

Evaluating the Effectiveness of Public Participation  
Programs as a Basis for Decision Making

by

T. Neil Hamilton

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## ABSTRACT

### Evaluating the Effectiveness of Public Participation Programs as a Basis for Decision Making

by T. Neil Hamilton

The use of public participation programs in resolving land resource allocation issues increased during the 1960's and 1970's. However, due to time delays in decision making, increased expenditures and uncertainty as to its value as a tool to assist decision makers there has been a growing disenchantment with public participation. This thesis develops an evaluative model to determine the effectiveness in implementing a public participation program and therefore its ability to be utilized as a decision making tool. This model is conceptually based upon the literature on evaluating public participation programs, addresses problems of previous models and is easy to administer relative to previous models.

In the application of this model, to three case studies of public participation involving land resources allocation issues, it was determined that the model can be a useful tool for decision makers.

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## Chapter 1

### Introduction

The purpose of this thesis is to develop a theoretical model for use in evaluating public participation programs which can be used as a basis for decision making.

#### 1.1 Background

In response to increasing dissatisfaction with autocratic decision making by government and the increasing recognition by the public that they have a moral right for increased input into the resolution of issues which effect them, there has been a marked increase in the occurrence and use of public participation in planning programs since the mid 1960's (Cullingworth, 1984, pl).

The demand for increased public involvement in decision making was manifested by the public and professionals in planning and resource management. The public's requirement for public participation, or input into public decision making, was evident by the growth of citizen pressure groups and professional lobbyists in those years (Smith, 1979). Pressure, by professional organizations, for the increased use of the public in decision making was in reaction to public

dissatisfaction with completed plans or government decisions which had failed to correctly identify the needs or opinions of the public which they affected<sup>1</sup> (O'Riordan, 1977). In their contributing article to Urban Planning in Transition (cited in Gerecke, 1974), the Wheatons commented that:

Planners can no longer rely on either simple goal statements or simple consultation procedures. As a profession we must derive new ways of measuring alternatives and new ways of reaching the people.

The response by governments and decision makers to the increased demand for public participation was diverse, varying from the development and implementation of public participation programs which were tokenism in their solicitation of public input to the assignment of responsibility for the resolution of the issues to the public groups that are impacted by the problem (Arnstein, 1969).

Governments have currently been reluctant to provide for increased public participation in decision making as it is felt that it erodes or counteracts the

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<sup>1</sup> As in the case of the Spadina Freeway where the development of the transportation corridor was not desired by the community which would be demolished during its construction.

established political process (Sewell and Coppock, 1977, p165). Within the established political process politicians interpret their mandate as being the promotion and protection of the public interest and, that as elected representatives of their constituents, that they represent the diversity of interests expressed and provide an adequate level of public input into the decision making process. The inclusion of the public in decision making is viewed as a threat to the political system as there is a loss of direct accountability and control over the decision making process.

While the use and acceptance of public participation has grown, and waned in our society, there remain numerous problems concerning its future use which have yet not been adequately addressed by researchers or the users of such programs. These problems are:

- i) the timing as to how and when public input should be solicited,
- ii) the determination of what legal basis should public participation have in Canadian society (founded in statute or not),

- iii) the resolution of the problem of non-participation by the majority of society, and
- iv) the definition of criteria for evaluating public participation programs.

(Sewell and Coppock, 1977)

The current decline in the use of public participation programs provides government, researchers and planners an opportunity to review the past accomplishments, and failures, of the public participation process in order to establish new or revised techniques, methods of application and process of evaluation of public participation which will assist in issue resolution.

The issue which this thesis will address is the definition of an evaluative model for public participation programs that has relevance to both the theoretical foundation of public participation as established in the literature and the operational use of public participation by the bureaucracy and government to attain public input and concerns in decision making.

For the purpose of this thesis public participation is considered to be limited to the participation of the public into decision making which has been solicited by

the governing body and accepted by the public. While it is recognized that there are other public involvement techniques which are designed to influence the political decision making process (lobby groups, voting, referendums, public demonstrations, advocacy planning programs, personal solicitation to decision makers, opinion polls, riots, etc.) this thesis will address only those public involvement programs which are mutually beneficial to and have been sanctioned by the involved parties; i.e. those public participation techniques being participatory in nature.

## 1.2 Purpose

The specific purpose of this thesis is to develop a framework to evaluate the effectiveness of public participation programs which has the following attributes:

- i) that it is conceptually sound relative to the literature on public participation;
- ii) that it addresses the deficiencies of existing public participation evaluative frameworks;

- iii) that it is easy to administer, relative to the previous models, without requiring increased expenditure of capital or personal resources beyond those already required in the implementation of a participation program;
  
- iv) that it has ability to evaluate public participation programs which are undertaken by the national, regional and urban levels of governance; and
  
- v) that it can be implemented by those persons responsible for decision making without their requiring highly technical skills or extensive knowledge of public participation.

### 1.3 Methodology

This thesis will employ a threefold process to achieve the research purpose. Firstly, a review will be made of the literature relating to public participation and the evaluation of public participation programs to establish the determinants for and the deficiencies of public participation evaluative models. Secondly, this thesis will develop an evaluative framework which



reflects the criteria established in the purpose of the study and the determinates established in the literature. Lastly, selected case studies are examined to determine the appropriateness of the model in evaluating the effectiveness of public participation programs, to establish conclusions for the model and to determine methods by which the model or the process of implementation can be improved.

#### 1.4 Assumptions

This thesis is based on the assumption that the use of public participation in resolving land and resource use issues enhances the quality of decision making in our society as it:

- i) provides a forum where viewpoints in opposition to the planning agency or bureaucracy can be expressed;
- ii) provides increased support for, and assistance in implementing, the decision which arises from the program; and
- iii) offsets the political, social and economic biases of the decision makers.

### 1.5 Limitations

This thesis will be limited to the evaluation of the effectiveness of the process by which a public participation program has been implemented. While it is acknowledged that the evaluation of a participation program to determine its overall effectiveness must include an evaluation of the outcome (decision) and the results of that decision subsequent to its implementation this thesis will only address the evaluation of the effectiveness of the process of a participation program as this provides the foundation upon which a decision makers can formulate their decisions, which are the "outcome" of the participation process.

Chapter 2

Public Participation in the Planning Process

Planning is the function by which society directs its future development. It is therefore a function that often elicits strong response from the various interest groups concerned with development. Consequently it is a natural vehicle for public participation. Public participation is the process which fosters the interaction between the citizen and the bureaucracy in decisions regarding future societal directions. It is the process which permits non-elected members of the community to be actively involved in decision making which affects them and goes beyond the electoral system of selected input to decision makers on a limited basis. This begs the question: "How valid has a public participation process been?" hence the need for an analytical framework for the evaluation of public participation programs.

The development of such an evaluative framework requires an understanding of the function of public participation in our society. In order to provide this understanding it is necessary to:

- i) review the reasons for public participation, including the pragmatic reasons and social attitudes;

- ii) the demand for participation in our society;
- iii) the use of public participation in decision making;  
and
- iv) the contribution which public participation can  
make to planning.

## 2.1 Reasons for Participation

### a) Pragmatic Reasons

It has been recognized by decision makers, through past experience, that cost overruns and time delays associated with poorly formulated and implemented plans or government policies could have been avoided with the acceptance and use of public participation programs, as they provide decision makers with a source of alternatives which may not have been considered.

Governance within pluralistic societies is also improved through the use of public participation programs. Pluralistic societies, consisting of diverse cultures and socio-economic groups, embody many different interests and expectations of governments and society. These expectations cannot

be adequately represented by elected officials or bureaucrats who are expected to be expert and arbitrator simultaneously, as they may be biased by their own educational and economic backgrounds (U.S. National Water Commission, 1973). Direct involvement of the public in policy development and the decision making process accommodates this multiplicity of values and reduces the alienation of the public against the decision makers. As Ostrom stated (Ostrom, 1973, p62 as cited in Smith, 1979)

"If public agencies are organized in a way that does not allow for an expression of the diversity of preferences among different communities of people then producers of public goods and services will be taking action without information as to changing preferences of the persons they serve. Expenditures will be made with little reference to consumer ability. Producer efficiency in the absence of consumer ability is without economic meaning."

Also, governments have determined that the increased use of public participation in decision making may reduce program costs and assist in implementation.

The report presented by the British Columbia Provincial Task Force on Citizen Participation cited the following case for including public participation in decision making.

"When it comes to the implementation of policy, decisions which have been reached with maximum public involvement are most likely to have minimum opposition, thus reducing friction, easing implementation, and perhaps avoiding expensive reversal of decisions"

(Cited in Franson and Burns, 1974, p158)

Conversely, representative democracy cannot be replaced by public participation as progressively higher levels of participation do not result in higher levels of social satisfaction or decision making nor in the reduction of alienation (Sewell and Coppock, 1977). The question is therefore to determine the required balance.

b) Attitudes Toward Public Participation

Our western political culture bases its understanding of public participation on two predominant attitudes. The first attitude is predicated on the premise that periodic elections adequately account for the representation of the diverse values and interest in our society through political representation (Pranger, 1978 as cited in Smith, 1979). The second attitude is based on the understanding that the citizen is an active determinant of his own existence (Kasperson and Breitbart, 1975, p15 cited in Smith, 1979). The

latter approach establishes a balance of equity in society and explains the current public interest in participation.

The acceptance of public participation in our society also arises from the democratic political philosophy of the developed western nations which embodies the concept that those citizens affected by a decision of government have a moral, if not legal, right to contribute to and partake in those decisions.

The translation of this "moral right" for public participation to a bureaucratic obligation or a statutory right in Canada has been limited. In the U.S.A. this "moral right" has been embodied in legislation. The failure by a government agency to incorporate public participation in program development, amendment or implementation can be ultra vires to specific legislation (e.g. National Environmental Protection Act, 1969, which makes public participation compulsory where federal funds or lands are used) or contrary to the American Constitution and therefore be open to challenge in the courts.

Canada has no such constitutional basis for public participation (Lucus, 1972; Franson and Lucas, 1975). Requirements for the inclusion of public participation have been established by certain statutes, but these are limited. Where statutory requirements allow for public hearings or formal intervention by objectors (as an appeal procedure) they are generally implemented only at the discretion of the authorities.<sup>2</sup>

## 2.2 Demand for Public Participation

The demand for public involvement in policy development and the decision making process may be the result of many factors. Lotz and Wilkinson<sup>1974</sup> (cited in Smith, 1979, p14) perceived the increased demand for public involvement as a reaction to an expanding bureaucracy and a distrust of elected officials and senior bureaucrats. Wilkinson detailed eight factors which have influenced the increased demand for participation as being (Wilkinson, 1974, p233 as cited in Smith, 1979):

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<sup>2</sup> Example - B.C. Waste Management Act, S.B.C. Chap. 41  
B.C. Ecological Reserve Act, R.S. Chap. 101  
B.C. Land Act, R.S. Chap. 214



- i) the growing environmental awareness;
- ii) a better educated electorate;
- iii) the excessive complexity and pervasiveness of organizations;
- iv) the narrow rationality of decision makers;
- v) the questioning of the efficiency of representation by election;
- vi) cultural changes;
- vii) an incongruence between decisions and events arising from an inherent resistance to change, against rapidly changing events; and
- viii) the reactive response of government, when a prescriptive response is desired.

The willingness of the public to assign decision making authority to elected representatives is therefore diminished and a lack of trust develops resulting in an increased demand for public participation in certain forms of decisions.

The demand for public participation has also been increased by planning projects which have failed to identify or respect the desires of the public (Sewell and O'Riordan, 1976; Farrell, 1976). Numerous urban renewal projects have failed to deliver the intended benefits or caused economic or social upheavals in a community which may have been reduced or eliminated with the broader canvassing of public interest.

Conversely, governments also wished to increase the levels of public participation in decision making as it allows for the gauging of public response to government policy without the risks associated with an election and legitimized their power base (O'Riordan, 1977).

### 2.3 The Use of Public Participation in Decision Making

The use of public participation in decision making has changed markedly since the early 1970s. An attitude of caution within the bureaucracy and amongst politicians has replaced the previous acceptance of the public input into decision making. The waning use of participation programs has been the result of political caution and political philosophical changes and public disenchantment with the process.

Professionals and agencies which previously promoted the use of public participation have become cautious about using it because of the increase in costs involved in operating a participation program, the increased time required to resolve the situation (Sewell and Coppock, 1977, p6), and the fact that the use of public participation may in certain instances result in recommendations that do not provide for the resolution of the conflict (Sewell, 1977, p219).

Similarly, political acceptance of the right of the public to participate in decision making has also waned as politicians consolidate their authority. The current political philosophy has changed so that politicians assume that they adequately represent the needs of their constituents and that they have been elected to assume responsibility for the actions and operations of the government (O'Riordan, 1977). An example of this political change is found in a recent article on the future of public consultation by the Deputy Minister of the Environment, Jacques Gerin, in which he indicates that public participation requires a new focus which should not include decisions on the actions or policies of the government but rather should be directed as to what the citizens are doing (Gerin, 1985, p5). The withdrawal of the Federal Ministry of Environment from public participation or the use of

participation programs in decision making is clearly emphasized.

