

# MSc Programme in Urban Management and Development

Rotterdam, the Netherlands

November 2021

## Stakeholders' Interactions in Participatory Approaches:

A Case Study of Revitalization of Back Alleys Project in the Central Business District, Yangon City, Myanmar

Name: Naw Carol Moet Moet Aye

Supervisor: Carley Pennink

Specialisation: Strategic Urban Planning and Policy (SUPP)

Country: Myanmar

Report number: 1500

UMD 17

## Summary

This research is a case study, and the non-profit organization initiated the project of revitalization of back alleyways in the Central Business District, Yangon city, Myanmar. The project was designed for participatory approach in collaboration with multi-stakeholders. This event is rare to see local actors trying to initiate volunteering activities which embed in non-profit organization based on a notion of local autonomy instrumental policy and decision-making in the context of Myanmar.

The research objective was to understand and explain the extent to which community were able to influence the decision-making processes and the outcomes in the revitalization of back alleys in the Central Business District in Yangon City, Myanmar. The main research question is: To what extent did the community influence the decision-making processes and the outcomes in the revitalization of back alleys in the Central Business District in Yangon City, Myanmar? The sub-questions are: what types of local actors were involved in revitalization of back alleys and what role did they take in decision-making? How is decision-making organized and who has what kind and degree of influence in decision-making and outcomes of revitalization of back alleys project? And what factors influenced the decision-making process and the outcomes of the project? The formulation of the conceptual framework was based on literature on levels of participation, forms of participation, democracy cube, rounds model in decision-making process and outcomes in governance network in urban revitalization. In this research, rounds model was used for identifying local actors' interactions in each round and how decisions were changed over time. Moreover, the tool of stakeholders' analysis was used to explain the degree of the local actor's influenced in decisions and how the levels of participation created the outcomes in perceptions. In order to operationalize the conceptual framework and indicate them, this single case study is used for research strategy which based on the collection and analysis of mixed method (both quantitative and qualitative). The primary data was collected by questionnaires and semi-structured interviews, and the secondary data was also collected for triangulation data.

The key findings were that community were able to influence the decision-making at consultative level and the actors had essential collaboration for achieving the outcomes in the revitalization of back alleys in the Central Business District in Yangon City, Myanmar. In this case, stakeholders such as residents/local community were able to participate in discussions and consultations but were not able to fundamentally influence over decisions and actions. Therefore, while there was broad participation, it was rather shallow and tokenistic. In participatory process, women, youth, and minority groups interests and their needs are essential to consider. However, these people involvement in decision-making process in Myanmar is not easy and it will have time-consuming because the country has been male cultural dominant for more than three decades and the patriarchal mindset is extremely predominant. In this sense, non-government organization cannot do it alone and it needs the collaboration of different actors to consider the gender mainstreaming, youth empowerment and minority rights in their policies, plans and programmes. Besides, people in Myanmar are often not accustomed to participatory practices, and so there is a need for further outreach to encourage the involvement of women, youth, and marginalised people. Furthermore, Covid and military coup are the major challenges for implementing organization and local actors to move forward the project from now and the future.

Due to the unfolding political and pandemic situations in Myanmar, the research could not generate the answers from different stakeholders, and it only formulated the answers from local residents. Thus, more knowledge is required how and to what extent those external factors influence in decision-making process which community plays a key role. For example, what kinds of Myanmar's community culture and characteristics irritate or prevent women, youth, and minority groups in community-driven project? How the political and policy area in different levels in the context of Myanmar can generate and restrict opportunity for community initiative activities and progression in urban revitalization? And how the local actors consider for the sustainability (financial, technical or human resources) of the project for the long term? Likewise, the research focused and analysed on single case study in specific site which was hard to generalize to other conditions. Therefore, the recommendation of further study can be observing more in depth into situations of community initiative process in different cases with long term of changing within the country or international level in order to understand various forms of the factors facilitating participatory process and categorise which factor is the utmost important for bottom-up process and to what extent these factors obviously have an influence on the quality of urban revitalization programmes.

## Keywords

Stakeholders' interactions, local actors, community, decision-making, outcomes of revitalization of back alleys

## Acknowledgements

First and foremost, I am grateful for the amazing year I spent in the Netherlands during pandemic. I would like to express my gratitude to my supervisor Carly Pennink for valuable advice and suggestions for my thesis paper. Also, I would like to thank my second reader Remco Vermeulen and the team of Strategic Urban Planning and Policy specialization for their motivation and sharing of knowledge. Moreover, I would like to thank the Doh Eain organization and all respondents for their contributions. Besides, I would like to thank the staff of IHS for their continuous collaboration throughout the study period. And finally, I thank my family and friends for their endless support and my classmates from UMD 17 who come from around the world and show their kindness and compassion during pandemic situation.

## Abbreviations

CBD	Central Business District
HOCW	House of Cleaning Waste
MP	Member of Parliament
NPO	Non-Profit Organization
YCDC	Yangon City Development Committee

# Table of Contents

Summary.....	ii
Keywords .....	iii
Acknowledgements.....	iii
Abbreviations.....	iv
Table of Contents .....	v
List of Figures .....	vii
List of Tables .....	vii
<b>Chapter I: Introduction .....</b>	<b>1</b>
1.1 Background information .....	1
1.2 Problem Statement.....	1
1.3 Relevance of the research topic.....	3
1.4 Research Objective .....	3
1.5 Main research question and research sub-questions .....	3
Research sub-questions .....	3
<b>Chapter 2: Theory Review .....</b>	<b>4</b>
2.1 Participatory Process .....	4
2.1.1 Levels of Participation.....	4
2.1.2 Forms of Participation.....	6
2.2 Participation in Decision-Making, By Following “Democracy Cube”.....	6
2.2.1 Who are involved.....	6
2.2.2 How do actors communicate and are decisions made .....	7
2.2.3 What influence do they have over the resulting decisions and actions.....	7
2.3 How decisions are made and changed over time .....	7
2.4 Stakeholders’ Degree of Influence in Decision-Making .....	8
2.5 Outcomes in Governance Network in Urban Revitalization .....	9
2.6 Conclusion.....	13
2.7 Conceptual Framework.....	14
<b>Chapter 3: Research Design and Methods .....</b>	<b>15</b>
3.1 Research Strategy .....	15
3.2 Data Collection Methods .....	15
3.3 Data Analysis.....	16
3.4 Operationalization: Variables, Indicators.....	17
3.5 Ethics, Reliability and Validity .....	20
3.6 Expected Challenges and Limitations.....	20
<b>Chapter 4: Research Findings.....</b>	<b>21</b>
4.1 Brief History of Back Alleyways in Yangon .....	21
4.2 Context of the Study .....	21
4.2.1 Actors in the project .....	23
4.3 Background of the Rounds.....	25
4.3.1 The process.....	26
4.3.2 Round 1: Actors and Intensity of Interaction in Design Workshop and related session (Early 2019): Decision on designing the alley .....	27
4.3.3 Round 2: Series of Meetings and Implementation Phase (2019-early 2020).....	29
4.3.4 Round 3: Launching, handover and maintenance of the alleyway (Early 2020-Before 1 <sup>st</sup> February 2021) .....	31
4.4 Community Involvement and Influence in Decision-Making .....	31
4.4.1 Community Involvement in Decisions.....	31
4.4.2 Community Influence Over Decisions .....	33
4.5 How do actors communicated, and are decisions made .....	35
4.6 Outcomes of the process .....	39
4.6.1 Number of Innovative Solutions .....	39
4.6.2 Robustness/Strength of the project.....	39
4.6.3 Clear goals/aims of plan relate to urban revitalization that objectives have been achieved .....	40
4.6.4 Actors’ satisfaction throughout urban revitalization project.....	40

4.6.5 Satisfaction with the ways in which conflicts have been resolved.....	40
4.6.6 Actors continued their relationship after conflict have resolved.....	41
4.7 What influence do they have over the resulting decisions and actions.....	41
<b>Chapter 5: Conclusions and Recommendation.....</b>	<b>46</b>
5.1 Conclusions and Recommendations .....	46
5.2 Recommendations .....	47
Bibliography.....	48
<b>Annex 1: Research Instruments .....</b>	<b>51</b>
<b>Annex 2: Primary Data Sources (Questionnaires Result) .....</b>	<b>58</b>
<b>Annex 3: Work Plan.....</b>	<b>62</b>
<b>Annex 4: IHS copyright form.....</b>	<b>63</b>

## List of Figures

Figure 1: Map of Central Business District (Yangon City Centre).....	1
Figure 2: Alley Condition before 2016 .....	2
Figure 3: Alley Condition in 2019 .....	2
Figure 4: Eight Levels on a Ladder of Citizen Participation .....	4
Figure 5: The Rounds Model: relationship between interaction, key decision points and structure, actors and content in partnerships.....	8
Figure 6: Conceptual Framework.....	14
Figure 7: Power/Influence Vs Interest Grid .....	16
Figure 8: Alleyways in Downtown, Yangon .....	21
Figure 9: Alley Garden Project in Central Business District, Yangon .....	22
Figure 10: Alley Garden Project Process .....	22
Figure 11: Completed alleyways in Central Business District .....	23
Figure 12: Process and Key Moments, Alleyway Project, Yangon, Myanmar .....	26
Figure 13: Roles of the actors in the project .....	27
Figure 14: Gender.....	28
Figure 15: Age.....	27
Figure 16: Doh Eain and Committee Meeting .....	29
Figure 17: Influence/power Vs Interest Grid.....	41
Figure 18: Occupation .....	58
Figure 19: How long have you lived in this neighborhood? .....	58
Figure 20: Doh Eain and local residents in preliminary workshop .....	58

## List of Tables

Table 1: Outline of Literature .....	11
Table 2: Number of Respondents from Questionnaire .....	16
Table 3: The Respondents List for Semi-structured Interviews .....	16
Table 4: List of indicators, and sources of data in concept/variable of community influence in decision-making processes .....	18
Table 5: List of indicators, and sources of data in concept/variable of outcomes .....	19
Table 6: Actors and their interests .....	23
Table 7: Gender and Involvement in Decisions .....	32
Table 8: Age and Involvement in Decisions .....	32
Table 9: Gender and Influence Over Decisions .....	34
Table 10: Tools of communication .....	34
Table 11: Gender and Direction of Communication .....	36
Table 12: Influence Overall Decisions .....	37
Table 13: Mechanisms in Decision-Making .....	37
Table 14: Degree of Influence in Decisions.....	42
Table 15: Occupation and Involvement in Decisions .....	59

<b>Table 16: Age and Influence Over Decisions.....</b>	<b>59</b>
<b>Table 17: Occupation and Influence Over Decisions.....</b>	<b>60</b>
<b>Table 18: Age and Direction of Communication .....</b>	<b>60</b>
<b>Table 19: Occupation and Direction of Communication .....</b>	<b>61</b>

# Chapter I: Introduction

## 1.1 Background information

Urban revitalization is argued to “give the new life, strength, vitality to an area, in the meantime revitalization means to effect new life or strength to a neighbourhood community and regenerate a flagging economy” (Holland, 2014). In addition, revitalization includes social, cultural, economic and physical elements. It balances the existing development in the city all the way through preserving urban identity, history, and culture.

Alleyways are public spaces, and they have been implicated in urban revitalization programmes for creating a symbol of the city and as being useful for urban revitalization. Ramlee et al. (2015) state that alley spaces are created for children to play, adults to enjoy the natural environment, and to provide a social gathering space for the events that illustrate the features of the city landscape and city dwellers life experiences. They are argued to enhance the urban environmental quality, foster public gatherings and knowledge sharing, resonate the urban traditions and culture. Likewise, they intend to provoke the public’s sense of belonging and identity. They play a critical role. Therefore, in order to initiate and implement urban revitalization programmes or projects, the involvement of local actors is important because these actors have different knowledge and expertise to implement urban revitalization programme for their community and they have interactions with each other throughout the programme (Van Meerkerk, Boonstra, & Edelenbos, 2013; Wagenaar, 2007). Furthermore, interactions between the community and other actors are key for handling repetitive problems as well as managing better outcomes for urban revitalization (Devakula, 2017).

Under such circumstances, an organization called “Doh Eain” developed and implemented a project to revitalize alleys in Yangon. The community played an important role, and this was a different role than was typical in a system that had been encouraged bottom-up approach and the project strengthened democratic practices. The deeply rooted centralized governance systems that existed nearly three decades impacted decision-making process. Thus, the project is a case study of how a local organization initiated a participatory revitalization process in the back alleys and transformed these into a space for local residents and other key actors to collaborate. In contrast to previous processes of decision making this project also changed the extent to which local community influenced the results of the revitalization of Central Business District.

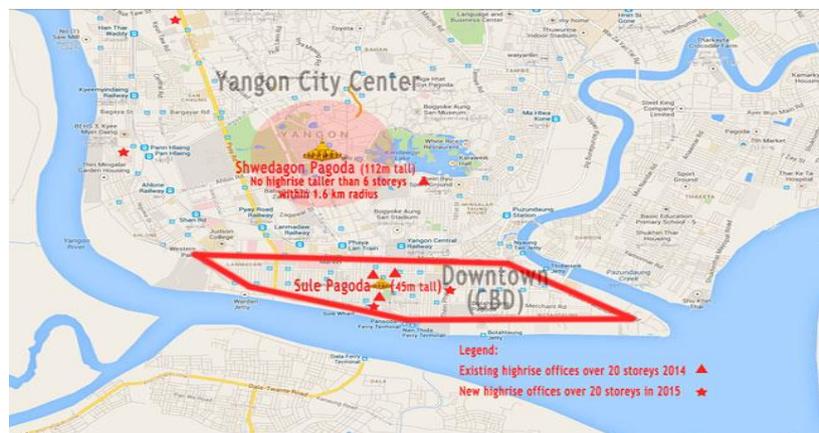


Figure 1: Map of Central Business District (Yangon City Centre)

Source: <https://www.bing.com/images>

## 1.2 Problem Statement

Ramlee et al. (2015) describe urban revitalization as a process that includes a form of urban management schemes for facilitating social, economic and environmental growth. According to them, the processes of urban revitalization are rooted in dynamic network conditions, in which multi-stakeholders restructure the cities and are reliant on each other. In this regard, “participation is a multi-path set of interactions among different actors who collectively generate outcomes” (Van Meerkerk, 2014). Besides, Wagenaar (2007, p.17&29) argues that people participation strengthens the democratic process because people learn and recognize their personal needs, desires, and the common interests.

Stakeholders’ interactions in participatory approaches: A Case Study of Revitalization of Back Alleys Project in the Central Business District, Yangon City, Myanmar

Yangon city experienced rapid urbanization when Myanmar underwent democratization from 2012 to 2020. The city now faces urban problems such as the increase in urban population, and a rising number of new development projects with high-rise apartments and large-scale commercial buildings. Though the city government was aiming to deliver good amenities in the housing and transportation sectors, some essential services, including adequate public spaces, have not yet been considered. An organization called “Doh Eain (Our Home)”, a Non-Profit Organization (NPO), initiated and implemented a project to revitalize current back alleyways for residents, using a participatory planning process since 2016.

According to the history, British architects designed and planned the alleyways in the colonial time; however, the alleyways were unused for almost three decades and, under military rule, people threw their trash in the streets. However, changes were seen when the country began the democratization process and the Yangon City Development Committee (YCDC) initiated a clean-up work in 2014 (Matsushita & Kubota, 2018). The alleys became the target places for social experimentation. Doh Eain undertook the “Alley Garden Project” initiative during 2017 and 2018 in Central Business District, in collaboration with the local residents, ward and township officers, related departments of Yangon City Development Committee and members of regional parliament. The CBD is under the control of the YCDC and five related departments of YCDC have certain management duties regarding the alleys (Matsushita et al., 2018, p.2). The project’s planning and implementation were built on a bottom-up approach and value given to citizen’s involvement. This motivated the establishing of the “Social Welfare Committee” to facilitate in program management and administration. Likewise, the project encouraged resident’s participation in community meetings and design workshops. Besides, Doh Eain created a unique structure of project funding, meaning that local residents contributed 20% of the total cost and Doh Eain supported the remaining 80% of the entire project expenses (Matsushita et al., 2018, p.3).

Despite the positive change, urban revitalization is a process and exists with interactions of different actors or stakeholders. Stakeholders are individuals or groups who can be affected by projects or programmes and have some interest or influence in decision-making in a project, and can disseminate these in the form of wisdom, knowledge or resistance (Bourne, 2005; McGrath & Whitty, 2017, p.728). Though the system of governance in Myanmar has been changing over the past ten years from heavily centralized to a more democratic system, creating local initiatives and transforming these into practice is challenging. This is because actors have limited resources and power to influence or the challenges in having communications with state institutions in implementation (Van Meerkerk et al., 2013, p.1631). In Myanmar, there are several studies that focuses on community participation and decision-making processes, but not specifically mentioned the degree of local community influence over the outcome after decisions were made. Therefore, there is still a research gap on the nature of involvement of key actors, but the extent to which they can influence in decision-making. Besides, there had remained the research gaps of 1) how implementing organization managed participation and how depth and breadth of the participatory process 2) many actors are involved in decision-making process, and they come with their views of problems and possible solutions, but how stakeholders interacted with each other in decision-making and negotiated suitable combinations of problems and solutions in this project.



**Figure 2: Alley Condition before 2016**

Source: <https://www.lonelyplanet.com/articles/yangon-Organization-cleaning-up-city>



**Figure 3: Alley Condition in 2019**

<https://www.mmtimes.com/.../26717-a-trip-inside-yangon-back-alleys.html>

### **1.3 Relevance of the research topic**

This study is socially relevant because participation is a tool for empowering people (Beall, 1996). Moreover, public participation aims to promote better decisions and decision-making processes will be more advantages to the rest of the society (Irvin & Stansbury, 2004, p.56).

The other thing is that there have been many studies on participation but there is need for more on 1) the achieving high levels of participation 2) real involve in decision-making 3) a particular in the context of a system that is shifting from a military dominated to more democratic system.

### **1.4 Research Objective**

This research aims to understand and explain the extent to which community were able to influence the decision-making processes and the outcomes in the revitalization of back alleys in the Central Business District in Yangon City, Myanmar.

### **1.5 Main research question and research sub-questions**

To what extent did the community influence the decision-making processes and the outcomes in the revitalization of back alleys in the Central Business District in Yangon City, Myanmar?

#### **Research sub-questions**

1. What types of local actors were involved in revitalization of back alleys and what role did they take in the decision-making process?
2. How is decision-making organized and who has what kind and degree of influence in decision-making and outcomes of revitalization of back alleys project?
3. What factors influenced the decision-making process and the outcomes of the project?

## Chapter 2: Theory Review

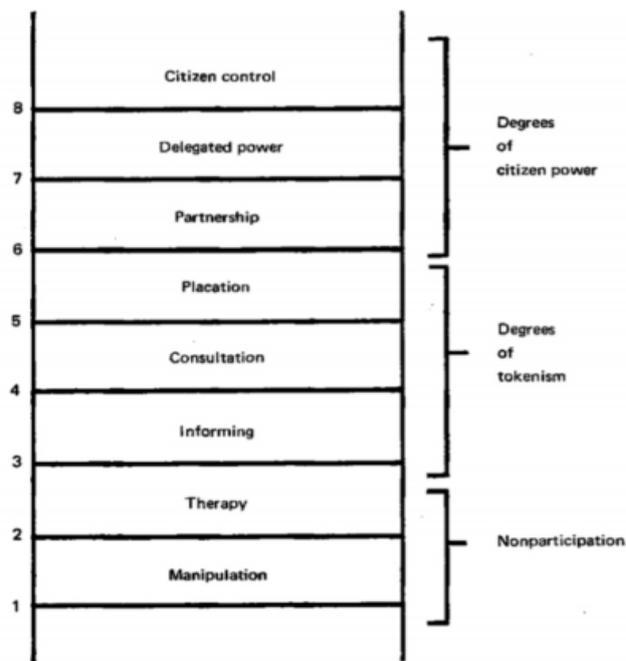
Cities have become more complex and are characterized by wicked problems. That the more hierarchical approaches are not working anymore, and the assumption that the government has all the solutions are no longer valid. This then assumes more horizontal forms of working, with participation as a key dimension of this (Minnery, 2007). Theory provides for different modes of participation and different types of influence of those participating in the decision and outcomes. Therefore, the key focus of this research is the local actors' interactions in decision-making process and outcomes in order to handle complex problem and success their goals in urban revitalization. The conceptual framework was developed through a literature review.

### 2.1 Participatory Process

Sherry Arnstein (1969) defines "participation as public power and redistribution of power". She also underlines that participation is meaningless without redistribution of power for the powerless.

