processes we undertook collectively[4]. Similarly, I feel that it was challenging, at times, for research participants to express their criticisms of the process or of my role in the project. The extent to which I was embedded in the project created a lack of separation between the research participants and myself, which carries both advantages and limitations. To address the limitations of this approach, I have worked to

[4] For example, it has been challenging for me to openly discuss instances in which I have observed the ANC project perpetuating inequitable power relations, because I am sensitive the emotional impacts of calling out someone's behaviours, or harming the group dynamic. I will discuss these instances in greater depth in subsequent chapters.

represent my observations fully and accurately in this thesis, and have also supplemented my participant-observation with four participatory action research focus groups, which have generated additional data sets.

3.3.2 Focus groups

A series of four focus groups were conducted as a part of the research [see Research Ethics Board Consent Form, 3].

Two focus groups separately targeted neighbourhood residents and ANC steering committee members to evaluate the participatory planning practices employed in the first two phases of the ANC project, in order to address research questions 1 and 1a:

1) Is the participatory planning process employed in the ANC project an effective method of engaging marginalized community members in planning, based on evaluation criteria generated by Stewart Street neighbourhood residents and validated by the literature?
    a. Of the participatory planning activities undertaken during the ANC process, which engagement activities are perceived as most effective, from the perspectives of:
        i. Stewart Street neighbourhood residents; and
        ii. The Stewart Street ANC project steering committee?

A second set of two focus groups engaged professional planners and City of Peterborough staff people in order to understand the benefits of participatory planning to the planning profession, and to discuss the barriers and enablers to incorporating participatory planning into professional practice, in response to question 2:

2) How can professional planners benefit from using participatory planning processes, and what are the barriers and enablers to incorporating participatory planning processes into professional practice?

These two focus groups also provided a foundation to suggest strategies to incorporate participatory planning approaches into City of Peterborough planning processes, in order to address question three:

3) What are some recommendations to operationalize participatory planning processes in the municipality of Peterborough, Ontario?

All of the focus groups employed participatory action research methods, which are methods "characterized by three key qualities: (1) a focus on problem solving, (2) an emergent nature, and (3) a collaborative effort between researchers and participants" (Davis, 2008, p. 139). Given the community-based and participatory nature of the ANC project, and the diverse backgrounds of research participants, participatory action research methods were selected in order to create a research approach that was collaborative, reflective of the project goals, and accessible to all participants (Chevalier & Buckles, 2013a; Chevalier & Buckles, 2013b; Davis, 2008). The specific methods and process employed for each focus group were developed in collaboration with the ANC Steering Committee Evaluation Sub-Committee. The methods used in each focus group are outlined below.

3.3.2.1 Neighbourhood resident focus group

The purpose of the resident focus group was to generate a set of user-based evaluation criteria, and to use these criteria to assess the residents' perceived effectiveness of the participatory planning activities offered within the first two phases of the ANC project[5].

The prerequisites to participate in the focus group were that: a) participants lived within the Stewart Street neighbourhood, and b) had participated in a majority (at least four) of the ANC portrait phase activities. Participants were identified using a snowball sampling method, which "uses a small pool of initial informants to nominate other participants who meet the eligibility criteria for a study" (Morgan, 2008, p. 815). A neighbourhood resident that sits on the ANC steering committee and evaluation subcommittee was the key informant from whom the resident participants were identified. The key informant and I invited individual participants, via a paper invitation delivered door-to-door to approximately 15 individuals who met the eligibility criteria. The focus group took place on December 1, 2015, and lasted for a two-hour duration. Food and childcare were provided as incentives to participate, and to increase the accessibility of the event. Six eligible participants attended the focus group, and informed consent was sought at the onset of the session. Figure 3 shows the invitation that was handed out door-to-door.

[5] Due to the time constraints of my academic program, I was not able to conduct a summative evaluation of all three phases of the ANC project. Therefore, this evaluation focuses on the first phase (building the community portrait) and second phase (building the community vision).

Figure 3: Invitation to the resident focus group

The focus group started with a review of the specific participatory planning activities undertaken during the ANC portrait and vision phases, along with a presentation of the *Portrait of the Stewart Street Neighbourhood* document. For

reference, the activities undertaken during these two phases and evaluated during the focus group are as follows:

1. **Community Asset Map:** Using a tabletop sized three-dimensional scaled neighbourhood model, participants in this activity were invited to identify areas of significance in their neighbourhood. By placing push pins of various colours, participants identified places where they: shop, play, live, work, feel proud of, or feel afraid of. The map was also used to identify roads that people frequently use to commute to work or school. The goal of the activity was to create a visual representation of the assets and infrastructure gaps in the neighbourhood. The community asset mapping activity was present at various neighbourhood events from February 2015 to October 2015. In total, this activity engaged an estimated 250 community members. Figures 4 and 5 are photos of the three-dimensional map, populated with pins from various community engagement activities.

Figure 4: Three-dimensional asset map

Figure 5: A community member engages with the asset mapping activity

2. **Street and Travel Survey:** The street and travel survey was used to identify travel patterns in the neighbourhood. The goal of this activity was to illustrate strengths and weaknesses in active transportation infrastructure in the neighbourhood, from the perspective of community members that frequently use the infrastructure. The survey also sought to understand some relevant demographic information in the neighbourhood, including age, home ownership rates, and vehicle ownership rates. The survey was administered by ANC steering committee members (including me) at community events between February 2015 and September 2015, and was also administered door-to-door in the neighbourhood. In total, this activity engaged 87 community members. While the survey results are not statistically significant, they informed the *Portrait of the Stewart Street Neighbourhood* document, and gave locally relevant information to supplement more robust data sets in the development of the *Portrait* document (i.e., the Census and Transportation Tomorrow Survey data).
3. **Stewart Street Play Streets Event:** Stewart Streets Play Streets was an ANC-led event in which a section of Stewart Street was closed to vehicular traffic for a Saturday afternoon. In lieu of vehicular traffic, the street was used for a variety of things to see and do, including: a pilot cycle track, a kids' bike playground, a kids' bike swap, a community garden party with performance art, a free barbeque, the ANC community asset map activity, having people complete the ANC street and travel survey, and giving free bike helmets to low-income youths. The intention of the activity was to celebrate public space, reclaim space that is often occupied by vehicles, and illuminate infrastructure possibilities (i.e., putting a

cycle track on Stewart Street). The event occurred in late May 2015, and (despite rainy and cold weather) an estimated 200 community members participated in the event. Figure 6 shows a child enjoying the Play Streets event.

Figure 6: A child enjoys the Play Streets event

4. **Ontario Professional Planners' Institute Workshop:** The Ontario Professional Planners' Institute [OPPI] was an ANC-lead full-day professional development workshop offered to OPPI members in the Lakeland District (Peterborough and surrounding areas). This event was the first time that the project directly engaged professional planners. The day consisted of a resident-led neighbourhood walk-about, a presentation on the participatory planning approach applied in the ANC national projects, a presentation on the local ANC project, and a focus group

activity [conducted as part of this research]. The event took place in June 2015, and engaged 6 community members and 17 professionals.

5. **Cyclist, Pedestrian, and Park Counts:** The cyclist, pedestrian, and park counts were used to benchmark active transportation rates and park use in the neighbourhood. The counts provide the ANC Steering Committee with baseline pre-intervention data, which can be used as a point of comparison in the future. The cyclist and pedestrian counts were conducted using the National Bicycle and Pedestrian Documentation Project approach[6], which is also applied to Peterborough's citywide cyclist and pedestrian counts. Therefore, these data can also be used for citywide comparison. This activity engaged 8 counters, and indirectly included 125 cyclists, pedestrians, and park users who were counted. Some of the people counted during this process stopped to speak with the counters and learn more about the ANC project. The counts took place in June 2015, and I was engaged as one of the counters.
6. **Community Photo Portraits:** At a community garden harvest party in September, 2015, the Active Neighbourhoods Canada project set up a photo booth in which neighbourhood residents were invited to write a sentence about what they loved about their neighbourhood on a dry-erase board, and have their photograph taken with their statement. The objectives of the activity were to get a qualitative understanding of the perceived strengths and assets in the neighbourhood, and to create an accessible opportunity to engage children and

[6] See: http://bikepeddocumentation.org/ for details on the National Bicycle and Pedestrian Documentation Project approach.

youth. Approximately 30 residents participated in the activity, most of whom (approximately 20) were children and youth. Figure 7 is a sample photo portrait.

Figure 7: A sample photo portrait

7. **Community and Professional Design Workshop [referred to herein as Design Workshop]:** The community and professional design workshop was a half-day event in which community members and professional planners were invited to

review the *Portrait of the Stewart Street Neighbourhood* and collaboratively propose design interventions to improve infrastructure in the neighbourhood. This event represented the culmination of the portrait phase, and was the first time that the portrait document was presented to the public. The event occurred in November 2015, and engaged 5 community members and 35 professionals.

Focus group participants were reminded of the full list of portrait and vision phase activities, and they were then guided through a free-list and pile-sort activity (Chevalier & Buckles, 2013, p. 39) to generate a set of user-based evaluation criteria[7]. Participants were asked the question: As a neighbourhood resident, what do you think makes a community engagement process meaningful and effective? Each participant was prompted to brainstorm three short responses (5 words or less) to the question. Then, they were invited to share their responses with the group. If a resident's response was similar to a previously presented response, they sorted their answer into a category with the previous response, thus allowing criteria to be organized conceptually and validated by the participants.

[7] Within the public participation evaluation literature, evaluation criteria can either be user-based or theory-based (Brown & Chin, 2013; Laurian & Shaw, 2008, Chess, 2010). User-based criteria were selected for this study, because they "can be tailored to each unique case study" (Brown & Chin, 2013, p. 570), and they also prioritize user-experience, which is in line with the community-driven ethic of the ANC project. Thus, the resident focus group was used to define the criteria that were used in the subsequent evaluations.

Following the free-list and pile-sort activity, I facilitated a group discussion in which I introduced some evaluation criteria from the literature[8] that filled potential gaps in the criteria generated by the participants. The participants reviewed and discussed these criteria, and chose to add some to their list, and to discard others. Then, participants broke the criteria into two categories, one related to the *engagement* process, and one related to the *impact* of the activity outcomes. These two categories reflect a frequently-used breakdown of criteria based on process and outcome factors (e.g., Brown & Chin, 2013; G. Rowe & Frewer, 2000), but residents chose to frame them instead as *engagement* and *impact* criteria.

Next, a rating and negotiation activity (Chevalier & Buckles, 2013, pp. 43, 103) was used to rate each ANC engagement activity relative to each criterion. A pre-established Likert scale of -5 to +5 was introduced as the rating scale. The points of reference along the Likert scale are reflected in Figure 8.

-5: (Lowest score) The activity felt useless or disempowering. It definitely does not meet the criterion.

0: (Neutral score) The activity doesn't fully meet the criterion, but it did not have a negative impact relative to the criterion.

+5: (High score) The activity felt very engaging or impactful. It meets the criterion to the fullest extent.

Figure 8: Likert scale for evaluating activities

Two grids were taped on to the table, one that positioned the activities relative to the engagement criteria, and one that positioned the activities relative to the outcome criteria. A sample grid is shown in Figure 9.

[8] See **Table 2:** Criteria to evaluate public participation (Brown & Chin, 2013 pp. 565-566).

Figure 9: Sample evaluation grid

The group worked together to rate each activity relative to each criterion. The rating numbers were written on the front of cue cards and inserted into the grid. Detailed thoughts or comments about the activity were captured on the back of the cue card. In instances of disagreement, I facilitated a discussion to help build consensus. The ratings were validated by consensus of the group. Following the focus group, I calculated an average and a total score for each activity and criterion and these are presented in the results.

3.3.2.2 ANC Steering Committee Focus Group

The ANC steering committee focus group also evaluated the portrait and vision phase activities, and served as a point of comparison between the perceived effectiveness of the

activities according to the participants (i.e., residents) and those designing and delivering the activities (i.e., the ANC steering committee).

All members of the ANC steering committee were invited to participate in the focus group. A total of ten steering committee members attended this focus group and each of the steering committee partner organizations outlined in section 2.1 were represented. The focus group took place as a part of a regular ANC steering committee meeting, and participants were reminded that they were invited, but not obligated, to participate. Informed consent was sought at the onset of the session. Two of the steering committee focus group participants were also neighbourhood residents, and were in attendance at the resident focus group. This overlap in participants proved helpful for interpreting the resident-defined evaluation criteria and maintaining consistency in the interpretation of the Likert scale. The focus group took place on January 15, 2016, and lasted for one-and-a-half hours.

This focus group began with a presentation of the user-defined evaluation criteria generated in the resident focus group. The session then followed a similar format to the resident focus group. The participants were introduced to the established Likert scale (see Figure 8). Given the larger group size, and considering time constraints, participants chose to divide into two groups, One group considered the engagement criteria, while the other considered the impact criteria. I determined the groups prior to starting the activity, to ensure each of the sectors represented on the steering committee was also represented in each group.

Once again, two grids were taped on to the table, one that positioned the activities relative to the engagement criteria, and one that positioned the activities relative to the outcome criteria. After the groups independently considered their assigned criteria grouping, the full group came back together to validate the results of the ratings derived from the smaller groups.

The groups discussed each activity, and rated each activity relative to the criteria. I served the role of a floating facilitator, available to answer questions as they arose. One note taker was positioned with each group to capture qualitative comments on the ratings. The groups worked to build consensus, and to fill in the grid with ratings on the front of cue cards and additional comments on the reverse. Figure 10 shows focus group participants discussing the ratings, and filling in the evaluation grids.

Figure 10: Focus group participants discuss activity ratings

Once each small group completed their grid, the full group reconvened. The engagement criteria group shared their results with the impact criteria group, and vice-

versa. A discussion was facilitated to validate the ratings, and adjustments were made to the ratings accordingly. Following the focus group, I calculated an average and a total score for each activity and criterion.

3.3.2.3 Ontario Professional Planners Institute focus group

I held a focus group with members of the Ontario Professional Planners' Institute (OPPI) in order to collect data to understand: a) the benefits of including participatory planning approaches in professional practice; b) the barriers to integrating participatory planning into professional practice; and c) strategies to integrate participatory planning.

This focus group was part of a full-day professional development workshop offered by OPPI, and was organized by the ANC steering committee. The workshop took place on June 18, 2015, and the focus group portion of the workshop lasted for a one-and-a-half hour duration. This workshop explored the ANC project and the inclusion of participatory planning practices in professional planning practice. The professional development opportunity was offered to any OPPI member in the Lakeland District, and the focus group sample consisted of OPPI members that self-selected to attend the workshop. See Appendix 5 for a copy of the invitation to the OPPI workshop, sent out to OPPI Lakeland District members.

The day consisted of a resident-led neighbourhood walk-about, a presentation on the participatory planning approach applied in the national ANC projects, a presentation on the local ANC project and neighbourhood context, and the focus group activity. Seventeen OPPI members participated in the focus group, representing the following sectors: Lower tier municipality (n=5), upper tier municipality (n=2), provincial civil

servant (n=1), private planning consultant (n=2), undergraduate planning student (n=1), public health (n=3), and not-for-profit (n=3). Informed consent was sought at the onset of the focus group.

The first research activity was a free-list and pile-sort (Chevalier & Buckles, 2013, p. 39). Participants were divided into small groups of 3-5, and reflected on the question: *How could incorporating citizen knowledge through participatory planning contribute to your work as planners?* Each group discussed the question, and arrived at a consensus on their top three responses. When the groups came back together, each group presented their three responses, and sorted the responses into piles based on similarity. A discussion was facilitated to help participants categorically sort their responses, and peer-validate the groupings. The activity resulted in responses to the question that were categorically separated by focus group participants through a participatory process, rather than categorically coded and group by me after the focus group.

Next, as a full group, participants were guided through a discussion that used a blue-sky thinking, or ideal scenario framework (Chevalier & Buckles, 2013, pp. 97–100) to determine the conditions necessary to meaningfully include participatory approaches in professional planning practice. Participants were invited to imagine that no barriers existed to achieving the ideal outcome (which, in this case, was the integration of participatory planning in professional practice). The guiding question for this discussion was: *Given no restrictions, what are the ideal conditions that could allow citizen knowledge to be included in planning processes?*

After this discussion, participants were guided through an activity to identify barriers to integrating participatory planning in professional practice. This activity used a

sabotage approach, the purpose of which is "to identify and overcome habits, established patterns, doubts, fears and other barriers to success, with a touch of humour" (Chevalier & Buckles, 2013, p. 100). Reflecting on the conversation about the ideal conditions to enhance public engagement in planning, the group considered the reality that many planners are operating within. In the same small groups as the previous activity, participants considered all of the possible ways that the goal of including participatory planning in professional practice could fail. They were guided by the questions: *What are the primary reasons that participatory planning fails to be included in many public engagement processes? What are the barriers we face to creating our ideal scenario?*

Groups came to consensus on their 3 to 5 top responses to the questions. Then, the small groups reconvened and each group presented their ideas. The full group collectively discussed their responses, and sorted responses into piles (i.e., categories), resulting in peer-validated groupings.

Lastly, looking at the specific barriers identified during the sabotage activity, participants reflected on the following question: *Of these areas, where could the planning profession most readily take action to reduce barriers to participatory planning?* Prior to leaving the workshop, each individual participant wrote 1-3 responses to the question, and posted it next to the specific barrier it addressed. This activity did not occur as a part of the group discussion due to time constraints, the process used for this activity allowed for the actions identified to correlate directly with the peer-validated barrier categories identified in the previous activity.

3.3.2.4 City staff focus group

The City staff focus group engaged employees of the City of Peterborough. The goal of the session was to understand the feasibility of sustaining the ANC participatory planning approach, by integrating the approach with municipal planning practices. A snowball sample method was used to identify participants (Morgan, 2008, p. 815). A City of Peterborough staff person that sits on the ANC steering committee was the key informant with whom the list of invitees was developed. Invitations were sent via email to a list of eleven focus group invitees. See Appendix 6 for the text of the email invitation sent out to focus group participants. A total of nine staff people from the following Divisions participated in the focus group: Planning (n=4), Transportation (n=2), Social Services (n=1), Housing (n=1), Corporate services –accessibility compliance (n=1). The focus group took place on April 5, 2016, and lasted for one-and-a-half hours. Informed consent was sought at the onset of the session.

The focus group began with an overview of the ANC project. I presented some of the results of the previous three focus groups, so that the data collected in this focus group built off of the results of previous research and provided a new and more focused set of data. This presentation included an overview of the barriers to participatory planning identified in the OPPI focus group.

After the presentation, participants were presented with a pre-determined list of actions to:

1. Sustain the ANC project approach, and
2. Reduce the barriers identified in the OPPI focus group.

The pre-determined list of actions were identified by myself, and reviewed and approved by members of the ANC evaluation sub-committee. The actions related directly to the

barriers identified in the OPPI focus group, and were developed in advance of the City staff focus group in order to evaluate specific actions, rather than duplicate the information gathered at the OPPI focus group.

Participants discussed the feasibility of the City of Peterborough undertaking each action, and the amount of contribution required from the City to achieve the action. Participants then worked collaboratively to discuss the actions, and plot each action on a Cartesian grid, with axes representing contribution and feasibility (Chevalier & Buckles, 2013, p.113). By positioning the actions within this grid, focus group participants arrived at a consensus around the feasibility of each action, and the general level of resource contribution required to initiate and sustain the action. Once the actions were plotted on the grid, participants divided themselves into two groups to examine the means and ends of particular actions in greater depth. Each group completed a tree of means and ends (Chevalier & Buckles, 2013, p. 99) to examine the necessary inputs (means) to achieve the desired action, and the predicted result (ends).

3.4 Methodological limitations

Embedded participant-observation and participatory action research methods were selected because they aligned with the participatory principles of the ANC project, and provided robust information to answer the research questions. The results and recommendations generated in this research respond to a specific local context, and prioritize local situated knowledges. This process has intentionally included local voices, including those of marginalized individuals, in determining the research methods, process, and relevant outputs. I feel that this has provided tangible benefits to the Stewart Street Neighbourhood, and has helped to build capacity and knowledge within the

community. Although participatory evaluation processes are tailored to specific communities, the process undertaken in this work could also support other communities in designing and implementing similar participatory evaluation projects. While I feel that participatory evaluation, embedded participant research, and participatory action focus groups were the best methods to respond to the research needs, these methods have several limitations worth noting.

First, as with most qualitative research, researcher bias can influence the collection of data and interpretation of results (Given, 2008; Creswell, 2003). With an embedded participant-research approach, the intimate connection between the researcher and the researched can contribute to the researcher's biases having a greater influence, because the researcher plays an active role in guiding the project agenda. While researcher bias can be viewed as compromising objectivity in the research process, Ogdon (2008) writes,

> Many researchers anguish over the dilemma of doing research that is either impartial and neutral or firmly grounded in a value position. Howard Becker has argued that this dilemma does not exist because researchers are not value-free, and therefore, personal and political views will enter a research agenda. The real imperative is for researchers to be aware of their values and predispositions and to acknowledge them as inseparable to the research process…researchers manage bias by being self-aware of their values and assumptions, looking for contradictory data, and being open to alternative interpretations of their data. (p. 61)

In section 2.1.3, I have outlined the underlying assumptions that guided the work in the ANC project. I helped to generate this list of assumptions, along with other ANC steering committee members, and I acknowledge them as values that I hold as the researcher. While these assumptions may influence the interpretation of data, I feel that the benefits of the selected methods outweigh the risk of bias, and I have worked to be self-aware of my own biases and assumptions in this research process. For example, I was explicit about my underlying assumptions surrounding the need for participatory planning approaches, and how these assumptions shaped my understanding of the ANC project and my desire to participate in the project. In addition, the methods used within the focus groups were designed to allow focus group participants to arrive at peer-validated consensus in response to the questions, and, therefore, my biases have minimal influence on the interpretation of focus group results.

A second limitation relates to the timing of this research. Due to the timelines of my academic program, I was not able to conduct a summative evaluation of all three ANC project phases. While I feel that a formative evaluation of the first two phases was a useful tool in helping to improve the participatory planning process for the third project phase, I acknowledge that this research does not represent a complete evaluation of the entire ANC participatory planning process. To respond to this limitation, some of the recommendations presented in Chapter 5 call for ongoing evaluation.

Another potential limitation relates to the generalizability of research results (Given, 2008; Yin, 1994). The single-case design employed in this research is grounded in a local context, and, given the nature of community-based research, is responsive to

the needs of a specific community. I feel that the prioritization of locally situated knoweldges, and the generation of results and conclusions that are contextually relevant, outweighs the limitation of generalizability. In addition, while results and recommendations may not be generalizable across communities, the participatory evaluation process undertaken in this research could help to guide other communities hoping to undertake similar evaluative research. This research provided value to the Stewart Street neighbourhood and to the ANC project, and I feel that participatory research and evaluation should be celebrated within community-based research, because they create space for the community to engage more actively in the research and evaluation processes. This approach was effective in creating relevant outputs that impact the local community, and I am appreciative for the ways in which I have been invited to embed in, and learn with, the ANC steering committee and the Stewart Street neighbourhood.

Chapter 4 Results

This chapter outlines the results of the four focus groups, as well as the results of my observations as an embedded participant-researcher. My participant-research observations are included as footnotes throughout the chapter, as my observations frequently occurred alongside, or as a part of, my focus group facilitation. I have chosen to footnote these observations, because I believe they should appear embedded throughout the document, as this is the most accurate representation of how they have informed my experience as a researcher and my interpretation of the focus group results.

Sections 4.1 and 4.2 respond to the first set of research questions, which seek to evaluate the ANC participatory planning approaches. As a reminder, these questions include:

1) Is the participatory planning process employed in the ANC project an effective method of engaging marginalized community members in planning, based on evaluation criteria generated by Stewart Street neighbourhood residents and validated by the literature?
    a. Of the participatory planning activities undertaken during the ANC process, which engagement activities are perceived as most effective, from the perspectives of:
        i. Stewart Street neighbourhood residents; and
        ii. The Stewart Street ANC project steering committee?

Sections 4.3 and 4.4 respond to the second set of research questions, which are:

2) How can professional planners benefit from using participatory planning processes, and what are the barriers and enablers to incorporating participatory planning processes into professional practice?
3) What are some recommendations to operationalize participatory planning processes in the municipality of Peterborough, Ontario?

4.1 Determination of evaluation criteria

Participants in the resident focus group developed a set of user-based (Brown & Chin, 2013; G. Rowe & Frewer, 2000) evaluation criteria to assess the effectiveness of the ANC portrait phase activities. These criteria were generated using a free-list and pile-sort method (Chevalier & Buckles, 2013, p. 39). Participants were asked: As a neighbourhood resident, what are some things that make a community engagement process feel meaningful and effective? After sorting responses inductively into piles of similar concepts, participants gave each category (i.e., pile) of criteria an overarching name, and split the criteria into two broad categories: engagement (related to the process used in the activity) and impact (related to the outcomes of the activity). The criteria groupings in the engagement category included: community-driven, inclusive, diverse and consistent opportunities to be involved, enjoyable, accessible, and adequate space and resources availability. The impact criteria groupings included: demonstrated results, increased understanding, increased trust, satisfaction, goals achieved, and consensus built. The individual responses contained in each criteria grouping are represented in Tables 3 and 4.

Table 3: Engagement criteria developed by residents

Community-Driven	**Inclusive**	**Diverse and consistent opportunities to be involved**	**Enjoyable**	**Accessible**	**Space and resource availability**
Seek input from participants	Representative	Diverse opportunities to be involved	It has to be an activity that interests people	Comfortable and convenient	Enough resources were available
Community-driven in both process design and implementation	Sufficient cross-section of voices	Early & consistent involvement	Fun for different ages	Accurately timed	
	Number of people involved		Community garden	Accommodating	
	Involving those effected by decisions		Food	Accessible to different ages	

Table 4: Impact criteria developed by residents

Demonstrated Results	**Increased Understanding**	**Increased Trust**	**Satisfaction**	**Goals Achieved**	**Consensus Built**
Results are demonstrated	Builds understanding [of planning principles and process]	Meeting people who want the neighbourhood to change for the better	People feel part of something bigger	Goals are well-defined	Helps build consensus in the community [shared goals and shared understanding]
Doesn't just "sit on a desktop"		Sharing stories with neighbours	Worth is demonstrated to participants	Goals are achieved	
Ability to see short- and long-term impact		Neighbours "watch out for each other"			
Sharing stories [results] after					

4.2 Resident and steering committee focus group results

The resident and steering committee focus group participants evaluated the ANC portrait and vision phase activities[9] from the perspectives of those participating in the activities (i.e., neighbourhood residents), as well as those designing and implementing the activities (i.e., steering committee members). Overall, both groups independently rated all project activities rated relatively high on all criteria; on the established Likert scale of -5 to +5, all activities and all criteria had average ratings in the positive range.[10] The activity ratings are shown in Tables 5-8. In these tables, the criteria are listed along the top row. The ANC engagement activity being evaluated is listed in the far left column. The numerical ratings given by the participants (based in the -5 to +5 Likert scale) are represented for each activity relative to criterion. The tables also include average scores for each activity and each criterion, and total scores for each activity and each criterion. All average scores are rounded to the nearest tenth of a point. In addition to the numerical ratings shown in the tables, I have provided a brief discussion of each table, which highlights some of the salient pieces of qualitative input the participants provided about the engagement activities.

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[9] See pages 43- 47 for a description of the activities evaluated.

