

**ACHIEVING SUSTAINABLE HOUSING
AFFORDABILITY THROUGH AN
INSTITUTIONALIST APPROACH TO
COMMUNICATIVE PLANNING:**

*A case study of New Settlements and Sustainable Urban
Extensions in England*

By

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ABSTRACT

This study argues for an Institutional Approach (IA) to communicative planning to achieve Sustainable Housing Affordability (SHA) outcomes in England. IA combines Giddens' Structuration Theory and Habermas' Communicative Planning Theory, argues for a socially constructed view of the world. Currently, the concept of SHA is explained by merging of prevailing discourse on *housing affordability* and *sustainability*. *i.e.* *housing affordability* is an issue around housing demand and supply disequilibrium, whilst *sustainability* is achieving a balance between environmental, economic and social aspects of housing developments. Both lenses through which it is understood are problematic and independently are inadequate to capture the effects of 21st-century globalised housing markets, where the household subjectivities are complex and planning has limited control over local housing outcomes. Setting the research design to a single case study with embedded units, the empirical evidence for the study was collected from Dickens Heath New Settlement, Solihull and Langley Sustainable Urban Extension, Birmingham. The findings provide new insights into understanding the concept of SHA that suit the 21st-century housing context and contribute to developing the application of Communicative Planning Theory in the context of new housing developments that aims to achieve SHA outcomes.

Keywords: Sustainable Housing Affordability, Communicative Planning Theory, Structuration Theory, Dickens Heath New Settlement, Langley Sustainable Urban Extension

Dedicated to
Samitha, Sasindu, Thenuki and My Parents

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LIST OF ABBREVIATIONS

BCC	Birmingham City Council
BDP	Birmingham Development Plan
CIL	Community Infrastructure Levy
CPA	Communicative Planning Action
CPT	Communicative Planning Theory
DCLG	Department of Communities and Local Government
DH	Dickens Heath
DHNS	Dickens Heath New Settlement
E ³ i belt	Economic, Entrepreneurial, Environmental and Innovation
GBSLEP	Greater Birmingham Solihull Local Enterprise Partnership
HA	Housing Affordability
HMA	Housing Marker Area
HMLR	Her Majesty the Land Registry
IA	Institutionalist Approach
LDF	Local Development Framework
LPA	Local Planning Authorities
LSUE	Langley Sustainable Urban Extension
NPPF	National Planning Policy Framework
NVQ	National Vocational Qualification
ODPM	Office of Deputy Prime Minister
ONS	Office for National Statistics
PPGs	Planning Policy Guidance
PPSs	Planning Policy Statements
QUANGOS	Quasi-Autonomous National Government Organisation
RITP	Royal Institute of Town Planners
RPG	Regional Planning Guidance
RSS	Regional Spatial Strategy
SHA	Sustainable Housing Affordability
SMBC	Solihull Metropolitan Borough Council
SPD	Supplementary Planning Documents
TCPA	Town and Country Planning Association
UK	United Kingdom

CHAPTER ONE

PLANNING AND SUSTAINABLE HOUSING

AFFORDABILITY IN ENGLAND

1.1 Background to the Study

The emergence of modern planning in England in the 19th century was to deliver healthy housing conditions for the people who work and live in cities. The development of the contemporary welfare state and introduction of universal health services (such as the National Health Service in the UK) altered the role of the environment in which housing is delivered in the UK and many industrial countries. These changes in welfare and social rights radically altered levels of relative poverty and made radical improvements in living conditions, transforming them in absolute terms. The concepts of sustainable communities, smart growth and livable cities (see: Geller, 2003; Newton, 2012, Dale and Newman, 2009) are therefore the contemporary apotheosis of 19th-century interventions to deliver healthy housing conditions, as they address the concerns of people who live and work in cities supporting them through affordable housing, energy efficiency and healthy and safe design of housing and neighbourhoods (Mulliner, Smallbone and Maliene, 2013).

However, planning actions to deliver sustainable and affordable housing outcomes are increasingly challenging under neo-liberal market conditions which have prevailed since the mid-1970s. The intensification of globalisation and financialisation of housing has re-structured housing markets for the benefits of greater labour flexibility and exploitation of capital gains in housing (Rolnik, 2013). This has created varying dynamics within local

environments and housing markets (Healey, 2006; Clapham, 2005). These forces require planning to refocus on how the different impacts from those dynamics may be informed and managed locally.

Since 1975 the UK government has tried various policy initiatives to promote sustainable and affordable housing. These include funding and planning gain provisions for social housing programmes, regional planning governance to direct building targets, housing market renewal to stimulate re-investment in brownfield areas, sustainable housing initiatives such as zero carbon homes to tackle climate change and expansion of growth areas to deliver housing where economic growth is greatest (Cullingworth et al., 2015). However, whilst central and local government develop strategies for the delivery of affordable or social housing, market actors often raise the question of market “viability” in adhering to such policy initiatives. Meanwhile, the British housing industry is often blamed for building housing that is inflexible or a standardised shape and size (Adams and Watkins, 2008). Moreover, despite the UK government’s push for more sustainable housing, there are unresolved concerns that new, affordable housing fails to match changes in the lifestyles of home occupiers, then, and that more needs to be done to create flexible and liveable space that is adaptable to the changing circumstances of households. Despite a reduction of local opposition for new housing development from 46% in 2010 to 24% in 2016 (NatCen, 2016 cited in NHF, 2017) there remains great tensions among local communities concerning the delivery of new housing and the fear of a fall in quality and the lived experiences (Tute, 2018; DCLG, 2015a; Healey, 2006). This reflects the problems of a neo-liberalised and financialised housing market that delivers benefits unevenly or diametrically oppositional dependent on the point of view of the stakeholder. To deliver sustainable and affordable housing outcomes, planning needs to be adaptive,

as under market economies the notion of pluralism generates multi-sided and scalar interest groups and conflicts (Brindley et.al, 2005, Healey, 2006; Grant, 1989).

An Institutional Approach (IA) to communicative planning is one way of moving beyond such challenges to achieve sustainable and affordable housing outcomes: collaboratively discussing the shared concerns of these multi-sided interest groups to understand potential impacts from each other's actions and possible ways of valuing and addressing them (Healey, 2006, 1999, 1997, 1996). Here, "institutions" are not understood just as an organisation but as an established way of understanding how to address social issues (Healey, 1999, p.113). IA is grounded in a relational view of social life (ibid). It focuses on Giddens' (1984) Structuration Theory formulation that people actively and interactively structure their social worlds over time-space, both materially and in the meanings they make while surrounded by powerful constraints of various kinds (Healey, 2006: 35). Rooted in Habermas' (1984) rationality for communicative action (developed into Communicative Planning Theory or CPT), IA suggests that planning has a role to play in the process of people interactively constructing their social world. This is by becoming a facilitator or mediator, to take into account not only the "scientific" facts (systematic understanding of experts) but also practical or emotive reasoning and knowledge of residents. Therefore, it suggests that the "field" of public policy is an aggregation of formal organisations and informal relationships, through which collective action with respect to a set of concerns (such as sustainable and affordable housing outcomes) is accomplished (Healey, 1997: 72).

On this basis, this research explores the application of IA to communicative planning to achieve sustainable and affordable housing outcomes using an in-depth case study in England. More generally, *housing affordability* is understood as access to housing

resources within the means of households (Stone, 2006a, 2006b) and *sustainability* is acknowledged as meeting the needs of today without compromising the ability of future generations to meet their needs (WCED, 1989). However, under market conditions where the buyers (in this case residents) are provided opportunity for greater choice, operationalising these terms and defining boundaries as to what housing resources they should access to gain affordability and what is the level of consumption for sustainability is a challenge (Voss, Bauknecht and Kemp, 2006; Wilcox, 1999). Therefore, confronting the concept of housing affordability and sustainability or what this referred as Sustainable Housing Affordability (SHA), the review of literature shows, it is a relative term that cannot be defined normatively. It could mean different things to different stakeholders of housing outcomes. Thus, developing the understanding of such a concept requires an understanding of different stakeholder frames of references (i.e *meanings* or *values*; Healey, 2006; Clapham, 2005) and generate shared understanding through those meanings that are often reciprocal among actors. To execute this, a process that aims to deliver SHA outcome requires a planning action such as communicative planning. By anchoring the SHA outcome understanding to stakeholder subjectivities, the IA addresses the overlooked aspects of the previous classical economic approaches to define sustainable housing affordability. Similarly, IA acknowledging the idea of time-space dynamics of structures opens the avenues to explore the gaps of CPT such as apply the theory in the context of new housing built in the greenbelt, where the communities do not exist at the planning stages of housing development. In that respect, this research has the potential to contribute to the knowledge of both the understanding of the SHA concept and the CPT.

1.2 Genesis of the Thesis

The motivation to develop this thesis emerged from two primary reasons: subjective (emotive) knowledge of my own housing choice decisions and my past academic work in the field of planning and housing.

Having experienced living in Colombo, Tokyo and Birmingham with my family, the tensions and complexities I encountered with my own housing affordability and sustainability, created a motivation within myself to question how a desirable and liveable experience can be planned for people working and living in cities. I reflexively monitored my own life pathways: being a young graduate in Sri Lanka, a newly married woman moving to Tokyo for master studies, returning back to Sri Lanka for an academic job, having grown my family bigger with two children and moving to Birmingham for my PhD studies, and the complexities I encountered in my own aspirations and my means of living to create sustainable and affordable housing circumstances.

Similarly, being a planner and working as an academic in the real estate planning field broadened my thought process on this, and how these complexities apply under different dimensions. My master thesis (2006–2008) on *Urban Sprawl and Land Management Practices in Colombo* provided insights on how a particular household's housing choice driven by housing affordability, falls into the category of *urban sprawl* in the light of sustainable urban development and growth, and what should be the role of land management in balancing both housing affordability and urban sustainability. The pursuit of my master's degree at the University of Tokyo attached to the Civil Engineering Department exposed me to different academic discussions and field visits on sustainable urban management and urban design in residential areas in and around Tokyo. Those often prompted me to question, why those “sustainable” high-tech initiatives have formed

environmentally gentrified residential locations. The research grant project which I undertook in 2010 on *Planned Community Resettlement in Sri Lanka: Social, Physical and Economic Impact Assessment* emphasised to me the difficulties associated in the reinstating of one's housing condition, as a result of the extremely complex network of relations attached to a household's housing location.

When pursuing my PhD studies, I started seeing the relationships between the aforementioned dimensions with my own housing experiences and it became my prime interest to investigate how planning could manage the complexities of housing in the direction of both affordability and sustainability. Once I arrived in the UK and discussed these initial ideas with my University supervisor I was determined to develop a contemporary notion of sustainable housing affordability (SHA) and investigate the role of planning to achieve this concept. Moreover, it made me determined to undertake this as a project in the context of England – conducting research in an unfamiliar territory, allowing the investigation of problems with a fresh approach without the researcher being limited by established research structures (Naples, 1996). For instance, housing affordability research in the UK often trickles down to research on affordable (social) housing for low-income groups, while this research carries the philosophy that under 21st-century market conditions, housing affordability is not limited to low-income but span across different income classes. Moreover, selecting England as the context provided the opportunity to learn within the context of a developed country, where the lessons learned can be taken back to home country's development, fulfilling the primary objective of the funding agency of this research project.

1.3 Research Aims and Objectives

This research project is funded by the Commonwealth Scholarship Commission, UK and the broad aim of this research is to explore the potential of the Institutional Approach in developing the concept of Sustainable Housing Affordability (SHA) in the 21st-century and in contributing to the achievement of SHA outcomes in England through communicative planning. This research aim is addressed by three research questions.

- How do different stakeholders frame their interpretation of and criteria for ‘SHA’ outcomes?
- How do households (residents) engage in the communicative planning process for ‘SHA’ outcomes?
- How are the communicative actions of households positioned and integrated into the decision-making process to plan for ‘SHA’ outcomes?

Based on these research questions, the conduct of the research is directed at achieving three objectives.

- To explore the residents’ meanings and other stakeholders’ frames of reference for ‘SHA’ outcomes.
- To identify the ways in which the households (residents) would bring forward their subjective meanings of ‘SHA’ outcomes into the communicative planning process.
- To evaluate the consensus building process among stakeholders in the light of achieving ‘SHA’ outcomes.

As highlighted above, these research objectives will make three primary contributions to the academic debate on SHA outcomes and communicative planning. First, explaining SHA outcomes will be anchored to agency (stakeholder) subjectivities and the influence of time-space effects on housing outcomes which are aspects that have been overlooked in our current understanding of the nexus between sustainable and affordable housing outcomes. Secondly, the study will look into the potential of communicative planning as a mechanism to achieve SHA outcomes which the current literature on the nexus between sustainable and affordable housing outcomes (and the very limited literature on *sustainable housing affordability*) have not recognised. Thirdly, they will address the gaps of CPT in general: (i) application of the theory in a context of a new build development where new communities do not exist at the planning stages of the project and (ii) the effects of the subjective knowledge of residents on planning outcomes.

1.4 Research Methods

Having adopted an Institutional Approach to understand the concept of SHA, the ontological consideration of the study is aligned with the *constructionism* research paradigm which asserts that the nature of social entities is socially constructed (Bryman, 2015). However, studying communicative planning in a newly built housing development and exploring the time-space effects on housing outcomes over time to reflect the challenges to SHA outcomes, presented a challenging set of contexts which the research methods needed to reflect. The research needed to collect data from early pioneers involved in communicative planning actions related to the housing project, communities that moved into the settlement at different entry points of community formation, and the

professionals who had been involved at different times of a particular housing development. Further, data on the housing project had to include its outcome status at different periods of time. At the same time, as the study aims at a theoretical extension of CPT and understanding the concept of SHA in a relational view of the world, the data analysis of the study had to focus on a grounded theory method – generating theory out of research data (Bryman, 2015: 712). Thus, the epistemological consideration of the study – acceptable knowledge in a discipline (Bryman, 2015: 27) – apprehends the philosophical stance of *pragmatism*. Without limiting the conduct of the study to the tyranny of specific methods (positivism or interpretivism) *pragmatism* gains the benefits of both epistemologies to achieve the study objectives (Bernstein, 1983). On this basis, the research follows a mixed method research strategy that makes use of both qualitative and quantitative methods of data collection. Following pragmatism, at the level of data analysis, the mixed method strategy is positioned in the direction of “performing qualitative analysis” (Johnson and Onwuegbuzie, 2004). In this way, the study aims to gain both depth and breadth of the understanding about the concept of SHA.

The case study method was the approach used to conduct the above research design. To reflect the scale of context required to study SHA outcomes, housing developments on a scale of New Settlements (NS) and Sustainable Urban Extensions (SUE) in England were selected as the context of the case study. The approach to the case study design has been placed in the category of a *single case study with embedded units* (Goodrick, 2014; COSMOS Corporation, 1998). First, with the need for an in-depth data collection, the study selected a primary case study: Dickens Heath New Settlement (DHNS) in the West Midlands. This was chosen following a rigorous rationalisation that considered the maturity and magnitude of the housing project, and the theoretical propositions and

opinions of former researchers on respective case studies. Furthermore, to increase the external validity of the case study design, two external units of analysis were embedded into the primary case study analysis:

- Langley Sustainable Urban Extension (LSUE) as a supplementary case study unit – a pipeline project located in the same strategic housing market area (Greater Birmingham and Solihull Local Enterprise Partnership (GBSLEP) of West Midlands) with that of DHNS. This is to offset any limitations in understanding the initial planning stages of the DHNS case study and to represent the contemporary planning context of England and the West Midlands in planning for urban extensions.
- Interviews held with national level policymakers – this is on the basis that a case study is not an independent unit from the external environments (Smircich and Stubbart, 1985) and there is, therefore, a need for a holistic view of planning implications on SHA outcomes.

Having applied the case study research approach data was collected through: (i) in-depth interviews held with 21 DHNS and LSUE residents and 38 stakeholders of the housing delivery process including planners, local councillors, housing market actors and policymakers, (ii) questionnaire survey data collected from 280 resident respondents of DHNS and (iii) researcher's observation by way of field visits to both DHNS and LSUE at different times of the day and days of the week. Secondary data evidence included document reviews and online resources relevant to both primary and embedded case study units. The thematic analysis triangulating all of the above data supported the construction of validity and reliability of the study (Yin, 2014; Rowley, 2002).

1.5 Structure of the Thesis

The argument of the study is advanced across nine chapters. Following this introductory chapter, the contents of the remaining eight chapters are explained below.

Chapters 2 and 3 focus on theoretical and conceptual discussion of the Institutional Approach to understand the SHA concept and the CPT.

Chapter 2: Understanding Sustainable Housing Affordability: the Institutional Approach

This is the first literature review chapter that reviews the approaches to understand sustainable and affordable housing outcomes or the concept of sustainable housing affordability ('SHA'). Examining the research gaps of existing neoclassical economic approaches, policy approaches and geographical approaches to explain *housing affordability* and *sustainable housing affordability*, the chapter builds the argument for IA in understanding the nexus between sustainable and affordable outcomes (SHA) in the context of 21st century. The chapter discusses the relevance of Giddens' Theory of Structuration (Giddens, 1984) and CPT in which the IA is underpinned, to develop a conceptual framework for communicative planning to achieve SHA outcomes.

Chapter 3: Communicative Planning: Normative Principles of Institutional Approach

CPT presents the normative principles or the mechanisms of implementing the IA. This is the second literature review chapter that critically discusses the evolution of the theory since Habermas (1984) to the contemporary understanding, highlighting the way in which the theory can be applied in practice to achieve SHA outcomes. The review determines the key lenses of the theory that the planning process of a newly built housing project in

a scale of a New Settlement or Sustainable Urban Extension can be evaluated. Those key lenses identified are knowledge generation, power, the ontology of Communicative Planning Action (CPA), institutional design and consensus building.

Chapter 4: Research Methodology

This chapter outlines the research design of the study and rationalises the methodological choices of pragmatism and constructionism philosophical stances, a mixed method research strategy, case study research approach, research instruments and research analytical strategy. The chapter also highlights the ethical considerations that guided the study and the researcher's reflections on the study methods.

Chapter 5: Research Context

This is a semi-empirical chapter revealing the contextual meanings of the research by describing the relevant aspects of the selected primary and embedded case study units of the study. Commencing the chapter by identifying the planning context of England since the early 1990s to date, it introduces the Dickens Heath New Settlement (DHNS) and Langley Sustainable Urban Extension (LSUE) as “residential locales or places” in a generic sense, prior to establishing the evidence base in the thesis.

Chapters 6, 7 and 8 present the empirical findings of the thesis. The first two empirical chapters demonstrate the demand perspectives whilst the last empirical chapter demonstrates the supply perspectives on SHA outcomes.

Chapter 6: The Residents' Frames of References for “Sustainable Housing Affordability”

Drawing evidence related to residents – in-depth interviews, questionnaire survey, researcher's observations and social media – this chapter explains the residents' meanings

for ‘SHA’ outcomes through the lens of Giddens’ theory of structuration, i.e. duality of structure between residents’ actions led by motivations, and the ‘SHA’ view of housing. At the same time, attention is focused on how such structural housing outcome formations are subject to dynamics of agency and outside processes over time-space. By reflecting the residents’ frame of reference and the associated dynamics, the chapter teases out why planning for SHA outcomes requires a communicative approach.

Chapter 7: Communicative Planning Actions of Residents towards achieving ‘SHA’ outcomes.

Following the previous chapter, this chapter discusses, how residents as a key stakeholder; owners and end users of housing outcomes, bring forward their emotive or subjective perceptions on ‘SHA’ outcomes into the planning process. For this, the chapter is linked to relevant key theoretical concepts of CPT: the power and institutional design, ontology of communicative planning actions (CPA) of residents and knowledge generation. It reflects how emotive knowledge was generated at the conceptual and planning stages and the development and management stages of the housing development process and discusses the validity of those in terms of informing their meaning for ‘SHA’ outcomes.

Chapter 8: Other Stakeholder Meanings and Communicative Planning for SHA outcomes

This is the empirical chapter that analyses the other stakeholders’ frames of reference for ‘SHA’ outcomes and evaluates how communicative planning takes place at different phases of the housing delivery process to make the housing outcomes closer to the desires of residents. Whilst other stakeholder frames of references are understood in the light of

Giddens' sensitising concepts on *interpretative schemes* (Giddens, 1984) and Healey's classification for *planning approaches* (Healey, 1997) as discussed in Chapter 2, the latter part is analysed through the key lenses of CPT which are discussed in Chapter 3: power relations of actors, institutional design for inclusionary arguments and governance for consensus building. For this, the chapter draws evidence from in-depth interviews with other stakeholders, document reviews and the researcher's observation.

Chapter 9: Conclusions

This chapter reflects on, how 'SHA' becomes a socially constructed concept formed through stakeholders' frames of reference. The Chapter synthesises the empirical chapters as to what level the communicative planning actions in the housing delivery process can be useful to achieve SHA outcomes. Whilst this chapter primarily provides answers to the research questions, it also provides relevant policy recommendations, limitations of this study and possible directions for future research.

CHAPTER TWO

UNDERSTANDING SUSTAINABLE HOUSING AFFORDABILITY: THE INSTITUTIONALIST APPROACH

2.1 Introduction

The Institutional Approach (IA) underpinned by the theoretical understanding of Giddens' theory of structuration (1984) and Habermas's theory on communicative actions (1984) calls to view the postmodern world in a relational context, emphasising the linkages between social-spatial relationships (Healey, 2006). The principal aim of this study is to anchor the IA to Sustainable Housing Affordability (SHA) in order to understand such concept in a novel manner.

The concept of 'SHA' is a paradigm which emerged during the mid-2000s, as a result of discourse around sustainable communities (Mulliner, Smallbone and Maliene, 2013), liveable communities (Fabish and Haas, 2011) etc. It attempted to combine the former concepts of housing affordability (HA) and sustainability, which were considered as a separate subject of concern. Housing affordability (HA) has been a primary concern of neo-classical economics (see, for example, Stone, 2006a, 2006b, 2006c; Kutty, 2005; Lerman and Reeder, 1987; Grebler, Blank and Winnick, 1956; Stigler, 1954 etc.) whilst the study of housing sustainability was considered as a separate subject of inquiry which emerged in the planning and policy analysis literature (for example, Blumendorf, 2013;

McManus, Gaterell, and Coates 2010; Horton, 2005; Homes, 1999 etc.). In the UK, the government's sustainable communities programme¹ (ODPM, 2005) admitted that the governments' previous approaches to rush to build more homes to meet demand did not build communities with jobs, shops and services, transport and green spaces etc. (ibid). Therefore an approach was needed that considers both affordability and sustainability together. However, this concept of SHA was nurtured under geographical approaches, looking at factors affecting spatial relationships between housing and its environs. With the entire concentration on physical outcomes, the agency (social-spatial relational context) meanings of those geographies have become invisible. Thus, little progress has been made in understanding the household (agency) aspect that links to SHA outcomes.

The literature review explores why existing approaches attempt to deliver SHA in relation to the 21st-century housing context, before charting the theoretical underpinnings of SHA. Attention then turns to whether an IA approach might offer as an alternative and novel way to study the concept of SHA. Finally, the chapter also aims to produce a conceptual framework for the thesis of what SHA outcome means and how that can be achieved.

To this end, the chapter considers the relevant literature developed in the OECD countries,² with specific reference to the UK. The chapter is structured into three sections. The first section briefly reviews the housing context in the 21st-century. This is to reflect the dynamic context in which the SHA concept should be looked at. The next section investigates the current discourse around the concept of SHA. This includes former neo-

¹ Sustainable Communities (Plan) was launched in 2003 as a key policy of the Office of the Deputy Prime Minister guiding its regeneration and departmental objectives. It was defined as places where people want to live and work, now and in the future. They meet the diverse needs of existing and future residents, are sensitive to their environment, and contribute to a high quality of life. They are safe and inclusive, well planned, built and run, and offer equality of opportunity and good services for all (ODPM,2005)

² Member countries of Organisation for Economic Co-operation and Development (OECD), all having a democratic system of government and accept the principle of a free economy.

classic economic and policy analysis discourse around HA and the existing geographical analysis on SHA. It recognises the research gaps, as a way of rationalising why IA is important to apply in the understanding of SHA. The third section, therefore, focuses on the potential of IA to explain the SHA concept. This is by reviewing corresponding critical debates in the areas including, IA in housing studies, sustainability, the real estate development process (REDP) and planning. Finally, this understanding had been employed to conceptualise SHA and the means to achieve that.

2.2 Housing Context in the 21st-Century

Prior to reviewing the existing knowledge on the SHA concept, it is important to explore the context of “housing” in the 21st-century. The “housing” context today has been an intersection of past political-economic transformations resulting in societal-environmental changes (Clapham, 2005). The aim of this section, therefore, is to understand this transformation over time to explain a benchmark-context of housing that the existing literature on SHA concept should be reviewed.

In the late 20th-century, globalisation made the capital and labour markets flexible (Healey, 2006). Globalisation reoriented governments, where the national level governments had limited regulation and control of global economies; economic recession, labour and immigration, the dominance of large corporations, floating finance and so on (Clapham, 2005). It further expanded the neo-liberalisation, privatisation and the consequent social-economic processes in the world (Quiggin, 1999). Households at present live in postmodern societies (Clapham, 2005: 11). Postmodernity was the label given to the way in which the society of late 20th and 21st-century lives (Clapham, 2010).

These challenged the local level planning including housing, by influencing the former Fordism system of production and consumption that defined the spatial organisation of cities (Clapham, 2005; Healey, 2006; Filion, 1995). In other words, it broke the traditional assumptions on work-home relationships of housing and households. Furthermore, it increased the level of consumerism of housing (Jessop, 2003). For instance, a study by Bunting, Walks and Filion (2004) stated at the turn of the 20th-century, Canadian households consumed almost twice as much housing space as they had in 1950. Housing goals of “higher standards and quality”, were sought through “greater freedom of housing choice in the market” (Whitehead, 1993: 3). What constituted as an urban house defined this transition of modernism in the late 70s to postmodernism thereafter (ibid).

Therefore, the housing context in the 21st-century suggests a reconstruction of the way in which the former welfare and early neo-liberal state of housing concerns should be looked at, i.e: change the approaches to understand housing problems such as, how to achieve the general aspiration that all families *should be able to obtain a decent home at a price within their means* (DoE, 1977); what implications can be seen from housing market privatisation and the role of government in housing (for example, Hodgkinson and Robbins, 2013; Murie, 1997; Meusen and Van, 1995; Whitehead 1993, 1991); how to plan housing developments in the phase of higher production, degradation of environments and social well-being (Glavič, and Lukman, 2007) and so on. Therefore, employing this understanding as a benchmark, the following section review the existing discourse on both HA and SHA concepts. The review signifies that the existing approaches to explain the housing problem in terms of SHA outcomes overlooks this changing housing context.

2.3 Existing discourses around Sustainable Housing Affordability (SHA)

The review of existing literature on SHA concept comes in three strands. First, housing affordability (HA) literature which is a subject of concern in neo-classical economics studies. This stream of literature focused on the demand perspective of HA. Secondly, the literature explaining the planning and delivery of housing (supply perspective of HA and sustainability) which took the approach of analysing state policies (policy analysis approaches). Thirdly, the literature on SHA which has become a subject of concern in the discipline of planning and geography. The following section first review these strands in their own right. Thereafter, in the final subsection, it compares these approaches together with the above-stated housing context of the 21st century and discusses the limitations and gaps of the existing approaches.

2.3.1 Housing affordability – demand perspectives

The subject of HA emerged in order to explain the nature of housing accessibility difficulties in nations (Hulchanski, 1995 outline this well). Those had been largely led by neo-classical economic understanding in corresponding with the political-economic transformations over time. As a result, the demand perspective understanding of housing was understood in the very empirical positivist epistemologies.

Figure 2-1 schematically summarises these existing approaches to understanding HA. The first approach to defining HA was identified more than 150 years ago in 1857 in Ernst Engel and Herman Schwabe's scientific laws on consumer behaviour (Isalou et al., 2014; Hulchanski, 1995; Combs and Park, 1994; Stigler, 1954). During this time HA

focused on 19th-century urban poverty and bad housing conditions in the cities provided by private landlords for a rural migrant working class (Swenarton, 1981). Such consumer behaviour studies advocated the wage levels that the workers should be ought to pay, in order to access a minimum standard of housing. On that basis, the HA was determined normatively as “one week’s pay for one month’s rent” (Hulchanski, 1995; Combs and Park, 1994; Stigler, 1954).

Moving to the immediate post-war Keynesian welfare state since 1945, with the concern of increasing production and economic stabilisation (Grebler, Blank and Winnick, 1956), the emphasis on HA was to rapidly increase the housing supply to bring down housing prices and increase housing welfare, thereby enabling the consumers (households) access to housing (Hulchanski, 1995). During this time the government was the main route to deliver housing (Forrest and Murie, 2014; Lowe and Butcher, 1994). Therefore the economists attempted to probe the subject of HA with the relationship between housing consumption and household income in order to attempt to specify norms on the housing demand elasticities for their models (see for example: Hulchanski, 1995; Winger, 1968; Reid, 1962; Maisel and Winnick, 1961; Grebler, Blank and Winnick, 1956; Winnick, 1955; Stigler, 1954). Those works adopted the same principles of household consumption laws of Ernst Engel and Herman Schwabe, shaping a normative ratio indicator between monthly housing expenditure to monthly income to define HA (ibid). That provided a norm in which the cost of a house that is affordable should be 20%-30% of the household’s income (Lerman and Reeder, 1987). These ratios/ rules-of-thumb were in popular usage, being employed widely to assess HA problems, determining eligibility for publicly subsidised housing and payment levels (Stone, 2006c; Hulchanski, 1995).

	Context	Author	Measure	Variables
19 th century industrial revolution and urbanisation	The need for rural migrant working class to live in a decent house closer to the working place	Ernst Engel Herman Schwabe (1857)	Fraction of income spent on rent declined as income rose One week's wage for one month's rent	Rent/housing cost Weekly/monthly wage
Post-war welfare state (1945 – mid 1970s)	Economic expansion and increase of housing supply	Winger (1968) Reid (1962); Stigler (1954) Grebler, Blank and Winnick, 1956 Winnick (1955)	Relationships between housing expenditure and household income Housing demand elasticities	Rent/housing cost Weekly/monthly wage
Privatisation and neo-liberalisation (Since later 1970s)	Promotion of home ownership, house price booms and access to mortgage Housing subsidies to low-income sectors Guide the policymakers for equitable and efficient allocation of limited public expenditure on housing subsidies	Stone (2006a, 2006b, 2003, 2010); Hancock (1993); Bramley (1990); MacLennan and Williams (1990) etc. Kutty (2005); Randolph (1992) Gan and Hill (2009) Landt, and Bray (1997)	Shelter poverty approach/non housing cost approach, residual income approach Poverty line approach Value-at-risk (purchase vs repayment at affordability) Canadian Core housing need model	Rent/housing cost Non-housing costs Monthly income Household /family characteristic (demographic) Geographical distribution of housing Government housing subsidiary Mortgage interest rates/market risks

Figure 2-1 Mainstream economic understanding and measures of housing affordability

Source: Author

In the 1970s the open market-led neo-liberalisation (also known as *Thatcherism*; Lowe and Butcher, 1994) which was a coherent project that leads to the privatisation of housing delivery, increased homeownership, housing market deregulation and subordinating social policy to economic policy (Bramley, 1994; Whitehead, 1991). The public sector role of housing was reduced to the delivery of housing or housing subsidies for the low-income sector (Hodkinson and Robbins, 2013; Murie, 1997; Meusen and Van, 1995). On this basis, the understanding of HA shifted from the former “needs basis” approach to an “affordability basis” approach (Mullins, Murie and Leather, 2006; Whitehead, 1991). In other words, households would simply demand the level of housing resources that they required based on their preferences, incomes and wealth (Whitehead, 1991). For this, the former rule-of-thumb or ratio approach was modified into a residual income approach or shelter poverty approach by adding non-housing costs to the former HA equation (see for example, Stone, Burke and Ralston, 2011; Stone, 2006a, 2006b; Hancock, 1993; Bramley, 1990; Maclennan and Williams, 1990 etc.). According to Robinson, Reeve and Casey (2007); Stone (2006a, 2006b) and Burke and Ralston (2004), this equated to the minimum income required to meet non-housing needs at a basic level, after paying for housing. In an attempt to bring that HA formula closer to the housing situation under the market economy, the residual method was thereafter improved by incorporating several other socio-economic variables. For example Kutty (2005), Harding and Szukalska (2000); Randolph (1992) cited in Chaplin and Freeman (1999), Maher and Burke (1991), cited in Batten (1999) modified the approach by adding different demographic characteristics of households to the HA equation such as age, ethnicity etc.; Quigley and Raphael (2004), Burke and Ralston (2004), Thalmann (2003, 1999) and Lerman and Reeder (1987) felt “housing quality” aspects should also incorporate consideration of the

longevity of economic benefits to HA; Gan and Hill (2009) and Yates (1994) considered aspects such as “repayment risk of mortgage” and Landt and Bray (1997) considered “mortgage interest rate risk in the market” within their analysis of HA and so on (*Figure 2-1*). These modifications were to reflect the realities of the housing situation under market economic conditions.

2.3.2 Housing affordability – supply perspectives

HA from the supply perspective has been led by policy analysis approaches. It has been a popular housing research method in all OECD countries; for example, the research and policy analysis of David Hulchanski’s (Canada), Kate Barker (Britain), Arthur Nelson (USA) and Nicole Gurran’s (Australia). The general focus of this policy analysis had been to investigate why governments’ targets on housing numbers and affordability rates (generally calculated based on ratio approaches) had not been met. As a subject of inquiry, this supply issue of HA in the UK was debated in the light of (i) delivering the right amount of land for housing (ii) curtailing/enhancing the public/social housing supply for low-income sectors of the society and (iii) housing product cost implications by sustainable home initiatives. The commonality of all policy analysis inquiry was, the policy implications on HA were still measured based on the above-stated neoclassical economic understanding. In other words, reasoning the implications on higher housing prices primarily in the light of housing numbers or lands supplied to the markets.

The effects of the volume of land release through UK urban policies have been continuously debated by the scholarly works of Gallent (2009); Crook et al. (2006); White and Allmendinger (2003); Bramley (1993a, 1999); Cheshire and Sheppard (1995); Hall

et al. (1973) and government-commissioned research such as the Commission for Rural Communities (2005); Barker (2006, 2004). Here, the particular flagship policy concerned was urban containment policies such as the green belt policy³ and the local level planning policies implemented to grant development permits. The key proposition debated in these studies was that the primary causation for house price escalation or housing unaffordability is the lack of land supply. For instance, Hall et al. (1973) used empirical evidence from urban England to argue that the green belt policy had increased land prices in Northwest England from 4%–10% in 1960 to 20%–26% in 1970 and in the London metropolitan area from 10%–12% in 1960 to 25%–38% in 1970. The research suggested that as a result of these high land values households received denser, low-quality housing units (see Monk and Whitehead, 1999) (also see *Figure 2-2*, the recommendations of the 2006 Barker Review). This proposition had a significant impact on planning policy advocacy in the UK at the national level. For instance, the National Policy Planning Framework (NPPF) 2012, requires the local planning authority (LPA) to maintain a five-year deliverable land supply for housing at any given time to ensure the local area Objectively Assessed Housing Needs (OAN) are met.

As an alternative line of thinking Ball (2012); Adams, Leishman and Moore (2009); RTIP (2007); Bramley (2003) and Monk and Whitehead (1996) working on British housing markets through quantitative simulation models showed that a simple increase in land supply will not bring down the housing price, as the developer would control their local housing supply by sitting on the development permit. These research highlighted that HA issues cannot be answered by an increase in land or housing supply at the national level

³ The green belt policy primarily aims to preserve countryside from sprawling development. In UK this was formally established under the *T&CP Act 1947*.

but also needs considering other housing supply constraints at the local level (Monk and Whitehead, 1996).

“Regional and local planning should be more responsive to market signals. Planning authorities should allocate a buffer of land for development to allow flexibility to meet market conditions [...] and should be released for development in response to defined indicators of housing market disequilibrium. Thus, there is no getting away from the fact that more undeveloped land will be needed, imposing an environmental cost, even given the present target that 60 per cent of new housing should be built on brown field sites” (Barker, 2004: 33, 2008: 45)

“DCLG should revise the policy framework for decision-making, in the context of the planned system, to make clear that where plans are out-of-date or indeterminate applications should be approved unless there is good reason to believe the costs outweigh the benefits. One way of implementing this would be to make clear that where an application for developments is in accordance with the relevant up-to date provisions of the development plan, it should be approved unless material considerations indicate otherwise. Where development plan provisions are indeterminate or where they are not up-to-date, the application should be approved unless there is a significant probability that the likely environmental, social and economic costs of the development will outweigh the respective benefits” (Barker, 2006: 20)

Figure 2-2 Policy advocacy on land supply

The other line of thought on HA in policy analysis, focused on, whether planning policy initiatives such as S106 planning gain agreements⁴ had been successful in terms of supplying affordable or social housing units after the marketisation of housing with policies such as the *Housing Act 1980*. Studies of this kind include Gallent (2009); Crook and Whitehead (2002, 2002); Barker (2004); Farthing and Ashley (2002); Ennis, (1997); Crook (1996); and Barlow, Cocks, and Parker (1994). Analysing the circumstances (greenfield/brownfield, large/small-scale development, time of negotiation etc.) in which the policy initiatives have been successful in delivering housing numbers, the general

⁴ Sec106 or otherwise known as planning obligations under *Town & Country Planning Act 1990* (as amended) is a legal agreement between the local planning authorities and the developer to provide affordable housing and infrastructure to the site subject to development

argument of those studies had been that planning gain tools alone are insufficient to supply affordable housing to meet government housing targets and stabilise the housing prices. In other words, those studies aimed to frame the understanding that achieving housing affordability is linked with the supply of affordable housing where it cannot be delivered entirely through market approaches such as S106 but needs the state to supply sufficient housing numbers.

In this policy analysis, housing sustainability implications on HA have been taken as a separate subject of inquiry. Having framed the focus of sustainability within more environmental interfaces such as, low-carbon energy consumption of housing, high-quality design etc. (for example, Greenwood, 2012; McManus, Gaterell and Coates, 2010; Barker, 2004; Meen, 1998) the aims of this stream of literature had been to assess the impact of environmental regulations such as the Code for Sustainable Homes UK on housing market prices/marketability, compliance of households with respect to energy savings etc. Most of the studies grounded the understanding that in the context of sustainability – for example, high design codes and green building configurations for housing – HA has been challenged due to higher production cost. These led to developing the understanding that HA and sustainability are separate concepts that have an inverse relationship.

2.3.3 Sustainable Housing Affordability (SHA)

The paradigm that emerged in the mid-2000s was to oppose the former idea that study of housing affordability and sustainability are mutual, as they have direct relationships (Mulliner and Maliene, 2011). Especially since the *sustainable communities programme*

in the UK (ODPM, 2005), *liveable cities initiative* in the US (see, for example, Fabish and Haas, 2011) and so on, the understanding was developed that affordability of housing is an essential part of sustainable or livable communities, i.e. housing is not affordable in the long run if they were not located within sustainable or livable communities (Winston, 2010). This understanding was underpinned by two primary criticisms of former approaches to understanding HA and sustainable housing. The first was the arbitrary and normative nature of neoclassical economic definitions for HA which to a greater extent overlooked the realities of geographical conditions of housing (Seelig and Phibbs, 2006; Bogdon and Can, 1997). Secondly, the overly environmental nature of sustainable housing studies (for example: Blumendorf, 2013; McManus, Gaterell and Coates, 2010; Horton, 2005; Homes, 1999 etc.) having lack of economic viability and gentrification considerations of housing locations (Checker, 2011; Eckerd, 2011; Dale and Newman, 2009). On this basis, works by Mulliner, Malys and Maliene (2016); Mulliner, Smallbone and Maliene (2013); Mulliner and Maliene (2011); Haas et al. (2013, 2006); Mays et al. (2012); Winston (2010); and Maliene and Malys (2009), have been influential in bringing forward the concept of SHA to the academic discourse bridging housing affordability and sustainability together as a single concept.

Consequently, the concept of SHA emerged within housing studies as a relatively new subject of inquiry, having roots in the disciplines of geography and planning. However as summarised in *Table 2-1*, the approach to defining SHA concept was a simple merge of neoclassical understanding of HA with the overlooked housing sustainability criteria such as housing quality, neighbourhood and location character etc. For example, Mulliner, Smallbone and Maliene (2013), reconciled 20 criteria related to sustainability and affordability and assigned weights for each criterion to produce a decision-making model

by employing the COPRAS (Complex Proportional Assessment) method of MCDM (Multi-Criteria Decision-Making). The model recognised the housing prices in the markets are hedonic based and attempted to show how HA is a function of a trade-off between housing prices with different economic, social and environmental benefits gained through the intended housing access (Mulliner, Smallbone and Maliene, 2013). The housing plus transport affordability work by Hass et al., (2013, 2008, 2006a, 2006b) also followed similar rationality in understanding affordability and sustainability of housing. Therefore, the current view of SHA concept had been much focused on geographical approaches; looking at spatial linkages that assume tightly aligned urban-regional models or housing and labour market consumption and production, i.e. spatial linkages described in the Fordism model of place-based spatial relationships of city regions. On this basis, it requires assuming that all households will behave in the similar home to work commute relationships and so on. Therefore the current understanding of SHA concept is significantly overlooking the complex processes that influence the house-household relationship in the 21st-century.

Table 2-1 Summary of studies on SHA concept

Author, year	Maliene and Malys (2009)	Haas et al. (2013, 2008, 2006a, b); Mays et al. (2012)	Mulliner, Malys and Maliene (2016); Mulliner, Smallbone and Maliene (2013); Mulliner and Maliene (2011)	Winston (2010)
Measurement /purpose	Assessment criteria	Housing Plus Transport Affordability Index for locations	Complex Proportional Assessment (COPRA) method of Multi-Criteria Decision-Making (MCDM)	Assessment criteria
Criteria	Availability in the market, Great variety of green and quality housing, Sufficient number of housing, Affordability, Design, size and comfort, Natural and social environment, Energy efficiency and waste management, Secure and friendly neighbourhood, Established technical and hygienic requirements, Accessibility to schools, health and other services	Residential density Job density Average block size in acres, Transit connectivity index Job density average time journey to work household income household size Commuters per household	House prices in relation to incomes, Rental costs in relation to incomes, Interest rates and mortgage availability, Availability of social and private rented accommodation, Availability of affordable home ownership products, Safety (crime level), Access to employment opportunities Access to public transport services Access to good quality schools Access to shops Access to health services Access to child care Access to leisure facilities Access to open green public space Quality of housing local authority interview Energy efficiency of housing local authority interview Availability of waste management facilities Desirability of neighbourhood area Deprivation in area Presence of environmental problems (e.g. litter, traffic)	Location <ul style="list-style-type: none"> • sustainable land use planning • resisting scattered settlements (brownfield over the greenfield) within mixed-use developments • close to good public transport Construction & design <ul style="list-style-type: none"> • higher residential densities • sustainable construction (e.g. energy efficiency, local renewable materials) • Design for sustainable use (e.g. energy use, water recycling & treatment, waste recycling) • housing quality • access to green space • attractive, clean & safe residential environment • housing affordability • tenure mix & social mix • social resources Use <ul style="list-style-type: none"> • high standards of energy efficiency in the use of dwellings • waste recycling • sustainable management & maintenance Regeneration <ul style="list-style-type: none"> • all of the above & • emphasis on renovation rather than demolition • partnership with residents • social supports for vulnerable households

Source: Author

2.3.4 Sectional overview and research gaps

The argument of both economic and housing policy approaches is that the solution to HA can be brought through supplying a sufficient number of houses to bring the cost of housing in the market lower and thereby enable people to access them within their means. Therefore the focus point of such approaches had been the disequilibrium of housing demand and supply. The geographical approaches attempted to advance the classical and policy approach by attributing different sustainability variables such as travel costs, neighbourhood quality, energy efficiency, job density etc. to the HA equation. This combined both affordability and sustainability of housing into a single concept - SHA. Despite this advancement, all these approaches assumed linear relationships between dependent and independent variables (*Figure 2-3*), i.e. HA and SHA are dependent variables of land supply, housing prices, household income, job density, neighbourhood and housing quality, travel costs and so on. Assumptions were made on clear relationships between housing and non-housing costs whilst assumptions on the spatial relationships of households have been still limited to Fordism home-work spatial relationships of closed city regions. In other words, as explained by Healey (1999, 1997: 113) the understanding is limited to place-based qualities of traditional urban regional models used in the planning community. In such constructs, a locality has an integrated regional economy and society with local resources and other production imports generating internal relationships and economic exports, primarily of goods, where the systems were assumed to operate according to rational preferences, maximising their utilities. Therefore those approaches reflect the 20th-century conceptions of equilibrium-seeking relationships, to plan particular urban morphology, promote development and regulatory

changes to smooth out disjunctions in these relationships, to correct for market failures, and to maintain order against the threat of class inequality (Healey, 1999: 111).

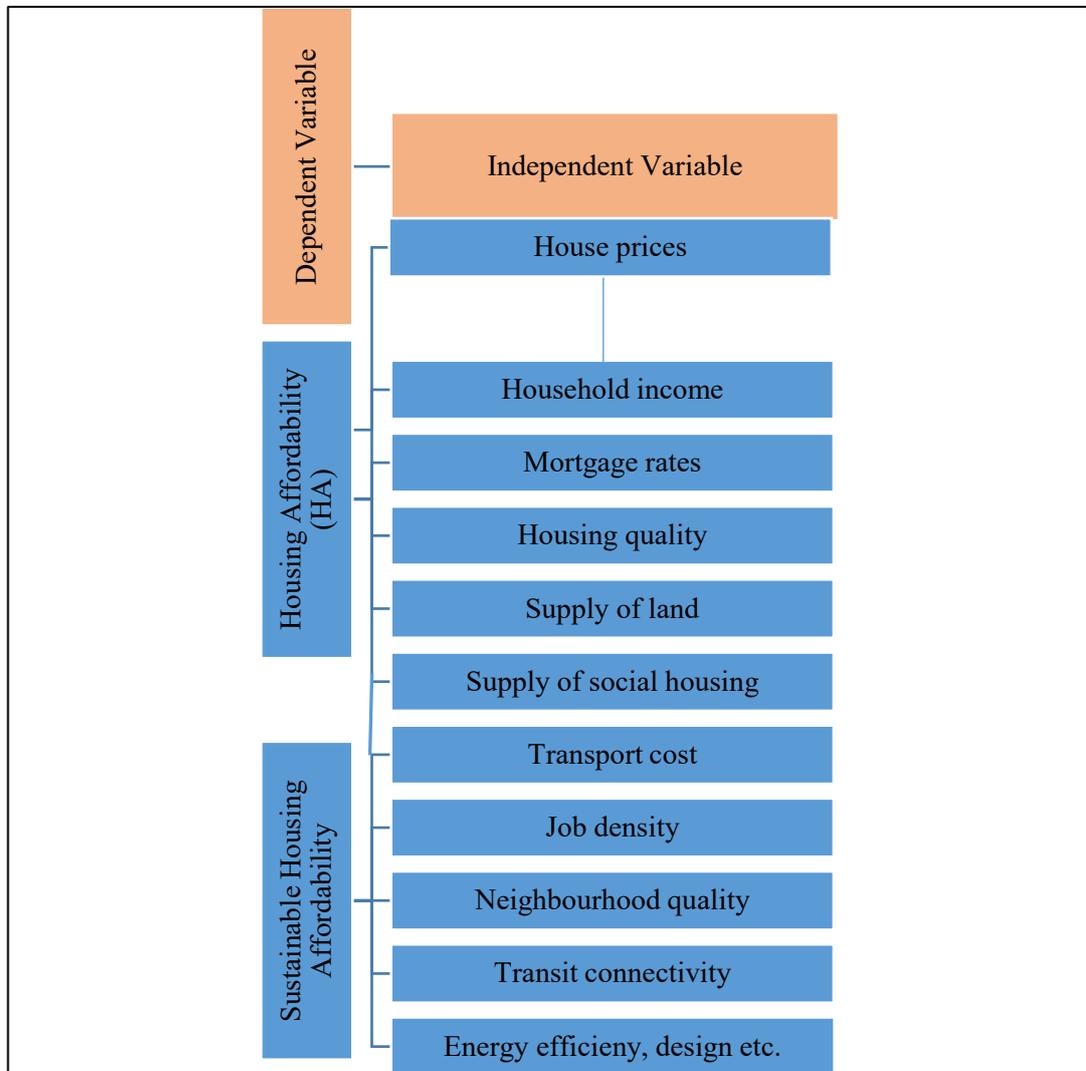


Figure 2-3 The existing understanding that defines HA and SHA problem as a linear relationship

Source: Author

As a result, both HA and contemporary discourse around SHA concept pose substantial limitations in terms of grasping the housing and household complexities of the 21st-century housing context (Sec2.2). The following points summarise such research gaps:

- Firstly, with the assumptions on closed spatial relationships, all approaches to understanding HA or SHA concepts focus on structural outcomes. As a result, they have overlooked the explanation on the “subjectivities of human agency”. In other words, which factors drive the actions of different actors (residents, planners, developers and so on) in the demand and supply processes? This is an important consideration in the multicultural world of globalisation since the late 20th-century postmodern societies (Healey, 2006: 66). For instance, amidst complexities in the postmodern context, not every household trade-off housing price and transport costs in the same manner?
- Secondly, the current discourse on SHA concept has not recognised the time-space influence of particular structural (housing) outcomes. It only considers outcomes of SHA as a one-off structural delivery. This gap is bounded by the first gap, not anchoring the SHA understanding with the subjectivities of human agency. It overlooks the value change of agents over time. For example, households’ perceptions change on the quality of housing with time.
- Thirdly, since the current understanding is built on closed urban-regional models limiting the external influences to importing and exporting of goods (Healey, 2006), it also overlooks the complex processes of the 21st-century such as further intensified globalisation that often disrupt or constrain the local level labour and housing market equilibriums, influencing housing prices, wage levels etc. These existing approaches assume HA and SHA to be of “*independent*” variables.

Therefore, in order to frame this research, the literature now needs to explore an alternative approach in which SHA understanding can be anchored to the subjectivities of agency and time-space influences of its structural outcomes and provide an explanation that suits the housing context in the 21st -century.

2.4 Potential of IA to Understand the Concept of SHA

The aim of this section, therefore, is to explore the potential of IA as an alternative approach to understanding the concept of SHA. The IA views the world in a relational context (Healey, 2007, 1999, 1997) hence anchors the structural outcome or “institution” to the agency subjectivities which forms them. The approach is grounded in a socially constructed view of social life (ibid). Therefore, “institutions” are not necessarily limited to the “organisations” (Healey, 1999) but any structure (e.g. a sustainable and affordable housing outcome) formed out of agency actions. Whilst the evolution of IA can be traced back to the Marxist political economy (Lowndes, 2010; Healey, 1999), the current framework of the approach is attributed to the works of Anthony Giddens’ theory of structuration and Jürgen Habermas's critical theory (Healey, 1999, 1997).

Giddens (1984) in his theory of structuration suggested that the formation of the structure is dependent on the actions of agents or collectivities (a group of agents) organised as regular social practices. In this sense, actions of an agent carry (transformative) power (Giddens, 1984). Thus, it is a theory that discusses the relationships between agency, power and structure. According to Giddens, structures are rules and resources. Human beings are purposive agents that carry motives and values and their actions occur as a *duree* (duration), a continuous flow of conduct as recursive practices which presume to

have a reflexivity (Giddens, 1984: 17). These values are also known as “frames of references” or “meanings” (Healey, 2006) and are shaped through knowledge (everything that actors know either through discursively available or tacit/ontological security) (Giddens, 1984). A social structure is a reflexivity of the agents’ actions whilst the actions are reflexivity of unintended and intended consequences from social structures. Thus, agency and structure are not two independently given sets of phenomena but represent a duality (also known as the duality of structure). If so, as claimed by Giddens, the structural properties of social systems are both the medium and outcome of the practices they recursively organise. In this process, *systems* are formed if these interactions are reproduced (with power relations) into the patterning of social relations (Giddens, 1984). However, borrowing Hägerstrand (1970) time-space perspective (reveal the relations of spatial and temporal processes and events: Giddens, 1984; Thrift and Pred, 1981) and the argument that the actions of agents carry transformative power, such structures and systems are also subject to change. Therefore *“what is taken as a key relationship by one social group may be viewed quite differently by another... therefore systems are not made, they are made in a complex interaction between the imaginary and material world”* (Healey, 1999: 113). This understanding shaped the IA to claim that structures (or “institutions”) and systems in the social world are socially constructed over time-space. This challenged the conventional imaginations of a society structured through classical economic viewpoint that actors within the systems operate according to given rational preferences (ibid).

The normative aspect of IA was shaped by Habermas’ critical theory for communicative actions and other communicative planning theorists including John Friedmann, Charlie Hoch and Judy Innes. It provided a normative framework on how the above-stated social

interactions of actors that carry different frames of references or meanings be governed in the planning process to generate structures and systems of meanings, such as SHA outcomes. Despite the differences held among communicative planning theorists about the norms governing the communicative actions of the agent, they all suggested a common ground, i.e. all actors' frames of references form different reasoning or stored knowledge, thus should allow contribution by articulating, debate, disseminate and be used to create "systems of the world" (Healey, 1999). This apprehended the emotive reasoning of the agency at the same level as the instrumental or scientific reasoning. This is for the multidimensional and integrated policy development with the aim of making sense together but living differently (ibid). Chapter 3 discusses this normative aspect (communicative planning) in a greater detail.

As a research analysis approach, the IA has been employed across a range of development-related disciplines such as political science, sociology, economics, organisational studies, urban and regional analysis, and public policy (Lowndes, 2010; Healey, 1999, 1997, 1992a). To seek the potential of understanding the concept of SHA and the means to achieve that, the following subsections review the understanding of the IA developed in the existing disciplines of housing studies, sustainability and real estate development analysis. These are the research disciplines that closely correspond with the former approaches (Sec 2.3) in researching the concepts of HA and SHA. These IA perspectives are then developed to frame the conceptual framework of the study.

2.4.1 Housing studies

A wave of housing studies literature developed (especially in the UK) with the works of Peter Saunders, Jim Kemeny, David Clapham, sought to understand the production, consumption and distribution of housing via hermeneutics or interpretative approaches. As they stated, the aim of applying interpretative approaches was to overcome some of the drawbacks observed in the former economic and political approaches; being atheoretical, normative and placed based (Kemeny, 1992) hence, insufficient to fully capture the 21st-century globalised and postmodernised societies (Clapham, 2005). On that basis, those share a common ground with the purpose of this study. This wave of housing studies has a close connection with the IA approach, grounding their housing research in socially constructed epistemologies, and viewing housing studies through the lens of social-spatial linkages. They recognised “housing as a setting or locale for certain social practices and our emotional and intimate relations and behaviour” (Clapham, 2005: 117). Parallel with the IA, all hermeneutics related housing studies have employed the Giddens theory of structuration to sensitise their concepts related to housing. The aim of reviewing these studies is, therefore, to find relevant variables on, (i) “what” and “how” those studies imply about the households’ motivations (as the key agent in the concept of SHA) to deploy their resources (finance) on housing choice and trade-off (ii) how to conceptualise the view of SHA concept within an open urban-regional model to reflect a more realistic understanding of the globalisation context. Broadly, the review is classified into four interwoven variables: lifestyles, housing pathway, webs of social-spatial relations and analysis of residents.

2.4.1.1 Lifestyle

With the concerns on reflecting globalisation and postmodernism and new ways of social life in housing studies, many hermeneutic driven housing researchers embraced the idea of analysing the lifestyles of households to understand their housing choice behaviour. The understanding of lifestyle has often been attributed to different cultural theories includes Mary Douglas's (1996) cultural theories of thought styles and Pierre Bourdieu's theory of cultural deprivation (1984). For example, cultural theory by Bourdieu (1984) suggests that socio-behavioural practices depend on habitus, possession and distinction. *Habitus* referred to the lifestyle, the values, the dispositions and the expectations of particular social groups. *Possession* meant what agents (people and institutions) have in terms of different kinds of capital. *Distinction* involves being distinctive and being an individual. Underpinned by these theories, Chaney (1996: 12) defined lifestyle as "patterns of action that differentiate people... what people do, and why they do it, and what doing it means to them or others". It has a symbolic aspect that may be related to the questions of taste (Bourdieu, 1984) and the differentiation it creates generates "identities" for people (Robinson, Reeve and Casey, 2007; Sadalla, Vershure and Burroughs, 1987; Bourdieu, 1984). Therefore, whilst it is acknowledged that households' lifestyles and disposition of income are governed by the primacy of classical economic demand and supply, lifestyle also leads to "identities" of households and communities (Clapham, 2005).

Housing researchers argue that within this social order stated above, *housing* can be employed as a means or a catalyst to understand the lifestyle of households (Clapham, 2005; Kemeny, 1992), whilst lifestyles determine households' housing choices (Walker and Li, 2007; Lee, Carucci and Beamish, 2007; Kauko, 2006; Beamish, Goss and Emmel,

2001). Through the lens of Giddens (1984), this means lifestyles have embedded in the social order and have both agency and structural dimensions. Therefore to study the concept of SHA, lifestyles can be employed as a variable to understand its dual relationship with the housing choices of households.

Many researchers who employed the lifestyle approach have analysed the housing choices of households in a similar methodology: classifying households into different lifestyle modes or identities and correlating that with their housing choice behaviour. For example, Lee, Carucci and Beamish (2007) classified household identities into four lifestyle clusters (Basic, Community, Home and Environmental), Højrup (2003) in his book of “*State, Culture and Life Modes*” categorised the life modes of households into three as self-employed, wage earner and career oriented. These classifications were then used to suggest, which “housing features” that the households will appreciate and be satisfied with (see *Table 2-2* as an example). Therefore related to the inquiry of SHA understanding, as stated by Chaney (1996), lifestyle and the identities of individuals determine how households deploy their resources (finance) on different housing elements.

At the same time, Kemeny (1992) stated that lifestyle-led identity may not merely have an impact on housing preferences, but also would affect conflict of interest among households in public and shared places. This is in connection to the ontological security of the contemporary society, especially with respect to home buyers (Saunders and William, 1988). Ontological security here means the positive sentiments in the sense of security that a particular housing preference would deliver the expected lifestyle and identities (ibid). This view together with Bourdieu’s (1984) statement that goods sometimes are not just resources but also lifestyle symbols, implies that lifestyles of

households could have an influence on the time-space (long-term) concerns of SHA outcomes. In other words, over time lifestyles would influence how households would behave, enjoy or be frustrated with the acquired housing resources (goods) and how they determine their external social-spatial relationships (Kemeney, 1992) attached to the housing. For example, to explain why households might socially exclude a particular social group.

Table 2-2 Lifestyle influence on housing preferences

Lifestyle Cluster	Basic	Community	Home	Environmental
Preference for housing features	Both downtown and non-downtown Proximity to school is key criteria Modest perception of home ownership Guest parking, security features, and many interior design features are not so important	Downtown orientation Weak perception of home ownership Bringing home takeaway food Least conversations with family and friends at their home Preferred to have security features to their housing	Downtown location for their ideal apartment home The choice of new housing was their dissatisfaction with previous home Like new communities Like guest parking, a gated community entrance, a walking trail, interior design features and a playground, even if it meant paying more	Strong perception of home ownership. Environmental factors of location. Suburban orientation. Conversational spaces inside the house.

Source: adapted from Lee, Carucci and Beamish (2007)

2.4.1.2 Housing pathway

The next variable to review is the housing pathway as a driver of housing choice. The concept of housing pathway (also known as housing career) first received the attention within the academic literature in the 1970s and early 1980s (Beer and Faulkner, 2009), consolidating Giddens' (1984) idea of social practices and Hagerstrand's (1976) idea of time-space geography. It was developed as an approach to analysing patterns of interaction (practices) of households concerning home, over time and space (Clapham, 2010, 2005, 2002).

Similar to that of lifestyle, this approach suggested a strong correlation exists between the stage in the life cycle of households and the type of housing choice an individual occupies. It argued that the housing pathway of a household is the continually changing set of relationships and interactions that the household experiences over time and space in its consumption by moving of housing – usually in an upward movement (but not necessarily always) (Clapham, 2010, 2005, 2002). Thus the analysis is particularly focused on how certain life-course events triggered by higher education, marriage, divorce, the birth of children, change of jobs, unemployment or retirement and so on, have impacts on housing choices in terms of tenure, the location of housing and neighbourhood quality etc. Beer and Faulkner (2012, 2009) and Robinson, Reeve and Casey (2007) employed this to understand the role that housing plays in the lives of households in Australia and the housing career of new immigrants in the UK respectively. At the same time, underpinned by Giddens' (1984) explanation of duality of structure, it also suggested a particular housing choice also has an impact on one's life chances such as accessibility to jobs and schools and thus has an impact on households' ability to pay for housing (Clapham,

2005). Taking the labour market as an example, Clapham explained how the flexibility of a housing location to access jobs influenced households' income differences. On this basis, the housing pathway approach challenged the simple demographic based clustering that seeks linear relationships undertaken by the positivist influenced housing research (Clapham, 2005). Therefore, in the understanding of the SHA concept, housing pathway is a variable that is capable of capturing the relationships among households' life course, housing choice and access to resources, and how that relationship links to housing consumption over time-space.

2.4.1.3 Webs of socio-spatial relation

The discourse of webs of socio-spatial relations in economic geography, planning and new regionalism (Pierce, Martin and Murphy, 2011; Tonkiss, 2005; Hess, 2004), provided another interwoven aspect to the debate on households' housing choice in postmodern societies. As stated by Wittel (2001: 51) the inquiry of new discourse around webs of social-spatial relations is rooted in *Gemeinschaft und Gesellschaft* (sense of community versus society) arguments by Tonnies and Loomis (1957). It refers to the reflexivity of actions of human agents, reasons for such actions and the attachments that agents (humans) generate with places (Shields, 2013).

The discourse of webs of socio-spatial relations attempted to answer, in the face of globalisation, postmodernity and the quickening of the pace of life with IT, "has community declined?", "have people become more individualists?", "to what level are the qualities of places (geography) significant?" and "to what level does the government have command and control of places?" (Fine and Harrington, 2004; Hess, 2004; Healey,

1999). The responses to these questions from the research community varied: Hess (2004) found that social-spatial embeddedness plays a crucial role in economic activities not only in pre-modern societies but also in modern market societies; Scase (1999) argued that globalisation may not have negated the importance of the local physical neighbourhood; Forrest and Kearns (2001) debated that neighbourhoods are re-emerging as an important setting for many processes which supposedly shape life chances giving symbolic and sense of place attachment and brand to the people who belong to it; and Mingione (1991) finding that this lifestyle changing pressure led people to become more reliant on informal networks of support outside the immediate household, particularly kinship networks where the geographies of this kinship and the flow of resources may vary. Therefore, interwoven with lifestyle and housing pathway variables, webs of social-spatial relations also a variable that calls for an inquiry into the households' housing choice: to what level forces like postmodernism and globalisation have shaped households' routines, link to different social-spatial networks and influence their housing choices thereafter.

The literature on webs of socio-spatial relationships provides several analytical frameworks in terms of what dimensions these relationships can be studied in. For instance, Hess (2004) provided a three-dimensional view (social-network-territory) (see *Table 2-3*) and Jessop, Brenner and Jones (2008) proposed a four-dimensional framework known as TPSN (territory, place, scale, network) (see *Table 2-4*). Their aims had been to refine the existing socio-spatial theories to answer the above-stated reconceptualised issues in the urban areas (ibid). Despite the differences in classification, both frameworks capture a similar scope. Firstly, both Hess (2004) and Jessop et al. (2008) classified, individuals, dividing themselves as insiders and outsiders anchoring themselves into a particular geography as territorial embeddedness/territory dimension. Secondly, friends,

family, ethnic or cultural belongingness of agents were classified as social embeddedness by Hess and “networks/reticulation” by Jessop. Thirdly, the way in which agents are linked with different institutions were known as network embeddedness, whilst Jessop further divided that aspect into two segments known as place and scale of those institutions. Accordingly, this classification also provides a framework to employ webs of socio-spatial relations as a variable to build the SHA understanding alongside the other interwoven variables such as lifestyles and housing pathways.

Table 2-3 Conceptualising embeddedness to analyse the webs of social-spatial relations

Embeddedness	Description
Social embeddedness	Embeddedness of an actor comes from the societal background (cultural, political etc.) to use a “biological” metaphor, influencing and shaping the action of individuals and collective actors within their respective societies and outside it.
Network embeddedness	Describes the network of actors a person or organisation is involved in, i.e. the structure of relationships among a set of individuals and organisations regardless of their country of origin or local anchoring in particular places.
Territorial embeddedness	Considers the extent to which an actor is 'anchored' in particular territories or places.

Source: Hess (2004: 177)

Table 2-4 TPSN framework to analyse webs of social-spatial relations

Dimension of socio-spatial relations	Principle of socio-spatial structuration	Associated patterning of socio-spatial relations
Territory	Bordering, bounding, parcelisation, enclosure	Construction of inside/outside divides; constitutive role of the 'outside'.
Place	Proximity, spatial embedding, a real differentiation	Construction of spatial divisions of labour; differentiation of social relations horizontally among 'core' versus 'peripheral' places.
Scale	Hierarchisation, vertical differentiation	Construction of scalar divisions of labour; differentiation of social relations vertically among 'dominant', 'nodal', and 'marginal' scales
Networks/reticulation	Interconnectivity, interdependence, transversal or "rhizomatic differentiation"	Building networks of nodal connectivity; differentiation of social relations among nodal points within topological networks

Source: Jessop et al. (2008: 393)

2.4.1.4 Analysis of residents

Based on the concept of "home" - the engine room of societies advanced by Saunders and William (1988), Kemeny (1992) in his book *Housing and Social Theory*, conceptualised a four-dimensional view to analyse "residence". This aimed to provide a solution to the criticism that housing being narrowly defined limiting its definition to the four walls (Saunders and William, 1988) and the dichotomous view of the household and the dwelling (Kemeny, 1992). Kemeny argued, housing should be viewed in terms of its relationship between the household and dwelling and the way in which it is integrated

into the social-spatial dimension. This conceptualisation of housing is shown in *Figure 2-4*. The vertical relationship represents the social and spatial relationship to the housing (household-dwelling, community-neighbourhoods) and the horizontal relationship depicts the micro to macro level dimensions (from the block, neighbourhood, suburb, city, regions etc.) to the housing (Kemeny, 1992: 163). In this way, *home* as a social-spatial structure was conceptually linked from micro (local) to macro scale (e.g. global level). This conceptualisation was taken forward by later hermeneutic based applications of housing studies (see, for example, Ronald, 2008; Kearns et al., 2000) including the above-stated housing pathway approach by Clapham (2005, 2002).

Based upon the structuration theory (Giddens, 1984), this view of residence or housing can be interpreted within the relationship of agency and structure, i.e. whilst the lifestyle, housing pathway and webs of social-spatial relations explain the actions of agency (households), the “view of residents” depicts the structural aspect of those drivers. It is asserted by Kemeny (1992) that the distribution of disposable income on housing consumption does not limit itself to the dwelling itself but also expands towards the locality. In other words, the way in which households’ housing choices are translated into different structural elements at any spatial scale. On this basis, this analysis of residence can be employed to view structural aspects of housing outcomes in a relational manner – broader linkages between society and place.

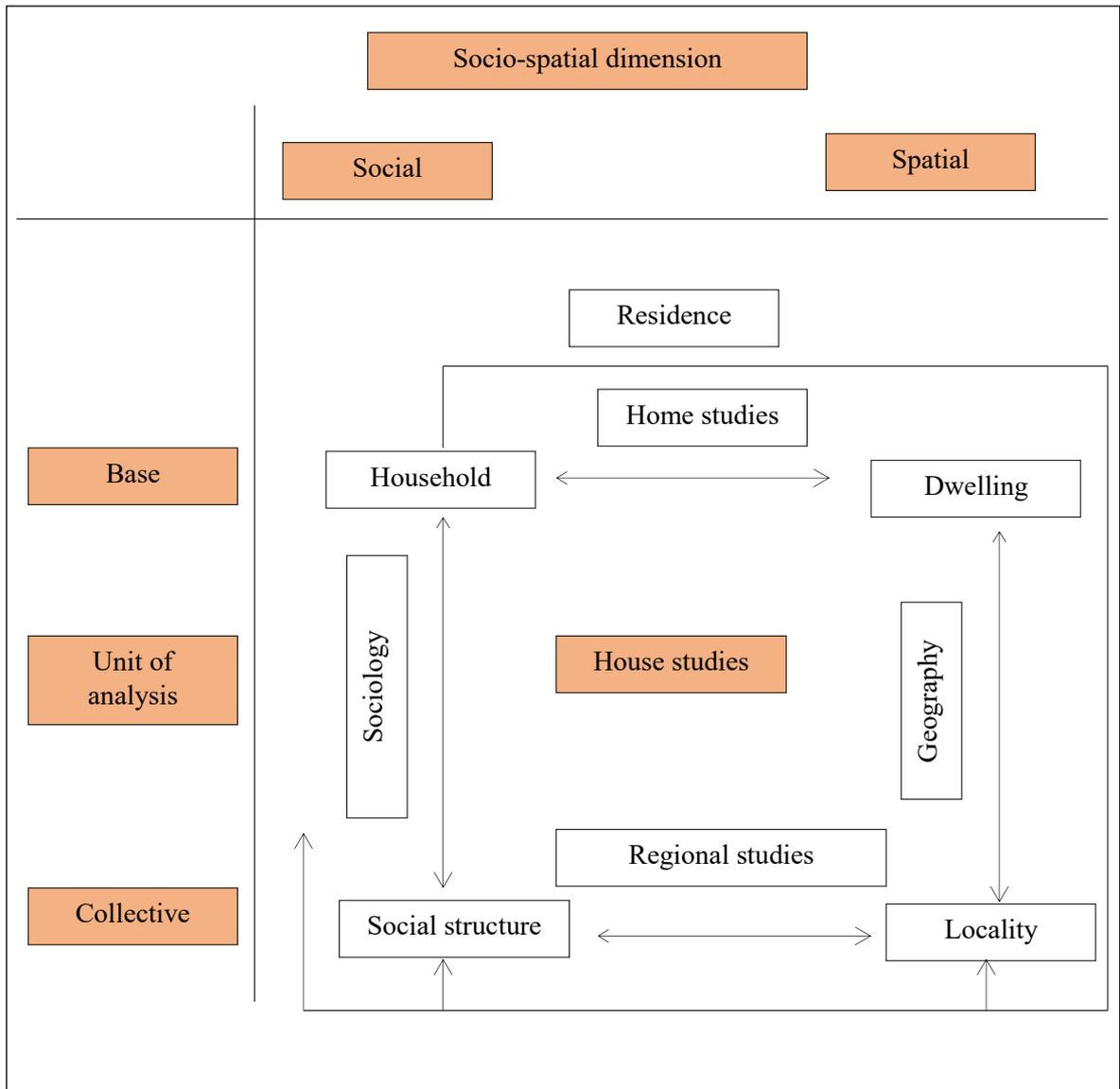


Figure 2-4 The analysis of residence

Source: Kemeny,1992: 163

2.4.2 Sustainability

Next, in the research, the other corresponding element to review is the understanding of sustainability. Prior to the introduction of the IA approach to sustainability, its definition was first established by the *Brundtland Report*.⁵ It stated sustainability was to ensure that

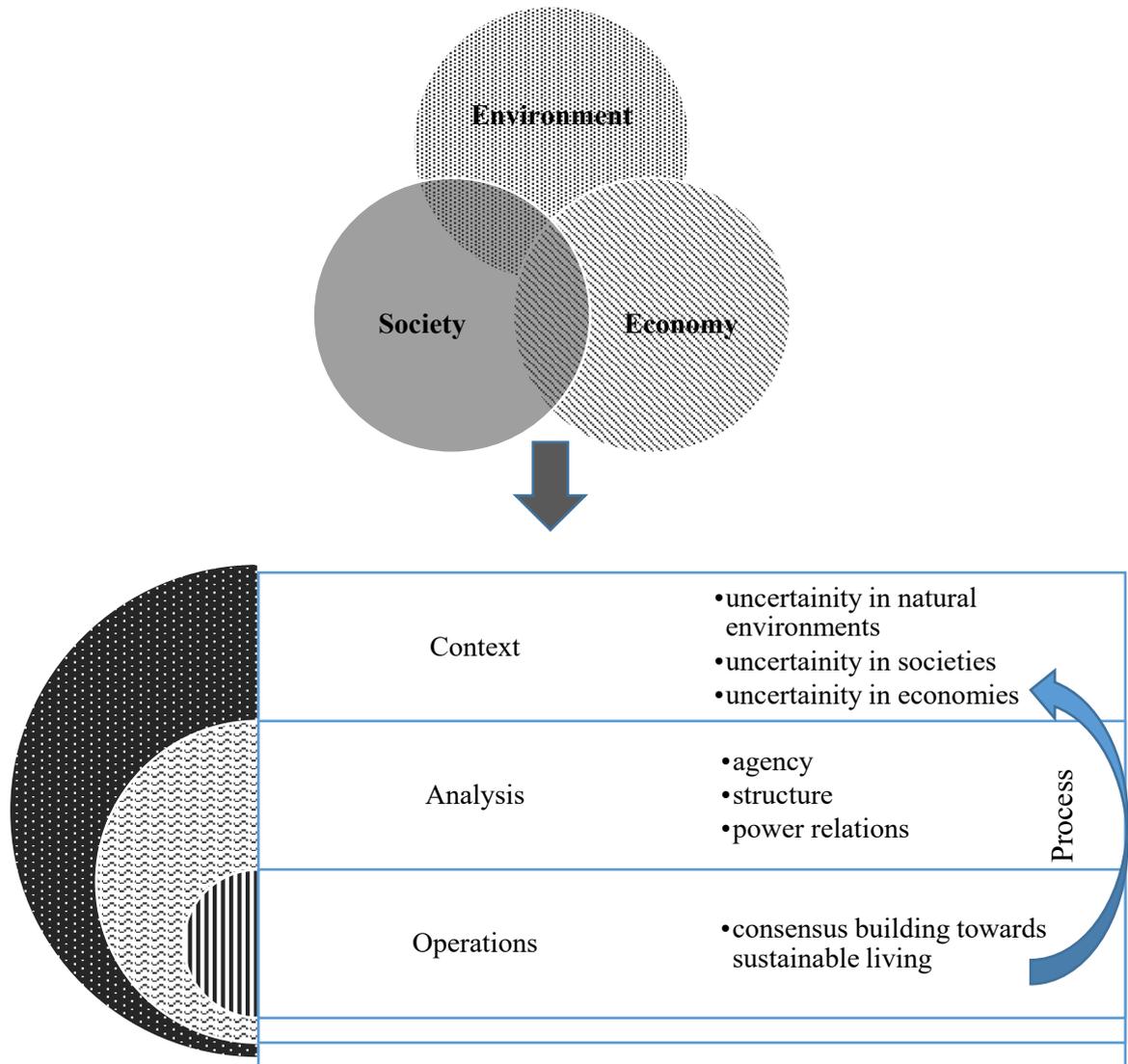
⁵A report published by United Nations World Commission on Environment and Development (WCED), 1987 in the search for a sustainable development path.

“economic growth can and should be managed in such a way that the quality of life of future generations is ensured” (WCED, 1989). This definition establishes the understanding of sustainability into three well-known fundamental principles otherwise known as the three pillars of sustainability, i.e. the economic principles, environmental principles and social principles (*Figure 2-5*). Since this concept of sustainability, in practice, views economic, social and environmental aspects as interlocking but mutual concepts, it has largely overlooked the relational view attached to them. This is reflected in the criticisms on sustainability initiatives such as, sustainable practices have become a cliché (Walker, 2012) hypocrisy: fake greenery, delusion (Robinson, 2004), absurdness of designs (Horton, Hadfield-Hill and Kraftl, 2015), environmental gentrification (Curran and Hamilton, 2012; Checker, 2011) and so on. As a result towards mid-2000 onwards, there was a point of entry to reconceptualise the traditional three-pillar approach of sustainability understanding with the IA idea of social constructionism.

Robinson’s (2004) analysis of how the concept of sustainable development has played out in industrialised countries since 1987 concluded that sustainability was “ultimately an issue of human behaviour, and negotiation over preferred futures, under conditions of deep contingency and uncertainty”(379-380). What it highlighted was that sustainability is largely problem driven and socially constructed. The reason being “sustainability” in development reflects the social consensus about what is sustainable or unsustainable development, and therefore cannot be translated into a blueprint or a defined end (Voss, Bauknecht and Kemp, 2006).

Following this premise, the literature on IA posits that consideration of sustainability rests on three levels of understanding (see *Figure 2-5*). Firstly the recognition that actors are influenced by cultural and political factors when they frame sustainability, inextricably

linking this to values and beliefs held by their society (Glavič and Lukman, 2007, Matutinović, 2007). In other words, the need for sustainability stems from different uncertainties defined by actors; therefore frames of references of the agency, their power relations and the structures are the preconditions that determine the sustainability process. Secondly, problem-solving in the light of sustainability requires a reflexive mode of governance that engages communities and communicative planning (Blewitt, 2014; Ramasubramanian, 2010; Kemp and Martens, 2007; Robinson, 2004). In other words, problem-solving in sustainability should follow a consensus building process. However, this consensus building process should be a proactive one to grasp local knowledge to work in the direction of what sustainability science has been suggesting in addressing a particular issue (Schreurs and Moulaert 2014; Naess, 2001). For instance, the consensus building process should not be to destroy everything altogether by merely focusing on fulfilling the self-interests of all (*Figure 2-6*) but to build alliances towards a common goal of sustainable lives (Naess, 2001). Thirdly, the recognition that sustainability is process-based rather than oriented towards a fixed endpoint (Bagheri and Hjorth, 2007; De Roo and Miller 2000; Costanza and Patten, 1995). This level, in other words, concerns the space and time effect on the sustainability of a development outcome. What that suggested was, the recognition of future uncertainty and adaptability and even the change of frames of references of actors themselves, the engaging communities and consensus building is to trigger an incremental social learning process and not the traditional deal of “the answer by forecast” (Robinson, 2004).



Top: the conventional view on interlocking rings implying three independent dimensions where sustainable development is achieved in the overlapping region. Bottom: A nested model to understand sustainability at different levels.

Figure 2-5 Conceptual shift of sustainability towards an integrated approach

Source: Author

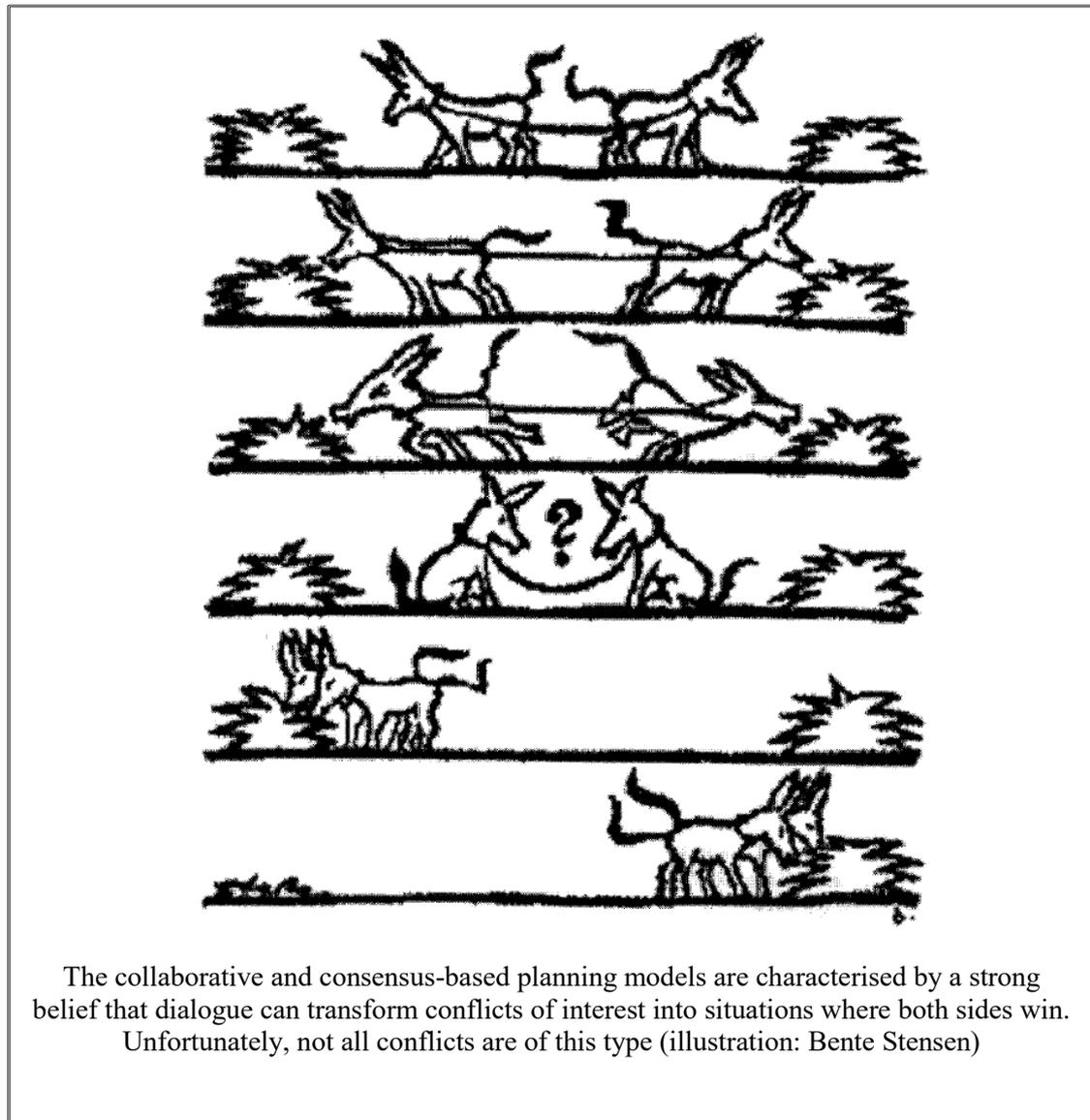


Figure 2-6 Conflict resolution through dialogue in planning process for sustainability

Source: Naess (2001)

2.4.3 Real estate development process (REDP) analysis

The IA approach to the analysis of REDP corresponds to the supply perspective of classical economic approaches to HA. Accordingly, this section reviews the IA approach to analyse REDP, known as an institutional model for REDP. The nuances of this

approach were first discussed by Healey (1991); it combines the strengths of all former REDP models: (i) equilibrium models (ii) event-sequence models (iii) agency models.

The equilibrium REDP models with their neoclassical economic traditions focused on the demand and supply of real estate (Healey, 1992a, 1991). In other words, whether development has brought sufficient supply to meet the demand, with the real estate adage, “at the right place the right time” (Healey, 1991). The event sequence models underpinned by estate management approaches (Squires and Heurkens, 2014) on the other hand appreciated the timescale complexities of the REDP. It unpacks the REDP into constituent events. For example, Cadman and Austin-Crowe (1978: 3) divided the process into (i) evaluation (ii) preparation (iii) implementation and, (iv) disposal. Thus as highlighted before, these two methods correspond with the classical economic policy analysis approaches discussed in Sec 2.3.2 – the issue of HA is a consideration of housing supply shortages as a result of market failures in land supply and planning gain stages (events) and so on. The agency model, on the other hand, places actors (stakeholders) in the centre of the REDP analysis and emphasises the distinction between actors, their roles and the power relations in the development process (see for example the Adams and Tiesdell (2012) model in *Figure 2-7*).

The institutional model for REDP seeks a nexus of roles and relationships in the social world, focused on forces that organise the relationships of real estate development (Healey, 1991). Therefore it concerns both the agency and structural aspects of a REDP. The model consolidates variables: markets, production and consumption events, role and power relations of the agency, analysing all consolidated aspects at distinguished levels rather than a selected typology (Healey, 1992a) (see *Figure 2-8*). As explained by Healey (1992a: 36), the first level of analysis is the empirical observation: recognition of concrete

events, agencies involved, identification of agency roles and their power relations evolved between them. The second level of analysis is the assessment of the strategies and interest/value of actors related to resources, rules and ideas governing the development process. The third level is the theorisation level that makes a connection with the social relations expressed in the prevailing model of production, mode of regulation and ideology of the society within which development is being taken place.