Otherwise, participation is a process, and it is important because different stakeholders have different interests or influence/power in decision-making in a program or project, can contribute their knowledge or support or can be affected by the project (Bourne, 2005; McGrath & Whitty, 2017).

#### 2.1.1 Levels of Participation



In terms of participation, Arnstein analyses eight levels of public participation and each level represents the increasing degree of decision-making power. According to below figure (4), the first two bottom levels of participation are called 'Manipulation' and 'Therapy' as they are stated as non-participation levels in which powerful citizens "educate" the actors in planning. 'Manipulation' is the first stage, and it is connected to the misrepresentation of a proclamation and the distribution of the news without having consultation with the public. 'Therapy' is the second level and includes public involvement in planning with the aim of enhancing citizens' "pathology" as a replacement for changing the motivations that produce these "pathologies". Next, informing, consultation and placation are defined as degree of tokenism in which powerholders that have the final decision can listen to the voices of excluded stakeholders. Otherwise, it is the first move to legitimate public involvement via communicating with citizens on

Figure 4: Eight Levels on a Ladder of Citizen Participation

Source: Arnstein, Sherry (1969)

their responsibilities, freedoms, as well as options. Arnstein (1969, p.219) illustrates that in 'Informing', one-way communication flows from public officials to the public with no channel to provide responses. There is a lack of power on the part of the citizens to critique the project, program and policy planned "for their benefit". Second, in 'Consultation', the combination of dialogue and other forms of involvement promotes genuine participation through considering public opinion and without constraining their feedback. Third and finally, 'Placation' occurs when the decision-makers have the power to decide if citizens' opinions should be taken into consideration or not.

The last three levels shows that participation is about public having more power to negotiate and change the status quo. Public voices are heard and responded to. The negotiation on planning and decision-making processes responsibility of powerholders and public is described as 'Partnership'; it enhances if public leaders

are needed to clarify their decisions. The public can command decision making processes via negotiation with civil servant officers; in 'Delegated power', the public can take and apply veto power if an agreement is not reached through negotiating. Arnstein (1969) concludes that citizens can demand a degree of power that puts them in full charge of "policy and managerial aspects", and after that, discuss about the procedures if amendments need to make.

All in all, according to the theory of Arnstein, there are eight levels of participation, but the citizens do not have power in the first two lowest levels, 'Manipulation and 'Therapy' and only powerholders take the role. In the stage of 'Informing', it can observe that the citizens participate in the process; however, they are there to take the information with no respond. In the level of 'Consultation', citizens can express their opinions, but it is unsure if they influence the decisions and outcomes. Two-way dialogue can be seen at the consultative level, but there has no indication of whether opinions will be considered. In 'Placation', the citizens can participate in many discussions, and they have the opportunity to develop their opinions as well as their opinions will be heard and recognized. Besides, 'Placation' has two-way communication channel without having constraints on giving feedbacks and some of their opinions will be taken into account. In 'Partnership' level, the citizens can take part in collective bargaining, and they are able to combine their preferences and the citizens can vote for final decisions. Likewise, the communication channel includes negotiations among different stakeholders, response to decision ensured, that will be considered. In the last two highest levels "Delegated power' and 'Citizen control', citizens have power to involve in lots of deliberations, exchanging views and agreed other views and then reached a consensus. At these levels, citizens dominate dialogue, negotiate among different actors and public can use veto decision.

Rosenzweigova et al. (2016) argue that participation can be observed as a range of interaction between different actors which varies from informing and listening to implementing mutually agreed results. On the other hand, the power and form of participation will depend on the level of participation and the anticipated outcome. Therefore, Rosenzweigova et al. (2016) highlight that many developing countries and Council of Europe focus on two higher levels of participation that have been described in the theory of Arnstein. The following levels of participation are:

- 1) Consultation
- 2) Collaboration (partnership)

These two levels of participation are widely used for public influence in decision-making because they have high public influence where most significant public participation occurs.

### **1) Consultation**

To consult means "to ask or to obtain public feedback on analysis and decisions" (International Association for Public Participation, 2018). The consultative level of participation is the opportunity for citizens input to a decision. Rosenzweigova et al. (2016) argue that consultation is a level of participation where government or non-government organization asks the community to give its view, suggestions, and comments on a particular program/project. Otherwise, Arnstein (1969) argues that citizens can express their views, but it is not guarantee that they can influence the decisions as well as the suggestions are not sure to take into account. Therefore, Rosenzweigova et al. (2016) depict that 'Consultations' are generally conducted with a wider group of people from the public, but need to be classified by a clearly identified process, all inclusive of identified stakeholders and sufficient time to provide feedbacks. It is a responsive way of participation; the public becomes participated because the government or the leading organization asks for this. The effective tools and methods may include in consultation process:

- Consultation, online or in person meetings to discuss the design, implementation and evaluation of project with the public;
- Procedures to follow up the progress including surveys or questionnaires, to accumulate concerns and recommendations from stakeholders;
- Open committee or plenary sessions to ensure discussions during the decision-making.

### **2) Collaboration (Partnership)**

To collaborate means "to partner or work together" (International Association for Public Participation, 2018). The public is directly involved in decision-making at the collaborative level. Rosenzweigova et al. (2016) argue that collaborative level of participation refers to the community and the government undertaking joint

accountability at all phases of the decision-making process, as a highest level of participation, for example agenda setting, problem identification, decision and implementation, and delegation of the tasks to community and relevant stakeholders. It includes representatives of the public sharing a seat at the table with the government representatives. The initiative can come from both parties. A partnership can take place at all stages of project cycle but is especially relevant in project formulation, implementation, and learning. The following tools and methods may include in collaborative level of participation:

- Working committee formed as a permanent or ad hoc expert group to give advice on project matters.
- Co-drafting: active involvement in drafting parts of the project activities.
- Co-decision making such as participative budgeting or other issues raised.
- Strategic partnership where government, NGO and local community form a partnership to implement programme/project.

The collaborative level considers the specific effort to find agreement results (International Association for Public Participation, 2018).

In short, according to Rosenzweigova et al. (2016), participation is the interaction of the different actors and participation depends on actors' power and interests of the proposed plans and programmes. This session highlights two levels of participation, namely 'Consultation' and 'Collaboration' because these two are high levels in participation and they have responsive way for the public to participate and make decisions. The authors summarize that 'Consultation' considers community opinions and feedbacks on programmes/project as well as it applies two-way communication channels to ensure dialogue during decision-making. However, Arnstein (1969) argues that citizens can express their thoughts, but no indication of their thoughts will be considered at the consultative level. In the collaborative level, similar to Arnstein, Rosenzweigova and other authors encourage joint collaboration of the community and the government at all stages of the project, and they can negotiate in decision-making.

### **2.1.2 Forms of Participation**

Whilst Arnstein assesses levels of participation, Andrea Cornwall recommends two simple methods to evaluate the forms of participation namely, depth and breadth. A 'deep' method opens the space for the participants to participate in entire phases in a provided programme, from identification to decision making, and in a substantive manner (Farrington & Bebbington, 1993 in Cornwall, 2008). If only specific interest groups or a few people participate, the process can be deemed 'narrow'. Likewise, a 'wide' range of citizens could participate; however, if they are only brought in to be informed and consulted, participation may remain 'shallow'. This helpfully emphasizes the connections between inclusion and exclusion and the degree of actor's participation. Furthermore, it can be a mechanism through which to discover claims to participation that turn out to have engaged only rich, elderly, and male members of the 'community', and disadvantaged groups, including women and children, may have been ignored. These situations are not unusual when reading articles or policy statements that should consider 'full participation' and 'all stakeholders participation'.

In summary, Cornwall (2008, p. 276) states that a 'deep' and 'wide' forms can be the optimum; however, in reality, these forms can confirm either practically not possible to achieve and time-consuming that actors start to lose interest. Therefore, it makes sense to consider in terms of ideal participation: getting balance between depth and inclusion right for the purpose at hand.

## **2.2 Participation in Decision-Making, By Following "Democracy Cube"**

Participation in decision-making processes means "*a possibility for the citizens, non-government organizations and other interested parties to influence the development of policies and programmes which affect them*" (Rosenzweigova et al., 2016, p.4). In this regard, Fung (2015, p.514) highlights the theory on participatory design choices which follow the rubric of a "democracy cube". This cube highlights who are involved, how do actors communicate, and decisions are made, and what influence do they have over the resulting decisions and actions.

### **2.2.1 Who are involved**

Fung (2015) focuses on the difference categories of who can be involved in public participation and how participants are selected. Participation (1) is not restricted but open to all if they want to attend; (2) is open to all, but, at the same time, select participants from disadvantages group e.g., women, poor, disabled people are

less likely to participate; (3) involves randomly selected participants from the general population (without definition of criteria for selection); (4) involves the public, on a voluntary basis, who have a deep interest in the precise subject matter, are willing to share their time and represent those who share the same interest; (5) engages government officials; (6) engages uniquely elected representatives, experts from the public sector, academia, and practitioners. Rondinella et. al (2017, p. 966) argues that in (4) and (5), community members work as key actors representing and raising community voices with passionate commitment to the interests and needs.

In short, Fung summarizes that participation is opened for all general public. However, not all public are able to join the discussions with government and non-government actors because they might have limitations in power and authority to deal with them. Therefore, it makes more sense to select the participants who are interested in the projects/programmes, and they can share their time and knowledge on specific subject matter. Likewise, these selected participants can engage and communicate with government officials, and other key actors in decision-making. Rondinella added more that the community members are also main actors, and they are the representatives for the community.

### **2.2.2 How do actors communicate and are decisions made**

Fung (2015) considers six points referring to the nature of participation by actors along a spectrum ranging from the less to the most intensive roles. In this regard, a participatory process can be set up in such a way that: (1) participants join the process as listeners who passively receive information; (2) participants are given the opportunity to raise their opinions, cases and preferences to the audience and government officials, with little or not having influence; (3) participants enthusiastically develop opinions, cases and preferences after having been given the opportunity to intensively discover, study and deliberate about the issues; (4) participants already combined their given preferences—characteristically with the option for final vote—after having in a collective bargaining process; (5) participants involve in discussion, exchanging “opinions and experiences to each other” and agreeing their views step by step with the ultimate aim of reaching a consensus; (6) participants are experts, for example planners, policy makers who position on technical skill and standard procedures of problem solving. According to the theory of Fung, the first three tools (1-3) do not foresee the transformation of participants’ perspectives, cases, and preferences into collective decision while the last three (4-6) describe the appropriate decision-making methods to create collective choices as outputs.

All in all, Fung highlights six points on how actors are communicated, and decisions are made. This is similar to the types of interaction or roles described by Arnstein and Rosenzweigova, at different levels of participation, with a slightly different (more developed) view of the role of the community and how decisions are made.

### **2.2.3 What influence do they have over the resulting decisions and actions**

Fung (2015) highlights five points along a scale varying from the less to the highest degree of influence: (1) participants have no expectation of influencing policy and action and they aim simply at fulfilling a sense of civic obligation; (2) participants exercise an indirect communicative influence over elected representatives and government officials, who can be stimulated to action by the discussions or outcomes of participatory process; (3) while elected representatives and government officials are upholding their power, participants give suggestions and take part in discussions, therefore, those in power promise to use these inputs; (4) participants collaborate with elected representative and government officials to create plans, strategies and programmes for public action; (5) participants are completely empowered to apply direct authority themselves over public choices.

In conclusion, similar to Arnstein, Fung also highlights the scale from the lowest to the highest. Community members who are involved in low levels, they are just informed and joined the discussions without giving comments. For those participated in high levels, they can collaborate with government officials and key actors as well as they can comments on proposed plans and use direct authority.

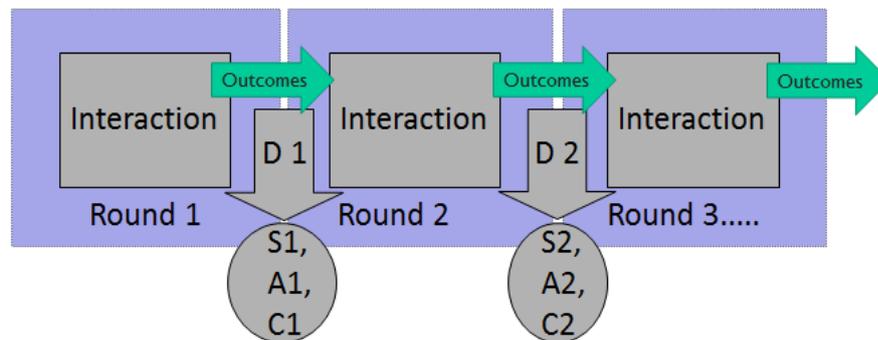
## **2.3 How decisions are made and changed over time**

Teisman’s theory on rounds model is a focal point for this study because it is used to understand and explore the interaction and strategies of the actors in this case, in urban revitalization. Teisman (2000, p. 943) states that the rounds model targets stakeholder interactions, during which they can negotiate appropriate combinations of issues and resolutions. The decision-making in the rounds model is not about a single problem; however, about dynamic integrations of issues and results characterized by various actors. Barriers in decision making

frequently happen when a result approved by one or more actors represent an issue for others. The progress can be seen when a solution is delivered which handles a set of issues and objectives of many actors engaged. Therefore, the rounds model can be presumed as an interactive method.

In decision-making over time, there is a vertical and horizontal category. The vertical category of decision making looks at the sequence of decisions that were taken in that time. In addition, the horizontal category looks at actor' interactions relating to the same subject matter, even if actors do not understand each other's decisions at the certain period when they make these decisions. This period is described as 'a decision-making round'. Teisman (2000, p. 954) highlights that each new actor joining decision making creates issues and solutions in a different way, so it undertakes different strategies. In this regard, the rounds model represents further options to improve insight into decision making. The rounds model is not just accepting that there are many actors, but also acknowledging that all these actors contribute to decision-making process, can even influence the results, helps to understand the complexity, and acquire insight into interaction forms. The application of the rounds model produces a picture of decision making, especially aiming at the capability of groups to manage their reliance on other groups in collaboration.

In summary, rounds model gives an understanding of the interaction between actors, their decision, strategies (the actions they took), and the outcomes of their strategies. The decisions taken at the end of each round has an influence on the strategies employed by actors in the next round.



**Figure 5: The Rounds Model: relationship between interaction, key decision points and structure, actors and content in partnerships**

Source: Strategies undertaken during the interaction result in key decisions (D) and changes in structure and stakes (S), actors (A) and content (C). Adapted by the author from Teisman (2000) and Bult-Spiering (2003)

## 2.4 Stakeholders' Degree of Influence in Decision-Making

Garcia & Bodin (2019) argue that participatory processes have called attention to the importance of power dynamics in decision-making workshops and meetings. Undeniably, participants who participate in many workshops and forums will have the opportunity to apply influence on the precise subject matter and will gain more knowledge of subject matter, which can put them in a better situation to progress their interests. In addition to this, the authors hypothesize that:

**Hypothesis 1) The more workshop/meetings related to particular project/program an actor attends, the greater their influence**

Participating in more meetings results in having more knowledge and understanding of local issues and from different perspectives. Also, working together develops competences to work together. Besides, it could provide access for actors who are less participated in high level meetings, including elected representatives or local municipalities. Getting access to these actors by involving in local workshops/meetings can be a source of influence for actors in higher-up meetings. Likewise, these local actors are frequently perceived as being representatives of community interests. Moreover, Garcia & Bodin (2019, p.33) depicts that it is important to consider actors involvement over long-time frames. This creates actors to obtain adequate awareness to be able

to contribute effectively and efficiently in the scheme, to create partnerships to exert influence and to develop useful communication plans.

**Hypothesis 2) The longer the time over which an actor engages in the committee, the greater their influence**

Garcia & Bodin (2019) highlight that time availability and willingness to be participated are necessary elements for acquiring benefits from involvement and gaining influence. Certainly, one of the key problems identified as perpetuating exclusion is the lack of time available to more disadvantages people, who may perhaps not be able to leave their work to join the committee meetings/workshops, or who may take care of their kids and do household tasks. Therefore, available time is a vital situation that only becomes important when related to an actor's eagerness to participate fully in joining in a meeting/workshop.

In conclusion, these hypotheses underline that if an actor participates in more meetings and over a greater length time, that actor will tend to become more involved, have more people listen to his/her opinions, understand the situation and the perspectives of others more, and exercise more influence in the long run (so be seen as more of partner and not someone to simply comment on things without being involved).

## **2.5 Outcomes in Governance Network in Urban Revitalization**

According to Frieling, et al., (2014), the accomplishment of community participation in urban revitalization obviously hangs on a collaboration between citizens and other actors. The citizens take the key role in urban revitalization programmes, but the extent to which community-led initiatives and assets fit with government policies and procedures. Community initiative programmes create community to take a key role in implementation, governing its own needs, as well as it encourages long-term sustainable transformation in their neighbourhoods (Drake, Simmons, et al., 2014; Devakula, 2017).

Stakeholders involved in the governance network have different goals, and given these divergent goals, it is challenging to assess results in urban revitalization. In addition, the aims of the stakeholders change over time and throughout decision-making process (Van Meerkerk, 2014), adding the complexity of determining whether outcomes have been achieved.

Under such circumstances, Klijn et al. (2010) have been addressed the issue by applying identified outcomes as a proxy for these outcomes and by means of using more than one criterion to assess them. The reason why the goal can be changed, and actors might have different opinions about the outcomes. The authors differentiate content outcomes (the innovative character, problem solving, and so on), and process outcomes including, administrative effort, support of the stakeholders involved.

The content outcomes are illustrated by several perspectives drawn from the literature on governance networks. Klijn et al. (2010) depict many characteristics and elements to characterize the essence of results from governance processes.

- 1) The innovative character of the outcome, i.e. the way in which the project shows innovative outcomes (Hajer & Wagenaar, 2003).
- 2) The integrative aspect of the solution. That is the way in which the plan characterizes various environmental tasks (recreation, housing and so on) (De Jong & Edelenbos 2007; Klijn et al, 2010).
- 3) The identifiable contribution made, that describes the influence of the actors' involvement in the decision-making process (Edelenbos and Klijn 2006; Klijn et al, 2010).
- 4) The problem-solving capacity of results, that is, the extent to which the resolutions certainly tackle the issue (Innes and Boohler 2003; Klijn et al, 2010).
- 5) The robustness of the results. That is the future robustness (timeline) of the solutions (Klijn et al, 2010).

Likewise, the process outcomes are illustrated by numbers of opinions drawn from the literature on governance networks. Klijn et al. (2010) describe many characteristics and elements to characterize the essence of results from governance processes.

- 1) The management of governance network indicates the level of satisfaction of the ways in which actors are involved in the project.
- 2) Conflict resolution. That is the way in which conflicts have been averted and solved by those involved.
- 3) The extent to which the process has faced lack of progress or gridlocks.

- 4) The productive use of disparities in perceptions. This is the way in which differences in frame and perceptions have been resolved.
- 5) The support for outcomes coming from governance networks. This implies to the extent to which actors are pleased with the outcomes accomplished.

Based on the content and process outcomes, there have a question of how management approaches influence decisions and outcomes in governance network. This is a tricky question because a governance network is complex and contains different actors. Furthermore, assessing outcomes is difficult because the purposes of actors are changing overtime and decision-making processes are lengthy in governance network (Koppenjan & Klijn, 2004). Therefore, Klijn et al. (2010) mentions that it is essential to have good relations among actors inside the network. This network interaction and 'embeddedness' (the way actors are linked to the whole network) are essential for accomplishing outcomes or accomplishing innovation.