This waning of the use, or acceptance, of the public's involvement in decision making may be explained by the Down's Issue - Attention Cycle (as cited in Sewell, 1977) which states that as problems (e.g. the need for public input to decision making) become apparent they will remain prominent in the public's attention for a short period of time and although perhaps unresolved will fade away and be replaced by other problems which are perceived as being of greater urgency (e.g. economic recovery).

Similarly , early evaluations of the results of participation programs did not reinforce the theory that there will be increased public concern for or acceptance of the solutions to issues in which they had been consulted. Further it was noted that public involvement programs did not increase the participation rate of the latent public but merely that they included those interest groups or individuals who were already involved with the issue and spokespersons for other government agencies.<sup>3</sup>

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<sup>3</sup> Mazmanian, D. A. (1974) reported these findings in studies conducted for the Environmental Protection Agency and U.S. Corps of Engineers on public participation.

2.4 The Contribution of Public Participation to the Planning Process

While the use of public participation by the planning profession has waned there are many valid reasons for the continued use of participation in planning. These reasons are:

- i) that public participation assures that different views (other than those of the planning agency) are presented to, and understood by, the agency, thereby enhancing the final product or output of the planning process;
- ii) it can promote the exchange of viewpoints amongst different groups in society;
- iii) it can present the priorities of the public to the bureaucracy and elected officials; and
- iv) that the public will be aware of the agencies policies and that they can assist in monitoring these policies and noting deficiencies with respect to policy implementation far quicker than the agency (Fox, 1980).

Public participation in the planning process has validity for both the bureaucracy and the involved public. While the reasons for disenchantment with public participation are valid in that it promotes time delays in decision making, increases costs attributed to the planning process and that the public is not satisfied that it is adequately represented, public participation can provide the decision maker with a better basis for formulation a decision providing that the participation has been effectively solicited. The effectiveness of a participation program can only be established through the evaluation of that participation program to determine if it provides an adequate basis upon which a decision maker can formulate a decision. Without participation program evaluation no guidelines with respect to the improved operation of public participation programs or improvement to the implementation of these programs can be formed. The process of review, improvement and learning will provide the legitimacy for the future use of participation programs in decision making (Homenuck, 1977, p103).

### Chapter 3

#### Evaluation of Public Participation Programs

The objective evaluation of public participation (Glasser, 1977; Farrel, 1976; Homenuck, 1977) is to provide an overall indication of the usefulness of the participation program. Without evaluation it is impossible to determine the relevance of public participation to a particular decision, the success or failure of a program in meeting its objectives, the correctness of the process and techniques used (Burton, 1977), the efficiency of the program in its use of agency staff and resources (Vindasius, 1974) or that the representation of the public was adequate (Sewell, 1979).

The literature on the evaluation of public participation programs in Canada seems to indicate that little attempt has been made to determine the effects of public participation as there has been little or no formal evaluation of participation programs (Sewell, 1979; Burton, 1977).

Burton and Wildgoose (1977) in their review of the documentation of 95 case studies of public participation determined that only seven of the case studies employed an evaluative process which was inherent to the participation program (Table 1).

Table 1

Occurrence of Public Participation Program Evaluation

<u>Type of Evaluation</u>	<u>Number of Cases</u>
No Apparent Evaluation	51
Inherent Evaluation	7
<u>Ex Post Facto</u> Evaluation	35
No Information	2

Source: Burton, T. L., 1977

The ex post facto evaluations were undertaken after the completion of public involvement programs and consisted only of the opinions of the author who generally represented the view of the agency. Because of this ex post facto approach, deficiencies in the participation program (if noted) could not be amended. Such an evaluative process may have resulted in the expenditure of agency resources on a program that fostered alienation or failed to produce the required guidance for decision makers.

The low occurrence of inherent program evaluation is due to several factors. Firstly, evaluations require the further expenditures of agency resources, both in terms of personnel and capital. As the expense of operating a public participation program has increased in recent years (Sewell,



1979), planning agencies and decision makers are reluctant to allocate the additional funds required for evaluation. Secondly, as program evaluation scrutinizes the action of the agency and staff, it is not favourably received or undertaken as the results may indicate that the participation process was not administered in a correct fashion. Finally, evaluations require well defined objectives which are not easily developed when there are a number of participant groups and criteria held by each group as shown in Table 2. However, evaluations, whether ex post facto or inherent, are required as questions concerning the future development and continued use of public participation can only be addressed through the critical analysis of current experiences (e.g. Sewell et al., 1977; Sewell, 1977).

Drawing from case studies and the literature it is evident that there are three broad dimensions of public participation against which success is measured. These are:

- i) Outcome - the degree to which the objectives of the public involvement program were achieved, (Burton, 1977);
- ii) Process - the degree to which the selected involvement strategies were successfully used, (Burton, 1977);

Table 2

Perceived Criteria for Successful Participation and  
Participant Group, As Identified from the Case Study  
Documents

<u>Participant Group</u>	<u>Criteria for Successful Participation</u>
1. The General Public	1. A favourable final outcome
2. Public Interest Groups	1. A favourable final outcome 2. Organizational Capability 3. Group cohesion 4. Media support and coverage 5. An open process 6. Access to information
3. Professionals and Experts	1. Organizational capability 2. Group cohesion 3. An open process
4. Politicians and Members of Commissions/Boards	1. Opportunity for public input 2. A broadly acceptable outcome
5. Developers and Industrialists	1. Opportunity for public input 2. A broadly acceptable outcome

Source: Burton, T.L. (1977)

- iii) Attitudes - the degree to which the attitudes of those involved were effected (Farrel, 1976).

Similarly, there are three approaches to establishing measures of success which have been applied in case study documents. Measures of success (evaluation criteria) vary in accordance to the Agency perspective, the Citizen perspective and an Independent Observer perspective as shown in Table 3. The Agency perspective equates success with the acceptance of the program by those involved in it and the extent to which the program has improved the image of the agency. Citizens or citizen groups view the successful use of public participation as the prevention or modification of proposed actions. Independent observers have equated public participation success as the amount and accuracy of information gathered or exchanged and the expense of the program.

Table 3  
Evaluation Criteria by Affiliation of the Evaluator

<u>Affiliation of the Evaluator</u>	<u>Evaluation Criteria</u>
1. Agency Personnel	1. Acceptable final outcome 2. Improved agency image 3. Cost in time, money and manpower
2. Citizen Group Representatives	1. A favourable final outcome 2. Opportunity for input
3. Independent Observers	1. Achievement of objectives 2. Degree of representation achieved 3. Accuracy and completeness of information

Source: Burton, T.L. (1977) p69

In order that participation program evaluation may provide direction for the future use of public participation programs, to assist in the development of a theoretical framework for participation and to provide a basis for decision making it must be undertaken within an analytical framework which can be uniformly applied to a broad spectrum of participation programs. Five models - those of Vindasius, Glasser, Hampton, Homenuck and Farrel - have been chosen for review in this thesis. The analytical framework does not represent the total diversity of evaluative models developed for public participation programs. These models were selected for inclusion in this thesis as they address the various complexities of evaluative frameworks with respect to time and effort required to implement them and the various foci of these models (Table 4).

### 3.1 Vindasius Model

The earliest form of evaluation of public participation programs in Canada was developed by Vindasius in 1975 (Burton, 1977). Vindasius developed this analytical framework for evaluating Environment Canada's Inland Waters Branch's program of public participation in planning projects.

Table 4  
The Foci of the Evaluation Models

<u>Model</u>	<u>Focus</u>
Vindasius	Goals-Achievement
Glasser-Manty-Nehman	Techniques Assessment
Hampton	Techniques Assessment
Homenuck-Durlak-Morgenstern	Goals-Achievements and Process-Assessment
Farrell	Techniques Assessment

Source: Burton, T. L. (1977)

The Vindasius model establishes a threefold hierarchy for the evaluation of participation programs, which are:

- 1) to define the goals and objectives of the participation program;
- 2) to evaluate the degree of success in attaining the goals stated in terms of,
  - i) effectiveness (the extent to which a given objective was actually accomplished), and
  - ii) efficiency (the costs of pursuing a given objective), and

3) to describe the potential implications of the participation program on the results of the plan (Sewell, 1979).

Evaluation within the Vindasius framework is based upon the perception of the key actors from the agency staff, program personnel and community leaders as to the degree to which the objectives of the program were achieved.

This model has several merits which recommend its use. It is a simple model which can be easily applied in a variety of situations. Data requirements are low, the evaluator does not require special training and involvement by agency staff is minimal, therefore costs associated with this evaluation are low.

However, this model is limited in that it is biased in favour of the agency as the evaluation is completed by and based upon information provided by the agency. Also, the focus of this framework is based upon the program's ability to meet its intended objectives which is generally difficult to evaluate as program objectives are rarely defined with enough precision for evaluators to know if the objectives have been reached (Sewell, 1979).

Finally, the efficiency of the participation program as determined by the cost of the program may not be a valid indication of success since high efficiency (i.e. low cost) may not be indicative of the best participation process which could have been applied.

### 3.2 Glasser - Manty, Nehman Model

The second evaluation framework reviewed is that of Glasser (Glasser, Manty, Nehman, 1975). The Glasser framework focusses on the evaluation of participation programs as a function of the technique(s) used in the program.

The assessment of each participation technique is based on two criteria, these being:

- i) Communication Characteristics defined in terms of the public contact achieved, the degree of user sophistication required, its ease of use by agency staff, the responsiveness of the technique to varied interests and the degree of two way communication; and
- ii) Educational Objectives defined as the provision of information and education, the identification of problems and values, the problem solving capability

of the technique, feedback, conflict resolution and the implementation of solutions (Table 5).

The Glasser framework is similar to Vindasius in that it requires limited training and costs little to apply. However, the Glasser framework has resolved one of the shortcomings of the Vindasius model in that it provides for the evaluation of participation techniques in comparison with each other.

### 3.3 Hampton Model

The analytical framework proposed by Hampton (Hampton, 1977) is a technique oriented model which is more sophisticated than those of Vindasius and Glasser. The Hampton model was developed on the premise that the function of public participation is to increase the public's power and input into the decision making process. To this end the perceptions of the public, regarding the success of the participation program, are considered to be as important as those of the planning agency involved.

The Hampton framework shown in Table 6 assumes that the major objectives of public participation are;



Table 5  
Glasser Model

CAPABILITIES OF PUBLIC PARTICIPATION TECHNIQUES

Communication Characteristics						Techniques for Communicating and Involving the Public	Objectives of Education and Participation Techniques					
Degree of Public Contact Achieved	Degree of Impact on Decision Makers	Degree of User Sophistication	Ease of Use and Preparation	Ability to Respond to Varied Interests	Degree of Two-Way Communication		Inform/Educate	Identify Problems and Values	Get Ideas/Solve Problems	Feedback	Resolve Conflict/Research Consensus	Implement Solutions
						Group A - Large Group Meetings						
2	1	2	2	0	0	1 - Public Hearings	1	2		1		
2	1	2	2	0	1	2 - Public Meetings	1	2		1		
						Group B - Small Group Meetings						
1		2	2	3	3	3 - Presentations to Community Groups	2	2		2		
1	3	3	2	2	3	4 - Site Visits	2	3		2		
1	2	1	2	3	3	5 - Advisory Body	3	3	2	3	2 2	
1	3	1	2	3	3	6 - Task Force	3	3	3	3	2 3	
1	1	2	3	2	3	7 - Role Playing Exercises	3	3	2	2	2	
1	1	2	3	2	3	8 - Values Clarification Exercises	2	3	3	2	2	
1	1	1	2	3	3	9 - Workshops	2	3	3	2	2	
2	3	2	1	3	3	10 - Delphi Exercises	1	2	3	3	3	
						Group C - Organizational Approaches						
2	2	3	3	2	2	11 - Regional and/or Local Offices	1	2	2	3	2 3	
1	3	1	2	2	3	12 - Citizen Representation on Policy Boards		3	2	3	2 2	
1	2	3	3	3	3	13 - Ombudsman and Community Advocate	2	3	2	3	2	
3	1	3	3	2	3	14 - Public Interest Center	2	2		2	2	
						Group D - Media						
2	1	2	2	1	1	15 - Information Pamphlets, Brochures and Summary Reports	1	1				
2	1	3	3	1	1	16 - Slide and Film Presentations	2					
2		3	2	2	2	17 - Tape Recorded Information Network	2	3	2	3		
3	1	3	1	3	2	18 - Radio Talk Shows	2	2		2		
3	1	2	2	1	1	19 - Press Releases and News Letters	1	1		1		
						Group E - Community Interaction						
1	1	1	1	2	2	20 - Response to Public Inquiries	1					
2	2	3	3	3	3	21 - Attitude Surveys - Mailed, Telephone, and Personal Interviews	2	3		3	2 3	
						Group F - Legal Mechanisms						
1	3	1	3	2	3	22 - Citizen Suits	1	3	3	3	3 3	
1	1	1	1	3	1	23 - Environmental Impact Review Statement	2	3	3	3	3 2	

Source: Sewell, W.R.D., 1979

\* Figures shown in this model are ratings based on a simple set of numbers (0,1,2 and 3) representing zero, low, satisfactory and high degrees of achievement respectively.