[10] This could be influenced, in part, by the inter-personal relationships I developed with research participants throughout the course of my role as an embedded project participant and researcher. While it was not explicitly stated in either focus group, results may skew positive because people do not want to appear overly critical of the ANC process (of which I am an integral part). Other members of the steering committee may also experience this conforming bias, and may not wish to appear critical of each others' work. From the resident perspective, the tendency to rate activities positively may also be influenced by a perceived lack of agency in traditional planning processes (see Section 2.2.2). In my observation, marginalized residents may not wish to appear critical of a process that has intentionally included them, because the ANC process represents a significant shift towards a more inclusive and co-designed process (relative to traditional consultation methods). Nevertheless, it is important to note the universally high ratings for all activities, relative to all criteria.

Table 5: Engagement criteria- Resident perspective

	Community driven	Inclusive	Diverse & consistent opportunities	Enjoyable	Accessible	Space & resource	**Average score for activity**	**Total Score for Activity/ 30**
Design Workshop	5	-3	0	5	-4	5	**1.3**	**8**
Asset Map (3D map)	5	5	5	5	5	5	**5.0**	**30**
Survey	5	5	5	3	3	4	**4.2**	**25**
Photo Portraits	5	5	5	5	5	5	**5.0**	**30**
Play Street	5	5	5	5	2	5	**4.5**	**27**
Bike, Pedestrian & Park Counts	3	4	/[11]*	1	0	/*	**2.0**	**10*** two criteria omitted
OPPI Workshop	5	4	0	1	4	5	**3.2**	**19**
Average score for criteria	**4.7**	**3.6**	**3.3**	**3.6**	**2.2**	**4.8**		
Total Score for criteria/ 35	**33**	**25**	**20*** one activity omitted	**25**	**15**	**29*** one activity omitted		

A notable result of the resident perspective on the engagement criteria is the highly positive perception of the asset mapping activity, the play streets event, and the photo portrait activity. These three activities represented a substantial variation from traditional engagement methods; both the play streets event and the photo portraits occurred outdoors in public spaces, and the asset mapping activity was available on a consistent basis, at all community events over the course of five months. During each of

[11] *Residents chose not to rate the bike, pedestrian and park counts for the "Diverse & consistent opportunities" and "space and resource availability" criteria, because they felt these criteria were not applicable to this particular activity.

these activities, feedback on public space and infrastructure was collected in a relatively informal and ad-hoc manner, and residents noted that these activities were hands-on and fun. In contrast (as discussed in section 2.2), the City of Peterborough often collects feedback in a formal consultation environment. While these ANC-facilitated activities reflected a less formal pathway to resident engagement, residents found these activities to be highly engaging. Throughout my time working in with the project, I have observed that fun and informal engagement opportunities may also empower people to participate in more formal processes (i.e., if people feel welcome and excited to engage in events like Play Streets and activities like the asset mapping, they may feel more open to attending more formal engagement activities). Residents also noted that the lower score for accessibility for the Play Streets event was due to the weather during the event, not the event itself; the day was cold and rainy, which, while always a possibility for an outdoor event, reduced the accessibility of the event for some community members.

The street and travel survey also rated relatively high across all criteria, and participants noted that the value of the activity was in the process of going door-to-door, and reaching out to people at community events. A participant noted that "the process of collecting surveys and talking to people was more valuable than the survey results".

Another notable result is the relatively low scores on the "inclusive" and "accessible" criteria for the community and professional design workshop. The design workshop collected feedback in a more formal manner, and was one of the instances

during the project that residents and professionals worked together closely[12]. One resident noted that there was a "lack of equal representation between community members and professionals" and another resident noted, "the professional language was hard to understand… their [professional] knowledge was prioritized". Another criticism was that only some residents were invited to participate, and that not all residents felt prepared to meaningfully contribute to this type of workshop. Despite the perceived inaccessibility of the process, residents also noted that the process was more community-driven than other city-led engagement processes they had participated in, and that it was enjoyable for the select residents that were in attendance.

The other activity that engaged a large group of planning professionals was the Ontario Professional Planners Institute [OPPI] workshop. Residents rated this activity significantly higher than the design workshop for inclusivity and accessibility, noting that the resident-led community walk-about at the beginning of the workshop positioned residents as local knowledge holders and neighbourhood experts. The positioning of residents as experts lead to a more balanced (i.e., power-neutral) discussion between residents and professionals; residents noted that they felt more comfortable and

[12] At the design workshop, I observed that professional knowledge was privileged, and this reproduced the power dynamic that is implicit in many planning processes. While the steering committee reminded workshop participants to use accessible language and allow all participants the space to contribute equitably, the professionals outnumbered community members roughly five to one. As a result, professionals naturally shifted into using language and processes that they are more accustomed to. I do not think professionals had an intention to exclude, but they were working within the language and frameworks that they are accustomed to, and these frameworks can be exclusionary. For residents who had been highly involved in the ANC project, but perhaps had never participated in city-led design processes, I sensed a discomfort at being exposed to this power dynamic in a new way.

empowered to contribute to the subsequent discussion, because the session began with an activity in which they were the facilitators and the experts.

A third notable trend from these results is the high average score across all activities for the "community-driven" criterion. Across all activities, this criterion averaged 4.7 out of 5.0 possible points. This suggests that community members felt a sense of agency and leadership in the ANC process. Residents also consistently rated the "space and resource availability" criterion high. This suggests that the financial and human capacity accessed by the ANC project allowed activities to be well resourced, and allowed residents to be empowered to explore a range of engagement activities.

Table 6 shows the committee ratings for the engagement criteria.

Table 6: Engagement criteria- Steering committee perspective

	Community Driven	Inclusive	Diverse & Consistent Opportunities	Accessible	Enjoyable	Space & Resources	**Average Score For Activity/ 5**	**Total Score for Activity/30**
Design Workshop	-2	0	3	-3	4	3	**0.8**	**5**
Asset Map	-1	5	5	5	5	5	**4.0**	**24**
Survey	1	3	2	3	-2	4	**1.8**	**11**
Photo Portraits	-2	-1	0	-1	4	4	**0.7**	**4**
Play Street	4	5	4	4	4	5	**4.3**	**26**
Bike, ped, and park counts	1	4	1	5	-3	3	**1.8**	**11**
OPPI Workshop	2	-2	3	-3	4	4	**1.3**	**8**
Average Score for Criteria/5	**0.4**	**2.0**	**2.6**	**1.4**	**2.3**	**4.0**		
Total Score for Criteria/ 35	**3**	**14**	**18**	**10**	**16**	**28**		

Overall, the steering committee focus group gave lower scores for the engagement criteria; all activities rated at least marginally lower than the resident focus group ratings[13].

One of the most notable variances between the resident and steering committee ratings is the rating of the photo portrait activity. While residents rated this activity very high across all criteria (average of 5.0), the steering committee rated it the lowest of all activities (average of 0.7). Steering committee members noted that this was a one-off event, and that it tended to attract community members who were already highly involved in the ANC project. There was also a reflection that people may not feel comfortable with having their photo taken, especially if their opinion is associated with it. The variation in scores between the resident and the steering committee focus groups, however, suggests that the steering committee may not always have an accurate understanding of which activities feel meaningful for residents.

A second major variance between the results from each focus group is the scores for the "community-driven" criterion. As noted previously, residents rated all activities highly in relation to this criterion. In contrast, the steering committee rated most activities (excluding the play street event) relatively low in relation to this criterion (resulting in an average score of 0.4). Steering committee members noted that they felt the activities were often designed and implemented by the steering committee, rather than the community. A participant noted, "although there were community members on the committee they

[13] This variance could be impacted by differing interpretations of the criteria or the Likert scale. However, as I will explore later, the pattern is the inverse for the impact criteria (i.e. residents rated lower for impact than steering committee members). Therefore, I find this to be a notable result.

weren't the main drivers… [and] the community could not dictate what the activities were". Viewed in contrast to resident perspective, however, it is evident that residents felt a greater sense of agency in driving the activities than was perceived by the steering committee[14].

The steering committee focus group also rated both the design workshop and OPPI workshop relatively low for the inclusivity and accessibility criteria. Participants provided a reflection on some of the challenges of bringing together community and professional knowledge, noting that, despite making an effort to prioritize community voices, professional language and knowledge was still privileged over community expertise. Participants also noted that these events occurred during the workday to accommodate the professionals' schedules, but this made the events less accessible to the community. Furthermore, participants noted that the lack of childcare lowered the event accessibility for the community members. Two community participants brought children to the event, but were obligated to watch their children, while attempting to engage in the discussion, which made it challenging for them to contribute.

[14] This could be a result of the steering committee feeling safer or more empowered to be critical of the process because of the historic and ongoing marginalization of Stewart Street neighourhood residents. Additionally, residents may have viewed the criterion relative to traditional processes, and the steering committee may have viewed the criterion relative to a fully citizen-driven (i.e. power sharing (Arnstein, 1969)) engagement approach. This could also suggest that community members prefer a more guided approach to engagement, which involves supportive and knowledgeable partners to help design and implement activities. Based on this result, I conclude that residents do not necessarily see the ANC steering committee as external to the "community", but as a framework to support community-led processes. In the debrief of the steering committee focus group, it was noted that, "although the community didn't come up with the ideas they still felt like they were able to make them their own."

To compare the average scores for the engagement criteria derived from the resident and steering committee focus groups, Figure 11 graphs the resident and steering committee averages for each criteria.

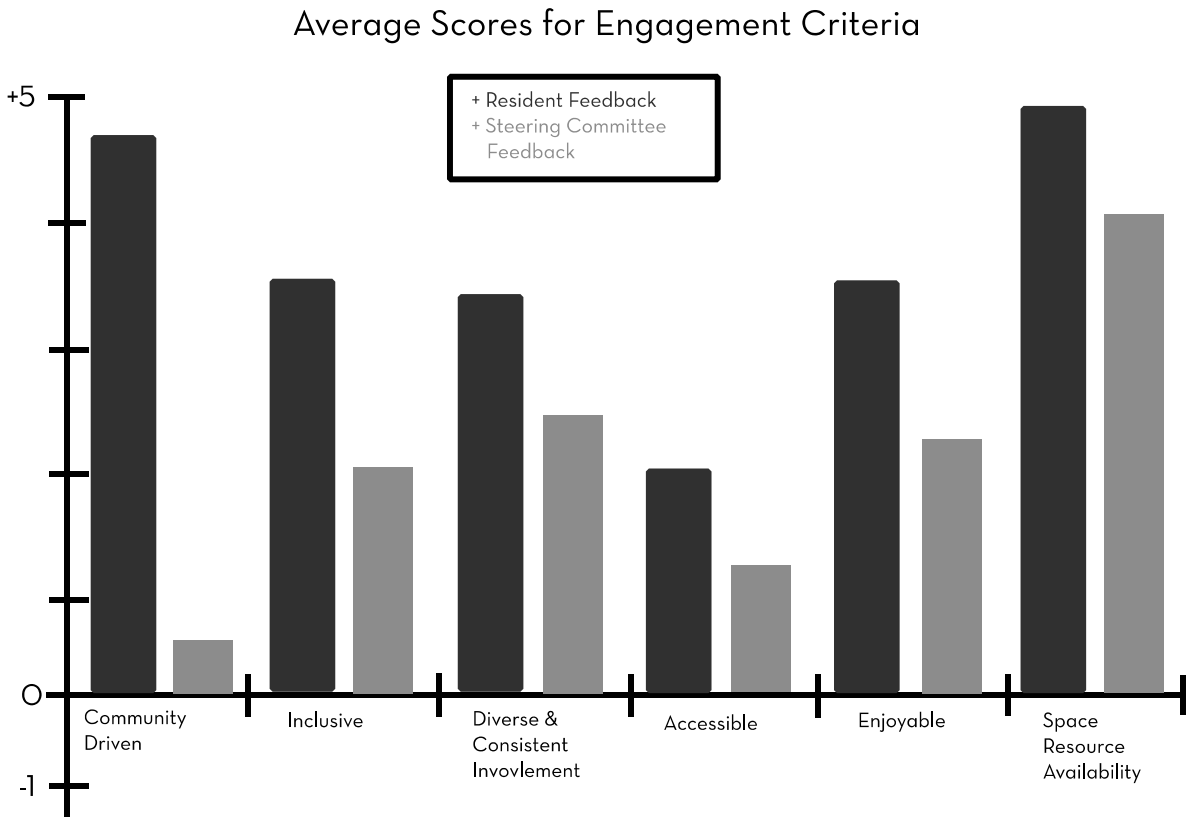

Figure 11: Average scores for engagement criteria

As previously discussed, this figure demonstrates that the resident group consistently rated the activities higher for the impact criteria, with the largest variance found with the average rating for the "community-driven" criterion. The figure also demonstrates the relatively high ratings residents gave on all of the engagement criteria; the lowest rating on a scale of -5 to +5 was +2.2 for the accessibility criterion. While the

steering committee, on average, rated the activities lower for the engagement criteria than the focus group, all of the average ratings remained in the positive range, indicating that the engagement processes used for each of the activities were at least marginally effective. Figure 11 also illustrates that the space and resource availability criterion was rated universally high, averaging +4.8 for the resident focus group and +4.0 for the steering committee focus group. This suggests that the ANC project was appropriately and adequately resourced, and had enough resource availability to effectively offer a range of engagement activities.

The next several paragraphs detail the feedback on the impact criteria, derived from both the resident and steering committee focus groups. Tables 7 and 8 show the activity ratings relative to the impact criteria.

Table 7: Impact criteria- Resident perspective

	Demonstrated Results	Increased Understanding	Increased Trust	Satisfaction	Goals Achieved	Consensus built	**Average score for activity/5**	**Total Score for Activity/30**
Design Workshop	1	-5	-3	5	5	-3	**0.0**	**0.0**
Asset Map (3D map)	0	5	3	4.5	5	5	**3.8**	**22.5**
Survey Process	-2	3	3	3	2	4	**2.2**	**13**
Photo Portraits	2	1	3	5	3	5	**3.2**	**19**
Play Street	3	3	3	3	5	3	**3.3**	**20**
Bike, Pedestrian & Park Counts	1	-2	1	2	5	-3	**0.7**	**4**
OPPI Workshop	1	0	1	5	4	-3	**1.3**	**8**
Average score for criteria/5	**0.9**	**0.7**	**1.6**	**4.0**	**4.2**	**1.2**		
Total Score for criteria/30	**6**	**5**	**11**	**27.5**	**29**	**8**		

On average, residents rated the activities lower for the impact criteria than for the engagement criteria. The design workshop and the bike, pedestrian, and park counts rated the lowest for impact, with average scores of 0.0 and 0.7, respectively. A resident noted that these activities were "valuable, informationally speaking, but in terms of the residents, there wasn't much outcome for them." The design workshop, in particular, rated low for "increased understanding" [-5], "increased trust" [-3], and "consensus built" [-3]. These low ratings occurred because residents felt that the technical concepts and language used at the workshop were inaccessible, and the activity did not engage enough community members to help build consensus. In addition, it was noted that the activity did not help build trust between residents and professionals, because residents felt their voices were undervalued.

While the resident scores were generally lower for impact criteria than for engagement criteria, some of the individual impact criterion had high average ratings. In particular, the "satisfaction" criterion and the "goals achieved" criterion scored high (averaging +4.0 and +4.2, respectively). This indicates that residents have an overall sense of satisfaction surrounding project activities, although they had some critical reflections to offer on certain activities. It also indicates that, while the goals were achieved, perhaps the goals set forth in the activities were not the most impactful from the resident perspective (i.e., the goals did not necessarily yield "demonstrated results", "increased trust", "increased understanding", or "consensus"). In future participatory planning activities, it is important to ensure that the goals set out in the development of the activity will help to achieve the impacts that residents desire.

The impact criteria that residents rated the lowest were “demonstrated results” and “increased understanding”, with average scores of +0.9 and +0.7, respectively. A resident noted that the portrait and vision phase activities were “not about solutions yet, but about understanding the neighbourhood, so its hard to look at outcome [impact] criteria”, and that it is challenging for residents to see results demonstrated in the early phases of the project.

To compare the resident and steering committee perspective on the impact criteria, Table 8 shows steering committee ratings for each of the activities relative to each impact criterion.

Table 8: Impact criteria- Steering committee perspective

	Demonstrated Results	Increased Understanding	Increased Trust	Satisfaction	Goals Achieved	Consensus Built	**Average for Activity/ 5**	**Total Score for Activity/ 30**
Design Workshop-Community *	4	3	-1	-3.5	4	-1.5	**0.8**	**5**
Design Workshop-Professionals*	4	3	0	4	4	1.5	**2.8**	**16.5**
Asset Map	5	4	1.5	5	5	5	**4.3**	**25.5**
Survey	4	4	4	3	3	4	**3.7**	**22**
Photo portraits	4	3	4	4	4	0	**3.2**	**19**
Play Street	5	3	4	5	5	5	**4.5**	**27**
Bike, ped, park counts	5	4.5	0	4	5	4	**3.8**	**22.5**
OPPI Workshop	4	5	4	5	5	4	**4.5**	**27**
Average score for criteria/5	**4.4**	**3.7**	**2.1**	**3.3**	**4.4**	**2.3**		
Total score for criteria/40*	**35**	**29.5**	**16.5**	**26.5**	**35**	**22**		

In comparison to the resident perspective, the steering committee rated the activities higher for the impact criteria. This pattern is the inverse of the pattern observed in the engagement criteria data set, where residents rated activities higher than steering committee members. This result could be interpreted in several ways. It could, perhaps, indicate a lack of communication between the steering committee and the residents (i.e., the steering committee did not always demonstrate how the outcomes of the activities are integrated into project deliverables). It could also indicate a difference in the understanding of project priorities. Residents may feel that the engagement process is more valuable than the project outcomes, but the steering committee may find greater value in the impact the activities had on the project deliverables. Interestingly, the only impact criterion that deviates from this trend is "satisfaction". This suggests that residents are more satisfied with the process than steering committee members, although steering committee members are able to see greater impacts from the activities.

In addition to this general trend, the steering committee feedback provided additional reflection on the design workshop. This group chose to evaluate the design workshop twice, splitting out scores for certain criteria based on the feedback of community members versus professionals. This is because the group felt that the outcomes were markedly different for community participants and professional participants. The scores for "demonstrated results" [4], "increased understanding" [3], and "goals achieved" [4] remained constant between the community and professional sub-groupings, and were relatively high. However, the impact criteria ratings related to "trust", "satisfaction", and "consensus" were markedly lower for community members versus professionals. This is based on challenges previously discussed in relation to

disproportionate representation by professionals, the use of inaccessible language, and the privileging of professional knowledge. The group noted that community members had a stronger voice in the plenary, but were less able to contribute in the smaller design groups. A focus group participant noted another tension. She said, "gentrification was very much a part of the interventions proposed by planners", which made her feel unsettled, because residents had not expressed a desire to see their neighbourhood gentrified. As a result of these tensions, the steering committee felt that the activity had an overall negative impact for community members' trust [-1], satisfaction [-3.5], and consensus [-1.5]. Nevertheless, the group found that the design workshop provided a tangible result, and built a strong foundation to move forward into the planning phase. The group thought that, in the future, it would be helpful to invite more community members, and to hold a pre-workshop for community members to help equip them with the language and tools to participate more fully in a professionalized environment[15]

In these results, similarly to the resident focus group results, the play streets event and the asset map rated quite highly (averages of +4.5 and +4.3, respectively). Coupled with the high ratings these activities were given relative to the engagement criteria, this suggests that informal, fun, and hands-on methods of participation can be both engaging and impactful. In fact, across all four data sets, these two activities were consistently among the highest rated on all criteria.

[15] An interesting observation to note here is that the expectation was for the community to adapt to the professionals' language and process. In the design workshop, the professionals were not required to adjust their mode of operation as much as the community. In the future, I would suggest creating a stronger framework to emphasize the need for professionals to keep the language and process accessible, in addition to holding a pre-workshop for the community.

To compare average ratings for the impact criteria, Figure 12 provides a comparison of ratings derived from the resident and steering committee focus groups.

Figure 12: Average scores for impact criteria

Overall, Figure 12 demonstrates that steering committee members found the activities to be highly impactful; the lowest rating steering committee members provided on the impact criteria was +2.1 for the "increased trust" criterion. However, residents struggled to see demonstrated results, increased understanding, and consensus in the

community[16]. Communication between sponsors of engagement activities and community members was cited in the OPPI focus group as a barrier to participatory engagement, as will be discussed in Section 4.3. The difference in impact criteria ratings could suggest that the ANC steering committee struggled with communicating results to the community. The steering committee was responsible for collecting feedback and producing tangible project outcomes, so it was easier for the steering committee to understand the direct impact of particular activities. However, the community did not always understand the ways in which data from different engagement opportunities contributed to project outcomes. For example, a community participant noted that for the bike, pedestrian, and park count, "results and goals [were] only shared with participants directly involved [in the counting] or who stopped to ask", and the goals were not clear to other people in the community who were counted during the activity.

Figure 13 is a Cartesian grid with each activity mapped based on its average scores for impact criteria and engagement criteria. This figure allows for a comparison

[16] It is important to note here that, at the time of the focus group, the Stewart Street and Area Community Association [SSACA] was beginning to dissolve due to inter-personal conflicts. These conflicts were largely external to the ANC project, but these tensions may have influenced community members' sense of consensus and trust in the community. Although the inter-personal conflicts began external to the ANC project, the leaders of SAACA were intimately involved in the ANC project. As a result tensions in SAACA were, at times, impacted and increased by the ANC project. In particular, tensions arose around recognition of contribution to SAACA and ANC, which ultimately had an impact on the residents' decision to dissolve the formal association. This causes me to reflect on the stresses that a formalized process, like ANC, can place on a nascent and loosely defined neighbourhood association. It causes me to consider if increased visibility, power, and financial stipends [provided to residents on the ANC steering committee] contributed to the dissolution of the Association. Early in the project, we failed to openly discuss the potential negative impacts of a shifting context of power in a historically marginalized group (also: the potential impacts of increased visibility, power, and recognition through financial stipends).

across activities, and it also illustrates which activities were perceived as the most effective overall.

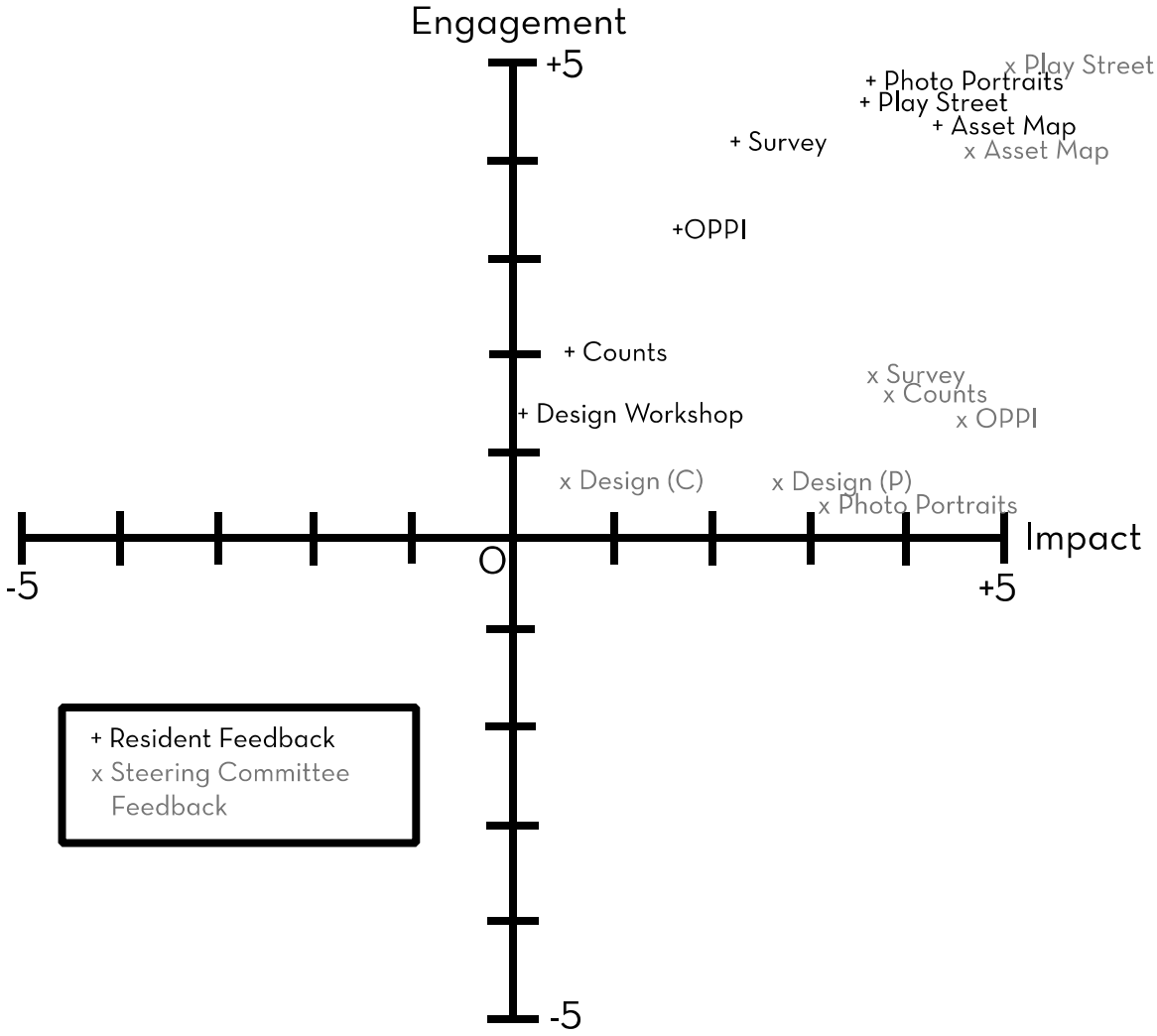

Figure 13: Average activity ratings

Despite the different results between the steering committee focus group and the resident focus group, and the negative scores granted for some individual criteria, this figure demonstrates that all average scores for all activities were in the positive range.

Therefore, all of the activities were at least somewhat engaging and had at least a somewhat positive impact.

The figure also demonstrates that the play street event and asset map were highly effective activities, as previously noted. In addition, both groups determined that the photo portrait was impactful, and the residents also found the activity to be highly engaging, which suggests to me that the activity was of value to the ANC process[17]. These activities share some common traits, including the fact that they did not involve professional planners, they had a hands-on element, and they collected feedback in a more informal manner (relative to the survey, design workshop, and OPPI workshop, which all required participants to provide very a specific type of input). These activities, as noted by the residents, were also fun to participate in. When considering future participatory planning activities, these generalizable traits (i.e., fun, hands-on, and informal) could help inform the design of activities that are perceived as effective by participants.

The street and travel survey and the bike, pedestrian, and park counts also rated relatively high, although lower than the previously discussed group of activities. These activities also shared similar traits, because they were intended to collect discrete types of data from the community to inform project outputs. The resident focus group reflected on the benefits of the door-to-door surveying process, suggesting that, "the value of the survey was that trust and understanding were built person-to-person during surveying"

[17] Resident engagement is a primary goal of the ANC process (Martin et al., 2015), so an activity that is perceived as engaging by residents is, in a sense, effective regardless of its impact score. This activity, however, also had high impact scores from both groups, suggesting it was of high value to the process.

and that it "helped people to know that the project is happening". Similarly, the presence "on the streets" during the counts helped the project to be visible in the neighbourhood, and provided the opportunity for residents to ask the counters questions about the project. The steering committee group echoed these reflections, adding that the results of the survey "gave the indicators of which streets people use, avoid, and why, which contributed a lot to the *Portrait*", and informed the development of the priority intervention areas reflected in the final plan. In reference to the bike, pedestrian, and park counts, the steering committee noted that "the outcome of a quantitative investigation is really useful from the committee vantage point; it helped increase the committee's understanding of movement patterns in the community." These activities, while rated lower than the play streets, asset map, and photo portraits, provided discrete and specific data to the steering committee, which had an important impact on the project outputs. The activities, while less fun and hands-on as the first grouping of activities, were still perceived as relatively engaging. Therefore, in future participatory planning activities, I would recommend undertaking similar surveying and benchmarking activities, while ensuring that these activities keep a focus on maintaining a visible presence in the neighbourhood, and providing opportunity for face-to-face interaction with residents.

