A CRITICAL EVALUATION OF GOVERNANCE
IN THE FRAMEWORK OF RURAL DEVELOPMENT IN TURKEY

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PETEK KOVANCI SHEHRIN

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Approval of the Graduate School of Natural and Applied Sciences

_____

Prof. Dr. Canan ÖZGEN
Director

I certify that this thesis satisfies all the requirements as a thesis for the degree of Doctor Philosophy.

_____

Prof. Dr. Ali TÜREL
Head of Department

This is to certify that we have read this thesis and that in our opinion it is fully adequate, in scope and quality, as a thesis for the the degree of Doctor Philosophy.

_____

Assoc. Prof. Dr. Baykan GÜNAY
Supervisor

Examining Committee Members

Assoc. Prof. Dr. Murat GÜVENÇ   (METU, CP)   _____

Assoc. Prof. Dr. Baykan GÜNAY   (METU, CP)   _____

Prof. Dr. Ruşen KELEŞ   (ANKARA UNIVERSITY) _____

Prof. Dr. Bahattin AKŞİT   (METU, SOC)   _____

Assoc. Prof. Dr. Serap KAYASÜ   (METU, CP)   _____

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Petek KOVANCI SHEHRIN

ABSTRACT

A CRITICAL EVALUATION OF GOVERNANCE
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Kovancı Shehrin, Petek

Ph.D., Department of City and Regional Planning

Supervisor: Assoc. Prof. Dr. Baykan Günay

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This thesis attempts to construct a cross-section of governance with a critical viewpoint and an interdisciplinary approach, with a focus to planning. Governance is discussed by underlining the diversity of the underlying processes in social sciences, regarding various recent and important aspects of theoretical and conceptual discussions and subsequently rendering them measurable within the framework of the planning agenda. This thesis constitutes an effort in planning whereby the common denominator focuses on the characteristics and implementations of 'communicative', 'multi-actor', 'good' and 'participatory' governance within the planning domain.

Attempt has been made to evaluate the changing nature of the state-society interaction in Turkey, the transformation processes induced by social and economic restructuring and the democratization movements with respect to the implementation of governance mechanisms and principles. The main themes of the governance agenda in Turkey, the sources of the governance debate and its legitimacy have been set forth for discussion.

Attempt has been made to investigate governance as a critical instrument and from a process management perspective within the context of planning and public administration. This investigation has been conducted in view of the theoretical and of the conceptual discussions related to governance, within a comparative framework, with special reference to the Köykent approach and the rural development literature.

Keywords: Governance, Planning, Public Administration, Sustainability, Rural Development, Poverty, Köykent.

ÖZ

YÖNETİŞİMİN TÜRKİYE'DE KIRSAL KALKINMA ÇERÇEVESİNDE ELEŞTİREL BİR DEĞERLENDİRMESİ

Kovancı Shehrin, Petek

Doktora, Şehir ve Bölge Planlama Bölümü

Tez Yöneticisi: Doç.Dr. Baykan Günay

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Bu tezde, yönetişim konusunun, eleştirel bir bakış açısıyla ve disiplinler-arası bir söylem ışığında, planlama kapsamında, bir kesidi alınmaya çalışılmıştır. Yönetişim kavramının, sosyal bilimlerdeki önemli ve güncel, kuramsal ve kavramsal/fikirsel tartışmaların altında yatan süreçlerin çeşitliliği vurgulanarak ele alınması; ve planlama gündemi çerçevesinde ölçülebilir bir biçime getirilmesi hedeflenmiştir. Bu tez, planlama alanında, ortak payda olarak tanımlanan 'iletişimci', 'çok-aktörlü', 'iyi' ve 'katılımcı' yönetişime ilişkin özelliklere ve uygulamalara yoğunlaşmıştır.

Türkiye'de değişen devlet-toplum ilişkileri, sosyal ve ekonomik yeniden yapılanmanın beraberinde getirdiği dönüşüm süreçleri ve demokratikleşme hareketleri, yönetişim mekanizmalarının ve ilkelerinin uygulamasına referansla incelenmiştir. Yönetişim tartışmalarının Türkiye'deki kaynağı ve meşruiyeti, gündemi oluşturan ana başlıklarla birlikte tartışmaya açılmıştır.

Bu tezde, yönetişim, kamu yönetimi ve planlama kapsamında, eleştirel bir araç ve bir süreç yönetimi olarak sorgulanmıştır. Bu sorgulama, yönetişime ilişkin kuramsal ve kavramsal/fikirsel tartışmaların ışığında ve karşılaştırmalı bir çerçevede, özellikle Köykent yaklaşımı ve kırsal kalkınma yazınına referansla gerçekleştirilmiştir.

Anahtar Kelimeler: Yönetişim, Planlama, Kamu Yönetimi, Sürdürülebilirlik, Kırsal Kalkınma, Yoksulluk, Köykent.

To my family

ACKNOWLEDGEMENTS

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CHAPTER I

INTRODUCTION

I.1. Need and Relevance of the Subject Matter

The phenomenon of governance has become an important discussion in many disciplines. The main incentive behind this debate of governance is based on initiatives aiming at the resolution of various conflicts within the cross-sectoral perspectives of socio-economic and cultural life.

The popularity of the concept of governance, in a variety of discussions in social sciences, stems mainly from its growing and increasingly diversified potential as an instrument for sustainable development instrument but also from different and interrelated contemporary developments, such as the apparent inadequacy of the narrower term 'government', the concept of new institutionalism, economic/political regulation and the increasing role of civil society. These circumstances have signified the importance of the subject matter and have formulated the drive behind the choice of the treatment of this topic.

This thesis views governance, with a critical approach, as a dynamic and interactive process whereby its challenges and contexts are continuously changed and transformed to enhance the knowledge base and the capacities of all stakeholders in the society. All the advantages and disadvantages involved herein have therefore been intended to be investigated from a critical and fragmented viewpoint.

The reason that governance has been an area of extensive study within the planning framework might be attributed to the suggestion that the planning discipline -undergoing significant change in content and application area- and consequently the planner, may benefit from such an important debate as governance. In this respect, it is important to utilize governance as an instrument, rather than considering it as a final goal. Accordingly, within the governance perspective, the re-consideration of the role of the planning profession as well as of the planner, the improvement of their capacities along with reforms and the enrichment of the content of the discipline have emerged as important contemporary issues.

The major aim of the use of governance in planning is essentially to aid in increasing or in improving the capacity of national and local authorities, their partners, and other stakeholders to practice good governance at the regional, urban, rural and local level.

There has been an increasing interest in and consensus among most of the organizations that good governance can be considered as one the most important factors for the eradication of poverty and for sustainable economic and social development.

This process also aids in the institutionalization of participatory processes in planning through the use of various planning and management instruments to provide more efficient and effective responses to the changing and increasing needs of the citizens.

Therefore, contemporary urban and rural policy initiatives emphasize the acknowledged need of strengthening democratic conditions, of furthering social and physical inclusion and of integration of socio-cultural issues and restructuring movements.

In Turkey, the governance phenomenon has been an increasingly important area of concern since the 1990s as regards various circumstances, such as democratization movements, international treaties, commitments, global agendas and agreements, the EU candidacy period, the increasing level of activism of civil society, public restructuring movements and reforms etc. Therefore, the merit of how and to what extent Turkey has been progressing in adapting, harmonizing and implementing these requirements constitute an important foundation of the main area of concern in the empirical chapter.

It has been assumed that an investigation of all aspects of the governance debates in this thesis might generate an important foundation for local democratization processes in Turkey, in the specific area of rural development. In fact, efforts towards the establishment of effective governance mechanisms and the implementation of (sustainable) rural development policy applications (in the case of the Köykent initiatives) might provide a strong basis for a reformulation of state-society interactions in a more democratic way. This reformulation might contribute to the validity, the relevance and the legitimacy of governance in planning.

In short, the rationale behind the importance of this subject and its treatment as an area of research within this thesis is highly interrelated with the argument that governance in this respect can be analyzed as an instrument for planning through the investigation of the rural development case in Turkey, the Köykent approach and initiatives. The governance process and the Köykent initiative, actually seem to have one important aspect in common. Both seem to have emerged as circularly-evolving, mutual-learning processes that have been nurtured by all the pros and cons involved.

I.2. Scope and Context of the Thesis

The scope of this thesis, also presented in the following diagram, is formulated to cover the intersection area of the contexts of the different approaches assumed by disciplines such as political science, public administration and international relations. Therefore, the subject of this thesis can be regarded as a part of the new planning politics related to the governance

issues. The main area of concern of the thesis is particularly structured within the framework of the afore-mentioned disciplines, but always with reference to the planning discipline. This formulation, in turn, has lead to the development of instances of **analytical thinking of governance** and suggestions on **systematic governance forms** relevant to planning.
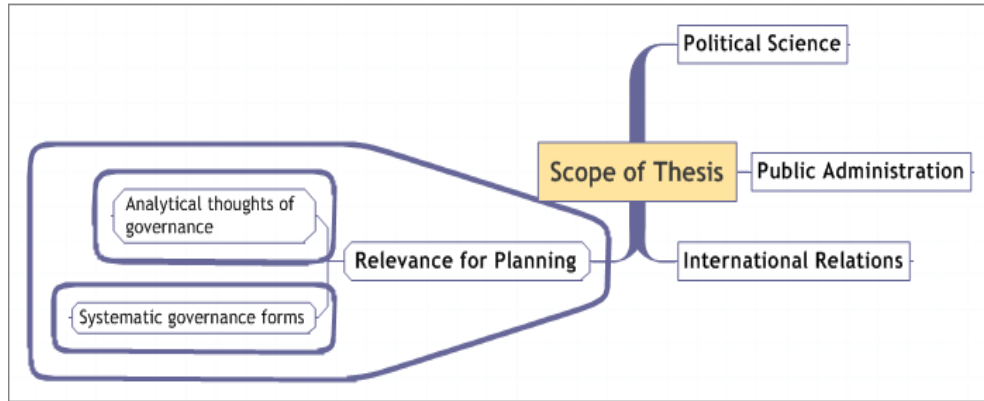
Diagram1: Scope of the Thesis

This thesis addresses a strategic and integrative multi-disciplinary approach towards governance as an instrument for planning through interactive new forms and methods. The area of study lies on the challenging relationship between the state and the society. Key areas of interest include the strengthening of local democracy and the idea of citizenship for the sake of collective living.

Recent theoretical discussions and literature on the politics of governance are investigated in this thesis and accordingly integrated with planning agendas. This thesis entails the interactive governance approach in planning in terms of the rural development example in Turkey, through the evaluation of the ways that the principles of good governance are utilized and operationalised in the different parts of the country.

I.3. General Framework

This thesis addresses politicians, decision-makers and urban/rural planners at international, regional and local level, as well as academics and experts in the broad fields of governance issues covered. It is hoped that by discussing theoretical issues and analyzing research results, this thesis might encourage the exchange of knowledge and opinions of the various aspects of governance in Turkey.

The ideas, discussions and formulations in this thesis have been instrumental in shaping the theoretical and conceptual bases to translate a strategic orientation and subsequently an action plan for planners but also for local citizens. An examination of new forms, designs,

instruments and techniques of governance discussed in this thesis intends to target public officials, civil society representatives and local citizens to advocate good governance at the urban, regional and also the local level.

With the above considerations, the following diagram presents the complementary stages of the outcomes of the main chapters of the thesis.
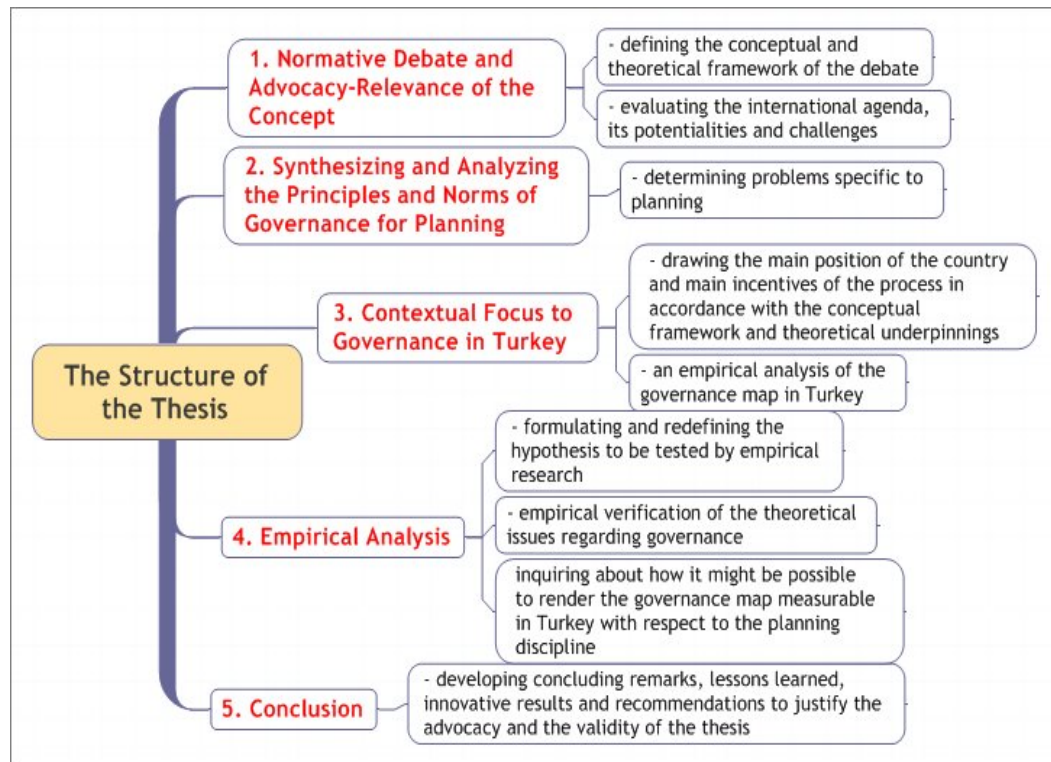
Diagram 2: The Structure of the Thesis

To summarize the above diagram, this thesis intends to generate a concrete platform for the discussion of different attitudes and approaches related with the governance debates where an overly emphasis on the concept has been made. Actually, there have been various discussions of social scientists, commitments and principles developed by different organizations, experiences of local, regional and national governments. The thesis intends to analyze those approaches and accordingly to synthesize the lessons learned from various programs in planning and other management processes. This study is also concerned with processes and dynamics of planning related with the search for new forms and mechanisms of governance.

In short, this thesis attempts an empirical verification of the theoretical issues regarding governance, set forth in the theoretical chapters. This study has been conducted with reference to the consideration of governance as a process management issue within the Turkish planning system. In other words, this process is defined as an empirical analysis of

the governance map in Turkey; that is, of the method of measuring and testing governance. This map has been intended solely for enabling the visualization of the methods for implementing governance mechanisms in planning, by inquiring about how it might be possible to render the governance map measurable in Turkey with respect to the planning discipline.

I.4. Goals and Objectives

The main goals of thesis are formulated as;

- to underline the importance of corporate social responsibility,

- to explore the use of the concept of governance as an instrumental device for conceptualizing the relationships between state and society,

- to examine methods of improving governance as a means of its practice as a planning instrument.

In addition, this thesis aims at an exploration of new forms of governance in the context of a specific rural development initiative in Turkey, Köykent, focusing on an evaluation of the strengths, weaknesses, opportunities and threats of this evolutionary process. It also helps improving conceptual clarity and a better understanding of governance issues in planning through the comparison of various discourses.

Within the above framework, the major and minor objectives, set for each chapter, enable the formulation of policy implications for the subject of the thesis, as summarized in diagram 3.

I.5. Dissertation Overview (Expected Theoretical and Operational Contribution of the Thesis)

This thesis intends to contribute in narrowing the gap between theory and practice in the discussion of governance by drawing a diversity of underlying processes and highlighting a variety of instruments. The thesis attempts to enrich the governance debate with an emphasis on forms and instruments of governance to be utilized in planning.

The following three fields of inquiry constitute the main interests of this planning thesis regarding governance issues: desirable conditions of collective living, the most efficient ways of relations between the state and society and principles of collective actions and interventions. Therefore, a theoretical approach complemented with a critical operational perspective have been intended to elaborate on within the planning framework.

Objective Tree

MAJOR OBJECTIVES
- to underline the importance of corporate social responsibility
- to explore the use of the concept as a device for conceptualizing relationships between state and society
- to examine the possibility of improving governance as an instrument in planning

Conceptual Framework and Theoretical Underpinnings
- to realize conceptual simplification, to achieve mental clearance and to critically review the governance literature

1. GOVERNANCE LITERATURE
- to clarify the roots, the historical origin and the related terminology
- to examine need and relevance
- to review social, political and ideological background and sources
- to clarify the various disciplines approaches to the issues of governance
- to clarify the difference between governance and other related terms
- to examine meaning variation and differentiation
- to elaborate on general meanings, main themes, basic premises and central subjects

2. MEANS AND METHODS
- to examine theories, approaches, models and styles
- to explore adjectives or complementary prewords
- to examine the nature of governance (requirements, conditions, components, ideals and norms)
- to clarify the main framework (instruments and actions) and the actors necessary for the process
- to clarify problems and opportunities, needs and capacities, solutions and strategies of successful and poor governance
- to construct and review the stages and the form of governance
- to investigate governance at various levels
- to examine components and efforts towards new forms of governance in the framework of the European integration and to exploit the approaches and strategies of the World Bank

3. GOVERNANCE IN PLANNING
- to construct an analytical and operational framework of the governance debate in planning
- to elaborate on the institutional meaning of governance in planning
- to review the governance capacity of planning
- to search for more effective instruments to be engaged with strategic and collaborative planning for planners, decision-makers and urban managers
- to construct a relation between the 'new ways of doing governance' and the 'new ways of thinking about planning'
- to analyze the relation between good governance and sustainability in terms of planning
- to elaborate the concepts, methods, programs and strategies of governance

Empirical Analysis
- to evaluate the experience gained from one of the biggest sustainable rural development initiatives in Turkey
- to conduct a comparative evaluation in view of other rural development experiences in Turkey
- to search various participatory and inclusive methods utilized throughout the process
- to reveal the requirements, expectations and level of involvement of all interest groups
- to conduct a comparative study on the organizational structure and the service provision schemes of institutions carrying the mission of public service provision to rural areas
- to examine the capacity of related central or local agencies and other stakeholders in the process of policy formulation and practice of the operations
- to make an assessment of the perception and of the level of awareness about the Köykent Program/Projects and an analysis of the implementation of good governance through the examination of the involvement of the community
- to attempt an analysis of attitudes of local citizens, their priorities, preferences and their civic values
- to enable an evaluation of the risks, threats and challenges involved with both the positive and negative aspects of the process
- to present both successful and unsuccessful aspects of the policy formulation and implementation as well as the reasons or failures and/or missing points
- to make all the evaluations in accordance with the governance debate, set forth in the theoretical part, with reference to the levels and methods of implementation of the program process

Contextual Focus to Governance in Turkey
- to draw a conceptual governance map of Turkey
- to make an insight of the governance debate in Turkey
- to review the challenges and opportunities of governance issues in Turkey
- to elaborate on the Turkish planning policy frameworks in response to the institutional aspects
- to articulate and integrate globally consented principles into tangible results

Diagram 3: The Objective Tree of the Thesis

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It is anticipated that such an approach might constitute a significant contribution to the governance debate through the intregration of recent discussions of governance and an evolutionary process of rural development politics specific to Turkey.

I.6. Problem Definition, Hypotheses and Questions of the Thesis and of the Research

Theorists and scholars have discussed governance issues by means of focusing on critical discipline-specific questions, viewed from different perspectives. Accordingly, certain classic questions of political science such as "Who governs? Who gets what, when and how?", along with the question of "What are the means and methods of government and governance?" constitute the main theme of the governance debate, presented in diagram 4 *(Ham, 2001)*.
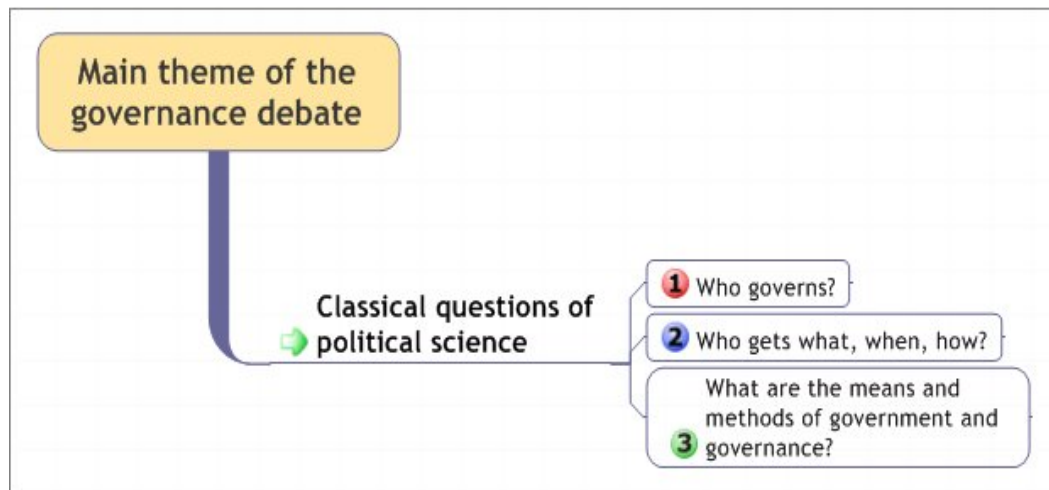
Diagram 4: Main Theme of the Governance Debate

When the above classic questions are elaborated on within the framework of the subject matter, they enable the constitution of a relevant base for policy making in the area of planning as regards the answers of the revised versions of those questions.

It is possible to formulate the essence of the thesis as charted in diagram 5, along with a **diversity of questions** and a **variety of answers.** These questions are grouped and formulated under four categories, set forth in each chapter. The questions also indicate the main framework of the study and draw the basic lines of the thesis. The main argument behind the answers indicates that there has been an increasing tendency to generate a viable living environment. Viability here refers to practical, feasible, usable and adaptable mechanisms that are necessary for sustainable socio-economic development.

The **expected outcome** to be achieved by the following questions has necessitated a critical review of governance literature and an empirical analysis of governance issues in Turkey, in terms of planning. However, the performance criteria to be used in order to verify various governance actions would ordinarily depend on the global consistency and the local efficiency of each policy or instrument within its own framework.
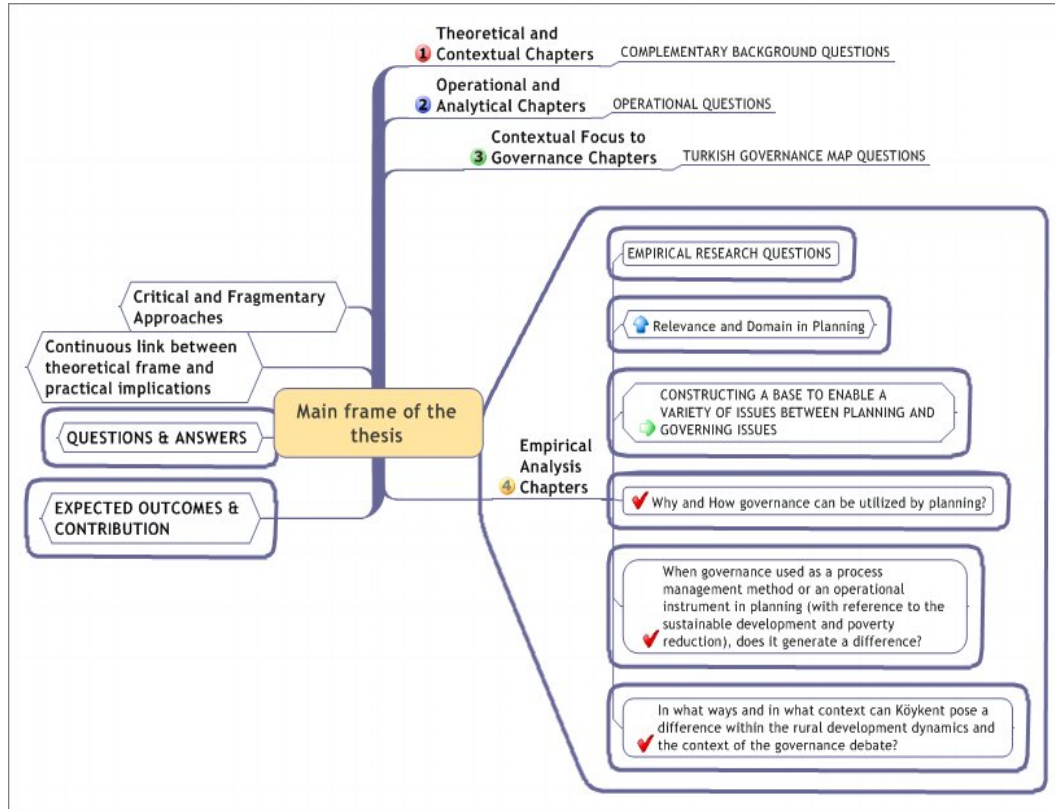
Diagram 5: The Main Frame of the Thesis

1. The first category of questions, set forth below, is the **COMPLEMENTARY BACKGROUND QUESTIONS** discussed mainly in the theoretical and contextual chapters of the thesis.

Major Questions:

- Which literature, international platform and agenda exist in the subject area?

- What types of discussions are held?

- In which ways do social sciences approach the subject?

- Which social scientists and reserachers mainly deal with this issue? What do they do?

Minor Questions:

- What are the means and methods of governance? What is the main context and nature of the concept in world economics and politics?

- How does the governance process work at various levels?

- How is governance understood by different stakeholders in the society? What are their roles, responsibilities and expectations within the governance process?

- Which instruments and actions are necessary for the process? What are the requirements of the new governance-based system?

2. The second category of questions, as per below, is the set of **OPERATIONAL QUESTIONS**, discussed mainly in the operational and analytical chapters of the thesis. Therefore, the following fundamental questions are important to construct a foundation for enabling a variety of issues between planning and governing.

Major Questions:

- What is the importance, relevance and validity of governance for planning and for collective living? What is expected from governance as an instrument in planning?

- Who governs for what and for whom in planning?

- Who owns the governance problematic in planning? Who gets what and how in planning?

- How does governance work in planning?

Minor Questions:

- What are the means and methods to manage governance in planning? What is the nature of governance approaches and instruments frequently used in planning?

- What kind of legal, institutional and social mechanisms are required to implement governance issues for the sake of planning and to advocate good governance at the local level?

- What are the main characteristics and conditions of new forms of governance as an interventionist instrument in planning and social policy formulation?

- How it is possible to measure the principles of governance and to assess their performance?

- How can governance be conceptualized in the framework of sustainable development? (sustainability through governance) How can sustainable development objectives be met through the use of good governanance?

- Which areas and subjects are discussed within the recent project implications and research activities regarding governance?

3. The third category of questions, set forth below, is the **TURKISH GOVERNANCE MAP QUESTIONS** discussed in the chapters of contextual focus to governance.

Major Questions:

- What is Turkey's position with respect to the conceptual framework and theoretical underpinnings of governance?

- How does the governance process work in Turkey? What is the major institutional and administrative framework for the realization of the governance mechanisms?

- How is it empirically possible to test the main framework of the Turkish governance mechanisms?

Minor Questions:

- Which internal and external incentives and processes constitute the main sources and of the legitimacy of the governance debate in Turkey?

- What are the main components of the governance literature tree in Turkey?

- What are the main sources of the legitimacy of governance in Turkey? Around which issues has the Turkish governance structure been formed?

- What are the strengths, weaknesses, opportunities and threats of the Turkish socio-economic and political environment considered as important reasons and needs of the mechanisms regarding governance?

- What responses and discussions of governance are taken into consideration and on which aspects?

4. The fourth category of questions, formulated below, is the **EMPIRICAL RESEARCH QUESTIONS** discussed in the chapters on emprical analysis.

In view of all the considerations and evaluations of the above questions and their answers, the main hypothesis of this thesis is formulated based on the argument that governance can be considered as an operational instrument in planning regarding the context of rural development perspective. At this point, Köykent policy initiatives and implementations are taken into consideration in accordance with the followings;

- an assesment of the role of the local community inititiatives and of the state assistance in developing new forms of governance and interaction between the state and society,

- an examination and analysis of an evolutionary rural development process in terms of its policy implications and the practical measures of governance as well as its successes and failures.

In the chapter on empirical analysis, issues elaborated on in the theoretical and conceptual chapter of the thesis are evaluated and analyzed within the framework of the relation between (sustainable) rural development and governance mechanisms/principles. The analysis is based on empirical findings and results which have particularly focused on the recent Turkish governance agenda and the Köykent initiatives.

The Köykent initiatives are examined with an objective viewpoint. After a layout of the chronological background of the Köykent approach, the process covering the 30 years following its inception and its revival are explained. A general overview of the process, the evolutionary background of the Köykent concept, a comparative evaluation with other programs/projects, the vision, the components, the main philosophy, the content, the institutional and social aspects, and finally the recent implementations and implications of the initiative are, thus, successively explained.

The following are the **major empirical questions of the thesis**;

➤ When governance used as a process management method or operational instrument in planning (with reference to the relation between sustainable development and poverty reduction), does it generate a difference[1]?

➤ In what ways and in what context can Köykent constitute a difference between the rural development dynamics and the context of the governance debate?

Under these considerations, the followings are **subject specific minor research questions**;

• How are governance-related issues reflected in national and local planning policies in Turkey?

• How does governance affect rural development and poverty reduction measures? What kind of policy formulations and practical implications are important in the success or failure of rural development and poverty reduction?

• Which principles of governance are materialized in the Köykent process?

• Why is interactive governance perceived as an unattainable target? How do top-to-bottom implementation models succeed, whereas bottom-to-top approaches do not?

• How and according to what criteria can successful governance processes be designed within the rural development experience?

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[1] When *Holsti's (1992)* question is considered in the field of planning, governance seems to devise a process for planning.

I.7. Methodology and Framework of the Research

The theoretical chapter is based on a fragmentalist and critical approach which requires an inter-disciplinary and multiple-view perspective. Accordingly, the variables and the hypotheses are mainly formulated along with discussions of public administration and political science, in accordance with a planner's perspective.

In the theoretical chapter, after a critical review and the gathering and analysis of the related governance bibliography, the thesis attempts to analyse discourses, policy strategies/instruments and practical implications of governance. The thesis does not discuss all the existing theories about the subject matter; instead the most relevant approaches are taken into consideration to construct a relational, integrative foundation for successive chapters and a sound relevance for the hypothesis.

The arguments elaborated on in the theoretical chapter are intended for analysis in the empirical chapter mainly through determining and evaluating institutional structure, administrative framework and planning mechanisms with respect to the ability to implement governance principles and recent potentialities in Turkey. They are also intended for applying **qualitative research techniques**. The research is based on **participatory observation** and **semi-structured interviews**. However, quantitative research results have also been reviewed to present project implications in a more detailed manner.

The empirical analysis comprises of four stages;

1. a contextual focus to the governance debate in Turkey,

2. a comparative evaluation and chronological background of rural development in Turkey,

3. outlining of the so-called 'story line' of the Köykent initiative and its revival,

4. the qualitative analysis and evaluation of the research results and findings.

By taking the afore-mentioned approach and methodology into consideration, it appears possible to construct a relationship between theory and practice. Concepts of argumentation, which are based on different perspectives, may have an impact on further policy outcomes. It has thus been assumed that transcending from theory to practice may lead to an efficient instrument for planning.

CHAPTER II

CRITICAL PERSPECTIVE: CONCEPTUAL FRAMEWORK AND THEORETICAL UNDERPINNINGS OF GOVERNANCE

II.1. Conceptual Background and Central Tenets of the Governance Literature

II.1.1. Roots and Origins

The emergence of the word governance in English appears to have happened in the time period between the years 1250 and 1300. "To govern" in classical Latin terminology originally meant "to pilot (a ship), direct, guide" while in Greek it means "to steer / to rule". The fundamental meaning of the word is, according to the *Webster's New World Dictionary (1988)*:

> (1) "to exercise authority over; rule, administer, direct, control, manage",
>
> (2) "to influence the action or conduct of; guide; sway",
>
> (3) "to hold in check; restrain; curb",
>
> (4) "to regulate the speed of something by means of a governor",
>
> (5) "to be a rule or law for; determine / the scientific principles governing a phenomenon".

Most commonly, the term implies "the exercise of authority in controlling the actions of the members of a body politic and directing the affairs of the state, and generally connotes as its purpose the maintenance of public order and the promotion of the common welfare". According to this definition, -rule- refers to "the exercise of arbitrary or autocratic power" and –administer- implies "the orderly management of governmental affairs by executive officials". *(Webster's New World Dictionary, 1988)*

The roots of the word "govern", presented in diagram 6, originate from common or similar classical medieval English, classical Latin, old French and ancient Greek *(Webster's New World Dictionary, 1988)*.

Although the term has been evidently used for a long time, the first profound use in writing appears to have been by the English lawyer Fortescue in his book, "The Governance of England" in 1471 *(Cavallier, 1998, p.ix)*.
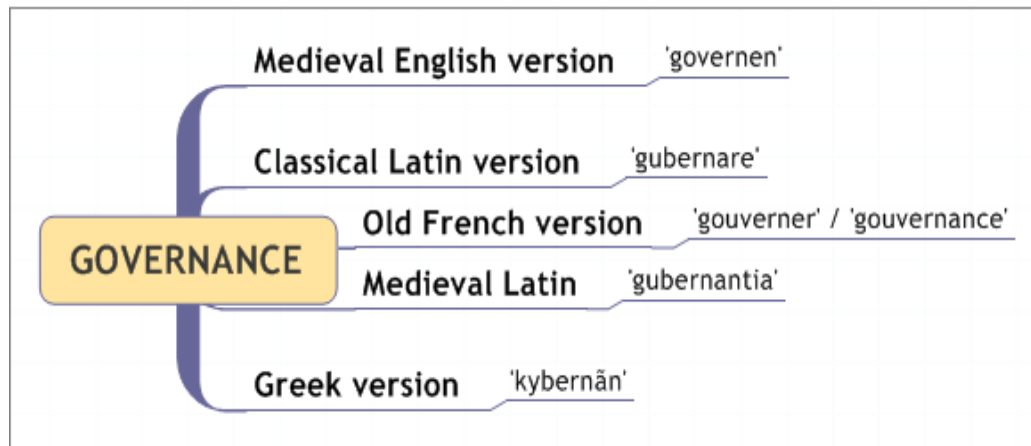
Diagram 6: Root and Origin of the Concept

The term govermance has been used as synonym for the words government and management in English literature, during the 19th century. The word has been apparently used in the title of a book dated 1904, although it was not defined within the book. *(Güler, 2004)*

The original meaning of the term governance implies "the act, manner, function, or power of government" *(Webster's New World Dictionary, 1988)*. The original usage refers "mainly to the action or manner of governing, guiding or steering conduct and overlapped with government" but while the most well-known usage refers to "modes and manner of governing", government also refers to "the institutions and agents charged with governing, and governing to the act of governing itself" *(Jessop, 1998, p.3,30)*.

Although the term governance has been used since the 14th century, the concept has reached its current contextual meaning and extent during the 1990s. The popularity of the concept in the international arena has been supported by certain major international initiatives as well. The UN, the OECD and the World Bank, among other organizations, have commenced working groups on issues such as good governance and good urban governance. The concept has become more widespread after references made in United Nations documents during the 70's and a report of the World Bank related to Africa in 1989. Major organizations have also conducted various international workshops, conferences and seminars related with governance.

The most commonly used terms derived from the root of the term-govern-, presented in the following diagram, are government, governor, governorate, governorship, governance, governability, governable, governableness, governess, governessy, govermentalese, governmental, governmentalism, governmentalist, governmentally, governmentese.

The concept of governance has become popular especially after the Habitat II Conference. However, governance has also been evaluated in relation with the *Tanzimat* period that is considered a milestone in the modernization of the Ottoman era. *(Güler, 2004)*
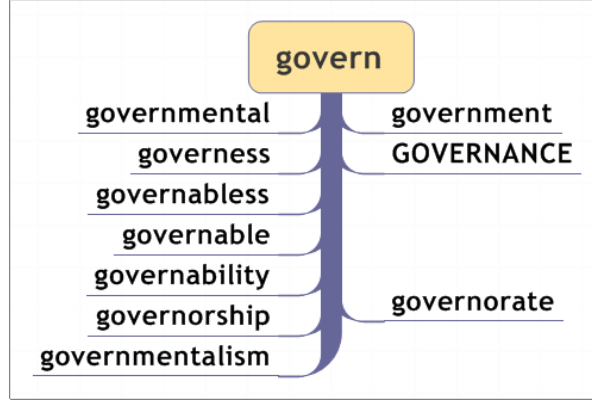
Diagram 7: Commonly Used Terms derived from the Root of –Govern-

The concept of governance has been frequently used and translated as "*yönetişim*" into the Turkish language. It refers to the "joint use of administrative, economic and political authority in the public and private authorities"[1] *(Turkish Language Society, 2004)*. Words of similar structure such as -iletişim-, and -bilişim-, all indicate an action with multi-actor involvement. Accordingly, the root of the word, -*yönet*-, refers to the action of governing while the second part, -*işim*-, refers to the process of mutual interaction among all related stakeholders.

The UN has declared, at the City Summit Habitat II in İstanbul in 1996, that governance is a major concern and good urban governance has been widely accepted as a prerequisite for the balanced and sustainable development *(Cavallier, 1998, p.ix)*.

II.1.2. Rise of the Concern

Governance is a popular concept in various discussions of the social sciences. This popularity stems, to an important extent, from four interrelated developments, presented in diagram 8;

1. The inadequacy of the narrower term "government":

Governments have failed in the process of governing and the term government has gradually become obsolete as a result of the globalizing new world order, in conjunction with socio-economic, political, cultural and technological changes. In addition, nation-states have been in a crisis of dealing with national policy implementation. All the above circumstances have

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[1] The Turkish version is "*resmî ve özel kuruluşlarda idarî, ekonomik, politik otoritenin ortak kullanımı*". *(Turkish Language Society, 2004)*

resulted in a fundamental shift and in the challenging of the meaning of government and have affected all facets of public policy.
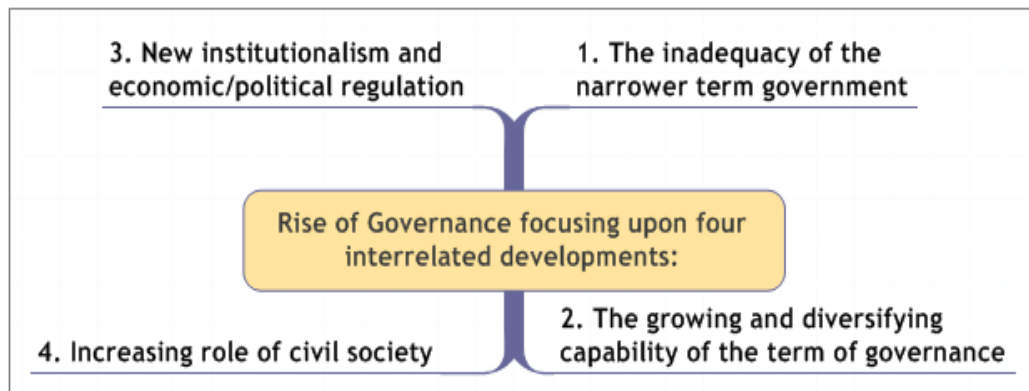
Diagram 8: Rise of Governance

2. The growing and increasingly diversified capability of the term governance:

Increasing capability indicates that the concept is capable to meet the main demands of today's post-industrial society characterized by multiplicity, diversity and complexity of various actors/stakeholders, relationships and institutions.

3. New institutionalism and economic/political regulation:

There has been a growing tendency towards global, supra-national or trans-national level of institutionalism with the main purpose of economic and/or political regulation. This tendency has also been greatly encouraged by the World Bank, the United Nations and the European Community.

Ideas developed in the contemporary context of "new institutionalism" have additionally constituted an important basis and "source" in terms of "looking at organizing from a structural societal resource point of view" *(Kooiman, 2003, p.53)*.

4. The increasing role of the civil society:

The urgent and contemporary global issues regarding peace and security, economic and social development, equity, urbanization, protection of the global environment, gender equality, the green movement, all have necessitated rapid and effective responses that could have been realized only by an increasing role undertaken by the civil society.

Most of the governance theorists agree that the development of the notion of governance has been due to the rapid and extensive change in the global arena which has also affected power structures throughout the world.

II.1.3. Intellectual Background and Sources

There has been an increasing interest of governance issues in different academic fields and disciplines at both the theoretical and the practical level. While academics and scholars approach the subject from various theoretical perspectives, practitioners tend to adress the practical utilization of governance in various areas.

This duality can be seen both in the "substantive content of governance" and in "its practical character". The first one concerns mainly a "difference between those who view governance to be concerned with the rules of how to conduct public affairs and those who see it as steering or controling public affairs". According to the second view, the difference seems to be between "governance as an activity" and "governance as a process". *(Hyden, 2002, p.13-14)*

A review of literature implies four main areas of approaching governance issues, that underlines these areas, namely:

- public administration,

- international relations,

- international development agencies,

- comparative politics.

Governance as a multi-faceted and multi-disciplinary area of study, has been concerned with cultural studies and history as well as economics, towards an integrated system of all the above that provides basic functions to society.

II.1.4. Etymology of Governance

The increasing literature on the issues of governance mainly utilizes the multiplicity of the terminology. Within the governance debate, the most commonly used terms are goverment, governing and governability.

According to the *Webster's New World Dictionary (1988)*, government is defined as "the political direction and control exercised over the actions of the members, citizens, or inhabitants of communities, societies, and states; direction of the affairs of a state, community". Governance, on the other hand, is described in the same dictionary as "the act or process of governing, specifically authoritative direction and control".

Kooiman (2003, p.231) describes governance as "theoretical conceptions on governing interactions", governability as "quality of governing interactions of a social-political system / entity as a whole", and governing as "interactions to solve societal problems or create societal opportunities, care for institutional aspects of these interactions, and setting normative principles for them".

The concepts of government and governance have varied in their meanings.

The governance debate mainly implies a notion of "governance without government" which tends to emphasize "the role of international markets, international institutions and regimes, as well as formal and informal networks of cooperation" *(Ham, 2001, p.125)*.

Governance is examined in terms of world order and changing world politics. According to Rosenau, "governance without government" is generally known "to conceive of functions that have to be performed in any viable human system irrespective of whether the system has evolved organizations and institutions explicitly charged with performing them" In the book, "Governance versus Government", *Rosenau* stresses that "governance is not synonymous with government" and both concepts refer "to purposive behaviour, to goal-oriented activities, to systems of rule". Rosenau compares the above two concepts in the sense that government activities are supported by "formal authority", while governance activities, on the other hand, are maintained by "shared goals". This differentiation indicates that "governance is a more encompassing phenomenon than government". Governance welcomes "governmental institutions" as well as "informal, non-governmental mechanisms". *(Rosenau, 1992b, p.3-4)*

Governance has also commonly made reference to "the new patterns of interaction between government and society" *(quoted Kooiman, 1993a, p.1, by Akdeniz, 2001, p.32)*. The above concept highlights a "change in the meaning of government" and implies a "new process of governing, or a changed condition of ordered rule, or the new method by which society is governed" *(quoted from Rhodes, 1996, by Akdeniz, 2001, p.33)*.

If governance is examined in terms of world order and changing world politics, it can be concluded that there is a definite relation between governance and order. In fact, they have been assumed as "clearly interactive phenomena" *(Rosenau, 1992b, p.8)*.

Although governance has referred to "what governments do" and to "the machinery of the state" in modern societies, the contemporary discussion of governance rather indicates the differerence between them as government is defined as a "separate sphere of social organization" *(Healey, 1997, p.206)*.

On the other hand, the conceptual comparison between governing and governance presents an important way of understanding the question of "why these new forms of governing are being developed; why more traditional ways of doing things no longer work in terms of steering, management and control, and why these new forms might do better" *(quoted from Kooiman, 1993a; by Kahraman, 2000, p.42)*.

The most distinctive point of governance is the difference and transformation of the traditional meaning of governing. The development of the notion of governance focuses on a system regulating the relationships between the government and society, based on certain

terms of principles which are accepted as the mutually interdependent characteristics of the concept of good governance.

Another important concept is governability, known as an "overarching concept, as the quality of a social-political entity as a whole" and is not considered as "static" as it mainly depends on "external factors" *(Kooiman, 2003, p.193)*.

II.1.5. General Meaning and Basic Premises

Most governance theorists and practitioners have viewed governance as a vague concept, since it has entailed a wide variety of aspects, multiple levels and inter-disciplinary perspectives, summarized in the following diagram, assumed by a multitude of actors, and has lacked clearly expressed frameworks that could define the nature (characteristics, elements, levels, uses etc.) and forms of governing, governance and governability. For this reason, an increasing need has emerged, to clarify the uncertainties and unspecified aspects of the term.
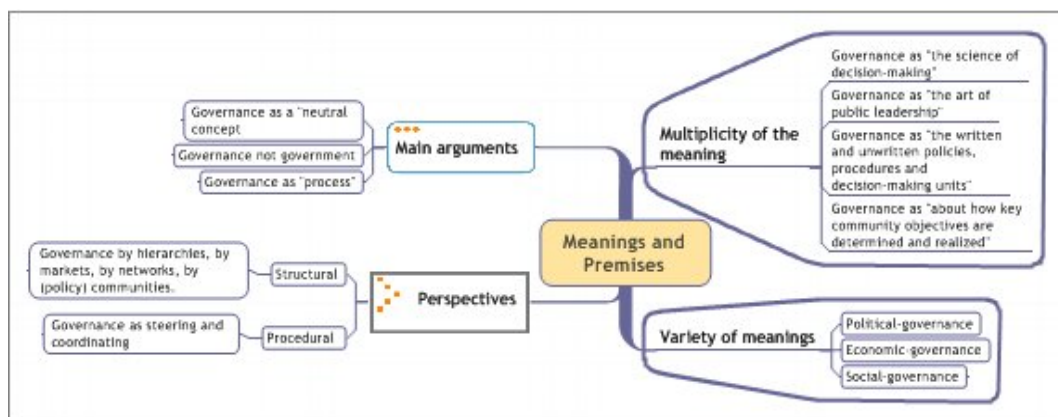
Diagram 9: Meanings and Premises of Governance

In a broader sense, the multiplicity of the term governance has been expressed in a variety of ways, such as;

> "- Governance is the science of decision-making.
>
> - Governance is the art of public leadership.
>
> - Governance is the written and unwritten policies, procedures and decision-making units that control resource allocation within and among institutions.
>
> - Governance is about how key community objectives are determined and realised, with government, whether central or local, being one, but not the only, possible means through which it may happen." *(quoted from Maseland, 2000; by Kahraman, 2000, p.44)*

Various international, national and regional conferences, seminars, programs, projects and initiatives have brought about a range of theoretical discussions and practical implications about governance, developed by social scientists, theorists and political leaders. Therefore, there have been various definitions about the subject matter.

Prior to presenting the most relevant definitions, there appears to exist a need to highlight one of the main arguments, seemingly best expressed in the following statement;

> "Governance is a neutral concept; it can come in many forms, tyranical or benevolent, effective or incompetent.
>
> Second, governance is not government. As a concept, it recognizes that power exists inside and outside the formal authority of government. In many formulations, governance includes government, the private sector and civil society.
>
> Third, governance emphasizes process. It recognizes that decisions are made based on complex relationships among many actors with different priorities." (*Taylor, 2000, p.199*)

Most of the definitions on the concept of governance have set forth a new model comprising of a series of ideas used to generate sound economic, social and political management practices. This model additionally implies

> "...a shift away from traditional patterns in which governing was basically seen as 'one-way' from those governing to those governed, towards a 'two-way traffic' model in which aspects, problems and opportunities of both the governing system and the system to be governed are taken into consideration" *(quoted from Kooiman, 1993a, p.4; by Akdeniz, 2001, p.32).*

When the conditions/needs of governance are examined in the field of the world economy, there appears to exist a need to make a distinction between "existing rules or institutions and how they need to be changed or adapted" and "missing rules or institutions and why they need to be introduced or created" *(Nayyar, 2002, p.12).*

The social or communal meaning of the term governance refers to the "processes through which collective affairs are managed". Actually, the important conception seems to be the "public realm" which means the "arenas for discussion of collective affairs". *Healey (1997)* expresses this arena as "the articulation of rules of behavior with respect to the collective affairs of a political community". Governance enables political community members to legitimize their initiatives in terms of the "common good" or the "public interest". *(Healey, 1997, p.206-207)*

Another social expression of the term has been developed by *Rosenau (1999)* in that the following statement;

> "Governance … refers to mechanisms for steering social systems toward their goals, a conception which is far more amenable to understanding a world in which old boundaries are becoming obscure, in which new identities are becoming commonplace, and in which the scale of political thought has become global in scope. Indeed, it might well be that the shift to the emphasis on governance will prove to be the first major indicator that a new inter-subjective ontology for

understanding world affairs is already in the process of taking hold in the awareness of people". *(Rosenau, 1999, p.296)*

Yet another conception of the term, "social-political governance", has been mainly expressed with reference to the three features of modern societies, "diversity, dynamics and complexity". *Kooiman* has considered these three aspects as "the second key building block" of his ideas on "governing, governance and governability". *(Kooiman, 2003, p.8-9)*

II.2. Theoretical Background: Means and Methods of Governance

II.2.1. Theories and Approaches

Theories, approaches and even hypotheses, of governance, presented in the following diagram, empower social scientists and practitioners to understand explicitly and to analyze critically the global world order, economic and political institutionalism, forms of global-national/local interrelation, co-operations and exchanges.
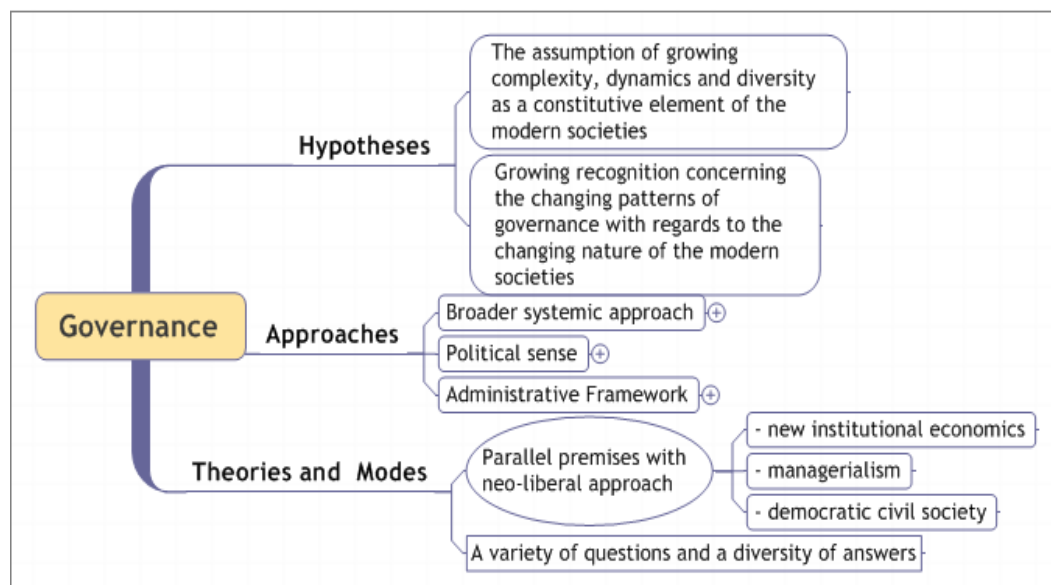
Diagram 10: Governance Theories and Approaches

Kooiman (1993a, p.6) categorizes governance theories under the following **two main hypotheses**:

" 1. The first hypothesis concerns the assumption of growing complexity, dynamics and diversity as a constitutive element of the modern societies. This assumption inevitably leads to need for the new conceptions of governing due to the challenges that appear as the outcome of the very feature of the growing complexity, dynamics and diversity, the governance theorists argue.

2. The second hypothesis has been stated as the growing recognition concerning the changing patterns of governance with regards to the changing nature of the modern societies." *(quoted from Kooiman, 1993a, p.6; by Akdeniz, 2001, p.65)*

The concept of governance has also been addressed by **various approaches,** summarized in diagram 11 *(Leftwich, 1994, p.370)*;

1. The first one issues a rather "broader systemic approach" through which good governance can be discussed within the new world order.

2. The second approach, that of the "political sense", adresses the subject with respect to "the traditional liberal premises presupposing a pluralist polity".

3. The third approach concentrates on the "administrative framework", through which governance brings about "efficient, independent, accountable and open public service".
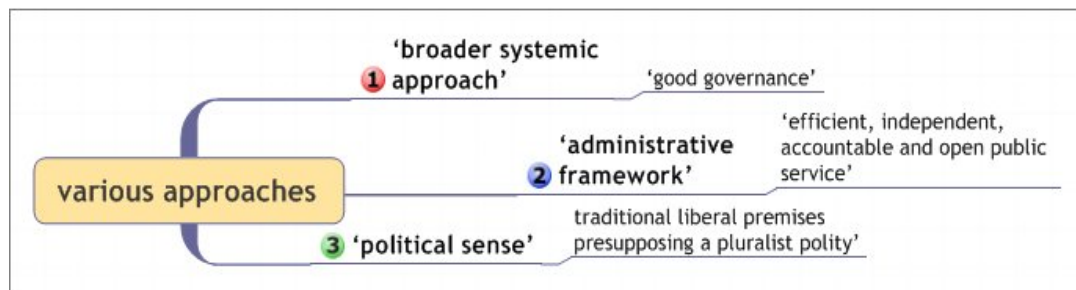
Diagram 11: Governance Approaches

The main idea of these various approaches is based on the "interactions taking place between governing actors within social-political situations". These interactions empower people to understand the fundamental characteristics of modern and post-modern society, which are "diversity, complexity and dynamics". The three major characteristics of contemporary society are important in the process that could "characterize societal conditions, situations and developments" and they function as "working concepts". They are, in fact, considered as "central features of governance" as well as "basic governance challenges". *(Kooiman, 2003, p.7,19)*

With reference to the conceptions of several theorists, these fundamental characteristics do not assume a negative perpective about the concept, as declared by some other theorists. In fact, they can be considered as encouraging inspirations of governance to interpret as an effective and interactive instrument in balancing socio-political needs and capabilities. Therefore, these main features (diversity, dynamics and complexity) constitute the basic reasons underlying the change in the meaning of the concept of citizen.

There exist various **theoretical definitions** and **practical implications** of the term governance and governing, in many disciplines. The relation between governance and governing can be conceptualized as follows;

> "To some degree, governing can be seen in models, in practice, governing can be observed everywhere. Social-political governance is a fact of life, and by defining governing in terms of interactions, in which societal diversity, dynamics and complexity are expressed… Governing can be considered as the totality of interactions, in which public as well as private actors participate, aimed at solving societal problems or creating societal opportunities; attending to the institutions as contexts for these governing interactions and establishing a normative foundation for all those activities… Governance can be seen as the totality of theoretical conceptions on governing." *(Kooiman, 2003, p.4)*

After a review of the various approaches and theoretical perspectives, the following core points highlight the main premises of the concept *(quoted from Rhodes, 1996, p.653, by Akdeniz, p.33-35)*;

1. The "minimal state" presents less public intervention and encouragement of use of markets.

2. "Corporate governance" refers to "the systems by which organizations are directed and controlled".

3. The new public management has a parallel perspective with the new institutional economics and managerialism.

4. Good governance is the most commonly used concept, which generally comprises various characteristics declared by several international agencies.

5. "Socio-cybernetic systems" stress "the pattern that emerges in a socio-political system as common result or outcome of the interactive intervention efforts of all involved actors".

6. "Self-organizing networks" indicate a broader term and encourage the private and voluntary sectors, and also several interdependent actors.

Governance implies fundamental ideas of neo-liberalism and has been defined based on three main ideals: (1) decentralization, (2) privatization, (3) individualization. These ideals are expressed as "governing instruments" and they constitute critical arguments both "on the idea of a local public" and "on the (re)birth of local democratic citizenship". *(Brodie, 2000, p.119)*

As a matter of fact, there has been a change of meaning that highlights a shift or transition through the use of complementary terms. Current problems and opportunities of governance, in terms of the issues of democracy and human rights, require a new system or a shift in the context of the traditional theories, from the representative democracy towards a much more evolutionary, form necessitating new conceptions of governance.

These new conceptions address the rise of several components. Governance is generally phrased together with certain adjectives, such as multi-actor governance, good governance, communiciative governance, interactive governance, participatory governance, social-political governance, collaborative governance, enterprise and corporate governance, etc.

The reason for using all these adjectives or complementing terms stems from a shift in the traditional meaning of the term governance from "the exercise of authority; and control and a method or system of government or management" *(Webster's Unabridged Dictionary, 1996 Edition)* towards decentralization of the exercise and control.

Tekeli (1996) has stated that "governance is a transition of governing acts from a central, hierarchical approach to a multi-actor, decentralized approach" and it signals the shift, summarized in the following diagram, in the responsibility of steering towards a more civil society.
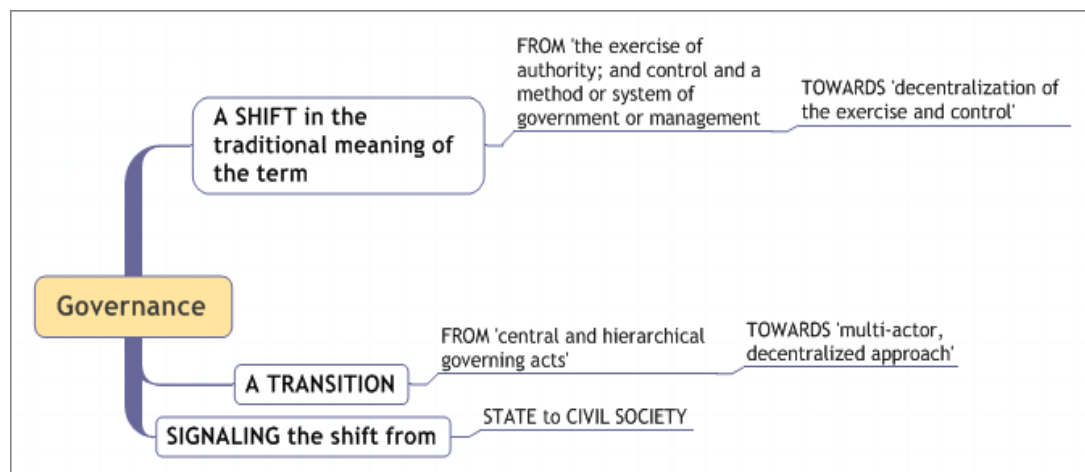
Diagram 12: Change of the Meaning of the Term Governance

This growing tendency towards considering governance together with several complementary terms has also been supported by the increasing importance and the influence of several international conferences and recent global discussions. Political leaders and theorists have played important roles in these global discussions. This tendency comes from the common understanding that governance can be best understood and provided by such basic components that will encourage the ideals of democratic environments.

Under these circumstances, the term necessitates the following supportive terms to assist in understanding the evolutionary progress regarding the governance process, shown in diagram 13.

Right governance is a widely used term in the governance literature and refers to practical experiences. There has been a widespread consensus on the idea that right governance

implies a process called a "virtuous circle" involving the economic, social and political growth, each depending on the other *(Brodie, 2000, p.110)*.

Interactive governance is frequently used since interaction constitutes a "linking pin between societal attributes and governance qualities". Therefore, "governing interactions" are considered as "social phenomena" and "key conceptual elements". The term governing interactions also presents a rich source in terms of analysis and synthesis of various aspects of governance. *(Kooiman, 2003, p.5)*
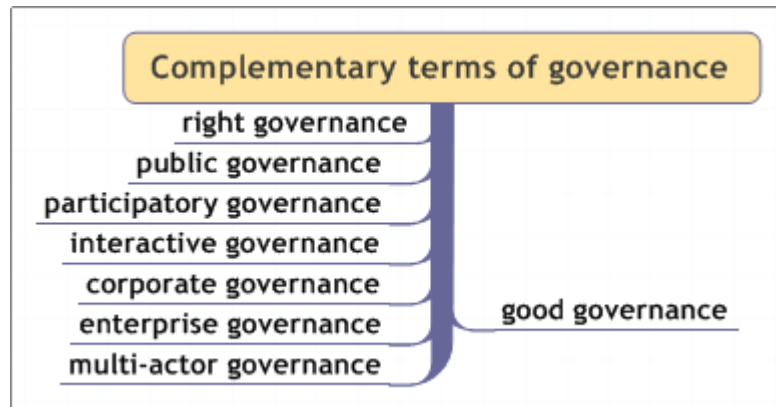
Diagram 13: Complementary Terms of Governance

Multi-actor governance has dealt with the basic argument that contemporary societies are characterized by "highly complex, dynamic and diverse structures" and they tend to be in need of handling these structures through effective instruments and particular governing model's *(Kooiman, 1993a)*.