Table 6  
Characteristics of the Hampton Evaluation Model

1. DISPERSAL OF INFORMATION

What information?

- (a) Information about decisions already taken -- i.e., a single policy.
- (b) Information about discussions taking place -- i.e., alternative policies.
- (c) Open government - i.e., all information freely available.

Who is informed?

- (a) Major elites -- e.g., other public bodies or major commercial concerns.
- (b) Minor elites - e.g., local interest groups.
- (c) The general public as a collectivity of individuals.

2. GATHERING INFORMATION

What information?

- (a) Information about physical facts -- i.e., census data, etc.
- (b) Information about decisions taken by other public or private bodies.
- (c) Information about public attitudes and opinions.

Who is listened to?

- (a) Major elites - e.g., other public bodies or major commercial concerns.
- (b) Minor elites -- e.g., local interest groups.
- (c) The general public as a collectivity of individuals.

3. INTERACTION BETWEEN PLANNING AUTHORITY AND PUBLIC

What kind of interaction?

- (a) Through the widening of the debate -- e.g., by the dispersion of more information.
- (b) Through the involvement of elites -- e.g., working parties for interest groups.
- (c) Through the encouragement of the individual citizen.

Who is the public?

- (a) Major elites -- e.g., other public bodies or major commercial concerns.
- (b) Minor elites -- e.g., local interest groups.
- (c) The general public as a collectivity of individuals

---

Source: W. Hampton, "Research into Public Participation in Structure Planning" in W.R.D. Sewell and J.T. Coppock (eds), Public Participation in Planning, Wiley and Sons, 1977

- i) Information dispersal - providing information to the public regarding the decision to be taken,
- ii) Information gathering - to obtain information from the public regarding the decision, and
- iii) Attainment of interaction between agency staff and the public.

Within each of the framework's three objectives, participation techniques are assessed according to the information which they generated and the type of public involved. The focus is to determine what kinds (techniques) of participation take place for whom.

The Hampton model benefits from its inclusions of numerous publics and the understanding that different publics have unique motivations, criteria for determining success and different goals. However, this framework is constrained in that it requires the agreement of all involved parties to the defined objectives of the program.

#### 3.4 Homenuck Model

The Homenuck framework (Homenuck, 1977) which was initially presented to the Environmental Council of

Alberta's Conference on Public Participation in 1977 is the most sophisticated model considered in this report. The model (Figure 1) is developed on the assumption that a public participation program comprises of two dimensions, which are:

- i) Function - defined as the purpose and value perceptions of the program (definition of objectives), and
- ii) Process - which is the determination of what participation techniques will fulfill the function of the program.

Homenuck identified five types of Functions and Process (Table 7) which are measured (qualitatively or intuitively) to attain the evaluation. Functions are assessed in terms of the quality of information generated and the amount of participation generated. Process is evaluated in terms of the techniques applied, publics reached and the impact of the program on the public.

FRAMEWORK FOR EVALUATION OF PUBLIC PARTICIPATION PROGRAMS.

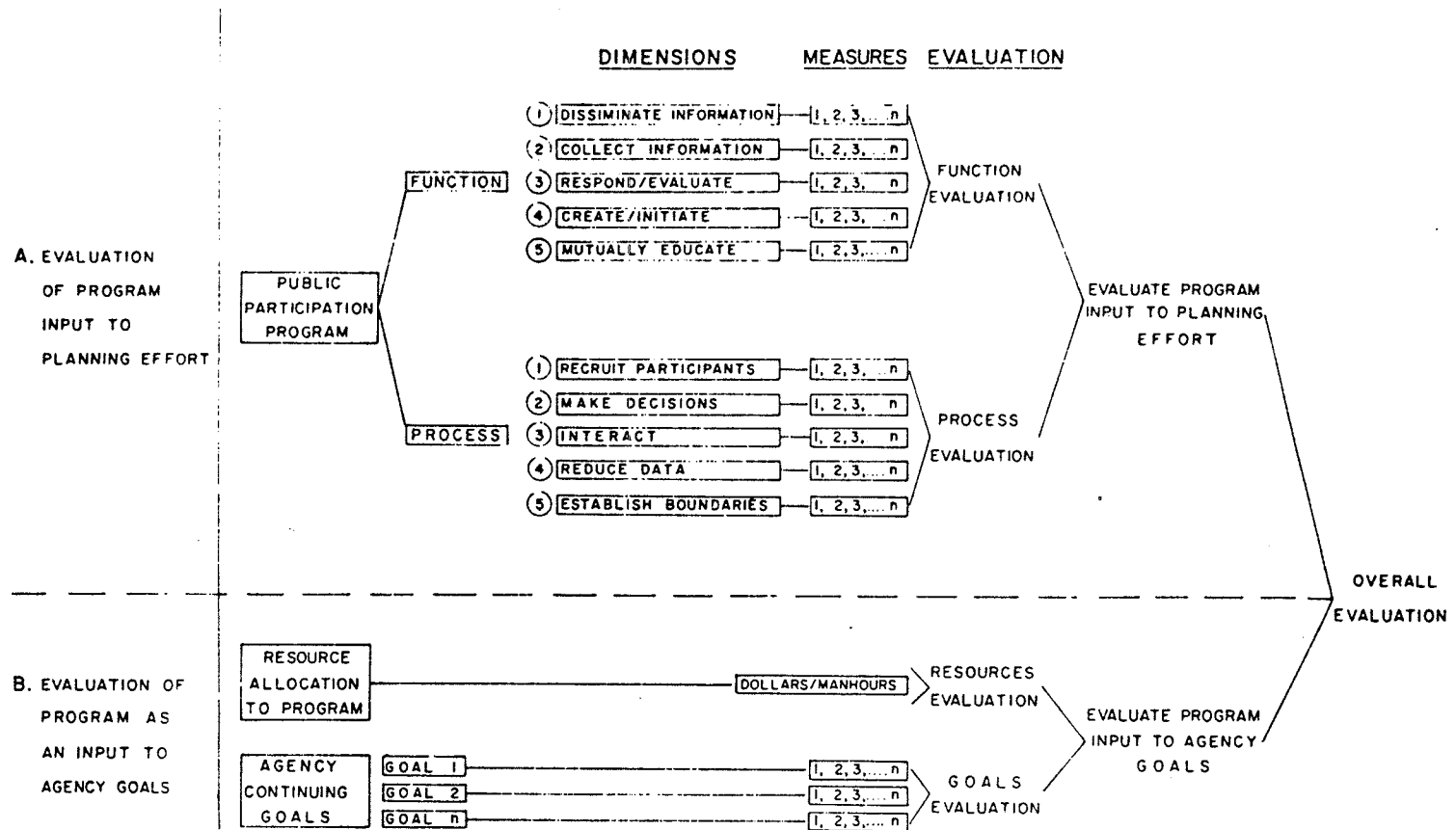


Figure 1

Table 7

Dimensions of Function and Process

<u>Dimension of Function</u>	<u>Dimensions of Process</u>
1. Disseminate Information	1. Recruit Participants
2. Collect Information	2. Make Decisions
3. Respond/Evaluate	3. Interact
4. Create/Initiate	4. Reduce Data
5. Mutually Educate	5. Establish Boundaries

Source: Homenuck, P. (1977)

While the Homenuck model is extremely comprehensive in that it addresses the output of the process as well as the process itself it is severely constrained in its application as the data requirements are enormous and the cost of utilizing this model would be prohibitive.

3.5 Farrell

The Farrell model (Farrell, Melin and Stacey, 1976) was developed for use by the Saskatchewan Department of the Environment and is based on the concept that public participation is used to:

- i) achieve public acceptance of planning decisions;

- ii) provide a source of data for planning activities;  
and
- iii) educate the public in planning skills such that  
with the skills acquired in the public  
participation process they (the public) will be  
able to resolve planning problems in their own  
community.

To achieve these objectives the Farrell model  
identifies seven different types of involvement, these  
being:

- i) persuasion,
- ii) education,
- iii) information - feedback,
- iv) consultation,
- v) joint planning,
- vi) delegated authority, and
- vii) self-determinism

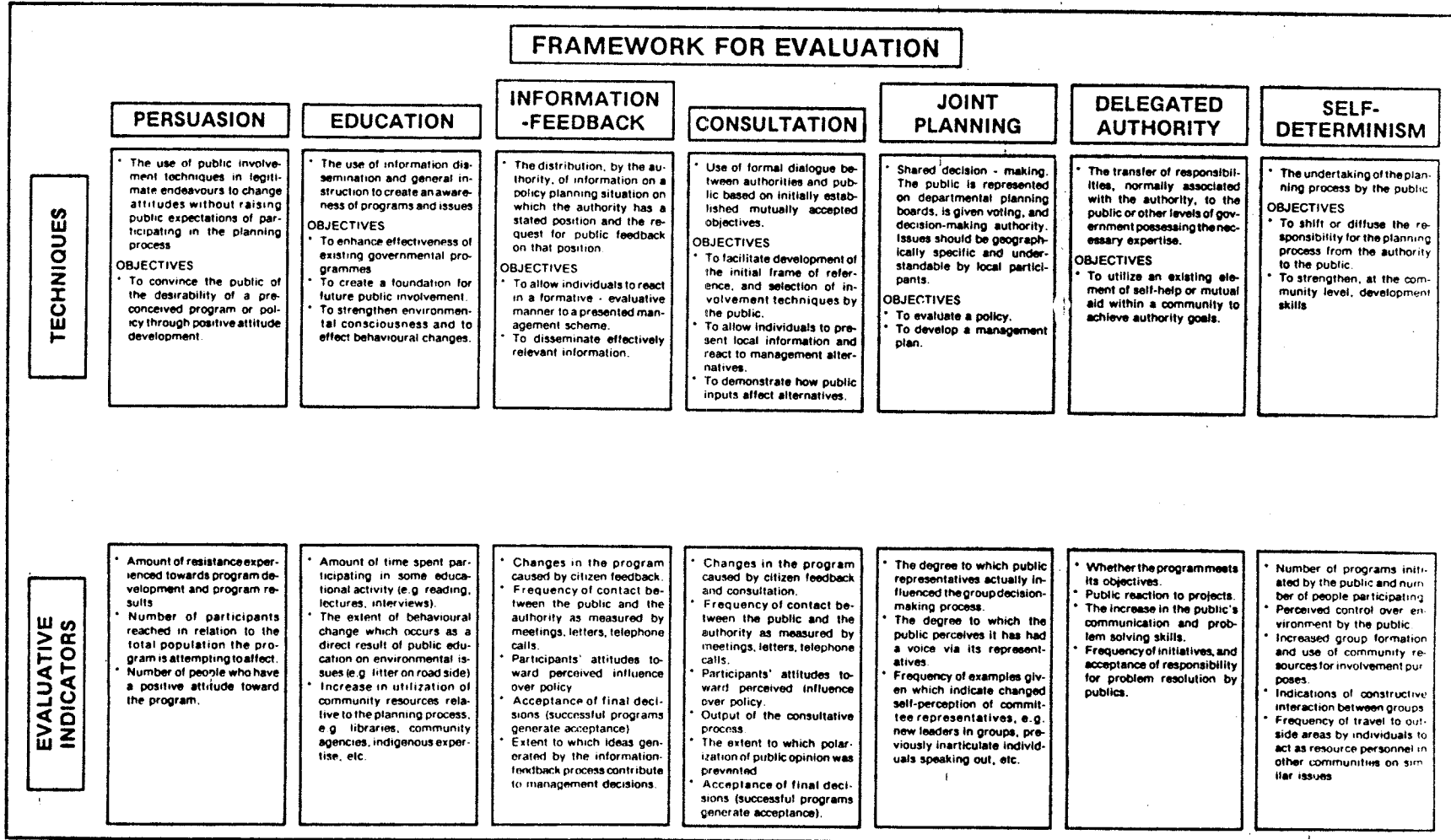
which are similar to Arnstein's Ladder of Participation  
(Arnstein, 1969) in that they are based on the degree  
of power sharing for decision making between the public  
and the agency.

Evaluation is based on the ranking of "outcome" (the degree to which the objectives were achieved), the "process" (the degree to which program techniques were successfully applied) and "attitude" (the degree to which attitudes were positively or negatively effected (Figure 2). The explicitness and sophistication of this model would make it a viable evaluative approach.

In summary the literature pertaining to the evaluation of public participation provides a variety of models and an array of case specific criteria (Burton and Wildgoose, 1977) which do not adequately address the problem associated with the evaluation of public participation programs. In order to establish a workable evaluative framework the following chapter will review the continued use of public participation, problems associated with these earlier models and the criteria which are indicators to the success of a participation program.



Figure 2



Source: Sewell and Phillips, 1979

## Chapter 4

### Methodology

The analytical frameworks reviewed in the previous chapter represent a broad spectrum of evaluative models ranging from those that are relatively simple to apply (e.g. Vindasius Model) to highly complex models that require large expenditures of capital and time (e.g. Homenuck Model). To date, the evaluation of public participation programs has largely been the result of ad hoc or ex post facto evaluations and have been limited to descriptive and subjective comments (Burton and Wildgoose, 1977). The application of the evaluative models reviewed in Chapter 3 has been limited<sup>4</sup>, being constrained by their resource requirements, both personal and capital, and their lack of applicability to practical evaluation of public participation programs.

