

GOOD GOVERNANCE IN SUSTAINABLE HUMAN DEVELOPMENT:
A SUBNATIONAL CASE IN TURKEY

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ABSTRACT

GOOD GOVERNANCE IN SUSTAINABLE HUMAN DEVELOPMENT: A SUBNATIONAL CASE IN TURKEY

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The main purpose of this thesis is to make an investigation on the significance of *good governance in sustainable human development*, at the subnational level. For this purpose, a theoretical model which analyses the influences of a good local governance process on the actual and sustainable outcomes of a subnational development practice (program or project) based on the principles of sustainable human development (SHD) strategy. Then, a case study was performed on a SHD based subnational development program, namely *Linking Eastern Anatolia to Progress Program (LEAP)*, which was implemented in Turkey, in 2001-2006. As the major finding of the case study it is confirmed that *good local governance* has *significant* positive influences on the local SHD process that is enhancement of the human well-being, building local endogenous capacities of the localities via accumulation of economic, human and social capital, and local environmental sustainability. This result was in accord with the anticipations of the analytical model developed in the model.

Keywords: Good Governance, Sustainable Human Development, Local Development, Participative Development, Linking Eastern Anatolia to Progress (LEAP)

ÖZ

SÜRDÜRÜLEBİLİR İNSANİ KALKINMADA İYİ YÖNETİŞİMİN ROLÜ: TÜRKİYE'DEN YEREL-BÖLGESEL BİR ÖRNEK

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Bu tezin temel amacı *iyi yönetişimin*, yerel-bölgesel düzeyde *sürdürülebilir insani kalkınma* sürecindeki yeri ve önemini araştırmaktır. Bu amaçla, bir iyi yerel yönetişim sürecinin sürdürülebilir insani kalkınma stratejisi temelinde gerçekleştirilen bir yerel-bölgesel kalkınma uygulamasının (program ya da proje) çıktıları üzerindeki etkilerini analiz eden teorik bir model kurulmuştur. Ardından Türkiye’de 2001-2006 yıllarında sürdürülebilir insani kalkınma temelinde gerçekleştirilen bir bölgesel kalkınma programı olan, Doğu Anadolu Kalkınma Programı (DAKAP) üstünde bir örnek olay incelemesi gerçekleştirilmiştir. İncelemenin temel bulgusu olarak, iyi yerel yönetişim süreçlerinin yerel-bölgesel düzeyde sürdürülebilir insani kalkınmaya pozitif katkıları olduğu gözlenmiştir. Bu bulgu tezde geliştirilen analitik modelin öngörleriyle tutarlıdır.

Anahtar Kelimeler: İyi yönetişim, Sürdürülebilir insani Kalkınma, Yerel Kalkınma, Katılımcı Kalkınma, Doğu Anadolu Kalkınma Programı (DAKAP)

To My Mother

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LIST OF ABBREVIATIONS

ABİGEM	EU Turkish Business Development Centers Network
ANAP	Motherland Party
BEKDER	Bayburt Science, Education and Culture Association
BELDES	The Project for Supporting the Infrastructure of the Municipalities
BGUS	National Strategy for Regional Development
BOTAŞ	Petroleum Pipeline Corporation
BŞYD	Bayburt Poets and Writers Association
BTC	Project Directorate of Bakü-Tiflis-Ceyhan Crude Oil Pipeline
BTSO	Bayburt Chamber of Trade and Industry
BVSD	Bayburt Association for Fighting Tuberculosis
BYKP	Five Years' Development Plan
CHP	Republican People's Party
ÇKA	Çukurova Development Agency
DAGİDES	Eastern Anatolia Entrepreneurship Support Project
DAKAP	Linking Eastern Anatolia to Progress Program
DAKP	Eastern Anatolia Regional Development Program
DAP	Eastern Anatolia Regional Development Plan
DATUR	Eastern Anatolia Tourism Development Project
DATÜB	Eastern Anatolia Union of Agricultural Producers and Stockfarmers
DOKAP	Eastern Black Sea Regional Development Plan
DP	Democrat Party
DPT	State Planning Organization (former)
Eğitim Sen	Education and Science Workers' Union
ER-KADIN	Erzurum Association of Entrepreneur Women
ETSO	Erzurum Chamber of Trade and Industry
ESOB	Erzurum Union of the Chambers of Artisans and Craftsmen
EU	European Union

EU TTF	European Union Thematic Trust Fund
FAO	UN Food and Agriculture Organization
GAP	South-Eastern Anatolia Project
GAP-BKP	GAP Regional Development Program
GAP-GİDEM	Project for Small and Medium Enterprise Development in South Eastern Anatolia
GAP-RDA	South Eastern Anatolia Project Regional Development Administration
GDP	Gross Domestic Product
GİDEM	Entrepreneurship Support Center
GNP	Gross National Product
GVA	Gross Value Added
HDI	Human Development Index
HDR	Human Development Report
ILO	International Labor Organization
IMF	International Monetary Fund
HABITAT II	Second UN Conference on Human Settlements (1996)
İKK	County Development Council
İŞKUR	Turkish Labor Agency
İZKA	İzmir Development Agency
KAGİDER	Women Entrepreneurs Association of Turkey
KKKP	Participatory Rural Development Project
KOSGEB	Administration of Small and Medium Size Enterprise Development and Support
KOP	Konya Savanna Development Project
KÖİ	Public and Private Sector Cooperation
KÖY	Districts with Priority in Development
KÖYDES	The Project for Supporting the Infrastructure of the Villages
KWS	Keynesian Welfare State
LA 21	Local Agenda 21
LDA	Local Development Agency
LGP	Local Governance Process
MDGs	Millenium Development Goals

MESİNDER	Association for Redounding Vocations and Human Resources Development
MNC	Multinational Corporation
NABUCCO	Nabucco Gas Pipeline International GmbH
NAFTA	North American Free Trade Area
NGO	Non-governmental Organization
NIC	Newly Industrialised Countries
NIE	New Institutional Economics
NPM	New Public Management
NUTS	The Nomenclature of Territorial Units for Statistics
NUTS 2	The second level of the NUTS system for classifying the regions
OECD	Organisation for Economic Co-operation and Development
OID	Organized Industrial District
ÖUKP	Turkish Preliminary National Development Plan
PCM	Project Cycle Management
PGM	Participative Governance Mechanism
QUANGO	Quasi Non-governmental Organization
R&D	Research and Development
RDA	Regional Development Agency
SDP	Subnational Development Practice
SEE	State Economic Enterprise
SHD	Sustainable Human Development
SME	Small and Medium Size Enterprises
SODES	The Ministry of Development Social Support Programme
SRAP	Prime Ministry Project for Reducing the Social Risk
SÜRKAL	Sustainable Rural and Urban Development Association
TEMA	The Turkish Foundation for Combating Soil Erosion, for Reforestation and the Protection of Natural Habitats
TESK	Confederation of Artisans and Craftsmen Chambers
TKB	Turkish Women's Union
TNC	Transnational Corporation
TOBB	The Union of Chambers and Commodity Exchanges of Turkey

TRA1	The NUTS 2 region which involves Erzurum, Erzincan and Bayburt
TRA2	The NUTS 2 region which involves Ardahan, Kars, Ağrı, Iğdır
TSD	Turkish Disabled People's Association
TÜGİAD	Turkish Young Businessmen Association
Türk-İş	Confederation of Turkish Trade Unions
UK	United Kingdom
UN	United Nations
UNCDF	United Nations Capital Development Fund
UNCTAD	United Nations Conference on Trade and Development
UN/DESA	United Nations Division for Social Policy and Development
UNDP	United Nations Development Program
UNECLA	United Nations Economic Commission for Latin America
UNEP	United Nations Environment Program
UNGA	United Nations General Assembly
UN-HABITAT	United Nations Human Settlements Program
UNOPS	United Nations Office for Project Services
UNSG	United Nations Secretary General
USA	United States of America
WB	World Bank
YDTA	Prime Ministry Investment Support and Presentation Agency
YHGP	Yeşilirmak Basin Development Plan
ZBKP	Zonguldak-Bartın-Karabük Regional Development Project

CHAPTER 1

INTRODUCTION

The current global agenda on development has been an outcome of a historical evolution of the *developmentalist thought*, since 1945. This evolution had a route from the *developmentalist optimism* and *Eurocentric modernizationism* of the early post-War era (1945-73); ¹ towards a fading and loss of popularity, during late post-War era (late 1970s and 1980s), when rather a pessimistic and critical attitude against the idea of development took over, along with the crisis of Atlantic Fordism and the Fordist international configuration, all over the world (Mandel 1995: 76-77; Başkaya 2000: 10). ² Then a refreshed developmentalist optimism and interest about the socioeconomic and political development of the 3rd World countries had emerged, as of late 1980s, and specifically during 1990s, along with the emergence of the era of post-Fordist expansion of the world economy, and the post-Wall glocalization.

However, this time, by virtue of the strong criticisms of the past decades from various theoretical sources, developmentalism has evolved towards *a new perspective*, which has articulated developmental concerns with concerns on social justice, human rights, gender issues, participation, cooperation, civil society, democracy and environmental sustainability. The new developmentalist perspective also involves a specific concern on the development of the *subnational tiers* (regional and especially local levels) of the national territory; and emphasizes a *bottom-up* approach where the *endogenous development capacities of the localities* came forth, as the leading force of the regional and national development.

¹ In this thesis, *developmentalism* would simply denote the optimistic, trustful and favorable ideological attitude; and the resultant political initiatives towards socioeconomic and political development of societies (Keyder 2004: 9). And *modernizationism* would signify two related phenomena: on the one hand, the Eurocentric perspective of the “Modernization School”, which dominated the early post-War era intellectual sphere; and on the other hand, an older and more widespread tendency built on such a Eurocentric perspective and developmentalist optimism, which had been seen among the anti-colonialist intelligentsia -who became the modernizationist ruling elite- of the late-comer developing countries, in the 19th and 20th centuries (So 1990: 53-57, 131-134; Köker 2000: 27-38).

² During this era, strong criticisms from various perspectives of thought arose against developmentalism and modernizationism. The long term concerns of development, like industrialization, domestic market structuration, employment creation, planning and welfare lost their importance; and some monetarist concerns and neoliberal prescriptions on price stability, structural adjustment and liberalization had been imposed to the developing countries of the 3rd World, in accord with the so-called Washington Consensus, up to mid-1990s (Başkaya 2000: 10-12, 16-17, 35-39; Şenses 2003a: 15-17; Chang and Grabel 2005: 11-15; Sönmez 2005: 327-358; Chang 2009: 15; Saad-Filho 2007: 191-192).

Sustainable Human Development (SHD), a normative *development paradigm*, is one of the successful products of the new developmentalist perspective of 1990s, which “puts people at the centre of development, regards economic growth as a means and not an end, protects the life opportunities of future generations as well as the present generations and respects the natural systems on which all life depends” (UNDP 1994: 4). It has been developed by United Nations Development Program (UNDP) circles, in order for articulating the economic and humanitarian/egalitarian development claims with the ecological claims of environmental sustainability, and with a clearer emphasis on ecological and humanistic perspectives and gender issues.

Yet, SHD paradigm and strategy can still not be wholly immune to the radical critiques of political ecology and eco-Marxist standpoints (Şahin 2004; Merchant 1992; Sachs 2007a; Sachs 2007b; Başkaya 2000: 211-221), because it still anticipates the necessity of economic growth to a certain level in favor of human empowerment and well-being; and it still suggests a capitalist-market model for development, despite anticipating government interventions in the name of social justice. Nevertheless, SHD paradigm puts a stronger emphasis on the humanitarian, democratic, ecological and gender aspects of development than the developmentalist paradigm of the early post-War period. It gives the highest priority to poverty reduction, productive employment, social integration and environmental regeneration. It regards economic growth as a means but not an end; and despite from rather an anthropocentric viewpoint, it values nature on which all life depends. It specifically addresses the poor countries in the world, and the disadvantaged social groups in the countries, like the poor, the disabled, minorities, women and the youth, as the main targets of a series of social policies and practices for poverty reduction and elevation of deprivations (Anand and Sen 1994: 6-19; Canzanelli and Dichter 2001: 9-11; UNDP/UNCDF 2010: 5-6; UNDP 1994: 4; 1997; 1998a; 1998b; 2000; 2011b; Ünver 2001). Besides, it insists on expansion of human freedom and participatory democracy; and emphasizes *agency* (participation and control) of the people over the development process (Dreze and Sen 2002: 6-11).

UNDP played a unique role in the process of evolution of new developmentalist paradigms and strategies, which attempted to articulate the economic, social, political, humanitarian and environmental dimensions of development (Vaillancourt 1995: 221-222). Thus, although its first full formulation was made in the Human Development Report (HDR) of 1994, SHD was an outcome of this process, after a series of predecessor

concepts (eco-development, sustainable development and human development) which have been formulated in the name of the same purpose, since Stockholm Conference (1972). In the end, it may be considered as a final answer of UNDP to a variety of critiques against the modernizationist specters of the previous decades (Vaillancourt 1995: 222-224; Keleş ve Hamamcı 2002: 163-165; Elliott 1998: 15-16; Merchant 1992: 212-227).

In fact, SHD paradigm is the synthesis of the *human development* and *sustainable development* approaches both developed by UNDP (UNDP 1994: 13). Human development approach is based on Amartya Sen's *capabilities theory* in the core. It is a perspective, which focuses on enhancement of *human well-being* (UNDP 1990: 1). Sen (1992: 39-40) defines *well-being* as a personal state which is basically related to *actual well-being achievements* that is achievement of one's reasonably valued *beings* (personal states and qualifications), *havings* (goods, services and other assets) and *doings* (activities) that could lead one's personal utility, via satisfaction of his/her needs.

But for Sen, human well-being is also -and may be more- related to one's *capabilities* and *substantive freedoms*. Capabilities are one's potential achievements (opportunities) which are actually reachable for him/her (Sen 1992: 40). Equivalently, they are one's achievable opportunities that he/she has the substantive freedoms to choose and achieve. Sen distinguishes two categories of freedom (Sen 1985; 1988). The first category is *rights and liberties*, like ownership rights, commercial rights, freedom of contract, freedom to work, freedom to travel, rights of basic health and education, freedom of association, universal suffrage, and the like. Liberties are *negative* in the sense that they signify *legal-formal freedoms from* suppression or coercion of authority and other agents. Sen suggests that *liberties* (formal freedoms) are necessary but not sufficient for human well-being. One should enjoy *substantive (positive) freedoms* that is his/her real power or capacities which are actually exercised as means "to lead the kind of life he or she has reason to". These are real freedoms, like *freedom to have actual means for living a healthy life up to old ages; and to have actual control over one's own goals, life and livelihoods* (Sen 1985: 201-202, 216-220; 1988: 47-51, 56-57).

Sen defines two types of specific substantive freedoms related to one's personal well-being, as *well-being* and *opportunity freedoms*. Well-being freedom is the *actual capacity to achieve* any of the opportunities out of a *capability set*. One's capability set is the set of vectors of his/her capabilities; in other words it covers all achievable vectors of

opportunities he/she is free to reach (Sen 1992: 40). *Opportunity freedom* which is the *actual capacity to choose* from the achievable vectors of opportunities within one's capability set towards the kind of life he or she has reason to (Sen 1985: 185-202; 1988: 58-61). One's well-being depends on his/her well-being and opportunity freedoms and the level of his/her *capability set*. The level of one's well-being and opportunity freedoms are *reflected* by the level of his/her *capability set* which is related to both the availability and achievability of opportunities (Sen 1985: 201-202; 1992: 40).

On the other side, one's capability set is also built upon the substantive freedoms (actual capacities) provided by one's already achieved personal qualifications (health, knowledge, abilities, skills, talents, etc) and resources (goods, services and other assets). So, there is a "mutual dependency" between achievements and capabilities (Gandjour 2008). As one gets actual achievements both his/her actual well-being increases and his/her freedoms -thus capability sets- expand parallelly, by virtue of the actual achievements which can be functioned as means (personal qualifications and resources) of achieving wider set of life opportunities (vectors of achievable opportunities) (Clark 2005: 1344-1345; Gandjour 2008).

In fact, this is the expected process of human development. Then, human development has both achievement/well-being and capability/freedom dimensions, which are simultaneous and mutually dependent. More specifically, *human development* is basically about enhancing people's *actual well-being* that is providing people, specifically the disadvantaged individuals and groups, with individual and collective achievements of various types; and meanwhile *empowering* them by building/expanding their freedoms (thus capabilities) to choose and achieve the opportunities they reasonably value out of a set of achievable opportunities, towards enhancing their well-being further (UNDP 1990: 1, 9; 1994: 4; 1997; Anand and Sen 1994: 6-19; Keleher 2007: 98-103).

According to Sen (1985: 203), there is one other aspect of substantive freedoms and empowerment, namely the *agency* of people. In its ethical sense, agency refers to one's *actual control* over determination of what is good and right to achieve, on his/her own reasonable justification; and *the power* to pursuit and achieve those things that he/she has reason to value (Sen 1985: 208-212; 1988: 40-45). Human development necessitates *empowerment* of people via expansion of their *agency freedom* to determine their own goals in accord with their *autonomous* and *rational choices*; and to pursue and achieve those goals in various aspects of life, for leading worthwhile lives. Agency of people also

involves their *process freedom* which is concerned with the procedures or *processes* through which the achievements comes about. Thus, human development anticipates empowerment of people by expansion of their *process freedom* to participate and have *actual control* over the process of decision and execution of the goals (or policies), which will influence their own lives and livelihoods, as well (UNDP 1990: 6; 1994: 19-21; 1997; Sen 2002: 585; Dreze and Sen 2002: 6-11; Keleher 2007: 115-122).

SHD paradigm also addresses both intragenerational and intergenerational equity; and thus *sustainability* of economic and human development for both present and future generations (UNDP 1994: 4). Sustainability necessitates *building endogenous capacities* within the whole society towards further economic growth, further well-being achievements, further generation of wealth and life opportunities, and further empowerment (UNDP 1994: 17-21; Bloom et.al. 2001: 53-63).

Sen (2004: 27-36) considers *freedoms* as both valued *ends*, as actual well-being achievements; and *means* of development. As the human development process goes on actual achievements of people alleviates poverty and other deprivations they face; and empowers them with not only capabilities and agency –thus well-being and agency freedoms- as means of achieving their personal well-being and agency goals; but also with an *agency* in the sense of *process freedom* to take active roles and actual control over the SHD process, in the whole society. *Agency of people* is the key *endogenous capacity* of the society, towards a most desired path of economic and human development (Dreze and Sen 2002: 6-11; Anand and Sen 1994: 6-19).

In addition, a development path may be sustainable only if it ensures that the stock of overall capital assets remains constant or increases over time (Ünver 2001: 3). Then, sustainability necessitates replenishing (maintaining the existing and accumulating new) *capital assets*, as valuable *endogenous development capacities* of the whole society. Thus, SHD paradigm anticipates contributing to the *accumulation of economic, human, and social capital assets*, and *maintenance of natural capital* as valuable resources for the future generations; and protection and regeneration of *human livelihoods* and the *natural environment* as the basis of all life (UNDP 1994: 17-21; Bloom et.al. 2001: 53-63).

In the end, SHD paradigm implies a *development strategy*, which concentrates on two essential goals as:

- i. *actual human development* that is enhancing people's *actual well-being* by providing them with achievements and available opportunities; and *empowering* them, by expanding their *capabilities (well-being and opportunity freedoms)* to choose and achieve some of the available opportunities for enhancing their own well-being further; and by expanding their *agency (agency and process freedoms)* to determine and pursue their personal goals; and to have actual control over making and execution of the decisions concerning their own lives and livelihoods;
- ii. *building endogenous capacities* in the society towards *sustainability of human development* in benefit of the future generations, by expanding *agency of people* to take roles and control over the long-term SHD process; and by contributing to the *accumulation of economic, social and human capital*, and *sustainability* of natural and human *environment*.

Besides, SHD strategy anticipates economic policies for *acceleration of economic growth* as a mean to provide opulence that is abundance of goods and services, physical/financial resources and technologies; and available opportunities of jobs and income. But, since there is not an automatic link between growth and human development, SHD anticipates *intentional social policies*, as links, concentrated on poverty reduction and elimination of socioeconomic and other types of deprivations. Social policies aim at poverty reduction, by translating growth into actual achievements and achievable opportunities of material, substructural, socioeconomic, physical/financial and technological types, in favor of the people, specifically of the poor and disadvantaged social groups. They also aim at providing these groups with a series of cultural, institutional, organizational, legal, political and societal achievements in order to eliminate or alleviate the other sources of deprivations they confront, like illiteracy, disabilities, gender inequalities, cultural, racial and ethnic discriminations, political suppression, political conflicts and war (Anand and Sen 1994: 6-19; UNDP 1994: 1-4).

SHD strategy emphasizes the close relation between development, welfare and democracy issues; and suggests and supports *social policies* for developing *participatory democracy*. These policies anticipate expansion of human rights and freedoms; expansion of the channels of democratic deliberation and participation, decentralization and devolution of authority; improvement of institutional and participative capacities of the NGOs; integration and strengthening of civil society and promotion of *good governance*

relations at all tiers of public administration (UNDP 1990: 1, 6, 10-11, 16; 1994: 19-21; 1997; 1998a: 14; 1998b; 6-9; 2000: iii; 2003a: 14-15; Atkinson 2000: 10-11, 17).

There is expected to be a *sustainable cycle* between economic growth and human development, first by mediation of the social policy practices; and in turn by the agency of people, during the everlasting SHD process. As the SHD process goes on, the social policy practices are expected to serve the actual well-being of the disadvantaged target groups (that is actual human development), by translating growth into actual achievements and resultant freedoms (capabilities and agency) to achieve their personal well-being opportunities and agency goals. Meanwhile, they would also serve building endogenous capacities within the society for sustainability of economic and human development, via the achievements they provided to the disadvantaged people which would empower them with a *sustainable agency* in the sense of process freedom to take active roles and actual control over the everlasting SHD process in the society.

By the way, the personal and collective achievements, and the new available opportunities expected to be created by economic and social policy practices would provide accumulation of *economic, human and social capital assets* within the society, as sustainable endogenous development capacities. Besides, environmental policy practices would contribute to endogenous capacities, by maintenance of the natural capital, natural environment and human livelihoods. In turn, the expanded *freedom and sustainable agency of people* is expected to be the motor force for future economic and human development of the society, by exploiting the sustainable human, social, economic and natural assets, as resources (Sen 2004: 27-36; Dreze and Sen 2002: 6-11; Anand and Sen 1994: 6-19).

The *good governance relations* are proposed to have a specific role in the SHD based policies and practices, which adopt a participative development perspective (UNDP 1997). In relation to the SHD based policies, good governance relations are expected to expand people's *agency* in the sense of *process freedom*. This implies enabling people to *participate* and have *actual control* over the objective-making, planning and implementation of the policies and practices, in accord with their own development needs and priorities. In addition, they enable them to take active roles in the implementations, which influence their own private lives, livelihoods and well-being, via partnerships. As Dreze and Sen (2002: 6-11) emphasizes, the agency of people has an important role in a participative development process for realizing the goals of actual and sustainable human

development. People are expected to have a chance to attain their most valued achievements, opportunities and capabilities to enhance their future well-being, in the best way they value, by virtue of their participation and control over the SHD process. They are also expected to get more agency freedom to determine and pursue their own reasonably chosen development goals. Consequently, good governance relations are expected to contribute to the success of the SHD process positively, by mediation of people's agency (UNDP 1997).

Good governance is rather a more contemporary term implying the *governance relations*, which involve certain normative qualifications, like *participativeness, rule of law, equity, transparency, responsiveness, accountability, consensus orientation, strategic vision, efficiency and effectiveness* (UNDP 1997). On the other hand, *governance* is in fact a very old term which was once used in 13th Century French, as “*gouvernance*”, to mean “art of governing” (Insel 2004:128). After centuries of sleep, the term had a resurrection in 1980s, within the neo-institutional and neo-liberal perspective of *New Institutional Economics (NIE)* as *corporate governance*, implying that firm management should be a *governance process* which would deal with the transaction costs and other institutional conditions in order to optimize its profits; then within a New Right project, called *New Public Management (NPM)*, which suggests what corporate governance necessitates in the public administration that is restructuring the state as a *minimal and entrepreneurial government* (Williamson 1991: 54-57, 80; De Alessi 1991: 45-50). NPM also suggests a *governancial way of public administration*, where making and implementation of socioeconomic policies would be open to participation and cooperation of the elements of the private and the third sector (NGOs), at both national and subnational tiers (Ataay 2007: 17-27).

1980s were the years when the crisis of Fordism deepened the most. Besides, the advancement of the *transnational corporations (TNCs)*, the service and financial sectors, and the worldwide process of commercial and financial liberalization paved the way for economic globalization. In this new era, *Keynesian Welfare State (KWS)* lost most of its regulatory functions and capacities in order to play the main cast in the flexible relations of fast globalizing post-Fordist capitalism and some new regulatory mechanisms were necessary. So, during 1980s, the *subnational governance relations* have begun to spread along with the spread of subnational clusters of flexible just-in-time producer small and medium size enterprises (SMEs) within the Western and NIC (newly industrialized

country) economies;³ and with the spread of NPM within Western national and subnational administrative structures, under the rule of neoconservative-neoliberal governments. Meanwhile, with the advancement and spread of the larger scale flexible inter-firm relations –like Toyotism- the commercial governance relations began to accelerate and exceed the national borders towards a global character. In the end, both *subnational* and *global governance networks* of self-organizing partnerships for a variety of purposes (commercial, social or cultural) have begun to fill the gaps left from KWS and play regulatory roles, in various fields, by the end of 1980s.

During early 1990s, after the socialist block collapsed and the Wall was thorn down, both processes of globalization and localization had run faster, and both subnational and global governance networks spread to various parts of the Third World by virtue of the neoliberal prescriptions of the Washington Consensus era. In the end, the post-Wall global configuration has articulated (Jessop 2005: 294-295, 319-325, 353-355). This process is also called as *glocalization* in its sum (Tekeli 2006b: 439).

Along with the advancement of the glocalization process and with the spread of the NPM regime, local (micro) and the regional (meso) level administrative units have gained importance against national government (Mele 2004: 2-3; Martin 2010: 3). Nation-states have begun to restructure their public management systems towards *decentralisation* and *devolution of authority* to subnational political-administrative entities according to the principal of *subsidiarity*; and they have opened subnational tiers of public administration to the participation of private sector, NGOs, local communities and the international stakeholders of multi-level global governance partnerships, in varying degrees (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008).

Region had been the dominant term within the world literature on development in subnational sociospatial units, from 1950s to the end of 1980s. However, as the glocalization process advanced, localities had come forth and the term *local* had become more important than the term region, specifically with respect to subnational development issues. This is why the new developmentalist perspective which has evolved during

³ Some pioneering forms of subnational governance relations had already emerged, along with the emergence of the clusters of SMEs and the flexibly organised interfirm relations among them, especially in Northern Italy, in 1970s. These relations involved self-governing partnership networks built upon casual contracts for just-in-time production; sectoral/professional chambers or NGOs among local/regional clusters of SMEs; and horizontally constructed (non-hierarchical), participative and dynamic governance mechanisms (Piore and Sabel 1984: 265-267).

1990s, involves a concern on the *subnational development* and a *bottom-up* approach where endogenous local development has been considered to be the basis and leading force of regional and national development (Eraydm 1992: 25-26; 2002: 5-11; 17-18).

This perspective has led the way to the emergence of a new generation of subnational (regional and/or local) development policies which have shared some common characteristics in their essence, all over the world, as of late 1980s. This new generation of subnational development policies and related field practices are usually covered under the title of *new subnational development policies*. As a historical phenomenon, national governments, subnational authorities and a series of international organizations, like Organisation for Economic Cooperation and Development (OECD), European Union (EU), World Bank (WB), and United Nations (UN) organizations, like UNDP, UN Conference on Trade and Development (UNCTAD), UN Capital Development Fund (UNCDF) and International Labor Organization (ILO) have introduced and made practices of their new subnational development policies.

These policies and related practices basically rely on the *endogenous development of the localities*. At the regional level, they exhibit a shift from the traditional purpose of eliminating *regional disparities* in the name of social justice; to a vision of creating *competitive regional economies* via simultaneous development of all regions, by bestirring their own *local endogenous capacities* that is mobilization of local actors and idle resources. They are in favor of employing *knowledge-intensive soft instruments*, like supervision and training, rather than *hard instruments*, like direct investments or credits, for *local capacity building*; and paying attention on environmental questions.

New subnational development policies also favor *decentralization* and *devolution of authority* towards regional and local administrative tiers for effective steering of the *subnational development practices (SDPs)*, like regional/local development programs and projects, autonomous from the national governments; and adopt a *participative development perspective*, which anticipates a bottom-up, multi-level good governance process functioning by participation, deliberation, compromise and cooperation of a number of diverse local, regional, national and international stakeholders, in all stages of the SDPs. The main responsibility of steering these practices, and the related multi-level governance processes and partnerships shifts from the techno-bureaucratic central government institutions to autonomous subnational public or semi-public bodies (like

local/regional public authorities and regional development agencies) and NGOs (Halkier 2006: 4, 9-10; Canzanelli and Dichter 2001: 9-11).

The *Seventh Five Years' Development Plan (Seventh BYKP)*, which was implemented during 1995-2000 period, had been the first one which the new developmentalist perspective and the new subnational development policies began to influence the agenda of Turkish development policies and practices.⁴ The major stimulus for this was the influence of the *EU regional development paradigm*, which became influential in Turkey with the incentive of a successful integration to EU, specifically after the Customs Union Treaty, in 1995.⁵ By the influence of EU regional development paradigm, the older purpose of overcoming regional disparities began to leave its place to creating competitive regional and local economies ready to integrate to the European and global markets, as of 2000s.⁶ Fostering the participation and cooperation of the local non-governmental institutional actors, like NGOs, professional chambers, SMEs and citizens to the subnational development planning and implementation, through participative regional and LGPs and multi-level governance partnerships; and the use of the soft-instruments for local capacity building began to gain importance, in the new generation of Turkish subnational development policy design (Arslan and Demirel 2010: 55, 58-61; Ertugal 2005: 4-6).

The incentive of a successful integration to EU also forced Turkey to adopt the EU statistical system called as "*Nomenclature of Territorial Units for Statistics (NUTS)*" for identification of regions, in 2002; and the "*Preliminary National Development Plan (ÖUKP)*", in 2003.⁷ Then, a set of 5 EU Grant programs had been implemented, during 2003-2006. Turkey has also adopted the EU subnational governance model structured around the *regional development agencies (RDAs)* as future institutional model, in 2006 (Kayasü and Yaşar 2006: 207). By 2009, 26 RDAs were officially established and became functional, by 2013.

⁴ BYKP: Beş Yıllık Kalkınma Planı

⁵ EU new regional development paradigm has majorly rested on the *endogenous development* approach, which proposed that subnational development should be built on endogenous local potentials of regions by mobilizing the local idle economic, social, natural and human capacities, since 1988 (Ertugal 2005: 4-6).

⁶ In Turkey, regional disparities have been a persistent phenomenon, since Early Republican Period. However, the first systematic regional development policies for overcoming regional disparities had been proposed in the 4 five years plans (BYKPs) of the *planned era*, during 1963-83 period (Akgöz 1994: 89; Şahin 1994: 110-111).

⁷ ÖUKP: Ön Ulusal Kalkınma Planı

Not only EU, but UNDP has also been supporting and engaging in multi-level partnerships in national development policies and practices, in Turkey, as of late 1980s. As stated above, SHD paradigm was developed in the UNDP circles; and UNDP field practices has been based on the SHD strategy, since 1990s. Consequently, at the subnational level, it has favoured the policy of supporting and participating to the implementation of some SDPs, which have shared a main common objective that is *localization* of the common universal development goals of the SHD strategy, all over the world including Turkey, since 1990s. Through localization, the universal strategic goals are contextualized and translated into local level objectives (Cain 1995; Murphy 2006: 267-268; Canzanelli and Dichter 2001: 2; UNDP 2003b: 48; 2007a: 8; 2009: 104; Demşek 2003: 60-61; Ünver 2001: 4-6).

SHD based SDPs may be distinct regional or local programs or projects which last for a certain time period and aim at triggering the SHD process in undeveloped, poor regions and localities of the countries. They may also be local project implementations of some SHD based regional development plans or programs; or regional/local level programs and projects related to some SHD based national policies or plans. In any ways, UNDP shares the common characteristics of the new generation of subnational development policies; and considers the development of the localities as the motor force of subnational development. Furthermore, it considers the localities as the basic unit of implementation even in SHD based regional development practices, since it has a specific purpose of localization of the SHD goals (Bloom et.al. 2001: 53-63; UNDP/UNCDF 2010: 5).

So, SHD based SDPs simply aim at *actual human development* and *building capacities* for sustainability of human development at the local level, as its core strategic pillars. They also anticipate *economic growth* as a mean of these main goals. In accord with new subnational development perspective, the projects within a SHD based SDP typically employ *soft instruments* like campaigns, trainings, demonstrations and supervision services. They may also employ *hard* ones, like direct in-kind aids and service provision on basic needs; investments on infrastructure and basic public services and institutions, physical/financial resource aids. Their main target groups are local producers, entrepreneurs, disadvantaged groups, public administrators and officials and representatives of NGOs.

SHD based SDPs involve *economic projects* whose major expected outcomes (objectives) are promoting entrepreneurship, boosting the local private sector, accelerating local economic growth, increasing production and generating opulence. They also involve *social projects*, whose major expected outcomes are *poverty reduction*, and *alleviation of the other deprivations* against the local target groups; improving the local public services and institutions on basic needs; *capacity building* by improving the phsyco-mental health conditions and personal qualifications of the target group members; encouraging them to establish project partnerships, grassroots organizations and sustainable local networks; providing trust and integration in the local civil society, and societal support and solidarity in the community. Finally, they involve *environmental projects* whose expected outcomes are maintaining local natural wealth and resources; regenerating human livelihoods and provoking awareness on environmental issues (UNDP 1994: 17-21; 2005: 10; Bloom et.al. 2001: 53-63; UNDP/UNCDF 2010: 5; Handoussa 2010: 34).

The expected outcomes of the project implementations of a SHD based SDP would be a series of new available opportunities, actual achievements and resultant expansion of the freedoms (individual and collective capabilities and agency) of the local target groups. The actual achievements and freedoms of the local target groups result in enhancement of their well-being that is actual human development. Meanwhile, they would also contribute to the local endogenous development capacities, by accumulation of economic, human and social capital within the local community; and maintenance of the local natural capital, human livelihoods and natural environment. In addition, the achievements of the target groups would empower them with an expanded *agency* in the sense of process freedom to take proactive roles and actual control over the long-term local SHD process. From the viewpoint of the SHD strategy, this expanded process freedom (agency) is expected to be both a short-term *end*, as an inalienable dimension of the actual well-being of the local target groups; and a sustainable *mean* for sustainability of economic and human development. Thus, it is also a valuable contribution of a SHD based SDP to the local endogenous development capacities (Sen 2004: 27-36; Dreze and Sen 2002: 6-11).

Then, at the end of its life-time, the net *short-term (actual) outcomes* of a SHD based SDP are expected to be summed under two main headings:

- i. actual enhancement of the *well-being* of the target groups;

- ii. actual contributions to local endogenous development capacities via
 - expanded agency of the local target groups to take proactive roles and actual control over the everlasting SHD process;
 - accumulation of economic, human and social capital assets in the local community;
 - local environmental sustainability.

The actual contributions of the SHD based SDP to local endogenous development capacities, namely the accumulated and maintained capital assets, and the expanded agency of the local target groups to take role and control over the everlasting SHD process are expected to be maintained in the locality as *sustainable endogenous capacities* for taking new steps on their *most desired* and *sustainable* path, along with the ever-lasting local SHD process that took start with the SHD based SDP. On this SHD path, the *sustainable agency* of the local target groups over the SHD process would be the key legacy of the SHD based SDP; and the driving force of the local community towards some *long-term (sustainable) outcomes*, like further well-being achievements and opportunities, sustainable accumulation of capital assets and environmental sustainability, after the end of the SHD based SDP.

These *sustainable outcomes* of SHD based SDP may again be summed under two main headings:

- i. sustainable enhancement of the *well-being* of the target groups;
- ii. sustainable contributions to local endogenous development capacities via
 - further accumulation of economic, human and social capital assets in the local community, and
 - local environmental sustainability, after the SDP.

SHD based SDPs also adopt a participative development perspective and involve *bottom-up, multi-level good governance processes*, in accord with the new subnational development policies. As stated above, the basic unit of implementation of the SHD based SDPs are localities; thus providing the *local agency* that is participation, control and cooperation of the *local target groups* and the *local individual and institutional actors* is essential for all SHD based SDPs. As a result, the basic units of subnational governance are the *local governance processes (LGPs)*, even in a regional

implementation area. LGPs are made of a series of local *participative governance mechanisms (PGMs)* and complemented by some local and multi-level *project partnerships*.⁸

In this thesis, *governance* denotes a *steering process* which functions to provide the participation, compromise and cooperation (partnership) of diverse actors of public sector, private sector and civil society towards some common goals or tasks (Kooiman 1994: 36-48; Rhodes 1996: 658-661; Brown and Ashman, in Arikboğa 2004: 94-98). More specifically, in the context of SHD based SDPs, governance, or rather *local governance* denotes a participative, deliberative and cooperative *steering process*, which is majorly carried on by local/regional public, semi-public institutions or NGOs autonomous from the central government; which enables diverse local target groups and individual/institutional actors to participate and have control on the planning, implementation and monitoring of the projects, via PGMs; and which provides compromise and cooperation of local public, private and NGO stakeholders towards fulfilling the tasks of the project implementations via local and multi-level partnerships. This is also the working definition of local governance in this thesis.

The *main purpose* of this thesis is to make an investigation on the significance of *good governance* in sustainable human development, at the subnational level.

More specifically, the thesis aims to make an inquiry about the significance of good LGPs in the SHD process that is the process of human development (enhancement of human well-being) and capacity building (accumulation of economic, human and social capital and environmental sustainability), at the local and regional levels. SHD based SDPs are examples of field practices which aim at triggering an ever-lasting SHD process in the undeveloped localities and regions. So, the actual and sustainable outcomes of a SHD based SDP are their contributions to the local SHD process. SHD based SDPs also involve LGPs to trigger and sustain the local agency in the localities. Then, a focus on the SHD based SDPs is a proper choice to observe good governance in action and analyse its

⁸ Some key PGMs, like open public hearings, negotiations, discussion meetings, forums, fact-finding workshops, consultative/executive committees, councils and assemblies, involve face-to-face interactions and communication. There may be included some other PGMs, which don't necessarily involve face to face interactions and communication, like campaigns, base-line surveys, on-line questionnaires, public opinion polls, citizen report cards, local referenda, etc. in a participative SDP.

significance in sustainable human development, at the subnational level; provided that the LGPs actually reflect the normative qualifications of good governance.

Consequently, for this purpose, an abstract *analytical model* is constructed for analysing the major roles of a good LGP and its contributions to the actual and sustainable outcomes of a SHD based SDP, thus to the SHD process at the local level. This abstract model is constructed at the local level, because localities are the basic unit of implementation of a SHD based SDP; and an LGP is the basic unit of the governance process within a SHD based SDP, as stated above. The detailed model and its theoretical framework can be found in Chapter 7 on method and research design.

According to this analytical model, a good LGP within a SHD based SDP is not only expected to provide the *actual local agency* during the life-time of the SDP; but also expected to contribute positively to the maintenance of the *sustainable local agency*. The model also anticipates that a good LGP is also expected to transmit its positive influences on the *actual and sustainable outcomes* of the SHD based SDPs, -hence to the local SHD process- by *mediation* of the *actual and sustainable local agency*, respectively.

However, the contributions of the LGPs to the local agency and local SHD process, which are anticipated by the model are conditional. The success of an LGP in positively contributing to the local agency and local SHD process in a locality is strongly related to the level that it reflects the normative *good governance qualifications* continuously, throughout all stages of a SHD based SDP. And this is related to a series of conditions, which are called as the *conditions of good local governance*, in this thesis.

<p>So, this thesis has a <i>second objective</i>, complementary to the main one, as analysing the significance of these <i>conditions of good local governance</i> in the success of the LGPs in providing positive contributions to the local SHD process.</p>

For this purpose, the analytical model is cultivated by an additional *analytical framework* and formulation of two categories of conditions called as the *endogenous* and *exogenous conditions* of good local governance, which are introduced in Chapter 7 of this thesis, in detail. The *endogenous conditions* of good local governance are related to the qualifications of a series of *endogenous factors* within the LGPs, like participant selection, communication and interaction, and empowerment of the participants within the face-to-face PGMs (Fung 2006); performance of the steering bodies, and attitudes and behaviour of the public, private and civil participants throughout the process; and the

capacities of the stakeholders in the project partnerships (SNV/UNDP 2009; UNDP/UNCDF 2010; Bloom et.al. 2001). Qualifications of these endogenous factors with respect to the endogenous conditions of good local governance are the essential elements which characterize the qualifications of an LGP with respect to the good governance criteria; or simply characterize whether it is actually a good governance process. So, they are expected to be the main determinants on the success of an LGP in positively influencing the local agency and the local SHD process, in a locality.

The *exogenous conditions* of good governance are some preconditions of good local governance which are related to the *exogenous circumstances* surrounding the LGPs. More specifically, they are related to the partnership networks, the institutional infrastructure and integration of the civil society; the local politics and the relationships between the public authorities and the civil society; the level of decentralization in favour of the subnational tiers of public administration; and the national political structure and culture on decentralization and participatory democracy (Saltık and Açıkalm 2008: 155). The exogenous conditions do not directly characterize the actual goodness of LGP, but rather characterize the *capacities of the locality* for good governance; and they are expected to be a second category of determinants on the success of an LGP in positively influencing the local agency and the local SHD process, in a locality.

In the end, the analytical model becomes adequate for analysing the contributions of good local governance to the local agency and the local SHD process; and the significance of the conditions of good local governance in the success of the LGPs. Actually, there is an amount of literature supporting the claim that good governance processes have positive contributions to the success of the participative development practices (like SHD based SDPs) in realizing their objectives, by mediation of the agency of the people.⁹ In addition, there are many reports on participative SDPs in various countries; and technical documents on how to steer LGPs in SHD based SDPs, which are provided by UNDP and some other UN family organizations for development experts working in field. These reports and documents compile various experiences, in various countries. However, neither the mentioned literature nor these documents involve an attempt to synthesize an inclusive theoretical model for the analysis of the role and

⁹ See the following references: Anand and Sen 1994; Dreze and Sen 2002; Rietbergen-McCracken 2011; Eversole and Martin 2005a; 2005b; Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Meehan 2003; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008; Saltık 2008b; Saltık and Açıkalm 2008; : UNDP 1998a; 1998b; 2000; 2003a; 2003b; 2005; 2007a; 2007b; 2008; 2009; SNV/UNDP 2009; UNDP/UNCDF 2010; Bloom et.al. 2001; Canzanelli and Dichter 2001; Atkinson 2000; Handoussa 2010.

contributions of the LGPs to the local agency and local SHD process; and for analysing the conditions of the success of LGPs in the local SHD process, with respect to the good governance criteria.

The analytical model developed in this thesis is a significant attempt towards this purpose. Besides, it is also an attempt for synthesizing some theoretical work of the capability school; on governance and participative development; and a series of reported country experiences on SHD based SDPs. So, development of such an analytical model is a significant contribution both to the SHD paradigm; and to the field of participative development, at the subnational level.

On the other hand, there emerged some critical views against the success of the participative development perspective (Saltık and Açıkalın 2008:154), by the beginning of 2000s, because of the fact that there had exercised some trivial, problematic examples of governance processes, which could not induce a popular, widespread and democratic participation; and/or which could not result in a successful and sustainable take off towards development, at the subnational level (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008). But most of the problematic cases were related to the malfunctioning of the LGPs; and these problems might be overcome or derogated by improving their qualifications, with respect to good governance criteria (Eversole and Martin 2005a: 1, 4).

The analytical model developed in this thesis may be significant and helpful in analysing the reasons of the malfunctioning of the LGPs; and improve the success of the participative SDPs, by improving the qualifications of the LGPs involved.

Consequently, the thesis have a *third objective* as synthesizing some conclusions upon the significance of the conditions of good local governance in the *participative local development practices*; and deriving some theoretical implications upon the *participative development perspective* in general, by the help of the analytical model of this thesis.

In fact, LGPs (PGMs and project partnerships) are not employed only in participative development practices, at the subnational level. They may also be involved in local public administration; or in steering the partnership networks of local public, private and civil society actors towards execution of some common public tasks and projects. So, the analytical model developed in the thesis may be significant in deriving theoretical conclusions and implications for a series of other participative “mini-public”

affairs, which gather citizens in concrete venues to discuss or decide matters of public concern (Fung 2003; 2006) related to local public administration or some public tasks and projects, at the subnational level.

As a result, the *fourth objective* of the thesis is synthesizing some conclusions upon the significance of the conditions of good local governance in *participative local public administration* and *local partnership networks*; and deriving some theoretical implications upon *local governance and participative democracy*, by the help of the analytical model developed in this thesis.

On the other hand, SHD based SDPs are the field practices of the new subnational development policies of UNDP and some other UN family organizations, like UNCDF, UNCTAD and ILO.

So, the *fifth* and the *last objective* of the thesis is deriving some conclusions and theoretical implications on the *new developmentalist perspective* that the new subnational development policies rest upon.

In this thesis, to fulfil these five research objectives, a case study is performed on a SHD based SDP implemented in Turkey; namely the *Linking Eastern Anatolia to Progress Program* (DAKAP).¹⁰ The case study on DAKAP has some research themes inspired by the analytical model constructed in the thesis. These themes are:

1. a) Evaluation of the *exogenous circumstances* surrounding the LGPs within DAKAP, (the circumstances of the localities within the DAKAP implementation area) with respect to the *exogenous conditions* of good local governance.
- b) Evaluation of the *endogenous factors* in the LGPs within DAKAP, with respect to the *endogenous conditions* of good local governance.
2. a) Evaluating the level of the *actual local agency*, (*participation, control and cooperation* of the local target groups and the key local actors) in the localities, during the life-time of DAKAP.

¹⁰ DAKAP: Doğu Anadolu Kalkınma Programı

- b) Assessment of the relationship between the level of the actual local agency and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.
- 3. a) Evaluating the level of the *sustainable local agency*, (proactive role and control of the local communities over the everlasting local SHD processes) maintained in the localities, after DAKAP.
 - b) Assessment of the relationship between the level of the sustainable local agency and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.
- 4. a) Evaluating the actual contributions of DAKAP to the well-being of the local target groups; the accumulation of economic, human and social capital; and local environmental sustainability, in the localities, during its life-time.
 - b) Assessment of the relationship between the level of the actual outcomes of DAKAP and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.
- 5. a) Evaluating the sustainable contributions of DAKAP to the well-being of the local target groups; the actual accumulation of economic, human and social capital; and local environmental sustainability, in the localities, after its end.
 - b) Assessment of the relationship between the level of the sustainable outcomes of DAKAP and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.

DAKAP was initiated by Atatürk University and implemented during 2001-2006. The regional coordination was performed by the DAKAP Coordination Center (simply DAKAP Coordination), established in the University, in 2001. DAKAP had 3 main components:

- i. Participative Rural Development Project (KKKP): KKKP was steered by *Sustainable Rural and Urban Development Association (SÜRKAL)*; ¹¹ and implemented in the Şenkaya and Olur districts of Erzurum province; Susuz

¹¹ SÜRKAL: Sürdürülebilir Kırsal ve Kentsel Kalkınma Derneği is an Ankara based national association, specialized on preparing, implementing and supervising development projects. SÜRKAL aims at contributing to the local rural and urban development processes in the localities of Turkey which needs development initiatives the most. It adopts a human-centered strategy, based on creating repeatable models in the field with small scale, local projects. It is established by a group of social entrepreneurs, academicians and practitioners experienced in development issues, in June 2001. It employs a group of professionals specialized and experienced in local rural and urban development, and project management. But it is also open to volunteer contributions (<http://www.surkal.org.tr/aboutus.aspx>).

district of Kars province; Damal and Çıldır districts of Ardahan province; and 20 pilot villages of these districts.¹²

- ii. Eastern Anatolia Entrepreneurship Support Project (DAGİDES): DAGİDES was steered by DAKAP Coordination; and implemented in Erzurum, Bayburt and Erzincan city centers, and Pasinler and Oltu districts of Erzurum.¹³
- iii. Eastern Anatolia Tourism Development Project (DATUR): DATUR was steered by DATUR Coordination, made of UNDP officials and academicians from the Atatürk University İspir High School. It was implemented in İspir district of Erzurum; Yusufeli district of Artvin; and villages of these districts.¹⁴

DAKAP was chosen for the case study because of the following reasons:

- i. It explicitly proposed to follow the SHD strategy at the subnational level.
- ii. It had involved a series of LGPs in each pilot locality; so it provided an opportunity of comparative analysis among LGPs and outcomes of local project implementations.
- iii. UNDP had attributed DAKAP to be the *flag ship* among many other UNDP supported programs all over the world, in 2004 and 2005 (UNDP/AÜ 2005).

In the case study, the data was gathered by a semi-structured, qualitative interview design; from some textual material (brochures, booklets and reports) related to DAKAP; and by direct observations in the field. The interviews were performed in a research trip to the region, during 22 May-6 June 2010 period; and in some additional telephone contacts, in the following days. The interviews were recorded by a sound recorder; and the total recording time was over 1200 minutes. The average time for each interview had been around 20-25 minutes.

The major part of the *survey sample* was chosen to be the representative mouthpieces of the non-governmental institutional actors, like SMEs and non-governmental or quasi non-governmental organizations (NGOs and QUANGOs) which were supposed to represent various sectors of the local communities within DAKAP's implementation area.

¹² KKKP: Katılımcı Kırsal Kalkınma Projesi

¹³ DAGİDES: Doğu Anadolu Girişimciliği Destekleme Projesi

¹⁴ DATUR: Doğu Anadolu Turizm Geliştirme Projesi

¹⁵ The experts and officials of the steering bodies who once actively worked in the Program; and experts and academicians, who specialized in regional development, UNDP development practices, and/or made research and evaluations on DAKAP were also included in the sample. The resultant *survey sample* involved *59 participants*, in total. The participants are listed in Appendix B.

This thesis is made up of 10 chapters, including the Introduction (Chapter 1) and Conclusion (Chapter 12). Chapters 2 to 6 are for drawing the historical and conceptual framework of the thesis. *Chapter 2* aims at drawing a sociohistorical framework for the evolution of the current developmentalist perspective and related concepts employed in the thesis, since 1945. *Chapter 3* concentrates on the evolution and detailed analysis of the SHD paradigm and strategy. *Chapter 4* concentrates on the concept of governance, some of its current usages in economics, politics and participative development issues; and some other related concepts. *Chapter 5* is concerned with the conceptual and historical issues on regions, localities, subnational development, the related concepts and related practical issues. *Chapter 6* concentrates on Turkey, and majorly discusses the subnational development policies in Turkey, in a historical perspective.

Chapter 7 is on the design and method of the research. This chapter first involves the introduction of the conceptual framework and the research objectives. Secondly, the analytical model for analysing the contributions of the LGPs to the local agency and the local SHD process is developed, in this chapter. Then, some research themes for the case study on DAKAP are introduced. In addition, DAKAP and its implementation area are presented; and its significance as a case of SHD based SDP is discussed. Lastly, the data gathering methods and the data sources are introduced.

In the rest of the thesis, the results of the case study are exhibited and discussed, in accord with research themes introduced above. *Chapter 8* was devoted to *the first research theme*. So, in this chapter the qualifications of the LGPs within DAKAP are evaluated, with respect to the endogenous and exogenous conditions of good local governance.

Chapter 9 was based on *the second and the third research themes*. In this chapter, first the level of the local agency was evaluated for the localities of the DAKAP implementation area. Then, the relationship between the level of the local agency and the

¹⁵ Mostly seen examples of QUANGOs in Turkey are professional chambers and their higher level unions and federations.

good governance qualifications of LGPs are discussed and compared for various localities of the DAKAP implementation area. In the end, it is concluded that there is a notable positive relation between the level of good governance qualifications of the LGPs and their success in triggering and sustaining the local agency, in DAKAP, as the analytical model anticipated. A parallel conclusion is attained for the relationship between the good local governance and the sustainable agency after DAKAP, in accord with the analytical model.

Chapter 10 handled the fourth theme. In this chapter, first the actual contributions of DAKAP to the well-being of the target groups and to the capital accumulation in various localities were exhibited and discussed. Then, the relationship between the level of the actual contributions of DAKAP and the good governance qualifications of LGPs are discussed and compared for various localities of the DAKAP. As the result of the discussion, a notable parallelism is observed between the level of the good local governance and the the success of DAKAP implementations in providing beneficial actual outcomes for the target groups and the local communities, as the analytical model suggested.

In *Chapter 11, the fifth research theme* was handled, and some pallel conclusions were attained. So, there is a considerable parallelism between the level of the good local governance during the life-time of DAKAP; and the sustainable results of DAKAP implementations in providing beneficial actual outcomes for the target groups and the local commuthe localities, as the analytical model suggested.

Chapter 12 is the conclusion chapter. In this chapter, articulation and discussion of the results of the case study was made in accord with the research objectives. As a general conclusion good governance has a notable significance in the local SHD process. As the good governance qualifications of the LGPs increase, their success in triggering and sustaining the actual local agency; their contributions to the maintenance of the sustainable agency; and their contributions to the actual and sustainable outcomes of a SHD based SDP increases, in the localities.

In DAKAP, the most successful LGPs were observed in some of the localities of the former KKKP area. This was basically the result of the power and continuity of the face-to-face PGMs, the *District Development Councils (İKKs)* that SÜRKAL employed in

KKKP.¹⁶ In addition, the efforts of SÜRKAL experts in carrying on continuous contact and good governance relations with the target groups and local public authorities were also important. In some cases, their specific efforts to keep their contact with the target groups and individual participants provided solutions for the problems arose from the changing attitudes of local public administrators. On the other hand, in the localities of the former DAGİDES area, the LGPs gained partial success, because of the lack of powerful and continuous PGMs. DAKAP Coordination carried on governance relationships with a narrow group of voluntary stakeholders within project partnerships, in the implementation stage of DAGİDES. There were beneficial implementations, but a wide range of target groups couldn't reach their outcomes sufficiently. DATUR Coordination didn't attempt employing LGPs which would have provided the participation and cooperation of the local civil society (NGOs and chambers) and the private sector (SMEs in tourism sector). So the outcomes of the implementations were quite less and unsustainable.

¹⁶ İKK: İlçe Kalkınma Kurulu

CHAPTER 2

HISTORICAL CONTEXT OF THE QUESTION OF DEVELOPMENTALISM

The process of evolution of the current developmentalist perspective and the related concepts including *Sustainable Human Development (SHD)*, *governance* and the *new regional development policies*, which are widely used in this thesis, are outcomes of a wider and longer sociohistorical process beginning with the end of Second World War. This is why the literature review will begin with the presentation of this evolutionary process which had lasted from the end of the Second World War, up to 1990s.

2.1. Cyclical Trends of Capitalism and the History of Post-War Developmentalism

A developmentalist optimism towards socioeconomic and political advancement of their countries dominated the ruling elite and populace of the countries of all three worlds (the central capitalist First World, socialist Second World and the peripheral Third World), during the early post-War period, up to late-1960s. Then, an opposite trend: a pessimistic and critical attitude against developmentalism arose and became dominant, in the late post-War period (1970s and specifically 80s), all over the world. This change in the attitudes against developmentalist ideas and practices during the post-War period had of course been the result of an overdetermination of a numerous reasons. However, there is also an underlying reason for both explaining the major causes of the unsuccessfulness of developmentalism and resultant critiques. It is the long-term cyclical waves and structural crises of the global capitalism; and the resultant changes in the socioeconomic and political conditions of both developed core countries and developing peripheral ones (Mandel 1995: 76-77; Başkaya 2000: 10).

As, Mandel (1995: 76-77) encourages us we may observe a parallelism between the rise and fall of the popularity of the developmentalist ideas related to all spheres of society, and the *long-wave swings of capitalism*.¹ The post-War period witnessed the 3rd long wave of the world economy, made up of the expansionary phase which lasted up to the end of 1960s and the later contractionary phase (Mandel 1978: 120-121); and, the rise

¹ The so called *long-waves of capitalism*, which Mandel mentions, denote the long term (nearly 50 years long) fluctuations of some major indicators, like the aggregate production, profit rates and level of prices, about the performance of the capitalist economies (Mandel 1978: 122-146; Mandel 1995: 1). The problem of *long waves of capitalist development* is a specific topic in literature of political economy. However, the road to the theory of long-waves was paved by the literature on the *cyclical trends of capitalist development*, whose history goes back to the 19th century (Arnold 2002: 1-3).

of the developmentalist optimism coincided with the expansionary first phase of the *post-War long-wave*, so-called the *post-War boom*, while the retreat of these ideas coincided with the contractual second phase and the resultant structural crisis of the mentioned long-wave.

2.1.1. Fordist Expansion and the Rise of the Post-War Developmentalism

The rise of the developmentalist thought, the related academic disciplines like Development Economics and Modernization Theories; and the resultant economic, political and social trends in the nation-states were some of the most specific aspects of the first decades of post-war period (1945-1973). The intellectual sphere was dominated by the optimistic views on development and the modernizationist perspective of the works of the Modernization School which equitized development to *modernization*, during early post-War period. Various theories of development and disciplines like “development economics” emerged; and these theories and disciplines had been alive and widely discussed up to the beginnings of 1970s (Başkaya 2000: 15).

In general, *modernizationist* perspectives usually shared an *a priori* Eurocentric assumption that all non-Western, traditional societies should -and in time successfully will- transform towards a historical stage where all the traditional values and structures of a developing country would change totally towards the Western ones. They considered all societies in the same evolutionary, phased route from traditional to modern, that is Western (European and/or North American) type society (So 1990; 53-57, 131-134; Köker 2000: 27-38). The ultimate ends had been an industrialized, well-developed and prosperous capitalist market economy; a differentiated, heterogenous and complex socio-economic and socio-cultural structure; a Western style representative democracy (Özbek 1992; Köker 2000: 39-48); and a Keynesian welfare-state for institutionalizing the class compromise and well-developed set of civil and social rights (Lipietz 1992: 7-8; Mjøset 2001: 230-231; Held 1996: 201-203).

One of the most critical reason for the rise of such developmentalist-modernizationist ideas as a worldwide phenomenon, during this period, was the optimism created by the post-war extraordinary expansion of the world economy as a whole, and the parallel economic development of numerous national economies of all three worlds. During 1945-73 period, the world economy, as a whole, had experienced a process of a fantastic economic expansion and growth, which was never seen before. This period

witnessed the biggest, fastest and the most sustained economic boom that had ever occurred in history, for all three worlds: the developed capitalist West, socialist block and the developing capitalist countries (Reynolds 2003: 60-61; Jenkins 2003: 214).²

This upward swing of the post-War long-wave, (which Mandel called as the *Late Capitalism*) was also the period of *Fordist mode of development*, especially in the capitalist First World, where the pure typical of *North Atlantic Fordism* prevailed.³ Fordism, together with the Third Technological Revolution -of electronic automatization and nuclear energy, had been considered to be the major motor force of the magnificent post-War global boom in the whole world economy. A parallel magnificent expansion occurred in both capital and consumer goods sectors, stimulated by an apparent labor-capital compromise, through suitable regulatory institutions (Hirsch 1991b: 143; Boyer 1990: ix)

North Atlantic Fordism was characterised by an *intensive accumulation regime*; and the corresponding *(state) monopoly mode of regulation*; more specifically the *Keynesian Welfare State (KWS)*, in the First World (Aglietta 1979; Boyer 1990: ix; Jessop 2005: 308-309). On the other hand, Fordist mode of development had been a global phenomenon, which played a characteristic role in shaping of both the socioeconomic and political structures of the rest of the advanced capitalist social formations and the developing Third World ones, which had tried to establish a model of capitalist economic development (Hirsch 1991a: 15); and the international configuration of economic and political relationships, during the first decades of the post-War period. This is why Fordism was accepted to be one of the main motor force of the magnificent global boom and a fast international spread of the developmentalist ideals together with Fordist-like capitalist modes of development (*Sub-Fordisms* depending on *import-substituting*

² The growth rates within this period were much higher than any other historical period, with the same length of time duration (Reynolds 2003: 60-61). According to Jenkins (2003: 214) during 1948-73 period the world industrial production also grew with a fascinating speed. In addition, during the post-War period, -up to the beginning of 1970s-, the world trade also grew very rapidly.

³ The term “Fordism” was first used by Gramsci (in Kumar 2004: 68; Boyer 1990: ix), in a passage of his Prison Notebooks, titled as “Americanism and Fordism”, in a specific context. For Gramsci, Fordism was a new era in capitalist civilization. The planned economy stamped this new era. However, not only the macro level production, but also the individual him/herself was also planned. Fordism was not only the new work methods and the usage of the assembly-line in the labor process, but it was also the puritan control over workers' private and sexual lives, as a whole. The concept of Fordism had later been extensively developed by the Regulation School. Aglietta (1979: 116-118) described Fordism as a *regime of intensive accumulation* made up of the articulation between a specific process of production (labor process) and a specific mode of consumption. It was a new stage in the labour process, which superseded the Taylorist Scientific Management. It was also a new stage “in the regulation of capitalism” which capitalist class sought overall management of the production and reproduction of wage-labor by close articulation of relations of production with the commodity relations (the market and consumption); by controlling the conditions of reproduction of the worker class through formation of a social consumption norm; and institutionalizing the economic class struggle in the form of collective bargaining.

industrialization strategy) and accelerated levels of economic growth in the rest of the world (Lipietz 1987: 74-81).

2.1.2. Late Post-War Crisis and the Fall of Developmentalism

Then came the 2nd deep crisis of the capitalist economy, in the 20th century and the following contractual phase, by the end of 1960s and beginning of 70s. 1970s and 80s had been the decades of the contraction and crisis of the world capitalism. In fact, these were the decades of the contractual phase (phase B) of the post-War Kondratieff long-wave. The world economy as a whole had contracted considerably during this period.

This was especially true for the advanced countries of the central capitalism. Because of the inevitable crisis conditions in the sustainability of industrial production industrial productivity and profit rates fell dramatically in the center (Jenkins 2003: 216). These were accompanied with characteristic deceleration in the volume and rhythm of accumulation of capital, thus in the rates of growth; and increases in rates of unemployment, permanent inflation, slow down in world trade and social and political unrest in various countries, beginning with 1968 (Mandel 1978: 142-143, 181, 211-213, 408).

The late post-War period also witnessed a global crisis, within the rest of the world. The relatively stable long-term growth trend of the Soviet economy, which had lasted since 1945, collapsed in mid-1970s and a radical downturn occurred. The crisis of 1970s was also a political, social and ethico-ideological one. It was the crisis of the *socialist mode of production* as a whole (Sapir 2002: 274-277; Chavance 2002: 267-272). In the Third World, by 1960s, import-substitution strategies which provided some early developing Sub-Fordist countries like Latin Americas and Turkey with the development of a certain level of industrial base through this policy, since 1920s, ran into serious difficulties (Lipietz 1987: 62). Consequently, conditions of Sub-Fordism caused the obstacles of falling mark-ups, trade deficits and debts, high domestic inflation and/or stagnation (Başkaya 2000: 113-114, 124-126; Başkaya 2001: 126-132). The beginning of 1980s was stamped by the foreign debt crisis, in the world economy.

By the end of 1970s, some radical reactions against the crisis of Fordism had already emerged, in the central capitalist countries. These reactions were characterized by the New Right ideologies, namely *neoconservatism* in the political realm and *neoliberalism* in the socioeconomic realm. These were radical reactions of the hegemonic capitalist

classes (majorly the multinational corporate elite of the highly monopolized industrial sectors and financier elite of the gradually strengthening finance sector) against the crisis and directly opposed and criticised the Keynesian welfare policies (MacGregor 2007: 236-245; Campbell 2007: 306-309, 314-323; Boyer 2001: 22-23; Fülberth 2010: 267; Albert 1992: 39-45). The debt crisis of early 1980s enabled these ideologies to come to the power. In 1980s, neoliberalism went forward with Reaganomics in United States of America (USA), Thatcherism in United Kingdom (UK), and Kohl policies in Germany, during the whole decade.

Neoliberalism became an encompassing socioeconomic ideology, which had shaped not only the socioeconomic policies, but all central capitalist economies and the socioeconomic conditions of the central advanced countries. post-War Keynesian welfare policies and strategies of economic development left their places to neo-liberal socioeconomic policies. Neoliberal economic policies were supply-sided and monetarist in essence. They involved anti-inflationary and contractual monetary measures, and insistence on privatization. These policies were supposed to provide higher mark-up rates and capital accumulation in the hands of capitalist classes, in order to stimulate investments and accelerate full employment and growth (MacGregor 2007: 236-245; Campbell 2007: 306-309, 314-323; Boyer 2001: 22-23; Fülberth 2010: 267; Albert 1992: 39-45).

Neoliberal governments harshly criticised and attacked the legal and institutional structures of KWS, and seriously destructed public sector and ownership in economy, social security systems, corporatist interest representation and class compromise institutions and systems towards maximizing the flexibility in markets and capitalist economies, as a whole. This provided a suitable atmosphere for constructing flexible wage relations, between workers and firms (Albert 1992: 43-45; Dumenil and Levy 2007: 25-31). Because of an exaggerated apology about “free market”, public sector got forced to shrink towards some basic duties of a “night-watchman” state; and the emphasis on financial markets and the monetary side of the economy, shadowed the real economy; and the supply side economics shadowed the demand side (Başkaya 2000: 10-12, 16-17, 35-39; Şenses 2003a: 15-17).

As a result, because of neoliberal policies and highly increased flexibilities in the labor markets, income equalities rose up to an extraordinary level (MacGregor 2007: 236-245; Arestis and Sawyer 2007: 325-335). All these had taken place because of the radical

restructuring of the capitalist economies, towards overcoming the Fordist crisis. Although, this restructuring couldn't be a true remedy for the crisis, together with some other characteristic socioeconomic changes, which had taken place in 1970s, they had paved the way for a new mode of development, namely *post-Fordism*, in 1990s (Fülberth 2010:267-270; Boyer 2001: 23-24; Boyer and Juillard 2002: 241-244).

One other result of the debt crisis and the strong neoliberal criticism against import-substitute development strategies was the increasingly doubtful approach against long-term developmentalist ideals, in both developing countries and in the developed center. By the beginning of 1980s, the mainstream point of view upon development had shifted from long-term developmentalist targets, like a well-structured domestic market, industrialization, investments, capital accumulation and full employment; to short-term targets of price stabilization, a passion for annual growth, and shrinking of the public expenditures to effort the foreign debt services. Development planning and policies were given away and emphasis on development of a well articulated domestic market, left its place to an apology for free trade, classical international division of labor and a fetishism of exportation.

Then, by mid-1980s, the influence of the neo-liberal paradigm led a new approach against developing countries to be formulated, called as *Washington Consensus*, which anticipated to impose the neo-liberal economic principles to Third World, to provide them pay their debts back. The economic international institutions, International Monetary Fund (IMF) and WB had gone under the influence of the neoliberalism by this Consensus and began to impose prescriptions of structural adjustment, stabilization and financial liberation, to the developing countries, all over the world (Chang and Grabel 2005: 11-15; Sönmez 2005: 327-358; Chang 2009: 15; Saad-Filho 2007: 191-192).

2.2. Criticisms against Developmentalism and Modernizationism

This sociohistorical process which lasted during the post-War period resulted in a fluctuating attitude against the developmentalist thought within the intellectual sphere. Although the intellectual and academic circles were optimistic and enthusiastic about an endless growth and development; and about successful modernization of the developing Third World; the late post-War intellectual atmosphere was dominated by the pessimism and critical attitude against developmentalism and modernizationism (Mandel 1995: 76-77; Başkaya 2000: 10).

One main reason for this change was the economic crash of the Fordist mode of accumulation, during late 1960s and early 1970s; despite the great expectations it created towards an endless growth, prosperity and socioeconomic welfare, during the Golden Age of 1950s and early 1960s. The other reason for this pessimism and critiques was that on the contrary to the expectation of welfare increase along with growth, poverty and other related social diseases have been persistent in developing countries with growing economies, because of the unequal distribution of the benefits of growth. Moreover, undemocratic regimes and bloody dictatorships were established in most of the developing countries. In addition, developmental lust in all three worlds resulted in a fatal degeneration of environmental conditions and rapid exhaustion of natural resources (Lipietz: 1987; Başkaya 2000: 113-114, 124-126; Başkaya 2001: 126-132).

By the mid-60s, there emerged a series of critics from various perspectives from neo-Marxisms and Dependency School to humanistic economics, political ecology, post-modernism, post-colonialism, feminisms; as well as the neo-liberal critiques we mentioned above. During the following 20 years, developmentalism and modernizationism had become widely discussed, and they had gradually lost their importance and influence, by mid-80s. The long term concerns of development economics, like industrialization, accumulation and improvement of productive factors, employment creation, development planning, welfare lost their importance; and the following 10-15 years had witnessed the world-wide imposition of neoliberal prescriptions of structural adjustment, stability and liberalization, by the international institutions like WB and IMF (Başkaya 2000: 10-12, 16-17, 35-39; Şenses 2003a: 15-17; Chang and Grabel 2005: 11-15; Sönmez 2005: 327-358; Chang 2009: 15; Saad-Filho 2007: 191-192).

First critics had come from the Dependency School and neo-Marxist underdevelopment theories. During 1950s, UN Economic Commission for Latin America (UN/ECLA) and its Head, Prebisch, criticised the classical division of labor between the primary goods producer/exporter periphery and manufactured goods producer/exporter center. UN/ECLA economists saw that this provided a dependency relationship between two poles; and a transfer of surplus value from the peripheries to the central advanced capitalist countries. Prebisch suggested, without eliminating this dependency, and accelerating industrialization, Latin America wouldn't develop. Nevertheless, he still believed that this could be possible if national states would intervene the economy in

favor of import-substituted industrialization. They had to protect and support infant industries by tariffs and some other domestic measures. Revenues from raw material exports should have channeled to development of import-substituting industries (So 1990: 93-94).

By late 1960s and during 1970s, although the dominant formal paradigm on national development policies were still characterised by rival developmentalist strategies of import-substitution and export-orientation, a series of dependency and underdevelopment theories had begun to develop, both in the center and in the Third World, especially in Latin Americas. They were majorly inspired by neo-Marxist theories of *imperialism*, developed by figures like Baran, Frank, Magdoff, Sweezy, Emmanuel, Furtado, Dos Santos, and Amin.

These perspectives criticized the capitalist development path of the peripheral Third World for creating an inalienable economic dependency to the central advanced capitalism; and imperialistic center-peripher relations and a resultant exploitation in favor of central advanced countries. This created the conditions of a permanent poverty and political repression of the working classes of the Third World countries. A real Third World development could only be possible by an independent and/or non-capitalist path of economic development and insistence on an independent industrialization (So 1990: 93-94, 95-98; Roxborough 1994: 55-57, 64-65; Magdoff 1978; Baran 1974; Frank 1967; Emmanuel 1972; Amin 1991; 1992).

At the end of the post-War period, a new group of economists had begun to criticize the mainstream disciplines of welfare and development economics, from ethical and/or humanistic standpoints. These economists criticized the mainstream economics because of its fetishist emphasis on economic growth and other monetary indicators; and because of the resultant conditions of crisis, economic depression and widespread poverty in the Third World. They stated that economic growth should serve the improvement of life qualities of people, and satisfaction of basic human needs. There have developed theoretical debates in favour of a human-centered understanding of development, against the growth-centered understanding, since then.

Figures like Das and Schumacher reexamined the critical thought of some classical humanistic economic thinkers like Sismondi, Marx, Ruskin, Hobson, together with

Ghandian-Budhist ethico-economic principles.⁴ Schumacher wrote his famous “Small is Beautiful”; and Das reformulated Ghandian principles, in a more economic way (Lutz and Lux 1988: 150, 304-310; Schumacher 1977:20, 48-56). Lutz and Lux (1988), developed another humanistic economics approach, depending on Maslow's hierarchy of human needs theory (ibid.: 148-150). Goulet developed a discipline as *development ethics*, and suggested the ancient values of virtue ethics, as the main should be principles of development (Astroulakis 2010: 6-7, 10).

During late 1960s, an influential economist like Seers defined four development goals: *reduction in poverty, unemployment and income inequality*, and satisfaction of *basic human needs*. He criticized the classical preconception of a negative correlation between growth and distribution, and insisted that mere growth and trickle-down effect isn't an enough way for eliminating poverty; thus development policies should have paid specific attention on income distribution (Szirmai 2005:6-7). In 1970s, other economists, like Myrdal (1971), Streten (1972), Chenery (1974) and ul Haq (1976), followed Seers in declaring parallel emphasis on development goals other than growth. Especially, in their influential 1979 article, Hicks and Streten suggested four major basic need categories: *health (life expectancy at birth, infant mortality)*, *education (literacy, primary school enrolment)*, *food (calorie supply per head)*, *water supply (infant mortality, per cent of population with access to potable water)*, *sanitation (infant mortality, per cent population with access to sanitation)*, and *housing* (Hicks and Streten 1979: 578).

Some researches (Hicks 1979) showed that improvements in basic needs would have positive repercussions on productivity and growth. The positive relation between basic needs and growth was especially because of the increase in human capital, provided by improvement in education; motivation provided by the satisfaction of the basic needs (Hicks 1979). In addition a second research (Dagdeviren et.al. 2002) showed that specific redistribution policies decreased poverty and provided positive repercussion on growth by helping to create the favorable initial conditions for sustainable growth. So the best choice between growth and redistribution was composite policies involving both (ibid.: 405). These researches has shown that, specific development efforts to provide increases in quality of life -thus improvement in well-being- through improvement in basic needs

⁴ In Ghandi's words, the main goal of an economic system should be: “human happiness combined with full mental and moral growth (Lutz and Lux 1988:304).”

and/or income distribution is necessary for poverty reduction; and also have positive repercussion on growth. And growth is a necessary but not sufficient condition for increasing the quality of life, thus well-being and poverty reduction.

Amartya Sen had a specific place in recent humanistic economics. He was the leading figure who developed the more sophisticated *capabilities approach* to well-being and development. Sen was one of the most influential intellectuals on international institutions. For example, WB became convinced of the validity of Sen's approach to welfare and poverty by 1990, and adopted it. He was also very influential on UNDP, especially on development of the concepts *human development*, and *SHD*; and the *Human Development Index (HDI)*, together with figures like Mahbub ul Haq and Sudhir Anand (Nafziger 2005: 10; Sumner and Tribe 2008:22; Fukuda-Parr 2003: 302-303; ul Haq 1995: 23-24).

By 1960s, some ecological concerns and critics also came into the socioeconomic and political agenda (Şahin 2004: 17; Sachs 2007b: 53; Nentjes and Wiersma 1992: 145; Bartelmus 1996: 5; Welford 1995: 1). Strong critiques rose from the ecological camp, against modernization and growth centered developmentalism. Most of the ecologist writers, defined an existence of ecological crisis, along with the economic and social crisis of Fordism (Mishan 1967:3-8; Ehrlich 1970: 11-17; Goldsmith et.al. 1972:v-vi; Maddox 1972:3-10; Meadows et.al. 1973:10-11; Ward and Dubois 1980:35-37; Bookchin 1980: 36-54; Bruntland Report 1987: 27-29; Brown et.al. 1991:17-18; Meadows et.al. 1992: xii-xiii; Lipietz 1992: 48-56; Kovel 2005: 31-48).

The critics focused on the problem of limits to the growth demands of the industrialist modern societies, depending on high technology and heavy industry, both in its capitalist and socialist forms. They suggested that the growth demands and technological advancement brought the carrying capacity of the nature to its limits. Thus ecologists, like post-modernist critiques categorically rejected the developmentalist idea as a whole, in the name of *sustainability of nature*, and an ecological economy and society which anticipated *zero-growth* in economy for sustainability of natural life (Şahin 2004: 17; Sachs 2007b: 53-54).

These critiques paved the way for international institutions, like UN to put attention on the ecological problems. UN organizational family chased an alternative way. They considered sustainability of both development and environment as indispensable and

accordable ends. Then a process of international conferences, and resultant documents on development and environment came out, which began in Stockholm, in 1972, with the “UN Conference on Human Environment (Stockholm Conference)”. Through this process UN family and intellectual circles who were interested in problems of both development and environment had attempted to provide an answer against the ecological critiques which emphasized the contradiction between these two (Vaillancourt 1995: 221-222).

On the other hand, ecological movement had also led a numerous radical and systemic strands which insisted on that ecological problems cannot be overcome without ending the lust for economic growth and industrialization; and/or the capitalist market economy as a whole. In the radical wing are social ecology, eco-anarchisms, eco-socialisms and eco-marxism, and deep ecologies; and in the rather systemic wing are the some green parties, environmentalist groups and NGOs. Today, ecological movement spans a wide range of movements. And the ecological critique on development and economic growth still has a considerable pressure on policy makers and institutions.

Some other critiques against developmentalism and modernizationism came from post-modernist and post-colonialist perspectives. Although neo-Marxist theories were critical against the possibility of capitalistic development, they had a positive attitude against development as an idea; and were optimistic about development under socialist regimes. In addition, humanistic critics were also critical about both capitalist and socialist ways of development for being unhumanistic, so that they both couldn't provide all human needs as a whole. Nevertheless, they were still hopeful about a third humanistic way.

On the other hand, post-modernist and post-colonialist critics were categorically against development as an idea. In fact, these critics questioned not only developmentalism, but the *modernist* thought, which has underlied it, as a whole (Parfitt 2002: 1-3; 12-28). Moreover, these critics saw *modernizationism* and *developmentalism* as varieties of a Eurocentric discourse, which described West and the Third World within a mutual situations of developed societies and undeveloped ones, so that the various indigenous communities of societies were supposed to be in a situation of *backwardsness* (Escobar 2007: 16-25; Sumner and Tribe 2008: 14-16; Power 2003: 119-120).

In fact, this discourse was blamed to be a mean for maintaining and legitimizing the imperialist dominance of the West over the rest of the world, beginning from the minds of the non-Western people. The discursive image of the Third World against the West, in the post-War period, was a complementary of an older and general discursive dilemma of Orientalism and Occidentalism, which was developed as if a scientific discourse, along with the colonialization of the East by the West (Said 1995:11-30; Said 1998:11-35). The post-modernist and post-colonialist critiques against the Eurocentric and Orientalist discourse paved the way for some recent alternative conceptions of modernization for describing a series of non-Western type modernization experiences, like *multiple modernities*, *alternative modernity*, *local modernity* (Göle 2002; 56-57).

First feminist critiques of mainstream economics began during the late 1980s. Feminist economics have majorly explained how the mainstream economics has been deeply rooted, historically and psychologically, in gender-related ideology. By this way, feminist thought radically questioned the mainstream economics; and exposed that the major concerns of the mainstream economics had carried a *masculine-associated gender* image, while the marginalized ones had carried a *feminine-associated* one (Nelson 2005: 58-60).

Economic man (homo economicus) had been assumed to be an autonomous, self-interested and rational in essence. The domain of economics had been defined around markets, efficiency, and competition. Economists put high value on abstraction and mathematical methods that they believed they would lead to precision and generality. Humaniter aspects, families, equity, cooperation, concern for others, emotions and actual bodily needs for food, shelter, and care were all left aside.

Feminist economists have also questioned the “growth in *Gross Domestic Product (GDP)*” definition of development. They raised objections because GDP neglected household production. Mainstream economics did not counted women's domestic labor contributing to national economic well-being because it was not traded, in markets. Because of the overemphasis of mainstream economists on this mathematically-measurable variable has caused a neglect of the roles of customs, power differentials, institutions, innovations, and some other feminine-associated aspects, in development dynamics (Nelson 2005: 59-60).

2.3. Post-Wall Expansion and Resurrection of the Developmentalist Enthusiasm

1990s and 2000s were marked by a considerable recovery and a new era of expansion of the world economy. The world economy and world trade had experienced accelerated growth rates, especially in three regions of the world: North America, Europe, and Japan and the Asian Tigers, during 1990-2009 period (van Wayenberge 2009: 307). One important underlying reason of the post-Wall accelerated growth, for most interpreters of the period, had been ascribed to the construction of a new mode of development called as *post-Fordism*. Rapid development of information and communication technologies were also important factors. Post-Fordism had been a global phenomenon, from the beginning. Thus emergence of post-Fordist accumulation regime and related regulatory institutions depended on gradual development of a series of global events, which had taken place in all three worlds of the late post-War period, during 1970s and 80s. The process had begun by some characteristic changes, witnessed in the advanced center, by the end of 1960s (Harvey 1999: 164-224; Kumar 2004:53-83).

2.3.1. Flexibility as a Key Feature

The main characteristic of this change was the gradually spreading dominancy of flexibility in the economy and the socioeconomic fields of the societies. Thus a new *flexible accumulation regime* had taken shape, during the two decades time. As Sayer (in Belek 1999:66) suggests, flexibility means stretching and loosening of the Fordist regulations in forms and volume of employment, production processes and product quality, forms of workplace organizations and practices, wage relations and labor markets. This accumulation regime was first characterised by spread of the Toyotaist flexible models of intra-firm organization, just-in-time production and *solar model* inter-firm relations (Piore and Sabel 1984: 267); instead of Fordist highly rigid, complex, hierarchical, bureaucratic and departmentalized intra-firm, integrated huge corporate bodies; and continuous production to an accumulating inventory, within Western corporations, by 1970s (Belek 1999: 103-106).

Some other forms of flexibly organised inter-firm relations first emerged in Northern Italy, and later on in NICs, in 1970s. These relations involved *self-governancial relations* via *partnership networks* built upon casual contracts, which were oriented towards just-in-time production; and professional and sectoral chambers or NGOs among local and/or regional clusters of SMEs (Piore and Sabel 1984: 265-267). The *social capital* made of

the self-governancial relations, partnership networks and organizations among SMEs was one of the major production factors of the cooperative production process, within these clusters (Putnam 1994: 163-176). Other characteristics of post -Fordism was the rise of the service sector (Belek 1999:88-99); deregulation of the downward rigidity of wages, caused by the KWS legal/institutional structure and the institutional class compromise structures; replacement of the uniform norms of mass consumption among working classes with an *extensive* regime of flexible and differentiated production for non-uniform and differentiated consumption patterns regulated through manipulative communication techniques (Sayer 2001: 439-442); enourmous development of the finance sector, opening up the financial markets to populace and new popular credit facilities addressing to all sectors of society during, 1980s and 90s.

2.3.2. Governance and Glocalization

Globalization had gradually become a characteristic feature of the international arena during 1980s; and become dominant in 1990s. In fact this process had already begun in late-1960s with the crisis of Fordism. Because of the conditions of the Fordist crisis, a shift to abroad, especially to the Third World, in search for cheap labor markets and profitable investment opportunities, became an emergency for *multinational corporations (MNCs)* and *global finance capital*. These conditions resulted in geographic shift of the industrial investments and production to the periphery, during the Fordist crisis by the end of 1960s. And this shift further resulted in the gradual transformation of international division of labor from the beginning of 1970s, towards a new form which would be dominant in Post-Fordism, in 1990s.

However, in 1970s, there still existed some restrictions against limitless spreading of MNCs and the finance capital of the First World all over the world. These were the existence of the socialist Second World; and the existence of national customs barrier; and the interventions and regulations of the nation-states for protecting the import-substitute industrial sectors. The first restriction was eliminated by the the collapse of the whole socialist system, in 1989. The collapse of the Second World brought the end of the cold war, the end of the whole post War geopolitical conjuncture; and the end of *the Wall* (Sapir 2002: 274-277; Chavance 2002; 267-272).

The second restirction against globalization was overcome by the imposition of the neoliberal “structural adjustment” policies to the Third World countries by IMF and WB

prescriptions, after the debt crisis and the dominance of Washington Consensus, during 1980s and the first half of 1990s. During this period, (specifically in the early 1990s) globalisation process accelerated enormously. IMF and WB driven “structural adjustment” policies; and the accelerating globalization and the resultant international configuration structured by agreements, regulations and institutions to eliminate the national legal/institutional and customs barriers against global corporate and financial capital, forced developing countries to open up their economies to worldwide trade of goods and services, the free circulation of corporate capital and financial speculations (Başkaya 2000: 10-12, 16-17, 35-39; Şenses 2003a: 15-17). In 2000s, after the process of *financialization*, financial and corporate capital integrated in considerable level. In the end, MNCs of the previous decades turned to be *transnational corporations (TNCs)*, which didn’t actually have a unique national center (but a multitude of global centers) and had almost limitless fluidity among continents and countries, via financial markets, direct investments, and multilevel commercial governance partnerships.

Post-Wall globalization, as of 1990s, has not been all about world trade and economy. It is also about global integration of the regulation of socioeconomic and political processes, which were once regulated by the nation-states within the national borders, via multilevel governancial relations. The adoption of the governance as a new mode of regulation has been one of the main characteristics in the globalization process. Neoliberal attack of 1980s on KWS brought an end to its regulative privileges and capacity, to a great level. The welfare-state and class compromise mechanisms had been deregulated and lost their regulative capacities, too. In such circumstances, a new set of institutions and mechanisms were necessary, for the overall regulation of post-Fordist society, instead of KWS. Jessop (2005: 319, 353-355) suggested that, a new trend of *multi-level governance relationships*, have been filling the regulatory and hegemonic vacuum left from KWS, towards constructing a new mode of regulation and hegemonic structure. In the local-regional level, as the post-fordist just-in-time producer SMEs became dominant in the economies and the self-regulating, cooperative partnerships within their clusterings came forth, importance of local and regional governance, which involved some horizontally constructed, non-hierarchical, participative and dynamic self-regulating mechanisms, within the cooperative partnerships, had parallelly increased, since 1970s. These governancial relations began to accelerate and have a global character,

which exceeded national borders, at the end of 1980s and spread very rapidly, in 1990s (Jessop 2005: 319-325).

So, it can be concluded that, the post-Fordist global configuration has been a more integrated form than the previous Fordist one. And while a Global Fordism couldn't be considered -as Lipietz (1987) pointed, a global post-Fordism can be. The increasing importance of multi-level governancial networks provided a parallel increase in both global level relationships and local-regional level spatial ones, which are created among municipalities, local-regional NGOs, professional organizations, chambers, syndicates SMEs, and local-regional populace. This is why, globalization, localization and regionalization (in both supra-national and subnational levels) are parallel global trends, both getting realized simultaneously. Thus, post-Fordist globalization trend was also a parallel trend of localization and regionalization, or as a whole a trend of *glocalization* (Jessop 2005: 294-295, 319-323; Tekeli 2006b: 439).

2.3.3. A New Developmentalist Perspective

By 1990s, a refreshed interest towards problems of development had become current again, along with the post-Wall expansion of the world economy. This time, by virtue of the strong criticisms of 1970s and 80s from various sources, the idea of development had begun to evolve towards a new content, specifically within the circles of some major international institutions, like WB, UN and EU. In search for providing favorable answers against these critiques, a new developmentalist perspective evolved to its maturity, during 1990s. This new developmentalist perspective had an additional concentration on social, humanitarian, cultural, environmental and gender dimensions of development; and articulated a new set of concepts, involving *sustainability*, *human capabilities*, *governance* and *capacity building* towards a new generation of developmentalist paradigms, like SHD, which related developmental concerns to a series of other concerns on environmental sustainability, social justice, human rights, gender equality, participation, cooperation, civil society, peace and democracy.

In addition by virtue of the post-Wall geopolitical conjuncture and *glocalization* process; and the influence of the endogenous growth theory, there emerged an increasing interest towards the *subnational tiers* (regional and specifically local levels) of the national territory. The new developmentalist perspective shifted its attention to a *bottom-up* direction where the *endogenous development capacities of the localities* came forth as

the leading force of the regional and national development; and a participative, cooperative and *multilevel governance* model became an inalienable element. This perspective led the way to the so-called *new regional policies* and related SDPs, specifically in EU region and Turkey.

The new developmentalist perspective had also carried an optimism about fighting against the poor conditions of former Second and Third World countries, like deepening poverty and environmental degradation. This was especially true in the second half of the decade, as the neo-liberal principles of the so-called Washington Consensus, and the resultant world-wide implementations of structural adjustments had been seriously criticised; and a new agenda of post-Washington consensus had become discussed within the circles of international economic organizations (van Wayenberge 2009: 307).⁵

This new developmentalist perspective triggered flourishing of some new global paradigms and strategies. SHD is the name of a paradigm and the related strategy developed in the aura of this new perspective.

⁵ One of the most notable critiques of the Washington Consensus and the neo-liberal structural adjustment policies of WB and IMF was Joseph Stiglitz, who was the Vice-President of WB at the end 1990s. In a 1998 international conference he seriously criticised the neo-liberal implementations which targeted a narrow and insufficient bundle of objectives, as monetary stability (inflation targeting), privatization, liberalization of foreign trade and growth. He strongly suggested a review of the Washington Consensus with a wider development agenda involving sustainability, social justice, equality and democracy; social adjustments as well as economic ones; a long-term vision, regulations and public interventions on public education, information, innovations, technology, productivity and industrialization; financial support (venture capital) and fiscal incentives (tax exemptions) for SMEs; and promoting partnerships among public, private and the third sectors towards growth and social welfare (van Wayenberge 2009: 326-328; Stiglitz 2009: 298-306).

CHAPTER 3

SUSTAINABILITY AND SUSTAINABLE HUMAN DEVELOPMENT

One of the initializing moments in articulation of the post-Wall developmentalist perspective was the stimulation of the UN organizational family, towards handling developmental and environmental problems together for providing an answer to the ecological critiques, which emphasized the contradiction between these two (Vaillancourt 1995: 221-222). They considered sustainability of both development and environment as indispensable and accordable ends. Then a process of international conferences, and resultant documents on development and environment came out. This process began in Stockholm, in 1972, with the “UN Conference on Human Environment (Stockholm Conference)”; and has been carried on by specifically UNDP, up to 2010s.

In time, this process also involved the articulation of some humanitarian, egalitarian and participatory democratic concerns with developmental ones, under a variety of other criticisms against modernizationisms, which we mentioned in the last chapter. Throughout this process a series of concepts and paradigms, like *eco-development*, *ecological modernization*, *sustainable development* and *human development* came out. In the end, it ended up with the encompassing *SHD paradigm*, which articulated concerns on sustainability, social justice, gender equality, poverty reduction, endogenous capacity building, participation, cooperation, human rights, peace and democracy.

There are three important concepts to be discussed, which served as milestones in this conceptual evolution process towards SHD. First one is *sustainability*, in its ecological context; the other one is the theory of *capabilities*, which was developed by celebrated humanistic economist Amartya Sen; and the last one is the theory of *endogenous growth*, which paved the way for endogenous approach to development and capacity building.

3.1. Sustainability

As its ethymological root sustainability implies the continuity and/or durability of something (O'Connor 2000: 16). The concept was first used in the World Charter for Nature, which UN General Assembly (UNGA) adopted on October the 28th, 1982. In the

4th Principle of the Charter, it is stated that sustainability of the ecosystems, organisms and various natural resources should be maintained (Mengi ve Algan 2003: 2).

There have been various meanings ascribed to the term sustainability, since 1982. In its mostly used definition, it denotes long-term concerns about development and environment. As an example, Trainer (2000) gives a formulation for a form of ecologically sustainable society, which he calls as “The Simpler Way”:

- i. Much simpler, non-affluent living standards,
- ii. Small, highly self-sufficient local economics, mostly using local resources to produce to meet local needs with little trade between regions let alone between nations,
- iii. Highly participatory and cooperative systems,
- iv. Alternative technologies that minimise resource and environmental impacts,
- v. A totally different economy, one that is not driven by profit or market forces in which there is no growth and in which much economic activity doesn't involve money (Trainer 2000: 272).

This is rather a strongly eco-centric view, defending an economy “in which there is no growth”. So, strong eco-centric approaches are usually against the idea of economic development, in its simplest sense, as growth.

On the other hand there are some milder definitions with a proposed balance, between interests of human beings and natural world. As for such a definition, Wrench (2001) emphasizes that the ethical criteria (not consuming more than a fair share) has both an environmentalist and an egalitarian/communitarian implication: “The ethical dimension of sustainability is basically about balance –balancing care for the earth with care for our fellow humans” (Wrench 2001).

Another definition is rather related to environmental economics. It suggests that sustainability denotes a specific effort for protection of nature and natural resources from exhaustion; and an effort for giving the opportunity to the renewable resources to realize the renewal cycles they needed to sustain their existence (Aruoba 1997). This definition shows us that there should be some limitation for the speed of economic growth, to adapt to the speed of natural renewal of renewable goods, in the name of ecological sustainability.

The last two definitions adopt rather a *weak-anthropocentric* position against environment and nature, which is preferred in this thesis. With Dobson's words, this position is an unavoidable feature of the human condition. Although, it is a human-centered one, which cares about human needs and considerations arising from human existence, it is also not against the priorities of environmental sustainability. Thus, it is immune against an instrumentalist, strong anthropocentrism, which considers nature merely as an instrument in service of human sustenance and welfare, in other words a limitless factor of production (Dobson 1995: 61-62). And, as long as necessity of adapting to this condition is fulfilled, there may also be a room for a mild speed of human economic activity, too. This is especially true for underdeveloped and developing countries. Moreover, today we know that the intense poverty in these countries is a dangerous pressure over the environment and ecological sustainability (Brundland Report 1987: 24).

On the other hand, the last definition above rather has a narrow scope focusing on the optimality on ecological and economical concerns. A wider, more sophisticated and multi-dimensional conception of sustainability is combining ecological, economic, socio-political and cultural aspects, in relation to the both ecological and humanistic long-term concerns. This conception involves:

- i. *Ecological Sustainability*, which involves concerns about environment and nature;
- ii. *Economic Sustainability*, which involves concerns about sustenance of human needs;
- iii. *Social sustainability*, which involves concerns about human well-being, participation and equity among social groups and individuals; and
- iv. *Cultural Sustainability*, which involves concerns about conservation of cultural wealth, and diversity of communities,

as four main dimensions of sustainability (Ronnikko 2000: 387). In this thesis, sustainability denotes an optimal sensitivity to the all concerns in these four dimensions.

3.2. Sen's Theory of Capabilities and Human Development

Amartya Sen had a specific influence on the evolution of the new developmentalist thought having been one of the most influential intellectuals on international institutions,

like the WB and UNDP. He was the leading figure who developed the *theory of capabilities*.¹ Sen's capabilities approach to welfare and development economics had played a critical basis for the evolution of the UNDP concepts, like *human development*, HDI and SHD (Nafziger 2005: 10; Sumner and Tribe 2008:22; Fukuda-Parr 2003: 302-303).

Human development is a perspective, which focuses on enhancement of *human well-being* (UNDP 1990: 1). Sen (1992) defines *well-being* as a personal state of adequate utility via satisfaction of a variety of his/her socioeconomic, cultural and societal needs. Human well-being is basically related to a number of basic *functionings* or *well-being achievements* (1992: 39-41, 56-57) that is valuable *beings* (personal states and qualifications), *havings* (goods, services and other assets) and *doings* (activities) that lead one's personal utility, via satisfaction of his/her socioeconomic, civic, political, cultural, societal and psychological needs. Some basic examples are s being adequately nourished, safe, free, calm and happy; having a house, avoiding premature mortality, having a healthy body, an educated mind, a good job, a warm friendship, a beloved lover, appearing in public without shame, participating to decision-making on issues effecting one's own livelihood.

So, well-being is certainly related to *havings* that is goods and services for satisfaction of basic material needs; jobs and incomes; public services and related institutions; and all other socioeconomic, environmental, political, cultural, institutional and legal conditions, assets and resources that support human well-being and freedoms, like protective security systems. However, functionings are more than this. They also describe whatever a person desires to do or be, in various aspects (socioeconomic, cultural, societal and political) of life. In Sen's (2004) words they are "the various things a person may value doing or being". Watching a pleasurable cinema film, or playing a desired musical instrument is also a functioning that may provide satisfaction, thus serves one's well-being. As the more one *actually achieves* the particular functionings (havings, beings or doings) he values and enjoys personally at a given point of time, he may said to be in a better state of well-being.

¹ Martha Nussbaum had been the other pioneer of this approach. Figures like Mahbub ul Haq and Sudhir Anand were the other important contributors of the theory, who had also been influential on development of HDI, as well as Sen. In this chapter we will rather focus on Sen's theory, for the purposes of this thesis.

But for Sen, human well-being is well-being is related not only to one's present ultimate functionings for satisfaction of needs and utility; but also -and may be more-related to one's *capabilities* and *substantive freedoms*. Capabilities are one's potential achievements (opportunities) which are actually reachable for him/her (Sen 1992: 40). More technically, one's capabilities "various combinations" or "vectors of functionings (beings and doings) that the person can achieve (...)". Equivalently, they are one's achievable opportunities that he/she has the substantive freedoms to choose and achieve.

Sen distinguishes two categories of freedom. The first category is *rights and liberties*, like ownership rights, commercial rights, freedom of contract, freedom to work, freedom to travel, rights of basic health and education, freedom of association, universal suffrage, and the like. Liberties are *negative* in the sense that they signify formal *freedoms from* suppression of authority or coercion of other agents', by legal measures. Sen suggests that *liberties* are necessary but not sufficient for human well-being. One should enjoy some *substantive (positive) freedoms* that is his/her real power or capacities which are actually exercised as means "to lead the kind of life he or she has reason to" (Sen 1988: 47-51, 56-57). They are necessary means to be able to achieve the functionings actually, sufficiently and equally for enhancing his/her well-being as he/she reasonably chooses. These are real freedoms, like *freedom to* have actual means for living a healthy life up to old ages; and to have actual control over one's own goals, life and livelihoods.

Sen defines two types of specific substantive freedoms related to one's personal well-being, as *well-being* and *opportunity freedoms*. Sen calls them as *well-being* and *opportunity freedoms*. Well-being freedom is the *actual capacity to achieve* any of the opportunities out of a *capability set*. One's capability set is the set of vectors of his/her capabilities; in other words it covers all achievable vectors of opportunities he/she is free to reach. Opportunity freedom is the *actual capacity to choose* from the achievable vectors of opportunities within one's capability set towards the kind of life he or she has reason to. The level of one's *capability set* reflects the person's well-being and opportunity freedoms. One's well-being depends on his/her well-being and opportunity freedoms and the level of his/her *capability set* which is related to both the availability and achievability of opportunities of living (Sen 1985: 185-202; 1988: 58-61).

From another point of view, *achieved functionings* (achievements) are *actualization of one's capabilities* –thus well-being and opportunity freedoms- to choose and achieve opportunities. On the other hand, capabilities are essentially the capacities built upon

one's already achieved personal qualifications (health, knowledge, abilities, skills, talents, etc) and resources (goods, services and other assets) (Clark 2005: 1344). So, there is a mutual dependency between achievements and capabilities. Actual achievements are not only the results of present capabilities, but also prerequisites of new ones. As one gets actual achievements both his/her actual well-being increases and present capabilities -thus well-being and opportunity freedoms- expand parallely, by virtue of the actual achievements which can be used as means (personal qualifications and resources) of attaining future achievements (opportunities) towards both enhancing his/her well-being, and expanding his/her capabilities -thus freedoms- further, in the future (Gandjour 2008).

The mutual dependency between capabilities and achievements may be shown in Figure 3.1.

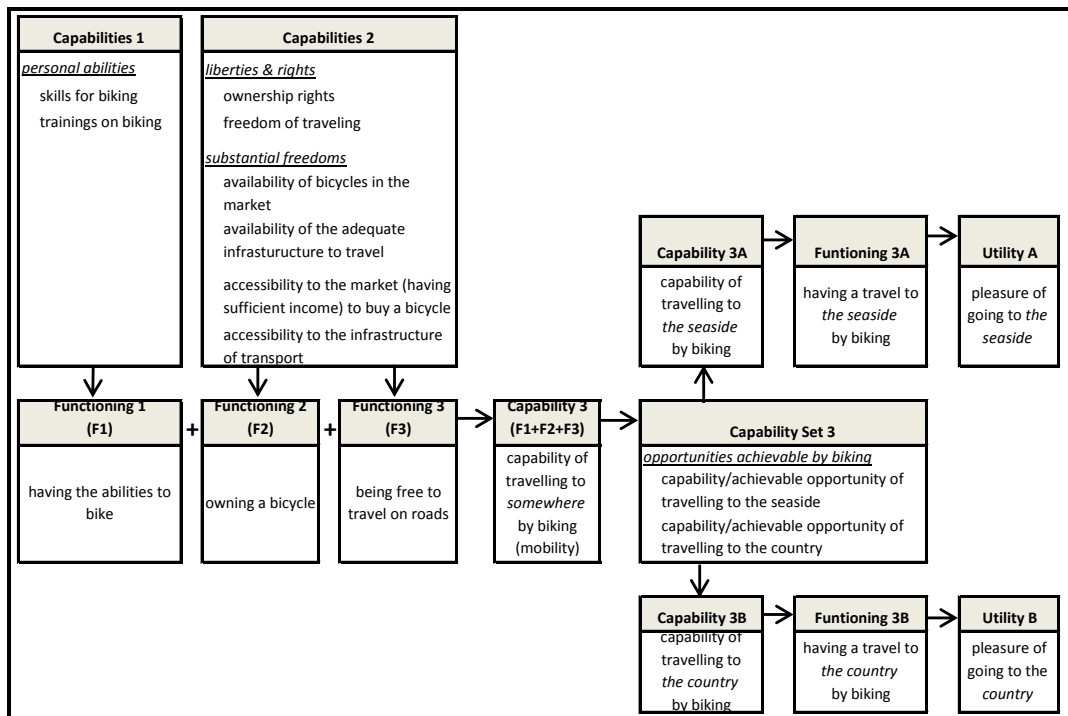
Capabilities for biking				
Resource + Characteristics → Capability → Functioning → Utility				
bicycle	abilities for biking	of mobility	being mobile	pleasure of travelling by biking

Source: Clark 2005:1344

Figure 3.1 Sen's Bicycle Example

According to Sen's bicycle example, when one achieves a resource (a bicycle) and the necessary personal qualifications (talents, balance and training) for being able to bike, he/she attains the *capability* of travelling anywhere (mobility) by biking. This capability brings him the freedoms to choose and travel anywhere by biking, thus *well-being*. Whenever he actually travels by biking, he achieves the *functioning* of being mobile, which brings *utility* that is satisfaction of arriving the target place he travels. Here, one first needs to have the capabilities, like having an adequate income to buy the bicycle, to achieve the resource (bicycle) and the personal qualifications (abilities) for biking and achieving the functioning of *being mobile* (Clark 2005: 1344-1345).

In fact, some objective conditions, like the liberty of ownership, the availability of a bicycle in the market can also be added to this list of prerequisites, which enable an individual to achieve the functioning of *owning a bicycle*, and to use it as a capability for achieving the functioning of mobility. Then, Sen's example of bicycle may be rearranged in a more expanded and sophisticated manner, as in Figure 3.2.



Source: Developed by the author, by inspiration of Sen's work

Figure 3.2 Rearranging Sen's Bicycle Example

According to Sen (1985: 203-212; 1988: 40-45), there is one other dimension of substantive/positive freedoms, namely the *agency* of people. In its ethical sense, agency refers to one's *actual control* over determination of his/her goals, on his/her own reasonable justification; and the *power* to pursuit and achieve the goals that he/she has reason to value. An agent is "someone who acts and brings about change", in accord with his/her autonomous and rational choices (Sen 2004: 19).

More specifically, one's agency reflects his/her *agency* and *process freedoms*. *Agency freedom* is one's freedom to choose what is good and right to achieve, on his/her own reasonable justification; and to achieve those things that he/she has reason to value. It is first related to the availability of *opportunities* to achieve all of his/her valued goals, related to his/her well-being and other personal goals beyond his/her own well-being. In addition, it necessitates one's freedom of choice among various objectives and opportunities to realize them. *Agency objectives* are goals that one has his/her *own reason* to pursue. They are not simply goals of others, nor are they coerced by outside forces (by political, economic means; or by natural disasters); but are autonomously decided or adopted. *Agency achievements* are one's successful attainments "in the pursuit of the totality of her considered goals and objectives" (Sen 1985: 203-206; 1988: 58-61).

These definitions strongly sound like the ones of well-being freedoms (capabilities) and well-being achievements (functionings).² However, Sen (2004: 56) distinguishes between *agency freedoms* and *agency achievements*. He also distinguishes agency freedoms from well-being freedoms (capabilities); and agency achievements from well-being achievements (functionings). For Sen (1985: 206-207; 2004: 19), agency goals and objectives are not restricted to one's own utility and well-being. Sen suggests that human beings are not psychological egoists. They often want to achieve goals that go beyond benefiting themselves. Then, agency goals exceed utility concerns of personal needs and desires; and extends towards collective and altruistic concerns, concerns on well-being of others, concerns of causes, political ideals, human rights and freedom, and the like. Thus, agency freedoms and achievements *include and exceed* well-being freedoms and achievements (Sen 1985: 204-208).

Sen (1992: 58) defines one more substantive freedom as *process freedom* which is concerned with "the processes through which that achievement comes about." More specifically, *process freedom* denotes one's capacity of participation and control over the decision-making and execution processes, which would influence his/her own actual life opportunities, private contexts of daily life and livelihood (Sen 2004: 19; 1992: 56). In relation to the context of human development process, Sen's notion of *agency* also implies the process freedom of people to take proactive roles and actual control over the participative human development policies as decision-makers and stakeholders in determining and pursuing their goals, in the best way to serve the enhancement of their well-being, in accord with their own needs and valued ends (Dreze and Sen 2002: 6-11).

Sen considers substantive freedoms (equivalently capabilities and agency) as both some of the ultimate goals of economic life and development; and the major and most efficient means of economic and human development, provided that they can be actually exercised by alleviation of the deprivations against them (Sen 2004: 27-36). So, for Sen *poverty* is not only actual low well-being, but deprivation of positive freedoms (capabilities and agency), because of the inadequacies and inequalities of various socioeconomic, educational, infrastructural, environmental, institutional, organizational,

² This is why Nussbaum criticised and rejected Sen's distinction between agency/well-being freedoms and achievements. Nevertheless, although she does not employ such a agency/well-being distinction, in her work, her usage of the term "agency" is compatible with Sen's use. She only rejected the distinction, because she believed that the same autonomous agency characteristic of an individual is there in both one's choices and practices for his/her well-being and towards realizing his/her other goals exceeding personal utility (Keleher 2007: 125-129).

societal (communal and familial), legal, cultural and political conditions surrounding people.

Then, overcoming the deprivations against the poor and disadvantaged social groups is central to *poverty reduction* and *human development*, because such deprivations, like hunger, famine, ignorance, an unsustainable economic life, unemployment, barriers to economic fulfilment of women and minority communities, premature death, violation of political freedom and basic rights; inadequacies of social services like education and health; and/or threats to free access to them; and threats to ecosystem services -like inadequate sanitation and fresh water, and/or lack of freedom of access to them, are barriers against capabilities and agency, thus freedoms (Sen 2004:36-43; Anand and Sen 1994: 6-19).

According to the capabilities approach, *empowerment* of people in all aspects of life is a key condition for poverty reduction and human development, although neither Sen nor Nussbaum used the term in their works. Empowerment can generally be understood as the *expansion of capabilities* (well-being and opportunity freedoms) and agency (agency and process freedoms). In this general sense, if one has the *capability* to be in a state of being or doing (like being well-nourished), then he *is empowered* (*has earned the well-being freedom*) to be in that state of being or doing. As one gets empowered to be in a state of being or doing, this implies that he/she has got the *capability* to access certain fields of society to reach the necessary resources, goods and services, relationships, and the like. In this view empowerment is not simply related to the access to market, but can be applied to any field of human life. *Empowerment* also involves expansion and improvement of people's *agency* and *process freedoms*. Thus, empowerment involves expansion of one's freedoms and set of opportunities (achievable resources and personal abilities) for reaching his/her ultimate well-being achievements; his/her own non-utilitarian goals; and having control over the conditions and processes related to one's own actual life and livelihood (Keleher 2007: 98-103; 115-122).

Consequently, *poverty reduction* and *human development* necessitates empowerment of people by eliminating or alleviating the deprivations people face; and actively encouraging them for developing their personal skills and knowledge, having jobs and income and participating to the decision/policy making processes. In this sense, human development policies are projects to *empower people* as proactive *agents* to achieve life opportunities (opportunity vectors) that they have reason to value. These policies should

work not only to enhance present human well-being; but also to ensure that these opportunities would be attained through a just process, expressing autonomous preferences and proactive participation of agencies (Anand and Sen 1994: 6-19; Dreze and Sen 2002: 6-11; UNDP 1990: 1, 9; 1994: 1-4; Keleher 2007: 120-121).

3.3. The Theory of Endogenous Growth

In the mainstream development economics analysis, there had several economic models been theorised about growth. The pioneering example of the post-War growth model was Harrod-Domar model, which explained an economy's growth rate, in terms of the level of saving and productivity of capital. The Harrod-Domar model was the precursor to the Exogenous Growth Model. In the Exogenous (Neo-classical) Growth Model, developed by Solow and Swan in the 1950s, the role of technological change became even more important than the accumulation of capital.

The model assumed that labor and capital is used efficiently in production up to a point, but there are diminishing returns to capital and labor increases. Increasing capital relative to labor creates economic growth, since people can be more productive given more capital. But, because of diminishing returns to capital, economies will eventually reach a point at which no new increase in capital will create economic growth. This point is called a *steady-state economy*. Countries can overcome this steady state and continue growing by inventing new technology, in the long-run. The process of creation of new technology that allows production with fewer resources, thus growth, despite the diminishing returns is called *exogenous*.

The Endogenous Growth Model was developed by economists like Romer Lucas and Barro, in the late 1980s and early 1990s. Being unsatisfied with Solow's approach, which anticipated a steady state limit to growth, these economists had worked to "endogenize" technology in the 1980s. So they developed a sustaining growth model with a mathematical explanation of technological advancement. This model also incorporated the concept of *human capital* that is the skills and knowledge that make workers productive. Unlike physical capital, human capital has increasing rates of return, especially in the long-run. Therefore, economies can carry on a sustainable growth path, without reaching a steady state (Parasız 1996; Kurz and Salvadori 1998: 74-80). Endogenous theories had also emphasized the role of cooperation and trust, as well as competition, in economic growth and development, especially in the long-run. These were

the substantial elements of *social capital*, which formal organizations, partnership networks and flexible inter-firm and inter-sectoral relations are constructed upon, as durable endogenous productive factors (Vazquez-Barquero 2002: 55-72; 95-98; Fukuyama 2001: 7-9; 2002: 23-27).

3.4. Eco-development, Sustainable Development and Ecological Modernization

There are three initial concepts, which were developed in UN circles to relate developmental and environmental concerns, and paved the way towards SHD. These concepts had also emerged and begun to evolve in 1970s and 80s, as a reaction to the ecological critiques of post-War developmentalism, which concentrated on the conflict between development and sustainability of nature. International organizations and intellectual circles who were interested in problems of both development and environment had spent effort to provide an answer against the ecological critiques which emphasized the contradiction between these two; and demanded zero-growth in economy for sustainability of natural life (Vaillancourt 1995: 221-222).

Eco-development was in fact the ancestor of the current concept of sustainable development. This concept was first used in the circles of the “International Institute for the Environment and for Development”. The chair of this institute, Lady Barbara Ward Jackson co-authored the book “Only One Earth” with Rene Dubois as a pre-manifesto for the “UN Conference on Human Environment (Stockholm Conference)”, in Stockholm, in 1972. Maurice Strong, the General Secretary of the conference insisted on the usage of this concept and idea; and it took place in the resultant “Plan of Action of the Stockholm Conference” and within the circles of UN Environment Program (UNEP), which is also the result of the Conference (Vaillancourt 1995: 222-223).

Later on Ignacy Sachs, Johann Galtung, Howard Daugherty, used eco-development meaning “development without neglecting environment”. With this concept, they emphasized that ends of economic development and protection of environment and ecological values do not contradict; and indigenous people must have the possibility to benefit from the regions they lived, justly (Vaillancourt 1995: 223-224; Keleş ve Hamamcı 2002: 163-165).

The concept of “sustainable development” was accepted to be first used in an international document, namely “World Conservation Strategy”, in 1980. Then, it was adopted and developed in the report of the “World Commission on Environment and

Development” (established in 1983) -with the title “Our Common Future”-, which was adopted by UN General Assembly, on 4 August 1987. This report was also known with the name of the Chair of the Commission, Gro Harlem Bruntland, who was also the day’s Prime Minister of Norway (Elliott 1998: 15).

