NARROWING THE SUSTAINABILITY PARADIGM

HOW MEANINGFUL PARTICIPATION BUILDS SOCIALLY EQUITABLE COMMUNITIES

by

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Abstract

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This work contributes to the third leg of the sustainability paradigm by addressing socially equitable communities in the field of Planning. It uses a case study of neighborhood planning in Seattle, Washington as its basis for linking meaningful public participation with social capital. It uses a thoughtful qualitative framework to measure social capital in primary and secondary sources and bases these parameters with expert knowledge from scholars within the social science fields.

Table of Contents

Table of Figures

List of Tables

Chapter 1

Overview

1.1 Introduction

> The very word environment is an abstraction, one that is wrong in this context. It abstracts the environment from the person and the person from the environment. It treats the two as different. But the so-called environment is the very source of the being of the person. The human being couldn't exist without oxygen, water, food, and so on. Therefore all this really shouldn't be called an environment. It's the wrong kind of abstraction. It separates the things that are one.
>
> -D. Bohm, On Dialogue

Sustainability in the practice of urban planning is defined today as a paradigm with three fundamental elements: environment, economic, and social, also known as "the triple bottom line." These elements are highly debated in the practice of urban planning; how these aspects are applied in a commensurable way to achieve sustainability is said to be a paradigm in and of itself. Despite the persistent use of this term and the debate surrounding its meaning and applicability, planners strive toward achieving what they believe to be "sustainable" in all aspects of their profession, particularly as they build, foster or repair neighborhoods in their cities.

An equally important practice for planning, but one distinct from sustainability practices, is that of public participation. As planners work with a single neighborhood or network of neighborhoods for their cities, one of the first and fundamental steps toward achieving their goals is the process of public participation. Participation is used as a key tool for transparency in the development of projects, as it encourages engagement of residents in the planning process. "The main purposes of participation are as follows:

1. To involve people in design decision-making processes and, as a result, increase their trust and confidence in organization, making it more likely that they will accept decisions and plans and work within the established systems when seeking solutions to problems.

2. To provide people with a voice in design and decision making in order to improve plans, decisions, and service delivery.
3. To promote a sense of community by bringing people together who share common goals (Sanoff 2000, 9-10).

Yet, what is interesting in today's planning field is that current political conditions in the United States concerning democracy and participation are conceivably influencing the participation process of sustainable neighborhoods. Americans have been tailored to look out for themselves and only vote or participate when an issue holds a threat to their views, or the issue provides personal gain for the voter (Kidd 2011, 152-153). How then can planners re-engage the public? Civic participation exists when an individual is motivated to participate, as he or she has a sense of public responsibility for the good of the commons. There must be a sense of public responsibility. Purdy (1999) believes that society must come together in a "stance toward public life in the way our work, relationships, and general way of living affect the commons. The commons are the things we all rely upon that can be preserved only by attention running beyond narrow self-interest" (Purdy 1999, 186). Planners have the unique opportunity and skill set to help form stronger relationships with their communities and re-engage the public in a democratic way. This then helps shed light on public participation methods and techniques that planners can use to help create better solutions to problems.

1.2 Linking Participation with Sustainability

Within the paradigm of sustainable planning lie fundamental questions of equity in how participatory involvement is linked with sustainable neighborhoods. The answer to these questions may lead to conclusions that help further define how participation and sustainability are linked, and how planners can achieve more equitable communities. *Figure 1.1* (on the following page) shows the triple bottom line and the relationship between environment, economic and social aspects of sustainability. If residents participate in the planning process of a sustainable revitalization of their neighborhood, will they be more invested in maintaining the

environment, economy and social equality of their community as a whole? Has the process of participation then created something tangible, leading to a significant amount of social capital in a neighborhood?

Answering questions like these can allow professionals and scholars in the planning field to better understand the relationship between the process of participation, the participation of citizens themselves, and how to establish a neighborhood that is sustainable in all three measures of the triple bottom line. This then may help to further chip away at the currently indistinct method towards achieving true sustainability in the field of urban planning.

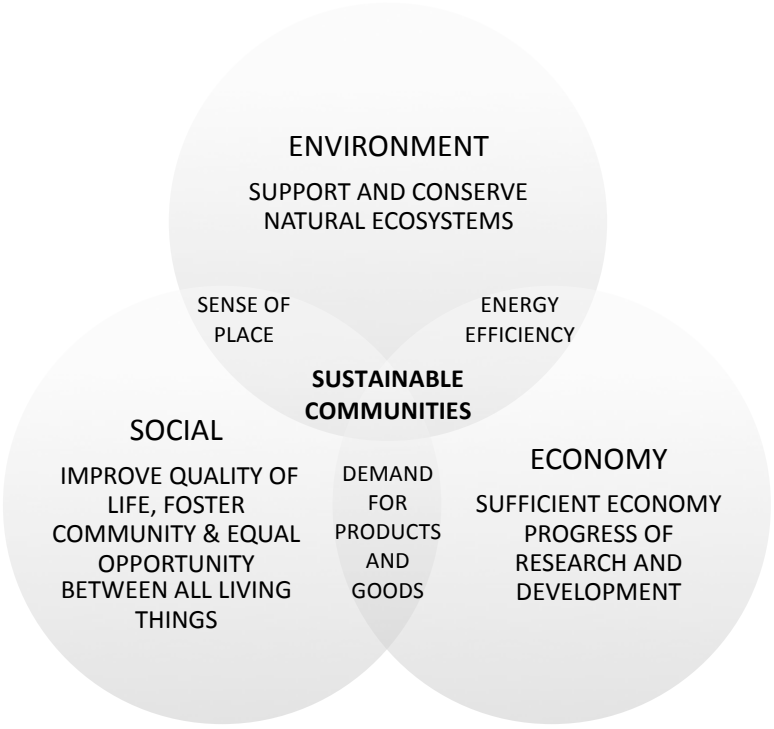

Figure 1.1 Sustainable Communities Diagram: Environment, Economic, and Social

Discussing theories of sustainable communities, their elements, historical foundations in planning, and more recent ideas of how communities inadvertently affect societal systems as a whole, can help give meaning to analyzing the relationship between the planning process and sustainable communities. A planner's ability to help foster meaningful participation with citizens

may then lead to the building of social capital. Previously, Robert Putnam (1995) argues that contemporary communities have seen a decline in social capital. He agrees that strong ties between people is fundamental to a successful sustainable community, yet over the last part of the twentieth century people have loosened their historically strong ties with their neighbors, leading to the decline of social capital in our cities. Social capital here can be defined as "the connections among individuals --social networks and the norms of reciprocity and trustworthiness that arise from them" (Putnam 2000, 19). Perhaps better public participation is another way of strengthening these ties as planners become more skilled and driven to improve their methods of participation. Critics of Putnam's work such as Richard Florida, mention that, "social capital can and often does cut both ways: it can just as easily shut out newcomers, raise barriers to entry, and retard innovation" (Florida 2005). Planners must foster communication between all groups in a neighborhood and therefore, must be cautious not to strengthen one group or another in the process of collaboration. The research behind participation and its impact on sustainable neighborhoods can help add to the discussion of the theory of social capital as it relates to communities.

The history of public participation in the field of planning, its roots in law and in theory can also illuminate strategies that need to be developed to create better participation methods. Arnstein's Ladder of participation may be a good place to begin addressing the social side of sustainability, as she developed a ranking of different techniques of citizen participation shown in *figure 1.2* (Wagner and Caves 2012, Arnstein 1969). This illustration can be used to understand barriers between planners and residents. Arnstein (1969) further explains that power-holders sometimes hold racist, paternalistic views, and can have problems stepping down from these power roles to let others lead. While the citizens have reservations that include their place in political and socioeconomic circles, knowledge base on particular issues, difficulties maintaining their own accountability, organizing leadership, and harboring distrust of

those in power (Arnstein 1969, 217). Planners can use Arnstein's ladder to test the levels of control within their engagement methods, so as to foster inclusion and not exclusion of citizens.

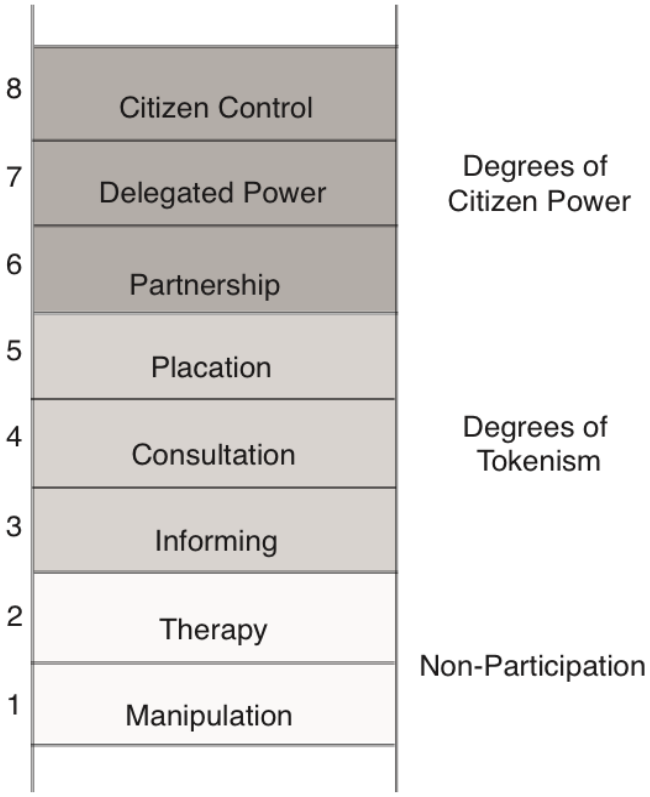

Figure 1.2 Arnstein's Ladder of Participation

1.3 Problem Statement and Research Question

Research shows that a majority of sustainable communities seek to resolve the environmental challenges, occasionally the economic challenges and rarely if ever seek to solve the equitable challenges of the neighborhood within the sustainability paradigm (Agyeman and Evans 2002, Dale 2001). As sustainability relates to planning, so too does the socially equitable gap remain. It is therefore necessary to examine ways in which planners encourage socially sustainable communities. With the absence of significant research of socially sustainable

communities, the aim of this research seeks to narrow the sustainability paradox by identifying and strengthening the social aspect of sustainability as well as provide a stronger participation guide for planners as they establish their process for planning environmentally, economically, and equitably sound neighborhoods.

If planners are to establish truly sustainable neighborhoods, in all three aspects of the triple bottom line, I argue that identifying the presence of social capital, as a result of applied participation techniques by planners and city employees involved in outreach efforts related to community planning, will help strengthen the sustainability paradigm.

1.4 Case Study Selection: City of Seattle

Thirty-Seven neighborhood plans in the City of Seattle, Washington, serve as the basis for research to be addressed in this study. Seattle is a leader in neighborhood planning in both the professional and academic fields. Mazella (2010), Oshun, Ardoin and Ryon (2011), Kobler (2009), and Diers (2004), along with many others have identified Seattle as an ideal model for increasing capacity building between citizens and government, as well as a historical model for democratic engagement of its citizens.

Further, Seattle's twenty-five year history in neighborhood planning provides an extensive foundation for the basis of this research, assisting and enhancing the credibility of the research findings. Seattle began its neighborhood planning efforts in 1987 under former Mayor Charles Royer, who was inspired by the City of Boston's former Mayor Kevin White's "little town hall" initiative to achieve transparency and provide better services to residents. As a result, the City of Seattle passed a resolution in 1987 establishing The Office of Neighborhoods (later evolved into the Department of Neighborhoods) and the Neighborhood Matching Fund (Resolution 27709). In 1990, the State of Washington passed The Growth Management Act, mandating regional growth boundaries and urban population growth targets, leading Seattle to respond with its comprehensive plan in 1994, *Toward a Sustainable Seattle* (Interview with city

staff member 1, 2013, Kobler 2009). To achieve a more inclusive participation process and to meet the policy requirements of *Toward a Sustainable Seattle*, planners employed thirty-seven neighborhood plans between 1995 and 1998. Each of the plans are unique to their own community. Each makes an attempt to tailor the needs and visions of residents, business owners, stakeholders, to define and improve the neighborhood fabric and public realm.

After the plans were passed in the late 1990s, a round of updates in 2009 materialized for a handful of the existing plans during the implementation phase. The updates further enhance outreach methods to increase inclusiveness and accurate representation of all residents. The second outreach effort was driven by a new Race and Social Justice Initiative which contacted specialized ethnic and cultural experts to help engage “traditionally underrepresented” groups in select neighborhoods (Interview a city staff member 1, 2013, Oshun, Ardoin and Ryon (2011)).

Over the last decade, each plan has made progress in implementing capital improvements, enhancing community meeting spaces, creative and revitalizing parks and open space, to name a few. A vast number of neighborhood plans passed post 2000 are referenced within other city documents and resolutions adopted by city council. A number of these are shown in *table 1.3* on the following pages (Office of City Auditor 2007).

Table 1.3 Neighborhood Plan Audit

Relationship of Subsequent City Planning Efforts to Neighborhood Plans	City Planning Efforts No Mention of Neighborhood Plans	Mentioned/Addressed Neighborhood Plans
Revised Commercial Code (2007)		X
Seattle Bicycle Master Plan (2007)	X*	
Transportation Pedestrian Plan Resolution # 30951 (2007)		X
Urban Forest Management Plan (2007)		X
Center City Seattle (2007)		X
Comp Plan Annual Amendments (2007)		X
Green Factor linked to Neighborhood Business District		X
Strategy (2007)		X
Industrial Lands (2007) X		X
City Environmental Policies and Regulations Review (2007)		X
Neighborhood Main Street Mapping (2007)		X
Complete Streets (2007)	X*	
Downtown Zoning (2006)		X
Urban Center Plan for South Lake Union New Draft Neighborhood Plan (2006)		X
Transportation Plan for Northgate (2006)		X
South Park Action Agenda (2006)		X
Southeast Seattle Action Agenda (2006)		X
Central Waterfront Plan (2006)		X
Livable South Downtown (2006)		X
Multifamily Zoning Updates (2006)		X
Broadway Economic Vitality Action Agenda (2006)		X

Table 1.3 Neighborhood Plan Audit (Continued)

Relationship of Subsequent City Planning Efforts to Neighborhood Plans	City Planning Efforts No Mention of Neighborhood Plans	Mentioned/Addressed Neighborhood Plans
Transportation Strategic Plan (2005)		X
Transportation Transit Plans (2005)		X
Environmental Action Agenda (2005)		X
Comprehensive Drainage Plan (2005)		X
Right of Way Improvement Manual (2005)		X
Comprehensive Drainage Plan (2004)		X
South Lake Union Transportation Study (2004)		X
Storm water Code Revisions (2004)		X
Northgate Revitalization (2003)		X
Sidewalks Improvement Initiative (2003)		X
Northgate Action Agenda (2003)		X
South Lake Union Action Agenda (2003)		X
Thornton Creek Draft Watershed Action Plan (2001)		X
2001 Parks Department Annual Report		X
Parks Development and Acquisition Communications Plan (2001)		X
Sound Transit Light Rail Station Area Plans (1998-2001)		X
2000 Pro Parks Levy		X
University District Revitalization Plan (March 2004)		X

Source: Office of City Auditor. 2007

1.5 Methodology

Analyzing the relationship between sustainable communities and the participation process requires a qualitative approach. The methodology identifies measures of social capital as a result of applied participation techniques. This identification of measures of social capital is achieved through the development of a focused case study of a neighborhood plan that has entered the post-implementation stage. The City of Seattle is an ideal choice for a case study that fits this approach. The City successfully passed thirty-eight neighborhood plans and is in the process of implementation and post-implementation phases. These neighborhoods can therefore, be analyzed for results that quantify leads of social capital. Qualitative data is gathered through in-person, phone and email communication. Individual interviews are held with residents, neighborhood district coordinators, city employees, and public officials. Residential leaders in each neighborhood are identified, through snowballing as well as through publicly posted contact information on made available online. Interviews are the primary method for gathering qualitative data, followed second, by an analysis of each of the adopted neighborhood plans. The questionnaire used during these interviews can be found in the appendix. Each individual interviewed had a direct involvement with the development and implementation of one or several of the thirty-eight neighborhood plans in Seattle. *Figure 3.1* (on page 21) shows different regions where each of the thirty-eight neighborhoods are located.

This map shows overlap between districts as well as service center locations that serve as mini city halls for each area. The inspiration for Seattle's service centers was adopted from the City of Boston's former "Little Town Hall" concept under Mayor Kevin Hagen White (interviw1). The City of Boston currently has an Office of Neighborhood Services that provides assistance through neighborhood liaisons which acts as a transparent resource for both residents and city employees to communicate and facilitate public participation. This is similar to the City of Seattle's Department of Neighborhoods where the Neighborhood District Coordinators are housed.

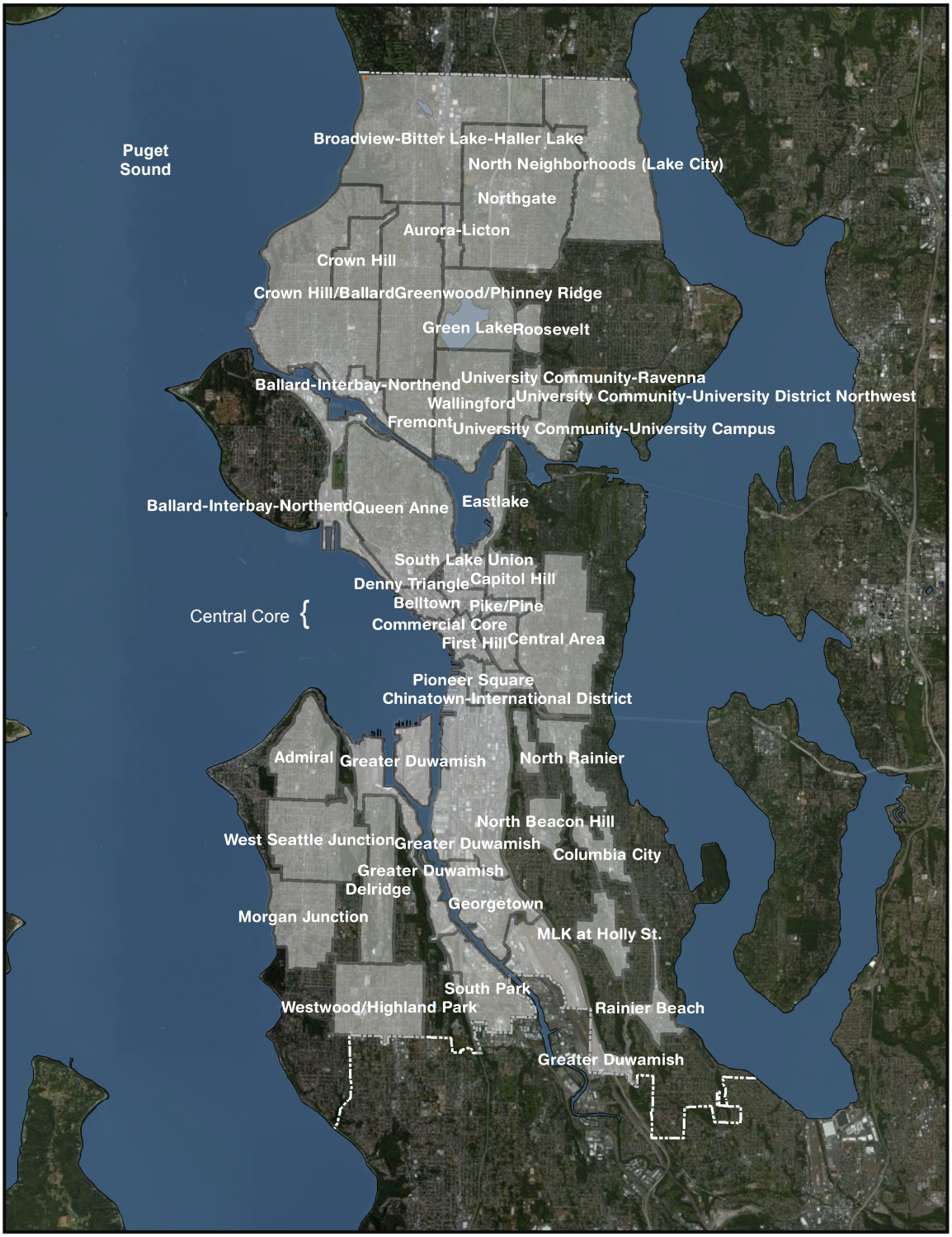

Figure 1.3 Seattle Neighborhood Regional Map

1.6 Analysis

The analysis includes the identification of common themes that are classified as either a participatory or social capital identifier. Participation identifiers include *breadth, control, depth*, and *communication*. Social capital identifiers include *bonding, bridging*, and *linking*. Unique outcomes of the participation process are also acknowledged here. An outcome is a unique result created from the participation process of a neighborhood plan; such as, the formation of new community groups, leaders, or even strengthened community participation levels.