**Table 1: Outline of Literature**

Arnstein (1969)				Fung (2015)			Ronzensweigova et al (2016)			
Levels of participation	Role and power of the community	Role and power of the institution managing participation		Who is involved	How actors communicate? And decisions are made?	What influence they have over decisions and actions	Role and power of the community	Role and power of the institution managing participation	Tools, channels of communication	
8	Citizen control	In charge of policy manager will aspects	Public voices are heard and responded to	6	Involvement of elected representatives, experts from the public sector, academia and practitioners	Experts including planners, policymakers who have technical skills and problem-solving skills	Participants are completely empowered to apply direct authority over public choices			
7	Delegated power	Public command decision-making process via negotiation and can take and apply veto power	Public voices are heard and responded to	5	Engage government officials	Involved in discussions, exchanging opinions and experiences, agreeing their views step by step with ultimate aim of reaching a consensus	Collaborate with elected and the government officials to create plans, strategies and programmes for public action			
6	Partnership	Negotiation on planning and decision-making	Public voices are heard and responded to	4	Involvement of voluntary public who have a deep interest in the subject matter and represent those who share the same interests	They combine their given preferences, characteristically with the option for final vote, after having a collective bargaining process	While government upholds its power, participants give suggestions and take part in discussions, therefore those in power promised to getting inputs	Directly involved in a decision-making at the collaborative level, undertaking accountability at all phases of decision-making process	Share seats at the table with government officials; initiatives come from both party; can take place at all stages of the project cycle. Look to the other party for advice and innovation in formulating results, combine feedbacks and suggestions into decisions to maximum extent possible	Working committees formed as permanent or ad hoc expert groups to give advice, Co drafting, co-decision-making, strategic partnership
5	Placation	Consideration of public opinion	Have the power to decide if citizen	3	Select participants randomly	Develop opinions, cases and	Exercise indirect communicative			

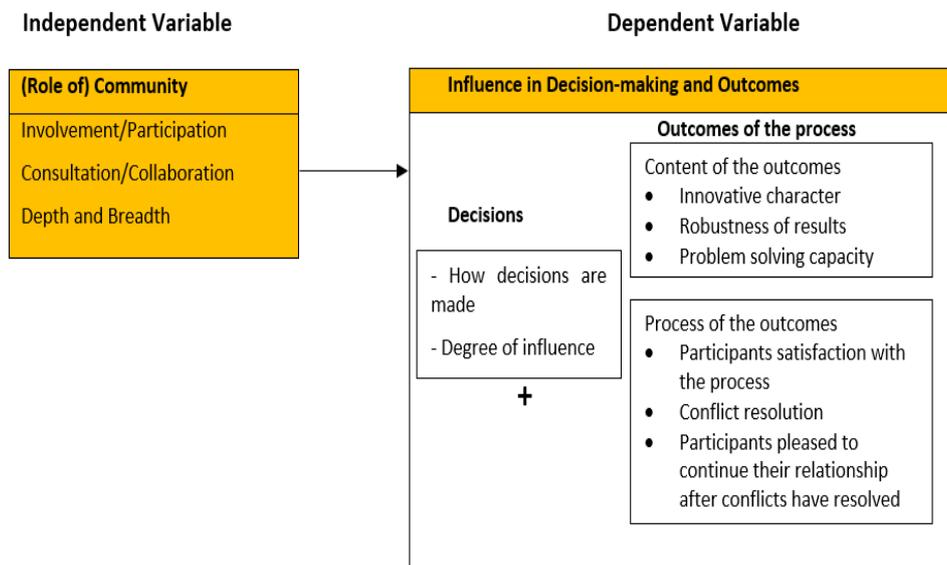
		without constraining feedback	opinion should be taken into consideration or not			preferences after having been given the opportunity to discover, study and deliberate about issues	influence over government officials, who can be stimulated to action by discussion or outcomes of participatory processes			
4	Consultation	Consideration of public opinion without constraining feedback	Combination of dialogue and other forms of involvement	2	Open to all likewise, choose participants from disadvantaged groups	Given the opportunity to raise opinions, cases and preferences, with little or no influence	Have no expectation to influence policy and action, just aim to fulfil civic obligation	Opportunity for the citizen to input on a decision because the government/non- government organization asked for this	Ask or obtain feedback on analysis and decisions Keep informed, listen to, recognised concerns and desires, give comments on how public input influence decision	Use certain tools over the process such as online/ personal meetings, followed up with surveys/ questionnaires, open committee/ plenary sessions
3	Informing	Citizens have lack of power to critique project, programme, and policy	One-way communication flows with no channel to provide responses	1	Not totally restricted and open to all if they want to attend	Join the processes as listeners and receive information passively				
2	Therapy	Non-participation levels	Public involvement in planning with the aim of enhancing citizens' "pathology"							
1	Manipulation	Non-participation levels	Connected to the misrepresentation of a proclamation and the distribution of the news without having consultation with the public							

According to the above table, both Arnstein and Ronzensweigova have similarities on the theory of public participation. They both mention the levels of participation, role and power of the community, and role and power of the institution managing participation. The differences are that while Arnstein describes eight levels of participation, Ronzensweigova and others focus on two levels, such as consultation and collaboration (partnership). It can observe that these two levels are broadly applied for citizen influence in decision-making and those are easy to assess the actors participation in precise subject matter. Both authors highlight that the more actors participate in high level, the greater their influence in decision-making. Ronzensweigova and others added more about the communication tools that are relevant and effective in participation and decision-making. Fung highlights democracy cube of who are involved, how actors are communicated and decisions are made, and what influence do they have over decisions and actions. Fung's theory supports the theory of Arnstein and Ronzensweigova, but he gives precise information on who can be participated and how to select the participants in decision-making.

## **2.6 Conclusion**

As the effects of complexity of urban problems and the transformation of societal context, the system of governance has changed from centralized to democratic system. Therefore, community desires are considered, and their participation are powerful in decision-making process. Urban revitalization is a complex problem and set in vibrant network environment, therefore, it needs the integrated vision and plan for different actors to collaborate. The studies have revealed the levels of participation and the roles and power of local actors in decision-making as the essential elements to understand how decisions were made and the extent to which people were involved in decision-making in urban revitalization. These important aspects and the conceptual framework were discussed further in next chapter.

## 2.7 Conceptual Framework



**Figure 6: Conceptual Framework**

Source: The author (2021)

## Chapter 3: Research Design and Methods

This chapter includes the research design and the various methods to collect the required information and data. It is detailed into the sub-questions, the research strategy, data analysis, operationalization of the concepts into variables and measurable indicators, the expected challenges and discussion. This research also mentions the ethics, reliability and validity of the data.

### 3.1 Research Strategy

The research study was explanatory research and explained the extent to which local actors were able to participate in the decision-making processes, using Doh Eain's back alleys revitalization project as a case study. This research used a case study strategy because it allowed the research to explain, explore and describe the interaction within a context (in a real-life situation) and it was also in line with the research objective. This research used a single case study and the researcher only looked at the past situation of the project and the process over time. As part of this strategy, the researcher used the rounds model to trace the steps in the process and interaction and to verify the causal relationships between different variables in conceptual framework. As well, to ensure internal validity, the researcher triangulated sources of information.

The researcher used the rounds model to chart the interaction over time, the strategies used and to identify when key decisions were made, the nature and the change in decisions between different stakeholders over time. The rounds model helped the researcher to identify whether there was a change in stakeholders over time, as well as the intensity and length of their involvement. The researcher also used a stakeholders' analysis to understand the degree of local actors' interests and influence in decision-making.

### 3.2 Data Collection Methods

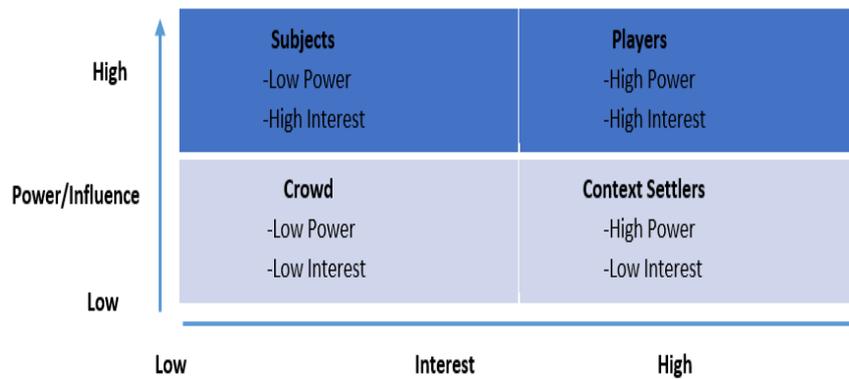
The research used mixed method; however, qualitative data was mostly used, and quantitative data supported in measuring the levels of people involvement in decisions. In this research, perception is the lens through which people view and make sense of the world and influence how they create responses (Kickert et al., 1997, p.82) and evaluate outcomes of strategies to be employed (Van Twist & Termeer, 1991). Perceptions are the *"images that actors have about their game situation, and they use them to give meaning to and evaluate their actions and actions of others"* (Koppenjan & Klijn, 2004). Perceptions are important to the outcome of a situation, as they are the basis upon which actors evaluate the possible outcomes of (policy) processes, choose a strategy and make decisions.

In this research, though Doh Eain finished 11 projects, each alley had the same process and Doh Eain executed process in so many alleys. However, the researcher chose alleys that developed into the period of 2019 to early 2021. First of all, Doh Eain developed the process, and it was tested. There can be consistency between the responses and the different alleys. Second, people were involved in the alley's early years, but they were no longer involved due to politics and security issues and some alleys committee members moved to other places in Myanmar.

In this research, the primary sources relied on the questionnaire and semi-structured interviews by using snowballing sampling. The researcher created a google form for questionnaire in Myanmar language and disseminated it to the local residents through her network. Alternatively, Doh Eain's project staff went there and asked a few residents in person. Due to the political situation in Myanmar, the questionnaire was only designed for local residents, including men, women, youth and other disadvantages groups. Then, the researcher was conducted semi-structured interviews with the project focal staff, committee members and academia through online such as Zoom and messenger. The reason to conduct semi-structured interview was that the researcher would like to understand the insights and the experiences of the stakeholders with decision-making processes and how their decisions were implemented throughout the project. Besides, the researcher applied a stakeholders' analysis. Stakeholders' analyses are used to identify who has what power/influence and interests in particular projects and programmes. Based on that it can determine the degree to which different stakeholders can influence in decision-making processes (Thomas 1993, 1995; Bryson, 2014).

In stakeholders' analyses, Ackermann and Eden (2011) introduce a technique and it is called "power/influence versus interest grid". The following figure (7) describes the four quadrants of the grid as it can be seen as identifying four categories of stakeholders. First, "player" shows that the stakeholders who have high interests and power/influence. Second, quadrant "subjects" means the stakeholders who have high interests but little

power/influence. Third, “context setters” who have little interests, but have high power/influence. Fourth and finally, the stakeholders in the “crowd” quadrant have both little power/influence and interests.



**Figure 7: Power/Influence Vs Interest Grid**

Source: Ackermann, Fran & Eden, Colin (2011) (Adapted)

Furthermore, Geert Teisman theory on the rounds model is used to identify how participation and decision-making changed over time, and when important decisions were made. Van Thiel (2014, p.104) mentions that secondary data sources can be used, including virtual documents and online media platform. Therefore, the researcher used secondary sources including examining project reports, electronic articles, and online literatures.

In this research, in order to indicate community level of their participation in decision-making process, the researcher collected 33 questionnaires from local residents who live in the project area. Due to the military coup and Covid outbreak in Myanmar, the researcher was able to interview five respondents only. The respondents were two focal staff from Doh Eain Organization (Respondent#1 and 2), one from resident committee member (Respondent#3), one from local resident/volunteer of the project (Respondent#4) and one from academia, who had previously conducted research about back alleys project in Yangon (Respondent #5).

**Table 2: Number of Respondents from Questionnaire**

Name	Group	Number of Respondents
Respondents	Local residents/community	33

**Table 3: The Respondents List for Semi-structured Interviews**

Name	Group	Occupation
Respondent#1	Non-profit organization	Architect and Project Officer of Doh Eain Organization
Respondent#2	Non-profit organization	Community Engagement Officer of Doh Eain Organization
Respondent#3	Resident Committee member	None
Respondent#4	Local resident/volunteer	None
Respondent#5	Academia	Project Researcher, The University of Tokyo

### 3.3 Data Analysis

Due to the nature of the research, both SPSS and Atlas-ti software were used for analysing the data. First, the researcher developed an interview guide that included a set of closed-ended questionnaires and open-ended questions for semi-structured interviews. Before conducting the interview, the researcher asked the respondents to answer the questionnaire. Then, it was followed by semi-structured interviews based on the operationalization of the variables obtained from the conceptual framework. Next, the researcher used SPSS

software for quantitative data and semi-structured interviews content were transcribed and coded in the Atlas-ti software for qualitative data. For qualitative data, the code list was created primarily based on the identified indicators of each variable in operationalization table (Table 3 and 4).

### **3.4 Operationalization: Variables, Indicators**

This section includes the operationalization of the concepts/variables that were described and discussed in chapter 2 through the literature review and conceptual framework. Those concepts were synthesized as detailed indicators and sources of data to be realized by the respondents, assessed, and interpreted by the researcher. The following tables precisely mention the operationalization.

**Table 4: List of indicators, and sources of data in concept/variable of community influence in decision-making processes**

Concept/Variable	Indicators	Sources of Data
Community influence in decision-making processes	Consultative/Collaborative Community' ability to involve in decision-making processes at which levels	-Questionnaires were conducted with local residents both online and in person through Doh Eain staff and researcher's network -Semi-structured interviews with project staff, resident committee member, volunteer/local residents and academia via online -Power grid of stakeholders' analysis -Rounds model -Meeting minutes -Reports
	Depth and Breath -Types of actors attend the meetings/workshops - # of local residents able to speak in meetings/workshops	
	Levels of power of the actors -Influence of community over decisions -Ability to express opinion and comment on decisions	
	Number of communication channels	
	Mechanisms of decision-making	
	Number of rounds of actors' interactions in decision-making	
	Degree of influence in decisions - # of types of actors attend the meetings/workshops - Intensity of the actors' interaction over time	
	Direction of communication channels	
	Degree (high/low) of influence and interest of the actors	
	Evidence of actors' decisions are implemented	

**Table 5: List of indicators, and sources of data in concept/variable of outcomes**

Concept/Variable	Indicators	Sources of Data
Outcomes of the process	<b>1.Content Outcomes</b>	
	Number of innovative solutions	- Meeting minutes
	Robustness/Strength of the project	- Reports
	Clear goals/ aims of plan relate to urban revitalization that objectives have been achieved	- Semi-structured interviews with project staff, resident committee member, volunteer/local residents and academia via online
	<b>2. Process Outcomes</b>	
	The actors' satisfaction throughout urban revitalization project	- Meeting minutes - Reports
	Satisfaction with the ways in which conflicts have been resolved	- Semi-structured interviews with project staff, resident committee member, volunteer/local residents and academia via online
The actors continued their relationship after conflicts have resolved		

### **3.5 Ethics, Reliability and Validity**

First, according to research ethics, the researcher had preliminary discussion with implementing organization and asked the permission to conduct the research for this case study. In this research, secondary qualitative data sources were used, and all the documents were cited and listed in the references. Before conducting the semi-structured interviews, the researcher asked the respondents' permission to answer the interviews. In order to protect the safety of all participants in this research, the researcher anonymized all names and contacts of research participants and ensured safe storage of all data. Further questionnaire and any semi-structured interviews that are carried out were conducted through encrypted software and followed GDPR principles.

Second, the researcher ensured reliability. This research was prepared from third party perspective and tried to avoid the bias. However, in qualitative research, the bias could not be fully avoided as well as the research used snowballing sampling. Therefore, the researcher went through the implementing organization and then interviewed the committee member. After that the committee member introduced to another respondent. Otherwise, the questionnaire was intended for targeted community, thus, any community members could answer, and avoided the bias. The researcher not only approached the project staff, but also used her network channel for distributing the questionnaire to the targeted community. Therefore, in this way, the researcher avoided the bias and made transparency.

Third and finally, as the research was a single case study, it had a low level of external validity, because of the small number of respondents who were engaged. Therefore, it was hard to generalize the findings. However, Yin (2003, p.11) mentions that the purpose of the single case study is to expand and generalize theories "analytic generalization". Therefore, the researcher used 'analytic generalization' for comparing theory to the empirical results. Bryman (2006) states that in internal validity, the researcher needs to check whether the researchers' observations and theoretical ideas are good match. Therefore, the researcher made sure for not using wrong indicators for internal validity as it is related to being able to form causal relations such as one thing cause to something else and there might have rival explanations.

### **3.6 Expected Challenges and Limitations**

The scope of the research focused on community roles to influence in decision-making and outcomes in revitalization of alleys. Though the project associated to other programmes such as place-making for youth and girls in Central Business District and Inner cities of Yangon, the research only looked at the aspects of the stakeholders' interactions in back alleyway project in Central Business District in Yangon. The key limitations and challenges of this research were divided into three aspects. First, this research was conducted remotely due to COVID 19 and the unfolding political situation in Myanmar. Therefore, the primary data was completely relied on online platform and took references from secondary sources. Consequently, the researcher did not exactly know the real situation on the ground and asked the project staff when the information was needed. Second, since the military coup seizes the power the internet connection is unstable and often cut off. Alternatively, the researcher had discussion with the project staff to conduct in person questionnaire with the local residents. The researcher gave them interview guidelines and briefings. However, due to the Covid outbreak in Myanmar, the project staff were not able ask all the targeted respondents. Therefore, the researcher collected questionnaires via online. Finally, this research was based on a single case study, so that it was hard to apply it as a basis for generalization. Therefore, the researcher needed to explore in-depth especially in decision-making processes and outcomes within limited time.



as well as they can do social activities behind their buildings. The project designed for people’s participation, thus, it included multi-stakeholders such as resident committee, ward officers, local residents, representatives from five departments of YCDC, members of Yangon Regional Parliament (Matsushita & Kubota, 2018). Though Doh Eain had different projects, the study focused on the stakeholders’ interactions on decision-making processes in the revitalization of back alleys garden project in CBD’s area in Yangon city.

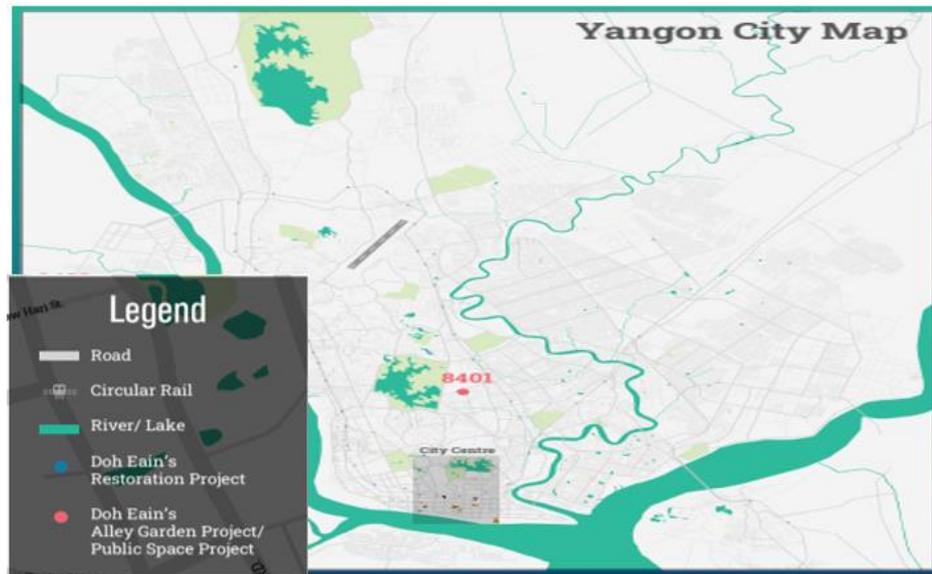


Figure 9: Alley Garden Project in Central Business District, Yangon

Source: <https://doheain.com/en>

During five years period, eleven alleys garden projects were completed under the theme of revitalization of alleyways in Central Business District in Yangon city. The project implemented in the Central Business District (CBD) because it is a place where have diverse areas in terms of its inhabitants: there are local residents, shops/supermarkets, restaurants, businesses, hostels and religious buildings. Besides, though it is a CBD area, it has only one Mahabandoola Park. Otherwise, the place is occupied around 180 unused alleys in the city centre (Doh Eain Organization, 2020).

