

**Albuquerque's Downtown 2010 Sector Development Plan**  
-  
**A Post-Implementation Evaluation**

by

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### **Author's Declaration**

I hereby declare that I am the sole author of this thesis. This is a true copy of the thesis, including any required final revisions, as accepted by my examiners.

I understand that my thesis may be made electronically available to the public.

## Abstract

This thesis was a post-implementation evaluation of Albuquerque's Downtown 2010 Sector Development Plan. The Downtown Plan, commissioned in 2000, has a preset deadline of 2010 for meeting conditions outlined within its text. Therefore, the timing of this study was optimal. A triangulated, mixed methods methodology yielded data that were evaluated through an amalgamation of conformance and performance-based evaluation approaches.

Six of the twelve categories, under which the Plan's text is organized, were chosen as the focus of this study's evaluation efforts. The categories are as follows: 1) *Transportation and Parking*; 2) *Land Use and Design*; 3) *Healthy Neighborhoods*; 4) *Urban Housing*; 5) *Urban Retailing*; and 6) *Parks and Open Space*. The findings of this study were specified to each of the six categories with additional findings listed later on. Overall, the results for each category fell between 'somewhat unsuccessful' to 'successful' based on a success spectrum created for typifying the evaluation results.

Ultimately, this study found that the Plan was responsible for some significant and positive changes that occurred in Downtown Albuquerque over the past decade. These include the development of a number of various housing options, the prevention of commercial encroachment from the Downtown onto adjacent neighborhoods, and the creation of parking, bicycle, transit, and pedestrian facilities. A lack of various retail services and the failure to remediate the Fourth Street Mall are couple of the 2010 Plan implementation failures discovered by the evaluation. Additional findings spoke to the interplay between categories such as *Urban Housing* and *Urban Retailing*, which identified the need to synchronize the functions of these two interdependent markets. Further discoveries were derived from the collected data and their subsequent analysis.

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Lastly, I cannot thank my parents enough for their continual love, support, and encouragement, without which I would not have been able to achieve so much.

## **Dedication**

To the City of Albuquerque and those who have and continue to contribute their time and effort to revitalizing the Downtown.

And to my parents, for everything that they do.

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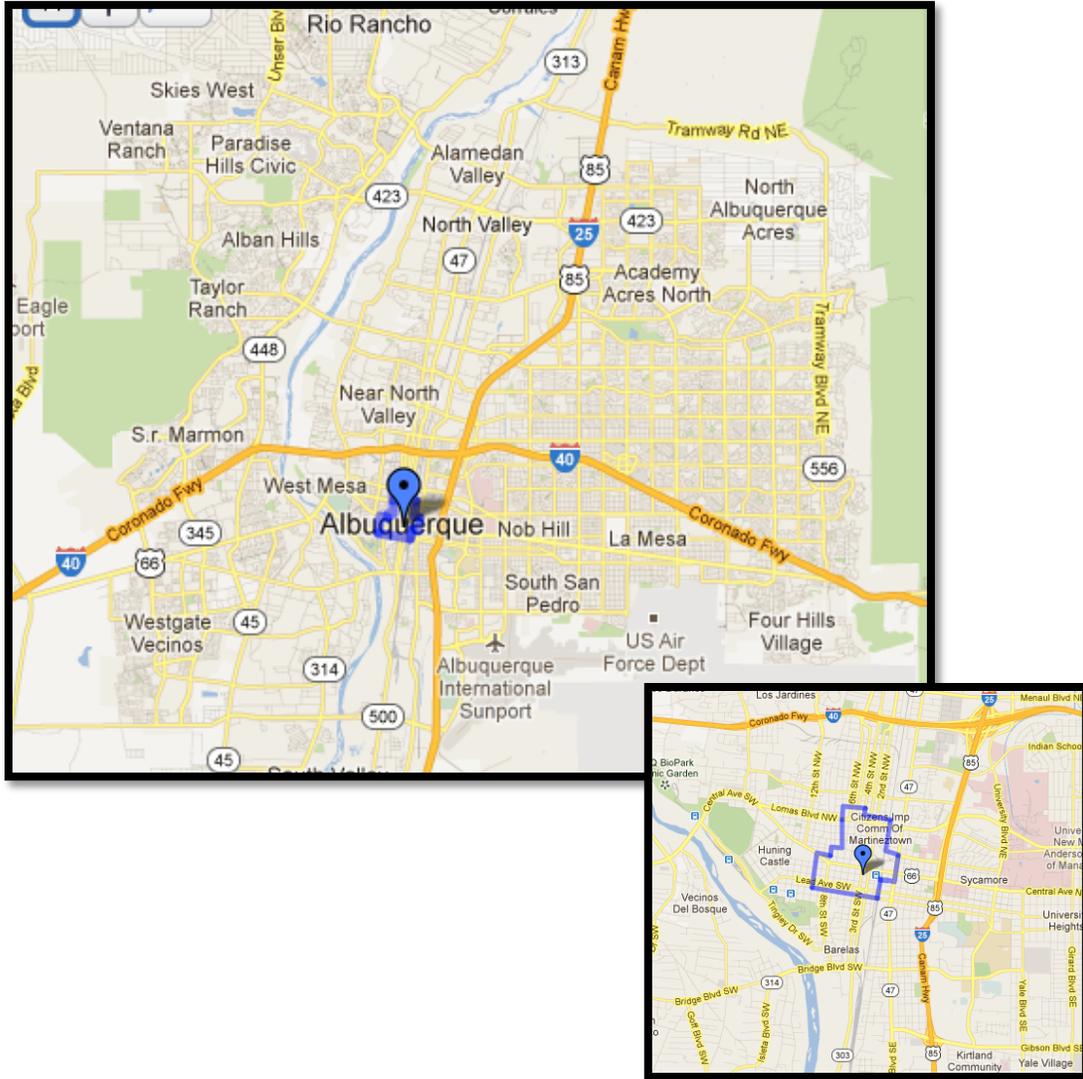
## **Chapter 1**

### **Introduction**

The first chapter of this thesis begins with an introduction and purpose of the research project. Thereafter, rationale for the research topic and the research scope is provided, followed by anticipated project objectives. Then, the research questions are listed. Concluding the introduction chapter is a brief discussion of recent revitalization efforts in Albuquerque's Downtown.

#### **1.1 Purpose**

The City of Albuquerque, New Mexico commissioned a 10 year Sector Development Plan for the Downtown area. This Plan, adopted in 2000, was jointly designed by the City, the Albuquerque Planning Department, and the Downtown Action Team. The Plan outlines 12 focus areas that group goals and actions under overarching categories ranging from *Transportation and Parking* to *Parks and Open Space*. This Master's thesis project seeks to evaluate the implementation results of this 10-year-plan, 11 years after its adoption. The timing of this proposed evaluation is sometimes referred to as "ex-post evaluation" in literature on planning evaluation. This term is defined as a review at the end of plan implementation that seeks to investigate the success of the plan (Oliveira and Pinho, 2010). The evaluation of this Plan will be based on the area on which it focuses, the 321 acres that encompass the Downtown Core. Refer to Appendix A, Figure A-1 for a detailed map of the Downtown Core. The Google Map below displays the location of the Core, indicated in blue, in relation to the rest of the City. A zoom-in of the Core is provided at the bottom right of the map.



**Image 1-1: Downtown Core and its Relation to the City**

Google Map “My Map.” Created on July 12, 2012 on <https://maps.google.com/>.

While the 12 categories listed within the Plan are all interrelated, they can be clumped into smaller sub-groups. As an attempt to focus the research project scope on the Plan’s categories that dealt with Downtown Albuquerque’s urban morphology (as explained in section 1.2.4), a sub-group was created consisting of six of the twelve total listed categories: 1) *Transportation and Parking*, 2) *Land Use and Design*, 3) *Healthy Neighborhoods*, 4) *Urban*

*Housing, 5) Urban Retailing, and 6) Parks and Open Space.* These categories are implicitly defined through their associated goals and actions. A visual has been created, based on the Plan’s provisions, to clearly define each category. Refer to Table 1-1 below. The Downtown 2010 Sector Development Plan categories omitted from the investigation of this project are: 1) *Employment, 2) Education, 3) Arts and Entertainment, 4) Tourism and Hospitality, 5) Minimizing the Impact of Homelessness, and 6) Managing and Marketing Downtown.* These topics focus mainly on the socio-economic aspects of the downtown health.

<b>Plan Categories Under Evaluation</b>	<b>Relating Provisions</b>
<b>Transportation and Parking</b>	<ol style="list-style-type: none"> <li>1) Emphasis is placed on increasing pedestrian activity, bicycling, and public transportation as means of getting to and moving within the Downtown Core.</li> <li>2) Parking is limited to “park-once” conditions through the maximization of on-street parking as well as long and short term parking options.</li> </ol>
<b>Land Use and Design</b>	<ol style="list-style-type: none"> <li>1) Refers to the maintenance of historic sites and buildings as well as respect for urban conditions in new developments.</li> <li>2) Support of pedestrian activity is promoted through conducive street level uses.</li> </ol>
<b>Healthy Neighborhoods</b>	<ol style="list-style-type: none"> <li>1) Existing neighborhoods surrounding the downtown core are to be protected from encroachment of retailing services within the core.</li> <li>2) High density and mixed urban housing is promoted.</li> </ol>
<b>Urban Housing</b>	<ol style="list-style-type: none"> <li>1) Refers to building marketable and affordable housing.</li> <li>2) Promotes the development of student, senior and general housing spaces through high density developments and the redevelopment of existing buildings.</li> </ol>

<b>Urban Retailing</b>	<ol style="list-style-type: none"> <li>1) Retailing to serve a variety of service needs should be provided.</li> <li>2) The distribution of retail services is to be within the Arts and Entertainment District.</li> </ol>
<b>Parks and Open Space</b>	<ol style="list-style-type: none"> <li>1) Promotes the creation of a number of parks and open spaces.</li> <li>2) Seeks to provide pedestrian pathways to connect these leisure spaces.</li> <li>3) Advocates the improvement of the Fourth Street Mall.</li> </ol>

**Table 1-1: Focus Plan Categories and their Corresponding Provisions**

(Adapted from City of Albuquerque Planning Department and the Downtown Action Team. (2000). *Downtown 2010 Sector Development Plan*. City of Albuquerque. 7-11, 15.)

The rationale for this grouping will be discussed in the upcoming subsection entitled *Rationale*.

Based on the aforementioned categories, the Plan will be evaluated to determine the *conformance* and *performance* of Plan implementation. These two terms refer to plan implementation evaluation that seeks to, respectively, 1) conformance: identify concrete cause and effect relationships between plan objectives and real outcomes and 2) performance: provide assessment based on possibility of deviation from plan policies due to changeableness of environmental factors. The amalgamation of these two seemingly polar assessment techniques is referred to as a “middle-of-the-road approach” by Loh (2011), who discusses the use of conformance versus performance as an integrated approach, which will be followed in this study.

The methodologies utilized for this evaluation will include 1) an assessment of physical changes based on before and after land use comparisons of land use plans and Geographic Information System (GIS) map analysis, 2) structured personal observations supplemented with photographic documentation, and 3) Likert scale survey questionnaires and semi-structured

interviews with planners and professionals. This research methodology is classified as a triangulated data collection method.

The reason for applying the three various evaluation approaches is to gain information that is comprehensive. Specifically, encompassing more than one evaluation approach yields holistic data that can test, in more than one way, the results of Plan implementation. Rationale for including the first evaluation technique, indicated above, includes the need to recognize the physical results of the Plan. Notably, the goals and actions within the six categories that have been chosen as the focus of this research project all depend, to some extent, on the physical outcomes that were fostered by the Plan. The data collected from the second research methodology will provide material to confirm, disconfirm, or explain adherence to the provisions within the six categories of interest through on-site analysis. The third method results from the interpretation of data gained from interviews with stakeholders and professionals involved in the design, implementation, and execution of the Plan.

## **1.2 Rationale**

### **1.2.1 Why Plan Implementation Evaluation?**

Critical planning related publications that address plan implementation evaluation exist, but are not abundant. The literature on the topic seems considerable compared to its lacking professional application. The notion that the evaluation of plans in the urban planning practice is a necessity finds support in planning literature through, but not limited to, the following arguments: 1) planning evaluation fosters effective planning practice, 2) there are low rates of plan implementation 3) complete disregard for plans based on the contention that they do not suit evolving city conditions is wasting the effort of those who drafted those plans, and 4) planning practice and evaluation should not be isolated actions (Loh, 2011; Oliveira & Pinho, 2010;

Talen, 1996). This project seeks to conduct and present the findings of a plan evaluation, an action that is advocated for within planning literature, yet scarcely adopted by professionals in the field.

### **1.2.2 Why a Downtown Plan?**

A decline in quality of life due to increasing congestion created by vehicular traffic and long commutes, a loss of a sense of space, and unsustainable suburban lifestyles allude to the importance of downtown revitalization initiatives and their subsequent investigation. More specifically, today's suburban lifestyle, created in the post-war, 1950s period, is a twisted utopia that can be "blamed for new social ills such as road rage, obesity and traffic accidents, making the suburbs more dangerous than inner city ghettos for teenagers with high school shootings, due to little sense of place, among others" (Leinberger, 2002, p. 1). Consequently, downtowns have experienced a resurgence of interest beginning in the 1990s (Leinberger, 2002). This interest has actualized into plans and projects that seek to facilitate activity, housing, and retail in various downtown cores. Due to the recent initiation of these revitalization efforts, evaluations of their performance and outcomes are scarce. Consequently, research, such as that conducted within this thesis, is beneficial for understanding the successes or failures of these initiatives and can provide perspectives for future betterments to downtown districts.

### **1.2.3 Why Albuquerque?**

First and foremost, Albuquerque, New Mexico is my hometown. I have witnessed the gradual evolution of the Downtown Core throughout my childhood, adolescent, and adult years. Having traveled to other cities with established downtowns and enjoying what they had to offer, I hoped for similar amenities and a stronger sense of place for Albuquerque's Downtown. The recent initiatives and outcomes resulting from the 2010 Plan caught my attention. Having

chosen Planning as the field of study for my Master's education, I realized my opportunity to contribute to the City's initiatives through an evaluation of the Plan's outcomes that would, hopefully, yield recommendations and future considerations for further development in the Downtown of my beloved city. Furthermore, my familiarity with the area is beneficial as it allows for a local, resident's perspective and understanding of the research context. This proves useful not only in the analysis component of the project, but also the initiation of data collection through established contacts, specifically for the interview method.

Second, Albuquerque's Downtown 2010 Sector Development Plan outlines goals and actions to be met by a preset deadline of 2010. Therefore, this is the optimal time to perform an evaluation. Notably, not all plans provide deadlines for which outcomes must be achieved. The absence of a deadline can be challenging as the timing of an evaluation may be haphazardly chosen, thereby producing premature findings.

Third, Downtown Albuquerque is historically symbolic for not only the City but also the State. It is the only Downtown in the United States that contains architectural forms emulating aboriginal or Pueblo design alongside Spanish, Victorian, and Modern style buildings (Price, 1984). Today's Central Avenue was a part of the historic Route 66 as well as a highway to Mexico created by the original Spanish colony (Price, 1984). Prior to these highways, around A.D. 1300, the City was home to around forty Pueblo villages (Price, 1984). The provisions of the 2010 Plan seek to maintain Albuquerque's "history of cultural tenacity" through historic preservation and adaptive reuse (Price, 1984, p. 57).

Fourth, the Downtown 2010 Plan creation and implementation has been facilitated by public and private partnerships. More specifically, the City is not merely a subsidizer in this project. It is a prominent partner alongside private entities and nonprofits such as the Historic

District Improvement Company and the Downtown Action Team. The City's participation ensures that revitalization efforts maintain the locality of the area, rather than allowing for a generic product (Killough, 2002). The evaluation results of this project will not only highlight the strength and weaknesses of the Plan, they will also provide some perspective on the effectiveness of the aforementioned collaboration.

#### **1.2.4 Why the Six Categories?**

Firstly, six of the twelve Plan categories have been selected for this project due to the feasibility of evaluation for mainly land use-based criterion. Second, these categories allow for focus with respect to interview candidates. Currently, this project seeks to interview the planners and professionals involved in the creation, implementation, and management of the Plan. As such, it is projected that these interview candidates will be familiar with the happenings regarding the categories in this grouping. Furthermore, the inclusion of the remaining categories would require the addition of interviews with those who could accurately speak to, for example, the state of homelessness and tourism conditions. Such an inclusion would expand the scope of this project. Third, these elements focus on factors that affect and are a part of the area's urban morphology.

Other than an attempt to focus research scope and provide project brevity, rationale for choosing six of the twelve Plan categories is provided by an understanding of urban morphology. The term 'urban morphology' refers to "the study of urban form"(Larkham, 2005, p. 22). The physical dimensions that make up this urban form include "individual buildings, plots, street-blocks, and the street patterns"(Larkham, 2005, p. 22). For the most part, the six chosen Plan categories have a substantial influence on urban form or exist as the very components of urban form, i.e. housing. Whereas the remaining six topics, mentioned on page 2, that examine topics

ranging from homelessness to the arts, attribute to the downtown morphology, the chosen categories deal directly with the physical dimension of the Downtown region.

The 2010 Plan provides within it specific provisions that set benchmarks for intended achievements or outcomes. The 2010 Plan is a Rank 3 plan as per the City's Planning Department designation, meaning that the Plan is specific to a small geographic area, or sector, and employs detailed guiding provisions (City of Albuquerque, 2012). (Other plans created for and by the City can fall under this ranking or the remaining Ranks 1 and 2. A comprehensive or official plan is considered a Rank 1 plan while an area or facility plan falls under a Rank 2 classification. General and loose language is usually employed for drafting Rank 1 and 2 plans.) As this research project's six focus categories are morphologically based, the current urban form of Downtown Albuquerque reveals crucial information about the Plan's implementation outcomes. Therefore, information about the Downtown's urban form is easily retrieved through the data collection methods adopted for this study, as discussed in Chapter 3, and efficiently assessed based on the Plan's specific, Rank 3 provisions.

While the omitted topics affect the conditions of the chosen six, mainly physical categories, the breadth of research required to assess the remaining categories would be too vast for a Master's thesis project. Furthermore, the current methodology devised for the six chosen categories would not suffice if the remaining topics were included. The interviews, land use and GIS maps as well as the personal observations do not yield data required for the evaluation of non-physical components of the Plan. As such, additional methodologies would need to be added, such as census resources required to investigate socio-economic components, potentially exacerbating the scope of the project.

Further justification for the focus of this thesis on the six chosen categories finds support in the history of American downtown revitalization efforts. The morphology of the American downtown was manipulated after World War II to facilitate vehicular traffic (Birch, 2009). 21<sup>st</sup> Century revitalization efforts have attempted to ‘re-manipulate’ the urban form to reverse some of the negative conditions created by the initial, post-World War II manipulation. Consequently, recent revitalization trends have emphasized the importance of urban form and land use. Therefore, the focus of this thesis on the physical components of the 2010 Plan attributes to the larger discussion on the redevelopment of the American downtown. This topic is described in greater detail in section 2.9.1.

### **1.3 Objectives**

This thesis will 1) provide research findings that will add to the literature on plan evaluation, 2) through the research findings, inspire practitioners to view and adopt plan evaluation as a continuous process that is necessary for ensuring successful plan implementation and enhancing overall planning practice, and 3) make a contribution to the City of Albuquerque in its effort to revitalize its Downtown through my data collection results, analyses, and suggestions for future development.

### **1.4 Research Questions**

The research questions for this project are as follows: 1) Has Albuquerque’s Downtown 2010 Sector Development Plan been successful? 2) If so, how and to what extent? 3) If not, how and to what extent? 4) How can the post-implementation outcomes of Albuquerque’s Downtown 2010 Sector Development Plan, and other plans, be evaluated in the face of uncertainty, keeping in mind the nature of a city as an evolving enterprise, while also understanding the importance of conformity?

## **1.5 Recent Downtown Revitalization Efforts**

Beginning in 1945, 31 studies and corresponding plans have been drafted to redevelop Albuquerque's Downtown (Hazel, 2001; Holt, 1999; Leinberger, 2005). Each of these efforts provided up to two improvement projects, such as a pedestrian mall, civic plaza, and convention center (Leinberger, 2005). According to Leinberger (2005), while some of these plans were implemented and the projects they set out develop were achieved, the attempted improvements did not substantially enhance the Downtown.

In 1997, Jim Baca was elected Mayor of Albuquerque. A year later, Baca built upon the work initiated by his predecessor, Mayor Martin Chavez, and "made revitalizing downtown his number one priority" (Leinberger, 2005, p. 15). It was during Baca's time in office that Plan 32, or the Downtown 2010 Sector Development Plan, was approved. So, what is so different about Plan 32? According to O'Neal (2000), this Plan stood out for two reasons: 1) The former 31 plans attempted to revitalize the Downtown through quick fix solutions or one to two project-cures. Alternatively, Plan 32 sought to address the City's Core through various, multifaceted solutions, understanding the complexities associated with a downtown, and 2) Plan 32 was implemented through public and private sector partnerships. The 31 plans, prior to Plan 32, were publically led and funded. To kickoff his Downtown revitalization project, Baca reintroduced private sector development to the Downtown after having been dormant for 15 years (Leinberger, 2005). This was made possible through the collaboration of two non-profit organizations, the McCune Charitable Foundation and the Downtown Action Team (DAT), and one for-profit company, Arcadia Land Company. Together, these private sector organizations formed the Historic District Improvement Company (HDIC) that provided necessary capital for new Plan projects (Leinberger, 2005).

Local attorney Pat Brian was contacted by Baca to establish the Downtown Action Team which is composed of “local civic and business leaders” (O’Neal, 2000, p. 1). The Action Team hired a private consulting firm to acquire and organize data on the market and future of the Core. The initiatives within Plan 32 were based on this market analysis, whereas the plans before it focused only on the visions of planners and civic leaders. Additionally, “strategy sessions” with representatives from public, private, and civic sectors as well as additional stakeholders generated ideas for the Downtown that actualized into a few strategic plans, the first of which was initiated in 1998 (O’Neal, 2000, p.2). The participants of these strategy sessions were organized into various “action teams” each of which was responsible for upholding one topic within the resulting DAT’s strategic plan.

The stakeholders that were involved in these initial discussions included a senior executive from Sandia National Laboratories who volunteered his time to aid in crafting Downtown redevelopment initiatives. The National Laboratories, located 5 miles from the Downtown, employs about 5,000 professionals some of which are engineering recruits in their twenties who may be looking for a walkable, urban lifestyle (Leinberger, 2005, p. 5). In this sense, a vibrant downtown provides a competitive advantage for economic development across the City.

It was the 1998 strategic, private sector plan that prompted the City and its Planning Department, through a joint effort with the DAT, to draft and adopt the official Downtown 2010 Sector Development Plan in 2000 (Downtown Action Team, 2005). To this day, both the DAT and the Planning Department are responsible for implementing the Plan. The birth of the 2010 Plan highlights the cooperative between public and private sectors that makes Plan 32 unparalleled to the 31 before it.

Public and private partnerships initiated two projects to further the Plan's provisions at the time of the Plan's adoption. The first project was the Alvarado Transportation Center project and which was followed by the movie theater block, on the 100 to 200 blocks of Central Avenue on Second Street. These projects, along with public support for the Plan and the overall Downtown revitalization initiative as well as entitlements for relating development only 30 days after the passage of the Plan (Holt, 1999), provided great potential for success. The purpose of this project is to determine whether or not this potential was achieved by the Plan's predetermined, ten-year time frame.

## **Chapter 2**

### **Literature Review**

The second chapter of this study provides a literature review primarily on the topic of plan evaluation. This is followed by a brief discussion of literature pertaining to downtown revitalization efforts and their supporting policy initiatives. This chapter is divided into two overarching sections and relating subsections: A) Plan Evaluation: 1) What is plan evaluation? 2) Why is plan evaluation important? 3) How is plan success evaluated and measured? 4) When is plan evaluation conducted? 5) Who conducts plan evaluation? 6) Theory in plan evaluation; 7) What are some plan evaluation frameworks and techniques? 8) What are some challenges of plan evaluation? And B) Downtown Revitalization: 1) History of American downtown revitalization efforts; 2) Supporting plans and policies; 3) Challenges of revitalization efforts; 4) Evaluation of revitalization efforts; 5) Challenges of evaluating revitalization efforts; and 6) Midsized cities.

#### **A.2.1 What is Plan Evaluation?**

In planning literature and practice, the term plan evaluation refers to the “assessment of plans, planning processes, and outcomes”(Laurian et al, 2010, p. 741). Writers and academics have alluded to plan evaluation as early as 1965 when John Reps mentioned within his writings a review of conditions years after the manifestation of a plan (Talen, 1999, p. 253). Reps is a unique case as most dialogue and professional inquiry into evaluation, at that time and onward, focuses on policies relating to health, social issues and economic studies, leaving out the physical, land use element of planning (Berke et al, 2006). Serious consideration of evaluation practices in the field of planning only began to increase amongst scholars in the mid 1990s (Berke et al, 2006). However, the focus was mainly on plan making practices and the resulting plans, rather than the implementation and outcomes of plans (Berke et al, 2006; Talen 1996).

According to Talen (1996), general policy implementation research cannot fill this existing gap in planning evaluation literature. She claims,

“planning needs to develop its own brand of evaluation research that is sensitive to the physical, spatially referenced side of planning: specifically, making plans that will guide the future physical development of cities. Although policy implementation analysts have moved well beyond discovering the gap between policy and outcome, planners have yet to make a similar revelation about whether or to what degree plans are actually implemented” (Talen, 1996, p. 79).

This thesis project focuses mainly on outcomes rather than plans or processes, an area that lacks attention in the planning field (Berke et al, 2006; Talen, 1996). This approach, and further reasons for it, will be discussed in later sections of this paper.

As briefly mentioned, disciplines outside of the planning field have considered the role of an evaluation component within an overall framework. For example, Environmental Impact Assessments (EIAs) and Strategic Impact Assessments (SIAs) are two evaluation systems that contain follow-up components within their assessment strategies (Noble, 2006). An EIA is typically applied to development proposals while the more recently developed SIA mechanism focuses on “policies, plans, and programs” (Noble, 2006, p. 177). These two assessments do not mirror the objectives of this thesis project, as they are forms of plan and development appraisal that focus solely on environmental impacts rather than plan performance based on development and other outcomes. However, it is important to consider the inclusion of post policy, plan, program, or development adoption evaluation and monitoring provisions. A follow-up component within these two frameworks emphasizes the importance of its inclusion in plan making, plan implementation, and post plan implementation processes. Specifically, conducting an evaluation after a development or plan is approved ensures wholeness and avoids linearity when it comes to EIAs, SIAs, and, similarly, planning.

### **A.2.2 Why is Plan Evaluation Important?**

The notion that the evaluation of plans in the urban planning practice is a necessity finds support in planning literature through, but not limited to, the following arguments: 1) planning evaluation fosters effective planning practice, 2) low rates of plan implementation exist, 3) complete disregard for plans based on the contention that they do not suite evolving city conditions is wasting the effort of those who drafted those plans, and 4) planning practice and evaluation should not be isolated actions (Loh, 2011; Oliveira & Pinho, 2010; Talen, 1996). The first point is an overarching belief among scholars who write about plan evaluation that is furthered by points two to four, above, along with others. Points two and three, above, highlight the need to integrate awareness of environmental change into plan implementation and, subsequently, evaluation. This point will be delineated further under subsection: 2.3.1 Conformance and Performance-Based Evaluations. The last of the aforementioned points introduces the issue of timing with respect to plan evaluation, a topic that will be touched upon in upcoming discussions.

Laurian et al (2010, p. 740), contend that demand for land use and environmental plan evaluation has increased due to complaints about the lack of influence plans exert, which ultimately leads to criticisms of the plan makers and their respective institutions. Seasons (2002), warns that municipalities and public sector departments are finding an increase in pressure for liability and responsibility when it comes to the decisions they make. This situation warrants needed action. The profession itself is “high-profile” in the sense that decisions made under the roof of a municipal planning department can have lasting and significant effects on the physical, social, economic and political environment of the region (Seasons, 2002, p. 47). The inclusion of plan evaluation in planning practice ensures a circular, rather than a linear, plan

making process. Therefore, this planning evaluation exercise continues a planning process that has been mainly limited to plan creation and adoption, to one that includes an evaluation component. This research project's evaluation efforts demonstrate the true influence of the Plan on urban development outcomes. Overall, the findings of plan evaluations "allow us to discuss rationally the success of planning and how to improve upon past performance, which is perhaps all evaluators can ask for" (Faludi and Altes, 1994, p. 418). Future decisions and questions facing a municipality or private firm will likely consult evaluation findings, if they exist (Seasons, 2002).

### **A.2.3 How is Plan Success Evaluated and Measured?**

If planning is a process, as it has been deemed within planning literature (Talen, 1999), how can planning implementation be measured and what is considered successful implementation? There are a number of factors to consider when determining how to assess plan implementation and success. These include: 1) Clearly understanding the objectives within the plan under evaluation, 2) Determining whether or not plan success will be measured based on a *conformance* (a method of plan evaluation that focuses on a one-to-one relationship between plan provisions and resulting outcomes), *performance* (an evaluation approach that assesses the outcomes of a plan based on social, cultural, economic, and environmental considerations), or *midway* standard of evaluation (a combination of conformance and performance), discussed in greater detail in section 2.3.1, and 3) Based on the decision to the latter, defining plan implementation success as it applies to the plan at hand.

To determine the methods required for plan evaluation, one must first start with an understanding of the plan itself. In the case of this thesis project, the Plan under evaluation is a sector development plan that provides goals and respective actions to meet those goals.

Therefore, the Plan provides within it benchmarks that will guide plan evaluation. Furthermore, the current built environment will be telling with respect to adherence to plan provisions. Again, the 2010 Plan categories chosen as the focus of this thesis address the morphological conditions of Downtown Albuquerque, thereby requiring an investigation of the Core's buildings, plots, street blocks and street patterns and a subsequent assessment of the findings based on Plan's intended outcomes or set benchmarks. In the following subsection, a discussion of conformance and performance based evaluations leads to the appropriate adoption of these evaluation standards that, in turn, defines success within this evaluation exercise.

The problem with some assessments that are reviewed or conducted as a part of a study is that they often employ subjective measurement indicators that inevitably create personalized or haphazard measures of success (Oliveira and Pinho, 2009). In an attempt to avoid these conditions, this project bases its evaluation on the provisions provided within the Plan itself. This condition avoids ambiguity with respect to measurement benchmarks. Categorized goals and their corresponding actions makeup this project's measurement indicators. Therefore, achievement of goals and actions equates to Plan success. However, as explained in an upcoming subsection, analysis will not be limited to Plan conformance. Environmental conditions, such as political, social, and economic forces, will be taken into account and intertwined with the analysis and conclusions derived from this project.

In some studies, plan implementation success is based solely on a plan's provisions or text (Albert et al., 2003; Boal and Bryson, 1987). In some cases, this may be a useful technique for predicting future implementation success. One may also consider this approach to draw conclusions based on the correlation of plan directives and implementation outcomes. The scope of this study will be limited to the evaluation of Plan outcomes based on Plan directives. A

preliminary evaluation of the Plan script and its possible effects on implementation will not be subject to investigation under this thesis project for the sake of brevity and concision. Perhaps future studies can choose to assess this possible cause-effect relationship, before an outcome evaluation, as a plan implementation consideration. Evaluation of Plan text will only occur where the data collected for the purposes of this research project concludes that there was a failure in implementing all or part of the Plan.

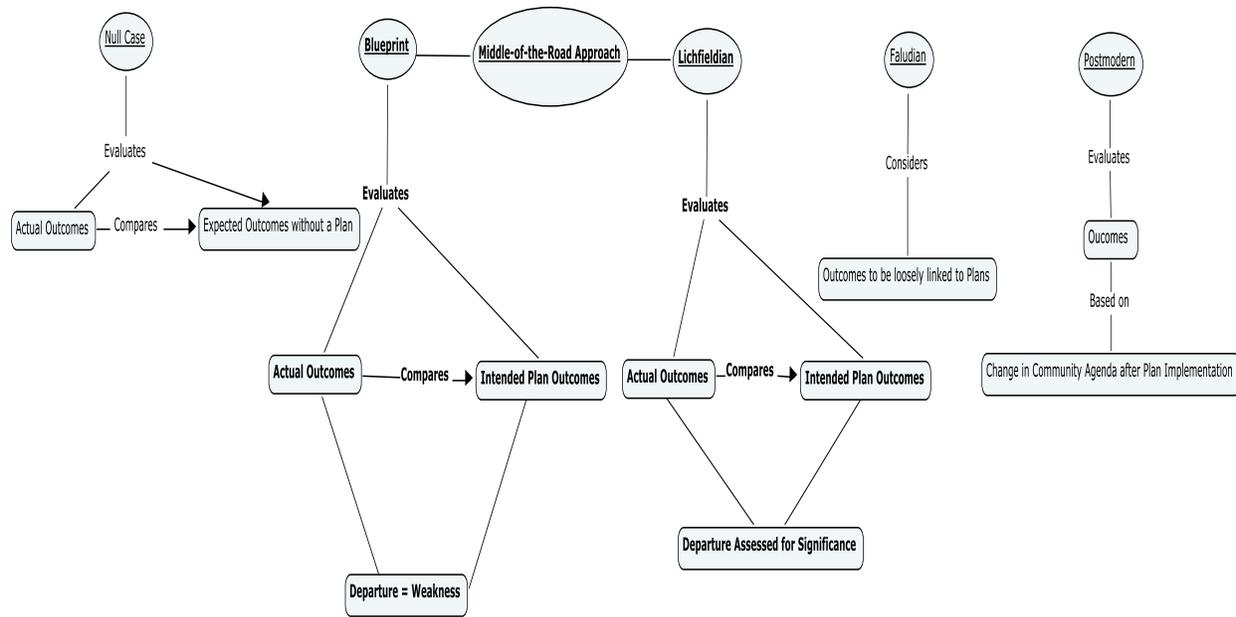
Laurian et al (2010) attempt to develop methods of outcome evaluation based on related theories. Two theories are investigated in the authors' attempt to develop an evaluation model: 1) rational comprehensive or conformance and 2) performance perspectives. This literature review devotes the following subsection to describing the difference between the two approaches. Simply put, the first is suited for the application of detailed plans whereas the latter is more appropriate for comprehensive, or official plans that provide broad and general outputs. The first approach measures direct correlations between written statements and resulting outcomes. Performance-based evaluation approaches consider environmental influences that may lead to variations of resulting outcomes. Albuquerque's Downtown 2010 Plan qualifies, by city standards, as a Rank 3 plan, meaning that its provisions are specific to the locale it manages. A Rank 3 designation also means that the plan typically provides clear-cut targets (City of Albuquerque, 2012). By simply acknowledging the Downtown 2010 Plan as a Rank 3 plan and coupling this realization with Laurian et al's (2010) brief differentiation between conformance and performance evaluations, one may jump to adopting a conformance-based evaluation approach for this Plan. However, as further investigation proves, this may not be the most suitable evaluation method for the Plan at hand and any future, similar plans.