Recent discussions of governance theories seem to dictate that multi-actor governance has become an important term in an environment where no-single actor has sufficient knowledge and potential to solve the problems and to generate the potentials. All actors can only assume a partial role in the process. Nation-states, international organizations, civil initiatives and even local people should be involved in the governing action. And while some theorists consider that multi-actor governance is caused by the fall of modern nation-states, others consider it a result of the transformation of the power of the nation-states and the state of their sovereignty.

Within the wide-ranging governance debate, two additional important complementary terms are **enterprise** and **corporate** governance, terms which have been frequently used in the corporate environment to refer to the "efficient management" and the "creation of measurable wealth" for the sake of the community of shareholders *(quoted from Cadbury report on corporate governance, 1992; by Cavallier,1998, p.31)*.

Good governance is the most commonly used term which is best described as a part of the "emerging politics of the new world order" *(quoted from Leftwich, 1994; by Akdeniz, p.2)*.

The concept of good governance can be considered as the responsible and responsive use of power which has enjoyed wide contemporary use, to refer to the ways and the processes of citizen participation and effectiveness. Good governance, therefore, is based on a new form of government that focuses on certain terms of interaction, mutual understanding and allowing for stakeholders to participate in the process of decision making. Good governance implies a form of government which is widely responsive to citizen demands. The concept defines the citizens as stakeholders depending upon "the status of a legitimate political decision-maker" to encourage their participation in the decision-making process *(Tüzün, and Sezer, 2002a, p.102)*.

According to certain good governance formulations, there are various different outcomes in the governance practices at the local, national and international levels. In other words, each stakeholder approaches governance from different perspectives and might well be expected to have different expectations. These discussions constitute the answers to the questions of 'how is governance to be understood by all actors in the society?' and 'what are the expectations of different stakeholders from the governance process?'

The answers to the above can be best explained using the following fragmentation *(Tüzün, and Sezer, 2002a, p. 103)*;

- At the **local level**, the success of good governance depends on the days of decision-making, implementation and auditing activities of municipalities and other forms of administrations. Whether the process is participatory or whether local inhabitants are equally represented, is important in this process.

- At the **national level**, the existence of a participatory political setting is important in the process of decision-making. The sustainability of the governance actions at national level can only be achieved by the financial and human support.

- **International good governance** can be operationalized when all stakeholders, namely nation-states, key world organizations, civil society and NGOs are all included in the participatory decision-making, monitoring and administrative processes.

In this thesis, governance has not been augmented with complementary terms. The coverage has been intended solely for supporting the contemporary understanding of the term.

II.2.2. Principles and Elements

The various perspectives presented in this thesis bring about a general framework or a visualization of what governance looks like with the use of certain complementary terms.

Whatever the terms coupled with the term of governance are, there exist certain **preconditions, elements and principles** in order to successfully realize all actions and programs in a governance process, summarized in the following diagram.

Two of the most significant **pre-conditions** are as follows;

- mutual interaction and societal consensus and

- balances and transfer of power.
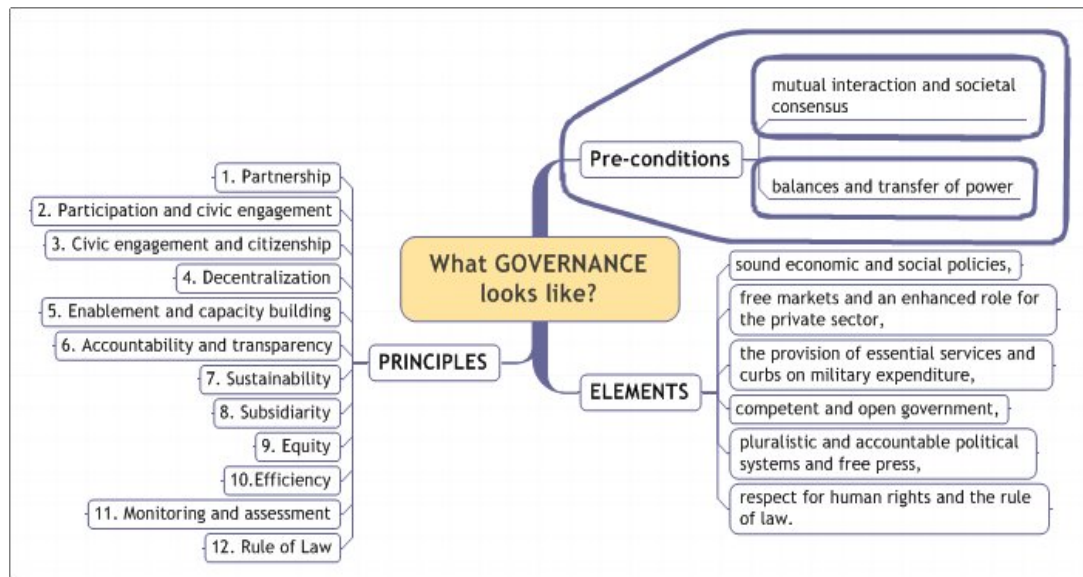
Diagram 14: Preconditions, Elements and Principles of Governance

Although these pre-conditions may ensure the sustainability of the governance process; it would still be unattainable to have a universally accepted model of governance. National, regional, local and communal differences and identities constitute major realms for the variety of forms of governance principles.

There are certain elements that constitute the core ideas of governance which have parallel premises with the neo-liberal approach in terms of a "competitive market economy", "a well-managed state" and "a democratic civil society". These common ideas can be formulated in terms of two perspectives. The first perspective addresses the "neo-liberal lines of thought" and the "competitive market economy". Secondly, the shift towards a "well-managed state" highlights the importance of "the conception of the neutral state". *(Akdeniz, 2001, p.75)*

Discussions in major international conferences and global commitments have resulted in the emergence of certain principles of governance with reference to successful governance, good governance, interactive governance, and multi-actor governance. The following **principles** have thus been conceptualized in most of the globally agreed discussions of

major international organizations and mechanisms (such as the World Bank, UNCHS-Habitat, the EU Commission etc.); partnership, participation and civic engagement, civic engagement and citizenship, decentralization, enablement and capacity building, accountability and transparency, sustainability, subsidiarity, equity, efficiency, monitoring and assessment and rule of law.

The successful implementation of the governance system requires the conscious and active involvement of the society. All these principles and elements can only be achieved through the participation of the people in the decision-making processes. However, this participation has also initiated an important change in the context and meaning of citizenship.

In short, governance has had an ideal of an evolutionary democracy process through implementation of the above basic principles. Finally, the critical argument states that to accept these complementary and inter-related principles is not only the way to govern successfully. In addition, there is a crucial need to develop new substantive constants and variables on the basis of both globally agreed ideals and locally sustained values and norms.

II.2.3. Mechanisms

The basic argument in this section shall be that, although there are various instruments and actions in terms of governance mechanisms, governance itself also constitutes an important instrument. It is thus important to understand how instruments and actions can be conceptualized as governing mechanisms.

The tendency to shift from governing to governance has addressed the following issues, charted in the following diagram;

- decentralization of authority,

- ongoing process of interaction between public and non-public actors,

- development of a new system of enabling mechanisms and institutions as shown below (decentralized, democratic, interactive, participatory, community-based, vertical, transparent, accountable and efficient).

The main argument in the governance debate is that; "…governing as an activity and governance as its structural component, is not something governments do (or don't do)". In other words, there are several sets of activities and structural arrangements through which all stakeholders have governance roles and actively participate in the process. *(Kooiman, 2003, p.157)*

Another interesting argument is that the effort to "re-invent government by decentralizing decision-making and empowering managers and front-line administrators has promoted greater policy incoherence" *(Ham, 2001, p.132)*. This means that this re-invention has promoted governance mechanisms.
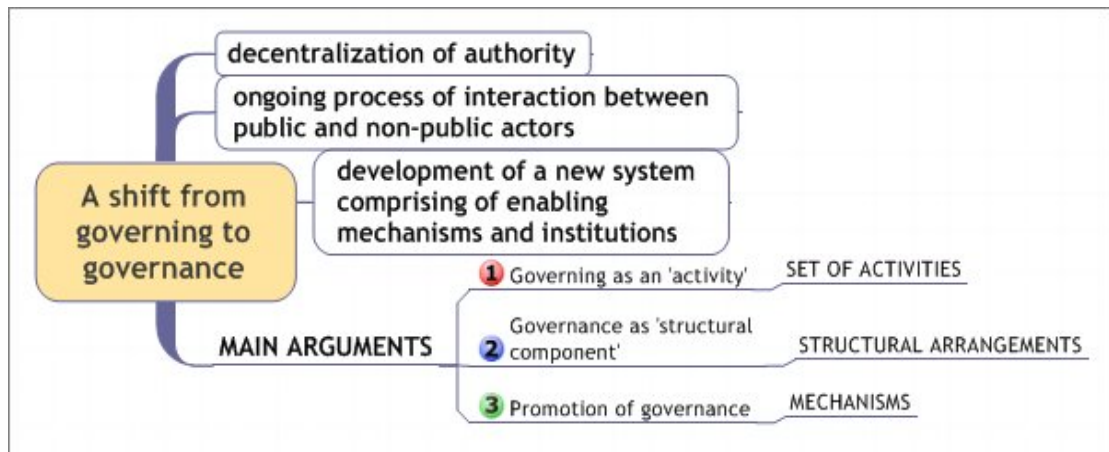
Diagram 15: A Shift from Governing to Governance

In addition, privatization and deregulation are the important mechanisms of governance. They are encouraged through "partnership and empowerment between the public and private sectors" *(Healey, 1997, p.208)*.

Governance discussions have been associated with the questions of "how and why governments are structured, what processes they employ in governing, and what results they are able to accomplish in serving their societies". The main frame of the governance mechanisms is associated with three dimensions; the structure, the process and the outcomes *(Jreisat, 2002, p.1, 11)*, outlined in the following diagram:
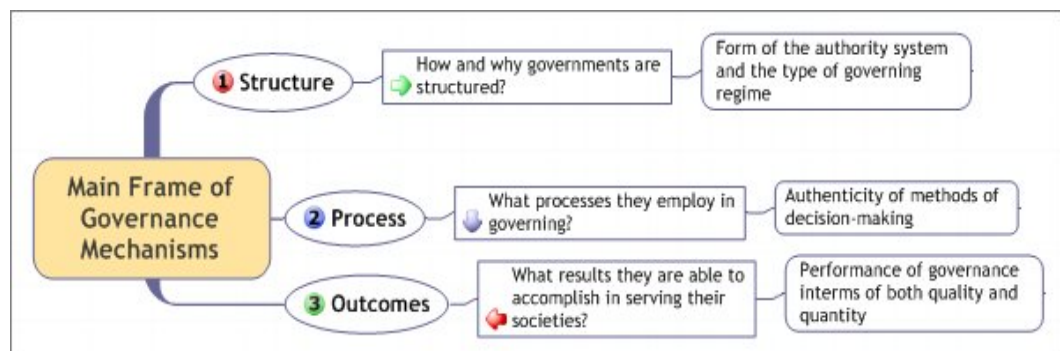
Diagram 16: Main Frame of Governance Mechanisms

1. Structure: It is basically accepted as "the form of the authority system" and "the type of the governing regime". It refers to "basic characteristics of the system", such as the "degree of centralization", "control and representativeness".

29

2. Process: It is mainly addressed by "the authenticity of the methods of decision-making". The important point is that they belong to "common public interests" or "special interests".

3. Outcomes: They are especially important in measuring the "performance of governance" in terms of both quality and quantity. All the governance principles can be evaluated in terms of measuring outcomes.

Under these circumstances, governance is considered as a process of making decisions and achieving outcomes, presented in diagram 17. Governance is also highly inter-related with "people and institutions (public and non-public) that abide by the process in producing necessary activities". This consideration highlights an important distinction that exists

> "...between governance as an **analytical concept** and governance as an **operational process** and that separates the form from the practice of authority in the management of a country's economic and social resources. It is here in this exercise that the capacity of governments to design, formulate and implement policies is tested." *(Jreisat, 2002, p.11)*
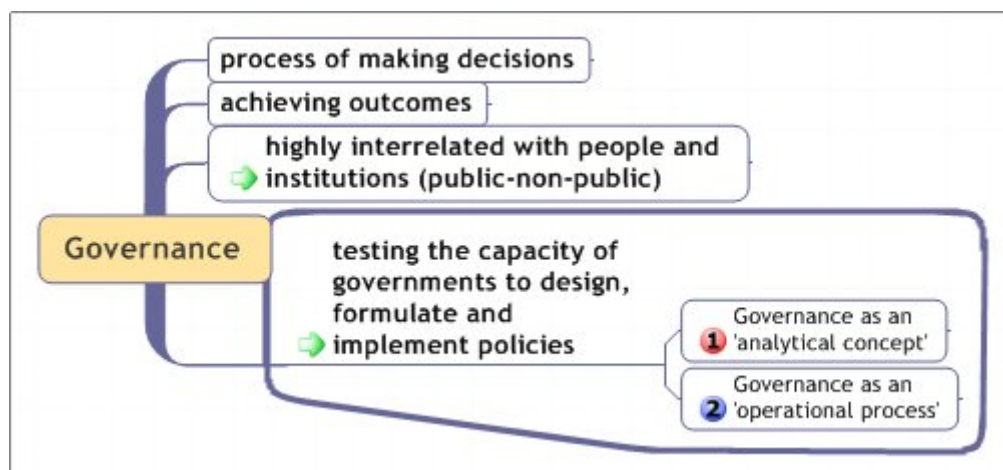
Diagram 17: Main Features of the Governance Mechanisms

Within the governing process, there exist public/private individual governors and large-scale organizational entities, as the main actors. The important point here is to choose an instrument to govern with and to form a governing initiative. *(Kooiman, 2003, p.75)*

Mechanisms (instruments and actions) are the main framework of the discussions in the governance process. They form an important integrative and complementary part of the decision-making and implementation system. Instruments and actions are highly interrelated and constitute mechanism.

This framework incorporates two important aspects; namely, "governing institutions play a central two-way role in the representation of -those being governed- and -those governing-" *(Kooiman, 2003, p.158)*. This means that there is a distinction between the governor side and the side of those to be governed;

1. The Governor's point of view (public, semi-public or private) is critical in the generation of such instruments to develop institutional capacity and to organize and influence relations.

2. At the side of the people to be governed (Governee's point of view), (inter)actions are important factors. Here, the term interaction constructs an important base for governance issues and indicates a mutual relation between two or more actors or entities. Most of the theorists use this concept to indicate "the multi-lateral relations between social and political actors and entities (individuals, organizations, institutions)" *(Kooiman, 2003, p.11)*.

The answer of the question of, why interaction is so important, in the governance debate depends on two arguments. The first one signifies that interaction is a way to handle the challenges and opportunities of contemporary society characterized by its diversity, its complexity and its dynamics. The second argument highlights that interaction itself generates an analytical and systematic discussion of governance.

In addition, social capital, as a "societal resource", is an important term in governance literature. It indicates "the structural level of governing action". There is a close relation between governing activities and social capital. Bourdieu and Coleman, are the godfathers of theorizing the concept in terms of "structural quality". *(Kooiman, 2003, p.64)*

II.2.4. Problems and Opportunities

In governance discussions, problems are as important as opportunities. This means that in the governance debate, political leaders, administrators and social scientists should try to transform the problems into a much more controllable and solvable format, because in most of the cases problems may generate opportunites for more pluralistic and democratic forms of governance.

In other words, problems as well as opportunities, as summarized in the following diagram, constitute important challenges for the new governance-based system in society. Within the framework of problems and opportunities, there exist another need for conceptualizing the mutually inclusive terms; needs and capacities and solutions and strategies.
The major source of the problems in governance is closely connected with the outcomes of the individualization and the modernization process *(Kooiman, 2003, p.149)*. Main problems and opportunities of governance refer to the issues of democracy and human rights in terms of the contextual base. On the other hand, central problems and opportunities, in terms of the procedural base, are mostly related with the level of socio-economic development and the local circumstances.
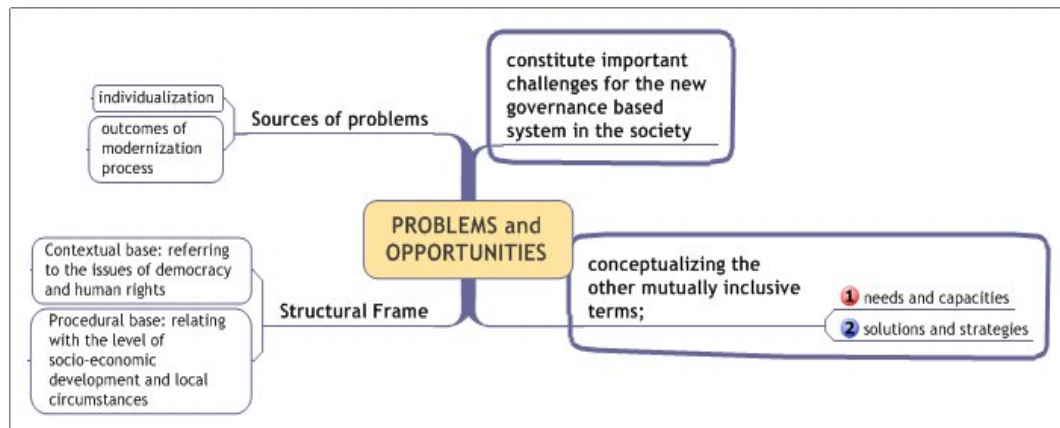
Diagram 18: Main Problems and Opportunities of Governance

Successful governance contributes to the well-functioning of the market and of the legal system. The shift from governing to governance enables many authorities to operate more effectively and to control their activities in a more efficient manner. Countries which have poor governance mechanisms have suffered from economic and social development problems.

In other words, good governance is assumed to be of equal importance to the free-market. A sound economy can be constructed if it is supported by effective governance that is described as a "...functioning legal system and regulatory process as well as supported and accountable legitimate authority". As many governance theorists have stated, most of the economic and social problems, such as population growth, poverty, environmental degradation; urban and rural settlement problems, social and physical exclusion, identity and ethnic conflicts etc. are clearly associated with the failure of governance.*(Jreisat,2002, p.2-3)*

On the other hand, as designated in most of the documents of the World Bank, poor governance has various negative implications, such as weak economic growth and less social development, under-developed human capacity, inefficiency in the business environment, inefficiency and limited quality of public goods and services, obstacles before a more democratic living, corruption (in the forms of favouritism, nepotism or bribery), and social and physical exclusion. There are also several other consequences generated by poor or successful governance, as summarized in diagram 19.

One of the most distinctive results of poor governance is slow economic and social growth, because of limited civic participation and lack of ownership in shaping and sustaining the future of society.

Governance measures have important effects for the success of the reforms in various areas, such as trade, investment, employment and job creation. Better governance

constitutes an important base for a government to improve and sustain social development and gender equality.
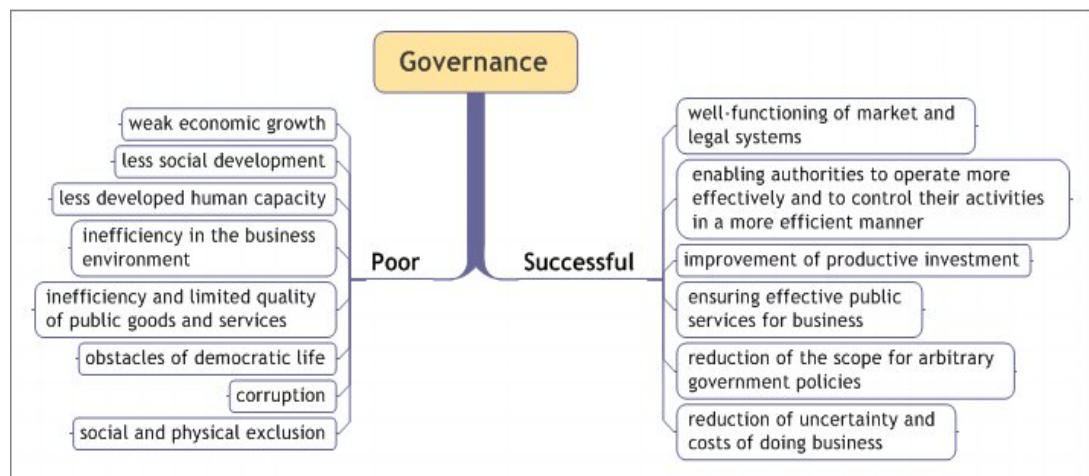
Diagram 19: Results of Poor and Successful Governance

When governance is defined as the "conscious management of regime structures with a view to enhancing the legitimacy of the public realm", an important distinction appears between "how to conduct and how to control public affairs on one side, and between activity and process on the other" *(Hyden, 2002, p.4)*.

In addition, governance is decribed as the "institutional framework that steers the realization of democratic ideals". Here, a crucial argument is taken into consideration which is "governance links values and interests of citizens, legislative choice, executive and organizational structures and roles, and judicial oversight in a manner that suggests interrelationships among them and significant consequences for their organizational ability and performance" *(Jreisat, 2002, p.4)*. There is an inevitable correlation between successful governance and development, a notion that is especially important for less developed and developing countries.

In conclusion, current challenges (problems and opportunities) in the governance debate bring about a shift in the context of the traditional theories, from representative democracy towards a much more evolutionary form of it.

II.2.5. Forms and Agendas of Various Levels

There exist different levels of policies, strategies and measures of governance in terms of global, supranational, international, national, regional, urban, local and community levels, as seen in diagram 20. This multi-level structure comes from an important feature of

governance; that is, governance activity may easily penetrate into various arenas through multiple social relations, networks and mechanisms. These arenas also refer to a wide range of actors, lines of authorities and institutions to deal with the all governing mechanisms. Geographical, historical, political, global and local differences may determine the nature of governance levels. In most cases, people can generate their own preliminary processes which define the institutions and the baselines of governance.
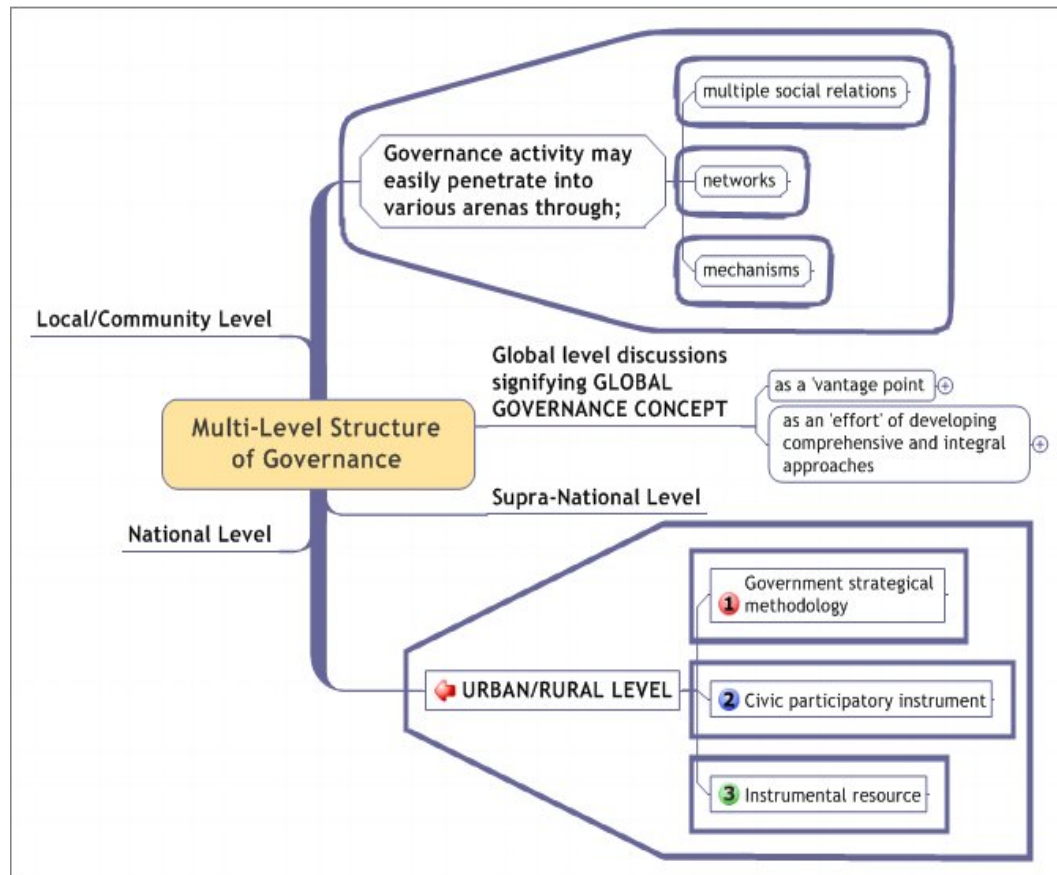
Diagram 20: Multi-level Structure of Governance

The most commonly used level in the related literature is the concept of global governance. Global governance is accepted as a "vantage point" which depends on "the sources and political implications of global change" and addresses "the notion of economic globalization". Global governance has emerged as an effort of developing "comprehensive and integral approaches to analyzing global change". Although there is an important tendency generated by *Rosenau, J.*, to discuss global governance in terms of "the relocations of governance that arise from the micro-level in the context of trends towards integration and fragmentation", another popular global governance discussion trend refers to "the implications of more specific global changes: the emergence of global civil society, the internationalization of the

intellectual and political elites of hyperliberal (or neoliberal) capitalism, and the emergence of informational elites". In short, the global governance debate is an important attempt to understand global changes and transformations. The global governance theory has been taken into consideration within the framework of "the multilayer debate on the sources, extent, and consequences of global change". *(Hewson and Sinclair, 1999, p.5, 11, 18)*

The current world order has transformed the structures and mechanisms of nation-states and has given birth to a new concept called supra-nationality. While politicians, leaders and social scientists have been discussing major issues at the global, international and supra-national levels, most of the agreements and requirements have been transferred to the domestic use (in terms of nation/region strategies) through various forms of collaboration.

At the national level, while globally discussed and agreed principles have been in the process of being transferred to the legal framework, the advocacy and validity process has already commenced. On the other hand, the conditions to succeed in this process and to conduct effective implementations depend on the local ownerships and the participation of the community. This alone highlights the importance of the local/community level.

Therefore, the term community has had a special importance in the neo-liberal governance perspective. Several community conceptions, such as the gay community, the business community, the women's community, the immigrant community have enabled people to recognize them as relevant categories for the governance of the individual. This recognition has affected government policies so as to cause a shift from "collective well-being and community building" towards the formation of "particular communities that require regulation, surveillance and discipline" *(Brodie, 2000, p.119)*. So that the change in the collective well-being discussions have thus resulted in an increasing interest of yet another important concept; the notion of urban citizenship**.**

The literature concerning governance indicates an increasing interest towards the city, the region, the urban and rural levels, since cities, along with metropolitan, urban and rural areas present distinctive governance problems of their own. They present various relations and interventions with the government, the private and public sectors and civil society. They are also often subject to economic, social, cultural and political circumstances. *Friedmann* has expressed this as in the following;

> "Political-administrative space of cities, counties, districts, towns, provinces, etc. is the primary space of governance" *(Friedmann, 1999, p.4)*.

Within the framework described above, governance can be utilized by the urban managers, administrators and planners as a "government strategic methodology", a "civic participatory instrument" and even as an "instrumental resource" *(Kooiman, 2003)*.

II.2.6. Key World Organizations'[2] Approaches to Governance

The process of globalization enhanced by contemporary trends in the world have inevitably necessitated and stressed the increasing importance of the existence or formation of global and international platforms for the discussion of urgent problems as well as of opportunities. The crisis that modern nation-states have been undergoing along with the increasing importance of civil society have encouraged the functioning of these platforms and their implementations throughout the world. In *Held*'s words,

> "The meaning and place of democratic politics, and the contending models of democracy, have to be rethought in relation to overlapping local, national, regional and global structures and processes." *(Held, 1995)*

With reference to an important characteristic of governance, highlighting "a non-hierarchical and highly complex system of political matters and events" and "juxtaposing the national and the international" *(Ham, 2001, p.127)*, there appears to exist the need to examine governance issues and democratic politics with reference to the approaches and perspectives of Key World Organizations that have become more active in this field during the recent decades.

In response to transforming economic/political perspectives and to new social movements, various work-flow models of governance perspectives have been developed in the form of a multitude of arrangements, agreements and regulations, developed by these Organizations. The main focus in this chapter has thus leaned towards understanding the governance approaches of the World Bank (WB) and of the European Union (EU).

The governance problematic had emerged in the World Bank's records in 1989 in the process of conducting an analysis "concerning extremely deficient conditions within the regions of Sub-Saharan Africa" *(quoted from Theobald, 1999, p.22; by Akdeniz, 2001, p.46)*. The Bank had considered this problematic as a "crisis of governance" and had accordingly redefined its conception of development so that it would be more encouraging of governance, alongside providing better administration practices and sustaining the capacities of civil society groups *(Hewson and Sinclair, 1999, p.15)*.

The concept of governance has been stated as one being an economic stimulus, by the World Bank, and has been defined as "the manner in which power is exercised in the management of a country's economic and social resources for development". The World Bank has also considered the concept of good governance as "sound development management", as presented in the following diagram. Several reports prepared by the Bank have declared that "the programs and projects it helps finance may be technically sound, but fail to deliver anticipated results for reasons connected to the quality of government action". *(WB, 1992, p. 1, vii)*

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[2] The term of Key World Organizations has been used in this thesis to refer to several international and/or supranational organizations, institutions and agencies (the United Nations, the International Monetary Fund, the World Bank, the World Trade Organization, the European Community etc.).

The World Bank has acknowledged the importance of governance and development together, based on a two-fold reasoning. Firstly, good governance has a key role in creating and sustaining an environment for development. Secondly, sound development management is related with the Bank's objectives in assisting countries in eradicating poverty and increasing sustainable growth.
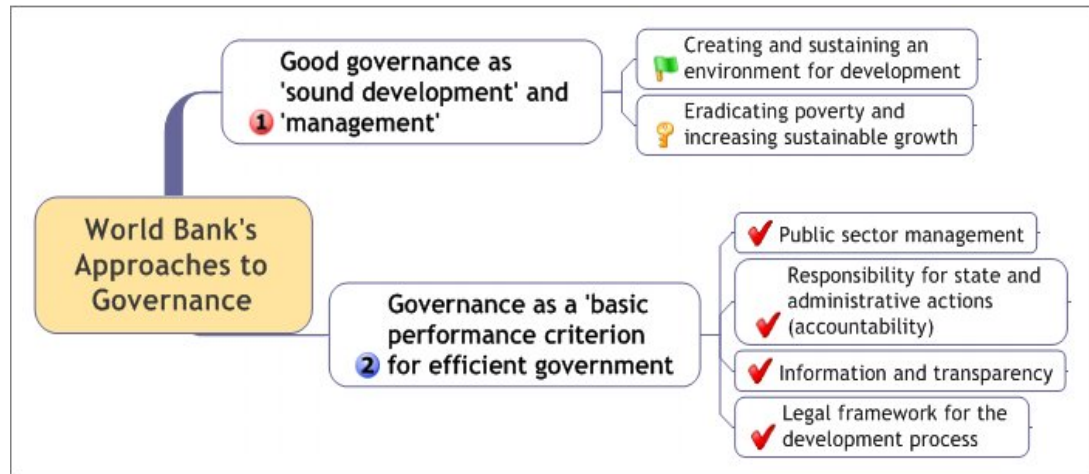
Diagram 21: The World Bank's Approaches to Governance

The World Bank has also attempted to implement several -Engagement- and -Adjustment- strategies in various parts of the world. For example, in the Middle East and North Africa, the Bank has undertaken the aim of improving public sector performance and governance as a basic theme for the engagement strategy for the region. The Bank has viewed governance as a performance criterion for efficiently-functioning governments. Certain Bank reports have identified four areas of good governance have been taken into consideration; "public sector management, responsibility for state and administrative actions (accountability), information and transparency, legal framework for the development process". *(WB, 1992)*

These major components of governance are related with the way the government functions and the way in which power is exercised in the management of a country's economic and social development.

One of the main critiques about the Bank comes from the idea that its approach to the governance problem has been from a more technical perspective, rather than considering the economy in a framework of fundamental aspects of the neo-liberal agenda alongside addressing such political issues as "human rights, democracy and civil society" *(Akdeniz, 2001, p. 86-87)*. In other words, the Bank's perspective imposes an economic growth focusing less upon the social and political dimension of the governance and assumes a limited meaning restricted to administrative and managerial issues.

Nonetheless, there has been an increasing demand for the issues of democracy, human rights and civil society. For this reason, efforts have recently emerged towards a much broader perspective encompassing various social and political aspects of the concept.

At this point it seems interesting to note that, the World Bank has considered governance in terms of its own interpretation as defined above, since there have existed certain "official mandate constraints" in dealing with political issues. For this reason, the Bank has distinguished governance as an analytical framework and governance as an operational concept through the definition of three aspects of the term, designated in diagram 22. *(Hyden, 2002, p.16-17)*
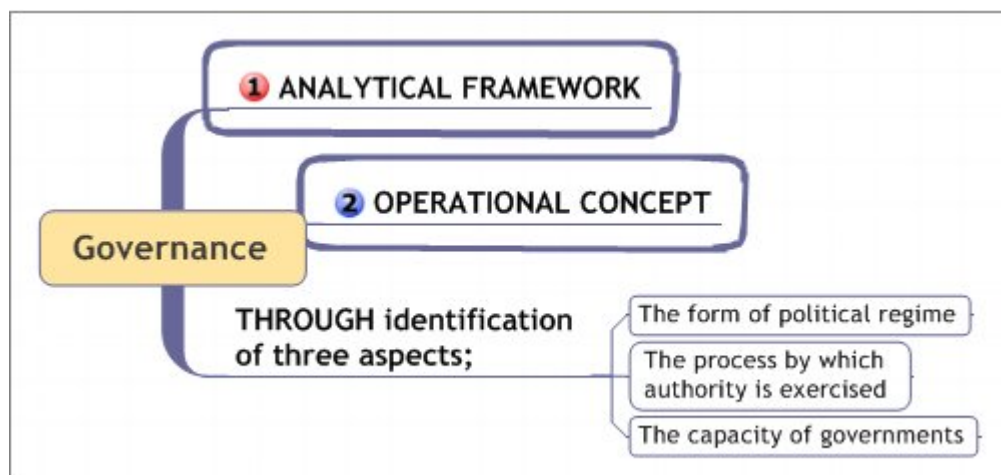
Diagram 22: Identification of Governance regarding the World Bank's Approaches

As an apparent result, the World Bank has started developing mechanisms to support the the form of the political regime as well, through a lending policy for the economic problems of Third World and developing countries by focusing at a far greater extent on democracy and political issues.

On the other hand, the challenging aspects of political life and new visions in administrative and institutional perspectives of the European Community have necessitated the addressing of a new European system of governance whose reflections can be seen in various arenas, such as economic policy, security, foreign policy and regional development.

Most theorists have considered governance in the European Community as a "pluralist governance structure" and as "a continual flow of political communities within a dynamic process of policy formation that involves a wide range of state and non-state actors continuing a system of networks", summarized in the following diagram. In this respect, European integration is seen as a project that follows a "pluralist trajectory of integration. Governance at the European level intends to shape European societies through the process

of "managing mutual dependencies" among all the stakeholders interacting in an equal fashion. As a matter of fact, this process is different from the "classical Weberian hierarchical system of political organization". *(Ham, 2001, p.126)*
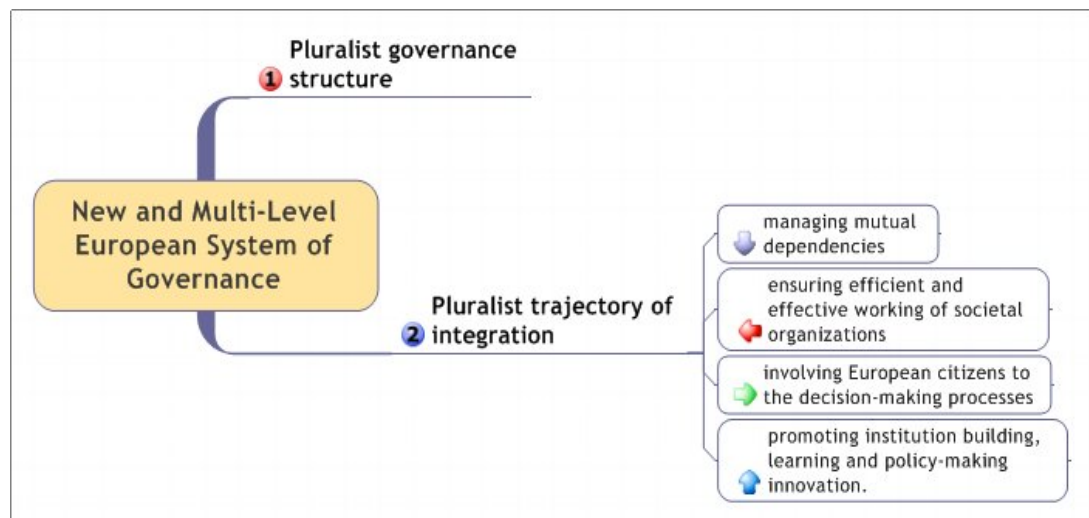
Diagram 23: New and Multi-Level European System of of Governance

In the discussion of good governance, an important commitment has been realized for the changing and reshaping of the economic, political, cultural and social perspectives of Europe. European integration has evolved into a new challenging process that may probably be characterized by the notion of "governance without government". This implies that "European governments are no longer governing, but they rather try to shape their societies by managing mutual dependencies". *(Ham, 2001, p.126)*

Under the multi-level framework of governance, the European Community's main objective seems to have ensured an efficient and effective working of the societal organizations and to involve European citizens into the decision-making processes.

The governance problematic has been an important issue for European public policy in terms of planning processes and implementation activities. On the one hand, there is a system nurturing a multi-level policy-making environment, while on the other there exist the national structures of the member states, the candidates, the associated countries and recently the member states which have required additional efforts on the new challenges for the adaptation and harmonization process.

In short, the concept that has appeared in United Nations documents in the 70s, that has been systematically used by the World Bank starting from the 1980s and that has been brought into the agenda of the European Union has been transforming in content and form. Europe has thus started discussing the meaning of good governance. Accordingly, the need

for a citizenship process is stressed based on mutual interaction and sharing of stakes between the state and society.

Within this long and complicated process, there have existed various European funds which have been intended to enable countries to benefit from community initiatives and experiences through partnerships and networking.

An important and recent indicator of the increasing interest for governance-related issues in the European Community can be seen in the Sixth Framework Program[3] (6th FP). One of the priority thematic areas adressed has been named 'Citizenship, Democracy and New Forms of Governance in a Knowledge-based Society'. In this context, there exist various project proposals expected to be submitted by Turkey and partnership searches that will involve Turkey. This specific priority thematic area has been intended so as

> "... to identify the main factors influencing changes in governance and citizenship, in particular in the context of increased integration and globalization and from the perspectives of history and cultural heritage as well as the impacts of these changes and the possible options to enhance democratic governance, resolve conflicts, protect human rights and take account of cultural diversity and multiple identities".
> *(the European Commission, 2002)*

Additionally, according to the European Commission's Communication on "Sustainable Urban Development in the European Union: A Framework for Action", mentioned in the various sources of the European Commission Project Database, the basic aims of the thematic area has been defined as to protect and improve the urban environment in pursuit of local and global sustainability, and to contribute to good urban governance and local empowerment.

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[3] Project examples from the previous program, the 5th Framework Program can be examined in chapter III.6., namely 'Practices and Area-Specific Policy Implementations'.

CHAPTER III

ANALYTICAL AND OPERATIONAL PERSPECTIVE:
THE GOVERNANCE PROBLEMATIC IN PLANNING

As mentioned in the previous chapter, the literature concerning governance indicates an increasing interest towards the city, the region, the urban and rural levels, since cities, along with metropolitan, urban and rural areas present distinctive governance problems of their own. They present various relations and interventions with the government, the private and public sectors and civil society. They are also often subject to economic, social, cultural and political circumstances.

III.1. Conceptualizing Governance as a Process in Planning

The extensive literature and conceptualizations of governance generate a controversial and multiple-component domain for planning, presented in diagram 24. In the previous sections of this thesis, an attempt has been made to present governance as a concept and an approach in terms of its conceptual background and theoretical inspirations derived from the social sciences. In this chapter, governance is subjected to a process of multi-layered discussions within the framework of the main features of contemporary society; complexity, dynamics and diversity, as mentioned in previous sections. Therefore, that process as an act of governing differs from government.
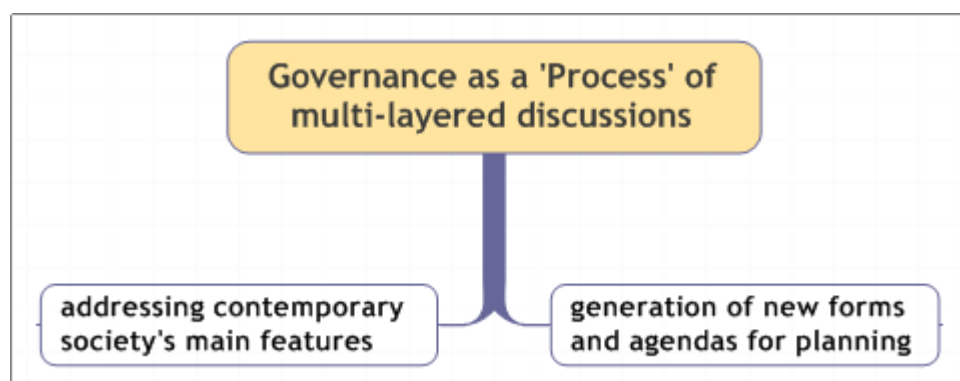
Diagram 24: Major Domain of Governance for Planning

Governance generates new forms and agendas for planning through the following three important characteristics;

- it is **dynamic** and can thus respond to the dynamics,

- it has an **innovative** character and is able to cope with the complexity , and

- is an **interactive** process which makes it possible to adapt to the diversity of contemporary society.

When several concepts and their activities, presented in the following table, are addressed, governance is taken into consideration at an "analytical meta-level" which makes it possible to exemplify the above characteristics. Although these different levels seem to be empirically connected, they are nonetheless considered as "analytically apart". *(Hyden, 2002, p.17)*

Table 1: Governance and its Relations to Other Concepts and Activities

LEVEL	ACTIVITY	CONCEPT
Meta	Politics	Governance
Macro	Policy	Policy-Making
Meso	Program	Public-Administration
Micro	Project	Management

Source: *Hyden, 2002, p.17.*

Three important concepts, politics[5], administration and management, are utilized to determine the governance process and its activities. The meanings of those concepts have originated from the major academic disciplines of political science public administration and management. *(Healey, 1997, p.211)*

In other words, the issue of governance has been analysed with specific reference to the above three related areas and it can be positioned somewhere within the intersection areas of these three disciplines of which each presents a clear portrait of the issue.

Within this intersection area, as mentioned before, governance can be seen as "the new pattern-set of interaction between the government and the society". This brings about a new

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[5] Politics refers to " ... the activity of governance, and specifically to the ways in which government activity is controlled. In this sense, politics may be defined as deliberate efforts in social mobilization, in order to gain control over the mechanisms for the management of collective affairs". *(Healey, 1997, p.212)*

pattern of governing which has been conceptualized in accordance with "socio-political forms of governing". *(Kooiman, 1993a, p.1-2)*

In short, governance can be considered as one of the most crucial mechanisms and processes in terms of presenting opportunities as well as solving problems for the public administration, political science, management and, recently, for planning.

When governance is defined as "the exercise of political, economic and administrative authority in the management of a country's affairs at all levels", it signifies the importance of mechanisms, processes and institutions. In this way, citizens and groups may present their interests and may exercise their legal rights, fulfill their obligations and mediate their differences. *(UNCHS, 2002a, p.8)*

According to this general conceptualization, governance can be considered as an ongoing process, and thus, neither solely an input nor an output in the policy formulation of social and economic development matters. This has adressed a new process of governing which refers to the changes in the meaning of government, societal relations and orders. Governance emphasizes a;

> "... process which recognizes that decisions are made on complex relationships between many actors with different priorities. It is the reconciliation of these competing priorities that is at the heart of the concept of governance". *(UNCHS, 2003)*

The revival of the concept, as presented in the following diagram, within the framework of planning, has been welcomed and has focused on the issues of democratic participatory civil society and transparent public administration with reference to collaborative and responsive planning.
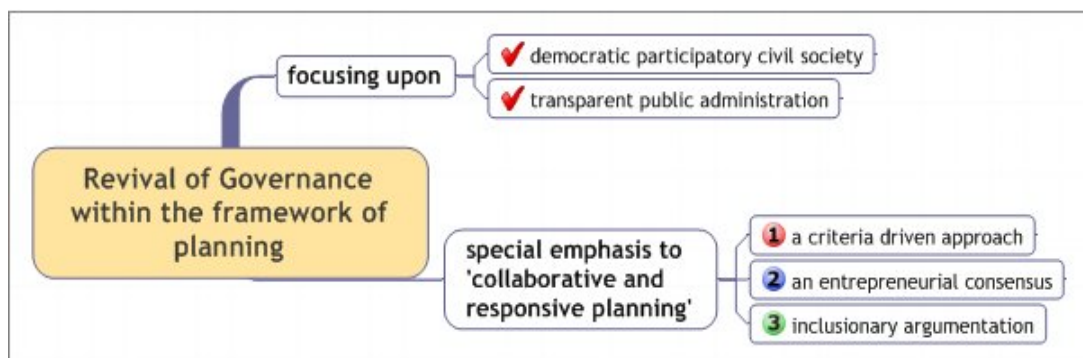
Diagram 25: Revival of Governance within the Framework of Planning

Within the discussion of governance models in planning, Western societies have been concerned with the various forms of democratic governance since the days of classical

Greece. However, four models of Western governance systems have recently become much more popular. These models consist of "representative democracy, pluralist democracy, corporatism and clientelism". *(Healey, 1997, p.220)*

After reviewing these models, it should be possible to derive the forms of governance that would be suitable to planning approaches in terms of their ideals and practices.

When discussing the main incentives behind the governance issues in planning, there exist, in fact, the need to consider a relationship between urban policies and urban performance.

Urban policies are made to influence urban performance *(Dijst and Schenkel, 2002, p.291)* and it is possible to interpret governance as one of the three ways, designated by *Friedmann*, to assess the performance of cities. These are, "good governance, good management and good outcomes". *Friedmann* clarifies the differences among these three groups in the identification of the criteria for assessing the performance of cities. *(Friedmann, 1999, p.11-13)*

In the search for new forms of governance, more responsive and collaborative relationships are important. Although, most of the new forms of governance intend to make a "legitimate relation between government activity and economic and social life", their methodologies and ways of action may well differ. *(Healey, 1997, p.231-232, 239)*

Finally, *Healey (1997, p.241)* summarizes three trends of governance to elaborate on governance efforts "at managing local environments" under the circumstances of planning; that are,"a criteria-driven approach, an entrepreneurial consensus, and inclusionary argumentation", summarized in diagram 25, above.

III.2. Institutional Meaning of Governance at Planning: Levels

It is quite clear that many planning problems have had various origins and backgrounds. For this reason, the need has been evident to analyse governance issues at different levels with reference to the various forms of communal living in terms of the changing structure of capitalism and the emerging new world system.

When *Friedmann* defines three spaces, namely an "economic space, a life space and a political space", he declares the "political-administrative spaces of cities, counties, districts, towns, provinces" as "**primary space of governance**" *(Friedmann, 1999, p.3-4)*.

Friedmann asks the following important questions, under the circumstances of the governance issues in planning;

> "When shall we say that a city is well governed? Having posed this question leads me to ask two more. If governance concerns political process, what of a city's managament – its ability to translate plans into action – and beyond that, what about the desired outcomes of good governance and good management? What should be

the characteristics of a good city, which is our ultimate destination?" *(Friedmann, 1999, p.2)*.

Therefore, this chapter of the thesis has been shaped by definitions of characteristics of urban and local governance and their reflections for planning.

The most common level in planning is **urban governance**, as presented in the following diagram. Good governance conditions at the urban level constitute an increasingly important factor for sustainable development in terms of both economic and social priorities. Urban governance intends to realize economic efficiency, increased social equity, gender-balanced development, sustainability and improved living conditions for all urban residents. Therefore, good governance at the urban level can be conceived as an enabling instrument for ensuring urban functions and planning implementations in an effective manner.
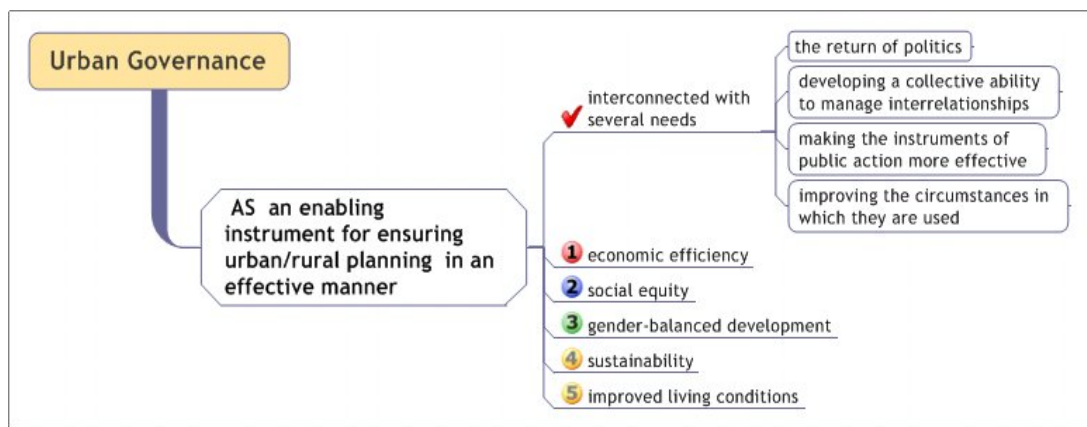
Diagram 26: Context of Urban Governance

Governance at the city level is highly inter-connected with several needs such as "the return of politics", "developing a collective ability to manage interrelationships", "making the instruments of public action more effective" and "improving the circumstances in which they are used" *(Cavallier, 1998, p.31)*.

Urban governance can be encouraged by the same principles of good governance through which every urban citizen can be involved in the urban management and decision-making processes. It has become a way to empower the functions of urban management and to encourage decentralization by constructing various inter-relations in urban areas.

The major aim of urban governance is to provide efficient, equitable, safer and sustainable economic and social development through participatory decision-making mechanisms. All stakeholders should have responsive and responsible power in the process of identifying problems, priorities and oppurtunities of cities. The success of the governance based

mechanisms depends on the active participation and support of actors in the society. Therefore, there is a strong relation between urban governance and urban managament through participation, so that citizens can identify their problems and priorities and they can also contribute to the implementation stages.

While governance issues are being discussed in the global arena, there emerges a need to allow for the interpretation of the globally discussed and aggreed-on principles to diffuse onto various levels in order to make them more operational at the local level. Urban governance is an important arena for transferring the above good governance principles to the collective living level in order to to sustain its principles more efficiently. This is because **cities are suitable areas** to assess and evaluate policy implementations through which national and local governments achieve main principles of the good governance. State and society interactions, civil society developments can be best traced through the careful analysis of urban decision-making and of management activities.

Although there is a common argument that good governance is an inevitable component of sustainable development, social scientists, theorists and organizations have defined urban governance and its principles, norms, approaches in various ways according to their own backgrounds, experiences, interests and priorities.

In urban management, central state and local authorities together share the legitimate right to organize, supervise and manage urban societies for the sake of good governance. This is best expressed by the World Action Plan adopted in İstanbul (Chapter III, 'Commitments');

> "We further commit ourselves to the objective of enabling local leadership promoting democratic rule, exercising public authority and using public resources in all public institutions at all levels in a manner that is conducive to ensuring transparent, responsible, accountable, just, effective and efficient governance of towns, cities and metropolitan areas." *(Cavallier, 1998, p.38)*

According to the **World Bank**'s records, good governance for urban society signifies the "inclusion and representation of all groups in the urban society", and the notions of "accountability, integrity and transparency of local government actions", "in defining and pursuing shared goals". The World Bank has defined and declared several concepts, such as "livability, competetiveness and bankability", to characterize sustainable cities and to emphasize the meaning of good governance. *(Taylor, 2000, p.199)*

Urban governance has been considered as an increasingly important area of concern in most developing countries, since the declaration of the **United Nations Centre for Human Settlements (Habitat Agenda)** has been introduced in 1996. Urban governance, as a fundamental priority, intends to strengthen the functions of local governments and to encourage the decentralization of power from the central to the local government. Thus the main area of interest has been towards acquiring an understanding of the nature, quality and purpose of the relationships among the state, the private sector, civil society and even actors

at the local level. The definiton of the above various institutional spheres in urban areas is an important attempt for the analysis of urban governance. The UNCHS-Habitat, has recently conducted a "Global Campaign on Urban Governance" which emphasizes a strong inter-relation between urban governance and sustainability[6]. In this respect, two key elements, "societal consensus" and "multi-actor involvement" have been stated as pre-conditions of successfull realization of any governance-based program or project. *(quoted from UNCHS, 1999; by Kahraman, 2000, p.75-77)*

The UNDP-Habitat has had various operational experiences and has proposed a new approach to good urban governance through a shift from the direct provision of goods and services by the government towards an "enabling approach", as shown in diagram 27. This approach was conceived by the Habitat II as the best available strategy for sustainable human settlements and was characterized by the basic principles of governance. *(Taylor, 2000, p.199)*
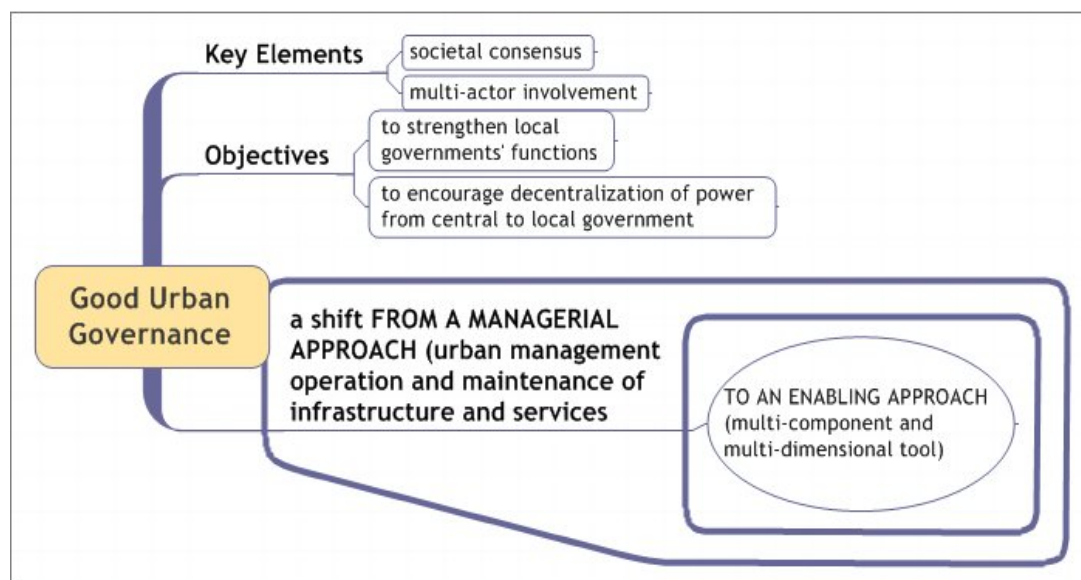
Diagram 27: Means and Objectives of Good Urban Governance

Although there has been a common statement in the past that urban governance can be considered in terms of urban management (the operation and maintenance of infrastructure and services), this cannot be accepted to stand as the only management issue. The main

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[6] The strong relation between governance and sustainable development has discussed in Chapter III.4. of this thesis.

reason for considering governance in a much more broader level in the city context is that cities have constructed close relationships with the wider national and international economies and environmental systems. In fact, cities depend on the social and political circumstances to the extent that governance in the city level can not be interpreted as the only outstanding managerial issue. *(quoted from UNCHS, 1999; by Kahraman, 2000, p.77)*

There has been a new tendency to consider urban governance as a multi-component and multi-dimensional instrument instead of assuming it solely as an instrument for the provision / improvement of physical infrastructural issues in urban areas. The shift from urban governance being a matter of efficient management instrument to having a broad base of mechanisms brings about governance **not only as a management instrument**, but also **an instrument having access to social, economic and political issues in the city**.

Under these circumstances, good governance serves the efficient regulation and administration of the economy as well as an environment friendly socio-cultural development, which in turn contributes to the principles of sustainable development.

For the concept of **sustainable development**, the conditions of good governance form a continuing process through shared or diversified interests and actions. According to the UN-Habitat's experience, inclusive strategic planning is one of the key principles of good governance and of sustainable cities. In short, good urban management and good urban governance are important mechanisms to achieve the goal of sustainable human development.

Other frequently-used levels of governance in planning are **regional and local governance**, popular dimensions at the European level, which have been discussed through arrangements at the levels of the central government, the local government, the mediating and regional/local institutions.

While various initiatives and efforts have been undertaken to encourage, advocate and operationalize good or better governance at the national, international and regional levels, poor governance has been recognized as a crucial problem at the urban and local levels, especially for the specific case of planning.

In most of the UNCHS' documents , this conditionality has been stated that the main reason of the urban problems stem from "inefficient and ineffective urban management and poor urban governance" *(UNCHS, 1999)*.

Globalization, informationalization and successively the new urbanism concept have resulted in an important prospect for the possibility of citizens to govern their cities. Citizens have started being much more demanding on participating and taking a role in the decision-making processes concerning their living environment. Certain scholars have accordingly stated that this prospect has been known as the **increasing importance of local** with

reference to three main fields: "economic productivity and competitiveness"; "socio-cultural integration and political representation" and "management". *(Ruppert, 2000, p.285)*

For the analysis of local governance, there exist the need to discuss the importance of local government. Nonetheless, the focus of this chapter has been set mainly on the understanding of the operationalization of governance activities at the local level, rather than the efforts of local governments' and municipalities', since local governance does not only deal with a centralized set of state apparati but also multiple actors and agencies. *(Işın, 2000, p.150)*

Under the above circumstances, most of the urban theorists have accordingly prefer to use local governance to address a variety of perspectives about the concepts of democratic government and citizenship at the local level, which considered together have resulted in the necessity of utilizing the term local governance.

Neo-liberal regimes have affected local goverment structures and institutions with specific reference to the global city discussions, whose literature has increasingly addressed marginalized groups and their rights. Therefore, the governance of global cities, in terms of their structures and institutions, has been radically transformed from "democratic and respresentative" into "increasingly professionalized, marketized, entrepreneurial and managerial forms". This transformation is less associated with "the institutions of government" and more with a "field of governing practices". *(Ruppert, 2000, p.275-276)*

Although governance implies a broader sense of good management of public affairs, it is difficult to describe the concept at the local level. When the concept is translated into local terms, it can be considered as "a guarantee" and "an outcome of the process of decentralization". *(the European Commission DG Enlargement, 2000, p.15-16)*

The main incentive behind the reason of focusing on local governance stems from the **strong connection between governance and citizenship at the local level**. This connection indicates the potential to generate a public space for the governance of diversity, as a means of political participation, presented in the following diagram. This conditionality assumes that the local is an important base for democratic citizenship through new forms of governance.

