



A Framework Proposal for Plan Evaluation in the Context of Turkish Planning System

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Abstract

This study aims to propose a framework for plan evaluation in the context of Turkish planning system's structural characteristics. Within the scope of the study, main planning evaluation approaches (conformance-based and performance-based) were examined, and prominent evaluation methods were analyzed in detail. Then, type of planning systems and the major breaking points in changing process of planning system in Turkey are summarized. With reference to these issues, a filtered framework that can be used for plan evaluation in Turkey has been suggested. In this research, it has been concluded that the plan evaluation can be realized in three main dimensions and some sub-criteria: conformity (plan and output accordance, plan effects, relevance), rationality (internal coherence, external coherence, participation, cooperation and coordination), utilisation (guidance or direction). Although it provides an applicable framework, the suggestion does not offer a method that can be applied one-to-one for each plan. Under the rapidly changing conditions in our country, the evaluation criterion should be reconfigured in line with the features of relevant plan. It is foreseen that a basic monitoring mechanism can be created for planning institution by using the framework in this study. Also, it will provide self-evaluation opportunities for planning authorities. In this way, we believe that the success level of plans and planning system will increase. Evaluation of plan is an important research area in the international literature in terms of both qualitative and quantitative elements to be analyzed together. However, it is not yet included in Turkish planning literature. Therefore, this study is valuable as it highlights a new research area by pointing to an important gap in the national planning literature. It is thought that this study has original contributions to both theory and practice and will establish a functional bridge between them.

Keywords:

Conformance-based approach, evaluation in planning, performance-based approach, plan evaluation framework, Turkish planning system

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INTRODUCTION

After 1980, the rise of globalism and neoliberalism around the world resulted in a series of fundamental changes in economic policies, which were also echoed in the field of planning. Starting in 1980s, there has been a paradigm shift from instrumental rationality to communicative rationality. In following years, strategic plans replaced comprehensive rational plans which had been the most widely adopted planning approach since the 1950s (Allmendinger & Tewdwr-Jones, 2002; Eraydın, 2017; Ersoy, 2016a; Gedikli, 2016a, 2016b).

During this transition period, multiplicity in planning approaches and methods created a new set of issues concerning the evaluation of plan's effectiveness and functionality. Though, there has been a rise in the body of works in planning literature that raises about parameters and methods used to evaluate the success of strategic plans. According to the critiques, using same techniques and criteria that were used to assess spatial plans will not be appropriate to evaluate strategic plans (Alexander, 2006; Barrett & Fudge, 1981; Faludi, 1989; Mastop & Faludi, 1997). These critiques eventually triggered the search for new methods to evaluate the plan preparation and implementation processes. This pursuit gave rise to a series of new performance-based approaches. These approaches advocated that, when evaluating the strategic plans, the preparation processes of plans should be assessed along with implementation outcomes (Alexander & Faludi, 1989; Faludi, 2000; Oliveira & Pinho, 2009, 2010). This new era, in which the performance-based approaches accompanied the existing conformance-based approaches, coincides with the shift from comprehensive to strategic planning.

However, the case of Turkey unfolded differently. While comprehensive planning was the primary approach in planning system, project-based plans started to become more widely accepted (Eraydın, 2017). To put it differently, in current period, while the regulatory planning system continues, the concept of flexibility envisaged by the discretionary system has gained importance (Kılınç & Türk, 2018; Ozkan & Turk, 2016; Tarakçı & Türk, 2020, 2021). Sectoral plans, special-aimed plans and projects started to increase in number and diversity. So, it is possible to say that Turkey is on the threshold in the context of planning paradigm. Under these circumstances, it is open to debate on what kind of plans and what kind of techniques should be used for plan evaluation. Due to the coexistence of these two systems, it is not sufficient to evaluate the plans just in terms of consistency and compatibility within the hierarchical order. Plans prepared in same period but with different approaches should be evaluated from a holistic perspective within these two structures.

Accordingly, this study aims to provide a general framework on how plan evaluation can be done under the existing conditions in Turkey. Based on the plan evaluation techniques accepted in international literature and considering the specific features of planning system in Turkey, this frame has been formed mainly from a qualitative point of

view. But some quantitative tools are also used, especially for the conformance dimension of evaluation. It is essential to note that this study does not attempt to provide a set of questions for each plan and each settlement. Instead, it aims to create a general framework for plan evaluation in Turkey. The research question is as follows: What is the best possible method for plan evaluation in Turkey, and which materials and indicators should be used to achieve a successful evaluation?”

MAIN APPROACHES FOR EVALUATION IN PLANNING

Planning evaluation systems branch in two main approaches: conformance-based and performance-based. These two groups encompass diverse evaluation methods that vary in terms of parameters and evaluation processes. This section clarifies the basic principles of these two main approaches, and following sections investigate the parameters of empirically tested models for their applicability.

Most of the studies in planning evaluation literature argue that spatial plans should be evaluated with conformance-based methods, and strategic plans should be assessed with performance-based methods. However, the examined plan can have the characteristics of both strategic and spatial plans; therefore, the question of “what is the type of this plan?” is fundamental before starting the evaluation process (Alexander, 2009; Faludi, 2000). Faludi (1989) bases onto differences between spatial/physical and strategic plans on following characteristics: object of the plan, duration of the interaction, future prediction, time-element, form, and effect (Table 1). In his work, the author uses the term ‘physical plan’ in sense of spatial plan.

Table 1. Differences between physical plans and strategic plans (Faludi, 1989, p.139)

	Physical Plans	Strategic Plans
Object	Material	Decisions
Interaction	Until adoption	Continuous
Future	Closed	Open
Time-element	Limited to phasing	Central to problem
Form	Blueprint	Minutes of last meeting
Effect	Determinate	Frame of reference

According to Faludi (1989), the object of a physical plan is material, its future is closed, and its interaction duration ends at the plan’s approval. These plans are the detailed outcomes of a limited time frame consisting of multiple stages with limited impact. On the other hand, the object of a strategic plan is the decision, its future is open, and its interaction is continuous. Strategic plans are usually prepared as a policy document or meeting minutes and present a reference framework for the future of a settlement with a problem-focused time management system. The fundamental differences between these two types of plans require an evaluation method that fits the characteristics of concerning plan.

The conformance-based approach evaluates the level of conformity between the plan and its spatial outcomes. In other words, its concern is

whether actual outcomes comply with decisions made in planning process. Additionally, this approach also examines the external factors that impact conformity or non-conformity of the plan and its outcomes. The conformance-based approach assumes that plans' preparation and implementation process are entirely rational, and future development of cities is determined by the plans. Spatial plans act within a top-down hierarchy. Implementing these plans means that policies developed at the top are transformed into operational decisions at the bottom (He, 2015). Therefore, conformance-based approach is considered suitable for evaluating spatial plans that are predominantly focused on the realization of pre-determined and definitive goals. This approach concentrates on linkage between the plans and realized spatial development, and the core of this approach is 'compliance' and 'level of conformity' between these two parameters (Berke et al., 2006; Berke & Conroy, 2000; Laurian et al., 2004; Loh, 2011; Lyles et al., 2016).