As measures of social capital and participation are identified in each of the individual neighborhood plans, a score is applied to assess the status of social capital and participation over time with a measure of high medium or low. These results shed light on connections between the participation process in planning and sustainable communities. Similarities or trends from results lead to identifying social capital development in the respective Seattle neighborhoods and thereby, help to fill the gap that exists in current research surrounding sustainability. This measure now provides validity to a specific type of planning process and structure; as this set of practices helps equalize social equity in the third leg of the sustainability paradigm.

1.7 Conclusions

Much of the foundation and root aspect of this research is how the participation process impacts a community. We know that basic public participation is required of planners when developing plans, or non-participation, to refer to Arnstein's theory of participation. But for those programs that go beyond the basics of notifying the public of their plans, how have their methods impacted communities' long term? And can these methods be the key to helping establish sustainable neighborhoods by building social capital and therefore contributing to the social side of the sustainability paradigm? This research studies the public participation

methods carried out in Seattle's neighborhood planning program throughout the 1990s. It also incorporates current practices used today by the City of Seattle as part of its analysis.

The outline of this research begins with a review of planning literature, which serves as the basis and inspiration for this study. It reviews notable work from scholars in the field on the sustainability paradigm, community sustainability and participation in the planning process, the origins of social capital as it relates to communities, how qualitative data is a valid approach to research, and participation in the civic process. Following the literature review is the outline of the methodology followed by the synthesis of data in the analysis section. After the case study is presented, limitations are acknowledged followed by suggestions for future research. The final chapter then provides a summary and conclusion for the findings of this study.

Chapter 2

Literature Review

2.1 Introduction

To better understand how the participation process affects communities, it is important to identify the foundations in the literature surrounding the topics of public participation and what makes a community sustainable. A brief but rooted foundation will outline the major literature that exposes first, the sustainability paradigm; second, community sustainability and participation in the planning process; third, the origins of social capital as it relates to communities; and fourth, participation in the civic process.

2.2 Sustainability Paradigm

The definition of sustainability is a question that scholars continue to critique and develop. One evident trend is the definition of sustainability and how it varies based on its change in context. Despite its ambiguity, a popular definition has emerged, as it remains the most common definition referenced today. The World Commission on Environment and Development (1987, 64) defines sustainability as, “development that meets the needs of the present without compromising the ability of future generations to meet their own needs.” However, many other definitions of sustainability have been defined based on the context it is used in. When applied to an ecological context, sustainability can be interpreted as, “improving the quality of human life while living within the carrying capacity of supporting ecosystems” (IUCN/UNEP/WWF 1991, 10). As sustainability strives to equally encompass economic growth, environmental protection and social equity in a holistic manner, so does the following definition become more apt: “the need to ensure a better quality of life for all, now and into the future, in a just and equitable manner, whilst living within the limits of supporting ecosystems” (Agyeman et al 2002, 77-90). This will be the primary definition used for sustainability in this thesis as it encompasses all three aspects of the triple bottom line and identifies the inseparable

relationship between humans and the environment (Dale 2001). As previously shown in the introduction, the relationship between environmental, economic and social aspects of sustainable development can be seen visually in *figure 2.1*. Each aspect overlaps to make up what research shows to be as a sustainable community. As this research attempts to narrow the social bottom line, this graphic will be helpful when analyzing results from case study data.

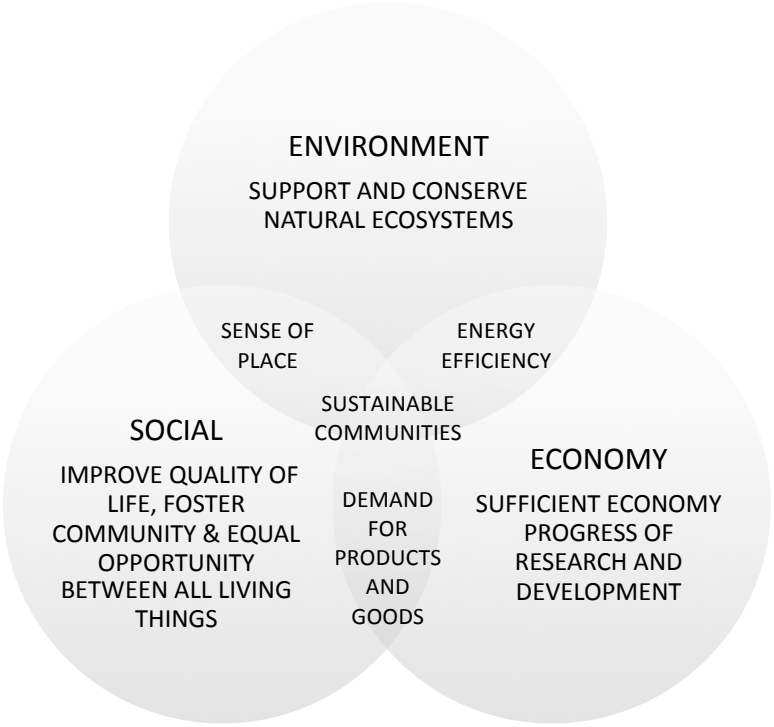

Figure 2.1 Sustainable Communities Diagram: Environment, Economic, and Social

To develop a sustainable society or, in this case community, a paradigm shift must take place. When a fundamental shift in ideas and new perspectives are embraced and developed, necessary problem-solving skills are developed to address such a threefold issue. Dale (2001) lists the skills or necessary changes in order of importance and describes them as aspects necessary for society to embrace sustainability. First, the ecological imperative can only be addressed if: a) reproduction is limited; b) the flow of production is restructured to produce no

waste (a concept similar to McDonough and Braungart's (2002) Cradle to Cradle concept); c) humans activity becomes wholly relative to the ecological system of the earth; d) biological diversity is embraced; e) humans reduce our man made effects on climate systems. Second, she addresses the social or equitable principles that make up education, public and private sectors that need to be drastically shifted in a new direction. Such key social imperatives including worldwide education of women, alleviation of poverty, equal representation of women and men in leadership roles at all levels, and the increase of ecological literacy rates for politicians as well as the increase in the understanding of the triple bottom line, economic, environmental and equitable imperatives. Finally, the economic aspects of the paradigm are listed but not restricted to five solutions: 1) develop measures beyond Gross Domestic Product to include a life-cycle approach for human well-being; b) subsidizing behaviors that are in line with sustainable development principles; c) develop tools that critically analyze progress in these areas; d) a shift in economics that maintains an already existing source of assets that is sufficient to sustain society (Dale 2001).

2.3 Community Sustainability and Participation In Planning

Sustainability by definition requires community participation; "to meet the needs," "improve the quality," and "the need to ensure," are all actions that require agency of humanity to make changes. This change can only begin through meaningful participation between those who are well informed in the dynamics of sustainability and that what makes up a community. A community, like sustainability is also ambiguous, as community may be interpreted differently dependent upon its application in context. At best, community can be described as, "all regularly interacting collectives of people, or locally integrated institutional and social networks" (Onyx 2005, 4). How then, can two inexplicit terms, like sustainability and community be interwoven to become a meaningful and effective solution to the sustainability paradigm? A sustainable community seeks to protect and enhance the environment, meet social needs, and promote

economic success (The Role of Civic Environmentalism 2003). This definition links back to the triple bottom line first mentioned in the development of the literature behind sustainability. A community through its ties between each other and to place enables a sustainable existence, while simultaneously and equally mindful of the economic, environmental and social factors that make a community sustainable. Communities are dissected and described by Kilpatrick and Vanclay (2005) into three different types:

- Communities of common practice: Specialist groups who share knowledge and procedures
- Communities of common interest: People who enjoy knowing about, discussing and developing, a subject
- Communities of common purpose: This type of community forms to take definitive action

Community and social capital combined may help establish a sustainable community. Therefore, each attribute of community will play a unique role in helping to create a more sustainable society. Social capital is defined by Robert Putnam (2000) as "the collective value of all 'social networks' and the inclinations that arise from these networks to do things for each other."

2.4 Social Capital In Communities

A planner's ability to help foster meaningful participation with citizens may lead to the building of social capital. Despite continuing debate of its definition, one agreement by scholars is that social capital is "the networks that facilitate collective action" (Woolcock 2001a). It is the character, strength of ties, and the extent to which these collective actions or networks foster trust and reciprocity (Sander and Lowney 2006). Although different types of social capital have been applied in different ways over the years, the most recent and accepted types of ties that exist in social capital are Bonding, Bridging and Linking (Woolcock 2001a). Bonding refers to connection between people of similar groups such as family friends, neighbors or established members of formal groups. Bonding focuses on and usually maintains a certain level of trust between these close ties. Bridging refers to the connections between heterogeneous groups.

Bridging ties are most closely related to issues of equity in that it begins to address social inclusion of all people (race, class, and ethnicity). Bridging focuses on creating and maintaining a sense of open-mindedness and promotes diversity of all kinds. Linking refers to the ties between people in power such as politicians, non-profits, or social leaders to the civic community (Woolcock 2001b). Linking focuses on the ties or networks of citizens involved in a political decision making process. This type is also similar to public regarding ties, which address public issues like land use or zoning (Sander and Lowney 2006).

Robert Putnam in his book Bowling Alone; argues that there is a decline of social capital in today's communities within neighborhoods and finds that strong ties between people are fundamental to a resilient and sustainable communities. Yet over the last part of the twentieth century people have loosened their historically strong ties with their neighbors, leading to the decline of social capital in our cities. Critics of Putnam's work like Richard Florida mention that, "social capital can and often does cut both ways: it can just as easily shut out newcomers, raise barriers to entry, and retard innovation" (Florida 2003, 292) Planners must foster communication between all groups in a neighborhood and therefore, must be cautious not to strengthen one group or another in the process of collaboration and further, must protect and preserve the fabric of the community which created the social capital and be in tune to the warning signs of gentrification with its good intentions yet, unintended effects.

As social capital relates to sustainable communities, so too does participation. Participation in planning is developed through various features as described in figure 2.2. Blanco identifies Arnstein's ladder of participation which catalogues how much control a community can have on policy decisions, and a study that examines concepts like breadth, control, and depth (Wagner and Caves 2012). Breadth is the ability of methods to extend to community members to provide equal opportunity for participation by all. Control, relates to the phasing of the planning process, who specifically has the ability to control, or has resources in the planning process itself (Wagner and Caves 2012). Depth focuses solely on the outcomes of

the implementation process in planning. The following table provides a visual understanding of how breadth, control, and depth are applied in neighborhood planning at the participatory level.

Table 2.1 Features of Neighborhood Planning & Participatory Democracy

Features of Neighborhood Planning	Criteria or Dimensions of Participatory Democracy			
	Breadth	*Control*	*Depth*	*Other*
Legal status		•	•	
Who initiates		•		
Who controls process		•		
Neighborhood role		•		
Resources available		•		
Scope of Plan			•	
Length of process				Psychological
Special techniquest for neighborhoods implementation			•	Facilities
% of people who participate	•			
Representativeness of participants	•			
Adoption of neighborhood plans			•	
Relation of neighborhood plans to city budget process			•	
Monitoring and evaluation			•	
Other institutional changes related to planning effort			•	Service Delivery Restructuring

Source: Data from Blanco 2012

It also evident, that beyond measuring social capital, is the need to identify levels of "feelings" or "emotions" experienced during or as a result of the participation process within a community setting. "A community's first step in obtaining social capital is to have a sense of empowerment. At the most basic level, empowerment is achieved through encouraging residents allowing them to have a voice" (Dale 2005, 13).

2.5 Civic Participation

Kidd (2001) argues in his book *Civic Participation in America*, that a citizen's motivation for participation provides insight to the health of American society and its effects on social capital. He argues that Americans must engage in civic life beyond a narrow means of self-interest. They must engage for reasons that seek to improve the greater whole of society. This then will provide a foundation for a stronger sense of public responsibility (Kidd 2011, 152-153).

The state of participation in America is worth addressing here, as it is the main factor driving research in this study. Without civic participation, this study is essentially invective and irrelevant. It is therefore necessary to address the civic health of American society today. *Civic Life in America: Key Findings on the Civic Health of the Nation* presents trends on civic engagement with statistics collected from the Civic Engagement Supplement and the Current Population Survey (CPS). This survey is distributed by the Census Bureau and the Bureau of Labor Statistics and is the first of its kind. It was sanctioned by federal policy in 2009, through the *Edward M. Kennedy Serve America Act* and produced by the Corporation for National and Community Service (CNCS) and the National Conference on Citizenship (2010, 1). The report identifies civic engagement through an abridged version used by the IUPUI Task Force on Civic Engagement, as "Activities that build on the collective resources, skills, expertise, and knowledge of citizens to improve the quality of life in communities" (CNCS and NCoC 2010, 1). Civic engagement is closely related to if not the catalyst to social capital. It is addressed as:

> *Civic engagement is, in essence, the common thread of participation in and building of one's community. For example, political and non-political behaviors – which can be part of civic engagement – range from traditional group-oriented activities, such as participation in community groups and membership association, to activities that can be done either alone or with a group, such as volunteering. Finally, civic engagement can also include activities that people do with others, but which are less formal. These can include activities that family members or neighborhoods do together, such as talking about politics, exchanging favors with neighbors, gathering around the dinner table, or even engaging in online activities that allow people to stay connected to each other ((CNCS and NCoC 2010, 4).*

The study identifies five measures of civic participation: participation in a group, participation by connecting to information and current events, participation through social connectedness, and participation through political action. A study from the results revealed that participation in America has increased to 63.4 million people (adults age sixteen and older volunteer in one or more organization). Of the 26.5% of all Americans who do participate, only 9.3% attended a public meeting, with 5.4% of a volunteer's main organization as one of civic, political, professional or international. The study finds that "Adults who participate in service are especially more likely to attend political meetings" (CNCS and NCoC 2010, 9). This assessment is inferred through the "32.4 percent of those who worked with their neighbors to solve a community problem" attended public or political meetings. While "only 8.5% of those who did not work with their neighbors" attended a public or political meeting ((CNCS and NCoC 2010, 9).

Social connectedness is related to ties between people in close friends or family circles. A higher percentage of Americans maintain social connections with family members, friends and neighbors. For example, 89.1% eat dinner with other members of their household, 45.8% talk to their neighbors, 16.2% exchange favors with neighbors, 53.6% talk to their friends and family via the internet, and 39.3% of Americans discuss politics with family and friends frequently. Overall, the report finds that civic participation has increased and that Americans are more willing to talk about hard problems and issues in their community and the country as a whole (CNCS and NCoC 2010).

This civic participation index provides measurable results from which to base the context of the current civic participation state in America. Although the study reflects positive results, the numbers and percentages show that there is room for improvement. Especially, there is a need for higher numbers in those who participate in civic activities, particularly those that are of political matters. In the end, this report is successful at adding necessary context to help relate the public participation process in the planning field to the greater political state of

participation. Civic participation is still in an ebb and flow state, one where community members make their decision to engage or not engage in the political process.

Chapter 3

Methodology

3.1 Introduction

The purpose of this study is to help fill a void in research where little evidence exists to demonstrate that the participation process in planning can build social capital. By creating sustainable participation practices, planners can help slowly equalize the relationship between environment, economy, and equity.

For the methodology, a case study of neighborhood planning in Seattle, Washington is analyzed. In order to establish support of sustainable participation, this research is based on a qualitative approach rooted in sound literature. It is explained in detail beginning with first, the hypothesis; second, techniques and procedures; and third, data collection.

3.2 Hypothesis

It has always been a challenge to influence people in a significant enough manner that wins their active participation in the planning process. One might argue that this will always be an evolving effort. Americans are conditioned to look out for themselves and to only vote or participate when an issue threatens their views, or the issue leads to personal gain (Kidd 2011, 152-153). If the majority of Americans lack the desire to participate in the democratic process, how then can planners re-engage the public?

This research is propelled by questions within the paradigm of sustainable planning. The questions are: (1) How is participatory involvement linked with sustainable neighborhoods? (2) If residents do participate in the planning process, will they be more invested in maintaining the environment, economy, and social equity of their community as a whole? (3) Can the process of meaningful participation create something tangible? (4) Will this lead to a significant amount of social capital in a neighborhood?

Each of these questions serves as the premise for this research. Answering these questions can allow professionals and scholars in the planning field to better understand the relationship between the process of participation, the participation of citizens, and how to establish a more equitable neighborhood. This then may help to further chip away at the currently indistinct method towards achieving true sustainability in the field of urban planning.

3.3 Techniques and Procedures

Analyzing the relationship between sustainable communities and the participation process requires a qualitative approach. This methodology identifies measures of social capital as a result of applied participation techniques. The identification of social capital measures is achieved through the development of a focused case study of a neighborhood plan that has entered the post-implementation stage. The City of Seattle is an ideal choice for a case study that fits this approach. The city successfully passed thirty-eight neighborhood plans and is currently carrying out an ongoing implementation phase which includes updating several of the individual plans (as of 2007). The participation phase was completed by 1998 for most all plans, these neighborhoods can therefore, be analyzed for results that quantify leads of social capital.

Qualitative data was gathered through in-person, phone and email communication. Individual interviews were held with residents, neighborhood district coordinators, city employees, and public officials. Each of these roles was selected for its level of involvement, expertise, ties between people, and types of roles served during the participation process. Residential leaders in each neighborhood were identified during interviews through snowballing as well as through publicly posted contact information made available online (Department of Neighborhoods 2013a). Each of the roles is selected to achieve an equal compilation of those involved in the participation process in each of the 38 neighborhood plans. This distinction is necessary since this study seeks to identify both participation and social capital in the planning process and to make a contribution to the third leg of the sustainability triangle. Interviews are

the primary method for gathering qualitative data, followed by an analysis of each of the adopted neighborhood plans, and an audit of the neighborhood plans by the University of Washington.

Two sets of interview questions were created and approved by the University's Institutional Research Board (IRB). The sets differed in that one was tailed for city staff and while the other for neighborhood residents who participated in the planning process in the 1990s and or the updating of the plans in more recent years. Each question was written with the hope that participants would reply with responses that would be measurable by indications of *breadth, control, depth, bonding, bridging, linking,* and *communication*. Questions used in the interviews can be found in *appendix a*.