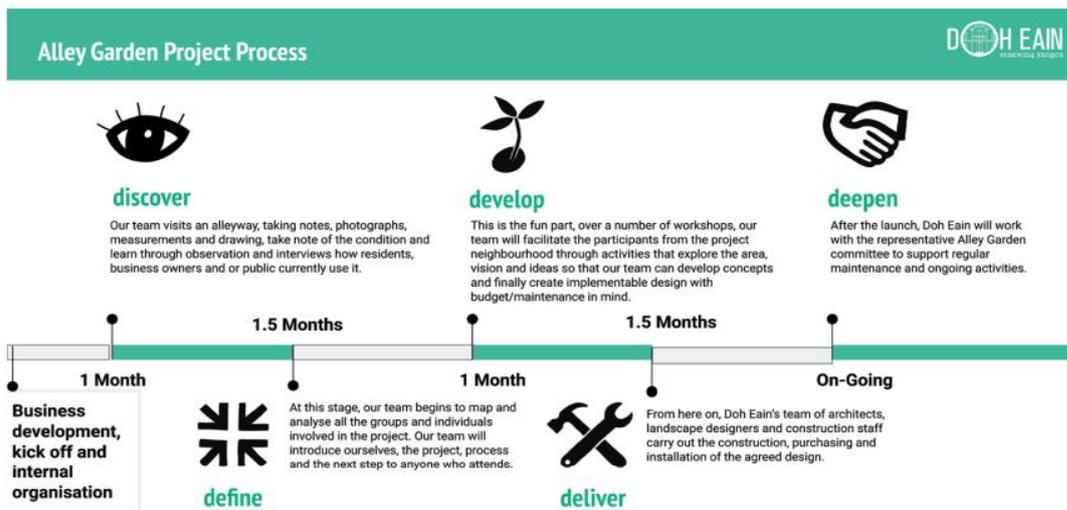


Figure 10: Alley Garden Project Process

Source: <https://doheain.com/en>

The first alley garden project was started in early 2016 and it was finished on 27<sup>th</sup> street in Central Business District in July 2016. Local residents noticed how the alleyway could be a space for their kids to play in safely. Local residents’ hope became really when the Doh Eain initiated the first project. The mayor of Yangon City also visited the location within a few days and the group was able to crowd-fund \$60,000 from local residents, local businesses and embassies within the space of three months. The team saw this alley work as a heritage preservation of a use of space in Yangon.

*“Some resident committees came and talked to us when they saw other alleyways have done and achieved. Besides, some donors would like to have CSR (Corporate Social Responsibility) on this project, so we agreed on it and continued our programme” (Respondent#1).*

Since then, Doh Eain and resident committees have done another 10 such projects downtown: 39<sup>th</sup> Street (Seikkanthar Street) in June 2017; between 31<sup>st</sup> and 32<sup>nd</sup> streets in July 2017; between 31<sup>st</sup> and Bosunpat streets in April 2018; and between 29<sup>th</sup> and Shwebonthar streets at the beginning of May 2018. Besides, each alley garden had different start dates and end dates (Htun, 2018). When alleys garden design construction was done, Doh Eain gave them a certificate of completion and the committee continued their work in regular check for maintenance.



Figure 11: Completed alleyways in Central Business District

Source: <https://doheain.com/en>

#### 4.2.1 Actors in the project

In this project, the actors can be classified into four main groups: elected representatives (member of regional parliament), government actor (local government/municipal), non-profit organization, and the community (ward officers, resident committee and local residents). The following table describes the different actors, provide information on the nature of each stakeholder, and defines their primary interests as relates to the project.

Table 6: Actors and their interests

Actors	Nature of the actor	Interests
Regional parliamentarians		
Member of Yangon Regional Parliament (MP)	Parliamentarians were elected representatives and they were representing National League for Democracy (NLD) party and their	<ul style="list-style-type: none"> <li>• MP was directly working with Doh Eain organization, ward administrators, resident committee and YCDC.</li> <li>• MP joined the meetings when issues came out, particularly on financial and</li> </ul>

Stakeholders’ interactions in participatory approaches: A Case Study of Revitalization of Back Alleys Project in the Central Business District, Yangon City, Myanmar

	constituency (Union Election Committee, 2015).	<p>infrastructure. Due to the protocol in Myanmar, MP directly connected to YCDC when issues arose for example, roads and infrastructure services.</p> <ul style="list-style-type: none"> <li>• In order to get votes in next election, MP maintained the relationship with different actors through this project.</li> <li>• In order to fulfil their constituency mandate, MP worked for community development.</li> <li>• To compete with other MPs and to get reputation among public, MP helped the project and took the credits through the project.</li> </ul>
<b>Local government</b>		
Yangon City Development Committee (YCDC)	<p>Alleyways were under the territory of YCDC and five departments of YCDC responsible for public works: in both the soft and hard sector (YCDC, 2018).</p> <ol style="list-style-type: none"> <li>1)Pollution Control and Cleansing Department</li> <li>2)Engineering Department (Water and Sanitation)</li> <li>3)Engineering Department (Road and Bridge)</li> <li>4)Engineering Department Building</li> <li>5) Administration Department</li> </ol>	<ul style="list-style-type: none"> <li>• To implement their tasks and responsibilities based on their mandate</li> <li>• To compare with other cities such as Mandalay and to create green and clean city</li> <li>• To promote better services and raise housing prices in Commercial Business District</li> </ul>
<b>Non-profit organization</b>		
Doh Eain Organization	Doh Eain was project initiator and seek funds for the project, facilitated and engaged among different actors (Doh Eain Organization, 2020).	<ul style="list-style-type: none"> <li>• To transform a trash alley into a vibrant, inclusive, sustainable places to live, work and enjoy</li> <li>• To take a facilitation role and encourage community participation and promote democratic practices through the project</li> <li>• To make sure that the interests of each actor was taken into account in every step of the project development</li> </ul>
<b>Community</b>		
Ward Officers	<p>Ward officers were leading their ward and worked for the community development.</p> <p>They were elected by their respective ward of the households (Village Track Administrative Law, 2012).</p>	<ul style="list-style-type: none"> <li>• Ward officer was one of the resident committee members in alley project and involved and engaged with MP, departments of YCDC, Doh Eain and other actors.</li> <li>• To maintain their current position and power for next ward election, they built up the relationship with different stakeholders through this project</li> <li>• To compare their alleys with other community for creating clean and safe environment</li> <li>• To persuade business activity through alley garden project</li> </ul>

Resident Committee	Each alley project formed the resident committee. The committee members developed their own rules and responsibilities for their respective alleys. They had basic principles of equal involvement of men and women, 50% each in committee. The age must be above 35 years old and not more than 15 members in the committee. Majority of the committee have formed with 5 committee members including ward officer, residents and parents' group (Yat Mi Yat Pa in Burmese)	<ul style="list-style-type: none"> <li>• To raise community voices and represent the community in this project</li> <li>• To take mediator roles between Doh Eain and the local residents</li> <li>• To compare their alleys with other community for creating clean and safe environment</li> <li>• To generate regular income from alley garden</li> </ul>
Local residents	Mix of types of community members	<ul style="list-style-type: none"> <li>• To ensure that concerns are met by the project, these varied</li> </ul>

Source: The author (2021)

In summary, most actors including MP, resident committee, ward officers and some residents left from the project since military coup seizes the power on 1<sup>st</sup> February 2021. A few committee members remained and continued their work in maintaining the alleyways.

### 4.3 Background of the Rounds

The project took place when Myanmar had transformed from military regime to civilian government in 2016. The city of Yangon is the largest commercial city in Myanmar. However, it has been ruled by military for more than three decades and urban issues were increased gradually. When the country has transformed and opened up in 2012, YCDC was trying to give better services for the city dwellers, but urban spaces had been ignored in Central Business District in Yangon. Therefore, Doh Eain organization started the revitalization of alleys in collaboration with different stakeholders in the Central Business District in Yangon, Myanmar.

As mentioned in Chapter 3, though the projects had done in multiple alleys, the research selected the alleys that developed into the period of 2019 to early 2021 because people and committee who were involved in the alleys early years were no longer participated and some committee members moved to other places for their livelihoods. On the other hand, according to the above figure (10), all alleys had the same process, well tested and similar approaches.

In the project planning, round 1 included the design workshop with local residents and committee members. The round two covered the topic of series of meetings for designing the alleyways and implementation. Finally, the third round consisted of launching and handed over the project to the resident committee.

### 4.3.1 The process

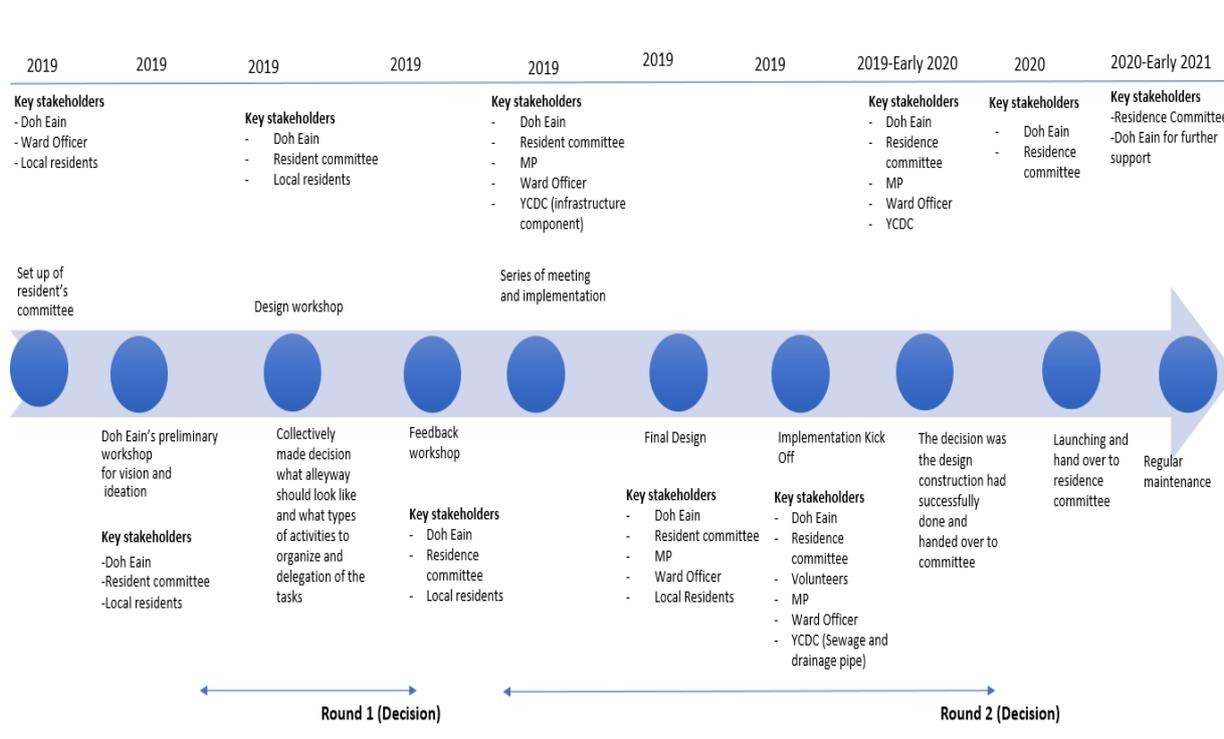


Figure 12: Process and Key Moments, Alleyway Project, Yangon, Myanmar

Source: The author (2021)

According to the above figure (12), alley garden process was divided into three decision rounds. In initial phase, Doh Eain facilitated in forming the resident in early 2019. The committee has formed with no more than 15 members including, ward officers and local residents. The roles and responsibilities of resident committee was representing the community, handling the community issues, engaging and participation in meetings and workshops of alleyway project. Then, Doh Eain was conducted the workshop of asset mapping, vision and ideation with resident committee and local residents. Though Doh Eain invited all actors to join the workshop, only resident committee and local residents were able to join the workshop. The objective of the workshop was to encourage ownership for residents and sense of place. The participants brainstormed the idea for what they would like to see in their environments, and they developed concept idea for design. Next, Doh Eain organized design workshop with local residents and resident committee. In the design workshop, Doh Eain facilitated the design concept that have been developed in previous workshop, and then they made decision and planned for communications for the actors. In the workshop, Doh Eain applied voting system for decision-making. The primary decisions were that participants collectively made decisions on what alleyway looks like, types of activities to organize and the delegation of the tasks. In those workshops, approximately 30 participants attended the workshop. Then, the feedback session was conducted with all the actors for asking their inputs on the draft concept/layout design. In round 2, series of meetings were conducted with Doh Eain, resident committee, MP and ward officers. Meeting's agendas were related to final concept/layout design, budget, and infrastructure matters. In the meetings, mostly resident committee, ward officers and Doh Eain were actively involved; however, MP joined the meetings for budget and infrastructure issues. YCDC also joined the meetings when Doh Eain and MP invited them particularly on infrastructure services. Later then, the designer of Doh Eain presented the final design to the committee, ward officers and residents for final approval. After that implementation phase was continued in working together with the different stakeholders. Doh Eain, resident committee, volunteers worked together to implement the design with community build days, artists, contractors, and other partners. When the issue arose related to sewage pipe and drainage during implementation, Doh Eain informed to MP, and then MP directly talked to the departments of YCDC. The decision was that the design construction had successfully done, and actors finished their tasks. In round 3, Doh Eain provided the completion of certificate to the resident committee in launching event. Though the design and

implementation phases had done, but it was starting point of the committee to do regular maintenance. Otherwise, when alleys garden project had done, Covid 19 pandemic has started in Myanmar. Therefore, this round interrupted with pandemic since March 2020. However, Doh Eain and some resident committee members continued their regular connections in Round 3. Currently, the project is pending, and most actors are no longer involved for security reason after coup seizes the power.

The following sections mentioned each round and the interaction among different stakeholders in revitalization of back alleys project. Each round included with the main decisions that caused in significant changes, particularly in actors, project matters and stakes.

### 4.3.2 Round 1: Actors and Intensity of Interaction in Design Workshop and related session (Early 2019): Decision on designing the alley

In early 2019, Doh Eain initiated the alley garden project in Bosonpat and 31<sup>st</sup> street, and 31<sup>st</sup> and 32<sup>nd</sup> streets. Doh Eain started the project with assessing the stakeholders and community condition through the workshop of asset mapping, visions, and ideation. It was a preliminary workshop and resident committee, and local residents attended the workshop. In vision and ideation workshop, the local residents discussed what their hopes for their neighbourhood. They came up with the idea and draft concept of alley design. Later then, Doh Eain organized the design workshop and invited the participants who had willingness to join the workshop. Again, resident committee and local residents joined the workshop and it had approximately 30 participants. The agenda of the design workshop was to discuss the concept/idea of the design from vision and ideation workshop, and then made decisions on design and identified any final repairs required.

According to the survey results, different types of local residents were involved in the project as well as in the workshop. The following figure (13) shows that the participants took different roles in the project. The survey result describes that 79% were local residents, 12% were committee members and 9% were other. Other means volunteers of the project, but they are local residents too. Some respondents mentioned 'other' because they were involved in elderly group (Yat Mi Yat Pa in Burmese) (Respondent#5). Therefore, almost 100% were local residents because the committee members and volunteers came from local residents.

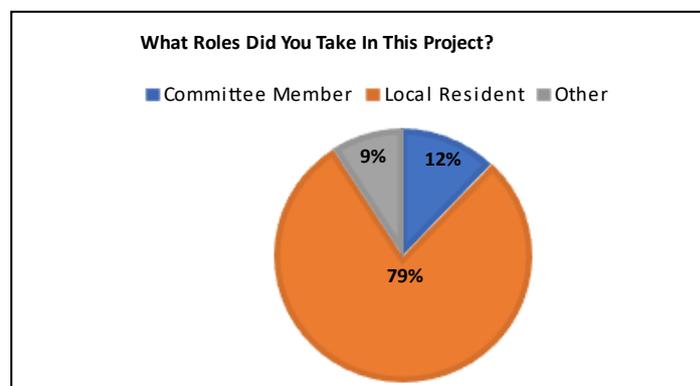
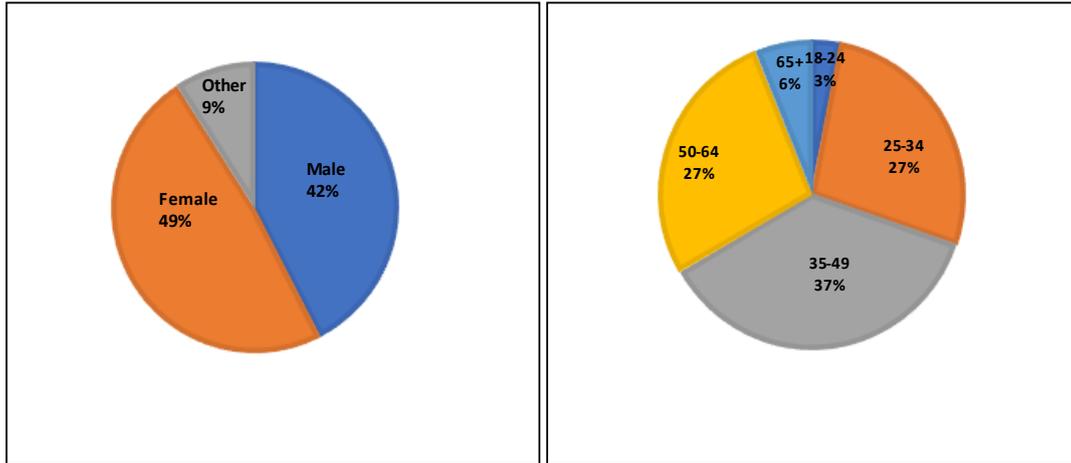


Figure 13: Roles of the actors in the project

Source: The author (2021)

Likewise, the majority of respondents were women. The following figure depicts that women participant had 49%. In this project, Doh Eain ensured women participation in the project and workshop too. According to Myanmar culture, men are mostly dominant in the meetings and other events. Therefore, the workshop made sure for inclusion of women and other groups. Furthermore, the workshop considered for the inclusion of parents and kids. While parents especially mothers were involved in discussions, Doh Eain staff took care of the kids' and created activities for them such as drawing.



**Figure 14: Gender**

Source: The author (2021)

**Figure 15: Age**

Source: The author (2021)

In age groups, for those involved in the workshop were mid-ages between 35-49 and it had the highest percentage (37%) in total. Otherwise, the age group between 18-24 had the least percentage (3%). Though the workshop invited and enhanced inclusive participation, youth were not able to involve due to their study and work. Therefore, the research finds out that only mid-ages above 35 years old people were influenced in the discussions and decision-making too.

*“According to my experience, it was rare to see the adolescents and young people in the workshops and meetings. They are attending university and trainings, and some have a job. In the workshops as well as in committee meetings, mostly were above 35 years old and between 40 to 50 years old. Therefore, these people dominate the meetings” (Respondent#1).*

Regarding the occupation, Figure (18) mentions that the ‘other’ group had 67% and it had the highest percentage (See in Annex 2). The other group includes vendors, owner of small grocery shop, retired people and housewives. Company staff (18%) and social workers (15%) had a few percentages. Thus, the research analyzes that the ‘other’ group shared their times in workshops and involved in more discussions because they had irregular job, and some ran their own businesses.

In the workshop, in order to avoid the bias, Doh Eain applied ‘Dotmocracy’ method. Dotmocracy means each participant have to take 2 or 3 blank cards and write down their idea or concept on what they would like to have in their neighborhood. After that all cards were gathered and prioritized the cards. By using voting method, all participants were involved, and they could describe their ideas freely in that workshop. Moreover, that method created less conflict and not influenced by any party.

*“We used this Dotmocracy method in design workshop because decision making was important on selecting one concept in layout design, finalizing design and buying furniture. Some people wanted more plants, some are needed in buying furniture and some wanted to use the budget in playgrounds. In the project, local residents are end users in using the space. Therefore, in the workshop, we gave them 3 options and then gave 3 stickers to each participant. Therefore, they gave vote freely. Based on the numbers of voting, we made the decisions, and we searched the common ground (Respondent#1).*

Later that, Doh Eain prepared the draft concept and layout design and organized the feedback design workshop with ward officers, resident committee and local residents to get final inputs for design and approval. It created fun activity for adults and kids. Besides, the previous workshops were cautiously design for local community’s involvement in decisions; therefore, it had less conflict in feedback workshop. Only a few comments provided for adding one concrete concept design for alleys due to limited budget. All participants collectively agreed to put one concept/idea for the wall. However, when the decision had changes on buying furniture, a few residents were not satisfied.

*“We did not have many changes in designing. Only we have considered for extra budget. We have estimated budget for planting and furniture already. Otherwise, a few residents were not satisfied when they did not get the furniture they want” (Respondent#1).*

In the design and feedback workshops, the participants collectively made decisions and some decisions points were came out;

- The budget was a unique model developed by Doh Eain and it contributed 80% of the total cost of the project and community shared 20%. In this round, participants decided that 20% of community contribution were be used for buying furniture. Likewise, the participants decided to choose one concrete concept and layout design for alleyway due to limited budget.
- In implementation phase, resident committee, volunteers and local residents worked for construction of the alleyway.
- Resident committee invited kids and artists for painting the wall.
- Resident committee took care of the furniture.

In this round 1, more people involved, and it had breadth participation. Preliminary workshop on vision and ideation, and design workshop were conducted. Local residents and resident committee were participated and Doh Eain facilitated the workshops. It observes that the residents made decision on design workshop and provided feedbacks in feedback workshop. Thus, the local residents could apply their community power in design and its related workshops. But one or two workshops were not enough for the participants to provide all information. There had some pop-up meetings or informal discussions among Doh Eain, residents and committee, but it had less interactions between the local community and key actors in formal discussions or workshops. According to the project design, it applied ‘deep’ method for the community to involve in entire project and programmes. However, local residents were no longer involved in higher-up meetings with government officials, MP and others. Therefore, ‘deep’ participation is needed for residents to involve in some more workshops/meetings and frequently connect to other actors, so that their voices were heard, their feedbacks were considered in decisions.