On the other hand, performance-based approach focuses on role of the plans on urban development and the outcomes that accompany it. The main goal of this approach is to investigate whether the evaluated plan offers a frame of reference for decision-makers. Therefore, it tries to understand how differentiating goals of the sectoral plans and plans on different scales affect urban development. The performance-based approach is a well-fitting method for problem and action-focused strategic plans. Because the implementation process in strategic plans is an interactive procedure that requires the communication and an agreement of all involved actors on the goals and the actions. The main point of strategic planning method is searching for a consensus through negotiation rather than trying to fit urban development into the static design solutions (He, 2015). In performance-based approach, aim of the implementation process includes not only putting a policy into action but also multidimensional analysis of the real-world outcomes (Barrett & Fudge, 1981). That is, the process is as important as results.

When evaluating the performance of strategic plans, it is crucial to set the goals correctly. Because it is not possible to assess the success of a strategic plan as a whole. The evaluation would work better if the assessment were done with a limited cluster of goals. In performance-based approach, it is perfectly normal to observe an urban development, that does not in line with the plan. However, this does not imply the plan's failure. If the plan has a direct or indirect impact on decisions that resulted in the real-world outcome, the plan's performance can be deemed successful (Faludi, 2000). Table 2 summarizes the fundamental differences between conformance and performance-based approaches.

Table 2. Two approaches of plan evaluation (He, 2015, p.55)
-enhanced with additions by the authors-

	Conformance-Based Approach	Performance-Based Approach
Type of plan it's eligible for	Project oriented plans	Strategic plans
Planning process	Rational planning process	Communicative/participative planning process
Planning element	Elements with certainty	Elements with flexibility
Aim	Determining the level of compatibility between the plan and the actual development	Examining how the plan guides urban development in the process from its preparation to its implementation
Success criterion	If development patterns adhere to its policies and meet its objectives	Implemented if used or consulted in decision making process, no need to be strictly adhering to the actual outcome
Focus	Level of conformity	Utilisation capacity
Evaluation element	Outputs	Outcomes and effects
Evaluation method	Qualitatively and quantitatively	Qualitatively

Evaluation Methods Using Conformance-Based Approach

Evaluation methods that adopt the conformance-based approach are largely used to evaluate land use plans. In the literature, two prominent models are utilized the most: Grid-Overlay and Plan Implementation Evaluation (PIE).

Grid-Overlay Model:

This model investigates the relationship between the plan and its spatial outcomes. It is the most widely used model in evaluation of land use plans (Brody et al., 2006; Loh, 2011). This model is entirely quantitative, and it aims to measure which decisions are in line with the plan and which are not (Talen, 1997). To do this, Grid-Overlay model uses Geographical Information Systems and various mapping techniques including morphologic analysis and SWOT analysis etc.

The Grid-Overlay is modeled as five steps (He, 2015):

1. Describing a classification for the level of conformity; the outcomes in line with the plan, the missing implementations, the products that entirely deviate from the plan, etc.
2. Determining indicators to use in evaluation process; indicators for urban functions (ratio of residential area, green spaces, etc.)
3. Comparing spatial outcomes with the indicators determined in previous step
4. Combining findings with the classification decided in first step (congruent outcomes, missing outcomes, non-congruent outcomes, etc.)
5. Assessing factors that affected the plan implementation processes in the light of findings of analysis

Grid-overlay model not only analyses the conformity level it also tries to identify the potential effects that impact it. Its critiques usually focus on the fact that the model is entirely quantitative and concentrates only

on physical outcomes (Brody et al., 2006; Laurian et al., 2004). Another shortcoming of this model is that it fails to explain how much time is needed to realize the plan, in other words, how much time should pass after the plan's approval.

Plan Implementation Evaluation (PIE) Model:

Like Grid-Overlay, the PIE model is also used to assess land use plans. Developed by Laurian et al. (2004) as a critique of Grid-Overlay model, PIE argues that conformance-based models should not be limited to evaluating the physical outcomes. In addition to evaluating conformity between the plans and their outcomes, this model suggested new materials such as "permitting decisions" to evaluate the success level of plans.

PIE model has two dimensions: (1)breadth and (2)depth (Laurian et al., 2004). The breadth of implementation indicates the diversity of its policies. This evaluation compares decisions that are never implemented with those that are implemented at least once. The depth of implementation indicates the conformity of implemented decisions to the methods laid out by the plan. Depth is measured by the ratio of implemented plan decisions with at least one technique.

PIE model also has five main stages (Laurian et al., 2010):

1. Determining the parts of plan that will be evaluated and the evaluation is only done by focusing on one aspect of the plan
2. Taking the policies and techniques as the main object of evaluation
3. Choosing the material for evaluation (permit, etc., building licenses) and deciding which techniques and implemented policies will be used for each material
4. Assessing the relationship between plan, techniques, and materials
5. Measuring the breadth (the ratio of implemented policies and the depth (the ratio of implemented policies for each material) of the implementation

PIE model describes an analysis setup based on the plan, decisions, permits, and outcomes. The critiques of this system argue that PIE uses an equal weight method when evaluating policy diversity and ratios. It also evaluates the situations via permits and documents and does not suggest on-site monitoring, and by doing so, it pushes the spatial outcomes into the background. Even though PIE is a conformance-based model, it offers a qualitative evaluation approach and important that it has been empirically tested (Berke et al., 2006; Berke & Conroy, 2000; Lyles et al., 2016).

The conformance-based models' stages can be summarized as (1)classifying the level of conformity, (2)determining the material of analysis (spatial outcomes, permits, building licenses, etc.), (3)comparing the plan with analytical material, (4)explaining the reasons behind the non-conformity. These models have well-defined and applicable steps. However, they fall short in analyzing complex systems, interactions, and uncertain situations (Barrett, 2004).

Evaluation Methods Using Performance-Based Approach

Performance-based models are mainly used to evaluate strategic plans. These models do not require the project to be implemented entirely before evaluation. Moreover, it is believed that trying to implement a plan fully might not produce the best possible result, and the aim should not be the mere physical implementation of plan (Mastop & Faludi, 1997). According to these models, the higher level of conformity between plan and outcome does not mean that plan is successful. The plan's performance is more about reaching realistic goals than fitting into a limited set of criteria.

The changing conditions in the world make it hard to define a linear planning process that starts with policies and ends with actions. It is essential to see the implementation as a process where the policies and the actions run together. It is a negotiation process that goes on between policymakers and actors who will be affected by those policies (Barrett & Fudge, 1981). The strategic plans, which welcome uncertain developments and don not strictly define the future urban development, are prepared with a flexible approach. Therefore, in evaluation of these plans, the level of conformity is seen as less important in terms of the plan's success.

In performance-based models, the primary concern is how the plan is used as a reference in urban development process. The interaction between policymakers and practitioners focuses on communication, negotiation, and consensus. In other words, the consensus is valued more than conformity. While conformance-based models concern with concrete outputs, performance-based models are interested in results. Complete conformance is not sought after in these models. There are two main models in this approach, which are empirically tested: "Policy-Plan-Program-Project (PPPP)" and "Plans, Processes, and Results (PPR)."

Policy-Plan-Program-Project (PPPP) Model:

This model was developed by Alexander and Faludi in 1989. It emerged from a need for a new model for plan evaluation after strategic plans became widely accepted in 1980s. The main concern of this model is how the evaluated plan guides the urban development processes.