The definition of the concept, in this report was as follows: “Sustainable development is development that meets the needs of the present without compromising the ability of future generations to meet their own needs.” It involves two critical concepts:

- i. the concept of 'needs', in particular the essential needs of the world's poor, to which overriding priority should be given; and
- ii. the idea of limitations imposed by the state of technology and social organization on the environment's ability to meet present and future needs (Bruntland Report 1987: 54).

In this Report the relationship between development and environmental sustainability was considered as follows:

“Humanity has the ability to make development sustainable to ensure that it meets the needs of the present without compromising the ability of future generations to meet their own needs. The concept of sustainable development does imply limits - not absolute limits but limitations imposed by the present state of technology and social organization on environmental resources and by the ability of the biosphere to absorb the effects of human activities. But technology and social organization can be both managed and improved to make way for a new era of economic growth (Bruntland Report 1987: 24).”

So, “the "environment" is where we all live; and "development" is what we all do in attempting to improve our lot within that abode”; and economic development and environmental sustainability do not contradict. On the contrary, today problems of sustaining growth, equitable distribution, eliminating absolute poverty, and sustaining environment can’t be handled separately. Especially for the undeveloped and developing countries they should be handled together (ibid.: 14).

According to the sustainable development strategy:

“There must be a fight against poverty. Poverty is not only an evil in itself but also an environmental disease, which causes more environmental disease. So, it should be fought against, especially in the developing countries. Developing countries need economic growth and equitable distribution of its benefits, to overcome poverty and to realize sustainable development (ibid.: 54-59).”

These passages have provided the mainstream official meaning of the concept of sustainable development, and related meaning of sustainability, within the circles of

international economic institutions. Later on this definition located itself in the center of the global environmental agenda (Elliott 1998:16), and became not only the major conceptual framework in the other UN documents, but also in many other international documents, about these subjects (Merchant 1992: 212-227).

The concept of sustainable development had later been elaborated in a series of other international conferences, summits and documents, of which some of the most notables were the 1992 UN Conference on Environment and Development (Earth Summit), in Rio de Janeiro; 1994 Conference on Population and Development, in Cairo; 1995 Fourth World Conference on Women, in Beijing; 1995 World Summit for Social Development, in Copenhagen; 1996 Second UN Conference on Human Settlements (HABITAT II), in Istanbul; 1997 and 2000 World Water Forums 1-2; and 2002 UN World Summit on Sustainable Development (Rio+20), in Johannesburg. Rio "Earth Summit" resulted in Rio Declaration on Environment and Development and the Agenda 21, as an encompassing and comprehensive UN policy document for handling problems on environment and development; and a program of action for national governments based on principles of sustainable development (Ünver 2001: 4; UNDP 2005: 9).

A third related concept is *ecological modernization*. This concept, which was developed by a group of German and Dutch scholars in the early 1980s, has reflected the approach of an advanced, industrial society, to the environmental and ecological problems; and has been identified as the sustainability approach of Europe and EU (Jackson ve Roberts 1999: 62). According to this approach, environmental problems and conservation of nature may be realized, within the current capitalist socioeconomic, liberal democratic political and representative institutional structures of the developed countries. A stable growth and elimination of environmental problems may be realized together (Ronnikko 2000: 396-397).

Mol (in Buttel 2000: 59) suggested that a early literature of ecological modernization (which included the studies by German and Dutch scholars of 1980s and early 1990s) was based on the main claims that capitalist liberal democracy has the institutional capacity to reform its impact on the natural environment; and that further development (modernization') of capitalist liberal democracy would tend to result in improvement in ecological outcomes. This is why the core literature on ecological modernization has tended to give primary emphasis to environmental improvements in the private sector,

particularly in relation to manufacturing industry and associated sectors (e.g., waste recycling) to simultaneously increase efficiency and minimize pollution and waste.

The later literature that has appeared in the late 1990s, has concentrated on identifying the specific sociopolitical processes through which the further modernization of capitalist liberal democracies leads (or blocks) beneficial ecological outcomes; and on comparative perspectives, and relations among globalization processes, socioeconomic and political modernization, and ecological processes in the South (Buttel 2000: 59-60).

The ecological modernization approach, together with the *endogenous development approach*, has been one of the main elements of the current developmentalist paradigm dominant in EU region, which stressed rather the importance of sustainability of subnational endogenous development than sustainability of nature. EU paradigm rested on the idea that development should be built on subnational development with increased endogenous local potentials achieved by building and mobilization of the local endogenous economic, social, natural and human capacities of regions, as of 1988. It stressed mobilization of unused or underused resources and improvement of the elements of local economic, social and human capital, like human resources, learning from the regional experience, knowledge-transfer networks, local business culture on entrepreneurship, quality of production factors and systems, for increasing local supply (Ertugal 2005: 4-5).

3.5. Right to Development and Human Development

During 1980s, two other fruitful concepts, related to problems of economic growth and humanitarian/egalitarian claims on sustenance of current and future human needs had developed within UN institutional circles: *right to development* and *human development*. These notions had been suggested as answers to neo-marxist and humanistic critiques against the development policies of the previous decades and the neo-liberal structural adjustment policies of 1980s. In addition, a related statistical tool, *HDI* was also developed, and has been used to measure human well-being, since 1990. In fact, both concepts were deeply influenced by the intellectual contributions of Sen to welfare economics, development economics and ethics (Nafziger 2005: 10; Sumner and Tribe 2008:22; Fukuda-Parr 2003: 302-303).

One of the most important institutional contribution to the development of the idea of human development was, UN's adoption of the idea of "Right to Development", with the

Declaration on the Right to Development, by an overwhelming majority, in 1986. This Declaration stated unequivocally that the right to development is a fundamental and inalienable human right (Sengupta 2002: 841). The first article of the text of the Declaration on the Right to Development clearly puts the meaning of the concept of the right to development:

“The right to development is an inalienable human right by virtue of which every human person and all peoples are entitled to participate in and contribute to and enjoy economic, social, cultural, and political development in which all human rights and fundamental freedoms can be fully realized (UNGA 1986).”

This means that, all individual human beings and communities have the right to reach all possible material, social, cultural and political benefits of development. And development should serve to fully realization of human rights and freedoms.

The concept of “*human development*” itself was first used in the first HDR, in 1990 (UNDP 1990). According to the 1990 Report, human development is about “more than GNP growth”, but about GNP (Gross National Product) growth, too. A person's capability access to income is not the sum total of human endeavour, but it is “one of the choices”. Besides, two more economic conditions, reduction of income inequalities and creation of “properly functioning markets” is necessary for people in “exercising their choices”. Advancement in economic indicators and enrichment of people in equity is a necessary but not the sufficient condition for human development. By the words of HDR 1990, itself:

“This Report is about (...) more than GNP growth, more than income and wealth and more than producing commodities and accumulating capital. A person's access to income may be one of the choices, but it is not the sum total of human endeavour. (...)”

People are the real wealth of a nation. The basic objective of development is to create an enabling environment for people to enjoy long, healthy and creative lives” (UNDP 1990: 1, 9).

So, a new approach to development, namely the *human development* perspective, which set “*human well-being*” as the “end of development” (UNDP 1990: 10), has developed by leading figures, like Mahbub ul Haq and Amartya Sen, in UNDP circles (ul Haq 1995: 23; UNDP 2010: vi). As stated before, human development approach was deeply influenced by the intellectual contribution of Sen; and it rested on his capabilities approach to a great level.

Human development, that is basically the actual enhancement of human well-being in all economic, social, cultural and political aspects of life. More specifically, it is a perspective, which focuses on both providing people with actual well-being achievements

and empowering them by expansion of their substantive freedoms (capabilities and agency) for leading worthwhile lives (UNDP 1990: 1, 9; Anand and Sen 1994: 17).

In relation to the context of human development process, Sen's notion of *agency* also implies the process freedom of people to take proactive roles and actual control over the participative human development policies as decision-makers and stakeholders in determining and pursuing their goals, in the best way to serve the enhancement of their well-being, in accord with their own needs and valued ends (Dreze and Sen 2002: 6-11). In this sense, human development policies are projects to *empower people* as proactive agents to achieve life opportunities (opportunity vectors) that they have reason to value. These policies should work not only to enhance present human well-being; but also to ensure that these opportunities would be attained through a just process, expressing autonomous preferences and proactive participation of agencies (Keleher 2007: 120-121).

As a last point, according to capabilities approach human development is not only related to economic growth and rises in production, income and wealth. These are on the one hand, definitely necessary factors for human development as much as they contribute to the elimination of some of the deprivations against improvement of human capabilities. But on the other hand they are not sufficient for actual human development, because there is not an automatic link among growth, income and human development. In fact, this link is contingent, depending on how the fruits of growth is distributed to the disadvantaged groups, specifically the poor; and how additional resources are directed to the support of social services, like health and education. In addition, the institutional and organizational infrastructure of these services is also important. Hence, the link among them should be created through social policies concentrated on poverty reduction and elimination of socioeconomic and other types of deprivations (Anand and Sen 1994: 6-19).

UNDP emphasizes the parallel points, in its original HDR 1990:

“[T]he process of [human] development should at least create a conducive environment for people, individually and collectively, to develop their full potential and to have a reasonable chance of leading productive and creative lives in accord with their needs and interests .

Human development thus concerns more than the formation of human capabilities, such as improved health or knowledge. It also concerns the use of these capabilities, be it for work, leisure or political and cultural activities. (...)

Human freedom is vital for human development. People must be free to exercise their choices in properly functioning markets, and they must have a decisive voice in shaping their political frameworks (UNDP 1990: 1).”

HDI is a statistical tool, developed for efficiently measuring the human well-being. Originally, it depended on measurement of some most critical capabilities as the chance to live a long and healthy life, to be educated and to have access to economic resources (income) needed for a decent standard of living. So, it was a composite index of 5 quality of life indexes: *Life Expectancy Index*, *Education Index*, *Adult Literacy Index*, *Gross Enrollment Index* and *GDP* (UNDP 1990). In HDR 2010, the UNDP began using a new method of calculating the HDI, including three indices: *Life Expectancy Index*, *Education Index (Mean Years of Schooling Index and Expected Years of Schooling Index)* and *Income Index* (UNDP 2010:7).³

3.6. Sustainable Human Development (SHD)

Concept of SHD was also developed by UNDP circles, in order for articulating the economic and humanitarian/egalitarian development claims; and the ecological claims of environmental sustainability, with a clearer emphasis on ecological and humanistic perspectives and gender issues. This concept may be considered as an answer of UN to a variety of ecological, humanistic, egalitarian, feminist and partly post-colonialist critiques against the modernizationist/developmentalist specters of the previous decades; which had evolved through a series of predecessor attempts, since the beginning of 1970s.

SHD concept had primarily been based on the capabilities theory and human development approach, in the core. It also took problems of sustainability into consideration and articulated the human development context with considerations on sustainability. The concept was first introduced by UNDP and widely discussed in HDR 1994. In this report it is defined as:

“[A] new development paradigm (...) that puts people at the centre of development, regards economic growth as a means and not an end, protects the life opportunities of future generations as well as the present generations and respects the natural systems on which all life depends. Such a paradigm of development enables all individuals to enlarge their human capabilities to the full and to put those capabilities to their best use in all fields economic, social, cultural and political. (...)

Sustainable human development addresses both intragenerational and intergenerational equity-enabling all generations, present and future, to make the best use of their potential capabilities. (...)

In the final analysis, sustainable human development is pro-people, pro-jobs and pro-nature. It gives the highest priority to poverty reduction, productive employment, social integration and environmental regeneration. It brings human numbers into balance with the coping capacities of

³ HDI have continuously been calculated for all UN members, since 1990. Some additional indices had also been calculated, in HDRs. For example, in HDR 1991 a *Human Freedom Index* (HFI) (UNDP 1991: 18-21); and in HDR 1992 a *Political Freedom Index* (PFI) were calculated for each country (UNDP 1992: 27-33). But, these indices had not been continuous HDR statistics.

societies and the carrying capacities of nature. It accelerates economic growth and translates it into improvements in human lives, without destroying the natural capital needed to protect the opportunities of future generations. (...) And sustainable human development empowers people-enabling them to design and participate in the processes and events that shape their lives” (UNDP 1994: 4).

As stated in HDR 1994, “*human development*” and “*sustainability*” are two essential components of the universal claims of SHD. This perspective articulates the two contexts as a part of the same overall design, without any tensions; while enlarging the scope of *human development* perspective towards considerations on environmental preservation and regeneration to guarantee the life opportunities of future generations; and the scope of *sustainable development* perspective towards considerations on elimination of poverty and deprivations for providing both intragenerational and intergenerational equity in expansion of human capabilities and opportunities of well-being achievements, in accord with their own choices (UNDP 1994: 13).

In 1997 UNDP Governance Policy Paper, there listed five aspects of SHD, which are all critical in the lives of the poor and the vulnerable:

- i. *Empowerment*: The expansion of men and women's capabilities and choices increase in their ability to exercise those choices free of hunger, want and deprivation. It also increases their opportunity to participate in, or endorse, decision-making affecting their lives.
- ii. *Cooperation*: With a sense of belonging important for personal fulfillment, well-being and a sense of purpose and meaning, human development is concerned with the ways in which people work together and interact.
- iii. *Equity*: The expansion of capabilities and opportunities means more than income - it also means equity, such as an educational system to which everybody should have access.
- iv. *Sustainability*: The needs of this generation must be met without compromising the right of future generations to be free of poverty and deprivation and to exercise their basic capabilities.
- v. *Security*: Particularly the security of livelihood. People need to be freed from threats, such as disease or repression and from sudden harmful disruptions in their lives.

UNDP had emphasized four critical policy elements for SHD, in the development practices it provided partnership: *eliminating poverty*, *creating jobs* and *sustaining human livelihoods*, and promoting the *advancement of women and youth*, within the constraints of protecting and regenerating the environment. Developing the capacities for *good governance* underpins all these objectives (UNDP 1997).

3.7. Critiques of the New Generation of Developmentalist Concepts

The first three concepts (eco-development, sustainable development and ecological modernization) are all strongly related, almost synonymous ones. In its widest possible interpretation, they all denote parallel development strategies, claiming to realize economic growth, along with both humanitarian claims of decreasing poverty and sustenance of human needs of both current and future generations; and ecological claim of environmental sustainability (Vaillancourt 1995: 221; Weale 1995:204; Welford 1995: 8; Bartelmus 1996: 72; Elliott 1998: 180).

However, as a first and most common critique, these concepts are quite vague, and need interpretation. For example, Hajer (in Gibbs 2003: 8) argues that there are two quite distinct and even contradicting interpretations of ecological modernization. First, a very strongly anthropocentric, “techno-corporatist” interpretation, which emphasizes the “economization of the nature”, technological solutions to environmental problems and technocratic/corporatist styles of policy making by scientific, economic, professional and political elites. Secondly, a rather weak anthropocentric view, which stresses the need for broader changes to institutional and economic structures of the society to eliminate ecological problems; open democratic decision-making with participation.

Considering, sustainable development, with its original definition in the Bruntland Report, definition of “needs” are too vague, and not elaborated adequately. It is not clear, which needs are implied; increase in incomes, basic materialistic needs or a wider set of all materialistic, societal, political and psychological human needs, which would be an encompassing basis of human well-being. Nevertheless, most interpreters of the concept accept that “needs” should be interpreted to mean *basic human needs*, which is a concept authentically rooted from the ideas of humanistic welfare economist Seers (UNDP 2011: 17; Szirmai 2005: 6-7). These needs are listed as: *health, education, food, water supply, sanitation, and housing* (Hicks and Streten 1979: 578).

However, humanistic critiques of the original sustainable development concept believe that this definition of needs is too narrow. And related definition of development is a one dimensional suggestion of income growth and distribution equality as the mere factors in overcoming poverty by provision of these goods and services. Thus, it does not refer to the expansion of opportunities and capabilities, human rights, freedoms, choices, participation and empowerment as intrinsic elements of development. But, freedoms and capabilities that enable people to lead meaningful lives go beyond satisfaction of essential needs. In addition, original vision of sustainable development didn't consider the contribution of expansion of freedoms and capabilities to building of human and social capacities (accumulation of human and social capital), which is as necessary for sustainable economic and social development as environmental sustainability (UNDP 1990: 11; UNDP 2011: 17).

As a second point, the authentic definition of sustainable development in Bruntland Report is accused to be an anthropocentric one, all related to current and future human interests. Consideration on environmental sustainability is indirectly implied, for natural resources will be necessary for future economic activities, as factors of production. On the other hand, from a more radical ecological standpoint, concept of sustainable development is a trojan horse, inserted into ecologist and green movements. Growth demands of industrialist society cannot be sustainably fulfilled. The technology level of the industrial society is increasingly demaging the nature life and spread of the capitalist-industrialist society increasingly damaging lives of self-subsistent indigenous communities. Only some remaining forms of traditional communal life and modern ecological experiments respectful to land ethics, might have the potential for ecological sustainability (Şahin 2004; Merchant 1992; Sachs 2007a; Sachs 2007b).

On the other hand, the original notion of sustainable development, is in essence deeply based on a capitalist-market development and considerably influenced by the neo-liberal atmosphere of Washington Consensus. Thus, from the ecological-marxist (eco-marxist, eco-socialist) standpoint, claims of this notion are irrelevant, because attempts for development within capitalistic economic conditions, had been unsuccessful in its humanitarian claims before; and have caused fatal damages on natural resources, up to today. Thus any further claims could not be successful in the future (Başkaya 2000: 211-221).

In essence, concept of SHD was an attempt to propose a more mature normative answer against the critiques of the developmentalist idea and specifically the concept of *sustainable development*. Although, it was partly resting on this idea, while articulating it with the concept of *human development*, as a more strong answer to humanistic critics and the problem of poverty. Building on the capabilities approach of Sen, notion of SHD, by contrast to basic needs and sustainable development definitions, was concerned not only with basic needs satisfaction but also with *human development* as a participatory and dynamic process, which human beings should be *empowered*, participate and control as active *agents*. It brought the *sustainable production* and *equitable distribution* of commodities and the *expansion and use of human capabilities* (rights and freedoms) together; and emphasized *human choices* in shaping of their own livelihoods (UNDP 1990: 11; UNDP 2011: 18)

Thus, it can be concluded that SHD is a more clearly defined and maturer context for development, than *sustainable development*. It has a clearer and more sophisticated humanistic content, based on some major indicators of human well-being, basically defined on Sen's human capabilities theory of welfare and development. It also involves rather a clear emphasis on providing the balance between development needs and the carrying capacities of natural systems.⁴

Honestly, notion of SHD can still not be wholly immune to the radical critiques of sustainable development, from radical ecology and eco-Marxist standpoints, which we mentioned above. First because, SHD paradigm still anticipates the necessity of economic growth to a certain level in favor of human empowerment; hence it is open to the radical ecological critique arguing whether growth demands of industrialist societies can be sustainably fulfilled, with today's damaging technology level, or not (Şahin 2004; Merchant 1992; Sachs 2007a; Sachs 2007b). Secondly, SHD still suggests a capitalist-market model for development, despite suggesting government interventions in the name of social justice. Thus, it is still open to the question whether capitalist economic development, which had been unsuccessful in its humanitarian claims before, and have caused fatal damages on natural resources, up to today, can realize any further claims in the future, or not (Başkaya 2000: 211-221). Nevertheless, it may be concluded that it is at

⁴ The HDR 1994 has a specific warning on the necessity of a critical change in life styles of the rich Northern societies, for sustainability of natural and infrastructural resources. This is also a must for providing the necessary resources for enabling a catch up of the Southern societies with the Northern rich ones, in welfare. In the end, the two groups of societies should meet at an optimum of well-being for ecological sustainability (UNDP 1994: 18).

least a *more encompassing normative context*, which involves and exceeds the claims of sustainable development -in its original definition- in both humanistic and political aspects.⁵

3.8. SHD as a Development Paradigm and Strategy

SHD had originally been the underlining goal of UNDP in its activities; and UNDP has often been identified with SHD, since mid-90s. UNDP took two steps to establish SHD as the development paradigm. By the decision numbered 94/14, the Executive Board of the UNDP decided that: “the overall mission of UNDP should be to assist program countries in their endeavour to realise sustainable human development, in line with their national development programs and priorities (...)”, in 1994. Then, a mission statement was declared, in 1996 (Klingebiel 1999: 180-181; Murphy 2006: 267-268). The mission of UNDP was declared as:

“UNDP's mission is to help countries in their efforts to achieve sustainable human development by assisting them to build their capacity to design and carry out development programs in poverty eradication, employment creation and sustainable livelihoods, the empowerment of women and the protection and regeneration of the environment, giving first priority to poverty eradication (EB-UNDP/UNPF 1996: 39).”

As the global community had gained a deeper interest in concerns on developmental and environmental issues, with the post-Fordist expansion and the considerable economic boom of the world economy, a series of post-Wall global conferences, summit meetings and resultant documents came out, during 1990s, which we mentioned before. Although, SHD had already articulated the UN theoretical backlog on economic, human and sustainable development, in its first mature formulation, in HDR 1994, it had evolved to its maturity, by articulating some new elements, like governance and human rights, to its agenda, till the end of 1990s, throughout this process of conferences and documental formulations (Cain 1995: 68; UNDP 1994: 4; 1997; 1998a; 1998b; 2000).

By the end of the decade, SHD turned to be an encompassing normative paradigm which integrated the concerns of “peace, economy, the environment, social justice and

⁵ However, it should be noted that, the content of sustainable development didn't nail on this original definition. It had rather evolved towards the more sophisticated context of SHD, after the notion of human development was introduced in 1990. In the first half of 1990s there had been some global debates on sustainable development, specifically in “1992 Rio Conference on Environment and Development”; and in “1995 Copenhagen World Summit for Social Development”. These debates resulted in a new context converged to SHD. The proof is the Agenda 21 of 1992 Rio Conference, still serving as one of the practical guides of action for UN organizational family, which will be introduced later in this chapter. Today, both approaches have a common core emphasizing the need for people-centred development, with concerns for human empowerment, participation, gender equality, equitable growth, poverty reduction and long-term sustainability. But, it should not be missed that the start of this convergence, which saved sustainable development from the misconception that it involves only the environmental dimension of development had begun with the introduction of human development and SHD (UNDP 1998a: 14).

democracy”, within a common global development agenda, not only for UNDP, but also for the other UN family organizations which UNDP had played an explicit *de jure* role as the coordinator and promoter of all development work and partnerships in the field, in issues related to economic and social development, and environmental sustainability. SHD had also influenced the national development and environment policies of the members of the international community, specifically through their partnerships with UNDP and other UN organizations. Consequently, this new paradigm, which put *human well-being, human rights, freedoms and agency, and environmental sustainability* in the centre of developmentalism, instead of basic human needs, may be considered to be one of the most important conceptual contribution to global development agenda made by UN in the last century (Cain 1995: 68; UNDP 1994: 4; 1997; 1998a; 1998b; 2000; Ünver 2001; Cruz 2009; Murphy 2006: 5-6, 245-246, 267-268).

3.8.1. Human Development and Empowerment in SHD Context

One of the most definitive elements of SHD paradigm is the dimension of *human development*. According to the original documents which first defined human development and SHD, namely HDR 1990 and HDR 1994, at the heart of the human development is *empowerment* of people for freely choosing among alternative present and future life opportunities (*opportunity freedom*); and actually pursuing and achieving them (*well-being freedom*). In fact this is the ultimate and universal target of human development perspective.

Then, empowerment of people first anticipates expansion of their individual and collective capabilities to be functioned in their best use towards achieving their most valued present functionings (*actual well-being achievements*); and/or as a more critical condition for getting empowered further with new capabilities of future achievable functionings (*future life opportunities*), and thus *future enhancement in their well-being*, in accord with their own socioeconomic, cultural, societal, psychological and political needs; and reasonably and autonomously chosen ends (UNDP 1990: 1, 10; 1994: 13).

This necessitates people to have the substantive freedoms, and actual opportunities to get empowered for participating to various socioeconomic, societal, cultural and political fields. This will enable them to access some basic social (like nutrition, health, education and social security) and ecosystem (like fresh water and sanitation) services for improving their personal qualifications; and a wider range, adequate amounts and higher

quality of the necessary physical and financial resources (means of production, credits, goods and services); to engage into primary and secondary societal relations, institutions and decision and policy-making processes; to establish or participate partnerships and organizations, and the like (UNDP 1990: 1, 10-11; 1994: 18-21).

However, although the substantive freedoms to reach these public facilities and market resources may exist formally for all citizens, actual opportunities and resources are not adequate and equally distributed among individuals and social sectors within real world societies. Some disadvantaged social groups are excluded from fields of public life, so that they are deprived of using or improving their capabilities towards their present and future life opportunities, because of inadequacies, inequalities, repressions or discriminations within the socioeconomic, infrastructural, environmental, institutional, organizational, societal, legal, cultural and political conditions surrounding them (UNDP 1994: 18-21).

Consequently, macro (national, international) and/or micro (regional, local) level *social development policies for eliminating/reducing poverty* is one of the central strategic applications of the SHD perspective, which serves *overcoming the deprivations* that people face. Poverty reduction policies serve to empowering (expanding the capabilities of) individuals to choose and pursue their present and future life opportunities, by equally enabling them to access just and adequate amounts of facilities and resources. The related policies are also supposed to expand the span of possible present and future opportunities of achievable functionings, equally available for all individuals (UNDP 1994: 20).

The policies against poverty focus on some key surrounding conditions, which determine deprivation of people the most, like basic ecosystem and social services (infrastructure for fresh water, waste management and sanitation; regenerated settlements; basic health and nutrition, education, jurisdiction, security and social security systems) to empower people for a better and equal access to these services. Proper receiving of these services would provide people with some immediate well-being achievements towards a better and sustainable livelihoods, secure from some major deprivations, like absolute poverty, famines and hunger, natural disasters, diseases, high infant mortality, low life-expectancy and illiteracy. To deliver a basic level of these services is a must for human development. Thus it may necessitate direct aids, and/or government measures and interventions to provide them to people (UNDP 1994: 13, 19-20; 1990: 3-5).

Proper access to these services would also earn people -and especially the poor and disadvantaged social groups- some physico-mental (physical and mental productive power) and cultural, occupational, productive and entrepreneurial capabilities (vision, skills, knowledge, attitudes and manners) to get empowered for accessing to employment and income opportunities. *Capacity building* via improvements in education systems and facilities of individual training and skill formation are specifically important for both economic and human development in a fast changing technological and economic environment, at national and global levels. Capacity building is also vital for increasing citizen participation to the development policies and implementations; and improving social integration, civil society and democracy, at national, regional and local levels. Thus national policies and government measures for macro level management of information, education, health and human resources (in other words *human capital*) are vital strategic instruments for both sustainable growth and human development today. These may involve measures for providing continuous private and public investments in the fields of health, education and training; and specific occupational and entrepreneurship training and health programs, at national and regional-local levels (UNDP 1990: 3-5; 1994: 20).

Employment would provide the poor with an income to be further empowered for enjoying more goods and services, social and ecosystem services, and thus a sustainable and securer livelihood. Thus, one of the most important policy tool against poverty, hence for human development is *expanding employment (business and job) opportunities*. Conditions of employment creation depend on two major macro factors, *economic development* and *decisive budgetary preferences of governments* towards human development (Anand and Sen 1994: 6-19; UNDP 1990: 3-5).

Policy makers in developing countries are also expected to pay specific attention in promoting the *empowerment and advancement of disadvantaged groups*, like ethnic minorities, disabled people, the poor, and specifically *women and youth*, for fostering human development. Central and local authorities should employ interventions of positive discrimination for these disadvantaged groups, against tendencies of discrimination in the labor markets, public service delivery and politics. The state must ensure that minorities and indigenous people have adequate access to markets, basic social and ecosystem services, and other fields of public life; and they would rather be accorded specific rights

by law, including their culture; and that these rights are respected in practice (UNDP 1990:4; 1994:20-21).

3.8.2. Economic Development in SHD Context

The goals of SHD necessitate sustainable economic development. GNP growth, increases in production of goods and services, improvements in market mechanisms, enlargement of employment and income opportunities, increases in income and wealth, and accumulation of (economic) capital are necessary (but not sufficient) conditions for creating and making present and future life opportunities available. Thus, SHD paradigm anticipates promotion of sustainable economic development (UNDP 1990: 9; 1994: 14-17).

However, economic development is not the focal objective of SHD paradigm; but it is just a dimension that provides some important *means* (like resources, and employment and income opportunities) for reaching its other socioeconomic objectives. As a development strategy, SHD aims to accelerate economic growth while distributing its fruits among present human generations via actual improvements in their actual well-being (UNDP 1990: 9-10; 1994: 17-18).

On the other hand, the link among economic and human development is not an automatic one and should be created by interventions against market failures, through both macro (national) and micro (local-regional) social development policies for poverty reduction and elimination of socioeconomic and other types of deprivations (Anand and Sen 1994: 6-19; UNDP 1990: 3-5). Government fiscal and budgetary policies are key for this. Governments have the political capability to allocating the public resources and income increases towards various fields. SHD sees the opportunity of even low income countries, with moderate growth rates to score high HDIs by *progressive budgetary policies* for social policies against poverty and in favor of public education, health and employment creation. But, this first necessitates serious cuts from expenditures on armament and a transparent budgeting, safe from corruptions, especially in the developing world (UNDP 1990: 4-5).

As one of the most important functioning of economic development, *employment creation* is also related to formation of the suitable economic conditions which enable and promote entrepreneurs towards investing in establishment of new enterprises or capacity increase in existing ones. This necessitates governments and policy makers to intervene

the economy against market failures towards creating a macro environment for promoting and supporting entrepreneurship and technological innovations, especially in favor of SMEs. Such an environment should involve fair and stable macroeconomic policies, a stable and equitable legal-political framework, a sufficient physical infrastructure, an adequate system of incentives, an equitable and decentralized credit system, and equal access opportunities to technological innovations and knowledge spillovers, and adequate physical and human capital with high productivity. Opportunity of reaching well-functioning subnational, national and international markets to sell and buy goods and services are other important elements of an employment creating and poverty reducing human development policy (UNDP 1990: 4-5; 1994: 20).

For more job opportunities, developing countries have the chance to make the efficient use of their human factors of production and benefit their comparative advantage of abundant labour. Thus SHD paradigm encourages governments of developing countries to employ tax and price policies, where appropriate, to encourage labour-intensive employment. In addition, for specifically absolute poor and some other disadvantaged groups, governments or local public authorities may think of creating *public work programs*. In the rural areas, where poverty is more current, social policies may rather involve government measures for providing a more equitable distribution of land and capital resources for agricultural production (UNDP 1990: 4).

3.8.3. Agency, Participatory Democracy and Governance in SHD Context

The second crucial point in empowerment of people is improvement of the *human agency*, within the SHD policies, at all levels from local to international. This denotes primarily providing people with *process freedom* for their participation and empowerment in all decision-making processes which effect their lives; and development processes, as autonomous and reasonable decision-makers and proactive stakeholders in both determining and pursuing the present and future development goals, which people believe that they will provide actual well-being achievements, in accord with their own needs and autonomously decided ends (Dreze and Sen 2002: 6-11; Sen 2004: 19; 1992: 56). SHD strategy has a specific priority of providing the participation and empowerment of some major disadvantaged social groups, like urban and rural poor, women and youth (UNDP 1994: 20).

Thus, SHD strategy anticipates, watches and enthusiastically promotes widening and deepening of *participatory democracy* (UNDP 1990: 1, 10-11, 16), and actual exercise of *human rights and freedoms* (UNDP 1998a: 14; UNDP 1998b; 6-9; UNDP 2000: iii); and capacity building for *good governance* (UNDP 1997) where government and civil society play their role fully and ethically in the national socio-political fields (like legislatures, judiciaries and electoral bodies, administration of central-local public institutions and municipalities, management of private firms, NGOs, and the civic networks of partnerships) of developing countries (UNDP 1997). In addition, this strategy anticipates *a participative development perspective* and *a good governance model* in implementation of development policies which is based on the good governance criteria and aims at empowering participant individuals, social groups and communities with participation and actual control over development policies for determining and pursuing their own present and future development needs and demands, reasonably, autonomously and effectively. The related governance model also gives priority to local-regional development and devolution of authority in favor of empowerment of communities and effective steering of development policies, autonomus from the governments (UNDP 1997; Atkinson 2000: 10-11). This model will be introduced in detail, in the next chapter.

3.8.4. Cooperation, Social Integration and Civil Society in SHD Context

Another objective of SHD strategy is improvement of the, that is the institutional/organizational infrastructure, social integration and collective capabilities of societies, for enhancing their social capacities (in sum *accumulation of social capital*) towards both economic and human development. Social capacities can be enhanced by promoting grass-roots organizations and creating avenues for direct participation; and by bringing governments closer to the people through participative, transparent, effective governance processes, which would lead governments to a responsive, accountable and just attitude against their citizens, under the rule of law against corruptions (UNDP 1990: 6; 1994: 19-21; 1997).

Economic development, and participative, societal and humanitarian concerns of human development can be effective only through combinations of individuals organised within participatory community organizations; and by support of the macro level institutional structure of the society. SHD strategy consistently promotes NGOs and civil societies in countries to get firmly established, adopt an interest in socioeconomic, environmental and developmental issues, and function within consensus orienting *multi-*

level governance partnerships of international, national and regional-local public and private institutions, in designing and implementation of poverty reduction, environmental management, and a series of other strategic policies (UNDP 1990: 6; 1994: 19-21). NGOs play the following crucial roles in these policy partnerships: articulating citizens' interests, and voicing and defending their rights; mediating between citizens and state; mobilizing communities and grass-roots organizations; articulating excluded perspectives and emphasizing national and local-regional development concerns (UNDP 2003a: 14-15; Atkinson 2000: 17).

3.8.5. Peace and International Cooperation in SHD Context

Multi-level partnerships provide a valuable opportunity of financial and know-how (technological supervision) support (Saltik 2008d: 41), and helps to create a policy space made up of various institutions, social groups and citizens, for national and regional-local stakeholders. UNDP experiences in various countries demonstrate that multi-level partnerships create the highest level of synergy when all sides maximize their relative advantages mutually (UNDP 2003a: 15).

On the other hand, international and supra-national regional cooperations among countries provide mutual solidarity among them, especially in cases of natural disasters, endemic diseases and global/regional ecological problems; and prevent unstable international political conditions, like war which will be harmful for SHD policies within countries. Wars and violence are not only direct threats against human life and security; but they are also threats against human and natural environment; and human development since they are all encompassing deprivations against human capabilities, and sources of huge and increasing expenditures on armament (UNDP 1994: 21).

Consequently, success of SHD policies depends on not only national and subnational conditions, but also on international ones. And, a stable and expanding global economy, free and fair flows of trade, technology, capital and labour, and an equitable and stable geopolitical order will also serve the success of supra-national, national and subnational (regional-local) level SHD policies (UNDP 1990: 5-6; 1994: 21, 61).

3.8.6. Sustainability in SHD Context

The other major dimension of SHD paradigm is *sustainability* that is the maintenance of development and life opportunities of future generations. This implies, first the building, maintenance and improvement of individual, socioeconomic,

institutional/organizational, legal, political, cultural and international conditions, necessary for further empowerment –that is improving the agency (participation and control) and expanding the capabilities- of people towards future human development and well-being in all socioeconomic, societal, cultural and political aspects, in the future, as well as at the present (UNDP 1994: 21). Then, sustainability of human development necessitates, socioeconomic and political development of the society as a whole. From another point of view, this means *capacity building* that is maintenance and improvement of various forms of capital within the societies, for their future socioeconomic, political, and consequently human development.⁶

Secondly, it implies *environmental sustainability* that is maintenance of world nature and natural resources of countries for future generations as well as the present ones. Dimension of sustainability, first necessitates *environmental policies* in favor of protection and regeneration of living and non-living nature and biodiversity. SHD puts a specific practical emphasis on protection and regeneration human environment for security of *human livelihoods* within *sustainable rural and urban settlements*, against pollution, erosion of natural and physical surroundings, and ecological disasters, like climate change.

SHD paradigm also anticipates a balance between the carrying capacities of nature and the socioeconomic activities of present societies for their welfare, to prevent destruction of the natural resources needed to protect the life opportunities of future generations This necessitates development of policies which are directed towards structural changes in the socioeconomic human activities into a less material-intensive and a less energy-intensive form, which anticipates *sustainable use of natural resources*; clean and sustainable technologies, waste recycling, and promotion of renewable energy resources in the economic production and physical infrastructure of human livelihoods (UNDP 1990: 7; 1994: 4, 20-21).

SHD perspective observes a strong negative correlation between poverty and environmental sustainability. Poverty is usually seen with poor conditions in human

⁶ UNDP defines capacity building as ‘the process through which individuals, organizations and societies obtain, strengthen and maintain the capabilities to set and achieve their own development objectives over time’ (UNDP 2008: 4). Capacities of a society involve technical and cooperative capabilities of individuals and collective actors; physical, institutional/organizational infrastructures; physical, financial and natural resources; and cultural/normative and legal/political frameworks enabling individual and collective actors to reach development goals (ibid.: 5-6). These in fact correspond to various forms of capital assets held by societies for development.

livelihood. And poor livelihoods reduces both people's productive and entrepreneurial capabilities and their capacity to use resources in a sustainable manner. Thus, poverty intensifies pressures on the ecosystem; and environmental sustainability necessitates *social sustainability*. To ensure both dimensions of sustainability, the economic development must evolve into a less material-intensive and energy-intensive, thus more labor-intensive form, and become more equitable in its distribution (UNDP 1990: 7; UNDP 1994: 20).

In addition, SHD paradigm takes attention to the danger of high population growth against both human well-being and environment. This is true for the whole world population and/but especially for the poorest developing countries. And it is a growing threat specifically against fast growing cities, in the developing world. Consequently, a significant reduction in population growth rates is absolutely essential for visible both improvements in human development levels and protection of natural and human environment (UNDP 1990: 6-7).

War is not only a serious threat against existence, dignity and well-being of human beings; but also one against nature and other species. Thus *international measures against war and armament* are most necessary for sustainability of the existence of humanity and the world as a whole (UNDP 1990: 21).

Sustainability feature also anticipates protection of cultural diversity in the society. The state must ensure that minorities and indigenous communities are accorded specific rights by law, including their culture; and that these rights are respected in practice, for providing social and cultural diversity (UNDP 1994: 21). There is an increased emphasis on the issue of cultural diversity and its relation with environmental sustainability, in the more recent UNDP documents. According to them protection of cultural diversity and traditional cultures is specifically important in providing the agency of local traditional communities in human development, and sustainability of natural resources and biodiversity. Accumulated traditional knowledge and community practices of environmental management, like multiuse strategies of appropriation, small-scale production with little surplus and low energy use, and a variety of custodial approaches to land and natural resources can avoid waste and resource depletion. Thus, supporting the prevalence of these traditional cultural ways can both provide increase in income opportunities and human well-being and protection of natural resources (UNDP 2003a: 42-43; UNDP 2011a: 75-77).

Consequently, it may be concluded that SHD paradigm adopts the multi-dimensional conception of sustainability, introduced above, which combines ecological, economic, socio-political and cultural aspects, in relation to the both ecological and humanistic long-term concerns. Then, *sustainability dimension of SHD* can be said to involve the sub-dimensions this view suggests; as *economic sustainability*, which involves concerns about sustenance of present and future human needs; *social sustainability*, which involves concerns about human well-being, participation and equity among social groups, individuals and generations; *ecological sustainability*, which involves concerns about environment and nature; and *cultural sustainability*, which involves concerns about conservation of cultural wealth and diversity of communities (Ronnikko 2000: 387).

3.8.7. SHD Strategy: SHD Paradigm in Action

By the mid-1990s, SHD had already articulated the UN theoretical backlog on economic, human and sustainable development. As the normative principles of SHD paradigm had been declared in the HDRs and other UNDP documents, as of 1990, it turned to be an encompassing normative paradigm, and a *universal strategy*, which had guided the developmental activities and partnerships of not only UNDP, but also the other UN family organizations which UNDP had officially coordinated and promoted all UN family work and partnerships in the field, in issues related to socioeconomic development and environmental sustainability, all over the world.

As the paradigm had been increasingly recognized by various countries of North and South, UN had arranged a series of summits and conferences, which were named above; and adopted and issued a series of related documents, during 1990s. These activities and documents had contained, elaborated and augmented the scope of the SHD paradigm; derived pillars of an action strategy and some action plans and agendas, which had been influenced by the SHD paradigm; and have been influencing other international institutions, national governments and their development policies in various degrees, up to 2010s (Cain 1995: 68; UNDP 1994: 4; 1997; 1998a; 1998b; 2000; Ünver 2001; Cruz 2009; Murphy 2006: 5-6, 245-246, 267-268).

As one of the most notable examples, the 1992 Rio Conference on Environment and Development resulted in an Environment Plan of Action, Agenda 21. It has been an encompassing and comprehensive UN policy document for handling problems on environment and development; and has served as a program of action for some

international institutions (especially for some UN family organizations) and national governments under the heading of *sustainable development*, since 1992 (UNDP 2005: 9). However, this document successfully augmented and enhanced the deficient claims of Brundtland Report, towards a multidimensional definition of sustainable development, which closely converged to SHD paradigm, by articulating the humanitarian claims of human development agenda declared in HDR 1990.⁷ Specifically, the first chapter of Agenda 21, which was concentrated on the economic and social conditions of sustainable development, totally shared the same principles as the SHD paradigm:

“While managing resources sustainably, an environmental policy that focuses mainly on the conservation and protection of resources must take due account of those who depend on the resources for their livelihoods. (...) An effective strategy for tackling the problems of poverty, development and environment simultaneously should begin by focusing on resources, production and people and should cover demographic issues, enhanced health care and education, the rights of women, the role of youth and of indigenous people and local communities and a democratic participation process in association with improved governance.

Integral to such action is, together with international support, the promotion of economic growth in developing countries that is both sustained and sustainable and direct action in eradicating poverty by strengthening employment and income-generating programs. (...)

The objectives of this program area are:

- (a) To provide all persons urgently with the opportunity to earn a sustainable livelihood;
- (b) To implement policies and strategies that promote adequate levels of funding and focus on integrated human development policies, including income generation, increased local control of resources, local institution-strengthening and capacity-building and greater involvement of non-governmental organizations and local levels of government as delivery mechanisms;
- (c) To develop for all poverty-stricken areas integrated strategies and programs of sound and sustainable management of the environment, resource mobilization, poverty eradication and alleviation, employment and income generation;
- (d) To create a focus in national development plans and budgets on investment in human capital, with special policies and programs directed at rural areas, the urban poor, women and children” (UNSD 1992).

In the end, both approaches have had a common core emphasizing the need for people-centred development, with concerns for participation and governance, poverty reduction, equitable economic growth, employment and income generation, gender equality, empowerment and capacity building for sustainability of development, and environmental sustainability (UNDP 1998a: 14; Ünver 2001: 3-5). Later on, 1994 report

⁷ But, it should not be missed that the start of this convergence, which saved "sustainable development" from the misconception that it involved only the environmental dimension of development had begun with the introduction of human development and SHD (UNDP 1998a: 14). The necessity of articulation of sustainable development and human development ideas had already been declared in HDR 1990. In this report, as a normative consideration it is stated that: "the concept of sustainable development" should be "much broader than the protection of natural resources and the physical environment". People's future choices have to be protected. Sustainable development therefore should also include considerations on protection of future economic growth and future human development (UNDP 1990: 7).

of the UN Secretary General (UNSG), “An Agenda for Development”, had the major claims below:

“Development is a fundamental human right. (...)

Economic growth is the engine of development as a whole. (...) It is not sufficient, however, to pursue economic growth for its own sake. (...) Growth should promote full employment and poverty reduction, and should seek improved patterns of income distribution through greater equality of opportunity. (...)

Throughout much of the developing world, poverty, disease and the need for education and sustainable livelihoods are the most urgent and compelling priorities for development. (...)

People are a country's principal asset. Their well-being defines development. Their energy and initiative drive development. Their characteristics determine the nature and direction of *sustainable human development*. The benefits of investing in people, however, go beyond increasing the productivity of labour (...). A healthy, well-educated citizenry contributes to the social cohesion (...) and (...) dynamism [of] all aspects of life and culture.

Preserving the availability and rationalizing the use of the earth's natural resources are among the most compelling issues that individuals, societies and States must face. (...) Competing needs and interests must be balanced. Present social and economic needs must be satisfied in ways that do not undermine long-term resource availability, or the viability of the ecosystems on which we, and future generations, depend” (UNRSG 1994).

In fact, these claims of *economic growth* and *social justice* for human and social development within the constraints of *environmental sustainability* had been in full accord with the main propositions of the paradigm of SHD, and had become the main strategic mottos for the UN organizational family, in developmental-environmental issues. Further, UNSG “Agenda” also involved the objectives of *peace-building* for eliminating war as an all encompassing depriving factor over people; and improving the *participatory democracy through good governance* as two other underlying goals for countries, at all stages of development (UNSG 1994).

Besides, a more recent prescription of global development goals, known as “Millenium Development Goals (MDGs)” had been derived from UNGA Millenium Declaration, in 2000 (UNGA 2000). These goals were elaborated and re-stated clearly by UNGA, in 2010. In fact, this set of goals embodied some of the major concerns of SHD paradigm as an action plan with concrete targets of urgent practical achievements, until 2015. The main goals are: *eradicating extreme poverty and hunger; achieving universal primary education; promoting gender equality and empower women; promoting global public health for all primarily by reducing child mortality, improving maternal health and combating diseases (HIV/AIDS, malaria and others); ensuring environmental sustainability; and developing a global partnership for development* via multi-level “democratic governance” processes with “improved transparency and accountability” (UNGA 2010).

Principles of the SHD paradigm have not only been an encompassing agenda for UNDP, but also for most of the elements of the UN organizational environment, and a series of other partner international institutions, like OECD, WB and IMF.⁸ Objectives of SHD have been adopted by the UN member national governments; and been embodied in the national development plans and local-regional development programs of many countries, including Turkey, via specific direct references and/or latent influences of MDGs action plan (<http://www.un.org/millenniumgoals>; Handoussa 2010: vi-vii, 7-8).

Consequently, elements of UN organizational family, like UN Development Program (UNDP), UN Environment Program (UNEP), UN Food and Agriculture Organization (FAO), World Food Program (WFP), World Health Organization (WHO), UN Human Settlements Program (UN-HABITAT), UN Conference on Trade and Development (UNCTAD), UN Capital Development Fund (UNCDF) and UN Division for Social Policy and Development (UN/DESA) have been engaged in worldwide action, in a multitude of multi-level partnerships in various countries, including Turkey, and at various levels of implementation locus (national, regional-local) for designing and implementing a series of policies, programs and projects, in accordance with the universal principles, objectives and concerns of the Agenda 21 and MDG action plans, up to today (Atkinson 2000; Bloom et.al. 2001: 45; UNDP/UNCDF 2010; UNDP 2003a; 2007b; 2011b; Cain 1995; Ünver 2001). By this way, some social and political priorities, other than mere economic concerns for growth, have begun to enter into the agenda of national and subnational development plans and programs, like poverty reduction, employment and income generation, building individual and collective capacities (accumulating human and social capital), human rights and freedoms, empowerment of citizens and disadvantaged groups (specifically women and youth), increasing citizen and civil society participation, decentralization, good governance, environmental sustainability and maintainance of natural resources (Cain 1995; Ünver 2001; Handoussa 2010: vi-vii, 7-8).

3.8.8. SHD Paradigm and the Forms of Capital

A development path may be sustainable only if it ensures that the stock of overall capital assets remain constant or increase overtime (Ünver 2001: 3). Thus, sustaining the economic and human development for both present and future generations necessitates

⁸ These institutions and more are working still in partnership with UN organizations, in many developmental and environmental programs and projects, towards realization of MDGs, all over the world (<http://www.un.org/millenniumgoals>).

building and maintaining capacities within the society, by replenishing (maintaining of the existing and accumulating new) *capital assets*, in *all its forms*. Thus, national and subnational policies, programs and projects, implemented in accord with the objectives of SHD strategy should involve contributions to building and maintaining the capacities of the societies *as a whole*, via accumulation and maintenance of all forms of capital within the societies (UNDP 1994: 17-21; Bloom et.al. 2001: 53-63).

3.8.8.1. Definitions of Capital

In its convenient meaning in classical economic theory, capital denotes the economically productive assets (physical and financial factors) in production, which would confront labor in the production process. Accumulation of capital -in its classical meaning- had been one of the major concerns of all growth theories. Today there defined some other forms of capital, which are majorly employed in theories of growth and economic development.⁹ However, they are also widely shared in human development and SHD contexts.

Goodwin (2003: 10) describes five major forms of capital: *produced, financial, human, social and natural capital*. *Produced* (or equivalently *physical*) *capital* denotes the physical assets, like buildings, factories, and machinery produced by the intermediary production sector, as well as roads, communication lines and other kinds of infrastructure. *Financial capital* refers to the monetary resources invested in production, for providing the natural resources and produced (intermediary) goods and services. Produced/physical and financial capital may together be considered as the elements of *economic capital*.

Human capital basically refers to the stock of productive capabilities of individuals both inherited and acquired through education and training, like talents, knowledge, skills, vision, behavioral habits, attitudes and manners; as well as their energy and physico-mental health. It also involves the institutions and investments on goods, services, and the infrastructural conditions of human health and education. *Social capital* consists of the stock of formal and informal networks of human relations, civic participation, trust, cooperation, solidarity, mutual understanding, shared values and socially held knowledge, within the society. And *natural capital* is the stock of natural

⁹ This is why we would call the classical (physical and financial) elements of capital as *economic capital* to distinguish from other forms.

resources usable in economic production and infrastructure of human livelihoods (Goodwin 2003: 2-7).

The diversification in forms of capital depended on considerations and researches on *flexible inter-firm relations* and *partnership networks* first emerged in Northern Italy, and later on in NICs, since 1970s and on (Piore and Sabel 1984; Putnam 1994); and the contributions of *endogenous growth* theories, during 1980s and 90s. Pioneering studies on flexibility and partnerships were carried on by figures like Piore and Sabel (1984) and Putnam (1994). These studies, which we discussed in the previous chapter fostered the elaboration of the notion of *social capital*.

Notion of *human capital* was first incorporated in *endogenous growth* theories, in a meaning of the skills and knowledge that make workers productive. Unlike physical capital, human capital has increasing rates of return, especially in the long-run. Therefore, there are constant returns to capital, and economies never reach a steady state towards sustainable growth (Parasız 1996; Kurz and Salvadori 1998: 74-80). Today, notion of human capital also involves phisico-mental capabilities -thus health conditions- of human beings. It also involves the institutions and investments on goods, services, and the infrastructural conditions of human health and education (Hayami and Godo 2005: 50-51).

Endogenous theories had also emphasized the role of cooperation and trust, as well as competition, in economic growth and development, especially in the long-run. These were the substantial elements of *social capital*, which formal organizations, partnership networks and flexible inter-firm and inter-sectoral relations are constructed upon, as durable endogenous productive factors (Vazquez-Barquero 2002: 55-72; 95-98; Fukuyama 2001: 7-9; 2002: 23-27).

As a last item, debates on development of environmental sustainability brought the considerations on *maintenance of natural capital* by sustainable use of the natural resources. From an economic point of view, natural capital is the natural resources used up in economic and infrastructural activities, and a sustainable economic -and human-development should consider (Holmberg and Sandbrook 1992: 31-33; Barbier et al. 1992: 65-85).

3.8.8.2. Economic Capital in SHD Context

In this thesis, physical and financial capital, and the other factors related to accumulation of these forms of capital -thus economic growth- are considered under the title of *accumulation of economic capital*. Accumulation of economic capital and economic growth may serve SHD, as far as it provides new business, job and income opportunities, and income rises, which are capabilities that may empower individuals for attaining material and cultural resources, goods and services to be able to achieve material and cultural functionings and enhance their well-being (Dreze and Sen 2002: 34-38; Stern et al. 2005: 4-18).

Accumulation of physical capital is first related to the increases in its *quantity* via investments in establishment of new enterprises, and/or capacity increase in old ones by employment of larger production plants and more machinery, in the production process. Besides, accumulation of physical capital is also related to the increases in its *productivity* that is essentially the enhancement of the level of technology it embodies throughout its production process.

As quantity and productivity of physical capital increase, it gets the capacity to provide larger amounts of production; and to generate larger amounts of profits, income and wealth; that is economic growth, which is a necessary (but not sufficient) condition for human development. Consequently, sustainability of human development necessitates long-term sustainable economic growth; thus according to contemporary endogenous approach to growth, it necessitates sustainable accumulation of physical capital and creation and diffusion of technological innovations (R&D investments and knowledge spillovers) within the economy, fostered by endogenous economic mechanisms like competition, need for transactional cost reductions and scale economies provided by investments on R&D and knowledge spillovers (Vazquez-Barquero 2002: 7-8, 45; Smolny 2000: 199-200).

Investments in physical capital, technological innovations and knowledge spillovers necessitate *financial capital* that is sufficient financial resources ready to be invested. Thus sustainable accumulation of physical capital that is sustainable economic growth and human development necessitates a parallel sustainable accumulation of financial capital. Sustainability of financial capital may be provided either by injection of more and more credits and grants to the economy from the outside; or by reproduction of it with an

increased amount through the *valorization process of capital*, within the economy (Tsuru 1976: 179-182).¹⁰

In fact, the healthy way for sustainable accumulation of financial capital -hence economic growth- is providing its endogenous reproduction through the valorization process; and this necessitates a *sustainably increasing market demand* for the increasing outputs of the growing economy for overcoming the *realization problem*; and *accumulation of surplus value* (as *excess profits* and *savings*) in the hands of domestic entrepreneurs to be re-invested to the economy (Tsuru 1976: 182-184; Mandel 2008: 293-301). Savings are accepted to be the main source of financial capital reinvested to the economy; and rate of savings and savings-investment mechanisms are considered as critical factors in growth, according to various theories of economic growth. Endogenous models consider rate of savings and savings-investment relations as endogenous factors adjusted according to the conditions of the economy (rises in income and wealth, interest rates, conditions of real and financial markets, and the like) (Kurz and Salvadori 1998: 65-67, 70, 77-78).

3.8.8.3. Human Capital in SHD Context

In its generally accepted meaning, *human capital* refers to the stock of productive capabilities of individuals both inherited and acquired through education and training, like talents, knowledge, skills, vision, behavioral habits, attitudes and manners; as well as their energy and physico-mental health. Then, improvements in education, cultural level and health conditions of individuals, via investments in improvement of major social (education, trainings and health) and ecosystem (sanitation, fresh water, clean air) services are definitive elements for *accumulation of human capital* (Goodwin 2003: 5-6; Hayami and Godo 2005: 50-51; WHO 2005).

Improvements in individual health, talents, skills, abilities, vision and knowledge are valuable achieved physico-mental, cultural and psychological functionings (being more healthy, being more cultured, being aware of one's capabilities and having self-improvement and self-esteem) themselves, which enhance the well-being of individuals (Dreze and Sen 2002: 39; Anand and Sen 2000: 2039-2040). These are also

¹⁰ This is a term from Marxist economic theory. Marx defined this process as the one that capitalist reproduces his/her initial capital with an additional (surplus) amount of value. According to his notation, the reproduction cycle of capital is denoted as: $M - C - C' - M'$, (M and M' denote 'money'; and C and C' denote 'commodity'), where C' is bigger than C ($C' > C$) in labour-value and there will be a increment of ΔM between M' and M, that is simply the *surplus value*, which is grasped by the capitalist as profit. If this amount is over zero, there will occur the *valorization* of the initial capital. If it is below zero, there will be *devalorization* (Tsuru 1976: 179-182).

improvements in physico-mental, cultural and psychological capabilities of individuals; thus empower them with the freedom to choose among various life opportunities, and to achieve their own future well-being goals, autonomously; and to become proactive agents of development, who would serve future well-being of their communities, in the future. These qualifications also enable individuals to become aware of ecological issues and concerns; and to develop individual and collective agencies to deal with environmental problems (Dreze and Sen 2002: 3-8, 25-26; Anand and Sen 2000: 2039).

These capabilities are also expected to improve individual productive and entrepreneurial capabilities, thus empower individuals to reach new employment (business, job and income opportunities); and provide them a further access to the markets and the basic social and ecosystem services, to achieve further material and cultural functionings, like having social security, improved cultural and health conditions, adequate nutrition, water and sanitation, and the like. They are also expected to gain the capabilities of participating to the institutional/organizational structures, partnership networks, societal life and political decision-making processes (Stern et al. 2005: 19-20; Dreze and Sen 2002: 38-41). Hence, they become capable of appearing “in public without shame”, that is participating to the public life with self-esteem and social prestige (Sen 2000: 4). This would also serve strengthening of solidary and cooperative capabilities of individuals and communities (Dreze and Sen 2002: 28-32).

On the other hand, from the economic point of view, improved occupational, productive and entrepreneurial capabilities of individuals contribute to economic productivity, production and growth. Thus, both capability and endogenous growth approaches emphasise the necessity of sustainable accumulation of human capital in economic growth and its sustainability (Anand and Sen 2000: 2039-2040; Dreze and Sen 2002: 6-8; Smolny 2000: 199-200; Kurz and Salvadori 1998: 74-80). According to endogenous growth theory technological innovations are built in factors of economy and economic growth. The market competition, needs of decreasing production and transactional costs stimulate investments on R&D and other technical innovations; and investments on human capital via increased and continuous technical trainings, since human skills, abilities and knowledge should be improved in parallelism to the improved technology. However, R&D and human capital turn-overs enable scale economies, since they provide more productivity and profits than their costs, in the long-run (Kurz and Salvadori 1998: 74-83). Moreover, sharing the once produced technical knowledge is

more profitable than new R&D investments. Thus, knowledge spillovers in the economy, stimulate human capital investments, further. Thus, technological innovations and knowledge spillovers are major factors of long-term sustainable economic growth (Smolny 2000: 199-200).

Improvement of individuals' health, technical and productive skills, abilities and knowledge they acquire through education and training are some of the most important elements of endogenous and durable productive forces of a society. Although short-term economic returns to human capital investments (on health and education) are rather low; their long-term returns are considerably high and durable. Thus, expenditures and efforts on human capital are rather investments in the future economic growth (Hayami and Godo 2005: 52-54).

3.8.8.4. Social Capital in SHD Context

Social capital is another newly popularized term, after 1990s. One of the pioneer figures who defined it was Putnam. He defined it in a macrosocial manner, as “features of social organisation, such as trust, norms and networks that can improve the efficiency of society by facilitating coordinated actions (Putnam 1994: 167).” Another pioneer of the concept, Bourdieu (in Field 2006:15) defined it as “the sum of resources, actual or virtual, that accrue an individual or a group by virtue of possessing a durable network of more or less institutionalised relationships of mutual acquaintance and recognition.” This definition is rather from the eye of an actor. Development of formal (formal organizations, associations, contractual partnerships) and informal networks of human relationships (communal, familial and peer group circles, partnership networks); increase in civic participation, trust, engagement, cooperation, solidarity, mutual understanding, shared values and socially held knowledge defines accumulation of *social capital*, within the society (Sirovatka and Mares 2008; Putnam 1994: 167-177; Goodwin 2003: 6-7).

Accumulation of social capital contributes to the collective productive and entrepreneurial capabilities of the community by creation of institutional/organizational structures and cooperative, partnership networks to provide inter/intra-sectoral conflict resolution, trust and compromise building; and orienting various productive actors of the civil society and local-regional authorities towards cooperation for production. Thus it is important for productivity and economic growth as a production factor. Social capital may also potentially serve as a sustainable endogenous productive factor. Its

accumulation is very important for the long-term sustainability of collective production and entrepreneurship of communities, and the society, towards a sustainable endogenous economic development (Putnam 1994: 163-176; Vazquez-Barquero 2002: 55-72; 95-98; Fukuyama 2001: 7-9; 2002: 23-27).

Besides, from the viewpoint of human development, it is also valuable for individual empowerment and well-being. A well developed social capital may contribute to *social integration* via formal and informal forms of solidary/cooperative communal and familial networks. These networks may contribute to the actual well-being of individuals, both by satisfying some of their material, societal and psychological needs, via socioeconomic and psychological support provided by some social aids, solidarity, friendship and sense of belonging; or by providing them the resources for development of their individual capabilities.

Secondly, well developed formal and informal networks may empower their individual members to participate to the decision-making processes and shaping of public policies upon the issues which would directly effect their own lives (Coleman, in Field 2006:24-29; Sirovatka and Mares 2008:533-536). Thus it may serve agency freedom and achievements, cooperative capabilities of individuals and communities, via inclusive, deliberative and consensus-orienting decision-making processes, towards their autonomously determined goals (Dreze and Sen 2002: 8-11).

As a last point, accumulation of social capital may contribute to the formation of a “*dense civil society*” within communities and the society through the same consensus-orienting, trustful and cooperative network processes. It also contributes to the articulation of individual interests; and increases group participation and interest representation within national politics, and *improves participatory democracy* (Fukuyama 2001: 11-12; 2002: 26) These are important contributions to collective capabilities and empowerment of the communities towards a *self-governance* capacity (Kooiman 2003: 79-95).

3.8.8.5. Natural Capital in SHD Context

The other important condition for both human development and sustainability is *maintenance of natural capital*, which is employed in production and ecosystem services. This first necessitates regenerating the *stock of natural and infrastructural resources* within the environmental surroundings of human communities, and fighting against the

local, regional and worldwide ecological problems (Holmberg and Sandbrook 1992: 31-33). This is an important point for *sustainability of the natural and human environment*; that is protection of natural life and providing the security of human livelihood within sustainable rural and urban surroundings. Thus it is important for the well-being of both present and future generations.

A *second* point is the *sustainable use of the flowing natural resources* in production and infrastructure of human livelihoods to provide intragenerational equity. This is a longer-term condition for sustainability of human development that necessitates the use of the natural resources in a balance between the socioeconomic activities of present societies and the carrying capacities of nature (Barbier et al. 1992: 65-85). Thus SHD policies should accelerate economic growth and translate it into improvements in present human lives, without destroying the natural capital needed to protect the opportunities of future generations (UNDP 1990: 1; 1994: 4, 14-17).

CHAPTER 4

GOVERNANCE AND RELATED CONCEPTS

Like development, governance was both an old and a new concept. It was first used in XIII. Century French, as “*gouvernance*”, to mean “art of governing” (Insel 2004:128). The term passed to English, as “governance”, in the same meaning in the following century. However, it had not been a popular term in social and political theory, up to 1980s. In 1980s it turned back to the agenda, within a neo-institutional and neoliberal context.

4.1. Rebirth of the Concept and Its Current Definitions

The process of popularization of the understanding of governance, within its current meanings, began in the USA, in 1980s. Originally it was derived in a neo-institutional and neo-liberal discourse, related to economics and firm theory. In fact, its rebirth reflected a change in the economic mind of the global elites. As stated in the previous chapters in detail, 1980s had been the years of the deepening of crisis and overcoming of Fordism and KWS, on the one hand; and establishment of a new couple of global capital accumulation and regulation regimes, namely post-Fordism and neo-liberal form of governance, on the other (Jessop 2005:319, 353-355; Arap 2002: 163-250).

Jessop (2005: 319, 353-355) suggested that, post-Fordist mode of development, and the flexible accumulation regime it involved, necessitated a new mode of regulation through *multi-level governance relationships*, instead of KWS. Neoliberal attack of 1980s on the legal/institutional structure of KWS brought an end to its regulative privileges and capacity, to a great level. The welfare-state and class compromise mechanisms had been deregulated and lost their regulative capacities, too. In such circumstances, a new set of institutions and mechanisms were necessary, for the overall regulation and hegemonic structure within the post-Fordist society.

Meanwhile, in the local-regional level, as the post-Fordist just-in-time producer SMEs became dominant in the economies and the self-regulating, cooperative partnerships within their clusterings came forth, importance of local and regional governance, which involved some horizontally constructed, non-hierarchical, participative and dynamic self-regulating mechanisms, within the cooperative

partnerships, had parallelly increased, since 1970s. These governancial relations meant to provide a new regulation of socioeconomic and politic process with less and less state intervention, at national and local-regional levels. Although governmental and municipal institutions may participate to these governance mechanisms, they were not supposed to be in their traditional privileged position, presumed to be at the top of the hierarchy of organizations. In time, they began to spread acceleratedly and had gained a multilevel character, which exceeded national borders, at the end of 1980s; and had rapidly spread in the international scene, in 1990s (Jessop 2005: 319-325).

Throughout this process concept of governance had been used in various meanings in various contexts. According to Rhodes (1996: 653-660), some major current contexts where governance had been used, may be listed as follows:

- i. The minimal state
- ii. The corporate governance
- iii. The new public management
- iv. Good governance
- v. A socio-sybernetic system
- vi. Self-organising networks”

In this list, the first four items are the current usages of the term, denoting some specific issues within related fields. First and third items are strongly interrelated terms related to field of public administration and state-society relations. The second term is one related to firm theory and business management. Good governance is rather a normative term, supposed to denote the ideal qualifications of a well functioning governance process. The last two meanings were rather normative ones developed within the theoretical considerations about the notion, focusing on its capacity for participative democratic state-society relations and social capital building (Arikboža 2004: 92-93).

4.1.1. Corporate Governance and the New Public Management (NPM)

The term *corporate governance* was originally developed within the literature of the school of New Institutional Economics (NIE), especially in relation to firm theory. This term denoted a new understanding of market and firm management, which basically suggested that firms should face the reality that there are not only production costs,

arising from the production process within the firm, but also some transaction costs, arising from exchange practices in the market. In addition there are other institutional, socio-political and cultural aspects of society, which influence the market relations and the firms, like property rights.

So, according to NIE analysis, in the micro level, firm management should be a *governance process*, that would deal with all these costs and institutional conditions to optimize their profits in relation to them. In the macro level, the institutional conditions (e.g. the exchange relations in the market, property rights, functioning of the public sector and the relations among the state, the market and the civil society) should be arranged in a way that, functional frictions and costs arising from them might be minimized (Williamson 1991:54-57, 80; De Alessi 1991: 45-50).

The best way for this was widening of the cost minimizing rationality of the private sector also by the public sector; minimizing the state -especially its economic activities- towards some basic functions; and creating a competitive atmosphere in production of the services of public institutions -where the citizens whom benefit these services would be treated as customers-, to create an *entrepreneurial government*. *New Public Management (NPM)* approach was the name of this New Right project. During late 1980s and 1990s, NPM had become quite current within governmental institutions under the rule of neoconservative governments, along with the neoliberal economic policies of the Washington Consensus era. NPM also suggested a new, entrepreneurial way of governing for the government and public institutions, especially in the socio-economic issues, where decision-making and implementation of policies would be open to governancial partnerships with the elements of the private sector (firms, finance institutions, entrepreneurs), and the third sector (civil society organizations) (Ataay 2007:17-27).

4.1.2. Principle of Subsidiarity, Decentralization and Related Concepts

During 1980s and 1990s, along with the spread of the NPM regime to Europe and other countries, subnational governance had gained more and more importance. NPM regime urged nation-states to restructure their legislation, policy-making and public management systems towards decentralisation and involvement of non-governmental actors (civil society, the private sector and media), subnational entities (local-regional administrations, local municipalities, and/or regional assemblies and governments) and local communities, according to the principal of *subsidiarity* (Widianingsih 2005;

Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008).

Subsidiarity is an organizing principle stating that matters ought to be handled by the smallest, lowest, or least centralized, thus most possibly decentralized competent authority. The general aim of the principle is to guarantee a degree of autonomy for a lower authority in relation to a higher one; or for a subnational authority in respect to a central government. It therefore involves the devolving of authority towards lower tiers of public administration, or subnational governing bodies. This principle forms the constitutional and institutional basis for federal States.

Originally, it is a norm of the organizational structure and the sociopolitical thought of the Catholic Church, which can be traced back to the Middle Ages and Renaissance. It was first introduced to the political theory, in the 19th Century. Then on, it became a tenet of some forms of conservative and libertarian genres of political thought. It is perhaps presently best known as a general principle of the EU Law, which was established in the 1992 Treaty of Maastricht. This *principle of governance* has become a key concept for defining the relationships between the EU and the member states. As subsidiarity has gained a more prominent role in European politics, it has also seen that subnational governing entities and various civil interest groups effectively reformed its meaning to suit their own needs of decentralization and autonomy (Mele 2004: 2-3; Martin 2010: 3).

Decentralization is essentially a general condition associated with participatory democracy and good governance; and it is a key feature of subsidiarity in public administration, subnational capacity building, empowerment of non-governmental actors (civil society, the private sector and media), subnational authorities and local communities. It basically anticipates expanding the authority and responsibilities of subnational administrations and local municipalities against the central governments; and expanding the participation and engagement of the non-governmental actors and local communities to legislative, judiciary, policy-making, budgeting and implementation, and public administration functions of governments, through good governance mechanisms enabling interest representation, cooperative partnerships and public auditing and monitoring, at all levels (national, regional and local) of governing (Handoussa 2010: 24-25).

Decentralization involves two key features. *Devolution* means the granting of the governing authority partly from the central government to the lower (meso and local) subnational tiers of public management (subnational administrations), local municipalities, and/or subnational political entities (regional assemblies). In other words devolution of authority means provision of the autonomy of legislation, policy decision-making, budgeting and execution to these entities, to a certain degree. Devolution of authority to the lower tiers of subnational administrations and municipalities, can also be called as *deconcentration*.

Delegation means the transfer of some of the fiscal and executive functions and public service responsibilities from the central governments to the subnational governments and/or administrations, local municipalities; and/or elements of the private sector and the civil society. If public functions and responsibilities are delegated to the private sector and/or the civil society, this may also be called as *debureaucratization*. The emergence of CSOs and NGOs functioning in areas that traditionally belonged to governments is a result of the governments' inadequacies, limited resources and bureaucratic rigidities in delivering services, especially at the subnational levels of governing (Handoussa 2010: 30, 33-34; Brillantes Junior and Sonco II 2005; 3-4).

4.1.3. Subnational Governance

During 1970s, some pioneer forms of subnational governance had emerged, along with the emergence of the clusters of SMEs and the flexibly organised inter-firm relations among them, especially in Northern Italy. Later on, this type of clusters and governancial relations spread to other NICs. These relations involved networks of partnerships among local and/or regional clusters of some small or medium sized enterprises (SMEs), which were flexibly organized towards just-in-time production. They were built upon casual contracts, which were oriented towards production of certain products. These could be either long-term or temporary contracts, which would end after a certain just-in-time production project was realized, or else. The SMEs, who created these networks were usually organized within professional and sectoral associations and chambers, which played a steering role in the governancial relations of the partner members of the networks (Piore and Sabel 1984: 265-267).

During 1980s and 1990s, as the NPM regime strengthened and spread, these economic subnational governancial relations had also gained importance, and stimulated

the spread of governance relations to the national and subnational political structures. Nation-states began to restructure their public management systems towards decentralisation and devolution of authority to local-regional entities, according to the principle of *subsidiarity* (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008).

At subnational levels, *political decentralization* has served empowerment of subnational administrations and local municipalities by expanding their autonomy in local policy-making and public service provision with greater control over local fiscal, physical and natural public resources via *devolution of authority* and *delegation of some government functions and responsibilities*. *Fiscal decentralization* has been an additional condition which means devolution of control on some fiscal revenues and public spending decisions, in favor of local authorities. It also involves delegation of responsibilities of collecting some of the tax and fine revenues and making public spendings for fulfilling local public services. (Handoussa 2010: 24-25, 30).

Having been empowered by decentralization, subnational authorities have become capable of making their own local-regional regulations, fiscal and public policies, and socioeconomic development policies; and playing a more critical role in promoting and moderating popular participation to the subnational legislation and policy-making, through governance processes.¹ The regional and municipal authorities (and even elements of the national authority) have begun to participate to the partnership networks together with the local elements of the private sector (firms, finance institutions, entrepreneurs), and the civil society (NGOs and QUANGOs); and to steer them towards local-regional policy goals through governancial mechanisms (SNV/UNDP 2009; UNDP/UNCDF 2010: 5).

Political and fiscal decentralization has also empowered local communities by providing the civil society, private sector and grassroots citizen participation to local policy decision-making, budgeting, service provision, and resource management via participative local governance mechanisms. As national, regional and municipal authorities get involved to the local-regional partnership networks, authority devolves into the governancial decision-making and implementation mechanisms. This has

¹ The country experiences of participatory development planning and budgeting (like the one in Brazil) support that local authorities can enable greater community participation and control in participative governance processes (UNDP/UNCDF 2010: 5).

provided an increase in participation of the organized social groups, to the decision-making, implementation and auditing of local-regional policies. In addition, previously unorganized groups has begun to organize in NGOs to participate to the local-regional networks and governance processes (Zimmer 2006). Thus *accumulation of social capital* (Putnam 1994: 163-176) and *formation of a dense civil society* (Fukuyama 2001: 11-12) within the local communities have accelerated, since 1990s.

4.1.4. Global Governance

Troughout the post-Fordist globalization process there we have witnessed a global integration of the regulation of socioeconomic and political processes, which were once regulated by the nation-states within the national borders, via multilevel governancial relations. These global governancial relations, which emerged in 1980s and had spread very rapidly, in 1990s, involved international networks of economic, political and civil cooperative partnerships, among international, national and local-regional level partners; and some horizontally constructed, participative and dynamically self-regulating mechanisms to arrange the relations among various partners and actors from the three levels (Jessop 2005: 353-355).

By virtue of the multi-level governance networks, globalization ran faster and the post-Fordist global configuration has been a more integrated form than the previous Fordist one. As Lipietz (1987) pointed, this provided the global post-Fordism possible. The increasing importance of multi-level governance networks provided a parallel increase in both global level relationships and subnational ones. Hence, globalization, localization and regionalization (in both supra-national and subnational levels) have been parallel global trends, both getting realized simultaneously. Thus, post-Fordist globalization trend has also ben a parallel trend of localization and regionalization, or as a whole a trend of *glocalization* (Jessop 2005: 294-295, 319-323; Tekeli 2006b: 439).

As globalization and localization developed hand in hand nation-states began to loose their privileged positions in the between, both in the domestic socioeconomic affairs and on national and global governance processes. Nevertheless, they still have carried on some claims to exist, with their parts in the horizontal multi-level governance partnerships; and some specific other functions, which might be still fulfilled by states, like military and security (Jessop 2005: 325-330; Şaylan 1995: 88-96; 203-213; Ulagay 2000: 104-105).

At international level of these multi-level partnership networks, there have been some international institutions, like WB, IMF, OECD, UN and the elements of UN institutional system (e.g. UNDP); some supra-national regional institutions, like EU or North American Free Trade Area (NAFTA); or some international NGOs and TNCs. In the national level nation-state institutions, nation-wide corporations or NGOs; and in the local-regional level, local municipalities, universities, SMEs, and local NGOs, have also participated in these governancial partnership networks. By the adoption of the perspective of the neo-liberal form of governance by the international institutions, the idea of *global governance* began to shape, at the end of 80s.

The concept was first seen in a 1989 document of WB, in its current meaning (WB 1989: xii, 61). This meant an effort to spread the governance practices in the national, local and/or regional levels, all over the world and articulate these practices, around the loci of the international organizations we mentioned, towards a supra-national, global level decision-making and governing structure. These organizations focused on the governance on socio-economic issues, where they put emphasis on shaping and efficient functioning of the markets via partnerships of public (government), private and third sector initiatives (Bayramoğlu 2004; Özçelik 2006).

On the other hand, governance structure in EU has been a specific example in this field. This was the result of a series of EU decisions and acts, and in the end the Council adopted Decision 87/373/EEC, known as the Comitology Decision, in 1987. With this decision the Council delegated policy-making authority to the Commission, thru a complex system of committees (Korkmaz 2006: 29-30).

4.1.5. Good Governance

In 1990s, the adoption of the NPM perspective in public administration and government-society relations, prepared the base for development of the idea of governance and spreading of related practices, within the organizational structures of corporations and institutions, and in development policies and implementations, at international, national and local-regional levels. As the idea and practices of governance gained importance in the organizational structures, and the economic and political structures and developmental implementations of the member countries of the international organizations, like UN, IMF and WB, normative considerations on the qualifications of the governance practices gained a parallel importance (Woods 2000: 1-

4). For example in the 1989 WB report, it is stated that the reason for the unsuccessfulness of the past thirty years' economic development policies in the Sub-Saharan (Africa) countries was the lack of qualifications of *good governance* and the resultant corruption in the public institutions and government-governed relations (WB 1989: xii, 61).

Later on, the criteria of good governance had been adopted by the international institutions, during 1990s. UN organizational family, and specifically UNDP, put a central emphasis on employment of multi-level, bottom-up participative good governance mechanisms, in the development partnerships it participated and supported in various countries. Societies are expected to create macro and micro level good governance mechanisms, processes and institutions that promote decentralization and devolution of authority; and support and sustain human development, especially for the poorest and most marginal, excluded social groups (UNDP 1997).

Good governance is a wider term than governance, which involved some other definitive elements than participation, pointing to some complementary dimensions of an expected decentralized, democratic, just and egalitarian government-society (or rather policy maker and stakeholder) relationship, free from corruptions. Good governance implementations are expected to have some normative qualifications, like transparency, accountability, equality and obedience to the rule of legal and ethical norms, against corruptions. These qualifications are supposed to provide conflict resolution and consensus orientation; thus contribute to the trust formation, solidarity and cooperative partnerships among diverse sectors and actors (citizens, social groups, corporations, NGOs, QUANGOs, public authorities and institutions) of the society, via an open, just, egalitarian and deliberative governance process (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008).

“Good governance comprises the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences. (...)

[It] ensures that political, social and economic priorities are based on broad consensus in society and that the voices of the poorest and the most vulnerable are heard in decision-making over the allocation of development resources” (UNDP 1997).

As a last point good governance processes are expected to provide a just and effective allocation and use of resources towards the maximum possible benefit of the people, especially of the most disadvantaged and marginalised social groups, within the

society. Then, the most definitive elements of good governance, may be listed below, according to their UNDP (1997) formulations:

- i. *Participation*: All men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their interests. Such broad participation is built on freedom of association and speech, as well as capacities to *participate* constructively.
- ii. *Rule of Law*: Legal frameworks should be fair and enforced impartially, particularly the laws on human rights.
- iii. *Transparency*: Transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them.
- iv. *Responsiveness*: Institutions and processes try to serve all stakeholders.
- v. *Consensus Orientation*: Good governance mediates differing interests to reach a broad consensus on what is in the best interests of the group and, where possible, on policies and procedures.
- vi. *Equity*: All men and women have opportunities to improve or maintain their well-being.
- vii. *Effectiveness and Efficiency*: Processes and institutions produce results that meet needs while making the best use of resources.
- viii. *Accountability*: Decision-makers in government, the private sector and civil society organisations are accountable to the public, as well as to institutional stakeholders. This accountability differs depending on the organisation and whether the decision is internal or external to an organisation.
- ix. *Strategic Vision*: Leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural and social complexities in which that perspective is grounded.

4.2. Theoretical Considerations on Governance and Related Concepts

In 1990s, there also began some intellectual and academic attempts to theorize on the notion of governance. Some of these aimed to create general theoretical framework to understand the governancial mechanisms.

4.2.1. General Theories

One of the major contributors to the literature on governance was Kooiman, who suggested the understanding of governance as a *socio-cybernetic system*. He wrote two important texts on the topic, in 1993 and 2000. He began with three basic cybernetic categories, which applied to both nature and the modern society: *dynamics*, *complexity* and *diversity*. Kooiman argued that in contemporary societies, where such a dynamic change process, complexity and diversity exist, the traditional approach of government would not work properly. So a new governancial approach, whose basic function would be steering the multi-dimensional interactions of the plenty of diverse parties in the society towards common tasks should have developed. In such a system the responsibility of the tasks will be on all three parties: the state, the private sector and the civil society (Kooiman 1994: 36-48).

Another important theoretical contributor was Rhodes (1996). He theorized governance as self-organising networks. According to Rhodes, governance is steering of networks of actors that take shape for providing services. These networks arise because of mutual dependency of many actors, and current duty of governing is providing the coordination and supervision for cooperation (Rhodes 1996: 658-661).

The emphasis of Brown and Ashman was on partnerships. They argued that to overcome the problems of the complex contemporary world is only possible by partnerships of the three sectors of society: public (the state), private and the civil society. So governance is steering of such partnerships, towards common tasks (Brown and Ashman, in Arikboža 2004: 94-98).

There are some common points in all three approaches. They all describe the governance process as a participative one that all parties (stakeholders) whom are related to the issues may get involved. Also the process is one that a plenty of diverse parties come together, reach an optimal consensus and cooperate within a synergy, towards creating the social capital to overcome common tasks. Here the major task of the government, local-regional authorities and the public sector is steering of this process, towards those common tasks. Hence, these major elements may provide a working definition of governance, in this thesis: “a participative, cooperative and deliberative steering process, which brings a plenty of related parties, and lead them compromise building and construct partnerships.”

On the other hand, Jessop (2005) related governance to the development of the post-Fordist accumulation regime, as its relevant mode of regulation. Complementary to this he developed a fruitful theoretical framework, by articulating the Gramscian political analysis and theory of regulation of the Parisian Regulation School. By this way he theorised that as a mode of regulation, multilevel governance mechanisms were suitably designed for regulation of the quite complex socioeconomic and political relations of the post-Fordist world, from the local up to the global levels. By providing this governance, it articulated the local relationships under a *hegemonic block*; and articulates the local to the upper levels, by providing the consent of participants of the partnership networks.

In Gramscian terminology, hegemony is constructed basically on popular consent. In fact, the decentralized and devolved governancial political structures have become more and more necessary as the deregulated and complex structure of the post-Fordist society dominates, by spreading the hegemony to the lowest level -local level- of the society. So participatory character of governance is in fact necessary for creating the consent for the hegemonic relationships (Jessop 2005:353-355, 361-362).

4.2.2. Governance, Civil Society and Participatory Democracy

Idea of governance has important claims on its participatory democratic character. However, this point should be carefully examined. Participation is one of the most debated terms of the political theory. These debates were related to theory of democracy. From the beginning of the Western democracy in ancient age of Greek city states, participation had been an aspect of democracy. In those ancient times, every citizen had the right to directly participate to the decision making. However, the definition of citizen didn't involve women, slaves and children (Dulkadir 2008:29-48).

Nevertheless, Athenian democracy had served as an ideal form of direct democracy, especially for the Republican democratic theories of the modern ages. One of the most important champions of the Republican democracy was Rousseau. For him, participation was the essence of democracy and freedom. He was a serious critic of the newly establishing representative liberal democracies. For Rousseau, citizens shouldn't give up their right to participate to the decision making and formation of *general will*, for the sake of a group of representatives (Held 1996:56-60).

Rousseau's emphasis on participation was later followed by some other radical thinkers like Marx and Engels; and a whole tradition of anarchist and anarcho-comunist

radicals, like Bakunin and Kropotkin. These radicals, championed some utopian forms of stateless direct democracy, where every citizen had the right to participate to the general will; and moreover to the decision making in every particular social space they spend their lives, like their towns, districts, work places, and the like.

However, modern political sphere had been basically shaped by the liberal representative democracy, since the French Revolution. This is why post-War modernists accepted it to be the political ultimate end for developing countries. In post-War era, liberal representative system successfully articulated to Fordism and KWS. In its mature form it involved a representative structure, where only a group of elites of various interest groups directly participated, in the name of the groups they represented, as what Dahl called as *polyarchy*. The rest of the political system involved the interest groups and interest representation systems, in pluralist or corporatist forms (Held 1996:199-232).

By the crisis of Fordism, a debate on crisis of liberal democracies had also begun, since 1970s. These debates resulted in formulation of theories of *radical democracy*, which proposed that the legitimacy crisis of representative democracies may be overcome by increasing the participative capacity of citizens, through other channels, than voting in elections. A leading theory of radical democracy was Habermas' theory of *deliberative democracy*, in which Habermas suggested that citizens should benefit the deliberative communication channels of *public sphere* (media, some public meeting places, arts, literature and internet) and *civil society*, for participation to the formation of public opinion about current political events. By this way, citizens would have more opportunity to voice their demands and influence the political elites of the representative system, via rational, free and democratic communicative action (Keyman 1999:137-146).

Some radical answers to the crisis of representative democracy had also come from a variety of radical authors, from various strands of thought. One of them was Bookchin. As an ecoanarchist, Bookchin (1994:478) suggested that in a libertarian ecological society, institutions and sociopolitical relations should depend on face-to-face human interactions. All citizens must have the right and opportunity of direct participation and face-to-face deliberation. Thus, Bookchin suggested that political organization should begin within local level institutions, where citizens may directly participate and come into contact. Developing this idea he suggested a more sophisticated political regime, called *libertarian municipalism* (Bookchin 1986:164-184; Biehl and Bookchin 1998). Then Bookchin (1999) reformulated his ideal as *confederalism*. Both models rejected the

existence of a central state. In its latest formulation, confederalism, suggested networks of coordination among autonomous local-regional municipal political entities, instead of a state (Bookchin 1999: 361-378).

In its common political implementations, *governance* model suggests a more moderate deliberative democratic way of popular participation to the decision making and public policy design by majorly through the agency of the private (firms and corporations) and the third sector (civil society) elements, as negotiators, decision-makers and stakeholders. The national and international institutions (like central government institutions, EU or UN) strongly encourage the participation of the national or subnational NGOs and QUANGOs to the governance processes for various purposes, together with the elements of the public and private sectors. This is why civil society and governance have been key concepts, which have been used within the same context. NGOs are supposed to be the major target respondents of the governance practices, as negotiators and stakeholders (Zimmer 2006). And rebirth of governance had come along with the resurrection of the civil society, during 1990s (Cohen and Arato 1992: 15).²

Consequently, governance model encourages various sectors of the society towards formation of representative NGOs to channel their participation into the governance processes as organised and empowered actors to deliberate and influence public policies; to gain better and wider access to public resources; and to provide checks and balances on government power and monitor political abuses. Civic networks *moderate the dilemmas of collective action* by institutionalising social interaction and deliberative communication, articulating intragroup interests, reducing intergroup conflicts, fostering trust, making political and economic transactions easier; and amplifying the information flow as the basis for reliable political, economic and social cooperation and public participation of civil society members (Zimmer 2006; UNDP 1997).³

On the other hand, some figures, like Kooiman (2003: 79-95), suggest a society-centered *self-governance* model, which emphasizes the civil society's potential for

² There were some other historical reasons of this resurrection of civil society. One of them was the upheaval of the Eastern Europeans against the communist regimes, via *bloodless revolutions* where a self-organized and autonomous civil society, made up of independent civic organizations and independent means of public opinion and communication played major roles (Cohen and Arato 1992: 15, 31-32; Hann 1996: 7-8). Another reason was the process of emergence and strengthening of the *new social movements* and NGOs arising upon related grassroots political movements within the Western political arena, since 1968 (Wallerstein 1994: 11-12; Belge 1998: 24-26).

³ These issues are some of the main elements of accumulation of the social capital within the society (UNDP 1997). Thus, participative governance processes, accumulation of social capital and formation of a well-structured dense civil society are related features, at national, regional and local levels of the society (Putnam 1994: 163-176; Fukuyama 2001: 11-12).

autonomous self-organizing and self-governing, without steering bodies and authorities. It also denotes the ability of communities to develop and carry on their self-identity, free from state interference. This approach is put as a *society-centered governance* model against a *government-centered* one (Kooiman 2003: 79-95). Rhodes (in O'Toole 2005: 281) called this relatively radical model as “governance without government” and labeled it as the *communitarian approach* to governance.

However, this is a hypothetical and normative suggestion. In fact, when compared with such radical suggestions of direct participative democracy, which necessitate radical changes in society, it is clear that general formulations and real life applications of governance models don't go so far. Actual governance models still presume the existence of steering authorities and policy makers, which civic governancial networks would articulate around; and a central state, although degraded to its minimal functions. Thus, governance serve both *participation* and *empowerment* of civil society and people in the decision-making up to a certain degree; and their advocacy and *proactive* (reasonable, voluntary, advocated, responsible and creative) *engagement* to the policy implementations by *legitimization* of the policy outcomes that policy makers and governments pursue.

Nevertheless, governance model may still be a considerably more participatory alternative, compared with the convenient representative democracy. It definitely provides a considerable level of decentralization and devolution, in favor of local-regional entities and authorities, in determining local-regional policies. It provides more space for the civil society, private sector and populace in general, provided that some important conditions are taken into account (Fung 2006: 66-67):

- i. *Participant Selection*: For more participative governance mechanisms, who participates to the governance processes is important. They should rather engage the widest range of social sectors into the processes, via their representative actors. Participant actors should have representative qualifications, in the name of various important social groups and sectors. This is especially important for the representation of the disadvantaged groups.
- ii. *Communication and Decision*: For more participative governance mechanisms, the forms of interaction and communication within the governance venues and meetings is important. There should be an efficient flow of information between

the experts of the steering bodies and the popular participants. Participants should be able to freely state their problems and demands, in an open, horizontal and friendly communication atmosphere. They should also be able to deliberate issues and bargain on their interests, freely and effectively. The relationship between the public sector representators or administrators, and the popular actors should be horizontal; so that public representators should behave as equal, compromising, responsive and cooperative partners, in their interactions with the others. They may express their own preferences; but not as rulers, so that they should also listen to the preferences of the others. As the authoritative manner of the public partners decreases, participation and empowerment of other parties will increase.

iii. *Authority and Power*: For more participative governance mechanisms, the decisions should not be made by the experts or the public authorities. Popular participants must be free and equal in participating the final decisions, so that they can feel the sense of control. The decisions made in the governance venues must be effective on public policies and administration. So, the attitude of the public authorities in the governance mechanisms is important. Public authorities must show respect or at least take the final common decisions into account. As their responsiveness to common decisions increase empowerment of other parties will increase.

If the relationships in these three dimension are configured in a more participative, egalitarian and efficient manner, the governance process will be successful in providing empowerment (both actual and perceived), and positive judgements of the participant citizens about the decision outcomes in three points: *legitimacy*, *justice* and *effectiveness*. Then, the governance mechanisms and its decision outcomes (the policies) will gain strong support of the participants and the citizen groups they represent (Fung 2006: 68-74).

4.2.3. Governance, Participative Development and Agency

Participative development policies are rather examples of the new generation of development policies, which first emerged in 1980s. This decade ironically witnessed both the rise of the neo-liberal approaches and the participative approaches (in favor of disadvantaged groups) to development issues (Saltık and Açıklan 2008:153). Today, there seems to be a widespread agreement among various steering actors from local

community development practitioners to the policy makers in WB and UN, on minding the grassroots participation in development policies and practices (Eversole and Martin 2005a: 1).

Participation, in the development context, is a process through which individuals, and private and civil institutional elements of the society get involved, take initiatives, and have direct influences on the preparation of the development policies, and related development practices (plans, programs and projects) with their own creativity. According to participative development approach, people are not supposed to be mere *passive receivers* of development services delivered by outsiders, but *proactive* and *creative agents* who could voluntarily participate to the decision-making processes to shape the planning of the policies, plans, programs and projects; and take proactive roles in their implementation, monitoring and evaluation, with their creative capacities in problem definition and solving (Saltık 2008a: 31).

Participative development policies and practices aim at specifically the participation of the major disadvantaged social groups and communities, whom these policies primarily address to. However, for the participative development practices to be effective in providing sustainable contributions to the well-being of these groups at the maximum level, the main condition is promoting their full participation to all steps of the process (planning, budgeting, implementation, monitoring and evaluation) so that they would be empowered and encouraged to be reasonable, responsible and accountable decision-makers, and voluntary, active and creative stakeholders (Saltık and Açıklın 2008: 153-154; Rietbergen-McCracken 2011).

People's participation to the decision-making and policy implementations should not only be as interest *representatives* against steering bodies and public authorities; and it should not be considered as mere an *instrument* for the steering bodies in policy implementation, for providing engagement of people and the civil society. People should be involved to the decision-making and implementation steps of the policies as *transformative* actors in real control of the development agenda itself, rather than being mere “protagonists of the roles” that the steering bodies frame for them (White in Eversole and Martin 2005a: 7). These conditions would enable people to be empowered and creative agents of long-term development, with their sustainable achievements and experiences from the policy implementations. This is a crucial point in distinguishing

development programs from *humane aid programs*, which consider people as mere service receivers (Saltık 2008b: 129-131).

According to the capabilities approach, these issues imply the *agency of the people*; so that development policies will rest on what they have reason to value as good and necessary for themselves (Sen 2002: 585). Then, a participative development policy should *empower* people with the *opportunity freedom* of actively valuing and deciding what is best for themselves, among a series of possible life opportunities; and expansion of their capabilities (freedoms, resources and personal qualifications) for reaching their ultimate well-being achievements, their own non-utilitarian goals, and future life opportunities, in accord with their own autonomous and reasonable preferences. In addition participative development policies should provide people with *process freedom*, that is their active participation and actual control (empowerment) over decision-making and implementation processes related to their own actual development needs and goals. These needs, goals, and the policy implementations should be determined by people reasonably and autonomously through participative decision-making processes and without outsider (expertise or government) coercion or manipulations; and should be implemented by people's *proactive engagement* (Sen 2004: 19; 1992: 56; Dreze and Sen 2002: 6-11; Keleher 2007: 98-103; 120-121; Saltık 2008b: 129-131).

A variety of PGMs, like governance councils, assemblies and the like organizations; local referenda, participative baseline surveys, online and face to face discussion forums and citizens' juries have become widespread in planning, design, implementation and following steps of the development policies, all over the world, since late 1980s. The major purposes of these mechanisms are to encourage and empower the major target social groups, individuals and communities to deliberate, compromise and collaborate for creating and implementing their own common solutions to their common problems towards enhancing their own present and future well-being. They are also expected to provide devolution of authority and decentralization in favor of local communities and autonomy of the steering bodies; and some other normative qualifications (of good governance) in the relationships among policy makers, steering bodies, public authorities, stakeholders and citizens (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008).

Governance processes initiated for various purposes including participative development programs have encouraged the involvement of the national and

regional/local level NGOs and QUANGOs to these processes, at the national, regional and local levels, as well as other institutional actors. This is why NGOs are supposed to be the major target audience and stakeholders of the participative development policies; and various sectors of the society, beginning from the most disadvantaged and marginalised ones have been encouraged towards formation of representative NGOs to channel their participation into the governance processes as organised and empowered actors against steering bodies and public authorities to influence the planning and design of the policies, playing proactive stakeholder roles and gain better, wider and just access to policy implementations and resources (incentives, programs or projects) (Zimmer 2006; Saltık 2008c: 59-62; Saltık and Gülçubuk 2008). Other possible contributions of NGOs in participative governance processes within development policies are spreading consciousness and information among the people about development and importance of participation in development policies; developing and implementing development programs and projects as steering bodies; and contributing to the empowerment of disadvantaged audience groups through initiating participative governance processes. Partnerships will provide distribution of the financial and organizational burden of the policy practices thus increase their feasibility; provide international financial resources, technical know-how, and a universal strategic vision to the policy practices, through multi-level governance partnerships (Saltık 2008c: 59-62; Saltık and Gülçubuk 2008).

Provided that they involve the good governance qualifications, governance processes are expected to contribute to the decentralizing, deliberative, egalitarian and inclusive capacity of the participative development policies; egalitarian, just and trustful relationships between policy makers and steering institutions; and the popular stakeholders and citizens, free from corruptions. They are also supposed to increase the democratic participation of various sectors and actors of the society to the development policies and implementations; increase the trust, consensus, solidarity and cooperative partnerships; and just and effective allocation and use of resources towards the maximum possible benefit of the people, especially of the most disadvantaged and marginalised social groups, within the society (UNDP 1997).

The succes of the governance processes also depends on whether the mechanisms they employ, involve congruent *participation*, *communication* and *authority* structures, which would enable the participation of the widest range of social sectors with the most representative attendants; and an efficient flow of information among the experts of the

steering bodies, public officials and the popular participants; so that they may state their needs and demands, deliberate issues and bargain on their interests, in a horizontal and friendly communication atmosphere; and participate to the final decisions and implementations, freely and effectively, so that they may have feeling of control (Fung 2006: 68-74). Thirdly, it depends on the continuity of the participatory character, during all planning, budgeting, implementation, monitoring and evaluation phases of the development practices (plans, programs and projects) (Saltık and Açıklım 2008:153-154; Rietbergen-McCracken 2011). Fourthly, the attitudes and capacities of the steering bodies in management of the governance processes, communication and interactions with public authorities and participant parties, and efficient use of the time and other resources are accepted to be some of the most important factors. Lastly, the attitudes of the public authorities towards decentralization, participative development policies and development itself are other determinant factors on the success of the governance processes (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008; Eversole and Martin 2005a:6-14).

So, the more the steering of the governance process within a participative development practice involves the normative qualifications in these aspects (good governance qualifications, effective and just participant selection; horizontal and deliberative communication atmosphere; an efficient flow of information among participant parties; efficient use of the time and other resources; horizontal authority relations and positive attitudes of public authorities; and continuity of the participative character in all phases of policies); the more citizen participation, and positive judgements of the participant individual and institutional actors to the *legitimacy*, *justice* and *effectiveness* of its policy outcomes will be provided. As a result, the participant actors are expected to be aware and reasonably persuaded that they are truly empowered to influence the planning and design of the development policy; and that its implementations will provide the just, appropriate and effective solutions to their development expectations; and show a strong support and engagement to the implementations of the policies, in an advocated and trustful manner (Fung 2006: 70-74).

In fact, these are the most crucial conditions for providing people with *process freedom*, thus their *agency* within the participative development practices. Consequently, governance processes within participative development policies are expected to contribute to the *empowerment* of people by providing their actual participation and

control over the decision-making of planning, implementation and following steps of these practices, in accord with their own actual development needs and goals, of which are determined by people themselves, reasonably and autonomously through participative, egalitarian, just, deliberative, effective and consensus-orienting governance mechanisms. And the decision outcomes of these mechanisms are expected to be implemented by reasonable, voluntary, advocated, responsible, accountable, active and creative, or simply *proactive* and *cooperative engagement* of people, free from coercion of authorities or expertise manipulations.

4.2.4. Critiques of the Participative Development Perspective

There are both positive examples of governance implementations, which contribute to the municipalities and local-regional development policies and institutions with a rather successful participative dimension, all over the world. On the other hand, there are some trivial, problematic ones, which could not induce a popular, widespread and democratic participation, and/or would not result in a successful and sustainable take off towards development (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008). Because of such failures and instability, a variety of resultant problems, critiques had occurred about the participative development perspective, by the beginning of 2000s (Saltık and Açıklın 2008:154).

Participative development perspective had been criticized for several reasons. One of the main criticized problem had been that, the participative governance processes, under the functionalist neo-liberal development agenda, had limited the level of popular participation of people within a frame of the instrumental role of interest representatives that steering bodies shaped for them. The steering actors let the people merely having a say on their interests before themselves; and use these information as an instrument to do their work as if the real developers. People could not be in real control of the development agenda; and could not become responsible, accountable, creative and transformative agents of the policy implementations (Eversole and Martin 2005a: 7; Saltık and Açıklın 2008:153).

A second main criticized problem had been that, governance processes had not been objective against partners of the development networks and participant social groups (Saltık and Açıklın 2008: 154). The resultant participant development policies had been blamed for providing an asymmetric participation opportunity in favor of the powerful

and advantaged social sectors in the society, for voicing their development needs and demands. Then, the interests of these advantaged social groups had been reflected to the the priorities and implementations of the policies, during the participative planning processes. Thus, participative decision-making in the planning processes had unfortunately served to legitimization of the particular interests of these groups, as the general community interests; and become a leverage for repression of the reactions of the disadvantaged groups against the policies. This had prevented the benefits of the development policies to be received by the disadvantaged groups, who must have been ideally the major targets of them.

Another criticised aspect in participative development processes had been that if steered in a degenerated (at least in an unsuccessful) way, the governance mechanisms had might bring the risk of provoking the social conflicts among various social groups, on the contrary to the expectations. This would cause the governance processes to turn into opportunist battlefields to reach more resources and particular group benefits, instead of being bases of compromise and consensus orientation. And this would worsen the social capital and collective capabilities of the communities for cooperating towards long-term common goods of the communities and the society (ibid.: 154-155).

Some other critics emphasized the loss of efficiency in use of time and resources, engendered by participative governance processes. According to these critics, participative development policies had faced a dilemma between the legitimation of the decision outcomes of the governance mechanisms, and the efficiency of these mechanisms and policy implementations, in use of time and resources (Eversole and Martin 2005a: 10).

Legitimation is first depending on the consensus-orienting capacity of the governance mechanisms towards creating a just and reasonable compromise among diverse and sometimes conflicting interests of a variety of diverse social sectors in the society. Some of the possible handicaps in this consensus-orientation process are shown above. Another problem in this process is the lack of efficient use of time, while deliberating development issues and bargaining on their interests. If these deliberations cannot be carried on effectively and result in rational, just and legitimate decision outcomes within reasonable time, this will waste the limited implementation time of the development policy.

The other problem this dilemma brings is corporation of the technical expertise and the macro interests and priorities of the international/national steering bodies and public authorities, with the information and diverse needs and demands of the popular participants and stakeholders into a reasonable implementation design. This necessitates an effective and efficient deliberative process, as well as a participative and egalitarian one, which would provide an efficient flow of information between the experts and other participants (Eversole and Martin 2005b: 293-294). And the process should end in reasonable time and result in both just and feasible solutions to be realized by optimal use of resources. However, in most actual participative development policy practices, these two ends cannot be met optimally at the same time (Brown 2005: 18; Fung and Wright 2003: 17).

These are some of the most frequent criticisms against the participative development perspective. Almost all of them are related to the inner malfunctioning of the governance mechanisms and the incompetencies in the actual performance of the steering bodies within these mechanisms. These problems may be overcome (or at least derogated) by improving the governance practices, in accord with the criteria of *good governance*, and congruent *participation*, *communication* and *authority* structures, which we discussed above. This is why, there is still reported to be a wide demand and optimism on governance processes to provide the participation of target groups, beneficiary outcomes, well-being and equity for themselves, in participative development practices. And this is why governance and participation seems to prevail in development theory and practice, as two key, interrelated issues (Eversole and Martin 2005a: 1, 4).

However, there are some other problems of participative development policies, which are not directly related to governance mechanisms and steering activities. First of all, participative development policies are developed and implemented within a whole of social circumstances made up of a variety of other social conditions. There are a series of socioeconomic, infrastructural, environmental, institutional, organizational, societal, legal, cultural and political conditions within the society which surround the target social groups of the participative development policies. Thus, their success in providing the participation of target groups and beneficiary outcomes for them, is related to these conditions as well as the inner conditions of the governance processes.

For the success of the policies in providing the adequate and effective participation of their target groups, the political, institutional and legal structures of the society should

be congruent for well-functioning of the multi-level governance processes in national, regional and local levels. They should provide a certain level of decentralization and authority devolution in favor of NGOs, QUANGOs, regional-local administrations and municipalities for developing and implementing development policies and initiating governance processes.

In addition, there must be a participatory democratic culture, a rather well-structured civil society, and a level of accumulated social capital ready to be mobilized to participate to these policies. And as a last point, political structures of the society should involve participatory democratic channels for the disadvantaged groups, whom the participative development policies target as their main beneficiaries, to influence the macro level regulations and processes, and shape their surrounding conditions in accord with their needs and interests (Saltık and Açıkalın 2008: 155).

4.3. Good Governance for Sustainable Human Development

While the institutional aura of UN had begun to take the problems of sustainability into consideration, it also began to develop a *participatory perspective*, in relation to development, as an inalienable dimension of it. During this process, the specific contribution of UN documents had been their successful attempt of articulating the market based, neo-liberal understanding of governance with some ecological, humanistic and egalitarian ideas, and the questions of sustainability and human development (Bayramoğlu 2004:40-44).

UN organizational family -specifically UNDP- have promoted and supported macro and micro level good governance mechanisms, processes and institutions to take place in the various fields, in the developing countries, to provide them a support for their democratization, and national poverty reduction policies. These fields are *government institutions*, especially in legislatures, judiciaries and electoral bodies; *public and private sector management*, especially in leadership and management of changes, civil service reform, economic and financial management and urban management; *local governance*, especially for supporting decentralisation of power and public resources, and empowering excluded groups from decision-making popul; *NGOs*, especially for supporting well-structured and democratic organizations and formation of a dense social capital and civil society. UNDP has been paying a specific attention to support the formation of good

governance mechanisms and institutions in *countries with special circumstances* like the ones in crises and the post-communist countries with transition economies (UNDP 1997).

UNDP has adopted a *participative development perspective* for SHD policy practices, which elaborates a *bottom-up* and *multi-level good governance model* to be steered under the principles of *good governance*. This model aims to function by providing the agency of people via wide grassroots participation and proactive engagement of all target social groups as well as the related international, and national governmental and non-governmental stakeholders, for realizing the goals of SHD paradigm. The related governance model also gives priority to local-regional decentralization and devolution of authority in favor of empowerment of communities and effective steering of development policies, autonomus from the governments, at the subnational levels (UNDP 2005: 69).

4.3.1. Expected Role of Good Governance in SHD Context

As discussed in the previous chapter, the major focal points of SHD paradigm were short-term human development and long-term socioeconomic, environmental and cultural sustainability. Human development consists of *empowerment* of people, and enhancement of their actual *well-being achievements* in various socioeconomic, societal, cultural and political aspects. *Sustainability* necessitates the maintenance of the agency of people for future development initiatives all these aspects; sustainable accumulation of adequate human, economic, social capital within the society; environmental sustainability for maintaining the natural capital; and providing a sustainable balance between human development needs and the carrying capacities of nature, for intergenerational equity.

Then, SHD strategy has a wider scope of development than mere economic development (GNP growth, accumulation of capital and wealth), which necessitates an egalitarian distribution of the wealth and other benefits generated by growth via *poverty reduction policies*; *empowering* people (local communities, citizens and specifically the disadvantaged social groups, like the poor, woman and youth) with *process freedom* of autonomous and proactive engagement and control over planning and implementation processes of the development policies; with the *opportunity freedom* of autonomously, reasonably and actively valuing and deciding what is best for themselves, for their present and the future well-being; by *expansion of their individual capabilities* (freedoms, resources and personal abilities) for reaching present well-being achievements and future

life opportunities, in accord with their own needs and valued ends; by improvement of civic networks of cooperation and institutional/organizational infrastructure of societies, for enhancing their *social integration* and *collective capabilities*; and by providing international peace, and international cooperation through *multi-level development partnerships*. It also targets *sustainability*, by protecting and regenerating nature and human livelihoods, and maintaining natural resources for future generations (UNDP 1990; 1994).

SHD paradigm presupposes that the related participative development perspective would lead realization of the expected outcomes of SHD policies (UNDP 1997). Theoretically, successful good governance processes may contribute to the success of SHD policies and practices, by the virtue of the specific contributions -beginning with the participation- provided by these processes.

4.3.2. Good Governance, Agency and Cooperation in SHD Context

Participation, control, proactive engagement and cooperative partnerships of the international, national and regional-local stakeholder actors, and specifically the target national and/or regional-local social groups are the immediate -and primary- expected outcomes of the participative governance processes within SHD policies. The degree of success of the participative development policies in achieving these outcomes, strongly relates to whether these processes involve the *good governance* qualifications (UNDP 1997); and congruent *participation, communication* and *authority structures* (Fung 2006: 68-74), throughout the planning, implementation, monitoring and evaluation steps of the policies (Saltık and Açıklan 2008:153-154; Rietbergen-McCracken 2011).

It also necessitates decentralization and devolution of authority in favor of empowerment of non-governmental stakeholder actors, regional-local communities, municipalities and citizens; participative, transparent, responsive, accountable, equitable, egalitarian, consensus orienting, legal, efficient and effective steering of SHD policies with a strategic vision and qualified expertise supervision, autonomously from government coercion, and free from corruptions. In addition, steering bodies should provide effective and just participant selection; free, friendly and deliberative communication atmosphere; efficient flow of information among participant parties; and participant public authorities and officials show horizontal and cooperative attitudes (UNDP 1997; Fung 2006: 68-74).

As long as these conditions hold, the PGMs are expected to promote the *agency* of the target social sectors and communities, by providing them with *process freedom* that is their *participation* and *control* over the SHD policies and *proactive and cooperative engagement* to the policy practices. Consequently, governance processes within participative development policies are expected to contribute to the *empowerment* of the target social groups, by providing their direct agency in the sense of process freedom over these policies and policy practices, in accord with their own actual development needs and goals, and free from coercion of authorities or expertise manipulations (Sen 2004: 19; 1992: 56; 2002: 585; Dreze and Sen 2002: 6-11; Keleher 2007: 98-103; 120-121; Saltik 2008b: 129-131).

Good governance processes are expected to manage this first by enabling the target social groups to participate to the planning and design of the SHD policies, via their institutional representatives; and get the chance to directly voice their most vital needs, interests and expectations, against the general priorities and the expertise supervision of the public institutions, NGOs and public authorities, that steer these policies. By this way, the target social groups, are expected to be *capable of actually influencing and controlling* the planning and design of the implementations of SHD policies (which they would directly benefit) in a just and effective way. (Matovu 2006; Meehan 2003; Widianingsih 2005; Nijenhuis 2002: 171-173; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008; Eversole and Martin 2005a: 6-14).

Secondly, as the steering of the governancial planning process of a SHD policy involves the stated positive qualifications of good governance, positive judgements of the participant target social groups to the legitimacy, justice and effectiveness of SHD policy outcomes will be provided; and these groups are expected to get aware and reasonably persuaded that the implementations of the SHD policy will provide the just, appropriate and effective solutions to their development expectations (Fung 2006: 70-74). In addition, governance process are supposed to provide inter/intra-sectoral conflict resolution and compromise building; and contribute to the trust, cooperation and solidarity among citizens and diverse target social groups. As a result, their participant institutional actors will show a strong support and *engage* to the implementations of the policies as *proactive stakeholders* of the *cooperative development partnerships*. The governance processes of SHD policies are also expected to establish *multi-level partnerships* which include international stakeholders. (UNDP 1990; 1994; 1997).

4.3.3. Good Governance and Well-Being in SHD Context

Good governance processes are expected to contribute to the well-being outcomes of SHD policies and practices positively, since they are supposed to enable the target social groups to participate to the planning and design of the implementations of these policies, by voicing their most vital material, infrastructural, cultural, educational, institutional, organizational, legal and political needs, interests and expectations, against the experts of the international, governmental and/or non-governmental steering bodies. This will let these policies to be designed in the most appropriate way to empower the target groups with the most appropriate individual and collective capabilities they need towards providing themselves a qualified and desired life, both today and in the future (Matovu 2006; Meehan 2003; Widianingsih 2005; Nijenhuis 2002; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008; Eversole and Martin 2005a: 6-14).

SHD policies are also supposed to provide target social groups with new creative and productive employment, and income opportunities. Production increases and opulence of goods and services will provide them with new resources. Members of the target social groups are expected to reach these new opportunities with the help of the personal capabilities (health, vision, skills and knowledge) they attain via poverty reduction and capacity development policies. Employment and income will provide them with a range of material, cultural, societal and psychological well-being achievements (being well-nourished, healthy, having entertainment facilities, social prestige and sense of meaning) and new future life opportunities (a career opportunity for more prestige, income and wealth) (UNDP 1990: 9; 1994: 14-17, 20).

Provided that governance process are successful in inter/intra-sectoral conflict resolution and compromise building, they are supposed to contribute to formation of trust and solidarity among diverse target social groups; thus enhancement of *social integration*. Social integration and solidarity are expected to provide people with some possible socioeconomic, societal and psychological well-being achievements (social aids, societal support, prevention of cultural/societal sources of discrimination and exclusion); and enhance their *collective capabilities* towards present and future economic and human development (UNDP 1990; 1994; 1997).

Cooperation of various stakeholders within the partnerships will provide distribution of the organizational and financial burden of the policy practices. The multi-level

partnerships created by governance processes may also provide a valuable opportunity of financial and know-how (technological supervision) support. In addition, they may also provide national and international market opportunities for the domestic producers. (Saltık 2008c: 59-62; Saltık 2008d: 41; Saltık and Gülçubuk 2008). These will make policy practices more feasible thus more fruitful for the well-being of the target social groups. So governance and participation is expected to influence accumulation of economic capital and future economic and human development positively.

4.3.4. Good Governance and Capacity Building in SHD Context

As stated in the last chapter, SHD necessitates building endogenous development capacities by providing the sustainability of people's agency; accumulation of economic, human and social capital, and within the society; and maintainance of natural capital, that is natural resources used up in economic production and infrastructure of human livelihoods. Good governance processes are expected to contribute positively to sustainability of people's agency and accumulation and maintainance of all forms of capital, during SHD process.