In order to develop an evaluative framework for public participation programs, which reflects the varying levels of participation in our society, it is necessary to discuss the limitations of the evaluative models already presented,

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<sup>4</sup> The Vindasius model was used to evaluate the Okanagan Basin Study in British Columbia and the Glasser model was applied to the evaluation of the public hearing process of the International Joint Commission.

establish the objectives for a practical approach for model development and the determination of the criteria to be used in the model.

These factors will form the basis for establishing the objectives for the evaluative model developed in this thesis.

#### 4.1 Limitations to Previous Evaluative Models

Evaluation of public involvement programs through the application of the models discussed in the previous chapter has been constrained by inherent limitations of these models that discourage their use. These limitations as identified by W.R.D. Sewall (Sewell, 1979) are:

- i) a reliance on preconceived, agency defined objectives for public participation which fail to account for the public's values or input to the goals of the program. For example, the Vandasius model determined effectiveness as a program which attains its pre-defined goals. These goals were those defined by the agency which was operating the participation program;

- ii) non-universality of application of these models in that certain models have been developed to account for a specific form of participation. The Vindasius and Homenuck models focus on goal achievement while the others are technique assessment;
- iii) the failure to identify participants, potential participants or the representativeness of the participants (all models);
- iv) failure to consider the scale of public involvement, the cost requirements or the cost efficiency of the participation program (other than the Vandasius model);
- v) a lack of adequate assessment criteria;
- vi) restrictive resource and data requirements for the completion of an evaluation; and
- vii) failure to address the timing of and time requirements for an evaluation (all models).

To counter the deficiencies inherent in these models the literature provides several suggestions for improving the applicability of evaluative frameworks.

Firstly, the timing of a program evaluation needs to reflect the purpose of the evaluation. An evaluation is generally conducted as the final stage of a participation program. This may result in the inefficient use of public resources (both in the process of participation and the implementation of the results), a failure to provide the adequate guidance to decision makers and foster alienation of the participation process to the public. A built-in process of ongoing evaluation or a pre-implementation evaluation (before a decision is made on the outcome of the participation) would allow for correcting process deficiencies during the participation program and provide decision makers with an indication as to whether or not the results or recommendations of the participation program may be used as a basis for decision making. For example, where a participation program has not provided adequate information additional participation can be undertaken, or different participation techniques undertaken (Sewell, 1977, p356).

Secondly, evaluations should not be completed by agency personnel who have been directly involved with the design or implementation of a participation program as this tends to bias the results in favour of the agency (Sewell, 1977, p356).

The basis for evaluations must be broadened beyond that of attaining the goals and objectives of the participation program to encompass its use in the decision making process.

Finally, in order to increase the occurrence of evaluation and to provide for the completion of an evaluation before a decision is made the model should be easily applied within a reasonable time and require limited technical skills on the part of the evaluator.

#### 4.2 Objectives of a Practical Evaluative Model

The evaluative framework proposed in this thesis is established on the premise that the theoretical determinants for the evaluation of public participation programs found in the literature (Smith, 1979; Farrell, 1976, Homenuck, 1977) needed to be revised in order to develop an evaluative framework that addresses the problems noted with the earlier models.

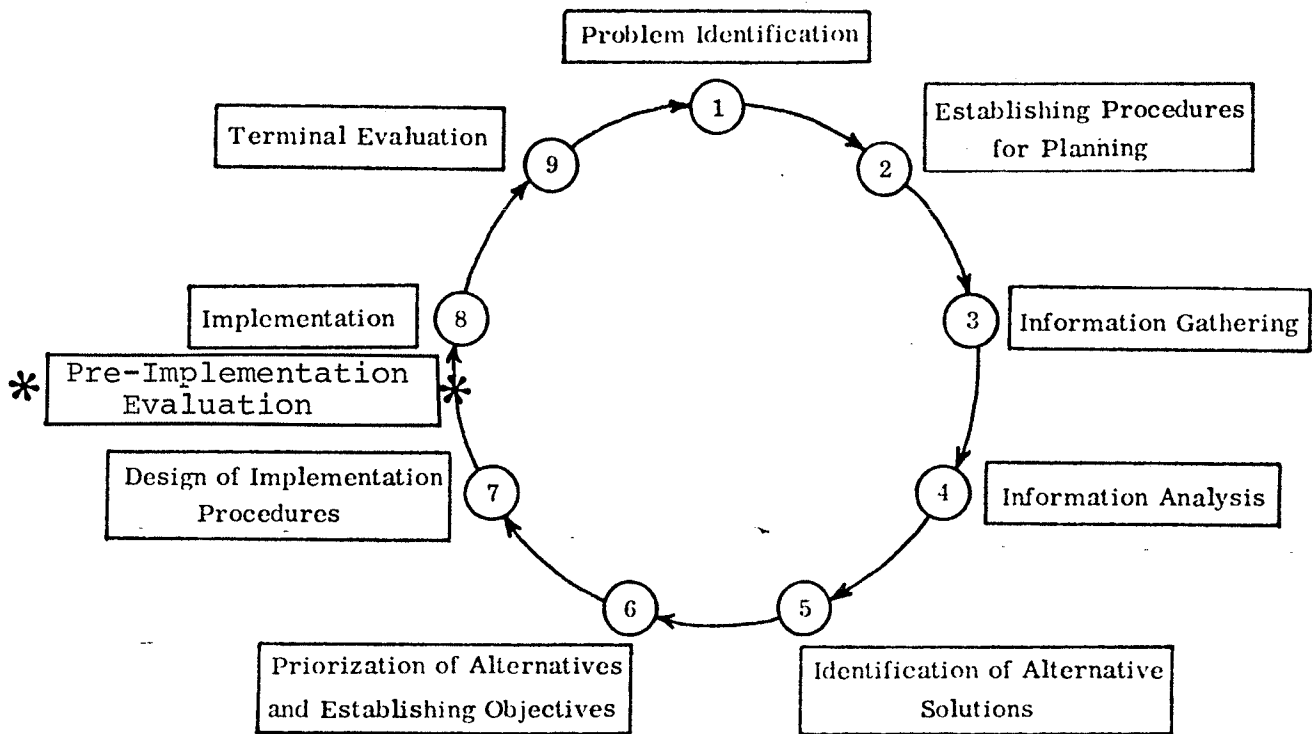
Specific criteria or conceptual determinants for a practical evaluative framework should be as follows:

- i) that the evaluation of a public participation program be undertaken before the completion of the decision making process. This pre-

implementation evaluation process will provide feedback to the participation program and allow for continued public involvement where it has been determined that adequate public input has not been obtained (see Figure 3). Although it is recognized that ongoing evaluation is most desirable, the cost and complexity involved in doing so precludes it.

Figure 3

Staging of Pre-Implementation Evaluation



Adapted by author from: Farrell, 1976

ii) that the program evaluator will be the person charged with the responsibility for making a decision with respect to the participation process. For the purpose of this thesis it is assumed that this person will be an elected official.<sup>5</sup> The use of the decision maker as an evaluator removes the decision making process and program evaluation from those persons who have been actively involved in the design or implementation of the participation program. As the political decision maker (evaluator) is accountable for the bureaucracy and responsible to the electorate he is considered to be a concerned and objective evaluator as he represents both of the involved parties (the public and the agency) and can therefore assess and balance their concerns;

iii) that the evaluative framework be relatively easy to apply to a wide variety of participation programs (Federal, Provincial, or Municipal) and

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<sup>5</sup> It is anticipated that where time requirements prohibit the elected official from personally completing the program evaluation that it will be delegated to his research staff which are independent from the group responsible for the participation program.



can be undertaken with non-technical skills on the part of the evaluator and has limited time and data requirements or increased costs to the program. From the literature (Sewell, 1977) it is evident that there exists an inverse relationship between the complexity of an evaluative model and its implementation - the more complex the evaluative process (high evaluator skills, time and cost involvements and data requirements) the less likely it is of it being applied. If the framework is easily applied by the decision maker (evaluator) within a limited time and with limited data requirements the likelihood of it being applied is greatly increased;

- iv) that the evaluation be based on the "process" of the participation program (see Section 3.4). This model will not evaluate the outcome of the program or the attitudes of those involved with the program (See Section 3.4) as these measures of success are affected by the decision (outcome) of the participation program. This model assumes that if the "process" of the participation program has been successfully implemented to a level that there is adequate information upon which to base a decision that the "outcome" will be satisfactory to the involved parties;

- v) that the model will evaluate a participation program based on the following:
  - a) whether the participation techniques used complement the objectives of the program, and
  - b) the comparison of specific criteria identified in the literature to those associated with the participation program;and
  
- vi) that the results of an evaluation can be used by decision makers as an indication that the recommendations arising from a public participation program may or may not be used in formulating a decision.

#### 4.3 Criteria Selected for Evaluative Model

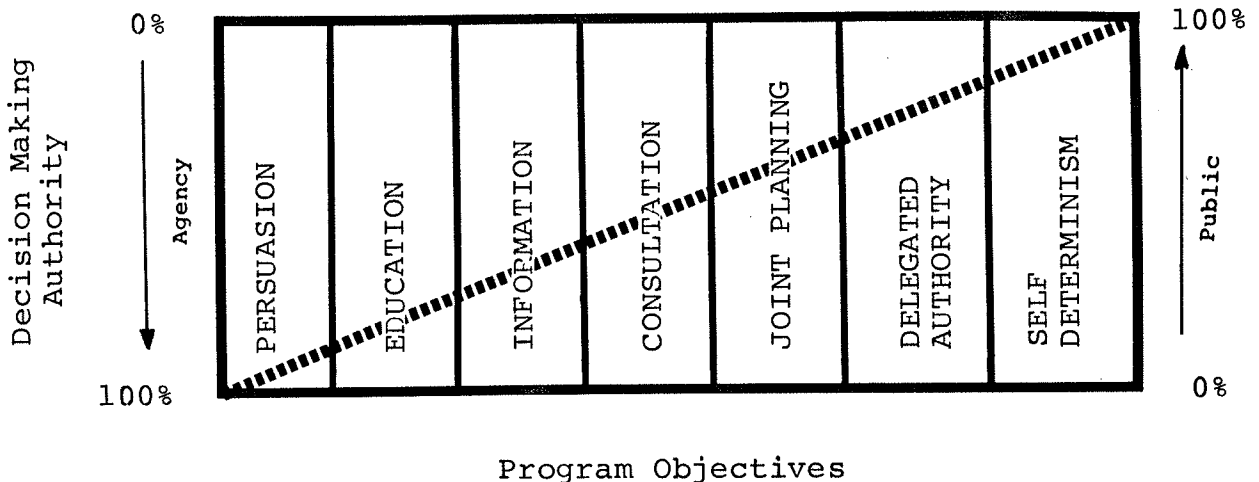
The assumption which forms the basis for the evaluative model, and therefore delimits the selection of criteria for this model, is that public participation is undertaken to increase public power and input into the decision making process and that public participation is a process to collect from and disseminate information to the public which is used to formulate the results or recommendations arising from the program.

On the basis of this assumption, the participation techniques discussed in Chapter 3 and the criteria objectives outlined in Section 4.2 above, the following evaluative criteria were selected as indicators of the effective utilization of public participation. These criteria are: Objective Criteria and Participation Technique Criteria.

i) Objective Criteria - Level I

This criterion assess the appropriateness of the participation process (participation techniques used in the program) in relation to the objectives of the program. The objective categories listed below detail stages in the transfer of decision making authority from the government to the public and are considered to form a decision making continuum (see Figure 4).