The OPPI workshop and design workshop represent a third type of activity, which are activities that are intended to bring together resident and professional knowledge. The OPPI workshop received higher ratings than the design workshop, despite having a similar proportion of professionals and residents. The steering committee group noted that the "proportion of neighbours wasn't that different, but the positioning of neighbours as leaders during the neighbourhood tour placed them in a position of prominence and

leadership as knowledge holders. At the design workshop, the planners thought they were the knowledge holders and leaders". Residents echoed this reflection, with one resident adding an anecdote that, months after the OPPI workshop, she overheard a planner comment about how great the work of the community association is. Steering committee members also recounted an anecdote about one professional participant saying it was the "best OPPI workshop she had been to". For these reasons, I consider this workshop to be an effective activity. While it did not rate as highly as some of the other activities, it fostered a positive interaction between professionals and community members, pooled resident and professional expertise, and shifted the power relationship often inherent in activities that include both professionals and residents.

As previously discussed, the design workshop was the most contentious of the activities, and as a result it is universally rated the lowest. While the critiques of the power dynamic between residents and professionals was shared between the two focus groups, there was also a sense that the activity could have been improved, rather than eliminated from future processes altogether. Suggestions for improvement included opening up the invitation to all residents, holding a pre-workshop with residents to help equip them with language and tools to participate more fully, and being mindful of the accessibility of the event (i.e., the event took place during the workday to accommodate professionals, but this made it challenging for community members. Also, the event lacked childcare, which made it inaccessible for many community members). The outcomes of the activity provided a foundation to identify interventions for the planning phase of the ANC project, and the steering committee commented that a professional participant said she was "blown away by the ideas the community came up with". Given

this feedback, I do not think that the design workshop was a failed activity, because it exposed professionals to the legitimacy of the knowledge carried by residents. However, in the future, a process that more thoughtfully considers power dynamics, equity, and accessibility for residents would make this a more effective and accessible activity.

The evaluation of project activities undertaken in the resident and steering committee focus group suggests that the ANC project approach is, for the most part, an effective method of engaging community members in planning. Some of the activities require further reflection and refinement but, overall, perceptions of the project were positive. Given the positive evaluation of the ANC project activities, Sections 4.3 and 4.4 provide a detailed analysis of the feasibility of implementing this approach more broadly in the City of Peterborough, and the actions required to sustain the approach.

4.3 Ontario Professional Planners Institute focus group results

The Ontario Professional Planners Institute [OPPI] focus group explored the benefits of participatory planning, the barriers to implementing participatory planning into professional practice, and possible strategies to reduce the barriers.

After a resident-led neighbourhood walk-about and a presentation about the ANC project approach, the first research activity was a free-list and pile sort (Chevalier & Buckles, 2013), in which participants responded to the following question: *How could incorporating citizen knowledge through participatory planning contribute to your work as planners?* Participants worked in groups of three to five to come up with three responses to the question, and came back together to categorize the individual responses

and peer-validate the responses. Table 9 shows the pile-sorted response categories, as well as the individual responses contained within each identified category.

Table 9: Benefits of participatory planning

Response Category	Individual Responses
Transparency	Outcomes are more visibly connected to feedback
Proactive	Identifies current use of infrastructure (ie roads) in advance; more proactive discussion
	Identifies community zoning needs in advance of development applications
	More positive and generative
Lived Experience	Provide an intimate knowledge of the community- planners often rely on "paper" versus reality and lived experience
	Citizens can influence developers- there is a need to engage in order to implement a vision
Integrative View	Integrates planning and transportation needs into a joint discussion; reduces the tendency to "work in silos"
Inclusive process, co-designed and sensitive	How can citizens help? They want to be a part of the process
	Process timeline allows for more formative input (citizens can help structure process)

Discussion on this topic indicated a general support including participatory planning approaches within professional planning practice, and planners responded

positively to the question[18]. An element of the discussion that is not captured in Table 9 is the recognition by participants that using a participatory planning approach can create a greater acceptance of planning outcomes. Participants noted that, when citizen knowledge is solicited early and often throughout the planning process, citizens will be more likely to see their values reflected in the outcomes, and may be less resistant to change. In addition to supporting citizen involvement and fostering a democratic ethos, it was noted that increased buy-in from citizens could make it easier for planners to move projects forward. Therefore, planners saw both ideological and tangible benefits to participatory planning.

In addition, while it was initially only cited by one participant, the group had a robust discussion about the ability of participatory planning to provide an integrative approach to planning. Participants acknowledged that planning professionals often "work in silos" where different departments are often responsible for land-use planning, transportation, urban design, housing, parks and recreation, and so on. However, participants noted that a citizen's lived experience of the neighbourhood is integrative and holistic; these elements are not discrete from one another. Participants noted that participatory planning creates a joint discussion that helps connect these silos.

[18] Because planners chose to attend this particular workshop as a professional development opportunity, the focus group participants were, to an extent, self-selected based their interest in participatory planning. This could have had an impact on the positive nature of the discussion. However, many of the participants were new to the concept of participatory planning, and were exposed to approaches like the ANC approach for the first time. Therefore, the level of excitement around the inclusion of participatory approaches in professional practices is a notable outcome of this discussion.

After the discussion on the benefits of participatory planning, participants considered the conditions necessary to meaningfully integrate participatory planning into professional practice. A facilitated discussion considered the following question: *Imagining there are no restrictions, what are the ideal conditions that could allow citizen knowledge to be included in planning processes?*

A prominent theme of the discussion considered how to make engagement more convenient, accessible, and fun. Suggestions included: pop-up planning activities in public spaces, online citizen panels, having a visible presence in the neighbourhood, using multiple engagement mechanisms to solicit feedback, using play to engage residents [i.e., using Lego to model different land uses], using interactive maps and visuals, and doing engagement activities in small and informal settings (i.e., at community events).

The planners also discussed the need for improved channels of communication, such as better follow-up after public consultations, regularly updating participants on progress, and creating an enhanced feedback loop before development occurs. One suggestion to improve communication was to live-stream public meetings and allow for people to remotely suggest questions or comments.

Lastly, planners indicated a need for support in determining appropriate activities, and choosing appropriate meeting times and locations. As discussed in Chapter 2, one method of providing this type of support is to have citizens groups or community organizations act as a broker or leader for engagement opportunities (as supported by scholars including Cohen-Blankshtain et. al, 2013; Blanchet-Cohen, 2015; Sorensen &

Sagaris, 2010). The involvement of community organizations to broker engagement opportunities was an approach used in the ANC project, and is explored in greater depth in the results of the City staff focus group (Section 4.4).

After determining the conditions required for participatory planning to be successful, participants considered the barriers to participatory planning, and generated potential actions to reduce these barriers. First, they were asked, "*What are the primary reasons that participatory planning fails to be included in many public engagement processes? What are the barriers we face to creating our ideal scenario?"* After completing a free-list and pile-sort (Chevalier & Buckles, 2013) activity, participants considered the question, *"Of these areas, where could the planning profession most readily take action to reduce barriers to participatory planning?"* Due to time constraints, the planners individually posted their responses to the second question in direct correlation with barriers identified. The results of these two activities are summarized in Table 10.

Table 10: Barriers and enablers to participatory planning

Barrier Category	Barrier	Potential Action
Resource availability	Resources lacking: money, time, people	Live stream public meetings & provide messaging for feedback
	At county level, consultations & reviews are contracted out to different professions/ supports (no planners on staff)	
	No planners on staff (in townships in the county)	
	Engagement gets costly	Create toolkits for planners to help cut down on the resources and costs needed to do engagement
	Time & resource constraints	
	Lack of access to technology (for municipalities)	Invest in technology to enable planners to engage the public (weekly blog, twitter, etc)
	Lack of facilitation skills	Training in facilitation OPPI to promote participatory planning techniques among members: how to do them, when to use them
Policy Limitations	Legislatively prescribed process	
	No municipal values statement on how to engage people	Create a clear value statement about citizen engagement
	Site plan not legislatively required to be a public process	
	Policy conflict with what public want	Allow for more innovative ways in the Planning Act to inform and engage public
		Advocate for legislative/ policy changes to enable public participation
	Planning Act timeframes give limited time	Review Planning Act legislated timelines & requirements for public engagement (i.e., site plan timelines extended, mandatory requirement for an open house)
Accessibility of process & language	Information overload	
	Alienating language/ jargon	Remember your audience- inform public w/ plain language; plain language notices & information
	Cumbersome wording in planning language	
	Jargon/ specific lingo	
	Meeting locations are inaccessible/ intimidating	Remove public meetings from the council chambers- bring meetings to the people
		Commit resources to alternative social media options & respond to the public

Accessibility of process & language (con't)	Lack of communication/ feedback loop	
	Don't engage the "right" people	
	Lack of graphics doesn't grab attention	
	Not enough visuals are used	
Internal politics of municipalities	Management practices won't pay staff overtime (causes difficulty in making meeting times accessible)	
	Different agendas	
	Politics	
	Different professions/ departments work in silos	Comprehensive approach w other professions; improve internal communication
	Councils may not be receptive	Educate council on the value of proactive, meaningful community engagement
Trust/ citizen skepticism	Lack of trust, skepticism at community level	Implement a CONSISTENT public participation process
	Lack of trust results from people often being involved late in the process in the past	Engage the public at earlier stages in the planning process (i.e., in the first step in the proposal development & follow-up/ follow through to the last step)
Incongruity with established process (structural and professional barriers)	Hard to know when to end a process	
	Processes for consultation on land use, parks, transportation all separate & in different silos	Try to bridge gaps between types of planning for a complete picture of neighbourhoods
		Collaborate with other professions (i.e., engineering) about a project based on geography. Work on breaking down the silos
Relationships with developers	Developers not willing: any delay costs money	No actions identified

The table illustrates some of the challenges to implementing participatory planning into formal processes, including barriers related to resource availability, policy limitations, accessibility of planning processes and language, internal politics of municipalities, trust and citizen skepticism, incongruity with professional practice, and relationships with developers. Some of the actions to reduce these barriers involve broader systemic change (i.e., reviewing and modifying the Planning Act). However, many of the suggested actions (i.e., facilitation training, creating an overarching vision for civic engagement, using accessible language, conducting engagement in informal settings, and several others) could take place on a local municipal level. The next section outlines the results of the City Staff focus group, and builds on the OPPI focus group data by evaluating actions the City of Peterborough could undertake to overcome the OPPI-identified barriers.

4.4 City staff focus group results

Building on the previous focus group results, this session engaged employees of the City of Peterborough in evaluating the feasibility of advancing the ANC participatory planning approach within the City of Peterborough. Participants represented the following City divisions: Planning, Transportation, Transportation Demand Management, Housing, Social Services, and Corporate Services [Accessibility Compliance]. Staff seniority ranged from departmental management positions, to junior positions. I chose to invite staff members from multiple professions and departments because, as suggested in the OPPI focus group, people's lived experience of their neighbourhood is integrative, and cannot be compartmentalized into discrete elements.

After a short presentation, participants were presented with a list of the OPPI-identified barriers, and pre-determined actions to minimize the barriers. Due to time constraints, the discussion that followed mainly considered the following barriers and actions:

Identified Barrier: Resource availability
Potential Actions:
- The City can provide staff capacity to the ANC steering committee;
- The City can become a sustained funder of the ANC steering committee (i.e., providing funding to an organization like GreenUP to build staff capacity to manage the project); and
- Create and fund an internal staff position focused on participatory engagement (i.e., like the City of Hamilton Neighbourhood Action Strategy[19]).

Identified Barrier: Policy requirements and limitations
Potential Actions:
- Participatory planning processes facilitated by the ANC committee can be used to satisfy legal requirements for engagement; and
- The City can create an overarching strategy for civic engagement.

Identified Barrier: Accessibility of engagement processes
Potential Action:
- The City can support the use of non-traditional engagement practices during engagement processes, such as some of the activities used during the Stewart Street project.

Figure 14 charts the actions listed above on a grid of contribution and feasibility, as determined by focus group participants through discussion. The grid is split into 9 different sections, representing differing combinations of feasibility and contribution required from the City. The leftmost portion of the grid contains actions that are barely

[19] The City of Hamilton, Ontario is currently engaged in a series of city-led neighbourhood-based planning projects called the Neighbourhood Action Strategy (City of Hamilton, 2016). According to the City of Hamilton website, "The City of Hamilton's Neighbourhood Action Strategy is focused on helping neighbourhoods be great places to live, work, play and learn. The City is working with community partners, neighbourhood groups and residents to develop action plans to build healthier communities" (City of Hamilton, 2016). City of Peterborough staff people present at the focus group were aware of Hamilton's initiative, and it was used as a potential model for a city-led participatory planning initiative. I refer to it herein as the "Hamilton model".

feasible, the centre contains actions that are moderately feasible, and the rightmost portion contains actions that are highly feasible. The lower quadrants represent a low resource contribution requirement, the middle represents medium resource contribution requirement, and the top represents high resource contribution requirement. Actions were collectively positioned within this grid by focus group participants.

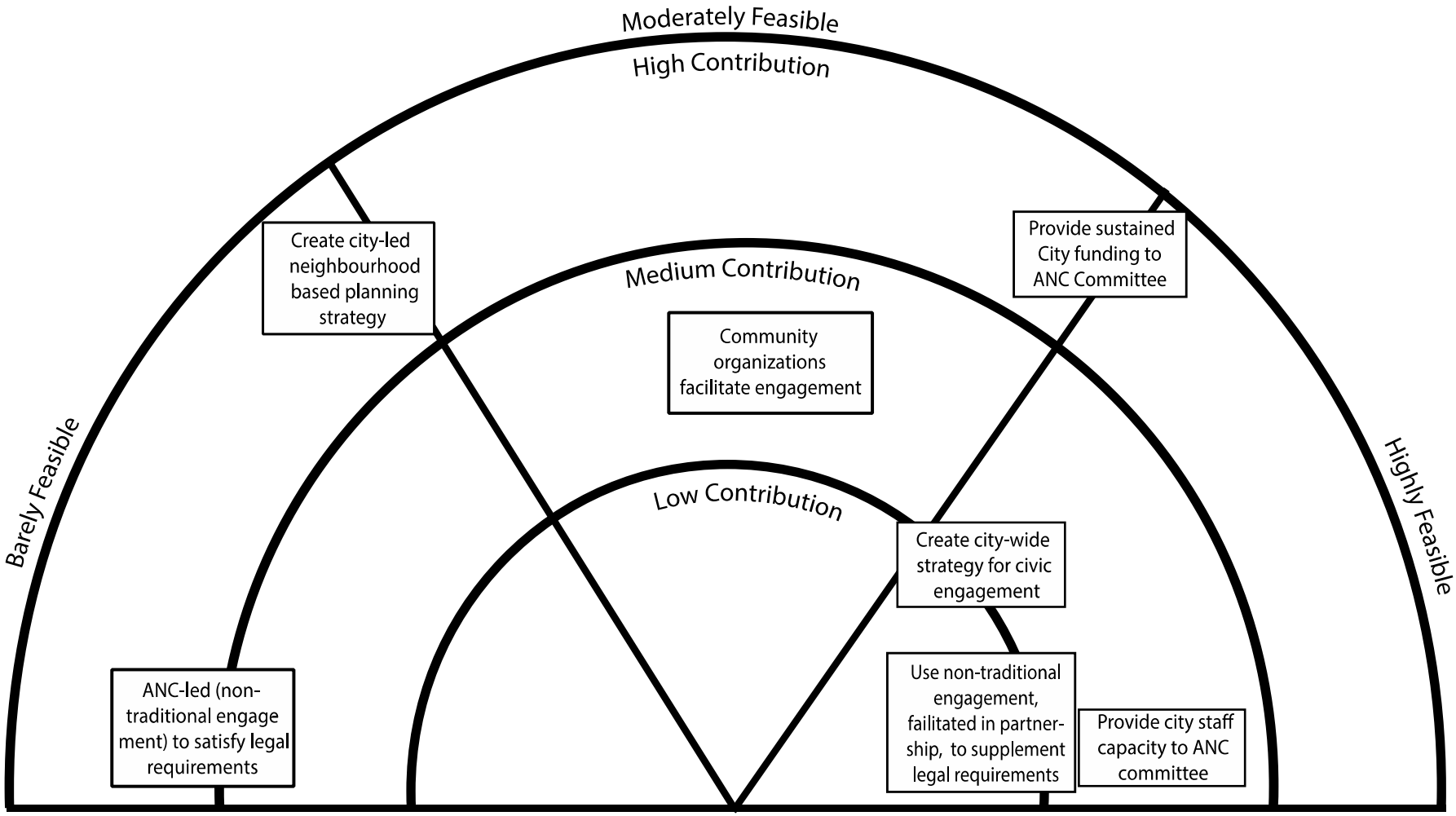

Figure 14: Contribution-feasibility grid

Generally, the discussion showed support for the City of Peterborough's continued involvement in participatory planning processes. One participant noted that the model is still relatively unproven, in the sense that long-term infrastructure changes have not yet occurred as an outcome of the project, and therefore he would be hesitant to see the City invest heavily in this approach[20]. Nevertheless, the discussion indicated that most focus group participants were supportive of participatory planning, and thought the City would benefit from sustained involvement in a collaborative participatory planning process similar to the ANC process. Some identified benefits of participatory planning included: a positive perception of the City, long-term relationship building with community organizations and with citizens, and allowing the municipality to know what people want, which in turn builds trust and expedites engagement when development opportunities arise. Participants discussed the concept of creating "shovel ready" plans, so that the bulk of engagement and trust building occurs before a specific development

[20] A notable observation during this point in the discussion was that staff people who occupied positions of greater authority (i.e., power) within their departments tended to be more resistant to participatory planning process, and tended to express skepticism about the usefulness and impacts of participatory approaches. While no participants rejected the possibility of sustaining the ANC partnership outright, these participants want minimal City involvement and minimal City resources dedicated to participatory planning. This pattern repeated several times throughout the focus group. I found this to be a rich reflection on the power relations that exist within the City. Chapter 2 explored the power relations between residents and municipalities, but it is evident to me that the municipality also experiences unequal distribution of power internally. These participants may have expressed a desire to minimize city involvement in the process for several reasons. One theory is that they are more aware of the budgetary and time restrictions their staff people operate under, and therefore are weighing these practical considerations. Another theory, which is supported in the literature in Chapter 2.2, is that people that occupy positions of power may be more hesitant to give up this power. A third theory is that people in senior positions have likely been in their profession for an extended time, and may feel more hesitant to shift the status quo professional practice. The results of the focus group cannot definitely determine the underlying cause for this pattern, but I find it worthy of noting here.

project is underway. In other words, citizens create overarching visions for their neighbourhood, and when opportunities for development occur, these visions can be used as a framework to guide development processes.

The following sections provide greater detail about the discussion surrounding each of the actions charted on Figure 5.

4.4.1 Actions in response to resource barriers

The three actions arising from the resource barrier represented three different models of the City providing resources to sustain a partnership-based participatory planning approach, modeled after the Stewart Street ANC project. These models were:

i. Providing external municipal staff support (i.e., the City continues to fund staff to sit on the steering committee, and supports the project through staff capacity);
ii. The City provides ongoing formalized funding; and
iii. The City creates an internal process staff position for participatory engagement, similar to the "Hamilton model" (see footnote 19, p. 90).

Some participants felt having an external steering committee coordinate the project, with some City staff representation, is a superior model because it helps the City engage with the work without adding a substantial amount to their workload. It was noted that the involvement and leadership of community organizations also brings great value to the community, and can make engagement accessible. The involvement of a third-party broker, like GreenUP, can also overcome barriers of citizen trust and skepticism, because community members may feel that community organizations are more

authentically interested in protecting citizen interests, and are a more power-neutral party than the City. This finding is supported in the literature (Blanchet-Cohen, 2015; Cohen-Blankshtain et al, 2013; Sorenson & Sagris, 2010), which suggests that community organizations can empower citizens and build shared goals and collective impact.

Participants discussed if it is realistic to expect the partnership model to be sustained without funding earmarked for that purpose; there was an acknowledgement that the Stewart Street ANC process drew from a diversity of external funding sources, and without these funding sources, it was noted that this resource-intensive planning approach would be difficult to sustain. Therefore, if the City chooses to resource the project only through staff time on the steering committee, it is necessary for the ANC steering committee to work on securing additional external funding. An additional concern noted with this approach is that, while it works well for a single project, the burden on staff time would be too great if multiple neighbourhoods were engaged in participatory processes concurrently.

Overall, participants rated this option as highly feasible, requiring a medium amount of contribution for the city. Managers expressed a willingness to continue to support their staff members' involvement in the project collaborative, within what they perceived as reasonable constraints (i.e., that staff are only required to attend meetings one to two times per month).

Participants' feelings on the second option presented (the City provides ongoing formalized funding) ranged from highly feasible to moderately feasible. A participant

cited Council's recent approval of the participatory budgeting[21] pilot as an indicator that Council has a growing enthusiasm for participatory engagement. Another participant noted that if the steering committee provides an evidence-based approach for the impacts of participatory planning, Council would likely be receptive, as there is precedent for the City to fund community work predicated on an evidence-based approach. In order to create a case to Council, it was noted that a few questions would need to be addressed, including: "How does engagement fit with implementation?" And, "What are the proven examples of the success of the project?" Participants unanimously agreed that, while highly to moderately feasible, this option would require high resource contribution from the City. In order to successfully obtain these resources, a strong, evidence-based case must be presented to Council, which may take several years to develop.

The group also explored the option of creating an internal, city-led strategy akin to the Hamilton Neighbourhood Action Strategy. One participant felt that this type of process "could give the City positive visibility [because] sometimes the positive work of the City is made invisible by the work of consultants or community organizations as the face of engagement". On the other hand, a participant noted that community organizations could be a friendly and accessible face, which can help overcome citizen skepticism and distrust of the City.

[21] In 2016, the City of Peterborough piloted a participatory budgeting program, where citizens were given the opportunity to propose capital improvement projects, and vote on the projects they would like to see built. At the time of writing, the pilot project is still underway, but the project has been received with enthusiasm from both Council and citizens.

In regards to creating a neighbourhood-based strategy, there was a discussion about the concept of geographically and socially distinct neighbourhoods in Peterborough. Participants noted that Peterborough does not historically have strong neighbourhood identities, and that attempting to parse the City into neighbourhoods could seem like an imposition from the City. One participant expressed a reticence to impose a neighbourhood structure on the community, and suggested that communities of interest (e.g. cyclists, older adults, artists, youth) are stronger than geographic neighbourhoods in Peterborough. Therefore, the participant discussed the potential of doing a participatory engagement exercise within communities of interest, rather than geography[22].

In reference to the feasibility of creating internally funded staff positions, it was noted that, if the participatory budgeting pilot is successful, the City might hire a staff member to facilitate that process. One participant imagined a potential staff position that could manage participatory budgeting and participatory planning projects, although a plan like the Hamilton model may require multiple staff. In Hamilton, there is one project manager and seven community developers that work on the Neighbourhood Action Strategy (City of Hamilton, 2016).

[22] In contrast to this observation, participants in the OPPI workshop identified undertaking projects based on geography as a means to overcome the departmental (i.e. "siloed") nature of planning work. Sorensen and Sagaris (2010) also find that the neighbourhood-scale is an effective scale to undertake participatory planning. I would raise the concern that communities of interest are too diffuse to undertake a process akin to the ANC process. In the Stewart Street ANC process, the geographic boundaries of the neighbourhood were driven by residents' self-identification of their neighbourhood, and the boundaries were iterative in the early phases of the project. Perhaps there is potential for a city-wide process that allows people to self-identify neighbourhood boundaries and identities, which could be used as a foundation for a neighbourhood-based planning strategy.

Overall, there was a unanimous recognition that an internal participatory planning program would be a longer-term action, as it is highly resource intensive and would require a political directive from Council. Despite being highly resource intensive, feelings on this feasibility of this action ranged from moderately feasible to barely feasible, with no participants suggesting that it is infeasible.

4.4.2 Actions in response to policy barriers

The OPPI focus group identified the limitations of policy (i.e. the timelines set out in the Planning Act, and the legally required types of engagement for the Environmental Assessment process) as a barrier to participatory planning. They also identified the lack of overarching strategies for civic engagement as a barrier. In response to policy-related barriers, participants of this focus group considered two potential actions:

i) That the participatory planning processes facilitated by the ANC committee can be used to satisfy legal requirements for engagement, and

ii) That the City can create an overarching strategy for civic engagement.

Upon the presentation of the first action, a participant suggested that using the participatory planning process facilitated by the ANC committee to *satisfy* legal requirements for engagement was not feasible. He cited several restrictions, including the fact that there is little room for long-term consultation processes to take place within the short turn-around time for planning applications. Further, he felt that, while the engagement process set out by Planning Act is prescriptive, it is necessary to create consistency. The ANC-facilitated processes do not provide the same level of

predictability and consistency, which could impede the City's ability to gather necessary input, while meeting legal requirements for engagement.

The group also had differing opinions on the proposal to have the ANC committee facilitate engagement. Some felt that the steering committee could play a role similar to the way in which consultants currently facilitate engagement processes, but others felt it would not be appropriate to have community organizations as the leader[23] of engagement processes for City projects. After a robust discussion, it was determined that a partnership model is more desirable than "turning over" the process to the ANC committee. In this model, community organizations that are part of the ANC committee would work with the City to develop and implement participatory planning projects. I note that this model is typified as a "power-sharing" form of engagement (Arnstein, 1969). Further, Bailey and Grossardt (2010) find that partnership is the ideal level of engagement for transportation planning activities, so the use of a partnership model as a meaningful form of engagement is supported in the literature.

With these considerations in mind, a participant proposed changing the language of the action to "processes facilitated *in partnership* with ANC could be used to *supplement* legal requirements for engagement". This action was considered highly feasible, and was considered to require minimal resource contributions from the City. In

[23] I note here the tension between the City wanting to support participatory planning, but not wanting to give up the role sponsoring engagement activities, which the literature identifies as a place of inherent privilege in the planning process engage (Mathers, Parry, & Jones, 2008; Sorensen & Sagaris, 2010; Brown & Chin, 2013; Hoehner et al., 2003; Holgersen & Haarstad, 2009; Listerborn, 2008; Willson, 2001). However, the expressed support for a partnership model does suggest a move towards a power-sharing approach, and could close the "Arnstien gap" in engagement (Bailey & Grossardt, 2010).

fact, it was noted that this is already occurring within the City-led Bethune Street redevelopment project[24]. It was noted that, with a more robust participatory process, there is a greater need to also manage citizen expectations (i.e. communicate the limitations of budgets and timelines), and communicate clearly and realistically throughout the planning and development processes[25].