4.3.4.1. Good Governance and Sustainability of Agency

In the context of SHD, good governance processes are also expected to contribute to the sustainability of the agency of people, by specifically building and/or improving a *self-governance capacity* for initiating and planning their own projects towards further economic and human development; for establishing new partnerships to cooperate; and carrying on good governance relations to implement their projects, spontaneously and autonomously. A good governance process for SHD, directly provides the target social groups and the stakeholder actors with an *awareness* on global development claims; an *entrepreneurial vision*, and *deliberative, compromising, cooperative* and *proactive* attitudes on development issues. It also provides them with valuable knowledge and experiences on carrying good governance relations, participative and cooperative development practices and project management, via PGMs and multi-level project partnerships.

Besides, multi-level development partnerships are also expected to contribute to formation of sustainable partnership networks; trust and solidarity in the civil society; a deliberative, compromising and cooperative civic culture; and closer, cooperative and horizontal relationships between the public authorities and the civil society (UNDP

1997). These contributions may serve formation of dense and integrated civil societies, interest representation systems; decentralization and devolution of authority towards civil society; and increase the participatory capacity of the civil society and popular participation to policy-making at all levels of public administration, thus improvement of *participatory democracy*, within the societies (Fukuyama 2001; 2002). These contributions would build a *development policy space* (UNDP 2003a: 15) and a *capacity of good governance* (UNDP 1997) which will enable the elements of civil society to participate and have control over making and implementation of new development policies and practices, within the developing countries. So, these are also specific contributions of good governance relations to sustainability of the agency of people in the sense of process freedom over the everlasting SHD processes of countries.

4.3.4.2. Good Governance and Accumulation of Capital

SHD strategy anticipates various policies and measures (like macroeconomic stability policies, stable and equitable legal-political frameworks, sufficient physical infrastructures, adequate incentive systems, equitable and decentralized credit systems) to create a stable and suitable macro environment for promoting and supporting entrepreneurship and technological innovations; enhancing investment and market opportunities of entrepreneurs for establishment or capacity development of enterprises and realization of profits. All these policies and related practices may provide contributions to *accumulation of economic capital* in the society; thus economic development and resultantly expanding employment (business and job) and income opportunities, in the future (UNDP 1990: 9; 1994: 14-17, 20).

Governance mechanisms may provide the participation of various individual and institutional actors (entrepreneurs, businessmen, firms, trade unions, NGOs and QUANGOs) out of productive social sectors to the planning of these policies and practices to state their physical, financial and technological needs to be active in the economic development, in the future. Then the policy makers may provide these needs by empowering these actors with expanding their opportunities of access to physical-financial capital and human resources, and technological knowledge spillovers; hence provide their engagement to economic development and creation of new employment and income opportunities, in the future. The multi-level partnerships created by governance processes may also provide a valuable opportunity of financial and know-how (technological supervision) support (Saltik 2008d: 41). In addition, they may also

provide national and international market opportunities for the domestic producers. So governance and participation is expected to influence accumulation of economic capital and future economic and human development positively.

SHD strategy involves poverty reduction policies and practices targeting to improve the public education services, basic ecosystem, nutrition and health services; and capacity development policies involving training programs and health projects which will contribute to people's skills, knowledge and other learnings, health conditions, self-esteem, and vision. These implementations contribute to people's productive and entrepreneurial capabilities, thus *accumulation of human capital* within the societies, as an asset for both present and future economic and human development.

Participative governance processes enable the target social groups to participate to the planning and design of the implementations of these policies and to voice their material, infrastructural, cultural, educational and other needs, interests and expectations towards improving their personal capabilities, against the general priorities and the expertise supervision of the steering bodies. Within governance processes, productive sectors can also participate to the shaping of these policies, thus accumulation of human capital, according to their present and future human resource needs and economic priorities to compete in the modern, increasingly technological world economy (Matovu 2006; Meehan 2003; Widianingsih 2005; Nijenhuis 2002: 168-171; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008; Eversole and Martin 2005a: 6-14). Besides, a good LGP directly contributes to the human capital by providing the target social groups and the stakeholder actors with an *awareness* on global development claims; an *entrepreneurial vision*, and *deliberative, compromising, cooperative* and *proactive* attitudes on development issues; and valuable knowledge and experiences in participative development practices and project management, via PGMs.

Good governance processes, which involve horizontal (open, equal, free and friendly), and deliberative communication atmosphere are supposed to provide inter/intra-sectoral conflict resolution and compromise building; and contribute to the trust, cooperation and solidarity among citizens, diverse target social groups, and productive social sectors. This will not only promote the collective engagement of stakeholder actors to the implementation of SHD policies; but also provide the opportunity of improvement of institutional/organizational infrastructure of societies; and creation of trustful and cooperative partnership networks among various national and local-regional institutional

stakeholders within public, private and the third (civil society) sectors, like government institutions, municipalities, firms, corporations, NGOs and QUANGOs. Thus, governance processes are expected to support *accumulation of sustainable social capital* in the societies (UNDP 1990; 1994; 1997; Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008).

Governance processes anticipated by SHD strategy are also expected to promote creation of *multi-level development partnerships* which would serve to expand sustainable domestic and international partnership networks and new grassroots NGOs created by promotion of the governance processes are expected to provide contributions to the social capital, by formation of dense and integrated civil societies, and interest representation systems; improvement of the institutional infrastructure; and increase in popular participation to policy-making at all levels of public administration, thus improvement of *participatory democracy*, within the societies (Fukuyama 2001; 2002).

The good governance processes for SHD may also contribute to the *maintenance and sustainable use of natural capital* by increasing the awareness of people on sustainable use of natural resources and energy; and by providing popular participation in shaping of the policy implementations on protection and regeneration of natural resources and human livelihoods, in accord with people's own environmental and infrastructural needs and priorities (UNDP 1990; 1994; Dreze and Sen 2002: 39; Anand and Sen 2000: 2039-2040). The participation and proactive engagement of local communities and indigenous people are specifically functional in maintenance and sustainable use of natural resources and environmental sustainability (UNDP 2011: 75-77).

CHAPTER 5

REGIONS, LOCALITIES AND SUBNATIONAL DEVELOPMENT

Regions, regional disparities, regional development and regional policies had been important terms within the context of development, since the beginning of the 20th Century, and had gained more importance during the post-War period, up to the end of 1970s. As the developmentalist paradigm had begun to lose its influence problems of regions disparities and development had also lost their significance. However, by 1990s, the question of regions had become popularized again. This time another subnational entity, *the local* had also gained a specific significance -maybe more than regions- within the post-Fordist context of 1990s (Eraydın 1992: 25-26, 43-49; 2002: 5-8; Tekeli 2006b: 439).

5.1. Definitions of Region, Locality and Related Concepts

5.1.1. Definitions of Region and Identification of Regions

Region has been defined in various ways. According to a spatial-geographical perspective, region is defined as a part of the earth surface, homogenous according to some criteria (Türkoğlu 2002: 7). There had employed a series of criteria for various definitions of region. In essence, all criteria highlight some distinctive cognitive categories like:

- i- Continuity
- ii- Distinction
- iii- Similarity and integrity
- iv- Generalization

In this cognitive respect, identification of regions is a relative issue, according to:

- i- Subject of definition
- ii- Criteria of definition
- iii- Scale
- iv.-Time duration
- v.- Purpose of definition (Tekeli 2008: 173-174).

Historically, defining region began with physico-geographical criteria, like a river basin had been used. River basins are still useful geographical tool for defining regional borders. By the 19th Century, some social, primordial (like race, ethnicity, religion) and cultural (like language) elements had also attracted attention. Then by the 20th Century, geopolitical, national-political and specifically economic factors had gained importance.

As nation-states became the main elements of the geopolitical arena, the distinction between *supranational* and *subnational* regions became a main dimension. In the *supranational geopolitical context* a region denotes a group of nation-states, in a rather huge geographical area, like a continent. International unions of nation-states, which share some common interests, geographical neighborhood and economic relationships, may also be called regions. The most known examples are NAFTA and EU. On the other hand, at the *subnational level* the sub-units identified by geographical, economic, ethnical and/or cultural factors are also called region. Examples are German federal states, relatively autonomous regions of Spain and the administrative regions of France and Italy, which these countries empowered lately (Eraydın 2002: 1-3; Mengi and Algan 2003: 82-84).

At the subnational level, having been alarmed by their harmful influences to the national integrity, the primordial factors (ethnicity, religion and language) had been played out; and by the rise of the regional disparities economic criteria and considerations on socioeconomic development had gained more and more importance, in the 20th Century (Eraydın 2002: 3). With respect to socio-economic structure and developmental considerations, subnational regions may be categorized in three groups:

- i. *Homogenous Regions*: are ones where all parts of them carry homogenous socio-economic characteristics. Most common homogenising criteria are physical structure, flora and fauna, soil structure, precipitation regime, human population density, types of agricultural harvest, agricultural techniques, income levels, types of human settlements, characteristics of economic production and industry, and the like.
- ii. *Nodal (Polarized) Regions*: are ones those are structured around one or more large cities, where the large cities and their periphery are in hierarchical relations. This is the most suitable approach of regionalization towards planning activities, since it depends on some organizational and functional interactions,

division of labor and integration. There are two convenient approaches in identifying the region around the polar points: the *gravity model* (according to the decreasing socioeconomic influences of the polar center); and the *central place model* (according to graduation of the influenced peripheral areas).

- iii. *Planning Regions*: are ones, which are defined to ease and provide coordination in the implementation of regional plans and programs, towards realization of some regional policy objectives. This is an approach of regionalization in order for change and reshape the socioeconomic and spatial structures of an area towards future projections, rather than its actual and/or historical characteristics. The key points in identifying the regions are whether the regions have the necessary resources and means; and/or the organizational and functional integrity for the projected changes (Tekeli 2008: 174-178; Can 2004: 106-108).

Subnational regions may be categorized into two groups with respect to their development level:

- i. *Developed Regions*: are ones, which are more advanced than others, according to some economic criteria, -mostly income level and growth.
- ii. *Undeveloped/Developing Regions*: are economically backwards ones (Türkoğlu 2002: 7).

5.1.2. Regionalism and Regionalization

One of the other concept related to regions is *regionalization*. It basically means subnational decentralization of governing functions through devolution of authority and delegation of some governing functions and responsibilities from the central governments to the subnational entities, like subnational administrations, regional governments and local municipalities (Mengi 1998: 42-43).

From the view point of public management, *regionalism* denotes a trend towards higher levels of regionalization (subnational decentralization), and involves establishment of federal or formally autonomous subnational authorities, governments and assemblies. Various levels of regionalization, with respect to countries of EU can be listed as follows:

- i. Federalism is the highest level of regionalization where the meso-level bears several features of an independent state (legislation, provincial parliament, government) (Germany, Austria, and Belgium).

- ii. In a highly decentralised unitary state, the regulation stipulates the regional tier as a unit administered by elected bodies, fulfilling tasks -sometimes under the protection of constitution- independently. Similar to the previous type, the medium tier carries out its activities partially self-financing (France, Netherlands, Sweden, etc. belong to this group).
- iii. A less regionalised state consists of constitutionally regulated meso-level units with wide autonomy and legislative competencies; although this autonomy is not complete (Italy, Spain, according some classifications Portugal as well).
- iv. In a strictly unitary state, the medium tier is under strong central control and its operation is financed mostly by the central budget (Denmark, UK, Finland, Greece can be classed into this group) (Kovács 2006: 73-74).

On the other hand, regionalism is a political initiative of the people of a region, whom shared a common history, ethnic and/or cultural identity, to protect this identity and/or get political independence. If there is an aim of political independence, regionalist movements become separatist.

Then, regionalization and regionalism do not necessarily mean the same thing. Nevertheless, regionalism and regionalization are two interrelated phenomena, which condition each other. If regionalist reactions in a country becomes strong enough, the central government may provide autonomy to these regions; and this may stimulate regionalization policies to emerge or accelerate in the country (Mengi 1998: 42-45).

5.2. Regions and Localities

With its basic definition, a *locality* denotes a sociospatial unit made up of a human settlement and the rural and natural environment surrounding it. In this respect, a locality is the smallest unit of a region; and a region is a totality of localities which involve some similar characteristics we mentioned above.

According to scale, regions and localities may identify relative sociospatial areas. As an example, Oltu town center is a locality with respect to Oltu district region; Oltu district and Erzurum city center are localities with respect to Erzurum province region; and Erzurum province is a locality with respect to East Anatolian Plateau region. Consequently, with this relative sociospatial conception, locality can imply anywhere from a small province, region or district, to cities, towns and municipalities, to rural

districts and villages; and a wide range of large or small, urban or rural resident communities, with respect to the region it is defined to be involved (UNDP 2005: 13).

From 1950s up to 1980s, “region” had been the dominant term within the world literature on administration and development of subnational sociospatial units. By the end of 1980s, and during 1990s, localities had come forth and the term “local” had become more important than the term region, specifically with respect to subnational development and planning issues. As of 1990s, local development has been considered to be the basis of regional and national development. Thus, development of regions has been supposed to be development of the localities they involved (Eraydın 1992: 25-26; 2002: 5-11; 17-18). In this respect, the usage of the terms of *regional* and *local* has overlapped. International institutions have begun to use these terms as substitutes to each other and/or together in common titles, as in the EU (2010) document “The Local Development Plan for Karpat Region”; or the EU (2011) document “The Local Development Strategy for East Mesarya Region”.

On the other hand, with respect to political and administrative issues, both local (micro) level and the regional (meso) level have gained importance against national level central government, as of 1990s. This development has accelerated by the establishment of the autonomous regional political entities by virtue of regionalist movements; and/or the wave of administrative reforms and decentralization in various countries, all over the world. As subsidiarity has gained a prominent role in European politics, subnational governing entities benefitted this principle towards their own needs of decentralization and autonomy (Mele 2004: 2-3; Martin 2010: 3).

5.3. Subnational Development Policies

5.3.1. Post-War Subnational Development Policies: Fighting against Regional Disparities

As stated above, during the post-War period *region* had been the dominant term within the world literature on subnational administration and development. While national economies were characterised by Fordist mass production, mass consumption and KWS policies; the main motive for subnational development policies had been *eliminating the disparities among regions*, in the name of social justice. Thus, some regional development policies were employed which aimed at an intervention towards redistribution of the increases in wealth and welfare brought by growth among regions,

especially in favor of the less productive ones, during the post-War period (Eraydın 2002: 3-5).

Regional disparities are the development gaps between developed and undeveloped subnational regions. There may be many region specific reasons for disparities. But the most important of all is the process of capitalist development process itself. Market economies create disparities, inescapably, for they can't be perfect in allocation of resources and distribution of incomes (Tekeli 2006a).

There are some other economic and geographical reasons, which cause the inequalities in socio-economic development of various regions, too. Mostly seen economic ones are: uneven size and development of regional markets; uneven development of infrastructure in regions; uneven chances in reaching resources; uneven development of industries and intermediary goods and services; uneven development of human resources, time gaps in regional development histories (some regions may begin development later), and the like. The important geographical causes are: the unsuitable surface structure of some regions, for development of economic activities and infrastructure; unsuitable climatic conditions in some regions; lower soil productivity and vegetation in some regions, and the like (Doğanoğlu 1989: 19-22).

There are two most named mainstream theoretical approaches on regional disparities and regional development. These approaches may be classified into two broad categories in relation to the regional and sectoral consequences, they envisaged (Türkoğlu 2002: 27).

First group of theoreticians envisage a socio-economic development trajectory, which results in an *even development* for almost all sectors and regions. They suggest the active and systemic government involvement to the economy to balance the causes of sectoral and regional disparities, within a general development plan. Some examples of this group of theories are: Rosenstein-Rodan Big Push Theory; Nurkse Model; Chenery Model; Lewis Limitless Labor Supply Model; Scitovsky Model.

The second group of theoreticians reject the possibility of an even trajectory of development. The dynamic structure of development doesn't permit some interferences to balance the disparities. Because development trajectory progresses with oscillations and jumps. Some examples of this group of theories are: Hirschman's Model; Perro's Development Poles Model (ibid.: 28-35).

Although regional disparities were first realized after the big 1929 crisis, it was especially the post-War period when some *regional development policies* to eliminate these disparities, had been employed (Kazgan, in Akgöz 1994: 13). One of the major characteristics of the dominant model of the post-War regional development policies, had been a top-down model, centrally designed by the governments, at the national level, to promote equality among regions by redistributing economic activities and growth, via “hard” fiscal instruments like infrastructure and financial subsidies. These policies were spatially selective and reactive, where government offices just considered applications from national and subnational economic agents -national corporations, local firms and investors- for support and subsidies (Halkier 2006: 4, 9-10).

Some major methods of the post-War regional development policies were:

- i. Orientation of economic activities and investments towards undeveloped regions, via some fiscal policies, like tax redemptions and financial promotions.
- ii. Realization of the public investments for even development of infrastructure, and intermediary sectors in all regions.
- iii. Adaptation of the local/regional administrative organization, and developing responsiveness to the problems of regional disparities (Doğanoğlu 1989: 23).

During the post-War period subnational sociospatial planning also aimed at an instrument-rational organization of subnational spaces towards functional integration and division of labor, which would best serve the profitability of the vertically integrated Fordist national corporations, cost-benefit efficiency of public investments; and the growth of the national income, in the end. However, there recognized a tension between the ends of national growth and regional redistribution of income, in the name of social justice. Thus, providing an optimized solution between national growth and regional justice had been a major problem for post-War regional policies, which was considered to be managed only by the hands of central government via means of central planning (Eraydın 2002: 5; Tekeli 2008: 69-70).

5.3.2. Post-War Subnational Development Policies: Creating Competitive Local Economies

By 1970s, as Fordism fell into a structural crisis, criticisms rose against developmentalism. By 1980s, with the hegemony of neoliberal ideology Keynesian

policies and central-national economic planning were severely criticized; the welfare state retreated back and public resources shrank. In parallelism, the idea of regional justice and the regional policies depending on hard instruments to eliminate regional disparities lost their significance, too. A new approach based on the development of *competitive local economies* gained importance instead (Eraydın 2010: 84-85; Kumral 2006).

Meanwhile, scale economies depending on high technologies (electronics, IT and communication) and the soft factors of production, like knowledge spillovers and human resources (human capital); and local-regional governance partnership models, depending on trust and cooperation (social capital) gained importance (Eraydın 2002). New forms of flexible organization of labor process and flexible institutional relations began to develop, instead of the Fordist labor processes and vertically integrated firm structures. Some pioneer forms of subnational governance networks had emerged, along with the emergence of the clusters of SMEs and the flexibly organised inter-firm relations among them, especially in Northern Italy. These relations involved wide networks of partnerships among local and/or regional clusters of some small or medium sized enterprises (SMEs), which were flexibly organized towards just-in-time production (Piore and Sabel 1984: 265-267).

Later on, by 1980s, this type of local industrial clusters depending on economic governance partnerships, called as *the new local industrial districts*, spread in other NICs and late-comer developing countries. Local economic governance networks, increased participation, trust, cooperation and self-regulative capacities within subnational economies; these, together with high technologies and scale economies, intensified subnational competitive power within the national and global economy (Eraydın 1992: 42-49; 2002; Özarlan 2004).

A simultaneous development in multi-level governance networks provided a parallel increase in global level governancial relationships. Local governance networks began to articulate within a global one. These multi-level governance networks provided local economic actors (local producers, SMEs, investors and entrepreneurs) and specifically the new local industrial districts, with an opportunity of reaching out the world, by boring the membranes of the nation-states; and the potentials of subnational economies, which had been shadowed by the regulative interventions of the central governments broke out. Consequently, globalization, regionalization (in both supra-national and subnational levels) and localization had been parallel global trends, which could be called as

glocalization, as a whole (Jessop 2005: 294-295, 319-323; Tekeli 2006b: 439; Eraydin 1992; 2002).

In the national political sphere, the glocalization process degraded the importance and central role of nation-states. Good governance relations developed at the national and subnational levels, in parallelism to multi-level governance networks; and political participation of the non-governmental actors (the civil society -NGOs and QUANGOs, the private sector and the media) to the legislation, judiciary, policy-making, budgeting and implementation, interest representation, cooperative partnerships and public auditing and monitoring increased (Handoussa 2010: 24-25).

At the subnational level, along with glocalization, regional political entities (regional assemblies and governments) and local administrations and municipalities strengthened and gained autonomy. Subnational governance relations spread and strengthened; and local communities, local private sector and local civil society elements (local NGOs and QUANGOs) got empowered. Regionalist movements and the spread of the NPM regime from USA to Europe and other countries had accelerated this process. NPM regime urged nation-states to restructure their legislation, policy-making and public management systems and perform administrative reforms towards decentralisation and devolution of authority in favor of subnational political-administrative entities and local communities, according to the principle of *subsidiarity* (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Meehan 2003; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008).

As of late 1980s, these geopolitical, economic and national developments brought forth the subnational sociospatial entities, namely regions and specifically localities, more and more important; and problems of subnational socioeconomic development came into the scene again. By 1990s, as glocalization process advanced, a fact became clearer. As the subnational economies faced the highly competitive global markets without the protective barriers of nation-states, some competitive ones survived and gained power and wealth within the global economy. But many incapable ones lost the game and impoverished.

This fact started a new debate on the particular factors which led the success of the winner localities and regions. Some new localist explanations emerged against globalist-structuralist ones, which stressed the particular local endogenous socioeconomic

potentials, which the winners already had to successfully integrate and compete in national and global markets. These potentials were cultural-historical traditions, attitudes and manners in favor of productive, commercial and entrepreneurial activities; a well-integrated and supportive local political regime in favor of local development; collective control and self-regulating capacities of the local communities on the local economies; high level of solidarity and trust within local communities; local integration of societal interactions and economic transactions; participative, technical, productive and entrepreneurial capabilities of individuals; existence of cooperative networks and institutional/organizational infrastructure; sufficient natural and capital resources; competitive technological level, and the like (Eraydın 1992; 2002; Özarlan 2004: 64-70).

As a result, a new subnational development paradigm and strategy, which put *the development of local economies* in the center emerged. This new paradigm adopted a bottom-up development model that saw the development of *competitive local economies* as the basis of meso (regional) and macro (national) level development, and a successful integration to the global economy. Thus, it anticipated to provide supportive interventions in favor of immature localities for increasing their endogenous capacities and competitiveness; and empowering them as active agents who would contribute to regional and national development, and to the global economy. This new approach was contrary to the post-War regional development policies which saw regions and localities as passive receivers of the redistributive social services and public investments from the central governments. Thus, the new subnational development policies reversed the direction of development dynamic from the sequence of national-regional-local, to local-regional-national (Eraydın 2002: 8-18; 2010: 84-87; Kumral 2006).

At the meso level these new generation of development strategies resulted in *new regional development policies* and resultant practices (plans and programs). These new regional development policies have been designed with an inclusive vision that aimed at simultaneous development of all subnational regions, by the way of socioeconomic development of the localities they involved via their own local initiatives, resources and capacities, to get sufficiently prepared to integrate a competitive global market (Halkier 2006: 4; Kumral 2006). Besides, some specific local development plans, programs and projects have also been designed and implemented, all over the world (Canzanelli and Dichter 2001: 1; Bloom et.al. 2001).

Many examples of this new generation of SDPs have shared some common main features. One of the most significant common features is the set of infrastructural and social service provisions and knowledge-intensive “soft” instruments (though mixed with some amount of “hard” instruments which involve classical elements of economic capital) for *local capacity building* and *community empowerment*. These soft instruments involved training services to develop human skills, knowledge and entrepreneurship (contribution to human capital); trainings and supervision for developing the local organizational/institutional infrastructure and cooperative partnerships (contribution to social capital); technological support and technical, financial and organizational supervisory services for the local SMEs, commercial investors and entrepreneurial partnerships (contribution to economic capital); support and coordination of the efforts of the local actors and resources to carry on development projects, to reach out to the external (national and global) markets; and to attract external credits and/or investments for strengthening the local resources (Canzanelli and Dichter 2001: 9-11; Halkier 2006: 9-10; Kumral 2006).

These soft instruments have specifically aimed to contribute to the accumulation of *human* and *social capital* within local economies, rather than economic capital. They involved a limited bundle of hard instruments, like providing seed capital, raw materials and machinery; and had rather contributed to economic capital accumulation indirectly via support and supervision of local producers in improvement of the technology and capacity of their enterprises; in creation of new businesses -hence new job and self-employment opportunities-; and in reaching external financial and physical resources and markets (Halkier 2006: 9-10; Kumral 2006).

Main use of these instruments have been developing the *endogenous* technical (technology, capital efficiency), human (participation, productivity, entrepreneurial and technical knowledge, skills and attitudes) and social (organizations and cooperative partnerships; community integration, trust, cooperation, shared information and experiences) capacities of the immature local economies.¹ This first served empowering the incapable localities for overcoming their technical, organizational and socioeconomic weaknesses; strengthening the competitiveness of the immature local economies; and designing a development trajectory for each locality depending on its particular

¹ This new generation of subnational development strategies and policies widely benefitted from the endogenous growth model, which was introduced in Chapter 3.

advantages -strengths and opportunities. The necessity of *endogenous capacity building*, through investing in human and social capital also came from the long-term need for *sustainability*, as well as immediate effectiveness of development practices. All subnational development experiences have been facing the crucial problem of long-term sustainability. It can be attained by providing the necessary accumulation of durable human, social and economic capital assets in the locality (Canzanelli and Dichter 2001: 9-11; Halkier 2006: 9-10).

As another common feature, new subnational development policies have adopted a *participative development strategy* which anticipated supporting and strengthening the local governance networks towards participatively designing, budgeting, implementation and monitoring of their own development plans and programs. They involved bottom-up, multi-level good governance processes, functioning by participation and cooperation of all possible local stakeholders from various economic and/or social sectors of the local communities, as well as the related national and/or regional governments and international public institutions in all stages of plans, programs and projects.²

New subnational development policies have also anticipated the empowerment of subnational authorities, local civil organizations (NGOs) and local communities of immature regions and localities by administrative decentralization and devolution of authority, for supporting good local governance relations. The new approach has provided the delegation of regional and local level decision-making bodies (regional governments and local public authorities) especially in spatial planning issues, and in initiating and steering their own participative development plans and programs, in accord with the principle of subsidiarity (Canzanelli and Dichter 2001: 9-11; Halkier 2006: 9-10).

Besides, it has also suggested establishment and delegation of autonomous -or semi-autonomous- institutions, like *RDAs* and/or *LDAs (local development agencies)* in numerous countries, from Faro to South Africa, Indonesia, Italy, and others for providing autonomous coordination and steering of subnational development planning and implementation processes. These bodies are supposed to work to coordinate and stimulate the regional/local actors to develop networks and partnerships towards collective

² UN family organizations, like UNDP, UNCDF, UNCTAD, UN/DESA, UN-HABITAT, ILO, UNOPS and FAO; some other international institutions, like WB and IMF; and some supranational regional governments, like EU have engaged in a series of local development practices and partnerships in various countries, following some parallel universal development strategies, as of 1990s (Cain 1995; Atkinson 2000; Canzanelli and Dichter 2001: 1; Bloom et.al. 2001; UNDP 2003a; 2003b; 2007b; 2011b; UNDP/UNCDF 2010: 5-6).

development projects, and preparing the regional economy for global competition (Halkier 2006: 4; Canzanelli and Dichter 2001: 1-2). Moreover, elements of the civil society, and specifically local NGOs and QUANGOs have also begun to proactively initiate and steer -or co-steer- their own bottom-up subnational development programs and projects, with multi-level development partnerships (Atkinson 2000; Bloom et.al. 2001; Canzanelli and Dichter 2001: 2).³

In many of such bottom-up governance practices, where initiatives come from the localities, central government institutions and local public administrators are urged to play the role of accountable stakeholders of the multi-level partnerships, which involve international institutions, local municipalities, firms and financial institutions, professional organizations and chambers, civil society organizations (NGOs), platforms and citizen initiatives, etc. So, new SDPs are not supposed to be 'government/state policies' that only and always governments initiate; but 'governance partnership projects', where local non-governmental or international agents may also initiate and steer while governmental bodies just contribute and/or supervise (although this contribution is still critical and worth). Implementation of the subnational development policies and practices is not only a duty of central and subnational governments any more (Canzanelli and Dichter 2001: 1-2; Halkier 2006: 9-11; Kovacs 2006).

The new subnational development policies and practices target to increase citizens' quality of life without discrimination as another major objective. This humanitarian claim is especially emphasized by UN family organizations specifically for their practices in the localities of the world, where wars, political unrest, poverty and socioeconomic deprivations prevail. Besides, new subnational policies of UN family organizations definitely accept the "old", "traditional" development objectives of economic growth and attraction of external investment as valid. But they recognize these objectives not as ends, but rather as means of *job creation* and promotion of SMEs; and *human development* as the improvement of the citizens' quality of life in a more integrated approach, which includes poverty reduction, decent work, inclusion of the socially excluded people. Thus, *social inclusion* has become another primary objective of the UN new SDPs. Socioeconomic and political deprivations which cause poverty and social exclusion are

³ Some third-sector bodies may also carry such responsibilities, like 'Aegean Region Development Foundation (EGEV)' in our country, which has carried a major role in development of today's Izmir Development Agency (IZKA), by creating its ancestor 'Aegean Region Development Agency (EBKA)' as a civil initiative.

considered to be real constraints against objectives of human development. Thus, empowerment of local vulnerable people who are marginalized from the socioeconomic capabilities, by favouring their access to public services, job and self-employment opportunities, finance facilities, physical and natural capital resources and local policy decision-making is seen as a pre-condition for a real development (Canzanelli and Dichter 2001: 9-11; UNDP/UNCDF 2010: 5-6; UNDP 2011b).

Additionally, most contemporary examples of new subnational development policies and practices (plans, programs and projects) involve an emphasis on environmental sustainability; that is protection and regeneration of the natural and human environment. Thus, most of the new policy instruments take the constraints of sustainable use of natural resources into account, in varying degrees (Halkier 2006: 10; Hudson 2007).

5.4. UN Family Development Practices and Partnerships at the Subnational Levels

As of 1990s, UN organizational family -specifically UNDP- have been supporting and engaging in multi-level partnerships in national and subnational (regional and local) level participative development policies and programs, in various countries all over the world, including Turkey. UNDP has usually played an explicit *de jure* role as the coordinator and promoter of all development work and partnerships in the field (Cain 1995; Atkinson 2000; Murphy 2006: 267-268; Bloom et.al. 2001; UNDP 2003; 2007b; 2011b).

UN family have been focusing on localizing their efforts and partnerships on development, specifically with the introduction of Agenda 21, since 1992 Rio Conference. After the declaration of Agenda 21, all UN member countries had been invited to develop and adopt their own national Local Agenda 21 (LA21) documents, and action plans on development issues at subnational levels. More recently, UNDP has been engaging in subnational level development partnerships with other UN organizations, like UNCDF and UN/DESA, other international institutions, national governments, subnational authorities and NGOs in order for pursuing the MDGs, in favor of the poorest and developing countries, with the motto of “localising the MDGs”. Complementary to this, they have usually got into development partnerships and practices in highly poor regions of the world, and in countries where war, political unrest, poverty and deprivations insist to prevail. As of 2010 UNDP, together with other UN family members and other development partners, has been working in the field in 166 countries, and is at

the forefront of work with national and local partners seeking to develop their own solutions to development challenges and to progress toward MDGs (UNDP/UNCDF 2010: 5-6; UNDP 2011b). Parallely, other UN organizations, like ILO, FAO, and UN Office for Project Services (UNOPS) have engaged in many other development partnerships with national governments at subnational levels, in various countries, like South Africa, Faro, Italy, Indonesia and others (Canzanelli and Dichter 2001: 1).

5.4.1. UN Objectives and Instruments in Subnational Development Practices (SDPs)

Although under various titles of universal development agendas (LA 21, Sustainable Livelihoods or MDGs), many examples of these practices have shared a main common objective that is localization of the common universal development claims of UN of which major principles of SHD paradigm have rested in essence.⁴ So, no matter under what title, localization does not mean invention of a new goal framework. It rather denotes a flexible, participatory and locally-owned process of adapting the common UN universal goals that essentially rested on SHD paradigm, according to the local priorities, realities, needs and demands. Through localization, the universal goals and strategic pillars are contextualized and translated into local level objectives (Cain 1995; Murphy 2006: 267-268; Canzanelli and Dichter 2001: 2; UNDP 2003b: 48; 2007a: 8; 2009: 104).

Consequently, the final end of UNDP in implementing, cooperating and/or supporting SDPs in various countries is expanding the life opportunities and creating a conducive environment for the members of the local communities to have reasonable and equal chances for developing their full potential and leading productive and creative lives, individually and collectively, in accord with the general context of SHD paradigm. This environment would empower communities and individuals to use and/or further expand their individual and collective capabilities either for achieving their present valued well-being achievements (being well-nourished, healthy, cultured, safe, comfortable and happy) and/or choosing and pursuing their future life opportunities (new business, job and income opportunities, organizations, partnerships or friendships), in accord with their own needs and choices.

The main pillars of this approach are *sustainable and inclusive economic growth*, which enables accumulation of economic capital and employment creation; *poverty*

⁴ In fact, as of 2000s, LA 21 implementations, in various countries, were linked to localizing MDGs as final goals to be realized at subnational level. LA 21 implementations in Turkey had been a good example for this (UNDP 2003a: 10; 2005: 69; 2007a: 17-18).

reduction for empowering the community members, by expanding their individual rights, freedoms, capabilities, opportunities, and opportunity equality; improving the institutional/organizational infrastructure of the local civil society, and public and private sectors; *building and improving the capacities* of the individuals, and the local civil, public and private sectors for participation and engagement to the development process, and sustainability of development in the future. This approach also anticipates *increasing the life-quality* of the community members by providing them with a wider range of *well-being achievements* and secure livelihoods; expanding their actual exercise of human rights and freedoms; enabling and improving their democratic participation to local decision-making via decentralization, devolution of authority and good governance mechanisms; increasing compromise, solidarity and integration within the community via cooperative partnerships; increasing the social inclusion of the disadvantaged groups; providing and improving sustainability of human livelihoods; and sustainable use of natural resources (UNDP 2003b: 48-50; Canzanelli and Dichter 2001: 1-11).

More specifically, UN family SDPs and partnerships, aim at contributing to the improvement of some existing key conditions of human livelihoods, like basic ecosystem (sanitation, fresh water, waste collection, transport); and social (basic nutrition, housing, health, education, physical and social security) and cultural public services, which determine poverty of people the most, to empower people for a better and equal access to these services. The related projects may also provide some urgent services of nutrition for food security, basic ecosystem infrastructure, housing, health, basic child education, and training against adult (especially women's) illiteracy. These direct service delivery may specifically be most precious in regions and localities, which face serious famines, absolute poverty and hunger, high maternal and infant deaths, and endemic diseases; or after natural disasters, civil clashes or wars. They provide vulnerable people with their basic needs and a securer livelihood.

In other regions and localities, some projects may be performed for local human and social *capacity building* -that is *accumulation of human and social capital*- within the communities. These projects may involve knowledge-intensive soft instruments, like additional trainings for community members on new development paradigm, vision and strategies, Project Cycle Management (PCM) and entrepreneurship, occupational skills, technological knowledge, general health, reproductive health, human rights, organizing and cooperation, and environmental issues. Capacity development projects should also

target three categories of institutional actors at the subnational level: *local authorities and public service providers, private goods and service providers* and *NGOs*, especially the ones representing the various sectors of the community. These projects may also involve trainings and supervisory support services for establishment and improvement of local formal grassroots organizations (NGOs, cooperatives, and the like); building and improvement of institutional capacities of local public and private sectors; improvement of local trust, solidarity and community integration; establishment of sustainable local partnership networks; and promote local participation to multi-level partnership networks (UNDP 2003b: 48-50; Canzanelli and Dichter 2001: 1-11; UNCDF/UNDP 2010: 10-12)

These projects are expected to improve cultural and physico-mental capabilities (health, attitudes, manners, participative, cooperative, productive and entrepreneurial skills, awareness, vision and knowledge) of community members; and improve social (organizational/institutional, cooperative and self-governing) capacities of the community. Improving individual capabilities and institutional/organizational structure is an important element of poverty reduction and social development practices. They serve to empower community members for both attaining their present valued *socioeconomic, political, societal* and *psychological well-being achievements*; and functioning their improved individual and collective capabilities to get empowered to pursue future life opportunities. By functioning their improved individual and collective capabilities, individuals and communities also contribute to local economic activities and growth, in both the short and the long-run. Thus, from an instrumental-economic viewpoint, implementations to improve individual and collective capabilities are contributions to the *sustainability of local economic growth* via *accumulation of human and social capital* within the communities, ready to be employed in the future local economic growth and development (Handoussa 2010: 33-34).

But, country experiences show that subnational economic growth and full employment is not only a matter of increasing individual and collective capabilities by soft instruments like trainings, supervision, education and partnership creation. Sustainable economic development also necessitates building and improvement of the local economic (technical, financial and physical) capacities, as well as human and collective community capacities, by boosting of the local private sector; increasing the amount, efficiency, productivity and competitive capacity of the local enterprises - specifically local SMEs; fostering the local and attracting foreign investments; providing

a continuous flow in of financial resources, as credits, seed capital or grants; improving the access of local producers to capital goods, technological innovations and knowledge spillovers; improving local physical infrastructure (productive public services like roads, energy, waste management) for economic activities; and improving the marketing opportunities of the local producers, in the national and international markets.

To reach these targets local development projects may provide contributions to the local *technical and economic capacity building* that is *accumulation of economic capital*. These projects may involve building and improvement of sufficient physical infrastructure, and efforts for reducing the geographical barriers of the locality; technological support and supervision to the entrepreneurs and local governments; support and supervision on PCM and investment feasibility, for enabling entrepreneurs to reach financial resources (credits and grants), establish new enterprises and/or increase capacity of existing enterprises; providing microfinance (seed capital) facilities; presentation of the local sectors and producers to national and international markets; promotion and supervision of local participation to multi-level economic partnerships. Local rural development projects may involve initiatives for providing a more equitable distribution of land and other resources for agricultural production, by distribution of land to poor peasants, direct in kind capital and raw material support to the rural producers, and implementations like machinery parks. In localities of extreme poverty, projects may be performed for supporting local governments in public work programs or establishment of public enterprises (UNDP 2003b: 48-50; Canzanelli and Dichter 2001: 1-11; Handoussa 2010: 33-34).

In, turn sustainable economic growth matters significantly for employment generation and poverty reduction; and thus for empowerment of local community to reach present and future well-being achievements, These achievements would also function in favor of disadvantaged groups, like urban poor, landless peasants, women, youth, children, aged and disabled people, ex-convicts, indigenous people and minorities for getting empowered to participate to the public life; and for living in an *inclusive and secure livelihood*, free from *social exclusion* and *discriminations*. However, protection and empowerment of these disadvantaged social groups necessitates a specific focus on other deprivations than economic ones, like legal, institutional and cultural barriers and discriminations against them. UN family stimulate national governments and subnational authorities to provide some specific legal regulations and target oriented positive

discrimination policies in favor of women, youth, minorities and indigenous people, for empowering them to access to labor markets (e.g. fiscal incentives for job providers to employ these groups), social security systems, public services, and political and societal life (UNDP 2003b: 48-50; Canzanelli and Dichter 2001: 1-11).

UNDP and UN family also engage in SDPs and partnerships in the name of environmental sustainability, sustainable human livelihoods and sustainable use of natural capital, in the present and future development activities. Their major concerns in these activities are protecting the local wilderness, natural wealth and biodiversity; protecting and regenerating physical surroundings of human settlements; preventing pollution and improving the quality of air, water and soil; improving domestic and industrial waste collection, management and recycling systems; introducing local energy production and management systems, for sustainable production and use of energy; promoting renewable sources of energy production; improving energy efficiency on the supply and demand side; increasing public awareness about environmental issues. Thus, they may also engage in birth control projects for control of the size of the community population; and other projects for promotion of eco-industries with labor-intensive production and clean and energy saving technologies; promoting ecological/organic agriculture and animal husbandry and eco-friendly changes in consumption patterns; protection of local cultural, historical and archeological heritage, indigenous communities and traditional cultures (UNDP 2003b: 48-50; Canzanelli and Dichter 2001: 1-11).

5.4.2. Participation and Governance in Localizing the Universal Development Goals

It is important to remember that the UN universal development goals show *what to do*, but not *how to do*, in each concrete case at various loci of implementation. To handle the *how to* question, UNDP and other UN family organizations adopted a participative perspective and a bottom-up, multi-level good governance model, involving a good LGP and multi-level partnerships (Bayramoğlu 2004:40-44; UNDP 1997).

Worldwide country experiences show that, not only each country, but also each region and each locality should better find the most appropriate and effective ways to achieve the universal development goals along with their particular objectives and targets, throughout an autonomous, community-based, grassroots participative process. When poverty reduction and capacity building projects, services and investments are planned, implemented and monitored autonomously and participatively at the local level, progress

toward universal UN goals becomes faster, more effective and more sustainable, at both subnational and national levels (UNDP 2005: 10; UNDP 2009: 117-118; Handoussa 2010: 33-34; UNDP/UNCDF 2010: 5).

This is first because, participative local development practices serve as a starting point for a longer-lasting pluralist deliberation process on local policy choices towards overcoming poverty and local capacity building by providing the mobilization and participation of all possible sectors to the preparation and design of the local development plans and programs. This deliberation process may initially provide the necessary baseline information reflecting the most relevant local realities, needs and demands; and an accurate and effective design of a wider range of projects and services of whose implementations can answer these concrete local needs and demands successfully. It is also more possible determining and inviting some local leader/doorkeeper individuals and organizations to the planning and implementation of these local plans and programs, who could get engaged to achievement of the universal goals locally, as role models and advocates. Most notably, participative local development practices also allow a more effective participation and control of a wider number of target disadvantaged and excluded individuals and social groups over the local development process; and targeting of their urgent interests, needs and demands. Universal goals and national policies of development will become increasingly meaningful for citizens, as they earn control over the local practices and witness their implications for their own lives (UNDP/UNCDF 2010: 5; Handoussa 2010: 28).

In addition, worldwide experience shows that when capacity building services are directly planned and delivered locally, they do succeed in improving participants' individual awareness, vision, knowledge and skills; and collective community capabilities for both participating, controlling and engaging into the development processes in a proactive and effective manner; and benefitting from development implementations more by attaining more well-being achievements.⁵ Thus, they enable participants to formulate their specific local objectives and indicators to measure their resultant achievements effectively (UNDP/UNCDF 2010: 10-12; Handoussa 2010: 28).

⁵ For example, through a focused CD approach, the SNV-supported biogas initiative is likely to benefit more than 1.8 million people in rural areas in five African countries by supplying cheap and renewable energy from biogas plants. In Niger, strengthening local institutional actors with participatory planning and budgeting led to greater MDG investment and 10% more domestic resource mobilization (UNCDF/UNDP 2010: 10-12).

The immediate and primary contribution of *LGP*s in localizing the universal development goals is then participation and empowerment of the local communities, social groups, NGOs and citizens by providing their *mobilization, participation* and *engagement* of all possible social sectors, specifically the local leader/doorkeeper individual and institutional actors, and the targeted disadvantaged and excluded social groups of the local communities to the planning, implementation and monitoring of the local development plans and programs. In this respect, a serial of *participative local governance mechanisms* are employed for presentation of projects and providing community advocacy; participative baseline information/data gathering on the locality; participation and democratic control of the community within the planning and budgeting of the programs/projects; engagement and cooperation of related regional/local stakeholders within the implementation step; participative monitoring with proper feedback and review cycles. They also aim at establishment of multi-level development partnerships and participation of related national/ international NGOs, and public and private institutions to all steps, as equal stakeholders.

Local governance mechanisms may also provide contributions to long-term local capacity building and community empowerment by promoting decentralization, community autonomy and democratic participation to local decision-making; by earning the community members experience and vision about the new development paradigm, and community agency (participation, control and engagement) in the development process; by increasing their awareness about democratic rights, freedoms, and legitimate demands from the national and subnational governments; by conflict resolution, building trust and compromise, and increasing cooperation and solidarity, within the local/regional communities. Local governance mechanisms may promote the members of the community -specifically the members of target groups- to establish and/or become members of local clubs or associations. All these may serve to the future development of the community as contributions to its collective capabilities (UNDP 2005: 10; UNDP/UNCDF 2010: 5; Handoussa 2010: 34).

5.4.3. Major Steps of the Participative SDPs and the Role of the LGPs

Participative development practices generally involve five main steps:

- i. Preliminary stage, where announcement and presentation of the universal goals and priorities, related national policies and intended subnational program take

place. During this stage mapping of the local target groups and the key local individual and institutional actors within the practice area also takes place.

- ii. Planning stage, where making local baseline assessments, objective-making and designing and budgeting of the projects take place. This stage ends up with an action plan.
- iii. Implementation stage, where project partnerships are established, and project implementations (investments, trainings and other service provisions) take place.
- iv. Monitoring stage, where feedbacks are taken about the project implementations and the progress of the program; and revision of the action plan and the projects is made periodically, according to some chosen indicators.
- v. Evaluation stage, where the the complete evaluation of the entire program takes place (SNV/UNDP 2009: 11-13; UNDP 2007a: 17; 2007b: 2-3; 2009: 113-118).

LGPs bear important roles in all stages of the participative development practices, through a serial of participative local governance mechanisms. Presentation and announcement of the universal normative goals, related national policies, and intended subnational plans and programs specifically aim at building local awareness and advocacy in favor of them; and provide popular mobilization for participating to the intended local development practices. One of the most important tools of presentation and announcement is effective and creative use of *local public communication media*, like local radios, TVs, newspapers. Developing creative user-friendly material in local languages on the universal principles can also be useful.

Besides, *presentation campaigns* open to the public participation are vital local governance mechanisms in building local awareness, advocacy and mobilization. When a region made up of various localities is considered, a *regional presentation tour* may be performed, specifically to rural areas. Such campaigns and tours may involve some *participative face-to-face governance mechanisms*, like open public hearings, festivals, where more numbers of community members may participate; and/or a series of small discussion groups, village meetings and other forms of outreach.

These *face-to-face governance mechanisms* function for bringing together and informing the target groups and the potential local stakeholders about the universal development principles and related national policies; the current stage of the local

development process, and intended local actions to be undertaken under the framework of universal development strategies. They also function to inform and discuss with regional and local stakeholders the linkages between the universal, national and subnational development priorities, goals and strategies; and to discuss how the steering institutions and local authorities could translate the universal goals into local priorities and objectives. In these meetings, the steering bodies promote the members of the target groups and the participant representatives of the institutional local actors towards adopting an *entrepreneurial vision*, and *deliberative, compromising, cooperative* and *proactive attitudes* on development issues. So, they may discuss the possible roles and contributions of local actors to the intended participative development practices on issues linked with the universal development concerns, like gender and environment; the basic needs and services (nutrition, housing, sanitation, water, health and education) to overcome extreme poverty; and the services to increase the local capacities, and to create employment opportunities (SNV/UNDP 2009: 11-13; Handoussa 2010: 27; UNDP 2005: 40; 2007a: 17; 2007b: 2-3; 2009: 39-40).

After presentation of the universal goals and intended local development practices, an effective and participative process of *baseline assessment* should be realized. Gathering concrete and realistic evidence, and setting a baseline about the regions and localities is the most initial step to successfully design, implement and track the progress of the participative SDPs. Determined objectives and related indicators should be the most relevant ones in reflecting the baseline conditions, deprivations, vital needs and demands, and the development priorities of the local communities and target groups for the SDPs to be effective and truly responsive. These indicators must also be easily accessible, timely and monitorable for the communities and the target social groups.

This necessitates gathering more information beyond aggregated national statistical figures and averages, which would highlight the particular local conditions of poverty blurred by these aggregated statistics. Setting a local statistical baseline data may not be so easy most of the time, because disaggregated data at the local level is not available for many of the development indicators needed to track community progress, in many countries and subnational areas. Hence, a proper baseline assessment requires a participative research via a series of participative information gathering instruments, like broad-based participative base-line surveys, face-to-face negotiations and consultation meetings. Within a regional context, some demographic and socioeconomic mappings on

gender, age, education, ethnicity, socio-economic status, language/religion/ethnicity, and resource/asset ownership can also be a good entry point to sketch the socioeconomic and political features of the area. The rest of the participative planning, budgeting, implementation and monitoring process are all based on results of these baseline data. These data can be published as a report for the community use to set their own local development objectives, in the rest of the participative planning process. (UNDP 2007b: 3; UNDP 2009: 40; 115).

The preparatory presentation tours, campaigns and preliminary negotiation meetings may also enable gathering some other baseline information on localities; and *mapping the key social groups* (business people of the key local economic sectors, entrepreneurs, workers, women, youth groups, ethnic/religious primordial groups), *institutional actors* (public institutions, firms, QUANGOs and grassroots NGOs) and *doorkeeper contact persons* (mayors, elected officials, local administrators, heads of public institutions, notable business people, private sector representatives, heads of NGOs, leaders of ethnic/religious group, an the like), who are willing to participate to the following stages of the development practices. Once the individual and institutional actors have been mapped, their role in the localities and regions, their possible contributions (or resistance), and capacities to engage to the development process (as well as their capacity needs) may be more realistically assessed (UNDP 2007a: 17; 2009: 41, 55).

After assessment of the baseline information and mapping of the subnational actors, local administrators, public officials, municipal authorities, leader/doorkeeper individuals, representatives of key social groups, institutional actors and stakeholders should be invited to discuss how to set the most appropriate local development objectives and indicators; how to design the most fruitful implementations for the benefit of the community and target groups; and how to cooperate and work together to fulfill these implementations and achieve the determined development objectives. Some of the mostly used PGMs in participatory planning process are *face-to-face mechanisms*, like open public hearings, narrower negotiations and discussion meetings, focus groups, workshops and fact-finding conferences, where face-to-face deliberations take place. In urban areas and more densely populated communities, public hearings may be the preferred face-to-face mechanism. Local government and municipal officials, key individual and institutional actors from all local social sectors, civil society and the private sector should be at the top of the list of invitees, since their engagement and support will be necessary

throughout the development process (SNV/UNDP 2009; UNDP 2007a: 20; 2009: 115-116).

These face-to-face mechanisms should be effectively moderated; and the participants should be oriented towards a compromise on a common set of subnational development objectives and relevant monitoring indicators, to track and assess the achievements of the implementations. Local development objectives and monitoring indicators should be SMART (Specific, Measurable, Accepted, Realistic, Time-bound) or SMARTER (Specific, Measurable, Accepted, Realistic, Time-bound, Extending, Rewarding). Throughout these meetings, an *action plan* for mobilizing the local communities, and financial, material and human resources around these determined objectives, and performing the designed implementation projects for reaching them, should be drafted participatively. Once the action plan has been drafted, a second round of community consultation meetings would rather be organized to declare the document and discuss whether it reflects the inputs from the first rounds of consultations and regional tours (UNDP 2009: 117-118).

The action plan should involve the proper objectives and the expected outcomes which would relate the universal goals and the local conditions, priorities, needs and demands. The plan should highlight the objectives on which the stakeholders have compromised them to be the main motivators to work together; to mobilize the rest of the wider community; and to serve the greater social cohesion and better integration of poorer communities. The expected outcomes should be measurable and monitorable indicators of the determined objectives. The plan should also involve the most proper and the widest possible range of projects and services to be implemented for reaching the expected outcomes.

A local action plan should also function as a participative and viable *budgeting framework* according to the compromised community objectives and priorities. The inclusion of financial needs and cost-benefit analyses of each project can turn the plan into an instrument for mobilizing the international, national and subnational financial and material resources, in an efficient way. For this, the compiled data on subnational financial, physical, natural and human resources, which has been collected during the baseline research and planning (objective/indicator setting) steps should be incorporated into the plan. The plan should also involve financial forecasting and assessment of the local and international resources. In fact, an essential part of the action plan will be

identifying the potential resources for funding the development projects. These resources will include the local financial resources such as local taxation and charges, establishing municipal bonds, resources provided by the local private sector, credit and grants from the national and international financial institutions (UNDP 2005: 23; 2009: 113).

The action plan should also involve information on short-term and long-term time-schedules, and role divisions among stakeholder actors, whenever possible. All stakeholders should agree on how the roles will be divided; and each actor should be assigned with some tasks and be kept responsible and accountable for them. They should also be oriented and promoted to overcome interest conflicts, and establish *cooperative partnerships* and/or *formal associations* for effective and efficient implementation of the action plan. Some *consultative/executive governance mechanisms*, like committees, commissions, councils or assemblies, where stakeholders freely participate and bear responsibilities may also be employed. As successful practices show, in the case of local development governance, improved and inclusive organizational/institutional infrastructure and cooperative networks are useful in local capacity building, efficient and optimal use of limited resources and overcoming some local socioeconomic and political challenges posed against economic and social development practices, towards universal goals.

While project implementations in accord with the action plan take place, a parallel process of *participative monitoring* should also be carried on for tracking the actual progress in realization of both particular subnational development objectives and universal goals of UN. Monitoring activities should have a performance-based evaluation strategy, and be performed continuously in accord with a monitoring program in parallelism with the program of project implementation and service provision. Actually, monitoring involves evaluation of the progress in the whole range of indicators for assessment, in comparison with the baseline data, at various stages of the on-going implementation of the action plan.

A participative monitoring process necessitates developing effective mechanisms of getting feedback from the participant stakeholders, local administrators and representative individual and institutional actors (NGOs and QUANGOs) of the target groups within the local communities for tracking the actual progress of the projects and service delivery that the action plan proposed. There are various systematical methods for participative monitoring the local development practices, like *Community Based Monitoring Systems*,

Local Urban Observatories, Participatory Impact Assessment and Community Score Cards (UNDP 2005).

Suitable PGMs, like local development councils or assemblies, transparency commissions, consultation meetings and workshops, public hearings or focus groups of representatives and members of target social sectors, citizen report cards and citizens charters may be employed to engage the local community and civil society to provide the social audit of the local development implementations. The community feedbacks out of these participative governance activities should be used in *monitoring recycles* for reviewing and revising the action plan; and improving the implementation and budgeting of the projects and service provision. Local participative monitoring activities may also provide vital information for the national governments and UN institutional family in assessment of their strategies for reaching their national policy targets and universal goals (UNDP 2005; SNV/UNDP 2009).

5.4.4. Multi-level Governance in Localizing the Universal Development Goals

Another crucial role that LGPs play in pursuing the universal goals of UN organizations is initiating and coordinating multi-level cooperative partnerships among local and upper level (regional, national and international) stakeholders; and local and temporal dimensions of development. Worldwide experiences show that local development practices are much more likely to succeed when multi-level cooperative relations occur with international institutions, national governments, subnational authorities, local municipalities, local civil society, and the private sector, in the localities. No matter how strong the decision-making, budgeting and executive capacity of the local authority/authorities -or other steering bodies- are, successful localising the universal development goals can only be achieved by local government and steering bodies working closely with higher tiers of national and subnational government in one direction; and with the local communities, social groups and institutional stakeholders (UNDP 2005: 21-22).

Specifically, when national and local authorities cooperate effectively, achievements towards universal development goals can be attained quickly through targeted transfer of resources, capacity investments and service delivery. Involvement of other local actors from local civil society and private sector can make local development strategies more consistent with global goals, national plans and priorities, foster grassroots community

participation and engagement, reduce socioeconomic divergences and conflicts among social groups, and contribute to improved delivery of public services (UNCDF 2004). Participation of international stakeholders provide a global and universal strategic vision of development; capacity development services towards universal goals (UNDP 2009: 113); valuable opportunity of financial and know-how (technological supervision) support (Saltik 2008d: 41); mutual solidarity and peaceful cooperation among countries; and a national and/or subnational policy space made up of various institutions, social groups and citizens, for national and local stakeholders. The country experiences (especially experiences of UN organizations) demonstrate that multi-level partnerships create the highest level of synergy when all sides maximize their relative advantages mutually (UNDP 2003a: 15).

Well-functioning multi-level governance partnerships necessitate definition and coordination of multi-level cooperation frameworks, with clear definitions of mutual tasks and advantages, service provisions, and coordination of activities of central governments, subnational authorities and other international, national and subnational stakeholders, at various levels of loci. Effective delivery of services through local authorities and public institutions is dependent on an enabling macro-environment, such as appropriate legal regulations on decentralization and public administration, macro-economic policies, private sector and environmental policies, social policies, and social service and microfinance institutions.

Although, the role of local authorities for local service delivery remains important across all national political contexts, central governments play an important role, in allocating resources, capacity investments and service delivery. Even under strong decentralization frameworks, some essential public services, such as public health, new born vaccinations, public education, social security, building schools and health facilities, intercity highways, intervillage roads, agricultural research, and the like cannot be fully delivered and/or financed locally. Investments in such services and facilities need inputs and oversight from higher levels of authorities. Thus, effective local service delivery requires contact with higher levels of subnational (regional) and central authorities in order to facilitate fiscal transfers, technical support, coordination of planning and budgeting, upward transmission of demand for services, and downward sharing of legislations, policies and procedures. Some important national economic and social policies need to be retained and coordinated by central government agencies; and

subnational awareness and advocacy campaigns must be backed by national ones (UNCDF 2004; Handoussa 2010: 26).

This is why in local development towards universal goals, local advocacy and participation are not sufficient alone, and a national vision is imperative. The progress towards a legitimate framework for a social development plan can only be achieved when certain national set of policies, regulation and institutions are existent. First of all, there is a necessity of a national level process of participatory and deliberative governance whereby the universal goals and strategies are translated into comprehensive macro (national) and meso (regional) policy frameworks, and long and medium-term strategic visions, policies and plans. There also arises the necessity of a national level governance process for coordination among shorter-term, subnational (meso and micro) development practices, along with longer-term national policies (Handoussa 2010: 26, 33-34). Then comes the local governance for formulating, implementing and monitoring the micro (local) level objectives and action plans, in accord with the higher level policy frameworks, within a rather hierarchical order. An effective local development strategy also needs to clarify how it will contribute to regional, national and international development processes. This will include linking local action plans, targets and indicators to national and global targets (UNDP 2005: 23).

Despite the hierarchy among the tiers of universal goals, national development policies and subnational plans and programs; there must be a “two-way” flow of influence among them. A local development plan and practice is in fact the principal framework for actual achievement of a country’s long-term human development policies, and testing the performance of her development strategy towards universal goals, in actual human livelihoods. So, learning from local experiences can improve policy making at national and global levels through sharing experiences of good practice as well as highlighting barriers against implementation. For this, participative local implementation and monitoring activities should function in an effective and dynamic cyclical relationship between the national and local levels. As universal and national goals and strategies get in action down to the local level to shape general objectives of local development practices; the monitoring results of local practices should be linked back up into both national planning and resource allocation in order to improve policy responsiveness; and into global strategies towards universal goals (UNDP 2009: 115, 119).

5.4.5. Conditions of Good Governance in Local Development Practices

As stated above, community participation and holding good governance qualifications in LGPs are key conditions for successful local development towards universal development goals. Thus, providing good local governance is a key normative requirement for UNDP and UN family partnerships and implementations to ensure effective and strategic local development practices to localize universal development goals. Country experiences show that, good local governance enables the participation, actual control, proactive engagement, cooperation and creativity of citizens within local development programs and projects, towards their own development needs and demands (UNDP 2005: 23).

As stated before, good governance is a wider term than governance, which involved some other definitive elements than participation, pointing to some complementary dimensions of an expected decentralized, democratic, just and egalitarian government-society relationship, free from corruptions. Good governance mechanisms are expected to have some normative qualifications, like transparency, accountability, equity and obedience to the rule of legal and ethical norms, against corruptions. These qualifications are supposed to provide conflict resolution and consensus orientation; thus contribute to the trust formation, solidarity and cooperative partnerships among diverse sectors and actors (citizens, social groups, corporations, NGOs, QUANGOs, public authorities and institutions) of the society, via an open, just, egalitarian and deliberative governance process. As a last point good governance processes are expected to provide a just and effective allocation and use of resources towards the maximum possible benefit of the people, especially of the most disadvantaged and marginalised social groups, within the society (UNDP 1997).

5.4.5.1. The Role of the Steering Bodies

Good local governance of the subnational participative development processes necessitates some capable national and subnational actors to bear the steering roles, towards universal development goals. To steer the participative governance processes, alternatives could be to designate *a single institutional actor* or *a partnership of a bundle of actors* to coordinate the others (UNDP 2009: 113).

In most country experiences, the steering of SDPs have been performed by the regional and/or local authorities, within multi-level partnerships among local, national

and international actors, including UN organizations. On the other hand, UN organizations prefer supporting and establishing partnerships with national and subnational civil society elements, that is NGOs and QUANGOs, in performing subnational development plans and programs. They strongly promote national and subnational authorities to empower civil society elements to participate, engage and bear steering roles in national and subnational development policies and practices (UNDP 1997; UNDP 2009: 104-105).

Another option is to set up a subnational *steering committee* which reflects various sectoral interests and expertise of the community. To complement the committee's work, small working groups composed of representatives from QUANGOs, NGOs, private sectors, local public institutions and other stakeholders could be established to undertake situational analyses on health, gender, education and other specific local development priorities.

The steering body or committee would be the central party working with the local administrations, municipalities, other stakeholders and social sectors of local communities in each step of a subnational development plan or program, from the initial presentation tours, baseline researches, up to the monitoring and evaluation activities. Thus, the capacities and actual performance of the steering body or committee with respect to the good governance qualifications are some of the key features for providing a good local governance in the participative development processes (UNDP 2009: 113).

Then, the steering bodies must gather sufficient and critical information about the local base-line conditions, and the needs and priorities of the participant target groups; present the other participants the universal development vision and goals; and provide them with the sufficient technical supervision and the necessary information on base-line conditions, project management and other issues. They should be open to the participation of all other stakeholders and members of the local communities in planning, budgeting, implementation and monitoring of the local development plans and programs. They should organize open, deliberative and participative face-to-face mechanisms where the representatives of the key public and private local institutions and the widest possible range of social sectors -specifically the most disadvantaged ones- are invited, via their actors; and build compromise and cooperative partnerships among other stakeholders and social sectors, towards reasonable and feasible development objectives. They should lead an efficient and transparent flow of information between the experts or officials of the

steering bodies and the popular participants, within these mechanisms. They have to report on the steering activities and the progress of the program frequently; be *responsive* to the critiques, demands and feedbacks of the participants about their steering performances, at any stage; and be ready to review the action plan in order to provide solutions to their problems together with them. The participant actors should have representative qualifications, in the name of various important social groups and sectors; they must be able to have the equal opportunity to freely voice their opinions, problems and demands, in a horizontal and friendly communication atmosphere; be free in deliberating issues, bargaining on their interests, and participating the final decisions and implementations, so that they can feel the sense of control over the process. The experts/officials of the steering bodies must spend effort for conflict resolution and *compromise building* among participants; pay attention to *efficient* use of time and other resources; and coordinate the deliberations of the participants towards universal strategic goals for reaching effective deliberation and decision-making, in the meetings (UNDP 2007; 2009: 113; Fung 2006: 68-74).

The steering bodies should also act in accord with the good governance qualifications while steering the project partnerships and project implementations. So, the experts/officials of the steering bodies must be keen on providing their partners with sufficient technical supervision and any other kind of information; on conflict resolution and compromise building towards effective cooperation; on efficient use of the time and the program resources towards effective implementations; on smooth budget accounting and book-keeping on financial resources of the program without any legal conflicts and degeneration; and on coordinating the project implementations towards universal goals of SHD strategy. They should also behave ethically (equitable, legal, transparent, accountable and responsive), in allocation of the resources among the stakeholders; and in allocation of the project outcomes (goods, services, resources, incentives and investments) among the target groups (UNDP 2005; 2007; 2009: 113; SNV/UNDP 2009).

5.4.5.2. The Role of the Local Authorities

The local authorities are the key local actors in governance of the subnational development plans and programs, no matter whether they are the steering bodies or not. Although the scope of these goals is global and national, local governmental and municipal authorities have a strategic and practical role to play, in localization of the universal goals and good local governance of the development plans and programs.

This is first because the local administrations and municipalities are the sphere of the State that is the closest social and ecosystem service providers for the local communities. Evidence suggests that proximity of local administrations and municipalities to local communities and service users enables them to better identify and respond to local actual needs and demands. Longitudinal information about local conditions, allows local authorities to ensure a more equitable resource allocation with a more cost-benefit effectiveness, in the delivery of a range of services and infrastructure. In addition, because local authorities are directly accountable to their communities, they tend to have greater incentives to improve service and infrastructure delivery. Therefore, they are in the most appropriate position to adapt the universal goals and national policies on development to the localities; to make them locally relevant according to local priorities and needs; and to realize implementation of universal development strategies in a just and effective way, in the field (UNDP/UNCDF 2010: 5).

The critical role that local authorities play in the good governance of local development practices also comes from their proper position in promoting the participation and engagement of the institutional actors out of the local civil society and private sector, to these development practices. The country experiences show that, local authorities can actually enable greater community participation and control within participative governance processes, no matter whether they are steering bodies or not. They can help involving various sectors of local community, private and civil institutional actors (enterprises and NGOs), and most particularly the disadvantaged vulnerable social groups into the planning, budgeting and monitoring of the local development practices. Local authorities can also convene other local stakeholders from the public, private, and non-governmental sectors, around shared local development priorities; and promote and/or moderate local actors' proactive engagement, creative contributions and cooperative partnerships within development implementations (UNDP/UNCDF 2010: 5).

The participation of the three sectors as the major key negotiator, decision-maker, facilitator and service provider partners of development practices through governance mechanisms is complementary; and in fact, a necessity for good governance (UNDP 2009: 115). Particular local political frameworks are very important in provision of community participation and establishment of local good governance mechanisms. Primary determinants in local political frameworks are mutual attitudes and relationships between local authorities, private sector and the civil society. The level of integration,

trust and solidarity among the local social groups and the local authorities influence this local framework. For good governance to work, there is a need for mutuality, equality and respect among the social groups and three sectors to establish shared objectives, assign respective rights and responsibilities, as well as mechanisms for cooperation. Besides, if antagonisms, mistrust or oppositions exist among social groups and the local authorities finding the space for deliberation, consensus building and cooperation will not be an easy task (UNDP 2005: 23; 2009: 115).

In creation of a participative democratic local political environment, the attitude and manner of the local authorities against the community participation plays a critical role. For a local political environment enabling community participation, local authorities must view private sector and civil society actors as legitimate voices; they must be open to receiving inputs (information on local conditions, needs and priorities), service demands and creative contributions from them; and they must obey the good governance norms, within the participative local governance mechanisms (consultation meetings and the like) for planning, budgeting and monitoring. Moreover, for local non-governmental institutional actors either to steer and/or to engage proactively to the local development process, cooperation and consent of the local government and municipal counterparts is important. So local authorities must also be willing to cooperate with a broader array of civil institutional actors and citizens to take on tasks and responsibilities as equal partners; and perform these tasks in a transparent, accountable, responsive, cooperative, equitable, horizontal and legal manner -free from corruptions- within local development processes (UNDP 2009: 115).

5.4.5.3. The Roles of the Civil Society and the Private Sector

Civil society actors are ideally positioned to facilitate effective and sustainable grassroots participation of local community members in local development plans and programs, along with national development policies, based on universal development goals. As stated above UN organizational family pays a specific attention on involvement of the elements of the civil society into the SDPs, as steering bodies. However, local civil society actors may act not only as steering bodies but also as intermediaries between their grassroots, and the steering bodies, the local authorities and other local, national and international stakeholders, throughout subnational development processes.

Local governance mechanisms, like participative baseline assessments, consultative meetings and deliberative dialogues provide the local NGOs the possibility to represent and voice the particular concerns, priorities and needs of their grassroots related to local development; to engage local communities in campaigning, planning, budgeting, implementation and monitoring activities; to bridge the gap that exists too often between citizens and local authorities; and to hold them transparent, accountable, responsive, cooperative, equitable, horizontal and ethical against the local communities in delivering development related (poverty reduction, capacity building) and the other routine public services (UNDP 1997; 2009: 104-105, 115).

Therefore, good local governance is not only related to the attitudes and activities of the local authorities. For good governance, there must also be a community participation, control and engagement to the local development practices via mediation of their representative NGOs and QUANGOs; and a public demand for obedience of the local authorities to the good governance norms, in their involvement to LGPs and service provision activities. Besides, good local governance also necessitates a virtuous cycle of participative planning, budgeting, implementation, monitoring and plan revision which provides the efficiency and cost-benefit effectiveness of the development practices. This cycle should involve a transparent flow of information from the steering bodies and the authorities to the community; monitoring feedbacks from the community to the steering bodies and the authorities; and responsive review of policies along with the feedbacks. When citizens are empowered to hold local governments obedient to good governance norms through this virtuous cycle, there can be tangible progress toward the achievement of the universal development goals at the lowest transaction costs and with the highest efficiency. When such a cycle is absent (for social, political or cultural reasons), the positive continuum from accountability to efficiency and effectiveness is weakened (Handoussa 2010: 36).

In diverse countries across the world, like South Africa, Senegal, Nicaragua and Nepal, UN family supported the participation and engagement of local private sector and grassroots civil society actors to the planning, budgeting, implementation and monitoring of the development practices. NGOs have mediated their grassroots citizens to hold their control over the local development processes; and played an important role in providing obedience of the steering bodies and local authorities to good governance norms for continuous improvement in local planning, budgeting, resource mobilization and service

provision to the target groups. Participation of NGOs have also functioned to help citizens to get aware of the universal development goals and national development policies; led communities to be more open and committed to achieving the universal goals and long-term national policies, in both the short and the long-run; and helped them linking national level strategies and budgets to the local level implementations and outcomes. Thus, local civil society and private sector participation has served successful and sustainable localization of the universal development goals, and good local governance of related national policies (UNDP/UNCDF 2010: 5).

Increased civil society involvement in long-term development practices has also contributed to creating the local and national conditions necessary for effective and sustainable civil society participation to the decision-making on social and economic policies, at both subnational and national levels. Participative planning, budgeting and monitoring activities have had specific intrinsic value for their help in creating a long-term, sustained and institutionalized participative space for the civil society and the community in the local development and decision-making process. This has been a valuable political achievement for the community members (UNDP 2005: 23).

5.4.5.4. Capacity Building for Good Local Governance

The local institutional actors (local public authorities, firms and NGOs) and citizens must have the capacity to become and stay engaged in the local development governance process for keeping it 'good'; and localize the universal development goals effectively and sustainably. This first necessitates that all local actors need to learn the universal development agenda, that is the paradigms, strategies and goals; and get aware of the expected impacts of localizing the universal goals on the development of their own localities. This awareness would improve the local capacity in drawing connections between the universal agenda and their own local development; reflecting community demands in local development practices and service delivery; and adopting and benefitting these public services for local economic growth, poverty reduction and other social and environmental projects, effectively (UNDP 2005: 21).

Secondly, they have to improve local human capabilities by overcoming their lack of training, knowledge and skills to participate to the assessment of the local socioeconomic conditions of poverty; to create a framework of local development indicators necessary for local planning and monitoring mechanisms; to make an integrated and participatory

planning and budgeting for using the necessary resources cost-effectively in local development and service delivery; and to monitor progress and hold local service providers and authorities accountable and responsive. Local communities also have to improve their organizational capacities and collective capabilities to complement the development efforts of the steering bodies and the local authorities. They need to build a high degree of social capital and capacity to cooperate each other with a spirit of trust, partnership and solidarity. Inadequacies of civic organizational infrastructure are major obstacles against effective civil society performance, in local development. This challenge can be particularly severe in rural localities (UNDP 1997; 2005: 21; 2009: 104-105).

The local institutional actors need to have more specific resources and qualifications to perform steering roles in development plans and programs. These involve the number and the technical, communicative and managerial knowledge and skills of their members/employees, their organizational structure, credibility among other institutional actors, experience in development policies and practices, proactive entrepreneurial vision on development, grassroots representation and cooperation capacities, financial resources, technological infrastructure, physical assets, and the like. Besides, the local authorities and local civil society organizations should improve their capacities to steer the local development practices, in a democratic, equitable, transparent, accountable, responsive and effective way. For this, they have to adopt well-functioning and integrated financial management and internal/external administrative procedures, which ensure effective and accountable coordination of the social groups and stakeholder institutions in the community. They also have to attract and retain well-educated and professional staff, who have the necessary know-how and skills to effectively plan and deliver services; and/or overcome their officials' lack of training in articulating universal and national development goals with local priorities, and using the participative tools of campaigning, baseline assessment, planning, budgeting, service provision, public relations and monitoring (UNDP 2005: 21-23).

However, too often local authorities and NGOs -specifically the local NGOs- are too small or lack steady resources and qualifications, leaving them unable to actively join development partnerships and/or steer them. The most important asset which is usually absent is the necessary knowledge and experience in local development issues. Thus, an important issue in providing good governance in local development practices is

designating a non-partisan body, like a UN agency, to provide trainings for the steering bodies, the steering committee members, the other participant stakeholders and the wider social sectors of the communities for local capacity building (UNDP 2009: 113-115).

5.4.5.5. Macro Conditions for Good Local Governance

The national political, legal and institutional environment sets the basic conditions under which all national and local actors, and specifically local authorities participate to the various levels of governance processes and development practices. Level of decentralisation and empowerment of local authorities and communities is dependent on existence of an enabling environment which involves a participatory and deliberative civic democratic culture, appropriate legal regulations on decentralization and public administration, friendly attitude of central governments against civil society participation and private interest representation, legally institutionalised deliberative governance mechanisms for individual citizens, media, and non-state institutional actors to express their voices (and to be sure that they are heard), strong legal control mechanisms to assess governance performance and to prevent corruption; building participatory and auditing capacities in the civil society, capacity building in both higher and lower ranks of administrators and public officials to obey the norms and perform civic democratic functions, are vital conditions for good governance and participative development at both national and local levels.

Decentralization is an essential macro-political condition which is a key feature in subnational capacity building, empowerment of non-governmental actors (civil society, the private sector and media), subnational authorities and local communities, and good governance at all levels (national, regional and local) of governing. Country experience from Africa, Latin America and Eastern Europe suggests that political and fiscal decentralization is one of the most important factors for empowerment of the local communities and authorities by successfully building local capacities in planning, budgeting, implementing and monitoring the subnational development plans and programs autonomously and participatively; and for good local governance and engagement of local communities -and specifically the local civil society- to carrying on successful local development practices, towards localization of universal development goals (UNDP 2009: 104; Nijenhuis 2002: 168-173).

In part of the local authorities (local administrations and municipal authorities), decentralization is expected to pave the way for a more capable, cooperative, and effective participation of local authorities to the participative local development practices. First, when empowered sufficiently via decentralization, they become more capable to autonomously and effectively fulfill the planned service provisions and other tasks they bear for local economic development, poverty reduction and capacity building projects, by help of their expanding autonomy in local policy-making, public spending decisions, and public service provision; and greater control over local public resources and collecting tax revenues. They also have more capacity to support and cooperate with the local steering bodies in convening, coordinating other local stakeholders; and mediate between locality and higher tiers of government, including central governments within the contexts of national level policy-making, development planning and implementation (UNCDF 2004; UNDP/UNCDF 2010: 5; Handoussa 2010: 34-36; Nijenhuis: 168-173).

On the other hand, when the central government is the principal planning and budgetary decision maker it is likely that lower administrative levels have less interest in working with communities. In contrast, if elected local leaders have more decentralized autonomy they find cooperation with the local actors more attractive (UNDP 2009: 120). In country experiences, it is also witnessed that decentralization has also increased people's motivation to participate in decision making, planning, budgeting and development practices positively because of their perception of local administration as a channel for expressing local people's needs and requirements, instead of a '*representative of central government and its demands*' (Handoussa 2010: 30). Thus, for good local governance relations and successful localization of universal development goals there is a need for improvements in national legal-institutional frameworks and public administration reforms, in favor of local capacity building, political and fiscal decentralization, and employment of local good governance mechanisms (Handoussa 2010: 26, 34; UNDP 2005: 21-22).

CHAPTER 6

SUBNATIONAL DEVELOPMENT IN TURKEY

Although the 'new regional policies' and 'new regional plans' have been specific phenomena of the last two decades, in Turkey, regional disparities and regional policies to overcome these disparities have had a longer time in our country, even since the end of the 19th Century. As the first portions of the foreign direct investment entered the borders of Anatolia, the regional disparities had begun to appear between the West and the East. However, some attempts against these disparities began with the Republic (Akgöz 1994: 88-89).

6.1. Stages of Subnational Development Policies in Turkey

6.1.1. Unsystematic Attempts in Early Republican Period (1923-1939)

In the beginning of the Republican Period, the *semi-colonized* economic conditions of the late Ottoman Empire. The production and exports were essentially agricultural and natural raw materials; and imports were made up of industrial goods, in accord with the imperialist international division of labor. Most of the exported raw materials and agricultural goods were produced in the West Anatolia; and better transportation conditions were inherited from the Ottoman Empire, in the Western regions. The manufacture sector was made up of small arts and crafts producers, mostly settled in the West Anatolian towns and cities. A primitive industrial development was also seen in İzmir and the West Anatolia. So, because of these asymmetrical conditions, a considerable gap in industrialization and development had already emerged between the Western and the Eastern Anatolia, by the beginning of the Republican period (Avcıoğlu 1973; 75-77; Boratav 2005; 19-21).

Besides, the main economic paradigm of the Early Republican Period had been the “National Economy” approach favoured by the “Order and Progress” rule of the previous decade (1908-22). The main purpose of the National Economy strategy was creating a native entrepreneur class (a national bourgeoisie) by the conservative hands of the State. However, some specific conditions arising from the Treaty of Lausanne prevented the full implementation of the necessary conservative and import-substituting industrialization

policies towards realization of this purpose, in the first Republican decade (1923-29) (Boratav 2005: 39-40).

By the end of the customs tariff restrictions of the Lausanne Treaty, in 1929; and the emergence of a new global conjuncture after the Great Depression of 1929, Turkish economic policy-makers headed on an attack for national development via conservative customs and tax policies; and an etatist import-substituting industrialization strategy (ibid.: 59-67). In parallelism, the first initiatives to overcome the regional disparities were seen in 1930s, during this period of etatist economic policies (1933-39). However, these were not 'regional development policies', in its strict sense. But, rather some unsystematic efforts for equal distribution of state investments all over the country were seen (Akgöz 1994: 89).

6.1.2. Early Post-War Period (1945-1962)

The first 10 years just after the War, the multi-party regime began and the *Democrat Party (DP)* governments ruled Turkey.¹ The conservative, etatist and import-substituting industrialization policies were abandoned in favor of open and liberal ones, and in obedience to the peripheral role within the neo-imperialist international division of labor. The last *Republican People's Party (CHP)* government had already made this shift in economic policies, in 1947, and the first DP government followed the same open and liberal economic policy trend in the early 1950s.² In this period DP government, had rather directed the public resources towards supporting and providing incentives for the agricultural sector; for investments in the energy and the construction sectors and developing the infrastructure (Boratav 2005: 93-106).

The second DP government made a characteristic shift in economic policies towards Keynesian interventionist principles, because of the conjuncture of fluctuations in the growth of the world economy which influenced Turkey, so that the growth of the Turkish economy that was depending on raw material exports slowed down. Thus, the second half of 1950s witnessed conservative and interventionist policies, in favor of import-substitute industrialization. Consequently, import-substituting industrialization accelerated again. While the annual growth of the agricultural sector fell dramatically, rates of industrial growth and the national income share of the industrial sector relatively increased. This

¹ DP: Demokrat Parti

² CHP: Cumhuriyet Halk Partisi

fostered the first major wave of migration to the industrializing Western Anatolian metropolises. Population and the income of the urban working classes increased relatively against the agricultural sector. Thus regional disparities between the industrializing Western Anatolian regions and the rest went on to increase (ibid.: 107-116).

At the meso-level, a second unsystematic attempt for fighting against the regional disparities was seen in the beginning of 1950s. A special budget was prepared for regional development of Eastern Anatolia, but was given up to be applied. Nevertheless, DP governments, had spent a relative effort for distribution of public investments - especially in infrastructure- over several regions of the country, in accord with the Keynesian welfare policies, all along 1950s. They continued to direct the public resources towards developing the infrastructure, and implemented the first systematical program on building motorways within Anatolia, during the whole decade (Akgöz 1994: 89). However, these efforts were not enough to stop the increasing regional disparities, especially for the strong preference of the private sector to invest in the Western regions - Marmara and Ege- and around Western metropolises, like İstanbul and İzmir (Şahin 1994: 110).

6.1.3. Regional Development Policies in the Planned Period (1963-1983)

1960s witnessed the May 27th coup, the end of the DP rule, and a conjuncture of a stable economic expansion and industrialization, in Turkey. The major economic policies carried on the same route with second DP government: a regulated foreign trade and foreign exchange regime, Keynesian macroeconomic controls and the import-substituting industrialization led by the State. Industrialization strategy followed the import-substitution strategy again.

From the beginning of 1960s up to mid-1970s, high rates of annual growth in national income and industrial production prevailed, while the annual growth rates in the agricultural sector and its share in the national yield stayed relatively low with respect to the urban sectors. Moreover, an extraordinary expansion of the urban service sectors took place; and the urban marginal sector also continued to enlarge, in 1960s and early 1970s. On the other hand, major KWS regulations in the labor market and widespread social services emerged and matured, in favor of the urban working classes. These regulations provided both the regulation of the quality and quantity of the domestic demand for the

developing import-substitute industries; and high levels of real income, relatively sufficient social services, and hence a higher level of welfare for the urban population.

Consequently, 1960s witnessed the largest wave of migration of the rural population to the industrializing metropolises of Western Anatolia, in Turkish history. Then, the distribution of national income deteriorated in disadvantage of the migration sending Eastern, North-Eastern (Eastern Black Sea) and South-Eastern regions of the country. The income distribution between urban and rural populations deteriorated in disadvantage of the rural areas. Thus, at the meso-level, the developments in the urban economy and the welfare state regulations added up to the deepening of the regional disparities at an accelerating tempo, up to mid-1970s (Boratav 2005: 117-144).

1963-83 period was also the so-called “planned era”. Four “five years' plans (BYKPs)” in which regional policies took place in varying degrees of emphasis and importance were prepared, in this era. More systematic regional development policies for overcoming regional disparities had been proposed and applied, within the BYKPs of this period (Şahin 1994: 110-111). In their general contours, all four plans approached the question of regional development planning within the conceived dilemma between the efficiency of the private and public investments and overcoming the regional disparities in the name of social justice and public welfare. And they all preferred overcoming regional disparities as the primary target and saw this as a concession from national growth in the name of meso level social justice. Thus, beginning with the First BYKP, special attention was paid in plans and programs, for the provinces and regions with priority in development (Tekeli 2008: 68-71).

The *First BYKP* was prepared in 1963, and had been in effect during 1963-67 period. This BYKP adopted an import-substituting industrialization and national growth strategy, which would be led by public investments and state economic enterprises (SEEs). It proposed two basic aims at the meso and micro levels: overcoming the regional disparities and providing equity of opportunity in all regions and localities, provided the condition that these regional policies won't harm the major national target of %7 annual growth.

The indicators of development were chosen to be regional income per se, and equity in regional distribution of public services and enterprises. The public services and investments for establishment of new enterprises would be preferably directed to the

undeveloped regions. The First BYKP had rather proposed to support local entrepreneurs in the undeveloped regions to work for their own local and regional development; than to create incentives for directing national investors to these regions. Hence, some measures for supporting the local investors to invest in local SMEs were also proposed, like fiscal incentives and establishment of local industrial districts. The First BYKP saw the fast migration and urbanization caused by import-substituting industrialization as a problem and proposed measures to prevent it. These measures involved land reform and agricultural incentives for rural populations to stay in their localities and carry on agricultural production (ibid.: 71-72).

The First BYKP also proposed preparation of a series of regional development plans and programs, as inseparable elements of the national planning. In addition, some regional plans were also prepared, like Eastern Marmara Regional Plan (1963), Zonguldak Regional Plan (1963-64), Antalya Plan (1960-65), Aegean Region Development Plan (1963-69), Çukurova Region Planning Project (1962) and Keban Plan (1964). The Eastern and South-Eastern Anatolia Regional Project had begun to be implemented in the related regions (Kayasü and Yaşar 2006).

In the First BYKP, although each regional development plan, program or project was proposed to be supervised by a local steering team, the main actors to carry on the planning and implementation of the national and regional development plans were proposed to be the central government bodies. This was because central government was supposed to be the only actor to provide the equilibrium between national and regional purposes of development. In fact this had been the general characteristic of the whole planned era. So, an “*Inter-Ministerial Board*” was established for coordination of the regional development plans. *State Planning Organization (DPT)* and this Board were supposed to be the main responsible government agents for implementing the regional development purposes of the BYKPs (ibid.: 71-72).³

The remaining three BYKPs of the era had also adopted the import-substitute model. But, they considered the development of the private sector as the main national purpose and counted the public sector as the supporter of the private entrepreneurs (Boratav 2005: 126-127). The *Second BYKP* had been in effect during 1968-72 period and approached regional development issue from the perspective of overcoming disparities, too. But in

³ DPT: Devlet Planlama Teşkilatı

contrast with the first one, it adopted a nodal regional development strategy so that public services and investments were proposed to concentrate in some urban centers which could serve as polar locomotives for the development of the rest of each region. So, migration and enlargement of the chosen urban centers were not considered as problems any more. Nevertheless, development of some secondary rural centers had also been proposed, as well as polar urban ones. Socioeconomic development was supposed to spread within each region gradually, through a hierarchy of echelons from the polar urban centers to the secondary rural ones, and the rest.

During the period of the Second BYKP, the preparation and implementation of the particular regional development plans and programs which were proposed in the first BYKP had been canceled. All other activities towards regional development were proposed to be coordinated and implemented from the center, so that DPT and other related central government bodies would be in charge (Tekeli 2008: 72-73).

The *Third BYKP* was in effect during 1972-77 period. In this plan the concept of *region* was not employed, because of the concerns of the DPT administration against provocation of the regionalist demands. Concept of *district* was preferred and regions were not considered as unified entities of development, so that local disparities within regions were brought forth. The Third BYKP was the first national plan where the policy of “*Districts with Priority in Development (KÖYs)*” was considered as the main instrument to overcome local and regional disparities, although it was first introduced earlier with the Law dated 28th February 1963 and numbered 202. ⁴ KÖY policy was one of the major policies which has been used against local and regional disparities up to today (Dođanođlu 1989: 28, 42). The identification of districts was based on the provincial administrative organization of Turkey. Provinces were taken as the local units of developmental and spatial planning. They were first classified according to their degree of development, in the Third BYKP.

In provincial spatial and socioeconomic planning, efficiency of the local private and public investments was considered to be the main target, so that these local investments would serve the local development needs without disrupting the national growth targets. Enlargement and development of urban provincial centers had been proposed to be supported. Rural development was also a proposed purpose. In rural development, a

⁴ KÖY: Kalkınmada Öncelikli Yörelere

strategy of establishment and development of some secondary rural centers around chosen central villages was adopted. Rural public services and agricultural production factors (machinery, chemicals, seeds and fertilizers) were proposed to be concentrated and allocated to the other rural areas from these central villages. In addition, land reform and agricultural subsidies were also proposed, in the Third BYKP (Tekeli 2008: 73-75).

The *Fourth BYKP* had been in effect during 1979-83 period. In this plan, the concept of region gained its place back. The fourth plan proposed a spatial organization of each region resting on functional socioeconomic division of labor among involved localities. Particular and gradual development routes were drawn for various regions with varying degrees of development. For the developed regions the main purposes were providing the efficiency and consistency of the infrastructure investments, and sustainability of development. For the undeveloped regions, it was making a start for development. It was proposed that, both national and local investors would be stimulated for investing in undeveloped regions, via a detailed policy of incentives.

The Fourth BYKP proposed a controlled and stable urbanization policy. It stressed the importance of local administrations and municipalities in urban development. It involved incentives for developing public transportation in the cities. The fourth plan also involved measures for rural and agricultural development. Since it was prepared by the Ecevit government, it involved projects of “popular sector” and “village-city” projects. Village-cities were planned to be rather the secondary rural development centers than human settlements, where services and agricultural production factors would be concentrated for allocating to the rural area around them. They were also proposed to involve industrial production facilities where local rural people would be employed.

The Fourth BYKP suggested preparation of one regional development plan: the East Anatolian Development Plan. It also suggested to transform the Lower Euphrates Water Resources Development Project, which was originally began as a project of irrigation and energy, into a multi-purpose development project (Tekeli 2008: 75-76).

The first two five year plans had been quite effective on public investment programs, from 1963 up to 1972. But the last two couldn't find enough implementation opportunities. Specifically, the last one was put aside by the September 12, 1980 coup. Hence, the subnational development policies they proposed could not be realized, except for the KÖY policies. Besides, the the East Anatolian Development Plan that the Fourth

BYKP proposed couldn't be prepared, either. Nevertheless, the Lower Euphrates Water Resources Development Project was revived as a full and long lasting regional development plan under the title of the *South-East Anatolian Development Project (GAP)* (Boratav 2005; Tekeli 2008).⁵

6.1.4. Neoliberalism and Regional Development (1983-1989)

The crisis of the North Atlantic Fordism and the world economy had already begun as of the second half of 1960s, deepened by the 1974 oil shock, and had lasted during the second half of 1970s and all along 1980s. In parallelism to the world economy, the import-substitution regime in Turkey fell into crisis simlutenously with its other world-wide examples. Production, growth rates and incomes fell, and prices rose sharply. A half decade era of stagflation began. As of the end of 1970s, the KWS regulations and macro level socioeconomic policies became unsustainable. The ideas of development and planning lost their reputation, and so did the interest in regional disparities and development.

1980s had been the first decade of the Özalist neoliberal policies. *Motherland Party (ANAP)* governments performed a series of successive deregulating policy changes towards further liberalization in foreign trade and foreign exchange regime;⁶ further flexibility in the labor market; shrinking the public sector via privatization of SEEs; an export-oriented industrialization model and financial liberalization. A series of privatization and attacks on the KWS regulations took place, and the public investments shrank significantly, at both national and subnational levels.

The direct government support and the neoliberal, deregulated economic atmosphere fostered the growth of the export-oriented industrial sector, with stable rates up to the end of 1980s. Nevertheless, the export-oriented growth regime provided a certain level of income rises, especially for urban social sectors in the industrialized Western regions, at the end of 1980s. This provided a dependent prosperity for the urban population. However, the agricultural sector had shrunk significantly during 1980s, because of the decreases in government support and subsidies. Agricultural production and national income share of the rural population fell. Thus, the second major wave of migration from the rural areas of Eastern Anatolia to the Western metropolises took place, in 1980s. At the

⁵ GAP: Güneydoğu Anadolu Projesi

⁶ ANAP: Anavatan Partisi

end of 1980s, the higher share of the Turkish population began to live in the urban settlements (Boratav 2005: 145-169).

In the end, these conditions deepened the regional disparities more and more. As a matter of fact, the shares of all regions -except for İstanbul- from the national surplus value had fallen or stayed constant, during 1980s (Arslan and Demirel 2010: 55).

No actual attempts for preparing national or regional level development plans were made in the beginning of 1980s. At last, the *Fifth BYKP* was prepared in 1985 and stayed in effect up to 1989. In this plan, 16 regions were identified according to their levels of development. In addition, the KÖY policies had also been carried on. By this way subnational development policies had lasted at both regional and local levels. The Fifth BYKP adopted a regional development strategy which rested on providing responses to the collected local development demands, and supporting the local private sector investments, instead of delivering public services and investments to the regions and localities (ibid.: 55).

Hence, the regional development strategy depended on overcoming regional disparities solely by private sector investments in accord with the neoliberal ideology, during 1980s. In this decade, development had been conceived as economic growth. The main actor for development was accepted to be the private sector; and the role of the government had been supporting the private sector commercial initiatives, in both national and subnational levels. This feature distinguished 1980s from the previous decades, when central government had been the main actor in national and regional development; the national and regional development had been strictly planned, coordinated and implemented by the central government agents; and public sector initiatives, incentives, services and investments had been the major instruments (ibid.: 56).

However, the neoliberal subnational development strategy was insufficient for overcoming the subnational disparities. On the contrary, socioeconomic disparities among regions and localities deepened acceleratedly, in 1980s.

6.1.5. New Subnational Development Policies in the Post-Wall Era (1990-2010)

1990s and 2000s had been characterized by a fully open economy and intense two-way flows of hot money, in Turkey. Thus, the monetary inflow and foreign debts managed to overcome the ever-increasing trade deficit. Turkish economy had grown with

relatively high annual rates, during these decades, except for the years of financial crises, in 1994, 1997, 1999, 2001, and in 2008, just after the 2007 world crisis.

In 1990s both real wages and mark-ups rose, domestic market and consumption enlarged continuously, thus more or less a prosperity financed by foreign debts and hot money prevailed during 1990s. In the beginning half of the decade, income distribution improved in favor of urban working classes, and the government attempted to recover some of the formal welfare-state implementations, like social security system, public health and education systems in accord with the newly popularizing human development mottos, like opportunity equity, fight against poverty and strengthening the human capital.

On the other hand, 1990s had been a decade of loss in the name of the real sector as a whole, while the financial sector had come forth and a rentier sector began to take the major share of the national income. The speculative movements of hot money, weaknesses of the banking sector and the financial markets, and growing government deficits co-resulted in periodic financial crises, in 1994, 1998-99. After the first financial crisis, the public debt management, public sector and the SEEs went into crisis and a big wave of privatization came, for financing public deficits. Then the income distribution had begun to worsen in the name of the urban working classes; the national income share of the rural population also fell; and the formal institutions of public welfare got under neoliberal attacks again, in the second half of 1990s. At last, the ever-increasing public deficits became unsustainable, and public debt management crashed at the end of the decade.

2000s began with the crisis, and the whole growth regime led by the financial sector, public debts, hot money and the rentier economy dissolved. After the the 2001 financial crisis, neoliberal economic and social policies which followed a series of IMF stand-by agreements reigned, and attacked the remaining welfare-state institutions, in the name of fiscal discipline. This decade witnessed some characteristic changes in Turkish economy. Macroeconomic stability and control of the budget deficits was attained; and the structure of the production had changed. The agricultural sector shrank significantly while industrial and service sectors grew. In the end, 2000s had been a decade of high but volatile annual rates of growth, but showed a characteristic of *growth without employment* (Boratav 2005: 171-199).

At the meso level, the deepening of the regional disparities had been a phenomenon of the 1990s and 2000s, too. The share of the regions from the national surplus continued to fall during these two decades (Arslan and Demirel 2010: 55).

In the *Sixth BYKP*, which had been in effect during 1990-94 period, it was proposed to provide an even development in all regions of Turkey. In this plan, it was stated that, intra-regional (from rural areas to urban areas) and inter-regional migration had been a serious problem which influenced regional development in the negative way. Thus, some critical measures had to be employed against migration, like strengthening the rural economies and providing inflow of employment creating private and public investments to the undeveloped regions. Preparation of a detailed policy of fiscal and other types of incentives was proposed to foster the foreign and domestic investments into these regions (ibid.: 55).

In the *Seventh BYKP*, which had been in effect during 1995-2000 period, it was again proposed to overcome regional disparities in all socioeconomic aspects, to provide national unity. This plan was the first one which proposed *sustainable development* in the subnational levels. Consequently, development had to be realized not only in the economic realm (that is growth), but also be complemented in other social and cultural aspects of community life for building local capacities. In this plan supporting the development of local SMEs and establishment of “*Organized Industrial Districts (OIDs)*” for clustering local SMEs together, became one of the primary purposes.

It was the period of the seventh plan when some other elements of the new generation of developmental paradigms -that began to be current worldwide during late 1990s- first began to influence the agenda of Turkish development policies and practices. The major stimulus for this was the influence of the current EU development policies, which became influential in Turkey with the incentive of a successful integration to EU, specifically after the Customs Union Treaty, in 1995. Consequently, Turkish subnational development policies and practices began to involve the principles of EU subnational development policies (ibid.: 58-61).

The central aim of EU subnational policies had been the reduction of regional disparities between the different regions in the EU territory, by mobilizing the endogenous regional resources in an optimal way. Thus, EU subnational development paradigm had majorly rested on the *endogenous development* approach which proposed

that subnational development should be built on increased endogenous local potentials achieved by building and mobilization of the local endogenous economic, social, natural and human capacities of regions, as of 1988. It stressed mobilization of unused or underused resources and improvement of the elements of local economic, social and human capital, like human resources, learning from the regional experience, knowledge-transfer networks, local business culture on entrepreneurship, quality of production factors and systems, for increasing local supply (Ertugal 2005: 4-5).

The new EU subnational policies also involved a bottom-up development model of region-specific, longer-term policy actions; and the principles of subsidiarity and partnership that is decentralization of decision-making to lower territorial levels and close involvement of regional and local governmental bodies with the national governments and EU institutions on development issues. The new EU subnational development policies offered the subnational authorities a wider role than merely being consultative bodies. They became active agents allocating the subnational resources among economic and social actors efficiently. This new role had challenged the existing hierarchical relationships within member states, where central government was at the top, and subnational authorities were only in consultative position. The new regional policies also suggested a *multi-level participative governance* framework where policy-making responsibility is shared among not only multiple (subnational, national, and supranational) levels of government, but also among a wide range of local non-governmental economic and social actors and stakeholders (ibid.: 5-6).

By the influence of EU subnational development policies, fostering the participation of the local civil society and private sector actors, like NGOs, QUANGOs, SMEs and citizens to the subnational development planning and implementation; and the use of soft-instruments, like provision of trainings and supervision to the local communities and SMEs for local capacity building began to gain importance, in the new generation of Turkish subnational development policy design. These new ideas became increasingly more influential on the Turkish national planning and subnational development policy design, during 2000s. The older purpose of overcoming regional disparities left its place to creating competitive regional and local economies ready to integrate to the European and global markets; and local entrepreneurs capable of participating to multi-level governance partnerships. The 8th and 9th BYKPs adopted this purpose as one of the main dynamics of national development (Arslan and Demirel 2010: 58-61).

The *Eighth BYKP* got into effect in the year of the 2001 financial crisis. Main purpose of this plan was preparing the Turkish economy for a full integration to the European and global economies, and preparing the necessary incentives and socioeconomic conditions for attracting the foreign capital as direct investments. Hence, this plan reflected a return to the neoliberal socioeconomic policies and export-oriented growth regime, which proposed shrinking the public sector with privatizations; restricting public investments, in favor of private investments and market relations; further deregulation in the labor market and public welfare policies; and providing incentives for export-oriented production sector. EU subnational development principles of increasing local endogenous capacities for creating competitive and growing local economies, ready for integrating to European and global markets was a good suite at the subnational level. The eighth plan proposed creating 27 new OIDs, which were oriented for supporting local SMEs and local development purposes (Bayülken and Kütükoğlu 2010: 15, 23-24).

The *Ninth BYKP*, was prepared and accepted, after two annual national plans. This plan was proposed to cover a 7 years' of 2007-2013. It adopted the same priorities with the previous one so that its major purpose was preparing Turkish economy for integrating to European and global markets. This plan proposed a closer preparation for the European market; thus significant decreases in national, subnational and sectoral investment incentives and agricultural subsidies for creating competitive market conditions for European (and other foreign) direct investors and financial capital. It aimed to support the export-oriented production and carry on the neoliberal policies. At the subnational level the ninth plan adopted the purposes of providing the efficiency and consistency of the particular regional development plans and practices; stimulating the subnational development via enhancing the local endogenous development capacities; increasing the local institutional and organizational capacities; and supporting the rural development capacities. These were all in accord with the main subnational development purpose of creating competitive local economies (ibid.: 15-16, 24-25).

All four BYKPs (6th, 7th, 8th and 9th) proposed to carry on the KÖY policies and selective incentive policies. Several laws and related regulations have been issued; and detailed bordereaus of regionally and sectorally selective incentives and exemptions have been prepared for promotion of investments in undeveloped regions and sectors (Arslan and Demirel 2010: 56-58). Today, the KÖY and incentive policies are still in use, together with some new subnational development policies, related practices (plans,

programs and projects) and institutions, like RDAs, which became current during the last two decades.

The *Tenth BYKP* was accepted in June 2013. It will get effect for the 2014-2018 period. In this plan it is detected that although the income has increased at the national level, the regional disparities and migration from the less developed regions of the Eastern Turkey to the more developed regions of the West have lasted (despite in a relatively slower rate), during the years of the Ninth BYKP. So, the Tenth BYKP anticipates carrying on the regional development policies started during the 9th one, which aimed at increasing the productivity and competitiveness of the less developed regions; and economic and social integration of the regions in Turkey (Ministry of Development 2013: 26-27, 134).

The new plan anticipates to carry on the public investments, regional incentive policies and the micro-credit facilities to the local private entrepreneurs, like the *Ministry of Development Social Support Programme (SODES)*, and the financial support programs to the local public administrations, like the *Project for Supporting the Infrastructure of the Villages (KÖYDES)* and the *Project for Supporting the Infrastructure of the Municipalities (BELDES)*.⁷ On the other hand, it also anticipates fostering the private investments in the less developed regions by virtue of the incentive policies; and more importantly by increasing the *Public-Private Partnerships (KÖİs)* and improving the legal and institutional conditions of KÖİ models for regional investments. It also anticipates increasing foreign direct investments to the less developed regions, with the help of the *Investment Support and Presentation Agency (YDTA)* (ibid: 26-27, 91-96).⁸

The Tenth BYKP gives priority to improving the transportation among the regions; and developing some sectors, like manufactural production and tourism in the less developed regions. It also aims at increasing the agricultural productivity; diversifying the economic activities; supporting the SMEs, micro-enterprises, the clustering model and the OIDs; supporting integration of the local producers to the international markets and increasing exports; improving the human and social capital; increasing the governance relations in the public administration and empowering the NGOs; improving the rural and

⁷ SODES: T.C.Kalkınma Bakanlığı Sosyal Destek Programı
KÖYDES: Köylerin Altyapısının Desteklenmesi Projesi
BELDES: Belediyelerin Altyapısının Desteklenmesi Projesi

⁸ KÖİ: Kamu Özel Sektör İşbirliği
YDTA: T.C. Başbakanlık Yatırım Destek ve Tanıtım Ajansı

urban human settlements; and creating new attractive centers which can stop the migration to the West, in the less developed regions (ibid: 100, 130, 135, 136-144).

The plan also aims to improve the institutional structures, effectivity, and functions of the local offices of the 26 RDAs; and to increase their cooperation among themselves, and with the newly established central public institutions on regional development, like the *Directorate of the Eastern Anatolia Regional Development Plan (DAP)*, *Directorate of the Eastern Black Sea Regional Development Plan (DOKAP)*, *Directorate of the Konya Savanna Development Project (KOP)*, the *Higher Board of the Regional Development and Regional Development Committee*, under the coordination of the Ministry of Development. It also anticipates introducing a *National Strategy for Regional Development (BGUS)*, for the new period (Ministry of Development 2013: 136-144).⁹

6.2. Examples of the New Subnational Development Practices and Institutions

The new generation of development paradigms and specifically EU paradigm had not only influenced BYKPs, but had further influences on Turkish subnational development policies by the major incentive of integration to EU, since late 1990s. First, Turkish central government institutions, like DPT and *South Eastern Anatolia Project Regional Development Administration (GAP-RDA)* had prepared and/or sponsored a series of development practices (regional development plans and projects), which were along with the principles of the new subnational development policies. Some major examples may be listed as follows:

- i. South Eastern Anatolia Project (GAP)
- ii. Zonguldak-Bartın-Karabük Regional Development Project (ZBKP)¹⁰
- iii. Eastern Black Sea Regional Development Plan (DOKAP)
(Artvin, Bayburt, Giresun, Gümüşhane, Ordu, Rize, Trabzon)
- iv. Eastern Anatolia Regional Development Plan (DAP)
(Ağrı, Bingöl, Bitlis, Elazığ, Erzincan, Erzurum, Gümüşhane, Hakkari, Kars, Malatya, Muş, Tunceli, Van, Ardahan, Bayburt, Iğdır)

⁹ DAP: Doğu Anadolu Kalkınma Planı
DOKAP: Doğu Karadeniz Kalkınma Planı
KOP: Konya Ovası Kalkınma Projesi
BGUS: Bölgesel Kalkınma Ulusal Stratejisi

¹⁰ ZBKP: Zonguldak-Bartın-Karabük Bölgesel Kalkınma Projesi

v. Yeşilirmak Basin Development Plan (YHGP)¹¹
(Amasya, Çorum, Samsun, Tokat)

The main texts of these plans and projects had claims of being examples of new regional policies, with a bottom-up, participatory planning and implementation strategy. However, these plans usually reflected the typical influences of the traditional type top-down planning perspective, which were centrally designed by central government institutions, at the national level.

To make a true bottom-up design for a regional plan, a participatory, good governance process should begin by the very phase of determination of priorities and goals of the plan (i.e. the basic needs that the plan would satisfy). Then, the governance practices should go on in the later stages of planning (e.g. in determination of the potential advantages of the region, main strategies and allocation of resources to reach the determined goals); and of course the results of the governance practices should be reflected in the implementation phase (Mutlu 2009: 244-245).

However, regional plans of the governmental institutions usually adopted the priorities and goals pre-determined by the national level, encompassing plans, like BYKPs. Besides, although some certain participatory planning methods and governance mechanisms, like deliberative meetings, questionnaires and the like have been employed during their planning stage, none of these plans and programs could be fully implemented in the field (ibid: 243-244).

Some rare exceptions were GAP and DAP. Some phases of DAP were partially implemented. But this was limited to distribution of the EU grants to projects. The most important exception has been of course GAP. It had begun as a DPT project of irrigation and energy, named as the “Lower Euphrates Water Resources Development Project”, during 1970s. After establishment of GAP-RDA, in 1986 and the development of the 1989 Master Plan, it turned to be a multi-sector regional development plan and became an integrated whole of plans, programs and projects, partly supported by the EU and UNDP. A considerable amount of public investments into big dam buildings and irrigation systems have taken place and got realized. In addition a considerable amount of EU grants and other financial funds were distributed via a series of successful implementations of some EU and UNDP supported, integrated plans, programs and

¹¹ YHGP: Yeşilirmak Havzası Gelişme Planı

projects in the GAP region. However, the directions of such implementations have considerably deviated from the initial goals and priorities of the GAP master plan (1989); and GAP turned to a very complex and complicated whole of interrelated (but not well-integrated) programs and projects. Moreover, the major components of GAP have been centrally oriented, planned and implemented public investments (symbolized with big dams) and distribution of EU grant programs; and the claims of participatory planning and governance, which were involved in the master plans, mostly stayed as good wishes (Mutlu 2009: 237; Demşek: 2003 60-61).

Having targeted to successfully integrating to EU, Turkish decision-makers accepted a new scheme for identification of regions in accord with the EU socioeconomic statistical system called as “*Nomenclature of Territorial Units for Statistics (NUTS)*”, towards getting prepared for integration to the EU regional development policies, in 2002. Then the “*Preliminary National Development Plan (ÖUKP)*” was adopted in 2003. In addition, a set of EU Grant programs had been implemented during 2003-2006 period (Kayasü and Yaşar 2006: 207). These programs were:

- i. Eastern Anatolia Regional Development Program (DAKP)¹²
(Bitlis, Hakkari, Muş, Van)
- ii. GAP Regional Development Program (GAP-BKP)¹³
- iii. TR82, TR83 ve TRA1 Level 2 Regional Development Program
(Çankırı, Kastamonu, Sinop, Amasya, Çorum, Samsun, Tokat, Bayburt, Erzincan, Erzurum)
- iv. TRA2, TR72, TR52, TRB1 Level 2 Regional Development Program
(Ağrı, Ardahan, Iğdır, Kars, Kayseri, Sivas, Yozgat, Konya, Karaman, Bingöl, Elazığ, Malatya, Tunceli)
- v. TR90 Level 2 Regional Development Program
(Artvin, Giresun, Gümüşhane, Ordu, Rize, Trabzon)¹⁴

Turkey has also adopted the EU subnational governance model structured around the *regional development agencies (RDAs)* and the complementary national, regional and local organizations, as future institutional model of regional governance, by the related

¹² DAKP: Doğu Anadolu Bölgesel Kalkınma Programı

¹³ GAP-BKP: GAP Bölgesel Kalkınma Programı

¹⁴ In addition there is the Turkish-Bulgarian Crossborder Cooperation Program, financed by EU.

law (Law 5449) in 2006.¹⁵ Two pilot RDAs were established, by virtue of the Law 5449, namely *İzmir Development Agency (İZKA)* and *Çukurova Development Agency (ÇKA)*.¹⁶ However, this Law was sued in the Constitutional High Court, thus these two agencies couldn't function actively. Only on 23.02.2008 the case was over, and the Law took effect. In March 2008 the two agencies got into official activities. In November 2008, 8 more; and in June 2009, 16 more RDAs were officially established, although they couldn't have become fully active and functional, since then.

Unfortunately, talking about applications of 'new regional policies' still seems to be rather ambiguous, in Turkey. This is first because most of the actual policy practices that claimed to be the examples of new regional development policies, all reflect the strong influences of the traditional top-down model. The claims of participatory governance practices declared in the master texts of the regional development plans and programs prepared by DPT stay as good wishes, because of various reasons. One of the main reasons is the strong state tradition in Turkey, which doesn't permit regional decentralization and devolution of authority to advance. Turkey still couldn't prepare the necessary reforms in legal regulations which would let an administrative suitable for local participative governance relations. The other reason is the unwillingness and/or flippancy in participating to the participatory governance practices (Mutlu 2009; Varol and Eceral 2009).

Not only the DPT made regional development plans and programs, but also EU grant programs had the same top-down characteristics. First, determination of their priorities and goals were all inherited from BYKPs, ÖÜKP and/or centrally prepared regional plans like DAP. The rest of these programs involved the evaluation of the projects by some authorized public institutions or private firms; then distribution of grants to the suitable projects, by the local public administrators. Thus implementation phase of the programs were also following a top-down model (Mutlu 2009; Varol and Eceral 2009).

Besides, in their original European and American examples, RDAs are the type of organizations, which were developed to provide participatory regional governance and create partnerships among various socio-economic sectors. However, in Turkish

¹⁵ There established six RDA-like organizations, in Turkey, before the Law was issued; two by UNDP partnership initiatives; four as civil initiatives of NGOs, professional chambers and/or regional/local authorities. These organizations haven't gained an officially public character, although they performed some similar functions as RDAs.

¹⁶ İZKA: İzmir Kalkınma Ajansı
ÇKA: Çukurova Kalkınma Ajansı

examples, the structures of the 26 RDAs are quite dependent on the regional/local extensions of the central government; and representation of the interests of socio-economic sectors is very limited.¹⁷

6.3. Activities of UNDP in Turkey

By the beginning of 2000s, UNDP, with all other UN agencies in Turkey, has been supporting Turkish efforts to meet the Millennium Development Goals (MDGs).¹⁸ UNDP Turkey states that:

“Turkey recognizes that the Millennium Declaration is a strong framework for development that makes a real and measurable difference in the lives of people by calling for significant reductions in poverty and disparity by 2015. Turkey is expected to continue on a firm path towards *sustainable* and *equitable human development* while successfully acceding to European Union” (<http://www.undp.org.tr/Gozlem2.aspx?WebSayfaNo=1123>).

UNDP's strategy for late 2000s, which was formulated with the ruling Turkish Government, has highlighted three core areas, through which UNDP will be supporting the implementation of Turkey's development agenda through policy advices and co-implementing programs and projects. These are:

- i. Capacity building for democratic governance;
- ii. Action and advocacy for poverty reduction;
- iii. Environment and sustainable development

In addition to these core areas, UNDP Turkey has been promoting women's rights and emphasising the role of women, private sector, capacity development and information and communication technologies in its policies and programs. UNDP's work in these areas has assisted the Turkish governments and other national stakeholders to integrate the MDGs into Turkey's national planning, development policies and practices, and reform efforts.

¹⁷ This situation is obvious when we examine the members and heads of their advisory and executive boards.

¹⁸ UNDP has been working in close partnership with the Turkish government and numerous national and international institutions, including NGOs, academics and the business community, for more than 50 years, in Turkey. UNDP Turkey has aimed to find practical solutions to Turkey's development challenges and played a role in managing crises and overcoming disasters in Turkey and the surrounding region. It has co-managed development programs and projects together with the Turkish governments, civil society, private sector, and other domestic and international partners; and participated to the implementation of more than 80 programs and projects across the country, at various spatial levels, since 1986. UNDP Turkey has also supported Turkey's ambitious reform agenda motivated by her EU accession demand, since 1990s (<http://www.undp.org.tr/Gozlem2.aspx?WebSayfaNo=18>).

6.3.1. Turkey Local Agenda 21 (LA21) Governance Network Project

Turkey LA 21 Governance Network Project was initiated by UNDP Turkey, UNDP Capacity 21 Program and the ANAP-Democratic Leftist Party-Democratic Turkey Party (ANASOL-D) Government, with partnership of 9 localities, in September 1997. The Project was selected as the most successful implementation among the projects supported by the Capacity 21 Program in more than 50 countries.