### 4.3.3 Round 2: Series of Meetings and Implementation Phase (2019-early 2020)



**Figure 16: Doh Eain and Committee Meeting**

Source: <https://doheain.com/en/our-service>

In round 1, MP and ward officers did not involve in design workshop, and they only joined the design feedback session. Though MP and ward officers did not involve in preliminary and design workshops, Doh Eain gave update information about the design workshop; therefore, the information did not overlap, and MP had clear understanding on the workshop. When the final design had done, Doh Eain’s designer presented it to the different actors including local residents. In round 2, series of meetings, including regular committee meetings and urgent meetings for budget and infrastructure were held. The key actors were resident committee, ward officers and Doh Eain. Around 10 participants regularly joined the resident committee meetings and urgent meetings. All meetings were conducted in ward officers’ office.

*“In the first committee meeting, around 30 residents attended because MP came to the meeting. Later then, when MP was not available to come, residents did not join the meetings. Moreover, they were busy with their jobs and family matters” (Respondent#3).*

Therefore, the regular committee meetings, and urgent meetings were continued with a few people. In this round, MP joined the meetings when issue came out such as budget and infrastructure. However, MP

represented its township and had regular site check for what community needed and had discussions with YCDC and ward officers.

In the meetings, both men and women equally involved; thus, women could speak up in the meetings. In terms of their ages, as mentioned earlier in round (1), most were mid-ages and above 35, and they mostly joined the meetings. In the meetings, the topics such as budget, construction and maintenance plan for further step were discussed. In budget meetings, as mentioned before, Doh Eain contributed 80% and community contributed 20%. Each community member provided 1000 kyats (around 0.5 US\$). But 20% were only used for buying some furniture such as chairs and swing for playground. When community needed more plants and flowers to decorate their alleyway, the resident committee asked for donations of plants and flowers from some residents.

*“We only had a few changes in designing but we had estimated budget for planting and furniture already. But if community wanted to do some more activities, they talked to committee and then we discussed together. For example, can we reduce the plants or are there other people would like to donate the plants etc. We negotiated based on that” (Respondent#1).*

After the budget meetings, implementation phase especially construction work had started in mid-2019. In construction part, Doh Eain worked together to implement the design with community build days, contractors, artists, and other partners. After that they signed the contract with external contractors and the project also used the local carpenter and construction workers. Kids, artists, and some community members painted on the wall. The committee was always standby in the field, and they were mediators among different actors. Doh Eain and MP did not meet regularly with local residents. Thus, residents directly talked to committee when they had a new idea, or something related to design.

*“When we met with the committee, we asked the committee whether residents liked or satisfied with community idea or request. If committee agreed, Doh Eain said OK and worked on it” (Respondent#1).*

The role of the YCDC was clear and it did not interfere in any process. YCDC had mandate to provide better services for local residents, but they were not able to provide the adequate services for the project. According to their objectives, they had interest to improve better services and create green and clean city, but in this case, they did not show any interests on the project. This happened because they had bureaucratic procedure and had less interactions with other actors too. One case happened in one alley that YCDC constructed road construction in main road, and it blocked the alleyway. Therefore, the construction of alleyway delayed for a month, and it impacted to decision-making in implementation. Therefore, Doh Eain and resident committee requested MP to talk with departments of YCDC and to solve the issue.

According to the observations, this round had depth participation with a few people. The decision making was different with round (1). In previous round, Doh Eain applied ‘Dotmocracy’ method, and it was only used for design workshop. In the committee meetings, only committee members made decision. In urgent meetings, MP discussed together with resident committee and ward officers, and then they made a collective decision.

The decisions from round (2) were that the design process especially the construction work had completed well, and actors done their duties. Likewise, Doh Eain handed over the alley gardens to resident committee for maintenance.

In this round, the process observes as ‘narrow’ because the residents did not involve in decisions. A few people such as resident committee, ward officers and MP were informed and consulted. Therefore, the participation seems as ‘shallow’ because only these interest groups continued the process. Otherwise, resident committee continued their work, and they represented the community and raised the voices in higher-up meetings. Besides, those actors frequently met in the meetings, and they had strong interactions among actors. In this round, MP involved, and was quite active due to its constituency mandate. Besides, MP had interests to get reputation through the project and to get votes for upcoming election. In general, actors involved at this stage were complemented to each other and their power was balanced in making decisions.

On the other hand, protocol was an issue in dealing with YCDC. When resident committee invited YCDC to come and check the situation or joined the meetings, they were rare to come. Therefore, the research finds out that YCDC did not have regular interactions with the other actors, and they just showed up when issues came out. Besides, the decision was changed because of them, as well as the project delayed and time-consumed in implementation.

### **4.3.4 Round 3: Launching, handover and maintenance of the alleyways (Early 2020- Before 1<sup>st</sup> February 2021)**

When alley gardens had done, launching events were held with many actors. In the event, Doh Eain gave completion of certificate and handed over the alleyway to resident committee. The launching event was the vital moment to acknowledge the contribution of the actors involved, motivation to other communities and donors to transform more back alleys in Yangon (Doh Eain organization, 2020).

Under such circumstances, committee had the responsibility to do regular maintenance. In round (2), committee members discussed and decided a maintenance model to ensure that the alleys have no more trash and enjoyable. Maintenance plan included the activities of cleaning the streets and furniture such as chairs. Though Doh Eain did not interfere in further activities, it provided technical support for maintenance plan.

*“After the project had done, we continued worked on maintenance with resident committee. We have maintenance plan for not throwing the trashes and collecting the trashes. Besides, the alleyways covered with moss during rainy season; therefore, we have regular contact with committee to check it regularly. (Respondent#1).*

On the other hand, the committee members were turned out due to their livelihoods. Likewise, they were voluntarily involved in the project.

*“In my alley project, 10 committee members were involved in the beginning. However, only four active committee members are remained due to covid and coup and some are moving to other places for the livelihood. The alley garden was opened for 3 months only and then it was closed due to covid and coup in Myanmar” (Respondents#1).*

During those years, alleyways were transformed into gardens, and successfully opened as recreational space for the public. The resident committee and ward officers had interests to generate the income through the alley gardens and planned for funding raising programme. Though the design process had finished in early 2020, the alleys were immediately closed due to Covid and coup. Therefore, committee was not able to mention to what extent the project has been achieved and fulfilled their interests.

*“Due to covid, we closed our alleys after the opening ceremony. When Covid restrictions was loosen, we planned to open the alley garden to generate the income for our community; however, the coup seizes the power and we shut down our alley garden. Therefore, I can’t say to what extent it has succeeded” (Respondent#3 and 4).*

In round 3, though the project had done, the actors such as resident committee and Doh Eain remained their communications. A few committee members continued their work in maintaining alleys. Therefore, it was difficult to identify whether the actors were complemented to each other in this round.

In summary, rounds model shows the interaction of the different actors and they negotiated on issues and solutions. In this case, decision-making is not a single problem, and it has dynamic combinations of concerns and outcomes by different stakeholders. In round 1, it had breadth participation and many people were involved particularly, the local residents. However, residents were only involved in a few workshops, and it had less communications with other actors in decisions and it was not sure that their decisions were listened in implementation. In round 2, it had depth participation with a few people. They had frequent interactions among different actors and a few people made decisions. All actors had complemented to each other except for the interaction with YCDC. In decision-making, round (1) used voting for the participants and collectively made decisions. In round (2), the actors negotiated and agreed on the decisions. In round (3), the design process had done, but maintenance and other activities are pending due to external threats.

## **4.4 Community Involvement and Influence in Decision-Making**

### **4.4.1 Community Involvement in Decisions**

The questionnaires were only designed for local community/residents due to political situation in Myanmar. Though it aimed for local residents, it included different demographic condition such as gender, age and occupation. Therefore, in order to understand those groups involvement in decisions, questionnaires were prepared. In terms of the question of “Involvement in decisions”, the following table (7) shows gender and their involvement in decisions.

**Table 7: Gender and Involvement in Decisions**

Level of participation	Statements	Gender (Count and Percentage)			Total Count and %
		Male	Female	Other	
3- Informing	Joined in the process as a listener, was there to receive information only	6(28.8%)	12(57.1%)	3(14.4%)	21(100%)
4-Consultation	Was given the opportunity to state preference, but I was unsure	5(62.5%)	3(37.5%)	0(0%)	8(100%)
5- Placation	Was involved in a lot of deliberation and was given the opportunity to develop opinions and preferences	2(100%)	0(0%)	0(0%)	2(100%)
6-Collaboration (Partnership)	Took part in collective bargaining, and was able to combine my preferences, had a final vote on decisions)	1(50%)	1(50%)	0(0%)	2(100%)
7-Delegated power	Was involved in discussions, exchanging opinions and agreed other views and then reached an agreement)	0(0%)	0(0%)	0(0%)	0(0%)
	Total Count and %	14(42.4%)	16(48.5%)	3(9.1%)	33(100%)

Source: The author (2021)

According to the above table (7), female participants were mostly involved at the level of informing “joined the process as a listener was there to receive information only” and it had highest percentage (57.1%) in total. In high levels, female involvement in decisions were decreased than male participants though the number of female respondents were higher than male. This happened because patriarchal system is still influencing in Myanmar and women were hesitated to speak out in the workshops. Thus, men were still influenced in the workshops/meetings at the high levels such as consultation and placation. The project designed for equal participation of men and women, but it only created the quantity of women involvement. In this situation, women had breadth participation while men had depth participation in decisions. Therefore, the project has to promote the capacity of women and other gender types, and to consider gender mainstreaming in decision-making.

*“In the workshop and committee, we introduced the principle of 50% of women involvement in committee and the workshops/meetings. We always observed the situation and when we saw some people such as women were quiet or depressed, we asked their opinions. However, due to the cultural context in Myanmar, they always said Ok, so it was hard to hear their real opinions” (Respondent#1 and 2).*

In age groups, as described in round (1), mid-ages between 35-49 years old had the highest percentage in each level. In informing level, this group had the same result as the age group of 25-34 years old because the general public who joined the process just only intended to listen what other groups said and did not want to express their opinions. At the consultative and collaborative levels, those mid-ages group still involved though the numbers were less. Otherwise, the involvement of youth below 24 years old were significantly less. Therefore, the project still needed to empower youth participation in the project and the activities should consider their available time. According to the principle of resident committee, committee members must be above 35 years old. However, there had no age limitation in workshops and the project invited all age groups. Otherwise, the tradition was influenced the project and the workshop because mid-ages people were more involved in decisions, but the young people’s roles were left behind.

**Table 8: Age and Involvement in Decisions**

Level of participation	Statements	Age (Count and Percentage)					Total Count and %
		18-24	25-34	35-49	50-64	65+	

3- Informing	Joined in the process as a listener, was there to receive information only	2(9.6%)	7(33.3%)	7(33.6%)	4(19.2%)	1(4.8%)	21(100%)
4-Consultation	Was given the opportunity to state preference, but I was unsure	0(0%)	2(25%)	3(37.5%)	3(37.5%)	0(%)	8(100%)
5- Placation	Was involved in a lot of deliberation and was given the opportunity to develop opinions and preferences	0(0%)	0(0%)	1(50%)	1(50%)	0(%)	2(100%)
6-Collaboration (Partnership)	Took part in collective bargaining, and was able to combine my preferences, had a final vote on decisions)	0(0%)	0(0%)	1(50%)	1(50%)	0(0%)	2(100%)
7-Delegated power	Was involved in discussions, exchanging opinions and agreed other views and then reached an agreement)	0(0%)	0(0%)	0(0%)	0(0%)	0(0%)	0(0%)
	Total Count and %	2(6.1%)	9(27.3%)	12(36.4%)	9(27.3%)	1(3.0%)	33(100%)

Source: The author (2021)

In terms of the occupation, according to table (15), 'other' group had the highest percentages at every level when compared to company staff, and NGO/social workers (See in Annex 2). The 'other' group includes vendors, small grocery owner, retired people, and housewives. The similarity is that all groups had the high percentages at the informing level. The research finds out that they were general public and they only showed themselves in workshops and received information only. However, 'other' group still had a few percentages at the high levels in decisions such as consultation, placation, and collaboration.

*"I am a committee member and I do not have a regular job. Therefore, I shared my time for attending committee meetings and other workshops/meetings with MP, YCDC and others. Also, I involved in decisions in committee meetings, and we collectively made decisions. I voluntarily worked for the community and tried for the best" (Respondent#3).*

The research observes that some people ran their own businesses, and some had irregular jobs; therefore, they shared more times than company staff and NGO/social workers. Consequently, they were more involved in decisions than others.

#### 4.4.2 Community Influence Over Decisions

This section discusses different types of people and their influences over decisions. The following table (9) describes the gender and influences over decisions. According to the statement of "Did not expect to have influence, I was just there to fulfil civic duty and to observe what was going on", female respondents had the highest percentage (57%) than male respondents (28.5%). It means that female respondents had the highest percentage at the consultative level. Otherwise, male respondents had the higher percentages at the placation and collaborative levels. Besides, though male respondents were less than female respondents, they were influenced at the high levels, and they had direct and indirect influence over decisions. In the project, ward officers were men; thus, the more they attended the higher-up meetings, the more they had power to influence over decisions. Besides, according to the observations, women shared more time in reproductive work while men were more involved in community works. Therefore, male participants had more intense interactions than female participants in the project. Likewise, the project encouraged inclusive participation, but the 'other' gender type had less involvement, and their roles were missed in influencing the decisions.

*"I gave the suggestions related to design in design workshop and committee meetings. When decision related to infrastructure matter, I did not involve in decision; thus, I could not influence in decisions that has made by key actors (MP, ward officer and resident committee). I was just there to observe the situation. Ward Officer, MP and*

some committee members discussed about the issues and made decisions at the ward officer office” (Respondent#3).

**Table 9: Gender and Influence Over Decisions**

Level of participation	Statements	Gender (Count and Percentage)			Total Count and %
		Male	Female	Other	
4-Consultation	Did not expect to have influence, I was just there to fulfil civic duty and to observe what was going on	6(28.5%)	12(57%)	3(14.3%)	21(100%)
5- Placation	Had indirect influence over decisions, and was able to contribute and participate in discussions	4(57.2%)	3(42.9%)	0(0%)	7(100%)
6-Collaboration (Partnership)	Had direct involvement in decision-making, and was also accountable for decision-making process	3(75%)	1(25%)	0(0%)	4(100%)
7-Delegated power	Collaborated in creating plans, strategies and programmes	1(100.0%)	0(0%)	0(%)	1(100%)
	<b>Total Count and %</b>	14(42.4%)	16(48.5%)	3(9.1%)	33(100%)

Source: The author (2021)

In age groups, table (16) shows that all age groups had the highest percentages at the consultative level (See in Annex 2). It seems that majority of the residents went to the workshops to fulfil the duty of the residents and they did not show the interests on the project. Otherwise, they had less chances to talk and discuss in workshops. However, mid-ages groups between 25 to 64 years old were still involved in high levels while young people and above 65 years old were no longer participated at the high levels. Mid-ages people were not just observing the situation but also, they had direct and indirect involvement in decisions. The age group between 18-24 were extremely less involvement; therefore, it impacted to influence over decisions. Therefore, the project could not avoid cultural context in Myanmar and mid-ages were influenced in decisions.

In relation to occupation, table(17) mentions that all groups such as company staff, NGO/social workers, and other group had the highest influence over decisions at the consultative level (See in Annex 2). It means that they all were consulted but had less direct and indirect influence in involvement and decisions. The participants were general public, and they did not know about the entire project mechanism (Matsushita & Kubota, 2018). On the other hand, comparing to company staff and NGO/social workers, ‘other’ group still had a few numbers of participants at the high levels including, 5 participants (71.5%) at placation and 4 participants (100%) at collaborative levels. Involvement in high levels took a lot of time, but a few numbers of people had enough time to discuss precise subject matter with key actors. Moreover, the longer they involved in meetings, the greater their influenced in decisions and actions.

*“We informed the local residents to join the design workshops. We (committee members and volunteers) shared the brochure to each household about the project. In the beginning of the project, residents joined the first committee meeting but later, they could not join because they had jobs and family matters. Likewise, some were not interested in the project when the time took longer” (Respondents#3 and 4).*

In meetings and workshops, multiple tools of communication were used. The following table (10) mentions that 48.5% of participants joined the committee meetings/plenary in person. During the project period, workshops and meetings were conducted face to face with all actors.

**Table 10: Tools of communication**

	Frequency	Percent
Held online (Zoom, skype) committee meetings/plenary sessions)	4	12.1
Held in person committee meetings/plenary sessions	16	48.5

Followed up with surveys/questionnaires	5	15.2
Formed working committee for permanently to provide suggestion, co-decision-making and strategic partnership through face to face	6	18.2
Formed working committee for ad hoc expert groups to provide suggestion, co-decision-making and strategic partnership through face to face	2	6.1
Total	33	100.0

Source: The author (2021)

*“In workshops and meetings, we had face to face discussions. The committee meetings were conducted twice in a month and committee members were discussed general items, and most were related to financial and infrastructure services for alley gardens. Then, committee members made decisions” (Respondents#1 and 2).*

Furthermore, 18.2 % of those participants involved in “formed working committee for permanently to provide suggestion, co-decision-making and strategic partnership through face to face” meeting.

*“My observation was that initially, Social Welfare Committee formed but it has been demolished due to the time constraints and other reasons. Thus, they had face to face meeting and formed a new committee when alley project has started in their community” (Respondent#5).*

Under such circumstances, face to face meetings and workshops were widely used since the project started. Likewise, according to the rule of the committee, the members were above 35 years old; therefore, senior committee members were not used to with new technology. Therefore, all committee meetings and design workshops were carried out in person. Alternatively, since March 2020 the project started using online platforms for all workshops and meetings because of Covid. Therefore, 12.1 % of those people again involved in committee meetings/plenary session via zoom and messenger. However, not all committee members and other actors used to with online platform especially for those above 50 years old. Moreover, the participants frequently faced unstable internet connection in Myanmar.

*“Due to the Covid 19 in Myanmar, committee members started using online tool for committee meetings; however, they had difficulty in using it because they were mid-ages, and some were above 50 years old (Respondents#1 and 2).*

Using online is the only option during Covid, but not all actors were able to use it. Some committee members were not able to attend the meetings all the time and they alternatively joined the meetings because they faced technical issues and had limited time. Consequently, some committee members had less influence in decisions and actions.

In summary, different types of people participated in the project and some types of groups were influenced in decisions. Majority were general public, and they had breath participation. However, according to demographic conditions, men were more involved at the high levels than women; therefore, they had depth participation and influenced in decisions. In age-groups, mid-ages were majority in the project, and they existed at the high levels with high percentages. Therefore, those age group had both depth and breadth participation. In relation to occupation, most respondents represented ‘other’ occupation. In this case, the quantity of the ‘other’ occupation was high, but also their involvement and influenced in decisions were high too. Thus, the research summarizes that it had both depth and breadth participation.

#### **4.5 How do actors communicated, and are decisions made**

The actors are communicated by using “Direction of Communication” channels. In gender, while the number of male participants were increased at the high levels (consultation, placation, and collaboration), the numbers of female participants were decreased at the high levels. According to the below table (11), both male and female participants could apply two-way dialogue, provided feedbacks on decisions, and ensured their decisions were considered. However, female had the high percentage (54.6%) at the low level (informing); therefore, it assumes that most female respondents had one way communication channel and their feedbacks had no more respond.

**Table 11: Gender and Direction of Communication**

Level of participation	Statements	Gender (Count and Percentage)			Total Count and %
		Male	Female	Other	
3-Informing	One-way communication, no channel to respond	3(27.3%)	6(54.6%)	2(18.2%)	11(100%)
4-Consultation	Two-way dialogue, no constraint on feedback, but no indication of whether opinions will be taken up	5(45.5%)	5(45.5%)	1(9.1%)	11(100%)
5-Placation	Two-way dialogue, no constraint on feedback, some indication that opinions will be taken up	4(50%)	4(50%)	0(0%)	8(100%)
6-Collaboration (Partnership)	Negotiation between parties, response to decision ensured, that will be taken into account	2(75%)	1(25%)	0(0%)	3(100%)
7-Delegated power	Community dominates dialogue, negotiation between parties, community can apply veto decision	0(0%)	0(0%)	0(0%)	0(0%)
	Total Count and %	14(42.4%)	16(48.5%)	3(9.1%)	33(100%)

Source: The author (2021)

In age groups, according to the table (18), the number of the age groups between 35-49 and 50-64 years old were increased at all levels(consultation, placation, and collaboration). Since those groups involved at the high levels, they established two-way communications, did not have constraints on their feedbacks and their decisions were taken into account. However, the age group between 18-24 were no longer involved at the high levels; therefore, they could not set up communication with other actors at the high levels (See in Annex 2).