Ruppert (2000, p.279-283) analyzes three levels of local governance, summarized in the below diagram, with reference to the local government efforts; "fragmented local governance, entrepreneurial local governance and marketized local governance".
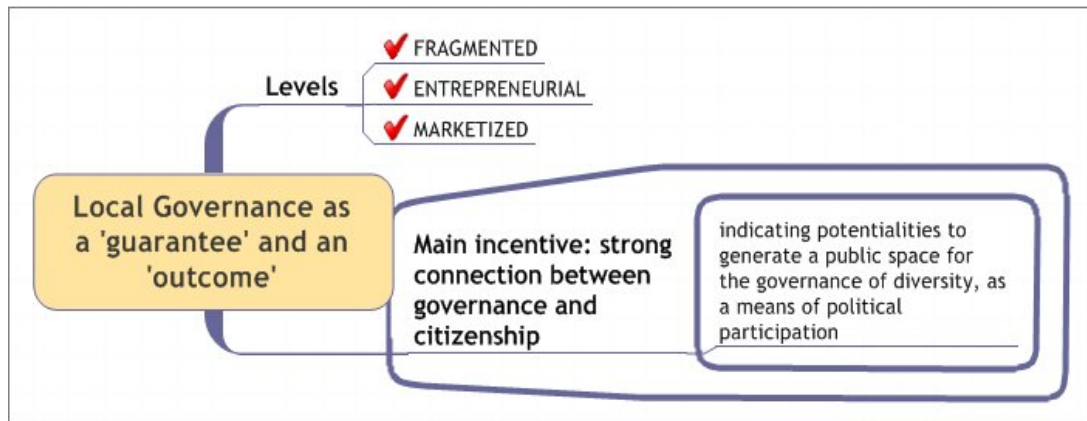
Diagram 28: Means and Levels of Local Governance

Under these circumstances, it is possible to state that local governance has influences on contemporary economic relations. In fact, there exist a relation between the business sector and local governance. This relation brings about three important issues; "the social costs of economic activity", "the social relations of everyday life" and "biospheric systems". *(Healey, 1997, p.160-162)*

III.3. Principles and Conditions for the Success of Governance in Planning

To clarify the conditions for good governance and then to evaluate them appears not to be an easy task, since it is difficult to observe the extent to which the conditions seem to work out but also the extent to which serious problems should be expected in the process of developing strategies and implementing operations.

However, after a thorough review of the governance literature, it can be strongly stated that there exist similarities between the principles of good governance and those of democratic life. After all, they all appear to stress the notions of sustainable social and economic growth, environmental- and human-friendly technological progress, access to knowledge and information, with a special focus on respect for law and human rights and taking community participation into particular consideration.

The basic features of the governance principles[7] depend on "interdependent norms". They all comprise policy formulations along with several "illustrative practical measures for their

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[7] These principles have been compiled from the UNCHS, 2003, Good Governance Campaigns, Declaration of "Principles of Good Urban Governance" and from the "General Guidelines of the Habitat Agenda".

implementation" *(UNCHS, 2003)*. In fact, here the focus is on the practical sides of them at the urban, regional and local levels.

The principles and elements of good governance, charted in diagram 29, have been confirmed by several inter-national and supra-national organizations, especially as regards the "enabling approach", a concept that bears parallel strategies with the following principles of good governance. *(UNCHS, 2002a, p.8)*

1. Partnership can be considered as the most crucial component of the issues of governance issues, in which all partners are often called as stakeholders (central government, local governments and authorities, NGO's, private sector and international institutions). They are included to provide a mechanism for ensuring a democratic environment and sustainable development. Efficient and effective partnership can be realized through definition of different but related partners and their cooperation based on the notion of equivalent powers. *(UNCHS, 2003)*

Partnership has an extended meaning over participation. It implies "joint initiatives", "joint ownership" and "joint benefits from development programs and projects". Today, this form of partnership has been strongly advised by most organizations as a more effective way to improve conditions in cities rather than replacing the public with the private. Under these circumstances, partnership sometimes refers to "an alternative to outright privatization". The World Bank has encouraged this type of partnership from 1990s. *(the Panos Institute, 2000, p.13-14)*

2. Participation and civic engagement are highly interrelated with the issue of partnership, where the involvement of the public is required in the policy planning and decision-making process, at all levels. Participation should be realized so as to involve all members of the society, including women, the disabled, minority groups alongside all diversified identity groups, in order to ensure the efficient and effective use of the participatory mechanisms. This mechanisms emphasize the involvement of all stakeholders in society, to identify their problems and priorities, to define their goals and objectives, to legitimize their priorities and problems, to use resources in a proper way, to implement policies / programs and projects in a targetted manner. *(UNCHS, 2003)*

Participation, described for the first time at the Habitat meeting in 1976, has become a popular concept during the period of "Structural Adjustment Programs" through which governments have been investigating ways of reducing spending. In addition, users of public services have been encouraged to contribute to their costs in various ways such as paying for services or by contributing with labour. *(the Panos Institute, 2000)*

Principles and Conditions

Principles
- Partnership
- Participation and Civic Engagement
- Civic Engagement and Citizenship
- Decentralization
- Enablement and Capacity Building
- Accountability and Transparency
- Sustainability
- Subsidiarity
- Equity
- Efficiency
- Monitoring and Assessment
- Rule of Law

Attributes
- more concerted, better negotiated and better located approaches
- an approach based on territories as political products
- priority given global and multi-disciplinary approaches
- constructing synergies among all stakeholders
- concrete partnership around a common strategy
- collective framework of action
- local solidarity

Bridge between good urban governance and human rights ⊕

Diagram 29: Principles and Conditions of Good Governance

3. Civic engagement and citizenship are considered as active participation and responsible contribution to all aspects of urban life, because the urban citizen is conceived as both the object and the means of sustainable development. For this reason, every citizen is expected to take a responsibility and a part in the city, for the sake of the common well-being. In particular, all identity and minority groups are expected to be empowered in order to be able to engage in the urban decision-making process. *(UNCHS, 2003)*

4. Decentralization is known as the basic underlying component of governance. Decentralizing the government stands equivalent to transferring the decision-making and the financial power from the central to the local government. Local decentralization is expected to strenghthen local groups and people by encouraging partnership and participation. *(UNCHS, 2003)*

In this respect, the World Bank and several international organizations encourage and advocate decentralization in order to be able to deal with regional disparities and macro-economic development problems.

5. Enablement and capacity building both at the national and local level are important conditions for the strengthening of all actors of the society, for the achievement of democratic life. These two conditions stand as necessities for the public administration and the civil society for benefiting from such programs and campaigns to create an enabling environment. *(UNCHS, 2003)*

Capacity building is an important effort at the institutional level for providing central and local administrations and the civil society to benefit from all social and economic development.

6. Accountability and transparency of decision-makers and all stakeholders are vital conditions of good governance. These principles become more important in developing the sensitivity of the public, increasing public awareness and in constructing control mechanisms both at the central and the local domain. They also tend to encourage professionalism, accessibility, openness and integrity. The application and implementation of all legislative and public policies in a transparent and understandable manner, professional and personal integrity of officials and civil servants and community participation constitute conditions which enhance transparency and accountability in urban life. *(UNCHS, 2003)*

7. Sustainability is a popular multi-dimensional concept which involves a balanced development of the socio-cultural, economic and environmental needs of successive generations. A sustainable community is expected to follow a long-term, strategic, planned and efficient development process along with the involvement of various interests for the sake of the common good. *(UNCHS, 2003)*

8. Subsidiarity is associated, at the urban level, with the efficient and cost-effective delivery of services to maximize the potential of the involvement of citizens. In the process of urban

governance, the importance of decentralization and deconcentration has been increasing to improve the responsiveness of policies and initiatives to the priorities and needs of urban citizens. This concept is expected to enable cities to have autonomy and resources to satisfy their needs and responsibilities. *(UNCHS, 2003)*

9. Equity has been used since the French Revolution to define the characteristics of a good society more than a good settlement. If the needs of each individual in the society, woman or man, irrespective of political, religious and ethnic differentiation are met in an equitable manner, then it should be possible to generate a safer environment.

Equity is considered to be the access to the decision-making processes and the basic necessity of urban life through community participation. This participation involves the necessity that every urban citizen (accepting equality for all identity and minority groups) to assume roles and responsibilities in all the processes of urban life as regards decision-making, prioritization and resource allocation. *(UNCHS, 2003)*

Therefore, **gender equality** is generally accepted as a crucial basis for starting and progressing any development activity in cities.

The problems and priorities of women are not generally included in planning policies in terms of unequal conditions in urban life and poverty in most countries. Nonetheless, they also seem to be able to generate opportunities and challenges for the development and improvement of urban and rural life, by involving them in favour of urban governance.

Beall (1997, p.38) has argued on the necessity of the existence of the goal of gender-sensitive urban planning and development practices by taking into consideration some of the critical gender issues with reference to the responsibility of the government along with civic engagement.

10. Efficiency is a concept related with the delivery of public services and the promotion of local economic development through several measures of urban life. These measures include a financially sound and cost-effective management of revenue sources and expenditures and of delivery of services. The contribution and assistance of the government, of the private sector and of the community to the urban economy enables its efficiency. *(UNCHS, 2003)*

11. Monitoring and assessment are the supplementary mechanisms of ensuring the sustainability of the efforts to achieve enablement and to realize governance principles. *(UNCHS, 2003)*

<center>***</center>

In short, the success of governance in planning depends on the good understanding and implementation of these principles through institutional development, capacity building and community involvement.

After a review of such international legal instruments and commitments, it has been recognized that the above principles and conditions have been taken into consideration in order to construct **a bridge between good urban governance and human rights.**

To enable local power more effectively and to meet contemporary challenges, the following attributes are especially important in the success of new forms and methods of governance. As *Cavallier* states, all the following issues do not necessitate the creation of a new institutional mechanism, but instead require the construction of a new relationship pattern among public authorities, local authorities and civil society;

> "- more concerted, better negotiated and better located approaches,
> - an approach based on territories as political products,
> - prioritized, global and multi-disciplinary approaches.
> - the formulation of a collective framework of action based on local solidarity and strategic thinking,
> - constructing synergies among all stakeholders,
> - concrete partnership around a common strategy." *(Cavallier, 1998, p.39-40)*

To summarize, although basic incentives and main lines of strategies have similar objectives, the ways and operations pertinent to their implementation may vary from one country to another, in terms of local characteristics.

III.4. Relation between Sustainable Development and Governance

To answer the question of how to manage sustainable development with the governance perspective does not constitute an easy task, since sustainability is a multi-aspect issue which has been globally discussed by various international organizations, with regard to the different areas of policy-making and implementation. There has also existed an increasing interest towards the sustainable use and management of natural resources taking into consideration social and economic development as well.

Sustainable development has been identified as a central objective of the European Community, as of most of the Key World Organizations', and it was confirmed by the recent European Council meeting in Göteborg. The Lisbon European Council has recognized the overall objective to provide a sound knowledge base for the management of the transition towards a European knowledge-based society which will affect every aspect of people's lives. This transition will be conditioned by national, regional and local policies, programs and actions, as well as informed decision-making by individual citizens, families and other societal units. The activities carried out within this framework aim at strengtening capabilities to implement a sustainable development model in the short and the long terms, integrating its social and environmental dimensions with the economic ones through the active participation of key societal stakeholders along with the targetted people. *(the European Commission, 2002)*

According to the World Bank strategies, good governance has been accepted as one of the basic premises of equitable and sustainable development.

Sustainable development originated from environmental discourses proposes "ways of achieving a positive sum relation between economic and environmental benefits" and concerns with "social consideration as well as ecological ones". In addition, the interest in "institutional processes" which provide 'collaboration and consensus building' may have an important contribution to the realization of national and international policies in terms of "environmentally sustainable parameters". *(Healey, 1997, p.153, 176)*

In the sustainable development framework, there exist two perspectives, namely the "green agenda" and the "brown agenda". The former focuses on issues of ecological concern, such as global warming, biodiversity, resource depletion, deforestration etc. The latter deals more with critical and urgent environmental problems for cities especially in developing and Third world countries, such as lack of safe water supply, sanitation, drainage, solid and waste management, air and soil pollution etc.) As a result of an increasing concern on the brown agenda, today's **social development** and **poverty eradication** have become strategic initatives for planners and decision-makers. *(Beall, 1997, p.29)*

Although, there exist various difficulties in operating the sustainable development objectives and expectations of decision-makers and of all other actors in terms of a sustainable future, sustainable development is an important **instrument especially for planning**, when it deals with both the environmental and the social capital.

The complexity of the problems of human settlements and the struggles regarding policy formulation and implementation have resulted in search for new forms of mechanisms. A widely discussed and currently utilized one is **sustainability through governance** by which has been intended to construct an articulation of the links between governance and sustainable development in this chapter.

In view of the above considerations, sustainable development has been considered as a current wave of thinking which has been required to exclude the elements of economic and social development as well as improving the life patterns and protecting the environment. Within this framework, governance for sustainable development brings about challenging discussions between **the principles of good governance** and **the targets of sustainable development**, presented in the following diagram.

In fact, the governance debate involves several theoretical and practical implications which have great similarities with the context of sustainable human settlements development. They have all been frequently discussed in various campaigns, commitments and aggrements at various levels including the national, international and supra-national levels. More recently, governance campaigns and commitments have focused on the relation between

sustainability and governance. That relation can also be best understood through the analysis of certain policy instruments.
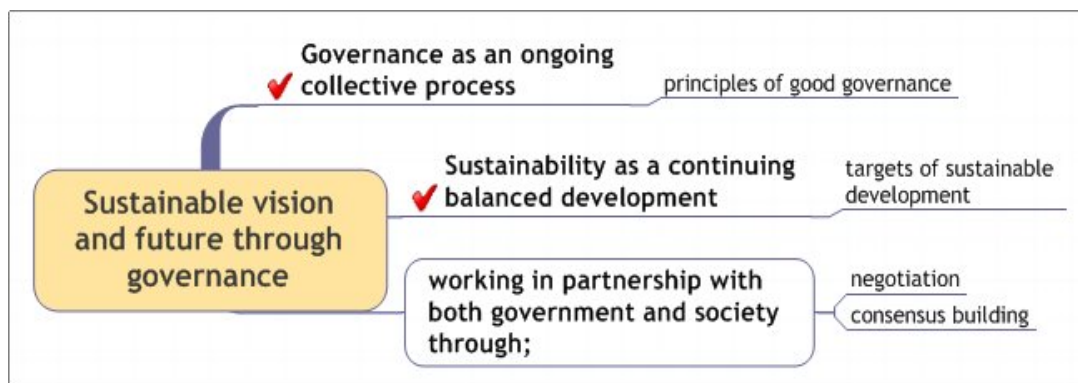
Diagram 30: Sustainability through Governance

According to international organizations' perspectives, sustainable development is generated by an interlaced relationship between the market economy, the state and civil society. Governance for sustainable development, on the other hand, is working in partnership with both the government and the community to advance debate, knowledge and skills in the area of sustainable development. The conditions of good governance also contribute to the realization of sustainable development targets at the local, urban, regional, national, international and supra-national levels.

The relation between sustainable development and governance has also been stated in the Habitat Agenda and in the Rio Declaration.

In view of these relationships between the two concepts (sustainability and governance), a "four-pronged approach" explains various forms of "power relations, leadership interventions and citizen initiatives" within society. In this context, "articulation", "mobilization", "distribution" and "confirmation" are the forms of citizen initiatives starting from below. In short, all these interaction patterns express the operational aspects of governance in the context of sustainable development. *(Hyden, 2002, p.19-20)*

As a result, it can be noted that sustainable development is a multi-aspect and complicated policy issue and it is difficult to reach a consensus on its conditions and ways of realization, in spite of various globally and internationally discussed and consented principles. However, at this point, governance can be taken into consideration as an important instrument to provide an opportunity "in the rethinking of macro-micro relations". *(Hyden, 2002, p.29)*

Under these circumstances, the basic argument appears to be that the relation between sustainable development and governance is so strong that sustainable development can only be achieved with the existence of an established system of governance.

III.5. Approaches, Instruments and Programs of Governance in Planning

This chapter elaborates on the approaches, instruments and programs utilized as governing mechanisms in planning.

In the governance debate, there exist various **approaches,** as shown in diagram 31, through which planning policies and operations are realized. These policies and practices have different characteristics with respect to national, regional and local circumstances. The following indicate these different ways of governance approaches in cities *(UNCHS, 2002a, p.10).*
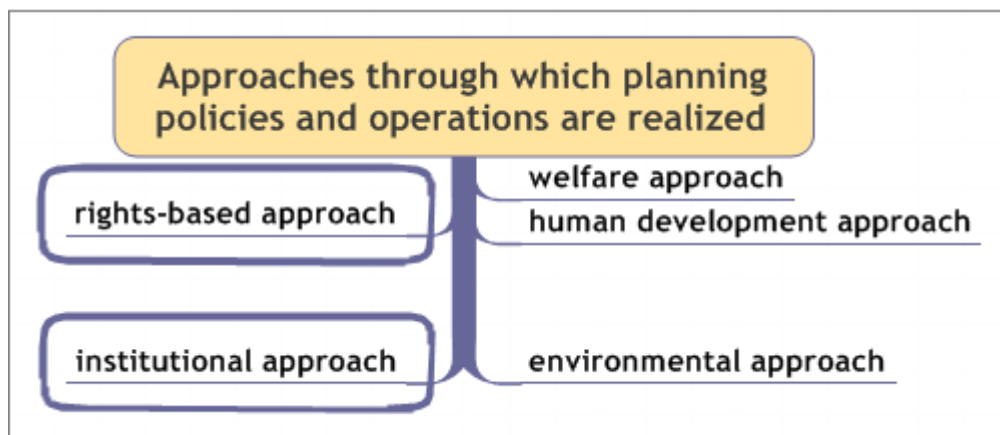
Diagram 31: Approaches regarding the Governance Debate

- The "welfare approach" addresses the need for "effective participation in the provision of public goods", such as land and infrastructure,

- The "human development approach empowers and strengthens the ability and willingness of people to participate in the society",

- The "environmental approach" indicates the "precautionary principle and concern for future generations", as the key issue of the good urban governance debate,

- The "institutional approach"**[8]** signifies "the roles of actors, the institutional frameworks and the formal and informal incentives for inclusion",

- The "rights-based approach", focuses on "the right to development" and on a "framework for poverty reduction" by building on "civil, cultural, economic, political and social rights" and "underpinning all the other approaches".

The approach in this thesis is subject to an analysis that stands in between the rights-based approach and the institutional approach through which a sustainable rural development example is examined, in the chapter of empirical analysis.

After a review of approaches, there appears to exist a need to elaborate on several **instruments**[9] developed and implemented by a number of organizations and authorities to support governance mechanisms and approaches. These organizations[10] generally comprise of national, regional and local authorities, research and capacity building groups, external support instiitutions, international and supranational organizations.

The United Nations Centre for Human Settlements (UNCHS-Habitat) have jointly compiled some of the instruments and approaches with the afore-mentioned agencies and organizations. The UNCHS-Habitat and the close connection of its global programs with cities, have presented crucial lessons from experience and creative innovations for urban planning and management processes. In fact, they have beared different origins and diverse backgrounds. However, most of them are considered as "complementary", instead of "compatible" *(UNCHS, 2001)*.

To summarize the essence of the below diagram, although it seems difficult to address all the diverse problems, demands and needs through a single approach or instrument, the **following** have been discussed and operationalized in order to answer the question of "how is it possible to make cities more inclusive for various socio-economic, cultural, urban and

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[8] *Healey (1997, p.203)* indicates the importance of the institutional approach by addressing "the forms and styles of social interaction in governance arenas".

[9] The most common approach in the literature on instruments is the tendency "to ask questions of a typological nature, of the kinds of instruments and effects to be expected" *(Kooiman, 2003, p.46)*.

[10] Some of these well known organizations are the Federation of Canadian Municipalities (FCM), the German Technical Cooperation (GTZ), the Institute for Security Studies (ISS), the International Centre for the Prevention of Crime (ICPC), the International Council for Local Environmental Initiatives (ICLEI), the International Co-operation Agency of the Association of Netherlands Municipalities (VNG), the National Committee for International Cooperation and Sustainable Development (NCDO), the United Nations Children Fund (UNICEF), the United Nations Development Program (UNDP) and the World Bank (WB). *(UNCHS, 2001)*

regional problems?" and "how to provide operational support to different aspects of participatory urban decision making processes" *(UNCHS, 2001)*:

> "Citizen Satisfaction Report Card, Community Based Environmental Management Systems (CEMIS), Media Content Analysis, Participatory Decision-Making Indicators, Stakeholder Identification and Mobilization, Beneficiary Assessment, Gender Analysis, Social Assessment, Good Urban Governance Report Cards, Local Agenda 21, ZOPP Objective Oriented Project Planning (*'Ziel-Orientierte projekt Planung'*), Local Sustainability Mirror, Participatory Rapid Appraisal (PRA), Self Esteem, Associative Strength, Resourcefulness, Action Planning and Responsibility".[11]
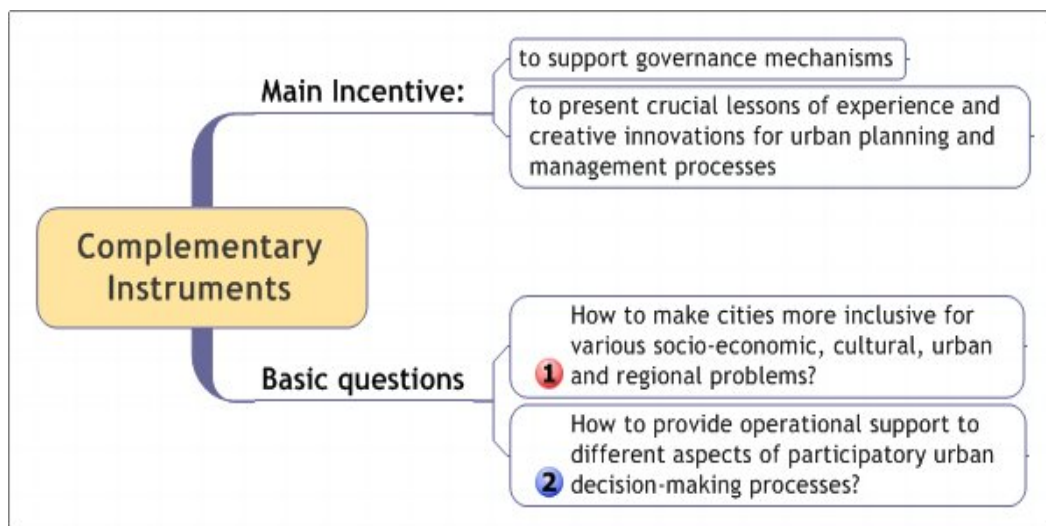
Diagram 32: Complementary Instruments of Governance

In addition to these instruments, several **programs**[12] have been developed by the UNCHS-Habitat to support governance mechanisms in cities, such as the Inclusive City, the Right to the City, the Alliance's Cities without Slums, the City Status, Community Driven Development, the Disaster Management Program (DMP), the Community Development Program (CDP), the Safer Cities Program, the Sustainable Cities Program (SCP) and the Urban Management Program (UPM) etc. *(UNCHS, 2001)*.

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[11] The details of these methodologies and approaches are presented in Appendix A.

[12] The details of these programs are presented in Appendix B.

III.6. Practices and Area-Specific Policy Implementations

An increasing contemporary tendency has been towards the acknowledgement of governance-based policy approaches and practices in dealing with urban problems.

This chapter elaborates more on European cases rather than other policy implementations, since the process has been similar to circumstances in Turkey and due to the basic premises of the European Community, Turkey has also been concerned with the same issues. In addition, recent planning actions in Turkey have addressed mainly the adaptation and harmonization initiatives of the European policy implementations in the pre-accession period.

In Europe, the main focus has in general been on the issues of "adapting changes in the production system", "controlling urban sprawl", "regenerating urbanity" and "taking account of the requirements of sustainable development" *(Cavallier, 1998, p.vii)*. These issues have been the basic challenges facing European Cities. Less developed regions, especially in the context of EU structural adjustment programs, have also been taken into consideration to balance development with the other regions of Europe as well.

Although there exist several differences among European countries in terms of the ways of planning, "regulatory and operational powers", "powers of legislation and regulation", "initiative and decision-making powers" and "financial resources", there also exist three similar problems with reference to the "trends in institutional frameworks" *(Cavallier, 1998, p.35)*;

- an urgent need for the consideration of the local dimension of urban policies as well as the decentralization of decision-making to local authorities,

- certain privileges of national powers, such as "supervision, arbitration, coherence, solidarity, implementation of national policies on transport, energy, the environment" etc.,

- the "emergence of the intermediate level"; that is the "provision of an arena for contact and dialogue between devolved services and decentralized powers".

Generally speaking, there are three basic reflections of governance-based mechanisms in Europe:

1. The first issue is the use of **structural and cohesion funds** in multi-level structure.

2. The second major reflection of governance-based mechanisms in Europe includes governance examples at the local level, namely as **area specific policy approaches and practices**. For example, there are such examples of a neighbourhood co-operative formed to provide and repair urban and rural physical infrastructural and social services, a town council operating a waste recycling scheme, a multi-urban body responsible for an integrated

transport plan together with user groups, urban regeneration and conservation initiatives between state and local people, industrial groups and residents to control contamination.

3. The third issue, namely the **key-actions of socio-economic research** constitutes the most critical area. Initiatives for new forms of management and governance have emerged within the European Community, especially as concerns various project implementations and research activities. Such Framework Programs have been developed to integrate and strengthen the European Research Area. One of the seven priority thematic areas in the 6th Framework Program (FP) is "Citizens and Governance in a Knowledge-Based Society". Therefore, The Lisbon European Council signifies the importance of "the transition towards a European knowledge-based society; multi and trans-disciplinary cooperation and the active participation of key societal stakeholders". *(the European Commission, 2002)*

After a review of certain projects selected as good research examples to present such popular areas of the governance subject in the European Community, from the key-action socio-economic research database of the 6th Framework Program, it appears possible to assert that the projects elaborate on the following four themes and various implications of urban governance. The themes are:

1. The changing nature of the institutional and economic organization of such sectors according to the National Legal Framework and the European Directives,

2. Institutional changes; a shifting role of the state from being the provider to be regulator,

3. Privatization and marketization measures,

4. Policy changes regarding innovation, sustainability and participation.

Implications of Urban Governance Practices:

*   implementations in local, regional and city authorities,

*   participation practices in micro levels,

*   partnership and collaboration practices in certain cities and regions,

*   initiatives to reformulate the regions in accordance with the supranationality (especially in the European Community level),

*   sustainable social and economic development and poverty reduction initiatives,

*   broader means of public reforms (such as decentralization and privatization) and social movements (democracy, civil society, human rights and gender issues).

As a short corollary, these diversified interests towards new forms of governance promote **sustainable outcomes** and **urban public policies** through participation, active citizenship and partnership, instead of hierarchical structure and regulatory approaches.

CHAPTER IV

CONTEXTUAL FOCUS TO GOVERNANCE IN TURKEY

Prior to conducting an empirical analysis of governance, there is a need to clarify Turkey's position in the governance map structured within the theoretical sections of this thesis. This chapter is intended for an evaluation of the shift from governing towards governance-based tendencies, efforts, policy formulations and their practical implications in Turkey throughout the following chapters.

IV.1. Sources and Incentives of the Governance Debate

With reference to the growing amount of literature concerning governance, there have existed several **theoretical incentives** and **underpinning processes** of the governance issues in Turkey over the past few decades. These internal and external incentives and processes constitute the main sources and legitimacy of the governance debate in Turkey. They have been considered in the following **governance literature tree**, charted in diagram 33, which presents important issues influencing the foundations of the governance issue in Turkey.

The first side of the tree constitutes the main issues of the Turkish governance literature in this thesis and several underpinning processes. The second side includes the basic theoretical incentives closely related with the background of the governance literature. It has not been, however, included in this thesis, since the empirical analysis is much more concerned with the issues lying within the first side.

In most of the developing countries, as well as in Turkey, democratization movements and state-society interactions constitute the main incentives of the governance debate, as exemplified in the first side of the governance tree.

Turkey presents a particular background as regards the governance issues. The already complex and multi-aspect socio-economic and political environment has been further challenged over the past decade as a result of various influences: the impact of the democratization process, external factors, developments in the relationship with the international organizations and especially with the European Union (EU) and other local factors (economic fluactuations, natural disasters etc.), to name a few.

In this environment, the roles of the public and private sector, civil society, the media, and even of the individuals are changing. A general overview of these issues is considered an important attempt to understand the background of the Turkish governance mechanism.
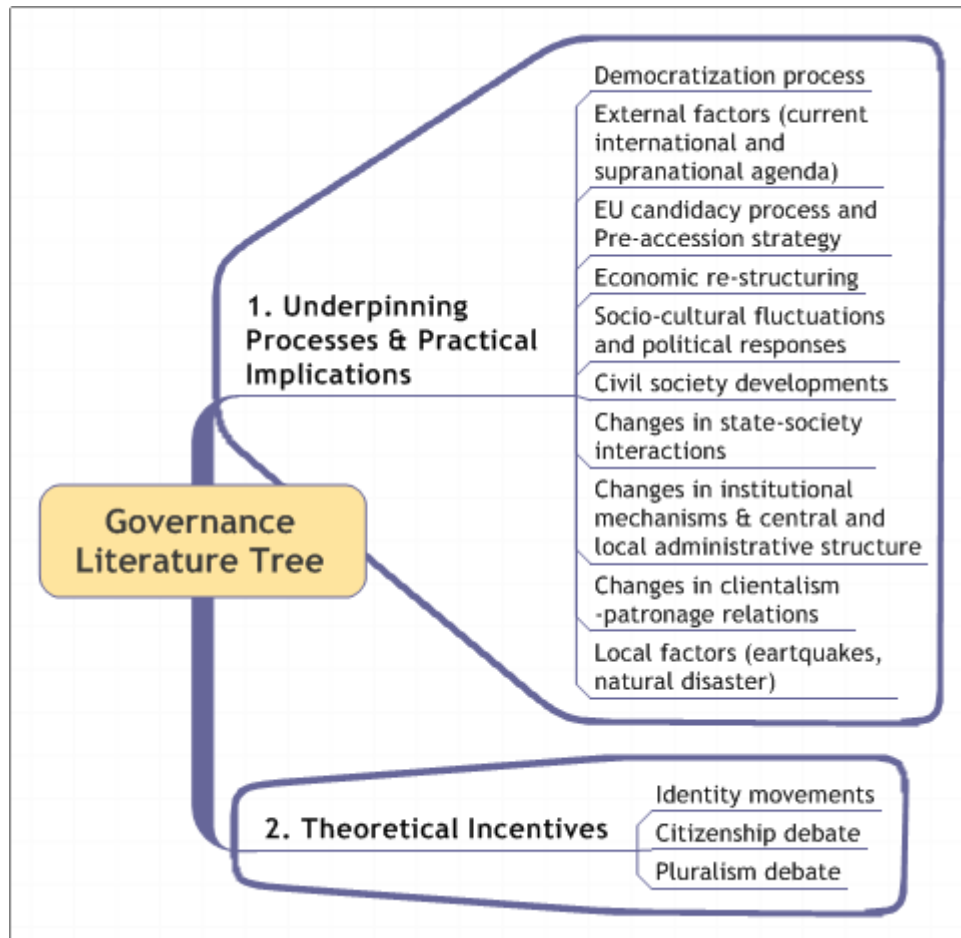
Diagram 33: Governance Literature Tree

The structure of the Turkish State is historically accepted as being strongly hierarchical and highly centralized. Some political analysts have preferred using the term "transcendental"[13] to describe the structure of the State in Turkey. While the above major characteristics signify state-led decision-making and implementation mechanisms, they also seem to be a cause for hindering the development of the civil society and consequently of civil rights and freedom.

There has also existed disparity between central and local authorities in terms of their strategies. Policies of central authorities do not tend to strengthen locality, and neither do they carry the purpose of constructing close relationships with the civil society. It has not

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[13] The "transcendentalism of state" is a concept frequently used to describe Turkish state structure by *Metin Heper*, in his book, the State Tradition in Turkey, 1985.

been uncommon that the structure of local authorities be as hierarchical as the structure of central authorities, so that they might at times tend to underestimate the relationship with the local people.

Several public opinion survey results have pointed to the allegation that there have been critical problems with the political system and the governing mechanisms in Turkey. While the state has struggled to handle these problems, citizen satisfaction has radically diminished and state-society interactions have been interrupted several times for different reasons during the past decades. Therefore, the nation-state has been continously criticized with reference to developments in the global agenda and challenges in the national and local environment.

Two important factors in the Turkish political life, migration and urbanization after the 1960s, have influenced the state-society interactions. Transforming rural patterns, massive unemployment, new settlement areas and the new social class of migrants in cities changed various aspects of the political life. In this environment, an integration problem between local communities and political life generated two important conceptualizations in the Turkish society; clientalism and patronage.

Although Turkey has a state with strong hierarchical and centrally administrative structure with considerable fragmentation of the responsibilities between the line ministries and the exclusion of interested actors from the decision making process, a transition period has started providing the benefits of the new structures. That period presents various opportunities as well as concerns for Turkey.

As many developing countries, Turkey has been experiencing a process of decentralization in recent years, through various reforms and efforts supported by Key World Organizations and Finance Institutions[14]. This decentralization process is a result of a variety of factors;

> "…political (reconstruction and democratization of the State), institutional (creating an institutional framework conducive to local development) and developmental (improving conditions for the citizen, including access to basic services, development of local economies, etc.)" *(the European Commission, 2000, p.3)*.

Within the framework of the decentralization process, various legal and administrative efforts have commenced in Turkey, with the aim of transferring the power from the central to the local government. The increasing importance of the decentralization of power signifies the efficient provision of public services through participatory decision-making processes. But as a result, critical problems have been encountered, such as conflicts between the central and the local government, scarcity of financial resources, the lack of institutional and personal capacities, overlapping functionalities, along with the lack of participatory and consultative mechanisms.

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[14] The examples of most relevant organizations and institutions in this thesis are the EU Commission, the World Bank, the IMF, the OECD, the IMF, the United Nations, the World Trade Organizations etc.

Participatory and consultative decision-making has thus become a popular issue since the 1980s in Turkey, despite of various defficiencies as regards necessary legal and administrative arrangements but also difficulties in operational aspects.

An important incentive of the governance debate in Turkey stems from external factors which are closely related to the current international and supra-national agenda and supported by the afore-mentioned organizations and institutions.

According to World Bank reports, one important lesson extracted about governance issues is that transfering global governance into implementation is an important issue in Turkey and takes time because it is viewed as a form of governance reform as in many countries, as it involves changing traditions and challenges conflicting interests.

Within this context, governance can be difficult to measure with empirical studies that can be compared across countries. Therefore, the analysis in this thesis provides the qualitative assessment in Turkey in order to articulate various perspectives of the governance.

With reference to several researches conducted by the World Bank, it is possible to derive and aggregate some of the available "empirical data into broad indexes of governance". To this end, an important research[15] was conducted "through the construction of an index of governance quality for a sample comprising 80 countries". This index is based on "an objective assessment of various economic policies to enhance the quality of governance, rather than as a precise and definitive indicator of governance quality". The countries have been selected in terms of the availability of the resources and the information on governance. The governance index comprises the following components *(Huther and Anwar, 1998, p.3)*;

> "1. Citizen participation index (political freedom and political stability) to ensure political transparency and voice for all citizens,
>
> 2. Government orientation index (judicial efficiency, bureacratic efficiency and lack of corruption) to provide efficient and effective public services,
>
> 3. Social development index (human development and egalitarian income distribution) to promote the health and well-being of its citizens,
>
> 4. Economic management index to create a favorable climate for stable economic growth."

According to the results of the research, these countries have been classified under following three categories on the status of their quality of governance;

1. Good governance (52-75); such as Sweden, Canada, Holland, Germany, USA, Austria, Finland, Australia.

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[15] This result is derived from *Huther, Jeff and Anwar Shah*, (1998), "Applying a Simple Measure of Good Governance to the Debate on Fiscal Decentralization" (unpublished mimeo), World Bank Research Paper, No:1894, Washington DC: World Bank.

2. Fair governance (41-50); such as Romania, Saudia Arabia, Russia.

3. Poor governance (20-40): such as Egypt, Morocco, China.

According to that index, Turkey's governance index is 46 and as such is positioned in the fair governance category.

<center>***</center>

Another critical external factor which signifies the governance debate in Turkey is the **HABITAT II** Conference in İstanbul in 1996, where governance issues have been discussed to a much greater extent than in the past, within the socio-political agenda. The main themes of the HABITAT II Conference were set as changing state-society relationships, the increasing importance of the civil society developments, the inefficiencies of representative democracy and the need for participatory democracy.

Especially after the Habitat II Conference, the concept of governance has been frequently used and translated as -*yönetişim*- into the Turkish language. It refers to the "common use of administrative, economic and political authority in the public and private authorities"[16] *(Turkish Language Society, 2004)*. Words of similar structure such as -*iletişim*-, and -*bilişim*-, all indicate an action with multi-actor involvement. Accordingly, the root of the word, -*yönet*-, refers to the action of governing while the second part, -*işim*-, refers to the process of mutual interaction among all related stakeholders.

Tekeli (1996) discusses that the implementation of the Habitat Agenda and the realization of the principles of partnerships, participation, enabling and multi-actor governance, can be considered as a "project for the improvement of democracy".

Turkey's EU candidacy period has accelerated the reforms and the restructuring process, especially after the Helsinki Summit in December 1999. This EU candidacy strategy is based upon the pre-accession strategy[17] and the harmonization of Turkish legislation with the EU's *acquis communautaire.* Within that process, Turkey has confronted recent challenges of its own and has experienced critical changes and transformations related to the Turkish National Program. And while this progress is a significant move towards the European harmonization process, it might also prove to be of considerable value in the development of a more creative and democratic societal structure in Turkey. Therefore, it seems to provide a

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[16] The Turkish version is *"resmî ve özel kuruluşlarda idarî, ekonomik, politik otoritenin ortak kullanımı"* *(Turkish Language Society, 2004).*

[17] In the context of the Pre-Accession Strategy, Accession Partnerships had been prepared for each candidate state to present the priorities, objectives and the short and medium term requirements for Turkey expected to be fullfilled in the accession process. The unified EU funding policy for Turkey has been laid out in the accession partnership document. Turkey has in turn prepared a National Program to outline the progress and the other requirements.

substantial contribution to achieving good governance principles. Therefore, the creation of the conditions contributing to the functioning of these principles would facilitate the constructing of a concrete foundation for the concept of the efficient democracy.

Consequently, while the candidacy process has been assisting in the evolution of the Turkish system, it might also bring along a "revitalization and remoralization of European culture" as well *(Robins, 1996, p.79)*.

IV.2. Legitimacy and Justification of the Need for Governance

The answers to the questions of 'what are the main sources of governance legitimacy in Turkey?' and 'where does legitimacy stem from?' come from the notion of shift from governing towards governance-based policies and practices in Turkey. In other words, the role of all stakeholders within the society has been changing. The legitimacy of the governance debate in Turkey can be reviewed through the analysis of a **governance triangle**, charted in diagram 34, comprising the public sector, the private sector and the civil society. For this analysis, an attempt is made, in this chapter, to present the existing situation and the ongoing problems of the sides of the governance triangle.
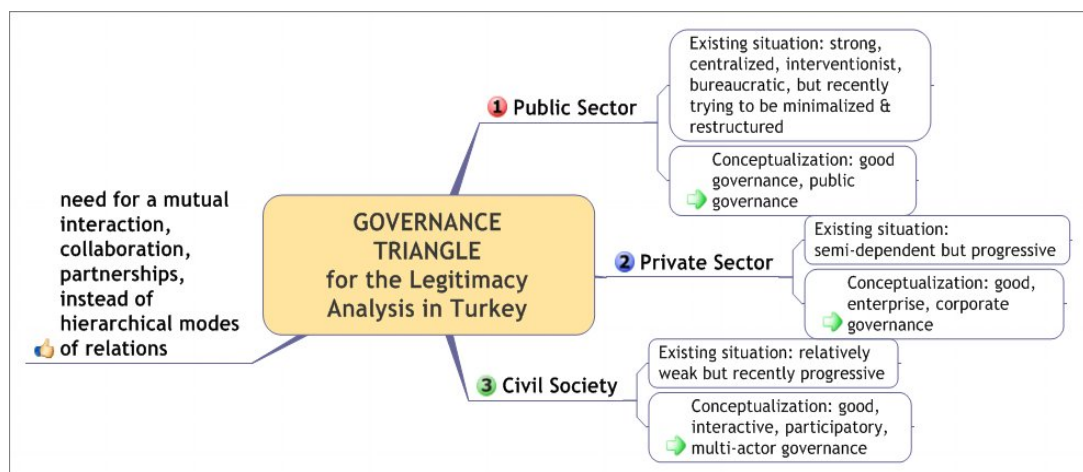
Diagram 34: Governance Triangle for the Legitimacy Analysis in Turkey

The governance triangle underlines the "multi-partner model", which is strongly emphasized in the EU's *acquis communautaire.* This model acknowledges the formulation of solutions through the involvement of all stakeholders and the consensus building process in society, instead of using a "centralized approach" *(Tüzün and Sezer, 2002a, p.168)*. Turkey, seems to be in need of overcoming the obstacles of a centralized approach and of benefitting from challenges by adopting a participatory approach, based on the policy of mutual interaction and joint responsibilities between parties.

The **analysis of legitimacy** is based upon the existing situation of each side of the triangle in terms of their problems and opportunities.

1. The Public Sector

The first side of the governance triangle is the public sector. The "strong state tradition"[18], inherited from the Ottoman era, characterizes Turkey and distinguishes the country from other Western-type models and has peculiar characteristics of its own. It has been a frequent resort to consider this tradition as the main source of the political, economic and social problems of the country. In other words, the state in Turkey is not one that withholds its power in favour of the individual *(Dinler, 2003, p.13)*. The Turkish state structure is not considered only strong but can also be characterized by the additional attributes of being centralized, interventionist, bureaucratic and patrimonial.

The Turkish administrative system functions at three levels;

A. The Central Administration comprises of the main administrative structure of the state and is responsible for the economic, administrative, social, political and cultural policy and strategy formulations along with their implementations. The main branches of the Central Administration perform their activities in Ankara.

B. The Local Authorities,

- The Provincial Administration operates in the provinces and districts and fulfills the decision-making and implementation functions on behalf of the Central Administration.

- The Local Governments comprising the Special Provincial Administration, the Municipalities and the Villages are responsible for the provision of the public services at the local level.

C. Other Institutions and Organizations are universities, other public agencies, supervision and regulation councils, educational and research institutions.

The 1980s are considered a turning point in Turkish political life as they stand witness to an important transformation. The same period has also witnessed the problems related with the manifestation of the strong state as regards the "tension of the continuity of the patrimonial state", since various conflicts between groups against the strong state tradition and the conservatives who have tried to sustain this tradition have been more evident than in earlier settings. *(Dinler, 2003, p.14)*

During the last decade, Turkish governments have frequently declared that their activities are being conducted with an understanding of "social dialogue" with reference to the governance model which has been strongly suggested by international organizations, especially the IMF and the EU. *(Köse, Reyhan, Şenalp, 2003, p.33)*

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[18] The "strong state" is defined in *Metin Heper*'s book (1985). Several Turkish social scientists have frequently refered to this conceptualization.

Under these circumstances, the recent restructuring model in Turkey can be considered as the public governance model which requires efficient democracy, the rule of law, political legitimacy, community participation, transparency, accountability and strong confidence.

2. Private Sector

The private sector is the second side of the governance triangle. In that sector, there are various challenges, obstacles and opportunities for business and industry, which need further evaluation and discussions in view of the governance issues in Turkey. Over the past decades, the Turkish economy has been shaped by liberalization movements, the establishment of free-market principles and the effects of globalization. All these influences have resulted in a transition period which indicates the minimalization of the role of the state and the decrease of industrial investments of the public sector as well as the increase of the role and investments of the private sector in Turkey. That period can be characterized by substantial structural changes and transformation of institutions and of mechanisms that shape the national economy, such as export-oriented growth, increasing share of the industry and service sectors, the rising competitiveness of the industry on the global market, privatization of public enterprises and the adoption of various international standards. All these policies have been strongly supported by export subsidies, Customs Union with the EU and the other international organizations.

While the role of the state in the Turkish economy has been considered as being highly interventionist, the Turkish bourgeois is considered as a "dependent actor" to the state who is incapable of economic interventionism and of long term investment *(Dinler, 2003, p.8, 10-11)*. Strong state tradition and relatively weak civil society have resulted in poor progress in the private sector developments in various areas of the economy.

While the Turkish economy has encountered several internal and external crises, various policies and measures have been undertaken to achieve stability and handle fluctuations both in the economy and the politics. Especially after the 1990s, major steps have been taken by the business and the industry actors to implement the governance principles and render it measurable.

Naturally, all afore-mentioned steps have introduced a new perspective into the development priorities of Turkey, and the concept of good governance has been brought into the national agenda. As a concept, governance is frequently discussed within the business environment; especially within the framework of corporate governance.

Throughout the EU candidacy period and during the harmonization of the Turkish legislation with the *acquis communautaire* of the EU, the business and the industry will have to adopt the required systems, the technological tools and life-cycle assessments in their investments and practices *(Tüzün and Sezer, 2002a, p.176)*.

3. Civil Society

The civil society constitutes the third side of the governance triangle.

The "new actors of today's democracy" are the non-governmental organizations (NGOs) which have different roles than in the period of the representative democracy. NGOs "generate difference" and "constitute small public areas". *(Tekeli, 2002, p.15)*

From a historical perspective, in Turkey, the strong, interventionist, centralized and bureaucratic nature of the state and the hierarchical modes of the political relations constitute important barries between state and society interactions and generate various obstacles to the formation and the activities of civil society. This situation creates barriers before the construction of a sound base of the governance mechanisms and to implement good governance principles.

Several forms of the civil society of the Turkish social and political life have been under re-consideration at a greater extent than in the past. There are currently more than 95.000 civil society organizations, comprising NGOs, trade unions, various federations, confederations, business associations, cooperatives, professional chambers, and union of chambers *(EUSG, 2004a, p.3)*. Despite their structural differences, legal problems and amongst practical obstacles, it is observed that these organizations strive towards their main goal of being more and more involved in the decision-making and consultation process of the country.

In parallel with global tendencies that have emerged after the 1980s, significant progress has been noticed in the development and activism of the civil society. The role of the state and civil society has been evidently reformulated in relation with global trends, but also in line with recent state reforms and restructuring mechanisms. State reforms have actually entered a regime of gradual progress as regards good governance, especially catalyzed by the EU candidacy process. On the other hand, developments in the global arena have both influenced cultural and political life in Turkey and have significantly re-aligned the focus and priorities of the civil society.

In accordance with the İstanbul Declaration in the Habitat II Conference in 1996 and the Habitat Agenda, the Turkish Government has committed to extend the legitimacy area of the NGOs and make collaborations and partnerships with them in the provision of public services. Especially after several natural disasters in Turkey, civil society movements have started to be considered as an important alternative towards the incapable and weak state mechanism. In this context, non-governmental organizations have assumed important responsibilities and great achievements and their activism has become an essential dimension of public life. *(Tekeli, 2002, p.16-17)*

Especially in the areas of city planning, the provision of public services and the implementation of economic and social development, the need has been evident to develop civil society institutions based upon the notion of "local participation" and "transparency"

rather than "elitist" and "exclusive" approaches. This signifies the important relation between "sensitivity of intellectuals" and "local ownership". *(Gümüş, 2002, p.106-107)*

For the effective functioning of democracy in Turkey, civil society is required to play an active role and work in close connection with the public and private sectors.

Despite the fact that developments seem indeed promising, there are still various problems as well as opportunities for democratic and efficient functioning of the civil society in Turkey. Legal, organizational and operational problems, lack of legitimacy and professional capacity, ineffective internal control, lack of democracy within the organizations, inefficient networking with partners including the government institutions and organizations and within the private sector, hierarchical and elitist structure, restrictive influences of the state structure, pressures of the government, patronage-clientalist relations, lack of local ownership, lack of technical expertise and experience needed to develop plans and project proposals and finally financial limitations are all factors that necessitate further attention to the matter of civil society development.

Almost the totality of civil society problems seems tightly coupled with and interrelated with the problems of democratization movements and the localization process in Turkey.

<center>***</center>

In order to understand and clarify the legitimacy of governance in Turkey, there appears to exist the need to make a **SWOT**[19] analysis, presented in the following table, which describes the Turkish socio-economic and political environment as important reasons and needs of the governance based mechanisms.

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[19] The SWOT analysis is based upon the strenghts, weaknesses, opportunities and threats in the area of concern.

Table 2: SWOT Analysis regarding the Turkish Socio-Economic and Political Environment

1. STRENGTHS	2. WEAKNESSES
- developing the institutional and administrative capacity of the state structure	- problems of representative democracy
- relatively increasing activism of civil society	- interventionist, centralized, bureuacratic and strong state structure
- increasing dynamism in the private sector and productivity in several sectors of the economy	- problems concerning its legal legitimacy and the operational instruments of the civil society
- reforms and institutional restructuring movements within the public sector	- unequal social and economic development and disparities in income distribution
- decentralization trends	
3. OPPORTUNITIES	**4. THREATS**
- sufficient and dynamic human capacity when well educated and efficiently utilized	- economic fluctuations and political instability
- increasing level of education of the young population	- extreme vulnerability to external and internal crises
- recent positive commitments and agendas of the governments	- poor sustainability of policies and actions
- the EU candidacy period and current relations with several international organizations	- difficulties in controlling the informal and marginal sectors
	- difficulties in the enforcement of existing laws and regulations, the volume and complexity of the existing legal framework

IV.3. Governance Agenda: Current Challenges and Practical Implications

The previous chapters regarding the contextual focus to governance in Turkey were intended for analyzing the main incentives, the legitimacy and an overview of the present layout of the governance map in Turkey. Following a description of the background, the chapter presents an overview of the governance agenda in Turkey, including recent and ongoing transformation processes, along with the challenges and practical implications involved in the surrounding socio-economic and political environment of those processes.

The main plot of governance in Turkey, as mentioned previously and charted in diagram 35, has been formulated around the impacts of democratization movements, reforms and institutional restructuring movements in the public sector, developments in the relationships with the international and supranational organizations, the EU candidacy period, civil society movements, increasing dynamism in the private sector and increasing productivity in several sectors of economy and, finally, of political reactions.
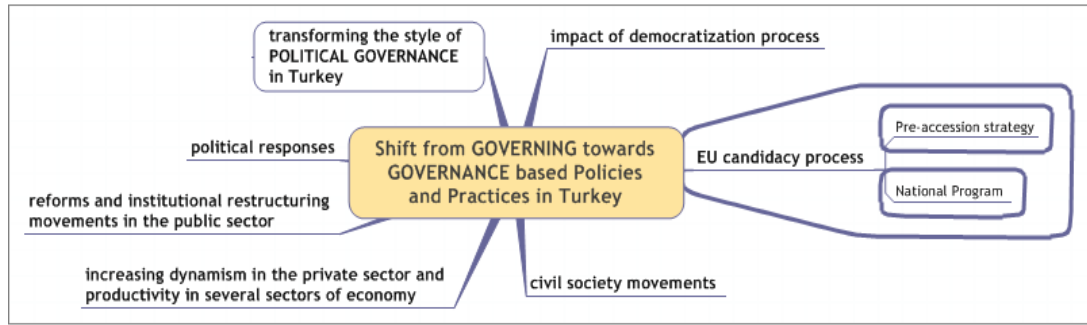
Diagram 35: Underlying Factors of a Shift from Governing towards Governance

Considering all the afore-mentioned factors, it seems reasonable to suggest that the EU candidacy process has had the greatest impact upon the plot of governance during the 1990s, because of the country's Pre-Accession Strategy and the National Program but also due to reforms and restructuring movements supported by the IMF, the World Bank, the OECD and the UN.

The National Program, comprising priorities and commitments can be considered as a crucial step in the Accession process as it seems to have enabled significant legal and institutional reforms and restructuring movements in various sectors, for the short, medium and long runs. This program not only entails harmonization and adoption of the *acquis communutaire*, but also encourages several important movements especially important for constructing the good governance structure in Turkey.

Governance practices have started in a planned manner especially in the period of the coalition government after the 1999 election. In addition, "The Program of Transition to a Strong Economy"[20] of the 57th Government in May 2001 can be considered as an extension of the process of several international committments in the economy. One of the main targets of this program has been a significant shift towards a "governance-based state structure" in Turkey whose policies and characteristics have also been heavily referenced in the "Urgent Action Plan"[21] of the 58th Government, in November 2002. *(Köse, Reyhan, Şenalp, 2003, p.28-32)*

Although not all reforms and restructring movements have emerged solely on their own, but they have rather been supported, and encouraged especially by the EU and the other international organizations, it is possible to consider this process as a shift from governing

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[20] *"Güçlü Ekonomiye Geçiş Programı"* (GEGP), May 2001.

[21] *"Acil Eylem Planı"*, November 2002.

towards governance based policies and practices in Turkey, as presented in the above diagram.

According to World Bank sources, Turkey's recent public and private sector development agenda has been reformulated around four areas *(WB, 2003, p.1-5)*;

- Sustaining sound macroeconomic policies and governance,

- Reducing inequality through equitable human and social development including reforms in education, health services and the social security system,

- Continuing reforms in the financial sector,

- Enhancing Turkey's capacity to deal with emergencies including risk mitigation program, adoption of the EU environmental standards and introducing sound practices for air, water, solid, waste, soil and forestry management.

Under these circumstances, the following developments, summarized in diagram 36, have been realized and have thus encouraged the laying-out of foundations for the governance mechanisms and the implementation of its principles in Turkey.
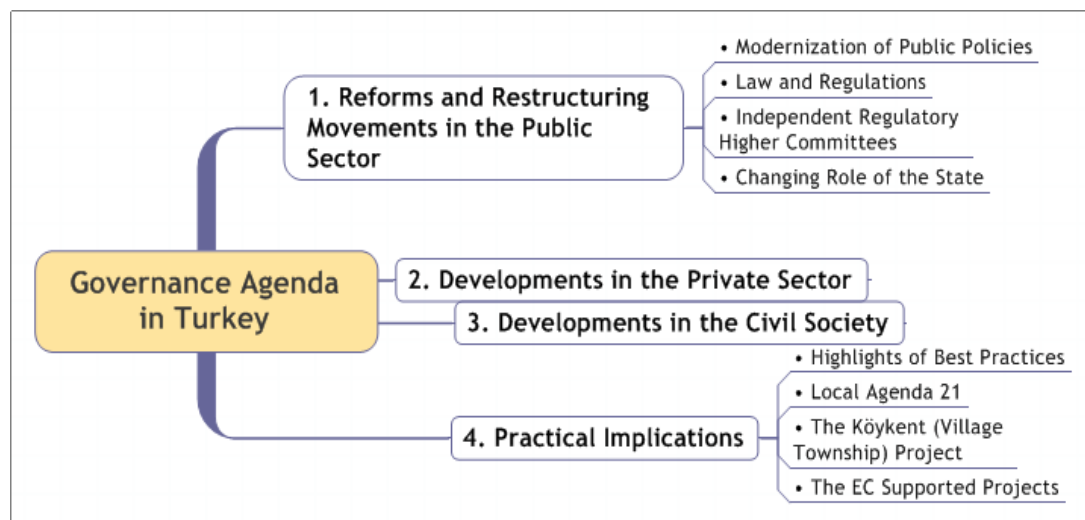
Diagram 36: Governance Agenda in Turkey

1. Reforms and Restructuring Movements in the Public Sector

The Turkish public administration agenda has been highly influenced by foreign relations and agendas and reforms and internal restructuring movements, based upon several principles: regulation/deregulation, privatization, liberalization (in two lines economic-financial and political-administrative), decentralization, localization and subsidiarity. In this respect, there have been critical plans and programs in the Turkish where the public sector can be

analysed under the general category[22] of National Programs and Supranational/International Programs.

Those reforms and restructuring movements in the Turkish public sector have been implemented in the legal framework, and at the institutional and administrative levels through the following developments;

1.1. Modernization of Public Policies

Turkish public policies have been modernized in various sectors in recent decades, such as in agriculture, industry, foreign-trade, transportation, environment etc.

1.2. Law and Regulations

Several new law and regulations have been enacted, such as the 'New Tender and Public Procurement Law', the 'Law of Intellectual and Property Rights' and 'Consumer Rights'. In certain other areas, there is ongoing work on the proposed drafts, such as the 'Draft Public Administration Basic Law', 'Law of Association', 'Proposal on Local Governments Law and Regulations'. These can be considered as important steps in the transfer of power from central to local authorities and minimizalization of the role of the state. The recent legislation concerning human rights and freedom, human settlements and environment are the other important developments in the above process.

The 'Draft Public Administration Basic Law' is mainly concerned with four basic crucial issues which justify the need for restructuring of the Turkish public administration; "difficulties in strategical, performance, budget and confidence" *(Altaban and Duyguluer, 2004, p.2)*. The legislative work regarding this Law focuses upon "...delegation of powers to local administrations, the draft laws related to local administrations and the draft Law on the Establishment of Regional Development Agencies are being carried on" *(EUSG, 2004b, p.3)*.

Another step has been the establishment of the Public Procurement Agency[23]. In addition, the Central Finance and Conracts Unit[24] (CFCU) has been designated to bear the responsibility for the overall budgeting, tendering, contracting, payments, accounting and financial reporting aspects of all procurement in the context of the EU funded programs in Turkey and to manage them with reference to the DIS (Decentralized Implementation System) rules.

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[22] The Programs designated as National, are Government Programs and Five-Year Development Plans prepared by the State Planning Organization (SPO). Programs designated as Supranational/International have been executed together with Key World Organizations and Finance Institutions, such as the EU, the World Bank, the OECD, the IMF, the United Nations, the World Trade Organization and other commercial agreements with third countries and the Turkic States.

[23] *Kamu İhale Kurumu.*

[24] *Merkezi Finans ve İhale Birimi (MFIB).*

There are certain other important developments that can be considered in relation with the implementation of several governance principles of public accountability and transparency, as has been expressed in the following statement, for example:

> "An office for public debt management was established in the Treasury and a public debt law adopted. A new internet-based public accounting system has been introduced, and the complex system of indirect taxation simplified with the introduction of a Special Consumption Tax. The public pension system adopted." *(WB, 2003, p.1-5)*

In addition to the above developments in the legislative area, the adoption and harmonization of the *acquis communautaire* has influenced the Turkish legal framework in various areas. This adoption and harmonization process has had several reflections on the governing mechanism, such as policy formulations and measures in tax reforms, new monitoring and evaluation schemes in the public institutions, along with new efforts to inrease transparency in the state budget, and recent steps against money laundering and corruption**.**

1.3. The Supreme Councils

The Supreme Councils[25] have been established in the late 1990s, based upon the principles of regulation and monitoring in basic sectors, where the role and scope of administration of the public institutions and ministries has been reduced. These Councils comprise representatives of civil society, alongside the public and private sectors. Their representation in the central government level can be accepted as an implementation of "participatory governance mechanism with three partners". Hence, these Councils have assumed the responsibilities of some of the political and bureaucratic mechanisms. *(Güler, 2004, p.16)*

The main drive behind the Councils mentioned in the above paragraph originates from a "new understanding of the public administration" which brings about a "regulatory mechanism of the state" and a "formation of the public service" with reference to the market conditions and rules of competition *(Altaban and Duyguluer, 2004, p.1-2)*.

1.4. The Changing Role of the State

The style of public administration and the provision of public service in Turkey have shifted towards a new social and economic context whose actors and surroundings have been changing themselves. Competition and free market conditions, the "changing meaning of public interest" *(Altaban and Duyguluer, 2004, p.2)*, institutional reforms and restructuring movements are circumstances that have all contributed in the change governing the role of the state and that have brought about new mechanisms based on partnership among all parties of the society.

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[25] The Turkish version is *"Üst Kurullar"*, such as *Bankacılık Düzenleme ve Denetleme Kurulu, Enerji Piyasası Kurulu, Kamu İhale Kurulu, Telekomünikasyon Kurulu,* etc.

The above shift, on one hand, foresees a more active citizenship, technology-enhanced communication, a horizontally networked organizational structure, differentiated services provision, productivity management, interaction among societal actors, and the individual participation in an "e-government model". The existing model that involves, among other things, passive citizenship behaviour, paperwork-based communication, vertical and hierarchical organizational structure, inefficient growth, one-way communication, and the relation of the individual with a "traditional government model", is bound to extinct. *(Uçkan, 2003)*

The afore-mentioned shift results in a new method of public management and in mechanisms based on governance which together necessitate the e-transformation and e-government terms *(Altınok, 2004).* A "legal and institutional framework" is highly important for e-government implementations which focus around such concepts as e-citizen, e-democracy and e-governance *(Uçkan, 2003).*

Within this framework, Turkey's position in the e-transformation process is somewhere between the democratization movement and public reform. Although e-government is considered as an important implementation instrument of good governance, e-government implementations in Turkey have not progressed at the desired pace. Unfortunately, e-government implementations and governance are processes tigtly interlaced and interdependent. That is, effective governance mechanisms catalyze the implementation of e-government applications. Viewed from another perspective, e-government applications threaten the very nature of the traditional government, for they stand against vertical and centralized decision-making mechanisms as they encourage participation and interaction rather than obedience and acceptance of the will of the central authority.