In response to suggestion that the City create an overarching strategy or policy to guide civic engagement, a participant responded, "the city needs to be able to outline the exact needs for the participatory process, because no process for civic engagement currently exists. There are 'micro plans' that are opportunistic according to specific projects, but the process is ad hoc at the moment, with a lack of a cohesive strategic plan". Such an overarching strategy would give political directive for departments to undertake and adequately resource participatory planning activities. It was noted that the "soft services" (i.e., social services) are already working towards building civic

[24] While the planning for the Bethune Street redevelopment is still underway, the potential for the ANC process to feed in to this more formal process has been identified. The Bethune Street project consultants, who were in attendance at the ANC community and professional design workshop, hosted a three-day design charette that was structured similarly to the ANC design workshop. They invited ANC committee members to the workshop, and they also referenced the *Portrait of the Stewart Street Neighbourhood* at the charette, and used some of the ANC engagement activities to inform their preliminary designs. The ANC project was also invited to present the *Vision for the Stewart Street Neighbourhood* at the first formal Public Information Centre about the Bethune Street project.

[25] One of the tensions early on in the ANC project was that SAACA had successfully raised funds to build a new playground in the Stewart Street Park, and residents were dissatisfied with the slow implementation of the project. From the City perspective, they built the infrastructure in the most expedient way possible, given the need for approval processes, putting the project out to tender, and constructing the project. Residents were frustrated with the slow timeline and the perceived lack of communication received from the City. There was an acknowledgement that greater communication throughout the process could have mitigated this dissatisfaction, and led to a more positive interaction between residents and the municipality.

engagement strategy, but that these services have fewer legislatively prescribed engagement processes, which allows for greater flexibility than is afforded in land use and transportation planning processes[26]. There was a suggestion that, in order for a process like the ANC process to fall under an overarching strategy for civic engagement, it must either be more closely tied to legislated timelines, or be a visionary exercise that occurs separate from specific development projects (i.e., building "shovel-ready" visions for neighbourhoods). Given the two-year timeframe for the Stewart Street ANC project, participants saw this process as more effective as a longer-term visionary exercise, rather than tied to specific development projects (which have shorter turn-around times)[27]. Although there is a need to understand the specifics of how the ANC process could interact with an overarching strategy for civic engagement, focus group participants felt that creating such a strategy is highly feasible, with medium contribution from the City.

After the general discussion about the proposed actions, participants split into two smaller groups, and each group chose one action to analyze in greater depth. The groups constructed trees of means and ends (Chevalier & Buckles, 2013), to consider the inputs needed to achieve the action, and the outcome of achieving the action. Section 4.4.3 details the trees of means and ends constructed by the two groups.

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[26] Generally, representatives of the soft services had a greater openness to participatory planning processes. I observed that there was a perception that hard services require more specialized technical knowledge, and thus professional knowledge is more privileged in planning for these types of services. This is consistent with the themes discussed in Chapter 2.

[27] This could be an effect of the City desiring to create distance between participatory processes and formal development processes, which I flag as potentially concerning, because it may be a result of the City desiring to retain power over formal development processes. This is not a result that was confirmed in the focus group discussion, but it is a reflection that I feel is valuable for project partners to note when considering how the partnership may be structured for future participatory planning projects.

4.4.3 Trees of means and ends

Figures 15 and 16 show the trees of means and ends constructed by the two groups. In these diagrams, the box in the centre represents the action the group discussed. The boxes below the action represent the inputs, or means, needed to achieve the action from the perspective of the participants in the focus group. In some instances, means are split into primary and secondary means (i.e., one mean needs to be achieved first in order to achieve the second). In these cases, primary means are listed below secondary means, and the two boxes are attached with a line. The boxes above the action represent the outcomes, or ends, that result from the action. Similar to the means, there are instances where primary and secondary ends are linked to one another.

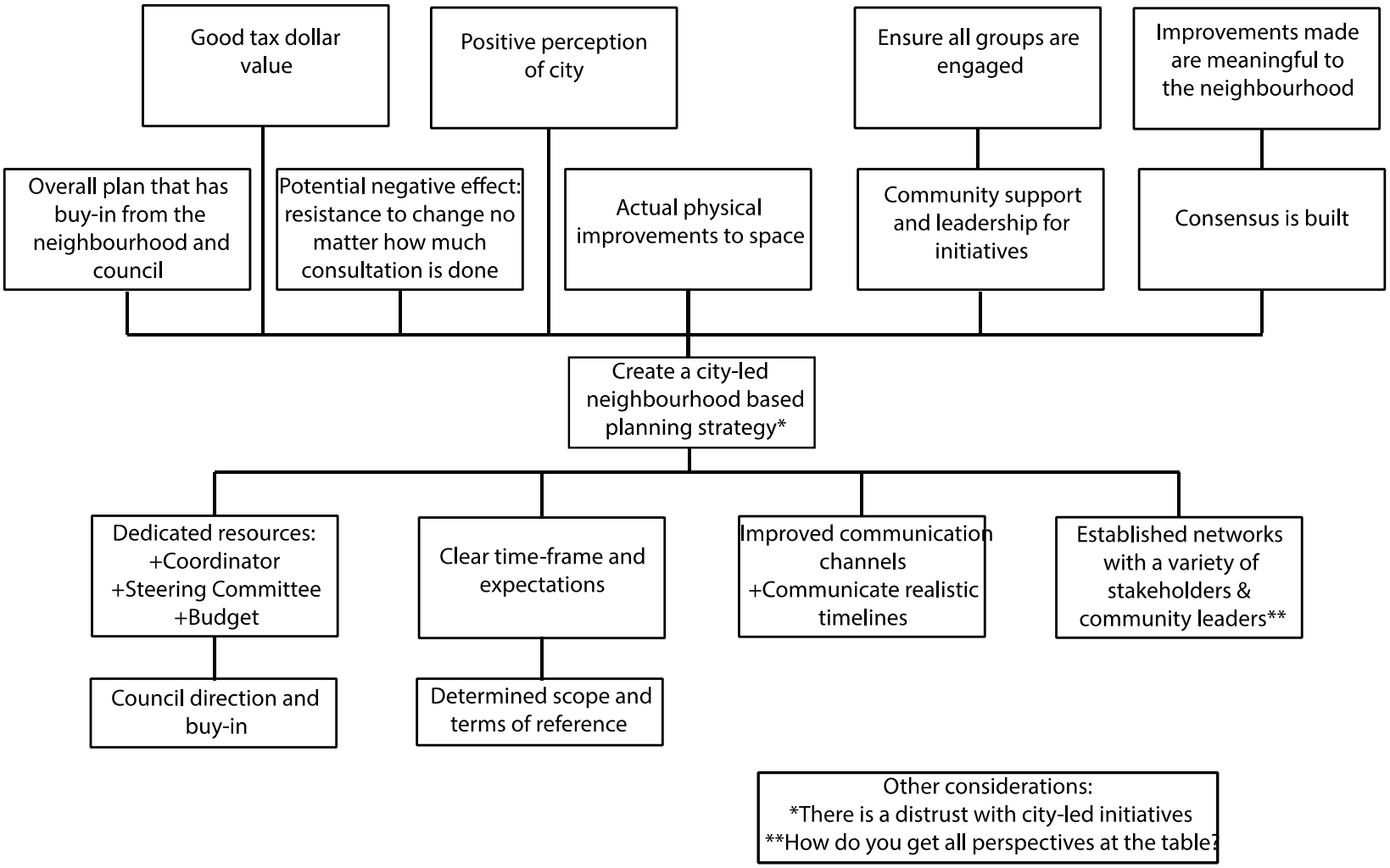

Figure 15: Tree of means and ends, group 1

One of the groups chose to explore the action "create a city-led neighbourhood-based planning strategy". The group noted that this strategy may reflect some similarities to the Hamilton Neighbourhood Action Strategies, but in the shorter term, it could build upon the existing Transitional Uses Sub-Area[28] program happening at the City of Peterborough. Despite the fact that this action was rated moderately to barely feasible in the previous activity, participants in group one felt that it could be a meaningful strategy to pursue in the future, and therefore selected this action to construct a tree of means and ends.

In addition to listing the means and ends of this action, the group also raised two other considerations: one was related to the skepticism that citizens may feel in relation to city-led initiatives, and the other was a concern about how to ensure a diversity of perspectives and stakeholders are represented in the process. In both instances, sustained partnership with community organizations could help mitigate these concerns, as community organizations can help meaningfully bring together state power and citizen power (Blanchet-Cohen, 2015; Cohen-Blankshtian, 2013), and create a more positive relation between citizens and governments. Inputs identified by the group for successful implementation of a neighbourhood-based planning strategy included council direction and buy-in, dedicated resources, improved channels of communication, and established

[28] Transitional Use Sub-Area is a zoning type in the City of Peterborough Central Area Master plan. These areas "can accommodate a more diverse mix of activities than a typical, stable residential area. New uses like high and medium density residential, offices, studios, and home businesses will be accommodated, with due consideration to how they will impact existing neighbourhoods" (Abramowicz et al., 2016, p. 13; City of Peterborough, 2009).

networks and partnerships. Recommendations in Chapter 5 will build on these identified inputs, and will suggest strategies to fulfill these necessary inputs.

Identified outcomes were mostly positive, and included plans that have greater buy-in from residents and council, good tax dollar value, positive perceptions of the City, community leadership, and greater consensus about development projects. The group identified one potential negative outcome, which is a potential resistance to change. However, there was an acknowledgement that some residents will be resistant to change no matter how much engagement is involved in decision-making, and therefore, this outcome is nearly impossible to eliminate fully. Participatory engagement, however, has potential to minimize this negative outcome, relative to less participatory processes.

The second group chose explored the action, "Use participatory planning processes to supplement legal requirements for engagement", because it was an action that was rated as highly feasible and requiring minimal resource contribution, and therefore, could be a practical action to undertake in the short term. Figure 16 shows the Tree of Means and Ends constructed by Group 2.

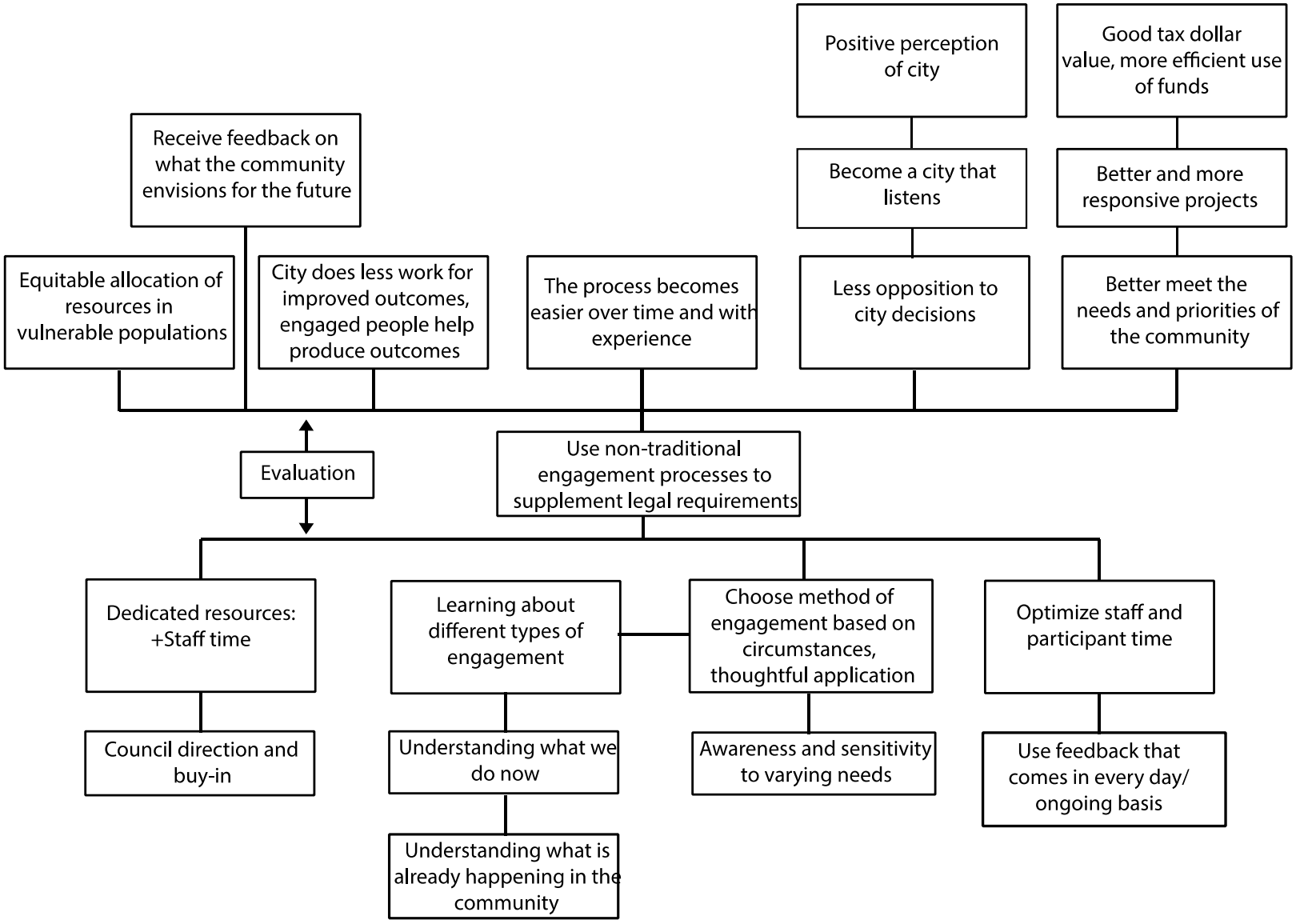

Figure 16: Tree of means and ends, group two

The second group analyzed the possibility of using non-traditional engagement methods (facilitated in partnership with the ANC committee) to supplement legal requirements for engagement. They identified required inputs required to achieve this action, including council direction and buy-in and dedicated staff time (i.e., to sit on ANC committee and foster a partnership). There was also an identified need to optimize staff time through improved channels of communication, and a need to implement citizen feedback on an ongoing basis. This group also considered a set of inputs related to choosing appropriate engagement mechanisms based on local circumstances. In order to identify and thoughtfully apply these engagement techniques, there is a need to understand best practices in participatory engagement, have an awareness of differing neighbourhood contexts, and understand the shortcomings of status quo engagement methods. The results of this research, to a degree, provide a preliminary conceptual a foundation for meeting this need.

Anticipated outcomes from this action, if pursued, were generally positive and include good tax dollar value, a positive perception of the city, effective use of time and resources (i.e., "the city does less work for improved outcomes, because engaged people produce outcomes"), and that plans become more responsive to community needs. It was also identified that participatory engagement processes would become easier and more efficient over time, as the City becomes more well-versed in alternative engagement techniques.

The group also identified a need for ongoing evaluation, in order to assess the efficacy of different engagement approaches, and their impact on development outcomes.

4.5 Chapter conclusion

The results indicate that the participatory planning approaches used in the ANC project felt engaging and impactful, from the perspectives of neighbourhood residents and ANC steering committee members. While there was some variance in the perceptions of specific engagement activities, the overall perception of the ANC participatory planning process was positive. These results affirm findings in the literature, which suggest that a partnership-based (Arnstein, 1969) approach to planning is an effective level of citizen participation in transportation planning (Bailey & Grossardt, 2010), and that NGOs and community organizations can be an effective tool to organize citizen voices, and broker power between citizens and municipalities (Cohen-Blankshtain et al., 2013; Blanchet-Cohen, 2015; Sorenson & Sagris, 2010).

The results also suggest that neighbourhood-scale is an appropriate level to undertake participatory planning exercises (Sorenson & Sagris, 2010; Blachet-Cohen, 2015), although I caution that this is not a firm conclusion of the research, as this study did not compare neighbourhood-based planning relative to other scales of participatory planning. The tensions that arose in the Stewart Street and Area Neighbourhood Association, which led to its dissolution as a formal association, indicate the need for more supportive structures for neighbourhood associations, should the ANC project partners and the City of Peterborough choose to continue to pursue a neighbourhood-based participatory planning strategy. There is also an identified need to strengthen the neighbourhood network in Peterborough, as the city currently lacks a historical neighbourhood structure.

Additionally, the research finds that incorporating participatory planning into

professional planning practices can benefit the planning profession. Members of the Ontario Professional Planners' Institute and City of Peterborough municipal staff people identified a broad range of benefits to participatory planning. Some benefits are democratic in nature (i.e., promoting fairness, creating an inclusive and co-designed process, building consensus, allocating resources more equitably, supporting community members in assuming leadership roles, and creating a proactive and integrative approach to civic engagement). Others are political (i.e., creating a more positive perception of the city, becoming "a city that listens", and the ability to anticipate resident response to a proposed development, which in turn creates less opposition to city decisions), some benefits are financial (i.e., accessing good tax dollar value, creating better outcomes for less work [because in this model, partner organizations take on much of the work of engagement]), and other benefits are tangible (i.e. planning outcomes are improved, actual changes to the built environment are reflective of community needs). This result affirms the findings in the literature that planning processes and outcomes can be improved by incorporating local knowledge held by the citizens (Blanchet-Cohen, 2015; Booher, 2008; Innes & Booher, 2004; Rowe & Frewer, 2000; Sorensen & Sagaris, 2010).

Both the OPPI focus group and the City Staff focus group identified barriers to implementing participatory planning into professional practice, including barriers stemming from resource availability, policy limitations, the inaccessibility of planning processes and language, the internal politics of municipalities, citizen skepticism, incongruity with established professional practice, and relationships with developers. However, the focus group participants also explored actions that could potentially

minimize these barriers, and the inputs needed to achieve these actions. Building on these findings, the next chapter will provide a set of specific recommendations to sustain participatory planning processes in Peterborough, Ontario, and will list the resources necessary to implement the recommendations. It will also look at how to further legitimize participatory planning processes through a strengthened relationship with the City of Peterborough, because (as is noted by Cohen-Blankshtain et al., 2013) the City holds the legitimate authority to approve, implement, and enforce plans.

Chapter 5 Recommendations

This chapter presents a set of informed recommendations to sustain a partnership-based participatory planning approach in Peterborough, Ontario. I have divided these recommendations into three subsections; the first subsection is focused on refining the ANC approach, and building a case to scale up the approach. These are short-term recommendations, which could occur within a zero to two-year timeframe. The second set of recommendations focuses on scaling up the approach to multiple neighbourhoods in Peterborough. These recommendations have a projected two to six-year time frame. The last set of recommendations focus on institutionalizing support for participatory planning approaches within the municipality, and could occur in a timeframe of six to ten years. These timeframes were selected based on grant timelines, and an estimated two-year time amount required to undertake a project modeled after the ANC approach.

5.1 Short term: Refining the approach and building a case (0-2 years)

This set of recommendations is predicated on refining the ANC approach, and building a case for a larger-scale participatory planning approach in Peterborough. As noted in the City Staff focus group, a strong evidence-based approach is necessary for the City of Peterborough to invest time and resources into continuing a partnership to undertake participatory planning activities.

There are two primary objectives of this set of recommendations. The first objective is to gather resources and partners to undertake a second neighbourhood-based participatory planning project in Peterborough. Undertaking a second project will allow partners to reflect on how to improve the ANC approach, and how to make the approach

relevant in a different neighbourhood context. This will also allow partners to understand and work through some of the tensions that arose during the Stewart Street project, including the ways in which the project unintentionally reproduced unequal power relations at times.[29]

Refining the ANC approach will also provide partners with the opportunity to continue to do research and evaluation, and begin building a case for a larger-scale participatory planning strategy in Peterborough.

There are a total of six short-term recommendations, detailed below.

[29] For example, the Community and Professional design workshop reproduced a relationship in which resident voices were silenced professional voices. This dynamic also occurred internal to the steering committee, at times, and I feel that in future projects an explicit consideration of internal power dynamics is necessary to create a safer space for marginalized residents.

5.1.1 Develop a tool kit of best practices for engaging marginalized residents in participatory planning exercises

Considering the evaluation of the ANC project activities undertaken in the resident and steering committee focus groups, I recommend integrating resident and steering committee feedback into a toolkit of best practices for future participatory planning projects in Peterborough. While the specific participatory planning process and activities undertaken in a resident-led participatory planning process will vary based on neighbourhood context and resident-identified needs, this research identified some generalizable traits that lead to a meaningful participatory planning process. Some elements to consider integrating into a best practices guide, as informed by the resident and steering committee focus groups, include:

- Designing activities that are fun, accessible, informal, and hands-on;
- Having a sustained and visible presence in the neighborhood through door-to-door surveying and on-the-street engagement;
- Working to intentionally position residents as local experts and knowledge holders during activities that seek to combine resident and professional knowledge (i.e., through an activity like the resident-led community walk-about during the OPPI workshop);
- Working to enhance residents' access to knowledge and training to improve their understanding of planning principles and language;

- Creating engagement opportunities and activities that are age- and ability-appropriate for residents of all ages and abilities;
- Strategically reaching out to the most vulnerable and/or marginalized residents within the community, who may not have the ability to access all participatory planning activities (i.e., thinking of opportunities and activities to engage people that are street-involved, socially isolated, lacking mobility, etc. Opportunities could include door-to-door and on-the-street engagement activities, targeted focus groups, or outreach events for specific communities within the neighbourhood.)
- Enhancing communication between the steering committee and residents in the neighbourhood, so that residents are aware of how their input into the ANC process informs the project outputs and achieves defined goals.

This research provides a primary foundation for the best practices guide. However, in keeping with the participatory, communicative, and community-led ethic of the ANC project, all members of the ANC steering committee, along with other residents of the Stewart Street neighbourhood, should develop the guide collaboratively. Resources required to achieve this goal include a project manager, and a commitment of time from the steering committee to develop the guide.

5.1.2 Seek external funding to undertake a participatory planning project in a second Peterborough neighbourhood

In order to sustain the ANC project approach, appropriate funding is necessary. The Stewart Street Active Neighbourhoods project received funding from a diversity of sources, including the Public Health Agency of Canada, the Ontario Trillium Foundation, and the Social Sciences and Humanities Research Council of Canada (via the

Communities First: Impacts of Community Engagement grant). These funding sources will end in Summer 2016, and, therefore, many of the organizations represented on the ANC steering committee will lose capacity to participate in a sustained partnership. The ANC steering committee will also lose the support of the two part-time project managers from the Toronto Centre for Active Transportation [TCAT], as this staff capacity was provided to the Peterborough project as a part of the broader Active Neighbourhoods Canada network. At the culmination of the Stewart Street project, the TCAT project managers will shift their focus to support two new ANC projects in other Ontario communities.

Access to funding and resources was considered an enabler to participatory planning by both the OPPI and City staff focus groups, and the resident focus group considered access to adequate resources a criterion upon which to evaluate engagement activities. The loss of funding and resources will limit the extent to which the project partners are able to undertake this work. However, the successful local partnership developed during the Stewart Street ANC project, as well as the results of this research, can be used to inform grant applications to secure further funding for this type of work. Continuing with a partnership model for facilitating participatory planning is a preferred method of engaging residents, which emerged from this research and is supported in the literature. Moving forward, I see two primary options to sustain neighbourhood-based participatory planning work over the next couple years. The options are:

1) Applying for an Ontario Trillium Foundation Grow Grant, which can provide between $50,000 and $250,000 per year for up to three years to replicate, adapt, or scale up a proven model (OTF, 2016b). An OTF Grow Grant would allow the

current ANC partners [listed in Table 1] to undertake one to two additional neighbourhood-based planning projects over a two to three-year timeframe. This option would allow the core focus of the project to remain grounded in engaging marginalized residents in participatory planning, with a goal of impacting urban design to facilitate active transportation use. Or,

2) Expanding the partnership and the focus of the work to include a broader objective of facilitating asset-based neighbourhood development. An asset-based development approach "builds on the skills, strengths, and supports of residents, groups, and institutions to build stronger communities" (City of Hamilton, 2015), and could focus on social and physical improvements to neighbourhood infrastructure. This approach would involve partnering with other organizations in Peterborough to widen the scope of the work. From my knowledge of the Peterborough community, I am aware of other organizations currently working with asset-based community development and/or neighbourhood development work including (but not limited to) the Peterborough Partners for Wellness, the Peterborough Poverty Reduction Network, Peterborough Dialogues, the Tamarack Institute for Community Engagement, United Way Peterborough, the YWCA, and the Nourish Project. The ANC project has worked with many of these partners at various points throughout the two-year span of the project, and could feasibly approach these partners with a recommendation to establish a broader coalition for neighbourhood-based development work.

Creating a broader-based partnership could position the project to apply for the Ontario Trillium Foundation Collective Impact Grant stream, which

invests in broad, cross-sectoral partnerships working to address complex issues that require major systems change (OTF, 2016a). This grant stream has a phased approach to developing projects. The first phase, called "Build the Case", provides up to $20,000 for one year to allow "community stakeholders [to] convene and work together to test a hypothesis and build the case for identified change" (OTF, 2016a, p.6). The next phase provides up to $75,000 for up to two years to develop a detailed proposal for the collective impact project, and the final phase –implementation –provides up to $500,000 for up to 5 years to implement the collective impact project (OTF, 2016a). Thus, the advantage of seeking funding under this granting stream is the potential for longer-term funding. If this pathway to funding is preferred, I recommend applying for a "Build the Case" funding type as soon as an application can be constructed, and if that application is successful, continuing to a "Detailed Proposal" funding type over the next couple years.

In addition to seeking one of these OTF grants, the committee could look into other funding available in the community, including grants from the City of Peterborough, the Community Foundation of Greater Peterborough, the Peterborough Foundation, and Community Futures Peterborough. The City of Peterborough grants in particular could help build a funding relationship between the City and the ANC committee, with an ultimate goal towards the City becoming a sustained funder of participatory planning work. At early phases of applying for City grants, the grant amounts are relatively small; the first granting phase is a project grant, which awards up to $1,000 for one year. However, after receiving project grants for a sustained two-year period, larger funding

pools are available to applicants (City of Peterborough, 2016).

The resources needed to complete this recommendation include: a grant writing team and evidence for the success of the participatory planning approach, including the results of this research.

5.1.3 Outline partner roles with a Terms of Reference

Formalizing the partnership between local NGOs and the City of Peterborough will create a strong foundation for the continuation of participatory planning work, and will help to clarify partner roles for future funding applications. The current ANC steering committee has a terms of reference, but partner roles may shift substantially depending on funding availability, and the steering committee structure will change with the loss of TCAT as a provincial partner. Articulating the partnership roles will help each partner understand their roles and responsibilities within potential upcoming participatory planning projects.

City of Peterborough staff people expressed a readiness to continue a partnership with the community partners represented on the ANC steering committee. City staff also noted the high feasibility engagement activities facilitated in partnership with the ANC committee being used to supplement legal requirements for engagement. Thus, in a new terms of reference, I recommend articulating how the City of Peterborough envisions the engagement activities facilitated by the ANC committee can contribute to more formal planning processes.

I also recommend that the City of Peterborough and the community partners work together to strategically identify current and future development opportunities, so that the next neighbourhood(s) selected for a participatory planning pilots have the ability to

impact upcoming developments in their community. The Transitional Uses Sub-Areas were identified in the City Staff Focus group as potential areas of focus for future participatory planning projects, as they will be experiencing increased densification, a change in land-use mix, and a potential change in neighbourhood character. Ensuring that these changes occur in a way that is responsive to resident needs, and includes robust citizen engagement, is essential to these neighbourhoods changing in a way that is perceived positively by residents.

I recommend that Trent University and the Trent Community Research Centre remain engaged in the project going forward, by continuing to provide graduate student research capacity and faculty support. The relationship between Trent, the TCRC, and other community partners should be formalized within the terms of reference. The continued involvement of Trent and the TCRC will provide capacity for ongoing research and project evaluation, which will be helpful to continue building an evidence-based approach as a foundation to seek sustained long-term funding.

Although the individual neighbourhood residents involved in the project will vary depending on the neighbourhood of focus, clearly articulating the roles for resident representatives in the terms of reference is also recommended. For example, determining the time commitment necessary to be a neighbourhood representative, and outlining the compensation for neighbourhood representatives will help residents determine if they want to sit on the steering committee.