In relation to occupation, the table (19) depicts that most respondents represented ‘other’ group and it had 22 (66.7%) out of 33 respondents. Therefore, it had double numbers than company staff and NGO/Social workers (See in Annex 2). In this section, not only the numbers of ‘other’ group was high, but also the number of participants communicated at the high levels were high too. Besides, while the number of company staff and NGO/Social workers were decreased at the consultative and placation levels, the number of the ‘other’ group was increased at these levels. So, the research observes that the ‘other’ group had responsive communication in decisions and their opinions were considered.

Under such circumstances, in order to understand the overall picture of the actors’ influenced overall decisions, the statements were prepared from the lowest level “informing” to the highest level “delegated power”. The following table (12) depicts that the low-level involvement was high while the high level had low average. The statement of “I was just kept informed and listened to the decisions” had highest average ‘4.58’. Majority who answered these questionnaires were local residents and they were only involved in a few workshops such as design and feedback workshops; therefore, they just listened and informed to what other actors (resident committee, ward officers and MP) said and a few people were influenced in decisions.

The second highest average statement is “I did not have chance to comment on projects/ programmes” and it had ‘4.30’ in average. Though the project did not limit for the participants to involve, the community could not involve for longer term. They just joined at the beginning of the project; therefore, it seems that only resident committee, MP and ward officers gave comments on projects/programmes, but not all the comments of local residents were considered.

*“Not all feedbacks were considered and implemented at the same time because we had hundreds of families. We (committee) and Doh Eain did the best for the community. For example, when sewage pipes were broken during design construction, we could not solve it. Therefore, we informed to the Ward Officer and then, he informed to YCDC to come and repair it. As these are community work; therefore, we could not implement the decisions immediately” (Respondent#3).*

The statement of “My voices were heard and accepted” had average ‘4.21’. The result shows medium average. Though not all local residents joined and involved in high level meetings, they made decisions in design workshop. It was extremely important for them because they are the owner of the alley gardens; therefore, they could provide the concept or idea on designing alleys.

*“I attended design workshop and a few meetings. In the design, we considered for children story. I provided feedbacks. Then, we collectively made the decisions. Kids also showed some opinions related to painting” (Respondent#4).*

All in all, the local residents were involved in a few workshops; therefore, their voices were heard and listened through the workshops only. Besides, they had less interactions with other actors and they did not have fully power to influence in decisions and their feedbacks were listened to some extent.

**Table 12: Influence Overall Decisions**

Level of Participation	Statements	N	Missing	Mean	Std. Deviation
3- Informing	I was just kept informed and listened to the decisions	33	0	4.58	2.739
	I did not have chance to comment on projects/ programmes	33	0	4.30	2.325
4- Consultation	The government/NGO gave an opportunity to me to provide input on decisions	33	0	4.21	2.315
5- Placation	My opinions were considered without constraining feedback	33	0	3.88	2.607
	My voices were heard and accepted	33	0	4.21	2.315
6-Collaboration (Partnership)	My role was to recognize concerns, and desires, and give comments on decisions	33	0	4.18	2.284
	I took part in negotiation on planning and decision-making	33	0	3.88	2.607
	I shared seats at the table with government officials and initiatives came from us and took place at the whole project cycle	33	0	3.82	2.214
7-Delegated power	I worked together with others for establishing plans and projects	33	0	3.39	2.207
	I was fully encouraged to make and influence decisions	33	0	3.30	2.105

Source: The author (2021)

After actors’ opinions and feedbacks were collected and considered, the decisions were made. In order to see the outcomes of the decisions, “Mechanisms in Decision-Making” were used. Respondents answered the series of statements, giving ratings from 1-5, (1=never, 2=rarely, 3=sometimes, 4=not applied, 5=a lot). The results are as follows:

**Table 13: Mechanisms in Decision-Making**

Statements	N	Missing	Minimum	Maximum	Mean	Std. Deviation
------------	---	---------	---------	---------	------	----------------

I was bargaining on other preferences	33	0	1	5	2.33	1.291
I negotiated on planning and decision-making	33	0	1	5	2.45	1.460
I voted for combine preferences	33	0	1	5	3.09	1.400
I negotiated to consider my inputs	33	0	1	5	2.36	1.220
I voted for combine feedbacks and suggestions	33	0	1	5	2.82	1.380
I negotiated on plans and programmes	33	0	1	5	2.45	1.460

Source: The author (2021)

The above table (13) describes the statement of “I voted for combine preferences” and it had highest average “3.09”. Most respondents who answered the questionnaire were local residents, and they had once experience in design workshop. Doh Eain applied Dotmocracy method in the workshop. Besides, design workshop was the option for local residents to involve in decisions. Second, the statement of “I negotiated on planning and decision-making, and I voted for combine feedbacks and suggestions” had average ‘2.82’. The respondents had opportunity to involve and made decisions on feedback workshop on designing the alley and they had free to talk and negotiated the issues.

*In design feedback workshop, we again invited community and had fun activity for both adult and kids. They came and provided feedbacks on draft concept and layout of the design for final inputs and approval” (Respondents#1 and 2).*

Third, the statement of “I negotiated to consider my inputs” had average ‘2.36’. The average was low because around 30 participants attended the workshop; therefore, not all participants were able to negotiate their inputs in the workshop. Only a small number of inputs could be negotiated when inputs were suitable for design. Another thing is that most respondents had occupations such as vendors, retired and irregular jobs. Therefore, they had never learned negotiation in their workplace or environment. Even they understood negotiation, they might have pressure to speak out in higher-up meetings.

*“As I am local resident and committee member, I presented issues and provided feedbacks in the committee meetings. When I had different opinions, I negotiated to consider my inputs. When the issues related to budget and infrastructure, I did not express my opinions and negotiated my inputs. Those were serious issues. The committee informed to MP in formal or informal meetings. Then we made decision collectively” (Respondents#3).*

Lastly, the statements of “I was bargaining on other preferences” had average ‘2.33’. Most respondents only had experienced on using vote in the workshop and only a few people had experienced on using bargaining mechanism in meetings with MP and YCDC. Besides, the research finds out that it was less used in the workshop and the project too.

In conclusion, different types of groups are communicated in using multiple communication channels. In gender, since male were involved and influenced in decisions at the high levels (consultation, placation, and collaboration), they established two-way communications among actors, and their opinions and feedbacks were considered. On the other hand, while female percentage was high in low level (informing), it hindered women to have dialogue and their inputs were uncertainty to consider in decisions. In age groups, mid-ages people were highly involved and influenced at the high levels. Therefore, they had interactive dialogue and they had more privileges to consider their feedbacks in decisions. In occupation, the numbers of ‘other’ group had high involvement and influenced in decisions; therefore, they were able to have dialogue, negotiated their inputs and provided feedbacks in decisions and actions. After collected and considered the decisions, various mechanisms in decision-making were used to see the outcomes. In the project, voting was used in design workshop; hence, most actors were familiar with that method. Likewise, they had chances to give feedbacks and suggestions in feedback design workshop. However, the other mechanisms such as bargaining was not used to with general

public because they only joined a few workshops, and the workshops were not enough for them to bargain their inputs in decisions.

## 4.6 Outcomes of the process

### 4.6.1 Number of Innovative Solutions

Some innovative solutions have found through the project. First, waste issues have been solved in Central Business District and the trash alleys were transformed into alley gardens.

Second, Doh Eain collaborated with BoKhaShi Myanmar for the pilot project of “House of Cleaning Waste Project (HOCW)” in July 2019. Doh Eain provided waste segregation training to local residents and then, produced compost soil and organic fertilizer. Those were used for growing the plants. Every alley had three different bins including recycle waste, non-recycle waste and kitchen waste/organic waste. Doh Eain engaged to YCDC and raised awareness to residents about waste separation and dispose the waste properly (Tun, 2020).

*“There had House of Clean Waste Manager for the stations, and he/she helped the community to choose the correct waste bin, maintained the HOCW and informed us for any update or when to collect the kitchen waste for composting” (Respondent#1)*

Third and finally, two alleyways had specific themes; hence, local residents’ knowledge has increased, and the visitors received new messages from the themes. In 31<sup>st</sup> alley, it had the theme of inclusive living and 32<sup>nd</sup> alley had the theme of Myanmar arts and crafts. The similarity is that all alleys had playground for the kids.

### 4.6.2 Robustness/Strength of the project

The project determined the robustness of the project through some achievements. First, people opinions were changed because those urban spaces were cleaned and transformed into alley gardens.

*“According to my research findings, the number of people who use back alleyway has increased from nearly zero to 48% while the people’s perception and action towards back alleys have “positively changed,” and the 96% of the residents think that the back alleys became useful” (Respondent#5).*

*“In the past, there had bad small on alley ways. However, when the project was initiated, we were enjoyed the space and the kids played there. It already handled the waste issue and reduced the waste. So, it was achieved” (Respondent#3).*

The project strengthened the opinions of back alleys and encouraged communications among different stakeholders (Matsushita et al., 2018). Second, other community came and requested when some alleys became gardens. Third, some households do not throw the trashes anymore after revitalization of alleyways. Only a few households still throw a little trash.

*“Around 90% of local residents do not throw the trash and their behaviours are gradually changing” (Respondent#1).*

Fourth, the project was designed for human centre and participatory design process. Therefore, it encouraged community participation in the project. Likewise, it also enhanced democratic practices; therefore, local residents knew their rights and raised their voices. They could speak up openly in the workshops. Likewise, community voices are listened to and handled their problems.

*“As Myanmar have been ruled by military more than 60 years; therefore, Myanmar people were dare to speak out. When we were in transition period, local community got the opportunity to speak out in design workshop. They claimed their needs as well” (Respondents #1 and 2).*

Finally, the project created sense of belonging because local community involved, and they were proud of themselves when alley gardens had opening ceremony. That situation created role model for other neighbourhood, and they invited them to use their spaces and had recreational time in their alleys.

### **4.6.3 Clear goals/aims of plan relate to urban revitalization that objectives have been achieved**

The clear goals/aims of the project have been achieved because waste issues have been solved. Consequently, it handled the hygiene and health problems for kids and elderly.

*“In my opinion, the project reached to the goal because the alley is cleaned, families and neighbourhood community came and enjoyed the alley garden. For those who live in ground floor, used the space, watering the plants and sweeping the floor. Kids were enjoyed the space too” (Respondent#3)*

Second, security problems have been solved after the project was implemented. In the past, there had crime cases because the alleys were dark. Since the project was initiated, there had no more crime. Third, Central Business District (Downtown) area has heavy traffic; therefore, it was dangerous for the children when they played outside. On the other hand, the project created for kids to play safely in alleyways.

Fourth and finally, the spaces were used as social spaces before dictatorship. Therefore, when the alleyways were revitalized, the elderly had gathering in back alleys, and it was good for their mental health. Likewise, they had leisure time for watering the plants.

*“As the project aimed for inclusion, it implemented due to their objectives, and it handled the problem at hand. Especially it was effective for the users such as kids and elderly. Likewise, adult and mid-ages played soccer and chin lone (Myanmar traditional sport) in alleyways” (Respondent#2).*

### **4.6.4 Actors' satisfaction throughout urban revitalization project**

Local community are end-users, and they were satisfied because their alleys were cleaned, and they used the space for recreational activity. Besides, Doh Eain contributed 80% of the entire project and 20% were collected from local residents. Resident committee collected money from residents and Doh Eain calculated the price for buying the furniture for example, buying swing for the playground.

*“In my alleyway, community participation was very strong and had more business activities. Thus, they were enthusiastically donated. Based on that we spent more budget in furniture. But in one alley, they needed more budget to buy furniture. However, due to the limited budget, Doh Eain reduced the budget for buying furniture. Therefore, they were not satisfied (Respondent#1).*

In alleys project, local community contributed 20%; however, some households did not pay due to their low incomes, but some households contributed more. Likewise, in some alleys, donors provided 90% of the whole project. Therefore, local community were satisfied for sharing 10% only and each household paid 1000Kyats (around 0.5US\$). In order to be transparent, the voucher included the MP's signature.

### **4.6.5 Satisfaction with the ways in which conflicts have been resolved**

The project designed for people-centred and participatory design method; thus, it encouraged local community openly to speak out when conflicts happened. Otherwise, due to the nature of the Myanmar people, they were hesitated to speak out; therefore, Doh Eain took the facilitation roles among the actors.

*“Not 100% satisfaction but it was sure for 70% because we approached participatory method and we listened each individual opinions and then found the solutions together” (Respondent#1).*

All actors had good relationships. However, the actors had constraints in dealing with the departments of YCDC. YCDC worked according to their mandate and procedure. YCDC has many departments especially they worked for maintenance and improvement of the roads. Otherwise, implementation phase was delayed because of some YCDC activities.

*“When YCDC constructed main road, it blocked our alleyway. Thus, our implementation was delayed. Therefore, we (Doh Eain) informed to ward officer and MP about the update situation. Then, ward officer, MP and committee requested the departments of YCDC and negotiated to get the solution” (Respondent#1).*

When, Doh Eain activities included innovative activities, they provided technical and human resources to YCDC, and they gave feedbacks to YCDC. Besides, YCDC was weak in technical resources.

In the committee meetings, all committee members openly discussed their issues and then negotiated among the committee members.

“As for me, I was satisfied with the ways how conflict have been solved in my community. If me or other local residents have concerned about the alley, we provided suggestions to Doh Eain, resident committee and then they implemented. Also, Doh Eain collected feedbacks when the alley garden had done particularly in handover meeting. Therefore, we gave feedbacks and suggestions (Respondents#3 and 4).

#### 4.6.6 Actors continued their relationship after conflict have resolved

There had no big conflict among different actors. However, when they had conflict among committee members, they discussed and negotiated the issues with Doh Eain, MP and ward officers. They listened and provided suggestions. Therefore, the actors continued their relationships after conflicts have resolved. Moreover, the actors continued their relationships because of alley project and for their business matters. However, there had one case that one committee member left from the committee because the person did not get the command ground when he/she discussed with committee members.

“In my alley, one committee member said I was not able to continue to work in committee. So that the other committee members accepted his/her decision because that is his/her choices. But later, the person came back to the committee and continued the relationship with Doh Eain and other committee members” (Respondent#1).

In the project, when committee members had emotions in some situations, they left from the committee temporarily. Otherwise, when it was over, they came back and joined the committee, and then worked for the project again. They understood that they need to give effort for their community development.

#### 4.7 What influence do they have over the resulting decisions and actions

In order to understand the overall picture of the influence/power and interests of the actors in the project, power/influence versus interest grid was prepared.

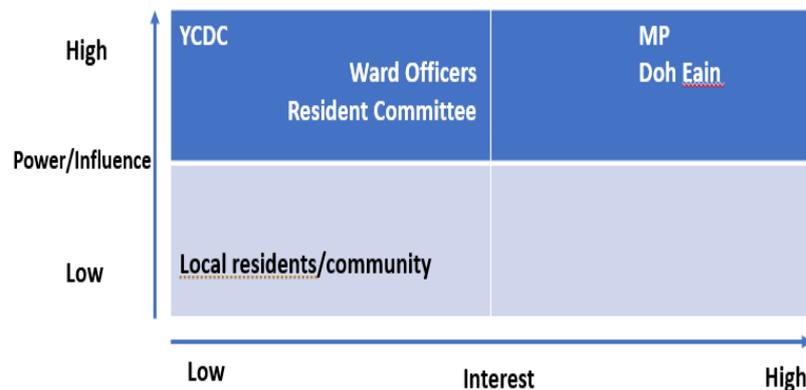


Figure 17: Influence/power Vs Interest Grid

Source: Ackermann, Fran & Eden, Colin (2011) (Adapted)

**Table 14: Degree of Influence in Decisions**

<b>Stakeholder Name</b>	<b>Power / influence</b> How much influence did they have over the project?	<b>Interests</b> What level of interest did the stakeholder have on the final outcomes?	<b>Contribution</b> How did this stakeholder contribute to the project?	<b>Obstruction</b> What were the obstacles for actors in the project?	<b>Engagement Strategy and Direction of communication</b> How did they communicate with and manage the stakeholder?	<b>Influence Overall Decisions</b>
<b>Member of Parliament (Regional MP)</b>	High – MP was elected and had power in dealing with different actors especially departments of YCDC.	High–Regional MP and represented their constituency and worked for welfare of its respective township.  In order to get reputation and votes for coming election, they maintained the good relationship with different actors.	Supported to get necessary permissions from departments of YCDC.  Represented community voices in Yangon Region Parliament.	Time constraints- not being available to meet regularly and attended meetings and workshops.  The knowledge of MP created constraints too.  Political instability  Covid	Not having regular meeting but joined meetings for budget and infrastructure issues.  Two-way dialogue and accepted feedbacks in urgent meetings and regular site check activity. MP received update information from committee and ward officers. Some opinions were taken up.  Discussed and negotiated for possible solutions and made collective decisions.	Consultation- Gave Roles to other to provide inputs on decisions  Placation- Opinions were considered without constraining feedbacks  Collaboration- Took part in negotiation on planning and decision making with committee, Doh Eain and YCDC
<b>YCDC (Yangon City Development Committee)</b>	High – They had power because alleyways are under the administration of YCDC.	Low – As they are bureaucratic government and worked according to their mandate.	Responsibilities to collect waste and segregate waste  Manage systematic sewage disposal.  Construct extent and repair new back lanes and new trenches.	Time and resource constraints - not being available to meet regularly.  Red tape as they already have many administrative tasks (for example, taking too long to give permission)  Political instability  Covid	Not having regular meeting with different actors, but only had meetings for infrastructure issues.  MP directly talked to YCDC when infrastructure issue came out.	Collaboration- Shared seats at the table with MP and took part in negotiation on decision-making.

<b>Doh Eain</b>	High- Lead and facilitated the entire project	High – had interest in the project succeeding. Organizational visions include to make cities more vibrant, inclusive and sustainable places to live, work, and enjoy.	Funding \$. The funding structure of the project was a unique model developed by Doh Eain. Provided 80% of the total cost of the project.  Contributed technical and human resources	Political instability Covid Budget limitation Committee member turned out	Communication channels are used such as face to face and online meetings and workshops.  Two-way dialogue in regular meetings with resident committee and ward officer.  Regular update to MP.  Had consultation and conducted preliminary workshop on vision and idea and the design workshop with residents and committee.  Approaching voting method in design workshop for decision-making. No constraints on feedbacks and some participants opinions were considered.  Encouraged inclusive participation including men, women, mid-ages and different profession.	Consultation- Gave Roles to other to provide inputs on decisions  Collaboration- Took part in negotiation on planning and decision making with committee.
<b>Ward Officers</b>	High – they were elected and had local autonomy in administrative work in their wards.	Medium – due to their levels of knowledge on environment and different agendas, they had medium interests on this project.  They still maintained their relationship with different stakeholders for next ward election.	Participated in meetings and workshops.  Further organized in collaboration among local residents, MPs and YCDC.	Their priority was to work for administration and collaborate with committee for community development activities.  The knowledge of ward officer created constraints too.  Political instability Covid	Communication channels are used such as face to face and online meetings and workshops.  Two-way dialogue in committee meetings and met twice a month.  Regular update to MP in site check visit.  Decisions were made based on negotiation process and collective decisions.	Consultation- Gave Roles to other to provide inputs on decisions  Placation- No constraints on feedbacks and some opinions were considered  Collaboration- Took part in negotiation on planning and decision making with MP and committee.
<b>Resident Committee</b>	High– directly involved in the project.	Medium– it is their place to preserve it.	Contributed time in field work.	Political instability Covid 19	Communication channels are used such as face to face and online meetings and workshops.	Consultation- Gave Roles to other to provide inputs on decisions

	Represented community and made decisions at both committee and high-level meetings.	To compare their alleys with other to create clean and safe environment	Took responsibility in collecting money from local residents and each contributed 1000 Kyat (around 0.5US\$) for the project.	Budget limitations Committee member turned out	Two-way dialogue in committee meetings and met twice a month. Regular update to MP in site check visit. Decisions were made based on negotiation process and collective decisions.	Placation- No constraints on feedbacks and some opinions were considered  Collaboration- Took part in negotiation on planning and decision making with MP and ward officer.
<b>Local Residents/ Community</b>	Low– directly involved in the project.  They only joined design and its related workshop.	Low– it is their place to preserve it.	Local residents contribute 20% of the total cost of the project.	Time and levels of awareness on environmental management such as solid waste issue.  Political instability  Covid	Communication channels are used such as face to face design workshop.  Two-way dialogue in preliminary and design workshops.  Voting mechanism was used in design workshop for decision-making and then collectively made decisions.  Informal meetings with committee.	Informing-Just kept informed and listened to the decisions  Consultation-Doh Eain/committee gave an opportunity to provide inputs on design workshop and decisions

Source: The author (2021)

According to the above table (14) and findings of the research, the project applied participatory approach and different types of actors were involved, including MP, YCDC, Doh Eain, ward officers, resident committee and local residents. In this project, Doh Eain had high interests and influence on the project matter, and they had financial, technical, and human resources. Initially, Doh Eain organized the vision and design workshops with local residents and committee for design concept/idea. Though residents had low power and interest on the project, Doh Eain fostered community participation because they are the end-users of the alleyways. The residents had been informed and consulted through the design workshop. In design workshop, voting mechanism was used; therefore, the workshop avoided bias and conflict among actors in decision-making. After that the actors collectively made decisions. However, they attended a few workshops; therefore, they had less interactions among residents and other actors. Likewise, the information was insufficient for them. Therefore, not all resident inputs were considered in decisions especially in budget matter. The research observes that many people participated in the workshop, but it had breadth participation. Most residents had one way communication channel and they went there to listen and received information only. However, resident committee represented the community and formed with local residents and ward officers. Therefore, they had high influence in the project and attended series of meetings with a few participants such as MP, ward officers, YCDC and Doh Eain. They discussed precise subject matters on budget and construction work.