### **A.2.3.1 Conformance and Performance-Based Evaluations**

Conformance and performance-based evaluations are theoretically established means of assessing plan implementation. Conformance refers to an evaluation method that focuses on plan provisions and resulting outcomes. Somewhat conversely, performance-based approaches look to evaluate a plan's outcomes based on the social, cultural, political, economic, and environmental conditions of the community, keeping in mind the nature of a city or town as an evolving enterprise (Loh, 2011). The conformance track often assumes that full adherence to a plan, based on decision-making and physical outcomes, must have a "one-to-one relationship" to be deemed successful (Loh, 2011, p. 273). On the other hand, performance-based approaches seek to understand successful outcomes and deviations from a plan in light of changing local conditions. The "middle-of-the-road" approach Loh (2011, p. 273) touches on, maintains the importance of the role of plans by measuring outcomes based on benchmarks set out by plans while also accepting the inevitability of environmental change and, consequently, change to projected land use outcomes. According to Baer (1997, p. 333), "We should be mindful of and calculate departures from the plan, but we should not despair at the existence of departures." This compromise between evaluation approaches allows for balanced conclusions regarding plan implementation. **As a result, this "middle-of-the-road" approach will be adopted as part of this research project's data analysis.**

Baer (1997, p. 333) describes some post-implementation plan evaluation "permutations" based on a review of existing literature on the topic, at that time, noting that an "evaluator must be clear about the purpose of the investigation and the criteria for outcome evaluation." Therefore, the figure below displays the components of five outcome evaluation variations based on Baer's (1997) discussion, two of which jointly reiterate the plan evaluation method chosen for

this thesis project through a descriptive visual. The first outcome evaluation permutation described by Baer (1997) is the *Null Case* evaluation that assesses the outcomes of a plan and compares those to predicted outcomes if that plan did not exist. The second is a *Blueprint* evaluation, which is essentially another title for a conformance-based evaluation, where outcomes are compared to plan provisions and a deviation is considered a failure. Third, a *Lichfieldian* approach compares outcomes to intended plan outcomes, much like a *Blueprint* evaluation, but considers a discovered deviation an opportunity to appraise the significance of this unanticipated outcome. Therefore, the *Lichfieldian* method is another term for a performance-based evaluation. The remaining two evaluation variations are *Faludian*, which considers a plan to be one of many causes for outcomes, and the non-physical, *Postmodern* evaluation that focuses on the evolution of a community's agenda as a result of a plan's implementation (Baer, 1997, p. 333). In order to demonstrate the post-implementation plan evaluation permutation chosen for this thesis project, the figure below displays the unison of the *Blueprint* (or conformance-based) and *Lichfieldian* (or performance-based) methods into a midway adaptation of the two, entitled the "middle-of-the-road" evaluation approach. The amalgamation of these two evaluation permutations is the most sensible for addressing the research questions posed within this thesis. The approach allows for the assessment of plan-to-outcome conformity as well as an understanding of plan compliance and departures, rather than an immediate claim of success or failure. While the remaining three evaluation approaches are potentially insightful, they are not appropriate for the desired investigation and research questions.



**Figure 2-1: Baer’s (1997) Outcome Evaluation Permutations**

(Adapted from Baer’s (1997) discussion on page 333)

Further justification for adopting this midway evaluation perspective and technique for this thesis, and other research projects, includes acknowledgement of the uncertainty of conditions that may affect plan directives (Oliveira and Pinho, 2010). However, this reality should not completely negate the relationship between plans and outcomes as an indicator of success. Therefore, plan success will be based on compliance to the plan in light of inevitable environmental conditions and change.

Some advocates of performance-based evaluations claim that a ‘success’ by conformance standards may actually be a ‘failure’ by performance standards. Justification for this claim is provided through the notion that policies may be inherently ineffective or lead to negative actions and outcomes (Faludi and Altes, 1994). In other words, if the provisions of a plan are fully implemented, the evaluation of that plan and its corresponding outcomes would likely yield a successful result, by conformance standards. However, if that very plan is not

properly designed to result in outcomes that will ultimately be beneficial to the area governed by the plan, then, in the eyes of a performance-based evaluator, the plan and its outcomes have failed the evaluation. With respect to this perspective, there are several reasons for the rejection of a solely performance-based evaluation approach. First, a performance-based approach does not fit within the scope of this project. **This thesis project focuses on the post-implementation outcomes of the selected Plan and considers whether or not Plan provisions have been implemented, based on the “middle-of-the-road” evaluation approach.** The provisions of the Plan set the benchmarks for success. If the present outcomes match the intended objectives set out within the Plan, then the Plan is deemed successful. Only when failures or discrepancies are noted, is the Plan itself evaluated to determine, for example, if the Plan text was responsible for the noted inadequacy. Second, seemingly, a performance-based evaluation for the Downtown 2010 Plan would require a preliminary assessment of the Plan’s text, or outputs, before outcomes became the focus of the evaluation. This would not only expand the scope of the project, but also complicate the evaluation in that the latter evaluation would be based on the results of the preliminary assessment, potentially making it difficult to set success benchmarks if the plan itself is deemed inefficient or may lead to adverse ramifications. Finally, if a performance-based approach is adopted, a whole new methodology would be required to assess the plan itself so that I, the researcher, can ascertain whether or not it is a ‘good’ or ‘bad’ plan. The methodology utilized for the evaluation of a plan’s output (text) would then, presumably, be adopted for the creation of new indicators to assess plan outcomes if the plan is found to be inherently ‘bad’. This leads to a multi-leveled evaluation, and one that does not match the original intent of this thesis project. It seems that a solely performance-based approach can lead to a complicated evaluation exercise that 1) overflows the scope of this Master’s-level project

and 2) allows for the project methodology to be susceptible to weakness due to the complicated and uncertain nature of the evaluation.

Performance evaluations place an emphasis on the perceptions of the decision-makers involved in implementing the plan after its adoption (Faludi and Altes, 1994). In their paper, Faludi and Altes (1994) discuss evaluation of a strategic plan through a performance-based approach. Under the City of Albuquerque planning framework, a strategic plan would qualify as a Rank 2 plan, meaning that such a plan would typically cover a large portion of the city and this coverage would sometimes be denoted by its directional location (i.e. a plan for the West Side). Due to the magnitude of such coverage, these plans maintain a policy broadness that is similar to the Comprehensive, city-wide, Rank 1 Plan. Based on Faludi and Altes' (1994) argument, performance evaluations seem to be most suitable for comprehensive and strategic, or Rank 1 and 2 plans due to their general and loose language. General, and sometimes vague, policies allow for decision-makers and those involved in plan implementation to interpret the plan at hand at their individual discretion. These interpretations, and the decisions that stem from them, sit as one of the pillars for investigation under a performance evaluation (Faludi and Altes, 1994). According to the authors, a performance evaluation would focus more on the "plan in use" rather than the "espoused plan," meaning that the evaluation would hone in on decision makers' interpretations of plan text and their subsequent justification of decisions based on these interpretations (Faludi and Altes, 1994, p. 415). More specifically, the performance evaluation criteria presented by Faludi and Altes (1994) includes an identification and analysis of decisions after the adoption of a plan that required consultation of that plan. These decisions do not necessarily equate to physical outcomes. Therefore, finding information about these decisions may prove difficult. This difficulty provides rationale for the selection of the six out of twelve

categories within the Downtown 2010 Plan as measurement indicators for this project. The six categories physically makeup the urban landscape and their outcomes can be easily identified.

An additional reason for rejecting a full-fledged performance-based evaluation for this project simply stands in its inapplicability to a Rank 3 Plan and, by default, the Downtown 2010 Sector Development Plan. With respect to Rank 1 and Rank 2 planning, various, and sometimes contradicting, decisions can be made due to interpretation discrepancies by decision-makers. Somewhat conversely, Rank 3 plans, such as sector plans, provide detailed guiding provisions that make it difficult for various understandings of one plan to emerge. As such, these plans make it difficult for outcomes attributable to the plan to be ‘bad,’ due to distorted interpretations by decision-makers, unless the plan itself is not providing policies for ‘good’ planning to begin with, which is another consideration altogether and one that this project will not touch on.

Conformance evaluations are sometimes described as “top-down,” whereby the means of plan implementation and resulting outcomes must conform to plan policies (Berke et al, 2006, p. 585). Validity can be found for the presence of a conformance-based approach within this project with respect to the chosen evaluation indicators. Specifically, the six Plan indicators focus mainly on physical land use changes. Therefore, a top-down conformance approach is more easily applicable for the cross evaluation of physical outcomes and Plan goals. If the remaining six categories within the Downtown 2010 Plan were utilized instead of the chosen evaluation indicators, then a purely performance-based assessment would be more appropriate. The categories of the Plan that are omitted from this project include social considerations such as homelessness and the arts. Even though the Rank 3 Downtown 2010 Plan provides detailed means by which to execute goals, the overall assessment of non-physical Plan outcomes may prove difficult without a performance approach that considers how, for example, social outcomes

came to be. However, it is incorrect to assume that the six chosen, land use-based indicators are segregated from other social, political, economic, and environmental considerations. The field of planning is interdisciplinary and this is further affirmed by the notion that: While individuals in other fields may know a lot about one thing, planners know a little about everything (Allmendinger, 2002). Therefore, a performance-based evaluation perspective cannot be completely negated in this project investigation. Social, economic, political, and environmental factors all play a role in the decisions that are made under a plan and, subsequently, the outcomes of those decisions. The measurement of success for this project combines performance and conformance-based assessments for a midway adoption of the two evaluation approaches. This will not only ensure that physical outcomes are evaluated based on plan provisions, but also that the aforementioned factors (social, etc.) are considered as a part of the observed outcomes. The consideration of these factors allows for a more holistic evaluation approach and one that is closely tied to the deliberation of professional planners when implementation decisions are made. Thus, the interviews conducted as a part of this thesis project provide insight on the factors that attributed to certain outcomes or lack thereof.

The integration of these success measures is one justification for utilizing a tiered evaluation methodology, rather than just one approach. If conformance alone was to guide the evaluation of the Downtown 2010 Plan, then it could be argued that only one of the data collection methods would be required to successfully conduct an assessment of Plan conformance. For example, GIS and land use maps would suffice in terms of assessing whether or not physical outcomes on the ground conform to Plan provisions. The presence of not only a conformance, but also a performance component requires the perspectives of professionals and

stakeholders involved with the Plan to speak to the unforeseen factors that may have affected outcomes or attributed to a lack of outcomes.

#### **A.2.4 When is Plan Evaluation Conducted?**

As previously mentioned, planning is a process. Therefore, the ideal plan evaluation is a continuous process that would commence prior to plan enactment (Lichfield et al, 1975). Several authors suggest continual evaluation of plans (Talen, 1999; Oliveira and Pinho, 2010; Laurian et al, 2010). Ongoing monitoring and evaluation are ideal as they provide the best opportunity to alter guiding actions and conditions based on evolving reactions to a plan (Laurian et al, 2010). Furthermore, evaluation supports a circular, continuous practice, especially when it is applied throughout the entirety of the planning process, which, in turn, allows for the accountability and accreditation of those developing plans (Oliveira and Pinho, 2009). Oliveira and Pinho (2010, p. 346) even mention, as a part of the ideology that planning and evaluation are inseparable conditions, the creation of evaluation criteria by those who crafted the plan. Calling for "a balanced development in time" with respect to planning evaluation, Oliveira and Pinho (2009, p. 37) further affirm the necessity for continuous appraisal efforts, posing an alternative to the predominant ex-ante approach, explained in more detail later on. Unfortunately, the timeliness of this project does not allow for a full-fledged application of any evaluation methodology that is integrated or continuous in nature. However, this thesis project is not attempting to emulate optimal professional planning practices as 1) this would require years of data collection and analysis, and 2) there is a lack of evaluation done by the practitioners of the Plan. Consequently, it is impossible to build on assessments beginning, say, a year after Plan adoption as this material simply does not exist. Therefore, this project provides an analysis of the Plan's implementation results a decade after it's adoption, utilizing the provisions within the

plan as the benchmarks for evaluation. As a continuous approach is logistically impossible for the Plan at hand, this seems to be the most feasible application of planning theory to planning practice and logical means of setting the evaluation criteria.

In planning literature, there are several titles that denote the specific timing of an evaluation. For example, “ex ante” refers to evaluations before the formal adoption of a plan whereby evaluation efforts would aid in the alterations and finalizations of that plan (Seasons, 2004, 54). An evaluation conducted midway through the planning process focuses on the halfway progress of a plan to determine if modifications are needed. This is often called a “formative evaluation” (Seasons, 2002, p. 54). “Ex post facto” evaluations are typically conducted at the ‘end’ of a plan or program, or when the plan has been in place long enough to allow for an evaluation of outcomes (Seasons, 2002, p. 54). This project applies the latter of the mentioned evaluation forms. While ex ante, formative, and ex post facto evaluations separately do not support a continuous planning process, together they begin to form a circular approach to evaluation. As has been mentioned in this dialogue about evaluation timing, continual evaluation throughout the entirety of the planning process is optimal. However, an ex post facto evaluation is most appropriate for the Downtown 2010 Sector Development Plan as the plan provides a designated year for when Plan goals are to be met.

In Talen’s (1996) article, she claims that plan evaluation literature mainly focuses on ex ante and formative evaluation, leaving out dialogue on ex post facto assessments. Lichfield, Kettle, and Whitbread (1975) author one of the classic books on plan evaluation theory and practice. The Lichfield et al (1975) highlight Talen’s (1996) claim in that the authors’ discussion focuses mainly on ex ante evaluation, slightly touches on formative assessments, and hardly speaks to ex post facto considerations. Lichfield et al (1975, p. 19-20) emphasize the role of

evaluation throughout the planning process and base their argument on a generic model of the planning process outlined by overarching phases and relating activities. The breakdown of the process and their subsequent discussion is, again, ex ante-focused with plan evaluation efforts heavily geared towards pre-implementation, plan design stages that include the creation of plan objectives and alternatives (Lichfield et al, 1975). Ex post facto appraisal exists as the last step of the planning process model presented by the authors. However, the remainder of the book does not expound upon this phase with respect to overall plan analysis through a comparative evaluation of predicted outcomes and real conditions (Lichfield et al, 1975). Rather, “it is the substance of the alternative, only, that is at issue (Baer, 1997, p. 332).

Notwithstanding, some authors discuss post-implementation plan evaluation more liberally in their literature. As presented in section 2.3.1, Baer (1997) identifies the various approaches to outcome evaluation based an understanding of existing literary viewpoints on the topic. Furthermore, Alexander and Faludi (1989) develop an evaluation framework to assess the outcomes of plans and policies. While Alexander and Faludi (1989) provide evaluation criteria for ex post facto stage assessment, the evaluation framework’s remaining criterion require formative and ex ante evaluations for planning process conditions such as decision making for implementation and plan preparation, respectively. Therefore, this project’s focus on an ex post facto evaluation contributes to its presence in research dialogue, one that exists but requires further attention. Understandably, optimal evaluation efforts are continual throughout the planning process, beginning before a plan is drafted and continuing to a post-implementation assessment, and even carrying on to an update of the plan. However, as previously explained, this is not feasible for this thesis project and may not be an option for some cases in professional practice that may not have initiated their evaluation efforts at the commencement of the planning

process, but, nonetheless, wish to evaluate the outcomes of a plan a period after its implementation. Providing examples and information for such an undertaking without intertwining additional planning process considerations can be useful, for some cases. This thesis serves as one example of a purely ex post facto evaluation due to the infeasibility of continual evaluation.

### **A.2.5 Who Conducts Plan Evaluation?**

The Plan-Process-Results (PPR) approach developed by Oliveira and Pinho (2009) is a proposed evaluation system whereby the planning process, which includes the creation of a plan, the implementation of a plan, and the outcomes of a plan, is cohesively evaluated. PPR, discussed in greater detail in section 2.7, was applied to plans in Portugal by an independent university institution (the university the authors were employed at), as per the Portuguese legal framework that specifies that the undertaking of an evaluation should be conducted by a university or a research center independent from the institution whose plan is under investigation. Local law in Albuquerque does not dictate the question of who should undertake these evaluation efforts. Therefore, this thesis project serves as an example of an evaluation that is conducted by an outside, academically affiliated individual. Perhaps the rationale for the Portuguese legal suggestion is based on the premise that an outside party can potentially provide an objective evaluation. By separating the institution whose plan is under evaluation from those evaluating the plan, one can theoretically eliminate personal interests from influencing evaluation outcomes.

### **A.2.6 Theory in Plan Evaluation**

Evaluation based on theory is rarely applied in professional practice (Laurian et al, 2010, p. 745). This thesis project attempts to utilize and incorporate some theory as a part of

developing and administering this project's methodology. For an understanding of the theoretical and atheoretical forms of evaluation utilized in this thesis project, please refer to the text below and Figure 3-1 in the Methodology chapter.

Based on Laurian et al's (2010, p. 743) description of planning evaluation theories, the theories that this research will adopt are called "objective-driven," "utilisation-driven," and "atheoretical data-driven" evaluations. Within the first theory, it is assumed that a plan's outputs are well-developed which will yield positive, desirable, and predictable outcomes. In this sense, it is a "positivist" theory. This thesis project views the plan under evaluation as one whose goals and objectives should not initially be the object of assessment as they are perceived to yield positive outcomes. If outcomes fail, then these outputs will undergo evaluation. Furthermore, this evaluation theory can be applied and conducted by a non-stakeholder and someone that is neutral in their expertise (Laurian et al, 2010, p. 744). As I am the one executing this evaluation, I qualify as a non-stakeholder and my expertise is not inclined towards one over the other areas addressed by the Plan. The utilisation-driven theory calls for the evaluators to be stakeholders. With respect to this project, the stakeholder interviews fall under the utilization-driven theory. Laurian et al (2010, p. 744) note that this type of evaluation theory has a strong potential to be biased. As an attempt to balance this potential for personal interests, other theories have been applied to the methodology of this project. In addition to those mentioned, an atheoretical, data-driven theory will be utilized to evaluate the available data, mainly in the form of before and after land use conditions. This approach will balance stakeholder impressions. The adaption of more than one theory base is necessary for this thesis project as the methodology calls for a multipronged data collection approach, with three different data collection methods delineated in the following two chapters.

### **A.2.7 What are Some Plan Evaluation Frameworks and Techniques?**

Laurian et al (2010) propose a "plan-outcome evaluation (POE)" methodology that begins with "plan logic mapping," an assessment of plan outputs and their potential ability to achieve stated goals through corresponding objectives. Unlike the POE approach, the evaluation conducted within this project will not begin with POE's first step. Rather, it will commence with the second POE step: determining "whether plan goals and observable outcomes match"(Laurian et al, 2010, p. 748). The evaluation undertaken by this thesis project is not a mirror of the POE approach. It does, however, include the two steps mentioned above, in reverse order, where the assessment of outputs would only occur in instances where outcomes fail or do not exist. The reason for sequential variation is based on this research project's positivist theory adoption, described in section 2.6, that assumes that the 2010 Plan's outputs are well-developed, yielding desirable and predictable outcomes. Furthermore, the third and final step of POE is applied, to a certain extent. POE calls for expert workshops to assess plans and their outcomes by determining the nature of a plan's text and their expected yield as well as identifying plan and non-plan influences that shaped the outcomes. As a partial adoption of the POE's third step, the project at hand will attain expert opinion, in the form of one-on-one interviews, on whether or not plan outputs were achieved and the reasons behind accomplishments and failures.

Oliveira and Pinho (2009) present a methodology approach coined as "Plan-Process-Results (PPR)" in which this tiered system assesses the planning process as a whole, rather than individually and separately evaluating the guiding document, the process undertaken to apply document provisions, or the outcome of plan application. The evaluation of the Downtown 2010 Sector Development Plan for the City of Albuquerque cannot include the second component of PPR: process. The timing of the evaluation is after 2010, the year designated for achievement of

Plan objectives. This omission is supported by the authors' third principle for overall planning evaluation: " the evaluation methodology should suit the object under appraisal"(Oliveira and Pinho, 2009, p. 36). Any generically constructed evaluation model, or any prototype for that matter, is adapted to fit the conditions at hand (Oliveira and Pinho, 2009, p. 37).

Seemingly, the two remaining components of PPR, P and R (plan and results), are a part of this project's initiatives. Can these two components of PPR be adapted for the methodology this project? The answer is yes. The results, or outcomes, of the 2010 Plan are the focus of this research project's evaluation efforts, while an evaluation of the plan itself is contingent upon the outcome evaluation results, as previously explained in this chapter. The real question, however, is should parts or any of the PPR approach become part of this project's procedures? The methodology proposed by the authors claims to have an emphasis on the physical side of planning (Oliveira and Pinho, 2009). However, based on the evaluation criteria developed under this methodology, physical components are not as prevalent as one would assume. Only two of the ten criteria under PPR present a physical dimension where the evaluator is to assess the development that has spawned from the given plan. This is one of the reasons that PPR is not a suitable methodology for this thesis project. The chosen categories that will undergo evaluation all encompass a physical dimension and were chosen as the focus of this project for that very reason.

The complexity of Oliveira and Pinho's (2009) methodology is another reason for rejecting a full adoption of the PPR approach. Evaluation literature emphasizes "the need to tailor evaluations to organizational realities"(Seasons, 2002, p. 45). PPR is broken down into 10 categories of measurement consisting of an internal plan assessment to a plan-influenced land use appraisal (Oliveira and Pinho, 2009). Within each of these 10 categorized assessments are

even more specific multiple measurement indicators. There are at least two or more means by which to conduct the analysis required under each of the 10 categories (Oliveira and Pinho, 2009, p. 42-47). As such, the PPR methodology appears to be 1) inapplicable for a Master's level thesis project due to the number of assessments required by the method, 2) under a professional setting, unrealistic with respect to the exorbitant amount of data collection required for an evaluation. Therefore, this may dissuade the initiation of any evaluation efforts, and 3) producing a number of varying qualitative and quantitative results that, together, maybe be difficult to assess in order to produce a straightforward conclusion. Therefore, this project will utilize select components of the PPR; mainly those that consider the physical elements of plan implementation as well as those that will become contingent evaluation criterion in the case of an implementation weakness or failure (in which case the plan itself will undergo an evaluation).

#### **A.2.8 What are Some Challenges of Plan Evaluation?**

According to Laurain et al (2010, p. 742), "evaluation of planning outcomes is underdeveloped and actual outcome evaluations by practitioners are rare." Brody and Highfield (2005) argue that the absence of a systematic evaluation of plan implementation is due to four main reasons: 1) disagreements on when plan results should be determined or with what former condition should they be compared, 2) the absence of a consensus on how to measure planning effectiveness, 3) difficulties of analyzing planning impacts throughout long periods of time, and finally 4) the debate on the concept of success in planning. Other reasons for the lack of plan evaluation in professional practice include, but are not limited to, the following: 1) creating new plans may be perceived as more rewarding to professionals than revisiting and evaluating old or existing plans, 2) the evaluation of plans can place performance pressures on those responsible for undertaking plan outputs, meaning that some may perceive an evaluation as threatening, and

3) planning departments and institutions simply may not have the resources, time, or staff to support an evaluation effort (Laurian et al, 2010, p. 746-747).

Aside from the challenges of initiating plan evaluations in the first place, there are some difficulties that arise during the evaluation process. Former ex-post evaluation attempts have, at times, failed to correlate planning outcomes and planning outputs (Laurian et al, 2010). In other words, a number of evaluations have not indicated whether the outcomes presented in their work are results of plan implementation. This challenge is often referred to as attribution. Attribution is defined as the ability to make an accurate correlation between plan outputs and plan outcomes (Laurian et al, 2010). Timing and a project deadline are significant, with respect to this challenge, in that comparative analyses of before and after conditions can more easily identify causal relationships between outputs and outcomes, whereas this may not be so feasible if a deadline is not presented as a part of a plan undertaking. In the case of this project, timing is significant as it is based on a set deadline for implementation of Plan goals and actions: 10 years. Furthermore, timing refers to the start date of a project. One method of data collection that will be utilized in this project is the comparison of land use and GIS maps dating at 1999 and 2010. This will provide a clear and visual representation of the projects that developed after the Plan was adopted. According to Laurian et al (2010, p. 747), the most effective method of dealing with attribution is to diversify evaluation approaches so that they include multiple sources, one of which should be expert opinions. The project at hand presents a triangulated evaluation methodology that consists of stakeholder and expert interviews. Therefore, this project tackles the attribution issue at the outset, within the methodology, before evaluation is actually conducted. The findings of this thesis project, found in Chapter 5, will touch on whether or not these preemptive measures were able to tackle any potential attribution problems.

## **B.2.9 Downtown Revitalization Efforts and their Plans**

This project focuses on evaluating the success of Albuquerque's Downtown 2010 Plan, a plan through which the City has attempted to revitalize its downtown. The following review focuses on literature pertaining to emerging revitalization trends, the plans and policies that have been established to forward these trends, and the role of mid-sized cities in these downtown redevelopment efforts.

### **B.2.9.1 History of American Downtown Revitalization Efforts**

Scholarly discussion of the downtown was initiated in 1920 when a United States Census record classified the majority of the American population as 'urban' (Birch, 2009). Prior to the Depression and World War II, U.S. downtowns dominated as economic hubs across various cities (Birch, 2009). Where the birth of post WWII suburbia and the heightened popularity of the automobile stories begin, the tale of downtown vibrancy, from the early 1900s, pauses for some time. In 1956, the Federal-Aid Highway Act was adopted providing funding for civic leaders to attempt to awaken their downtowns by redesigning these areas to facilitate automobile traffic (Birch, 2009). This stripped downtowns of their initial character, as a "densely built urban fabric," by manipulating their urban morphology through the adjustment of street networks, development of parking lots, and addition of interstate infrastructure (Birch, 2009, p. 138). Around the same time, suburban development influenced the relocation of numerous urban retail and business closer to sprawling neighborhoods as "development increased on the periphery" (Robertson, 1995, p. 430). As a result, the strive to redirect retail, businesses, and residents to downtown districts and bring back the vibrancy that once existed increased and facilitated even more efforts to revitalize the area in different ways (Faulk, 2006). In the late 1950s and early 1960s, writer and urban planning activist, Jane Jacobs suggested catering to "daytime workers

and evening visitors” for downtown revival (Birch, 2009, p. 139). While some architects, planners, and social scientists agreed with Jacobs at the time, they also presented a missing component in her proposed remedy: housing (Birch, 2009; Beauregard, 2005). Only decades later did the banks and government hop on the bandwagon of housing in downtown districts, starting with affordable housing which was initiated by the Congress through a Low Income Tax Credit in 1986 (Birch, 2009). Meanwhile, entertainment services, followed by a reclaim of vacant office buildings by new office employment, slowly diversified downtowns through the 1990s (Birch, 2009). The main difference between downtowns of the early 20<sup>th</sup> century and downtowns of the 21<sup>st</sup> century is that recently these areas are multiuse and multifunction organisms with a wide range of services and “niche businesses rather than a mainstream retail district”(Faulk, 2006, p. 632). Current downtown revitalization efforts are attempting to “re-manipulate” the downtown urban form, previously manipulated in the mid 1950s to appease vehicular traffic, to reverse some of the negative impacts of its original morphological manipulation. Therefore, the decision to investigate the Downtown 2010 Plan’s six physical, urban form components is justified by the morphological focus of current downtown revitalization efforts.

#### **B.2.9.2 Supporting Plans and Policies**

Based on an overarching downtown ideal that encompasses mixed uses, density, pedestrian orientation, and a multifunctional environment, Birch (2009) mentions five different changes occurring in downtowns today: 1) increasing residential development, 2) organization by various districts, 3) investment in transportation facilities, 4) attracting visitors and residents through open spaces, and 5) funding and advocacy of the area is supported by Business Improvement Districts. Albuquerque’s Downtown 2010 Plan specifically facilitates all of the

above changes. Whether or not these changes take place as a result of the Plan is another question, and one that this project seeks to answer through its evaluation endeavor.

Faulk (2006, p. 626) and Robertson (1995, p. 430-32) mention some similar changes pursued by a number of downtown redevelopment plans in the last few decades and add “historic preservation”, “waterfront development”, and “pedetrianization” to the list. While Albuquerque does have a water source, the Rio Grande River, the boundaries of the Downtown Core do not encompass the river and, therefore, waterfront development policies are not considered by the 2010 Plan. Faulk (2006) and Robertson’s (1995) remaining additions are mentioned within the 2010 Plan, and, more specifically, by two of the six categories chosen as the focus of this project: *Transportation and Parking* and *Land Use and Design*.

When plans are in place to support downtown redevelopment efforts, this sends a signal that the City is serious about making changes. Furthermore, as Faulk (2006, p. 643) suggests, “having an organization whose sole function is to advocate the interests of downtown is key.” Albuquerque’s Downtown Action Team takes on this role as it has been actively involved in implementing the 2010 Plan.

### **B.2.9.3 Challenges of Revitalization Efforts**

In many cases, the force behind revitalization efforts has been the existence of large, completely or partially vacant buildings that previously housed office, retail and entertainment uses, among others (Faulk, 2006; Beauregard, 2005). There are a couple of reasons for attending to these building vacancies. Notable vacancies can negatively affect surrounding developments and businesses by reducing property values and declining business prosperity. If nearby properties and commerce are negatively impacted by a vacancy, then there is a good chance that the decline of these properties will, in turn, affect buildings and uses surrounding them, herein

initiating a vicious cycle (Faulk, 2006). Some cases suggest that the occupation of these buildings can have an opposite effect, whereby surrounding, smaller buildings are revived by new businesses or other uses (Faulk, 2006). Furthermore, some of these empty buildings may be historically or architecturally significant to the area and their insufficient use can further deplete the downtown area in which they stand (Faulk, 2006). While these factors can provide incentives for downtown revitalization, often times there are other barriers that impede on the ability to reclaim these buildings for new uses. As Faulk (2006) suggests, there may be 1) landlords who are unwilling to rent or sell the property, as they are waiting for a bigger return on their investment, 2) redevelopment of an older building can mean extra costs for up to date building functions, and 3) there is a general lack of interest in taking over or renting the property (629).

The above considers the inability to reoccupy vacant buildings even when a plan or policies have been initiated to do so. What happens when a municipal government has not taken any action to revive its downtown and the buildings within it? Without proactive, public involvement, it is usually more difficult to reuse these buildings, for different reasons. Downtown building vacancies and a lack of municipal intervention typically point to fringe or suburban growth (Birch, 2009; Faulk, 2006). Hence, a social ignorance about the effect of congestion as well as a misunderstanding of the cost of adaptive reuse versus the cost of new development can lead to continued neglect of downtown vacancies and decline in overall vibrancy (Birch, 2006). Birch (2006) suggests fees for development and taxes for congestion as two ways to provide incentives for downtown revitalization, if policies and plans are not already in effect.

#### **B.2.9.4 Evaluation of Revitalization Efforts**

Whereas the previous sections of this project's Literature Review address plan evaluation strategies, the discussion is generic and can be applied to various plans and policies. Therefore, literature on evaluations of downtown revitalization efforts and their challenges will be discussed in this section as the Plan under evaluation by this project is a Sector Development Plan that seeks to revitalize Downtown Albuquerque through various policies.

The evaluation of downtown revitalization efforts can be conducted in a number of ways. This project seeks to evaluate the revitalization efforts in Albuquerque's downtown by adopting a midway approach between conformance and performance-based evaluations, as previously discussed. This evaluation method relies on the Plan's provisions, specifically of six chosen categories, as determinants of success. Other evaluations may adopt predetermined indicators guided by literature and theory. Indicators, whether predetermined, based on a plan's provisions or guiding policies, can prompt quantitative or qualitative methods based on the nature of these indicators. Examples of indicators that prompt quantitative measurements include "population, housing, business activity, and property values" (Faulk, 2006, p. 639).