The terms of reference should also include a code of conduct to provide a framework for how to navigate interpersonal challenges. In the Stewart Street project, interpersonal challenges between residents (which I cannot discuss in detail due to

confidentiality) led to the dissolution of the Stewart Street and Area Community Association, which directly impacted the ANC project. In this instance, the steering committee did not have a structure in place to mediate conflict, or to highlight inappropriate conduct. In the future, project partners should agree on a code of conduct and a conflict-resolution process.

Further, the terms of reference should include a communication plan that outlines who among the project partners is responsible for communicating project outcomes, and how this communication should occur. The objective of the communication plan is to address the finding that, in the Stewart Street ANC project, some neighbourhood residents were not always aware of the impacts of project activities.

Resources needed to achieve this recommendation include staff time from partner organizations to meet and develop a terms of reference. In order to sustain the continuation of the partnership, funding is also required. This recommendation could be carried out prior to applying for funding, so that the partner terms of reference can be used to support grant applications.

5.1.4 Build a tool-kit to support neighbourhood associations

Neighbourhood associations are relatively uncommon in the City of Peterborough –as of May 2016, there is only one active neighbourhood association that I am aware of in Peterborough. The dissolution of the Stewart Street and Area Community Association during the course of the ANC suggests to me that Peterborough lacks supportive structures to sustain neighbourhood associations. While the tensions that led to the dissolution of SAACA were interpersonal in nature, I observed that the dissolution of the

association might have been avoided if association members had a more defined and supportive structure for the association.

I recommend that research be conducted into best practices for neighbourhood association tool kits, and that a tool-kit to support neighbourhood associations in Peterborough be developed. In addition to helping provide structure and support to nascent neighbourhood associations, I envision that a tool kit of this nature could be helpful for residents to define geographically and socially district neighbourhoods. The City Staff focus group noted the lack of a historical neighbourhood structure in Peterborough as a barrier to neighbourhood-based participatory planning. If a tool kit for neighbourhood associations were created, project partners could use it to raise awareness about neighbourhood-focused community development work, and help residents in different areas of the city work with their neighbours to identify socially and geographically relevant neighbourhoods.

The primary resource required to achieve this recommendation is research capacity. If Trent University and the TCRC remain engaged, I believe that the development of the tool kit would be appropriate for an undergraduate or graduate student community-based research project.

5.1.5 Present the outcomes of this research and the ANC project to City Council; propose the creation of an overarching strategy for civic engagement

While physical changes to neighbourhood infrastructure have not yet occurred as a result of the Stewart Street Active Neighbourhoods project, the project has already seen some

successes[30], and sharing these results with City Council will begin to build a case for sustained support of participatory planning work. Articulating to Council the benefits of participatory planning, as identified by OPPI planners and City of Peterborough staff people, will help to illustrate the value of participatory engagement. Sharing the positive ratings for impact and engagement criteria across all of the ANC activities will also demonstrate that community members find these approaches effective.

A presentation to Council is also an opportunity to suggest an overarching strategy for civic engagement, which was an intervention identified by the City Staff focus group as a way to ensure that public engagement is consistent across all City departments. This research can help to support the development of an overarching strategy, and provide a rationale for the need for this type of strategy. If an overarching strategy for civic engagement were adopted, it would create strong alignment between the community-based participatory planning work and municipal objectives. This alignment would help build a case for sustained City funding of participatory planning work, and in addition to advocating for an overarching strategy for civic engagement, the presentation to Council could advocate for increased funding for participatory engagement in annual departmental budgets. Council could provide funding to City departments earmarked for participatory engagement processes, to begin to properly resource participatory planning processes within the City.

The resources required to achieve this recommendation are a group of ANC

[30] Notable successes of the project reported in this research include the positive feedback received by residents in focus groups, the use of ANC project outputs at the Bethune Street Design Charette and Public Information Centre, the positive relations between residents and professional planners observed at the OPPI workshop, and the interest City Staff people showed in sustaining participatory planning work.

steering committee members who are willing to form a delegation to speak to City Council. The delegation should be coordinated with input from the City staff people that are currently on the steering committee.

5.1.6 Enable residents to use ANC project outputs to participate in the Bethune Street redevelopment project

The outputs of the Stewart Street ANC project, including the *Portrait of the Stewart Street Neighbourhood* and the *Vision for the Stewart Street Neighbourhood* can be used to mobilize resident input and support residents in participating in formal engagement processes for the Bethune Street redevelopment project. Public consultation for the Bethune Street project began in May 2016. Prior to the first Public Information Centre, the ANC steering committee created and distributed a newsletter in the neighbourhood that identified residents' design priorities, and invited residents to participate in upcoming Bethune Street consultations. Continuing to make the project outputs available to residents, and updating residents about upcoming formal engagement opportunities in the neighbourhood, will help the residents to advocate for the changes they would like to see in their neighbourhood. Empowering residents to work with formal engagement processes during the Bethune Street Redevelopment may create positive social impact in the neighbourhood by helping residents to feel supported in voicing their desires for public space. It may also contribute to long-term changes to the Bethune Street streetscape, resulting in a public space that is more responsive to community needs.

5.1.7 Follow-up with other research being conducted across all twelve ANC projects and compare results

In addition to my research, there are several other researchers working to evaluate the

ANC project, both locally, and within the other eleven ANC projects. Locally, two of our project funders are conducting evaluative research about the ANC process. The SSHRC Communities First: Impacts of Community engagement has hired a research assistant to evaluate the impact of the campus-community partnership, and evaluate the working relationships in the steering committee. The national ANC project, funded by the Public Health Agency of Canada (PHAC) via the Montreal Urban Ecology Centre, is currently conducting interviews with participants from each of the ANC projects to evaluate the national project approach.

It is valuable for members of the Peterborough ANC steering committee to follow up with these research results. Because these researchers are external to the ANC committee (versus my embedded research approach), their studies have different strengths and limitations. Their studies can overcome one of my identified methodological limitations, namely that research participants may be reticent to express negative or critical reflections about the project to me, because of the personal relationships that have developed over the two-year time span of this study. Another strength of these evaluations is that they are summative in nature (Brown & Chin, 2013). Due to the time constraints of my Master's program, I was not able to collect summative data, and instead relied on formative data gathered midway through the ANC project.

The PHAC research also covers a broader base of participatory planning projects, because the PHAC evaluator is considering all twelve ANC projects. While my research responds to a local context, understanding successes and failures in the other eleven projects will help the local committee to tailor future projects to differing neighbourhood contexts and needs.

5.2 Medium-Term: Scaling up the approach (2-6 years)

After testing the ANC approach in another neighbourhood in Peterborough, the medium-term recommendations focus on scaling up the approach to a multi-neighbourhood participatory planning strategy. These recommendations rely on the success of several of the short-term recommendations, namely 5.1.1 and 5.1.2. Therefore, I have not listed the specific resources required, and it can be assumed that these recommendations rely on the success of a sustained partnership over the next two years.

5.2.1 Apply for an "Implementation" phase Collective Impact grant

If the ANC committee decides to develop a broader-based partnership model, as suggested in option two presented in recommendation 5.1.1, and is successful in receiving the earlier phase Collective Impact grants, the collective should be prepared to apply for an implementation phase Ontario Trillium Foundation Collective Impact Grant within two to three years. This grant type provides up to $500,000 for up to five years of funding (OTF, 2015) and, therefore, would provide substantial funding to sustain a multi-neighbourhood participatory planning approach during the time frame of the medium-term recommendations.

5.2.2 Apply for a City of Peterborough Community Investment Grant

This recommendation presumes that applications for City of Peterborough Project Grants (recommended in 5.1.1) were successful. If the project successfully receives Project Grants for two years, it becomes eligible for City of Peterborough Community Investment Grants, which are worth up to $15,000 per year for up to three years (City of

Peterborough, 2016). This recommendation also requires a supportive backbone organization, as multi-year grants are only available to incorporated not-for-profits (City of Peterborough, 2016). Organizations already in receipt of a City of Peterborough grant are also ineligible for an Investment Grant, so eligibility would be dependent upon the project being hosted by a backbone organization that does not already receive City funding.

GreenUP, the coordinating organization of the Stewart Street ANC project already receives an annual Community Service Grant from the City (GreenUP, 2016). If GreenUP continues to support the participatory planning project in this capacity, this would impact eligibility for these grants. While the continued backbone support of GreenUP would undoubtedly be an asset to the project, this also impacts the eligibility for the receipt of longer-term funding from the City. Project partners could explore the feasibility of incorporating a new not-for-profit organization, with a mandate focused on participatory planning, in order to open up the potential to access long-term City funding. GreenUP could also potentially work with the City of Peterborough to modify their existing funding relationship, in order to receive additional funding earmarked specifically for brokering participatory planning processes. These options must be discussed openly with all project partners, and the costs and benefits must be considered fairly and transparently.

5.2.3 Follow the Bethune Street Redevelopment as it is implemented

Construction of the Bethune Street Redevelopment project is expected to begin in spring 2017, and to take five years to complete. I recommend that project partners continue to

follow the Bethune Street redevelopment as it unfolds, to see how neighbourhood residents' feedback and vision is incorporated into the project. When the Bethune Street redevelopment is complete, I recommend doing a follow-up evaluation with ANC project participants, to understand their perceptions of the Bethune Street project and the ways in which they feel their participation in the ANC project did, or did not, influence the final streetscape on Bethune Street. Conducting this type of follow-up evaluation could potentially demonstrate tangible impacts of the ANC project, which would help to strengthen the case for participatory planning to be supported by the municipality. A student researcher could conduct this evaluation, with support from he Trent Community Research Centre and Trent University.

5.3 Long-term: Institutionalizing participatory planning (6+ years)

If the previous two sets of recommendations build a substantial, evidence-based case for the positive impacts of participatory planning projects in Peterborough, this final set of recommendations provides suggestions for how these approaches could become institutionalized within municipal planning practices in the City of Peterborough. Building on the results of the City Staff focus group, I have presented two potential ways for this to occur. The first option is for the City of Peterborough to become a sustained funder of a third-party organization (i.e., GreenUP), which will be the coordinating organization for participatory planning projects. The second option is for the City of Peterborough to create an in-house participatory planning strategy, similar to the City of Hamilton Neighbourhood Action Strategy. It should be noted that, in both instances, I recommend that these activities still involve a collaborative partnership with NGOs and neighbourhood residents, because, as explored in Chapter 2, partnership is an effective

level of citizen engagement in planning decisions (Bailey & Grossardt, 2010), and NGOs and neighbourhood associations can ignite citizen engagement, organize resident input, and broker power between residents and government (Cohen-Blankshtain et al., 2013; Blanchet-Cohen, 2015; Sorenson & Sagris, 2010).

5.3.1 Sustained funder model

The first model of institutionalizing participatory planning is for the City of Peterborough to become a sustained funder of a third-party organization, which will continue in a coordinating role. This option was explored in the City Staff focus group, and participants rated it as moderately to highly feasible, despite requiring a high level of resource contribution from the City. It was noted in the focus group that Council is often receptive to funding community-based projects with a strong, evidence-based approach. In fact, the highest level of community grants awarded by the City of Peterborough (Community Service Grants, worth upwards of $15,000 per year) are not awarded via an application process, but rather are awarded to organizations or projects identified by City staff and approved by Council (City of Peterborough, 2016). These grants are awarded to,

> Organizations identified by the City that provide a specific service that the City should be providing but the NFP's [Not-for-Profits] can do so more effectively and efficiently… [or for] funding the core program of an agency or service that is supportive to the attainment of municipal or community objectives that are not within the parameters of the municipal corporate mandate. (City of Peterborough, 2016, p. 4)

Similar to the Community Investment grants, the Service Grants are only granted to

incorporated not-for-profits that are not already in receipt of other City of Peterborough grants, so eligibility for these grants is dependent on which organization plays a coordinating role. If GreenUP continues in a coordination capacity, an option to explore is the feasibility of modifying GreenUP's current funding agreement with the City of Peterborough to include additional funding earmarked to support the coordination of neighbourhood-based participatory planning projects.

5.3.2 City-led participatory planning strategy

The second option presented is to advocate for a City-led participatory planning strategy, in which the City hires staff people to coordinate in-house neighbourhood-based participatory planning exercises. In this case, I recommend that the City continue to work in partnership with local NGOs and neighbourhood associations, and to allow these organizations to continue having a role in sponsoring and facilitating engagement opportunities. This option was also explored in the City Staff focus group, and was considered less feasible than a sustained funder model. However, perceptions regarding the feasibility could shift after a sustained period of successful participatory planning projects, and therefore I have chosen to present it as a potential long-term recommendation.

I caution that if this approach is selected, due attention must be paid to creating space for NGOs to maintain their autonomy and agency within the process. As Blanchet-Cohen (2015) notes, "organizations must conserve a position of externality to avoid the state co-opting them for political or administrative reasons, and having, as a result, citizen's participation falling short" (p. 277). In order for an NGO or community

organization to effectively "ignite citizen power" (Blanchet-Cohen, 2015) and broker power between citizens and governments (Cohen-Blankshtain et al., 2013), they must have continued agency within the partnership. However, with a clear partnership and terms of reference, I believe that it is feasible for community organizations to occupy a meaningful role in a city-led process. This would require the City to be willing to share power (Arnstein, 1969), so I suggest this recommendation with the caveat that it should only be implemented if patterns in the short-term and medium-term suggest a sincere willingness by the City to participate in a partnership in which power is redistributed.

If this model is selected, I also recommend background research be conducted into best practices for City-led participatory planning strategies. The Canadian example I am most familiar with is the Hamilton Neighbourhood Action strategy, but the time constraints of this research have not allowed me to do an in-depth review of international best practices for this type of strategy. If, in the future, Trent University and the Trent Community Research Centre remain engaged in this work, a student researcher could undertake this review of best practices.

5.4 Chapter conclusion

This chapter presented a set of informed recommendations to sustain neighbourhood-based participatory planning work in Peterborough. These recommendations build on the themes identified in the literature, which justify the need for increased citizen engagement in planning (e.g., Arnstein, 1969; Booher, 2008; Brown & Chin, 2013; Dill & Carr, 2003; Hou & Kinoshita, 2007; Innes & Booher, 2004; G. Rowe & Frewer, 2000; Rowe, G., Frewer, 2004; Listerborn, 2008), and justify a partnership-based model of engagement that involves governments, NGOs, and citizens (e.g., Cohen-Blankshtain et

al., 2013; Bailey & Grossardt, 2010; Blanchet-Cohen, 2015; Sorenson & Sagris, 2010).

While informed by the literature, the recommendations are also responsive to the specific local context explored in this research. The recommendations are grounded in the data collected through the four focus groups, as well as my sustained role as an embedded participant-researcher, and they are applicable in a local context. While this limits the generalizability of the recommendations, the data presented could also help to inform other municipalities or community organizations that are considering undertaking similar participatory planning work. Additionally, Chapter 6 works to situate the results of this research in the literature, by revisiting and responding to the critiques of communicative planning theory presented in Chapter 2.

Chapter 6 Discussion

The research stemmed from a recognition that, in the Stewart Street neighbourhood, some residents are marginalized by traditional consultative methods of engaging community members in planning (Holgersen & Haarstad, 2009; Listerborn, 2008), and that people living in poverty, youth, older adults, and people with disabilities face systemic barriers to accessing power in planning processes. The reasons for marginalization, according to the literature, are that built environments create inequitable processes that only further marginalize people that experience barriers from the outset to participating in planning processes. In the present case, this is evident; the built environment in the Stewart Street neighbourhood does not support active transportation use, despite the fact that 42% of households in the neighbourhood do not own a personal vehicle, and the median income in the neighbourhood is well below the median income of vehicle owners in Peterborough (Martin et al., 2015; Salmon et al., 2014).

The processes used in the ANC participatory planning project are grounded in a participatory planning approach, which has theoretical roots in communicative planning theory. Communicative planning theory advocates for a deliberative, bottom-up approach to planning, that centres dialoge between stakeholders as a core activity in the planning process. The ANC participatory planning approach applies communicative planning theory critically, and attempts to respond to critiques of the theory, albeit with mixed success. In this chapter, I will respond to each of the critiques of communicative planning theory presented in Chapter 2, and will look at how the partnership-based participatory planning approach employed in the ANC project responded to, or attempted to respond to, these critiques in order to create a more equitable planning process.

Communicative planning theory has been critiqued for its lack of recognition of the power context of planning processes and systems (Bailey & Grossardt, 2010; Brown & Chin, 2013; Holgersen & Haarstad, 2009; Listerborn, 2008; McGurick, 2001). While the intention of the ANC project was to acknowledge and shift these power contexts through a partnership-based approach, changing a systemic power relationship is challenging. In my observations, the ANC project unintentionally reproduced unequal power relationships at times (for example, the prioritization of professional knowledge at the community- and professional design workshop, which reproduced a power relationship in which citizen knowledge was undervalued). However, despite this, neighbourhood residents strongly indicated that they felt the process was community-led, and indicated an overall high feeling of engagement and satisfaction with the project. This indicates that the ANC project did, to a degree, succeed in shifting the power context. In future participatory planning projects, positioning residents as local experts and knowledge holders at the onset of activities that seek to bring together resident and professional knowledge is preferred, and could feasibly help create a more meaningful shift in power relations.

Communicative planning has also been critiqued because governments are often the party sponsoring engagement opportunities, and, therefore, the state is afforded a high degree of power as the sponsor of engagement opportunities (Mathers et al., 2008; Sorenson & Sagris, 2010; Blanchet-Cohen, 2015; Brown & Chin, 2013; Cohen-Blankshtain et al., 2013; Hoehner et al., 2003; Holgersen & Haarstad, 2009; Listerborn, 2008; Willson, 2001). In the ANC process, this hierarchy is flattened to the extent possible, given that the City still holds the legitmate authority to approve and implement

plans (Cohen-Blankshtain et al., 2013). The City of Peterborough is only one partner in the ANC steering committee, and community organizations and residents also play a significant role in sponsoring engagement opportunities. As suggested by Blanchet-Cohen (2015) and Cohen-Blankshtain et al. (2013), NGOs played a role of brokering power between residents and the government. Nevertheless, throughout the course of the ANC project, I observed at least one instance of a City representative trying to assert authority on the steering committee, by suggesting that the results of an engagement activity should not be shared publicly, because they did not represent professional best practice. This indicates that there is still an underyling tension, in which representatives of the City may still view their knowledge as more legitimate than the knowledge held by community members and NGOs, even when the project goals are to center the vision and preferences of community members. However, I found that the community organizations and residents were able to push back against this power dynamic, and assert their desire for citizen visions for public space to be shared publicly. This suggests to me that power was distributed more evenly in the ANC process than in traditional engagement processes by virtue of a sense of ownership of the project by community members, and an understanding shared by the steering committee members to prioritze the community's preferences first.

Further, at the City staff focus group, participants did express a reticence to fully "turn over" the sponsorship of engagement activites to community organizations, but they expressed a readiness to continue a partnership-based approach. This represents a willingness to share some power (Arnstein, 1969) in citizen engagement in Peterborough, which I think is a notable finding of this research. Moving forward, it will be important to

strengthen the role that citizens and community organizations play in sponsoring engagement activities that directly impact actual, implementable plans. Within the Stewart Street ANC project, the relationship between the outcomes of engagement activities and the implementation of actual plans at the City level was informal and undefined. Going forward, I recommend that the terms of reference clearly articulate how the feedback gathered through participatory processes will inform specific municipal planning and development projects.

Another critique of communicative planning theory is that promotion of the communicative ideal can be used to mask the advancement of neoliberal ideology in planning (Roy, 2015; Farhat, 2014; Gunder, 2010; Perkins, 2013; Sager, 2014; Purcell, 2009). However, I did not observe that this ideological trace presented strongly in the Stewart Street ANC project. The neighbourhood *Portrait* and *Vision* documents did not prioritize private sector, pro-development interests. In fact, the guiding principles for public realm design identified in the *Vision for the Stewart Street Neighbourhood* were accessibility, mobility and connectivity, child-friendly design, placemaking, greenscaping, and safety (Abramowicz et al., 2016). These principles show a much stronger alignment with the ideological underpinnings of environmentalism and participatory democracy (Sager, 2015) than they do with prioritizing a neoliberal economic agenda.

Social dilemma theory frames a fourth critique of communicative planning theory (Bailey & Grossardt, 2010; Blanchet-Cohen, 2015; Voogd, 2001) This critique suggests that there is no mechanism, other than government intervention, to incentivize individuals to protect the interests of broader society. However, Blanchet-Cohen (2015) introduces

the role of NGOs as an entity to build collective interest, and mitigate the effects of the communicative planning paradox. Cohen-Blankshtain et al. (2013) also speak of the role of NGOs in building collective citizen power, and brokering power between citizens and governments.

The communicative planning paradox played out in a very interesting way in the Stewart Street ANC project; the Stewart Street and Area Community Association, which could be an organization to build collective interest, dissolved due to individual interests and interpersonal conflicts. These individual interests and conflicts were external to the neighbourhood planning process, but indicate that individual interests can impact the ability of an organization to build collective interest. SSACA was a relatively unstructured organization, so this trend could suggest that a process to manage or respond to conflict within such an association, along with strong leadership and structure within an association, is necessary to effectively overcome individual interests and conflict, and build collective power.

Despite the challenges with SAACA in the Stewart Street ANC example, GreenUP was the organization primarily responsible for building collective interest, because GreenUP played the primary coordination role, and invited the other project partners into the process. In my observations, GreenUP was effective in engaging residents, pooling resident and professional knowledge, and attempting to mitigate power imbalances as they arose. In addition to coordinating the steering committee and mobilizing residents, GreenUP also made a successful case to the City of Peterborough to include a staff member from the Planning Division on the ANC committee. This affirms the suggestion that NGOs can act as a mechanism to collectivize citizen input, and broker

power between residents and municipalities. NGOs exist in a space where they are able to interact meaningfully with both state power and citizen power, and, therefore, I feel they are an important element in building a partnership-based approach to citizen engagement.

Overall, the Stewart Street participatory planning approach was informed by communicative planning theory, but also attempted to address critiques of the communicative approach. While the project had mixed success in mitigating these critiques, it was a rich learning opportunity, and helped to expose and shift power context traditionally found within planning processes. In the instances where the project failed to meaningfully respond to critiques, the recommendations in Chapter 5 have provided tangible ways forward for project partners in Peterborough, which will hopefully help continue to shift power relations in future participatory planning projects in Peterborough. I feel that the partnership-based neighbourhood participatory planning approach employed in the Stewart Street ANC project elicited high engagement from the community, and was received positively by participants. This type of participatory planning process has potential, over time, to make meaningful change in the power dynamic experienced in planning processes, and reduce how certain community members are marginalized by planning processes in Peterborough.

Chapter 7 Conclusion

This research used a community-based embedded participant-research approach to determine if the participatory planning practices employed in the ANC project were effective methods of engaging marginalized community members in planning, based on evaluation criteria generated by neighbourhood residents and validated by the literature. The research also sought to identify the benefits of participatory planning to professional practice and to understand the barriers and enablers to including participatory planning processes in formal planning processes. Finally, the research provided a set of informed recommendations to operationalize participatory planning practices in the municipality of Peterborough, Ontario.

The evaluation found that the ANC participatory planning approach was largely effective; residents and ANC steering committee members rated activities positively in relation to the user-defined evaluation criteria. In particular, the research found that hands-on and interactive engagement activities are effective tools to engage residents. The 3-D neighbourhood asset map and the Stewart Street play streets event were unanimously the highest ranked activities, and were also highly interactive. The results also suggest that activities designed to bring together resident knowledge and professional knowledge can be effective, if the traditional power dynamic between residents and professionals is intentionally subverted. In the case of the OPPI workshop, power roles were shifted by the resident-led walk-about, which positioned residents as knowledge holders and local experts. In the community and professional design workshop, there was not an activity that explicitly defined residents as knowledge holders, and this contributed to residents feeling disempowered and unable to

meaningfully contribute.

In addition to feedback received at the resident and steering committee focus groups, my participant-observations also helped inform my understanding of the efficacy of the ANC project. Chapter 6 combines my observations, the results of the focus groups, and the review of the literature to outline the ways in which the ANC project responds to, and attempts to minimize, the critiques of communicative planning theory. While the project was not always completely successful in responding to these critiques, the discussion demonstrates a degree of success in changing the context of power that planning traditionally operates within.

In addition to evaluating the ANC project approach and situating it within communicative planning theory literature, this research also sought to understand the benefits, barriers, and enablers to participatory planning, from the perspectives of professional planners. The results indicate that there are numerous benefits to participatory planning. Some benefits are democratic in nature (i.e., promoting fairness, creating an inclusive and co-designed process, building consensus, allocating resources more equitably, supporting community members in assuming leadership roles, and creating a proactive and integrative approach to civic engagement). Others are related to political positioning (i.e., creating a more positive perception of the city, becoming "a city that listens", and the ability to anticipate resident response to a proposed development, which in turn creates less opposition to city decisions); some benefits are financial (i.e., accessing good tax dollar value, creating better outcomes for less work [because in this model, partner organizations take on much of the work of engagement]); and other benefits are tangible (i.e. planning outcomes are improved, actual changes to

the built environment are reflective of community needs). This range of benefits suggests that participatory planning adds value to the planning profession. Both the OPPI focus and City staff focus group participants expressed an interest and willingness to incorporate more participatory planning approaches into their work.

Despite the acknowledgement of the benefits of participatory planning, there are also numerous barriers to achieving a participatory ideal. Barriers identified in this research include: resource accessibility, policy limitations, the [in]accessibility of planning processes and language, the departmental scope of planning work, citizen skepticism, relationships with developers, and the challenge of shifting the professional status quo. In the City staff focus group, participants took a targeted look at these barriers, and considered actions to overcome the barriers. Arising from this focus group, and informed by the other research results, I developed a set of informed recommendations to sustain participatory planning approaches in Peterborough, Ontario. These recommendations, outlined in Chapter 5, provide clear steps forward within short- medium- and long-term timeframes to sustain participatory planning work in Peterborough.

The results and recommendations generated in this research respond to a specific local context, and prioritize local situated knowledges. This process, I feel, has provided tangible benefits to the local community, and has helped to build capacity and knowledge within the community. Although participatory evaluation processes are tailored to specific communities, the process undertaken in this work could also support other communities in designing and implementing similar participatory evaluation projects. Additionally, this research provides contributions to the communicative planning

literature; Chapter 6 positions the results within communicative planning theory literature, and presents contributions to the critiques of communicative planning theory.

Harkening back to the ANC project vision, articulated in Chapter 2.2.2, the goal of the Stewart Street ANC project was to see,

> Neighbourhood development and community planning become accessible and participatory processes that support the creation of healthy and vibrant public spaces and streets, [and] with livable spaces and complete streets, people of all ages and abilities will travel actively, resident safety will be enhanced, and a sense of pride and inclusion will be fostered within the community (Salmon & Pole, 2015, p.4).

Keeping in mind this vision, this research finds that the Stewart Street ANC project has created value for the Stewart Street neighbourhood. This research gave residents the opportunity to self-define what an accessible and participatory planning processes looks like, from their perspective. Using these self-defined criteria, residents and steering committee members alike rated the ANC project activities positively, and indicated that the activities were engaging and impactful.

While changes to the built environment and to patterns of travel have not yet occurred, the extent to which ANC project outputs have been welcomed in to the formal Bethune Street redevelopment process suggests that this vision may also be realized in the longer term. The impact criteria ratings also suggest that the project has helped build a sense of pride and inclusion in the community, as many of the activities helped to increase trust, increase understanding, and build consensus in the community.