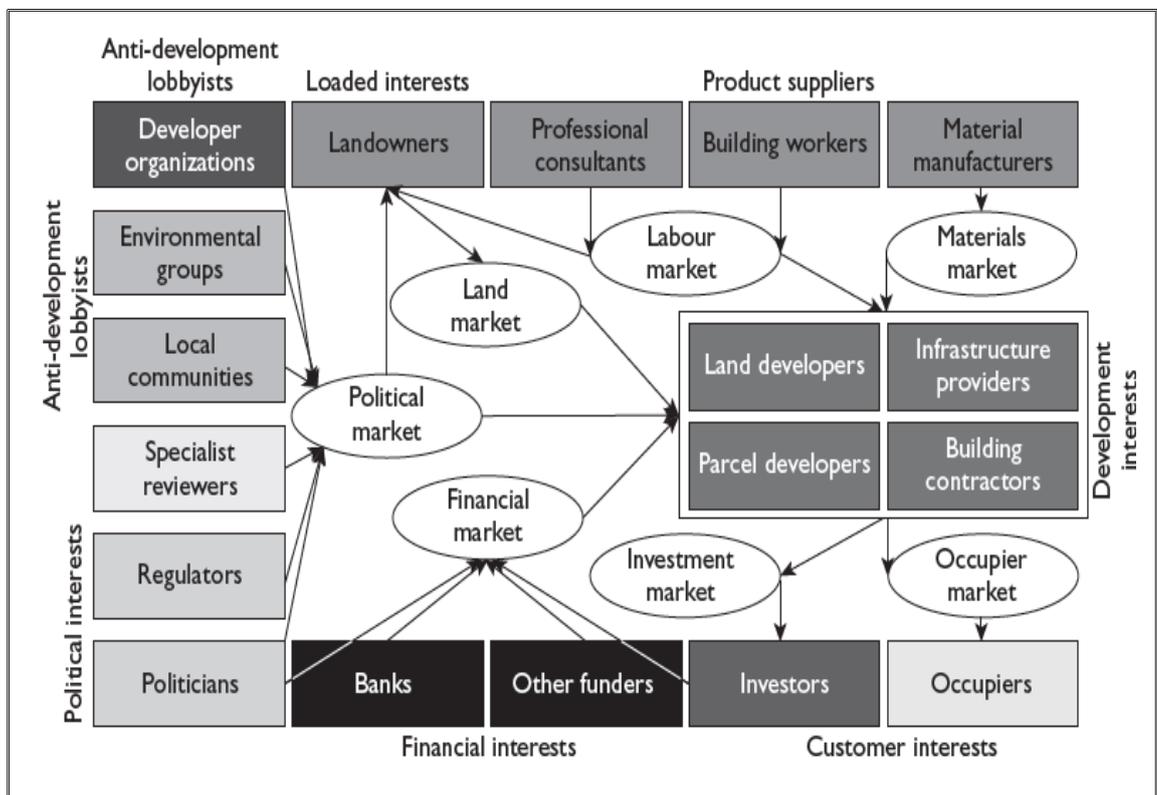


Figure 2-7 Agency role based REDP analysis model

Source Adams and Tiesdell (2012: 94)

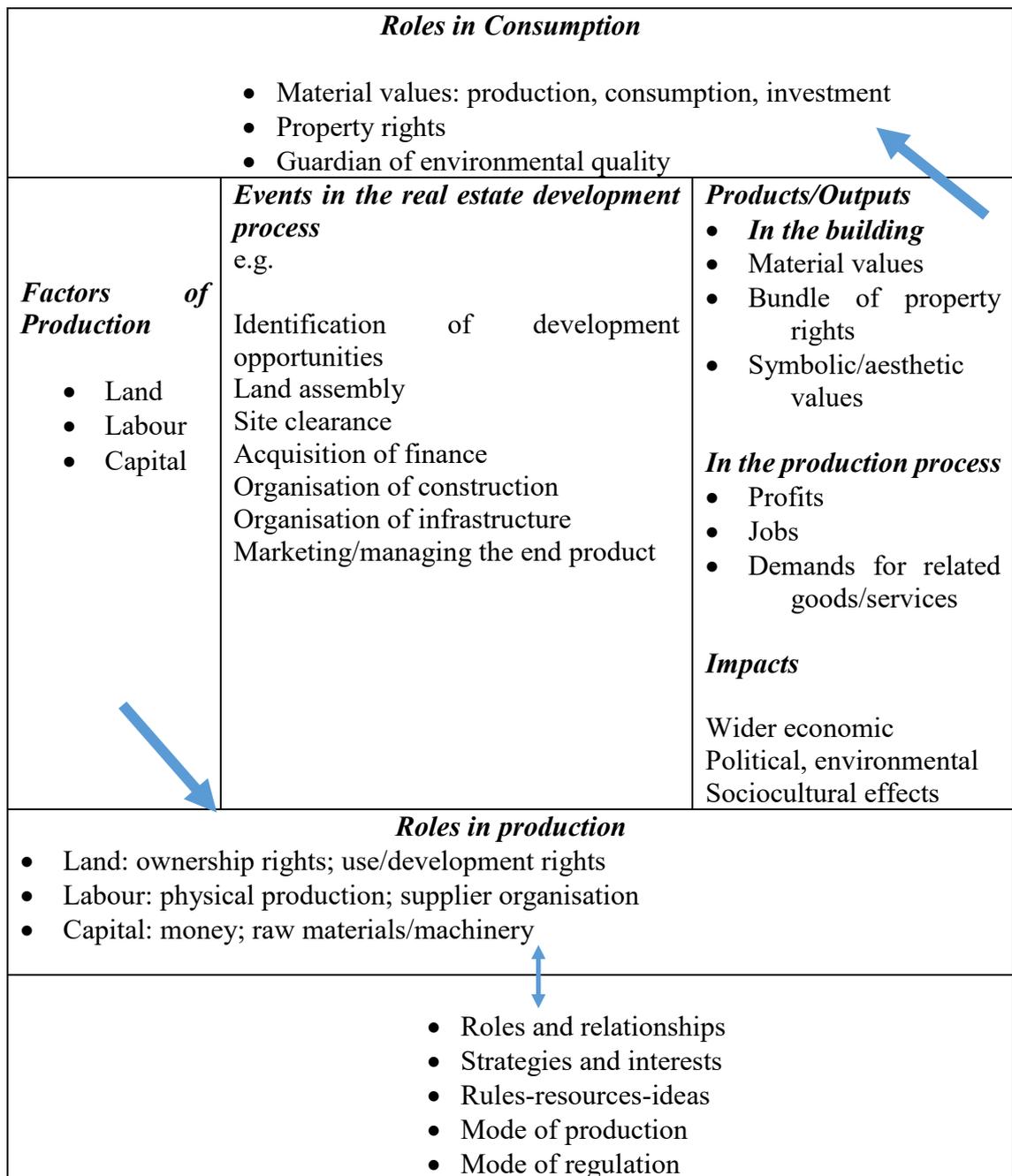


Figure 2-8 Institutional model of REDP

Source: Healy (1992: 42)

The institutional model of REDP had been popular across the research agenda on real estate planning and development. For example, Adams and Tiesdell (2012) employed the institutional model of REDP to analyse the property industry in the UK at a generic level.

Squires and Heurkens, (2014) and Seabrooke, Kent and How (2008) combined this approach to develop a conceptual framework to understand the real estate approaches across various international real estate markets. The institutional approach to REDP recognises that markets are socially constructed-an institution, and not given (Smith, Munro and Christie, 2006). It sheds light on how different agents are motivated or pursue their business models influencing the housing outcomes in the market (ibid: 84) and can be employed to understand the housing delivery process (supply perspectives) in the light of SHA concept.

2.4.4 Planning approaches

Patsy Healey, a British town planner, academic and an author, being a pioneer on the IA to planning stated:

“Every field of endeavour has its history of ideas and practices and its tradition of debates. These act as a store of experience, of myths, metaphors and arguments, which those within the field can draw upon in developing their own contributions. This ‘store’ provides advice, proverbs, recipes and techniques for understanding and acting, and inspiration – ideas to play with and develop” (Healey, 2006: 7).

Therefore we can ask, where has “planning” as a field of endeavour (to achieve SHA outcomes in this case) reached, in terms of its academic understanding? This section, therefore, deals with the normative aspect of the IA. Whilst this is elaborated in greater detail in Chapter 3, the aim here is to recognise the IA to planning at a fundamental level in order to produce the conceptual framework of the study.

The following table (**Table 2-5**) has summarised different pathways of planning traditions – economic planning, physical development planning and rational policy planning. It

demonstrates that since the late 1960s and 1970s, planning traditions have come to a common ground towards IA (Innes, 1995). This common approach towards IA was shaped by both theory and practice. Theoretically, this movement was shaped by Jürgen Habermas' (1984) ideas of critical theory and Sherry Arnstein's (1969) Ladder of Citizen Participation (Healey, 2006) suggesting planning decision-making should consider all forms of knowledge: not only instrumental knowledge but also emotional and moral reasoning. The practical reasons included those defined in *Table 2-5* – conflicts over what we want our local environments to be when they are impacted by broad structural influences that are less clear-cut and less visible (Healey, 2006: 32).

In the planning sense, the movement towards IA, therefore acknowledges that knowledge and value for planning do not merely have an objective existence in the external world, to be discovered by scientific inquiry, rather they are stored in the agent's stock of knowledge and are to be discovered through interactive communicative processes (ibid). Innes (1995), described this IA movement as a new theoretical paradigm in planning towards closing the long-bemoaned gap between planning theory and practice. This is because IA takes “practice” as the new raw material input (ibid) to delivery planning decisions and strategies. It is reflected in the most popular definition of planning by Friedman (1987): planning is the translation of ideas (of stakeholders) into action.

In literature, this idea of the IA to planning has different nuances such as the spatial planning paradigm (for example, Hajer and Zonneveld, 2000; Huxley and Yiftachel, 2000, cited in Purcell, 2009; Healey, 2006), capacity building (for example, Adams and Watkins, 2014), practical planning theory (Forester, 1980) or collaborative planning governance (for example: Ansell and Gash, 2008; Healey, 2006, 2003, 1999, 1997 etc.). Similarly, some interpret this planning approach as an alternative way of planning, as

opposed to adversarial and managerial modes of policy-making and implementation (Ansell and Gash, 2008; Innes, 1995).

In summary, the IA movement in planning, or, as it is otherwise more commonly known, communicative planning approaches therefore suggest: (i) recognising all stakeholders and knowledge types in the planning process, (ii) recognising all ways of communication, (iii) recognition that individuals do not arrive at their preferences independently, but these are learned through their contexts and interactions, (iv) recognition that power oppresses and dominates not only material resources but also the taken for granted assumptions and practices, (v) public policy should be accountable to all those who have a stake in a place, (vi) the practice should be on collaborative consensus building rather than interest bargaining (Healey, 2006: 29–30). Healey drew these key points based on the works carried out by Bengt Flyvbjerg, John Forester, John Friedmann, Charlie Hoch, Judy Innes and so on (ibid).

Compared to the traditional thinking of the planner which was assumed to be value-free, this approach acknowledges that planners are also stakeholders in the process, who carry values, different roles or frames of meaning about the ends (Innes, 1998; Davidoff, 1965). Therefore there is no necessity for planners to stay as value-neutral, instead, they should be value conscious, communicate them and make themselves available for the clients who wish to pursue those values (ibid). It realises that planning work is embedded in its context of social relations through its day-to-day practices and has a capacity to challenge and change these relations through the approach to these practices (Healey, 2006: 30).

Table 2-5 Planning approaches and communication planning turns

Aspect	Economic planning	Physical development planning	Rational policy planning
Period to emerge	Late 19 th and early 20 th century	Since enlightenment in the 18 th century	19 th century with an American origin
Initial rationale of the planning approach	Critique of industrial capitalism regarding social and environmental cost caused by capitalist entrepreneurs	Utopian dreams of urban form, and architects to build them	To make the public administration of areas more efficient and less corrupt
Dominated by	Economists and political philosophers	Engineers and architects	Administration class/public planners
Philosophy	The material well-being of consumers and generation of profits for producers	Spatial organisation for functionally rational places to conduct economic and social activity – physical determinism	Pluralistic polity through technical analysis and management
Strategies	<ul style="list-style-type: none"> • Communist models proposed replaced capitalistic institutions and alternative lifestyle by forms of self-governance e.g. Ebenezer Howard's Garden City ideas • The Keynesian model proposed to stimulate demand by lowering the wages but assisting people to acquire education, health and housing • Neo-liberalist model proposed market as the key organising principle of economic life and the role of public planning is to intervene on market failures 	<ul style="list-style-type: none"> • Building regulation • Land use zoning • Urban master planning • Layout planning for greenfield subdivision • Reorganisation of urban fabric • Stewardship of the environment/concerns of environmental sustainability 	<ul style="list-style-type: none"> • Rational techniques – management by objectives • Rational policy process. Identifying objective, developing strategies and implementation <p>(Rational means to make decisions through deductive logic and to make instrumental reason as a form of argument drawing upon scientific analysis)</p>
Reasons to emerge and strategies for Institutional turns since the 1970s	<p>Reasons to emerge Flexible labour markets creating insecure worker afraid to spend on consumption and individual firms being undermined by large-scale innovative knowledge flow corporations</p> <p>Strategies Regional economic analysis and regional location geography to understand the regional economic base</p>	<p>Reasons to emerge Local economies and areas undermined by the company restructuring occurring in the face of international competition</p> <p>Strategies Moving away from Utopian and aesthetic roots towards the practical management of the dynamics of social, economic and environmental change in urban regions</p>	<p>Reasons to emerge Planning became clutches of dominant elite – unequal distribution of power in the local pluralistic polity Questions raised on the role of science and instrumental reason</p> <p>Strategies Citizen participation to escape from pure instrumental and scientific reasoning and understand how people come to have the ways of thinking and valuing things</p>

Source: Adapted from Healey, 2006

2.4.5 Sectional overview and conceptual framework of the study

This section provides an overview on how the concept of SHA can be understood and thereby to provide a conceptual framework in achieving such SHA outcomes. Based on Giddens' theory of structuration, IA views the world in a relational context between agency, power and structure. For example, lifestyles, housing pathways, and webs of social-spatial relations are important, but under-studied, areas of study in the context of how different complex motivations drive households' demand for housing. Under the market conditions, those dynamics are the basis in which the households make housing choices. Since different motives lead to difference in choices, 'SHA' becomes a concept that is vexed which cannot be defined normatively. It is a subjective or relative term - what 'SHA' means to different households varies with the respective housing aspirations they hold at a given time-space. However, the approach suggested here is that there is more work to do which explores how planning processes based on communicative rationality help deliver SHA outcomes. Using an IA approach helps to shed much-needed light on residence, sustainability, REDP and how the concept of SHA outcomes can be understood. Firstly, the literature on analysis of residence showed that a particular housing outcome demonstrates a duality of structure. It has both medium (actions/motivations of household and other agency) and outcome (structure/view of housing outcome). Therefore, both the demand and supply and the housing outcomes bind across space and time. Second, the contemporary literature on "sustainability" suggests the need for a proactive consensus building process (Robinson, 2004; Kemp and Martens, 2007; Schreurs and Moulaert, 2014; Naess, 2001) that considers values of all stakeholders of a development, and how these values change over time (Bagheri and Hjorth, 2007; De Roo and Miller, 2000; Costanza and Patten, 1995). Third, an effective decision-making

process requires a deeper analysis of agency roles, interests, power relations, rules, and resources that govern the development process (Healey, 1992a, 1991). Those literature acknowledged that knowledge for planning cannot be discovered within the objective external world (i.e. scientific or technical knowledge) but is stored within the agents' experiences to be discovered through communicative processes (Healey, 2006; Innes, 1995; Friedman, 1987). In this way, agents experience planned outcomes and they become catalysts to capture the knowledge of complex (global and regional) processes that are affecting local level development planning.

Housing can be sustainable and affordable (ie, a SHA outcome), *if the housing experiences that generate through those housing outcomes are ideally complying with the "shared meanings" (consensus building through individual motives or values) of residents (end-users) together with the other stakeholder values at a given time-space.* Such outcomes are "affordable" because the *shared meaning* indicates that the individuals' subjective motives to a shared extent are met. It is "sustainable" because it denotes a level of compromise where an individual's motives are achieved to the level it does not completely destruct the motives or values of others. On this basis, a planning process aims to deliver SHA outcomes requires a mechanism such as communicative planning (Chapter 3 further discusses this aspect in greater detail) to bring in stakeholder values to the decision-making process. Among all stakeholders, residents are important, yet relatively under-explored, as they are the end users of housing outcomes and their subjective motives reflect their housing aspirations but also the influence of different regional and global processes. Achieving this *ideal shared meaning* position at a given time-space could be challenging. Thus, an empirical testing is required to explore as to the potential of communicative planning in achieving this.

This way of understanding the concept of SHA, inductively anchors the concept into following aspects that the existing classical economic led approaches (Sec 2.3) have overlooked.

- Subjectivities of human agents
- Time-space influence of particular housing outcome
- Open globalisation scale, moving the housing view away from close urban-regional models
- Communicative planning as a mechanism to achieve SHA outcomes.

Based on the above, the remainder of the section applies these proponents to produce the conceptual framework for the thesis. The conceptual framework of the research is shown in *Figure 2-9*. This framework argues, ‘SHA’ is a socially constructed concept (constructed through different values of actors), thus achieving such requires a consensus building process through communicative planning actions.

Based upon the existing discourse on HA and SHA concepts, first, the conceptual framework deducts the fundamentals of market conditions; demand and supply forces for housing. Based on the literature review on IA, the framework inductively anchors the household demand with the households’ motive and actions for housing choice. i.e. subjectivities of the human agency (residents). Household motivations are related to lifestyle, housing pathway and webs of socio-spatial relationships and those determine the housing choice actions of households forming effective demand- a duality of structure between household actions and demand structures. These motivations can reflect all internal/external process influences (market, social, political, environment) to the households’ action and to their consumption of housing outcomes in a given world context (space-time). In this way, the IA can overcome the problem suffered by the

geographical approaches having to assume the understanding of SHA concept within rational behaviours and closed urban-regional model. A supplied housing outcome is a structure that formed out of these household actions together with other actors engaged in the housing delivery process such as market actors, public agencies (e.g. local planning authorities), lobby groups, not-for-profit organisations and so on. The “ideal” material realisation of a particular ‘SHA’ housing outcome (under market conditions) at a given time-space is a state where shared meaning for housing affordability and sustainability of all stakeholders are met, thus requires a proactive consensus building process (communicative planning). That is because, when the SHA outcome is socially constructed through actors’ actions, governing the knowledge in which those actions are underpinned by is important. It should not only include scientific reasoning but also emotive reasoning that the actors’ encounters are embedded with. Achieving SHA outcomes depends on how best planning has employed all forms of knowledge in the housing delivery process – the more stakeholders involved, the more knowledge on dynamic processes and agency subjectivities they bring to the housing delivery process. In this consensus building process, planning (and the planner) are both the mediator and a stakeholder (agency), governing different stakeholder’s interests/values and power relations in the housing delivery events.

Accordingly, the empirical testing of this conceptual framework is organised as follows. Chapter 5 (research context) serving as a semi-empirical chapter, describes the outcome (structural) aspect of housing delivery in the selected case study projects. Chapter 6 provides the empirical analysis on how households’ frame their references to ‘SHA’ outcomes. Chapter 7 focuses on how residents as end-users of a delivered housing outcome, engage in communicative planning action (CPA) to convey different frames of

references for housing affordability and sustainability (their experiential knowledge, interests/values) and exercise power relations to generate shared meanings to 'SHA' for shaping their residential places. Finally, Chapter 8 deals with other stakeholder (including planners) values on 'SHA' outcomes and the communicative planning governance for consensus building to deliver 'SHA' outcomes.

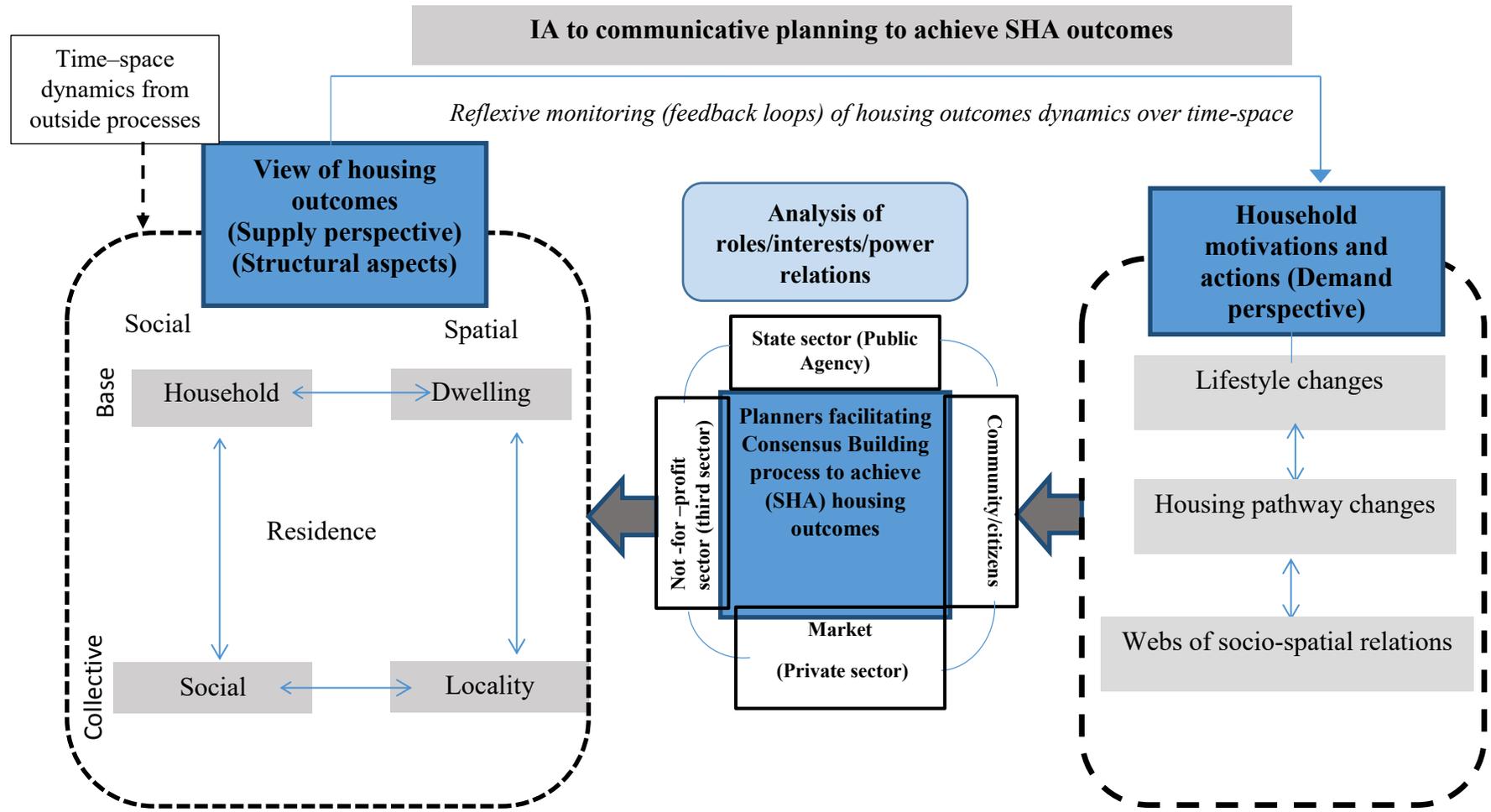


Figure 2-9 Conceptual framework – IA to Communicative Planning to achieve SHA outcomes

Source: Author

2.5 Conclusion

Drawing on literature from different approaches that attempted to understand the concepts of HA and SHA, this chapter highlighted that the fundamental research gap of the existing discourse has been displacing human subjectivities, time-space effects on housing outcomes and explaining such concept within close urban-region models that do not fit realistically within the globalised and postmodern context of the world in the 21st-century. For this reason, as opposed to former neoclassical, policy analysis and geographical approaches on which the existing understanding is based on, the review considers what IA can offer to understand SHA concept in a novel manner. Underpinned by this understanding, the chapter develops the conceptual framework that can revisit the concept of SHA and the means to achieve it. Accordingly, the study has offered two propositions: (i) The concept of SHA is socially constructed and binds across space and time and (ii) achieving SHA outcomes requires planning to bring in all forms of knowledge by engaging all actors related to consumption and delivering of housing.

CHAPTER THREE

COMMUNICATIVE PLANNING: NORMATIVE PRINCIPLES OF INSTITUTIONALIST APPROACH

3.1 Introduction

The previous chapter rationalised the Institutional Approach (IA) as the appropriate method for understanding Sustainable Housing Affordability (SHA) concept. The motivation of this chapter, therefore, is to critically review the procedural aspects of IA, i.e. Communicative Planning Theory (CPT). These are the normative principles with which to evaluate and challenge the qualities of interactive practices (Healey, 2003: 106). Accordingly, this chapter reviews the body of literature pertaining to CPT to provide a theoretical framework to determine key lenses by which the process of communicative planning in the delivery of housing outcomes can be analysed (i.e. the empirical Chapters 7 and 8).

In the body of literature of CPT, other terms that have been employed over the last few decades to describe and transform the concept of communicative planning into planning philosophy include *collaborative planning* or *collaborative governance* (Healey, 2006), *argumentative planning* (Fischer and Forester, 1993), “*planning through debate*” (Healey, 1992b), “*inclusionary discourse*” (Healey, 2006), and “*deliberative planning*” (Forester, 1999b; Hoch, 1996). Whilst communicative planning has penetrated different interconnected subject areas such as health, energy, environmental policy, poverty, disaster management, gender studies and so on, the literature employed in this chapter have been more broadly related to the field of spatial planning. Spatial planning is the

term that is used to describe land use planning (Taylor, 2010) that may also include planning for housing. The empirical evidence of those studies is mostly UK based, but also includes a few related studies of other OECD countries.

The chapter first introduces the initial academic study on communicative planning, i.e. the Habermasian ideal of *communicative action*, otherwise known as *communicative rationality*. Secondly, it reflects on the challenges to the Habermasian based CPT. Finally, the chapter reviews the growing contemporary theoretical scholarship on CPT to provide a basis to debate, whether those can be employed to plan for SHA outcomes. Here, the discussion will also reflect the gaps of CPT and highlight what contributions this study will bring forward to its contemporary understanding.

3.2 The Habermasian Ideal of Communicative Planning

Prior to the critical review of the current understanding of CPT, the aim here is to identify the initial scholarship of CPT. This helps the review to demonstrate the evolution of the CPT more clearly. The landscape of CPT that underpinned the philosophy for the IA originated with the scholarship of philosopher Jürgen Habermas on communicative rationality (Harris, 2002; Huxley and Yiftachel, 2000, cited in Purcell, 2009; Healey, 2006). It is also known as the critical project of Habermas due to the fact that it emerged from his discussion on critical theory (see, for example, Thompson and Held, 1982) or *ideal speech situations* (for example, Allmendinger and Tewdwr-Jones, 2002; Healey, 1999). With the reintroduction of intellectual lenses such as questions of how can knowledge and power be dealt with in planning, it has occupied an extremely hegemonic position in planning theory since modernism (Gunder, 2010; Purcell, 2009). The aim of

this section, therefore, is to describe the idealist viewpoints of Habermas to reflect on the roots of the theory.

Stated by Healey (1997: 44), Habermas (1984, 1981, 1979) questions,

“How communicative rationality can reconcile the individuation of cultural identity with a recognition of commonality between individuals of different frames of reference, and interests, in ways which do not trap us in modes of thought and practices which suppress our individual capacity to flourish?”

To achieve this Habermas suggested that planning should consider all types of reasoning that may include:

- (i) Instrumental or technical reasoning – scientific, processed, rationalistic, superiority or epistemic reasoning
- (ii) Moral reasoning – reasons focused on values and ethics
- (iii) Emotive-aesthetic reasoning – reasons focused on emotive experience.

As already highlighted in Chapter 2, with the relational view of the world (for example, Habermas, 1984: 43–75) Habermas argued that planning should not give more privilege to rational reasoning, i.e. scientific knowledge; planning decisions should also incorporate other reasoning such as moral and emotive (knowledge). On that basis, Habermas challenged the superiority held by the scientific knowledge granted by the rational planning model (Khakee, Barbanente and Borri, 2000: 776). Instrumental reasoning only provides part of the basis for good judgement and sound decision-making (ibid). Habermas argued that the role of planners should emphasise listening to peoples’

stories and assisting in forging a consensus among different stakeholder viewpoints (Fainstein, 2000).

In this communicative process, Habermas prescribed the norms for the ideal speech situation for communicative action to be undistorted and defined by openness and a lack of oppression (Tewdwr-Jones and Allmendinger, 1998). Language has been given a prominent place (Habermas, 1984: 86). Thus his readings on communicative rationality primarily focused on two aspects: the clarification of what communicative action (speech acts) are and the power of speech situations. Based on the theory put forward by Habermas, communicative actions should be separated from strategic actions. Strategic actions are intended to achieve the success of the participating stakeholder; they look at the effectiveness of the action in attaining the end result and thus are addressed to the objective world (Habermas, 1984). Communicative actions, on the other hand, are weighted towards reaching an understanding of a situation and the plans of action in order to coordinate their plans by way of agreement or consensus among stakeholders (ibid). In this process, Habermas identified “power” as a distortion factor for communicative actions. As a consequence, his advocacy was that speech situations (i.e. institutional design for communicative action as discussed in Sec 3.4.4) of communicative actions aiming at consensus building should be “power neutral” (Forester, 2001, 1999b, 1989b; Throgmorton, 1996, cited in Tiesdell and Adams, 2004).

Despite the variety in normative beliefs on CPT, communicative planning theorists namely John Forester, Patsy Healey, Charles Hoch, Judith Innes and their followers, agreed with Habermas in many respects and stated that communicative planning is an enterprise for planning democracy, promoting social justice and environmental sustainability. They asserted that by presenting such an ideal, Habermas would not have

expected such communication to be easy – or even likely to be easy – but that it could aid progress towards the ideal (Purcell, 2009). However, the concept advanced by Habermas has come to be seen as representing a “*communicative ideal*” since it assumes universal pragmatics (Thompson and Held, 1982) and does not mirror practice (Innes, 2004). As a result, the theory delves into questions of practice that raised a number of critical refinements as discussed below.

3.3 Challenges to the Communicative Planning

The challenges to the communicative planning (i.e Habermas’ work on CP) can be ascribed to three basic arguments. Firstly, a challenge was applied to his advocacy on the neutrality of power within communicative planning actions (CPA) of stakeholders. Based on Foucault conception of power that it is universal (see, for example, Foucault, 1991, 1984, 1983, 1980) the scholars such as Flyvbjerg and Richardson (2002, 1998); Fischler (2000); Hillier (2000); Huxley (2000); Huxley and Yiftachel (2000), cited in Purcell (2009); Phelps and Tewdwr-Jones (2000); and Tewdwr-Jones and Allmendinger (1998) argued that Habermas view on CPT has given insufficient attention to the practical context of power relations of economic actors in which planning practice is situated; thereby, it is abstract and pays too little attention to politics and the power-laden interests of different stakeholders in the planning process (McGuirk, 2001). In that light, they constructed the argument that Habermas’ “power” stance on CPT is a lofty ideal of consensus building free of constraints (Flyvbjerg and Richardson, 1998).

Secondly, in connection to the concerns on power, scholars such as Gunder (2010); Purcell (2009); and Tewdwr-Jones and Allmendinger (1998), often questioned whether

communicative planning was sufficiently supportive of disempowered citizens in the midst of neo-liberalism and questioned whether it unwittingly supported unfettered markets. For example, Purcell (2009: 158) stated that “*communicative theorists want us to believe that if one follows the precepts of speech situations, they would be freed from an unsatisfying contest for scarce resources – from antagonism, struggle, and ‘politics’ – and can forge a new society in which everyone can achieve their goals, but it may not be well suited to confront neo-liberalisation*”. To support this critical view, the scholars drew on two traits of the ideas advanced by Habermas: demonising instrumental rationality and the fact that CPT has moved from the concept of citizen participation to stakeholder participation (multiple interests). They argued that emphasising subjective reasoning and the expansion of the pool of participants allow large consolidated corporations to stand within the planning process and manipulate the planning agenda of local environments for their success (Purcell, 2009: 141). In this way, communicative planning can become its own tyranny, paving the path to support neo-liberalisation rather than to address social and environmental costs in planning local environments (see, for example, Bengs, 2005; Purcell, 2009: 141; Huxley, 2000).

Thirdly, concern was raised with respect to the lack of clarity on consensus building under CPT. Some argued that this consensus representing nothing more than compromise and lowest common denominator solutions, often reached through peer pressure (Hillier, 2003), may carry the risk of members in a planning group opting out of agreements at any time (Innes, 2004: 12) and that too little consideration was paid to the right of appeal (through courts or appeal mechanisms) to a reached consensus to solve unresolved disputes (Tewdwr-Jones and Allmendinger, 1998).

These challenges altogether identified a number of areas in which the Habermas reading of CPT lacked specificity and nuance. Those have been teasing out to shape the contemporary CPT into multiple disciplines of deeper interests. Therefore, the following section aims to critically review those contemporary theoretical developments by investigating their relevant applications to plan for SHA outcomes.

3.4 Subsequent Theoretical Proponents for Communicative Planning

The new theorists generally sought pragmatism on CPT (Fischler, 2000). They attempted to address the unclarified and sceptical normative questions of CPT by studying different spatial and local environmental planning practices, including the policy-making and development of housing. This section, therefore, discusses the multiple disciplines in which CPT was shaped into power, the ontology of communicative action, institutional design, knowledge and consensus building. These disciplinary aspects generate themes in which the empirical analysis of CPA with respect to planning for SHA outcomes can be tested, clarifies the propositions of this study and highlights the theoretical gaps in which the study can contribute to the development of CPT.

3.4.1 Power

The discussion on “power neutralisation” is central to CPT. This is owing to the Habermasian stance that power should be neutral in the exercise of communicative actions, and the fact that it embraced the concept of stakeholders over citizens who could oppress the power of the latter. Institutions that generate knowledge for planning will not necessarily ensure neutrality (Irwin, 1995) and power takes effect through the ability to define what is accepted or validated as knowledge (McGuirk, 2001). Therefore, it raised

questions about how power is perceived and how it can be neutralised in the praxis of contemporary CPT. On this basis, this section focuses on the contemporary understanding of power within CPT and rationalises the proposition of this study relating to power in CPT.

Lukes' (1986) three dimensions of power provides an understanding of "power" in a generic sense. In the first dimension, power was seen as a causal relationship between the behaviour of two agents (also known decision-making power), i.e. A's behaviour regularly causes B to do something which B does not want to do. In the second dimension, power was perceived to be generated as a result of a decision that suppresses or thwarts a latent or manifest challenge to the values or interests of a decision (i.e. non-decision-making power). According to Lukes, in this sense, power cannot be possessed but can only be exercised. Consequently, borrowing Schattschneider's concept, this dimension generated the idea of power as the mobilisation of bias (Bradshaw, 1976). In the third dimension, Lukes viewed the exercise of power through the lens of objective interest or agenda setting – what an agent would do under ideal democratic circumstances – i.e. if A affects B in a manner which limits what B would do under ideal conditions, then it can be properly said that A exercises power over B (manipulating the view of others). As a whole, Lukes' definition explained power as a dependent variable of the structure. Extending from Lukes' premise, Giddens (1979) saw the power in a relational sense between both agency and structure. Instead of three dimensions, Giddens condensed the classification into two dimensions, i.e. the actions of agents carry power in the form of transformative capacity in the effort of setting others to comply with their wants, whilst the structures of domination employ asymmetry of resources in order to sustain the power relations in and between the systems of interactions (Giddens, 1984, 1979) (*Figure 3-1*).

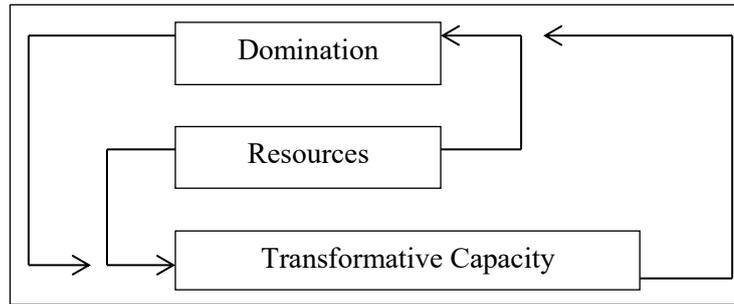


Figure 3-1 Giddens' explanation of power

Source: Giddens (1979: 100)

Following Giddens, Purdy (2012) and Hardy and Phillips (1998) recognised that power depends on authority, resource (allocative) and discursive legitimacy. Authoritative power concerns the socially acknowledged right to make judgements, decisions or take actions (Greenwald, 2008). Resource-based power deals with the dependencies between organisations involved in collaboration and their ability to organise resources (Purdy, 2012). This resource power includes tangible resources such as financial resources, people, and technology; and intangible resources such as knowledge, culture, and capabilities. Discursive legitimacy, on the other hand, is a form of power that refers to the ability of an organisation to be represented in a discourse or speak on an issue in the public sphere (Hardy and Phillips, 1998), for example, the power enabling a particular community organisation to speak in a public consultation on behalf of the respective community. Similarly, Giddens' explanation of transformative capacity in an alternative sense developed into two concepts: "power over" and "power to" (Healey, 2007; Njoh, 2007; Giddens, 1984). The authority that individuals, bodies or organisations retain to perform specific duties constitutes "power over" whilst the "power to" covers the resource base of organisations (human resources, finances, and equipment).

In response to the critics on Habermas' stance on power in communicative rationality (Sec 3.3) the contemporary communicative planning writers have suggested proponents

in dealing with power. For instance, Albrechts (2003: 916) offered a framework that can recognise power by way of analysing different rationalities of planning that affect different stages of planning. Those rationalities are:

- Communitive rationality- recognise and accept platform for actors to discuss shared problems and to reflect on ways out of these problems.
- Value rationality - design shared futures; to develop and to promote common assets
- Instrumental rationality - to encourage accountability within a time and budgetary framework
- Strategic rationality - to create an awareness of the systems of power, to construct some initial alliances to arm oneself against the prevailing power structure

Albrechts argued that such identification opens up the avenues to recognise the way planning can deal with power. Building on Albrechts, Brownill and Carpenter (2007) stated, not only the identification of these rationalities but also the recognition of tensions between them are important to inform the power deal in communicative planning. Communicative action will always be political and carries power and power driven “distortion” is a drive for intelligible communication (Brownill and Carpenter, 2007; Hiller, 2003; Mouffe, 2000, 1999). Planning should create an awareness of the systems of power to construct required alliances to counter the prevailing power structures (Albrechts, 2003). In that respect, power can be seen as a modality of change (Martens, 2001) rather than seeing it through the lens of negativity (Flyvbjerg and Richardson, 2002). As indicated in Sec 3.3, this stance of power in communicative planning was underpinned by Foucault’s perspective, that power is everywhere and it cannot be contained. The proponents argued that mobilise power as a modality of change gets

further reinforced with the Giddens' conceptualisation of power. The action of agents have the transformative capacity and power has a duality of structure – agents are not isolated or autonomous all the time-thus all forms of dependence offer some resources whereby those who are subordinate can influence the activities of those who are in a superior position. In that sense, actions such as communicative planning can empower the community to change or shape their housing outcome (structures). This proponent in practice becomes a point of intersection with the “community participation” stream of literature which was first encapsulated in Sherry Arnstein's (1969) “ladder of citizen participation”. The rationality that promotes here is citizens should be treated as stakeholders having decision making powers about their environments. Therefore, what this intersection implies is that communicative planning should operate in a world of shared power, where planning policy processes take place in a context where all stakeholders should have a fair distribution of power (Bryson and Crosby, 2006). In other words, power neutralisation of actors by means of power-sharing. In practice, it is for the local communities (in other words residents in the case of housing delivery) that power needs to be shared for the purpose of increasing their participation, in parallel with the corporations that have more power because they are large and have more resources. The recognition here is that whilst all stakeholders in local spatial planning should be engaged in the communicative planning process, local communities are of primary importance as a source of emotive or experiential knowledge, and are the owners of the planning problem. Nevertheless, they often lack power (authoritative, allocative or discursive legitimacy) and require an appropriate structure empowering them to participate. For example *Table 3-1* has streamlined some community participatory models proposed by different studies – structures to empower communities. Each step of the participation

depicted in the table corresponds to the degree of involvement of the citizens. Even though all these models are subject to various strengths and weaknesses in terms of describing a community or public participation, this study is not a point of convergence for such a discussion. But as indicated in *Table 3-1*, if power was to be used as a change agent (i.e. power in the form of transformative capacity), it needs the highest degree of local community participation.

Another angle that supports this proponent is to appreciate that agents in a postmodern world (or ‘informational age’; Innes, 1998) are networked and that networked power improves the availability of choices to solve problems. This view is primarily included in the works of Booher and Innes (2010, 2002) and Innes (2004). Through communicative planning, participants build relationships, mutual understanding and shared heuristics and understanding of the system (Booher and Innes, 2002). These networks, in turn, mean that they collectively have the power to influence change or produce their desired outcomes. Here the argument is that consensus building and collaborative dialogue also can create a new form of power – network power – from which actors or stakeholders could benefit by improving the choices available as a result of collectively developed innovative ideas (Innes and Booher, 1999).

Table 3-1 Ladders of community participation

Traditional ladders pyramidal power		Ladders of the nineties strong ideological vision		Contemporary ladders		of Level involvement
Arnstein (1969)	Connor (1988) cited in Conroy	Widemann & Femers (1993)	Dorcey, Doney & Rueggeberg (1994) cited in Garau (2012)	Ecosfera (2001)	Gangemi (2010) cited in Garau (2012)	
The degree of citizen power	Leaders	Public participation in the final decision	Ongoing involvement	Self-production Self-management	A civil society which participates formally and substantively	
Citizen control	Resolution		Seek consensus	Collaboration-Active involvement		
Delegated power	Litigation	Public participation in assessing risks and recommending solutions	Task ideas, see ideas	Consultation	A civil society which acts	
Partnership	Mediation		Consult on reaction			
Degrees of Tokenism	Joint planning	Public participation in defining interests and actors and determining agendas	Define issues	Information-communication	A civil society which informs	
Placation	General Public		Gather information, perspectives		A civil society which anticipates but not substantively	
Consultation	Consultation	Public right to object				
Informing						
Non Participation	Information feedback	Informing the public	Educate	Non participation -	Civil society "live"	
Therapy Manipulation	Education	Public right to know	Inform			

Source: Adapted from Garau (2012)

Therefore, what the contemporary understanding suggest is that communicative action need not avoid power but to accept and handle power to the benefit of the planning purpose – mobilise power to create a network and benefit from those networks to generate

new ideas and empower the communities to own both problems and solutions. Whilst this study too aims to take forward these propositions, the review also reflects the theoretical gaps – whether this networked and community participated shared power context has any links with the generation of knowledge in communicative action that can contribute to a particular planned outcome. Building on Innes’ work that claims network power increases choices available to stakeholders, a claim can also be made with respect to achieving SHA outcomes that such choices out of power also link to synergies and innovations of knowledge creation and implementation, which make stakeholders together greater than the sum of their parts.

3.4.2. Ontology of communicative action

With the early Habermasian view that communicative action should be separated from strategic actions, another argument raised within the contemporary CPT was “what is” and “what is not” considered as a communicative action. Some studies focused on clarifying this, considering the ontological aspects (nature of being) of communicative action. The concern of those studies was to investigate on what basis the speech acts can be legitimised as communicative actions.

The contemporary CPT clearly breaks from the Habermasian view and claims that the “self-interest” aiming for self-gain (success) is the main driver of stakeholders’ to engage in the consensus building process. In other words, communicative action cannot be separated from strategic intent. In this respect, Innes’ work has become more influential in the field (see, for example, Innes, 2004; Booher and Innes, 2002; Innes and Booher, 2000). Based on rational choice arguments – agents mean to achieve maximised output for a given input or minimised input for a given output to achieve her or his ends (see for

example, Buchanan and Tullock, 1967; Olson, 1965; Arrow, 1963; Riker, 1962; Downs, 1957 all of whom are cited in Booher and Innes (2002), Booher and Innes (2002) argued that each stakeholder as a player at the table wants something from one or more of the others. The stakeholders give up nothing they have outside the process unless it benefits them (Innes, 2004). Booher and Innes (2002) further argue that even if some stakeholders are not entirely happy (have lost) in terms of what the consensus building process produces, they may decide not to oppose it as they have made all the effort they could and have got some of the wins they wanted. Thus, the debate is, without acknowledging and allowing stakeholders to open up their self-interest (interdependencies) an authentic dialogue and opportunities for reciprocity will be missed, important information about the problem will not be surfaced, and creative solutions are far less likely to emerge (Booher and Innes, 2002).

Innes from a different viewpoint highlighted the contradiction of Habermasian claim; rejection of strategic intent within CPA whilst at the same time expecting the “truthfulness”, to validate it (*Table 3-1*).

“Stakeholders very rarely participate in collaborative efforts because they are selfless altruists or because they are searching for the common good. Participants become involved because they have learned their interests are interdependent in some way on the actions of others. Otherwise, they would pursue their interests outside the collaborative process. They hope to achieve something together that they cannot achieve alone” (Innes, 2002: 7).

This proposition was also grounded by Ansell and Gash (2008) by conducting a systematic review of a number of studies of collaborative governance (communicative planning) across a range of policy sectors including housing. Based on a number of

studies (Warner, 2006; Roussos and Fawcett, 2000; Weech-Maldonado and Merrill, 2000; Chrislip and Larson, 1994 all of whom are cited in Ansell and Gash, 2008), they agreed that incentives to participate or intermediate outcomes (or otherwise known as small wins or interdependencies) are essential success factors for the effective communicative planning process.

However, this admission further sets the ground for scepticism about communicative planning: accepting that planning decision-making is about the respect of self-interest of stakeholders can create an entirely safe scenario for neo-liberalism to succeed. For instance, counter arguing on Innes' proposition, Purcell (2009: 11) stated that the acceptance of the self-interest concept guarantees that the hegemonic position of capital cannot be significantly challenged, where the business groups need the buy-in of 'disadvantaged and minority stakeholders' in order to legitimate their decisions. Yet, on the contrary, some scholars make use of this proposition to respect the self-interest of stakeholders and to reject the term NIMBYism (not-in-my-back-yard) used conventionally to describe local opposition to new development projects like housing, or in other words politicising participants as good or bad participants (see for example McClymont and O'hare, 2008; Burningham, 2000). Generally, housing studies on NIMBYism were underpinned by the approaches that evaluated the local opposition for new residential development primarily in the light of a neoclassical understanding of housing number delivery in rural areas (for example, Matthews, Bramley and Hastings, 2015; Scally and Tighe, 2015; McClymont and O'hare, 2008), i.e. any local opposition that hampers the new housing output is generally labelled as NIMBYs or selfish participants. But the proposition of legitimising the self-interests of stakeholders, based on the fact that communicative planning is about dealing with different interests, calls for

an open-minded and depoliticised approach to view this local civic engagement in communicative planning.

These debates enrich the ontological perspectives of communicative planning actions, therefore have a particular relevance for the study for the following reasons. This helps the empirical analysis to reflect, how far the housing outcome experience of residents communicated to the planning process that aims to achieve SHA outcomes are true. This shows the possible implications that self-interest has on emotive knowledge production and power relations among stakeholders within the communicative planning process. Furthermore, this is a point of entry to reflect some of the stereotypes built on understanding the actors' values and how those influence over consensus building in planning.

3.4.3. Institutional design

Given the emphasis that CPT is about harnessing all knowledge types and power to be shared in the process, another inquiry that emerged was the mechanism to facilitate such expectations: the institutional design or what Habermas (1984) identified as the *speech situation* (see Section 3.2). This aspect, therefore, explores the structural or institutional capacities of conducting communicative planning. According to Ansell and Gash (2008: 555), the institutional design refers to the basic protocols and ground rules for communicative actions, which are critical for the procedural legitimacy of the collaborative process. Either to progress towards the Habermasian ideal or to reinforce and find ways to modify the ideal, many theorists saw that corresponding institutional design in practice is the ultimate structure that determines the outcomes of communicative planning. *“The collaborative approach to strategic place-making is unlikely to flourish*

without some changes in political culture and institutional design” (Tewdwr-Jones and Allmendinger, 1998: 19). This means that the theory adopts Giddens’ conceptualisation which recognises power as being carried in the policy discourses, institutional practices, structural forms, cultural systems, and social relations which contextualise planning practice (McGuirk, 2001: 3). On this basis, different protocols or institutional audits (Healey, 1996: 22–23) for communicative actions were suggested in the literature, outlining good practices that minimise these (systematic) distortions to let reasoning dominate the deliberate power (Martens, 2001).

Among several good practices, the most fundamental institutional design issue of all has been who should participate in the communicative planning process (Ansell and Gash, 2008). It is more commonly agreed that communicative planning should be inclusive of all stakeholders who are affected by or care about the issue, including potential ‘troublesome’ stakeholders (Chrislip and Larson, 1994, cited in Ansell and Gash, 2008). Here the rationale was that participants should try to achieve that intersubjective understanding which is the crude level of expectation of communicative planning (Purcell, 2009; Day and Gunton, 2003; Lasker and Weiss, 2003; Healey, 2006; Chrislip and Larson, cited in Ansell and Gash, 2008 1994; Gray, 1989). Similarly, the features accepted as “authentic dialogue” included that the setting of the institutional design of the negotiation table should be face-to-face (Ansell and Gash, 2007; Booher. and Innes, 2002; Bentrup, 2001; Healey, 2006; Habermas, 1984), encourage both formal and informal interaction and accept that negotiation is a time-consuming process and thus the process should not be limited to deadlines (Innes, 2004; Healey, 2006). The scholars advocated that in this way it helps to break down the stereotypes and the power of actors in the negotiation process can be largely equalised. Portman (2009) and Habermas (1984) also

insisted that knowledge within communicative actions should flow as a two-way process: while stakeholders are consulted, the process should make information available to all political communities for critical review. A number of authors identified this requirement under different labels. For example, giving “accountability” to the process (Bryson, Crosby and Stone, 2006; Healey, 2006: 289), “transparency” of the design (Imperial, 2005; Day and Gunton, 2003; Tett, Crowther and O’Hara, 2003; Alexander, Comfort and Weiner, 1998) and “instrumental rationality” (Albrechts, 2003). The argument of these studies is that there is a direct positive correlation between governance in institutional design and the trust building and mutual respect aspect among stakeholders in the communicative planning process. The “leadership” factor is also important to guide the process through difficult patches and make the stakeholders engage in the process with good faith and explore opportunities (Bryson and Crosby, 2006; Heikkila and Gerlak, 2005; Imperial, 2005; Murdock, Wiessner and Sexton 2005; Frame, Gunton and Day, 2004; Day and Gunton, 2003; Gilliam et al., 2002; Chrislip and Larson, 1994, cited in Ansell and Gash, 2008). According to Innes (2004: 7), the process and institutional setting for communicative planning should have been designed and organised by the participants themselves – setting the ground rules for behaviour, agenda setting, making decisions and many other topics. As a whole, the idea was that the institutional design should be set up to make the stakeholders feel comfortable and safe in expressing their honest (truthful) views and feelings so that it enables generating deep knowledge outcomes within the communicative planning process (Innes and Booher, 2000).

In this procedural legitimacy, the theory has also cast the normative roles for both planner and planning (see also Sec 2.4.4, Chapter 2). The planner should be a “critical friend” (Forester, 1989a; Healey, 2006; Innes, 1995) whose primary tasks are to deal with

“misinformation”, the source of communicative distortion (McGuirk, 2001), knowledge mediators and brokers, drawing on expert understanding of the procedures, politics, institutions and norms of governance (Healey, 1992b) and to assemble the necessary resources and enable a policy dialogue to develop (Throgmorton, 1996, cited in Tiesdell and Adams, 2004). The observations of the above theorists are that every day planners exercise power through their communications with different stakeholders and these communications are empowering or disempowering the listener, depending on how they conduct their communicative actions (Forester, 1989b).

These institutional design principles altogether set the normative framework to evaluate a particular structured practices of communicative planning (*Figure 3-2*) in the light of its effectiveness in achieving planning concepts such as SHA outcomes. In that respect, it can enrich the literature focusing on evaluating the communicative planning process (eg: Bedford, Clark and Harrison, 2002) in the light of its’ pragmatics to achieve shared meanings among stakeholders to shape a particular planning outcome.

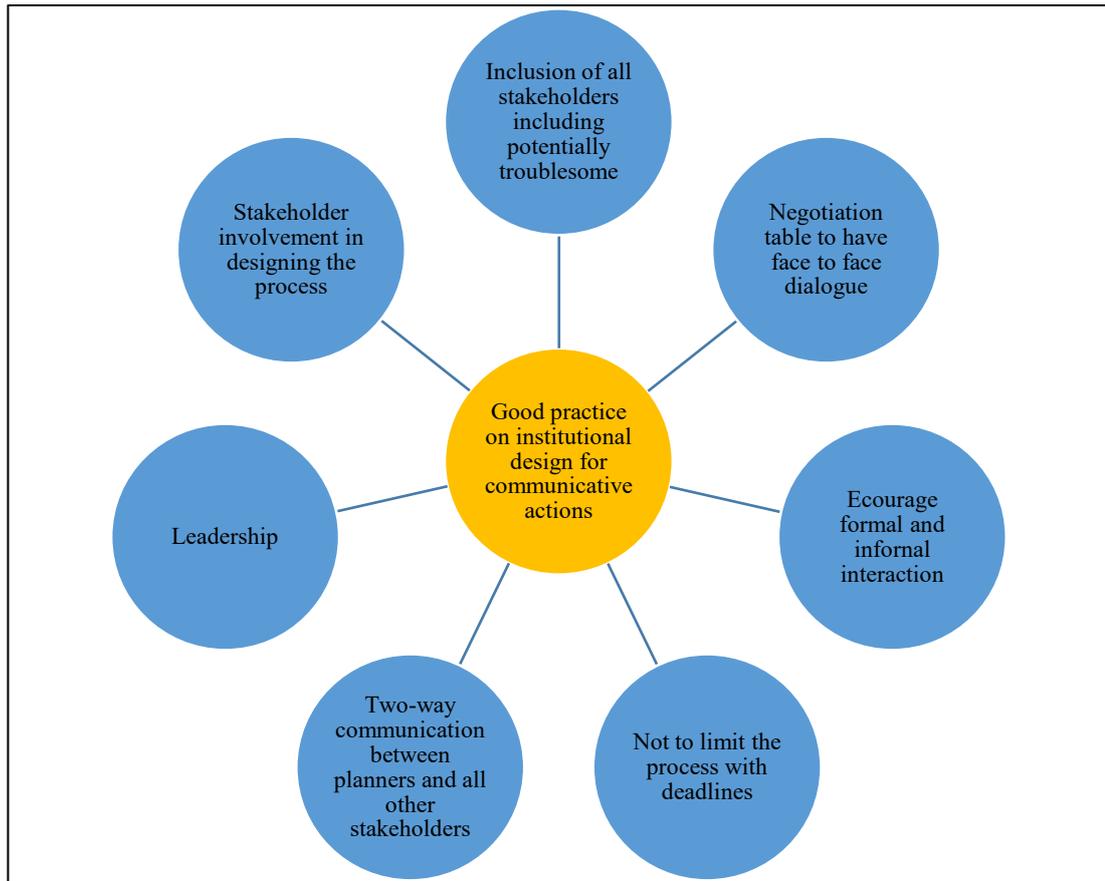


Figure 3-2 Variables to evaluate the institutional design for the communicative planning process

Source: Author

3.4.4. Knowledge

For CPT, having the hegemony in modernist and postmodernist planning philosophy, the harnessing of varying knowledge types is of central relevance for planning to make a positive change (Rydin, 2007). This makes the relationship between planning and knowledge even more explicit. For instance, planning was defined as a link between knowledge and action (Friedmann 1987: 38–44) or a unit of intelligence (Khakee, Barbanente and Borri, 2000). However one of the refinements highlighted in the early CPT literature was that it lacks specificity as to how varying sources of knowledge are to

be dealt with in plan decision-making. Whilst Habermas recognised the validity aspects of different speech acts, his scholarship was insufficient to clarify the normative principles as to how to play with the varied knowledge obtained within the planning process for decision-making. This section, therefore, reflects on the contemporary CPT on knowledge formation within plan decision-making.

First, it is important to clarify what is considered as knowledge. Both CPT and the IA recognise that knowledge is constructed through social processes, where scientific knowledge provides only a part of the basis for good judgement and sound decision-making (Khakee, Barbanente and Borri, 2000: 776; Habermas, 1984). In Foucauldian terms, knowledge is a discourse built through particular systems of rationality (McGuirk, 2001). It is also an entity, to be held and used (Rydin, 2007). Innes (1998) emphasised that “knowledge” from stakeholders (or *information*) has the ability to turn the ‘same old’ planning into a different unit that gives it a different capacity to make decisions for us – generate synergetic capacities to mark innovative solutions.

The contemporary CPT, recasting Habermasian theory, attempts to specify more, including how lay knowledge in local policy practice can be applied to planning decision-making. Among such discourse, this review has recognised two studies: Rydin (2007) and Khakee, Barbanente and Borri, (2000). These are of particular interest in considering their potential relevance to understanding how planning knowledge can be employed to achieve a particular ‘SHA’ outcome.

Khakee, Barbanente and Borri (2000) provided a framework of variables to evaluate (validate) both expert and experiential (lay) knowledge in a communicative planning process. As shown in **Table 3-2**, those variables include *realism, relevance, commitment,*

the level of concretion (i.e. *how substantive is the knowledge? To what extent can it be operationalised?*; *ibid*: 787) and *use of knowledge*. By employing two case studies in which communicative actions were exercised (the Horby plan for housing development (Sweden) and the regeneration of the historical centre and harbour district (Molfetta, Italy), the study demonstrated how the said variables had been used to validate (evaluate) the knowledge inputs. For instance, in the evaluation on the *realism* of knowledge, the study highlighted that in the regeneration project (Molfetta, Italy), the experiential knowledge of the public had been related to knowledge about real life but was often of short-term orientation towards the future planning outcome. The expert knowledge, on the other hand, had spoken about specific town problems but did not consider relevant cultural and organisational obstacles that hampered implementation. The study suggests that the application of these variables within a validation scheme, enables the identification of strengths and weaknesses of knowledge inputs, would guide the application of knowledge types to make planning decisions more effective.

Rydin's (2007) study on communicative planning worked on the classification of knowledge: current state, predicted state, societal processes, planning process, outcome state, planning societal interactions and normative (**Table 3-3**), arguing that this typology would guide the planners as to how to apply them appropriately for planning decision-making. The study explained how each knowledge typology linked to the different state of planning of local environments (See **Table 3-3** and **Figure 3-3**). For instance, if knowledge is classified under "*societal process knowledge*" that can inform the planning of a particular local environment from Current State A to Predicted State B¹. In other words, according to the example in **Table 3-3**, the "*societal process knowledge*" like: "Understanding the dynamics of the housebuilding industry, the housing market and the

allocation of housing to social groups”, is more appropriate to plan ways in which to meet the housing shortage in respective areas (*Figure 3-3*). This framework, therefore, informs knowledge handling (how, why and when to use the expert or lay knowledge), or how planners should apply knowledge to the relevant decision-making.

This framework accordingly can be applied to inform the mechanisms in which the knowledge gained from public engagement exercises can be validated in the line of achieving SHA outcomes. What was notable in both studies above was that despite guidelines provided with respect to variables and knowledge typologies, it still requires subjective (researchers’ or planners’) judgements as to how the analysis of knowledge will be carried out. At the same time, whilst knowledge is central to the CPT discourse, in the body of CPT literature, the knowledge application to plan decision making is still at its’ early stages of discussion. Therefore, as yet, attention has not been directed to investigate the time-space effect on the knowledge inputs of stakeholders. For instance, a new large-scale housing delivery in practice would have different phases of development delivery, where the stake of the existing local residents who might participate at the initial stage would be different to the new resident who might settle at a later phase of development delivery. This is particularly relevant in connection with the Institutional argument in Chapter 2 that proposed to understand the concept of SHA: all communicative planning processes and respective outcomes would not be held as a one-off event but will be a social learning process during which different stakeholders would participate. Reflection on these dynamics of stakeholders and their knowledge inputs is possible, only if the empirical testing considers the time-space effect on CPT, which this study aims to undertake in line with the Institutional arguments.

Table 3-2 Variables to validate expert and experimental knowledge

Evaluation variable	Description
Realism	Does the knowledge express real life, facts, etc. in a true way? Does it omit anything that is objectionable or painful? Does it idealise issues?
Relevance	Is the knowledge related to what is being discussed? Does it supply facts concerning the issues at hand? Is the knowledge pertinent?
Commitment	Per definition, experts do not have the same obligation as do the participants from the various community interests to pay attention to the knowledge-action link. The community participants bind themselves either explicitly or implicitly to what they state during the communicative exercises. This dimension is, nevertheless, relevant because it shows the level of engagement in the issues under consideration.
Level of concreteness	What is the level of abstraction in the knowledge? How substantive is the knowledge? To what extent can it be operationalised?
Use of knowledge	How do those responsible for preparing the development plan react to the expert and experiential knowledge? How do they go about using them? Does their own professional status affect their reception of the two types of knowledge?

Source: Khakee, Barbanente and Borri (2000)

Table 3-3 Classification of knowledge types and relevance to a particular planning outcome

Knowledge typology	Broad typology	Description	Link to Figure 1	Ex 1: Promoting sustainable construction	Ex 2: Responding to the housing market
Current state	Experiential /empirical	Empirical account of current socio-economic and environmental situation	State A	Current construction technology and associated environmental impacts	Indicators of housing supply and demand including price, homelessness, population, etc.
Predicted state	Predictive	Prediction of a future scenario under trend conditions	State B ¹	Trends in technology and industry take-up and predicted environmental impacts	Trends in demographics, housebuilding, prices etc., including local scenarios
Societal processes	Process	Process understanding of social-economic and environmental processes affecting society	Linking A and B ¹	Understanding R & D processes in construction and pressures towards sustainable development in the industry	Understanding the dynamics of the housebuilding industry, the housing market and the allocation of housing to social groups
Planning process	Process	Process understanding of planning	Linking A and B ²	Role of planning in agenda setting: how sustainable R and D can be embedded in planning decision-making	The influence of housing market indicators and other factors in planning decision-making on releasing housing land
Outcome state	Experimental/empirical	Empirical account of outcomes of planning processes in specific societal contexts	State B ³	Monitoring of changes in construction technology	Monitoring housing market indicators in the locality
Planning societal interactions	Process	Process understanding of how planning and societal processes interacted to create outcomes	Linking A and B ³	Understanding of how planning influences construction patterns	Understanding of how planning releases housing land and the impact on prices and meeting housing need in the locality
Normative knowledge	Normative	Understanding of desired goals for planning	State B ²	The vision of potential sustainable construction developments	The vision of how housing need should be met

Source: Adapted from Rydin (2007)

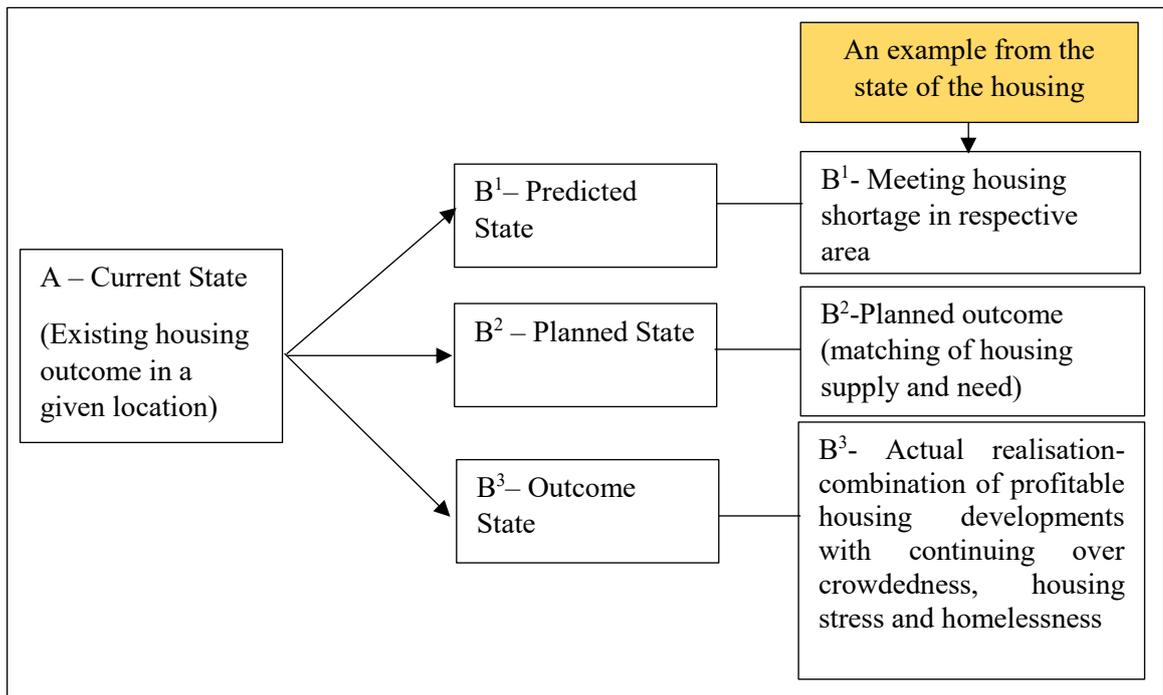


Figure 3-3 Relevance of (emotive) knowledge for the planning

Source: Adapted from Rydin (2007)

3.4.5. Consensus building

Consensus building refers to the decision making aspect of the communicative planning process. Therefore, this section investigates what propositions the consensus building theory, in particular, has offered to develop the understanding of CPT. With respect to communicative planning, consensus building refers to the degree to which stakeholders are willing to commit to a proposal, where a proposal refers to a course of action for attaining the group's declared goals (Briggs, Kolfschoten and Vreede, 2005: 2) such as achieving SHA outcomes. To explain the same idea, Healey (2006) employed the term "strategy making". This concept brings along more closely related terms that included "conflict" and "decision-making". Briggs, Kolfschoten and Vreede's study (2005: 3) attempted to recognise the subtle difference between these. For them, a *conflict* means a

state where one or more stakeholders are unwilling to commit (reciprocity of ideas) to a proposal to which other stakeholders are willing to commit and a *decision* is an act when stakeholders commit to a proposal. Thus, relating to the discussion of this chapter, consensus building (or strategy making as an alternative term) is the process that mobilises reciprocities of frames of references and arenas that stakeholders have acquired, encouraged participants to probe on different meanings (Healey, 2006) and determined the level of commitment towards a particular planning outcome such as achieving SHA outcomes. Therefore, as explained by Innes et al. (1994) this is the stage where discussing and validating knowledge, power-sharing, negotiating and confronting experts with lay participants, assessing findings, creating new ideas and implications of each frame of references would come into consideration.

Some writers on consensus building focused on what constitutes as “meaningful” consensus. More generically a plan that considers all interests are met and has fully explored options and consequences of an action are likely to be having a “meaningful” consensus in terms of being *innovative, just* and *sustainable* (Innes and Booher, 1999). The other normative proponents they claim as traits for “meaningful” consensus are (ibid:420)

- (i) producing a high-quality agreement
- (ii) an end statement
- (iii) compares favourably with other planning methods in terms of costs and benefits
- (iv) produces creative ideas
- (v) results in learning and change in and beyond the group
- (vi) creates social and political capital
- (vii) produces information that stakeholders understand and accept

- (viii) sets in motion a cascade of changes in attitudes, behaviours and actions, spin-off partnerships, and new practices or institutions
- (ix) results in institutions and practices that are flexible and networked, permitting the community to be more creatively responsive to change and conflict.

In addition to above, Innes (2002); Healey (2006); Bickford (1996) claim, the facilitator for consensus building having qualities such as (i) *listening and respect* that maintain one's own perspective as background while focusing on the emerging meaning the group is creating and (ii) *persuasion* in working collaboratively to develop one's own contribution and find the place for it in the total picture are also traits that are important to maintain for "meaningful" consensus.

On the other hand, the scholarly writers who focus on structural or institutional traits that required for "meaningful" consensus claim, a strong correlation exists between the process criteria (institutional design) and the consensus building (the outcome of communicative planning) (see Innes and Booher, 1999; Healey, 2006 for example). In this instance, the consensus building discussion is much emphasised on its mode of governance of emotive knowledge within the institutional design for communicative planning. Healey (2006) in her works for collaborative planning recognises seven modes of governance for planning (**Table 3-4**): The scholars who employ these modes of governance to evaluate the consensus-building processes in planning often contrast them to traditional hierarchical governance modes and the new participatory modes of governance (See, for example, Healey, 2006; Newman, 2001 cited in Brownill, 2009). As oppose to traditional top-down administrative hierarchical modes such as *representative democracy, pluralist democracy, corporatism, clientelism, criteria-driven approach*, Healey recognised that *entrepreneurial consensus* and *inclusionary argumentation*

modes of governance are seen as more responsive, driven by collaborative relationship such as encouraging formal and informal alliances and horizontal network building of stakeholders and set a power shared context for communication, which would be most likely to achieve planning concepts such as SHA outcomes.

The other most important concerns about consensus building were whether a particular consensus reached would be treated as a one-off process which has definitive ends. These reflect, for instance, the critique on CPT that lacks concern on an appeal process after the consensus building (Sec 3.3). The contemporary understanding of consensus building more explicitly recognises that the agreed strategy will always be under pressure when circumstances change, new stakeholders appear and new fractures appear among them (Healey, 2006). This indicates that the “strategy” or “built consensus” should be subject to continual reflexive critique and should alter over time as communities change and networks mature. Also, the decision or the strategy once finalised should also be allowed to appeal and challenge (an arbitration) if a stakeholder feels unfairly treated or if some feel the agreement is breaking (ibid). This, in a different angle, was echoed by Brownill (2009) and stated, when exploring how consensus building applies for different concepts of planning, it is important to highlight the dynamics between competing modes of governance. Following the IA, these thoughts are particularly relevant to this study to argue, how stakeholder frames of references, their power relations in communicative planning actions, the level of emotive knowledge captured in the institutional design and mode of consensus building governance differ between different stages of housing delivery and how those affect the ultimate housing outcome experience to households. It helps to see, how a particular governance mode of communicative planning become a function of housing experiences of households.

In connection to this, Innes and Booher (1999: 413) assert that consensus building does have second and third order effects years after the process is over. They can produce new relationships, new practices, and new ideas better than the current strategy (*Table 3-5*). Not only that but also their work claims that consensus building may be effective even if it has not accomplished its originally aimed targets as this is an evolving process. They view the most important element in this process is to help move a community toward higher levels of social and environmental performance, because its leadership has learned how to work together better and has developed viable, flexible, long-term strategies for action (*ibid*).

These proponents, therefore, clearly reconnect to the study's research gap: the time-space influence of knowledge highlighted in Sec 3.4.4 and the "sustainability" proposition applied to the concept of SHA outcomes which discussed in Chapter 2. It strengthens the study proposition that engaging communities, knowledge inputs and consensus building is to trigger an incremental social learning process. As already implied through the review of CPT literature, a vacuum exists with respect to empirical testing of these proponents and this study would contribute towards reflecting on those in relation to planning for SHA outcome experiences.

Table 3-4: Modes of governing the institutional design

Governance type	Description
Representative democracy	Governments are created on behalf of people and they are elected representatives of the public; the politicians. They oversee the work of officials in the government departments and the task of the politicians are guided by officials.
Pluralist democracy	A society composed of many different interests groups, all competing to define the agenda for the government actions. It produces politics of competing claims and groups are encouraged to articulate their concerns in adversarial forms.
Corporatism	This rejects the pluralist democracy assumption that all groups are relatively equal. It accepts governments may in effect be the creatures of a few powerful interests, e.g. it encourages “spatial alliances” or “growth coalitions” to develop urban regions. The good decision is the one which best achieves the public interest as defined by the corporate alliances.
Clientelism	Politicians and government officials involved in an interactive relationship through social networks. This mode of governance substitutes for the social network of family, friendship, fiefdom and business to allocate and distribute resources.
Criteria-driven approach	Public interests are justified through regulatory criteria and performance targets designed to encourage the efficient achievement of policy objectives. A good decision is one which achieves agreed government objectives as efficiently and as accountable as possible.
Entrepreneurial consensus	Local alliances (partnership building activities) with development agendas and can be considered a form of local corporatism. The objective of the consensus building is horizontal network building. These tend to draw upon knowledge of local business and political elites. The informal nature of such alliances contributes new ideas to the local arenas.
Inclusionary argumentation	This model seeks to pull the relation-building of local entrepreneurial alliances beyond these tendencies to corporatism. It develops a style which could realise the ideas of participatory discursive democracy in a practical way. A good decision is taken in cognisance of the concerns of all members of a political community and that these members have the opportunity to express their views and to challenge the decisions made on their behalf, not just in the ballot box, but through rights and opportunities to challenge policies as they are developed and as they become guides for subsequent action.

Source: adapted from Healey (2006)

Table 3-5 Potential outcomes of consensus building

First order effect	Second order effect	Third order effect
<ul style="list-style-type: none"> • Social capital: trust, relationship • Intellectual capital: mutual understanding, shared problem frames, agreed upon data • Political capital: ability to work together for agreed ends • High-quality agreements • Innovative strategies 	<ul style="list-style-type: none"> • New partnerships • Coordination and joint action • Joint learning extends into the community • Implementation of agreements • Change in practices • Changes in perceptions 	<ul style="list-style-type: none"> • New collaborations • More coevolution, less destructive conflict • Results on the ground: adoption of cities, regions, resources, services • New institutions • New norms and heuristics • New discourses

Source: Innes and Booher (1999)

3.5 Conclusion

Based on the argument made in Chapter 2 that understanding of SHA concept requires IA, therefore, the communicative planning process is the most appropriate mechanism to achieve that, this chapter exercised a review of CPT. Therefore, the focus of this chapter was to identify the key theoretical lenses in which the communicative planning actions for housing developments could be investigated in the light of achieving SHA outcomes. This is by recognising its criticisms and hypothesis - whether consensus building through communicative planning is possible to achieve SHA outcomes.

According to IA, if structures are formed out of agency actions, “knowledge” is an ingredient that can shape such actions (Giddens, 1984). Based on Habermasian communicative rationality, when planning becomes such action to form planning outcome (structures), it should not only be considering the instrumental or scientific

knowledge but also the emotive knowledge (generally of public) that generate out of experiences of delivered planned outcomes. Therefore, in principle, achieving a socially constructed planning concept such as SHA outcomes requires a communicative approach that promotes public participation. However, Habermas' normative mechanisms to implement such participation were subject to several critiques. Such critique labelled the Habermasian mechanism to participate as the "communicative ideal" which has not given due consideration to the real world practical context of power relations of actors.

The Habermas' advocacy on power within CPA –consensus building should be undertaken in power neutral setting was central to the critiques aroused against his rationality for communication. His stance on power was seen as a lofty ideal of consensus building free of constraints. The critiques argued that in the neo-liberalised setting, large corporations have the ability to exert their agency within the planning process in a way it could suppress the voices of the public. On the other hand, by broadening the participation from citizens to all stakeholders, the critiques argued that Habermas' rationality for communicative planning could become a hypocrisy and a tyranny on its own by supporting neo-liberalism rather than a mechanism to address its' market failures.

Employing the Foucauldian perspective that power is everywhere and unavoidable, the later scholars suggested, instead of trying to avoid, power within the communicative planning process needs to be acknowledged. In this way, it opened up avenues to devise strategies to deal with it. Power need not always be seen with negativities but can also be utilized as a modality of change. The contemporary thinkers suggest the way to deal with power inequality among actors is empowering the less powerful actors (i.e power-sharing) such as public to neutralise the power of large corporations. For this, network power in which the actors could build through their mutual relationships and shared

visions were advocated as the most appropriate strategies under the postmodern context. This study aims to take this proponent forward and investigate, where does power exist within the planning process of a chosen housing delivery and can the power relations of actors be mobilised to generate innovative solutions and synergies to achieve SHA outcomes.

Habermas framing the purpose of communicative planning as “build understanding and not the success through strategic action”, was also seen impractical by the contemporary CPT thinkers. The argument posited was, such actions of communicative planning will not produce authentic or true dialogue about stakeholder values, because the stakeholders will not come into the CPA process for altruistic reasons. The contemporary claim was that the stakeholders are often driven by their motivations to receive benefits or solve problems. In this way, communicative planning can reach to its roots that it is about dealing with reciprocity of values among actors and not to stereotype any opposing values of agents as NIMBYs etc. As shown in the analysis of the study, what needs to be revealed is how far this strategic intent of actors (in association with power relations) would influence the legitimacy of emotive knowledge generation for a particular planned outcome.

The scientism on communicative rationality was also posited in terms of knowledge production and whether “meaningful” consensus building is possible via communicative planning. For example, there had been arguments, whether communicative planning what Habermas suggested would have the true ability to reach innovative solutions as consensus building or whether it would simply pick the common denominator produced by the powerful members in the process. These revisited the Habermas’ scholarship and argued that communicative planning should explicitly acknowledge that the losers of the

process to be given an opportunity to challenge the decisions made and a particular consensus built should not be treated as a definitive end. In addition, the contemporary thinkers also acknowledge that “meaningful” consensus building requires the (emotive) knowledge generated in the process be validated (in terms of its use, level of concreteness, commitment, relevance and truthfulness) prior to those being applied. Similarly, the later proponents to communicative planning suggested, in association with power relations, the principles in which the institutional design set up and the mode of governance in capturing the emotive knowledge for plan decision making are significant factors that determine the “meaningful” consensus building.

These challenges and the proponents posited, therefore, require an empirical testing to explore as to what extent the communicative planning have the possibility to achieve SHA outcomes. The challenges to communicative planning that stem from “power and governance of institutional design” and “self-interest” of the agency are to be acknowledged and dealt with. For these, the above-discussed proponents are of particular relevance to this study in terms of following aspects. First, to showcase, to what extent communicative planning produces emotive knowledge under certain power relations of actors. Secondly to investigate, how institutional design and governance modes for communicative planning treat such emotive knowledge as inputs for plan decision making to form housing outcomes that match with the shared ‘SHA’ meanings of stakeholders. Finally to demonstrate, how such emotive knowledge and consensus built for SHA housing outcomes being contested over time-space, therefore, to argue the need for communicative planning to be an ongoing process. This is to confirm the study proposition that achieving SHA outcome is an incremental process by building new relationships, new practices, and new ideas better through communicative planning.

CHAPTER FOUR

RESEARCH METHODOLOGY

4.1 Introduction

The broad aim of this research is to explore the potential of the Institutional Approach in understanding the concept of Sustainable Housing Affordability (SHA) in the 21st-century and in contributing to the achievement of SHA outcomes in England through communicative planning. How Communicative Planning can be a means to achieve that in practice requires an understanding of the agency, power and structuring of sustainable and affordable housing outcomes in a relational context, this chapter, therefore, discusses the research methods employed in achieving these study aims. Accordingly, the chapter is structured in three parts: the first section reiterates the research questions and objectives that aim to answer the identified research gaps; the second section deliberates on the research design of the study and includes (i) the research philosophy in which the study is based on, (ii) research strategy, (iii) research approach, (iv) research instruments and ethical considerations, and (v) the analytical framework. The final section reflects on the researcher's connection to the research when employing the above methods.

4.2 Research Aims and Objectives

The general aim of the study is guided by three research questions and three respective research objectives (*Figure 4-1*). The aim of these questions is to provide a definitional enhancement to the concept of SHA and an enhancement to the Communicative Planning

Theory (CPT) in the context of new housing built for markets where new communities do not exist at the planning stage of building projects.

The first research question looks at what the concept of SHA means to residents and how other key actors have framed their understanding of sustainable and affordable housing outcomes when delivering housing. The second and the third research questions respectively focus on how different resident cohorts connect their interests with communicative planning actions (CPA) and how those ultimately be governed to shape a particular housing environment together with different framed interests of other actors in the housing delivery process. These will investigate the relevant theoretical lenses of CPT such as power, legitimacy, self-interests (motivation), knowledge generation and consensus building geared towards forming housing experiences.

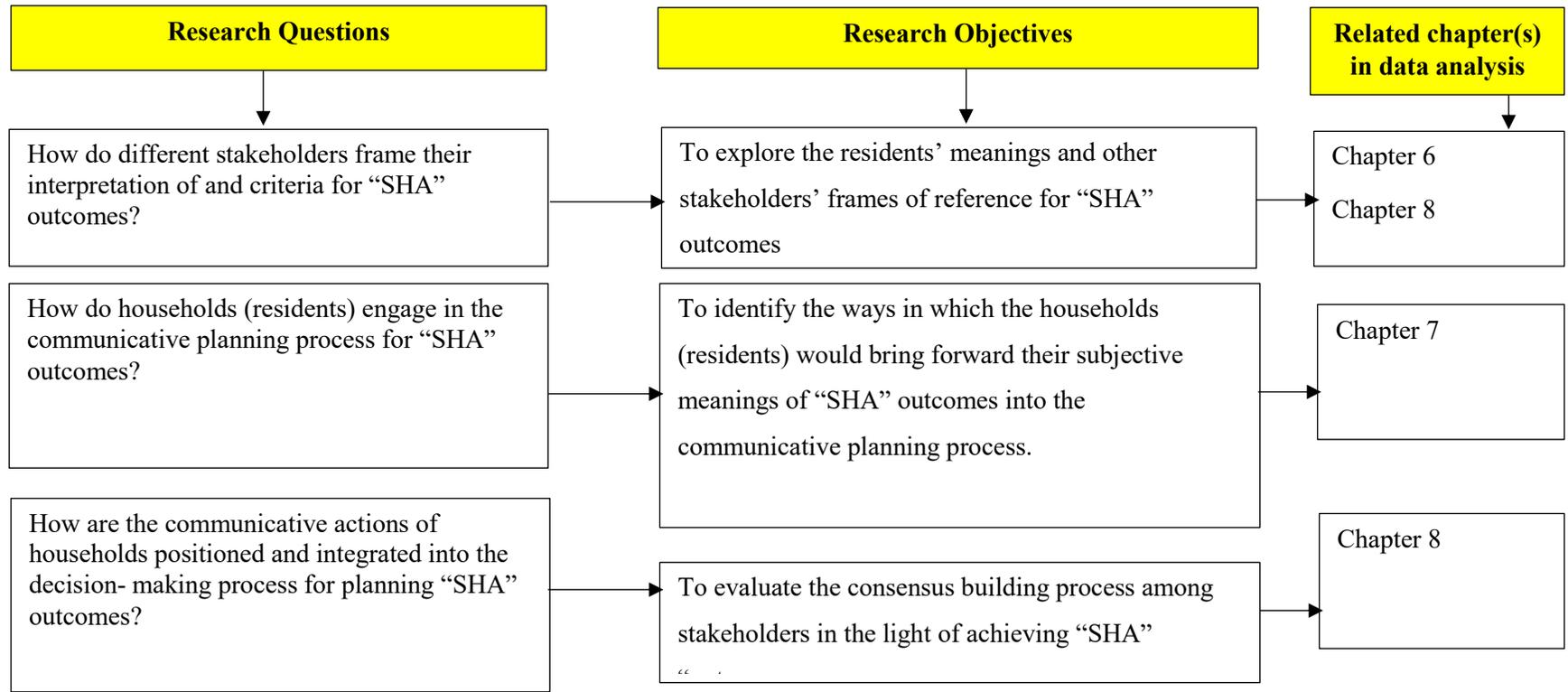


Figure 4-1 Research questions, objectives and related empirical chapters

Source: Author

4.3 Research Design

The research design represents a structure that guides the execution of a research method and the analysis of the subsequent data (Bryman, 2015: 45). Addressing research gaps for this study has entailed working within a challenging set of contexts. The realities of working within a Communicative Planning framework in a newly built estate mean that the only way to frame the research is to access information and work with the early pioneering residents engaged in a dialogue with the relevant planning authority and key stakeholders. Another important challenge is to grasp the temporal effects on residents' perception of sustainable and affordable housing outcomes. In this case, the researcher has to make sure the research respondents represent different entry points to the housing settlement. Furthermore, answering the research gaps, aiming for a theoretical extension to CPT and novel ways of understanding and developing the concept of SHA, the study should aim for a grounded theory method for data analysis – generating theory out of research data (Bryman, 2012: 712). The research design is like a road map for answering the research questions; as a 'blueprint' it is "the logical sequence that connects the empirical data to a study's initial research questions, and ultimately, to its conclusions" (Yin, 2009: 26). After reviewing the methodologies applied in both housing and urban planning research, the framework decided upon for this study is shown in *Figure 4-2*. The following description unpacks each of these components in detail by rationalising that choice.



Figure 4-2 Overview of the research framework of the study

Source: Author

4.3.1 Research philosophy

In the debate about how social research should study the social world, the epistemological consideration apprehends what is (or should be) regarded as acceptable knowledge in a discipline (Bryman, 2015: 27). Considering the philosophical propositions of the research and the challenges to data collection, this study positioned the philosophical stance of the research design within pragmatism. Pragmatism is an epistemology that combines both

positivism and interpretivism (Goldberg and Henderson, 2006; Weber, 1947). Positivism is a normative epistemological position advocating that the social world can be studied value-free according to the principles of the natural sciences. Conversely, the interpretivism stance arises from the view that there are differences between people and the objects of study in the natural sciences and that social scientists need to grasp the subjective meaning of social action (Bryman, 2015: 27–30). The hallmark of pragmatic philosophy is the tyranny of “method” – the epistemological over the practical, the conceptual over the empirical (Bernstein, 1983).

“[In] any study, there are only bits and pieces that can be legitimated on ‘scientific’ grounds. The bulk comes from common sense, from prior experience, from the logic inherent in the problem definition or the problem space” (Huberman, 1987: 12).

To answer the inquiries of this study, as agreed in the literature review in Chapters 2 and 3, this study uses an Institutional Approach to conceptualise the concept of SHA. For this, the thesis requires an in-depth data collection about the subjective meanings of sustainable and affordable housing and how these interact over time amongst the varying actors who enter the housing process at different entry points. Their consensus building process through communicative planning and the grounded theory method for a rigorous inductive analysis of those data is used to develop the SHA concept. To gain greater validity and deeper understanding of the research problem in the face of the above challenges, there will be a triangulation of quantitative questionnaire survey data with qualitative data to provide explanations of human and housing market behaviour.

The ontology of a study, on the other hand, is the philosophical consideration that questions whether the social entities considered to be social constructions

(constructionism) or the objective entities (objectivism) having a reality external to social actors (Bryman, 2015). The study embraces the IA underpinned by Giddens' structuration theory and thereby supports the principle that the structural properties of social systems do not exist outside of an action (Giddens, 1984). Structural properties such as "housing markets" and "communities" as well as "sustainability" and "affordability" are socially constructed and must be understood as such if the concept of SHA is to be advanced. Thus the ontological consideration of the study is more closely related to constructionism than objectivism.

4.3.2 Mixed method research strategy

On account of embracing the epistemological stance of pragmatism and the ontological stance of constructionism, the study adopts a mixed method strategy. A mixed method approach is the type of research that combines elements of both qualitative and quantitative research strategy (e.g. use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques) for the broad purposes of breadth and depth of understanding and corroboration (Johnson, Onwuegbuzie and Turner, 2007: 123). Despite purists having argued that the pragmatism driven qualitative and quantitative mix is incompatible (see for example, Maxwell and Delancy, 2004; Schwandt, 2000; Schrag, 1992; Guba, 1987) many contemporary writers (see for example, Bryman, 2015; Flick, 2009; Kelle and Erzberger, 2004; Johnson and Onwuegbuzie, 2004; Howe, 1988) are of the view that the combination of both qualitative and quantitative methods is possible. In fact, mixed method research is becoming increasingly articulated in research practice, especially in the approach of case study research design, and has been recognised as the

third major research approach or research paradigm along with qualitative research and quantitative research (Johnson and Onwuegbuzie, 2007).

As indicated under the research philosophy (Sec 4.3.1), the study intends to employ data from in-depth interviews and social media relevant to different stakeholders attached to the selected housing projects, review documents and observations that are qualitative in nature. These will then be triangulated with quantitative data collected through a questionnaire survey and other secondary data sources such as housing market data (Sec 4.3.4). The mixed method strategies are advantageous for the research in terms of data triangulation, as the data collected will be complementary informing one method by another, initiating new modes of thinking and expansion of inquiry (Greene, Caracelli and Graham, 1989; Rossman and Wilson, 1985).

However, the study also has paid attention to the limitations of the mixed method approach, as it is difficult for a single researcher to carry out mixed research due to time constraints in learning about multiple methods (Johnson and Onwuegbuzie, 2004: 21). Therefore among different domain levels of the mixed method strategy suggested by Johnson and Onwuegbuzie (2004), this study had been positioned within the qualitative domain known as QUAL+quan (concurrent) research (*Figure 4-3*). The qualitative dominant research is the type of mixed research in which one relies on a qualitative view of the research process, while concurrently recognising that the addition of quantitative data and approaches are likely to benefit the research project (Johnson and Onwuegbuzie, 2007, 2004). Due to the nature of the study that requires an in-depth *understanding* of actors' meanings, their communicative planning actions, power relations and knowledge production that aims for sustainable and affordable housing outcomes, qualitative data provides greater power to assess motivations and expected outcomes than quantitative

data. Relatively lower emphasis was placed on quantitative data used for the descriptive elements of the research questions such as residents’ choice of housing, perceptions of housing outcomes, their reasons for participating in CPA and so on. Since the quantitative data can be collected from a relatively larger sample than the qualitative data (Patton, 2005; Bryman, 2004) the strategy here was to embed quantitative data in the qualitative analysis to increase the breadth of the study.