The interview recruiting process began with an initial round of emails to all neighborhood district coordinators, which was then followed by residents and elected officials. A total of fifty-six emails were sent out to recruit participants. This number is significantly lower than at first expected, many of the participants identified pre-data collection are no longer employees or simply may have moved on to other agendas, and did not maintain their contact information. Therefore, the initial goal of speaking with Neighborhood District Coordinators from each of the six geographic areas was not feasible due to city wide budget cuts (Interview with city staff member 1, 2013). In addition, to accurately categorize the different data collection types from responders, it was necessary to double count one participant since his or her response was based on two different roles identified in this study. Therefore, a total of fifty-seven recruits are used as the denominator as compared with the actual mailing of fifty-six. Of the fifty-six people identified as potential participants; 68.42% were residents, 19.30% were Neighborhood District Coordinators, 10.53% were classified as city staff (includes participants from Department of Planning and Development, Department of Neighborhoods, Department of Civil Rights, and Department of Parks and Recreation), and 1.75% were elected officials. 31.58% of those contacted were classified as non-residents including, Neighborhood District

Coordinators, city staff, and elected officials. Each of the participants and their roles are shown in *table 3.1* below.

Table 3.1 Interview Roles

Roles Identified for Interviews	# Contacted	% Total (57) *56
Resident	39	68.42%
Neighborhood District Coordinator	11	19.30%
City Staff	6	10.53%
Elected Official	1	1.75%
Total	(57)*56	100.00%
Total classified as non-resident	18	31.58%

The questionnaire used during these interviews can be found in the appendix. Each individual that was identified for an interview had a direct involvement with the development and implementation of one or several of the thirty-eight neighborhood plans in Seattle. *Figure 3.1* (on page 35) shows different regions where each of the thirty-eight neighborhoods is located. This map shows overlap between districts as well as service center locations that serve as miniature city halls for each area. Seattle's Neighborhood Service Centers are adopted from the City of Boston's former "Little Town Hall" concept under Mayor Kevin Hagen White (Interview with city staff member 1, 2013). The City of Boston currently has an Office of Neighborhood Services that provides assistance through neighborhood liaisons, which act as a transparent resource for both residents and city employees to communicate and facilitate public participation (Neighborhood Services 2013). This is similar to the City of Seattle's Department of Neighborhoods where the Neighborhood District Coordinators are housed.

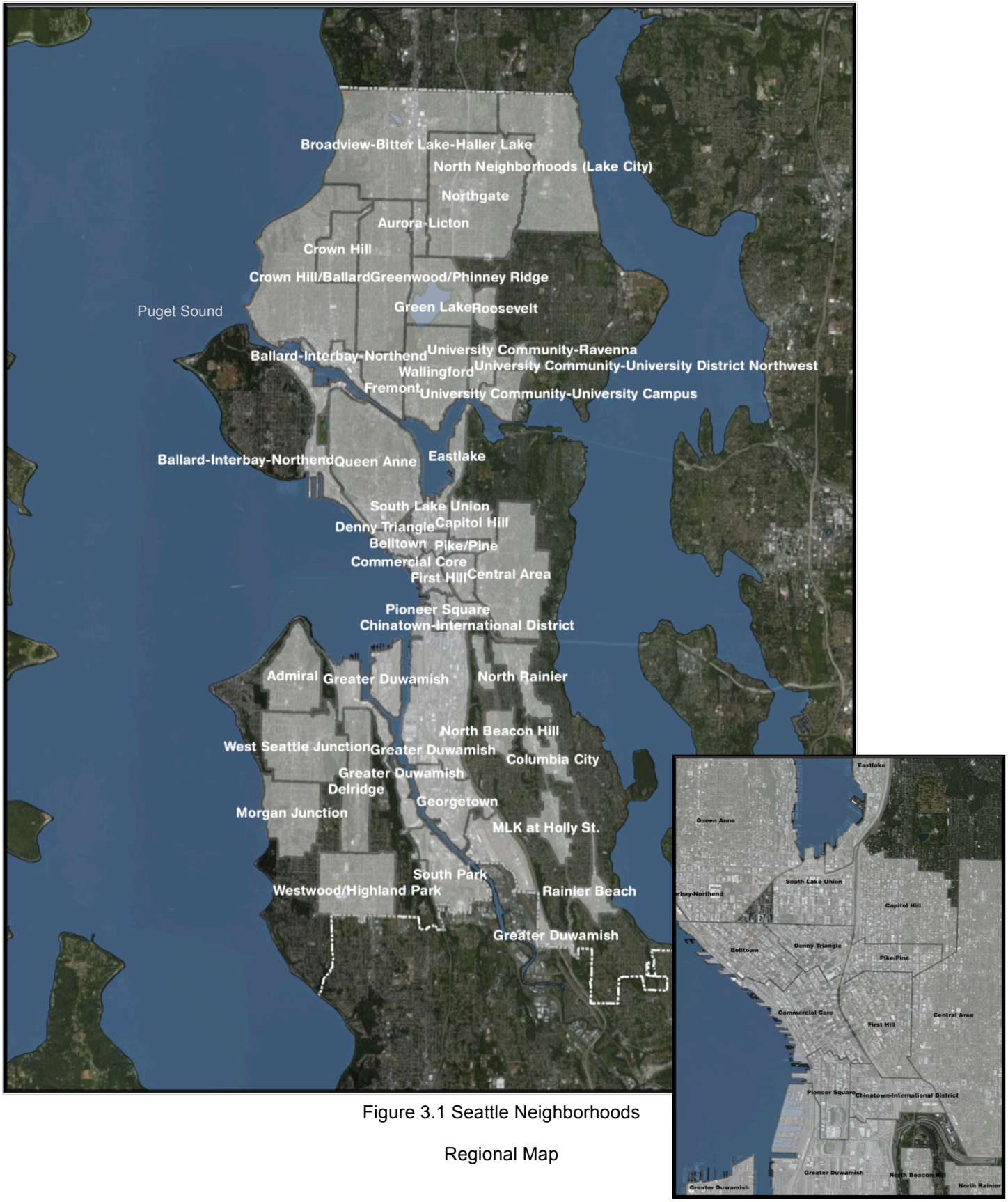

Figure 3.1 Seattle Neighborhoods

Regional Map

In addition to interviews, demographic data for each of the districts is identified in this case study to help interpret and better understand results. For example, a neighborhood may have a culture base that maintains a foundation of strong ties or social capital that predates the neighborhood planning by the City of Seattle. This information was obtained through census data and graphic information system data provided on the City of Seattle's website and through contact with the Department of Neighborhoods and is presented in Chapter 4.

3.4 Data Collection

Data for this study was collected over a three-month period and includes both primary and secondary sources. Interviews were held with residents, Neighborhood District Coordinators, city staff, and elected officials, review of each of the thirty-eight neighborhood adopted plans and scholarly studies on the reported area. As mentioned in the former section, data collection from all roles was limited for reasons that varied anywhere from budget cuts, amount of time duration since the process took place (two decades), and for reasons that are unable to be identified and beyond the means of this study. *Table 3.2* shows in detail the respondent rate distributed by role of the ten who agreed to be interviewed. It is important to note that these numbers were derived to an increased count of eleven, or one greater than ten (the actual number of participants). The total number was increased due to one participant having the privilege of serving in more than one of the roles identified in this study. *Table 3.2* defines these roles more clearly and is located on the following page.

Table 3.2 Respondent Rate of Participants

Roles Identified	Individual Respondent Rate	% Participants Interviewed
Resident	4	10.26%
Neighborhood District Coordinator	4	36.36%
City Staff	2	18.18%
Elected Official	1	100%
Total (57) *56	(11) *10	19.30%
Total Non-Resident	7	38.88%
*10 interviews were completed; calculation assumes 11 for +1 dual role		

A total of ten interviews (19.30%) were conducted and analyzed along with secondary data to achieve the highest attainable and most accurate results from which to base the analysis. Of the 68.42% percent total contacted neighborhood residents, 10.26 % gave their consent to be interviewed. Residents make up precisely 10.26% of the total primary data collection. Neighborhood District Coordinators represent 36.36% respondent rate of the eleven interviewed. 18.18% of the data collected was from city employees involved in the participation process of the neighborhood plans. The role of elected official counted for 9.09% of the ten interviewed and 100% of the total recruited number.

Each of the neighborhood plans was grouped under a specific geographic region as indicated in *table 1.3* in the introduction. *Table 3.3* located on the following page, shows the distribution of results reported by all ten participants who were interviewed. Many of those interviewed commented on their experience with one or several of the neighborhoods, as some participants were heavily involved with multiple plans across multiple areas.

Table 3.3 Distribution of Results Among Reporting Areas

Role	Number Interviewed	Area Reported By Participants					
		EAST	NORHTEAST	NORTHWEST	WEST	SOUTHEAST	SOUTHWEST
Resident	4			1	1	1	1
City Staff NDC, Elected Officials, Other	7	2	2	3	3	2	2
Total	11	2	2	4	4	3	3

Residents targeted in this study are ones who demonstrated high levels of involvement throughout the participation process. Many sat on committees, subcommittees, or were involved in neighborhood organizations. Committees were formed in all neighborhoods at the beginning of the planning process. Neighborhood citizens were encouraged by the city to form an organized committee and submit an application for assistance with the neighborhood plan that included funding and staff assistance. This allowed the citizens to effectively shape and influence how their neighborhoods would grow as mandated by the City of Seattle through the Washington State Growth Management Plan. City staff members included Neighborhood District coordinators, individual staff members from the Department of Neighborhoods, Department of Planning and Development, Department of Civil Rights, Department of Parks and Recreation. Each city staff participant held various roles that ranged from a Neighborhood District Coordinator, project manager, consultant, to a community representative. Most of these roles served as assistants or advisors for residents in offering their professional services if prompted by the organizing committees, sub-committees, community groups, or stakeholders. The Neighborhood District Coordinators (NDC) in particular, had a unique role. NDCs support of citizens' needs and values began in 1987 and they act as a liaison between the neighborhoods and the city. Since then, the city had undergone budget cuts and now can maintain only nine Neighborhood District Coordinators located at neighborhood services centers throughout the

city. For the purposes of reporting the data, Seattle was broken up into thirteen districts and therefore given thirteen district coordinators. At this time, each district created a District Council, comprised of community activists, business owners and representatives, and non-profit leaders, to name a few (Seattle Department of Neighborhoods 2013b).

Secondary data was also gathered to support all thirty-eight neighborhood plans. Each neighborhood passed a growth management neighborhood plan between 1998 and 1999. Although each document was unique in its solutions, challenges, design, and context, each document was carefully analyzed for participatory, social capital, communication indicators and recorded to include along with the primary data. In addition, a team of graduate students from The University of Washington was hired to perform an audit of all neighborhood plans, for the purpose of aiding the Department of Neighborhood and Department of Planning and Development during the updates of the neighborhood plans (University of Washington 2008). This document helps give meaningful insight to the background of each plan and adds additional credibility to the data as it is later measured against the hypothesis of this research.

3.5 Qualitative Research

Qualitative research is challenged for its ability to provide valid results that lead to authentic discoveries and findings in original work. Robert Yin, a well-known scholar and expert in case study research, discusses qualitative data and provides support for qualitative research. In his book *Qualitative Research from Start to Finish*, Yin finds three objectives; transparency, methodic-ness, and adherence to evidence, as ways to effectively build the credibility of qualitative studies. He defines these objectives as part of validating the five areas of qualitative research,

1. Studying the meaning of people's lives, under real-world conditions;
2. Representing the views and perspectives of the people;
3. Covering the contextual conditions within which people live;
4. Contributing insights into existing or emerging concepts that may help to explain human social behavior; and

5. Striving to use multiple sources of evidence rather than relying on a single source alone (Yin 2011, 7-8).

First, making ones research transparent is a necessary step towards achieving trustworthiness in ones readers. This is achieved through ensuring that the methodology and analysis are communicated clearly and presented in an easily understandable manner. This allows the reader to both understand and challenge your work. This is achieved through proper organization of one's research and by providing, to the extent possible, access for the reader to your research notes. For example, raw data, that is too lengthy to include in the body of the study, can be shared with the reader in the appendix section (Yin 2011, 19).

Second, it is important to create a thoughtful or methodic-ness approach to one's research. This implies that designed research, formal or informal, is helpful in achieving credible work as it presents a framework for the researcher to avoid unintentional bias. This can be achieved through thoughtful and engaging notes and data during ones case study. It can also be helpful for the researcher to keep a journal to log his or her experiences, ideas, challenges and successes during the research process (Yin 2011, 20).

Third, is the objective of making ones qualitative research adhere to clearly definable evidence. "The goal is to base conclusions on data that have been collected and analyzed fairly" (Yin 2011, 21). This can be achieved in many ways; however the most obvious is through presenting evidence in a way that reflects the data accurately and drawing ones conclusions directly from the data gathered.

3.6 Conclusion

To review the major points of this chapter, three different sources were used to collect data to form the foundation for the analysis of this research, including original interviews and review of supporting material. A total of ten individuals participated in this research as interviewees, providing a 19.30% response rate overall. The makeup of the participants

includes residents, Neighborhood District Coordinators, city staff, and one elected official. Although the ten participants were not directly involved in all of the thirty-eight neighborhood plans, each of the ten respondents did cover each of the six geographic areas as indicated in *table 3.3.* Secondary data was also used to help fill in and support remaining gaps data collection. Findings from interviews with participants are carefully analyzed for common themes of social capital and participation including steps of *bonding, bridging, linking* and *breadth, control, depth*, and *communication* identifiers in the following chapter. This compilation is then reviewed for common similarities and trends linking to unique outcomes.

Chapter 4

Analysis

4.1 Introduction

To provide an accurate evaluation of primary and secondary data gathered from interviews and supporting material, the following section first, outlines background information to support the analysis, second, provides a brief description on Seattle's plan updates, Third, discusses the demographic analysis for each geographic region, and fourth, displays the qualitative analysis of synthesized data collected through interviews of participants. The goal of this section is to provide reasonable evidence that the participation process in planning creates social capital and therefore, can contribute to the social equity side of sustainability.

4.2 Background

In response to Washington state's passing of its Growth Management Act, the City of Seattle implemented a comprehensive plan, which outlined the framework for neighborhoods to help guide new population growth to the city. As a result, the City of Seattle developed the Urban Village Strategy in the mid-1990s, asking neighborhoods to plan for sustainable growth in their respective areas. The comprehensive plan also outlined guidelines for each individual community to develop growth plans, along with assistance from the Neighborhood Planning Office and hired consultants. A majority of the individual neighborhood plans followed development phases during their community participation process that helped to create a deliverable for the City of Seattle. (MLK @ Holly Street Residential Urban Village Plan 1998, I-4). The following outline represents this process:

PRE-APPLICATION

- Neighborhoods organize themselves
- Create an Organizing Committee
- Identify a fiscal agent
- Submit an application and work plan to the NPO

PHASE I

- The Organizing Committee works to include the whole community in developing a vision for the future
- Identifies community issues
- Sets priorities for Phase II planning
- Prepares Phase I and Phase II Scope of Work
- Elects a Planning Committee to guide the preparation of Phase II work program

PHASE II

- Planning Committee carries out scope of work
- Continues community outreach, develops goals, policies, and implementation strategies for community priorities
- Works with the City to analyze problems and create solutions
- Coordinates with adjacent communities
- Ensures community validation of plan

PHASE III

- Planning Committee coordinates and partners with city departments
- Partners with agencies, community organizations, and stakeholders
- Works with all groups to ensure proper implementation of the plan

This phased approach to the planning process was used to create individual neighborhood plans. It was a unique process in that it was not the traditional top-down bureaucratically driven method. Instead, it was citizen led. This gives power directly to the citizen, a participation method that Arnstein would deem strong and high on her ladder.

This intentionally transparent process was developed after community members in Seattle expressed their desire to have an impact and a direct role in the creation of their neighborhood plans. All thirty-eight of neighborhood plans were presented to council and approved in 1999. Over 20,000 community members were involved in the process of recommending over 4,200 actions for positive growth in their neighborhoods (Seattle Department of Neighborhoods 2013c).

All plans have entered the implementation phase and are at various stages of completion. In 2008 Seattle City Council authorized what community members believe to be as, a top-down approach to *updating* each of the neighborhood plans (Goldberg 2013). The City

Council granted the Department of Neighborhoods (DON) and the Department of Planning and Development (DPD) with the task of working with community members to update the plans in preparation of light rail service (Seattle Department of Neighborhoods 2013d). Much of the planning in the 1990s was finding out *what* exactly the issues were. Now, much of the discussion surrounds *how* the issues identified in the individual neighborhood plans can be addressed (David Goldberg 2013). The implications of this process as it relates to the linking of participation and social capital are explained further in *section 4.3* of this chapter.

As mentioned previously, each neighborhood is distributed into geographic areas as shown on the next page in *table 4.1*. For the purposes of this research, it was necessary to group the plans to ensure clear communication of (a) the results from the analysis, (b) coding complexity of primary and secondary data, and (c) limitations of responses from those interviewed (to be addressed later in *Chapter 5*). Each of the geographic areas was defined prior to this study by the University of Washington's planning audit (University of Washington 2008).

Table 4.1 Neighborhood Regions

East	*Northeast*	*Northwest*
Capitol Hill	Northgate	Aurora/ Licton
Central (12th Ave, 23 & Jackson, Madison-Miller)	North Neighborhoods/Lake City Way	BINMIC (Ballard Interbay)
First Hill	Roosevelt	Broadview-Bitter/Lake-Haller Lake
Pike/Pine	University (Ravenna, U-District NW, U-District Campus)	Crown Hill/Ballard
		Fremont
		Greenlake
		Greenwood/Phinney
		Wallingford

Southeast	*Southwest*	*West*
Columbia City/Hillman City	Admiral	Commercial Core
MLK@Holly Street	Delridge	Denny Regrade\Belltown
North Beacon Hill	Duwamish	Denny Triangle
North Rainier	Georgetown	Downtown Urban Center Planning Group
Rainier Beach	Morgan Junction (MOCA)	Eastlake
	South Park	International District
	West Seattle Junction (FOJ)	Pioneer Square
	Westwood/Highland Park	Queen Anne/Uptown
		South Lake Union

4.2.1 Plan Updates

Data related to the plan updates was not originally taken into account during the development and approach to this research. However, after interviewing participants, it became necessary to include this aspect as part of the findings of this research. The new methods and techniques used during the updating of the neighborhood plans have an influential role in the analysis of participation and social capital identifiers. The City of Seattle's initiative to improve and update the neighborhood plans can also be linked to the practice of sustainability. Seattle continues to refer and make improvements to the neighborhood plans to ensure that they are effective in their design and approach to growth for the region overtime. There are three strategies used to improve sustainable participation techniques. These include 1) The

application of the “Trusted Advocate Model” and its parallel use of the Public Outreach Engagement Liaison (POEL); 2) the formation of Peoples Academy for Community Engagement (PACE); and 3) the overall increased effort for inclusion and transparency during the individual plan updates.

As mentioned above, along with the updating of the neighborhood plans from the 1990s, came the addition of two city funded programs, 1) Public Outreach Engagement Liaisons (POELs); and 2) Peoples Academy For Community Engagement (PACE). Both are considered fundamental steps towards achieving true sustainability for social equity. Each program is summarized below.