While the research demonstrates the value of a participatory planning process to

residents of the Stewart Street neighbourhood, another objective of the research was to envision how this value could be shared with other neighbourhoods in Peterborough. To this end, I have provided a set of informed recommendations to improve, enhance, and scale-up neighbourhood-based participatory planning approaches in the City of Peterborough. It is my hope that the ANC project vision can be realized across the city, and that barriers to participation, and the resulting marginalization of certain community members in planning processes, are minimized.

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Appendix 1: ***Portrait of the Stewart Street Neighbourhood***

Réseau Quartiers verts Active Neighbourhoods Canada

what do you love about your neighbourhood?

Cover photo: residents of the Stewart Street neighbourhood build plots for the community garden. credit, CFC PIX

Funding for this project has been made possible through a contribution from the Public Health Agency of Canada. The views expressed herein do not necessarily represent the views of the Public Health Agency of Canada. Additional funds for the local Peterborough project have been provided by the Ontario Trillium Foundation and SSHRC-CURA (Social Science and Humanities Research Council-Community University Research Alliance).

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Réseau Quartiers verts — Active Neighbourhoods Canada

Active Neighbourhoods Canada (ANC) is a network of communities across Canada that use participatory planning - for and with citizens - to build green, active and healthy neighbourhoods . The partners in this network work together to create living environments better adapted to walking and cycling.

Team members who contributed to this portrait:
Car Martin, Mikey Bennington, Brianna Salmon, Tessa Nasca, Sue Sauve
Cameron Macdonald, Krista Wiryomartono

tcat toronto centre for active transportation

GreenUP

TRENT UNIVERSITY

Peterborough It's a Natural.

Peterborough County-City HEALTH UNIT ...because health matters!

Trent Centre for Community-Based Education

B!KE Peterborough Community Cycling Hub

TABLE OF CONTENTS

INTRODUCTION

Active Neighbourhoods Canada (ANC) is a national partnership of organizations bringing participatory planning to 12 communities in Alberta, Ontario and Quebec. In the ANC project, the meaning of the word 'active' is threefold. The project works towards changes in the built environment that encourage *active* transportation, *active* public spaces and *active*, engaged citizens. This portrait illustrates the second Ontario community to join the ANC project: The Stewart Street Neighbourhood in Peterborough. It is a snapshot of the community compiled through events, observations and secondary research.

The Active Neighbourhoods project employs lessons learned from the 'Green Active and Healthy Neighbourhoods' pilot created by the Montreal Urban Ecology Centre and further develops the methods to suit local contexts.

Each local project is divided into three phases: Understanding, Exploring and Building (see below). Documentation of phase 1 for the Stewart Street neighbourhood is contained within this portrait.

Phase 1: Understanding
The goal of the first phase is to understand the current context in the neighbourhood in order to identify potential improvements and constraints related to mobility. Different data collection methods are used to create a 'Portrait', including field surveys, documentation and consultation activities.

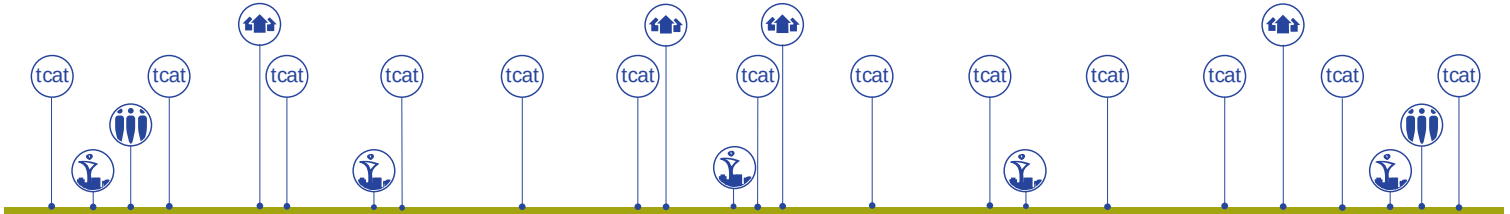
Phase 2: Exploring
The objective of Phase 2 is to establish a common vision, define priorities for action, and create design solutions that respect the local identity and practices of the neighbourhood. Examples of methods used during this phase include a Citizen's Forum and workshops with professionals.

Phase 3: Building
Local partners collaborate on a Community Plan outlining goals and design solutions. The plan is used as a tool to strategize and partner with local municipal officials, transit authorities, other levels of government, as well as institutions, retailers and individuals towards the incremental implementation of these goals.

Project overview

CANADIAN PARTNERS MEETING | ADVISORY COMMITTEE MEETING | TCAT INTERNAL MEETING | LOCAL TEAM MEETING

ACTIVE NEIGHBOURHOODS STEWART STREET PHASE 1 TIMELINE



Activities:
Attended local fundraiser for Stewart Street Park, launched travel survey and neighbourhood model
~300 Participants (~30 directly engaged)

Activities:
Presentation on participatory budgetting in Trent class ERST3130; report submitted to local team to feed into project research & goals
~30 Participants

Activities:
*Playstreets!
Stewart Street was closed to traffic and opened up to games, food, circus performers, a bike rodeo, a bicycle obstacle course and a community mapping activity
~200 Participants

Activities:
*Exploratory walk and workshop with the local chapter of the Ontario Professional Planners Institute (OPPI) introducing the project and identifying barriers to participation within professional practice. 35 Participants

Activities:
*Community asset mapping booth held at the Peterborough Downtown Farmer's Market
~150 Participants

Activities:
*Transition town presentation
~20 attendees

Activities:
*People counting and observations near the Stewart Street Park
*Peterborough Neighbourhoods Symposium presentation
~50 attendees
*Tamarack conference presentation ~20 attendees

Activities:
*Harvest Party at the park! including surveying, asset mapping, photo booth, bicycle playground and another bike swap.
~120 Participants
*Door to door surveys
~20 respondents

Welcome to Stewart Street!

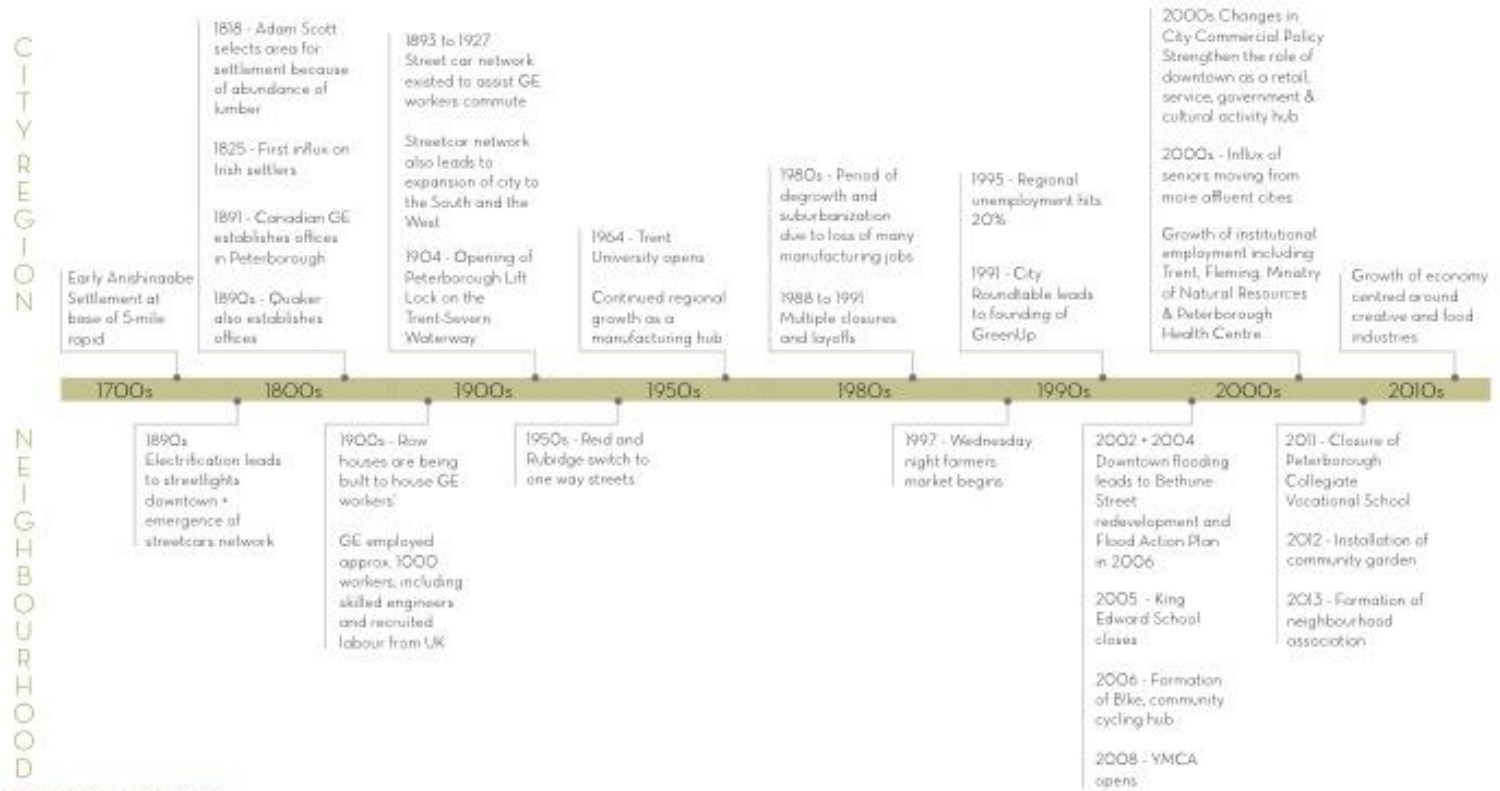
The Stewart Street neighbourhood is situated just south of the downtown core in Peterborough, Ontario.

Following on one of the core objectives of the ANC project-to include traditionally excluded groups into the planning process- The Stewart Street neighbourhood was selected because residents represent a vulnerable population that has likely been marginalized by traditional planning processes. Residents of this area have the lowest average income in the city, are among the youngest, and have very low rates of both home and vehicle ownership.

The second reason the area was selected is because it has recently begun to develop a robust social infrastructure, including a nascent neighbourhood association. This neighbourhood association - one of the only associations in the city - grew out of a community garden development project, which brought neighbours together to plan for, build, and sustain a valued asset in a previously underutilized public park.

It can be very challenging to establish the social capacity necessary to meaningfully undertake participatory planning processes as a community, and the presence and commitment of the Stewart Street and Area Community Association represents the foundation of this local ANC project.

This map (above) represents the area of focus for our community engagement in the Stewart Street nighbourhood.
The map (opposite) shows the neighbourhood within Peterborough



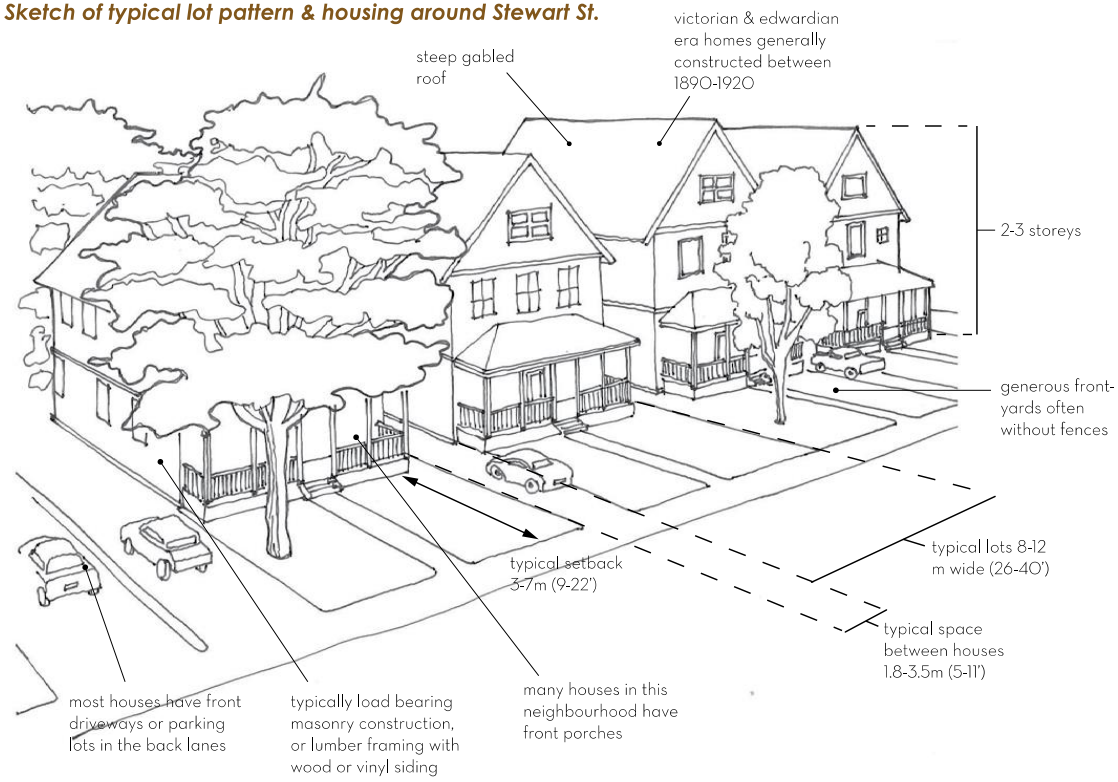
Historical context

This timeline, created collectively by the local partners of this project, tracks the history of the neighbourhood as it relates to larger regional trends.

The story began in the 1700's as an Anishinaabe settlement, making use of the access to the lake and river. From there we can follow the later development first as an area rich in lumber and later as a manufacturing hub. The 'golden' manufacturing era lasted about 60 years with General Electric as one of the primary employers in the area. Much of the housing stock in this neighbourhood was built for workers or executives of these plants. By the 1980's the neighbourhood showed signs of degrowth and population loss due to both the loss of manufacturing jobs and due to trends towards suburbanization.

In the last decade, the neighbourhood has seen a more grassroots type of revitalization with the growth of community organizations and a successful farmers' market. Changes in commercial policy in the downtown area have also led to a regrowth of independent businesses--all of which contribute to a more walkable and vibrant community.

Sketch of typical lot pattern & housing around Stewart St.



2 storey victorians with porches

3 storey victorians with porches

General Electric Rowhouses with shared porches

Typical housing promotes socializing

Most housing in the neighbourhood was developed during the early manufacturing era from 1890-1920, prior to the widespread use of the automobile. For this reason, the streets are generally walkable, and owing to the age of the area, the trees (although residents feel they are lacking in variety and numbers) are generally mature and provide ample shade.

The housing is conducive to an active street life that has been witnessed in the neighbourhood throughout the portrait activities and research. The typical homes are fronted by porches that are well used by residents. In addition, there are few fences installed around the boundaries of properties, enhancing a feeling of openess. Both of these factors blur the line between public and private spaces and help to create the community feel that exists in the neighbourhood.

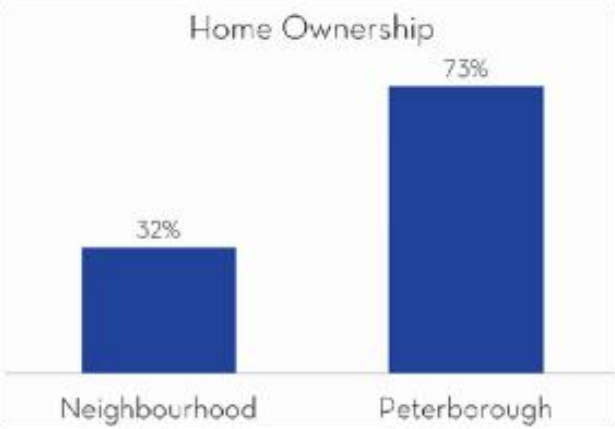
Public activity on the streets is both a point of pride and also a source of concern for residents who fear potential criminal activity.

State of repair

Stewart Street residents remark on the presence of rundown properties in the neighbourhood contributing to a negative image. The 2006 Census validates this claim, showing that the percentage of dwellings in need of major and minor repair are both significantly higher than the Peterborough average

While the rundown properties discourage engagement through the image they create, there are major barriers to improvement, such as the fact that most residents in the neighbourhood do not own their homes (see below).

Renters may be less incentivized to invest in the image of the community. Also, some of the established mechanisms of engagement are designed to target home owners, such as the legislated Environmental Assessment processes, which need to be completed for any major capital investment.



Source: Census 2006

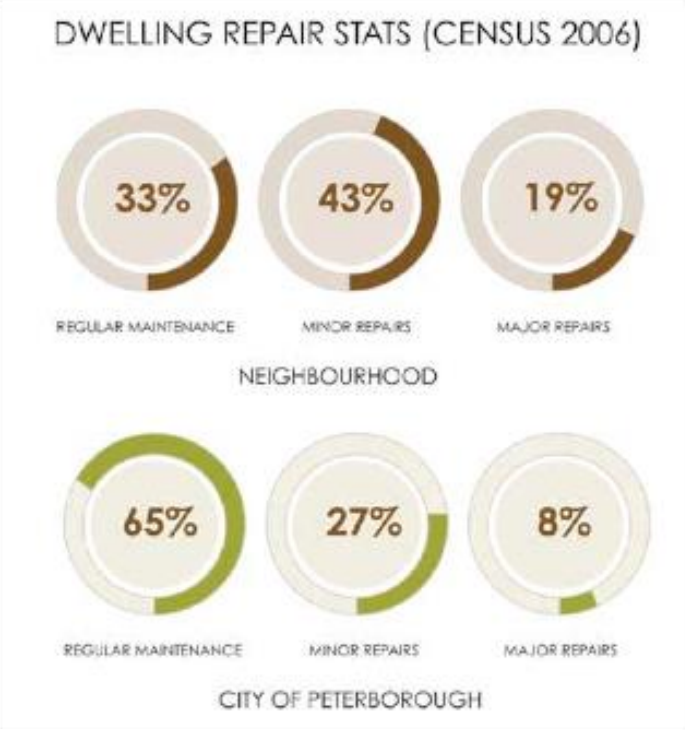
Some hopes for the future of the community...

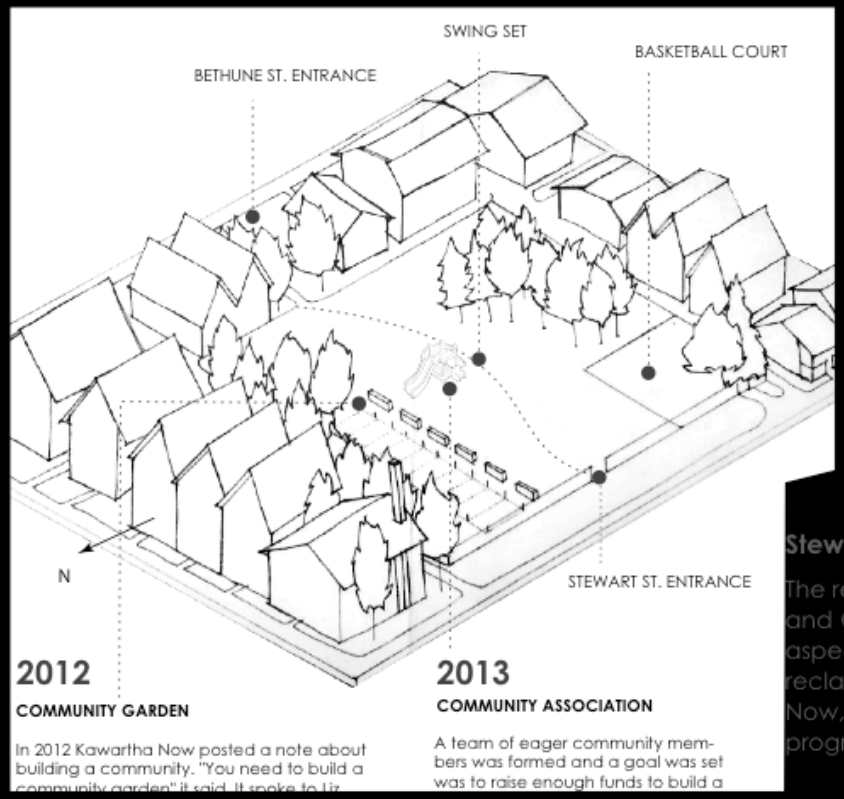
"Cleaner, no more drug dealers, better property maintenance, more lights in the park"

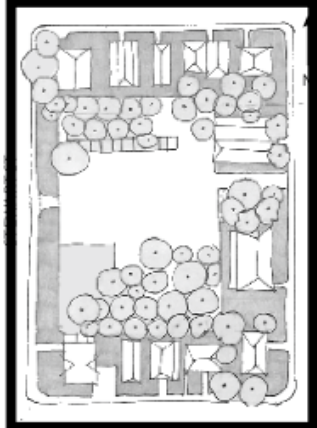
"Make Slum landlords fix up properties"

"More property maintenance"

Source: community survey 2015







THIS SUMMER, THE ANC TEAM OBSERVED WHO WAS USING THE PARK IN A TWO HOUR PERIOD. FROM 3-5PM, WE SAW 38 PEOPLE. MOST WERE WALKING THROUGH (31), 3 WERE WALKING DOGS, 1 PLAYING, 2 GARDENING AND TWO PICNICKING!

Stewart street park development

The recent development of the Stewart St. Community Garden and Community Association has been building on the positive aspects of this area's active public life. Their efforts have reclaimed an underused park through collective stewardship. Now, residents are often present gardening or participating in programming and activities with youth.

This key communtiy asset should inform how public spaces are approached in this area. Residents are keenly interested in participating in the community and its development. The current question is, how can new infrastructure continue to expand on the positive impact of this active community life and bring more eyes and feet on the street?

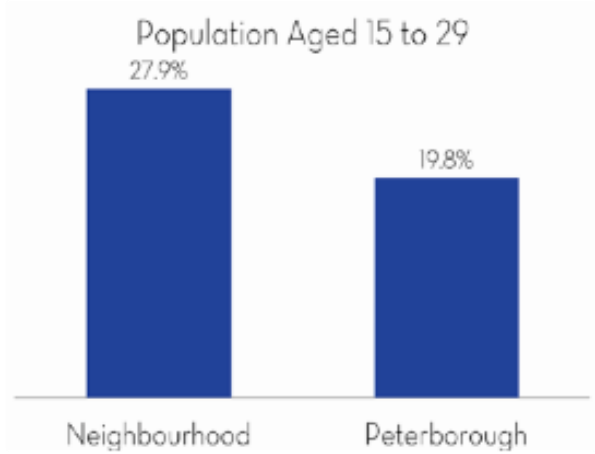
2015

2015

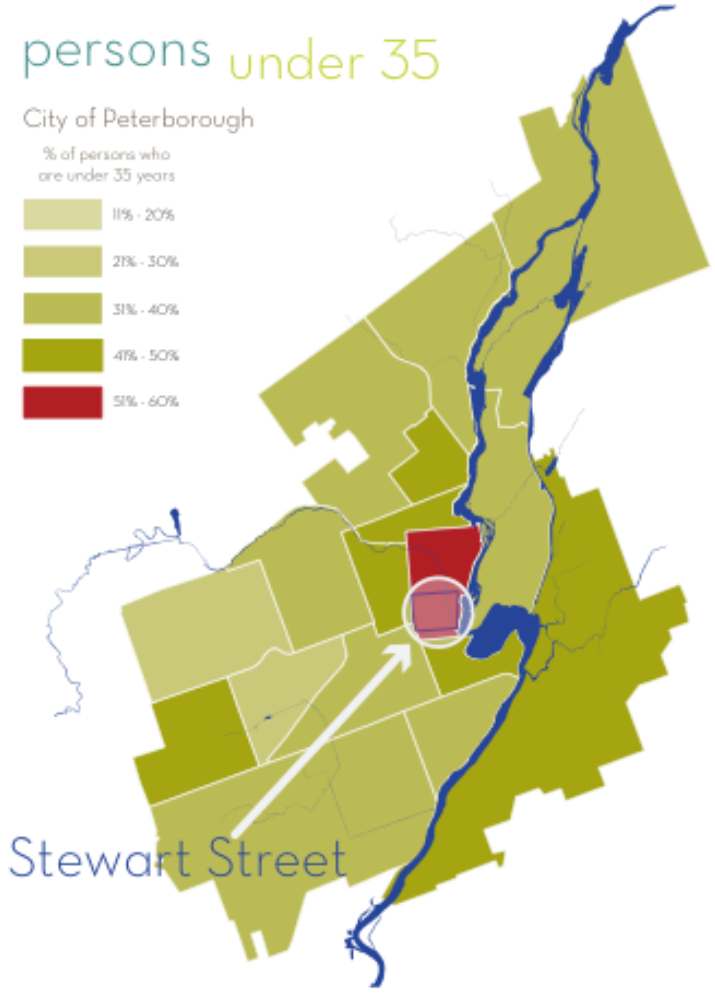
A youthful community

The residents of the Stewart St. neighbourhood are a youthful and somewhat transient population. Compared with the city at large there is a higher proportion of residents aged 15-29. Stewart Street is also home to the highest concentration of people under 35 across Peterborough. This reflects several social aspects that can be witnessed when visiting the neighbourhood. There are numerous families with young children as well as students of nearby colleges and universities. Both of these groups may contribute to the low rate of home ownership and high rate of rental units that characterize the housing landscape. Less than a quarter of homes in the area are owned by their inhabitants (Census, 2006).

Although not reflected in these statistics, there are 2 seniors homes in the nearby vicinity, these represent specific pockets of another often unheard and overlooked population who access and use the area.



Source: Census 2006

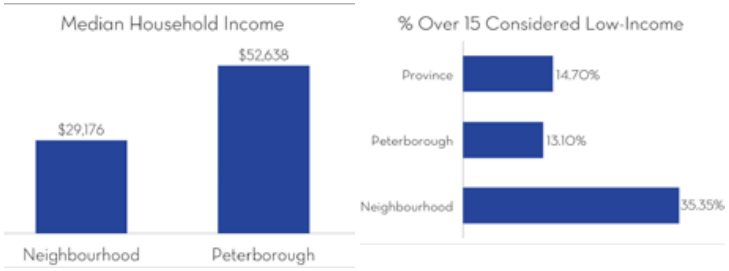


Source: Indicators Report 2014

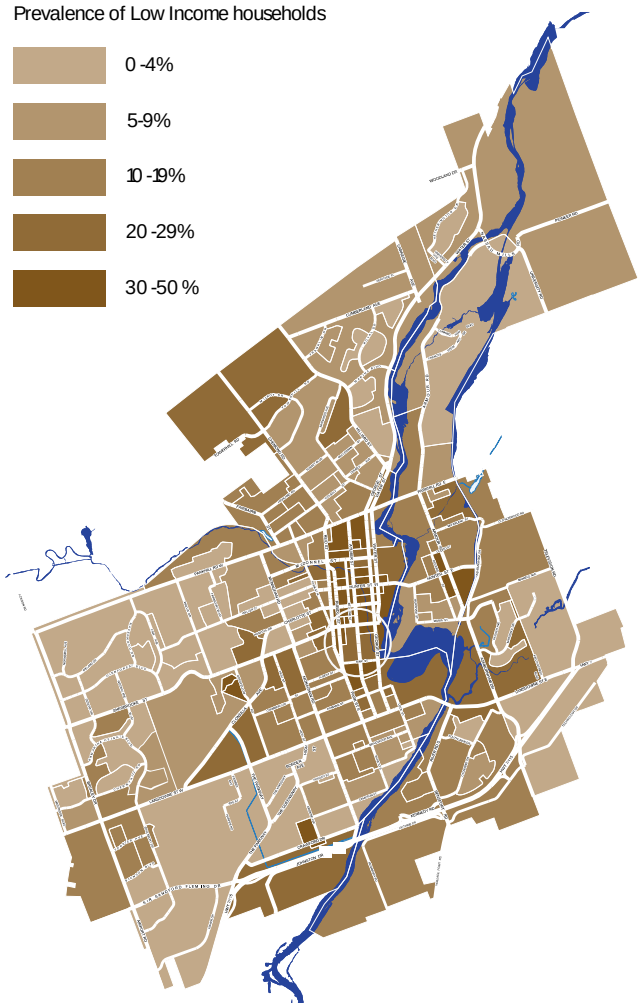
Income & mobility

Another factor that can be linked to low homeownership is the lower than average employment rates in the wider area of downtown Peterborough, of which this neighbourbood is a part. Only 43% of downtown residents have full-time employment (TTS, 2011). In line with this number is a significnt income gap. The percentage of low-income residents in the neighbourhood is more than twice as high as both provincial and city-wide levels.