The PPPP model has five main stages (Alexander & Faludi, 1989):

1. Conformity: The notion of conformity is still essential, and it is the starting point for the evaluation.
2. Utilisation: Examining the plan as a guidebook in operational decisions.
3. Rationality: Analyzing the rationality of planning process with consistency, information, and participation criteria.
4. Optimality ex-ante: Evaluation of strategies and actions recommended by the PPPP model to see whether they are optimal in terms of the plan preparation decision making.
5. Optimality ex-post: Evaluating the optimality of strategies and actions recommended or adopted by the PPPP model in terms of the

values, goals, options, limitations, observed outcomes, impacts, and unexpected results.

In PPPP model, policies, plans, operational decisions, and spatial outcomes are evaluated by a series of questions (Table 3).

Table 3. Evaluation criterion and questions of PPPP model (Alexander & Faludi, 1989, pp.136-137)

CRITERION AND QUESTION	CONDITIONAL RESPONSE AND/OR EVALUATION
1. CONFORMITY	
1.1. Do policy-plan-programme-project (PPPP) outcomes or impacts conform to PPPP instructions or projections?	If yes, go to 1.1.1 If no, go to 2
1.1.1. Is conformity complete or partial?	If complete, go to 1.2 If partial, go to 1.1.2
1.1.2. Is degree of partial conformity significant in terms of impact on the relevant (socioeconomic, physical, built) environment?	If yes, go to 1.2 If no, go to 1.1.3
1.1.3. Is partial conformity so limited as to be almost negligible?	If yes, PPPP rates negative; go to 2 If no, disaggregate policy or plan evaluation into more conforming and less conforming parts and go to start for each separately
1.2. Does PPPP have a significant directive function (that is, is it more than a projection of practices, procedures, or trends that would have occurred without the respective PPPP, and is it more than a collage of other PPPPs)?	If yes, PPPP rates positive; assume that PPPP has been used; but it can still be evaluated for rationality and optimality; go to 3 If no, PPPP rates negative, in spite of conformity due to absence of directive function
2. UTILISATION	Since response to 1 indicates nonconformance, explore reasons for nonconformance with utilisation or nonutilisation; go to 2.1
2.1. Was the PPPP used or consulted in making operational decisions involved in the development or implementation of this or other PPPPs?	If no, go to 2.2 If yes, PPPP rates positive, but may still be assessed for rationality and optimality; go to 3
2.2. What was (were) reason(s) for nonconformance or nonutilisation?	
2.2.1. Change in decisionmakers?	If yes, go to 2.2.2 If no, go to 2.3
2.2.2. Could this change have been anticipated, or could the PPPP have incorporated flexibility or adaptability to respond to such a change?	If yes, PPPP rates negative, but may still be assessed for rationality and optimality ex ante; go to 3 If no, go to 2.3
2.3. Change in decision situation?	
2.3.1. Caused by (a) objective changes in environment, phenomena, trends? (b) perceived changes in environment, phenomena, trends? (c) changes in societal or organisational values, goals, objective? (d) changes in available means, resources, strategies, technologies?	If yes, go to 2.3.2 If no, PPPP rates negative but may still be assessed for rationality and optimality ex ante (go to 3); reasons for nonutilisation in absence of change may be found in these assessments
2.3.2. Could the change(s) in the decision situation have been anticipated or allowed for in the PPPP (for example, through prediction, flexibility, adaptability, potential for revisions, etc.)?	If yes, PPPP rates negative, but may still be assessed for rationality and optimality; go to 3 If no, PPPP rates neutral; go to 3
3. RATIONALITY	PPPP can always be evaluated for rationality; go to 3.1
3.1. Consistency: are the provisions of the PPPP internally logical, compatible, and	If yes, go to 3.2

consistent with its goals, objectives, premises, and analysis?	If no, PPPP rates negative, but may still be evaluated for information and participation; go to 3.2
3.2. Information: does the PPPP incorporate and use the best data, technology, information, methods, and procedures that were available in the context and at the time of the PPPP's preparation and development?	If yes, go to 3.3 If no, PPPP rates negative, but may still be evaluated for participation; go to 3.3
3.3. Participation: did all relevant groups, interests, organisations, institutions, social units, and individuals participate in the preparation of the PPPP and in making critical decisions? Do these decisions and the PPPP in general reflect the weighted aggregate of affected groups?	If yes, go to 4 If no, PPPP rates negative, but may still be evaluated for optimality; go to 4 (Note: negative responses to these questions, when questions 2.2 or 2.3 received negative responses too, may offer reasons for nonconformity to or nonutilisation of the PPPP)
4. OPTIMALITY EX ANTE	PPPP can always be evaluated for optimality ex ante; go to 4.1
4.1. Was the recommended or adopted strategy or course of action in the PPPP optimal (that is, the 'best') in the light of the decision situation prevailing at the time of the PPPP's preparation and development?	If yes, PPPP rates positive; go to 5 If no, go to 4.2
4.2. Did the PPPP rate positive on the rationality criterion?	If yes, go to 3 and reassess If no, PPPP rates negative; go to 5
5. OPTIMALITY EX POST	PPPP can always be evaluated for optimality ex post; go to 5.1
5.1. Was the recommended or adopted strategy or course of action in the PPPP optimal (that is, the 'best') in the light of present analysis: perceived values, goals, objectives, options, constraints and observed outcomes, impacts, and unanticipated consequences?	If yes, go to 5.2 If no, PPPP is rated neutral; failure is not due to PPPP but to different values, options, constraints, impacts, etc., recognised in hindsight
5.2. Did the PPPP rate positive on the test of optimality ex ante?	If yes, PPPP rates positive If no, then this is a freak result which may be caused by post-PPPP value changes or unintended or unanticipated positive effects; assess for possible implications for future
5.3. Did PPPP rate positive on the rationality criterion?	If yes, PPPP rates positive If no, go to 3 and reassess

PPPP model offers a flexible model with the evaluation criteria and its recommended questions enable the evaluation of a plan that does not have well-defined goals and is realized in uncertain conditions. It establishes a connection between plan and outcomes through the plan's role and its guidance through the urban development process. This model argues that making an evaluation is possible without a direct link between conformity and performance. The non-conformity does not mean low performance. This method chooses to evaluate the process rather than the outcome.

While the planning transitions from comprehensive paradigm to communicative paradigm, the PPPP model took an important place in planning evaluation literature due to its adaptability to the characteristics of different plans and the structural conditions of system. PPPP model with its performance-based approach adapts to different aspects of evaluation and becomes a solid reference model for empirical works.

Plans, Processes, and Results (PPR) Model:

PPR Model was developed by Oliveira and Pinho in 2009, as a method of performance-based evaluation. The main criteria of PPR are as follows: external coherence, plan utilisation, commitment of resources, participation, planning effectiveness, internal coherence, planning system, relevance, and direction (Oliveira & Pinho, 2009, 2010). Regarding each of these criteria in PPR model; methodology including the object of assessment, the evaluation technique, and the material are summarized in Table 4.