4.2.2 Public Outreach Engagement Liaisons (POELs)

The Public Outreach Engagement Liaison was modeled after the Annie E. Casey Foundation’s Trusted Advocate Model by the City of Seattle in 2009. Engagement Liaisons are contracted by the city to assist with engagement efforts. They are sought out for their unique expertise in an underrepresented community group and culture in Seattle. Liaisons are fluent in one or more languages and are also bi-cultural. These qualities help promote equitable engagement and also help establish a familiar environment for individuals to better understand and navigate the city’s processes. Public Outreach Engagement Liaisons are also skilled in the following areas (Seattle Department of Neighborhoods 2013e):

- Quality translations
- Fair and equitable facilitation (in native language)
- Simultaneous interpretation
- Constituent support at city-hosted events
- Feedback and expertise on cultural concerns and barriers
- Accurate records and reports of participants feedback and concerns
- Community workshops and event that parallel large city-hosted meetings

4.2.3 Peoples Academy for Community Engagement (PACE)

Emerging community leaders are being lifted up by the City of Seattle through the new formation of Peoples Academy for Community Engagement (PACE) operated by the Department of Neighborhoods. This program is for emerging leaders age twenty-one and older who are newly engaged in the community and would like to acquire additional skills needed to be more effective when engaging Seattle neighborhoods" (Seattle Department of Neighborhoods 2012). This program focuses on three goals: first, how to engage historically underrepresented communities; second, how to increase participants' ability to sustain their neighborhoods; and third, develops a deeper appreciation and understanding of cultural competency and inclusive engagement with its students (Seattle Department of Neighborhoods 2012). The leadership program lasts nine months and is facilitated by leaders from community non-profits, city activists, advisory board members, and city staff. Below is a list of the curriculum.

1. Approaches to Leadership, Inclusive Outreach and Public Engagement
2. Community Organizing
3. Accessing Government
4. Event Planning and Meeting Facilitation
5. Community Project Management, Resource Development, Problem Solving
6. Public Speaking and Effective Communication
7. Project Sharing and Graduation Celebration

The City Council awarded the program $15,000 yearly for two years and it is supported by the Mayor's Office. Tuition for the nine-month program is $50.00 per participant and scholarships are available to those who need assistance. Over fifty people applied to the pilot program and thirty were accepted with over half of the participants from underrepresented communities.

Seattle has taken steps to ensure that the participation process in planning is one of equality. When city staff learned that community activists were beginning to burnout or their interests in community engagement were becoming stale, the city created this program to help curb this decline, and foster continued leadership in Seattle's neighborhoods.

In addition to the programs mentioned above, Seattle's Office for Civil Rights has initiated a Race and Social Justice Movement to help city departments better embrace issues of equity. Their three main goals are to (1) eliminate race-based inequalities in Seattle communities, (2) Strengthen how City government engages community and provides services, and (3) End racial disparities in City government (Seattle Office for Civil Rights 2013a, Seattle Office for Civil Rights 2013b). A city staff member commented on the city's efforts to improve outreach that addresses social inclusion of all people (race, class, ethnicity, making its focus on creating and maintaining a sense of open-mindedness and diversity:

> *During the updates of some of the plans in the last few years (2007+), we have used "Public Outreach and Engagement Liaisons" or "bridge builders" to help ensure that the voices of historically under-represented communities in Seattle are heard. These communities include people of color, immigrants, and refugees, seniors, students, renters, people with disabilities, and low-income people (Interview Seattle City Staff Member 2013).*

4.3 Neighborhood Profiles

Interviews reveal that not all demographics felt comfortable engaging in the planning process in the 1990s. This was mostly due to language or cultural barriers. There was a need to help all neighborhood residents feel comfortable engaging in an unfamiliar topic or place. As POELs were introduced, comfort levels began to adjust and groups who did not participate before, now in the plan updates, are providing input and feedback (Goldberg 2013).

> Some communities in Seattle are predominately white, monied (well-off) single-family neighborhoods. Such communities tend to have people who have the time, energy, and inclination to participate in community groups and city planning exercises for many years. Groups in these areas have tended to have more sway over the City in terms of getting capital projects etc. Even as this is still true, City government is giving more weight to equity considerations in many areas, including development of capital improvements… (Interview *Seattle City Staff Member 2013*)

> The 1990s was a "good faith effort," but there were hurtles to get through… broad meant numbers not necessarily diversity (Goldburg 2013).

Demographic data for each of the Individual Neighborhood Planning Areas was intended to be identified in this case study to help better interpret results from interviews. Due to the Census changing the way it asks questions, reports race and population between 1990, 2000, and 2010, demographics were unable to be incorporated as part of this analysis in terms of a comparison across time. Once the data was reviewed, it became apparent that a comparison between data sets could not be made for the reasons listed below. The US Census reported the differences between the 1990 and 2000 Census Questionnaires related to race as (U.S. Bureau of The Census *n.d.*):

1. Instructions for 2000 Census for RACE, “Mark [X] one or more races to indicate what this person considers himself/herself to be.” The 1990 question instructed respondents to “Fill ONE circle for the race that the person considers himself to be.”
2. For the 2000 Census, the American Indian and Alaska Native categories were combined and in 1990 these were three separate categories: American Indian, Eskimo, and Aleut.
3. The 2000 version allows American Indians and Alaska Natives to write in their tribal affiliation. The 1990 version only American Indians could write in their tribal affiliation.
4. For 2000, the Asian and Pacific Islander response categories were split into two groups. The 1990 spanner for Asian or Pacific Islander was deleted in 2000.
5. For 2000, “Chamorro” was added to the 1990 response option Guamanian. The 2000 reads “Guamanian or Chamorro.”
6. The race question in 2000 had three write in lines, one for “American Indian or Alaska Native,” one for “Other Asian,” or “Other Pacific Islander,” and one for “Some other race.” In 1990, the race question had two write in lines, one for “Indian (Amer.)” and one for “Other API” or “Other race.”

Taking the above factors into consideration, the inability for the demographic analysis comparison across years of each individual category within the individual neighborhood plans to be correlated is addressed further as a limit of this study in Chapter 5.

In lieu of this demographic data comparison, 2000 Census data including population density, age, ethnicity, income, and education is gathered for each of the six geographic regions. This data is intended to act as layer of interpretation of analysis for the outcomes of this research. For example, through interviews, it was apparent that the African American communities felt a lack of trust with the city government due to historical discrepancies when large efforts by African American lead to little improvement.

Demographic data was gathered through combining U.S. Census data from ESRI Community Analysts with shapefiles of the individual neighborhood plans with Geographic Information Systems, ArcMap. This then allowed the opportunity to use the thirty-eight individual Neighborhood Planning Areas to divide them into their six geographic nodes as a point for the year 2000. The following subsections discuses the results, Census year 2000 for demographics of each region.

4.3.1 Population Density

Population density was calculated by taking the total population divided by the total area of the neighborhood boundary for each of the individual neighborhood plans. Each individual neighborhood population density is then averaged together by corresponding geographic region. *Figure 4.2* located below shows the average population density by region. A more detailed table of population density by neighborhood level is provided in *Appendix D*. From this information, it is apparent the West and East Neighborhoods have highest number of residents each at over 15,000 people per square mile. The Northeast region has 13,194.84 residents per square mile, followed by the Southeast at 7,369.54, the Northwest at 8,547.06 and finally, the Southwest neighborhoods at 7,369.54.

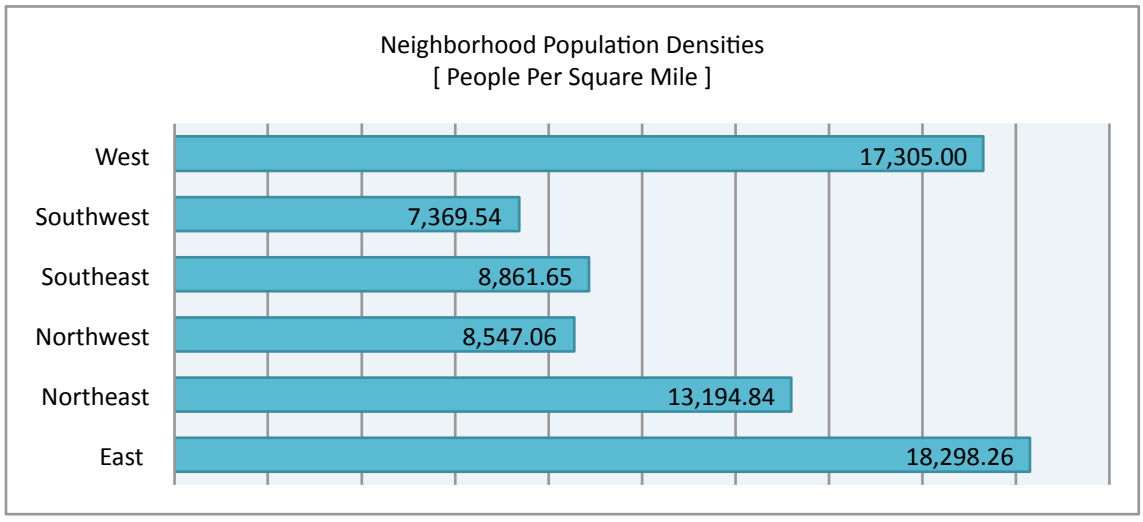

Figure 4.2 Neighborhood Population Densities

4.3.2 Age

The average median age for residents in each region falls between 28 and 37. As represented in *figure 4.3* below, the West region leads with the highest median age of 37, while the Northeast region has a much younger median age population at 28. This may be due to a large student population from the University of Washington located in the University District in Northeastern Seattle. Overall, each region maintains a mid-thirties population.

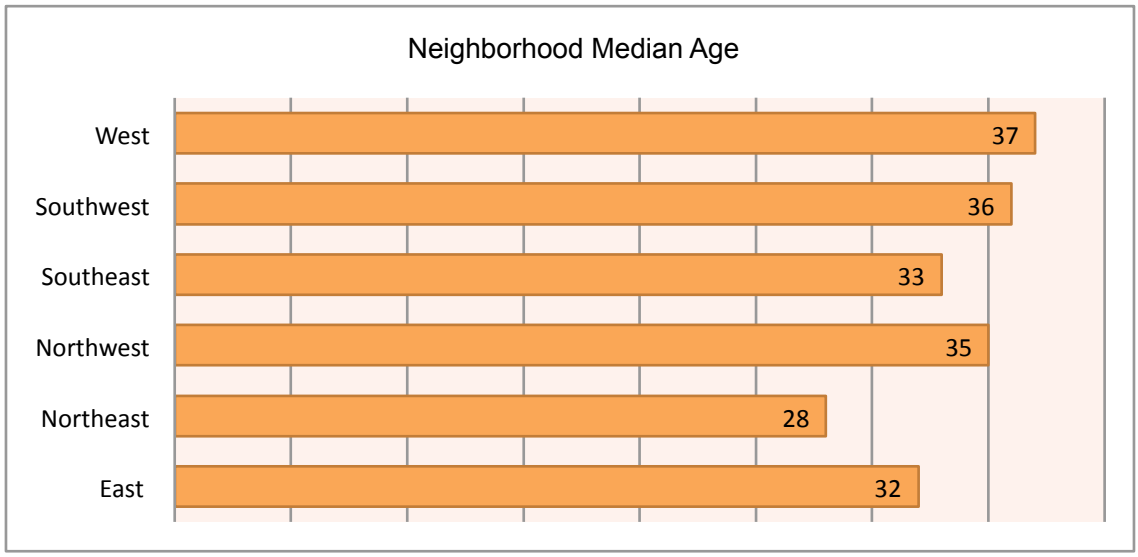

Figure 4.3 Neighborhood Median Age

4.3.3 Ethnicity

The breakdown of ethnicities for each of the six regions includes seven different categories for race as reported by the Census in 2000. *Figure 4.3* on the following page, also provides the total Hispanic population category. This data show that the majority of Seattle's population is white. In all but two (Southeast and Southwest) regions, whites far exceed any other ethnicity even when minority population categories are combined. The most diverse regions of Seattle are the Southwest and Southeast regions. Here, the Asian community is the majority, followed second by African Americans.

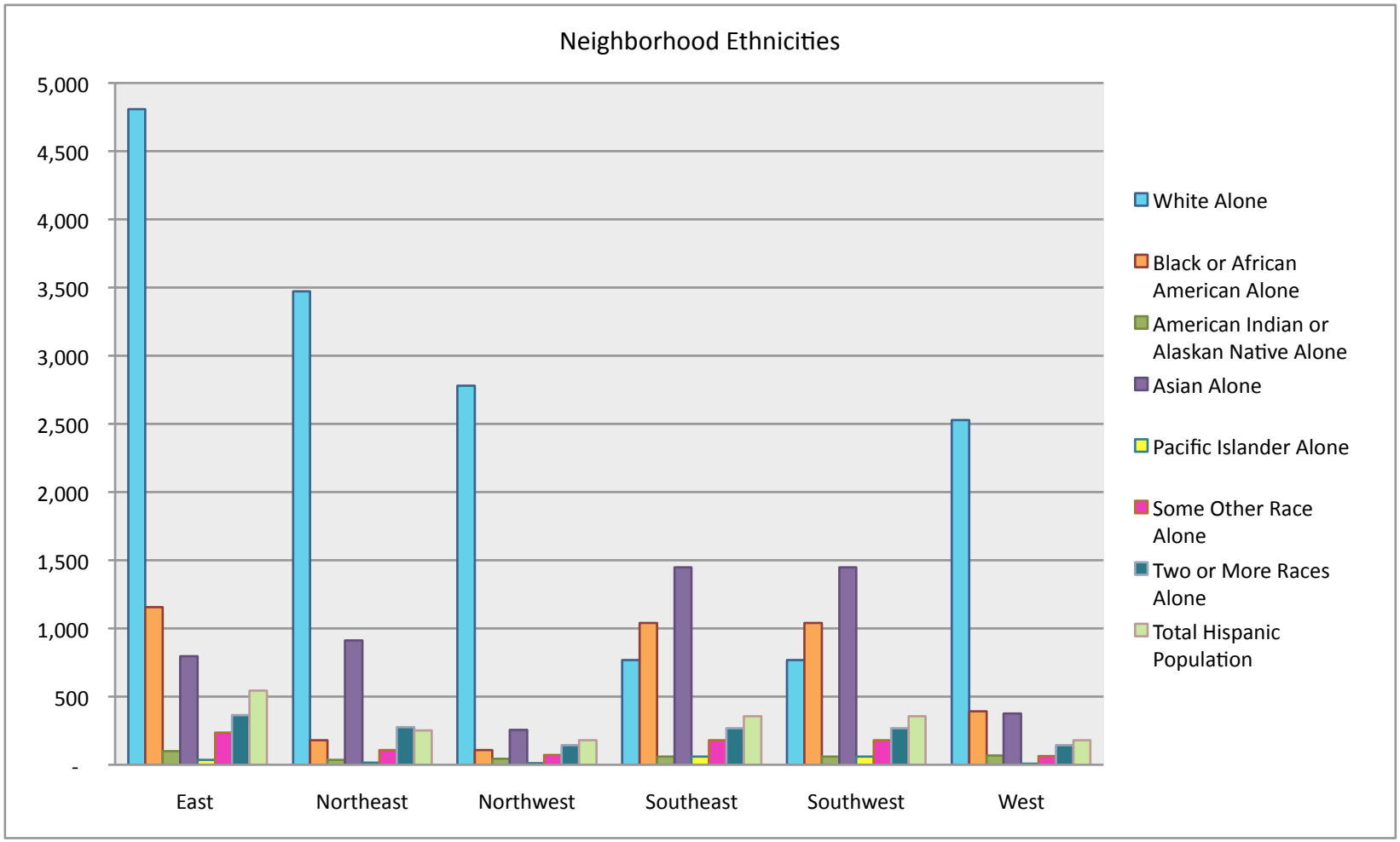

Figure 4.4 Neighborhood Ethnicities

4.3.4 Income

The average household income for Seattle neighborhoods ranges from a low of $41,469 to a high of $52,214. The Northeast and East regions may have a disproportionate result in *figure 4.5* below, as the three University Districts are mostly made up of students or individuals who have an average household income of $30,000. While some neighborhoods in this region average over $40,000 with some at $70,000 for an average household income.

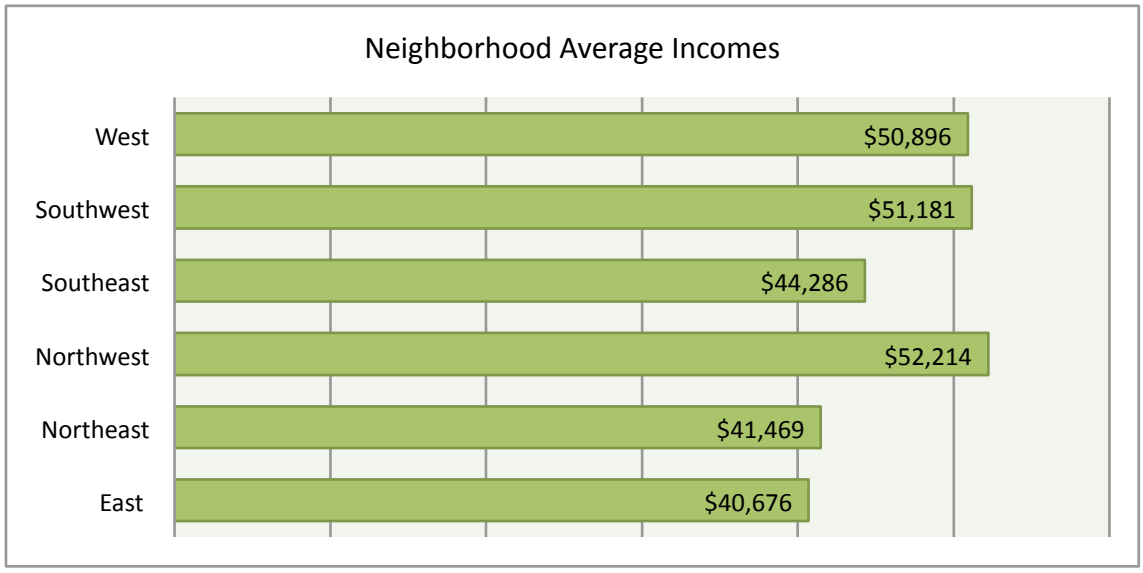

Figure 4.5 Neighborhood Average Household Incomes

4.3.5 Education

Education is measured for each individual neighborhood and combines for an overall average for each region. *Figure 4.6* shown on the following page, provides data for educational attainment on seven different levels, beginning with "less than 9th grade attainment" and extending to "Master's, Professional/Doctorate Degree". Here we see that the East community is the most educated region with 1,675 bachelor degrees. The East region leads every educational attainment category, with the exception of "less than 9th grade."