#### **B.2.9.5 Challenges of Evaluating Revitalization Efforts**

Investigating downtown districts has its challenges. Overall, the defining boundaries of a downtown vary by region and, therefore, cannot be determined by a generic definition (Birch, 2009; Faulk, 2006). Birch (2009) suggests observing local definitions or designations in order to determine a region's downtown boundaries. Albuquerque's Downtown 2010 Plan identifies the boundaries of the Downtown Core by providing a map that clearly indicates the Core boundaries. Therefore, this challenge is overcome at the outset. Additional impediments to redevelopment evaluations include the availability of quantitative data on downtown areas to measure features

like residential income levels and occupancy uses and numbers (Falk, 2006). Mentions of this challenge within the literature refer to success indicators that have been developed generically, so that various plan evaluations can employ them (Faulk, 2006). As this project's methodology indicates, Plan policies are the indicators of success and an assessment can be made through primarily qualitative measures. Therefore, the potential struggle of acquiring aggregate data specific to the Core's boundaries is avoidable. The nature of the Plan's categories chosen for investigation, as well as these categories' overarching policies and guiding actions, call for determinations of success based on qualitative data and assessments. While the sole consideration of Plan provisions as indicators of success describes a conformance-based evaluation, a midway approach (such as the one adopted for this project) requires analysis of these indicators in light of other environmental factors. In other words, the performance-based component of the evaluations for this project will look at interplaying elements to determine success of Plan policies. This project's tiered methodology results are evaluated through a midway between conformance and performance-based assessment standard, so that the difficulty of attaining quantitative data, as mentioned by the literature, is completely avoided.

#### **B.2.10 Midsized Cities**

The literature available on downtown redevelopment efforts in midsized cities is limited. In Canada, cities are midsized if they range from fifty to five hundred thousand residents (Seasons, 2003). However, this quantitative classification cannot be applied to Albuquerque as "the Canadian urban settlement pattern...has evolved differently when compared with similar-sized cities in the United States" (Seasons, 2003, p. 66-67). Therefore, the U.S. Census Bureau (2008) dictates the classification of a midsized city as one that maintains between 200,000 and 640,999 residents. According to the 2010 U.S. Census Bureau data, the population of

Albuquerque was 545,852, qualifying the city as one that is midsized. Albuquerque is one of 2,500 midsized communities in the nation (U.S. Census Bureau, 2008). This significant number warrants the need for additional studies, especially those that are U.S. based, and literature on midsized cities.

In Canada, midsized cities harbor certain qualities or a combination of factors that are unique to the midsized experience. These include aging infrastructure, fringe development conflicts between urban and rural areas, and needed brownfield redevelopment (Seasons, 2003, p. 67). Notably, these cities also face similar struggles found in larger “metropolitan centers” (Seasons, 2003, p. 68). While the same conditions can be assumed for the American midsized city, this cannot be confirmed without supporting literature, which simply does not exist, with one slight exception: Walker’s (2008) book provides a vision and approach for downtown planning in midsized communities. The book mainly provides guidelines for achieving various, desired conditions within a downtown. While the content is comprehensive with respect to downtown planning goals and means of achieving those goals, guiding public planners and private consultants, the discussion on midsized cities is limited.

Missing from the overall discussion on midsized U.S. cities in the limited, but existing literature on the topic is 1) an assessment of the characteristics that distinguish midsized U.S. cities from larger cities, 2) characteristics shared by both midsized communities and their larger counterparts, and 3) whether or not midsized U.S. cities can and should apply the same downtown planning concepts and methods as those adopted by large cities. The latter of the aforementioned missing components in the literature is implied by the existence of Walker’s (2008) book. However, the causes of point three are not well established in the available literature on midsized cities. While this study does not seek to shed light on any of the above,

the conditions of Albuquerque's revitalizing Downtown can provide some perspective on the realities of one U.S. midsize city. Existing or future studies on other midsize cities can be assessed, alongside this one, to determine if similar or differing conditions exist between midsize cities and, more specifically, with respect to their downtowns.

## **Chapter 3**

### **Research Methods**

This chapter discusses the three different data collection methods employed for this project: 1) Stakeholder and expert interviews, 2) Land use and GIS maps, and 3) Personal observations. The nature, timing, advantages and disadvantages of each method, and data collection protocol are delineated.

#### **3.1 Nature of Data Collection Methods**

This project applies qualitative and quantitative research methods in the form of three different data collection means. While the three methods, delineated below, primarily yield qualitative data, a quantitative component within the primary methods diversifies the resulting measurement outcomes. As such, this mixed methods project utilizes “the strengths of both qualitative and quantitative research” by representing both data forms in the ultimate analysis (Creswell, 2009, p. 203). Furthermore, the use of quantitative approaches provides a means of cross-validating the qualitative results (Creswell, 2009, p. 213).

Notably, this project employs a triangulated research approach with the use of three different methods of data collection. Triangulation adds to this project’s intent to validate resulting data as it provides more than one way of answering the research question. If only two research methods are used in a study, then there is a chance they might provide contradicting sets of results. Three research approaches ensure validation and eliminate the need to reconsider methods or the initial research inquiry. According to Seasons, “The evaluation literature often advocates a structured, formalized approach to research that combines qualitative and quantitative research methods, following the principle of triangulation” (2002, p. 45).

### **3.2 Data Collection Timing**

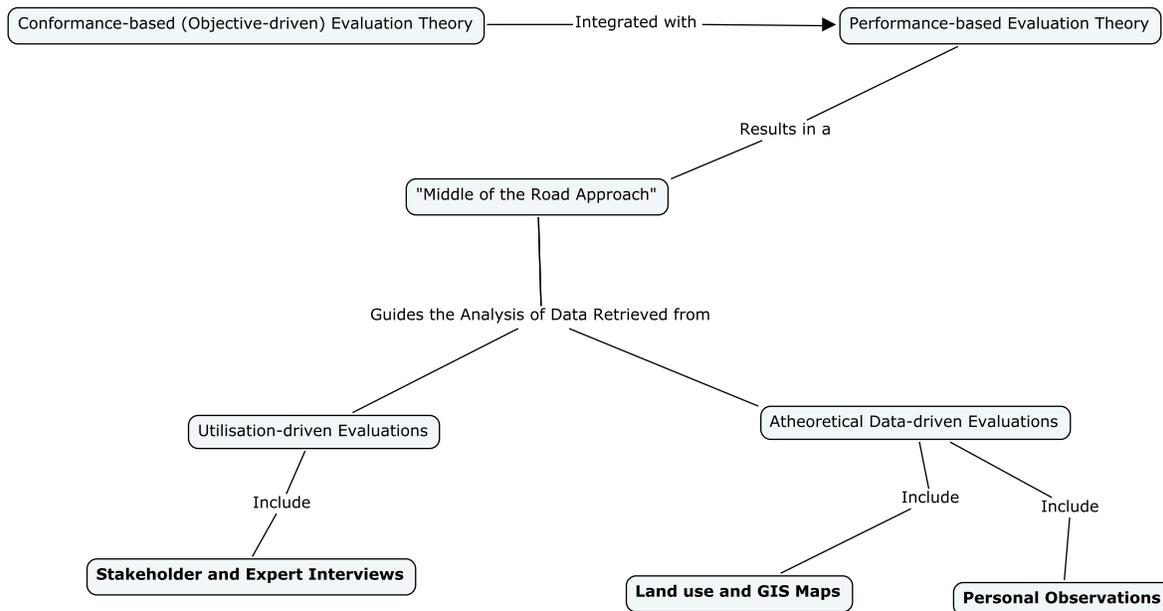
The timing of the data collection is concurrent. The commencement of one method before the other is solely due to convenience rather than intent. This primarily refers to the interviews and personal observations, and less to the map and land use assessments. Personal observations were conducted onsite during December of 2011 when I, the researcher, was able to make a visit to the project location. Phone interviews followed this visit, while the GIS and land use assessments occurred throughout the time of the two mentioned methodologies. With respect to the qualitative versus quantitative components of this project and the nature of data collection timing, a concurrent, embedded strategy for mixed method data collection was applied. Creswell (2009, p. 214) describes this strategy as one that integrates the concurrent collection of quantitative and qualitative data. In the case of this study, this concurrent integration occurred during the interviews with the primary database stemming from the qualitative questions and the secondary, supporting database resulting from the likert scale questionnaire. This questionnaire does not address different subjects from the primary, qualitative questions. Rather, this questionnaire provides questions that seek information parallel to the primary interview questions in an effort to cross-validate the resulting qualitative data.

### **3.3 Qualitative versus Quantitative Methods**

As mentioned, this project places more weight on the qualitative methods. There are several reasons for this emphasis. First, qualitative methods allow for research to occur in a setting that is not fabricated by the researcher. In other words, this project contains data that were obtained from the natural setting of the area under investigation. More specifically, the setting under which the personal observations and analysis of maps were conducted was natural in the sense that it was not mimicked in a laboratory, rather directly surveyed or examined

through an accurate representation of a true, natural state. Second, the predominance of qualitative methods is typically associated with more than one data collection method “such as interviews, observations, and documents, rather than rely[ing] on a single data source,” much like the project at hand (Creswell, 2009, p. 175). Third, qualitative researchers typically apply theory as a frame of reference for their study (Creswell, 2009). This thesis project benefits from theory in a number of ways. Theory is present within this project’s methodology, analysis, and conclusions from the application of a mean of conformance and performance evaluation measurements to reasons for divergence from Plan provisions based on downtown literature and theory.

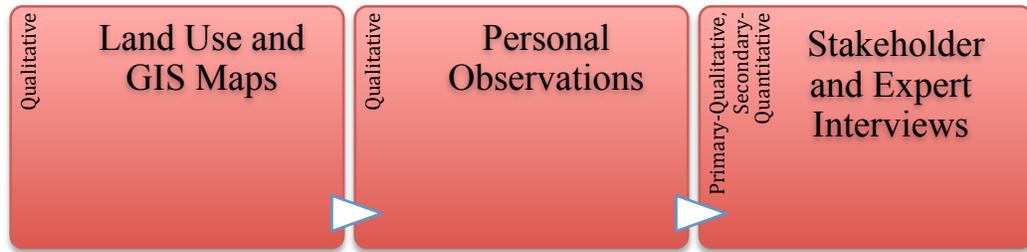
The following figure displays the existence of theory in this project’s evaluation methodology. This visual brings in the discussion from section 2.6 Theory in Plan Evaluation as it applies to the triangulated methods, all of which are utilized to conduct a plan evaluation based on a midway adaption of conformance and performance standards.



**Figure 3-1: Theory in Evaluation Methodology**

### 3.4 Strengths and Weaknesses of Data Collection Methods

The types of data collection procedures used for this study are: 1) Semi-structured interviews (and a questionnaire) with planners and professionals, 2) Personal observations and photographic documentation, and 3) Before and after land use map and GIS comparisons.



**Figure 3-2: Data Collection Methods**

Please refer to Table 3-1 for a description of each data collection type’s description, advantages, and limitations.

Data Collection Type	Description	Advantages	Limitations
Semi-structured Interviews	<ul style="list-style-type: none"> <li>Telephone interviews with both a qualitative and quantitative component. The quantitative component being the supplementary Likert scale questionnaire.</li> </ul>	<ul style="list-style-type: none"> <li>Semi-structured interviews allow the researcher a fair amount of control over the inquiry with some room for additional questions and dialogue to be brought up during the actual interview process.</li> </ul>	<ul style="list-style-type: none"> <li>The interviewee’s affiliation with the Plan and professional standing may bias their responses.</li> </ul>
Observations	<ul style="list-style-type: none"> <li>The observer/researcher solely observes without taking on a participatory role.</li> </ul>	<ul style="list-style-type: none"> <li>Allows for onsite experience with locale in question.</li> <li>Provides the potential for discovering aspects that may</li> </ul>	<ul style="list-style-type: none"> <li>These may prove insufficient without the aid of additional data that indicate, in the case of this project, the conditions</li> </ul>

		not come up in the other two procedures.	approximately 10 years prior to the current observed state.
Land use and GIS Maps	<ul style="list-style-type: none"> <li>• Maps from 1999 and 2010 are compared in an effort to determine Plan land use outcomes.</li> </ul>	<ul style="list-style-type: none"> <li>• Can be accessed at a time that is convenient to the researcher.</li> </ul>	<ul style="list-style-type: none"> <li>• This information may not be easily accessible to the public and may require private access.</li> </ul>

**Table 3-1: Advantages and Limitations of Research Methods**

The structure for this table was partially adapted from Creswell (2009, p. 179).

### 3.5 Data Collection Protocol

Data collection protocol was utilized in this project, particularly for the observations and interviews. Specifically, observations were recorded through photographic documentation. The location of each photograph taken was recorded on a detailed map of Downtown Albuquerque. Furthermore, based on Creswell’s (2009, p. 181-82) suggestion, “descriptive notes” and “reflective notes” were recorded to depict the condition of the built environment as well as corresponding interpretations and perceptions of these observed conditions. Interviews are a little more complicated. The protocol for interviews is as follows: 1) An ethically approved letter, by the University of Waterloo, is sent via email to the prospective interviewee for recruitment, 2) Once the interview candidate accepts the interview request, a phone interview is scheduled for a specific time and date, 3) I, the interviewer conducts the interview based on the ethically preapproved questions provided to the interviewee prior to the scheduled interview date, 4) All of the composed questions will be asked as well as any questions that may pop up during the conversation, 5) The quantitative questionnaire is provided after the qualitative questions are completed. The interviewee has the option of preparing the answers to the questionnaire prior to the interview and either verbally relaying them to the interviewer during

the interview or sending them via email, 6) The interviewee will be asked to provide the name and contact information of one or more individuals that may be a potential subject for future interviews, 7) The interviewee will be thanked for their time and help at the end of the interview and also through an email. It should also be mentioned that the interviews were recorded through audiotaping where consent was provided by the interviewee. Notably, consent for audiotaping was provided by all of the interviewees. Furthermore, I, the researcher, took notes during every interview in case of technological malfunctions. Direct quotations or paraphrased data were sent to the respective interviewee so that she/he would have a chance to look over them and assure the accuracy of what is presented in this report.

Both primary and secondary data are used in this study. Primary data are collected through the interviews and observations. Land use and GIS maps qualify as secondary data. The advantage of primary data is that they are catered to the research at hand. Questions posed to those interviewed are shaped by the interviewer to gain information about the specific research topic. Furthermore, primary data are the most up to date information gathered within this study, as the opinions and information provided by those who are interviewed are, in some cases, more recent than the secondary data that accompanies this research. However, secondary data are more easily and quickly accessible. The combination of both fills in the gaps that may exist with the use of one and not the other.

Any research project that involves primary data and the use of human subjects requires some ethical considerations. As previously mentioned, the interview candidates for this study were emailed the interview questions prior to the interview to ensure that the candidates knew what to expect during the actual interview. Furthermore, participants were only expected to answer questions they were comfortable with. The purpose of audio recording the interviews is

to ensure accuracy and a thorough understanding of the responses. The participants' responses remain anonymous and the participants do not have their names associated with quotations in the research paper unless they allowed it through a written consent form. Those who did not provide consent remained anonymous and their names were coded to ensure the protection of their identity. Interview data are only accessible to the principal investigator. Access to computer files and hard copy versions is restricted to the interviewer and secured through a computer password known only to the principal researcher. Hard copy files are secured in a locked room that is accessible only to the principal researcher. All electronic data will be erased within two years of the completion of the research. Physical data will be shredded within 2 years of project completion. Any applied coding to ensure the anonymity of participants will be electronically stored and destroyed within 2 years after project completion.

This thesis project uses purposeful and snowball sampling approaches. The interviews conducted for this project are purposefully conducted with those who have a professional involvement with the Downtown 2010 Plan. The professionals who are initially chosen for an interview are then asked to provide the contact information for others that have a similar affiliation with the Plan and have not yet been contacted by the researcher. This referral exercise is referred to as a snowball sampling approach (Patton, 2002a, p. 237). The sample size for the interviews in this study, being 6 individuals, is appropriate for the project's intent. Being that the interviews are with stakeholders or professionals who have a direct affiliation with the Plan, there is a large depth to the interviews. The sampling size relates to and is reflective of purposeful sampling. The intent of the study is to gain information about the influence of the Plan in question on Downtown Albuquerque through an exploration of its state prior to the Plan's implementation and a decade after its official approval. Therefore, the sample size has

been limited to professionals and stakeholders who have been affiliated with the Plan.

Interviews with these individuals also tackle the issue of attribution brought up by Laurain et al's (2010) discussion on plan evaluation considerations. The attribution question asks, 'How can we be sure that current physical conditions within the study area are results of or attributable to the plan in question?' Purposeful sampling allows for credible insight on this issue.

There are a few types of questions asked in the interviews. First, a background question is asked to determine the occupation of each interviewee and their relation to the Plan. The second category of questions falls under "Opinion Questions" which aim to understand the opinion and judgment of the interviewees about the issue at hand (Patton, 2002b, p. 350). The majority of the questions asked during the interviews fall under the "Time Frame of Question" grouping that asks about conditions of the past and now (Patton, 2002b, p. 351). The sequencing of questions begins with interviewee background questions and is followed by time of frame and opinion questions relating to the six chosen categories within the Plan. As an instigator for a concluding remark, the final question within the qualitative portion of the interview seeks the opinion of the interviewee on the overall success of the Plan.

### **3.6 Evaluation Indicators**

Within Albuquerque's Downtown 2010 Sector Development Plan exist twelve categories, of which six were chosen as the focus of this thesis project and, subsequently, as the indicators of measurement for the evaluation that was conducted. These indicators "provide the basis for assessment of progress (or otherwise) towards the achievement of stated goals and objectives"(Seasons, 2002, p. 44). The ranking of this Plan plays an important role in the decision to set the Plan's chosen categories as the benchmarks for success. The City of Albuquerque Planning department develops plans under a tiered ranking system whereby the

Rank 1 plan is the City's overarching Comprehensive Plan, Rank 2 plans apply to more specific regions of the city, such as the West Side or the North Valley, and Rank 3 plans are often sector plans, apply to neighborhoods or small districts, and provide the most specific provisions out of any other Rank 1 or 2 plan (City of Albuquerque, 2012). Therefore, this and other Rank 3 plans avoid the contention that some plans are simply not evaluable based on their listed objectives that are "vaguely worded. This permits selective interpretation of intent, which may suit political purposes. However, vagueness in wording complicates efforts to determine direction or level of success or failure with plan-related activity"(Seasons, 2002, p. 54). This may be a consideration for Rank 1 and 2 plans, that utilize loose language to provide general and flexible guidance for higher ranking plans that must conform to these lower ranking plans. Rank 3 plans differ in this regard as they provide the most detailed policies that guide municipal conditions. Therefore, the policies and implementations actions within the Downtown 2010 Plan are unambiguous, allowing them to be reliable measurement indicators.

## **Chapter 4**

### **Data Management**

Chapter 4 continues the content of Chapter 3 with a delineation of the methodology for this project. Thereafter, rationale is provided for adopting each of the three data collection methods. Following each method's rationale is an explanation of the techniques applied to organize and manage the resulting data.

#### **4.1 Personal Observations**

##### **4.1.1 Photographs**

The use of photographs in this study serves a number of purposes. First, photographs deliver empirical research value as they are evidence-based, rather than mere illustrations (Gaber and Gaber, 2004). This claim refers to the capture and use of photos in a way that is deliberate and orderly. According to Gaber and Gaber, "The veracity of photographs is determined by the purposeful activities of the photographer to capture images that provide explanatory information to an established theory and/or other data sets" (2004, p. 223). The snapshots taken for this project are not haphazardly captured nor do they simply provide validation of the presence of an object or condition in Downtown Albuquerque. Rather, they are taken with the provisions of the 2010 Plan in mind as well as an understanding of their role alongside two other sets of data for this project. Photographs are empirical if they can 1) be deliberated based on their clear, unaltered representation of the research topic, 2) provide variables that are guided by theory, and 3) be catalogued based on these imaged variables to discern their relation to other visual components in the photograph (Gaber and Gaber, 2004, p. 224). With consideration to the project at hand, the photographs taken as part of the evaluation methodology fall well under the foregoing requirements that distinguish illustrative photographs from photographs with empirical

value. How so? The photographs taken during my observations of the Downtown Core are not doctored in any way. They were taken with a handheld camera that was continuously on the “auto” function. From the time each image was captured and onward, it has not been altered or distorted. Each photograph presents an accurate representation of the conditions at the very moment it was snapped. As a result, these photographs can be managed and analyzed individually and alongside other data. The selection of the captured settings is guided by an understanding of the six focus 2010 Plan categories. From *Urban Housing* to *Transportation and Parking*, each of the six categories within the Plan provides reasoning for choosing to photograph something or to bypass something else. For example, the *Urban Housing* section dictates a target number of residents in the Downtown Core by 2010 and provides actions by which to achieve this goal. One of the *Urban Housing* actions calls for the development of various housing options (City of Albuquerque Planning Department and the Downtown Action Team, 2000). Therefore, my observations and several corresponding photos focus on capturing the existence of housing development, or lack thereof, in the Downtown Core. The photographs that are taken then become variables in the data and contribute to the overall project analysis. Images are indexed in a couple of ways. All photos are recorded on a detailed map of the Downtown Core to indicate their location and sequencing. Based on this archive and the presence of various objects, buildings, or settings (i.e. variables) in each image, relational insight is obtainable.

Second, the employment of photographs within this thesis investigation qualifies as “photographic survey research” due to the images’ “eye-level view” of the Downtown core, providing detailed perspective and documentation of the area’s physical conditions (Gaber and Gaber, 2004, p. 227). This visual data are incorporated alongside other data in a mixed-method

research approach that is known as triangulation, or convergence. As touched on in Chapter 3, triangulation allows for the use of differing methods that all analyze the same condition, question, or set of questions. Gaber and Gaber (2004) suggest that visual data in a convergence research approach can work alongside GIS findings to yield well-grounded findings. The goals within the Downtown 2010 Plan are not meant to be appreciated or appraised at a birds-eye, or top-down view typically provided by a land use or GIS map. Therefore, a comprehensive assessment of their existence and functionality requires on-site observations that can be recorded through street-level photography.

Finally, the empirical management and analysis of photos is rare in planning literature and research. Gaber and Gaber (2004) are amongst the few scholars that have pushed for this perspective on and use of photos in planning related research. Consequently, the adoption of this unique data management and analysis approach further attributes to the gaps in the literature with respect to photographic research in planning studies. If photographs within a study are taken following the aforementioned empirical requirements, then “In the final analysis, a picture framed in the proper methodological and theoretical context should be able to tell more than a thousand words”(Gaber and Gaber, 2004, p. 235).

#### **4.1.2 Observational Procedures**

A total of 111 photographs were taken for this project. All images were documented through a sequential numbering system, on a copy of the downtown core map, much like the ones provided on pages 4 and 29 within the 2010 Plan. Whereas these two maps depict a general picture of the Core boundary and the districts within the Core, respectively, the map that was utilized for indexing the images taken during the personal observations differs slightly from the aforementioned maps in that it provides a more detailed illustration of the buildings in the Core

boundary. This map was retrieved from the Albuquerque GIS department in person and is available to the public, much like many other GIS Department maps and publications. This map was made for the Plan, although different versions of it have been used in the Plan document, as previously mentioned. Consequently, this map, and the others in the Plan, dates back to November of 1998. The reasoning for using an outdated map is twofold: 1) The map clearly displays the boundary of the Downtown Core as it was intended by the Plan, and 2) When a photograph was taken of a building, for example, I, the observer, could immediately determine whether or not it existed before the implementation of the Plan. This provided some perspective onsite, at the time of the observations, rather than later on, away from the physical setting. It should be noted that the map did not guide the observations or decisions relating to what should or shouldn't be photographed. *Rather, the six selected Plan categories guided the observations and resulting images.* The observations were not conducted to merely examine what did not exist prior to the plan. One reason for avoiding this approach is an action under the *Land Use and Design* category that seeks to preserve, restore, and reuse historic sites (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 8). If the focus of the observations and photographs were limited to new developments and conditions within the Downtown Core, then this method would fail to capture some of the aims of the Plan.

All images have been organized alongside their corresponding observational notes. Before I address the management of the photograph/observation methodology data, let me first touch on the details of the observations that accompanied these photographs. These qualitative observations were semi-structured in that they focused on conditions within the Downtown Core that were related to the 2010 Plan objectives under the six focus categories. Notes were taken throughout the observation periods and organized under these two headings: descriptive notes

and reflective notes, as per Creswell's (2009, p. 181) suggestion for "observational protocol." My role during these observations was as a "complete observer" in that I was not necessarily a "participant" during my field visits (Creswell, 2009, p. 179). In other words, while I was engaging in some form of participation, such as automatically claiming the role of a pedestrian as I was walking around the area, I was not solely there to walk around the area and partake in, say, shopping, dining, employment, and residential activities. My intention was to observe in, as mentioned, a semi-structured manner and to record my observations through photographs and written notes. The nature of this project did not require my observational status to be participatory as the six Plan categories picked for evaluation are physical and land use or development-based. Furthermore, my role as an observer was not concealed as, again, the nature of the project did not require me to do so to obtain needed information. It was obvious to an onlooker that I was participating in some sort of an investigative role with my notepad and camera at hand throughout the entire process.

Based on the maps within the Plan, and the one that I used as an index for the pictures I took, I was able to identify the boundaries of the Downtown Core. Throughout my observations, I mainly stayed within the signified borders of the Core area with one exception: I strayed outside the boundaries into some surrounding neighborhoods to investigate a goal under the *Healthy Neighborhoods* category. Specifically, this overarching goal seeks to protect the neighborhoods surrounding the Downtown Core boundaries by maintaining their original character and prohibiting the encroachment of downtown development and revitalization efforts (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 9).

Data collected during the site observations were recorded systematically. Each photograph that I took was recorded on the Downtown map, as mentioned above, as well as

within my observation notes. Sometimes, more than one photograph was devoted to a development or condition. In such a case, it was thought that an additional image or a different angle of the same content would prove useful in future renderings and analysis. When this occurred, the series of photographs and their corresponding image numbers were recorded under the same observational note. Furthermore, the date of the observation was indicated at the top of each note page. Two maps were used to index image locations, each corresponding to one of the two days in which the photographs and observations were conducted. The two maps used to indicate the photographs' locations were essentially one map of the core area cut in half. The southern portion of the Downtown Core was observed on the 31<sup>st</sup> of December, while the remaining northern area was the focus for the 4<sup>th</sup> of January. Appendix D provides a copy of these two maps.

Two days, one being the 31<sup>st</sup> of December and the other the 4<sup>th</sup> of January, were spent observing Albuquerque's Downtown Core from about 10am until 4pm on both days with an hour break for rest and food. In total, ten hours of observation were devoted to the 321 acre Core and a few blocks outside the boundaries, as mentioned. It would not have been sufficient to conduct the observations in one day. Two days were needed to successfully observe and document the onsite realities of Albuquerque's Downtown Core. It should be noted that the observations focused on the physical conditions of the Downtown Core, as this project seeks to evaluate only six of the twelve categories within the Plan. The categories under evaluation by this project are mainly physical, land use-based, and development oriented. Therefore, it is unnecessary to conduct further observations that could, for example, investigate human participants within the Core. There are several reasons for eliminating this approach. First, from *Transportation and Parking* to *Urban Retailing*, the goals and actions that support these categorical titles heavily

seek to alter and enhance the physical condition of the Core area (which undoubtedly has an effect on social circumstances, but as an attempt to focus this project's scope on the explicit provisions within the Plan, will not be included within the evaluation parameters) do not require the onsite examination of human participants such as pedestrians. Second, this data collection method is one of three, in a triangulated methodology approach. The inclusion of human participants is allocated for the stakeholder and expert interviews. Participants, specifically those that have a strong relation to the creation, adoption, and application of the Plan, will be most useful within the interview component of this project's methodology. Finally, if this project were to address, say, individuals present within the Downtown Core and their interactions with the built environment (which, again, would stray from the intent to use the Plan's physically-oriented provisions as indicators for success), then this might require a completely separate data methods approach as the photography component might be eliminated due to ethical and consent considerations. Consequently, this hypothetical addition to the current methodology would unnecessarily broaden the extent of what is being measured and how it's being measured.

The following is one example of an observational note for Image 5, also displayed below (converted from handwritten to typed format):



**Image 4-1: Personal Observations Image 5**

<i>Image Number: 5</i>	<i>Date/Time: 12-31-11, 10:32 am</i>
<b>Descriptive Notes:</b> 202 Central Avenue	<b>Reflective Notes:</b> The buildings adhere to the Plan building façade standards for Central Avenue
Two vacant, multistory buildings	These buildings are located within the warehouse district, as per the Plan’s designations. Retail and office uses are permitted.
Street wall façade elements include storefront windows on the first, second, and third floors.	Why are these buildings vacant? They appear to be new based on their condition.
Height variety exists between the two buildings.	Their location is prime for retail services. Neighborhoods surround the eastern entrance to the Core, where these buildings are located. Inner Core residents, such as the ones living in the 100 Gold lofts are a 5 minute walk from these buildings.
	A mixed-use approach can accommodate offices on the upper floors and retail at the street level.
	<i>Urban Retailing</i> calls for variety retail services and the use of existing buildings to facilitate this objective.

**Table 4-1: Observational Note Example**

Again, an observational note, such as the example above, was at times devoted to more than one picture, where a series of photos captured the same development or condition through different angles or different perspectives that portrayed the various surrounds of the focal image variable.

#### **4.1.3 Data Management of Photographs and Observations**

Each method within the triangulated methodology for this project has been separately organized in preparation for analysis through a coding process. Once all methods have been individually coded, commonalities are identified amongst these codes. Thereafter, a critical examination of these codes produces a handful of resulting themes, delivering a cumulative analysis of all data sets. The codes that have been developed for each data collection approach within the methodology “use some combination of predetermined and emerging codes” (Creswell, 2009, p. 187). The predetermined codes are based on the six categories within the Plan that are under evaluation. Emerging codes develop from findings based on the data. This approach to data coding has been selected through careful deliberation and stems from the nature of the project. The evaluative nature of this thesis requires preliminary coding, as the intent of the project is to assess Plan deliverables. Additional, unexpected, or unrelated findings will produce emerging codes. The use of both coding approaches allows for a starting point and initial structure with priori coding and an allowance for new and unanticipated realities through unbiased, emerging codes. It should be noted that the quantitative portion of this study will not undergo the coding process and the results of the Likert scale interviews will, instead, be displayed in the form of several graph, found in Appendix H, and included in the overall analysis.

The table below presents the predetermined and emerged codes for the observation and image data set. The main codes are listed to the far left with each corresponding definition immediately to the right. Sub-codes are dignified with an asterisk. If two asterisks precede a code, then it is a division of the sub-code. A number of codes are set up in a hierarchical manner, which is a product of reorganizing the initial code list. Observational notes and their respective image numbers are categorized under the appropriate code. A series of numbers within brackets refers to one observational note based on a number of images relating to the same subject. A number alone means that one observational note is devoted to that single image. As previously mentioned, the categories of the Plan under evaluation within this project are heavily based on physical conditions. Therefore, priori codes, stemming from these Plan categories, are mainly descriptive and setting-based. The evolving codes identify conditions discovered during the observation that have not been listed by the predetermined codes. Notably, the image numbers indicated in the following table correspond to those indicated on the maps in Appendix D.

# OBSERVATION/IMAGE CODES

FINAL CODES FOR OBSERVATIONAL NOTES AND CORRESPONDING IMAGES

CODE/SUBCODE	DEFINITION	ORGANIZATIONAL NOTE/IMAGE NUMBER(S)
<b>PARKING</b>	Refers to the variety of existing parking options and infrastructure types	
*Onstreet		[44, 45], 51, 53, 69, 74, 110
*Long-term		24
*Short-term		14, 23, 63, 71
*Surface		22, 36, 37, 53, 60, 74, 93, 108
*Structure		14, 23, 27, 33, 63, 71, 79, 81, 93
<b>TRANSPORTATION</b>	Identifies different transportation options and their respective facilities	
*Pedestrian Facilities		8, 70, 107
*Bicycle Facilities		43
*Transit Facilities		[16, 17, 18, 19], [55, 56, 57]
<b>RESIDENTIAL</b>	Considers the state of Core housing as well as affects, if any, of revitalization efforts on surrounding neighborhoods	
*Urban Housing		[11, 12,13], 15, [24, 25], [28,29], 30, 31, 32, [61, 62], 101
**High Density	Refers to lofts or apartment complexes	[11, 12,13], 15, [28,29], [61, 62], 101
**Low Density	Mainly townhouses or single unit dwellings	[24, 25], 30, 31, 32, 50, 103, 105
*Adjacent Neighborhoods		[1,2], [83, 84], [85, 86], [87, 88, 90, 91], 106
*Zachary Castle		[24, 25]
<b>RETAIL</b>	Looks at current retail venues and vacant buildings that can support retail services ranging from specialty shops to theaters and restaurants	
*Vacant Buildings		5, 58, 101, 109
*Existing Retail		10, 20, 34, 39, [40, 41, 42], 49, 54, 64, 80, [94, 95, 96], 102, 111
<b>OPEN SPACE</b>	Listed under this code is data that identifies the existence of open spaces, such as plazas, and potential for open space use, such as vacant lots.	
*Plazas		[46, 47], 59, 99
*Vacant Lots		26
<b>PARKS</b>	Existing parks within the core	104
<b>STREET AMENITIES</b>	Classified under this code are street amenities that range from street furniture to signage	9, 38, 43, [44, 45], 48, 51
<b>RELIGIOUS VENUES</b>	Churches, Synagogues, Mosques, Temples, etc	[3,4]
<b>SKYLINE</b>	Street view of the Core skyline from various locations and angles	[6,7]
<b>MIXED USE</b>	Buildings that display a mix of uses such as retail on the street level and offices on the upper floors	[11, 12,13], 21, 52, 81, 98, 101
<b>DESIGN PRESERVATION</b>	Buildings or structures respect the area's existing character	32, 33, 34, 38, [40, 41, 42], [44, 45],[81, 82]
<b>PUBLIC BUILDINGS</b>	Federal, State or municipal buildings	[65, 66, 67, 68], [72, 73], [75, 76, 77, 78], 100
<b>REUSE</b>	The preservation or adaptive reuse of buildings	[40, 41, 42], 54, 92

**Table 4-2: Observational Data Coding**

The codes that emerge from the observations are equally as important as the priori codes for they provide additional information that guides overall data assessment. While some of the emerging codes are not mentioned within the Plan's text, such as 'Religious Venues', 'Skyline', and 'Zachary Castle', others can be found under the detailed actions that further the Plan's overarching goals as well as the District Map, such as 'Design Preservation', 'Mixed Use', 'Public Buildings', 'High Density', and 'Low Density'. The First Baptist Church was the only religious venue found within the designated Core boundaries. Although not touched on by the Plan, the presence of religious venues in downtown areas can play a big part in shaping a city's core. Downtown churches tend to make a mark on the heart of the city much like the architecture of notable buildings within city skylines (Price, 2000). While the topic of religious venues within the downtown will not be further explored in this project, it is a consideration for discussions on downtown revitalization and is included in the observations coding profile to provide a more holistic representation of the area under investigation.