Table 4. Methodology of PPR model (Oliveira & Pinho, 2009, pp.40-41)

SPECIFIC CRITERIA	EVALUATION SUBJECTS	SUB-CRITERIA	EVALUATION TECHNIQUES/DATA SOURCES
Internal coherence	Plan	Relationships between the objectives and the land uses of the plan Relationships between the objectives and the urban systems of the plan Relationships between the objectives and the plan implementation mechanisms	Reading of plan Impact matrices (different plan proposals)
Interpretation of planning system	Plan Planning system	Interpretation in terms of form (checklist) Interpretation in terms of substance	Reading of the plan and of the framing law-decrees
Relevance	Plan City	Relationships between the needs of the city and the objectives of the plan Relationships between the needs of the city and the land uses and urban systems Relationships between the needs of the city and the plan implementation mechanisms	Reconstruction of the baseline situation SWOT analysis Impact matrices (plan proposals – city needs)
External coherence	Plan Other plans	Relationships in terms of objectives Relationships in terms of territorial model Relationships in terms of implementation	Reading of the plan and of other plans for that territory
Participation in plan making	Plan City users	Quantity of citizens' written comments Quality of citizens' written comments Promotion of public participation by the local authority	Reading of the plan (particularly its participation reports)
Plan utilisation	Plan Planning process Political power	Influence of the political power in the plan, as well as in other planning products, processes and structures Influence of the plan and of the planning practice in the political power (discourses, programmes)	Reading of the different versions of the plan (during the period of its preparation) Interviews Reading of newspapers
Commitment of resources	Planning process (Human, financial) resources	Evolution of the availability of resources Type of resources available	Reading of other official documents prepared by the local authority (municipal budgets, activity plans) Interviews

		Relationships between planning performance and utilisation of resources	
Participation during plan implementation	Planning process City users	Quantity of citizens' written comments Quality of citizens' written comments Promotion of public participation by the local authority	Reading of lower level plans (particularly their participation reports)
Effectiveness	City Planning process Development control Plan	Development of the plan through urban development plans and detailed plans Development of the plan through urban design projects Plan guidance in the process of development control	Reading of the plan and of lower level plans Cartographic analysis Field work Analysis of planning permits
Direction	City Planning process Development control Plan	Plan impact on demography Plan impact on transports and mobility Plan impact on housing Plan impact on economy	Reading of the plan Statistical analysis Cartographic analysis Field work Interviews

Like PPPP model, the PPR model offers a unique model based on performance-based approach and can be used for evaluation of strategic plans. It is one of the important models in the literature in terms of clearly defining the principles for plan evaluation and proposing a comprehensive measurement and evaluation technique. With the methodology offered by this model, two plans in Lisbon and Oporto were evaluated. The fact that it was used by its developers to measure performance in an empirical study is important in terms of demonstrating the applicability of the model. Although the criteria presented in this model are numerous and diverse, and even enable a comprehensive assessment of success level of the plan, they show a repetitive characteristic in terms of content and suggested measurement technique.

In summary, performance-based methods are used to evaluate strategic plans. There is no search for certainty, the emphasis is on processes, decisions, actions, and consensus among actors. Therefore, it can be said that performance-based approaches are more compatible with the current paradigm of current period.

STRUCTURAL CHARACTERISTICS AND CHANGE OF TURKISH PLANNING SYSTEM

Planning systems are generally divided as regulatory and discretionary systems. In regulatory systems, the basic principles are hierarchy and certainty, while in discretionary systems the concepts of horizontal-vertical subsidiarity and flexibility are prominent (Rivolin, 2008; Steele & Ruming, 2012). The main differences between these systems are indicated in Table 5.

Table 5 Two models of planning systems (Rivolin, 2008; Steele & Ruming, 2012)

	Regulatory planning systems (conforming systems, plan-based systems)	Discretionary planning systems (performing systems, project-based systems)
Principles	Hierarchy	Vertical and horizontal subsidiarity
Advantages	Certainty	Flexibility
Disadvantages	Rigidity	Discretion
Role of plan	Regulative	Strategic
Function	Implementation	Application
Scale	Local	Regional, national, supra-national
Examples	USA, almost all European countries	UK, Ireland, New Zealand, Australia etc.

The Turkish planning system is theoretically shaped according to regulatory planning system (Ozkan & Türk, 2016). However, especially after 2000s project-based approaches are gaining weight and there is a tendency towards flexibility in planning system (Ozkan & Türk, 2016; Tarakçı & Türk, 2020, 2021). This situation reveals a dichotomy in which there is a definite hierarchical order on the one hand, and on the other hand this structure is flexed with various arrangements. Ozkan & Turk (2016) expresses the factors that shape flexibility in Turkish planning system as follows: special-aimed laws, plan revisions, plan amendments, plan notes, preliminary project implementations, and special planning agreements. The hybrid system creates some problematic areas in planning practice (Kılınç & Türk, 2018). Because the use of these tools in planning system creates uncertain conditions, ignores the principle of accountability, and expands the discretion of decision makers (Tarakçı & Türk, 2020, 2021).

After mentioning the general features of planning systems above, it is necessary to examine the Turkish planning system from a historical perspective. There have been periods when significant changes were made in who owns the planning authority and in plan types through a series of legal and administrative regulations. After the transition to planned development period in 1960s, four most important breaking points that radically changed the planning system. These issues can be listed as: (1) Reconstruction Law no.3194 (came into force in 1985), (2) establishment of the Ministry of Environment and Urbanization (Decree-Law no.644 in 2011), (3) Regulation for the Preparation of Spatial Plans (came into force in 2014), (4) transition to the Presidential System of Government (Presidential Decree no.1 in 2018). Nevertheless, legal and administrative changes are not limited to these four regulations. Today, interventions made both through changes in regulations and decrees are still the most important problem areas of planning discipline. In this part of the article, the main regulations affecting planning system are discussed chronologically in the context of planning authority and hierarchy.

When the regulatory planning system was the dominant approach in planning, Reconstruction Law no.6785, which was in effect from 1956 to 1985, defined a planning process in which the plans were prepared by municipalities and approved by central government. During this period,

the ministry has authority to control the process. It can approve the plans without changes, approve them by changing, or send them back to the municipality to make necessary changes (Özdemir Sönmez, 2017). However, though the municipalities had authority to prepare plans, they left plan preparation process to the Bank of Provinces, since they did not have required institutional capacity at that time. In other words, the plans were developed in Ankara by proxy and the influence of local governments on planning process was quite limited. The structure of this system was almost completely centralized, and municipalities had only the role of implementers of plans (Enlil et al., 2020; Özdemir Sönmez, 2017).

Until 1980s, a top-down, closed-ended, comprehensive, regulatory, and entirely centralized system dominated the planning system in Turkey (Enlil et al., 2020). Nevertheless, after the neoliberal policies gained influence worldwide, the transformation of planning system accelerated as well. As the economy was directed by free market and its social and spatial reflections required a fundamental change, planning as an institutional practice was not able to keep up and eventually the need for new regulation mechanisms arose (Eraydın, 2006). The Reconstruction Law no.3194, which came into force in 1985 and is still in effect, was an important turning point in spatial planning legislation in terms of delegating planning authority to the local.

This law enabled the process in which the authority to make and approve the development plans was given to local municipalities within the boundaries of municipality and municipal adjacent area. And the authority to make plans outside of these zones is transferred to the Special Provincial Administration (Reconstruction Law no.3194, 1985). This change in the law increased the emphasis on localization and local governments became legally important actors in planning process. On the other hand, many areas were given a special status, and the right to plan these areas was transferred to various institutions of central government. Excluding local governments from the planning process of the special status areas resulted in fragmented legislation and spatial development shaped by fragmented plan decisions. (Özdemir Sönmez, 2017).