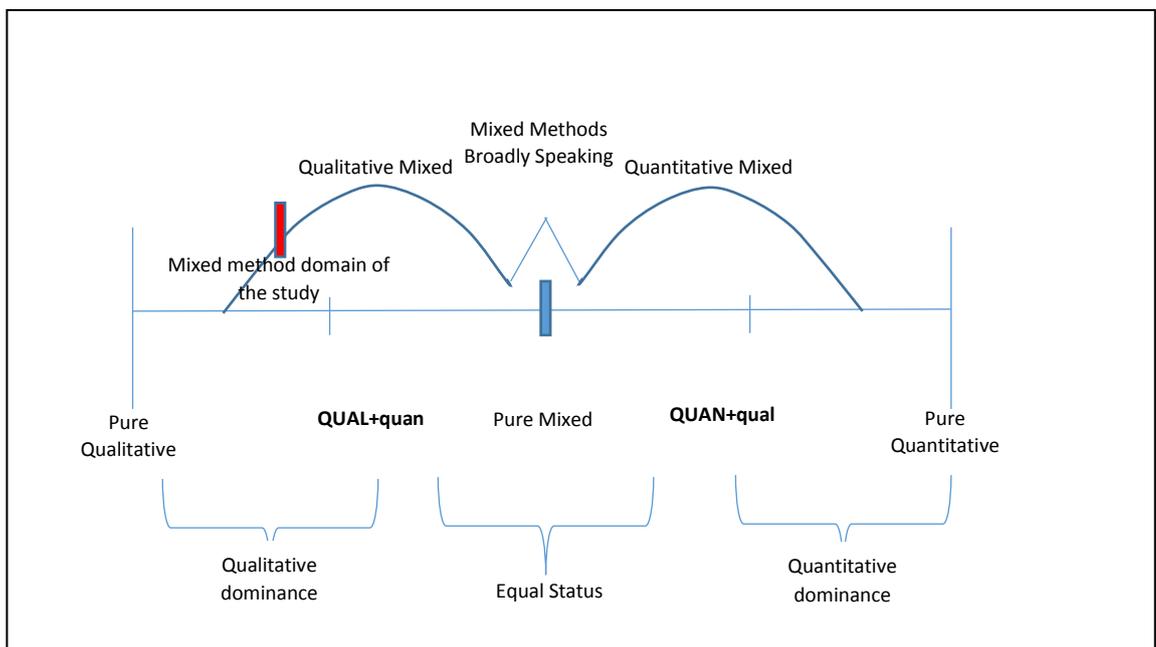


Figure 4-3 Three major research paradigms and subtypes of mixed method research

Source: Adapted from Johnson, Onwuegbuzie and Turner (2007: 124)

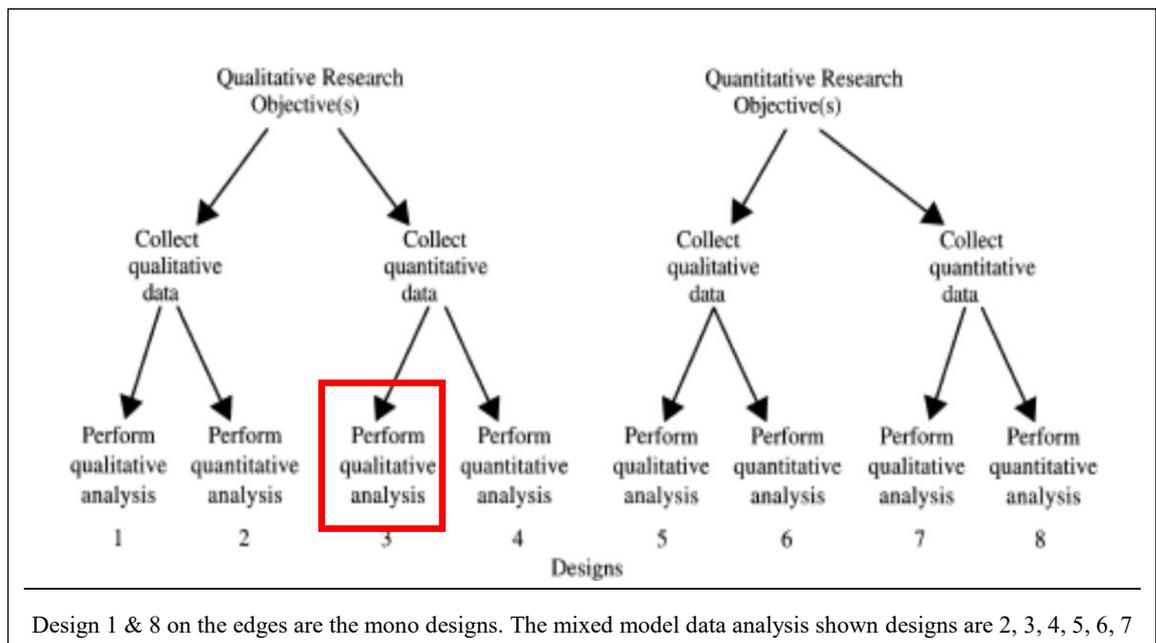


Figure 4-4 Options for mixed method data analysis

Source: Johnson and Onwuegbuzie (2004: 21)

Moreover, with respect to the data analysis process under mixed method strategy (i.e., data reduction, display, transformation, correlation, consolidation, comparison, and integration) (Johnson and Onwuegbuzie, 2007; Onwuegbuzie and Teddlie, 2003), this study has been positioned at “both quantitative and qualitative data performing *qualitative analysis*” (No 3, in **Figure 4-4** and see **Figure 4-5**). As Johnson and Onwuegbuzie (2004) explain, this indicates, whilst qualitative data is analysed qualitatively, the quantitative data is converted into narrative data that can be analysed qualitatively (i.e. *qualitising*; Tashakkori and Teddlie, 1998). A further discussion of this is included in Sec 4.3.5.

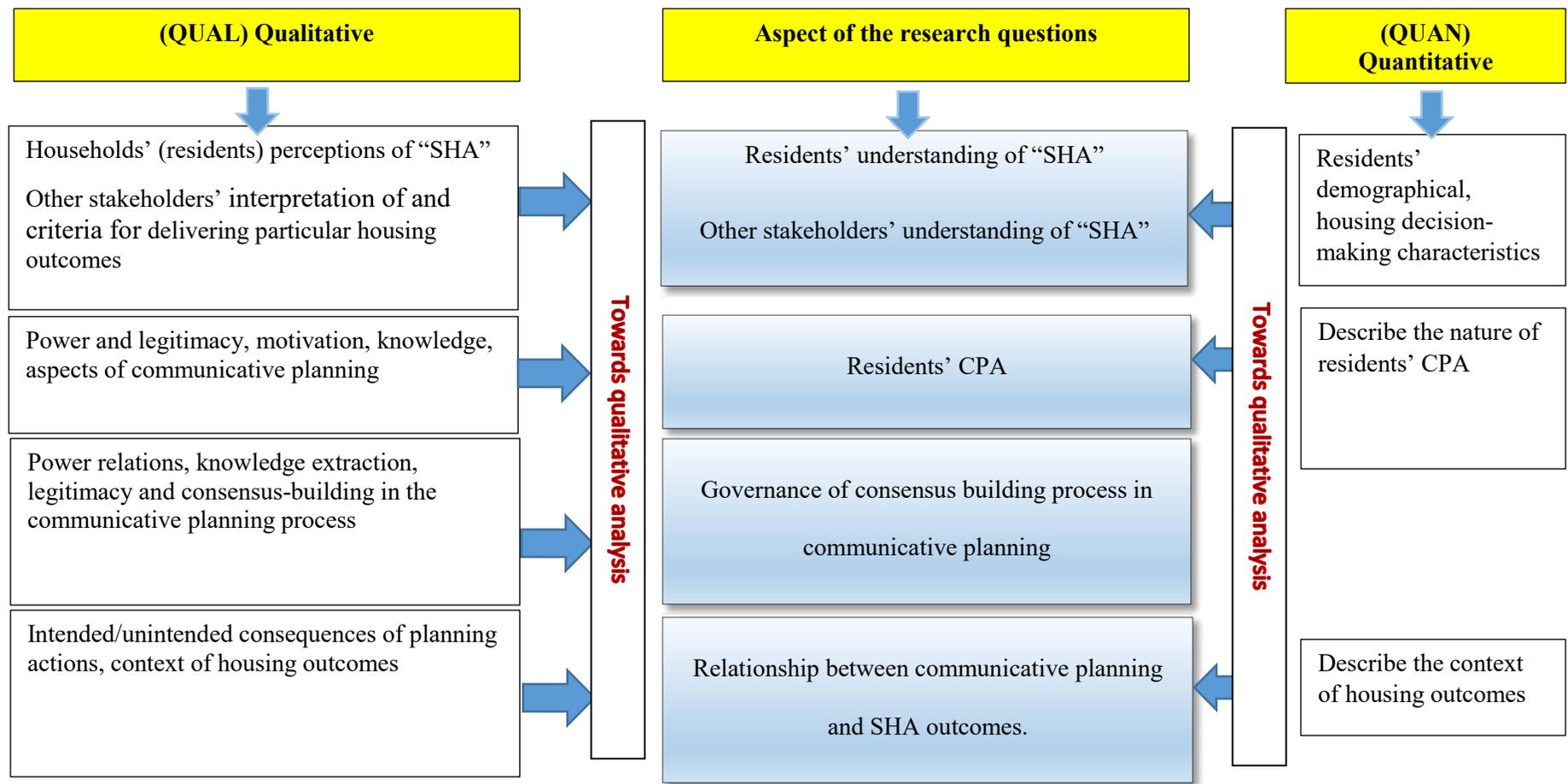


Figure 4-5 “Qualitising” mixed method data analysis strategy of the study

Source: Author

4.3.3. Case study as research design approach

Among five broad research design approaches (experimental design, cross-sectional design, longitudinal design(s), comparative design and case study design) this study has chosen the case study research design. This is by considering the focus and types of the research questions, the philosophical position and the research strategy.

A case study is, “*an empirical inquiry about a contemporary phenomenon, set within its real-world context especially when the boundaries between phenomenon and context are not clearly evident*” (Yin, 2009: 18). It is an approach that leans towards *pragmatism* (Johansson, 2007; Patton, 1990) and compatible with the mixed method strategy (Yin, 2009; Johansson, 2007). Thus it is suitable for research that investigates dynamic housing experiences such as the nexus between sustainable and affordable housing outcomes and how those are formed.

These relationships can be investigated in their contemporary natural context with a multitude of methods (Johansson, 2007; Flyvbjerg, 2006; Stake, 1995). More specifically as Rowley (2002) indicated, this approach is generally suited for “How” and “Why” research questions, as can be seen in this study (see *Figure 4-1*). Henceforth, it can provide a greater insight into a phenomenon such as communicative planning effects on sustainable and affordable housing outcomes that might not be achieved with other approaches. Furthermore, the assessment of communicative planning will also be largely dependent on the extent and the functional characteristics of the given setting. For instance, the city, region or local scale in which the empirical evidence is positioned. The case study as a research approach gives an explicit view of the selected scale and the boundary in which the empirics in sustainable and affordable housing outcomes and communicative planning were tested.

4.3.3.1 *The context of case study selection*

Case studies must be determined by the research purpose, propositions and the context (Rowley, 2002). Bryman (2004) and Otley and Berry (1994) insisted on the *replicability* of the case study in order to supplement the generalisation of the findings. Based upon these considerations, the case designated for this research is chosen from the context of Sustainable Urban Extensions (SUE) and New Settlements (NS) in England. Those replicate the study propositions since those housing developments have been planned with the intention of providing affordable and sustainable housing for the urban middle class in the West Midland region (Chapter 5, Sec 5.3). The planning process of those developments have exercised CPAs (Appendix II) and have been the popular mode of contemporary large-scale private housing delivery mechanism in England (Colenutt and Field, 2013; Falk and Carley, 2012; TCPA, 2007).

The Town and Country Planning Association (TCPA) (2007: 8, 9) defines an NS and SUE respectively as:

“NS is a free-standing settlement, promoted by private and/or public sector interest, where the completed new development – of whatever size – constitutes 50 per cent or more of the total size of a settlement, measured in terms of population/dwellings (10,000-20,000)”

“SUE is the planned expansion of a city or town and can contribute to creating more sustainable patterns of development when located in the right place, with well-planned infrastructure including access to a range of facilities, and when developed at appropriate densities”.

This policy influence of SUEs and NS can be traced back to the tradition of new settlements during the 17th and 18th century in Britain, which emerged from philanthropic and private initiatives (for example, the Garden City movement from the late 19th century) and subsequently developed by the UK government through the New Towns programmes

that started with the *New Towns Acts* of 1946 (Falk and Carley, 2012; TCPA, 2007). However its immediate policy pedigree has been traced back to a report published by the Prince's Foundation in 2000; entitled "Sustainable Urban Extensions: Planned through Design" which promoted an alternative model of community involvement for the planning of housing (Ratcliffe, Stubbs and Shepherd, 2009: 648). As discussed in project evaluation reports such as Falk and Carley (2012) and TCPA (2007) over the past two decades, the planning responses on house building developments in England highlighted the SUE and NS schemes as a popular and an important element of housing supply. Consequently, it has been the cornerstone of housing development in England, especially focusing on the growth at the edge of existing urban conurbations to be planned and managed as "sustainable communities" (Open University, 2012). Approximately 50% of supply in UK growth areas in the period 2001–2021 was to be delivered in SUEs (Colenutt and Field, 2013). "*The focus of the UK planning policy for the last ten years has been on urban extension and new settlements rather than on the new towns*" (Planning Magazine, 2014).

In accordance with the above context, the appropriateness of SUE and (or) NS for selection as a case study is threefold. Firstly, as per the case study definition by Yin (2009: 32), SUE and NS provide a clear recognisable boundary (a unit of analysis). Secondly a SUE or an NS provides a suitable context for the discussion of sustainable and affordable housing outcomes and communicative planning – SUE and NS were the next level succession of New Towns which succeeded from the Garden City movement (SUNN, 2012) and are generally accepted as developments that have high concern for affordability, sustainability and community involvement in housing delivery in the context of greenfield developments. Thirdly, as the most popular mode of housing supply

in England, SUE and NS demonstrate the replicability of its findings that may relate to the understanding of lifestyle, social-spatial relations, and housing pathways connections to form housing outcome structures and the effects of communicative planning to turn such outcomes into their SHA experiences. For these reasons, SUE and NS as case studies are reasonable choices to epitomise the conceptualised model (Chapter 2, *Figure 2-9*) for communicative planning to achieve sustainable and affordable housing outcomes. In that respect, SUE and NS would be descriptive⁶ and explanatory⁷ case studies: *descriptive* with respect to identifying what does ‘SHA’ mean for relevant stakeholders (consumers, developers and policymakers) i.e. the different perceptions of actors and how they negotiate and involve themselves in communicative planning actions; *explanatory* in terms of recognising different causal relationships between household motivations, housing choice actions and housing outcome structures for instances.

4.3.3.2 *Selecting study areas*

Having decided to use SUE and NS as the context of the case study design, the next step was to decide the number of cases to be studied and the specific SUE/NS project(s) to be chosen. In compliance with pragmatism, the successful case studies do not always have formal designs (Yin, 2014). This implies the idea that selecting *N* number of cases and deciding multiple units attached to the case study is not a ‘scientific’ exercise. As the aim of the study is to conduct an intensive/in-depth examination of the pre-conceived conceptual framework a primary single case study design was selected. However, to offset temporal limitations of the selected single case study design (explained further below), for the purpose of data triangulation and to construct validity of descriptive

⁶ An explanatory case study explains how and why some conditions came to be (Yin, 2014: 238).

⁷ A descriptive case study describes a phenomenon (the case) in its real world context (Yin, 2014).

research questions, it was decided to add supplementary units to enrich the single case study design. Therefore, the case study design of this study closely falls into the category of “single case study with embedded units” (*Figure 4-6*). At the same time, with respect to the selection of case study type, the aim is to study a case of best practices (a positive case). An outcome of the positive case can identify causal conditions shared by these cases and using the theory and knowledge of such a positive case can establish relevant negative case(s) (Ragin, 2004: 126). Therefore the case study selection basis was much weighted towards theoretical sampling rather than the statistical sampling, in order to highlight some of the key characteristics (Eisenhardt, 1989) that could contribute to the concept of SHA and the role of communicative planning. Accordingly, the following section explains, among several examples of best practices of SUE and NS, the basis of selection for the primary case study and its embedded unit of analysis.

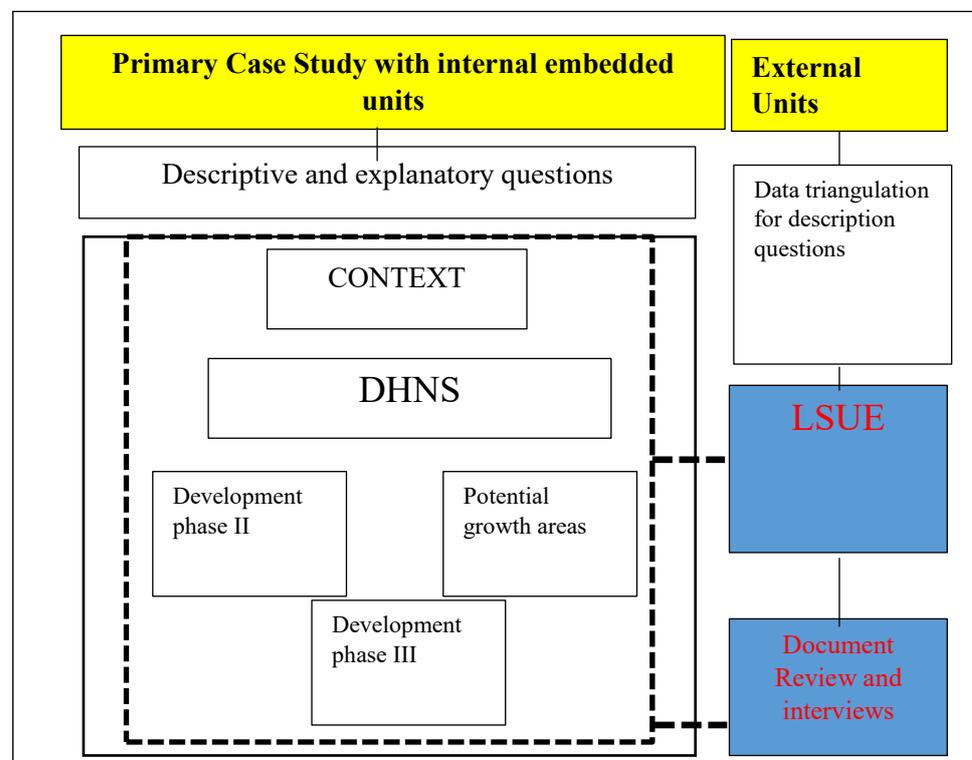


Figure 4-6 Single case study with embedded units

Source: Adapted from COSMOS Corporation (1998); Goodrick (2014)

The primary case study – Dickens Heath New Settlement (DHNS)

To provide a basis for deciding the SUE and NS best practices, the report published by the Town and Country Planning Association, in collaboration with the Department of Communities and Local Government “Best Practice in Urban Extensions and New Settlement” in 2007, was considered. This was the latest available report during the fieldwork period. It recognises six projects that were considered to be best practices of SUE or NS (See Appendix II depicting the summary profile of those projects). Based on this information three criterion were employed to select the primary case study: maturity of the project, the magnitude of the project and its fit with the theoretical proposition of the study:

- The maturity of the project was an important consideration to highlight the relationships between the actors’ interaction, communicative planning and observed housing outcomes.
- Magnitude – the larger the scale the better as it was important to highlight the variations among households, local housing markets and so on.
- Fit with the theoretical proposition of the study - the relevance to respective communicative planning engagements by stakeholders in the planning process of the settlements and the popularity of the project as a sustainable housing development.

In addition, the projects were also assessed by the recommendations of the academics and professionals who had been working with the project and conducting researching on them. This is to ensure the likelihood of successful data collection in terms of time, cost and accessibility. For instance, whilst Dickens Heath, Solihull (NS) and Upton,

Northampton (SUE) had the same suitability level to become the primary case study, a concern was highlighted that Upton may be over-researched with communities feeling they were being treated as guinea pigs. This consultation of academics and professional was a piloting inquiry of case study selection (Yin, 2014). Thereafter, all these criteria were assigned weighted scores from 1–5 (1 = intensively weak suitability as a case study to 5 = very strong suitability as a case study) by the judgement of the researcher (**Table 4-1**). Following these robust steps, Dickens Heath New Settlement (DHNS) was selected as the most appropriate primary case study to conduct the study.

DHNS is located in Solihull West Midlands (**Figure 4-7**) and falls within the strategic housing market area of Greater Birmingham and Solihull Local Enterprise Partnership (GBSLEP). It is considered to be a sustainable housing project, being awarded the Best Mixed-Use Development by the UK property awards in 2009. The project was planned in the early 1990s to accommodate 850 housing units and subsequently was increased to 1,890 housing units by the end of 2016. Having determined the research design to be a single case study with embedded units, the physical boundaries of the DHNS case study are not limited to its phase I development, but also all subsequent DHNS developments in phase II, III and other physically adjoining (potential) growth areas (Chapter 5, **Figure 5-7**). These were considered as the internal embedded units (**Figure 4-6**). Chapter 5 discusses the context of the case study in greater detail.

Table 4-1 Matrix for the case study selection

Case study	Criteria based on the report				Sub total	Criteria	Total points
	Maturity	Magnitude	Applicability			Time, cost, accessibility to data	
			Communicative actions in Planning	Housing considered within the broad framework			
Dickens Heath, Solihull (NS)	5	4	4	3	16	5	21
Upton, Northampton (SUE)	3	5	4	4	16	4	20
New Castle Great Park (SUE)	5	5	2	3	15	1	16
Hampton, Peterborough (SUE)	5	5	3	2	15	3	18
South Woodham Ferrers, Essex (NS)	2	5	2	2	11	1	12
Caterham Barracks, Surrey (SUE)	5	1	5	4	15	1	16

Scale from 1 to 5 (1 = Intensively Weak, 2= Weak, 3 = Fair, 4 = Strong, 5 = Very Strong)

Source: Author

External embedded units – Langley SUE, other document review and interviews

Rather than settling with one unit in the single case study, an explanation can be tested through triangulation with other data sources to check answers to descriptive questions (Goodrick, 2014). Therefore, in addition to the internal embedded units, two external

units were included (i) Langley SUE as a supplementary case study (ii) document review and other interviews external to the primary case study.

Whilst the maturity and completion of the project mattered as key criterion to reflect on the relationship between SHA outcomes and communicative planning, one of the challenges to DHNS case study was the planning context of England during early planning stages (1990-1997) largely differs from that operating at the time in which the research was carried out (2015-2017). This can have implications for the generalisation of the findings. Therefore to minimise the temporal limitations of the DHNS case study and to increase the validity of the case study design, the Langley Sustainable Urban Extension (LSUE) in Birmingham was selected as an external embedded case study. The researcher should keep in mind that the task of the inquiry is to understand the phenomenon fully and completely (Hirschman, 1986: 242) and should enhance the generalisability of the case study by establishing appropriate operational measures for the theoretical concepts being researched (Yin, 2009, 2014; Flyvbjerg, 2006; Riege, 2003).

LSUE, Sutton Coldfield, Birmingham (*Figure 4-7*) is a housing project planned for 6,000 houses in the Birmingham Development Plan (BDP) (2031). The project is nearly five times larger⁸ than the DHNS settlement. It is the most compatible embedded unit for DHNS, for the reasons that it is the only NS/SUE project available in the same West Midlands region and both DHNS and LSUE are located within the same GBSLEP strategic housing market area. Accordingly, the purpose of the LSUE as an embedded unit will allow triangulation of its data with that of DHNS as the context allows this, in order to provide more validated answers for the descriptive research questions of the

⁸ Bigger in terms of number of houses and the land extent of the project.

study. Thus as stated earlier, the purpose is to increase the external validity of the research (*Table 4-2*). Similar to DHNS, the context of LSUE as a case study has been introduced in detail in Chapter 5.

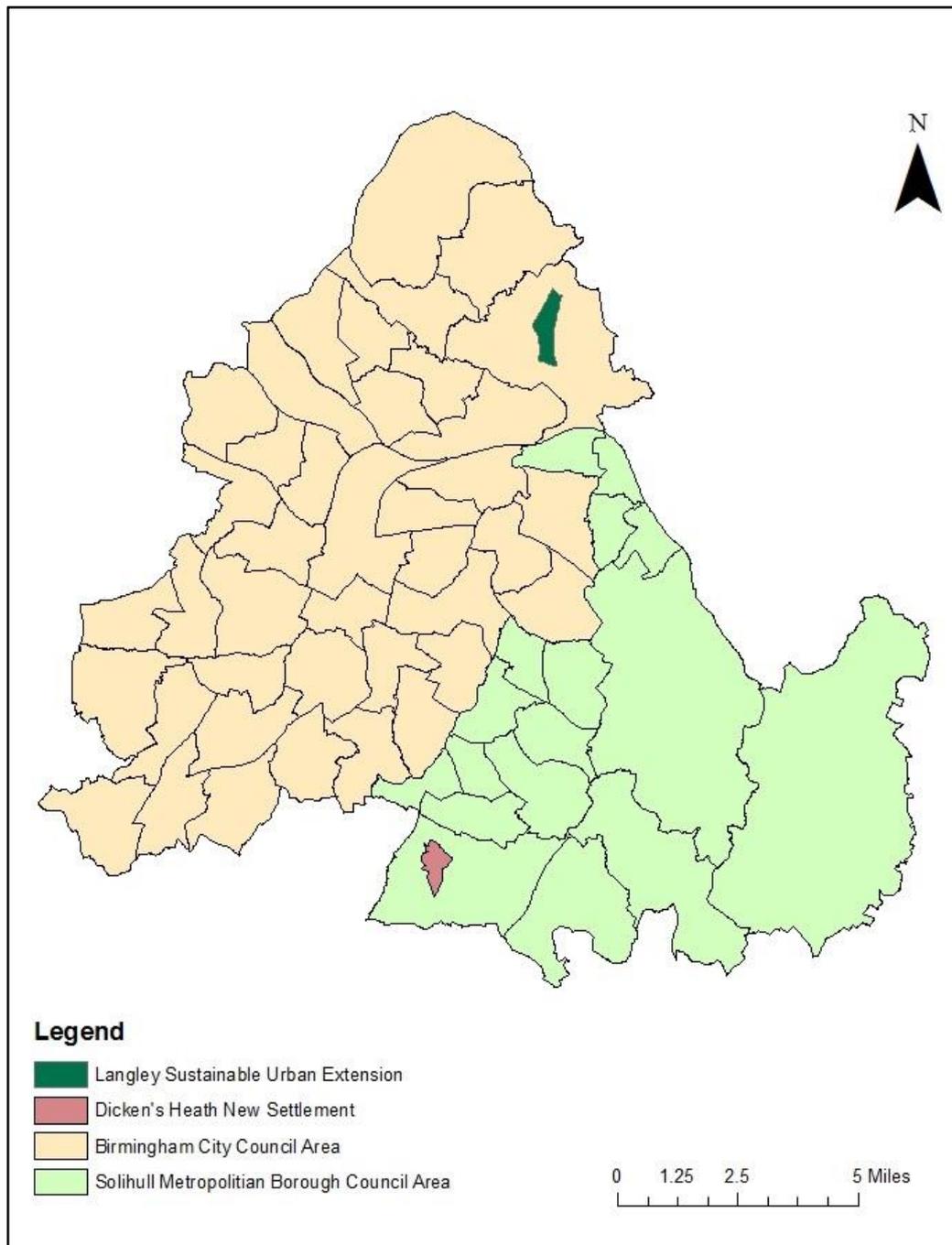


Figure 4-7 Locations of case studies

Source: OS Boundary (2016)

In addition to LSUE as an embedded case study, the primary case study was also augmented with document reviews and interviews that were conducted outside of DHNS (*Figure 4-6*). For example, generic interviews were held with some selected national institutions. This is on the basis that a case study is not an independent unit from the external environments (Smircich and Stubbart, 1985). As argued in Chapter 2, the nexus between sustainable and affordable housing outcomes should be understood in a relational context; thus the study inquiry needs to grasp the complex processes that influence housing outcomes. Therefore it is essential to provide a holistic view of planning implications on sustainable and affordable housing outcomes. As stated by Yin (2014) a case study analysis should reflect all possible rival explanations for the internal and construct validity by minimising subjectivities in the analysis and by gaining the reliability (replicability) of the case study (*Table 4-2*).

4.3.4 Data sources and research instruments

The research instruments of the study included both primary and secondary methods. As noted earlier, one of the main features of case study data collection was having a chain of evidence that supports the triangulation of research instruments (Yin, 2014) to increase the construct validity of the research design for an in-depth understanding of a phenomenon (*Table 4-2*). Accordingly, primary data collection instruments of the study included in-depth interviews, questionnaire survey and field observations, whilst the secondary data sources include document reviews and a survey of online resources and social media.

Table 4-2 Strategies to increase reliability, validity and generalisability of the study

Test	Strategy employed
Construct Validity Research to avoid the subjectivities of investigations	<ul style="list-style-type: none"> • Establish a chain of evidence or multiple sources for data collection • Have key informants review the descriptive aspects of the reports
Internal Validity Relevant for explanatory research – causal relationships E.g. explaining the relationship of X and Y without knowing Z may have actually caused it	<ul style="list-style-type: none"> • Data analysis to consider all rival explanations on the planning concept of SHA and all different planning implication for that
External Validity This concerns the generalisability – analytic generalisability Statistical generalisability	<ul style="list-style-type: none"> • Replication logic for descriptive answers • Case study approach to using theory for analytical generalisation
Reliability Replicability – if later researcher follows the same procedures as described earlier researcher and conducts the same case study later it should get the same results as the former	<ul style="list-style-type: none"> • Employing case study protocols (as revealed in Sec 5.3.3.2) • Develop a case study database

Source: Adapted from Yin (2014); Rowley (2002)

Fieldwork

The fieldwork of the study was conducted at two levels: desk-based and field visits. The desk-based fieldwork spanned from January 2015 to December 2016 and included activities such as:

- (i) Collecting first-hand data about case studies including various published reports by government-commissioned research and think tanks, housing market data and relevant legislation that required to be known prior to the field visit.
- (ii) Retrieving online reports and documents as recommended by some of the interview research respondents.

- (iii) Keeping track of relevant web-based newspapers, social media posts which were relevant to information about the case study areas. This helped to continuously enhance the knowledge about the “field” and the real interests of stakeholders in the respective case study units.

In the meantime, fieldwork through field visits was conducted from March 2015 to November 2015. The purpose of the field visits was to conduct in-depth interviews, questionnaire surveys and observations. Throughout the field visits, field notes were recorded in a research diary to provide a running commentary and reflection on activities on daily basis.

In-depth interviews

An in-depth interview has the advantage of getting more detailed complex information allowing extensive probing in a relaxed atmosphere for both researcher and the respondent (Boyce and Neale, 2006; Stokes and Bergin, 2006; Webb, 1995) and it is one of the main instrument of the research. In-depth interviews were conducted with three respondent cohorts: (i) residents in DHNS and LSUE (ii) professionals (expert) stakeholders such as developers, strategic land promoters, planners, architects etc. directly involving at different phases of DHNS and LSUE development (iii) professional (expert) stakeholders with different national level institutions. As emphasised in Sec 4.3.3.2, the third cohort is an external embedded unit to the primary case study area, to capture the complete picture regarding planning and supporting the maximum possible rival explanations to the research questions (*Table 4-2*). Furthermore, all interviews were held face-to-face and were recorded. The list of the interview respondents is shown in Appendix III and IV.

Even though the interview respondents are classified into three cohorts from the outset, the interests of each actor in the case study varied substantially from one another (Yin, 2009). Therefore only a topic guide (Appendix V and VI – interview guide) was used for the interviews. The interviewees were given the freedom to respond in a narrative style regarding their involvement with housing outcomes, allowing the topics covered in the interviews to move in the direction of the research. Thus, in general, the interviews were conducted in a fluid but a guided manner (Yin, 2014; Rubin and Rubin 2011). The advantage of this approach was that despite the tensions that interviewees usually feel in seeing their speeches are being recorded (Nabeel, 2012), this unstructured setting allowed them to talk freely in a narrative style, setting a platform for a rich dialogue that can be open and frank. The researcher needs to be a good listener (Yin, 2014) and this was practised in all interviews to construct this rich in-depth dialogue to gain access to deeper information.

Interviews with residents

In order to capture the communicative planning engagement of residents during the planning stage of DHNS and thereafter, inquire about the reasons for moving, lifestyle, housing pathway and socio-spatial relations and so on, the study had to recruit residents who had moved to DHNS during different periods of time. For example, *pioneer* residents through to residents who had more recently moved to the area. For this purpose, the study employed a mixture of purposive sampling and snowballing methods. The purposive sampling was to intentionally select respondents (Palys, 2008) and snowballing was a strategy to recruit the participants by making initial contact with a small group of people

who are relevant to the topic and using them to establish contacts with other relevant participants (Bryman, 2012; Patrick, Pruchno and Rose, 1998).

The main access to the DHNS residents was the Dickens Heath Parish Council (DHPC). Meetings with the parish councillors introducing the research and requesting their assistance in identifying pioneering residents were held on 23rd March 2015 and 21st April 2015. One of the advantages of making contact with the parish council was many *pioneer* residents in DHNS were either the parish councillors or closely associated members. Thereafter, on the basis of the snowballing technique, contact with other residents was established who had known about the early stages of DHNS and who moved into DHNS at different stages.

Moreover, participating in parish meetings, yoga classes and coffee mornings held in the parish rooms provided the opportunity to build trust and familiarity with the residents in the area. This helped to recruit residents for formal interviews, as well as provided an opportunity for more informal discussions – listening to their narratives about moving to DHNS, their everyday lifestyles, and issues and perceptions about the housing outcomes in DHNS. Those informal discussions informed the inquiry of the research in terms of their motivations for communicative actions and their perceptions of how sustainable and affordable their housing circumstances changed. Furthermore, being empathetic during those conversations helped to gain access to more formal interviews and to gain access to other methods of data collection such as questionnaire surveying.

Furthermore, the parish council elections were held in May 2015 (during the fieldwork) and the change of office bearers of the DHPC – a different resident group who had been activists within Dickens Heath Resident Action Group (DHRAG) – created an advantage

for the study. It enabled the study to also recruit the resident respondents who were more contemporary activists in DHNS and were not in the former parish councillor favoured “clans”. This enabled the study to have a fair representation of different resident groups in DHNS and have as many voices as possible within the interview data collection (Yin, 2014).

Similar to that of DHNS, the residents interviewed with respect to LSUE were also selected through purposive sampling. Since LSUE was an embedded unit, the number of respondents recruited was limited to the few active members who often become involved in the CPA related to the proposed LSUE.

Altogether, 21 formal resident interviews were conducted in both DHNS and LSUE (Appendix V) each having an interview duration of around two to three hours.

Interviews with other stakeholders (professionals etc.)

As mentioned previously, two types of interviews with professionals were carried out for the study: interviews directly related to the case study area and interviews with professionals at national level agencies.

Similar to that of resident interviews, the primary recruitment strategy for the interviews with professionals was also based on purposive sampling and snowballing techniques. The initial interviews were held with the early planners of DHNS and the project leader of LSUE who had a strong connection with the University of Birmingham. They thereafter acted as the gatekeepers until the study could recruit the first set of other stakeholders. Starting the desk-based fieldwork two months prior to the field visits was also useful in identifying the key actors relevant to the research. Based on this

information some professional actors were recruited through direct emailing. Altogether 34 interviews were conducted that were directly related to both DHNS and LSUE (Appendix III). It covered more than 95% of the stakeholders identified through the desk-based fieldwork. The respondents who could not be interviewed were the stakeholders who requested a financial payment for the interview, or in the instance where the developer had dissolved the company and the persons involved could not be identified. Depending on the stake of each actor, these interviews were conducted in a length of around one to two and a half hours whilst some initial key interviewees were interviewed more than once in order to capture any missing elements which were identified later in the interview learning process and to verify necessary factual matters revealed by other interviewees (see, Appendix III).

In the meantime, four more interviews were held with top-ranking professionals of national level agencies (Appendix III). The recruitment of such interviewees was by direct emails and by the researcher getting to know them via various networking sessions in which those key personnel attended. Unlike previous interviews, these interviews were structured and the time duration of the interview was limited to one hour, except the interview with the President of Royal Town Planning Institute was conducted over four hours, owing to the voluntary availability of the participant.

Questionnaire survey

Survey (interviews) using a structured questionnaire can be designed as a part of case study data collection (Yin, 2014). The questionnaire survey was directed only at the DHNS – the primary case study, since the LSUE project did not have any ‘settled’

communities. The survey was conducted concurrently with resident interviews. Whilst the resident interview is in-depth but with relatively fewer respondents, data collection from the questionnaire survey were aimed to strengthen the findings of the interview data. Since the questionnaire survey was aiming at a relatively larger sample of residents, it provided the ability to generalise the descriptive elements of the research questions – thereby increasing the breadth of the study.

Table 4-3 has summarised the elements of the questionnaire employed in the survey (for the complete questionnaire, please refer to Appendix VII). The questionnaire was designed in both online and hard copy versions and respondents were recruited based on convenience sampling. Several strategies were employed to recruit as many respondents within DHNS. The online survey was published on the website known as *Dickens Heath dotNet* and the DHNS Facebook group of residents. Since the respondents for the online survey were recorded to be low, respondents were also recruited through formal requests to residents at parish meetings (DHPC, 2015), door-to-door visits and distributing hard copies through the parish council members and other resident interview respondents. Altogether, out of 1,672 completed housing units available by 2015, the total questionnaires completed was 280 (i.e a response rate of 16.7%).

Table 4-3 Summary of the questionnaire

Section	Questions	Contents
Background of household and house	Q1–Q14	Age, sex, education, occupation, ethnicity, tenure, household composition, energy performance of the house
Details of previous housing and reasons to move to DHNS	Q15–Q16	Tenure, year of the move, reasons for the move
Satisfaction on present housing outcome in DHNS	Q17 with 28 sub-questions, Q19, 20, 21, Q26, 27	Likert scale questions developed based on housing affordability and sustainability criteria identified through the literature review in Chapter 2 Forced choice questions about housing affordability Open-ended questions on housing affordability and overall housing satisfaction in DHNS
Housing outcome criterion is taken into consideration by the households for the housing choice in DHNS.	Q18 with 19 sub-questions	Likert scale questions developed based on housing affordability and sustainability criteria identified through the literature review in Chapter 2
Household factors (subjectivities) influencing the above housing choice decision-making of the household (Q18)	Q22 with 15 sub-questions	Likert scale questions developed based on household motivation factors for housing choice, identified through the literature review in Chapter 2
Housing and communicative planning	Q23–25	Forced choice and open-ended questions on community participation, reasons and issues

Source: Author

Observation

The fourth method of primary data collection was field observation (**Table 4-4**). Since the case study should take place in the real-world setting, it naturally sets the opportunity for direct observation and brings new dimensions of understanding of a phenomenon (Yin, 2014: 113, 114). Observation cross-checks the manipulative nature of the research respondents in answering the interviews and questionnaire data and captures more

behavioural and habitual aspects of the society (Kitchin and Tate, 2013). Prior to the commencement of the interviews and questionnaire survey, the fieldwork of the study started with a visit to the DHNS and LSUE sites guided by the planners who had been instrumental in the development of both sites. It developed the researcher's sense of place for the research and helped to contextualise the sites in order to conduct the interviews and approach the respondents for the questionnaire survey. All observations were recorded with field notes and photographs. All field notes followed the format of the date, time, location, observation and short reflection (Mulhall, 2003).

Observation of DHNS continued for a prolonged period compared to LSUE because it is more mature. In DHNS observations were conducted in a less structured, unscheduled manner (Yin, 2014) but which captured the everyday use, emotive expressions on space by residents and the changes to the development status of the area. Observations on the use of space covered weekdays and weekends, peak hours and off-peak hours of commuting, school term times and holiday times. These were useful to grasp the full picture regarding the status of the housing outcomes in DHNS. In addition, participant observations were made at the parish council (monthly) meetings to observe how residents take part in communicative actions in shaping their housing outcomes.

The observation period with respect to LSUE was relatively short. The entire proposed site was observed at the public consultation event, held to consider the modified sustainability appraisal for the LSUE, at Sutton Coldfield Library on 12th October 2015. Despite being of short duration the observations were helpful in deepening the understanding of CPA of residents and how planners responded to them in the actual setting and to support the validity and reliability of the study (*Table 4-2*). The visit to (the proposed) LSUE site and observation of the surrounding area more coincidentally provided

the opportunity to validate some of the factual information provided by the resident respondents. For example, even though some resident respondents stated their houses were located away from the proposed LSUE site, the actual locations of the properties involved were directly opposite. In this way, it was possible to recognise the relationships between existing housing locations and the resident's participation in CPA.

Table 4-4 Researcher's observation

Date and time of visit	Purpose
DHNS	
09/03/2015 (Weekday 10 am to 2 pm)	Reconnaissance survey of DHNS with an early planner to familiarise the area
12/03/2015 (Weekday 10 am to 3 pm)	Further understanding of the area whilst commencing the door-to-door questionnaire survey
25/03/2015 (Weekday 10 am to 12 noon)	Walk around the DHNS central area with parish councillors whilst they describing some prevailing issues
07/04/2015 (Weekend 10 am to 2 pm)	Observing the new housing development sites and users of the DHNS centre
16/04/2015 (Weekday 12 noon to 8 pm)	Observing the public use of DHNS waterfront area and housing completed after 2014
21/04/2015 (Weekday 5 pm to 7 pm)	Observation and meeting residents at the DHNS parish meeting (public participation exercises)
15/06/2015 (Weekday 5 pm to 7 pm)	Observation and meeting residents at the Dickens Heath Resident Action Group monthly meeting
16/06/2015 (5 pm to 8 pm)	Observation and meeting residents at the DHNS parish meeting (public participation exercises)
12/07/2015 (Weekend and summer holiday 2 pm to -5 pm)	Observing the general status of DHNS
21/07/2015 (Weekday and summer holiday 5 pm to 8 pm)	Observation and meeting residents at the DHNS parish meeting (public participation exercises)
LSUE	
09/09/2015 (Weekday 12 noon to 2 pm)	Drive around LUSE site with the LSUE Project leader
22/09/2015 (Weekday 10 am to 12 noon)	Driving and walking around the Springfield Road, Webster Way, A38, Brookhus Farm Road, public footpaths inside the LSUE site etc.
22/09/2015 (Weekday 1 pm to 4 pm)	Public examination for Sustainability Appraisal for BDP2031

Source: Author

Document Review

The document review was one of the two secondary data sources for the study. A document review is relevant to every case study topic (Yin, 2014: 105), acts as a source of evidence to corroborate evidence from other sources such as interview data (Yin, 2009; Bowen, 2009; Denzin, 1970) and facilitates access to historical data about the planning aspects of the case study.

Documents collected included local plan related documents such as sustainability appraisals, green belt appraisal, community involvement statements and other supplementary planning documents such as the master plan of DHNS, various public examination hearing statements of both DHNS and LSUE and planning inspector reports. Furthermore, news bulletins and local newspapers of DHNS, Solihull and Sutton Coldfield, local maps, public consultation comments in DHNS phase II, III and LSUE, relevant planning applications, and various other consultation statements by developers were also included in the document review; other national and regional level planning documents (e.g. National Policy Planning Framework, West Midlands Regional Spatial Strategy and so on) were also taken into consideration to understand the complete planning implications on the SHA outcomes for the case study areas (*Figure 4-6*).

In general, access to documents was not problematic. While many documents were in the public domain, hard copies of the historical documents were accessed via planners involved in the early stage of work on DHNS. The only few instances where key documents were not accessible were when these had not been published in the public domain, for example, the draft master plan of LSUE. Therefore, despite seeing them physically, the researcher was not allowed to take photocopies and photographs.

Social media

Social media (Facebook) was the second and last secondary data source for the study. Internet research provides new vantage points to collect data on both conventional behaviour and residents' views and new kinds of behaviour (Singer and Couper, 2011; Walther, 2002) in a completely natural setting. This method of data collection via Facebook groups of DHNS and LSUE was selected based on the suggestion made by DHNS parish councillors and the residents themselves in those respective communities. The DHNS Facebook group was a closed group having over 1,000 members whilst the particular Facebook group of LSUE (Project Fields) was a public group with nearly 600 members. With the prior consent of the group administrators, ethical approval for internet research was sought by the University of Birmingham detailing the protocols that the researcher intended to follow (Sec 4.3.4.1). The posts and conversations by residents on Facebook groups were observed on a regular basis. This was an alternative way of observing the field. It provided an opportunity for a rich source data for triangulation and most importantly as a mode of validation for data collected from other sources (*Table 4-2*). Being connected to those Facebook groups helped to obtain all updates of the settlements, events, occurrences, and everyday problems more promptly and efficiently which otherwise the researcher could not have access to.

4.3.4.1 Ethical considerations

The discussion about ethics in social research concerns the role of values in the research process (Bryman, 2015). Research ethics is concerned with four principles which safeguard participants in the following ways: (i) prevent harm to participants (ii) prevent

lack of informed consent (iii) avoid invasion of privacy and (iv) prevent deception (Diener and Crandall 1978, cited in Brynman, 2015). Obtaining research approval from the University of Birmingham Ethical Review Board considered all of these four principles. This ethical approval gave the study the official status to conduct the fieldwork and gain access to respondents. Ethical approval for employing social media (Facebook) as a data collection mode was obtained with an addendum to the previous approval after a substantial literature review was followed with regard to the latest developments in ethics in internet research.

Due to the lower risk nature of the study, no potential physical harm to any research participants or the researcher was anticipated. Nevertheless, all safety measures advised by the University research protocols were followed when it came to deciding interview locations, door-to-door questionnaire survey conduct etc. However, any potential harm to participants' social conditions and development (Diener and Crandall, 1978) were considered despite such possibilities being minimal. Such considerations were often linked with the privacy factor of the respondent as discussed below.

All participation in the research was voluntary. When invited to participate, all participants were debriefed about the aims and scope of the research. Upon receiving an agreement to participate, a copy of the consent form (Appendix I) for the interview was sent to the participant via email and they were also given a hard copy at the interview, which they were allowed to read prior to all interviews. With respect to social media usage, entrance into groups by the researcher was through the permission of the group administrator. The group administrator was sent a copy of the ethical approval, the aim, scope of the study and the purpose of the usage of any data collected. Furthermore, the observation of the public consultation events (in the case of LSUE) also followed the

same principles – information was provided to the LSUE project leader, planners in the location, and each and every public member who had a conversation with the planning officer. Thus no deception existed within the data collection process.

Considering the next ethical principle of anonymity (privacy), all resident respondents (including social media sources) were given pseudonym names since their personal identity has no relevance to the study. With regard to the professional (expert) respondents, whilst some agreed to explicitly state their individual professional identities, a few of them requested anonymity. In such an event, applying the same strategy, pseudonym names were employed for both persons preventing recognition or association with a given statement. All data obtained was used only for this study and were stored as password protected documents.

4.3.5 Data analysis

The final stage is making sense of all data for the purpose of analysis and interpretation. As indicated in Sec 4.3.2 the study uses the mixed method data analysis (both qualitative and quantitative data). This indicates the data analysis will take an interpretivist stance, despite data collection being quantitative or qualitative (Bryman, 2015). Unlike the statistical analysis, qualitative data analysis is pragmatic and hands-on with few fixed formulas (Bryman, 2015; Yin, 2014; Silverman, 2011, Dey, 2003). Thus much depends on a researcher's own style of rigorous empirical thinking, along with the sufficient presentation of evidence and careful consideration of alternative interpretations (Bryman, 2015). However, all writers emphasise the importance for the researcher to be explicit on the employed analytical framework. In view of the above, *Figure 4-8* elaborates on the

analytical framework employed by the study for the data analysis and generation of theory. It is noteworthy that the each of the steps indicated was not linear, instead, they were conducted in an interactive manner between deductive and inductive approaches.

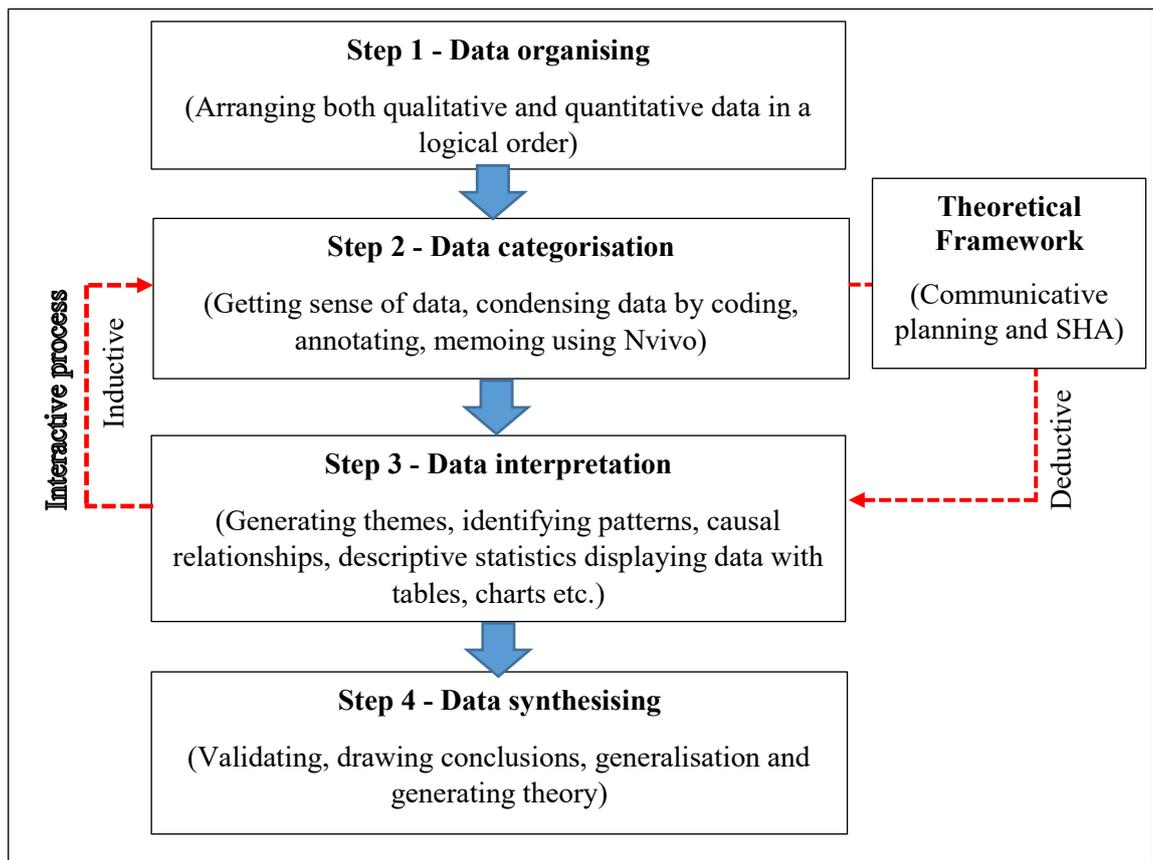


Figure 4-8 Data analysis framework of the study

Source: Author

Organising data commenced concurrently with data collection. Different folders were created for each of the data collection modes. Interviews were transcribed and stored in the respective folders along with the audio files. After transcribing, a copy of the transcription was sent to the key research respondents and respondents who requested a copy of the transcription to ensure the accuracy (internal validity) of the contents (*Table*

4-2). All qualitative data (interviews, documents, observation notes, Facebook notes and open-ended questions of the questionnaire survey) were exported to the Nvivo project created for the study. The rest of the questionnaire data that was of quantitative nature was exported to an SPSS file, whilst data cleaning was undertaken thereafter.

Turning data into categories and interpretation of them was an interactive process that involved seeing data in relation to (i) the research questions of the study (ii) theoretical propositions on the nexus between sustainable and affordable housing outcomes and communicative planning (iii) theories on case study approach and mixed methods and (iv) chosen data analysis strategy and techniques (*Figure 4-8* and *Figure 4-10*). Having framed the data analysis based on a thematic analysis within the grounded theory method, data coding, annotating and writing memos of all qualitative data were carried out in a project created with Nvivo. Data coding was based on the theoretical propositions of the study – elements in CPT and Giddens Theory of Structuration. Memos and annotations were written based on ideas generated during the data collection and coding process. However, as this is an interactive process, the initial data coding was revised several times concurrently with the data interpretation until it reached theoretical saturation (Bryman, 2015). *Figure 4-9* is a screenshot of the Nvivo project web page displaying some of the finally derived codes of the project.

Data interpretation was carried out through explanation building through thematic analysis (*Figure 4-10*). This was identifying patterns, relationships and the correlation between themes generated through the data categorisation process. Whilst Nvivo was used for data organising and categorising (*Figure 4-9*), data interpretation was a manual process. Using the process of triangulation, confirm and enhancement, the quantitative data (questionnaire survey) was analysed descriptively in order to integrate appropriately

within the qualitative themes (*Figure 4-10*). Despite applying these varying strategies and techniques, data interpretation ensured the following four principles of data analysis were adhered to: (i) making use of all the relevant evidence (ii) considering all of the major rival interpretations and explores each of them in turn (iii) addressing the most significant aspects of the case study (iv) drawing on the researcher's prior expert knowledge in the area of the case study, but in an unbiased and objective manner (Rowley, 2002). As a result, even though the study takes the Institutional Approach proposition that the views of sustainable and affordable housing outcomes are formed through interaction between all actors, the empirical chapters hold these accounts (residents and other actors) separate. The interaction (structuration) therefore is demonstrated in the conclusion chapter by the synthesis of those empirical chapters.

The final step is the integrating of findings to draw conclusions and generalisation. As mentioned in *Figure 4-10*, having followed the grounded theory method, the generalisation (*external validity*; Bryman, 2012) of case study findings was based on “analytic generalisation” – extending case study findings to situations outside of the original case study, based on the relevance of similar theoretical concepts or principles (Yin, 2014: 237) rather than to population. Accordingly, all empirical data analysis was synthesised to modifying the CPT and advancing the concept of SHA by answering the respective research questions.

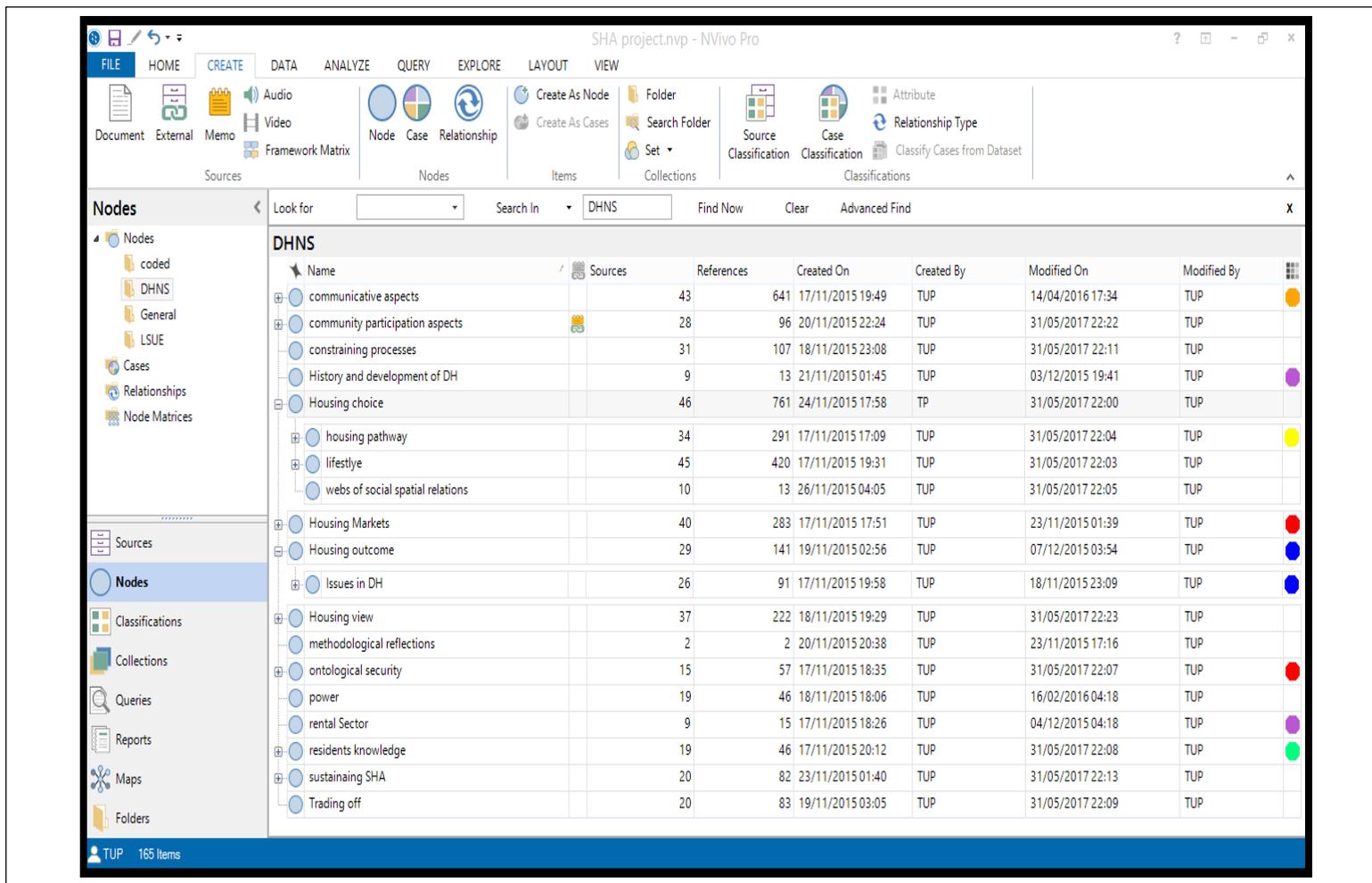


Figure 4-9 An extract of nodes derived for DHNS case study through Nvivo

Source: Author

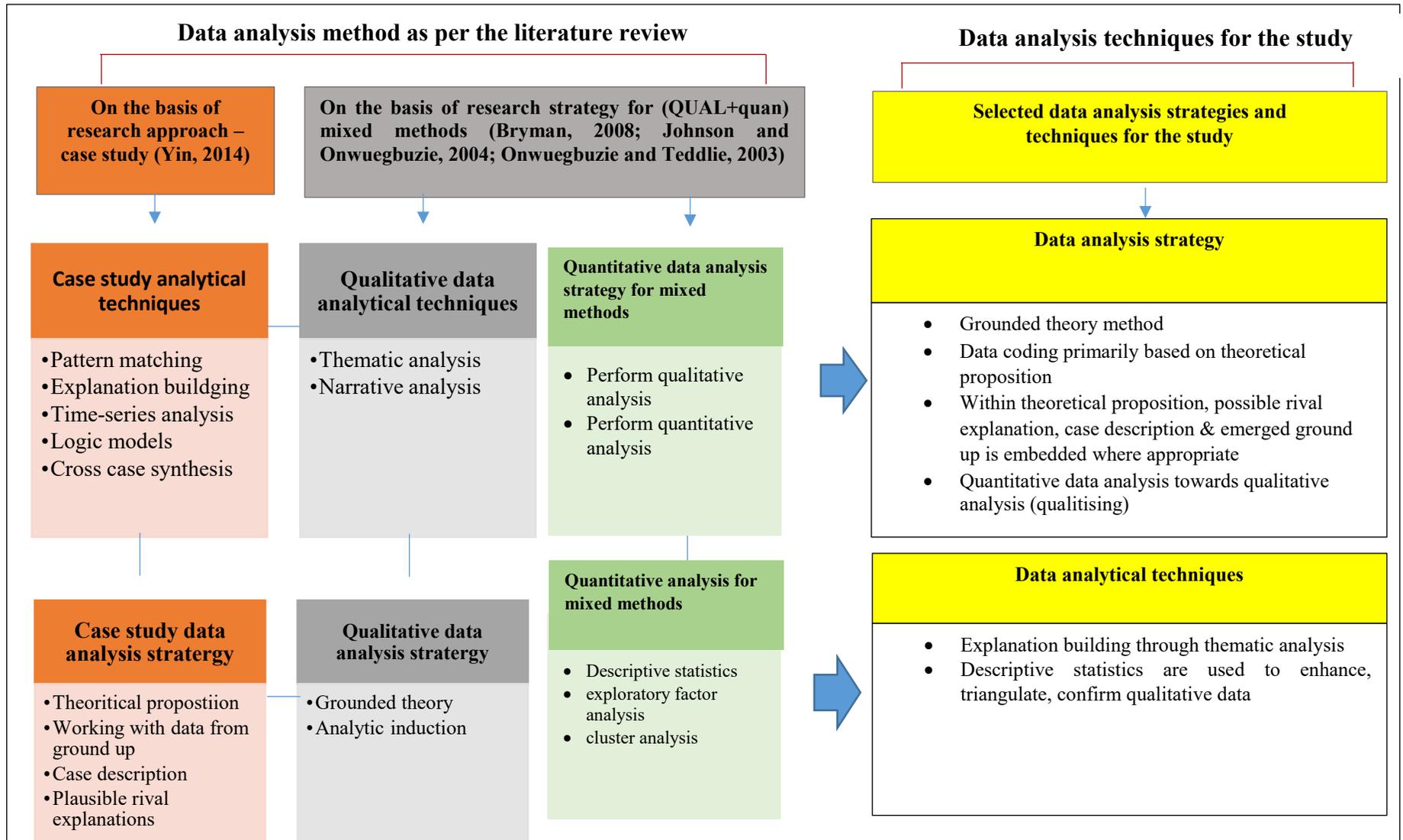


Figure 4-10 Data analysis strategies and techniques

Source: Adapted from Yin (2014), Bryman (2015), Johnson and Onwuegbuzie (2004), Onwuegbuzie and Teddlie (2003)

4.4 Methodological Reflections

Methodological reflections consider how the choice of different elements of the research design was made by the researcher. The chosen methods and the way those are implemented by the researcher have a direct implication on the findings of the research. Thus it is important to be explicit about the methodological reflections of the researcher in which the discussion of this section has been dedicated to.

4.4.1 Insider/outsider status of the researcher

On the basis of being a non-British and non-native English speaker, the researcher was an “outsider” to conduct the research in the context of England. At the beginning of the project, it challenged the researcher in terms of fully understanding the given context, subjective (value) judgements and the meanings assigned by the respondents to the housing outcomes. For example, understanding the exact meanings of respondents’ statements such as “it went like a lead balloon” in relation to a housing mix decision in DHNS, “they would even paint the grass” in relation to maintenance of the neighbourhood and some of the historical socio-political context that some respondents were referring to, were unfamiliar expressions to the researcher in terms of the context. Furthermore, moving to the UK from Sri Lanka (for PhD studies) and making value judgements as an outsider, for instance, what is “good” and “bad” with respect to housing outcomes and who wins or loses in CPA, within the British context was a challenge.

Some writers on research methodology, for example, Ganga and Scott (2006) and Aguilar (1981); favoured the “insider” status, for a successful research study in terms of having

better power relations between the researcher and the respondents and understanding the related social subtleties. However, *outsiderness* and *insiderness* are not fixed, rather they are ever shifting (Naples, 1996). Therefore, continuous learning through transcribing the interviews from the beginning of the fieldwork, validating the transcripts with the key respondents, the researcher living in Birmingham and understanding the British way of everyday social life over time and research employing multiple sources of data, led the continuous shift of *outsiderness* of the researcher towards *insiderness*. Moreover, the initial “outsider” status in some other respects was helpful to get away from taken for granted assumptions (Naples, 1996). For instance, the researcher should have a critical view on examining respondents understanding, experience and perception of sustainable and affordable housing outcomes, without framing it within existing structural meanings on affordable housing and sustainable housing and so on.

4.4.2 Power and access to data

The way in which the researcher and the research respondent negotiate between unequal power relations and its implications for data collection is an important consideration in the data collection process (Teye, 2012). Reflecting on fieldwork and data collection, on the whole, the researcher being a non-British, non-native English speaker and woman did not have any implications for the data collection process. The project leaders and early planners of DHNS and LSUE having affiliations with the University of Birmingham, ethical approval for the research project, setting up the interviews in a very relaxed atmosphere with relative lengthy periods (more than an hour) and the strong commitment

and desire of the researcher, helped to maintain a balance in the power relations with all research respondents.

The only instances where the access to data was challenging were when the particular participant felt there was a sensitivity between the project planning and the data collection. This was primarily evident with respect to the LSUE case. The LSUE was a pipeline housing project to be released from the green belt having substantial public objections on one hand whilst some preliminary planning work and investments have commenced on the other hand. Thus both professional and resident respondents were difficult to recruit with the first call. However, such reservations against participating were reasonably overcome by several rounds of email conversations which convinced the reluctant participants about the purpose and value of the study. In addition, the LSUE project leader introducing the researcher to the professional participants was also advantageous to recruit some of the participants who initially had reservations. Nevertheless, during the interviews, some participants stated that they could not declare all information and be completely open. Moreover, despite explaining the purpose of the interview, some respondents considered the interviews were also part of their formal CPA that would have impacted on the project decision-making. For instance, when a transcript was sent back to a particular respondent for content validation, the respondent had edited the entire transcript using more formal language, taking away all the free-flowing ideas expressed during the interview and requested to publish only the edited version. Some respondents answered the questions as if they were answering to the media and expected the researcher to be supporting their respective values or frames of reference. Even though these would have impacted the credibility of information in relation to the inquiry of the

study (Patton, 2005) employing multiple methods of data collection, enabled the offsetting of any such limitations that occurred.

4.5 Conclusion

This chapter has outlined the research methodology adopted to answer the research question; how communicative planning can reconcile the nexus between sustainable and affordable housing outcomes. The philosophical stance of the research design was positioned on pragmatism and constructionism after considering the philosophical proposition of the study and given the data collection challenges. Accordingly, the study aimed to approach answering the respective questions through case study methods and a mixed method research strategy. On this basis, the discussion of this chapter rationalised the choice of a single case study design with embedded units; how DHNS and LSUE were selected as the respective prime case study and embedded case study and QUAL+quan type of mixed method research strategy. Within the case study approach cum mixed method design, the research design embraced multiple sources of evidence: (i) in-depth interviews, (ii) questionnaire survey (iii) observation (iv) document review (v) social media. These multiple methods of data collection established the internal validity of the study and at the same time helped to shift the researcher's "outsider" positionality towards an "insider". Having emphasised the ethical considerations of the study, the analytical framework elaborated on how data coding, developing themes and data interpretation were exercised and presented aiming at grounded theory method. Finally, this chapter considered the researcher's reflection on the way the knowledge was produced – often an important element of discussion in any social research. In the next chapter, the "context" of both the case study areas and the planning in which the findings of the study were based is outlined in more detail.

CHAPTER FIVE

RESEARCH CONTEXT

5.1 Introduction

It is the responsibility of the researcher to ensure that the contextual meaning of the research is fully explained prior to the framing of its findings, to ensure the credibility (internal validity) and transferability of inferences (external validity) arising from the study (Shenton, 2004; Guba and Lincoln, 1994, Erlandson, 1993). Thus, the aim of this chapter is to describe the planning and case study context of Dickens Heath New Settlement (DHNS) and Langley Sustainable Urban Extension (LSUE) as a “residential locale or place” and to set out the evidence base which will support specific research questions. Whilst this chapter informs the research context to supplement the research methodology of the study, this is also a semi-empirical chapter to reflect on the overall housing outcomes of the respective study areas.

From the perspective of both housing and place-making literature, it has already been highlighted that a “residential locale or place” is formed through an inter-relational set of forces involving networking, place-making and politics (insert References). Thus the meanings of places are produced via socially, politically and economically interconnected interactions among people, institutions and systems (Pierce, Martin and Murphy, 2011; Clapham, 2005; Martin, 2003; Kemeny, 1992). For that reason, a planning system that intervenes in such residential place-making becomes a key variable in those inter-relational processes. Therefore, this chapter begins with the English planning context and describes how DHNS and LSUE emerged as residential locales underpinned by

respective planning policies and political and networking relations. The site-specific planning and development context and the economic, social and economic environments of the respective case study units are explained thereafter.

The data for this contextual understanding was obtained via various secondary data sources and compiled at different scales (see, *Table 5-1*).

Table 5-1 Data compilation scales for DHNS and LUSE

Scale	DHNS	LSUE
Region County	West Midlands Warwickshire	West Midlands Warwickshire
Local planning authorities	Solihull Metropolitan Borough Council (SMBC)	Birmingham City Council (BCC)
District	-	Sutton Coldfield
Ward	Blyth	Sutton New Hall
Parish area	Dickens Heath	-
Postcode area	B90 (Shirley, Solihull Lodge, Majors Green, Dickens Heath, Cheswick Green)	B76 (Walmley, Minworth)

Source: Author

5.2 Regulatory and Institutional Framework for Planning in England

Planning in England is primarily guided by Acts of Parliament, commonly known as planning law. The legislation of primary importance are: the *Town and Country Planning (T&CP) Act 1947, 1968, 1977 & 1990* as amended, the *Town and Country Planning (Local Planning) (England) Regulations 2012*, the *Planning and Compensation Act 1991, 2004 as amended, Planning Act 2008, Growth and Infrastructure Act 2013, Local Democracy, Economic Development and Construction Act 2009* and the *Localism Act 2011*. Planning laws have also been influenced by the EU Directives, especially with respect to spatial policies in mainstream planning (Cullingworth et al., 2015). These primary planning regulations are implemented by way of planning policies at respective national, regional and local planning tiers. This section, therefore, aims to elaborate on these regulatory and institutional planning tiers (*Figure 5-1* and *Figure 5-2*).

The concept of DHNS emerged in the late 1980s whilst the LSUE emerged around late 2013. Therefore the timescale of the elaboration here is limited from the mid-1980s to more contemporary planning until 2016. Within this special emphasis will be placed upon regulatory and institutional tiers before and after the 2010 planning reforms.⁹

⁹ 2010 planning reforms were led by the devolution and localism agenda of the coalition government.

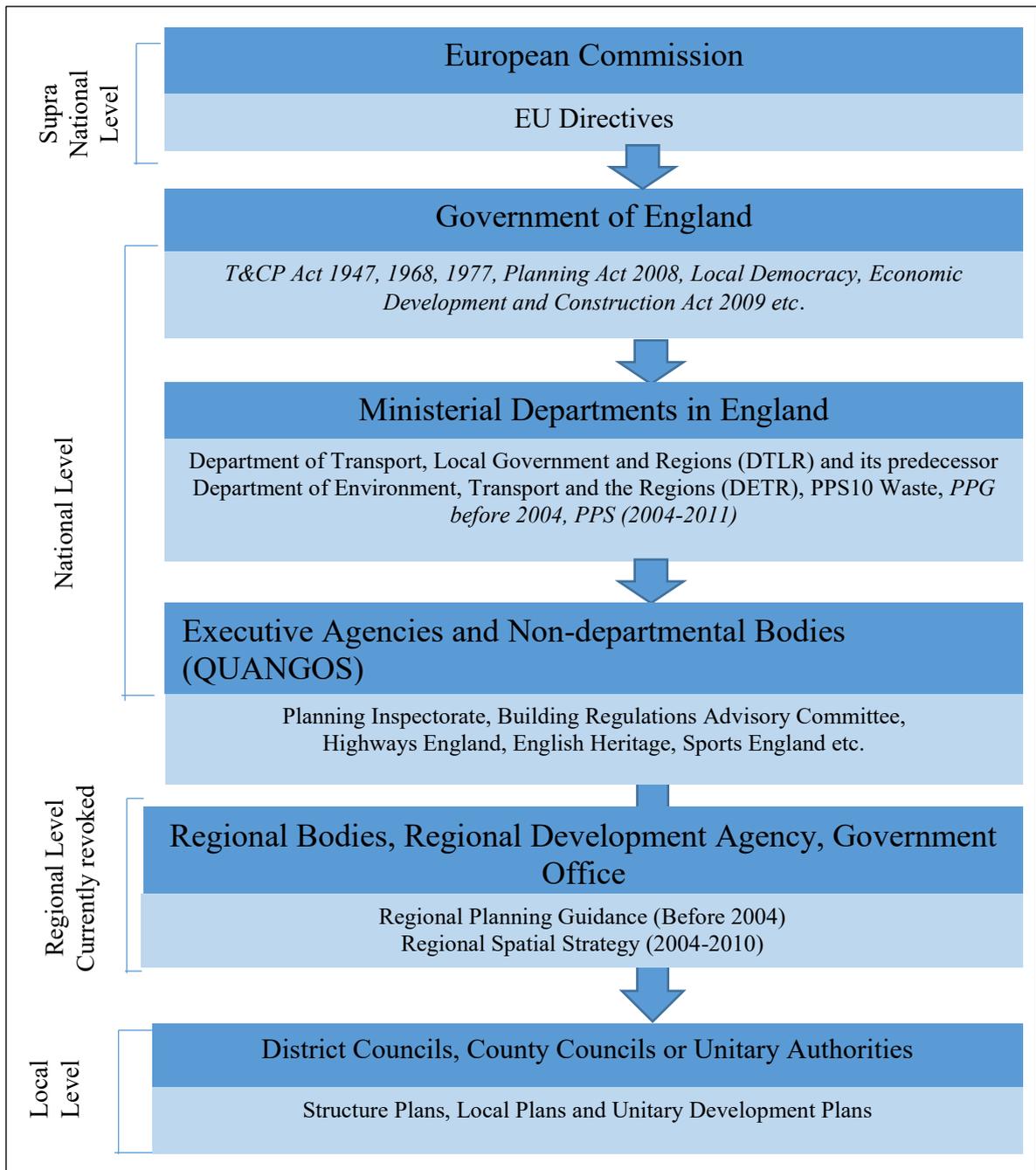


Figure 5-1 Summarised regulatory and institutional planning framework in England: before 2010

Source: Adapted from DCLG (2015b); Cullingworth et al. (2015)

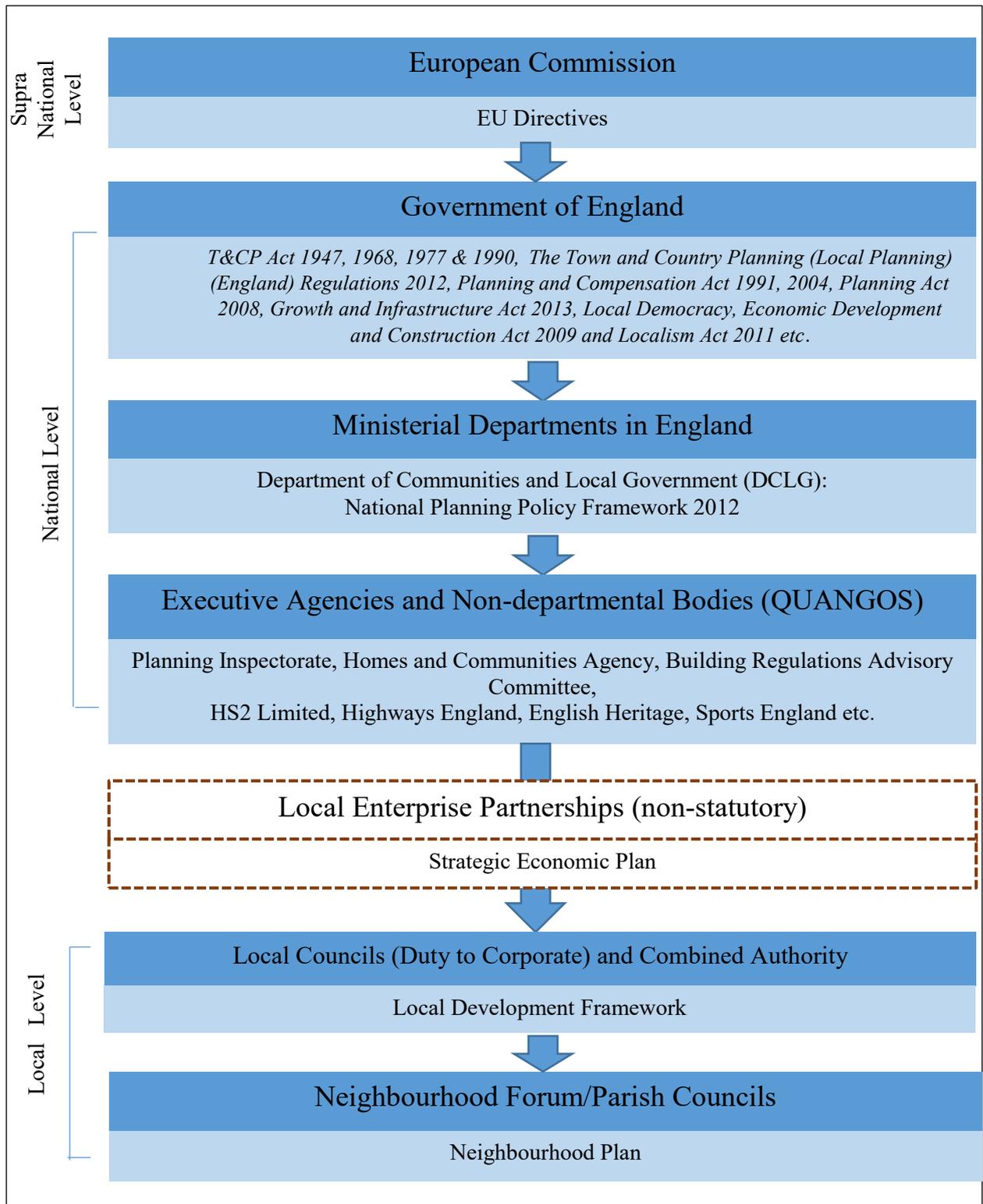


Figure 5-2 Summarised regulatory and institutional planning framework in England: after 2010

Source: Adapted from DCLG (2015b); Cullingworth et al. (2015)

5.2.1 National level planning

Since the late 1980s, national level planning in England is guided by national planning policies, supplemented by various planning practice guidance (statutory and voluntary) and standards. These are secondary regulations established in compliance with the UK planning law (parliamentary enactments).

Prior to the 2010 planning reforms, these national policies included:

- (i) Planning Policy Guidance Notes (PPGs) established prior to 2004 by the Department of Transport, Local Government and Regions (DTLR) and its predecessor Department of Environment, Transport and the Regions (DETR).
- (ii) Planning Policy Statements (PPSs) established from 2004 to 2012 by the Office of the Deputy Prime Minister (successor of DTLR).

The PPGs were expressed under 25 policy guide notes, among which the PPG 3 on Housing established in 1992 and 2000 were the most directly relevant policies with respect to residential developments before 2004 (Cullingworth et al., 2015). The most influential principles of PPG 3 on Housing (DTLR, 2000) focused on:

- (i) Land intensification policy by prioritising brownfield development; urban extensions over new settlements; lowering the average number of car parking spaces to an average of 1.5 per dwelling.
- (ii) Creating sustainable residential environments through development links with public transport, mixed-use development and emphasis on quality design.
- (iii) Creating mixed communities to suit the temporal demographic trends and with an effective housing mix of type, size and affordable vs market housing.

Following the 2004 planning reforms by the then Labour government, PPGs were gradually replaced by PPSs. As a result, PPG 3 (Housing) was replaced by PPS 3 (Housing) in 2011. This amendment included a step change towards a more market-responsive approach on land supply for housing at the local level, having an emphasis on housing objectives set towards collaborative working, with an evidence-based approach and outcome and delivery focus (ODPM, 2011). This policy change was very much a response to the Barker Review of Planning and Housing in 2004 which strongly highlighted the restrictive nature of land supply for housing in the UK (Cullingworth et al., 2015).

The planning reforms in 2010 intended to streamline planning policies implemented by the coalition governments' devolution and localism agenda.¹⁰ As a result, the Department of Communities and Local Government (successor of DTLR) established the National Planning Policy Framework (NPPF), (DCLG, 2012). The central issue of NPPF is the "presumption in favour of sustainable development" and by default "yes" for development (Cullingworth et al., 2015). In NPPF, the most notable guidance to local planning authorities (LPAs) with respect to plan-making and decisions on planning applications is provided in para 14 & 47, where it is stated that local plans should demonstrate Objectively Assessed Housing Needs (OAN) whilst taking into account the requirements set out in para 54, 178, 182 (duty to cooperate with neighbouring authorities when determining its housing targets) and para 49 (mandating LPAs to demonstrate a five-year "deliverable" land supply at any given point of time). These planning policies have also been supplemented by periodically introduced Planning Practice Guidance

¹⁰ Decentralise decision-making over housing and planning matters to local authorities and communities (*Localism Act 2011*).

notes, previously known as Good Practice Advice. By 2016, there were 48 Planning Practice Guidance notes effectively linked to NPPF including consultation and pre-decision matters, flood risk and coastal change and duty to cooperate. In addition, the planning system also includes statutory and non-statutory (voluntary) standards such as technical housing standards, building regulations and the recently (in 2015) revoked Code for Sustainable Homes first introduced in 2006 which came under the purview of DCLG, and other similar standards such as the Code of Practice for Soil and Environmental Impact Assessment by the Department of Environment, Food and Rural Affairs and Highway Standards by the Department of Transportation, as relevant.

The institutional framework for delivering and overseeing national policies includes non-departmental public bodies (commonly known as “quangos”)¹¹ that come under the ministerial departments. They deliver and oversee the implementation of these policies, standards and practice guidance notes. These quangos exercise stipulated functions on behalf of the Secretary of State (the cabinet minister for the respective department). For example, the Planning Inspectorate is the executive agency for DCLG to examine local plans impartially and publicly and make decisions on planning appeals and public inquiries (Sec 5.2.3) as well as environmental appeals and transport appeals on behalf of the Secretary of State for DCLG.

¹¹ Quangos, or quasi-autonomous non-governmental organisational bodies which are not officially part of the government but are used by government to deliver its objectives.

5.2.2. Regional level planning

In England, the regional layer that connects the national and local government had never been well-established (Cullingworth et al., 2015). Those that had been established were revoked in the planning reforms in 2010. Therefore at present, no statutory regional tier exists within the planning system in England. However, during the period that concerns this study (since the mid-1980s), the regional initiatives of England were bolstered by the 1989 White Paper¹² on “The Future of Development Plans” and the government issuing Strategy Guidance at a regional level from 1988 onwards (ibid). By the late 1990s, England was divided into nine regions and three distinct regional planning institutions: Regional Chambers or Assemblies (Regional Bodies) to establish Regional Planning Guidance (RPG), the Regional Development Agency (RDA) to drive sustainable economic development and social and physical regeneration of the region, acting as a two-way conduit between central government and the region (*Figure 5-1*). Accordingly, the West Midlands Regional Planning Guidance¹³ was published in 1998. However, this RPG was not a statutory regional tier until the statutory basis for regional planning was given by the *Planning and Compulsory Purchase Act 2004* (Cullingworth et al., 2015). The act replaced the RPGs with Regional Spatial Strategy (RSS) and made regional plans a part of the statutory development plan. For the West Midlands area, the Regional Spatial Strategy (WMRSS) was first established in 2004 followed by a revision in 2008 (*Figure 5-3*).

¹² White Papers are policy documents produced by the Government that set out their proposals for future legislation. White Papers are often published as Command Papers and may include a draft version of a Bill that is being planned. This provides a basis for further consultation and discussion with interested or affected groups and allows final changes to be made before a Bill is formally presented to Parliament (UK Parliament).

¹³ Relevant region for DHNS and LUSE

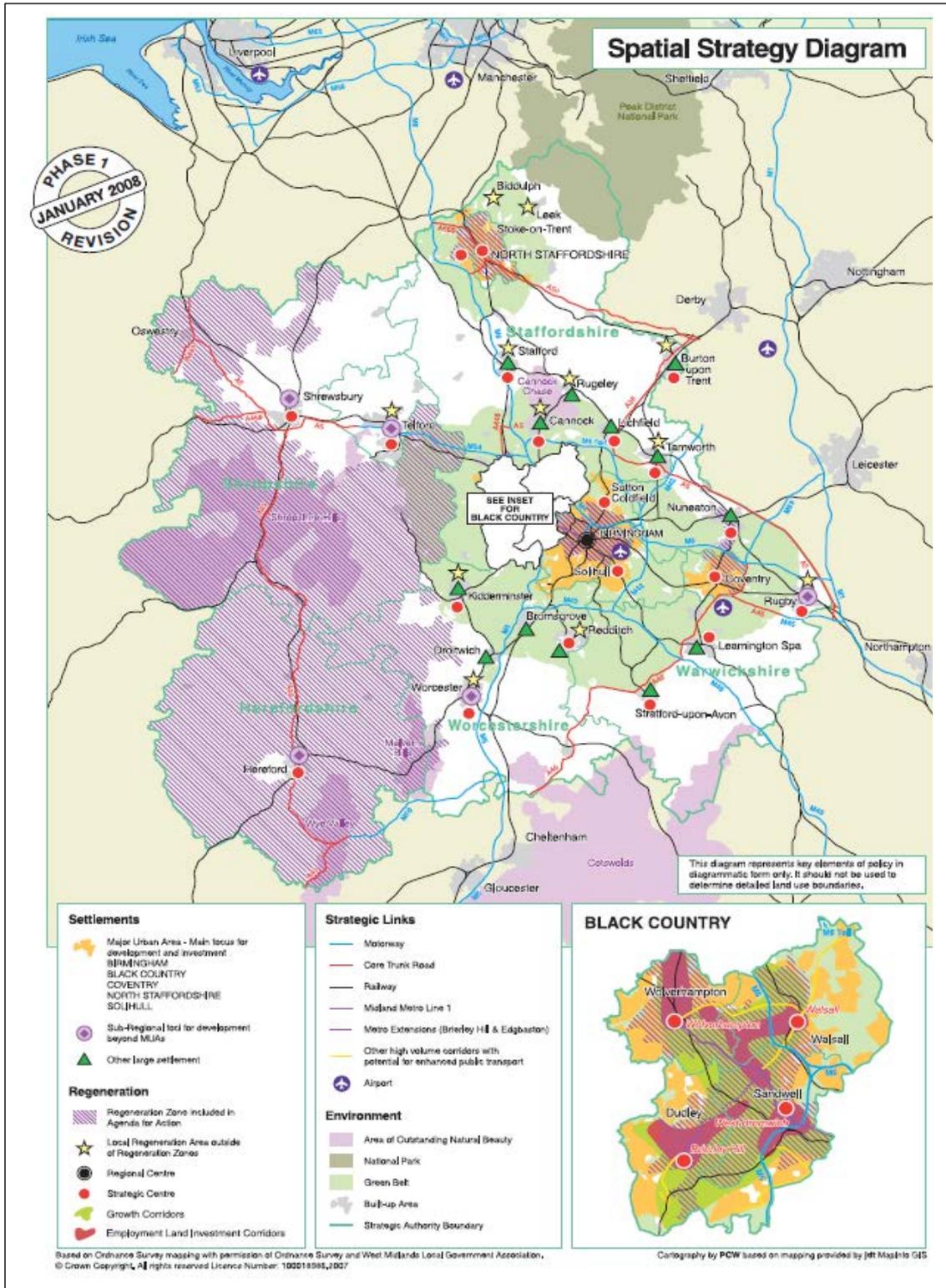


Figure 5-3 West Midlands Regional Spatial Strategy

Source: GOWM (2008:16)

With the planning reforms in 2010, this RSS along with its entire institutional structure was revoked as they were claimed to be ineffective in reaching the anticipated aims (Cullingworth et al., 2015). The *Localism Act 2011* decentralised the planning function to LPAs and replaced the revoked regional tier with a duty to cooperate. This is based on the recognition that planning requires spatial level coordination higher than an individual LPA for some elements, such as the provision of infrastructure and recognising housing needs to support overall development (DCLG, 2014a). Para 178, 181 of NPPF state the LPAs must demonstrate how they have complied with the “duty to cooperate” with the independent examination of their local plans (DCLG, 2014b). In the meantime, the abolition of RSS also included a commitment to establish Local Enterprise Partnerships (LEPs). LEPs replaced the former RDA in 2010 and were established under the Department for Business, Innovation and Skills. However the former statutory regional tier was not replaced, instead, voluntary (non-statutory) private-public partnerships were formed, which aimed to promote the economic growth and job creation of respective areas. The boundaries of LEPs were based on strategic economic areas, instead of the administrative regions in England. Development of both DHNS and LSUE fall within the Strategic Economic Plan for 2016–2030 that covers the Greater Birmingham and Solihull Local Enterprise Partnership (GBSLEP) - Birmingham and Solihull Metropolitan core, southern Staffordshire, northern Worcestershire.