In an article about Seattle's skyline, Berger (2010, p.1) discusses differing perspectives from those involved in making decisions about the City's future and academics in the field of architecture that describe a city's skyline as a "cultural resource." According to Berger (2010, p.1), "a skyline says a lot about a city." That being said, Albuquerque's skyline has been subject to change since the implementation of the Plan in 2000. The Plan has called for development of high-density housing options that could potentially lead to developments that have a presence in the downtown's skyline. Therefore, skyline images, observational notes and the emerging code all, in a way, relate to the Plan's efforts to maintain the area's existing urban design conditions. The skyline provides an opportunity to examine the success of this Plan provision through a macro-scale perspective.

Located at the northeast corner of 2<sup>nd</sup> Street and Lead Avenue is the house of jewelry artist Gertrude Zachary. The architecture of this home resembles that of a castle and sits on a total of 10,000 square feet, including the attached guesthouse (St. Cyr, 2009). In an interview about her home, in 2009, Zachary explained that her inspiration for the design of the house came from a trip to Paris. In the initial stages of designing her dream home, Zachary met with several architects, many of whom attempted to dissuade her from adopting a European style and, instead, looking into a southwestern design that would fit the area (St. Cyr, 2009). Zachary was, however, set on her Paris-inspired architecture and, eventually her house was completed in 2008 (Siler, 2011). The location of Zachary's home is something that she would not negotiate. She had lived downtown for several years prior to her new residence and was keen on having her home built there (St. Cyr, 2009; Siler, 2011). The District Map within the Plan designates the land on which Zachary's home stands as "Warehouse Focus" (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 29). Whereas the District Uses Matrix does not explicitly prohibit nor permit residential uses within the warehouse district, all development requires approval from the City. Zachary's home presents an example of simultaneous Plan conformance failure and success. The adopted middle of the road approach proves useful for the assessment of overall Plan success and, specifically, this particular development. This case will be further expounded upon in the upcoming chapter, under the *Urban Housing* section, where Plan success is discussed by category.

The observations conducted on January 4, 2011 were mainly concentrated in the northern portion of the Core boundaries. There, a number of government buildings line the street corners mainly the area between Marble and Tijeras at 7<sup>th</sup> and 3<sup>rd</sup> Streets. Other government buildings can be found scattered elsewhere within the Core boundaries. The abundance of public buildings

in the downtown region is evident by the Plan's District Uses Map and, therefore, has been added to the observation's code list. Additional codes that evolved from the observations that are also listed within the Plan's District Uses Matrix include 'Mixed Use', as its own district and 'High Density' and 'Low Density', codes that serve to describe the types of residential developments found within the Housing district.

It should be emphasized that the coding chart for this data method (Table 4-2) is in no way quantitatively telling based on the frequency, or number of observational notes and corresponding pictures listed under each code. In other words, codes with a high amount of images or image sets do not necessarily equate to the number of, for example, existing vacant lots in the Core area. This chart simply provides an organized approach to viewing and analyzing the data collected from the observations.

## **4.2 GIS/Land Use Maps**

### **4.2.1 GIS Rationale**

A cartographic investigation of the case study boundaries serves as one of the three data collection methods used to answer this project's research question. Cartographic data sources, whether in the form of hand drawn land use maps or computer generated GIS images, provide spatial, static and measurable information for later analysis (Suchan and Brewer, 2000). "Maps are also sources for document analysis" (Suchan and Brewer, 2000, p. 152). This project investigates the conformance and performance of a planning document by examining GIS maps. As "a standard item in planners' tool kits," GIS presents "spatial analysis and manipulation capabilities that align closely with the professional needs of urban and regional planners," and are, therefore, adopted for use by this planning related project (Drummond and French, 2008, p. 161). Today, GIS data are accessible, easily adaptable, and can be manipulated for various

functions and projects (Drummond and French, 2008). Two of the four GIS maps used in this project have been manipulated through the GIS software to present three select features in addition to the original aerial map. The remaining two maps overlay two data sets for designation purposes.

As described by Gregory (2005, p. 12), GIS has three main functions: 1) GIS is a “spatially referenced database” whereby different sources of data are combined. For example, two of the maps generated for this project combine data on streets, boundary lines as well as land uses. Colored and shaded areas represent the latter. 2) GIS serves as a “visualization tool,” whereby various data sets are represented on one map (Gregory, 2005, p. 12). 3) The combination of various databases and their projection onto one visual representation allows for analysis. Thereby, GIS becomes an “analytical tool” (Gregory, 2005, p. 11). The above functions differentiate GIS generated maps from other forms of cartography in that the depth of data investigation potential is increased.

The maps generated through the GIS software for this project are unique with respect to the data type they represent. This project’s GIS generated maps are not line maps. Rather, they are photographic maps derived from two aerial photos of Albuquerque’s downtown, one dating from 1999 and the other at 2010. In this way, these maps qualify as qualitative data source. Furthermore, the land use layer applied to two of the GIS maps also attributes to the qualitative nature of these data sources. The layer is color-coded based on descriptive titles of land use designations, ranging from Parks and Recreation to Commercial Retail. The layer presents descriptive data, rather than measurable data, making it qualitative.

Aerial photographs prove useful for this project’s application of GIS. Unlike remote sensing and satellite imagery, aerial photos provide an image true to the natural conditions.

Satellites tend to send back images in the form of fragmented pixels that are falsely colored or enhanced (Ritter, 2006). Historic aerial photographs are used in this study to understand the conditions of the Core boundaries before the 2010 Plan came into effect. Furthermore, old aeriels “can be of great potential use for site assessment as they allow identification of the location and the appraisal of change to forms and features that may be no longer visible in the landscape” (Collier et al, 2001, p. 2).

#### **4.2.2 GIS and Land Use Map Procedures**

Data are obtained from five different maps. Four of these are relating sets of two and generated through the GIS software, with the fifth being the District Map within the Plan. The City of Albuquerque’s GIS department personnel generated the first two maps. Both maps display an aerial view of the Core boundaries. The first map dates back to 1999 and the second presents cartographic data from 2010. The City of Albuquerque GIS department also produced the second set of maps. Again, these maps display an aerial view of the Downtown Core boundaries, one dating at 1999 and the other at 2010. The difference between the two sets is that the second set of maps applies several, color-coded designations to display various land uses from 1999 and 2010 onto its corresponding map. The final map is the Districts Map found within the 2010 Plan.

While the City’s GIS department personnel, based on my specificities, created the four GIS maps, these maps can be generated, to an extent, by anyone who has internet access. Essentially, the City has provided a web link to their GIS software on their website, allowing the public to explore the program’s various features and data sets available for Albuquerque. The data layers I chose to project on the maps used for this project are available online. However, the aerial base maps and data layers are only available online for the current year. I initially created

the maps myself through the City's software web link, with a 2011 aerial as my base map. Later, I asked the GIS department to overlay the selected data on aerial maps from 1999 and 2010. The City's GIS department printed out four 24 inch high by 36 inch wide maps based on my data specifics so that I could display them side-by-side for easy viewing.

GIS data sources obtained for this project present a relationship between space and time. Specifically, GIS displays spatial components, such as land use and physical conditions, and temporal considerations, such as data for various years, a source for analyzing change over time. Two time periods are chosen for representation by the GIS maps: 1999 and 2010. 1999 is the year before the Downtown 2010 Plan was officially adopted and 2010 is the target year for meeting the Plan's goals and dictating actions. Two maps, one from each year, integrate two data sets that overlay the base aerial map. These sets display labeled streets as well as the boundary line of the Downtown Core as determined by the 2010 Plan. The remaining two maps use the same data sets as the other two and add on an additional layer that color shades land uses from 1999 and 2010 onto the respective map.

Three different assessments are made with the aid of the GIS maps and the Plan's District Map. The extent of change to the downtown area is determined through a visual comparison and assessment of the 1999 and 2010 GIS maps, that present an aerial view of Albuquerque's downtown, labeled streets, and the Core's boundary line. The second set of maps provides land use data sets that help to display the differences between actual 1999 and 2010 land uses in the Core boundaries. The term 'actual' in the preceding sentence refers to factual land uses that existed within each of the two years, as opposed to zoned land uses determined by the City as development guidelines. Deviation from City's zoned land uses can exist. As a result, actual land use data are useful for comparing the true physique of the Core area before and at the

conclusion of the decade. The final District Map found within the Downtown 2010 Plan is used as a data source to compare the Plan's intended uses for the Downtown Core and the actual, resulting uses as displayed by the 2010 GIS generated map with the 2010 land uses layer. From these guiding measurements, data are abstracted in a qualitative manner. The first assessment yields qualitative data based on a visual assessment of the two maps. These maps provide a display of buildings, blocks, and street networks, the fundamentals of urban morphology, within the outlined Core boundaries. The second assessment compares land use layers from two different years. There is potential to gain quantitative data from this comparison by isolating the two layers and overlaying them in the GIS program. With the two layers superimposed, much like placing two transparencies one on top of the other, the GIS software has the ability to 1) calculate how much land area is covered by each listed use on each of the two maps, 2) compare the maps' numbers to determine percent change in listed land use coverage from 1999 to 2010, and 3) represent this change visually through the overlay. However, these calculations would not benefit this project, as the Plan itself does not present a quantitative goal for the Core's various land uses. Rather, the Plan's focus is on the existence of land uses and their allocated district location. Therefore, the spatial change and distribution of land uses, as opposed to their frequency, are measured to yield qualitative, descriptive data. The final assessment compares the 2010 GIS map with the land use layer to the District Map within the Plan. The two maps, along with reference to the Plan's District Uses Matrix (that describes the uses allowed within each district), are compared to demonstrate the land uses intended by the Plan for the Downtown Core and the uses that actualized by 2010. The resulting data are organized according to these assessment approaches.

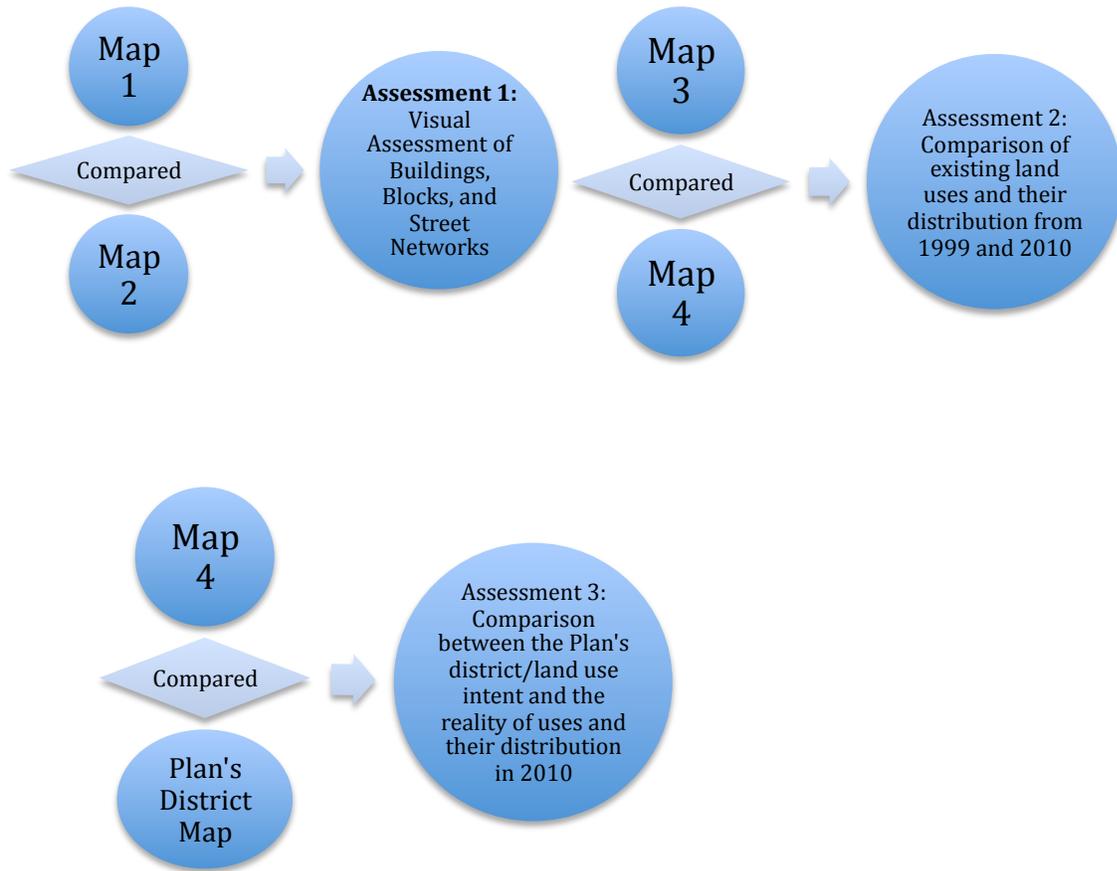
Before data management and organization are described, a distinction must be made between the 1) qualitative data *source*, 2) the qualitative *assessments* conducted of these sources, and 3) the resulting qualitative data *sets*. Essentially, the qualitative data sources are the maps themselves. The assessments are those described above that seek to “describe, connect, and classify” these maps based on the context of the Plan and the evaluative intention of this project (Dey, 1993, 32). According to Dey (1993, p. 41), “data merely provide a basis for the analysis, they do not dictate it.” Therefore, the maps, as the data source, are assessed based on guiding classifications from the Plan and this project’s research question. These assessments result in qualitative data sets that are later compared and connected. The resulting qualitative data sets are then managed in a manner much like the coding scheme applied for the personal observation method where, again, priori and emerging trends guide the organization of data.

The table below displays the data layers present within each GIS generated map.

Map Contains→	1999 Aerial of Core	2010 Aerial of Core	1999 Street Labels	2010 Street Labels	Boundary Line (as defined by the Plan)	1999 Land Uses	2010 Land Uses
Map 1	X		X		X		
Map 2		X		X	X		
Map 3	X		X		X	X	
Map 4		X		X	X		X

**Table 4-3: Contents of GIS Maps**

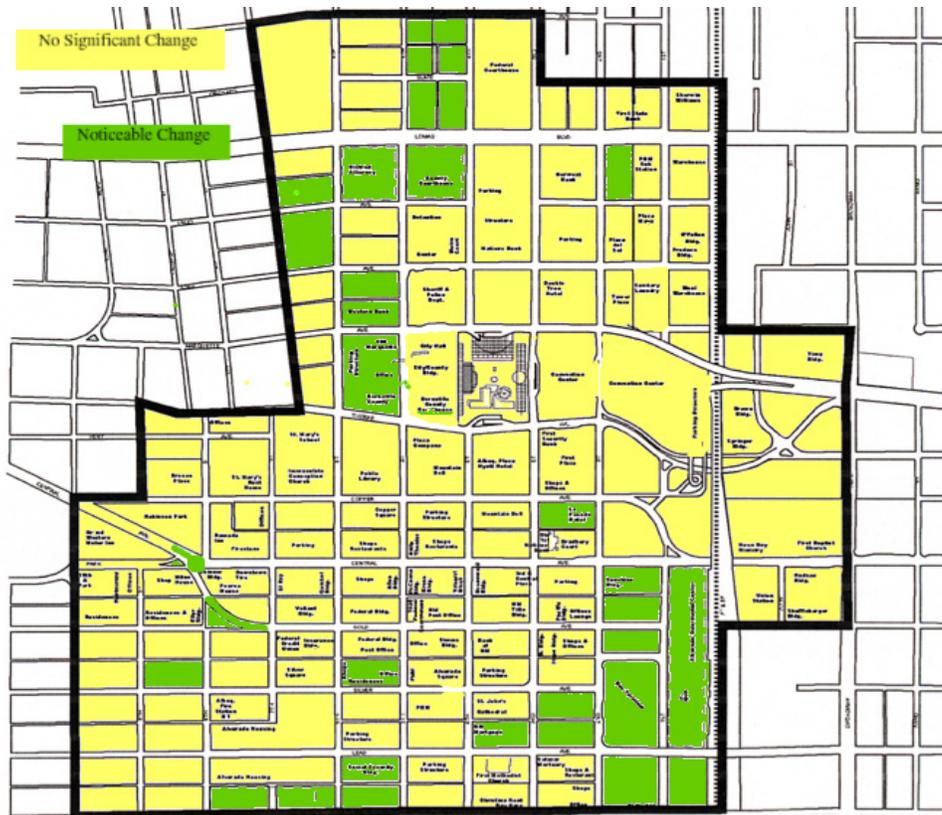
The following charts present the nature of the three assessments and the maps used to conduct them.



**Figure 4-1: Various Map Assessments**

### 4.2.3 Assessment 1

The map below depicts the results of Assessment 1, whereby buildings, blocks and street networks from 1999 and 2010 are compared. The yellow markings indicate no significant change, while the green indicate noticeable change. Whereas little alterations have been made to blocks and street networks, the few variances are indicated on the appropriate street in green. This map guides the next step in Assessment 1 where the green marks prompt further investigation into the visible nature of the indicated changes.



**Figure 4-2: Assessment 1 Results**

Base map retrieved from the Downtown Core Map on page 4 of the *Downtown 2010 Sector Development Plan* (City of Albuquerque Planning Department and the Downtown Action Team, 2000).

A total of 26 noticeable changes are identified and described. An example of the second step of the Assessment 1 can be found below. In this step, each identified change is listed by location, the visible nature of the change is described, and a note is made as to whether or not further investigation through the two other methodologies or outside sources is required. If further investigation is required, findings are noted in the last column.

Identified Change Location	Identified Change Description	Further Investigation?	Findings
On 1 <sup>st</sup> Street between Lead and Central Avenues	Stretch of Seemingly related buildings that are present in 2010 but did not exist in 1999.	Yes. If data retrieved from the personal observations/photographs as well as the interviews are not sufficient, additional research is required.	<p><b>* Personal Observations:</b> Alvarado Transportation Center.</p> <p><b>* Interviews:</b> Transportation hub for numerous lines such as Greyhound and the Rail Runner commuter train for those commuting to and from Santa Fe or Albuquerque.</p> <p><b>* Additional Research:</b> The Alvarado Master Plan was initiated around the same time the 2010 Plan was adoption. The Historic District Improvement Company created the Master Plan in hopes that the Transportation Center would be the “first step in establishing downtown Albuquerque as New Mexico's pre-eminent urban place and as the financial engine of a city that will become the most livable in the Southwest”(Historic District Improvement Company, 1999).</p>

**Table 4-3: Identified Changes**

#### 4.2.4 Assessment 2

The second assessment compares Maps 3 and 4 to examine the changes in actual land use in 1999 and 2010. Noticeable changes include several reclaimed vacant uses in 1999 into various 2010 uses such as transportation and public or government uses. This assessment yields information similar to Assessment 1 in that the areas of noticeable land use change are, for the most part, those identified in green on the map for the first step in prior assessment. The difference between the two is that this assessment speaks to general land uses while the first looks at individual buildings, blocks and street networks. Based on Maps 3 and 4 the distribution

of land uses from 1999 to 2010 has been more solidified in some areas and one use has been distributed over several areas. In 2010, the northern portion of the Downtown Core has distinguished the land in between Marble Avenue and Tijeras Avenue with heavy public and institutional uses. While these uses existed in 1999, their predominance has heightened over the past decade. Furthermore, the southwestern portion of the Core boundary now contains a significant portion of land labeled with a transportation use that did not exist in 1999. In 1999 and 2010, commercial retail uses could be found mainly along Central Avenue. In 1999, housing uses, both single and multi family, were mainly concentrated along a couple of polar edges of the Core's boundaries, mainly to the southeast and a few to the northeast. In 2010, additional housing use pockets emerged within various parts of the Core. Parks and recreation uses have not changed in amount or distribution from 1999 to 2010. Few parking uses 1999, especially those that are visibly surface parking, have been acquired for other uses. In 2010, parking uses primarily exist in the same locations as they did in 1999. Notably, there are a couple of cases where a new use has reclaimed a 1999 parking use. New parking, mainly structure parking located near multi family housing use designations, has been added in the Downtown since 1999.

These briefly mentioned comparisons, among others, are noted and, in the second step of this assessment, further deliberated through two addition methods (interviews and personal observations). This collaborative assessment provides a cohesive and holistic understanding of this assessment's results as well as all data returns.

#### **4.2.5 Assessment 3**

The 2010 Plan provides guidelines, or steps, to follow for Plan provision implementation. The first two steps in the four-step "building and development process" involve a District Uses Map as well as a District Uses Matrix (City of Albuquerque Planning Department and the

Downtown Action Team, 2000, p. 27). The remaining steps provide guidelines for allowable building types and standards (City of Albuquerque Planning Department and the Downtown Action Team, 2000). The third, and final, assessment in this data collection method will compare Map 4 to the Districts Map. Prior to this comparison, the District Uses Matrix, which identifies permitted uses for each district identified within the Map, is studied carefully. Notably, four of the five districts prohibit manufacturing uses and one of these four districts prohibits warehouse and wholesale uses as well. Otherwise, all other uses are not prohibited; although, some, especially in the housing district, require review.

Again, Assessment 3 compares actual land uses from 2010 with idealized districts and their allowable uses as determined by the Plan. In this assessment, conformance to plan directives is measured in lieu of performance considerations. The two previous assessments also allow for a midway between conformance and performance based measurement approach. The conditions resulting from the three initial assessments are eventually understood and analyzed based on findings from other methodologies within this project, thereby facilitating the desired midway approach.

The steps of Assessment 3 are similar to the other assessments in that the first is comparative and descriptive, whereas the second step deliberates the information received from the first. Step one identifies discrepancies between identified uses within GIS Map 4 and the Plan's Districts Map. In other words, districts and their uses as identified by the 2010 Plan are compared to actual uses in 2010. If review is required or prohibited for a use, as specified by one of the five districts within the Plan's District Matrix, and this use exists in 2010, then the first step of Assessment 3 makes note of this. Below, four uses from Map 4 are identified. The following chart provides examples from the first step of Assessment 3. The following uses'

districts, as determined by the Plan, prohibit the implementation or require review of the existing use.

Use Location	Use District (according to Plan's District Map)	Nature of Use (according to GIS Map 4)	Review Required	Prohibited
Corner of Coal Avenue and 10 <sup>th</sup> Street	Housing	Commercial Retail	X	
Corner of Park Avenue and 9 <sup>th</sup> Street	Mixed-Use Corridor	Industrial/Manufacturing		X
Central Avenue between 5 <sup>th</sup> and 6 <sup>th</sup> Streets	Arts and Entertainment	Industrial/Manufacturing		X
Corner of Slate Avenue and 5 <sup>th</sup> Street	Government/Financial/Hospitality Focus	Industrial/Manufacturing	X	

**Table 4-4: Assessment 3 Data**

The second step of Assessment 3 looks at the identified uses from the first step and determines whether or not these uses existed prior to or after the implementation of the 2010 Plan. This information is acquired from the two other methods used within this project or, if need be, additional research. Where the identified uses from the first step are found to have emerged after the adoption of the Plan and are prohibited by the Plan's District Uses Matrix, then these uses are deemed as implementation deviations from Plan provisions. The use of a triangulated evaluation methodology for the 2010 Plan allows for performance-based inquisition into the why's of these Plan nonconformities, which leads to analysis and overall project findings.

### 4.3 Interviews

Interviews, the most frequented qualitative data collection method, vary in approach and data returns (DiCicco-Bloom and Crabtree, 2006). The interviews conducted for this thesis

project are primarily semi-structured and qualitative. A strictly structured questionnaire provided at the end of the interviews yields quantitative data. This project's predominantly semi-structured interviews are "organized around a set of predetermined open-ended questions, with other questions emerging from the dialogue between interviewer and interviewee/s" (DiCicco-Bloom and Crabtree, 2006, p. 315). These interviews are conducted with experts and stakeholders, ranging from the planners to affiliated professionals. Each individual participant interview lasts from about an hour to two and a half hours. Individual interviews are more feasible and appropriate for this project. Due to the location of the researcher and those who were asked to participate in this project's research efforts, one being in Waterloo, Ontario and the others in Albuquerque, New Mexico, respectively, the interviews could not be conducted in person and, instead, were over the phone. Furthermore, individual interviews can often produce data that provide detail and depth not produced from a group interview setting (DiCicco-Bloom and Crabtree, 2006). The semi-structured as well as strictly structured questions are organized by the six Plan categories chosen as the focus of this project. One to three questions fall under each category throughout semi-structured component of the interviews, while one to two questions per category makeup the Likert scale questionnaire. See Appendix for a list of the interview questions and questionnaire as well as the Likert scale questionnaire results and corresponding chart. Departure from these questions to other, unanticipated questions is common and provides additional knowledge on the interviewer's interests or the interviewees' subject of expertise. It should be noted that these unplanned questions are formulated on the spot and are "as non-directive as possible" (DiCicco-Bloom and Crabtree, 2006, p. 316). In other words, these questions are not assumptive of any information and do not lead the interviewee to one answer or another.

The sample interview participant group is “homogenous...share[ing] critical similarities related to the research question” (DiCicco-Bloom and Crabtree, 2006, p. 317). Each of the interviewees has some sort of professional or stakeholder affiliation with the Downtown 2010 Plan. A list of four preliminary participants initiated the interviews with additional interviewees emerging from a snowballing technique. Originally selected participants provided the name and contact information of a few individuals they believed would benefit the study.

The telephone interviews are recorded with an audio recording device and through note taking incase of technological malfunction. As mentioned in the methodology, consent is required for audio recording and each of the participants formally agreed to this by indicating so in their consent form. In the case of a participant who did not agree to audio recording, note taking would be the primary method of recording data. Interviews are transcribed in a Microsoft Word document and are later checked for accuracy of wording and interpreted punctuation, as this has the potential to alter meanings, by listening to the recording and reading over the transcribed text.

The analysis of the data retrieved from the interviews is concurrent in that it occurs after each interview whereby organizational categories and, eventually, themes emerge. Specifically, each interview is transcribed right after its conclusion. Thereafter, patterns in the responses are identified and codes emerge. As with the organization of the observational data, predetermined codes for the interviews also help to initially organize the data. Emerging codes are determined afterwards. The “final distillation into major themes” occurs through a unified, tri-assessment of the three various methodologies (DiCicco-Bloom and Crabtree, 2006, p. 318).

## **Chapter 5**

### **Analysis and Findings**

Chapter five discusses the findings of the three different data collection methods employed within this project. This section of the report first organizes the analysis and findings of the collected data through the six focus Plan categories. Themes and findings that are not specific to one category are then discussed separately as they may correspond to more than one category or provide findings that address the research question overall, rather than by category. The content of this chapter mainly deals with themes and findings that overlap two or more categories due to the nature of the evaluation standard chosen for this project. Loh's (2011) "middle-of-the-road" evaluation approach combines conformance and performance-based standards so that the assessment of Plan outcomes is not solely based on whether or not the Plan's provisions yielded compatible results. Alone, this would be an adoption of a conformance-based evaluation. However, this project delves into the effect of social, political, and economic forces on the Downtown Core and the Plan's outcomes, or lack thereof. This approach to plan evaluation places equal importance on the conformance of outcomes with Plan provisions as well as a consideration of environmental factors. Together, these evaluation criteria make up the mezzo mix of conformance and performance standards through which the Downtown 2010 Plan is evaluated. Therefore, themes that address a number of categories are common in this chapter as, for example, categories like retail and housing can be codependent where successes and failures in one market can transfer over to the other, or at least influence market conditions.

Some of the images and references to various locations within this Chapter are identified on a map of the Downtown that can be found in Appendix K.

## 5.1 Transportation and Parking

The overarching policy under this Plan category states, “Make Downtown a ‘pedestrian-first,’ ‘park-once’ place with excellent pedestrian, transit and bicycle facilities” (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 7). This policy and its guiding actions suggest that there are four main components to address within this category: pedestrianization, parking, bicycle facilities, and public transportation. Walking, the oldest form of transportation, is not as heavily used as it has been in previous generations. The turn of the twentieth century was characterized by compact downtowns with two dominant forms of transportation: the pedestrian and the streetcar (Robertson, 1993). Today, downtowns are more spread out with lots and structures to house parked vehicles as people heavily rely on the automobile to get from one place to another (Robertson, 1993). One of the main culprits for its underutilization is the advent of the automobile. Another is an inhospitable environment, not conducive to walking. Some unsuitable features that impede on pedestrian activity include narrow sidewalks, obstacles along the way, fear for personal safety due to reckless drivers, and a lack of pedestrian level aesthetics (Robertson, 1993). Pedestrians are important to downtown districts as they generate economic activity by providing foot traffic to businesses, increase street vitality, and reduce noise and pollution from automobile use (Robertson, 1993).

Actions within the 2010 Plan that facilitate pedestrian activity include installing or improving signage, lighting, street furniture, and the Central Avenue underpass (City of Albuquerque Planning Department and the Downtown Action Team, 2000). The Central Avenue underpass was one of the first encounters during the personal observations. See image below.



**Image 5-1: Central Avenue Underpass from a Distance**

While the underpass provides a pathway from one edge of the Core boundary directly into adjacent transportation, entertainment, and housing land uses, it seems to marginally do so. The nature of the underpass at the time of the observations was not entirely inviting to pedestrians. Litter and graffiti could be found within the underpass and one can assume that fear for personal safety would be a consideration during the evening hours. This finding cannot speak to the nature of the underpass on any day other than the date of the observation when, perhaps, the bottles and garbage might be cleaned up and the graffiti painted over. However, the conditions of the time do shed light on the activity that occurs at the underpass grounds and, therefore, provides relevant considerations.

Four interviewees concur that, overall, strides have been made to improve cycling, public transportation, and pedestrian facilities bettering downtown conditions, with respect to this category, over the past decade (Morris, March 30, 2012; Brito, April 12, 2012; Boles, May 15,

2012; Sertich, May 23, 2012). Improvements to pedestrianization in the Core include “conversions of one-way streets into two-way traffic, which helps slow down the traffic in the downtown area” (Sertich, May 23, 2012), an action called for by the Plan under the *Parking and Transportation* Category. Apparent through the personal observations is the existence of lighting and street furniture throughout portions of the downtown, mainly along Central Avenue. Signage guiding those commuting through various forms of transportation is relatively prevalent throughout the Core. See image 5-2 for an example.



**Image 5-2: Guiding Signage**

Impediments to the facilitation of pedestrian activity include personal attitudes of the locals on walking as well as a lack of education on the appropriate interaction between various transportation users (Morris, March 30, 2012; Goblet, April 24, 2012; Sertich, May 23, 2012). With the majority of Albuquerque’s residents maintaining a car-centric ideology, it can be difficult to increase pedestrian activity anywhere in the city. These impediments provide

perspective for performance-based evaluation considerations. While one Planner mentions the convenience of big sidewalks in the Downtown for use by pedestrians, another Planner comments on the occupation of those sidewalks by businesses and other uses. With the half of the sidewalk width provided to business uses (as allowed on Central Avenue), such as outdoor seating, and the other half containing traffic signals, trees, and benches, pedestrian traffic flow is impeded (Boles, May 15, 2012).

The implementation of transportation provisions since the Plan's adoption have actualized into a transportation hub: the Alvarado Transportation Center in the southwest corner of the Core boundaries. See image 5-3. For those commuting from Santa Fe to their workplace in Albuquerque, such as Chris Goblet, Deputy Director of the Downtown Action Team, Alvarado becomes their entry to and exit from the City. Furthermore, those who commute to and work in Albuquerque arriving through the Rail Runner or visitors to Albuquerque who travel in by Greyhound Bus, Alvarado is a starting and ending point for their day's pedestrian activities. Goblet frequents the Alvarado station on his way into work and travels from place to place in the Core as a pedestrian during the remainder of his work day (April 24, 2012). Furthermore, the Alvarado Center is the only noticeable transportation land use addition in the Core based on Assessment 2 of the GIS land use maps from 1999 and 2010. Transportation services to other parts of the City are facilitated through the Rapid Ride Bus system that recently, in 2004, expanded its line to Downtown where it stops at the Alvarado Center (City of Albuquerque, 2011).