2. Developments in the Private Sector

Although there have been various progressive developments and continuing reforms in the business, finance and industrial sectors, the need has also been evident for much harder efforts to construct a concrete base for the economy, to make a more effective use of natural opportunities and resources, to create a more viable and attractive business environment for both foreign and domestic investment and to encourage entrepreneurship in Turkey.

From yet another perspective, the effects of globalization, the increasing level of interaction with international/supranational organizations, along with the development of the media and the growing diversity of communication channels have encouraged the private sector to consider the "social dimensions of economic development" and the concept of "corporate responsibility". Monitoring, evaluation and auditing mechanisms established by the chambers of commerce and industry and their unions, statutory obligations, and the rise in the level of public awareness of environmental and social values have accelerated this process. The "adoption and development of several standards" by large industrial establishments have increased in the past decades and resulted in the development of "corporate responsibility"

initiatives of private sector instiutions and also contributed to increasing the quality and level of "social and civil rights". *(Tüzün and Sezer, 2002a, p.171)*

3. Developments in the Civil Society

The organization and structure of the civil society is a crucial element of a democratic system and efficient civil society organizations are critical actors in expressing demands of citizens by encouraging their active participation as well as raising their awareness level. Therefore, it is essential to promote a multiple-actor participatory mechanism bridging the public and private sectors with actors representative of the civil society.

The development of the civil society is one of the priorities of the National Program for the Adoption of the Acquis (NPAA) 2001 within the Political Criteria. Civil society-public and private sector relation and cooperation is acknowledged as important aspect of the EU harmonization process.

Despite the fact that the Turkish government has taken certain crucial steps in improving the legal legitimacy and the operational instruments of the civil society but also in developing the institutional capacity of civil society institutions, developments inflicted by those actions might hardly be considered sufficient enough to respond to the changing demands and potentials of the society. The recent legislation regarding the associations and foundations might be given as an example to such a well-intended action but one with questionable performance as of the time of writing.

There have been a number of efforts towards the development of a healthy dialogue and cooperative environment between state and the civil society in Turkey, for the reason that both parties have yet to recognize the importance of this cooperative environment certainly owing to some of the afore-mentioned difficulties but rather out of lack of trust and an inefficient institutional structure.

In the areas of democracy and human rights, environment, sustainable development, agriculture and employment, there have been several demonstrative and impressive examples to such cooperation. Those programs and/or projects have been supported by Key World Organizations, finance institutions and related international assistance programs. Certain micro-project components have also been intended for encouraging local initiatives and strengthen small-scale and dynamic NGOs in Turkey.

4. Practical Implications of Governance

Within the analysis of the governance map in Turkey, this chapter of the thesis focuses on the realization and implementation of governance issues through several practices. Therefore, these practices have been used within this context to introduce some of the globally discussed and accepted issues and principles, which are generally difficult to implement both at the national but also at the local level.

4.1. Highlights of Best Practices

There exist certain examples to best practices regarding good governance, that have been presented in the Johannesburg World Summit on Sustainable Development in 2002, compiled with the support of the Turkish Ministry of Environment and the United Nations Development Program. In addition to areas of concern for the environmental sectors[26], governance has constituted one of the critical areas of concern. Accordingly, a number of selected best practices, presented in the Appendix C, have been noted, highlighting lessons learned along with practical implications of governance, sustainable development and rural poverty. *(Tüzün and Sezer, 2002b)*

4.2. Local Agenda 21

Agenda 21, endorsed by the 1992 Rio Conference, constitutes an action plan to elaborate on sustainable development through a consultative process with the local population and the achievement of a consensus. A project, titled "Promotion and Develepment of Local Agenda 21s in Turkey" was developed as a response to this global necessity for consensus. The main purpose of the project is to have local authorities, through their commitment to Local Agenda 21, encourage a participatory, multi-sectoral process to achieve the goals of Agenda 21 at the local level, through the preparation and implementation of long-term, strategic action plans that address priorities of local sustainable development concerns. *(EUSG, 2004a, p.6)*

One of the results of the implementation of the Local Agenda 21 has been the development of the understanding on governance based principles within the framework of the Local Agenda 21 process. The Project is based on the launching and implementation of a long-term strategic plan of action, intending to resolve problems important on local basis, related to sustainable development. Another target of the project has been to support in the definition of the "sustainable development agendas of the cities" in Turkey in the 21st century. *(Tüzün and Sezer, 2002b)*

The project started in 1997 and has been leaded by the International Union of Local Authorities–Section for Eastern Mediterranean and Middle East (IULA-EMME) in Turkey, with the participation of 48 partnering local authorities along with the Ministries of Interior and Environment, the State Planning Organization, the Youth for Habitat International Network, Regional Unions of Municipalities and the Union of Historical Cities. Local Agenda 21 has been thus implemented in approximately 50 cities from different geographic regions of Turkey thanks to considerable political and legal support.

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[26] Environmental areas comprise 'climate change and sustainable development', 'conservation of biodiversity and sustainable development', 'governance for sustainable development', 'poverty eradication and sustainable development', 'business and industry in sustainable development', 'information and communication for sustainable development' *(Tüzün and Sezer, 2002b)*.

Local Agenda 21 process has proved to be of special importance to Turkey since it has contributed to the understanding of the importance of the concepts of locality and partnership in the resolution of settlement problems. This process brings about a new understanding in public administration which entails provision of public services the incentive of encouragement-collaboration.

The UNDP has chosen Turkey's Local Agenda 21 Program as a World-Wide Best Practice in 2001 and it has been decided to present this program as a best practice in the Johannesburg World Summit in 2002.

4.3. The Köykent Initiatives

Another significant practice example has been the Köykent Initiatives and the recent Program[27], referring to the village township concept. The Initiative was conceptualized and initiated by the founder and the then leader of the Democratic Left Party, Bülent Ecevit, and its execution has been attempted several times in various parts of the country.

The Köykent concept and vision have been discussed for more than 30 years as a method of rural development interventions in Turkey. In the past, several sites were announced by Governments as Köykent implementation areas, but not completed due to various reasons. Over time, the concept, the vision and components of the initiative have changed, and public perceptions and expectations have also been diverse. Various stakeholders from the public and private sector, civil society, politicians, academicians and the mass media have approached and supported the initiative from different perspectives. On the other hand, several oppositions and criticisms have been noted about the concept and implementation of the initiatives and the recent Program. The propositions of the Köykent concept to rural development approaches and its implications to rural poverty in Turkey have been the subject of extensive argumentation.

The plan for the overall Köykent recent Program was intended to test and to implement new ways of rural development approaches, through the provision of support to local initiatives in parallel with State assistance. The recent Program is quite different from other Government programs, such as the Center Village and the Back to the Village programs, although the concept and vision of the Köykent initiative has been often confused with the above-mentioned Government projects. In fact, the distinctive characteristic of the recent Köykent Program is that "services and facilities are distributed among member villages (not concentrated in one central village) on an equitable, logical basis, creating what amounts to an -organic functional whole-" *(Lemel, 2002, p.1)*.

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[27] The Köykent Program has been selected as a case for emprical analysis, in order to examine governance issues in Turkey in the area of rural development and has been further discussed in following chapters of this thesis.

4.4. EC Supported Projects

The European Commission has supported several public and private mechanisms based on governance, civil society development and sectorally diversified organizations through several programs and projects, presented in Appendix D. Those projects can be considered as accelerating and facilitating milestones for the realization and implementation of governance in the process of restructuring movements and reforms in Turkey.

IV.4. A Critical Review of the Governance Literature

Although the afore-mentioned restructuring movements and reforms have encouraged the construction of an important base for governance mechanisms and the implementation of their principles in Turkey, various responses have been encountered and increasingly discussed at various political, economic, social and cultural platforms throughout the country.

After a critical review of the governance literature in Turkey, responses to and discussions regarding it seems possible to identify different approaches as regards the analysis of governance, including constructive as well as destructive approaches whose main premises have been summarized in the following diagram.
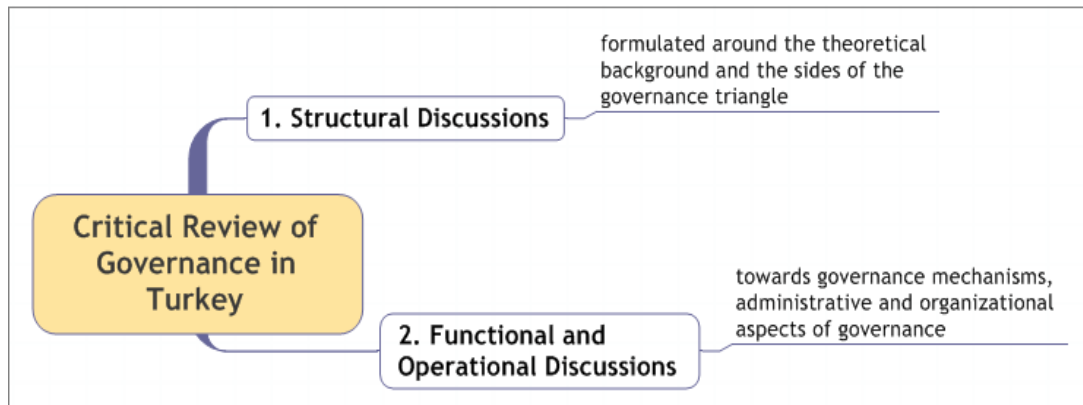
Diagram 37: Critical Review of Governance in Turkey

1. Structural Discussions are formulated around the theoretical background and the arms of the governance triangle in Turkey.

As has been argued in the international agenda, governance has mainly been taken into consideration in the process of the governability crisis of the nation-state.

Under these constraints, transformations caused by globalization bring about a "new understanding of state" and a "need for a new style of power" *(Köse, Reyhan, Şenalp, 2003, p.27)*. The simple way to an understanding of the governance in Turkey is through the

"separation process of administration from the politics as well as administration autonomized or transfered to the autonomous councils" *(Köse, 2002)*.

Göymen (1997, p.171) juxtaposes governance with other concepts; governance and subsidiarity emerged in the framework of globalization and locality dynamics and decentralization and devolution was related with the central government. He argues on four characteristics of governance, instead of making a definition. These characteristics are "new actors, new institutions, new working patterns and new monitoring forms" with reference to the external and local influences. *Göymen* approaches the governance discussion from a very constructive perspective in an attempt to find the answer to the questions below;

> "Which activities should be done?" and "Who does those activities in a best, more efficient, sensitive, consultative and inclusive way?" *(Göymen, 1997, p.172)*

Boratav (2002) considers governance as a "social structuring system based upon an interaction of social groups organized around common interests and political parties" According to *Boratav*, governance is intended to take the place of the "representative democracy" and after the historical development, the final point of the representative democracy is the "welfare state", while on the side stands -as its underdeveloped type- "populism". At the present, the demolition of these models is being considered. *Boratav* argues that the governance model, on the other hand, targets to move all the mechanisms of sharing and resource allocation outside of the realm of politics, if possible. *(Boratav, 2002)*

Under these circumstances, *Boratav (2002)* has strongly criticized certain efforts of the 57th Government, such as the "formation of councils, civil society institutions, the issue of minimizing the state with reference to the legitimacy of governance" in Turkey. He asserts that this governance model to be imposed in Turkey represents a "transformation of anti-democratic sharing". He also signifies the importance of a "transition process for constructing an efficient model of governance" in the country.

One of the critical discussions is formulated around the role of the state. The minimisation and decentralisation of the state becomes a major issue for big scale public reforms and restructuring movements. During this process, it is considered that the "state views itself as the same of the civil society" which is the second base of the governance triangle. It means that "the state on one hand, offers its duties of the socio-economic activities to the all stakeholders in the society, while on the other hand tries to escape from its responsibility as well as destroys the independency and autonomy of the non-governmental organizations and creates barriers in front of them". As a result, "while the role of the state is being minimized, private investment is inevitably strengthened in an uncontrolled manner". *(Köse, Reyhan, Şenalp, 2003, p.33)*

Another reflection of the governance critique is the "bringing down of the decision-making authority of the society to the private area from the public area" *(Köse, 2002)*.

Atauz (2003, p.55) discusses governance by concentrating on a "mutual relation between realization of development and change of population structure and process". According to *Atauz*, "governance opens a critical area to discuss decisions of population and development and to interpret their various approaches". In short, he implies several important questions as per below;

> "Where does community take place in decisions of the social, economic, spatial aspects of development? Does it take place in an environment in which decisions are taken or are those decisions are taken and then informed in an exclusive way?" *(Atauz, 2003, p.55)*

Atauz formulates good governance as a "system of administration" in which all individuals in society can take place in the decision-making, implementation and evaluation stages of that process. He signifies the importance of the "pluralist structure of that system comprising of civil society, public and private sector". When the interaction among them is considered as "interaction among partners", governance might be realized. Although the system works under the conditions of participation, transparency, rule of law and accountabilty etc., higly bureaucratic, strongly structured and less transparent conditions generate improper settings for the implementation of governance. *(Atauz, 2003, p.55)*

Atauz states that if Turkey is evaluated under these principles, the conditions do not produce proper environments for governance. Although governance takes place in the government agenda, the highly centralized and authoritarian public administration hardly distributes its duties and responsibilties and neither does it respond effectively to demands or reduce spending. *(Atauz, 2003, p.55-56)*

2. Functional and operational aspects of governance tend to be more focused towards governance than the above structural discussions.

Accordingly, *Kalaycıoğlu (2002)*, *Köse (2002)* and *Sancar (2002)* have discussed the emergence of the concept especially after numerous instances of questionable use – in terms of efficiency and correctness- of financial support by international and supranational organizations towards underdeveloped and developing nations.

Kalaycıoğlu (2002, p.57-58) has stated that this situation was acknowledged in the 1960s and an important rationale was set forth that, if "certain governing forms" and conditions of transparency and accountability are not developed before-hand, support will not be made available through the intermediary help of governments. According to *Kalaycıoğlu*, this rationale also results in an important point of conflict between developed and underdeveloped nations. *Kalaycıoğlu* argues that governance is not a new concept and does not present critically important characteristics. It exists already in the science of politics with

the meaning of 'governing'[28]. According to *Kalaycıoğlu*, the exact concept used together with the adjective good has had a past of 20-30 years.

Sancar (2002, p.56) has stated that the main reason for international powers using the concept of governance since the 1990s is that governance is defined as the "new democracy of imperialism" and it has been introduced as a "condition of the globalization of democracy".

The concept has been further critized in Turkey due to the perception of governance by many as a "brilliant package of radical transformation" developed and introduced by the World Bank, the IMF, OECD, the World Trade Organization etc. *(Köse, Reyhan, Şenalp, 2003, p.27)*.

Sancar (2002, p.56) has concentrated on the "content of globalization and re-structuring which influence the "labour class". *Sancar* has stated that the problems of unemployment, poverty, war and etc. have been introduced and even formulated by the restructuring projects of the IMF and the World Bank. *Sancar* argues that the concept has been further popularized and updated with the Prime Minister's last visit to the US. According to *Sancar*, governance had been included in the "dictated topics" unveiled by the President of the US. Accordingly, the concept had been used "to describe the re-structuring of democracy and in turn to reinstate governance as the condition of globalization of democracy".

Köse, Reyhan and Şenalp (2003, p.28-29) have implied that the environment of crises in the country serves the legitimacy of the reforms through the introduction of those reforms to the public as urgent necessities. *Köse, Reyhan and Şenalp (2003, p.26)* also discuss the simultaneus usage of two concepts in the business environment; governance as an "administrative transformation" and "restructuring" as an "economic transformation". It has been stated that good contemporary governance has had a "vital context (including legal and political intervention and regulations) for international capital rather than being a set of innocent and simple proposals for developing countries". It has been asserted that when international investors take an investment decision targeting the domestic market, they would also take into consideration the "extent of the existence of a developed governance structure".

Sancar (2002, p.68) considers governance as an "instrument for distracting masses away from politics". According to this rationale, while civil society benefits from various opportunities, it becomes dependent upon capitalism.

Another criticism of governance has been formulated in the following;

> "Governance is the new power formulation and it is certainly anti-democratic. It is intended to blur the minds through the clarification of the governance ideology with the strange concepts of transparency, accountability, participation and etc". *(Güler, 2004, p.35)*

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[28] Governing here refers to *"hükümet ediş" (Kalaycıoğlu, 2002, p.57)*.

CHAPTER V

EMPIRICAL ANALYSIS: INITATIVES AND PRACTICES OF THE KÖYKENT RURAL DEVELOPMENT POLICY

This chapter attempts an empirical verification of the theoretical issues regarding governance, set forth earlier, and an empirical analysis of the governance map in Turkey, that is, of the method of measuring and testing governance. It has thus been intended solely for making possible the visualization of the method for implementing governance mechanisms in planning, by inquiring about how it might be possible to render the governance map measurable in Turkey with respect to the planning discipline.

V.1. Research Design and Methodology

V.1.1. Background and Main Incentives

This section will shortly describe the transformation that the initial hypothesis of this thesis has undergone and what the main question is empirically analysed. The starting argument formulated as: 'governance as an instrument for democracy in collective life', has transformed into the questions of: 'how can governance, applied as a specific planning instrument, pose a difference?', 'how is it possible to design a governance process in a special area of context in planning in Turkey?' and 'what are the principles?'

Actually, with reference to this transformation, the analysis of the transfer and practice methods of governance has been intended at the local level, with reference to changing interactions in the society.

The purpose of this thesis has been to lay out **scientific validity** in the theoretical chapter and **social validity** in the empirical analysis chapter. In the theoretical chapter, scientific validity has been attempted using a 'fragmentalist' approach. The empirical analysis chapter following will attempt to re-formulate the problem defined in the theoretical chapter within the specific case of Turkey and the selected case, in order to reveal validity in the social context.

V.1.2. Selection of the Case Study: Subject Area

This section capitulates on the choice of the case to be used within the specific investigation of governance in planning, in Turkey and on the subject that should be focused on in order to build a relevance context; in other words, on the extent to which governance as an instrument can make a difference at a specific area and case.

Accordingly, rural development aiming at poverty reduction as a sub-domain of sustainable development has been selected as the area at which governance used within the context of planning can make the most profound difference. That is, the reason behind the choice of the 'rural development' area and of the 'Köykent Initiative' shall be explained.

The supporting ideas of this argument and the answers to the above questions have been presented below as the selection criteria for the cases.

The first supporting idea is that the relation between good urban governance and sustainable development has been accepted as an increasingly important area of concern. This relation has been supported by various organizations at different levels in the sense that good urban governance can be considered as the most critical factor for the reduction of poverty and for a high and sustainable level of living standard in cities. Actually, governance practices with reference to sustainable development issues bring about a special focus to community-based development and to local participatory mechanisms.

After discussion of the theoretical and conceptual background of the governance issues clarified in previous sections, governance has been addressed in the empirical chapter with reference to the relation between governance and sustainable development.

Moreover, 'sustainable development, as an approach to 'poverty reduction' necessitates not only a set of activities, but also an instrument by which it is used by analysts in promoting sustainable development.

Under these circumstances, there exists need to deem this concern operational for the validity and relevance of good governance. Therefore, the subject area in the empirical chapter has been decided to be the 'relation between sustainable development and governance based upon the poverty reduction measures'. A proper area of concern for testing this relation in Turkey is 'rural development policies and practical implications'.

The following criteria, whose essence has been summarized in diagram 38, successively discuss the reasons on why **rural development** and the **Köykent Initiative** have been chosen as an area of concern to empirical analysis of governance in Turkey;

- Rural development within the context of planning presents a rich source for empirical research as regards governance, for the reason that it contains varied and dynamic processes.
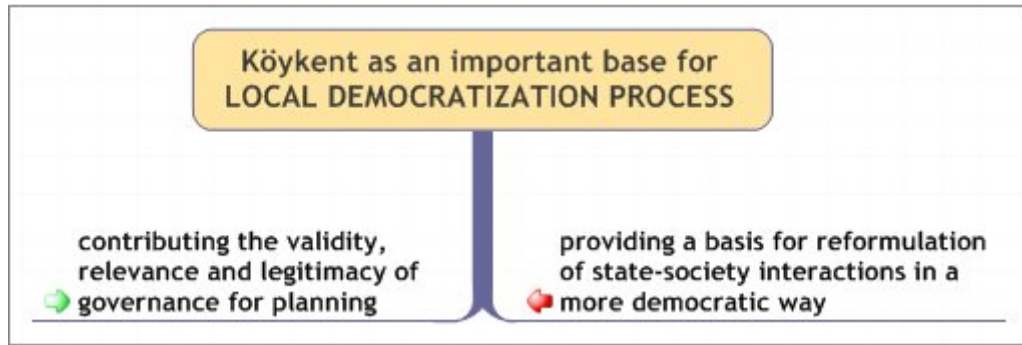
Diagram 38: Main Essence of the Selection Criteria

- Rural development presents a suitable area for investigating the relationship of the individual with the state within the framework of governance. Köykent stands as an interesting experience, for it reveals the conflict of local dynamics with high-level strategies and decision-making mechanisms. It also presents a sampling space for understanding the transforming levels of interaction between the individual and the state.

- Köykent comprises important indicators about the local democratization processes in Turkey. It also points to an evolutionary process. It describes the reformulation efforts of the relationship of the state with the individual and the civil society in an evolutionary perspective. Köykent also presents an important foundation on the legitimacy and validity of governance for planning, as explained in the above diagram.

- Köykent may be defined as an initiative that has commenced at the 1970s and has been implemented at interrupted intervals, due to various reasons and over periods of time. Köykent has been an evolving initiative that has also been related to developments in different areas, and has gained socio-economic perspectives. The reason behind the choice of this initiative has been the fact that while its core philosophy has remained unchanged, its content has constantly evolved and the project, or rather, program comprising multiple projects, has always been a reference point for rural development policies for the past 30 years. In addition, the examination of this specific initiative may yield a significant contribution to the rural development and governance literature in Turkey, when the points of success and failure are examined with respect to governance, considering that the initiative has been discontinued at a time when it was intended for wide-spread implementation.

- The question may arise as to why a rural development initiative such as Köykent would come into attention in a governance-related thesis. The most important justification to this question would be the fact that this initiative, commenced 30 years ago by a strong

and highly centralized state tradition, has been locally accepted even after 30 years and has enjoyed support in the international arena.

- Köykent has not been treated as a rural development program within this thesis. Rather, viewed from a wider perspective, a period aiming at materializing the governance practices of the public administration policy of a state, has been examined. The thesis shall focus on the successes and disappointments caused by the issue of the revival of an old initiative that has been conceptualized as a public intervention, and drawn into the agenda with local civil initiatives. The issues focused upon and their results along with the overall evaluation are anticipated to form a basis for and contribute to urban and rural policy planning.

- The governance process and the Köykent initiative seem to have one important aspect in common. Both seem to have emerged as circular 'evolving' and 'mutual learning processes' that have been nurtured by all the pros and cons involved.

Under these circumstances, the main area of concern in the empirical analysis chapter is to investigate governance within the specific case of planning and in view of the critical Köykent experience in the rural development literature. In other words, considering Köykent as a 'process management' method or instrument, the answer to the following question has been sought: 'In what ways and in what context can Köykent pose a difference within the rural development dynamics and the context of the governance debate?'

The concept of Köykent has had various conceptualizations and different formulations as a way of thinking, a development model, a project and/or aproach regarding the emergence, the evolutionary background and past initiatives since the 1970s. The concept of Köykent, an important milestone in the development literature of the country, shall be referred to as the Köykent **initiative** throughout the process that has led to its revival in the beginning of the 2000s. Although the name has been substantiated as the Köykent (Sustainable) Rural Development Project (KRDP) in various formal documents and papers especially after 2000, later **within this thesis** and for the process and period that covers its re-emergence and the commencement of its implementation starting the year 2000, it has been –more appropriately- referred to as a **program** comprising various projects. The main reason of this naming convention has been the fact that the year 2000 has marked the transformation in the perception of the Köykent concept within a program and project framework, and the treatment of its design and planning within a systematic perspective.

V.1.3. Goals and Objectives

The main **goal** of the empirical chapter of the thesis is to analyze the implementation of the governance principles and thus render the concept measurable.

The main **target** of the empirical chapter is to develop the main criteria and the measures that might constitute an important foundation for an action plan of a strategic and integrated rural development plan in Turkey. According to this plan, governance should be taken into account as an instrument to be utilized in increasing public institutional capacity and supporting local dynamics behind it.

In view of the main goal and of the target, the other **objectives** of the empirical analysis of the Köykent initiative have been set as follows;

Table 3: Main Objectives and Outputs of the Research

Objectives	Outputs
- to evaluate the past experiences gained from one of the biggest sustainable rural development initiative in Turkey from a socio-economic, institutional and operational perspective,	**Background Information**
- to conduct a comparative evaluation in view of other rural development experiences in Turkey.	**Comparative Evaluation**
- to search various participatory and inclusive methods utilized throughout the process, - to reveal the requirements, expectations and level of involvement of all interest groups.	**Stakeholder Analysis**
- to conduct a comparative study on the organizational structure and the service provision schemes of institutions with the mission of public service provision to rural areas, - to examine the capacity of related central or local agencies and other stakeholders in the process of policy formulation and practice of the operations.	**Institutional Analysis**
- to make an assessment of the perception and of the level of awareness about the Köykent Program/Projects and an analysis of the implementation of good governance through the examination of the involvement of the community.	**Visibility and Awareness Analysis**
- to attempt an analysis of attitudes of local citizens, their priorities, preferences and their civic values.	**Needs Assessment**
- to enable an evaluation of the risks, threats and challenges involved with both the positive and negative aspects of the process, - to present both successful and unsuccessful aspects of the policy formulations and implementations as well as the reasons of failures and/or missing points.	**SWOT Analysis**
- to make all the evaluations in accordance with the governance debate, set forth in the theoretical chapter, with reference to the levels and methods of implementation of the program process.	**Evaluation of the Governance Principles**
- to synthesize the innovative points as well as negative aspects which further and ongoing similar programs and projects can benefit from, - to draw possible lessons to extend the approach to a wider perspective.	**Concluding Remarks**

V.1.4. Methodology

The scope and framework of the methodology of the thesis shall be clarified through the answers given to the following questions: What is the research methodology used? What was the sampling space used as a basis? Which data collection tools have been used? How shall the findings be evaluated? Where was the survey implemented? This section will accordingly focus on the answers to the above questions.

The goal of the methodology used in the theoretical section has been maintained in the empirical section as well. That is, sources have been reviewed with a critical approach and both the positive and negative aspects have been presented within the same picture. Also, the evaluation of the Köykent initiative comprises results at certain issues that have been drawn from personal deductions, which might constitute a contribution to the planning discipline.

The arguments set forth in the theoretical chapter are intended to be analyzed in the empirical chapter mainly through '**qualitative research techniques**' based on '**participatory observation**' and '**semi-structured interviews**'. Interviews conducted along with participatory observations have constituted the basis of the empirical analysis and the evaluations or the thesis. All the steps of the research are presented in the following diagram, an overview of the 'research cycle'.
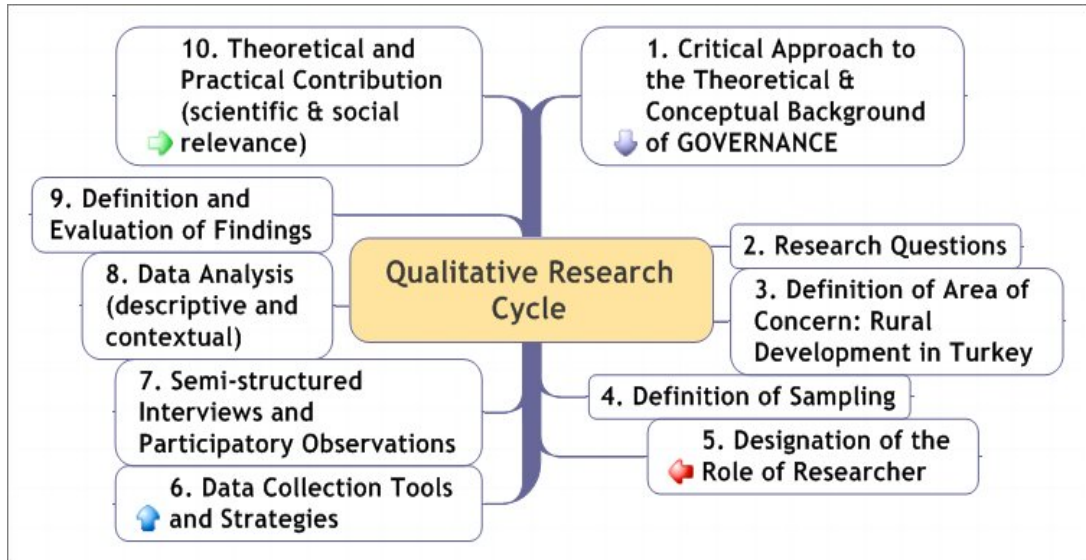
Diagram 39: Qualitative Research Cycle
(inspired from the table by *Yıldırım and Şimşek, 1999, p.51.*)

However, **quantitative research** sources[29] and survey results have also been reviewed accordingly to present implementations in a clarified manner. The results of the quantitative research have contributed to the content presentation part of the program in a descriptive manner only. That is, the findings of this research have only been used in the description of the program and of its components.

Qualitative surveys do not necessarily yield as definitive findings as in quantitative studies. The main idea is to comprehend what people perceive in relation with the subject being studied, which in this case is the relation between governance and rural development. The governance-related factors and issues raised in the course of this analysis constitute some, but not necessarily all, the determinants and parameters involved.

It is anticipated that one of the most powerfull aspects of the thesis has been the writer's active participation in the design, preparation and implementation phases of the research process, thanks to which, a close observation, inspection and evaluation of the parties' approaches and behaviour throughout the process has been possible.

As mentioned in the above paragraphs, the methodology is based on a qualitative survey and analysis, articulating and rendering various perspectives of governance. This research focuses on measuring the impact of governance on rural development. In particular, it has involved quantitative and qualitative analyses of a wide range of socio-economic data (national and regional) of the relevant case study. This methodological approach has enabled the evaluation of the interactions among actors and institutions.

In addition to the main goals and objectives discussed in the previous sections, the methodology applied to qualitative analysis aims principally to construct and justify the social relevance and validity, for Turkey, of a thesis prepared within the planning discipline. As a matter of fact, the expansion of the content span and the enrichment of methods surrounding the planning discipline seems to be necessitating the utilization of such perspectives. This is best expressed by *Healey (1997, p.282)* in;

> "Rational planning process involves review of issues (survey), sorting through findings (analysis), exploring impacts in relation to values (evaluation), inventing and developing new ideas (choice of strategy), and continuous review (monitoring). But these activities are approached in a very different way. They are undertaken interactively, often in parallel rather than sequentially".

Accordingly, as regards **data collection methods** and **tools**, an attempt has been made to follow a four-stage order.

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[29] The quantitative research mentioned has been conducted with the support of the funding institution (the World Bank, in this case) by representatives of various publc institutions in the Köykent pilot sites. Most parts of the design, preparation and implementation of the survey have been undertaken by the World Bank Consultants and the writer of the thesis while fulfilling the role of 'social scientist' for the Köykent Project Management Unit of the subject project. The pilot sites have been chosen according to certain site selection criteria mentioned in the next chapter, in areas where commencing the project had already been decided upon and social assessment had been accordingly conducted.

1. First Stage: Review of the rural development debate and past experiences in Turkey in terms of policy, strategy and project/program formulation. The positioning of the Köykent experience within the rural development realm and the definition of its resemblance to and difference from other programs or projects.

2. Second Stage: The examination of the basic philosophy, the components, the vision, the implementations and characteristics of the **previous initiatives** and the **current program**, in a comparative manner through;

- review of previously conducted socio-economic research, and of literature related to the Köykent initiative,

- review of statistical data, reports, comments from the related institutions and agencies (the World Bank, the GDRS, the Ministry of Education, the Ministry of Health, the Ministry of Agriculture and Rural Affairs, the Ministry of Environment and the Ministry of Forestry, the GAP[30] Regional Development Administration),

- participatory observations from the meetings with the related institutions and agencies.

3. Third Stage: Analysis of existing quantitative survey results focusing mainly on;

- policy formulation and implementation in Ordu-Mesudiye,

- policy formulation and efforts in Düzce-Kaynaşlı and Van-Özalp.

4. Fourth Stage: Conducting research and field survey through semi-structured interviews, focus group meetings, and participatory observations and their analysis in the following areas;

- Van-Özalp, Niğde-Çiftlik, İçel-Tarsus-Dörtler, Kastamonu-Daday.

Using the results from the analyses, an attempt to answer the following question has been attempted: 'When governance is utilized as an operational instrument in rural development, which are the areas in which it seems to be in need of improvement and which are the aspects where it appears to be successful or unsuccessful?'

As a corollary, the main objective of the research has been to clarify the question of 'What should be the roles and responsibilities of the interest groups in order to refine the program?'

After the first three steps (review of rural development debate and past experiences in Turkey, review of initiative sources and related literature, and analysis of existing quantitative survey results), the fourth stage, research and field survey was conducted in 2002 in Ankara and in the Pilot Köykent sites. The sampling space has consisted of a total of 80 individuals, selected from all the interest groups on an **institutional** and **local level**. Various participatory observation sessions have been conducted. The profiles of the selected individuals has been as per below:

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[30] *GAP* refers to the Southeastern Anatolia Project.

- **In Ankara** the sampling group includes program promoters, decision-makers, politicians, representatives of central administration of line ministries, volunteers and representatives of civil society institutions.

- In the **Pilot Areas of the Köykent Program** the sampling group comprises local leaders, governors, sub-governors, representatives of the district administrations of line ministries, volunteers, representatives of civil society institutions and local inhabitants (which constitute the majority of the sampling space), individuals comprising different gender, age, education and vocational profiles.

Some of the individuals mentioned in the two paragraps above constitute the key informants of the research, for the reason that they have provided valuable and highly critical information and comments on the Köykent initiatives.

Samples of the 'semi-structured interviews' and 'participatory observations' have been presented in Appendices E-G.

The afore-mentioned participatory activities have been conducted in various forms, such as meetings, consultations, focus- and working-group meetings, assemblies, confrontations, wrap-ups etc. The results of research and field survey conducted, have, on the other hand, enabled the identification of some outstanding features of the initiative and the recent Program, along with clues regarding the relationship between governance and rural development, as well as arguments on the degree to which the Program objectives were realized and the principles of governance were implemented. Results and conclusions in this chapter have been used as evidence for further discussion, in the next chapters.

V.2. Rural Development Policies and Practices in Turkey

This chapter concentrates on two issues; 'general overview of past and recent rural policy formulations, strategy developments and practical implications'; and 'analysis of the rural development policies and practices with reference to the governance debate formulated in the previous chapters along with an analysis of recent successes and failures in accordance with the governance principles'.

V.2.1. General Overview of Past and Recent Policy Formulations, Strategy Developments and Practical Implications

Turkey's rural population, totalling approximately 25 million people, 39% of the country population *(WB, 2002b),* and its rural areas[31] with its extended organization pattern and

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[31] Rural areas refer to all districts, villages and other small settlements (*mezra* in Turkish). Rural population also refers to the people living in those areas which suffer insufficient provision of public services, employment and insurance. *(SPO-Special Expert Commission, 2000a, p.6)*

dispersed settlement formation have always been important areas of concern in the development literature. These concerns have been increasingly taken into account by most governments as urgent social and economic priorities.

There exist considerable disparities in the levels of social and economic development among the regions of Turkey in terms of various socio-economic indicators and living standards. The main reasons behind these disparities may be stated as differantiation in geographic situation, topographic characteristics and climatic circumstances. With reference to such features, spatial characteristics of rural areas can be defined as being over fragmented and having a scattered structure. Furthermore, other differences may also be observed among regions in terms of their natural resources and the type and pattern of their production. *(Rural Development Committte, 2002)*

During the last decades, rural development models, policies and practices, summarized in diagram 40, have changed parallel to the global and national economic/political developments to deal with the major problems of the rural population.
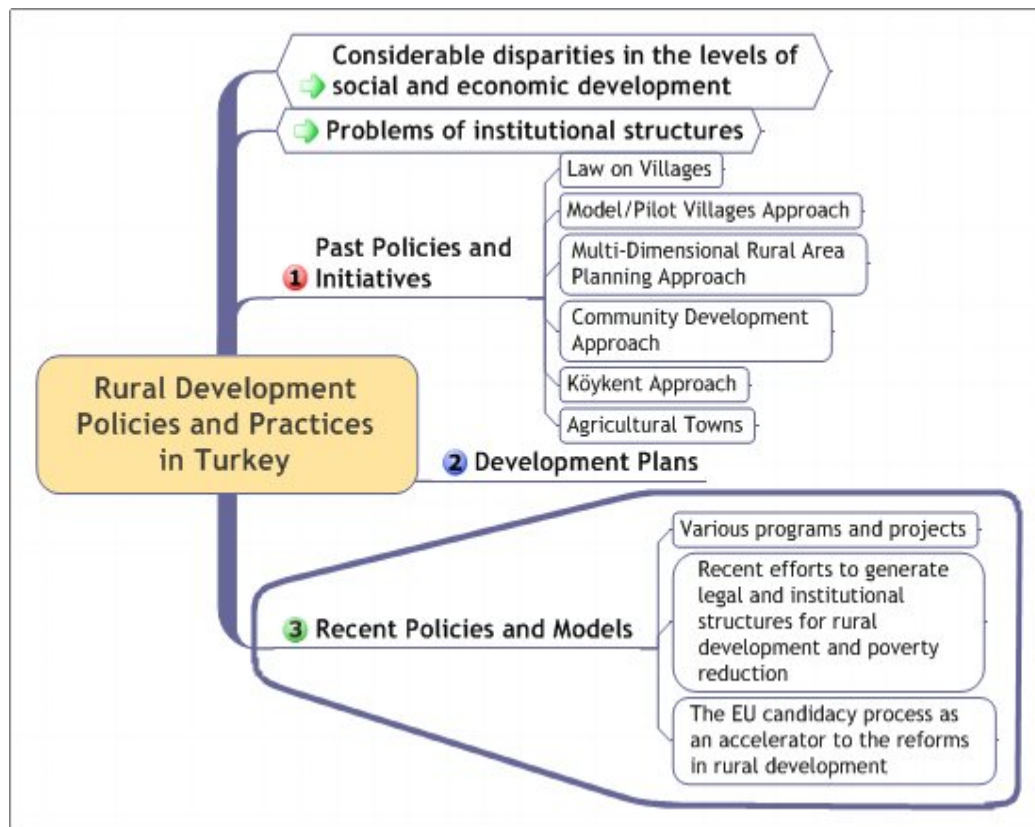
Diagram 40: Rural Development Policies and Practices in Turkey

The first step regarding rural development has been taken by the establishment of the Law on Villages based on the principle of developing villages through planning, and the action has been materialized during the planning period in the1960s.

Various approaches and models have been tested and developed during initiatives undertaken to influence rural areas as well as to initiate and sustain the targetted changes. Some of these approaches have used a one-at-a-time method, while others have chosen to study villages as a whole within a pre-determined area or in a clusterred form. *(Bulguç, 1976)*

Keleş (2000, p.190-196) classifies the activities carried out concerning rural development under the following main headings;

1. The "**Law on Villages**", established in 1924, has suggested the implementation of basic physical infrastructure without requiring the preparation of a development plan for villages. The Law has assigned a series of duties to administrations of villages in order to ensure development and also to meet requirements for health and public works. However, due to economic and administrative deficiencies, special provincial administrations and central governments have been able to assume only a supportive role for villages in the fulfillment of the defined duties.

2. Between the years 1963 and 1965, a new development method has established under the name of "**Model/Pilot Villages Approach**". It has been supported by central governments and special provincial administrations in Ankara and İstanbul. It has been based primarily on the following points of view: 1. to coordinate service provisioning to villages, 2. to ensure that surrounding villages also benefit from such services, 3. to concregate all partners related with the village issue, 4. to put forward a concrete development model for other villages as well *(quoted from Tütengil, 1979, p.142; by Keleş, 2000, p.190-191)*. It has been assumed that model villages developed with a method originating from such aims would also contribute to the development of surrounding villages and could thus become widespread. However, two important criticism have been exerted on this approach *(quoted from Geray, 1974; by Keleş, 2000, p.190-191)*; 1. that it has resulted in changing the physical appearance of the settlements through intensive service investment rather than establishing structural changes in the villages, 2. it has fallen short of meeting the needs of the people for the reason that it had been prepared primarily by public officials. *(quoted from Yavuz, Keleş, Geray, 1973; by Bulguç, 1976)*

In order to introduce, extend and demonstrate studies carried out by various organizations to villages, attempts for the establishment of model villages have been made. Those attempts have been criticized on the ground that these model village efforts, experimental in nature, were largely conceived as being conducted with public relations purposes. *(quoted from Yavuz, Keleş, Geray, 1973; by Bulguç, 1976)*

3. It seems possible to assert that a "**Multi-dimensional Rural Area Planning Approach**" has been adopted by the establishment of the Ministry of Rural Affairs in 1965. This approach has already been implemented in countries such as the Netherlands, Italy and Israel. The main objective has been to transform the village into a sustainable self-sufficient unit. It has thus been aimed to remove the disparity of the urban and the rural and to ensure the most efficient usage of resources.

This approach has enabled, for the first time, the establishment of a correlation between the concept of development and the rural area at a national level. As this correlation is addressed within a planned framework, it is also considered to be of extreme importance. Moreover, these proposed regional plans have also aimed at socio-economic and physical development perspectives, in addition to agricultural development.

The afore-mentioned method, put into practice by the Ministry of Rural Affairs in İzmir, Manisa, Diyarbakır, Uşak, Urfa and Malatya, has not been materialized owing to insufficient public participation, lack of financial resources and prioritization errors. The major criticisms to the method comprise the argumentation that it has not been appropriate for the conditions of the country and neither to the concept of multi-dimensional planning. *(quoted from Geray, 1974; by Keleş, 2000, p.191-192)*

4. The "**Community Development Approach**", based on the principle of combination of local and national efforts, has been successfully implemented in many countries leaded by the United Nations. Since the proposal of this method, Turkey has entered a new stage during which the importance of public participation to the development process has been emphasized and also the necessity for coordination between initiatives of state and of individuals has been underlined.

Although this method has been recognized as the most important reform introduced during the planned development period, it has also been subject to severe criticism. Many authors in the rural development literature have agreed that, voluntary initiatives *(according to Tütengil)* can simply not be sufficient for success without the establishment of fundamental structural regulations *(according to Kıray)*. It has been stated by *Geray* that such an approach might only succeed when used in conjuction with other means and tools for development.

5. Following great problems experienced during the provision of public services for rural settlement units that were continuously increasing in number; a "**Central Village**"[32] approach has been suggested. This approach has aimed the centralization of public services in certain densely populated centers, to provide collective public services and to thus influence local communities and ensure their development. This approach has also considerably

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[32] Central village in Turkish refers to *'Merkez-Köy'.*

contributed to the studies on settlement ranking which have been initiated in the 1970s and concluded in 1980s. According to the settlement ranking system, each of the settlement units is ranked within the hinterland, and its flows of commodity, service, population and communication as well as the relationship types between centers are designated. Since the Central Village approach has been limited to the objective of the provision of service, it may not be considered as a sufficient means of improvement of the human-land relationship, and of issues regarding settlement, production, organization, industrialization etc. *(quoted from Geray, 1974; by Keleş, 2000)*.

6. The "**Köy-Kent**" and "**Agricultural-Town**"[33] approaches, which have been developed and initiated by two political parties (CHP and MHP) especially between the years 1970 and 1980, are two very similar approaches in terms of their content and methodology. The Köy-Kent approach has been intended as a development plan to provide the rural population with an efficient and rational way of living by meeting their social, economic, social and public needs. It has also aimed to open new employment opportunities in rural areas so that the rural population might benefit from agricultural and industrial opportunities provided for them. To ensure the rural development, on the one hand, and to leverage urbanization, on the other, has been defined as a primary goal. Thus, urbanization and industrialization have been presented within the same model.

Similarly, in the **Agricultural-Town** model, clustering of 8-10 villages has been proposed to form a unit. Furthermore, it has been suggested to designate the village situated at the center of the cluster as an agricultural town. It has been planned to improve a development model in which surrounding villages would be connected to the the agricultural town, in turn, would be connected to the nearest city.

During the government period of CHP, in 1978, although two 'köykent' sites have been implemented, they have failed to bring about a long-term outcome. On the other hand, agriculture towns, which the MHP political party has attempted to develop, have remained only at an ideological level.

<p align="center">***</p>

The models mentioned above have only concentrated in certain focal points due to limited resources and opportunities, along with concerns on the possibility to reach the aimed outcomes if the provision of services in rural areas was to be extended to a broader area. In this respect, it has been aimed to accelerate the development process in such focal points.

Keleş (2000) attributes the reason for failure in the above experiences concerning rural development to the view that the village has not been dealt with as a whole, considering its relation with cities, or as an element of social and economic development. According to *Keleş*, the village has been approached with a "fragmentalist" and "romantic" view for a long

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[33] Agricultural Town in Turkish refers to '*Tarım Kent'*.

period throughout the Republic era. Inefficient understanding of the rural structures and single-sided development efforts thus appear as the main reasons of failure in the afore-mentioned experiences.

Another reason for the inadequacy of the above approaches is reportedly the failure to integrate those various approaches with the 'Village Institutes' initiative, along with their failure to ensure countrywide support and thus become widespread.

Village Institutes have been developed with the idea of educating villagers within the villages. The goal of this education policy was to offer new employment opportunities especially to villagers and to establish a system of division of labor. This has also been considered a means of improving the living standards of villagers. *(Bulguç, 1976)*

Institutional structure along with administrative organization constitutes an important part of development efforts in Turkey. As problems associated with the administrative structure have been added to already existing geographical, economic, social and cultural problems, the development of rural areas has become a difficult problem to solve for the country. *(SPO-Special Expert Commission, 2000a, p.15)*

Despite the fact that there exist a considerable amount -in number and variety- of public institutions and organizations serving rural areas and the rural population, the inadequacy of their role definitions and the complexity of their authority has created serious limitations in the solution of problems associated with rural areas. Moreover, inefficient organizational structure in rural activity areas along insufficient participation hinders the rational usage of resources.

The following institutions and agencies have been designated responsibilities in the planning and the provision of services to rural areas in Turkey.

A. Institutions of the Central Administration: The State Planning Organization (SPO), the Ministry of Agriculture and Rural Affairs (MARA), the General Directorate for Rural Affairs (GDRS), the Ministry of Environment and Forestry, the Ministry of National Education (MONE), the Ministry of Health, the Ministry of Culture, the General Directorate for State Water Works, the Ministry of Interior, the Ministry of Industry and Commerce, the Ministry of Public Works and Settlement, the Ministry of Finance, the Ministry of Transportation, the Ministry of Energy and and Natural Resources, Undersecretariat of the Prime Ministry for Foreign Trade and the Turkish Treasury, Undersecretariat for Maritime Affairs, the Souteastern Anatolia Project (GAP) Regional Development Administration, Turkish Standards Institute.

B. Province and District General Administrations.

C. Local Authorities: Municipalities, the Special Provincial Administration and Villages.

D. Other Organizations: Service Unions, Irrigation Unions, Cooperatives, Trade Unions, Chambers of Agriculture, Agricultural Unions and Associations, Foundations, Funds[34] etc.

Rural development constitutes one of the most important headlines of the **Development Plans** prepared with the initiative of the State Planning Organization.

The first planned objectives concerning the creation of a new rural settlement pattern have been designated within the 1st Five-Year Development Plan (1963-1967). In the 1971 and especially the 1972 development programs of the 2nd Five Year Development Plan, detailed indicators have been determined regarding the concept of central village. The 3rd Five Year Development Plan (1973-1977) has also adopted the central village approach. The 5th Five Year Development Plan (1979-83), in turn, has aimed the creation of a new rural settlement pattern based on the Köykent model. *(Project Team of the Back to the Village and Reh. Project, 2002a)*

The 1970's have marked the commencement of important changes in the content of development plans. For example, beginning with the 3rd Development Plan, the spatial dimension of rural problems has been considered alongside the physical, economic and the social dimensions. *(Bulguç, 1976)*

It has been the case that, while certain methods have been suggested and strongly defended in some plans, totally opposite points of view have been suggested in subsequent plans. As an example; community development, comprehensive rural area planning, the central villages approach and Köykent have played an important role during a period of plan, while they were totally excluded from the succeeding plan. Remarkably, enough, instruments suggested for the implementation of totally different approaches have remain unchanged within the different plans; Agricultural modernization, the cooperative creation initiative, agricultural micro-credit policies, are such examples of unchanged instruments. *(Keleş, 2000, p.197-198)*

Starting with the 6th Plan it has been stated that the centre of interest has been shifting from a spatial management system viewpoint to an area management system approach and local governments have started receiving more attention. Area management has been dealt with for the first time within the context of community development for rural areas and based on a district scale. And as the context of plans has shifted from an interest in rural areas towards the urban areas, area management has lost its chance of being implemented. *(SPO-Special Expert Commission, 2000b, p.11)*

An examination of the rural development policies within the context of the afore-mentioned plans, seems to suggest that although the problems and the development objectives have

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[34] The said funds are utilized within various institutions with the aim of supporting efficient forms of organization in rural areas. *(SPO-Special Expert Commission, 2000a, p.15)*

been adequately defined, solutions and policy formulations have usually been repetitive and of purely theoretical nature.

Although the problems and the objectives in the development plans above have been defined in a clear and concise manner, **problems associated with rural areas** and the rural population have not been solved and development services have been carried out with many problems and delays throughout the years due to the following reasons *(SPO-Special Expert Commission, 2000b, p.10-11)*;

- There exist inadequate framework legislation related to the functionality of the state and the rights and responsibilities of individuals.

- In the current situation, usage of the land and of the resources has been formulated in a way that could result in contradictions in the legislation and the regulations.

- There exist deficiencies in the legal and institutional infrastructure to ensure continuous participation of local inhabitants and of the users.

- Inadequacies in budget allocation and limitations in governmental investment have lead to inefficient utilization of resources.

- Civil society and the private sector have not paid enough attention to the priorities of development.

- The watershed planning and functional sub-region definitions, through which planning studies can be conducted for the correct and efficient usage of resources, are inadequate.

- There exist problems with forest areas and agricultural land included in the definition of the rural area. These problems include issues such as property and usage rights, public interest, sustainability etc.

- Studies concerning title deeds, land surveys and cadastral works are still short of being at the required level.

- Public institutions and organizations serving rural areas are inadequate and are faced with conflicts in their domains of authority.

- Lack of organization and of participatory mechanisms as concerns the activity areas of the rural domain has lead to the obstruction of an efficient utilization of resources.

- There have been difficulties in the access to domestic and national markets.

- The conservation of water and land resources and of the human requirements thereof can not be determined in a prioritized manner. The notion of protective usage of water and land resources has yet to be widely adopted. Awareness in the rural population on the conservation of its assets and values is not widespread.

- Agriculture is considered as the sole means for development of the rural area, so that alternative case-specific development methods and strategies can not be determined.

- The provision of social and physical infrastructure can not be conducted in an adequate and qualitative manner.

- Migration from the rural to the urban areas has constituted another crucial problem that necessitates certain policy reforms both in the urban and rural areas. The provision and improvement of the physical and social services and the generation of better economic opportunities to the rural population appear to constitute vital objectives of policy reforms.

Consequently, the rural population has, for a long time, been dealing with problems due to insufficient physical and social infrastructure. As a result of the migration experienced due to employment problems and the low productivity level, rural areas have not been able to contribute positively to the economy.

In the framework of **recent approaches and trends**, it is posssible to assert that planning and implementations aimed at the centralization and agglomoration of rural settlement units and related public services have been accelerated since the 1980s.

The establishment of the Central Villages, whose definitions and indicators have already been assigned from the 1970s and objectives have been stated clearly under the 3rd Five-Year Development Plan, was declared by the decision of the Council of Ministers (Cabinet) back in 1983. A list has also been designated containing the related cities. The list, which has designated 4319 rural settlement units throughout the country, was amended in 1997. The new list has overlapped considerably with the first one, but has also taken into consideration new developments. *(Project Team of the Back to the Village and Reh. Project, 2002a)*

By the end of 1980's and especially since the beginning of the 1990s, village depopulation has occurred in the Southeast and East Anatolian Regions due to severe terrorist activity. This has necessitated the prioritization of the said regions with respect to rural development. In this context, a recent planning effort named "Back to the Village and Rehabilitation Project" has been introduced. The main objective of the project has been not only to ensure the return to the depopulated villages but also to develop models, considering security as the primary concern, aimed at the rehabilitation and sustainability of settlements to where returns are possible. However, due to the urgency of this matter, all recent planning activity on rural settlement has been perceived to be a return to village activity for the afore-mentioned regions. *(Project Team of the Back to the Village and Reh. Project, 2002a)*

Starting from the beginning of the period where planning has been made, various studies made have contributed to regional and rural development and thus planning. Such studies have been based on development indicators and have contributed to the acceleration of the

studies on reforms. One of the studies has been named "Ranking of Settlement Centers"[35], dated 1982 and a recent one has been the NUT's[36] classification jointly utilized by the State Institute of Statistics and the State Planning Organization. Such classifications and rankings have constituted a foundation for many plans having a development context.

It is possible to take advantage of conclusions drawn from various researches while describing factors affecting the context and the priorities of rural development in Turkey. One of these factors is the strong relationship between human development and regional and rural problems. According to the results of a study conducted on this subject, a low level of human development can almost always be associated with rural areas, with reference to indices categorized according to rural and urban regions. The same categorization has led to some other important results in the definition of the problems of rural areas in Turkey; e.g. rural areas in Turkey have shown little evidence on high-level human development, such as the rural areas of the Black Sea, Eastern and Southeastern Anatolia regions. The fact that the rural population is geographically dispersed constitutes an additional challenge for all organization efforts made for the settlement of rural development problems in Turkey. *(Akder and Güvenç, 2000)*

In addition to development plans, there have been recent efforts to generate legal and institutional structures for rural development in the country. Many organizations have been established as examples of recent efforts to generate legal and institutional structures in the area of rural development and poverty reduction such as the 'Social Solidarity Fund', the 'General Directorate of Social Services and Child Protection', the 'General Directorate for the Status and Problems of Women' and the 'Administration for Persons with Disabilities'. *(Tüzün and Sezer, 2002a)*

Certain programs and projects have also been developed. One of the most important has been the 'Southeastern Anatolia Project'[37] (GAP) which is considered as one of the most outstanding developments in the context of regional and rural development in Turkey and the region. The project has comprised various distinct small initiatives with the purpose of not only economic growth, but also regional development, with all of the environmental, social and human dimensions, and sustainable human development. The main objectives of the project have been designated as being;

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[35] The State Planning Organization, (1982), *Türkiye'de Yerleşme Merkezlerinin Kademelenmesi: Ülke, Yerleşme Merkezleri Sistemi,* SPO Publication, KÖYB, 2 Volumes, 1806-KÖYB-27, Ankara.

[36] The European Union - Bureau of Statistics, (EUROSTAT), has developed a specific spatial categorization system, called as NUTs (the Nomenclature of Territorial Units for Statistics) utilized in the analysis and forecasts regarding regional statistics and development. A systematic breakdown is used for each member state to subdivide regions into NUTS 1, NUTS 2 and NUTS 3 level.

[37] *Güney Doğu Anadolu Kalkınma Projesi (GAP).*

> "...to raise the income levels and living standards of people in the region; to eliminate the developmental discrepancy between this region and other regions in the country; to increase productivity and employment opportunities in rural areas; and to attain development targets such as social coherence and economic growth". *(Tüzün and Sezer, 2002a, p.139)*

The ultimate aim of the project is to create an environment in which the people of the region fully realize their potentials and preferences' through four development stages; "1. water resources development program, 2. an integrated project approach, 3. a master plan, 4. sustainable human development". *(the GAP Regional Development Administration, 2001)*

In the process of materializing the concept of sustainable development, the GAP Regional Development Administration has been planning the project in view of a multi-sectoral and integrated approach based on equitable, fair and gender-balanced implementations through the coordination of the efforts of other agencies *(Ünver, 2001)*. The GAP Regional Development Administration has been working in close cooperation with the World Bank, the UNDP, FAO, WHO and ILO as well as with local governments, governorships and civil society institutions.

The project has resulted in several implementations and various types of organizations in the region have been providing social services to the vulnerable groups, especially to the women and other family members. For example, "Multi-Purpose Community Centres"[38], an important and well-known initiative, have been formulated "to contribute to the improvement of the status of women, a gender-balanced development through education, training and socio-cultural interaction" *(the GAP Regional Development Administration, 2001)*.

Although there have been certain positive influences of the project on the region, several adverse effects have also been introduced into the development agenda, because of large scale irrigation, population growth and industrialization.

During the last decades in Turkey, there have been projects/programs[39] other than GAP, although not as extensive, which have benefitted from the various approaches utilized in different parts of the world. The concept of rural development constitutes the primary issue within most of these programs/projects *(SPO-Special Expert Commission, 2000b, p.5)*.

The majority of the afore-mentioned projects has been prepared by public institutions loyal to governments and has been put into practice mostly through loans and rarely through grants provided by organizations active on finance, development, cooperation and humane aid on the basis of bilateral agreements. *(Saltık, 2002)*

In addition to the above programs/projects, there have been other measures and initiatives developed by Governorships, the Social Solidarity Fund and the Special Provincial

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[38] *ÇATOM: Çok Amaçlı Toplum Merkezleri.*

[39] A list of recent rural development projects/programs in Turkey is presented in Appendix H.

Administration, in certain areas bearing specific local characteristics, such as bee-keeping, green house development, livestock breeding, textile weaving etc. *(SPO-Special Expert Commission, 2000b, p.5).*

Despite the fact that the recent rural development initiatives and complementary developments summarized in the below paragraph have continued in various sectors (education, agriculture, social protection etc.), a "comprehensive and integrated rural development strategy" has not been carried out in Turkey as of yet.

> "A major economic reform program was initiated in 1999 with agricultural and rural policy reforms playing a major role. These reforms have the overall objective of increasing economic growth by increasing competitiveness and market forces, and by improving public expenditure management and accountability. Agricultural subsidies are being replaced by non-distortionary direct income support programs to farmers. Farmers are also being given assistance to develop alternative crops and are encouraged to join pension programs. State agricultural enterprises are being privatized and agricultural cooperatives restructured to provide better assistance to marketing and to genuinely represent farmers' interests." *(WB, 2002a, p.4)*

Another important factor, which has acted as an accelerator to the reforms and is closely related with rural development mentioned in the above paragraph, has been the EU candidacy process. Within this process, the preparation, adoption and harmonization of the rural development legislation have been important prerequisites according to the *Acquis* of the EU and the National Program priorities.

Meanwhile, there has been an important shift in the formulation of the Common Agriculture Policy and the regional development strategies in the EU, a fact that has signified an extension of the former policy towards the "Common Agriculture and Regional Development Policy". Therefore, the EU Commission has supported the newly Member States and candidate countries in the area of regional and rural development to construct a concrete and sound base for the economic and social welfare. *(Rural Development Committte, 2002)*

According to current parameters and indicators in the EU, the majority of regions in Turkey is faced with the regional development problem. It is thus expected that Turkey should overcome the problem of regional disparity and inequality and show a rapid development process in all regions through common policies on agriculture, transportation etc. in order to contribute to the socio-economic integration process of Europe. *(Akder and Güvenç, 2000)*

On the other hand, in the Accession Partnership Document, the completion of the harmonization of the national legislation on rural development has been considered a mid-term priority. Environmental, structural and rural development measures have been considered as the short term priorities, instead. In the National Program, the issue has been examined under the subject of rural development policies and an explanation of the activities conducted in Turkey along with problems addressed. As it has been stated in the Accession Partnership Document, Turkey has been expected to solve all these problems. The objectives stated in the National Program can, on the other hand, be described as follows; to

identify the principles of a roughly designated rural development policy, to design integrated rural development projects, and to implement such projects in the medium run. *(Rural Development Committte, 2002)*

The following issues related with rural development, stated within the National Program bear special importance. It appears necessary to designate a rural development policy which would function in parallel to the rural development policy of the EU. To this end, the concept of rural development should be taken into account in a manner which would comply with the corresponding structures in the EU. The fact that rural areas are not only agricultural areas which shelter agricultural population, but also an economic integrity which shelters social, economic, cultural and natural resources should be acknowledged. Thus, the fact that a policy aimed at agriculture and agricultural infrastructure only can not be sufficient in rural development and can not solve problems in rural areas, is considered a crucial issue in the EU. For that reason, the contemporary rural development policy of the EU aims at the alleviation of the disparities between developed and underdeveloped regions to ensure free movement in a political integrity. *(Rural Development Committte, 2002)*

In addition to the afore-mentioned, another important issue which has been brought about in Turkey in view of the EU accession period has been the new interest and need to re-formulate rural poverty and to re-examine the interactions between agriculture and environment with reference to the basic parameters and indicators in the specific areas of; "1. the structure of agriculture, capital use, enterprise size and land sub-divisions; 2. applied agricultural technologies and use of inputs; 3. forestry and 4. fishing". *(Tüzün and Sezer, 2002a, p.134)*

In fact, as mentioned in previous paragraphs, according to development indicators[40], there still exist serious regional differences and gender-based inequalities in Turkey.