5.2.3. Local level planning

Local level planning in England is largely development control (a plan-led system) and strategic planning. For flexibility and efficiency, the UK planning system does not follow a common zoning approach. It is a discretionary system in which decisions on particular

development proposals are made as they arise, against the local planning policy (Ball, Allmendinger and Hughes, 2009). For that reason, the Development Planning Documents (DPDs) prepared by LPAs in compliance with planning law and national policies have been important policies of local level planning in England.

Prior to 2004, DPDs were formulated under a two-tier system: Strategic Plans for a strategic tier of DPD and Local Plans to provide detailed guidance on land use (*T&CP Act 1968*). They were prepared by local government bodies known as county councils and district councils respectively. With the reorganisation of the LPAs during 1994 to 1997 where some counties and district councils were replaced by unitary authorities, those DPDs were known as Unitary Development Plans (Cullingworth et al., 2015). The *Planning and Compulsory Purchase Act 2004* replaced the all previous versions of DPDs under the common term known as the Local Development Framework (LDF). Thus currently, an LDF is prepared by the district councils (also known as “city councils” or “borough councils”).

LDF preparation and adoption process

The LDF plan-making process by LPAs is depicted in **Figure 5-4**. The planning law and NPPF require an LDF to be tailored to the needs of each area in terms of their strategy and the policies and at the same time to be evidence-based (DCLG, 2015b). Therefore the core strategy, proposals map (spatial representation of the local plan) and site allocations and development policies of the local plan must be supported by robust evidence (DCLG, 2015b). As per the NPPF, for housing this means that it must be prepared based on the OAN and must demonstrate a five-year deliverable land supply annually; proposals for

developments should be accompanied by a sustainability appraisal prepared in accordance with the *Planning and Compulsory Purchase Act, 2004*. In addition to the above core elements, the other supportive elements of the LDF that need to be supported by an evidence-based are: (i) Area Action Plans (ii) Development Management: Development Plan Document (iii) other Development Plan Documents that provide policies on key issues in a locality, which need to be given full statutory weight in the planning process (iv) Supplementary Planning Documents (SPD) that provide non-statutory guidance on important local issues, for example master plan designs for a housing development, local housing policies (CPRE, 2016, DCLG, 2014c).

By law,¹⁴ the draft version of the LDF is subject to public (stakeholder) consultation or scrutiny. *Regulation 18 of the T&CP (Local Planning) (England) Regulations 2012* sets out specific bodies or persons that an LPA must notify and invite representations from in developing its local plans. To ensure accountability of those consultations the measure is to prepare a Statement of Community Involvement summarising the steps taken for publicity and consultation of the draft plan as required by the *Planning and Compulsory Purchase Act 2004*.

As described by the DCLG (2014b), at the publication stage LPA should publicise the draft version of the LDF (to be submitted to the Planning Inspectorate) for public examination enabling the representations to come forward. Along with this representation, the LPA should submit the draft LDF and other supporting documents to the Planning Inspectorate for examination on behalf of the Secretary of State. Once the

¹⁴ *T&CP Act 1968 (ss7) 1990, (ss 18, 62), Planning and Compulsory Purchase Act 2004 (ss 6,18), The T&CP (Local Planning) (England) Regulations 2012 (ss 12, 19, 20).*

examination process by the planning inspector is complete and they have confirmed its soundness, adoption is the final stage of putting a local plan in place. According to the *Local Authority Act 2000, regulation 4(1) and (3)*, adoption of local plans requires confirmation by a full council meeting of the LPA. Once adopted these plans are required to be reviewed at continuous intervals within a five-year period at least (DCLG, 2012). However, with the requirement of NPPF para 49 (Sec 5.2.1) that LPAs require maintaining the five-year land supply at any given time, local plans for housing would be required to be reviewed annually.

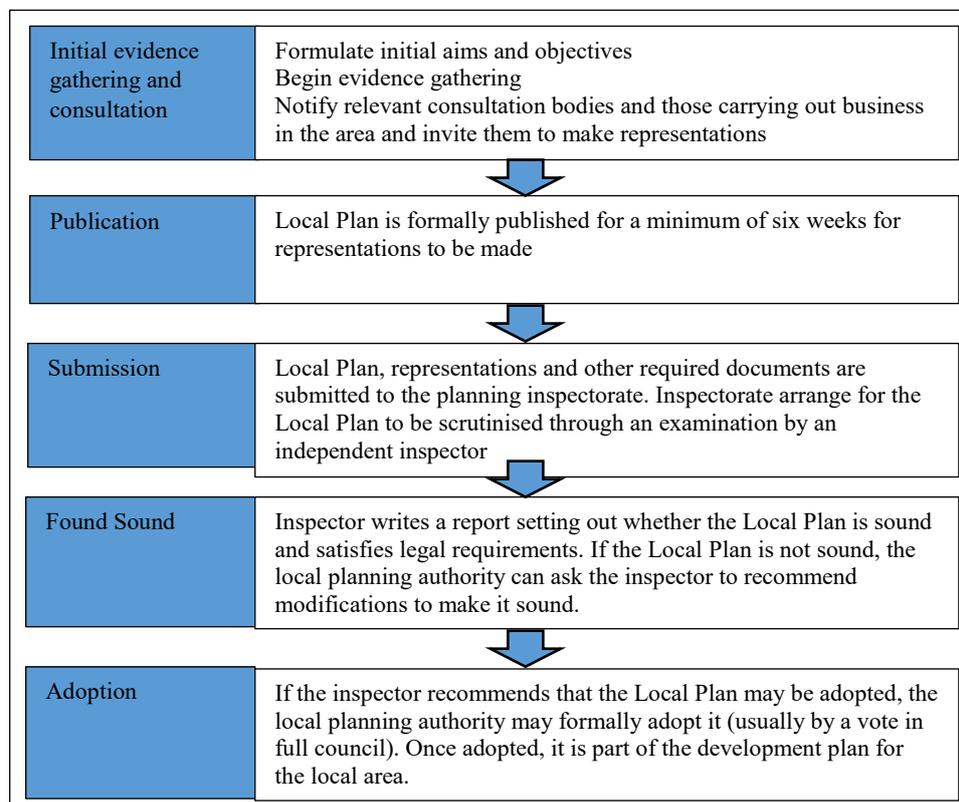


Figure 5-4 LDF formulating process

Source: DCLG (2015b)

Neighbourhood planning

The devolution and the localism agenda of the coalition government in 2010, and the *Localism Act 2011* (ch 3) created an additional local planning tier known as neighbourhood planning led by a local qualified body. The term of a qualified body refers to a parish council – a local government body in a civil parish area (*Table 5-1*) or an organisation or body designated as a neighbourhood forum. Neighbourhood plans are policy documents that include policies regarding the development of the neighbourhood to be prepared in compliance with NPPF and the respective LDF and will be adopted via an LPA organised referendum for the respective neighbourhood.

Planning applications and developer obligations

As per the development control planning, all developments require planning permission. All planning applications are assessed against the policies of LDF and the neighbourhood plans if available in an applicable area. An exception to this is the “permitted development rights” which refers to a national grant of planning permission set out in *The Town and Country Planning (General Permitted Development) (England) Order 2015*, as amended. This allows certain building works and changes of use to be carried out without having to make a planning application (DCLG, 2014c).

The decisions on planning applications are taken by elected councillors and planning officers. According to the provisions of the *Local Authority Act 1972*, most minor and uncontroversial planning applications will be decided through delegated decision-making powers to the LPA officers whereas larger and more controversial developments are often decided by the planning committee, informed by officers’ recommendations (DCLG,

2015b). From time to time the Local Authority acts have determined the style of planning committee formation. The *Local Authority Act 2000* established the cabinet style replacing the former committee style of decision-making whilst the *Localism Act 2011* provided the choice for LPAs to reverse back to the previous committee style. In cabinet style, while the full council agrees on a budget and policy framework; a “cabinet” of a small number of members takes responsibility for the scrutiny and the implementation of these broad policies, where the cabinet consists of councillors with responsibility for a portfolio of service areas, with a cabinet leader appointed by the full council (Cullingworth et al., 2015). In committee style, planning applications are considered in an authority-wide committee or in an area-based committee (ibid).

However, the planning application decisions will also be subject to public scrutiny in the same way as the LDF making process. All individual planning applications to LPAs need to undergo a period of consultation for 14–21 days. Article 15 of the Development Management Procedure Order sets out the minimum statutory requirements for LPAs in publicising the planning applications (DCLG, 2014c). In this respect, the parish councils in respective LPA areas will be parties for consultation if they have informed the LPAs that they wished to be consulted (DCLG, 2014b). In addition, the *Localism Act 2011* (ss122) required the developers to consult with local communities prior to submitting planning applications. Besides public consultation, any party affected by a development is given the opportunity for a planning inquiry.¹⁵ This process would involve making an appeal to the Secretary of State (usually handled by an appointed independent planning

¹⁵ Through the provisions of common law.

inspector at the Planning Inspectorate) where the inspector may decide whether or not planning permission should be granted (Planning Inspectorate, 2016).

Developer obligations (commonly known as S106 agreements) are an integral part of the permission for a planning application. This is to recoup the land value increase as a result of the planning permission for the benefit of the wider public (DCLG, 2006). Sec 106 of *T&CP Act 1990* (as amended) provides the legal provision for these planning gain (S106) agreements negotiated between the developer and the LPAs. For housing developments (above a threshold size of 15 dwellings), based on the viability assessment, the S106 agreement may include planning contributions for affordable housing and infrastructure directly related to the development as an obligation to the developer or in a tariff style. An alternative to this, the Community Infrastructure Levy, was introduced by the *Planning Act 2008* and the *Community Infrastructure Levy (CIL) regulation 2010 (as amended)*. Here the developer is liable for a charge for the infrastructure with respect to the permitted development. Despite CIL applying to both LPAs areas (SMBC and BCC), since 2016 all planning applications for both projects (DHNS and LSUE) have been planned under the S106 policy.

5.3 Emergence of DHNS and LSUE as Residential Places

This section aims to reveal the context in which DHNS and LSUE became residential locations with its given role of place at regional and local scale. Within the aforesaid administrative boundaries, both DHNS and LSUE are located within the West Midlands region or former English county of Warwickshire. Birmingham is the second largest city in the UK whilst the Black Country and Coventry are the main conurbation areas of the region. With respect to local government areas, DHNS is located within SMBC (*Figure*

5-6) whilst the site for LSUE is situated within the Birmingham conurbation to the north of BCC (*Table 5-1, Figure 5-5*).

The “idea” of DHNS emerged in 1988/89 (SMBC records), a period in which the West Midlands region had its central objective of returning the cities to growth and prosperity, following the collapse of many of its staple industries during the recession of the late 1970s and early 1980s. During the late 1980s, there had been a widening gap between in and out-migration in the region resulting in a net loss of approximately 9,000 people (GOWM, 2002). This resulted in a lack of qualified population, skill deficiency and enterprise deficit (WMRO, 2006). The conurbation of the West Midlands’ region recorded the highest level of deprivation within the region and demonstrated a substantial level of change in household formation towards single households of both elderly and young (GOWM, 2002). Therefore, an urban renaissance and cautions about the environment and climatic change as per the European Union Directives were part of the widely supported strategy of respective Solihull structure plans, West Midlands Regional Planning Guidance (WMRPG) and West Midlands Regional Spatial Strategy (WMRSS) in 2004 and 2008. This encouraged the education, formation of new firms, businesses and professional services, and traditional metal manufacturing and logistics sectors to grow in the region (WMRO, 2006). The spatial patterning of these encouraged sectors was expanded beyond 20–40 km from the main conurbations (*Figure 5-5*) which were called an E³I belt (economic, entrepreneurial and environmental and innovation) that included Stratford-on-Avon, Warwick, Lichfield, Cannock, Bridgenorth, and Bromsgrove. (WMRO, 2006). In support of these, the West Midlands Regional Housing Strategy (WMRHB, 2003) emphasised; providing pathways of housing choices for newly formed demographic household patterns, good design and development of sustainable housing

with connectivity for public transport and mixed communities. As a result, the role of DHNS (within the E³I belt) emerged as a sub-regional sustainable residential location, to house these newly emerging middle class in the growing service sector during the early 1990s (*Figure 5-5*).

The project concept of LSUE emerged during 2013/14, with the further changes to the BDP plan review commencing in 2007 as a result of the 2010 planning reforms. The review aimed at recognising its growth strategies as per the NPPF-2012 (BCC, 2017). LSUE was planned as one of the residential and economic development growth areas of Birmingham, in support of the Strategic Economic Plan for GBSLEP (2016–2030). The strategy continued the development of Birmingham as a growth engine: Strategic Economic Plan (2014) GBLEP focusing on increasing innovation, foreign direct investments, jobs, skills, connectivity of the region – High Speed (HS)2 with two intersect stations, a high level of digital connectivity, transferring Birmingham into the scale of a global city. The strategy estimated an OAN housing need of 89,000 and according to the BDP - 2031, it is not possible for Birmingham to achieve such housing needs within the built-up area of the city. Consequently, green belt development options like LUSE were proposed as a strategy to facilitate this further expansion of the city by adding significant numbers to the housing stocks. According to several promotional materials of BCC, it is aimed to develop LSUE as an exemplary “sustainable” housing project to deliver high-quality housing.

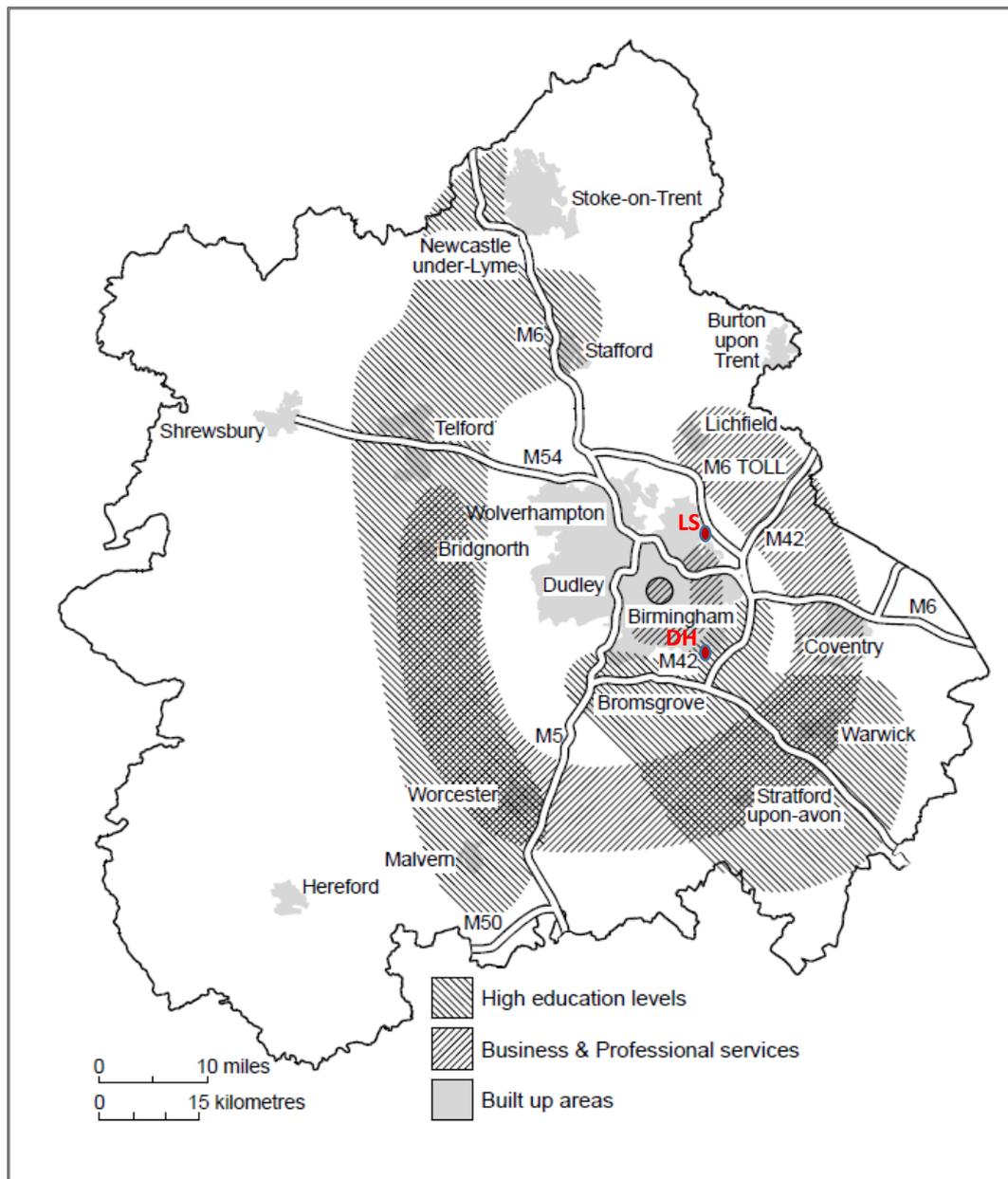


Figure 5- 5 DHNS and LSUE within West Midland E³¹ belt

Source: WMRO (2006)

5.4 DHNS – The Planning and Development Context

This section focuses on the site-specific planning and development context of the primary case study area (*Figure 5-6, Table 5-2*). As indicated already, DHNS was a result of the then Solihull Structure Plan and Local Plan, proposing a settlement of 850 new homes

(out of a total housing need of 8,100) for a growing population of 4,000 between the periods of 1988–2001. Accordingly, in 1990 a green belt site of 57 acres adjacent to the existing hamlets of Dickens Heath Road and Tythe Barn Lane (Old DH) was selected; this was followed by the government inspector's favourable response to objections at the public inquiry in 1991. As revealed by early planners (Respondent#01.Plnr.DHNS and Respondent#02.Plnr.DHNS), this particular site was selected out of several other proposals put forward, including the urban expansion of Shirley. Based on the concept plan devised in 1991 and the master plan prepared in 1994, the construction of houses commenced in 1997. The master plan of DHNS has phased the development into three density zones: low, medium and high density (*Figure 5-7* and *Figure 5-9*) and actual market delivery of these zones was realised in three recognised phases:

- The low- to medium-density development from 1997 to 2000/02; housing in the outer skirts of the settlement consisted of bungalows, detached and semi-detached units.
- The medium- and high-density development area around 2002 to 2009 consisting of semi-detached housing, town housing and apartments.
- The growth of DHNS after 2014 to date consisted of lower-density detached, and semi-detached housing and a few apartments at the southern outskirts of the village.

According to the DHNS master plan shown in *Figure 5-7*, the housing developments in the first two stages formed the DHNS phase I development. The growth stage was undertaken during phase II and III of the development. The following subsection provides further details on the planning and development of DHNS by describing the aspects of land, housing number allocation and infrastructure development and the involvement of different stakeholders in the project since its inception. This supports the empirical analysis by identifying (i) the generic status of the DHNS housing outcomes on which the

explanation of SHA concept and communicative planning is based on and (ii) different entry points of communities and other agency (stakeholders) who shaped the housing outcomes of DHNS.

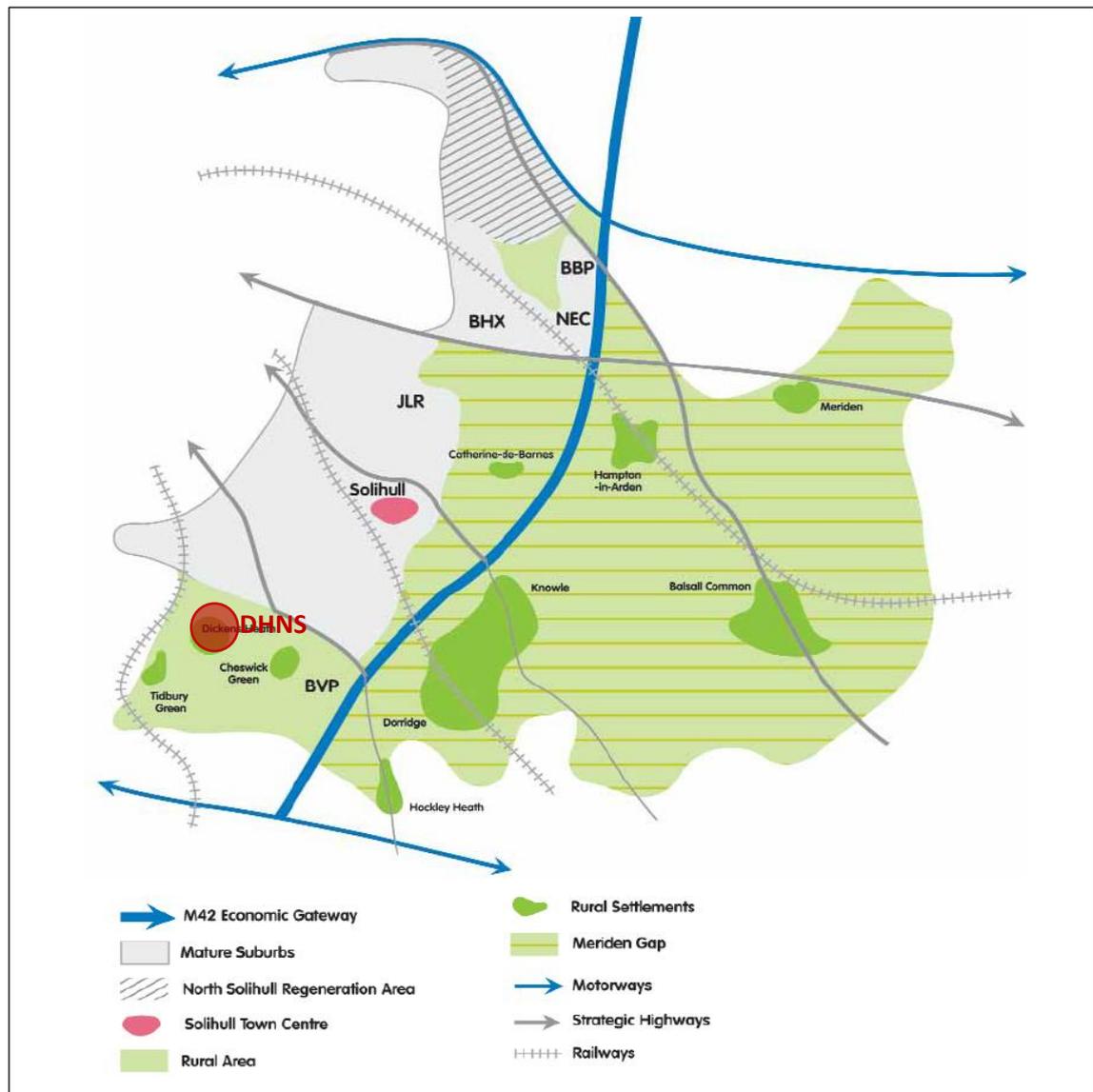


Figure 5-6 DHNS in SMBC

Source: SMBC (2013), Unscaled map

Table 5-2 Development chronology of DHNS

Development Stages	Year	Planning and development activity	Local level planning	Regional level planning	Planning interventions at national level
Planning stage	1989	The proposal advanced by the Council	Solihull Structure Plan and Local Plan		
	1990	Council identifies a site for 850 dwellings			
	1991	Concept Plan to DHNS A public inquiry into Solihull Unitary Development Plan			
	1992	The principle of new village finally approved after the public inquiry			
	1994	The master plan approved by the council			
	1995	Second public inquiry into Solihull Unitary Development Plan			
	1996	Land development approved by the council			
Development & community move in stage I	1997	Construction work began	Solihull Plan review	WMRHS (2003)	PPG3 (2000)
	1998	First show home occupied			
	1998	First house occupied			
	2002	School opened			
	2002	Planning application submitted for Village centre			
	2003	1000 dwellings completed			
	2004	Library opened Village centre underway			
Development and community move in stage II	2005	1162 dwellings completed with a further 510 approved	Solihull Unitary Development Plan	SPDs	PPS (2011)
	2005	Market square phase completed			
	2006	Waterside phase completed			
	2009	Garden square first phase completed Dickens Heath Parish council formed			
Market stagnation	2012	Dickens Heath Development Company Limited liquidated	Solihull Dev Plan Review	WMRS S (2008)	NPPF (2012)
Village Growth	2014	Land for DHNS Phase II and Phase III was released for development through a planning appeal process			
	2015	A new developer came forward to complete the unfinished part of the DHNS centre (Garden Square East)			
	2016 onwards	Solihull Plan Review and call for sites 2016			
				GBSLEP (2014)	
				WMCA (2016)	

Source: Adapted from SMBC records

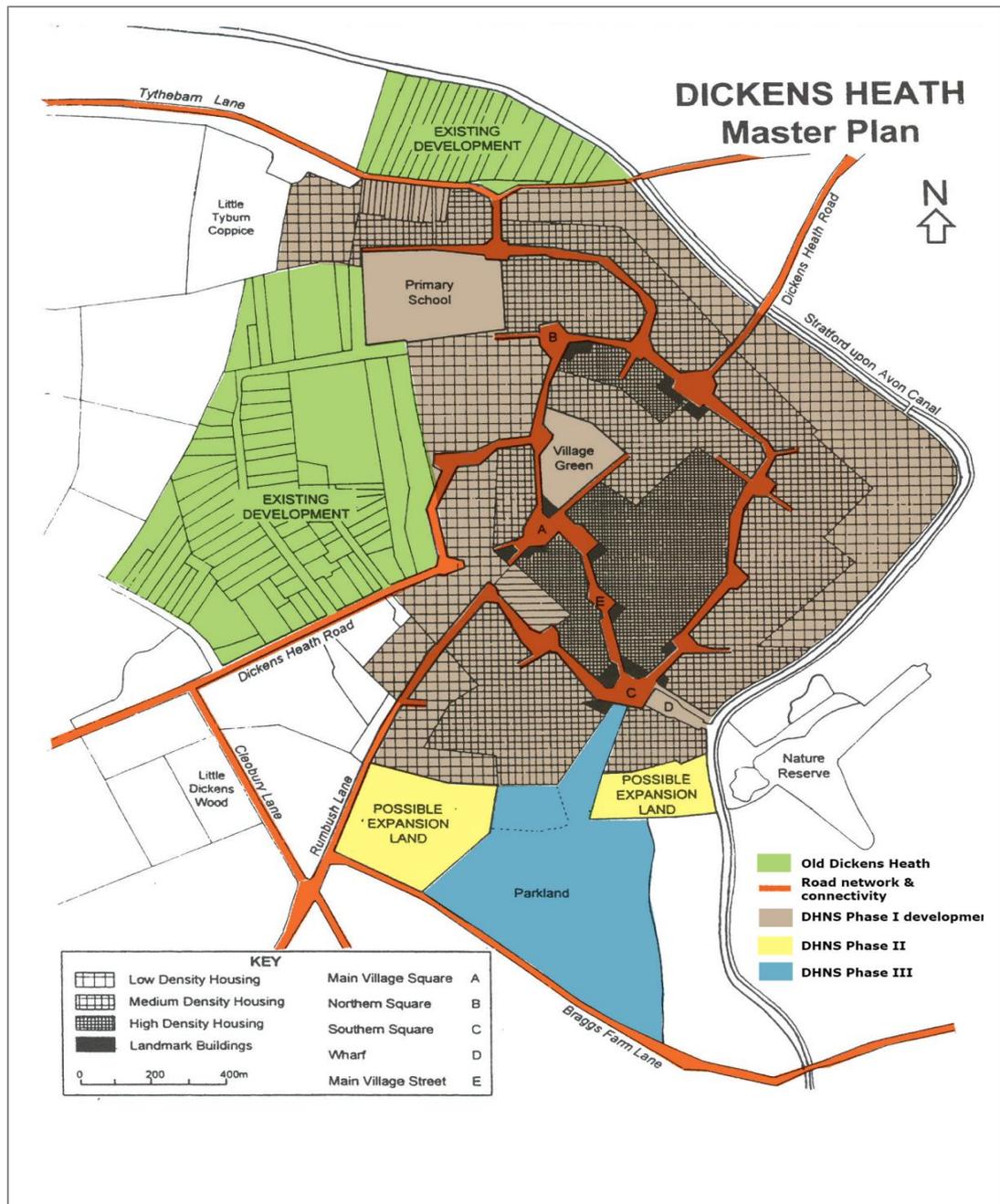


Figure 5-7 DHNS Master Plan

Source: adopted by SMBC (Undated)

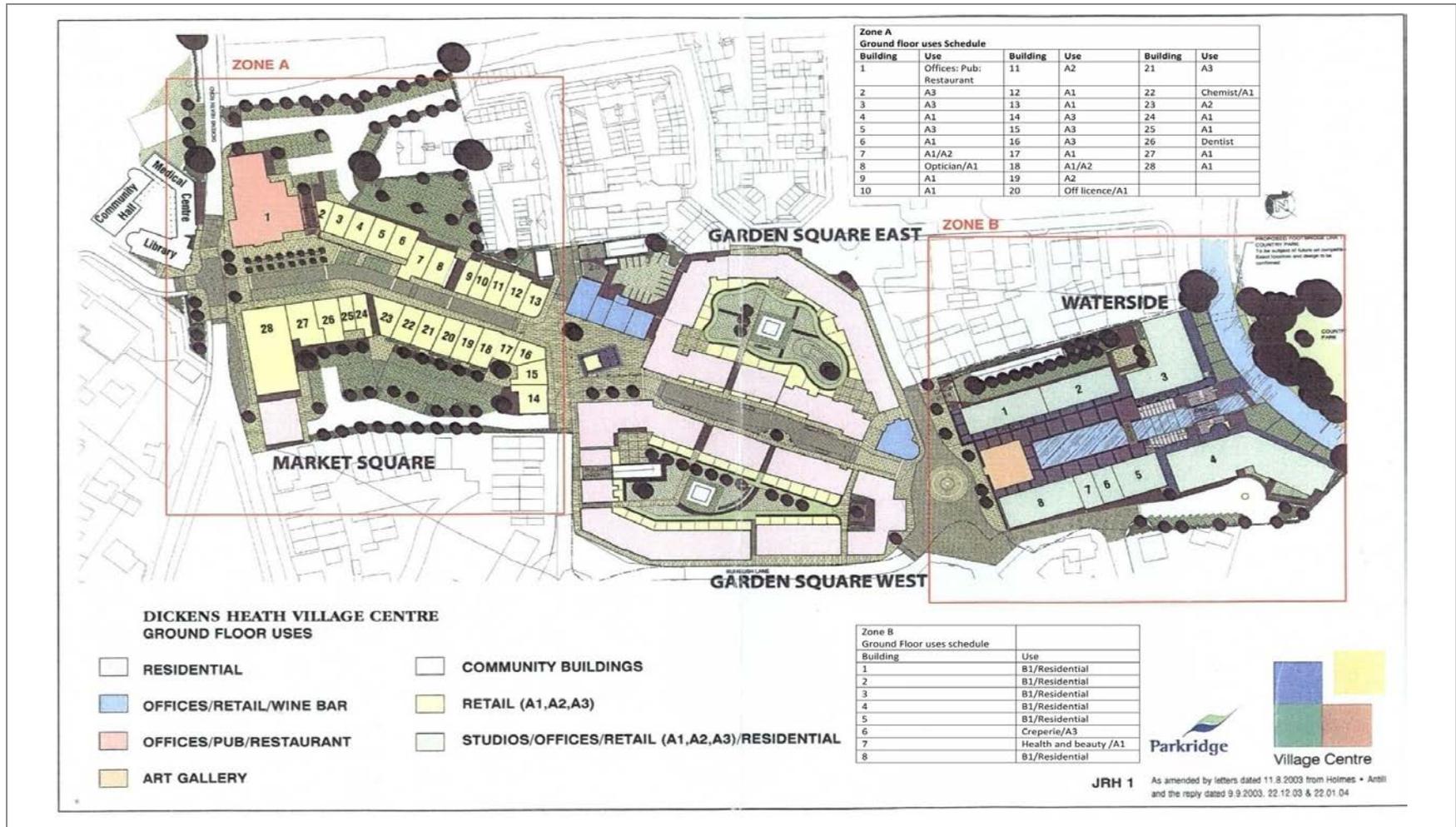


Figure 5-8 Design for DHNS centre

Source: SMBC, undated



Figure 5-9 DHNS density character

Source: DHNS centre designer's website



Figure 5-10 Unfinished Garden Square East due to bankruptcy of the developer

Source: Author (2015)

5.4.1 Land, housing number allocations and infrastructure development

Land allocation: Being a private sector-led development, a larger proportion of the land allocated for development was private land, optioned and promoted by developers and strategic promoters for housing (**Table 5-3**). The SMBC record shows the land owned by the council comprised less than 5% of the total area. Within this mainstream allocation, there have also been land exchanges, land redevelopments and land use conversions. The council and a private developer exchanged council-owned lands in the outskirts of DHNS with the lands owned by the private developer in the area designated for the DHNS centre. Redevelopment took place in the Old DH, subdividing some old bungalow properties and progressively converting them into the new detached housing (e.g. No 7 in **Table 5-3**, **Figure 5-12**). Based on a permitted development order, land use conversions took place in the DHNS centre market square in 2015 (**Figure 5-8**), converting 3800m² office space to a 26 unit residential apartment (No 2 in **Table 5-3**).

After 2013/14, the land demarcated in the master plan of DHNS for the growth of the village (DHNS phase II and III in **Figure 5-7**) started to be brought forward by the developers via a planning appealing process for the development prior to their respective stipulated periods. Accordingly, the sites allocated for the DHNS master plan phase II (2018–2023), DHNS master plan phase III (2023–2028) were developed between 2014 to 2016 (No 4, 5 & 6 of). In addition to these allocations, a significant amount of land in between DHNS, Cheswick Green, Monks Path, Tidbury Green etc. have been chosen and put forward for promotion (see, Chapter 8, **Figure 8-3**) in the 2016 Solihull Plan review (SMBC, 2016). An example of such a proposal is included as No 8 in **Table 5-3**.



Figure 5-11 Housing redevelopment in Old DH

Source: Author (2015)



Figure 5-12 New housing development in DHNS phase III

Source: Author (2015)

Housing number allocation: the allocation of housing numbers for DHNS was increased from its initial target of 850 in 1995 to 1,890¹⁶ units by 2016. As noted previously, although the development of DHNS was initially planned for 850 housing units, at the second public inquiry into the Solihull Unitary Development Plan (1995), the inspector recommended the allocated housing numbers in the development be increased up to 1,672 units (Respondent#02.Plnr.DHNS). Subsequently, this housing number was further increased to 1,890 units with the addition of an extra 218 housing units by the above-stated expedited new housing development in the DHNS phase II and III (No 4, 5, 6 in **Table 5-3**). However, in terms of actual delivery, some planning applications like Garden Square phase II (Garden Square East in **Figure 5-8**) in the DHNS centre (132 units) stagnated until 2015, due to 2008–2012 economic downturn and the bankruptcy of the respective developer who undertook work in the DHNS centre (**Figure 5-10**).

Furthermore, out of the current total 1,890 housing units, the number of affordable housing units of shared ownership and social rented units up to 2016 are 118¹⁷ (**Table 5-3**). The allocation of affordable housing to DHNS under the S106 agreement has commenced since the development of the DHNS centre in 2002 and the policy of 40% affordable housing for the development planning applications was enforced after 2014. The mechanisms to access these housing units are on a similar basis to that of market housing.¹⁸ In addition, the planning applications of post-2014 were also enforced with the Solihull private mix policy (SMBC, 2014a): include 30% of two- and three-bed units

¹⁶ This number was exclusively for DHNS and has not included the adding housing numbers in Old DH via land redevelopment.

¹⁷ The social housing occupancy in DHNS is 6.24%, whilst the same in SMBC area is 15.6% (ONS census, 2011).

¹⁸ The access to this social housing is through a choice based letting system where the vacant properties are listed in Solihull Home Option where the households in the waiting list can apply.

within the private housing allocation of a respective housing development site, in addition to the 40% of affordable housing units.

Infrastructure development: despite delivery of housing in DHNS commencing in 1997, the delivery of primary amenities such as the school, library, village green, village hall, shops and service provisions such as doctor's surgery, bus service etc. only commenced from 2002 to 2004. The other notable feature of DHNS was, placing the infrastructure management structure of the DHNS centre in the private ownership. Accordingly, all the commercial, residential and communal building tenants (e.g. library, village hall, doctor's surgery) were required to pay a service charge (depending on the occupied square footage) to the DHNS centre developer. After the Dickens Heath centre developer was liquidated in 2012 (following the 2008 economic downturn) the infrastructure development of the centre stagnated with incomplete kerbs, traffic islands, roads etc. (Chapter 6, *Figure 6-9*) whilst the management function of the centre was handed over to the liquidated developers' management arm known as Dickens Heath Management Company.

Based on the above, the entire planning and development chronology of DHNS can be categorised into four broad stages: (i) the planning stage (1990–1997) (ii) the development and new community move-in stage prior to establishment of the planned infrastructure and the development of the centre (1997–2002), (iii) new community move-in stage after the key amenities and DHNS centre were developed (2003/4–2014) (iv) the further growth stage of the village since 2014 onwards (*Table 5-2*). This categorisation informs the empirical analysis of the study to determine the different entry points of agency (stakeholders) in relation to CPA for DHNS.

Table 5-3 Land and housing number allocations in DHNS

No	Master Plan (MP) phase and delivery	Means of land allocation for the development	Optioned/ and banking period	Allocated housing numbers	Details of actual development /implementation
01	MP Phase I 1992–2009	Lands released for development – after a public inquiry into an objection, the project was approved in 1992 and lands were released through the Solihull UDP Plan including <ul style="list-style-type: none"> • Lands optioned by developers in the consortium prior to the adoption of the plan. • Lands owned by the Solihull Unitary Authority (less than 5% of total land supply). • Lands purchased by developers subsequent to the project approval via intermediary land suppliers who amalgamated various land parcels. 	Unknown	Started with 850 units. Subsequently, the permitted housing numbers were increased up to 1,672 housing units including 25 shared ownership units.	Developed all houses by 2007/8, except the Garden Square phase II in the centre of DHNS which permitted 132 apartment units with 6 of affordable units. (Ref item 03).
02	MP Phase I Nov 2014	Converted idling office development in the Market Square centre in DHNS to housing units (under permitted development policy-England only; DCLG 2014c).	2012–2014	26 apartment units.	Showhomes started in mid-2015. Sold 15 units off plan and development completed by end-2015.
03	MP Phase I 2015	A new developer came on board to develop the unfinished Garden Square II in DHNS centre.	2002–2015	132 apartment units with 6 affordable units.	Development commenced in autumn 2015 and plan to complete by Spring 2017.
04	MP Phase II Griffin Lane site 2013	MP growth area – planned to be released for development in 2018–2023. The developer sought development permission through planning appeal in 2012.	Unknown	14 private units 9 shared ownership units.	Development completed by 2015.

05	MP Phase II Braggs Farm site 2014	Planned to be released for development in 2018–2023. The developer sought development permission through planning appeal in 2014.	Optioned in 1992 for 20 years	40 private units 27 affordable units.	Selling off plan and show homes started in autumn 2015.
06	MP Phase III The site on DH road 2014–15	Planned to be released for development in 2023–2028. Land promoter sought development permission through planning appeal in 2014. The current developer bought the land with planning permission through a bidding process. The developer sought reserve matters in 2015.	Optioned ~1990 for 30 years	77 private units 51 affordable units.	Development started in mid-2015 and plan to complete by end of 2017.
07	Land use redevelopment of Old DH ~2013/14	Subdivision and redevelopment of larger properties (bungalows in Old DH) to detached to semi-detached units.	-	5 detached units.	Completed in 2015.
08	Growth beyond DHNS MP 2015 onwards	The land promotion had been taken place by a strategic land promoter for a site of 75 acres towards the west of DH, through the Solihull Development Plan review -2016.	-	Not yet known.	Have started discussions: <ul style="list-style-type: none"> • with Sports England (to compensate the relocation of the sports clubs currently occupying the land). • with Solihull Council regarding the future benefits of expanding DH in future.

Source: Author

5.4.2 Stakeholder (agency) profile

Within this planning and development process, different stakeholders (agency) were involved from both the supply and demand perspective. As identified in the conceptual framework (Chapter 2, *Figure 2-9*) the meaning of sustainable and affordable housing outcomes and the communicative actions of agents towards such outcomes are central to the discussion of the study. Therefore the focus here is to identify the stakeholders or agency involved during different phases of the planning and development process to clarify whose meanings and actions have been considered in the empirical analysis.

As agreed in the literature review, the study follows the stakeholder definitions of Reed et al, 2009: 1933): “*stakeholders of the project are any naturally occurring entity that is affected by organisational performance*” and Checkland (1981): “*whoever owns a problem should be a co-owner of the process*”. Being a private sector-led speculative housing development the naturally occurring co-owners of the process from the supply perspective (*Table 5-4*) were:

- The developer consortium and other developers;
- SMBC (the LPA);
- The master planning architects.

The initial project planning and development were carried out by the Dickens Heath developer consortium consist of landowners, strategic promoters and volume builders (commonly, can be known as market actors) who had formed a partnership agreement with the LPA. Besides these initial developers under the developer consortium, several other developers joined the housing delivery process at the later stage of DHNS development. The agency of LPA (SMBC) was the local councillors and public planners taking decisions on policy and implementation of the project in consultation with other

statutory agencies or quangos. Furthermore, with the upsurge of master planning in the 1990s with the then policy advocacy and postmodern urbanism movements (Bell, 2005) the development framework of DHNS also followed a master planning process. The role of the master planner was to devise the master plans and provide advice on design guidelines with respect to planning applications [Respondent#26.MasPlnr.DHNS]. Accordingly, LPA commissioned a principal master planner architect to devise the overall master plan for the entire site (*Figure 5-7*) and four other architects to design the DHNS centre (*Figure 5-8*). The principal master planner was retained for the entire phase I development period to oversee the planning applications with respect to the design of the settlement (Respondent#26.MasPlnr.DHNS, Falk and Carley, 2012).

In addition to these core stakeholders, the other parties involved in the supply process were the housing associations with respect to the provision of affordable housing allocated under S106 of the respective planning applications and the lobby groups such as CPRE in the interest of negative impacts over developments to the rural environments and green belts (*Table 5-4*). DHNS has significantly lower numbers of affordable housing and CPRE's focus is generally on the protection of green belts. Therefore when compared to the degree to which these stakeholders influence the project outcomes in places like DHNS, their remit falls into the category of what Chevalier and Buckles (2008) and Freeman (1984) know as passive stakeholders. As concluded in Chapter 4, at the empirical analysis, the discussions on the agency with respect to supply perspectives have limited to the said core stakeholders (private sector or market actors, LPA, master planners) whilst a limited weight assigned to these passive stakeholders when the opportunity provided important to do so.

Table 5-4 Key stakeholder involvement in the housing delivery process in DHNS

Development Phases		Planning stage		Development and new community move-in stage			Growth stage
Stakeholders		1990	1997	1997-2002	2003 - 2009	2009-2014 (market stagnation)	2014 – up to date
LPA	Public planners						
	Local councillors						
	Special consultation bodies/quangos (Highway Agency, utility companies, Environmental Agency etc.)						
Market actors (Private sector)	Developer consortium						
	<ul style="list-style-type: none"> • Landowners • Strategic promoters • Developers 						
	Developers in the DHNS centre						
	Developers entered in phase II and III						
Third sector	Housing Associations						
Master planners (Architects)	Master planning architects	Concept plan	Master plan				
	Other architects			DHNS centre plan			
Community	Residents of Old DH						
	New community	N/A					
Lobby groups	Environmental groups e.g. CPRE	Information unknown					

Source: Author

From the demand perspective, the resident communities are the core owners of the problem (Checkland, 1981). As highlighted in Chapters 3 and 4, to address the research

gaps of the study, the selection of a case study such as DHNS, intended to represent the context where new communities do not exist during the planning stage of the project. Therefore, naturally, the residents/communities of DHNS are twofold: the existing neighbouring communities and the newly housed communities. With respect to DHNS, the existing neighbouring communities were the residents of Old Dickens Heath hamlet (*Table 5-4*) consisting of less than 200 households (Respondent#01.Plnr.DHNS). Typical of new housing development, these Old Dickens Heath communities represented existing local residents, opposing the new DHNS development. The newly housed communities are the residents who progressively settled in DHNS after 1998.

5.5 DHNS – The Economic, Social and Ecological Context

The aim of the above section was to understand the physical development context of the case study area whilst this section aims to reveal how the said physical development of DHNS has been connected with the economic, social and ecological environments. These environments vary widely and systematically across communities and neighbourhoods (Sampson, 2003), thus it is important to reveal the social and spatial clustering which relate to DHNS. This section is structured in three parts: economic and housing market context, socio-economic and community context and ecological context. As a part of the forces of networking and political relations which impact on places (Pierce, Martin and Murphy, 2011; Clapham, 2005; Martin, 2003; Kemeney, 1992) these descriptions unfold (i) the economic network to which residential places like DHNS are linked (ii) housing, the labour market and mobility in relation to DHNS (iii) the society/community context that refers to the “residents of DHNS” and (iv) the surrounding environmental context that refers to the “residential environment”.

5.5.1. Economic and housing market context

In SMBC where DHNS is located, the GVA to the economy per resident is significantly larger than the West Midlands region or England average (ONS, 2011). In economic terms, SMBC has been successful in attracting both local and foreign investments – Jaguar Land Rover (JLR) and other automotive related business such as TRW, Information and Communications Technologies, construction sectors and other business and professional services firms. The primary drivers for these economic performances were the economic assets and the connectivity of the area: the Blythe Valley Business Parks, Solihull Town Centre and NEC (Birmingham), Birmingham International Airport (BHX), motorway network and national rail network (*Figure 5-6*). As a result, the “knowledge-intensive” services in SMBC have accounted for 38.2% of the jobs locally compared to England’s average of 31.4% (The Solihull Partnership, undated).

DHNS as a labour market is situated within 45 minutes commuting time to Birmingham city centre (approximately nine miles by car). With a 15 minute walk to the Whitlock’s End station, DHNS is connected to the rail network towards Birmingham¹⁹ and Stratford-upon-Avon, with trains every 20 minutes during peak hours. Commencing from 2003/4, DHNS is also connected to a local hourly bus service to Solihull and Shirley (except Sundays and bank holidays). The regional connectivity of DHNS with other parts of the UK is due to expand further with the HS2²⁰ proposals having an “interchange station” near Birmingham International Airport. However, it is noteworthy that besides its public

¹⁹ According to the 2011 census over Solihull residents commuting to Birmingham for work, and also there are strong communication links with Coventry, Warwickshire, Black Country, southern Staffordshire, northern Worcestershire (SMBC, Local assessment).

²⁰ HS2 is the high speed rail network connecting London, Birmingham, the East Midlands, Leeds, Sheffield and Manchester which was due to be commenced by 2017 and which the plans and routes and time frames are still open to be discussed and changed.

transport connectivity, the car usage of DHNS parish area is 96.18% (ONS, 2011) recording 15.93% higher than the car usage of SMBC.

From the housing market perspective, the administrative boundaries of DHNS are categorised as “Rural Housing Market Area” whilst the other two categories in the SMBC area are “Regeneration Housing Market Area” and “Urban Housing Market Area”. Being located in southern Solihull, regionally DHNS falls within the high-end housing market areas in the West Midlands region. In 2016, the average housing prices ranged from approximately £408,444 for a detached house property to around £140,961 for a flat/maisonette, whilst the respective average prices of West Midlands’ properties were £305,707 and £133,394 (HMLR, 2016). However, at a local scale, the average housing prices in DHNS has been relatively moderate in comparison to the rest of the south SMBC area (*Figure 5-14* and *Figure 5-15*). Therefore, the economic and housing market context of DHNS can be said to be a “buoyant market” at the regional scale, nevertheless “moderately affordable” compared to the rest of South Solihull. Similarly to many other areas of the UK, DHNS also had a housing market downturn during the period of the global credit crunch and economic turbulence in 2008–2012 (*Figure 5-13*). Therefore, irrespective of being a new settlement developed with a master plan and succession models of Garden Cities and New Towns, DHNS did not demonstrate a substantial resilience towards this economic turbulence, as demonstrated in housing developments on a scale of a New Town as could be seen in Milton Keynes in Buckinghamshire.

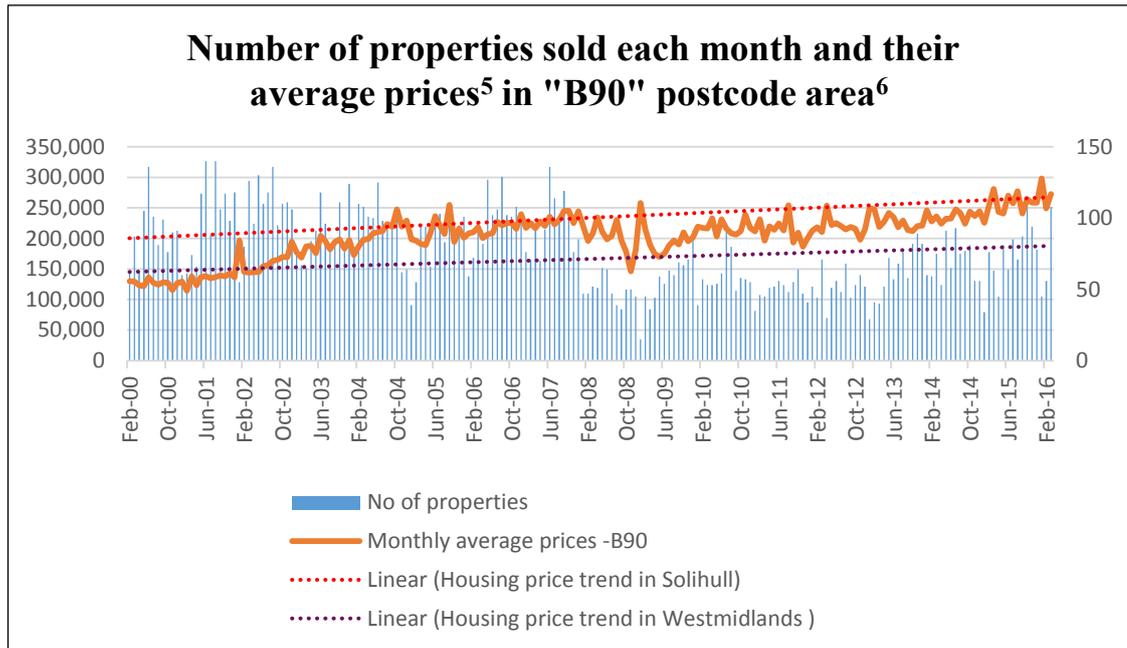


Figure 5-13 Average housing prices in and around DHNS area

Source: HMLR data (2016)

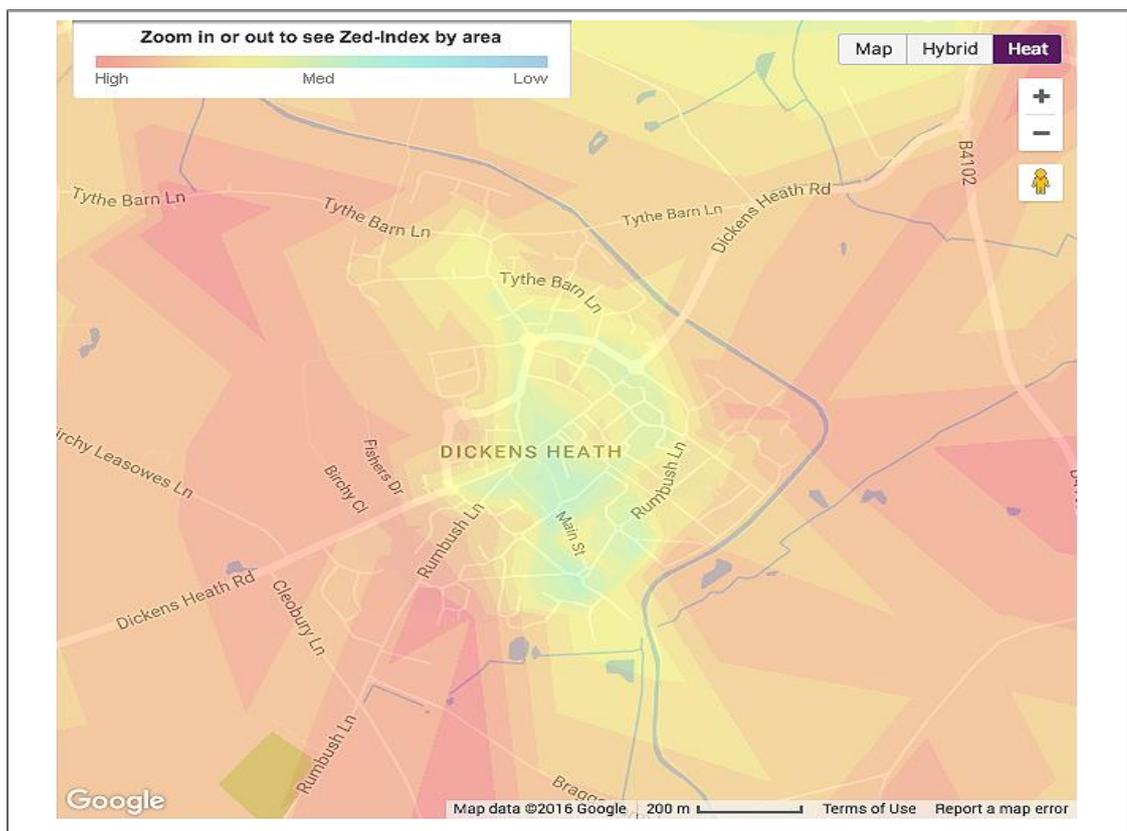


Figure 5-14 Heat map of average housing prices in DHNS (2015-2016)

Source: “Zoopla” website sourced with Google map data (2016)

With respect to housing tenure, the homeownership rate of DHNS is 63.6%, which is relatively lower in comparison to the SMBC homeownership rate of 73.7% (ONS, 2011). Even though DHNS was planned for home ownership, the market has eventually grown to a relatively higher private rented sector of 32.7% of housing (Table V in Appendix VIII). The main drive for this is the apartment development in the centre of DHNS that has lower average prices compared to the rest of the areas within DHNS (*Figure 5-14*). Nevertheless, as noted in Section 5.4.1, DHNS has the least concentration of social rented housing which is 1.3% of the housing stock (Table V in – Appendix VIII).

5.5.2 Social context (community profile)

The social context includes the demographic and socio-economic context of the DHNS community. The purpose here is to explain what demographic cohort the residents of DHNS represent. DHNS is a settlement prepared for a population of 4,000. The ONS (2013) records a current total population of 3,993 in the DH parish area, having a growth rate of 6.8%, which is 1.1% lower than the West Midlands growth rate. Out of that population, the male and British White population are 52% and 79 % respectively. Other ethnic communities represent 20.9% of total population in DH parish area and they are from a wide range of ethnic backgrounds (Table III – Appendix VIII). Furthermore, the distribution of age in the said population includes 28.4% of the younger (25–34 age) population, 5.8% of elderly (over 65) and 12.3% of child (below 12 years) population. A detailed socio-demographic profile of DHNS has been provided in Appendix VIII.

The socio-economic status of DHNS has been understood with the widely used contextual variables: education, occupation and income of households (Sirin, 2005; Gottfried, 1985). ONS (2013) shows that 98.1% of the population in DHNS belongs to the productive

labour force between the age group of 16–74. Out of them, 78.8% are engaged in professional, managerial or administrative occupations whilst the 49.5% of them possess a degree to higher degree or professional educational background (NVQ 4 or higher) (Table II and Table IV in Appendix VIII). Consequently, DHNS is situated among the highest weekly income band of £801–£1,070 (ONS, 2015). This is compared to the average gross weekly income of £534 in SMBC and the national average of £494. Nonetheless, DHNS has also become one of the areas noted with emerging patterns of worklessness and deprivation: 34.9% of households in DHNS fall within the category of “household is deprived in any dimension” (Table VII in Appendix VIII).

As a whole, this social (community) profile as a research context indicates several aspects. Firstly, as pointed out by several empirical studies such as Bedford, Clark and Harrison (2002), Gilg and Kelly (1997) and McGuirk (1995) with respect to communicative planning in the UK, a social profile similar to DHNS, predominantly of White British, mid-aged and middle class, replicate a “strong community context” in terms of their knowledge and capabilities. Irrespective of the said emerging deprivation level, generally, DHNS does not signify any vulnerable community context. Secondly, since the socio-demographic profile of DHNS demonstrates a fair representation of young first-time buyers, mid-aged community, and a retired elderly population of different occupational backgrounds it reasonably replicates different stages of households’ housing ladders and housing pathways. At the same time, the variations demonstrated within the general occupational, educational, ethnic compositions and household income vs deprivation levels, could reasonably replicate different thought styles and cultures (Højrup, 2003; Douglas, 1996; Bourdieu, 1984) with respect to the lifestyles of households. Furthermore, as shown in Appendix VIII, these contextual settings of the DHNS case study population

have been reasonably represented within the sample questionnaire respondents (Yin, 2009), on which the empirical analysis for the descriptive research questions is based on (Chapter 4, Sec 4.2).

5.5.3 Ecological Context

The ecological context here reflects the residential environments which DHNS residents bought into – household preferences on the character of the location. When considering the surrounding ecological conditions, 67% (2/3) of the SMBC area is in the greenbelt (SMBC, 2013). As a consequence DHNS is surrounded by many green spaces (*Figure 5-15*). The respective Blyth Ward in which DHNS is located has the highest extent of green spaces in SMBC (154.59 ha). The respective population density per green space per hectare is the 5th lowest (9.7 persons per ha) among all 17 wards in SMBC (SO, 2016).

More specifically, as indicated by the archival records of SMBC, prior to the development, DHNS was part of the ancient Arden landscape: small field patterns with species-rich, old hedgerows interspersed by mature oak trees where the roads are narrow with sunken green lanes (WCC, 1993). The Stratford-upon-Avon canal flows around the edge of DHNS and the ancient woodlands around are dated from the 16th Century and provide homes for a wider range of flora and fauna including bluebells, wood anemones and wood sorrel, bats, herons, kingfishers, ducks, foxes and badgers (SMBC, undated). The development is also within close proximity to two Sites of Importance for Nature Conservation: Little Tyburn Coppice and Big and Little Dickens Wood and within the village itself, remain some important hedgerows and trees (SMBC, undated). *Figure 5-15* depicts this environmental character of DHNS. Furthermore, according to the flood

zone assessment in 2008 by the Environment Agency, DHNS comes under the flood zone 1²¹ – a lower vulnerability area (SMBC, 2014b). Thus, as a residential environment, DHNS is connected to rich ecological surroundings representing typical locale conditions recognised by 20th-century urban theorists such as Walker, 1981; Hoyt, 1939; Burgess, 1920, as “family friendly quality residential environments in a suburban setting” overwhelmingly preferred by the urban middle class.



Figure 5-15 Surrounding Arden landscape character in DHNS

Source: Author (2015)

²¹ (<0.1%) – less than 1 in 1000 annual probability of river or sea flooding in any year

5.6 LSUE – The Context of Embedded Unit of Analysis

As discussed in Chapter 4, LSUE (at the planning stage at the time of writing the thesis) is the embedded case study unit to the primary case study area of DHNS. The purpose of LSUE was to investigate more contemporary communicative planning at the planning stage of a housing project. This process will triangulate data with the primary case study for the construct validity of the descriptive research questions (Bryman, 2015; Yin, 2014). The selection of this embedded unit was based on the fact that both DHNS and LSUE come under the same strategic housing market area (GBSLEP, 2016) and also it is the only available housing project in the context of “Urban Extension” or “New Settlement” within the said LEP area (Chapter 4, Sec 4.3.3.2). Therefore, the following section aims to understand the research context of LSUE in its role as an embedded case study unit to DHNS. The explanation of the research context of LSUE also follows a similar approach to that of DHNS and includes the discussion on (i) the planning context and (ii) the pre-development socio-economic and environmental context of LSUE.

5.6.1 The planning context

LSUE is located in Sutton New Hall ward in the Sutton Coldfield district of northern Birmingham suburbs (*Figure 5-5*). The project is approved as a policy-GA5 to BDP - 2031, adopted in 2016 and is currently in the planning phase aiming to deliver 6,000 housing units to partially fulfil BCC’s total housing need of 89,000 (2016–2031). As a part of BDP (2031), the LSUE project has completed all formal planning steps of the LDF formulating process as shown in *Figure 5-4*. LSUE primarily targets family housing with 40% affordable units and has been planned for an estimated population of 14,400 over an

extent of 273 hectares (BCC, 2017). Thus on average, the scale of LSUE is five times bigger than that of DHNS.

Similar to DHNS, the land for LSUE also has been allocated by releasing part of the Sutton Coldfield green belt in Birmingham through BDP 2031 (Policy GA5). Thus it provides a context of private sector-led greenfield development for the house building market. Various private sector builders and strategic promoters had promoted three sites, Site A, B, and C (*Figure 5-16*). Among which site C and the adjoining site D – the 71 hectares (proposed) Peddimore employment site (Policy GA6 in BDP 2031) has been selected to be developed.

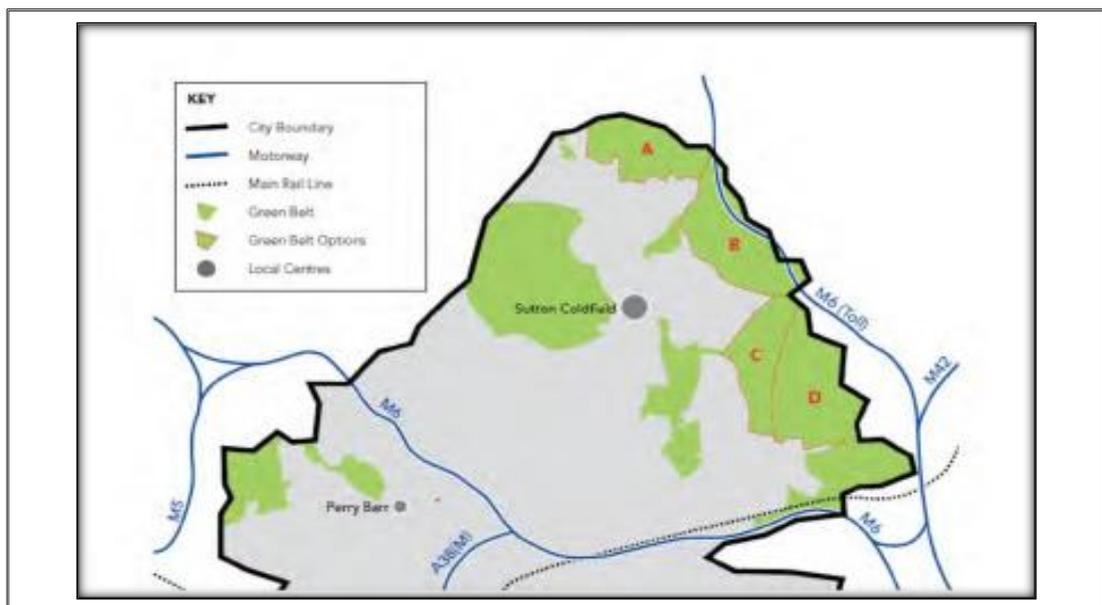


Figure 5-16 Greenbelt assessment for BDP - 2013

Source: SMBC, 2013b

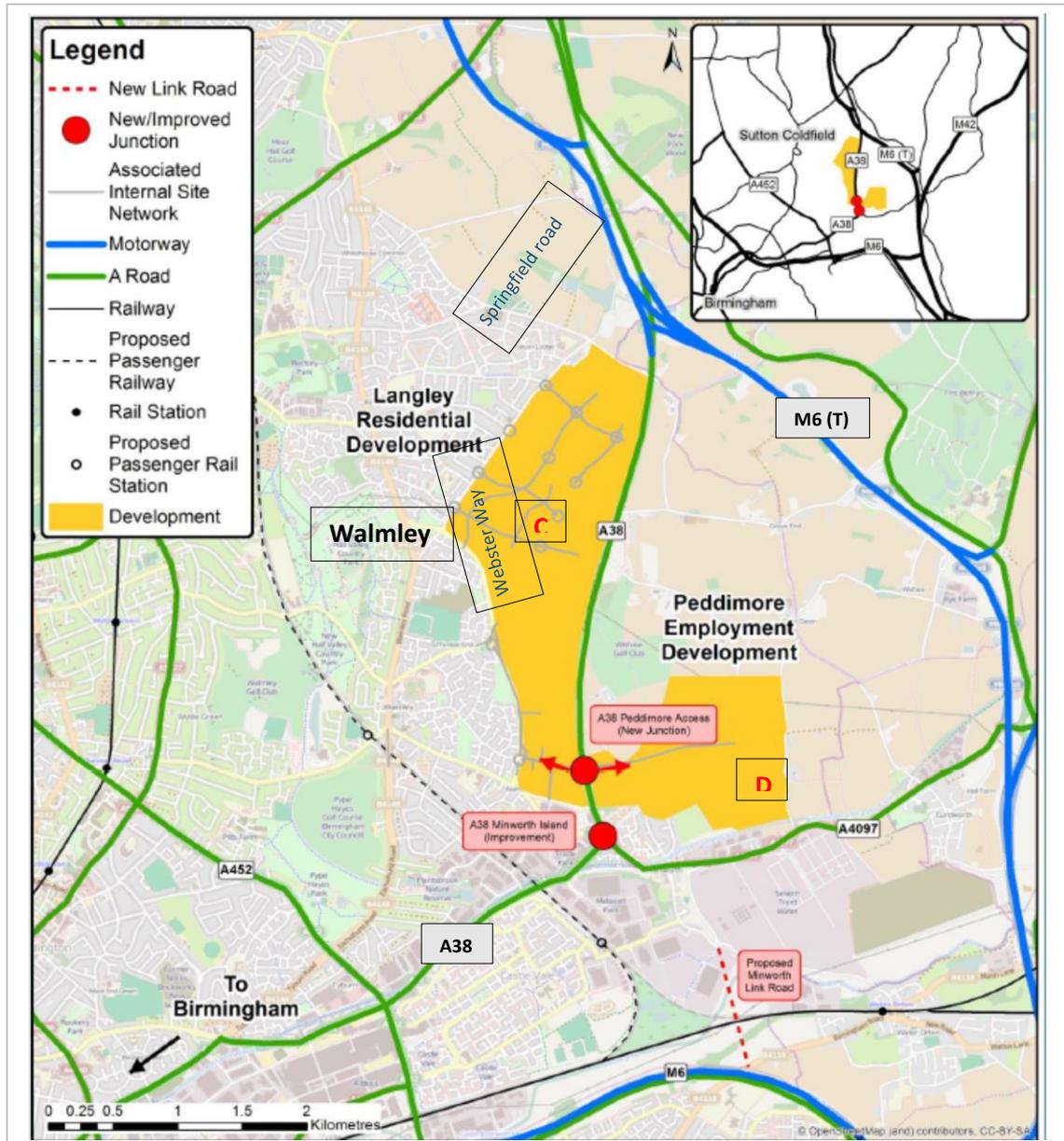


Figure 5-17 LSUE site in Walmley Sutton Coldfield and its connectivity

Source: GBSLEP (2014)

Being located in Walmley, Birmingham, the site is bounded by the A38 between M6 (T) and Birmingham city centre and southeast of Sutton Coldfield (*Figure 5-18*). More locally, the development site will be overlooked by residential properties in Webster Way and Springfield Road (*Figure 5-17*) and will be three miles away from Sutton Coldfield city centre and nine miles from Birmingham city centre. At a regional scale, LSUE

demonstrates the same strategic position as DHNS by showing its roots to the same E³I belt (*Figure 5-5*), connecting to local and international transportation routes with national rail, motorways and Birmingham International Airport and economic assets such as National Exhibition Centre, JLR and the planned Peddimore employment zone. However, due to the fact that LSUE is within the administrative boundary of the BCC area where Birmingham is the UK's second largest city, at the local level, LSUE is in a relatively urban context in comparison to that of DHNS. Therefore being an urban extension rather than a new settlement like DHNS, unlike Old DH which had only around 200 households during the time of the planning of DHNS, the LSUE site adjoining existing neighbourhoods like Walmley are largely populated (*Figure 5-18*).



Figure 5-18 Status of the planning context of an urban extension

Source: Adapted from Google maps

With respect to the context of agency (stakeholder), it is largely similar to that of DHNS (*Table 5-5*). The key stakeholders from the housing delivery point of view are:

- (i) A developer consortium that includes private sector developers, strategic promoters and landowners who have been investing, and promoting lands for housing development.
- (ii) The LPA public planners and local councillors who make planning decisions on the project.
- (iii) Master planning architect commissioned by the LPA in 2014 to bring in the (architectural) neighbourhood design aspirations to the housing project.

Besides them, there had also been an involvement from other passive stakeholders (Freeman, 1984) such as statutory consultees of LPA, CPRE and neighbouring authorities to BCC under a duty to cooperate (Sec 5.2.1 and 5.2.2). The primary influence of the neighbouring authority in this respect is to collectively decide on housing number allocations within the respective partnership areas. From the perspective of demand, the communities who have been engaging with the respective communicative planning process of LSUE are mostly the residents of the adjoining neighbourhood of Walmley, in the Sutton Coldfield area. Therefore, despite LSUE being an urban extension that has a significant number of existing communities, no new communities have been engaged in the communicative planning process during the planning phase of the project. Therefore LSUE complies with the contextual setting required to fulfil the identified research gaps in Chapter 3.

Table 5-5 Key stakeholder agency involvement in the housing delivery process in LSUE

Stakeholders		2013	2014	2015	2016- adoption of the BDP
Market actors	Development consortium				
	• Landowners				
	• Strategic promoters				
	• Builders				
LPA/ Government	Planners/LPA				
	Local councillors/LPA				
	Neighbouring authorities and LEPs				
	Special consultation bodies/quangos (Highway agency, utility companies, Environmental Agency etc.)				
Master Planners					
Community	Existing Community				
	New Community	N/A	N/A	N/A	N/A
Lobby groups	Environmental groups Eg: CPRE				

Source: Author

5.6.2 Economic, social and ecological environmental context

As already mentioned in Sec 5.2.2 at a regional scale both DHNS and LSUE is networked to the same economic nexus and transportation links to many parts of the UK including London and Manchester. Both places are decentralised residential and economic development growth areas within the same strategic housing market area (i. e. GBSLEP). In addition to this, LSUE is located in the northern suburbs of Birmingham, the second largest city in the UK. Thus as mentioned before, despite its surrounding rural environmental characteristics (*Figure 5-19*), from economic, administrative and planning points of view LSUE has a relatively urban context in comparison to that of DHNS. Therefore being an urban extension, the location is already connected with Birmingham city via the A38. The location is 3.27 km to Sutton Coldfield rail station and 3.04 km to the Sutton town centre. The nearest town centre of Walmley is accessible within 1.58 km. In addition, the transport strategy of BDP-2031 strongly emphasises its plans to enhance the existing highway capacity connecting the site with new links to the A38 by upgrading its corridors and Sprint transport. Therefore, similar to DHNS, LSUE is also expected to function as a decentralised residential hub, linking with targeted employment zone(s) – primarily the (proposed) Peddimore employment site (*Figure 5-15*).

Based on this role of decentralised residential activity reinforced through transportation and decentralised employment (Mieszkowski, and Mills, 1993) the housing market around the proposed development site of LSUE is more or less level with DHNS. According to HMLR (2016), the average housing prices of the adjoining Walmley area range between £346,131 for a detached house property to £108,500 for a flat/maisonette. Meanwhile, like many other parts of the UK including DHNS, this area also experienced a similar housing market downturn in the aftermath of the 2008 credit crunch, recording

lowest average housing prices (for all types) at £152,970 in December 2008 (HMLR, 2008). Out of all, the most notable similarity between DHNS and LSUE is the relatively higher homeownership rate and the lower social rented sector. The homeownership and the social rented sector in the Sutton Coldfield district were 79.5% (63.6% in DHNS) and 8.4% (1.3% in DHNS) respectively whilst the respective rates for the Birmingham average were 55.2% and 24.2% (ONS, 2011).

LSUE being at the planning stage, the social context discussed here reflects the social setting of the existing nearby communities in the Sutton New Hall ward. The total population of Sutton New Hall ward (in which LSUE is located) is 22,455 with 9,433 households (ONS, 2011). A total of 85.3% of its population is White British compared to Birmingham's 53.1% whilst the population of the productive labour force (aged 16–74) in Sutton New Hall is 73% (ONS census, 2011). The socio-economic context highlights that compared to all other districts within the BCC area, the Sutton Coldfield district has the highest rate (38.6%) of "NVQ 4 or plus" population out of the total population aged 16–64 (ONS 2013). Consequently, it has the highest median weekly income of £632.8 (ONS, 2015) whilst 64.6% of the working-age population are engaged in professional, managerial or administrative occupations (ONS, 2011). In the meantime, Birmingham's monthly tracker survey (2010–2014) shows the satisfaction rate for Sutton Coldfield as a place to live is the highest out of all 10 districts in BCC and had remained consistently around the 90% mark since the survey has been in operation in 2010. It is these communities who are educated, White British, middle class and having a strong sense of place, that predominantly participate in the communicative planning actions during the planning phase of the LSUE. Similar to the case of DHNS, these existing residents demonstrate a very strong local opposition to this new LSUE development.

From the ecological perspective, the LUSE site is a moderate scale (grade 3 & 3(a)) arable land (BCC, 2013) with an open character (*Figure 5-19*). According to the green belt assessment report for BDP -2031(BCC, 2013b) the respective site C (*Figure 5-16*) has the least landscape character and sensitivity, and thus a lower overall ecological value in comparison to other proposed sites: site A and B. Besides, some parts of site C: Langley Brook Lowlands, Langley Heath Agricultural Lowlands and Fox Hollies Woodlands Ridge, have been recognised to be of medium level sensitivity containing small-scale pastoral fields, dispersed mature hedgerow trees, pasture and open water habitat surrounded by mature oak, beech and lime that support great crested newts, bats, badgers, breeding birds, reptiles and otters. The same report indicates that a larger proportion (more than 80%) of the site comes within flood zone 1 whilst the rest falls into flood zones 2 and 3; thus may require sustainable urban drainage with respect to its stormwater management. Out of all, the special feature of the site is its archaeological and historical environment. The site has three listed buildings: Langley Hall, Fox Hollies and Langley Heath Farm, and many currently designated heritage assets including a locally listed building, remaining archaeological sites and other historic buildings (BCC, 2014). Therefore in comparison to DHNS, LSUE reports a relatively higher level of deliverability challenges. Nevertheless, as a whole it presents a similar natural landscape character with that of DHNS; in the typical sense, overwhelmingly preferred by the urban middle class as their residential environments (Walker, 1981; Hoyt, 1939; Burgess, 1920).



Figure 5-19 Ecological surrounding of the LSUE site

Source: Author (2015)

5.7 Conclusion

This chapter has presented the contextual understanding of the primary case study (DHNS) and its embedded unit (LSUE). It discusses the context of production of space which is interwoven with the planning process, the actors (stakeholders) engaged in the process and the social, economic, and environmental setting of space and agency. Both places have emerged as decentralised residential locations and labour markets to encourage and support further growth of the West Midlands region. Situated within the same strategic housing market area (i.e. GBSLEP) both locations by and large level up to similar economic and housing market growth conditions, social profiles and

environmental settings – commuting hubs predominantly for middle-class White British, in environments that are said to be overwhelmingly preferred by them for family living. Being a private sector-led greenfield development for market housing, the core stakeholders of the developments from the supply perspective were the developer's consortium, LPA and master planners. The communities (residents) are the key stakeholders from the demand perspective. Being a greenfield development, the case studies provide a context where new communities did not exist at the planning stage of the project to engage in communicative planning action. At the same time, both case studies represented a situation where the existing housed communities were opposing the newly planned developments such as DHNS and LSUE. This contextual understanding as a whole ensures both internal and external validity of the empirical analysis demonstrated in the next three chapters that aimed the inquiry of communicative planning for SHA outcomes.

CHAPTER SIX

THE RESIDENTS' FRAMES OF REFERENCES FOR SUSTAINABLE HOUSING AFFORDABILITY

6.1 Introduction

Residents own the problem of Sustainable Housing Affordability (SHA) as the end users of their housing outcomes (see: Reed et al, 2009; Checkland, 1981), therefore, planning for SHA outcomes (housing outcomes that ideally matches with the shared meanings for housing affordability and sustainability of all stakeholders) the understanding of how residents' value or frame their references to it are of prime importance. With this in mind, the aim of this chapter is to understand how residents frame their meanings for 'SHA'. Residents' perception of 'SHA' outcomes is understood by studying the households' housing choice through the lens of Giddens' (1984) Theory of Structuration – the sensitising concepts for agency motivation, agency action, structuration and the time-space effects on structuration. Here the presumption is that households' housing choices reflect their endeavour for housing “affordability” and “sustainability” within their *means* and *meanings*. As **Figure 6-1** schematically explains, a duality of structure presents between the agency (in this case the households' motives and actions for housing choice) and the structures (in this case the view on 'SHA' outcomes). This structuration is subjected to change as a result of actions being susceptible to the dynamics of time-space. Correspondingly, the themes of the chapter are arranged in the order of households'

motivations for housing choice, households' actions for housing choice, structuration of households' view of housing and the time-space effects to housing outcomes. Thus the basis of the thematic analysis of this chapter follows theoretical propositions (Yin, 2014) employed to develop the conceptual framework of the study. The chapter attends to the research gaps highlighted in Chapter 2 that under the twenty first century housing context, conceptualising the concept of SHA requires an institutionalist reading, i.e. acknowledging that 'SHA' is socially constructed, thus its understanding requires a relational view between residents/households and stakeholders that shape housing outcomes.

Findings of the chapter are drawn from multiple data sources all primarily obtained from the DHNS case study – i.e. the questionnaire survey, in-depth interviews with residents and real estate agents, the author/researcher's observations, the document review and social media. Data from LSUE has also been embedded where the context provides the opportunity for doing so, but to a more limited extent than DHNS. Employing a mixed method approach, data has been triangulated in a *qualitising* direction (Johnson and Onwuegbuzie, 2004).

It should also be noted that whilst the chapter aims to highlight the complexities associated with the concept of agency, and acknowledges the relational view of the world, the analysis also employs two assumptions. First, all households rationally require their housing to be "affordable" and "sustainable" thus their housing choice reflect their endeavour to fulfil these requirements. Secondly, whilst ignoring the complexities *within* household choices (Clapham, 2005), the household will be the unit of analysis.

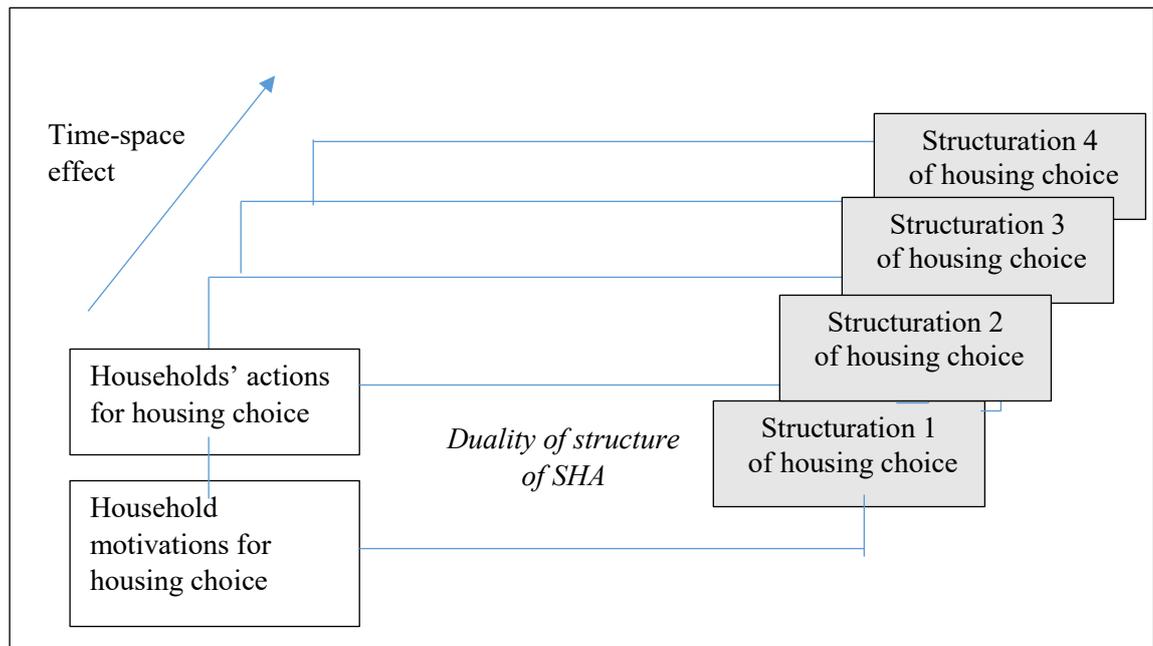


Figure 6-1 Giddens (1984) Theory of Structuration as a framework to understand the concept of “SHA”

Source: Author

6.2 Residents' Frames of References on 'SHA'

In DHNS, residents sought their housing requirements - either market or social housing - through effective demand (Chapter 5, Sec 5.4.1): individuals chose (demand) the level of housing resources that they wished given preferences and within their means (Whitehead, 1991; Stone, 2006b, 2006c). Thus, analysis of housing choice of households is a way that a social researcher could understand the behavioural aspect of residents (see, for example, Clapham 2010, 2005, 2002), therefore, to understand as to how households frame their references to 'SHA'.

As argued in Chapter 2, the concept of SHA is a complex subject that cannot be explained within the limits of housing/non-housing costs and wages of residents, as suggested by classical approaches but requires an alternative, more nuanced view. For example, the

analysis of questionnaire survey responses for Q11 and Q26 (Appendix VII) shows that regardless of the ratio between housing cost and monthly income, 263 households out of 280 perceived their housing was affordable. This included residents who incurred monthly housing cost over and above 60% of their income. On the other hand, 7 out of 17 households who claimed their housing is unaffordable, incurred only a housing cost which was less than 30% of their monthly income. *Table 6-1* that summarises the reasoning given for the housing affordability perceptions in DHNS tease out this complex interplay between their perception of housing outcomes and their varying household subjectivities. It gives an indication that as per the proposition in Chapter 2, the explanation of SHA concept requires an alternative approach, such as the institutionalist view that can reflect on these human subjectivities (*frames of reference of actors*; Healey, 2006 or *meanings*; Clapham, 2005) on housing outcomes.

Therefore, following the Institutional Approach (IA), Giddens' Theory of Structuration (*Figure 6-1*) (Giddens, 1984) is applied to analyse housing choice of households to understand how residents frame their meanings for 'SHA' outcomes. Accordingly, this section of the chapter first analyses (DHNS/LSUE) households' motivations that lead to varying housing choice actions which have been classified into three interwoven factors: lifestyles, housing pathways and webs of social-spatial relations. Secondly, the analysis shows the households' housing choice actions that comprise of trading-off, employing knowledge and ontological security. Finally, the structuration of households' housing choice is discussed to demonstrate the duality relationship between the households' actions led by respective motivations and the households' frame of references for housing outcomes (SHA).

Table 6-1 Perceptions of housing affordability in DHNS

Monthly housing cost/household ratio is less than 30%, but perceive housing is unaffordable	Monthly housing cost/household ratio is more than 50%, but perceive housing is affordable
<i>“Loved it, when I moved here in 2008. But now the roads are too narrow and I feel there are too many houses crammed on it.”</i>	<i>“Tight to begin with. But improved over the years. Knowing we’ve made the investment.”</i>
<i>“Good but not excellent with the development around.”</i>	<i>“It is okay, the area is known as a prime location. So paying premium is very much expected.”</i>
<i>“This house was a one-year rental property. It is far too expensive to rent long term. If we were to buy we couldn’t afford a house we would like.”</i>	<i>“Comparing to the prices in other areas, Dickens Heath is expensive and houses are smaller. But on the other hand, the type of neighbours are different too. Prefer to pay more money and live in Dickens Heath anyway.”</i>
<i>“We have a small house and couldn’t comfortably afford much more in the area.”</i>	<i>“I have put our housing needs above all, as I feel it was important for my family to leave the area where we were living before. I do feel the rent is reasonable for this area.”</i>
<i>“We have had to spend much more on housing for this way of life. Now the schools are oversubscribed...”</i>	<i>“In this house, we live as an extended family. My son and daughter-in-law, both are dentists. We all share the total cost for the month. They pay the housing cost. We are looking after their children. This is a six-bed house and we are very lucky that we were able to buy this house.”</i>
<i>“We don’t feel very inclusive to this community.”</i>	
<i>“Not at all affordable for my two sons who are 27, 29. Rents are high, service charges are high, lack of parking.”</i>	
<i>“Just about afford to live with no extra money to spend at the end of each week /month.”</i>	
<i>“New to England. Not sure what would be the quality of housing considered affordable and whether Dickens Heath fits in that area.”</i>	

Source: Questionnaire survey, 2015

6.2.1 Residents' motivations for housing choice

In Giddens' terms, motivations are the potential for wants, which for the most part supply the overall plan or programme for an action (1984: 6). As per the propositions of the study (Chapter 2, Sec 2.4.1), these motivations are the catalysts to achieve a particular housing choice of a household - highlights how households' subjectivities shape the housing demand. Therefore, within the understanding of the SHA concept, these motives denotes the residents' frames of references or values.