One of the first regulations that limited the jurisdiction area of local governments was Encouragement of Tourism Law no.2634 in 1982. With this law, the authority to make spatial plans in tourism regions passed to the Ministry of Tourism. This regulation bypassed the planning process to accelerate the development of tourism sector and facilitate tourism investments (Enlil et al., 2020). This model started with tourism sector and spread to other sectors in following years. A series of laws and regulations exempted from the Reconstruction Law and thus institutions that were equipped with some privileged planning authority in industry, conservation, environment, privatization, agriculture, housing, and many other sectors mushroomed one by one (Duyguluer, 2014). The piecemeal authorization of multiple actors in central government gradually decreased the role of local authorities and the central government

continued to keep majority of the power in planning process. Similarly, with the Mass Housing Law that came into force in 1984 and the establishment of Mass Housing Administration, the planning of the privileged areas passed to this institution, which was also an actor of central government. The situation resulted in exclusion of the local authorities from the planning decisions regarding the planning of residential areas (Enlil et al., 2020).

Examples of this fragmented planning approach can be multiplied. Institutions and organizations affiliated with the central government have authority to prepare and approve approximately 15 types of spatial plans (Özdemir Sönmez, 2017). Even though the localization rhetoric became the prominent discourse in the past decade, the planning system in Turkey continued to operate with a top-down approach (Enlil et al., 2020). Additionally, as stated in an OECD report, there are vertical and horizontal coordination problems among institutions that affect the healthy functioning of planning system in Turkey (Silva & Acheampong, 2015). All in all, in 1980s the concepts such as participation, negotiation, cooperation, and flexibility required by the communicative paradigm, could not find their way into planning agenda of the country.

Starting in 1980s, the regulatory function of planning system gradually dissolved and gave way to a more facilitating role and public-private partnerships, in which eventually private sector took the lead in planning (Öktem, 2006). This situation became more visible in 2000s. The special-aimed laws that emerged in this period paved the way for large-scale urban projects (Uzun, 2017). For example, with the Law no.5162 entered into force in 2004, Mass Housing Administration was given the authority to carry out transformation projects in urban slums. This regulation enabled the areas that are owned by the government converted into private property (Boratav, 2015). These changes resulted in a fundamental transformation of planning institution, as it gradually abandoned its holistic approach and regulatory function, and cities around the country were shaped by project-based interventions (Kahraman, 2021).

The most important institutional change in post-2000 period was the establishment of Ministry of Environment and Urbanization in 2011. In the founding decree, responsibility of the ministry is defined as “defining basic principles, strategies, and standards for all types and scales of spatial plans and overseeing their implementation” (Decree-Law no.644, 2011). The rights that are granted to Ministry of Environment and Urbanization were not limited to this. In addition to role of policymaking, strategy development, guiding and supervising local governments, they also have the authority to issue construction and occupancy permits for buildings for which construction permits are denied by the municipalities for a certain period (Özdemir Sönmez, 2017). Therefore, the planning authority that was gradually transferred to local governments in the past three decades has been re-centralized again with establishment of the ministry in 2011.

The foundational element of spatial planning is the principle of “planning hierarchy” among plans on different scales that guide and supervise each other (Ersoy, 2000, 2016b; Ozkan & Turk, 2016). This hierarchical structure, which consists of successive plans, is defined in Reconstruction Law no.3194, with the statement “The plans are prepared as ‘Regional Plans’ and ‘Reconstruction Plans’, and reconstruction plans as ‘Local Land Use Plans’ and ‘Detailed Local Plans in terms of the area they cover and their purpose.” (Reconstruction Law no.3194, 1985). However, spatial strategy plans and upper-level land use plans, which sit at the top of planning hierarchy, are not mentioned in the 6th article of the law explaining planning stages (Ersoy, 2016b).

The plans that contain the most abstract and large-scale information on a national and regional level are called ‘Spatial Strategy Plans’ and sit at the top of the hierarchy, 1/1000 scale Detailed Local Plans are located at the bottom. In between, there are Upper-Level Land Use Plans and Local Land Use Plans (Ersoy, 2000, 2016b). In addition to these plan types, there are complementary plans mentioned in the law such as revision plan, additional development plan etc. Furthermore, additional tools such as plan amendments have also been defined and they became a staple in cases where inflexible spatial plans were not able to meet the needs of dynamic structure of cities in the long run (Ersoy, 2000). On the other hand, special areas and privileged institutions continued to be established through new laws and regulations top-down when conflicting issues emerged.

If they comply with the main principles and decisions made by the upper-scale plans, changes can be made in the lower-scale plans to respond to changing conditions and requirements of the urban space. The main parameter in the evaluation of congruence among plans is whether the land use type determined by the upper-scale continues to be the dominant land use type despite all diversification in the lower-scale plans (Ersoy, 2000, 2016b). However, while there are laws in place that allow various upper-scale plans to be made, there are also several legal regulations that disregard the plan hierarchy and create new plans above all other plans (Duyguluer, 2006). The places and types of plans created by various regulations are not clearly defined in the hierarchy of plans. Moreover, the authority to realize these plans is distributed among various institutions of central government. The influence of the upper-scale plans in terms of guiding the spatial development was gradually lost and a flexible structure formed by standalone projects has emerged (Özden, 2013). The number of institutions equipped with the planning authority and the diversity in plan types continued to increase, and confusion and complexity of the system deepen. Insomuch that, a study dated 2006 shows that there are 56 different plan types and 8 different scales that result in a fragmented planning system with 18 institutions authorized to make plans (Duyguluer, 2006).

In 2014, the “Regulation for the Preparation of Spatial Plans”, which was prepared in accordance with Reconstruction Law no.3194 and

Decree-Law no.644, entered into force. This document encompasses detailed explanations about the definitions of plans, plan hierarchy, general planning principles, the scope and the elements of plans, stages, and the techniques used in planning (research, threshold analysis, standards, plan report, legend techniques, etc.), plan documents, plan revisions and amendments, distribution, monitoring and examination of the approval, suspension, and objection processes (Özdemir Sönmez, 2017). The by-law covers all the processes and procedures regarding preparation, examination, approval, and enactment of strategic plans, upper-level land use plans, local land use plans, detailed local plans, conservation plans, integrated coastal area plans, and urban design projects.

This regulation added a new level called 'spatial strategy plan' to the planning hierarchy and authorized the Ministry of Environment and Urbanization to prepare and approve this plan. The spatial strategy plan positioned at the top of hierarchy is a binding document for upper-level land use plans that are under the jurisdiction of metropolitan municipalities and special provincial administrations in non-metropolitan provinces (Enlil et al., 2020). This last move made it evident that in the past decade, the authority of local governments became even more restricted and the power of making spatial plans is gathered at the ministerial level (the name changed to the Ministry of Environment, Urbanization and Climate Change in 2021), and thus the planning system became highly centralized again. The planning system in Turkey becoming more and more top-down makes it almost entirely impossible to establish a bottom-up monitoring and feedback mechanism (Sezgin & Erkut, 2020).