These differences and inequalities have become even more strategic in matters related to rural development in view of the acceleration of the EU accession process. In other words, from this point forward, policy formulations and practical implications of rural development shall have to be redefined taking into consideration the priorities stated within the National Program, in addition to the fundamental objectives and the above mentioned parameters.

V.2.2. Analysis of the Rural Development Policies and Practices with reference to the Governance Debate

Evaluated from a developmental policy perspective, the past 30 years have brought about both positive and negative arguments. When considered as a whole, the efforts for

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[40] Human Development Index, The Gender-Related Development Index and Gender Empowerment Measures of the year 2000 *(quoted from UNDP, 2001; by Tüzün and Sezer, 2002a, p.132).*

addressing rural area and rural population problems and implementing a socio-economically sound and sustainable development strategy, the past decades can be described as having demonstrated an inadequate performance. It can thus be argued that the practices of the public sector with regard to both rural development and poverty reduction measures have not been sufficient to fulfill the demands of the rural population at large. Most of the policy formulations often seem to be short term and fragmentalist solutions and do not refer to any strategic planning and are only partially based on socio-economic need assessment. Most of the rural development objectives and plans have not been realized mainly because of insufficient collaboration and partnership among the public and private sectors and the civil society.

As already mentioned, the failure in achieving organization and a participatory structure in the rural area activity domain has constrained the rational usage of resources. In the past periods, the inhabitants used to utilize the *imece*[41] custom as one of the main forms of working together. Recently, in some parts of the rural areas, people have developed other ways of organization for community work; however, the '*imece*' practice, in some other rural areas, has diminished to nearly the level of extinction.

Furthermore, public institutions and organizations which have been designated to serve rural areas are insufficient in terms of institutional capacity and in conflict of authority. The central, bureaucratic and interventionist nature of the public administration; insufficient and inefficient participation of the target groups; non-prioritizing, elitist and technist approaches; expectation for continuous state intervention, and a low level of local ownership make it difficult to reach anticipated aims and goals and also tend to provoke failure.

In addition to the above central bureaucratic obstacles, *Saltık (2002)* defines another reason for failure "the exclusion of the project target groups", as the subjects of development, from the implementation processes and the planning decisions of professional chambers and civil society institutions'. It can be said that the lack of a sound and stable national policy and strategy which takes into account the human element, democratic participation, capacity building and transparency in administration seem to be the most important sources of problems rather than the inadequacy of financial resources.

Under these circumstances, from a **positive perspective**, it can be stated that Turkey has entered into a rapid phase during which many regional or local development actions based on financial and technical cooperation at international and supranational have been planned and put into practice. In parallel to recent trends in the world, mention can be made of development efforts in Turkey based on technical assistance and financial cooperation on a project basis.

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[41] *Imece*, in Turkish means collective action - working together in villages to jointly accomplish a task.

As a matter of fact, issues brought into the development agenda in parallel with the increasing level of cooperation at the international/supranational level and the EU accession period; demonstrate that Turkey has been undergoing an important intellectual transformation at the rural development domain. Indicators and parameters concerning rural development will not only serve to achieve the targetted results, but at the same time, other issues such as organizational and institutional infrastructure, participation, sustainability etc., which refer to principles of governance, have also entered the agenda with a high priority.

Rural development policies, strategies, plans, programs or projects, developed in Turkey, evaluated under this perspective may lead to the following conclusions. Rural and social development, important policy instruments, have always seemed to be significant in the poverty reduction strategies as stressed by most Turkish governments. The common point of all approaches has been that the majority of the investment has been based largely on public intervention and provision. Actually, although not referred to within the **governance nomenclature**, certain basic implementation principles in recent practices remind of governance and its philosophy at different levels, such as, for example participation and partnership. However, the necessary environment to implement the mechanisms of governance in the field of public administration has yet to be provided. On the other hand, a gradual increase in the support of the civil society especially for rural development as well as the approach of the private sector towards development issues from different perspectives indicate that previous proposals and measures present a **certain potential to lay the ground for governance**.

In fact, it can be observed that the main problem in the planning of rural areas is being experienced in the organizational and institutional framework rather than in the economic. This, in turn, indicates that there exist the need for a new approach and mentality in rural development. Old methods and thought patterns appear to fall short of providing solutions to problems.

The structural transformation and reforms in Turkey mentioned in the previous chapters appear to have resulted in a new perspective that addresses two important concepts of **sustainability** and **governance** to the rural development priorities of Turkey. All these circumstances have necessitated the strategically important approach of sustainable rural development to be carried out with reference to the social and economic objectives as well as the new forms of governance mechanisms and principles. New approaches also emphasize the importance of the efficient division of labor between the public and private sectors and civil society in order to ensure good governance for a sustained economic growth and social development.

The results of a research[42] conducted in Turkey seem to support this argument. The research indirectly refers to the importance of the **relation that can be set between rural development and governance**. It can thus be asserted that hereafter; the importance of social issues along with economic dimensions in development matters has been comprehended Furthermore, that achievements on policy development and its implementation may not be attained without the set-up of socio-cultural relations and acquisition of local support. Such a necessity, as mentioned several times in the theoretical sections of this thesis, has acquired a more profound legitimacy in Turkey thanks to concrete reasoning and research results. Steps taken towards democracy, public restructuring and reforms in recent years have demonstrated that the necessary environment can be created in Turkey for gradually materializing certain principles and mechanisms, even if they are not considered under the governance term.

According to the results of the same research, it can be said that in recent urban and rural studies, a new social development perspective has surfaced that emphasizes the cultural and governing dimensions rather than the socio-economic development axis *(Akşit, 2003)*. The increasing association of the social and governing dimensions with settlement problems seems to be presenting new horizons to the governance debate in Turkey.

In view of the above discussions and in this thesis, the problematic of whether governance - using the Köykent initiative- can be utilized as an instrument in new approaches to be potentially implemented and the potential of integrating governance principles into the process shall be analysed and laid out. In other words, the evaluation of the issues discussed within this section over empirical results and in a more solid manner shall be conducted using the Köykent initiative in the succeeding sections.

Within this perspective, the Köykent initiative may be considered as an example of the use of the governance instrument in the area of rural development that may contribute to the understanding of the changing roles of the public and private sectors as well as the civil society. Therefore, in the next chapter, after a general overview of the initiative, the reflections of the governance approach to the rural development practice in Turkey shall be analysed.

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[42] According to the results of a research conducted by the Turkish Academy of Sciences (TÜBA), with the support of the United Nations Population Fund (UNFPA), (based on research and publications between the years 1980-2002) five issues have been identified as the basic dimensions of social development. These are: 1. economic/technological infrastructure, 2. social politics and infrastructure, 3. social participation and public education, 4. cultural identity, 5. the formation civil society, 6. social-psychologic behaviour, woman and family/household patterns. *(Akşit, 2003, p.21)*

V.3. General Overview of the Köykent Policy Initiatives and Practices

The name of the experience/practice, 'Köykent', is a compound word in Turkish which means 'village-township'. The main incentive behind the term is to plan and implement a new unit of settlement which has combined both urban and rural features.

In the following sections of this thesis the Köykent iniative shall be examined with an objective viewpoint. After a layout of the chronological background of the Köykent approach, the process covering the 30 years following its conception and its revival shall be explained. Thus **the evolutionary background** of the Köykent concept, charted in the following diagram, shall be put forth. A general overview of the process, background information, past initiatives, a comparative evaluation with other programs/projects, the vision, the components, the main philosophy, the institutional and social aspects, and finally the recent implementations and implications of the initiative shall be, thus, successively explained.
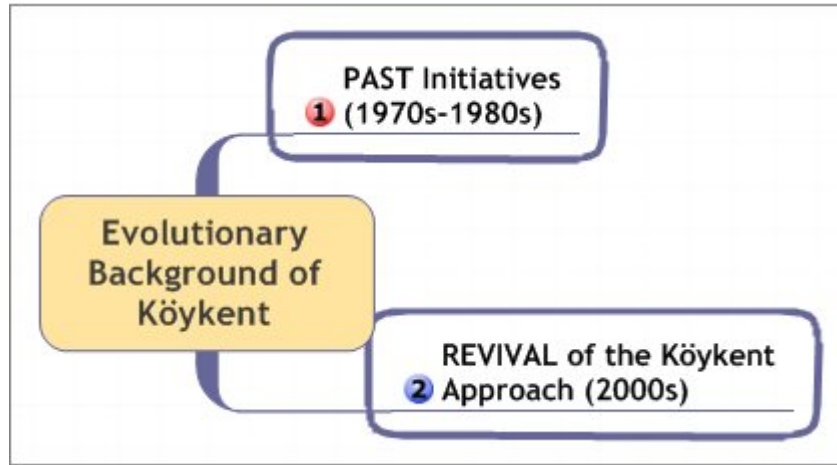
Diagram 41: The Evolutionary Background of Köykent

V.3.1. Past Initiatives

The first reference to the Köykent concept has been made in the electoral declaration of the 'Change of Order Program' of the CHP political party in 1969. Following the publication of the idea, the central village concept has been put forth by the State Planning Organization in the Third Development Plan, with the aim of service provisioning to rural areas. In the 1973 electoral declaration of CHP (named '*Akgünlere*') an attempt has been made to treat Köykent in a broader sense and as an alternative approach to the central village concept, in

an expression of the "community sector"[43] and within the settlement pattern of the rural areas. Within this declaration mention has also been made to a more balanced and equitable development process that would build on the Köykent idea. *(Bulguç, 1976)*

According to *Tütengil*, the idea of central villages aiming at a broader distribution of the service provisioning to the rural areas has also incubated the inception of the Köykent concept which, in turn, supports the goal of decelerating migration targetting urban areas. *(Keleş, 2000, p.196)*

The difference of Köykent from 'central village's lies, aside from simple economic targets, in that they also involve the approach of social transformation and development enriched with social context. This difference has been explained in the CHP party program as follows;

> "...In this manner, the Turkish villager shall be enabled to become urban without needing to migrate, shall be able to industrialize without needing to separate from native land and shall be able to reap all the enriching benefits of civilization and of urban culture." *(quoted from the CHP Party Program, 1976; by Çalışkan, 2002)*

In the coalition government program of the CHP-MSP rule in 1974 the above ideas have been supported and their implementation has been assigned to the Ministry of Rural Affairs as quoted below;

> "…The Köykent approach shall be established around our villages, within a democratic perspective, aiming at the opening of new job and profit opportunities, the provision of the benefits of modern civilization in the form of sufficient education facilities along with health care and other public services, and the prevention of the concentration of the population into the large metropolitan areas." *(quoted from the CHP-MSP Coalition Government Program, 1974; by Bulguç, 1976)*

It appears possible to accept that the Köykent initiative has been commenced under the personal auspices of former Prime Minister **Mr. Bülent Ecevit** whose support of the initiative had also continued during the later periods between the 1970s and 1980s. He has been considered as the father of the Köykent concept and its successive implementations. Mr.Ecevit discussion of the Köykent idea and his party's vision on the project has been published in the popular journal *"Özgür İnsan"*, as follows;

> "It has been noted that the Köykent experiment ought to be commenced at areas with a high readiness level and a potential to yield immediate and successful results, and where the state is able and determined to contribute and lead at a much greater extent." *(Bulguç, 1976, p.89)*

As a matter of fact, what has been stated as the main goal of the initiative namely "the integration and leveraging of the rural and urban life styles, the broadening of

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[43] *Halk sektörü.*

industrialization into the rural areas the urbanization of the village and thus put urbanization into a healthier state", is of a considerably old origin. *(Keleş, 2000, p.196)*

The IV. Five-Year Development Plan defines Köykent as effective development and service center rather than being new settlement center. In addition, it defines the potential relations with land reform, the development of production cooperatives and with rural industrialization. *(Project Team of the Back to the Village and Reh. Project, 2002a)*

Similar models of rural development other than Köykent have also been implemented in other countries as well. For example, in Yugoslavia and the People's Republic of China the experiment has been implemented as "communes". In Israel, agriculture and industry have been blended and implemented as a new settlement form that merges the village and the city. The concept for these settlements, commonly known as "Moshav" and "Kibbutz", has been generically named "agr-indus" by *H. Halpern* and translated into Turkish as "tar-san" by *O.N. Koçtürk. (Keleş, 2000, p.196)*

As a matter of fact, the concept and vision of the past Köykent initiatives, presented in diagram 42, has often been confused with other Governmental approaches, mentioned in the previous chapter. The properties that distinguish the Köykent initiative from others may be summarized as follows:

- From its emergence and on it has been presented as a **development model**, for the reason that its social context has been much stronger than its economic context.

- The initiative has depended on community support. In other words, the initiative has dealt with the issues of migration, industry and development and their relation to the rural area in a bottom-to-top approach. That is, investment has been planned to be realized by the state but with community support.

- It has dealt with the urbanization and the industrialization processes in an integrated manner and has supported the realization of practices and investments at the base level. *(Bulguç, 1976)*

- It also involves indicators related to spatial planning, a notion excluded from other approaches. It has specifically suggested the utilization of elements of spatial organization *(Bulguç, 1976)*. Moreover, it has been treated as a "spatial organizaton instrument" to enhance local participation in rural areas *(quoted from Ölçen, 1974; by Bulguç, 1976)*.
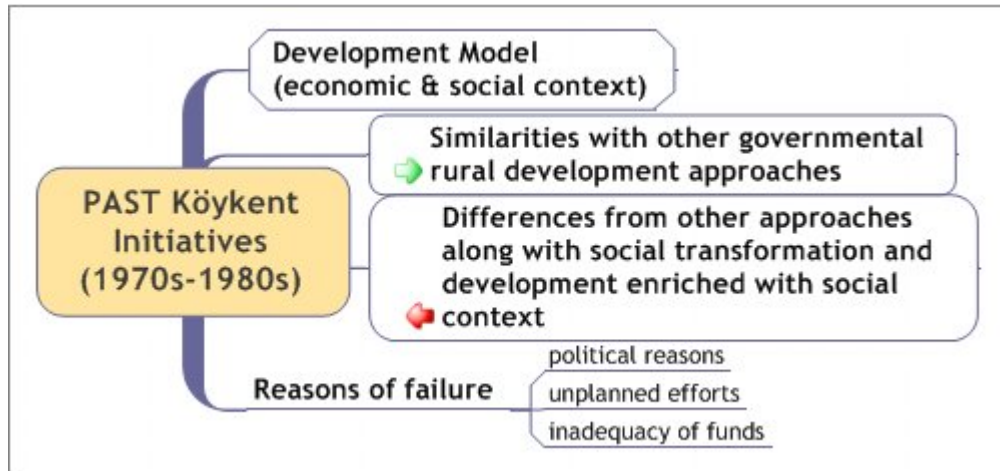
Diagram 42: Past Köykent Initiatives

The **objectives**[44] of the Köykent initiative during the time period between the 1970s and the 1980s can be described as follows:

- to satisfy all the needs of the rural population with lower investments,

- to reduce unemployment in the rural area, with a special focus on the unemployed populated in the agricultural sector,

- to restrict population displacement and to thus solve the employment issue at the local level,

- to conduct economic as well as physical planning at the rural level,

- to restrict the population influx towards large cities and to thus achieve a balanced and planned urbanization process,

- to balance and normalize regional differences at a national level,

- to group smaller villages around specific, central settlements in order to produce and provide more efficient public services,

- to achieve economies of scale,

- to effectively utilize natural resources by developing industrialization opportunities at rural areas,

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[44] Those objectives are compiled from various government publications, party speeches and rural development sources regarding the past initiatives of Köykent presented in the reference list.

- to attract labour-intensive investment into the rural area by increasing employment opportunities,

- to reduce transportation costs by transporting products instead of raw material.

Despite the above objectives, the wide-spread of Köykent has not been achieved save for certain limited-breadth implementations, for the reason that the functions that would enable the transformation of the economic, social, administrative, and organizational processes along with the treatment of the issue of settlement have not been materialized. The contextual and methodological merit of the initiative from a rural development perspective has thus been always debated.

The **reasons of failure** and the **points open to criticism** of the past Köykent initiatives may be summarized as follows *(Keleş, 2000, p.197)*;

- Political instability has obstructed the implementation of the method.

- It has been argued that this approach has conflicted with the priorities of the national development plan, allegedly because the effort for the continuation of the agricultural model implies the deceleration of the urbanization process. For the above reason, it has been argued that slowing down the urbanization process by sustaining the village population within the rural area conflicts with the industrialization objective.

- The relation that the initiative has established between urbanization and industrialization has lead to the misconception that the heavy industry would shift towards the rural area.

- It has been argued that the vision of Köykent has not been considered within the totality of the national settlement regime.

- The suggested spatial organization elements and the proposed rural settlement order have been decided before having been debated within the perspective of the related disciplines. *(Bulguç, 1976)*

Despite all the afore-mentioned criticism the implementation of Köykent, one of the most strategic approaches in Turkey, has been attempted at various times by different governments. The approach has also been developed, adopted and supported by other political parties, in very similar contexts. Activities of other experiences have also been planned in quite a similar manner to the Köykent concept.

The Köykent initiative has been attempted during the 1970s and 1980s in two regions; in **Bolu-Taşkeşti** –within the responsibility area of the Ministry of Forestry- and in **Van-Özalp** – within the responsibility area of the Ministry of Rural Affairs. The works had commenced with no substantial planning or theoretical infrastructure. Implementation was thus inevitably unsuccessfull and works were eventually interrupted upon government change. The

disparate and unintegrated efforts of the two Ministries were considered the primary reason of failure.

The Van-Özalp example has been criticised on the lack of local participation and on the total dependence on state initiative as well on the state being too much ahead of the local actors. The implementation was interrupted amidst the process due to misconception on the political side and government change. In the Bolu-Taşkesti example, on the other hand, basic infrastructure and social services, various cooperative organizational initiatives along with various industrial establishments have been identified as successful income generation implementations. Even though the project has been eventually abandoned, Taşkesti, formerly a mere rural marketplace, has transformed into a sub-district[45]. *(Ekşi, 2002)*

In short, implementation in two areas; Bolu-Taşkesti and Van-Özalp were not able to complete mainly due to political reasons, unplanned efforts and inadequacy of funds.

During previous periods, the concept, the vision, the components and the selected sites of the Köykent initiative have been extensively discussed while public perception and expectations have varied. Various actors from the public and the private sector, civil society, politicians, academicians and mass media have approached and supported the Köykent initiative; on the other hand several oppositions and criticisms have been exerted, expressing different perspectives. Especially the propositions of Köykent to the rural development agenda and its implications to rural poverty in Turkey have been significantly discussed. It so appears that the debate shall continue for a long time to come.

V.3.2. Revival of the Köykent Approach

It may be argued that the Köykent initiative, already debated from different perspectives, bears a justifiably important place in the rural development literature of the country. Especially during Turkey's EU candidacy period, discussed in detail in the 'Contextual Focus to Governance in Turkey' chapter of the thesis, new concerns and debates have surfaced. The 1990s have especially marked a rise in civil society activism which includes harmonization efforts for national program priorities along with public reforms and implementations in various sectors, including rural development. Under the spotlight of this new agenda the Köykent initiative has inevitably re-surfaced.

The following issues have constitute the main incentives and underlying reasons of an increasing need for a new approach in rural development in Turkey, charted in the following

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[45] Sub-district refers to '*belde*' in Turkish.

diagram, in the turn of the 1990s. These incentives and underlying reasons together have necessitated the call for the revival of Köykent as a new concept and vision;

- Population and migration problems in the rural areas; Turkey's rural population, at the beginning of 2000s, has summed to approximately 25 million which constitutes 39 % of the total population *(WB, 2002b)*. Rural-to-urban migration results in both population decline and poor and unfair socio-economic opportunities.

- Differentiation in the development level among regions.

- Difficulties in the provision and sustainability of public services to approximately 33000 villages in the country (Inadequate provision of and access to physical and social infrastructural services).

- Deficiency in the existing legal framework and the institutional structure.

- The changing need structure and the context of socio-economic development strategies and government policies in Turkey related with the approximation and harmonization process of the EU legislation and the ongoing Government reforms in certain sectors, such as rural development, environment, agriculture, forestry, education and health. (The upgrade of the quality of life in rural areas has been intended to accompany the benefits of the ongoing socio-economic and financial reform programs).
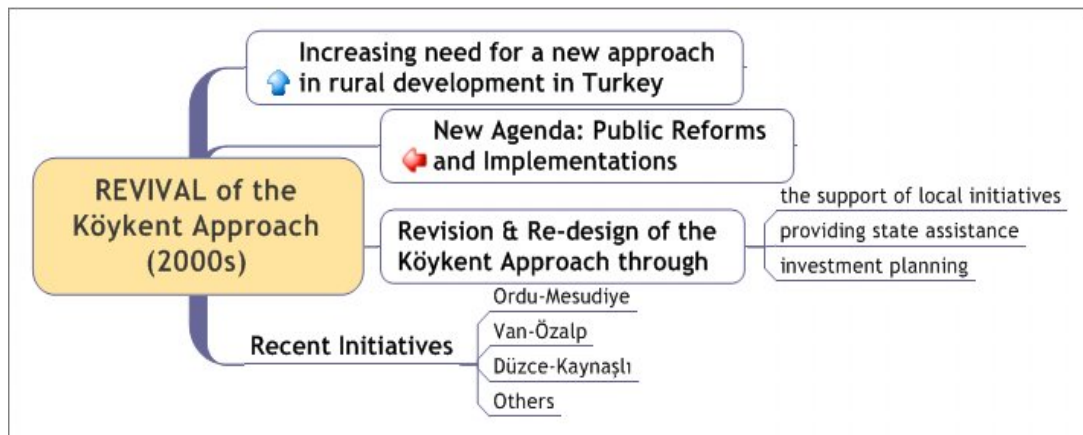
Diagram 43: Revival of the Köykent Approach

By the end of the 1990's, the concept and vision of the Köykent initiatives have been planned to be reformulated and regenerated in order to test and to implement new ways of rural development approaches through the support of local initiatives and providing State assistance and investment planning at the same time.

The Köykent approach has been discussed within a different framework during the late 1990s than in the framework of the 1970s. Accordingly, solution rationales have been sought after for village groups having a certain spatial integrity. The constitution of and focus on certain selected public services in specific areas has been thus advocated in the new implementation model. The aim has thus been the foundation of a rural development model in which the issues of the re-integration of segregated villages from a public-service-utilization perspective and the strenghtening of their social/economic ties with higher-level settlement units have been debated. The above debates have taken place during the 1990s and have basically concentrated on the idea that the Köykent model is expected to constitute the preparatory action of a qualitative transformation that includes the differentiation of the production pattern and the development of the rural economy, depending on the development of a workload distribution model among the villages. *(Project Team of the Back to the Village and Reh. Project, 2002a)*

While the implementation of the said Köykent initaitives were outside the southeastern Anatolia region, the technical cooperation of the GAP Regional Development Administration has also been requested during the implementation phase. The GAP Administration has thus conducted research regarding the existing agro-economic structure and the potential of the selected regions along with a layout of the foundations of the integrated rural development programs to be suggested, and has generated feasibility reports.

Initiatives during this period have been designed in a considerably different manner than previous formulations. Actually, the distinctive feature of Köykent compared with the 'Center Village' and 'Back to Village and Rehabilitation' programs has been designated as follows;

> "…services and facilities are distributed among member villages (not concentrated in one central village) on an equitable, logical basis, creating what amounts to an - organic functional whole-." *(Lemel, 2002, p.1)*

The Prime Minister at that time, Bülent Ecevit and the Democratic Left Party had taken a lead role and had decided to introduce the Köykent initiative into the rural development agenda of Turkey. The Prime Ministry had taken a special interest in the first planning / programming phase of the initiative as well as a key coordination role by supporting the various public institutions and agencies.

The initial intent had been to implement the Köykent iniative at several sites selected as 'pilot project areas'. In addition to the aforementioned examples, **Ordu-Mesudiye** is considered as another Köykent iniative which has commenced in the year 2000.

V.3.2.1. Mesudiye Köykent Project

The first completed pilot project was the one initiated in Mesudiye district of Ordu, on September 2000, and most of the planned activities were carried out through state

assistance and national sources and completed within approximately one year. Significant progress had been materialised in terms of the rural development objectives, including both provision and improvement of public services and income generation activities with the support of the community.

Site Selection

Mesudiye was selected mainly because of the high level of local initiative and participation along with a remarkable organizational level whose details have been discussed in the evaluation chapter following, under the analysis of the institutional structure of the Köykent Program.

Local initiative in Mesudiye was evidently achieved thanks to urban emigrants to the area along with groups of individuals originating from Mesudiye. Their efforts have been formed around highly active organizations and associations in large cities around the country *(Lemel, 2002)*.

Another reason for the drive to implement Köykent activities in Mesudiye seems to have been the inadequacy level of the infrastructures and the fact that the district was suffering extreme de-population since the mid-1960s. The district's development indicator was another factor; Mesudiye district ranks 632th among 858 districts in Turkey as regards development indicators (according to the SPO data in 1996).

With the emergence of the Köykent project in Mesudiye, several local participatory activities have been realized regarding the feasibility of implementing the project on a district-wide scale. The district directorates of the line ministries, academics, village *muhtars* and councils of elders[46] have taken part as key stakeholders in these activities.

Related stakeholders had thus taken a decision, throughout various lobbying activities to apply the Köykent approach to Mesudiye, in order to reverse the negative conditions mentioned above and to support the area as a whole with a development plan prepared through a local initiative, in 2000. Those activities have been based on a strong local organization, recent public discourse and community meetings of a broadly outlined development plan. *(Lemel, 2002)*

As a result of the afore-mentioned lobbying activity, contacts with the senior bureacracy and various other channels of communication initiated by individuals originating from Mesudiye, the district has been evaluated as being a very suitable place to adapt and measure the Köykent approach and to demonstrate the feasibility and benefits of integrated service

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[46] *Muhtars* (elected village headpersons) and Councils of Elders (elder refers to villagers experienced rather than of age) have been designated to be responsible for governing the villages in Turkey and to exercise jurisdiction.

delivery to a cluster of villages. High level of local initiative, a remarkable level of organization, the district's poor infrastructure and development indicators and undergoing extreme de-population have constituted the other site selection criteria as well. The attempts that have started as local inititatives in Mesudiye have gained nation-wide popularity and have also drawn the attention of the government at that time. Thus the first project commenced during the revival period has been at the Mesudiye pilot site.

It has been furthermore expected that it can be applicable to other parts of the country through the utilization of clear and concrete outcomes at lower costs and thorugh the integration of the concept of sustainability into the vision of the project *(WB, 2002g)*.

Mesudiye District

Mesudiye district, shown in Appendix I, lies in the southern-mountainous region of the Ordu province along the banks of the Melet river and the road connecting the province to Anatolia. The altitute of the district is 950 meters, its distance to the center of the province 120 kilometers, and spans 18% of the Ordu province with its 1280 km^2 land area. This area comprises 30% forest, 24% agriculture, 25% grazing-pasture and 10% gardening land. *(Mesudiye Development Foundation, 2003)*

The district comprises a total of 57 villages. The total population of the district numbers 29,437 according to the 1997 census. 79.4% of the population lives in villages. The population demonstrates a dynamic nature as it fluctuates at a considerable extent in number, due to seasonal influx of Mesudiye natives from both around the country and abroad. The main income generation activity in the district villages is livestock production, agricultural production and forestry. Income levels are low due to poor agricultural productivity, limited resources and shortcomings in industrial conditions. *(Mesudiye Development Foundation, 2003)*

Köykent Villages

During the local debates on the applicability of the Köykent project, several other areas and group centers have also been taken into consideration. As a result, a pilot project area comprising the Çavdar centre village and a clustering area of 9 surrounding villages, presented in Appendix J, was designated. The designated villages were Çavdar, Dayılı, Türkköyü, Esatlı, Kışlacık, Ilışar, Yuvalı, Göçbeyi and Çardaklı.

For this process, the stakeholders involved have indicated that they have utilized a research conducted by the SPO named "central villages" and certain demographic data. Within this framework, the following factors have been stated as the reasons for the selection of Çavdar and the surrounding villages as a Köykent implementation site. i). All villages are within the same watershed and posess the necessary physical conditions for the formation of clusters. ii). Despite the density of the population, income levels are low in the villages. iii). The

villages are open to participation and organized cooperative activities and social solidarity is strong. *(Mesudiye Development Foundation, 2003)*

It has been estimated that a total of 9 villages and 338 households from the project site have taken benefit from the Köykent investments. *(Lemel, 2002)*

<u>Existing Infrastructural Characteristics</u>

The primary physical infrastructure problems, expressed by the local inhabitants and the local institutions, in the villages surrounding the Mesudiye Köykent site were roads, sewerage, communication and housing problems. Both the roads connecting the villages to the district and the roads connecting the district to surrounding provinces were inadequate. Electricity was already installed in all villages, whereas water and sewerage problems were evident with impacts on human health and the environment. In addition, due to transportation problems, economic and cultural relationships with other regions were being severely impaired. Several problems also existed in terms of education. Although all clustering villages had primary school buildings, the decrease in the child population had resulted in the closure of primary schools in most villages, and the remaining children attending the Regional Boarding Primary School (*YIBO*)[47] in Mesudiye. Another factor for immigration from the region has been the poor quality of education. The totality of the inhabitants has also regarded the inadequacy of the health services as a primary issue of concern for the district and the surrounding villages.

Yuvalı village has constituted an area of special concern for Mesudiye, when contrasted to all the other Mesudiye villages, with an especially problematic infrastructure and severely dire socio-economic conditions.

<u>Socio-Economic Structure</u>

90 per cent of the existing land consists of dry agricultural land with low productivity. The totality of the group villages are mountain villages, and approximately 40% of the land structure forms forest areas. It is possible to classify the land structure as forest, grazing-pasture, gardening and unused land with respect to magnitude. The economy of the group villages depends on agriculture. Livestock and agricultural production, forestry, bee keeping constitute important sub-sectors. Road and transportation problems, loss of human capital due to immigration and infertility have caused agricultural investment to decrease. In most villages agricultural production has barely sufficed to cover the needs of the families. Fruit production has accelerated during the recent years. The rich grazing land in the territory presents excellent opportunities for livestock production. Culture fishery is another potential field that has yet to be effectively utilized in this region. *(Mesudiye Governorship, 2001)*

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[47] *YIBO* refers to '*Yatılı İlköğretim Bölge Okulu*'.

<u>Organizational Structure and Participation</u>

As *Üstündağ (2000)* has stated, the most important organizational issue in Mesudiye is the density and variety of organizational structures. However, the need of the local inhabitants in terms of organization has been primarily fulfilled by the local administration and Mesudiye immigrants. As a proof to the inadequacy of the local dynamics and according to the findings of a research conducted in Mesudiye (including the Köykent villages) by the Turkey Development Foundation in 2000, although the level of solidarity between women has developed at the villages, that of men has significantly decreased. At the villages where research was conducted, the 'imece' practice has diminished to nearly the level of extinction. The reason for this has apparently been the decrease in work force due to immigration.

Eventually, however, both the local inhabitants of Mesudiye and immigrants living in large cities and other settlements have formed organizations for various forms of solidarity. Thanks to various participatory mechanisms of personal or organized form, and especially through Assemblies, it has been possible to define the problems of the district and devise solutions for those problems.

Despite all the shortcomings, the idea of commencing a Köykent project in Mesudiye has been an outcome of the participatory activities conducted under the leadership of the district administration and of the natives living outside Mesudiye. For example, a Project Implementation Board was formed under the direction of the District Governor, comprising 9 village *muhtars* and the president of the Köykent Agricultural Development Cooperative.

During the project design and implementation phases, 12 public institutions and related agencies were included. All inputs related with the project design were assembled from the district level, especially from the Governorship, the local directorates of the public institutions and the Mesudiye Development Assembly. Previous research conducted in alternative Köykent sites in Mesudiye has provided the socio-economic framework of the Project design during the revival period.

Although nearly all *muhtars* participated very actively within the process, according to the various stakeholders' comments, a limited group of people involved and particularly women and other vulnerable groups were not able to demonstrate an active participation. Increased interest and participation achieved in the initial phases of the project was not possible to attain at later stages.

<u>Implementation</u>

A **cluster of nine villages** was designated to take advantage of the concept of economies of scale through the provision of public services. The main argument has thus been stated as being;

> "to assess whether sustainable services could be provided more effectively to the rural population if a cluster of villages were treated as a single entity" *(WB, 2002g).*

The pilot project **aim**ed to improve the quality of life and the level of income-generation capacity within the community through various sustainable development opportunities together with physical and social infrastructural services. The Mesudiye Project aimed at efficient and better access along with better quality of services to be attained through three stages; 1. basic physical infrastructure, 2. social infrastructure and facilities (education, health and cultural services), 3. rural and economic development as well as income generation activities.

Most of the physical infrastructure and the socio-cultural facilities have been developed and/or improved (such as the upgrading of existing roads and the construction of new roads between villages, all connecting to the central village (Çavdar), which has accounted for about the 70% of the total cost, installation of water and sanitation networks, electricity, telecommunication facilities repair and maintainance of power distribution networks, establishment of a primary education facility and various youth and sport activities, organization of the transportation system for students from other villages in the cluster, upgrading the health center etc.). *(WB, 2002b)*

Income-generating activities and job opportunities within the above context have been upgraded to improve economic growth. Such activities have comprised afforestation and erosion control, grazing organization, land rehabilitation, improvement of agricultural productivity, construction of irrigation facilities, provision of new methods on crop diversification and fertilizer use, the commencing of experimental fruit plantations, an animal breeding project, a livestock distribution program, the support of development cooperatives and a forest and wood products processing facility and the construction of certain public buildings and facilities etc. *(WB, 2002b)*

Project Budget

All acitivities and facilities in the Mesudiye Köykent Project were implemented in a planned manner by sources of different origin. Total cost of implementation was US $ 9.7 million (US $ 6.28 million from line agencies, US $ 3.24 million from the Emergency Fund and US $ 0.18 from the Social Solidarity Fund). However, certain programs were voluntarily supported by very active and organized NGOs, engaged in opportunities for economic growth in Mesudiye. *(WB, 2002b)*

Project Results

New and improved social and physical infrastructures have, as a result, generated a certain economic and demographic impact on the region, but have also produced benefits and positive externalities, exemplified below *(Lemel, 2002 and WB, 2002b)*;

- changes in the population and the demographic structure (increase in the population and an increasing number of full-time resident households due to migration from urban areas and the return of a large number of retirees); a remarkable increase in permanently village-resident households based on the information gathered from the *muhtars (Lemel, 2002, p.35)*.

- evidence of increased land values, the building of new housing, the generation and encouragement of new private investment.

- increased income generation opportunities available (as mentioned in the components); good opportunities for expansion of livestock activities, level of available irrigated cropland, and improved educational facilities appear to be the main factors for the decision to return to the village; the economic crisis in 2001 and related high rates of unemployment are the other seemingly underlying reasons behind the demographic changes of the villages in Mesudiye.

- changes in transportation time and in costs.

- changes and gender-specific benefits for women, such as easing the work load of women through the provision of basic infrastructure.

After the implementation of the project, most of the villages in Ordu-Mesudiye Köykent pilot project site, with only a couple of exceptions, have been reported to have improved their basic infrastructure and better public services. However, from a beneficiary satisfaction perspective, with respect to the above outcomes, it seems possible to state that local inhabitants and beneficiaries have expressed significant concern and interest about the quality and the pace of the works. Reportedly, some of the works have not been finished as of the time of writing of the thesis. For example, wastewater disposal pipes were reported broken and were not repaired in certain villages; some parts of roads were never completed or improved, or have been constructed with a low quality. The forest- and wood products processing facility and certain income generating activities have also yielded a high degree of disappointment among the beneficiaries. *(WB, 2002d)*

Despite the incompleteness of activities and the disappointments generated by the Project, the **outcomes** and **the process** of the Mesudiye project have been considered to be impressive as regards the high level of 'local participation' and the 'project ownership' notion of the community.

V.3.2.2. Revision and Re-design of the Köykent Approach

After the successful operations in Mesudiye, the Government has planned to extend the approach utilized in this pilot project to the other rural areas in Turkey.

In the beginning of the year 2000, talks were commenced with the World Bank for the reformulation and redesign of the Köykent initiative. As a matter of fact, the pilot project in Mesudiye and successively the Köykent model has been assumed, by senior Turkish bureacrats, public officials and World Bank executives and technicians to be applicable to the whole country and to other developing countries in the area of rural development throughout the demonstration of sustainability and of enhanced outcomes as well as in terms of the lessons learned. In other words, it seems possible to suggest that it stands as a model with a high potential for development and replicability. It seems that the project may also help to reduce rural-to-urban migration and result in a more productive use of labor in rural areas, if reformulated, transformed and redesigned in a more integrating way.

Consequently, after the negotiations with the World Bank and the examination of the results obtained from the Mesudiye example, it has been decided to reformulate the initiative and to expand the implementation area to national coverage, with financial loan and technical support along with national resources. The World Bank has agreed in principle that such a Program (comprising certain sub-projects, pilot and componential) which addresses a model for other countries as well could be supported by a loan agreement with the Turkish Government.

After the first pilot project implementation in Ordu-Mesudiye, the Köykent initiative once again gained popularity in the Turkish development and political agenda. More than 100 local communities have declared their intent to become a Köykent site, and about half of them had organized themselves and had formally applied to the Turkish government. They requested assistance and financial support from the State for investment and improvement similar to those provided in Mesudiye.

Another important reason behind the afore-mentioned high number of interested communities and applications to the Köykent initiative seems to have stemmed from the possibility offered by the World Bank for an adaptable loan program to the Turkish Government for the initiative.

The revival process signifying the reformulation and redesign of the Köykent concept and components had started in the year 2000 with the technical assistance and financial support from the World Bank. Throughout that process, almost all agencies included in the process (at the initial phase of the revival process the Undersecretariat of Prime Ministry, consequently replaced by the GDRS, as the key cordinator, the Ministry of National Education, the Ministry of Health, the Ministry of Agriculture and Rural Affairs, the Ministry of Forestry-ORKÖY[48], Turkish Telecom and the Turkish Electricity Distribution Company-

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[48] ORKÖY refers to the General Directorate of the Forest-Rural Affairs of the Ministry of Forestry - *Orman Köy İşleri Genel Müdürlüğü*.

TEDAŞ), with a few exceptions, have shown full cooperation and worked in a mutual interaction especially in the initial stages of the Program[49]. The State Planning Organization, however, along with several line ministries reportedly have hardly cooperated and have presented their opposition and their negative reflections.

In February 2002, the Turkish Government requested a Project Preparation Facility (PPF) loan advance to commence program preparation in order to materialize the technical and financial support. According to the Bank's lending procedures, the first step, the PPF and the pre-appraisal funds, were approved to commence the process and to establish a project management unit. During negotiations, it has been agreed that the World Bank will finance the Köykent Program with a two-stage of loan. *(WB, 2002a)*

A decision has been made by the Government to extend the Program and provide counterpart funds for the following year for the other sites.

In the revival process of the Program, **site selection** has constituted an important stage of the program design. The site selection criteria have been essentially intended in order to determine pilot project sites, requiring provision of services and state assistance for further development, in an urgent manner.

It has been further decided to select the Köykent pilot project sites such as "to test the approach adopted in Mesudiye" and "to determine optimal ways to provide public services to the rural population across a range of conditions". *(WB, 2002a)*

The selection of the pilot areas under the Program has been intended to be conducted in a strategic and transparent manner. After the receipt of more than 100 applications, an important decision was taken to outline the procedures of the site selection process based on a 'multi-aspect screening approach' explained below;

1. Initial Screening of the Application: In the first step, the purpose has been to determine the need for assistance from the State and to narrow the list of potential sites for the Program measured by the following criteria *(WB, 2002a)*;

> a) 'development rank' and the 'level of poverty' determined with reference to the social and economic indicator and the human development indicator introduced by the State Planning Organization (SPO), to identify the poorest areas among other rural sub-provinces of Turkey,

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[49] As mentioned before, the use of the term **Program**, instead of the terms approach or project, has been preferred in the next chapters of this thesis to refer the revival process for the Köykent initiative after the 2000s.

The SPO's other indicators including availability of and access to infrastructure such as roads, water, electricity as well as health and education have been planned to be taken into consideration,

b) locations that were not situated in the vicinities of the government's 'Back to the Village' and the 'Center Village' programs,

c) locations not situated in areas where the issue of cross-border waters[50] might be of concern.

2. Second Stage Screening of the Application: In this stage, a short list of sites has been intended to be designated based on the following criteria *(WB, 2002a and 2002b)*;

a) population size (between 4000-5000 people),

b) results of initial social assessment,

c) low potential of mass urban migration,

d) level of organization that demonstrate the ability and willingness of the community to work together and collaborate for the common benefit,

e) geographic location, agricultural and other growth potential, and special local features,

f) construction works that should not result in creating non-compensating environmental hazards.

Although the afore-mentioned multi-criteria were overly discussed, a draft list was designated by the Government -unfortunately- regarding only the initial screening of the application. Under these circumstances, the first draft list was decided to include pilot project sites in the provinces of Van, Bolu, Düzce, İçel, Kastamonu, Kayseri, Niğde, Afyon, Muş and Siirt, as seen in Appendix K. From the draft list **Van-Özalp** and **Düzce-Kaynaşlı** were selected the first pilot project sites. Successively, three areas; **İçel-Dörtler, Niğde-Çiftlik** and **Kastamonu-Daday**, were decided to be included in the first group of list.

An implementation initiative has been attempted in **Muş (Merkez-Yaygın)**. Several organizations have conducted preparation work related with the Köykent initiative and the Prime Ministry has assigned the task of the identification of the socio-economic structure of this area to the GAP Regional Development Administration. In this pilot project area, the GDRS has started road construction works, sewerage and drinking water projects have been prepared, and irrigation studies have been commenced to be completed by the end of the

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[50] This criterion was decided by the World Bank to exclude some of the sites for the reason of potential political issues among countries whose waters are crossing.

year 2001. However, the pilot site in Muş was excluded from the list for the reason that five villages have been part of the 'Return to the Village' and rehabilitation projects, that refers to the second issue of the initial screening of the application.

In the **Siirt (Eruh-Bağgöze)** pilot Köykent site the GDRS has prepared drinking water projects to be completed by the end of the year 2001 and has commenced certain preparatory works for physical infrastructure projects. However, since the site is situated at cross-border waters, the site was excluded from the list.

The first set of criteria utilized within this site selection process, were the development rankings of the districts as presented in the following table;

Table 4: Development Ranking of the Selected Sites

District	Development Ranking[51] among the Districts	Development Ranking of the District among the Districts within the Same Province
Mesudiye	632	8th in 19 districts
Kaynaşlı[52]	-	-
Özalp	831	8th in 12 districts
Daday	501	11th in 20 districts
Çiftlik	798	6th in 6 districts
Tarsus[53]	70	-

Source: *The State Planning Organization, 1996, p.123-144.*

***

The total urban and rural population of the selected sites, with the annual population growth-rate presented in the following table, constitutes the other priority issue in the site selection when considering about the cost-benefit analyses. It may be observed from the table below that low potential of mass urban migration as a criterion included in the second stage screening of the application has not been met in two sites in which there has been de-population with ‰ of 31,64 in Kastamonu and ‰ 1,63 in Ordu.

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[51] This rank has been calculated for 858 districts. Under this system, the most developed district receives rank 1 whereas the highest rank number represents the lowest socio-economic status. It should be noted that this system is representative of the district; however it may not be representative of the status of all villages within that district.

[52] No ranking was assigned for Kaynaşlı for the research conducted by the SPO in 1996, for the reason that Kaynaşlı was given district status in 1999 and Düzce was recently declared a province.

[53] The rank was not calculated for Dörtler for the reason that it is not a district. Therefore, the development ranking belongs to Tarsus in which Dörtler is located.

Table 5: Total Urban and Rural Population of the Köykent Project Sites

(arranged in order of 2000 population values)

Provinces	2000			AnnualGrowth Rate (1990/2000)of Population‰		
	Total	City	Village	Total	City	Village
Ordu	887.765	416.631	**471.134**	7,10	17,99	**-1,63**
Düzce	314.266	130.632	**183.634**	13,82	21,05	**8,99**
Van	877.524	446.976	**430.548**	31,96	53,19	**13,84**
Kastamonu	376.725	176.810	**199.915**	-11,63	17,20	**-31,64**
Niğde	348.081	126.812	**221.269**	14,30	26,50	**7,93**
İçel	1.668.007	1.021.086	**646.921**	27,47	25,83	**30,11**

Source: *The State Planning Organization, 2002, p.4-5, from the State Institute of Statistics.*

In May 2002, with a decision taken by the High Planning Council and the Council of Ministers (Cabinet) the Köykent Program was formally included within the national investment program of the year of 2002 to be implemented in five sites (**Van-Özalp, Düzce-Kaynaşlı, İçel-Dörtler, Kastamonu-Daday and Niğde-Çiftlik**). Furthermore, the domestic and external financing amounts have been designated within the same decision.

The financing from the World Bank had been agreed to be available for activities related to the agencies mentioned above. A Project Management Unit[54] was established as a central unit within but independent from the GDRS, to have responsiblities for the overall coordination and the operational aspects of the project. *(WB, 2002a)*

The proposed costs of the Köykent Program and the financing plans were discussed first among the line ministries and agencies and subsequently between the Turkish Government and the World Bank. It was consequently decided that financing should comprise a loaned amount from the World Bank (70 % of costs, approximately US $ 300 million), local and government contribution (approximately US $ 50 million) and local contribution from taxes (approximately US $ 78 million). In total, the budget of the Köykent programs summed up to US $ 430 million, of which US $ 300 million was to be supplied by the World Bank and the remaining US $ 130 million by domestic sources.

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[54] As mentioned in the chapter regarding research design, the writer of the thesis worked for the Project Management Unit as 'Social Scientist'.

The first phase targeted to conclude by the end of 2004 would cover 10 Köykent sites; the second phase would cover 20-30 sites. Thus, a total of 35-40 Köykent projects were planned for implementation by the end of year 2009 with a cost of US $ 430 million.

It was estimated that the cost for each Köykent pilot project would amount at around US $ 10-20 million depending on project magnitude and regional needs and characteristics. However, the amount of US $ 14.3 million calculated for an average köykent site has been considered overestimated, as declared by most of representatives of the line ministries and the SPO.

As a matter of fact, a review of the draft project costing yields that a major portion of the budget has been allocated to infrastructure delivery, especially road construction works, whereas education and income generation activities, important for rural development, have not been favoured. According to feasibility studies conducted in the Düzce-Kaynaşlı and Van-Özalp sites, the percentage allocated to road construction and improvement was 40%, whereas education was allocated 26%, the rural development component 18%, drinking water and sewerage 10% and health 6%. Although water for Van-Özalp and improvement of roads for Düzce-Kaynaşlı were the first priority actions, according to the results of needs assessment in those sites, line ministries and various stakeholders have justifiably exerted criticism that the budget of a rural development project should be demonstrating a more balanced distribution between the rural development component and the provision of infrastructure.

The Stages of the Köykent Program

In Düzce-Kaynaşlı and Van-Özalp, the pre-feasibilty studies, as an initial part of the social assessment work, have been initiated to analyse socio-economic structure, priority needs and existing problems as well as possible alternatives related with the infrastructural provision and/or improvement of the services and income generation activities. The Turkish Government, with assistance and support from the World Bank, has designed sub-projects in Düzce-Kaynaşlı and Van-Özalp, following the social and need assessment studies and the pre-feasibility studies.

In İçel-Dörtler, Kastamonu-Daday and Niğde-Çiftlik, only pre-feasibility studies were conducted and not enough progress was made to reach the project design stage.

The following key steps have been designated as the **successive stages of the program implementation plan** to be executed in order to implement the Köykent concept; the initial- and second- stage screening of the application, the pre-feasibility studies, the social assesment and the community commitment charter, the feasibility studies, the sub-project appraisals, the detailed design, the implementation and monitoring. *(WB, 2002b)*

In the beginning of the 2000s, the strong political will and support that have been assumed as pushing factors in advancing with and implementing the Program, have generated a critical issue after the change of the Government in November 2002. Despite the fact that the program was planned within the national budget and investment plan and considerable action had already been taken with the World Bank and the project stages, the Program was shelved onto the waiting list, right before the Parliamentary election. The elected government has subsequently, in the year 2002, decided to cancel the Köykent Program together with other projects and programs, while the cancellation decisions were not disclosed to the public. Public institutions that had opposed the project in an indirect manner in the beginning of the revival process had now taken a much clearer and directly negative stance on the issue.

All efforts have been intended to establish legitimacy and validity through a positioning within the national investment program that would constitute the **institutionalization of the support of the Köykent initiative** as a critical program for rural development in Turkey. The cancellation decision has caused the Köykent Program to be excluded from the national budget and investment plan. The Program has thus been prevented from acquiring sufficient financial resources to assure implementation as planned. This also has meant that the continuity and sustainability of governmental decisions was disrupted. In other words, the implementing agencies have failed to adopt and foster the project as intended and expected.

Despite various meetings, communications and negotiations conducted among the representatives of the senior bureaucrats and public officials of contemporary and previous governments (with the participation of the Prime Minister and Ministers) with the participation of the World Bank's senior managers, the Turkish Government in power during the year 2002 insisted on excluding the Köykent Program from the budget and the national investment plan and to drop the loan agreement decision with the World Bank.

V.3.2.3. Objectives and Components

The previous sections have laid out the characteristics of the Köykent initiative, from its emergence during the 1970s and through to the 2000s, along with its historical background and the experiences related with its implementation. This section describes the design process of the initiative during its revival period, including its vision, the stages of its reformulation, its objectives, the population it has targetted and its implications during this new period.

The **vision** of the Köykent Program, in the revival process, also depicted in the following diagram, has been intended to support the development of an **integrated rural strategy** through the addressing of multiple aspects of a rural economy in an economic and sustainable manner. The main **goal** of the Köykent Program, in the revival process, has

been to complement and to support ongoing reforms in the area of agriculture, social and infrastructural services, natural resource management and off-farm technologies. *(WB, 2002a)*
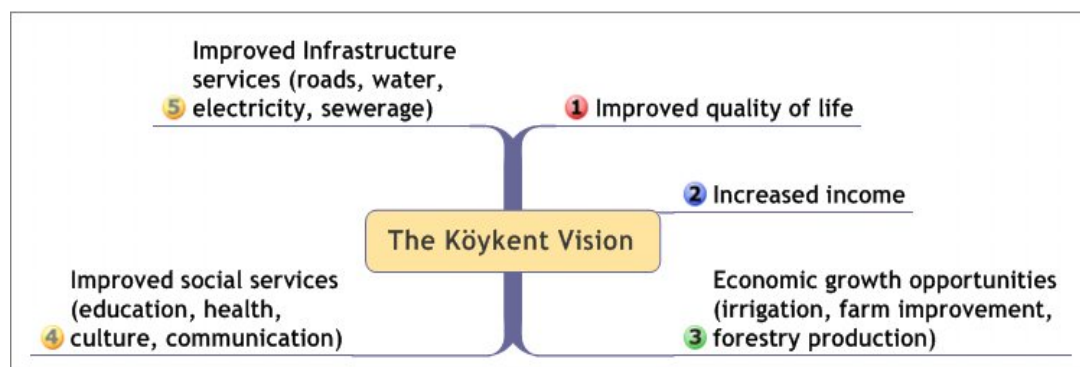
Diagram 44: The Köykent Vision

Source: *quoted from Government of Turkey; by WB, 2002a.*

The main idea behind addressing multiple sectors in the Program's vision stems from an argument exemplified below; namely utilizing

> "...the holistic approach of addressing multiple sectors at the same time supports the creation of positive externalities. In other words, the cumulative beneficial effect of the project may be more than the sum of the benefits of individual sector interventions. Examples include: better levels of education due to improved rural roads; overall level of female education in a rural area has a positive impact on the nutritional status regardless of the education level of the caregiver to a child; and increase in the coverage of water and sanitation services positively improves a child's health." *(WB, 2002a)*

The recent overall Köykent Program had been planned in view of all past regional policies, strategies and several pilot projects. The program has had the **objective** to test and implement new ways of approaching rural develeopment by implementing pilot projects, and at the same time by developing national rural development policies and strategies.

The Program has proposed the development and/or improvement of physical and social infrastructural services and the support of income generation activities, and finally the generation of a **'model of rural re-structuring'**. This model has been intended to rely on the **principles and techniques of sustainable rural development** through the adoption of community driven approaches, needs assessment and participatory processes as well as the development of the notion of **new forms of governance**. One of the crucial points of the Program is that it has emphasized participatory mechanisms for rural development to ensure sustainability of investment and to support the social protection goals of the Government.

Under these circumstances, the Program has the following global **goals** towards the eradication of rural poverty and towards the support of sustainable rural development in Turkey: social and economic revival, improved education, health and social services, inclusive and equitable institutional arrangements promoting sustainable outcomes. The **objectives** of the Program have been defined as stimulating investment and economic activity; improving social and economic status; improving access to services; enhancing inclusiveness and input into decision-making. *(Lemel, 2002, p.60-63)*

On another note, the implementation and policy development stages of the Program have been planned simultaneously.

In the context of the **targeted population**, the Program has been intended to spread over 30-40 Köykent sites throughout the country. Each site has been assumed to be inhabited by around 4000 to 5000 people and to comprise around 10 villages, and to consist of local communities living typically in poor areas. The term 'poor' should however be considered in the context of the local distinctive characteristics of rural areas in Turkey. The details of the site selection of the pilot areas that will be discussed in the next sections have varied depending on the multi-criteria analyses. The level of poverty has been accepted as the main issue in the selection criteria, however not the only one. In other words, other factors, such as physical location, nature of the local rural economy and level of organization have also been utilized to designate a Köykent site location.

To reach the above objectives, a group of villages (around 10) in a pilot area have been planned to be clustered to generate economies of scale in the provision and improvement of physical and social services as well as income generation activities.

The Köykent Program has proposals comprising three **main components**;

1. Provision and improvement of infrastructure services (infrastructure component),

2. Provision and improvement of social services (social service component),

3. Promotion of sustainable rural development through income generation activities (rural development component).

The Infrastructure Component has been intended to have a number of activities and investments associated with the development and/or rehabilitation of rural infrastructure, for the purpose of better quality, availability and efficiency of rural roads, clean and safe drinkable water and sanitation, irrigation (micro-dams), electricity and telecommunications. Plans have been made to rehabilitate and/or upgrade roads connecting villages in the community, water and sanitation networks to be installed and power distribution networks to be repaired and maintained. Provision of facilities has been planned to ensure uninterrupted communication service. Upgrading and/or installation of irrigation networks has also been planned to increase agricultural productivity and efficiency. *(WB, 2002a)*

Roads have been considered as a key component of the Program and assumed to account for most of the costs. *(WB, 2002b)*

The **Social Service Component** has been designed to account for improved delivery of and access to health care and education services, rehabilitation of rural schools and provisions for vocational training. Health facilities were intended to be upgraded to constitute fully equipped centers with medical staff and ambulance facilities. *(WB, 2002b)*

The **Rural Development Component** has been intended to address the economic needs and demands of communities and to support poverty reduction and sustainable income raising activities. This component has been intended to include three sub-components *(WB, 2002b)*;

> "Sub-component 1: Rehabilitation of degraded natural resources (rangeland rehabilitation, simple watershed management measures, fallow reduction, arresting degradation on marginal agricultural land.
>
> Sub-component 2: Income raising activities (small-scale irrigation, improved livestock production, crop diversification and food safety).
>
> Sub-component 3: Capacity building (staff training, extension tools, technical assistance, operational funds)." *(WB, 2002h)*

The main focal issues above have been designed to address the following issues; degradation of natural resources, low productivity in crop and in livestock production, lack of marketing knowledge and skills, poor access to extension services and lack of quality on extension advice. *(WB, 2002c)*

Income generation activities have been proposed to cover acts and operations of production, collection, storage, processing, transportation and marketing in various sectors, on a local basis. The activities mentioned above were ideally indended to be developed within the project site, within its hinterland, but also have their corresponding extensions in the national economy.

V.3.2.4. Recent Initiatives

The implementations discussed in this section have been undertaken during the period that the Köykent initiative has been reconsidered, after the year 2000.

V.3.2.4.1. Initiatives in Van-Özalp

Site Selection

Van-Özalp, in the east of Turkey, initiated in the 1970s, was chosen on the grounds of having the lowest socio-economic level. The province ranks 831 out of 858 as per the SPO's socio-economic indicator. It has been argued that as soon as the implementation of the pilot

project would commence, the outcome of State assistance in rural communities would be readily observed and also reflected on other sectors of the rural economy in the region.

<u>Özalp District</u>

Özalp is a district located 60 km away and in the northerneast side of the province of Van, as shown in Appendix L. It neighbours the Iranian border. The other surrounding districts are Muradiye, Merkez, Gürpınar and Başkale. Its surface area is 1393 km$^{2.}$.

The district had 59,919 inhabitants according to the general census in 2000. The population in the town center was 7,345 and the rural population was 52,574. It has 52 villages and 19 hamlets.

Steppe climate is predominant in the region and there are huge seasonal differences in temperature, as well as differences between day- and night-time. Özalp district is located at the driest part of the Van Basin. The region often faces draught due to inadequate rain falls. Windy weather, severe winter conditions and the location of the Köykent villages have generated obstacles for agricultural production and result in shorter periods for vegetation.

<u>The Köykent Villages[55]</u>

A cluster of 14 villages, as seen in Appendix M, (Dorutay, Dönerdere, -Aşağı and Yukarı-Koçkıran, Oymaklı, Yukarı Balçıklı, Aşağı Balçıklı, Eğribelen, Günyüzü, Yumruklu, Çubuklu, Damlacık, Aşağı Turgalı, Yukarı Turgalı and Çavuşlar) was designated to benefit from the Köykent approach.

Köykent villages are located at higher altitudes (approximately varying between 2100-2500 m.), the terrain slope being between 0 and 40 and in some parts exceeding 40 %. Villages are situated 5-18 kilometers apart. The total land area of the Köykent villages is 41,090 hectares.

Dorutay, 27 km. to the district center and 93 km. to the province center, that was selected as the central village in the cluster for the main reasons of being located at the intersection of the roads coming from different directions and having an economically active population.

According to the findings of a research conducted in the summer of 2002, the total population of the Köykent villages was 18,445 (2,209 households) in 14 Köykent villages. It

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[55] The quantitative information regarding the Köykent villages in Özalp, was obtained from the following sources;
- a social assessment supervised by the writer of this thesis working in the Köykent Project Management Unit and the World Bank consultant; with the participation of representatives of the related public institutions and agencies and the students from the METU,
- several reports prepared by the World Bank Staff about the feasibility studies of the project components,
- reports and data prepared by the District Directorates of related public institutions and the local office of the GDRS.

had been estimated that the Köykent Pilot Project would directly influence this population. The average size of the households was 10,7 (with a standard deviation of 5,23) in the Köykent villages. This average was more than twice of the national average. Dönerdere had the lowest mean (5,72) while Oymaklı had the highest (13,23). *(Özcan, 2002d)*

<u>Existing Infrastructural Characteristics</u>

The Köykent villages have had the poorest conditions in infrastructure compared to the other Köykent pilot sites as well as other rural parts of the country. Insufficient amount and poor quality of water constitutes the greatest problem in the villages. The water problem mainly stems from the expensive infrastructural maintenance, use of unreliable sources and lack of local contribution for their maintenance, rather than only from insufficiency of the sources. Sewerage has been the other important problem in the villages. Moreover, three-fourths of the households have not been satisfied with the quality of road maintenance. Almost all households in Özalp Köykent villages have had electiricity (98 %).Two-thirds of the households had regular phone lines in their houses. Almost half of the households had cellular phones. One third of the villagers had their own vehicles, a higher rate than the expected level considering the conditions in the region. *(Özcan, 2002d)*

For health services, most of the villagers have tended to go to the Van public hospital and the Özalp health center for the reason that only in three villages were there health houses, unstaffed and unequipped *(Özcan, 2002d)*. Health standards in the Köykent villages have been poor and fertility rates high. Due to problems related with the provision and usage of drinking water, related health problems occur at a high rate. Diarrea and skin diseases have been the most common problems that reflect the dire living conditions, the lack of hygiene and insufficient nutrition in the region.