Figure 4  
Decision Making Authority Continuum



For the purpose of this model the objectives are categorized as follows:

- a) Persuasion - the use of participation techniques to change public attitudes towards an issue without raising public expectations of participating in the decision making process;
- b) Education - the use of information dissemination to create an awareness of problems and issues while limiting access of the public to the decision making process;
- c) Information - Feedback - the distribution of information from the agency to the public and a request for feedback to this information. This process raises public expectations of input into decision making;
- d) Consultation - the use of formal dialogue between the involved parties based on mutually acceptable objectives;
- e) Joint Planning - shared decision making in which responsibility for the final decision of the program is vested with the public and the agency;
- f) Delegated Authority - the transfers of responsibility normally associated with a planning agency to the public; and

g) Self Determinism (sic.) - the undertaking of decision making by the public without the assistance of the agency.<sup>6</sup>

These seven levels of program objectives can be associated with certain participation techniques (Farrel, 1976; Glasser, 1975). As these program objectives are established on a scale of increasing transfers of decision making authority from the agency to the public (Farrel, 1976; Arnstein, 1969) all participation techniques associated with a lower level program objectives (higher agency authority) are included for use at the higher levels of program objectives (see Figure 5). However, the use of participation techniques associated with higher level program objectives (e.g. Task Force) is inappropriate for use within lower level program objectives. All participation techniques are considered to be inappropriate for Self Determinism program objectives. These forms of decision making are not considered as public participation in decision making but are rather public decision making without the influence of a governmental authority;

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<sup>6</sup> Farrel, 1976

Figure 5

Use of Participation Techniques In  
Relation to Program Objectives

Participation Technique	Program Objectives						
	Persuasion	Education	Information	Consultation	Joint Planning	Delegated Authority	Self Determinism
Presentation to Community Groups	*	*	*	*	*	*	N/A
Soliciting Written Responses	*	*	*	*	*	*	N/A
Public Hearings	*	*	*	*	*	*	N/A
Mass Media		*	*	*	*	*	N/A
Fixed Media Display (unmanned)		*	*	*	*	*	N/A
Attitude Surveys		*	*	*	*	*	N/A
Organizational Reports		*	*	*	*	*	N/A
Issue Analysis		*	*	*	*	*	N/A
Resource Contacts		*	*	*	*	*	N/A
Response to Public Enquiries		*	*	*	*	*	N/A
Community Resource Centres		*	*	*	*	*	N/A
Distribution of Resource Material		*	*	*	*	*	N/A
Public Meeting			*	*	*	*	N/A
Advisory Boards			*	*	*	*	N/A
Site Visits			*	*	*	*	N/A
Workshops				*	*	*	N/A
Fixed Media Display (manned)				*	*	*	N/A
Task Forces						*	N/A

\* Appropriate participation techniques for use with selected program objective.

source: Farrell, 1976  
Blaser, 1975

ii) Participation Technique Criteria - Level II

The following criteria have been selected to assess the level of public involvement associated with certain participation techniques<sup>7</sup>. These criteria are:

- a) the degree of inclusion of the public in the definition of the participation program goals. This criterion was identified by W.R.D. Sewell (Sewell, 1977) as an enhancement to current analytical frameworks. Participation techniques may favour or disfavor the inclusion of the public in goal formulation depending upon the program objectives selected by the agency. This criterion may range from the total exclusion of the public in goal formulation (e.g. Public Hearings) to self determinism where the participation group is responsible for the development of its own goals;
- b) the degree of access of the public to agency information and the opportunity for effective communication between the involved parties (Burton, 1977; Glasser, 1975; Hampton,

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<sup>7</sup> It is neither acknowledged that the criteria identified here are exhaustive nor accommodate the total range of criteria possible. However, they have been selected as they address certain of the limitations of previous evaluative model identified in Section 4.1.

1977). This criterion evaluates the feasibility of information flow possible under a given participation technique in relation to other techniques and ranges from techniques which foster effective two way communication (e.g. Public Survey, Advisory Boards, Workshops, etc.) to those techniques such as Public Hearings, which while providing participants an opportunity to express their concerns does not provide for feedback to those concerns or issues raised; and

- c) the degree of representativeness of the public involved in the participation program of the community at large (Sewell, 1977; Conner, 1972). This criterion evaluates the degree to which various participation techniques attract or solicit a public which is representative of the values held by the community.

#### 4.4 Evaluative Framework

For the purposes of this thesis a matrix format was selected for the evaluative framework as it provided a format which was easy to apply with limited technical



skills on the part of the evaluator as the criteria and participation techniques could be identified and that the ranking system for evaluation and the evaluative process could be displayed on a single page.

The evaluative framework, shown in Figure 6, is a matrix which displays the public participation techniques ranked in program objective groupings (from Figure 5) on the Y axis and the evaluative criteria selected above on the X axis.

The ranking system displayed for each participation technique in the column under each of the Level 2 criteria is a subjective ranking system. This ranking system indicates a high or moderate (+ ranking) and a low or non-existence (- ranking) of public involvement for each criterion<sup>8</sup> in relationship to each participation technique identified.<sup>9</sup> This subjective ranking is similar to the comparative rankings used in the Glasser Model discussed in Chapter 3 and therefore has limitations which are inherent to subjective rankings.

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<sup>8</sup> Ranking for this model was developed using the process developed by Glasser (1975) in association with criteria identified by Farrel (1976) and Sewell (1977).

<sup>9</sup> This listing of participation techniques used in this model is not considered to be exhaustive of all possible techniques but is representative of the majority of techniques used in participation programs. See Appendix 1 for a catalogue of Public Participation Techniques.

Figure 6

EVALUATIVE MODEL

PROGRAM: \_\_\_\_\_

LEVEL 1					LEVEL 2						
PROGRAM OBJECTIVE					PARTICIPATION TECHNIQUE	CRITERIA					
PERSUASION	EDUCATION	INFORMATION	CONSULTATION/JOINT PLANNING	DELEGATED AUTHORITY		DEFINE GOALS		INFORMATION EXCHANGE		REPRESENTATIVENESS	
						a	b	a	b	a	b
*	*	*	*	*		-		+		+	
*	*	*	*	*		-		-		+	
*	*	*	*	*		-		-		+	
	*	*	*	*		+		-		+	
	*	*	*	*		-		-		+	
	*	*	*	*		-		-		+	
	*	*	*	*		-		-		+	
	*	*	*	*		-		+		+	
	*	*	*	*		-		-		+	
	*	*	*	*		-		-		+	
	*	*	*	*		-		+		+	
	*	*	*	*		-		-		+	
	*	*	*	*		-		-		+	
	*	*	*	*		-		-		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		-		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		+		+	
	*	*	*	*		+		+		+	
	*	*	*	*		-		-		+	
	*	*	*	*		+		+		+	

CORRESPONDENCE RATING

Positive Correspondence \_\_\_\_\_  
Negative Correspondence \_\_\_\_\_

EFFECTIVE RATIO

EFFECTIVENESS =  $\frac{\text{POSITIVE CORRESPONDENCE}}{\text{NEGATIVE CORRESPONDENCE}}$  = \_\_\_\_ = \_\_\_\_

KEY

- Participation Technique/Program Objective selected
- \* Appropriate Participation Technique for Objective

While the use of a subjective ranking system may detract from the accuracy of the model (Sewell and Phillips, 1979, p343) it fulfills the objective requirements for a practical evaluative framework (Section 4.2) in that it is simple to apply, does not require the evaluator to have technical skills, requires limited time commitments, may be applied before the completion of a participation program, and reduces the need for qualitative data thereby increasing the likelihood of application.

#### 4.5 Application of the Proposed Evaluative Framework

The model proposed here provides for the evaluation of public participation programs by determining the correspondence between the participation techniques used and the program objective, and comparing the evaluative levels for program indicators (criteria) established by the evaluator to anticipated results for participation techniques as outlined in the literature. (Glasser, 1975; Farrell, 1976; Sewell, 1977).

The two levels of comparison proposed in this evaluative framework are:

- i) Level 1 - which evaluates the appropriateness of the participation technique(s) used for achieving

the stated or derived objectives of the participation program.<sup>10</sup> The program objective selected will determine which participation techniques are considered in the literature to be appropriate for use (Figure 5); and

ii) Level 2 - which evaluates the outcome of the use of the participation technique(s) used according to the following criteria which were determined above in Section 4.3:

- a) the degree to which the public was consulted and included in the formulation of the program goals;
- b) the degree of communication and information exchange between the involved parties; and
- c) the degree of representativeness of the participants to the community which they represent.

The process of program evaluation using this model is as follows:

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<sup>10</sup> It is assumed that the program objective has been explicitly determined at the start of the participation program or is implicitly determined at the conclusion of the participation program.

- i) the evaluator identifies on the matrix the public participation techniques employed in the program;
- ii) the matrix is scored as detailed below.

#### 4.6 Scoring of Evaluative Model

The scoring of the proposed evaluative model is established by:

- i) the determination of the correspondence that exists between the objective and criteria rankings established in the model and those assigned by the evaluator for Level 1 and 2 criteria; and
- ii) the determination of the effectiveness ratio of a participation program.

Correspondence between a participation program and the models rankings for criteria is determined as:

- i) Level 1 - the appropriateness of the participation technique(s) used in relation to the program objective. The evaluator assigns a positive (+) value to each participation technique employed in the participation program that is considered to be appropriate indicating a positive correspondence

with the model and assigns a negative (-) value to each participation technique employed in the program that is considered as inappropriate for use thereby indicating a negative correspondence with the model. (Positive and negative correspondence values for the appropriateness of the program objective are recorded in the shaded area (Column B) for Level 1 criteria on the evaluator sheet - Figure 6); and

- ii) Level 2 - the comparison of the ranking values assigned by the evaluator to the Level 2 criteria to those assigned in the model. For this purpose the evaluator assigns a ranking (+ or -) for each of three criteria for all participation techniques employed in that participation program. The

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11 This thesis does not establish how the evaluator will determine the measures for the criteria listed above as this process will vary with the issues involved and the complexity of the participation process implemented. Where a participation program has been a simple program (only one technique used with limited public interaction) the evaluator may wish to establish these measures in his own consideration. In the case of an extensive participation program (e.g. The Bergen Commission) the determination of these measures may require extensive research. For example, the determination of public representativeness (Criterion C) for a small program may be easily established while for a complex situation this may require the completion of a social profile (Conner, 1978) before entering the participation program and subsequent surveys during the operation of the program.

ranking of these criteria (+ or -) is established according to a moderate or high degree of public involvement in that criterion (+ ranking) or a non-existence or low degree of public involvement in the criterion (- ranking).<sup>11</sup> (Positive or negative values for Level 2 criteria assigned by the evaluator are recorded in the shaded column A for each criterion - Figure 7).

There are four possible configurations of correspondence between the ranking values assigned by the evaluator (Column A) and those contained in the model. For Level 2 criterion these ranking configurations are as follows:

- a) "++" which indicates that the model attributed a high degree of public involvement for the selected criteria and the evaluator also attributed a high degree of public involvement. This is recorded as a positive (+) correspondence in column B for that criterion.
  
- b) "+-" which indicates that the model attributed a high degree of public involvement was generally found for these selected criteria while the evaluator assigned a low degree of public involvement.





This is recorded as a negative (-) correspondence in column B for that criterion.

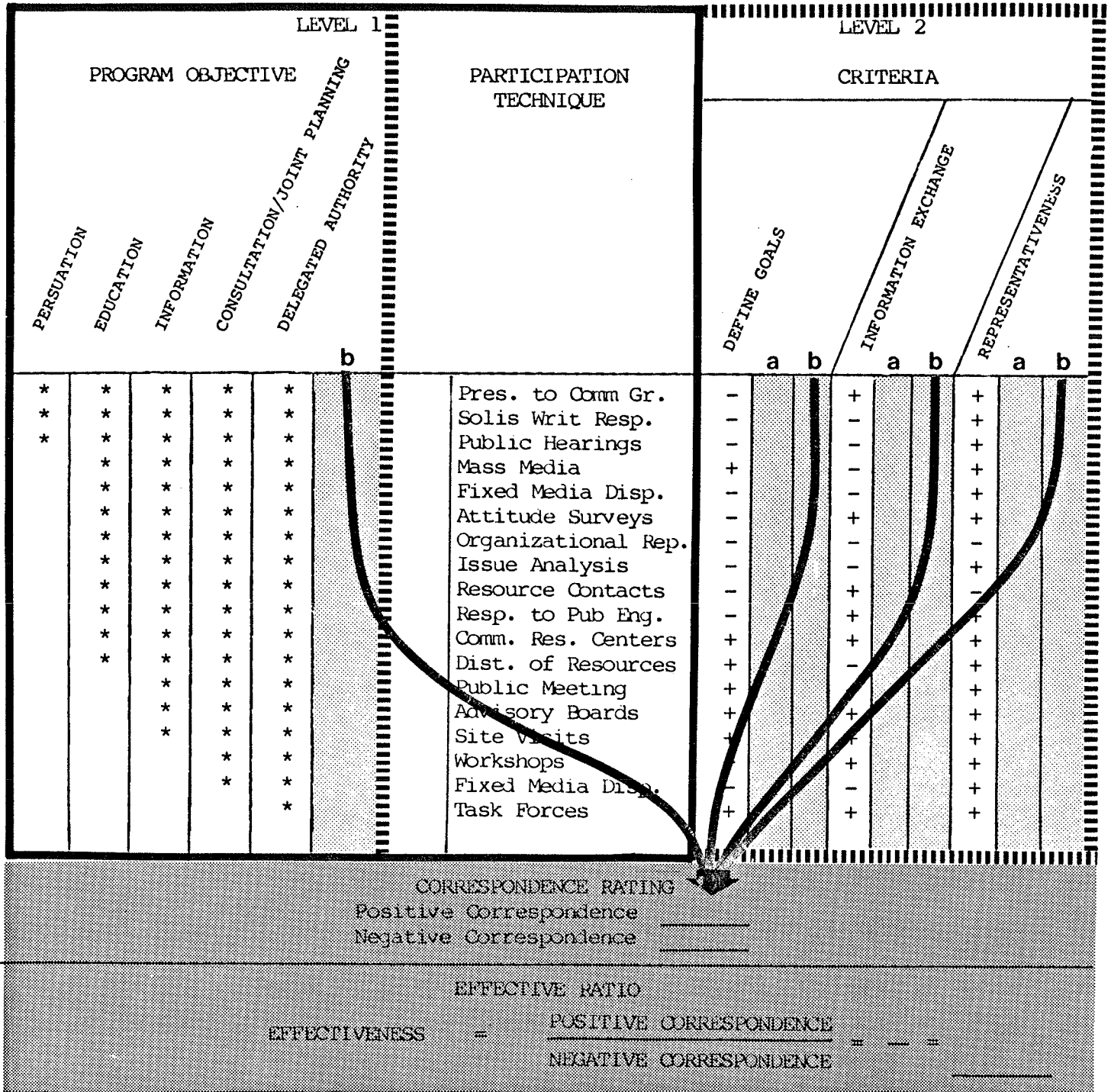
- c) "-+" indicating a low degree of involvement in the model and a high degree of involvement as determined by the evaluator. This is recorded as a negative (-) correspondence in column B for that criterion as it would indicate that the agency may have expended additional resources in securing public involvement where it wasn't necessary thereby increasing public expectations beyond the program objective for that technique.
  