Table 6-2 depicts the content analysis of the questionnaire survey responses with respect to "reasons to move to Dickens Heath". These reflect the households' motivations and have been deductively divided into three broad themes: lifestyle-related motives, housing pathway related motives and webs of social-spatial relational motives (Chapter 2, Sec 2.4.1). Thereafter, based on the direction in which those motivations influenced the new community formations in places such as DHNS, they have been further classified into varying clusters both deductively (Chapter 2, Sec 2.4.) and inductively through the researcher's judgement (see *Table 6-2*). This cluster analysis has also been triangulated with data obtained through resident interviews and researcher observations. Neither these classifications for motives and clusters nor the respective households are mutually exclusive; there are overlays and interdependencies existing between them.

Table 6-2 Content analysis for households' motivations for housing choice in DHNS

Broad themes	Contents of the responses for Q16: “reasons to move to Dickens Heath” (i.e motives of residents for housing choices in DHNS	Clusters
Lifestyles	<p>Nice area to live, love the village feel, DHNS is about family housing, wanted to live in Solihull, access to countryside/village character, canal and beautiful location, green environment, DHNS postal address</p> <p>Dickens Heath offers high-quality housing, brand new modern houses, smarter property, better amenities on the doorstep, good living conditions, convenience, self-sufficient area, close to Solihull, Shirley, bought the house as an investment, easy to sell the house, costly to live in cities</p> <p>Community feel/atmosphere, friendly environment, low crime/safe, young community, quiet area, peaceful, stay away from busy noisy neighbourhoods, good people, stay away from gossip, stay away from my relatives.</p>	<p>Oriented towards quality and aesthetics of residential places</p> <p>Oriented towards modern living convenience and good housing markets</p> <p>Oriented towards like-minded community</p>
Housing pathways	<p>Wanted a bigger family house, buying first apartment house, need bigger bedrooms, moved to work/job relocation, get a good school for children, marriage, to be with a partner, buying a property for a pension pot</p> <p>Wanted to downsize the house to decrease bills, divorce</p> <p>Wanted a bigger house to make our parents stay, reunite with family</p>	<p>Forming households</p> <p>Breaking/dissolving households</p> <p>Re-forming households</p>
Webs of social-spatial relations	<p>Relocated to be near the family network, near parents, continue to stay near parents, close to our clubs we have joined, wanted to stay connected to our friends and old neighbours</p> <p>We were originally from the Midlands/Solihull/Shirley</p> <p>Close to transport, motorway/job opportunities/lesser commuting, close to London, Warwick</p>	<p>Social embeddedness</p> <p>Territorial embeddedness</p> <p>Network embeddedness</p>

Source: Fieldwork, 2015

6.2.1.1 Lifestyle related motives

Lifestyles are “patterns of actions that differentiate people, what people do, and why they do it, and what doing it means to them or to others” (Chaney, 1996: 12) or on what basis people spend their time and money (Bootsma, 1995). Accordingly, the lifestyle-related motives here refer to how distinctive modes of living drive the residents to value their housing choices (Beamish, Goss and Emmel, 2001).

As depicted in **Table 6-2**, residents who moved to DHNS at different entry points were motivated by lifestyle orientations that can be clustered into three. First, residents have been motivated by the fact that making a housing choice in DHNS would enable them to live in a place of rural character with rich scenic beauty, providing physical and mental well-being in high-quality countryside surroundings (see Chapter 5, Sec 5.5.3). The study refers to this lifestyle cluster as “**orientation towards quality and aesthetics of residential places**” whilst the studies of Lee, Carucci and Beamish (2007) and Beyer, Mackesey, and Montgomery (1955) respectively classified this lifestyle orientation as *environmental cluster* and *family and personal lifestyle cluster* (see, Chapter 2, Sec 2.4.1.1). The residents expressed their orientation towards this lifestyle as:

“We thought this [DHNS] was going to be a little village anyway... it was nice to watch the canal and woodland, oak trees and squirrels in our vicinity” [Respondent#43.F.Over60.DHNS].

“I cannot survive without a garden... I always wanted to have my horse around... I think the apartments in the Dickens Heath centre are not meant for me” [Respondent #42.F.30-44.DHNS].

“When we purchase this land [for the self-build house] we also bought this woodland. I maintain that as a private wildlife site having lovely bluebells... we lived in Worcester earlier... there you have to go long way to a decent shop, doctors” [Respondent#45.F.Over60.DHNS].

“We thought it would be a nice place to bring up a family, Dickens Heath seemed to have those characteristics in the sense it is countryside but close to Solihull and all the amenities. It had good schools that were in the catchment area. So it set an attraction and a very pleasant part of the West Midlands to live in” [Respondent#50.M.45-59.DHPC.DHNS].

It was notable that the majority of these interview respondents have been middle-aged families or elderly couples who were at the subsequent stage in their housing ladder and/or middle-class professionals. Their housing choice traits included living in larger houses, having landscaped gardens and housing is located at lower-density cul-de-sacs of DHNS. They mostly preferred home ownership close to the required amenities. From the field survey, it was noted that the majority of those residents had gates to discourage strangers often visiting them, two or three large vehicles per house, gardens are well landscaped and houses were also used to express their social status. For instance, some residents provided the reason for their housing choice was wanting to acquire the DHNS postal address (*Table 6-2*) and indicated their aims to use the housing as catalysts for them to be recognised as middle-class citizens living in buoyant housing markets.

The second primary motivation was the fact that DHNS is a new built. Despite a rural location and ambience, DHNS was intended to be a service location, houses were new, thus, they were of modern styles with less maintenance. In *Table 6-2*, this is referred to as lifestyles **oriented towards modern living convenience and good housing markets**.

Some of the elderly couples interviewed stated:

“The previous house we lived was a bit of an older house – more maintenance required on it. We didn’t want to do anything more basically. So this [DHNS] was a new estate and we never lived in a new house. We thought it would be a good thing to move... I think we needed a smaller garden because we didn’t want to maintain a lot... The design here is better; the way they constructed the houses, make better use of the space than they did in our older bigger houses” [Respondent#57.M.Over60.DHNS].

“As we are getting older you never know when you might not be able to drive. So here there are nearby facilities... if I run out of milk, I can walk and get it from the store within five-ten minutes... we actually looked for a new house... We think this is a good investment for me and my partner... This house looked a bit unusual having three levels... but that is okay... We have grandchildren as well. So when they do come they are on a different level living separately”
 [Respondent#55.M.Over60.DHPC.DHNS].

As the respondents reveal, their primary motivations to move into DHNS have been to acquire a new property, in order to get rid of burdens like large utility bills, higher maintenance costs of old houses, enjoy more contemporary housing layouts and convenient access to nearby services in their everyday needs. They often view housing as an investment. This orientation is closely related to what Højrup (2003) classified as *career-oriented life mode* and Lee, Carucci and Beamish (2007) recognised as *basic lifestyle cluster*, residents who emphasise the value of the economic use of goods and make business judgements (Beyer, Mackesey and Montgomery, 1955). It showed that despite the age (both respondents are aged over 60), the households having this orientation had been flexible in making their housing choices, moving away from traditional large house home ownership to three-storey townhouses or apartments located in some form of densified locations like DHNS centre and agreeing to possess tenure arrangements such as leasehold or peppercorn rent (a nominal ground rent). The third primary motivation that drove residents to DHNS was their lifestyle orientation to live in **good and like-minded communities** having compatible lifestyles. (*Table 6-2*). The residents having this lifestyle orientation gave higher weight in their housing choice towards the friendly community, safe social environment, privacy, and having peace of mind without being interrupted by neighbours with incompatible lifestyles. Bounded by the residents’ previous housing experiences – reflexively monitoring the issues that they

have associated with “bad” neighbours or what they have missed by not having a suitable house for a social engagement that they wished –the primary focal point of their housing choice has been the neighbouring community. Examples below, from both interview data and the questionnaire survey, highlight this well.

“Once we came here, we felt, Oh my God! This is the place we wanted. Very quiet... peaceful. Previously we have been living in Birmingham, oh my God!! So noisy. Even on Sundays... we didn’t like that at all. I enjoy the community here. I am thinking of my child. Here you have a good school and her friends might also come from good families” [Respondent#54.F.30-44.DHNS].

“Want to live near a good school and away from bad residents who don’t care about their living conditions....had enough of it” [Questionnaire.survey.Female.WhiteBritish.34-40].

“Before DHNS, we lived by the main road before in a bit older and smaller house... so we thought it is a time to move your house. I mean we wanted different houses as much as anything else – we have friends to stay ...the kids come home and they need a place to stay... we wanted nice neighbours” [Respondent#44.F.45-59.DHNS].

The housing choices out of this particular lifestyle orientation included all types of tenure –homeowners, private and social tenants – and respondents had bought properties from all three density zones, as long as they were satisfied with the neighbouring community. Cultural theories of thought styles recognised this orientation as *enclaves* (Douglas, 1996), the study by Lee, Carucci and Beamish (2007) named them as a *community cluster* and Jansen’s (2014) study as the security-value (safety, harmony and stability of society of relationships) cluster. Unlike the residents with environmental oriented lifestyles, who were mostly self-directed, these residents are mostly out-reached for community enjoyment and their intention is focused on families to be part of the DHNS community (*Gemeinschaft* – a sense of community) (see Tonnies and Loomis, 1957).

6.2.1.2 Housing pathway related motives

Housing pathways focus on the movements and transitions of the household's life cycle (Beer and Faulkner, 2009; Clapham, 2005). The concern here is to analyse how these life cycle transitions of households form dynamics in household motivations for housing choices. The content analysis in **Table 6-2** identifies different housing pathways of residents that had influenced them to move to DHNS: first-time home buying after graduation or marriage, investing in small housing units aiming at buy to let – mainly for pension pots/extra income source – and life course-related factors such as job moves, marriage, divorce, to be with partner, children started schooling, ageing and so on. As shown in **Table 6-2**, those housing pathways lead to forming, breaking/dissolving, re-forming households (Kemeny, 1992).

To analyse how these household dynamics correlate with the housing choice, four scenarios were taken from interview data. *Divorce*, for example, “*I had to split with my partner and I chose to leave, it was my decision, so I had to pay money for that... so now, I found myself back into the rented world*” [Respondent#42.F.30-44.DHNS] demonstrates a scenario of *dissolving* the former couple-household into the *forming* of two separate single households. Having depleted her financial resources by paying compensation to the partner, nevertheless, she wishes to remain within a lifestyle that is oriented towards **quality and aesthetic residential places** (Respondent#42 (Sec 6.2.1.1)), her preferred housing choice has been rented accommodation in DHNS outer skirt cul-de-sacs, to a leasehold apartment in the DHNS centre.

Similarly, a scenario of *ageing and marriage* of the daughters is indicative of *dissolving* the older big house, *re-forming* a downsized smaller house and the *forming* of two new

households of younger couples. In addition, this dynamic is indicative of housing pathway's influence on household's lifestyle shift from former *quality and aesthetically* oriented lifestyle to *modern living convenience and good market-oriented* lifestyles (Respondent#57 in Sec 6.2.1.1):

“Another reason for moving into this smaller house in DHNS was, we got two daughters and after getting married they both left home. The house we were in before had a big garden... it was useful when the kids were young... they would go down there and play. Now it is too big and the maintenance of the garden was difficult and pointless... now our daughters live in their own two-bed houses in and around DHNS”.
[Respondent#57.M.Over60.DHNS].

The scenario of job moves across regions presents housing pathway dynamics, in terms of *re-forming* the same household in several turns:

“Because my husband’s work shifted to Birmingham and I and kids were in Liverpool...he kept feeling that he didn't want to be in Birmingham without us...So, I just gave up my full-time job there and decided to move into DHNS...later found a part-time job here (DHNS). I guess it was the right thing to do...We first got a rented house and eventually move into this five-bed bigger one to settle in.”
[Respondent#40.F.45-59.Cor.VH.DHNS]

The job moves from one region to another and at the same time having a lifestyle that appreciates living together as a family influenced the particular households to *re-form* their household geographically across regions (from Liverpool to Birmingham) and across housing tenure from homeownership to tenant and back again to homeownership of a larger house.

Finally, retirement as a housing pathway is a variable that exemplifies the dynamics in *dissolving* one's existing household and *re-forming* the same into a smaller housing unit. It also demonstrates the multiple agencies of a household: acting not only as a user (create demand) but also as an investor and supplier of houses (housing supply).

“When we were downsizing the house, I didn’t spend all the money to buy this house. I looked for an apartment in the centre to buy-to-let for my pension pot” [Respondent#47.M.Over60.DHNS].

As all the above scenarios reflect, change in household circumstances implies the moving upwards and downwards of the household’s wealth. The influence of housing pathway motivations shapes the housing choice of a household like the game of ‘snakes and ladders’ (Badcock and Beer, 2000). Interwoven with lifestyles, housing pathways make the housing choice a career (Clapham, 2005) that progresses/regresses across different steps of the household’s life (see, *Figure 6-2, Figure 6-3* for examples).

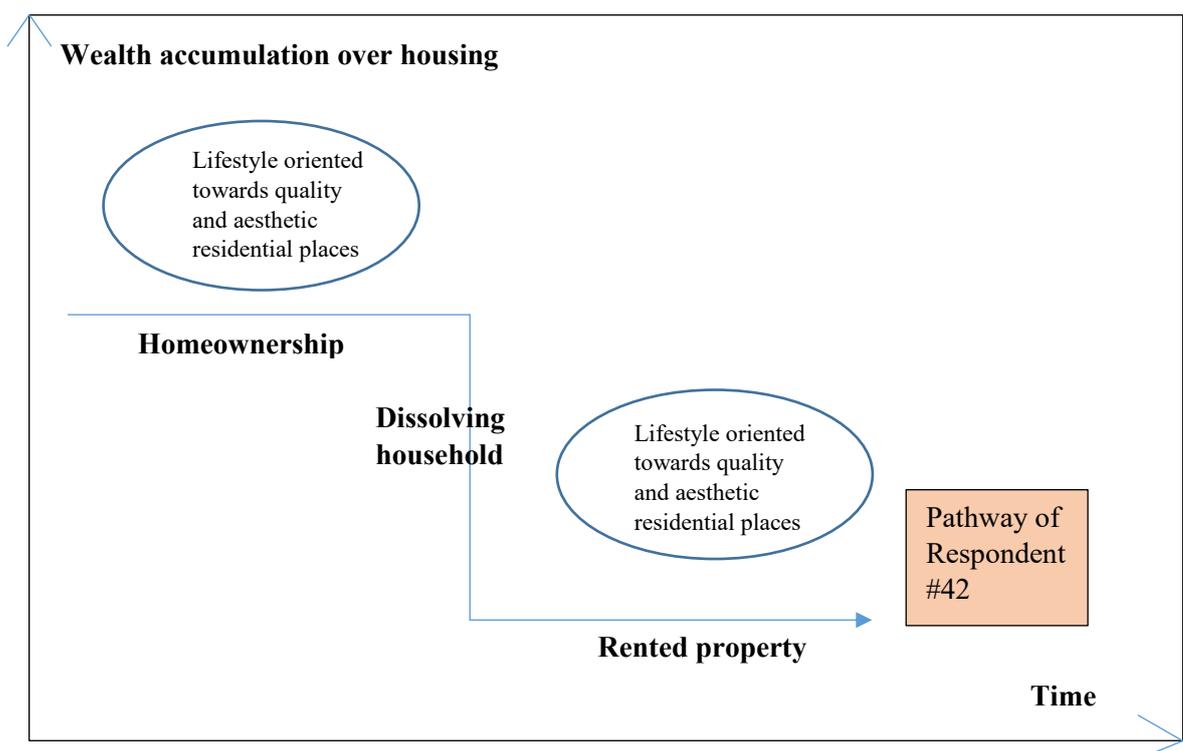


Figure 6-2 Housing pathway scenario for Respondent #42

Source: Author

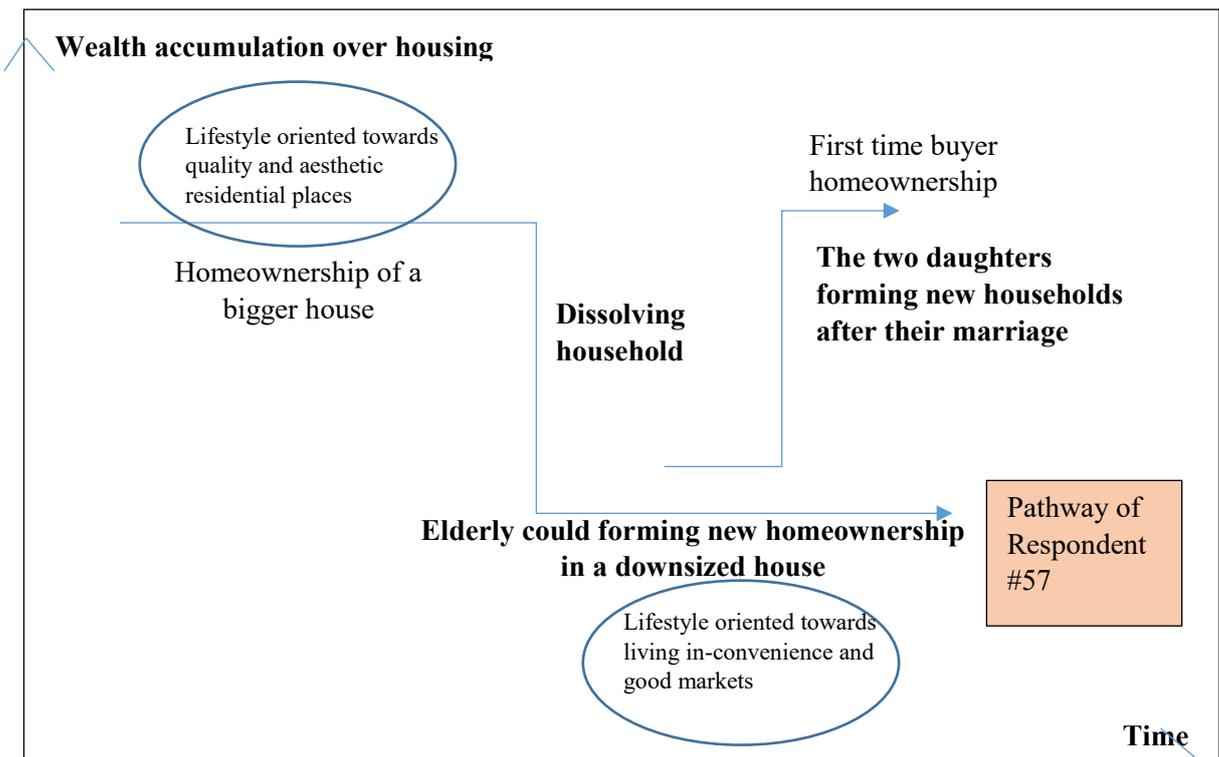


Figure 6-3 Housing pathway scenario for Respondent #57

Source: Author

6.2.1.3 Webs of social-spatial relationships related motives

In addition to the lifestyle and housing pathway related motives, the housing choice of DHNS residents has also been motivated by the webs of social-spatial relationships. These refer to the “embeddedness” of the households in a particular social and physical territory (Jessop, Brenner and Jones, 2008; Hess, 2004). In the analysis of the questionnaire survey from **Table 6-2** such factors include the desire to feel belonging to the communities or localities and wanting to be connected to their own defined network boundaries – jobs, friends and family. Employing the classification of Hess (2004), these have been clustered into territorial, societal and network embeddedness. The triangulation of data from interviews and other questionnaire survey results highlight that this different

embeddedness of residents imposes limitations on their housing choices to a larger extent in terms of the locational choice for housing.

The **territorial embeddedness** indicates when an actor is 'anchored' in a particular geography (Hess, 2004). Triangulating **Table 6-2** with **Table 6-3** highlights, more than half (65.6%) of the early residents (i.e. prior to 2000) have moved from local areas: Old Dickens Heath, Shirley, Cheswick Green, Tidbury Green or other nearby parts of Solihull. These residents reasoned that the milieu of DHNS has provided them with an opportunity to move into new houses and facilities, in comparison to the relatively old adjoining neighbourhoods (such as Shirley, Cheswick Green, and Monkspath), whilst it also allowed them to remain within Solihull.

One of the interviewed residents stated:

“Well, I have lived in Shirley [before I moved to Moseley because of my job] and now in Dickens Heath ...this is like New Shirley. I went to school in Solihull... so it was the catchment area of Shirley Dickens Heath. All my friends are in Cheswick Green and Monks path... This place is convenient for me ...I can go to work in Birmingham within half an hour” [Respondent#42.F.30-44.DHNS].

This quotation exemplifies the resident cohort that wants to stay local: the feeling of the respondent who had formerly belonged to Shirley, Dickens Heath or more broadly to the Solihull area. Given the precondition that DHNS is a convenient place from which the respondent may access her job, her housing preferences for housing locations has always been anchored around these areas. Several other interview responses further highlighted that most of the pioneering elderly residents who were active members of the DHNS community had been living in Solihull since their childhood or from young ages. Despite some having moved out of Solihull during some part of their life – mostly with their jobs etc., they had returned back to Solihull, by moving into DHNS as their final destination

(retirement) of the housing career: “I was born in Solihull. But used to live and work in Shetland Island, North of Scotland. But after retirement wanted to come back to my hometown and live near parents” [Respondent #8.DHNS.Female.over 65].

Table 6-3 Areas in which the residents moved into DHNS

Area moved from	Old DH- Before 1997		1997-2000		2001-2008		After 2008		Total	
		%		%		%		%		%
Dickens Heath	0	0	2	3.8	10	12.8	7	12.8	19	7.2
Within Solihull region	10	90.9	30	56.6	42	53.8	42	53.8	124	47.0
Birmingham	1	9.1	0	0	8	10.3	12	10.3	21	8.0
Birmingham suburbs	0	0	8	15.1	3	3.8	12	3.8	23	8.7
Any other part of West Midlands	0	0	3	5.7	5	6.4	19	6.4	27	10.2
London or London borough	0	0	3	5.7	3	3.8	12	3.8	18	6.8
Any other part of UK	0	0	7	13.2	6	7.7	9	7.7	22	8.3
Abroad	0	0	0	0	1		9	1.3	10	3.8
Total	11	100	53	100	78	100	122	100	264	100

Source: Questionnaire survey, 2015

Given the indication above, this territorial embeddedness interconnects with **social embeddedness**. Social embeddedness refers to the way in which residents pre-conditioned their lifestyles, the belongingness of families to a particular community – socially, culturally or politically (Karsten, 2007; Hess, 2004). One of the primary reasons for early phases of DHNS having a significant number of residents who had been moving from nearby areas was the social ties those residents had, wanting to remain within the neighbouring areas. It was found that after moving to DHNS some residents continued

going to their old clubs, old supermarkets, shopping places, pubs etc. Both territorial and social embeddedness involved this familiarisation with the area and people, and the early residents became pioneers of DHNS to engage in the development of DHNS. They became “insiders” in comparison with the households who moved from farther away – the “outsiders”. For the latter households, the concerns had been whether their families and lifestyles could be societally embedded with the former, especially for non-British residents and social housing residents who moved into DHNS from various other areas (*Table 6-3*).

This was reflected well from the evidence obtained from two interview respondents of DHNS, who were migrants to the UK from EU and South Asia respectively: both residents are professionals who moved to DHNS after 2008, living as tenants in the mixed density housing zone.

“When we were planning to move, I asked the real estate agent... whether this was mainly an English village. You know sometimes people don’t like outsiders. I didn’t want to feel alienated. He said this place is very much mixed and there are all sorts of ethnicities and shouldn’t be a problem. I think he was right. There are people from various parts of the world and we feel welcomed...now we are actually looking for a house to buy” [Respondent#17.DHNS.Female.34-40].

“Our neighbours don’t talk to us. They are not very friendly with us. We see they are being friendly with others, but when we say hello they are not bothered to say hello to us... the only reason we stay here at the moment is the school... because that is a very good school and my son doesn’t have any problem there” [Respondent#18.Male.44-59].

According to the quotes, both respondents demonstrated their need to be socially embedded in DHNS: *“I asked the real estate agent, whether this was mainly an English village?”*, *“we say hello”*. In terms of their perception of embeddedness, the EU respondent felt included. As a result, along with their territorial embeddedness, being in

DHNS over five years, their future housing pathway intends purchasing a property from DHNS. Contrary to this, the latter respondent perceived his family has been socially excluded by nearby residents. Consequently, despite the respondent incurring a lower housing cost/income ratio of 20%–30% (source: questionnaire survey, 2015) they have limited the intended period to live in DHNS until his son completes the primary education.

On this basis, what keeps the latter respondent remaining in DHNS was his embeddedness in the networks, in this case, the network between housing and schooling. The **network embeddedness** means the topological space of networks in which distance and proximity are a function of the relations between actors (Jessop, Brenner and Jones, 2008; Hess, 2004). For some residents – primarily working with families – housing choice in DHNS was based on living close to parents for childcare reasons and to look after the parents when they became ill, involving kin-network synergy, travelling time to work and for the other routines of their daily lives.

“Before DHNS we lived with my wife’s parents in Wythall, children were schooling there and I was working in Coventry by then. When children were getting bigger we needed more space and we started looking for a bigger house. Wythall didn’t have new or suitable houses for us. So we looked at close places around Wythall. We didn’t want to move a lot further. Because I had to drive to get to work in Coventry and I didn’t want to uproot children from their school. We also wanted to stay close to our parents to support each other. So the family network was technically one of the reasons” [Respondent#13.DHNS.Male.45-59].

“My youngest son actually lived in DHNS. Financially he crashed with the 2008 recession, buying an apartment here. The value of his property was lost. He moves to London for his job. But still settled in DHNS, because he got a seven-year-old daughter who I am looking after. Because of that still, he is not in a position to move away” [Respondent#15.DHNS.Female.over 60].

These quotations combined with commuting patterns of DHNS residents as shown in Table VIII-Appendix VIII find that the way in which some households have connected to labour markets displace the Fordist role of industry (factory work) and housing relationships. The network between housing and households is a complex function as a result of different household requirements, such as work (households working from home to travelling abroad), childcare, children's schooling, shopping needs etc. Accordingly, these challenge the argument brought forward by the geographical approaches advocated by Mulliner, Malys and Maliene (2016); Mulliner, Smallbone and Maliene (2013); Haas et al. (2008, 2006) which determine households' housing choice preferences based on normative rational behavioural assumptions, such as all households would commute to work and will try to offset travelling costs with housing costs in a uniform manner. Nevertheless, the findings are deductive of Hess (2004), Mingione (1991) to a larger respect, showing that regardless of the breakdown of such factory-home relationships, as a result of the complexities of household subjectivities, housing has been used to re-forge the social ties (families and friend networks) held in such Fordist relationships in new forms. For instance, as reflected in the above quotes, housing location becomes a function of living closer to parents for childcare reasons.

6.2.2 Residents actions for housing choice

Having analysed the households' motivation for housing choice, this section investigates their actions on housing choice to achieve those motivations within their means. The data analysis identifies that when making housing choice, households engaged in two primary actions: (i) trading-off actions to balance different household motivations with the available means to achieve that and (ii) employing the households' stock of knowledge

and ontological security for decision-making. As the analysis highlights, this employing of knowledge while including discursive consciousness (what actors are able to reason about their action) (Giddens, 1984), it also includes practical consciousness (what actors believe about social conditions) (Giddens, 1984). Accordingly, ontological security (ibid) has a significant influence on housing choice actions. In the light of SHA, the analysis here reflects that the households' action for housing choice further intensify the relative nature of the concept, having different households framing their actions in different manner.

6.2.2.1 Trading-off

The analysis of household motivations showed household implementing housing choice (*effective demand*) is a balancing act of achieving the subjective household motivations within their means (wealth). The following quotes were from interview respondents quoted before (Sec 6.2.1), answering the question; “***on what basis did you make your housing decision in DHNS and do you think it is an affordable housing solution for you?***”

“My rent is around 55–60% of my wage, Ohhhh!!!! It is more than half of my wage. I live in a very small house, terrace, box room and the main bedroom, tiny bathroom, downstairs there is just an open plan room and separate kitchen... But then again it is worth it... After coming to Dickens Heath from Moseley, I feel safe and my car insurance has fallen to a greater extent... here [DHNS] for the whole of winter it cost me about £200 for heating ...but there I paid around £700... So paying extra £200 for the rent [in DHNS] offsets that. Now I have to travel a bit longer to Birmingham, but that only cost me around £100 for both fuel and parking. Besides, I also can stay connected with my old friends in Cheswick Green ...I got the garden and nice surroundings ...can go cycling: Oh my God I love that” [Respondent#42.F.30-44.DHNS].

“At the moment I am in a rented house. So some of my friends ask me why you are paying a higher rent for the smaller house whilst you can rent a larger house elsewhere. But you know house price is not always the case. It is hard for us to afford here, but I am thinking of my child. Here you have a good school and their friends might also come from good families. You know one of my friends got a cheaper house – I think probably an affordable house [in Tyseley] – which is really nice when you look at it. But she was telling me that she was fallen into a community that she never wanted to be in. So she doesn’t allow her children to have friends with the neighbouring families. She is really worried” [Respondent#54.F.30-44.DHNS].

Both households’ decisions on housing choice demonstrated a clear element of the trade-off between the immediate needs and aspirations of the household with the housing costs. Many households decided to balance higher housing price/rent, relatively longer commuting times and smaller housing layout with the gains from neighbourhood safety, lower heating costs, lower car insurance, “fair” commuting costs, the environmental quality of DHNS and the opportunity to stay connected to friendship networks. In the second instance, the household’s decision-making was to balance her higher rental cost by enjoying “good” community in DHNS and the child attending a “good” school. This trade-off, therefore, is an act of rationalising the decision-making on housing choice: moving into DHNS from Moseley and Tyseley respectively. It is an action that requires trade-offs, not only because households’ means are limited, but also the privatisation and commodification of housing has resulted in fragmentation of housing markets (i.e. housing markets are heterogeneous), thus decision-making needs cognitive activities such as ranking and comparing of costs/benefits associated with the housing choice, to rationalise such decisions.

These findings to some respect are parallel to the findings of Kim, Pagliara, and Preston (2005) and Wong (2002), who employed the “utility satisficing model” of economics–

taking the utility from all the characteristics of the housing environment to explain the housing choice of households. However, those differ to such economic explanations in the following respect. First, the economic model claims a clear divide between housing versus non-housing costs, whilst assuming housing affordability is entirely a function of quantified elements (Chapter 2, Sec 2.3.1). Contrary to that, the findings here demonstrate that trading-off (decision-making) on housing choice serves multiple objectives (Keeney, 2002) thus embodies both quantifiable as well as non-quantifiable values (for example, *neighbourhood safety*) and housing and non-housing costs has no divide but are inter-dependent (for example, *neighbourhood safety associated with housing has reduced the car insurance*). Secondly, each trade-off depends on household motivations (subjectivities) thus norms are difficult to generate as to what is a “rational” housing choice.

6.2.2.2 Mobilising knowledge

The trading-off action for housing choice was also followed in the residents’ action of “knowledge mobilisation”. Knowledge refers to the ways of knowing – intellectual virtues and associated believes that such knowledge is true (Cassam, 2009). Actors carry the knowledge of social structures outside the moment of action and act on the basis of their stored knowledge (Giddens, 1984).

As shown through the evidence from DHNS, residents have stored such knowledge, sourced through their own experiences (experiential knowledge) or by referring to formal/technical materials. For instance, residents reasoning their housing choice actions as: “*Over the years we were in Earlswood and I used to cycle here and saw all these*

properties and we thought of looking for a property” [Respondent#46.M.44-59.DHNS]; *“I used to drive through Dickens Heath which made me think of moving in”* [Respondent#38.F.Over60.DHRAG.DHNS]; *“We decided to move here after we visited a friend’s place in Dickens Heath... we asked her about this place... about the school here, whether the community is good”* [Respondent#54.F.30-44.DHNS], indicate, prior to their decision on housing choice, residents are reflexively monitoring the place and community of DHNS through their experiential knowledge. These ways of knowing are mutual knowledge incorporated in actors’ encounters, practical in character, and go on with the routine of social life (Giddens, 1984). As teased out in the analysis of territorial embeddedness, these are subjective knowledge related to individuals’ acquaintance with the area. On the other hand, the knowledge of residents sourced via the materials in the public domains such as planning documents (DHNS master plans, SMBC local plans), promotional leaflets and handbills distributed by the SMBC (*Figure 6-4, Figure 6-5*), promotional exhibitions conducted by the developers or promotional agents, are recognised to be formal and technical knowledge. They are considered to be formal, as they were produced by institutions, and are recognised to have a discursive legitimacy to inform the residents about the future development of DHNS.

Residents engage in the act of mobilising this knowledge to pre-test and simulate the likely future outcome of DHNS to inform their decision-making for the housing choice. As reflected in the above quotations, this form of knowledge mobilisation is an act of discursive consciousness – residents are able to reason their housing choice actions. However, the way in which the knowledge is presented for the act of residents’ housing choice indicates that, regardless of them being labelled as “experiential” or “technical”, all knowledge types are provisional (Healey, 2006). For instance, the language contained

in the formal knowledge materials: “*vibrant and dynamic new village lifestyle*”, “*ideal recreational area*”, “*traditional village, identity*”, “*safe and pleasing environment for pedestrians*”, “*social and welfare facilities intermixed to create a cohesive whole*” (see for example, **Figure 6-4**, **Figure 6-5**, **Figure 6-6**). The language used in the publicity materials highlight emotive qualities that are optimistic and stimulate an influence (create biases) on a respective household’s motivations (e.g. impose a desire to live in a family-friendly housing environment), with the intention of promoting a housing sale. This bias was also reflected in other formal sources of knowledge such as consultation provided by estate agents. As implied in the following quotation, the respondents’ housing choice decision on buy-to-let was discouraged by the knowledge provided by the estate agent.

“I spoke to an estate agent about the rental market and the flats around here... because I was thinking to buy a flat as my pension pot... he himself wouldn’t buy to rent. They don’t make that [profitable income]. They didn’t see it as a good return at all. Too many are there and too much competition” [Respondent#43.F.Over60.DHNS].

The way in which the option to invest in an apartment was assessed by the real estate agent highlights that his opinion was made with a mixture of “technical” knowledge about the DHNS rental market and his own subjective experiences in attempting to invest in a property. Therefore, whilst residents obtain knowledge from varying sources to rationalise their housing choice decision, by the nature all those knowledge elements are mobilised with an element of subjectivity.

New Concept...Your New Family Home

Does your home no longer suit the needs of you and your family? Are you considering moving, to find a property which offers modern spacious and flexible living, to suit your changing lifestyle? If the answer to either of these questions is yes, the Garden Squares New Homes residential development at the Dickens Heath Village Centre, Solihull, could provide the solution.

*.... have developed not only **high quality residential properties** to suit busy, modern lifestyle, but also a **vibrant and dynamic new Village Centre lifestyle** catering for all your daily needs. Garden Square is part of the new Village Centre development, with the adjacent Market Square phase offering a comprehensive range of shops, bars, restaurants, services and key community facilities. Whether it's buying your weekly groceries, borrowing a book or dvd from the library, booking an appointment at the Medical Centre, picking up a prescription from the pharmacy, visiting the eye clinic for a sight test, a check-up at the dentist, or even hiring the Village Hall for a family function, everything you need is within easy walking distance. The Village Green with segregated children's playground is only a short walk away. It's the **ideal recreation area** for a picnic, sports activities or for children to catch up with their friends...*

Figure 6-4 An extract of leaflet distributed by SMBC

Source: Dickens Heath Management Company, (undated)

Dickens Heath New Village

*The Council decided that Dickens Heath should be given **special treatment**. Rather than it become simply a large housing estate in the country, the view was taken that the new settlement should possess the features and attributes of a **traditional village**.*

- *Have a **clear identity** which gives residents a sense of place and belonging.*
- *Echo the traditional features of village development including homes, employment, recreation, **social and welfare facilities intermixed to create a cohesive whole**.*
- *Provide a range of housing, from first time buyer housing through to family housing and smaller units suitable for the elderly, thereby creating a mixed community of all ages and income.*
- *Create a **safe and pleasing environment for pedestrians** while still accommodating the motor car, but without allowing it to dominate the environment. The aim was therefore to create a unique settlement characterised by **well-planned, imaginative layouts possessing individualistic and rural styles**.....”*

Figure 6-5 An extract of leaflet distributed by the SMBC

Source: SMBC, (undated)



Figure 6- 6 An advertising hoarding promoting apartments in DHNS

Source: Author, 2015

Ontological security

This subjectivity in knowledge mobilisation by residents to inform their housing choice includes an element of faith, in other words, the practical consciousness. In the housing literature this element is commonly known as “ontological security” – the confidence or trust that the natural and social worlds are as they appear to be, including the basic existential parameters of self and social identity (Saunders and William, 1988; Giddens, 1984: 375). As stated by Hiscock et al. (2001) a household needs to be satisfied with their housing choice decision in order to be happy and tension free to enjoy their life.

The analysis of household motivation reflected that residents moved into DHNS having the ontological security that it would provide a rural environment, allowing home ownership, and a well-facilitated novel, residential location. This was common across all lifestyle clusters.

“This was envisaged as a rural area of 750 housing units”
[Questionnaire.survey.Female.WhiteBritish.Over60];

“We thought this [DHNS] was going to be a little village”
[Respondent#46.M.44-59.DHNS].

“This was characterised as a traditional English village with a group of shops, doctor’s surgery, library, and amenities that you could live and socialise rather than just a village... However, it was greenfield land and none of the construction was there. So there were only very first few houses. We were taking a little bit of leap of faith really in terms of how it might set up” [Respondent #50.M.45-59.DHPC.DHNS].

Household decision-making for the housing choice (e.g. move into DHNS) refers to the future of a particular housing outcome. Despite the future being uncertain, interwoven with the carried stock of knowledge such as reference to DHNS promotional materials (**Figure 6-4, Figure 6-5, Figure 6-6**) residents also build trust/faith in a taken for granted fashion that DHNS being a “*stand-alone settlement*”, “*located in Solihull*”, should be able to achieve such anticipated housing outcomes. Households build conventions (*trust on predictable routines*), with their tacit knowledge (practical consciousness) (Giddens, 1984). Evidence of this effect could also be found in residents’ choice and trade-off with energy efficiency: whilst energy efficiency was a factor considered by 80.5% of residents in their housing choice (**Figure 6-7**), many interviewed residents claimed that they had not paid any attention to the “energy performance certificate” (EPC) rating for the house. One of the estate agents operating in DHNS stated:

“Even though we give the EPC to the buyers as the law requires, quite frankly only very few people who come here; I would say 1 in 10 would ask about it. It very rarely comes into the conversation. It doesn’t affect here [DHNS] because the houses are new” [Respondent #25.DHNS.Real Estate Agent].

The fact that housing in DHNS are *new*, reflexively build the convention that *they are energy efficient*. Therefore, ontological security makes the households free from a level of anxiety (Giddens, 1984), enabling them to go on with the operationalising of housing choice decisions.

6.2.3 Structuration of residents’ view for housing

This section discusses how household motivations and actions structure the view of the housing. According to Giddens (1984: 16), structures are rules and resources recursively implicated in the reproduction of a social system, and these structures present a duality being both the medium and the outcome of the practices that constitute those systems. On that basis, the discussed motivation of the resident agents, on the other hand, are the “rules” that the households will follow to deploy their wealth (“resources”). From the SHA concept point of view, this therefore explains, based on varying motives and actions for housing choices, how the residents would frame their meanings as to what is a ‘SHA’ outcome.

To read this in terms of structuration of housing view, **Figure 6-7** analyses Q18 of the questionnaire survey: *What factors did you consider important when purchasing/renting your property?* (Appendix VII). The residents stating a particular factor had been an

important²² consideration of housing choice are reflective of elements demanded effectively by a resident within the DHNS housing outcomes. (i.e *the rules and resources that led to constituting the structure*) (Giddens, 1984).

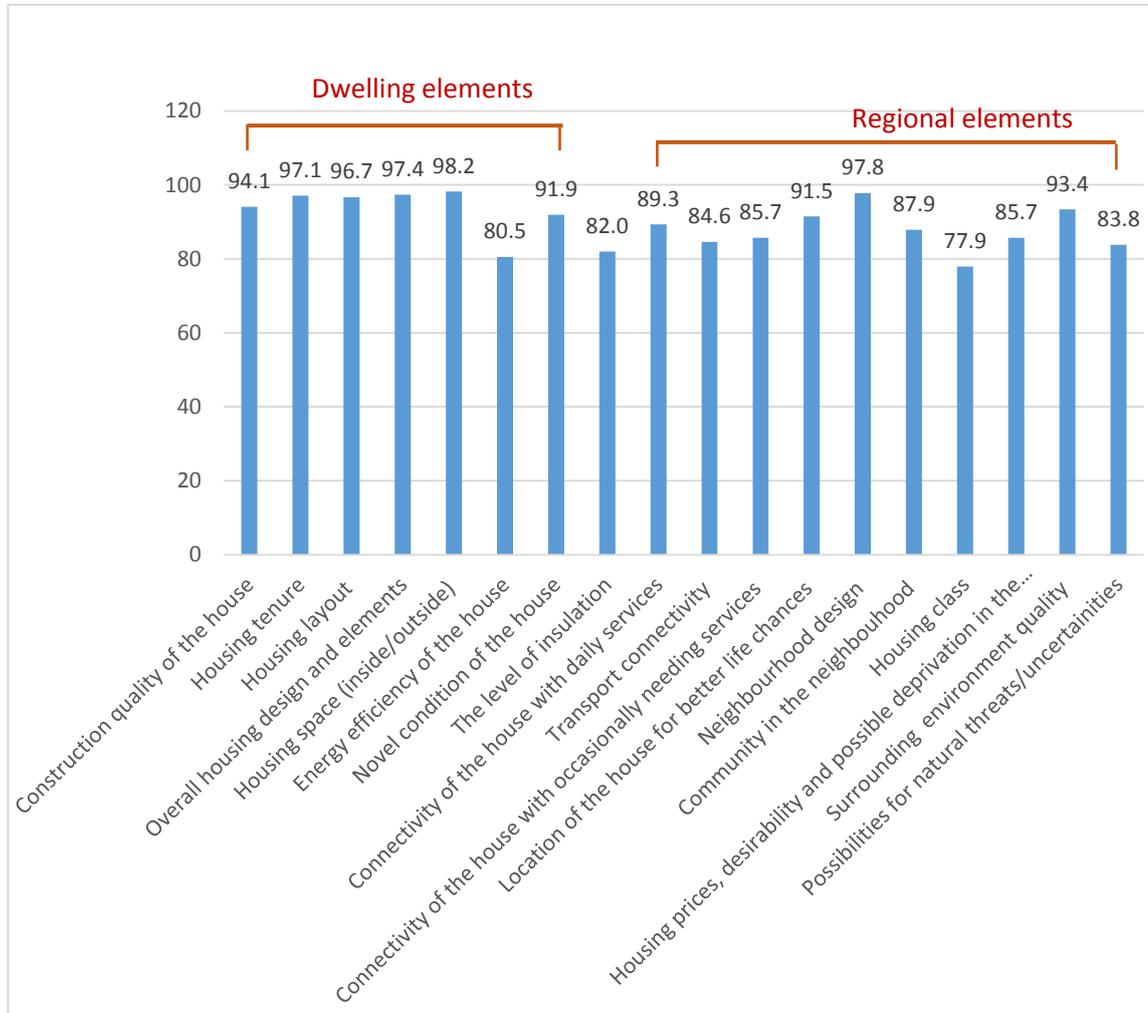


Figure 6-7 Analysis of demand for housing by DHNS residents

Source: Fieldwork, 2015

²² Out of 280 questionnaires, 272 responses were received for the respective question, on the Likert scale of 1- 5: 1 = very important, 2 = important, 3 = moderately important, 4 = marginally important and 5 = not important at all. The responses stated as “very important”, “important” or “moderately important” were accumulated together, with the assumption that such responses indicate the respective household has factored that element into their effective demand.

The results confirmed that households' requirements for housing included a bundle of housing elements. A total of 77.9 % of respondents confirmed that all the elements listed in the questionnaire have been important factors in their decision-making on housing choice for DHNS. Over 90% of respondents demanded respective elements that included housing layout, tenure, overall housing design, housing space (inside/outside), neighbourhood design, the novel condition of the house, the location of the house for better life chances and surrounding environmental quality. Between 85% to 90% of respondents stated that the connectivity of the house with daily and occasionally needed services, the community in the neighbourhood, housing prices, desirability and possible deprivation in the area were also important elements for them when making decisions about housing in DHNS. Whilst transport connectivity, energy efficiency of the house, the level of insulation, possibilities for natural threats/uncertainties had also been elements that 80%–85% of respondents were keen on, 77.9% of respondents confirmed “housing class (social status)” was also an important element which they have factored into their housing demand in DHNS. Therefore, correlating these with the household motivations and housing choice actions (Sec 6.2.1.1 and 6.2.2.1), it can be argued that those form the medium that generates outcomes on a household's housing view in DHNS, i.e. housing demand. Household demand as a social system results in a duality of structure. Confirming the conceptual framework of the study household demand as a social system results in a duality of structure. Household motivation shapes the housing demand outcome, the latter in turn shapes the household motivations.

Moreover, deducting the relational view of IA, the way in which housing choice was structured to form household demand – a particular *view of the housing* – can be explained in two dimensions: spatial structure and market price structure. Based on the spatial

structure dimension, the above bundle of demand elements can be scaled down to dwelling and regional scale elements (see *Figure 6-7*). The elements that include the dwelling scale (unit base) are the view of the households that are exclusively owned by them, such as housing tenure, layout and so on. Meanwhile, the elements of regional scale are the ones that are collectively owned by the households residing in a particular location such as connectivity of the house with the daily use of necessary services, transport connectivity and so on. This is a rescaling of the *analysis of residents* by Kemeny (1992), which classified the housing view into three scales: dwelling, neighbourhood and regional scale. Based on the analysis made for the webs of social-spatial relations in Sec 6.2.1.3, instead of three, the analysis here proposes two scales. For example, in terms of the collectively owned demand element such as “connectivity with daily needed services”, residents satisfy them in different spatial scales: *“it is very convenient for us to go to the nearby supermarket within just five minutes around the corner”* [Respondent#56.F.Over60.DHNS]; *“we don’t go to this tiny little supermarket here, we go to the one in Shirley on every Monday”* [Respondent#43.F.Over60.DHNS]. As Giddens (1984: 121) remarks: “Separation of the boundaries of regions has both physical and symbolic markets”. Similarly, in Table VIII (Appendix VIII), the commuting patterns of DHNS residents highlights the spatial span of demand elements such as “connectivity to transportation”, “proximity of housing location for better life chances” etc., and extends from DHNS itself to Solihull, the Birmingham region, other different cities in the UK and abroad. Social ties and what could be the “local communities” have been transcended in varying scales as analysed in Sec 6.2.1.3 due to forces such as increasing mobility and information technology (Fine and Harrington, 2004; Hess, 2004; Healey,1999), thereby displacing the structural view of a housing that was entirely place-based. Henceforth, in

this relational world, in terms of spatial structuration, the view of collectively owned elements can be extended up to scales beyond the immediate proximity, so the view of the housing cannot precondition a geographical scope to the *residence*.

On the other hand, households' demands for a bundle of elements implies that the housing market price structuration is *hedonic* – goods are valued for their utility-bearing attributes or characteristics (Rosen, 1974: 1).

“We had paid a lot of money for this view (of the field)”

[Respondent#16.DHNS.Male.44-59];

“We are paying a higher rent here, because of the good school”

[Respondent #12.DHNS.Female.34-40].

Households draw resources (wealth) to fulfil their varying motives. Thus, the housing market price structuration is not based on acquiring ownership of housing, but on the utility, nexus gained as a result of such ownership. Henceforth, under market conditions distribution of household's disposal income on housing consumption does not limit to dwelling elements that they own exclusively, but also translate into different scales of spatial elements that they utilise in common.

Owing to the above spatial and housing market price structuration together with the privatisation and commodification of housing, residential locations are differentiated from one place to another. That explains why places such as DHNS have different demand conditions to that of other residential locations (see Chapter 5, *Figure 5-13*).

6.3 Time-Space Effects to Housing Outcomes

The analysis so far has presented how households' generate their frames of references for ('SHA') housing outcomes underpinned by their respective motives and actions at a given space-time. However, as per the propositions of this thesis, achieving a planning concept such as SHA are subject to be challenged by the dynamics over time-space. Discussed first by Torsten Hägerstrand in the 1970s, time-space is a transdisciplinary perspective to reveal the relations of spatial and temporal processes and events (Lenntorp, 1999; Giddens, 1984; Thrift and Pred, 1981). For instance, social and economic interactions over time affect development outcomes in spaces such as DHNS and LSUE. As argued in Chapter 2, sustainability cannot be translated into blueprint definitive ends (Bagheri and Hjorth, 2007; Voss, Bauknecht and Kemp, 2006). Therefore, it is the responsibility of the social analytics to be sensitive of this time-space constitution of social life (Giddens, 1984: 286). Whilst the discussion in the former section of the chapter dealt with the complexities related to subjectivities of agency and how they structure the residents' view housing outcomes, this section, looks into the temporal effects on these agency subjectivities influencing the realised housing outcome structures.

To discuss the effects of time-space, this section first identifies the housing outcome challenges (issues) stated by households, that have been distracting their view for ('SHA') housing outcomes of DHNS. Those issues reflect the effects of the disequilibrium between the household's motivations and the actual achieved housing outcomes over time-space. On that basis, the next section then discusses the causation to that time-space disequilibrium. According to the empirics from both DHNS and LSUE, the causations to dynamics are bounded by the agency themselves and the different processes outside of the housing locations.

6.3.1 Issues in the local environment of DHNS

Whilst Chapter 6 has already reflected the generic housing outcome of DHNS, having to analyse the effects of a particular housing outcome at a given time in space, this section more specifically focuses on the housing outcome issues highlighted by the empirical evidence. Empirical data about DHNS collected from all data sources highlighted that the residents encountered housing outcome challenges. These can be classified into issues related to (i) subsequent new housing developments, (ii) traffic and parking, (iii) lack of infrastructure, (iv) unfinished developments (in the centre), (v) increasing density in the area, (vi) incompatibilities of the different communities, (vii) crime, anti-social behaviour and safety and (viii) housing mix and quality of maintenance of rented properties. **Figure 6-8**, shows the results of the questionnaire survey results analysed based on this classification (Appendix VII - Q27: *issues that you wish to bring forward with regard to your housing experience in Dickens Heath*). Similarly, **Figure 6-8**, **Figure 6-9**, **Figure 6-10**, **Figure 6-11**, **Figure 6-12**, depicts the researcher's field observation via social media and several visits to DHNS that helps to triangulate and further the findings of **Figure 6-8**.

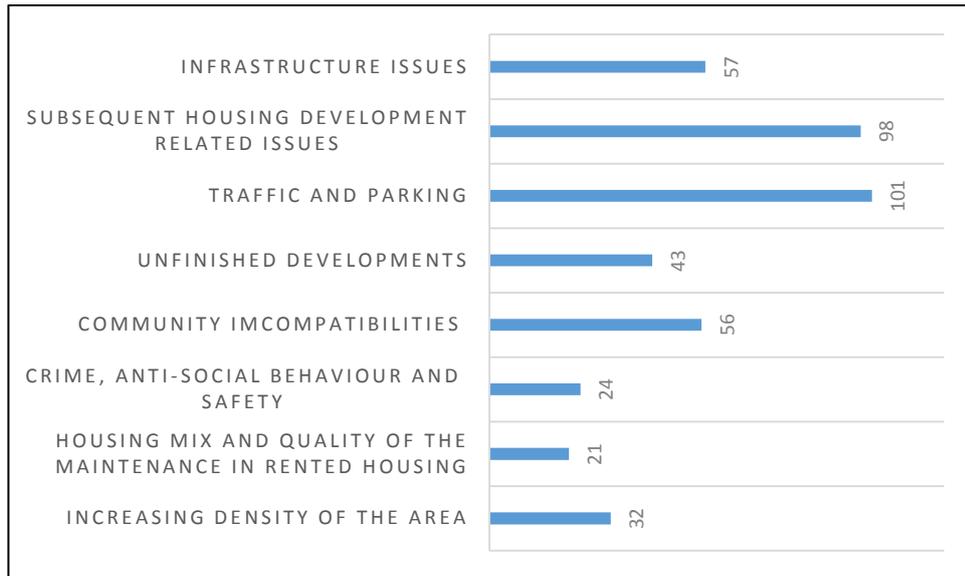


Figure 6-8 Issues stated by the DHNS Residents

Source: Fieldwork, 2015



Figure 6-9 Unfinished roads in the DHNS village centre and traffic in the Tythe Barn Lane

Source: Author (2015)



Figure 6-10 Flooding in Rumbush Lane – road adjoining new housing development, due to lack of drainage capacity on a par with the development

Figure 6-11 - Anti-social behaviour, littering in front of DHNS nature reserve

Source: SocialMedia.DHNS.Posted20/04/2016 Source: Author (2015)

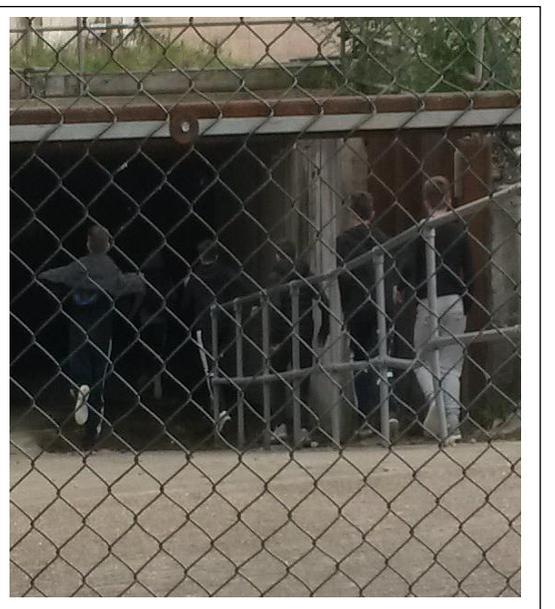
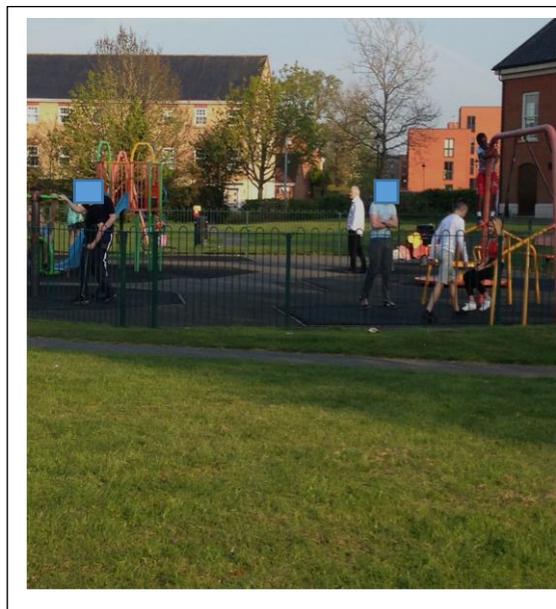


Figure 6-12 Teenagers using children's play area in the DHNS village green and skating in the DHNS centre building site

Source: Author (2015)

As shown in **Figure 6-8**, by 2015/16, the primary issue claimed by the DHNS residents are the increasing new housing development in and around DHNS and its associated consequences such as over densification of the area and the severe traffic and parking issues. The way in which such concerns were expressed is reflected through the following quote; stated by one of the interview respondents who moved to DHNS around 2002, having home ownership and living right opposite one of the new development sites.

Q: How would you describe your overall housing affordability in Dickens Heath?

“Dickens Heath is good. We liked the area. But now... it is quite disappointing. I’ve spent half a million to buy this house. We moved from Smethwick selling that for £250,000 and spending extra more to buy this house. What I sold was a five-bed and here I bought only a four-bed house. We moved here because Smethwick was much crowded... like living in a town. We wanted to move into a village setting. But now that's all gone... because of these developments... our property values will all go down. I think ... it is betraying that original commitment they gave us. Now, this is not a village anymore... it is becoming a small town. With the traffic, going in and out of DHNS is a nightmare!!! The money we spent to buy this house is useless”
[QuestionnaireSurvey.DHNS.Male.AsianBritish.Over60].

Next, the complaints of residents were also persistent about the unfinished parts of the DHNS centre and the incompleteness of some of the infrastructures such as roads, kerbs, street lights, sufficient drainage, bus services and poor management of DHNS centre. As shown in **Figure 6-9** and Chapter 5 – **Figure 5-10** “the work-in-progress status of the DHNS centre for a prolonged period (2000–2015) continued to be an eyesore” [Respondent#45.F.Over60.DHNS]. At the same time, residents also raised fears of the risk of the closure of library in the DHNS centre whilst many elderly residents claimed that the housing mix of DHNS does not offer opportunities for them to downsize their housing. Whilst the younger children of early settled in families of DHNS have over time

grown into teenagers, the unavailability of recreational space for them has been another significant concern of all residents in DHNS (**Figure 6-12**). One of the questionnaire research respondents lives adjoining DHNS village green stating: “*we don’t usually answer the doors during this time (after school hours). Because these boys roaming around doing nothing, hide and throw water at us*” (Researcher’s observation.12/07/2015) highlights the tension of this issue well.

Finally, many homeowners in DHNS claimed that the growing rental sector in the area had formed neighbours of incompatible lifestyles, leading to an increase in anti-social behaviour, and crimes such as burglary and car theft that threaten the safety of residents’ lives and at the same time, cause poor management of properties.

“People who rent their properties are not taking interest in their environments or properties. As a result, the majority of properties have been under-occupied. There had been a lot of complaints about noise issues, anti-social behaviours; people drive too fast, swear and drink too much. If it were owner-occupied it would have been different”.
[Respondent#38.F.Over60.DHRAG.DHNS].

Embedding the housing outcome status evidence of DHNS with that of LSUE, it clearly highlights that some of the concerns raised by the existing Walmley residents opposing the new LSUE developments were clearly parallel to DHNS:

“How can we support another development? We really do have infrastructure problems. Because Sutton is our town centre... where we actually live, have limited facilities... some shops in Walmley and one big supermarket for 20,000 people. So we have very little here in Walmley. On top of that this big housing estate is going to bring massive traffic that these roads cannot cope with”
[Respondent#38.M.Over60.ProjField.LSUE].

With respect to LSUE, their expressions on social media conversations include: “*RIP Sutton*”, “*Feel gutted... RIP our villages*”, “*RIP Walmley*”, “*RIP green belt*”

[SocialMedia.LSUE.Posted 25/11/2016], further highlights well the similarities of the housing outcome tensions among residents same as DHNS.

Therefore, despite residents have initially committed themselves to make a housing choice, perceiving that the DHNS would be “affordable” and “sustainable”, consequent to the housing outcome disequilibrium (issues) over time-space, those have been eventually challenged. It indicates a subsequent breakdown of their ontological security that DHNS would be of rural, providing home ownership in a well-facilitated and novel residential location and comprise of “good” like-minded community with similar lifestyles.

6.3.2 Agency bound dynamics

Having identified the time-space effects in terms of challenges to the residents’ perception of housing outcomes, this and the following section aims to analyse the causation to that. As per the empirics of DHNS, one of the elements of causation is the agency bound dynamics that indicate the time-space effects on household (agency) subjectivities. It indicates the study of the contextual features of the locale through which actors move in their daily paths (Giddens, 1984: 286). The evidence drawn from DHNS interview data illustrates that these agency bound dynamics present two dimensions: dynamics of household motivations and the territorial-based heterogeneity.

Household motivations, lifestyles, housing pathways and webs of social-spatial relationships, by nature, are not fixed at all times. These are in motion as households are in a social learning process (Clapham, 2005) as embedded within the housing pathway

argument itself (Sec 6.2.1.2). These in return change the way households view the housing outcome (*duality of the structure*) (Giddens, 1984).

“My husband died and now I am a pensioner. This is a five-bed detached house. Now having this is so expensive for me. Now I want a two-bed house and save some money for myself. I am actually looking for a smaller two-bed house... in fact, I don't like flats... but not many two-bed houses we have here that suits us and the prices are a nightmare!!!”

[QuestionnaireSurvey.DHNS.Female.WhiteBritish.Over60].

“The rental prices we pay here now are much higher than the surrounding areas... so we are thinking of purchasing a house. Then we also can keep our parents with us. My husband now has got a new full-time job in Warwick [previously worked in different parts of UK, on contract basis] ... our children are also getting bigger... they will start schooling next year... but the houses are too expensive. It's a shame because it's a great place to live” [Questionnaire survey.DHNS.Female.AsianBritish.30-44].

As both quotations highlight, the dynamics of household motivations change their desired future housing status, for instance, the death of the spouse, job moves, desire to downsize the house, live close to parents and move to home ownership and so on. A dwelling that a household may occupy is an expression of the housing choice at a particular moment of time, and the households will evaluate such choices in relation to their needs over time and may cause periods of housing choice moves (Mulder, 1996). By the indication of some issues highlighted above, DHNS have failed to offer housing outcomes that can adapt with these locally emerging household (agency) dynamics. For instance, unable to offer a housing mix that suits the downsizing need of elderly local community growing and the lack of recreational facilities for the growing young children who would turn into teenagers eventually. When housing locales fail to be adopted with these locally emerging household dynamics, those cause a particular housing outcome perceived to be unaffordable and unsustainable.

In addition, the evidence from both DHNS and LSUE inductively provides another dimension to this agency bound dynamics, which this study would call as *territory based heterogeneity*. In the scale of a development such as DHNS or LSUE, communities settle in at different phases as controlled by the local housing market supply. Thus, at a given time-space of a housing development, there are residents who act in the capacity of “*potential households*” (communities intend to move in at a future time) and “*existing households*” (housed communities). Therefore, despite all residents generally considered to be a common cohort within the residential agency, the time-space effects create a disjuncture between the act of “*potential households*” and the “*existing households*”. The agency of potential households would perceive new housing as an opportunity to enhance their housing choice:

“This new housing is really good... We are actually planning to buy one” [Respondent#54.F.30-44.DHNS].

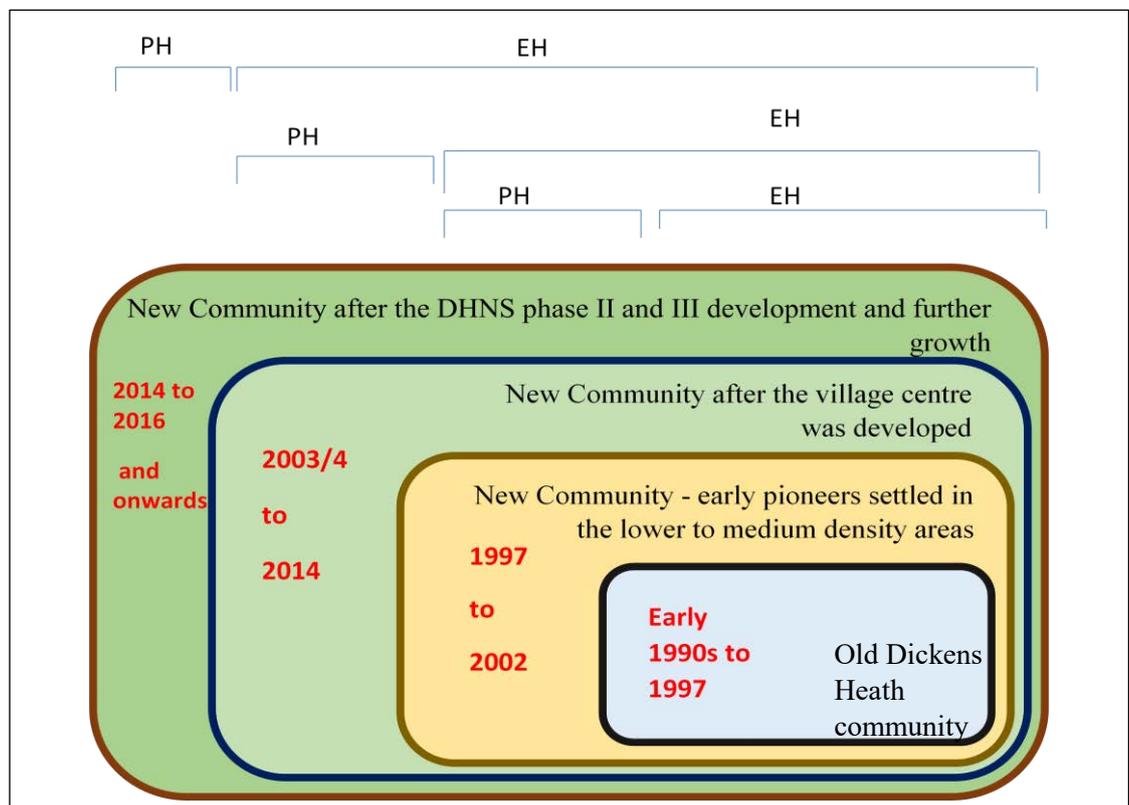
“I personally am very happy about the developments happening. True it does eat into green belt land, which I'm sorry for. But as a divorced mother of two tiny babies, I'm thrilled that their daddy can move so close by” [SocialMedia.DHNS. posted 23/06/2015].

Contrary to this, the agency of “*existing households*” at a given time-space (who were previously potential households), most likely to perceive the new housing development as a destruction to their enjoyment of desired (‘SHA’) outcomes:

“We were not told about this ‘monster’ of housing development... we have invested our lifetime savings in buying this property thinking it’s gonna be a village” [SocialMedia.DHNS posted 11/05/2015].

“I am worried that these social housing that these new developments are going to provide will bring our property prices down” [QuestionnaireSurvey.DHNS.WhiteBritish.45-59].

Representing this schematically (**Figure 6-13**) whilst taking into account the community formation periods identified in Chapter 5, Sec 5.52, this kind of agency dynamics form patterns of perceptions on housing outcomes. The households prior to 1997 who lived in the Old Dickens hamlet were the “existing households” [EH], who generally opposed the new wave of community formation during early stages of DHNS. Subsequently, both these communities merge themselves overtime as “existing households” when opposing to further housing development and new community formation during 2003/4 and so on.



PH- potential households, EH – Existing households

Figure 6-13 Agency dynamics between existing and potential households

Source: Author

This phenomenon fully applies to the LSUE case also, where the existing residents of Walmley perceive the new LSUE housing development as a strong challenge to their current housing setting. A note made on social media by one of the community leader of Walmley stated:

“It is with a very heavy heart that I have to announce the news that the government will not overturn Birmingham City Council’s decision to build 6,000 houses and an industrial site the size of a car plant. This is extremely bad news not just for our Royal Town but for those in the rest of the England who are facing such ill thought out plans. The shock and anger have subsided” [SocialMedia.LSUE.posted.24/11/2016].

As per the evidence obtained from field observation at the public consultation held on 12/10/2015, the existing residents of Walmley who currently opposed the LSUE development as quoted above, have encountered a similar local opposition by the then existing residents, at that particular time-space.

Therefore, it is the ontology of the residential agency that such dynamics exist over time-space in their frames of references of households, shifting from “*potential households*” to “*existing households*”. The residents become territorial (*fiefdom*; Healey, 2006) and wanting the housing outcomes in which they have invested to retain the certainty of housing utility to accumulate their housing wealth over time. Matthews, Bramley and Hastings (2015) recognised this as *Homo-economics of existing residents*. It presents an alternative explanation for the expression of “Nimbyism” (not-in-my-back-yard); often the term used to criticise the existing residents in the light their being “selfish”, but hasn’t looked into this ontology of time-space dynamics of household’s motivations.

6.3.3 Process bound dynamics

The causations of the housing outcome disequilibrium have also been influenced by different processes outside of DHNS. In the sense of Giddens (1984), whilst the agency bound dynamics to deal with time-space coordination of actors' daily paths, this section studies the regionalisation of locales stretching away across time-space.

Local housing places such as DHNS (or LSUE) are susceptible to processes of flexible labour, capital and financial markets. *Table 6-3* as presented earlier in the chapter highlights that as opposed to pre-2008, by post-2008 over 40% ($49/122*100$) of residents have moved into DHNS from outside of Birmingham. Similarly, almost 30% ($158/537*100$) of residents living in DHNS were engaged in jobs outside of Birmingham, whilst approximately 9% ($46/537*100$) residents, usually work from home (Table VIII - Appendix VIII). Embedding this evidence with a statement by one of the research respondents from Walmley, an activist opposing the LUSE development indicates that the residential places in developments such as DHNS or LSUE have displaced the place-based production and consumption relationships:

“LSUE site is beautifully sited by the M6, M48 and the toll road, so it just gonna pull people in. So you are going to get quite a lot of people who don't want to live in Birmingham, but actually wanting to live in Sutton. So, regardless of planner's claim that these housings are for Birmingham's housing need, they will not go to Birmingham to work, neither work in Sutton. I mean they can work all over the country or from home. If you look at migration, people and their jobs that are most likely to happen” [Respondent#39.F.45-59.ProjField.LSUE].

The activist's statement invalidates the Birmingham City Council's (or planner's) rationality that the LSUE development is to serve Birmingham's housing needs for 89,000 housing units. The flexibility in labour markets has challenged the concept of

“local housing needs” whilst the residents’ commuting patterns or any other web of social-spatial relations cannot be standardised as assumed by some of the geographical approaches based on SHA definitions such as *Housing Plus Transport Affordability Index* argued by Haas et al. (2008, 2006) (see also Mays et al., 2012).

Interwoven with this, the empirics also highlighted that DHNS has been open to processes generated out of flexible capital markets. The respondents sharing their experiential knowledge on the growing buy-to-let markets in DHNS centre stated:

“A lot of the apartments here are owned by investors. The one that our daughter rented here... the chap is living in the Caribbean or somewhere and he owned 25 apartments in one building. He just rents them out and makes his money” [Respondent#53.F.Over60.DHNS].

“A lot of our generation, even our own friends, own properties on a buy-to-let basis. Not just here, but all over the country... they use this as their subsequent pension pot” [Respondent#51.M.45-59.DHNS].

From the scale of the larger investor to individual investors, DHNS has been attracted by the capital market flows within and outside the UK, especially for the apartment blocks in the centre of DHNS. From mid-2000 onwards, these buy-to-let markets have increased the rental sector in the area to a substantial level (Chapter 5, Sec 5.5.1). The researcher’s observation and interview with real estate agents also confirmed that there is a tendency for considerable numbers of tenants to move into DHNS (locals and foreigners) on a temporary basis (six-months or so) with the employment contracts they receive with Jaguar Land Rover, football clubs, Birmingham International and so on. Many tenants who moved to DHNS have been primarily younger individuals and couples who have different lifestyles than that of early home-owner DHNS residents. The incompatibility of these lifestyles has created tensions, breaking down the ontological security of the

latter: DHNS would be of “good, “like-minded” community (tensions between *Gemeinschaft* (community) versus *Gesellschaft* (society) (Tonnie and Loomis, 1957) As a result, similar to the findings of Brophy and Smith (1997) and evidences provided in sec 6.3.1, the homeowners perceive their anticipated housing outcomes are destroyed by those tenants who migrated later, by causing higher noise levels, anti-social behaviour, crowdedness and low-quality maintenance of houses and neighbourhoods and so on (see, Respondent#38 in Sec 6.3.1).

These tensions not only exist in terms of housing but also for the usage of the commercial properties in the centre. Despite the master plans aimed DHNS centre to serve the local community needs and encourage them to be a walkable community, in actual circumstances outsiders were also attracted to the centre and made some of the early DHNS settlers feelings that they have been excluded.

“Morton is okay. I like it... but I wouldn't go there on the weekends. On weekends you will find a different society...even for shopping during weekends we go to Shirley or sometimes Solihull”
[Respondent#43.F.Over60.DHNS].

Moreover, the impact of the economic recession with the drop in average housing prices (see, Chapter 5, **Figure 5-13**) and the creation of a housing market disequilibrium is another indication of global financial market implications. As identified before, the implications for DHNS were such that some of the planned developments such as Garden Square phase II were left on hold as eyesores (see, Chapter 5, **Figure 5-10**) until the market recovery, and causing negative equity for some of the residents who bought properties in the centre during 2008 or so.

“The recession affected the apartments very badly and the blocks over here (showing the waterfront apartments) were the worst. My son bought an apartment for nearly £300,000. I think we could have got it for £160,000 or £170,000 during the recession time. A lot of speculative buyers who bought those really went bust”
[Respondent#55.M.Over60.DHPC.DHNS].

Therefore, as argued by Healey (2006) local residential environments such as DHNS and LSUE are no longer closed-limited to internal engagement for imports and exports of goods. They are susceptible to complexities relating to different processes generated out of flexible labour, capital and financial markets of globalisation. As a result, such local geographies such as DHNS are subject to regionalisation in the mode that incorporates zones of greater variation in span, intruding and shaping its nature (Giddens, 1984) and challenges the (‘SHA’) housing outcome aspirations of local communities in a given time-space.

6.4 Conclusions

The aim of this chapter has been to understand residents’ frame of references for ‘SHA’ outcomes interpreted through the lens of Giddens’ Theory of Structuration (Giddens, 1984): motivations, actions, structuration and the time-space dynamics. Employing structuration theory in which the Institutional Approach is underpinned, the analysis highlights the relative nature ascribed to the concept of SHA and reflects why communicative planning is required to achieve sustainable and affordable housing (SHA) outcomes.

Firstly, a household’s housing choice depends on different motives (lifestyles, housing pathways and webs of social-spatial relations) it holds at a given time-space. For the

household, housing is a means to achieve those motives. Hence, for an individual household, the meanings for 'SHA' would be the level at which their housing choice supported achieving those respective motives. From the understanding of Giddens (1984), those motives were the "rules" by which they deploy their "resources" (wealth) to purchase/rent housing. The household's housing choice actions is accordingly a balancing act between available means (financial resources) and the household's motives. Furthermore, the way in which households engaged in this balancing act also depended upon the way in which they mobilised their discursive and practical (ontological security) knowledge. This, therefore, further illustrates the subjective or relative nature in which the residents provide their meanings for 'SHA' at a given time-space. Secondly, the analysis demonstrated that a households' *motivations* and *actions* for housing choice were the *media* that *structure* the households' view for housing choice (i.e. demand) for a particular housing *outcome*. This structuration can be interpreted in two dimensions. First is the spatial structuration, where under market conditions, the "residence" spans from dwelling scale to the regional scale. The way in which residents define their geographical boundaries (e.g local neighbourhoods, outside regions etc.) were relative to the respective household. The second is the housing market price structuration which shows prices in housing markets are hedonic based, where the deploying of household resources were based not only for the mere property ownership but also for the bundle of utilities that housing consumption would provide to the residents/households - achieving his/her varying motives. Finally, the analysis of time-space effects highlighted that such constructed meanings for ('SHA') housing outcome are not definite but are dynamic. As shown by the case study analysis, such dynamics can be aroused out of agency and process bound dynamics. The agency bound dynamics reflect the dynamics within the

households' motivations itself. i.e. changes in one's lifestyles, housing pathways resulting in a web of social-spatial relations over time and the disjuncture of motivations between different household agency. The process bound dynamics reflect the influence to housing outcomes due to processes outside of the local residential environments such as flexible labour, capital and financial markets. These dynamics challenge the value households place on particular housing outcomes at a particular time and space.

The call for communicative planning action to achieve SHA outcomes (Chapter 2, Sec 2.45) are justified as a households' frame of reference for SHA are relative, complex and dynamic. A mechanism such as communicative planning is required to mobilise these intensively subjective frames of references of households to generate a shared understanding among residents themselves along with the other stakeholders. It implies that the market and regulatory planning mechanism alone that relying on normative understanding cannot offer SHA outcome experience to the residence. Furthermore, since *mobilisation of residents' knowledge* is an integral part of the way in which they frame their meanings for 'SHA', in principle, communicative planning can also be the means to shape such knowledge (*two-way communicative process*; Portman, 2009; Habermas, 1984) which can enhance the understanding among different stakeholders values and ease out the process that generate shared meanings on 'SHA' outcomes. The subsequent chapter accordingly investigates to the extent to which communicative planning actions that the residents engage in could inform the planning process about the residents' frames of references on 'SHA' outcome.

CHAPTER SEVEN

COMMUNICATIVE PLANNING ACTIONS OF RESIDENTS TOWARDS ACHIEVING SHA OUTCOMES

7.1 Introduction

Chapter 6 demonstrated that the housing experiences of residents are subjective, thus an Institutional Approach (IA) to communicative planning is required to bring forward those subjectivities to plan for SHA outcomes. Residents are key stakeholders who own the problems and “end users” of housing outcomes (Reed et al, 2009; Checkland, 1981). Their encounters with the housing outcomes are key knowledge source that planning can mobilise to inform its decision-making. The aim of this chapter, therefore, is to link the Communicative Planning Theory (CPT) to analyse how residents engage in communicative planning actions (CPA) across space and time to achieve their shared meanings on ‘SHA’ outcomes. Here, CPA indicates all communicative actions of residents that aim to discuss the shared problems (of SHA outcomes) and the ways out of those problems (Albrechts, 2003).

Similar to Chapter 6, the analysis of this chapter draws on a variety of data primarily obtained from DHNS. Those include interviews with pioneering residents, questionnaire survey results, the researcher’s observation, social media and reviewing documents. Data obtained from LSUE has also been embedded to validate the claims of the discussion, where the context provides the opportunity to do so. Anchoring to the key theoretical

themes of CPT (see, Chapter 3), the analysis here first explores the power and the institutional design aspects of (residents') CPA. Secondly, it reflects on ontological aspects of housing to highlight what drives the residents to engage in CPA. Finally, the chapter looks at the knowledge outcomes produced by the residents' CPA over time, and its validity and legitimacy to transform the existing housing outcomes to the next level of 'SHA' outcomes, within subsequent waves of development. The deductive and inductive analysis around these themes contributes towards addressing the research gaps of:

- Applying the CPT in a context of a new build development where new communities do not exist at the planning stages of the project;
- The effects of the subjective knowledge application on a planned outcome.

7.2 Power and Institutional Design

The effects of power relations in knowledge production (Chapter 3, Sec 3.4.2) and the way in which the power relations are determined by institutional design is one of the fundamental tenets of CPT (see, for example, Flyvbjerg and Richardson, 2002; Healey, 2006; Foucault, 1990; Habermas, 1984). Power held in CPA is not always negative but can be used as a modality of change (Chapter 3, Sec 3.4.2). As the 'problem owners' of the planned housing outcomes and having less power in CPA, communities should be empowered by means of power-sharing (see Chapter 3, Bryson and Crosby, 2006). Based on these considerations the analysis of power, first considers, how the institutional design for communicative planning has empowered residents to engage in the planning process? Accordingly, how such empowerment has constructed power relations between residents and other stakeholders in the CPA process? On this basis, the power in CPA is analysed

in a relational sense which suggested by Giddens (1984) (see, Chapter 3, Sec 3.4.2) Secondly, it investigates whether such power of residents has been distorting the equity, fairness and democracy of their CPA process (Healey, 2006; Habermas, 1984) or has it been mobilised as a “modality of change” (Martens, 2001; Foucault, 1980, 1983, 1984, 1991) to achieve ‘SHA’ outcomes.

7.2.1 Institutional design and empowerment aspects

The medium of empowerment (*power to* – Allen, 1999; *common pool resources* – Ostrom et al., 1994; Giddens, 1984) depends on the residents’ access to authority, discursive legitimacy and resource (allocative) (Purdy, 2012; Hardy and Philips, 1998). These are largely associated with the institutional design employed (Healey, 2006) by residents for their CPA. As both DHNS and LSUE have a “strong community” context (Chapter 5, Sec 5.5.2 and Sec 5.6.2) and due to the provisions of planning law in England, residents hold the *power to* all the above three mediums.

7.2.1.1 Authority

Authority is generally backed by law and it is the socially acknowledged right to make judgements, decisions or take actions (Greenwald, 2008). As reflected in Chapter 5 (see Sec 5.2.3), several key pieces of legislation have given *authority* to the public to participate in statutory consultation events.²³ LPAs hold those events as two-way communication channels between them and all other stakeholders including residents,

²³ Public exhibitions, public meetings, planning receptions, public inquiries, pre-planning application consultation by developers etc.

with respect to devising local planning policies or decision making on planning applications subsequently. For example, **Table 7-1** demonstrates the public consultation events held until 2016 by the Birmingham City Council (BCC) for communities to participate with respect to the planning of the LSUE project (policy GA5 to BDP, 2031). It is indicative of the *authority* given to the public (particularly, existing residents in the Walmley area) to voice their concerns and to receive responses to their comments.

Table 7-1 Statutory consultation for the BDP (2031)

LDF preparation process BDP 2031	Date	Formal consultation stage
Initial evidence gathering and consultation	February 2007	Core strategy launch event
	September – October 2008	Issues and options consultation
Publication stage	December 2011 – March 2012	Consultation on draft core strategy
In between publication stage and submission stage of the plan	November 2012 – February 2013	Consultation on further options for higher growth
Submission stage	January 2014 – March 2014	Consultation on pre-submission Birmingham Development Plan
	October 2014 – November 2014	Public examination for BDP
Found sound stage of the plan	August 2015 – October 2015	Public consultation for proposed modifications (by inspector) and revised sustainability appraisal to BDP

Source: BCC, 2008 and interview with Respondent #34.Planner.LSUE

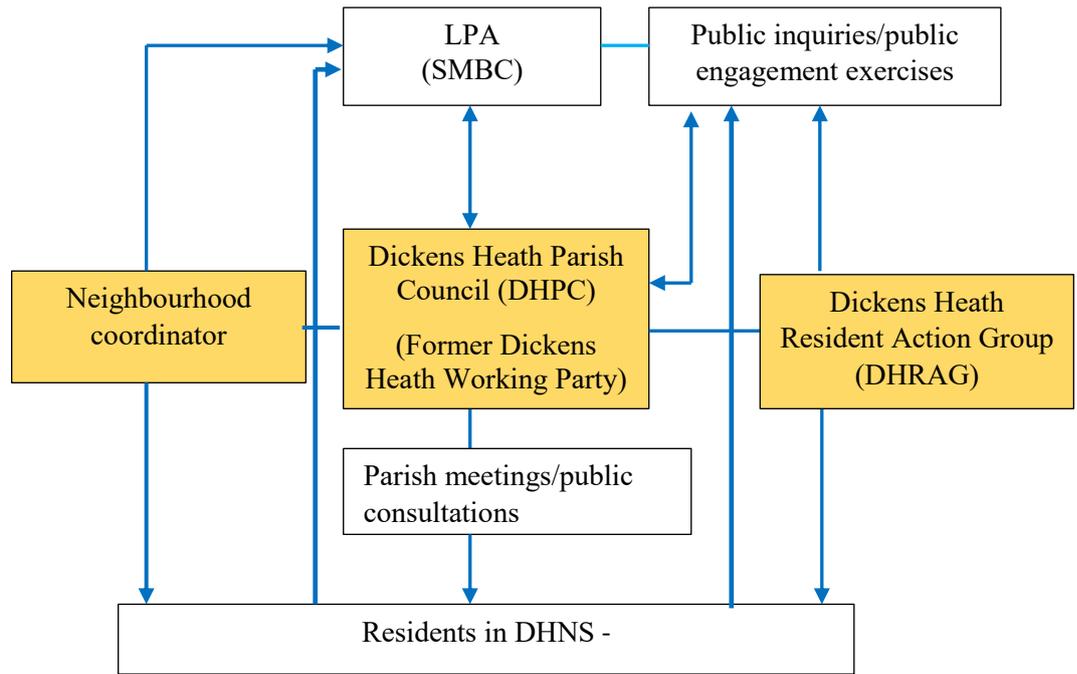


Figure 7-1: Institutional design for CPA available for DHNS residents

Source: Author

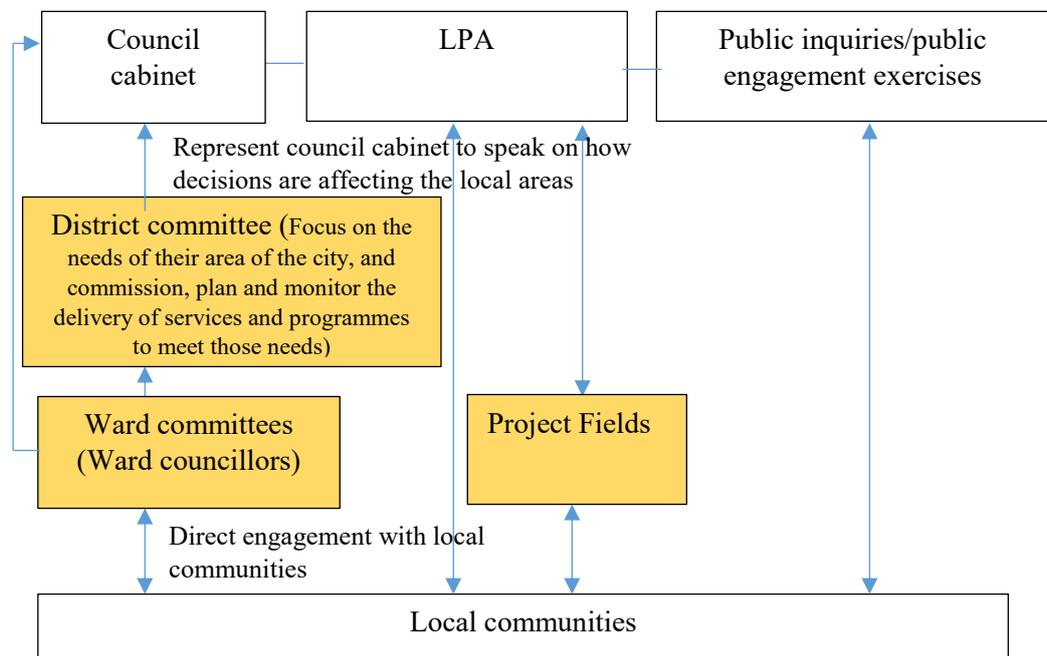


Figure 7-2: Institutional design for CPA available for the LSUE development

Source: Author

It was also evident that the respective LPAs (SMBC and BCC) have set up their communicative channels of institutions in a way that it enables the residents to communicate on an everyday basis. In DHNS, since 2007 a neighbourhood coordinator has been appointed for Blyth Ward as the first call (*Figure 7-1*) to liaise with communities or their resident organisation, with respect to everyday housing environment-related matters such as highway issues, village management issues and so on. In relation to LSUE, the *district committee* established under the BCC council cabinet (*Figure 7-2*) is a similar channel, where the residents have the *authority* to voice their concerns on infrastructure needs. All these are in addition to the representative democracy that the residents hold having the *authority* to communicate with the LPA directly through the respective elected ward members.

7.2.1.2 Discursive legitimacy

Discursive legitimacy here refers to the (resident) organisation to be represented in a discourse or speak on an issue in the public sphere (Hardy and Phillips, 1998). Pioneering residents who had a keen interest to improve the housing outcome experiences of DHNS gained the discursive legitimacy to represent the stake of “residents” within CPA by establishing various community-level institutions. The residents accessing to *power to* discursive legitimacy reflects how residents rationalize planning to deal with power (See Chapter 3, Sec 3.4.2 for the framework of rationalities by Albrechts, 2003).