**Image 5-3: Alvarado Transportation Center**

Parking is abundant in the Downtown Core. Specifically, 17,000 parking spaces are available within the Core boundaries, according to Goblet (April 24, 2012). While not all of these spaces are free, many are affordable such as those that offer all day parking for 2 to 3 dollars (Goblet, April 24, 2012). Those who work in the Downtown Core typically park once, walk to lunch, walk to run errands, and even walk to grab after work drinks (Brito, April 12, 2012). The Plan calls for prohibiting the development of new commercial surface parking lots (City of Albuquerque Planning Department and the Downtown Action Team, 2000).

Furthermore, design guidelines for bettering existing surface parking lots were “recommended” in the Plan’s original text. After vigorous opposition of these design guidelines by surface parking lot owners, City Council, on August 2, 2010, passed a legislation specifically “requiring” the City to enforce any non-conforming, existing surface lot to either be developed or to conform to the Plan’s design guidelines for appropriate buffering, lighting, surfacing and landscaping

(Rivera, May 30, 2012). While no new surface parking lots were identified through the GIS maps, a few structure parking lots have emerged. Additionally, the Plan advocates the maximization of on-street parking. The personal observations determine that on street parking is highly utilized on Central Avenue, whereas the Gold Street entertainment area provides structure parking to visitors as well as long term parking for residents. The parking distribution, based on the 2010 GIS maps and personal observations can be found in all directions within the Core. Both surface and structure parking exist, providing ample parking options within the Downtown.



**Image 5-4: Parking Structure** (Available for private use by residents of the Gold Street Lofts and for public use for a small fee.)



**Image 5-5: Surface Parking** (This particular parking lot existed prior to the 2010 Plan.)



**Image 5-6: On-Street Parking on Central Avenue**

Interview data and personal observation sightings confirm a sufficient amount of bike racks in the Downtown (Goblet, April 24, 2012). According to Goblet (April 24, 2012), there are a few bike boulevards, essentially bike lanes, in the Core. Sertich (May 23, 2012) expounds upon this information by identifying Silver Avenue as one street with a bike boulevard and a speed limit of about 18 miles per hour. Where bike boulevards do not exist due to street width limitations, bicyclists ride in with traffic (Sertich, May 23, 2012). Again, the car-centric attitudes of some residents may pose challenges to appropriately and safely sharing the road with various transportation uses and their users.



**Image 5-7: Bike Rack on Central Avenue** (one of many)

The following chart displays the midway evaluation (between conformance and performance) findings for implementation outcomes resulting from the *Transportation and Parking* category within the 2010 Plan. The chart is divided by category points, conformance findings, performance findings, combined midway evaluation findings, and overall category evaluation results based on the aforementioned individual findings. The success scale prior to the chart displays the spectrum of success qualifications chosen to classify final provision point findings and overall categorical findings.



**Figure 5-1: Success Spectrum**

As displayed in the chart below, each category’s provision *points* are assessed through both conformance and performance-based approaches. The findings of these two evaluation approaches ultimately yield that point’s midway evaluation findings. Singularly, the conformance and performance findings are listed through successes and failures. With respect to conformance findings, successes are listed as conditions where outcomes fully conform to Plan provisions. Where partial or no conformity exists, these conditions are listed as failures under the conformance column. Performance-based results are determined based on both successes and failures of conformance evaluations where the reasons for conformance, partial, or nonconformance are considered in light of social, cultural, economic, and environmental conditions. Relating data and their subsequent analysis contribute additional findings to the performance-based evaluation component.

By jointly considering both the ‘Conformance Findings’ and the ‘Performance Findings’ for a topic or point within a category’s provisions, a final, midway evaluation determination can be made and typified based on the above spectrum. The ‘Final Midway Evaluation Findings’ as well as the ‘Overall Category Evaluation Finding’ are described through one of the six levels of success on the success spectrum. Determining the level of success achieved by the Plan’s category points and the overall category is not an ambiguous exercise. Rather, the identified successes and failures of the conformance and performance findings together indicate midway evaluation success levels for category points. It is the midway, joint nature of the evaluations

conducted by this project that require the use of a success spectrum. If this project set to evaluate the 2010 Plan through solely a conformance-based or performance-based evaluation approach, then the developed spectrum would not be needed. It is the equal consideration of both evaluation methods that calls for levels of success to describe the midway findings.

The ‘Overall Category Evaluation Finding’ is determined by the median of each of the point findings. A median, rather than an average or a mean, calculation is applied to determined overall category findings. Calculating the mean for each category’s point findings would require the assignment of a numerical value to each success level indicator on the success spectrum. While this can be done, calculating the average of the midway findings for each category can yield decimal results, thereby complicating the process. A median also eliminates the potential for outlier findings to skew results.

Where an even number of point findings exist, either a determination between the middle two success indicators is made based on the supporting findings for that category or it is said that the overall evaluation finding for a category stands between levels of success. As indicated in the *Parks and Open Space* research findings chart, the ‘Overall Category Evaluation Finding’ is determined to be the middle point between ‘somewhat successful’ and ‘somewhat unsuccessful’.

Two examples are provided for a better understanding of the median calculation for overall categorical success. Based on the *Transportation and Parking* findings identified by the chart below, the ‘Overall Category Evaluation Finding’ was calculated by identifying the median of the four category’s provision points’ ‘Final Midway Evaluation Findings’. The following displays how the median success level was chosen.

**Somewhat Successful      Primarily Successful      Primarily Successful      Successful**

The findings for the category points were listed in order based on the generated success spectrum. Thereafter, the middle two findings were both ‘primarily successful’ (if there is an even number of category points, then the calculation of the median will yield two middle findings). Therefore, the overall category is rated as ‘primarily successful’. The *Urban Housing* category has two category points, one delivering a ‘successful’ rating and the other a ‘primarily successful’ rating.

**Primarily Successful    Successful**

In this case, as well as the *Urban Retailing* category, one of the two ratings is chosen to represent the overall category evaluation rating. This determination is made by revisiting the findings for each category point and identifying the most appropriate rating for the overall category. In the case of *Urban Housing* a ‘successful’ rating was most appropriate for the overall findings.

The following chart presents the findings for the *Transportation and Parking Plan* Category.

<b>Category Provision Points</b>	<b>Conformance Findings</b>	<b>Performance Findings</b>	<b>Final Midway Evaluation Findings</b>	<b>Overall Category Evaluation Finding</b>
<b>Park Once</b>	<b>Success:</b> With 17,000 parking spots, free and paid, surface and structure, and reasonably distributed, ample parking is available to allow for park once decisions.	<b>Failure:</b> The public is acclimated to driving to and parking at each desired destination rather than taking advantage of park once opportunities.	<b>Primarily successful.</b> Public education can facilitate additional park once choices.	<b>Primarily Successful.</b>
<b>Bicycle Facilities</b>	<b>Success:</b> Available bike racks and a few additions of bicycle boulevards in some streets adhere to Plan’s actions.	<b>Failure:</b> Needed education on sharing the road for safety purposes.	<b>Primarily Successful.</b> While bike racks are available, only a few streets provide designated lanes, or boulevards, for cyclists. As a result, this prompts safety considerations especially when the majority of drivers maintain car-centric mentalities. Education can improve road sharing.	
<b>Transit Facilities</b>	<b>Success:</b> The Alvarado Transportation Center brings in commuters from nearby cities and across the country. As per the Plan’s directives under this category, shuttles to and from the Downtown and Old Town, as well as Downtown and the University Area, have been established by the Rapid Ride Bus.	<b>Success:</b> The Alvarado Center provides alternative transportation options for those traveling between Albuquerque and locations to the north, up to Santa Fe and the south to Belen. As an alternative to driving, public transportation has the potential to pick up in the future if gas prices increase, and, consequently, pedestrianism in the Core	<b>Successful.</b> New transportation services and facilities that connect Downtown to other parts of the City have been developed. Furthermore, the Alvarado Center brings in commuters from across the State and Country, vastly improving macro connectivity.	

		(Morris, March 30, 2012).	
<b>Pedestrian Facilities</b>	<p><b>Success:</b> The following have been accomplished since the Plan’s adoption:  1) Conversions of one-way streets to two-way streets;  2) Lighting and street furniture along Central Avenue; 3) Signage throughout the Core; and  4) Wide sidewalks.</p> <p><b>Failure:</b> Poor maintenance of and safety conditions with the Central Avenue underpass. Pedestrian improvements implemented to date are not advantageous for all pedestrians. Specifically, disabled pedestrians such as the blind, require additional facilities to truly deem the outcomes of this category “excellent” (Boles, May 15, 2012).</p>	<p><b>Failure:</b> Public mentality is not conducive to pedestrianism. Providing “excellent” facilities may be “too ambitious” for a 10 year period (Boles, May 15, 2012).</p>	<p><b>Somewhat Successful.</b> Additions to improve pedestrianism and associated facilities have been created. However, adherence to Plan directives that seek to improve the underpass has been marginal. Again, public mentality dissuades some from engaging in pedestrian activities. In order to achieve true excellence, facilities must also be conducive to those with disabilities.</p>

**Table 5-1: Transportation and Parking Evaluation Results**

## 5.2 Land Use and Design

The *Land Use and Design* Plan Category calls for 1) the preservation, restoration, and reuse of historic buildings, 2) new developments to respect existing urban conditions, and 3) establishing Downtown as a tax increment financing district (TIF) in order to fund activities and facilities for the area (City of Albuquerque Planning Department and the Downtown Action Team, 2000). First, about half a dozen historic buildings have been refurbished and repurposed (Brito, April 12, 2012). Two stand out of the handful of revitalized historic buildings: Hotel Andaluz and the KiMo Theater. Hotel Andaluz was the first hotel built in Albuquerque in the late 1930s by Conrad Hilton and is one of the few hotels that Hilton constructed in the U.S. (Goblet, April 24, 2012; Hotel Andaluz, 2012). In the mid 1980s, the hotel was listed under the National Registrar of Historic Places (Hotel Andaluz, 2012). After a history of various owners, the hotel was eventually sold to Gary Goodman in 2005 and later reopened in 2009 (Hotel Andaluz, 2012). This reopening showed off the renovations made to the hotel in the past four years that resulted in a LEED Gold rating, an unusual accomplishment especially when for an existing building and one that has a recognized historic standing (Goblet, April 24, 2012; Sertich, May 23, 2012). In 2000, the KiMo building, another registered historic landmark, had just been rehabilitated substantially after a series of smaller renovations (Boles, May 15, 2012). Rehabilitation to the theater has been incremental and began after 1977 when residents approved the City's bond purchase of the building (Arnorld, 2011). While some of the KiMo's update

efforts occurred after the 2010 Plan’s approval, most commenced before.



**Image 5-8: KiMo Theater**

Therefore, this case raises the issue of attribution that was touched on in the literature review in section 2.8. In the case of the KiMo Theater, the revitalization efforts are not attributable to the Plan due to their time of initiation, although these efforts do fall in line with the Plan’s goals.

The Plan’s provisions provide goals and objectives for conditions that have not been completely absent prior to the Plan’s initiation. For example, revitalization and other efforts such as retail and housing occurred in the area prior to 2000. The Plan essentially brings together several different objectives to create a vision for the Downtown in hopes that it will actualize by the proposed Plan deadline. While attribution is an important consideration, it should not dismiss outcomes that further the Plan’s provisions even though they may pioneer outcomes that occur after the Plan’s adoption. Attribution is touched on by Morris when she mentions the economy as a non-Plan factor that has influenced the revival and reuse of historic buildings:

“economically, it has not made sense to demolish and rebuild” (March 30, 2012). This economic influence is a performance-based evaluation consideration. Commonly, performance findings lessen the success of the overall evaluation of a plan’s implementation outcomes. For example, the *Urban Housing* category may yield a successful rating based on conformance-based evaluation mechanisms, but when also considering performance measures, the midway approach evaluation outcome may not be entirely successful. In the case of *Urban Housing*, performance measures find that the residents of the downtown do not have access to needed retail amenities within the Core boundaries, thereby lessening the overall success of the category evaluation outcome. Further delineations on *Urban Housing* can be found later in this chapter. Therefore, the case of historic building redevelopment in the Downtown yields performance-based considerations that are positive and help to improve the overall evaluation rating for *Land Use and Design*.

The second component of the *Land Use and Design* category calls for newly constructed buildings and developments to respect existing design and general urban conditions. The Plan provides some standards for design based on Form Based Code regulations that place entrances at the sidewalk with parking at the back for new developments (Morris, March 30, 2012). This has been adapted by several new developments such as the Alvarado Transportation Center and the Silver Gardens Apartments. The transportation Center attempted to replicate some of the buildings and activities that existed on the site before the new development was constructed (Sertich, May 23, 2012). Other examples of new developments that have respected traditional and existing urban conditions include the retail and housing developments across the street from the Transportation Center between Central and Silver Avenues on 1<sup>st</sup> and 2<sup>nd</sup> Streets. New developments in this area are typically only up to three stories high, thus, respecting the height

conditions of the historic Sunshine Building located at the edge of these developments (Boles, May 15, 2012). One Central Avenue development that is visibly out of place due to its height and unfinished, abandoned state is the Anazazi building on 6<sup>th</sup> Street and Central. Initially, the Anazazi was hoped to be a 9-story condominium development. However, after a federal indictment was brought against the developers for fraud in 2007 and 2008, development of the building paused (KRQE, 2010). While the building height is within the zoning limits of the area, the buildings around it are only up to 3 stories high (Boles, May 15, 2012). In this case, the building does not necessarily respect existing urban conditions. However, it does further the 2010 Plan's goals for high-density development, a building style that should be considered for future projects (Sertich, May 23, 2010). Additionally, based on the personal observations, the architecture and design of newly constructed buildings maintain the preexisting character of the Core or attribute to its originality in unique ways such as the Silver Gardens Apartments or the Villa de San Filipe Apartments.

The final point addressed by this category looks at establishing Downtown as a TIF district for the funding of projects and activities in the area. Typically, TIFs have been project specific in Albuquerque and their application to a district, as per the directives of the 2010 Plan, has been questioned based on legality and eventually accepted (Goblet, April 24, 2012). While the TIF district was created for the Downtown, the City, in collaboration with the County, never officially started the program and, consequently, funding is not appropriated for development, projects, or activities in this manner (Goblet, April 24, 2012; Sertich, May 23, 2012). What has happened with the TIF initiative is 1) the legality of the district nature of the TIF has been approved, 2) benchmarks for its use have been set, and 3) 20 years have been allotted for the use of a TIF district in the Downtown (Goblet, April 24, 2012). Unfortunately, the program has not

been officially initiated and, therefore, is not in use. While a TIF initiative is currently unable to fund activities in the Downtown, a Business Improvement District (BID) made up of private businesses in the area funds the activities of the Downtown Action Team. Specifically, the BID program funds three of the DAT's initiatives: Hospitality, Clean Ambassadors, and Image Enhancement (Morris, 2009; Brito, April 12, 2012). The first program allocates selected individuals to provide information to visitors and ensure that the overall Core region is hospitable (Morris, 2009). Clean Ambassadors clean and maintain the streets within the Core, while the Image Enhancement program works to create a marketable environment and one that is attractive to future businesses and visitors (Morris, 2009).

The following chart displays the overall findings for the *Land Use and Design Plan* category.

Category Provision Points	Conformance Findings	Performance Findings	Final Midway Evaluation Findings	Overall Category Evaluation Finding
<p><b>Historic Building Preservation, Restoration, and Reuse</b></p>	<p><b>Success:</b> Half a dozen buildings have been redeveloped. The Hotel Andaluz redevelopment project resulted in a LEED Gold rating.</p> <p><b>Failure:</b> Some buildings require redevelopment and repurposing but currently sit empty and unused, such as the Rosenwald Building on 4<sup>th</sup> Street and Central Avenue (Brito, April 12, 2012; Goblet, April 24, 2012).</p>	<p><b>Success:</b> The KiMo Theater was redeveloped in 2000. This effort was one of several that began in 1977. While the refurbishment of the KiMo may not be directly attributable to the Plan, it does forward Plan provisions.</p> <p><b>Failure:</b> While a handful of buildings are listed under the Historic Registrar, some are not and, consequently, are not protected. Perhaps the Plan should identify the historic buildings within the Downtown and suggest applications for the historic registrar or a city landmark status.</p>	<p><b>Somewhat Successful.</b> While a number of historic buildings have been redeveloped and reused, a few sit empty. Furthermore, some historic buildings have not been listed under the Historic Registrar or provided a local landmark status, leaving them unprotected.</p>	<p><b>Somewhat Successful.</b></p>
<p><b>Existing and Traditional Urban Conditions Respected by New Developments</b></p>	<p><b>Success:</b> The Alvarado Transportation Center and the new theater, retail, and housing developments to the east of Alvarado are examples of new developments that respect existing urban conditions. New developments have respected existing</p>	<p><b>Success:</b> With most of the traditional and existing urban form in the Downtown maintaining medium to low densities, any new, high density development, such as the Anazazi, will contradict this Plan goal. However, high density development in a downtown area is</p>	<p><b>Primarily Successful.</b> Most new developments have respected the existing urban environment through their design form and building height. The unfinished Anazazi building is an anomaly in that it is a 9 story building among, at most,</p>	

	<p>architecture and design or have attributed to the originality of the area.</p> <p><b>Failure:</b> While the 9 story Anazazi Building respects the zoning of the area and exists as a high density building form, it is out of scale with the development that surrounds it.</p>	<p>conventionally favored and is a directive under the Plan’s <i>Urban Housing</i> Category.</p>	<p>3 story developments. Contradictions between the directives of this category and those of <i>Urban Housing</i> create some implementation and outcome evaluation confusion.</p>	
<p><b>Establishing a Downtown TIF to Fund Projects and Activities</b></p>	<p><b>Success:</b> A TIF district was legally approved, benchmarks for the Downtown TIF were set, and 20 years were provided for the TIF district beginning in 2000.</p> <p><b>Failure:</b> The TIF has not been officially turned on. No projects or activities can take advantage of this form of funding.</p>	<p><b>Success:</b> The Downtown Action Team funds its various initiatives through a BID. BID money helps to market the downtown area to future businesses, consumers, and visitors while also maintaining the condition of the Core streets.</p> <p><b>Failure:</b> Coordination between the County and the City is needed to officially tap into TIF benefits.</p>	<p><b>Somewhat Unsuccessful.</b> Steps towards initiating a TIF district have been taken. However, the TIF is not in effect because it has not been officiated by the County. Consequently, the Downtown Action Team must fund its initiatives through BID money.</p>	

**Table 5-2: Land Use and Design Evaluation Results**

### 5.3 Healthy Neighborhoods

The third Plan category, *Healthy Neighborhoods*, seeks to prevent the encroachment of commercial activity onto neighborhoods surrounding the Downtown Core (City of Albuquerque Planning Department and the Downtown Action Team, 2000). Beginning around the 1950s, the neighborhoods that are now governed by the Downtown Neighborhood Area (DNA) Sector Plan and the Barelás Sector Plan, were zoned for a vision of these neighborhoods that was highly non-residential (Morris, March 30, 2012). At that time, the DNA was zoned for office uses and Barelás was commercially zoned. The zoning did not reflect the actual land use of the time. It was an attempt at “planning for what is going to be there in the future” (Morris, March 30, 2012). Yet, the neighborhoods remain residential today. These neighborhoods and their associations fought for protection and this finally actualized in the 1970s through the preservation of residential uses under two sector development plans, each governing its respective neighborhood. Therefore, the Downtown 2010 Plan calls for a distinct boundary between the Downtown and its adjacent neighborhoods (Brito, April 12, 2012). There is a consensus among the interviewees that there is no significant encroachment of commercial activity from the Core into its adjacent neighborhoods (Morris, March 30, 2012; Brito, April 12, 2012; Goblet, April 24, 2012; Boles, March 15, 2012; Sertich, May 23, 2012). The personal observations confirmed this shared belief as peripheral sightings did note any encroachments. Not all of the neighborhoods adjacent to the downtown are purely residential. Some popular retail spots can be found outside of the Core boundaries such as the Flying Star Café on 8<sup>th</sup> Street and Silver Avenue, opened prior to the Plan’s adoption, and Marble Brewery, adjacent to the northern edge of the Core and opened in the late 2000s (Goblet, April 24, 2012). According to Goblet (April 24, 2012), the Brewery has been positively received by its neighborhood. Other

minor, non-residential activity includes the conversion of houses into offices. While most of these are within the Core's boundaries, such as the northern area of the core to the east of the Government uses district, some exist slightly outside of the boundaries. However, "encroachment on blocks dominated by residences is not happening" (Boles, May 15, 2012). Furthermore, the economy has not been strong enough to push for many conversions of homes to professional offices (Sertich, May 23, 2012). The sector plans in place for the neighborhoods surrounding the downtown are carefully monitored by their respective neighborhood associations who look closely at zone change requests (Boles, May 15, 2012).

The following chart presents the findings for the *Healthy Neighborhoods* Category.

<b>Category Provision Points</b>	<b>Conformance Findings</b>	<b>Performance Findings</b>	<b>Final Midway Evaluation Findings</b>	<b>Overall Category Evaluation Finding</b>
<p><b>Prevent the Encroachment of Commercial Activity from the Core onto Surrounding Neighborhoods</b></p>	<p><b>Success:</b> No significant encroachment of commercial activity has transferred to neighborhoods adjacent to the Downtown.</p>	<p><b>Failure:</b> While the physical encroachments have been little to none, other forms of encroachment have occurred. These include speeding on Central Avenue from the edge of the Core boundary to Old Town, the next prime destination, and some graffiti (Goblet, April 24, 2012). Two homeless shelters on opposite ends of the Downtown can cause a spill over of homeless activity into adjacent neighborhoods (Goblet, April 24, 2012).</p>	<p><b>Successful.</b> The plan’s provisions are respected. While there are some externalities spilling over to adjacent neighborhoods from other activities in the Downtown, these are out of the Plan’s control. Some forms of encroachment cannot be completely eradicated.</p>	<p><b>Successful.</b></p>

**Table 5-3: *Healthy Neighborhoods* Evaluation Result**

## 5.4 Urban Housing

The *Urban Housing* category calls for increasing the overall housing market by providing a variety of housing types within the Core that are both market rate and affordable (City of Albuquerque Planning Department and the Downtown Action Team, 2000). As determined by the GIS map assessments and Planner Petra Morris (March 30, 2012), most of the development that has occurred downtown in the last decade has been residential. The following chart lists the housing developments identified by the interviewees that emerged after the Plan’s adoption. Their location, housing type, price range qualification, and market status are also identified.

<b>Residential Development</b>	<b>Location</b>	<b>Housing Type</b>	<b>Pricing</b>	<b>Market Status</b>
<b>Silver Gardens</b>	Silver Avenue between 1 <sup>st</sup> and 2 <sup>nd</sup> Streets	LEED Platinum Certified Apartments	Mixed Income	Rented
<b>Elements</b>	3 <sup>rd</sup> Street and Lead Avenue	LEED Gold Certified Town Houses	Market Rate	Sold
<b>Gold Street Lofts</b>	100 Gold Avenue SW	Lofts	Above Market Rate	Sold
<b>Silver Lofts</b>	8 <sup>th</sup> Street and Silver Avenue	Lofts, Live/Work Spaces	Above Market Rate	Rented and Sold
<b>Downtown at 700 and 2<sup>nd</sup></b>	2 <sup>nd</sup> Street and Lomas Avenue	Work Force Housing	Affordable	Rented
<b>The Banque Lofts</b>	3 <sup>rd</sup> Street and Central Avenue	Lofts, Live/Work Spaces	Above Market Rate	Sold
<b>Alvarado Gardens</b>	8 <sup>th</sup> Street and Lead Avenue	Apartments	Market Rate	Rented
<b>Villa De San Filipe</b>	6 <sup>th</sup> Street and Coal Avenue	Apartments	Affordable and Market Rate	Rented

**Table 5-4: Interviewee Identified Housing Developments Downtown**

The above chart indicates that a variety of housing types, ranging from town houses, lofts, live/work spaces, and apartments, have been developed over the past decade. These residential units have been either rented or sold at affordable, market rate, or above market rate

prices. Furthermore, the majority of interviewees would ‘strongly agree’, based on the Likert Scale results, that these residential buildings qualify as infill developments, furthering Plan’s objectives. While the Plan calls for student and senior housing, these recent developments have not been designated for a specific market. The University of New Mexico does not own any land and has not initiated development within the Core boundaries. Regardless, some students decide to live Downtown making one of the several residential options, which offer a central urban location and lifestyle, their home (Morris, March 30, 2012; Rivera, May 30, 2012). Some of the above market rate developments, such as The Banque Lofts within the historic First National Bank Building built in 1922, initially sought to sell their units. According to Brito (April 14, 2012), this intention has been difficult to execute and some developments have had to switch from for sale to rental units. Notably, several of these housing developments, such as the Gold Street Lofts and Alvarado Gardens, have parking structures associated with them and are also open for public use. This facilitates the “park-once” strategy advocated by the Plan under the *Transportation and Parking* category.

One noticeable and unique residential use is that of Gertrude Zachary’s home on 2<sup>nd</sup> Street between Lead and Coal Avenues. As previously mentioned in section 4.1.3, Zachary, a German born jewelry designer, chose to locate her property within the Downtown core in an area that is not primarily residential. Based on the land use map assessments, her home falls under the warehouse district, requiring City approval to develop her property. While this house did not necessarily conform to the District Uses Map within the Plan, its development was approved, presenting unique conformance and performance perspectives. While the location of her house did not conform to the Plan’s original district intentions, its presence in the Downtown is unique, housing a collection of antique furnishings that are available for viewing during weekly open

house visits held by Zachary. This allows for an influx of visitors to the Downtown that may not have otherwise come to the area. From a business perspective, a visit to the Zachary open house could turn into an afternoon or an evening downtown if said visitors decide to dine in the Core or catch a movie at Century 14, across from the Alvarado Transportation Center. Furthermore, the architecture of the house is completely different from the preexisting buildings adjacent to it. However, this and other downtowns contain various design and architectural products that are not all uniform, exhibiting a variety of design elements.



**Image 5-9: Jewelry Artist Gertrude Zachary's Home**

The findings for *Urban Housing* are presented below.

Category Provision Points	Conformance Findings	Performance Findings	Final Midway Evaluation Findings	Overall Category Evaluation Finding
<p><b>Provide a Variety of Housing Types</b></p>	<p><b>Success:</b> Apartments, Town Houses, Lofts, and Live/Work Spaces describe the housing type options offered by the residential developments of the past decade.  <b>Failure:</b> Housing specifically designated for seniors and students does not exist. The Zachary House location does not conform to the District Map within the Plan</p>	<p><b>Success:</b> While housing for students has not been specifically allocated, students have chosen to live in the Downtown Core. The Zachary house can be considered an amenity and attraction of the Downtown, bringing in visitors that may choose to extend their stay to include dining and entertainment activities.</p>	<p><b>Successful.</b> Various housing options are currently available within the Downtown. The Zachary house adds to the unique Downtown flavor and attracts additional visitors.</p>	<p><b>Successful.</b></p>
<p><b>Residential Units Should be Market Rate and Affordable</b></p>	<p><b>Success:</b> Both affordable and market rate housing is available.  <b>Failure:</b> Above market rate units also exist, but have had some difficulty selling.</p>		<p><b>Primarily Successful.</b> Downtown housing prices are affordable and market rate. However, above market rate units, initially marketed for sale, have not been sold and have been rented instead.</p>	

**Table 5-5: Urban Housing Evaluation Result**

## 5.5 Urban Retailing

The Plan, under the *Urban Retailing Category*, calls for “providing a variety of retail goods and services in Downtown to serve a broad range of residents, employees, and visitors” (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 11). The Plan also maintains that these retail services should be located within a compact core within the Downtown Core. In other words, the Plan advocates the concentration of retail development along Central, Gold, and Copper Avenues, rather than an even distribution within all areas of the Core (City of Albuquerque Planning Department and the Downtown Action Team, 2000).

Today, Downtown retail is less various than it was about 40 to 50 years ago, a period when department, shoe, and watch repair stores existed (Boles, May 15, 2012). Historically, boutique stores and small businesses existed in the downtown (Morris, March 30, 2012). Eventually, these fizzled out and, now, bars dominate the existing retail scene (Morris, March 30, 2012; Boles, April 24, 2012). This condition is favorable in that often bars come into a disestablished area, testing out the waters, before other retail and services follow (Morris, March 30, 2012). In the case of Albuquerque’s Downtown, the bars began to open up after the initiation of the Plan and then the national and local economy descended after the mid 2000s. This prevented the potential for the retail scene in the Downtown to evolve further (Morris, March 30, 2012).

Additional barriers preventing flourishing retail include the prematurity of the residential market that can, eventually, provide sufficient clientele to attract and sustain future retail. Furthermore, property prices in the downtown are inflated and can, consequently, dissuade business from locating Downtown (Goblet, April 24, 2012). Several interviewees concur that the “critical threshold,” or the turning point for the retail scene in Downtown Albuquerque will be the establishment of an urban grocery store (Brito, April 12, 2012; Goblet, April 24, 2012; Boles,

March 15, 2012; Sertich, May 23, 2012; Rivera, May 30, 2012). A Request for Proposal (RFP) for a grocery store development on the City-owned, half-block at 2nd and Silver SW was issued in July 2012. The desire is for a public-private partnership that includes incentives for the private sector to invest money in this endeavor. With a grocery store, more and more retailers will be willing to locate Downtown, which will, in turn, increase resident numbers. This exemplifies the “chicken and the egg” condition touched on by Goblet (April 24, 2012) and Sertich (May 23, 2012) that refers to the interplay between residential and retail markets and, more specifically, the urban grocery store. This relationship is further delineated in an upcoming section within this chapter.

The distribution of existing retail is as follows: 1) the bars are found along Central Avenue, 2) additional retail can be found on Central Avenue as well as the 100, 200, and 300 blocks of Gold Avenue, essentially within the Arts and Entertainment District, as identified by the Districts Map, 3) the expansion of retail venues and services to other areas within the Downtown is desirable and projected to occur in the form of mixed-use spaces (Brito, April 12, 2012; Goblet, April 24, 2012). While the Arts and Entertainment District currently houses the majority of the Core’s retail venues, aforementioned point 3 touches on an attitude held by the majority of interviewees who hope for a physical expansion and greater distribution of retail throughout the Downtown in the years to come. This desire contradicts the provisions of the Plan within *Urban Retailing* that call for a “compact specialty retail core” (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 11). However, the success of the new housing developments may encourage an extension of retail services to additional areas of the Core so that, eventually, they are more easily accessible by the residents. Morris (March 30, 2012) suggests that, conversely, a centralized shopping experience can be beneficial to those

accustomed to the suburban shopping as well as Downtown employees that may wish to take advantage of a one stop shop option during their lunch break. As suggested by Morris (March 30, 2012), the Galleria, located on 2<sup>nd</sup> Street and Copper Avenue, has the potential to become a useful shopping space. Currently, there are several vacant spaces available. The challenge with reviving the Galleria is its underground location, allowing for its contents to be easily overlooked (Morris, March 30, 2012).

The *Urban Retailing* category findings are listed below.

<b>Category Provision Points</b>	<b>Conformance Findings</b>	<b>Performance Findings</b>	<b>Final Midway Evaluation Findings</b>	<b>Overall Category Evaluation Finding</b>
<b>Variety of Retail Goods and Services serving a broad range of individuals</b>	<p><b>Success:</b> During the first few years after the Plan was adopted, a rush of various retail services settled Downtown.</p> <p><b>Failure:</b> However, this was reversed when the economy froze a few years later. <b>Success:</b> Today, bars dominate the retail scene along with several restaurants and, more recently, a men’s clothing store (Boles, May 15, 2012).</p> <p><b>Failure:</b> Currently, additional, needed services are peripheral.</p>	<p><b>Success:</b> Steps have been taken to develop a grocery store within the Downtown. Several interviewees predict that this will attract more residents to the area and, in turn, additional retail.</p> <p><b>Failures:</b> Retailers are not willing to locate their business downtown until the residential base is strong, providing a “24-hour economy”(Goblet, April 24, 2012).</p>	<p><b>Somewhat Unsuccessful.</b> A variety of retail goods and services do not exist. The economy, inflated rent prices, and, at the beginning of the Plan’s adoption, a premature residential base are to blame for this condition. While an urban grocer is on its way, it did not actualize by the desired 2010 deadline.</p>	<b>Somewhat Unsuccessful.</b>
<b>Concentration of Retail Distributions Within a Compact Core</b>	<p><b>Success:</b> Currently, retail is concentrated within the Arts and Entertainment District on the 100, 200, and 300 blocks of Silver, Central and Gold Avenues.</p>	<p><b>Failures:</b> While the Plan calls for a concentration of services in a compact core within the Downtown Core, this may not be the best strategy for accommodating the influx of new residents.</p>	<p><b>Somewhat Successful.</b> By conformance standards, the outcomes concerning retail distribution are successful. However, as discussed by several of the interviewees, an expansion of retail into other portions of the Downtown is favorable, especially within the increase of residents.</p>	

**Table 5-6: Urban Retailing Evaluation Results**

## 5.6 Parks and Open Space

*Parks and Open Space*, the final Plan category under evaluation by this project, seeks to “develop new parks and open space,” connect the Downtown with other nearby attractions through pedestrian trails, provide courtyard spaces within new public developments, and enhance the Fourth Street Mall (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 15). The Fourth Street Mall, a pedestrian walkway in place of the preexisting 4<sup>th</sup> street road (a highway during the early and mid-20<sup>th</sup> century), existed prior to the Plan’s adoption, since about the early 1980s (Boles, March 15, 2012). If the City is considered an organism, then the original decision to develop the Mall and discontinue 4<sup>th</sup> street disrupted one of the north to south arteries of the Downtown (Boles, March 15, 2012). The consensus among all of the interviewees is that something needs to be done about the Fourth Street Mall as currently it is considered an uninviting location and a hub for homeless activity. A common suggestion among the interviewees for improving the Fourth Street Mall is to reopen the area for vehicles by providing two lanes of traffic and rehabilitating the pedestrian realm with wide sidewalks (Morris, March 30, 2012; Brito, April 12, 2012; Boles, March 15, 2012). Boles (March 15, 2012) explains that the Mall has lost its original intent to become an amenity rather than just a passage.