Authorized institutions for preparation of regional scale plans in Reconstruction Law no.3194 have also changed over time. With Decree-Law no.641, which entered into force in 2011, the State Planning Organization was closed, and the Ministry of Development was established. Regional Development Agencies, under the Ministry of Development, are authorized to make regional plans. However, the Regulation for Preparation of Spatial Plans, which came into force in 2014, does not contain the 'regional plan' as a level in planning hierarchy (Özdemir Sönmez, 2017). Therefore, the new regulation does not define a direct relationship between spatial strategic plans and upper-level land use plans. This development renders the crucial regional scale, that links the country-level plans to local plans, undefined (Sezgin & Erkut, 2020), and creates disharmony in hierarchical system of planning.

The last main alteration in Turkey spatial planning system is the transition to Presidential of Government in 2018. With this administrative change, the planning authority was transferred to the units affiliated to central government, thus the planning power and influence of local governments has decreased (Büyükcivelek, 2022). Although a centralized structure has emerged within the Presidency, the authority to prepare and approve plans at various levels has been

distributed to more than one ministry. It is not clear how the coordination between these institutions will be ensured (Dinçer, 2022).

Dinçer (2022) discusses the effects of new system on planning field over the following four topics. Firstly, planning policy has been replaced by policy planning through the established Policy Boards. Secondly, the number of privileged statuses has increased by the President's decisions about crucial facts such as urgent expropriation, identification of sensitive areas to be strictly protected, declaration of risky areas etc. Thirdly, local government became subordinate to the central government. As a result of hegemonic attitude of central government, values such as sharing of authority and responsibility in management, coordination, and joint decision making have been ignored. Also, it constitutes an obstacle to the services and investments of metropolitan municipalities. Lastly, with the reorganization of public sector on the axis of marketization, the government's disregard for public interest has become more apparent.

All these crucial changes show why it is difficult evaluating the level of success of a plan in Turkey's planning system. In other respects, it is evident that there is a need for a well-defined and feasible method that can partially compensate for the deficiency in monitoring and evaluation of urban planning in Turkey. Even in this complex planning environment, the hope for drawing a general framework for plan evaluation is not completely lost. To this end, the following section contains the methodological approach, criteria, main questions, and research materials of the evaluation process we propose.

PROPOSED FRAMEWORK FOR THE PLAN EVALUATION IN TURKEY

Methodological approach of the study is based on two issues: main evaluation methods coming from international literature and the major problems or distinctive vulnerabilities of national planning system. The evaluation criteria determined by filtering in line with the needs of current planning conditions are shown in Table 6. It was concluded that the plan evaluation in Turkey should have three pillars as (1)conformity, (2)rationality, and (3)utilization which will be explained in detail below.

Table 6. Reasoning of evaluation criteria -produced by the authors-

Dimension	Sub-criteria	Why is it important for plan evaluation in Turkey
CONFORMITY	Plan and output accordance	After the plans are approved, how and to what extent they are implemented in practice is not monitored, so there is such a need.
	Plan effects	There is a mechanism that evaluates the effects of plans before implementation with tools such as Environmental Impact Assessment. But there is no legal regulation that evaluates the post-implementation effects of plans.
	Relevance	Whether the plans are suitable for the needs and specific conditions of the planned area should be evaluated in line with the planning principles.
RATIONALITY	Internal coherence	The primary element that makes a plan successful is its consistency within itself.

	External coherence	A plan must be consistent with spatial plans within the hierarchical structure and must be integrated with other strategic plans prepared for the same area.
	Participation	Participation is defined as an obligation in Turkish planning legislation just in conservation plans. However, since the communicative paradigm is dominant today, the success level of a plan is directly related to the functioning of participation mechanism.
	Cooperation and coordination	There is a distribution of authority both between the central and local government and among the central government's own units. Also, there are more than one institution authorized for the same area. For these reasons, cooperation and coordination should be ensured appropriately and these processes should be controlled.
UTILISATION	Utilisation	Decisions of strategic plans regarding the planned area are expected to guide spatial plans. But the link between strategy documents and spatial plans is not strong enough in Turkey.
	Reasons of non-utilisation	If strategy documents or plans do not have a directive role on spatial decisions, they do not serve their purpose. The reasons for this should be questioned.

The evaluation should contain components related to (1)the plan itself, (2)the planning authority (planner), and (3)the object of plan that is “the planned” (environment, area, sector, etc.) (Figure 1). The relationship between these components also needs to be investigated. The sub-dimensions of conformity, rationality, and utilisation will become the tools to understand the relationality of components mentioned above.

While explaining the ‘plan’ element, it should first be stated that there are two stages of plan in Turkey’s planning system in the context of planning hierarchy. The first stage is named “upper-level plans” which are composed of Spatial Strategy Plan as thematic plans and followed by Upper-Level Land Use Plan which is prepared for the basin or only one or some provinces at least. The second stage is called “reconstruction plans” consist of Local Land Use Plan and Detailed Local Plan.

On the other hand, there are “special-aimed plans” focused on ‘specific themes’ and ‘planning authority’ such as conservation site, tourism master plans, integrated coastal areas plans etc. It carries great importance that these plans are evaluated in terms of their hierarchical order, types, purposes, and roles in the planning system. Even so, it can be said that the hierarchical relations between plans are the most remarkable indicators for evaluation in Turkish planning systematic within the context of national legislation, the law no.3194 on land development planning.

The ‘planner’ aspect (i.e., the planning authority), signifies the institutional context in which planning is practiced, that is the institution and the authority evaluated plan was prepared by, such as ministerial-level authorities, provincial and district organizations of central government, metropolitan municipalities, and other provincial and district municipalities. It is important to identify the overlapping and conflicting decisions that stemmed from different plans prepared for the same area that point out some institutional conflicts.

The ‘planned’ environment/area/sector should be evaluated in terms of the hierarchy of plan and the role assigned to planning object within the planning system. If the evaluation object is a spatial plan, its impact on the plan area and the conformity of the plan to the needs and characteristics of the area should be considered. For example, if the plan is prepared from a sectoral point of view, the evaluation should touch upon the sector’s future development rather than spatial outputs. The following sections explain how the evaluation can be carried out in line with these three components.

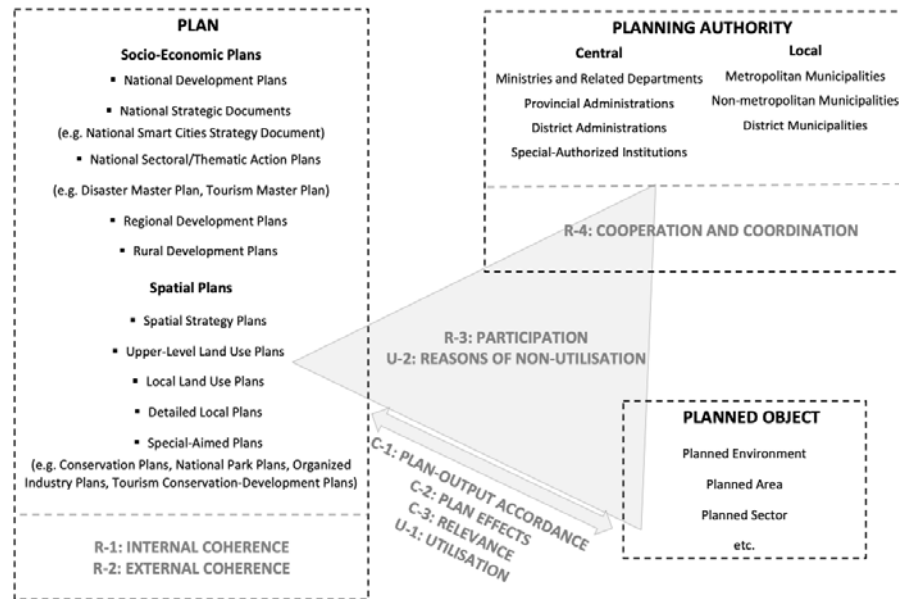


Figure 1. Evaluation framework proposed by the authors

Conformity

The conformity dimension of plan evaluation aims to determine the consistency between the subject of plan and its outcomes and impacts. The multifaceted and complex planning system that operates in the interface of strategic and spatial plans in Turkey, especially with developments in the past two decades, deems it necessary to start the evaluation with conformity.