The overall objective of this project has been to strengthen local governance and enabling mechanisms by ensuring that individuals, the private sector and the civil society participate to the local decision-making, and influence local development activities and investments. Broad participation has helped the sustainability of the project from development through to evaluation. The most important lesson to be drawn from the project continues to be the immeasurable value gained from the involvement of local stakeholders and wider community as ‘partners’ with a view to integrating social, economic, and environment policies and leading to a more open, participatory governance at the local level. Strong ‘ownership’ of the project amongst local authorities and stakeholders has been accompanied with real commitment from all parties to champion the process at national and local levels (UNDP 2005:69).

The first phase of the program, was entitled as the “Promotion and Development of Local Agenda 21 in Turkey”. This phase was based on two basic goals. The first goal covered the promotion of the concept of LA 21 within the scale of the country and the promotion of its effects and consequences on local governance. The second goal was the establishment of mechanisms aimed at developing the planning process based on the participation of local stakeholders. Project revision was initiated in October 1998 with the aim of the participation of new partners and extending the implementations to the whole country.

Then, with considerable support from UNDP and International Union of Local Authorities (IULA) the project has continued with a second implementation phase entitled as “Implementation LA 21 in Turkey”, in January 2000. This phase aimed at mobilizing local governments and local stakeholders to seek control of the future of their settlements for sustainable development, and improved service delivery (UNDP 2005: 69; Yiğiter and Yirmibeşoğlu 2003: 7-8)

Consequently, since 1997, UNDP Turkey has been cooperating with its national counterparts in the area of local governance through the LA 21 Program. The Turkish LA 21 governance network included the metropolitan municipalities, provincial municipalities, district municipalities, sponsoring organisations, NGOs and QUANGOs, representatives of the local private sector, some major disadvantaged social groups like youth and women. It had a steering committee made of representatives of the central government bodies e.g. the Prime Ministry, DPT, Ministry of Interior, Ministry of Foreign Affairs, Ministry of Forestry and Environment, as well as the General Secretariat of EU.

A direct impact of the project has been the establishment of a unique governance mechanism called as "*City Councils*" which have been incorporated in Article 76 of the new Law on Municipalities (No: 5393). These councils brought together the local authorities with the private sector, the civil society and a wider community in a collaborative framework of partnerships. By May 2008, there were 70 LA 21 partner local authorities (10 metropolitan, 22 provincial, 38 district municipalities) all around Turkey. The "City Councils" were complemented by sub-councils of some major disadvantaged groups, like women and youth, in more than 30 cities. In some cities, children, elderly, and disabled were also organised in either platforms or councils. At the neighbourhood level there were the *neighbourhood committees* as means of participatory neighbourhood processes.

UNDP has planned to link the third phase of "Turkey LA 21 Governance Network Project" to raise awareness and discussion among the general public and policy-makers to localize MDGs through local action and initiatives. Thus, the third phase of the project turned to be a more encompassing program entitled as "Localizing the UN Millennium Development Goals in Turkey" through the LA 21 Governance Network, in 2003. As stated above, it involved an additional purpose of localizing the MDG commitments via local action and initiatives. By promoting the development and internalization of local governance practices the broader goals are to support "local governance" as the primary and essential means for attaining the MDGs; encourage the participation of civil society organizations in the formulation and implementation of development programs at the

local level; and maintaining a tripartite partnership among agencies of the central government; local authorities and the civil society.¹⁹

6.3.2. UNDP Supported SDPs in Turkey

UNDP and the other UN family organizations have been sharing some common objectives (building endogenous local capacities, local economic competitiveness and growth) and participative methods with the EU new regional development policies. However, UN family organizations have put a stronger emphasis on the humanitarian and ecological aspects of development (fighting against poverty, human development and sustainability) in their SDPs and partnerships at the subnational levels (UNDP/UNCDF 2010: 5-6; UNDP 1994: 4; 1997; 1998a; 1998b; 2000; 2011b; Cain 1995: 68; Ünver 2001; Cruz 2009; Murphy 2006: 5-6, 245-246, 267-268).

UNDP Turkey has identified two striking sources of inequality in Turkey, namely the regional and gender disparities, which stand as major obstacles against the ultimate end of *sustainable and equitable human development*, and achievement of the MDGs. The regional disparities are of long historical standing and are partly due to less advantageous levels of natural and human resources; and to the fact that the coastal areas along the Mediterranean Sea enjoy better access to world and regional markets (<http://www.undp.org.tr/Gozlem2.aspx?WebSayfaNo=93>).

Consequently, UNDP co-implemented and/or supported a series of subnational development programs and projects, which had been carried in collaboration with governmental bodies and/or NGOs, since late 1990s. These SDPs had clear statements of intention and relatively more valuable practical contributions in the name of sustainable human development, in Turkey (Ünver 2001). Some major subnational development programs and projects, that UNDP had shared a partnership are as follows:

- i. Linking Eastern Anatolia to Progress (DAKAP)
(Erzurum, Kars, Ardahan, Erzincan, Bayburt)
- ii. Eastern Anatolia Tourism Development Project (DATUR II)²⁰
(Çoruh River Basin, İspir and Yusufeli)
- iii. Project for Small and Medium Enterprise Development in South Eastern Anatolia
(GAP-GİDEM)²¹

¹⁹ See the web pages: <http://www.undp.org.tr/Gozlem2.aspx?WebSayfaNo=956>; <http://www.undp.org.tr/Gozlem2.aspx?WebSayfaNo=18>; <http://www.undp.org.tr/Gozlem2.aspx?WebSayfaNo=1123>.

²⁰ DATUR II: Doğu Anadolu Turizm Geliştirme Projesi (2. Evre)

iv. Reduction of Socio-economic Disparities in the GAP Region (GAP Umbrella Program, Phase II)

UNDP provided valuable contributions to GAP. In partnership with GAP-RDA, the *Union of Chambers and Commodity Exchanges of Turkey (TOBB)*, the Turkish Development Bank, and *Administration of Small and Medium Size Enterprise Development and Support (KOSGEB)*, it has established *Entrepreneurship Support Centers (GİDEMs)*, in five major cities in the GAP Region.²² In these GİDEM offices, local entrepreneurs could get help with market research, finding investors and partners, and selecting technologies. GİDEM staff has also been providing information and consulting services to potential investors from within and out of the regions in Turkey, and from abroad. UNDP has also implemented another project for helping to the resettlement of almost 32,000 people of 43 villages in the Halfeti area along the Euphrates River, which were affected by the creation of the Birecik dam and reservoir. The project directly addressed the social, economic, and spatial aspects of these communities, and used a participatory approach, in which people of the effected communities were informed and trained at each stage of the project for building capacities to get involved in the decisions to be made concerning their resettlement, via public hearings; and to adapt and make their living in their new livelihoods (Ünver 2001: 5-6).

Moreover, through its project partnerships, UNDP introduced SHD paradigm and strategy to Turkish government agencies related to development. In the end, it was adopted as the leading paradigm of GAP by the GAP-RDA after mid-90s (Demşek 2003: 60-61). SHD strategy, as formulated by the GAP-RDA, encompasses such goals for Southeastern Anatolia, as reaching the poorest, gender equity, capacity building for local institutions, and environmental protection. It is from this philosophy that GAP-RDA has derived its human-centered focus to provide the GAP Region people with opportunities for more sustainable livelihoods (Ünver 2001: 4).

Linking Eastern Anatolia to Progress (DAKAP), the case study of this thesis, was another important UNDP contribution to Turkish subnational development. DAKAP will be introduced in detail, in the following chapter.

²¹ GAP-GİDEM: Güney Doğu Anadolu Küçük ve Orta Ölçekli İşletme Geliştirme Projesi

²² TOBB: Türkiye Odalar ve Borsalar Birliği
KOSGEB: T.C. Küçük ve Orta Ölçekli İşletmeleri Geliştirme ve Destekleme İdaresi Başkanlığı
GİDEM: Girişimciliği Destekleme Merkezi

CHAPTER 7

OBJECTIVES, METHODS AND DESIGN OF THE THESIS RESEARCH

The *main purpose* of this thesis is to make an investigation on the significance of *good governance* in the sustainable human development, at the subnational level. For this purpose, first an analytical model for analysing the contributions of *local governance processes (LGPs)* to the local SHD process; and the significance of the good governance qualifications of the LGPs in their success in providing positive contributions to the local SHD process. Then, the model is applied by a case study on a SHD based subnational development practice (SDP), namely the *Linking EasternAnatolia to Progress Program (DAKAP)*.

The Chapter will begin with introduction of conceptual framework. Then, the research objectives, the analytical model and the case study on DAKAP will be introduced. Finally, DAKAP will be introduced in detail as the unit of analysis.

7.1. Conceptual Framework

Sustainable Human Development (SHD) is a normative *development paradigm*, which “puts people at the centre of development, regards economic growth as a means and not an end, protects the life opportunities of future generations as well as the present generations and respects the natural systems on which all life depends” (UNDP 1994: 4). SHD implies a *development strategy* for the undeveloped societies which concentrates on two essential goals as

- i. *Actual human development* that is enhancing people’s *actual well-being*. This means providing them with achievements and achievable opportunities; and meanwhile *empowering* them, by expanding their *capabilities (well-being and opportunity freedoms)* to choose and achieve opportunities for enhancing their own well-being further; and by expanding their *agency (agency and process freedoms)* to determine and pursue their personal goals for leading worthwhile lives; and to have actual control over making and execution of the decisions concerning their own lives and livelihoods.

- ii. *Building endogenous development capacities* in the society towards *sustainability of human development* in benefit of the future generations. This necessitates contributing to the *accumulation of economic, social and human capital; agency of people* in the sense of process freedom to take roles and control over the long-term economic and human development process; and *sustainability of natural and human environment*

So, SHD is a development paradigm and strategy which aims at articulating the economic and humanitarian/egalitarian development claims with the ecological claims of environmental sustainability.¹ At the subnational levels, SHD strategy anticipates *SDPs* which share a main common objective as *localization* that is translation of the universal development goals of SHD paradigm into local level objectives (Cain 1995; Murphy 2006: 267-268; Canzanelli and Dichter 2001: 2; UNDP 2003b: 48; 2007a: 8; 2009: 104; Demşek 2003: 60-61; Ünver 2001: 4-6).

Then from the viewpoint of SHD paradigm *local development* is both *actual* and *sustainable human development*, at the local level. More specifically, it is enhancement of the *actual well-being* of the local target groups; *empowerment* of the local people with expanded *capabilities* and *agency*; and improvement of the *endogenous capacities* in the localities towards further economic and human development. At the mezo level, *regional development* majorly depends on the local development as the motor force. So, regional development is enhancement of the actual well-being of the local communities; empowerment of the local people; and improvement of the endogenous capacities in the localities that the region covers.

In the SHD context, well-being denotes a personal state which is basically related to *actual well-being achievements* that is one's reasonably valued *beings* (personal states and qualifications), *havings* (goods, services and other assets) and *doings* (activities) that could lead one's personal utility, via satisfaction of his/her needs (Sen 1992: 57; 2004: 75). Human well-being is also related to one's capabilities and substantive freedoms.

¹ SHD paradigm and strategy can still not be immune to the critiques of political ecology and eco-Marxist standpoints; because it still anticipates the necessity of economic growth to a certain level in favor of human well-being; and it still suggests a capitalist-market model for development (Şahin 2004; Merchant 1992; Sachs 2007a; Sachs 2007b; Başkaya 2000: 211-221). Nevertheless, SHD paradigm puts a stronger emphasis on the humanitarian, democratic, ecological and gender aspects of development than the modernizationst paradigm of the early post-War period. It gives the highest priority to poverty reduction, productive employment, social integration, human freedom, participatory democracy and environmental regeneration. It regards economic growth as a means but not an end; anticipates government interventions in the name of social justice; and values nature. It specifically addresses the poor countries and the disadvantaged social groups (the poor, the disabled, minorities, women and the youth) as the main targets of social policies (Anand and Sen 1994: 6-19; Dreze and Sen 2002: 6-11; Canzanelli and Dichter 2001: 9-11; UNDP/UNCDF 2010: 5-6; UNDP 1994: 4; 1997; 1998a; 1998b; 2000; 2011b; Ünver 2001).

Capabilities are one's potential achievements (opportunities) which are actually reachable for him/her (Sen 1992: 40). Equivalently, they are one's achievable opportunities that he/she has the substantive freedoms to choose and achieve.

Substantive (positive) freedoms are the real powers or capacities which are actually exercised as means "to lead the kind of life he or she has reason to" (Sen 2004:87).² There are two types of specific substantive freedoms related to one's personal well-being, as well-being and opportunity freedoms. *Well-being freedom* is the *actual capacity to achieve* any of a set of available opportunities when one wills; and *opportunity freedom* is the *actual capacity to choose* from the set of achievable opportunities within one's capability towards the kind of life he or she has reason to (Sen 1985: 185-202).

There is one other aspect of substantive freedoms, namely the *agency* of people (1985: 203; 2004: 19). In its ethical sense, agency refers to one's *actual control* over determination of what is good and right to achieve, on his/her own reasonable justification; and *the power* to pursue and achieve those things that he/she has reason to value (Sen 1985: 208-212). Agency implies to substantive freedoms as agency and process freedom. *Agency freedom* is one's *actual capacity* to determine his/her own goals in accord with *autonomous* and *rational choices*; and to pursue and achieve those goals in various aspects of life, for leading worthwhile lives. *Process freedom* is one's *actual capacity* to participate and have *actual control* over the process of decision and execution of the goals (or policies), which will influence his/her own life and livelihoods (Sen 2002: 585; Dreze and Sen 2002: 6-11). *Empowerment* of a person implies the expansion of one's capabilities and agency; equivalently his/her substantive freedoms (Keleher 2007: 115-122).

A SHD based SDP may be a distinct regional/local development program or project; or an implementation of a SHD based regional/local development policy, plan or program; or an implementation of a SHD based national development policy or plan, at a particular region or locality. In any case, the basic unit of implementation of the SHD based SDPs are *localities* and they have a certain life-time (UNDP Turkey 2006: 6, 8).

SHD and the SHD based SDPs are usually identified with UNDP and UN family organizations. SHD paradigm and strategy were developed in the UNDP circles, in 1990s.

² These are real freedoms, like *freedom to* have actual means for living a healthy life up to old ages; and to have actual control over one's own goals, life and livelihoods.

UNDP has been supporting and engaging in partnerships for implementation of SHD based policies and practices (programs and projects) at national and subnational levels in various countries including Turkey, since 1990s. At the subnational level, UNDP policies share the main common characteristics of the *new subnational development policies*. From this point of view, SHD based SDPs are the field practices of the new subnational development policies of UNDP and their main characteristics are in accord with the new subnational development policies.

The *new subnational development policies* are derivatives of the *new developmentalist perspective* that began to shape as of late 1980s and 1990s, at the subnational level. They accept the development of the endogenous capacities of the localities as the main motor force for regional and national development; and adopt building and improving the local endogenous capacities as one of their main goals, as well as enhancement of well-being of local communities, and local environmental sustainability. They are in favor of employing knowledge-intensive soft instruments, like supervision and training, rather than hard instruments, like direct investments or credits; and decentralization and devolution of authority towards regional and local administrative tiers for an effective steering autonomous from the national governments.

They adopt a *participative development perspective*, which anticipates a bottom-up, multi-level *good governance process* functioning by participation and cooperation of a number of local, regional, national and international stakeholders, in all stages of the SDPs. They also anticipate some public or semi-public subnational institutions, like RDAs and LDAs as steering agents of these policies in the field (Halkier 2006: 4, 9-10; Canzanelli and Dichter 2001: 9-11).

SHD based SDPs also aim at triggering an ever-lasting SHD process, in poor and undeveloped regions and localities, in various countries. So, they contribute to the local SHD in the localities, by virtue of their outcomes. The *short-term (actual) outcomes* of a SHD based SDP are majorly the outcomes of the projects designed to achieve these localized universal goals, during the life-time of the program.

So, SHD based SDPs involve *economic projects* for promoting local entrepreneurship and strengthening the local private sector; accelerating local economic growth; increasing local production and generating opulence (more amount of available goods and services); and creating new employment and income opportunities. These

project usually employ knowledge intensive *soft instruments*, like financial, organizational and technical trainings and supervision; and *hard instruments*, like direct investments in infrastructure, technology and enterprises; and financial/physical and fiscal incentives (free or cheap seed capital, machinery and resource aids; subsidies and tax reductions) in favor of the target groups, like local producers, entrepreneurs and entrepreneur nominees.

SHD based SDPs also involve *social projects* usually employing *soft instruments*, like civic, legal, political, organizational, cooperative, vocational-technical trainings and demonstrations which addresses the target groups, like the disadvantaged people, local public administrators/officials and civil society representatives; and campaigns against gender inequalities, racial-ethnic and other discriminations, and the like. They also employ *hard instruments*, like in kind aids, direct service provision and investments in infrastructure; and investments in developing public services and institutions, in favor of the target groups, like the poor and the other disadvantaged people.

These projects aim at objectives, like satisfaction of urgent basic human needs in conditons of extreme poverty, natural disasters, famine and war; increasing the availability and quality of the local public services and related institutions in various fields for poverty reduction; improving the political, cultural, legal and institutional conditions for elimination/alleviation of the other local sources of deprivations (illiteracy, racial-ethnic and other discriminations, gender inequalities, legal and political restrictions); improving the basic personal qualifications (health conditions, knowledge, manners and talents), institutional representation and participative capacities of the disadvantaged groups; promoting and supervising establishment of new NGOs, project partnerships and sustainable partnership networks; improving the institutional infrastructure and integration of the local civil society; developing closer and horizontal relations between the local public authorities and the civil society; and increasing the participation of the local civil society to local public administration, thus improving the local participatory democracy.

Finally, they involve environmental projects essentially for protection and regeneration of the local natural wealth; regeneration and security of local human livelihoods; production and use of renewable energy; and sustainable use of local natural resources, in the local economy. These projects also employ some soft instruments like campaigns, trainings and demonstrations for increasing the awareness of local citizens on

environmental issues; and investments for realizing demonstrative applications in production and use of renewable energy.

At the end of its life-time, the short-term outcomes of a SHD based SDP are expected to be some increases in amount and quality of *available opportunities*; and a serial of individual and collective *well-being achievements* of various types, in the name of the target groups of the projects. These are listed in Table 7.1; in detail.

In addition, the actual achievements of the participant members of the target groups are expected to *empower* them with expanded *well-being freedom*, by virtue of their expanded *capabilities* which make some of the new available opportunities created during the lifetime of the SDP achievable for them. The participant members of the target groups are also expected to achieve an expanded *agency freedom* for determining and pursuing a more variety of personal goals; and expanded *process freedom* for participating and having control on the making and implementation of the local public policies, which influence their lives and livelihoods.

These expected actual achievements, expanded freedoms (capabilities and agency), and new achievable opportunities and goals would all be the short-term contributions of the SHD based SDP to the *human development* of the local community via enhancement of the *actual well-being* of the target groups. Meanwhile, the aggregate of the newly created opportunities and the individual/collective achievements of the members of the target groups, as immediate outcomes of the economic and social projects, would also be economic, human and social capital assets of the whole community, available to be employed as resources towards sustainable economic and human development, in the long-run. As shown in Table 7.1, short-term contributions of the economic projects are expected to be some economic capital assets; while contributions of the social projects are expected to be human and social capital assets. These are all expected to be short-term contributions of the project implementations to the accumulation of capital in the local community; hence to its endogenous capacity for sustainable economic and human development. Environmental projects are also expected to contribute to the endogenous capacities of the locality, by maintenance of the natural capital and sustainability of nature itself on which all life depends.

Table 7.1 Short-term Expected Outcomes of a SHD Based SDP

Project Objectives	Contributions to Well-Being of the Target Groups (Achievements, Available/Achievable Opportunities, Capabilities and Agency)	Contributions to Local Capacities
Economic Projects		
To boost the development and competitiveness of the local private sector	New available, and achieved or achievable public services on physical infrastructure, like roads, energy and waste management for economic purposes;	Accumulation of Economic Capital
To promote entrepreneurship		
To make progressive changes in the economic activities and the structure of employment	New available, and achieved or achievable physical/financial resources (machinery, raw materials, seed capital, credits and grants), fiscal incentives (subsidies and tax reductions), innovation know-how and technologies;	
To improve the access of the local producers and entrepreneurs to productive public services, capital goods, and new technologies and innovations, by investing in physical infrastructure or economic activities		
introducing new technologies and innovations	New available, and achieved or achievable jobs, businesses, profit and income rises;	
providing physical/financial aids and fiscal incentives		
attracting outer financial resources	New available, and achieved or achievable private goods and services;	
providing entrepreneurial trainings and supervision	Expanded capabilities of the local entrepreneurs to invest in new businesses or capacity increases in their enterprises;	
To foster local investments, attract outer investments		
To increase the amount and productivity of the local SMEs	Expanded capabilities of the local producers to produce more and make more revenues and profits;	
To increase local employment rates		
To enlarge the local and outer (national and international) markets of the local producers	Expanded capabilities of the local consumers to achieve more goods and services.	
To increase local production, income and consumption		
Social Projects and Campaigns		
To eliminate or alleviate urgent sufferings of extreme poverty, war and diseases.	Urgent services of basic nutrition, housing, health, sanitation, fresh water and education	Accumulation of Human Capital
To provide and/or improve regular public services and related institutions, for poverty reduction	New and more qualified public services in the fields of basic nutrition, housing, health, education, social security, sanitation, fresh water, waste collection, transportation, police, jurisdiction and culture	
To provide public education and training services on health and hygiene		
To provide public education and training services on civic, legal, political, cultural and organizational issues; and human rights	Satisfaction of some basic socioeconomic and cultural needs;	
To provide trainings, supervision and demonstrations on technical, vocational and entrepreneurial issues	Improvements in physico-mental health conditions, security and sustainability of livelihoods	
To eliminate or alleviate gender inequalities	Elimination or alleviation of various sources of deprivations against disadvantaged groups	
To eliminate or alleviate age inequalities		
To eliminate or alleviate discriminations against sexual preferences	Improvements in personal qualifications, like knowledge, awareness, vision, skills, talents, abilities, attitudes and manners, in civic, legal, political, cultural, organizational, entrepreneurial, occupational issues; and good health,	
To eliminate or alleviate legal restrictions against the disadvantaged groups and minorities	Expanded individual capabilities to achieve basic goods and services; to achieve job and income opportunities; and to participate public life with security and self-esteem	
To provide special social services for the disadvantaged groups, like the women, the disabled, the old, youth and children		
To provide special cultural services for the minorities, indigenous people and refugees		
To improve institutional structure of local public and private sectors, and the civil society	New available, and achieved or achievable opportunities to participate public life,	
To multiply and improve local grassroots organizations of specifically the local disadvantaged groups	New available, and achieved or achievable opportunities to benefit the merits of cooperation and collective action	
To build and strengthen local partnership networks	New available, and achieved or achievable opportunities of societal and psychological support	
To build trust, solidarity and integration within the local civil society	Satisfaction of societal and psychological needs, like friendship, sense of meaning and belonging,	
To build and strengthen societal networks within the local community	Protection and empowerment of the local disadvantaged groups	
To provide community support and solidarity in favor of the disadvantaged groups	Expanded collective capabilities for interest representation against other local interest groups and public authorities	
To develop local participatory democracy and good local governance relations	Expanded collective capabilities to determine and pursue common goals and interests cooperatively	
To empower the local authorities and community by decentralization and devolution of authority	Expanded individual and collective capabilities to participate and have control over making and implementation of local public policies,	
Environmental Projects		
To protect and regenerate the local natural wealth: natural resources, wildlife and biodiversity	Cleaner, healthier, regenerated and sustainable livelihoods Maintenance of natural resources Protection and regeneration of local natural wealth	Environmental Sustainability And Maintenance of Natural Capital
To protect and regenerate physical surroundings of human settlements		
To prevent pollution and improve the quality of air, water and soil		
To improve waste collection, management and recycling systems		
To introduce alternative, renewable resources of energy production		
To introduce local energy production and management systems		
To improve energy efficiency on the supply and demand side		
To increase public awareness about environmental issues		

Source: Compiled by the author from various sources (UNDP 2003b; 2005; 2009; UNDP/UNCDF 2010; Bloom et.al. 2001)

Lastly, at the end of a SHD based SDP, the individual and collective achievements of the participant members of the local target groups are also expected to empower them with an expanded *agency* in the sense of *process freedom* for taking proactive roles and autonomous control over the long-term local SHD process. From the viewpoint of the SHD strategy, this expanded process freedom (agency) is expected to be both a short-term *end*, as an inalienable dimension of the actual well-being of the local target groups – thus actual human development; and a *sustainable mean* for sustainability of economic and human development (Dreze and Sen 2002: 6-11). Thus, it is a valuable contribution of the SHD based SDP to the local endogenous development capacities. In sum, during the life-time of a SHD based SDP, the accumulated economic, human and social capital assets, local environmental sustainability (maintained natural resources and sustained human livelihoods) and the expanded agency of the local target groups over the everlasting SHD process are expected to be the endogenous capacities of the community towards sustainable economic and human development.

Then, the net *actual outcomes of a SHD based SDP* can be summed under two main headings:

- i. actual enhancement of the *well-being* of the target groups;
- ii. actual contributions to local endogenous development capacities via
 - expanded agency of the the local target groups over the everlasting SHD process;
 - accumulation of economic, human and social capital assets in the local community; and
 - local environmental sustainability (maintenance of natural capital and human livelihoods).

After the end of the SHD based SDP, its actual contributions to the local endogenous capacities are expected to be maintained in the locality. One of the *sustainable endogenous capacities* inherited by the SHD based SDP is expected to be the *agency* of the local target groups over the ever-lasting local SHD process. This *sustainable agency* of the local target groups will lead them to participate to the making and implementation of the local public policies on development; to establish new commercial and social project partnerships towards local economic and human development; and to initiate and pursue new projects on private commercial interests, and common local socioeconomic

and environmental goals which would contribute to local economic growth and opulence, human well-being and environmental sustainability, after the SDP ends.

Thus, this sustainable local agency would have a specific role as a *mean* for achievement of some *long-term (sustainable) outcomes* in terms of further available opportunities; further well-being achievements; further expansion of capabilities and agency; further accumulation of human, social and economic capital; and further enhancement in environmental sustainability. The other maintained contributions of the SHD based SDP to the local endogenous capacity, namely the maintained capital assets, are also expected to play their parts as available resources to be used in achievement of such sustainable outcomes, in the long-run.

Then, the expected *sustainable outcomes of a SHD based SDP* can be summed under two main headings:

- iii. sustainable enhancement of the *well-being* of the target groups;
- iv. sustainable contributions to local endogenous development capacities via
 - accumulation of economic, human and social capital assets in the local community; and
 - local environmental sustainability (maintenance of natural capital and human livelihoods).

Governance is used in various meanings, in various contexts. In the context of this thesis, it denotes a *steering process* which functions to provide the participation, compromise and cooperation (partnership) of diverse actors of public sector, private sector and civil society towards some common goals or tasks (Kooiman 1994: 36-48; Rhodes 1996: 658-661; Brown and Ashman, in Arikboğa 2004: 94-98). This definition involves participation, compromise building and cooperation; and in the last analysis *steering*. On the contrary to some ideal, theoretical considerations, like the *society-centered governance model* suggested by Kooiman (2003),³ real life governance processes are not free from steering authorities whom civic governancial networks would articulate around at national and subnational levels. Most actual governance models and related processes presume the existence of a central state, although degraded to its minimal functions; and are essentially based on steering activities of some institutional

³ Kooiman, suggests an ideal *self-governance model*, which emphasizes the civil society's potential for autonomous self-organizing and self-governing, without steering authorities; and the ability of communities to develop and carry on their self-identity, free from state interference. This approach is also called as *society-centered governance model*, which is suggested against a *government-centered* one (Kooiman 2003: 79-95).

actors who are usually central government institutions or local/regional administrative authorities, in policy making and implementation (Fung 2006).

In addition, actual governance models usually follow rather a moderate democratic way open to people's participation and influence over the public policy design; and their cooperation in policy implementations, in varying degrees. They usually prefer mediation of some non-governmental institutional actors out of the private sector (firms, corporations and financial institutions) and the civil society (NGOs and QUANGOs), in providing participation and cooperation of people. During this process, steering bodies may just negotiate and consultate the objectives and instruments of the policies with the related individual and institutional participants; or let them into final decision-makings and project implementations, as well. As the degree of the popular participation and control over the final decisions and implementations increase, so does the participativeness of the governance models (Fung 2006; UNDP 2009: 104-105, 113; UNCDF 2004; Handoussa 2010: 26, 33-34).

A *local governance process (LGP)* implies a participative, deliberative and cooperative form of *steering* at the local level, through a serial of local *participative governance mechanisms (PGMs)* and *local or multi-level partnerships*. PGMs enable diverse local target groups and individual/institutional actors to participate and have control on the planning, implementation and monitoring of local public policies or economic, social and environmental projects, which would influence their lives and livelihoods. They also provide deliberation, compromise and cooperation of local public, private and NGO stakeholders towards fulfilling the tasks of the local public policies or project implementations, via local and multi-level partnerships.

Some of the key local PGMs, like face-to-face surveys, open public hearings, narrower negotiations, discussion meetings, forums, focus groups, fact-finding workshops, citizens' juries, consultative/executive committees, commissions, councils or assemblies involve *face-to-face interactions and communication*. There are also other PGMs, which don't necessarily involve face to face interactions and communication, like local media, on-line questionnaires, on-line public opinion polls and questionnaires, citizen report cards and local referanda.

PGMs are complemented by some local or multi-level partnerships which aim at providing cooperation of the stakeholders towards policy and/or project implementations.

Local partnerships merely involve local stakeholders; and *multi-level partnerships* may involve upper level (regional, national, international) stakeholders and established by the bottom-up initiatives of the local actors. Some executive face-to-face mechanisms are also expected to function within the partnerships to provide the cooperation of the local and multi-level stakeholders, co-managing of the policy or project implementations and coordination of various implementations.

Good governance denotes a governance process which reflects some normative qualifications, like *participativeness, rule of law, equity, transparency, responsiveness, accountability, consensus orientation (or compromise building), strategic vision, efficiency and effectiveness* (UNDP 1997). At the local level, a *good LGP* would reflect the *good governance qualifications*. The steering bodies, local public authorities and other local and multilevel stakeholders are expected to behave congruent to these normative qualifications within all PGMs and partnerships; and during policy or project implementations to sustain a good LGP.

In relation to the SHD strategy, *good governance relations* are expected to serve people's *agency* via expansion of their *process freedom* that is enabling them to *participate* and have *actual control* over the objective-making and planning of the SHD based policies and practices, in accord with their own well-being needs and priorities. They are also expected to enable the people to take active roles in the implementation of the policies, programs and projects which influence their own private lives, livelihoods and actual well-being, by participating to the project partnerships (Sen 2004: 27-36; Dreze and Sen 2002: 6-11; Anand and Sen 1994: 6-19).

As stated above, SHD based SDPs have a specific emphasis on localization of universal SHD goals. So, the basic unit of implementation of the SHD based SDPs are localities; thus providing the *local agency* that is participation, control and cooperation of the *local target groups* and the *local individual and institutional actors* is essential for all SHD based SDPs. As a result, the basic units of governance in a SHD based SDP are the *LGP*s which are supposed to have the good governance qualifications sufficiently, even in a regional implementation area (UNDP 2005: 10; UNDP/UNCDF 2010: 5; Handoussa 2010: 34).

The participative development perspective addresses the non-governmental institutional actors not only as negotiators or consultators; but also as responsible

stakeholders, decision makers, and even as steering bodies (Zimmer 2006; Saltık 2008c: 59-62; Saltık and Gülçubuk 2008; UNDP 1997; 2009: 104-105). SHD strategy specifically prefers supporting civil society elements (NGOs and QUANGOs) to bear steering roles in national and subnational development policies and practices (UNDP 1997; UNDP 2009: 104-105).

So, the main responsibility of steering the SHD based SDPs, the involved local PGMs, project partnerships and implementations shifts from the techno-bureaucratic central government institutions to autonomous subnational public or semi-public institutional actors (like subnational public authorities and development agencies), elements of the local private sector (SMEs) and the local civil society (NGOs and QUANGOs) (UNDP 2005: 10; UNDP/UNCDF 2010: 5; Atkinson 2000; Handoussa 2010: 34; Canzanelli and Dichter 2001: 9-11). Thus, SHD based SDPs necessitate *decentralization* and *devolution of authority*, in favor of the autonomy of the subnational institutional actors while steering and/or participating to the making and implementation of the projects (SNV/UNDP 2009; UNDP/UNCDF 2010: 5; UNDP 1997; 2009: 104-105).

7.2. Objectives of the Research

As stated in the beginning of the chapter, the *main objective* of this thesis is to make an investigation on the significance of *good governance* in the sustainable human development at the subnational level. A more qualified formulation of the main objective may be as follows:

The *main objective* of this thesis is to make an investigation on the significance of *good governance* in the subnational SHD process that is the process of human development (enhancement of human well-being) and capacity building (expansion of the human agency, accumulation of economic, human and social capital and environmental sustainability), at the local and regional levels.

As stated above, SHD based SDPs aim at starting an ever-lasting SHD process in the undeveloped and poor localities and regions of the countries. So, the actual and sustainable outcomes of a SHD based SDP are valuable contributions to the local SHD process. In addition, SHD based SDPs employ LGPs, which are supposed to reflect the normative qualifications of good governance, to trigger and sustain the local agency in the localities. Then, SHD based SDPs, like the one chosen in this thesis (DAKAP), can

serve as suitable cases to observe good governance in action and analyse its significance in sustainable human development, at the subnational level.

There is an amount of literature which suggests that a good LGP within a SHD based SDP is not only expected to provide the *actual local agency* during the life-time of the SDP; but also expected to contribute positively to the maintenance of the *sustainable local agency*. The related literature also suggests that a good LGP is also expected to transmit its positive influences on the *actual* and *sustainable outcomes* of the SHD based SDPs, -hence to the local SHD process- by *mediation* of the *actual* and *sustainable local agency*, respectively. But, the success of an LGP in positively contributing to the local agency and local SHD process in a locality is strongly related to the level that it reflects the normative *good governance qualifications* continuously, throughout all stages of a SHD based SDP. And this is related to a series of conditions, which are called as the *conditions of good local governance*, in this thesis.

So, this thesis has a *second objective*, complementary to the main one, as analysing the significance of these *conditions of good local governance* in the success of the LGPs in providing positive contributions to the local SHD process.

For fulfilling these two complementary objectives, an abstract *analytical model* is constructed for analysing the major roles of a good LGP and its contributions to the actual and sustainable outcomes of a SHD based SDP, thus to the SHD process at the local level. This model is also cultivated by formulation of an additional *analytical framework* made of two categories of analytical tools for analysing the significance of the goodness of the LGPs in providing positive contributions to the SHD based SDP. These two sets of tools are the *endogenous* and *exogenous conditions* of good local governance. The detailed model and its theoretical framework will be exhibited in the following section.

So, the analysis of the contributions of an LGP to a SHD based SDP in the light of this model can be helpful for deriving conclusions and theoretical implications in favor of both the *SHD paradigm* and the field of *participative development* at the subnational level.⁴

⁴ This thesis is rather a theoretically oriented one which aims at reaching some theoretical implications and providing contributions to social theory. So it is not a policy oriented research which is directly designed to generate the necessary social evidence; inform the policy makers and to integrate the social evidence to the policy making process throughout its various stages (Nutley and Webb 2000: 15).

Consequently, the thesis have a *third objective* as synthesizing some conclusions upon the significance of the conditions of good local governance in the *participative local development practices*; and deriving some theoretical implications upon the *participative development perspective* in general, by the help of the analytical model of this thesis.

The analysis of the relationships between an LGP and a SHD based SDP with the analytical model developed in the thesis may also be significant in synthesizing some theoretical conclusions on participative public administration; and on steering partnership networks, at the subnational level. Moreover, these conclusions may be helpful in deriving some theoretical implications on local governance and participative democracy.

As a result, the *fourth objective* of the thesis is synthesizing some conclusions upon the significance of the conditions of good local governance in *participative local public administration* and *local partnership networks*; and deriving some theoretical implications upon *local governance and participative democracy*, by the help of the analytical model developed in this thesis.

On the other hand, the SHD based SDPs are the field practices of the new subnational development policies of UNDP and some other UN family organizations, like UNCDF, UNCTAD and ILO. So, analysis of a case of SHD based SDP with the help of the developed model can also be useful for deriving conclusions and policy implications on the new subnational development policies.

So, the *fifth* and the *last objective* of the thesis is deriving some conclusions and theoretical implications on the *new developmentalist perspective* that the new subnational development policies rest upon.

7.3. A Model for Analyzing the Contributions of Good Local Governance to the SHD Based SDPs

In this section, an analytical model will be constructed to analyse the contributions of the LGPs to the outcomes of a SHD based SDPs. The analytical model is constructed upon a representative abstract sketch of a particular local implementation field covered by a SHD based SDP (either a local or a regional development practice). This is because localities are the basic units of implementation of a SHD based SDP, as stated above.

Remember that, even in a SHD based regional development practice the role of the local level is emphasized as the motor force. This is because the concrete interactions, implementation activities and partnerships usually take place in the localities. In fact, each locality in a region has its distinct conditions. So, each LGP functions in particular *exogenous circumstances* which would affect its *endogenous factors*; which may have different levels of good governance qualifications; and which may provide different results. Then, the basic unit of governance will be the particular LGP in each locality covered in the implementation area of a regional development practice.

As a result, this model is designed to make the analysis of the relationships of an LGP, as the basic unit of the governance process within a SHD based SDP, with the local agency and the outcomes of a SHD based SDP at the local level.

7.3.1. The Significance of the Model

Although, there is a literature supporting the significance of good governance processes in the success of the participative development practices in realizing their objectives; and despite many reports and documents -provided by UNDP and some other UN family organizations- for compiling information on the experiences of the SHD based SDPs in various countries; neither the mentioned literature nor these documents involve an attempt to synthesize such a theoretical model. This analytical model is an attempt for synthesizing some theoretical work of the capability school;⁵ some theoretical work on governance and participative development;⁶ and the mentioned series of reported country experiences on SHD based SDPs.⁷ So, development of such an analytical model is a significant contribution both to the SHD paradigm; and the field of participative development, at the subnational level.

On the other hand, there are some critical views against the success of the participative development perspective (Saltık and Açıklın 2008:154), which emerged by the beginning of 2000s, because of some trivial, problematic examples of governance processes, which could not induce a popular, widespread and democratic participation;

⁵ See the following references: Sen 1985; 1992; 1988; 2002; 2004; Anand and Sen 1994; Dreze and Sen 2002; Keleher 2007; Gandjour 2008.

⁶ See the following references: Fung 2006; Rietbergen-McCracken 2011; Eversole and Martin 2005a; 2005b; Halkier 2006; Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Meehan 2003; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008 Saltık 2008b; Saltık and Açıklın 2008.

⁷ See the following references: UNDP 1998a; 1998b; 2000; 2003a; 2003b; 2005; 2007a; 2007b; 2008; 2009; SNV/UNDP 2009; UNDP/UNCDF 2010; Bloom et.al. 2001; Canzanelli and Dichter 2001; Atkinson 2000; Handoussa 2010.

and/or which could not result in a successful and sustainable take off towards development, at the subnational level (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Brown 2005; O'Tool 2005). But most of the problematic cases were related to the malfunctioning of the LGPs; and these problems might be overcome or derogated by improving their qualifications, with respect to good governance criteria (Eversole and Martin 2005a: 1, 4).

The analytical model developed in this thesis is an inclusive theoretical model for the analysis of the role and contributions of the LGPs to the local agency and local SHD process starting by a SHD based SDP; and for analysing some *exogenous and endogenous conditions* of the success of LGPs in the local SHD process, with respect to the good governance criteria. So, the model may be significant and helpful in analysing the reasons of the malfunctioning of the LGPs; and improve the success of the participative SDPs, by improving the qualifications of the LGPs they involved.

Besides, the analytical model is an attempt to integrate some behavioral and subjective factors collected under the title of *endogenous factors of LGPs*; with some structural (sociopolitical, legal and institutional) factors collected under the *exogenous circumstances of LGPs*, as hypothetical determinants of the goodness and success of the LGPs in its relationships with the other major elements of the model (actual and sustainable agency; and actual and sustainable outcomes of the SHD based SDP).⁸ The items in the first group are the *essential factors* which determine the goodness of the LGPs directly. The items in the second group are *preconditional factors* which are supposed to influence (constrain or promote) the goodness and success of the LGPs indirectly, by mediation of their influences on the endogenous factors.

Besides, both groups of items are also hypothesized to influence the success of the LGPs; thus the level of the actual and sustainable agency; and the level of the actual and sustainable outcomes of the SDP, through complex and multi-dimensional transmission mechanisms. So the model considers the phenomenal field which it sketches, as an interrelated totality of both structural and behavioral-subjective elements; and aims to grasp the relationships among LGPs, local agency and the outcomes of the SDP as the results of a complex interplay of these structural and subjective elements.

⁸ *Endogenous factors of LGPs* involve items, like behavioral and communicative atmosphere of the PGMs; individual capacities, subjective attitudes and manners of the public administrators/officials, steering experts and other participant local actors. *Exogenous circumstances of LGPs* involve items, like the development level of the local civil society, local political structure, level of decentralization of the local public administration, and the national political, institutional and legal structure. Both groups will be introduced and discussed soon, in this chapter.

In fact, LGPs (PGMs and project partnerships) are not employed only in participative development practices, at the subnational level. They may also be involved in local public administration; or in execution of some common tasks and projects, by partnerships of local public, private and civil society actors. So, the analytical model developed in the thesis may be significant in deriving conclusions and policy implications for a series of other participative “mini-public” affairs, which gather citizens in concrete venues to discuss or decide matters of public concern (Fung 2003; 2006) related to local public administration and local partnership networks, at the subnational level.

7.3.2. The Model and Its Theoretical Framework

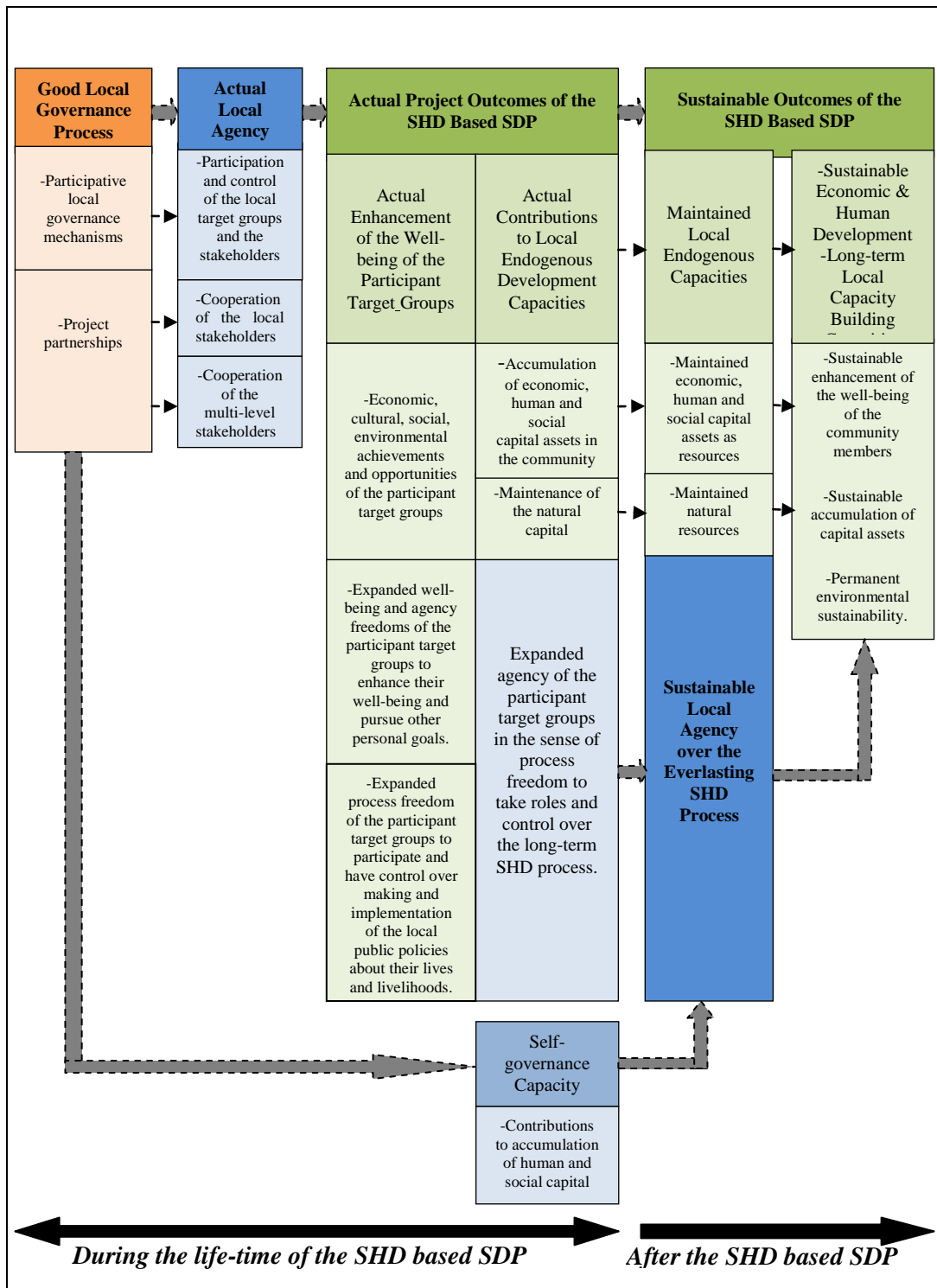
The analytical model on the contributions of a good LGP to a SHD based SDP are schematized in in Figure 7.1. Now the relationships between a good LGP and each of the other elements of the model will be introduced.

7.3.2.1. Local Governance and Actual Local Agency

The model suggests that a successful LGP is expected to contribute to a SHD based SDP first by triggering and sustaining the *short-term (actual) local agency* of the local community throughout all stages of the SDP, during its life-time. In a SHD based SDP, *actual local agency* denotes the *participation* and *actual control* of the local target groups and the stakeholder individual and institutional actors within the implementation area, in all of its stages specifically in objective-making, designing, budgeting, implementation and monitoring of the projects. Participation of the stakeholders to the implementation stage necessitates their *cooperation* within the local and multi-level project partnerships.

Actually there is an amount of literature supporting a positive relationship between a governance process employed for steering a participative development program, and the actual agency of the target groups and stakeholders, *provided that* it is a *good governance process* that is it reflects the normative qualifications of good governance, throughout all of its stages.⁹ Country experiences show that, good local governance enables the creativity and agency of citizens within local development programs and projects, towards their own development needs and demands (UNDP 2005: 23).

⁹ See the following references: Sen 1992: 56; 2004: 19; 2002: 585; 2008a: 31; Dreze and Sen 2002: 6-11; Keleher 2007: 98-103; 120-121; UNDP 1994; 1997; 2005: 10, 23; 2009: 117-118; Fung 2006: 68-74; Saltik 2008b: 129-131; Saltik and Açıklın 2008: 153-154; Rietbergen-McCracken 2011; Widianingsih 2005; Nijenhuis 2002: 168-173; Matovu 2006; Meehan 2003; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008; Eversole and Martin 2005a: 2, 6-14; Handoussa 2010: 33-34; UNDP/UNCDF 2010: 5.



Source: Constructed by the author ¹⁰

Figure 7.1 Model for the Functioning of a Good LGP within a SHD Based SDP

¹⁰ This theoretical model is the synthesis of some theoretical work of Sen's capability approach; the theoretical work of a group of authors on governance and participative development; and the mentioned series of reported country experiences on SHD based SDPs. The sources are mentioned in footnotes 5, 6 and 7.

More specifically, in the *first (preliminary) stage* of a SHD based SDP, the steering bodies employ various *PGMs* (campaigns, tours, face-to-face meetings) to make an effective *announcement* and *presentation* of the program, its universal strategic goals and priorities to the local target groups and actors; and provoke their awareness about the *entrepreneurial vision* on development which suggests the local communities a proactive role in local development. They also *meet* and *map* the local target groups, the key individual and institutional local actors, and the potential stakeholders, within the locality or the localities of the region where the SDP is practiced, by the help of these mechanisms. Meanwhile, the steering bodies encourage and supervise the participant target groups to get organized and *create institutional actors* for cooperation and interest representation. Thereby, they expect to *mobilize* the widest possible range of local target groups and key local actors; and provide their continuous *participation* to the *planning stage* as negotiators and decision-makers (SNV/UNDP 2009: 11-13; Handoussa 2010: 27; UNDP 2005: 40; 2007a: 17; 2007b: 2-3; 2009: 39-40, 115).

In the *second (planning) stage*, the steering bodies employ some *PGMs* (base-line surveys, face-to-face negotiations, meetings, workshops) to gather the sufficient *information* for the assesment of the *base-line conditions*; to inform and supervise the participant target groups and stakeholders about the base-line conditions and technical issues; and to consult the participants about their particular needs, priorities and the proper ways to translate the universal goals into local short-term objectives. Then, they negotiate with the participant actors on design and budgeting of the most appropriate and feasible projects to fulfil these objectives (SNV/UNDP 2009; UNDP 2007a: 20; 2009: 115-116).

All along the planning stage, the steering experts/officials pay attention on inter/intra-sectoral conflict resolution and compromise building about the objective-making, designing and budgeting of the projects. This is expected to provide the participant target groups and stakeholders with the feeling of consensus and autonomous collective control over the final decisions of the face-to-face mechanisms. By this way, the steering experts/officials aim at persuading them about the *legitimacy, justice* and *effectiveness* of the decision outcomes; and making the participants to trust the in advance success of the project implementations in providing the just, appropriate and effective outcomes towards their actual needs and priorities. They also want to develop trust and solidarity among diverse target groups and stakeholders; provoke their advocacy and

cooperative attitudes towards common objectives of the SDP; and encourage them to create and take roles in multi-level project partnerships. The planning stage ends up with an *action plan* where clear budgeting plans, role casting of each stakeholder, and scheduling of a time-line take place. The action plan is announced to all participants (UNDP 2005: 23; 2009: 113,117-118).

All these would be helpful to the steering bodies in the *third (implementation)* stage, for providing the *proactive engagement* of the local actors to the project implementations as *stakeholders* of the project partnerships; and participation of the members of the mobilized target groups to the project implementations as *beneficiaries*, with the seek of obtaining wider ranges of well-being achievements and opportunities. The face-to-face mechanisms are also employed in the steering of the project partnerships and implementations to provide effective cooperation of the stakeholders, collect the feedbacks of the beneficiaries, and coordination of the project implementations towards the universal strategic goals.

Face-to-face mechanisms are also used in the *fourth (monitoring)* stage where the results of the project implementations and the performance of the implementation process is monitored according to some suitable indicators. In turn, the action plan and the project implementations are reviewed and improved in accord with the feed backs of the stakeholders and the beneficiary members of the target groups, periodically. This so called *monitoring cycle* is also expected to provide continuity of the good governance qualifications in the project partnerships and project implementations. Finally, there comes the fifth stage where a *final and complete evaluation* of the SHD based SDP is made, via PGMs, at the end of the program (UNDP 2005; SNV/UNDP 2009).

7.3.2.2. Local Governance and Sustainable Local Agency

The model anticipates that a good LGP within a SHD based SDP also is expected to contribute positively to maintenance of the *agency* of the local target groups and stakeholders after it ends, by providing some actual contributions to human and social capital. These contributions would improve the *local self-governance capacity* and *sustainable local agency* (SNV/UNDP 2009: 11-13; Handoussa 2010: 27; UNDP 2005: 40; 2007a: 17; 2007b: 2-3; 2009: 39-40; Fukuyama 2001; 2002; UNDP 1997).

Dreze and Sen (2002: 6-11, 22) suggests that the main sustainable factor for mediating the local SHD cycle towards sustainable economic and human development is

the *agency of people*. At the subnational level, one of the main legacies of the SHD based SDP as a sustainable local endogenous capacity is expected to be the *sustainable agency* of the local target groups in the sense of process freedom to take proactive roles and autonomous control over the ever-lasting local SHD process, after the SDP ends.

A good LGP within a SHD based SDP is expected to contribute positively to maintenance of the *agency* of the local target groups and stakeholders after it ends, by providing the members of the target groups and the participant representatives of the institutional local actors with an *awareness* on global development claims; an *entrepreneurial vision*, and *deliberative, compromising, cooperative* and *proactive* attitudes on development issues, via participative face-to-face mechanisms (SNV/UNDP 2009: 11-13; Handoussa 2010: 27; UNDP 2005: 40; 2007a: 17; 2007b: 2-3; 2009: 39-40). It also provides them with valuable knowledge and experiences on carrying good governance relations, participative and cooperative development practices and project management through project partnerships.

Project partnerships are also expected to contribute to formation of sustainable partnership networks; trust, solidarity and integration in the local civil society; a deliberative, compromising, participative and cooperative local civic culture; and closer, cooperative and horizontal relationships between the local public authorities and the civil society. These would increase the participation capacity of the local civil society for making and implementation of local public policies; thus improve the local participatory democracy and good governance capacity (Fukuyama 2001; 2002; UNDP 1997).

These actual achievements would also be important human and social assets which would expand the *agency* (process freedom) of the local target groups and stakeholders of the SHD based SDP over the long-term local SHD process. They are also expected to be contributions to the local endogenous capacities, more specifically to building of a *local self-governance capacity* (Kooiman 2003) which would enable the local communities capable of defining their development objectives, in accord with their own needs and priorities; establishing new partnerships and carrying on good governance relations to initiate, plan and implement their own development projects, autonomously and spontaneously without an outer steering stimulus and solving their own problems themselves actively and deliberatively. This capacity would be the specific and sustainable contribution of the good LGP within the SHD based SDP to the *sustainable local agency*, in the everlasting local SHD process.

7.3.2.3. Local Governance and the Actual Outcomes of a SHD Based SDP

According to the model, the actual agency of the local target groups and stakeholders is expected to have a positive role in a SHD based SDP for realizing its actual objectives, during its life-time. Hence, LGP is expected to have positive influences on the actual outcomes of the SHD based policies and practices by *mediation of the actual local agency*.

Sen (2004: 19; 1992: 56; 2002: 585) suggests that agency of people has an important role in a participative development process for realizing its goals of actual human development and its sustainability. Following Sen, it may be stated that as far as a good governance process within a participative development program manages to provide the agency of people, in the sense of process freedom, it is expected to influence its short-term outcomes positively, by *mediation of people's agency*. The literature mentioned above also confirms this positive relationship. Actually, worldwide country experiences show that, for the success of the project implementations, local communities should rather find the vital and feasible objectives, in accord with their particular needs and demands; and the most appropriate projects and effective instruments (services and/or investments) to achieve those objectives, throughout an autonomous and community-based good governance process (UNDP 1997; 2005: 10; 2009: 117-118; Handoussa 2010: 33-34; UNDP/UNCDF 2010: 5).

More specifically, a *good LGP* during a SHD based SDP is expected to enable the steering bodies to translate the universal goals of the SHD strategy into local objectives according to the concrete conditions of the localities and actual needs and priorities of the local target groups, through baseline surveys and face-to-face mechanisms. It is also expected to enable the local target groups and actors to directly voice their vital needs and priorities, actual interests and demands, reasonable preferences and expectations; to *negotiate* and *compromise* about the *most valued and feasible project objectives*; and *determine* the most *appropriate project instruments* to achieve these objectives.

The multi-level project partnerships are first expected to provide the participation and cooperation of the local stakeholders to the project implementations which influence their own livelihoods, life opportunities and private daily life contexts. Multi-level partnerships are expected to distribute the financial and organizational burden of the SDP in manageable portions among local and upper level (regional, national and international)

stakeholders. Participation of local and national public institutions and authorities would provide some public resources, capacity investments, service delivery and expertise achievable for the steering bodies and the local target groups. National and international stakeholders are expected to bring a global/universal strategic vision, accordance of the capacity development services towards national development policies and universal goals (UNDP 2009: 113), and the opportunities of financial support and technological know-how (Saltik 2008d: 41). All these will make the local objectives more achievable and the projects more affordable.

Once the appropriate and feasible projects are determined and implemented, the actual outcomes of the project implementations are expected to be the *most valued* achievements, opportunities and expanded freedoms for the participant members of the target groups, which would contribute to their actual well-being, in the way they autonomously determined themselves. They are supposed to get *empowered* with the most appropriate individual and collective *capabilities* to achieve the outcome opportunities provided by the SDP and to enhance their future well-being, in the way they value. They are also expected to get empowered with more agency to determine and pursue their own development goals and to have control on their lives and livelihoods, in the way they have reason to lead a worthwhile life.

Besides, a good LGP itself is expected to *directly* contribute to the actual outcomes of the SHD based SDP, by earning some entrepreneurial personal qualifications (*entrepreneurial vision* and suitable attitudes on development issues) to the participant members of the local target groups and the local stakeholders; improving the institutional infrastructure, density and integration of the local civil society; and improvement of the local civic culture and local participatory democracy, as explained before. These are all valuable contributions to the *actual accumulation of human and social capital* within the local community.

7.3.2.4. Local Governance and the Sustainable Outcomes of a SHD Based SDP

Finally, the model suggests that the LGP within a SHD based SDP will provide positive contributions on its sustainable outcomes, majorly by *mediation of the sustainable local agency*. It is also expected to have sustainable contributions by mediation of the maintained results of the project implementations.

As the related literature suggests a *participative development program* is expected to provide the sustainability of the local development process towards further and sustainable development achievements, successfully. The country experiences show that, when poverty reduction and capacity building projects, services and investments are planned, implemented and monitored autonomously and participatively at the local level, progress towards universal UN goals becomes faster, more effective and *more sustainable*, at both subnational and national levels.

More specifically, at the end of the life-time of a SHD based SDP, the aggregate of the short-term outcomes of the participative face-to-face mechanisms, project partnerships and project implementations are expected to build *sustainable endogenous capacities* (sustainable capital assets and sustainable local agency) in the local community for taking new steps on their most desired and sustainable path, along with the everlasting local SHD process that took start with the SDP. On this most desired and sustainable path, some *sustainable outcomes* are expected to be attained as permanent environmental sustainability, further well-being achievements and oportunities, and further accumulation of capital assets, in accord with the particular and common future needs and priorities of the local community members.

A good LGP within the SHD based SDP is expected to influence the sustainable outcomes of the SHD process, through two channels. First, as the more local target groups have voice and vote on the determination of the implementations of the SHD based SDP, via good LGPs, the more they have the chance to lead them towards the *most valued* objectives and *most proper* projects in accord with both their short-term and *long-term needs and preferences*. So, the resultant project outcomes (achievements and new opportunities) are expected to be the *most valued* actual and also *sustainable* capital assets for the whole community; and the *most valued* contributions to the local environmental sustainability, which would function as the *most valued* resources in attaining the new future outcomes.

Secondly, and more critically, a good LGP is expected to influence the sustainable outcomes of the SHD process with its direct contributions to the human and social capital accumulation, mentioned above, which would build a sustainable *self-governance capacity*, in the local community. This capacity would be one of the most valuable and sustainable supports of the *sustainable local agency* (the long-term mediator variable) which is expected to be the key driving force in the long-term SHD process that would

lead establishment of good governance partnerships to initiate and implement some long-term economic, social and environmental projects towards some private commercial purposes, and/or some common socioeconomic and environmental goals.

7.3.2.5. Endogenous Conditions of a Good LGP

As the literature suggests, the success of the LGP in providing positive influences on the SHD based SDP is majorly related to whether it is a *good governance process* which reflects the normative qualifications, like participativeness, rule of law, equity, transparency, responsiveness, accountability, consensus orientation (or compromise building), strategic vision, efficiency and effectiveness, throughout all of its stages. At the local level, it also implies some other qualifications, like decentralization and autonomy of the steering bodies; and beyond qualified *face-to-face* relations.

Goodness of LGP essentially depends on some conditions, which are related to the qualifications of some *endogenous factors* within the LGP, like participant selection, communication and interaction, and empowerment of the participants within the face-to-face PGMs (Fung 2006); performance of the steering bodies, and attitudes and behaviour of the public, private and civil participants throughout the process; and the capacities of the stakeholders in the project partnerships (SNV/UNDP 2009; UNDP/UNCDF 2010; Bloom et.al. 2001).

In this thesis, they are named as the *endogenous conditions* of good local governance and listed as follows:

- i. provision of the *participativeness* of the *face-to-face PGMs* by virtue of
 - an inclusive, just and appropriate *participant selection*;
 - open, free, equitable and horizontal *communication* and *interactions*;
 - sufficient and equal *empowerment* of the participants;
- ii. provision of the other good governance qualifications within the face-to-face mechanisms;
- iii. continuity of the good governance qualifications all along the stages of SDP; within not only the face-to-face mechanisms but also the other PGMs and project partnerships;
- iv. autonomy and performances of the steering experts/officials with respect to good governance criteria;

- v. congruence of the attitudes and behaviour of the participant public administrators and officials to the good governance criteria;
- vi. congruence of the attitudes and behaviour of the participant representatives of the local private sector and the civil society to the good governance criteria;
- vii. institutional, financial and human capacities of the steering bodies and the other institutional stakeholders with respect to the good governance criteria.

Qualifications of the endogenous factors in the LGP with respect to the endogenous conditions of good local governance are the essential elements which characterize the qualifications of an LGP with respect to the good governance criteria; or simply characterize whether it is actually a good governance process. So, they are the *essential requirements* of the goodness -thus the success- of the LGP in positively influencing the local agency and the local SHD process, in a locality.

The first endogenous condition is provision of the *participativeness* and the other *good governance qualifications* within the *face-to-face PGMs*, which are the main means of the LGP. As Fung (2006: 70-74) suggests, the *participativeness* of the face-to-face mechanisms depend on the qualifications of three endogenous factors. First one is *participant selection*. To increase the participativeness of a governance process participant selection must be *inclusive, just and appropriate* so that the most representative participants out of the widest range of target groups must be invited to the face-to-face mechanisms.

Secondly the *communication atmosphere* and the *interactions* in the face-to-face PGMs must be *open and horizontal* enough. This implies provision of a transparent, free, deliberative, equitable and non-hierarchical atmosphere within the face-to-face interactions and communication among the participant experts/officials of the steering bodies, the local public administrators/officials and the representatives of the local private sector and the civil society. There should be a mutual communication instead of a one-way didactic monologue; free participation and ease in voicing demands and problems; a transparent, free and effective flow of information; free and compromise building deliberations among the steering bodies and diverse participant stakeholders towards creating partnerships. All popular participants need to be able to voice their opinions, needs, demands, priorities and preferences freely, in the face of the steering experts/officials and public administrators/officials; deliberate issues, bargain on their

interests and compromise with others, in a horizontal and friendly communication atmosphere.

As a last point, the decisions must not be made by the steering experts or the public officials/administrators; and all participants should have a free and equal vote in the final decisions of the face-to-face PGMs. In addition, the PGMs must be *powerful* enough, so that the common decisions must be effective on the design, budgeting, implementation and revision of the projects. This will provide the participants with the *feeling of consensus* and *control* over the process. So, the local public authorities should empower the PGMs sufficiently and confront their decision outcomes with respect. Holding of these conditions will provide the trust of the participants in legitimacy, justice and effectiveness of the decision outcomes (Fung 2006: 68-74). This will provide the support and advocacy of the local target groups and stakeholders to the program, their continuous participation to the PGMs and cooperation in the project partnerships.

For good local governance, steering bodies need autonomy and empowerment, via devolution of authority from the central or local public administrations. Besides, the performances of the *steering experts* and *officials* with respect to the criteria of participativeness (just and appropriate participant selection; open and horizontal communication and authority structures) and the other normative good governance criteria, while steering the face-to-face mechanisms, is one of the most important endogenous factors in favor of continuous good governance, in all stages of the program.

Then, the steering experts/officials should select the participants of the face-to-face mechanisms in such a way that it would enable the participation of the widest range of target groups (specifically the disadvantaged target groups) with the most representative attendants. They should also pay attention on invitation of some key individual actors, opinion leaders, public and municipal administrators, and representatives of the key local NGOs and QUANGOs to the face-to-face meetings and negotiations. The participation of the representatives of the three sectors (public, private and civil society) as the major key negotiators, decision-makers and stakeholders through face-to-face mechanisms is complementary; and in fact, a necessity for good governance (Fung 2006: 70-74; UNDP 2009: 115).

The steering experts/officials must behave in an *open* and *horizontal* (non-hierarchical), manner against the other participants. So, they must provide them with the

sufficient technical supervision and the necessary information on base-line conditions, project management and other issues they demand. They should coordinate a *transparent* and *effective* information flow; and report on the steering activities and the progress of the program frequently. They must provide each participant actor with an *equal* opportunity of *freely voicing* his/her opinions, needs and priorities, in a horizontal and friendly communication atmosphere; and with a *free* and *equal vote* on the final decisions. They must spend effort for conflict resolution and *compromise building* among participants; pay attention to *efficient* use of time and other resources; and coordinate the deliberations of the participants towards *strategic goals* of SHD for reaching *effective* deliberation and decision-making, in the meetings. The steering experts/officials also have to be *accountable* and *responsive* to the feedbacks of the participants about their steering performances, at any stage; be ready to face their critiques with gravity and tolerance; and review the action plan in order to provide dynamic solutions to the newly emerging demands and problems, together with the other stakeholders (Fung 2006: 68-74; Saltık and Açıklan 2008:153-154; Rietbergen-McCracken 2011; UNDP 1994; 1997).

In addition, the *attitudes* and *behaviour* of the attendant *public administrators* and/or *officials* also matter for holding participativeness and other good governance qualifications within the face-to-face mechanisms. First it is important whether they behave as *equal* and *compromising negotiators*, in their interactions with the other participants. They must view private and civil society actors as legitimate voices; be open to delegating the steering responsibilities to the NGOs and QUANGOs; receiving inputs (information on local conditions, needs and priorities), service demands and creative contributions from them; and deliberating and compromising on the local development issues. They should show *respect* to preferences of the other participants, and of course to the final common decisions of the face-to-face mechanisms. The *attitudes* (sympathy, tolerance, antipathy or indifference) of the involved local public administrators against the program and the issues, like development, decentralization, participatory democracy are other determinant endogenous factors.

As far as the attitudes of the public administrators are sympathetic to these issues, and their manners are horizontal and compromising against the steering bodies and the other participants; effective participation and cooperation of the local public institutions; delegated authority and autonomy of the steering bodies; and control of the target groups and the other institutional actors (NGOs, QUANGOs and SMEs) over the process will

increase. Positive attitudes, behaviour and proactive engagement of public administrators may also foster more and wider participation of the NGOs, SMEs and the disadvantaged groups to the LGP (Widianingsih 2005; Nijenhuis 2002; Matovu 2006; Callanan 2005; Chaudhuri and Heller 2002; Bifulco and Centemeri 2008; Eversole and Martin 2005a:6-14; UNDP/UNCDF 2010: 5; UNDP 2009: 115).

The attitudes and behaviour of the participant representatives of the local target groups and the non-governmental institutional stakeholders (SMEs, NGOs and QUANGOs) against the other participants; and specifically against the public administrators/officials is also an important factor in the face-to-face mechanisms. Hostile manners of the representatives of the target groups, the private sector and the civil society, against the steering experts/officials and public administrators/officials will prevent an effective communication and cooperation among them; and block their continuous participation to the face-to-face mechanisms and the project partnerships. In addition, attitudes (sympathy, prejudices or indifference) of the participant representatives against the participative development issues and the on-going SDP are also determinant on their participation to the face-to-face mechanisms and the project partnerships. If they have some prejudices or indifference against these issues, they may stay away from the SHD based SDP (UNDP 2005: 23; 2009: 115; Eversole and Martin 2005a: 2; 12).

Another major endogenous factor is keeping the *continuity* of the good governance qualifications in all stages of a SDP. For a good LGP, good governance qualifications should prevail within not only the face-to-face mechanisms but the other PGMs and project partnership; during announcement and presentation of the program; gathering the base-line information; designing and budgeting the projects; project implementations; monitoring the projects; and evaluation of the program (Saltık and Açıklın 2008:153-154; Rietbergen-McCracken 2011; UNDP 1994; 1997).

So, performance of the steering experts/officials in the presentation tours, negotiations and meetings towards *sufficient announcement* of the SHD based SDP and *effective presentation* of the goals, principles and priorities of the SHD strategy is important for providing the *awareness* of the local actors about the significance of this content; their *persuasion* about the effectiveness of the soft methods (trainings and supervision) in enhancing their actual well-being and building local capacities for sustainable local development; and their adoption of the *entrepreneurial vision*

suggesting a proactive and cooperative role in both short-term SDP implementations and the ever-lasting local SHD process. These are preconditions for *mobilization* and *advocacy* of the local target groups and key local actors; and their *effective participation* to the following face-to-face mechanisms of the planning stage.

In the SHD context, the success of the LGP also depends on gathering the sufficient and realistic information about the actual base-line conditions, needs, demands, priorities and preferences of the local communities and target groups in the implementation area, by the help of some PGMs like *participative base-line surveys* in the beginning of the planning stage. Derivation of this information is necessary for the steering expert/officials to provide a *proper technical supervision* for determining the most beneficial and feasible project objectives, and the most appropriate instruments; and designing the most appropriate projects for the needs and demands of the target social groups, during the participative planning process. Development of such appropriate projects for feasible objectives is important for *persuading* the participant actors in the *effectiveness* of the SHD based SDP implementations; providing their participation to the project partnerships as *proactive and cooperative stakeholders*; providing the members of the target groups to the implementations as *beneficiaries*; and consequently achieving successful outcomes in enhancing their well-being.

Continuity of good governance relations within the project partnerships and project implementations also bear critical role, in a good LGP. So, the steering experts/officials should keep on behaving in a horizontal, transparent and accountable manner; and stay responsive against the demands and feedbacks of their partners and the target groups, while steering the multi-level project partnerships and project implementations. They should be keen on providing their partners with sufficient technical supervision and any other kind of information; on conflict resolution and compromise building towards effective cooperation; on efficient use of the time and the program resources towards effective implementations; on smooth budget accounting and book-keeping on financial resources of the program without any legal conflicts and degeneration; and on coordinating the project implementations towards universal goals of SHD strategy. They are also responsible for obeying the legal rules and providing equity, in allocation of the program resources among the stakeholders; and in allocation of the project outcomes (goods, services, resources, incentives and investments) among the target groups (UNDP 1994; 1997; 2005; 2007a; 2009: 113; SNV/UNDP 2009).

The personal qualifications and performances of the *public administrators/officials* with respect to good governance qualifications are still important in project partnerships and project implementations. This is because the local public administrations and municipalities are the sphere of the State that is the closest service providers for the local communities, and they hold some critical public resources which are valuable for fulfilling the project objectives. The country experiences show that, local authorities can actually enable greater community participation and control within LGPs, and promote the participation and engagement of the institutional actors out of the local civil society and private sector to the implementations, no matter whether they are steering bodies or not (UNDP/UNCDF 2010: 5). So, the local authorities must be willing to cooperate with the NGOs and citizens; to take on tasks and responsibilities in the project partnerships as equal partners; and perform these tasks in a cooperative, transparent, accountable and legal manner -free from corruptions- for the success of the implementations. They must be responsive and equitable while providing the other stakeholders and the target groups with public resources and services, during the project implementations (UNDP 2009: 115).

The capacities of the steering bodies and the local institutional stakeholders (local public institutions, SMEs, NGOs and QUANGOs) are other important endogenous factors determinant on the provision of good local governance relations, continuous local agency, effective project implementations and successful project outcomes. The local institutional actors need to have the sufficient organizational, technical, physical, financial and human capacities and resources to perform the steering and stakeholder roles effectively. In addition, the grassroots stakeholders should have representative capacity against the target groups they represent; and the necessary capacities for adapting the good governance relations within the face-to-face mechanisms and project partnerships.

7.3.2.6. Exogenous Conditions of a Good LGP

According to the related literature, there are some preconditions of good local governance which are rather related to the *exogenous circumstances* surrounding the LGP that is the circumstances of *the localities* with respect to its political frameworks, civil society, decentralization and participatory democracy (Saltık and Açıkalın 2008: 155). They do not directly characterize the actual goodness of LGP, but they rather characterize the *capacities of the locality* for good governance. In this thesis, these conditions are

named as the *exogenous conditions* of good local governance. They are a second category of factors which indirectly influence the endogenous circumstances of an LGP; thus its goodness and success in positively influencing the local agency and the local SHD process, in a locality.

Then, some basic *exogenous conditions* of good local governance are:

- i. accumulation of sufficient social capital in the locality, by development of partnership networks, formation and integration of the local civil society and the strengthening of its institutional infrastructure;
- ii. particular local political frameworks and the resultant mutual attitudes and relationships between local public authorities, local private sector and the local civil society;
- iii. political and fiscal decentralization in favor of subnational tiers of public administration; and
- iv. national political, legal and institutional environment in favor of participatory democracy, decentralization and good governance.

The integration of the local civil society and the strength of its institutional infrastructure are both valuable assets of social capital; and some of the most important exogenous factors of good local governance. Mediation of the NGOs and QUANGOs as representatives of the community grassroots is specifically important for good local governance and agency of the local community. This will provide a public demand for obedience of the local authorities to the good governance norms, in their involvement to LGPs and service provision activities. As the institutional infrastructure, partnership networks and integration of the local civil society increases, so does its capacity to participate LGPs, represent the local community grassroots and take proactive and effective roles within the SHD based SDPs, as steering bodies or stakeholders. Inadequacies of institutional infrastructure are major obstacles which decrease the capacity of the local civil society for effective performance in local development. This is specifically a problem in rural localities (UNDP 1997; 2005: 21; 2009: 104-105; UNDP/UNCDF 2010: 5)

Particular local political frameworks are very important factors which influence the local capacities for provision of community participation and establishment of local good governance mechanisms. Primary determinant in local political framework is the structure

of the mutual attitudes and relationships among the local public authorities, private sector and the civil society. For good governance to work, there is a need for mutuality, equality and respect among the three sectors to establish shared objectives, assign respective rights and responsibilities, within the face-to-face mechanisms; and an effective cooperation within the project partnerships. Besides, if antagonisms, mistrust or oppositions exist among social groups and the local authorities, these will be reflected to the manners of the local actors within the face-to-face mechanisms; and finding the space for deliberation, consensus building and cooperation will not be an easy task (UNDP 2005: 23; 2009: 115).

Decentralization, both politically and fiscally, is one of the most important exogenous factors for good local governance of participative local development and engagement of local communities -and specifically the local civil society- to SDPs, by empowerment of the local communities and authorities successfully building local capacities in participative local development (UNDP 2009: 104). In part of the local authorities (local administrations and municipal authorities), decentralization is expected to pave the way for a more capable, cooperative, and effective participation of local authorities to the participative local development practices. In addition, if elected local leaders have more decentralized autonomy they find cooperation with the local actors more attractive (UNDP 2009: 120). In country experiences, decentralization is also observed to increase people's motivation to participate in decision making, planning, budgeting and development practices positively because of their perception of local administration as a channel for expressing local people's needs and requirements, instead of a '*representative of central government and its demands*' (Handoussa 2010: 30).

Another basic exogenous condition of good local governance is the national political, legal and institutional environment sets some basic background conditions for a good local governance within SHD based SDPs. Level of decentralisation and empowerment of local communities is dependent on existence of an enabling environment which involves a participatory and deliberative democratic culture; appropriate legal regulations and control mechanisms on decentralization, participative public administration, preventing corruption and institutionalised governance relations; participation and auditing capacities of the civil society; and capacities of both higher and lower ranks of administrators and public officials to obey the good governance norms and perform civic democratic functions.

There may be some other exogenous factors influencing the goodness and success of the LGP in providing the local agency and in providing contributions to the outcomes of the SHD based SDP. These exogenous factors may be related to the specific circumstances of the localities.

7.4. The Case Study

In this thesis, a case study is performed and the developed analytical model is applied to a case of SHD based SDP to attain the necessary observations and data for fulfilling the objectives of the thesis. The chosen case was a SHD based SDP implemented in Turkey, during 2001-2006, namely *Linking Eastern Anatolia to Progress Program (DAKAP)*. DAKAP was a “regional development pilot program” (UNDP/AÜ 2005: 2). So, it was implemented in some pilot localities in TRA1, TRA2 and TR90 regions of Turkey; and had 3 main components as *Participative Rural Development Project (KKKP)*, *Eastern Anatolia Entrepreneurship Support Project (DAGİDES)* and *Eastern Anatolia Tourism Development Project (DATUR)*.

DAKAP was chosen for the case study because of the following reasons:

- i. It explicitly proposed to follow the SHD strategy at the subnational level.
- ii. It had involved a series of LGPs in each pilot locality; so it provided an opportunity of comparative analysis among LGPs and outcomes of local project implementations.
- iii. UNDP had attributed DAKAP to be the flag ship among many other UNDP supported programs all over the world, in 2004 and 2005 (UNDP/AÜ 2005).

7.4.1. Research Themes

The case study on DAKAP has some research themes inspired by the analytical model developed above. The first theme is on understanding the level of the good governance qualifications of the LGPs in DAKAP. These are:

1. a) Evaluation of the *exogenous circumstances* surrounding the LGPs within DAKAP, (the circumstances of the localities within the DAKAP implementation area) with respect to the *exogenous conditions* of good local governance.
- b) Evaluation of the qualifications of the *endogenous factors* in the LGPs within DAKAP, with respect to the *endogenous conditions* of good local governance.

The following four themes are basically related to the first and the second research objectives. So, the first part of each theme focuses on evaluating the level of the actual local agency, sustainable local agency, actual outcomes and sustainable outcomes of DAKAP, respectively, in various localities of its implementation area. The second part of each theme focuses on understanding the significance of the good governance qualifications of the LGPs in the levels of the actual and sustainable local agency; and in the levels of the actual and sustainable outcomes of DAKAP, which are anticipated by the model. Analyses on these research themes are also expected to let synthesizing some valuable conclusions and deriving some some policy implications for fulfilling the other three research objectives. These themes are:

2. a) Evaluating the level of the *actual local agency*, (*participation, control and cooperation* of the local target groups and the key local actors) in the localities, during the life-time of DAKAP.
- b) Assessment of the relationship between the level of the actual local agency and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.
3. a) Evaluating the level of the *sustainable local agency*, (*proactive role and control* of the local communities over the everlasting local SHD processes) maintained in the localities, after DAKAP.
- b) Assessment of the relationship between the level of the sustainable local agency and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.
4. a) Evaluating the actual contributions of DAKAP to the well-being of the local target groups; the accumulation of economic, human and social capital; and local environmental sustainability, in the localities, during its life-time.
- b) Assessment of the relationship between the level of the actual outcomes of DAKAP and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.
5. a) Evaluating the sustainable contributions of DAKAP to the well-being of the local target groups; the actual accumulation of economic, human and social capital; and local environmental sustainability, in the localities, after its end.

- b) Assessment of the relationship between the level of the sustainable outcomes of DAKAP and the qualifications of the LGPs, with respect to the endogenous and exogenous conditions of good local governance.

The following chapters of this thesis are organized according to these themes. The first theme will be handled in Chapter 8. The second and third and ones will be handled in Chapter 9. The fourth and fifth themes will be performed in Chapter 10 and Chapter 11 respectively.

7.4.2. Research Methods and the Sources of Data

The major research instrument was a semi-structured, qualitative interview to find out answers for the major and complementary research questions listed above.¹¹ In addition, some textual material (brochures, booklets and reports) related to DAKAP, which were prepared and/or published by UNDP, Atatürk University and SÜRKAL; and direct observations in the field were also used to derive the necessary data.

The interviews were designed basically towards the following four groups of interviewees:

- i. *Mouthpieces of the civil institutional actors*, QUANGOs (chambers), NGOs and unions, in the research area. These QUANGOs, NGOs and unions were chosen because they were grassroots organizations of the major target groups, like local urban producers, entrepreneurs, workers and public officials; rural agricultural producers; the disadvantaged groups like women, youth and disabled people; and the cause groups showing activity on education, health and environment.
- ii. *SMEs and individuals* who participated and benefitted from the implementations of the Program.
- iii. *Ex-members of the steering bodies and public officials* who actively worked in DAKAP.

¹¹ The choice of a qualitative method rests upon the fact that *local governance*, the focal phenomenon of the thesis research, is a process which basically rests upon some face-to-face interactions and communication that take place in certain venues where PGMs function. The thesis research majorly aims to gather data upon the subjective atmosphere of these venues that is how participants experience the interaction and communication atmosphere personally. So, each personal story is important and deserves an in-depth attention. It is true that local development can also be studied quantitatively by evaluation of some measurable indicators. But a qualitative method is preferred first because the personal experiences about the qualifications of the face-to-face PGMs are expected to be examined better with a qualitative method. Secondly, in the preliminary investigations and contacts the author of the thesis noticed that there was a lack of statistical data about DAKAP implementations. This was an important limitation of the research.

- iv. *Experts and academicians*, who were specialized in regional development, UNDP subnational practices; and/or who made research and prepared evaluation reports on DAKAP.

The interviews were performed in a research trip to the region, during 22 May-6 June 2010 period; and in some additional telephone contacts, in the following days. They had been performed in friendly, informal dialogues; and the actual questions, though being focused on some common topics stated above, had been adapted spontaneously according to the positions of the interviewees; that is whether they represented the steering bodies, local public institutions or NGOs and QUANGOs. The interviews were recorded by a sound recorder. The total time of the recordings exceeded 1200 minutes. The average time for each interview was around 20-25 minutes. The list of the leading questions in the interviews is available in Appendix A.

7.4.3. The Universe and the Sample of the Interview Survey

The *universe of the survey* involved the urban and rural target groups that the components of DAKAP addressed. These are the peasant communities of the pilot villages of the implementation area; the QUANGOs and NGOs representing the urban producers and entrepreneurs; the NGOs representing the disadvantaged groups, like women, unemployed youth and disabled people; the NGOs showing activity on education, health and environment; and the tourism enterprises, the sports clubs and NGOs in the implementation area of DATUR.

Thus, the major part of the sample of the survey had chosen to be the representative mouthpieces of the non-governmental institutional actors (NGOs and QUANGOs) which were supposed to represent the local rural communities within KKKP and DATUR implementation areas; and the major sectors of the urban communities within DAGIDES implementation area. The choice on civil institutional actors was intentional, because since 1990s, the multi-level governance processes initiated by international institutions - like EU and UN- for various purposes including SDPs, have necessitated the involvement of the civil institutional actors to these processes, as well as the governmental and municipal authorities and public institutions. This is why *civil society* and *governance* have been two key concepts, which have been used within the same context; and NGOs are supposed to be the major target audience and stakeholders of the governance practices (Zimmer 2006).

UNDP supported SDPs have also worked the same way, and specifically encouraged agency of non-governmental institutional actors all over the world, as well as in Turkey (UNDP/UNCDF 2010: 5). Thus, DAKAP had also been carried on through a multi-level governance partnership among some international institutions, national public institutions, universities, regional and local NGOs and QUANGOs.

Consequently, the *sample* involved local NGO leaders who once actively worked in the District Development Councils (İKKs), cooperated with SÜRKAL in project partnerships and benefitted from the KKKP trainings and demonstrations; the mouthpieces of the major local stakeholders of DAKAP Coordination, in DAGİDES implementations; the mouthpieces of the local NGOs and the local branches of the unions which were the grassroots organizations of the local target groups and cause groups that couldn't participate to DAGİDES; the representatives of the sports clubs which benefitted from DATUR implementations; and the mouthpieces of the local chambers and NGOs which couldn't participate to and benefit from DATUR. The sample also involved experts and academicians who were experienced in UNDP field practices and DAKAP; directors and officials of the steering bodies (SÜRKAL, DAKAP Coordination and DATUR Coordination) who worked actively in each component of DAKAP; local public officials, village headmen and peasants who once actively worked in the İKKs and/or benefitted from the KKKP trainings and demonstrations; representatives of the local peasant communities who benefitted from DATUR; and the local tourism enterprises (SMEs) who couldn't benefit from DATUR.

In the field, the interviews began with some contact persons out of the ex-members of the DAKAP Coordination, SÜRKAL and DATUR Coordination who actively worked in DAKAP. Each contact person directed the author to some other people who actively took part in DAKAP (like ex-members of the steering bodies; the representatives of the stakeholders; ex-members of İKKs; representatives of sports clubs; public officials and village headmen); and who benefitted from DAKAP implementations. The author reached the mouthpieces of the NGOs and QUANGOs, which were the representatives of the target groups and cause groups that couldn't participate to DAKAP, with an internet research on the contact information of the active NGOs and QUANGOs in the field. At the end, the author reached *a sample of 59 interviewees* in the survey. Appendix B involves a list of these interviewees.

7.5. The Unit of Analysis

DAKAP was first initiated by the negotiations between Atatürk University and UNDP Turkey, in 1998. In May 2000, *DAKAP Program Document* was signed among Atatürk University, UNDP Turkey and Turkish Foreign Ministry. DAKAP had a budget of 2.959.404 USD. The financiers were Swiss Agency for Development and Cooperation (around 2.200.000 USD), UNDP (around 500.000 USD) and Atatürk University (around 200.000 USD) (UNDP/AÜ 2005: 2-7; Ruszczyk 2006: 2, 11-12).



Map 7.1 The Provinces in DAKAP Implementation Area

The major *steering body* responsible for coordination and implementation of DAKAP had been *Atatürk University* (Faculty of Agriculture, Institute for Research on Environmental Problems), in Erzurum. The Program was started in January 2001 and planned to last up to December 2004. However, after the *Program Evaluation Meeting* performed in Erzurum, in July 2004, *Program Document* was reviewed and revised, and DAKAP implementation period was prolonged up to June 2006.

DAKAP was performed in some pilot localities in TRA1, TRA2 and TR90, NUTS2 regions (Erzurum, Bayburt, Erzincan, Kars, Ardahan and Artvin provinces). The provinces included in DAKAP implementation area can be seen in Map 7.1. The major objectives of DAKAP were as follows:

- i. providing the communities of the pilot localities capable of defining and solving their own problems themselves actively and deliberatively;
- ii. contributing to the development of human capital in the pilot localities, by training projects so that local communities might provide solutions for the future development needs;
- iii. creating sustainable models of participative partnership frameworks, which have the ability of spreading and repetition in other districts (<http://www.undp.org.tr/Gozlem2.aspx?WebSayfaNo=27>).

DAKAP was planned to support the areas of *rural development*, *local entrepreneurship* and *rural tourism* by helping to set up some *examples of local SHD models*. These examples were to be “participatory, comprehensive, effective, repeatable, extendable, and for increasing income and reduce socioeconomic disparities in the area, while improving gender balance and safeguarding the environment”. They would be relevant for the economic and social needs of the target population and environmental needs of the project area; and would be actualized in cooperation with various other local, national and international stakeholders of the program (ibid.).

DAKAP was planned to have 3 main projects as its components:

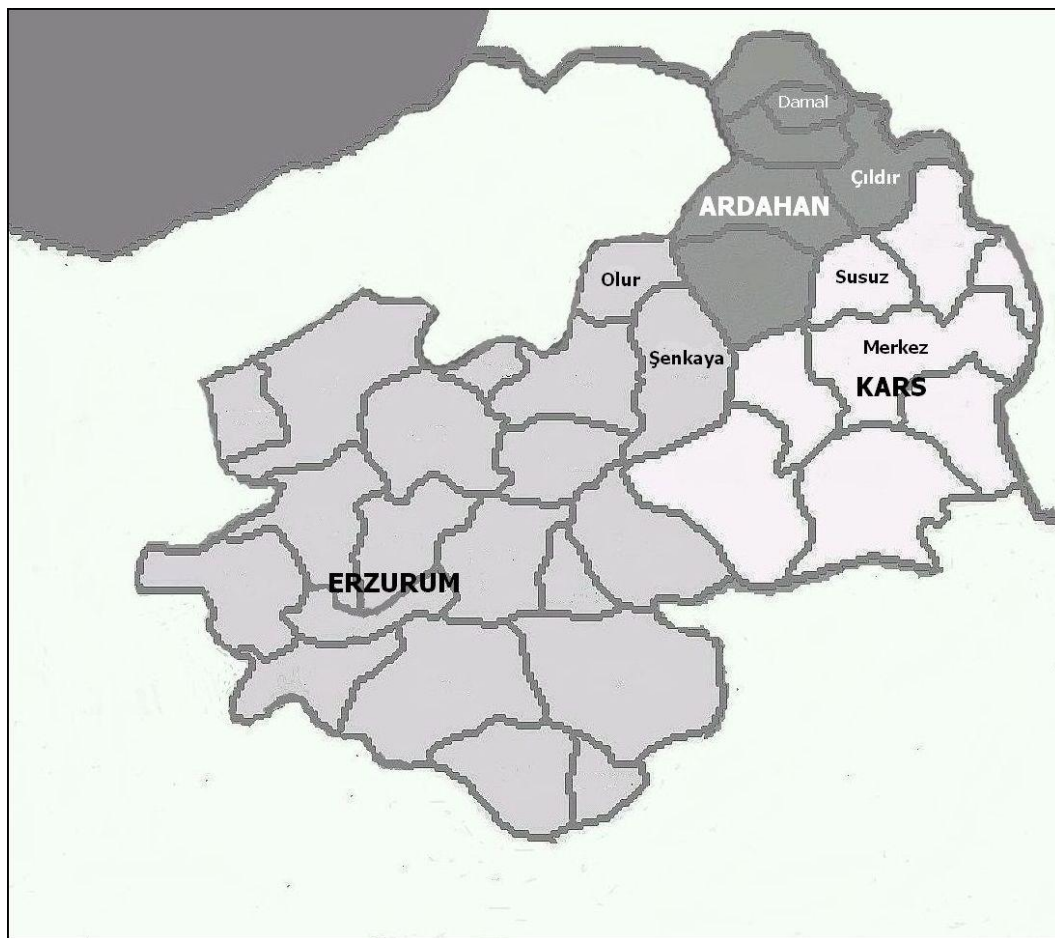
- i. Participative Rural Development Project (KKKP)
- ii. Eastern Anatolia Entrepreneurial Support Project (DAGİDES)
- iii. Eastern Anatolia Tourism Development Project (DATUR)

The steering organizations in each component project were:

- i. Sustainable Rural and Urban Development Association (SÜRKAL), in KKKP,
- ii. Atatürk University DAKAP Coordination Center, in DAGİDES,
- iii. UNDP Turkey, in DATUR.

7.5.1. Participative Rural Development Project (KKKP)

The preliminary stage of KKKP was started by DAKAP Coordination Center, in April 2001. However, DAKAP Coordination left the steering of KKKP to SÜRKAL. SÜRKAL started KKKP on October 15, 2001. KKKP activities amounted to around 1 million USD; and ended in June 30, 2006.



Map 7.2 The Pilot Implementation Area of KKKP

General objective of KKKP was to make pilot implementations which would be examples of participative and sustainable rural development models depending basically on soft instruments (trainings and demonstrations) for accumulation of human and social capital, instead of hard ones (financial and physical investments). Its specific objectives were increasing investments, productivity and employment in agricultural sector; introduction of new agricultural technologies; promotion of rural entrepreneurship on alternative means of living other than animal husbandry; improvement of local organizational infrastructure; promotion of local participation and cooperation; supporting producer organizations; improvement of health conditions; development of communicative, deliberative and cooperative skills to solve common problems; protection and regeneration of natural resources; and promotion of efficient use of them (UNDP/AÜ 2005: 12). The major target groups were *poor rural households, petty farmers, women, unemployed youth* and *farmer organizations* (associations and cooperatives) (AÜ/SÜRKAL/UNDP 2006: 4).

KKKP implementations started with 3 pilot districts (Şenkaya, in Erzurum; Susuz, in Kars; and Çıldır, in Ardahan) and 10 villages (İkizpınar, Gaziler and Aşağıbakraçlı, in Şenkaya; Harmanlı, Kırkpınar and Ağzıaçık, in Susuz; and Aşıkşenlik, Öncül, Akçekale and Semiha Şakir, in Çıldır), in April 2002. The pilot area was extended to involve 3 more districts (Olur, in Erzurum; Central District of Kars; and Damal, in Ardahan), and 10 more villages (Olgun, Eğlek and Yeşilbağlar, in Olur; Azat, Karakale, Hacıhalil and Benliahmet, in Kars Central District; and Üçdere, Eskikılıç and Kalenderdere, in Damal), in May 2003 (UNDP/AÜ 2005: 13). The pilot villages involved a population of 10.550 (AÜ/SÜRKAL/UNDP 2006: 3). The final pilot implementation area of KKKP can be seen in Map 7.2.

Table 7.2 Geographical and Demographical Conditions of KKKP Area

Locality		Altitude of the District Center (m)	Land Area (km ²)	Num. of Village	Population							
Province	District				Total		Share of Urban Population (District Center)		Share of Rural Population (Towns+ Villages)		Density (pers./km ²)	
					2000	2010	2000	2010	2000	2010	2000	2010
Erzurum	Şenkaya	1.850	1.536	69	27.632	21.546	13%	13%	87%	87%	18	14
	Olur	1.327	798	40	10.871	7.915	30%	28%	70%	72%	14	10
Kars	Central District	1.768	1.805	24	114.071	108.064	69%	68%	31%	32%	63	60
	Susuz	1.750	697	28	14.885	12.452	26%	20%	74%	80%	21	18
Ardahan	Çıldır	1.959	752	35	14.869	10.546	16%	14%	84%	86%	20	14
	Damal	2.200	329	7	8.677	6.737	30%	55%	70%	45%	26	20
TOTAL		-	5.916	203	191.005	167.260	-	2	-	-	-	-
AVERAGE		1.809	986	34	31.834	27.877	49%	52%	51%	48%	27	23
AVERAGE BY DISTRICT IN TURKEY					73.460	77.036	65%	76%	35%	24%	88	96

Source: TÜİK Regional Statistics Query (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>)

As seen in Table 7.2 the average altitude of the 6 district centers in the KKKP implementation area is 1809 meters. The localities of the KKKP implementation area are some of the highest ones in Turkey. The North-Eastern part of Turkey, where these localities stand, is called as *the roof of Turkey*. The continental climate conditions are dominant in the region. So, the region faces quite hard physical conditions specifically in the winter (Genç 2002: 7).

These localities are some of the least populated ones. In 2000, just before DAKAP implementations began, the total population of the districts (excluding Kars Central District, where is actually a province center) were quite below the average district

population in Turkey (73.460 persons). The population density of these districts were also quite below the average density in Turkey (88 persons/km²), in 2000. The rates of urban population in these 5 districts were quite below Turkey's average rate of urban population (%65); so the KKKP implementation area was quite a rural one, in 2000.

The demographic structure of the districts of the KKKP implementation area worsened, in 2010, the year of the research survey. All districts (even including Kars Central District) lost population, as shown in Table 7.2. Population density decreased in each district, while the average population density increased in Turkey (96 persons/km²). Although the average urban population of the districts increased at a small rate (from %49 to %52); the rate of urban population in each district was still quite below the average rate of urban population in Turkey (%76), in 2010. So the area was still rural.

The major reason for the worsening of the demographic conditions in these localities was the continuous *net out-migration*. The provinces in the KKKP implementation area had lost their population with high amounts of net out-migration, in 2000.¹² In the year of the research survey (2010), these three provinces still had net out-migration (although relatively less in number); and still had some of the highest amounts of net out-migration in Turkey.¹³

The *dominant economic activity* in the TRA1 and TRA2 subregions, where Erzurum, Kars and Ardahan provinces stand, had been *agriculture* in the implementation period of DAKAP.¹⁴ In the beginning of DAKAP (in 2001), the value of the livestock in each province of KKKP area was over the average by province.¹⁵ In parallelism to this, the dominant share of the agricultural production came from animal husbandry in these provinces, in 2001. However, the value of animal products was quite below the average by province, in Kars and Ardahan. It was over the national average only in Erzurum.¹⁶

¹² Erzurum had the 4th highest net out-migration among 81 provinces of Turkey, with 46.491 people, in 2000. Kars was the 19th (with 18.331 people); and Ardahan was the 27th (with 13.526 people) in the same list (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

¹³ The amounts of net out-migration from these three provinces were 12.417 from Erzurum, 6.751 from Kars and 2.271 from Ardahan, in 2010. Erzurum was the 3rd, Kars was the 15th and Ardahan was the 38th among 81 provinces of Turkey (ibid.).

¹⁴ In TRA1, the shares of the local population employed in agriculture, industry and services were %70, %4 and %26 respectively, in 2004. There was a parallel situation in TRA2, where the shares of employment in agriculture, industry and services were %63, %5 and %32, in 2004 (ibid.).

¹⁵ The average value of livestock by province was 102.494 TL, in 2001. Erzurum had the 3rd highest value of livestock (with 257.962.000 TL) among the 81 provinces, while Kars was the 24th (with 125.427.000 TL) and Ardahan was the 28th (with 113.952.000 TL) in the list, in the same year (ibid.).

¹⁶ The average value of animal products by province was 74.927.000 TL, in 2001. The share of the value of animal products in the total agricultural production was %62 in Erzurum, %49 in Kars and %71 in Ardahan, in this year. However, Kars was the 47th (with 48.319.000 TL) and Ardahan was the 54th (with 38.706.000 TL) among 81 provinces; while Erzurum was the 11th (with 142.777.000 TL) in the list, in 2001 (ibid.).

The value of crop production in these provinces was also quite below Turkey's average by province, in all three provinces, in 2001.¹⁷ A specific reason for this was the shortage of arable land, because of the unsuitable geographical landscape (Genç 2002: 8, 27). The share of the arable lands in all three provinces were quite below the national average of Turkey.¹⁸

So, although the economic production was heavily dependent on animal husbandry, and the value of animal livestock was quite high; the sector was so inefficient that the value of animal products were quite below the country average, in most parts of the KKKP region, in 2001. Besides, the non-agricultural (industrial and service) sectors were quite undeveloped in these three provinces. The number of local production units (enterprises) and the amounts of employment in these sectors were quite below the averages by province.¹⁹ As a result of these conditions, the provinces in the KKKP implementation area were some of the poorest ones in Turkey, in the beginning of DAKAP.²⁰

The dominant characteristics of the economic activities and the agricultural production didn't change much, in the former implementation area of KKKP, after DAKAP.²¹ In the days of the research survey (in 2010), the dominant sector was still animal husbandry in agriculture.²² Fortunately, the value of animal products increased considerably and rose over the country average in all three provinces.²³ On the other hand, the share of the arable land didn't increase notably, in the three provinces of former KKKP area;²⁴ and the value of crop

¹⁷ The average value of crop production by province was 247.129.000 TL, in 2001. Erzurum was the 58th in crop production (with 89.189.000 TL) among 81 provinces; while Kars was the 70th (with 50.853.000 TL) and Ardahan was the 79th (with 16.099.000 TL) in the same list, in 2001 (ibid.).

¹⁸ The shares of the arable land (including the land under permanent crops) for Erzurum, Kars and Ardahan provinces were %11, %23 and %18 respectively, in 2001. These percentages were quite below the national average that is %34 (ibid.).

¹⁹ The average number of local enterprises and average number of employment in non-gricultural sectors by province were 22.942 and 80.210. Erzurum, Kars and Ardahan had the 35th, 65th and 79th highest number of local enterprises, with 14.170, 5.070 and 2.060 units; and the 38th, 69th and 80th highest number of employment in industrial and service sectors, with 34.885, 10.792 and 4.043 people, in 2002 (ibid.).

²⁰ The GDP per capita for each province (1.286 TL for Erzurum, 1073 TL for Kars and 1020 TL for Ardahan) was quite under the GDP per capita in Turkey (2.600 TL), at current prices of 2001. Erzurum had the 65th highest GDP per capita among 81 provinces; while Kars had the 71st and Ardahan had the 75th, in 2001 (ibid.).

²¹ In the year of the research survey (2010), although the shares of the population employed in industry and services rised relatively (%8 and %36 respectively), agriculture still had the dominant share (%56), in TRA1. In TRA2, these percentages were %9, %33 and %58 respectively, in 2010 (ibid.).

²² The share of the value of animal products in the total agricultural production rose to %76, %85 and %97, in Erzurum, Kars and Ardahan respectively. These three provinces had the 5th, 6th and 32nd highest values of animal livestock among 81 provinces, with 1.304.503.000 TL, 1.184.741.000 TL and 618.433.0000 TL respectively, in 2010. The average by province was 578.680.000 TL (ibid.).

²³ Erzurum had the 7th, Kars had the 16th and Ardahan had the 28th highest values of animal products among 81 provinces, with 1.003.164.000 TL, 607.713.000 TL and 503.219.0000 TL respectively, in 2010. The average by province was 470.718.000 TL (ibid.).

²⁴ The shares of the arable land (including the land under permanent crops) for Erzurum, Kars and Ardahan provinces were %14, %23 and %8 respectively, in 2010 (ibid.).

production stayed quite below the country average again for all three provinces, in 2010.²⁵ In addition, the conditions of non-agricultural sectors didn't improve notably with respect to 2001.²⁶ So, although the income levels rose in the former KKKP area in absolute terms; the wealth of people didn't change significantly, specifically in Kars and Ardahan provinces as parts of TRA2, with respect to the rest of Turkey, after DAKAP's end.²⁷

In the beginning of KKKP, its implementation area rather had poor socioeconomic conditions. In the DPT study, where 81 provinces were ranked and classified according to their level of socioeconomic development; Kars and Ardahan were classified in the 5th (the least developed or the bottom) group, while Erzurum was in the 4th (upper-bottom) one (DPT 2003).²⁸ Besides, the 5 pilot districts of the KKKP area (excluding Kars Central District) were classified in the least developed 2 groups (the 5th and 6th groups) in the DPT study where 872 districts were ranked and classified according to their level of socioeconomic development (DPT 2004).²⁹

Although Erzurum people had relatively better health and education opportunities; in Kars and Ardahan provinces, the health and education facilities were quite below the respective averages by province in Turkey.³⁰ The conditions were specifically poor in the rural areas of the provinces; thus in the pilot villages, in the beginning of KKKP. The pilot

²⁵ The average value of crop production by province was 988.125.000 TL, in 2010. Erzurum, Kars and Ardahan had the 57th, 76th and 81st highest value of crop production among 81 provinces, with 313.052.000 TL, 103.924.000 TL and 15.299 TL respectively, in the same year (ibid.).

²⁶ As indicators of the conditions of the non-agricultural sectors in the former KKKP area, in 2010; TRA1 and TRA2 had the 24th and 26th orders among 26 subregions, with respect to the number of the local units of non-agricultural sectors. They had the 23rd and 26th orders among 26 subregions with respect to the number of employment in these sectors, in the same year (ibid.).

²⁷ Per capita GDPs in TRA1 and TRA2 (1.309 TL and 884 TL) were quite below Turkey's per capita GDP (2.600 TL), in current prices of 2001; and they were in the 23rd and 26th orders in the list of 26 NUTS2 subregions. Per capita GVA (Gross Value Added) in TRA1 and TRA2 (8.734 TL and 6.090 TL) were still quite below Turkey's per capita GVA (13.406 TL), in current prices of 2010; and they were in the 19th and 25th orders in the list. So, from 2001 to 2010, TRA1 raised 4 orders and TRA2 raised only one order in the list of 26 subregions, with respect to income indicators (ibid.).

²⁸ In the study made by DPT, in 2003; Erzurum, Kars and Ardahan were in the 60th, 67th and 74th orders in the list of 81 provinces ranked with respect to their socioeconomic development. In this study, the list of 81 provinces were classified into 5 groups according to their level of socioeconomic development. Erzurum was included in the 4th group which involved the 19 provinces from 47th to 65th orders; and Kars and Ardahan were included in the 5th (and bottom) group (orders from 65 to 81) according to their socioeconomic development (DPT 2003: 55).

²⁹ In the 2004 study of DPT, 872 districts were ranked and classified into 6 groups according to their level of socioeconomic development. Olur was in the 720th order and in the 5th group; while Çıldır, Damal, Susuz and Şenkaya were all in the 6th group with 769th, 795th, 799th and 803rd orders, according to their socioeconomic development. Kars Central District, which was in fact a province center, had the 189th order and was in the 3rd group (DPT 2004: 100-102).

³⁰ In Kars and Ardahan provinces, the number of hospitals (6 and 4 respectively), the number of sickbeds (337 and 182 respectively) and the number of health professionals (879 and 478 respectively) were quite below the respective average numbers by province (15 hospitals, 1.737 sickbeds and 4.754 professionals by province), in 2001. In these provinces, the number of schools (483 and 248 respectively) and the number of teachers (2.428 and 1.078 respectively) were quite below the averages by province (628 schools and 6.434 teachers by province), as well, in the same year. However, Erzurum province had better health and education indicators, which were all over the respective average numbers by province (21 hospitals, 2.624 sickbeds, 5.092 health professionals, 1.281 schools and 6.882 teachers), in 2001 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

village settlements were made of jerry built mud brick houses and most villages didn't have sufficient infrastructure. Peasants lived in poor hygiene conditions without sufficient sanitary and fresh water installations; and the health and education opportunities were rather limited (AÜ/SÜRKAL/UNDP 2002: 38-40).³¹

In the 5 pilot districts (except for Kars Central District), the rates of literacy were all below Turkey's national average; and the rates of literacy without school education were characteristically higher than the national average.³² The shares of primary education graduates in the 5 pilot districts varied around the national average; while the shares of secondary and higher education graduates were quite below the national averages.³³ Kars Central District was an exception with its higher rate of literacy and its quite high rates of secondary and higher education graduates.³⁴

Despite certain improvements took place in the socioeconomic conditions of the provinces and districts of the KKKP area, after DAKAP; most critical health and educational indicators had not improved much with respect to the average indicators of Turkey, in a decade's time, up to 2010.³⁵ Indicators of infrastructural conditions, like fresh water and sanitation had stayed seriously below the national averages, too, in 2010.

³⁶ Although the indicators of literacy (like rate of literacy) and education (like rate of

³¹ In 2001, there was one doctor corresponding to 4.473 people; and one teacher corresponding to 24,7 students, in the pilot districts of KKKP. The national averages were one doctor for 920 people; and one teacher for 15,3 students, in the same year (AÜ/SÜRKAL/UNDP 2002: 40).

³² The rate of literacy was %84 in Olur, Çıldır and Damal; %83 in Şenkaya and %80 in Susuz, in 2000. Turkey's national average was %87, in this year. The rate of literacy without school education was %22 for Olur, %23 for Çıldır, %26 for Damal and Şenkaya, and %27 for Susuz. The national average was %22, in the same year (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

³³ The rates of primary education graduates were over the national average (%47) in Olur (%52), Çıldır (%50), Damal (%49) and Şenkaya (%48); and below the average in Susuz (%42), in 2000. However, the rates of secondary education (high school) graduates (%9 for Çıldır and Susuz, %8 for Olur and Şenkaya, and %6 for Damal) were all quite below the national average (%13). The rates of higher education graduates (%2 for all) were all below the national average (%5), too, in 2000 (ibid.).

³⁴ In Kars Central District, the rate of literacy was %87; the rate of literacy without school education was %23; the rate of primary school graduation was %42; the rate of primary school graduation was %18; and the rate of higher education graduates were %5, in 2000 (ibid.).

³⁵ In 2010, Kars and Ardahan provinces had 6 and 3 hospitals; 501 and 140 sickbeds; 1.624 and 653 health professionals; 745 and 340 schools; and 3.855 and 1.526 teachers respectively. These numbers were still quite below the average numbers by province in Turkey that is 17 hospitals, 2.276 sickbeds; 6.904 health professionals; 860 schools and 9.560 teachers per province, in 2010. On the other hand, Erzurum province still had more health and education facilities (23 hospitals, 3.149 sickbeds, 6.549 health professionals, 1.606 schools and 10.796 teachers) than the average numbers by province (ibid.).

³⁶ In 2010, the shares of population that could benefit from the *fresh water* and *sanitation installations* were seriously below Turkey's national averages (%82 and %73) in all former pilot districts of the KKKP area. The related rates were %68 and %65 in Kars Central District; %55 and %16 in Damal; %28 and %27 in Olur; %24 and %12 in Şenkaya; %23 and %13 in Çıldır and %20 and %17 in Susuz. Besides, the shares of the population that could reach *waste collection service* were also quite below the national average (%83), in 2010. The related rates were %68 in Kars Central District; %55 in Damal; %27 in Olur; %23 in Çıldır; %20 in Susuz and %16 in Şenkaya (TÜİK 2011a; 2011b; 2011c).

schooling in primary and secondary education) also rose in absolute terms, they were still below the average literacy and education indicators of Turkey, either.³⁷

The district and village communities in the KKKP area had a traditional and rural life, shaped by traditions, religion, routines of the homogenous agricultural activities, and familial and tribal relationships. The civil society associational life were quite weak in the districts and villages of the KKKP area. The structure had rather consisted of agricultural cooperatives; and only a few NGOs and chambers existed, in each district (ibid.: 45-46).³⁸

The ethnic structure in the pilot districts and villages had consisted of Turks, Terekeme, Azeri and Kurdish tribes who were Sunnite Muslims.³⁹ There were also Alevite Turcomans, especially in the pilot localities of Ardahan and Kars. Azeri and Kurdish population was rather dense in the districts of Kars; and Terekeme population lived in the districts and villages of Ardahan, Kars and Eastern parts of Erzurum (ibid.: 38-40).

In the pilot villages of KKKP, the native peasants usually had big families where three generations lived in the same household. The conditions of women in the households and the community life were quite inferior because of the patriarchal traditions. The mobility of peasant women out of the villages (e.g. their travels to the district centers) was usually accompanied and surveilled by men. Although peasant women had quite important roles in agricultural activities of the households; they were prevented from taking more active roles out of the household, in the local economy and public places. The commercial activities of women (e.g. selling the household products which they produced in the local district markets) were restricted by the village communities. Men had the privilege to trade the domestic production (ibid.: 41-44).

In the beginning of KKKP, the female literacy was seriously less than the male literacy; and notably below the national averages, in the pilot districts and villages.⁴⁰ The opportunities

³⁷ Although the rates of literacy rose for all districts of former KKKP area in a decade's time; they stayed under the national average of literacy in Turkey (%95), in 2011. The rate of literacy was %94 in Kars Central District; %90 in Çıldır, Damal and Susuz; %89 in Şenkaya and %88 in Olur, in this year (TÜİK 2011a; 2011b; 2011c). Besides, the schooling rates for the provinces of the former KKKP area also stayed rather below the national averages, in 2010. The net schooling rates in the primary and secondary education were %97 and %50, in Erzurum; %96 and %43 in Kars; and %97 and %55 in Ardahan. The national average net schooling rates were %98 and %66, in 2010 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

³⁸ As of 2001, the number of associations, chambers and cooperatives were respectively 3, 1 and 4 in Çıldır; 1, 1 and 3 in Damal; 2, 1, and 3 in Olur; 3, 1 and 20 in Şenkaya; and 1, 1, and 3 in Susuz (AÜ/SÜRKAL/UNDP 2002: 46).

³⁹ Terekeme (or Karapapak) is a Turkic tribe which has a Turkish dialect similar to Azeri dialect. They are especially settled in Kars, Ardahan, İğdir and Eastern parts of Erzurum (Tozlu 2005; <http://en.wikipedia.org/wiki/Karapapak>).

⁴⁰ In the 6 districts of KKKP area, the rates female literacy were in the interval of %70-%79; while the rates of male literacy were in the interval of %90-%95, in 2000. The interval of the rate of female literacy was under the national average (%81) of the same year (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

of girls to have secondary and higher education were dramatically less than boys' opportunities.⁴¹

After DAKAP, the disadvantages and deprivations of women were not overcome. The gap between the rates of female and male literacy in the former pilot districts of KKKP didn't close wholly, despite a relative decrease; and the gap between the rates of female literacy in these localities and the national average stayed almost the same.⁴² Besides, the gender inequality in the secondary and higher education still continued, after a decade's time.⁴³

7.5.2. Eastern Anatolia Entrepreneurship Support Project (DAGİDES)

DAKAP Coordination started the preliminary stage of DAGİDES, in 2002. DAGİDES had been directly steered by DAKAP Coordination. Implementations of DAGİDES started officially, by the establishment of *Erzurum Entrepreneurship Support Center (Erzurum GİDEM)* in the body of Atatürk University, in January 1, 2003. It ended in June 30, 2006 and its activities costed a total amount of around 410.000 USD (UNDP/AÜ 2005: 8; Ruszczyk 2006: 15). DAGİDES was planned to be implemented in TRA1 region which includes Erzurum, Erzincan and Bayburt provinces. The target implementation area of DAGİDES is shown in Map 7.3.