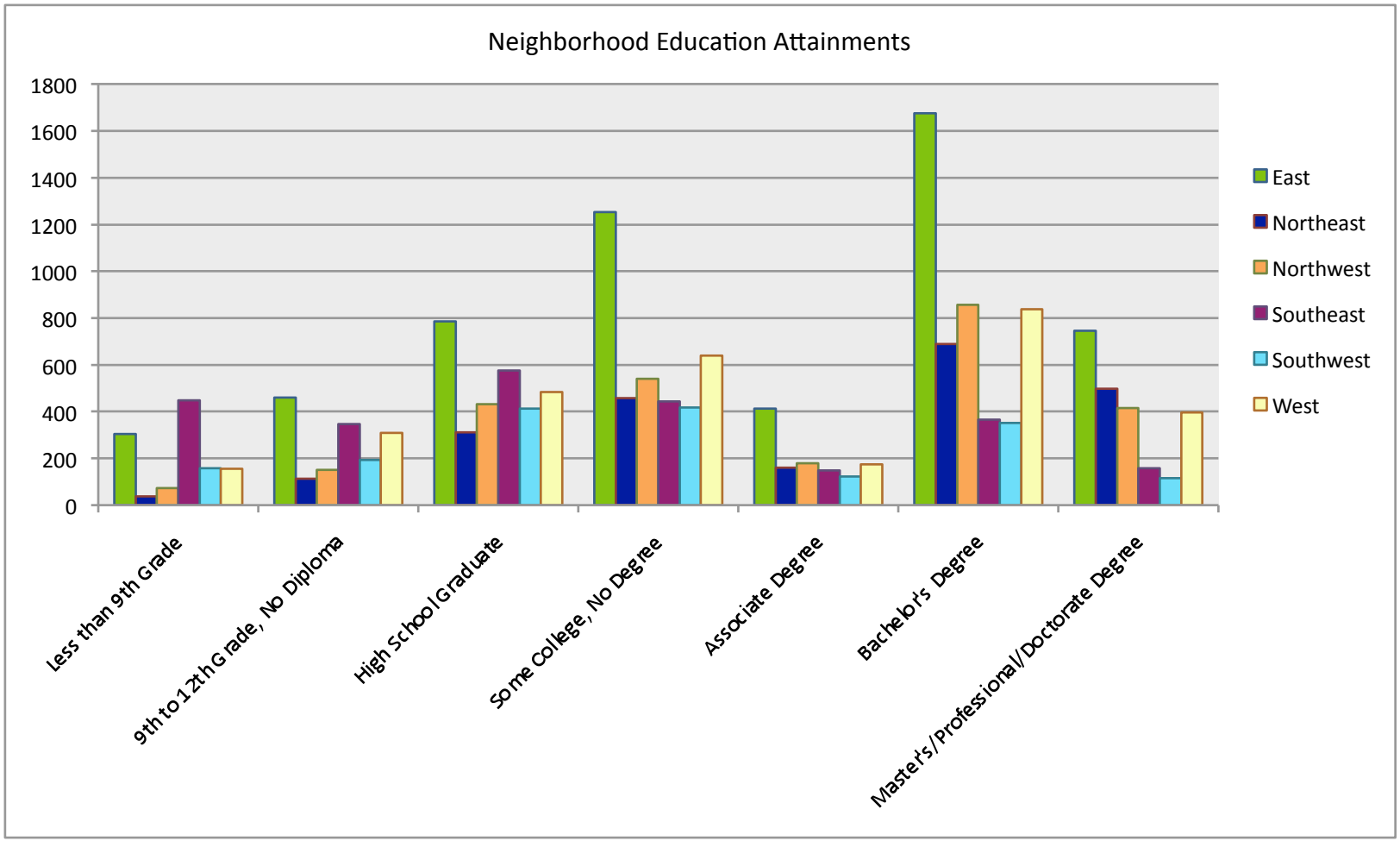

Figure 4.6 Neighborhood Education Attainments

4.4 Analysis

For the analysis, each area was identified as exemplifying a participation or social capital level of low, medium, or high. Next, identification of common themes of data collected for each of the thirty-eight neighborhood plans was classified as participatory or social capital identifiers. Each of the plans was then reviewed for common relationships linking participation and social capital identifiers with actual key *outcomes* of the participation process for the 1990s and plan updates. An *outcome* is a unique result created from the participation process of a neighborhood plan such as, the formation of new community groups, leaders, or levels of strengthened community participation. Participation identifiers shown in *table 4.2* include *breadth, control, depth*, and *communication*. Social Capital identifiers include *bonding, bridging, and linking*. The matrix used to evaluate data gathered from interviews, individual plans, and scholarly reports are included in *appendix c*.

Table 4.2 Defining Indicators of Data Results

Participation Identifiers			
Breadth	Control	Depth	Communication
Ability of methods to extend to community members to provide equal opportunity for participation by all	Phasing of the planning process: who specifically has the ability to control, or has the resources in the planning process itself	Focus on outcomes of the implementation process in planning	Elements or practices that distort OR expose and correct communication
Social Capital Identifiers			
Bonding	Bridging	Linking	"Outcomes"
The connection between people of similar groups such as family & friends	Addresses social inclusion of all people (race, class, ethnicity); focus on creating and maintaining a sense of open-mindedness and diversity	Ties between people in power i.e. politicians, non-profits, or social leaders to community; focus on ties/networks of citizens involved in a political decision making process	Results created as a result of the participation process

4.4.1 Research Findings

To determine the grade of low, medium or high participation and social capital, each of the individual six neighborhood regions were analyzed. Some plans did not have measureable results for the scope and timeline of this research. This is further explained in *Chapter 5* when limitations are identified. For the purpose of ranking, a low score was given to the identifiers where primary and secondary data proved fruitless. Criteria for assigning a level of low medium or high for neighborhoods are explained further in *table 4.3* below. For additional details please refer to *appendix c*.

Table 4.3 Identifying Levels of Social Capital in the Participation Process

Social Capital Identifiers			
Levels	Bonding	Bridging	Linking
High	Connections formed as a result of an interviewees involvement in the participation process; strong ties created and sustained overtime	Focus on inclusion of all people and maintain a sense of open-mindedness through implementation of plan goals, translation services, and enhanced outreach	Ties and networks formed and sustained between residents, groups, and political or professional leadership; outreach efforts are collaborative and active on both sides
Medium	Average bonding between individuals or groups; no intention to form lasting bonds	Focus on inclusion and open-mindedness but leaves room for improvement; methods do not reach out to a wide comprehensive neighborhood audience	Community connections and partnerships fostered between businesses, philanthropy groups, interested residents; coordination with city departments and public officials evident, but not strong enough to form lasting relationships
Low	Little or no data found or collected	Intention for inclusion but no action; little or no data found or collected	Plans briefly mention connection between groups but does not elaborate; little or no data found or collected

Participation Identifiers				
Levels	Breadth	Control	Depth	Communication
High	Significant efforts to reach out to all residents and groups through use of surveys, charettes, meetings, focus groups, flyers, special events, and advertising; formation of citizen lead groups; plans provide validation of methods to extend and provide equal opportunity for all	Citizen lead participation process or a strong collaborative effort with consultants, city employees and officials	Neighborhood plan is formed through the participation process and is adopted by city council; accountability group is formed to ensure implementation of citizen goals; accountability fostered by Neighborhood District Coordinators	Plano and outreach materials are easy to understand; no jargon or technical terms; plan and outreach materials have good graphics, background information and design guidelines
Medium	Efforts to reach out to residents and groups through use of surveys, meetings, focus groups, flyers, and advertisings; ability of methods to extend to all residents and groups is uncertain	City employees have to initiate the participation process; less citizen leadership	Neighborhood plan is formed through the participation process and is adopted by city council; Neighborhood District Coordinators removed due to budget cuts	Plan or outreach materials are easy to understand; some use of jargon or technical terms; plan or outreach materials lack good graphics
Low	Little or no data found or collected to support measures of *breadth*	Little or no data found or collected to support measures of *control*	Little or no data found or collected to support measures of *depth*	High presence of technical jargon in outreach materials and or planning documents; Little or no data found or collected to support measures of *communication*

4.4.2 East Neighborhood Region

The *East Neighborhood Region* includes Capitol Hill, Central Neighborhoods, First Hill, and the Pike/Pine Plans. Social Capital was not created on a high level among these plans. Of the data collected, the most notable contribution to creating social capital was the Capital Hill Plan. With a medium to strong *linking* presence, Capitol Hill fostered community connections

during the participation process between community residents, neighborhood groups, city department staff, and public officials. *Participation* has a much stronger presence than social capital in the East Neighborhood Region. High levels of *breadth*, *control*, and *depth* were accomplished during the outreach process of the four neighborhood plans. Notable practices of *breadth* included the formation of non-profit organizations as a result of the participation process. Many of these groups formed neighborhood websites and distributed newsletters for communication. Each of the neighborhoods reached out to and communicated with groups through traditional means of outreach, making use of advertisements, mailers, flyers, meetings, round table discussions, workshops, small groups, and charettes to help engage residents and stakeholders in the participation process. Many of the publications were distributed to hard-to-reach populations including low-income, homeless, unemployed, high school and college aged students. Outreach efforts were also translated into Vietnamese and Aramaic, showing efforts of *bridging*, a level of social capital in the participation process. Levels of *control,* like most all neighborhood plans researched, were a combination of citizen driven, with assistance from consultants and city staff members. Two of the neighborhood plans formed or charged non-profits with the task of implementing the goals of their plans, providing for moderate levels of *depth.* No measures of communication that lead to distortion or clarification were identified in the data collected.

4.4.3 Northeast Neighborhood Region

The Northeast Neighborhood Region is comprised of Northgate, North Neighborhoods/Lake City Way, Roosevelt, and the University District. Similar to the East Neighborhood Region, The Northeast Neighborhood plans have relatively low levels of social capital created during or as a result of the participation process. There were no levels of *bonding* and *bridging* recorded from the research. *Linking* was identified in the University District Plan, which recognized ties and networks between various levels of government, private sector,

and local groups. More evidence was identified for *participation* practices in the Northeast Neighborhood Region than *social capital.* Levels of *breadth* were moderate using Neighborhood Matching Funds to help distribute surveys, public meetings, and survey documentation. Traditional outreach practices were recognized including meetings, workshops, surveys, events, mailers, and committee meetings. Levels of *breadth* were only identified in half of the plans in this Northeast Neighborhood Region. Higher levels of *control* and *depth* were however strong in the Northeast. Plans were written in a collaborative effort between residents, city staff, and consultants received a high level of *control*. Moderate levels of *depth* were displayed as the participation process lead to the successful adoption of the neighborhood plans and outlines financial goals. *Communication* was highly prevalent in the planning documents themselves. One of the plans had a strong presence of technical jargon possibly due to the plan being drafted primarily by city staff. Many of the documents did however use graphics and visuals to help communicate the visions derived from the participation process.

4.4.4 Northwest Neighborhood Region

The Northwest Neighborhood Region includes Aurora/Licton, Ballard Interbay (BINMIB), Broadview-Bitter Lake-Haller Lake, Crown Hill/Ballard, Freemont, Greenlake, Greenwood/Phinney, and Willingford Neighborhood Plans. For the Northwest Neighborhood Plans social capital and participation indicators varied. Overall, *bonding* was given a low classification. This was evident on a broad scale; however, *bonding* did take place between neighbors and friendships formed as a result of the participation process which was maintained outside of planning related matters. This was evident after speaking with Neighborhood District Coordinators who explained that much of the outreach and communications that had a large impact on recruiting residents to meetings and events was from conversations between neighbors or through word of mouth. *Bridging* was given a low score during the initial participation process. One trend throughout the first stage of these plans was that, in general,

most plans, with a few exceptions, did not have the creative solutions like today to reach out and include *all* people in the participation process. Creating a sense of open-mindedness and transparent and inclusionary product, particularly with hard-to-reach populations, was intended in all plans, but its execution was not fruitful. During the plan updates however, many improvements were implemented including the 1) The application of the "Trusted Advocate Model" and paralleled use of the Public Outreach Engagement Liaison (PACE); (2) the formation of Peoples Academy For Community Engagement (PACE) which helped to strengthen existing and new community leaders.

Three out of seven plans had indications of *linking*. Relationships were formed between community residents and business owners during public outreach efforts and feedback from citizens was related back to politicians. In the Ballard Interbay Plan, a mostly industrial area, stakeholders along with business representatives worked with city staff to develop an accurate approach to growth for their neighborhood planning area giving this category a level of medium. Indicators of *breadth* were high, and included items like, walking tours, regularly scheduled meetings, surveys distributed to thousands of individuals, phone trees, email and website communication as well as other traditional means of outreach were included in this measurement.

Much like the East and Northeast Neighborhood Plans, the Northwest Neighborhood Region plans were drafted in a collaborative effort with members from the individual communities indicating a higher level of *control.* Medium levels of *depth* were found as each of the neighborhood plans were successfully adopted by Seattle City Council. *Communication* was ranked low with only two high indications of communication and six unreported. Of the two communication indicators, a focus of removing planning lingo or jargon was indicated in one of the plans, as well as the use of drawings and photographs to help communicate the intentions and goals. Despite the somewhat sporadic levels of participation and social capital indicated in the Northwest Neighborhood Plans, four *outcomes* were identified, including stronger

relationships and participation involved with the East Ballard Community Council, development of new organizations and groups who shared common interested such as sustainable Ballard, development of strong community leaders as result of the participation process, and the fostering by city staff members to a “sense of ownership” with community for their neighborhood plans.

4.4.5 Southeast Neighborhood Region

Southeast Neighborhoods include Columbia/Hillman City, Martin Luther King @ Holly Street, North Beacon Hill, North Rainier, and Rainier Beach Plans. Southeast neighborhoods indicated having strong levels of *bonding* through neighbor-to-neighbor connections. One resident indicated that very strong ties between community members were felt as a result of attendance at a neighborhood meeting and that trust was formed among between these groups. Medium levels of *bridging* were found, as a strong effort was made to reach out to all community members. Meetings were held with different groups and translators were provided when needed. Key aspects of the plans were also translated into multiple languages. One interviewee felt that the planning process “provided many opportunities to hear and welcome the opinions of others, including those strongly opposed to growth and change, and those who sought to move forward” (Edwards 2013). *Linking* was also given a low score with a lack of data present. Only one planning area was recorded for having strong levels of *linking* between people in power. One interviewee felt that very strong ties were formed between city staff and elected officials as a result of the participation process, and that trust in the city staff was and remains generally positive even though opinions on issues may differ (Edwards 2013). Like all previous neighborhood regions, *Breadth* had strong indicators in all six-neighborhood plans within this region. Beyond traditional methods used to extend to community members was the hosting of a speakers bureau, which aimed at including non-English speaking individuals and hard-to-reach groups, was a youth photography project, the monthly advertising of events

surrounding the planning participation process, translation of flyers into Cambodian, Vietnamese, and Tagalong, and meetings with cultural and religious leaders. Relatively high levels of *control* were identified as citizen formed committees, city staff, hired consultants, community members, and hard-to–reach communities help to *control* the planning process itself. *Depth* again was given an indication of medium with the successful adoption of all six individual neighborhood plans and recommendations. *Communication* was given a low score for participation indicators as only one of the neighborhoods had measurable results. In this single case, the final draft summary was mailed to the community for validation and translated into four different languages that sought to reach out to ethnic groups in the neighborhood. A unique *outcome* that was identified as a result of social capital and participation techniques was the formation of community groups as a result of the participation process. These community groups are still active today (Edwards 2013).

4.4.6 Southwest Neighborhood Region

The Southwest Neighborhood Region covers Admiral, Delridge, Duwamish, Georgetown, Morgan Junction (MOCA), South Park, West Seattle Junction (FOJ), and Westwood/Highland Park. *Bonding* was only measurable in one neighborhood plan through an interview with a neighborhood resident. Although other plans were not identifiable for connections between people of similar groups, one resident created very strong ties with the community during the most recent plan updates. In an interview with a resident from the South Park Neighborhood Plan,

> *I am a constant ambassador to others in the neighborhood, keeping people informed, recruiting others to participate, and bringing ideas and issues to the table on behalf of those who either cannot, or choose not to engage personally. I have probably met a couple of thousand individuals in the last six years.*
>
> *-Dagmar Cronn, South Park Resident*

The Southwest neighborhood plans had a relatively moderate level of *bridging* as a result of the participation process. Two out of the seven neighborhood plans had measurable

results including reaching out to those without computer access, and establishing intermediaries with Latino and Vietnamese populations in the South Park neighborhood, working with merchant association in the admiral business district, along with other traditional means of outreach. A continued effort to develop lists of groups that need to be kept involved in community issues was also given a moderate level measure of *bonding*. Two neighborhood plans showed moderate levels of *linking* arts organization, businesses, educational institutions, community groups, environmental groups, social service organizations, religious institutions and residents at workshops. Many city staff members have maintained connections with the neighborhood even after the participation process concluded. A sense of trust was established with community members and the City, but not all citizens felt this amount of trust. Levels of *breadth* were high with measureable levels among all eight neighborhoods in the Southwest Region. Traditional methods were used in all of the individual neighborhoods. More notable methods used to extend to community members were: monthly planning committee meetings, open subcommittee meetings (all comprised of community residents and leaders), meetings held with hard-to-reach groups, visioning events, translation of newsletters into Cambodian, Spanish, and Vietnamese, held “Big Events” for community feedback, performed case studies, and held special education sessions. High levels of *control* were indicated with the formation of the initial formation of the planning committees, subcommittees, consultants, neighborhood organizations, and city staff to help in the phasing of the planning process. Moderate levels of *depth* again were measured for each plan, as Seattle City Council successfully adopted all eight plans. Communication was given a low score with no measures of data collected. One outcome that was noted in the Southwest region was the formation of community groups who sought to take on action items in their neighborhood plan.

4.4.7 West Neighborhood Region

The West Neighborhood Region Includes the Commercial Core, Denny Regade/Belltown, Denny Triangle, Downtown Urban Center Planning Group (DUCPG), Eastlake, International District, Pioneer Square, Queen Anne/Uptown, and Southlake Union. All levels of social capital were relatively low for the West Region. *Bonding* was low, only one of the nine neighborhoods had tangible data that was evident of creating very strong ties connections between people of similar groups such as family and friends. The only level of *Bridging* that was found was located in the Denny Regade/Belltown Plan, which indicates that social equity is a key focus of the neighborhood. Two plans had levels of *linking* ties between people in power. Like all other plans the level of *breadth* was high. The ability of methods to extend to community members to provide equal opportunity for participation by all was also apparent. A majority of the plans stated the use of traditional methods for outreach. Some of the highest indicators of *breadth* were: the creation of a large group of architects, urban designers, and youth groups, in addition to citizen led committees that helped reach out to other community members and groups. A majority of the West Region neighborhood plans had a high level of *control* with community members, non-profits, business groups, consultants and city employees all having an influence in the phasing of the planning process. Each of the neighborhood plans were adopted by city councils and Queen Anne/Uptown neighborhood formed an alliance to help implement the plan. This shows mediums to strong levels of *depth* in the participation identifiers. Communication was given a low score with only one plan having data. One residence found that there was a lot of planning jargon and terms used in the participation process and only after she had engaged in the participation process over time, did these terms become manageable. “I first was struggling to learn all the acronyms, planning terms, and people’s names. At the conclusion I felt extremely empowered, informed, and ready to implement the recommendations for Uptown” (Sundborg 2013). The formation of an alliance by the Uptown community is also considered one of the *outcomes* created as a result of the participation process, along with a

second alliance created by Pioneer Square, which has emerged as a strong neighborhood outreach organization and often initiates neighborhood meetings related to issues of planning. The Uptown Alliance was incorporated in 1999, and the six founders of the Alliance were guided, encouraged, and assisted by DON (Department of Neighborhoods). “One of our earliest successes was locating, funding, and setting up a storefront office in Uptown for the Alliance and the DON staff person. Sharing office space made coordinating with the DON so easy and natural. As of this date, due to City budget cuts, neither the Alliance nor the DON staff has office space in Uptown. What a loss, and what a detriment to effective connecting with residents” (Sundborg 2013).

4.5 Outcomes

After analyzing each of the individual 38 neighborhood plans within each of the six geographic neighborhood regions defined in this research, it is apparent that measures of social capital formed as a result of the participation process. *Table 4.3 (on page 68)* shows the combined overall level of social capital and participation identifiers for each region, as summarized from presented research findings on pages 58-66. After a close review of the chart by the reader, one might find a strikingly heavier right side. This is because most of the results are participation identifiers, whereas the left side is much lighter in its identification of social capital. My hypothesis is that this is much related to the limits of this study’s ability to reach out to a wider group of participants for data collection. Every person interviewed, identified tangible measures of low, medium and high levels of social capital. Some particularly *bonding,* was created as a result of the participation process that took place during the 1990s as well as during the plan updates. Further, the City of Seattle has taken numerous steps to improve address the social inclusion of all people including race, class, ethnicity, age and more through their Public Outreach Engagement Liaisons. The City has also realized the importance of community leadership, and has chosen to invest and foster neighborhood leadership thorough

is new program PACE. It is evident that the thirty-eight neighborhoods plans made a lasting impact on the residents and city staff. The fact that Council President Sally Clark charged the city with the task of revisiting the neighborhood plans post 2000, to learn how the City and the neighborhoods progressed in their efforts to achieve their goals for growth, is in some ways, sustainable. This effort to review the process along with the new light rails influenced the updating of the plains beginning in 2007.