**Image 5-10: Fourth Street Mall**

A couple of examples can be found for decade old or less parks and open spaces. Goblet (April 24, 2012) and Brito (April 12, 2012) mention the creation of an urban garden on Silver Avenue between the Gold Street Lofts and Silver Gardens, two new residential developments. The use of this land for an urban garden is temporary and will last until development is approved for the plot (Goblet, April 24, 2012). Currently, the plot of land provides 4,400 square feet of growing space that is cared for by the Downtown Action Team, Amy Biehl High School, and nearby residents (Goblet, April 24, 2012; Brito, April 12, 2012). Another Downtown Action Team initiative is a pocket park designed, created, and maintained by the students of Gorden Bernell Charter School who are incarcerated or recently released inmates (Goblet, April 24, 2012). By engaging at risk individuals in this initiative, this park not only furthers the Plan's goals, but also promotes positive community engagement. Future opportunities for open spaces include Sertich's (May 23, 2012) suggestion for a shared children's play space for St. Mary's and Lew Wallace Elementary schools. Unutilized land, currently in the form of vacant dirt lots, was identified during the personal observations. As later confirmed by Boles (May 15, 2012),

these lands are in fact vacant and permissible for various uses, but remain vacant as the owners do not wish to develop them or sell at this time.

One pedestrian trail has been implemented connecting the Downtown to the Old Town by improving sidewalks and placing plaques that guide individuals from one destination to the other. A brochure accompanies this trail and can be found on the City's Convention and Visitors' Bureau website (Morris, March 30, 2012; Boles, May 15, 2012). There are a few identified courtyard spaces within public and public and private partnership developments. Some of these can be found within the Alvarado Transportation Center (Boles, May 15, 2012), Silver Gardens, and an upcoming housing development called Casitas De Colores (Rivera, May 30, 2012).

A summary of the *Parks and Open Space* research findings are displayed in the chart below.

Category Provision Points	Conformance Findings	Performance Findings	Final Midway Evaluation Findings	Overall Category Evaluation Finding
<b>Develop Parks and Open Space</b>	<b>Success:</b> One open space has been created as an urban garden. A small pocket park has also been established.	<b>Success:</b> Both the urban garden and the pocket park engage the local community. <b>Failure:</b> Aside from these Downtown Action Team initiatives, the City has not created new public parks and open spaces. Furthermore, vacant lot lands prime for park development remain underutilized, as the owners do not wish to sell their land.	<b>Somewhat Successful.</b> The park and open space that have been created have engaged the Downtown community. Additional green spaces can be created, especially where vacant lots lay. However, the owners of these lands continue to wait for the best time to sell.	<b>The Middle Point between Somewhat Successful and Somewhat Unsuccessful.</b>
<b>Create Pedestrian Trails to Connect Downtown with other nearby attractions</b>	<b>Success:</b> One pedestrian trail exists connecting Downtown with Old Town through marked placards and a brochure.	<b>Failure:</b> The existence of the pedestrian trail is not well known and the printable guide is not available onsite as it has to be printed from the website. Therefore, this trail may not be heavily frequented.	<b>Somewhat Successful.</b> A pedestrian trail has been created in the form of guiding plaques and a brochure. However, those interested in this amenity may be unaware of its existence or how to retrieve a copy of the accompanying guide.	
<b>Provide Courtyard Spaces within Public Developments</b>	<b>Success:</b> A couple of public or semi-public developments provide courtyard spaces.	<b>Failure:</b> Joint public and private developments that provide private courtyards are not accessible to the public.	<b>Somewhat Unsuccessful.</b> While courtyard spaces exist, their accessibility by the general public is often limited.	
<b>Enhance the Fourth Street Mall</b>	<b>Failure:</b> The Fourth Street Mall has not been enhanced nor opened up	<b>Failure:</b> The intension of its establishment as an amenity has not been	<b>Primarily Unsuccessful.</b> The Fourth Street Mall is an unsuccessful pedestrian	

	<p>for vehicular flow.</p>	<p>maintained. Instead, it has become a hub for homeless activity. Several interviewees feel that enhancement is no longer an option. Rather, repurposing the Mall into a street and allowing automobile traffic to flow through are considered the most desirable solutions (Morris, March 30, 2012; Goblet, April 24, 2012).  <b>Success:</b> The City is currently discussing the future of the Fourth Street Mall.</p>	<p>walkway. It is a hub for homeless and undesirable activity. Improvements to and remodeling of the Mall have yet to occur. Discussions by City officials on the future of the Mall are underway.</p>	
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**Table 5-7: Parks and Open Space Evaluation Results**

## **5.7 Additional Considerations for Achieving Further Success in the Downtown**

This following section examines additional considerations, resulting from this study's overall data analysis, for the betterment of Albuquerque's Downtown. While the foregoing content of this chapter has presented research findings organized by the six focus Plan categories, the first consideration addressed by the following subsections will cross-evaluate two relating Plan categories. The upcoming evaluation, based on an assessment of the interrelation between two categories, presents new and significant findings, not sufficiently delineated in the discussion above. Each of the following considerations is listed by topic and contains a corresponding theme. Notably, the discussion of the first consideration is the longest as it not only accounts for two Plan categories, but is also coupled with a related case study.

### **5.7.1 Impediments to the Plan's Residential Housing Initiatives**

**Theme:** The synchronization of interdependent functions and markets is essential to the success of the Downtown 2010 Plan and other downtown revitalization plans, based on the "middle-of-the-road" standards.

The 2010 Plan, and more specifically the Urban Housing category, calls for market rate housing (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 10). The inclusion of this housing type and its timing, with respect to when the Plan was drafted, falls in line with the downtown residential trend timetable described by Beauregard (2005). In the 1990s, "local governments and civic organizations began to make middle-income housing a major component of their efforts to revitalize the downtowns" (Beauregard, 2005, p. 2436). Prior to that time, downtown development predominantly concentrated on retail, office, and parking (Beauregard, 2005). In light of these recent residential inclusions, a number of planning initiatives have proven that real estate success is not independent from other functions within a

downtown region. Rather, as Beauregard (2005, p. 2432) stresses, the “interdependence of property sectors” influences the growth and recession, or successes and failures of an area. According to Beauregard (2005, p. 2431), it’s all about synchronizing “complementary activities” such as office development, retail services, entertainment options, and public amenities. The housing market depends on the existence of other markets and amenities to service the residential population. This begins to explain the impediments of implementing the housing initiatives found within Albuquerque’s Downtown 2010 Plan as well as the Lower Manhattan Revitalization Plan, as described in Beauregard’s (2005) case study.

The results of revitalization efforts for Lower Manhattan, beginning in the mid 1990s, parallel, to an extent, the realities of retail efforts in Downtown Albuquerque that spurred from the 2010 Plan. As a response to office vacancies in Lower Manhattan, an aftermath of the late 1980s stock market crash, the Lower Manhattan Revitalization Plan (LMRP) was initiated in 1995 (Beauregard, 2005). In order to address the high vacancy rates, the City of New York instated the LMRP to reoccupy a number of developments for residential purposes. Prior to the approval of this plan, residential options were rare in Lower Manhattan (Beauregard, 2005). While the efforts of the LMRP did result in office to residential conversions, amounting to an average of 650 units per year for 10 years after the LMRP’s approval, the journey to that accomplishment, and even the resulting residential developments, proved challenging (Beauregard, 2005). To start, around the late 1990s, building owners were much more likely to accept an office renovation deal than one proposing a residential conversion due to government subsidy incentives and “higher returns generated by office space” (Beauregard, 2005, p. 2440). The returns were an effect of declining building vacancy rates after the initiation of the LMRP and a consequential increase in office rent prices. However, this redevelopment favoritism

began to even out in the early 2000s with the instatement of subsidies supporting residential uses (Beauregard, 2005).

While the development of residential units within Lower Manhattan can be deemed successful based on conformance-based plan evaluation standards, a solely performance-based evaluation would qualify these developments as unsuccessful. A midway approach, such as the one adopted by this project, would determine that the outcomes of the LMRP, with respect to residential conversions, are only partially successful. Why? The provisions within the LMRP call for the conversions of vacant office buildings into residential units. After about a decade since the LMRP's enactment, about 6,500 new residential units were developed (Beauregard, 2005, p. 2439). Therefore, conformance-based evaluation would deem this a successful outcome. However, the residents of these units had several complaints about the lack of amenities, retail services, and entertainment options available in their area. The residents called for a "mix of services" such as grocery stores, schools, dry cleaning, and restaurants (Beauregard, 2005, p. 2441). The LMRP contributed to the lack of services by only allocating 25 percent of the total convertible space for commercial uses (Beauregard, 2005). Therefore, with respect to performance-based evaluation standards, the outcomes of the LMRP were not successful in that they did not achieve "the purported functional interdependence that makes downtown housing a success" (Beauregard, 2005, p. 2442). An intermediate, midway (between conformance and performance-based standards) measure of plan success, such as the one chosen for this project's evaluation of Albuquerque's Downtown Plan, would reason that the LMRP was partially successful and partially unsuccessful in that "the initiative was noteworthy mainly for its halting progress" and moving households there (Beauregard, 2005, p. 2242). However, "once there, [they] were discouraged by the lack of services and entertainment options"(Beauregard,

2005, p. 2242). Synchronization among interdependent activities allows for a successful residential market and overall downtown environment. The absence of this synchronization restricted the success of the LMRP's residential implementation efforts and, similarly, Albuquerque's Downtown 2010 Plan.

Similarities between the LMRP and Albuquerque's 2010 Plan are highlighted by 1) identifying the market rate housing options noted by some of the interviewees, 2) delineating the nature of collaboration between housing and retail markets, 3) discussing the evolution of the retail market since the adoption of the 2010 Plan, and 4) determining whether or not the outcomes of the Plan were successful based on a mezzo adoption of conformance and performance-based evaluation standards. According to Morris, who works for the City of Albuquerque Planning Department, the change in the downtown housing scene over the past decade has been "pretty dramatic" (March 30, 2012). Before the Plan, housing in the Downtown Core only existed in "some odd pockets here and there" (Morris, March 30, 2012). Most of the development that has occurred since the Plan has been residential and, consequently, the Core has a great number of residents now (Morris, March 30, 2012). Furthermore, the majority of interviewees provide a 2 rating, 1 being 'strongly agree' and 5 denoting a 'strongly disagree' choice, for the Likert scale question addressing the availability of a variety of housing options.

For the first part of the decade after the 2010 Plan was approved, boutique stores and small businesses existed and rushed to open in parts of the Downtown Core (Brito, April 12, 2012). Due to the weak economy, some of these retail venues faced closures in 2008 (Morris, March 30, 2012). Another explanation for these closures includes the housing market that just began to exist as a part of the Core environment. Due to the residential sector's recent establishment, the market for these retail venues was perhaps premature (Brito, April 12, 2012).

Part F of the stakeholder interview questions focuses on the Urban Retailing section within the 2010 Plan. Question 12 under this section asks: Do you think that today, the Downtown core provides “a variety of retail goods and services...to serve a broad range of residents, employees and visitors” (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 11)? Four of six interviewees answered a simple no to this question with further elaboration on the lack of retail options in the Downtown Core. Consensus is found among five of six interviewees who remark that there is a great need for a grocery store within the Downtown Core. Several of these interviewees mention that a project for developing a downtown grocery store is currently in the works (Morris, March 30, 2012; Goblet, April 24, 2012; Brito, April 12, 2012; Rivera, May 30, 2012). The grocery store is not the only missing component from the retail scene in the Core. For example, Petra Morris mentions in her interview the lack of a dry cleaning shop and other services needed within the Core, some of which can be found in peripheral areas. What do exist within the Core boundaries, with respect to retail, are bars. Bars dominate the current retail scene in the Downtown Core. Bars tend to establish themselves in an unknown area first, before the restaurants and retail follow. This trend was halted by the economic conditions in the late 2000’s (Morris, March 30, 2012).

The retail and housing markets in Albuquerque’s Downtown Core are poorly synchronized. The Plan has clearly generated numerous housing developments for residents from a range of income levels. However, retail services are limited and are not meeting the needs of these new Core residents. Current arrangements to construct a grocery store will improve the coordination of these interdependent markets. According to Brito, “Once you get a grocer, it’s going to be a snowball effect” (April 12, 2012), meaning that other retail services might be influenced to come to the area, which will encourage even more households to move

Downtown. Furthermore, the City aspires to have a Downtown grocery store that is full service, affordable and offers a variety of commodity choices, such as “local organic or factory farm” produce, so that all Downtown residents can shop from the available selection (Brito, April 12, 2012). The vendors that are currently under consideration for the Downtown grocer vacancy cannot be disclosed at this time. However, included in the selection are a couple of local vendors as well as chain vendors (Brito, April 12, 2012).

One of the slogans used within the Downtown Action Team speaks to the collaboration between housing and retail: “retail follows rooftops” (Goblet, April 24, 2012). In other words, the more residents there are in the downtown, the higher the need and demand becomes for providing amenities and services for the Core’s households (Goblet, April 24, 2012). According to Chris Goblet, the Deputy Director of the Downtown Action Team, in the past couple of years alone, 750 residential units have been developed (April 24, 2012). These developments occurring two years after the Plan’s 2010 target, are key to the development of future retail services and amenities (Goblet, April 24, 2012; Brito, April 12, 2012). The owners of various retail services will be more inclined to locate their business where clientele can be guaranteed through a populous residential base (Goblet, April 24, 2012).

Based on the medium of conformance and performance-based evaluation approaches, the Plan was somewhat successful and completely unsuccessful with respect to the provisions under two of the six chosen categories. According to the Downtown Action Team website, from 2000 until 2008, the downtown increased its residential units by 1,321 and added 3,000 residents (2008). This number suggests that the overarching goal of the Urban Housing Plan category, which aims for a 2010 goal of 5,000 total residents in the downtown, is close to being met or already has been. The census numbers to verify speculation are not currently available.

Furthermore, the outlined actions within the Plan, through which this overarching goal should be met, are also considered as a part of the Plan's overall evaluation. These actions call for 1) the development of market rate and affordable housing, and 2) ensuring that new housing in the downtown offers a variety of types ranging from townhouses to live/work units (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 10). Based on the interviews with professionals and stakeholders, the actions provided by the Urban Housing category within the plan have been met. A mix of affordable and market rate housing options are available in the downtown and exist as a variety of unit types (Morris, March 30, 2012; Brito, April 12, 2012). Based on a purely conformance-based approach, the Plan's Urban Housing category proves to be successful in meeting its outlined initiatives. However, as mentioned numerous times in this paper, this project has adopted an approach that finds itself in between conformance and performance on the spectrum of plan evaluation approaches. Therefore, the Urban Housing category objectives cannot earn a complete success rating without a consideration of performance measures. The combination of conformance results in lieu of performance conclusions will yield the final results based on this desired evaluation measurement standard. As demonstrated by the LMRP case and the commentary of a majority of the interviewees, increasing residential units in a downtown area cannot function alone without the aid of other interdependent markets, primarily retail services. The residents of Downtown Manhattan voiced their concerns about the lack of available services and amenities accessible to them within their district (Beauregard, 2005). Consideration of Albuquerque's 2010 Plan and its Urban Retailing category, alone, can identify the relationship or, rather, lack thereof between the housing and retail markets in Core. Therefore, before the discussion and final assessment of the Plan's Urban Housing category concludes, a separate evaluation of the

Urban Retailing section will be conducted and delineated. The results of the Retailing category's evaluation will provide some insight for the performance component of the Housing category's assessment and, eventually, its overall evaluation results.

Within the Plan, the Urban Retailing section calls for 1) identifying vacant buildings that could be used as retail venues, 2) providing a variety of retail options that serve a range of potential clients, and 3) recruiting a "full service urban grocery store" as well as "art-based retail, restaurants, and 'high fashion' retail" (City of Albuquerque Planning Department and the Downtown Action Team, 2000, p. 11). A number of vacant buildings were discovered during the observations conducted within the Core boundaries. A "retail recruiter," hired as a staff member of the Downtown Action Team, worked on the first of the three aforementioned actions (Goblet, April 24, 2012). However, as Goblet (April 24, 2012) remarks, it has been difficult to facilitate recruitment of new and various vendors to the retail scene in Downtown Albuquerque due to high property prices, retail owners' fear of opening up their business in an area that has yet to establish itself, and competing locations elsewhere in the City that have a gathered numerous vendors in one area, street or shopping center. For example, the ABQ Uptown Mall was recently developed in the Northeast Heights region of the City on a vacant plot of land between two, large indoor shopping malls. As an outdoor mall with a variety of unique stores, restaurants, and cafés, some of which are not available anywhere else in the City, Uptown is able to distinguish itself from its neighboring retail hubs. At this time, vendors are more likely to open up a store location in Uptown than in the Downtown Core. Unlike the retail scene in Downtown Albuquerque, Uptown has successfully established itself, provides a strong customer base (especially from stores not found anywhere else in the City, such as the Apple Retail Store), and rental rates are around the same price as the Core area. Additionally, Uptown provides the

guarantee of “parking spaces, a management company, and an advertising budget” (Goblet, April 24, 2012).

While an urban grocery store is currently in the works, it has yet to be established and did not meet the 2010 deadline. It should also be evident at this point in the discussion that the one-of-a-kind retail scene called for by the Plan has also not developed within the Core. According to Goblet, “it needs to be, boutique-y, it needs to be funky, it needs to be something you can’t get anywhere else,” in reference to the type of retailing that can succeed in the Core district (April 24, 2012). Moreover, an inventory of existing retail identifies a market that lacks the variety needed to serve a broad range of clientele and, instead, provides a dominant bar scene (Morris, March 30, 2012; Goblet, April 24, 2012). Morris (March 30, 2012) hopes that the bar niche in the retail market will serve as a catalyst for additional, diverse retail options in the Core. In addition to an inadequate retail market for the residents of the Core and the City at large, the market is also not conducive to visitors. Visitors are more likely to explore the Nob Hill area near the University of New Mexico, or the Uptown Mall for “a thriving retail” experience, rather than the Downtown Core, as it is unable to provide that kind of atmosphere (Goble, April 24, 2012).

With respect to the Urban Retailing category provisions, the Plan was largely unsuccessful. While attempts were made to recruit and instill various vendors in the area, the task proved very difficult. The Downtown Action Team allocated a staff member to work on implementing the Urban Retailing provisions, and yet obstacles precluded desired outcomes. While other regions around the City are able to attract vendors to their neighborhood or mall, the Downtown Core struggles to do so. The Core lacks a reputable and successfully established retail market, such as the one found in the Nob Hill neighborhood, or a new and unique

environment that ensures consistent clientele due to its unique vendor options, much like Uptown. Furthermore, the impetus to Downtown Albuquerque's retail life, the grocery store, has yet to be developed, although efforts are underway to push the project forward. Failure to accomplish the outputs within the Urban Retailing category deems this portion of the Plan completely unsuccessful based on a conformance approach to plan evaluation. Furthermore, a performance-based analysis of the Retailing category, also delivers an unsuccessful evaluation feedback. While several interviewees point to a number of factors prohibiting retail market growth in the Downtown Core (i.e. the economy, competing locations, etc), other conditions suggest that the Retailing goal and corresponding actions should have been accomplishable. Specifically, these enabling factors include 1) a successful housing initiative, 2) vacant buildings and lots that can accommodate conversions or construction of retail space, and 3) an area that not only has new residents, but also employees for the City, and other affiliates, that have been in the region before the 2010 Plan was even drafted. Consequently, a portion of the 2010 Plan has not been executed. The Urban Retailing Plan category is deemed unsuccessful based on a conformance and performance-based, midway evaluation approach.

With the evaluation of the Urban Retailing category complete, a performance-based assessment of the Urban Housing section can be conducted. Unlike a conformance approach, this assessment will not consider whether or not outcomes match Plan text. Rather, it will investigate environmental circumstances that attribute to the overall condition of urban housing in the Downtown Core. Based on data collection, management, and analysis, in addition to secondary sources, it is determined that the contextual conditions influencing the Core's housing market success are primarily retail-based. Much like the Lower Manhattan case, housing and retail are interdependent markets in Downtown Albuquerque. An ascent in housing and, thus,

residents, demands retail and, eventually, where there is demand, supply is provided. In a vice versa scenario, retail options draw in interest from prospective renters and homeowners and, eventually, the current renters and homeowners themselves. The interdependence of these markets is evident from this relationship. Therefore, in order for one market to completely succeed, the other must also establish its base. Based on this argument, it is not possible to designate the Urban Housing category within the Plan as entirely successful. While outcomes of the Plan almost completely satisfy the Housing category provisions, the context in which they exist is not conducive or complimentary to a growing residential community. Needed services and amenities, to satisfy the new and growing Core community, are exiguous in amount and variety. For these reasons, the Plan's Urban Housing category implementation outcomes are not satisfactory based on performance standards. Overall, the Plan's Urban Housing category is only somewhat successful based on an in between conformance and performance-based evaluation of implementation effects.

### **5.7.2 The Role of Schools in the Downtown**

**Theme:** Schools, an overlooked consideration missing from the Plan's revitalization efforts, can attribute to the prosperity of a downtown district.

With an influx of new residents in Albuquerque's Downtown, the demand for services will increase. While the Plan calls for various retail options, whose importance has been discussed in this paper, schools are missing from the main content of the Plan. While an *Education* category exists, its provisions are not present within the Plan's main body. Rather, goals relating to education are placed in the appendix of the Plan. This placement is unfortunate. As Oakman (2006, p. 6) states, "Schools are the most important of these", referring to the services needed to support new downtown residents. Currently, one charter high school and two

elementary schools exist within the Core boundaries of Albuquerque's Downtown. With more and more households moving Downtown, these existing schools may need to be expanded "or more schools must be built to avoid overcrowding" (Oakman, 2006, p. 6). Of course, the demand for schools will depend on the demographics of those moving to the Core area. In Philadelphia, for example, at one point the downtown predominantly housed 24-35 year olds who were becoming parents (Oakman 2006). Consequently, the City initiated a program to open up quality schools in the area, meeting the needs of their current residents and attracting future families to the area (Oakman, 2006). As the resident base of Albuquerque's Downtown continues to grow, demographic information should be retrieved and studies conducted to determine the current, as well as projected, needs of the Core's population.

### **5.7.3 The Case of the Fourth Street Mall**

**Theme:** The failure of the Fourth Street Mall to become an inviting and lively amenity can, in part, be blamed on the origins of its suburban-based design.

#### **5.7.3.1 Historical Background**

Since the late 1950s, retailing has been considered an important component for successfully revitalizing American downtown districts (Robertson, 1997, p. 383). However, since the 1960s, downtown revitalization strategies that have included retailing development have not always succeeded. A brief historical account of downtown retailing is needed to provide an understanding of the 'why's' of its current position. Between the 1920 and 1950s retail in the downtown district prevailed mainly due to its accessibility through the streetcar. After the 1950s, there was a decline in the centralization of retail in the downtown as the automobile grew more and more popular and the first post-war suburbs attracted new inhabitants outside of the city boundary (Robertson, 1997). As a result, suburban retailing flourished while

downtown sales dropped. As it currently stands, downtown retailing continues to find its competition in these suburban malls and shops (Robertson, 1997). Specifically, downtown retailing is competing with the indoor, climate controlled experience of a suburban mall (Robertson, 1997, p. 386). The successes and criticisms of suburban malls shaped the development of downtown retailing. On the one hand, retail spaces within downtown districts attempted to emulate some of the organizational aspects of the suburban mall formula while other downtown retail venues sought to provide factors that differentiated them from the mall scene. Pedestrian malls adopted the latter approach with a shared focus on pedestrian transportation (Robertson, 1997). Downtown Albuquerque adopted this retailing approach with the development of the Fourth Street Mall.

#### **5.7.3.2 Fourth Street Mall Case Analysis**

Perhaps one of the main causes for the Fourth Street Mall failure can be found in its design framework that borrows from suburban mall development strategies. The pedestrian mall and the suburban mall provide a solely pedestrian environment. When considered singularly, this shared entity is not inherently negative or foreshadows the fall of a development that adopts it. However, the failure of the pedestrian mall comes from its intent to produce the same traffic and business as a suburban mall with the adoption of only one of many conditions that attribute to suburban mall success. The purpose of pedestrian mall development should not be to partially imitate suburban mall components. Rather, the success of a downtown retail development, as seen in a number of vehicle free zones in European urban landscapes, is “tied more closely to conservation of the city fabric and improvement in downtown residential conditions than to retail development”(Robertson, 1997, p. 388). The Fourth Street Mall failure is not a unique case in American downtowns. Pedestrian malls in the U.S. have been primarily unsuccessful and this

downward fall is proven by the lack of further development after the 1970s (Robertson, 1997, 389). Furthermore, a number of existing pedestrian malls have been redeveloped and opened up for vehicular traffic. Robertson (1997, p. 389-90) points to a few reasons for the failure, including: 1) Pedestrian malls have not provided a sense of safety that can be found within suburban malls, and 2) They have not been successful in attracting a variety of stores that include leading chain stores.

#### **5.7.4 Public-Private Partnerships**

**Theme:** Public and private partnerships create new developments that further Plan goals and facilitate growth in the Downtown.

The cooperation between governments and public organizations is often referred to as public-private partnerships (Schaeffer and Loveridge, 2001). With respect to Albuquerque's Downtown, most of the public-private partnerships have been fostered voluntarily, meaning that both participating sides expect tangible or intangible rewards such as "values, beliefs, [and] relationships" (Schaeffer and Loveridge, 2001, p. 5). According to Schaeffer and Loveridge (2001, p. 5-6), "Cooperation makes participants better off if (1) by pooling their resources they obtain efficiencies or (2) by combining complementary strengths they can increase the scope of their activities, and/or (3) cooperation reinforces the mission or satisfies values or beliefs." The public-private partnership that created the Silver Gardens apartments resulted in the first two aforementioned benefits. The City removed underground storage tanks from the apartment site prior to development (Rivera, May 30, 2012). This saved the private developers money, as they did not have to extract the tanks themselves. This arrangement allowed the savings to benefit future renters through the implementation of a mixed rate residence that provided housing for a variety of income levels within one, high quality complex. Furthermore, if the government did

not pick up this extra expense, perhaps the private developer would not have agreed to develop on the site. Furthermore, as Schaeffer and Loveridge (2001) explain, in a voluntary public-private partnership, both parties are able to exercise some influence over decisions relating to the project at hand. The City's involvement in the Silver Gardens development and other projects ensures that the locality of the region is maintained.

When considering private-public partnerships, it is important to note the differences between the two sectors. First, private sector organizations are typically only accountable to their owners and shareholders, whereas the public sector must deal with the general public. These contrasting accountabilities also allude to the nature of discussions concerning various issues. While the private sector can hold meetings behind doors, the public sector must hold open discussion and, at times, face public scrutiny (Schaeffer and Loveridge, 2001). Second, the nature of decision-making in the public sector follows policies, whereas the private sector creates arrangements based on competitive advantages and coercion (Schaeffer and Loveridge, 2001). Third, the public sector's reliance on taxes reduces financial risks. Lastly, the scope of private sector activity is not as restricted as that of the public sector (Schaeffer and Loveridge, 2001). The differences between public and private sectors foster "mutually beneficial cooperation" through "complementary capabilities" (Schaeffer and Loveridge, 2001, p. 12-13).

### **5.7.5 Plans Supporting Plans**

**Theme:** The overall success of the 2010 Plan has been made possible by the joint effort of two additional supporting City plans: The Alvarado Transportation Center Project Area Master Plan and the Downtown MRA (Metropolitan Redevelopment Area) Plan, 2003 Designation.

The Alvarado Master Plan was initiated at the same time the 2010 Plan was adopted. The Master Plan set out development plans for the Alvarado Transportation Center as well as the

theater block across the street from the Center. The timing and existence of the Master Plan was crucial to the initial and overall success of the 2010 Plan as it provided the first stepping stone of desired development and activity in the Core area. The MRA Plan sets out the financing provisions for public and public-private projects in the Downtown. Therefore, the 2010 Plan provides a vision, goals, and actions for the Downtown Core. The MRA Plan describes the financing of projects fully or partially public that further the 2010 Plan's provisions. As an example of the kind of development and activity the 2010 Plan aspires for, the Alvarado Master Plan initiated the Transportation Center's development as well the Century 14 Movie Theater and surrounding retail block. The success of the 2010 Plan is attributable to the coordination of these three plans, a consideration that can be easily overlooked when evaluating one plan alone.

#### **5.7.6 A Quick Consideration of the Plan's Provisions**

**Theme:** A brief investigation of the 2010 Plan's guiding provisions determines that they further desired downtown conditions, as determined by recent related literature.

The literature review of this study mentions a couple of plan evaluation techniques that consider the plan text as a part of the overall evaluation exercise. While this project did not initially do so, assuming the 2010 Plan contains desirable and effective provisions, it will now touch on the Plan's provisions to determine if they were a positive basis for Albuquerque's Downtown revitalization efforts.

The findings within the study conducted by Filion et al. (2004), shed light on what practitioners and scholars in the fields of planning, urban studies, and downtown revitalization find significant with respect to factors that attribute to success within a downtown area. Some of the indicators that were deemed "very important" to downtown success by a majority (more than 60 percent) of those participating in the study include retailing activity as well as a pedestrian

friendly environment. Factors that about 50 percent or more of interviewees determined were “important” include transportation services, unique architecture, historic urban qualities, green spaces, and high-density residential units (Filion et al., 2004, p. 331). With consideration to these high ranking, in degree of importance, indicators identified by those participating in Filion et al.’s study (2004), a quick comparison can be made with the Albuquerque Downtown 2010 Sector Development Plan’s guiding categories and corresponding actions. Essentially, the factors of success that were ranked as ‘very important’ and ‘important’ by the aforementioned study are parallel to the provisions of the 2010 Plan. More specifically, the six categories and their coinciding directives chosen as the focus of this research project significantly correlate with the ‘very important’ and ‘important’ factors that attribute to successful downtowns. In this regard, the Downtown 2010 Plan sets out desirable features that, according to the findings of Filion et al. (2004), equate to a successful downtown.

## Chapter 6

### Future Considerations and Conclusions

This final chapter will highlight the findings discussed in Chapter 4 and provide recommendations for the future of Albuquerque's Downtown Core and the Downtown 2010 Sector Development Plan. Furthermore, a discussion of this study's limitations will be provided as well as considerations for future research. Finally, additional concluding remarks will wrap up the body of this dissertation paper.

#### 6.1 Summary of the Six Categories' Evaluation Results

The first three research questions for this project are as follows: 1) Has Albuquerque's 2010 Downtown Sector Development Plan been successful? 2) If so, how and to what extent? 3) If not, how and to what extent?

The following summarizes the overall evaluation results, answering the research questions through each of the six focus Plan categories' findings: 1) ***Transportation and Parking- Primarily Successful***: While parking, bicycle, transit, and pedestrian facilities have been created or exist, there is a lack of public awareness on the use of alternative transportation modes and road sharing for multimodal transportation uses; 2) ***Land Use and Design-Somewhat Successful***: A number of historic buildings have been restored and reused, yet some, such as the Rosenwald Building, sit empty and unused. For the most part, new buildings respect existing urban conditions. While a Tax Increment Financing District has been initiated, it has not been officiated, preventing the utilization of this funding source; 3) ***Healthy Neighborhoods-Successful***: Neighborhoods surrounding the Downtown have not experienced any significant encroachment of commercial activity; 4) ***Urban Housing- Successful***: Various residential options have been developed over the past decade. These housing options are sold and/or rented

at market rate and/or affordable prices. While the Zachary house presents an unconventional building design and uncommon land use within Warehouse District, it does exist through City approval and serves as an attraction for Downtown visitors through its weekly open house; 5)

***Urban Retailing- Somewhat Unsuccessful:*** A *variety* of retail goods and services does not exist within the Downtown. The existing bars and several restaurants currently within the Core are not enough to meet the needs of the increasing Downtown residents. While the development of an urban grocer within the Core boundaries is in the works, this project did not actualize by the Plan's preset deadline of 2010; 6) ***Parks and Open Space- Between Somewhat Successful and Somewhat Unsuccessful:*** A temporary urban garden and a pocket park have been created since the Plan's adoption. Furthermore, a pedestrian trail has been developed through the placement of street placards and the creation of a guiding pamphlet, connecting Downtown to Old Town. The main downfall within this category is the failure to enhance the condition of the Fourth Street Mall. The Mall remains an unsuccessful pedestrian walkway and a hub for homeless activity.