The central objective of DAGİDES was increasing “the entrepreneurial, productive and institutional capacity of the region's SMEs and entrepreneurs, and their empowerment in the development process” (Ruszczyk 2006: 15). It aimed at creating some participative, effective, sustainable, repeatable and extendable examples of development in some pilot local economic sectors which would lead the economic development further, in the whole region. It also aimed at supporting the commercial and investment activities by developing new business ideas, and solutions to the problems of local investors and entrepreneurs; providing local producers and entrepreneurs with trainings and supervisory services on organization, entrepreneurship, PCM, business management, capacity

⁴¹ In 2000, in the 5 districts of KKKP area (Kars Central District is excluded as an outlier), the rates of the female graduates of primary education varied in the interval of %36-%52; while the rates of female graduates of secondary education fell to the interval of %2-%5. These intervals were %45-%52 and %9-%13 for the male graduates. When higher education was considered, the interval of the rates of male graduates was %2-%4; while the rate of female graduates was only %1 in all 5 districts (ibid.). The gender inequality is clear.

⁴² In 2011, the rates female literacy rose to the interval of %82-%89; while the rates of male literacy rose to the interval of %94-%98; and the national average of female literacy rose to %92 (TÜİK 2011a; 2011b; 2011c).

⁴³ The gap between the male and female schooling rates in the secondary education is an indicator of this on-going inequality, in Erzurum and Kars, in 2010. In these provinces, the schooling rates in the secondary education were %43 and %42 for young women; while the same rates for young men were %56 and %45 respectively. Only in Ardahan these rates were almost equal (both around %55) (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

development, productivity and efficiency; promoting local public, private and civil actors towards cooperative partnerships for joint economic and social development initiatives. Specific target groups were local entrepreneurs, investors and producers (SMEs) in leading local economic sectors; and the local disadvantaged groups like women, unemployed youth, small land owner peasants and the disabled people. DAGİDES had a specific focus on entrepreneurship of women for creating their self-employed SMEs (UNDP/AÜ 2005: 54).



Map 7.3 The Target Implementation Area of DAGİDES

The localities of the DAGİDES implementation area are also all in the *roof of Turkey* that is the North-East of the country. As seen in Table 7.3 the average altitude of the 3 province centers in the KKKP implementation area is 1.542 meters. The continental climate, thus cold and hard physical conditions of winter are dominant, specifically in Erzurum and Erzincan (Genç 2002: 7). Bayburt is partly in the Eastern Black Sea Region. So, the climate conditions in Bayburt is rather a passage between continental climate and Black Sea climate (<http://www.bayburt.gov.tr>).

In the beginning of DAKAP, Bayburt and Erzincan were some of the least populated provinces, in Turkey. As shown in Table 7.3, population of each province was quite below the average per province (837.086), in 2000. On the other hand, with its University and as one of the main army headquarters, Erzurum was a quite more cosmopolitan and

crowded city.⁴⁴ However, the population density of all three provinces were quite below the average density in Turkey (88 persons/km²), in 2000.⁴⁵

Table 7.3 Geographical and Demographical Conditions of DAGİDES Area

Province	Altitude of the Province Center (m)	Total Land Area (km ²)	Num. of Dist.	Num. of Vill.	Population							
					Urban Population (Prov. & Dist. Centers)		Rural Population (Towns + Villages)		Total		Population Density (person/km ²)	
					2000	2010	2000	2010	2000	2010	2000	2010
Erzurum	1.890	25.323	20	966	60%	64%	40%	36%	937.389	769.085	37	30
Bayburt	1.550	3.739	3	165	42%	50%	58%	50%	97.358	74.412	26	20
Erzincan	1.185	11.619	9	529	54%	60%	46%	40%	316.841	224.949	27	19
TOTAL	-	40.681	32	1.660	-	-	-	-	1.351.588	1.068.446	-	-
AVERAGE	1.542	13.560	11	553	57%	62%	43%	38%	450.529	356.149	33	26
AVERAGE BY PROVINCE IN TURKEY	-	-	-	-	65%	76%	35%	24%	837.086	910.160	88	96

Source: TÜİK Regional Statistics Query (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>)

In TRA1, although the rates of urban population in Erzurum and Erzincan (%60 and %54); and the average rate of urban population (%57) were over %50; these rates were below Turkey's average rate of urban population (%65), in 2000. Thus in the beginning of DAGİDES, TRA1 subregion was rather a rural area, with respect to the generality of Turkey.

In the year of the research survey (2010) the demographic structure of the TRA1 subregion was worsened.⁴⁶ As shown in Table 7.3, all provinces (Erzurum, Erzincan and Bayburt) lost their population with continuous migration; and their population density decreased, while the average population density increased in Turkey (96 persons/km²), in 2010.⁴⁷ Although the rates of urban population increased slightly in all provinces, they were

⁴⁴ Erzurum, Erzincan and Bayburt were the 21st, 59th and 80th most populated provinces among 81 provinces, in 2000 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

⁴⁵ Erzurum, Erzincan and Bayburt were the 67th, 76th and 80th most densely populated provinces among 81 provinces, in 2000 (ibid.).

⁴⁶ Erzurum, Erzincan and Bayburt were the 25th, 69th and 81st most populated provinces; and the 70th, 80th and 78th most densely populated provinces among 81 provinces, in 2010 (ibid.). So, the demographic conditions worsened in all three provinces.

⁴⁷ In 2000, all three provinces had net out-migration. Erzurum had the 4th highest net out-migration among 81 provinces of Turkey; while Erzincan was the 56th and Bayburt was the 43rd in the same list. In 2010, Erzurum and Bayburt still had net out-migration. Erzurum had the 3rd and Bayburt had the 52nd highest net out-migration, in Turkey. However, Erzincan had a slight net in-migration, in 2010 (ibid.).

still below the average rate of urban population in Turkey (%76). So the TRA1 was still rural, with respect to the generality of Turkey, in 2010.

As a matter of fact, most district centers of TRA1 subregion could still be hardly considered as *urban*. They have rather been specialized in the agricultural activities and strongly articulated with the rural area surrounding them. So, their socioeconomic conditions and sociocultural characteristics resemble the villages around them (DPT/UNDP/YTÜ/AÜ 2005: 6-7).

As stated above, the dominant economic activity in TRA1 subregion was *agriculture* during DAKAP years.⁴⁸ In Erzurum, the *value of the livestock* and the *value of animal products* were over the respective average values by province; and the dominant share of the agricultural production came from animal husbandry, in 2001.⁴⁹ In Bayburt, although the dominant share of the agricultural production came from animal husbandry; the *value of the livestock* and the *value of animal products* were quite below the respective average values by province.⁵⁰ The values of crop production were considerably below the average value of crop production by province, in Erzurum and Bayburt.⁵¹ In Erzincan, the dominant share of the agricultural production came from crop production. Yet, the value of crop production was also quite below the average value of crop production by province, in this province.⁵²

Consequently, in the beginning of DAGİDES, although the dominant economic activity was agriculture in TRA1 subregion; the productivity of the sector was so low that the total agricultural production in its provinces and in the whole subregion was quite below the averages in Turkey.⁵³ Furthermore, the non-agricultural sectors were not

⁴⁸ See Footnote 8.

⁴⁹ Erzurum had the 3rd highest value of livestock (257.962.000 TL); and the 11th highest value of animal products (142.777.000 TL) among the 81 provinces, in 2001. The share of the value of animal products was %62 in Erzurum, in the same year (ibid.).

⁵⁰ Bayburt had the 67th highest value of livestock; and the 76th highest value of animal products among the 81 provinces, in 2001. The share of the value of animal products in the total agricultural production of Bayburt was %53, in the same year (ibid.).

⁵¹ In Erzurum and Bayburt, the values of crop production were 89.189.000 TL and 12.417.000 TL respectively; while the average value of crop production by province was 247.129.000 TL, in Turkey, in 2001. These were the 58th and 81st highest values of crop production among 81 provinces (ibid.).

⁵² In Erzincan, the value of crop production, the value of livestock and the value of animal products were 109.361.000 TL, 93.040.000 TL and 53.848.000 TL respectively; while average value of livestock and average animal products by province were 247.129.000 TL, 102.494.000 TL and 74.927.000 TL, in Turkey, in 2001. So Erzincan was rather under the national averages of Turkish provinces in both crop production and animal products. But the share of crop production in agriculture was %67 (ibid.).

⁵³ In Erzurum, Erzincan and Bayburt, the total values of agricultural production (value of crop production + value of animal products) were 231.966.000 TL, 163.209.000 TL and 26.625.000 TL respectively, while average agricultural production by province was 322.056.000 TL. Thus, the total agricultural production in TRA1 (421.800.000 TL) was also quite below the average by NUTS2 subregion (around 1.003.328.000 TL) (ibid.).

mature in the provinces of TRA1, either. The number of the productive units and the number of the employees in these sectors were seriously below the respective averages by province.⁵⁴ As an unavoidable result the per capita income levels in the provinces of TRA1 region were among the poorest provinces, in the beginning of DAGİDES.⁵⁵

The economic conditions of TRA1 subregion didn't change much after DAKAP. In the year of the research survey (2010), although the employment rates in the non-economic sectors increased in certain degrees, the dominant economic activity was still agriculture, in TRA1.⁵⁶ Although the economic sectors and the production improved relatively; the total agricultural production in the subregion was still below the average production by subregion, in Turkey;⁵⁷ and the non-agricultural sectors were still backwards with respect to the subregional averages in Turkey.⁵⁸ Nevertheless, from 2001 to 2010, per capita income increased considerably in absolute terms, although it was still below the national per capita income, in 2010.⁵⁹

According to DPT's classification of 81 provinces, TRA1 provinces were classified in the 4th and 5th (the upper-bottom and bottom) groups of socioeconomic development, in 2003.⁶⁰ So, in the beginning of DAGİDES, the provinces of TRA1 region rather had poor socioeconomic conditions. This was especially true for their rural area and village settlements. Nevertheless, the urban localities, more specifically the *province centers* had rather more mature infrastructures and more socioeconomic facilities available for urban social groups. So, when the province centers included, the health and education facilities

⁵⁴ In Erzurum, Erzincan and Bayburt, the numbers of local units in non-agricultural production were 14.170, 4.443 and 2.049 respectively, in 2002; while the average number of local units by province was 22.941, in Turkey. Besides, the numbers of employment in non-agricultural production were 34.885, 12.455 and 4.049 respectively; while the related average was 80.210 by province (ibid.).

⁵⁵ Erzurum, Erzincan and Bayburt had 1.286 TL, 1.403 TL and 1.232 TL per capita incomes; while per capita income in Turkey was 2.600 TL, in current prices of 2001. They were the 65th, 57th and 66th richest provinces among 81 provinces, in 2001 (ibid.).

⁵⁶ See Footnote 15.

⁵⁷ The total agricultural production in TRA1 subregion was 2.093.283.000 TL; while the average agricultural production by subregion was 4.544.856.000 TL in Turkey, in 2010 (ibid.).

⁵⁸ In 2010, TRA1 subregion had 24.544 local units and 75.510 employments in the non-agricultural production sectors; while the respective averages were 95.694 and 392.205 by subregion (ibid.). TRA1 had the 24th highest number of local units; and 23rd highest number of employment in non-agricultural sectors, among 26 NUTS' subregions (ibid.).

⁵⁹ See Footnote 21.

⁶⁰ Erzurum, Erzincan and Bayburt were in the 60th, 58th and 66th orders respectively, in the ranking of 81 provinces with respect to their socioeconomic development, in 2003. Erzurum and Erzincan were included to the 4th group; while Bayburt was classified in the least developed 5th group (DPT 2003: 55).

of the TRA1 region were able to reach up to a considerable level.⁶¹ This was especially true for Erzurum province.⁶²

In 2000, although the rate of literacy was below (but close to) the national average rate of literacy; the shares of the secondary and higher education graduates in TRA1 population varied around the national average rates in Turkey. This showed that people of TRA1 had reached some opportunities for carrying on their education further than the primary school, up to a certain level, in the beginning of DAGİDES. This was specifically true for Erzincan province.⁶³ However, the education opportunities were not equal between *genders*, in 2000. The rate of female literacy and the proportions of the female graduates of secondary and higher education were dramatically lower than the respective rates for male population.⁶⁴

In TRA1, the facilities of health and education improved significantly in ten years' time, up to 2010, the year of the research survey.⁶⁵ However, the development of the infrastructure of the human settlements had rather stayed under the national averages.⁶⁶ Although the rate of total literacy increased, in ten years' time, it stayed below the national average rates, too. In addition, although the net schooling rate was rather close to the national average in the primary education; it was quite below the national average in the secondary education.⁶⁷

⁶¹ TRA1 subregion had 2,3 hospitals, 242 sickbeds and 490 health professionals per 100.000 people, in 2001. It also had 1 school for each 143 students; and 1 teacher for each 25 students, in the same year. Some of these figures were relatively better scores than the respective national averages; and some of them were quite close to the national averages. The national averages were 1,8 hospitals, 208 sickbeds and 568 health professionals per 100.000 people; and 1 school for 262 students and 1 teacher for 26 students, in 2001 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

⁶² See Footnote 24.

⁶³ In TRA1 subregion, the rates of literacy, secondary education graduation and higher education graduation were %85, %14 and %4 respectively; while the related national averages were %87, %13 and %5 respectively, in 2000. These rates were %87, %16 and %4, in Erzincan, in the same year (*ibid.*).

⁶⁴ In TRA1, the rates of female literacy, female graduation from secondary education and female graduation from higher education were %76, %8 and %2 respectively, in 2000. These rates were %93, %19 and %6 for the male population, in the same year. The gender inequality in education opportunities is clear again (*ibid.*).

⁶⁵ In 2010, TRA1 subregion had 3,3 hospitals, 363 sickbeds and 823 health professionals per 100.000 people, in 2001. It also had 1 school for each 125 students; and 1 teacher for each 18 students. These figures were all significantly better scores than the respective national averages of the same year that is 1,9 hospitals, 250 sickbeds and 759 health professionals per 100.000 people; and 1 school for 242 students and 1 teacher for 22 students (*ibid.*).

⁶⁶ In 2010, the proportions of the population that could benefit from the *fresh water* and *sanitation installations* (%69 and %64) were rather below Turkey's national averages (%82 and %73), in the settlements of TRA1 subregion. Besides, the share of the population that could reach *waste collection service* in TRA1 (%69) was also below the national average (%83), in 2010 (TÜİK 2011a; 2011d; 2011e).

⁶⁷ In TRA1, the rate of total literacy rose to %91, in 2010. But, it was still below the national average rate of literacy (%94), in Turkey. The net schooling rates in primary and secondary education (%97 and %56) were also below the national average rate of net schooling (%98 and %66), in 2010 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

Besides, the gender inequalities in education opportunities continued in 2010, despite a certain level of recovery. The gaps between the rates of male and female literacy; and between the male and female net schooling rates in secondary education were still persistent, in 2010.⁶⁸

The rural area of the TRA1 provinces involves a multitude of ethnic groups, like Sunnite Turks and Terekemes, and Alevite Zaza tribes and Turcomans living in various distinct villages (http://commons.wikimedia.org/wiki/File:Ethnic_Groups_Turkey_Dutch.jpg). Erzurum is populated majorly by Sunnite Turks, who are sometimes called as *Dadaş* people. Nevertheless, Erzurum province also hosts some Sunnite Terekemes and Kurds; and some Alevite Turcomans and Zaza people, in various villages and districts. Bayburt and Erzincan are also populated by Sunnite Turks, in general; while Erzincan province also hosts some Alevite Zaza population (<http://en.wikipedia.org/wiki/Karapapak>; http://tr.wikipedia.org/wiki/Türkiye_Kürtleri; <http://tr.wikipedia.org/wiki/Zazalar>).

As stated above, most district centers in TRA1 subregion have rather bore rural characteristics. Thus, they have reflected rural and traditional sociocultural characteristics, truly resembling the villages around them (DPT/UNDP/YTÜ/AÜ 2005: 6-7). However, the LGPs and most DAGİDES implementations had rather been actualized in *relatively* more developed and urbanized localities, specifically in the province centers like Erzurum and Bayburt; and in some big district centers like Oltu, where a relative economic specialization in non-agricultural sectors took place (ibid.).

These localities involved a *relatively* higher diversification of social sectors and their interests. So, the civil society of the urban implementation area of DAGİDES had been relatively more structured, denser and stronger when compared to the rural areas of KKKP and DATUR. There were more NGOs and QUANGOs in number, with wider grassroots contact and support. Thus, their representative, institutional, financial and human capacities were relatively better. Their participative capacities to the urban public sphere, local politics and public administration were relatively higher.

These were specifically true for Erzurum which is an important urban center in the region. It was a more cosmopolitan city, involving a huge and heterogenous population

⁶⁸ In 2010, the rates of male and female literacy were %96 and %85 respectively; while the related national averages were %98 and %90 respectively, in TRA1 subregion. In addition, the male and female schooling rates at the secondary education were %63 and %49; while the related national averages were %68 for young men and %64 for young women. So, there was still a clear gap between the education opportunities of men and women (ibid.).

of university students, and civil and military bureaucrats from various parts of Turkey. It was the city where non-agricultural sectors (especially the service sector, trade and a certain level of industry) were the most developed in TRA1. It had the biggest shares of the non-agricultural production units and non-agricultural employment in TRA1 (%69 and %68), in 2002; and it had the lion's share (%65) in the total population employed in the industrial sector in TRA1, in 2000 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>). Thus the rather more mature urban socioeconomic and sociocultural characteristics were mostly seen, in Erzurum, in TRA1 (DPT/UNDP/YTÜ/AÜ 2005).

7.5.3. Eastern Anatolia Tourism Development Project (DATUR)

The preliminary stage of DATUR component started in 2002 and lasted until July 2003. Implementation of DATUR began on July 7, 2003 and ended in June 30, 2006. It was implemented in Çoruh River Valley rural area, and İspir (Erzurum) and Yusufeli (Artvin) districts.



Map 7.4 The Implementation Area of DATUR

The implementation area of DATUR may be seen in Map 7.4. DATUR activities costed an amount of around 500.000 USD. It was steered by UNDP officials (DATUR Coordination), in cooperation with academicians from Atatürk University İspir High School, according to the prepared Action Plan. DATUR Coordination established two Field Offices in İspir and Yusufeli (UNDP/AÜ 2005: 8; Ruszczyk 2006: 17).

Its main goals were developing a human centered, sustainable and participative local strategy for tourism based local development; and starting a process of change for the agricultural structure of the local economy, towards a tourism based one. It specifically aimed at creating *local trademarks* in rural tourism; enhancing the well-being of the disadvantaged groups; determining, developing and presenting the local tourism potentials as marketable products; supporting and supervising local entrepreneurship on rural tourism; providing new employment and marketing opportunities and increasing the quality, efficiency and value-added in local tourism sector (ibid.: 83; <http://www.Undp.org.tr/Gozlem2.aspx?WebSayfaNo=27>).

As shown in Table 7.4 the average altitude of the district centers in the DATUR implementation area is 870 meters. Like the other localities in the North-East of Turkey, İspir is also among the highest places in Turkey. Although Yusufeli is relatively at a lower altitude itself (560 m.), the altitude of its villages and towns reach over 2000 meters (www.yusufeli.gov.tr). Both İspir and Yusufeli are at the border line between the Eastern Anatolia and Black Sea regions. So the dominant climate in these districts is a transitional one between the Continental and Black Sea climate conditions. So, they face rather less fierce winters than the rest of the North Eastern Anatolia (Genç 2002: 7-8).

Table 7.4 Geographical and Demographical Conditions of DATUR Area

Locality		Altitude of the District Center (meters)	Land Area (km ²)	Number of Villages	Population							
Province	District				Total		Urban Area (District Center)		Rural Area (Towns+ Villages)		Density (person/km ²)	
					2000	2010	2000	2010	2000	2010	2000	2010
Erzurum	İspir	1.180	2.012	87	29.337	16.741	38%	38%	62%	62%	15	8
Artvin	Yusufeli	560	2.270	62	29.133	21.513	21%	27%	79%	73%	13	9
TOTAL		-	4.282	149	17.293	38.254	-	-	-	-	-	-
AVERAGE		870	2.141	75	8.647	19.127	30%	33%	70%	67%	14	9
AVERAGE BY DISTRICT IN TURKEY					73.460	77.036	65%	76%	35%	24%	88	96

Source: TÜİK Regional Statistics Query (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>)

İspir and Yusufeli are some of the least populated localities in Turkey, like the districts of the KKKP area. In the beginning of DAKAP (in 2000), the total population of the districts were quite below the average district population in Turkey (73.460 persons). The population density of İspir and Yusufeli were dramatically below the average density in Turkey (88 persons/km²), in 2000. The rates of urban population in these 2 districts were quite below Turkey's average rate of urban population (%65); so the DATUR implementation area was also quite a rural one, just like the KKKP area, in 2000.

The demographic structure of the districts of the DATUR implementation area had also worsened until 2010, the year of the research survey. Both İspir and Yusufeli had lost the considerable portion of their population with continuous net out-migration, as in the cases of KKKP and DAGİDES localities.⁶⁹ Population density decreased in both districts, although the average population density increased in Turkey (96 persons/km²). Although the rate of urban population increased in Yusufeli, in 2010; it stayed the same in İspir, as seen in Table 7.4. So, the rate of urban population in both districts were still quite below the average rate of urban population in Turkey (%76); and the former DATUR area was still rural, in 2010.

As mentioned before, the *dominant economic activity* in the TRA1 subregion, where Erzurum province and İspir district stand, had been *agriculture* in the implementation period of DAKAP.⁷⁰ In the beginning of DAKAP (in 2001), the dominant agricultural activity was animal husbandry, in Erzurum. The dominant share of the agricultural production came from animal products rather than crop production; and the value of animal products was more than the values of the other provinces of KKKP and DAGİDES. It was also two times the average value by province in Turkey. The non-agricultural sectors were most developed in Erzurum among all other provinces of DAKAP area; but the numbers of non-agricultural economic units and employment were still quite below the related average numbers by province in Turkey.⁷¹

Agriculture was also the dominant activity in TR90 subregion where Artvin province and Yusufeli district stand, in 2001.⁷² But the dominant share of the agricultural production came

⁶⁹ As stated before (see footnotes 6 and 7), Erzurum faced a fast and continuous net out-migration in 2000s. Artvin had also faced a continuous, but slower and decelerating out-migration in this decade. It had the 31st highest net out-migration among 81 provinces of Turkey, with 11.560 people, in 2000; and the 50th highest net out-migration with 873 people, in 2010 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

⁷⁰ See footnote 8.

⁷¹ See footnotes 43, 44 and 48.

⁷² In TR90, the shares of the local population employed in agriculture, industry and services were %62, %8 and %30 respectively, in 2004 (ibid.).

from crop production, rather than animal products in Artvin. However, it was still quite below the average value of crop production by province in Turkey.⁷³ In Artvin, the shortage of arable land was a more serious problem than the other provinces in KKKP and DAGİDES areas.⁷⁴ Despite this fact, the use of land in agriculture was more efficient in Artvin; and the value of crop production was over the values in most other provinces of DAKAP area, except for Erzurum.⁷⁵ Moreover, in the beginning of DATUR, the non-agricultural sectors were also relatively more developed in Artvin, with respect to the most other provinces of DAKAP area, except for Erzurum. In addition, Artvin had the highest score in exports among 6 provinces of DAKAP area.⁷⁶ Consequently, Artvin had the highest per capita income; and the 2nd highest total income among the provinces of DAKAP area, in 2001.⁷⁷

The dominant characteristics of the economic activities and the dominance of agricultural sector didn't change much, in TRA1 and TR90 subregions, after DAKAP.⁷⁸ Besides, although the income levels increased significantly in these subregions in absolute terms; they didn't change significantly in comparison with Turkey's national average income, after DAKAP.⁷⁹ In the days of the research survey (in 2010), both provinces experienced considerable increases in both crop production and animal production, in absolute terms. But, the dominant agricultural activity was still animal husbandry, in Erzurum; and crop

⁷³ In Artvin, the value of crop production, the value of livestock and the value of animal products were 51.945.000 TL, 40.003.000 TL and 37.589.000 TL respectively; and the share of crop production in agriculture was %58, in 2001. Meanwhile, average values of crop production, livestock and animal products by province were 247.129.000 TL, 102.494.000 TL and 74.927.000 TL, in Turkey. So, although crop production had the higher share in agricultural production of Artvin, it was quite under the average value by province (ibid.).

⁷⁴ The share of the arable land (including the land under permanent crops) was just %4 in Artvin. This was quite below the respective shares in the other provinces of DAKAP area where the rates varied between %11 and %24. It was also dramatically below the national average share of arable land (%34), in 2001 (ibid.).

⁷⁵ Artvin occupied the 69th order among 81 provinces in the value of crop production. It was over Kars, Ardahan and Bayburt which had the 70th, 79th and 81st orders, in 2001. Only Erzurum and Erzurum had higher values of crop production (51st and 58th) than Artvin (ibid.).

⁷⁶ The average number of local enterprises and average number of employment in non-agricultural sectors by province were 22.942 and 80.210; while the average score of exports by province was USD 445.039.000, in 2002. Artvin had the 63th highest number of local enterprises, with 5.572 units; the 68th highest number of employment in non-agricultural sectors, with 11.383 people; and the 52th highest exports score with USD 8.286.000 (where USD 8.034.000 came from non-agricultural sectors) in 2002. So, although these figures were quite below Turkey's averages, they were higher than most other provinces in DAKAP area (ibid.).

⁷⁷ In 2001, the total GDP was 496.725.192 TL, in Artvin; while it was 1.205.482.254 TL in Erzurum. Artvin was better off than Erzurum with respect to per capita GDP, because it had a far less population than Erzurum. Artvin had the 21st highest GDP per capita among 81 provinces with 2.588 TL; while Erzurum had the 65th, with 1.286 TL. However, these figures were still under the national per capita GDP (2.600 TL), in 2001 (ibid.).

⁷⁸ In the year of the research survey (2010), although the shares of the population employed in the non-agricultural sectors rose notably (from %38 to %45), agriculture still had the dominant share (%55), in TR90. There was a parallel change in TRA1 (see footnote 21 and 15). In both subregions the share of the agricultural employment was still quite over the national average (%25), in 2010 (ibid.).

⁷⁹ Per capita GDPs in TR90 and TRA1 (1.730 TL and 1.309 TL) were quite below Turkey's per capita GDP (2.600 TL), in current prices of 2001; and they were in the 19th and 23th orders in the list of 26 NUTS2 subregions. In 2010, per capita GVA in TR90 and TRA1 (10.160 TL and 8.734 TL) were still below Turkey's per capita GVA (12.020 TL), in current prices of 2010; although they rose to the 14th and 19th orders in the list.

production in Artvin, although the share of the arable land didn't increase notably.⁸⁰ In 2010, the non-agricultural production and exports of both provinces increased notably, in absolute terms;⁸¹ but, the relative conditions of non-agricultural sectors and exports didn't improve notably with respect to Turkey's national averages.⁸²

In the beginning of DATUR, its implementation area had lower-medium socioeconomic conditions. Yusufeli and İspir were both classified in the 4th (lower-medium) group according to their level of socioeconomic development, in the list of 872 districts, in 2004 (DPT 2004);⁸³ while Artvin and Erzurum were classified in the 3rd (the medium) and the 4th (lower-medium) groups, in the list of 81 provinces (DPT 2003).⁸⁴ Although the health and education facilities in Artvin province were quite below the respective averages by province in Turkey; Erzurum people had relatively better health and education opportunities, in 2001.⁸⁵ In Yusufeli and İspir, the rates of literacy were below Turkey's national average.⁸⁶ The shares of primary education graduates in these districts varied around the national average; while the shares of secondary and higher education graduates were rather below the national averages.⁸⁷

Although the health and educational facilities in Erzurum had improved until 2010; they had rather deteriorated in 10 years and were still quite below the average indicators

⁸⁰ In 2010, the values of crop production and animal products rose to 276.267.000 TL and 188.014.000 TL, in Artvin. (For the increases in Erzurum see footnotes 16-19). The share of the value of animal products rose to %76 in Erzurum; while the share of crop production rose to %60, in Artvin. Erzurum rose from the 11th order to the 7th in the ranking of 81 provinces with respect to the value of animal products. Artvin rose from the 69th order to 61st with respect to the value of crop production, although the share of the arable land in Artvin was %5, in 2010 (ibid.).

⁸¹ From 2002 to 2010, the total amounts of exports increased from USD 7.077.000 to USD 38.439.000 (%544), in Erzurum; and from USD 8.286.000 to USD 61.215.000 (%739), in Artvin. As for some rough indicators of the development of non-agricultural sectors in Erzurum and Artvin; the exported non-agricultural goods and services increased at %445 and %622 in these provinces respectively (ibid.).

⁸² Artvin had significantly higher amounts of exports with respect to the other provinces in DAKAP area, in both 2002 and 2010. Erzurum was the 2nd best scorer in exports. However, the scores of both provinces were still quite below the national average exports by province that is USD 445.039.000 in 2002 and USD 1.405.956.000 in 2010 (ibid.).

⁸³ In the 2004 study of DPT, İspir and Yusufeli were in the 629th and 647th orders among 872 districts; and were both classified in the 4th group according to their socioeconomic development (DPT 2004: 100-102).

⁸⁴ In the study made by DPT, in 2003; Artvin and Erzurum were in the 43rd and 60th orders and in the 3rd and 4th groups respectively, among 81 provinces ranked and classified with respect to their socioeconomic development (DPT 2003: 55).

⁸⁵ In Artvin province, the number of hospitals, sickbeds and health professionals (10, 484 and 1.164 respectively) were quite below the respective average numbers by province (15, 1.737 and 4.754), in 2001. The number of schools and teachers (250 and 1.849) were quite below the averages by province (628 schools and 6.434 teachers per province), as well. However, Erzurum province had better numbers of health and education facilities, which were all over the respective average numbers by province (see footnote 24), in 2001 (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

⁸⁶ In Yusufeli and İspir, the rates of literacy were %82 and %79; while national average was %87 in Turkey, in 2000 (ibid.).

⁸⁷ The rates of primary education graduates in Yusufeli (%50) and İspir (%44) varied around the respective national average (%47). However, in Yusufeli and İspir, the rates of secondary education (high school) graduates (%8 and %9) and higher education graduates (%1 for both) were both rather below the national averages (%13 and %5), in 2000 (ibid.).

of Turkey, in Artvin, in 2010.⁸⁸ In both Yusufeli and İspir, the indicators of infrastructural conditions, like fresh water and sanitation had stayed seriously below the national averages, in 2010.⁸⁹ In these districts, although the rate of literacy also rose in absolute terms, they were still below the national rate of literacy in Turkey, as well.⁹⁰

The ethnic structure in İspir and Yusufeli had consisted of Sunnite Turks. There were not notable numbers of other specific ethnic groups or minorities to be mentioned (http://commons.wikimedia.org/wiki/File:Ethnic_Groups_Turkey_Dutch.jpg). Just like the case of KKKP area, the people of İspir and Yusufeli had a traditional and rural life, shaped by traditions, religion, routines of the homogenous agricultural activities, and familial and tribal relationships. Besides, the local civil society and associational life were quite weak. The institutional structure had consisted of only a few NGOs (sports clubs) and chambers in these districts, in the beginning of DATUR (www.ispir.gov.tr; www.yusufeli.gov.tr).

In Yusufeli and İspir, there was a clear gender inequality in education, too, in the beginning of DATUR. The female literacy was seriously less than the male literacy; and notably below the national averages, in the pilot districts and villages.⁹¹ In addition, the opportunities of girls to have secondary and higher education were dramatically less than boys' opportunities.⁹² After DAKAP, the disadvantages of women in education were not overcome, either. The gap between the local rates of female and male literacy stayed almost the same, despite a relative decrease.⁹³

⁸⁸ In 2010, Artvin province had 8 hospitals, 439 sickbeds, 1.383 health professionals, 238 schools and 1.984 teachers. These numbers were still quite below the average numbers by province in Turkey that is 17 hospitals, 2.276 sickbeds; 6.904 health professionals; 860 schools and 9.560 teachers per province, in 2010. On the other hand, Erzurum province still had more health and education facilities (23 hospitals, 3.149 sickbeds, 6.549 health professionals, 1.606 schools and 10.796 teachers) than the average numbers by province (ibid.).

⁸⁹ In 2010, the shares of population that could benefit from the fresh water and sanitation installations were seriously below Turkey's national averages (%82 and %73) in both pilot districts of the DATUR area. The related rates were %32 and %29 in Yusufeli; and %50 and %47 in İspir. Besides, the shares of the population that could reach waste collection service were also quite below the national average (%83), in 2010. The related rates were %33 in Yusufeli and %48 in İspir (TÜİK 2011a; 2011f).

⁹⁰ Although the rates of literacy rose for all districts of former DATUR area in a decade's time; they were still below the national average of literacy in Turkey (%95), in 2011. The rates of literacy were %92 and %85 in Yusufeli and İspir respectively (TÜİK 2011a; 2011f).

⁹¹ In Yusufeli and İspir, the rates of female literacy were %73 and %67 respectively; while the rates of male literacy were %91 and %90, in 2000. The rates of female literacy were both seriously under the national average (%81) in the same year (<http://tuikapp.tuik.gov.tr/Bolgesel/menuAction.do>).

⁹² In 2000, Yusufeli and İspir had the rates of the female graduates of primary education were %50 and %48; while the rates of female graduates of secondary education fell to %4 and %5 respectively. The rates of male graduates were %50 and %48 in the primary education; and %12 in both districts, in the secondary education. The rates of male graduates in higher education were %5 and %4; while the rate of female graduates in higher education was only %1 in both districts (ibid.).

⁹³ In 2011, the rates of female literacy in Yusufeli and İspir rose to %87 and %75 respectively; while the local rates of male literacy rose to %97 and %94; and the national rate of female literacy rose to %92 (TÜİK 2011a; 2011f).

CHAPTER 8

LOCAL GOVERNANCE IN DAKAP

This chapter handles the first research theme. So, first the LGPs within DAKAP will be introduced. Then, the *exogenous circumstances* surrounding the LGPs; and the qualifications of the *endogenous factors* within the LGPs will be evaluated, with respect to the *endogenous* and *exogenous conditions* of good local governance.

8.1. Initial Stages of Governance in DAKAP

DAKAP was officially initiated when DAKAP Program Document was signed among Atatürk University, UNDP Turkey and Turkish Foreign Ministry, in May 2000, after a two years' period of negotiations between Atatürk University and UNDP Turkey, since 1998. *Atatürk University* (Faculty of Agriculture, Institute for Research on Environmental Problems) was the *steering body* responsible for planning, coordination and implementation of the whole program had been. A *Coordination Center (DAKAP Coordination)* was found within the body of Atatürk University, in January 2001; and had carried on the general coordination of the program in the name of the University. *Academician 1* (Program Coordinator) and *Academician 2* (Program Director) led the activities of DAKAP Coordination.

The major goals, implementation areas, component projects and methods of the Program were determined in the meeting of the Program Executive Committee, in March 2001, with participation of Atatürk University, UNDP, DPT, TOBB, GAP-RDA, as stakeholders (UNDP/AÜ 2005: 7). Then, DAKAP Coordination delegated the steering function to UNDP officials and SÜRKAL. The steering of KKKP implementations was carried on by SÜRKAL; DAKAP Coordination steered the implementations of DAGİDES itself, together with the steering of DAKAP; and DATUR implementations were steered by UNDP officials (DATUR Coordination), in cooperation with academicians from Atatürk University İspir High School.

As for the general monitoring and evaluation of DAKAP and its components, two *program evaluation meetings* were arranged by DAKAP Coordination, UNDP and SÜRKAL, in Erzurum, in 2003 and 2004. The implementations of all three components

were presented and widely discussed by the major stakeholders of the Program, in these meetings.

8.2. LGPs in DAKAP

Each DAKAP component began with a series of *presentation tours* and *preliminary negotiations* with local public administrators, municipal authorities and a variety of local key individual and institutional actors, performed by DAKAP Coordination, in 2001 and 2002. In these tours and negotiations, DAKAP Coordination aimed to present the universal goals of SHD strategy and the specific objectives of DAKAP and KKKP. By this way, it attempted to create advocacy to DAKAP and mobilize the local communities and actors towards participation to KKKP. Meanwhile, DAKAP Coordination made a mapping of the local actors (opinion leaders, NGOs and public authorities) who were open enough to realize the significance of the universal SHD principles and priorities; and the specific objectives of DAKAP.

8.2.1. LGPs in KKKP Component

In the preliminary stage of KKKP, DAKAP Coordination performed a series of presentation tours and negotiations within the rural area of Erzurum, Kars and Ardahan provinces. Then, it decided to invite actors from an area of 9 districts (Narman, Oltu, Olur, Şenkaya, Göle, Çıldır, Digor, Susuz, Uzundere) to the planning stage. Having taken over the role of steering in KKKP, SÜRKAL went on preliminary work in these 9 districts with a *baseline survey* depending on the *rapid rural appraisal* method to get information about the economic, financial and natural potentials, socioeconomic conditions and development needs and demands of the people, during November 25-December 6, 2001. SÜRKAL staff gathered an amount of baseline information about the survey area and benefitted from this information, in the rest of the planning and implementation stages.

Then, SÜRKAL and DAKAP Coordination co-arranged a *participatory fact-finding workshop*, on January 27-29, 2002. SÜRKAL provided a technical supervision for the participants depending on the information provided by the baseline survey. It was a participative, deliberative and systematic meeting where the names of the 3 initial pilot implementation districts (Şenkaya, in Erzurum; Susuz, in Kars; and Çıldır, in Ardahan), a detailed list of specific project objectives, strategies, activities, and a broad

action plan came out as outputs. The major step of designing of a *broad action plan* for KKKP was taken in this workshop.

SÜRKAL performed some 13 more field researches on rural socioeconomic conditions, natural resources (soil analyses, water resources), agricultural potentials, animal breeding, alternative means of living and conditions of women, households and youth. It performed an additional research on the socioeconomic conditions of the slum households, in Kars city center (AÜ/SÜRKAL/UNDP 2006: 5).

During the KKKP implementation stage, the major local PGMs were the *development councils* established in the the districts and villages. In each district, a *District Development Council (İKK)* was set up. SÜRKAL also assigned one or two local *development officials*, in each pilot district in the implementation region. İKK members determined the pilot villages in each district, in April 2002. These were 10 villages (İkizpınar, Gaziler and Aşağıbakraçlı, in Şenkaya; Harmanlı, Kırkpınar and Ağzıaçık, in Susuz; and Aşık Şenlik, Öncül, Akçekale and Semiha Şakir, in Çıldır), in total. In these villages, there performed focus group negotiations and meetings with the peasants to gather information about their development needs and priorities. Detailed implementation packages were prepared for each village, in accord with their demands.

The implementation area extended to 3 more districts (Olur, in Erzurum; Central District of Kars; and Damal, in Ardahan) and 10 more pilot villages (Olgun, Eğlek and Yeşilbağlar, in Olur; Azat, Karakale, Hacıhalil and Benliahmet, in Kars Central District; and Üçdere, Eskikılıç and Kalenderdere, in Damal), in May 2003. The pilot villages reached a population of 10.550, in total (AÜ/SÜRKAL/UNDP 2006: 3).

In the end İKKs were established in 5 of the districts, except for the Central District of Kars. Şenkaya İKK involved 14 members; Çıldır and Susuz İKK involved 11 members; Damal İKK had 8 members; and Olur İKK had 7 members. They involved 51 members in sum. Their members were public officials (usually from district directorships of agriculture, education and health), municipal officials, village headmen, NGO representatives, and representatives from the district and village communities (preferably from women and youth). In the villages, for each project implementation, there established a *village project council*. A number of 25 village project councils were established in total, in 20 villages. 3-4 peasants took role in each council, in average.

Table 8.1 Development Projects and Tasks Initiated and/or Supervised by SÜRKAL

No	Project/Task	Locality	Stakeholders
1	KKKP trainings and demonstrations	All pilot area	Kars Governership
			Şenkaya District Administration
			Olur District Administration
			Susuz District Administration
			Çıldır District Administration
Damal District Administration			
2	Building a dormitory for the women students of Sezgin Yolcu Regional Public School	Çıldır district	Çıldır District Administration
			Association of Philantropists Çıldır Branch
			UNDP Turkey
3	Establishment of Youth Centers	Şenkaya district	Şenkaya District Administration
		Susuz district	Susuz District Administration
		Çıldır district	Çıldır District Administration
		Damal district	Damal District Administration
		Köprüköy district (Erzurum)	Köprüköy District Administration
4	Project on vaccination against brucella	Şenkaya district	Şenkaya District Administration
			Prime Ministry Project for Reducing the Social Risk (SRAP) ¹
5	Project on freshwater fish breeding	Şenkaya district	Şenkaya District Administration
		Şenkaya Wildlife Protection Association	
		Susuz district	Susuz District Administration
6	Project on forestry	Şenkaya district	Şenkaya District Administration
			Şenkaya Wildlife Protection Association
7	Project on toll-making	Damal district	Damal District Administration
			Damal Agricultural Development Association
8	Project on protection of the natural surrounding of Çıldır Lake, and improvement and sustainability of fishery activities around the lake	Çıldır district and Doğruyol town (Arpaçay district-Kars)	Çıldır Lake Protection and Regeneration Association
			Doğruyol Fishery Cooperative
9	Initiative for conveying local fish production to national markets	Çıldır district and Doğruyol town (Arpaçay district-Kars)	Çıldır Lake Protection and Regeneration Association
			Doğruyol Fishery Cooperative
			MİGROS A.Ş.
			CarefourSA A.Ş.
10	Project on construction of a freezing chamber for milk	Olur district	Olur District Administration
			Olur Ormanağzı Village Agricultural Development Association
11	Initiative for conveying geese and çişil cheese products to national markets	Çıldır district	Çıldır District Administration
12	Trainings and demonstrations on pasture regeneration and clean water provision.	All pilot area	Atatürk University Faculty of Agriculture
			District Administrations

¹ SRAP: T.C. Başbakanlık Sosyal Yardımlaşma ve Dayanışmayı Teşvik Fonu Sosyal Riski Azaltma Projesi

İKKs were powerful executive bodies; and they were autonomous in their decisions upon the design and budgeting of detailed annual local action plans. The regular annual designing and budgeting of the implementations had been made by İKKs and SÜRKAL officials together, during annual implementation periods. SÜRKAL officials had directly provided İKKs and the project councils with their financial and physical demands for the routine implementations; and in some rare exceptional implementations when the budget of the Project was sufficient. In cases of extra financial needs, İKKs and SÜRKAL had been looking for extra resources from other funds than DAKAP resources; they had prepared particular projects for this purpose, together.

In project implementations, İKKs and village project councils had worked as *links between the district and village communities*, and SÜRKAL. The local organization of the training projects and other projects had been performed by these councils. The major material and training needs and demands of the district and village communities were determined in these councils and forwarded to SÜRKAL. SÜRKAL had delivered the instructors and other material needs and supervisory services to the district and the village communities by the hands of İKKs and village project councils. İKKs had also performed a simultaneous *local monitoring* of the KKKP implementations. All local implementations had been reviewed and revised during their implementations; and all yearly local performance had been reviewed annually, by the İKKs and SÜRKAL together.

During implementation of KKKP, SÜRKAL established the major partnerships with the district public administrations, and affiliated directorates of agriculture, health and public training. In rare cases, it established partnerships with local NGOS. In the end SÜRKAL initiated or participated to the partnerships with the local and multi-level stakeholders which are shown in Table 8.1.

8.2.2. LGPs in DAGİDES Component

DAKAP Coordination carried on the steering of both DAKAP and DAGİDES component together. In the preliminary stage of DAGİDES, DAKAP Coordination arranged presentation tours to Bayburt and Erzincan; and preferred one-to-one negotiations with key local actors and institutional representatives of the urban target groups, rather than public hearings and meetings.

Table 8.2 Development Projects and Tasks Initiated and/or Supervised by DAKAP Coordination

No	Project/Task	Locality	Stakeholders
1	PCM and PCM Trainer trainings	Erzurum province	Erzurum Governership
			Erzurum Chamber of Trade and Industry (ETSO) ²
		Oltu district (Erzurum)	Oltu District Administration
		Pasinler (Erzurum)	Pasinler District Administration
		Bayburt province	Bayburt Governership
			Bayburt Chamber of Trade and Industry (BTSO) ³
2	Training project on Oltu stone jewellery	Oltu district	Oltu District Administration
			Oltu Vocational High School
			Oltu Amber Association
			Bilgi University
3	Project on organic farming	Rural areas of Erzurum province	Eastern Anatolia Union of Agricultural Producers and Stockfarmers (DATÜB) ⁴
4	Demonstrational trip to the 3rd Organic Products Expo, in İstanbul	Erzurum province	DATÜB
5	Partnership for providing organic flour to Halk Ekmek in İstanbul	Erzurum province	DATÜB İstanbul Metropole Municipality
6	Training project on women entrepreneurship	Erzurum province	Erzurum Entrepreneur Women Association (ER-KADIN) ⁵
			Women Entrepreneurs Association of Turkey (KAGİDER) ⁶
7	Project on strawberry planting and strawberry by-product production	Oltu, Tortum and Narman districts (Erzurum)	ER-KADIN
			Erzurum Governership
			District administrations
8	Strawberry Perfumed Days Festival	Erzurum province	ER-KADIN
			Erzurum Governership
9	Field research and feasibility studies on Bayburt's marble and natural stone reserves	Bayburt province	Bayburt Governership
			BTSO
			Bayburt Marblers' Association
			Turkish Development Bank
10	Trainings on natural stone craftsmanship	Bayburt province	Bayburt Governership
			BTSO
			Bayburt Marblers' Association
11	Establishment of a small factory on raw marble and natural stone processing	Bayburt province	Bayburt Governership
			BTSO
			Bayburt Marblers' Association
12	Establishing and operating an Information Office on EU grant programs	Erzurum province	Erzurum Governership

² ETSO: Erzurum Sanayi ve Ticaret Odası³ BTSO: Bayburt Sanayi ve Ticaret Odası⁴ DATÜB: Doğu Anadolu Tarımsal Üreticiler ve Besiciler Birliği⁵ ER-KADIN: Erzurum Girişimci Kadınlar Derneği⁶ KAGİDER: Türkiye Kadın Girişimciler Derneği

Table 8.2 (Continued)

No	Project/Task	Locality	Stakeholders
13	Establishing and operating EU Project Support Offices	Erzurum and Bayburt provinces	ETSO
			BTSO
			Turkish Young Businessmen Association (TÜGİAD) ⁷
14	Entrepreneurial training project on training women entrepreneurs and providing them with EU credits for capacity increasing	Erzurum province	KOSGEB
			Turkish Labor Agency (İŞKUR) ⁸
			ER-KADIN
15	Demonstrational trip to Bursa on women entrepreneurship	Erzurum province	ER-KADIN
			Bursa Women Entrepreneurship Training Center
16	Demonstrational trip to Şanlıurfa on animal husbandry	Erzurum province	Erzurum Governership
17	Demonstrational trip to Sinop on linen planting and manufacturing	Erzurum province	DATÜB
18	Training project on hothousing with geothermal warming	İlica and Hasankale districts (Erzurum)	EU Thematic Trust Fund
19	Training project on textile craftsmatery for women	Oltu district	ETSO
20	Project on natural gas plumbrery workforce development	Pasinler district	Erzurum Governership
			Erzurum Public Training Center
			Pasinler High School
			Association for Redounding Vocations and Human Resources Development (MESİNDER), as of 2006. ⁹
21	Vocational training projects on	Erzurum province	ER-KADIN
	-rabbit wool spinning		
	-customer hosting in tourism		
	-modern costume design with traditional Eham cloth		
22	Establishment of the Information and Communication Technology Center, in Atatürk University	Erzurum province	CISCO Sytems Corp.
23	Reproductive Health Project (financed by EU grants)	Erzurum province	Turkish Women's Union (TKB) Erzurum Branch ¹⁰
			Atatürk University Nursing High School
24	Reproductive Health Project (financed by EU grants)	Bayburt province	Bayburt Association for Fighting Tuberculosis
			Bayburt Association for Women Cooperation and Solidarity
25	Training project on Oltu stone jewellery design	Pasinler district	Erzurum Union of the Chambers of Artisans and Craftsmen (ESOB) ¹¹

⁷ TÜGİAD: Türkiye Genç İşadamları Derneği

⁸ İŞKUR: Türkiye İş Kurumu

⁹ MESİNDER: Erzurum Meslek Kazandırma ve İnsan Kaynakları Geliştirme Derneği

¹⁰ TKB: Türk Kadınlar Birliği

¹¹ ESOB: Erzurum Esnaf ve Sanatkar Odaları Birliği

In the planning stage, DAKAP Coordination also performed some participative baseline surveys and field researches in Erzurum, Bayburt and Erzincan, in partnership with UNDP Turkey, DPT and Turkish Development Bank. In addition, it went on to arrange some consultative meetings with the target groups and one-to-one negotiations with the potential stakeholders. These meetings and surveys resulted in a general *Work Plan* (UNDP/AÜ 2005: 8; Ruszczyk 2006: 15).

By January 2003, DAKAP Coordination started DAGİDES implementations. During the implementation stage, DAKAP Coordination carried on additional consultative meetings and workshops with a variety of local, national and international stakeholders to initiate new projects in Erzurum, Oltu and Bayburt. It also carried on bilateral negotiations and project partnerships with some local stakeholders for implementation of their particular projects. GİDEMs in Erzurum and Bayburt functioned as both supervision and training provider; and as a PGM to contact with social and economic entrepreneurs; and to establish and carry on some project partnerships with them.

DAKAP Coordination promoted and supported establishment of partnerships among proactive local stakeholders of DAGİDES. It also initiated and/or participated to a series of local and multi-level project partnerships as an active stakeholder and/or supervisor providing project support. The partnerships which DAKAP Coordination initiated and/or participated are shown in Table 8.2.

8.2.3. LGPs in DATUR Component

During the preliminary stage of DATUR, DAKAP Coordination had performed a presentation tour to İspir and Yusufeli districts and negotiated with some of the doorkeeper civil institutional actors and public administrators. In its planning and implementation stages, DATUR had been steered by UNDP officials (DATUR Coordination), in cooperation with academicians from Atatürk University İspir High School. DATUR Coordination didn't prefer consultation meetings open to wider public, like public hearings, to present and design the implementations, in İspir and Yusufeli districts. It had rather maintained one-to-one contacts with the district governors and the mayors, and some unique NGOs. Nevertheless, some open consultation meetings were arranged in the rural areas, like Sirakonaklar village of İspir. It had also carried on close contact with village headmanship, in Sirakonaklar.

Table 8.3 Development Projects and Tasks Initiated and/or Supervised by DATUR Coordination

No	Project/Task	Locality	Stakeholders
1	PCM trainings, and vocational trainings and demonstrations on tourism and animal husbandry	İspir district	İspir District Administration
			İspir Municipality
			Atatürk University İspir Hamza Polat Vocational High School
		Atatürk University	
		Yusufeli district	Yusufeli District Administration
Yusufeli Municipality			
		Atatürk University	
2	Trainings on animal husbandry	İspir and Yusufeli districts	SÜRKAL
3	Compilation of inventories on	Rural area of Çoruh Valley	Atatürk University Faculty of Science
	-the natural wealth of Çoruh Valley		UNDP Turkey
	-the Georgian churches in Çoruh Valley		
	-historical architecture in Sırakonaklar village		
4	Demonstrational trip to Hanover Tourism Expo, in Germany	-	UNDP Turkey
5	Aros Festival and River Cano Championship	İspir and Yusufeli districts	İspir and Yusufeli district administrations
6	Establishment of a guesthouse at the top floor of İspir Town Hall	İspir district	İspir Municipality
7	Building a demonstrational pension, in Sırakonaklar village	Sırakonaklar village (İspir district)	İspir District Administration
			Atatürk University İspir Hamza Polat Vocational High School
8	Project on establishment of 7 new pension enterprises	Sırakonaklar village (İspir district)	İspir District Administration
			Atatürk University İspir Hamza Polat Vocational High School
			SRAP
9	Demonstrational trip to Cappadocia, Nevşehir	İspir and Yusufeli districts	İspir and Yusufeli district administrations
10	Demonstrational trip to Haute-Porvince, in France	İspir and Yusufeli districts	İspir and Yusufeli district administrations
11	Reproductive Health Project	Kılıçkaya town (Uzundere district-Erzurum)	Kılıçkaya Culture and Solidarity Association
			EU and Turkish Ministry of Health joint reproductive health program

DATUR Coordination participated and/or supported some partnerships among local and multi-level stakeholders, as well. These partnerships are shown in Table 8.3.

8.3. Evaluation of the Exogenous Circumstances in DAKAP Implementation Area

Implementation areas of DAKAP components had some problems and risks against carrying on good LGPs, in varying degrees. One major common obstacle against good local governance in all three components of DAKAP was the absence or insufficiency of

the political, legal and institutional environment for supporting participatory democracy, decentralization and good governance, at the national level. Turkey has had a strong state tradition with a strong centralist political structure and culture, in favor of the unitary state. This tradition has resisted the idea of decentralization and devolution of authority towards subnational tiers of public administrations; and suppressed or restricted empowerment of the subnational entities and non-governmental institutional actors (Heper 1991: 3-24), until recent years.

These traditional conditions were still current and common for the implementation areas of all components of DAKAP, during its life-time. Legal conditions still restricted horizontal and cooperative relationships between the local public authorities and the civil society that local governance anticipated. In fact, these formal political and legal conditions were not suitable for the local public administrations to behave like equal partners, in local governance relations.

On the other hand, these same conditions provided the local administrators with a tremendous control over local public institutions, services and resources. In addition, they had a *de facto* influence over the local public opinion and the participative and cooperative capacities of the local private sector and civil society. This is why the individual attitudes (sympathy, antipathy, tolerance or indifference) and manners of administrators and mayors played a more determinant role on the level of empowerment of the steering bodies, local non-governmental actors and governance mechanisms of each component of DAKAP.

The strong and centralist state tradition has not left sufficient room for development of an autonomous, integrated and well-structured civil society, in Turkey, either. It was as near a date as 1990s that civil society and NGOs have begun to flourish and got a considerable place in the national civic and political environment. However, there is still an asymmetry between the urban and rural areas of Turkey, with respect to development of a well-structured, integrated civil society and establishment of strong NGOs (Özdemir 2002: 1-2; 100-101).

Consequently, both KKKP and DATUR implementation areas had quite high handicaps with respect to the conditions of local civil society. In this rural area, both district and village economies depended heavily on animal husbandry and agriculture. The communal relationships had still rested upon rather traditional familial, tribal and

religious bonds than interest articulation. There were no representative grassroots organizations for some of the rural disadvantaged groups. In such situations, steering bodies couldn't find organized respondents to communicate and invite to the governance process. Especially in the KKKP area, there were a considerable number of weak agricultural cooperatives; but there hardly existed a few NGOs -mostly in the districts- in the name of the institutional infrastructure of the local civil society. The NGOs had limited and weak grassroots support; and usually a narrow group of individuals bore their burden. Their institutional structures, financial and human capacities were quite weak and insufficient for establishing and/or carrying on project partnerships together, spontaneously. They had also hardly had a participatory and deliberative civic culture in order to have a sound voice in the local public administration. So, cooperative relations, partnership networks and good governance capacity was almost absent within the unintegrated local civil society of the small districts (AÜ/SÜRKAL/UNDP 2002: 45-47).

On the other hand, the civil society and NGOs of the urban implementation area of DAGİDES that is Erzurum, Bayburt and Erzincan cities had been relatively more well-structured and strong when compared to the rural areas of KKKP and DATUR. As urban areas there was a higher diversification of social sectors and their interests. There were more NGOs and QUANGOs in number, with wider grassroots contact and support. So their representative, institutional, financial and human capacities were developed better.

However, DAGİDES area had its own handicaps arising from the relative diversification of the social sectors and their interests. This sometimes caused some conflictual relationships among social sectors, and among the civil society, private sector and the public authorities. In some cases, there existed multiple representatives of some target social sectors, who had some ideological differences and contradictions. In those cases, competitive and hostile relations among them either caused a blockage for mobilization of those target groups; or had been reflected to the attitudes and manners of their representatives, in the face-to-face negotiations and meetings.

The ethnic structure in the implementation area of DAKAP had consisted of Sunnite Turks, Terekemes (Karapapaks), Azeris and Kurdish tribes; and Alevite Turcomans and Zazas. So, DAKAP area was made up of a multitude of ethnicities. This was especially true for the rural implementation area of KKKP. However, this diversified demography hadn't resulted in any considerable tensions among tribes from diverse ethnicities; any conflicts in the local politics of the provinces and districts; any contradictions among the steering bodies,

local authorities and the target groups; or any discriminations against the target groups from various ethnicities, during DAKAP years (AÜ/SÜRKAL/UNDP 2002: 38-40). So, the ethnic diversity didn't cause considerable obstacles against the qualified functioning and goodness of the LGPs within DAKAP.

8.4. Qualifications of the Endogenous Factors of LGPs in DAKAP

In the interviews with the ex-directors and officials of DAKAP Coordination, they stated that they had a good deal of autonomy in their decisions and implementations against local and central authorities. Although the local public administrations didn't want to empower Atatürk University as the steering body, UNDP and the University insisted on their autonomy. As *Academician 2* stated:

“In the very beginning of preliminary stage, the local public administrators didn't want to give initiative to Atatürk University for steering DAKAP. They wanted to take the control of DAKAP's financial resources in their hands and to be in charge of the Program. But, UNDP and the University insisted for autonomous steering of the Program, specifically in budgeting and use of DAKAP financial resources.”

UNDP specifically insisted that University and the two coordinator academicians (*Academician 1* and *Academician 2*) should establish an autonomous coordination center for steering DAKAP. Fortunately, the local administrators embraced this situation, in time. Consequently, steering bodies had the chance to act in a relative autonomy, against both the central government and the local authorities.

The interviewees out of the ex-members of DAKAP Coordination believed that this autonomy against central and local public authorities permitted them to be careful about the principles of *good governance*, in the steering of DAKAP. They believed that they were successful in performing a *participative, equitable, consensus orienting, transparent, accountable, strategic, efficient, responsive* steering, with a maximum respect to legal and ethical norms. During the implementations they had no legal conflicts with any counterpart or stakeholder. They tried to be careful especially in management of the financial resources of DAKAP. They delegated the steering power with some other partners, especially in KKKP and DATUR components, so that a more efficient steering in those components had been possible. *Academician 2* stated that:

“Our success in steering DAKAP was approved by 7 external UNDP audits. Auditors gave quite high grades especially in aspects of good governance. DAKAP Coordination was found quite successful by UNDP, so that DAKAP was declared to be the flagship of the SHD based programs of UNDP all over the world, in 2004 and 2005. I should confess that this was even surprising for us -the Coordination staff.”

As the interviewees who were ex-members of DAKAP Coordination stated, in the preliminary stage, DAKAP Coordination attempted to reach the local public administrators, local government administrators, municipal authorities, and a variety of key local individual and institutional actors with the presentation tours and preliminary negotiations. In these tours and negotiations, DAKAP Coordination aimed at mapping and identifying the local actors who showed interest to the goals of SHD strategy; who approached the power of the soft instruments of DAKAP with trust; and who were enthusiastic about the entrepreneurial vision which suggested them to become proactive and cooperative agents of DAKAP. *Academician 1* told that:

“In the beginning of the process, we went to the field and arranged some representation tours to determine our implementation area, target groups and stakeholders of DAKAP. We visited a number of cities, districts and villages and usually contacted a number of key local individuals and institutions, like urban public administrations, district administrations, municipalities, village headmen and chambers. As you know it is an important aspect to earn the advocacy of these key actors to reach the grassroots, especially in the rural area. (...) We told them the content and goals of DAKAP; and asked them whether they are willing to cooperate with us. We chose our implementation areas, target groups and stakeholders according to their answers.”

DAKAP Coordination directors invited the target groups and local actors to the planning stages of DAGİDES according to their willingness to cooperate with the Coordination. The other steering bodies (SÜRKAL and UNDP Turkey) also went on working with the localities and local actors who showed positive attitudes in the preliminary stage. As a result, most of the local participants of the face-to-face mechanisms (negotiations, meetings and workshops) and project partnerships behaved in positive and harmonious manner, during the following stages of the components of DAKAP.

As the interviewees from DAKAP Coordination stated, in some other areas, representatives of some local target groups and key local actors behaved in a negative manner within the negotiations of the preliminary stage, because of a series of reasons. So, these local actors stayed away from the planning and implementation stages of DAKAP. According to *Academician 1*, as one of the reasons for this, some local actors were not trustful against the universal principles and soft instruments of SHD strategy and DAKAP. They had direct *monetary expectations* from DAKAP resources and were rather eager to get monetary aids rather than trainings. *Academician 1* told that:

“In some localities, key local actors were interested in the goals and instruments of DAKAP and willing to cooperate. But in many others the actors were not interested in the trainings SHD strategy suggested, because they found them rather naive and didn’t trust their power towards development. They were not voluntary to cooperate with us and take roles in DAKAP. They were mostly interested in whether DAKAP offered money funding for them.”

But these monetary expectations didn't match the universal principles and strategic priorities of the Program. So, DAKAP Coordination didn't include such local actors to the LGPs.

Besides, according to the ex-members of DAKAP Coordination other reasons for people's distance against DAKAP were their *attitudes* and *prejudices*. Some actors had *conservative attitudes* against development issues and social change; and *conservative prejudices* against multi-level governance relations, because they were against permitting the international institutions to take role in domestic development practices. Some others had prejudices against all types of development practices, because of their experiences of past development policies and practices. So they stayed away from DAKAP.

Research Assistant 1, ex-member of DAKAP Coordination and Erzurum GİDEM stated that:

“In localities where some negative prejudices prevailed against DAKAP people, social sectors and organizations closed their doors to us. This was the most important obstacle against their advocacy and participation to the governance processes; so against the success of DAKAP, in those localities. ”

University Official 1, another ex-member of DAKAP Coordination and Erzurum GİDEM added that:

“In the whole DAKAP implementation area, the most unsuccessful locality was Erzincan. The main reason for this was the seclusion of the local people and organizations. DATUR implementation area was also problematic, because of the same reason. Specifically İspir community was quite secluded. Nevertheless, some certain implementations took place even in DATUR area. But in Erzincan no partners were found, no partnerships were established and nothing had been done.”

On the other hand, interviewees from a variety of grassroots NGOs, chambers, SMEs and trade unions criticized DAKAP Coordination, because of its insufficiency in announcement of DAKAP; and its discretionary preferences in participant selection. This was especially true for DAGİDES and DATUR components. DAKAP Coordination excluded many of the representative NGOs of major disadvantaged groups, NGOs of

some cause groups, some chambers, SMEs and trade unions from the LGP; and didn't provide a sufficient announcement and presentation to them. So, many of these institutional actors, whose inclusion could in fact be significant in both for the *effective steering* of the capacity development in the region; and for the *legitimacy* and *justice* of the Program and the LGP, even didn't here about it.

As for an example, *NGO Representative 7*, the Chair of Erzurum Youth Association told that:

“We didn't receive any announcement or invitation from DAKAP Coordination during DAKAP years. Despite being the students of Atatürk University, we hadn't known about a program [DAKAP] which was coordinated by our own University, till the end of it. Only at the end of DAKAP [in 2006] we heard about it from the media. Consequently, we couldn't participate to either the planning or the implementation stage of DAKAP.”

DAKAP Coordination and SÜRKAL performed baseline surveys and field researches in all implementations areas to get information about the economic and financial conditions and needs of the SMEs sectors, urban and rural communities, investment opportunities, natural resources, and socioeconomic conditions and needs of the people. They used the information they gathered from these surveys and field researches in the planning and implementation stages of the components, in various ways.

However, they couldn't benefit from this information in the most effective way all the time. Besides, they couldn't always choose the most proper target groups to cooperate and support; prepare the proper feasibility researches and/or investment plans; and perform the proper implementations, in DATUR and DAGİDES, either. So, the inadequacies of the steering bodies, especially, in DAGİDES and DATUR components, became a common obstacle both against the goodness of LGPs and against the effective implementation of the projects.

An important factor in the malfunctioning of the steering activities was the inadequacy of the individual qualifications of some of the personnel in effectively steering of the PGMs and project implementations. This was specifically true in DATUR Coordination personnel could neither make the right choices in participant selection and manage the necessary communication and interaction with the local actors; nor use the resources of the Program efficiently, specifically in DATUR.

One of the main reasons for this personal inadequacy and inefficiency was the *lack of an interdisciplinary specialism*, suitable for steering such a sophisticated governance

and implementation process towards local sustainable human development. *Academician 2* stressed this point:

“In Turkey, the lack or insufficiency of the interdisciplinary expertise and experience in rural and urban development has been a general and serious problem which influenced DAKAP process negatively, as well.”

The other underlying problem was that some of staff who came to the region from outside didn't know the socioeconomic, geographical and cultural conditions of the region, and the needs of the local people sufficiently. Thus a resultant problem was the incompetency of this staff in communicating and interacting with the local people; inadequacy in translating the strategic goals to the specific conditions, needs and priorities of the localities; and ineffectiveness in supervising the local people in the governance mechanisms and project implementations. *Academician 3* stated that:

“According to my own experience in DAKAP; in development practices, the working experts should take account the fact that each region and locality has its own distinct culture and specificities. (...) The experts should adapt to the culture and conditions of the localities they work; and learn to talk in the language of the local communities. They must not build walls against the local people with their attitudes and manners. No matter how qualified an expert can be in any discipline (economics or other) he can't be a good development expert without developing such communicative skills. Because these skills are essential in creating good governance relations and partnerships with the local people. (...) In DAKAP, the experts who were appointed from the outside of the region by UNDP and national organizations unfortunately didn't work in the projects continuously. They saw such local-regional projects in poor areas as jumping boards in their careers. So, the sustainable benefits of the outsider experts who came and went were quite limited in DAKAP. In DAKAP projects, me and my local colleagues worked as local volunteers and created sustainable outcomes of DAKAP ourselves.”

Research Assistant 2, ex-member of DAKAP Coordination and Erzurum GİDEM added that:

“The experts whom UNDP and some other organizations appointed from the outside of the region had quite limited communicative skills against the local people. In meetings and trainings they attended they couldn't provide the sufficient and proper communication with the local people; thus they couldn't present the strategic goals and principles of DAKAP to the local people effectively; and they couldn't make them adopt these goals successfully.”

During the planning and implementation stages of DAKAP components, a common issue in the LGPs of DAKAP was the trivial roles of the local governmental and municipal authorities (governors, district administrators and mayors), in their relationships with the steering bodies and the representatives of the local civil society.

Despite their relative autonomy, steering bodies had to confront and manage governance relationships with the local authorities, within the local face-to-face mechanisms. DAKAP Coordination, SÜRKAL and DATUR Coordination members had to show a specific respect against the sway of the governors, local administrators and mayors as representatives of the public authority, in local governance of the components of DAKAP.

As stated above, this was because, the traditional Turkish political and administrative structure and the traditional celestial perception of the State which provided the local administrators and mayors with a good deal of control over local public and municipal institutions, services and resources, local public opinion and the participative and cooperative capacities of the local private sector and civil society. Consequently, the individual attitudes (sympathy, antipathy, prejudice, tolerance or indifference) and manners of administrators and mayors played an extremely determinant role on the level of autonomy of the steering bodies; mobilization, advocacy and empowerment of the local private and non-governmental actors; and the legitimacy and well-functioning of PGMs of DAKAP.

Unfortunately, local public administrators (governors and district administrators), mayors and public officials behaved in trivial ways in DAKAP governance process. So, their influence in DAKAP changed from person to person, as *Research Assistant 1* stated:

“The the success of the governance process and the implementations were influenced in various ways in parallelism with the personal qualifications and attitudes of some key local public administrators and officials. For example in the beginning of the Program, Erzurum had a Vice Governor who behaved as a quite friendly, helpful and cooperative stakeholder against us. However, when this Vice Governor was appointed to another province, our relations with Erzurum Governership lost its former level of synergy.”

Consequently, some of the mayors and administrators, who appropriated the steering role of the University, UNDP and SÜRKAL, had participated to the local governance as cooperative, responsible and friendly partners. They showed sympathy and support to DAKAP, the steering bodies and the other stakeholder actors, as equal partners in accordance with the governance spirit. They behaved in a quite horizontal, participative, deliberative, and compromising manner, in the face-to-face relations; and performed as cooperative and effective stakeholders towards the strategic goals of SHD.

But, some of the public authorities didn't understand the goals and priorities of the SHD strategy and didn't trust the soft instruments DAKAP suggested. Some others behaved wholly indifferently and thus uncooperative to the Program; while some were wholly hostile against the steering bodies because of their negative attitudes arising from ideological prejudices and reservations against participatory democracy, governance and multi-level partnerships. Some hostile mayors and administrators couldn't understand and embrace their new roles in a participative governance process, and wanted to maintain the traditional role of the public authorities at the top of the hierarchy of the local institutions. Such mayors and administrators who attended the LGPs caused authority conflicts and showed authoritarian manners in the functioning of the local participative face-to-face mechanisms and project partnerships. They became obstacles against implementations, as well. In worst cases they blocked the LGPs just after the preliminary negotiations.

Another serious common problem with the local administrators was their circulation with appointments. This situation often caused surprising problems. As a governor or district administrator left its place to a new one the attitudes and manners of the public experts/officials also changed within the face-to-face mechanisms. In such changes there usually occurred deterioration in local governance, because of the negative or indifferent attitudes and manners of the successor administrators against DAKAP and/or the steering bodies. The new administrators often caused problems, by withdrawing the participant officials; creating authority conflicts in the face-to-face mechanisms.

A similar situation was about the mayors and the village headmen, who also played important roles in the local governance mechanisms. Because of the highly politicized conditions of municipalities, when the mayor changed the successor mayor destroyed the governance relationships with the steering bodies and the local stakeholders that their predecessors established. The institutional learning was destroyed, because the middle range directors also changed with the elections.

And a last common problem in the inner functioning of the LGPs was the inadequacies of the stakeholder NGOs within the project partnerships. This was of course the reflection of the general weakness of the institutional infrastructure of the local civil society, specifically in the rural areas of KKKP and DATUR. Keeping this fact in mind, in the preliminary stage, DAKAP Coordination attempted to reach the localities where the conditions of the civil society were relatively better; and the local NGOs and chambers who had relatively more capacities. Moreover, steering bodies supported and supervised

some of the advocated and proactive stakeholder NGOs in various aspects to initiate their own projects and establish multi-level project partnerships, during the implementation stages of the components. In the end, a number of stakeholder NGOs managed their projects successfully, with the support and supervision of the steering bodies.

However, specifically in DAGİDES and DATUR areas, a higher number of NGOs didn't face the same support from the steering bodies. Consequently, some participant NGOs who didn't have the sufficient institutional, financial and human capacities couldn't have self-confidence to perform efficient project implementations; and stayed away from initiating projects. Some of them caused problems and legal conflicts during project implementations. Some initiated projects; but hardly afforded it and got into financial crises and huge debts.

8.4.1. Qualifications of the Endogenous Factors of LGPs in KKKP

All local interviewees, who witnessed the KKKP planning stage stated positive opinions about the LGPs in this stage. They stated that the face-to-face relations in the fact-finding workshop (2002); in the focus group meetings arranged in the final pilot villages (2002, 2003) were participative enough with respect to the conditions of participativeness that is participant selection, communication and empowerment of participants.

As Village Headman 2, Headmen of the Öncül village (Çıldır) told:

“In our village project councils were established with 4-5 participants in each, during 2003-2006. I attended their meetings as the Headman. But the full members of the councils were peasants of our village. (...) SÜRKAL experts discussed what to do with us from the beginning of the KKKP. They negotiated the needs, priorities, problems and potentials of the village with the village people. We determined the solutions together. Then SÜRKAL provided an inclusive implementation package for the village in accord with our decisions.”

SÜRKAL experts performed an effective and fruitful base-line survey and field researches to gather qualified and realistic information on the conditions of the KKKP area. They benefitted from this information widely, in providing a proper technical supervision to the local actors in the fact-finding workshop; and also during the implementation and monitoring stages of KKKP. They provided the local target groups and stakeholders with this information on baseline conditions and other technical issues, throughout KKKP stages.

Testimonies of the native interviewees were also positive about the İKKs and project councils, as the main face-to-face PGMs, in all 5 districts and the 20 pilot villages, for the beginning of the implementation stage. There was a horizontal, friendly, deliberative, transparent and compromising communicative atmosphere. They had equal opportunity to voice their needs and problems in the İKKs and by mediation of the project councils in the villages. They also found the chance to develop effective solutions to their problems together with SÜRKAL, specifically in the beginning years of the implementation stage.

As NGO Representative 14, ex-member of the Şenkaya İKK stated:

“In Şenkaya İKK we had a very friendly atmosphere. The public officials were also friendly and quite cooperative. We had a good communication. We came together very often to discuss the KKKP process in our district and villages. In some periods we came together weekly. In some other periods we met in each two or three weeks’ time. We came together with other İKK members not only in İKK meetings. But we often met in other places and talked about new problems of Şenkaya and negotiated solutions for them.”

The qualifications of the LGPs were also high with respect to the other good governance criteria in all pilot areas, in the beginning of KKKP. The good governance qualities of the İKKs and project councils lasted up to the end of KKKP, in districts like Şenkaya, Susuz and Damal. However, in Olur and Çıldır, the İKKs lost their qualifications, during the last years of KKKP implementation. The major reason for this was the changes in the attitudes and behaviour of the local public administrators which will be discussed soon.

Success of the İKKs and village project councils were majorly the result of the qualifications of the steering activities of SÜRKAL. All interviewees stated positive opinions about the efforts of SÜRKAL experts/officials to keep these qualifications throughout the process. SÜRKAL had the sufficient knowledge, years of experience, high institutional capacities and qualified human expertise in rural development.

SÜRKAL was quite effective and equitable in participant selection. The pilot districts were selected in the participatory fact-finding workshop, in 2002; and the villages were selected by the district İKKs in a participative and systematic way to provide the representation of a variety of characteristic ethnic, sectoral and gender groups in the councils; and to provide their participation to implementations. SÜRKAL spent the sufficient effort for providing the participation and control of the rural communities and existing local NGOs; and payed specific attention for representation of women and youth,

in the İKKs. It was successful in providing the participation of the local administrations and municipalities, especially in the beginning of the implementation stage. It carried on a continuous and intense contact with the İKKs and the local communities. It had a quite horizontal, open, friendly and intimate communication and cooperative interactions with their local stakeholders and the rural people, all along KKKP implementation stage.¹² It behaved quite transparent, equitably and accountably against their stakeholders and İKKs. It had been truly congruent to the rule of law. There occurred no legal conflicts between SÜRKAL and any of its stakeholders or local actors.

SÜRKAL experts promoted and supported the local institutions and peasants to work cooperatively; and to establish partnerships and new formal organizations. They managed to use DAKAP resources quite efficiently and effectively, in accord with the strategic priorities of KKKP. They also behaved responsively against the spontaneous demands of İKKs and the village project councils; and dynamically tried to find creative solutions which were not included in the initial action plan, together with them. Thus, SÜRKAL responded positively to some spontaneous demands of the İKKs and peasants. For example, although the project of vaccination against Brucella was not in the SÜRKAL agenda, first a project Şenkaya İKK demanded this project and SÜRKAL and Şenkaya District Administration established a specific partnership and initiated a particular project together, which was financed by SRAP.¹³

As *Village Headman 1*, Headman of İkizdere village of Şenkaya, and ex-member of the Şenkaya İKK stated:

“We had a good contact with SÜRKAL experts. They were very helpful and they listened to us very carefully. They tried to find solutions to some of our spontaneous demands. The vaccination project was implemented after a demand from our village İkizdere.”

As the demonstrations gained success, the trust and advocacy of the local participants of the İKKs and implementations increased; and their attitudes and manners gained an accelerating positive character, in time. But, the weakness of the civil society and/or lack of representative institutional actors for some social groups (like disabled

¹² SÜRKAL carried on its dialogue and contact with the village communities and local NGOs, even after DAKAP. It provided some support for the local NGOs in some of their projects, sometimes as a formal and sometimes as an informal partner and supervisor. It had also tried to provide some additional demonstrative and in kind support for the villagers who carry on alternative agricultural production after DAKAP.

¹³ The Project for Decreasing the Social Risks (SRAP) was a project started by the Prime Ministry Fund for Promotion of Social Assistance and Solidarity (SYDTF), in 2003. It was financed by a credit from WB.

people) were serious obstacles against establishment of project partnerships in the KKKP implementation area. There hardly existed a few NGOs whose institutional structures, financial and human capacities and grassroots were quite weak, in some districts, like Şenkaya, Çıldır and Damal. Nevertheless, SÜRKAL payed attention for representation of the existing NGOs in the İKKs; and get into partnerships with them for some easy-to-do projects. It also promoted, supervised and financially supported establishment of new NGOs to overcome this obstacle.

Along with the KKKP planning and implementation stages, SÜRKAL members had to get into intense relationships with the public administrators and the public officials, during the baseline surveys; in fact-finding workshop and the other meetings; and within the İKKs, in every pilot district they chose. Especially, during the implementation stage the democratic functioning and empowerment of the İKKs depended to a great level on the attitudes of the district administrators, mayors and other public officials, against the legitimacy of the councils; and their manners against other actors in the councils, in the face-to-face relations. Besides, because of inadequacies of the district NGOs, SÜRKAL worked in partnerships with the local administrations for most of the project implementations.

Unfortunately, local public administrators, mayors and officials behaved in trivial ways in KKKP, as well. In fact, the actual problem with the public administrators and officials was the circulation of their positions with appointments. In all pilot districts, there were positively minded, cooperative administrators, when SÜRKAL first began its activities. These cooperative administrators helped İKKs to be functional and empowered them sufficiently; and promoted the mobilization, of the individual and institutional local actors, in favour of KKKP. In such situations, İKKs and the LGPs functioned well, in good governance conditions. However, after a few years time the administrators were appointed to other duties, in any part of Turkey. The attitudes and behaviour of the successor administrators changed all conditions for SÜRKAL experts and İKKs in some districts, like Olur and Çıldır.

SÜRKAL managed to keep the new local public administrations and municipalities in the LGPs via İKK mechanisms, in Şenkaya, Susuz and Damal. But, in Olur the new administrator caused problems, by creating authority conflicts in the İKK decision process; by his perseverance on determining the local development officials himself; and by restricting the participation of his officials to the İKK and even to the

implementations. So, Olur İKK couldn't function well and the success of the LGP decreased considerably, in this district.

In Çıldır, the situation was more unlucky. In this district, both the district administrator changed with appointment; and the mayor changed with the 2005 elections. Then, they withdrew their officials from the İKK and destructed the governance relationships with SÜRKAL and the local stakeholders that their predecessors established. Then, Çıldır İKK almost wholly stopped functioning, specifically after 2005.

However, SÜRKAL carried on its activities in the Öncül village of Çıldır with a specific effort to keep its contact with the village project councils. It also carried on its contact and activities in Olur, up to a certain level. But the LGP and implementations slowed down in Olur; and almost wholly stopped in Çıldır, except for Öncül village.

8.4.2. Qualifications of the Endogenous Factors of LGPs in DAGİDES

The interviewees from the ex-members of DAKAP Coordination team believed that there occurred good LGPs in Erzurum, Bayburt and Oltu district of Erzurum, during the stages of the DAGİDES component. *Research Assistant 1* stated that:

“In DAGİDES component, we gained a significant success, specifically in Bayburt and Oltu. We definitely did very important things in Erzurum, as well. But in Oltu and Bayburt the LGPs, the local advocacy and participation, and the resultant benefits of the participant target groups were even higher than Erzurum, in various aspects.”

In Erzurum, the representatives mouthpieces of the target groups and institutional stakeholders who participated to DAGİDES process from the very beginning up to its end confirmed that the qualifications of the LGP and the steering activities of DAKAP Coordination had been in accordance with good governance principles; and face-to-face relations in the negotiations and meetings were participative in all stages of DAGİDES. As an example *NGO Representative 1* (ER-KADIN) stated that:

“Our *bodjas* [she meant Academician 1 and Academician 2] invited and encouraged the representatives of various social sectors for participating to the consultation meetings enthusiastically. (...) In the beginning of DAKAP our *bodjas* invited me and some of my colleagues from associations representing women, like TKB Erzurum Branch and Erzurum Union of Volunteer Mothers to negotiations and meetings. The directors and officials of DAKAP Coordination had been quite open to listen to our opinions, demands and problems in the negotiations and meetings. We felt wholly free in communicating with DAKAP Coordination members. We stated them our demands and opinions without hesitation. They shared the necessary information with us freely. They provided a good presentation of DAKAP and its principles. So, we understood and adopted the principles of DAKAP. (...) They also encouraged and supported us to get organized in associations and participate to the project implementation with our own projects. They provided us with trainings on organization and entrepreneurship. So, as the entrepreneur women of Erzurum we established ER-KADIN, in 2003; and initiated our projects with the seed money and other opportunities DAKAP provided us.

The representatives of the participant target groups and stakeholders also stated that Erzurum GİDEM, which was actuated by the members of the DAKAP Coordination, supervised them with qualified technical, financial and PCM information; supported them to establish project partnerships and formal organizations; cooperated and supervised them in development of their own projects; carried on a close contact with them, without any time limitations; helped them in providing the partnership and/or cooperation of governmental and municipal administrators and public institutions; and provided them even with some seed money, in some rare cases. DAKAP Coordination had also tried to provide a positive, responsive and dynamic attitude against their spontaneous demands; and tried to adapt initial plans in the need of finding creative and spontaneous solutions to their problems, throughout the planning and implementation stages. The Coordination members had worked quite efficiently in using time and DAKAP resources. They caused no degeneration during the implementations and had no legal conflicts with any of the stakeholders.

Representatives of some other NGOs, which didn't or couldn't participate the process from the beginning of the planning stage in Erzurum, criticized the DAKAP Coordination for not providing a transparent and participative steering. These were the trade unions of workers and public employees; grassroots NGOs representing a wide range of disadvantaged groups, like, youth, disabled people, children; and cause groups interested in public health, education, and environment. For example *NGO Representative 4*, the Chair of the “White Cane Visually-Impaired Association” informed that:

“We didn’t receive any announcements or invitations from the University or other institutions about DAKAP. We followed DAKAP process from the outside by the media. We were not included in the governance process. I don’t think that there had been an effective participation from the other grassroots organizations of disabled people, in Erzurum. Otherwise we would hear and know about it.”

These groups found announcement and presentation of DAKAP insufficient and inefficient. Thus, some of these actors even didn't hear about the Program. According to these actors, DAKAP Coordination didn't spend the sufficient effort to select the widest possible range of the most representative institutional actors in Erzurum community; and discretionarily excluded the trade unions and some important grassroots NGOs, from the LGP. As an example *Union Representative 1*, Law Secretary of EĞİTİMSEN Erzurum Branch stated that:

“I hear DAKAP's name now. Its announcement was not done sufficiently. The University didn’t get into contact with us about DAKAP. As far as I know no other unions were invited to the meetings about DAKAP. If the University contacted with other unions we would probably know it. The University generally stays away from the unions. We attempted to get into contact with the academicians before, but they didn't respond.”

So, DAGIDES went on their implementations with a limited number of active non-governmental partners. DAKAP Coordination didn't pay sufficient attention and didn't make serious attempts to gain the excluded social actors back to the Program. The representatives of some of the grassroots NGOs of the disabled people had the chance to participate to some of the presentation and consultation meetings. But, they told that they were irritated in the first discussion meetings with the DAKAP Coordination, because of the one-way information transfer from the Coordination to the participants. They felt uneasy in declaring their problems and demands; and told that their opinions were not taken into consideration, in the planning stage. One of the critics of the LGP in Erzurum was *NGO Representative 5*, the Chair of Turkish Disabled People's Association (TSD) Erzurum Branch.¹⁴ He said that:

¹⁴ TSD: Türkiye Sakatlar Derneği

“As the representatives our association, we were present in the consultation meetings. However, the meetings were day-long, crowded and boring. We were rather spectators than negotiators. There was a one-way information flow from the DAKAP Coordination to us. But they didn’t require us to present our needs, priorities and demands. In short, they told us that we should prepare some projects and they would support our projects if they would like them. But we had some inadequacies and problems about initiating projects. We couldn’t talk about these. DAKAP Coordination didn’t offer solutions for them. So, we couldn’t play an active role in the planning stage; and didn’t take any role in the implementation stage.”

In fact, even members of DAKAP Coordination found their steering activities insufficient in providing participation and cooperation of the disadvantaged groups to DAGİDES. Nevertheless, DAKAP Coordination paid a specific attention for inclusion of women (specifically entrepreneur women) and small landowner peasants, as stakeholders in the implementation stage of DAGİDES to design and implement their own projects, in partnership with DAKAP Coordination. It also enabled the unemployed youth to participate to the vocational trainings and entrepreneurial supervision services, although they couldn’t participate to the local face-to-face mechanisms.

In Bayburt, representatives of some of the participant target groups and institutional actors also approved that the communication and authority structures in the meetings, and the steering activities was in accordance with good governance, in most aspects, during DAGİDES. However, representatives of some excluded institutional actors were hesitant about the participant selection and transparency of the steering activities.

For example *NGO Representative 12*, Board Member of Turkish Disabled Association Bayburt Branch told that:

“I remember DAKAP years quite clearly. We were not invited to DAKAP meetings. So we couldn’t be active in planning and implementations of DAGİDES, in Bayburt. DAKAP Coordination wholly focused on development of a specific sector, the marble and natural stones producers. So it didn’t pay attention on disadvantaged groups. It didn’t announce DAKAP sufficiently and didn’t invite the representatives of the disadvantaged groups to the meetings.”

Consequently, DAKAP Coordination got into contact rather with government administrations and a few pioneering civil institutional actors representing this sector; and didn’t attempt to reach the other institutional actors representing various other sectors and social groups of Bayburt community. Besides, even some advocated participants hesitated about the effectiveness and strategic vision of DAKAP Coordination, about the its implementations in Bayburt. As stated above, DAKAP Coordination performed

participative baseline surveys and field researches to get information about the economic and financial conditions and needs of the SMEs and urban sectors (marble and natural stone sector), investment opportunities, natural resources, and socioeconomic conditions and needs of the people, in the DAGİDES area. However, the baseline surveys and the field researches that DAKAP Coordination performed on marble and natural stone sector wasn't effective in determining realistic and feasible objectives and implementations, in Bayburt. In addition, DAKAP Coordination officials couldn't prepare the proper feasibility researches and/or investment plans; and couldn't develop the proper implementations for the marble and natural stone sector, in Bayburt. As *Public Official 1*, the Director of Bayburt Governership Planning Coordination Department stated:

“The development of the marble and natural stones sector reached only a certain level by the DAGİDES implementations. But the sector couldn't carry on its development. This was because of the deficient feasibility studies performed by the experts of the DAKAP Coordination, for the most part. They made some wrong choices, because of the unrealistic feasibility research in the beginning.”

Common problems of LGPs, in relation to the local public administrators and mayors had persisted in DAGİDES component, as well. As an example, the vice governor had been very cooperative, in the beginning of the Project, in Erzurum. He provided the support of the public institutions for DAKAP Coordination and its partners. But, after this cooperative vice governor left Erzurum, cooperation with the local public administration had become rather harder for the DAKAP Coordination.

In Bayburt there occurred a reverse situation. The first governor had rather had a hostile attitude against DAKAP Coordination, in the beginning. This was because of his distrust against the steering role carried on by a semi-public institutional actor, the University; and against foreign institutions, like UNDP. Moreover, the directorate of BTSO didn't respond the invitation of DAKAP Coordination positively, because their priorities were different from DAKAP Coordination. From the words of *QUANGO Representative 6*, who was the Chair of the BTSO in the preliminary stage of DAGİDES:

“The directors of DAKAP Doordination came to Bayburt in the beginning. We talked about the potentials of Bayburt. I told them that the most important economic activity in Bayburt was animal husbandry, and they should have supported this sector. They wanted to get interested in the marble sector. But we couldn't agree on this.”

Consequently, DAKAP Coordination couldn't have a contact and cooperation with BTO as one of the key institutional actors, in Bayburt. Thus, LGP couldn't progress in Bayburt, in the initial years.

Then, a new governor came, and things changed in favor of the Program. The new governor advocated to the Program and established a Planning Coordination Directorate within the governor's office to coordinate activities of local development and provide PCM services for NGOs and SMEs. In addition a new directorate was elected for BTO. The new directorate was more willing to cooperate with DAKAP in its implementations on marble and natural stone sector. So, DAKAP Coordination had a refreshed contact in Bayburt and the LGP and implementations accelerated in this city.

Erzincan had been the dead end for the local governance in DAGİDES. After a baseline survey to document the strengths and weaknesses of the productive sectors of the city in the planning stage, DAKAP Coordination couldn't carry on a sustainable communication and partnerships with either the public administrators, beginning with Erzincan governor; or with some key institutional actors, like chambers or NGOs. So, it could not maintain an LGP in this city, at all; and couldn't benefit from the baseline survey in this city, effectively.

According to the the ex-members of DAKAP Coordination this was because of the conservative attitudes and nationalist prejudices of Erzincan people. As *Research Assistant 1* stated:

“The major reason of the unsuccess of DAKAP in Erzincan was the seclusion of its people. They had conservative reactions against social change, development; and against the multi-level partners like EU and UNDP. (...)Erzincan is a static and conservative city with a more homogenous population and much less mobility with respect to Erzurum. Erzurum is a larger and cosmopolitant city with much higher mobility, and in and out migration. It also has a rooted culture of artisanship and trade with respect to Erzincan. So, Erzincan people resisted DAKAP.”

On the other hand, *Research Assistant 2* pointed to a more interesting reason:

“I think the main reason was the localist complexes of Erzincan people. More specifically, it was the local rivalry between Erzurum and Erzincan in the region. This rivalry was not because of some ethnic conflicts. In fact, there are not significant differences between the ethnic structure of Erzurum and Erzincan. It was just that Erzincan people couldn't bear the leading image of Erzurum in the region. They saw it as an obstacle against their development. Bayburt people didn't have such a complex. (...) So, because DAKAP was initiated by Atatürk University and coordinated in Erzurum, influenced the attitude of Erzincan people negatively against DAKAP.”

8.4.3. Qualifications of the Endogenous Factors of LGPs in DATUR

Participants of the survey in İspir and Yusufeli districts insisted that DATUR Coordination couldn't manage good governance relationships with the local communities. For example *NGO Representative 17*, the Chair of İspir Nature Sports Association stated that:

“In İspir open public hearings didn't take place in the preliminary stage of DATUR. DAKAP Coordination preferred one-to-one negotiations with local actors. We contacted them during these negotiations and established our association with their promotion. (..) İspir people were not informed about DATUR sufficiently. (...) It was as if the steering bodies wanted to hide the Project from the general public. The UNDP officials of DATUR Coordination also preferred working with a few actors, like the district administration, the municipality, the academicians of the İspir Vocational High School and a local NGO (Çoruh Nature Association) that they promoted its establishment. In the end, their relationship with this NGO resulted in legal conflicts, because of the discords upon the material they provided them. They didn't address the other people in İspir as respondents.”

Some parallel opinions came from the interviewees in Yusufeli. As an example Mr. *SME Owner 4*, owner and Manager of Arjantin Hotel, in Yusufeli told that:

“As an enterprise owner I didn't have a contact with the DATUR Coordination during DAKAP years. We were not invited to any meetings or negotiations. We couldn't have opportunity of voicing our needs and demands. (..) I think DATUR Coordination was quite unsuccessful in the aspects of good governance relations. It was as if they came here to spend the money in their hand quickly, in any possible way. They didn't use their resources efficiently in accord with our needs and for the benefit of Yusufeli people. They were not transparent against us.”

Consequently, DATUR Coordination experts who were appointed by UNDP Turkey, went on the planning and implementation stages in these districts, from where DAKAP Coordination left. So, they didn't carry on a participative LGP, in İspir and Yusufeli districts at all. They stayed away from the civil and semi-public institutional actors (NGOs and the chambers of arts and crafts); and didn't attempt to communicate with them, properly. They didn't pay much effort to announce and introduce the Program. They neither arranged open consultation meetings for providing a participative planning process; nor attempted to provide information to the local communities about DAKAP to persuade them in favor of the Program.

Instead, DATUR Coordination rather preferred one-to-one contacts with the district administrators and the mayors; and it had a limited contact with the civil society through one-to-one contacts with 1-2 NGOs, in these districts. It had a contact with an association

called Çoruh Nature Association, which was established by its support, in İspir; and with 1-2 sports club, in Yusufeli. It performed some implementations in partnerships with these actors. In the end, DATUR Coordination fell into a legal conflict with the mentioned association in İspir, because of some monetary problems. The same thing happened, in Yusufeli. The relationships of DATUR Coordination with its partners stayed closed to the İspir and Yusufeli people and civil society.

So, the members of DATUR Coordination appointed by UNDP Turkey were seriously criticized; and their personal capacities were found insufficient for carrying on good governance relations. They were blamed to use program resources quite inefficiently; and to be unresponsive to the demands and problems of the other actors. The insufficiency of the UNDP Officials was one of the most important obstacles not only against the community participation to the LGPs, but also the effective implementation of the projects, in İspir and Yusufeli. According to their critics, these personnel could not manage the necessary communication and interaction with the local actors. Thus, they decided on the projects without local participation; but they couldn't design and perform the proper implementations, either. Nor did they use the resources of the Program efficiently in DATUR.

Nevertheless, DATUR Coordination maintained relatively good LGPs with the rural communities in the Çoruh Valley; and specifically in Sırakonaklar village community. This was majorly the result of the efforts of two academicians from Atatürk University İspir Hamza Polat High School rather than the UNDP officials. The two academicians had tried to keep an open, horizontal and deliberative communication; and a participative, transparent, responsive and cooperative relationship with the village community and the headman to succeed in providing their agency. İspir district administration participated and supported the implementations in Sırakonaklar, as well.

8.5. General Assessment of the Qualifications of LGPs in DAKAP Components

The basic circumstances of the KKKP implementation area was not appropriate enough to carry on good LGPs, with respect to the exogenous conditions of good local governance. Nevertheless, endogenous factors of the LGPs in KKKP seemed to reflect quite high qualifications with respect to the endogenous conditions of good governance, specifically in Şenkaya, Susuz and Damal districts. The reasons for this were the power of İKK mechanisms and the efforts of SÜRKAL experts in order to provide regular,

continuous and well-functioning LGPs with quite good governance qualifications, even in such improper exogenous circumstances.

In the beginning of the implementation stage, the local governance mechanisms in Çıldır and Olur were also qualified enough. But, unfortunately, continuity of good governance qualifications in Çıldır and Olur was disturbed because of the changing attitudes and manners of the local public and municipal authorities. This change emerged because of the appointments of the administrators to other duties; and changing of the mayors with 2005 elections. Nevertheless, SÜRKAL experts spent specific efforts to carry on their contact with the Öncül village of Çıldır; and to provide functioning of the project councils in this village.

Despite the claims of the ex-members of DAKAP Coordination, LGPs within DAGİDES could not be considered as sufficiently good governance processes. In Erzurum and Bayburt, a group of target groups and institutional stakeholders experienced a relatively good LGPs. So, the representatives of these target groups and stakeholders stated positive opinions about the LGPs and the performance of the DAKAP Coordination throughout the process, especially in Erzurum. These were organizations with relatively high level of institutional, financial and human capacities.

However, a wider group of other representatives of grassroots NGOs of target groups –specifically the disadvantaged ones- in Erzurum and Bayburt seriously criticized DAKAP Coordination, with respect to participant selection, communication structure, transparency, responsiveness, equity, effectiveness, efficiency and some other aspects. Some of these actors had been excluded from the LGPs, from the beginning; and even didn't hear about DAKAP and DAGİDES, although they had a considerable level of institutional capacities, in both Erzurum and Bayburt. Some of them had the chance to participate to some of the face-to-face mechanisms. But, they got irritated in the first discussion meetings by the hierarchical, one-way communication structure and left out the process.

In addition, Erzincan had been a total failure for the local governance in DAGİDES. According to the ex-members of DAKAP Coordination, this was because of *nationalist prejudices of public authorities, conservative attitudes and regionalist xenophobic reservations* of the *key local actors*, like BİTÖ, and Erzincan community. However, DAKAP Coordination didn't spend an effort to overcome these prejudices and

reservations effectively. After the first negotiations, directors and members of DAKAP Coordination kept away from Erzincan, as much as Erzincan people stayed away from DAKAP.

So, DAKAP Coordination didn't pay sufficient attention and didn't make serious attempts to gain the excluded social actors back to the Program, in any localities of the DAGİDES implementation area. They couldn't create inclusive, deliberative, powerful and continuous face-to-face PGMs. They stayed quite passive against the most of the local target groups and grassroots NGOs; and didn't spend the sufficient effort to provide solutions for their institutional weaknesses and to encourage them to participate to the process.

LGPs in DATUR had quite low good governance qualifications, in general. DATUR Coordination carried on relatively good governance relations in a few villages of the Çoruh Valley, especially in Sirakonaklar, with the efforts of the academicians from the İspir Hamza Polat High School.

However, in İspir and Yusufeli districts, DATUR Coordination didn't even carry on considerable LGPs. It was heavily criticized with respect to participativeness, and specifically with respect to participant selection. It preferred to carry on its contact with public authorities and kept local chambers and SMEs, like hotel and pension enterprises away from the LGPs. It carried on contact with 2-3 NGOs with quite limited capacities; and had legal problems with them. The personal capacities and performance of the DATUR Coordination experts/officials had been found insufficient for carrying on good governance relations within the face-to-face relations, project partnerships and implementations; and had been seriously criticized for inefficient use of the program resources and for being unresponsive to the demands and problems of the other actors, in İspir and Yusufeli.

CHAPTER 9

LOCAL GOVERNANCE AND LOCAL AGENCY IN DAKAP

In this chapter, the second and the third research themes are handled. Then, first comes the evaluation of the level of the actual local agency in DAKAP; and its relationships with the endogenous factors and exogenous circumstances of the LGPs with respect to the conditions of good local governance.

9.1. Actual Local Agency in DAKAP

So, the chapter begins with the presentation and evaluation of the level of the actual local agency, in various localities in the implementation area of DAKAP.

9.1.1. Actual Local Agency in KKKP

The major target groups of KKKP were *poor rural households, petty farmers, women, unemployed youth and grassroots peasant organizations*. The key expected local stakeholders were the public administrations and municipalities of the provinces and districts; village headmen; and existing local NGOs and cooperatives of peasants (UNDP/AÜ 2005: 7).

In the KKKP component, there provided a considerable level of mobilization and agency of the peasant communities and local individual and institutional actors, during its lifetime. A considerable number of individuals, public institutions and NGOs (although they were rare and less in number, in the rural areas) had the opportunity to participate to the PGMs (focus groups, meetings, İKKs and village project councils); and to have control over planning, implementation and monitoring of the trainings, demonstrations and other socioeconomic projects, in the KKKP process. 51 local people took part in İKKs, around 100 peasants took part in village project councils. More numbers of peasants attended the focus groups and meetings and participated to the determination of the objectives and proper instruments for project implementations.

The participation to the KKKP trainings and demonstrations, and other projects had also usually been quite high; and it had accelerated in time. The villagers who participated to the SÜRKAL demonstrations began to teach what they learnt to others. Participation to trainings was not limited to the pilot localities, but lots of villagers from

other villages participated, too. In the end, Around 7000 peasants attended the KKKP trainings and demonstrations.¹

Technician 1, once KKKP Development Official and İKK member in Olur (Erzurum) told his story about this issue:

“When the trainings began, we had carried peasants from the pilot villages to the trainings arranged in Olur, by minibuses. After a short time, peasants from neighbour villages also showed interest to the trainings and we began to transport them to the trainings, by permission of SÜRKAL.”

Participation and control of women and youth was kept high all along the KKKP process. SÜRKAL payed specific attention to keep a sufficient share for representation of women and youth, in İKKs. Ideally a %30 women quota was planned for each council. Actually, women's representation raised up to %50, in some councils; while it fell under %30, in some others. The 10 local development officials (2 officials per district) were especially selected from the youth and preferrably women (6 women out of the 10). Participation of women and youth to the implementations was quite high, as well.

Public Official 3, once KKKP Development Official and İKK member in Susuz (Kars) told that:

“SÜRKAL arranged negotiations and meetings for presenting KKKP and provoking awareness of people, especially for youth. Development officials were selected among the young people who attended these meetings. The contents of the trainings and demonstrations were determined by the participative base-line survey and the focus group meetings performed in the beginning of the planning stage, in accord with the needs and opinions of the peasants. (...) Specifically, women began to show a good deal of interest to the trainings.”

Peasant 1, a young peasant from Öncül (Çıldır, Ardahan) village added that:

“In the demonstrations participation of women and youth was a priority. As an example in our village the Head of the Project Council for Hothouse Demonstrations was a young woman.”

Some of then existing local grassroots NGOs, like Şenkaya Wildlife Protection Association, Çıldır Lake Protection and Regeneration Association, Doğruyol Fishery Cooperative, Damal Agricultural Development Association, Olur Ormanağzı Village

¹ By February 2006, in four years of Project implementation, there participated some 3.339 people to the 29 training projects; and some 3.415 to the 28 demonstration activities (UNDP/AÜ 2005: 5-16, 28).

Agricultural Development Association cooperated with SÜRKAL, in preparation and implementation of some local training, economic, social and environmental projects.

As stated in the above quotes from the interviewees, the high level of success in provision and sustaining of local agency was majorly depended on the efforts of SÜRKAL in providing a good LGP. SÜRKAL spent a good deal of effort to carry on a participative and good LGP from the planning stage that it took over the steering function, up to the end of KKKP implementations. SÜRKAL experts specifically managed the local face-to-face mechanisms in the İKKs and the partnerships in a qualified manner, with respect to good governance criteria.

However, although the agency of the local target groups and institutional actors was quite high, in total, it differentiated from locality to locality. The highest participation to both governance mechanisms and implementations occurred in Şenkaya and its pilot villages. Then came Susuz and Damal districts and their villages; and Öncül village of Çıldır district. However, a rather less participation occurred in the rest of the Çıldır district and in some other pilot areas, like Olur district.

According to SÜRKAL members, local agency majorly varied according to the level of the *advocacy* of the local actors to DAKAP. This depended on their awareness and persuasion about the virtue of the SHD based principles, priorities, objectives and soft instruments of the Program; and their adoption of the new participative and entrepreneurial development vision which suggested bearing a proactive and cooperative role in long-term DAKAP implementations and the ever-lasting local SHD process.

In the districts, like Şenkaya and Susuz districts, and Öncül village, where mobilization and agency was high, local peasant communities had adopted the new participative and entrepreneurial development vision suggested by DAKAP widely; and advocated to the KKKP implementations, thus took proactive and cooperative roles as both decision-makers and executives by means of the İKKs, the village project councils and the local NGOs. In these districts, İKKs functioned well, and SÜRKAL and other stakeholders cooperated actively in planning, budgeting, implementation and monitoring of the projects, from the beginning, up to the end of KKKP.

However, in districts like Çıldır district and its Aşık Şenlik district, only a certain number of opinion leaders were persuaded to be proactive and cooperative agents in

KKKP. In Çıldır and Olur districts, NGOs and individuals in the district communities didn't provide sufficient advocacy and agency.

Advocacy and agency had also varied with the time. In the preliminary stage, a certain number of local actors in the nine districts that DAKAP Coordination chose as nominees of KKKP implementation area showed an encouraging interest in participating to the governance mechanisms and implementation of the Project. In most other areas, key local actors and public authorities behaved in a negative way against the steering bodies, since their monetary expectations from DAKAP resources didn't match the universal principles and strategic priorities of the Program. They were not trustful against the universal principles and instruments of SHD strategy and DAKAP. They were rather eager to get monetary aids rather than trainings.

As a dramatic anecdote, *Development Expert 3*, once one of the experts of SÜRKAL who worked in KKKP process, stated that:

“In the workshop we arranged in the very beginning of KKKP [Erzurum 2002], some local public administrators and the representatives of the local public stakeholders came to us and demanded a share of Money which they calculated on their own. They said that: ‘Give us our 200.000 dollars and let us go. Don’t preach us what to do.’ However, after the implementations began and advanced they began to understand our goals and methods. As far as they they understood us their behaviour changed in time.”

In the beginning of the implementation stage, SÜRKAL could only cooperate with a certain number of public administrators and opinion leaders, in the first group of pilot districts, Şenkaya, Susuz and Çıldır. The rest of the populace was not aware of the importance of KKKP. In later stages of the Project implementation, as İKKs were established and people participated to some successful project implementations, they began to get aware and persuaded about the virtues of SHD strategy and its soft instruments; and adopted the participative and entrepreneurial vision it suggested. Thus the advocacy and agency of the local actors and communities rose, specifically in all districts in time, specifically in Şenkaya and Susuz. *Public Official 2*, once a member of the Susuz İKK and the actual Director of Public Training Center, in Susuz, stated his own observation about the same issue:

“In the beginning advocacy and participation was low. For example hothouse planting demonstrations began with 3 demos. They were not adopted by other villagers in the beginning. But later on participation accelerated. We built around 30 hothouse demos during the DAKAP years.”

Public Official 3, once KKKP Development Official and İKK member in Susuz, added her own observation:

“In the beginning people came to us by hoping that we would give them money, medicine etc. We told them that we would give them trainings and some raw material, but they had to do the rest on their own. So, they stayed away from us. However, as they saw the results of the successful demonstrations, their interest and participation increased.”

On the other hand, the success of the trainings, demonstrations and other projects also influenced the attitude of some other districts against KKKP. In time, 3 more districts and 10 more villages demanded to participate to the KKKP implementations; participants began to rush to the trainings from the villages in the neighbourhood of the pilot ones; and demonstrations had spread to these neighbour villages fastly, in almost all pilot areas. Moreover, NGOs of some other districts than the pilot ones also got involved to project partnerships. As an example, *SME Owner 3*, the Chair of Doğruyol Fishery Cooperative, in Doğruyol (a district in the neighbourhood of Çıldır) told that:

“During 2004-2005 period, me and my brother, who is deceased now, had spent efforts on protection of Çıldır lake and development of sustainable fishery activities in partnership with SÜRKAL and an association in Çıldır. My deceased brother was the Chair of our Cooperative (Doğruyol-Arpaçay Kooperatifi) on freshwater fishery. We established our fishery farm with the support of SÜRKAL.”

However, in the last years of DAKAP implementation, the trend of the high local agency turned downwards and dramatically decreased because of a serious problem, in Olur and Çıldır. In the beginning, in Olur, the district administrator behaved in a participative and cooperative manner against SÜRKAL and empowered the İKK widely, and the implementations had been carried on successfully with high popular participation. But, after the administrator was appointed to another district, the successor administrator didn't behave in the same positive manner against SÜRKAL and the İKK. Thus, functionality of İKK decreased and the level of local agency fell.

A similar situation occurred in Çıldır. In this district as the administrator was appointed to another district and the mayor changed with the elections, Çıldır İKK lost its functionality almost wholly, and implementations almost stopped, except for Öncül village.

Öncül village had been an exception in Çıldır District. Although Çıldır İKK became almost unfunctional and the local agency dramatically fell in the district center and the

other villages like Aşık Şenlik; participation and local agency within the project implementations lasted in Öncül, by bypassing the routine LGP model where İKKs were in the central position. This had been possible by the individual efforts of the SÜRKAL experts, *Village Headman 2* (Öncül Headman), and the members of the project councils in this village.

9.1.2. Actual Local Agency in DAGİDES

In the DAGİDES component, specific target groups were local entrepreneurs, investors and SMEs in leading local economic sectors; and disadvantaged groups, specifically women and youth. DAGİDES had a specific focus on enabling women entrepreneurs to create their self-employing businesses; and earning unemployed youth some vocational skills (UNDP/AÜ 2005: 54).

The sectors of the society which were most mobilized by the preliminary negotiations, consultation meetings and workshops, in the beginning of the planning stage of DAGİDES were small and middle size service and arts and crafts producers (arts and crafts SMEs), small agricultural producers, and women (especially entrepreneur women), in Erzurum, Bayburt and Oltu district (Erzurum). The institutional actors who represented the interests of these groups had become the most advocated participants, empowered decision-makers, and proactive and cooperative stakeholders in the planning and implementation of the Project, up to its end. The major institutional stakeholders were ETSO, ESOB, ER-KADIN, TKB Erzurum Branch, DATÜB, Oltu Amber Association, BTSO, Bayburt Marble Producers Association, Association for Fighting against Tuberculosis Bayburt Branch, and Bayburt Association for Womens' Cooperation and Solidarity.

Most of the named institutional actors (specifically the ones in Erzurum) had found the endogenous circumstances of the LGP congruent to the good local governance conditions; and advocated to DAGİDES from the first face-to-face PGMs (negotiations and presentation meetings) of the preliminary stage, up to the end of the implementation stage, in 2006. These actors became aware of and embraced the entrepreneurial development vision and the proactive and cooperative role SHD strategy suggested for the participant actors; the significance of its emphasis on empowerment of women and youth; the importance of the soft methods depending primarily on training and increasing human capabilities; and the importance of organizing and creating partnerships for

contributing to the local SHD process. They were persuaded that creating a long-term sustainable development potential is more important than long-term monetary and material benefits. They were also persuaded that DAKAP implementations will be helpful in realizing the development expectations of the social groups they represented. They engaged into the designing, budgeting and implementation of almost all trainings, demonstrations and socioeconomic projects that their grassroots and target groups were related, from the beginning. They had prepared and implemented their own projects in partnership with DAKAP Coordination and other public, private and NGO stakeholders.

As a particular example, ETSO was so advocated to the Program that it not only provided the representation and participation of the entrepreneurs of Erzurum, but also provided hosting to almost all meetings of DAKAP Coordination, proactively. It also established an “EU Project Support Office” in its body, and served the needs of entrepreneurs and NGOs, in project preparation and management. It had engaged in implementation of a series of DAGİDES projects; and prepared and implemented its own projects in partnership with DAKAP Coordination and other local, national and international stakeholders. In fact, the proactive attitude and activities of ETSO was one of the major factors for relative success of DAKAP in Erzurum.

DATÜB and ER-KADIN got also so advocated to the Program that, they spent a parallel effort both in fostering their members and grassroots to participate to DAKAP implementations, and in preparing their own projects in benefit of their grassroots, in partnership with DAKAP Coordination and other local, national and international stakeholders. DATÜB provided the presentation of DAKAP, with its own printed material, in other provinces of East Anatolia.

These leading civil institutional actors and individuals, like *Academician 1*, *Academician 2*, *Academician 3*, *NGO Representative 1* (ER-KADIN), *NGO Representative s 2* (DATÜB) and *QUANGO Representative 2* (ESOB) have carried on their advocated and proactive role in the local SHD process during the DAGİDES implementation period. Besides, the members and grassroots of these organizations had also participated to the trainings, entrepreneurial supervision services and other capacity building and socioeconomic projects, in considerable numbers, during DAGİDES implementation stage. Although, participation of the populace was rather low in the beginning, it accelerated and widened throughout the process. The most part of the participation to the implementations came from the members and grassroots of the major

stakeholder institutional actors, which participated to the governance process from the beginning of the planning stage. This was because, these organizations had provided an effective announcement of both their own programs and projects; and the implementations of other stakeholders, throughout the DAGİDES component.

As for the monitoring and evaluation part, the major local stakeholders of DAKAP had the chance to participate to the program evaluation meetings, in Erzurum, in 2003 and 2004. The implementations of DAKAP steering bodies and other stakeholders were presented and widely discussed in these monitoring and evaluation meetings

However, in both Erzurum and Bayburt, a wider second group of other social sectors and their representative institutional actors couldn't have the opportunity to participate to the planning and/or other stages of the program, as effectively as the first group, because of the discretionary preferences of DAKAP Coordination in participant selection. Most of the NGOs related to youth and disabled people and children; NGOs of cause groups focusing on environment, health and education; some chambers and the worker and public official unions were not invited to the planning of these programs and projects. As a result, they couldn't participate to the LGP in the planning and implementation of the projects. LGP was blocked for all these institutional actors in the very beginning. These were organizations, like Erzurum Youth Association, White Walking Stick Visually-impaired People's Association, Erzurum Mentally Impaired People's Association, Türk-İş Erzurum Branch, Eğitim Sen Erzurum Branch, Turkish Disabled People's Association Bayburt Branch, Bayburt Chamber of Artisans and Craftsmen, and Bayburt Union of Bee Breeders. In fact, some of these organizations didn't even hear about DAKAP and DAGİDES, because of the lack of sufficient and efficient announcement of the Program, by DAKAP Coordination.