- d) "--" indicating that the model assigned a low degree of public involvement for the criterion which was reflected by the evaluator. This is recorded as a positive (+) correspondence in column B for that criterion.

Scoring for positive (+) and negative (-) correspondences for Level 1 and Level 2 (Column B's) criteria are recorded on the Correspondence Rating Section of model which is highlighted on Figure 8.

Figure 8

EVALUATIVE MODEL

PROGRAM: \_\_\_\_\_



KEY

- Participation Technique/Program Objective selected
- \* Appropriate Participation Technique for Objective

The effectiveness of the participation program in this model is determined by the degree to which the rankings of the evaluator corresponded to those rankings assigned in the model. The effectiveness for this evaluative model is the ratio of positive correspondence divided by negative correspondence.

$$\text{EFFECTIVENESS} = \frac{\text{POSITIVE CORRESPONDENCE}}{\text{NEGATIVE CORRESPONDENCE}}$$

An effectiveness ratio which is greater than or equal to 2 is considered, for the purpose of this thesis, to provide the evaluator with an indication that he can utilize the results of the participation program in formulating his decision. An effective ratio of less than 2 is considered as an indication that the results or recommendations arising from the participation program may not provide an adequate foundation upon which to form a decision and that additional participation need be solicited or that the evaluator (decision maker) should form his decision based on his interpretation of his constituents needs.

In summary, the proposed model provides the evaluator with a process by which he can compare his perceptions of public involvement for each participation technique used with the criteria rankings established in the

model. The positive or negative correspondence between the criteria rankings assigned in the model and those determined by the evaluator establish the effectiveness ratio for the participation program which is viewed as an indication as to whether or not the recommendations arising for a public participation program may be used to formulate a decision.

## Chapter 5

### Application

To illustrate the framework proposed in this thesis three public participation programs have been selected as case studies for evaluation. These examples of public participation programs have been chosen as they represent a cross section of current planning issues, ranging from a joint federal/provincial participation program to determining resource use to a civic participation program involving land use, and program durations which varies from five years to two weeks.

The analysis and evaluation of these case studies will include a complete description of each participation program including background information, the participation techniques used in the program and the application the evaluative model proposed in Chapter 4. This chapter will continue with conclusions which can be drawn from the application of this evaluative framework to these case studies.

#### 5.1 Case Study Selection

The three case studies which have been selected for analysis in this report are:

- i) the West Coast Off-Shore Exploration Environmental Assessment Review;
- ii) the public participation program of the South Moresby Land Use Alternatives plan; and
- iii) the public hearing related to a rezoning application for the City of Victoria, British Columbia.

5.2 The West Coast Off-Shore Exploration Environmental Assessment Review (WCOEEAR)

5.2.1 Background

In the late 1960s Shell Oil of Canada initiated offshore exploration for petroleum resources off the west coast of British Columbia. A total of 14 exploratory wells were sunk. No commercially viable resources were located at this time.

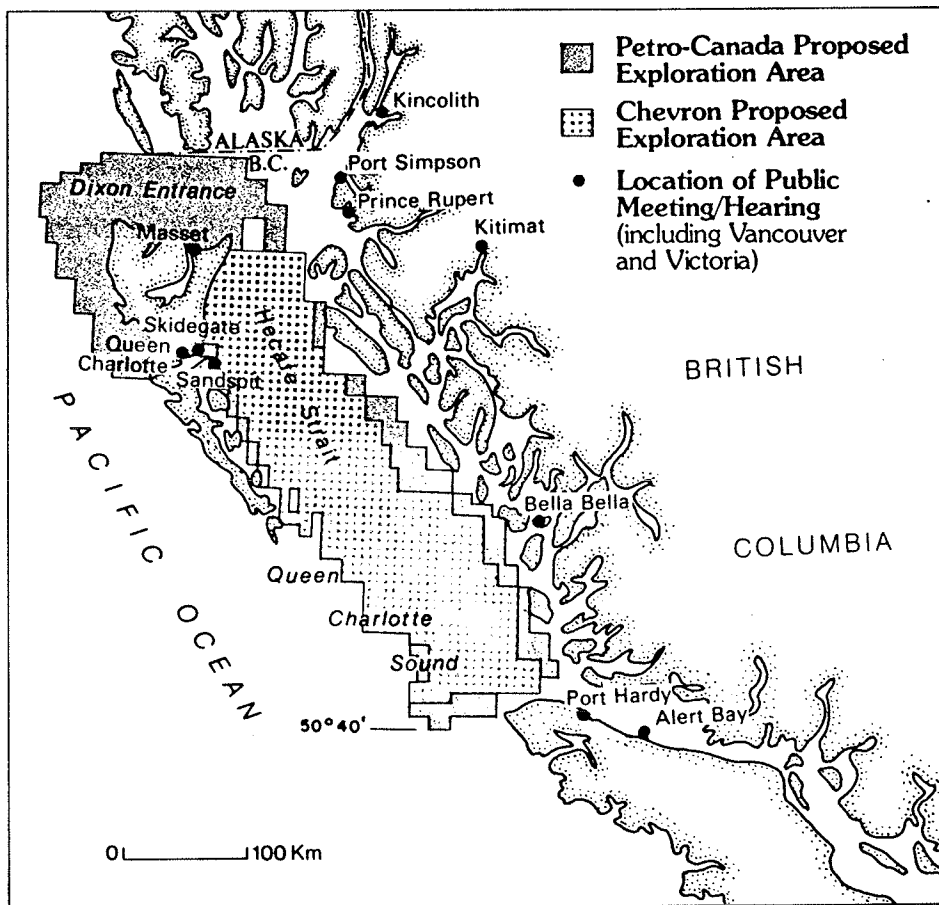
In response to increasing public concern for environmental issues and awareness of the dangers of offshore exploration, the federal government placed a moratorium on all offshore petroleum exploration in 1972. This moratorium is still in effect.

In the late 1970s Petro Canada Ltd. acquired the rights for exploration off the west coast (see Map 1) from Shell Canada. Petro Canada in conjunction with Chevron Canada Resources have subsequently petitioned the federal government for an end to the moratorium on the grounds that there has been a significant improvement to the technologies involved in marine petroleum exploration, that changing geological theories may indicate the existence of economically viable resources and that the economic viability of resources identified earlier has changed due to global resource pricing.

In 1983 the federal government and provincial government of British Columbia entered into a Memorandum of Agreement which called for a joint public review of the environmental and related socio-economic effects of petroleum exploration in British Columbia coastal waters from the northern tip of Vancouver Island to the Alaska border. This agreement specified that the public review would be conducted by a five member panel appointed by, and responsible to, the federal and provincial Ministers of Environment.

Map 1

WEST COAST OFFSHORE EXPLORATION





The terms of reference for this review issued by the governments were:

- a) to prepare a report identifying the terms and conditions under which offshore exploration could proceed in a safe and environmentally responsible manner;
- b) to determine seasonal changes or significant technical concerns which may effect offshore petroleum production; and
- c) to identify any information gaps which may restrict the panel from completing its assignment.<sup>1</sup>

The federal government, under its Environmental Assessment Review Process (Order in Council) has conducted 23 such reviews. In 21 of these cases the government has accepted the recommendations of the panel. In the two remaining cases the panels have not yet submitted their recommendations to the government or the government has not yet made its decision on the recommendations.<sup>12</sup>

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<sup>12</sup> Pers. Comm. Bob Williams, B.C. Ministry of Environment

### 5.2.2 Public Participation Techniques Used

The development of the participation program for the WCOEEAR reflected the terms of reference which were defined for the review, in that it was a consultative process. Public input was solicited to identify the social, economic and environmental consequences of offshore exploration. However, the power of the public participation to influence the decisions of government were limited as the decisions to allow offshore exploration and the terms of reference under which exploration could proceed were retained by the government involved.

The public participation techniques implemented for the WCOEEAR were as follows:

#### i) Mass Media

Extensive media coverage has been used in this review process and includes:

- \* Distribution of a newsletter through the mail, schools, public facilities and libraries. To date six newsletters have been published which address the issues involved, the selection and background of the members of the panel,

the review process, how to obtain information which has been prepared and listings of contact persons from each level of government. Distribution of the newsletter has grown from 280 in the summer of 1984 to over 1,700.

\* Production of two video presentations explaining the background issues to the review and the methods by which to prepare and present a submission to the review panel. These video productions have been broadcast to all communities in the region and are available for individual use and viewing.

ii) Distribution of Resource Material

All resource materials and background reports compiled by the industry and government have been made available to the participants. Copies of the above materials have been distributed to community schools, libraries, government agents, Indian band offices, and community colleges. The location of these resource materials has been listed in the newsletters.

iii) Soliciting Written Responses

Written responses by participants to any issues have been actively pursued by the panel.

iv) Fixed Media Display (unmanned)

Fixed media displays which include posters, wall maps, announcements of forthcoming meetings and business reply cards for information and inclusion on the newsletter mailing list have been distributed to public places through the study area.

v) Response to Public Enquiry

All public enquiries have been directed to the appropriate government level for action and response.

vi) Fixed Media Display (Manned)

Fixed media displays similar to those reviewed earlier have been supplemented with video displays and have been taken throughout the study area. Panel members and students from local colleges have manned the displays to record comments

and answer questions from the participants.

vii) Site Visits

Panel members have extensively toured the study area and have been available to meet participants at specific sites to discuss the issues.

viii) Public Meetings

During November of 1984 the panel travelled to 16 communities in the study area to hold informal public meetings. These meetings were used to identify the issues which would be addressed in the recommendations of the panel, to identify areas where additional information would be required and to provide an avenue for any member of the public to enter into informal dialogue with the panel. Transcripts of all meetings have been distributed to the resource centers and made available to all interest groups.

xi) Workshops

During the spring of 1985 a series of community workshops was held to inform

all interested participants on progress to date, the issues identified and the process of preparing a formal submission to the panel at the forthcoming public hearings. Workshops were held in 16 communities.

x) Public Hearings

The public hearings which were to have concluded in June of 1985 have been extended to September in order to provide participants and interest groups greater time to prepare their submissions. Public hearings will be held in 16 communities in the study area and Vancouver, British Columbia.

5.2.3 Overview

Participant response to the WCOEEAR to date has been excellent. However, upon the conclusion of the first series of public meetings it was noted that no response or input had been received from the United Fish Workers Union (U.F.W.U.). Subsequent contact has been made with the U.F.W.U. to solicit input at the final hearings.

5.2.4 Application of Model

Completion of the proposed evaluative model for the West Coast Offshore Exploration Environmental Assessment Review was as follows:

Level 1 Criteria

In consultation with government representatives responsible for the development and implementation of the public participation program of this review it was determined that the program objective which had been used as the basis of this program was **CONSULTATION**. As such, all public participation techniques undertaken during this review are considered to be appropriate for use. The rating for Level 1 criterion was therefore 10 positive correspondences.

Level 2 Criteria

The rating of the Level 2 criteria (see table 8) established that there were 20 positive correspondences and 7 negative correspondences between the participation program as implemented

Table 8

**EVALUATIVE MODEL**

PROGRAM: W.C.O.E.E.R.

LEVEL 1					LEVEL 2					
PROGRAM OBJECTIVE			PARTICIPATION TECHNIQUE		CRITERIA					
PERSUASION	EDUCATION	INFORMATION	CONSULTATION/J OINT PLANNING	DELEGATED AUTHORITY	DEFINE GOALS	INFORMATION EXCHANGE		REPRESENTATIVENESS		
					a	b	a	b	a	b
*	*	*	*	*	-		+		+	
*	*	*	*	*	-	-	+	-	+	+
*	*	*	*	*	+	-	-	-	+	+
*	*	*	*	*	-	-	+	-	+	+
*	*	*	*	*	-	-	+	-	+	+
*	*	*	*	*	-	-	-	-	-	-
*	*	*	*	*	-	-	-	-	+	+
*	*	*	*	*	-	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	-	+	+	+
*	*	*	*	*	+	-	-	+	+	+
*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+
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*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+
*	*	*	*	*	+	-	+	+	+	+

CORRESPONDENCE RATING  
Positive Correspondence 30  
Negative Correspondence 7

EFFECTIVE RATIO  
EFFECTIVENESS =  $\frac{\text{POSITIVE CORRESPONDENCE}}{\text{NEGATIVE CORRESPONDENCE}} = \frac{30}{7} = 4.3$

- KEY
- Participation Technique/Program Objective selected
  - \* Appropriate Participation Technique for Objective



and the rating of the criteria as established in the literature.