Even though the global literature argues that a conformance-based approach should not be the primary method to evaluate strategic plans, the unique case of Turkey requires the investigation of whether the realized outcome is compatible with the plan decisions. For such an evaluation, in addition to comparison through the superimposition of plan and outcome, the process should be analyzed whether the goals were hit, even they were not realized exactly as they were described in the plan. What matters is that the results are in parallel with the principles and objectives envisioned at the beginning of planning process rather than the plan decisions. Therefore, during the evaluation of plan, not only the congruence between the plan and its spatial outcome but also the plan and the externalities it creates should be examined. In this respect, the following three questions should be answered.

a. Is the realized outcome compatible with the plan? To what extent did the projections of the plan come true? (Analyzing the relationship between the plan and its outcomes) - *coded C1 in Figure 1*

b. What are the positive and negative effects of the realization of the plan? (Analyzing the relationship between the plan and its effects) - *coded C2 in Figure 1*

c. Does the plan respond to the needs of the planned area? (Analysis of how well the plan responds to the requirements of planned area) - *coded C3 in Figure 1*

The main materials of conformity between the plan and its outcomes are the main objectives of the plan and the realized situation in target year of the plan. So, the goals of plan should be examined under certain categories (physical/spatial goals, economic goals, social goals, etc.), to the extent to which these goals were achieved quantitatively and spatially. Although the indicators such as employment, population, density, and reconstruction conditions are quantitatively compatible with the goals of plan, there could be some discrepancies in terms of the spatial distribution of these indicators. Therefore, the plan should be evaluated if it reached goals in terms of numbers with the help of statistical data and if the spatial distribution of functions is in line with the original plan.

In the analysis of the relationship between the plan and the externalities it creates, the objectives of plan must be classified to determine which category of objectives will be evaluated. The characteristics of the settlement and the type of the plan would define what should be evaluated and under what circumstances (i.e., the effect of plan decisions on tourism, the effect on natural environment, the effect on rural areas, etc.)

The evaluation of possible effects of the plans became a mandatory step with the Environmental Impact Assessment (EIA) regulation in 2017. However, EIA is not a sufficient tool on its own. This is partly because its connection to the zoning plans, which dictate spatial development, is weak. Moreover, as it is done ex-ante and based on estimation, the resulting evaluation carries the risk of not being accurate and healthy enough.

In evaluation of relationship between the plan and the features of planned area, the evaluation should consider to what extent the plan meets the needs of planning area. To be able to evaluate the plan performance, it is also important to correctly identify the problems and potentials of the area and related plan objectives. To summarize, the conformity element assesses the plan in terms of its congruity with the planned area. The physical outcomes of the plan, the plan's positive or negative impacts on planned area, and the ability of plan to respond to needs of area should be the center of evaluation process. Therefore, in addition to quantitative and spatial assessments, the opinions to be received from the relevant actors and institutions (local government

representatives, planners, the public, etc.) would help to enrich the evaluation process.

Rationality

The rationality component of plan evaluation process encompasses internal coherence, external coherence, participation, cooperation and coordination.

The following questions should be answered to assess the internal coherence criterion. - *coded R1 in Figure 1*

- a. Is the evaluated plan internally consistent?
- b. Does the plan maintain its internal consistency throughout its duration?

The consistency of the plan is evaluated through these three elements: the purpose, the objectives, and the strategies/concrete decisions of plan. A simple conformity matrix easily shows the incompatibilities between these elements. However, this evaluation should be limited to the plan, and the external factors should not be included.

The issue of whether the plan maintains its internal coherence throughout its duration is evaluated through plan revisions and plan amendments. When an unforeseen change occurs, a plan revision becomes necessary, however, what kind of changes are predicted and whether there is really a need for a revision should be discussed.

A plan amendment is applied when there are only minor changes that do not require a plan revision. However, since it became a frequently used tool, it started to cause radical changes that exceed this simple tool's purpose. Therefore, plan amendments also pose an obstacle to maintaining the internal consistency of a plan. A large number of plan amendments disrupt the consistency of decisions made by the original plan and cause some problematic changes in population, employment, density, urban facilities, etc. This misuse of these essentially facilitating tools results in conflicts between their implementation and their definition in the law. Therefore, the internal coherence is closely associated with the relationality between the plan and the revision plan or spatial development that changes with these modifications. The questions to be answered in evaluation of the external coherence criterion are as follows. - *coded R2 in Figure 1*

- a. Is the plan compatible with other plans?
- b. Is the policy, plan, and project chain consistent with one another?

In pre-2000 period, the incompatibility of different plans was not very common. However, the 2000s created a rather complex structure in terms of diversity of plans in Turkey. Today, while the vertical hierarchy continues, the planning system is perforated by special-aimed plans, sectoral plans, etc., which are not clearly defined regarding their hierarchical positions. Therefore, when evaluating the external coherence, the plan should be examined along with the other plans produced for the same area. Furthermore, after 2000s, the abandonment of comprehensive planning approach and the emergence of a fragmented

structure made it difficult to evaluate the plans prepared in this period. Therefore, what sort of consistency these fragmented plans present becomes essential when evaluating these plans.

While evaluating the consistency of spatial plans, the consistency check can be done using essential functions like land use, density, and transportation. However, while assessing the coherence of the plan with the sectoral plans produced for the same area, the comparison should include objectives, strategies, and fundamental decisions to clearly see the harmonious and conflicting parts of these plans.

The other question related to the external coherence is whether there is congruity between the policy, plan, and project. Again, due to the discrepancies observed in Turkish planning system, for the period between 1985 and 2000, when Reconstruction Law no.3194 came into force, the consistency of development plans, regional plans, upper-level land use plans, local plans, investment decisions, and projects should be carefully evaluated. Additionally, today, sector-based plans should also be assessed if they are consistent with the goals of original plan. Therefore, external coherence emerges as a concept that should be evaluated simultaneously through the plan, policy documents, and sectoral plans.

Another component of rationality is participation. - coded R3 in Figure 1. The important question is what kind of participation mechanism is used in the preparation of plan. The methods used to ensure that participation functions properly and the deductions made during the process are also very crucial for evaluation process. The comprehensive paradigm that was dominant until 1980s did not have a participatory perspective. Thus, participation is not a valid criterion for evaluating plans made at that time. However, participation and negotiation in planning are the essential elements that legitimize the communicative paradigm and strategic plans. Today, participation is one of the most critical elements that stand at the intersection of the three-pillared structure (plan-planner-planned) which influences the success level of the plan.