As shown in *Figure 7-1*, prior to the year 2000, pioneering residents from Old Dickens Heath and the newly moved in residents of DHNS formed themselves into a team known as the Dickens Heath Working Party. This working party gained themselves the *discursive legitimacy* of DHNS community with respect to rationalise their

communication about the development of the DHNS centre and bring forward them to “give a bit of a hard time for the Developer Consortium” [Respondent#13.DHNS.Male.45-59].. The residents not only established the community institutions but also reflexively monitored the outcomes of those. The working party established later found to be lacking the authoritative power to CPA to reach their anticipated housing outcome as the Hockley Heath Parish Council in which the working party was attached to, showed the least attention on matters related to DHNS. This resulted in the pioneers to lobby for a separate parish council for DHNS:

“First, we set up the DHNS working party and joined the Hockley Heath Parish Council. We spent three to four years there and everything was very inefficient. I and another resident who joined that felt there was no real administrative backbone to it. So a number of those residents joined the Hockley Heath as we thought it needed to be more responsible for the local area. So we formed our own parish council and that enabled us to engage more effectively with the development in the centre”
[Respondent#12.DHNS.Parish.Councillor.Male.44-59].

Accordingly, Dickens Heath Parish Council (DHPC) was established in 2009 with a strategic rationality in order to strengthen the communitive rationality of residents by way of enhancing the value and instrumental rationality. (See, Albrechts (2003) power strategies in Chapter 3, Sec 3.4.1). With the legislative framework, parish councils are required to set its mode of governance in the form of *representative democracy*. DHPC consists of parish councillors²⁴ who were generally elected members from the community. Monthly parish meetings are the primary platform for any DHNS residents to voice their concerns. On behalf of residents, the parish councillors channel any issues of concern to the LPA and/or to any public consultation event and are responsible for

²⁴ Seven members in 2009 to ten members by 2015.

communicating responses back to the community. Whilst this setting of transparency and accountability could ensure the instrumental rationality, the tensions it made among residents that the CPA process was bureaucratic²⁵ failed the DHNS in terms of providing sufficient value rationality. Residents perceived DHPC to be inefficient and ineffective (see the quote from Respondent#11 below) in representing all the varying views of residents.

The new influx of dissatisfied residents, as a result, established the Dickens Heath Resident Action Group (DHRAG) in 2015, as a semi-formal, autonomous resident organisation, thereby challenging the discursive legitimacy power of DHPC:

“The Parish Council in some respects was ineffective and inefficient. We kept asking questions in Parish meetings. We don’t get any answers. In our action group, we have the flexibility to talk and be concerned about residents’ problems. So we can refine what should go into the Parish Council. We go in distributing leaflets and ask about people’s problems, whereas the Parish Council can’t do all of that. Because there, everything has to go into an agenda”
[Respondent#11.DHNS.Female.Over60].

The institutional design of DHRAG which is relatively flexible (less manipulative in terms of setting agenda for CPA; Albrechts, 2003) has made them easy to reach residents *“at their doorsteps, be focused [on new planning application related matters], and have flexible approaches [to meet communities], and advise them in a speedy manner on issues that can be solved in a relatively shorter period”* [Respondent#11.DHNS.Female.Over60]. *“We want to do what DHPC really cannot do”* [Respondent#11.DHNS.Female.Over60]. This meant DHRAG aims for power to the

²⁵ All matters to discuss in the meetings must be informed to the parish clerk in advance to the meeting to be included in the meeting agenda.

discursive legitimacy of the *left out residents who were silent in public arenas* (Healey, 2006); *non-organised, non-participant member* (Davies, 2001). In particular, they gained this with respect to the DHNS community who were dissatisfied about the DHPC's engagement to deal with issues related to new housing developments coming to the area, thus could enhance the *value rationality* (Albrechts, 2003) of the CPA process.

This way of accessing discursive legitimacy was also observed in LSUE in the way residents set up their community organisations (**Figure 7-2**). Resident activists in Walmley established an action group named "Project Fields" in 2014 to effectively reach fellow residents, either physically or virtually by social media groups, with the aim of encouraging them to support the view taken by that resident organisation: opposition of the new LSUE development and to participate in CPA accordingly.

The participation of fellow residents in events organised by these action groups (DHRAG or Project Fields) such as public walks, petitions, public meetings, protests (**Figure 7-3**, **Figure 7-4**) and so on, signified the enhancement of *strategic and value rationality* of residents' CPA and in return those offered the respective resident organisation the *power to* discursive legitimacy. Consequently, respective LPAs and other stakeholders make use of action groups as a means of contacting communities, inviting them to be represented in statutory consultation events such as planning inquiries and local councillors/planners become members of the social media groups attached to those action groups to communicate and view the ideas of the community.



Figure 7-3: Residents participating in a public walk across proposed development LSUE site organised by Project Fields
Source: SocialMedia.LSUE.Posted17/08/2014



Figure 7-4: Residents displaying their discontent for LSUE as prompted by Project Fields
Source: Author (2015)

7.2.1.3 Resources

Power also depends on institutions' ability to organise resources (Purdy, 2012) such as financial resources, people (knowledge, culture and capabilities) and technology. The parish councils have the *power to* authority to collect tax precepts from its (resident) members, thus have *power to* allocative resources.(i.e. *material resources involved in the generation of power*; Giddens, 1984: 31). Such financial (material) resources can be spent in the interest of the community. DHPC receives financial resources from DHNS residents at the rate of £70 per household/year (Respondent#20.DHNS.Male.44-59). In addition, they also receive funds allocated from LPAs. **Table 7-2:** Utilisation of DHPC tax precepts 2013–2015 shows how DHPC had been employing such funds to facilitate the CPA related activities of residents.

Table 7-2: Utilisation of DHPC tax precepts 2013–2015

No	Payment item
01	Mortgage payments to DHPC office premises
02	Landscaping roundabouts and village beautification projects
03	Payments for professional services
04	Launching a newsletter and a website
05	Organise public events, meetings and sponsoring residents communal activities
06	Funding social clubs
07	Training parish councillors on planning matters such as neighbourhood planning etc.

Source: DHPC annual accounts (2013–2015)

On the other hand, owing to their discursive legitimacy, resident action groups (DHRAG and Project Fields), collect membership fees and receive donations from volunteers (residents and local ward members etc.). The quotation below and **Figure 7-5** highlight this well:

“I take the councils allowance and I use that to pay for people who are coming and speaking in the coffee mornings of DHRAG”
[Respondent#40.DHNS.SMBC.LC].



Figure 7-5 Donation of funds to support launching a legal bid to overturn the plans for LSUE

Source: SocialMedia.LSUE.posted 06/01/2017

Resident institutions also have *power to* human capital. As highlighted in Chapter 5, Sec 5.5.2 and 5.6.2, both DHNS and LSUE presented a strong community context; a significant number of residents were professionals (also see Appendix VIII), who could utilise their capabilities and respective cultures when engaging in CPA to facilitate the collective desires of residents. The following points provide evidence to support this:

- The elected or co-opted leadership of the resident institutions (DHPC, DHRAG or Project Fields), have been the members of the respective communities, who have also been the professionals in the field of planning, housing, law, finance, banking and so on. For instance, the Chairman of DHPC for the years 2014–2015 had been a former board member and chair for Solihull Community Housing, SMBC. Similarly, the Chairman of the DHRAG had been a professional planner at SMBC chairing the planning committee and had been involved in DHPC master planning and the secretary of the Solihull ratepayers association.
- In 2015, the DHPC formed a planning subcommittee to provide advice on the technical aspects of the planning applications that were being forwarded to them by the SMBC. This committee comprised co-opted fellow residents, who had been professional planners living in DHNS.
- Significant numbers of residents continued to volunteer themselves with their different capabilities in all activities organised by the Project Fields group (see *Figure 7-6*)

The mobilisation of human capital in this way empowered the resident organisations by providing valuable knowledge and skills allowing understanding of technical details of planning, and the ability to set forward arguments and draw strategies (Ansell and Gash, 2008), and increased the quality of the events organised by the action groups to gain more access to discursive legitimacy, enabling the residents to participate in CPA more effectively (Purdy, 2012) and so on.



Figure 7-6: Residents volunteering in the public exhibition and public activities organised by the Project Fields action group

Source: SocialMedia.LSSUE.posted07/01/2015

7.2.2 Power relations of residents

Having identified the medium to empower residents, this section analyses how they have formed the power relations of residents. According to Giddens (1984), agents' actions carry power (i.e. *power to* or *empowerment*, discussed above) in the form of transformative capacity and structure the domination (i.e. *power over*). It is the duality of structure (Giddens, 1984) where the *power to* and *power over* represent two analytically distinguishable aspects of social power (Pansardi, 2012: 73). To form *power over* (*domination* Giddens, 1984) residents, have been networking not only among themselves but also with the other stakeholder institutions that have either parallel interests or the political power. The institutions formed by residents such as DHPC,

DHRAG and Project Fields have been a centre or a social place (*Figure 7-8*), connecting all types of residents in the settlement: pioneering residents who have been living in the respective areas for several decades – well-known by fellow residents (territorial and social embeddedness) – residents who have been professionals, wealthy residents and so on. These networked residents have been transforming their own social and professional networks attached with LPAs, quangos and charitable trusts in the interest of their respective communities. In addition to the above, the resident organisations have also been networked with other institutions that hold parallel interests with that of residents (*horizontal networking*). For instance:

- DHRAG affiliated with Solihull ratepayers and networked with other parish councils and resident action groups in Solihull (Respondent#20) having shared their mutual interests and responsibilities.
- Project Fields networked with Walmley Resident Association, mass media (TV, newspaper and radio channels), social media groups in Facebook and Twitter.
- Both DHRAG and Project Fields networked with CPRE (Warwickshire) who had an interest in protecting England's green belt, which is a shared goal as far as the expected end result of all institutions concerned. The interviews held with the members of CPRE and the resident organisations confirmed that prior to making representations in relevant CPA events such as planning inquiries, the parties have been communicating with each other to plan strategies that would be complementary to one another.

This concentration of network power also attracted a degree of political power. They can be recognised as *vertical networking* as they are connected with stakeholders such as LPAs, who hold the plan decision-making powers. In DHNS, it was noted that the leaflets

distributed by local council candidates for elections (2015) included many of the popular claims made by those resident institutions, such as “stop further releasing of green belt for new housing development”, “infrastructure issues in the DHNS centre”, “traffic and parking issues” for instance. Some local councillors were directly involved in these institutions, giving political backing through leadership and representing residents’ claims at the question and answer sessions in the LPA’s full cabinet council. At the same time, some members in those resident institutions later became local councillors – decision makers at LPAs. This degree of political networking was also evident in the case of LSUE. Several initiatives taken up by the Project Fields group have not only been backed up local political networking but also taken up at the national political scale (*Figure 7-9*). Thus, on the whole, the domination (*power over*) that is conducted by way of horizontal and vertical networks, to a certain degree, has displaced the strict division or boundaries between the residents and other stakeholder agencies in the CPA process: fuzziness in boundaries between agencies.

“This is how public examination looks. Most of the people round the table are the representatives for the landowners including lawyers, in this instance referred to as counsel, and the BCC have a Queen’s Council. What do we have? Common sense!!”



Figure 7-7: Residents at a planning inquiry

Source: SocialMedia.DHNS.posted 23/10/2015

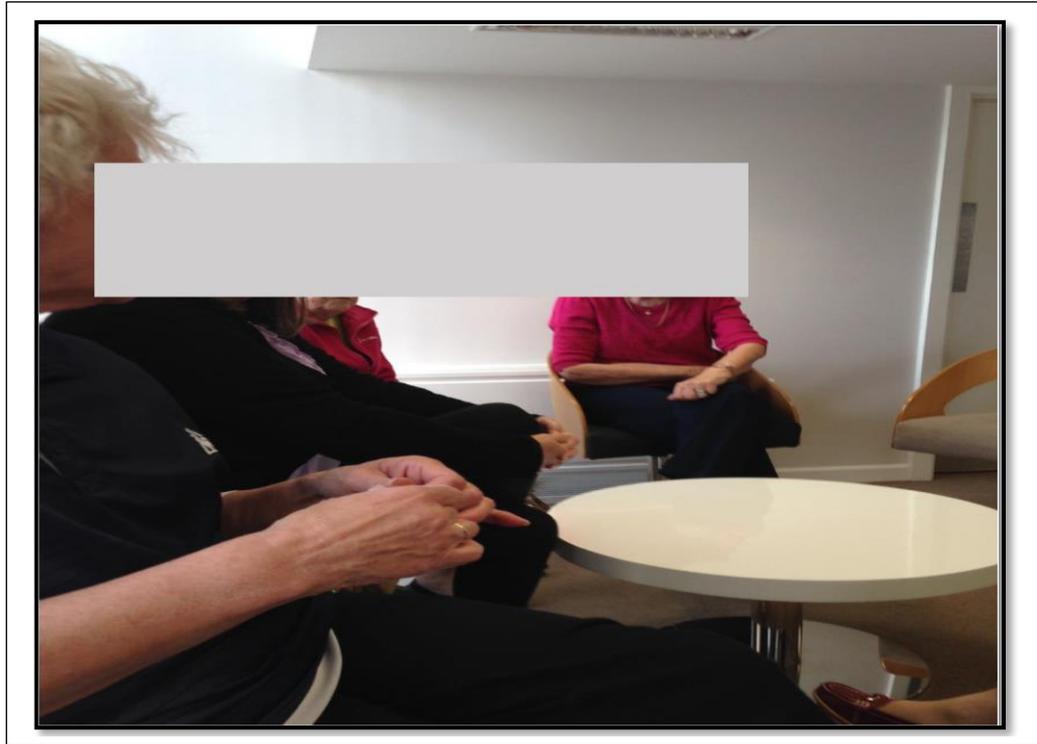


Figure 7-8: Residents networking in DHPC coffee morning
Source: Author (2015)



Figure 7-9: Resident activists in House of Lords to witness the debate with respect to LSUE initiated by one of the supportive local councillors

Source: SocialMedia.LSUE.posted 27/01/2016

7.2.3 Effects of power on CPA

Having recognised the way in which the residents held power, consideration is now given to whether the power relations distort the equity, fairness and democracy within the residents' CPA (Flyvbjerg, 2004; Healey, 2006; Friedmann 1998; Habermas, 1984) or has it been mobilised as a modality of change (Martens, 2001; Foucault (1980, 1983, 1984, 1990) to achieve desired ('SHA') housing outcomes. As a measurement to indicate these possibilities, this section investigates the level of resident participation and whether power influenced the procedural legitimacy of the residents' CPA.

7.2.3.1 Level of participation

Power relations of active and professional members attached to DHPC, DHRAG or Project Fields have not constrained or prevented residents from coming into different CPA processes (see **Table 7-3**). Moreover, one of the primary aims of those institutions has been to encourage and facilitate fellow residents to participate in all possible CPA events to gain “*number power*” [Respondent#20.DHNS.Male.44-59] (also see **Figure 7-10**), as greater participation means obtaining discursive legitimacy and resources for a higher degree of *empowerment* and *power over* in CPA events.

Table 7-3 Level of participation for CPA events by the number of residents

Case study	CPA event	Level of participation by number of residents
DHNS	Public consultation conducted by SMBC for planning applications submitted after 2014 (item 5, 6, 7, 8 in <i>Table 5-3</i>)	20–25 participants per application
	Pre-application stage public consultation conducted by the respective developers held in 2014/15 (item 5, 6, 7, 8 in <i>Table 5-3</i>)	112–150
	Average participation in DHPC monthly meetings (in 2015)	20–25
	Average participation in DHRAG monthly meetings (in 2015)	25–30
	Number of members of the DHNS social media group	Over 1,000
LSUE	Public consultation at conceptual and strategic planning stages held by BCC in 2011–2012	5,863 public comments
	Public consultation at pre-submission consultation stages held by BCC in 2014	1,572 public comments
	Two petitions conducted by Project Fields 2015	2,626 and 11,408 respectively
	Events organised by Project Fields such as public meetings, walks, awareness programs 2015–2016	50–450
	Number of members in the Project Field social media group	600 members

Source: Researcher’s observation, planning committee records, SMBC (2007), BCC (2008), interview responses

“If you need help with the consultation, more forms or crib sheets we will be in Walmley 9am–1pm and also Boldmere High Street between 9.30 and midday.

We have had a tremendous response so far. Please go and get those comments in and grab as many people as you can to do the same.

We need volume of response!”

Figure 7-10: Project Fields encouraging fellow residents to participate in the public consultation for proposed modifications (by inspector) and revised Sustainable Appraisal to BDP, 2015

Source: SocialMedia.LSUE.posted25/09/2015

Furthermore, with respect to *equity and fairness*, the questionnaire survey highlights that residents' participation or non-participation in CPA has not been influenced by their demographic and social backgrounds – gender, age, education level or ethnicities. **Figure 7-11, Figure 7-12, Figure 7-13, Figure 7-14**, have analysed the questionnaire survey results (Q3, Q4, Q5, Q6 and Q23 – Appendix VII) on participating and non-participating residents in any form of CPA. Out of 278 total questionnaire respondents, 77 residents (27.9%) had participated in any statutory form of CPA. Out of which, the gender proportions between participating and non-participating residents remain more or less similar. For instance, the proportion of participating and non-participating female residents respectively had been 54.54% and 57.7% (**Figure 7-11**). Similarly, both participating and non-participating residents included residents at all levels of age and education proportionately (**Figure 7-12, Figure 7-13**). With White British ethnic polarisation (Table III- Appendix VIII), whilst the majority of participating and non-participating residents represented that particular ethnicity, the participating residents also included residents from other ethnic backgrounds having similar proportions with that of the non-participating residents (**Figure 7-11, Figure 7-12, Figure 7-13, Figure 7-14**). Thus, it can be claimed that power relations in the CPA have not negatively influenced the *equity and fairness* of the residents' participation.

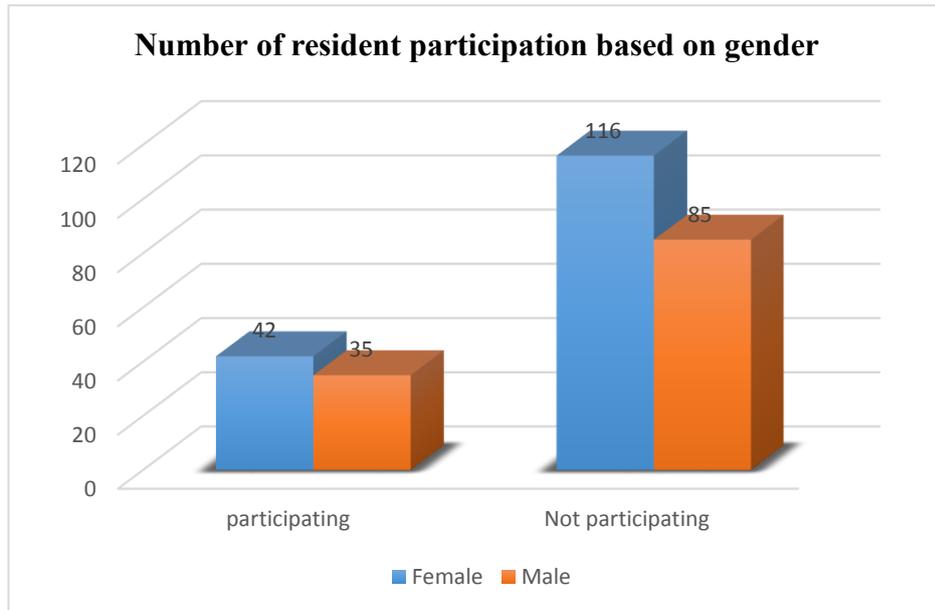


Figure 7-11: Number of residents participating based on gender

Source: Fieldwork, 2015

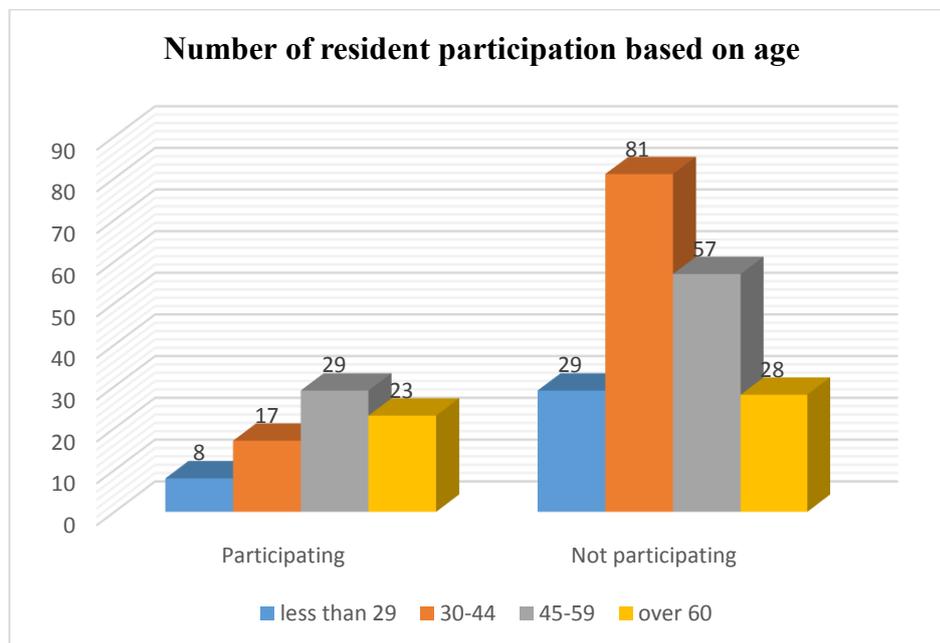


Figure 7-12 Number of residents participating based on age

Source: Fieldwork, 2015

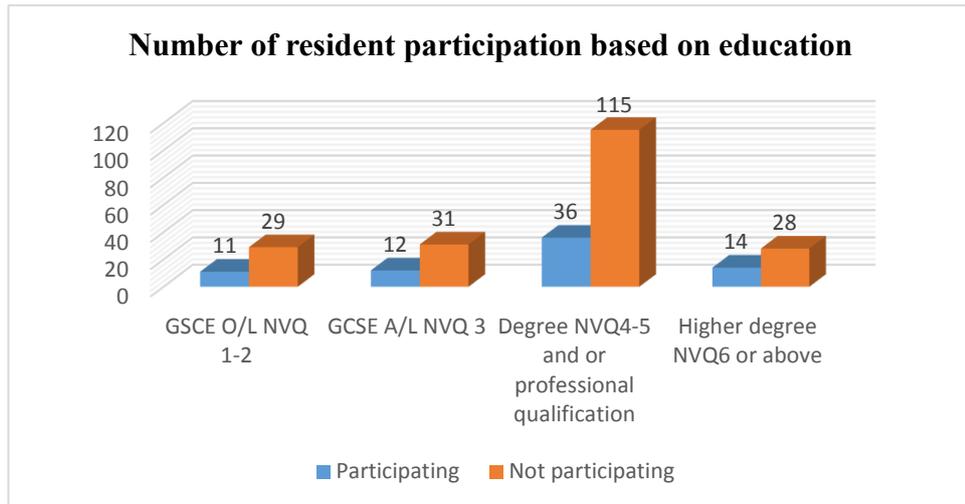


Figure 7-13: Number of residents participating based on education

Source: Fieldwork, 2015

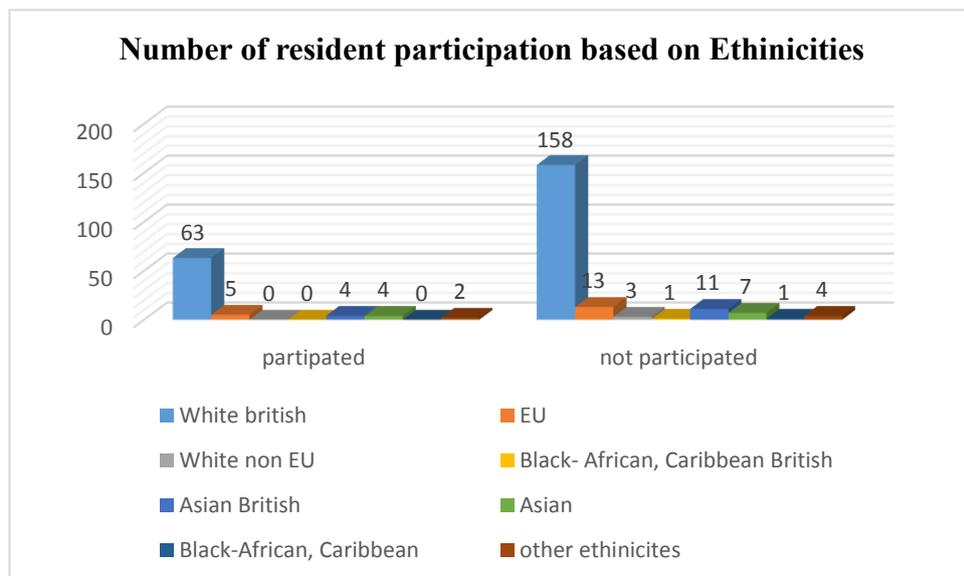


Figure 7-14: Number of residents participating based on ethnicities

Source: Fieldwork, 2015

7.2.3.2 Procedural legitimacy

Procedural legitimacy as indicated in Chapter 3, Sec 3.4.4 is an indication of how power impacts CPA *democracy* by influencing its protocols or ground rules of conduct. As shown in the following evidence from DHNS, access to power by the formation of

resident organisations has created fragmented and conflicting political groups, which in return has also increased the competitiveness to perform CPA outcomes. This led to maintaining some of the primary protocols on CPA *democracy* such as designing and organising the CPA process by the participants themselves (Innes, 2004; Healey, 2006), “leadership” to guide the process (Bryson and Crosby, 2006), encouraging both formal and informal communicative interactions (Bryson and Crosby, 2006) and CPA to flow as a two-way process (Portman, 2009; Habermas, 1984) existed in the CPA conduct by residents. It is indicative of that power has been used as a modality of change to achieve the shared meanings of housing outcomes.

The DHPC 2015 elections were a clear demonstration of the community fragmentation, with tensions between the early pioneering parish councillors and the alternative wave of resident groups led by DHRAG after 2014. As reflected in resident interview responses and the researcher’s observation, the monthly parish meetings of DHPC since 2014 experienced heated debates over prevailing issues in DHNS (see Chapters 5 and 6 for issues in DHNS). This conflict gave rise to competition, with residents attempting to outperform one another by having access to power (via authority, discursive legitimacy and resources) and resulted in residents further shaping the institutional designs for their CPA. For instance, enhancing the accountability (two-way communication) of their CPA to win the power to discursive legitimacy to DHPC and DHRAG. As a way of overcoming the critiques on bureaucratic structure, in 2015 DHPC established a planning subcommittee to give technical and strategic advice efficiently and effectively on planning applications forwarded to them. Also, DHPC divided their monthly meeting time into different subject matters: public consultation, planning applications, village issues etc. and response time of parish councillors for the questions raised by residents

during previous meetings. This complies with Innes and Booher's (2004) study in which they contend that collaborative participation in the 21st century is successful in solving complex and contentious problems when bitter dispute divides a community.

Furthermore, in the attempt to access discursive legitimacy, the resident organisations encouraged higher informal interaction among communities. The DHPC over time developed as a communal centre for informal interaction by way of organising coffee mornings, clubs and societies etc. (Figure 7-8). Both DHPC and DHRAG connecting with social media enhanced the exchange of ideas, views and information with the fellow residents and specially made attempts to involve the *non-participating* members into the CPA process. In addition, as indicated earlier, DHRAG implemented highly flexible approaches such as home visits to maintain continuous two-way contact with the residents. One of the residents reflecting on this DHRAG approach stated:

“This action group drops lots of information through the door. At least once a week, they are quite active in the community... that helps me a lot to know anything that is going on in the village”
[Respondent#23.DHNS.Female.30-44].

These altogether highlighted that the power held by the resident organisations in a shared context has been a resource to increase CPA democracy (Dryzek, 1994) and improved the “speech situations” (institutional design) of the CPA process. This is in return indicative of power held by stakeholders such as residents – the owners of emotive reasoning – is a means to increase the flow of (experiential) knowledge (*value rationality*; Albrechts, 2003) on housing outcomes to the planning decision-making.

7.3 Ontological Aspects

Prior to investigating the knowledge outcomes produced on housing experiences at CPA, it is important to clarify the nature of household motivations on CPA – the ontological aspects. This highlights the question of what the CPA of residents reflects in terms of their desired housing outcomes. According to the rational choice theory, the agent wishes to achieve a maximised output for a given input or minimised input for a given output to achieve her or his ends (Downs, 1957; Olson 1965 etc.). On this basis, Chapter 3 argued that stakeholders (in this case residents) engage in CPA, fuelled by their self-interests or personal incentives (Innes, 2004; Booher and Innes, 2002). Moreover, in the process of CPA whilst trustworthiness matters for actors to come into the CPA (Day and Gunton, 2003), the strategic intent that the stakeholders hold, do expect returns that include intermediaries or small wins (Booher and Innes, 2002; Healey, 1992b). The empirics from DHNS and LSUE support these arguments, highlighting that the anxieties of residents over their current and future housing outcome issues are the motivations driving them to engage in CPA to achieve ‘SHA’ outcomes.

Self-interest

Among 148 residents who stated housing experience of DHNS demonstrate “issues” (Chapter 6, **Figure 6-8**), 77 residents (52.02%) have chosen to engage in CPA as a means to find a redress for those issues. **Table 7-4** analyses the questionnaire survey responses of these 77 residents with respect to their reasons to engage in the CPA and their locations of housing (Q 23, 24 - Appendix VII). The classification of those reasons is: *neighbourhood infrastructure and/or social issues, be informed and make inputs to new housing development, objecting and highlighting issues related to subsequent housing*

development in DHNS, and issues related to housing quality and higher service charge for properties in the DHNS centre. A strong positive relationship exists between the issue forwarded via CPA and the households' location of the housing. For instance, 88.9% of the residents who engaged in CPA to object and highlight issues related to subsequent housing developments, were from Rumbush Lane, DH Road, Fishers Drive, Birchy Close and Main Street – housing locations that are opposite or in close proximity – and as such directly impacted by the new housing development sites. Similarly, the 35% of residents engaged with the concerns related to infrastructure and higher service charge issues were the households primarily from the DH centre (Main Street, DH Road and Rumbush Lane) and the Tythe Barn Lane where the DH primary school is located, encountering everyday traffic and congestion issues.

This had no difference to the case of LSUE, where many residents who were activists objecting to the development were households living opposite the project site. The quotes below taken from pioneering active members in Project Fields, highlight this phenomenon well. As it is reflected in the quotes, the residents demonstrated a strong desire (*Over my dead body*) to commit both time and cost to engage in CPA: setting up Project Fields and helping with its CPA initiatives, since they considered CPA to be a rational choice in relation to their self-interest of the time – opposing the new housing development and protecting the scenic beauty attached to their housing.

Q) What made you set up this action group to engage in public consultation for LSUE?

A) “It was literally someone bangs my door and was saying ‘I am putting up these leaflets for this meeting and you have all got to come for this’. He said they [BCC] were going to build opposite. Then I said, ‘Over my dead body they’ll build opposite’. So I started with that” [Respondent#13.LSUE.activits.Female.44-59].

I was going to spend the rest of my life here, I paid a fortune to own my property to look out of my window every day at the horses and God's creation. It will now lose at least £40,000 in value which means I will have to find that extra cost to move to another area of the same value assuming that is not built as well. Saying that there are some things more important than money, I would pay \$40,000 to stop building on this land" [SocialMedia.LSUE.Posted.24/06/17]

Confirming this further, the same residents demonstrated a negative reaction to the invitation they received to engage with the LSUE master planning process. This is because that was not a CPA engagement that complied with their self-interest.

Q) Will you be interested in engaging with the master planning or any other planning activities of LSUE in future?

A) "One of the gentlemen [part of the consortium] at the examinations said ... let's meet when we do the master planning, let's talk!!!... There will be 250 houses being built every year, during the next fifteen years. So this notional idea of sitting down and doing master planning and doing neighbourhood planning with them to set up neighbourhood forum... we cannot conceivably do that. I will not certainly spend my next 15 years in my life doing that when I am not being paid. Those should be done by paid local councillors" [Respondent#13.LSUE.activits.Female.44-59].

Agreeing with the contemporary CPT, the above findings highlight that a particular CPA pursued by residents presented their self-interests, which is also the crude level expectation of the theory – CPA to bring in “emotive” or “subjective” knowledge of communities to the planning process. As indicated by the above evidence, this self-interest is presented by means of CPA as one of the choices to find redress to a particularly desired housing outcome concern (a means to achieve ‘SHA’), whilst other choices might include moving out of the location (DHNS/Walmley), or tolerating any negative implications and so on. Therefore, CPA is a means to an end (such as achieving ‘SHA’ outcomes) and not an end in itself (Booher and Innes, 2002; Rydin and Peddington, 2000).

Henceforth, it eliminates the Habermasian perspective on CPT in some respect that the CPA is purely for “understanding”. It carries an element of strategic intent – i.e. achieving success.

Table 7-4 - The reasons for communities to engage in CPA of DHNS

Street name	Communicate Neighbourhood infrastructure /social issues	Be informed and make inputs to a new housing development having the intention of purchase	Object and highlight issues related to subsequent housing developments	Communicate Issues related to housing quality and higher service charge for properties in the DHNS centre
Aldershaws	1	-	-	-
Birchy Close	3	-	7	-
Brixfield Way	-	1	-	1
Broom Lane	-	1	-	-
Fisher Drive	3	-	6	-
Hirdemons Way	-	-	3	-
Kiln Lane	2	-	2	-
Main Street	5	-	4	2
Dickens Heath Road	3	-	5	-
Rumbush Lane	3	-	18	-
Tythe Barn Lane	7	-	-	-
Total	27	2	45	3

Source: Fieldwork, 2015

Trustworthiness and intermediary wins

Bounded by the strategic intent, the residents’ engagement with CPA had been also associated with two interwoven factors: trustworthiness and intermediary wins. The existence of trust among residents that CPA has the ability to achieve a level of success,

is a key driver for them to engage in such actions (Laurian and Shaw, 2008; Day and Gunton, 2003; Tett, Crowther, and O’Hara 2003). Lack of trust building and mutual respect between planners and residents, discourage the latter sharing their experiential knowledge. The interview and questionnaire survey respondents who indicated that they had housing outcome issues in DHNS, but refrained from engaging in CPAs initiated by LPAs and developers, reflectively indicate this well:

“Those were mere lip service”; “Just a tick-box exercise”; “Little about planning and little about local communities... decisions are all about politics”; “Those are just PR (public relations) exercises”; “There is absolutely no point in getting involved in it... not worth it”; “They think as themselves as experts of all and we really don’t know what we are talking about”; “Everything is a done deal”.

Probing this with the case of LSUE, the following quote highlights similar findings with that of DHNS. When Walmley residents perceive their former CPA held (*Table 7-1*) had no influence over the plan outcomes, they feel sceptical to engage further in any future CPA

“The consultation on the Supplementary Planning Document (SPD) is remaining on course to take place in September. The jury is still out as to whether this consultation has any value for us. We have had ongoing meetings with the city council planning officials and we are still not convinced it is nothing more than a process they have to go through. As I mentioned before, a developer can lodge a planning application at any time, regardless of the SPD”
[SocialMedia.LSUE.Posted24/06/2017].

Similarly, whilst end success of CPA matters, the momentum of trustworthiness among residents on CPA also depends on the small wins they receive during the process of the CPA, what has been referred to as “intermediate results” (Booher and Innes, 2002) or

“interdependencies” (Chrislip and Larson, 1994; Roussos and Fawcett, 2000; Warner, 2006; Weech-Maldonado and Merrill, 2000, all of whom are cited in Ansell and Gash, 2008). Reflecting on public participation in the DHPC monthly meetings, one of the parish councillors stated:

“People come [to the parish meetings] because they want to complain about something and afterwards they are desperate to know what we are going to do about it. If not, they feel annoyed and frustrated about it” [Respondent#12.DHNS.PC.Over 60].

One of the quotes by Respondent#11 in Sec 7.2.1.2 confirmed this by indicating how residents became frustrated with DHPC as a result of not seeing any intermediary responsive outcome to the problems they had forwarded in the monthly meetings. Thus, situations in which residents receive due acknowledgement of their objections, and continuous receipt of first-hand knowledge of the responses to issues, enable the building of a feeling of trust among residents to motivate themselves to engage in CPA.

7.4 Knowledge Aspects

The ultimate goal of CPA is the production of emotive reasoning. As highlighted in Chapter 2 it is a significant element of knowledge required in planning for SHA outcomes. At the same time, according to Chapter 3, the effects of emotive knowledge on planning outcomes is the least researched aspect in the CPT. Therefore, having understood the power relations and the ontology of CPA, the analysis here finally looks at: what emotive knowledge outcomes have been produced as a result of residents CPA, what are the relevance of those in relation to planning for SHA outcomes and how far the validity and legitimacy of those emotive knowledge were maintained. It is worth noting that the

discussion in this chapter is limited to the production of knowledge via residents' engagement in CPA, whilst how far those knowledge outcomes have become an inclusionary argument in the plan decision-making process are to be dealt in Chapter 8.

The empirical evidence used to analyse the knowledge production in CPA of DHNS and LSUE were drawn from different sources that included:

- Interviews with pioneering residents (Respondents # 12, 23, 26, 32, 34, 45, 55).
- DHPC monthly public meeting minutes 2009–2016, public comments for planning applications for DHNS since 2014, Summary of Community Involvement Statement by respective LPAs (BCC, 2008, SMBC 2007), BDP Pre-consultation forms with respect to Policy G5- LSUE (BCC, 2017).
- Observation of DHPC meetings, DHRAG meetings, public examination for sustainability appraisal for LSUE (Chapter 4, *Table 4-4*) and continuous observation on social media groups from 2015-16.

As already highlighted in Chapter 3, Sec 3.4.1, the analysis here employs the frameworks suggested by Rydin (2007) and Khakee, Barbanente, and Borri, (2000). First, as shown in Appendix IX, the evidence of CPA outputs was classified by employing Rydin's knowledge typologies reviewed in Chapter 3, *Table 3-2*. This was further classified based on *knowledge produced at different community phases* (Chapter 6, *Figure 6-13*). These phases have been broadly recognised as (i) conceptual and planning stage (prior to moving in of new communities) and (ii) development and managing stage (after the move in of communities) of the housing delivery process. The aim of this classification is to reflect the research gaps: how communicative planning can be applied to the context of new housing developments where new communities do not exist at the conceptual and planning stages and the time-space effects on SHA outcomes as a result of the knowledge

input variations over time. The analysis validates these knowledge inputs showing the relevance of its application to transforming the existing housing outcomes towards an incremental level of (SHA) experience. The schematic representation of such knowledge validation is shown in *Table 7-5* and *Figure 7-18*. Following Khakee, Barbanente, and Borri (2000), “validation” here refers to *relevance, the level of concretion and commitment and use* of knowledge inputs, as described in Chapter 3, *Table 3-1*. Whilst the analysis here confirms Rydin (2007), it has also inductively shown the effect of time-space on knowledge produced to generate different structures of CPA. i.e. mere communicative actions of residents within the planning process as well as actions by communities where they take-in-charge of shaping their housing environments (community participatory actions). Finally, this section reflects the legitimacy aspect of such knowledge production. This is the *realism* aspect of knowledge validation suggested by Khakee, Barbanente, and Borri (2000) or the *truthfulness or manipulative aspects of knowledge* referred by Habermas (1984). This implies the impact of power on the knowledge production.

7.4.1 Conceptual and planning stage – DHNS (1990–1997) and LSUE (2013–2016)

Conceptual and planning stage refers to housing delivery events such as land allocation, planning infrastructure and designing the settlement for housing (Ratcliffe, Stubbs and Shepherd, 2009). Therefore the CPA of residents at this stage is to inform the plan decision making related to those events, thus, refers to emotive knowledge produced prior to any actual delivery been taking place. In DHNS, the resident cohort who engaged in CPA during this stage (1990–1997) was the Old Dickens Heath residents. For the case of

LSUE (2013–2016),²⁶ CPA participants were the residents primarily from Walmley and Sutton Coldfield, living near the proposed site. During this time Old Dickens Heath was a hamlet with about 200 households consisting primarily of a retired and elderly population. However, LSUE being an urban extension, the number of households that had the potential of being stakeholders of the project exceeds 9,000 households (see Chapter 5, Sec 5.5.2 and 5.6.2).

As indicated in Chapter 6, the existing residents often engaged in CPA due to their anxiety over the negative impacts on existing housing outcomes as a result of the planned new housing developments. Therefore, regardless of the difference between the time periods and the magnitude of residents between the DHNS and LSUE projects, the CPA of these existing residents placed much emphasis on the *current state knowledge* – an empirical account of the current socio-economic and environmental situation of the existing built housing outcomes. For example, local knowledge on social and ecological bonds of the existing residents with the proposed new development site, how the new development would distort their current lifestyles, territorial and network embeddedness and the current situation of infrastructure pressure the residents encountered with the existing level of population and so on. These *current state knowledge* inputs produced by the existing housed residents are of validity to inform the existing built context (Current State A) to which the proposed development site is attached.

Similarly, their resistance to new development motivated both the DHNS and LSUE resident cohorts to mobilise their stock of experiential knowledge to critically evaluate the current plans for new development, often under pessimistic scenarios. This produced

²⁶ Period of investigation is limited to the end of the fieldwork.

predictive knowledge – prediction of a future scenario under trend conditions – in connection with the new development. For instance, in the case of LSUE, residents who were against the project pointed out the weakness of traffic plans proposed by transport engineers of LPA. They highlighted the first-hand issues and possible errors in traffic volume predictions, road widening plans, parking provisions and so on, by comparing those with their everyday life experiences of travelling habits and commuting patterns of them (**Figure 7-8**). Since those predictions were based on experiential knowledge, often under pessimistic scenarios to counter argue on optimistic scenarios produced by the experts, such knowledge inputs are valid to inform a particular planned housing outcome in the future (Predicted State B¹).

Furthermore, after the planning policy reforms of 2010 in general and resulting in the National Planning Policy Framework (DCLG, 2012) that believed to be more supportive of markets, residents have been reflexively monitoring the local planning policy to challenge the planning process itself as a means to stop development. As a result, in the case of LSUE, the CPA during this stage also produced the *planning process knowledge* – the process of understanding of planning. These included the residents' interpretations, perceptions and critical arguments on, what do their real housing experience be defining local housing needs and sustainability of housing development, procedural legitimacy issues in the conduct of the public consultation exercises of the LPA and so on. Such knowledge is valid to reflect the residents' evaluation of the planning process that links a particular current state housing outcome towards a planned state (Linking Current State A to Planned State B²).

Finally, when the new housing development (DHNS or LSUE) was approved and were to go ahead implementing, the existing residents have been tending to reach a

compromising situation - minimising the negative impact to the existing development by the design of planned development. Those suggested *normative knowledge* – understanding of desired goals for planned development. For example, to offset potential development impacts, residents in Old Dickens Heath proposed the DHNS master plan to maintain the then existing narrow country road layout as a means to preserve the existing rurality and to minimise possible traffic increase. In LSUE, residents claimed, if the new development were to go ahead, it should be designed with a green buffer that can disconnect the existing Walmley area with the new LSUE. Those examples of emotive knowledge that define the residents’ shared meanings of future housing outcomes expectations are valid to inform particular planned state outcomes for housing. (i.e. Planned State B²).

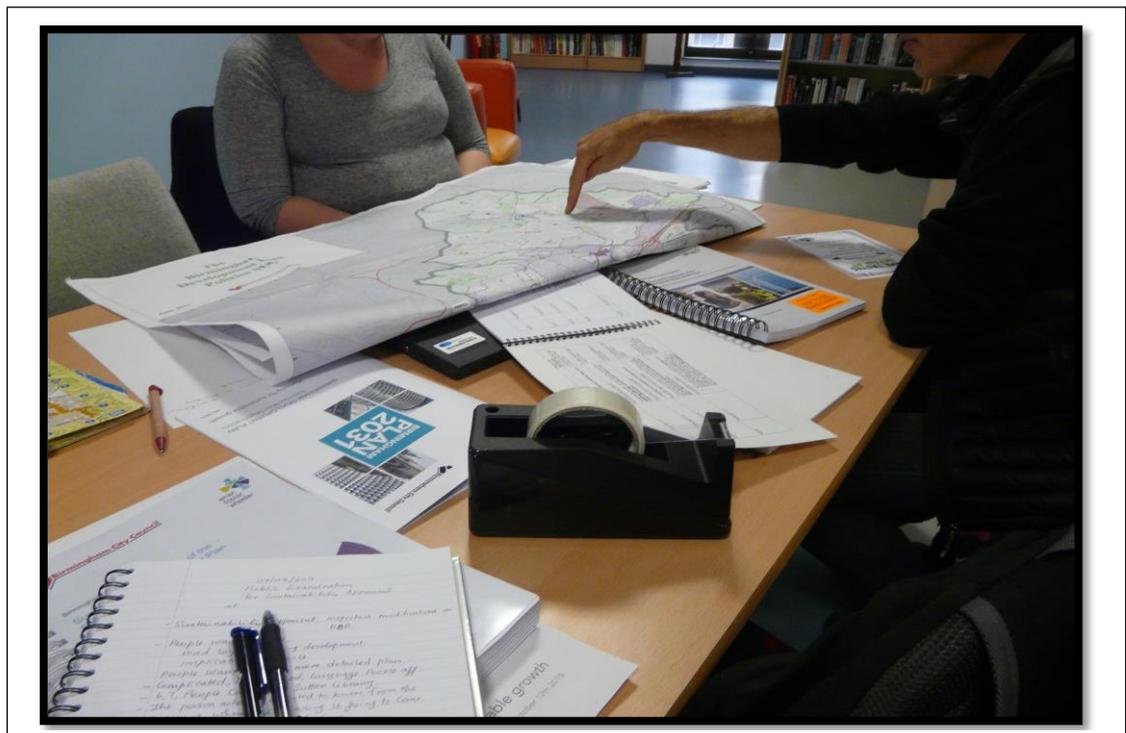


Figure 7- 15: Residents commenting on first-hand issues and possible errors in traffic plans for LSUE

Source: Author (2015)

7.4.2 Development and management stage

Development and management stages include housing delivery events such as housing construction, provision of infrastructure, managing the housing outcomes of the settlement and future growth (Ratcliffe, Stubbs, and Shepherd, 2009). Therefore, it is only for the DHNS case study that the CPA of residents at this stage can be studied²⁷. Furthermore, in a housing development scale such as DHNS, where development is delivered in phases, activities related to development and management occur iteratively (see Chapter 8, *Figure 8-1*). Henceforth whilst both “development” and “management” stages have been taken together as stated before, the investigation of knowledge production is looked at on the basis of community formation periods (Appendix IX), i.e. CPA of residents described in item 02-DHNS (1997–2002), item03-DHNS (2003–2013) and item 04–DHNS (2014–2016).²⁸ As indicated in Chapter 6, *Figure 6-13* these phasings were produced by the analysis of the way residents moved into DHNS and formed their community by merging with the existing households.

7.4.2.1 DHNS (1998–2002)

During the period concerned, the communities engaged in CPA were the new pioneering communities moved to DHNS in 1997 and the remained old Dickens community. As shown in Chapter 6, Sec 6.3.3, the new communities moved into DHNS with their understanding (*ontological security*) that DHNS would be of a rural character with modern serviced neighbourhoods and belong to a new community of like-minded

²⁷ The development of LSUE is planned to be commenced in 2 018.

²⁸ Period of investigation is limited to the end of the fieldwork

lifestyles. However, in the event of a planning application for the DHNS centre in 2002, owing to planning policy changes like PPG3 (2000), substantial changes took place to the initial DHNS master plans – planning decisions to densify the central parts of DHNS with apartment buildings by increasing the housing numbers by almost twofold. At the same time, owing to the non-delivery of the DHNS centre (Chapter 6, Sec 6.3.1), the delivered housing in the low-density zones of DHNS was not serviced with any planned amenities (shops, doctor’s surgery, bus services, street lights, kerbs, roads etc.) Therefore, CPA held in connection to the planning applications for the DHNS centre during 2000–2002 were primarily taken up with these challenges and households’ keen interests to set up and shape the DHNS centre.

“The developer was facing people like me saying ‘oh you should be doing it that way’, quite well-informed people... So we were going to meetings and presentations and giving developers quite a hard time... the developers were tweaking what the planners would allow them”
[Respondent#14.DHNS.Male.44-59].

On this basis, the knowledge production of residents at the time first brought forward the *current state* knowledge - their empirical account of everyday socio-economic and environmental experiences living in DHNS. For this, residents have been comparing the actual housing outcome with what was promised in the plans. For example, in relation to the traffic and road safety issues, the residents have been comparing the former DHNS master planning aspirations: *“sustainable walkable neighbourhoods”* with the narrow road layouts delivered in and around DHNS, and how those circumstances interacted with the new residents’ lifestyles and network embeddedness such as commuting patterns. Those highlighted the causations for DHNS to become a neighbourhood encountering severe traffic and parking issues. This knowledge in feedback form evaluates and audits

past plans against the residents' current experience. It highlights how the production of emotive knowledge in CPA can be contested between different knowledge holders engaged at different periods of time (Ockwell and Rydin, 2006). Despite early residents suggested *normative knowledge* that DHNS master plans should design roads narrowly to avoid rat runs and protect the rurality of DHNS (Sec 7.4.1) the later residents perceived such design was problematic. As shown in Appendix IX and **Table 7-5, Figure 7-18** this *current state* knowledge whilst valid to inform the existing housing outcomes state of DHNS (Current State A¹), from the perspective of the initial planning period (1990–1997) of DHNS is also reflective of the *outcome state* knowledge – an empirical account of outcomes of planning processes implemented in specific societal contexts (State B³).

The residents in building up their shared meanings for *outcome state* knowledge (State B³) also enables them to produce *normative knowledge* for future plans. For instance, propose widening of the DHNS-Shirley exit to ensure the safety of walking and cycling of school children and other pedestrians. As shown in Appendix IX and **Figure 7-18** this knowledge is valid to connect the Current State A¹ to a future planned state of housing outcome that can be identified as State B²².

Furthermore, the residents' displeasure with respect to the change of master plans to densify the DHNS centre further, also produced knowledge on *planning societal interactions* – process understanding of how planning and societal processes interacted to create outcomes. For instance, the way in which the plans amended to incorporate the requirements of PPG3 (densify DHNS centre by increasing the housing numbers in twofold and reducing the size of the village green) resulted in attracting many outside residents to DHNS in the short run and curtailed the future local demographic growth needs. Such knowledge was valid to highlight the processes that create changes to the

current housing state outcome to the future housing state outcome (linking Current State A¹ to Outcome State B³³).

7.4.2.2 DHNS (2003–2013)

This time frame refers to the period in which the planning applications have been approved for the DHNS centre and the settlement has completed the first 1,000 housing and apartment units (Chapter 5, *Table 5-2*). In this scenario, as indicated in Chapters 5 and 6, the residents engaged in CPA to resolve housing issues such as:

- Non-delivery of services (shops, office spaces, doctor’s surgery, bus services, cricket club for the village green and so on) in the DHNS centre, despite the construction of real estate.
- Perceived negative implications from different outside processes such as growth of rental sectors in the DHNS centre and the negative housing market implications as a result of the economic recessions emerged since 2008 (e.g. fall of apartment prices and eye soring building sites in the DHNS centre on hold).

Residents’ CPA were motivated primarily by these tensions, and the continued existence of these forces perpetuated the production of knowledge inputs similar to previous periods. As the examples classified in Appendix IX indicate, they included the *current state* knowledge of the then DHNS existing housing outcome (Current State A¹¹) which also reflects the *outcome state* knowledge of the so far planned housing outcome (State B³³), *predicted state* knowledge connecting the then existing DHNS housing outcome to a predicted future state (State B¹¹), *planning process* knowledge understanding the

process that links current housing status to future planned state (linking A¹¹ and B²²²) and the *normative* knowledge reflecting the residents' desires for the future state (State B²²²).

In addition to those, during this stage, DHNS having increased the housing numbers and gradually becoming susceptible to implications from different outside processes such as increase of rental sector etc. residents' CPA has also been producing *societal process* knowledge – understanding of social-economic and environmental processes affecting society. For instance, different tensions and impacts such as anti-social behaviour on the early homeowners as a result of increasing rental sector tenants in DHNS centre. Such knowledge outcomes reflected that the *value rationalities* (Albrechts, 2003) of residents themselves can be of tense when the values varies between different community groups settled-in at different time. These knowledge inputs were valid to highlight the processes that linked the then DHNS existing housing outcome to the future predicted state outcome (Current State A¹¹ to State B¹¹).

Outcomes of community participatory actions

During this stage, the residents' engagement to shape their housing outcomes was not limited to CPA which is limited to communication between residents and other stakeholders in the planning process but also lead to community participatory actions. As stated in Sec 7.1, community participatory action is a different level of CPA structure that is not only limited to communication between residents and other stakeholders in the planning process but also the communities taking the lead to make decisions to implement their shared values realised on the ground to shape the residential environments. For instance, as shown in Appendix IX, such participatory approaches included establishing

institutional landscape (DHPC) for DHNS since 2009, establishing amenities such as a bus service, doctor's surgery and health clinic, taking charge of the functionality of the village hall and so on.

To evident the above, the community participatory actions were taken with respect to establishing a bus service to DHNS and to solve the public transport issues prevailed in DHNS for nearly four to five years has been analysed as an example. The generation of knowledge (normative, planning societal interaction and so on) as a result of discussing the respective issue, created a validation of the issue (i.e. non-availability of bus service is an issue for DHNS residents to serve their daily transport needs to Solihull etc.) forming a shared meaning or consensus among residents in describing it (*value rationality*: Albrechts, 2003). Those generated voluntary community leadership and transformed the residents into *efficient and effective* representatives of issues (Krauss and Fussell, 1990). For instance, DHPC chairman paraphrased Tony Benn MP: "*I see that the Russians have put a space vehicle on the moon. Is there any possibility we have a better bus service*" (Parish Chair Speech, DHPC minutes, 2009). Innes and Booher (1999) recognised these as the second and third order effects of CPA (see, Chapter 3, **Table 3-5**). These led residents exploring the means to reach their desired goals by mobilising their *power to* authority and discursive legitimacy via DHPC and resources (network relations, finance, and professional knowledge). The leverage of these synergies enabled the community to take charge of solving their issues as illustrated in **Figure 7-16** and **Figure 7-17**. Here, the conventional role of a planner (i.e. the LPA) as the decision makers has been shifted to a passive role as a *facilitator* (Sanoff, 2000) whilst the empowered residents make decisions to shape the housing outcome.

Example for community participatory actions– establishing a bus service to resolve public transport issues in DHNS

As shown in *Figure 7-17*, the process was commenced by residents communicating at Dickens heath working party about the everyday life issues as a result of not having a bus service to DHNS. The community had been frustrated by no public authority including the LPA have taken any measures to establish such service. The establishment of the DHPC in 2009 provided the power to authority and discursive legitimacy for the pioneering residents to hold discussions directly with the respective bus service providers – consider possibilities to provide a bus service that connects DHNS to its counterparts of Solihull and Shirley. These thereafter discussed further in the monthly parish meetings with the participation of residents, officers and local councillors from the borough council (LPA) and bus service providers. The service provider informed the residents about the possible bus timetables, routes, obtaining logistics to establish bus stops, subsidising the service with public funds etc. Feedbacks and consensus among residents were reached as to how far the residents were prepared to use such service to ensure the commercial viability of the service provision. Highway issues related to the provision of bus service (pedestrian safety and crossing points) were then communicated to the LPA for further action.

As a result of this community participatory actions, DHNS established a bus service in 2010: a bus service that runs every hour during weekdays. Subsequently, continuous feedbacks on the service with respect to service quality and highway safety issues were often communicated by residents via parish meetings (DHRAG meetings after 2015) to inform and lobby for an improved service.

Figure 7-16 Case illustration for community participatory action

Source: Interview with Respondent #35, 23, DHPC minutes 2009-2016

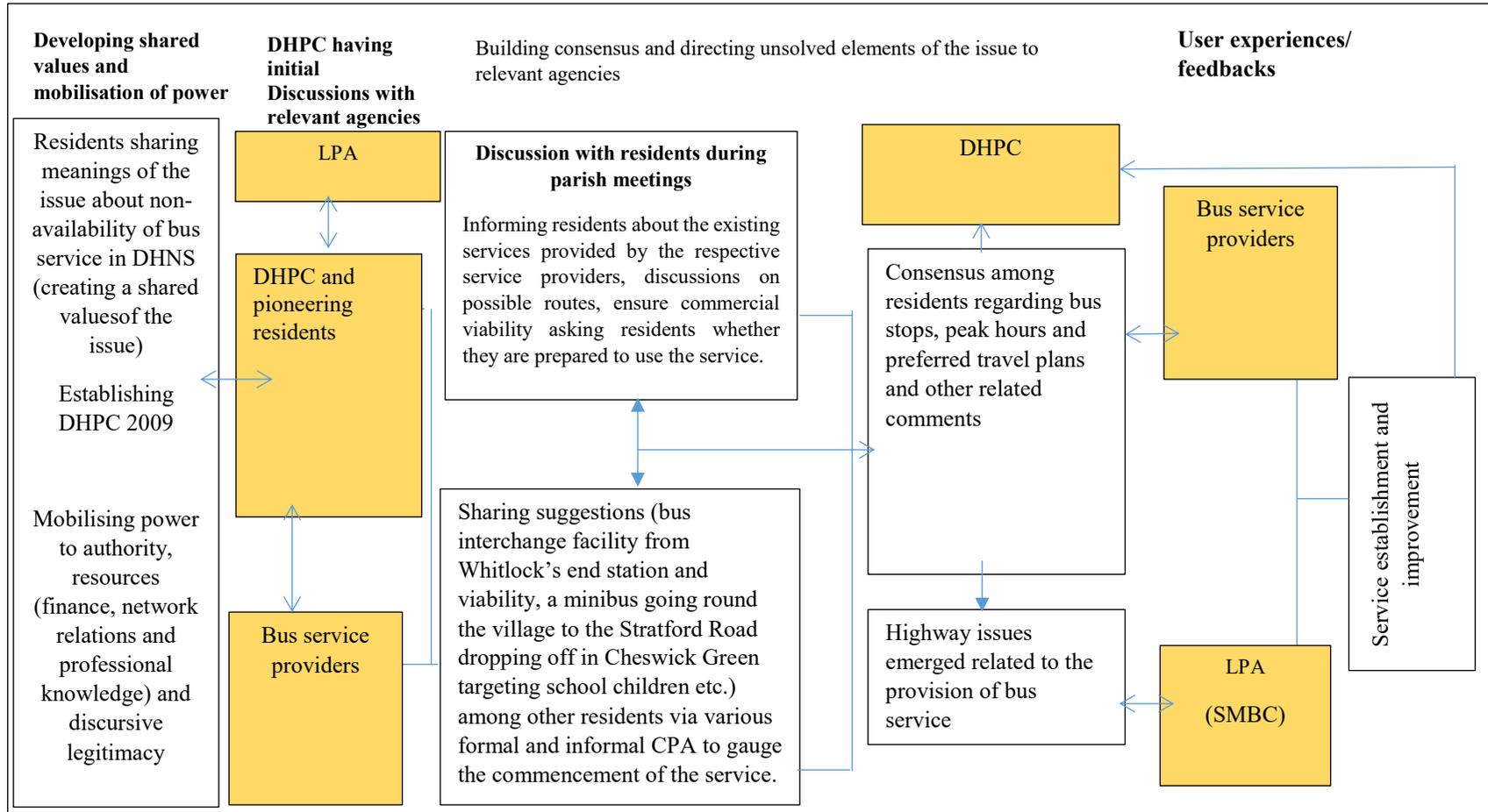


Figure 7-17: An example of community participation outcomes-establishing a bus service to resolve public transport issues in DHNS

Source: Interview with Respondent #23, 35 DHPC minutes 2009–2016

7.4.2.3 DHNS (2014–2016)

Between 2014–2016,²⁹ the CPA engagement of residents was primarily held in relation to the increasing number of planning applications for housing that came forward to develop the outskirts of DHNS (Chapter 5, *Figure 5-12* and *Table 5-3*). This increasing of planning applications was owing to the housing market recovery after the recession and the planning reforms in 2010 that liberated the market supply of land for housing. Induced by these reasons these sites came forward for development prior to the period in which they were initially planned in the DHNS master plans (Chapter 5, Sec 5.4.1). Therefore, as reflected in Chapter 6, the issues that motivated the residents to engage in CPA during this period were,

- the potential development impact pressures as a result of the premature growth of DHNS that were perceived to worsen the already existing issues remaining in the DHNS centre³⁰
- substantial implications for the homeowners as a result of DHNS being susceptible to different outside processes (for example, an increasing rental sector and the influx of migrant residents moving in from different parts of the UK and abroad).

Henceforth, the existing residents in DHNS continued their attempts to engage in CPA to reinstate their anticipated ontological security of housing.

²⁹ Year in which the fieldwork ended.

³⁰ Substandard road works, abandoned building sites, management issues of public areas, vacant offices and commercial properties.

Similar to previous periods, the CPA of these residents, produced all knowledge types: the *current state* knowledge (Current State A¹¹¹) of the period concerned the same issues as the *outcome state* of the former planned period (State B³³³), *predicted state* knowledge to plan State B¹¹¹, *societal processes* knowledge (linking A¹¹¹ and B²²²²), planning societal interactions (linking A¹¹¹ and B³³³³), *normative* knowledge informing the Plan State B²²²² and *planning process* knowledge that links A¹¹¹ and B²²²² (Appendix IX and **Table 7-5, Figure 7-18**). By this period, DHNS has reached a significant level of territorial heterogeneity (*tensions within value rationality*; Albrechts, 2003) between the existing and potential residents. The CPA of existing residents contested that growth in DHNS and new amenities should cater the local housing needs - new housing and its amenities should cater to the increasingly elderly and the teenage population in the existing DHNS community rather than creating more affordable (social) housing for residents coming from outside. Therefore, the primary intent of CPA has been achieving “success” in stopping the premature development of the green belt sites, thus the overall knowledge inputs produced have been highly strategic. Henceforth, the planning policies after 2010 that support markets have been largely displacing the theoretical expectations of the communicative planning that the CPA is for understanding the reciprocal values of stakeholders (also see discussion in Sec 7.3). Furthermore, in a similar vein to the period before, in response to issues identified via CPA, the residents have also attempted to initiate different community participatory actions such as establishing a post office in the DHNS centre, a Multi-Area Games Unit (MUGA) to provide solutions to the youth-related issues in DHNS and so on. However, partly owing to the tensions of territorial heterogeneity (of self-interest) between existing and potential residents in relation to the new development sites and having less flexibility to allocate land for new facilities when

DHNS had been already occupied with development, the realisation of such participatory actions have been challenging. For instance, despite developers of new development sites allocated S106 money in 2014 to finance MUGA by the developers of these new development sites, due to the non-consensus among residents about the location in which that should be established, such community participation approaches were not being realised until 2016. Therefore in the maturity stages, challenges such as these have fuelled residents to reflexively select participatory approaches that are of a long-term nature with a substantial strategic view such as neighbourhood planning: *“it gives more control for us to accommodate current and future local housing needs”* [Resident#20.DHNS.Male.Over60].

Table 7-5 - Validating knowledge inputs for ‘SHA’

Period	Classification of knowledge/outcome type	Relevance to plan SHA outcome
DHNS – Early 1990s to 1997	Current state	State A
	Predicted state	State B ¹
	Normative	State B ²
DHNS 1997–2002	Current state	State A ¹
	Outcome state	State B ³
	Planning societal interactions	Linking A ¹ and B ³³
DHNS 2003–2013	Normative	State B ²²
	Current state	State A ¹¹
	Outcome state	State B ³³
	Predicted state	State B ¹¹
	Planning process	Linking A ¹¹ and B ²²²
	Normative	State B ²²²
DHNS 2014–2016	Societal process	Linking A ¹¹ and B ¹¹
	Participatory outcomes	Achieving a particular ‘SHA’ outcome
	Outcome state	State A ¹¹¹
	Current state	State B ³³³
	Predicted state	State B ¹¹¹
	Planning processes	Linking A ¹¹¹ and B ²²²²
	Societal process	Linking A ¹¹¹ and B ²²²²
Planning societal interaction	Linking A ¹¹¹ and B ³³³³	
LSUE 2013–2016	Normative	State B ²²²²
	Participatory outcomes	Achieving a particular ‘SHA’ outcome
	Current state	State A
	Predicted state	State B ¹
	Planning process	Linking A and B ²
	Normative	State B ²

Source: Author (based on Appendix IX)

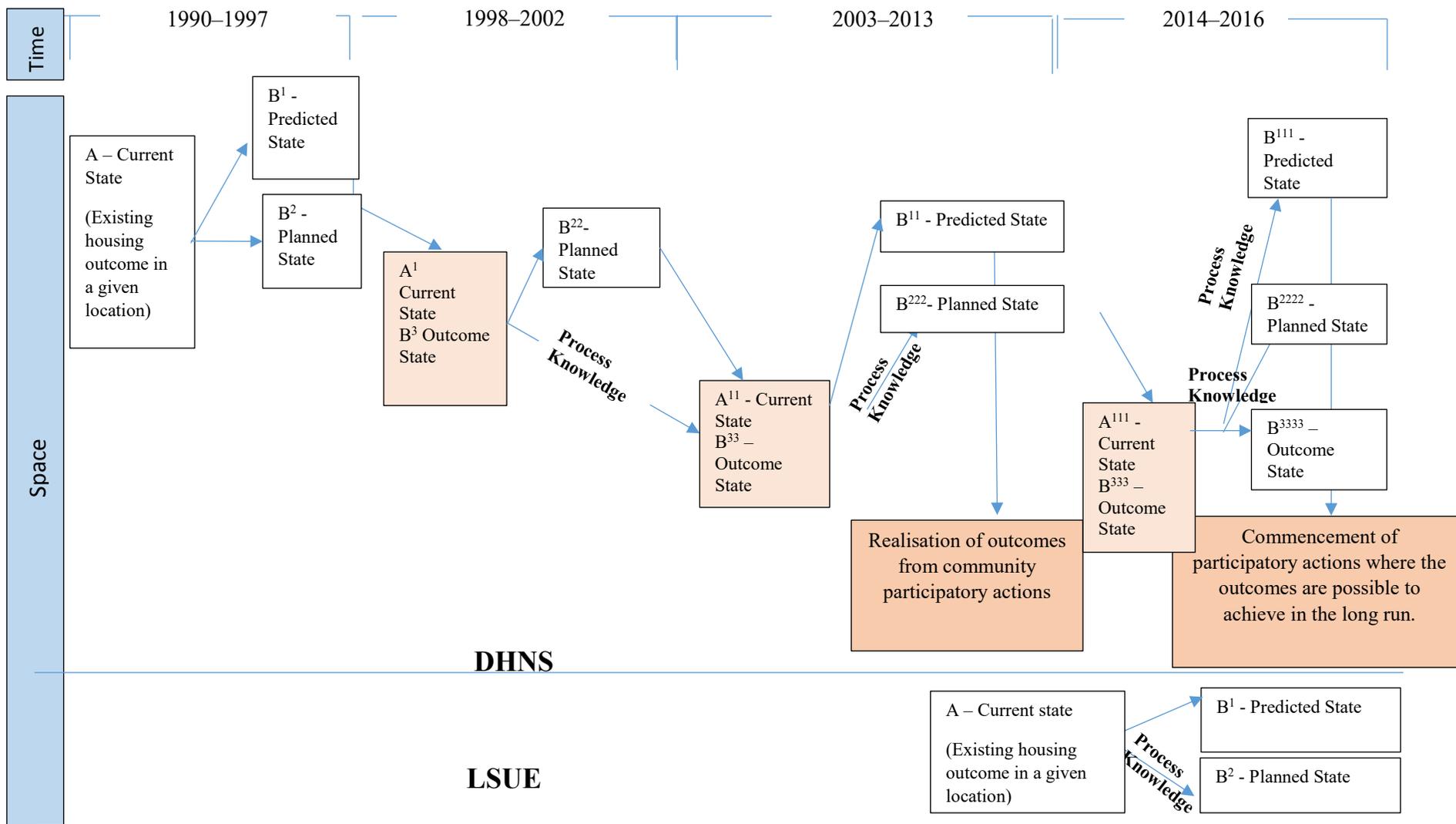


Figure 7-18 CPA for “SHA” over time-space

Source: Author

7.4.3 Legitimacy in knowledge

Legitimacy in this context refers to what Habermas (1984) recognised as the *truthfulness* in a speech situation. In other words, how far residents' CPA has provided a full range of self-interests, emotions and knowledge relevant to the issue in hand – values, resources, experiences and information (Booher and Innes, 2002: 226). As per knowledge validation variables identified by Khakee, Barbanente, and Borri, (2000), this was recognised as the *realism* of knowledge (Chapter 3, **Table 3-1**). The observation of residents' CPA in DHPC parish meetings, public consultation exercises with respect to LSUE and their engagement in other informal CPA such as social media and more explicitly stated by some of the interview respondents, a difference in the *truthfulness* of the speech situation exists between the different communicative scales: CPA conducted at an individual scale and its conduct under the discursive legitimacy of residents' organisational capacity. As indicated in Sec 7.4.2.1 and Sec 7.4.2.3 this has been particularly significant with respect to the knowledge inputs produced (Appendix IX), with the strategic intent of being “successful” in stopping new housing developments in the adjoining sites of former green belt, especially after the 2010 planning reforms and establishment of NPPF, 2012.

In general, the CPA conducted in individual capacities provided a full range of emotive reasoning without any significant manipulation. The form of speech is of narrative style and formed around everyday experiences in relation to the issue at hand. For instance, in DHPC monthly meetings, the individual residents expressed their concerns by quoting their everyday recent encounters in relation to a particular matter of concern: how noise, dust with new development disrupts their cooking in the kitchen, times of relaxation in the living room and back gardens, how inconsiderate parking in front of their house affected their to-do plans on a particular day, how they were about to meet an accident at

a particular point of the road and so on. The observation of communication (speech acts) by two resident participants objecting to LSUE at the public consultation held for sustainable appraisal for BDP in 2015 was conducted in a narrative style; they expressed their grievances as to how they lived in the Walmley area for 30 years, how they perceived the actual outcomes of developments over time in Walmely, their perception on BCC planning decisions, their everyday cycling problems with the already existing congestion, stories about their children enjoying the cornfields in the proposed LSUE site during weekends and so on. These included criticism and sarcasm like: *“you talking about Birmingham cycling revolution for people to cycle from Langley to Birmingham? That is absolute rubbish. That is just a waste of public funds”* “ha-ha” and nonverbal gestures like anger, sorrow, finger raising, disappointed faces etc. Despite those speech acts having the strategic intent of being “successful”: to stop development, according to Habermas (1984) this CPA is also dramaturgical actions – expressive, self-representation, oriented to reach understanding and a subjective world – thus less manipulative and closer to the truthfulness of subjective meanings of their ‘SHA’ outcome (*Table 7-6*).

Comparing these speech situations with that of CPA under discursive legitimacy (DHPC, DHRAG or Project Fields) at statutory public consultation or planning inquiries indicates that the latter were highly strategic and entirely oriented towards success and effectiveness of outcomes in plan decision-making. The following response by one of the resident respondents on behalf of Project Fields highlighted this well:

Q) Have you all come forward to protect this green belt?

A) “No, our argument is not about the green belt. It is about the consultation process. In planning policy, it is very clear that the plan should have this evidence database. They were there, but it wasn’t the same document that we were consulted on. So, I suddenly realised after consultation that the documents we were consulted on, weren’t the same documents that we are going through the examination. They didn’t expect us to notice it, but I did and thankfully one of my colleagues took a screenshot at the consultation. So we have the evidence to prove it at the examination all these evidence documents are very different... we go by those facts and not with the placards. Because that is the way to win something like this” [Respondent#13.Sutton.Colfield.activits.resident.interviewed.26/05/2015].

Despite the fact that the residents’ true self-interest was to protect the greenbelt, for them, to remain utilising the surrounding open spaces, enjoying the scenic beauty, less congestion and quality natural environment that was associated with their housing neighbourhood elements (see quotes in Sec 7.3), in the event of statutory CPA such as public consultations, they refrain from putting forwarding those emotive reasons. Instead, the resident organisations argue on technocratic considerations like errors in the consultation processes conducted by the LPAs. As implied, this is to strategically challenge the planner’s decision taken on releasing the green belt by gaining advantages over the provision of a respective legislation (e.g. NPPF, 2012) and to win their values for housing outcomes. The above quote stating “*we go by facts and not with the placards. Because that is the way to win something like this*” clearly implies this. With their strategic intent of being successful, the residents reflexively monitor the way in which their CPA matters in plan decision-making – knowledge produced will be validated against the NPPF provisions. Accordingly, they work out their CPA (manipulate) to suit the planning policy requirement and only express what would bring advantages to them.

In the case of DHNS, one of the objectives of DHPC establishing a planning subcommittee in 2015 and co-opting residents having professional planning knowledge is to advise on how the given consultation responses by residents (at the parish meetings) should be refined prior to being forwarded to the LPA – what points to state, when to make any objections, what procedures the other stakeholders (LPA, developers) have mistaken which can be mobilised to the advantage of residents likewise. This viewpoint and activity cast a similar manipulative reflection in terms of the residents’ self-interests. With the aim of a winning entry, the planning subcommittee shapes the emotive reasoning of residents into argumentative technical knowledge. As pointed out by the communicative rationality of Habermas (1984), such speech acts are *regulative* concerning the *rightness* of a particular knowledge outcome, but nevertheless, not sufficiently emotive to gain the *truthfulness* (**Table 7-6**) of the speech act. Even though power held by residents does not have negative implications over the procedural legitimacy of CPA (Sec 7.2.3) it does have implications over the “truthfulness” of knowledge inputs, when the residents’ reflexively monitors that the planners’ basis for validating the emotive knowledge to the planning process is the deductive logic of existing policy. In the words of Brownill and Carpenter (2007), such validation basis has lead tensions between value and strategic rationality.

Table 7-6 Legitimacy of knowledge outcomes

The scale of resident representation	Nature of CPA	World relations	Legitimacy claims
Organisational scale	Argumentative towards planning policy – strategic	Objective world	Rightness
Individual scale	Storytelling/gestures – dramaturgical	Subjective world	Truthfulness

Source: Author

7.5 Conclusion

By linking the relevant aspects of CPT, this chapter has analysed, how residents in DHNS and LSUE engage in CPA as a means to achieve their frames of references for ‘SHA’ outcomes. The empirical evidence highlights both opportunities and challenges with respect to residents’ CPA contributing to achieving ‘SHA’ outcomes.

The residents’ CPA produced emotive knowledge that leads the process to achieve SHA outcomes. Besides *power to* authority given through several key pieces of planning legislation, residents have been empowering themselves with various instrumental and strategic rationalities (such as establishing parish councils, resident action groups, individual basis etc.) to engage with the housing delivery process. Those provided them with the *power to* discursive legitimacy and resources. Those enabled the residents to build their power relations with other actors through vertical and horizontal networking. Under these power relations and institutional setting, the residents’ CPA generated various emotive knowledge outcomes with respect to their (i) experiential knowledge (feedback loops) of existing housing outcomes, (ii) predictions and norms on future housing outcomes and, (iii) reflections on societal and planning processes that highlight the causal links between the present and future housing outcomes. Those knowledge were valid, informing the planning process about various subjective ‘SHA’ values (self-interests) of individual residents at a given time-space and led to *shared values* among residents about ‘SHA’ outcome issues – effectively defining the issue in a collective sense. In certain instances of the housing delivery process, this knowledge has been used to leverage the community participatory actions where residents themselves took the lead to remedy the housing outcome problems - recognising their collective capabilities and generate answers to solve the issue by themselves.

However, the *power to* discursive legitimacy held by residents was negatively influencing the *truthfulness* of emotive knowledge outcomes. This was particularly relevant where the resident institutions (DHPC, DHRAG etc.) reflectively monitor that the planners validate what they communicate (the emotive knowledge) in the light of existing policies (deductive logics). In those instances, the resident institutions (*power to* discursive legitimacy) tend to refine the emotive knowledge (what should?, or should not?, When?, in which form? etc.) that to be passed on to the LPAs. These impose limitations on the *value rationalities* of the residents' CPA and highlight as an instance that limits the potential of communicative planning to achieve the SHA outcomes.

CHAPTER EIGHT

OTHER STAKEHOLDER MEANINGS AND COMMUNICATIVE PLANNING FOR SHA OUTCOMES

8.1 Introduction

This thesis argues that Sustainable Housing Affordability (SHA) is socially constructed and communicative planning has the potential to reconcile more effectively the technical and emotional knowledge to achieve more sustainable and affordable housing outcomes. In that sense, all actors having a stake in a social problem at a given space and time should engage in the process of decision-making to attain their shared goals (Briggs, Kolfshoten, and Vreede, 2005; Innes, 2004). Chapters 6 and 7 focused on the housing demand related perspectives, which include residents' requirements and their Communicative Planning Actions (CPA) that aimed to achieve a desired ('SHA') housing outcome at a given time-space. This chapter explains how other actors in the housing delivery process frame their meanings for 'SHA' and engage in CPA to deliver housing outcomes. The chapter particularly focuses on:

- What are the *shared meanings* for 'SHA' outcomes of other supply perspective actors? i.e. their criteria for success, values and judgements on optimal outcomes (Healey, 2003, 1997; Giddens, 1984).
- How have the CPA of households been positioned and integrated into the consensus-building process of housing delivery in the type and scale of

development such as Dickens Heath New Settlement (DHNS) or Langley Sustainable Urban Extension (LSUE)?

The methodological consideration to analyse the housing supply perspectives of agency (Chapter 5, Sec 5.4.2, 5.6.1) is limited to the key actors – the stakeholders who actively and significantly influence the project outcomes. Thus, the key actors in this context are the market actors (housebuilders, strategic promoters, and landowners), Local Planning Authorities (LPAs) (councillors and planning officers) and the master planners. The analysis uses data obtained from both the DHNS and the LSUE case studies.

Within the mixed method approach to the study, this chapter is based on a qualitative thematic analysis that includes data from in-depth interviews, the researcher's observations and document reviews. Based on the Institutional Approach (IA) the analysis identified different stages (*events*: Healey, 1999) of the housing delivery (supply) process: i.e. *conceptual, design and infrastructure planning, development and management stages* (see, **Figure 8-1 and 8-2 and Chapter 2, Sec 2.4.3**). Subsequently, these were sub-themed into relevant theoretical aspects (Yin, 2009) of the Communicative Planning Theory (CPT) that covers the actors' frames of references (criteria for success, values and judgements on optimal outcomes), power relations, institutional design for CPA and the governance of the consensus building process. Here, the analysis of the consensus building process primarily employs the typological framework of CPA governance identified by Healey (2006), which was reviewed in Chapter 3 (**Table 3-4**).

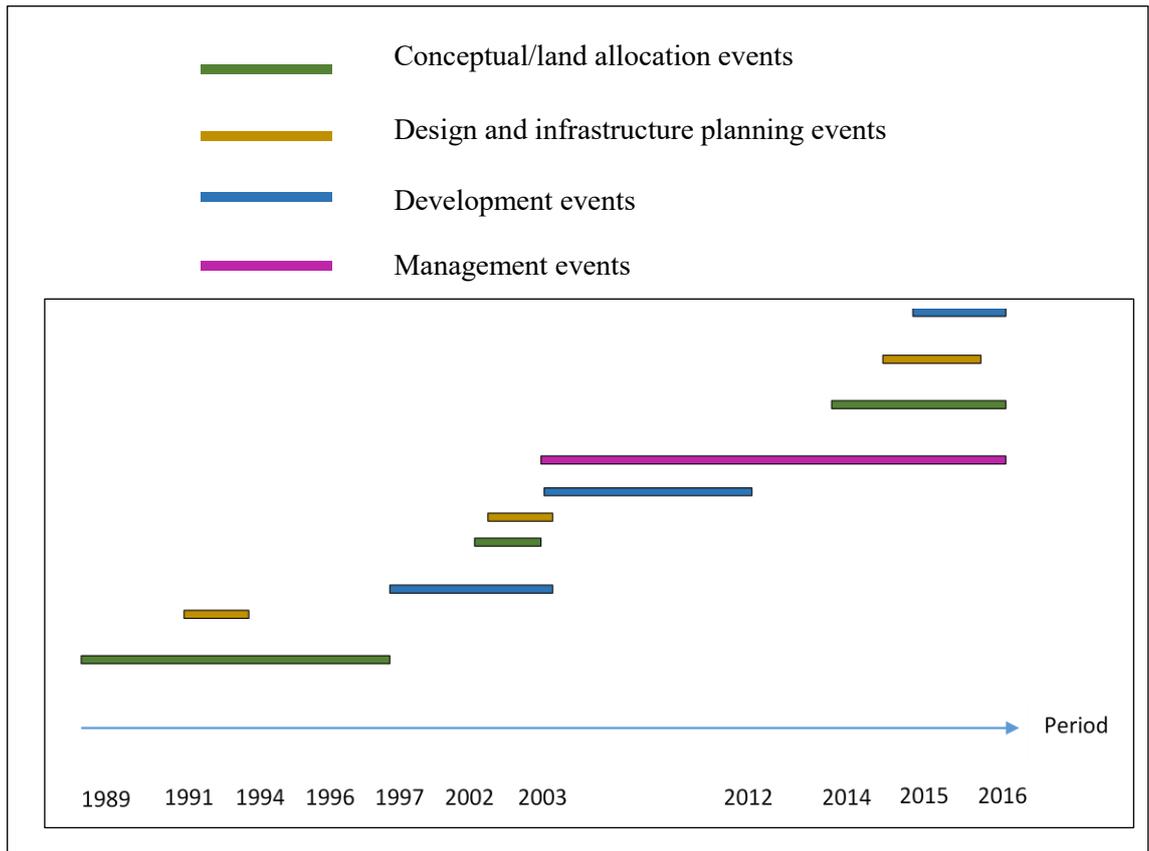


Figure 8-1 Housing delivery stages for DHNS

Source: Fieldwork, 2015

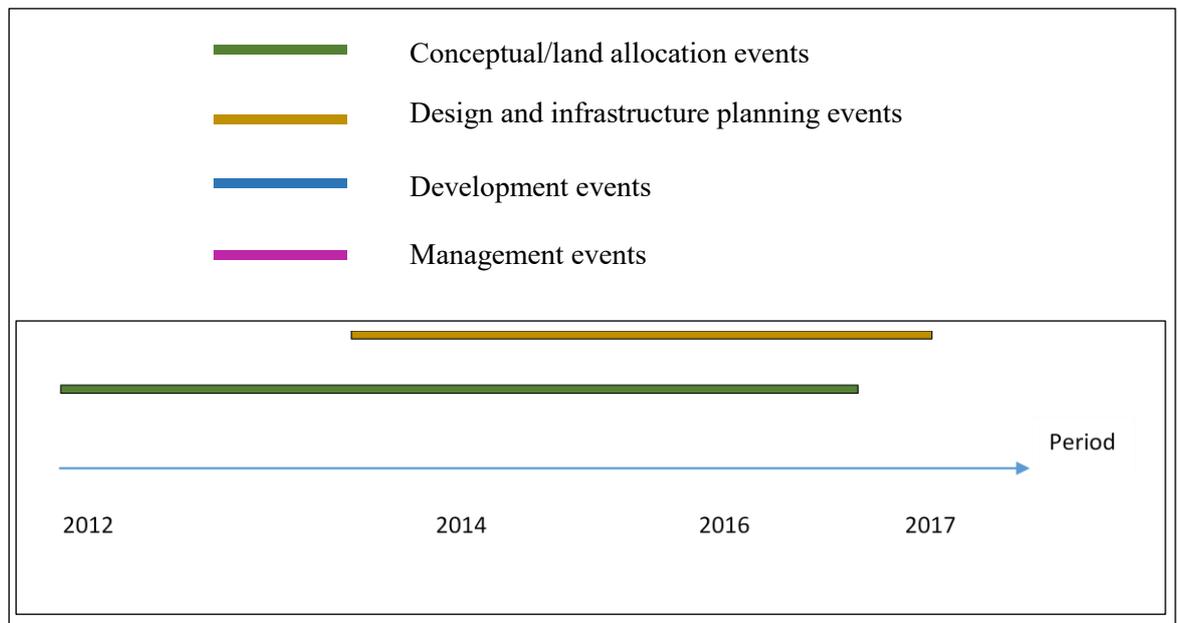


Figure 8-2 Housing delivery stages for LSUE

Source: Fieldwork, 2015

In order to understand the analysis, it should be noted that in practice, the housing delivery events are not linear but iterative: events taking place in parallel periods (see *Figure 8-1 and 8-2*). Therefore, each thematic event may include evidence taken in different periods of the development. It is reiterated that the analysis here follows two propositions of the study; firstly, LPAs are not value-free mediators of consensus building but also carry their own frames of reference within their actions (Healey, 2006; Davidoff, 1965); secondly, “power” is unavoidable and not always negative, if mobilised as a modality of change (Yiftachel, 1998; Flyvbjerg, 1996; Foucault, 1990). By employing the IA to analyse the housing delivery process - anchoring the housing delivery processes with agency values and communication, power relations and institutions or structures (organisations, industry/planning practices and approaches etc.) also address the research gaps identified in Chapters 2 and 3:

- Understanding the concept of ‘SHA’ from a relational view of the world;
- Explicit analysis of the effects of emotive knowledge inputs on achieving a particular planning concept such as ‘SHA’ outcomes, in the context of a new housing development.

8.2 The Conceptual Stage

The conceptual stage is the start of the housing delivery process. It involves land release for development through the new local plans or plan reviews and the respective allocation of housing numbers. Accordingly, at this stage, the key decision in terms of achieving a concept such as SHA outcomes is to select the right sustainable location for housing (Mulliner, Smallbone and Maliene, 2013; URBED, 2008; Barker, 2004; Newman and

Director, 2002). In this respect, the focus of this section is to analyse the consensus building process determining the “right location” for development. As already discussed, both DHNS and LSUE replicate developer-led developments for sites released from green belt areas. Therefore, the key actors engaged in the conceptual stage are the market actors and the respective LPAs (Chapter 5, Sec 5.4.2). On that basis, the analysis of the consensus building process entails investigation of the agency frame of reference, power relations among them, the institutional design for CPA to draw emotive knowledge and the mode in which the consensus building process was finally governed.

8.2.1 Frames of reference of agency

Market actors: A scale of development similar to DHNS/LSUE, the market actors at the commencement of the project are referred to as the developer consortium – the partnership arrangement between the developers, strategic promoters and landowners. In the subsequent land release of individual plots, they act as individual developers or strategic promoters. The market actors being motivated by wealth maximisation, their general self-interest at this stage is to ensure the economic efficiency of the land supply. To achieve this, the market actors hold assumptions about households’ housing choices in the locality:

“There is good primary school in Dickens Heath, very sustainable centre with services in the village, employment opportunities within a short commute, availability of train station etc.” [Respondent#13.HouBld.DHNS].