## **6.2 Recommendations**

With predictions of the residential market in Albuquerque's Downtown Core expanding even further within the next ten years and talks of a follow up 2020 or revised 2010 Plan (Goblet, April 24, 2012), emphasis on the synchronization of interdependent markets within the Core area should be included within the upcoming Plan and acted upon through future implementation efforts. The two most profound interdependent markets, and equivalent categories within the current 2010 Plan, are housing and retail. To remedy the current, uncoordinated efforts between Core housing and retail markets the following should be considered: 1) As suggested by Brito (April 12, 2012), a full service grocery store with a variety of choices and affordable options should be developed in the Downtown Core to service current and future residents of the area. 2)

One existing development that can house the demand and need for additional retail services is the Galleria at 2<sup>nd</sup> and Copper. This building has vacancies within the underground portion of the structure and is in walking distance of existing residential units as well as several government offices. The challenge with this space, as Morris (March 30, 2012) mentions, is making the existence and type of retail services available in the underground space known to residents, employees, and pedestrians who might simply overlook the Galleria due to its unseen location.

3) Expand the location of retail services beyond the 100, 200, and 300 blocks of Silver Street, Central Street, and Gold Street. By increasing and diversifying the location of new venues “we can create mixed use areas” and better “accessibility and convenience for residents” (Brito, April 12, 2012).

The provisions of the 2010 Plan are well intentioned and forward desired downtown conditions, but the partially or completely unsuccessful findings of this project are, in part, due to the ten-year deadline that did not allow these policies to become deliverables. Revitalization, and planning for that matter, is about a continuous process rather than an end product, where changes to an urban landscape occur in increments, one development and initiative at a time (Faulk, 2006; Laurian et al, 2010). The process of downtown decline, the impetus of current revitalization efforts, over the past century occurred over several decades. Therefore, the revival of these urban spaces will, “even with advocacy[,]...take time for them to evolve into something different” (Faulk, 2006, p. 632). However, the 2010 target year did provide some significant additions, such as residential development, deeming portions of the Plan primarily successful. Perhaps changes to the Core would not have been as significant had the Plan not conditioned 2010 as the deadline. Boles (May 15, 2012) claims that the 2010 Plan deadline is unrealistic for achieving all Plan conditions. Now, with a little over a year after the 2010 deadline, several

interviewees mention talks of updating the current Plan and its provisions for the upcoming decade. This signifies an understanding of the 2010 Plan's initial revitalization efforts as part of a process that can continue if needed updates are applied along the way. If the efforts of the Downtown 2010 Plan are continued, Albuquerque's Downtown Core can eventually evolve into a "vibrant, multiuse center with low vacancy levels and a wide variety of activity," emerging into the ideal environment set out for the downtowns of this era (Falk, 2006, p. 633).

### **6.2.1 The Role of Indicators in Downtown Evaluation**

This thesis project conducted an evaluation of the outcomes of a downtown plan based on that plan's text or provisions. While the literature on plan evaluation suggests that the professional application of general plan evaluation is lacking, some examples of downtown evaluations, which have been conducted in professional practice, can be found in academic literature as well as publically available municipal reports. The evaluations of a number of downtowns within Canadian cities have been conducted through various indicators (Seasons, 2003). Based on a study of 48 mid-sized Canadian municipalities, conducted by Seasons (2003), 75 percent of the Chief Administrative Officers of those cities affirmed the use of indicators as a method of monitoring downtown activity and, subsequently, downtown plans. The selection of indicators was based on professional experience, available models, and community input (Seasons, 2003). The indicators identified by the participants of Seasons (2003) study highlight the perceptions of professionals and, in some cases, the community about what is important to consider and measure within a downtown. The monitoring of a downtown through various indicators assumes that the results of the evaluation are telling of the success of the current plan that guides the downtown in question. In other words, if a downtown is successful, based on the

municipality's definition of success as projected through their chosen evaluation indicators, then the plan that guides activity and development within that downtown is also successful.

There are a number of reasons why an evaluation of the downtown through an indicators model, or an original draft of indicators, was not adopted by this thesis project. This thesis project sought to evaluate the 2010 Plan through an investigation of its outcomes based on conformance and performance measures. Seemingly, the evaluation of a downtown based on indicators is an appropriate approach for constant monitoring of a downtown and its evolution, whereas the approach adopted by this thesis is suitable for the evaluation of one plan and its post-implementation outcomes. Furthermore, this thesis explores the successes of the 2010 Plan based on the Plan's objectives. It is assumed that the Plan provides provisions that will foster a successful downtown. Therefore, the indicators in this thesis project's evaluation are the provisions of the six Plan categories. Where outcomes fail to both conform and perform to the Plan, the Plan text is revisited to determine if the provisions within the Plan are to blame for failures. An investigation of the 2010 Plan's provisions, in light of findings that highlight failures, is touched on in the upcoming subsection. Within that discussion, it is determined that recommendations for bettering future Plan provisions can benefit from a review of indicators affecting the Downtown.

While the use of indicators is helpful in understanding the current condition of a city's core, it does not provide a detailed understanding of the implementation outcomes of a downtown plan. Therefore, the evaluation of downtowns as well as their corresponding plans is recommended to ensure an effective planning process. Therefore, the following should be considered for Albuquerque's Downtown: 1) Continual evaluations through annual indicator assessments of the Core district, and 2) Efforts to revise existing plans or the creation of new

plans for the Downtown should only be initiated after a post-implementation evaluation is conducted for the current plan through the “middle-of-the-road” standards applied by this project. This will ensure that not only is the success of a downtown evaluated through various indicators (model-based or municipality-created), but also that the current plan governing the core district is also evaluated. The consideration of these two relating, but somewhat independent factors ensures the effectiveness of an upcoming plan or plans.

Furthermore, the inclusion of a monitoring and evaluation section that stipulates these suggestions is recommended for the future plan that will govern Albuquerque’s Downtown. For example, downtown San Francisco and its governing plan have been evaluated through the use of indicators. The plan itself requires annual and five-year monitoring of the downtown (San Francisco Planning Department, 2011). The evaluations that occur every five years are more in depth than those that are conducted annually. The City of Albuquerque can adopt a similar approach for its upcoming Downtown plan. Within the future plan, provisions for a monitoring and evaluation section can suggest the annual evaluation of the Downtown through indicators. As an example, some of the overarching indicators used by San Francisco’s 2010 annual report include commercial space, employment, fiscal revenues, housing, and transportation. The future plan for Downtown Albuquerque should require an annual evaluation based on indicators for measuring overall Downtown conditions. Furthermore, Albuquerque’s next Downtown plan should also require that the plan itself be evaluated every five years based on the “middle-of-the-road”, post-implementation outcome evaluation applied by this research project. This provides a balanced perspective on the general conditions of the Downtown as well as the success of the current plan guiding implementation outcomes. Together, these measurements can provide informed alterations to the plan or facilitate the drafting of a new plan.

The following subsection discusses the identified failures of the 2010 Plan as determined by an evaluation of its outcomes. These failures highlight needed improvements that should occur within a new plan. Additionally, the following discussion provides additional justifications for adopting the aforementioned evaluation approach for Core planning and the drafting of a future Downtown plan for the City of Albuquerque.

### **6.2.3 Plan Shortcomings and Suggestions for a Future Plan**

Where failures or downfalls of the 2010 Plan were identified by category and category point, as listed in the previous chapter, the Plan itself was revisited to see if the provisions could be bettered for a future, new plan. Beginning with *Transportation and Parking*, the main failures of this category were identified by the performance-based assessment component. Unsuccessful findings suggested that while the Plan outlines provisions to facilitate pedestrianism, pedestrian activity is lacking in the Downtown Core. A future plan that address the Core must consider additions to and betterments of these provisions based on studies of other municipalities that have successfully facilitated pedestrianism within their downtowns.

A number of empty or underutilized historic buildings require repurposing, as determined by the *Land Use and Design* category evaluation. Within the future plan that addresses Albuquerque's Downtown a list of buildings currently listed within the Historic Registrar, as well as those that should be considered as historic landmarks, can encourage further reuse of historic buildings. Furthermore, TIF funding has not been employed by downtown projects. A market analysis, or annual analyses of the Downtown based on an indicators model (as touched on by the previous discussion), can provide perspectives for the upcoming Downtown plan as to whether or not TIF is a feasible source of funding for the Core district. *Healthy Neighborhoods* and *Urban Housing* both scored 'successful' ratings according to the evaluation findings. *Urban*

*Retailing* can benefit from an evaluation of the Downtown through indicators that consider the state of the current housing market. This can provide perspectives on future retail market demands. Furthermore, the *Urban Retailing* category calls for a concentration of retail services within the Core. However, new housing and existing offices are dispersed throughout the downtown suggesting a needed revision of this category's provisional point to one that advocates the expansion of retail throughout the entire Core area, rather restricting retail to the Arts and Entertainment District.

The findings for the final category, *Parks and Open Space*, suggest that Albuquerque's future Downtown plan requires another provisional point revision. Where the current plan encourages the enhancement of the Fourth Street Mall, the future Downtown plan should revise that provision to advocate the repurposing of the Mall to a street, allowing automobile traffic to flow through. Furthermore, empty dirt lots and surface parking prime for park or various developments are currently underutilized and, consequently, have not facilitated any positive alterations to the Core's morphology. In order to focus this thesis project's parameters on the categories of the Plan that impact urban morphology, six of the twelve Plan categories were chosen as the subjects of the project's evaluation. Notably, the urban morphology (buildings, plots, street blocks, and street patterns) of the downtown has not been significantly altered. The most notable changes to Downtown Albuquerque's urban morphology can be found in the addition of housing, retail, and transportation buildings. While these developments are significant, surface parking lots and empty dirt lots sit empty. This provides opportunity for future additions to the Downtown's urban morphology through needed park development or various infill projects.

### **6.3 Practical Application of Plan Evaluation Theory**

The fourth and final research question posed by this thesis asks: How can the post-implementation outcomes of Albuquerque's Downtown 2010 Sector Development Plan, and other plans, be evaluated in the face of uncertainty, keeping in mind the nature of a city as an evolving enterprise, while also understanding the importance of conformity? This question was first answered by the literature review and then tested by the application of the chosen theory to research practice. Specifically, the literature identified a conformance-based evaluation method that highlighted the importance of conformity through its emphasis on a one-to-one relationship between real outcomes and plan provisions. However, this approach alone would not provide balanced evaluation results, as deviations from intended plan outcomes would be considered immediate failures, rather than elicitors for further assessment to understand the causes for these unanticipated outcomes. Therefore, a performance-based evaluation method was considered. Under this framework, plan outcomes are evaluated through an understanding that a community is continually evolving and, consequently, deviations from a plan should be considered in light of local social, cultural, political, and environmental conditions. This investigation provides an understanding of the reasons for partial or no implementation of plan provisions. Therefore, the most appropriate evaluation approach for the 2010 Plan, and other plans, is Loh's (2011) "middle-of-the-road" evaluation that brings together conformance and performance-based methods to measure the outcomes of plans based on the benchmarks set out by the plans while also accepting the inevitability of an evolving community and, consequently, unanticipated outcomes. Furthermore, conformance-based successes were not immediately deemed successful in the overall, midway evaluation without first understanding these conformities light of local social, cultural, political, and environmental conditions, much like partial or complete deviations

discovered by the conformance evaluation. This allowed for balanced findings and conclusions regarding the Plan's implementation success.

The practical application of the chosen evaluation approach required the use of three different methods of data collection. Triangulation provided data required for both conformance and performance evaluation approaches. Performance findings were mainly derived from the interviews and personal observations. The data collected from the land use and GIS maps yielded mainly conformance findings. The results of the midway evaluation were organized by category. The findings for each category were organized by its main provision points. Conformance findings, performance findings, and final midway evaluation findings for each point were listed. Conformance and performance findings were recorded as successes and failures. A success by conformance standards was deemed a complete one-to-one relationship between real outcomes and intended plan outcomes. A partial or complete deviation from the intended plan outcome was considered a conformance failure. Performance findings looked at both the successes and failures of the conformance findings and considered them in light of local social, cultural, economic, political, and environmental conditions. The findings were then listed as successes and failures under the performance column. The midway evaluation of each category's provision points was determined based on the equal consideration of both conformance and performance findings and described through a success spectrum created for typifying the midway and overall evaluation results. The overall category findings were calculated through the mean of the midway findings presented for each point within a category. Based on the detailed findings presented for each category and its relating provisions, the overall category evaluation finding proved to be an accurate representation of the data. Furthermore, the amalgamation of both conformance and performance evaluation approaches provided a

comprehensive understanding of not only the morphological changes that downtown Albuquerque has faced over the past decade, but also the social, cultural, economic, political, and environmental conditions that shape and influence the use and perception of the urban form. Therefore, this evaluation method is recommended for future post-implementation plan evaluation exercises that seek to identify conformities or a lack thereof while understanding these results through various local conditions that influence and are influenced by intended plan outcomes.

#### **6.4 Limitations**

Perhaps the GIS software was not used to its full capacity for the purpose of this thesis research and, consequently, an opportunity was missed to gain additional perspective on the relationship between spatial and temporal conditions within Albuquerque's downtown boundaries. In other words, the maps generated for this project presented aerial snapshots of two different time periods, a decade apart, with additional overlay data that represent boundary lines, streets, and, in one set of maps, land use designations. Again, these data sets, visually represented onto one map for each year, were beneficial to the overall analysis and project conclusions. However, changes in space through time are not necessarily straightforward and complexities may be present (Gregory, 2005), but missed if the examination of these changes is limited to two isolated periods of time. By decreasing the time span between comparisons of spatial data to, say, one year, additional information and new perspectives can be gained. Furthermore, some of the interviewees spoke to various conditions that occurred in the Core boundaries from 2000 until 2010. Notably, changes were noted over the decade in question that were not necessarily present either before the Plan was adopted or during 2010. Therefore, the data in between these two outlier years are not considered in the GIS methodology for this

project. The triangulated data methods approach does compensate for this missing data in that other sources are able to fill in the missing information. That being said, a more temporally frequent visual representation of the Core's land use and physical conditions, alongside the commentary received from the stakeholder and expert interviews would be beneficial for comparison between data sets. Future studies that conduct a post implementation plan evaluation and apply a similar methodology, should consider attaining data for years in between plan initiation and target or measure years for plan outcomes.

This study's scope, measurements, and outcomes focus solely on Albuquerque's Downtown Core Boundaries. While this is sufficient and provides valuable insight to address the research question, conditions outside of the Core's boundary were not considered. Consequently, the growth or decline of various sectors in the Core, such as housing, retail, and employment (this is a category within the 2010 Plan but was not within the study's evaluation sphere), are not compared to other parts of the City. Future studies that wish to expound upon assessments of downtown revitalization efforts can consider conditions of the rest of the city in question, outside of the downtown area. This additional consideration provides perspective on whether citywide trends are mirrored within downtown districts, or if downtowns are resilient to or differently affected by municipal standings.

## **6.5 Concluding Remarks**

After years of attempted revitalization efforts and 31 failed plans to do so, as discussed in section 1.5, plan 32, Albuquerque's Downtown 2010 Sector Development Plan, has made some significant and positive changes to the City's Core. Now, almost twelve years after its adoption, the 2010 Plan has facilitated the development of 1) numerous housing options available for rent and/or sale at market and/or affordable prices, 2) the Alvarado Transportation Center, bringing in

commuters from across the City, State, and Nation, 3) conversion of one-way streets into two-way streets, and 4) lighting and street furniture. Furthermore, the KiMo Theater and the Hotel Andaluz are two significant historic building restoration projects that have maintained and created these buildings as landmarks in the Downtown. While not all of the Plan's conditions have been implemented, as previously delineated in this study, a great number have and serve as incentives for further development in and attention to the Core. If the progress witnessed over the past decade is telling of the decade to come, then Albuquerque's Downtown in 2020 will likely be a lively attraction for residents and visitors, generating 24-hour pedestrian-oriented, business and leisure activity not found anywhere else in the City.

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## Glossary

**Conformance-Based Evaluation:** A conformance-based approach is a plan evaluation technique that is based on a plan's provisions and resulting outcomes. In a conformance-based evaluation, a plan's outcomes are deemed successful if they fully adhere to the plan's original provisions.

**Emerging Codes:** Qualitative research data are typically organized based on a coding system, or a system that provides organizational keywords and headings based on resulting data, through two forms of codes: priori and emerging. Emerging codes are not predetermined and result from unforeseen data results and outcomes. Emerging codes may fall in line with priori code themes or they may organize outlier data. A definition for priori codes is provided below.

**Middle-of-the-Road Approach:** The middle-of-the-road approach refers to a midway adoption of the conformance-based and performance-based plan evaluation standards. In this evaluation technique, the relationship between a plan's text and resulting outcomes is one determinant of success. Additionally, compliance to a plan will be assessed in light of social, political, economic, and environmental forces that influence an area's evolution.

**Park-Once:** Park-once is a strategy mentioned under the *Transportation and Parking* category within the 2010 Plan. In this ideal strategy, residents of and visitors to the Downtown park their vehicles 'once' in one of several surface lots or parking structures and walk to their destination/s. After parking, the goal is walk to all desired locations within the Downtown.

**Performance-Based Evaluation:** A plan evaluation based on performance-based standards assesses a plan's outcomes based on the understanding that a city, town, or community is constantly evolving. Furthermore, performance-based evaluations seek to understand this evolution in light of social, political, economic, and environmental forces that foster continuous

change in an area. Here, a plan implementation outcome that deviates from a plan's original text is not automatically considered a failure, nor is an outcome considered a success if it is in line with a plan's guiding text. Rather deviating outcomes and all outcomes, even if they fully adhere to a plan's provisions, are evaluated through the consideration of the aforementioned forces of change.

**Plan-Process-Results (PPR):** PPR is an evaluation technique developed by authors Oliveira and Pinho and discussed in their 2009 article. In this proposed evaluation system, the planning process, which includes the creation of a plan, the implementation of a plan, and the outcomes of a plan, is cohesively evaluated. Various measurements and measurement indicators guide the application of a PPR evaluation. The complexity and exorbitant amount of data collection required by the PPR technique makes it inapplicable for this project. Although, some features of PPR are suitable for and utilized by this project, as explained in section 2.7.

**Plan-Outcome Evaluation (POE):** The POE method of plan evaluation was developed by Laurain et al (2010). This evaluation method presents three steps: 1) an assessment of a plan's outputs, provisions, or text and their ability to clearly guide readers and practitioners wishing to implement the plan and its stated goals, 2) determining whether or not a plan's provisions match resulting outcomes, 3) conducting expert workshops to deliver the data needed for the assessment of steps one and two.

**Priori Codes:** Priori codes are predetermined codes, identified prior to data collection, that eventually organizes resulting qualitative data. Priori codes are created through an understanding of the research topic and the purpose of data collection.

# Appendix A

## Downtown Core Map



The Downtown Core encompasses approximately 321 acres (.5 square miles)

**Figure A-1: Map of the Downtown Core**

Permissively reproduced from City of Albuquerque Planning Department and the Downtown Action Team. (2000). *Downtown 2010 Sector Development Plan*. City of Albuquerque. 4.

## Appendix B

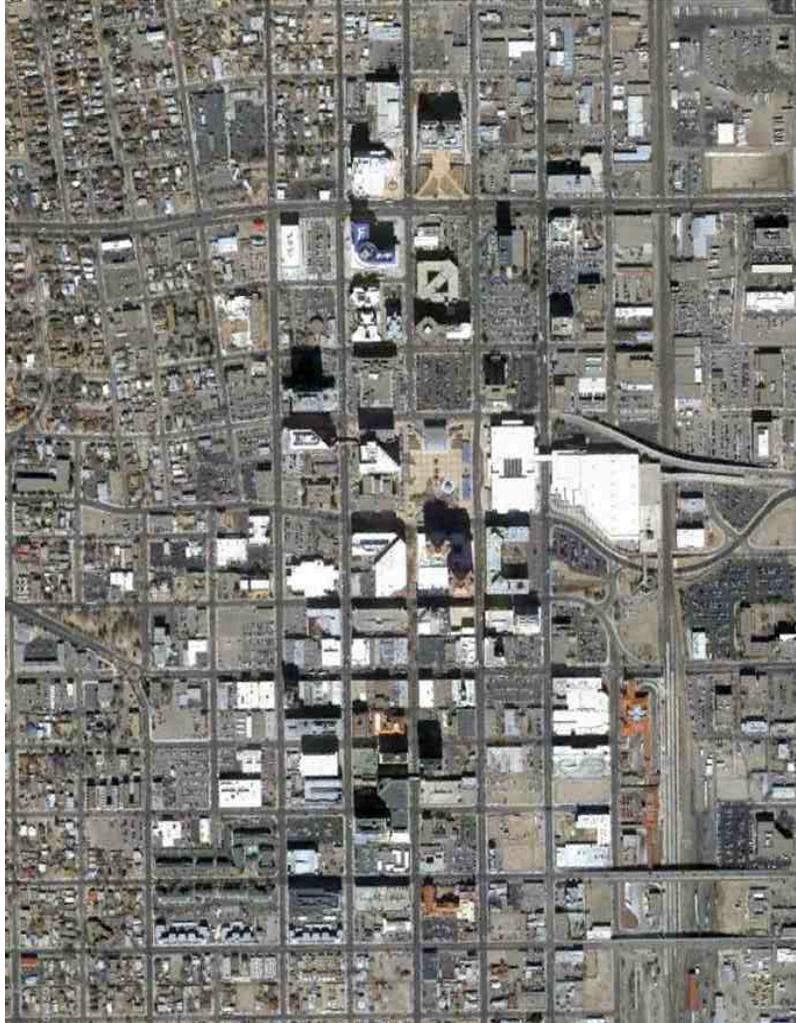
### Aerial Photos of the Downtown Core

While these specific aerial photographs were not used as part of the methodology, they serve a visual of two time periods: 2002- the time of the 2010 Plan's adoption and 2011- after the Plan's preset deadline of 2010. Other aerial photographs from 1999 and 2010 were used in this study as a part of the GIS maps and subsequent analysis.



**Image B-1: Downtown Core Aerial from 2002**

Google Earth Satellite View. Retrieved on March 14, 2012.

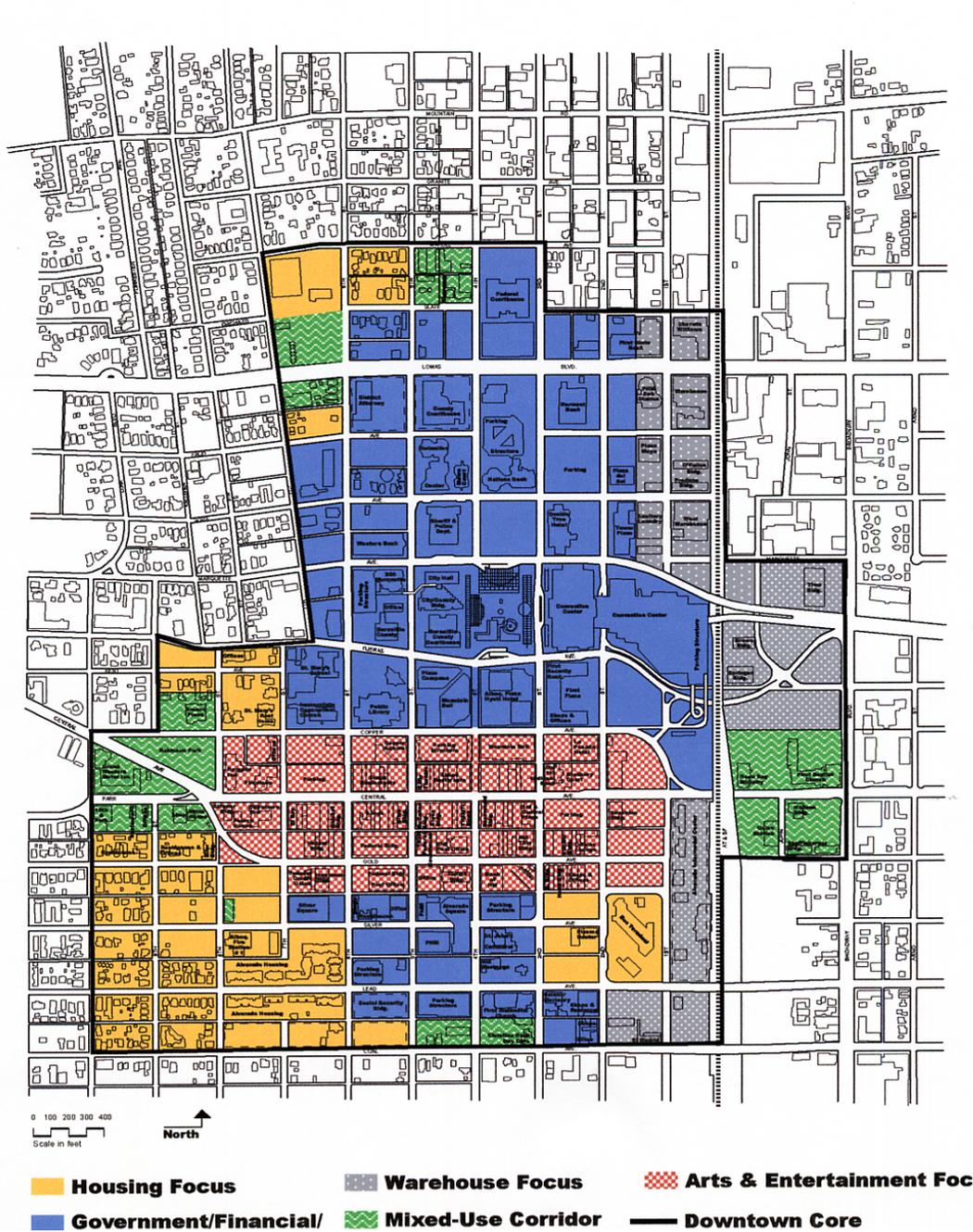


**Image B-2: Downtown Core Aerial from 2011**

Google Earth Satellite Image. Retrieved on March 14, 2012.

# Appendix C

## Districts Map and Matrix



**Figure C-1: Downtown Districts Map**

Permissively reproduced from City of Albuquerque Planning Department and the Downtown Action Team. (2000). *Downtown 2010 Sector Development Plan*. City of Albuquerque. 28.

	HOUSING <sup>①</sup>	GOVERNMENT FINANCIAL/ HOSPITALITY	WAREHOUSE	MIXED USE	ARTS & ENTERTAINMENT
RESIDENTIAL <sup>②</sup>					
Ground Floor	P	R	P	P	R
Above Ground Floor	P	P	P	P	P
RETAIL/SERVICES	R <sup>③</sup>	P	P	P	P
OFFICE/INSTITUTIONAL	R <sup>④</sup>	P	P	P	P
WAREHOUSE/WHOLESALE	R	R	P	R	X
MANUFACTURING	X	X	R <sup>⑤</sup>	X	X

P = Permitted

R = Review Required

X = Prohibited

**Figure C-2: Downtown Districts Matrix**

Permissively reproduced from City of Albuquerque Planning Department and the Downtown Action Team. (2000). *Downtown 2010 Sector Development Plan*. City of Albuquerque. 32.

The Districts Map and accompanying matrix were utilized in Assessment 3 as a part of the GIS and land use map method.

## Appendix D

### Data Recording: Photographs

The numbers indicated on the maps below display the location of each photograph taken during the personal observations. Numbers missing from the maps are from pictures that were taken outside of the Core boundaries, mostly of the peripheral neighborhoods.

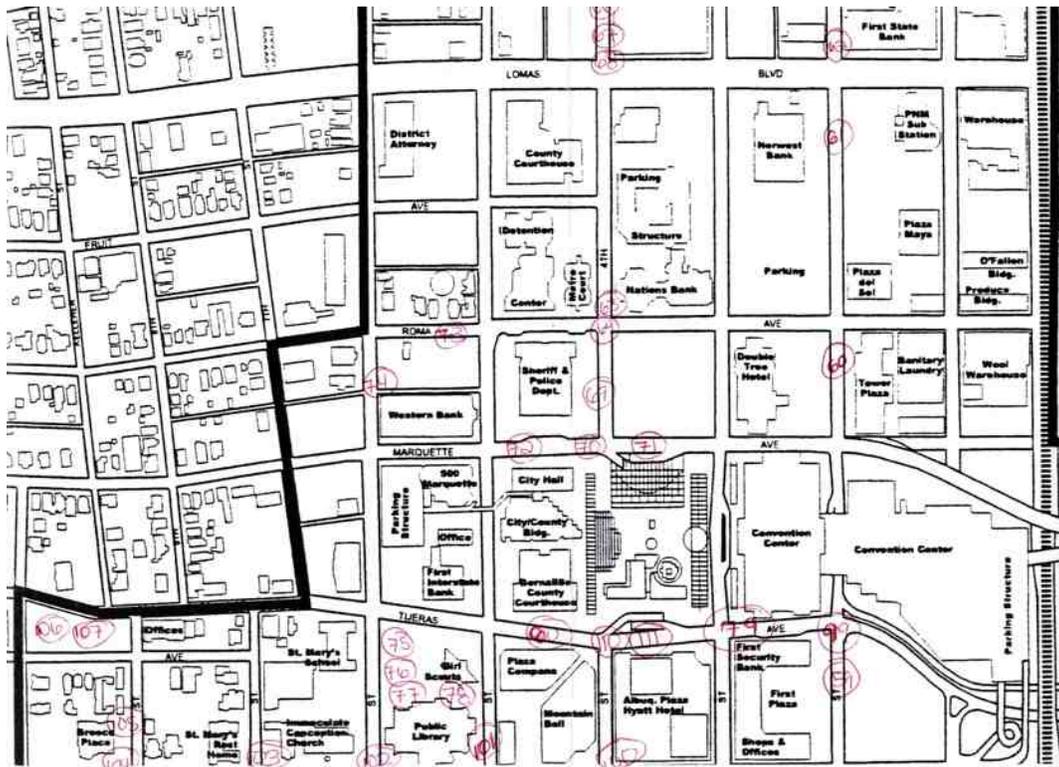


Figure D-1: Downtown Core North- Location of Photographs taken on January 4, 2012



Figure D-2: Downtown Core South- Location of Photographs Taken on December 31, 2011

## **Appendix E**

### **A History of Albuquerque and its Downtown**

#### **E-1.1 Brief History of the City**

Albuquerque, a city made up of a river, mountains and volcanoes, was scouted and deemed acceptable as a town by colonial Spanish standards by General Juan de Ulibarri. Albuquerque was officiated and named the villa of Albuquerque by Don Francisco Cuervo y Valdes on April 23, 1706. At that time, a book of rules for new towns set out by Spanish law, called the Recopilacion, governed the development of all founded villas. According to the Recopilacion, 30 families, a plaza, government buildings, streets and a church are all required to formally establish any villa. While Cuervo confirmed the presence of all of these requirements, it was later found that he had exaggerated reality. However, these findings did not stop Spain from allowing Albuquerque to continue as an officiated villa (Administration, 2005). After all, the villa was in a good location and had a promising future.

Nearly two centuries after its establishment, Albuquerque welcomed its first railroad on April 22, 1880. The railroad initiative did not originally begin in Albuquerque. The railway company attempted to buy land in Las Vegas and Bernalillo and could not due to the high costs presented by the civic leaders and landowners. In Bernalillo, land was owned by the Pereas family who presented the railroad representatives with high prices because of their political opposition to the new industry and loyalty to the wagon freight system. As a result, the railroad representatives traveled to Albuquerque and there they were able to purchase the land they required for their endeavor. This signified the beginning of a transformation that would lead Albuquerque to become the focus of the New Mexico region. Soon after the railroad development, Albuquerque separated into two districts: Old Town and New Town. Old Town

remained as the original settlement community while the New Town formed around the railroad tracks as, primarily, a commercial center. Notably, Old Town was not formally incorporated into the city until 1949, where this, once a separate village of historic Victorian and adobe buildings, became a big tourist attraction. While the Pereas family may have been unsuccessful due to their decision not to partake in the railroad industry, one family member jumped on an opportunity in the residential arena. In 1881, Jose L. Perea made his success in Albuquerque when he purchased and built a subdivision now known as the Downtown Neighborhood District, just west of New Town (Administration, 2005).

A Midwesterner by the name of Walter Marmon was hired by the first developers in Albuquerque to layout the streets of New Town. Marmon executed his task by laying out a grid pattern of north-south numbered streets and east-west streets named after minerals. At the time, locals were hopeful that the town would become a hub for mineral transportation. The street parallel to the railroad was named Broadway and the major road was already named Railroad Avenue, which was later changed to Central Avenue (Administration, 2005).

In the early 1900s, transportation companies bought subdivisions, such as those initiated by Perea, as an attempt to promote their business through proposed streetcar routes that would connect the residential units to the business district. This century old idea remains relevant as the connection between residence and work is an important factor in modern urban life. Eventually, the Perea subdivision was taken over by a Federal Court House and Route 66 automobile related development. However, a few of the older houses still remain on some of the numbered streets (Administration, 2005).

The 1900s also brought with it a trend that initiated sprawling development through the promise of clean air and life away from the hustle and bustle of the downtown area. These new

developments were outside of the town's boundaries at the time. In 1906, one of the biggest developers of the time, D.K.B. Sellers, built the University Heights and then, in 1911, Valley View (Administration, 2005). As with most North American cities at the time, this kind of outlier development owes its success to the automobile.

According to Administration (2005), "Today, ten historic neighborhoods surround downtown: Old Town, the Downtown Neighborhoods Area (Perea Addition), Sawmill-Wells Park, McClellan Park, Martineztown (Los Martines), Huning Highlands (Highland Addition), South Broadway (Eastern Addition, San José), Barelás (Los Barelás), the Raynolds Addition, and Country Club (Huning Castle Addition)"(99). The parentheses refer to the individuals that the neighborhoods are named after. As a part of this thesis project and the intended Plan implementation evaluation, current Downtown boundaries and encroachment possibilities are assessed and discussed in Chapter 5.