#### 5.2.5 Effectiveness Ratio

Drawing from the ratings of the two levels of criteria listed above the effective ratio of the model for the WCOEEAR would be

$$\frac{\text{POSITIVE CORRESPONDENCE}}{\text{NEGATIVE CORRESPONDENCE}} = \frac{30}{7} = 4.3$$

The 4.3 effectiveness ratios for the WCOEEAR participation program would be an indication to the decision makers that the results and recommendations of the review panel would provide an excellent basis for formulating a decision.

### 5.3 South Moresby Land Use Alternatives Plan

#### 5.3.1 Background

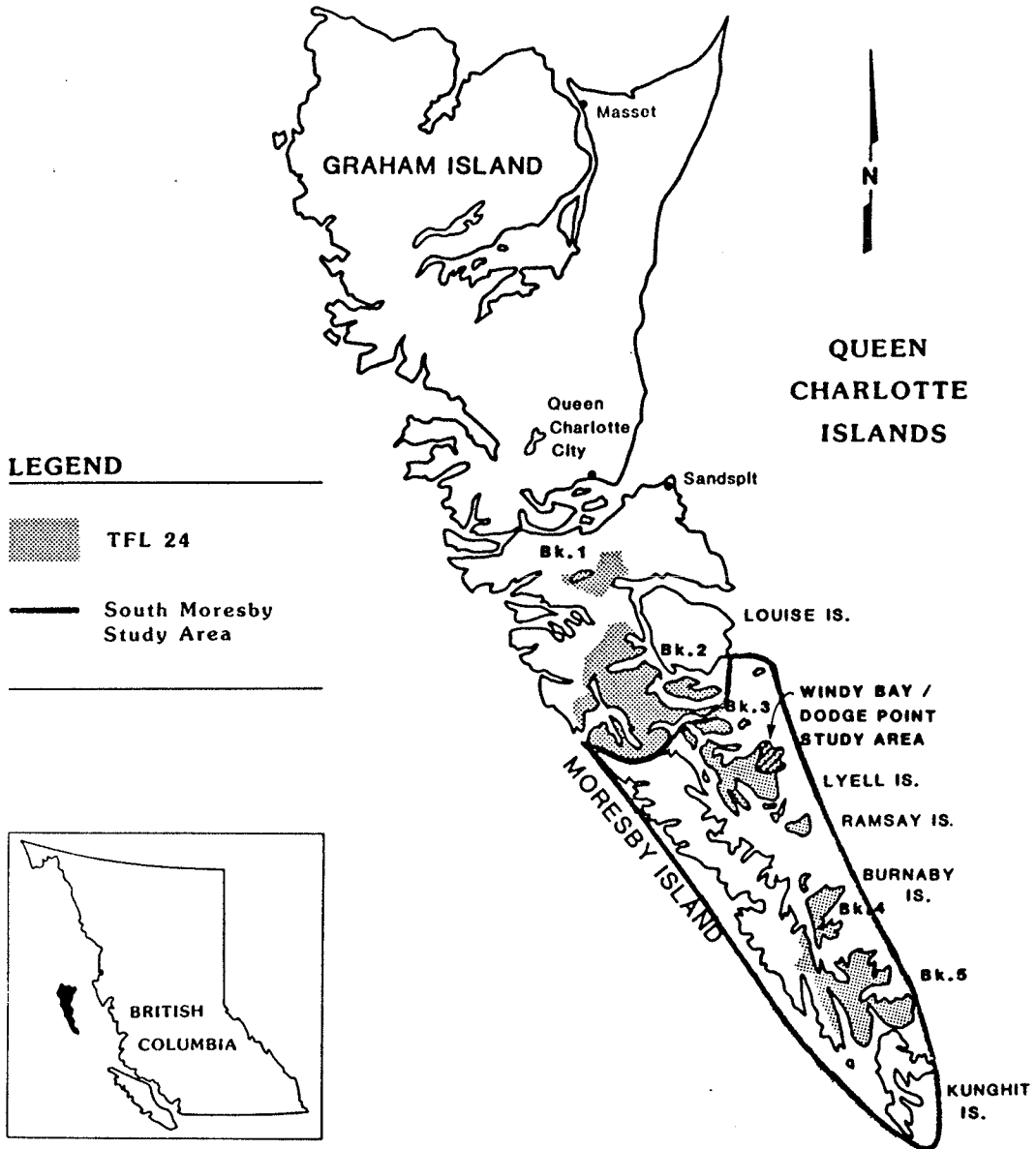
In 1974 numerous residents of the Queen Charlotte Islands requested the provincial government to designate South Moresby Island (see Map 2) as a provincial wilderness area

Map 2

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LOCATION OF SOUTH MORESBY STUDY AREA

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pursuant to the Environment and Land Use Act. This request was in response to the application by Rayonier Canada Ltd. (now Western Forest Products Ltd.) to proceed to log a section of Tree Farm Licence #24 - Burnaby Island. Previous logging operations by this company in the South Moresby had caused extensive environmental damage due to soil erosion. In reaction to the public request the Premier and Cabinet of the province toured the Island to view past damage and to assess the future actions which may be required to allow logging of this area to continue while protecting the natural environment.

As a result of this Cabinet tour the Minister of Forests placed a five year moratorium on logging in this area. In April of 1975 the Environment and Land Use Committee (ELUC) of Cabinet approved an examination of the future land use of the South Moresby Island by the Secretariat of ELUC. This initial study was completed in 1979 and recommended that a further five year study be undertaken.

Reacting to the growing provincial, national and international pressure for preservation of this

wilderness area the provincial government established the South Moresby Resource Planning Team in 1979 to address and resolve the land use conflicts of economic development or preservation of the South Moresby Island.

The planning team was established with representatives from various government agencies, industry (logging and mineral extraction), native Indian bands, lobby groups and the general public. This planning team was provided a five year mandate to develop a land use alternative which would resolve the land use conflicts without precluding economic development or logging of the Island.<sup>14</sup>

During the conduct of the plan public attention, and pressure on the government was maintained by

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14 Pursuant to the Forest Act the government can withdraw lands from Tree Farm Licences which have been assigned to specific companies. However, this land withdrawal is limited to 5% of the area of the T.F.L. Where revisions are greater than 5% of the area the government must reassign this timber right or provide compensation. There are no other timber resources on the Queen Charlottes to assign to Western Forest Products so the government chose to provide the planning team with the mandate that there would be no compromise to the T.F.L. other than the 5% provided by statute.

- \* national news coverage of the monthly public meetings held at Queen Charlotte City,
- \* the formation of the Islands Protection Society to voice the environment concerns of the public,
- \* studies undertaken by Parks Canada to determine the suitability of the area for a national park,
- \* national media coverage of the issues, the environmental concerns and the effects of past logging practices,
- \* the designation of the South Moresby Island as a World Heritage Culture Site by the United Nations Education, Scientific and Cultural Organization (UNESCO),
- \* the continued land claims by the Haida Indians to ownership of the Queen Charlotte Islands, and
- \* the application for the establishment of an ecological reserve over a large area of Burnaby Island which was the initial area to be logged.

#### 5.3.2 Public Participation Techniques Used

The following public participation techniques were used during the implementation of the South Moresby Land Use Alternative Plan:

i) Fixed Media Displays (Manned)

Manual media displays were shown in the major communities on the Islands.

ii) Mass Media

Extensive media coverage was afforded to the planning process by the national press and visual medias. Several documentary programs concerning the issues were produced by the Canadian Broadcasting Company.

iii) Response to Public Enquiries

Perhaps the most forceful form of public input into the planning process and the most effective in capturing the attention of the government was the use of public enquires. However, instead of communicating directly with the planning team most of the correspondence was directed to the Premier's office or the Ministers of government directly involved in the issue. To date over 1,200 letters have been received and responded to.

iv) Public Meetings

Public meetings, which were held each month for the first four years of the planning process and lasted for three to five days at each sitting provided the

easiest access to public input into the planning process. Held in Queen Charlotte City for all but two meetings these meetings provided easy access to all inhabitants of the island due to the number of meetings held, media coverage, and the time span of the meetings (four years).

#### 5.3.3 Overview

The report and recommendations of the planning team were presented to the government in the fall of 1983. Since that time the government has been unable to make a decision on the future land use and resource allocation for the island.

#### 5.3.4 Application

Application of the evaluative framework proposed in this report for the South Moresby Land Use Alternative Plan was as follows:

##### Level 1 Criteria

As the mandate to the planning team was to resolve the issues without amending current resource allocations

the program objective which had been used as the basis for the public participation program was **PERSUASION**. As such all public participation techniques undertaken during this program are considered inappropriate for use in relation to the program objective. The rating for Level 1 criteria is 4 negative correspondences relative to the model.

#### Level 2 Criteria

The rating of the Level 2 criteria (see table 9) established that there were 10 positive correspondence and 6 negative correspondence between the participation program as implemented and the rating of the criteria as established in the literature.

#### 5.3.5 Effectiveness

In accordance with the ratings of the two levels of criteria listed above the effectiveness ratio of the model for the public participation



Table 9

EVALUATIVE MODEL

PROGRAM: South Moresby

LEVEL 1						LEVEL 2						
PROGRAM OBJECTIVE					b	PARTICIPATION TECHNIQUE	CRITERIA					
PERSUASION	EDUCATION	INFORMATION	CONSULTATION/JOINT PLANNING	DELEGATED AUTHORITY			DEFINE GOALS		INFORMATION EXCHANGE		REPRESENTATIVENESS	
						a	b	a	b	a	b	
*	*	*	*	*	-	● Pres. to Comm Gr.	-		+		+	
*	*	*	*	*		● Solis Writ Resp.	-		-		+	
*	*	*	*	*		● Public Hearings	-		-		+	
	*	*	*	*		● Mass Media	+	-	-		+	+
	*	*	*	*		● Fixed Media Disp.	-		-	+	+	+
	*	*	*	*		● Attitude Surveys	-		+		+	
	*	*	*	*		● Organizational Rep.	-		-		-	
	*	*	*	*		● Issue Analysis	-		-		+	
	*	*	*	*		● Resource Contacts	-		+		-	
	*	*	*	*		● Resp. to Pub Eng.	-	-	+	+	+	+
	*	*	*	*		● Comm. Res. Centers	+		+	+	+	+
	*	*	*	*		● Dist. of Resources	+		-		+	+
	*	*	*	*		● Public Meeting	+	-	-	-	+	+
	*	*	*	*	● Advisory Boards	+		+		+	+	
	*	*	*	*	● Site Visits	+		+		+	+	
	*	*	*	*	● Workshops	+		+		+	+	
	*	*	*	*	● Fixed Media Disp.	-	-	+	-	+	+	
	*	*	*	*	● Task Forces	+		+		+	+	

CORRESPONDENCE RATING

Positive Correspondence 10  
 Negative Correspondence 6

EFFECTIVE RATIO

$$\text{EFFECTIVENESS} = \frac{\text{POSITIVE CORRESPONDENCE}}{\text{NEGATIVE CORRESPONDENCE}} = \frac{10}{6} = 1.66$$

KEY

- Participation Technique/Program Objective selected
- \* Appropriate Participation Technique for Objective

program of the South Moresby Land Use

Alternative plan would be:

$$\frac{\text{POSITIVE CORRESPONDENCE } 10}{\text{NEGATIVE CORRESPONDENCE } 6} = 1.66$$

The effectiveness ratio of 1.66 for the South Moresby Land Use Alternatives public participation process is below the suggested breakpoint ratio of 2.0 for the model. The effectiveness ratio for this participation program would be an indication to decision makers that the result and recommendations would require examination . To date, two years after transmittal of the recommendations of the planning committee the government has not yet acted on the recommendations of this program. However, the government has formed a new committee comprised of academics and representatives of the forest industry to review this issue and fifteen other environmental issues outstanding in the province.

5.4 Rezoning Application #2178

5.4.1 Background

In May of 1981 the applicants, J. Cote et al and Cote Enterprises applied to the City of Victoria to rezone two lots from R2 (Two Family Dwelling) to R3-A2 (Low Profile Multiple Dwelling) senior citizen housing. In June of 1981 the housing currently erected on the site was designated as a Heritage House and added to the Council Heritage list. These houses are afforded protection by Council in an attempt to maintain these unique and aged houses which are an integral part of the Victoria milieu.

In May 1981 to April 1984 the owner submitted four development plans for the lots.

The Council of the City of Victoria approved the by-law to amend the zoning provided the heritage house remained intact and that construction be designed in a fashion to complement the original construction of the house.

5.4.2 Public Participation Techniques Used

As required by the statutes of British Columbia (Municipal Act, Chapter 290, R.S.B.C.) and the letters patent of the City of Victoria the following participation techniques are required for a rezoning application.

i) Mass Media

Rezoning applications are advertised in the local newspaper on the weekend before the Advisory Planning Commission meets, and before the Public Hearing.

A public information sign must also be posted on the street frontage at least 10 days before the required public meeting.

ii) Public Meeting

A public meeting is held on the Tuesday before the Advisory Planning Commission (A.P.C.) meets. The A.P.C. provides its recommendation of the by-law to Council.

iii) Public Hearings

Where Council has resolved to adopt the proposed by-law in principle a public

hearing is required pursuant to Section 720 of the Municipal Act (See Appendix 2).