“Dickens Heath is a target for the development of Blyth Valley Park, upcoming HS2 in Solihull etc.” [Respondent#15.HouBld.DHNS].

“Younger people happy to live in flats in more urban areas. When they have children they tend to live in a detached house with a garden, away from cities. There is no difference, back in Victorian times, working class live in the city and people who were philanthropic – the wealth creators – moved out to the countryside; cleaner environment”[Respondent#17.SP.LSUE].

These are normative or interpretative schemes – modes of typifications incorporated within the actors’ stock of knowledge, by monitoring how other actors (households) conduct their agency actions and are applied reflexively in the sustaining of communication (Giddens, 1984: 29). *“There is no difference, back in Victorian times”* reflects, the market actors’ perception that these interpretative schemes remain as a valid criterion for selecting locations regardless of the change over time. They become the modality to signify a structuration (Giddens, 1984) of the affordability and sustainability of housing. Places such as DHNS and LSUE are structured as “good markets” (Clapham, 2010) and “sustainable locations” to attract members of the urban middle class looking out for serviced locations for family living and homeownership.

“In DH, we knew that there will always be a market in Dickens Heath for family housing, pretty much regardless of whatever we plotted on that site” [Respondent#13.HouBld.DHNS].

As a result, the market actors commit themselves financially to these locations by optioning or purchasing the sites (**Figure 8-3, Chapter 5, and Table 5-3**). From this, they aim to get ahead of market curves by ensuring early entry to the market and gaining the ability to sit on land prices. For market actors, the winning situation at this stage would be, *“the sooner the better the planning applications for those sites become approved for development”* [Respondent#11.SP.DHNS.LSUE].

“We [national level planning view] want to make the system simple to drive up numbers and speed up the process, to meet our housing targets. We don’t want any free flow development at any cost, we want sustainable high-quality development in the right location. But, we want to streamline the planning system further to make it less bureaucratic to increase land for housing supply” [Respondent#37.HeadOfPlng.DCLG.Gen].

As it implies, the approach at the national level to the housing problem in England (shortage, affordability etc.) is to increase the supply in quality serviced locations with an emphasis on “build more”. In NPPF, 2012, the justification for local planning intervention is to achieve efficiency of land allocations by making planning an enabler to increase the housing supply (DCLG, 2012). Henceforth, the planning policy has been encouraging LPAs to be involved in market-led developments [Respondent#03.ProLeader.Plnr.LSUE] – developers to select *market viable* sites for housing developments whilst the planning policy intervenes to verify its *sustainability*.

On this basis, despite market actors and the LPAs highlighting a difference in declared self-interests, with the influence of national policy planning, both agencies share a common aim of increasing the market supply for housing. Thus, as reflected in Chapter 7, the local residents, their horizontal network agents (e.g. CPRE) and the respective collated local councillors who sit on LPA planning committees are the actors that holding opposing views to new development (Barker, 2004; Ratcliffe, Stubbs, and Shepherd 2004), lobbying objections in the light of social and environmental impacts to the existing local housing locations (Appendix IX).

8.2.2 Power relations of actors and planning networks

Theoretically, the power relations among market actors, LPAs and the local communities in the planning process that decide on “right location and respective housing numbers”, manifest what Lukes’ (1975) study identified as the second phase of power – setting the agenda that leads to decisions. The market actors have the *power to* allocate resources – the economic institution to invest in the development, in which they exercise power (Giddens, 1984: 15). Contrary to this, the LPAs have the *power to* access authoritative resources as the legal and political institutions who ultimately make planning decisions. In other words, the *power to* adopt Local Development Plans (LDPs) that give them the authority to decide on subsequent planning applications to release land for development. In the meantime, under representative democracy, the local councillors (in LPAs) are the elected members to articulate the interest of the local communities and to oversee the work of the officials (in LPAs), whilst the tasks of councillors are guided by the administrators and expert planning officers (see Healey, 2006). However, the planning practice differs from that of theory. As analysed below, market actors’ *power to* resources holds *power over* local communities’ *power to* representative democracy. That influences LPAs to mobilise *power to* authoritative resources bias towards the values of market actors (Purcell, 2009; Tewdwr-Jones and Allmendinger, 1998) and approve planning applications to release land for housing development.

8.2.2.1 Power relations of agency – structuration of fuzzy agency boundaries

The market actors' ability to mobilise allocative (financial) resources, provides the *power to* employ best advocacy planners (private planning consultants employed in-house or outsourced) to make representations in CPA arenas such as public consultations, public inquiries or planning appeals. It was observed that in developments of the scale of DHNS/LSUE, all formal CPAs, for example, producing the examination hearing statements, conducting the public consultation exercises with local communities (at the pre-application stages) and so on, had been conducted and produced by these employed planning consultants (also, see Chapter 7, **Figure 7-7**). Market actors use professional planners as their agents to make strong arguments for planning policies in favour of them, especially since planning application approval is the entry point to profit-making on investments in land (Barker, 2004; Innes, 2004; Adams and Tiesdell, 2012; Healey, 2006).

Such a strategy for power has created boundaries between LPAs and market actors fuzzy; blurring boundaries sufficiently enabling market actors hold *power over* the authoritative power of state agencies such as LPAs. Many of these professional planning consultants work for market actors have been public planners previously employed at those respective LPAs or other related state agencies and quangos (**Figure 8-4**). Market actors, by employing them via their *power to* allocate resources, not only bring in professional planning knowledge and expertise to make arguments in CPA, but also make use of the mutual relations they hold with the former institutions (LPAs or the state agencies). **Figure 8-4** below highlights examples of blurred boundaries within the LSUE developer consortium. Therefore, in both DHNS and LSUE, these power relations have been

encouraging local growth coalitions – the market actors to supply land that the LPAs need to meet its housing and local growth targets.

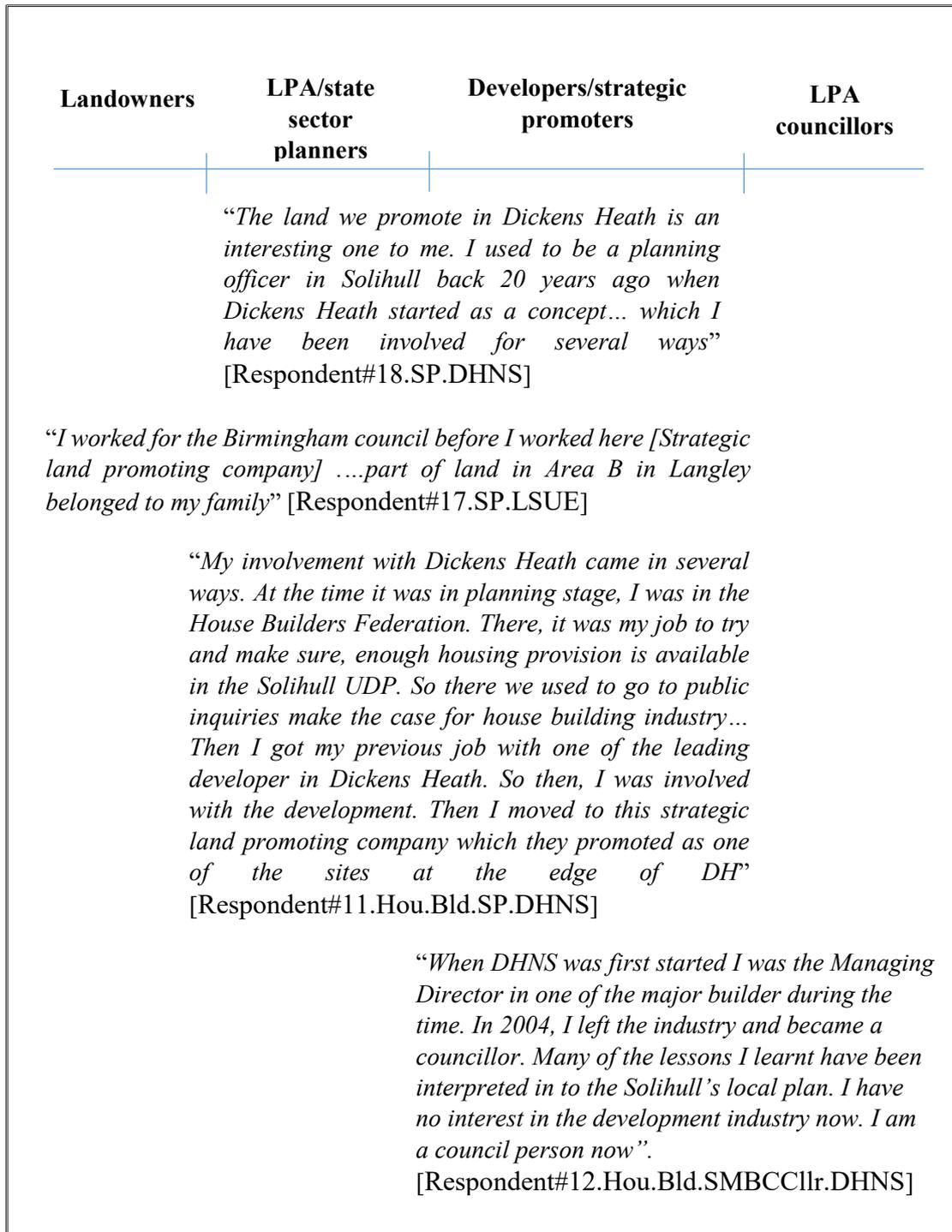


Figure 8-4 Fuzzy agency boundary between market actors and the LPA

Source: Author

8.2.2.2. Power relations of policy implementation networks

The other dimension to power relations is the way that national and local level planning interacts with the actors' frames of references. The evidence from later stages of DHNS (phase II/III) clearly reflects that the economic planning frames of the national planning policies (Sec 8.2.1) have limited the local level planning *power to* authority in land allocation decision-making. Having to make the local level planning an enabler of market signals, the national planning policies are more fluid than the former LDPs. Instead of plans being reviewed every five years, the NPPF require LDPs to be flexible and up to date at any given time with respect to demonstrating a five-year supply of land for housing and the Objectively Assessed Housing Needs (OAN) and also to consider Duty to Cooperate with other LPAs in meeting housing demand (DCLG, 2012). As evident from the case of DHNS, such policies that aim the flexibility of LDPs, on the other hand, have kept them not being adapted for prolonging the periods, in some respect – SMBC waiting for BCC to finalise and export the housing numbers to finalise the SDP likewise [Respondent#10.SMBCC1lr.DHNS]. Meanwhile, in the light of such policies of NPPF (DCLG, 2012), planning decisions taken based on local plans (e.g. rejection of planning applications) have been challenged by market actors' hired planning professionals:

*“Because of Solihull’s lack of five-year land supply, we saw the **opportunity** to promote this site earlier before its phased period in the DH master plan. In the first time around, we had a refusal. Then we submitted an appeal and we ended up getting it through”* [Respondent#13.HouBld.DHNS].

As highlighted in Chapter 5, **Table 5-3**, all planning applications in DHNS after 2014 brought forward through the planning appeal processes challenged the former LPA's decisions on rejecting proposals for development. An SMBC councillor who supported

the residents on opposing development, reflecting on the LPA's limited power on planning applications, stated:

“Now the local plans have collapsed... it's a free for all!! Developers have challenged us with the housing numbers and the five-year land supply, now our local plan is a right mess. It is sort of, the government tell you to build for people and the local councils have to make the land available for housing. That underestimated the local plans and now the developers are all coming together like predators” [Respondent#09.SMBCClr.DHNS].

By the reflexive monitoring of this structuration of planning application outcomes, the LPAs perceive the way to retain the *power to authority* for planning is to respond to these market signals positively:

“Now we can't keep on saying No!!! We have to be positive. Otherwise, all the decisions on developments will be made by the planning inspector... in this appeal process... and the council will have no control” [Respondent#10.SMBCClr.DHNS].

These tensions between local and national planning policy frames have benefited the market actors at this stage to exert a greater power and agency over other actors.

8.2.3 Institutional design for inclusionary argument

Compared to all other stages, the conceptual stage has the highest concentration of CPA arenas (opportunities) that the residents engaged with (see Chapter 7, *Table 7-1* for example). Similarly, as discussed in that chapter, residents show the highest level of enthusiasm when participating in this stage, due to their strong self-interest or desire to stop development and/or to minimise the negative impacts from new housing development. Accordingly, in view of the above frames for meanings and power relations of actors and policy networks, this section focuses on to what extent the institutional

design for CPA (*speech situation*) (see Habermas, 1984) has been inclusionary to redeem the local knowledge inputs (Healey, 2006) for the consensus building process. The institutional design for CPA at the conceptual stage being weighted towards the values of rational policy planning tend to exclude certain stock of emotive knowledge. Communicative arenas are set solely to fulfil the guidelines of the policy framework and communicative culture promotes the formal language.

It is the planning policy that sets out the arenas in which the communities require to participate (See, Chapter 2, *Table 2-5*). The Community Involvement Statements for LDPs (e.g BDP 2031) do not consider any form of engagement valid to be inclusive in plan decision making that is outside of those. This structure supports *instrumental rationality* (Albrechts, 2003) that maintains the accountability and transparency of the process but has the (strategic) ability to exclude the critiques from the community (Flyvbjerg, 1998) that generated about the new housing developments particularly.

The observation of public engagement exercises highlights, it has developed a communicative culture that even within these statutory CPA arenas; what are drawn as knowledge inputs are the public comments written in formal (legal and administrative) languages. The verbal, narrative or gestural (emotive) styles of communication in which the residents would informally speak at the consultations would not be considered as valid knowledge inputs that the LPAs should respond to. In these ways, the planning process also minimises the need to respond to troublesome stakeholders such as local residents who oppose releasing of sites for new developments. This explains, for efficiency reasons, why both developers and residents tend to employ professional planning consultants and volunteer residents who have planning knowledge respectively to ground their claims in CPA into policy arguments.

Stem from rational policy values the community engagement exercises at this stage further exclude a stock of emotive knowledge by holding them on a piecemeal basis. i.e the basis of setting the CPA arenas are the preparation levels of the planning policy documents: call for public consultation on issues and options, consultation on proposed modifications (by the inspector) and revised sustainability appraisal to BDP likewise (see, Chapter 7, **Table 7-1**). Public comments were drawn and validated strictly limiting them to the particular draft planning document. Nevertheless, the researcher's observation of residents participating in these consultation events (in their individual capacities) showed their visits intended communicating holistic ideas, viewpoints and issues about the project (see, Chapter 7, Sec 7.4.3). When residents speak out for the particular draft document, the responses of the respective LPA officers on their liaison with the public were:

“We really cannot comment about those... that is to do with the traffic plan... This is only about consultation on proposed modifications (by the inspector) on a revised sustainability appraisal document.”

“Sorry! We haven't concluded the master plan yet for consultation... so those things can be discussed once we call for a consultation on the master plan.”

[Researcher's observation at public consultation exercise for LSUE.12/10/2015]

The effect of excluding speeches by the LPA officials has curtailed the small gains (*intermediary outcomes*; Ansell and Gash, 2008) of CPA, such as mutual understanding, residents having the feeling that they have ownership of the problem, trust building and their further commitment to the CPA process. Consequently, a stock of emotive knowledge has been dismissed that otherwise would have become an input in the planning process. The policy whilst the enabler (See Chapter 7, Sec 7.2.1.1), it also imposes limitations to the inclusionary argument in the planning process, highlighting the tensions

between different modes of governance of CPA (Carpenter and Brownill, 2008; Brownill and Carpenter, 2007). In this case, the tensions between criteria driven (policy basis) and the inclusionary argument drove governance.

8.2.4 Conduct of consensus building for the right location

Having established an understanding of the agency frames of references, power relation and institutional design, this section aims to explain how those finally govern the consensus building for the “right location” to deliver an (SHA) housing outcome.

As indicated previously, both DHNS and LSUE were housing developments led by developers in conjunction with the LPAs [Respondent#02Plnr.DHNS, Respondent#03.ProLeader.Plnr.LSUE]. This implies that the process commences as a form of consensus building: horizontal network building among market actors (developers, strategic promoters and landowners) to assemble land for development and secondly the vertical network building with the LPAs to supply those lands to deliver their anticipated housing numbers. This level of activity by LPA and market actors that structure the governance for consensus building in the form of spatial or growth alliances of markets is closely related to what Healey (2006) recognised as a *corporatism* form of consensus – the interests and requirements of future residents regarding timing of housing delivery in particular locations are to be defined by the need and demand discourses of markets.

The next level to investigate is, in the face of this initial corporatism form of consensus, how far the local knowledge inputs mattered in the final decision-making on the right location. For that purpose, the analysis observed a difference in approach to consensus

building, from the DHNS phase I (pre-2010 planning reforms in 1997) to later DHNS phase II, III and LSUE (during post-2010 planning reforms).

At the commencement of DHNS (in the 1990s), the final level of consensus building on the “right location” had been largely driven by the interests of local political resident groups. It had been a result of negotiations between the different spatial or growth alliances formed by market actors with the LPAs and the different local community coalitions. The following quotations by early DHNS planners clearly provide evidence of this:

“Due to the resistance of residents and council members over ongoing development impacts, we couldn’t allocate more housing numbers to Cranmore Widney. The councillors and residents said, ‘never again’. So we had to look for new locations of which Dickens Heath happens to be one” [Respondent#02Plnr.DHNS].

“In the meantime, a group of developers who had optioned lands in Cranmore Widney tried to suggest Dickens Heath wasn’t the right place” [Respondent#02Plnr.DHNS].

“Old Dickens Heath was a hamlet and not many people were there to object” [Respondent#25.MasPlnr.DHNS].

Whilst the spatial or growth alliances of market actors existed in both the Cranmore Widney area and Dickens Heath, the key influential factor in determining DHNS as the “right location” was the “local opposition in Cranmore Widney”. The local opposition in the Cranmore Widney area outnumbered the local opposition of Old DH, which was a small hamlet of around 200 households. This form of governance structuration in consensus building is closely associated with the *pluralist democracy* form – decision-making through politics of competent claims grounded in what legal precedent determines to be legitimate (Healey, 2006: 222). However, this model of consensus

building also embody the traits of *Clientelism form*, because, what made councillors to agree with Cranmore Widney residents over DHNS was the former having relatively larger vote base than the latter.

The contemporary consensus building on “right location” (in post-2010 reforms), clearly showed that “the local public oppositions (frames of references) on new development” had been clearly overridden by the national policy frames of references that aims for achieving efficiency in land supply to meet the housing targets and growth of local economies. As mentioned previously, in the case of LPA rejected DHNS phase II/III, the planning applications (sites 04, 05, & 06 in Chapter 5, **Table 5-3**) on the ground that those were safeguarded sites of the DHNS master plan to be developed in the years 2023–2028 were overturned at the planning appeal process initiated by the developers in the light of NPPF (DCLG, 2012). Similarly, LSUE was approved in 2016 as a policy of the Birmingham Development Plan (BDP) 2031 having no significant change to the initial draft plan, despite the strong local opposition raised by the residents in the Walmley area (see Chapter 7). Induced by the national policy planning, it shows a tension between top-down representative democracy at the local level planning by LPAs and the inclusionary argumentative mode of governance expected by the communicative planning (Carpenter and Brownill, 2008). The local public claims – objecting to the new developments based on the local social–environmental grounds – were considered to be NIMBYism style politics (Healey, 2006; Wolsink, 1994). For LSUE, despite large volumes of public comments (Chapter 7, Sec 7.2.3), the Community Involvement Statement for BDP (2031) states: “*The Council does not accept the majority of these comments and considers that this proposal is soundly based*”. At the planning appeal process, the argument raised against the former LPA decision for rejecting the planning applications that pre matures

DHNS phase II and III site was: “*if this is not a sustainable location due to being safeguarded green belt sites and development impacts, where would the alternative locations be, to meet the five year land supply for housing targets*” [Respondent#08.ParishCllr.DHNS] in which case the LPA was unable to demonstrate a five-year land supply. Therefore, the consensus building on the “right location” in the 2010 post-reform period, clearly have structured into the *criteria-based governance* form – a good decision is to achieve a stated government objective (Healey, 2006, 1998). Since the criteria of the national governments have been aligned with the values of economic planning that support markets, such governance of consensus building has clearly strengthened the *corporatism form* of consensus built up initially between LPAs and the market actors.

8.3 Designing and Infrastructure Planning Stage

Designing and infrastructure is the next event in the housing development process (*Figure 8-1* and *Figure 8-2*). Corresponding to the discussion already on ‘SHA’ housing outcomes framing of residence (Chapter 6, Sec 6.2.3) this stage (event) delivers the dwelling and regional elements of housing (e.g. housing type, layout design, size, tenure, neighbourhood design, connectivity to the services etc.). This is a problem-solving and developer-commitment stage (Adam and Tiesdell, 2012), that involves strategy making to find the best fit nexus of those dwelling and regional elements within a given site allocation. Within that, consideration should also be given to the future contingencies (effects of time-space) such as changes to housing aspirations of households. Therefore, from the consensus building process point of view, this stage includes two key decisions:

(i) decisions about the master plan (physical layouts and site-specific infrastructure at the initial planning stage) and detailed plans for the individual plots and (ii) decisions on planning gain agreements (S106 or CIL agreements³¹ to finance the infrastructure and social housing). Thus this event decides what is to be produced on the site. The key actors engage during this stage are the LPAs in collaboration with the master planners and the market actors (developer consortium or individual developer at the later stage of development). In a development scale such as DHNS and LSUE, it is a common planning practice in the UK to commission a master planner -an outsourced professional consultant (Bell, 2005; Sparks, 2000) to advocate and work collaboratively with the LPAs on master plans. Based on this setting the institutionalist analysis of consensus building for master plan designs and planning gain agreements would follow the same logical sequence: frames of references of the key agency, their power relations, institutional design for communicative planning and how the decision-making process was ultimately governed.

8.3.1 Frames of reference of agency

LPA and the master planners: With the broader aims of fostering the region's economic and social development by the increase of the local tax base and workforce of the regions (Respondent#24.Cllr.DHNS; SDP, 2013, BDP, 2031), the LPAs motivation for new residential locations such as DHNS and LUSE is to attract executive middle-class families (Chapter 5, Sec 5.3). Therefore in terms of deciding, "*What to produce in the selected location?*" (i.e. master planning) whilst various studies of technical analysis such as

³¹ In the case of both DHNS and LSUE, S106 was the method employed to determine the development finance on infrastructure.

Strategic Housing Market Assessments provide the evidence base, the LPAs also needed to promote these places as “high-quality” designer residential locations:

“DHNS was a 21st century serviced village that aimed to provide good quality family accommodation in a good quality rural environmental setting” [Respondent#01.Plnr.DHNS].

“For Langley, we are talking about the exemplary high-quality sustainable scheme with high design codes... We also plan for sustainable urban drainage... high-quality metro sort of scheme for public transportation connection to those areas... We are trying to achieve all new digital standards; broad bands, fibre optic... genuine sort of 40% affordable housing” [Respondent#03.ProLeader.Plnr.LSUE].

Employing master planners to achieve these aspirations (**Table 8-1**) highlights the LPAs taking the physical development planning approaches to design the settlement. In other words, as master planners are often urban design architectural consultants they bring in utopian views and architectural elements in designing and infrastructure planning (Adams and Watkins, 2014; Healey and Barrett, 1985) that enable place branding, beautification (Bell, 2005) and designer locations (Boddy, 2007). Therefore, as revealed in **Table 8-1**, master planners frame the affordability and sustainability of housing delivery with their view of physical determinism – the belief that human (residents) behaviour can be determined and influenced by the nature of the physical geographic environments (Lang, 1987: 205). For example, as illustrated in **Table 8-1**, designing the DHNS centre within a five-minute walking distance from all cul-de-sacs would create walkable and less car-dominant communities; DHNS has definite edges such as the canal and woodlands that would curb sprawl; high-quality design of houses and local vernacular will create rural family living, and so on. By branding places as “high-quality design” family houses, often the LPAs and master planners position places such as DHNS or LSUE as buoyant housing

markets. They demonstrate such places can attract like-minded professional households thus has fewer problems in terms of financial viability for development. This is to demand market actors to agree on the housing delivery accordingly.

Market actors: Having the primary motivation of wealth maximisation, market actors' frames of references on *what to produce* i.e. housing type, tenure, layout designs, plot coverage etc. follow a similar act of typifications to that of framing the "right location". In other words, interpretative schemes (Giddens, 1984: 29) that make normative assumptions about households' actions on housing choice. To exemplify this, **Table 8-1** provides further details: "*People do not want to rent, they prefer home ownership*" [Respondent#18.SP.DHNS], "*residents pay more for flatter boxes located in less densified areas than three-storey townhouses*" [Respondent#15.HouBld.DHNS], "*social housing reduces private housing prices*", "*residents still want traditional conventional housing... The only change they require would be a stylish interior*" [Respondent#14.HouBld.DHNS], "*people are not ready to pay more for eco designs*" [Respondent#22.HouAss.DHNS]. Whilst these indicate that market actors' recognition of *what to produce* is framed towards "marketable products" or "what is easy to sell", it also structures a *space of positions* (Allen, 2008): how market actors have a set of geographical and cultural discourse or nexus on residential locale. These are different from that of LPAs and master planners:

"Housebuilders are not philanthropic. You might say I want things to look at to be the best quality... I want a gold tap, marble floors etc. But we will do the industry standards. Now, is that the best? Maybe not. But if we go beyond our standards, the majority of people would not be able to buy those" [Respondent#16.SP.LSUE].

Empirical studies on housing markets (Smith, Ferrari and Jenkins, 2011; Tiesdell and Adams, 2004; Hooper and Nicol, 1999; Barker, 2004; Barlow, 1999) have also endorsed similar *space of positions* of residential locale by the market actors, building the argument that the house building industry in Britain is often guided by a risk averse and conservative set of norms (or structure).

Similarly, in particular, consideration of what factors influence their frame of reference in agreeing to pay for planning obligations (S106), the evidence from both DHNS and LSUE highlighted that whilst financial viability matters, decisions also depend on the (legally binding) mutual agreements held between the developer consortium. As indicated above, the developer consortium itself is a level of consensus that has already been built among the market actors (landowners, strategic promoters and builders). Henceforth, such consensus covers agreements on the means to land acquisition (option route or immediate sites),³² land use and profit sharing between actors, and largely influences the way market actors would frame their flexibility to agree on the planning aspirations of LPAs and master planners (**Figure 8-5**). As the evidence shown in **Figure 8-5** indicates, the meanings for respective S106 agreements (for design and infrastructure) become contested between the *best practice* frames by physical development planning viewpoints of LPAs (public planners and master planners) and the *pragmatic* viewpoints by market actors with respect to land or financial allocations. Thus, whilst this corporatism form of consensus (i.e structure alliances) becomes an enabler for land supply efficiency (Sec

³² Having the ability to deduct the S106 planning obligations cost from the price paid to the land owners, the option route provides more certainty for house builders about the cost and the viability of housing production (Whitehead, 2003; Bramley, 1993b; Campbell et al., 2000). This, on the other hand, implies that the higher the price the developer had incurred (like in immediate site route), the less flexibility the developer would demonstrate in S106 negotiations by confronting their viability reasons (Farthing and Ashley, 2002).

8.2.3.2), that also imposes limitations for market actors being flexible in agreeing the LPAs’ frame of reference with respect to designing and production of residential spaces.

	Low	High
Flexibility to agree		<p><i>“We prefer option route because that ticks everybody’s boxes; local authority, local people, our future customers and the landowners. There is much more flexibility for us from a viability perspective than a competitive bidding situation in immediate sites where you may pay a hell of a price. However, that does not mean we can give away anything. Because the landowner might be very angry at the end of the day when we have to tell them what the price is”</i></p> <p>[Respondent#13.HouBld.DHNS]</p>
Means to land acquisition		
Land use and profit sharing in land amalgamation	<p><i>“The promotion route is becoming more popular... far more favourable for land owners... Here we sell the land in the open market after planning permission is granted. So we are trying to reduce the S106 as much as we can within reason. When it comes to optioned sites, the builder doesn’t mind whether there is 5 million pounds or 3 million pounds S106. Because they won’t be paying for it. The landowner pays for it. Minimising S106 means more value in the land. But, it is a balance, because we need planning permission.”</i></p> <p>[Respondent#18.SP.DHNS]</p>	<p><i>“You might have a piece of 50 acres; one got 20 and the other got 30 acres. From a planning point of view that 20 acres actually should be left as open space. But that doesn’t give very much value to the land owner. So the only way of doing that is both landowners come together and say I’ll have 2/5 of the value and you’ll have 3/5 of the value. But that requires agreement. Sometimes you can’t get an agreement.... So all those best practices we talk about wouldn’t happen.”</i></p> <p>[Respondent#17.SP.LSUE]</p> <p><i>“The consortium’s best place for the school is here because the land owner there is willing to take it. We don’t need somebody telling us the sustainable place for school is 150 m further down the road. That could be impossible to agree.”</i></p> <p>[Respondent#16.SP.LSUE]</p>

Figure 8-5 Analysis of market actors’ frames for design and infrastructure planning

Source: Fieldwork, 2015

Table 8-1 Key players' responses to design and infrastructure planning

Design Aspect	Developers/Housing Associations	Master Planners and LPAs
Tenure	<p>“People in Europe are happy for renting. However, in the UK, people like homeownership. They want the house to be an investment” [Respondent#12.Hou.Bld.SMBCClIr.DHNS].</p>	<p>DHNS “Homeownership in the lower- and medium-density areas and leasehold and peppercorn rent properties should be in the centre”... “Affordable housing should be 40% and private mix policy (SMBC, 2014a) should provide 30% of two-three-bed units within the overall housing mix” [Respondent#01.Plnr.DHNS].</p> <p>LSUE “Affordable housing should be 40%” [Respondent#03.ProLeader.Plnr.LSUE].</p>
Housing types	<p>“The PPG 3, densifying areas with three-storey townhouses with a garage downstairs... living accommodation on the middle floor and further bedroom accommodation on the top don't work. People don't buy that anymore. The third storey doesn't add value. But the more you spread it out (like bungalow) the more the price goes up. People got this perception to pay more for flatter boxes with a bigger garden” [Respondent#15.HouBld.DHNS].</p>	<p>DHNS/LSUE “Meeting the needs of a new form of household formations – high divorce rates, ageing etc.... Effective variation of the housing mix to meet various market niches. Aesthetically appealing designs and vernacular.... The primary focus is the provision of family housing” [Respondent#01.Plnr.DHNS & Respondent#03.ProLeader.Plnr.LSUE].</p>
Housing layout designs	<p>“The housing design today look the same as a hundred years ago. One of the things is people want en-suite bathrooms, to be stylish and nice finishes” [Respondent#14.HouBld.DHNS]. “A lot of the house types we got would generally have open plan living downstairs, kitchen and dining areas, which is what people telling us what they want” [Respondent#15.HouBld.DHNS].</p>	<p>DHNS “Providing good quality family accommodation in the good quality environment” [Respondent#02Plnr.DHNS].</p> <p>LSUE “We aim for high-quality design” [Respondent#03.ProLeader.Plnr.LSUE].</p>
Densities	<p>“We are telling the council, don't make us a force to make 40 dwellings per hectare, because you'll end up with something worse than Dickens Heath not better” [Respondent#16.SP.LSUE].</p>	<p>DHNS “The density to reflect natural progression of a small town – high-density centre, medium-density middle- and lower-density of the outskirts. Follow PPG3 policies – less parking spaces, average densities around 35dph-40dph”</p>

		[Respondent#01.Plnr.DHNS & Respondent#25.MasPlnr.DHNS]. LSUE “Average densities around 35dph-40dph” [Respondent#03.ProLeader.Plnr.LSUE].
Eco concepts in housing	“Living in these thematically sealed houses that depend on recycling air and water... All of those at this moment is far too silly to bother about it. Expensive because the maintenance is a nuisance” [Respondent#22.HouAss.DHNS]. “In my experience, running cost/energy cost would be at the lower level of the list, people think about moving in first” [Respondent#23.HouAss.DHNS].	LSUE “Aimed to implement sustainable code level 4” [Respondent#03.ProLeader.Plnr.LSUE].
Neighbourhood designs/ infrastructure	“A developer will find a way of making sure the cheaper housing is not in the front window because they have to encourage people to buy the houses. Whether you like it or not there are people in this world who don’t want a social housing tenant living next to them” [Respondent#11.Hou.Bld.SP.DHNS]. “For Multi-Unit Games Area (MUGA) included in the initial plan, we asked DHPC whether they would be happy to receive a financial contribution” [Respondent#15.HouBld.DHNS]. “Full-size cricket pitch in the village green would be too big....” [Respondent#11.Hou.Bld.SP.DHNS].	DHNS “Walkable 21 st -century village, reduce car travel, walk to the school, a small centre where people could buy what they need, two village pubs, cricket pitch in the middle of the development, public transportation system which connects with Solihull”...”Definite edges to curb sprawl”... “Designing narrow road layout to suit the village context – naturally bringing down the traffic speed to 20 mph and avoid the rat run in the centre” [Respondent#25.MasPlnr.DHNS]. LSUE “Best connectivity in terms of vehicles, walking, cycling, Sprint public transport that link Langley and the City...” “Building communities – creating neighbourhood centres – focal points for communities and concentration of development around the neighbourhood centres”. “Landscape-led design – maximise the amount of green space whilst still needing to accommodate those 6,000 houses. Consider constraints like existing woodland hedgerows or flood risk and get the green connection with valley country park... the green corridor running through the site” [Respondent#24.MasPlnr.LSUE].

Source: Author

8.3.2 Power relations of agency

Having reflected on the contested frames of references between LPAs and the market actors, this section aims to analyse the power relations of these actors in the consensus-building process at the designing and infrastructure planning stage. The power relations of actions are discussed in the light of their transformative capacity (Giddens, 1984), and analysis focuses on how LPAs exercised *power over* other actors (market players or residents). This is on the basis that whilst LPAs have their own values on design and infrastructure planning in residential environments, they are also the mediators of the consensus building process (Healey, 2006; Davidoff, 1965). The evidence from both DHNS and LSUE highlighted the LPA's *power over* other actors at this stage primarily depended on their *power in* three interwoven contexts: (i) national policy (ii) place (locality) and (iii) development scale.

National policy power

The policies are sanctions (rules) that give *power to* authority enabling an actor to harness activities from other human beings (Giddens, 1984). As planning law and the national policies are in the top hierarchy of the policy structure, their direction determines the empowerment of LPAs' and master planners' frames of reference for design and infrastructure planning. *Figure 8-6* illustrates the perceptions of planners and master planners of DHNS and LSUE on such empowerment: how the national laws and policies from time to time have been strengthening or weakening their planning aspirations for design and infrastructure. For instance, at the early stages of DHNS, the local planner's (LPA) had less empowerment to demand affordable housing within the developer's

design for housing mix as a result of the limited *power to* authority from the then national or regional policies; “*couldn’t dictate the developer to provide affordable housing..our hands were tight....that was Thatcher form*” [Respondent#01.Plnr.DHNS]. Nevertheless, the subsequent national policy changes, such as PPG3 in 2000 and 40% social housing policy implemented after 2015 have strengthened LPAs to steer and persuade developers to supply affordable housing. A statement by one of the developers at a later stage of DHNS (after 2014) affirms this well:

“As a part of this application, we had lengthy discussions with the LPA as to how stringent the affordable and private mix policy in the SDP is... it turned out there was no relaxation really. So we had to advise our guys to have at least 30% two beds for private sale and 40% affordable units” [Respondent#15.HouBld.DHNS].

When the direction of national policy frames being parallel to the aims of LPAs (in this case, encouraging mix communities) it provides an easy gateway for the LPAs to push developers and communities in a managerial form (Jones, 2014: Jones and Watkins, 2009) to agree with their (LPAs) values for housing mix design. Those help LPAs to retain their popularity among other actors despite having reciprocity of values to pursue. “*well that was the national policy, so we had to increase the density in the centre*” [Respondent#28,Plnr.DHNS]. It allows LPAs the *power to* authority to hold *power over* market actors’ arguments (e.g. financial viability etc.) against the LPAs proposed designs.

:

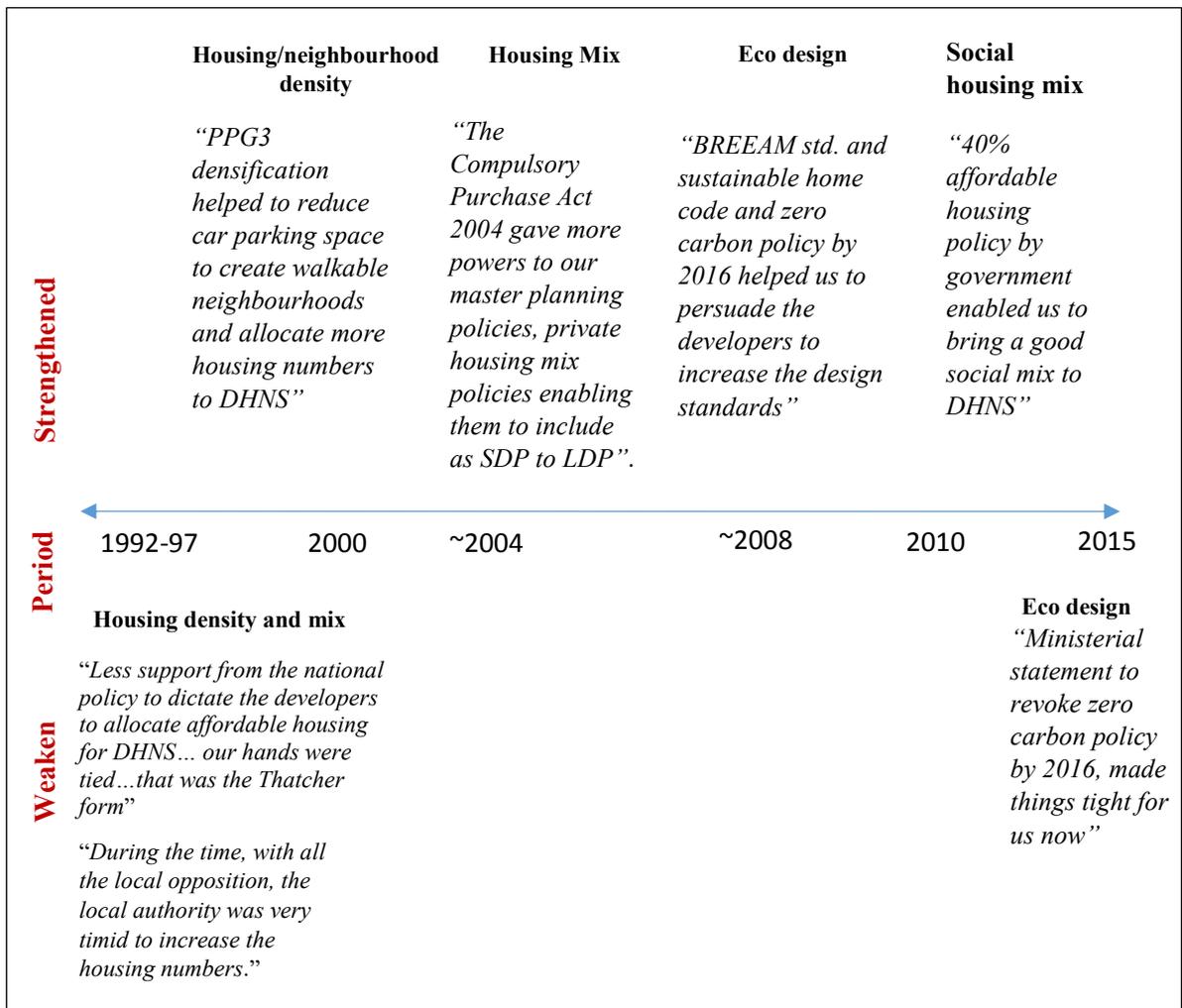


Figure 8-6 - Planners perception on *power to authority* on design and infrastructure planning

Source: Interview data with Respondent#23, 22, 45, 67

Place power

The LPAs’ *power over* other actors on design and infrastructure planning is also interwoven with the “place” power of residential development. i.e. the power of a “place” as a result of the social and political discourses. The actions of planners promoting DHNS or LSUE in several planning documents and promotional materials allow them to territorialise and brand these places as new styles of idealist residential locations: “DHNS

is a sustainable new semi-rural village for the 21st century in Solihull”, “exemplary best practices” “Langley, Sutton Coldfield the exemplary best practice”. In LPA’s role of promoting a place as desirable, a new form of power relations is created between LPAs and the market actors (Bray, 2008). The following quotations by SMBC councillor, BCC planner and a developer respectively provide evidence of such power relations:

“The developers know the Solihull style. They know the better they do it the better they sell it. Because it is in Solihull. That is why they come to places like Dickens Heath. Even with the S106 payments and 40% affordable housing restrictions we require, they can still sell over here and make profits” [Respondent#10.SMBCC11r.DHNS].

“House prices in Langley are more towards the higher end values in Birmingham. Just because Sutton Coldfield is that type of housing market we are most likely get the best quality housing and infrastructure” [Respondent#03.ProLeader.Plnr.LSUE].

“In Dickens Heath, there wasn’t a viability case to show in terms of S106. In our current site, we had to provide quite complex drainage solutions, agree on 40% affordable housing and two-bed private housing and several other obligations. But the revenues from the developments are high enough to offset that” [Respondent#13.HouBld.DHNS].

As highlighted by Respondent#13, without much resistance, the market actors agreed to provide higher S106 contributions, such as, 40% affordable housing on top of 30% private two-bed housing, complex drainage solutions, contribution to secondary education provisions, highway, health and open space and biodiversity: The fact that *DHNS is in Solihull* do not give them a concern about *viability issue*. The territorialising and branding actions are positioning places such as DHNS/LSUE within buoyant housing markets such as ‘Solihull’ and ‘Sutton Coldfield’. This provides ontological security to market actors that they can sell their houses at a higher price by drawing executive class

residents. This provides LPA and master planners to gain *power over* (transformative capacity; Giddens, 1984) market actors to agree with their values for S106 negotiations.

Scale Power

The scale of development in both DHNS and LSUE has been the other interwoven context that had empowered LPAs (Healey, 1988; Farthing and Ashley, 2002) to exercise *power over* market actors with respect to the design and planning infrastructure. Here the scale refers to the number of housing units planned in a development. In terms of design, a larger scale of development indicates, there will be a larger number of developers and competition among them to deliver competent designs. Several interview respondents such as planners, researchers and developers [Respondent# 23, 24, 35, 48] confirmed, the competition held among builders in DHNS to capture the market gave the LPAs the *power over* developers to make them agree to deliver a “quality design output”, over and above the general industry standards.

“In DHNS, with the all other developers surrounded by, we had to be very particular about design because that was one way we could keep up the price...” [Respondent#12.Hou.Bld.SMBCClIr.DHNS].

Moreover, it is the larger scale of DHNS and LSUE that conditioned LPAs to appoint master planners and other architectural consultants: *“In a scale like Langley, we would generally appoint a master planner to undertake the design aspects”* [Respondent#03.ProLeader.Plnr.LSUE]. Different design guidelines prepared by the master planners, such as master plans and codes for building design (which also become SPD to LDPS since the *Planning and Compulsory Purchase Act 2004*), empowered the LPAs by their position of authority to effectively negotiate with developers on design.

Secondly, the larger scale provides preconditions that allow DHNS or LSUE to gain higher economies of scale and the required threshold population to justify infrastructure investment (Barker, 2004; Farthing and Ashley, 2002; Campbell et al., 2000). Having the condition from the S106 policy that the developer contribution for infrastructure should directly relate to the development, such economies of scale and threshold population empower LPAs to compel the market actors to invest in a full range of infrastructure. For instance, in a scale of 1,672 housing units, the conditions imposed by S106 for DHNS phase I compelled market actors to invest in the construction of a school, library, nature reserve, village hall, village green and DHNS service centre and so on. Nonetheless, in a relatively smaller or piecemeal scale of development such as the later DHNS phase III, which consisted of approximately 200 housing units, the developers would only be required to pay a contribution towards a share of the costs of the existing infrastructure (see *Figure 8-7* for further evidence). Moreover, interwoven with the “place” power the larger scale empowers the LPAs to demand “high quality” of the infrastructure that the market actors would supply:

“Important infrastructure like schools... we will ask the developer to build the school. They would normally put in a decent amount of money, probably even more than what is statutorily required, because they want to capture the market” [Respondent#03.ProLeader.Plnr.LSUE].

The market actors desire to attract the executive class residents compel them to invest in “quality” of the infrastructure, whilst that tend to comply with the, *best practice* aspirations of LPAs and the master planners.

Economies of scale in a larger scale development

When you see the way local authorities devise new services most of the schools and some other infrastructure are developed by developers. So to do that you need economies of scale. Larger urban extensions like Langley can provide this...but if you split that to housing developments 100 units or so ...it is not going to happen. Each developer will pay their contribution and that is it.[Respondent#16.SP.LSUE]

Diseconomies of scale in a smaller scale development-

Eg: S106 contributions by the developer for DHNS Site – Phase III

Contributions to education = £246,000

Contribution to school provision = £82,000

Contribution for health = £6000

Highway improvement was = £94,000.

Contribution towards maintaining public space on site = £100,000

Public open spaces = £41,000

Bio diversity offsetting ~ £100,000

Contribution towards sustainable urban drainages - Figure not stated.

Figure 8-7 Evidences for economies of scale impact on consensus building process

Source: Fieldwork, 2015

8.3.3 Institutional design for inclusionary arguments

This section analyses, to what extent the institutional design of the CPA at the design and infrastructure planning stages of DHNS and LSUE has been inclusionary to yield the emotive knowledge inputs (Healey, 1998, 1997) for decision making.

Comparing the institutional design between the pre-2004 planning reform period (applicable to DHNS phase I) to the post-2004/2010 reform periods (applicable to DHNS phase II/III and LSUE), an increase is shown with respect to the CPA arenas in which local communities can engage (see **Table 8-2**). These include an increase in a public consultation held for local policy-making, the developer undertaking a pre-planning application stage consultation and the LPAs holding a public consultation on master plans.³³ The setting up of DHPC, appointing neighbourhood coordinator at ward levels by SMBC and Sutton Coldfield district committees by BCC (Chapter 7, **Figure 7-1**, **Figure 7-2**) also indicative of the knowledge inputs received during the aftermath development periods (Healey, 2006).

On the other hand, unlike the conceptual stage, the LPA and the master planners also demonstrate a more proactive attitude towards engaging with communities. For instance, the DHNS planners and the developer consortium supported the setting up of a DHNS working party (Chapter 7, **Figure 7-1**) to mobilise the engagement of the residents into the design and infrastructure planning process of the DHNS centre. Similarly, with respect to LSUE, BCC invited the Project Fields action group to engage in the master planning process (see the quotes by Respondent#13 in Chapter 7, Sec 7.3). Following successful land allocation, the LPAs and the market actors at the design and infrastructure planning stage wish to “*turn the local opposition into a local support to new development*” [Respondent#03.ProLeader.Plnr.LSUE]. Thus from the CPT point of view, this results in the good practice tenets of institutional design in terms of promoting dialogue, mutual understanding and the breaking of stereotypes (Innes, 2004; Healey

³³ Since the Planning and Compulsory Purchase Act 2004, master plans are supplementary planning documents (SPD) to Local Development Plans.

1997), sharing information, and trust building among all stakeholders (Portman, 2009; Habermas, 1984).

Nevertheless, the institutional design at this stage highlighted to be less effective as far as the timing of the emotive knowledge inputs coming into the decision making on master plans are concerned – the fundamental policy document that guides the design and infrastructure planning. This is particularly relevant after 2004 when the master plans became an SPD to LDP under the Planning and Compulsory Purchase Act. In the legal basis, the public consultation for master plans is to be held after the land allocation decision is finalised. However, in planning practice, the master planning process commences in parallel with the conceptual stage. For instance, despite the LSUE project approval being given in 2016, BCC commissioned the master planner in 2014 to commence the master planning activity (*Figure 8-1* and *Figure 8-2*). The reason for such a practice is:

“The house builders want to get on with the housing delivery as soon as the project is approved. So we have to make sure that we have all the policy documents... SDPs like master plans, that often take a longer time and higher cost to prepare... in place to guide the development [assess individual planning applications]. So we need to commence the master planning sooner rather than later”
[Respondent#03.ProLeader.Plnr.LSUE].

The consequence of such a practice is that the stakeholders who would be engaged in the master plan preparation process would only be the LPAs and the commissioned master planner. The market actors (developer consortium) communicate their end goals about master plans at a more informal level via the LPA. For the local communities, the draft master plan is a confidential document until it reaches the LPA’s public domain, which

generally occurs after the approval of land allocation decisions. This model of institutional design for CPA to a significant extent also applies at the public consultation for the pre-planning application stage conducted by the developers and the detailed planning application consultation conducted by the LPAs. The developers and the LPA make the initial consensus for the specific site layouts, cul-de-sac design, housing mix etc. Thus, the purpose of the local community engagement is to scrutinise the draft outcome later in the process “*what objections the local community might have*” [Respondent#06.Plnr.SMBC.DHNS]. Also, see the quotes by SocialMedia.LSUE.Posted24/06/2017, in Chapter 7, Sec 7.3. Echoed by Carpenter and Brownill (2008), these reflect the tensions between different rationalities of planning. In this case, the tension between instrumental rationality that encourages LPAs to be accountable of when the draft master plans are published as per the policy and on the other hand the effective time to encourage value and communicative rationality that recognise and accept the shared problems of communities. At the terrain of planning practice for design and infrastructure planning, the institutional design follows a combination of managerial advocacy (Ansell and Gash, 2008; Sager, 2005; Innes, 1995) and the communicative planning; the public agencies make decisions through closed decision processes, typically relying on expert agency (Futrell, 2003; Williams and Matheny, 1995) and the inclusionary arguments of local communities, brought in to refine the ideas subsequently.

8.3.4 Conduct of consensus building on master plans and planning gains

Having discussed the actor's frames of references for designing and infrastructure planning in the housing delivery process, their power relations and the institutional design for inclusionary argumentation, this section aims to analyse the way in which the consensus-building process was governed with respect to (i) decisions on master plans and/or detailed site plans and (ii) S106 agreements. It reflects the planning decision-making that shapes the dwellings and regional elements of housing outcomes (Chapter 6, Sec 6.4.2).

As implied in the above section, prior to master plans being put forward for the inclusionary arguments of residents, the LPA, master planners and the market actors, to a greater degree, have reached a consensus on design and infrastructure planning. It is common practice that the LPAs encourage the *“prospective planning applicants (market actors) to come and discuss their emerging development proposals prior to putting them forward for pre-application consultation and formal submission”* [Respondent#06.Plnr.SMBC.DHNS]. These informal alliances during the initial stage between LPAs, master planners and market actors demonstrate to a significant extent, the tenets of the same *corporatism* and *criteria-driven approach* to consensus building, in a similar vein to that of conceptual planning stage; i.e. subject to technical reasons and regulation, local growth coalitions define the interests of future residents' housing aspirations. At this level, the community values on their housing design and infrastructure planning outcomes are included in the decision-making process only via representative democracy (Carpenter and Brownill, 2008). i.e elected local councillors to represent community values at the LPA decision-making committees.

However, as implied in the above section and also shown in **Table 8-2**, in the event of final consensus building for design and infrastructure planning, the LPAs, master planners and market actors have shown to be responded to the local knowledge of residents. As illustrated in **Table 8-2**, in the light of SHA outcomes, these knowledge inputs drawn for consensus building were of varying validity. Based on the knowledge validity classification employed in Chapter 7, **Figure 7-18** (also Appendix IX), those knowledge inputs drawn include *predicted, normative and outcome* knowledge:

- *Predicted state* based on current local demographic trends at *State B¹, State B¹¹¹* of DHNS
- *Planned state* based on what housing aspirations they would anticipate the master plans to include at *State B², B²²²²* of DHNS
- *Current state (present outcome state)*: the feedback of past planning outcomes indicating the direction of the next level of improvement at *State B³³* of DHNS

This inclusion of emotive knowledge inputs for the consensus building process has been governed by a combination of *Inclusionary Argument* and *Clientelism* (Healey, 2006). A consensus building process that draws knowledge inputs from participatory discursive democracy in a practical way (Ibid: 237) can be recognised as an *Inclusionary Argument* form of governance. Examples include (i) the DH working party suggesting the service requirements of residence for the DHNS centre, (ii) DHPC suggesting DHNS phase III S106 agreements should include MUGA for the younger DHNS population and a housing mix which includes housing layouts and sizes suitable for the rising elder population, This form of consensus is a “*broadly-based effort of governance that is more responsive and collaborative with the worlds of economic and social life*” (Healey, 2006: 231–232). Such

knowledge inputs represent the diverse concerns of the DHNS community generated out of ideas and debates through participatory discursive democracy, i.e. via CPA of the Dickens Heath Working Party or DHPC. These are shared meanings or claims, widely discussed and assumed to be representative of all members of the DHNS political community. On the other hand, the exercise of *Clientelism* mode of governance in certain situations may draw emotive knowledge inputs that define problems narrowly. For example: (i) DHNS master plans including the requirements of the Old DH residents for maintaining the rural narrow road structure, (ii) DHNS phase II and III site layout plans to retain some oak trees, locate the drainage ponds and landscape character to the edge of the existing housing, and installing the main gas and electric line to benefit the bordering houses. In such consensus, politicians, officials or market actors may become patrons of bands of clients in return for a vote, or another favour (Healey, 2006). As shown in **Table 8-2** also, the above knowledge inputs are from a small political group of DHNS, more particularly the immediately adjoining residents who strongly object to a new development site, thus knowledge inputs have gone through less discursive legitimacy. The developers or LPAs come into agreement with the immediate adjoining residents by making a deal to offer something the residents need (e.g. gas and electric line) and in return minimise the local opposition for development. Such patronage relationships (Healey, 2006) provide *power to* market actors to manipulate the CPA of communities in their favour. Evidence by a local councillor and a developer affirm this:

“The Brag farm is going on with 53 houses. That is a planning application that I didn’t speak up against [object]. Because certain residents said don’t speak about that because developers had promised them to put up a main gas and electricity link. So we don’t want you to oppose it” [Respondent#09.SMBCC11r.DHNS].

Q) How do you deal with the current issues raised by the residents?

A) “What we are trying to do is contact all the bordering landowners and residents that are on our build route or transport route... We often find that the people who are worst objectors are the ones adjoining the development” [Respondent#13.HouBld.DHNS].

As this highlights, these interactions are more of conflict resolution than consensus building, (Margerum, 2011) or PR (personal relations) style and often focus on providing “intermediaries” small wins (Booher and Innes, 2002; Warner, 2006; Weech-Maldonado and Merrill, 2000, both cited in Ansell and Gash, 2008). This is to please the troublesome residents, rather than achieve the broader objectives such as delivering SHA outcomes.

Table 8-2 Local knowledge inputs at DHNS and LSUE design and infrastructure planning stages

Statutory CPA arenas for knowledge inputs from stakeholders	(Prior to 2004/2010 planning reforms) Knowledge inputs drawn for consensus building DHNS phase I	Statutory CPA arenas for knowledge inputs from stakeholders	(Post-2004/2010 planning reforms) Knowledge inputs drawn for consensus building	
			Phase II and III of DHNS individual applications	LSUE project
<i>(Before 1997)</i> DHNS master planning process	<p>Inputs from Old DH residents</p> <p>Normative knowledge valid to inform planned <i>State B</i>² DHNS should retain narrow road layout structure in the master plans, both as a landscape character and as a strategy to prevent DHNS turning into a rat run.</p> <p>Predicted state knowledge valid to inform predicted <i>State B</i>¹ How new development could be susceptible to future traffic, parking and congestion issues, with the connectivity of the locations</p>	<i>(Around 2014/2015)</i> Sutton Coldfield district committee (in the role of assessing the needs of the local constituency areas) forwarding the existing local views to the BCC	Not applicable	<p>Inputs by Warmely/Langley residents</p> <p>Normative knowledge valid to inform planned <i>State B</i>¹ Minimise visual impacts,</p> <p>Predicted state knowledge valid to inform predicted <i>State B</i> Increase the school places, concerns of traffic volume</p>
<i>(Before 1997)</i> Detailed planning application stage consultation held by LPA for outskirts of DHNS	No evidence to highlight any input	Public consultation for master plan as SPD for the LDP (as per <i>Planning and Compulsory Purchase Act 2004</i>)	Not applicable	LSUE master plan is due to reach that stage

<p><i>(After 2002)</i> Detailed planning application stage held by LPA for the centre of the DHNS</p>	<p>Inputs from DHNS working party</p> <p>Outcome state valid to inform outcome <i>State B</i>³³ How previously planned neighbourhood designs expecting people to walk and use fewer car trips have been a failure due to narrow and unsafe road designs</p>	<p><i>(2014-2016)</i> Pre-planning application stage consultation held by the developer (as per the <i>Localism Act 2011</i> (ss122))</p>	<p>Inputs by DHNS residents in their individual capacities</p> <p>Normative knowledge valid to inform planned <i>State B</i>²²²² Confirm the demands of neighbouring residents Retaining three or four oak trees, Drainage denudation ponds and landscape features to be located on the border of the existing communities in lieu of affordable housing Put up the main gas and electric link</p>	
	<p>Outcome state valid to inform outcome <i>State B</i>³³ Difficulties and disappointment with bare minimum actual services in the centre, doctors surgery, shops, dentists and issues facing residents</p>	<p><i>(2014-2016)</i> Detailed planning application stage held by LPA</p>	<p>Inputs by DHPC</p> <p>Predicted state valid to inform predicted <i>State B</i>¹¹¹ Making a financial contribution for MUGA as requested by the DHPC Housing mix to include downsized two-bed houses to conform to the request made by DHPC</p>	

Source: Fieldwork, 2015

8.4 Development Stage

The development stage involves the implementation or construction phase of the project (Adams and Tiesdell, 2012; Ratcliffe, Stubbs, and Shepherd, 2009; Miles et al., 1991), or in other words, the stage where the consensus reached during the previous stages is to be put into action. As shown in Chapter 5, *Table 5-4*, at this stage the key players in the housing delivery process are house builders and the LPA. Chapters 5, 6, and 7 have already provided insights about the status and timing of the actual housing and infrastructure delivery in DHNS (see, Chapter 5, *Table 5-3*, Sec 5.4.3, Chapter 6, Sec 6.4, Chapter 7, Sec 7.2, Sec 7.5.1). This section, therefore, aims to explain, how market actors (house builders in this stage) and the LPAs frame their roles when delivering planned housing outcomes? The analysis highlights, the way in which LPAs and market actors' structure their roles have led emerging of new roles (Brownill, 2009) for residents to be joint producers of the housing outcomes.

8.4.1 Frames of reference for the role of housebuilders

The frames for the housebuilders' role in the market delivery is looked, on the basis of their timing on delivering housing numbers and the planning gain contribution for infrastructure supply. In a housing development scale such as DHNS, significant time gaps existed (1995–2017) from the initial LDF land allocations to the project completion. For LSUE, the period anticipated for actual delivery is 17 years. *“Housebuilders as profit makers, build to markets based on their framed norms for the rate of delivery”* [Respondent#36.PresRITP.Gen] that are structured through their interpretative schemes on households' demands:

“At the moment the average sales of houses are about three sales a month. So if [the market is] suddenly flooded with four big sites in one go it is not going to work. House builders are not going to commit suicide saying that I am going to fill these fields tomorrow with another 10,000 houses knowing that there is a demand for only 2,000 houses” [Respondent#16.SP.LSUE].

Despite market actors being very keen on LDPs allocating the respective land for housing, the planning applications to deliver housing will not be forwarded until they become certain of the market demand. For instance, regardless of lands for the development being allocated in 1997, the planning application for the DHNS centre came forward in 2002. At the same time, whilst planning applications came forward for housing developments in the safeguarded sites (2023–2028) of the DHNS green belt to be developed in 2014, part of the development in the centre that had already received planning permission was on hold (2012–2015) until the market recovery increased demand for apartments (Chapter 5, **Table 5-3**). Furthermore, as a norm (industry practices), the developers’ actual housing delivery consumes the maximum allowed a three-year period of the planning permission (Ball, 2012; Adams, Leishman and Moore, 2009; Bramley and Leishman, 2005): *“we sort of do the sites in three-year cycles. So, 130 units in this site mean about 40 dwellings per year”* [Respondent#15.HouBld.DHNS].

As evident through interview responses, this structuration of built-out rates had been underpinned by two factors. Firstly, the developers aim to limit the local housing supply in the short run to maintain the housing market price elasticities at the desired level (Barker, 2004; DiPasquale, 1999). This was particularly relevant in a development of the scale of DHNS or LSUE where *“developers nearby will be selling very similar products and very similar prices... When the buyers come here and see For Sale, For Sale!!!!*

everywhere... then you might wonder and think negative. If you go to a site and find... 'sold them all' then it encourages you to buy"

[Respondent#12.Hou.Bld.SMBCClr.DHNS]. Secondly, this piecemeal housing supply enables the developer to increase the capital turnover on investment on a specific site:

"Doing the sites in three-year cycles, make it possible for capital turnovers. We generally don't like to sort of plough ahead and build the whole site. We look at Return on Capital Employed, of generally 20%." [Respondent#12.Hou.Bld.SMBCClr.DHNS].

This financial practice is more strongly influences the supply of apartment building. it had been the cause of the actual delay of delivery of DHNS centre apartments:

"The nature of apartment development is that you have to build them all. If you have 132 houses, you can build 30 and then sell them and finance them and so on. However, the flats, you have to build them all. Therefore, that is the challenge." [Respondent#14.HouBld.DHNS].

Similarly, this normative practice also drives the speed of the market actors' commitment to infrastructure (contributions for S106 planning obligations):

"In practice, the developers build houses and sell them. In a scheme like Dickens Heath, it could be the time of selling the hundredth house or so that we give the chunk of money to Solihull (LPA) to deliver the infrastructure needed" [Respondent#11.Hou.Bld.SP.DHNS].

The consequences of such practices for housing are that in large-scale developments such as DHNS and LSUE the amenities would not be delivered until it is economically viable with a critical mass or new homes completed – financing the S106 planning obligation through the turnover from the first chunk of housing sold on the market. For instance, in

DHNS, the primary amenities such as schools, libraries, shops, village hall and village green and so on were considered to be delivered after four to five years after the housing delivery.

This housing market actual build-out rate structuration “*supply after the demand is assured*” [Respondent#36.PresRITP.Gen] partially explains the reasons to generate the reciprocity of meanings between the developers and the households with respect to delivering housing outcomes. As a result of housing delivery being structured for longer delivery periods, the households who move-in at initial phases have to piggyback or share the existing infrastructure, which is different to what they anticipated as informed by the plans. Similarly, the master plans are susceptible to encounter uncertainties through changing policy impacts (e.g. PPG3 in 2000 changed the initial plans for the DHNS centre and attracted communities whose lifestyles were significantly different to that of initially settled) (see, Chapter 6, Sec 6.3). These altogether imply an emerging role (Brownill, 2009) for the residents in the production of residential space, particularly for the early households, to engage in CPA more strongly to articulate these challenges in a consensus building process that aims at achieving their shared criteria for ‘SHA’ outcomes.

8.4.2 Frame of reference for the role of Local Planning Authorities (LPA)

Once planning permission is granted the LPAs generally limit their role in overseeing actual delivery by enforcing regulations. For example, enforcing regulations on construction traffic etc. and the expiration period of the planning permission (usually three years). Thus as indicated above, within those regulatory frameworks, the market

actors are given a considerable level of autonomy to decide the speed of the housing delivery and timing of the S106 contribution for infrastructure. Moreover, with the limited budgetary and human resource constraints of LPAs, in a development of the scale of DHNS or LSUE, rather than LPAs making a prior investment in infrastructure, they wait for the private sector developers to both invest in and construct primary amenities such as schools, open spaces, libraries, community centres etc. (Sec 8.3.2). As a result, LPAs seem to have been complying with the aforementioned market structuration:

“The earlier phase [of LSUE] we would start down here in Southside, because that may integrate the new development with the existing service. You do not want the new bits to be isolated without infrastructure. We are thinking of putting a primary school after the 800 houses or so” [Respondent#03.ProLeader.Plnr.LSUE].

Furthermore, complaints are often raised by some opposition SMBC councillors with respect to S106 contributions gained for the planning application for DHNS centre development: *“they put S106 money in coffers... some money seems to have gone, don’t know what is happening...Council invests some S106 money in North Solihull”* [Respondent#09.SMBCC1lr.DHNS]. Such complaints seem to indicate that LPAs use ‘desirable’ and ‘branded’ locations such as DHNS or LSUE to raise subsidies to invest windfall investments off-site; areas with existing concentrations of social housing (such as North Solihull) rather than invest in mixed communities on site.

Thus, in a housing delivery schemes such as DHNS or LSUE, the LPA’s role is often limited to enforcing laws. In addition to the housing, the private sector developer is expected to develop real estate space for major amenities, for example, real estate space for shops, offices, public realms etc. At the same time, as evident from DHNS, except for certain infrastructure such as the primary school and the library, which comes under the

administrative purview of LPAs, the functionality of other infrastructure was not led by LPAs or officers from any public agencies (Bovaird, 2007). At the same time, for some later DHNS infrastructure such as MUGA (a controversial facility established in a rural residential environment), the market actors also limit their planning obligation to a financial contribution. The development responsibility was neither taken by market actors nor the LPAs. The responsibility of coming to a consensus about location and management of such facilities were also rested with the resident (organisations).

This structuration of actual housing and infrastructure supply by LPAs and market actors in places such as DHNS remain an arena in which residents may engage themselves to complete the task of actual housing delivery. In other words, it shows the connection between structuration of the actual housing delivery and the community participatory actions of the DHNS community, during the development and management stages of DHNS around 2003–2013 (see Chapter 7, Sec 7.4.2.2). Thus, households no longer become mere “demand creators” to passively receive a particular delivered housing outcome, but are also key actors in the process of housing outcome delivery.

8.5 Management Stage

The management stage refers to completion, formal opening and management events (Miles et al., 1991) or a stage that has disposal events (Cadman and Austin-Crowe, 1978: 3). At this stage, the developers have ended their role; thus the key stakeholders remaining are the LPA and the residents. In the light of delivering SHA outcomes, the management stage of residential places such as DHNS/LSUE may accordingly refer to generating shared meanings for maintaining the public realm to retain an existing achieved housing

outcome and dealing with unintended consequences (uncertainties) to a housing outcome as a result of subsequent outside processes. On this basis, the supply perspective analysis focuses on (i) the structuring of management ownership of the developed residential space such as DHNS to reflect how the LPAs at this stage defines their role and (ii) consensus building by the key stakeholders to deal with development aftermath unintended consequences to the planned housing outcome.

8.5.1 Ownership structuring and the stakeholders' role in the management

The main concern in investigating the ownership structure of the DHNS management is to highlight how that role is divided between the key actors (i.e. LPA and the residents). In DHNS, the structure to manage the public realm holds the form of a dual ownership. The centre of DHNS which is the critical area to manage (Chapter 5, *Figure 5-8*) – all apartments, shops and other public realms such as the DHNS village green, library, village hall, health clinics – had been held under the private freehold ownership given to a developer. As a result, the Dickens Heath Management Company (DHMC) – the management arm of the DHNS centre private developer – supply and oversee all the management functions such as road and kerb maintenance, pump maintenance, village green maintenance, lift contracts, cleaning, security, CCTV cameras etc., in the central area of DHNS. For that, all property leaseholders in this area – residents, shop owners and the LPA for leasing real estate spaces (library, car park etc.), pay a monthly service charge and a ground rent to the DHMC. The LPA manages the area that is beyond the

purview of DHMC. This area primarily includes low- to medium density housing which has relatively fewer management operations than the DHNS centre.

Similar to that of the development stage, in the management stage, the LPAs hold limited roles in managing the public realms of residential locations such as DHNS. Setting the management of the DHNS centre in the private ownership where the tenants pay a management fee signifies this limited engagement. In the parts of DHNS where the LPA holds the management responsibility, the residents are often encouraged to engage in their voluntary ownership of managing the areas.

“We encourage the residents to take charge of things. Some people will say we cut the grass because you didn’t cut it for years. Well, we would say you have done a fantastic job so we don’t need to cut it... and the maintenance of the islands for instance... We couldn’t sustain flower beds and plants... so then the parish council said, ‘what if we funded it?’. Then we said fine, you fund that now they are gradually getting rid of this concrete image of the Dickens Heath and getting the greenery... So the villagers are looking at the village, not the council”
[Respondent#07.NeigCor.DHNS].

This quotation explains some of the community participatory actions that have been taken by residents (Chapter 7, Sec 7.4.2.2 and Appendix IX) to take in charge of managing and beautification of DHNS such as setting up gardening and landscaping clubs, and so on. What all these accounts for are that in places such as DHNS, this form of ownership structuration with limited management responsibility by the LPA has clearly demanded a high civic or community role in terms of providing management services and bearing it’s costs.

8.5.2 Conduct of consensus building to tackle unintended consequences

The concern of this section is to investigate how the respective stakeholders deal with the aftermath uncertainties (unintended consequences) on housing outcomes. As highlighted in Chapter 6, the uncertainties or unintended consequences here refers to the unacknowledged conditions of housing outcomes in relation to the acknowledged (planned) conditions (Giddens, 1984). That chapter reflected (Sec 6.3.1) on how market-led residential deliveries such as DHNS/LSUE would often be highly prone to such uncertainties. Parallel to this, Chapter 7 analysed, in the nature of feedback loops, how residents shared their experiential knowledge about these unintended consequences through their CPA under certain power and institutional relations between LPA and the residents. Accordingly, this section focuses on how such emotive knowledge inputs were governed in the consensus-building process that aimed at managing the unintended consequences of planned housing outcomes of DHNS.

As highlighted in **Table 8-3**, certain emotive knowledge produced by residents which are valid to inform the *current, predicted, planned and outcome state* and the *processes that link a specific current state to future state of outcomes* have been considered for the consensus-building process that aimed at managing the (negative) unintended consequences in DHNS housing outcomes. At this stage, the basis of selecting certain knowledge aspects depends on how far they have aligned with a particular policy: Sec106 planning gain or other related policies such as the *Highway Act 1980* etc.

Q) How would SMBC take into account the everyday issues brought forward by the DHNS residents into the decision-making?

“It is really based on evidence to support the view and the requirement. It isn’t a case of having a referendum like... ‘yes’ or ‘no’... Those would be measured against the policy in the local plan or with other policies”
[Respondent#06.Plnr.SMBC.DHNS].

Thus the governance in consensus building during this stage is highly driven by the *criteria-driven approach*: following the government’s regulatory principles to evaluate knowledge for decision-making (Healey, 2006). It is the *deductive logic* – how answers can be derived by exploring existing policies and structure and reflects the rational policy planning approach to communicative planning (Healey, 2006).

Moreover, the above respondent further revealed that the other most important factor that influences the positive responses to the residents’ emotive knowledge was the availability of the LPA’s budget to allocate funding for a particular proposal. For example, with respect to residents’ demands for road works and the imposition of speed limits to minimise the danger of accidents in certain potential locations of DHNS, the SMBC planner responded:

“In DHNS we know there are concerns about vulnerable points that people are complaining about where the accidents could happen. That is something to which the local highway authority would give some consideration... if there were evidence that accidents have happened, it would give more weight to the issue... to prioritise the works... not that we are waiting for an accident to happen... but because we have a very limited budget... the work thus needs things to be prioritised!”
[Respondent#06.Plnr.SMBC.DHNS].

As evident from **Table 8-3**, among the emotive knowledge considered for consensus building, a significant proportion of them have been responded positively, because they

were financially backed by the S106 planning obligations of subsequent new planning applications coming to DHNS i.e it enables LPAs to overcome their budgetary constraints in financing particular strategies, existing residents to fulfil the need gaps in their locale and developers to strategically minimise the residents' objections to new housing within the same cost. In that respect, such consensus building falls into the *clientelism* mode of governance – aiming to maintain patronage relationships with potential troublesome residents. Similarly, from the housing outcome point of view, it demonstrates a paradoxical relationship between benefiting from S106 planning gains to achieving shared (SHA) housing outcome goals and the strain (negative unintended consequences) arise from new developments on existing housing outcomes. Whilst the new housing developments is a significant cause for negative unintended consequences to the existing housing outcomes as perceived by residents (making housing outcomes more prone to social–environmental changes etc.), under the limited budgetary conditions of LPAs, those are also the means to finance (e.g. Sec 106) the implementation of shared ideas of residents in managing an existing settlement.

Table 8-3 Knowledge inputs and governance of consensus building at the management stage

Periods	Knowledge outcomes of CPA of residents regarding unintended consequences in managing DHNS (from Appendix IX)	Governance of knowledge inputs for consensus building process				
		Type of knowledge input (as per Table 7-5 and Appendix IX)	Deductive logic from S106 planning obligation	Relevance for SHA (as per Figure 7-18)	Deductive logic from other policies/laws	Relevance for SHA (as per Figure 7-18)
2003–2013	<p><i>Traffic and Parking Issues</i></p> <p>Shared vision on general rules (for instance, traffic rules, placement of yellow lines, having traffic barriers in cul-de-sacs) that should be imposed within DHNS.</p> <p>Increase the service turns of the bus service.</p> <p>Demand for kissing gates or small bollards to minimise the traffic and parking impacts to cul-de-sacs.</p>	<p>Normative</p> <p>Normative</p> <p>Normative</p>	<p>S106 agreement on DHNS edge new developments pays for improving the DHNS bus service.</p> <p>No evidence that such claims have been taken into consideration for consensus building.</p>	<p>B²²² Planned State</p>	<p>Roads to mark with the double yellow line, implement parking ticket, Constructing traffic barriers to cul-de-sacs.</p> <p>No evidence that such claims have been taken into consideration for consensus building.</p>	<p>B²²² Planned State</p>
2003–2013	<p><i>Highway Issues</i></p> <p>How previously planned neighbourhood designs expecting people to walk and use</p>	<p>New current state/</p>	<p>No evidence that such claims have been taken into</p>		<p>No evidence that such claims have</p>	

	fewer car trips have been a failure due to narrow and unsafe road designs. DHNS should impose 20 mph speed limits.	Outcome state Normative	consideration for consensus building.		been taken into consideration for consensus building.	
2014–2016	<p><i>Issues related to the DHNS centre – undeveloped Garden Square II and management failures in the centre</i></p> <p>Understanding the impacts on everyday life (eyesores, living in a development site for a long time, dust, dirt, construction traffic, damaged roads) due to continuous housing development in DHNS.</p> <p>Understanding pros and cons of holding the DHNS centre under private ownership – lack control for LPA to retain some parts of the centre in public use. For example, public car park access was restricted by the developers by converting it into a private car park.</p> <p>Monitored drops in quality management of communal areas of apartment blocks and public areas in the DHNS centre and how actual outcomes of DHNS had been substantially deviating from its quality in character.</p> <p>Monitored tensions to retain some of the already delivered infrastructures like a library, shops/commercial areas in the centre.</p>	<p>New current state Outcome state</p> <p>Planning societal interaction</p> <p>New current state Outcome state</p> <p>New current state Outcome state</p>	<p>The new developer came forward in 2015 to construct a public car park in the DHNS centre as part of the S106 agreement for the Garden Square II. This is in lieu of providing six units of affordable housing for the development.</p> <p>No evidence that such claims have been taken into consideration for consensus building.</p> <p>No evidence that such claims have been taken into consideration for consensus building.</p>	<p>State B³³³</p> <p>Linking A¹¹ and B²²²</p>	<p>No evidence that such claims have been taken into consideration for consensus building.</p> <p>No evidence that such claims have been taken into</p>	-

					consideration for consensus building.	
2014–2016	<i>Youth population increase and anti-social behaviour</i> Trends in increasing youth population and need for youth facilities.	Predicted state	MUGA to be included as part of S106 agreement in DHNS phase III site.	State B ²²²²		-
2003–2013	<i>Coping with technological changes to the infrastructure</i> Trends in households' work patterns and technological changes and the need to establish broadband facilities.	Predicted state	No evidence that such claims have been taken into consideration for consensus building.		No evidence that such claims have been taken into consideration for consensus building.	
2003–2013 2014–2016	<i>The increase of crime level in the area</i> Trends in crime and need to establish CCTV/other security measures. Should increase PCSO (Police Community Support Officer) hours by police etc. Monitored increase in burglary and car crime.	Predicted state New current state/ Outcome state			Increase PCSO hours by police.	State B ¹¹
2003–2013	<i>Coping with social changes in the area</i> Tensions and impacts through different behavioural aspects of community clusters in DHNS.	Societal process	No evidence that such claims have been taken into consideration for consensus building.		No evidence that such claims have been taken into consideration for consensus building.	

<p>2003–2013</p>	<p><i>Floods and environmental changes to the area</i> Understanding how the changed environmental context, as a result of development, has increased the flood risk in the previous environmental context.</p> <p>Flooding issues and supply of amenities to the area, how culverts should be redesigned in the future development of DHNS and how planning authorities should monitor the flood works.</p>	<p>Societal process</p> <p>Planning process</p>	<p>Improvement works to increase the culvert discharge capacities conveying ordinary watercourse to Stratford-upon-Avon Canal</p>	<p>Linking A¹ and B³³</p> <p>Linking A¹ and B²²</p>	<p>Environmental Agency and SMBC to conduct detailed modelling for unmodelled watercourses and hydrological connectivity, to identify areas in which the development should not be permitted.</p> <p>Balancing ponds remained as the flood prevention strategy, even for new development sites.</p>	<p>State B¹¹¹</p> <p>State A¹¹¹</p>
<p>2014–2016</p>	<p>Future flood risk and ecosystem changes in DHNS with the existing and proposed developments. Residents’ assessment of risk in existing flood prevention mechanisms (e.g. balancing ponds) on safety on minors.</p>	<p>Predicted state</p> <p>New current state/ Outcome state</p>				

Source: Fieldwork, 2015

8.6 Conclusions

Following an Institutional Approach, this chapter provides a relational view of the housing delivery process in the development scales of DHNS or LSUE. In this process, market actors with their motives for wealth maximisation reflexively monitor the house buyers' actions and develop them into normative success criteria (*interpretative scheme*; Giddens, 1984) for housing markets. It is these (often normative) success criteria that *structures* (Giddens, 1984) market actor's frames of references for 'SHA' outcomes of housing delivery. Similarly, the values that the LPAs carry have been shaped through the approaches (*economic, physical development and a rational policy planning*) they take to plan different stages of housing delivery. This chapter, whilst identifying these various frames of references that the key stakeholders carry, provided insights into the application of residents' emotive knowledge in plan decision making at different stages of housing delivery. This showed the extent to which plan decision-making for housing delivery reflected a situation of consensus building that generated a shared understanding through all stakeholder values to generate SHA outcomes.

At the conceptual stage of the housing delivery (after 2010 planning reforms) the consensus building for "right" location were governed through criteria based approach that supports the *corporatism* form of governance. The planning reforms in England in 2010 embraced the economic planning perspectives and insisted LPAs to "*increase the land supply to build more*". On the other hand, the market actor's *power to* human and financial resources enabled them to exert a greater agency at the planning application stages. The market actors' actions for hiring planning professionals set fuzzy boundaries between them and the LPAs. Their close relations with LPAs conditioned the forming of local growth alliances between the parties. This led the plan decision making to be based

on the deductive logics of the national government policy that supported the demand discourses of markets. Under such conditions, despite large volumes of public engagement, the effectiveness of local residents' emotive knowledge to be an inclusionary argument in the consensus building was often limited. They were often interpreted as NIMBYsm. The conduct of CPA by LPA planners and councillors was highly weighted towards fulfilling the given policy requirements. Thus, tensions existed between the top-down representative democracy model of communicative planning and the inclusionary argumentative mode of governance expected by the local communities.

At the design and infrastructure planning stage, owing to the physical development planning approaches taken, the LPAs' frame of reference for planning gain and master plan designs demonstrated a reciprocity of views to that of market actors. Having commissioned a master planner in DHNS or LSUE, the LPAs tended to pursue utopian views on creating designer residential locations to gain higher local tax and service the local labour markets. Depending on factors such as (i) compliance of national policies with that of LPAs values for housing outcomes (ii) scale of the development and (iii) socio-political discourse of *place* (location) of the development, this reciprocity of views together with the LPA's and market actor's political intention to win back the frustrated communities during the land allocation stages, created a power shared context among actors in the CPA. Therefore, despite decision making for design and infrastructure planning being governed by top-down representative democracy (i.e with the professional inputs of LPAs and the market actors) the subsequent final decisions were refined through the emotive knowledge produced by residents. However, the evidence highlighted, the governance of emotive knowledge inputs not only took place in the form of *inclusionary argument* which was more responsive and collaborative towards diverse concerns of

DHNS housing outcomes but also in the *clientelism* form which narrowly focused on sustaining the patronage relationships with a particular clan of residents. This, together with the institutional design at master planning event for CPA being ineffective to take the emotive knowledge in a timely manner, curtailed achieving some of the broader shared meanings of housing outcomes in DHNS that it could have achieved with respect to design and infrastructure supply.

At the actual development stage, the LPAs tended to limit their role to enforcing regulations which oversee the actions of the market actors (developers) - rational policy planning approaches. In a similar vein, based on their interpretative schemes on markets, the market actors limited the speed of the local housing and infrastructure supply to fit with their project financing norms. In the phase where those actors are limiting their roles, it has been the various community participatory actions of residents that enabled them to realise their desired shared meanings of housing outcomes. This framing of roles in the market supply of housing required the residents to be part of the delivery process if they were to achieve their desired ('SHA') housing outcomes. This has created *new* relationships between supply and demand related actors, i.e. residents are not only end-users who passively receive housing outcomes, but are also actors in the housing delivery process.

The management stage of DHNS to achieve a desired shared housing outcome showed a much similar level of success to that of the previous two stages. Similar to the actual development stage, the LPAs held a limited role in managing the housing outcomes in DHNS. The LPA's plan decision making in managing DHNS were generally governed through a *criteria-driven approach*. The drawing of emotive knowledge through resident's CPA inputs for such plan decision making was based on deductive logics of

existing policies. Thus the management function of DHNS to achieve a desired housing outcome were substantially accomplished through residents' community participatory actions. Evidence existed where the LPAs plan decision making took the form of consensus building drawing emotive knowledge of residents. Those were the instances where such proposed actions through consensus building could be supported through LPAs budgets. In this respect, the Sec106 agreements of the subsequent planning applications were to be the primary source of such public investment. As discussed in the analysis, such consensus-building depended on Sec106 finance led to a paradoxical relationship between achieving a desired ('SHA') housing outcome and the destruction to it. Whilst a subsequent planning application for new housing facilitated the LPAs financially to shift their plan decision making for management of DHNS towards consensus building which considered the resident's frames of references, as per the same frames of references those planning applications (i.e. new housing) were also the causation for "unaffordability" and "unsustainability" of a delivered housing outcome. LPAs and the market actors employ the finance generated out of those (S106) as a means to provide a solution to the existing housing outcome problem of the settlement that would indirectly manipulate the opposing residents to agree with the new housing.

All in all, communicative planning was shown to be successful in generating shared meanings for housing outcomes (SHA) in certain instances of design and infrastructure planning, development and management stages. Such instances were conditioned through the context of shared power between actors, inclusionary argument mode of emotive knowledge governance, residents taking community participatory actions and availability of resources to implement the shared value solutions. In other instances of the housing delivery process where such favourable conditions were unavailable, the potential of

communicative planning to generate shared meanings (SHA outcomes) shown to be limited. Synthesising the findings of this chapter together with that of the previous chapters, the next chapter concludes the overall study focusing on the potential of communicative planning to achieve SHA outcomes in the context of England.

CHAPTER NINE

CONCLUSION: AN INSTITUTIONALIST APPROACH TO COMMUNICATIVE PLANNING FOR SUSTAINABLE HOUSING AFFORDABILITY (SHA)

9.1 Introduction

This thesis aimed to explore the potential of the Institutional Approach in understanding the concept of Sustainable Housing Affordability (SHA) in the 21st-century and in contributing to the achievement of SHA outcomes in England through communicative planning. The Institutional Approach (IA), underpinned by Giddens structuration theory and Habermas' critical theory for communicative actions, analyses the world contexts through relational views. i.e understanding the contexts through the relationships of the agency, power relations, structures (institutions) and effects of time-space. This thesis found IA to be a useful tool to both understand the concept of SHA which can reflect the context of 21st-century housing market complexity and test whether communicative planning can be a means to achieve SHA outcomes. Employing a mixed method strategy, the empirical analysis approached the Dickens Heath New Settlement (DHNS) as the primary case study, embedding Langley Sustainable Urban Extension (LSUE) as an external unit. The analysis of the agency related to DHNS and LSUE were the key actors in the housing consumption and delivery process: residents, market actors,

LPAs and master planners. The analysis and findings of the case study highlight several implications for both theory and planning practice.

First, the contribution of this thesis advances the way in which the concept of SHA can be understood. Despite the existence of large volumes of literature related to housing affordability, housing sustainability and sustainable housing affordability (see, Chapter 2, Sec 2.3), the scope of those is limited to structural outcomes. Underpinned by the mainstream classical economic explanations, the existing approaches (economic, policy and geographical) seeking answers to housing affordability and sustainability are limited to the perspectives that seek to achieve market equilibrium. Those assume that human behaviour is rational thus can be defined normatively and the external influences on local environments are limited to imported and exported goods (Healey, 2006). Those reflect the early neo-liberal state assumptions and therefore overlook the complex human subjectivities (agency values and power relations) and the effects of time-space (different processes) associated with the housing outcomes (structures), particularly in the 21st century. This thesis positions and argues the importance of considering these overlooked aspects and provides new insights into both the SHA literature and planning practice aimed at producing sustainable and affordable housing outcomes.

Secondly, the contribution of this thesis advances the accounts of understanding the mechanism to achieve SHA outcomes. Having embraced an Institutional Approach, the study tested the potential of communicative planning as a mechanism to achieve SHA outcomes which no previous studies on housing affordability or sustainable housing affordability have considered. The existing studies backed by neo-classical economic approaches primarily looked for policy mechanisms (Clapham, 2005; 2002) as the strategy to achieve SHA outcomes. Whilst policy mechanisms are required, this study

argues that achieving SHA outcomes also requires a mechanism such as communicative planning which enables the planning decision making (including policy making) to access knowledge on various human subjectivities and dynamic processes influencing the planned outcomes (structures).

Finally, bound by the above, the thesis also contributes to advancing the Communicative Planning Theory (CPT) and practice. The empirical analysis of communicative planning for SHA outcomes tested key theoretical lenses of CPT (power, institutional design, knowledge and consensus building). Consequently, the findings of this analysis address gaps identified in the CPT literature including i) application of CPT in a context of a new build development where new communities do not exist at the planning stages of the project and (ii) the effects of the subjective knowledge application on a planned outcome. Thus this thesis makes pragmatic recommendations for communicative planning in relation to achieving SHA outcomes.

Following the major contributions highlighted above, the sections below will synthesise the findings of the thesis in relation to the research questions. This will commence by reflecting on, how different actors in housing delivery and consumption frame their meanings for 'SHA'. Next, the synthesis returns to the critical arguments of CPT to understand how residents (households) as emotive knowledge holders engaged in Communicative Planning Actions (CPA) to bring in their subjective meanings into the planning process. Finally, the synthesis will be directed to discuss how Communicative Planning Actions were integrated into the decision-making process and influenced 'SHA' outcomes. These findings revisit the conceptual framework of the study and conclude, to what extent communicative planning can be in, for achieving SHA outcomes. The final

section of the chapter discusses the implications of these findings for planning practice and agenda for future research.