### **E-1.2 Architectural History**

Albuquerque has an architecture that is unique to the country. The architecture present today is the result of a number of different historical influences. The current style is influenced by a history of Pueblo villages beginning in A.D. 1100, the Spanish Colonia Period with adobe dominating as the main construction material well into the 1800s, the U.S. Territorial Period that sought to replace the small adobe houses with larger wood or brick homes, and the Pueblo Revival by William G. Tight, president of the University of New Mexico beginning in 1901. Tight's interest and promotion of Pueblo architecture resulted in dormitories, a library and other campus buildings that took on this traditional style. At the time of Tight's presidency, his admiration of the Pueblo style was not reciprocated by all in the community. It was not until the early 1900s that the public finally realized the importance of Pueblo and Spanish-style influence.

It was the construction of the railroad and some related traditional style development that attracted visitors to the area and allowed the public to appreciate their unique, local architecture. This local acceptance attributed to the development of other buildings in what is known as Pueblo Deco style. Old and new Pueblo-Spanish design influences along with Native American designs were actualized by the aesthetics of this architectural approach. In 1927, the KiMo Theater was built based on Pueblo Deco design (Administration, 2005).

Other historic buildings in the Downtown area were developed through external influences. In 1902, prominent railroad hotel architect, Charles Whittlesey, completed the development of the Alvarado Hotel whose design was based on a California Mission style. This building was later demolished in the 1970s. In 1914, the first Albuquerque High School, recently converted into lofts, was built based on a Gothic style. Other buildings that went up during the early 1900s include the Sunshine Building that housed the city's first large theater and a federal government building (Administration, 2005).

Beginning in the 1950s, the Downtown experienced development that changed the skyline with ten-storey plus building developments such as the Simms Building, Bank of New Mexico Building, and the Wells Fargo Building. Civic Plaza and the Public Library were constructed in the mid 1970s. Restoration of historic buildings occurred during the next few decades on significant buildings such as the KiMo in 1982 (Administration, 2005).

### **E-1.3 Post World War II and Changes to Albuquerque's Downtown**

After World War II, an influx of veterans, those that previously trained at Kirtland Air Force Base, returned to settle down in Albuquerque. Sandia Base, the predecessor of today's Sandia Laboratory, also attracted professionals in the nuclear sciences. This growth spurt also attributed to the expansion of Albuquerque's boundaries to the Sandia Mountains. In the 1950s,

the development of two highways, I-40 and I-25, played a part in the growth the city witnessed from 1940 to 1960 when the population jumped from 35,449 to 201,189 (Administration, 2005). At the end of the war, there were two predominant city districts: Old Town and New Town. New Town subsists as the city's current Downtown. It was in the 1950s that the New Town began to transform into the cultural and business district. At that time, a ride along the historic Route 66 highway into the downtown was met by retail that supported the local Western culture of the time. Downtown's first parking garage, built in 1953, stood four stories high at the corner of 3<sup>rd</sup> Street and Copper Avenue. This development was followed by the construction of buildings whose occupation ranged from a TV station to local and federal government agencies. In the meantime, outlier neighborhoods in the northeastern portion of the city, often referred to as "the Heights," began to gradually develop. Regardless of this outward growth, the Downtown prevailed for another decade. After retail hours, the Downtown provided entertainment in the State, Sunshine and Kimo Theaters. Today, the two latter of the three remain as functioning theaters. At the end of the 50s decade, population size doubled, the main interstate was partially complete, and businesses and residents distributed in other areas of the city (Hubenthal, N.D.).

## Appendix F

### Interview Questions

#### F-1.1 Semi-Structured Interview Questions

\* *Quoted material has been taken from:*

*City of Albuquerque Planning Department and the Downtown Action Team. (2000). Downtown 2010 Sector Development Plan. City of Albuquerque. 7-11, 15.*

*The use of quotations within these interview questions is for the purpose of maintaining accuracy when it comes to benchmarks that define Plan success. Essentially, success is determined to be adherence to Plan provisions. Therefore, it is necessary to quote material from the Plan's text to create accurate and effective questions.*

#### A. Relation to Downtown 2010 Sector Development Plan

1. What organization, group or company do you represent?
2. Can you give me a brief description of how you are involved with the Downtown 2010 Sector Development Plan or the downtown revitalization provisions/efforts within the Plan?

#### B. Transportation and Parking

3. In your opinion, since the adoption of the Downtown 2010 Plan in 2000, has downtown Albuquerque transformed into a “pedestrian-first, park-one place with excellent pedestrian, transit and bicycle facilities”? If so, how? If not, how and why not?

#### C. Land use and Design

4. In your opinion, since the adoption of the Plan have historic sites and buildings been maintained, restored and reused?
5. Do you think that starting a decade ago, new developments have respected existing and traditional urban conditions?
6. Since the Plan's adoption, the Downtown Core has been deemed a tax increment financing district. Are you aware of any programs, infrastructure or facilities that have been financed through this funding? If so, how has this impacted the Downtown Core?

#### D. Healthy Neighborhoods

7. The Plan seeks to maintain the boundary between the Downtown Core and its adjacent neighborhoods. Are you aware of any encroachments of commercial activity from the Downtown Core onto those neighborhoods? If so, please explain the situation.

#### **E. Urban Housing**

8. Are you familiar with any housing developments that have been built in the Downtown Core since 2000? If so, how do you qualify these developments (high density, student housing, senior housing, artist live/work space, etc)?
9. Do you believe that new housing developments within the Downtown Core have been sold and/or rented as market rate and/or affordable housing?
10. How would you describe the overall change in downtown housing development over the past decade?

#### **F. Urban Retailing**

11. Since the Plan's adoption, how has the retail scene in the Downtown evolved?
12. Do you think that today, the Downtown core provides "a variety of retail goods and services...to serve a broad range of residents, employees and visitors"?
13. How would you describe the distribution of retail facilities in the Downtown Core?

#### **G. Parks and Open Space**

14. What are your thoughts on the Fourth Street Mall?
15. Have you noticed any new parks or open spaces within the Downtown Core over the past decade?
16. Are there any decade old, or younger, pedestrian trails in the Downtown that you are aware of?
17. Since the year 2000, have you been aware of any new public developments that have provided courtyard spaces?

#### **H. Overall Plan Performance and Future of the Downtown**

18. Overall, has the Downtown 2010 Sector Development Plan successfully achieved its goals and objectives? If so, why? If not, why not?
19. In 2011, the Plan was updated. Can you speak to the nature of these updates?
20. What are your thoughts on the future of Albuquerque's Downtown Core?

## **F- 1.2 Likert Scale Interview Questions**

### **A. Transportation and Parking**

1. Amenities such as lighting, signage, street furniture, plantings, etc. have encouraged pedestrian activity in the Downtown Core (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

2. Shuttles, long term parking, short term parking, and on-street parking have allowed for a park-once strategy to be developed in the downtown (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

### **B. Land use and Design**

3. Mixed street level uses in the Downtown Core are promoting pedestrian activity (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

### **C. Healthy Neighborhoods**

4. High density urban housing exists within the Downtown Core (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

5. Infill residential buildings have been developed in Historic District neighborhoods in the last decade (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

### **D. Urban Housing**

6. A variety of housing types ("townhouses, urban apartments, lofts, condominiums, live/work, etc.") exist in the Downtown (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

**E. Urban Retailing**

7. “Continuous retail building frontage” exists on Central, Gold and Copper Avenues (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

**F. Parks and Open Space**

8. Since 2000, newly developed parks and open spaces have strengthened pedestrian connection (select one):

Strongly agree 1 2 3 4 5 Strongly disagree

## Appendix G

### Interviewee Background

**1) Petra Morris:** Interviewed on March 30, 2012.

Summary of Section A Interview Questions: Petra Morris is a planner at the City of Albuquerque Planning Department. In relation to the Downtown 2010 Sector Development Plan, Morris represents herself. She has had some research experience with the 2010 Plan through her thesis project as a Master's student at the University of New Mexico, as well as some professional experience involving the Plan.

**2) Russell Brito:** Interviewed on April 12, 2012

Summary of Section A Interview Questions: Russell Brito represents the City Planning Department at the City of Albuquerque. Brito oversees the Urban Design and Urban Development division of the Planning Department that contains three departmental sections: 1) Current Planning, 2) Long Range Planning, and 3) Metropolitan Redevelopment. All three sections of the Planning Department deal with the implementation of the 2010 Plan at some level.

**3) Chris Goblet:** Interviewed on April 24, 2012

Summary of Section A Interview Questions: Chris Goblet is the Deputy Director of the Downtown Action Team. He has been working with the Downtown Action Team since 2005 and has been the Deputy Director since October of 2006. Goblet provides an implementer's perspective whose daily activities largely focus on fostering the 2010 Plan. Goblet describes the Downtown Action Team's Plan implementation efforts as those that attempt to leverage relationships between local governments, state governments, private corporations, and developers. The Downtown Action Team is a non-profit organization. Therefore, their efforts are limited to funding received from the Business Improvement District. Notably, the BID of Albuquerque's Downtown provides 750,000 dollars to manage 84 blocks, which is a meager amount compared to other BID funds for cities with smaller BID areas across the nation. In other words, while the BID region is larger than most states, it is incrementally smaller in funding.

**4) Ed Boles:** Interviewed on May 15, 2012

Summary of Section A Interview Questions: Ed Boles works for the City of Albuquerque, Planning Department within the Urban Design and Development Division as a Historic Preservation expert.

**5) Richard Sertich:** Interviewed on May 23, 2012

Summary of Section A Interview Questions: Richard Sertich is a former City of Albuquerque employee, having retired five years ago, and is currently self-employed. With respect to the conducted interview, Sertich represented himself. Sertich is a coauthor of the Downtown 2010 Sector Development Plan.

**6) Gabriel Rivera:** Interviewed on May 30, 2012

Summary of Section A Interview Questions: Gabriel Rivera works at the Metropolitan Redevelopment Agency within the City of Albuquerque Planning Department. Rivera's understanding of the 2010 Plan initiatives expands to additional supporting plans and policies: The Alvarado Transportation Center Project Area Master Plan and the Downtown MRA (Metropolitan Redevelopment Area) Plan, 2003 Designation, discussed in section 5.7.5 of this study.

## Appendix H

### Research Ethics Approval

ORE Ethics Application System <OHRAC@uwaterloo.ca> Thurs, Feb 2, 2012 at 11:58 AM

To: lkhirfan@uwaterloo.ca

Cc: malakhakim@gmail.com

Dear Researcher:

The recommended revisions/additional information requested in the ethics review of your ORE application:

Title: Albuquerque's Downtown 2010 Sector Development Plan - A Post-Implementation Evaluation

ORE #: 17898

Faculty Supervisor: Dr. Luna Khirfan (lkhirfan@uwaterloo.ca)

Student Investigator: Malak Hakim (malakhakim@gmail.com)

have been reviewed and are considered acceptable. As a result, your application now has received full ethics clearance.

A signed copy of the Notification of Full Ethics Clearance will be sent to the Principal Investigator or Faculty Supervisor in the case of student research.

\*\*\*\*\*

Note 1: This ethics clearance from the Office of Research Ethics (ORE) is valid for one year from the date shown on the certificate and is renewable annually, for four consecutive years. Renewal is through completion and ethics clearance of the Annual Progress Report for Continuing Research (ORE Form 105). A new ORE Form 101 application must be submitted for a project continuing beyond five years.

Note 2: This project must be conducted according to the application description and revised materials for which ethics clearance has been granted. All subsequent modifications to the project also must receive prior ethics clearance (i.e., Request for Ethics Clearance of a Modification, ORE Form 104) through the Office of Research Ethics and must not begin until notification has been received by the investigators.

Note 3: Researchers must submit a Progress Report on Continuing Human Research Projects (ORE Form 105) annually for all ongoing research projects or on the completion of the project. The Office of Research Ethics sends the ORE Form 105 for a project to the Principal

Investigator or Faculty Supervisor for completion. If ethics clearance of an ongoing project is not renewed and consequently expires, the Office of Research Ethics may be obliged to notify Research Finance for their action in accordance with university and funding agency regulations.

Note 4: Any unanticipated event involving a participant that adversely affected the participant(s) must be reported immediately (i.e., within 1 business day of becoming aware of the event) to the ORE using ORE Form 106.

Best wishes for success with this study.

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Susanne Santi, M. Math.,  
Senior Manager  
Office of Research Ethics  
NH 1027  
519.888.4567 x 37163  
ssanti@uwaterloo.ca

# Appendix I

## Interviewee Consent Form

**UNIVERSITY OF  
WATERLOO**

UNIVERSITY OF WATERLOO  
200 University Avenue West, Waterloo, ON, Canada N2L 3G1  
519-888-4567 | [uwaterloo.ca](http://uwaterloo.ca)

**WATERLOO | PLANNING**

January 27, 2012

### CONSENT FORM

By signing this consent form, you are not waiving your legal rights or releasing the investigator(s) or involved institution(s) from their legal and professional responsibilities.

I have read the information presented in the information letter about a study being conducted by Malak Hakim of the School of Planning at the University of Waterloo. I have had the opportunity to ask any questions related to this study, to receive satisfactory answers to my questions, and any additional details I wanted.

I am aware that I have the option of allowing my interview to be audio recorded to ensure an accurate recording of my responses.

I am also aware that I may choose to be identified in the thesis and publications and excerpts from the interview may be included in the thesis and/or publications, with the understanding that quotations will be either anonymous or attributed to me only with my review and approval.

I was informed that I may withdraw my consent at any time without penalty by advising the researcher.

This project has been reviewed by, and received ethics clearance through, the Office of Research Ethics at the University of Waterloo. I was informed that if I have any comments or concerns resulting from my participation in this study, I may contact the Director, Office of Research Ethics at (519) 888-4567 ext. 36005 or [ssykes@uwaterloo.ca](mailto:ssykes@uwaterloo.ca).

With full knowledge of all foregoing, I agree, of my own free will, to participate in this study.  
YES NO

I agree to have my interview audio recorded. YES NO

I agree to identification and the use of attributed quotations in any thesis or publication that comes of this research. YES NO

I wish to remain anonymous in this research and no direct or anonymous quotations used.  
YES NO

Participant Name: \_\_\_\_\_

Date: \_\_\_\_\_

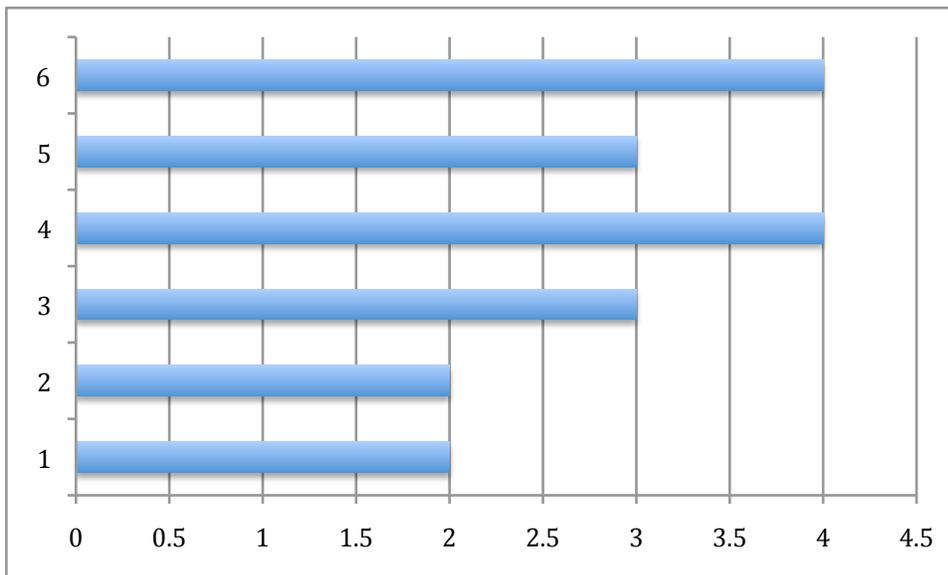
## Appendix J

### Likert Scale Questionnaire Results

A Likert scale questionnaire provides a set of questions and a response scale used by the respondents to rate the questions. With respect to this research project’s questionnaire, a ‘strongly agree’ choice was denoted by a value of 1 on the Likert scale, while a ‘strongly disagree’ choice equated to a value of 5. The participants had the option of choosing any whole number from 1 to 5 to depict their desired response.

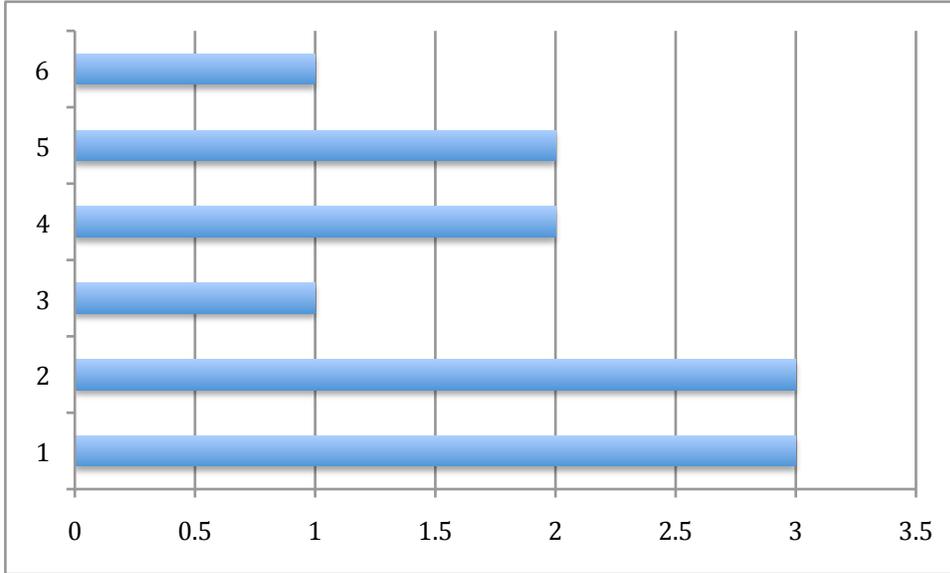
Question #	1) Morris	2) Brito	3) Goblet	4) Boles	5) Sertich	6) Rivera
1	2	2	3	4	3	4
2	3	3	1	2	2	1
3	2	3	3	3	2	3
4	2	1	2	4	2	1
5	2	3	1	1	1	1
6	2	2	1	2	4	2
7	4	3	5	4	3	2
8	4	3		5	5	5

**Table J-1 :** Interviewee responses to Likert scale questionnaire

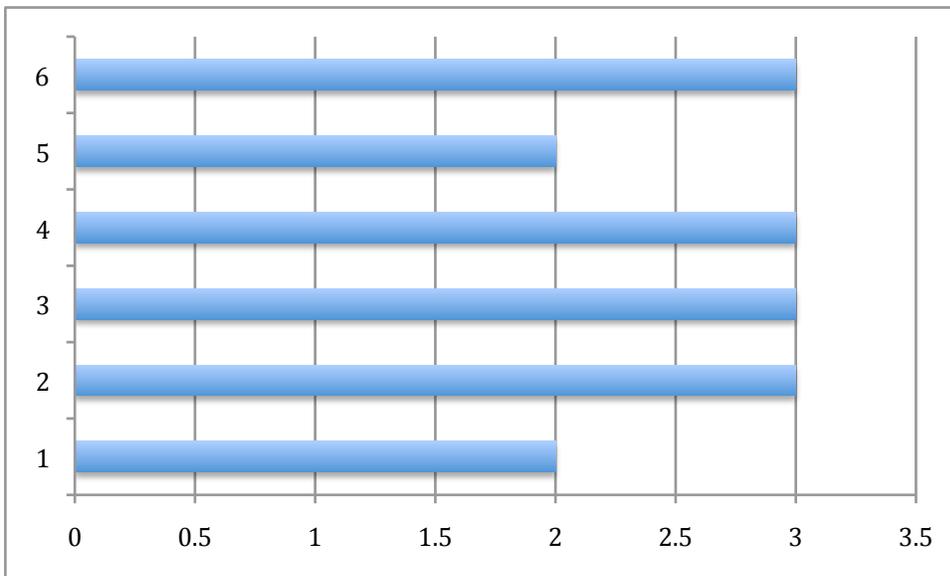


**Figure J-1:** Likert Scale Questionnaire Question 1 Responses

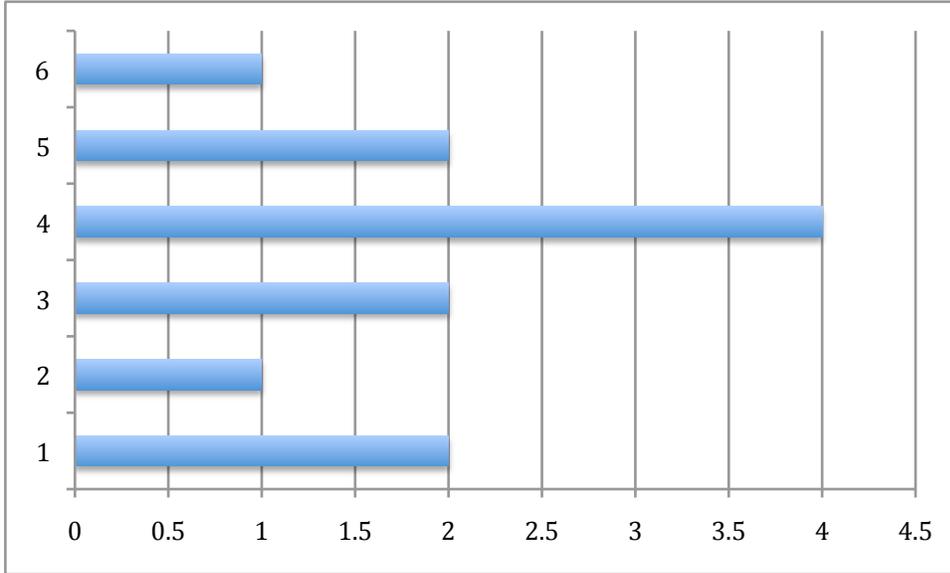
(x axis = response level, y axis = interviewee number, based on the table above)



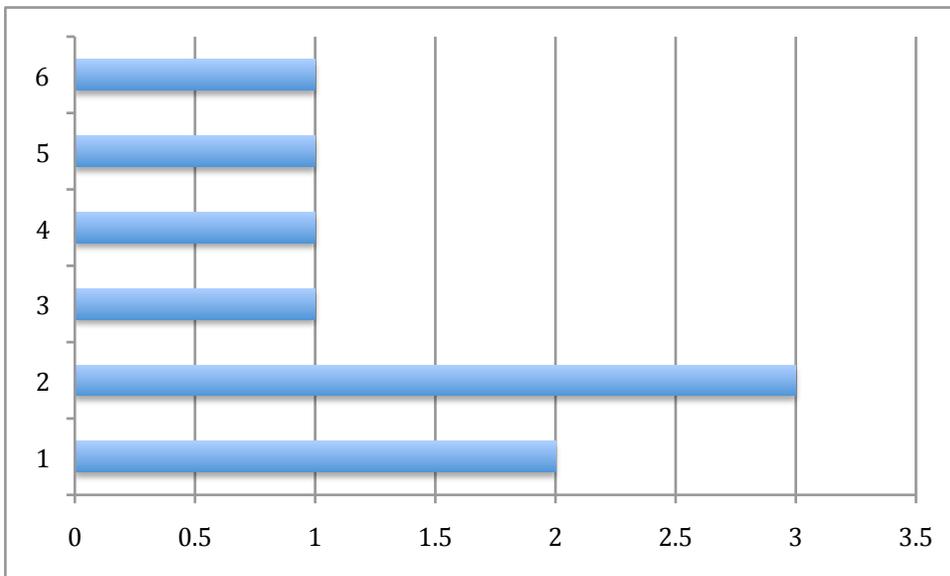
**Figure J-2:** Likert Scale Questionnaire Question 2 Responses



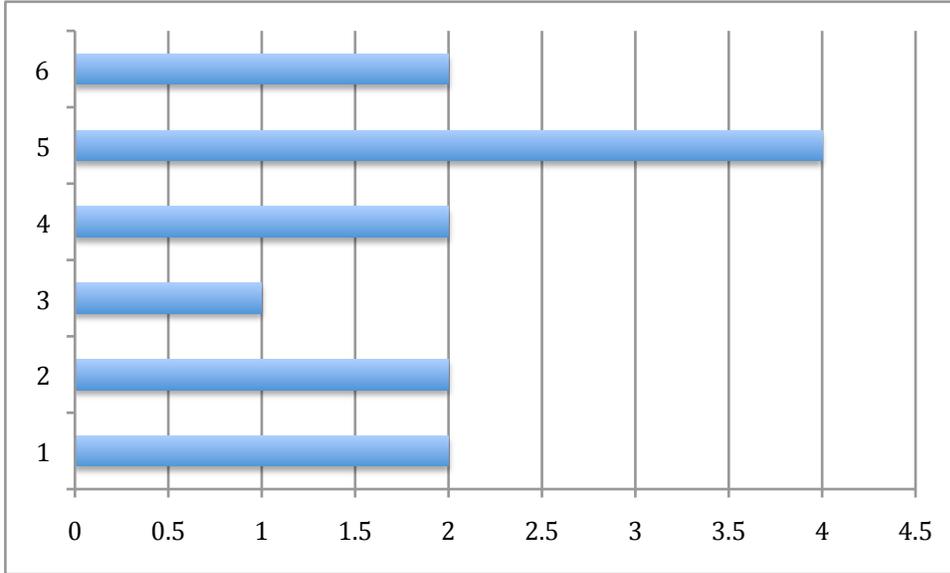
**Figure J-3:** Likert Scale Questionnaire Question 3 Responses



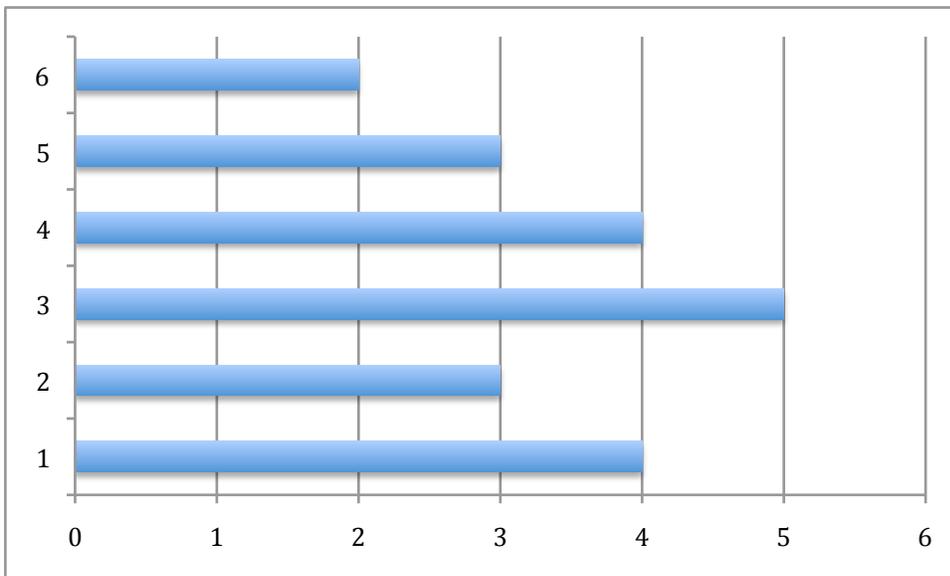
**Figure J-4:** Likert Scale Questionnaire Question 4 Responses



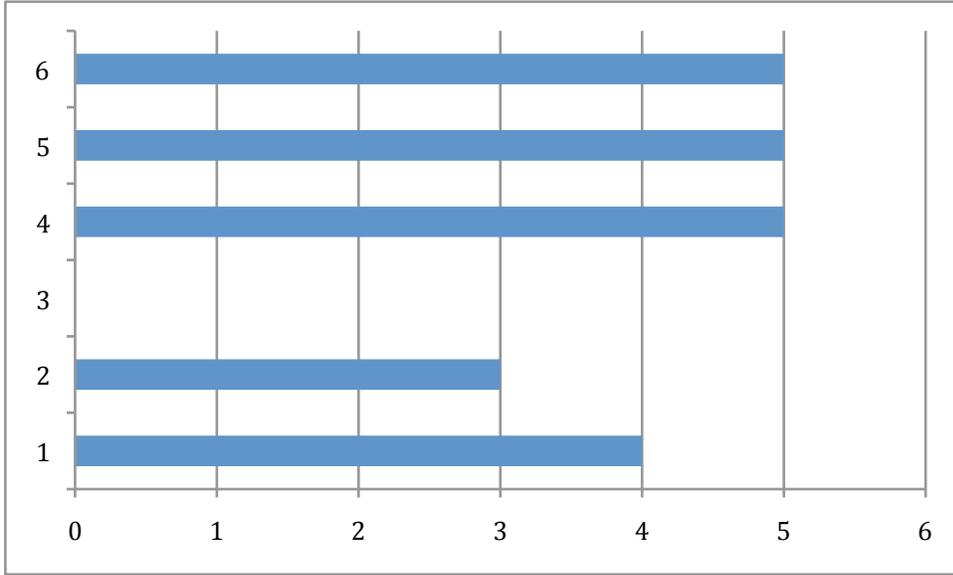
**Figure J-5:** Likert Scale Questionnaire Question 5 Responses



**Figure J-6:** Likert Scale Questionnaire Question 6 Responses



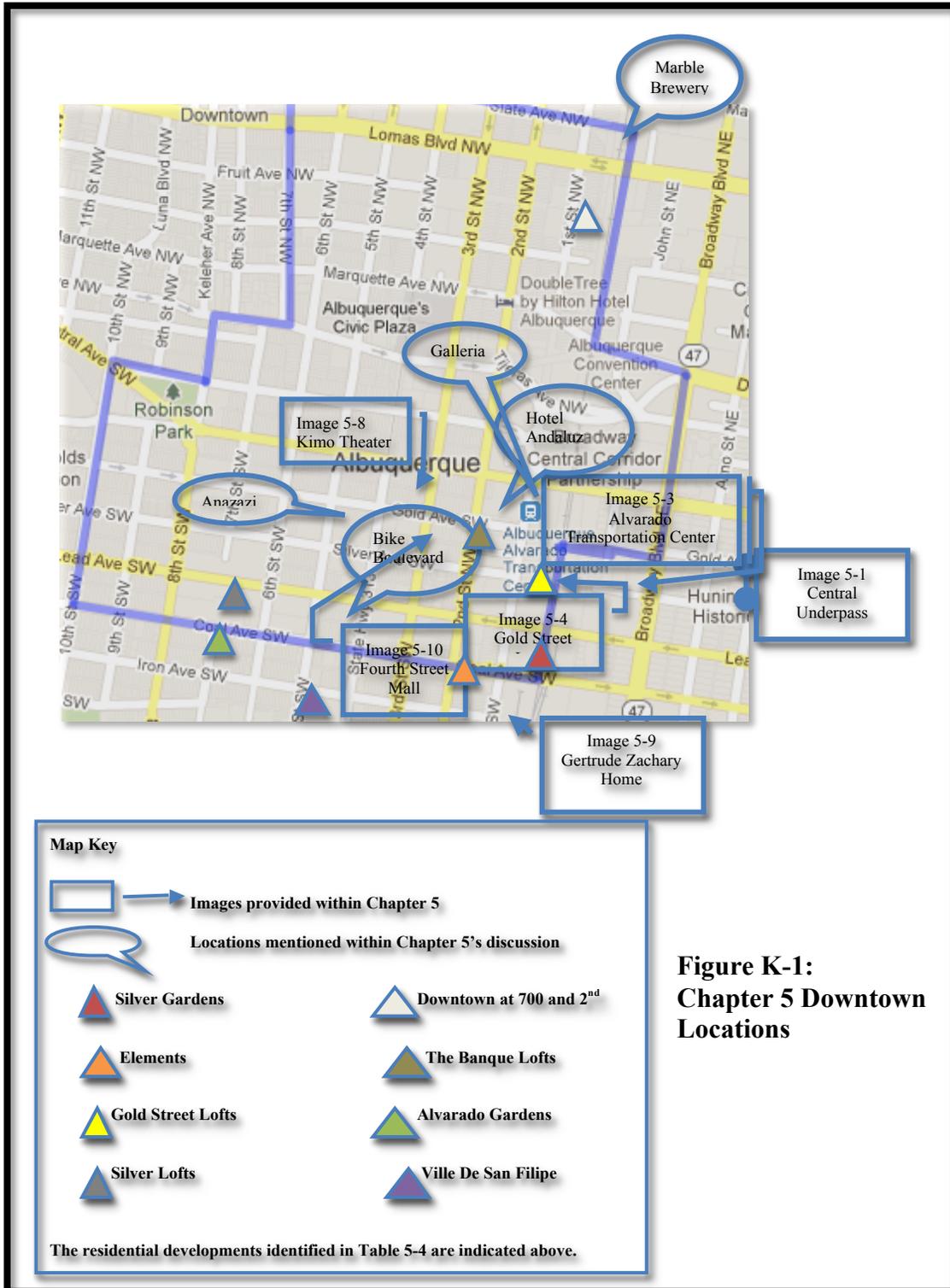
**Figure J-7:** Likert Scale Questionnaire Question 7 Responses



**Figure J-8:** Likert Scale Questionnaire Question 8 Responses

# Appendix K

## Downtown Locations Identified in Chapter 5



**Figure K-1:  
Chapter 5 Downtown  
Locations**