There have been school buildings in almost all villages; however education has not been possible to conduct regularly for the reason of insufficient number of teachers. Only in three villages (Dorutay, Dönerdere and Çubuklu), primary schools have been following the 8-year primary school program. In other schools, education has been conducted in combined classrooms. Students have commuted daily by vehicles financed by the state. There were still unregistered children and especially girls, mainly for economic reasons. *(Özcan, 2002d)*

Illiteracy has been much higher than the national average and the education level is significantly low. Following primary education a significant portion of the male students tend to attend schools at Özalp and the Van center, while after the fifth year schools in Dorutay and District Boarding Schools, (YİBO), are preferred.

In summary, all the villages in Özalp Köykent pilot project site, except in Dönerdere[56], were facing serious problems as regards physical and social infrastructure. According to the findings of a social assessment at the project site, the needs and priorities of the basic infrastructure have been as follows; 1. Drinking water, 2. Agriculture (irrigation water), 3. Health care facilities, 4. Improving road and transportation, 5. Job/employment opportunities, 6. Education, 7. Electricity, 8. Sewerage, 9. Communication, 10. Environment. In total, 61,4 percent of the households have declared that the need for drinking water has been the most important need of the villagers at this site. However, in Dönerdere, the foremost priority has been reportedly health. *(WB, 2002f)*

Socio-Economic Structure

All the Köykent villages, except Dönerdere, had not demonstrated significant economic and social growth. They have had poor infrastructure amidst dire settlement and living standards. The social structure and the economy have been segregated and rural poverty indicators have been significantly high. The recent economic crises have seriously compromised the socio-economic structures, and have also raised obstacles in front of the government in allocating desired investment in the region. Unemployment has prevailed in the area, although the percentage and dynamics of the young population have been high. Seasonal migration has also been an important issue in the region. Farming and livestock production have been dependent on similar patterns. Seasonal incomes especially from construction works and border trade have been the main source of income for many years. Lack of irrigation, severe climatic conditions, outdated farming techniques and inefficient use of water resources have resulted in limited agricultural production for the villagers' own consumption. Although livestock breeding has the potential of being the driving force behind the economy of the region, it has not demonstrated efficiency parallel to its capacity.

Border trade especially with Iran has played an important but restricted role in the social and economic life in Özalp as well as in the Köykent villages. In some Köykent and border villages of Özalp district, oil and diesel smuggling has been commonplace and marketed in neighbouring villages, districts and provinces. Although in recent years tourism has emerged as an alternative way of income in Van and the surrounding sub-districts, the local inhabitants have not really benefited from it.

Recent measures for the resolution of the terrorism problem have generated positive but limited influences in the region. If these influences contribute to reduce the dependency of

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[56] Yeni Dönerdere village is a very interesting case as regards its differences with the old part of the village and all the other villages, in infrastructure and socio-economic attributes. Dönerdere comprises two parts of which the newest has been established by villagers from Çaykara, Trabzon due to landslide in their former habitat. After the state resettlement, and though state- and various other forms of assistance the new part of the village has demonstrated a significantly different settlement pattern and an economic structure from all the other villages.

the region to state assistance for the sustainability of the services and for the generation of income, it should be possible to resolve the socio-economic problems in a much more integrated way.

Adult and adolescent women have constituted the most vulnerable groups in most of the villages as regards limited access to social and health care and education. They have been in need of training and education activities in terms of basic education, health, nutrition, hygiene, family planning programs, income generation and employment opportunities.

Organizational Structure and Participation

Only the local office of the GDRS has presented a great effort during the project preparation and data collection stages. Most of the local institutions, such as the governorship, the district governorship and the municipality have only played a very restricted role compared to the other cases in Düzce-Kaynaşlı and İçel-Dörtler out of lack for organizational and institutional capacity. On the other hand, regional and local NGOs have not demonstrated significant activism, either.

In Özalp, the limited level of local participation may be attributed to several factors: low educational level, conflicts among villagers, the fact that only Kurdish dialects were spoken by most of the women and the elderly in villages – which limited communication, an attitude of expecting everything from the State and lack of confidence of the local inhabitants in the State and the Köykent approach. These factors have also undermined the sustainability of the project.

Only in Dönerdere village very active and efficient cooperatives working on irrigation and agriculture, existed. In other villages, cooperative membership was not observed to be widespread.

Although most of the villagers have been familiar with the *imece* custom, they have not preferred to utilize it it in the accomplishment of tasks. These circumstances have signified the lack of organization and cooperation skills at the local level and have also underlined the continuing attitude in the region of expecting evertyhing from the State.

Project Design and Initiatives

In Özalp region, road improvement, drinking water and irrigation facility construction efforts were commenced by the GDRS. Feasibility studies required for initiating Köykent investments were concluded. A total of US $ 12-14 million, US $ 750 per capita, has been planned to be covered by internal and external funding. The planned investment was to be distributed in the following way among the project components: 31,6 % for roads, 11,5 % for water and sewerage, 37,5 % for education, 3,8 % for health and 15,6 % for income generation activities. *(WB, 2002a)*

Various studies and new project preparations have been conducted but implementation has not been able to achieve due to cancellation of the program and to its exclusion from the national budget.

V.3.2.4.2. Initiatives in Düzce-Kaynaşlı

<u>Site Selection</u>

Düzce-Kaynaşlı, situated in the northwest part of Turkey was selected mainly because of the severe consequences of the Marmara earthquake in November 1999, and the recent economic crisis that had co-incided with rural immigration and which had increased the unemployment rate. Demand and interest has been high in Kaynaşlı to rebuild the community and to participate in the Köykent Program.

<u>Kaynaşlı District</u>

Kaynaşlı is a district for which the district status, administratively a part of Düzce province, was given after the 1999 earthquake. It is settled in a valley on the outskirts of the Bolu Mountains and between Bolu and Düzce provinces. It is geographically sliced in two equal parts by the busiest highway (D-100) between Ankara and İstanbul, as seen in Appendix N.

The altitude from the sea level is about 800 m. Two-thirds of the total area is forest (9,140 ha) and range-land, one-third comprises agricultural area. The Black Sea Climate is dominant in the region. *(WB, 2002h)*

Although Kaynaşlı center had been heavily influenced from the 1999 earthquake, fortunately most of the surrounding villages were not severely affected. Various projects have been undertaken by public and private institutions to reinstate interrupted basic services as well as to improve economic and social life.

According to the 2000 census, the district has had a total population of 21,639 of which 9,439 urban and 12,200 rural residents. Kaynaşlı has 7 neighbourhoods in the town center and 20 surrounding villages. *(Özcan, 2002b)*

Farming, livestock and forestry production, national/international transportation, agro-processsing plants, wooden-crafts and rural tourism have been the main sectors of the local economy in the region. Although the earthquake and the serious economic crises during the years starting in 2000 have greatly influenced the region and resulted in an increase in unemployment, rural immigration, degraded living and settlement conditions, the district economy has continued to grow for the reason of it posessing a strategic location and significant local potential.

The D-100 highway has been the driving factor in the region for the service sector of restaurants, transportation and crafts more than it were for agricultural activities in the past.

On the other hand, it has been assumed that the importance and usage of the D-100 highway is expected to reduce upon the completion of the Trans-European Motorway (TEM) *(Özcan, 2002b)*.

The Köykent Villages[57]

A group of 10 villages was selected as a Köykent Project area based on a socio-economic framework from a field study (inventory) locally conducted, covering 20 villages in Kaynaşlı. Local initiatives and the Kaynaşlı Governorship played key roles in this study and the following criteria were determined applied to the study in the selection stage *(Kaynaşlı District Governorship, 2001)*; i). rural poverty, limited resources of production and income, ii). need for the state assistance program, iii). local development potentials and opportunities (especially various natural resources), iv). ability and willigness of the local inhabitants to work together.

After the first phase of selection criteria applied to the area, and the successive selection of a group of villages as the Köykent clustering area, another additonal list was designated to be included if more funds and financial sources were made available.

The Köykent villages, as seen in Appendix O, (Sazköy, Çamoluk, Yeniyurt, Tavak, Altunköy, Çatalçam, Hacıazizler, Muratbey, Çamlıca and Çakırsayvan) were acknowledged as the most disadvantaged villages. Çamoluk and Tavak, two separate but very close villages, have been selected as the central village group.

The pilot site is located at the mountainous part of the district; with altitudes varying between 550-1000 m. Nine of the Köykent villages have been designated as 'forest villages'. All villages are located in close vicinity, but are faced with great challenges due to a heavy climate and poor infrastructure. *(WB, 2002h)*

According to a research findings conducted in spring 2002, the total population of Köykent villages was nearly 5,500 people (1,043 households) in 10 villages. It had been estimated that the Köykent Pilot Project would directly influence that population. However, there have been great seasonal variations in the population. The average permanent population per village has been around 300 and in summer times village population has increased about 20

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[57] The quantitative information regarding the Köykent villages in Kaynaşlı, was obtained from the following sources;
- (an inventory) conducted by the Kaynaşlı District Governorship in 2001, regarding 20 villages (including the Köykent villages) of the district to prepare a base for post-disaster development plans,
- a social assessment supervised by the World Bank consultant; with the participation of representatives of the related public institutions and agencies and the students from the METU,
- several reports prepared by the World Bank Staff about the feasibility studies of the project components.

%. Average size of the households has been 5,5 (with a standard deviation of 2.9) that has been a little over the national average. Two-fourth of the population in project villages comprised women and one-fourth were children less than 15 years of age. *(Özcan, 2002b)*

Existing Infrastructural Characteristics

The Köykent villages have had quite similarly poor infrastructure. The poor and unsafe conditions of roads and difficult access have constituted the biggest problem in the area. Most of the villagers have used fountains or local springs, reservoirs and depots through their own pipes that they installed themselves. The majority of the water problems were mainly caused by the influences of the earthquake and the outdated water network that have led to the unreliability of the sources. There has been no sewerage system in any village. Almost all households in the Köykent villages have had electiricity (99,6 %), however with great complaints about the service. The majority of households had regular telephone lines in the houses and more than one-third of the households had cellular phones. More than half of the households owned a vehicle, much higher than the national average of rural Turkey. *(Özcan, 2002b)*

For health services, villagers have tended to use health centers in Düzce, Kaynaşlı and Dipsizgöl. The Kaynaşlı Health Center was well equipped and staffed; however, health clinics in two villages were understaffed and unable to provide adequate services and to meet the needs of 10 villages. Health indicators were significantly higher as compared to that of other villages in the region.

School buildings existed in all villages; however education was carried out in only three (Çakırsayvan, Çatalçam and Yeniyurt), serving grades between 1-3. A significant portion of the students were attending schools in Kaynaşlı, for a better education, through daily commute by vehicles financed by the state. *(Özcan, 2002b)*

In the Kaynaşlı Köykent pilot project site, the needs and priorities of the basic infrastructure have been as follows, according to the findings of a social assessment: 1. Improvement of roads and transportation, 2. Drinking water, 3. Employment opportunities, 4. Education, 5. Health care facilities, 6. Agriculture, 7. Electricity, 8. Sewerage, 9. Communication and 10. Environment. In total, 52 percent of the households have declared that the need for road and transportation has been the primary need. Another 20 percent has stated that the need for drinking water was the second primal need. *(WB, 2002e)*

Socio-Economic Structure

The Köykent villages have had quite similar socio-economic characteristics that highlighted rural poverty. The main sectors of the economy have been dependent on a restricted number of traditional products, namely farming, agriculture, livestock production and forestry. Other sources of income are from handicrafts and home-processed food sold along the

highway, from work in the services sector (at the roadside restaurants, shops, hotels, gas stations) and from salaried jobs in Kaynaşlı *(WB, 2002h)*. Although the majority of the villagers (89 %) have had agricultural land in their posession *(Özcan, 2002b)* and the climate and the ecology have been suitable, rough topograhy, severe winter conditions, poor agronomic practices and erosion effects have resulted in the limitation of agricultural production. Unlike the other villages of Kaynaşlı, the arable land of the Köykent villages (1,177 hectares. of the total agricultural land and 10 hectares of which were left idle) has been limited and they have had a difficult access to transportation, marketing and promotion opportunities *(WB, 2002h)*. Due to their living conditions, low income levels and insufficient social services, there has been immigration to the town center, other cities and abroad for better employment and education opportunities.

Women, comprising half of the total population, and people working in the service sector along the D-100 highway, facing the risk of losing their source of income with the changing of routes, have been the most vulnerable groups. In spite of the conservative nature of the socio-cultural tradition of the villages, women have voluntarily attented the meetings and the other organizations. Adult education, health care and family planning have been designed to meet their expressed priorities. Integrated income generating activities have been planned for the other vulnerable groups as well.

<u>Organizational Structure and Participation</u>

At the local level, especially the Kaynaşlı District Governorship and the District Directorates of relevant public institutions have played significant roles and have demonstrated active participation through a socio-economic field survey, by contributing to the initial design of the project components and offering integrated support for the implementation. Although the Köykent Program has not intended to directly consult and involve municipalities, one of the under-estimated issues regarding the institutional aspect, the Municipality of Kaynaşlı has contributed to the process by providing technical equipment, machinery and staff, although it has not been directly involved. Civil society contribution has been limited to a certain portion of the NGOs focusing on education and health interventions, especially after the earthquake disaster.

It has been asserted that the major source of collaborative action stems from a cultural tradition that has influenced the name of the district as well. Kaynaşlı, in Turkish, originates from the verb 'coming and joining together' and reflects the strong collaborative work tradition *(Kaynaşlı District Governorship, 2001)*. The earthquake has strenghened this tradition towards much more organized and efficient forms of collaboration.

The majority of the villagers have declared a willingness and readiness for voluntary contribution to the implementation of project activities. They have also extended the possibility of their contribution in forms of labour or cash. These types of contribution have

been assumed to be a very rare and uncommon approach in Turkey. The recent implementations in the district, after the eartquake, have enabled local authorities and inhabitants to help themselves without relying on the state. The district governorship has played an important role in that process through the provision of services through the 'Special Administration' and 'Social Support and Solidarity Fund' supported by international and national organizations, however based on a "provision of all the supports and associated inputs on a credit basis; with a grace period of one year and payback period of 3 years (interest fee)". *(WB, 2002h)*

Muhtars and the councils of elders in the Köykent villages have expressed a greater interest regarding the project design and have played strategical roles in updating the information and in other organizational duties. They have acted as mediators between villagers and the other stakeholders for the reason of their high ownership and commitment towards the Köykent vision. Unfortunately, this trend has not been utilized at the maximum possible extent and in the successive stages of the Project; initial interest has been lost which has accordingly influenced the shift in the villagers' view.

The most important afore-mentioned diversified forms of organizations have been the Kaynaşlı Development Union, the Köykent organizational formations, Local Project Monitoring Unit and cooperatives. The Kaynaşlı Development Union and the Köykent organizations have been assigned to improve the living standards of the poor inhabitants in the region.

Kaynaşlı Development Union[58] (KDU) has been established as a 'local body' after the earthquake, headed by the District Governor and comprising the *muhtars* of all 20 villages. Its status has been more flexible compared the 'Association for Providing Services to the Villages' with a strong feedback from the community and through full assessments of the needs of the villages, problems and potentials. This has been accepted as the most experienced local organization in the region carrying the aim of identifying the problems and developing the solutions to improve the living standards of the community; undertaking such projects and social rehabilitation programs, handling crucial disaster management, reconstruction activities and human resources development through joint efforts with public and private institutions. Under these circumstances, it has been assumed that the KDU might take a strategic role especially the design of sustainable rural development and income generating activities as well as to integrate the Köykent and the non-project village activities for the overall development of the district. *(WB, 2002h and Kaynaşlı District Governorship, 2001)*

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[58] *Kaynaşlı Kalkındırma Derneği.*

The Köykent Development Project General Assembly, the Köykent Steering Committee and the Köykent Area Coordination Committee were the other organizations formed through local initiative. The Assembly has comprised the District Governor, the Mayor, local chairpersons of all political parties, district directors of relevant Ministries, chairpersons of all local civil initiatives- professional and mass organizations, all *muhtars* and councils of elders of the project villages. This has particularly contributed to the process in a very effective manner through promoting the Project, constructing the demographic, social and economic framework of the villages, conducting the initial feasibility studies, developing alternative income generating and marketing activities. *(WB, 2002e and Özcan, 2002b)*

A Local Project Monitoring Unit (PMU) has also been established by the Kaynaşlı District Governorship to be responsible for the effective implementation of economic and social rehabilitation projects.

Due to the familiarity of the villagers with collaborative work, several agricultural and forestry development cooperatives had been established, which have, however, engaged mainly with forestry out of the limited depth of the agricultural sector in the region. These cooperatives have been considered to have had a significant role in the income generation activities within the Project context. *(WB, 2002h and Kaynaşlı District Governorship, 2001)*

Although the presence of active local organizations and cooperatives has been expected to contribute to the implementation of the Project and its long term sustainability, due to the termination of the project they were eventually unable to live up to expectations. However, the organizations in Kaynaşlı have mostly maintained their activities even after the termination of the program.

Project Design and Initiatives

With the active participation of the local inhabitants and organizations, feasibility studies needed for the commencement of the investments were completed. Necessary feasibility studies for the commencement of the Köykent investments were also conducted. A total investment of US $ 6-7,5 million has been planned, US $ 1,200-1,300 per capita, to be covered by both internal and external funding. The distribution of the intended investment has been subdivided between project components as 54,2 % for roads, 23,3 % for income generation activities, 8,4 % for water and sewerage, 8,1 % for education and 5,9 % for health. *(WB, 2002a)*

Although certain basic infrastructure improvement and development activities were commenced, with the termination of the program and its exclusion from the national budget, the project was not implemented.

V.3.2.4.3. Other Initiatives[59]

As mentioned in the previous sections of the thesis, after considering only the initial screening of the application, three additional sites were included by the Government in the recent Köykent Program, with a decision taken by the Council of Ministers (Cabinet) and the High Planning Council. In these pilot project sites -İçel-Dörtler, Kastamonu-Daday and Niğde-Çiftlik-, only pre-feasibility studies have been possible to conduct, for the reason that feasibility studies and and project design was not completed as was for Düzce-Kaynaşlı and Van-Özalp.

Kastamonu-Daday

It has been decided to commence one of the initiatives in Daday district of Kastamonu province, in the western Black Sea region, as seen in Appendix P. The pilot project site lies in a medium-sloped, mostly mountainous terrain.

The district is subject to constant migration and the average age of the population is significantly high. Due to unemployment, the district faces seasonal migration and variations in the population. De-population results in the decrease of social dynamism, and of the spirit of entrepreneurship. Vocational training and income generation efforts planned have failed to materialize.

A group of fifteen villages has been designated as pilot project sites, presented in Appendix Q; including **Selalmaz** as the central village and the other clustering villages -Fasıllar, Koçcuağız, Karaağaç, Gökören, Kayıköyü, Çamkonak, Değirmencik, Kapaklı, Karacaören, Beykoz, Köseler, Çavuşlu, Aktaştekke and Savaş. The total population of the project villages has decreased from 2,930 individuals in 1997 down to 2,516 in 2000.

The settlement pattern in the project villages is distributed in nature, comprising scattered villages consisting of neighbourhoods. Almost all of them are faced with deficiencies in the maintenance of the physical infrastructure and of the social services.

The economic structure of the project villages relies on agriculture, livestock breeding and forestry aimed at covering mainly household needs, due to low productivity. Due to segregation from surrounding settlements and the low percentage of young population, local inhabitants have demostrated a reluctant attitude in the level of acceptance of innovations. There have existed virtually no entrepreneur initiatives and industrial investment whatsoever.

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[59] The socio-economic framework information regarding those additional pilot project sites was obtained mainly from;
- the data directly collected from the sites and the results of semi-structured interviews in 2002,
- sources and reports of the GDRS local offices, the Governorships, the district directorates of the line ministries prepared during the 2000s.

District directorates have demonstrated poor institutional capacity, while local initiatives have been conservative as regards new development possibilities. Local products and crafts such as the Selalmaz fabric and the craftmanship of antique stone and wood carving have not been sufficiently utilized to produce solid income generation instances. The primary needs reported in preliminary interviews with *muhtars* and local inhabitants, were water, sewerage, livestock breeding and irrigation, while issues that seemed to be in need of further development were carpet manufacturing, weaving and forestry products.

İçel-Tarsus-Dörtler

Another initiative has been decided to initiate in Dörtler, in İçel province, in the mediterranean region, presented in Appendix R. Dörtler (Dörtkardeşler) is not a district, instead a very central location situated along the Adana-Pozantı highway. The Köykent site lies in the transition area between the Toros Mountains and the Tarsus plain where several transportation nodes intersect.

A group of fourteen villages has been designated as pilot project site, as seen in Appendix S, comprising **Damlama** as the central village, and the other clustered villages; Dörtler, Karakütük, Taşobası, Kadelli, Yazlık, Kırıt, Yanıkkışla, Çavuşlu, Koçmarlı, Çokak, Göcük, Alibeyli, Kızılçukur and Hacıhamzalı. The total population the project villages is 7,949 according to year 2000 data.

Although Köykent villagers have had an intermediate level of basic physical and social infrastructural services, they have reported insufficiency and inefficiency of provision, such as in roads and transportation, problems in the supply of drinking water, and in sewerage.

The main income of the Köykent site here relies on agriculture and the service sector.

The application of the site regarding the Köykent project has been formulated upon the convening of the village *muhtars* in search of solutions to the social and economic development issues of their villages. Thus, on-site investigation of the implementations in Mesudiye has been performed and various assemblies and studies have been conducted in Dörtler. The Köykent idea has consequently been formalized with an application to the Mersin GDRS provincial directorate.

In this site, the familiarity of the villagers with collaborative effort, had already materialized in the form of several agricultural and development cooperatives. Participation in local Köykent meetings has been observed to be significantly high, including the female population.

Niğde-Çiftlik

The last initiative has been decided to initiate in Çiftlik district, located in the northern part of Niğde province, in the inner Anatolia region, presented in Appendix T. Çiftlik comprises a distributed watershed district.

A group of ten villages, presented in Appendix U, has been planned for inclusion in the Project, comprimising of **Kula** as the central village, the other clustering villages being Şeyhler, Asmasız, Şeyhler, Mahmutlu, Çardak, Ovalıbağ, Sultanpınar, Murtaza and Çınarlı. The total population of the project villages was 11,693 according to year 2000 data. Although the percentage of young population was high, employment opportunities were scarce.

Excluding Murtaza[60] village, significant physical infrastructure problems (especially in drinking and irrigation water) and deficiencies in social services (especially in education and health) appeared to be present in the cluster, a typical rural inner Anatolian settlement pattern.

The major income of the region is agriculture, despite the eroding quality of the land. Breeding and transportation have been the other main sources of income.

Cooperative and organizational activity has been present but far from sufficient in this project site.

Land reform, the need for new agricultural lands, the utilization sub-terranean water resources were stated as primary needs to be included in the development program by the local actors. The utilization and development of the natural resources of the region, their integration with the income generation component and the development of new and alternative crop and livestock production activities were also expressed as priorities by the local directorates of the line ministries. Education on protective health services (hygiene, sanitation and family planning) and vocational training for the youth were other priorities focused upon.

V.3.2.5. Evaluation of Practical Implications

As mentioned before, the first completed pilot project was the one initiated in **Ordu-Mesudiye**, in 2000, and most of the planned activities were carried out through state assistance and national sources and completed within approximately one year. The Köykent Project implementations and attempts in Mesudiye have marked the revival of the Köykent approach in the 2000s with a different perspective to rural development in Turkey.

The pilot project in Mesudiye was considered a good example to present "the feasibility and benefits of integrated service delivery to a cluster of villages under certain conditions its application to other parts of the country needs to be further explored". *(WB, 2002a)*

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[60] A landslide area, Murtaza village is an example requiring special attention. Some of the villagers were still living in caves under unhealthy conditions due to housing shortage, as construction was still ongoing.

One of the **distinctive characteristics** of the Mesudiye Köykent Project has been the 'use of participatory approaches' so that the end beneficiaries have been involved and consulted in the project design and implementation. Actually, the initial decisions and the successive organization were conducted by local inhabitants and the individuals originating from Mesudiye. Forms of organizations such as Mesudiye Development Assembly, the Köy-Kent Assembly and the Executive Committee, have been accepted as the first important and efficient institutional structures in the Turkish rural development agenda. Other complementary activities in the implementation were also realized by the local inhabitants. For example, certain issues such as water and waste water infastructure had already been implemented through the villagers' own efforts and resources.

Despite the incompleteness of activities and the disappointments generated by the Project, the **outcomes** and **the process** of the Mesudiye project have been considered to be impressive as regards the high level of 'local participation' and the 'project ownership' notion of the community. In fact, involvement of the local community and the positive implications of the project have encouraged the successful operations. These operations have also indicated the initial successful signs of the Köykent vision and its objectives. It thus seems possible to derive **the following lessons and key issues** from the Mesudiye Köykent Project to be used in other **sustainable rural development initiatives** as well as **governance-based mechanisms and efforts**.

1. General Approach: The importance and relevance of a need-based and community-driven project managerment approach should have been clearly explained to all the stakeholders at the very initial stages of the program. To avoid scepticisms and potential misconceptions, transparency and participation should be supported. In the distribution of the investments, local needs and demands should be taken into consideration along with economic rationale and a cost-benefit analysis.

2. Project Implementation: To implement the Köykent approach in a cluster of villages generated certain problems of exclusion to neighbouring villages so that there exist the need to define Köykent areas whose implementations would have a hierachical influence on the hinterland and a balanced spill-over effect on the surrounding environment. In addition, socio-economic indicators at the district level do not seem representative enough of the real rural conditions of the selected pilot project villages. The ability and willingness to work together are important indicators just as much as socio-economic indicators during the selection stage.

3. Sustainability: Construction or improvement of a portion of the infrastructure does not prove adequate for the sustainability of investments. One of the crucial issues for long-term sustainability is encouragement of village clusters to constitute a legal entity to represent their interests such as an association or foundation, or formal mechanisms to operate village

infrastructures *(WB, 2002d)*. Another issue as regards sustainability is to promote consultation and participation of all stakeholders, including local inhabitants and key line ministries, public agencies and civil society institutions to ensure integration of investments in a more sustainable and planned manner. Establishment of local project implementation units and recruitment of local individuals are also important factors for institutional coordination and management as well as long term sustainability.

<div align="center">***</div>

The other five sites, summarized below, were included in the latter Köykent Program.

Van-Özalp, in the east of Turkey, where The Köykent programs had been initiated in the 1970s, was selected once again during the revival of the Köykent Program, mainly on the grounds of having the poorest conditions in infrastructure and social services, compared to the other Köykent pilot sites as well as other rural parts of the country. The lack of organizational skills and poor cooperation at the local level has highlighted the ongoing attitude in the region of expecting everything from the state.

In **Düzce-Kaynaşlı**, situated in the northwest part of Turkey, the Köykent Project has been taken into the development agenda in a period that Kaynaşlı has been in a position to explore alternative development ways and potentials for its future, to lessen the unfortunate influences of the eartquake and the other adverse effects of local circumstances. These influences have been the main reasons behind the inefficient utilization of the existing human and natural resources of the Köykent villages. The most distinctive aspect of the attempts in Kaynaşlı has been considered to be the fact that it has been commenced based on a community-driven approach, through the generation of its own mechanisms and instruments that enable participation and the design of development patterns unique to the local community.

The **other initiatives** in three additional sites, **İçel-Tarsus-Dörtler, Kastamonu-Daday and Niğde-Çiftlik**, were in need of a different level of maintaining and improving the physical and social services as well as of developing sustainable rural development opportunities, due to different rural poverty conditions, settlement patterns and natural resources. Local inhabitants interviewed in Kastamonu-Daday, were observed to be conservative in nature and lacking an entrepreneur attitude. As a local public official had expressed, the pilot site in Niğde-Çiftlik was the "Southeastern region of Central Anatolia" and comprises a poor rural population. Population increase and rural poverty indicators are significantly high. In contrast to other Köykent pilot project sites requiring infrastructural development, local inhabitants and *muhtars* in İçel-Tarsus-Dörtler have expressed the commencement of income generating activities and the creation of employment opportunities as their primary needs. This differentiation appears to be evidence of the diversification of the regional resources, the needs and of the social capital in rural development in Turkey.

As a summary, thus, in the pilot sites of Van-Özalp and Düzce-Kaynaşlı, the regions have been prepared for investment and certain implementations have started through internal funding. On the other hand, in the pilot sites of İçel-Dörtler, Kastamonu-Daday and Niğde-Çiftlik, only pre-feasibility studies have been conducted and project design has not been possible to conduct.

V.3.2.6. Distinctive Aspects of the Proposed Köykent Program

Actually, the latter Köykent Program has been intended to distinquish from other Government programs/projects through the revision and reformulation of the former Köykent initiatives especially in 2000s. As mentioned before, this revision and reformulation has been considered as the **revival period of the Köykent initiative**. During that period, although the following issues, charted in the following diagram, have been planned and have constituted the most **distinctive aspects of the proposed Köykent Program**, most of them have not been implemented or have simply been left incomplete because of the cancellation of the Program.
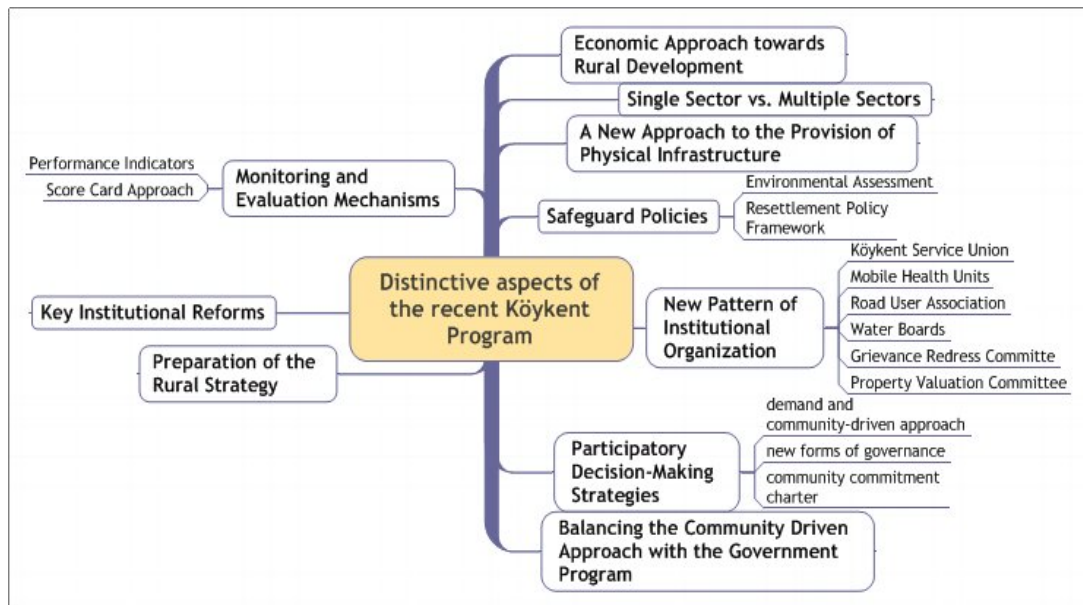
Diagram 45: Distinctive Aspects of the Recent Köykent Program

Economic Approach towards Rural Development: It has been expected that the "economic rationale for investments will be institutionalized through the development of the Köykent Program" *(WB, 2002a)*. In other words, the economic rationale has been intended to be justified by the most efficient use of the resources of the country utilizing cost-benefit and

cause-effect analyses to be used by all agencies involved in the Program. These analyses have enabled the planning of all phyical and social investments in an efficient manner and to extend this experience and knowledge to a country-wide level.

Single Sector vs. Multiple Sectors: Instead of a traditional, single sector program; a community based, multi-sectoral approach has been encouraged in order to create positive externalities and to complement existing sectoral programs and government policies. Although specific components of rural development (such as agricultural extension, small scale irrigation, rural roads and education) might generate benefits to the local inhabitants, the benefits would be limited to a particular sector and a particular target group. *(WB, 2002a)*

A New Approach to the Provision of Physical Infrastructure: Instead of the traditional approach which generates a heavy financial burden on the state budget, a new approach has been adopted towards the maintenance of the services provided by the state *(Özcan, 2002a)*. In that model, villagers are considered the beneficiaries of the services and are expected to bear a certain level of responsibility for the availability of the services. In addition, this new approach contributes to the alleviation of the attitude of expecting everything from the state *(WB, 2002h)*.

Safeguard Policies[61]: The issues of "Environmental Assessment" and "Resettlement Policy Framework" have also been discussed, in order to adress the Program from different aspects. Every effort would be made with the intent to utilize land already available or voluntarily donated to the pilot projects. When the provision and improvement of infrastructure services might require land acquisition and resettlement, a "Resettlement Action Plan" and a "Resettlement Policy Framework" would be taken into account, however it would not be prepared prior to appraisal, since sub-projects would have been defined according to a demand-driven approach. The Policy Framework would ensure that all families affected by the project would share the benefits of the project and would also address their resettlement should need arise. Such need would be addressed with regard to the legal and institutional framework and would take into account principles and objectives, eligibility criteria, entitlements and grievance procedures. *(WB, 2002g)*

Key Institutional Reforms: In the case that the Köykent Program was to be widespread to cover the country, it has been argued that it could have potentially supported certain institutional re-organizations or reforms. For example, the GDRS, as a key coordinating and implementing agency, has long struggled with budgetary constraints, institutional and human

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[61] Safeguard Policies are important instruments utilized by Key World Organizations, applicable to the environmental and settlement issues, regarding environmental assesment, natural habitats, forestry, pest management, cultural property, indigenous peoples, involuntary resettlement etc.

capacity problems; and has successively been subjected to changes in its role, leading even to the termination of its operation. With the help of the Köykent Program, the role and responsiblities of the GDRS might have been reviewed and re-formulated in view of the overall public sector reform in Turkey, by, for example, considering the outsourcing of its construction and maintenance activities and focusing primarily on organizational roles.

A New Pattern of Institutional Organization: Another distinctive aspect of the proposed Köykent Program has been the introduction of a new institututional pattern comprising certain forms of organizations, committees, boards, unions that have been established and operationalized in most of the development projects in various parts of the world. Following are some examples of that pattern;

- Service Unions[62] have already existed in most of the districts in Turkey which have been traditionally headed by the district governor. Their charter has been defined by the Ministry of Interiors. The main purpose has been designated as to provide specific services to the local inhabitants. Had this purpose been reformulated within the objectives of the Köykent Program, the Union would have been modified to meet the needs of the pilot project and would have been called the 'Köykent Service Union'. Its basic functions had been defined as "facilitating interaction among various agencies, monitoring project activities at the local level and report to the central agencies and disseminating information about the project at the local level". *(WB, 2002a)*

- The following new forms of organization have been extensively discussed and proposed as new and additional units to the Program's institutional mechanism: 'Mobile Health Units' to increase access to health care, formation of a 'Road User Association' to ensure the sustainability of roads, formation of 'Water Boards' legally established as non-profit organizations. *(WB, 2002a)*

- The 'Grievance Redress Committe' has been proposed to be established at the district level, with the participation of the GDRS and the council of elders, "to hear the complaints, disagreements and grievances of pilot project affected persons regarding resettlement, including acquisition of land, houses and other assets, and loss of livelihood caused by the project" *(WB, 2002g).*

- The 'Property Valuation Committee' has also been recommended to be established at the district level, "with the participation of GDRS and the council of elders, project affected persons and other local government officials from the respective sub-project, for the purpose of determining replacement value of affected properties" *(WB, 2002g).*

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[62] *The Turkish version is 'Köylere Hizmet Götürme Birliği'.*

The **Protocol Aggreement**[63]**,** in addition to the above institutional organization pattern, has been designed to be signed among all related institutions and agencies to outline their roles and responsibilities. A 'Steering Committee' has also been planned comprising members from the implementing agencies mentioned previously and also with the representatives of the Treasury and the State Planning Organization.

Preparation of the Rural Strategy: As mentioned previously, it has been aimed, through the Köykent Program, to support the development of an integrated rural strategy in Turkey, including the provision of public services and income generation opportunities regarding multiple aspects of the rural economy in an economic and sustainable manner. This target has been materialized through the use of the findings of the studies conducted under the pilot projects, such as the adoption of the least-cost design for villages. *(WB, 2002a)*

Balancing the Community Driven Approach and Community Participation with the Government Program: The Köykent Program has emphasized the need for a 'community driven approach' based on consultation and involvement to ensure successful and sustainable development. Community participation is expected to empower the local inhabitants to manage their own development, which increases the sustainability of the interventions supported under the program. If the community has been engaged in the process right from the initial stages, this approach is expected to enable related institutions and agencies to work in a broader and more comprehensive context to encourage rural development and sustainability.

Participatory Decision-Making Strategies: The approach of the Köykent Program has also been formulated as a **demand-driven approach** by using participatory decision-making strategies and benefiting from **new forms of governance**.

Regarding the community driven approach, social assessment and evaluation have been planned to be conducted to address priorities, demands, needs and the existing problems of the local community. The proposed solutions and alternatives of the communities, as well as their ability and willingness in each Köykent site have been intended to be included in order to materialize their contribution to the project objectives. Special emphasis has also been planned to be placed on gender issues within the social assessment to ensure that the views of women have been incorporated into the project design and implementation. *(WB, 2002b)*

In the process of social assesment, the community has been intended to be engaged in the initial stages of the project through several focus groups, community meetings and household surveys. Under the framewok of participatory approach, almost all stakeholders

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[63] The Turkish expression is *'Mutabakat Zaptı'*.

have participated in the design and identification of priorities of the pilot project sites through various social assesment activities. Although social assessment was planned in each Köykent pilot site it was conducted only in Mesudiye along with two other pilot sites. The first one includes the post-assessment of the Mesudiye Köykent project. The other two assessments were conducted in Düzce-Kaynaşlı and Van-Özalp.

As a result of the social assesments, the **community commitment charter** (CC Charter) had been intended to be prepared for each Köykent site. This charter was planned with the intent to engage the community in the process and to ensure their active participation, consultation and commitments at the local level. This charter has also been intented for indicating that beneficiaries have been consulted in the project design, that they have reviewed the project feasibility studies and have agreed upon the following *(WB, 2002a; 2002b)*;

- identifying priority areas, types and details of the proposed investments (also outlining a plan for land acquisition that would be carried out entirely by the Government of Turkey),

- institutional arrangements at local level for efficient implementation and sustainability of investments,

- willingness-to-pay indicators, as forms of the community's contribution and involvement in those investments, operations and maintenance whether by labour provision, cash contribution or land transfer, voluntarily organized within the community by the councils of elders or muhtars,

- performance indicators to measure the success of Köykent.

The CC Charter has been designed to include all the above issues and was to be signed by the local community (village representatives, the council of elders) and government representatives (the GDRS and the district governor).

Monitoring and Evaluation Mechanisms

- The Score Card Approach has been discussed for use in monitoring the success of the Program from a community perspective. With the use of this approach, the community would continue to have a say in the evaluation of the quality of investments and the progress of the implementation. Score cards have been assumed to constitute a "way of empowering people" to articulate their opinions and to pass them to the attention of relevant stakeholders. *(WB, 2002a)*

- Performance indicators have been designated to measure the success of each component in the Program. It has been decided to define the various indicators using "sector indicators" and "baseline indicators" that would be collected during the social assessment task at each site. *(WB, 2002a)*

V.4. Analysis and Evaluation of the Research Results

The main approach in this thesis has been subjected to an analysis that lies in between a 'rights-based approach' and an 'institutional approach', as stated in previous chapters of the thesis. Therefore, the main discussion in the empirical chapter has been formulated around a proposed program of a '**conceptual shift from governing to governance**', within the context of the evaluation of a rural development experience from Turkey. This chapter concentrates more on the concepts and practices of the recent Köykent Program at the local and national levels, which signify the efforts for the implementation of governance.

In this chapter, issues elaborated on the theoretical and conceptual part of the thesis shall be evaluated and shall be analyzed within the framework of the relation between (sustainable) rural development and governance mechanisms/principles. The analysis has been based on the empirical findings and results; which have particularly focused on the Turkish governance agenda and the Köykent initiative.

The research has been based on the evaluation and analysis of the existing and proposed institutional framework, the stakeholders, the participating procedures, the level of visibility and awareness, the priority needs and the strenghts, weaknesses, opportunities and threats of the process. The issues below have been utilized to highlight the current state and to indicate the future trends of rural development in Turkey, with particular reference to the recent Köykent Program in the revival period. Within the process, there have been certain newly experienced forms of organizations, institutional structures and participatory activities which might all be accepted as '**new forms of governance**' which enable the development of sustainable and innovative policies. Here, rural development is viewed not as a technical or infrastructural provision problem, but as a socio-economic process which is a significant arena for the evaluation of the governance principles.

The following analyses have been conducted to refine, correlate and integrate the research findings with the arguments stated in the theoretical and conceptual part of the thesis;

1. Stakeholder Analysis

2. Institutional Analysis

3. Visibility and Awareness Analysis

4. Needs Assessment

5. SWOT Analysis

V.4.1. Stakeholder Analysis

This chapter elaborates on an evaluation of the **community initiative** and the **influences of the local inhabitants** on the rural policy-making in Turkey through a stakeholder analysis and examination of the participatory activities with reference to the recent Köykent Program.

Interactive civic participation is an important principle but also an aim of governance, at all stages of the process. For that reason, this research has intended to include all the project/program partners designated as stakeholders and thus to improve the understanding of the governance principles, with a special focus on participation and on locally initiated efforts and interactions with the state.

The participatory research is based on the analysis of the roles of stakeholders concentrating on their ways of interactions with respect to the existing institutional framework and their participation procedures – if any. These issues have been addressed to lay out the current state along with the future trends of governance in Turkey, in the area of rural development.

The purpose of participatory activities has been to refine the picture that has emerged from the survey on the Köykent Program, as well as to enhance familiarity with specific aspects of the nature and causes of rural poverty. As a matter of fact, these participatory activities reveal a wide range of the perceptions and expectations of all the stakeholders. Moreover, the participatory activities may prove to be an enabler for rendering governance measurable in the context of rural development experience, in Turkey.

The participatory activities[64] analysed in the thesis have been structured to involve the following stakeholders, presented in diagram 46, in order to construct a strong foundation for the empirical analysis of governance and the implementation of its principles;

1. Those who are directly or indirectly affected or are interested;

- Local inhabitants of different gender, age and vocational group,

- Vulnerable, disadvantaged and marginalized groups,

- People from non-Köykent villages.

2. Those who directly or indirectly affect;

- Proponents, key informants, politicians and decision-makers of the Köykent initiative,

- Local leaders (*muhtars*, people from the village councils of elders along with health and education staff in the villages),

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[64] This categorization has been inspired from two sources;
   1. UNCHS (United Nations Centre for Human Settlements - Habitat), (2001), Tools to Support Participatory Urban Decision Making, p.6.
   2. UNCHS (United Nations Centre for Human Settlements - Habitat), (2002a), The Global Campaign on Urban Governance, Concept Paper, 2nd Edition, p.24.

- Media professionals specializing in the Köykent vision and concepts,

- Private sector representatives at the regional, national and local level,

- Academicians, rural development experts and analysts involved in policy development, trend identification and analysis,

- Representatives of the civil-society institutions.

3. Those who posses information, resources and expertise needed for strategy formulation and implementation and those who control implementation instruments;

- Public sector representatives; managers and public officials (from the central/local administration and local authorities, government institutions, agencies, ministries),

- Representatives of support agencies and finance organizations having specialized expertise.
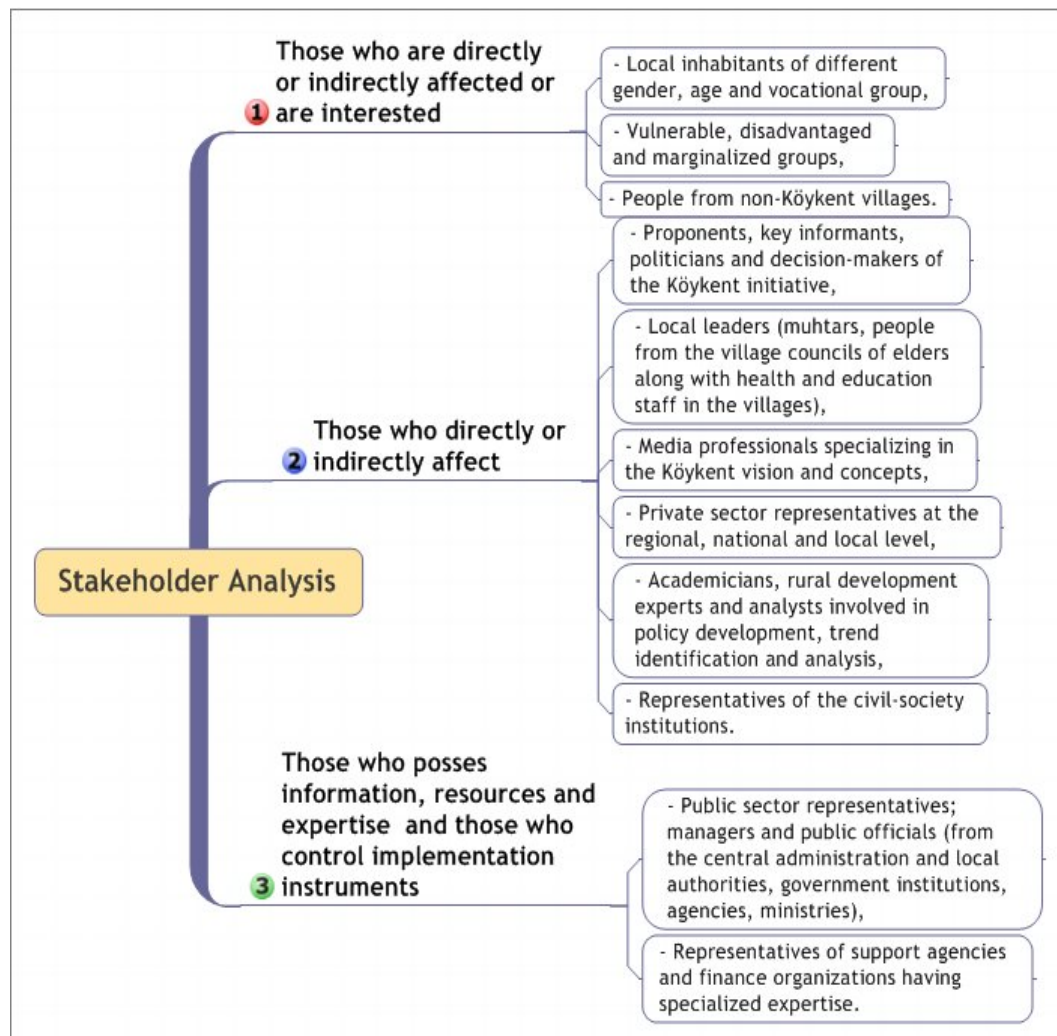
Diagram 46: Stakeholder Analysis

The categorization herewith has been presented in the above structure in order to enable the follow-up of the interviews conducted as part of the research. As a matter of fact, a group may well be included in more than one category. For example, groups affected by the very nature of the process may well be influencing agents at certain levels of the process. The public sector may be a good example of a group whereby it acts as an influencing actor in view of its posession of information and experience, but may well be the influenced part of the same process during the course of events.

Vulnerable groups have been intended to be involved within the project/program design and the participatory framework to incorporate and integrate their problems and views into the process. According to the research results, it is possible to state that the women, the old and the young inhabitants and children in the Köykent pilot project sites have constituted the most vulnerable groups among the others. Women have been considered as having the highest priority within the vulnerable groups in most of the villages, for the reason that they have constituted an important portion of the rural population in their regions, have undertaken tedious rural jobs but have received little or no compensation in return, suffered from total lack of or inefficient family planning and have finally hardly had a say in social life and in public decision-making, with only a few recent exceptions. It has been intended to identify the choices, needs and priorities of women and of other disadvantaged groups in order to integrate these to the project proposals, through focus groups meetings and semi-structured interviews. However, although various activities and measures for vulnerable groups have also been planned, they have again not been sufficiently implemented and materialized.

Despite all the participatory mechanisms and activities planned for implementation in the Köykent pilot project sites, except Düzce-Kaynaşlı and Ordu-Mesudiye to an extent, the inputs for the design of the projects have hardly been obtained at the local level, for the reason that the project design and implementation decisions have been mostly undertaken by central institutions. *Muhtars*, district governors and representatives of the regional/local offices of line ministries and institutions in most Köykent sites have been actively consulted and involved at the initial stages. However, in certain sites, such as in Mesudiye, for example, the final beneficiaries (local inhabitants) have declared that the public meetings have not pleased the different groups in the community and have hardly supported open, reciprocal dialogues. The participation of the vulnerable groups has not been encouraged or facilitated, either, despite all the participatory mechanisms planned in Mesudiye as well as at a nation-wide level. *(WB, 2002d)*

V.4.2. Institutional Analysis

The already existing geographic, economic, social and cultural problems associated with rural areas have combined with problems caused by the form of administration to create a

status in Turkey where the rural area and the rural population have constituted an issue, difficult to resolve *(SPO-Special Expert Commission, 2000a)*. For this reason, institutional organization has constituted an important portion of the development efforts in Turkey.

In conformance to the above statement, a new structure and pattern of organization comprising committees, boards, assemblies and unions that have been established, operationalized and planned/proposed in the recent Köykent Program, has constituted the most important institutional aspect of the revival process.

This chapter presents the institutional frame and the organizational structure of the related public institutions, agencies and organization for the provision, improvement and operation of the investments and services for the rural areas and the rural population in Turkey. The institutional analysis has been intended to examine the administrative and institutional capacity of all related institutions and agencies towards developing innovative and value-added proposals that might be correlated and integrated within the process of public administrative reform in Turkey.

Institutional analysis, as a crucial part of social assessment, has been designed to answer the following questions, whose answers have been explored particularly focusing upon the Köykent Program;

- Which institutions and agencies are responsible for the provision, improvement and operation of the investments and services for the rural areas and for the rural population in Turkey?

- What are their job descriptions and areas of responsibility?

- What are their institutional and administrative capacities?

- Which constraints have infleunced their participation and efficiency within the process?

- What are their relations at various national, regional and local levels?

The following institutions and agencies, charted in the below diagram, have been involved in the Köykent Program to support successful project preparation and implementation, to enable the exchange of views and to ensure the sustainability as well as to fullfill the tasks within their area of responsibility. Those institutions and agencies involved in the Program have also discussed the preparation and implementation of the rural strategy in Turkey.

The **Lead Coordinator:** the Undersecretariat of Prime Ministry (at the initial phase of the revival process) and the Ministry of Forestry, for a short period of time, have been successively replaced by the General Directorate of Rural Affairs. The Prime Ministry, in the beginning of the revival period, with the support of the then Prime Minister Bülent Ecevit and the Democratic Left Party, played the leading role in the Köykent Program. The Prime Ministry initiated the efforts to implement the pilot project in Mesudiye and convinced the

partners of the coalition Government in extending the Program to the other sites. The above have also exerted significant effort on possible means of financial support and technical assistance from the World Bank.
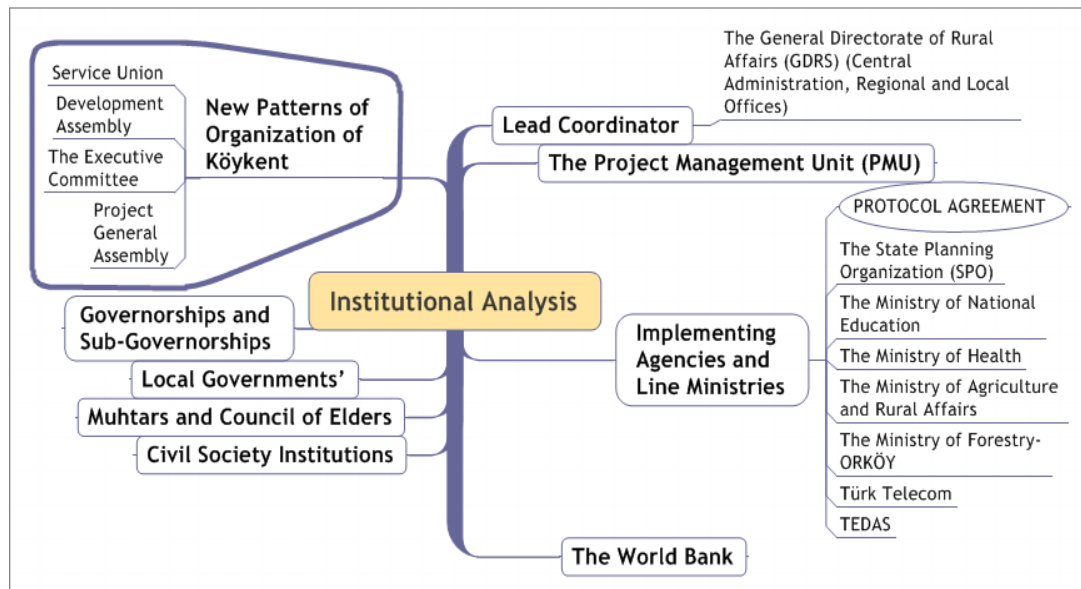
Diagram 47: Institutional Analysis

The **GDRS** has been chosen as the lead and implementing public institution at the central level with the overall responsibility for planning and implementing activities under the Program. The GDRS has been decided to guide, supervise and report the progress of the sub-projects, and to handle all the Program-related issues requiring action and the coordination at the central and local government level.

The **GDRS Regional and Local Offices** have been designated to be responsible for the planning, coordination of field implementation, financial control, information exchange, monitoring and supervision of the implementations.

Implementing Agencies and Line Ministries (The State Planning Organization - SPO, the Ministry of National Education - MoNE, the Ministry of Health, the Ministry of Agriculture and Rural Affairs - MARA, Ministry of Forestry, ORKÖY, Turkish Telecom, the Turkish Electricity Distribution Company-TEDAŞ) have been involved in the process both by the central administration and their regional and local offices.

The **Protocol Aggreement** has been intended to be signed among all related institutions and agencies to outline their roles and responsibilities. A **Steering Committee** has also been planned, comprising members from the implementing agencies and along with the representatives of the Treasury and the State Planning Organization.

The World Bank participated in the Program as a financial institution with the primary role of providing technical assistance in the design, feasibility, implementation and monitoring of the whole Program in the revival period. The Bank has also expressed a high level of expectation from the success of the Program for further adoption of the program as a rural development model in developing countries.

Local Governments have also been included in the Program, however their contribution and participation has not materialized as intended.

Governorships and Sub-Governorships, representing the state in the provinces and in the districts, have been actively involved in the process and have been assigned the responsibility for the general coordination, supervision and planning and social service implementation.

Muhtars **and Village Councils of Elders** have also expressed active interest in participating in the Köykent process in a very active manner.

Civil Society Institutions, on the other hand, had participated in the Köykent process in a limited manner for the reasons of;

- insufficient number and lack of capability of institutions dealing with rural development;

- the lack of support from certain media groups materializing in the form of obscuring public discussion,

- silent acceptance of the project because of its initiation by the Prime Ministry and specifically Prime Minister Bülent Ecevit *(Özcan, 2002b)* and

- out of reluctance to the objection of certain groups to his Köykent approach and political ideology.

The **New Pattern of Organizations** has also included the so called development and general assemblies, executive committes and proposed Köykent Service Unions. **Service Unions**, as mentioned in the chapter on the distinctive aspects of the Köykent Program, have already existed in most of the districts in Turkey. Their main purpose has been to provide specific services to the local inhabitants. Had this purpose been reformulated within the objectives of the Köykent Program, the Union would have been modified to meet the needs of the pilot project and would have been called the "Köykent Service Union" *(WB, 2002a)*. These unions, accepted as democratic structures, may realize a **structural transformation** in rural areas for the widespread of a communal and organized life style. In addition, they may also contribute to the political life of the country. However, this structure creates a challenge related with the main philosophy of governance. That is, an institutional organization promoting local organization and a community driven approach is managed by appointed individuals such as the Governor or the District Governor.

The existence and/or potential of a well organized social structure and institutions have enabled to initiation of the process to secure the implementation of sub-projects, to involve all stakeholders and to ensure the long-term sustainability and success but also to generate an important expectation for enabling the governance mechanisms and principles. For example, in Mesudiye, forms of organizations such as the Köy-Kent Assembly and the Köykent Executive Committee have been accepted as the first important and efficient institutional structures in the Turkish rural development agenda. In Düzce-Kaynaşlı, the 'Köykent Development Project General Assembly', the 'Kaynaşlı Development Association', the 'Kaynaşlı Development Union', 'Village Cooperatives' and the 'Association for Development of Kaynaşlı Health Center', 'Village Meetings' and 'Demonstrative Practices to Encourage Participation' have been accepted as highly interactive formations, working efficiently with the local institutions, which might in turn generate positive externalities for the implementation of governance principles at the local level. *(KDPA-KDA-KDU, 2002)*

At the local level, governors, district governors and local institutions of line ministries have all worked in a close cooperation during the design phase of the sub-projects at the afore-mentioned sites.

In addition to the main institutional structure described above, a **new pattern of organization, newly experienced forms of governance, a new relationship between the state and the society and a number of key institutional reforms** have been the other important circumtances widely debated during the design phase of the Program.

The role of the public institutions proposed for the maintenance and improvement of infrastructure and social services has been summarized in the following table. One of the distinctive aspects of the program, as mentioned before, was that users would pay for the costs of operations and maintenance of such services through the establishment of new mechanisms.

In addition, the integration of the Köykent Program into the Public Investment Program has been an important priority to initiate the process and to secure counterfunds in a timely manner by ensuring the involvement of the above key institutions and agencies. *(WB, 2002a)*

Despite certain **constraints and problems,** exemplified below, in 2002, the Turkish Government has significantly promoted the Köykent Program, which commitment has mainly stemmed from Mr.Bülent Ecevit's adoption of the Köykent vision. Other political parties have prefered to be either neutral or have standed in opposition to the concept and to the most recent Program. Opposition and reactions have been directly/indirectly reflected by certain ministries, agencies and authorities involved in and consulted on the process.

Table 6: Role of Institutions in the Köykent Program

Rural Services	Investment	Operations and Maintenance
Roads	GDRS	GDRS, Proposed Road User Associations
Water	GDRS	GDRS, Proposed Water Boards
Telecommunications	Turkish Telecom	Turkish Telecom
Power	The Turkish Electricity Production Company-TEAŞ / the Turkish Electricity Distribution Company-TEDAŞ	The Turkish Electricity Production Company-TEAŞ / the Turkish Electricity Distribution Company-TEDAŞ
Health	Min.of Health	Min.of Health
Education	Min.of Education	Min.of Education
Irrigation	GDRS / Gen.Directorate for State Water Works	GDRS / Gen.Directorate for State Water Works
Rural Development	Min.of Agriculture and Rural Affairs, GDRS, ORKÖY	Min.of Agriculture and Rural Affairs, GDRS, ORKÖY, Proposed Local Organizations (such as Köykent Service Unions, Köykent Development Associations

Source: *WB, 2002b, p.16.*

At the initial phase of the Program, the decision to assign the Prime Ministry as a lead coordinator has seemed to be useful and an enabling factor in the acceleration of the process. However in the case that it would not be replaced by another agency it would probably generate a potential risk for the implementation of long-term sustainability together with other principles of governance. On the other hand, the lead by the GDRS already burdened with problems of institutional and administrative capacity and the inefficient institutional ownership and commitment, has presented other significant problems for the sustainability criterion.