9.2 Major Findings of the Study

Residents as consumers (end-users) frame their meanings for housing “affordability” and “sustainability” based upon their respective housing motivations. The thesis deducts these motivations more broadly as *lifestyles* (Walker and Li, 2007; Lee, Carucci and Beamish, 2007; Kauko, 2006; Beamish, Goss and Emmel, 2001), *housing pathways* (Clapham, 2010, 2005, 2002) and *webs of social-spatial relationships* (Jessop et al., 2008; Hess, 2004). The residents’ housing choice in DHNS were influenced by different lifestyle orientations they held which the study identified as *quality & aesthetics of residential places, modern living convenience & good housing markets* and *like-minded community*. It had also been influenced by households’ life course pathways: getting new jobs, marriage, divorce, children starting school, retirement etc. These triggers had *formed, broken/dissolved and re-formed* the households, diverting themselves into different housing pathways. DHNS was a housing choice because the residents also had been embedded to the location as a result of their *territorial, social* and *network* relations held at varying scales. When the households dispose of their limited resources (wealth) for housing choice, they traded-off these respective complex set of motivations with their available wealth for housing. Thus, in Giddens’ (1984) terms, those motivations are the *rules* in which the residents follow to deploy their resources (wealth) to create effective demand for housing which they frame as “affordable” and “sustainable” at the particular time-space. For this decision making, households had been mobilising their discursive

knowledge and the ontological security of a given housing outcome achieving their respective motivations. These altogether are the subjectivities that differentiate housing choice of one household to another. Thus the way in which households making their housing choice cannot be normalised through rational preferences and behaviour. Other actors (such as market actors, master planners and LPAs and so on) with their respective motives, monitoring these households' housing choice actions (in DHNS and LSUE), develop a stock of knowledge in a generic way and structure a set of interpretative schemes as to what is "sustainable" and "affordable" housing for residents. Those interpretative schemes are typifications or normative structures in which these agents reflexively built into the conduct of their actions (Giddens, 1984) in the delivery of housing. Market actors, having wealth maximisation motives, structure interpretative schemes in the form of industry practices which they frame their preferences to commit finance on housing locations, design elements, actual build-out rates for local markets and timing on infrastructure supply and so on. Master planners (designer architects) advocating designs for residential locations such as DHNS or LSUE carrying physical development planning values hold normative assumptions about the households' behaviour and consumption of residential locations. For instance, designing a serviced centre in DHNS accessible from home within five minutes walking would create walkable and sustainable communities. LPAs with their motivations for meeting local housing demand, increase local tax revenues, comply with national policies and so on, hold interpretative schemes as to the suitable planning practices which can offer sustainable and affordable housing. The findings of the DHNS and LSUE case study highlighted that despite these interpretative schemes being based on household behaviour, once normative views are structured the actors demonstrated limited willingness to shift away from these

structured interpretative schemes. This was particularly relevant for market actors, where almost all the developers and strategic promoters following similar norms in their decision criterion for housing location, design, actual delivery, the timing of infrastructure supply and so on, perceived the applicability of those criteria to remain valid regardless of societal changes over time. Consequently, the values held by these different stakeholders (agencies) were often shown to be reciprocal.

The findings highlighted that it is the actions of different agents (housing choice actions of residents and delivery actions by market actors, master planners and LPAs) underpinned by their respective motivations, values and interpretative schemes, that structure housing outcomes such as DHNS or LSUE -housing outcomes are dependent on the power relations that the agents carry within their actions. Those different frames of reference of actors are both the medium and (housing) outcome (*duality of structure*: Giddens, 1984). As a result of these motivations, values and interpretative schemes of different actors the housing locations such as DHNS and LSUE were built into different geographical and cultural discourses (structures) such as ‘sustainable and/or affordable housing locations’, ‘buoyant markets’, ‘markets for family housing’ and so on. These built-in discourses fragment housing markets like DHNS differentiating that from other locations. The housing environments have physical as well as symbolic limits defined by households. In association with the market fragmentation, housing prices in the markets are structured in a way that the effective demand is not merely for the physical house that the households acquire but for the utility consumption that the housing and its location is associated with. Similarly, with the flexible capital and labour market forces influencing residents’ social-spatial links, housing environments are structured in a way that it cannot

pre-condition the geographical limits between local and regional scales. Households do not live out their lives in one place (Healey, 2006; Clapham, 2005).

Furthermore, motivations, values and interpretative schemes leading actions of actors and the structured housing outcomes are subject to the effects of time-space. Motivations are changing over time - for instance, a household who earlier preferred a large family house, later preferred a convenient lifestyle with a downsized house, having moved to the retirement age, their children got married and left the larger house. At the same time, the flexible capital and labour market forces intensifying the movement of residents in and out of housing locations changing the resident agents themselves who are consuming the housing outcome. As shown in DHNS and LSUE, these movements of resident created a disjuncture of motivations of early settled in residents and new resident cohorts. For instance, the latter households (mostly young couples or professionals) moved into rented houses in DHNS centre with short-term job moves and had different lifestyles which the former home owned residents perceived as undermining or destroying their lifestyle. Such time-space dynamics influence how households would behave, enjoy or be frustrated with the structured housing resources (Kemeny, 1992). Moreover, structured housing outcomes (in DHNS) have also been influenced by other outside processes (*unintended consequences*; Giddens, 1984) such as economic recessions and revivals etc. causing various influences such as negative equity of properties, land use conversions, left-out building sites and premature growth of DHNS prior to the master plans likewise. This relational view explaining the housing outcome structuration in places such as DHNS and LSUE highlights well the complexities associated with the 21st-century housing. i.e. how privatisation of housing delivery and intensified globalisation have been influencing both actors' frames of references and the structural housing outcomes.

Together these processes confirm the study propositions that, under market conditions, ‘SHA’ at a given time-space is a concept that is socially constructed – structured through various subjective actions and power relations of actors on consumption and delivery of housing and therefore cannot be achieved as a one-off delivery. What is “affordable” and “sustainable” housing for people who live and work in cities is difficult to define with objective meanings. Therefore, the way in which a particular housing outcome structure can be recognised as a *SHA outcome* is, if that housing outcome complies with shared meanings of all stakeholder motivations, values and interpretative schemes on housing choice and delivery particularly those of residents. Thus it is an idealist situation where residents’ housing aspirations, market actor’s viability concerns and LPAs planning aspirations for housing affordability and sustainability are equally shared. This idealist concept provides a vision for planning to achieve. To achieve such a SHA outcome state, subjective household motives for housing to be addressed through a participatory discursive democracy whilst also understanding the reciprocity value of market actors (i.e., LPAs and so on). Thus generating such shared meanings requires a collaborative discursive process to be informed of and govern these various frames of references (on ‘SHA’) by dealing with power relations among actors. This provides the sufficient grounding to justify the theoretical argument for communicative planning as a mechanism to achieve SHA outcomes.

Communicative planning is a planning approach that apprehends subjective (emotive) reasoning, at the same level as that of scientific reasoning, letting all stakeholders engage in a consensus building process. It is an approach that agents make sense together but live differently (Healey: 1999; Habermas, 1984). Thus, the scope of the communicative planning technically enables plan decision making for SHA outcomes to grasp the above-

recognised complexities that stem from subjective meanings of different actors and the housing outcome structures as it occurs in the real world. Rather than making normative assumptions on household preferences and behaviours, and outside influence to it, the task of communicative planning is to govern the collective decision making (consensus-building process) in a way that all stakeholders participate in a shared power context and discover innovative solutions within their complex and subjective meanings. The contemporary views on communicative planning also have acknowledged the argument that a once a particular consensus has been reached it can be challenged to be changed or improved (Healey, 2006; Innes and Booher, 1999). Therefore, as an approach, it allows the provisions for taking into account the time-space dynamics associated with those agency subjectivities and housing outcome structures as they change over time. Furthermore, enabling emotive knowledge implies communicative planning engages residents at the same level as other stakeholders. When SHA outcome is socially constructed, this can ensure the delivered housing outcomes, to a shared extent have met 'SHA' meanings of residents- the ultimate end-users or the problem owners of the housing outcomes, together with the other stakeholders.

This, on the other hand, reconfirms the inadequacy of the existing approaches (economic, policy and geography) that search objective answers externally to the real world subjective context, to deal with the concept of SHA. The neo-classical economic approaches orient to seek equilibriums in housing markets by dichotomising the quantifiable housing cost with other household costs have limited scope to take account of such complex subjective factors associated with housing and households to arrive at a balanced number of housing units. Similarly, as evident through DHNS and LSUE neither the policy approaches could intervene effectively to a lot of the unintended consequences

of housing outcomes and dynamic changes to agency meanings. For instance, LPAs, local development planning policies or national planning policies had limited control over negative influences to DHNS from economic recessions having to hold DHNS centre sites incomplete for several years or DHNS centre transferring into buy-to-let markets over homeownership. The geographical approaches despite the attempt to widen the neo-classical approaches by incorporating a broader set of variables that household motivations are associated with, those models assume the household preferences and behaviour are rational and normative. Thus it also carries similar limitations with that of economic approaches.

Having recognised the theoretical rationale for communicative planning in achieving SHA outcomes, the subsequent sections of the research tested whether the communicative planning practice in England demonstrated the potential to engage communities and achieve SHA outcomes. On the positive side for the argument, first, the analysis found that communicative planning is the means to empower residents or communities to engage in the housing delivery process and have their say (communicate their values) in SHA (social) structuration. Several legislative pieces of England's planning law provided the right for communities to engage in consultations. In the words of Albrechts, it empowered communities with *communicative* ("recognise and accept platform for actors to discuss shared problems and to reflect on ways out of these problems"; Albrechts, 2003:916) and *instrumental rationality* ("to encourage accountability within a time and budgetary framework"; *ibid*). Residents of DHNS and LSUE primarily being educated, White British middle-income earners, upgraded this empowerment further by establishing their *power to* discursive legitimacy (e.g. setting up Dickens Heath working party, Dickens Heath Parish Council (DHPC), Dickens Heath Residents Action Group

(DHRAG), Project Fields action group) and resources (gaining capabilities of residents who are professionals in the field of planning, housing, law, finance and skilful in other ways and collecting precepts, membership fees and donations).

Secondly, this empowering of residents via discursive legitimacy and resources did not negatively influence the procedural legitimacy of communicative planning. The CPA process had been inclusive in terms of gender, ethnicity, age and all levels of educational backgrounds of DHNS residents. Power held was employed as a modality of change to upgrade the procedural legitimacy of the residents' CPA. Actions for power such as establishing resident organisations (e.g. DHPC) led to synergies; enhancing the *value rationality* (“*design shared futures; to develop and to promote common assets*”; Albrechts, 2003:916) encouraging as many residents as possible to participate in CPA arenas and facilitated them not only come into the formal CPA arenas (e.g. public consultation events held by LPAs) but also informal ones (e.g. coffee mornings and Facebook groups). These could include non-participant members in the CPA process. It also enhanced the strategic rationality (“*to create an awareness of the systems of power, to construct some initial alliances to arm oneself against the prevailing power structure*”; *ibid*) of residents' CPA. Those established the resident leadership for CPA and mobilised different capacities (e.g. professional knowledge, financial resources) of residents coming into the CPA process. These led residents to build on network power relations both horizontally (fellow resident organisations) and vertically (get attached with political power). The network power could increase the choices available for CPA (Innes and Booher, 1999) and helped to level up with the power held by other actors in the CPA process, enabling the CPA at certain stages of housing delivery (described below) to be held in a shared power context.

Thirdly, in the case of DHNS and LUSE whilst a reasonable number of residents engaged in the CPA, those actions could inform the plan-decision making about households' housing aspirations and housing experience issues of residents over time-space. Residents' CPA expressed their self-interests (subjective meanings), which is the crude level expectation of the communicative planning. As a result of this drive, in tandem with their *power to* authority, discursive legitimacy and resources, the CPA of residents' generated emotive knowledge at all levels of planning and development of DHNS as well as LSUE.

The CPA of residents (usually by the settled-in residents at a given time-space) generated (i) experiential knowledge indicating their current housing experience issues (e.g. traffic issues, flood issues, anti-social behavioural issues, noise and dust issues and so on) (ii) predictive knowledge (often under pessimistic scenarios) forecasting the housing outcome issues that might arise or intensified in future, (e.g. Walmley residents predicting how the current traffic issues will be intensified with the LSUE development) (iii) normative knowledge reflecting the settled-in residents' desired goals for planned future of DHNS or LSUE (e.g. increase greenery and beautification in the neighbourhoods) and (iv) process knowledge informing the planning about the causal relationships in social, economic and environmental processes and planning process affecting the DHNS and Walmley communities (e.g. increase of anti-social behaviour and traffic as a result of rental migrants increasingly occupying the DHNS centre). In addition to representative democracy (via councillors representing respective wards of LPAs), residents produced emotive knowledge at varying CPA arenas such as LPA or developer organised public consultation events, DHPC and DHRAG meetings and so on. Those knowledge outcomes were valid to inform planning about housing outcome status of DHNS and LSUE from

different dimensions: current status, outcome status of past planning actions, likely future predicted and planned status and the processes influencing planning and societal interactions (See: Rydin (2007) and Khakee, Barbanente and Borri, (2000))

Fourthly, building on Rydin (2007) and Khakee, Barbanente and Borri, (2000), the thesis found that residents' CPA had multiple effects. As a result of English planning system holding CPA arenas at all stages of the housing delivery (i.e conduct CPA as a continuous process without limiting to the planning/conceptual stage), the aforementioned knowledge outcomes enabled the following:

- (i) reflecting the effects over time of time-space dynamics of agency and processes affecting the residents' housing experiences and
- (ii) not only to inform plan decision making about problems but also discovering solutions and actions by residents themselves to solve those problems (community participatory actions).

The classification of aforementioned knowledge outcomes based on the periods in which residents were settled in DHNS and LUSE found that the knowledge outcomes produced by one wave of resident agents over time had been challenged by CPA of the subsequent wave of the resident agents³⁴. This is owing to their change in agency values. As a result of CPA, the housing delivery planning process had been informed of these dynamics without having to make assumptions that differed from the real world context. Furthermore, the continuation of residents' CPA over time in combination with the

³⁴ e.g. The normative knowledge of Old Dickens residents' that DHNS should preserve the narrow road layout design to avoid traffic rat runs was challenged by later residents' outcome state knowledge produced through their empirical account of new lifestyles and network relations).

enhancement of *instrumental*, *value* and *strategic* rationality lead to several effects (Innes and Booher, 1999). These included first order effects such as consensus among residents signifying and validating a housing outcome issue and establishing their leadership, second-order effects such as discovery of their capabilities, the building of networks with different institutions and third order effects such as finding solutions and implementing those by themselves. The thesis recognised this structure of CPA outcome as community participatory actions which assigned a new role for residents: not only are they passive receivers but also joint producers of housing outcomes. With respect to DHNS, these actions were particularly successful at the early development stages of the housing delivery process, where room for changes or improvements was possible due to incomplete status of the housing development. In DHNS, those actions were particularly successful in terms of establishing resident organisations (Dickens Heath working party, DHPC and DHRAG), establishing public bus service, activating DHNS centre by finding service providers, and functioning of the DHNS Village hall. At the management stage of DHNS where room for changes or improvements was limited due to the complete status of the development, the success of participatory actions may require the communities to further enhance their *strategic rationality* such as developing a Neighbourhood Plan, where their proposed solutions can be incorporated into the future growth of the housing locale.

Finally, besides community participatory actions, DHNS housing delivery also presented situations where the decisions had been taken with collaborative planning actions that considered 'emotive' knowledge. This was particularly relevant in the design and infrastructure planning, and management stages. Some decisions on DHNS master plans and detail plans of subsequently developed sites have taken into considerations the

discursive shared meanings produced through DHPC and DHRAG (e.g. housing mix decisions of DHNS phase III considered catering the local needs by providing housing suits for growing elderly households, which was a predicted state knowledge produced through DHPC). Here the governance in consensus building followed the inclusionary argumentation mode (“*a style which could realise the ideas of participatory discursive democracy*”; Healey, 2006:237), having also conditioned the decision making by (i) relatively shared context of power relations between LPAs, commissioned master planners, market actors, and the residents (ii) sufficient CPA arenas for communities to produce shared meanings discursively about their housing outcome experiences, and (iii) availability of the public investment to implement a lot of those decisions (e.g. MUGA to facilitate recreational facilities for youngers financed through S106 planning gains drawn out of newly adjoining sites).

However, the research also found that in practice, the potential for communicative planning to achieve the SHA outcomes in an optimal way had several challenges. The positive effects of communicative planning for SHA outcomes were muted in instances where market forces alone allocate land resources for housing delivery and planning embraces economic planning values (Gunder, 2010; Purcell, 2009; Tewdwr-Jones and Allmendinger, 1998). In DHNS and LSUE, this was relevant at the stage of conceptual planning which decides the “right location” for housing. Particularly after the 2010 planning reforms driven under the advocacy of several commissioned reports (e.g. Barker, 2006; 2004) that framed housing affordability as a land supply and regulatory issue, the national planning policy in England (i.e. NPPF-2012) were strongly embracing the economic values. In both DHNS and LSUE, planning applications put forward to allocate land for housing were strongly supported by the NPPF. That eventually

persuaded both LPAs and their local development policies (LDPs) to respond positively to those supply forces. Therefore, at the conceptual stage which decides the location and number of the housing to deliver, market actors founded to be having a greater concentration of power in a way that they could exert a greater agency and power over other actors. During this stage, the consensus-building process was governed in *criteria-based* style (criteria of NPPF) in support of the market actors' *corporatist* form of alliances. Therefore, despite ample arenas for CPA and emotive knowledge production being available (even by the provisions of NPPF), the consensus on "right-location" was very much based on market actors' framing for 'SHA' outcomes. During this stage, whilst the LPAs simply regularised such decision-making, the CPA of residents did not demonstrate any effect on consensus building.

Network power of agents in some respect challenged the communicative planning process as it could make the boundaries of "agency" fuzzy. The network relations that the actors hold and the change of agency over time-space (eg: residents become LPA councillors, LPA planning officers shift the jobs as private planning consultants for developers) to some extent negated the CPT's static assumptions for "stakeholders and reciprocity of subjectivities" as the boundaries of agency themselves became dynamic.

Another critical challenge found in the practice of communicative planning at all stages of housing delivery was the tensions generated among different (*instrumental, communicative, value and strategic*) rationalities of communicative planning (Brownill and Carpenter, 2007). To ensure communities are engaged in development activities and the public comments are held accountable (*communicative and instrumental rationality*), the CPAs have been backed by planning laws. For instance, *The Planning and Compulsory Purchase Act (2004)* required the master plans of developments to be of

supplementary planning document (SPD) to LDPs, public comments from community engagement exercises to be documented as Statement of Community Involvement (SCI). However, owing to the way in which planners practice those legislative provisions, those have been generating tensions on emotive knowledge (*value rationality*). Some instances to draw from empirical evidence are (i) following the policy, the CPA arenas at the conceptual stage were held, on the basis of consulting different planning documents, thus the public comments generated outside of those were invalidated as irrelevant comments (emotive knowledge) (ii) whilst master plans (for LSUE) were to include as a SPD to LDP ensuring that the public consultation is part of the decision-making process, that itself caused timing of holding such public engagement (generate emotive knowledge) less effective³⁵ (see Chapter 8, Sec 8.3.3) (iii) whilst legislations supporting public engagement (see Chapter 5, Sec 5.2.3) ensured LPAs are informed of everyday housing experience issues of households (e.g. traffic and accidents), those comments in return were validated as against the existing policies (e.g. Highway Act) - the *instrumental* rationality causes tensions on *value* rationality. These tensions limit the generation of shared emotive knowledge to the deductive logic of existing policies thus tend to displace the possibilities for shared meanings to be innovative solutions through reciprocity of stakeholder values. Furthermore, the residents' reflexive monitoring of this *criteria-driven* emotive knowledge validation, on the other hand, generated tensions between their *strategic rationality* with *communicative* and *value rationality* of CPA. When planners use the deductive logic of policy to validate public comments, DHPC, DHRAG and Project fields reflexively mobilised their *power to* discursive legitimacy and resource to

³⁵ The emotive knowledge would be generated after some consensus on design was reached by market actors and LPAs, as draft master plans could not be brought into the public domain prior to the approval for land allocation.

manipulate the *truthfulness* of generated emotive knowledge (shared subjective meanings) towards the *rightness* (objective arguments towards planning policy). Their CPA reflexively suppressed the flow of *current, outcome and planning-societal interaction* status knowledge communicating to the LPAs and strategically emphasised the *planning process* knowledge which could highlight the errors in the planning process, enabling them to challenge the planning decisions. This was particularly seen at the conceptual stages of the housing delivery after the 2010 planning reforms, where national planning policies had eventually empowered the market actors. This presented a negative influence on the legitimacy of emotive knowledge production, highlighting an instance where “power” can be negative (Habermas, 1984) to unduly shift the CPA from *communicative and value rationality* towards *strategic rationality*.

Another limitation to communicative planning was a *clientelism* style of governance: consensus building that allows mobilising communicative planning as a tool to enhance the patronage relations (Healey, 2006) between actors (e.g. local councillors or market actors patronising with a selected group of residents). In DHNS, this was found in some instances of design and infrastructure planning stage and the conceptual planning stage (before 2010 planning reform). Instances were found where the public comments validated were of a selected resident cohort (usually a group who remonstrated against developments) and provide solutions on the basis of what those particular individuals asked for (e.g installing the main gas, electric line and flood ponds as preferred by the households would otherwise object to new development). Here, the emotive knowledge of a small group of residents was considered which had not undergone any participatory discursive democracy that refines those subjectivities into broader shared meanings of residents in DHNS. Similarly, “right” location decision about DHNS (in 1992) that

Dickens Heath to be the new settlement over Cranmore Widney was based on the volume of residents objected – the latter had relatively larger voter base than the former. Here the consensus building was simply a common denominator produced by powerful (resident) members (Hillier, 2003). Despite the governance mode here generally be fallen under the *pluralistic democracy*, it also implies the *clientelism* mode as the larger resident number meant relatively larger vote base. Habermas' (1984) advocacy was not for subjective (emotive) decision making that curtails the planning outcomes but to include subjective (emotive) knowledge alongside scientific knowledge for broadening of planning knowledge base to make better planning outcomes.

On the whole, communicative planning to achieve shared meanings to generate SHA outcomes had been successful only at delivering certain elements of housing outcomes – particularly the community participatory actions aimed at developing and managing the amenities and other services the residential locales, certain instances of housing design and management events. In the remaining housing delivery events, achieving shared meanings failed to take the residents' (and other actors) emotive knowledge into consideration. Despite communities being empowered to collaborate and generating valid emotive knowledge, achieving the end resulting shared meanings at all stages of housing delivery was absent. However, the limited instances where the communicative planning was successful denote that the outcome of consensus building process is not limited to generating the shared meanings through the common denominator of actor's various motives but also generating different levels of order effects (Innes and Booher, 1999) that could lead to solutions for housing (affordability and sustainability) issues that were unseen before. This was particularly evident in the findings with respect to the community participatory actions. On the other hand, the factors that influenced the success and failure

indicate the way in which communicative planning in England should be conditioned to achieve the optimal level SHA outcomes.

9.3 Conclusions and Revised Conceptual Framework

Figure 9-1 revisits the initial conceptual framework (*Figure 2-9*) of the study. Based on the above findings, the revisited framework confirms the initial propositions of the thesis which was based on the institutionalist view that ‘SHA’ is a concept that is socially constructed.

A particular housing outcome such as DHNS or LSUE is a structuration of (i) households’ subjective motivations (lifestyles, housing pathways and webs of social-spatial relations), (ii) households’ actions for housing choice (mobilisation of discursive knowledge and ontological security on housing outcomes to trading-off (limited) resources to acquire household motivations), (iii) housing delivery actors’ motivations (wealth maximisation, meet local housing demand, increase local tax revenue, physical development with utopian views), (iv) housing delivery actors’ normative structures interpreting households’ behaviour on housing choice, (v) housing delivery actions at each housing delivery events, and (vi) power relations held among actors. Furthermore, a particular structured housing outcome is subject to influence from different outside processes and dynamic changes in the actors’ so-called motives. This is particularly relevant in the 21st-century postmodern context where these processes and dynamics are very much intensified with flexible capital and labour market forces, residents not having to live out in one place and the geographical boundaries of housing are unspecified.

Hence, a housing outcome at a given time-space can be of SHA outcome state, if the delivered housing outcome complies with the shared meanings (*consensus*) generated out of all stakeholder motivations, values and interpretative schemes on housing choice and delivery. In this, shared meanings of residents' motives and actions for housing choice are of particular importance, as they were the end users of the housing outcomes. As stated before this particular state of *consensus* is subject to be challenged over time-space due to dynamic processes and change of agency motives, thus, SHA outcome cannot be delivered with definitive ends. A planning process that aims to achieve SHA outcomes should ensure the governance in the social construction process of 'SHA' in a way that it includes the residents' subjective meanings on housing outcomes together with those of other actors. This is to generate shared meanings as to what is 'SHA' or sustainable and affordable housing. Similarly, since these meanings are subject to change over time-space this governing process should be held on a continuous basis. Therefore, in theory, communicative planning: a planning approach that aims to govern knowledge for planning by apprehending emotive knowledge of communities at a similar level with that of scientific knowledge, is required to achieve SHA outcomes.

As evident through the empirics, communicative planning (in the context of England) to engage communities at all stages of housing delivery and generate emotive knowledge on housing outcome experience showed a greater potential. Nonetheless, employing those emotive knowledge to generate shared meanings for housing choice and delivery (for SHA outcomes) had been possible only in certain events of housing design and management stages and occasions where community participatory actions have been successful in the same stages of housing delivery. During other instances of housing delivery, the potential of communicative planning (in the context of England's planning

practice) to achieve SHA outcomes in full range was shown to be failed owing to several challenges encountered (Sec 9.2). If those challenges are to manage in a way that communicative planning can achieve SHA outcome in full range, such planning should be improved with following conditions at all stages of housing delivery.

- (i) Acknowledge actors hold power (Foucault, 1991, 1984, 1983, 1980), recognise where power is held among them (Albrechts, 2003) and govern the consensus-building process of different housing delivery stages in a power shared context (Habermas, 1984).
- (ii) Such governance of emotive knowledge in consensus building process should follow an *inclusionary argumentative* style (Healey, 2006)
- (iii) LPAs or residents to have *power to* resources to implement consensus building.
- (iv) Planners facilitating the CPA should have awareness of the purpose of employing communicative planning in the housing delivery process.
- (v) CPA to be held at all stages of housing delivery to be continued and the institutional design for CPA should ensure a continuous flow of communication to capture the time-space dynamics of agency and process affecting (SHA) housing outcomes as those arise.

These (ideal) conditions highlight, achieving SHA outcomes through the communicative planning is a difficult target to accomplish. However, it is noteworthy from the study that in the (limited) events where communicative planning was held at the optimal state, the CPAs not only limited to producing the shared meanings through the common denominator of the actor's motives but also generate solutions having different order effects (Chapter 3, *Table 3.5*) which lead to innovative answers in achieving SHA outcomes. Different order effects as a result of community participatory actions were

clear evidence to this (Sec 9.2). Thus, despite the difficulty of the target - achieving SHA outcomes through the communicative planning, it is a vision worth the planning to progress towards.

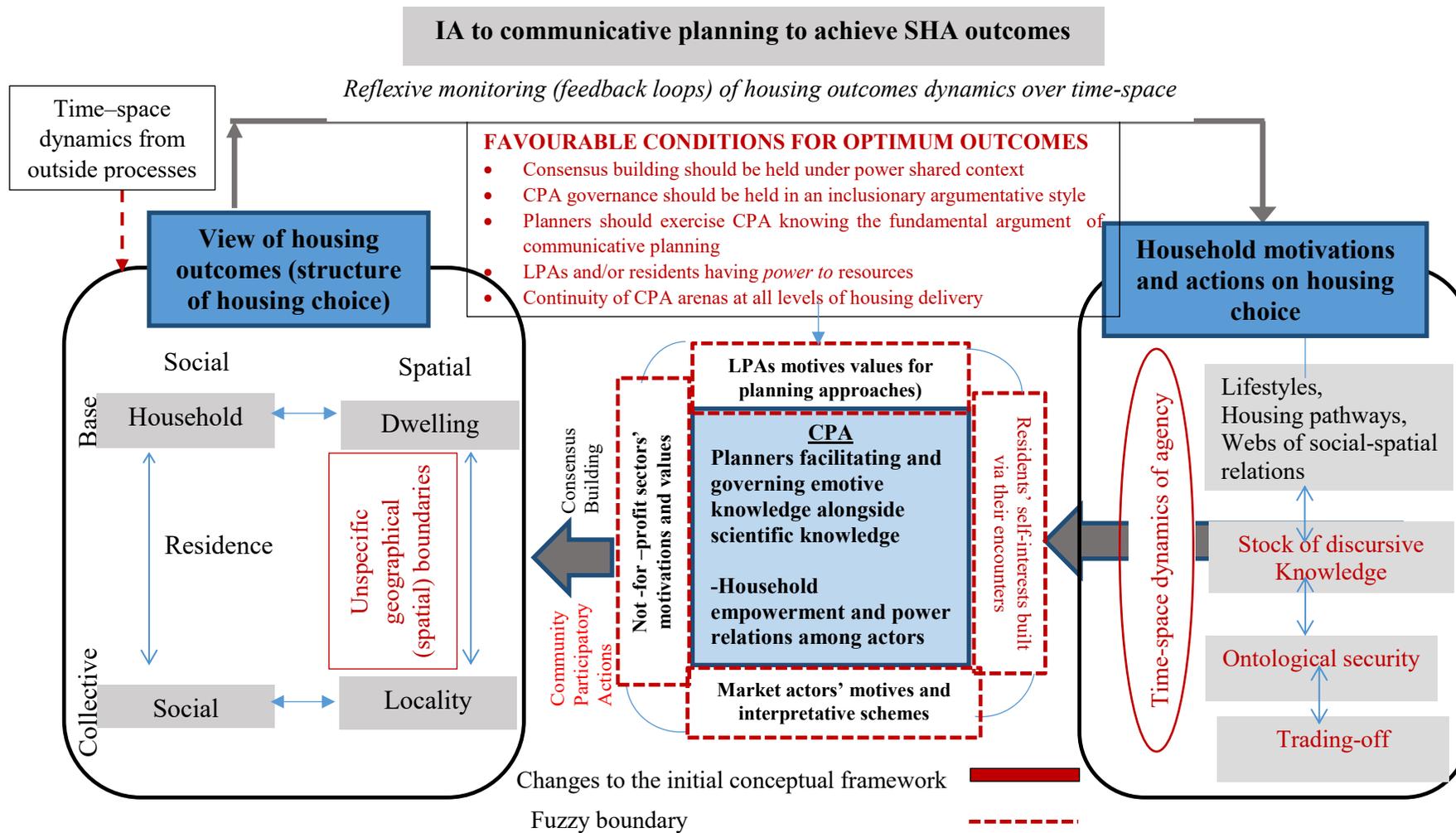


Figure 9-1 Revised Conceptual Framework - IA to communicative planning for SHA

Source: Author

9.4 Implications for the Planning Practice

Whilst this thesis was in the process of being written up, the government, in a White Paper published on 7th February 2017 (DCLG, 2017) characterised England's housing market as "broken" and in need of serious reform. Therefore, it is timely to pitch the grounding of this thesis in addressing how SHA outcomes can be achieved in England under the context of the prevailing planning and housing market system.

Prior to delivering "solutions or initiatives", policymakers should first understand the "social problem" or the "challenge" in depth. The Conservative government (between 2010 and 2015) had developed 225 separate housing initiatives and well over 500 announcements related to housing during 2010–2015 (David Orr, CEO of the NHF in his interview March 2015), whilst the same level of activity could be seen with the Labour government, but no fundamental difference has been made on housing affordability or sustainability. Thus, to address the challenge of achieving SHA outcomes, before rushing to introduce policy initiatives, planning policymaking should first recognise the dynamic relationships that cause the problem or challenge.

The lack of relational view causes the elements of the SHA issue to be understood within mutually exclusive zones: low-income housing problems, housing sustainability problems, housing market problems etc. This would lead policy initiatives also be operated in a disintegrated manner. For instance, policies for affordable housing (e.g. S106 planning gain, housing benefits) aim to solve low-income housing issues; policies for sustainable housing (e.g. Zero Carbon Housing by 2016 introduced by the Conservative government in 2006 (overturned by the HM Treasury in 2015); Sustainable Communities initiatives by ODPM, 2005) are to deal with environmental sustainability

of housing and policies to promote community engagement (e.g Neighbourhood Planning in 2011). The relational view between the different agents structuring the systems for consumption and delivery of housing and how those, in turn, influence the agents' actions helps those implementing policy to see the interconnection of relevant policies towards a common focus of achieving SHA outcomes.

When implementing CPA to deliver SHA outcomes, it is important that policymakers and industry practitioners understand the philosophy behind communicative planning. CPA is to bring emotive (subjective) knowledge inputs to broaden the information base of planning decisions which otherwise would have to depend on 'technical' knowledge alone. Therefore the aim of CPA should be to find innovative solutions that are more pragmatic (Healey, 2006; Innes and Booher, 1999) than the solutions derived from technical knowledge. CPA should not be used for subjective decision making (e.g., agreeing on the frames of references of a group of stakeholders) in isolation from fulfilling a policy or political strategy. Clarity in communicative planning philosophy should enable the removal of stereotyping of actors values: e.g., LPAs and market actors characterising opposing local residents as NIMBYs; the house building industry perceiving government initiatives as a threat to their financial viability; house buyers accusing the British house building industry as offering "average quality standard boxes"; and the government's efforts to provide new housing being dismissed as eating up the green belt and so on. The stereotyping displaces the accuracy of emotive knowledge validation in the planning process. Conflicting or reciprocity of values is an opportunity for shared meanings that aims to generate shared, innovative solutions. Thus, the communicative planning practice should acknowledge and welcome the reciprocal views and see them as "knowledge" that enriches planning solutions for 'SHA'.

Planners should be aware that achieving a particular ‘SHA’ outcome would be on an incremental basis and cannot be delivered with definitive ends. i.e a particular (SHA) outcome delivered would be challenged by the dynamics of time-space. As shown in the DHNS and LSUE case studies, in the 21st-century housing context, national and local government planning policies have limited control over how local housing environments are consumed. Therefore, planning policies such as LDPs, master plans etc. aiming SHA outcomes etc. should allow flexibility where possible to incorporate any future changes. CPA arenas should be available at all stages of housing delivery held on a continuous basis to inform planning about these dynamic tensions as they arise. However, as shown in the thesis, the offered flexibility in planning should not only be open to market actors’ values (e.g. LDPs to be market responsive having 5 years deliverable land supply) which causes a power imbalance among actors; those should offer flexibility for changing values of all actors influencing housing outcome structures.

9.5 Limitations of the Study and Agendas for Further Research

This thesis has made a significant contribution to the understanding of the concept of SHA and CPT. The IA provides the relational view of agency, power relations, structures and time-space dynamics within housing delivery and consumption and showed that SHA outcomes are beyond simply matching any ‘current’ housing demand with housing supply to deliver an ‘equilibrium’. The discussion on the relevance of CPT in achieving SHA outcomes showed, how emotive knowledge inputs taken from CPA at different stages of housing delivery be validated at plan decision making (i.e. consensus building) for SHA outcomes. These different stages included the planning stage of a new housing

development where new communities do not exist to engage with CPA. However, the thesis also presents limitations in certain areas that future researchers can consider in filling such gaps.

First, in this thesis, the IA to communicative planning for SHA outcomes is discussed based on the existing systems in England that the planning and housing markets have been structured. For example, the system of planning intervention for housing delivery being development control, systems of housing markets being land banking through options or immediate site routes, completing infrastructure delivery after the housing demand is assured etc. The framing of this thesis did not investigate communicative planning for SHA outcomes under other planning or housing market systems. In other words, what implications would the application of communicative planning for SHA outcome have, if such systems are different? This opens up avenues of future research to investigate the application of communicative planning for SHA outcomes under different systems of markets and planning. For instance, what implications on SHA outcomes can be seen in systems where planned infrastructure delivery take place prior to the new community settle in as it be seen in Freiburg, Germany; or if the structuration of the planning system takes a zonal approach as in the United States of America; or where housing market provision is primarily based on public housing on lease basis as in Singapore? The applicability of communicative planning on SHA, when the housing market systems are highly depended on self-building or self-reliant housing as in the case for many other Asian countries of transitional economies opens up further areas for study.

Secondly, this study limited the agency and power relation analysis for ‘SHA’ meanings and CPA to the key actors in the housing delivery process in England: market actors and the LPAs. However, as recognised in the thesis, there are other passive stakeholders

(lobby groups, quangos, housing associations etc.) whose agency subjectivities and power relations influence the socially constructed meanings for ‘SHA’ and CPA. A future research study can advance the answers provided in this thesis by incorporating such agency and their power relations to study the meanings for ‘SHA’ outcomes and how their engagement in communicative planning can contribute to achieving SHA outcomes.

In this neo-liberalised world that structure our society into multi-sided scalar interests groups including “planners” themselves (Brindley et.al, 2005, Healey, 2006; Grant, 1989) and those interests are dynamic being varying across time-space, solutions to planning concept such as SHA “*do not merely have an objective existence in the external world to be discovered by scientific inquiry*” (Healey, 2006: 32). Identifying the shared meanings (i.e *common space*) between those scalar interests on housing is the gateway to achieving sustainable and affordable housing for the people in the 21st century. The communicative planning endeavours for that are highly challenging but not impossible.

APPENDICES

APPENDIX I: SAMPLE INFORMATION SHEET AND CONSENT FORM FOR INTERVIEW PARTICIPANTS

1. Information sheet

Project title: Communicative Planning for Sustainable Housing Affordability in Urban Extension and New settlement Projects in England (This project as a part of the student's PhD will be undertaken by Tippala Upuli Perera, PhD student at the University of Birmingham, UK). This research is being undertaken as part of a PhD funded by the Commonwealth Commission UK

1. Why have you been chosen?

In view of the above purpose, we are particularly looking at Dickens Heath New Settlement and the Langley Urban Extension which have been selected as the case study areas. Therefore we shall have conversations with the professionals, government officials and the other stakeholder who had being involving in planning and developing these projects and with the people who have been living and experiencing everyday life.

2. What will happen to you if you take part?

The interview will last for around one-two hours and I will record the interview with your permission unless you state that it would be preferential not to. This is to ensure the accuracy of data and mitigate misrepresentation. The recordings will be written up and you will be offered a copy of the transcript for you to check the accuracy and for you to keep your own copy. Where inconsistencies arise, the researcher will reassess the interview in light of the participant's comments. However, full editorial control of the research outputs remains with the researcher. It is up to you to decide whether or not to take part. Your real name will be assigned a pseudonym according to your wishes. If you do decide to take part you will be given this information sheet to keep. You will also be asked to sign a consent form and provided with a copy of this. If you decide to take part, you are still free to withdraw from the study at any time until September 30th in 2015 without a given reason, and your data will be destroyed if you choose to withdraw.

3. Will your taking part in this study be kept confidential?

All information that is collected about you during the course of the research will be kept strictly confidential. The only contact information required will be either a mobile telephone number or email address. The data storage and retention follow Data Protection Act (1998), the Code of Practice for Research of the University of Birmingham (http://www.as.bham.ac.uk/legislation/docs/COP_Research.pdf) and guidance from the UK Research Councils. The data shall normally be preserved and accessible for ten years following the completion of the research, as the confidentiality and anonymity of them being kept. Your name or any contact details will not be recorded on the interview transcripts. In addition, any details which potentially could identify you will also be removed or changed. My academic supervisors will have access to the anonymized transcripts of your interview, but I will be the only person to have access to the original recordings of the interview, your consent form and any of your contact details. Your participation in this study will not be discussed with other interviewees. Your name will be changed in the research and I will ensure that your contribution remains entirely confidential and anonymous.

4. What will happen to the results of the research study?

The results of the study will be used in my PhD thesis. The material may be presented at academic and professional conferences and in academic journals having maintained the anonymity and confidentiality. Findings from this study will contribute to improving planning practices for sustainable housing affordability outcomes in the UK.

6. Contact for further information

Tippala Upuli Perera, Research Room Room 225 in GEES building, School of Geography, Earth and Environmental Sciences, the University of Birmingham, Edgbaston, Birmingham, B15 2TT
Tel: +44 (0)121 414 3282/UK. Mobile:07xxxxxx158 Email:

You may also contact the faculty members supervising the project: Dr Peter Lee (Tel. +44 (0)121 414 3645, p.w.lee@bham.ac.uk) and Dr Austin Barber Tel. +44 (0)121 414 2984, barbearz@adf.bham.ac.uk at the University of Birmingham.

Consent form

Communicative Planning for Sustainable Housing Affordability in England

This project seeks to understand where the meanings of Housing affordability and it’s sustainability are positioned in Urban Extension and New settlement Projects in England and to explore what Communicative Planning actions can offer to achieve the Sustainable Housing Outcomes.

The purpose of this agreement is that you are satisfied that the usage of any contributions you make to the research is done so in strict accordance with your wishes. The project is being conducted by Tippala Upuli Perera, a doctoral researcher at the University of Birmingham.

For further information, please contact Tippala Upuli Perera at [redacted] or [redacted]

You may also contact the faculty members supervising this project: Dr Peter Lee (Tel.+44(0)1214143645, p.w.lee@bham.ac.uk) and Dr Austin Barber Tel. +44 (0)121 414 2984, barbearz@adf.bham.ac.uk

If you consent to being interviewed and to any data gathered being processed as outlined below, please print and sign your name, and date the form, in the spaces provided.

Audio records of interviews will be digitally recorded; these recordings will be stored in a secure location at the University of Birmingham, UK. A copy of your interview transcript will be provided, free of charge, on request and you may withdraw from the project at any time until September 30th in 2015.

All data will be treated as personal under the 1998 Data Protection Act and will be stored securely. Interviews will be recorded and transcribed by the researcher. The data storage and retention follow the Code of Practice for Research at the University of Birmingham (http://www.as.bham.ac.uk/legislation/docs/COP_Research.pdf) and guidance from the UK Research Councils. The data shall normally be preserved and accessible for ten years following the completion of the research, as the required confidentiality and anonymity of them being kept.

You may withdraw from participating in the research. It is your right as a voluntary participant to refrain from answering any questions you so wish. If following the completion of interview participation you wish to retract any comments made, it is your right to do so prior to their use in academic publications.

Please indicate by ticking one of the boxes below, your preference with regard to your anonymity and whether we may quote your comments directly, in reports and publications arising from this research.

- I consent to the disclosure of myself/my employer (delete where applicable) and the use of my comments in subsequent reports and publications made available outside of the research team.
- I would prefer not to disclose the identity of myself/my employer in subsequent publications and reports made available outside the research team.

I consent that I have read and understood the above information and had the opportunity to ask any questions for clarification. The responses given are a true reflection of my intentions.

Signed

Date

Please print your name.....

Organisation..... Email (or telephone).....

APPENDIX II: PROFILES OF URBAN EXTENSIONS AND NEW SETTLEMENTS IN ENGLAND THAT ARE RECOGNISED TO BE GOOD PRACTICES

<i>New Settlements (NS)/Urban Extensions (UE)</i>	<i>Year</i>	<i>Urban-rural linkages and distance to the central major city</i>	<i>Planned Housing units</i>	<i>Main claims for Sustainability by TCPA 2007, Falk and Carley (2012) reports</i>	<i>Other remarks</i>	<i>Researchers /other academics reflexivity on the project as a case study with respect to suitability, accessibility, cost and time of data collection</i>
<i>Dickens Heath, Solihull (NS)</i>	<i>1990 - 1997</i>	<i>Located in a rural setting in Solihull within the metropolitan green belt, 3 miles to Solihull 8.4 miles to Birmingham Approx. 1.5 hours away from London Planned Population for the settlement – 4000 Actual population as per the ONS, 2011 is 3992.</i>	<i>1672</i>	<i>-Good housing mix -attracted mix communities -good community cohesion -a good relationship between local authority and developers - number of community groups working for social cohesion of the area</i>	<i>The scheme was developed before the governments’ sustainable agenda was brought up. Have gone through the 2008 credit crunch phase, several national and regional policy planning changes.</i>	<i>Relatively easy access to information owing to University’s contacts with the professionals involved in the project. Have developed in different phases since 1997 that captures different planning phases</i>
<i>Upton, Northampton (UE)</i>	<i>2003</i>	<i>Located in an existing built-up area 6 miles to Northampton 72.4 miles to London</i>	<i>1020</i>	<i>-Diverse Housing mix including social housing -The sustainable urban drainage system - An enquiry by Design (in lineage with participatory Planning) developed by Prince’s Foundation.</i>	<i>Have gone through the 2008 credit crunch phase, Planned before and after the current NPPF 2012.</i>	<i>Being a relatively new case study, Upton tends to be an over-researched case study. Thus according to the experience of the current researchers, there are concerns over the accessibility of professional and research</i>

		<i>Population -5536 (ONS, 2011)</i>		<i>-Comprehensive land assembly through re-investment of land value gains - Investment in green infrastructure and BREEAM EcoHomes Excellent standards</i>		<i>participants due to they are being overwhelmed which could impact on the research finding.</i>
<i>New Castle Great Park (UE)</i>	<i>2006</i>	<i>Existing Great Belt 4.3 miles to New Castle Upon Tyne</i>	<i>2500</i>	<i>-Sustainable construction and energy efficient measures -Establishing a planning committee purely to consider issues relating to Newcastle Great Park issues. -Management Trust to maintain and modernize landscape facilities and features</i>		<i>No special concerns</i>
<i>Hampton, Peterborough (UE)</i>	<i>1993</i>	<i>A township at Brown Field site 35.3 miles to Cambridge 2.5 miles to Peterborough population (Hampton with Orton)- 36700 (ONS, 2011)</i>	<i>5200</i>	<i>-Neighbourhood Development briefs (to guide the detailed development on site) -Master-Developer role to assume non-profit –making elements of the development are cross-subsidized and securely in place to guarantee the long-term effectiveness.</i>	<i>The scheme was developed before the governments’ sustainable agenda was brought up. Have gone through the 2008 credit crunch phase, several national and regional policy planning changes.</i>	<i>No special concerns</i>
<i>Southwoodham Ferrers, Essex (NS)</i>	<i>1957</i>	<i>Local authority sponsored New Town, 11miles to Chelmsford 56KM (35miles) from London.</i>	<i>4600</i>	<i>-A Design Guide Book for developers to choose designs as a remedy for the poor visual standard of speculative development.</i>	<i>The project seems to be too old in terms of getting access to the information. (Thus this project tends to be over the matured case for the purpose of the study).</i>	<i>No special concerns</i>

		<i>Population - 16,626 (2011, ONS)</i>		<i>-Auto-dependent and road design are getting outdated.</i>		
<i>CaterhamBr racks, Surrey (UE)</i>	<i>1997</i>	<i>Existing brownfield site at the edge of green belt location.</i> <i>17 miles to London</i> <i>28 miles to Surrey</i>	<i>348</i>	<i>-Excellent Community participation in designing the master plan(The same consultant with that with Dickens Heath; John Thompson and Partner)</i> <i>-Emphasis on supplying affordable Housing by 30% from total supply.</i> <i>-Caterham Barracks Community Trust (Reps of Local Authority, the developer, residents, business interests) to oversee the community facilities.</i>		<i>No Special Concerns</i>

Source: TCPA, 2007, Falk and Carley, 2012, ONS, 2011, discussion with academics

APPENDIX III: LIST OF PROFESSIONAL (OTHER STAKEHOLDER) INTERVIEWEES

No	Interviewee Code	Institution	Interview Dates	Case study
		Planners (Early planners and present planners)		
1	Respondent#01.Plnr.DHNS		11/03/2015 30/04/2015	DHNS DHNS
2	Respondent#02Plnr.DHNS		11/03/2015 07/04/2015 07/04/2015	DHNS DHNS DHNS
3	Respondent#03.Plnr.LSUE		24/03/2015 02/05/2015 13/07/2015	LSUE LSUE LSUE
4	Respondent#04.HouOffi.SMBC.DHNS		29/06/2015	DHNS
5	Respondent#05.HouOffi.SMBC.DHNS		29/06/2015	DHNS
6	Respondent#06.HouOffi.SMBC.DHNS		29/06/2015	DHNS
7	Respondent#07.NeigCor.DHNS		17/03/2015	DHNS
		Political/Councillors		
8	Respondent#08.ParishCllr.DHNS		10/04/2015	DHNS
9	Respondent#09.SMBCCllr.DHNS		18/04/2015	DHNS
10	Respondent#10.SMBCCllr.DHNS		24/06/2015	DHNS

		House Builders		
11	Respondent#11.Hou.Bld.DHNS		01/04/2015	DHNS
12	Respondent#12.Hou.Bld.DHNS		23/04/2015	DHNS
13	Respondent#13.HouBld.DHNS		23/07/2015	DHNS
14	Respondent#14.HouBld.DHNS		30/06/2015	DHNS
15	Respondent#15.HouBld.DHNS		09/08/2015	DHNS
		Strategic Promoters		
16	Respondent#16.SP.DHNS		13/04/2015	LSUE
17	Respondent#17.SP.DHNS		01/04/2015	DHNS
18	Respondent#18.SP.DHNS		07/07/2015	LSUE
			07/07/2015	LSUE
19	Respondent#19.SP.DHNS		07/07/2015	DHNS
			07/07/2015	DHNS
		Land Owners		
20	Respondent#20.LanOwn.DHNS		04/08/2015	DHNS
		Housing Associations		
21	Respondent#21.HouAss.DHNS		02/07/2015	DHNS
22	Respondent#22.HouAss.DHNS		15/07/2015	DHNS
23	Respondent#23.HouAss.DHNS		14/05/2015	DHNS
24	Respondent#24.HouAss.DHNS		07/09/2015	DHNS
		Master Planners/ Architects		
25	Respondent#25.MasPlnr.LSUE		08/06/2015	LSUE
26	Respondent#26.MasPlnr.DHNS		03/07/2015	DHNS

		Management Co/Estate Agents		
27	Respondent#27.DHMC.DHNS		31/03/2015	DHNS
28	Respondent#28.Rea.Agen.DHNS		12/06/2015	DHNS
29	Respondent#29.ReaAgen.DHNS		24/04/2015	DHNS
30	Respondent#30.ReaAgen.DHNS		16/04/2015	DHNS
		Lobby Groups/Researchers		
31	Respondent#31.CPRE.DHNS		01/04/2015	DHNS
32	Respondent#32.CPRE.LSUE		09/06/2015	LSUE
33	Respondent#33.Rechr.DHNS		22/04/2015	DHNS
34	Respondent#34.Rechr.DHNS		15/04/2015	DHNS
		National and Regional Level Agencies		
35	Respondent#35.NHF.Gen		18/03/2015	General
36	Respondent#36.LEP.DHNS		13/05/2015	DHNS
37	Respondent#38.RITP.Gen		11/06/2015	General
38	Respondent#39.DCLG.Gen		07/08/2015	General

APPENDIX IV: LIST OF RESIDENT INTERVIEWEES

	Resident 01
ID	Respondent#40.F.Over60.DHRAG.DHNS
Age	Over60
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DHNS	15 years
Tenure	Homeownership
	Resident 02
ID	Respondent#42.F.45-59.ProjField.LSUE
Age	44-59
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in Walmley	20 years
Tenure	Homeownership
	Resident 03
ID	Respondent#43.M.Over60.ProjField.LSUE
Age	Over60
Gender	Male
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	20 years
Tenure	Homeownership
	Resident 04
ID	Respondent#44.M.45-59.DHPC.DHNS
Age	45-59
Gender	Male
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Homeownership
	Resident 05
ID	Respondent#45.F.45-59.Cor.VH.DHNS
Age	45-59
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Homeownership

Resident 06	
ID	Respondent#46.M.Over60.DHPC.DHRAG.DHNS
Age	Over60
Gender	Male
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	Lives in Solihull
Tenure	Homeownership
Resident 07	
ID	Respondent#47.F.30-44.DHNS
Age	30-44
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Tenant
Resident 08	
ID	Respondent#48.F.Over60.DHNS
Age	Over60
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	16 years
Tenure	Homeownership
Resident 09	
ID	Respondent#49.F.45-59.DHNS
Age	45-59
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Homeownership
Resident 10	
ID	Respondent#50.F.Over60.DHNS
Age	Over60
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	12 years
Tenure	Homeownership
Resident 11	
ID	Respondent#51.M.44-59.DHNS
Age	45-59
Gender	Male

Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	12 years
Tenure	Homeownership
ID	Resident 12
Age	Respondent#52.M.Over60.DHNS
Gender	Over60
Occupation	Male
Ethnic origin	[REDACTED]
Length of residents in DH	White British
Tenure	25 years (from OLD Dickens Heath)
	Homeownership
ID	Resident 13
Age	Respondent#53.M.45-59.DHNS
Gender	45-59
Occupation	Male
Ethnic origin	[REDACTED]
Length of residents in DH	White British
Tenure	20 years (From Old Dickens Heath)
	Homeownership
ID	Resident 14
Age	Respondent#54.M.30-44.DHNS
Gender	30-44
Occupation	Male
Ethnic origin	[REDACTED]
Length of residents in DH	Asian
Tenure	3 years
	Tenant
ID	Resident 15
Age	Respondent#55.M.45-59.DHPC.DHNS
Gender	45-59
Occupation	Male
Ethnic origin	[REDACTED]
Length of residents in DH	White British
Tenure	17 years
	Homeownership
ID	Resident 16
Age	Respondent#56.M.45-59.DHNS
Gender	45-59
Occupation	Male
Ethnic origin	[REDACTED]
Length of residents in DH	White British
Tenure	12 years
	Homeownership

	Resident 17
ID	Respondent#57.M.Over60.DHNS
Age	Over60
Gender	Male
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Homeownership
	Resident 18
ID	Respondent#58.F.Over60.DHNS
Age	Over60
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Homeownership
	Resident 19
ID	Respondent#59.F.30-44.DHNS
Age	30-44
Gender	Female
Occupation	[REDACTED]
Ethnic origin	European
Length of residents in DH	5 years
Tenure	Tenant
	Resident 20
ID	Respondent#60.M.Over60.DHPC.DHNS
Age	Over60
Gender	Male
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Homeownership
	Resident 21
ID	Respondent#61.F.Over60.DHNS
Age	Over60
Gender	Female
Occupation	[REDACTED]
Ethnic origin	White British
Length of residents in DH	10 years
Tenure	Homeownership

APPENDIX V: SAMPLE INTERVIEW GUIDE FOR RESIDENTS

Date of interview:

Place of interview:

Gender:

Occupation:

Age:

Ethnic origin:

Length of residents in DHNS

Tenure

‘SHA’ meanings

- i. When did you move and what were your housing aspirations when moved to Dickens Heath?
- ii. What is your opinion about the new developments coming to Dickens Heath?
- iii. As a resident how do you feel housing affordability affected to your life?
- iv. How does housing sustainability matter to you?
 - a. So, do you mean when the flats built up and with the 2008 crash you lost your property value?
- v. Do you or your son (as you said) consider moving out of Dickens Heath, if possible?
- vi. Other than negativities, what positive aspects that you can see in Dickens Heath?

Residents’ engagement in the communicative planning actions

- i. How do you think the communicative actions of residents have shaped the Dickens Heath in different ways?
- ii. What are the success cases where the community have won through engagement?
- iii. What drove you to initiate Dickens Heath Resident Action Group?
 - a. How many people are in the action group in numbers and as a percentage?
 - b. Are you of the view that planning and communications with residents, parish councils and LPAs haven’t been so good?
 - c. What is your assessment of the public consultation for the two new development sites: Dickens Heath road and Rumbush lane?
 - d. What really made you think that it is the inefficiency of the parish councillors. Isn’t it a problem of the structure of the Parish councils?
 - e. So, what is your proposal for a different format for PC meeting and how do you think that structure can bring in a change?
- iv. What is your counter argument that resident associations such as the one you engaged are being blamed to be NIMBY groups?

- v. What are your real concern about the increasing housing numbers and affordable housing numbers coming to the area?
 - a. If your concern is on infrastructure impact, doesn't the S106 negotiations of these new developments provide those?
- vi. The Rumbush lane development will any way going to come.
So, what sort of negotiations that the residents could have done at S106?
- vii. If the council is letting down the plans, then do you think the council is not responsible for the increase of housing numbers?

APPENDIX VI: SAMPLE INTERVIEW GUIDE FOR OTHER ACTORS

Date of interview:

Place of interview:

Interviewee's Gender:

Organization /Institution:

Position/title:

Planning process

- I. Can you please explain how did the master planning for DHNS was went about?
- II. What was the period of involvement of the master planner?
- III. What had been the arrangements for the amalgamation of land during the time?
- IV. What were the site deliverability challenges during the time?

Meanings for 'SHA'

- I. For what sort of a community that this place was designed for?
- II. When you think about housing affordability, in which way you believe can design bring affordability?
- III. What was the main concern for sustainability during the time?
- IV. What sort of lessons other similar developments during the time brought in for master planning of Dickens Heath?
- V. What lessons do you see that this kind of a development would carry for the future?
- VI. How do you find the DHNS development today?
- VII. Why had the house builders preferred to do more low-density housing?

Engagement with the communities and perceptions

- I. How did the master planning process reasons decisions such as, housing numbers, densities, different phasing of the development, design elements etc. were finally decided?
- II. How did the negotiations with the developers during the time go about?
- III. Who and how did the developers represented themselves during such negotiations?
- IV. What do you think about the public engagement done by the developers, LPAs and your involvement in that?
- V. How far public engagement mattered in the final master planning process?
- VI. How do you perceive the public objections to new housing development etc.?

APPENDIX VII: QUESTIONNAIRE FOR THE DHNS CASE STUDY**SURVEY ON SUSTAINABLE HOUSING AFFORDABILITY**

The Survey on Sustainable Housing Affordability is a part of the PhD research project conducted by T. Upuli Perera attached to the Centre for Urban and Regional Studies, The University of Birmingham. The project is funded by the Commonwealth Commission UK.

The survey results will help to understand the issues and the factors that relate to the households and the housing outcomes in New Settlement Schemes like Dickens Heath. Certainly, the results of the study will help to advise the agencies on future policy on housing and to devise effective planning practices with regard to the residential development in England.

Is the information you give confidential?
Your participation is voluntary and the information given by you is entirely confidential and anonymous. No individual will be identifiable from the results. Your answers will be combined with others that take part in the survey and will only be used for the aforesaid study.

If you would like further information on the survey, please /email to:

Principal Investigator

Upuli Perera

:

Project Supervisors

Dr Peter Lee

: p.w.lee@bham.ac.uk

Dr Austin Barber

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* 1. type first four characters from your Postcode without space

2. Street name from your address

3. Age

<18

18 - 29

30 - 44

45 - 59

60

4. What is your gender?

Female

Male

5. Your ethnicity?

6. What is the highest level of education you have completed?

7. Occupation

Your occupation

Location of your job

Commutin

g mode

(bus/train

/car etc)

Your

Spouse/Partner'

s occupation

Location

of the

Spouse/par

tner's

occupation

Commutin

g mode

(bus/train/c

ar etc)

8. How many people currently live in your household

9. Household composition

10. Present Tenure of the house

11. Approximate proportion of monthly income you spend on monthly housing cost

(Monthly income/Monthly rent/mortgage)

12. Approximate proportion of monthly income you spend on monthly housing cost plus all utilities

[Monthly income/(Monthly rent/mortgage + Utility Bills)

13. The proximate proportion of monthly income you spend on monthly housing cost, all utilities plus transport [Monthly income/(Monthly rent/mortgage + Utility Bills + transport cost)]

14. Is Energy Performance Certificate available to your house?

Yes

No

15. If "Yes" what is the rating of the present house?

A, B or C - very energy efficient, lower running cost

D - Moderate energy efficiency

E, F or G- Not energy efficient, higher running cost

16. Previous Residence

The area you
previously
resided

Reason(s) to
move to

Dickens Heath

Year in which
you moved to

Dickens Heath

What was done
with the
previous
property?

Sustainable Housing Affordability

Housing Satisfaction

Please report your housing experience in Dickens Heath

17. What is the level of satisfaction of your present house?

		Strongly agree	Agree	Neutral	Disagree	Strongly Disagree	Not Applicable
House price/rent is affordable within my means	<input type="radio"/>						
I can reasonably afford the other running cost of the house (maintenance etc.)	<input type="radio"/>						
Construction of the house is of good quality							
Housing layouts fit my needs	<input type="radio"/>						
Overall housing design and elements are as I expected	<input type="radio"/>						
This house provides healthy conditions for me/my family	<input type="radio"/>						
Both inside and outside space (garden, parking) is sufficient to	<input type="radio"/>						

fulfil our needs

Housing

payment

methods are

convenient

The energy efficiency of the house is as expected in terms of monthly utility bills

The house has a good level of insulation

The house has

been a good investment for me

The location of the house is

convenient to my job/occupation/retirement

The location of the house has

better

connectivity with our daily service

(schools, marketplace, and recreation)

The location of the house is convenient for our occasionally needing services

(Banks, post offices)

The location of the house gives better life chances to me/family (good jobs, good schools, extra-curricular activities, retirement expectancies etc.)

I am satisfied with the overall quality of life here

The neighbourhood is a safe place to live

Living in this house gives a

sense of belonging

The house suits my social status

My social network around is as I expected

The surrounding area is pollution free and less

likely to damage by natural forces (e.g.; floods etc.)

I am confident that my neighbourhood

is less likely to socially degrade.

The present housing market price movement in this area is favourable for me

It is highly unlikely the land/property

prices in this area will decrease

The new housing developer's contributions

(infrastructure, community facilities etc.) coming to the community is as expected.

When the housing needs of people are

considered, I feel it is justifiable to develop these houses in an ex-green belt site.

Sustainable Housing Affordability

Housing prices vs other factors

Please report what factors you compromised with that of housing price/rent at the time of purchasing/renting the present house.

18. What factors did you consider important when purchasing/renting your property?

	Strongly agree	Agree	Neutral	Disagree	Strongly Disagree	Not Applicable
Construction quality of the house	<input type="radio"/>					
Housing layout	<input type="radio"/>					
Overall housing design and elements	<input type="radio"/>					
Housing space (inside/outside) in relation to my/our needs	<input type="radio"/>					
Transport cost and the convenience of the job	<input type="radio"/>					
Possible annual value and council tax	<input type="radio"/>					
The convenience of the housing payment methods	<input type="radio"/>					
Energy efficiency of the house	<input type="radio"/>					
Healthy conditions	<input type="radio"/>					
The level of insulation	<input type="radio"/>					

Connectivity with
the daily services

(schools, food,
market, recreation)

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Connectivity
with the
occasionally
needing services

(banks, post
offices)

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Convenience to me and
my family to have better
life chances

(accessibility to jobs,
good schools, extra
curricular activities,
expectancies at the
retirement)

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Neighbourhood
safeness

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Who are/will
be my

neighbours

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Whether the
house is suitable
for my social
status

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Surrounding
natural attractions,
pollution levels
and quality of the
environment

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Possibilities like
future natural
threats like floods
etc

<input type="radio"/>				
-----------------------	-----------------------	-----------------------	-----------------------	-----------------------

Other (please specify)

19. Do you feel you are paying a premium price for your house in receiving the items you agreed above

- Yes
- Somewhat
- No

20. However, I feel the price paid for the house is worthy

- Yes
- Somewhat
- No

21. Do you believe your children can afford a house in Dickens Heath?

- Yes
- Not so sure
- Not at all
- Other (please specify)

Sustainable Housing Affordability

Social factors influencing housing decision

Please report what factors influenced the housing decision other than your financial ability

22. Factors influenced your housing choice above

	Highly influenced	Influenced	Moderately influenced	Marginally influenced	Not influenced at all
My/My spouse's /partner's occupation	<input type="radio"/>				
My taste for things	<input type="radio"/>				
My attitude towards life	<input type="radio"/>				
My family needs	<input type="radio"/>				
My past housing experiences and learnings	<input type="radio"/>				
My identity	<input type="radio"/>				
How I see my self	<input type="radio"/>				
The sense of attachment that I built over time	<input type="radio"/>				
My life course at the time of making the housing decision (higher education, marriage, divorce, childbirth, retirement etc.)	<input type="radio"/>				
My feelings towards social	<input type="radio"/>				

embeddedness
(how far the
neighbourhood is
close to my
culture)

My kin networks

My friendship networks

My life expectations

My attitude
towards social
and

environmental
responsibility

Other (please specify

Sustainable Housing Affordability

Housing and Planning

23. Have you ever communicated your housing desires, needs, or other local issues with the following parties?

Yes

No

- Metropolitan Borough Council/neighbourhood Coordinators
- Parish Council Planners
- Developers/builders
- Other (please specify)

24. If "Yes", please describe the involvement

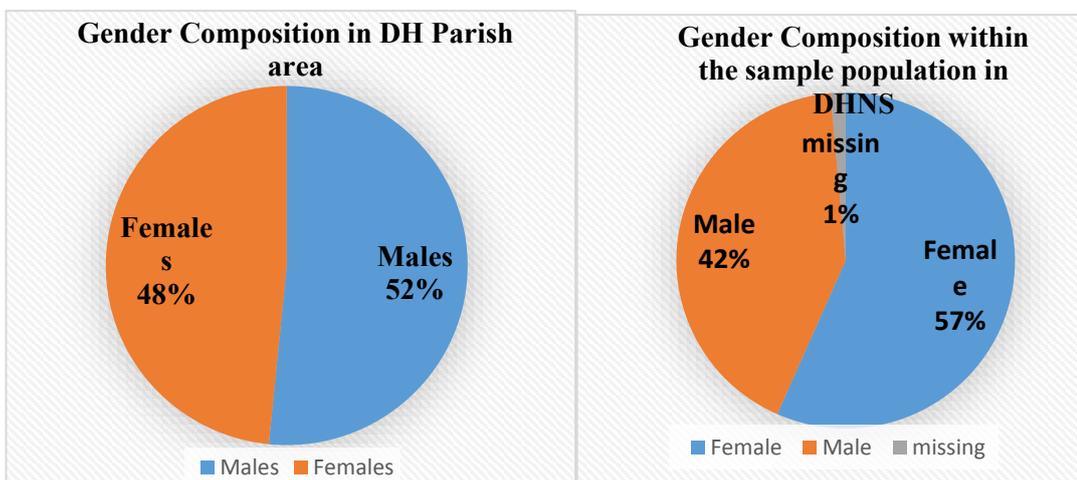
25. How would you describe the overall housing and life experience at Dickens Heath?

26. How would you describe the overall housing affordability in Dickens Heath?

27. Any issues that you wish to bring forward with regard to your housing experience in Dickens Heath?

APPENDIX VIII: SOCIO-ECONOMIC PROFILE DHNS COMMUNITY AND SAMPLE REPRESENTATION VIA QUESTIONNAIRE SURVEY

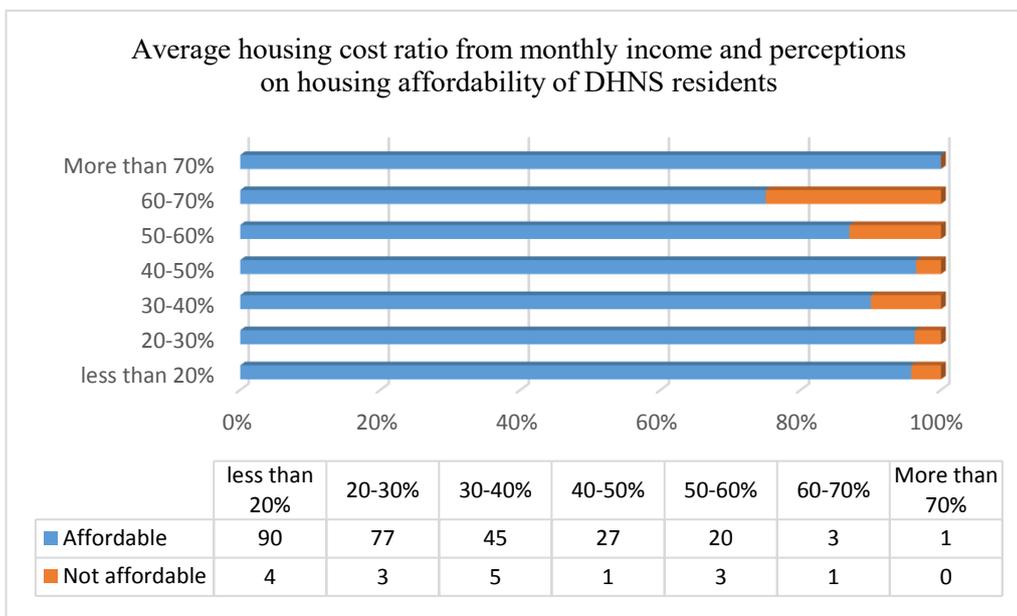
Figure I - Gender composition



Source: ONS, 2013

Source: Fieldwork, 2015

Figure II - Average housing cost ratio from monthly income and perceptions on housing affordability of DHNS residents



Source: Fieldwork, 2015

Table I - Age structure of the residents

Age group	Population (N) In DH Parish area	%	Age groups categorised in the questionnaire sample	Sample (N) in DHNS	%
Age 16 to 24	382	12.31	18-29	38	13.6
Age 25 to 34	882	28.42	30-44	99	35.48
Age 35 to 54	1397	45	45-59	90	32.25
Age 55 to 64	263	8.46	60 plus	50	17.92
Age 65 to 74	122	3.93	Missing	2	.75
Age 75 and Over	58	1.88			
All Usual Residents Aged 16 and Over in Households	3104	100		279	100

Source: ONS, 2013) and Fieldwork, 2015

Table II – Educational qualification of the residents

Educational Qualification	Population (N) In DH Parish area*	%	Sample (N)* **	%
GCSE O/L, NVG level 1-2 or equivalent or below	778	25.06	39	13.98
A level, NVQ level 3 or equivalent	420	13.53	44	15.77
Apprenticeship	76	2.45		
Degree, NVQ 4-5 or equivalent	1537	49.51	66	23.66
Professional qualifications			57	20.43
Higher degree			42	15.05
Degree/Higher degree plus professional			20	
No qualification	203	6.5		
Other (Vocational/Work-related Qualifications, Foreign Qualifications)	90	2.9	6	
Missing (could be including no qualification)	-	-	5	1.79
Total (population)	3104	100	279	100

* The number represents the highest qualification achieved

** Highest qualification of the respondent in the household

Source: ONS, 2013 and Fieldwork, 2015

Table III – Ethnic composition of the residents

Ethnicity categorisation	Population (N) In DH Parish area	%	Ethnicity categorisation in the questionnaire sample	Sample (N) in DHNS	%
White; English/Welsh/Scottish/Northern Irish/British	3157	79.08	White British	221	80.29
White; Irish and other white	215	5.39	European Union (EU)	18	6.45
Mixed/Multiple Ethnic Groups; White and the Black Caribbean	39	0.98	White Non-EU	3	1.08
Mixed/Multiple Ethnic Groups; White and Black African	4	0.10	Black- African, Caribbean British	1	0.36
Mixed/Multiple Ethnic Groups; White and Asian	56	1.40	Asian British	15	5.38
Mixed/Multiple Ethnic Groups; Other Mixed	19	0.48	Asian	11	3.94
Asian/Asian British; Indian	314	7.87	Black-African, Caribbean	1	0.36
Asian/Asian British; Pakistani	65	1.63	Other ethnic groups	6	2.15
Asian/Asian British; Bangladeshi	5	0.13			
Asian/Asian British; Chinese	33	0.83			
Asian/Asian British; Other Asian	23	0.58			
Black/African/Caribbean/Black British; African	9	0.23			
Black/African/Caribbean/Black British; Caribbean	22	0.55			
Black/African/Caribbean/Black British; Other Black	7	0.18			
Other Ethnic Group; Arab	11	0.28			
Other Ethnic Group; Any Other Ethnic Group	13	0.33			
Total	3992	100		279	100

Source: ONS, 2013 and Fieldwork, 2015

Table IV – Occupation structure of the residents

Occupation Category	Population (N) In DH Parish area	%	Sample (N)	%
Managers, Directors and Senior Officials	484	19.30	105	18.87
Professional occupation	706	28.15	116	20.75
Associate Professional and Technical Occupations	523	20.85	63	11.32
Administrative and Secretarial Occupations	265	10.57	63	11.32
Skilled Trades Occupations	132	5.26	11	1.89
Caring, Leisure and Other Service Occupations	139	5.54	21	3.77
Sales and Customer Service Occupations	132	5.26	11	1.89
The process, Plant and Machine Operatives	46	1.83	21	3.77
Elementary Occupations	81	3.23	32	5.66
Retired			105	18.87
Unemployed or unmarried/no spouse)			11	1.89
Total (All Usual Residents Aged 16 to 74)	2508	100	558	100

Source: ONS, 2013 and Fieldwork, 2015

Table V - Household tenure types

Tenure type	Population (N) In DH Parish area	%	Tenure Type categorised in the sample	Housing units Sample (N)	%
Owned; Owned Outright	301	17.13	Owner with a freehold interest	199	71.33
Owned; Owned with a Mortgage or Loan	817	46.50	Owner with a peppercorn rent	28	10.04
Shared Ownership (Part Owned and Part Rented)	25	1.42	Social rented/Shared ownership	5	1.79
Social Rented; Rented from Council (Local Authority)	17	0.97	Tenant	46	16.49
Social Rented; Other Social Rented	6	0.34	Missing	1	0.36
Private Rented; Total	574	32.67			
Living Rent Free	17	0.97			
All households	1757	100		279	100

Source: ONS, 2013 and Fieldwork, 2015

Table VI - Household composition

Tenure type	Housing units (Population N)	%	Tenure Type categorised in the sample	Sample Household (N)	%
One person household	610	34.71	One person household	31	11.11
Married couple/civil partners/co-habiting with no children	438	24.92	Married couple/civil partners/co-habiting with no children	80	28.67
Married couple/civil partners/co-habiting with children	451	25.66	Married couple/civil partners/co-habiting with children	146	52.32
Lone parent with children	118	6.72	Lone parent with children	13	4.6
Other with children	29	1.65	Other	6	2.15
Other without children	111	6.32	Missing	3	1.07
Total households	1757	100		279	100

Source: ONS, 2013 and Fieldwork, 2015

Table VII – Households by deprivation dimensions

Type of household	Number of Households in DHNS	Number of Households in Solihull	National Figures (England)
All Households	1757	86056	22063368
The household is Not Deprived in Any Dimension ³⁶	1143	39220	9385648
Household is Deprived in any Dimension (1,2,3,4)	614 (34.9%)	46836(45.5%)	12677720(42.25%)

Source: ONS, 2013 and Fieldwork, 2015

³⁶ All households in the area at the time of the 2011 Census with four of the selected deprivation dimensions. The dimensions of deprivation are indicators based on the four selected household characteristics - Employment (any member of a household not a full-time student is either unemployed or long-term sick); Education (no person in the household has at least level 2 education, and no person aged 16-18 is a full-time student); Health and disability (any person in the household has general health 'bad or very bad' or has a long term health problem.); and Housing (Household's accommodation is either overcrowded, with an occupancy rating -1 or less, or is in a shared dwelling, or has no central heating).

Table VIII - Commuting patterns of DHNS residents

Commuting place/mode	Car	Car/Taxi /Air	Car/Train /Bus	Train	Walk	Cycle	Car /Cycle	Car /Bus	Walk /Car	Home based /Car	Total
Alcester	1										1
All over UK/British Isles	9	1									10
All over West Midlands	20		1								21
Birmingham and suburbs	79		1	18		1					99
Birmingham International	1										1
Birmingham/London	1										1
Bristol/Leamington Spa	3										3
Chester	1										1
Coventry/Bedworth/Nuneaton	22										22
Derby	1										1
Donnington	1										1
Erdington	1										1
Home/Glasgow		1									1
Gloucester	1										1
Hemel Hempstead	1										1
Home/Hertford	1										1
High Wycombe	1										1
Kitts Green	2										2
Leicester	2										2
Manchester	1										1
Meriden	1										1
Nottingham			2								2

Oldbury	1									1
Home/Birmingham			1						46	47
Redditch	12					1				13
Retired/No Job									150	150
Rugby, Northampton/London	4			9						13
Saltley	1									1
Slough	1									1
Solihull region	83		1		2		1	1		88
Tamworth	2									2
Telford, Shrewsbury	3									3
Wales	1									1
Warwick	17									17
Wolverhampton	1									1
Worcester	3									3
Work local	5				6				5	16
Worldwide	2	3								5
Total										537

Source: Fieldwork, 2015

(Note: these figures include commuting patterns of every adult member of the household)

APPENDIX IX: TYPOLOGIES OF KNOWLEDGE OUTCOMES GENERATED FROM CPA OF RESIDENTS

Period	Knowledge outcomes	Classification of knowledge/outcome type
Item 01 DHNS – Early 1990’s to 1997	The development impact on the current state of ecology – social bond, thus possible environmental loss of flora and fauna (Example: protecting old oak trees, badger runs) and the impacts to privacy of resident’s everyday lives.	Knowledge of current State
	Based on the above concerns, DHNS should retain narrow road layout structure in the master plans, both as a landscape character and as a strategy to prevent DHNS turning into a rat run.	Normative knowledge
	How new development could be susceptible to future traffic, parking and congestion issues, with the connectivity of the locations.	Predicted state
Item 02 DHNS 1997-2002	How past master planning design decisions to include narrow road layout interacted with new resident’s commuting patterns and other everyday life mobility, bringing negative outcomes such as congestion, safety issues to walk and traffic issues at different locations -entry points to DHNS, areas around DHNS Primary School etc.	Outcome state/New Current State
	How likely subsequent planning decisions taken to densify the centre, recreational space reduction as a response to national planning changes like PPG 3 had been conflicting with the, (i) early planned visions – sustainable, safe, peaceful village environment in which they bought into (ii) what difficulties the future growth of village would encounter in accommodating the local demographic growth needs.	Planning societal interactions
	Roads to be widened to ease out the traffic in and out of DHNS and to make the roads safe for walking and cycling. Village clock should be put up as a neighbourhood icon and a landmark. Create a public place around that for commemorating war heroes etc. - a vision connecting the community and the neighbourhood.	Normative Knowledge
Item 03 DHNS 2003-2013	How previously planned neighbourhood designs expecting people to walk and use fewer car trips have been a failure due to narrow and unsafe road designs, Unavailability of public transport and real-life conditions of new resident’s, in terms of commuting distances, places and travel times, Echoes of HS2 but non-availability of local bus service to connect with How non-availability of bus service has aggravated the daily transport issues (children schooling etc.) Difficulties and disappointment with bear minimum actual services in the centre- doctors surgery, shops, dentists and issues faced by residents, Overgrown lawns and lack of management of public areas.	Outcome State/New Current State

	<p>Trends in increasing youth population and need for youth facilities and the area demarcated for village green should not be reduced</p> <p>Future traffic and commuting trends and the requirement for a park and ride facility at Whitlock end station and parking places for bikes,</p> <p>Trends in households work patterns and technological changes and need to establish broadband facilities,</p> <p>Trends in crime and need to establish CCTV/other security measures</p>	Predicted state
	<p>Tensions and impacts through different behavioural aspects of the community clusters in DHNS (both as residents and visitors) like, riding over and breaking kerbs, inconsiderate parking, high speed and footpath safety issues, littering anti-social behaviour</p> <p>Understanding how the changed environmental context, as a result of so far development, has increased the previous environmental context in terms of flood risk.</p>	Societal process
	<p>Role of LPA with respect to solving traffic issues,</p> <p>Flooding issues and supply of amenities to the area, highlighting the processes that LPA should follow redesigning culverts in the future development of DHNS and ways in which planning authorities should monitor the flood works.</p>	Planning process
	<p>DHNS should establish a bus service connecting Solihull that runs every hour</p> <p>Shared vision among residents, what their civic identities to be and should establish a separate parish council for DHNS,</p> <p>Shared vision on general rules (for instance, traffic rules, putting yellow lines, having traffic barriers in cul-de-sacs, speed limits within the village) that should be imposed within DHNS.</p> <p>Should build kissing gates or small bollards to minimise the traffic and parking impacts to cul de sacs.</p>	Normative knowledge
	<p>Establishing a DH parish council (a civic identity)</p> <p>Establishing a bus service to DHNS</p> <p>Establishing a GP surgery and a health clinic for DHNS</p> <p>Taking charge of the village hall, register as a charity and appoint a director board to activate that as the main community centre for the village – plans for various community activities for different age groups</p> <p>Establishing gardening clubs in DHNS to enhance the landscape aspects in island-about.</p> <p>Establishing a war memorial</p> <p>Discussion with supermarkets and other businesses to service the DHNS centre</p>	Participatory outcomes
<p>Item 04 DHNS 2014-2016</p>	<p>Monitored difficulties due to left out development parts in the centre (development site being an eyesore, adopting remaining unfinished roads, kerbs, street lighting in the centre, substandard roadworks),</p> <p>Monitored tensions to retain some of the already delivered infrastructures such as the library, shops/commercial areas in the centre,</p> <p>Residents assessment on housing price drops, difficulties in resale as a result of economic recession and a higher number of apartments in the centre,</p> <p>Monitored quality drops in the management of communal areas of apartment blocks and public areas in the DHNS centre and how actual outcomes of DHNS had been substantially deviating from its quality in character,</p>	Outcome State/ New Current State

	<p>Residents assessment of risk in existing flood prevention mechanisms (eg; balancing ponds) on safety on minors, Actual supply of infrastructure compared to what residents anticipated as per the initial plans when they bought into DHNS. Monitored increase in burglary and car crime</p>	
	<p>Trends in land supply for new housing and predictions on impacts to character and appearance of the locality, Lack of open spaces and significant vehicular movements and congestions on local networks and rural roads, Prediction on future community profile. Need for housing specially design for current and future elderly community of DHNS and amenities such as recreational facilities should cater the increasing teenage population Future flood risk and ecosystem changes in DHNS with the existing and proposed developments Local residents' preferences on plot layouts and the cul de design for new housing development in DHNS.</p>	<p>Predicted state</p>
	<p>Understanding how DHNS had been transforming into a different housing market status: expanding its previous local only connections to attract wider community from different parts of UK and abroad, thereby creating different community profiles, housing tenure, investor groups and outside visitors to obtain services from DHNS. As a result of above, what benefits/tensions it had brought to the community living – viability, littering issues, inconsiderate neighbours, drop in quality of management in rented apartments, anti-social behaviour in community areas, speedy driving etc. Understanding the everyday life impacts (having eyesore, living in a development site for a long time, dust, dirt, construction traffic, damaged roads) due to continuous housing development in DHNS</p>	<p>Societal process</p>
	<p>Understanding pros and cons of holding the DHNS centre under private ownership – lack control for LPA to retain some parts of the centre in public use. For example, public car park access was restricted by the developers by converting that into the private car park, Understanding flood zone assessment and strategy in policy and the actual flood potentials after the settlement was completed, Understanding how planning decisions to reduce the size of village green lead by policies like PPG 3 (2000), impacted present youth community, not having sufficient recreational space, Understanding failures of neighbourhood design decision on narrow country road layouts as opposed to increasing traffic pressure with increased housing developments.</p>	<p>Planning societal interaction</p>
	<p>Creating an overall development vision to DHNS and need to adopt a neighbourhood plan, How S106 funds allocated for youth facility (MUGA) should be established (location, who manages, define users etc.), Should establish a post office in the DHNS centre and expanding the Whitlock end rail station car park The vision for general rules and mechanism that should impose on DHNS - traffic and parking rules, new affordable housing to the area should consist in part of the sale – shared ownership type instead of social renting, new affordable housing should be allocated based on the local letting policy, Should increase PCSO (Police Community Support Officer) hours by police etc.,</p>	<p>Normative knowledge</p>

	<p>Local resident’s preferences for housing mix – affordable housing should be only in the DHNS centre whilst the new development in the edges should only have executive homes, proposed houses should have their gardens adjacent to existing properties and not their frontages.</p> <p>Retain oak trees of the development site, locate the drainage ponds and landscape character to the edge of existing housing, install the main gas and electric line that the existing houses could benefit</p>	
	<p>The resident’s interpretation of NPPF policies; what should be Objectively Assessed Housing Need (OAN) numbers, the role of LPA in implementing duty to cooperate, meanings of how sustainability.</p> <p>Provisions of existing local draft plan to challenge/object the upcoming medium to large-scale planning applications for housing around DHNS.</p> <p>Role of local plans to give priority to considering local needs in allocating housing numbers – both affordable and market types.</p> <p>Role of LPA to provide sufficient infrastructure prior to further allocation of housing numbers.</p> <p>Unfair justice behind granting planning permission on the ground of lack of 5-year land supply whilst having no consideration of the level of infrastructure, social and community services.</p> <p>Procedural failures in community consultation processes conducted by the LPA with respect to newly allocated sites around DHNS.</p>	<p>Planning processes</p>
	<p>Establishing Dickens Heath Resident Action group to supplement CPA process of DHPC</p> <p>Increase the usage of DHNS library- by holding DHRAG meetings, community activities, local surgeries held by local councillors for residents and other resident activities as a strategy to stop library being closed down.</p> <p>Residents who have landscaping business to sponsor the maintenance of traffic islands, whilst displaying their business name.</p> <p>Commencing discussion and obtaining necessary training for parish councillors to commence the neighbourhood plan for DHNS.</p>	<p>Participatory outcomes</p>
<p>Item 05 LSUE – 2013-2016</p>	<p>The existing resident's relationships (agricultural, recreational and mobility use) with the existing greenbelt land, Locals perception of ecological benefits/values of the green belt land, Current infrastructure issues they encounter with the existing level of population, Residents current transport network relations, Residents assessments on the effectiveness of current BCC transport related projects (Eg: Birmingham cycle revolution) in relation to the proposed LSUE development.</p>	<p>Current State knowledge</p>
	<p>Possible future trends in car usage, traffic and parking, congested nodal points, commuting patterns of residents, Future trends in school capacities and need to increase the school places Trends in the reduction of open spaces and recreation for communities, Most likely development impact for the next 17 years.</p>	<p>Predicted state knowledge</p>

	<p>The resident's interpretation of NPPF policies; what should be Objectively Assessed Housing Need (OAN) numbers, the role of LPA in implementing duty to cooperate, meanings of how sustainability, Procedural failures in community consultation processes conducted by the LPA with respect to newly allocated sites around DHNS, The role of LPA to provide sufficient infrastructure prior to further allocation of housing numbers, other local authority practices in releasing greenbelts and allocation of housing numbers.</p>	<p>Planning process knowledge</p>
	<p>Should have a green buffer between the existing settlement and new settlements to minimise the visual impacts</p>	<p>Normative knowledge</p>

Source: Fieldwork, 2015-2016

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