These factors highlight thefinnci l constraints experienced by many residents living in downtown Peterborough. They suggest a reason for why residents are less likely to own or drive a vehicle to get around (see pg. 16). At the city level, people who earn less than the median income are three times as likely to walk, two times as likely to bike and ten times as likely to take transit as their mode of travel to work, than people earning more than the median (Indicators Report). The demographic profil of the neighbourhood helps to reinforce these links betwen income, home ownership and mobility patterns. The high prevalence of youth, students and seniors, who are unlikely to be driving as their primary mode of travel, reinforces an emphasis on active transportation as a priority. The economic and demographic context providesaclarificti on on why sufficent public transit access and safe infrastructure for walking and cycling is required to improve access to equitable mobility options for a large share of local residents in this neighbourhood.



Source: Census 2006



Source: City of Peterborough

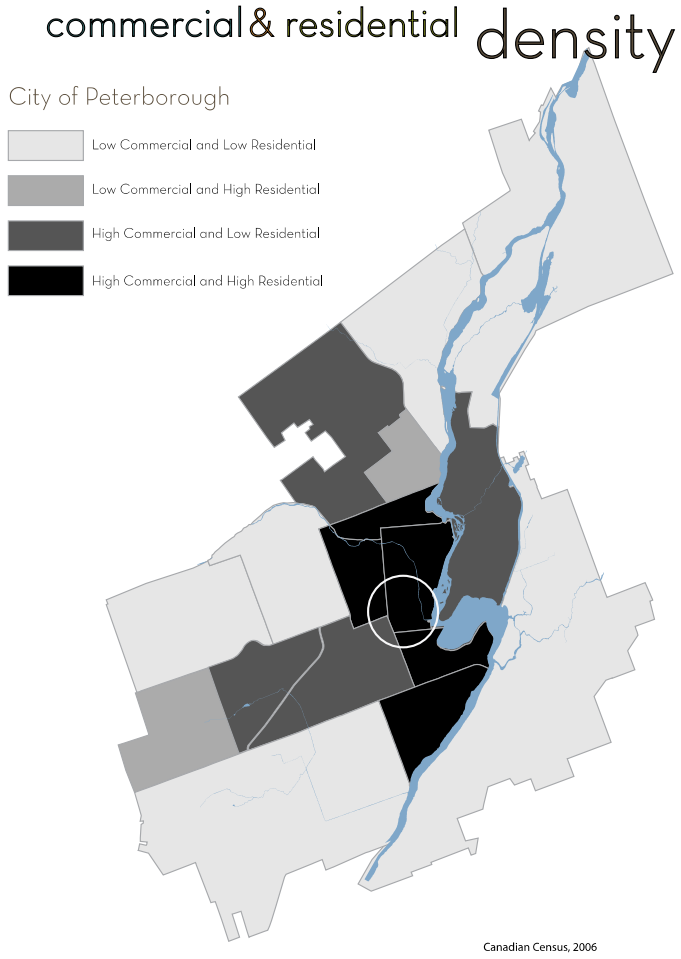
Density makes Stewart Street lively

Stewart Street is a neighbourhood just south of the downtown core in Peterborough, thus it shares levels of density that give it a lively, urban feel.

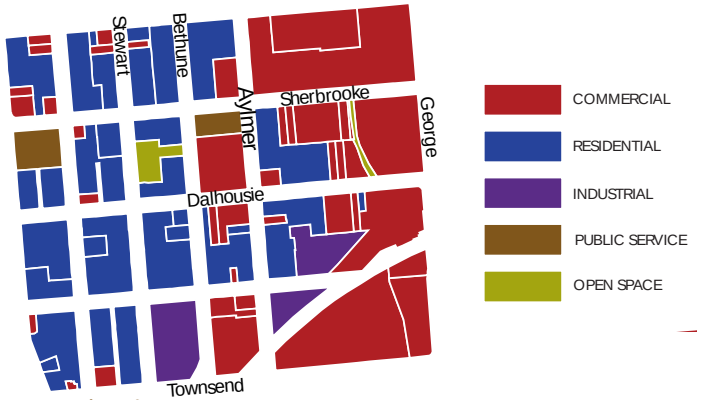
Higher density of structures and also a higher commercial/ residential density mix is an indicator of a more walkable and bikeable community. When people live near multiple destinations (be they friend's houses or local shops), they are more likely to choose walking or other forms of active travel. The Stewart St. neighbourhood is one of a handful of areas that has high levels of commercial and residential density compared to Peterborough as a whole.

In addition to the density of structures, the patterns of development, including the street layout, play a role in determining how people travel. The city-style grid found in Stewart St. (below, left) means that no matter where you are going you can find a short and direct way to get there. This is in contrast to a more suburban style street layout with long winding blocks that intersect much less frequently. In this type of street layout, people often have to travel out of their way to reach a destination. These winding layouts encourage people to drive because of how they affect travel time for other modes. Neighbourhoods developed during the height of the automobile era such as University Heights (below, right), exhibit lower density and suburban style street layouts.

Building footprints in Stewart Street and in University Heights
Source: City of Peterborough



Source: Indicators Report 2014



Source: City of Peterborough

A mix of uses creates a walkable place

The Stewart St. neighbourhood is designed as a city-style street grid. The residential area, marked in blue, is mostly located in the western part of the neighbourhood whereas the commercial area, marked in red, is along the eastern border. A few public service buildings are mixed throughout and the southern section has a more industrial feel with a few major industrial zoning areas. Although people travel many ways throughout the neighbourhood, this land-use pattern suggests that local residents will often travel east-west from their homes to major destinations, while those passing through the neighbourhood will typically travel north-south along the arterials oriented in that direction. The panoramic images below portray a more experiential view of the mixes of land uses at different points in the community.

Rubidge & Sherbrooke

Wolfe & Townsend

Dalhousie near George

Upcoming developments

Bethune Street

Bethune Street is a low capacity collector street running in a north-south direction through the neighbourhood. While this street has a relatively high number of cyclists using it, it formerly had a railline running down the centre of the road and the streetscape feels rundown, since it has not been updated from its manufacturing and shipping days. Complete reconstruction of Bethune Street is scheduled to begin in 2017, largely to implement one of the major recommendations of the Flood Reduction Plan (City of Peterborough, 2005). While the street will be torn up to make way for an underground waterway, this will also be an opportunity to redevelop the street surface to make it a bicycle priority street and to improve the experience for pedestrians. A major development in the heart of this community is the perfect opportunity for residents to participate in shaping the future of the local streetscapes.

AT THE PETERBOROUGH & THE KAWARTHAS BIKE SUMMIT, YOUTH WERE GIVEN THE TASK OF PHOTO-COLLAGING IDEAS ABOUT THE FUTURE OF BETHUNE STREET. THE COLLAGE SEEN HERE IS A SUNNY VISION OF BETHUNE AS A SAFE PLACE TO RIDE-AND TO LOCK BICYCLES!

Improvements to George Street

George Street between Perry Street and Sherbrooke Street is a high profile section of street that acts as the the southern gateway to the downtown and forms the eastern edge of the Stewart Street Neighbourhood. This section of road is well used in the summer months as road access to Del Crary Park where the Little Lake Music Festival is held every Wednesday and Saturday, along with other large scale events. There are commercial enterprises, parking, a hotel and parkland abutting the street.

Concept for the improved Street

Given the high profile of this street and that it's design does not serve any mode of transportation well, this section of street is an excellent candidate for improvements. The concept for the street, which will benefit all users of the street, includes:

- One consistent vehicle travel lane in each direction
- One-way cycling lanes or tracks on each side of the street
- Existing asphalt redesignated to provide left turn lanes and pedestrian crossing islands where appropriate
- Landscaping and street furniture to improve the feel of the street and slow down vehicle speeds by changing the perception of the width of the street

Some hopes for the future of the community...

"walking friendly (& bike). More traffic control (Speed reduction) features. Dedicated bike lanes"

"More bike lanes on busy streets"

"safe biking spaces and gardening space"

Source: community survey 2015

▲ *George Street before*

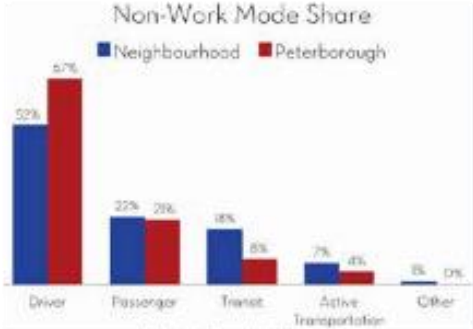
George Street after ▼

Source: community survey 2015

MOVEMENT PATTERNS & CONNECTIVITY

The Stewart Street Neighbourhood is a pretty active population when it comes to transportation options. Active modes are reported as significantly higher here than the rest of the city of Peterborough (see below).

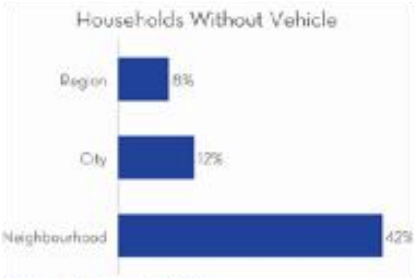
Factors contributing to this are likely both as a result of the relatively supportive infrastructure and also as a result of factors that limit choice, such as lower income. Lower household income will also have an effect on how many households own cars and have access to the mode most popular in Peterborough as a whole (see top right).



Source: TTS Survey

LOCALLY, RESIDENTS TEND TO DRIVE LESS AND USE TRANSIT AND ACTIVE FORMS OF TRANSPORTATION MORE WHEN COMPARED TO THE CITY AS A WHOLE.

THIS IS SUPPORTED BY MORE WALKABLE INFRASTRUCUTRE AND ALSO DUE TO LOWER THAN AVERAGE CAR OWNERSHIP RATES.



PEOPLE WHO LIVE IN THE DOWNTOWN AND STEWART STREET CENSUS TRACT OWN LESS VEHICLES THAN THE MUNICIPAL AVERAGE

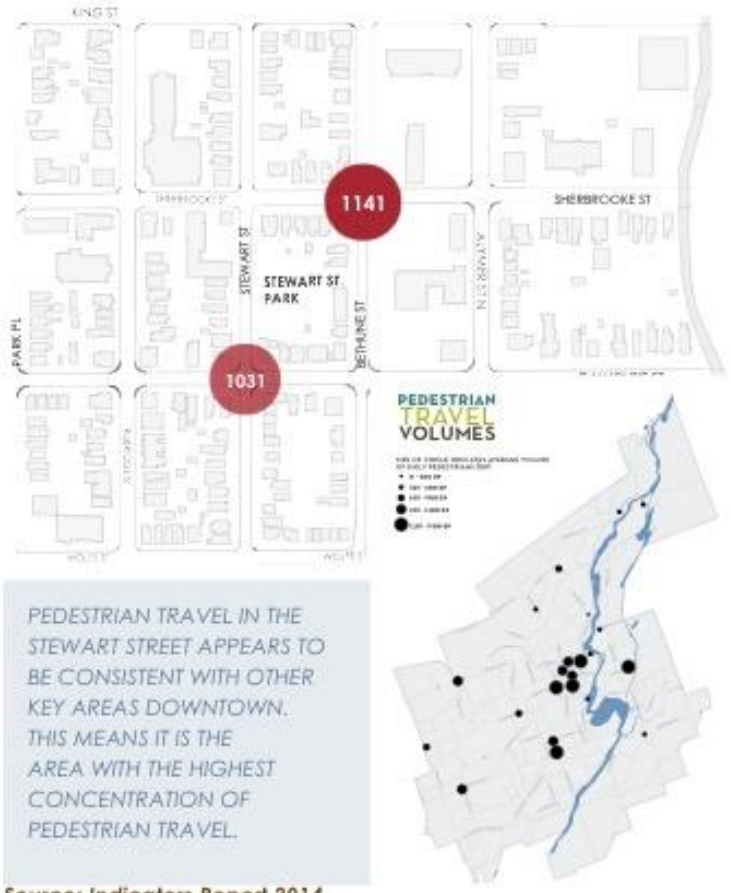
Source: census 2006

Both enablers and constraints of automobile use can be seen as justifications for improving the quality and accessibility of infrastructure for active modes.

The following section will outline some of the movement patterns in the neighbourhood for different modes of travel.

Getting around on foot

As we can see from the graphs on the previous page, walking is an important means of travel within the neighbourhood. Here we compare local counts at key intersections to the trends across the city.

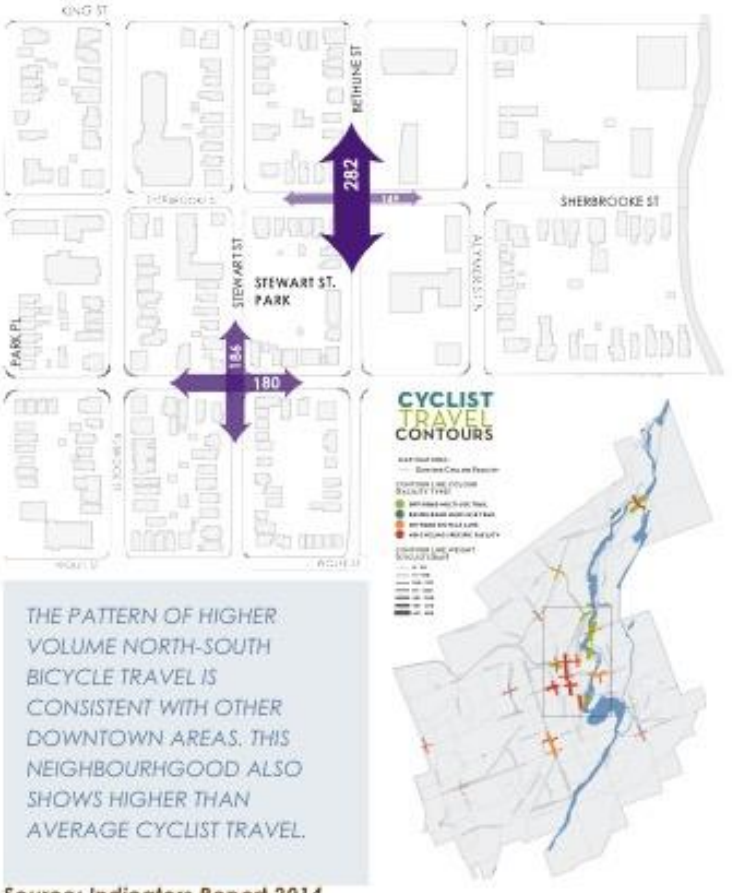


PEDESTRIAN TRAVEL IN THE STEWART STREET APPEARS TO BE CONSISTENT WITH OTHER KEY AREAS DOWNTOWN. THIS MEANS IT IS THE AREA WITH THE HIGHEST CONCENTRATION OF PEDESTRIAN TRAVEL.

Source: Indicators Report 2014

Biking in the neighbourhood

Bethune Street is a popular travel route for cyclists, counts at the intersection of Bethune and Sherbrooke show that the largest share of cyclists are travelling North-South on Bethune.

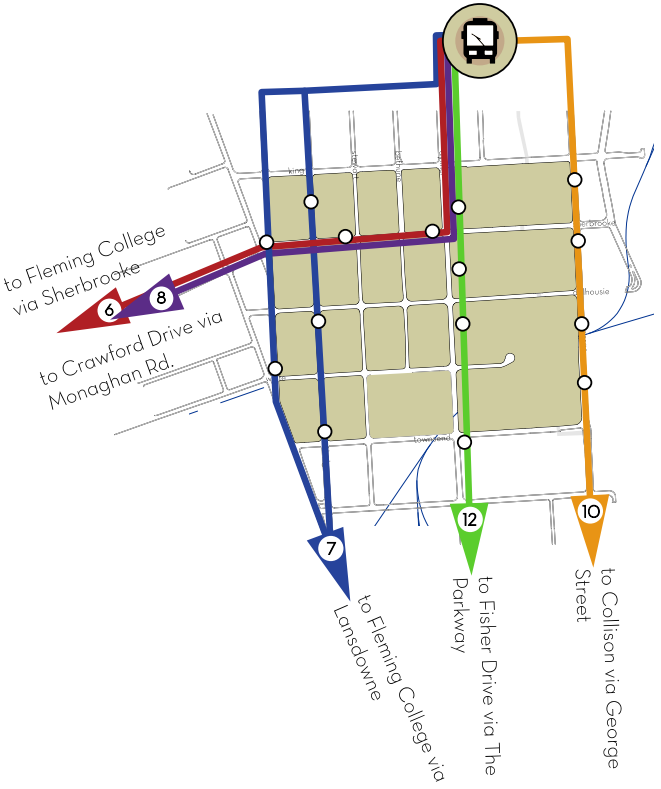


THE PATTERN OF HIGHER VOLUME NORTH-SOUTH BICYCLE TRAVEL IS CONSISTENT WITH OTHER DOWNTOWN AREAS. THIS NEIGHBOURHGOOD ALSO SHOWS HIGHER THAN AVERAGE CYCLIST TRAVEL.

Source: Indicators Report 2014

Stewart Street Neighbourhood

Transit access map



*all routes operate every 40 minutes from 6:00 am until 11:20 pm every weekday with routes 7, 8 and 10 offering peak service of every 20 minutes. Saturday service is every 40 minutes for all routes and Sunday service is limited.

Source:

Local transit access and active transportation

The Stewart St. neighbourhood has good transit access with several routes and multiple stops covering the area. However, the proximity of the bus terminal draws people from stops in the neighbourhood to this central hub. When people travel the short distance to the terminal, their options for travel across the city are expanded and they may also be able to take an alternate transit routes to the same location or a nearby stop should it arrive earlier than the bus they planned to take.

Active transportation routes from the neighbourhood to the bus terminal can be seen as a priority given the large share of local residents who rely on public transit each day. With a higher than average reliance on transit in this neighbourhood, identifying and addressing barriers to equitable travel will help improve the accessibility of this important transportation hub.

Automobiles & active transportation

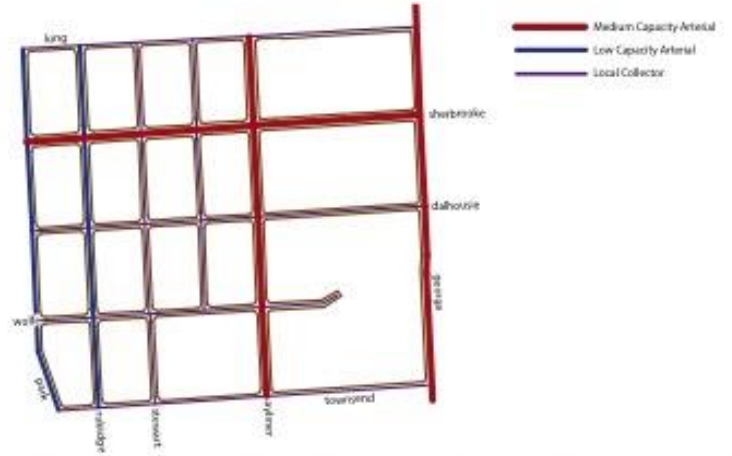
Arterial roads in the Stewart St. neighbourhood are in the north and eastern parts of this area. Their location between the higher residential density to the west and commercial density to the east presents many challenges, requiring residents to cross major and minor arterials to access common destinations near their homes.

2012 VEHICLE VOLUME COUNT

Source: City of Peterborough

Large arterials can present barriers to active transportation because of the increased speed of traffic as well as the increased crossing distance in comparison to local collector roads. These barriers can either be intensified or addressed by the kinds of infrastructure and amenities available to people walking, cycling and using other forms of active transportation or assisted mobility.

The fatality risk at 50 km/h is more than twice as high as the risk at 40 km/h and more than five times higher than the risk at 30 km/h (Rosen & Sander, 2009). As traffic speed goes up, increasing the separation of sidewalks and bicycle facilities from motor vehicles can help to improve safety.



KEY NODES & PUBLIC SPACE

Throughout the spring and summer, the Active Neighbourhoods project worked with the local project team and residents of the Stewart St. Neighbourhood to document and evaluate popular local destinations, and to get a sense of the experience of shared spaces. In line with the high rates of active travel and high relative density and mixed uses documented in the area, we can observe the existence of several key destinations that allow residents to live, shop and play within their neighbourhood. Through community mapping activities, residents identified the following destinations as key nodes in their local context:

1. Stewart St. park and community garden
2. No Frills
3. The George St. Beer Store
4. The LCBO
5. The Farmers' Market
6. Prince of Wales Public School (Primary)
7. Mac's Convenience Store
8. Peterborough Transit Terminal
9. Tim Hortons
10. Peterborough Square and Galaxy Cinemas
11. Peterborough Public Library
12. Del Crary Park
13. Park Place for Youth
14. Kawartha Dental Clinic

Among the destinations listed, we find several that provide food access, health and social services and recreation or entertainment. The majority are within a 10-minute walking distance of the Stewart St. Park, chosen as the origin point for its central location in the neighbourhood.

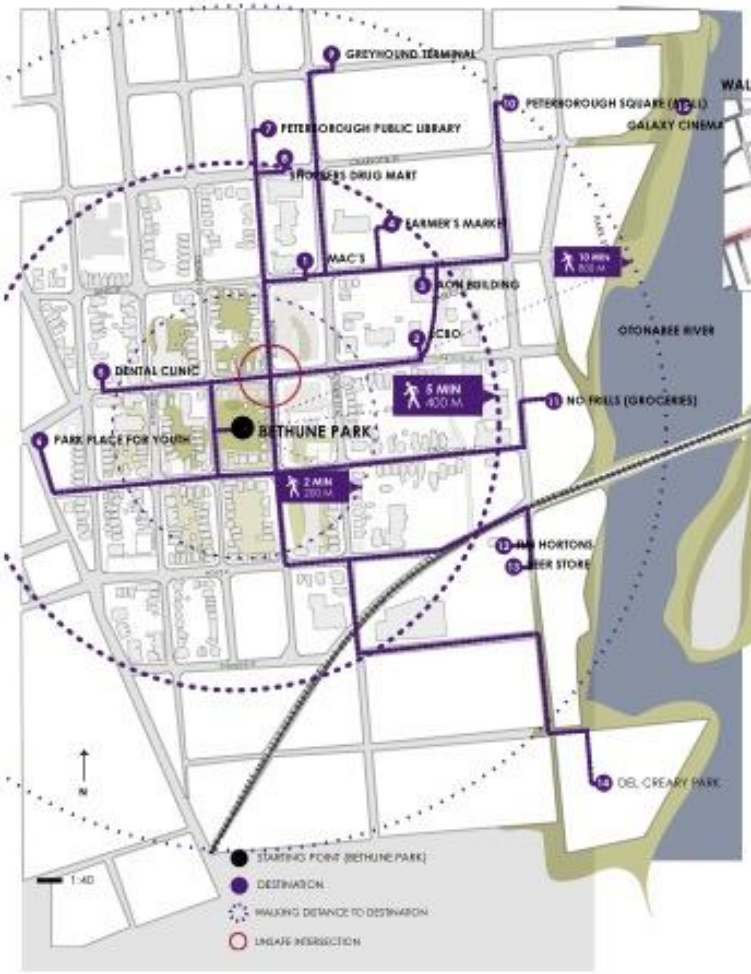
In mapping the walking distance to these key community-sourced destinations, residents also observed the conditions of the routes on which they travelled. Notable issues that emerged were the crossing of Sherbrooke St. as a pedestrian, the conditions of sidewalks on Aylmer St., the lack of sufficient lighting along Bethune St. and in the Stewart St. park, and the dangerous route children must take from their homes to the Prince of Wales Public School located to the west of the neighbourhood.

The following pages are representations of localized data collected through community mapping activities. Some themes emerge across the various maps:

1. Bethune Street is a major problem area, it is heavily used, but in poor condition and people have negative feelings about it The south end of Bethune and area is in particularly bad shape
2. Stewart Street is both lively and intimidating depending on who you ask, and the time of day
3. The Stewart St. Park is the heart of the community
4. Certain areas of Aylmer, Sherbrooke & Dalhousie feel unsafe owing to a lack of infrastructure/ degraded conditions

2-5-10 minute walk map

This map explores travel times and recorded experiences along routes from the residential centre of the neighbourhood to selected important destinations. This map both shows that there are an impressive amount of important destinations within walking distance, though there are many areas that feel unsafe due to lacking infrastructure such as poor lighting, or a lack of assisted crossings on busy arterials, such as at George and Dalhousie Streets.



WALKING TO PRINCE OF WALES PUBLIC SCHOOL (15MIN)

"This walk has no traffic lights. You have to cross Rubridge St and Park St which are very busy. One on Patterson you have to cross Monaghan Rd to get to the school. If there are no crossing guards it is near impossible - the lights at Sherbrooke are not safe - often speeders, and blind spots. It is a crosswalk with many accidents."

SITTING SPACES

"AON has benches. MAC's has stairs people often sit on. In Farmer's Market area there are no benches but planters are large so people sit on those"

3

AON BUILDING

1

MAC'S CONVENIENCE STORE

4

FARMER'S MARKET

TRAIN BRIDGE

"If in the day or with a group, we always take Wolfe St to train bridge, crossing Alymer St with no lights. Train bridge is poorly lit and scary. Also a popular drinking spot."

12
13

BEER STORE AND TIM HORTON'S

SPARSE LIGHTING

"The lighting on the outskirts of Sowntown is sparse - especially in the park and on Bethune St - better lighting once you are on Alymer St N and Charlotte St"

BETHUNE ST. NEAR PARK ENTRANCE

"Most of these walks include crossing Sherbrooke St and Bethune St, a busy road with no traffic lights."