Table 4.3 Analysis of Findings

Neighborhood Regions	Social Capital Identifiers			Participation Identifiers			
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication
	The connection between people of similar groups such as family & friends	Addresses social inclusion of all people (race, class, ethnicity); focus on creating and maintain a sense of open-mindedness and diversity	Ties between people in power such as politicians, non-profits, or social leaders to civic-community; focus on ties/networks of citizens involved in a political decision making process	Ability of methods to extend to community members to provide equal opportunity for participation by all	Phasing of the planning process: who specifically has the ability to control, or has the resources in the planning process itself	Focus on outcomes of the implementation process in planning	Elements or practices that distort OR expose and correct communication
East	Low	Low	Medium	High	High	High	Low
Northeast	Low	Low	Low	Medium	High	Medium	High
Northwest	Low	Low	Medium	High	High	Medium	Low
Southeast	High	Medium	Low	High	High	Medium	Low
Southwest	Medium	Medium	Medium	High	High	Medium	Low
West	Low	Low	Low	High	High	Medium	Low

4.6 Common Themes

Placing rankings aside, six notable themes of social capital and participation were found through the research process. (1) Each resident interviewed said they created strong or very strong ties with new friends as a result of their attendance at a neighborhood meeting or related event (2) Budget cuts put in place by previous city administration, had a degrading affect to outreach efforts over the last decade. The cuts had a direct effect on Neighborhood Service Centers and Neighborhood District Coordinators, stretching the abilities of city staff and community leaders. One participant in the research stated that her trust in the Department of Neighborhoods was "sorely challenged by both the planning process and the redistribution of Neighborhood District Coordinators" (Edwards 2013). Yet, she went on to acknowledge that her relationship with current City Council members and department heads, along with other community leaders, remained positive. (3) Validation events allowed residents to review and make suggestions to their neighborhood plans before the final draft was submitted to Council. Several of the neighborhoods held validation events, and these events gestured inclusion, transparency, and trust. Since 2007, many of the plans have gone through a process of updating. While the initial plan was a citizen led process, many community members feel that the plan updates have taken a more top-down approach. (4) Of the ten people interviewed in this study, all acknowledged improvements of *bridging, breadth*, and *depth* through improvements made with the application of Public Outreach Engagement Liaisons (POEL), Peoples Academy for Community Engagement, and newer technologies such as email, website, neighborhood blogs, social media, and computer analytics have allowed for better organization and outreach methods. (5) Outreach efforts made during the plan updates were much more inclusive of all populations. (6) Each of the individuals interviewed are still intricately involved in their

respective neighborhood plans, ranging from a few years to over ten years of involvement. One resident, Jean Sundborg, was involved in the planning process of the Uptown community from the very beginning. Many including city staff and residents throughout the planning participation process encouraged her as a leader of the community. This encouragement gave her the confidence to help raise more than one million dollars for an urban park. Sundborg's (2013) trust in the City was fostered through her participation in the planning process, "my trust in the City was forged as a result of meeting and working with the many skilled, experienced employees. It was scary to prepare for my first meeting in the office of [Jim Diers], the Department of Neighborhoods Director, but he's become my hero and I look forward to our occasional reunions at Seattle events."

Table 4.4 Common Themes Found In Research

Common Themes of Social Capital and Participation	
1	"Strong" or "very strong" ties created with new friends
2	Budget cuts had a direct effect on outreach abilities and community trust
3	Initial neighborhood plans were citizen lead and created transparency, inclusion and trust/Plan updates take a more top-down approach
4	Improvements of bridging, breadth, and depth overtime
5	Plan updates were more inclusive of all populations
6	All participants remain involved in respective neighborhood plans overtime

4.7 Lessons For Planners

There are also seven lessons that planners can learn from the analysis above. Planners who seek to improve or increase the social side of the sustainability paradigm through participation in the planning process may consider adopting the following takeaways into practice.

- Document in detail (the participation process executed) to create a plan. Provide this information in the adopted plan to ensure transparency
- Consider adopting similar programs like Seattle's POELs and PACE; this will help achieve stronger social capital and participation in your communities
- Be willing to help foster neighborhood leaders or lack thereof
- Make citizens a priority; let them take the lead on plans that directly affect them and their environment in a significant way
- Be clear with your message. Do not use planning jargon. Instead, use simple and concise language and provide good supporting graphics that help the reader to interpret complex issues or ideas.
- Know the demographics of your planning area and make the effort to reach out not only to the majority and traditionally active populations, but also to all groups
- Be creative. Be willing to try new ideas and programs to help engage everyone

4.8 Conclusion

The goal of this research was not to prove that social capital was created as a result of the participation process in every one of the neighborhood plans. The goal was to find that there was enough reasonable evidence that social capital can be linked and related to the participation process in the creation of a plan, and that social capital had a lasting impact. After speaking with many of the residents and city staff, it was apparent that some of the political drive, excitement, and relationships formed through the initial participation process in the 1990s had diminished all together for some areas. Yet, of those few remaining advocates, many still hold the city accountable to their neighborhood plans. Residents still meet for dinner with the friends and neighbors they met during their participation in the planning process. Groups like, Sustainable Ballard and TOD in Capital Hill are still active groups today, and many individuals and groups are still pressing forward to achieve the goals set forth in the neighborhood plans and updates.

On February 21, 2012, Seattle Mayor Mike McGinn spoke about issues of participation, social equity, and sustainable neighborhoods in the State of the City Address. The Mayor renewed a strategy to help build great communities in Seattle below is an selection from his speech,

> *First, it's not about neighborhood planning – anymore – it's about neighborhood implementing. For the most part, the original plans are pretty good. What we need to do is get folks from all the relevant departments to sit down with people from the neighborhood, including those traditionally not included, and pick the most important actions to implement first.*
>
> *Second, it's not just about our physical infrastructure in our neighborhoods, it's about our social infrastructure. Public Safety, human services, job training, arts classes are important as sidewalks, parks, and streets to knitting a neighborhood together.*
>
> *Third, little things add up. Crosswalks, sidewalks, greenways, neighborhood parks add up to big differences in health, quality of life and our environment. They deserve to be priorities.*
>
> *Fourth, while everyone is passionate about our city (and thank goodness for that) we need to ensure that those with more money and power can't put their thumb on the scales to get their priorities first. We must have a relentless focus on the common good, in which every resident and every neighborhood is given an equal voice (Seattle Department of Neighborhoods 2013f).*

Seattle planners, city staff, and closely related roles, have the ability to foster meaningful participation with citizens and to create "networks that facilitate collective action" through the matrices of the planning process and through various programs that have emerged as a result of the planning process as presented in this research. If strong ties between people are fundamental to a resilient and sustainable community, evidence shows that individuals who participated in this process are maintaining ties formed as a result of their participation process in the planning of the individual neighborhood plans. In addition, are the new ties being formed through the plan updates POEL and PACE programs. One city staff individual interviewed, mentioned the Neighborhood District

Coordinators as empowering the community to have a “sense of ownership” with their plans. “A community’s first step in obtaining social capital is to have a sense of empowerment. At the most basic level, empowerment is achieved through encouraging residents allowing them to have a voice” (Dale, 2005, 13).

As mentioned in the literature review, Vanclay (2005) describes three different types of communities: communities of common practice, communities of common interest, and communities of common purpose. This research argues that the citizen lead committees, sub-committees, task forces, and other special interest groups of each of the neighborhood plans, can be considered specialist groups or communities of common practice, who share knowledge and procedures. That along with the former groups, residents, business owners, and historically underrepresented community members are people of common interest who enjoy knowing about, discussing and developing a subject. Both types of community (community of common practice and communities of common interest) are then combined in the neighborhood planning process to be communities of common purpose that form to take on a definitive action (Vanclay 2005).

Seattle strives to equally encompass social equality in a holistic manner along with environmental and economic growth. The social side of sustainability is addressed through the social capital identifiers addressed in the analysis of this research along with supporting programs of inclusion and sustainable outreach. The outcomes and conclusions of this research are summarized in *figure 4.5* on the following page.

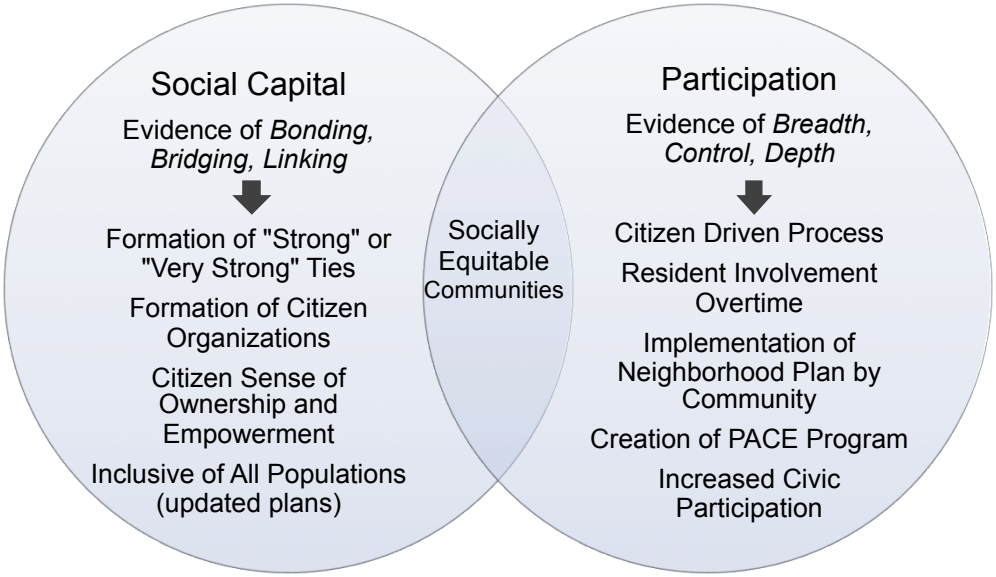

Figure 4.3 Linking Social Capital and Participation

Further, residents are more willing to engage with the city now, more so than they were before each neighborhood plan was implemented (Goldberg 2013). This represents an increase in civic participation. It is therefore probable that Seattle can then be considered a model for a city who has started to chip away at the social side of the sustainability paradigm. As it has made efforts, as identified in this study, in its ability to achieve true sustainability through “the need to ensure a better quality of life for all, now and into the future, in a just and equitable manner, whilst living within the limits of supporting ecosystems” (Agyeman *et al* 2002, 77-90).

Chapter 5

Limitations and Future Research

5.1 Introduction

Limitations were identified during the progression of this study and are explained further here. This chapter also provides solutions to overcoming these limitations in hopes that further research of linking public participation in planning with social capital and sustainability can progress forward. The limitations outlined in this chapter are, limitations to demographic analysis and limitations of participants.

5.2 Limitations

5.2.1 Demographics

In addition to interviews, demographic data for each of the individual Neighborhood Planning Areas was intended to be identified in this case study to help better interpret results from interviews. Demographic analysis of the neighborhoods was identified as a necessary step toward identifying social capital and participation identifiers in the analysis. It would also speak to the effectiveness of the many outreach efforts that took place in the neighborhoods since planning began in 1995. Unfortunately, the use of correlated Census data from 1990, 2000, and 2010 would have been too skewed and inaccurate to make a valid comparison between the Census reports. One flaw in addition to those mentioned in the demographics section in *Chapter 4*, was that the 1990 Census seemed to overestimate the number of minorities in any given area. This was a flaw perpetuated by the wording of the 1990 Census and has since been corrected. Given a larger amount of time to compete this research, the American Community Survey may have provided a better option for obtaining consistent data, although the American

Community Survey is known to be more of a representation of ninety-percent accurate as opposed to a more precise count. In the end, due to time constraints, demographic information was unable to be compiled for each of the individual thirty-eight plans and could not be included as a part of this research.

5.2.2 Participants

Recruitment of participants for this study took place over a two-month period of time. Conclusions from this study were inferred from a limited source of data. Ideally, contributions from a wider pool of participants would improve the standing of this research. For example, including results from underrepresented groups and participants who were not highly engaged in the process would have provided more insight to addressing *breadth, control, communication, bonding, bridging*, and *linking*.

Although nearly sixty individuals were asked to participate in the research, only ten contributed their experiences. The reasons for an approximately twenty percent response rate are thought to be for five different reasons. First, many of those who participated in the planning process during the mid-1990s have since moved on. Many individuals have also retired, changed jobs, or are no longer comfortable speaking about the events that happened over two decades ago. Second, of the ten people who responded, many made note that pieces of the events had unintentionally been rewritten in their heads. In other words, remembering events that happened many years prior to their participation in this study can prove challenging for the respondent, “One remembers what one wants to remember.” Third, to effectively address the sustainability aspect of the participation process, it is less effective to gather data post planning process. And fifth, the City of Seattle has been recognized on multiple accounts for its effective and innovative planning efforts. Consequently, over the past forty years in the

city's neighborhood planning efforts, many of those involved in the neighborhood planning process in Seattle have been approached by journalist, students, and scholars for their participation in research studies. Therefore, the low response rate may be due to a lack of time on participants end and or the repetition of participating in the research.

5.3 Suggestions for Future Research

This study is but a small piece of insight that chips away at identifying links between public participation and social capital. While this study acknowledges that it was not able to have a diverse representation of participants from which to base its findings. Its goal was to identify the probability that connections can be made between aspects of social capital and the participation process in planning. Barriers to gathering demographic data along with responses from participants provide implications for improvement to future research.

Recommendations for improvement include taking a continuous approach to the gathering of experiences from all individuals throughout the participation process in planning. Feedback during the participation process from both residents and city employees is necessary for the improvement of outreach practices, and if public participation is to become more sustainable in the third leg of the paradigm. Accurate and in depth conclusions can therefore, only be inferred from real-time data that is gathered in the immediate act of participation and not ten or twenty years afterwards. Planners might consider placing a heavier weight on the significance of monitoring their participation processes in the present rather than in hindsight. Moreover, it is recommended that the effects of the participation process be monitored after the plans are implemented. This will help validate whether the participation process is sustainable over time.

It is also recommended that researchers and planners continue to look at how participation can play a role in planning as it relates to gentrification. Seattle's neighborhood plans fundamentally addressed how to manage and plan for growth for each neighborhood. As these plans were implemented, gentrification, an extremely complicated issue, was inevitable. "Social capital can and often does cut both ways: it can just as easily shut out newcomers, raise barriers to entry, and retard innovation" (Florida 2003, 292). Planners must foster communication between all groups in a neighborhood and therefore, must be cautious not to strengthen one group or another in the process of collaboration. Further, planners must protect and preserve the fabric of the community which created the social capital and be in tune to the warning signs of gentrification with its good intentions yet, unintended effects. Looking at how outreach efforts may or may not have contributed to this unintentional reality is an additional aspect of social capital that is worth of being addressed. To ensure true sustainability; for example, as Seattle continues to carry out its enhanced participation programs with PACE and POEL, it may be beneficial to monitor how they help create measures of social capital and effective participation over time.

5.4 Conclusion

While limitations to this study prevent in depth results, they did not deter the results of this study from providing insights and contributions to narrowing the sustainability gap. Evidence from this study shows that even on the smallest scale, social capital was created through the participation process with efforts made by residents, community groups, business owners, city staff, public officials, and consultants. With the correction of limitations and the addition of new approaches to research, it is possible to

achieve an even greater contribution to literature surrounding how meaningful public participation can have an effect on those involved in the planning process.

Chapter 6

Conclusion

How the participation process impacts a community is the foundational aspect of this research. We know that basic public participation is required of planners when developing plans, but for those programs that go beyond the basics of notifying the public and making presentations, how have their methods impacted communities' long term? And can these methods be the key to helping establish sustainable neighborhoods by building social capital and therefore contributing to the social side of the sustainability paradigm? Reviewing planning practices and interviewing those involved in Seattle's neighborhood plans helps to identify aspects of enhanced public participation methods including steps of *breadth, control, depth*, and *communication* as well as the formation of ties that exist in social capital including *bonding, bridging,* and *linking*.

This study helps to educate the public in increasing the understanding of the triple bottom line, by addressing the equitable imperatives (Dale (2001)). As features of community are identified, including communities of common practice, common interest, and common purpose that are woven together with meaningful participation practices, the development of social capital is created. It is created with high measures of participation which is present in all thirty-eight of the individual neighborhood plans in Seattle paralleled to overall medium levels of social capital. Planners who seek to create more sustainable environments by enhancing the participation process in planning and linking it with social capital can learn from the following take-a-ways:

- Document in detail (the participation process executed) to create a plan. Provide this information in the adopted plan to ensure transparency.
- Consider adopting similar programs like Seattle's POELs and PACE; this will help achieve stronger social capital and participation in your communities.

- Be willing to help foster neighborhood leaders or lack thereof.
- Make citizens a priority; let them take the lead on plans that directly affect them and their environment in a significant way
- Be clear with your message. Do not use planning jargon. Instead, use simple and concise language and provide good supporting graphics that help the reader to interpret complex issues or ideas.
- Know the demographics of your planning area and make the effort to reach out not only to the majority and traditionally active populations, but also to all groups.
- Be creative and be willing to try new ideas and programs to help engage everyone.

The review of literature behind the sustainability paradigm, community sustainability, participation in the planning process, and the origins of social capital as it relates to communities, provides a foundation and gives meaning to continuing research to identify these measures. There is a clear need to identify aspects of planning that contribute to the social aspect of "the need to ensure a better quality of life for all, now and into the future, in a just and equitable manner, whilst living within the limits of supporting ecosystems" (Agyeman et al 2003, 5). The findings of this research are successful at filling this void. This study has effectively shed light on aspects of the participation process in planning. As planners begin to interact with community members in the future, it is necessary that they consider how their methods will affect the greater whole over time if they desire true sustainability. In the end, it is not necessarily the planner who lives, thrives, and creates friendships and memories within these communities, but the resident today or citizen tomorrow.

Appendix A

Interview Questions for Seattle City Staff

INTERVIEW QUESTIONS

CITY EMPLOYEES AND NEIGHBORHOOD DISTRICT COORDINATORS

1. What are some of the methods that neighborhood district coordinators and planners used to inform, educate, and engage residents in the planning process of neighborhood plans?
2. Were the methods used consistent across all communities?
3. Did these methods help residents become more open to sharing their visions for the future of their neighborhood?
4. Who initiates a neighborhood meeting? Is it the same for today as it was during the development or phasing stages of the neighborhood plan?
5. How did residents provide feedback to planners during this process?
6. How has participation in correlation with the neighborhood plan changed over time, before during and after implementation?
7. Did community leaders or groups emerge as a result of a public meeting or communication with neighborhood residents?
8. Was there equal representation from all demographics of the neighborhood at meetings or events associated with the neighborhood plan? How has this changed since the plan was passed?
9. In general, how often would you say that residents maintained an open mind during the planning process?
10. Did residents of all demographics feel comfortable engaging in the participation process?

11. Did you find that people across all races were able to be open with each other and maintain a sense of trust with regards to their input and opinions?
12. Do you feel that the demographic makeup of any particular community can influence the strength of its neighborhood participation?
13. Do you feel that residents are more willing to engage with the city now than before the each neighborhood plan was implemented?
14. Do you feel that residents are more inclined to give back to their community as a direct result of their participation with you and with planners?
15. Have stronger ties between the residents, neighborhood district coordinators, planners and city employees increased or decreased since the neighborhood plan was implemented?