The committee meetings organized twice a month and committee members, ward officers and Doh Eain staff joined the meeting. The decision-making was different with design workshop because a few people involved and they had two-way dialogue, discussed, negotiated and then, some opinions were considered in decisions. Though MP was not able to join the committee meetings all the time, it had high influence and interest on the project. When budget and infrastructure issues came out, the committee and ward officers could not make decisions and they informed and consulted to MP. After that they negotiated and collectively made decisions. Furthermore, MP had power to communicate with YCDC directly in negotiation and making decisions for infrastructure issues. Thus, those series of meetings had depth participation because a few people were frequently communicated, and they collaborated for implementing plans and programmes after decisions were made. Moreover, actors involved in those meetings had high level of influenced in decisions and had high/medium interests on the project. Otherwise, YCDC had high power, but they had low interests on the project. It happened because of their bureaucratic procedure. They collaborated with other actors when MP talked to them. Nevertheless, for those involved in series of meetings were complemented to each other and they had power to influence the decisions. The project had depth and breadth participation and both participations were balanced. Otherwise, the external risks can be found such as coup and Covid in Myanmar. Therefore, committee members were turned out for their livelihoods and security, and the project is pending. Around five committee members are continuing the maintenance work.

In general, according to overall influence over decisions, the respondents were general public; therefore, they were informed and listened to what other actors said in workshop only. On the other hand, resident committee was involved in higher-up meetings; therefore, committee voices and the inputs were considered in decisions and implemented. In this project, community involvement in revitalization of alleyway solved the waste issues and created urban spaces for city dwellers. It also created sustainable environment for the community. Otherwise, different actors were involved in the project, and they had different objectives. When their objectives were changed over time, their decisions were changed too. So, it was difficult to determine whether the outcomes have been accomplished in the project. However, outcomes are perceptions and those are related to actors' level of participation in decisions. Therefore, some perspectives were drawn from the results of the project. The project had innovative solutions because there had no more waste in alleys, and those were transformed into alley gardens. Community perspectives were changed on alleyway because it became alley garden and residents had regular social activities in back alleys. Besides, the design workshop strengthened democratic practices for local residents to speak out and raised their opinions on alleyway. Likewise, the research finds out that actors were satisfied the design they created, and implementation process they involved. In this project, only a few people were involved at the high-level meetings and influenced the decisions; therefore, conflicts were rare to see among actors and they had good relationship. In summary, reviewing outcomes is not easy; however, it had vital relationship among actors in the network and their network interactions are important for achieving the outcomes.

## Chapter 5: Conclusions and recommendations

### 5.1 Conclusions

The research objective was to understand and explain the extent to which community were able to influence the decision-making processes and the outcomes in the revitalization of back alleys in the Central Business District in Yangon City, Myanmar. The project followed a participatory process and produced an innovative programme in order to balance new development bouncing up along this part of the Central Business District with conservation of the built environment which carries social and environmental value to the neighbourhood community. This event is rare to see local actors trying to initiate volunteering activities which embed in non-profit organization based on a notion of local autonomy, instrumental policy and decision-making in the context of Myanmar. The research applied rounds model for identifying local actors' interactions in each round and how decisions were changed over time. Likewise, the research used the concept of democracy cube for a theoretical approach to understand the phenomenon of this study and measured the levels of community participation in decision-making. The tool of stakeholders' analysis was also used to explain the degree of the local actor's influenced in decisions and how the levels of participation created the outcomes in perception. Though many literatures on local actors' initiative project on urban revitalization can be seen in Western context, these have not been applied to evaluate in urban revitalization project in Myanmar.

According to the rounds model, the research finds out that many people were involved, and it had breadth participation in round 1. Referring to the literature of Chapter 2, a 'wide' range of citizens could participate; however, if they are only brought in to be informed and consulted, participation may remain 'shallow' (Cornwall, 2008). In this case, the local community had been informed and consulted, but their degree of participation was stayed as shallow in design workshop. Therefore, depth participation is needed for community to access the require information in decision-making. In round 2, a few people involved, and it had depth participation. They had regular communication among different actors and made decisions collectively. Therefore, depth and breadth participation can be found in this case.

The research observes that the respondents had different demographic backgrounds such as gender, age and occupation. In gender, male respondents were involved and influenced in decisions at the 'consultation' and 'placation' levels while female participants had high involvement at low level 'informing'. Therefore, male participants had deeper participation, while women had only had 'broad' participation in the project. Likewise, it analyses that male participants had two-way dialogues with others to consider their inputs and considered their feedbacks. However, majority of female respondents had less dialogue with others, and they just listened in the workshop. Though the project encouraged equal participation of men and women, male dominant culture can be seen in decision-making in the project. In age groups, the ages above 35 to 64 years old were influenced the decisions at high levels while young people between 18-24 years old were no longer involved at high levels. In this project, ward officers were male, and both MP and ward officers were mid-ages and above. Thus, those situations created them to have more power to influence in decisions. Besides, committee members were above 35 years old, and they had interactive dialogue with other actors in committee meetings and high-level meetings. Therefore, their inputs and feedbacks were considered in decisions for implementation. In the project, MP had high influence and power to influence the decisions and it had regular interactions with ward officers and committee in site check visit. Therefore, its voices and feedbacks were taken into account. In terms of occupation, majority of respondents were representing 'other' group and they showed their interests on this project and more contributed their time compared to company and NGO staff. Therefore, the research analyses that the longer their involvement in meetings, the more they could influence over decisions.

Beall (1996) mentions that in urban planning, it is essential to embed women and minority people' interests and needs through participatory process at each stage for city development. In this perception, Fenster (2015) insists that men, women and marginalized groups have different access to decision-making processes and those are linked to the right to participate. According to Arnstein (2019), powerholders and powerless public have different interests or influence/power in decision-making in a program or project. Therefore, it is important to assess their constraints that each type of group encounter in order to accomplish genuine levels of involvement. It can be referred to the literature of chapter 2 that participatory process includes different levels of participation and mechanisms in decision-making for workshops/meetings and analysis that existed at the degree of tokenism (informing, consultation, and placation), in which minority groups can be perceived by powerholders that make the final decision. Regarding this, Arnstein (1979) mentions that it is the initial progress to authentic citizens' involvement by communicating community of their responsibilities, choices and rights.

In this case, the respondents had different objectives and interests; therefore, the decisions changed over time when their objectives were changed. Therefore, it was hard to identify the outcomes of the results, but the outcomes are perceptions, and are related to the levels of participation. During two years' project period, community were willing to have the innovative activity for their community and they had concerned for using urban spaces effectively. Those spaces created social interactions and recreational activities for all people particularly for children and elderly. The project had somewhat achieved due to the collaboration of different actors. The strength of the project was that local actors did not have major conflict and when issues came out, they negotiated and took the action immediately. Therefore, the project reached to the objective/goals and local actors were satisfied throughout the project period. Likewise, it had been realized that some actors were turned out not because of the project, but because of the external factors.

Under such circumstances, the key findings were that community were able to influence the decision-making at consultative level and the actors had essential collaboration for achieving the outcomes in the revitalization of back alleys in the Central Business District in Yangon City, Myanmar. In this case, stakeholders such as residents/local community were able to participate in discussions and consultations but were not able to fundamentally influence over decisions and actions. Therefore, while there was broad participation, it was rather shallow and tokenistic. In participatory process, women, youth, and minority groups interests and their needs are essential to consider. However, these people involvement in decision-making process in Myanmar is not easy and it will have time-consuming because the country has been male cultural dominant for more than three decades and the patriarchal mindset is extremely predominant. In this sense, non-government organization cannot do it alone and it needs the collaboration of different actors to consider the gender mainstreaming, youth empowerment and minority rights in their policies, plans and programmes. Besides, people in Myanmar are often not accustomed to participatory practices, and so there is a need for further outreach to encourage the involvement of women, youth, and marginalised people. Furthermore, Covid and military coup are the major challenges for implementing organization and local actors to move forward the project from now and the future.

## 5.2 Recommendations

It remains questions how the initiative organization environment and broader policy and political nature of Myanmar would promote more community governance plans for gender mainstreaming, youth empowerment and minority rights which need to study further. Besides, due to the unfolding political and pandemic situations in Myanmar, the research could not generate the answers from different stakeholders, and it only formulated the answers from local residents. Thus, more knowledge is required how and to what extent those external factors influence in decision-making process which community plays a key role. For example, what kinds of Myanmar's community culture and characteristics irritate or prevent women, youth, and minority groups in community-driven project? How the political and policy area in different levels in the context of Myanmar can generate and restrict opportunity for community initiative activities and progression in urban revitalization? And how the local actors consider for the sustainability (financial, technical or human resources) of the project for the long term? Likewise, the research focused and analysed on single case study in specific site which was hard to generalize to other conditions. Therefore, the recommendation of further study can be observing more in depth into situations of community initiative process in different cases with long term of changing within the country or international level in order to understand various forms of the factors facilitating participatory process and categorise which factor is the utmost important for bottom-up process and to what extent these factors obviously have an influence on the quality of urban revitalization programmes.

## Bibliography

- Ackermann, F., & Eden, C. (2011). Strategic management of stakeholders: Theory and practice. *Long Range Planning*, 44(3), 179-196. doi: 10.1016/j.lrp.2010.08.001
- Arnstein, S. R. (1969). A ladder of citizen participation. *Journal of the American Institute of Planners*, 35(4), 216-224. doi:10.1080/01944366908977225
- Beall, J. (1996). Participation in the city: Where do women fit in? *Gender and Development*, 4(1), 9-16. doi:10.1080/741921946
- Bryman, A. (2006). *Social research methods* (1. publ. ed.). London [u.a.]: SAGE. Retrieved from <http://www.loc.gov/catdir/enhancements/fy0666/2005930766-d.html>
- Bryson, J. M. (2004). What to do when stakeholders matter. *Public Management Review*, 6(1), 21-53. doi:10.1080/14719030410001675722
- Cornwall, A. (2008). Unpacking participation: Models, meanings and practices. *Community Development Journal*, 43(3), 269-283. doi:<https://doi.org/10.1093/cdj/bsn010>
- Devakula, J. (2017). The self-organized citizen and its outcome in urban regeneration: A case study of Bangrak-Khlong San District, Bangkok.
- Edelenbos, J., & Klijn, E.H. (2006). Managing stakeholder involvement in decision making: A comparative analysis of six interactive processes in the Netherlands. *Journal of Public Administration Research and Theory*, 16(3), 417-446. doi:10.1093/jopart/mui049
- Kickert, W., Klijn, E. H., & Koppenjan, J. (1997). *Managing complex networks: Strategies for the public sector*. London [u.a.]: SAGE.
- Klijn, E. H., Steijn, B., & Edelenbos, J. (2010). The impact of network management on outcomes in governance networks. *Public Administration (London)*, 88(4), 1063-1082. doi:10.1111/j.1467-9299.2010.01826.x
- Fenster, T., 2005. The Right to the Gendered City: Different Formations of Belonging in Everyday Life. *Journal of Gender Studies*, 14(3), pp. 217-231. doi: 10.1080/09589230500264109. Available at: <http://www.tandfonline.com/doi/abs/10.1080/09589230500264109>
- Frieling, M., Lindenberg, S. M., & Stokman, F. N. (2014). Article collaborative communities through coproduction: Two case studies.
- Fung, A. (2015). Putting the public back into governance: The challenges of citizen participation and its future. *Public Administration Review*, 75(4), 513-522. doi:10.1111/puar.12361
- Garcia, M. M., & Bodin, O. (2019). Participation in multiple decision-making water governance forums in Brazil enhances actors' perceived level of influence. *Policy Studies Journal*, 47(1), 27-51. doi:10.1111/psj.12297
- Hajer, M. A., & Wagenaar, H. (2003). *Deliberative policy analysis*. Cambridge: Cambridge University Press. doi:10.1017/CBO9780511490934. Retrieved from <http://dx.doi.org/10.1017/CBO9780511490934>
- Htun, M.L. (2018). Transforming Urban Wasteland into Gardens, One Alley at a Time. *The Irrawaddy*. <https://www.irrawaddy.com/culture/arts/transforming-urban-wasteland-gardens-one-alley-time.html>
- Holland, S. (2014). Weaving policy, people & place together, revitalizing broadway east, what does 'revitalization' mean? Retrieved from <http://www.npnh.org/~Assets/Document/httppt/Revitalization%20Working%20Definition1.pdf>

- Irvin, R., & Stansbury, J. (2004). Citizen participation in decision making: Is it worth the effort? Vol.64, No.1, pp.55-65.  
<https://onlinelibrary.wiley.com/doi/pdf/10.1111/j.1540-6210.2004.00346.x>
- Koppenjan, J., & Klijn, E. H. (2004). Managing uncertainties in networks. *Managing uncertainties in networks* (pp. 249-269) Routledge. doi:10.4324/9780203643457-19.  
<https://www.taylorfrancis.com/books/9780203643457/chapters/10.4324/9780203643457-19>
- Matsushita, T., & Kubota, A. (2018). Impact evaluation of alley revitalization project in Yangon and investigation of potential as urban commons.
- Matsushita, T., Kubota, A., Matsushita, T., Roell, E., Kubota, A., & Meguro, K. (2018). Utilization of Yangon's back drainage space as urban commons: Existing issues of urban safety and roles of stakeholders.
- Minnery, J. (2007). Stars and their supporting cast: State, market and community as actors in urban governance. *Urban Policy and Research*, 25(3), 325-345. doi:10.1080/08111140701540745
- Roell, E. (2020). Yangon's alley garden project. *The City at The Eye level Asia*. STIPO Publishing.
- Ramlee, M., Omar, D., Yunus, R. M., & Samadi, Z. (2015). Revitalization of urban public spaces: An overview. *Procedia, Social and Behavioral Sciences*, 201, 360-367. doi: 10.1016/j.sbspro.2015.08.187
- Rondinella, T., Segre, E., & Zola, D. (2017). Participative processes for measuring progress: Deliberation, consultation and the role of civil society. *Social Indicators Research*, 130(3), 959-982.  
doi:10.1007/s11205-015-1207-z
- Rosenzweigova, I., Skoric, V., & Asipovich, H. (2016). Civil participation in decision-making processes: An overview of standards and practices in council of Europe member states. *The European Center for Not-for-Profit Law*.
- Teisman, G. (2000). Models for research into decision-making processes: On phases, streams and decision-making rounds. *Public Administration (London)*, 78(4). doi:10.1111/1467-9299.00238
- Tun, L.S. (2020). Tackling waste with Doh Eain. *Myanmar Times*.  
<https://www.mmtimes.com/news/tackling-waste-doh-eain.html>
- Van Meerkerk, I. (2014). Boundary-spanning in governance networks. A study about the role of boundary spanners and their effects on democratic throughput legitimacy and performance of governance networks. the degree of doctor. Erasmus University Rotterdam.
- Van Meerkerk, I., Boonstra, B., & Edelenbos, J. (2013). Self-organization in urban regeneration: A two-case comparative research. *European Planning Studies*, 21(10), 1630-1652.  
doi:10.1080/09654313.2012.722963
- Van Thiel, S. (2014). *Research methods in public administration and public management*. Routledge.
- Van Twist, M., & Termeer, C. (1991). *Introduction to Configuration Approach: A Process Theory for Societal Steering*. Springer, Dordrecht.  
[https://doi.org/10.1007/978-94-011-3522-1\\_2](https://doi.org/10.1007/978-94-011-3522-1_2)
- Wagenaar, H. (2007). Governance, complexity, and democratic participation. *American Review of Public Administration*, 37(1), 17-50. doi:10.1177/0275074006296208
- Yin, R. K. (2003). *Case study research*. Third edition. Applied social research methods series volume 5.

## Reports

Doh Eain Annual Report (2020).

International Association for Public Participation Report (2018). Spectrum of levels of public participation  
<http://www.iaps.org/practitionertools/spectrum.html>

Union Election Committee Report (2015).

Village Tract Administration Law (2012).

Yangon City Development Committee (2018). Retrieved from  
<https://www.ycdc.gov.mm>

## Annex 1: Research Instruments

The interview guides are divided into two parts including questionnaires and semi-structured interviews, following the nature of the research strategy which are;

### 1.1 Interview guide (questionnaires) for respondents

This questionnaire is prepared for the data collection tool for the research of master thesis in MSc Programme in Urban Management and Development, Rotterdam, The Netherlands. The thesis title is "Stakeholders' Interactions in Participatory Approaches: A Case Study of Revitalization of Back Alleys Project in the Central Business District, Yangon City, Myanmar" which is carried out by Naw Carol Aye.

The questionnaire will take approximately 15 minutes to complete. It includes two parts. The first part is about background information and the second one is related to the levels and nature of decision-making processes related to back-alley project.

This information will be used for scientific research and education purposes. The data will be kept confidentially, we will anonymize the names of interviewees and will not share with any other third parties. After the research is done, the summary paper will be sent it to the respondents.

Your participation is greatly appreciated.

---

#### Part A: Background Information

- 1) Name:  
\_\_\_\_\_
- 2) Gender  
\_\_\_\_\_ Female  
\_\_\_\_\_ Male  
\_\_\_\_\_ Other
- 3) What is your age?  
\_\_\_\_\_ 18-24 years old  
\_\_\_\_\_ 25-34 years old  
\_\_\_\_\_ 35-49 years old  
\_\_\_\_\_ 50-64 years old  
\_\_\_\_\_ 65+ years old
- 4) What is your occupation?  
\_\_\_\_\_ Company staff  
\_\_\_\_\_ NGO/Social worker  
\_\_\_\_\_ Other
- 5) How long have you lived in this neighborhood?  
\_\_\_\_\_ 0-10 years  
\_\_\_\_\_ 11-20 years  
\_\_\_\_\_ 21-30 years  
\_\_\_\_\_ 31-40 years  
\_\_\_\_\_ 41+ years
- 6) What roles did you take in this project?  
\_\_\_\_\_ Committee member  
\_\_\_\_\_ Local resident  
\_\_\_\_\_ Other

---

#### Part B: This session asks about your familiarity with participation in decision-making processes within the project.

Please select one of the answers from Questions 7 to 10.