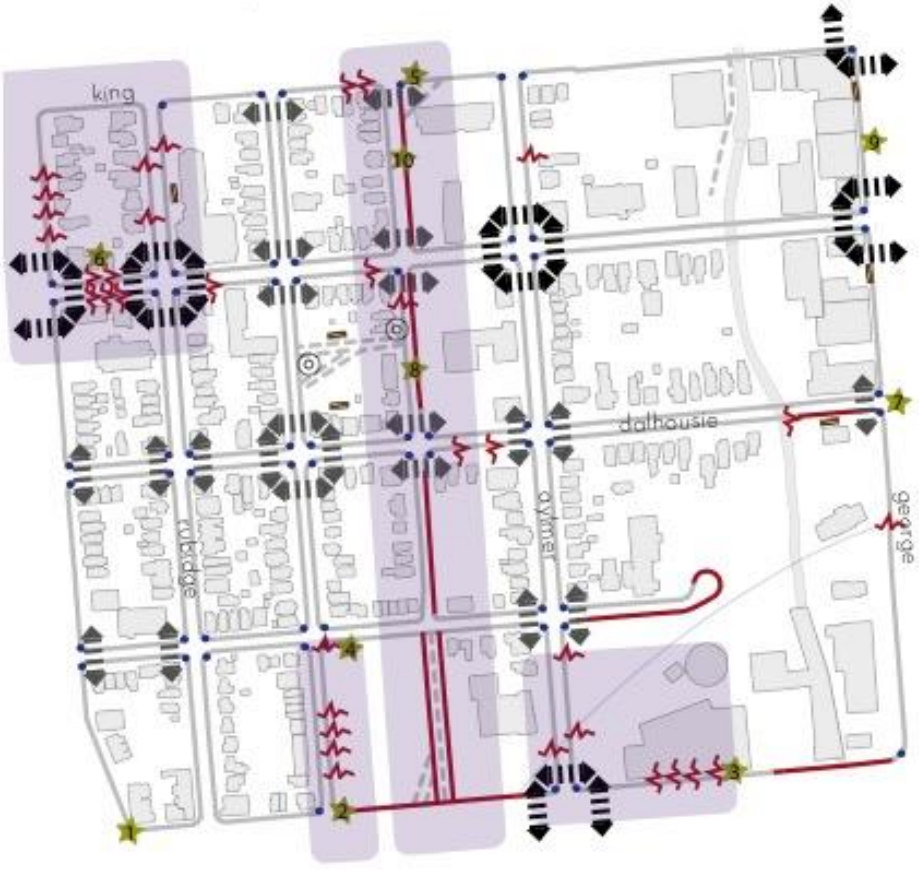
ALYMER ST

"In order to get tho the Greyhound, Shoppers, and the Library, we cut through the AON building because Alymer's sidewalk is small and sidewalks feel unsafe"

ALYMER ST. & DALHOUSIE ST.

Community street audit

Members of the Active Neighbourhoods project team went out this summer to audit the condition of the streets in the neighbourhood, highlighting barriers and amenities for pedestrians. The map below shows the focus region, with the major problem areas highlighted in purple. As we can see here, Bethune Street emerges as a central corridor with issues such as missing sidewalks, lack of street frontages and generally muddy, overgrown conditions. The area near the southern portion of Bethune is similarly in particularly bad condition. Finally, the sidewalks around Sherbrooke and Rubidge/Park are in terrible condition. It should also be noted that amenities such as seating and garbage cans are almost non-existent in the neighbourhood.



Street Audit Map

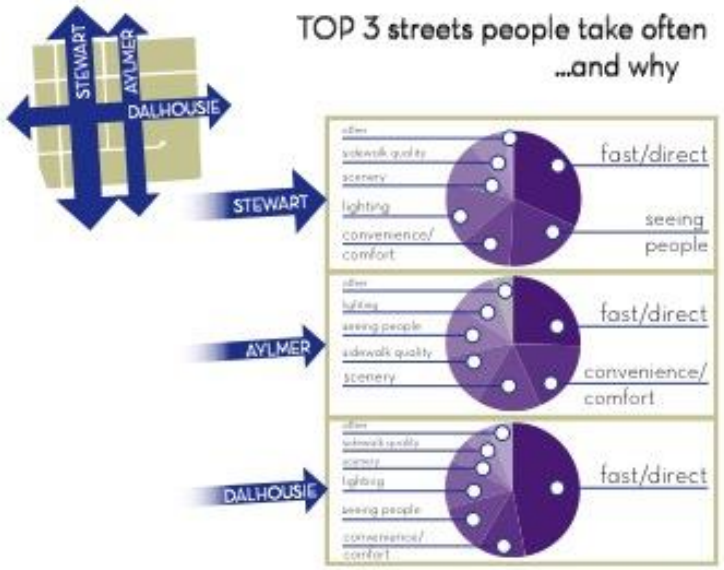
legend

- Crossing (Signalized-actuated or non)
- Crossing (Painted)
- Garbage can
- Bench
- No sidewalk
- Curbcut in sidewalk
- Crack / obstruction of sidewalk
- Notes

1. five way intersection, difficult to navigate
2. asphalt & badly cracked pavement 1/2 block
3. many cracks throughout this stretch of sidewalk
4. this part of sidewalk really rough
5. this part of sidewalk really rough
6. very rough and cracked sidewalks, almost whole block
7. stop sign control on the side street- unassisted
8. no uses fronting the street on this block
9. downtown character, several pubs, wide sidewalk, bench, several bike racks
10. no sidewalk, grass to asphalt, fence

Community asset mapping

A scale model of the neighbourhood was taken to commuity events throughout the phase 1 to get a sense of how people feel about different areas. As many of the events were held at the park, Stewart Street emerged as a focal point of the map, with many people living nearby, playing in and feeling proud of the local park. Interestingly, several intersections near Bethune and Stewart emerged as places that people feel afraid of.



Local street survey

Both by talking to people at events, and by going door-to-door, residents were asked to give feedback on their travel patterns within the neighbourhood. Some streets were more popular than others. The above graphic shows the three streets residents most often take, and the three streets residents most frequently avoid.

The primary reason that most people take a street is because it is the fastest or most direct route. Beyond this, there are less obvious reasons that people may choose one street over another. For example, Stewart Street was seen by many as a direct route, however it was also chosen because of a desire to see people out and about. On the other hand, Stewart Street is also avoided because people may feel intimidated by people hanging out, or loitering on the street. These sentiments are intensified when it is dark outside. The park development has likely done much to shift this perception and encourage behavior that feels safe for everyone, however there is still work to be done. An increase in public amenities such as seating and better lighting may help to make the street feel safer for a wider range of people.

Sherbrooke Street is avoided for multiple reasons, notably vehicle speeds and traffic. This reinforces the point that major arterials present obstacles for pedestrians, especially when pedestrian infrastructure is not sufficient to make people feel safe. When speeds are faster, greater separation of modes is necessary to mitigate collisions and to make pedestrians feel safe.

Another way to frame the problem is to accept that pedestrians will naturally avoid travelling on major arterials if they have a choice, thus the quieter parallel streets such as Dalhousie should be pedestrian priority streets, with safe crossings and low speeds for vehicles.

What is your one hope or desire for the future of public spaces and streets in this neighbourhood?

"Cleaned up and to feel safe to be in and around"

"A peaceful street, friendly neighbours, and beautiful scenery"

"More property maintenance"

"Get rid of crime, clean up the area"

"Green space"

"Get them cleaned up"

"Safe, inviting, police free, great neighbours"

"Less violence"

"Safer area for our children to grow"

"More splash pads and public wading pools"

"Cleaner, no more drug dealers, better property maintenance, more lights in the park"

"Make safer"

"Better sidewalks and more ramps for wheelchairs"

"Safer, fewer drug addicts, less crime"

Source: community survey 2015

SUMMARY OF CHALLENGES AND OPPORTUNITIES

The portrait of the Stewart Street Neighbourhood will be a guiding tool moving forward with the Active Neighbourhoods project. It will form the basis of a series of forums to envision design solutions that can make the neighbourhood more active and healthy. Below is a summary of key themes:

OPPORTUNITIES:

1. The Community Association has been successfully developing a rich social network in the neighbourhood
2. The development of Stewart Street Park has illustrated the direct benefits of collective action
3. The historic character of the neighbourhood is an asset in that it was developed prior to widespread automobile use
4. The typical housing style promotes public social interaction
5. Lower than average car ownership rates mean people are more likely to walk and bike
6. High relative density and mix of uses make the neighbourhood walkable
7. Key upcoming developments, give residents meaningful ways to get involved and make the streets safer

CHALLENGES:

1. A youthful and transient population can present barriers to engagement
2. Local housing stock is in poor condition, contributing to the negative image of the neighbourhood
3. Low income and low employment levels can equate to time constraints that make engagement difficult
4. The presence of three medium capacity arterials create barriers to safe pedestrian travel
5. Poor sidewalk maintenance and a lack of amenities such as seating discourages people from walking
6. Many feel the neighbourhood is unsafe, making walking and cycling less appealing

ANC resources

guide to local & provincial documents

Active Transportation & Health Indicators Report | GreenUP
www.greenup.on.ca/wp-content/uploads/2014/10/IndicatorsReport_Final_Web.pdf

Central Area Community Improvement Area | City of Peterborough
www.peterborough.ca/Assets/City+Assets/Planning/Documents/Central+Area+CIP.pdf

Community Health Assessment Report | Peterborough County-City Health Unit
www.pcchu.ca/wp-content/uploads/2011/09/Community-Assessment-Report-2010.pdf

Comprehensive Transportation Plan | City of Peterborough
www.peterborough.ca/Assets/City+Assets/Transportation/Documents/Transportation+Plan

cycleON | Government of Ontario
www.mto.gov.on.ca/english/pubs/cycling-guide/pdfs/MTO-CycleON-E.N.pdf

Growth Plan for the Greater Golden Horseshoe | Government of Ontario
www.placestogrow.ca/content/ggh/plan-core-english-all-web.pdf

Municipal Cultural Plan | City of Peterborough
www.peterborough.ca/Assets/City+Assets/Arts+Culture+Heritage

Official Plan | City of Peterborough
www.peterborough.ca/Assets/City+Assets/Planning/Documents/Official+Plan.pdf

Ontario Trails Strategy | Government of Ontario
www.mtc.gov.on.ca/en/sport/recreation/A2010_TrailStrategy.pdf

Quality of Life Report | Peterborough Social Planning Council
http://www.pspc.on.ca/pdf/Quality%20of%20Life%20report%202015%20Final.pdf

Provincial Policy Statement | Government of Ontario
www.mah.gov.on.ca/AssetFactory.aspx?did=10463

Provision of Sidewalks Policy | City of Peterborough
www.communityerp.ca/AssetFactory.aspx?did=12520

Public Transit Operations Review: The Route Ahead | City of Peterborough
www.peterborough.ca/Assets/City+Assets/Transit/Transit+Operations+Review

Sidewalk Strategic Plan | City of Peterborough
www.peterborough.ca/Assets/City+Assets/TDM/Documents/Sidewalk+Strategic+Plan.pdf

Sustainable Peterborough Plan | City of Peterborough
http://sustainablepeterborough.ca/wp-content/uploads/2015/01/SP_Plan_Final_Plan.pdf

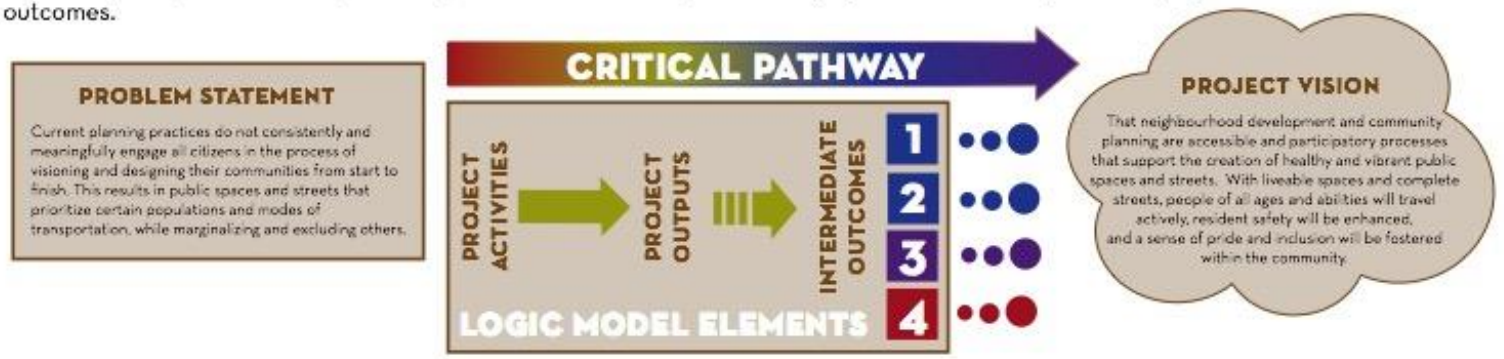
Vision 2010 Update, Recreation Plan | City of Peterborough
http://www.peterborough.ca/Assets/City+Assets/Recreation

what do you love about your neighbourhood?

Appendix 2: Project Theory of Change Excerpts

PROBLEM STATEMENT & PROJECT VISION

The Active Neighbourhoods Canada Peterborough project was undertaken to address perceived challenges associated with current planning practices. Bringing together national, provincial, and local partner organizations, and tying together multiple project grants, the project seeks to achieve four primary intermediate outcomes that could be seen to further the achievement of the project vision. The graphic below identifies the critical pathway as the overarching framework within which change is expected to occur. The logic models, by comparison, will express the predicted relationships between project activities, outputs, and projected intermediate outcomes.



PROJECT RESOURCES

The ANC Peterborough project benefits from a number of financial, human, and knowledge resources, which are outlined below. Financial resources with a single asterisk are dedicated to the Peterborough ANC project entirely; resources with a double asterisk are dedicated in part to the local ANC project; resources without an asterisk are not explicitly dedicated to ANC, but are being directed toward specific activities. Human resources with a single asterisk indicate the stakeholders who comprise the ANC coordinating committee.

FINANCIAL RESOURCES

- Ontario Trillium Foundation (ANC Grant: GreenUP)*
- Public Health Agency of Canada (Montréal Urban Ecology Centre & Toronto Centre for Active Transportation)**
- Social Science & Humanities Research Council & Community-University Research Alliances (Trent University & Trent Community Research Centre)**
- Graduate Student Funding (Trent University)**
- Healthy Communities (Peterborough County-City Health Unit)
- Ontario Trillium Foundation (Cycling Education & Access Grant: Bike)

HUMAN RESOURCES

CAPACITY

- Stewart Street and Area Community Association*
- GreenUP*
- BIKE: the Peterborough Community Cycling Hub*
- Toronto Centre for Active Transportation*
- Trent Community Research Centre*
- Ontario Professional Planners Institute
- Trent University*
- Peterborough Community Garden Network*
- Peterborough County-City Health Unit

ACCESS

- City of Peterborough Transportation/Engineering & Planning*

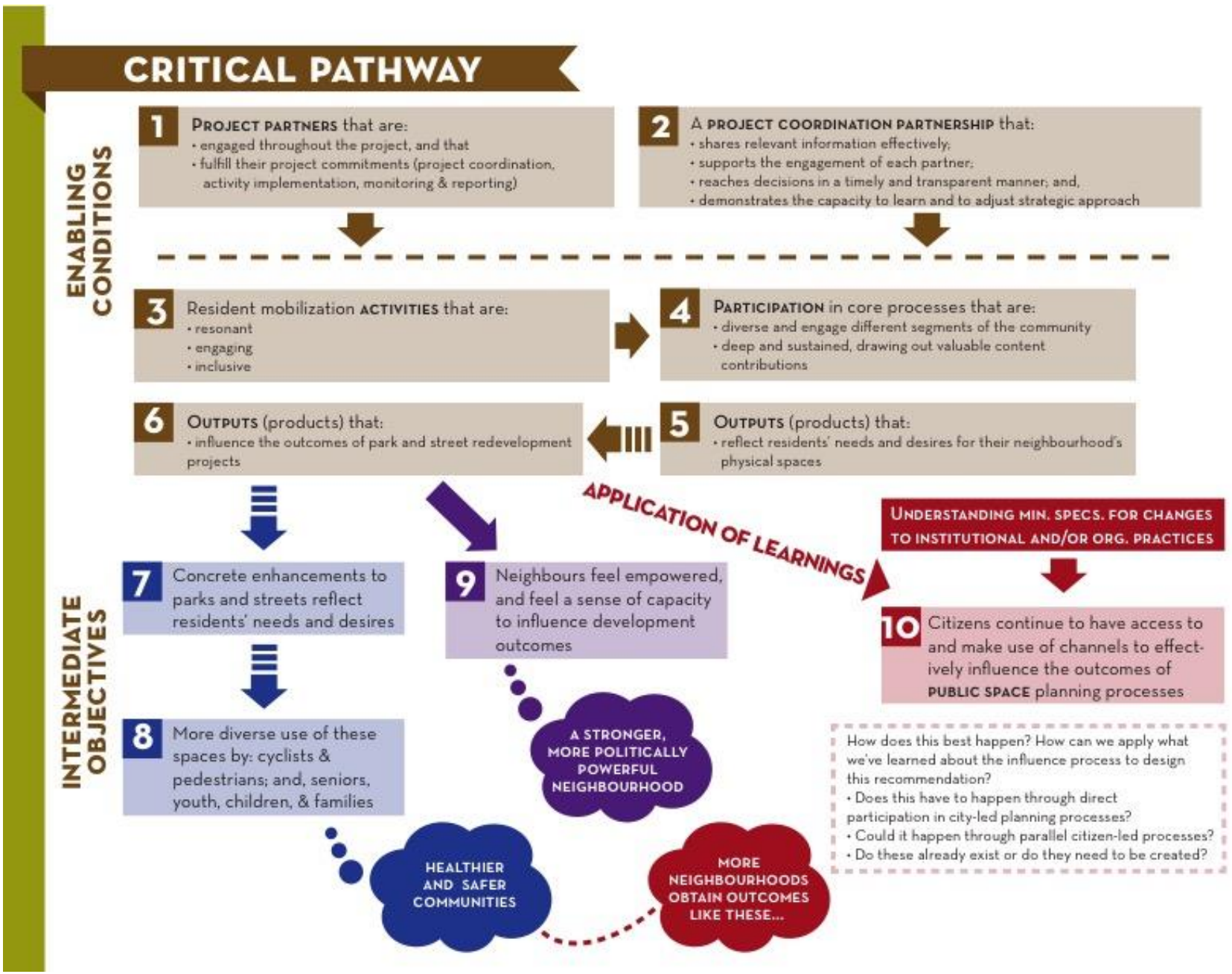
KNOWLEDGE RESOURCES

- Montréal Active, Healthy & Green Neighbourhood Pilot Projects
- National Active Neighbourhoods Canada Community of Practice
- Neighbourhood Community Garden engagement and development process

KEY ASSUMPTIONS

The critical pathway and related logic models are based on a set of ten key assumptions. Each of these key assumptions are grounded in the published literature or have been validated by local knowledge holders who live in the ANC neighbourhood. Some of these assumptions will be tested through the evaluation process to discern their application and relevance in a local context.

A number of these assumptions are carried over from the national project, including the assumption that participatory processes are needed and/or favourable, that it is appropriate to prioritize the engagement of one population over another, that infrastructure to support walking and cycling is both needed and desired, and that community organizations should have a role as catalysts and brokers. The local Peterborough project assumes that residents of the Stewart Street neighbourhood will be interested and/or able to engage, that the built form within the neighbourhood is in need of enhancement, that residents will identify with the Stewart Street neighbourhood, that it will be possible for organized and engaged residents to have influence over local planning processes, and that citizen engagement can be sustained long enough to achieve this influence. The local project also assumes that the partnerships established to undertake this process will be sustained and functional through to the project end, at the very least.


CRITICAL PATHWAY
ENABLING CONDITIONS
1 PROJECT PARTNERS that are:
• engaged throughout the project, and that
• fulfill their project commitments (project coordination, activity implementation, monitoring & reporting)
2 A PROJECT COORDINATION PARTNERSHIP that:
• shares relevant information effectively;
• supports the engagement of each partner;
• reaches decisions in a timely and transparent manner; and,
• demonstrates the capacity to learn and to adjust strategic approach
3 Resident mobilization ACTIVITIES that are:
• resonant
• engaging
• inclusive
4 PARTICIPATION in core processes that are:
• diverse and engage different segments of the community
• deep and sustained, drawing out valuable content contributions
5 OUTPUTS (products) that:
• reflect residents' needs and desires for their neighbourhood's physical spaces
6 OUTPUTS (products) that:
• influence the outcomes of park and street redevelopment projects
APPLICATION OF LEARNINGS
UNDERSTANDING MIN. SPECS. FOR CHANGES TO INSTITUTIONAL AND/OR ORG. PRACTICES
INTERMEDIATE OBJECTIVES
7 Concrete enhancements to parks and streets reflect residents' needs and desires
8 More diverse use of these spaces by: cyclists & pedestrians; and, seniors, youth, children, & families
9 Neighbours feel empowered, and feel a sense of capacity to influence development outcomes
10 Citizens continue to have access to and make use of channels to effectively influence the outcomes of PUBLIC SPACE planning processes
A STRONGER, MORE POLITICALLY POWERFUL NEIGHBOURHOOD
HEALTHIER AND SAFER COMMUNITIES
MORE NEIGHBOURHOODS OBTAIN OUTCOMES LIKE THESE...
How does this best happen? How can we apply what we've learned about the influence process to design this recommendation?
• Does this have to happen through direct participation in city-led planning processes?
• Could it happen through parallel citizen-led processes?
• Do these already exist or do they need to be created?

Appendix 3: Trent University Research Ethics Board Consent Form

Informed Consent Form

Project title: **Participatory urban planning for active transportation in Peterborough, Ontario.**

Student Researcher:
Tessa Nasca, Sustainability Studies MA Candidate, Trent University, Peterborough, ON
Email: tessanasca@trentu.ca

Faculty Supervisor:
Stephen Hill, Associate Professor, Trent University, Peterborough, ON
Tel: 705 748-1011x7368
Email: stephenhill@trentu.ca

This project is the research component of a community-led project called Active Neighbourhoods Canada [ANC]. The ANC project seeks to reimagine how we can better share streets and sidewalks between pedestrians, cyclists and motor vehicle drivers, and to support community to further these goals in their neighbourhoods. The project also hopes to empower people who are often left out of traditional governmental planning processes, and is working to identify a set of best practices for participatory urban planning for active transportation.

Your role in the research will be participating in a focus group to share your expertise on community engagement, active transportation, and/or urban planning. By consenting to participate in this focus group, you agree to have your contributions used in research reports.

You have the option to keep all of your responses anonymous and non-attributable. You should be aware that, given the nature of case study research and the fact that details surrounding the case study will be discussed in our research, the potential remains that some people with an intimate knowledge of the case may be able to guess your identity.

While we consider the risks surrounding your participation to be minimal, you may choose not to participate in the focus group and may withdraw at any time. If you choose

to not participate in the focus group, you may be continue to be a part of the Active Neighbourhood Canada project in other ways. The products of this research may be published in academic journals, but are not intended to have any commercial value.

This focus group may be recorded. Recordings will be kept confidential, and will be stored on an encrypted computer. Recordings will be destroyed within five years of the culmination of the project.

This project has been reviewed and approved by the Research Ethics Board at Trent University. You may contact them through Karen Mauro (Certifications and Regulatory Compliance Officer), Phone: 705-748-1011 ext. 7896, Email: kmauro@trentu.ca. If you have questions about the project you may contact the student investigator, Tessa Nasca, or the faculty supervisor, Dr. Stephen Hill.

The information within this informed consent form will be discussed with you at the outset of the focus group, and a copy of this form will be given to you to keep. By choosing to participate in the focus group, you agree that you understand the nature of this project and your role as a participant.

I wish for my contributions to remain anonymous and non-attributable:

Yes ☐ **No ☐**

I have read the above information and agree to participate in the study:

Yes ☐ **No ☐**

Name of participant (print):_____

Signature of participant:_____

Date:_____

Appendix 4: Log of ANC Meetings, events, and activities

ANC Steering Committee Meetings

- June 6, 2016
- May 17, 2016
- April 14, 2016
- February 11th , 2016
- January 15, 2016
- Dec 14, 2015
- November 18, 2015
- October 20, 2015
- September 22, 2015
- August 20, 2015
- June 18, 2015
- May 11, 2015
- April 28, 2015
- January 15, 2015
- December 15, 2014
- September 16, 2014
- July 2014
- May 2014

ANC Evaluation Committee Meeting Log

- October 16, 2015
- September 24, 2015
- May 11, 2015

ANC Event Log

- Community and professional design workshop | November 12, 2015
- ANC Table at the Peterborough Downtown Farmers' Market | Asset Mapping and Survey Collecting | September 30, 2015
- Town Ward Town Hall Meeting in the Park | September 12, 2015
- Community Harvest Party | Portrait, Asset Mapping, and Surveying | September 3, 2015
- Door-to-door surveying | August 31, 2015
- Ontario Professional Planners Institute Workshop & Focus Group | June 18, 2015
- Neighbourhood Pedestrian, Cyclist, and Park Use Counts | June 3, 2015
- Stewart Street Play Streets Event | Asset Mapping and Surveying | May 31, 2015
- Stewart Street and Area Community Association (SSACA) Meeting | Asset Mapping and Project updates | February 24, 2015
- ANC at SAACA meeting | Asset mapping and surveying | March 4, 2105
- SAACA Fundraiser and Concert | Asset Mapping and Surveying | January 24, 2015
- Present Vision at Bethune St PIC | May 19, 2016

- Citizens Forum (with Ryerson MPL Students) | March 12, 2016

ANC Conference and Event Presentation Log

- Toronto Centre for Active Transportation Complete Streets Forum | October 1, 2015
- University of Prince Edward Island Multidisciplinary Graduate Research Conference | August 6-8, 2015
- Tamarack Institute Neighbours, Policies, and Programs Gathering | June 9-10, 2015
- MA Sustainability Studies Student Research Day | April 9, 2015
- Trent Community Research Centre Community Innovation Forum | March 2015
- Trent University Symons Seminar Series | November 2015
- Trent University Three Minute Thesis | March 2016
- ANC community of practice meeting presentation about OPPI workshop
- CFICE Community and Faculty Colloquium Event | January 13, 2016
- Tamarack share back event

Focus Groups

- OPPI focus group | June 2015
- Resident focus group | December 2016
- Steering committee focus group | January 2016
- City staff focus group | April 2016
- *CFICE-facilitated focus group | May 2016
  * I was a participant in this focus group, rather than the facilitator

Ryerson Student Support

- Primary client meeting at Ryerson University | January 2016
- January 2016: Stewart Street Neighbourhood walk-about | January 2106
- Mid-term presentation at Ryerson University | Febraury 29, 2016
- Citizen's Forum event in Peterborough | March 12, 2016
- Final Presentation at Ryerson University | April 5, 2016

Appendix 5: Invitation for the OPPI Workshop

Appendix 6: Text of email invitation to the City staff focus group

The Stewart Street Active Neighborhoods Canada project would like to invite you to a focus group to discuss their project (http://activeneighbourhoods.tcat.ca/neighbourhoods/stewart-street-peterborough/), which has been working with residents of the Stewart-Sherbrooke area to engage people in reimagining public spaces in their neighbourhood. Join us to discuss this participatory planning approach, and the City of Peterborough's role in the project steering committee:

Date: Tuesday April 5th, 2016
Time: 10:00-11:30 AM
Location: Peterborough Room, City Hall

We are particularly interested in understanding the sustainability of this type of participatory planning approach, and discussing the City's capacity to continue to provide support for projects like this. This focus group will include City staff from across multiple departments, and all invitees are employees of the City of Peterborough.

This session will be facilitated by Tessa Nasca, the Active Neighbourhoods Canada Project researcher. Tessa is a Masters of Sustainability Studies candidate at Trent University, and the results of the focus group will be included in her research outputs. Please review the attached consent form prior to the focus group, as all participants will be asked to provide informed consent at the onset of the session.

Please RSVP to Tessa Nasca (mailto:tessanasca@trentu.ca) (tessanasca@trentu.ca) by March 29th. In addition, please complete this short questionnaire (http://app.fluidsurveys.com/surveys/nasca/active-neighbourhoods-canada-questionnaire/) (http://app.fluidsurveys.com/surveys/nasca/active-neighbourhoods-canada-questionnaire) by March 29th. This will help the focus group facilitator to understand your prior knowledge of the Active Neighbourhoods Canada project in advance of the focus group.

If you have any questions about the consent form, or about the focus group, please contact Tessa Nasca.

Thanks,
[Redacted]