Other sub-criteria of rationality are cooperation and coordination. - coded R4 in Figure 1. To evaluate that the following questions should be considered.

- a. What kind of cooperation mechanism does the plan operate with?
- b. Is there a coordination between institutions? If yes, how?

Cooperation and coordination are one of the most challenging criteria to evaluate plans in Turkey. Turkey's planning system is highly centralized. The fact that many institutions are authorized for various plans, and the rapid changes in institutions render this assessment even more difficult. In pre-1980 period, when the planning system assumed a regulatory role, the discussion was focused on the central-local dilemma. However, today there is even a conflict of authority between the different institutions of central government. The confusion of authority in the areas with crossing borders results in conflicting plan decisions and due

to the frequently canceled plans, some settlements remain without a valid plan for many years.

In the evaluation based on cooperation and coordination criteria, an examination should be made to include the elements of the plan and the planned area, starting with the 'planner.' The institution that prepared the plan, the other institutions whose opinions were sought in the process, and the institutions excluded from the process should be identified. The jurisdiction areas of the institutions should be clearly defined. It is also important to go beyond referring to another institution's opinion, a culture of cooperation should be created between institutions by establishing coordination units and participatory processes.

Lastly, while in the conformance dimension there is a linear relationship between the evaluated plan and the planned area, it is not possible to observe such linearity among plan-planning authority-planned object in the rationality dimension. The evaluation element in the internal and external coherence criteria is the 'plan.' While the collaboration and coordination criteria are located between the 'plan' and 'planner' components, the participation criterion is located at the intersection of all three parts. Therefore, in the context of rationality, the relationships between the components should be examined with an in-depth and multifaceted approach.

Utilisation

The utilization constituent in evaluation analyses whether the plan subject to evaluation guides subsequent plans and implementation processes. It is possible to describe the assessment in two stages. The following questions should be examined in the first stage. - coded U1 in Figure 1.

- a. Has the original plan been consulted in making operational decisions in implementation or application processes?
- b. Was the plan utilized in process? Does the effectiveness of the plan continue in following period?

In the context of these questions, at first, the plan which is the subject of evaluation should be evaluated by comparing it with other simultaneous plans and the plans in following period, based on targets and main decisions. The utilisation of the original plan should be evaluated toward the following aspects:

- Whether the decisions are consistent with the original plan.
- Even if decisions are not in line with the plan, the plan can explain the reason behind this situation.
- A deliberate deviation from the decision, that could still be explained with reference to the plan.

One of the most critical issues in the evaluating the utilisation is to examine whether the plan has a significant guidance effect on the process. To understand this, whether the multi-actor decision system defined in a strategic plan has been applicated and how effective the program is in

guiding the actions of relevant actors can be assessed. In the case of Turkey, it is expected that if the plan is used decision-making processes in various investment projects, especially in private sector, will produce a positive result from the point of performance.

In the second stage of evaluation in the utilization dimension, an examination can be made on the following questions, and these questions can be diversified in relation to the planning history of area. - coded U2 in Figure 1.

a. What are the main factors that can affect (impair) the implementation of a plan?

b. What are the reasons if the plan was not utilized in process?

Key factors that may affect the realization of plan are the policies of central government, the vision, goals, and strategies adopted by the planning institutions, changes in relevant laws and regulations, changes in planning tools and resources, and changes in expectations of society. If the evaluated plan was not utilized in process, the reasons for this situation should be investigated within the framework of following questions:

- Has there been a radical change in the vision of central government?

- Have decision-makers or situations changed? Has the authority responsible for making plans changed?

- What changes have occurred in discretion and regulatory authority?

- Are there any changes in the legislation? How did the change in legislation affect the implementation process of plan? etc.

That is, in first stage of the utilisation, the relationship between the plan and the planned should be examined. However, in second stage, a multi-dimensional analysis including all three of the plan-planner-planned components should be made.

The criteria set in the suggested evaluation frame and related questions are summarized in Table 7.

Table 7. Criteria and questions of the proposed plan evaluation framework
-produced by the authors-

Criteria	Sub-criteria	Questions
CONFORMITY	Plan and output accordance	Is the realized outcome compatible with the plan? To what extent did the projections of the plan come true?
	Plan effects	What are the positive and negative effects of the realization of the plan?
	Relevance	Does the plan respond to the needs of the planned area?
RATIONALITY	Internal coherence	a. Is the evaluated plan internally consistent?
		b. Does the plan maintain its internal consistency throughout its duration?
	External coherence	a. Is the plan compatible with other plans?
		b. Is the policy, plan, and project chain consistent with one another?
Participation	What kind of participation mechanism is used in the preparation of plan?	
Cooperation and coordination	a. What kind of cooperation mechanism does the plan operate with?	

		b. Is there a coordination between institutions? If yes, how?
UTILISATION	Utilisation	a. Has the original plan been consulted in making operational decisions in implementation or application processes?
		b. Was the plan utilized in process? Does the effectiveness of the plan continue in following period?
	Reasons of non-utilisation	a. What are the main factors that can affect (impair) the implementation of a plan?
		b. What are the reasons if the plan was not utilized in process?

CONCLUSION

Today, the subject of plan evaluation is positioned as an essential research area in literature because it contains both qualitative and quantitative elements, and it requires new methods to be developed that are suitable with the needs of new paradigm. However, it did not gain enough acceptance in Turkey’s planning system. Called as monitoring and feedback in planning process, plan evaluation is employed very superficially in practice.

Considering the structural conditions in Turkey, the main reason that impacts a plan’s performance is the conflicting environment caused by diversity in planning authorities, mainly because since 2000s the high number of laws and regulations targeted the same issues. This is also a period when many different plans mushroomed, containing conflicting decisions and disrupting the plan hierarchy with special area plans. In addition to the local-central dichotomy, there are also compatibility issues among central government institutions. Planning powers transferred to local governments after 1985 have no effect in practice and with 2000s, a completely centralized planning system replaced the previous planning system.

This results from the blurred lines between the regulatory and discretionary planning systems in Turkey. In an environment where the market economy gained power and the planning institution gradually lost its regulatory role, it is tough to evaluate the performance of a plan only from a technical point of view. Since a comprehensive or strategic planning approach cannot be fully adopted and the transition in paradigm does not find its way into practice, there is a need for a qualitative and in-depth questioning of evaluation methods in planning. This study provides a systematic framework to fill this gap and offers a roadmap for evaluating the success of plans.

As a summary, plan evaluation in Turkey should follow three pillars: (1)conformity, (2)rationality, and (3)utilisation. The sub-criteria of conformity, rationality, and utilisation dimensions (plan-output coherence, plan-effect relationship, plan-needs relationship, internal coherence, external coherence, participation, cooperation and coordination, guidance or direction) can be the tools that will used to establish the context between three elements, which we can define as, ‘plan’, ‘planning authority’ and ‘planned’ briefly.

In conclusion, the proposed evaluation approach is thought to be a remarkable tool that can be applied to solve the uncertainty and coordination problems of the hybridizing planning system. Our study can contribute to the monitoring and evaluation mechanism to become an obligatory stage of the planning process via legal and administrative regulations in future.

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