7)	Involvement in decisions	
	Please indicate which statement correctly reflects the situation	Please Tick (✓) in one of the statements
	<b>My perception was that I . . .</b>	
a)	Joined in the process as a listener, was there to receive information only	
b)	Was given the opportunity to raise opinions and to state preferences, but I was unsure if I influenced the outcome	
c)	Was involved in a lot of deliberation and was given the opportunity to develop opinions and preferences, these were heard and accepted	
d)	Took part in collective bargaining, and was able to combine my preferences with others, the community had a final vote on decisions	
e)	Was involved in discussions, exchanging opinions and agreed other views and then reached an agreement	

8)	Direction of communication	
	Please indicate which statement correctly reflects the situation	Please Tick (✓) in one of the statements
	<b>My perception was that the process was characterized by . . .</b>	
a)	One-way communication, no channel to respond	
b)	Two-way dialogue, no constraint on feedback, but no indication of whether opinions will be taken up	
c)	Two-way dialogue, no constraint on feedback, some indication that opinions will be taken up	
d)	Negotiation between parties, response to decision ensured, that will be taken into account	
e)	Community dominates dialogue, negotiation between parties, community can apply veto decision	

9)	Influence over decisions	
	Please indicate which statement correctly reflects the situation	Please Tick (✓) in one of the statements
	<b>My perception was that I . . .</b>	
a)	Did not expect to have influence, I was just there to fulfil civic duty and to observe what was going on	
b)	Had indirect influence over decisions, and was able to contribute and participate in discussions	

c)	Had direct involvement in decision-making, and was also accountable for decision-making process (setting agenda, identifying problem et cetera)	
d)	Collaborated in creating plans, strategies and programmes	
e)	Was completely empowered to make and influence decisions	

10)	Tools of communication in decision-making	
	Please indicate which statement correctly reflects the situation	Please Tick (✓) in one of the statements
	<b>I observed that decision-makings sessions were . . .</b>	
a)	Held online (Zoom, skype et cetera) committee meetings/plenary sessions	
b)	Held in person committee meetings/plenary sessions	
c)	Followed up with surveys/questionnaires	
d)	Formed working committee for permanently to provide suggestion, co-decision-making and strategic partnership through face to face	
e)	Formed working committee for ad hoc expert groups to provide suggestion, co-decision-making and strategic partnership through face to face	

11) Please indicate on a scale of 1 -10 your perception of your level of influence.

	Influence overall	Please indicate a scale (1-10)
	Please indicate on a scale of 1-10 if this level of influence went up or down over time.	
a)	I did not have chance to comment on projects/ programmes	
b)	The government/NGO gave an opportunity to me to provide input on decisions	
c)	I was just kept informed and listened to the decisions	
d)	My role was to recognize concerns and desires, and give comments on decisions	
e)	My voices were heard and accepted	
f)	My opinions were considered without constraining feedback	
g)	I took part in negotiation on planning and decision-making	
h)	I shared seats at the table with government officials and initiatives came from us and took place at the whole project cycle	
i)	I worked together with others for establishing plans and projects	
j)	I was fully encouraged to make and influence decisions	

12) Please circle the scales on each statement.

Mechanisms in decision-making						
	Statements	Never	Rarely	Sometimes	Not applied	A lot
a)	I was bargaining on other preferences.	1	2	3	4	5
b)	I negotiated on planning and decision-making.	1	2	3	4	5
c)	I voted for combine preferences.	1	2	3	4	5
d)	I negotiated to consider my inputs.	1	2	3	4	5
e)	I voted for combine feedbacks and suggestions.	1	2	3	4	5
f)	I negotiated on plans and programmes	1	2	3	4	5

Thank you very much for your cooperation!

## 1.2 Interview guide (questions list) for project focal person of Doh Eain organization

This interview guide is prepared for the data collection tool for the research of master thesis in MSc Programme in Urban Management and Development, Rotterdam, The Netherlands. The title of the thesis is “Stakeholders’ Interactions in Participatory Approaches: A Case Study of Revitalization of Back Alleys Project in the Central Business District, Yangon City, Myanmar” which is carried out by Naw Carol Aye. The interview will take between 20-30 minutes.

This information will use for scientific research and education purposes. The data will keep confidentially and will anonymize the name of the interviewee and will not share with any other third parties. Some questions are not included in the list but will be added during the interview. After the research is done, the summary paper will be sent it to the respondents.

No	Interview Questions	Indicators
	<b>Background of the project</b>	
1.	Can you introduce yourself and what role did you take in back alley project?	
2.	Can you briefly explain about the background of the back alley project?	
	<b>Community influence in decision-making processes</b>	
3.	Who were involved in this project?	
4.	How did the committee form?	
5.	Are there stakeholders’ changes during these project years?	
6.	What kinds of activity took place?	
7.	How local actors participated in revitalization of back alleys?	
8.	What were the roles of the local actors to take part in meeting and workshops?	Levels of power of the actors -Influence of community over decisions -Ability to express opinion and comment on decisions  (Refer to questionnaire)
9.	Did they get a chance to say something?	
10.	How is decision-making organized?	Mechanisms of decision-making Degree of influence and interest of the actors
11.	Who made the decisions?	
12.	What particular issue did you discuss in decision-making process?	
13.	How were the local actors communicated?	Direction of communication channels
14.	When were decisions made?	Number of round of actors’ interactions in decision-making
15.	How were decision made and changing over time?	
16.	After decisions were made, which things were implemented?	Evidence of actors’ decisions were implemented
	<b>Outcomes of the process</b>	
17.	What are the achievements/strength of the project?	Achievements of the project
18.	What obstacles did your organization face?	
19.	How many problems have been solved innovatively?	Number of innovative solutions
20.	How do you think that the goals/objective of the project that has been developing really deal with the problem at hand?	Clear goals/ aims of plan relate to urban revitalization that objectives have been achieved
21.	Do you think that participants were satisfied with the process of the project?	The actors’ satisfaction throughout urban revitalization project

22.	How did you resolve the problems?	Satisfaction with the ways in which conflicts have been resolved
23.	Do you think that participants were satisfied with the ways in which conflicts have been resolved?	Satisfaction with the ways in which conflicts have been resolved
24.	After resolved the issues, are the local actors continue their relationships?	The actors continued their relationship after conflict have resolved

### 1.3 Interview guide (questions list) for community members

This interview guide is prepared for the data collection tool for the research of master thesis in MSc Programme in Urban Management and Development, Rotterdam, The Netherlands. The title of the thesis is "Stakeholders' Interactions in Participatory Approaches: A Case Study of Revitalization of Back Alleys Project in the Central Business District, Yangon City, Myanmar" which is carried out by Naw Carol Aye. The interview will take between 20-30 minutes.

This information will use for scientific research and education purposes. The data will keep confidentially and will anonymize the name of the interviewee and will not share with any other third parties. Some questions are not included in the list but will be added during the interview. After the research is done, the summary paper will be sent it to the respondents.

No	Interview Questions	Indicators
	<b>Background of the project</b>	
1.	Can you introduce yourself and what role did you take in this project?	
2.	How did the committee form?	
3.	How long have you been involved in this project or committee?	
4.	What kinds of activity took place?	
	<b>Community influence in decision-making processes</b>	
5.	Who were involved in this project?	
6. 7.	What were the roles of you to take part in meeting and workshops? Did you get a chance to say something?	Levels of power of the actors -Influence of community over decisions -Ability to express opinion and comment on decisions  (Refer to questionnaire)
8. 9.	How is decision-making organized? Who made the decisions?	Mechanisms of decision-making Degree of influence and interest of the actors
10.	What particular issue did you discuss in decision-making process?	
11.	How did you communicate with other actors?	Direction of communication channels
12. 13.	When were decisions made? How were decision made and changing over time?	Number of round of actors' interactions in decision-making
14.	After decisions were made, which things were implemented?	Evidence of actors' decisions were implemented
	<b>Outcomes of the process</b>	
15.	What are the achievements/strength of the project?	Achievements of the project
16.	What obstacles did you/community face?	
17.	According to your experience, how many problems have been solved innovatively?	Number of innovative solutions
18.	How do you think that the goals/objective of the project that has been developing really deal with the problem at hand?	Clear goals/ aims of plan relate to urban revitalization that objectives have been achieved
19.	Do you think that participants satisfied with the process of the project?	The actors' satisfaction throughout urban revitalization project
20.	How did you/community resolve the problems?	Satisfaction with the ways in which conflicts have been resolved
21.	Were you/community satisfied with the ways in which conflicts have been resolved?	Satisfaction with the ways in which conflicts have been resolved

22.	After resolved the issues, are you/community continue the relationships with others?	The actors continued their relationship after conflict have resolved
-----	--	--

#### 1.4 Interview guide (questions list) for academia

This interview guide is prepared for the data collection tool for the research of master thesis in MSc Programme in Urban Management and Development, Rotterdam, The Netherlands. The title of the thesis is “Stakeholders’ Interactions in Participatory Approaches: A Case Study of Revitalization of Back Alleys Project in the Central Business District, Yangon City, Myanmar” which is carried out by Naw Carol Aye. The interview will take between 20-30 minutes.

This information will use for scientific research and education purposes. The data will keep confidentially and will anonymize the name of the interviewee and will not share with any other third parties. Some questions are not included in the list but will be added during the interview. After the research is done, the summary paper will be sent it to the respondents.

No	Interview Questions	Indicators
	<b>Background of the project</b>	
1.	Can you introduce yourself and what is your current position?	
2.	How did you know about this project?	
	<b>Community influence in decision-making processes</b>	
3.	How do you think about this project? (The local actors’ participation in decision-making process in revitalization of back alleys in Central Business District, Yangon)	
4.	What was your role/do with the project?	
5.	Have you ever attended or joined the meeting of the project?	
6.	How do you think about local actors’ involvement in revitalization of back alleys?	
7.	What were the roles of the community to take part in meeting and workshops?	Levels of power of the actors -Influence of community over decisions -Ability to express opinion and comment on decisions (Refer to questionnaire)
8.	According to your findings, did they get a chance to say something?	
9.	How is decision-making organized?	Mechanisms of decision-making Degree of influence and interest of the actors
10.	Who made the decisions?	
11.	What particular issue did they discuss in decision-making process?	
12.	According to your observations, how did they communicate?	Direction of communication channels
13.	According to your observations, how were decision made?	Number of round of actors’ interactions in decision-making
14.	After decisions were made, which things were implemented?	Evidence of actors’ decisions were implemented
	<b>Outcomes of the process</b>	
15.	According to your finding, what are the achievement/strength of the project?	Achievements of the project
16.	What obstacles did they face?	
17.	According to your observations, how many problems have been solved innovatively?	Number of innovative solutions
18.	How do you think that the goals/objective of the project that has been developing really deal with the problem at hand?	Clear goals/ aims of plan relate to urban revitalization that objectives have been achieved
19.	Do you think that participants satisfied with the process of the project?	The actors’ satisfaction throughout urban revitalization project
20.	According to your observations, how did they resolve the problems?	Satisfaction with the ways in which conflicts have been resolved
21.	After resolved the issues, are community and others continue the relationships?	The actors continued their relationship after conflict have resolved

## Annex 2: Primary Data Sources (Questionnaires Result)

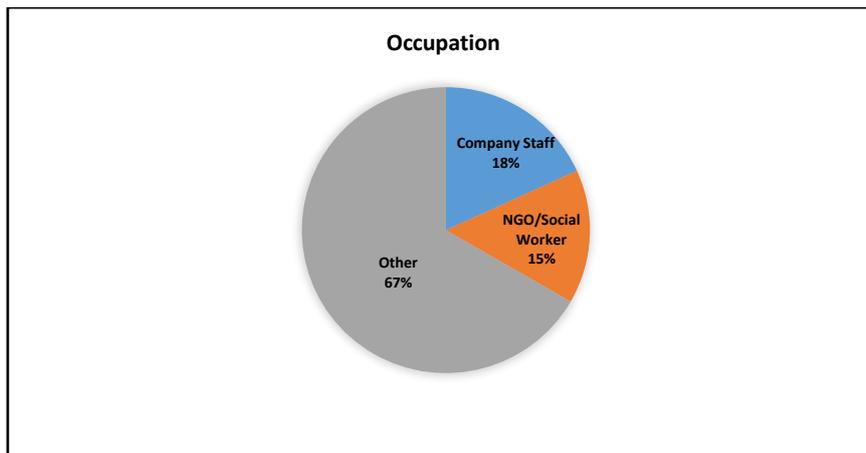


Figure 18: Occupation

Source: The author (2021)

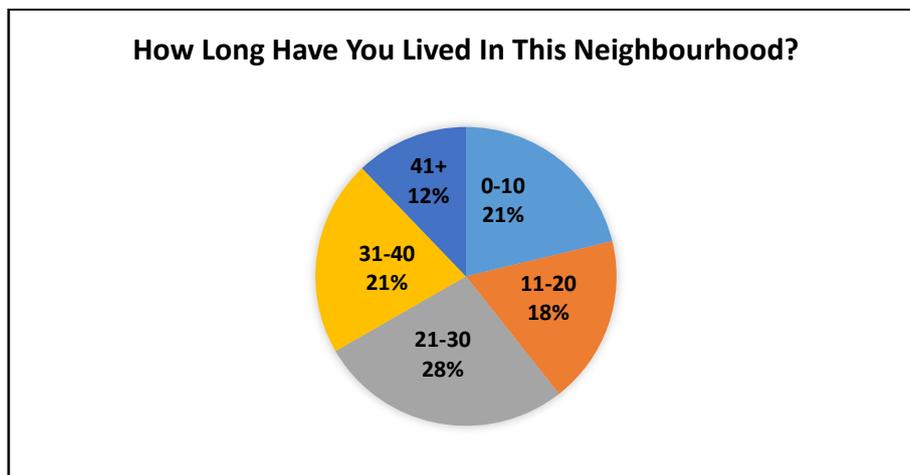


Figure 19: How long have you lived in this neighborhood?

Source: The author (2021)



Figure 20: Doh Eain and local residents in preliminary workshop

Source: Source: <https://doheain.com/en>

**Table 15: Occupation and Involvement in Decisions**

Level of participation	Statements	Occupation (Count and Percentage)			Total Count and %
		Company Staff	NGO/Social Worker	Other (Vendors, Small grocery owner, Retired people & Housewives)	
3- Informing	Joined in the process as a lister, was there to receive information only	6(28.8)	3(14.4%)	12(57.6%)	21(100%)
4-Consultation	Was given the opportunity to state preference, but I was unsure	0(0%)	2(25%)	6(75%)	8(100%)
5- Placation	Was involved in a lot of deliberation and was given the opportunity to develop opinions and preferences	0(0%)	0(0%)	2(100%)	2(100%)
6-Partnership	Took part in collective bargaining, and was able to combine my preferences, had a final vote on decisions)	0(0%)	0(0%)	2(100%)	2(100%)
7-Delegated power	Was involved in discussions, exchanging opinions and agreed other views and then reached an agreement)	0(0%)	0(0%)	0(0%)	0(0%)
	<b>Total Count and %</b>	6(18.2%)	5(15.2%)	22(66.7%)	33(100%)

Source: The author (2021)

**Table 16: Age and Influence Over Decisions**

Level of participation	Statements	Age (Count and Percentage)					Total Count and %
		18-24	25-34	35-49	50-64	65+	
4-Consultation	Did not expect to have influence, I was just there to fulfil civic duty and to observe what was going on	2(9.6%)	6(28.8%)	7(33.6%)	5(23.8%)	1(4.8%)	21(100%)
5- Placation	Had indirect influence over decisions, and was able to contribute and participate in discussions	0(0%)	2(28.6)	2(28.6%)	3(42.9%)	0(0%)	7(100%)
6-Partnership	Had direct involvement in decision-making, and was also accountable for decision-making process	0(0%)	1(25%)	2(50%)	1(25%)	0(0%)	4(100%)
7-Delegated power	Collaborated in creating plans, strategies and programmes	0(0%)	0(0%)	1(100%)	0(0%)	0(0%)	1(100%)
	<b>Total Count and %</b>	2(6.1%)	9(17.3%)	12(36.4)	9(27.3%)	1(3.0%)	33(100%)

Source: The author (2021)

**Table 17: Occupation and Influence Over Decisions**

Level of participation	Statements	Occupation (Count and Percentage)			Total Count and %
		Company Staff	NGO/Social Worker	Other (Vendors, Small grocery owner, Retired people & Housewives)	
4-Consultation	Did not expect to have influence, I was just there to fulfil civic duty and to observe what was going on	5(23.8%)	4(19%)	12(57.1%)	21(100%)
5-Placation	Had indirect influence over decisions, and was able to contribute and participate in discussions	1(14.3%)	1(14.3%)	5(71.5)	7(100%)
6-Partnership	Had direct involvement in decision-making, and was also accountable for decision-making process	0(0.0%)	0(0%)	4(100%)	4(100%)
7-Delegated power	Collaborated in creating plans, strategies and programmes	0(0%)	0(0%)	1(100%)	1(100%)
	Total Count and %	6	5	22	33(100%)

Source: The author (2021)

**Table 18: Age and Direction of Communication**

Level of participation	Statements	Age (Count and Percentage)					Total Count and %
		18-24	25-34	35-49	50-64	65+	
3-Informing	One-way communication, no channel to respond	2(18.2%)	4(36.4%)	3(27.3%)	2(18.2%)	0(0%)	11(100%)
4-Consultation	Two-way dialogue, no constraint on feedback, but no indication of whether opinions will be taken up	0(0%)	2(18.2%)	5(45.5%)	3(27.3%)	1(9.1%)	11(100%)
5-Placation	Two-way dialogue, no constraint on feedback, some indication that opinions will be taken up	0(0%)	2(25%)	3(37.5%)	3(37.5)	0(0%)	8(100%)
6-Partnership	Negotiation between parties, response to decision ensured, that will be taken into account	0(0%)	1(33.3%)	1(33.3%)	1(33.3%)	0(0%)	3(100%)
7-Delegated power	Community dominates dialogue, negotiation between parties, community can apply veto decision	0(0%)	0(0%)	0(0%)	0(0%)	0(0%)	0(0%)
	Total Count and %	2(6.1%)	9(17.3%)	12(36.4)	9(27.3%)	1(3.0%)	33(100%)

Source: The author (2021)

**Table 19: Occupation and Direction of Communication**

Level of participation	Statements	Occupation (Count and Percentage)			Total Count and %
		Company Staff	NGO/Social Worker	Other (Vendors, Small grocery owner, Retired people & Housewives)	
3- Informing	One-way communication, no channel to respond	3(27.3%)	2(18.2%)	6(54.6%)	11(100%)
4-Consultation	Two-way dialogue, no constraint on feedback, but no indication of whether opinions will be taken up	2(18.2%)	2(18.2%)	7(63.7%)	11(100%)
5- Placation	Two-way dialogue, no constraint on feedback, some indication that opinions will be taken up	1(12.5%)	1(12.5)	6(75%)	8(100%)
6-Partnership	Negotiation between parties, response to decision ensured, that will be taken into account	0(0%)	0(0%)	3(100%)	3(100%)
7-Delegated power	Community dominates dialogue, negotiation between parties, community can apply veto decision	0(0%)	0(0%)	0(0%)	0(0%)
	Total Count and %	6(18.2%)	5(15.2%)	22(66.7%)	33(100%)

Source: The author (2021)

## Annex 3: Work Plan

This is an entire work plan which begins from April to November 2021.

No	Tasks	Apr	May	June	Jul	Aug	Sep	Oct	Nov
1.	Initial discussion with supervisor and the leading organization								
2.	Starting Chapter 1								
3.	Starting Chapter 2								
4.	Starting Chapter 3								
5.	Developing full proposal (Chapter 1 to 3)								
6.	Creating data collection methods and preparing data tools by using online platform and secondary sources								
7.	Transcribing and analysing the data								
8.	Developing the result and improving the final version of the thesis								

## Annex 4: IHS copyright form

In order to allow the IHS Research Committee to select and publish the best UMD theses, participants need to sign and hand in this copy right form to the course bureau together with their final thesis.

Criteria for publishing:

1. A summary of 400 words should be included in the thesis.
2. The number of pages for the thesis is about 50 (without annexes).
3. The thesis should be edited

Please be aware of the length restrictions of the thesis. The Research Committee may choose not to publish very long and badly written theses.

By signing this form you are indicating that you are the sole author(s) of the work and that you have the right to transfer copyright to IHS, except for items cited or quoted in your work that are clearly indicated.

I grant IHS, or its successors, all copyrights to the work listed above, so that IHS may publish the work in *The IHS thesis series*, on the IHS web site, in an electronic publication or in any other medium.

IHS is granted the right to approve reprinting.

The author(s) retain the rights to create derivative works and to distribute the work cited above within the institution that employs the author.

Please note that IHS copyrighted material from *The IHS thesis series* may be reproduced, up to ten copies for educational (excluding course packs purchased by students), non-commercial purposes, providing full acknowledgements and a copyright notice appear on all reproductions.

Thank you for your contribution to IHS.

Date : 14 November 2021

Your Name(s) : Naw Carol Moet Moet Aye

Your Signature(s) : 

Please direct this form and all questions regarding this form or IHS copyright policy to:

The Chairman, IHS Research Committee Burg. Oudlaan 50, T-Building 14 <sup>th</sup> floor, 3062 PA Rotterdam, The Netherlands
--

j.edelenbos@ihs.nl Tel. +31 10 4089851
--