5.4.3 Overview

The proposal for development of these two lots proceeded to the A.P.C. three times before it was recommended for approval by Council.

Response to the public hearing of the City Council was high and included 15 presentations to Council with 9 of them supporting the amended by-law.

5.4.4 Application

Completion of the evaluative model for the public participation program associated with this by-law amendment was as follows:

Level 1 Criteria -

As this program required the provision of information to the public, and is well advertised, it was determined that the program object which has been used as the basis for this program was **INFORMATION.** As such all public

participation techniques undertaken during this by-law amendment are considered appropriate for use. The rating for Level 1 criteria was therefore 3 positive correspondences.

Level 2 - The rating for Level 2 criteria (see Table 10) established that there were 7 positive correspondence and 2 negative correspondence between the participation program as implemented and the rating of these criteria as established as the literature.

#### 5.4.5 Effectiveness

In accordance with the ratings of the two levels of criteria listed above the effective ratios of the model for the by-law amendment would be

$$\frac{\text{POSITIVE CORRESPONDENCE}}{\text{NEGATIVE CORRESPONDENCE}} = \frac{10}{2} = 5.0$$

The effectiveness ratio of 5.0 for this case study is an indication that decision makers can utilize the recommendations of this program in formalating their decision.

Table 10

EVALUATIVE MODEL

PROGRAM: Rezoning #2178

LEVEL 1					LEVEL 2						
PROGRAM OBJECTIVE					PARTICIPATION TECHNIQUE	CRITERIA					
PERSUASION	EDUCATION	INFORMATION	CONSULTATION/JOINT PLANNING	DELEGATED AUTHORITY		DEFINE GOALS		INFORMATION EXCHANGE		REPRESENTATIVENESS	
						a	b	a	b	a	b
*	*	*	*	*	Pres. to Comm Gr.	-		+		+	
*	*	*	*	*	Solis Writ Resp.	-		-		+	
*	*	*	*	*	Public Hearings	-	-	-	-	+	+
	*	*	*	*	Mass Media	+	-	-	+	+	+
	*	*	*	*	Fixed Media Disp.	-		-		+	
	*	*	*	*	Attitude Surveys	-		+		+	
	*	*	*	*	Organizational Rep.	-		-		-	
	*	*	*	*	Issue Analysis	-		-		+	
	*	*	*	*	Resource Contacts	-		+		-	
	*	*	*	*	Resp. to Pub Eng.	-		+		+	
	*	*	*	*	Comm. Res. Centers	+		+		+	
	*	*	*	*	Dist. of Resources	+		-		+	
	*	*	*	*	Public Meeting	+	-	-	-	+	+
	*	*	*	*	Advisory Boards	+		+	+	+	+
	*	*	*	*	Site Visits	+		+		+	
	*	*	*	*	Workshops	+		+		+	
	*	*	*	*	Fixed Media Disp.	-		-		+	
	*	*	*	*	Task Forces	+		+		+	

CORRESPONDENCE RATING

Positive Correspondence	<u>10</u>
Negative Correspondence	<u>2</u>

EFFECTIVE RATIO

$$\text{EFFECTIVENESS} = \frac{\text{POSITIVE CORRESPONDENCE}}{\text{NEGATIVE CORRESPONDENCE}} = \frac{10}{2} = \underline{5.0}$$

KEY

- Participation Technique/Program Objective selected
- \* Appropriate Participation Technique for Objective

Improvement to this participation program is limited as its content, operation and function are controlled and legislated by the provincial government.

The comparison of the effectiveness ratios of the three case studies would indicate that the model is effective in determining whether or not the recommendations arising from public input would be utilized as a basis for decision making. In the rezoning application (effectiveness ratio = 5.0) the recommendations arising from the public's input were adopted by council. In the South Moresby case study (effectiveness ratio = 1.66) the government has chosen not to utilize the recommendations as a basis for decision making and has chosen to have a further study undertaken.



## Chapter 6

### Summary and Conclusion

The demand for public participation in bureaucratic decision making increased in the 1960's and early 1970's as the public expressed its moral right to participate in the formulation of plans which effected them and its dissatisfaction with plans or government programs which failed to address the concerns and values of the public. A disenchantment with the process of public participation accompanied its increased growth as planning agencies and governments were discouraged over cost increases and time delays in decision making and the public felt that its input was largely ignored by the bureaucracy and decision makers. However, public participation still has validity to the planning process as it provides a broader base of information upon which decision makers can form decisions.

The specific objective of this thesis was to devise an evaluative model to determine the effectiveness of the process of public participation programs that is conceptually sound, addresses the deficiencies of previous evaluative frameworks, is easy to apply, has ability to evaluate a variety of public participation programs which may be national, region or urban in scope and does not require technical skills or training on the part of the evaluator.

The derived evaluative framework proposed in this thesis is based on the evaluation of the process of a public participation program and therefore has certain elements similar to previous evaluative models, mainly being the comparison of public participation techniques to pre-selected criteria. However, the proposed evaluative framework is based on rating the participation techniques employed in relation to:

- i) the objective of the program; and
- ii) the degree to which the public was included in goal formulation, the representativeness of the public participating and the degree of information exchange between the agency and the public.

The rating system for the proposed evaluative model is based on the correspondence (+ correspondence) or non-correspondence (- correspondence) between the ranking for criteria assigned in the model as determined from the literature and those assigned by the evaluator. The determination of the effectiveness of the process of a participation program is determined by the ratio of the positive correspondence divided by the negative correspondence. Where this ratio is equal to or greater than 2.0 the program is determined to have been effectively

undertaken and therefore provides an indication to decision makers that the recommendations of a program provide a basis for decision making. An effectiveness ratio which is less than 2.0 is an indicator that the program was not effectively undertaken and that the decision maker should not use the results of this program as his sole basis for a decision.

There are a number of conclusions which can be drawn from the implementation of the model proposed in this thesis on the above case studies concerning the effectiveness and enhancement of the evaluative framework.

Firstly, the model was easily applied over a broad spectrum of public participation case studies (national, regional, and urban orientations). The data requirements for the three case studies varied in accordance to the complexity of the programs. However, the data, to the level required for the application of this model, were readily obtained from printed sources, government files and communication with persons involved in the programs.

The model was highly flexible with respect to the variety of public participation programs examined. While further application of the model may identify limitations with

respect to the selection or number of criteria examined, or the selection of techniques of public participation which are currently identified within the model, it can be readily adapted to include additional criteria or public participation techniques.

The use of this model in public participation programs which utilize only one participation technique may not be applicable as the number of correspondences possible between the participation program and the literature is limited to four. The effectiveness ratio would therefore be altered greatly by the changing of one criterion or correspondence.

The rating system currently used in this model (the assignment of a high or low value to a criteria depending upon the occurrence of public involvement with the criteria) may be overly simplistic. However, this approach was used as it met the criteria for the model established in Section 4.3 (ease of application) and would therefore increase its probability of use.

Conversely, the ease of application of this model and the ability for it to be implemented before a decision on the issue has been made may in fact detract from its use. Political decision makers may not wish to evaluate public participation programs as the result may indicate a course

of action in opposition to what they wish to be implemented. Similarly, the bureaucracy may have no desire for early evaluations of public participation programs as it may indicate that such a program has not been effectively implemented.

The assignment of the breakpoint of the effectiveness ratio at 2.0 may not be valid and has not been verified by the limited application of the three case studies, although for the purpose of the examples it was deemed to be appropriate. The derivation of an effectiveness ratio which could be viewed as being accurate would require the application of the model to a significant number of case studies which included programs which have already been determined as successes or failures in order to attain a mean effectiveness ratio which may be a more accurate indicator. Also the determination of the standard deviation for the effectiveness ratio may be useful as an indication of the degree of effectiveness that a program has achieved.

Application of the evaluative framework to these case studies has indicated that there are several enhancements to the model, or the process of applying the model which would be considered. Firstly, this thesis and the development of

the model has assumed that the two levels of criteria, Level 1 and Level 2, and each criterion within the Level 2 area of the model, are equal in weight and importance and can therefore be added up. Further study of the application of the model will be required to determine if the weighting or factoring of the criteria levels or the individual criteria within Level 2 would provide a increased validation of the program effectiveness ratio.

Also, completion of the model by participants of the program and members of the staff responsible for the implementation of the program as well the evaluator would provide an indication of the degree of consensus or polarization of viewpoints amongst the members of the program. The consensus of viewpoints (grouping of the effectiveness ratios determined by a variety of participants) would indicate agreement of all members as to the effectiveness of the implementation of the program process and that the recommendations arising from this participation program could be utilized as a basis for decision making. The polarization of viewpoints (the divergence of the effectiveness ratios) would indicate a dissatisfaction with the implementation of the program and that the recommendations arising from the program may not provide a valid basis for decision making. The effectiveness ratio of the evaluator in this case should be less than 2.0.

In conclusion it can be seen that the evaluative model proposed in this thesis has fulfilled the criteria established for its development in that it is easy to apply, requires limited technical skills on the part of the evaluator, has limited data requirements. Further the evaluative model provides an indication to decision makers that the recommendations of a public participation program may, or may not, be utilized as a basis for decision making.

Further application of the model is required to establish an effectiveness ratio which would be representative of the empirical findings and to determine if the completion of the model by persons other than the evaluator would provide a more useful indication of program effectiveness.

## Appendix 1

### Catalogue of Participation Techniques

1. Advocacy Planning
2. Arbitrative and Mediative Planning
3. Charrette
4. Citizens' Advisory Committee
5. Citizen Employment
6. Citizen Honoraria
7. Citizen Referendum
8. Citizen Representatives on Public Policy-making Bodies
9. Citizen Review Board
10. Citizen Training
11. Community Planning Centre
12. Community Technical Assistance
13. Computer-based Techniques  
Teleconferencing, Polling,  
Games, Interactive Graphics
14. Co-ordinator or Co-ordinator-Catalyst
15. Design-in and Colour Mapping
16. Drop-in Centres
17. Fishbowl Planning
18. Game Simulation
19. Group Dynamics  
Conflict Utilization  
Opinionaire, Empathy,  
Feedback, Relations Diagram-  
ming, Video-Taped Group  
Interview, Brainstorming,  
Force Field Analysis, Nominal  
Group Process, Role Play,  
Synectics, Thrust Problem  
Analysis
20. Hotline
21. Interactive Cable TV-  
Based Participation
22. Media-Based Issue  
Balloting
23. Meetings - Community-  
sponsored
24. Meetings -  
Neighbourhood
25. Meetings - Open  
Information
26. Neighbourhood  
Planning Council
27. Ombudsman
28. Plural Planning
29. Policy Capturing
30. Public Hearing
31. Public Information  
Programs
32. Task Force
33. Value Analysis
34. Workshops
35. Delphi
36. Focused Group  
Discussions
37. Survey of Citizens'  
Attitudes and  
Opinions

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Source: U.S. Dept. of  
Transportation (1976)



Appendix II

Municipal Act, Chapter 290, R.S.B.C. Section 720

720. (1) The council shall not adopt a zoning bylaw until it has held a public hearing on it, notice of which stating the time and place of the hearing has been published in not less than 2 consecutive issues of a newspaper published or circulating in the municipality, with the last of the publications appearing not less than 3 days or more than 10 days before the date of the hearing.

(2) The notice of hearing shall

- (a) identify the land deemed to be affected;
- (b) state in general terms the intent of the proposed bylaw;
- (c) state where and the days and hours during which a copy of the proposed bylaw may be inspected; and
- (d) be in a size, form and style of printing prescribed by regulation.

(3) The council shall, by bylaw, provide that notice of the hearing on a proposed amendment to the zoning bylaw having the effect of rezoning an area of the municipality from one zone to another zone must be mailed or otherwise delivered to the owners and occupiers of all real property within the area subject to the rezoning and within a distance specified in the bylaw from the area subject to the rezoning.

(3.1) It is not necessary to give the notice referred to in subsection (3) where the subject of the zoning bylaw is 10 or more parcels owned by 10 or more persons.

(4) A bylaw shall not be quashed on the ground that some owners or occupiers did not receive the notice where the court having jurisdiction in the matter is satisfied the municipality made a reasonable effort to mail or otherwise deliver the notice to the owners or occupiers.

(5) At the hearing all persons who believe their interest in property affected by the proposed bylaw shall be afforded an opportunity to be heard on matters contained in it.

(6) The hearing may be adjourned from time to time.

(7) The council may without further notice, in the zoning bylaw as adopted, give the effect it believes proper to representations made at the hearing, except that any change subsequent to the hearing shall not alter the substance of the bylaw.

(8) In this section "newspaper" means a newspaper or local periodical that

- (a) contains news items and advertising, and
- (b) is distributed at least weekly for circulation in the municipality or area that is affected by the matter in respect of which this section requires publication.

RS1960-255-703; 1961-43-42; 1968-33-167; 1973-59-16; 1973-133-79; 1974-56-23;  
1976-36-21; 1977-57-16; 1979-22-36; 1981-21-63; 1983-22-1, effective November  
18, 1983 (B.C. Reg. 431/83).

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