Almost all stakeholders from the central government, the line ministries and the implementing agencies, their local departments and local communities, with a few exceptions, were actively involved and consulted in literally all phases of the revival process. As mentioned in the distinctive characteristics of the Program in the previous chapter, the State Planning Organization and certain Ministries have expressed certain reactions have not really accepted the implementation of the Köykent Pilot Projects and have cooperated very reluctantly at the initial stages of the Program.

The above reactions have been reflected and exemplified by **public officials** in the following ways and responses;

➢ "Rural development is bound to fail when not organized under the authority of an institution responsible for planning and development Moreover, it would have even fewer chances of success when assigned to an institution such as the GDRS, of which role and budget have been under constant debate."

> "Does this project intend to develop the country or does it serve to upgrade the role of the GDRS?"

> "It seems best not to start at all, since the government will change anyway and the project will eventually be terminated."

> "As long as projects are not dealt with at a watershed level their chance of success is rather low."

It so appears that the main reason for the opposition of the said institutions and agencies to have stemmed from their reaction to not having been included within the process right from the beginning, or that their not having been assigned coordination and/or technical advisory roles. These have suggested that priority should have been given to simpler formulations such as irrigation projects, or to projects/programs arising from other political origins, and have severely criticized the focus to the Köykent program. Naturally, their negative reactions have stemmed from the political incentives and choices of their senior leadership and the public officials within the institutions. Later, with the change of the government leadership, their reactions have become much more profound.

The government formed in 2002, by a newly-formed political party not having sufficient bureaucratic experience, has chosen to disregard developments throughout the process and to drop the implementation of the Köykent Program and to exclude the initiative from the investment program. At this point, a change of name –identified with a political party- for the Program along with a redesign of its content has been proposed to the new government by senior public officials, technicians and politicians but also by the World Bank. However, the new government has insisted to cancel the implementation of the program and has turned down the reformulation request of the World Bank.

<div align="center">***</div>

Actually, as mentioned previously, it has been argued that in the case that the Köykent Program was to be extended to national coverage, it could have potentially supported certain **institutional re-organizations** or **reforms**. For example, with the help of the Köykent Program, the role and responsiblities of the GDRS might have been reviewed and re-formulated in view of the overall public sector reform in Turkey. For example, the outsourcing of its construction and maintenance activities might allow the institution to focus primarily on organizational roles.

With reference to the Köykent Program and especially in view of the observations made within the GDRS and the implementing ministries it can be asserted that the Turkish public administration has long been in the need of a major restructuring and transformation process. The basic properties of this process comprise the following main arguments, also contained within the new draft law on Public Administration, and appear to need urgent addressing;

- The central administrations and the regional/local offices of many central public institutions need to be downsized or closed.

- The authorities of these institutions, within the framework of the decentralization policy, need to be transferred to or distributed among corresponding local authorities. Parallel to decentralization, the institutional capacity of local institutions should be developed to support locality.

- Participatory and sustainable decision-making mechanisms need to be established through the establishment of regional development agencies[65] or local development units.

The above suggestions may prove to be of support to the active and efficient functioning of public administration and its coexistence with the other social partners. The afore-mentioned constitute only some of the issues that need to be addressed regarding public administration and from the governance perspective. As a matter of fact, there exist the need to examine the Turkish public administration practice as a whole, in view of the governance principles and mechanisms discussed in the theoretical part of the thesis. However this matter is of adequate breadth in its own right and exceeds the scope and the priorities of this thesis.

V.4.3. Visibility and Awareness Analysis

Visibility and awareness analysis, objectives, incentives and outputs summarized in diagram 48, has been conducted to assess the level of awareness and the perception of the stakeholders about the Köykent Program/Projects through the following questions;

- How much do you know about the project, or the name/concept of Köykent?

- What does Köykent mean to you?

The visibilty and awareness analysis has also had another objective; to analyse the implementation of good governance through the examination of the changing relationship between the state and the society and the analysis of the involvement of the community.

Earlier Köykent initiatives started in the 1970s have been interrupted several times and have been left incomplete. Therefore, most of the local inhabitants have been disappointed from the efforts and initiatives in addressing the needs and problems of the rural population. For example, in Van-Özalp, the community has been significantly skeptical of the revival of the concept and the recent developments.

In addition, there have existed a great level of disparity between the Köykent objectives and the expectations of the potential beneficiaries. The main goal of the recent Köykent Program

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[65] The establishment of regional development agencies is accepted as an important priority required for the harmonization of agricultural and rural development policies with the *acquis communautaire* within the accession process to the EU.

has been defined as to provide sustainable rural communities through the provision and/or improvement of basic phyical and social infrastructures, alongside income generation activities. However, most of the local inhabitants in the pilot sites have tended to bear more tangible expectations, such as physical and short term results that would have direct impact on their daily lives or their incomes. For example, they have anticipated the construction of new housing or the rehabilitation of their surroundings. They have also assumed that their villages would be equipped with facilities similar to those in urban areas.
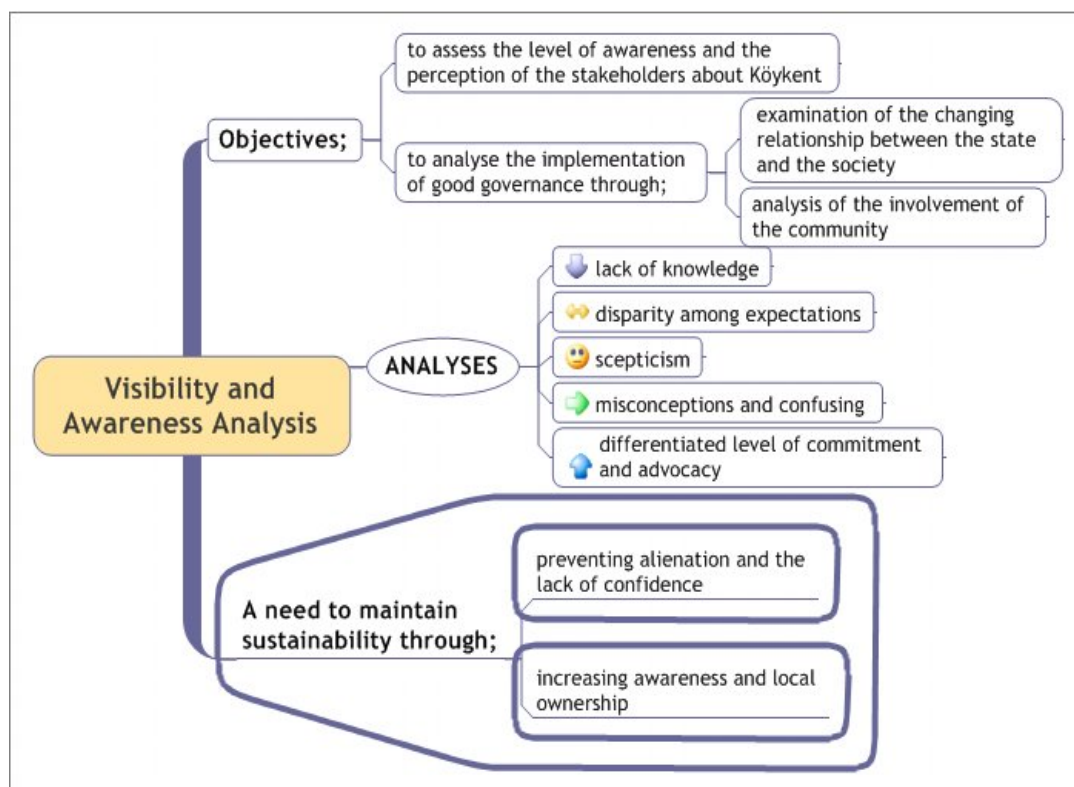
Diagram 48: Visibility and Awareness Analysis

In fact, the majority of the local inhabitants and the other local beneficiaries, (such as the public officials in the regional/local offices of the ministries and institutions) have not been convinced on the direct influence of the community-driven approach and of the participatory activities. They were simply not able to realize that their needs, priorities and feedback have been integrated into the process and were deemed valuable for the design of the projects. The reason for this has been that various past meetings and site visits by the Köykent proponents, politicians and technicians had essentially left them uninformed about the process and had resulted in irrelevant outcomes.

According to the results of the visibility and awareness analysis, Köykent has been misinterpreted in many areas. Local inhabitants have come to expect that every request and need was to be supplied by the state. Accordingly, in local feasibility studies, every possible kind of need and/or request has been put forth by local inhabitants, including cash payment.

According to another analysis result, although **Van-Özalp** is the oldest pilot project site initiated in the 1970s and selected again in the revival of the Köykent Program, only 10 percent of the villagers in Özalp Köykent villages were well informed on the project. One-third of the villagers were found to be totally unaware and the other one-third were moderately informed about the Project. Most women would know nothing about the project other than its name, while men have considered it as the delivery of physical infrastructure. Younger inhabitants were observed to be more informed than the elderly. In addition, two-thirds of the Köykent villagers were not invited to any facility or meeting related with the Köykent Project. *(Özcan, 2002c)*

In the Özalp Köykent site, the limited knowledge and awareness about the Köykent idea and the context of the project were apparently stemming mainly out of frustration towards previous implementations or unfulfilled promises. This can be considered as the most important factor causing the decrease in the level of local interest, participation and ownership.

In **Düzce-Kaynaşlı**, nearly half of the Köykent villagers have had an average level of information about the Köykent Project. 20 percent were very knowledgeable and 24.5 percent had little information. Almost 79 percent of the villagers were invited to the facilities or meetings related with the Köykent Project. *(Özcan, 2002b)*

However, the afore-mentioned level of information has been relatively limited for this site for the reason that a considerable amount of meetings, organizations and works regarding the project had been conducted.

To sum up, the levels of awareness on the Köykent concept have varied among the pilot project sites. Most of the **local inhabitants** have reportedly considered the Köykent concept and project as;

> ➤ "construction of a building in the entrance of the village",
>
> ➤ "establishment of a factory/factories/industrial area to support employment",
>
> ➤ "issuing of titles/deeds",
>
> ➤ "establishment of stockbreeding",
>
> ➤ "road construction",
>
> ➤ "construction of new housing",
>
> ➤ "provision of urban facilities (cinema, theatre, sports etc.)",

➢ "support of family planning (especially according to the women's view)".

The above issues present evidence as to the misconceptions and the lack of knowledge of the local inhabitants, but may also considered indication on their hopes, demands and expectations from the projects. Another important argument regarding the the above misconceptions is that in the case that a project/program utilizes the same name as its past versions -regardless of its renewed vision and differentiated components- the majority of the community can be expected to misunderstand or confuse the essence of the project. This appears to stem from the lack of effective information dissemination or communication mechanisms. As a matter of fact, the name has been formulated with reference to the needs of the 1970s and is naturally not expected to meet contemporary circumstances.

On another issue, there has been considerable decrease in the confidence felt towards public institutions, politicians and accordingly to experts visiting for any project or development effort. In particular, the level of commitment and advocacy on the Köykent concept and vision appears to have dramatically diminished for the following reasons;

• projects left incomplete or implementation was interrupted,

• irrelevant site visits by the different stakeholders, site visits were conducted mainly for the political benefits especially by politicians,

• influences of clientalism and patronage relations,

• lack of an information and communication strategy[64] which have been planned, although not implemented within the the recent Köykent Program.

The above reasons have been reflected and exemplified by the local inhabitants in the following ways and responses;

➢ "All activity will be in the central village, we will have no benefit, since they have relatives in Ankara." (Villager from Van-Özalp)

➢ "Everything will be done for men, not for women. Us, the women, once again have nothing and we are disappointed." (Female villager from Kastamonu-Daday)

➢ "The government is naturally responsible for the provision and improvement of basic infrastructures. Why the need for Köykent?" (Villager from İçel-Dörtler)

➢ "New things mean new problems." (Villager from Van-Özalp)

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[64] The Communication strategy was to target and inform the broader community, the decision-makers and civil society institutions; to provide beneficiaries with initial information and regular updates on the status of the Project/Program. *(WB, 2002a)*

➢ "We are sure that when you leave you will forget your promises and nothing will come to us." (Villager from Van-Özalp)

➢ "We have what we need." (Villager from Van-Özalp)

➢ "You may not receive easy answers to your questions. You will experience the discretion of the citizens during your site visits." (Public official from Özalp district)

➢ "The factory that was set up here was supposed to employ 150 people. So far only 7-8 from this village are employed and even those are not paid regularly." (Villager from Ordu-Mesudiye) *(Lemel, 2002, p.12)*

➢ "They call us Köykent *muhtars*. The locals will not believe in us any more; we've become liars talking this over and over. Everybody comes here telling they'll do this and that and then leaves." (*Muhtars* from Van-Özalp)

➢ "Some people came and gave us some information, and raised our hopes, but there's still nothing at sight." (*Muhtar* from Düzce-Kaynaşlı)

➢ "We are being told that we're in Köykent for the last 3 years, but we have yet to see anything. Even when we apply for the construction of a fountain they tell us that we're inside a Köykent site and that they can do nothing about it." (Villager from Düzce-Kaynaşlı)

The above commentaries have underlined the need to inform the community and to make a clear-cut distinction from past initiatives and to update the recent Köykent program in order to make possible for stakeholders to conceptualize its vision and components. Another important argument that may be derived from the above issues is that a community driven approach and participatory mechanisms are important instruments to involve and consult all stakeholders both in the decision-making and in the design and analysis of the project priorities. This should prevent alienation and the lack of confidence in the process, should increase awareness and local ownership and should help maintain the sustainability of the investments.

V.4.4. Needs Assessment[65]

Needs assessment, as an important and integral part of the research, summarized in diagram 49, has been carried out to examine the different values, images, needs, demands and problems of the local inhabitants, to evaulate their expectations from the Köykent Program and accordingly to design and integrate the pilot projects with regard to local priorities.

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[65] The detailed overview of the results of the need assessment in Köykent pilot sites is presented in previous a chapter, namely 'Recent Initiatives'.

Need assessment has been conducted in two Köykent sites, Van-Özalp and Düzce-Kaynaşlı, where the pilot projects have been designed, but not implemented for reasons mentioned in the previous chapters. Related government agencies, their local offices and the Köykent Project Management Unit have worked in close cooperation in these two sites with the assistance of the World Bank.
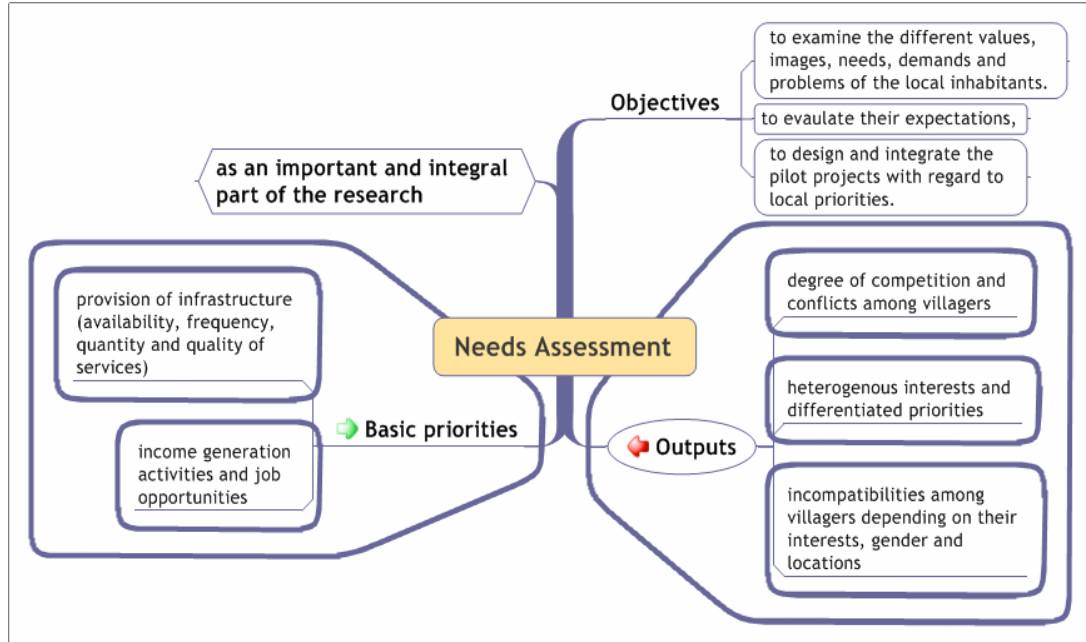
Diagram 49: Needs Assessment

However, the selection of certain areas as Köykent pilot projects and the decision of allocating services to clusters of villages have generated some degree of competition and conflicts among villages.

Within the framework of the research, the opinions of the local inhabitants and of local key informants were asked on their current needs and preferences, along with the priority issues in terms of both physical investment and socio-economic opportunities. Semi-structured interviews have given an idea of how people see themselves today and what they expect from the projects. Local inhabitants have also expressed their views on what is their exact living condition when compared with the other people living in the surroundings and the country. Those views have been considered of high value, for the reason that, as *Appleyard (1976, p.67)* states "...devices for achieving desired community identity depend on what a community wants".

In accordance with the results of the social assessment, there exist heterogenous interests and differentiated priorities stemming from differences in the backgrounds. In other words, the Köykent initiatives have resulted in different expectations and hopes that have generated

incompatibilites among people depending on their interests, gender, village locations and on the attribute of being permanent or temporary village residents.

The results of the needs assessment have pointed out the basic priorities as regards the provision of infrastructure. In Düzce-Kaynaşlı, the highest-priority need has been expressed as being roads while for Van-Özalp it was drinking water. In Düzce-Kaynaşlı, geographical conditions have mainly resulted in poor road conditions and transportation difficulties. In Van-Özalp, only a limited number of rural households have access to adequate supply of clean drinking water which generates important problems for the health of the community as well as difficulties for agricultural productivity.

Research results have also shown that a significant level of poverty existed at certain areas of the pilot Köykent sites. The rural population in those areas has suffered from serious socio-economic and area-specific local problems, presented below *(WB, 2002a and 2002b)*;

- One of the most critical problems has been stated as being the physical access to neighbouring villages, districts or towns and to local/regional markets. Geographical and climatic difficulties, poor road conditions and transportation facilities have resulted in limited physical access to the surroundings, isolation of the communities (due to poor weather conditions especially in winter time).

- The difficulties mentioned above have severely influenced the provision of physical and social services, mainly of education and health. Delivery of basic infrastructure services – water supply, wastewater, small scale irrigation, power and telecommunications have not satisfied the needs of the local inhabitants.

- Inadequate and inefficient basic infrastructure services have influenced the income generation activities as well. The rural population has suffered from the constraints of the provision of irrigation water as they have had limited sources to develop small irrigation schemes or the modern technology and know how to increase agricultural productivity.

- The level of attainment in education and access to health care have constituted the other serious problems in the Köykent sites. There has been a problem of access to primary or secondary schools due to geographical and climatic conditions and lack of transportation facilities. However, the main problems arise not only from poor conditions, insufficient provision or improvement; but also from insufficient institutional capacity and from the continuity problem of the health and education staff. Problems have thus arisen from both qualitative and quantitative issues.

- As stated by the public officials of district directorates of the line ministries, the main source of the educational and health problems have been highly correlated with the difficulties to access to the services and poor condition of service provision especially regarding under-staffed and under-equipped health and education facilities and structures. In addition, healthcare and education staff has been difficult to sustain in

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certain regions due to difficult living conditions in the villages and no compensation. These circumstances have been expressed in the following during the site visits:

> ➢ "We do not blame the teachers and midwives leaving the village. If they have better alternatives, why should they endure these circumstances." (Public official from Özalp)

> ➢ "This is supposed to be a school lodging but is unfortunately used as an animal shelter." (Villager from Özalp Köykent site)

> ➢ "The health center was recently repaired but remains empty bacause of no midwife or healthcare personnel." (Villager from Özalp Köykent site)

- Low level of community participation and poor transportation have resulted in limited and inefficient production and marketing.

- There have been wide differences among the Köykent pilot projects sites in terms of community initiatives and efforts which might generate positive externalities for the future of the social and economic life. For example, in Van-Özalp, the village Dönerdere (moved in 1970s from the Black Sea Region) is completely different from the other villages in the area. The reason being that villagers have created their own opportunities and have solved important problems by themselves thanks to a high level of community interaction and effort that has accompanied the state assistance.

It turns out, thus, that the availability, frequency, quantity and quality of services have constituted the main problems prohibiting development in the Köykent pilot project sites.

V.4.5. SWOT Analysis

A SWOT analysis has been carried out to investigate the main incentives, opportunities and basic premises as well as challenges, presented in the following table, within the decision-making and implementation stages of the Köykent evolution process.

Table 7: SWOT Analysis of the Köykent Recent Initiatives

Strengths	Weaknesses
* recent institutional restructuring movements and reforms, * developing institutional and administrative capacity of the state structure and decentralization, * relatively increasing activism of the civil society, * increasing dynamism in the private sector and productivity in rural development and environmental sectors, * new patterns of organization and newly experienced forms of governance approaches, * new relationships between the state and the society especially in the area of rural development, * recent tendency for a multi-sectoral approach in the area of rural development, * balancing the community driven approach and community participation with the government program.	* lack of local ownership by the beneficiaries, * lack of institutional commitment by the implementing agencies, * unequal social and economic development and disparities in income distribution among the pilot project sites, * population and demographic problems (migration of young population, depopulation), * poor physical and social infrastructure, * low educational level and unskilled labor force, * high rate of illiterate women, * ongoing problems of vulnerable groups, * insufficient local organization, * inefficient networks between rural areas and local/regional markets.
Opportunities	Threats
* sufficient and dynamic human capacity if well educated and efficiently utilized, * harmonization of agricultural and rural development policies with the acquis communautaire within the accession process to the EU, * various local potentials for tourism, agriculture and income generation, * highly differentiated context of the recent Köykent Program (even replicable for further approaches and implications).	* potentials risks for sustainability, * lack of knowledge and misconceptions about the Köykent concept and the components, * poor level of community commitment and integration, * economic fluctuations and political instability, * risks of loosing political support provided by the government, * widespread and serious objections both in central and local levels.

V.5. Concluding Remarks of the Research

V.5.1. Evaluation of Subject-Specific Circumstances

This chapter, contains a critical evaluation of the Köykent experience with reference to the basic theoretical discussions and principles of governance, mentioned in the previous chapters of the thesis. Evidently, while some governance principles have been achieved, others have involved serious distress and conflict along the process.

The evolution background and process of the Köykent initiatives presents a proper arena for gaining an understanding of the governance framework. The most important **criteria that differentiate the Köykent experience** from other development initiatives and single-sided service delivery activities of the state are the recently established and implemented governance mechanisms for which the indirect implementation and ways of materializing can be observed in the recent Köykent program. As a matter of fact, the mechanisms and principles mentioned constitute the factors directly affecting the success of the programs/projects and have been introduced into the agenda of Turkey especially after the 1990s.

The following evaluation and analysis of the Köykent experience with reference to the governance principles may also be used to address certain recommendations for the subject area.

1. Rule of Law

The Köykent vision conceptualizes a new form of rural entity comprising a group of villages. This entity, carrying no legal status, has also had an indefinite institutional and organizational structure. However, when equipped with a suitable legal status, it may easily be used to answer the questions of 'how to share institutional and legal responsibilities' and 'how to develop financial and legal prospects for similar future initiatives'.

The encouragement of groups of villlages to form a legal entity under the name of an association, a union, a cooperative or a foundation to represent their interests and possible ways of solutions has been accepted as an important attempt for the rule of law as well as for long-term sustainability. The establishment of an entity might also facilitate contracting and fund-raising for communal services *(Lemel, 2002)*.

2. Accountability and Transparency

Although the selection of the pilot areas under the Program has been designed to be conducted in a strategic, consistent and transparent manner; lobbying, contacts with the senior bureaucracy, political preferences of the central authority, patronage relations and communication with individuals originating from the pilot sites have unfortunately influenced the process.

Most of the stakeholders have been disappointed and sceptical about the efforts and initiatives of Köykent in addressing the needs and problems of the rural population; for the reason that there have been misconceptions, lack of knowledge and a considerable amount of decrease in the confidence felt towards public institutions. As a result, particularly the level of commitment and advocacy of the Köykent concept and vision have diminished dramatically. Therefore, need has arisen to inform the community on the clear-cut division between past initiatives and to update the recent Köykent program to conceptualize its new vision and components. Such an action would enable the prevention of alienation and the

lack of confidence towards the process, and would increase the awareness and the level of local ownership and would help maintain the sustainability of the investments.

3. Efficiency

The recent Köykent Program has shown that the issue of efficiency is especially important in examining the recently experienced institutional mechanisms and the interaction between the state and the society. Efficiency, along with the other principles of governance, the rule of law, accountability and transparency constitutes the key points that are expected to help strengthen the credibility and legitimacy of the public sector a notion unfortunately not realized within the Köykent framework.

4. Equity

Geographic, natural and socio-economic differences and inequality of the income distribution have generated certain exclusion problems and difficulties for the poor rural population, issues which have not been solved by the Köykent initiatives, either. Those problems and difficulties have been more serious especially for vulnerable groups because of their not having a voice in community decisions and not being able to adequately benefit from the investment related to local development.

Under the general framework of the Program, investments in sub-sectors have been designed to improve social inclusion and equity through certain mitigating measures, such as "increasing female education opportunities", "treating women farmers as priority clients for extension staff" and "piloting rural road maintenance projects to provide low income job opportunities within the community" etc. *(WB, 2002a)*

Examples of gender-balanced approaches, as in the above paragraph, have been planned in the Köykent pilot projects to give a meaningful and active voice to women and help in preventing social exclusion, but nevertheless not implemented.

5. Subsidiarity / Decentralization

The initial design of the Köykent Program was mostly realized by the state, a fact that by itself constitutes a great challenge for the concept of governance and for the transfer of governance mechanisms into practice.

The first dimension of subsidiarity, the transfer of power from the central to the local governments, has not been possible to implement during the process, for the reason that the decision to initiate the pilot projects was taken by the central government and the prerequisite conditions that are necessary for materializing subsidiarity were not introduced in the Turkish public administration agenda at that time.

The second dimension of subsidiarity, the decentralization of strengthened local community power has not been operationalized, either.

Actually, it is possible to assert for most decentralization cases that, local governments are better equipped than their central counterparts to take local development decisions, to allocate public resources across community groups and to assure long-term sustainability. However, in Turkey, the 'Draft Proposal on Local Government Law and Regulations' which has actually concentrated on capacity building and various reforms has not been enacted as of the time of writing of this thesis.

6. Enablement and Capacity Building

In accordance with the meaning of enablement which requires empowerment of all related actors, the recent Köykent Program can be accepted as a step to raise awareness about (sustainable) rural development strategies and principles in different parts of the country for the sake of different stakeholders.

Actually, the Köykent initiatives have supported institutional capacity-building in constructing a concrete base for a well-organized community and a healthy public sector. Afore-mentioned mechanisms of the recent Köykent program have also presented alternative ways of encouraging empowerment of local communities in designating their needs, benefiting from the community will and their ability for finding solutions for various problems under the working framework of a rural development project.

7. Partnership

Partnership and participation, recognized as two popular concepts in the Köykent process, have implied various meanings, such as the contribution of local inhabitants to the construction and maintenance cost of services, or the privatization and outsourcing of such services. All these issues have become important issues for the implementation of good governance in the area of reduction of rural poverty.

One important requirement for the success of the Program has been assumed to be an effective cooperation and coordination among various institutions/agencies and stakeholders at all stages of the process including decision-making, design, implementation as well as monitoring and evaluation.

The community-driven approach and multi-component structure of the recent Köykent Program has enabled institutions/agencies to work in a broader context and to collaborate in a comprehensive manner, but has been attempted only during the initial stages. In short, the sustainability of institutional coexistence and cooperation has not been achieved, for the reason that often the roles of the institutions have coincided and certain senior public officials of such institutions have reflected their different political preferences on the process. All these issues have generated incompatibilities and institutional competition.

Local leaders and local organizations, except for a few cases (those active in Düzce-Kaynaşlı and İçel-Tarsus-Dörtler), have not been interactive and well-equipped/prepared

enough to support the participatory and engagement activities, to influence public officials and to operationalize local sources.

The concepts of local partnership and commitment, which have been assumed to strenghten the local community to manage their own development, have been very effective and powerfull at the initial stages only in some of the pilot project sites. However, both partnership and commitment, unlike the initial stages, have drastically reduced in level along the process.

8. Participation and Civic Engagement

In the Köykent Program, the participation and civic engagement of various stakeholders and beneficiaries (especially local inhabitants) has been assumed to have direct influences on the success of the project and on sustainability. In general, there has been a strong relation between sustainability and the participation of target groups in any project. As stated by *Saltık (2002)*, **participation** and **sustainability** are the basic indicators that differentiate a development project from a human aid project which can be characterized by the one-way service provision attribute.

It has been assumed that if the Program activities are carried out with the agreement, participation and a strong level of ownership by the stakeholders, program objectives ought to be met. However, to ensure ownership and sustainability, local inhabitants should be both able and willing to cooperate. This cooperation should be supported by certain mechanisms, forms and instruments of the organizations mentioned in the chapter regarding the distinctive aspects of the Program, such as needs and social assessment, gender-balanced approaches, the community commitment charter, community score cards, service unions, water boards, road user associations etc. *(WB, 2002a)*

In fact, in certain pilot project sites, at the beginning of the Köykent Program, the local community has expressed a greater willingness to contribute to the construction and maintenance of the infrastucture to be provided by the pilot project through several collaborative activities and through collective labor. Should it be possible to retain collaboration and the contribution of the human factor at later stages, it should be possible to construct an important basis for activating the social capital in terms of rural development objectives as regards the sharing of knowledge, coordination and joint decision-making.

Although during the design and preparation phases of the recent Köykent Program, several attempts have been made to collaborate with local and international civil society institutions to discuss the basic rural development issues, the local priorities and the pilot project components, this attempt did not yield sufficient results owing to the strong tradition of central decision-making and the lack of national, regional and local communication activity. Only in certain pilot project sites, Kaynaşlı for example, the national and international NGOs have started to work.

Conflict and competition has existed among villagers, to some degree, due to the selection of such areas as a Köykent pilot project and the decision of allocating certain services to such clustering villages. The conflicts and the competition have created obstacles before the local participatory activities in the Köykent initiatives.

Muhtars, district governors and representatives of the regional/local offices of the line ministries and institutions have been more actively consulted and involved in the process when compared to the level of participation of the local inhabitants from the cluster villages and the vulnerable groups. The main incentive for consulting the final beneficiaries in a less favourable manner stems from the nature of the initial planning and decision making process of the Köykent program which has been basically conducted at the central administration level and conflicted with the nature of governance.

9. Monitoring and Assesment

Certain monitoring mechanisms (community commitment charter, community score cards, certain boards and committees) and performance assesment indicators for different components in each Köykent pilot project site, mentioned in previous chapters, were developed for the successive stages of the Program in accordance with the results of the social assesment.

The afore-mentioned mechanisms and assessment indicators may prove helpful in monitoring the success of the program from a community perspective, in obtaining feedback and in integrating the feedback with the project objectives and in contributing to the empowerment of people by presenting them with a chance to bring their opinions to the attention of stakeholders responsible for addressing them *(WB, 2002a).* However, most of them, despite all the preparatory planning activities, have not been possible perform.

10. Sustainability

In addition to the general meaning of sustainability mentioned in the previous theoretical chapter, there has been a globally consented strong relation between governance and sustainability. This relation might be examined by focusing on the following issues.

As stated by *Saltık (2002)*, there are three stages to achieve the sustainability of a project;

> "1. 'Service delivery' where external support is of primary importance, 2. 'capacity building' where activities involving education and organization are implemented in a more frequent widespread manner 3. 'empowerment' where external support and project management functions are gradually phased out, and the authorities and responsibilites are started to be transferred to the target groups." *(quoted from SDC, Sustainability of Development Projects, Working Documents, Bern, 1992; by Saltık, 2002)*

Under these circumstances, when the Köykent Program, as a whole, along with the pilot project planning and the implications in the Mesudiye Project are evaluated, the following sustainability issues seem to have arised. While basic physical and social infrastructure

investment has been commenced by the state, and although the instruments to incubate the transition to the capacity building and empowerment stages were planned, the transition to these final two stages has not been achieved.

Financial viability, as an important aspect of sustainability, has been debated in order to construct certain mechanisms to maintain and to sustain project activities and to signify community contributions.

Sustainability in development programs and projects can be described, in its most general meaning, as the continuation, by the local beneficiaries, of the activities commenced at the project implementation phase and advanced to a certain level, after the conclusion of a development project; that is, after the project implementation group (i.e. the state, the administration, the technical team, the financial institutions) has retreated. What appears important in this context is the preparation of the financial, administrative and organizational conditions for the continuation of the activities started during the project after the closing of the project as well. *(quoted from CIP and SDC: Process Monitoring for Improving Sustainability, 1999; by Saltık, 2002)*

Within that framework, the most important condition to ensure financial viability is that communities should be able and willing to work together and demonstrate a willingness to contribute to a proportion of the costs. However, in most of the Köykent pilot project sites, local inhabitants have tended to be either neutral or have opposed this approach because of difficulties stemming from rural poverty as well as scepticism and misconceptions about the Köykent initiatives.

The Relation with the institutional structure, the long term strategy and the legal framework have constituted important aspects of sustainability. Those issues have also signified spill-over effects and benefits of the program/project to the other areas and/or sectors so that both might be called as issues of external sustainability.

At the initial phase of the Program, the decision to choose the Prime Ministry as a lead coordinator has seemed a useful and enabling factor to accelerate the process. However if not replaced by another agency this choice should be expected to generate a potential risk for the implementation of long-term sustainability along with the other principles of governance. On the other hand, the GDRS along with the problems of institutional and administrative capacity and the inefficient institutional ownership and commitment has presented another significant problem for sustainability, for the reason of insufficient institutional ownership.

As stated by the World Bank's Draft Report on Community Driven Development,

> "…scaling up any development project requires that polical and administrative leaders and managers articulate long term policy and legal framework with the project objectives. Validity and relevance of the project objectives highly depend on this relation." *(WB, 2002j, p.2)*

Under these circumstances, the Köykent program has attempted to develop a plan to be integrated with the long-term rural development strategy (which was assumed as inexistent/insufficient in the time of writing of the thesis) and to be complemented with the ongoing reforms and institutional re-organizations in various sectors, such as agriculture, health, education, social development and protection. It has been assumed that the afore-mentioned rural development strategy supports the process of harmonization of the rural sector to the EU acquis as well as the creation of a competitive environment. It is possible to consider that addressing multiple sectors at the same time might encourage the construction of a strong foundation for benefiting from positive externalities. However, with the cancellation decision of the Köykent Program, all the plans of the Köykent within these frameworks have been left incomplete and obsolete.

Various **environmental and social factors** have been highlighted in order to develop certain safeguard policies and mitigating measures as an integral part of the Köykent Program.

Social mobilization and the organizational capacity of the local community groups are critical for succesful community driven development approaches for the reason that the ability to organize, network with others inside and outside the community might leverage resources to achieve shared goals and to resolve conflicts. *(WB, 2002j, p.2)*

The current structures of the service unions, cooperatives, foundations, village associations have been accepted as being sufficient by certain groups of people within the Köykent initiatives, while others have stressed the need to form a legal entity to designate institutional and legal responsibilities and to develop financial and legal prospects for similar future initiatives.

Demand-based and community driven approaches which have been significantly utilized in the Köykent initiatives and expressed in a clear way in the previous chapters, constitute key instruments of long-term sustainability.

Sustainable outcomes and long-term sustainability objectives can only be achieved if the community and all the related stakeholders are involved in an active and responsible way during all phases of the program/project. When participation extends to all project phases from inception to monitoring and evaluation, various stakeholders can extend their opinions and views to be actively identified and sufficiently represented. This involvement ensures an increasing ownership of the Program both at the local, the institutional and decision-making level.

Actually, target groups in the Köykent Program were intended to be involved; nonetheless, implementing agencies and ministries had demonstrated insufficient institutional ownership and provided but poor support facts which have constituted the most important reasons of having obstructed sustainability and also the main cause of the cancellation of the Program.

The disappointment generated by inefficient and incomplete efforts within the Köykent initiatives has unfortunately reproduced insufficient commitment, poor level of local ownership and loyalty. This has also affected the sustainability of the Program, as well. For example, the level of disappointment was reflected in the parliamentary election in 2002 to the extent that especially in the Çavdar village in Mesudiye (central village in the cluster), villagers, even the local inhabitants, did not vote for the Democratic Left Party which has had a key role in initiating the Köykent Project in Mesudiye.

Political and economic circumstances can be considered as the other crucial factors of sustainability. The climate of political instability, enhanced by the change of government in November 2002, also the revival period of the recent Köykent Program, has also constituted a major cause of the cancellation of the Program.

Interestingly enough, strong political will and support at the beginning of the 2000s, considered to be a 'nourishing factor' in the acceleration and implementation the Program, have generated a critical and unmanageable risk afterwards. So, ironically, while the reduction of rural poverty and development had been stated as basic objectives of the contemporary Turkish Government in 2002, the Köykent Program was put on hold and subsequently, was cancelled out of lack of political support.

Implementation risks might occur in such types of multi-component, multi-agency and multi-sector programs/projects which possibly result in time delays, slow implementation rates and operational troubles in the effort to meet the project objectives. Although various forecasts and measures had been identified within the scope of the recent Köykent Program, need for none of them has arised since the project has been cancelled.

In short, as can be seen from the above discussions, sustainability, as a strategic principle of governance, has gained increasing importance in the rural development literature. It also appears difficult to forecast and to measure the relation between governance and sustainability without examining all the above issues that have influenced the process.

V.5.2. A Critical Review and Evaluation of the General Framework

In accordance with the research results, it is possible to consider the Köykent Program as an important rural development initiative in Turkey which reflects implementations of **newly experienced forms of governance approaches** and **new relationships between the state and the society** through mutual interaction, with the ultimate goal of rural development and poverty reduction. The afore-mentioned pattern of new relationship has enabled the understanding of the changing roles of the public and private sector and the civil society.

Köykent has started as an initiative and has re-surfaced as a project/program. Although its content and its approaches have shown variations over time, its core vision and potential deem it possible that it may be utilized again, in the future, as a model.

In short, the whole process of the Köykent initiatives both in the past and during the revival period, presented in the diagram below, has constituted not only procedures of a project or a program, but instead an **evolutionary process**.
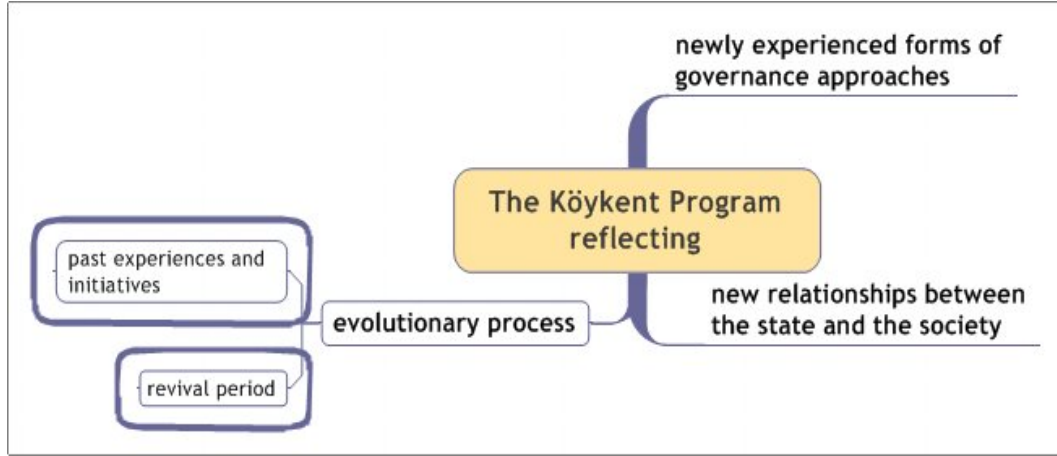
Diagram 50: Evaluation of Köykent General Framework

The details of the Program and its practical implications, presented in the previous chapters, indicate certain potentials and constraints of social development and of rural development policies in Turkey. The following **critical review** of the Köykent Program in the revival period, based on the research results, has been formulated according to ideas and perceptions as reported by the **key informants**[68];

- *Bülent Ecevit* has asserted that "What is united through Köykent is not the villages but the power of the villagers."

- As stated by *Ekşi (2002)*, in view of the implications of Mesudiye, it appears that the Köykent initiative is an approach specifically designed for Turkey, and also replicable throughout the country. As accepted by most technicians and key experts, the design and reformulation of the recent Program might be accepted as being replicable to other developing countries as well.

- *Saltık (2002)* considers that the Köykent approach might be considered as a local development initiative designed for watershed or village clustering. The notion of development should be considered, within this context, as policies and strategies utilized to alleviate poverty and deprivation and to improve the wealth of the community, determined according to political choices. However, for the reason that the idea has been tightly

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[68] As mentioned in the research design chapter, some of the individuals constitute the key informants of the research, for the reason that they have provided valuable and highly critical information and comments on the Köykent initiatives; for the past experiences and for the recent implications of the revival period.

associated with a political party it has not been possible to disseminate except its limited implementations.

- As *Lemel (2002)* argues that although the Köykent concept has tended to be confused with the other approaches experienced previously, the proponents and the advocates, both called as '*köykentçiler*', have stated that Köykent has been an important attempt to generate an "equitable, logical basis, creating what amounts to an organic functional whole". *Lemel* has continued his argumentation as

> "**Mesudiye** is quite unique in many ways, valuable insights can be drawn from the experience of this pioneering effort... While the outputs are impressive, this rapid pace appears to have come at the expense of beneficiary participation and ultimately a sense of project ownership by them." *(Lemel, 2002, p.1)*

- As a matter of fact, one of the most severely criticized issues regarding the project has been its name. The greater part of the criticism has been based on the argument that the generation of a new spatial unit through the combination of the rural and the urban areas within the same terminology would misguide the public and would lead to a diversion from the goals of the initiative. Actually, the main reason behind the nomenclature, and perhaps the single unchanged and most important element of the project since the 1970s is the fact that it constitutes a methodology based on an 'integrated approach' in urban and rural planing. Otherwise the project has never been charged with the mission of transferring urban characteristics to the rural area and vice versa.

- Another important criticism to the Köykent approach has been the scepticisim over the reason of the state presenting the provision of physical infrastructure, a responsibility which the state is already assigned with, as a new and highly effective approach, through the use of an externally supported program. In response to this criticism, the distinctive aspects of the recent Köykent program have been opened to debate. For what has been aimed with Köykent has not been the sole aqcuisition of certain investments and results, but also the **planning and implementation of changes and transformations in workflow and organization patterns and consequently in process management**.

- A strategic criticism has been exerted towards the distribution of the investments that was asserted particularly by the SPO and certain line ministries, which have stated that the allocation of the majority of the financial resources for the maintenance and improvement of the infrastructural services instead of focusing on rural development and income generation activities, has been in conflict with the main objective of the Köykent vision for long-term sustainability.

- Criticism has also been exerted that public means and resources have been 'lavishly' utilized only in certain regions. Although attempt has been made to discuss and define the site selection criteria in a scientific and prioritized manner, the final selection has still allegedly been shadowed by political pressure and patronage.

- Yet another criticism has been put forth by the Ministry of National Education and the Ministry of Agriculture and Rural Affairs on the context of the project components. In some components, need had arisen to develop certain important and obligatory issues that had not been involved in the initial design of the projects. Within that context, a strong correlation has been required between the design of education facilities and income generation components, such as in the designation and delivery of vocational education and training, such as in agriculture, trade, household economy and technical subjects.

- Local beneficiaries have assumed that the Köykent projects would support their villages with upgraded living conditions and higher availability in the quality and quantity of basic infrastructure, social services and employment opportunities. Although those expectations have been evaluated during the need and social assessment stages and have accordingly been reflected to the initial design of the investments and components of the projects in each site, inconsistencies between investment plans and local needs and priorities have been reported in certain project sites. For example, in the Van-Özalp Köykent site, although water has constituted the most important priority according to the findings and evaluations of the research, the greater part of the investment has been planned to be allocated for roads and education.

- According to *Basa (2002)*, in the Mesudiye example, although the project was planned for completion within two years, the fact that most activities have been completed in more or less a year shows that the public authority may be capable of demonstrating quick and efficient action.

- *Saltık (2002)* has argued that, the effects of the Köykent model cannot be simply measured by the physical investment in the project site, neither with the amount or the magnitude of the established or improved educational, health, production and cultural facilities. In the same manner, compliance to the project schedule cannot be a success criterion by itself. Under these circumstances, the most apparent criterion and performance indicator seem to be positive changes happening at the implementation level and a socio-economically more troubled human-goegraphic context. In other words, the evaluation criteria should comprise the same criteria used to create communities that are capable of developing their own local problem solving capacity, whose seasonal migration has decelerated thanks to better domestic conditions, and whose basic education, health, nutrition and employment problems have been resolved.

- As an additional evaluation criterion to the performance indicators above, in Köykent implementations, 'social capital', discussed in the theoretical framework of the thesis, can be worth of mention. In fact, according to *Orhon (2002)* social capital is regarded as the primary reason behind the success of the Mesudiye Köykent implementation. When elements such as "information sharing", "activity coordination", "joint decision-making" and "sharing" are defined as the basis of social capital, cooperatives and unions established in Mesudiye can

be well viewed as elements of social capital. In addition, a project can be viewed as successful when, in addition to the physical investment it creates, it also facilitates change in mentality, in corporate transformation and in efficiency as regards working habits. *(Orhon, 2002)*

• The participatory approach and the new organizational forms discussed and experienced in the Köykent Program that might prove to be acceptable as **new initial forms of governance** in Turkey, have emerged as quite new but challenging issues.

• The most distinctive aspect has been assumed to be that most of the responsibilities covering financial, administrative and even technical maintenance and operation of the activities have been planned to be taken by the various forms of local organizations and even the local inhabitants. The reason for this has been the aim of achieving **long term sustainability**. Lack of knowledge, participation and ownership of the local inhabitants have caused many state-initiated projects to become obsolete. For example, irrigation channels are known to be destroyed by villagers, since they would not know how to maintain them. For this reason and for ensuring the sustainability of the program, issues such as participation, information dissemination and ownership building should be addressed as high priorities, when service provision is planned. In fact, not planning for participation at the beginning of the initiative should be considered equal to accepting the failure to attain participation at the end of the process.

• The Government has decided to initiate most of the efforts of the Köykent Program through domestic sources and the support of the related public institutions. However, these communities have made great efforts to attract government interest and state assistance into their regions. At that point, the Köykent initiative has become a strategic experience which exemplifies the process of how local initiatives and decisions have conflicted with the government decision-making system. As mentioned before, the active institutional structure in Düzce-Kaynaşlı and the high commitment and interest of the local leaders on the Köykent approach in Tarsus-Dörtler have enabled local inhabitants to take the local decision of initiating the Program.

• Local directorates of the line ministries have particularly stressed that feasibility studies and implementation for the Köykent projects were conducted with a slow pace. The fact that the projects had been in the rural development agenda and their implementations were already attempted several times during the past 30 years was a reason enough for diminishing local ownership and participation. The additional issue of the implementations being retarded in recent Köykent iniatives during the revival period has been thus considered a potential threat to the success of the program and of its long term sustainability. Villagers in Van-Özalp and Düzce-Kaynaşlı have waited for more than a year before they had received an update on the uncertainty of the progress or any official disclosure of the

cancellation decision, and had therefore expressed their loss of confidence in the Köykent approach and their trust in state assistance.

• One important characteristic of the Program stems from the difficulty in transforming rural development decisions into practice and in forecasting the results of the planned strategies and project activities, despite political instability and an interlaced institutional structure where the roles of line ministries and agencies are often not clearly defined and may frequently overlap.

• The risks and difficulties of conducting joint rural development projects or programs have been expressed by many institutions, on the grounds that rural development involves the interest and authority of many institutions. The drafted Protocol Agreement regarding the related institutional regulations has faced serious criticism in that it has not clearly charted the responsibilities and authorities of the institutions involved.

• According to findings in the research and their analysis, it is possible to state that there has been a strong relation between the success/failure of any government program and political stability. This relation stresses that politics has diffused into all facets of society and generates a big problem for the implementation of governance-based mechanisms.

• Taking into account the importance of rural development for the economy, the fact that a contemporary and integrated rural strategy has yet to be formulated seem to point to the fact that national priorities are still focused to other issues.

• The absense of a database or an inventory of what has and has not been done on previous rural development programs and projects and Köykent, despite its 30-year past has been considered an important deficiency.

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In view of all the above, the Köykent Initiatives cannot be ragarded as either best practices or best approaches in Turkey in terms of rural development and rural poverty reduction strategies. Instead, they have included both achievements and frustrations within the same framework by which innovative lessons and creative implications can be derived. These lessons and implications may be both reflective and adaptable to other regions and countries and involve a great accumulation of knowledge, know-how and experience on behalf of the national and international rural development experts, politicians and public officials. The planning policy framework of this Program has presented actual and distinct attempts that may help introduce and derive significant clues regarding the different forms of governance experienced, for sustainable (rural) development in Turkey.

CHAPTER VI

CONCLUSION: ADVOCACY AND RELEVANCE OF THE THESIS

To finalize the dissertation with a complementary discussion of which main premises are summarized in the following diagram, and in order to deem the research results more understandable and efficient for further research and policy formulation, the conclusion has been designed so as to support the advocacy and (scientific and social) relevance of the hypotheses of the thesis and accordingly to derive valuable results for the benefit of other researchers.
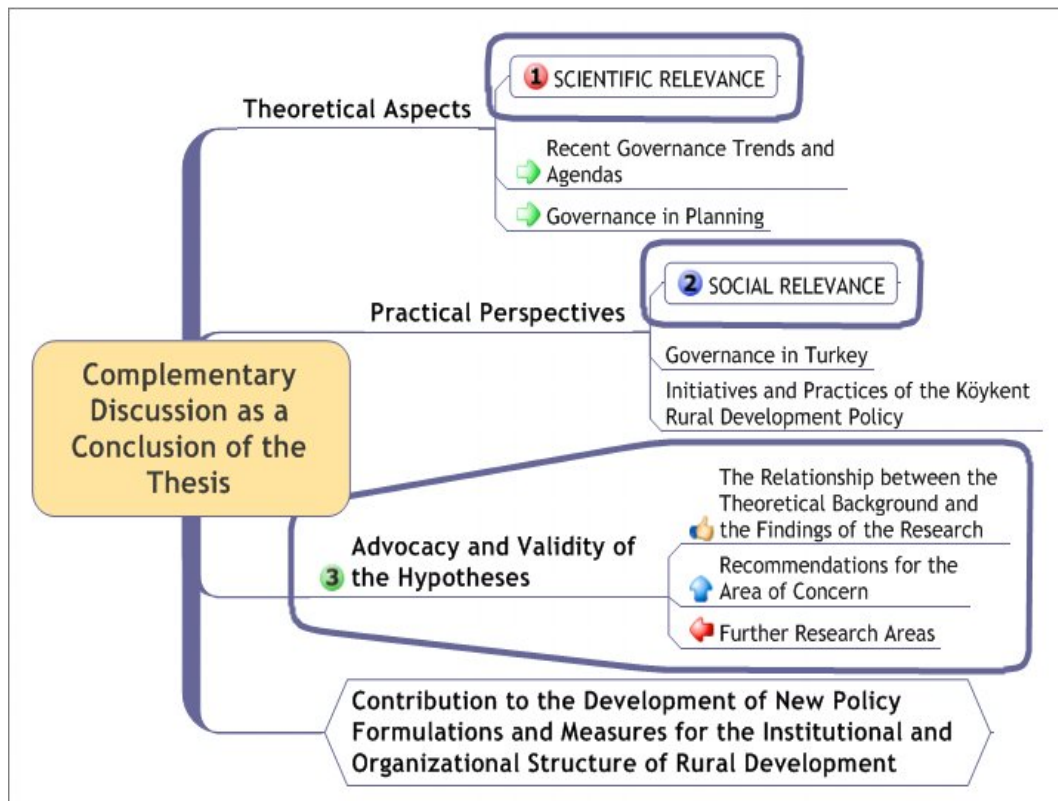
Diagram 51: Complementary Discussion as a Conclusion of the Thesis

VI.1. Scientific Relevance: The Relationship between the Theoretical-Conceptual Framework and the Research Results

The answers to the following five questions, designated in diagram 52, constitute the construction of the relationship between the theoretical-conceptual framework and the research results.
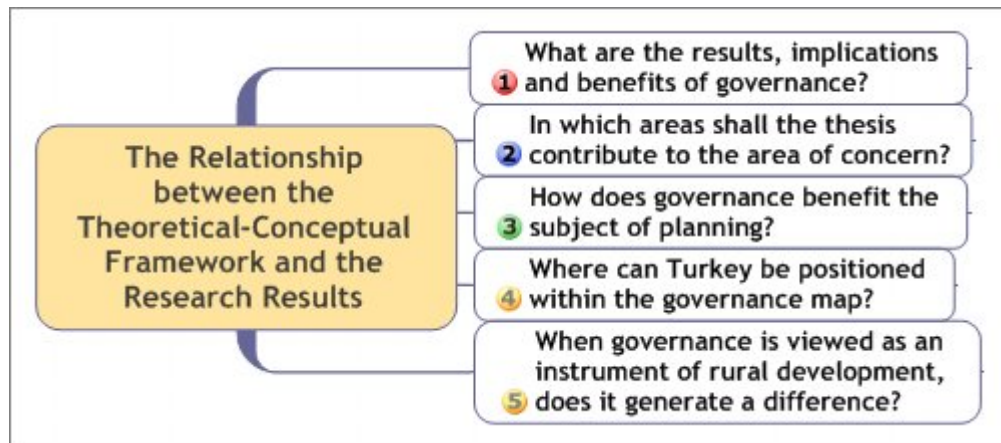
Diagram 52: The Relationship between the Theoretical-Conceptual Framework and the Research Results

1. What are the results, implications and benefits of governance?

Governance, designated more clearly and discussed more systematically over the last decade, transforms into a dynamic and interactive process by which its context and the challenges it presents continuously transform towards;

- enhancing knowledge and increasing citizen awareness,

- strengthening capacities of all stakeholders in the society,

- signifying an interaction and a collaborative learning process,

- justifying public and private actions in a more sustainable and efficient manner.

In view of the above issues, regardless of whether governance is utilized as an instrument or a part of an approach or even a mechanism, it results in the strengthening of democracy.

2. In which areas shall the thesis contribute to the area of concern?

This thesis intends to contribute to the narrowing of the gap between theory and practice in the discussion of governance by underlining the diversity of the underlying processes in social sciences, focusing especially on the planning discipline. This is the consideration of governance regarding various relevant and vital aspects of theoretical and conceptual

discussions in social sciences and then rendering them measurable under the framework of the planning agenda.

This thesis attempts to construct a **cross-section of governance with a critical viewpoint and an interdisciplinary approach, but with a focus to planning**. The thesis does not attempt to conceive governance as a model or fixed pattern, in which goals, instruments and principles repeat themselves across use cases, and neither as a goal to be pursued. The aim has rather been the highlighting of its potential as a differentiator in the process management framework of the planning domain.

Especially after the evaluation of the Köykent example it has been concluded that lessons may and ought to be derived from the functioning and management of the process as much as from the concrete results.

As to the methodology the following may be concluded. Governance presents an area where the theoretical framework and the practical implementations would continuously complement each other through constant feedback. As the content of governance increases in variety, it becomes more adept in addressing socio-economic issues. In addition, an observation of the governance principles yields the conclusion that governance may prove capable of creating a common denominator between problems and their solutions.

The approach adopted in this thesis can thus be explained as:

- to maintain a critical viewpoint throughout the thesis and an awareness of the positive aspects attributed to and criticism exerted on governance.

Under these circumstances and in short, this thesis constitutes an effort whereby the common denominator focuses on **communicative, multi-actor, inclusive and participatory governance within the planning domain**.

3. How does governance benefit the subject of planning?

The governance process mainly leads to the institutionalization of participatory processes in planning through the use of various instruments, in order to provide more efficient and effective responses to the changing and increasing needs of the citizens. The major aim of the use of governance in planning is basically to increase or to improve the capacity of national and local authorities and their partners to practice good governance in various regional, urban and local levels.

As a result, the concepts, the vision and the principles of governance may also be expected to change the dimensions and agendas of planning and also the role of the planner, for the reason that governance also involves an argumentation that may help enrich and diversify the content, as long as the actor and the reason of the implementation is clearly identified. In this respect, the success of the implementation of the governance mechanisms and principles depend on their level of acceptance and commitment in various social levels. This

can be achieved through inclusive, collaborative, integrative and managerial planning approaches whose major concern is collective action.

4. Where can Turkey be positioned within the governance map?

Although the governance map in Turkey coincides with the debates in the international arena at certain points, it also exhibits certain incompatibilities. Also, despite the fact that governance stands as a building block of the economic and political restructuring processes in Turkey, because of the **traditional institutional structure** that resists to change and the **public opposition against reforms**, it appears that the convergence of the approaches of the various interest groups a common denominator shall entail a painfull process.

5. a). When governance is viewed as an instrument of rural development, does it generate a difference? b). What are the possible results when the potentials of governance are utilized in the specific area of rural development c). In which aspects does governance appear to succeed or fail, and in which aspects does it require further attention and improvement?

When governance is conceptualized and evaluated as a critical **instrument** and **process**, the following issues signify the strategic components of a new and diversified context of rural development in Turkey, in accordance with the empirical analysis, namely:

- social responsibility and social capital,

- the new notion of relationship between the state and the society based on trust and confidence,

- the notion of being human/public oriented,

- new decision-making mechanisms,

- new institutionalism (new structures, institutional learning and capacity, and institution building).

The following issues, on the other hand, highlight the answer of the question of 'In which aspects does governance appear to succeed or fail, and in which aspects does it require further attention and improvement?';

- poor level of satisfaction of the local inhabitants regarding the provision of services,

- the duality between the governing and the governed,

- the conflict between social and political authority,

- low level of commitment, ownership and confidence towards the public institutions.

Considering the above potentials and challenges, the Köykent initiatives have presented an important **shift** from the strong 'governing' structure to the 'new forms of governance' which address the formation of policies with sustainable outcomes, through innovative governance principles and participatory procedures. It is important to highlight that these new practices

are not without serious deficiencies, problems and constraints, but nevertheless generate new possibilities and opportunities.

In short, all the above discussions intend to further refine the forms and mechanisms of governance. Theoretical and operational perspectives of governance should be more integrated with each other in order to manage rural development policies in a more sustainable and efficient manner. This integrating framework shall be supported by certain recommendations presented in the next sections of the conclusion.

VI.2. Social Relevance: The Contribution of the Thesis to the Subject Area in Turkey

The answers to the following questions, discussed in the following sections, constitute the social relevance and the main frame of the contribution of the thesis to the subject area; 'which areas of the thesis constitute the main relevancy for the Turkish society and the planning system?' and 'how can we manage and design a successful process taking into account the results of the previous Köykent policy formulations and initiatives?'

VI.2.1. Governance in Turkey

The main sources and the basis of legitimacy of the governance debate in Turkey might be formulated around the 'governance literature tree' which presents important issues influencing the foundations of governance; such issues comprise external factors -the current international and supranational agenda- the EU candidacy process and the Pre-Accession Strategy, economic re-structuring, socio-cultural fluctuations and political dynamics, increasing dynamism in the private sector and increasing productivity in several sectors of the economy, civil society developments, changes in state-society interactions and institutional mechanisms together with the central and local administrative structure, as well as changes in clientalism-patronage relations and finally, local factors (earthquakes or other natural disasters). In short, the current structure of governance in Turkey has been formed around the impacts of democratization movements, institutional restructuring reforms and developments in the relationships with the international and supranational organizations.

The legitimacy of the governance debate in Turkey can be reviewed through the analysis of a 'governance triangle' comprising the public and private sectors and the civil society. This governance triangle materializes a 'multi-partner model' which is strongly emphasized in the the EU's *acquis communautaire.* In fact, Turkey has been in need of overcoming the obstacles of a centralized approach and of benefiting from challenges with a participatory approach, based on 'mutual interaction' and the 'joint responsibilities' of parties.

Under these circumstances, the following developments have been realized and encouraged in order to construct a foundation for the governance mechanisms and the implementation of their principles in Turkey;

i). reforms and restructuring movements in the public sector (modernization of public policies, law and regulations, independent regulatory higher committees, changing role of the state);

ii). developments in the private sector and in the civil society;

iii). practical implications (such as highlights of best practices, Local Agenda 21, the Köykent Project, the EC supported projects etc.).