In some other cases, some NGOs heard about DAKAP, invited to the meetings and showed a certain interest in the face-to-face PGMs (presentation meetings and workshops) in the beginning, but lost their interest later on. These were NGOs, like Turkish Disabled People's Association Erzurum Branch and Turkish Visually-impaired People's Association Erzurum Branch. The interviewees from these NGOs declared the reason for their leaving the LGP was that they did not find *the steering quality*, *the communicative atmosphere* and *the authority structure* in the governance mechanisms satisfactory, with respect to the endogenous conditions of good governance. They were not persuaded about the principles, priorities and the entrepreneurial vision DAKAP

suggested, either. Thus they lost their advocacy and interest in the Program; and stopped participating. On the other hand, *NGO Representative 5*, representative of TSD Erzurum Branch also stated that they couldn't initiate a project and get into partnership with DAKAP Coordination because of another reason: their institutional, financial and human capacities and experiences were quite weak for such an attempt.

As an expected result, the participation of the members and grassroots of these excluded NGOs couldn't be as high as the participation of the members and grassroots of the included institutional actors. This was because these NGOs hadn't announced and/or oriented their members and grassroots towards DAKAP's training projects or other projects. They had neither prepared any projects in partnership with DAKAP Coordination.

Nevertheless, a relatively less but certain number of individuals out of the grassroots of these excluded organizations also attended the training projects, and socioeconomic projects. The characteristic example for this was the youth of Erzurum, Oltu and Bayburt, who found the opportunity of attending the vocational and other training projects of DAGİDES. Especially a number of young women benefitted from these projects (specifically the ones prepared and implemented by ER-KADIN) by the help of the cross-cutting identity they had, having been young and women. As a result, although youth NGOs couldn't attend the governance process and preparation of these training projects in the planning stage, their grassroots were included to the implementation stage, in large numbers, by virtue of the institutional actors and DAKAP Coordination in choosing their target groups. This is why the attendance to implementation stage was higher than the attendance to the governancial meetings and workshops in the planning stage of the DAGİDES component.

There were also some spatial and temporal differentiations in participation to the planning and implementations of DAGİDES. In general there observed an increase in participation and local agency, as some successful implementations took place. The successful project implementations increased the trust of the local actors and communities to DAKAP and its soft instruments; and local agency also increased parallelly, in time, in almost all localities of DAGİDES area, except for Erzincan.

As a specific example, DAGİDES couldn't progress in Bayburt, in the beginning of the planning stage. Then, Bayburt Governor was indifferent to DAKAP and didn't try to

keep in touch with the DAKAP Coordination. Moreover, the directorate of BTSO didn't respond the invitation of DAKAP Coordination positively, because their priority and major demand from DAKAP Coordination was providing support to the agriculture and animal husbandry sectors, in the preliminary negotiations. But, DAKAP Coordination wanted to focus on the marble and natural stones sector. Thus they didn't agree with BTSO's demand. BTSO was a doorkeeper institutional actor, in Bayburt. So, DAKAP couldn't find any local agency in Bayburt, in the beginning of the planning stage.

However, in time the directorate of BTSO changed and the new directorate was willing to cooperate with DAKAP Coordination in development of the marble and natural stones sector; and to establish Bayburt GİDEM in the body of BTSO. Meanwhile, a new governor who was open to understand the principles and priorities of DAKAP came to the city, in 2005. Thus, the situation in Bayburt became highly participative and beneficiary, especially in the name of some social groups. Especially the marble and natural stone producers had widely participated and benefitted from DAGİDES. The advocated efforts of the new BTSO directorate were valuable, in providing the proactive and cooperative participation of the marble and natural stones sector to the planning and implementations of some project partnerships. The EU Project Support Office at BTSO, which was established in partnership with DAKAP Coordination in 2005, had been very busy with the PCM training and project management support demands of the local entrepreneurs of Bayburt, towards EU TRA2 Grant Program.

Research Assistant 2, a DAKAP Coordination Center ex-member called this situation as a *miracle*:

“We started our work in Bayburt quite late, after Erzurum. But, in the end, the results in Bayburt was far more than Erzurum. What happened in Bayburt was wholly a miracle.”

On the other extreme was Erzincan. Throughout the whole process, Erzincan had been a failure. It was the dead end of DAKAP. DAKAP Coordination could maintain positive relationships and partnerships with neither the public authorities, nor NGOs and chambers, in Erzincan; except for a baseline survey to document the strengths and weaknesses of its productive sectors in the planning stage of the Program, and a PCM seminar, performed in 2005. So, it could not maintain a good LGP; and couldn't provide significant participation and local agency in this city. According to the ex-members of DAKAP Coordination, this was because of *ideological prejudices of public authorities*

and *regionalist xenophobic reservations* of the *key local actors*, like the chambers, in Erzincan.

9.1.3. Actual Local Agency in DATUR

DATUR project aimed at triggering a characteristic change in the economic activities of the localities from agriculture to tourism, specifically in the rural areas. Thus its specific target groups were SMEs (hotels and pensions), entrepreneurs and employees in tourism sector; sports clubs on water sports; youth and women.

However, DATUR Coordination was not successful in creating a sufficient level of mobilization, advocacy and agency of the local target groups and civil society, in İspir and Yusufeli district centers. This was majorly because DATUR Coordination preferred to plan and perform the project implementations with the support of local public authorities; rather than through an LGP that local non-governmental institutional actors participate and cooperate. *QUANGO Representative 8*, the Chair of İspir Chamber of Tradesmen and Artisans stated that:

“In the very beginning of DAKAP, we negotiated with Academician 1 and Academician 2, in the name of our chamber, and stated our opinions and demands. We stated that İspir needs sustainable enterprises on tourism. We also stated that we were willing to participate to DATUR and cooperate as a stakeholder, for establishment of tourism enterprises. They listened to us. But later on when DATUR implementations began the DATUR Coordination didn't get into contact with us. They rather preferred getting in touch with the Mayor and the District Administrator. They excluded us. In the end no private tourism enterprises were established in İspir.”

Thus there didn't occur a sufficient level of agency of the local SMEs, chambers and the civil society -except for a unique NGO, namely Çoruh Nature Association- within planning and implementation of the trainings, demonstrations and other projects. The mentioned NGO was established by the support of DATUR Coordination and cooperated with it in some projects.

The same thing happened in Yusufeli and except for one or two water sports clubs no considerable participation occurred from the civil society and the local SMEs of tourism (hotels and pensions) to the planning and implementation of DATUR projects. Consequently, the number of the popular beneficiaries participated to the projects in these two district centers was quite low, except for a few training sessions; and it lessened in time.

However, DATUR encountered with a relatively higher level of mobilization, advocacy and agency from the smaller towns and villages in Çoruh Valley, like Barhal, Kılıçkaya, Tekkale, Yedigöl, Sırakonaklar, Olgunlar and Yaylalar. Specifically in Sırakonaklar village, some notable projects for fostering establishment of touristic pensions and stockbreeding were carried on; and the villagers showed a high interest and participation to the planning and implementation of these projects. They provided especially the participation of young villager men and women. Villagers proactively cooperated with the DATUR Coordination, İspir District Administration and AÜ İspir High School.

Another project that DATUR Coordination provided supervisory support was the *Reproductive Health Project* in Kılıçkaya town. It was steered by Kılıçkaya Culture and Solidarity Association and sponsored by EU/Turkish Health Ministry joint Reproduction Health Program. A good number of Kılıçkaya women and children participated to this project as beneficiaries.

9.1.4. Evaluation of the Actual Local Agency during DAKAP

In the preliminary stage of DAKAP, the presentation tours and negotiations were partially successful in providing a sufficient and effective announcement and presentation of DAKAP; and in providing the sufficient mobilization and advocacy of some of the local actors. A number of local actors from the public, private and civil society sectors responded positively and showed an advocated interest in participating to the face-to-face PGMs and taking role in planning and implementation of common projects; and/or preparing and implementing their particular projects, in partnership with the steering bodies.

These actors got aware and adopted the entrepreneurial vision which suggested that they should not wait for the State to provide all their development needs, but instead they should be proactive and cooperative agents and spend their own efforts to contribute to the local SHD process. They understood that long-term sustainability of local human development is more important than long-term monetary and material benefits; and for this, development of human capacities by training projects, and creation of sustainable partnerships and organizations was important.

So, these actors participated to the following stages of DAKAP as decision-makers on the planning of the project implementations; advocated and proactive stakeholders of

project partnerships; and beneficiaries of the implementations. Especially in the localities of KKKP area, like Şenkaya, Susuz and Damal districts continuous and powerful PGMs, namely İKKs, which empowered local communities adequately were employed and prevailed throughout DAKAP. Thus the local agency was quite high. In Öncül village of Çıldır, although Çıldır İKK stopped functioning after the change of the administrator and mayor, SÜRKAL spent specific effort to carry on its contact with the villagers and sustained their local agency up to the end of KKKP.

In DAGİDES, DAKAP Coordination carried on face-to-face PGMs in the preliminary and planning stages; and carried on its contact with the stakeholders majorly via project partnerships, in the implementation stage. A group of local target groups and advocated stakeholders participated to the LGPs and the implementations continuously from the preliminary stage, up to the end of DAGİDES.

However, the LGPs in Erzurum and Bayburt resulted in only a partial local agency. There were another group of local target groups and local actors who didn't respond the invitation of the DAKAP Coordination positively in the preliminary stage, and stayed away from the rest of the Program. As the interviewees from DAKAP Coordination stated, this was because of their negative *attitudes* against development issues and/or DAKAP. As stated in the last chapter, these negative attitudes were results of *ideological (nationalist, regionalist, xenophobic) prejudices* and *reservations* against multi-level governance relations and international institutions; prejudices against development practices, because of *experiences* of past development policies and practices. Distrust against the soft instruments of SHD strategy; and *monetary expectations* from DAKAP resources which didn't match the principles of SHD were other causes of negative attitude.

On the other hand, some of the important grassroots NGOs, chambers and trade unions couldn't participate to the Program, because of the insufficiency of DAKAP Coordination in announcement of DAKAP; and its discretionary preferences in participant selection. This was especially true for the implementation areas of DAGİDES and DATUR components. As stated in the last chapter, DAKAP Coordination excluded the trade unions; many of the grassroots NGOs of major disadvantaged groups; NGOs of some cause groups on environment, health and education from the LGPs, in Erzurum and Bayburt and didn't provide a sufficient announcement and presentation to these

grassroots institutional actors. So, many of these local actors didn't even here about DAKAP.

Parallely, DATUR Coordination excluded the local chambers and tourism SMEs from the LGPs, in İspir and Yusufeli. DATUR Coordination experts rather preferred keeping in touch with the local public authorities and implementing the projects with their support. So they didn't announce and present DATUR to the representatives of the local civil society and private sector, in these district centers.

Consequently, LGPs were blocked for all these institutional actors in the very beginning, because of the lack of sufficient and efficient announcement of the Program, by the steering bodies. As a result, they couldn't participate to the LGPs in the planning and implementation of the projects, in DAGİDES and DATUR components. The related NGOs hadn't announce and/or orient their members and grassroots towards project implementations of DAGİDES and DATUR. They neither prepared any projects in partnership with the steering bodies.

Another common obstacle against actual local agency was the institutional inadequacies of the stakeholder NGOs, which was in fact the reflection of the general weakness of the local civil society, specifically in the rural areas of KKKP and DATUR. The institutional structures, financial and human capacities of some of the stakeholders were not sufficient to perform efficient project implementations. So, such NGOS couldn't have *self-confidence* to their institutional capacities for initiating and implementing projects; and didn't participate to the project partnerships.

On the other hand, in DAGİDES, institutional representatives (NGOs) of some of the local target groups left following the LGPs, because they seriously criticised the endogenous factors of the LGPs, with respect to good governance criteria. So, although these actors participated to some of the face-to-face PGMs in the beginning, they didn't get into project partnerships with DAKAP Coordination.

Attitudes and manners of public administrators in the preliminary negotiations were specifically important. Some of the mayors and administrators, showed sympathy and supported DAKAP, appropriated the steering role of the University, UNDP and SÜRKAL; participated to the LGPs as equal, cooperative, responsible and friendly partners; and behaved in a quite horizontal, participative, deliberative, and compromising manner, in the face-to-face relations. They also acted as cooperative and effective

stakeholders towards the strategic goals of SHD, in accordance with the governance spirit. Such positive attitudes of the administrators and mayors promoted and accelerated the participation of the private and civil society actors to the LGPs and project implementations, too.

However, some other public administrators behaved wholly indifferent and thus uncooperative to the Program; while some were wholly hostile against the steering bodies because of their negative attitudes arising from ideological prejudices and reservations against participatory democracy, governance and multi-level partnerships. They distrusted the soft instruments of the SHD strategy; resisted the new role LGPs suggested them as equal partners; and wanted to maintain the control of the LGPs and DAKAP budget, as in their traditional role at the top of the hierarchy of the local institutions. Most of such administrators were able to block the LGPs just after the preliminary negotiations, because of the privileged position of the public administrators on public resources and services, arising from the traditional Turkish political culture, and the legal administrative structure. In addition these public administrators and some key institutional actors with negative attitudes were capable to influence the attitudes and manners of the other local actors and the local community. So, the actual agency of the other local actors and the local community were also blocked in parallelism with the LGPs, in these localities.

In the planning and implementation stages, such negative attitudes and manners of the participant public authorities caused authority conflicts in the functioning of the local participative face-to-face mechanisms and project partnerships. They became obstacles against the LGP and implementations; demoralised the other local actors; and thus decreased the level of the actual local agency, in some localities.

Circulation of the public administrators and officials influenced the LGPs and the actual local agency, in trivial ways. A similar situation was about the change of mayors and the village headmen with the elections. Such changes in administrators, mayors and village headmen usually deteriorated the LGPs; and parallely decreased the level of the actual local agency, in some localities. In some cases, reverse situations occurred. The notable cases were Çıldır and Olur districts, where İKKs malfunctioned after such changes. In Bayburt, a reverse situation took place and change of the governor with appointment provided a chance for DAKAP Coordination to advance a good LGP, and mobilize a good deal of local agency, in this city.

9.1.5. Assessment of the Relationship between the LGPs and the Actual Local Agency in DAKAP

As the result of the second part of the second research theme, a positive relationship was observed between the *level of the actual local agency* and the *qualifications of the endogenous factors* of the LGPs with respect to the endogenous conditions of good local governance, in the case study. In other words, there observed a notable *parallelism* between the *level of the good governance qualifications* of the LGPs and *the level of the actual local agency* in varies localities of DAKAP area. So, it may be concluded that the LGPs within DAKAP had been capable of triggering and sustaining a level of actual local agency, in parallelism with the level of their good governance qualifications, as the analytical model developed in Chapter 7 anticipated.

So, the case study provides a considerable support to the anticipations of the *analytical model* on the contributions of good local governance to the actual local agency in a SHD based SDP. As the more the qualifications of the LGPs within DAKAP held the good governance criteria, the more they provided the participant local target groups and actors with the entrepreneurial vision, awareness and attitudes on development; with advocacy to the SHD goals and principles; and with trust to the DAKAP implementations. In addition, the more the LGPs had good governance qualifications, the more they provided the participant actors with sufficient voice and vote on the determination of the most valued objectives and the suitable projects, in accord with their own needs, priorities and preferences; the more they built compromise among them so that they cooperated in the project partnerships as proactive stakeholders; and the more they participated to the implementations as beneficiaries.

The qualifications of the endogenous factors of the LGPs were more influential on the actual local agency than the exogenous circumstances of the localities, during the lifetime of DAKAP. Continuity of the LGPs via inclusive and powerful PGMs which involved just and appropriate participant selection, open and horizontal communication and interactions, and sufficient empowerment of the participants on the objective-making and implementations of the projects were very important in the success of the LGPs. The role of the performance of the steering bodies were also quite significant in the success of the LGPs in triggering and sutaining the actual local agency, in DAKAP.

More specifically, although exogenous circumstances of the LGPs were not sufficiently congruent to the exogenous conditions of good governance in the KKKP implementation area; a high level of agency of the local target groups and key local actors seemed to be realized in Şenkaya, Susuz and Damal districts, and Öncül village (Çıldır). This was because, Şenkaya, Susuz and Damal districts were the ones where the İKKs had performed as continuous and powerful PGMs; and reflected quite high qualifications with respect to the endogenous conditions of good local governance. Besides, SÜRKAL experts spent notable efforts to carry on such a good LGP and to provide the local agency, via a close relationship with the İKKs peasant communities and the local NGOs, despite a few in number. In addition, the local administrators behaved in a positive manner against SÜRKAL and İKKs; and provided them a considerable level of autonomy and empowerment. So, as some successful demonstrations took place, advocacy and agency of the local actors and the peasants accelerated in time.

In Çıldır and Olur districts, and in their villages (except for the Öncül village), the level of the local agency decreased considerably, because of the İKKs lost their functionalities up to a high level, after the public administrators –and the mayor in Çıldır– changed with appointment and 2005 elections. Thus, as the LGP lost its qualifications of good governance, local agency decreased parallelly in these localities.

Öncül village was an exception, in KKKP area, where a specific good LGP took place and project implementations lasted by virtue of the specific efforts of SÜRKAL experts and the project councils in this village. SÜRKAL experts bypassed the disfunctioning Çıldır İKK and continued their contact with Öncül people.

Then, in KKKP the most mobilized and participant local target groups had been pilot village communities in Şenkaya, Susuz and Damal districts; fishermen in Çıldır and Doğrüyol; and the community of Öncül village, in Çıldır. The most proactive and cooperative *non-governmental stakeholders* had been Şenkaya Wildlife Protection Association, Çıldır Lake Protection and Regeneration Association, Doğrüyol Fishery Cooperative, Damal Agricultural Development Association, and Olur Ormanağzı Village Agricultural Development Association. The most advocated and proactive *individual agents* had been *NGO Representative 15*, *NGO Representative 14* (Şenkaya Wildlife Protection Association), and *Village Headman 1* (Headman of İkizpınar Village), in Şenkaya; *Public Official 2* (Director of Public Training Center), in Susuz; *Mayor 1* (Çıldır Lake Protection and Regeneration Association; then Mayor of Çıldır) and *Village*

Headman 2 (Headman of Öncül Village), in Çıldır; Yener Şener (Doğruyol Fishery Cooperative), in Doğruyol.

Despite the exogenous circumstances of the urban area of DAGİDES were relatively more suitable for good local governance; LGPs in DAGİDES component couldn't provide a sufficient level of local agency, because of the insufficient qualifications of the endogenous factors of the LGPs with respect to the endogenous conditions of good local governance. A wider portion of target groups and disadvantaged people couldn't or didn't participate, have control and benefit from DAGİDES, in Erzurum and Bayburt. The representatives of some of these groups and stakeholders didn't exercise a good LGP with respect to the endogenous conditions of good local governance, and heavily criticized the endogenous factors of the face-to-face mechanisms. In addition, representatives of some local target groups and institutional actors had been excluded from the LGPs, from the beginning of the preliminary stage because of the arbitrary participant selection of DAKAP Coordination; and some of them didn't even hear about DAKAP because of insufficient announcement of the Program, although they had a considerable level of institutional capacities, in both Erzurum and Bayburt. Besides, DAKAP Coordination didn't spend the sufficient effort to gain the excluded target groups and stakeholders to DAGİDES.

Moreover, Erzincan people stayed away from DAKAP since preliminary stage. DAKAP Coordination could not maintain significant relationships and partnerships with the local actors of Erzincan. So, it could not maintain a good LGP; and couldn't provide significant participation and local agency in this city.

Nevertheless, a number of target groups and stakeholders who experienced a good LGP from the beginning of the preliminary stage got mobilized and advocacy, and participated to the planning and implementation of projects proactively and cooperatively, in Erzurum, Oltu and Bayburt. In addition, a good number of members of target groups, entrepreneurs, producers, women, entrepreneur women, small landowner peasants and unemployed youth participated to the implementations of DAGİDES, as beneficiaries.

In DAGİDES, the most mobilized and participant local target groups had been small producer and service sector SMEs; tradesmen, arts and craftsmen; entrepreneur men and women; small peasants and unemployed youth; mothers and their children, in Erzurum; Oltu stone jewellery producers and workers, in Oltu; small producer and service sector

SMEs; marble and natural stone producers and entrepreneurs; mothers and their children, in Bayburt. The most proactive and cooperative *non-governmental stakeholders* had been ETSO, ESOB, ER-KADIN, DATÜB, MESİNDER and TKB Erzurum Branch, in Erzurum; Oltu Amber Association; BTSO, Bayburt Marblers' Association, the Association for Fighting Tuberculosis Bayburt Branch, and Bayburt Association for Womens' Cooperation and Solidarity. The most advocated and proactive *individual agents* had been *Academician 3* (MESİNDER), *NGO Representative 1* (ER-KADIN), *NGO Representative 2* (DATÜB), *QUANGO Representative 2* (ESOB), *NGO Representative 3* (TKB Erzurum Branch), in Erzurum; *QUANGO Representative 5* (BTSO), *Public Official 1* (Bayburt Marblers' Association), *NGO Representative 11* (Bayburt Association for Fighting Tuberculosis-BVSD), in Bayburt.²

In DATUR, there didn't occur a sufficient level of mobilization, advocacy and agency in the local community and civil society, in İspir and Yusufeli district centers. This was because, DATUR Coordination preferred to plan and perform the project implementations with closed one-to-one relations with the district administrators and the mayors; instead of carrying on an LGP that local non-governmental institutional actors participate and cooperate. So, DATUR Coordination excluded local chambers, SMEs of tourism sector and NGOs (except for problematic contacts with 2-3 of them) from the planning and implementation of trainings, demonstrations and other projects. Consequently, the number of the popular beneficiaries of the projects in these two district centers had been quite low, except for a few training sessions; and it had lessened in time.

However, DATUR Coordination provided a relatively higher level of mobilization, advocacy and agency from the smaller towns and villages in Çoruh Valley. In Kılıçkaya town and Sırakonaklar village, some notable projects were carried on. Specifically in Sırakonaklar, the villagers showed a high interest, cooperation and participation to the planning and implementation of these projects. They provided especially the participation of young villager men and women.

In DATUR, the most mobilized and participant local target groups had been young water sports people, in İspir and Yusufeli; village community of Sırakonaklar; and mothers and children, in Kılıçkaya. The most proactive and cooperative *non-governmental stakeholders* had been Çoruh Nature Association, in İspir; Yusufeli Water

² BVSD: Bayburt Verem Savaş Derneği

Sports Club, and Kılıçkaya Culture and Solidarity Association. One of the most advocated and proactive *individual agent* had been *Village Headman 3* (Headman of Sirakonaklar).

9.2. Sustainable Local Agency in DAKAP

The investigation in this chapter will continue with the fourth theme. Thus it will first the present the level of the sustainable local agency that is the proactive role and control of the former local target groups and stakeholders of DAKAP on the everlasting SHD process, after DAKAP ended.

9.2.1. Sustainable Local Agency in KKKP

During the implementation stage of KKKP, SÜRKAL managed to establish relatively good governance relationships, and partnership networks among actors; presented the entrepreneurial vision, participative, deliberative and cooperative attitudes on development; and the principles of SHD strategy in the localities of the KKKP area. SÜRKAL also provided some trainings on entrepreneurial, organizational, civic and legal issues, and PCM. These efforts definitely provided some considerable sustainable effects on the entrepreneurial and participative capacities of some individual economic and social entrepreneurs.

İKKs served as some training facilities for their members, as well as the major PGMs, in the localities. They provided their members with some valuable experiences on good governance relations, project management and partnerships. They also provided establishment of closer relations among the local district administrations, the local civil society and the village communities; and development of some deliberative, participative and cooperative relations and routines which let local NGOs and peasants take part in the local decision-making on local development issues. In addition, the members of the İKKs established new NGOs, at the end of DAKAP, which aimed to increase collective capacities of the districts towards sustainable local development.

The organizations and partnerships initiated by the good LGPs within KKKP were partially sustained, during the days of the research survey. Some of the organizations established in the KKKP implementation area, like “Susuz-Cılavuz Development Association”, “Şenkaya Development Association”, “Şenkaya Association for Protecting the Wildlife” and “Şenkaya Ecological Agriculture Association”, still existed and were partially active. They were still initiating and implementing some economic, social and

environmental projects; and creating partnerships with public institutions and multi-level stakeholders. SÜRKAL was also still providing some support for these NGOs, sometimes as a formal and sometimes as an informal partner.

However, these contributions were not enough to develop a sufficient local self-governance capacity, in most of these communities. The main reason for this was the lack of a well-structured civil society, which had been a critical problem of our country in general and especially in rural areas. The scarcity of economic capital, specifically the lack of financial resources was another reason. So, although the İKKs served as a basis for the establishment of some new NGOs, the KKKP trainings couldn't lead an increase in the number, integration, and institutional, financial and human capacities of the local NGOs sufficiently towards becoming proactive sustainable agents of local development, after DAKAP. Öncül Development Association was officially annihilated and dissolved; and Olur Eğlek Agricultural Development Cooperative became unfunctional and idle, because of the lack of sufficient institutional capacities and financial resources. Besides, the surviving NGOs stayed active by the efforts of some leading individual entrepreneurs.

The other problem was that although DAKAP governance mechanisms, training projects and newly established organizations and partnerships empowered the participant individuals, target groups and communities to organize in self-organizations and participate to the local partnerships and local decision-making processes, during 2001-2006 implementation period; the participative, deliberative and cooperative relations and routines inherited from DAKAP was no way strong enough. So, they couldn't provide sustainable empowerment of the individuals and social groups for a more direct, better and wider access to local public administration, except for a unique district, Şenkaya.

Nevertheless, a group of individual social entrepreneurs, like *Public Official 2* in Susuz, *Public Official 4* in Olur, and *NGO Representative 14*, *Village Headman 1* and *NGO Representative 15* in Şenkaya and the surviving local NGOs they led with individual efforts had been the agents of the local economic and human development by preparing and implementing some new projects, after KKKP, up to 2010. These individuals were the students of the İKKs of KKKP and learnt PCM skills in KKKP trainings. Yet, these individuals and the NGOs they led couldn't initiate fruitful local partnerships with other local NGOs, because of the weakness of the local civil society and the insufficient development of the local self-governance capacity, in the rural communities of the former KKKP area. They rather established some multi-level

partnerships; and/or provided some support from the local public institutions, while implementing their projects.

Public Official 2 was the Director of Public Training Center, in Susuz. He was one of the advocated members of the Susuz İKK and had regularly attended most of the training projects, including PCM and PCM Trainer trainings, from the beginning of KKKP, up to its end. He was the leading founder of Susuz Cılavuz Development Association. After KKKP, he carried on his services to Susuz community, as a social entrepreneur. He provided the survival of Susuz-Cılavuz Development Association, and went on preparing and implementing new projects, in the name of Susuz Cılavuz Development Association, after KKKP.

Public Official 4, Olur District Director of Agriculture, was the member of Olur İKK, when it functioned regularly, in the beginning of KKKP. He also followed the PCM and other trainings carefully, during this period. Although the LGP was disturbed by malfunctioning of Olur İKK and the project implementations deteriorated after the district administrator changed with appointment, he spent a personal effort to go on following the trainings. He benefitted from the trainings of KKKP a lot. In the end, he initiated a series of multi-level partnerships and implemented fruitful new projects, after DAKAP.

Village Headman 1, the Headman of İkipinar village in Şenkaya, was another leader agent, agitated by KKKP implementations and deeply advocated to the entrepreneurial vision on development. He was one of the members of Şenkaya İKK, during KKKP years. He spent a great deal of efforts, both during KKKP period and after it ended for the long-term success of the Program.

NGO Representative 14 and *NGO Representative 15* were local public officials and some leading figures of the local NGOs, in Şenkaya. They had been active members of the İKKs and participants of the KKKP trainings and demonstrations, during DAKAP. They took part in establishment of some surviving and active local NGOs, like Şenkaya Development Association, Şenkaya Association for Protecting the Wildlife, Şenkaya Ecological Agriculture Association; and initiated and implemented some fruitful activities and new projects, after DAKAP.

9.2.2. Sustainable Local Agency in DAGİDES

For Erzurum, the governance experience provided throughout DAKAP period, had been very valuable for individuals and institutional actors, who stayed close to the

Coordination, and participated to the governance meetings and other implementations. This experience let an awareness on the importance of participation, organizing and cooperating for common development needs of the city. The actors had learnt that they should not wait for government institutions and administrators to initiate the movement for fulfilling these needs. On the contrary, they themselves had to be proactive actors, who would initiate programs, and prepare projects for financing their development needs; and even lead government actors to take part in these programs and projects, as functional and responsive stakeholders.

The experience of DAKAP also developed the talents and capacities of individual and non-governmental institutional actors, towards preparing and implementing new projects. As *Academician 3* stated:

“After DAKAP, as entrepreneurs of Erzurum, we had not needed support or supervision of foreign experts or others for implementing our own projects, any more.”

DAGİDES also promoted the establishment of ER-KADIN and MESİNDER; and initiated the establishment of a partially sustainable network of partnerships, in Erzurum. ER-KADIN, MESİNDER and DATÜB who had been active stakeholders of DAGİDES projects had also been active agents which initiated new projects and benefitted from the partially maintained networks between the public institutions and the civil society, after DAKAP. Specifically the QUANGOs like ESOB and ETSO which had relatively more sufficient experience, knowledge, partnerships, grassroots support and resources initiated more development projects, and steered other non-governmental and public institutions towards cooperating for common goals, after DAKAP.

In Bayburt, the entrepreneurial vision of taking proactive role and responsibility, organizing and cooperating for development, had gradually developed among elements of civil society, by the initiation of DAKAP implementations, just like in Erzurum. Individual and institutional capacities had risen up to a certain degree, during DAKAP period. Some major NGOs and QUANGOs, like BTSO, Marblers' Association and *Bayburt Science, Education and Culture Association (BEKDER)*, had been proactive actors in development issues, who initiated projects and mobilized local public institutions as stakeholders, since the end of DAKAP, up to 2010.³ A network among some proactive NGOs, QUANGOs and public institutions was partially maintained.

³ BEKDER: Bayburt Bilim, Eğitim ve Kültür Derneği

Leaders of some NGOs frequently met to follow the bidding dates of project sponsorships; and to discuss and share these financial opportunities according to their subjects for initiating new projects.

The interest of the public administrations in local development issues and their responsiveness against the development initiatives of the civil society also relatively increased, in both Erzurum and Bayburt, after DAKAP. Erzurum Governership established a Project Management Center for the same purpose, in partnership with the Ministry of National Education; and Bayburt Governership established a Planning Coordination Directorship.

In Erzurum, some QUANGOs showed specific interest to the development issues. As an example, there was an “*EU Business Development Center (ABİGEM)*” within the body of ETSO, in the days of the research survey.⁴ It provided PCM and entrepreneurship development trainings, and support services in preparing projects and managing the complex procedures of EU grant programs for SMEs, public institutions and NGOs. In addition, ESOB had a unit and officials for following the bidding dates of project sponsorships.

On the other hand, neither during the DAKAP implementation period, nor after it ended, a sufficient self-governance capacity was developed for widening and strengthening the local partnership networks; and for mobilizing greater numbers of NGOs to become proactive stakeholders of local development projects, in Erzurum and Bayburt. DAGİDES couldn't be successful in this aspect. In both Erzurum and Bayburt, only a certain number of non-governmental institutional actors, who had the sufficient experience, knowledge and resources, had the capacity to be proactive initiators of development projects. Most of the other elements of the civil society, that was a higher number of NGOs, couldn't reach the same level of capacity in knowledge, experience and partnerships; and had stayed passive, up to 2010.

As an indicator for this passiveness, it can be stated that in the days of the research survey the activities of ABİGEM were rather limited to trainings. There were not much demand for project support and supervision from the SMEs and NGOs of Erzurum. As *QUANGO Representative 4*, an ABİGEM official stated:

⁴ ABİGEM: Avrupa Birliği İş Geliştirme Merkezi

“Nowadays, we are rather providing PCM and entrepreneurship development trainings for the public institutions, SMEs and NGOs. SMEs and NGOs don’t initiate much new projects. So, they don’t demand project support services from our center.”

Besides, the proactive NGOs were usually led by proactive individual entrepreneurs and stayed at the back stage of these individuals. Thus, in both cities, the civil society couldn't reach the sufficient level of self-governance.

Consequently, the sustainable local agency in the local SHD process had been majorly carried by some leading individual entrepreneurs; and a certain number of institutional actors at the back stage, who had a certain level of institutional capacities, after DAKAP. The most significant examples of the proactive individual entrepreneurs were *Academician 1* and *Academician 2*. Both academicians had both paid considerable working hours for coordination of the Program; and attended the PCM Trainer training projects, and served as instructors in various classes. In addition, they had actually taken role in providing support of Atatürk University to the economic and social entrepreneurs, during and after DAGİDES.

Another important individual was *Academician 3*. He attended the PCM Trainer training projects and served as an instructor in various classes, too. He worked actively in DAKAP Coordination, during DAKAP years. In addition, he was one of the 10 academicians who had attended the trainer education on natural gas systems plumbrery, which was implemented in İstanbul, in partnership with İstanbul Gas Distribution Joint-Stock Company (İGDAŞ). Then these academicians carried on the serial of the training projects on natural gas systems plumbrery, during DAKAP years. At almost the end of DAKAP, the 10 academicians established MESİNDER and had carried on these programs after DAKAP years, with the partnership of the Erzurum Governership. Besides, *Academician 3* attracted a 3,5 million Euros of finance to Erzurum, in the name of MESİNDER and Atatürk University, with various new projects implemented after DAKAP.

Some other examples of these proactive social entrepreneurs were *NGO Representative 1* (ER-KADIN), *NGO Representative 2* (DATÜB) and *QUANGO Representative 2* (ESOB), in Erzurum. In fact, these persons didn't have specific capacities or enthusiasm about issues of local human dvelopment of their city. They gained their vision, enthusiasm and capacities on these issues, via the governancial process of DAKAP and the training projects in DAGİDES component. Then they had

added valuable contributions to the whole DAKAP process; and had gone on preparing and implementing new projects, in the name of their NGOs, after DAKAP, up to the days of the thesis research.

DAKAP process also won some important individual entrepreneurs to the efforts of local development, in Bayburt. As *Public Official 1* stated:

“In Bayburt, around 10 out of 90 people who attained the PCM trainings during DAKAP period had continued to prepare and implement projects.”

Having attended PCM and PCM Trainer trainings, these entrepreneurs had taken serious parts in preparation and implementation of important economic and social projects; and attracted a considerable amount of financial resources to Bayburt, since the end of DAKAP up to 2010. Some of the important ones were like *QUANGO Representative 5*, Secretary General of BTSO; *NGO Representative 11*, Board Member and Accountant of the Association for Fighting Tuberculosis Bayburt Branch; *NGO Representative 10*, the Board Member of BEKDER and *Bayburt Poets and Writers Association (BŞYD)*; ⁵ and *Public Official 1*, the Director of Bayburt Governorship Planning Coordination Directorship and board member of some local NGOs, like Marblers' Association, BŞYD and BEKDER.

NGO Representative 10 and *Public Official 1* exposed a specific significance, in Bayburt. *NGO Representative 10* was a public official, and *Public Official 1* was a teacher, before DAKAP. Having benefitted DAGİDES trainings a lot, *NGO Representative 10* became a volunteer project manager, and prepared and implemented a number of projects in the name of various local NGOs, like BŞYD, BEKDER and others, after DAKAP.

Public Official 1 attended the PCM Trainer trainings and first became a PCM manager and trainer. He had served as an instructor for a considerable number of PCM trainees, during and after DAKAP. Then, he began to work as the Director of Bayburt Governorship Planning Coordination Directorship, during DAKAP years, and had served in preparation and implementation of 10 new projects, since DAKAP's end up to 2010. He was still in the charge of that directorship and serving in initiation and implementation of a serious of projects, in the days of thesis research.

⁵ BŞYD: Bayburt Şairler ve Yazarlar Derneği

NGO Representative 11, who was the Chair of the BVSD during DAKAP period, took various other positions in the association after DAKAP. He was one of the attendees of the PCM trainings of the DAKAP period; He had gone on preparing and implementing projects both in the name of his association, and for other NGOs and SMEs. The number of these projects amounted to 9-10.

9.2.3. Sustainable Local Agency in DATUR

In none of the district centers within the implementation area of DATUR component, a capacity of self-governance developed. The civil society in İspir or Yusufeli had been quiet weak, before DAKAP; and besides, DATUR Coordination could not manage to establish a successful communication, a good LGP and sustainable partnership networks in any of these districts, either. Thus, it could not lead adoption of the entrepreneurial vision and development of sufficient human and social capital; and consequently no self-governance capacity, which could implement development practices, without leadership of government institutions.

Nevertheless, in Sırakonaklar, where relatively a good LGP took place, the interactions among İspir District Administration, Atatürk University İspir High School and the village headmanship, which were initiated by DATUR Coordination, have survived until the days of the thesis research. Although there hadn't established an association or cooperative in the village, during the DATUR years, villagers established a new association, namely Sırakonaklar Tourism and Promotion Association, in 2009; but they hadn't initiate a new project yet.

There remained only a few exceptional individual entrepreneurs who became proactive agents after DAKAP, in İspir and Yusufeli district centers, where LGPs were problematic. They were *NGO Representative 17*, the Chair of İspir Nature Sports Association, in İspir; and *SME Owner 5* the Chair of Yusufeli Association for Appraising Local Assets and Women's Labor, in Yusufeli. These figures attained their entrepreneurial skills from DAKAP trainings, with their personal efforts.

NGO Representative 17 the leader of the İspir Outdoor Sports Association (the only active NGO in İspir) met DAKAP Coordination in the preliminary stage of DATUR. He had a short but good communication with the directors and officials of DAKAP Coordination; and led the establishment of İspir Nature Sports Association, by their promotion, before UNDP personnel took over steering of DATUR. Then *NGO*

Representative 17 followed the trainings and other implementations of DATUR with his personal interest and efforts. He was still spending effort to initiate new projects, during the days of the research survey.

SME Owner 5 had a more or less the same story. He met the directors and experts of DAKAP Coordination and SÜRKAL before UNDP personnel took over DATUR Coordination. She had the same feeling of good communication and interaction with them. *SME Owner 5* spent a specific effort to attend most of these programs, including PCM and PCM Trainer trainings; and followed almost all programs implemented not only by DATUR, but also by DAGİDES, in Erzurum. She also served as a trainer in some of the KKKP training projects. In her own words:

“Most of the NGOs, sports clubs, chambers, artisans and craftsmen, and entrepreneur women couldn't benefit from the PCM and most other training projects. However, I enthusiastically followed almost all programs in Yusufeli and İspir. (...) My master was Mr. Ahmet Saltık. He inspired and encouraged me to follow the trainings. In KKKP women trainers were needed to attract peasant women to the trainings. He encouraged me to attend trainers' trainings and teach to the peasant women in KKKP.”

Consequently, *SME Owner 5* had the opportunity to develop her vision and talents in accord with the entrepreneurial vision on local development; and served her local community as an enthusiastic social and economic entrepreneur, both during DATUR and after it ended. She also served as a trainer in some of the KKKP training projects, by the encouragement of Prof. Dr. Hasan Saltık, the founder and leader of SÜRKAL, up to his death, in 2007. She also established the Yusufeli Association for Appraising Local Assets and Women's Labor (2006), with some of her peers. Although this association became idle, she established her own enterprise on organic orchard and by-products, after DAKAP. However, she didn't benefit from any partnerships established during DAKAP years. She established her own social capital by her own initiative. She first presented her organic produces, in İstanbul Dietetic Natural Products Expo, in 2006, on her own individual efforts. Then she got into contact with ARGOMAR Corp., Bursa Metropolitan Municipality and İstanbul Metropolitan Municipality; and created partnerships with them for marketing her products, in İstanbul and Bursa. In the end, she had reached a certain market share in national organic products market, up to 2010.

In the days of this research, *SME Owner 5* was still running her own enterprise and spending effort to expand its capacity. She had also participated and carried on some

duties in some projects on various topics, personally. She was actually working in “Kaçkar Mountains Sustainable Use and Protection of Forests Project” initiated by the partnership of General Directorate of Nature Conservation and National Parks, Artvin Cultural Cooperation Association, TEMA and BOTAŞ (BTC); and financed by EU grants.⁶

9.2.4. Evaluation of the Sustainable Local Agency after DAKAP

The sustainable agency of some local individual and non-governmental institutions was one of the primary sustainable contributions of the LGP within DAKAP to the everlasting local SHD process, in the DAKAP implementation area. This sustainable local agency, provided a good deal of contributions to the realization of a series of sustainable outcomes, as to be discussed in Chapter 11, in detail.

The sustainable agency of the individual and institutional entrepreneurs majorly rested on the contributions of the LGPs to the accumulation of human and social capital; and to the *local self-governance capacity*, specifically in the localities of the former KKKP and DAGİDES area. This capacity was built upon the contributions of KKKP and DAGİDES to accumulation of human and social capital, like entrepreneurial vision and attitudes attained by the individual entrepreneurs; some relatively maintained skills and experiences in project management, good governance relations and partnerships; some maintained local NGOs, despite they were led by some individual agents; partially maintained partnership networks among the former institutional participants of the LGPs; a relatively more participative civil society, although still gradually integrating; and some partially maintained participative, cooperative and deliberative routines in local public administration.

The LGP experiences provided throughout DAKAP period, had been very valuable for some leading individual and institutional actors, who participated continuously from the beginning. This experience provided these actors with experiences in governance relations, project management and partnerships; and with the new entrepreneurial vision, awareness and attitudes about development. This new vision suggested a proactive and cooperative role; and deliberative, participative and cooperative attitudes about development. It also suggested an awareness on the importance of soft instruments for

⁶ TEMA: Türkiye Erozyonla Mücadele, Ağaçlandırma ve Doğal Varlıkları Koruma Vakfı
BOTAŞ: Boru Hatları ile Petrol Taşıma A.Ş.
BTC: Bakü-Tiflis-Ceyhan Ham Petrol Boru Hattı Projesi

increasing the local endogenous capacities; on creating partnerships and formal organizations for common local development needs; and the priority of stimulating a long-term sustainable endogenous capacities instead of short-term monetary and material benefits. As the local individual entrepreneurs became aware of and advocated to this new vision they understood that they did not have to wait for the public institutions to provide them their development needs; and that they could provide necessary financial and other resources by preparing projects, and realize their projects by getting organized in partnerships and organizations.

On the other hand, the trainings, like PCM and PCM Trainer, had also contributed to the sustainable local agency, by virtue of some of their contributions to accumulation of human capital. The participants of these programs learned some new concepts on development; and understood the importance of and became talented in preparing realistic and attainable projects, instead of passively waiting for aids, in finding financial resources for development. The contributions of DAKAP's other successful implementations had also contributed to the sustainable local agency, after DAKAP. They both improved individual and collective capabilities of the participant individuals for future local human development; and provided a feedback of strengthened advocacy to the principles of SHD.

This change of mind, expanded capabilities and strengthened advocacy relatively empowered and encouraged some of the participant individual and institutional entrepreneurs to carry on proactive and cooperative roles for enhancement of the long-term well-being of their community members; and for further local capacity building, by initiating and implementing some new social and economic development projects, after DAKAP's end. By this way, these entrepreneurs had enthusiastically served to the development needs of the region, both during and after DAKAP. They had prepared a series of projects for providing financial support from sources like SRAP, İŞ-KUR and EU grant programs, not only during the DAKAP years, but also after DAKAP ended.

The activities of a number of local individual economic and social entrepreneurs was specifically significant in the sustainable local agency, after DAKAP. They established new NGOs and initiated multi-level partnerships to carry on new economic, social and environmental projects; and attracted some amount of fresh financial resources (new EU grants and other financial resources) and physical capital to the region -especially to the KKKP and DAGİDES implementation areas-, since the end of DAKAP, up to 2010. They

also took on critical roles and carried on critical duties in local-regional public institutions, NGOs and QUANGOs, as proactive social entrepreneurs.

A number of NGOs established by the promotion and support of DAKAP steering bodies survived and carried on some development projects, specifically in the former KKKP and DAGİDES areas, as well. Some partnership networks among NGOs, QUANGOs and public institutions were also partially maintained; and the local public administrations became relatively more responsive on development issues and development initiatives coming from the civil society, in these areas. There established a department and a PCM center on development issues in Bayburt and Erzurum governerships, respectively. NGOs and QUANGOs also established departments and employed officers for following the bidding dates and procedures of institutions providing financial resources. They realized the importance of enhancement of the training and health conditions of their grassroots and contributed to the human capital further.

In the end, entrepreneurial capacities of the local actors and *self-governance capacity* of the local communities increased up to a certain level, especially in some localities of former KKKP and DAGİDES area, like Erzurum, Bayburt and Şenkaya. In these localities, the self-governance capacity was partially maintained, after DAKAP. However, it never reached a sufficient for mobilizing greater numbers of NGOs to become proactive stakeholders of local development projects, even in the urban localities, like Erzurum and Bayburt. The resultant institutional infrastructure and partnership networks generally stayed insufficient for supporting an accelerated rate of sustainable economic and human development, in the other localities.

Local PGMs (specifically İKKs) and project partnerships during DAKAP empowered the participant individuals, social groups and communities to participate to the local decision-making processes which directly influenced their own lives and development expectations, during 2001-2006 implementation years. However, the deliberative, cooperative and participative routines inherited from DAKAP were not strong enough to lead a sustainable participative civic culture, in most localities. So, they couldn't provide a sustainable empowerment of local communities, social groups and citizens for a more direct, better and wider access to local public administration. The exception was the relative -but rather weak- participative capacity of some surviving NGOs and QUANGOs in a few localities, like Erzurum, Bayburt and Şenkaya.

Consequently, even in urban localities (Erzurum and Bayburt), although the interest of the local public authorities in supporting and cooperating with the civil society in development initiatives seemed to increase relatively; only a certain number of non-governmental institutional actors, who participated to the LGPs and implementations of DAKAP regularly and attained the sufficient experience, knowledge and resources, had the capacity to initiate particular development projects, after DAKAP. In fact, even these NGOs and QUANGOs were led by some proactive and skilled individual entrepreneurs, inherited from DAKAP; and usually benefited from local partnership networks up to an extent, with the personal relationships of their leaders.

Most of the other elements of the civil society, amounting a higher number of NGOs, which couldn't participate DAKAP process and reach the same level of capacity in knowledge, experience and partnerships, had stayed passive up to 2010. They couldn't benefit from local partnership networks sufficiently, either. So, the ones which dared to initiate some projects were usually managed to implement them with the support of the local public institutions and multi-level stakeholders and sponsors.

In the end, the main carriers of the sustainable agency had always been the leading individual actors of the local civil society who also led the active NGOs and QUANGOs, in these localities. The agency of these proactive, skilled and advocated individual economic and social entrepreneurs had been the main motor force for generation of a series of new economic and social development projects; and provided some further contributions to the human well-being and local endogenous capacities (accumulation of economic, human and social capital, and environmental sustainability) in the former DAKAP area, up to 2010. On the other hand, this was the most precarious aspect of the contributions of DAKAP to the sustainable local agency.

9.2.5. Assessment of the Relationship between the LGPs and the Sustainable Local Agency in DAKAP

As for the result of the second part of the third theme, a significant *parallelism* was observed between the *level of the sustainable local agency* and the *qualifications of the endogenous factors* of the LGPs with respect to the good governance conditions, in the case study. In other words, it may be concluded that the LGPs within DAKAP had been capable of contributing to the maintenance of the sustainable local agency in parallelism

with the level of their good governance qualifications. In fact, this was the result anticipated by the analytical model constructed in this thesis.

So, the case study provided a notable support to the anticipations of the *analytical model* developed in Chapter 7, on the contributions of the good local governance to the maintenance of the sustainable local agency. The more the LGPs reflected good governance qualifications in the localities during DAKAP; the more the participant individual and grassroots institutional actors (NGOs and QUANGOs) attained the entrepreneurial vision, awareness and attitudes on development; the more they attained skills and experiences in project management and good governance relations; the more they maintained sustainable partnership networks and closer contacts with the local public authorities; and the more they maintained individual, institutional, participative, deliberative and cooperative capacities to establish new partnerships and initiate new economic and social development projects towards sustainable local development. So, the more the LGPs reflected good governance qualifications in the localities during DAKAP; the more the local communities attained *self-governance capacity*; and the more participant individual and grassroots institutional actors (NGOs and QUANGOs) carried on sustainable agency for taking proactive roles in the local SHD process, after DAKAP.

More specifically, a relative development of self-governance capacity and a significant level of sustainable local agency was observed in the localities where a good LGP had been experienced during DAKAP in various levels, like Şenkaya and Susuz, in KKKP; Erzurum and Bayburt, in DAGİDES. The highest portion of the participant local individual and institutional actors who went on contributing to the economic and human development of their localities as social and economic entrepreneurs came from these localities, after DAKAP. So, a notable part of the individual and institutional actors who participated to the governance meetings and workshops continuously; worked as advocated members of İKKs and/or as proactive partners of the steering bodies in the project partnerships had also proactively carried the sustainable local agency in these localities, after DAKAP. They also participated and highly benefitted from the trainings and demonstrations for improving their personal and institutional capacities, as well.

Besides, although the NGOs which were established by the promotion of the steering bodies during the LGPs within DAKAP ended formally, in most other localities of the former DAKAP area; some of the most proactive ones, like Susuz-Cılavuz Development Association and Şenkaya Development Association survived and initiated new projects,

in Şenkaya, Susuz, Erzurum and Bayburt. Some new NGOs, like Şenkaya Ecological Agriculture Association and BEKDER were added to this list of sustainable local agents in these localities, after DAKAP.

On the other hand, the contributions of DAKAP to the development of the *local self-governance capacity* was insufficient for widening and strengthening the local partnership networks; and for mobilizing a wider range and more numbers of local non-governmental institutions for taking part in local SHD process, in the localities of former DAKAP area. The NGOs established during DAKAP couldn't survive; partnerships established during DAKAP couldn't lead sustainable networks; the deliberative, participative and cooperative routines and relatively closer relationships among the local public sector, private sector and the civil society wasn't maintained in most localities.

These human and social capital assets were partially maintained and functioned only in some localities, like Erzurum, Bayburt and Şenkaya where good LGP experiences took place. Even in these localities, sustainable agency had usually been carried on by initiatives and relationships of some leading individuals of the local civil society, advocated to development issues; and the sustainable local agency of the institutional actors stayed low and at the back stage of the activities of individual entrepreneurs.

The self-governance capacities and sustainable agency of the institutional actors were specifically low, in most of the rural localities of the former KKKP and DATUR areas. Only a few NGOs were active in Şenkaya and Susuz. Most of the NGOs established by the İKK members at the end of KKKP and some few NGOs promoted by DATUR Cooperation either closed up or stayed idle, after DAKAP. Even in some former KKKP pilot areas, like Damal district (in Ardahan) and Öncül village (in Çıldır, Ardahan) where good LGPs took place and successful implementations were made, there didn't emerge any capable and advocated institutional or individual entrepreneurs, after DAKAP. Damal Agricultural Development Association, which was once an active stakeholder of SÜRKAL during KKKP years, became rather idle; and Öncül Development Association which established at the end of DAKAP was annihilated after DAKAP, because of lack of financial resources to afford the costs of initiating projects. So, local sustainable agency stayed quite weak to carry on the local SHD process that KKKP attempted to start in Damal and Öncül, because of the lack of sufficient economic resources.

Nevertheless, relatively a higher number of NGOs and QUANGOs who had the sufficient institutional and financial capacities stayed as relatively active agents of development, in the urban areas, like Erzurum and Bayburt, in the days of the research, in 2010. This showed that exogenous circumstances of the localities with respect to good local governance stayed as quite influential restrictions on the sustainable local agency in the former DAKAP implementation area, in the long-run. This was specifically true for the rural circumstances of the former KKKP and DATUR areas.

Yet, the case study also showed that a continuous and good LGP could mobilize a good level of actual local agency; and contribute to its maintenance after the SHD based SDP ends, up to a certain level, despite the obstacles of exogenous circumstances, in the localities like Şenkaya and Susuz. The most important endogenous factors in the success of the LGPs were the continuity and good governance qualifications of PGMs, like İKKs in KKKP; and the efforts of the steering bodies to keep their contact and good governance relations with the local target groups and stakeholders.

On the other hand, there also emerged some exceptional proactive economic and social entrepreneurs, like *Public Official 4*, *SME Owner 5* and *NGO Representative 17* (İspir Nature Sports Association), in localities where LGPs didn't function properly, like Olur, Yusufeli and İspir respectively. All three of these figures spent personal efforts to follow the trainings themselves; and succeeded in this by the promotion and support of the directors and experts of the steering bodies (DAKAP Coordination and SÜRKAL). In the end, they had the opportunity to embrace the entrepreneurial vision and talents to attain the process freedom to take active roles in the local SHD process; and served their local communities as enthusiastic social and economic entrepreneurs, both during DAKAP, and after it ended.

CHAPTER 10

LOCAL GOVERNANCE AND THE ACTUAL OUTCOMES OF DAKAP

This chapter will involve a study upon the fourth research theme. The analysis will begin with the first part of the theme that is presentation and evaluation of the actual contributions of DAKAP to the accumulation of capital assets in the community; and to the actual well-being of the participant local target groups.

10.1. Contributions of DAKAP to Actual Accumulation of Economic Capital

Although, we don't have the exact statistical data about the economic contributions of DAKAP implementations; members of DAKAP Coordination, SÜRKAL and participant individuals and representatives of institutional actors clearly stated that, these implementations did contribute to the local economic development and accumulation of economic capital within the region, up to a certain level, during DAKAP years.

10.1.1. Contributions of KKKP to Actual Accumulation of Economic Capital

In KKKP component, SÜRKAL had rather provided a considerable amount of demonstrations and in kind support (machinery, equipment, hothouse material, seeds and seedlings, juveniles, bees etc.) to the participant peasants of the pilot villages, via various demonstrative implementations. Most demonstrations concentrated on agricultural production and animal husbandry. 5 demo programs were on grain and pulse planting and harvesting. 6 of them were on animal feed planting and trial of new animal feeds, like Macar Fiği, Korunga and Tritikale. 2 were on pasture regeneration and providing clean water for animal husbandry. 2 were on providing agricultural machinery for introduction of new technology. 3 were on providing silage machinery and making silage. 6 of them were on alternative means of living, like fruit planting, hothouse planting, bee breeding, forestry and freshwater fish breeding. There also implemented a particular project on vaccination of 5574 animals against brucella, in Şenkaya. This campaign eradicated this disease from the pilot villages of this district. Thus it was a notable contribution to the quantity and quality of the livestock, in Şenkaya district.

Unfortunately, some constraints limited the contributions of KKKP trainings and demonstrations to the enhancement of the productive capacities of rural local

communities, especially in alternative fields of production other than animal husbandry. The major constraint was the chronic insufficiency of the local financial and material resources, in the region. The second one was the lack of sufficient market demand for the alternative products. And the third one was insufficiency of KKKP financial resources and the limitations of UNDP universal principles on hard instruments, which resulted in shortage of seed capital.

This is why SÜRKAL provided some amount of seed capital to the participant peasants, in only some rare cases. In most situations, it oriented the local individual and institutional entrepreneurs and İKKS to alternative national and international financial resources by providing them supervision and support for their own projects. However, in this case there were some other obstacles in project finance because of the bureaucratic procedures and high tax rates of the national and international financial resources.

These conditions prevented the participants of the KKKP demonstrations and other farmers to invest further and increase the production over self-subsistence level, in some of the fields they got familiarized by successful demonstrations, like milk production, animal feed planting, hothouse planting and fruit planting. By the same reasons, some other projects initiated by SÜRKAL and local stakeholders for starting production and/or improving productivity in alternative means of living, like honey bee breeding, fruit planting, organic farming, freshwater fishery, forestry, toll making and textile (ehram, rag and carpet) craftsmanship failed, either.

As an example, two projects on freshwater fish breeding were initiated in Şenkaya and Susuz, in partnerships with Şenkaya District Administration, Şenkaya Wildlife Protection Association and Susuz District Administration. Although successful demonstrations were made, neither the peasants nor potential entrepreneurs in Şenkaya and Susuz districts could dare to invest and continue the activities themselves. So, these projects and demonstrations ended, during KKKP years. Another project was on toll making in Damal, in partnership with Damal Agricultural Development Association. SÜRKAL attempted to increase the production of Damal tolls, but it couldn't be successful in this, either, because of the lack of sufficient demand.

In addition, SÜRKAL and local stakeholder actors couldn't be successful in presentation of the regional/local products to the national/international markets. As an example, the project on advancing the national market for geese and *çisil* cheese

production, which were carried by local İKK councils and SÜRKAL, in Susuz and Aşık Şenlik (Çıldır) didn't result in success, during KKKP years.

One exception was the effort spent for marketing the products of fishermen of Doğruyol and Çıldır to the big shopping centers, like Carefour and Migros, by the partnership of SÜRKAL, Çıldır Lake Protection and Regeneration Association, and Doğruyol Fishery Cooperative. Fortunately, it had rather been fruitful to a certain level in the beginning, in Çıldır and Doğruyol. This stimulated a number of entrepreneurs and fishermen to get interested in freshwater fishery and lobster breeding. One of them, *SME Owner 3* established a fishbreeding enterprise and fish farm, in Doğruyol.

One last obstacle was the changes of the local administrators with appointments, and the mayors and village headmen with 2005 elections. This caused specifically significant turning points in the success of the implementations, in Olur and Çıldır.

In Çıldır, in the beginning of KKKP implementations trainings and demonstrations began; and the projects mentoned above were implemented. However, both the district administrator and the mayor changed with appointment and the 2005 elections, respectively. The new administrator and mayor withdrew their officials from Çıldır İKK and didn't support SÜRKAL and the KKKP implementations at all. So, the trainings, demonstrations and other projects stopped in almost all pilot villages, except for Öncül.

In Olur, when İKK functioned well in the beginning of the KKKP implementations, the trainings and demonstrations had a certain success; and the number of their participants had increased rapidly both in the pilot villages and in the neighbourhood villages. Some projects on increasing the milk production and fruit planting (mulberry) began. But, after the district administrator changed with appointment, he caused authority conflicts in the İKK process and restricted the participation of his officials to the İKK and even to the trainings. Then the trainings and demonstrations lost their participants and the projects on the alternative agricultural production ended.

Consequently, the success of KKKP implementations considerably fell in Çıldır and Olur, specifically after 2005. Thus, KKKP couldn't provide notable benefits to village economies in these districts, after this date.

10.1.2. Contributions of DAGİDES to Actual Accumulation of Economic Capital

In DAGİDES component, the financial and supervisory support of DAKAP Coordination provided most of the participant individuals, target social groups and institutional stakeholders with considerable immediate benefits from DAGİDES implementations, in the name of preparing and implementing economic projects; to make new investments; to create new SMEs or to increase the capacities of the old ones to achieve more productive and profitable use of capital and raw resources up to a certain level. DAKAP Coordination also participated field researches on new investment areas in NUTS2 region, manufacture industry sector of Erzurum, industrial inventory of Oltu, marble and natural stone reserves in Bayburt. Although, the exact level of the economic contributions of DAGİDES implementations were not clear, (because there were no compiled statistical data on new capital investments, newly established enterprises or the exact financial inflow to the region) some of the implementations were quite influential on accumulation of a relatively considerable amount of economic capital -although quite limited in absolute terms- in the hands of some of the participant social groups.

In Erzurum, local institutional and individual entrepreneurs had benefited from the soft instruments of DAGİDES, like PCM and Entrepreneurship Development trainings; and the entrepreneurial support and supervision services provided by Erzurum GİDEM. More than 600 local economic and social entrepreneurs (SMEs, investors and NGOs) had benefited from the services, delivered by Erzurum GİDEM. These services involved 85 project designs for local SMEs, entrepreneurs and NGOs; 68 studies on infrastructures of SMEs and managerial supervision on capacity development, productivity and efficiency; 20 feasibility analyses on new investment fields; web page designs for 13 local SMEs and NGOs; supervisory support for establishment of 6 SMEs and NGOs; international marketing research for 5 local SMEs; supervisory support for 4 SMEs to find imports finance; 1 file preparation for R&D incentive application. In addition, DAKAP Coordination organised bilateral meetings between local private sector representatives and Iranian and Azerbaijani business committees for providing bilateral marketing opportunities.

One of the participant groups which benefited from DAGİDES financial resources directly was small agricultural producers of DATÜB. DAKAP Coordination provided DATÜB with project design and PCM support for its Organic Agriculture Project; and financed a considerable portion of the initial costs of this project. DAKAP Coordination

also supported DATÜB to participate to the 3rd Organic Products Expo, in İstanbul, in 2003. This enabled DATÜB to get into contact with İstanbul Metropole Municipality who provided a good deal of demand for organic flour production of DATÜB members. This market demand provided an incentive for new peasants to invest in organic farming; and DATÜB project started up a rapid spread of the organic agriculture production.

In Erzurum, the other most beneficiary target group was women (specifically entrepreneur women). ER-KADIN played an important role as a proactive and cooperative agent, and prepared and implemented a series of entrepreneurial, vocational and other types of training projects for women, by active support and supervision of DAKAP Coordination. In addition, this organization established a partnership with KAGİDER to implement training projects for development of woman entrepreneurship, in Erzurum. By the help of these programs, some participant women (although quite a limited number) had opportunities for establishment or capacity development of their own businesses. In addition, ER-KADIN arranged a festival “Strawberry Perfumed Days” to present the results of their project on strawberry planting and the related by-products on strawberry fruit, like marmalade and jam. In the end, they managed to reach a certain volume of demand in the national market, despite a limited size.

Some of DAKAP's most significant actual economic consequences were seen in natural stone sector, in Bayburt. Before DAKAP, the producers of the sector were producing and selling a limited amount of marble in its raw massive form, without manufacturing it into new goods. A series of researches on the quality and quantity of the natural stone reserves were performed; new technologies were introduced to the producers of the sector; and a series of vocational trainings were carried on for providing the qualified labor to the marble and natural stone sector, by the experts provided by DAKAP Coordination. A factory for natural stone processing was established, by cooperative partnership of BTSO, Association of Natural Stones and Marble Producers (Marblers' Association) and DAKAP Coordination, with the financial resources of DAGİDES and the local natural stone sector. In addition, the partnership of DAKAP Coordination, the Bayburt Governership, BTSO and Marblers' Association, provided the local producers with opportunity of attending the Marble and Technologies Expo, in İzmir, in 2005; and this provided them with an opportunity to enlarge the demand they received in the national market; and with international demand from Greece to China. These contributions enhanced the technology, efficiency and productivity of the SMEs in

the the marble and natural stone sector; enabled the establishment of new enterprises; and provided the producers with the opportunity to manufacture their raw marble blocks by the help of the factory; and sell the products to national and international markets, from Greece to China. So, the productivity and profitability of the sector increased realtively, during DAKAP years.

DAKAP Coordination also opened an Information Office in the body of Erzurum Governorship, and serviced many economic and social entrepreneurs by providing information on new investment areas suitable for the forthcoming EU Grant Programs to be realized in 2005-2006 period; project design and PCM for applying to EU grants; and legal issues and EU grant procedures. By May 2005, two EU Project Support Offices were established in the bodies of ETSO and BTSO by active supervision and support of DAKAP Coordination and TÜGİAD, in Erzurum and Bayburt. These two offices took over the entrepreneurial support and supervision service provision; and concentrated majorly on supervision and support in project design for applications to EU NUTS2 Grant Program, SRAP, İŞKUR and other fund providers

These supervisory services encouraged the participant economic and social entrepreneurs to apply for alternative financial funds. As a result the economic and social entrepreneurs, provided an inflow of a considerable amount of foreign financial resources (some EUR 3-4 million in Erzurum, and EUR 4,5-5 million in Bayburt) from the EU NUTS2 Grant Program, which lasted during 2005-2006. The grant inflow to Bayburt was the the highest amount in TRA1 region; and one of the highest in Turkey. SMEs and NGOs in Erzurum also benefitted from the same grant program, with around 30 projects out of 100 project applications; and brought EUR 30-40 thousand for each accepted project, during DAKAP period.

In addition, these entrepreneurs also benefitted from the credits of SRAP and İŞKUR, with their projects, in both Erzurum and Bayburt. DAKAP Coordination, Erzurum GİDEM and the Project Support Offices in ETSO and BTSO provided a considerable support in orienting preparation and implementation of these projects. The money provided from these foreign and domestic resources were used for capital investments in establishment of some new enterprises and capacity development in existing ones, in the service and arts and crafts sectors, in Erzurum; and in natural stones sector, in Bayburt.

In the end, contributions of DAGİDES component had encouraged and supported some of the participant social sectors in reaching new credit and grant facilities, starting new businesses, increasing the capacity of their enterprises, improving the technology and productivity of their physical capital, and establishing contacts with national and international markets. However, the contributions of the soft instruments of DAKAP Coordination to local economic development and accumulation of capital had been quite limited and asymmetrical, in DAGİDES component. This was first because of the insufficiency of its limited monetary budget; and some of UNDP principals and strategic priorities. UNDP programs principally targeted to create some “shining examples”, as *Academician 1* stated, in the DAKAP implementation region. Thus, DAKAP's monetary and in kind resources had been allocated selectively to the use of some specific entrepreneur stakeholders and beneficiary social groups widely; while to some other participant actors and groups in very limited portions, in DAGİDES component.

The contributions of the local stakeholders to the development and accumulation of economic capital had also been limited by some other obstacles, related to the national and international partners providing financial resources, like İŞ-KUR, SRAP and EU Grant Program, which DAKAP Coordination oriented the projects of various participant entrepreneurs. One of the most notable one was, the complexities of the bureaucratic procedures of these institutions. Specifically, the procedures and regulations of EU Grant Program had been overcomplicated, for most of the individual or institutional entrepreneurs; and there had often been some clientelist degenerations in handling of these credits. In addition, EU Grant Program urged beneficiaries of the grants to contribute to the finance of their proposed project with a certain percentage (%20) of its cost; and the taxes and duties collected from the İŞ-KUR and SRAP credits were very high. Most of the entrepreneur nominees and NGOs in the region didn't have the ability to afford these amounts. Consequently, these obstacles prevented a number of entrepreneur nominees who benefitted the training and supervisory services of DAGİDES from establishing and/or developing their own businesses successfully.

The case of *SME Owner 2* was an interesting example for this problem. *SME Owner 2* had been a participant of the Entrepreneurship Training Project which was provided for 30 women for increasing their entrepreneurial capabilities by the partnership of DAKAP Coordination, ER-KADIN, KOSGEB and İŞ-KUR. Finance came from EU funds, by the mediation of KOSGEB. *SME Owner 2* who had a small restaurant, named *Hamarateller*,

in Erzurum, had participated this program for 6 months, in 2004-2005. The program was supposed to provide *SME Owner 2* with both training and some amount of seed money for capacity development of her enterprise.

However, although *SME Owner 2* graduated from the program successfully, like most of the other women who attended the program, she couldn't get the seed money. This was because of the heavy preconditions necessitated by the formal procedures of the EU grant programs, about the production and service structure, and physical, organizational and sanitary conditions of the enterprises. Ms Koc's enterprise was a small one, with limited physical space and financial resources. She couldn't afford for making the necessary changes for fulfilling these preconditions in her enterprise; and thus she couldn't get the grant. Only a very few graduates of the program was able to fulfill these conditions and get the grants.

In the end, although this program provided a considerable necessary information, trainings, supervision and skills to the participants, it didn't provide a sufficient financial support -seed capital- for most of their participants to establish or increase the capacity of their enterprises. This was both because of the insufficiency of the financial resources of DAKAP; and the inconvenience of the institutions that were supposed to provide financial support.

10.1.3. Contributions of DATUR to Actual Accumulation of Economic Capital

DATUR Coordination performed a series of inventory studies and research on historical architecture in Sirakonaklar; and on the Georgian churches, and fauna and flora, of Çoruh Valley to determine the tourism potential of the area. It supervised and supported 4 project applications to EU NUTS2 Grant Program, on rural tourism development in the rural area of Çoruh Valley. It also arranged a workshop to present the regional natural and historical potentials to representatives of 7 national tour operator firms; supported the Aros Festival and River Cano Championship, in İspir and Yusufeli; issued printed materials for presentation of the compiled natural and historical inventory of the region; and attended Hanover Tourism Expo for enhancing the foreign marketing opportunities of the local tourism.

However, none of these implementations stimulated the local entrepreneurs for new investments in the tourism sector, in either İspir or Yusufeli. DATUR implementations, didn't contribute much to the presentation of Yusufeli and İspir in national and

international tourism markets. The printed material on tourism potential of the region was not used efficiently. Thus, there didn't occur direct investments and sufficient touristic demand from outside of the region, during DAKAP years, either.

One of the rare fruitful contributions of DATUR to accumulation of economic capital in İspir was the establishment of a motel in the top floor of the town hall, with the seed capital provided by DAKAP resources. This motel had been managed by the municipality in the beginning; later on it was bided to a private firm, from outside of İspir. Another notable economic contribution was establishment of touristic pensions some of the towns and villages, in Çoruh Valley. One important project was performed in Sirakonaklar. After establishment of a demonstrative pension with the seed money provided by DAKAP, 7 more pensions were established, with the financial resources from SRAP. The SRAP project for establishment of these pensions was prepared by DATUR Coordination.

10.2. Contributions of DAKAP to Actual Accumulation of Human Capital

Throughout the DAKAP process, there implemented a series of trainings and social projects which contributed to the improvement of cultural capabilities (individual talents, entrepreneurial and productive skills, awareness, attitudes, manners and knowledge) and psycho-mental ones (health conditions), as the main dimensions of human capital. DAKAP's most important contribution to human capital was *the change in the minds* of the participant community members, academicians, NGO and QUANGO members and public officials, towards an *entrepreneurial vision* about development. This change was the result of the clear introduction of this new entrepreneurial vision, in both the *face-to-face PGMs* (presentation tours, negotiations, consultation meetings, workshops and İKKs), and the *project implementations* (trainings, demonstrations and supervisory services).

This entrepreneurial vision anticipated a proactive role for the participant individuals, social groups and institutional actors which suggested them to spend their own efforts for local development, without waiting for an impulse from the government or the local public authorities. It suggested them to improve their personal qualifications; attain deliberative, compromising, participative and cooperative attitudes; and create partnership networks and formal organizations for expanding their individual and collective capabilities towards further economic and human development. It also

suggested establishing project partnerships and initiating their own projects on private commercial purposes, and common local social, economic, cultural and environmental goals. Participant institutional and individual actors became aware that becoming proactive and cooperative agents of everlasting local SHD process; and building sustainable endogenous development capacities were more important than short-term monetary and material benefits.

In this context, PCM trainings had been the most common, frequent and beneficiary training projects, throughout the implementation stage of each component. There organized 9 sessions with around 25-30 participants for each (around 400 in total), in DAGİDES; 6 sessions for around 150 participants, in DATUR; 5 sessions for 351 participants, in KKKP. They taught the participants how to prepare, manage, monitor, evaluate and report projects.

There also took place some social projects, which were implemented by the partnerships supported and supervised by DAKAP steering bodies, took place. These projects contributed to the physico-mental health conditions of the local target groups considerably, in all three components.

10.2.1. Contributions of KKKP to Actual Accumulation of Human Capital

In KKKP component, there participated some 3.339 people to 29 training projects; and some 3.415 to the 28 demonstration activities, in four years of Project implementation, by February 2006. One training was for technical orientation of the 10 officials. 12 of the training projects were on technical issues in agriculture, animal husbandry, pasture regeneration and animal feed planting, and alternative means of living, like hothouse planting, fresh water fishing, honey bee breeding, textile (ehram, rag and carpet) craftsmanship and fruit planting; and 1 was on computer operating. 5 of them were on preparation, management (PCM) and monitoring of projects; and national and international funds (like SRAP and EU funds) for project financing. 1 of them was on organization and how to establish a formal NGO. 2 of them were on spreading the entrepreneurial vision on development among women. 4 of the training projects was on health issues; and 3 of them were on environmental issues, like developing environmental awareness, and regeneration and efficient use of natural resources.

SÜRKAL established 5 youth centers in district centers of Köprüköy, Susuz, Çıldır, Damal and Şenkaya. Moreover, it provided these centers with computers, modems and

internet, educational media (books and CDs) towards ÖSS and LYS preparation. The centers contained computer rooms and gymnasiums. In these centers, there provided training, entertainment and sports opportunities for youngsters and women. Trainings were on technical issues (agriculture, animal husbandry and alternative means of living), environmental issues, human rights, women's rights, health, hygiene, ÖSS preparation and the like.

As a last contribution, SÜRKAL supported Çıldır İKK in initiating a partnership for building a dormitory for schoolgirls and a guest house for teachers, in Çıldır. This project had been realized with the sponsorship of a wide group of national stakeholders, who came together with the joint initiative of SÜRKAL, Çıldır District Administration, Association of Philanthropists Çıldır Branch, and UNDP. The dormitory had specifically been a good contribution for the education opportunity of the schoolgirls of the “Sezgin Yolcu Regional Public School”, in Çıldır.

In KKKP component, there implemented 4 projects for training and service provision on health issues, like nutrition, dental and reproductive health, hygiene, reproductive health and family planning. One of the most important one was the vaccination campaign against brucella. Brucella is a contagious disease, which infected both animals and human beings. After this campaign, brucella was eradicated from the pilot area. These projects provided considerable contributions to villagers' health conditions during the program.

10.2.2. Contributions of DAGİDES to Actual Accumulation of Human Capital

In DAGİDES, the participants of the PCM trainings were candidates of social and economic entrepreneurs from various SMEs, public officials, QUANGO and NGO representatives. The participants understood the importance of preparing realistic and feasible projects, in development. In the end, these trainings enabled a number of participant individuals to become proactive agents of development, who can prepare and implement projects.

DAKAP Coordination provided local SMEs and entrepreneurs with information services and 2 training seminars in Erzurum and Bayburt, on national policies and regulations on SME incentives, and national SME funding institutions, like Turkish Development Bank, Halkbank, Treasury, SRAP, İŞKUR and KOSGEB. In addition, it

organized 4 training seminars and a conference to introduce the forthcoming EU Grant Programs and EU agricultural policies to local NGOs and SMEs.

In DAGİDES, there also took place some *entrepreneurship development* trainings for increasing the entrepreneurial capabilities of SME owners and entrepreneur candidates by teaching them how to manage their enterprises and future investments. One important example was the one provided for 30 women by the partnership of DAKAP Coordination, ER-KADIN, KOSGEB and İŞ-KUR. Finance came from EU funds, by the mediation of KOSGEB.

DAKAP Coordination also financed and supported ER-KADIN in organising a trip for its members to Bursa to observe the implementations of EU Bursa Woman Entrepreneurship Training Center, and attend the National Entrepreneurship Congress. It also organised observation trips to Şanlıurfa on animal husbandry, in partnership with Erzurum Governorship, and to Sinop on linen planting and manufacturing, in partnership with DATÜB.

A number of vocational trainings towards various vocational groups, and/or unemployed people had been implemented in all three components of DAKAP. In DAGİDES, DAKAP Coordination co-implemented a series of vocational training projects. Two training projects were performed on *Oltu stone jewellery design* for 70 participants where 40 of them were young women, in partnership with ESOB, in Pasinler; and with Oltu Amber Association, Oltu vocational High School and Bilgi University, in Oltu. A second project was performed on stonework craftsmanship, in Bayburt, in partnership with BTSO and Bayburt Marblers Association. These programs provided a number of skilled employees for Oltu stone producers of Erzurum; and natural stone producers of Bayburt. Some other programs were on hothousing with geothermal warming, in Ilica and Hasankale, which was financed by a fund from EU Thematic Trust Fund (EU TTF); and on textile craftsmanship for women, which was planned and implemented with partnership of DAKAP Coordination and ETSO, in Oltu.

One of the most beneficiary examples of these projects was on *natural gas plumbing work force development*, in partnership with Erzurum Governorship, Pasinler High School and Erzurum Public Training Center, during 2003-2006 period. In the first hand, 10 Atatürk University academicians had a trainers' training, on this topic, in İstanbul. Then they had trained around 300 unemployed young people, in a serial of training

projects of each consisted of 600 hours of courses for 50 participants, and had lasted for 4 months. This project earned an EU grant, from the EU NUTS2 Grant Program, in 2005. In 2006, the instructor academicians established MESİNDER and carried on these trainings.

ER-KADIN had also implemented a series of vocational training projects, with the partnership of DAKAP Coordination and other partners, in DAGİDES Project. These projects enabled some women, especially young women to gain new vocational and/or income generating skills, like rabbit wool spinning (for 54 women), customer hosting in tourism (for 15 young women and 15 young men) and modern costume designing with Ehram cloth, in Erzurum; and strawberry growing in 27 villages of Tortum, Oltu and Harman districts of Erzurum.

As a last contribution to cultural capacities in Erzurum, DAKAP Coordination and CISCO Systems Corp. established the *Information and Communication Technology Center*, in Atatürk University, to provide trainings for University students, in 2003. This project was rather for educational purposes, in the University.

In DAGİDES, a *Reproductive Health Project* was prepared and implemented by TKB Erzurum Branch, in Erzurum and a wide rural area around it, during 2005-2007 period. The project especially concentrated on health problems of poor women, who didn't have any social security opportunities. In the end of the project a considerable improvement in mother-and-child health conditions which is statistically registered.

In Bayburt, the Association for Fighting Tuberculosis Bayburt Branch, and Bayburt Association for Womens' Cooperation and Solidarity prepared and implemented a project on reproductive health, nutrition and hygiene, within the rural surrounding of Bayburt. This project also contributed a lot to the health conditions of women and children. After the implementation of the project, the rate of infant deaths fell to almost zero. In addition, the position of women in the household had strengthened against their mothers-in-law.

10.2.3. Contributions of DATUR to Actual Accumulation of Human Capital

In DATUR component, there took place 6 vocational training seminars and 2 demonstrations on trekking, rafting, tourism English, pension management, hosting and hygiene to create the skilled labor force for local tourism sector. DATUR Coordination also arranged 2 training seminars for raising awareness on tourism and development; and

2 demonstrative trips for local people to Cappadocia, Nevşehir, and Haute-Provence, France for observation of local tourism activities.

In fact, a very limited number of these training projects had been followed by İspir and Yusufeli people. Most of the local target groups and actors (chambers, artisans and craftsmen, and entrepreneur women) couldn't benefit from them, in the district centers. They had rather addressed to the peasants of the villages in Çoruh Valley, like Sırakonaklar.

On the other hand, a training project on water sports (rafting and canoeing) provided a group of youngsters to get interested and develop skills in water sports; and become skilled sportsmen, in Yusufeli. Another beneficiary project was the *Reproductive Health Project* in Kılıçkaya town, which was implemented by Kılıçkaya Culture and Solidarity Association; and sponsored by EU/Turkish Health Ministry joint Reproduction Health Program. DATUR Coordination provided support for this project in its preparation and application. This project contributed to the health conditions of women and children in this town.

10.3. Contributions of DAKAP to Actual Accumulation of Social Capital

The members of the DAKAP Coordination told that, during DAKAP implementations, fruitful project partnerships had been constructed among steering bodies and other stakeholders, from the civil society and public institutions. In addition, a number of new formal NGOs (associations and cooperatives) and platforms were established. Steering bodies promoted the participant target groups and stakeholders to establish new NGOs, to initiate their own projects, and to establish project partnerships with the Coordination and other stakeholders, from the beginning of the preliminary stage. Thus, these partnerships and formal organizations were some of the most direct contributions of *LGP within DAKAP*, via the face-to-face PGMs employed in the presentation, planning and implementation stages of DAKAP components. The face-to-face PGMs and project partnerships contributed to the trust, solidarity and integration in the local civil society; and in some localities led some closer, deliberative, cooperative and horizontal relationships between the local public authorities and the civil society, during DAKAP implementations.

10.3.1. Contributions of KKKP to Actual Accumulation of Social Capital

In KKKP, SÜRKAL attempted to create a network of communication and partnerships among public institutions, chambers and the civil society. In districts where İKKs had functioned well, these networks had relatively been established and worked, too. In such districts, such networks occurred both within localities and among localities, via trainings and demonstrations. In some of the districts, like Şenkaya and Susuz, governance mechanism of İKKs had enabled participation of some of the leading individuals, QUANGOs and NGOs of the districts to the decision-making and planning of the local economic and human development projects. This promoted a relatively participative dialogue and cooperative interactions between the civil society and the public institutions; and this paved the way for further participative, cooperative and deliberative habits and routine in the local public administration.

SÜRKAL provided supervision and support to and established project partnerships with Atatürk University and local public institutions, like province and district directorships of agriculture, public training, health and environment. It also established project partnerships with some then existing local NGOs. It provided them with 5 trainings on preparation, management and monitoring of projects; and national and international funds, like SRAP and EU funds; and close support and supervision for project financing. It prepared project proposals for them towards application to SRAP. These NGOs were:

- i. Şenkaya Wildlife Protection Association
- ii. Çıldır Lake Protection and Regeneration Association
- iii. Doğruyol Fishery Cooperative
- iv. Damal Agricultural Development Association
- v. Olur Ormanağzı Village Agricultural Development Association

In addition, SÜRKAL provided the local communities with trainings on organization and how to establish a formal NGO. Besides, it managed to lead local communities to establish formal grassroots NGOs (associations and cooperatives) to perpetuate the local initiatives towards sustainable development. İKKs had usually prepared the basis for these organizations. So, SÜRKAL promoted, supervised and financially supported the establishment of the following NGOs:

- i. Şenkaya Development Association
- ii. Şenkaya Ecological Agriculture Association
- iii. Susuz-Cılavuz Development Association
- iv. Çıldır Öncül Village Development Association
- v. Olur Eğlek Agricultural Development Cooperative

It also promoted partnerships among local public institutions and NGOs. On the other hand, it didn't pay a specific attention on expanding local networks towards national and international partnerships, during KKKP implementations. Thus, there occurred just a few exceptional cases of establishment of such national/international partnerships. One of them was the building of a dormitory for schoolgirls and a guest house for teachers with the sponsorship of a group of national stakeholders, who came together with the joint initiative of SÜRKAL, Çıldır District Administration, Association of Philanthropists and UNDP. The second one was establishment of a partnership among the big shopping centers, like Carefour and Migros, and the local NGOs, for marketing the products of fishermen of Doğruyol and Çıldır, with the initiative of SÜRKAL and Çıldır Lake Protection and Regeneration Association.

10.3.2. Contributions of DAGİDES to Actual Accumulation of Social Capital

In DAGİDES component, DAKAP Coordination established a series of cooperative partnerships with a variety of national, international and local public, private and civil society institutions; and promoted and supported local institutional actors in establishing partnerships among themselves and with other national and international stakeholders towards social and economic projects. It provided its stakeholders with 9 PCM and some entrepreneurial trainings; and a good deal of supervisory support, and certain amounts of seed capital, in rare cases, for their specific projects.

DAKAP Coordination supervised and supported establishment of 6 SMEs and NGOs, in Erzurum. These NGOs involved ER-KADIN and MESİNDER, in Erzurum; and Bayburt Marble Producers Association (Marblers' Association), in Bayburt. Besides, DAKAP Coordination promoted the establishment of an inter-associational platform among NGOs in Erzurum, under the name of Erzurum Civil Society Platform.

The Coordination got into partnership relations with stakeholders, like ETSO, ESOB, ER-KADIN, DATÜB, MESİNDER, TKB Erzurum Branch, in Erzurum; Oltu

Amber Association, in Oltu; and Bayburt Marble Producers Association, Association for Fighting Tuberculosis Bayburt Branch, and Bayburt Association for Womens' Cooperation and Solidarity, in Bayburt, in various training and socioeconomic projects, on organic farming, vocational and entrepreneurial capacity building, and reproductive health. It also provided a certain amount of financial support (around 10.000 TL) to the Organic Agriculture Project of DATÜB, in Erzurum; and to BTSO and Bayburt Marblers' Association in establishment of a small factory for natural stone processing, in Bayburt.

In some cases, some national and international partners had also joined these local partnerships and especially the major local NGOs, which established partnerships with DAKAP Coordination managed to prepare and implement some joint projects. For example, ER-KADIN had carried a joint entrepreneurship training project, in İstanbul, with KAGİDER, which was the first national woman entrepreneur association in Turkey.

In addition, some of the participant institutional social actors, with the partnership of DAKAP Coordination and other stakeholders, arranged or attended some national and international festivals and expositions, to present their initiatives and products, and establish multi-level partnerships. In Erzurum, DAKAP Coordination and ER-KADIN arranged the social and cultural activities within the project of “Strawberry Perfumed Days”; and DATÜB had participated to the 3rd Organic Products Expo, in İstanbul. In Bayburt, the producers of natural stones and marbles had the opportunity of attending the Marble an Technologies Expo, in İzmir, with the partnership of DAKAP Coordination, the Bayburt Governership, BTSO and the Association of Natural Stones and Marble Producers (Marblers' Association), in 2005. These activities provided an opportunity for the local social entrepreneurs and producers to establish commercial or cooperative partnerships, in national and international levels.

The Coordination members claimed that they had spent a specific effort for maintaining a participative governancial relationship with the other stakeholders and beneficiary actors; and that they succesfully encouraged creating partnerships among public institutions, semi-public chambers, Atatürk University and civil associations, for common training projects and socioeconomic projects. DAKAP Coordination members also claimed that this network of partnerships was an important contribution of DAKAP, which hadn't existed before. These partnerships had occurred and lasted during the implementation stage of the Program. The relationships among all these actors were disjointed, before DAKAP.

The social actors who got into close relationships with the Coordination, approved the claims of the Coordination members, while some others, who couldn't participate to these partnerships, criticized the Coordination about its performance in formation of partnership networks and accumulation of social capital. Most of these critiques were the representatives of the organizations of the disabled people, youth and working class. These organizations couldn't establish any partnership relations with local, national or international actors. And they seriously criticized the Coordination for not spending the necessary amount of effort in encouraging them to join into these partnerships.

10.3.3. Contributions of DATUR to Actual Accumulation of Social Capital

In DATUR component, by the encouragement of the DAKAP Coordination, two associations were established, in İspir: İspir Outdoor Sports Association and Çoruh Nature Association. The first one was established in the beginning. However, just after its establishment the DATUR Coordinator, who was appointed by UNDP, left his position and a coordination gap occurred in DATUR. The successor coordinator encouraged the establishment of the second association and worked in partnership with it, by excluding the first one. Thus, the relationships among DATUR Coordination and the two associations had been conflictual and hostile rather than cooperative. Only, near the end of the program, a partnership among DATUR Coordination, the district administration and the two associations was established for a common project towards building a sports facility for rafting; but the project didn't end successfully and some legal conflicts occurred between DATUR Coordination and Çoruh Nature Association.

In Yusufeli, “Yusufeli Association for Appraising Local Assets and Women's Labor” (2006) and the “Yusufeli Water Sports Club” were established during DAKAP years. However, DATUR Coordination was not successful in creating cooperative partnerships among local institutional actors. On the contrary, some similar contradictions among various actors, which were caused by the DATUR Coordination occurred. DATUR Coordination was unsuccessful in maintaining good communication and relationships with actors in Yusufeli; and behaved in a discriminative way against them, just like in İspir. These problems caused contradictions among associations, sports clubs, chambers and tourism enterprises; and these actors stayed away from each other, instead of creating partnerships. Thus the associations had stayed non-functional and idle, during the years of DAKAP.

During DATUR implementations, DATUR Coordination provided the local communities with 6 PCM trainings, and 2 workshops on organization, sustainability and participation. It established a fruitful partnership among İspir District administration, Atatürk University İspir Hamza Polat High School and the village headmanship in Sırakonaklar village. But there hadn't established an association or cooperative in the village, during the Program years.

DATUR Coordination attended Hanover Tourism Expo and supported the Aros Festival and River Cano Championship, in İspir and Yusufeli. However, in neither İspir and Yusufeli, nor Sırakonaklar, could the local actors establish national or international partnerships, during the DATUR implementations. A considerable exception was the development of the water sports and related sportive national and international relationships, via water sports tournaments.

10.4. Actual Contributions of DAKAP to Environmental Sustainability

In KKKP component, some 3 training projects on developing environmental awareness and regeneration, and efficient use of natural resources and demonstrations towards development of environmental awareness and sustainable use of natural resources were implemented. There also took place 2 demonstrations on pasture regeneration and providing clean water; and one on forestration.

These trainings and demonstrations were performed by SÜRKAL, in partnership with academicians from Atatürk University. Academicians of Atatürk University first worked for compilation of the inventory of the flora and fauna of the region. Since the dominant natural flora of the implementation region was savannah, the related training projects and demonstrations concentrated on protection, regeneration and sustainable use of the grasslands. In addition, a project for protection of the natural surrounding of Çıldır Lake, and improvement and sustainability of fishery activities around the lake was implemented in Çıldır and Doğruyol, by the partnership among SÜRKAL, Çıldır Lake Protection and Regeneration Association, and Doğruyol Fishery Cooperative.

These entire endeavours resulted in a certain increase in the environmental awareness of the local communities. Peasants and fishermen in the region began to behave more carefully against nature and in use of natural resources. This was one of the most important actual outputs of the program, which was also important for long-term environmental sustainability and sustainable human development.

A relatively limited effort for protection and regeneration of natural and human environment had been spent, in the DAGİDES component. In this component, some ecologically sound implementations were the Organic Agriculture Project in partnership with DATÜB, in Erzurum; and contributions to more efficient use of natural resources, in natural stone sector, in Bayburt.

In DATUR component, three contributions took place, in environmental aspects. The first one was the 4 training projects (6 sessions) on raising environmental awareness; and a demonstrative cleaning-up campaign around Çoruh river coasts. An amount of domestic wastes and garbage was collected. The second environmentally important attempt had been the compilation of the natural and historical inventory of the region of Çoruh basin. Important historical-religious places and buildings, like churches, castles and mosques; and the flora and fauna of the region were registered to the inventory. Compilation of the ornitographic inventory was specifically important. Such an inventory was a pioneering endeavour for the region. As a last contribution, DATUR Coordination provided a local NGO with support and supervision for a project application to BTC Small Investment Fund, on biodiversity.

10.5. Contributions of DAKAP to Actual Human Well-Being

The project implementations of the components of DAKAP contributed to the actual well-being of the participant target groups while contributing to the accumulation of capital assets in the localities. These contributions were a series of socioeconomic, physico-mental, cultural, societal and political achievements and opportunities.

10.5.1. Contributions of KKKP to Actual Human Well-Being

In KKKP component, the first notable contribution was political achievements of some of the pilot districts by the help of İKKs. District Councils had enabled participation of some of the leading individuals, QUANGOs and NGOs of the districts to the decision-making and planning of the local project implementations, around 3 years. This promoted a relatively participative and deliberative dialogue and cooperative interactions between the civil society and the public institutions; and this paved the way for further participative and deliberative habits, routine and culture, in local decision-making process on some other aspects of the community life, in some of the pilot districts. This was especially true for Şenkaya and partly Susuz.

The trainings and demonstrations on technical issues in agriculture, like animal husbandry, pasture regeneration, grain and pulse planting and harvesting; animal feed planting and trial of new animal feeds, providing agricultural machinery, making silage, contributed to the incomes and enhanced the actual well-being of all villagers and district residents, within the pilot districts considerably. Some particular projects on forestry and vaccination program against brucella provided notable benefits for the Şenkaya people. Some other projects on alternative means of living had also provided income rises for some of the local communities. An example was on fishery production, with the initiative of SÜRKAL and Çıldır Lake Protection and Regeneration Association, in Çıldır. They attempted to create a partnership among the big shopping centers, like Carefour and Migros, and the local NGOs, for marketing the products of fishermen of Doğruyol and Çıldır. This attempt had rather been fruitful in the beginning, and contributed to the incomes of the fishermen. SÜRKAL estimated that these successful trainings, demonstrations and provided the rural communities in the KKKP area an immediate income rise of over 4 million USD, during DAKAP implementation period.

The trainings, demonstrations and projects on other alternative means of living, like hothouse planting, freshwater fishery, organic farming, honey bee breeding, toll making, textile (ehram, rag and carpet) craftsmanship, fruit planting, milk production, geese breeding and *çisil* cheese production didn't reach sufficient levels of productivity and profitability for providing notable amounts of income rises. This was because of the shortages of financial resources and lack of sufficient marketing opportunities which was discussed before.

Nevertheless, these efforts contributed to the self-sufficiency of the rural household economies, in the pilot villages. Especially, the trainings and demonstrations on hothouse planting, textile craftsmanship and fruit planting (like strawberry and mulberry), which specifically addressed to women, empowered women relatively, both in the household and the public life.

The dormitory, which was built with the sponsorship of a group of national stakeholders, who came together with the joint initiative of SÜRKAL, Çıldır District Administration, Association of Philanthropists and UNDP, had been a good contribution for schoolgirls, in the region. There hadn't existed any such facilities for schoolgirls around Çıldır, before. This provided the opportunity for more schoolgirls to carry on their education in “Sezgin Yolcu Regional Public School”, in Çıldır.

KKKP implementations on human health, like nutrition, dental and reproductive health, dental and medical surveys, hygiene, family planning improved villagers' health conditions considerably. The vaccination campaign against brucella, a contagious disease, which infected both animals and human beings provided considerable contributions to both villagers' health conditions and maintenance of their livestock during the program.

KKKP implementations also contributed to a change of vision in the minds of people, against various aspects of life. They began to develop a new vision against development, against their economic activities, against their community relationships, against environment; and even against their familial relationships.

As an interesting anecdote, one of the interviewees in Şenkaya, *NGO Representative 15* told that:

“Şenkaya people learned how to behave a child, what to do for his/her health and well-being; and even *what a child means*, by the help of the trainings in reproductive health project.”

10.5.2. Contributions of DAGİDES to Actual Human Well-Being

The most observable actual contributions of DAGİDES to the actual well-being of the participant individuals and social groups were creation of some new business and job opportunities and income rises. However, the statistical data on these outcomes of DAGİDES were quite insufficient. There were no immediate systematic data compilations or follow up researches on these phenomena. Only some vague information, which could be derived from the interviews, was available. Nevertheless, this information showed that the members of the target groups who participated to the implementations of the Program proactively and cooperatively had gained considerable actual well-being achievements and expanded their life opportunities.

Some of the most beneficiary DAGİDES implementations which empowered the participant individuals and target groups to enhance their well-being and life opportunities were the vocational training projects, which were implemented by the cooperative partnerships initiated and/or encouraged by the DAKAP Coordination, and its close stakeholders, during DAGİDES component. Some of these programs provided a considerable amount of new employment and income opportunities and/or a considerable level of income rises for the participant individuals and social groups, in Erzurum, Oltu and Bayburt.

The most beneficiary vocational training projects were the ones on natural gas systems plumbers, in Erzurum; on Oltu Stone jewellery design; textile craftsmanship for women, in Erzurum, Oltu and Pasinler; and on stonework craftsmanship, in Bayburt. These programs, enabled around 500 trainees to gain vocational skills and job opportunities. Not all, but a considerable number of the trainees found job opportunities in the related sectors, in both the cities of the region, and in other cities, during DAKAP years.

The formal organizations, which were established by the promotion of the Coordination throughout the governance process during the planning stage of DAGİDES also contributed to the actual well-being of the local communities within the DAGİDES implementation area. The projects implemented by ER-KADIN, one of the most active NGOs in DAGİDES implementations, in partnership with DAKAP Coordination, enabled women, and young men and women to gain new vocational and/or income generating skills, like rabbit wool spinning, customer hosting in tourism, and modern costume designing with Eshram cloth, in Erzurum. Not all but many of the 84 women and youngsters found new jobs and/or provided additional income for their family household. The 30 youngsters, who attended the program on customer hosting in tourism found jobs in touristic centres like Kuşadası. In addition, many women 27 villages, began to produce strawberry majorly for their households. Some of them had the chance to reach to a certain amount of national demand (although not enough for pervasion and growth of the production) for their secondary products (marmalade and jam) from strawberry, by the help of the partnerships ER-KADIN established with national organizations.

According to *NGO Representative 2*, the representative mouthpiece of DATÜB,

“The small land-owner peasants had been the very beneficiaries of DAGİDES, as members and grassroots of DATÜB. The Organic Agriculture Project, which DATÜB had carried on, in partnership with DAKAP Coordination, had really provided serious income rises for these poor peasants. (...) After DATÜB got into contact with İstanbul Metropole Municipality, for providing organic flour to its Halk Ekmek production in the Organic Products Expo, they began to earn twice as much as before, for each unit of their produce.”

As far as *NGO Representative 1* and *NGO Representative 2* stated, one of the important contribution of the activities of DATÜB and ER-KADIN during DAKAP years was the increased solidarity and self-confidence of their members and grassroots. In

addition, peasants and women of Erzurum learnt the importance and benefits of getting organized for their interests, under DATÜB and ER-KADIN.

In Bayburt, the projects for capacity development in the natural stones sector, which were carried on by partnership of BTSO, Marblers' Association and DAKAP Coordination, contributed to the vocational skills and knowledge of the individuals and productivity of the sector. In the end, they provided additional job opportunities and relative increases in profits and incomes gained in the sector, during DAKAP years.

The PCM and entrepreneurship trainings; and the entrepreneur support services provided by the Erzurum GİDEM and the Project Support Offices in the body of ETSO and BTSO, fostered the proactive agency of some individual and institutional actors, whom attracted a considerable amount of foreign financial resources from EU Grant Program, which lasted during 2005-2006: and some domestic credit resources from institutions, like İŞ-KUR, and financial support programs, like SRAP, which lasted during 2001-2006, to flow into the region through credits and grants, during DAKAP period. These financial resources empowered these proactive economic and social entrepreneurs to create new self-employment, job and income opportunities by establishment of new SMEs and/or capacity increase in existing ones; and provision of fruitful socioeconomic projects, which contributed to the empowerment and well-being of Erzurum and Bayburt communities, during DAKAP years.

During DAGİDES years the social projects, which were implemented by some local institutional actors whose projects were encouraged and supported by the DAKAP Coordination, contributed to the health conditions of the local urban and rural communities in Erzurum, Bayburt and the wide rural area around them. These projects were the *Reproductive Health Project* prepared and implemented by TKB Erzurum Branch, in Erzurum; and the project on reproductive health, nutrition and hygiene, prepared and implemented by the Association for Fighting Tuberculosis Bayburt Branch, and Bayburt Association for Womens' Cooperation and Solidarity, in Bayburt.

The project in Erzurum contributed a lot to the actual well-being of women and children. It especially improved the mother-and-child health conditions; and the health conditions of poor women, who didn't have any social security opportunities. The health profiles of a 16.538 women, with respect to mother-and-child health conditions were compiled. The percentage of deceased mothers during birth fell dramatically from %0,06

in the beginning of the project, in 2005, to %0,027 in its end, in 2007. It fell more than the half of the previous ratio, with help of the project. Another important contribution of the project was providing a privilege for pregnant women to be accepted to the hospitals, without being rejected for any reason. Before the project, women who didn't have institutional social security had been rejected by the hospitals. In addition, the position of women in the household had strengthened against their mothers-in-law.

DAGİDES implementations, especially the vocational trainings, PCM, entrepreneurship development and other capacity development projects; and the projects on reproductive health, nutrition and hygiene provided a start for the process of local women's access to the public sphere. Some participant women attended public events like educations, meetings, dinners for the first time. In time, women who hesitated to get on public vehicles, before, had adapted more and more to the economic and societal life, in both Erzurum and Bayburt.

These were some political, socioeconomic and societal contributions of DAGİDES to the empowerment and actual well-being of the social groups who were mobilized and participated to the governancial process and the implementations of the Program, with their institutional representatives, NGOs and QUANGOs. However, the other urban social sectors, mostly the disadvantaged ones, like youth and disabled people, and the working class, whose NGOs and unions didn't or couldn't participate to the Program, couldn't benefit from the implementations, as much as the participant ones.

10.5.3. Contributions of DATUR to Actual Human Well-Being

Although, the vocational training projects, like tourism English, hygiene and pension management, increased the touristic service quality, in the DATUR implementation area; they didn't provide considerable contributions either to the establishment and capacity development of new tourism enterprises; or to the creation of new job and income opportunities for İspir and Yusufeli people. This was majorly because DATUR implementations, didn't contribute much to the presentation of Yusufeli and İspir in national and international tourism markets; thus they didn't add much to the demand in national and international level.

May be the only notable contribution of DATUR to actual well-being of İspir people was the establishment of the motel in the top floor of the town hall, with the financial support of DAGİDES resources. But, although it provided a limited number of job

opportunities for İspir people, its contribution was quite limited to the income and actual well-being of İspir community. Some other notable projects were performed on developing water sports tourism, like rafting and canoeing, in Yusufeli. The trainings on water sports provided a group of young people to get interested and develop skills in water sports. DATUR Coordination also participated to the organization of the Aros Festival and River Cano Championship together with the local authorities; and enabled local sports clubs to attend this Championship. Then the local sportsmen and the water sports clubs of Yusufeli became known nationally and internationally.

Another important DATUR contribution was on establishment of touristic pensions in some of the small towns and villages of Çoruh Valley, like Sirakonaklar village. After establishment of a demonstrative pension, 7 more pensions were established in this village, with the financial resources from SRAP. These pensions provided an opportunity of a relative expansion of tourism and additional income for the villagers. One of the most beneficiary projects, in DATUR component was on health. It was the Reproductive Health Project in Kılıçkaya town. This social project contributed to the health conditions of women and children in the town.

10.6. Evaluation of the Contributions of DAKAP to Local Capacity Building

Although DAKAP couldn't mobilize and benefit a wide range of target groups and local actors within its implementation area it provided the participant target groups with a series of valuable well-being achievements. Meanwhile, it built a certain level of endogenous development capacities within the localities, by contributing to the accumulation of capital assets and to the process freedom of some key local individual and institutional actors to take proactive roles and control over the local SHD process.

On the other hand, its contributions specifically to the accumulation of economic capital had been limited seriously. Thus, these limitations were reflected both on the actual well-being of the target groups; and development of the local endogenous capacities for sustainability of local economic and human development, as well.

10.6.1. Successful Contributions of DAKAP to Local Capacity Building

Soft instruments of DAKAP implementations (various trainings, demonstrations and supervisory services) provided a very good deal of contributions to the *accumulation of human capital* within the localities, in all component areas, by providing the participant members of the local target groups with a series of personal qualifications, like civic,

legal, organizational, vocational and entrepreneurial knowledge and talents, PCM skills and good health conditions. The face-to-face PGMs (consultative negotiations and meetings, workshops, İKKs and project councils) and project partnerships within DAKAP components also contributed to the human capital, by providing the participant members of the local target groups and stakeholders -especially some of the key individuals, NGOs and QUANGOs- with an entrepreneurial vision on development, which suggested to attain deliberative, participative and cooperative attitudes; and taking proactive and cooperative roles in development affairs. They also provided these individuals with some valuable skills and experience in project management and good governance relations. These contributions were specifically essential for building of *self-governance capacities* in the localities, towards providing *sustainable local agency* over long-term SHD process.

In addition, soft instruments of DAKAP contributed to the *accumulation of social capital* especially within the localities of KKKP and DAGİDES areas, by providing the participants with knowledge and skills on organization; and sometimes with financial aids. In the face-to-face PGMs in each component, the steering bodies promoted and supervised the local target groups to get organized and establish some new grassroots organizations (NGOs) as their institutional representatives. They also promoted and supervised the local NGOs and QUANGOs to establish project partnerships with the steering bodies and other local and multi-level stakeholders. The new NGOs contributed to the local institutional infrastructure; and the project partnerships initiated an expected development towards sustainable local partnership networks and a dense and integrated civil society, in the localities. In some localities, PGMs (specifically İKKs of Şenkaya and Susuz; and the PGMs in Erzurum and Bayburt) and partnerships also promoted relatively closer, horizontal, deliberative and cooperative interactions between the civil society and the public administrations; and initiated the expected development of a parallel participative civic culture, in the local public administrations. These were also important contributions for building of local *self-governance capacity*, in the localities.

DAKAP implementations also contributed to the *accumulation of economic capital* - although insufficiently in absolute terms. Specifically in DAGİDES, PCM support and supervision services provided monetary inflow from foreign financial resources of EU grants and domestic credits from İŞ-KUR and SRAP. DAKAP Coordination and GİDEMs had spent a diligent effort in this, with their close support and supervision of

preparation and implementation of the economic and social projects that belonged to the individual and institutional entrepreneurs, in Erzurum and Bayburt. Both Erzurum and Bayburt people attracted a good deal of EU grant for their projects. The grant inflow to Bayburt was the the highest amount in TRA1 region; and one of the highest in Turkey. These services also contributed to the development of the business affairs of a number of producers and entrepreneurs; promoted investments for establishment of some new SMEs. They also increased the capacities of a number of SMEs and enhanced the productivity and profitability of some locomotive sectors, like small agricultural producers, and arts and crafts SMEs in Erzurum; marble and natural stones producers in Bayburt; and natural stone jewellery sector in Oltu.

Moreover, in KKKP component, SÜRKAL had provided a considerable amount of in kind support (silage machinery, hothouse equipment, seeds and seedlings, juveniles, bees and the like raw materials) to the participant peasants, via various demonstrative implementations on animal husbandry and agricultural production. Some of the demonstrations, like animal feed planting and trial of new animal feeds (Macar Fiği, Korunga and Tritikale), pasture regeneration, introduction of new agricultural machinery, silage making and hothouse planting, had enhanced the well-being of the peasants considerably and provided sustainable benefits for all village economies. The trainings and demonstrations on animal husbandry, silage making and new types of animal feed planting improved the quality and profitability of the animal husbandry activities, in the pilot villages. Hothouse planting provided an extra nutrition opportunity and some extra income for the peasant households gained from the local district markets. The project on forestry and the program on vaccination of animals against brucella were valuable contributions to the local economy in Şenkaya. The project for protection of the Çıldır Lake and sustainability of fishery made a notable contribution to the fishery production in Çıldır and Doğruyol districts.

Although in rare cases, DAGİDES and KKKP provided the entrepreneurs and producers with contacts to national and international markets. Cases of DATÜB and the petty organic farmers; ER-KADIN and strawberry fruit by-products producers of Erzurum; marble and natural stone sector of Bayburt; and fishermen of Doğruyol and Çıldır are some of the rare examples. Such marketing opportunities were beneficiary for increasing the revenues of the related sectors; and stimulated a number of new farmers and producers to enter these sectors.

In DATUR, one fruitful project was the one on establishment of pensions, in Sirakonaklar. Another one was the establishment of a motel in the top floor of the town hall, in İspir.

10.6.2. Limits of the Contributions of DAKAP to Local Capacity Building

However, sum of all these contributions to the accumulation of economic capital was not adequate to increase either the rural agricultural production; or competitiveness, volume and productivity of the urban private sector sufficiently, in the region. Nor did the characteristics of the economic activities and structure of employment change in any locality of the DAKAP implementation area. Some negative factors limited the contributions of DAKAP to the economic capital and these limitations were reflected both on the actual well-being of the target groups; and development of the local endogenous capacities for sustainability of local economic and human development, as well.

As stated before, SHD strategy and SHD based SDPs have a specific emphasis on using soft instruments for local capacity building. Thus, UNDP anticipates restrictions on usage of hard instruments. In the field of local economic development, UNDP suggests the SHD based SDPs a method which anticipates creating some local “shining examples”. DAKAP adopted this method, too. As *Academician 1* stated:

“DAKAP had a small budget and DAKAP Coordination spent its effort to use this budget towards creating some shining examples, in selected localities and sectors.”

These shining examples were expected to be the locomotives of a change in the characteristics of the economic activities and employment structures in the pilot localities of DAKAP implementations. They also expected to spread and change the economic structure of the other localities in the region, as admirable, motivating and repeatable examples.

The success of the *soft instruments* in both enhancing the actual well-being of the target groups effectively; and in providing the sustainability of local economic and human development necessitates accumulation of all types of capital assets in a sufficient and complementary way, in the locality. As an example, provision of some unemployed members of a local community with vocational qualifications specific to a production sector should rather be complemented with establishment of some local SMEs in this specific sector to offer them job and income opportunities. So, scarcity of one type of

capital assets may disturb both the actual and sustainable human development, even though the other types of capital assets are abundant in the locality.

However, scarcity of all items of capital assets had been a chronic problem in Eastern Anatolia for decades. After long decades of migration of people to the Western Anatolia, human, social, financial and physical resources –thus endogenous development capacities- were removed away in cities like Erzurum and Kars, which were once important centers of commerce and industry in East Anatolia. As *Academician 1* stated:

“Authentic residents of Erzurum, who once owned enterprises, sold out and liquidated their physical capital, when they left their cities with the migration waves towards West Anatolia. Thus human, financial and physical resources had gradually removed away from the city, since 1960s.”

In addition, some important industrial enterprises, like the milk factory in Kars, had become idle; and soon their physical capital had been liquidated, after their privatization, during 1990s.

This chronic resource scarcity problem had always been the main challenge of development policies and practices in Eastern Anatolia; and overcoming it necessitated building local endogenous capacities in a balanced and sufficient way, in all economic sectors that have the potential to develop. In addition, in circumstances of such a scarcity problem, using merely soft instruments wasn't sufficient for accumulation of economic capital; but it necessitated employment of more *hard instruments*, like financial support as seed money, physical aids and technological support, infrastructural investments and fiscal incentives. It also necessitated providing the local producers with wider marketing opportunities in regional, national and international markets. It was important to enable local producers to convey their production to regional, national and international markets for receiving the sufficient volume of demand and of revenues for accumulation of economic capital and growth of economic sectors sustainably.

Unfortunately, DAKAP could not be successful enough in overcoming the scarcity problem of the region, and “linking East Anatolia to development” as it claimed, specifically because of its incompetency in accumulating a sufficient level of economic capital in various local economic sectors, in order to complement the accumulated human and social capital, during DAKAP implementations. The fact of limited budget, the emphasis on soft instruments and the method of creating shining examples resulted in the

ineffectivity of the steering bodies in using the DAKAP resources to provide sufficient, equitable and efficient support to the local economic sectors.

In fact these restrictions were a general problem for most of the multi-level development partnerships which were supported and financed by international institutions, like UNDP. These institutions influenced the development practices negatively, by such restrictions arising from their general principles and priorities. As *Development Expert 2* (a retired UNDP Expert) says:

“The biggest handicap of the subnational development programs which had international stakeholders, like the ones supported by UNDP or financed by EU grant programs, is pre-determination of their priorities by the related international institutions. However, in a participative development program, the participation of the local actors to the determination of its priorities and main goals from the beginning.”

These restrictions pushed the steering bodies to reserve the bigger share of the budget to soft instruments and thus they couldn't provide sufficient financial and physical support to the target economic sectors. This was more or less true for all DAKAP components. Most stakeholders and beneficiaries criticized DAKAP because of the inadequacy of its monetary support to the producers and entrepreneurs, as seed money.

In addition, the steering bodies of DAGİDES and DATUR made an extremely selective and asymmetrical allocation of the resources of DAKAP among target economic sectors. This was true not only about the financial and physical support but also about the technological, supervisory and the other types of support. Although some selected producer sectors and stakeholders, like DATÜB and petty organic farmers, ER-KADIN and entrepreneur women, marble and natural stone sector of Bayburt, natural stone jewellery sector of Oltu, and village community in Sırakonaklar benefited the resources and support of DAKAP in relatively high amounts; most of others couldn't.

On the other hand, the selections on target economic sectors to be supported for making shining examples were not the most appropriate choices all the time. DAKAP and DATUR Coordination experts made some arbitrary choices among target groups and economic sectors; and couldn't always be effective in making the right choices. They couldn't make the proper feasibility researches and/or investment plans, and the efficient allocation of resources between soft and hard instruments. Thus they couldn't perform the most proper and effective implementations most of the time, in DATUR and DAGİDES.

So, the resources and support of DAGİDES and DATUR had not been allocated equitably, efficiently and effectively among economic sectors. Nor were the implementations of these components in a balance between soft and hard instruments they involved so that they would contribute to the human and economic capital in levels that would complement each other for each local economic sector. In the end, except for some specifically selected cases, DAKAP implementations couldn't provide the local entrepreneurs and producers with either sufficient financial and other types of support; or marketing opportunities necessary for sustainable accumulation of economic capital, during its life-time. Thus, most local economic sectors couldn't develop sufficiently and as stated above contributions of the soft instruments in those sectors could lead neither well-being nor capacity building sufficiently, although biggest portion of the DAKAP budget was spent on the soft instruments.

As an example, in DAGİDES, a number of 300 unemployed youngsters graduated from the program, during life-time of DAKAP. Some of the graduates found jobs in their hometown. But, volume of the gass plumbrery sector in Erzurum was not sufficient to absorb that much labor force; and DAGİDES didn't attempt to support and develop this sector up to the sufficient level. So, many of the graduates of the program went out of the region to other cities, like Mersin, Ankara, Trabzon and İzmir.

In DATUR, the hotel and pension enterprises were not supported and supervised for capacity increase, in İspir and Yusufeli, where there existed a certain potential to develop the tourism sector. DATUR Coordination excluded the local SMEs of tourism sector from DATUR in these districts; and preferred to support the villagers in Sirakonaklar and other villages where animal husbandry was dominant, in the name of changing the character of the economic activities in these villages. But, they couldn't manage this; and young people who participated to the trainings on pension management, tourism English and hygiene couldn't benefit their new qualifications sufficiently, in İspir and Yusufeli.