Appendix B

Interview Questions for Seattle Residents

INTERVIEW QUESTIONS

QUESTIONS FOR NEIGHBORHOOD RESIDENTS

1. Did you feel that you were given the opportunity to participate in the planning process of your neighborhood plan? If so, to what extent were you involved?
2. What motivated you to get involved with the planning of your neighborhood by the city of Seattle?
3. How did you feel before and after you participated in the planning process?
4. Did you share your experience with neighbors or other community members?
5. Do you feel a stronger sense of responsibility to your community after you engaged in the discussions, workshops, etc.?
6. Did you form new relationships with other community members during the participation process?
7. Were other community groups formed as a result of discussions or meetings with neighborhood liaisons or city planners? If so, please explain in detail.
8. Do you feel that you have the ability to influence change in your community?
9. During your participation in the planning stages of your _____(neighborhood plan title) were you able to have open views and welcome others opinions and thoughts about the future of your neighborhood?
10. Did you feel a stronger sense of trust with the City of Seattle during and after the participation process?
11. Did you form news relationships professional or personal, as a direct result of your participation?

12. Did participation methods used by the neighborhood district coordinators and or planners help you in any of the following ways?
    a) Create relationships with new people or group (If they answered yes, then ask if they still maintain contact with them and to specify how often)
    b) Become more aware of groups or organizations in your community
13. Since you attended a public meeting, have you volunteered more often?
14. Did you become more interested in public affairs after being involved in the planning process of your neighborhood?

Appendix C

Field Notes of Research

East								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
	the connection between people of similar groups such as family & friends	addresses social inclusion of all people (race, class, ethnicity), focus on creating and maintaing a sense of open-mindedness and diversity	ties between people in power such as politicians, non-profits, or social leaders to civic-community; focus on ties/networks of citizens involved in a political decision making process	ability of methods to extend to community members to provide equal opportunity for participation by all	phasing of the planning process: who specifically has the ability to control, or has the resources in the planning process itself	focus on outcomes of the implementation process in planning	elements or practices that distort OR expose and correct communication	results created as a result of the participation process
Capitol Hill		see measures of breadth for capital hill>	Community Connections and partnerships were fostered between Neighborhood Groups and interested residents and coordination with city departments and public officals was saught out for discussion of technical elements[1] ; notable community connections: 15th ave merchants association, Broadway Business, Improvement Association, Capitol Hill Chamber of Commerce, Capital Hill Community Council, Capitol Hill Neighborhood Service Center. Groundswell Off Broadway, Merchants of Pike-Pine1	conducted 4 different surveys with a total return of 1,405 responses from residents and business owners, conducted 72 community interviews, extended flyers by hand, conducted open houses, small group discussions, charettes, workshops, established a neighborhood 24HR neighborhood information Hotline1;Preliminary Survey w/ 325 residents; quality of lifle survey w/ 100 participants distributed over phone by city staff; interviews w/ 100 community leaders by organizing committee members; flyer distriibution to summerize neighborhood planning process; public workshops; open house-100 in attendance; 5 small group sessions-36 residents; More see: http://www.seattle.gov/neighborhoods/npi/plans/CAPHILL/Section4.pdf	Citizen Committees, non-profit, city employees, and a consultant group worked together to create the plan	Adoption of neighborhood plan (1999)[1], a non-profit was formed to help implement the goals of the plan[3]		new groups emerged such as Trasit Oriented Development TOD became a priority, residents who renter were better represented in the planning process3
Central (12th Ave, 23 & Jackson, Madison-Miller)				formation of non-profit oganization dedicated to increasing the supply of low-income housing,, formation of neighhborhood websites and newsletters for communication[2]		Adoption of neighborhood plan (1999)[1]		2,000 participants
Central (12th Ave, 23 & Jackson, Madison-Miller)				formation of non-profit oganization dedicated to increasing the supply of low-income housing,, formation of neighhborhood websites and newsletters for communication[2]		A non-profit formed to help implement neighborhood housing goals such as increasing the supply of low-income housing[2]		

East								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
Central (12th Ave, 23 & Jackson, Madison-Miller)				formation of non-profit oganization dedicated to increasing the supply of low-income housing,, formation of neighhborhood websites and newsletters for communication[2]				
First Hill				Speaker's Bureau, Treaveling exhibit, survey distributed to SeattleUniversity students, project newsletter was distributed to residents and translated in Vietnamese and Aramaic, photo projects by elementary and high school aged students, meetings with low-income, homeless and or unemployed members of community, workshops, publications in local newspapers, validation event held for feedback on final draft of plan where ballots were distributed for feedback (70 people atttended	planning committtee of interested residents formed and hired a professional planning firm to assist the plan development,	Adoption of neighborhood plan (1999)1		
Pike/Pine				distributed a phone survey, focus-groups and round table discussions with residnets and business, conducted a youth needs assessment, made a point to reach out to traditionally underprepresented populations, sponsored charettes,	Neighborhood Association fostered the creation of four organizing committees to help draft plan with assistance form planning consultants	Adoption of neighborhood plan (1998)1		

LEGEND
Low
Medium
High

[1]Stated stategies or goals in adopted plan

[2]Planning The Process-Updating seattles Neighborhood Plan

[3] Interviews

[4]Speaking from viewpoint of plan updates post 2000

Northeast								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
Northgate					Plan written by Seattle Planning Department and members from Northgate Advisory Committee[2]	Plan outlines proposals financing for achieving goals[2]	plan uses technical jargon[2]	
North Neighborhoods/Lake City Way				Received Neighborhood Matching Funds of $25,510 in 1994 and funded: survey, public meetings, survey documentation and results analysis for launching neighborhood plan[1]	Plan written by members of community[2]		plan was writen in non-technical language but lacked visuals2	
Roosevelt				meetings, workshops, surveys, "fun events", mailers, committee meetings[1]	Plan written in a collaborative effort by members of community & consulting firm[2]	Adoption of neighborhood plan (1999)	plan was easy to understand, no jargon, provided graphics, background iformation and design guidelines[3]	
University (Ravenna, U-District NW, U-District Campus)			plan recognises ties/networks between verious levelvs of government, private sector, and local groups[2]		Plan written in a collaborative effort by members of community & consulting firm[2]	Adoption of neighborhood plan (1998)1	Provides visuals to communicate visions[2]	
University (Ravenna, U-District NW, U-District Campus)								
University (Ravenna, U-District NW, U-District Campus)								

LEGEND

Low

Medium

High

[1]Stated stategies or goals in adopted plan

[2]Planning The Process-Updating seattles Neighborhood Plan

[3] Interviews

[4]Speaking from viewpoint of plan updates post 2000

Northwest								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
Aurora/ Licton			relationships formed between community residents and business owners during public outreach efforts	walking tours as audit of area challenges, mailers, flyers, surveys, use of informational and intuitive graphics as a planning tool, special pulications, monthly townhall meetings and workshops, subcommittee, steering committee and co-chair meetings held monthly[1]		Adoption of neighborhood plan (1999)1		
BINMIC (Ballard Interbay)			stakeholder and city representative/employee ties, commities formed in place of traditional outreach methods[3]		Plan written by industrial community members, i.e., business and property owners, business and labor associations, and assisting consultant firms [2]	Adoption of neighborhood plan (1998)1		
Broadview-Bitter Lake-Haller Lake				community survey, opening of community center, planning group meetings of 60 participants regualrly,	plan was developed with help from committee members, neighborhood organizations, graduate students, and consultants,	Adoption of neighborhood plan (1999)1		East Ballard Community Council become stronger as a result of the planning process of the ballard plan3
Crown Hill/Ballard	Neighbors asking neighbors to come to meetings: word of mouth[3;] formation of strong ties that grew from a neighborhood meeting, this friendship was maintained outside of related planning events3	intentions by city was there, but there was a lack of funds and creative solutions (unlike Today)[3]	feedback from citizens was often heard and related to politicians[3;] awareness of community groups increased[3]	held monthly meetings, used mailing lists, local media specific to their neighborhood, flyers[3]	city employees have to initiate meetings, and are often the leader during meetings[3]	Adoption of neighborhood plan (1998), steering committee established to implement plan1	focused on removing planninglingo and jargoon was a positive for communiction barriers3	NDC successfully created a sense of ownership with the residents, many residents were interested in ceartain areas of the plan such as sustainability. Residents interests spawned off to create community groups of special interests,
Fremont				press releases, flyers, newsletters, community survey, held community events, in-person and phone interviews, (participation of 1,000 residnets)[1]	Plan written in a collaborative effort by members of community, city employees, and consultants[1]	Adoption of neighborhood plan (1999)1		
Wallingford				participation and outreach high priority, General meetings, phone tree and newspaper announcements, news articles, flyers and packets, surveys, telephone-hotline, email, web site, and participation at neighborhood events1		Adoption of neighborhood plan (1998)1		

Southeast								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
Columbia City/Hillman City	neigbor-to neighbor communication			established a volunteer and oganizing committee for Phase I, targeted residents and workers withina 1-mile radius of urban village boundary, conducted interviews with businesses, survey of 400 people, speaker bureau aimed an non-english speakingand hard to reach groups, engaged youth through photograph=ghy project, held issues forum, and validation meetings1		Adoption of neighborhood plan (1999)1		
MLK@Holly Street	neigbor-to neighbor communication			neighborhood survey, held "planning party," committee meetings, work sessions, and professional panel discussions; partnerships with NPO, outreach efforts less in this neighborhood due to sheer scale of diversity of language barriers. Key issues were addressed simultaniously without the development of subcommittees1		Adoption of neighborhood plan (1998)1		
North Beacon Hill	neigbor-to neighbor communication 1; Formed a **very strong** ties between community members as a result of attendance at a neighborhood meeting, trust was formed3	Meetings held with eleven different churches, announcements and key aspects of plan were translated into multiple languages as well as informal meetings with underreresented communities, translation services were also conducted at meetings1; "Planning process provided many opportunities to hear and welcome the opinions of others3"	Formed very strong ties between with city staff and elected officials as a result of the participation process, trust in the city was and remains generally positive even though opionions on issues may differ3	multiple meetings, workshops, festivals, committee meetings held, community wide mailers, 300 people attended validation of plan meeting1	citizen formed committee1	Adoption of neighborhood plan (1999)1	final draft summary mailed community-wide for validation and translated into four different languages representing key ethnic groups of Beacon Hill1	several groups were formed as a result of the neighborhood participation process and are still active in the community today2

Southeast								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
North Rainier	neigbor-to neighbor communication			two monthly meetings held to address requirements and and planning topic goals, telephone survey, monthly publication to stakeholders, Department of Neighborhood Grant funded 10,000 flyers with over half translated in Cambodian, Vietnamese, and Tagalog languages, Media including TV, newspaper, newsletters, and radio were utilized monthly for advertizing of meetings and events, orientation packages sent to stakeholders, yard signs placed, meetings held with religious leaders, 6,000 community stakeholders received copies of the preliminary plan in a mailing1	neighborhoo dplanning office, residents, committee members, hired consultant	Adoption of neighborhood plan (1999)		
Rainier Beach	neigbor-to neighbor communication	Made a strong effort to reach out to all community members3		focus groups, hosting of regualr planning committee meetings on the first Monday of every month, open subcommittee work meetings, month distributed news letters and postcard meeting notices, contacted and met with cultural organizations, churches, non-profit organizations in effort to involve "hard-to reach" neighborhood stakeholders, conducted 20 interviews with local business community, held workshops, distributed plan validation newsletter, held community meetings and visioning events	resitends, local businesses, underrepresented communities, partnerships with DON and NPO, a consultant was NOT hired because the community felt they could use funds themselves to help organize sufficient outreach efforts	Adoption of neighborhood plan (1999)1		

LEGEND
Low
Medium
High

[1]Stated stategies or goals in adopted plan
[2]Planning The Process-Updating seattles Neighborhood Plan
[3] Interviews
[4]Speaking from viewpoint of plan updates post 2000

Southwest								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
Admiral		**work with the merchant association to advocate the heealth and diversity of merchants located in the admiral business district**		placed a copy of the plan at four public locations, and mailed a final newsletter to outreach area1	Creation of Planning Coalition, Elected Coaliiton Coordinator, Establishment of subcommities of interested community members, Consultnat, City Staff,	Adoption of neighborhood plan (1999)1		
Delridge			Arts organizations, business representatives educational institutions, community groups, environmnetal groups, social service organizations, religious institutions, residnets present at workshops; public agencies and sonsultants also involved in the planning process of the neighorhood plan (does not specifiy if these two groups were represented at a workshop)1	held a series of topic meetings for key issues, 5,000 topic newsletters were distributed and translated into Cambodian and Spanish, 10 focus groups were held with community council, shurch groups, ESL classes, school teachers and staff, and apartment residents, topic sessions were translated into spanich, cambodian, and vietnamese, survey distributed to students and sent home to parents, public forums, node workshops, various meetings and validation event and survey for final phase I and phase II[1], held weekly and monthly meetings[3]	Planning Coalition	Adoption of neighborhood plan (1999)1		
Duwamish				Three "Big Events" for residents to give feedback, newsletters and questionaires mailed to all businesses, presentations given to key businesses, coordinaiton with Manufacturing and Industrial Council1	Greater Duwamish Planning Committee, Consultant Team, City of Seattle: neighborhood planning office, strategic planning, office of economic development, SeaTran as wella s neighborhood groups a, business owners and residents	Adoption of neighborhood plan (2000)1		

Southwest								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
Georgetown				eleven focus group meetings with businesses, commercial services and transportation industries, property and business owners, Seattle Design and Gift Center trades, manufacturing assembluy, and ligh industries, residential home owners totaling 120 people,, two workshops of 60 people, presentations to organizations, mailed brochures to over 1,700 households, formed five subcommitteees made up of community members to address scope of work, outreach efforts, case studies, held series of forums and validation events1	Planning Committee and Georgetown Organizing Committee1	Adoption of neighborhood plan (2000)1		
Morgan Junction (MOCA)				stakeholder groups identified and contaced, mailings, meetings of committees, meetings surrounding topics during phase two1	planning committee, sub-committee, consultants, city of seattle	Adoption of neighborhood plan (1999)1		

Southwest

Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
South Park	" I am a constant ambassador to others in the neighborhood keeping people informed, recruiting others to participate, and bringing ideas and issues to the table on behalf of those who either cannot or choose not to engage personally. I have probably met a couple of thousand individuals in the last six years."[3]	" work to reach people who do not use computers. One regular way to do this is to “work the waiting line” at the twice weekly food distribution by the Providence Regina House Food and Clothing bank. We also have intermediaries between the SP Latino community and the Vietnamese community. City departments have developed legitimate ways to reach neighborhood residents about specific issues. Door-to-door surveys with multiple language capabilities have been done. Mailings in 2 or 3 languages are common. Conversations with groups meeting for other purposes are used to reach groups. SPIARC teaches ESL classes. We never do enough, but we also never stop striving to do better to reach all groups. , We have several times put together lists of groups that need to be kept involved in community issues."3	"We have staff and elected officials in the City who have fallen in love with SP. The Mayor often drops in for dinner at our restaurants. City Council members come when invited and sometimes request an opportunity to visit. We have staff in almost every department in the City who regularly work with us on areas of their responsibility. Not everyone in SP has that feeling of trust."3	special educaiton sessions,monthly general meetings, written surveys and focus groups, mass mailings newspaper announcements, and flyers, validation event1	Organizing Committee1	Adoption of neighborhood plan (1998)1		community groups were formed to take on action items in their neighborhood plan, some groups rewarded fundign from city to implement projects identified in the plans3, "One of the drawbacks to the extent of my involvement in the neighborhood is the strong sense of responsibility I have to continue to perform the duties I have assumed. As our successes in the neighborhood have increased, my administrative and financial commitments have grown. (We operate the South Park Neighborhood Center, serve as the administrative and fiscal agent for eight other SP groups, conduct the monthly SPNA meetings, lead the Board, advocate with agencies, attend meetings, supervise part-time staff, write proposals, convene committees, etc.) One goal for this year is to convince the City to provide funding to replace some of my commitments with paid staff. The dependence of the neighborhood on one full-time volunteer is not a sustainable way to keep things afloat."3, community groups were formed to take on action items in their neighborhood plan, some groups rewarded fundign from city to implement projects identified in the plans3
West Seattle Junction (FOJ)				mailings, news letters, regular meetings, post cards and yard signs1	Friends of The Junction Neighborhood Association1	Adoption of neighborhood plan (1999)1		
Westwood/Highland Park				community meetings and workshops,and mailers 1	Westwood and Highland Park Planning Committee, Neighborhood Planning Office, Consultants	Adoption of neighborhood plan (1999)1		

LEGEND
Low
Medium
High

[1]Stated stategies or goals in adopted plan
[2]Planning The Process-Updating seattles Neighborhood Plan
[3] Interviews
[4]Speaking from viewpoint of plan updates post 2000

West								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
Comercial Core					plan was created by developers, architects, comercial property owners and staff from Neighborhood Planning Office and Strategic Planning Office[2]	Adoption of neighborhood plan (1999)1		
Denny Regrade\Belltown		Plan indicates that social equity is a high priority[1]		plan indicates weak participation by all in phase I but initiated an outreach program for phase II[2] utilized email at a tool for outreach[3]	Sub-Committees were created and comrised of community stakeholders and citizens, The Belltown Neighborhood Association drafted the plan[2]	Adoption of neighborhood plan (1999)[1], city funded neighborhood association to begin planning process[2]		
Denny Triangle				plan indicates strong participation of neighborhood groups and individuals due to outreach strategies[2]	community outreach consucted aided in the development of neighborhood plans[2]	Adoption of neighborhood plan (1999)1		
Eastlake				plan indicates strong participation of neighborhood groups and individuals due to outreach strategies2	Plan was prepared over a period of three years by a diverse group of businesses, non-profits, residents, consultants, city employees and public officials[2]	Adoption of neighborhood plan (1998)1		
International District				plan indicates very strong participation, created 50-member community planning group of 20 architects and urban designers, and youth group conducted effective outreach2	Community was the dominant creator of plan with assistance from two members of Neighborhood Planning Office[2]	Adoption of neighborhood plan (1998)1		
Pioneer Square			Neighborhood group initiated neighborhood stakeholders and relevent city staff to come together to develop a work plan, some issues related to 1998 Plan[3]	plan indicates strong participation of neighborhood groups and individuals due to outreach strategies[3]	community outreach consucted aided in the development of neighborhood plans[2.]	Adoption of neighborhood plan (1998)1; plan identified who would help implement the plan city/citizen		Alliance of Pioneer Square has emerged as a strong neighborhood outreach organization and often initiates neighborhood meetings reltated to planning issues3, more public ownership and enagement post 2006 from stronger mmore recently established neighborhood organization; trong ties between residents, builidng owners, and business through informal gatherings and organizational encouragement from neighborhood group

West								
Neighborhood Plan	Social Capital Identifiers			Participation Identifiers				Other
	Bonding	Bridging	Linking	Breadth	Control	Depth	Communication	"Outcomes"
Queen Anne/Uptown			Neighborhood Planning Office provided guidence and dedication throughout process2	plan indicates strong participation of neighborhood groups and individuals due to outreach strategies2 Methods and processs were very democratic and open, Planning Committees and sub-committees had many resources and were able to meeting weekly and sometimes daily3;	planning process was carried out in a team effort by community members, city employees, consulatants; Queen Anne Planning Coalition, Queen Anne Planning Committee directed the implementation of plan along with the community; Consultants chosen by the neighborhood coalitions drafted the actual plan3	Adoption of neighborhood plan (1998)1		
Queen Anne/Uptown	reffered to the plan frequently in conversation, invited people to meetings and events, and promoted the value of the planning process3; Formed very strong ties between community members as a result of attendance at a neighborhood meeting, trust was formed3			plan indicates strong participation of neighborhood groups and individuals due to outreach strategies2	community outreach consucted aided in the development of neighborhood plans2	formation of an alliance to help implement the plan3; alliance was guided by DON, "one of our earliest successses was locating, funding, and setting up a store front office in Uptown Queen Anne for the Alliance and the DON staff person. Sharing office space made coordinating with the DON so easy and natural. As of this date, due to City budget cuts, neither the ALliance nor the DON staff has office space in Uptown".3	presence of professional jargon but nagivitable after consistant participation in events overtime3	Queen Anne Alliance
South Lake Union				plan indicates strong participation of neighborhood groups and individuals due to outreach strategies2	community outreach consucted aided in the development of neighborhood plans2	Adoption of neighborhood plan (1998)		