The wide-spread discussion is formulated around the idea that governance does not develop by its own nature with its present dynamics in Turkey but is rather transferred through contemporary debates from the international and supranational organizations. Actually, the concept has been increasingly discussed in Turkey together with other popular concepts, such as globalization, locality, privatization, liberalization, decentralization etc., of which main incentives are similar and result in resembling processes with the support and encouragement of those organizations. Although various programmes and projects have been, at the time of writing, taken into consideration to implement many commitments and agreed principles of governance, various responses have been received from different stakeholders which have arised from different perspectives.

Most of the criticisms have been elaborated around the ways and the context of transformation processes in Turkey. The most commonly asked questions have been thus formulated around the issues of; in which direction, by which actors and for what reason economic and institutional structures are forced to transform.

In spite of varied argumentation on the concept and process of governance, there have existed only a few concrete and encouraging examples which provide its legitimacy and justification. The afore-mentioned restructuring movements and reforms, the public and private activities based on partnership and civil society activism have accelerated the awareness and ownership of the concept in various areas of industry, education, rural development, health, social services, tourism etc. In those areas, several brilliant examples and policy formulations exist that have essentially concentrated upon partnership, multi-actor involevement and decentralization. This thesis presents a general overview to those examples with the intention of attempting to open a critical path for further evaluation and interpretation of governance examples and contributing to the development of the governance debate and literature in Turkey.

VI.2.2. Initiatives and Practices of the Köykent Rural Development Policy

Rural and social development, important policy instruments, have always seemed to be significant in the poverty reduction strategies as stressed by most Turkish governments. The common point of all approaches has been that the majority of the investment has been based largely on public intervention and provision. Actually, although not referred to within the **governance nomenclature**, certain basic implementation principles in recent practices remind of governance and its philosophy at different levels, such as, for example participation and partnership. However, the necessary environment to implement the mechanisms of governance in the field of public administration has yet to be provided. On the other hand, a gradual increase in the support of the civil society especially for rural development as well as the approach of the private sector towards development issues from different perspectives indicate that previous proposals and measures present a **certain potential to lay the ground for governance**.

The structural transformation and reforms in Turkey mentioned in the previous chapters appear to have resulted in a new perspective that addresses the two important concepts of 'sustainability' and 'governance' to the rural development priorities of Turkey. All these circumstances have necessitated the strategically important approach of **sustainable rural development** to be carried out with reference to the social and economic objectives as well as the new forms of governance mechanisms and principles. New approaches also emphasize the importance of the efficient division of labor between the public and private sectors and civil society in order to ensure good governance for a sustained economic growth and social development.

The empirical results of the thesis appear to be supportive of this argument. The research indirectly refers to the importance of the **relation that can be set between rural development and governance**. Within this perspective, the Köykent initiative may be considered as an example of the use of the governance instrument in the area of rural development that may contribute to the understanding of the changing roles of the public and private sectors as well as the civil society.

Despite all the afore-mentioned criticism, the implementation of Köykent, one of the most strategic approaches adopted in Turkey, has been attempted at various times by different governments. The approach has also been developed, adopted and supported by other political parties, in very similar contexts. Activities of other experiences have also been planned in quite a similar manner to the Köykent concept. The background, design phase and practical implications of the project indicate various potentials and constraints of social development and rural development policies in Turkey.

Actually, the recent Köykent Program in the revival period has been intended to be distinct from other Government programs/projects through the revision and reformulation of the previous Köykent initiatives especially in 2000s. During that period, although various issues

have been planned and have constituted the most **distinctive aspects of the proposed Köykent Program**, most of them have not been implemented or have simply been left incomplete, because of the cancellation of the Program.

In accordance with the research results, it is possible to consider the Köykent Program as an important rural development initiative in Turkey which reflects implementations of **newly experienced forms of governance approaches** and **new relationships between the state and the society** through mutual interaction, with the ultimate goal of rural development and poverty reduction.

In view of all the above, the Köykent Initiatives cannot be ragarded as either best practices or best approaches in Turkey in terms of rural development and rural poverty reduction strategies. Instead, they have included both achievements and frustrations within the same framework by which innovative lessons and creative implications can be derived. These lessons and implications may be both reflective and adaptable to other regions and countries and involve a great accumulation of knowledge, know-how and experience on behalf of the national and international rural development experts, politicians and public officials. The planning policy framework of this Program has presented actual and distinct attempts that may help introduce and derive significant clues regarding the different forms of governance experienced, for sustainable (rural) development in Turkey.

The evolutionary background and process of the Köykent initiatives presents a proper arena for gaining an understanding of the governance framework. The most important **criteria that differentiate** the Köykent experience from other development initiatives and single-sided service delivery activities of the state are the recently established and implemented governance mechanisms for which the indirect implementation and ways of materializing can be observed in the recent Köykent program. As a matter of fact, the mechanisms and principles mentioned constitute the factors directly affecting the success of the programs/projects and have been introduced into the agenda of Turkey especially after the 1990s.

Köykent has started as an initiative and has re-surfaced as a project/program. Although its content and its approaches have shown variations over time, its core vision and potential deem it possible that it may be utilized again, in the future, as a model. In short, the whole process of the Köykent initiatives both in the past and during the revival period has constituted not only of procedures of a project or a program, but instead an evolutionary process. Especially the propositions of Köykent to the rural development agenda and its implications to rural poverty in Turkey have been significantly discussed. It so appears that the debate shall continue for a long time to come.

VI.3. Recommendations for the Area of Concern

In accordance with the findings of the research, it appears possible to derive key lessons and recommendations for enabling the mechanisms and principles of governance for the benefit of (sustainable) rural development. The lines of action, listed in the following diagram, if implemented, should support the efficient development of the principles of good governance in the area of rural development and their acceptance by the Turkish society in the near future.
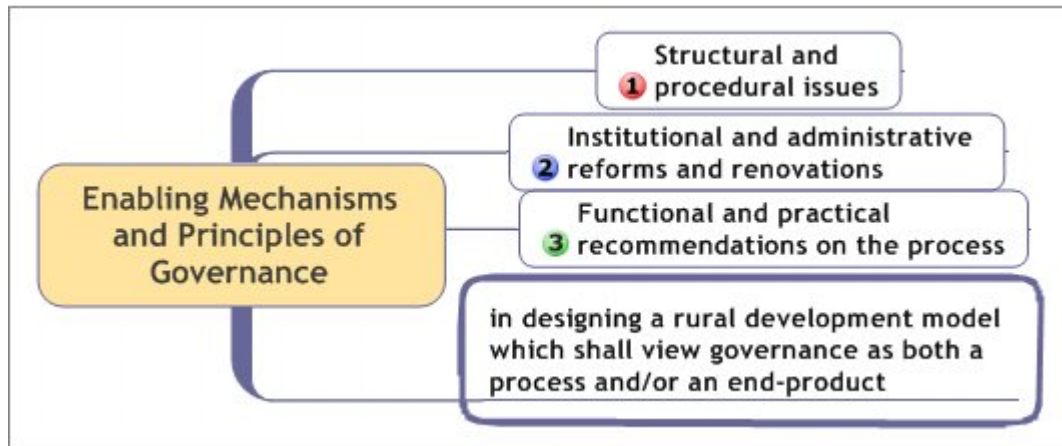
Diagram 53: Enabling Mechanisms and Principles of Governance

In fact, it appears necessary to adopt the principles of (sustainable) rural development in order to effectuate the measures of eradication of rural poverty and to ensure rural productivity. In this respect, the steps to be taken towards the implementation of good governance stand as of great importance and might be used in **designing a rural development model which shall view governance as both a process and/or an end-product.**

The following key issues should be taken into consideration to advance the debate, the knowledge and the skills in the different areas of governance and to support the relationship between governance and rural development.

1. Structural and procedural issues should focus on the following points for ensuring the efficiency of the public domain and local development along with the strengthening of the meaning and context of citizenship;

- introdution of a process management approach,
- promotion of participatory (inclusive) management systems,
- promotion of new partnerships between the state and the society,

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- balancing of the participatory mechanisms versus the government policies,

- development of measures to ensure and improve long-term sustainability through a demand-based approach, social mobilization, financial viability, the influence of environmental and social factors, the relation with long term policy and legal framework,

- encouragement of the penetration of the globally accepted theoretical principles and norms, not only into the rules and regulations of public authorities and to the community itself, but more importantly, into their attitudes, approaches and ways of acting.

2. Institutional and administrative reforms and renovations which would deal with the following isues;

- an entirely transparent and accountable public and private domain and political system,

- capacity building both at the central and the local level,

- an effective and informed framework of legislation,

- a conflict resolution policy,

- social responsibility and social capital,

- the principles of governance,

- an increasing local self-management capacity.

As stated by *Healey*, institutional design should focus on the following dimensions in accordance with the good governance principles; "the division of governance tasks; their distribution between levels of governance; the boundary between formal government and the wider society; the use of administrative and technical expertise the machinery for dispute/resolution" *(Healey, 1997, p.306)*.

3. Functional and practical recommendations on the process: For the reason that the subject of this thesis is concerned with the relation between governance and rural development, the following recommendations are highly related with rural poverty reduction and development strategies along with the governance mechanisms and principles. They all appear to offer a contribution to the realization of human rights and the principles of democracy, the eradication of exclusion and the development of human settlements in a more sustainable manner. In short, the success and sustainability of any project or program similar to that of Köykent depend on the successful implementation of the following factors;

- conducting a diagnostic assessment of rural poverty at the national, regional and local context,

- determination of the opportunities and challenges in local level,

- creation of participatory and human-oriented project planning and management practices in every sector, subject, phase and level,

- adoption of the approach of rational and inclusive planning,

- developing functional organizations for economic and social purposes,

- developing efficient and productive local services,

- establishing a financial system regarding the problems and opportunities of the rural population,

- developing local development mechanisms and institutions,

- establishing efficient and dynamic evaluation and monitoring mechanisms.

Research findings in accordance with the relation between rural development and governance assert that Turkey has attempted a very strategic and dynamic democratization process during the past decade and has executed various changes and transformations in the public and private sectors as well as in the civil society that can be viewed as reforms. All these developments constitute a strong foundation for the implementation of rural development policies and good governance principles.

VI.4. Further Research Areas

Since governance nomenclature is relatively new and developing especially in Turkey, there appears to exist only limited research and study of which main interest and frame involve the issues of governance, and consequently more research is needed to integrate the theoretical and practical perspectives of these issues. Hence, both social scientists and practitioners should be able to cooperate in order to deal with the diversified governance problems and opportunities in a multi-disciplinary perspective.

After a critical evaluation of the literature related with governance, the following areas may contextualize a portion of the possible future issues and may materialize the mechanisms and principles that would need further discussion and analysis for Turkey;

- The main incentives and dynamics behind the governance need and debate.

- Analysis of the legal framework (the constitution, the law and the regulations) with reference to the implementation of governance principles.

- Challenges and opportunities for civil society developments mainly based on the collaboration and partnership with the public and the private sector.

- Critical approach to governance policy formulations and implementations in various areas such as human rights, democracy, gender equality, environment, tourism, education, urban and rural development and etc.

- Development of the new relationship and the new governance-oriented mechanisms between the state and the society.

- Analysis of the Turkish Administrative Structure and Institutions with reference to the governance debate.

- Update of the recent reforms and re-structuring movements with reference to the governance debate.

- Evaluation of the future public sector trends and its challenges with reference to the governance debate.

- Comparative governance analysis of Turkey with other developing countries based on updated and measurable data.

- Evaluation of the relation of spatial planning to governance.

- Evaluation of the relation of sustainable development to governance.

The above areas are especially important in broadening the issues of governance and in designating lessons towards the development of new forms and mechanisms of governance that would be of special importance for Turkey.

It is hoped that this thesis will serve as inspiration and resource for further research in the subject of governance.

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APPENDIX A

METHODOLOGIES AND APPROACHES DEBATED BY THE UNCHS-HABITAT TO CONTRIBUTE TO THE IMPLEMENTATION OF GOVERNANCE

The Citizen Satisfaction Report Card is an instrument developed by the UNCHS-Habitat to assist and to consult, through the use of surveys, whether citizens are satisfied or not in various public services (physical or social infrastructural public services). This method is used to assign a ranking to problems in terms of citizens' satisfaction for which the government is accountable for. *(UNCHS, 2001, p.118)*

Community Based Environmental Management Systems (CEMIS) are mainly related with poverty reduction, especially focusing upon low income housing, living and working conditions of marginalized people in large cities. This system promotes co-operation as a part of participation in the multi-level planning to share information and experiences. (*UNCHS, 2001, p.121*)

Media Content Analysis is an instrument developed by the "Urban Indicators Program of UNCHS" to present news stories about local issues addressing key thematic areas of Habitat Agenda during a year. This analysis is used to evaluate the performance of the media in the reporting of real conditions and in the assessment of the effects of the urban environment perception and to provide information about local awareness. (*UNCHS, 2001, p.131*)

Participatory Decision-Making Indicators are determined by the UNCHS-Habitat to provide a core measure of the decision-making processes. This approach is based upon a rating (consisting of participatory and consensus building parts) through which the stakeholders respond the simple questions. (*UNCHS, 2001, p.131*)

Stakeholder Identification and Mobilization, known as the stakeholder analysis, is utilized to provide a practical guide on how to identify and mobilize all stakeholders who have legitimate interests. They are also taken into consideration as active partners in a participatory process. This instrument should be repeated in the ongoing phases of the process. (*UNCHS, 2001*, *p.134*)

Beneficiary Assessment has been developed by the World Bank and widely used as a "consultative methodology" in almost 36 countries and across six sectors both in the economic and social areas. This method has similar characteristics to the "Stakeholder Identification and Mobilization" instrument. It constitutes an important part of the Project Cycle Management (PCM). (*UNCHS, 2001, p.136)*

Gender Analysis involves the systematic application of analytical instruments in terms of gender issues, such as differentiated roles and activities of women and men. This gender-sensitive analysis has been frequently used by the World Bank especially in poverty reduction programs and for several purposes (*UNCHS, 2001, p.137)*;

- "identifying gender based differences" and "predicting the various ways of participation",

- encouraging planners to "design policy reforms and supportive program strategies" and to "achieve the goals of effectiveness, efficiency, equity, and empowerment",

- preparing "training strategies for beneficiaries".

Social Assessment is another important instrument, utilized by the World Bank to provide a framework for prioritizing, gathering, analyzing, and incorporating social information and participation into the design and delivery of development operations. It is usually carried out by project planners to understand and interpret people's needs, expectations, demands and ways/forms of participation and to subsequently utilize them in project selection, design, implementation, monitoring, and evaluation phases. It has strongly been advised that this instrument be used in the initial stages of the project cycle management, and be continued as an iterative process. Social assessment incorporates the following areas of concern (*UNCHS, 2001, p.138)*;

- "identifying key stakeholders/vulnerable groups and their priorities (unifying a broad range of stakeholders),

- action planning,

- providing a process for iterative planning; developing flexible solutions,

- building capacity for relevant social analysis and participation,

- developing procedures for public involvement; participatory process for planning and for building capacity for relevant social analysis and participation."

Good Urban Governance Report Cards, as an evaluation instrument for the assessment of the level of good governance in cities, has been initiated by the UNDP "Urban Governance Initiative" to encourage and assist urban local government institutions, civil society and corporate sector partners in understanding and appreciating the need for good governance. This approach is utilized to evaluate and assess basic concerns of urban issues by

addressing basic characteristics of good governance. Using the norms mentioned in previous chapters, this instrument intends to determine and address the strengths and weaknesses of the city's political and administrative support; and good methodologies and indicators for self assessment. (*UNCHS, 2001, p.139*)

Local Agenda 21 has been developed by the International Council for Local Environmental Initiatives (ICLEI) and depends on "five planning elements; partnerships, community-based issue analysis, action planning, implementation and monitoring, and evaluation and feedback". This challenging process has been widely utilized by local governments to implement sustainable development planning in their communities and to integrate planning across economic, social and environmental spheres. (*UNCHS, 2001, p.140*)

This has generally been known as a "capacity building program" for local authorities to utilize a Local Agenda 21 in their communities and to emphasize the need of a shared development vision of the city through "action planning" and "continuous broad-base consultation process". (*UNCHS, 2001, p.107*)

Local Agenda 21 is concerned with the identification of key environmental problems of local communities and targets for addressing them through all kinds of "interactive agenda building" and "collaborative policy development", basically highlighting the importance of "local opportunities" and "local knowledge". *(Healey, 1997, p.195)*

Among the most commonly used instruments for sustainable urban development, the Local Agenda 21 initiatives intend to combine the efforts of various stakeholders, such as local authorities, enterprises, associations and inhabitants in a strategy. That strategy should have an aim to harmonize economic development and to preserve the social fabric together with the respect of ecological balance. *(Cavallier, 1998, p.40)*

ZOPP Objective Oriented Project Planning (*Ziel-Orientierte projekt Planung*), has been used as an instrument by the German Technical Cooperation (GTZ) to activate and involve stakeholders affected by the project in the planning process. According to this instrument, a "project planning matrix" is prepared to clarify action plans and to identify indicators in measuring the progress in achieving the project objectives. This strategy is considered as a "logical hierarchy of objectives". The best project strategy is determined according to the relevant criteria, such as "input-constraints, probability of success, political priorities, cost-benefit-relation, social risks, prospects for sustainability, time horizon, ecological compatibility, synergetic effects with other projects", etc. The nature of participation in this approach encourages increased ownership, improved accountability and transparency through meeting demands of people for "self-realization, self-help and democratization". (*UNCHS, 2001, p.141*)

The Local Sustainability Mirror is an instrument developed by the National Committee for International Cooperation and Sustainable Development (NCDO) in the Netherlands to assess the performance of the municipal council. In this approach, data is collected by using

short questionnaires and the assessment is done through giving local groups an insight into the sustainability of their municipal council in dealing with various development issues. Local groups can influence and scrutinize their local government policies by the help of this instrument which provides useful information. (*UNCHS, 2001, p.147*)

Participatory Rapid Appraisal (PRA), as a qualitative survey methodology, has been widely utilized by various organizations, such as the World Bank, Action Aid, Aga Khan Foundation, Ford Foundation, German Technical Cooperation (GTZ), SIDA, United Nations Children's Fund (UNICEF), the United Nations Development Program (UNDP) and the UNCHS-Habitat. Its aim is to formulate solutions to identified problems by collaborating with local people in the analysis and planning. This instrument is utilized to develop action plans and participation strategies through a series of qualitative multi-disciplinary approaches to learning about local-level conditions from their perspectives. The main components are semi-structured interviews, focus group discussions, preference ranking, mapping and modeling, seasonal and historical diagramming and trend analysis. (*UNCHS, 2001, p.149*)

Self Esteem, Associative Strength, Resourcefulness, Action Planning and Responsibility, known an SARAR, is a participatory instrument widely utilized by several United Nations Agencies, (including UNDP and UNICEF), the World Bank and different NGOs to transfer local knowledge and to strengthen local ability in terms of assessment, prioritization, planning, creating, organization and evaluation of the development initiatives. SARAR's methods are generally used for the community participation mechanisms through "provision of a multi-sectoral and multi-level approach". (*UNCHS, 2001, p.150)*

APPENDIX B

PROGRAMS DEBATED BY THE UNCHS-HABITAT TO SUPPORT
GOVERNANCE MECHANISMS IN CITIES

- **Inclusive city**, developed by the "Good Governance Campaign of the UN", refers to the idea of "promotion of growth with equity". It means that an inclusive city opens various socio-economic and political opportunities to every citizen regardless of their gender, race, ethnicity, religion, and economic means through the participatory planning and decision-making processes which are known as "strategic means for realizing this vision". *(UNCHS, 2002c, p.2)*

"Inclusive decision making" proposes practical strategies to put the norms of good urban governance principles into practice. Exclusion generated by socio-economic, cultural or physical reasons, create serious problems in the urban management and administration. The main incentives of exclusion in cities are "bureaucratic and unresponsive forms of government". *(Taylor, 2000, p.199-200)*

The inclusive city approach is an interrelated concept with the governance issues, reflecting the vision and strategy of the theoretical matters. The aim is to focus on the needs of excluded people and to realize efficient and active participation in the opportunities offered by the cities. It is an important means in the decision-making processes of the urban and regional planning.

In dealing with the exclusion problems, there has been an increasing tendency to consult the civil society and to construct strong linkages among the public and private sectors and the civil society. These linkages are accepted as pre-requisites for the inclusive city. This approach is considered to be at the very core of good governance.

To construct democratic conditions in the society and to support human rights, there has been an urgent need for prevention of the physical and social exclusion, and economic deprivation or discrimination. For this purpose, the goal should be to sustain an inclusive environment and to make all urban residents active in the urban life and to encourage them taking role in the decision-making process.

- The urban governance debate brings about another new approach of **Right to the City**, proposed by the World Social Forum in Porto Alegre. It can be considered as an advocacy instrument to promote more inclusive cities. The concept emphasizes the importance of the issues of the transparency and the accountability of urban governance. *(UNCHS, 2002b, p.2)*

The Right to the City characterizes inclusive cities comprising urban citizens having access to the potentials of urban life and the decision-making process. This concept concerns mainly the "social exclusion and urban poverty; relationship between growth and equity; transparency in urban governance; access to urban decision-making and services; and the tension between individual rights and collective rights and responsibilities". *(UNCHS, 2002c, p.13)*

- A recent concept, adopted by Brasil, the **City Statue** has been taken into consideration as an example of legislation which enables the "social function of the city" by using several ways; "combination of land management instruments, tenure regularization procedures and requirements for public participation in urban planning". The main claim of the Statue is considering cities as the "new commons". *(UNCHS, 2002b, p.2)*

- **The Alliance's Cities without Slums** is an initiative which has been endorsed as a millennium development goal. This goal states, "...by 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers" *(UN-General Assembly, 2000)*. In several countries, it is intended to meet this goal by adoption as a challenging vision by civic leaders to improve the living conditions of their most vulnerable and marginalized urban residents.

- Another important program widely utilized by the World Bank has been **Community Driven Development**. It has generally been used in slum upgrading, natural resource management, education, health, local transport infrastructure, water supply and sanitation, productive services including micro-finance. *(WB, 2002j)*

APPENDIX C

HIGHLIGHTS OF BEST PRACTICES REGARDING PRACTICAL IMPLICATIONS OF GOVERNANCE IN TURKEY

- Southeastern Anatolia Social Development Program for Youth.

- Amendment of the Turkish Civil Code to achieve Gender Equality through a Participatory Process.

- Local Governments Database Project.

- The Implementation of Local Agenda 21 in Turkey.

- The Köykent Project.

- Project for Sustainable Irrigation Management and Investment through User Participation.

- Eastern Anatolia Watershed Rehabilitation Project.

- Project for Elimination of the Worst Forms of Child Labour in Selected Occupations in İzmir by the end of 2003.

- The Multi-Purpose Community Centers (ÇATOM).

- The Southeastern Anatolia Project (GAP) – Entrepreneur Support and Guidance Centers (GAP-GIDEMS).

APPENDIX D

EC-SUPPORTED PROJECTS REGARDING THE REALIZATION AND IMPLEMENTATION OF GOVERNANCE IN TURKEY

- GAP Cultural Heritage Development Program; open for both SMEs and for non-profit organizations, intending to increase the social and economic benefits for the local population to be derived from the preservation and exploitation of the region's cultural assets *(EUSG, 2004b, p.12)*.

- GAP Regional Development Program; for alleviating poverty through the strengthening and diversification of sustainable rural-based income generation and providing opportunities to support initiatives aimed at the enhancement of the living conditions of the rural population and the improvement of partnership in solving communities' social and economic problems.

- The MEDA Civil Society Development Program; supporting the development of civil society in Turkey and for operating components of the local civic initiatives and of the Turkish-Greek civic dialogue elements *(EUSG, 2004b, p.4)*.

- The European Initiative for Democracy and Human Rights (EIDHR);

  - Macro-level EIDHR projects in the fields of human rights promotion, torture prevention and rehabilitation of victims of torture, freedom of expression and improved access to justice;

  - Micro EIDHR Projects providing small-scale financial support ranging from the promotion and protection of human rights, including women and children's rights as well as rights of disadvantaged groups, to measures to combat discrimination and to preserve and respect cultural diversity in İstanbul, Ankara, İzmir, Antalya, Van, Trabzon, Diyarbakır, Mersin and than successively on the second call based on five thematic principles namely; freedom of expression and independent media, governance, improved access to justice, fight against torture and impunity, protection and respect of cultural diversity *(EUSG, 2004b, p.11)*.

- Reproductive Health Program; supporting and strengthening civil society organizations working in partnership with local authorities in implementing advocacy/information, education and communication (IEC) activities with a view to increasing demand and of supply for quality SRH services *(EUSG, 2004b, p.11-12)*.

- Establishment of the Regional Environmental Centre (REC); providing services to the environmental NGOs as well as municipalities primarily on the EU accession issues and rendering capacity building, information and grants programs targeting central and governmental institutions and NGOs *(EUSG, 2004b, p.12)*.

- Active Labor Market Strategy Project; intended for the New Opportunities program in the frame of the Active Labour Market Strategy; enhancing the employability of both unemployed and currently employed through the delivery of vocational training and other active employment measures based on locally determined needs, opportunities and solutions; open for non-profit organizations including NGOs, labour unions etc. *(EUSG, 2004b, p.12)*.

- Improving Co-operation between the NGOs and the Public Sector and Strenghtening the NGOs Democratic Participation Level; setting up an environment in which public sector institutions and NGOs can further develop cooperation more effectively within the framework of the EU alignment process *(EUSG, 2004a, p.6)*.

- Development of Human Rights, Democracy and Citizenship Education.

- Support to the State Planning Organization - General Directorate for Regional Development and Structural Adjustment - for Strengthening Institutional and Administrative Capacity.

In addition, there have been several proposals for projects, planned to be implemented in following years:

- Regional Development in Various Provinces and Regions.

- Implementation of Human Rights Reforms in Turkey.

- Improvement of Public Service and Quality Standards towards Civil Society Organizations.

- Strengthening Freedom of Association for Further Development of Civil Society.

- Towards Good Governance, Protection and Justice for Children in Turkey.

- Strengthening Social Dialogue for Innovation and Change in Turkey.

QUESTIONNAIRE TEMPLATE
FOR SEMI-STRUCTURED INTERVIEWS[69] (INSTITUTIONAL)

Görüşme Formu

Görüşülen Kişi / Kurum / Görev:

Yer:

Tarih, Saat:

Araştıma Konuları:

1. Kırsal kalkınma ve yönetişim arasında nasıl bir ilişki tanımlanabilir?

2. Kırsal kalkınma konusunda, yönetişim bir araç olarak kullanılabilir mi? Kullanılabilirse, nasıl bir fark yaratabilir?

3. Köykent projesi bu kapsamda nasıl değerlendirilebilir?

Giriş:

Merhaba, Köykent projesi kapsamında, Türkiye'de yönetişim politikaları ve uygulamalarını incelemek üzere bir doktora tez çalışması yürütüyorum. Bu amaçla sizinle bir görüşme yapmak istiyorum.

Görüşme sonucu elde edilen bilgiler ve yorumlar sadece akademik amaçla kullanılacaktır.

Görüşme süresince, söylediklerinizin tümü gizlidir. Bu bilgileri araştımacının dışında herhangi bir kimsenin herhangi bir amaçla görmesi mümkün değildir. Akademik çerçeve dışında başka herhangi bir ortamda kullanılmayacaktır. Ayrıca, görüşme yapılan kişilerin isimleri saklı tutulacaktır.

Başlamadan önce, bu konuda ya da başka herhangi bir konuda sizin belirtmek istediğiniz bir konu, ya da sorunuz var mı?

Görüşme sırasında izin verirseniz, not almak istiyorum. Bunun sizce bir sakıncası var mıdır?

Görüşmenin yaklaşık 45 dakika ile 1 saat arasında süreceğini tahmin ediyorum İzin verirseniz sorulara geçmek istiyorum.

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[69] Based on this template, interviews have been conducted;

- **in Ankara,** with project promoters, politicians, staff of the related line ministries and institutions, volunteers and representatives of NGO's,

- **in Köykent pilot sites,** with local leaders, governors, district governors, staff of local administrations of related line ministries, volunteers and representatives of NGO's.

Changes have been made in the content and format of the questions during the flow of the interviews, according to the interest and knowledge level of each interviewed person. Questions have been changed, omitted, shortened or stressed where applicable or needed.

A. Köykent Projesi Temel Konular

1. Köykent projesinde göreviniz/konumunuz nedir?

………………………………………………………………………………………………..

2. Hangi aşamadan itibaren sürece dahil oldunuz?

………………………………………………………………………………………………..

3. Projenin temel düşüncesini nasıl tanımlarsınız?

………………………………………………………………………………………………......

………………………………………………………………………………………………......

4. Projenin içeriğini nasıl tanımlarsınız?

………………………………………………………………………………………………......

………………………………………………………………………………………………......

5. Projeyi Türkiye'deki kırsal kalkınma çerçevesinde nasıl değerlendirirsiniz?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

6. Diğer program ve projeler ile karşılaştırdığınızda neler söyleyebilirsiniz?

   a). Kalkınma planları

   b). Merkez köy, tarım kent, köye dönüş

   c). Diğer

…………………………………………………………………………………………………

…………………………………………………………………………………………………

B. Kurumsal Yapılanma ve Örgütlenme

7. Projede hangi kurum ve kuruluşlar yer alıyor? Rolleri ve sorumluluk alanlarını nasıl tanımlarsınız?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

8. Projenin kurumsal örgütlenme yapısını ve kurumların katılımını nasıl değerlendiriyorsunuz?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

9. Kurumunuzun bu çerçevede rolünü nasıl değerlendiriyorsunuz? Bu konuda neler yapılabilir? Hangi değişiklikleri önerebilirsiniz?

   a). Yasal

   b). İdari

   c). Pratik uygulamalar

   d). Diğer

10. Kendi görevinizi/konumunuzu nasıl değerlendiriyorsunuz?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

C. Yerel Katılım

Kamu kurum ve kuruluşlarından merkez teşkilatta görevli olanlara sorulacaktır.

11. Projenin uygulamasının yapılacağı yörelerde halkın tavrı, projeye katılımı hakkında bilgi sahibi misiniz? Yörelere gittiniz mi? Nasıl bilgi edindiniz?

………………………………………………………………………………………………

………………………………………………………………………………………………

12. Sivil toplum kuruluşları ile proje özelinde birlikte çalışmalarınız ya da görüşmeleriniz oldu mu?

………………………………………………………………………………………………

………………………………………………………………………………………………

Kamu kurum ve kuruluşlarından il/ilçe teşkilatlarında görevli olanlara sorulacaktır.

13. Yörenize proje fikrini ilk kim / kimler getirdi? Kimler öncülük etti? Öncülük edenler, hala etkinler mi?

………………………………………………………………………………………………

………………………………………………………………………………………………

14. Yörenizde halkın projeye ilgisini ve katılımını yeterli buluyor musunuz? Bu konuda neler yapılabilir?

………………………………………………………………………………………………

………………………………………………………………………………………………

15. Kadınların, çocukların ve engellilerin projeye ilgisi ve katılımı konusunda neler düşünüyorsunuz?

………………………………………………………………………………………………

………………………………………………………………………………………………

16. Yöre halkının, sizce projeden beklentileri nelerdir?

a). Fiziksel ve sosyal altyapı

(yollar / ulaşım, elektrik, su, kanalizasyon, iletişim, sağlık, eğitim, diğer)

………………………………………………………………………………………………

………………………………………………………………………………………………

b). Sanat, kültür ve spor

………………………………………………………………………………………………

………………………………………………………………………………………………

c). Ekonomik yaşam

(tarım, hayvancılık, sanayi, turizm, ticaret, diğer)

………………………………………………………………………………………………

………………………………………………………………………………………………

17. Yörenizde potansiyel hangi alanlarda gelişmeler olabileceğini düşünüyorsunuz?

………………………………………………………………………………………………

………………………………………………………………………………………………

18. Köykent Projesi ile ilgili olarak Ankara'daki / merkezdeki kamu kurum ve kuruluşları ile herhangi bir ilişkiniz oldu mu? Hangileri ile, ne amaçla ve düzeyde?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

19. Sivil toplum kuruluşları ile proje özelinde birlikte çalışmalarınız ya da görüşmeleriniz oldu mu?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

D. Genel Değerlendirme

20. Projenin olumlu yanları / başarıları nelerdir?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

21. Projede olumsuz / sorunlu noktalar / başarısızlıklar nelerdir?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

22. Türkiye'de böyle bir projeye ihtiyaç duyulmakta mıdır?

…………………………………………………………………………………………………

…………………………………………………………………………………………………

APPENDIX F

QUESTIONNAIRE TEMPLATE
FOR SEMI-STRUCTURED INTERVIEWS[70] (LOCAL)

Görüşme Formu
Görüşülen Kişi / Kurum / Görev:
Yer:
Tarih, Saat:

A. Kalkınma Konuları

1. Fakirliği / zenginliği nasıl tanımlarsınız?

………………………………………………………………………………………………

………………………………………………………………………………………………

2. Köyünüzü bu kapsamda nasıl görüyorsunuz?

- Zengin... …………………………………………………………………………………

- Fakir …………………………………………………………………………….......

- Orta halli …………………………………………………………………………………

- Diğer ……………………………………………………………………………….......

3. Bu köy / köyünüz / yöreniz nasıl kalkınabilir? Potansiyeller neler olabilir?

………………………………………………………………………………………………

………………………………………………………………………………………………

4. Devlet / hükümet ne yapabilir?

………………………………………………………………………………………………

5. Siz ne yapabilirsiniz? (işgücü temini, nakit yardım, arazi / bina bağışı / temini, diğer)

………………………………………………………………………………………………

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[70] Based on this template, interviews have been conducted in **Köykent pilot sites** with muhtars, village councils of elders, local cooperative and organization members and local inhabitants.

Within the social assessment of the Köykent program, two quantitative templates for structured interviews have been used for muhtars and local inhabitants.

Within this thesis, on the other hand, social assessment findings have been evaluated for qualitative analysis rather than quantitative findings.

Changes have been made in the content and format of the questions during the flow of the interviews, according to the interest and knowledge level of each interviewed person. Questions have been changed, omitted, shortened or stressed where applicable or needed.

B. Köykent Projesi Temel Konular

6. Köykent adını / projesini / fikrini duydunuz mu?

Evet   Hayır

7. Köykent adını / projesini / fikrini ilk ne zaman / nereden duydunuz?

………………………………………………………………………………………………

………………………………………………………………………………………………

8. Köykent köyünüze ne getirebilir?

(…) Fiziksel altyapı (yol, su, elektrik, sulama, diğer)

(…) Eğitim

(…) Sağlık

(…) İş olanakları

(…) Daha iyi yaşam koşulları

(…) Diğer

(…) Bilmiyorum

9. Köykent'in köyünüze / yörenize ne gibi etkileri olabilir?

- Doğrudan etkiler (kırsal kalkınma öncelik ve bileşenlerine göre)

………………………………………………………………………………………………

………………………………………………………………………………………………

- Dolaylı etkiler

………………………………………………………………………………………………

………………………………………………………………………………………………

10. Köykent kapsamında şimdiye kadar köyünüzde / yörenizde herhangi bir faaliyet oldu mu? (Köykenti anlatma, tanıtma, tarım ve hayvancılık konularında açıklama, yeni yöntemler hakkında bilgi verme vs.)

………………………………………………………………………………………………

Cevap evet ise, kim / kimler / hangi kurum tarafından?

………………………………………………………………………………………………

………………………………………………………………………………………………

11. Köykent uygulamaları / fikri ile birlikte köyünüzde / yörenizde neler değişti?

………………………………………………………………………………………………

………………………………………………………………………………………………

12. Siz Köykent'ten ne bekliyorsunuz?

(…) Fiziksel altyapı (yol, su, elektrik, sulama, diğer)

(…) Eğitim

(…) Sağlık

(…) İş olanakları

(…) Daha iyi yaşam koşulları

(…) Diğer

APPENDIX G

QUESTIONNAIRE TEMPLATE
FOR PARTICIPATORY OBSERVATIONS[71]

Görüşme Formu

Gidilen Yöre:

Görüşülen Kişi:

Yer:

Tarih, Saat:

Araştıma Konuları:

1. Kırsal kalkınma ve yönetişim arasında nasıl bir ilişki tanımlanabilir?

2. Kırsal kalkınma konusunda, yönetişim bir araç olarak kullanılabilir mi? Kullanılabilirse, nasıl bir fark yaratabilir?

3. Köykent projesi bu kapsamda nasıl değerlendirilebilir?

Gözlemlenen Konu:

……………………………………………………………………………………………

Katılınan Faaliyet Türü:

……………………………………………………………………………………………

Ortamın Özellikleri:

……………………………………………………………………………………………

……………………………………………………………………………………………

Gözlem Sonuçları:

……………………………………………………………………………………………

……………………………………………………………………………………………

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[71] This template has been used for two purposes in participatory observation;
- in interviews conducted with the local inhabitants,
- in institutional meetings conducted at different phases and levels of the Program.

Depending on the interest level and knowledgeability of the interviewed person or institution, discussions and evaluations have been conducted using the other two templates as well.

APPENDIX H

RECENT RURAL DEVELOPMENT PROGRAMS AND PROJECTS IN TURKEY

- Vegetable and Fruit Development Projects (MEYSEP).

- Çorum-Çankırı Rural Development Project.

- Erzurum Rural Development Project.

- Project for the Development of Livestock.

- Agricultural Demonstration and Implementation Projects.

- Yozgat Rural Development Project.

- Ordu-Giresun Rural Development Project.

- Eastern Anatolia Watershed Development Project.

- Upper Fırat Watershed Rehabilitation Project.

- Project for the Development of the Zonguldak-Bartın-Karabük Provinces.

- Project for the Development of Common Forestry Methodologies.

- Project for the Development of Commodity Exchange.

- Yeşilırmak Watershed Development Project.

- Eastern Anatolia Development Project (DAP).

- Eastern Black Sea Development Project (DOKAP).

- Social Risk Mitigation Project.
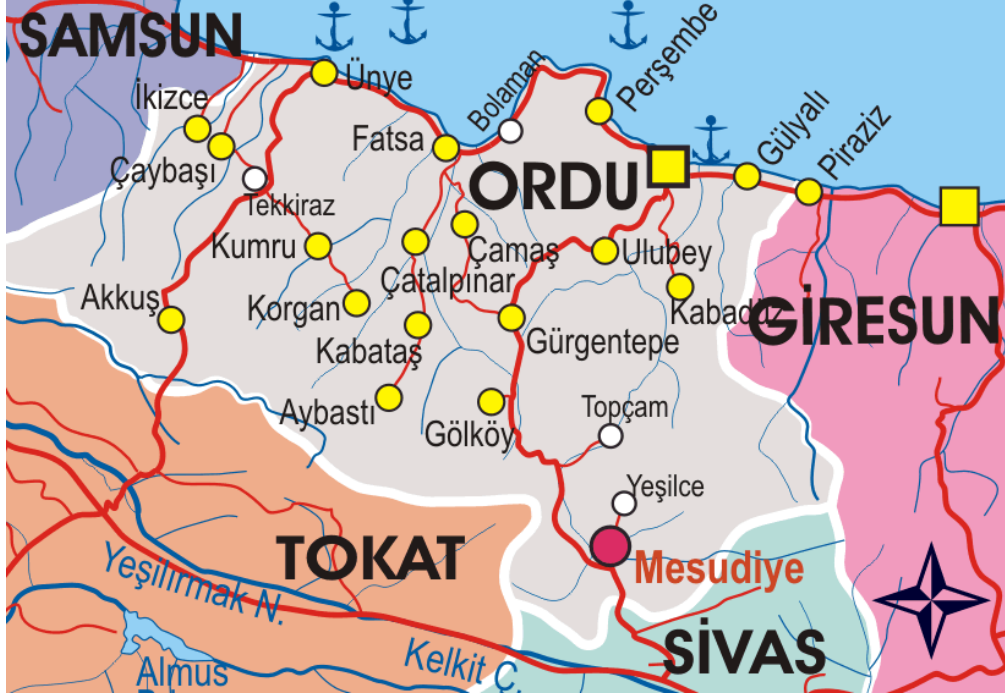
MAP 1: ORDU - MESUDİYE

MAP 2: MESUDİYE KÖYKENT PROJECT SITE

Pilot Project Sites
1. Ordu - Mesudiye
2. Van - Özalp
3. Düzce - Kaynaşlı
4. Kastamonu - Daday
5. İçel/Tarsus - Dörtler
6. Niğde - Çiftlik
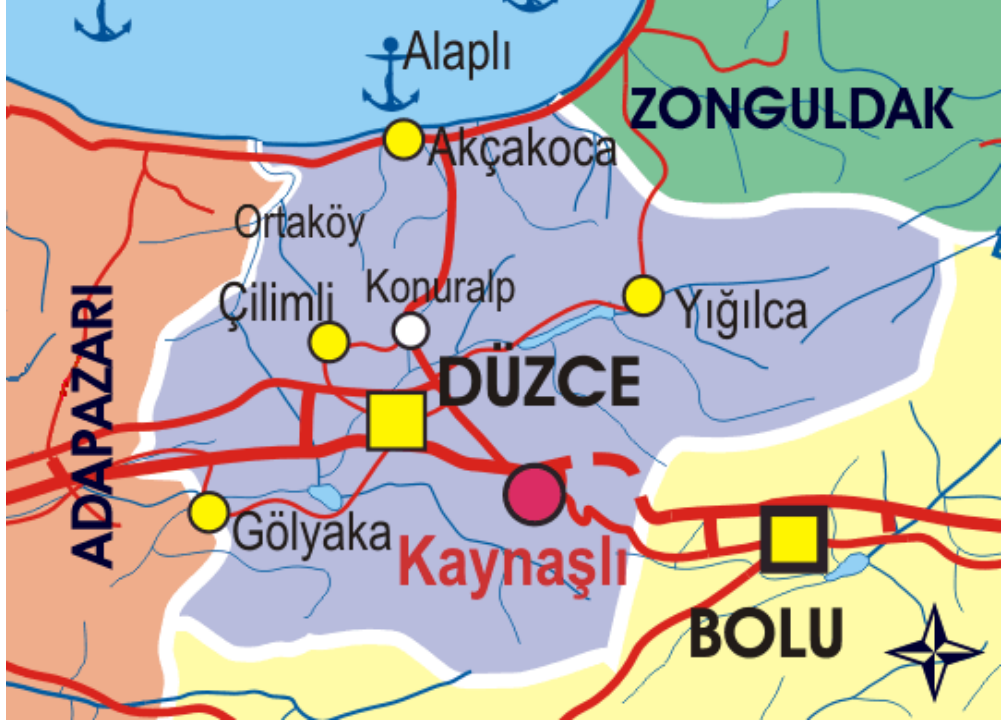
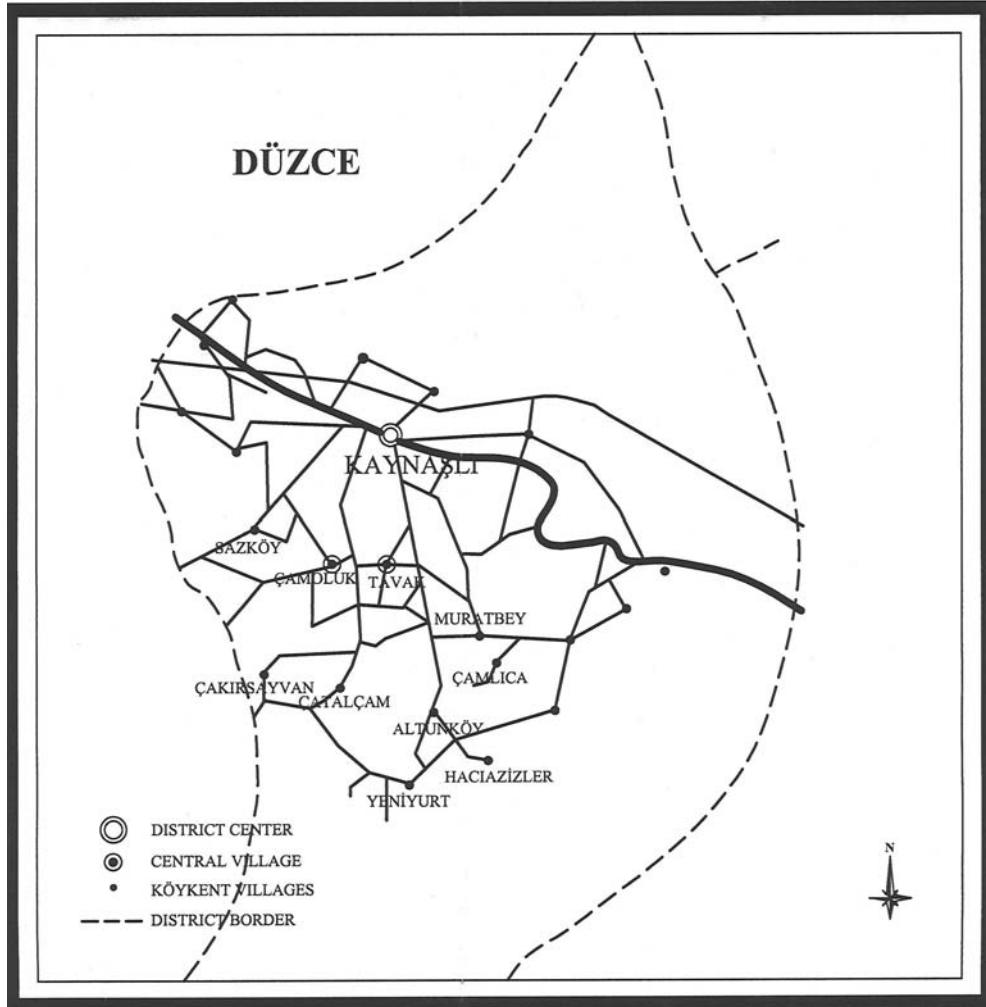**MAP 3: KÖYKENT PILOT PROJECT SITES IN TURKEY**

MAP 4: VAN - ÖZALP

MAP 5: ÖZALP KÖYKENT PILOT PROJECT SITE

MAP 6: DÜZCE - KAYNAŞLI

APPENDIX O

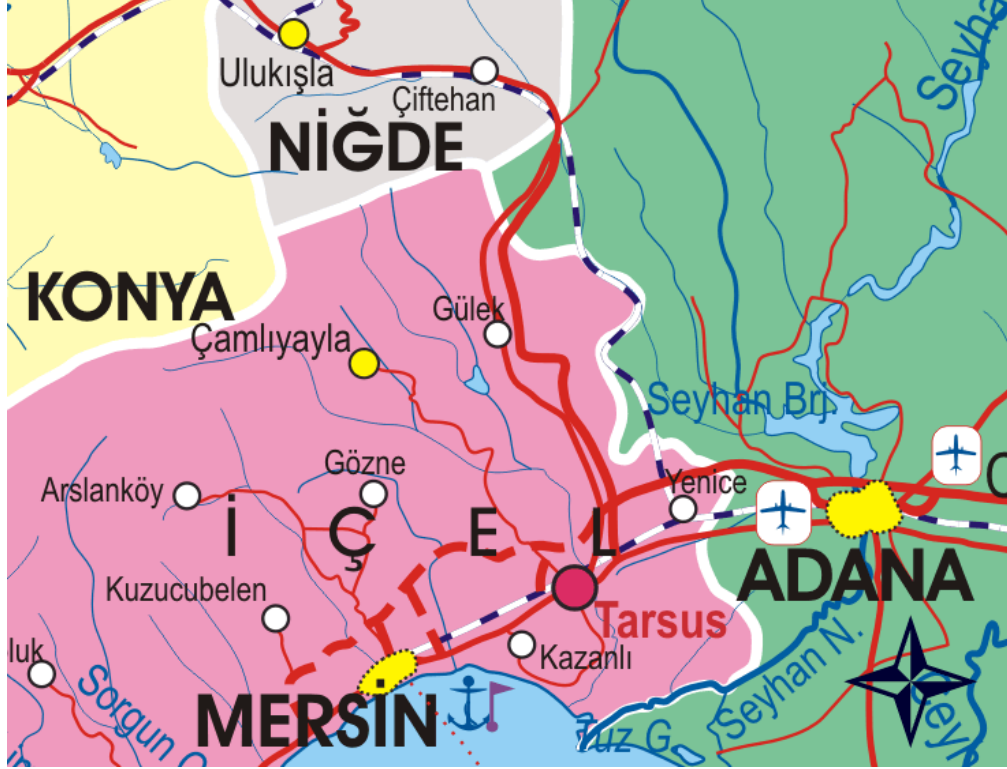**MAP 7: KAYNAŞLI KÖYKENT PILOT PROJECT SITE**

MAP 8: KASTAMONU - DADAY
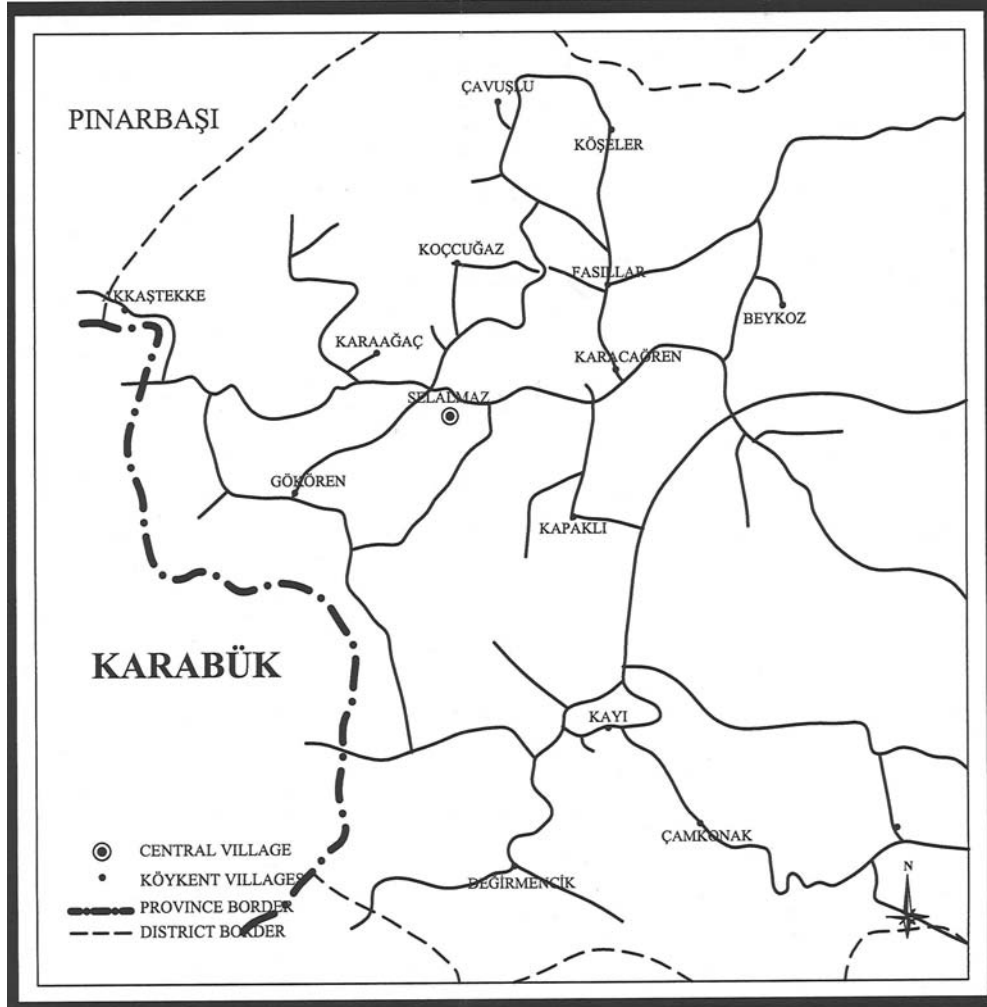
MAP 9: DADAY KÖYKENT PILOT PROJECT SITE

MAP 10: TARSUS - DÖRTLER

APPENDIX S

MAP 11: DÖRTLER KÖYKENT PILOT PROJECT SITE

MAP 12: NİĞDE - ÇİFTLİK

MAP 13: ÇİFTLİK KÖYKENT PILOT PROJECT SITE

<center>**CURRICULUM VITAE**</center>

PETEK KOVANCI SHEHRIN
E-mail : petek7092@yahoo.com, petek@ebsict.com

EDUCATION

Middle East Technical University, Ankara, 2005
The Degree of Doctor of Philosophy
The City and Regional Planning, (3.91/4.00)

Aristotle University of Thessaloniki, Greece, 2003-2004
Doctoral Research in the Faculty of Technology, School of Architecture, Department of
Urban & Regional Planning & Development

European Community Research Center, Ankara University, 2001
European Community Training Programme

**International Centre for the Preservation and Restoration of Cultural Property
(ICCROM), Rome – Italy, 1999**
Certification on the international program, "Integrated Territorial and Urban Conservation"

Universita di Roma "La Sapienza", Rome – Italy, **1997–1998**
Doctoral research in "Dipartimento di Pianificazione Territoriale e Urbanistica"

Middle East Technical University, Ankara, 1993-1996
MSc. in City Planning, (3.72/4.00)

Middle East Technical University, Ankara, 1988-1992
Bachelor of science in City and Regional Planning, (3.00/4.00)
Ranked 3rd both in the Faculty and in the Department

COURSES & CERTIFICATES

European Commission Funds Management / Grants Training Program,
The Secretariat General for the EU Affairs and the EU Commission, 2003

Advanced Training-of-Trainers on Project Cycle Management and,
European Commision Contract Procedures,
The Secretariat General for the EU Affairs and the EU Commission, 2003

Senior Programme Officer Training Program,
The Secretariat General for the EU Affairs, 2002

Training of Trainers on Project Cycle Management,
The Secretariat General for the EU Affairs and the EU Commission, 2002

Project Cycle Management Training Program,
The Secretariat General for the EU Affairs, 2002

**European Commision Contract (Service, Supply, Work) & Tender Procedures Training
Programme,**
The Secretariat General for the EU Affairs and EC Enlargement Office, 2002

Local Governments Sub-Commission Working Certification,
The Undersecretariat for State Planning Organization, the VIIIth Development Plan
Committe, 2000

Italian Language Course Certificate,
The School of Torre di Babele in Rome, 1998

WORK EXPERIENCE

Apr. 2004 – present   **The Secretariat General for European Union Affairs,
Central Finance and Contracts Unit, Ankara**
Contract Manager
- Tender and contract management, implementation and monitoring of service and supply contracts and grant schemes

Jun. 2003 – Apr. 2004 **The Ministry of Environment and Forestry, Department of Foreign Relations and EU Affairs, Ankara**
Urban and Regional Planner
- Conducting training and seminars for the PCM (project cycle management) and EC Contract Procedures

Feb.2003 – Jun. 2003   **EBS Energy and ICT Systems – IT Consulting Group**
Consultant - Trainer
- Project and development mainly related with the networking activities of the 6th framework program of the EU
- Conducting training and seminars for PCM (project cycle management)

Aug. 2002 - Feb. 2003 **Köy-Kent Rural Development Project, Project Management Unit (PMU), financed by the World Bank**
Social Scientist
- Designing, implementation and management of site surveys, social research and environmental/social impact assesments
- Supervising the production of all the survey instruments for both quantitative and qualitative studies
- Pre-appraisal studies of income generation component and local civil initiatives
- Pre-appraisal studies of sustainable rural development policies, community driven approaches, local participation programmes, gender issues
- Preparation of cost-benefit analyses and feasibility reports
- Preparation of pre-public information and communication campaign

Oct. 2001 - Aug. 2002 **The Ministry of Environment, Foreign Relations Department, Division for European Union Relations, Ankara**
Assistant Program Coordinator
- The preparation of the capacity building training program and development of the local initiatives of the Turkish Non-Governmental Organizations
- Coordination of the social research program of the Turkish Non-Governmental Organizations working on the environmental issues (preparation of the field surveys, seminars and related presentations, the final E-NGO's Report)

Urban and Regional Planner
- The preparation of project proposal of the Turkish Ministry of Environment submitted to the EU Commission in the framework of the 2002-2005 financial programming
- Coordination of the LIFE projects submitted to the EU Commission

July 99 – Dec. 2001   **Knowledge & Technology Group, Ankara**
Consultant
- Editing, content authoring of an education portal with Turkish content

| Jan.–Feb. 2000 | **Undersecretariat for the State Planning Organization, The VIIIth Development Plan Committee, Local Governments Sub-Commission, Ankara** *Representative of METU-Department of City and Regional Planning* |

- Preparation of a report on "Local Governance and Urbanization Policies in Turkey"

| Sep. 1995–May 1996 | **The Development Project of Housing Policies in Turkey, METU Ankara (supported by the World Bank)** *Researcher* |

- Preparation of a housing policy report submitted to the HABITAT 96 in İstanbul
- Analysis, interpretation and evaluation of urban indicators within the framework of socio-economic structure and demographic data in Turkey.

| June–July 1991 | **Metropol Development-Project-Construction and Consulting Firm, Ankara** *Urban Planner* |

- Development of housing policies for low-income people in Turkey
- Implementation - preparation of public-housing projects in Eryaman and Elvanköy, Ankara
- Housing development and urban regeneration projects in the Dikmen Valley, Ankara
- Urban renewal projects in the springs resorts in Eskişehir

| Sept. 1990 | **Provincial Bank, The Directorate of the Construction Department, Ankara** *Internship* |

- Preparation of development strategy reports and analyses of the socio-economic and demographic structure of the city of Trabzon

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LANGUAGE ABILITY

Turkish: Native

English: Fluent in writing, reading and speaking

Italian: Intermediate level in writing, reading and speaking

COMPUTER SKILLS

Familiar with most aspects of desktop publishing including word processing, and spreadsheet editing;

- Operating Systems : Windows, familiarity to networked environs.

ACADEMIC EXPERIENCE

Middle East Technical University, Faculty of Architecture,
The Department of City and Regional Planning, Ankara
Research and Teaching Assistant (September 1994 – October 2001)

- Assistant to Prof.Dr.Bozkurt GÜVENÇ in the course "Introduction to Antropology"

- Teaching assistant to Prof.Dr.Raci Bademli

- Teaching assistant in "Planning Studio Courses"

- Several seminar and congress organizations

- Attendance and certification on the international program in "International Centre for the Preservation and Restoration of Cultural Property" (ICCROM), the international workshop on "Integrated Territorial and Urban Conservation ITUC 99" in Rome

  - Comparative analysis of conservation and urban renewal policies and projects in participatory countries

- Doctoral research in -Universita di Roma "La Sapienza" Dipartimento di Pianificazione Territoriale Urbanistica, Rome -supervised by Prof.Dr.Arch.Federico Malusardi (November 1997 – May 1998)

  - Research studies in "The Management of Urban Projects and Urban Regeneration Programs – Policies"
  - A Study in "Settlement Upgrading Programme (SUP)" with the participation of committee members from European countries

- Workshop and Planning Studio, Researcher

AWARDS

Ph.D. Research Scholarship,
awarded by the Greek Government, the Ministry of Foreign Affairs, 2003-2004

Young Fellowship Award for Doctoral Studies in Turkey
by the American Research Institute in Turkey, 1999

Scholarship award by the "International Centre for the Preservation and Restoration of Cultural Property" (ICCROM),
the international workshop on "Integrated Territorial and Urban Conservation" in Rome, 1999

Research Scholarship,
awarded by the Italian Government, the Ministry of Foreign Affairs, 1997-1998

Education Scholarship, ,
awarded by the Ministry of National Education, Turkey for studies in France, 1996

The University Graduation Award,
İş Bank, 1992

YTONG Graduation Award
for ranking 3rd both in the faculty and in the department, 1992

PUBLICATIONS

- *"The General Evaluation of Non-Governmental Organizations (NGO's) in European Union Countries and Turkey"*, 5th Town Planning Congress of Turkey on Accesssion Partnership of Turkey to EU and Urban Planning, 7-9 November, Press of Chamber of City Planners of Turkey, Ankara, 2001

- *"The Analysis of Civil Society and Non-Governmental Organizations in European Union and Turkey"*, Term Paper submitted to European Union Research Center in Ankara University, 2001

- *"The Urban Identity Concept in Planning and Design Agenda"*, Urbanization Seminar, Çankaya Municipality Publication, Ankara, 2000

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