In KKKP, although SÜRKAL seldom provided seed money or financial support to the participants and its stakeholders, too, it had provided a considerable amount of in kind aids to the participant peasants of the pilot villages. In addition, the powerful PGMs employed in KKKP, namely the İKKs, provided the local target groups with a continuous and influential voice on the determination of the implementations towards their most valued needs, priorities and preferences. These aids and demonstrative implementations

had enhanced the well-being of the peasants considerably and provided sustainable benefits for the village economies.

However, KKKP implementations couldn't manage to lead the peasants to increase their production from household subsistence up to a marketable level in either the animal husbandry by-products, like milk and cheese production; or in other alternative means of living, like animal feed planting, hothouse planting, fruit production, freshwater fish breeding, organic farming, toll making, textile craftsmanship, geese breeding and bee breeding which SÜRKAL introduced and/or supported in the pilot villages.. Nor could SÜRKAL manage to spread the production of these products in the rest of the region. So, the soft instruments of KKKP didn't contribute to the endogenous capacities of the rural communities sufficiently to advance their economic activities towards alternative fields. They couldn't loosen the dominance of animal husbandry and start a characteristic change in the economic activities of the peasants to more profitable agricultural products.

This was again basically because of the insufficiency of the financial resources of the poor peasants; and the lack of market demand for the alternative production items that SÜRKAL introduced. So, without provision of some seed money from DAKAP resources, most local producers couldn't dare to invest further in production of these alternatives. In addition, SÜRKAL and local İKKSs didn't spend the sufficient effort in reaching new market opportunities and enjoying the products of the demonstrations and other local products to the regional or national markets, either. Some attempts that SÜRKAL and local İKKSs made in Şenkaya (on fishery and bee breeding), Susuz (on geese production), Olur (on mulberry) and Çıldır (on *çisil* cheese) were unsuccessful. In fact these projects had unfeasible objective choices made by SÜRKAL and the local İKKSs together.

One of the other obstacles against accumulation of sufficient economic capital, in the KKKP area was the lack of the arable land for the increase of the production of the animal feed planting and alternative agricultural goods, like hothouse planting and fruit planting, which SÜRKAL introduced. In addition, lack of the industrial enterprises (like a milk and/or cheese factory) which would provide a sufficient local or regional demand for the by-products of animal husbandry was another obstacle. These were some specific problems that prevented the production of these items to reach over the self-subsistence level, in KKKP area.

There were some other problems than the ineffectivity of the steering bodies and the local PGMs against sustainable accumulation of economic capital, in all DAKAP components. Because of the budget restrictions mentioned, the steering bodies had rather preferred orienting the participant entrepreneurs and stakeholders to benefit from alternative financial resources, than directly financing them with DAKAP resources, in all components. Specifically DAKAP Coordination and GİDEMs spent a diligent effort in this, with their close support and cooperation in preparation and supervision of some particular economic and social projects that belonged to the individual and institutional entrepreneurs, in Erzurum and Bayburt. However, in most cases this diligent effort didn't succeed in enabling the social and economic entrepreneurs to achieve the necessary financial resources they needed.

The main reason for this was the *bureaucratic complexity* of the procedures of the national and international financing partners, like İŞ-KUR and EU, which DAKAP Coordination and SÜRKAL oriented them. The procedures and regulations of EU grant programs had been overcomplicated, for most of the individual or institutional entrepreneurs; and there had often been some clientelist degenerations in handling of these credits. In addition, EU Grant Programs urged the individual or institutional beneficiaries of the grants to contribute with certain percentages of the granted amount; and the taxes and duties collected from the İŞ-KUR and SRAP credits were very high. Most of these entrepreneur nominees or associations in the region, didn't have the ability to afford these amounts. The story of *SME Owner 2* was an interesting example for this problem, which we told above.

There were some other factors which limited the contributions of DAKAP to the accumulation of economic capital and local capacity building. They were related to the inadequacy of the general governance of DAKAP. In the beginning of DAKAP process, the decisions on its major goals, component projects, and their objectives, methods, budgets and implementation areas were taken by the Program Executive Committee, in its meeting on March 12, 2001, with participation of Atatürk University, UNDP Turkey, DPT, TOBB, GAP-RDA.

The participants of this important meeting were all national and international organizations; and didn't involve any local or regional actors. So, this meeting didn't have a bottom-up, participative character; and the main decisions of DAKAP were taken without participation of the local-regional actors, living in the DAKAP implementation

area. This caused a series of problems during carrying on the components in the localities, beginning from the presentation tours and negotiations. A number of local actors didn't agree with DAKAP Coordination about its emphasis on soft instruments and the objectives of the related component supposed to be implemented in their localities.

As an example, *QUANGO Representative 6* who was the Chair of the B_TS_O in the preliminary stage of DAGİDES told that:

“The directors of DAKAP Doordination came to Bayburt in the beginning. We talked about the potentials of Bayburt. I told them that the most important economic activity in Bayburt was animal husbandry, and they should have supported this sector. They wanted to get interested in the marble sector. But we couldn't agree on this.”

A similar critique came from *Public Official 1*:

“There were problems in the choice of the objectives of the program, in the localities. On behalf of Bayburt, for example, Bayburt wasn't included in the rural tourism development activities. But, Bayburt was in the Çoruh basin. Çoruh is born in Bayburt; and some of its upper parts, where its flow rate reached up to the level suitable for water sports are in Bayburt.”

There was another problem related to the general governance of DAKAP. It was the lack of a regional level PGM to coordinate and monitor the LGPs and implementations in the localities. At the regional level, only two evaluation meetings were arranged for the general monitoring and evaluation of DAKAP, in 2003 and 2004. However, an SDP implemented in such a wide area should have had a regional look, and a continuous and participative regional governance mechanism. This would have provided a series of contributions to the program implementations and success of their outcomes.

First, it would have provided an effective coordination of the components, LGPs and the local implementations in various localities. Lack of such a coordination had been a serious problem. As *Development Expert 3* stated:

“If I had the chance to plan and implement DAKAP from the beginning I would have provided a regional level coordination of the components and local implementations. The implementation area was quite wide and the component projects were so isolated from each other. (...) Objectives of the components should have been determined in a complementary way. For example there were localities with tourism potentials in the KKKP area. But KKKP concentrated rather on agricultural objectives. On the other hand, DATUR area was rural and some agricultural implementations could have performed in its localities.”

Regional level governance could have solved such problems. It would have also provided establishment of regional level partnerships and marketing relations among

localities. Then, some projects crosscutting the component boundaries with complementary objectives could have been implemented; resources and capacities of various localities could have been employed in a complementary way; and production of the localities could have circulated in a relatively integrated regional market. These would have partially overcome the problem of resource scarcity; and provided the local communities with more income and sustainable accumulation of economic capital.

As a last point, a quite limited effort had been spent for environmental sustainability, in all components of DAKAP. A very limited number of implementations took place, in order for protection and regeneration of natural and human environment, in DATUR and KKKP, like the cleaning-up campaign around Çoruh river coasts, compilation of the natural and historical inventory of the region of Çoruh basin; and some training projects and demonstrations towards development of environmental awareness and sustainable use of natural resources. Some limited efforts were spent on sustainable use of natural resources in DAGİDES, like the project of organic husbandry, in partnership with DATÜB, in Erzurum; and contributions to more efficient use of natural resources, in natural stone sector, in Bayburt.

These implementations are more than none; but it's clear that a higher number of widespread and articulated series of implementations must have been planned and realized to enhance environmental sustainability for future generations. However, DAKAP steering bodies didn't put the necessary emphasis and didn't pay the sufficient attention and efforts on issues of environmental sustainability.

10.7. Assessment of the Relationship between the LGPs and the Actual Outcomes of DAKAP

As the result of the second part of the fourth research theme, it can be said that there is a significant positive relationship between the good governance qualifications of the LGPs (more specifically the qualifications of the endogenous factors of the LGPs with respect to the endogenous conditions of good local governance); and the level of the actual enhancement of the well-being of the local target groups in various localities of DAKAP area, as the analytical model developed in the thesis suggested. There is also a parallelism between the good governance qualifications of the LGP; and the level of the actual accumulation of the capital assets in the localities, as anticipated by the analytical model.

However, there cannot be observed the same parallelism between the good governance qualifications of the LGP; and the level of the contributions to the environmental sustainability, in the localities of DAKAP area. This is because there were quite limited contributions to the local environmental sustainability in all components so that a healthy comparison is not possible.

Consequently, it can be concluded that the LGPs within DAKAP had positively contributed to the actual outcomes of DAKAP that is the actual enhancement of the well-being of the participant local target groups; and the actual accumulation of the capital assets in the localities, in parallelism with the level of their good governance qualifications. So, these results provide a considerable support to the anticipations of the *analytical model* constructed in Chapter 7, on the positive influences of good local governance on actual outcomes of a SHD based SDP.

Then, it can be said that the more the LGPs reflected good governance qualifications in the localities the more the individual and grassroots institutional actors (NGOs and QUANGOs) participated and had control over the LGPs; the more they took control on the determination of the objectives and instruments of the projects, in accord with the needs and priorities of their grassroots; the more they engaged into the project implementations as proactive stakeholders; the more they served enhancement of the well-being of their grassroots; and the more they served capacity building in their localities by contributing to accumulation of economic, human and social capital. So, the more the local target groups got empowered by the LGP within DAKAP the more they benefitted from DAKAP implementations; and the more they enhanced their well-being as beneficiaries. Parallely, the more local communities got empowered by the LGP within DAKAP the more they increased their endogenous development capacities towards sustainable economic and human development.

More specifically, as stated above, some of the most beneficiary target groups in KKKP area had been the district and village communities in Şenkaya, Susuz and Damal; and community of Öncül village, in Çıldır. These localities were also the ones where LGP lasted in good governance qualities without disturbance, by the continuous functioning of İKKs and/or project councils in the villages. SÜRKAL and the local actors spent considerable efforts for continuity of the good governance qualifications of the LGP throughout the life-time of KKKP, in these localities. In addition, the district administrators and village headmen cooperated actively and provided the sufficient

autonomy and empowerment to the İKKs and project councils. So, the continuity of the good LGPs sustained the agency of the local actors and the peasant communities; empowered them to design, budget and monitor the project implementations continuously; and let them make reviews of the action plan of KKKP dynamically and spontaneously, in accord with their current needs and priorities, in Şenkaya, Susuz, Damal and Öncül village.

In the end continuous good LGPs and local agency led planning and implementation of a series of successful and beneficial trainings, demonstrative implementations and other social projects, dynamically, participatively and cooperatively, which fitted the current needs and priorities of the peasant communities properly; and which resulted in a good deal of their most valued achievements for enhancing their well-being and contributing to human capital accumulation, in these localities. In this aspect, the vaccination project against brucella was a specifically important example, in Şenkaya. This project was initiated by the local İKK, as a response to the demand from the İkipinar village project council.

These demonstrations and projects contributed to the village economies a good deal, in Şenkaya, Susuz, Damal and Öncül. However, they couldn't provoke a considerable increase of the productivity over self-subsistence level in either the animal husbandry by-products or the alternative agricultural production, because of the limitations we discussed above. So, they couldn't develop the local endogenous capacities sufficiently even in these localities.

SÜRKAL also promoted and supported establishment of a series of NGOs, in KKKP area; and promoted and supported the existing NGOs and local public institutions to cooperate in partnerships for project implementations. The İKKs and the partnerships provided some closer and more horizontal relationships between the NGOs and the local public administrations. They also created some participative, cooperative and deliberative habits and routine in local decision-making on development issues. These were valuable contributions to the accumulation of social capital in these districts.

Çıldır İKK, when functioned properly in the beginning of KKKP, initiated some important projects, like the one for protection of the natural surrounding of Çıldır Lake and sustainability of fishery activities around the lake, by the partnership among SÜRKAL and two local NGOs. There also established a youth center and initiated a

partnership for building a dormitory for schoolgirls and a guest house for teachers, in Çıldır. This dormitory had been a good contribution for the education opportunity of the schoolgirls, studying in the boarding school near Çıldır.

These were fruitful attempts of the Çıldır İKK when it was functioning well, until 2005. But after the district administrator and mayor changed and the İKK mechanism lost its functionality, project implementations almost stopped in Çıldır and its villages, except for Öncül Village. In Öncül, fruitful implementations which provided the peasants with valuable achievements went on until the end of DAKAP, via on-going good LGP with the efforts of SÜRKAL experts and the project councils in this village.

In Olur, when İKK functioned well in the beginning of the KKKP implementations, the trainings and demonstrations had a certain success; and the number of their participants had increased rapidly both in the pilot villages and in the neighbourhood villages. Some projects on increasing the milk production and fruit planting (mulberry) began. But, after the district administrator changed with appointment, the new administrator caused authority conflicts in the İKK process and restricted the participation of his officials to İKK meetings and even to the implementations. So, he made the İKK almost unfunctional and the local agency decreased considerably. Then, the participation to the trainings and demonstrations gradually fell and some ungoing projects on alternative agricultural production (mulberry and milk production) stopped, in the pilot villages of this district.

In DAGİDES, although a continuous LGP took place it provided the local agency partially. A wide range of institutional representatives of the local target groups were excluded from the process. A number of local actors left and stayed away from the process during the preliminary or planning stages, because of their prejudices or unresponded expectations; or since they didn't experienced a good LGP. Specifically in Erzincan the LGP didn't function at all.

However, a number of advocated participant local target groups and institutional actors witnessed a continuity of good LGP during the preliminary and planning stages and participated to the process continuously, in Erzurum, Bayburt and Oltu. This empowered these participants with the opportunity to shape the training projects and other socioeconomic projects properly according to their own needs and priorities. Then, the participant non-governmental institutional actors got persuaded that DAGİDES

implementations will have been helpful in realizing the development expectations of the target groups they represented. So, they became proactive stakeholders, and initiated and implemented their own particular projects, in partnership with DAKAP Coordination and other partners.

DAKAP Coordination also promoted and closely supported the establishment of some new NGOs, within the face-to-face PGMs (negotiations and meetings) in Erzurum and Baybut, during the preliminary and planning stages. It engaged in fruitful project partnerships with the local public institutions, NGOs and QUANGOs; and promoted the local NGOs and QUANGOs to establish some local and multi-level partnerships, within the face-to-face PGMs. So, the LGPs fostered some closer and more horizontal relationships between the local public administrations and the civil society; and some participative, cooperative and deliberative attitudes, habits and networks in local decision-making on development issues, in Erzurum and Bayburt. These were valuable contributions of the LGP to the accumulation of social capital, in the TRA1 region.

In the end, a series of fruitful trainings, and economic and social projects were implemented in Erzurum, Bayburt and Oltu, which provided the participant target groups with a good deal of most valued achievements and enhanced their well-being. The participant grassroots organizations oriented their grassroots to the implementations and led them benefit from the trainings and other projects. So, members of a variety of target groups, like tradesmen, arts and craftsmen, entrepreneur men and women, organic farmers, mothers and children, in Erzurum; stone jewellery producers and workers, in Oltu; entrepreneurs and specifically marble and natural stone producers, women and children, in Bayburt. As an exception a good number of unemployed youngsters participated and benefited from the implementations although none of the NGOs representing youth could participate to the planning stage.

All these implementations and the LGPs also provided a good deal of contributions to the accumulation of human and social capital in Erzurum, Bayburt and Oltu. These contributions led the development of local self-governance capacities in especially Erzurum and Bayburt up to a certain level. The implementations also contributed to the local economies up to a certain level. But these contributions were not sufficient for leading the necessary level of endogenous capacities for sustainable economic growth and development, because of the mentioned restrictions we mentioned above.

In DATUR, because of the preferences of DATUR Coordination officials, there didn't take place a good LGP, in İspir and Yusufeli district centered. The Coordination officials designed and implemented most of the projects in close contacts with local administrators and mayors. But they excluded the local chambers and SMEs working in tourism sector; and the local NGOs except for a few ones (one NGO in İspir and a sports club in Yusufeli). Yet, they couldn't manage good relationships with these NGOs and experienced legal conflicts in the end.

Nevertheless, relatively good LGPs took place in the rural area in Çoruh Valley. Specifically in Sırakonaklar, a good LGP took place by the partnership of İspir district administration, Atatürk University İspir High School and the Village Headman 3.

In the end, some projects like establishment of a demonstrative motel, in İspir; and a series of trainings on issues like tourism English, pension management, hygiene, and water sports were implemented in DATUR area. Some limited number of members of the target groups in İspir and Yusufeli districts also participated to them. 3 NGOs were established in İspir and Yusufeli. These implementations provided a certain accumulation of human and social capital. But since there didn't take place any partnerships with the local chambers and SMEs to support the development of the local tourism sector, there didn't occur sustainable endogenous development capacities for a characteristic change in economic activities towards tourism, in these districts. Some fruitful projects were carried on which contributed to the human capital and village economies, specifically in Sırakonaklar village and Kılıçkaya town. But these were also insufficient to start characteristic changes in the local economies, either.

CHAPTER 11

LOCAL GOVERNANCE AND THE SUSTAINABLE OUTCOMES OF DAKAP

In this chapter, the fifth research theme is handled. So, the chapter will begin with the presentation and evaluation of the the sustainable outcomes of DAKAP, in accord with the first part of the theme.

11.1. Sustainable Contributions of DAKAP to Accumulation of Economic Capital

Direct sustainable contributions of DAKAP to the accumulation of economic capital within the region had been quite limited because of its limited monetary budget and several other reasons mentioned in the last chapter. Nevertheless, a share of the contributions of the demonstrative implementations of KKKP; and the SMEs, and the physical capital accumulated by DAGİDES and DATUR implementations were inherited from the years of DAKAP.¹

The major long-term contributions of DAKAP to the local economic capital accumulation came by the sustainable agency of some individual and institutional economic/social entrepreneurs who had gained some sustainable achievements from the LGP (face-to-face PGMs and project partnerships) and the trainings (especially the PCM trainings) during the life-time of DAKAP. Contributions of the LGP and the trainings in DAKAP empowered some of the participant individuals and NGOs with the capabilities to become sustainable agents of local economic development and accumulation of economic capital further, by preparing and implementing some new projects for reaching fresh credits and grants.

11.1.1. Sustainable Contributions of KKKP to Accumulation of Economic Capital

Training projects and demonstrations of KKKP component had provided some notable sustainable contributions to the pilot village economies. Villagers went on animal feed planting and silage making, specifically in the pilot villages of Şenkaya and Susuz. This provided a sustainable support to the animal husbandry activities, in these villages. In most villages, hothouse planting had lasted up to 2010. The number of the hothouses

¹ In fact, the exact sustainable influences of DAKAP implementations were not clear, because there were not sufficient follow up statistical data about the enterprises inherited from DAKAP years, new capital investments, or the exact financial inflow to the region after DAKAP, as long-term influences of DAKAP's implementations.

had increased, beginning from KKKP implementation years up to 2010. Peasants learnt how to set up a hothouse in KKKP demonstrations, and built their own hothouses themselves, after KKKP. In the villages of Şenkaya and Susuz; and in Öncül village, a number of villagers, especially women, carried on hothouse planting and fruit planting (like strawberry and mulberry); and added income to the rural household economies in the long-run.

As stated before, some individuals and associations had been agents of local economic development by preparing and implementing some new projects, after KKKP, up to 2010. As the first example, *Public Official 2*, the Director of Susuz Public Training Center, initiated projects on activating the tourism potentials of Susuz and surrounding villages, in partnership with Boğatepe Development Association. They attempted to set up a pathway for nature sports and trekking; and then began to arrange tours to the district. *Public Official 2* hoped that Susuz district will develop as a tourism center in 5 years and Susuz people will benefit from this, both economically and culturally. He prepared another project on developing goose breeding, in partnership with SÜRKAL. They attempted to develop the goose production by mechanization of egg incubation with incubators. However, they stopped the project, because of some technical problems and lack of enough demand in the national markets. In the days of this research,

Public Official 4, Olur District Director of Agriculture, prepared and implemented a series of new projects in order to contribute to the local Olur economy, as well. One of his projects was on providing milk machines for 25 women in various villages of Olur, in partnership with the German Embassy and the German Union of Agricultural Cooperatives, in 2007. Technicians from the Union trained the 25 women, on using the machines.

After that, he initiated a new project, which provided a series of technical trainings for his technical personnel, representatives from local cooperatives and NGOs on milk technology and PCM; and a milk collection center was established, in Olur. The collected milk had been sold to a milk factory in Palandöken and a dairy in Olur. German Union of Agricultural Cooperatives, Deniz Feneri Association and the Ministry were the co-partners of this project, which had been implemented during 2008-2009 period. However, the project ended in 2009, because the factory in Palandöken and the dairy in Olur were shut, because of financia problems.

Public Official 4 went on preparing and implementing of a series of other projects, in partnership with a variety of national and international partners, in 2008-2009 period. He also prepared and implemented a series of SRAP projects. One of these projects was providing some 150 villagers with grass reaping machines. Another SRAP project was on setting up of orchards; and another one was on setting up of trout plantation, in Beğendi village of Olur. This plantation was still active and productive, in 2010.

Village Headman 1, the headman of İkizpınar village in Şenkaya, was another leader figure, agitated by KKKP implementations and deeply advocated to the new entrepreneurial vision of SHD. He managed to solve a technical problem about Tririkale, a type of animal feed that SÜRKAL introduced during KKKP demonstrations; and provided preserving the hybrid characteristics of Triticale seeds, after a series of generations. He also spent a good deal of effort in development and spreading of the animal feed planting to other regions out of DAKAP area, with his own efforts. Thus, KKKP demonstrations on animal feed planting became a repeatable “shining example”, which had spread and provided income rises in other parts of the region than the KKKP pilot area, by the efforts of *Village Headman 1*.

Unfortunately, despite these efforts to increase the productivity in animal husbandry, in the production of milk and bestial products or in the alternative agricultural production which KKKP introduced, it never reached a marketable level for exporting out of the pilot area. Hothouse production only provided the hothouse producers with some additional incomes raised from local markets; and some additional nutrition opportunities for their households. Some attempts for providing markets for *Çisil* cheese, hothouse and goose producers didn't result in sustainable ends, like expansion of then existing very limited national market, and rise of sales and income. The attempts for providing sustainable demand for the fishery products by partnership of Carefour and Migros didn't last successfully after KKKP ended.² This resulted in a lack of demand and worsened the conditions of the local fishermen in Çıldır and Doğruyol.

Thus the former KKKP region stayed in its autarchic, small and mostly self-sustaining agricultural economic conditions, depending on animal husbandry. The major reasons for this were again the resource and capital scarcity of the region in all physical, natural and financial forms; the inadequacy of DAKAP in managing this scarcity because

² As an indirect source of compensation the demand for the lobsters from Çıldır Lake had widened in the national market, despite for a modest volume.

of its inadequate financial resources; and inconvenient bureaucratic mechanisms of developmental finance institutions and heavy financial and taxational burdens of the development grants and credits. In rare situations, like the one in Öncül village, villagers attempted to achieve grants from EU programs. But the heavy financial and taxation burdens they should bear prevented them from benefiting this financial resource in increasing the hothouse and agricultural productivity in their village.

11.1.2. Sustainable Contributions of DAGİDES to Accumulation of Economic Capital

Some notable sustainable contributions of DAGİDES with respect to the accumulation of economic capital came from the activities of the GİDEMs which were established in Erzurum and Bayburt, during DAKAP years. GİDEMs provided a number of entrepreneurs, SMEs and NGOs with trainings and supervisory support on PCM. They also served as the interface of DAKAP Coordination in the economic and social project partnerships it participated. In the end, there maintained some new SMEs and capacity increases in some existing SMEs and economic sectors in Erzurum and Bayburt after DAKAP, by virtue of the activities of GİDEMs. This was specifically true for the small sized service and arts and crafts sectors in Erzurum; and marble and natural stone sector in Bayburt.

In Erzurum, GİDEM ended in 2005 and left its place to EU Project Support Office which was established in partnership with ETSO. This Office had lasted up to 2008 and provided supervision support on PCM for the economic and social entrepreneurs. It enabled them to get huge amounts of EU grants from the EU TRA1 Grant Program. In 2008, there established the ABİGEM in a distinct office for providing PCM support and trainings to the local economic and social entrepreneurs.

In fact, ABİGEM can't be considered as a direct prolongation of Erzurum GİDEM established by DAKAP Coordination. Nevertheless, it can still be considered as a sustainable contribution of DAGİDES, first because its director, Prof. Dr. Osman Demirdöğen, had been the director of both the first GİDEM in the body of Atatürk University; and the EU Project Support Office, during DAKAP years.

Erzurum ABİGEM served SMEs, NGOs and local public institutions with trainings on PCM and EU grant procedures, and with supervision for project preparing. In the beginning, there emerged a considerable level of demand, specifically from NGOs. But in

time ABİGEM had lost its functionality to the great level and closed its original office and moved to the building of ETSO.

Today, there still exists an ABİGEM within the body of ETSO. It provides PCM trainings, and support services in preparing projects and managing the complex procedures of EU grant programs for some public institutions and NGOs. The Governership also established a Project Management Center for the same purpose, in partnership with the Ministry of National Education.

The *Entrepreneurship Development Trainings* in DAGİDES component taught entrepreneurs and entrepreneur candidates how to manage their enterprises and future investments to especially entrepreneur women. However, most men and women who benefitted the PCM and entrepreneurship development trainings of DAGİDES couldn't manage to establish new businesses or increase the capacities of their enterprises, after DAKAP. This was because of some reasons, like the lack of sufficient financial and physical resources in the hands of these entrepreneur candidates; the bureaucratic complexities of the procedures of the EU grant programs; and heavy financial burdens and taxes of the grants and credits from domestic financial resources, like İŞ-KUR, SRAP and SODES. These problems were introduced in the previous chapter in detail; and they became obstacles against the entrepreneurs and producers after DAKAP, too

On the other hand, the Organic Agriculture Project, which was carried on by *NGO Representative 2* and DATÜB with partnership of DAKAP Coordination had been successful and had spread among many small peasants, in various areas of Eastern Anatolia region, after DAKAP. DATÜB had managed to maintain its contact with İstanbul Metropole Municipality, for providing organic flour to its Halk Ekmek initiative. This partnership was still active, and provided an important market and income source for DATÜB's grassroots, in the days of this research.

Later on, DATÜB provided a certain volume of additional demand for the organic products, in national and international markets; and this encouraged a considerable number of producers to join DATÜB and invest in organic agricultural production. In addition, DATÜB had implemented some projects on increasing the quality and quantity of the organic agricultural products that its members produce. In the days of this research, DATÜB was co-implementing a new project protecting and developing the local seeds, in partnership with Aegean Agricultural Research Institute Directorate of Protection of Plant

Gen Resources. In the days of this research, *NGO Representative 2* was preparing a new project on “organic animal husbandry”, beginning within the region of Erzurum, Kars and Ardahan provinces. This project was also expected to contribute to the productive and investment capabilities of DATÜB’s grassroots.

The national market contacts which were established by ER-KADIN for the project of “Strawberry Perfumed Days”, during DAKAP period, were still providing benefits and motivation for strawberry and by-products producer women, in 2010. But, the market share didn't enlarge in time and stayed the same limited size, after DAKAP, which prevented new producers to start strawberry production.

Some of the new training projects, like folkloric toll making and flower growing, which *NGO Representative 1* and ER-KADIN had implemented after DAKAP, enabled 7-8 women in Uzundere district of Erzurum to start their own businesses on these subjects. In addition, ER-KADIN's support for some entrepreneur women, by mediating between them and creditor institutions, like banks, İŞ-KUR and KOSGEB enabled these women to reach suitable financial resources to increase the capacity of their enterprises, in the long-run.

The projects implemented by some remarkable social entrepreneurs, like *Academician 3*, leader of MESİNDER, *QUANGO Representative 2*, General Secretary of ESOB, and TKB Erzurum Branch had also attracted a good amount of money to Erzurum, after DAKAP. *Academician 3* and MESİNDER had attracted a 3,5 million Euros of finance to Erzurum and implemented a series of new projects usually on vocational trainings. ESOB and TKB Erzurum Branch had also implemented a series of new vocational training projects. So most of the money attracted to Erzurum by these social entrepreneurs had majorly spent for further development of human capital, rather than investments in new enterprises, physical capital or technology, after DAKAP.

Some of DAKAP's most significant actual economic consequences were seen in natural stone sector, in Bayburt. Before DAKAP, the producers of the sector were producing and selling a limited amount of marble in its raw massive form, without manufacturing it into new goods. However, they had the opportunity to manufacture their raw marble blocks and sell the products to national and international markets, from Greece to China, by the help of the factory, which was built during DAKAP implementation period. Although, the volume of the national and international marble

trade was small, the factory had contributed to the profits and income generated in the sector considerably, after DAKAP's end. These commercial relationships still existed and the producers of natural stones and marbles were still able to import their products, in 2010. However, because of the insufficiency of feasibility research and investment planning; and lack of enough financial resources in the sector, the market share and trade volume of the sector couldn't reach its full potential, in the long-run.

In Bayburt, the Governership established the Governorship Planning Coordination Directorate to support and coordinate the preparation and implementation of local development projects, after DAKAP. In addition, some social and economic entrepreneurs who attained the PCM trainings during DAKAP period attracted a considerable amount of financial resources for implementing some economic and social projects, in Bayburt, since the end of DAKAP up to 2010. As for some of the notable examples, Masat Basin Development Project was a rural development project prepared and implemented by *Public Official 1*, the Director of Bayburt Governorship Planning Coordination. This project served the Masat Basin villages in providing new machinery for agricultural production, and creating a local cooperative.

NGO Representative 11 of the BVSD had gone on preparing and implementing projects both in the name of his association, and for other NGOs and SMEs, after DAKAP. One of these projects which he prepared in the name of a village cooperative, served in regenerating and acquiring a milk manufacturing facility back to the village economy. Some other projects provided some SMEs with their needs of finance, raw materials and machinery. During the days of this research, *NGO Representative 11* was implementing another project for Bayburt Union of Cattle Husbandry to provide training projects on hygiene and protection of cattle against epidemics, towards peasants of 20 villages within Bayburt provincial territory.

11.1.3. Sustainable Contributions of DATUR to Accumulation of Economic Capital

A few sustainable heritages of DATUR component maintained as economic assets, after DAKAP. One of them was the guest house on the terrace of the Town Hall of İspir which was run as a motel by a private firm, and provided a certain amount of employment and income for İspir people. In addition, the 7 pensions established during DAKAP years were still active and providing additional incomes to their owners, in Sirakonaklar.

Unfortunately, contributions of DATUR had not attracted a considerable amount of tourism demand to its implementation area. Neither had they attracted local and outsider investors to invest in development of tourism in this region, in the long-run. In fact, no additional tourism firms or pensions were established, no additional accumulation of economic capital occurred in the sector. Thus, none of DATUR implementations managed to change the general characteristics of the economic activities radically from an agricultural production and life style towards a new one based on tourism, in either İspir, Yusufeli or Sırakonaklar.

Some social and economic entrepreneurs who were inspired by DATUR training projects, like *NGO Representative 17*, the Chair of İspir Outdoor Sports Association and *SME Owner 5* in Yusufeli, provided some contributions to their local economies, after DAKAP. In the days of this research *NGO Representative 17* was working on a new SODES project on organizing a nature sports festival, which would involve mountaineering, rafting and paragliding activities. He expected that this festival would contribute to the presentation of İspir in the national and international tourism market and attract tourism demand and new investments to the sector, in the future.

SME Owner 5 established her own enterprise on organic orchard products and provided jobs for 7 employees in Yusufeli, after DAKAP. She first presented her organic products, in İstanbul Dietetic Natural Products Expo, in 2006, on her own individual efforts. Then she got into contact with ARGOMAR Corp., Bursa Metropolitan Municipality and İstanbul Metropolitan Municipality; and created partnerships with them for marketing her products, in İstanbul and Bursa. In the end, she had reached a certain market share in national organic products market, up to 2010. In the days of this research, she was still running her own enterprise, and had plans to enlarge it, by employing more employees and increasing its production volume.

11.2. Sustainable Contributions of DAKAP to Accumulation of Human Capital

DAKAP involved a good number of trainings and effective social projects, which provided some sustainable results in the individual qualifications and health conditions of the target groups after its end, specifically in the former KKKP and DAGİDES areas. Besides, as stated before, one of the most important sustainable contributions of DAKAP was raising of the sustainable agency of a number of individuals, who learnt and advocated to the entrepreneurial vision of local-regional development; and were talented

in preparing and managing projects. The LGP within DAKAP had played a sustainable role in accumulation of human capital, by providing the local target groups and individual actors who participated to DAKAP with the participative, cooperative and deliberative attitudes and the entrepreneurial vision about development. As Ms. *NGO Representative* I stated:

“Before DAKAP, in various women's associations I took part, our main objective was providing philanthropic, monetary or material aids to poor and disadvantaged people, and especially to women. However, after DAKAP, we learnt that such aids wouldn't be a real remedy against poverty and disadvantages of women in the society. Thus, in ER-KADIN we aim to show and teach women to stand tall on their own feet, upon their own entrepreneurship.”

The trainings of DAKAP had also provided sustainable benefits in the name of human capital. The PCM and PCM Trainer trainings specifically contributed to the sustainable agency of local entrepreneurs, by introducing them with new concepts on development; and providing them with skills in PCM, in the long-run. So, some of the advocated participants of DAKAP process had enthusiastically served to the development needs of the region, both during and after DAKAP implementation.

11.2.1. Sustainable Contributions of KKKP to Accumulation of Human Capital

As stated in the last chapter, KKKP component involved a series of training projects on a wide range of topics, like animal husbandry, animal feed planting, and alternative means of living, like hothouse planting, fresh water fishing, honey bee breeding, textile (ehram, rag and carpet) craftsmanship, fruit planting, hygiene, organization, PCM and pasture improvement. These trainings and demonstrations had provided considerable sustainable contributions to the personal qualifications of the peasants and the district residents who attended these programs.

In KKKP, some of the social projects, like the reproductive health project and dental health surveys among children provided some considerable sustainable contributions to villagers' health conditions, in the whole KKKP area. After the campaign against brucella, this illness was eradicated from the pilot villages of Şenkaya. The reproductive health project contributed not only to the health conditions of the villagers, but also to a change of vision in the minds of people, against their familial relationships and their children.

Two of the Youth Centers, which were established during KKKP implementations, had been active up to 2010, in Susuz and Şenkaya. Although the one in Şenkaya lost its functionality for the district youth; the one in Susuz had developed both in size and services provided to youth, with active support of District Administration. In the days of this research, it provided services, like additive educational courses towards higher education exams; as a library and computer center; and a sports center for Susuz youth. Susuz Youth Center had been a valuable heritage of DAKAP. Another sustainable heritage of the DAKAP on human capital was the dormitory built for schoolgirls in Çıldır, which was still active and serving the student women of the “Sezgin Yolcu Regional Public School”.

KKKP component also contributed to the sustainable agency of the individual social entrepreneurs, like *Public Official 2*, in Susuz, *Public Official 4*, in Olur, and *NGO Representative 15*, *NGO Representative 14* and *Village Headman 1*, in Şenkaya, by virtue of the PGMs (İKKs and the project councils) and the training projects (especially the PCM trainings). KKKP also raised some qualified leaders who were ready to cooperate with these entrepreneurs in the pilot villages of Şenkaya and Susuz. These individuals and associations had been preparing and implementing some new projects, up to 2010.

Public Official 2 carried on his services to Susuz community, as a social entrepreneur and implemented a series of new projects some of which contributed to the human capital further, in Susuz. During the days of this research, *Public Official 2* was waiting for the response of the government institutions related to SODES, for his new project on establishing a Women and Youth Center in Susuz for training youth and women.

Public Official 4, Olur District Director of Agriculture, also initiated and implemented a series of new projects in partnership of some national and international stakeholders. Some of his projects involved training projects on using milk machines for 25 women; on alternative agricultural techniques for 13 leader peasants; on milk technology and PCM for 20 people, in various villages of Olur, in partnership with the German Embassy, German Union of Agricultural Cooperatives, and Turkish Agricultural Ministry. *Public Official 4* also told that:

“I and my personel had learnt a lot, from the KKKP trainings. We developed our personal talents in both technical and communicative aspects; thereby we had been establishing more friendly interactions with the peasants of Olur district and providing a more qualified service for them, after KKKP.”

As stated above, *Village Headman 1*, the Headman of İkizpınar village played an important role in spreading the alternative agricultural products that SÜRKAL introduced during KKKP years. He also spent efforts to establish a Union among the milk producers of Şenkaya villages. *NGO Representative 14* and *NGO Representative 15* were some leading figures of the local NGOs, in Şenkaya. They were among the founding members of “Şenkaya Development Association” and “Şenkaya Ecological Agriculture Association” established after DAKAP; and initiated and implemented some new projects on alternative agricultural production, forestry and environmental issues.

11.2.2. Sustainable Contributions of DAGİDES to Accumulation of Human Capital

The trainings and reproductive health project, which were implemented by the project partnerships created and/or supported by DAKAP Coordination during DAGİDES provided some considerable sustainable contributions to the individual qualifications and health conditions of the target groups, after DAKAP. The most valuable sustainable outcomes were provided by the PCM trainings, in Erzurum and Bayburt.

In Erzurum, these PCM trainings started by GİDEM which was established in the body of Atatürk University. In 2005, the EU Project Support Office which was established in partnership with ETSO replaced it and provided PCM trainings and supervision for the economic and social entrepreneurs, up to 2008. Then, ABİGEM was established and took over these training and supervision services. There still existed an ABİGEM within the body of ETSO, in 2010. The Governership also established a Project Management Center for the same purpose, in partnership with the Ministry of National Education.

In the former DAGİDES implementation area, the PCM trainings provided by Erzurum and Bayburt GİDEMs contributed a lot to the sustainable agency of the leading individuals of the local civil society. In Erzurum, some of the most significant examples of these individual agents were *Academician 1* (DAKAP National Coordinator) and *Academician 2* (DAKAP National Director). Both academicians had spent efforts in providing the support of Atatürk University to the economic and social entrepreneurs of Erzurum towards local economic and human development, after DAKAP.

As another important social entrepreneur inspired by DAKAP, *Academician 3*, the leader of MESİNDER, had carried on the serial of the training projects on natural gas systems plumbers after DAKAP years. Besides, *Academician 3* attracted a 3,5 million

Euros of finance to Erzurum, with various training projects initiated and implemented in the name of MESİNDER and Atatürk University, after DAKAP.

One most remarkable sustainable contribution of DAKAP to human capital was the serial of the training projects on natural gas systems plumbers, which *Academician 3* and MESİNDER had carried on, in partnership with Atatürk University and Erzurum Governorship, after DAKAP years. A total number of 1000 trainees had graduated from these programs, up to 2010. Up to the end of DAKAP, around 300 trainees had already been graduated from these programs. Around 700 more trainees had been trained in the continuing programs, after DAKAP. Most of these were unemployed young people. Ex-convicts had also benefited from these programs on natural gas systems plumbers. A special series of training projects, addressed to ex-convicts began in 2006, and had lasted for a few more years, in partnership with Probation Supervisory Branch of Erzurum Governorship. This public institution was still carrying on these training projects for ex-convicts, in 2010.

Then, *Academician 3* and MESİNDER had widened its activities with programs on other subjects than natural gas systems plumbers, after DAKAP. These programs had provided a considerable amount of Erzurum people and Atatürk University students, some training opportunities in various areas. For example, MESİNDER provided vocational trainings for some unemployed Erzurum people, on LPG technicianship, in partnership with Atatürk University; and on isolation technicianship, in partnership with *NABUCCO Natural Gas Pipeline Project Directorship*.³ The graduates of these programs would be able to have job opportunities in isolation of the NABUCCO natural gas pipeline.⁴

MESİNDER also provided infant and geriatric nursing trainings for 36 women, and certified them, with financial partnership of SRAP. It had also carried on some training projects for youth, with the finance of EU grants which the National Agency declared. It established international partnerships with European organizations and EU academic programs, for providing joint abroad training projects for university students, graduates and unemployed people. For example, the association sent 15 Atatürk University graduates to Frankfurt, for some vocational training projects, under the umbrella of

³ NABUCCO: Nabucco Gas Pipeline International GmbH

⁴ Unfortunately NABUCCO Natural Gas Pipeline Project was cancelled in June 2013.

Leonardo da Vinci Program. It also carried on joint abroad training projects, in partnership with Erasmus Program.

Academician 3 and MESİNDER were still very active agents of local human development, who had been preparing and implementing a variety of training projects and socioeconomic projects, during the days of research, in May 2010. In those days, MESİNDER was carrying on another training project, towards children working in the streets, in partnership with İŞ-KUR, TOBB, the Governership and the Municipality. Up to the period of this research, 23 children had attended this program, and gained some vocational training to be able to work in various arts and crafts SMEs.

Some other examples of these proactive social entrepreneurs were *NGO Representative 1* (ER-KADIN), *NGO Representative 2* (DATÜB) and *QUANGO Representative 2* (ESOB), in Erzurum. They had added valuable contributions to the DAKAP process in project partnerships with DAKAP Coordination; and had gone on preparing and implementing new projects, in the name of their NGOs, after DAKAP, up to the days of the thesis research.

NGO Representative 1 and ER-KADIN had carried on some new training projects, after DAKAP. Some examples were on knitting, literacy of women, entrepreneurship, and some others on vocational training in various areas, like rag and carpet textile, folkloric toll making and flower hothousing. *NGO Representative 2* and DATÜB continued the organic farming project and spread organic farming within the region, as stated before.

QUANGO Representative 2 had initiated some 6 new projects, since the end of DAKAP. First project was a training project on shoemaking, and provided the arts and crafts sector with a considerable number of young labor force. It was implemented by ESOB in partnership with Public Education Directorate of the Governorship, and by the finance of EU grant program, just after DAKAP's end, in 2006. A second one, namely "Project for Supporting Entrepreneur Women", was implemented by ESOB in partnership with the Confederation of Artisans and Craftsmen Chambers (TESK)", in 2009.⁵ *QUANGO Representative 2* prepared 4 more vocational training projects, which were accepted by İŞ-KUR and ready to be implemented in 1-2 months time, in 2010.

⁵ TESK: Türkiye Esnaf ve Sanatkar Odaları Konfederasyonu

TKB Erzurum Branch had also implemented some new vocational training projects, with their skills they attained in PCM Trainings of DAKAP, since the end of DAKAP. In 2010, the association carried on a joint project in partnership with the Governorship, on vocational training of women. During the days of this research they were preparing a new project, for the SODES program. This new project was about providing a permanent training facility on jewellery design and production with Oltu stone and other natural stones, in Erzurum. It was projected that a workshop on stone jewellery would be established, and number of 75 young women would be trained in the beginning. Then the workshop would be revolved to the management of the Governorship and would continue to train young women. So, it is expected to create a permanent flow of skilled human resources for the natural stone sector.

Consequently, the efforts of the social entrepreneurs of Erzurum attracted a notable amount of money which was spent on trainings and specifically vocational trainings, after DAKAP. However, there wasn't an equivalent amount of economic projects and/or investments for providing sufficient amount of jobs in the city. This resulted in an excess of human resources exceeding the human resource needs of local SMEs, in Erzurum.

In Bayburt, DAKAP process also won some important social entrepreneurs to the local development. Around 10 out of 90 people who attained the PCM trainings during DAKAP period had continued to initiate and implement projects, and attracted a considerable amount of financial resources for implementing some economic and social projects, in Bayburt, since the end of DAKAP up to 2010. Some of the important ones were like *QUANGO Representative 5*, Secretary General of BTSO; *NGO Representative 11*, Board Member and Accountant of the Association for Fighting Tuberculosis Bayburt Branch; *NGO Representative 10* and *Public Official 1*, board members of BEKDER.

NGO Representative 10 prepared and implemented a number of projects in the name of various local NGOs, like BŞYD, BEKDER and others, as a volunteer project manager. *Public Official 1* the Director of Bayburt Governorship Planning Coordination Directorship, had served in preparation and implementation of numerous projects, up to 2010. He was still in the charge of that directorship and serving in implementation of a series of projects, in the days of thesis research. One of the important projects that *Public Official 1* and *NGO Representative 10* prepared and implemented in the name of BEKDER was about research and protection of the cultural identity of Bayburt.

After DAKAP, the directors of the BVSD had performed a series of post-project research surveys for observing the sustainable contributions of the reproductive health project that they implemented in partnership with and Bayburt Association for Womens' Cooperation and Solidarity, during DAKAP years. *NGO Representative 11* stated that:

“After our Reproductive Health Project midwives left assisting mothers in childbirth at home. Mothers began to prefer hospital conditions (or village clinics) instead. So, the rate of births at home fell to %1,09, from %3,33, up to 2010.”

This was an important enhancement in mother-and-child health, and a sustainable result of the project performed in DAKAP period.

11.2.3. Sustainable Contributions of DATUR to Accumulation of Human Capital

In DATUR component, the training projects towards developing talents for tourist hosting, pension management and tourism English didn't provide notable sustainable results, in İspir and Yusufeli. On the other hand, the trainings on water sports, namely rafting and canoeing had introduced them to a number of youngsters and enabled these young sportsmen to become successful international sports people in Yusufeli, after DAKAP.

NGO Representative 17 was a unique figure as a social entrepreneur in İspir. He established the İspir Outdoor Sports Association with his peers and initiated some new projects on water sports and tourism, after DAKAP. He was still working on the new SODES project mentioned before, for organizing a nature sports festival.

In Yusufeli, *SME Owner 5* was a unique figure of social and economic entrepreneur, who was stimulated by DAKAP training projects. She established her business on organic orchard by-products; and the “Yusufeli Association for Appraising Local Assets and Women's Labor” (2006) with some of her peers, after DAKAP. She had also participated and carried on some duties in some projects on various topics, personally. She was actually working in “Kaçkar Mountains Sustainable Use and Protection of Forests Project” initiated by the partnership of TEMA, Department of Nature Conservation and National Parks, Artvin Cultural Cooperation Association and BOTAŞ (BTC). The project was financed by EU grants.

11.3. Sustainable Contributions of DAKAP to Accumulation of Social Capital

One of the the major sustainable contributions of DAKAP to the local social capital accumulation was the maintanece of some of the NGOs established during DAKAP years. Moreover, the institutional actors who participated to the LGPs and the project partnerships during the life-time of DAKAP had carried on the sustainable local agency and initiated and implemented new and fruitful economic and social projects in their localities, after DAKAP. These proactive institutional participants of DAKAP managed to maintain and benefit some local partnership networks, too, although they were dependent on the personal realtionships of the leader of these NGOs and QUANGOs. Some of these local actors also managed to maintain rare examples of national and international partnerships after DAKAP's end.

11.3.1. Sustainable Contributions of KKKP to Accumulation of Social Capital

In KKKP component, the organizations, intra-local and inter-local networks of communication and partnerships, which initiated via governancial meetings, workshops, demonstrations and socioeconomic projects, was partially sustained, during the days of research. Some of the organizations established in the KKKP implementation area, like “Susuz-Cılavuz Development Association”, “Şenkaya Development Association”, “Şenkaya Association for Protecting the Wildlife” and “Şenkaya Ecological Agriculture Association”, still existed and were partially active. They were still bearing on responsibilities and initiating some social and environmental projects. However, some of the organizations were officially annihilated and dissolved, like “Öncül Development Association”; or became unfunctional and idle, like the agricultural cooperatives in Olgun and Eğlek villages of Olur (Olur Eğlek Agricultural Development Cooperative).

On the other hand, the leading entrepreneurs established some new NGOs, in Şenkaya. *NGO Representative 15* and *NGO Representative 14* had been the founding members of “Şenkaya Development Association” and “Şenkaya Ecological Agriculture Association”. *Village Headman 1* had been still spending a considerable effort for establishment of a Milk Producers Union among villages of Şenkaya, in 2010.

In KKKP component, the attempts for reaching national/international partnership networks during DAKAP years didn't result in sustainable connections, after DAKAP. In Çıldır and Doğrüyol districts, the partnership among the big shopping centers, like

Carefour and Migros, and the local NGOs, for marketing the products of fishermen of these districts hadn't last long and collapsed after the end of DAKAP implementations.

However, some new local, national and international partnerships were established, by the initiatives of leader individuals, like *Public Official 2*, in Susuz; *Village Headman 1*, in Şenkaya; and *Public Official 4*, in Olur. *Public Official 2* provided the survival of the Susuz-Cilavuz Development Association as an active institutional actor, and initiated a partnership with Boğatepe Development Association, towards implementing some projects on tourism development in the district. *Public Official 4* provided the establishment of a series of national and international partnerships with the German Embassy, the German Union of Agricultural Cooperatives, Deniz Feneri Association and the Ministry of Agriculture.

SÜRKAL also provided some support for the local NGOs in some of their projects, sometimes as a formal and sometimes as an informal partner and supervisor. It had tried to provide some additional demonstrative and in kind support for the villagers who carry on alternative agricultural production after DAKAP, as well.

As stated above, the dialogue and interactions between the civil society and the local public institutions that İKKs provided led a relatively participative, cooperative and deliberative routine in the local public administration, especially in Şenkaya and Susuz. As the interviewees in Şenkaya stated, there still remained a continuous participation of the district NGOs and QUANGOs to the district administration meetings, by their representative members. *NGO Representative 14* stated that:

“The relationships and cooperation between the local NGOs and the district administration still goes on, in our district. Our representatives still participate to the meetings of District Executive Committee as consultants. We cooperate with the district administration in implementation of some of the decisions. This became a routine after DAKAP.”

However, the participative, cooperative and deliberative routine inherited from İKKs no longer existed, in other districts. Şenkaya exhibited a unique exception where this routine resulted in a relatively sustainable participative civic culture.

11.3.2. Sustainable Contributions of DAGİDES to Accumulation of Social Capital

The institutional fruits of DAGİDES, ER-KADIN, DATÜB and MESİNDER were still active and producing new fruitful projects for their grassroots and the local community, in Erzurum. DAGİDES experience had also been the initial motive for the

other institutional actors who were proactive participants of DAGİDES process, like ETSO, ESOB and TKB Erzurum Branch, to realize the importance of training activities towards their grassroots and implement new economic and social projects.

Some of these organizations realized the necessity to establish departments and employ officers for following the bidding dates and procedures of the institutions providing financial resources for development projects, like EU, İŞ-KUR, SRAP and SODES. This is why ETSO first established the EU Project Support Office then supported ABİGEM. ESOB had established a unit and employed officers for the same purpose.

ER-KADIN and DATÜB also provided institutional frameworks and foci of partnership networks for the members of their grassroots. ER-KADIN provided such a framework for some entrepreneur women, who owned and managed their businesses, in Erzurum and Uzundere district of Erzurum; and also worked for providing a network of interactions and synergy among entrepreneur women, via meetings and other social and cultural activities, after DAKAP. In addition, ER-KADIN helped some entrepreneur women, by mediating between them and creditor institutions, like banks, İŞ-KUR and KOSGEB, in the long-run.

DATÜB also provided such a framework for the organic farmers in the region, after DAKAP. It also managed to carry on its partnership with İstanbul Metropole Municipality, for providing organic flour to its Halk Ekmek enterprise. This partnership was still going on and providing an important market for DATÜB's grassroots, in 2010.

In Erzurum, the Governership became more interested in development issues and established a Project Management Center, in partnership with the Ministry of National Education. In addition, the representatives of the NGOs (ER-KADIN, DATÜB, MESİNDER and TKB Erzurum Branch) and QUANGOs (ETSO and ESOB) which actively participated to the LGP within DAGİDES agreed that the partnership relations they established with the public institutions and Atatürk University during DAKAP years have stayed partially functional, since the end of the Program; and they have benefited these partnerships while preparing and implementing new projects. However, these partnerships were rather carried upon the personal relationships of the leaders of these organizations with the public institutions and the ex-members of the DAKAP Coordination.

Both ex-members of DAKAP Coordination and the representatives of these participant NGOs agreed that public institutions and authorities in Erzurum had shown relatively more willingness for establishing partnerships and cooperating in common projects as stakeholders, within governancial relationships. This is why the Governorship and the Municipality had invited NGOs and QUANGOs to the preparatory committees for “Universiade 2011”. As *Academician 3* stated:

“Erzurum Governorship had established partnerships for preparing and implementing some projects for presentation of Erzurum's commercial and touristic potentials during the upcoming Universiade 2011 activities. This positive attitude of the Governorship depended on its newly emerging awareness about the need for NGOs to fulfil some certain roles and functions in preparation of such complex national and international events and projects. I must gladly state that DAKAP triggered such an awareness and the cooperative relationships between the Governorship and the NGOs.”

Thus, DAKAP could be ascribed to be a first motive in establishment of a relatively sustainable partnership networks and accumulation of social capital, in Erzurum. However, this accumulation had its limitations. First, the NGOs, which couldn't -or didn't- participate to DAGİDES actively, couldn't have participated into any local-regional partnership networks, both during DAGİDES and since its end. Thus, the partnership network created by DAGİDES had excluded them. Secondly, the partnership networks couldn't get institutionalized sufficiently, but were rather carried upon personal relationships of the leaders of the active NGOs and QUANGOs. Besides, although the inter-associational Erzurum Civil Society Platform, was still existent during the days of research, and brought various NGOs together, in seldom meetings, it didn't have a formal and continuous organizational structure, e.g. a secretariat; and it has never been able to be functional in creating a collective development initiative among NGOs.

The academicians, who were once members of the DAKAP Coordination, have tried to carry on the partnership relations of the University with the local governmental and municipal institutions and ETSO, after DAKAP. However, the actual rector of the University hasn't shown the same interest in matters of local-regional development and cooperating with the civil society, as much as the one who had been on duty, during DAKAP years. This situation made the University to considerably slow down its formal activities on these issues. The partnerships have carried on mostly upon informal and personal relationships between the ex-members of the DAKAP Coordination and the

leaders of the NGOs and QUANGOs. This is why the accumulated experience of the members of the DAKAP Coordination have stayed relatively idle, in the last years.

In Bayburt, although the Association of Natural Stones and Marble Producers (Marblers' Association) was unable to grasp *all of the grassroots* of the sector (some of the producers were not members of it), it was still active during the days of research. A partnership network among most of the producers of this sector still existed and crystallized under the roof of this association. Thus, it had been one of the most important and sustainable contribution of DAKAP to Bayburt's social capital.

As stated in the last chapter, during DAGİDES years, the producers of natural stones and marbles had the opportunity of attending the Natural Stones Expo, in İzmir, with the partnership of DAKAP Coordination, the Bayburt Governership, BİTSO and the Marblers' Association. This provided an opportunity for the local producers to create outer commercial partnerships and to reach to national and international markets.

In Bayburt, there had been no partnership culture; and NGOs, QUANGOs and public institutions worked secluded and isolated from each other. Instead of cooperating, they had competed to highlight themselves among others, before DAKAP. Nevertheless, DAKAP provided the development of a relatively sustainable culture of cooperation and network of partnerships among NGOs, QUANGOs (chambers) and public institutions (Governorship and Municipalities), towards development. Institutional and individual actors, who participated to DAKAP process actively, realized the benefits of cooperating in preparing and implementing projects for development. An informal and low-profile platform of communication and interaction among major participant NGOs have survived, since DAKAP years. As *Public Official 1* stated:

“In Bayburt we don't have a formal platform of NGOs, but as entrepreneurs and the representatives of our NGOs we often come together and talk about new opportunities of sponsorships for development projects announced to be financed by the domestic and international institutions. We classify these opportunities according to their topics and create partnerships for preparing suitable projects and applying for sponsorships. We also offer partnerships to the Governorship and the Municipality for our project applications.”

However, in Bayburt, the institutional actors which couldn't -or didn't- participate to DAGİDES actively had also stayed excluded from local partnership networks after DAKAP, just like in Erzurum. The sustainable partnerships among NGOs were usually initiated by some certain individual entrepreneurs of the local civil society.

11.3.3. Sustainable Contributions of DATUR to Accumulation of Social Capital

In İspir, İspir Nature Sports Association, one of the two associations which were established during DATUR implementations, was still active, during the days of research. It was carrying on sportive activities, like trekking, rafting, mountaineering and paragliding. This association, although having been established by the stimulation of DATUR Coordination, hadn't been supported later on; thus it had stayed active by efforts of some leading individuals, like *NGO Representative 17*.

The other association, Çoruh Nature Association, which had been in close contact and cooperation with DATUR Coordination, wasn't active, during the research period. Its bureau was closed and organizational structure was liquidated. Thus, a considerable portion of institutional basis and experiences of DATUR implementations has been lost.

DATUR Coordination couldn't initiate sustainable partnerships among local institutional actors, in İspir. Although, İspir Outdoor Sports Association has actually established some project partnerships with District Administration and Municipality, during the days of research, these partnerships were results of personal efforts of association members, rather than sustainable ends of DATUR.

In Sirakonaklar, although there hadn't established an association or cooperative in the village, during the DATUR years, the interactions among İspir District Administration, Atatürk University İspir High School and the village headmanship, which were initiated by DATUR Coordination, have survived until the days of the thesis research. Villagers established a new association, namely Sirakonaklar Tourism and Promotion Association, in 2009; but it had stayed idle since then.

On the other hand, interviewers from Yusufeli were more pessimistic about the sustainable accumulation of social capital in their district. According to them, there wasn't left much from DATUR, in the name of organizations, partnerships and communication, among institutions, NGOs, and social and economic entrepreneurs.

One of the organizations established during DAKAP years, Yusufeli Association for Appraising Local Assets and Women's Labor, was idle during the research days. Despite having been established by the stimulus of DATUR Coordination, it couldn't organize sufficient portion of its grassroots (woman entrepreneurs), and couldn't get enough support from the Coordinators later on; and thus couldn't realize the projects it had prepared once.

Nevertheless, Yusufeli Water Sports Club was still active, and functioned to support a water sports team, made up of young sportsmen. But it didn't benefit from any institutional support or partnership relations initiated by DATUR Coordinators. It rather depended on the personal efforts of a few leading members.

In none of the districts of DATUR implementation area, could the local actors establish national or international partnerships, neither during the DAKAP years, nor after the Program ended. A unique exception has been the development of the water sports and related sportive national and international relationships, via water sports tournaments, in Yusufeli.

11.4. Sustainable Contributions of DAKAP to Environmental Sustainability

As stated in the previous chapter, a limited effort for protection and improvement of environmental conditions had been spent, during the DAKAP process. And sustainable results of these efforts had been much less in the long-run.

Nevertheless, it was observed that, the training projects and demonstrations towards development of environmental awareness and sustainable use of natural resources, in KKKP component, resulted in a certain increase in the environmental awareness of the local communities. Peasants began to behave relatively more carefully against nature and in use of natural resources. This might be the most important sustainable result of DAKAP for long-term environmental sustainability.

An interesting example was Şenkaya. In Şenkaya, hunters and the other resident people have been more careful about the legal regulations on hunting and wild life protection, since DAKAP years. Şenkaya Wildlife Protection Association also initiated an environmental project, after DAKAP. As *NGO Representative 14* stated:

“For some time, we have been fighting against the outsider hunters coming from Black Sea region, to protect local wild animals, under the leadership of Şenkaya Wildlife Protection Association. (...) Our association initiated an environmental project on regeneration of Şenkaya natural area and increasing the environmental awareness of Şenkaya people, in partnership with Nature Association.”

As another interesting example, the project for protection of the natural surrounding of Çıldır Lake; and for improvement and sustainability of fishery activities around the lake had raised an awareness about the danger of ending of the fishery in the lake. And this had stimulated a protective consciousness about the environment of the lake and

sustainability of fishery, in the districts around the lake. The local municipalities of these districts were still preparing and performing some projects against the problem of sanitation injection to the lake; and on sustainability of fishery in the lake, during the days of this research.

In Erzurum, the project of organic agriculture, which was performed in partnership with DATÜB, in DAGİDES component, had some certain sustainable results. Because, this project prepared the suitable conditions for DATÜB to carry on and spread organic agriculture among small land owner peasants, and initiate a new project on agricultural husbandry, in the region. In Bayburt, *Public Official 1* and *NGO Representative 10* brothers implemented a project on rehabilitation and regeneration of Çoruh River and its environment, under the umbrella of BEKDER, after DAKAP.

In the former DATUR area, the valuable data and documentation compiled on the natural and historical inventory of the region of Çoruh basin hadn't been used effectively for either the future protection and regeneration of the human environment and the nature; or development of tourism in the region, after DAKAP. There didn't occur any sound environmental projects in the former DATUR area, either, after DAKAP.

11.5. Sustainable Contributions of DAKAP to Human Well-Being

DAKAP also had some considerable sustainable contributions to the well-being and life opportunities of some of the target groups it managed to mobilize for participating to the implementations, via the LGPs. This was specifically true for the former DAGİDES and KKKP areas.

The major sustainable influences of DAKAP on enhancing the well-being of the participant members of the local target groups were the improvement of their *individual qualifications* by the help of the trainings and health projects it involved; and their *expanded individual agency* in the sense of process freedom over the local SHD process with the achievements provided by the LGPs and the PCM trainings, like the entrepreneurial vision and attitudes on development, and the skills on project management, which were elaborated above.

The other significant heritage was the relative expansion in their *collective capabilities* and *agency* with the bundle of partnerships and organizations established, during DAKAP years. Especially, the NGOs frequently mentioned above had provided considerable contributions to the human development of their local communities, after

DAKAP, up to 2010. Some other NGOs and QUANGOs which existed before DAKAP, but participated to the DAKAP process, had also gained the entrepreneurial vision about development, and also a good deal of experience in development issues, project preparing and governance relations. These organizations went on establishing partnerships and initiating and implementing new development projects. Thus they contributed to the well-being of their grassroots, after DAKAP.

More or less in all three components of DAKAP, the programs and projects which addressed to women and youth provided some non-economic benefits for these disadvantaged groups, as well. They empowered women relatively, in their households and in the public life, in the long-run. These programs and projects encouraged and enabled participant women to further participate to the public life, with their new talents and vision, after DAKAP. Women who were even unable to use public vehicles, began to participate to the economic and social life as producers, entrepreneurs and as citizens. The trainings and facilities in the youth centers provided young men and women not only with vocational information, but more on the issues like human rights, ecology, IT technology and the like, which had been useful, in the long-run.

The LGPs, training projects and newly established organizations and partnerships during DAKAP, empowered the participant individuals, target groups and stakeholders to participate to the local decision-making processes, outcomes of which directly had addressed to their own lives, livelihoods and development expectations, during 2001-2006 implementation period. However, the participative, deliberative and cooperative relations and routine inherited from DAKAP was no way strong enough to provide a sustainable civic culture and sufficient empowerment of individuals and target groups for a direct, better and wider access to local public administration. Nevertheless, their surviving institutional representatives and surviving partnership networks provided them with a rather indirect and weak participative capacity, especially in the former DAGİDES and KKKP areas.

11.5.1. Sustainable Contributions of KKKP to Human Well-Being

As stated above the programs and demonstrations of KKKP component had provided both considerable actual and sustainable benefits to lots of villagers and district residents who attended these programs; and enhanced their well-being, in both economic and non-economic aspects of their lives. Specifically, in some localities, like Şenkaya district and

Öncül village, a number of villagers carried on some alternative agricultural production, like hothouse planting, fruit planting and animal feed planting, in the long-run. Especially, trainings on hothouse planting and fruit planting (like strawberry and mulberry), which specifically addressed to women, added value to the rural household economies.

One of the most important sustainable agricultural heritages of KKKP was the introduction of animal feed planting. Some new types of feed grains, like Macar Fiği and Tritikale were first introduced to the villagers of the pilot area, in training demonstrations of KKKP. Production of these new grains had spread to the other districts and villages rapidly, even during KKKP years. Later on, after KKKP, the production of these grains had increased considerably, in almost all pilot districts of KKKP; and with efforts of some pioneering persons, like *Village Headman 1*, the headman of İkizpınar village of Şenkaya, they had been introduced and planted in other provinces out of the DAKAP implementation area.

The second successful implementation of KKKP was the establishment of hothouses, in the villages of the pilot area. In most villages, hothouse planting had lasted up to 2010. Their number had increased, beginning from KKKP implementation years up to 2010. Peasants learnt how to set up a hothouse in KKKP demonstrations, and built their own hothouses themselves, after KKKP. Although the quantity of production didn't reach a marketable level for exporting out of the pilot area, it provided the hothouse producer peasant families with an additional income raised from local markets; and some additional nutrition opportunity for their households. Hothouse planting had also provided women, who carried this production, an additional source of prestige, in their households.

In the former KKKP area, some of the trainings and social projects on human health, like the reproductive health project and the dental health surveys among children provided considerable sustainable contributions to villagers' health conditions. Specifically in Şenkaya, after the campaign against brucella, this illness was eradicated from the pilot villages permanently.

The reproductive health project not only contributed to the health conditions of the villagers, but also led a change of vision in the minds of people, against their familial relationships and their children. As *NGO Representative 15*, ex-member of the Şenkaya İKK stated:

“Şenkaya people learned how to behave a child, what to do for his/her health and well-being; and even what a child means, by the help of the educations in reproductive health project.”

These were notable sustainable contributions of KKKP to the well-being of women and children as disadvantaged groups in the region.

Susuz Youth Center had developed both in size and in its services for the youth, with active support of District Administration, after DAKAP. In the days of this research, it provided new services, like additive educational courses towards higher education exams; as a library and computer center; and with a gymnasium. Susuz Youth Center had been a valuable heritage of DAKAP for the well-being of Susuz youth.

As another sustainable heritage of the DAKAP period, the dormitory built for schoolgirls was still active and serving the student women of the “Sezgin Yolcu Regional Public School”, in Çıldır. Although, the attempts for providing sustainable demand for the fishery products by partnership of Carefour and Migros didn't last succesfully after KKKP ended, the demand for the lobsters from Çıldır Lake had widened, in the national market. This was an indirect sustainable result of KKKP, as well.

As stated before, the new projects initiated by the individual social entrepreneurs, like *Public Official 2* in Susuz and *Public Official 4* in Olur and some of the associations, which were established during DAKAP, had provided notable contributions to the well-being of rural communities , up to 2010. The project on activating the tourism potentials of Susuz and surrounding villages which was initiated by *Public Official 2*, in the name of Susuz-Cılavuz Development Association in partnership with Boğatepe Development Association, was expected to lead Susuz to become a tourism center in 5 years and benefit Susuz people both economically and culturally. In the days of this research, *Public Official 2* was working for a new project for the benefit of women and youngsters of Susuz, by establishment of a Women and Youth Center.

Public Official 4 also prepared and implemented a series of new projects, which contributed to the well-being of Olur community, with the partnership of some national and international stakeholders, after DAKAP. These projects were on issues, like providing milk machines for 25 women in various villages of Olur; sending 13 leader peasants to Kastamonu to learn from the agricultural demonstrations; a demonstrative travel on milk technology for a number of 20 people, including the technical personnel,

representatives from local cooperatives and NGOs to Antalya; providing some 150 villagers with grass reaping machines; and setting up trout plantation, in Beğendi village of Olur. This plantation was still active and productive; and had been contributing to the income and well-being of its owners, in 2010. Another important project was on establishment of a milk collection center, in Olur. The collected milk was being sold to a milk factory in Palandöken and a dairy in Olur, during 2008-2009 period. By this way an income was possible for Olur villagers. However, the project ended in 2009, because the factory in Palandöken and the dairy in Olur were closed.

Village Headman 1 spent a great deal of efforts for establishment of a Milk Producers Union among villages of Şenkaya, in 2010. He hoped that this Union would contribute to the empowerment of his peasant fellows in reaching new markets and raising their income, in the villages of Şenkaya. He also spent a good deal of effort in improvement and spreading of the animal feed planting to other regions out of DAKAP area, with his own efforts. Thus, KKKP demonstrations on animal feed planting contributed to the animal husbandry activities and provided some sustainable income rises in both the pilot villages of Şenkaya and the other parts of the region, by the efforts of *Village Headman 1*.

In the former KKKP area, The participative, deliberative and cooperative relations inherited from DAKAP was no longer strong enough to empower the target groups for a more direct, better and wider access to local public administration. In this respect, Şenkaya exhibited a unique exception. As the interviewees in Şenkaya stated, there still remained a continuous participation of the local NGOs to the district administration meetings, by their representative members.

11.5.2. Sustainable Contributions of DAGİDES to Human Well-Being

DAGİDES implementations provided some sustainable contributions to the well-being of the target groups, as well. The trainings and supervisory support provided by GİDEMs on project preparation and PCM, also resulted in a series of new SMEs, new NGOs and capacity increases in enterprises, specifically in service, and arts and crafts sectors, in Erzurum. Although there were no officially compiled statistical data, these contributions provided a considerable amount of new employment opportunities for specifically young people, in Erzurum and in various other cities.

As an example, around 750 of the graduates (%75 of all) of the serial of the training projects, which MESİNDER implemented on natural gas systems plumbrery found new job opportunities, up to 2010, according to the records of *Academician 3*. Most of these graduates were unemployed young people, and their lives changed dramatically. Two examples of these graduates were *Worker 1* and *Worker 2*, in Erzurum. These two attended the programs, which were implemented in Pasinler, in 2004 and 2005 respectively.

The natural gas systems plumbrery program changed life of *Worker 1* radically. He got mobilized both horizontally and vertically. His social class changed; and his income, life standards and social status all dramatically enhanced. He got married and set up a family. As *Worker 1* states:

“Before attending the natural gas systems plumbrery training program in 2005, I was a sepherd in my village. (...) Just after I graduated from the program I found a job in Erzurum and came to live in the city. Then, after 4 months time I changed my work place and began to work in the company, where I am working as a technical director, now. If I didn’t attend the program I would have still been a shepherd in the village.”

Worker 2 worked in the same company. He gained all his professional learnings in the related program, in 2004. He was unemployed before he graduated the program; and he began to work in this company, just after his graduation. Then his life changed radically, just as Alaaddin's. He began to earn a regular income and set up his family. His life quality increased dramatically.

As both Adem and Alaaddin stated, almost all trainees in the programs they attended, found jobs, after their graduation. Many of their colleagues moved to other cities, like Manisa, İzmir, Kayseri, Trabzon, Burdur and Ankara, to work. A few of them established their own businesses and provided new job opportunities for other unemployed people.

As stated before, MESİNDER had widened its training projects for various socio-economic sectors of Erzurum community, and enabled them to find new job and income opportunities. For example, many of the ex-convicts, who attended the natural gas systems plumbrery training programs also found jobs, in Erzurum and various other cities of Turkey. This had been a very good opportunity for ex-convicts to start up their lives, with good jobs and regular income opportunities. *Academician 3* had an emotional

memory about one of his ex-convict trainees, in the natural gas systems plumbers training program:

“One day, I met a visitor in the program office in the Governorship. He bounded from his seat when he saw me. He held my hands and shook them vehemently. He told me that he was one of our trainees and found a job in İzmir after the program. He was quite happy and told that our program has changed his life entirely. I got so emotional and felt confidence in the work we did in MESİNDER.”

Not all, but a considerable share of the 36 women, who graduated from MESİNDER's infant and geriatric nursing training project found jobs in various nursery institutions; or worked on their own, and provided nursing services to families. The ones who couldn't find jobs had the chance to provide a qualified nursing service to their own children and old family members.

Some MESİNDER projects also provided future job opportunities for some unemployed Erzurum people, with the vocational trainings on LPG technicianship, in partnership with Atatürk University; and on isolation technicianship, in partnership with NABUCCO Natural Gas Project Directorship. The graduates of these programs were expected to find job opportunities in isolation of the NABUCCO natural gas pipeline.⁶

MESİNDER's joint abroad training projects in partnership with European organizations and EU academic programs, provided a number of university students and graduates with opportunities to benefit from some abroad training projects, under the umbrella of Leonardo da Vinci and Erasmus Programs. A recent project, which had been implemented by MESİNDER during the days of research, provided 23 children working in the streets with some vocational trainings to be able to work in arts and crafts sector. Most of these children had regular jobs as apprentices, in various arts and crafts SMEs. This project had kept Erzurum street children away from crime. The crime events, which street children involved decreased in percentage of %25. This was a fact approved by the Erzurum Security Directorate.

As stated above, ER-KADIN had also implemented a series of training projects, like rabbit wool spinning, customer hosting in tourism and modern costume designing with Eham cloth, in Erzurum. Not all but a number of women, unemployed youngsters, and especially young women, who participated these programs earned some new jobs and additional income opportunities, during DAKAP years. As a sustainable result of

⁶ Unfortunately NABUCCO Natural Gas Pipeline Project was cancelled in June 2013.

DAKAP, although not much, but a relatively notable number of these participants (specifically the 30 young men and women who attended the program on customer hosting in tourism) had carried on their regular jobs and enhanced their well-being, after DAKAP.

In addition, in the 27 villages, where the project on strawberry growing was implemented a number of women had carried on producing strawberry and generating additional income and alternative food resource for their households. Some of them had carried on producing some secondary products of strawberry fruit, like marmalade and jam for national market, by the help of national partnerships ER-KADIN established. However, the quantity of the market demand never enlarged enough to stimulate the pervasion and growth of the production considerably, in the region.

Some of the new training projects, which ER-KADIN had implemented, like folkloric toll making and flower hothousing enabled 7-8 women in Uzundere district of Erzurum to start their own businesses in these areas, after DAKAP. ER-KADIN also contributed to the literacy level among Erzurum women, by the programs on reading and writing; and provided new job and income opportunities via vocational training projects in various areas, like rag and carpet textile.

On the other hand, the entrepreneurship training project which aimed to increase entrepreneurial capacities of women didn't result in much sustainable success. One example was *SME Owner 2*, the owner of *Hamarateller Restaurant*, in Erzurum. As stated above, she attended these trainings, but couldn't get the seed money, which is supposed to be given after the trainings, because of the heavy preconditions necessitated by the formal procedures of the EU grant programs.

ER-KADIN also worked for providing a network of interactions and synergy among woman entrepreneurs, via meetings and other social activities. For example, *SME Owner 2* stated that:

“I had the opportunity of creating fruitful relationships within ER-KADIN, via the social meetings arranged by the association. In addition, ER-KADIN helped me and some other entrepreneur women, by mediating between us and some creditor institutions, like some banks and İŞ-KUR. This support became helpful for me in opening a second restaurant, as the branch of my business. But I had to close it later on.”

NGO Representative 2, spokesmen of DATÜB told that one of the most important sustainable consequences of DAKAP in the name of human development occurred for the sake of small land-owner peasants, who were the grassroots of the Union. As stated above, the Organic Agriculture Project had been successful and had spread among many small peasants, in various areas of Eastern Anatolia. DATÜB had managed to maintain its contact with İstanbul Metropole Municipality, for providing organic flour to its Halk Ekmek enterprise. This partnership was still active, and provided an important market and income source for DATÜB's grassroots, in the period of this research.

Later on, DATÜB provided a certain volume of additional demand for the organic products, in national and international markets; and some additional income opportunity for its members. In addition, DATÜB had implemented some projects on increasing the quality and quantity of the organic agricultural products that its members produce. All these implementations and projects had been contributing to the incomes, thus well-being of small land owner peasants of not only Erzurum, but of many provinces in East Anatolia region, since the end of DAKAP. In the days of this research, *NGO Representative 2* was preparing a new project on "organic animal husbandry", beginning within the region of Erzurum, Kars and Ardahan provinces. He expected that DATÜB would contribute some considerable additional amounts to the incomes of its member farmers, with this new project.

The *Reproductive Health Project*, implemented by TKB Erzurum Branch during 2005-2007 period had contributed a lot to the well-being of women and children, both in the short and the long-run. The project provided a considerable improvement in mother-child health conditions of poor women, who didn't have any social security opportunities. The percentage of deceased mothers during birth fell more than the half of the previous ratio. Another important contribution of the project was providing a privilege for pregnant women to be accepted to the hospitals, without being rejected for any reason. Before the project, women who didn't have institutional social security had been rejected by the hospitals. Trainings on hygiene served as sustainable achievements for women in improvement of household well-being. All these contributions had prevailed as sustainable well-being achievements for the sake of Erzurum women, since the end of DAKAP.

TKB Erzurum Branch had also implemented some new projects, since the end of the Program, like a joint project in partnership with the Governership, on vocational training

of women; and a SODES project on providing a permanent training facility, specifically for young women, on jewellery design and production with Oltu stone and other natural stones. This facility was supposed to be a permanent source of new job and income opportunities specifically for young women.

The new training projects which *QUANGO Representative 2* had prepared and implemented in the name of ESOB, enabled a considerable number of young unemployed men and women to find new jobs in various arts and crafts sectors and various cities, after DAKAP's end. Important examples were the training project on shoemaking; "Project for Supporting Entrepreneur Women" in partnership with TESK. There were some other training projects to be implemented in the near future, which were supposed to provide new employment opportunities for Erzurum youth.

In Bayburt, some of DAKAP's most significant sustainable consequences were seen in the marble and natural stone sector. DAKAP's contributions to this sector provided a sustainable increase of income, in this sector. However, because of the insufficiency of feasibility research and investment planning; and lack of enough financial resources in the sector, the market share and trade volume of the sector couldn't reach its full potential, thus DAKAP's sustainable contribution to the incomes, and empowerment of Bayburt community for enhancing their actual well-being, stayed under certain limits, in the long-run.

Post-project research surveys performed by the BVSD for observing the sustainable contributions of the Reproductive Health Project that they implemented in partnership with Bayburt Association for Womens' Cooperation and Solidarity, showed that a notable enhancement in mother-and-child health had prevailed, up to 2010, as a sustainable benefit of DAKAP, in the name of community well-being. Midwives left assisting mothers in childbirth at home; and began to prefer hospital conditions (or village clinics) instead. So, the rate of births at home fell to %1,09, from %3,33, up to 2010.

In Bayburt, a considerable number of social and economic projects prepared and implemented by some proactive individual and institutional entrepreneurs attracted a considerable amount of financial resources to Bayburt province, and provided some notable contributions to the rural and urban communities, since the end of DAKAP up to 2010. As an example Masat Basin Development Project, that *Public Official 1* prepared, provided a number of landless or small landowner poor peasants with agricultural

machinery aids and an agricultural cooperative. Thus it served the empowerment of these peasants for enhancing their well-being further.

Public Official 1 and *NGO Representative 10* also prepared and implemented some social, cultural and environmental projects, in the name of some local NGOs, like BEKDER and BŞYD, after DAKAP. One of the important projects was about research and protection of the cultural identity of Bayburt. The other one was on rehabilitation and regeneration of Çoruh River and its environment. These projects served the empowerment and actual well-being of communities of Bayburt and surrounding rural localities via fulfilling some cultural and environmental needs of the locality.

NGO Representative 11, also went on preparing and implementing new projects in the name of various NGOs and SMEs. Some of these projects served increasing the capacity and profits of some SMEs in Bayburt. Some others like the one on regenerating a milk manufacturing facility in a village; and the one on hygiene and protection of cattle against epidemics served enhancement of the well-being of the rural village communities around Bayburt.

11.5.3. Sustainable Contributions of DATUR to Human Well-Being

As some rare heritages of DATUR, the guest house on the terrace of the Town Hall of İspir was still providing a little amount of employment and income for İspir people. In Yusufeli, only some rare sustainable examples had survived after DATUR. One of them was the establishment of nature sports clubs and the trainings on water sports, namely rafting and canoeing. This stimulated and enabled a number of youngsters to meet water sports and become successful international sportspeople.

In Sırakonaklar, the pensions established during DAKAP years stayed active as heritages of DATUR, which provided sustainable contributions to the well-being of the village community by providing additional income to their owners. This additional income was quite small in absolute terms, but having been poor small landowner peasants, villagers of Sırakonaklar had been benefiting from it considerably.

On the other hand, none of the implementations of DATUR including the compilation of the natural and historical inventory of the region contributed to the development of tourism, related job opportunities and income increases, in any localities of the former DATUR area, after DAKAP.

But again the most important sustainable contribution of DATUR was a few individual entrepreneurs, like *NGO Representative 17* and *SME Owner 5*. In the days of this research *NGO Representative 17* was working on some new projects to contribute to increase tourism incomes, in İspir; and *SME Owner 5* was still running her own enterprise with 7 employees. She still had plans to capacity increasing and employing more employees.

11.6. Evaluation of the Sustainable Outcomes of DAKAP

11.6.1. Sustainable Contributions of DAKAP

Four years after DAKAP, there still remained some notable human, social and economic assets, inherited by DAKAP, especially within the former KKKP and DAGİDES implementation areas. As for some notable examples, the number of farmers who produced animal feed plants increased; and animal feed planting spread to other localities of the region than the pilot villages of KKKP, after DAKAP. Hothouse production increased and spread in the hands of peasant women. There were young people who found jobs that changed their lives; and women who had self-confidence and owned their SMEs, by virtue of the trainings of DAGİDES. Organic agriculture production increased and spread in Eastern Anatolia. The health projects provided sustainable advancements in health conditions of women and children, in both former DAGİDES and KKKP areas. Brucella was eradicated permanently from the pilot villages of Şenkaya and there still existed a functioning youth center, in Susuz. The dormitory in Çıldır continued to be an opportunity for the young student women. A number of NGOs established during DAKAP went on functioning and carrying on some development projects, in the former KKKP and DAGİDES implementation areas.

In the former DATUR area, there remained individual entrepreneurs advocated to local development, although a few in number; a guest house in İspir; some pension enterprises in Sırakonaklar; and one functioning sports club and young water sportmen attending national and international contests in Yusufeli. An important point about sustainability of DATUR was that it had furnished the way for the following successful DATUR (II) Project, which had been implemented since 2007, with sponsorship of Efes Pilsen. As the UNDP expert *Development Expert 6*, who had worked in the coordination of the second DATUR Project, stated:

“The current DATUR (II) Project carried on what DAKAP-DATUR started during DAKAP years. Without DAKAP-DATUR, the advancements we attained, in the name of DATUR in Uzundere today, could not be possible.”

The *sustainable agency* of the local individual entrepreneurs was the primary sustainable contribution of DAKAP to the ever-lasting local SHD process, in the former DAKAP area. As stated in Chapter 9, in some localities of former DAGİDES and KKKP areas, like Erzurum, Bayburt and Şenkaya there inherited a relatively developed *self-governance capacity* from DAKAP, which was built upon the entrepreneurial vision and attitudes attained by the individual entrepreneurs; some relatively maintained skills and experiences in project management, good governance relations and partnerships; some maintained local NGOs and relatively maintained partnership networks among local public, private and civil society institutions; and some relatively maintained participative, cooperative and deliberative routines in local public administration.

However, the main carriers of the sustainable agency had always been the leading individual actors of the local civil society who also led the active NGOs and QUANGOs, in almost all localities of the former DAKAP area. The agency of these individual entrepreneurs had been the main motor force for generation of a series of new economic, social and environmental projects; and provided some further contributions to the human well-being and local endogenous capacities (accumulation of economic, human and social capital, and environmental sustainability) in the former DAKAP area, up to 2010.

In the former KKKP area, some notable examples of these new projects and related demonstrations were on rural tourism, geese breeding and a cultural center for women and youth in Susuz; and on milk production, agricultural production and animal husbandry in Olur. In Şenkaya, some advancement in the seed quality of animal feed planting was gained. Şenkaya rather became a shining example in production and spreading of animal feed planting to other villages in the region.

In the former DAGİDES area, a great portion of the financial resources attracted by the new projects was spent on vocational trainings for women, unemployed youth, ex-convicts and children in the streets, in Erzurum. In Bayburt, there implemented some fruitful projects on capacity increase of SMEs, animal husbandry, agricultural production and rural development. These projects fulfilled some financial, material and physical

needs of SMEs and peasants; provided the regeneration of a milk manufacturing facility and establishment of a new agricultural cooperative. There also implemented some projects on local culture and environment. Although, the marble sector couldn't enlarge its market and didn't grow much; DATÜB carried on the organic farming project and increased its members, volume of production and markets, after DAKAP. It started a new project on organic animal husbandry. DATÜB and its organic farming project were the only shining examples of DAGİDES.

In the former DATUR area, a few remaining individual entrepreneurs in İspir and Yusufeli didn't implement notable projects, after DAKAP. Nevertheless, *SME Owner 5* established her business and provided jobs for 7 people in Yusufeli; and *NGO Representative 17* recently initiated a project on watersports and tourism in İspir, in 2010.

11.6.2. Limits of the Sustainable Outcomes of DAKAP

On the other hand, some of the achievements of DAKAP, in various localities had worsened, became idle or disappeared, after DAKAP's end. These former achievements couldn't contribute to the local SHD process any more. This was majorly because of some limitations and weaknesses inherited from DAKAP period, which were discussed in the previous chapter, in detail.

As stated in Chapter 9, although the sustainable local agency was one of the primary sustainable contributions of DAKAP to the ever-lasting local SHD process, the most precarious aspect of the sustainable local agency was its dependency on a limited number of individual entrepreneurs advocated to development. Although a considerable amount of human and social capital had accumulated during the life-time of DAKAP within its former implementation area, the resultant institutional infrastructure, partnership networks, density of the civil society and the institutional capacities of the NGOs and QUANGOs generally stayed insufficient for leading an accelerated rate of sustainable economic and human development in most of the localities, except for some partial developments in this aspects, in Erzurum, Bayburt, and Şenkaya.

Besides, local PGMs (specifically İKKs of KKKP) and project partnerships during DAKAP empowered the participant stakeholders and target groups to participate to the local decision-making in development issues. However, the deliberative, cooperative and participative routines inherited from DAKAP were not strong enough to lead a sustainable participative civic culture in local public administration. So, they couldn't

provide a sustainable empowerment of individuals, target groups and communities for a better and wider access to local public. Nevertheless, a certain number of surviving institutional representatives maintained a relative -but rather weak- participative capacity for their grassroots in a few localities, like Erzurum, Bayburt and Şenkaya.

Consequently, DAKAP could not lead the development of a sufficient *self-governance capacity* within most localities, except for some partial development in the mentioned localities. A limited number of surviving NGOs and QUANGOs could provide sufficient initiatives towards taking proactive roles in local SHD process, by designing and implementing some economic and social projects, after DAKAP. But, most others stayed idle even in urban localities of DAGİDES (Erzurum and Bayburt) where local civil society was relatively more developed and denser with respect to the rural areas of KKKP and DATUR. Thus, as one of the most important handicaps of the sustainable local agency in the former DAKAP area, it majorly dependent on the personal initiatives and relationships of some leading individual entrepreneurs of the local civil society. This might also be counted as one of the most important restrictions on the sustainable contributions of DAKAP to human well-being and local endogenous capacities, after DAKAP.

As stated in the last chapter, DAKAP steering bodies and implementations had unfortunately been incompetent in overcoming the chronic scarcity of the physical, human, natural and financial resources in the region. This chronic scarcity limited both the actual and sustainable benefits of DAKAP; and couldn't be overcome because of some reasons, which were elaborated in Chapter 10, in detail. As stated in the last chapter, this was partially the result of the ineffectivity of the steering bodies in accumulating the sufficient *economic capital*, during DAKAP. Consequently, although DAKAP had provided some valuable contributions to the accumulation of human and social capital in the region, it was inadequate in providing a parallel contribution to the accumulation of economic capital.

This ineffectivity inherited a serious constraint against the sustainable agency of the local economic and social entrepreneurs towards further economic development and sustainable capital accumulation, in the former DAKAP area, after its end. Thus, the soft instruments of DAKAP (training projects, supervisory support and health projects), which contributed to human capital for increasing the entrepreneurial and productive capabilities

of the members of the target groups couldn't contribute to further local economic and human development in their full potential, in the long-run.

There were some other obstacles which confronted the agency of the local economic and social entrepreneurs and limited the level of the sustainable outcomes of DAKAP, after its end. First, because of the chronic scarcity problem of the Eastern Anatolia and the ineffectivity of DAKAP in starting a sustainable process of accumulation of economic capital most economic and social entrepreneurs didn't own and/or reach the necessary resources in their own region and thus looked for some outsider financial resources. However, they again faced the problem of bureaucratic complexities of the procedures of the national and international financing funds (like EU, SRAP and İŞ-KUR); and the high levels of financial burdens, duties and taxes in handling of these credits. Most of the individual and institutional entrepreneurs couldn't afford these amounts, in both rural and urban areas of the region.

Some other obstacles, which were specific to the former KKKP area; and which restricted the contributions of KKKP to the actual accumulation of economic capital had also been influential negatively on its sustainable outcomes. These were some of the main problems that prevented the production of some alternative means of living to reach over the self-subsistence level. One of them was the lack of the arable land for the increase of the production of the animal feed, hothouse and fruit planting. The other one was the lack of some industrial enterprises for providing a sufficient local/regional demand for the by-products of animal husbandry, in the region.

Consequently, neither of the efforts to increase the productivity in animal husbandry by-products or in the alternative production items which KKKP started or supported had reached a marketable level for exporting out of the pilot area. They kept on providing the village communities with some additional incomes raised from local markets and some self-subsistent nutrition opportunities for their animals and for their households. Some KKKP projects implemented during DAKAP years for reaching national markets and rising the profitability of these alternative means of living didn't result in sustainable economic ends, after DAKAP.

In addition, although the activities of the economic and social entrepreneurs inspired by KKKP provided some valuable contributions to the well-being of the members of their local communities; they couldn't manage to make characteristic changes in the local

economies which were highly self-subsistent and dependent on animal husbandry. Some of their attempts to increase the productivity in by-products of animal husbandry, like milk production; and to increase the alternative agricultural production, like animal feed planting either stayed insufficient to reach above the self-subsistence level. Thus the former KKKP region stayed in its autarchic, small and mostly self-sustaining agricultural economic conditions; and in its poor rural life style, after DAKAP.

Moreover, most economic entrepreneurs who were former beneficiaries of DAGİDES implementations couldn't establish new businesses or increase the capacity of their enterprises, despite their entrepreneurial capabilities accumulated by entrepreneurial support and PCM trainings, after DAKAP. Many of the commercial enterprises established during the years of DAGİDES implementation left on their own, without sufficient resources, commercial experiences; and/or sustainable national-international partnerships and market demand, when DAKAP ended. So, most of the local economic sectors couldn't have a growth and development trend, after DAKAP. The economic sectors which had a certain amount of economic development and capital accumulation by DAGİDES implementations couldn't grow further. The most notable example was natural stone sector in Bayburt.

Unfortunately, the initiatives for tourism development in DATUR area had been a failure. Although some few heritages had been still providing additional incomes for the local communities, none of these contributions had attracted a sufficient amount of tourism demand; or local and outsider investors to invest in development of tourism in this region, in the long-run. In fact, no additional tourism firms or pensions were established, no additional accumulation of economic capital occurred in the sector. In addition, although the compilation of the natural and historical inventory of the region of Çoruh basin left back a good deal of compiled valuable data and documents, they hadn't been used effectively for long-term economic purposes, because of the insufficient presentation of the local tourism potential in the national/international tourism market, during DAKAP.

Parallely, a larger percentage of individuals who benefitted the vocational training projects of DAGİDES and DATUR couldn't find new job opportunities and either stayed idle or left the region to find jobs in other cities. Besides, although the efforts of the social entrepreneurs of Erzurum and Bayburt attracted a notable amount of money which was spent on trainings and specifically vocational trainings, after DAKAP; there wasn't an

equivalent amount of economic projects and/or investments for providing sufficient amount of jobs in these cities. This resulted in an excess of human resources in TRA1 region, which migrated to other regions of Turkey to find jobs.

A similar situation had been confronted by most of the NGOs (cooperatives and associations) which were established during DAKAP years, in the rural area where DATUR and KKKP were implemented. These NGOs couldn't find financial support and became either officially annihilated, like the development association in Öncül and cooperatives in Olur; or stayed idle and non-functional, as the ones in İspir and Yusufeli. As *Village Headman 2*, Headman of Öncül village stated:

“We once attempted to initiate a project and applied for EU grant programs, by mediation of our association [Öncül Development Association] just after the end of KKKP. But we couldn't afford our share of the project cost which EU regulations enforced. So, we gave up the project and annihilated our association soon.”

Thus, a considerable portion of the social capital accumulated in the region during the implementation period of DAKAP, either liquidated or became idle; and couldn't contribute to future local economic and human development in the long-run, majorly because of the insufficient accumulation of economic capital.

A specific objective of DAKAP was creating some “shining examples” of urban economic sectors and rural economies in the localities of the pilot areas, which would motivate the other sectors; and localities and have the ability of spreading and repetition in the region. However, DAKAP implementations couldn't have a serious chance to spread and be repeated, in other localities other than pilot ones, after DAKAP ended.

One notable attempt of creating an urban “shining example” was supporting the advancement of the natural stone sector, in Bayburt. DAKAP Coordination provided relatively balanced contributions to the accumulation of economic, human, social capital; and maintenance of natural capital; and had the most significant sustainable economic consequences in natural stone sector, in Bayburt. However, because of the insufficiency of feasibility research and investment planning during DAKAP; and the lack of the sufficient foreign financial resources and the market demand after DAKAP, the market share and trade volume of the sector couldn't grow up to its full potential, in the long-run. Thus it couldn't be a shining example.

The only rather notable exception in DAGİDES process had been DATÜB and its organic farming project. DATÜB became a serious regionwide NGO, reaching almost all corners of East Anatolia; and its projects of organic agriculture and organic husbandry spread all along the region, as rather profitable and ecological economic projects. Thus DATÜB became a sustainable and repeatable “shining example”, DAGİDES created. However, the market coverage and profitability of the organic farming, and its contribution to the regional economy did not reach to a sufficient level for making a characteristic change from the dominancy of animal husbandry towards organic agriculture.

Another rather shining example was the animal feed planting which SÜRKAL introduced in the former KKKP area. The volume of production of animal feed plants increased considerably; and it spread to the other rural localities in the region, after DAKAP. An individual entrepreneur, *Village Headman 1* from Şenkaya, played a significant role in this development. However, the volume of production never exceeded the self-subsistence level of the local animal husbandry production; and it had never reached a marketable level for exporting to the national markets.

A last notable attempt for creating shining examples was the establishment of the pensions in Sirakonaklar, during DATUR years. Although these 7 pensions survived in Sirakonaklar, their number didn't increase; and they had never attracted a sufficient amount of domestic or foreign tourism demand and investment. So, the example in Sirakonaklar neither changed the characteristics of the Sirakonaklar economy nor spread to the other localities, in the former DATUR area.

In the end, the contributions DAKAP couldn't be effective in permanent characteristic changes in the local economies, by 2010. And the agency of the economic and social entrepreneurs who were inspired by DAKAP couldn't manage to create further endogenous capacities towards further economic and human development, after DAKAP. KKKP couldn't change the main economic activity from animal husbandry and related production to more profitable alternative agricultural production, in its former implementation area. So, the autarchic rural economy and poor conditions of living sustained. DAGİDES couldn't lead a sufficient economic entrepreneurship and a sustainable economic capital accumulation in the hands of local SMEs. So, the local private sector couldn't grow and increase its competitiveness sufficiently; and couldn't reach new markets. DATUR couldn't manage to lead any sign of change in the former

DATUR area from an autarchic agricultural economy and poor rural life style depending on animal husbandry, towards a new one based on rural tourism, in the long-run.

As stated in the previous chapter, a quite limited effort for environmental sustainability had been spent, during the DAKAP process. Although, there occurred some contributions which provided some positive sustainable consequences and new projects for environmental sustainability, in DAGİDES and KKKP components; sustainable results of DAKAP had been much less in the long-run. The most notable sustainable results were the ecological awareness in sustainable use of natural resources, in some districts of former KKKP area; the spread of organic agriculture production throughout Eastern Anatolia and initiation of organic husbandry project by DATÜB.

The data and documentation compiled on the natural and historical inventory of the region of Çoruh basin hadn't been used effectively for long-term ecological purposes that is protection and regeneration of the human environment and the nature, either, in the former DATUR area. The dam projects in accord with the energy policies of the government are stil great dangers against the natural wealth of the region.

Again, only a limited number of new projects on improvement of natural environment and human livelihoods in former DAGİDES and KKKP areas took place. One notable example was BEKDER's project on rehabilitation and regeneration of Çoruh River and its environment, in Bayburt.

11.7. Assessment of the Relationship between the LGPs and the Sustainable Outcomes of DAKAP

As for the result of the second part of the fifth research theme, it can be stated that a parallel relationship is observed between the good governance qualifications of the LGPs (more specifically the qualifications of the endogenous factors of the LGPs with respect to the conditions of good local governance); and the level of the sustainable enhancement of the well-being of the local target groups, in various localities of former DAKAP area. There is also such a parallelism between the good governance qualifications of the LGPs; and the level of the sustainable accumulation of the capital assets in the localities, as the analytical model developed in this thesis suggested.

Then, it can be concluded that the LGPs within DAKAP had positively contributed to the sustainable outcomes of DAKAP that is the sustainable enhancement of the well-being of the participant local target groups; and the sustainable accumulation of the

capital assets, in parallelism with the level of its good governance qualifications. Moreover, in the long-run a parallelism can be observed between the good governance qualifications of the LGPs; and the level of the sustainable contributions of DAKAP to environmental sustainability, in the localities of DAKAP area.

These results provide a notable support to the *analytical model* constructed in Chapter 7, in its anticipations on the role of a good LGP in the sustainable outcome of a SHD based SDP. Consequently, it can be said that the more the LGPs reflected good governance qualifications in the localities the more the individual and grassroots institutional actors (NGOs and QUANGOs) participated and had control over the LGPs; the more they took control on the determination of the objectives and instruments of the projects, in accord with the long-term needs and priorities of their grassroots. So, the more the local target groups got empowered by the LGPs within DAKAP, the more they got sustainable benefits from DAKAP implementations. Parallely, the more local communities got empowered by the LGPs within DAKAP, the more they maintained sustainable endogenous capacities towards sustainable economic and human development.

In addition, the more the LGPs reflected good governance qualifications in the localities during DAKAP; the more the local communities attained *self-governance capacities*; the more the participant individual and grassroots institutional actors (NGOs and QUANGOs) attained entrepreneurial capacities for taking proactive roles in the local SHD process; and thus the more they initiated and implemented new and beneficial economic and social development projects in favour of their grassroots and communities.

However, it should also be noted that, the sustainable local agency was carried on by a number of leading individuals and the sustainable agency of the non-governmental institutional actors stayed less and at the back stage, in all former DAKAP implementation area. This can be attributed to the weaknesses of the civil society with respect to the institutional infrastructure, partnership networks and integration, in the region.

Besides, when the former KKKP and DAGIDES compared it can be observed that although in DAGIDES there occurred less qualified LGPs during DAKAP years a relatively higher level of sustainable agency of the institutional actors; and a relatively higher level of sustainable benefits and accumulation of capital took place. This can be

partially attributed to the relative advantages of the urban areas with respect to the circumstances of the civil society. In Erzurum and Bayburt there was a relatively denser civil society and a relatively stronger institutional infrastructure than in the districts of the former KKKP area, even in Şenkaya and Susuz where the highest levels of sustainable outcomes of KKKP emerged. So, it can be concluded that, the local exogenous circumstances surrounding the LGPs in SHD based SDPs do have a notable significance in their sustainable results.

For a more specific analysis, the target groups who had sustainable well-being achievements from DAKAP implementations the most were the same as the ones who experienced a good LGP and achieved actual benefits from its implementations the most. This was specifically true for the peasant communities in Şenkaya and Susuz, in the former KKKP area; and for some of the urban target groups in Erzurum and Bayburt, in the former DAGİDES area. Most of the sustainable contributions of DAKAP implementations to the sustainable accumulation of capital accumulation and environmental sustainability also came in these localities.

Moreover, the highest portion of the participant local individual and institutional actors who went on contributing to the economic and human development of their localities as social and economic entrepreneurs came from the same localities, after DAKAP, as stated in Chapter 9. These were continuous participants of the governance meetings and workshops, advocated members of İKKs and/or proactive partners of the steering bodies in the project partnerships. They were proactive stakeholders in project implementations; and benefitted from the implementations for improving their personal and institutional capacities, as well. As a result, some of the most fruitful new economic and social projects which provided an amount of new well-being achievements were initiated and implemented by these entrepreneurs, in these localities, after DAKAP.

Although most of the NGOs which were established by the promotion of the steering bodies during the LGPs within DAKAP ended formally, in most other localities of the former DAKAP area; some of the most developed and proactive ones survived and initiated new projects up to the days of the research trip, in Şenkaya, Susuz, Erzurum and Bayburt. Some of the NGOs and QUANGOs which were established before DAKAP and participated it actively also increased their capacities and went on contributing to the local economic and human development, by initiating new projects and attracting resources to

their localities. In addition, some new NGOs were also established and became proactive agents of SHD in these localities, as well.

So, the trainings and demonstrations of KKKP provided the most sustainable results in Şenkaya and Susuz districts where continuous good LGPs and high level of actual local agency took place; and a good deal of actual benefits were achieved by the local target groups. Although, the alternative agricultural production in animal feed planting and hothouse planting continued in all pilot villages up to a certain level; its volume had a considerable increase and provided more benefits for the animal husbandry activities and household economies, in Şenkaya and Susuz. Silage making continued in the pilot villages of these districts, as well; and animal feed planting spread to the neighbourhood of the pilot villages of Şenkaya. A youth center was still active in Susuz; and it widened its services for Susuz youth. Although Brucella was still a serious problem against human and animal health in the villages of the other districts; the vaccination project eradicated Brucella from the pilot villages of Şenkaya permanently. In addition, there maintained relatively participative routine in the local public administration, in favour of the representation of the local NGOs to the District Executive Committee meetings, in this district.

Some of the most proactive individuals, *NGO Representative 14*, *NGO Representative 15*, *Village Headman 1* and *Public Official 2* came from Şenkaya and Susuz, again. They had been active members of the İKKs and participants of the KKKP trainings and demonstrations, during DAKAP. They were some of the leading founder members of some surviving and active local NGOs, like Şenkaya Development Association, Şenkaya Association for Protecting the Wildlife, Şenkaya Ecological Agriculture Association and Susuz-Cılavuz Development Association. They carried on some fruitful activities and projects on alternative agricultural production, forestry, rural tourism and environmental protection, after DAKAP. The efforts of *Village Headman 1* in developing and spreading the animal feed planting; and in establishment of the local Union of milk producers were especially notable.

On the other hand, there observed rather less sustainable results in some of the pilot localities; and rare in some others, in the former KKKP area. In Damal district, SÜRKAL managed to carry on a continuous good LGP, by virtue of Damal İKK; and implemented a number of trainings and demonstrations in its pilot villages, and a project on toll making. It established a youth center, which functioned well during DAKAP years.

However, the youth center was closed after DAKAP; and toll making didn't reach a marketable level. There didn't remain any capable and advocated individual entrepreneurs in this district; and Damal Agricultural Development Association, which was once an active stakeholder of SÜRKAL during KKKP years, became rather idle. So, local sustainable agency was quite weak; and there didn't occur some notable new development projects in Damal.

Nevertheless, the peasants in the former pilot villages of Damal earned some considerable sustainable benefits in favour of their animal husbandry activities and household subsistence from the implementations on animal feed planting and hothouse planting. In addition, the projects on health provided some sustainable contributions to the health conditions of the women and children in these villages.

Öncül village of Çıldır was one of the most successful implementation field during KKKP years, by virtue of the specific efforts of SÜRKAL to keep its contact with the villagers. These implementations provided a considerable amount of benefits for the household subsistence and life qualities of Öncül villagers; and the entrepreneurial vision on development was attained by some leading individuals. However, Öncül Development Association was annihilated after DAKAP, because of lack of financial resources to afford the costs of initiating projects. So, the villagers couldn't carry on the agency over the local SHD process that KKKP attempted to start in their village, on their own, after DAKAP.

In Çıldır and Olur the changes of the district administrators and mayors made the İKKs unfunctional and disturbed the continuity of the good LGPs, as stated before. So, local agency and participation to the trainings and demonstrations decreased considerably and project implementations almost stopped in these districts and their villages (except for Öncül in Çıldır), after this change. In these districts the actual outcomes of KKKP were quite low with respect to Şenkaya and Susuz; and there maintained rare sustainable results after DAKAP.

One exceptional sustainable result was the dormitory for the schoolgirls who were studying in the "Sezgin Yolcu Regional Public School", in Çıldır. The other exception was *Public Official 4*, in Olur. *Public Official 4* was an advocated social entrepreneur who was a member of Olur İKK, in the beginning of KKKP; and he benefitted from the trainings of KKKP a lot. He initiated some fruitful new projects and arranged

demonstrational trips on milk production technology; and some other projects on orchard planting and a trout plantation, by establishing multi-level partnerships. The trout plantation was still active and productive, in 2010.

In the end, KKKP couldn't change the self-subsistent, agricultural economy depending on animal husbandry; and the poor rural life-style significantly, in its formal implementation area, even in Şenkaya and Susuz. Nor could the sustainable agency of the local social entrepreneurs who inspired by KKKP manage to create some further endogenous capacities sufficient for such a characteristic change in the local economies and the life-styles.

But, KKKP provided considerable sustainable contributions for improving the routine animal husbandry activities of the peasants and providing additional incomes to the household economies, in its pilot villages. It also provided sustainable improvements in the role of the women in the household economies; some sustainable contributions to the health conditions of women and children; and a sustainable change in the minds of peasants about local economic and familial life, specifically in Şenkaya.

In the former DAGİDES area, although a continuous LGP took place it couldn't provide participation and actual agency of a wide range of institutional representatives of the local target groups, because of the reasons discussed in the previous chapters, in detail. So, the LGPs in Erzurum and Bayburt provided the actual agency partially; and in Erzincan the LGP didn't function at all.

Nevertheless, the target groups whose representative institutional actors participated and experienced a good LGP in Erzurum and Bayburt had some of the most sustainable achievements after DAKAP; just as they had some of the most valued actual achievements, during DAKAP years. The organic farming continued to spread to the other localities of the Eastern Anatolian region; relatively enlarged its market coverage; and provided some considerable additional income for the organic farmers, by the efforts of DATÜB. A number of entrepreneur men and women who established or increased the capacity of their SMEs with the help of the supervision provided by GİDEMs during DAKAP, still carried on their businesses. Although the marble and natural stone sector in Bayburt didn't continue to grow and develop further; it maintained its national and international market demand and continued to provide higher profits for the producers.

The vocational trainings of DAGİDES provided human resources for the service and arts and crafts sectors of Erzurum; natural stone jewellery sector of Oltu and marble and natural stone sector of Bayburt. However, these trainings created an access of qualified labor force which the local economies couldn't employ. So, many of the beneficiaries of these trainings migrated out of the TRAI region to find jobs. Nevertheless, although the contributions of DAGİDES to economic and human capital couldn't start a radical change in the economic structure of these cities; the job opportunities created by these contributions changed the lives of a number of people radically. The role of ETSO, ESOB, ER-KADIN, BTSO and Bayburt Marblers' Association as advocated and proactive partners of DAKAP Coordination was specifically important in this development.

Besides, the supervision and partnership of DAKAP Coordination provided some social entrepreneurs, like TKB Erzurum Branch and BVSD to reach EU Grants and implement some important projects on reproductive health, which provided some considerable contributions to the health conditions of women and children, in the urban and rural areas of Erzurum and Bayburt; enabled pregnant women to benefit from the hospitals any time, without bureaucratic restrictions in Erzurum; and fostered pregnant women to give birth to their babies in the hospitals, rather hand houses, in Bayburt.

The individual and institutional entrepreneurs went on contributing to the local economic and human development by initiating and implementing new economic and social projects in Erzurum and Bayburt. As one of them, *Academician 3* (founder and leader of MESİNDER) was a proactive figure in DAKAP Coordination, took active roles in DAGİDES implementations. *NGO Representative 1* (founder and leader of ER-KADIN), *NGO Representative 2* (founder and leader of DATÜB), *NGO Representative 3* (Chair of TKB Erzurum Branch) and *QUANGO Representative 2* (General Secretary of ESOB) were leaders and representatives of the most advocated institutional participants of the LGP and the most proactive stakeholders of the project partnerships during DAKAP, in Erzurum.

NGO Representative 2 and DATÜB carried on the organic farming project and spread it in the region; implemented new projects for developing the production quality and market share of the organic farmers. *NGO Representative 2* initiated a new project on organic husbandry, in 2010.

Academician 3 and MESİNDER attracted EUR 3,5 million EU grants to Erzurum and provided a series of training projects for unemployed youth, women, ex-convicts, university students and children working in the street. *NGO Representative 1*, *NGO Representative 3* and *QUANGO Representative 2* also initiated and implemented some new vocational and entrepreneurial training projects on various issues from hothouse flowering to natural stone jewellery and shoemaking for the unemployed youth and women. All these training projects provided job and business opportunities for many of their beneficiaries, in Erzurum and other cities of Turkey.

In Bayburt, *Public Official 1*, *NGO Representative 10* and *NGO Representative 11* were some of the proactive social entrepreneurs who served the local economic and human development after DAKAP. *Public Official 1* had been a very active participant of the LGP and first became a PCM instructor then became the Director of the Bayburt Governorship Planning Coordination Directorship and served to the entrepreneurs of Bayburt, during and after DAKAP. He was the founder member of Bayburt Marblers' Association, during DAKAP; and participated to establishment of some other NGOs, like BEKDER and BŞYD, after DAKAP. *NGO Representative 10* (founder member of BEKDER and BŞYD) and *NGO Representative 11* (Board Member of the Association for Fighting Tuberculosis Bayburt Branch) were also beneficiaries of the PCM trainings during DAKAP. *NGO Representative 11* was the chair of his association during DAKAP; and represented it in the negotiations, meetings and project partnerships.

All three of these entrepreneurs initiated and/or implemented many new social and economic projects some of which provided vocational and technical trainings on various issues; physical and financial resources for local SMEs to increase their capacities; agricultural machinery aids to peasants; and a milk manufacturing facility in a village. They also implemented some cultural and environmental projects on cultural identity of Bayburt; and rehabilitation and regeneration of Çoruh River.

In general, although DAGİDES promoted the sustainable agency of a certain number of individuals, NGOs and QUANGOs, the level of the sustainable outcomes these entrepreneurs provided was rather low, after DAKAP. Although they provided some considerable well-being achievements to the members of their local communities, these achievements were insufficient in creating some further endogenous capacities to advance

the SHD process that DAKAP aimed to start, towards characteristic changes in the local economies. The reasons for this were discussed above, in detail.

On the other hand, most other social groups who didn't/couldn't participate to the LGPs (PGMs and project partnerships) by mediation of their representative grassroots organizations, could attain neither actual nor sustainable achievements from DAGİDES implementations, in Erzurum and Bayburt. An exception was the unemployed youth. Although none of the NGOs which represented youth participated to the LGPs in these cities, a huge number of unemployed youth benefitted from the actual and sustainable outcomes of DAGİDES.

DAKAP Coordination couldn't carry on a good LGP; and couldn't establish any partnerships with the institutional actors after some negotiations in the preliminary stage of DAGİDES, in Erzincan. So, there couldn't be any project implementations and actual or sustainable results in this city.

A similar situation took place in İspir and Yusufeli district centers, in the former DATUR area. The officials of DATUR Coordination preferred to contact with the district administrators and mayors instead of an LGP that local SMEs, QUANGOs (chambers) and NGOs may participate. They had a limited contact with a few NGOs, but couldn't carry on successful partnerships with them.

Nevertheless, they realized some project implementations with the support of the district administration and the academicians from Atatürk University İspir High School. In the end, there maintained a demonstrative guest house, which became a private motel enterprise managed by an outsider firm, in İspir; 7 pension enterprises in Sırakonaklar village; and a water sports club and a group of young water sportsmen, in Yusufeli.

There also maintained sustainable agency of some exceptional individual entrepreneurs who took their inspiration from DAKAP, like *SME Owner 5* in Yusufeli, and *NGO Representative 17*, in İspir. *NGO Representative 17* was the leader of the only active NGO, İspir Nature Sports Association, in İspir; was still working on some new projects on development of nature and sports tourism in his district. *SME Owner 5* was an economic and social entrepreneur who established and managed her own enterprise on organic vegetable by-products, by her own efforts.

These entrepreneurs were exceptional since their sustainable agency was not the outcome of a good LGP. They attained their project management skills, entrepreneurial

vision and advocacy on local development through their personal efforts and contacts with DAKAP Coordination and SÜRKAL, during DAKAP.

In the end, the sustainable outcomes of DATUR were also far from creating some further endogenous capacities in the localities sufficient for a characteristic change from an agricultural economy and life-style towards one oriented around rural tourism. So, the trainings on hygiene, tourism English, pension management, and the like; and the efforts on compiling the data on the natural and historical wealth of Çoruh Valley, couldn't lead sustainable results in such a characteristic change, after DAKAP. In addition, the maintained local agency was so weak to create the sufficient endogenous capacities towards such a change.