LEGEND
Low
Medium
High

[1]Stated stategies or goals in adopted plan
[2]Planning The Process-Updating seattles Neighborhood Plan
[3] Interviews
[4]Speaking from viewpoint of plan updates post 2000

Appendix D

Neighborhood Profile Date

Neighborhood Population Density				
East				
Neighborhood Area	Population	Area SqMi	Population Density	Average Population Density (people per square mile)
Capitol Hill	17,414	0.62	28,087	18,298
Central (12th Ave, 23 & Jackson, Madison-Miller)	3522	0.25	14,088	
Central (12th Ave, 23 & Jackson, Madison-Miller)	8026	0.8	10,033	
Central (12th Ave, 23 & Jackson, Madison-Miller)	3,395	0.23	14,761	
First Hill	9,148	0.36	25,411	
Pike/Pine	3,482	0.2	17,410	
Northeast				
Neighborhood Area	Population	Area SqMi	Population Density	Average Population Density
Northgate	5,740	0.64	8,969	13,195
North Neighborhoods/Lake City Way	2293	0.22	10,423	
Roosevelt	2138	0.25	8,552	
University (Ravenna, U-District NW, U-District Campus)	2641	0.19	13,900	
University (Ravenna, U-District NW, U-District Campus)	14,689	0.45	32,642	
University (Ravenna, U-District NW, U-District Campus)	2529	0.54	4,683	
Northwest				
Neighborhood Area	Population	Area SqMi	Population Density	Average Population Density
Aurora/ Licton	5326	0.51	10,443	8,547
BINMIC (Ballard Interbay)	1155	1.47	786	
Broadview-Bitter Lake-Haller Lake	3434	0.56	6,132	
Crown Hill/Ballard	8128	0.66	12,315	
Crown Hill/Ballard	2091	0.27	7,744	
Fremont	3062	0.34	9,006	
Greenlake	2337	0.17	13,747	
Greenwood/Phinney	909	0.15	6,060	
Wallingford	4276	0.4	10,690	
Southeast				
Neighborhood Area	Population	Area SqMi	Population Density	Average Population Density
Columbia City/Hillman City	4621	0.49	9,431	8,862
MLK@Holly Street	4539	0.59	7,693	
North Beacon Hill	2685	0.2	13,425	
North Rainier	3916	0.71	5,515	
Rainier Beach	3380	0.41	8,244	
Southwest				
Neighborhood Area	Population	Area SqMi	Population Density	Average Population Density
Admiral	1071	0.15	7,140	7,370
Delridge*	Data Not Available			
Duwamish	1707	7.75	220	
Georgetown*	Data Not Available			
Morgan Junction (MOCA)	2105	0.18	11,694	
South Park	2996	0.41	7,307	
West Seattle Junction (FOJ)	3197	0.35	9,134	
Westwood/Highland Park	3750	0.43	8,721	

Neighborhood Population Density				
West				
Neighborhood Area	Population	Area SqMi	Population Density	Average Population Density
Comercial Core	6883	0.43	16,007	
Denny Regrade\Belltown	25,115	0.34	73,868	
Denny Triangle	1570	0.22	7,136	
DUCPG (Downtown Urban Center Planning Group) (Belltown, Denny Triangle, Commercial Core, Pioneer Square, International District)*	38,131	1	25,764	17,305
Eastlake	3622	0.31	11,684	
International District	2702	0.27	10,007	
Pioneer Square	1861	0.22	8,459	
Queen Anne/Uptown	1424	0.08	17,800	
Queen Anne/Uptown	4228	0.52	8,131	
South Lake Union	1406	0.53	2,653	

*Omitted				

Neighborhood Median Age		
East		
Neighborhood Area	Median Age	Average Median Age
Capitol Hill	32.3	32
Central (12th Ave, 23 & Jackson, Madison-Miller)	24	
Central (12th Ave, 23 & Jackson, Madison-Miller)	33.8	
Central (12th Ave, 23 & Jackson, Madison-Miller)	33.9	
First Hill	35.9	
Pike/Pine	31.7	
Northeast		
Neighborhood Area	Median Age	Average Median Age
Northgate	36	28
North Neighborhoods/Lake City Way	32.1	
Roosevelt	33	
University (Ravenna, U-District NW, U-District Campus)	24	
University (Ravenna, U-District NW, U-District Campus)	22.9	
University (Ravenna, U-District NW, U-District Campus)	20.9	
Northwest		
Neighborhood Area	Median Age	Average Median Age
Aurora/ Licton	31.7	35
BINMIC (Ballard Interbay)	33.2	
Broadview-Bitter Lake-Haller Lake	41.2	
Crown Hill/Ballard	35.9	
Crown Hill/Ballard	37.5	
Fremont	31.9	
Greenlake	33.4	
Greenwood/Phinney	34.8	
Wallingford	33.2	

Neighborhood Median Age		
Southeast		
Neighborhood Area	Median Age	Average Median Age
Columbia City/Hillman City	33.2	33
MLK@Holly Street	30.8	
North Beacon Hill	34.5	
North Rainier	36.3	
Rainier Beach	32.4	
Southwest		
Neighborhood Area	Median Age	Average Median Age
Admiral	38.1	36
Delridge*	Data Not Available	
Duwamish	38.3	
Georgetown*	Data Not Available	
Morgan Junction (MOCA)	37	
South Park	30.7	
West Seattle Junction (FOJ)	36.5	
Westwood/Highland Park	32.9	
West		
Neighborhood Area	Median Age	Average Median Age
Comercial Core	38.6	37
Denny Regrade\Belltown	36.8	
Denny Triangle	35.4	
DUCPG (Downtown Urban Center Planning Group) (Belltown, Denny Triangle, Commercial Core, Pioneer Square, International District)*	40.42	
Eastlake	32.7	
International District	48	
Pioneer Square	43.3	
Queen Anne/Uptown	34.1	
Queen Anne/Uptown	34.2	
South Lake Union	33.2	

*Omitted		

Neighborhood Average Income		
East		
Neighborhood Area	Average Household Income	Total Average Household Income
Capitol Hill	$ 45,536	
Central (12th Ave, 23 & Jackson, Madison-Miller)	$ 36,245	
Central (12th Ave, 23 & Jackson, Madison-Miller)	$ 43,688	$ 40,676
Central (12th Ave, 23 & Jackson, Madison-Miller)	$ 43,580	
First Hill	$ 37,556	
Pike/Pine	$ 37,451	

Neighborhood Average Income		
Southeast		
Neighborhood Area	Average Household Income	Total Average Household Income
Columbia City/Hillman City	$ 38,270	
MLK@Holly Street	$ 44,839	
North Beacon Hill	$ 40,539	$ 44,286
North Rainier	$ 50,889	
Rainier Beach	$ 46,891	

Neighborhood Average Income		
Northeast		
Neighborhood Area	Average Household Income	Total Average Household Income
Northgate	$ 40,183	
North Neighborhoods/Lake City Way	$ 38,675	
Roosevelt	$ 71,133	
University (Ravenna, U-District NW, U-District Campus)	$ 29,414	$ 41,469
University (Ravenna, U-District NW, U-District Campus)	$ 32,950	
University (Ravenna, U-District NW, U-District Campus)	$ 36,461	

Neighborhood Average Income		
Southwest		
Neighborhood Area	Average Household Income	Total Average Household Income
Admiral	$ 60,546	
Delridge	Data Not Available	
Duwamish	$ 48,099	
Georgetown	Data Not Available	
Morgan Junction (MOCA)	$ 58,887	$ 51,181
South Park	$ 45,698	
West Seattle Junction (FOJ)	$ 53,044	
Westwood/Highland Park	$ 40,809	

Neighborhood Average Income		
Northwest		
Neighborhood Area	Average Household Income	Total Average Household Income
Aurora/ Licton	$ 45,329	
BINMIC (Ballard Interbay)	$ 51,284	
Broadview-Bitter Lake-Haller Lake	$ 39,052	
Crown Hill/Ballard	$ 44,180	$ 52,214
Crown Hill/Ballard	$ 59,092	
Fremont	$ 54,841	
Greenlake	$ 52,567	
Greenwood/Phinney	$ 56,294	
Wallingford	$ 67,289	

Neighborhood Average Income		
West		
Neighborhood Area	Average Household Income	Total Average Household Income
Comercial Core	$ 77,832	
Denny Regrade\Belltown	$ 63,276	
Denny Triangle	$ 30,885	
DUCPG (Downtown Urban Center Planning Group) (Belltown, Denny Triangle, Commercial Core, Pioneer Square, International District)	$ 45,900	$ 51,451
Eastlake	$ 61,106	
International District	$ 20,955	
Pioneer Square	$ 36,554	
Queen Anne/Uptown	$ 77,271	
Queen Anne/Uptown	$ 51,589	
South Lake Union	$ 43,587	

Neighborhood Ethnicity								
East								
Neighborhood Area	White Alone	Black or African American Alone	American Indian or Alaskan Native Alone	Asian Alone	Pacific Islander Alone	Some Other Race Alone	Two or More Races Alone	Total Hispanic Population
Capitol Hill	14,066	1,007	191	1,068	47	321	713	897
Central (12th Ave, 23 & Jackson, Madison-Miller)	2,133	392	52	587	62	104	193	268
Central (12th Ave, 23 & Jackson, Madison-Miller)	2,323	3,216	91	1,277	27	510	583	1,010
Central (12th Ave, 23 & Jackson, Madison-Miller)	2,239	737	28	155	4	66	166	182
First Hill	5,596	1,248	175	1,341	57	336	396	711
Pike/Pine	2,508	347	58	342	13	73	143	187
Total	4,811	1,158	99	795	35	235	366	543
Northeast								
Neighborhood Area	White Alone	Black or African American Alone	American Indian or Alaskan Native Alone	Asian Alone	Pacific Islander Alone	Some Other Race Alone	Two or More Races Alone	Total Hispanic Population
Northgate	3,674	438	61	982	24	186	375	344
North Neighborhoods/Lake City Way	1,391	156	25	440	17	115	149	234
Roosevelt	1,816	41	12	140	4	31	93	82
University (Ravenna, U-District NW, U-District Campus)	1,985	71	18	401	8	34	125	124
University (Ravenna, U-District NW, U-District Campus)	10,512	309	96	2,742	38	238	753	639
University (Ravenna, U-District NW, U-District Campus)	1,455	70	15	776	12	33	168	89
Total	3,472	181	38	914	17	106	277	252

Neighborhood Ethnicity								
Northwest								
Neighborhood Area	White Alone	Black or African American Alone	American Indian or Alaskan Native Alone	Asian Alone	Pacific Islander Alone	Some Other Race Alone	Two or More Races Alone	Total Hispanic Population
Aurora/ Licton	3,750	353	88	647	25	186	278	406
BINMIC (Ballard Interbay)	980	36	14	55	4	29	38	64
Broadview-Bitter Lake-Haller Lake	2,521	153	51	463	13	78	154	208
Crown Hill/Ballard	6,969	146	100	344	30	176	365	447
Crown Hill/Ballard	1,761	39	33	135	3	35	85	88
Fremont	2,648	63	35	161	3	42	111	125
Greenlake	1,975	50	26	166	5	25	91	68
Greenwood/Phinney	698	40	11	94	1	20	44	51
Wallingford	3,727	76	28	226	23	50	146	158
Total	2,781	106	43	255	12	71	146	179
Southeast								
Neighborhood Area	White Alone	Black or African American Alone	American Indian or Alaskan Native Alone	Asian Alone	Pacific Islander Alone	Some Other Race Alone	Two or More Races Alone	Total Hispanic Population
Columbia City/Hillman City	876	1,480	92	1,591	45	194	343	355
MLK@Holly Street	484	1,306	34	2,124	113	178	300	299
North Beacon Hill	705	235	54	1,308	11	172	201	450
North Rainier	1,165	979	50	1,359	17	106	241	226
Rainier Beach	616	1,199	65	867	115	258	259	443
Total	769	1,040	59	1,450	60	182	269	355
Southwest								
Neighborhood Area	White Alone	Black or African American Alone	American Indian or Alaskan Native Alone	Asian Alone	Pacific Islander Alone	Some Other Race Alone	Two or More Races Alone	Total Hispanic Population
Admiral	949	21	10	35	3	20	34	46
Delridge	Data Not Available							
Duwamish	855	190	50	292	17	217	86	350
Georgetown	Data Not Available							
Morgan Junction (MOCA)	1,730	117	25	87	8	42	95	94
South Park	1,285	260	58	420	42	757	174	1,135
West Seattle Junction (FOJ)	2,541	126	45	197	19	137	133	271
Westwood/Highland Park	1,736	399	73	682	68	531	261	681
Total	769	1,040	59	1,450	60	182	269	355

Neighborhood Ethnicity								
West								
Neighborhood Area	White Alone	Black or African American Alone	American Indian or Alaskan Native Alone	Asian Alone	Pacific Islander Alone	Some Other Race Alone	Two or More Races Alone	Total Hispanic Population
Comercial Core	4,490	1,391	160	505	20	105	212	325
Denny Regrade\Belltown	6,485	686	149	698	15	165	341	432
Denny Triangle	942	306	55	106	12	47	102	129
DUCPG (Downtown Urban Center Planning Group) (Belltown, Denny Triangle, Commercial Core, Pioneer Square, International District)	13,734	3,114	495	2,764	62	434	951	1,222
Eastlake	3,114	85	24	245	8	27	118	97
International District	699	357	34	1,361	10	54	186	155
Pioneer Square	1,118	374	97	94	5	63	110	181
Queen Anne/Uptown	1,278	20	10	59	2	21	34	36
Queen Anne/Uptown	3,603	147	47	231	7	67	126	194
South Lake Union	1,035	179	29	84	2	19	58	66
Total	2,529	394	67	376	9	63	143	179

Neighborhood Ethnicity							
East							
Neighborhood Area	Less than 9th Grade	9th to 12th Grade, No Diploma	High School Graduate	Some College, No Degree	Associate Degree	Bachelor's Degree	Master's/Professional/Doctorate Degree
Capitol Hill	280	612	1,512	3,155	1,154	5,373	2,350
Central (12th Ave, 23 & Jackson, Madison-Miller)	179	232	210	369	170	335	109
Central (12th Ave, 23 & Jackson, Madison-Miller)	755	801	972	1,196	351	1,015	410
Central (12th Ave, 23 & Jackson, Madison-Miller)	67	229	387	527	157	821	411
First Hill	495	743	1,228	1,574	371	1,685	883
Pike/Pine	49	147	408	699	269	819	318
Total	304	461	786	1,253	412	1,675	747
Northeast							
Neighborhood Area	Less than 9th Grade	9th to 12th Grade, No Diploma	High School Graduate	Some College, No Degree	Associate Degree	Bachelor's Degree	Master's/Professional/Doctorate Degree
Northgate	111	342	906	954	349	1,007	526
North Neighborhoods/Lake City Way	69	105	331	347	113	379	250
Roosevelt	0	12	132	244	100	621	477
University (Ravenna, U-District NW, U-District Campus)	8	55	101	169	48	444	314
University (Ravenna, U-District NW, U-District Campus)	42	167	385	992	291	1,490	1,266
University (Ravenna, U-District NW, U-District Campus)	0	0	9	37	59	187	154
Total	38	113	311	457	160	688	498

Neighborhood Ethnicity							
Northwest							
Neighborhood Area	Less than 9th Grade	9th to 12th Grade, No Diploma	High School Graduate	Some College, No Degree	Associate Degree	Bachelor's Degree	Master's/Professional/Doctorate Degree
Aurora/ Licton	122	278	664	831	329	1,149	432
BINMIC (Ballard Interbay)	17	27	127	208	70	291	157
Broadview-Bitter Lake-Haller Lake	126	200	749	619	165	571	233
Crown Hill/Ballard	191	543	1,241	1,469	380	1,865	744
Crown Hill/Ballard	45	96	309	317	120	491	217
Fremont	41	63	179	436	194	955	638
Greenlake	82	42	198	335	111	733	383
Greenwood/Phinney	12	37	124	145	50	210	106
Wallingford	22	78	303	504	188	1,438	827
Total	73	152	433	541	179	856	415
Northeast							
Neighborhood Area	Less than 9th Grade	9th to 12th Grade, No Diploma	High School Graduate	Some College, No Degree	Associate Degree	Bachelor's Degree	Master's/Professional/Doctorate Degree
Columbia City/Hillman City	566	405	686	505	162	329	172
MLK@Holly Street	573	381	677	426	140	380	89
North Beacon Hill	344	233	436	360	148	352	73
North Rainier	402	408	508	518	198	552	276
Rainier Beach	352	313	575	408	92	215	177
Total	447	348	576	443	148	366	157
Southwest							
Neighborhood Area	Less than 9th Grade	9th to 12th Grade, No Diploma	High School Graduate	Some College, No Degree	Associate Degree	Bachelor's Degree	Master's/Professional/Doctorate Degree
Admiral	23	28	141	258	46	292	113
Delridge	Data Not Available						
Duwamish	120	203	320	301	67	201	63
Georgetown	Data Not Available						
Morgan Junction (MOCA)	33	97	314	424	139	499	164
South Park	364	358	621	303	89	76	32
West Seattle Junction (FOJ)	140	196	492	614	229	674	249
Westwood/Highland Park	270	282	587	603	166	362	68
Total	158	194	413	417	123	351	115

Neighborhood Ethnicity							
West							
Neighborhood Area	Less than 9th Grade	9th to 12th Grade, No Diploma	High School Graduate	Some College, No Degree	Associate Degree	Bachelor's Degree	Master's/Professional/Doctorate Degree
Comercial Core	297	1,307	1,477	1,107	245	844	548
Denny Regrade\Belltown	200	613	821	1,386	402	2,219	1,199
Denny Triangle	91	94	289	400	114	219	50
DUCPG (Downtown Urban Center Planning Group) (Belltown, Denny Triangle, Commercial Core, Pioneer Square, International District)	1,246	2,540	3,582	3,849	971	3,807	2,009
Eastlake	36	43	150	506	187	1,456	659
International District	527	279	523	489	99	299	80
Pioneer Square	132	248	472	467	111	226	132
Queen Anne/Uptown	13	11	99	226	70	509	252
Queen Anne/Uptown	51	147	314	767	253	1,446	578
South Lake Union	46	33	211	410	79	322	71
Total	155	308	484	640	173	838	397

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*Select quotes presented in this research are intentionally left anonymous to protect the identity of the respondent.

Biographical Information

Megan O'Neal grew up in Dallas, Texas studied Architecture in Alabama, Political Science in Washington State, and received her Master's Degree in City and Regional Planning from The University of Texas at Arlington in 2013. Megan's desire to improve communication between professional planners and the public evolved from her interests in sustainability and the built environment. After graduation, she hopes to begin a fulltime career helping establish effective and meaningful participation practices in urban planning. While she has spent much of her life in Texas she has a thirst to travel again and is open to where life takes her.