When it comes to environmental sustainability, although the local entrepreneurs didn't spend much labor on initiating and implementing new projects on environmental issues, in the former DAKAP area; it was observed that, the training projects and demonstrations towards development of environmental awareness and sustainable use of natural resources, in KKKP component, resulted in a certain increase in the environmental awareness of the village communities. Agricultural producers, hunters and fishermen in the region began to behave relatively more carefully against nature and in use of natural resources. This might be the most important sustainable result of DAKAP for long-term environmental sustainability.

This situation was specifically true for Şenkaya district, where the level of the local agency was one of the highest by virtue of the Şenkaya İKK. Şenkaya people carried on a serious fight against the illegal outsider hunters to defend the local natural wealth of their district. In addition, social entrepreneurs of the district implemented some new projects for increasing the environmental awareness of their fellow citizens.

CHAPTER 12

CONCLUSIONS

According to the results of the case study on DAKAP, although the basic circumstances of the KKKP implementation area was not appropriate enough to carry on a good LGP, with respect to the exogenous conditions of good local governance; the endogenous circumstances of the LGPs in KKKP seemed to reflect quite high qualifications (probably the highest in all DAKAP area) with respect to the endogenous conditions of good governance, specifically in Şenkaya, Susuz and Damal districts. Consequently, although there wasn't a developed civil society to support a good LGP within the rural KKKP area, LGPs were more successful in mobilizing and sustaining the agency of the local actors and the peasants in these three districts.

The major reason for this was the interstructure of the LGPs in Şenkaya, Susuz and Damal. Each LGP progressed via a web-like interstructure of PGMs which was made up of the İKK in the district center and the complementing project councils in the villages. The İKKs and project councils were inclusive and powerful PGMs which included a wide range of the local target groups (peasants and district people) and stakeholders (local public institutions and NGOs) to the process. They empowered them with sufficient and equal voice and vote on the final decisions upon actual KKKP implementations; and reflected their will on the shaping of the project implementations quite effectively.

The web-like interstructure of the PGMs (İKKs and project councils) enabled the LGPs to penetrate to the whole space of these three pilot districts and their villages. They progressed along with the project implementations continuously; and provided a widespread, horizontal and continuous network of communication and interactions within the whole space of each pilot district. They had enabled SÜRKAL to reach and keep in touch with a wide range of peasants and local stakeholders continuously. They had also kept these local actors in continuous face-to-face contact for deliberating and deciding on local development issues; and for compromising and cooperating in project partnerships.

İKKs and project councils were quite successful in reflecting the demands, priorities and preferences of the local stakeholders and the peasants to the implementations. They also provided continuous, widespread and participative monitoring of the

implementations; and led dynamic, just-in-time reviewing of the objectives and instruments. These aspects provided a dynamism and effectiveness in designing and budgeting of the most valued and successful project implementations, in most cases. And successful implementations provided an accelerating positive feed back on the local agency.

The high performance of SÜRKAL experts in the LGPs was also quite important in their goodness and success even in such improper exogenous circumstances. SÜRKAL experts spent quite active efforts to get and keep in face-to-face contact with the peasants and the stakeholders; to provide regular, continuous and well-functioning LGPs; and keep their good governance qualifications, throughout the implementation stage of KKKP. They carried on their dialogue and contact with the village communities and local NGOs, even after DAKAP.

SÜRKAL was an experienced organization in steering of the participative rural development affairs. This was another advantage of the LGPs in KKKP. It provided the İKKs with qualified technical knowledge while determining the objectives and implementations; and supervised them towards strategic goals of KKKP. In addition, the strong, horizontal and continuous network of communication and interactions that İKKs and project councils provided SÜRKAL to be more responsive to the demands of the local stakeholders and the peasants.

The LGPs had functioned quite well in Şenkaya, Susuz and Damal districts, throughout the implementation stage of KKKP. Resultantly, LGPs had been more and continuously successful in triggering and sustaining the agency of the local actors; and reflecting the demands, priorities and preferences of the local actors to the implementations, by virtue of their inclusive and powerful face-to-face PGMs, until the end of KKKP. So, KKKP provided more benefits in these districts where İKKs functioned well and continuously.

However, in Çıldır and Olur, although the İKKs were also qualified enough, in the beginning of the implementation stage; the continuity of their good governance qualifications was disturbed and they became disfunctional later on. This was because local public administrators and mayors changed in these districts, by appointments and with 2005 elections, respectively; and the attitudes and manners of the new administrators and mayors were rather negative against KKKP. As a result, although the agency of the

local target groups and stakeholders was high in the beginning years; it decreased more and more and almost extinguished later on, in parallelism with the changes in the good governance qualifications of the İKKs, in Çıldır and Olur. So the project implementations almost stopped in these districts and their villages.

Nevertheless, the project councils went on functioning and the project implementations were carried on successfully up to the end of KKKP, in Öncül village of Çıldır district. This was majorly because of the efforts of the SÜRKAL experts to keep in touch with the people of Öncül village, by by-passing the disfunctioning Çıldır İKK.

In most of the localities of the other components, the level of the local agency was lower in parallelism with the good qualifications of the LGPs in these localities. In DAGİDES, the PGMs were incapable of mobilizing and/or sustaining the actual agency of a wide range of local actors; and in DATUR there was rarely a functioning PGM.

Despite the claims of the ex-members of DAKAP Coordination, LGPs within DAGİDES could not be considered as sufficiently good governance processes, in Erzurum and Bayburt cities, and in Oltu district. DAKAP Coordination attempted to carry on the LGPs rather with one-to-one negotiations and a less number of meetings with the local target groups and the potential stakeholders in these cities, during the preliminary and planning stages. In the implementation stage, DAKAP Coordination kept its contact with the target groups via one-to-one project partnerships with the local institutional actors (NGOs and QUANGOs) as their representatives. GİDEMs (specifically Erzurum GİDEM) functioned as both supervision service providers and as PGMs providing interfaces between DAKAP Coordination and the participant local stakeholders.

However, PGMs in DAGİDES were not inclusive and powerful enough to provide the agency (participation and control) of a wider range of target groups and their representative institutional actors. They rather resulted in point shots towards selected stakeholders and target groups; while İKKs provided SÜRKAL with a chance to keep in contact with the whole space of pilot localities. When compared to the web-like interstructure of İKKs and project councils, the mechanisms of DAGİDES were quite far from penetrating to the whole implementation area; and quite less capable of keeping a widespread and continuous face-to-face contact among the target groups and stakeholders to deliberate, compromise and cooperate upon local development issues.

Besides, although SÜRKAL experts were active, patient and insistent on getting and keeping their contact with the local actors and sustaining the local agency, even in the localities where İKK mechanisms disfunctioned (like Öncül Village in Çıldır); DAKAP Coordination was quite less active and insistent on this. It usually stayed passive and left the initiative for participating to the LGPs, establishing partnerships and initiating projects to the local actors in most cases, during the implementation stage. It preferred making point shots to create shining examples; and concentrated on keeping its contact and support to some selected stakeholders who came up with their projects. They didn't spend sufficient effort to attract the rest of the local target groups and actors to the process.

In the end, a group of target groups and institutional stakeholders experienced relatively good LGPs; participated to DAGİDES with their own projects; and stayed in close contact and cooperation with DAKAP Coordination until the end of DAKAP, in Erzurum, Bayburt and Oltu. However, a wider group of other representatives of grassroots NGOs of target groups –specifically the disadvantaged ones- in Erzurum and Bayburt seriously criticized DAKAP Coordination, with respect to participant selection, communication structure, transparency, responsiveness, equity, effectiveness, efficiency and some other aspects. Some of these actors had been excluded from the LGPs, from the beginning; and even didn't hear about DAKAP and DAGİDES, although they had a considerable level of institutional capacities, in both Erzurum and Bayburt. Some of them had the chance to participate to some of the face-to-face mechanisms. But, they got irritated in the first discussion meetings by the hierarchical, one-way communication structure and left out the process.

In addition, Erzincan had been a total failure for DAGİDES. Besides, DAKAP Coordination didn't pay sufficient attention and didn't make serious attempts to gain the excluded social actors back to the Program, in any localities of the DAGİDES implementation area.

LGPs in DATUR had quite low good governance qualifications, specifically in İspir and Yusufeli district centers. So, they couldn't provide the advocacy and agency of the local actors in the district centers. Despite the fact that, the exogenous circumstance of DATUR implementation area was not suitable enough for a good LGP; the main reason for this was the preferences and personal inadequacies of the officials of DATUR Coordination who were appointed by UNDP Turkey. In İspir and Yusufeli district

centers, DATUR Coordination couldn't manage to carry on qualified communication and interactions with the local people and the civil society. It didn't even employ any open PGMs to include the local QUANGOs (chambers) and SMEs in tourism sector to the LGPs; eventhough the chambers were willing to cooperate for developing the local tourism sector. DATUR Coordination preferred to keep in touch with the local public and municipal authorities, instead. Although they attempted to create one-to-one contact with a few local NGOs with quite limited capacities, they had legal conflicts with them, in the end.

The personal capacities and performances of the DATUR Coordination experts had been insufficient for carrying on good governance relations within the face-to-face relations, project partnerships and implementations. They were seriously criticized with respect to participant selection, transparency, efficient use of the program resources; and for being unresponsive to the demands and problems of the other actors, in İspir and Yusufeli.

Nevertheless, DATUR Coordination carried on relatively good local governance relations; and provided a certain level of local agency in some of the villages of the Çoruh Valley. This was especially true, in Sirakonaklar Village. This was possible majorly thanks to the efforts of the two academicians from İspir High School. Specifically in Sirakonaklar, they managed to keep in continuous contact with the villagers with the partnership of the village headman and İspir district administrator.

Consequently, the case study on DAKAP showed that there was a significant *parallelism* between the *level of the good governance qualifications* of LGPs and *the level of the local agency* in varies localities of DAKAP area. In the localities where LGPs had higher good governance qualifications, they had been capable of triggering and sustaining a considerable level of actual local agency in parallelism with the level of their good governance qualifications, as the analytical model in this thesis suggested.

Analysis of the DAKAP case also showed that the goodness and success of the LGPs in triggering and sustaining actual local agency were *majorly* related to the qualifications of the *endogenous factors about the face-to-face PGMs*, like an inclusive, equitable and appropriate participant selection; a horizontal interaction and open communication atmosphere which would provide the participants with sufficient and equal opportunities to freely voice and negotiate upon their needs and preferences; empowerment of the

participants with free and equitable vote on final decisions; and sufficient empowerment of the PGMs to reflect their collective decisions onto the shaping of the project implementations. In the localities, the PGMs should be interstructured in a way that they would enable the LGPs to penetrate to the whole space of the locality, as the web-like interstructure of the İKKs and project councils in the KKKP area. And finally, continuity of the good LGPs via well-structured, inclusive and powerful face-to-face PGMs which kept participant local actors and the steering bodies in continuous contact in order to deliberate, compromise and cooperate had also been quite important, in their success.

The *performance of the steering bodies* in keeping continuous communication and highly qualified good governance relations with the local actors was another important factor in providing the actual local agency sufficiently. Specifically in the cases when powerful PGMs were absent, collapsed or disfunctioned, the performance of the steering bodies had been more important in providing the advocacy and agency of local stakeholders and target groups.

The qualifications of the other endogenous factors of the LGPs, like the attitudes and manners of the public administrators and officials; and the capacities, attitudes and manners of the key local actors and target groups were also important up to an extent. In DAGİDES, these were specifically important in the preliminary stage and resulted in blockages against local agency, in Erzincan and Bayburt. In addition, changing attitudes of public administrators resulted in collapse or disruption of local LGPs and the actual local agency; and sometimes the reverse happened. Moreover, even in localities where continuous LGPs took place, the local agency was weak in the beginning of the implementations, because of the lack of trust of the local target groups against the soft instruments of DAKAP.

Nevertheless, wherever continuous, inclusive and powerful PGMs existed and functioned well, LGPs managed to improve and strengthen the local advocacy and agency in time.¹ Moreover, even in some localities where such PGMs never existed or LGPs

¹ So, for overcoming the problems of LGPs in DAGİDES and DATUR areas, a solution would have been establishment of some inclusive, powerful and continuous PGMs, like *local steering committees* as of the preliminary stages of these components. These mechanisms would have involved and kept a variety of diverse local institutional actors, public administrations, municipalities, NGOs, QUANGOs and trade unions in a continuous face-to-face contact to deliberate the issues on local development. Establishment of such continuous local steering committee with a wide participative and representative capacity; and with the sufficient power to reflect the will of the local actors to the planning of the project implementations might have provided better LGPs, in Erzurum, Bayburt, İspir and Yusufeli. Such a local steering committee might have been helpful to overcome the blockage in Erzincan, too.

collapsed because of the manners of the public administrators; the efforts of the steering experts and officials provided some solutions to the obstacles against mobilizing and sustaining of the local agency, as in the cases of Öncül village of Çıldır, and Sırakonaklar village of İspir. In addition, as some successful implementations took place this provided a positive feedback on acceleration of the local agency; and sometimes on overcoming the blockages. These were especially true in KKKP and partially true in DAGİDES.

The results of the case study also showed that in the localities where the LGPs had been capable of mobilizing high levels of actual local agency, they had also been capable of contributing to the maintenance of the sustainable local agency up to a certain level, in parallelism with the level of their good governance qualifications. So, there was a significant positive relationship between the *level of the good governance qualifications* of the LGPs and *the level of the sustainable local agency* in various localities of DAKAP area, as the analytical model developed in this thesis anticipated.

In fact, contribution of DAKAP was insufficient to the *local self-governance capacity* in the area, except for a relative development provided in certain localities, like Erzurum, Bayburt and Şenkaya. Most of the NGOs established by the İKK members at the end of KKKP; and some few NGOs promoted by DATUR Cooperation either got annihilated or stayed idle, after DAKAP. The partnerships established during DAKAP couldn't lead sustainable networks sufficiently; the relatively closer relationships among the local public sector, private sector and the civil society wasn't maintained; and nor was a participative, deliberative and cooperative civic culture inherited in most localities. Only some partial remainings of the social capital accumulated by DAKAP were maintained, in a few localities mentioned.

The level of the sustainable local agency of the institutional actors stayed low in all former DAKAP implementation areas, especially in the former KKKP and DATUR areas. Nevertheless, a higher number of NGOs and QUANGOs who had the sufficient institutional capacities stayed as relatively active agents, in the cities of former DAGİDES area. So, the institutional infrastructure, integration and participativeness of the local civil society, and the institutional capacities of NGOs stayed insufficient for good local governance in the rural localities of the former KKKP and DATUR areas; and this influenced the sustainable agency of institutional actors negatively, in the long-run. This showed that the *exogenous circumstances* of LGPs played more significant role on their success in maintaining the sustainable agency, after DAKAP.

So, the sustainable agency after DAKAP had usually been carried on by some leading individuals of the local civil society, advocated to development issues. New economic and social projects were started not by the sustainable partnership networks among institutional actors; but rather by the particular initiatives of the advocated individual social entrepreneurs. Even in localities where a relative self-governance capacity was developed, and the the institutional actors were relatively active, they stayed at the backstage of the activities of the advocated and proactive individual entrepreneurs.

Then, the case study stressed that maintenance of the sustainable agency was majorly related to the success of the LGPs and the implementations of DAKAP in earning the participant individual actors the advocacy, enthusiasm, the entrepreneurial vision and the participative, deliberative and cooperative attitudes about local development. In addition, DAKAP implementations, specifically the PCM trainings, provided the agents in the former DAKAP area with the necessary entrepreneurial skills to initiate and implement new economic and social projects.

When it comes to the contributions of the LGPs to the actual outcomes of DAKAP; the case study enabled us to say that there was a *positive relationship* between the *level of the good governance qualifications of the LGPs* and the level of the actual enhancement of the well-being of the local target groups, in various localities in DAKAP, as expected by the analytical model in the thesis. There is also a parallelism between the good governance qualifications of the LGPs; and the level of the actual accumulation of the economic, human and social capital assets, in the localities.²

Then, it can be concluded that the LGPs within DAKAP had positively contributed to the actual outcomes of DAKAP that is the actual enhancement of the well-being of the participant local target groups; and the actual accumulation of the capital assets in the localities, in parallelism with the level of their good governance qualifications. This means that DAKAP experience confirmed the anticipations of the analytical model in this thesis on the positive relations between good local governance and the actual outcomes of SHD based SDPs, by the mediation of actual local agency.

More specifically, in the localities where the LGPs reflected higher good governance qualifications, the individual and/or institutional representatives of the local target groups

² But the same parallelism cannot be observed between the good governance qualifications of the LGPs; and the level of the contributions to environmental sustainability, in the localities of DAKAP area, because there were quite limited contributions to the local environmental sustainability in all components. So a healthy comparison was not possible.

participated to the LGPs more; had higher *control* over the shaping of the project implementations, in accord with the needs, priorities and preferences of their grassroots; and engaged to the project implementations as proactive stakeholders more. So, they served the well-being of their grassroots more; and contributed to the capacity building in their localities more, as the model of the thesis anticipated, by contributing to accumulation of more capital. In these localities local target groups got empowered by the LGPs more; and they had more benefits from DAKAP implementations for enhancing their well-being, during DAKAP. Parallely in such localities, local communities got empowered by the LGPs more; and they increased their endogenous development capacities more, towards sustainable economic and human development.

This process took place in its most typical form, in the districts of KKKP area, like Şenkaya, Susuz and Damal. In Olur and Çıldır districts where the İKKs and local agency were disrupted, local target groups had fewer benefits during KKKP. But specific efforts of SÜRKAL experts provided the continuation of the local agency in Öncül village via project councils; and the villagers earned considerable benefits from KKKP. In Erzurum, Bayburt and Oltu, some local target groups, whose institutional representatives participated to the process advocatedly and experienced good LGPs from the beginning till the end of DAKAP, had a good deal of actual benefits from DAGİDES implementations; while a wider range of target groups whose institutional representatives were excluded or stayed away from the LGPs couldn't get any benefits.³ Finally in DATUR component, the local target groups couldn't get considerable benefits from the implementations, in İspir and Yusufeli district centers, where DATUR Coordination didn't start any PGMs open for the local chambers, SMEs and the people. But in Sirakonaklar village, where a relatively good and participative contact was constructed by the efforts of the İspir High School academicians, peasants provided more participation, had higher control over the process; and they had considerable benefits from DATUR.

However, although DAKAP implementations earned certain local target groups and localities a good deal of actual benefits and capacities; its actual contributions to the whole of its implementation area had serious limitations by a series of factors. In fact, DAKAP was an ambitious program, so that it attempted to adress to a quite wide geography, with a limited budget. There was a clear disproportionality between its budget

³ An exception was the unemployed youth in Erzurum and Bayburt cities, and Oltu district. Unemployed youth had a good deal of benefit from DAGİDES although their institutional representatives were excluded from the LGPs, in these localities.

and the width of its implementation area. This is one of the main reasons why it had been capable of covering only a small portion of the whole populace of the region, as its direct participants and beneficiaries.⁴ It excluded a wider portion of the populace -and most of the disadvantaged groups- in the region, although it declared them as its target groups.

It did provide a considerable opportunity of participation, empowerment and achievements to the participants of its LGPs and its implementations. Some entrepreneur women and men established their own businesses. Some producers increased the capacity of their SMEs. Some others found marketing opportunities. Some unemployed young people found jobs. In fact, it changed some individuals' lives, like *Worker 1* and *Worker 2* who participated the natural gas plumbing trainings, radically. Some peasants learnt production some new agricultural products, some of which would be complementary for their animal husbandry activities, and attained a secondary income source. Some peasants got rid of brucella and saved both their animals and their own health from this illness. Some peasants learnt organic farming and some others learnt pension management; and both increased their incomes. Some young water sportsmen became champions. Urban women who couldn't even get out the street, get on a bus achieved self-confidence and became capable of participating to the local public life. Rural women became productive and began to contribute household economy by hothouse production. Many mothers and child had reproductive health service. These projects not only developed their health conditions but provided a change in men's mind against women and children.

On the other hand, a wider portion of the urban social groups and rural communities couldn't benefit from the program either during its life-time or after it ended. It provided almost nothing for them; and members of some of the urban social groups even didn't hear about it.

When it comes to capacity building for sustainability of local development; although DAKAP created a notable amount of human and social capital specifically in KKKP and DAGIDES implementation areas; it couldn't manage the sufficient and balanced accumulation of economic capital in the local economic sectors. Economic development is not the focal point of SHD strategy; that is true. And it is not the sufficient condition for either human development or sustainable local development; but it is the necessary one. It is at least as necessary as the building of other (human, organizational,

⁴ However, the project implementations performed by its stakeholders, in partnership with DAKAP steering bodies widened its influence area.

cooperative, natural, and the like) capacities. This is especially true for a chosen implementation area like East Anatolia with such deep and long-lasting scarcities of physical, financial, technical and natural capacities, as well as the human and social ones.

So, in areas like East Anatolia sustainability is not only a matter of accumulation of human and social capitals, with soft instruments. There is a need to a balanced accumulation of all types of capital. Lack of accumulation of one type of capital would disturb the sustainable local economic and human development, in the long-run. In such areas with chronic scarcity of resources, accumulation of economic capital necessitates employing more hard instruments, like financial support as seed money, physical and technological aids.

However because of its small budget and the restrictions of UNDP on using hard instruments, DAKAP couldn't provide the necessary financial and physical support to the target groups. Moreover, it allocated its resources and provided support to the local economic sectors in a very selective and asymmetrical way, because of the tactic of creating particular "shining examples" in the implementation area. And experts of DAKAP couldn't manage to select the appropriate economic sectors, appropriate project objectives and instruments all the time.

So, DAKAP couldn't allocate its resources in an equitable and efficient way either among local economic sectors; or between soft and hard instruments. Consequently, it couldn't manage to create the sufficient endogenous capacities within the localities in a balanced way so that the created/expanded vocational human capabilities would confront the complementary economic enterprises and/or resources towards sustainable accumulation of capital; and its valuable contributions to the human and social capital stayed idle. In the end, the beneficiaries of the trainings migrated to other regions; and NGOs established during DAKAP either closed up or stayed idle, after DAKAP, because of the lack of financial and other resources.

There were some other specific reasons for the insufficient contributions of DAKAP to economic capital, which were related to the general coordination of DAKAP. In the beginning of DAKAP process, the decisions on its major goals, component projects, and their objectives, methods, budgets and implementation areas were taken by the Program Executive Committee, in its meeting on March 12, 2001, with participation of Atatürk University, UNDP Turkey, DPT, TOBB, GAP-RDA. The participants of this important meeting were all national and international organizations; and it didn't involve any local

or regional actors. So, this meeting didn't have a bottom-up, participative character; and the main decisions of DAKAP were taken without participation of the local-regional actors, living in the DAKAP implementation area.

This caused a series of problems during carrying on the components in the localities, beginning from the presentation tours and negotiations. LGPs in the components of DAKAP began with some predetermined objectives for each component project. On the one hand, it was a thread against the process freedom of the local target groups. A number of local actors didn't agree with DAKAP Coordination about its emphasis on soft instruments and the objectives of the related component supposed to be implemented in their localities. On the other hand, it also restricted the decisions, activities and responsiveness of the steering bodies in the localities

Another problem related to the general coordination of DAKAP was the lack of a regional level PGM to coordinate and monitor the LGPs and implementations in the localities. An SDP implemented in such a wide area should have had a regional look, and a continuous and participative regional governance mechanism. This would have first provided an effective coordination of the components, LGPs and the local implementations in various localities. Lack of such a coordination had been a serious problem.

It would have also provided establishment of regional level partnerships and marketing relations among localities. Then, some projects crosscutting the component boundaries with complementary objectives could have been implemented; resources and capacities of various localities could have been employed in a complementary way; and production of the localities could have circulated in a relatively integrated regional market. These would have partially overcome the problem of resource scarcity; and provided the local communities with more income and sustainable accumulation of economic capital.

When it comes to environmental sustainability, a quite limited effort had been spent for environmental sustainability, in all components of DAKAP. DAKAP steering bodies didn't put the necessary emphasis and didn't pay the sufficient attention and efforts on issues of environmental sustainability. A very limited number of implementations took place, in order for protection and regeneration of natural and human environment, in DATUR and KKKP. A few limited efforts were spent on sustainable use of natural

resources in DAGIDES. These implementations were more than none; but a higher number of widespread and articulated series of implementations must have been planned and realized to enhance environmental sustainability for future generations.

According to the results of the case study, it can be stated that there can be observed a positive relationship between the good governance qualifications of the LGP; and the level of the sustainable enhancement of the well-being of the local target groups, in various localities in DAKAP, as the analytical model in this thesis expected. There is also a parallelism between the good governance qualifications of the LGP; and the level of the sustainable accumulation of the capital assets, in the localities. Moreover, in the long-run there can be observed a parallelism between the good governance qualifications of the LGP; and the level of the sustainable contributions of DAKAP to environmental sustainability, in the localities of DAKAP area.

Then, it can be concluded that the LGPs within DAKAP had positively contributed to the sustainable outcomes of DAKAP that is the sustainable enhancement of the well-being of the participant local target groups; the sustainable accumulation of the capital assets, in parallelism with the level of its good governance qualifications. This result is in accord with the anticipations of the analytical model developed in this thesis.

More specifically, in the localities where the LGPs reflected higher good governance qualifications, the individual and grassroots institutional actors (NGOs and QUANGOs) participated and had control over the LGPs more; embraced the entrepreneurial vision that suggests taking proactive roles in the everlasting SHD process more; initiated more numbers of new projects as proactive agents; served the well-being of their grassroots and communities more; and served the capacity building in their localities more, by contributing to accumulation of economic, human and social capital, after DAKAP. In these localities, the local target groups got more achievements, during DAKAP, of whose considerable portions were maintained as sustainable capital assets and resources, after DAKAP. Parallely, in such localities, the local communities got more empowered by the LGPs; thus they increased their self-governance and other endogenous capacities towards sustainable economic and human development more; they attained more awareness on issues of environmental sustainability, in the long-run.

As a matter of fact, most of the localities, target groups and the individual and institutional actors who initiated, implemented and benefited some new development

projects were almost the same, in both the short and the long-run. A certain portion of the local individual and institutional actors who participated to the LGPs; and/or maintained close interactions with the steering bodies from the beginning had met and properly embraced the entrepreneurial vision and attitudes towards local development. These local actors had also been the ones who became proactive agents of everlasting local SHD and went on initiating new projects and attracting resources to their localities. Some of them also worked for carrying on and spreading the agricultural production SÜRKAL introduced, after DAKAP's end. All these sustainable local agents who were inspired by DAKAP's LGPs had provided their localities a considerable amount of well-being achievements, after DAKAP.

Of course inevitably, a very big portion of the village communities and urban social groups who didn't/couldn't participate to DAKAP process effectively, could attain neither actual nor sustainable achievements from the Program. This was especially true for the Erzincan community; the urban social sectors of Erzurum and Bayburt whose representative institutional actors (NGOs and QUANGOs) didn't participate to DAGİDES process; and for the communities of districts in the DATUR implementation area, like İspir and Yusufeli.

Although DAKAP promoted the sustainable agency of a certain number of individuals and the NGOs or QUANGOs that they were connected; the level of the sustainable outcomes of DAKAP was rather low. This was majorly because of the inadequacy of DAKAP in providing the sufficient and balanced accumulation of economic capital. Thus, the advocated individual and institutional agents couldn't find the necessary resources to initiate more number of projects with more fruitful contributions to their localities.

DAKAP's efforts for creating some admirable and sustainable shining examples, which would be motivating for other economic sectors and localities couldn't be successful generally because of the reasons that limited the contributions to the accumulation of economic capital. The only notable shining example was the organic farming project of DATÜB, with its increased number of member organic farmers not only in the DAKAP implementation area, but in other regions.

Some advocated followers of DAKAP implemented a unique environmental project, after DAKAP. So, DAKAP's sustainable contributions to environmental sustainability

was lower than the actual contributions. On the other hand, it was observed that, the training projects and demonstrations towards development of environmental awareness and sustainable use of natural resources, in KKKP component, resulted in a certain increase in the environmental awareness of the local communities, in the long-run. Agricultural producers, hunters and fishermen in the region began to behave relatively more carefully against nature and in use of natural resources. This might be the unique sustainable result of DAKAP for long-term environmental sustainability.

As the sum of the major results of the the case study on DAKAP, in the localities where the LGPs had higher good governance qualifications,

- LGPs succeeded to trigger and sustain higher levels of actual local agency, during DAKAP;
- LGPs succeeded to contribute more to the maintenance of the sustainable local agency, after DAKAP;
- DAKAP provided more actual contributions to the well-being of the local target groups; and to the accumulation of capital assets in the localities, by virtue of the actual local agency, during its life-time;
- DAKAP provided more sustainable contributions to the well-being of the local communities; to the accumulation of capital assets in the localities; and to the sustainability of the local environment, partially by virtue of the sustainable local agency, after its end.

In other words, the more the LGPs within DAKAP had good governance qualifications, the more they had been successful in triggering and sustaining the actual local agency; and in contributing to the maintenance of the sustainable local agency. As the more the LGPS had been successful in triggering and sustaining the actual local agency; the more they had contributed to the actual outcomes of DAKAP, during its life-time, in the localities they functioned. Finally, as the more the LGPs had been successful in contributing to the maintenance of the sustainable local agency; the more they had contributed to the sustainable outcomes of DAKAP, after its end, in the localities they functioned.

So, the case study on DAKAP provides a notable support for the relevance of the analytical model in Chapter 7, which was developed about the influences of LGPs on the

actual and sustainable local agency; and on the actual and sustainable outcomes of a SHD based SDP. It also supports the literature that this model was constructed upon.

Besides, as for an answer to fulfill the *major research objective*, the case study confirms that *good local governance* has *significant* positive influences on the local SHD process that is enhancement of the human well-being, building local endogenous capacities of the localities via accumulation of economic, human and social capital, and local environmental sustainability. LGPs influence the local SHD process by mediation of the actual local agency which they trigger, in the short-run; and majorly by the mediation of the sustainable agency which they contribute its maintenance, in the long-run.

As for an answer to fulfill the *second research objective* the case study also confirms that the success of the LGPs in contributing to the local SHD process is strongly related to their qualifications with respect to the endogenous and exogenous conditions of good local governance. In the case of a SHD based SDP, the success of the LGPs has significant parallelism rather with the *qualifications of their endogenous factors*, specifically with the qualifications of the face-to-face PGMs; continuity and the interstructure of the PGMs; and the performance of the steering bodies, during the lifetime of the SDP. However, the success of the LGPs in contributing to sustainable local agency and sustainable outcomes of the SHD based SDP is *more* related to the *qualifications of the exogenous circumstances localities* (relatively higher development of the urban civil society) in the localities, after the SDP.

In order to fulfil the *third research objective*, some general conclusions may also be synthesized from the results of the case study about the *participative development perspective*. Then, it can be first concluded that the success of a participative subnational development practice (a program or project) is related to the following endogenous conditions:

- Continuous progress of a good LGP via face-to-face PGMs which would keep the steering bodies and the participant local actors in continuous face-to-face contact, and deliberation and cooperation;
- Penetration of the good LGP to the whole space of the implementation area with a properly patterned interstructure of PGMs.

These two conditions lead a synthetic conclusion that an *institutionalized* (or *semi-institutionalised*) LGP progressing continuously via a properly patterned interstructure of

PGMs would be quite helpful to the success of a participative subnational development practice. In such an LGP the *face-to-face PGMs* should have the following *endogenous conditions*:

- Inclusive, equitable and appropriate participant selection which would provide the participation of the widest possible range of local target groups with appropriate representatives;
- Horizontal interaction and open communication atmosphere which would provide the participants with a non-didactic, multi-way information and opinion flow; a sufficient and equal opportunity to voice their needs and preferences; and to deliberate and compromise upon common development goals freely and equitably;
- Sufficient and equitable empowerment of the participants with equal vote on the final decisions;
- Sufficient empowerment of the PGMs via reflection of their collective decisions to the design of the project implementations; and to the planning of the whole participative local development process, in accord with the compromised local needs and preferences.

In addition, for the success of a participative subnational development practice the steering bodies should spend sufficient efforts to keep in touch with a wide range and number of local target groups and stakeholders continuously, even in cases where a well-functioning interstructure of PGMs doesn't exist. So, the experts and officials of the steering bodies should be active, patient and insistent on reaching a variety of local target groups and attracting them to the process. They have to pay attention to carry on qualified (equitable, transparent, accountable, legal-ethical, responsive, compromise building, strategic, efficient and effective) governance relations with them, throughout the stages of the process. They should also provide them with qualified technical knowledge and supervise them towards strategic goals of the general development strategies, like SHD, while deliberating and deciding on the project implementations.

These duties necessitates that the experts and officials of the steering bodies should be talented enough in face-to-face human interactions and communication; experienced in steering the face-to-face governance mechanisms; and advocated to human development. They must also be qualified and experienced enough in the interdisciplinary area of

participative local development; and in translating the strategic goals and principles of the general development strategies, into the particular conditions of the localities.

DAKAP case suggests that a participative subnational development practice *does* provide the participant local individuals and groups with considerable levels of benefits; and *does* contribute to the endogenous capacities of their localities up to an extent, as long as it involves a sufficiently qualified good LGP. The qualifications of the endogenous factors of the LGPs; attitudes, manners, communication and cooperation of the participant local actors; the role of the steering bodies and specifically the performance of the steering experts are quite important in the success of the program or project, during its life-time.

But, DAKAP also suggests that a participative subnational development program or project does not necessarily provide the sustainability of the subnational development after its end, even it involves a good LGP. After the program or project ends the exogenous circumstances, more specifically the local and national structural (economic, sociopolitical and institutional) conditions become more determinant on the fate of the local development. In fact, these conditions usually prevent or complicate the sustainability of the local development, specifically in the localities where chronic scarcity of economic (financial/physical) and human resources prevails; and the sustainable local agency is limited because of the premature characteristics of the local entrepreneurship, civil society and partnership networks. So, despite providing the participation of all three sectors (public, private and civil society) to the process is crucial in both the short and the long-run success of a participative SDP; the involvement of the *local/regional public authorities* to the subnational development process is specifically important in the long-run, for supporting, coordinating and steering the initiatives and activities of the private sector and civil society actors towards strategic long-term development goals.

LGPs (PGMs and project partnerships) may not be employed only in participative subnational development practices, but also in participative local public administration; or in execution of some common local public tasks and projects, by partnerships of local public, private and civil society actors. Then, in order to fulfil the *fourth research objective*, first the mentioned conclusions about the success of the participative subnational development practices may be generalized for participative local public administration processes and steering of local partnership networks.

Consequently, an *institutionalized* (or *semi-institutionalised*) LGP which would keep the local public administrators/officials, and the local private sector and civil society actors in continuous contact, deliberation and cooperation on common public concerns/tasks will also be valuable in participative local administration. This LGP should rather progress via a patterned series of “mini-public” affairs (meetings, public hearings) which gather citizens face-to-face in concrete venues to discuss and decide matters of public concern (Fung 2003; 2006) related to local public administration or some common public tasks and goals to be fulfilled by partnerships of local public, private and civil society actors.

Now that *locality* implies short distances which human beings may see and hear each other, *local governance* implies face-to-face communication and interactions taking place in such mini-public venues. Face-to-face PGMs (meetings, negotiations) are possible and useful in governance relations at higher spatial levels. But locality brings an advantage in this aspect, which is incomparable to higher spatial levels of governance. In fact, the real power and dynamism of local governance comes from the chance of continuous face-to-face communication and interactions among the diverse local actors of the same livelihood in mini-public affairs.

So the qualifications of these mini-public affairs and the face-to-face interactions and communication is specifically critical in LGPs. These mini public affairs should reflect the same good governance qualifications as the PGMs of a participative subnational development: inclusive and appropriate participant selection; open and horizontal interaction and communication atmosphere with a multi-way information and opinion flow; sufficient and equal voice for each participant to deliberate and compromise upon common public issues; and equal vote on the final decisions.

As far as the inclusiveness of the participant selection increases; and the private and civil society participants are provided with equal voice and vote in these mini-public venues (PGMs), their doubts about the legitimacy and equitability of the local public policies will be overcome. This also necessitates that these PGMs should have the sufficient power to shape (or sufficiently influence) the local public policies and implementation methods, in accord with the collective decision outcomes and towards common concerns of the public. This would provide the public with the feeling of consensus and control in public administration. The effective implementation of the local public policies rests upon many factors, specifically in local development issues. But

cooperation of the local private sector and the civil society in partnerships, will provide the local authorities with a higher chance for effective implementation of the local public policies.

The role of the public administrators/officials in such mini-public meetings is critical as steering actors. The responsibilities of the experts of a subnational development practice are on the shoulders of the local public administrators/officials in this case. So, the local administrators and officials should be active, patient and insistent on reaching and attracting a variety of local private and civil society actors to the process. They should supervise them sufficiently with clear and qualified legal and technical knowledge about the common local public matters and tasks. They also have to pay attention to the normative criteria of good governance (equitability, transparency, accountability, obedience to legal-ethical codes, responsiveness, compromise building, efficiency and effectiveness) in their relations with them, continuously.

Again all these responsibilities that the local public administrators and officials should have the sufficient capacities in carrying on good local governance relations. They should be talented enough in face-to-face human interactions and communication; and experienced in steering the face-to-face governance mechanisms. They should also have the sufficient legal-technical knowledge in participative local administration and policy-making; and in the specific local public matters and tasks.

On the other hand, capacities of the local civil society and the private sector are also important in good local governance. So, local public authorities should spend the sufficient efforts to improve the infrastructure, integrity and institutional capacities of the local civil society and private sector; and improve the individual capacities of the representatives of local NGOs, QUANGOs and SMEs, in face-to-face communication, deliberation and cooperation, participative public administration, good governance, multi-level governance and partnership networks, and project management.

As stated before, steering activity has a central and critical role in real-life governance processes. And in fact this steering role is usually performed by the government officials or public administrators, specifically in participative public administration and policy-making.

Besides, governance rather denotes a participative *steering* process towards compromise and cooperation (partnership) of diverse actors for achieving common tasks

or goals. This definition involves some basic definitive elements for governance. First it simply implies a process whose inputs are actors with diversities (diverse needs, interests, expectations etc.); and the output is a partnership to cooperate. Cooperation necessitates compromising on some common goals and/or methods via communication and deliberation. So the primary duty of a steering actor is bringing diverse actors together via some PGMs to deliberate and compromise on common goals and/or methods.

On the other hand, the level of the steering in a PGM is a problem: that is what the steering body will do, after bringing the people together. Watching the participants compromise and determine their goals on their own is a choice. Choosing a goal that is “what to do” in their name, but letting them to determine the methods that is “how to do” or how to reach the goal together, is another. Logically the vice versa is also a choice (although it is not practical) that is predetermining how to do and letting the others to choose what to do.

For Amartya Sen, *agency* is to be capable of choosing both. An agent ought to be in control of the whole process of determining the goals and methods of a process related to his/her life and livelihood (Sen 1985; 1988; 2004). This implies his/her *process freedom* as Sen (2002) calls it. In addition, agency implies having the power to achieve the goal, which means *agency freedom* (Sen 1988). Sen believes that providing the people with process freedom would let them determine the most valued goals in accord with their rational and autonomous choices; and the most proper methods to achieve their goals. So, people’ process freedom improves their agency freedom, as well.

On the other hand, compromise and cooperation of diverse actors doesn’t come automatically after every deliberation. Specifically in the stratified real-life societies or communities (usually urban ones), waiting for the participants of a PGM -who have diverse and sometimes conflicting interests- to compromise and determine their common goals on their own may not be a feasible choice most of the time. So, as Kooiman (1993), Rhodes (1996), and Brown and Ashman (2004) emphasize, the intentional interference of a steering actor (usually the government agents) is important in this process. In fact, existence of a steering actor may be very advantageous and functional in moderating the deliberations and articulating the diverse interests of the participant actors around a compromise on common solutions, goals and tasks. This is indeed what governance is.

In most actual governance processes, the steering actors initiate the processes with some predetermined goals to achieve. But these goals should be broad enough to address and articulate the particular interests of all participants, in this or that way. The virtuosity of the steering actor specifically hides behind the choice of the proper goals; and effective presentation of these goals in the most proper way to persuade the other stakeholders about the virtue of these goals for the common good, and to earn their advocacy for them. He/she must also persuade them about the virtue of cooperation and the synergy of partnerships.

On the other hand, the steering actor must be open and pliant enough to review the goals in accord with the preferences of the particular stakeholders up to an extent, without losing the others' consent and advocacy. Finally, determining the "how to" part should be made collectively and participatively, so that in the end of the process every party would have the feeling of consensus and collective control over the final decisions; and be ready for cooperation.

Then it is clear that governance is *not a way of radical direct democracy*; and the output of a governance process is *not a perfect collective agency* of the participants. It adopts a milder way of participative democracy.

From another viewpoint, *governance relations* may even be seen as the means of *hegemony* in favour of the global elites and the upper classes of the societies, in the post-Fordist and neo-liberal world of the early 21st Century. Especially the multi-level, global governance relations are supposed to spread the hegemony of the dominant classes from the global down to the subnational levels of the societies; and articulate the localities to the upper levels, by providing the consent of the participants of the partnership networks. So the participatory character of governance is in fact a mean for creating the consent of the local people against the hegemonic global relationships.⁵

Besides, actual governance processes are open to corruptions; and steering actors may cause biasness in favour of the advantageous and powerful stakeholders coming from the upper classes. In fact this is one of the most criticized aspects of governance relations; and this is why the governance processes necessitate obedience of all

⁵ Jessop (2005) relates governance to the post-Fordist accumulation regime, as its relevant mode of regulation. He thinks that the multi-level governance processes are basically designed to suit the decentralized and complex socioeconomic relations of the post-Fordist world, from the local up to the global levels. Governance processes articulate the localities under a global *hegemonic block*. In fact, the decentralized and devolved governancial structures and processes become more and more inevitable for spreading the global hegemony to the lowest level -localities- of the society, as the deregulated and complex structure of the post-Fordist society dominates (Jessop 2005: 353-355, 361-362).

stakeholders and the steering actors to a series of normative good governance criteria. Moreover, they should involve a continuous participative monitoring cycle (implementation-monitoring- review of goal and method-implementation) both as a check and balance mechanism among the stakeholders; and for effectiveness of the partnership.

Nevertheless, governance processes may provide a better and wider participation to the public administration, specifically at the local level. In fact, today there is a debate on the crisis of liberal representative democracies (Keyman 1999). Liberal parliamentary system is found to be inadequate to reflect the preferences of various sectors of the society to the political decision-making and the public policies. So, some new approaches for improving the political participation of the people and the civil society are being discussed, like *deliberative democracy* and *agonistic democracy*.

Following the results of the case study on DAKAP, it can be suggested that institutionalized LGPs which would progress in accord with the principles of good governance, and penetrate to the whole local administrative areas via inclusive, equitable, powerful and face-to-face PGMs may successfully serve for a better and wider popular democratic participation to local politics and public administration. So, good local governance may be a relatively better and proper solution in the name of local participative democracy.

Despite the supervision of the steering actors, PGMs may sometimes generate unfeasible decisions; and LGPs may lead ineffective approaches to local problems and inefficient use of resources.⁶ But from another point of view, the opportunity of making such wrong collective decisions in PGMs may be counted as a well-being achievement for local people as an exercise of participative democracy; although they may cause losses in economic welfare. Participative democracy is a learning process. People may and should make mistakes while learning to make the right decisions and choices, in their path towards a participative democracy. So each wrong outcome of a participative decision-making process may be seen as a lesson (thus as an achievement) in the name of participative democracy.

⁶ Examples of such cases are seen in DAKAP, as some of the decisions of İKKs for initiating some unfeasible projects, like the one on conveying the geese and *çisil* cheese production to the national market; and on fresh water fish breeding, in Çıldır, Susuz and Şenkaya. The wrong decisions of İKKs brought ineffective solutions to economic problems and inefficient use of resources for wrong projects.

As stated before, *new subnational development policies* basically adopt the participative development perspective. So, in order to fulfil the *fifth and the last research objective*, the conclusions about the participative subnational development practices discussed above may also be generalized as lessons for the new subnational development policies. Besides, results of the case study on DAKAP can also lead some critical conclusions about the *new developmentist perspective* which underlies the new subnational development policies.

Then it can be concluded that the new developmentalist perspective *over-emphasize* the role of the *soft instruments* in subnational development. Accumulation of human and social assets in the localities by soft instruments is definitely important for sustainable economic and human development. As Çakmak (2006: 360-361) states a series of old type of subnational development practices based on entirely the classical hard instruments, like financial and physical public investments in industry and agriculture; and incentives for fostering the private sector investments in the region, couldn't resolve the socioeconomic problems, and accelerate the economic and human development in Eastern Anatolia. So soft instruments based on knowledge and trainings which would improve the human and social capacities, and provide the advocacy and entrepreneurship of the local people had been a necessity in the region, for decades of time.

However, the need for soft instruments should not cast out the sufficient use of hard instruments, in subnational development practices. Especially in the regions and localities where a chronic scarcity of capital assets and resources prevails, a balanced accumulation of financial, physical, human and social assets has a vital importance. In such cases, there is a need for the use of more amounts of hard instruments to accelerate economic development and accumulate the sufficient amount of economic capital which would complement and support the accumulated human and social capital towards sustainable economic and human development, in the localities.

Now that DAKAP was a SHD based program supported by UNDP, the results of the case study on DAKAP can also lead some critical ascertainments on the subnational development policies of UNDP. First, the above criticism which is argued about the over-emphasis of the new subnational development policies on soft instruments is valid for UNDP's subnational development policies, too.

Secondly, the policy of creating admirable and repeatable *shining examples* which UNDP emphasizes may not function in subnational cases, like the North-Eastern Anatolia where chronic scarcity in all types of capital assets has prevailed for decades. In such cases, the resources of development programs should not be used too selectively for supporting a very limited number of selected economic sectors and entrepreneurs, as specifically seen in the DAGIDES case. On the contrary, a wide range of economic sectors, which could complement each other in order to lead a sustainable accumulation of economic capital; and sustainable economic and human development, should be supported sufficiently and equitably.

As a third critical ascertainment, UNDP policies over-emphasize the importance of localities and thus LGPs, in regional development practices. However, although there is still an inevitable necessity of establishing LGPs in all localities of the region; the region-wide coordination of the LGPs and the local activities is also important in regional development practices. Then, establishment of a continuous and good regional governance process is also necessary for effective coordination of the LGPs and local implementations, during the life-time of a UNDP supported regional development practice. So, UNDP policies should consider establishment of an institutionalized regional governance mechanism complementing the LGPs; or cooperating with the already existing institutional RDAs for the coordination of the LGPs, during the life-time of a regional development program or project. This aspect is quite important for both the short-term and sustainable success of the regional development practice.

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APPENDIX A

THE QUESTIONS LEADING THE SEMI-STRUCTURED INTERVIEWS

A) General Questions

1. In the preliminary stage of KKKP/DAGIDES/DATUR;
 - a) What type of participative governance mechanisms (one-to-one negotiations, public hearings, campaigns, consultation meetings, and the like) were employed?
 - b) In what extent was DAKAP and KKKP/DAGIDES/DATUR announced and presented to the public and to the local target groups?
 - c) In what extent were the principles and priorities of DAKAP presented?
 - d) In what extent were the local target groups mobilized by the presentation campaigns and/or meetings?
 - e) In what extent was the advocacy of the local target groups and stakeholders provided to the Program and its principles?

2. In the planning stage of KKKP/DAGIDES/DATUR;
 - a) What type of participative governance mechanisms (one-to-one negotiations, public hearings, consultation meetings, and the like) were employed?
 - b) Did a wide range and number of local target groups attend the meetings?
 - c) Did the participant grassroots institutional actors have the representative capacity? Were they the right choices to represent their grassroots?
 - d) Was the interactions and communication atmosphere in the meetings horizontal and friendly?
 - e) Was multi-dimensional opinion and information flow possible?
 - f) Did the participants have the equal opportunity to voice their needs, demands, priorities and preferences freely and sufficiently?
 - g) Did the participants find the opportunity to deliberate the issues sufficiently?
 - h) Did the participants have equal and free vote on the final decisions?
 - i) Were the decisions made on compromise of the participants? If yes, in what extent?

- j) In what extent did the collective decisions influenced the shaping of the project implementaitons; that is objective-making, budgeting and instruments of the projects?
3. a) Did the PGMs last from the beginning of the planning stage until the end of the implementations of DAKAP?
- b) Did they provide a continuous face-to-face contact and deliberation among the steering bodies, local public authorities, public and private stakeholders, and the other individual and institutional participants? c)
4. a) How do you evaluate the actual project outcomes of KKKP/DAGIDES/DATUR with respect to their contributions to the economic conditions of the local target groups? Did they
- i. improve the individual capacities of the entrepreneurs and producers?
 - ii. provide them with fresh technologies, and financial/physical resources?
 - iii. lead establishment of new enterprises?
 - iv. lead an increase in the productivity of local producers?
 - ii. provide them with income rises and/or income opportunities?
- b) How do you evaluate the actual project outcomes with respect to their contributions to the economic capacities of the whole local community?
- b) How do you evaluate the training projects? Did they sufficiently provide the participants of the local target groups with the qualified knowledge and skills, in accord with their needs and preferences?
- c) How do you evaluate the actual project outcomes with respect to their contributions to the health conditions and education opportunities of the local target groups?
- d) How do you evaluate the actual project outcomes with respect to their contributions to the local organizational infrastructure, civil society, development of an entrepreneurial, deliberative and cooperative culture, and partnership networks; and participation of the target groups to the local public administration?
- e) How do you evaluate the actual project outcomes with respect to their contributions to the awareness of the local people on environmental issues; sustainable use of the natural resources; and protection of the nature?

f) How do you evaluate the actual project outcomes with respect to their contributions to the civic, socioeconomic, organizational and political conditions of the disadvantaged target groups (the poor, the disabled, women, youth, etc.)?

Did the project outcomes

- i. provide them with income rises and/or new employment and income opportunities?
- ii. provide them with fresh personal knowledge and skills?
- iii. provide them with new infrastructure, health and education/training facilities and services?
- iv. improve their conditions in public and economic life?
- v. promote and support them to get organized?
- vi. increase their participation to the local public administration?

5. How do you evaluate the *sustainable outcomes* of DAKAP, after it ended?
 - a) In what extent were the assets and resources provided by project implementations maintained, in the localities?
 - b) Did the stakeholders of DAKAP process go on with new beneficial development projects?
 - c) What were the benefits of these new projects to the local communities?
6. How do you evaluate the monitoring process? Was there a simultaneous monitoring process for evaluating and reviewing the project implementations? If yes was it participative and effective?
7. What were the most successful and the most unsuccessful aspects of DAKAP?
8. After 4 years' time what would you like to say about DAKAP?

B) Specific Question to the Civil Society Representatives and the Ex-members of the Steering Bodies

9. How do you evaluate the attitudes and manners of the local public administrators and officials in the local governance process (LGP) during KKKP/DAGİDES/DATUR?
 - a) Did they empower the steering bodies sufficiently to carry on the LGPs and implementations autonomously?

- b) Did they behave in a horizontal, open, deliberative and compromising manner in the face-to-face PGMs?
- c) Were they transparent? Did they share some necessary information with the steering bodies and the participants of the face-to-face PGMs?
- d) Were they open and responsive to the demands of the steering bodies and the participants of the face-to-face PGMs?
- e) Did they show respect to the final decisions of the PGMs?
- f) Did they sufficiently cooperate in the project partnerships and implementations?
- g) Did they provide the necessary public resources for the project implementations?

C) Specific Questions to the Civil Society Representatives

10. Were you invited to a meeting or one-to-one negotiation by DAKAP Coordination, in the beginning of DAKAP? If not by which means did you learn about DAKAP?
11. How do you evaluate the success of the steering bodies in announcement and presentation of DAKAP, its principles and priorities?
12. In what extent did you embrace these principles and priorities; and advocate to DAKAP?
13. Did you pay specific effort to announce DAKAP and its implementations to the grassroots of your organization?
14. How do you evaluate the advocacy and participation of your grassroots to DAKAP?
15. How did you find the interaction and communication atmosphere in the negotiations, meetings, councils etc.? Did you find the opportunity to voice and negotiate upon the needs, priorities and preferences of your grassroots?
16. How do you evaluate the manners and performance of the steering experts/officials in the meetings, councils, etc.?
 - a) Were they friendly and horizontal in their behavior; and successful in communicating with you?
 - b) Were they open to listen to your opinions, demands and preferences?

- f) Were they responsive to your demands? Did they produce some specific solutions to your problems?
- g) Did they provide you with the necessary information that you needed?
- h) Did they provide you a sufficient technical supervision while making decisions, in order for feasible and effective project designs?
- i) Did they spend the sufficient effort to resolve the conflicts among participant parties and to build compromise on the objectives and instruments of the projects?
- j) Were they successful in using time and other resources efficiently?
- k) Were they effective in leading the participants towards the strategic priorities and goals of DAKAP?
- l) Did they provide you with equal vote on the final decisions?
- m) Did they shape the project implementations in accord with the collective decisions?

17. Did you (you organization) participate to the project partnerships with the steering body and/or the other stakeholders? If yes how do you evaluate the manners and performance of the steering experts in project partnerships and implementations

- a) Were they cooperative and helpful with you and the other stakeholders?
- b) Were they respectful to the legal-ethical codes? Did any degeneration or legal conflict take place between the steering body and the other stakeholders?
- c) Were the experts efficient in using the money and the other resources during the project implementations?
- d) Were the experts equitable in allocating the resources of DAKAP among the local target groups and stakeholders?

18. How do you evaluate the actual outcomes of the project implementations with respect to the needs and demands of your grassroots? In what extent did they provide your grassroots with considerable benefits?

19. What benefits were maintained after DAKAP, up to today, in favor of your grassroots and your local community?

APPENDIX B

THE LIST OF THE INTERVIEWEES

No	Locality			Interviewee		
	Province	District	Town/ Village	Nickname	Position during DAKAP	Current Position (2010)
DAKAP PROGRAM AND DAGİDES COMPONENT						
1	Ankara	Center		Development Expert 1	Development Expert (SÜRKAL)	Chair (SÜRKAL)
2	Ankara	Center		Development Expert 2	Development Expert (UNDP)	Lecturer (METU)
3	Erzurum	Center		Academician 1	DAKAP National Coordinator	Faculty Member (AÜ FA Agricultural Econ.)
4	Erzurum	Center		Academician 2	DAKAP National Director	Faculty Member (AÜ FEAS Economics)
5	Erzurum	Center		Academician 3	DAKAP Coordination Member	Faculty Member (AÜ FE Chem. Engineering) Chair (MESİNDER)
6	Erzurum	Center		Research Assistant 1	DAKAP Coordination Member	Research Assistant (AÜ Res. and Train. Cen. for Entrepren.)
					Erzurum GİDEM Member	
7	Erzurum	Center		Research Assistant 2	DAKAP Coordination Member	Research Assistant (AÜ FEAS Economics)
8	Erzurum	Center		University Official 1	DAKAP Coordination Member	University Official (AÜ)
9	Erzurum	Center		NGO Representative 1	Chair (ER-KADIN)	Chair (ER-KADIN)
10	Erzurum	Center		NGO Representative 2	Chair (DATÜB)	Chair (DATÜB)
11	Erzurum	Center		NGO Representative 3	Chair (TKB Erzurum Br.)	Chair (TKB Erzurum Br.)
12	Erzurum	Center		NGO Representative 4	Chair (White Cane Visually- Impaired Ass.)	Chair (White Cane Visually- Impaired Ass.)
13	Erzurum	Center		NGO Representative 5	Chair (TSD Erzurum Br.)	Chair (TSD Erzurum Br.)
14	Erzurum	Center		NGO Representative 6	Chair (6 Dots Blind People's Ass. Erzurum Br.)	Chair (6 Dots Blind People's Ass. Erzurum Br.)
15	Erzurum	Center		NGO Representative 7	Board Member (Erzurum Youth Ass.)	Chair (Erzurum Youth Ass.)
16	Erzurum	Center		NGO Representative 8	Chair (Erzurum Youth Ass.)	General Secretary (Erzurum Youth Ass.)
17	Erzurum	Center		NGO Representative 9	Chair (Ass. for Helping School Age Students)	Board Member (Ass. for Helping School Age Students)

No	Locality			Interviewee		
	Province	District	Town/ Village	Nickname	Position during DAKAP	Current Position (2010)
18	Erzurum	Center		QUANGO Representative 1	Chair (ESOB)	Chair (ESOB)
19	Erzurum	Center		QUANGO Representative 2	General Secretary (ESOB)	General Secretary (ESOB)
20	Erzurum	Center		QUANGO Representative 3	EU Project Support Office (ETSO)	-
21	Erzurum	Center		QUANGO Representative 4	-	PCM Expert (ABIGEM-ETSO)
22	Erzurum	Center		Union Representative 1	Board Member (Eğitim Sen Erzurum Br.)	Law Secretary (Eğitim Sen Erzurum Br.)
23	Erzurum	Center		Union Representative 2	Board Member (Eğitim Sen Erzurum Br.)	Member (Eğitim Sen Erzurum Br.)
24	Erzurum	Center		Union Representative 3	Chair (Türk-İş 9. Region Deputyship)	Chairman (Türk-İş 9. Region Deputyship)
25	Erzurum	Center		Worker 1	Shepherd Natural Gas Plumbers Trainee	Installation Director (Platin Natural Gas)
26	Erzurum	Center		Worker 2	Natural Gas Plumbers Trainee	Plumber (Platin Natural Gas)
27	Erzurum	Center		SME Owner 1	SME Owner (Platin Natural Gas)	SME Owner (Platin Natural Gas)
28	Erzurum	Center		SME Owner 2	Participant of Entrepreneurship Dev. Training (Hamarateller Restaurant)	SME Owner (Hamarateller Restaurant)
29	Bayburt	Center		Public Official 1	PCM Trainers Trainee	Director (Governorship Planning Coor. Directorate)
					PCM Instructor	Board Member (BEKDER)
					Director (Governorship Planning Coor. Directorate)	Member (BŞYD)
30	Bayburt	Center		NGO Representative 10	Province Director of Culture and Tourism	Board Member (BŞYD)
					PCM Trainee	
31	Bayburt	Center		NGO Representative 11	Chair (BVSD)	Accountant (BVSD)
32	Bayburt	Center		NGO Representative 12	Board Member (TSD Bayburt Br.)	Board Member (TSD Bay.Br.)
33	Bayburt	Center		NGO Representative 13	Chair (Bayburt Beekeepers Union)	Chair (Bayburt Beekeepers Union)
34	Bayburt	Center		QUANGO Representative 5	General Secretary (after 2005) (BTSO)	General Secretary (BTSO)
35	Bayburt	Center		QUANGO Representative 6	Chair (up to 2005) (BTSO)	Member (BTSO)
36	Bayburt	Center		QUANGO Representative 7	General Secretary (BESOB)	Secretary General (BESOB)

No	Locality			Interviewee		
	Province	District	Town/Village	Nickname	Position during DAKAP	Current Position (2010)
KKKP COMPONENT						
37	Kars	Center		Development Expert 3	Development Expert (SÜRKAL)	Project Director (SÜRKAL)
38	Kars	Center		Development Expert 4	Development Expert (SÜRKAL)	Development Expert (SÜRKAL)
39	Kars	Susuz		Public Official 2	İKK Member	Director of Public Training Center
					Director of Public Training Center	Chair (Susuz-Çılavuz Development Ass.)
40	Kars	Susuz		Public Official 3	İKK Member	Folkdance Instructor (Public Training Center)
					SÜRKAL District Dev. Official	Member (Susuz-Çılavuz Development Ass.)
41	Erzurum	Şenkaya		NGO Representative 14	İKK Member	Member (Şenkaya Wildlife Protection Ass.)
					Member (Şenkaya Wildlife Protection Ass.)	Founder Member (Şenkaya Ecological Agriculture Ass.) Founder Member (Şenkaya Development Ass.)
42	Erzurum	Şenkaya		NGO Representative 15	İKK Member	Member (Şenkaya Wildlife Protection Ass.)
					Member (Şenkaya Wildlife Protection Ass.)	Founder Member (Şenkaya Ecological Agriculture Ass.) Founder Member (Şenkaya Development Ass.)
43	Erzurum	Şenkaya	İkizpınar	Village Headman 1	İKK Member	Village Headman Founder Member (Şenkaya Ecological Agriculture Ass.)
					Village Headman	Founder Member (Şenkaya Develop. Ass.)
44	Erzurum	Olur		Public Official 4	İKK Member	District Director of Agriculture
					Official (District Agriculture Directorate)	
45	Erzurum	Olur		Technician 1	İKK Member	Agriculture Technician
					SÜRKAL District Dev. Official	
46	Ardahan	Çıldır		NGO Representative 16	Chair (Çıldır Education Support Ass.)	Chair (Çıldır Education Support Ass.)
47	Ardahan	Çıldır	Öncül	Village Headman 2	Village Headman	Village Headman
48	Ardahan	Çıldır	Öncül	Peasant 1	Project Council Member	Peasant

No	Locality			Interviewee		
	Province	District	Town/Village	Nickname	Position during DAKAP	Current Position (2010)
49	Ardahan	Çıldır	Aşık Şenlik	Mayor 1	İKK Member	Mayor (Aşık Şenlik) (Çıldır)
					Mayor (up to 2005) (Çıldır)	
					Board Member (Çıldır Lake Prot. and Reg. Ass.)	Board Member (Çıldır Lake Prot. and Reg. Ass.)
50	Kars	Arpaçay	Doğruyol	SME Owner 3	SME Owner (Şanar Trout Ent.)	SME Owner (Şanar Trout Ent.)
					Member (Doğruyol Fishery Coop.)	Chair (Doğruyol Fishery Coop.)
DATUR COMPONENT						
51	Erzurum	İspir		NGO Representative 17	Chair (İspir Outdoor Sports Ass.)	Chair (İspir Outdoor Sports Ass.)
52	Erzurum	İspir		QUANGO Representative 8	Chair (İspir Chamber of Tradesmen and Artisans)	Chair (İspir Chamber of Tradesmen and Artisans)
53	Erzurum	İspir	Sırakonaklar	Village Headman 3	Village Headman	Village Headman
54	Artvin	Yusufeli		SME Owner 4	SME Owner (Arjantin Hotel)	SME Owner (Arjantin Hotel)
55	Artvin	Yusufeli		NGO Representative 18	Chair (Yusufeli Outdoor and Water Sports Club)	Chair (Yusufeli Outdoor and Water Sports Club)
					SME Owner (Greenpeace Camp.&Pension)	SME Owner (Greenpeace Camp.&Pension)
56	Artvin	Yusufeli		SME Owner 5	Development Expert	SME Owner
						Chair (Ass. for Appraising Local Assets and Women's Labor)
57	Artvin	Yusufeli		QUANGO Representative 9	Chair (Yusufeli Cham. of Tradesmen and Artisans)	Chair (Yusufeli Cham. of Tradesmen and Artisans)
58	Artvin	Yusufeli		NGO Representative 19	Chair (Yusufeli Rafting and Mountaineering Club)	Chair (Yusufeli Rafting and Mountaineering Club)
59	Erzurum	Uzundere		Development Expert 6	DAKAP-DATUR Coordinator (up to 2004) (UNDP)	Development Expert, DATUR II Coordinator (UNDP)

APPENDIX C

CURRICULUM VITAE

PERSONAL INFORMATION

Surname, Name: Özdemir, Gökçen
Nationality: Turkish (TC)
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EDUCATION

Degree	Institution	Year of Graduation
MS	METU Sociology	2003
BS	METU Economics	1997
High School	Demir Çelik High School, Karabük	1989

WORK EXPERIENCE

Year	Place	Enrollment
2006- Present	Central Bank of Republic of Turkey	Specialist
1997-2006	Central Bank of Republic of Turkey	Assistant Specialist

FOREIGN LANGUAGES

Advanced English

PUBLICATIONS

HOBBIES

Music, Cinema, Aikido

APPENDIX D

TURKISH SUMMARY

Bu tezin temel amacı, *iyi yönetişimin yerel-bölgesel düzeyde sürdürülebilir insani gelişmedeki yeri ve önemi* konusunda bir araştırma yapmaktır. Daha özelinde, bu tez iyi *yerel yönetim süreçlerinin* (YYS), sürdürülebilir insani gelişme (SİG) stratejisini benimseyen yerel-bölgesel kalkınma pratiklerine (program ya da proje uygulamalarına) yaptıkları katkıları araştırmaktadır.

SİG temelli yerel-bölgesel kalkınma pratikleri (YKP), uygulandıkları alanlarda bir yandan hedef toplumsal grupların *esenliklerini* (well-being) artırırken; ¹ diğer yandan da yerel-bölgesel kapasite gelişimine katkı yapmayı, yani yerelerde iktisadi (finansal, fiziksel ve teknolojik), insani ve sosyal sermaye birikimini artırmayı ve çevresel sürdürülebilirliği hedeflerler. Böylece SİG temelli YKP'ler, uygulama alanlarında bir yandan *insani kalkınmayı*, diğer yandan da insani kalkınmanın *sürdürülebilirliğini* sağlamayı amaçlarlar.

Bu çerçevede, SİG temelli bir YKP'den henüz proje uygulamaları devam ederken beklenen *kısa dönemli sonuçlar* (*actual outcomes*), yerel hedef gruplarına somut refah kazanımları (achievement) sağlamak; bireysel ve kolektif yapabilirlikleri (capabilities) ve failliklerini (agency) artırarak onları güçlendirmek (empowerment); yerelerde iktisadi, insani ve sosyal sermaye birikimini artırırken, çevresel sürdürülebilirliği sağlamak; böylece yerel halkın kendi iktisadi ve insani gelişimlerini sürdürebilmeleri için gerekli olan kapasite birikimine katkı yapmaktır. SİG temelli bir YKP'den *uzun dönemde beklenen sonuçlar* (*sustainable outcomes*) ise yerel halkın edindikleri yeni kapasiteler ve kaynakları değerlendirerek yeni refah kazanımları elde etmeye; yapabilirliklerini ve failliklerini (katılım ve kontrollerini) geliştirmeye; yerellerindeki sermaye birikimini artırmaya ve çevresel sürdürülebilirliği sağlamaya devam etmeleridir.

¹ Esenlik (well-being), Amartya Sen'in bir kavramıdır. Sen'e göre esenlik yalnızca kendine maddi refah ve doyum (utility) getiren *kazanımlar* (achievements) ile ilgili değildir. Bireyin esenliği, kazanımları kadar *yapabilirliklerine* (capabilities); diğer bir deyişle kendisine refah ve doyum getirebilecek *fırsatları* seçme ve onlara ulaşma kapasitesine ya da özgürlüğüne (opportunity and well-being freedoms) bağlıdır (Sen 1985; 1988; 2002; 2004).

Bu tezde yönetim, katılım, uzlaşma ve işbirliğine dayalı bir *yönlendirme sürecini* (steering process) ifade etmektedir. Dolayısıyla yönetim, yönlendirici bir aktörün (kişi ya da kurum) kamu, özel ya da sivil toplumdaki gelen diğer paydaşları ortak amaç ya da görevler doğrultusunda ortaklıklar oluşturmak üzere bir araya getirdiği bir süreci anlatır.

SİG temelli bir YKP’de yönlendirici kurum(lar), *yerel yönetim süreçleri* (YYS) aracılığıyla yerel halkın proje uygulamalarının planlanması ve uygulanmasına katılımlarını sağlamayı hedefler(ler). YYS’lerin, YKP sürecine birincil ve doğrudan katkısı, yerel hedef gruplar ile kurumsal ve bireysel aktörlerin *failliklerinin*, yani projelerin planlama ve uygulanmasında *katılım, kontrol* ve *işbirliklerinin* sağlanmasıdır.² Yerel hedef gruplar ve aktörlerin failliklerinin, proje uygulamalarının; dolayısıyla SİG temelli YKP’nin kısa ve uzun dönemli sonuçlarının üstünde (yani yerel-bölgesel sürdürülebilir insani kalkınma açısından) olumlu katkılarının olması beklenmektedir. Bu açıdan SİG temelli bir YKP’de uygulanan YYS’lerin izlenmesi ve YKP sürecine yaptıkları katkıların incelenmesi, bu tezin temel amacı, yani iyi yönetimin yerel-bölgesel düzeyde sürdürülebilir insani kalkınmaya katkılarının analizi açısından doğru bir seçim olacaktır.

Bu çerçevede, bu tezin 7. Bölümünde, iyi yönetim ilkelerine uygun bir YYS’nin, SİG temelli bir YKP’nin kısa ve uzun erimli sonuçları üstünde yapması beklenen katkıları analiz etmeyi amaçlayan soyut bir *analitik model* oluşturulmuştur. Bu analitik modele göre iyi bir YYS, yerel hedef grupların ve paydaşların SİG temelli bir YKP’nin uygulama döneminde *kısa dönemli failliklerini* (actual local agency) sağlamakla kalmaz; aynı zamanda onların YKP’nin bitişinden sonra *uzun dönemli failliklerinin* (sustainable local agency) sürmesine de katkıda bulunur. Buna paralel olarak da SİG temelli YKP’nin hem *kısa* hem de *uzun dönemli sonuçları* (actual and sustainable outcomes) üstünde, yerel aktörlerin *kısa ve uzun dönemli faillikleri aracılığıyla* olumlu katkıları olur.

Öte yandan analitik modele göre YYS’nin yerel aktörlerin failliklerini sağlaması ve SİG temelli YKP’nin sonuçları üstünde olumlu etkileri olabilmesi, *iyi bir YYS* olmasına, yani iyi yönetim ilkelerine uygun işlemesine bağlıdır. Bu da *içsel* (endogenous) ve

² Faillik (agency), yine Amartya Sen’in bir kavramıdır. Etik anlamıyla faillik, bireyin kendi değerlerini ve amaçlarını kendi aklı yargılarıyla seçmesi; ve bu amaçları peşinden koşmak ve onlara ulaşmak için gerekli güce ve özgürlüğe (agency freedom) sahip olması demektir. Kısaca bireyin kendi hayatının kontrolünü elinde tutması, ya da kendi hayatının *faili* olması demektir. Failliliğin ima ettiği diğer bir husus, bireyin çevresinde kendi hayatını ve yaşam alanını etkileyen süreçlere katılım özgürlüğüne ve bu süreçler üzerinde kontrole sahip olması demektir. Bu bağlamdaki özgürlüğe Sen, süreç özgürlüğü (process freedom) demektedir (Sen 1985; 1988; 2002; 2004).

dışsal (exogenous) başlıkları altında gruplanan koşullara bağlıdır. Bunlar *iyi yerel yönetişimin koşulları* olarak adlandırılacaktır.

Modelin öngördüğü *içsel iyi yerel yönetişim koşulları*, YYS'nin iç işleyişini sağlayan bazı temel unsurların *iyi yönetişim ilkelerine uygun niteliklere* sahip olmasını gerektirir. Bu içsel unsurların iyi yönetişim ilkelerine uygun olması, YYS'nin de iyi yönetişim niteliklerine sahip olması demektir. Bu temel içsel unsurlar ve sahip olmaları gereken nitelikler aşağıda sıralanmıştır:

- i. *Yüzyüze yönetişim mekanizmalarının* (YYM) katılımcı nitelikte olması. Bu da şu koşulları gerektirir:
 - Kapsayıcı, adil ve uygun *katılımcı seçimi*;
 - Açık, özgür, adil ve yatay (hiyerarşiden uzak) bir *etkileşim* ve *iletişim* atmosferi;
 - Katılımcıların yeterli ve eşit kontrol sahibi olmaları.
- ii. YYM'lerde diğer iyi yönetişim niteliklerinin (şeffaflık, duyarlılık, hesap verebilirlik, hukuki-etik ilkelere uygunluk, adalet, uzlaşmacılık, stratejik vizyon, verimlilik ve etkinlik) sağlanması.
- iii. İyi yönetişimin SİG temelli YKP'nin bütün aşamalarında (tanıtım, planlama, uygulama, izleme ve değerlendirme); yalnızca yüzyüze mekanizmalarda değil, proje ortaklıklarında ve uygulamalarında da sürekliliğinin sağlanması.
- iv. Yönlendirici kurumların ve onların uzman ve görevlilerinin tüm YKP süreci boyunca yeterli yetki ve özerkliğe sahip olması; ve iyi yönetişim ilkelerine uygun davranmaları.
- v. Katılımcı yerel kamu yöneticilerinin ve paydaş kamu kurumlarının temsilcilerinin tutum ve davranışlarının YKP süreci boyunca iyi yönetişim ilkelerine uygun olması.
- vi. Katılımcı yerel sivil toplum ve özel sektör temsilcilerinin tutum ve davranışlarının YKP süreci boyunca iyi yönetişim ilkelerine uygun olması.
- vii. Yerel kurumsal paydaşların (kamu, özel ya da sivil toplum) ve yönlendirici kurumların, kurumsal, finansal ve insani kapasitelerinin iyi yönetişim bağlamında yeterli olması.

Öte yandan bu içsel unsurların nitelikleri de bazı *dışsal koşullar* tarafından etkilenmektedir. Bu dışsal koşullar YYS'nin iyi yönetim niteliklerinden çok, SİG temelli YKP'nin uygulandığı yerelliklerin iyi bir yerel yönetim sürecini ne ölçüde mümkün kılacağını belirler. Bu koşullar yerelliklerin özgün koşulları kadar ulusal siyasi koşullarla da ilgilidir. Modelin öngördüğü belli başlı *dışsal iyi yerel yönetim koşulları* şöyle sıralanabilir:

- i. YKP'nin uygulandığı yerel(ler)de yeterli sosyal sermayenin, yani yeterli ve güçlü bir kurumsal alt-yapıya sahip, bütünleşmiş bir sivil toplumun ve ortaklık ağlarının oluşmuş olması.
- ii. Özgün yerel siyasi koşullar; yerel kamu otoriteleriyle özel sektör ve sivil toplum arasındaki ilişkiler, tutum ve tavırlar.
- iii. Kamu yönetiminde, yerel-bölgesel yönetim katmanları lehinde siyasi ve mali adem-i merkezileşmenin yeterli ölçüde gerçekleşmiş olması.
- iv. Ulusal düzeyde siyasi, yasal ve kurumsal yapının katılımcı demokrasi, adem-i merkezileşme ve iyi yönetim lehinde dönüşmüş ve gelişmiş olması.

Sonuç olarak bu tezin, temel amacını tamamlayan *ikinci bir amacı* daha bulunmaktadır. Bu da iyi yerel yönetim koşullarının, YYS'lerin YKP içindeki başarısı üstündeki etkilerinin araştırılmasıdır. Diğer bir deyişle, bu *tezin ikinci amacı* yukarıda sıralanan iç ve dış iyi yönetim koşullarının yerel aktörlerin kısa ve uzun dönemli faillikleri ile YKP'nin kısa ve uzun dönemli sonuçları üstündeki etkilerinin analitik olarak incelenmesidir.

7. Bölümde oluşturulan ve yukarıda betimlenen analitik model, tezin iki temel amacına yönelik olarak, iyi bir YYS'nin SİG temelli bir YKP'ye yapacağı katkıların; ve iyi yerel yönetimin iç ve dış koşullarının YYS'nin başarısı üstündeki etkilerinin analizini sağlayacak uygun bir kuramsal araç olarak geliştirilmiştir. Öte yandan bu model insani kalkınmaya yapabilirlikler yaklaşımı (*capabilities approach*); yönetim kuramı ve katılımcı yerel kalkınma perspektifi konusundaki bir dizi kuramsal çalışma ile UNDP'nin SİG temelli YKP'ler alanında dünya ölçeğindeki çalışma ve deneyimlerinin derlendiği geniş bir literatürün eklenmesi adına bir kuramsal girişimdir. Ancak bu literatür daha önce iyi yerel yönetimin iç ve dış koşullarının, yerel-bölgesel düzeyde sürdürülebilir insani gelişim üstündeki etkilerinin analizi ile ilgili detaylı bir çalışma içermemektedir. Tezde geliştirilen analitik model bu bağlamda bir ilk girişimdir. Dolayısıyla hem yerel-

bölgesel sürdürülebilir insani gelişme, hem katılımcı yerel kalkınma perspektifi, hem de yerel yönetim kuramı bağlamında dikkate değer bir katkı olarak değerlendirilebilir.

Diğer yandan, katılımcı yerel kalkınma perspektifine yönelik olarak özellikle 2000'li yılların başından beri dile getirilen ciddi eleştiriler söz konusudur. Bu eleştiriler, katılımcı yerel kalkınma çalışmalarında genellikle YYS'lerin iyi yönetim bağlamındaki eksikleri nedeniyle ortaya çıkan aksaklıklara ve başarısızlıklara tepki olarak ortaya çıkmıştır. Ancak bu aksaklık ve başarısızlıkların YYS'lerin işleyişinin iyi yönetim ilkeleri çerçevesinde gözden geçirilerek iyileştirilmesi halinde çözülebileceği görülmektedir. Bu tezde oluşturulan analitik model farklı katılımcı YKP'lerin başarısızlarına neden olan yönetsel sorunların analizi ve çözülmesi açısından yararlı ve önemli bir araç olarak iş görebilir

Buna bağlı olarak, *bu tezin üçüncü amacı* tezde oluşturulan analitik modelin yardımıyla, YYS'lerin ve iyi yerel yönetimin iç ve dış koşullarının katılımcı YKP'lerin başarısı üstündeki etkileri konusunda genel sonuçlar sentezlemek; ve bunların *katılımcı yerel kalkınma perspektifi* alanındaki kuramsal imalarını ortaya koymaktır.

Yalnızca SİG temelli YKP'lerde değil, yerel kamu yönetiminde ya da yerelerde kamu alanına yönelik ortak hizmetlerin, görevlerin ya da projelerin gerçekleştirilmesini amaçlayan kamu, özel sektör ve sivil toplum ortaklıklarında da YYS'ler yer alabilirler. Bu çerçevede, tezde geliştirilen model *katılımcı yerel kamu yönetimi* ve *yerel ortaklık ağlarının idaresi* bağlamında da analitik bir işlev görecektir.

Buna bağlı olarak, *bu tezin dördüncü amacı* tezde oluşturulan analitik modelin yardımıyla, katılımcı yerel kamu yönetimi ve yerel ortaklık ağlarının idaresi bağlamında genel sonuçlar sentezlemek; ve bunların yerel yönetim ve katılımcı yerel demokrasi konusundaki kuramsal imalarını ortaya koymaktır.

Son olarak, SİG temelli YKP'ler, Birleşmiş Milletler (BM) örgütsel ailesinin UNDP, UNCDF, UNCTAD ve ILO gibi unsurlarının benimsediği *yeni yerel-bölgesel kalkınma politikalarının* dünya ölçeğinde gerçekleştirilen alan uygulamalarıdır.

Buna bağlı olarak, *bu tezin beşinci ve son amacı* 1980'lerin sonu ve 1990'ların başından beri gelişmeye başlayan ve yeni yerel-bölgesel kalkınma politikalarının altında yatan *yeni kalkınmacı perspektif* ile ilgili eleştirel sonuçlar ve kuramsal imalar ortaya koymaktır.

Bütün bu amaçları gerçekleştirmek doğrultusunda bu tez için bir *örnek olay inceleme* gerçekleştirilmiştir. Bunun için seçilen örnek olay *Doğu Anadolu Kalkınma Programı (DAKAP)*'tır. DAKAP, SİG stratejisini temel alan ve Türkiye'nin Kuzey Doğu Anadolu Bölgesinde yer alan 6 ilinde, 2001-2006 yıllarında gerçekleştirilen, UNDP destekli bir *pilot bölgesel kalkınma programıdır*. DAKAP 6 ilde oluşam bölgenin tamamında değil; bu bölge içinde belirlenen pilot yerelerde uygulanmıştır.

DAKAP, Atatürk Üniversitesi'nin (AÜ) girişimiyle başlamıştır. AÜ programın genel koordinasyon ve yönlendirilmesini de üstlenmiştir. Bu amaçla 2001 yılında Üniversite bünyesinde *DAKAP Koordinasyon Merkezi* (DAKAP Koordinasyonu) kurulmuştur. DAKAP sürecinde, 3 ana proje yürütülmüştür:

- i. Katılımcı Kırsal Kalkınma Projesi (KKKP): KKKP, DAKAP Koordinasyonu'nun uygulama alanında gerçekleştirdiği tanıtım çalışmalarının ardından, planlama ve uygulama aşamalarında *Sürdürülebilir Kırsal ve Kentsel Kalkınma Derneği* (SÜRKAL) tarafından yürütülmüştür. SÜRKAL Ankara merkezli ve sürdürülebilir kırsal ve kentsel kalkınma çalışmaları üzerine uzmanlaşmış bir dernektir. KKKP, Erzurum'un Şenkaya ve Olur; Kars'ın merkez ve Susuz; Ardahan'ın Damal ve Çıldır ilçeleri ile bu ilçelerin 20 pilot köyünde gerçekleştirilmiştir.
- ii. Doğu Anadolu Girişimciliği Destekleme Projesi (DAGİDES): DAGİDES, DAKAP Koordinasyonu tarafından yürütülmüştür. DAGİDES'in hedef alanı bütün bir TRA1 alt-bölgesini, yani Erzurum, Erzincan ve Bayburt illerini içerse de, uygulamaların fiilen gerçekleştiği yereller Erzurum ve Bayburt il merkezleri ile Oltu, Pasinler, Narman ve Tortum gibi birkaç ilçe olmuştur.
- iii. Doğu Anadolu Turizm Geliştirme Projesi (DATUR): DATUR, DAKAP Koordinasyonunca gerçekleştirilen tanıtım çalışmaları ve öngörüşmelerin ardından, UNDP Türkiye'nin görevlendirdiği uzmanlardan oluşan DATUR Koordinasyonu tarafından yürütülmüştür. DATUR Koordinasyonu'na çalışmalarında AÜ İspir Hamza Polat Meslek Yüksek Okulu'ndan akademisyenler de destek olmuştur. DATUR uygulamaları, İspir ve Yusufeli ilçe merkezleri ile Çoruh Vadisi'nde bulunan bazı köylerde gerçekleştirilmiştir.

DAKAP'ın tezin örnek olayı olarak seçilmesinde aşağıdaki faktörler rol oynamıştır:

- i. DAKAP'ın belerinde, SİG stratejisini benimseyen bir pilot bölgesel kalkınma planı olduğu deklare edilmiştir.
- ii. DAKAP'ın bileşenlerini oluşturan her üç proje, planlama ve uygulama aşamalarında YYS'ler yoluyla yerel hedef grupların katılımını sağlamayı hedeflemiştir. Uygulamalar sırasında ise farklı yerelerde yerel yönetim adına farklı uygulamalar gerçekleşmiş ve farklı ölçülerde katılım sağlanmıştır. Bu durum farklı yerel yönetim uygulama ve sonuçlarının karşılaştırmalı analizi için bir fırsat sunmaktadır.
- iii. UNDP, 2004 ve 2005 yıllarında DAKAP'I dünya ölçeğinde destek verdiği yerel-bölgesel kalkınma uygulamalarının *bayrak gemisi* olarak nitelemiştir (UNDP/AÜ 2005).

Örnek olay incelemesi sırasında gerekli verilerin derlenmesi için yarı-yapılaşmış, nitel bir görüşme yöntemi kullanılmıştır. Ayrıca yönlendirici kurumların hazırladığı basılı materyalden (broşürlar ve raporlar); ve alanda gerçekleştirilen araştırma gezisi sırasında yapılan doğrudan gözlemlerden de yararlanılmıştır. Yarı-yapılaşmış görüşmelerin büyük bölümü, 22 Mayıs-6 Haziran 2010 tarihlerinde alanda yapılan araştırma gezisi sırasında gerçekleştirilmiştir. Bu geziyi takip eden günlerde de telefon görüşmeleri gerçekleştirilmiştir. Toplam 59 görüşmeci ile yapılan 1200 dakikalık görüşme ses kayıt cihazıyla kaydedilmiştir. Görüşmeler görüşmeci başına 20-25 dakika sürmüştür.

Görüşmelerin yapıldığı örneklemin büyük bölümünü, DAKAP'ın alandaki yerel hedef gruplarını temsil eden (ve kimi DAKAP sürecine katılmış kimi katılmamış olan) odaların ve sivil toplum örgütlerinin (STO) temsilcileri oluşturmuştur. Ayrıca DAKAP sırasında, programın her üç bileşeninde yönlendirici görevler üstlenen akademisyen ve kalkınma uzmanları ile kamu görevlileri de örnekleme dahil edilmiştir. Son olarak, yerel-bölgesel kalkınma, UNDP kalkınma uygulamaları ve DAKAP konusunda bilgi ve uzmanlık sahibi kalkınma uzmanı ve akademisyenlerin de görüşleri alınmıştır.

DAKAP üzerine gerçekleştirilen bu örnek olay incelemesi neticesinde ulaşılan sonuçlara göre; DAKAP uygulamaları sırasında YYS'lerin iyi yönetim ilkeleri bağlamında yüksek nitelikler sergiledikleri yerelerde,

- YYS'ler daha fazla sayıda yerel hedef grubun, bireyin ve kurumsal paydaşın *kısa dönemli failliğini*; yani DAKAP sırasında projelerin planlama ve uygulamalarında onların katılım, kontrol ve işbirliğini sağlamış;
- YYS'ler daha fazla sayıda katılımcı bireyin ve kurumsal paydaşın *uzun dönemli failliğini*; yani DAKAP bittikten sonra onların iktisadi ve sosyal girişimciler olarak yerel kalkınma faaliyetlerinde bulunmalarını sağlamış;
- DAKAP, uygulama süresi içerisinde katılımcı hedef grup ve bireylerin esenliğinin artırılmasına; ve yerel iktisadi, insani ve sosyal sermaye birikiminin geliştirilmesine, daha yüksek düzeylerde katkıda bulunmuş;
- DAKAP'ın uygulama süresi bittikten sonraki dönemde daha fazla sürdürülebilir kazanım muhafaza edilmiş; yerel iktisadi ve sosyal girişimciler yeni projeler yoluyla yerel halkın daha fazla esenlik kazanımları elde etmesine ve yerel sermaye birikiminin daha fazla artırılmasına hizmet etmişlerdir.

Diğer bir deyişle, DAKAP süresince gerçekleştirilen YYS'lerin iyi yönetim nitelikleri arttıkça sağladıkları kısa ve uzun dönemli yerel katılım ve faillik de artmış; buna paralel olarak DAKAP'ın yerel hedef gruplarına sağladığı kısa ve uzun dönemli (sürdürülebilir) kazanımlar ile yerellerin kapasite gelişimine kısa ve uzun dönemli katkıları da o derece fazla olmuştur. Bu sonuçlara göre, DAKAP örnek olayı üstünde yapılan incelemenin tezde geliştirilen analitik kuramsal modelin öngörülerini dikkate değer ölçülerde olumladığı; dolayısıyla bu modelin geçerliliğini ve modelin dayandığı kuramsal literatürü önemli ölçüde desteklediği söylenebilir.

Sonuç olarak, tezin temel amacı uyarınca, DAKAP örnek olay incelemesinin sonuçlarına göre, iyi yerel yönetim uygulamalarının yerel-bölgesel düzeyde sürdürülebilir insani gelişme açısından dikkate değer ölçülerde olumlu katkılarının olduğunu söylemek mümkün görünmektedir. Yerel yönetim süreçleri, yerel-bölgesel düzeyde sürdürülebilir insani kalkınmaya temel olarak, yerel aktörlerin (yerel hedef gruplar ve paydaşlar) faillikleri aracılığıyla katkıda bulunmaktadır.

Tezin *ikinci amacı uyarınca*, DAKAP örnek olay incelemesinin sağladığı veriler ışığında, YYS'lerin yerel-bölgesel düzeyde insani gelişmeye başarılı katkılarda bulunabilmesinin, iyi yerel yönetimin içsel ve dışsal koşullarına güçlü bir şekilde bağlı olduğu görünmektedir. SİG temelli YKP'ler özelinde ise YKP'nin uygulama süresi boyunca YYS'lerin başarılı katkılarda bulunabilmesi, iyi yerel yönetimin *özellikle içsel*

koşullarına bağlıdır. Bu içsel koşulların başında, *yüzyüze yönetim mekanizmalarının* (YYM) iyi yönetim ilkelerine uygun niteliklere sahip olması gelmektedir. Ayrıca YYM'lerin bütün YKP aşamaları boyunca sürekliliğinin sağlanması ve iyi yönetim ilkelerine uygun şekilde işlemesi de bir diğer temel içsel koşuldur. Bunlara ek olarak, YYS'lerde görev alan *yönlendirici kalkınma uzmanlarının* YKP'nin bütün aşamalarında yerel aktörlerle YYS'ler aracılığıyla temas içinde olmaları; ve YKP'nin bütün aşamalarında iyi yönetim ilkelerine uygun bir performans sergilemeleri de önem taşımaktadır. Yönlendirici uzmanların yerel aktörlerle teması sürdürmesi ve iyi yönetim ilkelerine uygun performans sergilemesi, katılımcı, sürekli ve iyi işleyen YYM'lerin gerçekleştirilmediği alanlarda çok daha fazla önem taşımaktadır.

Sıralanan bu içsel iyi yerel yönetim koşulları, SİG temelli bir YKP'nin yalnızca uygulama sürecindeki başarısı açısından değil; onun uygulamalar sona erdikten sonra başarılı sürdürülebilir sonuçlar ortaya koyması açısından da önem taşımaktadır. Ancak DAKAP örnek olayı, uzun dönemde YKP'nin başarılı sürdürülebilir sonuçlar yaratmasında iyi yerel yönetimin dışsal koşullarının da önemli rol oynadığını; hatta içsel koşullardan daha belirleyici olduklarını ortaya koymaktadır. Bu açıdan, uzun dönemde yerelerde özellikle yeterli *sosyal sermaye birikiminin* oluşmasının; yani yerel sivil toplumun kurumsal alt-yapısının olgunlaşması ve ortaklık ağlarıyla bütünleşmesinin çok önem taşıdığı görülmektedir. Bu koşulun yeterince sağlanmadığı yerelerde, SİG temelli YKP'nin sürdürülebilir sonuçlarının muhafazası; yerel aktörlerin uzun dönemli failliği ve yeni projelerle yerel halk için yeni iktisadi ve insani kazanımlar sağlaması ya hiç mümkün olmamakta; ya da çok sınırlı ölçülerde kalmaktadır.

DAKAP örnek olayından elde edilen sonuçlar çerçevesinde, tezin *üçüncü amacına* uygun olarak, *katılımcı yerel kalkınma perspektifiyle* ilgili kuramsal sentezlere ulaşmamız mümkündür. Buna göre katılımcı bir yerel kalkınma pratiğinin (yerel politika, program ya da proje uygulamasının) başarısının aşağıdaki temel koşullara bağlı olduğu söylenebilir:

- İyi yönetim ilkelerine uygun bir YYS'nin, YYM'ler aracılığıyla sürekli bir şekilde ilerlemesinin sağlanması; ve böylece yönlendirici kurumlar ve yerel aktörler arasında sürekli bir yüzyüze temas, müzakere ve işbirliği imkanının sağlanması;

- Bu iyi YYS'nin, aralarında uygulama alanının özelliklerine uygun olarak şekillenmiş bir ağ-yapı ile bütünleşen YYM'ler aracılığıyla, uygulama alanının bütününe nüfuz etmesi.

Bu iki temel koşuldan yola çıkarak yeni bir senteze ulaşılabilir. Buna göre aralarındaki uygulama alanına uygun bir ağ-yapı ile bütünleşen YYM'ler aracılığıyla işleyen ve ilerleyen; kurumsallaşmış (ya da yarı-kurumsallaşmış) bir niteliği olan, böylece yönlendirici kurumlar ve yerel aktörler arasında sürekli bir yüzyüze temas, müzakere ve işbirliği imkanı sağlayan bir YYS, katılımcı bir YKP'nin başarısı için oldukça yararlı olacaktır. Bu süreçte rol oynayan YYM'lerin de aşağıdaki içsel iyi yönetim koşullarına uygun bir şekilde işlemesi gereklidir:

- YYM'ler, olabildiğince çok sayıda yerel hedef grubu ve yerel aktörü, doğru temsilcilerle sürece dahil edebilen, kapsayıcı, adil ve uygun bir katılımcı seçimiyle sürece başlamalıdır.
- Açık, özgür, adil ve yatay (hiyerarşisiz) bir iletişim ve etkileşim atmosferine sahip olmalı; katılımcıları arasında çok yönlü bir görüş ve bilgi akışını sağlamalı; onlara görüş, ihtiyaç, öncelik ve tercihlerini özgür, adil ve yeterli bir şekilde dile getirip, müzakere etme fırsatı sunmalı; ve müzakerelerin neticesinde aralarında uzlaşma imkanı sağlamalıdır.
- Katılımcılara son kararlara özgür ve eşit oy hakkı ile katılım ve kontrol imkanı sunmalıdır.
- Katılımcıların aldıkları kolektif kararların, üzerinde uzlaşılan ihtiyaç ve tercihlere uygun bir şekilde proje plan ve uygulamalarına yansıtılmasını sağlamalı; böylece yerel aktörlerin bütün süreç üstündeki kontrollerini sağlayan *güçlü katılım mekanizmaları* olmalıdırlar.

Bunlara ek olarak, YYS'leri *yönlendiren kurumların* yeterli özerkliğe ve yetkiye sahip olması; YYM'lerde görev alan *yönlendirici kalkınma uzmanlarının* katılımcı kalkınma sürecinin bütün aşamalarında yerel aktörlerle ilişkilerinde iyi yönetim ilkelerine uygun davranmaya devam etmeleri de katılımcı YKP'lerin başarısında önem taşımaktadır. Yönlendirici kalkınma uzmanları, uygulama alanında olabildiğince fazla sayıda hedef grup ve paydaşa ulaşmak ve onları sürece katmak için aktif, sabırlı ve kararlı davranmalı; onlarla süreç boyunca yüzyüze temaslarını sürdürmek için azami çabayı harcamalı; onlara kalkınma stratejilerinin genel hedef ve prensipleri doğrultusunda

danışmanlık yapabilmeli; ve ihtiyaç duydukları konularda nitelikli teknik bilgiler aktarabilmelidirler.

Bu görevler, *kalkınma uzmanlarının* yüzyüze insani ilişkiler ve iletişim konusunda yeterli kabiliyete; katılımcı yerel kalkınma alanında interdisipliner bilgi ve tecrübe birikimine; YYM'leri yönlendirme konusunda yeterli tecrübeye sahip olmalarını gerektirmektedir. Ayrıca katılımcı insani kalkınma idealine bağlı; ve kalkınma konusundaki evrensel amaç ve öncelikleri yerel koşulların, kültürlerin ve ihtiyaçların diline tercüme etme konusunda kabiliyet ve tecrübe sahibi olmaları da gerekmektedir.

DAKAP örneği, bir yandan iyi yönetim ilkelerine göre yönlendirilen bir katılımcı kalkınma pratiğinin, sürece katılan hedef grupların esenliğine ve yerel kapasite gelişimine dikkate değer katkılarda bulunabileceğini gösterirken; diğer yandan uzun dönemde yerel kalkınmanın sürdürülebilirliğini garanti edemediğini ortaya koymaktadır. Katılımcı yerel kalkınma politikalarının, program ya da projelerinin uygulama sürecindeki başarısı büyük ölçüde yönlendirici ve diğer katılımcı/paydaş aktörlerin tutum, tavır, iletişim, işbirliği ve performanslarına bağlıyken; uygulama aşaması bittikten sonra yerel kalkınmanın sürdürülebilirliği yerel-bölgesel ve ulusal düzeyde etkili olan bazı yapısal (ekonomik, sosyopolitik ve kurumsal) koşullara daha fazla bağlı görünmektedir.

İşin aslı, bu yapısal koşullar genellikle yerel kalkınmanın sürdürülebilirliği önünde zorlaştırıcı ya da engelleyici bir rol oynamaktadır. Bu özellikle uzun süredir iktisadi (finansal/fiziksel) ve insani kaynak kıtlığı çeken; girişimciliğin, sivil toplumun ve ortaklık ağlarının gelişmemiş olması nedeniyle yerel aktörlerin uzun dönemli failliklerinin yetersiz olduğu bölgeler ve yerelerde geçerli olan bir durumdur. İşte bu nedenlerle, özellikle bu koşullara maruz kalan alanlarda yerel kalkınmanın sürdürülebilirliği için yerel kamu yöneticileri ve kurumlarının kalkınma sürecinde sürekli rol alması ve diğer sektörlerden (özel ve sivil toplum) gelen aktörlerin yerel kalkınmaya dönük girişim ve faaliyetlerini desteklemesi, koordine etmesi ve uzun dönemli yerel kalkınma amaçları doğrultusunda yönlendirmesi büyük önem taşımaktadır.

Yukarıda belirtildiği gibi, YYS'leri, yerel kalkınma pratikleri dışında, yerel kamu yönetimi ve yerel ortaklık ağlarının yönlendirilmesi gibi alanlarda da işlev sahibi olabilirler. Bu açıdan, *tezin dördüncü amacı* uyarınca, katılımcı kalkınma pratikleriyle ilgili olarak belirtilen sonuçlar katılımcı yerel kamu yönetimi ve yerel ortaklık ağlarının idaresi için de genellenebilir.

Dolayısıyla, yerel kamu yöneticileri, kamu kurumları, özel sektör ve sivil toplum kurumlarını sürekli temas halinde kalmasını sağlayan; onları ortak yerel konu ve meseleler ile kamu hizmetleri konusunda müzakere ve işbirliği içerisinde tutan kurumsallaşmış (ya da yarı-kurumsallaşmış) bir YYS, yerel kamu yönetimi açısından oldukça yararlı olabilir. Bu süreç, yerel kurumsal aktörlerin ve vatandaşların somut buluşma alanlarında bir araya gelip ortak kamu meselelerini yüzyüze müzakere edip, uzlaşmalara ve kararlara vardıkları bir seri “küçük-kamu” (Fung 2003; 2006) toplantıları aracılığıyla yürütülmelidir.

Yüzyüze etkileşim ve iletişim, daha üst düzey yönetişimsel ilişkilerde de söz konusu olabilmektedir. Ancal yerellik yüzyüze ilişkiler açısından en avantajlı düzeydir. İşin aslı, aynı yaşam alanı içinde yaşayan, ama farklı ilgi ve tercihleri olan aktörlerin, “küçük-kamu” alanlarında sürekli yüzyüze etkileşim ve iletişim içerisinde olabilmesi, yerel yönetişimin asıl güçlü ve sürece dinamizm sağlayan yönüdür.

Elbetteki, yüzyüze müzakere ve kararların gerçekleştiği bu küçük-kamu alanları, iyi yönetişim ilkelerine uygun katılımcı seçimi ve iletişim-etkileşim atmosferine sahip olmalıdır. Katılımcı seçimi ne kadar kapsayıcı ve adil olur, temsil kapasitesine sahip uygun katılımcıları içerirse; katılımcılara ne kadar eşit ve özgür konuşma ve oy hakkı tanınırsa, katılımcıların yerel kamu yönetimi üstündeki konsensüs ve kontrol hissi o ölçüde artacak; yerel kamu oyununun, kamu politikalarının meşruiyeti ve adaleti konusundaki kuşku ve kaygıları da o ölçüde giderilmiş olacaktır.

Ayrıca bu küçük-kamu alanlarının, alınan kolektif kararların yerel kamu politikalarına yansıtıldığı güçlü yönetişim mekanizmaları olması; politikaların katılımcı aktörlerin üstünde uzlaştığı ortak yerel ihtiyaç ve öncelikler doğrultusunda uygulamaya geçmesi; uygulama sürecinin katılımcılardan ve temsil ettikleri yerel toplumsal kesimlerden gelen güncel taleplere göre dinamik bir şekilde revize edilmesi de önemlidir. Bunların sağlanması ise uygulayıcı yerel yöneticilerin şeffaflık, duyarlılık, hesap verebilirlik gibi temel iyi yönetişim ilkelerine bağlı kalmalarına; ve daha önemlisi uygulama sürecinin katılımcı bir *izleme döngüsü* (monitoring cycle) yoluyla izlenmesine bağlıdır.

Yerel kamu politikalarının verimlilik ve etkinlik içinde uygulanmasında, yerel yönetişim sürecinin dışındaki pek çok faktör rol oynayacaktır. Ancak YYS aracılığıyla özel sektör ve sivil toplumun işbirliğinin sağlanması, yerel politikaların ve kamu

hizmetlerinin daha etkin ve kaynak verimliliği içinde uygulanmasını; belirlenen kamu hizmetlerinin de daha etkin yürütülmesinde, yerel kamu yöneticilerinin elini güçlendirecektir.

Yerel kamu yöneticileri ve memurlarının, katılımcı bir kamu yönetimi sürecinde, yönlendirici aktörler olarak rolleri çok önemlidir. Dolayısıyla, yerel kamu yöneticileri ve memurları, olabildiğince fazla yerel toplumsal kesimin katılımcı kamu yönetimi sürecine katılmasını sağlamak konusunda aktif, sabırlı ve kararlı davranmalıdırlar. Katılımcı grupları ve onları temsil eden taban örgütlerini ortak kamu sorunları konusunda yeterli ve nitelikli bir şekilde bilgilendirmeli; ortak karar aşamasında onları uzlaşılabilir ve ulaşılabilir amaçlar/politikalar doğrultusunda yönlendirmelidirler. Son olarak bütün süreç boyunca katılımcı mekanizmalar (toplantılar, görüşmeler, komiteler, meclisler vb.) yoluyla yerel toplumsal gruplarla sürekli temas içinde olmalı; onlarla ilişkilerinde sürekli iyi yönetim ilkelerine uygun davranmalıdırlar.

Katılımcı yerel kamu yönetimi sürecinde, kamu yöneticileri ve memurlarına düşen bütün bu görevler, onların iyi bir yerel yönetim sürecinin gerektirdiği bireysel kapasitelere sahip olmalarını gerektirmektedir. Bu bağlamda yerel yönetici ve memurların iyi yönetim ilkeleri ve katılımcı yerel kamu yönetimi konusunda gerekli teknik ve yasal bilgilere hakim olmaları; yerel halkla yüzyüze iletişim kurma ve yüzyüze yönetim mekanizmalarını yönlendirme konularında beceri ve deneyim sahibi olmaları gereklidir. Ayrıca görev yaptıkları yerellerin özgün koşul ve sorunları konusunda bilgi sahibi olmaları; bu konularda yerel paydaşlarla ulaşılabilir çözüm önerileri geliştirip, onlarla ortaklık içinde uygulayabilmeleri gereklidir.

Öte yandan katılımcı yerel kamu yönetimi ve iyi yerel yönetim süreçleri, yerel özel sektör ve sivil toplum temsilcisi kurumsal aktörlerin kurumsal, finansal ve insani kapasitelerinin yeterli olmasını gerektirir. Bunun için yerel kamu yöneticilerinin, yerel sivil toplumun örgütsel alt-yapısının güçlenmesi ve ortaklık ağları içinde bütünleşmesi; ve sivil toplum temsilcilerinin iyi yönetim ilişkileri, katılımcı kamu yönetimi, yüzyüze iletişim, ortaklık ağları, çok-düzeyle yönetim ve proje yönetimi konularındaki bireysel kapasitelerinin gelişmesi için azami çaba harcamaları gerekmektedir.

Daha önce belirtildiği gibi gerçek dünyadaki yönetim süreçlerinde *yönlendirici aktörlerin* rolü merkezi önemdedir; ve genellikle bu rolü devlet bürokrasisi ve kamu yöneticileri yürütmektedir. Yönetim süreçlerinde bir araya gelen katılımcıların arasında

müzakere, uzlaşma ve ortaklıklar içinde işbirliğinin sağlanması hedeflenir. Ancak gerçek yönetişi süreçlerinde, tabakalaşmış bir toplumda farklı –bazen de çelişen- ilgi, çıkar ve beklentileri olan toplumsal grupların bir araya gelmesi onlar arasında uzlaşma ve işbirliğinin kendiliğinden oluşmasını her zaman mümkün kılmayabilir. Bu nedenle yönetim süreçlerine, taraflar arasında ortak amaçlar doğrultusunda uzlaşmayı sağlamak için yönlendirici ve kolaylaştırıcı bir rol oynayan aktörlerin müdahalesi bir avantaj olabilir. Bu nedenle yönetimle ilgili literatürde bu yönlendirme faktörünün önemi vurgulanmaktadır (Kooiman 1993; Rhodes 1996).

İşte bu nedenlerle, *yönetişim* ideal anlamda bir *doğrudan demokrasi* demek değildir; ve daha ılımlı bir katılımcı demokrasi anlayışını ima eder. Başka bir bakış açısından, yönetim süreçleri, 21. Yüzyılın Post-Fordist ve/veya neoliberal dünyasında, küresel elitler ve kapitalist üst sınıflar yararına hegemonya kurma araçları olarak görülmektedir (Jessop 2005). Buna göre, özellikle çok-düzeyle, küresel yönetim ilişkileri, küresel kapitalizmin ulusal sınırları aşarak doğrudan yerel-bölgesel düzeylere nüfuz etmesine ve bu düzeylerde yerel halkların rızasına dayalı bir hegemonya kurmasına hizmet etmektedir. Dolayısıyla yönetişimin katılımcı karakteri, bu bakışa açısından küresel hegemonyanın aracı olarak görülmektedir.

Öte yandan, bugün liberal temsili demokrasinin krizi tartışılmaktadır. Ulusal düzeyde liberal parlamenter sistem toplumun farklı kesimlerinin tercih ve taleplerini politik karar sürecine taşımak açısından yetersiz bulunmakta; halkın ve sivil toplumun politik alana katılımını artıracak *müzakereci demokrasi* ve *münazaracı demokrasi* gibi alternatifler tartışılmaktadır (Keyman 1999). Ulusaltı düzeyde ise yerel halk kesimlerinin kamu yönetimine daha fazla katılabilmesini sağlayacak alternatifler tartışılmaktadır. Bu bağlamda yönetişim, katılımcı demokrasi adına özellikle yerel düzeyde kamu yönetimine daha fazla katılım imkanı sunan bir alternatif olarak öne çıkmaktadır. Bu tezde DAKAP örnek olayı üstüne yapılan inceleme sonucu ortaya çıkan sonuçlardan yola çıkarak, iyi yönetim ilkeleri uyarınca işleyen, kapsayıcı, adil ve güçlü yüzyüze mekanizmalar aracılığıyla yönetim alanının tamamına nüfuz eden, kurumsallaşmış bir yerel yönetim sürecinin, katılımcı yerel demokrasi ve kamu yönetimi adına önemli bir kazanım olacağı söylenebilir.

Yeni yerel-bölgesel kalkınma politikaları, temel bir nitelik olarak, katılımcı kalkınma perspektifini benimsemektedirler. Bu nedenle, *tezin beşinci ve son amacı* doğrultusunda,

katılımcı kalkınma pratikleri konusunda yukarıda tartışılan sonuçlardan, yeni yerel-bölgesel kalkınma politikalarının altında yatan *yeni kalkınmacı perspektife* yönelik kuramsal imalara da ulaşılabilir.

Bu bağlamda, bu yeni kalkınmacı perspektifin yerel-bölgesel kalkınmada *yumuşak araçlar* olarak da anılan eğitim, danışma ve proje destek hizmetleri gibi bilgi temelli araçların kullanımına *aşırı bir vurgu* yaptığı söylenebilir. Bir yandan bu bilgi temelli araçlar yoluyla uygulama alanında bulunan yerelerde insani ve sosyal sermaye birikimini artırmak ve yerel aktörlerin girişimciliğini ve failliğini güçlendirmek, elbetteki yerel iktisadi ve insani kalkınmanın sürdürülebilirliği açısından önemlidir. Nitekim Çakmak (2006), salt tarım ve endüstri alanlarında finansal ve fiziksel kamu yatırımlarına ve özel sermaye yatırımlarını özendirerek mali teşvik araçlarına dayalı *sert araçların* kullanıldığı klasik kalkınma pratiklerinin Doğu Anadolu'nun sosyoekonomik sorunlarını çözüp, iktisadi ve insani kalkınmayı ivmelendiremediğini belirtmektedir.

Ancak diğer yandan, bu bilgi temelli *yumuşak araçların* kullanımının, mali-iktisadi klasik araçlardan tamamen vazgeçmek anlamı taşımaması da gerekmektedir. Özellikle Kuzey Doğu Anadolu gibi finansal, fiziksel, insani ve sosyal sermaye açısından onlarca yıl içinde kronikleşen bir kıtlığın yaşandığı bölgelerde, bütün sermaye kalemlerinde birbirini tamamlayacak şekilde ve yeterli ölçülerde yeni varlık birikiminin yaratılması yaşamsal önemdedir. Bu nedenle bu tip alanlarda, yerelerde iktisadi büyümeyi ivmelendirecek; böylece yerel kalkınmanın sürdürülebilirliği için yaratılan insani ve sosyal sermayeye uzun dönemde destek olacak kadar bir iktisadi sermaye birikimini sağlayabilecek ölçüde *sert araçlara* da yer verilmelidir. Bu açıdan, yerel-bölgesel kalkınma sürecinde yerel aktörlere örgütlenme, eğitim ve danışmanlık hizmetleri kadar, yeterli ölçülerde finansal ve fiziksel kaynak desteği de sağlanmalı; yerel-bölgesel özel sektöre mali teşvikler uygulanmalı; hatta gerekli durumlarda alt-yapıya ve/veya üretime dönük doğrudan yatırımlara da yer verilmelidir.

Son olarak, DAKAP örnek olayının incelenmesi neticesinde elde edilen sonuçlardan, UNDP'nin yerel-bölgesel politikalarına dönük birkaç eleştirel saptama yapılacaktır. İlk, yeni yerel-bölgesel kalkınma politikalarına yönelik olarak yukarıda tartışılan yumuşak araçlara *aşırı önem* verildiğine dair eleştiri UNDP'nin yerel-bölgesel politikaları için de geçerlidir.

İkinci olarak, UNDP'nin yerel-bölgesel politikalarında pilot yerelerde, uzun dönemde onları çevreleyen diğer yerelerde de özenilecek ve tekrarlanabilecek *parlayan örnekler* yaratma taktiği önemli bir yer işgal etmektedir. Buna bağlı olarak program/proje kaynakları belirlenen az sayıda yerel iktisadi sektöre ve girişimciye destek amacıyla, oldukça seçmeci ve eşitsiz bir şekilde kullanılmaktadır. Ancak, kronik kaynak kıtlığı yaşanan bölgelerde bu taktik beklenen olumlu sonuçları vermemektedir. Bu tip alanlarda tam aksine, birbirini sürdürülebilir iktisadi ve insani kalkınma doğrultusunda tamamlayabilecek daha fazla sayıda iktisadi sektöre yeterli ölçülerde ve adil bir şekilde finansal ve fiziksel sermaye kaynağı sağlanmalıdır.

UNDP'nin yerel-bölgesel kalkınma politikalarına yönelik üçüncü bir eleştirel saptama da UNDP'nin bölgesel kalkınma uygulamalarında özellikle yönetim sürecinde yerelliğe aşırı önem verilmesidir. Bölgesel düzeyde bir kalkınma pratiği (program/proje) söz konusu olduğunda, iyi ve sürekli YYS'lerin varlığı elbetteki önemlidir. Ancak, onların etkin bir şekilde koordinasyonunu sağlayacak iyi ve sürekli bir *bölgesel yönetim süreci* ile tamamlanması da, program ya da projenin kısa ve uzun dönemli başarısı açısından büyük önem taşımaktadır. Dolayısıyla UNDP'nin, bölgesel kalkınma pratiklerinde iyi ve sürekli bir bölgesel yönetim süreci organize etmeyi; ya da uygulama bölgesinde halihazırda bulunan kurumsallaşmış Bölgesel Kalkınma Ajansları gibi kurumlarla işbirliğine girmeyi de göz önünde bulundurması gerekmektedir.

APPENDIX E

TEZ FOTOKOPİSİ İZİN FORMU

ENSTİTÜ

Fen Bilimleri Enstitüsü

Sosyal Bilimler Enstitüsü

Uygulamalı Matematik Enstitüsü

Enformatik Enstitüsü

Deniz Bilimleri Enstitüsü

YAZARIN

Soyadı : Özdemir

Adı : Gökçen

Bölümü : Sosyoloji

TEZİN ADI : Good Governance in Sustainable Human Development: A Subnational Case in Turkey

TEZİN TÜRÜ : Yüksek Lisans Doktora

1. Tezimin tamamından kaynak gösterilmek şartıyla fotokopi alınabilir.
2. Tezimin içindekiler sayfası, özet, indeks sayfalarından ve/veya bir bölümünden kaynak gösterilmek şartıyla fotokopi alınabilir.
3. Tezimden bir bir (1) yıl süreyle fotokopi alınmaz.

TEZİN KÜTÜPHANEYE TESLİM TARİHİ: