Public participation in community and regional planning

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Public participation in community and regional planning is both imperative and problematic. The purpose of this paper is to draw attention to the importance of public participation in planning, explain the barriers to implementation, and provide recommendations to improve public involvement in community and regional planning.

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INTRODUCTION

Public participation in community and regional planning is both imperative and problematic. Recent statistics reveal that the percentage of public participation in US planning is diminutive, as only 16% of Americans say they have been engaged in planning efforts. (Farmer, Aug-Sept 2012) The American Planning Association (APA) conducted a survey in March 2012 that was meant to highlight the community priorities of American citizens and aid planners in addressing the public sentiments in current planning efforts. The online survey was completed by 1300 Americans and reveals the following indicators.

- *79% of Americans believe that their own community could benefit from a plan*
- *American people have confidence in planners*
  - *Ahead of elected officials, environmentalists, and academics*
  - *Not far behind neighborhood representatives and business leaders*
  - *Tied with economists and nonprofit professionals*
- *51% of Americans want to be engaged in planning efforts*
  ((APA), June 2012)

The results of the survey illustrate that American's support planning and want to be involved but very few have been engaged in planning efforts. While half of American's want to be engaged in planning, the survey shows that only 16% have been engaged. The survey indicates a genuine need to improve public involvement in planning. Within the APA survey, a curious and significant definition of 'community planning' outlines a tremendous charge to planners across the nation.

> "*Community planning is a process that seeks to engage all members of a community to create more prosperous, convenient, equitable, healthy and attractive places for present and future generations.*" (American Planning Association, 2012, p. 13)

The definition unearths the central purpose of the planning profession which is to engage all community members in planning for a community's present and future health and prosperity. My general research question is in response to this charge: How can planners improve public participation in planning? With sub-questions including: Why is public engagement in planning important? What are the barriers to planning with the public? What kinds of practices are used to engage the public in planning? The last sub-question is what prompted the Oregon case study survey that reveals the public participation techniques used in Oregon. I chose to focus on the state of Oregon for two reasons: Oregon has a reputation for being a leader in planning and public participation, and to study Oregon's statewide planning Goal 1: *Citizen Involvement*.

The purpose of this paper is to draw attention to the importance of public participation in planning, explain the barriers to implementation, and provide recommendations to improve public involvement in community and regional planning. This report includes a brief history of public participation in American community and regional planning followed by a review of the fundamentals of public participation including the importance of public involvement in planning and the barriers to its implementation. I provide a background of citizen involvement in Oregon planning and the Oregon survey findings which include a comparison of public participation techniques used in Oregon, and general lessons learned from professional planners in Oregon. Finally, I provide both broad recommendations for the improvement of public participation in planning and detailed recommendations for Oregon.

BACKGROUND

American community and regional planning has evolved to include the public in community decisions. The planning profession grew out of architecture and engineering with little attention paid to public participation. In the late nineteenth century, overcrowded neighborhoods, lack of municipal sewer, and industrial smog resulted in unlivable urban conditions that spurred citizen campaigns across the nation. The movements to improve cities brought several new laws that laid the foundation for planning in America. Although planning was borne from citizen organization and protest, the burgeoning planning profession did not directly include public opinion in the nation's first city plans.

The first comprehensive city plan in the US was commissioned by several commercial interest groups, drafted by Daniel Burnham, and presented to the City of Chicago as a gift in 1909. The original *Plan of Chicago* was elaborate and expensive and had limited circulation. However, a shortened version of the plan was created and given to every property owner in the city and renter who paid more than $25. The plan was also promoted through lectures and a film titled *A Tale of One City*. (Levy, 2011, pp. 40-41) Sharing the *Plan of Chicago* with the public was a nice idea however there was very little, if any public participation in its making.

The lack of citizen engagement in planning continued through the better part of the twentieth century. As the planning field emerged in the early 1900s; new laws brought both positive and negative effects on overcrowded polluted cities. Citizen participation in planning was ignored in the early 1900s which negatively affected several urban neighborhoods and later received harsh criticism (e.g. *The Death and Life of Great American Cities* by Jane Jacobs). Barbara Faga writes,

> "*From the 1930s to the 1950s, master builders, such as New York's Robert Moses, envisioned great plans and built them with little debate or discussion. Many of these plans were highly disruptive, displacing people and neighborhoods for the sake of highways, infrastructure, and new development. The community did not have a voice in these planning decisions, and those who tried to speak up were quickly and effectively silenced.*" (Faga, 2010, p. 235)

Transportation planning and zoning laws responded to the crowded and polluted neighborhoods by dispersing dense development, placing minimum standards on construction and separating residential from commercial and industrial uses. However, the new laws gave power to authorities to plan cities without the direct consent of the affected public which led to unwanted consequences such as displacement of people and the destruction of established neighborhoods. The most notably criticized lack of public participation in planning in the early 1900's was New York's urban renewal and highway system plans. In the 1950s mandated participation programs included only advisory committees that were made up of influential people who could make development happen. Grassroots participation was insignificant during this time because citizen involvement was aimed to gain cooperation not feedback from citizens. (Day, 1997, p. 423)

The American civil rights movement of the 1960s and 1970s brought citizen involvement to the forefront of planning and politics. The combination of political scandals (e.g. assassinations, Vietnam, Watergate), environmental degradation (e.g. Cleveland's Cuyahoga River fire in 1969) and the sweeping urban renewal of the early 1900's sparked citizen engagement in this period. Diane Day writes, "*Significant interest [in citizen participation] began in the 1960s and 1970s as North America was in the midst of what appeared to be a countercultural revolution.*" (Day, 1997, p. 421) The 'countercultural revolution' as Day calls it is a symbol of the unrest and distrust in government that led to citizens exercising their rights to engage in planning and democracy in America. It is during this era that Sherry Arnstein introduced the *Ladder of Citizen Participation* (1969) that is still used widely in planning academia (See Figure 1). The ladder has eight rungs each of which represent a gradation of citizen involvement from nonparticipation (manipulation) to empowerment (citizen control). (Arnstein, 2007, p. 236) America experienced significant rise in citizen involvement in the 1960s and 1970s during the civil rights movement.

FIGURE 1: LADDER OF CITIZEN PARTICIPATION
Recreated from original (Arnstein, p. 236)

Empowerment
- 8. Citizen Control
- 7. Delegated Power
- 6. Partnership

Tokanism
- 5. Placation
- 4. Consultation
- 3. Informing

Non-participation
- 2. Therapy
- 1. Manipulation

In a 1973 article, Rittel and Webber describe the civil rights movement in the context of the revolt against government professionals including planners, and the linear model of planning that had been widely used by the planning profession to address societal problems. Rittel and Webber write, "*The professionalized cognitive and occupational styles that were refined in the first half of [the 20th] century, based in Newtonian mechanistic physics, are not readily adapted to contemporary conceptions of interacting open systems and to contemporary concerns with equity*" (Webber, 1973, p. 156). The civil rights movement drew attention to the fact that scientific methods of problem solving are not compatible with the complexity of societal issues particularly defining community values and implementing equitable plans. Evolution of the open systems theories of the 1960s and 1970s have continued through the decades and are discussed further in the proceeding sections of this report.

The trends in the 1980s, 1990s and early twenty-first century indicate a major decline in citizen involvement. In the 1980's the recession pushed public participation out of the spot light and planners instead focused on issues of strategic planning and economic development. (Day, 1997, p. 421) Political statistics reveal an eroded civic culture during this period. Robert Putnam writes, "*The proportion of Americans who reply that they 'trust the government in Washington' only 'some of the time' or 'almost never' has risen steadily from 30 percent in 1966 to 75 percent in 1992.*" (Putnam, 2007, p. 123) Citizen participation in government and planning declined in the thirty years surrounding the turn of the century as revealed by voter statistics illustrated below (See Figure 2).

FIGURE 2: US VOTER TURNOUT TREND

Overall Turnout Trend: 1962-2010
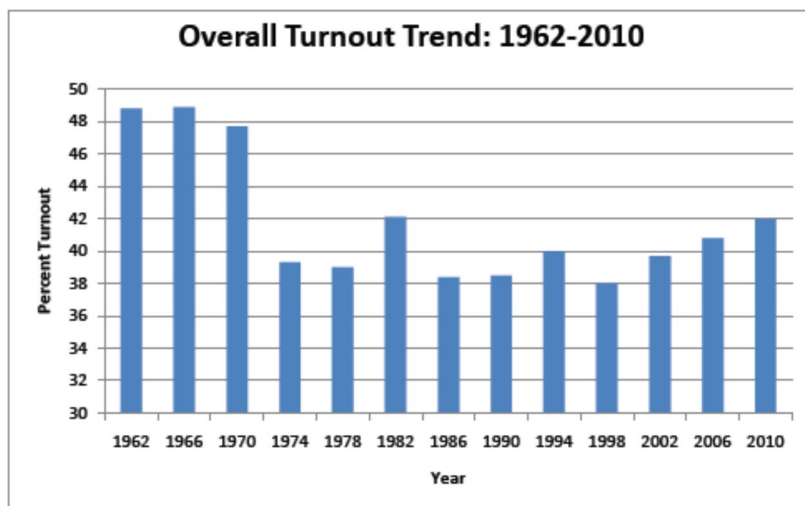
(Gans, 2010)

US voter turnout is up in recent years as shown in the graph above (See Figure 2). However, the figure also reveals a great decline in US voter turnout in the 1970's and the fact that America has never fully recovered to the, still substandard, numbers reported in the 1960's. A 1998 Census brief revealed that Americans are too busy to vote (Administration, July 9, 1998). Another similar theory is that the civil rights movement of the 1970's, particularly gender equality, shifted the role of women from social life to the work place, leaving a void in community involvement. (Putnam, 2007, p. 126) Other reasons for low voter turnout may include the lack of individual and organized interest, complexity of political issues, a corrupt electoral system, mobility, demographic changes and technological transformations. Voter statistics reveal that less than half of the American public is participating in the country's electoral system which is a disappointing symbol of the eroded civic culture in America. However, voter statistics can only measure voter participation which is a narrow study leaving several unknown indicators of the public's participation in planning decisions.

The planning field has evolved since the turn of the twentieth century to include the public in community planning. John Levy writes, "*In the early years of planning-as noted in connection with the Plan of Chicago-the view was that the plan came solely, or almost solely, from the head of the planner...A more modern view is that good plans spring from the community itself.*" (Levy, 2011, p. 95) As Levy points out modern planners are incorporating public participation in planning. However as you'll read in this report the practice of public hearings is still prevalent in practice when there are several public participation techniques that exist and could enhance participation in planning.

OREGON CONTEXT

Oregon is not unlike the nation in the trends of citizen involvement in planning throughout the twentieth century. Like the whole US, Oregon experienced an up tide in citizen involvement in the late 1960s and early 1970s. Mitch Rohse writes that during this period "*concerns over growth, the environment, and the costs of public services*" sparked an intense interest in Oregon planning. (Rohse, 1987, p. 3) During this era the state adopted its land use planning program with citizen involvement as the number one goal.

Goal 1: *Citizen Involvement* is one of 19 statewide planning goals in Oregon that were developed in the late 1960s and early 1970s in response to citizen concerns. The goals are the foundation of the state's land use planning program and policies and are directed by the Land Conservation and Development Commission (LCDC). Goal 1 generally aims "*To develop a citizen involvement program that insures the opportunity for citizens to be involved in all phases of the planning process.*" (Goal 1 Citizen Involvement OAR, 2012) The Oregon Citizen Involvement Advisory Committee (CIAC) defines citizen involvement as:

> *Citizen involvement means participation in planning by people who are not professional planners or government officials. It is a process through which everyday people help create local comprehensive plans and land use regulations, and use them to answer day-to-day questions about land use. It is citizens participating in the planning and decision-making which affect their community.* ((CIAC), May 2008, p. 2)

The above definition draws attention to the array of terms associated with this report topic: public participation in planning. There are several terms that are similar to 'public participation' including: citizen involvement, citizen engagement, citizen participation, public involvement and public engagement. All the terms have varying definitions in the literature however they have the basic premise of the definition above which is "*participation in planning by people who are not professional planners or government officials.*" I use all of the terms listed above synonymously in this report and adopt a general definition for all the terms to mean participation in planning by people who are not professional planners or government officials.

THE IMPORTANCE OF PUBLIC PARTICIPATION IN PLANNING

Several authors have contributed to the discussion regarding the importance of public involvement in community planning summarized below. The importance of citizen involvement in planning may be obvious however the following list provides primary sources that support the benefits. These benefits may act as incentives to welcome and facilitate broad public participation in community and regional planning. Table 1 is a summary of the important factors of citizen involvement in planning that may overlap and are more accurately described below. The following table briefly lists the benefits or important factors that public participation brings to the planning profession.

TABLE 1: IMPORTANCE OF PUBLIC PARTICIPATION IN PLANNING

Summary Table: Importance of public participation in planning	
Key Factor	Source(s)
Public participation is a national ethical standard for professional planners	((AICP), 2009), (Brooks, 2002, p. 68), (Barrett, 2001)
Citizen participation is the cornerstone of democracy and an essential part of American culture	(Faga, 2010), (Wakeford, 2001) (Day, 1997)
Understand the social context of a community or region	(Margerum, Beyond Consensus, 2011), (Myers, 2010), (Innes, 2010), (Creighton, 2005)
Improve public projects and the quality of decisions through knowledge sharing	(Nabatchi, 2011, pp. 24, 26), (Faga, 2010), (Creighton, 2005)
Maintain legitimacy in decisions and build trust between the government and community members	(Faga, 2010), (Creighton, 2005)
Make public value choices with the public	(Levy, 2011, pp. 95, 120), (Creighton, 2005)
Produce long-term citizen support for public projects	(Levy, 2011, p. 95), (Faga, 2010), (Creighton, 2005), (Day, 1997)
Prevent delays, fees, and frustration	(Faga, 2010), (Susskind, 2006, p. 5), (Creighton, 2005)
Inform the public about community issues and facilitate quality public opinion	(Day, 1997), (Yankelovich, 1991)
Enhance citizenship and participation	(Creighton, 2005), (Smith, 2000, p. 53), (Day, 1997)
Balance individual and community needs	(Brooks, 2002), (Innes, 2010, pp. 20-21, 114), (Levy, 2011, pp. 93-94, 105)
Respond to complex problems and resolve community conflicts through collaboration and consensus	(Margerum, Beyond Consensus, 2011), (Innes, 2010), (Godschalk, 2009), (Layzer, 2008), (Creighton, 2005), (Weeks, July/August 2000)
Build social capital and an ethic of mutual aid	(Margerum, Beyond Consensus, 2011), (Bryson, 2011, p. 3), (Innes, 2010), (Layzer, 2008), (Putnam, 2007), (Brooks, 2002, p. 120), (Kropotkin, 2006 Dover edition, 1902 original)

ETHICAL STANDARD

Public participation is a national ethical standard for professional planners. The American Institute of Certified Planners (AICP) publishes and upholds a Code of Ethics and Professional Conduct (CEPC). The following quote is extracted from the first of four sections of the AICP Code of Ethics. Section A is titled: Principles to Which We Aspire. Section A.1 is titled Our Overall Responsibility to the Public. The AICP CEPC states, "*We shall give people the opportunity to have a meaningful impact on the development of plans and programs that may affect them. Participation should be broad enough to include those who lack formal organization or influence.*" [1] CEPC, Section A.1.e., charges planners to provide opportunities for the public to have meaningful influence on plans and programs and include people outside formal interest groups or positions of power. The national standard for professional planners found in the AICP Code of Ethics is a symbol of the importance of citizen involvement in planning.

CORNERSTONE OF DEMOCRACY

Citizen engagement is not only a professional responsibility in planning; it is an interwoven thread of American culture. Public participation in planning is integral to the democratic process. Democracy is government by the people and local planning issues and projects offer opportunities for democracy to be practiced. Barbara Faga writes, "*When planners bring all voices into the decision-making process, they strengthen the very fabric of democracy.*" (Faga, 2010, p. 237). Our American culture expects to have a voice in planning as part of our nation's democracy. Michael Fagence states, "*Denying opportunities for citizen involvement is often decried as a betrayal of the democratic tradition*" (Day, 1997, p. 421). Democracy is realized through public involvement in government. Pimbert and Wakeford write, "*Democracy without citizen deliberation and participation is ultimately an empty and meaningless concept*" (Wakeford, 2001). Incorporating public participation in planning strengthens our nation's democracy.

SOCIAL CONTEXT

Citizen participation informs planners of the social context of the community. Successful planning recognizes both the vast social differences and changing demographics of a community. Dowell Myers writes, "*Planners are expected to know the local population and its needs- Although planners tend to focus on land use, it is people who populate the land, occupy housing units, and consume real estate*" (Myers, 2010, p. 89). As Myers postulates; people are central to planning and understanding the population of the community is imperative to successful planning. Planners can use both technology and citizen engagement to gain knowledge about the community population. Current technology such as GIS and online census data provides planners with geographic and demographic data that is important to planning. However citizen engagement is equally vital to understanding the individuals within a community, particularly the diverse public opinions. Ideally planners combine a doable amount of citizen engagement and demographic research to know a community's population. Planners can utilize citizen engagement to understand the social context of a community and be effective in planning.

IMPROVE QUALITY OF DECISIONS

When community members are engaged in public decisions they can become champions of thoughtful planning. Citizen involvement often results in creative ideas that can lead to superior alternatives in comprehensive planning and public projects. James Creighton writes, "*The public often possesses crucial information about existing conditions or about how a decision should be implemented, making the difference between a successful or an unsuccessful program*" (Creighton, 2005, p. 18). Involving the public can improve public projects and the quality of decisions through knowledge sharing and consideration of a variety of alternatives.

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[1] American Institute of Certified Planners. *AICP Code of Ethics and Professional Conduct.* Revised October 3, 2009. Section A.1.e. ((AICP), 2009).

Maintain legitimacy and build trust

Public participation can maintain legitimacy in decisions and build trust between the government and community members. By including the public in decisions the organization or agency instills transparency in decision making and in turn gains trust and credibility from the public. The extent or quality of the participation will develop varying levels of trust however remaining transparent in decision making will increase legitimacy and credibility. James Creighton writes, "*The way to achieve and maintain legitimacy is to follow a decision-making process that is visible and credible with the public and involves the public*" (Creighton, 2005, pp. 19, 243). Citizen involvement is important in gaining public trust and achieving a credible, legitimate right to make decisions.

Produce long-term support

Incorporating citizens in decision making can produce long-term support for public projects. James Creighton writes, "*Participating in a decision gives people a sense of ownership for that decision, and once that decision has been made, they want to see it work. Not only is there political support for implementation, but groups and individuals may even enthusiastically assist in the effort*" (Creighton, 2005, p. 19). If community members are included in the decision making process they are more likely to support the carrying out of the plan or project. Diane Day writes, "*Collective decisions are more easily accepted by the individual, and a sense of belonging in the community will be fostered*" (Day, 1997, p. 425). Community members can be respected allies for the planner in implementing public projects that span a greater time period than elected officials hold terms. (Faga, 2010, p. 235) Effective public participation can gain long-term advocacy and ease or improve the implementation of public projects or plans.

Public value choices

Planning is in large part about prioritizing community values and making value choices for society. To do this without the public comment is illegitimate and corrupt. Examples of conflicting values that require prioritizing are economic growth vs. preserving natural environmental features and allocating resources to vehicle infrastructure vs. mass-transit or bicycle infrastructure. Although these conflicting values may not be evident in day-to-day planning duties they are in fact real and are illustrated through zoning and land use laws across the country. In *The Public Participation Handbook*, James Creighton introduces a figure to illustrate the balance between two societal values and the policy alternatives that will favor one over the other (See Figure 3).

Figure 3: Values Underlying a Policy Decision
(Creighton, 2005, p. 16)
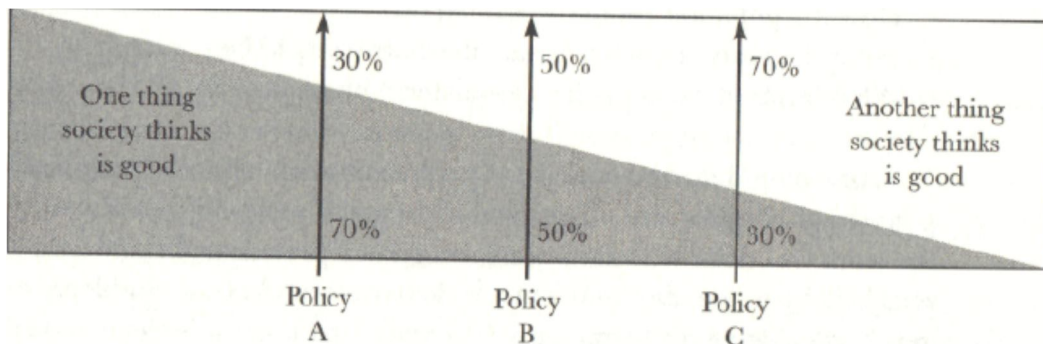
Public participation is essential to planning in order to prioritize community values and make value choices. Furthermore we (i.e. planners with the public) must consider the weight of one value over another and the corresponding consequences of the value choices. James Creighton writes, "*Experts cannot make decisions without assigning a weight or priority to competing values that society believes are good*" (Creighton, 2005, p. 15). Including the public in planning avoids elitism and facilitates a more accurate view of the community values. (Levy, 2011, p. 95)

PREVENT DELAYS, FEES, AND FRUSTRATION

Public participation can prevent lawsuits and the associated delays, attorneys' fees, and general ill will. Organizations and governments can mitigate the chances of harmful and costly lawsuits by including the public in decision making early in the process. Planners must weigh the speed of decision making with the long-term costs associated with litigation and long-term community confrontation. James Creighton writes, "*If decision making is quick but alienates interested individuals and groups, it may have been very expensive in the long run*" (Creighton, 2005, p. 18). Creighton developed a figure that illustrates the length of time that may be saved by including the public versus unilateral decision making (See Figure 4) (Creighton, 2005, p. 18). Including the public and key stakeholders in decision making may save time, lessen the chances of lawsuits, and decrease the chances of unwanted community animosity.

FIGURE 4: LENGTH OF TIME: UNILATERAL DECISION VS. PUBLIC PARTICIPATION
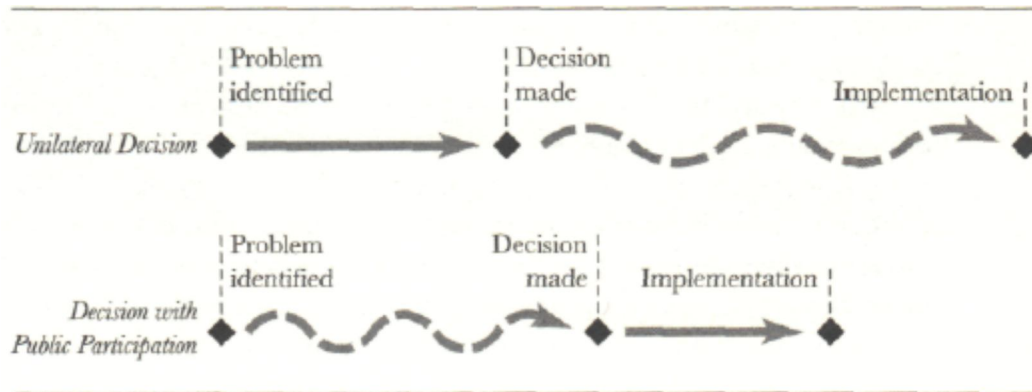
(Creighton, 2005, p. 18)

INFORM THE PUBLIC AND FACILITATE QUALITY PUBLIC OPINION

Public participation in planning can inform the public about community issues and facilitate quality public opinion. Interpreting technical information to the public, such as statistics or zoning ordinances is an important part of planning. Any public participation in planning will require sharing information. However, there are varying degrees of information sharing and depending on the complexity of the issue more in-depth information is required to gain thoughtful, quality opinions from the public and allow citizens to reach a decision on planning issues.

Daniel Yankelovich defines quality public opinion with three conditions including an individual's ability to take responsibility for the consequences of their opinions, firmness of opinion (i.e. ability to coherently express an opinion), and consistency of opinion (i.e. opinion does not contradict other expressed opinions) (Yankelovich, 1991, p. 38). One goal of public participation is receiving meaningful feedback from the public and having those opinions be informed and valuable. Ultimately, all decision makers and contributors around the issue strive for quality opinion. Yankelovich describes the barriers to achieving quality public opinion as: lack of awareness, lack of information explaining the consequences of specific policy choices, lack of time to research the issue, failing to resolve internal conflicts of values on complex issues, volatility or changing opinion when asked a question at different times or with different words, and compartmentalized thinking that leads to self-contradiction in opinions (Yankelovich, 1991, pp. 29-31). Planners and public officials can overcome some of the barriers to quality opinion by raising awareness, explaining consequences of alternatives, and providing clear, concise information. Public participation can facilitate quality public opinion and citizen efficacy.

ENHANCE CITIZENSHIP AND PARTICIPATION

Public involvement in community decision making can enhance individual citizenship. Public participation offers leadership training and skills in working out problems together as a group. James Creighton writes, "*As citizens become involved in public participation programs, they learn how to influence others and how to build coalitions*" (Creighton, 2005, p. 19) Active citizens are the foundation for a healthy and safe community and participating in public decisions and meeting neighbors can facilitate that foundation. Diane Day writes, "*Not only is the process educative in and of itself, but the more one participates, the more one develops the attitudes appropriate to a citizen*" (Day, 1997, p. 424). Providing quality information to the public and allowing them to actively participate increases individual's self-worth and gives them a stake in the community. Diane Day writes, "*Citizen participation is intrinsically good because it draws upon and develops the highest human capacities. If citizens perceive themselves as inherently capable of engaging in administrative decision making rather than merely pressuring administrators to meet their particular needs, citizens and administrators together may be able to work for the public good*" (Day, 1997, p. 424). Public participation in planning facilitates the development of a civil society and increases citizenship and individual efficacy.

BALANCE INDIVIDUAL AND COMMUNITY NEEDS

Planning is political and as such a large role of the planner is maneuvering the political system to balance individual and community needs. Planning is essentially a process by which we attempt to form the future of a community. Planning is political because everyone has an opinion about what the future ought to look like. Nigel Taylor states, "*planning action can significantly affect the lives of large numbers of people, and since different individuals and groups may hold different views about how the environment should be planned, based on different values and interests, it is therefore also a political activity*" (Brooks, 2002, p. 15). Planning activities often center on the development of land and the use of land which can affect nearby neighbors and an entire community alike. Development on privately or publicly owned land is often confrontational when an individual's needs conflict with the neighborhood or community needs. Public participation in planning can be an operative tool for balancing individual and community needs. In *Planning Theory for Practitioners*, Michael P. Brooks summarizes the essence of planning that was first introduced by Richard Klosterman in 1985. Brooks describes the four 'vital social functions' that are goals of public planning, listed below.

1. "*Planning provides the data needed for effective public and private decision-making.*
2. *Planning promotes the common or collective interests of the community, particularly with respect to the provision of public goods.*
3. *Planning attempts to remedy the negative effects of market actions.*
4. *Planning considers the distributional effects of public and private action, and attempts to resolve inequities in the distribution of basic goods and services.*" (Brooks, 2002, pp. 51-53)

According to Klosterman and Brooks, the basis of planning is rooted in defining and upholding the public good and balancing individual and community needs. Therefore, it is imperative to include the public in planning in order to identify the common interests and attempt to balance the common good and individual need. Furthermore, the community 'good' is an elusive and complex term. What one community member may see as 'good' might be perceived as detrimental to another community member. To add to the complexity of defining the 'public good,' planners, commissioners and council members also have perceived notions about what is best for the community and what the community needs. The subjectivity of individual needs and perceptions is multifaceted and depending on the issue defining the 'public good' will take time, communication, and consensus building. Utilizing citizen involvement to balance individual and community needs is rooted in the communicative action theory. Michael Brooks writes,

"*For communicative action theorists, planning 'can best be viewed as a process of practical deliberation involving dialog, debate, and negotiation among planners, politicians, developers, and the public.' The planner who follows this approach is not an analyst working behind closed doors to eventually produce the most rational recommendation but an active and intentional participant in a process of public discourse and social change.*" (Brooks, 2002, p. 122)

Public participation can be utilized to sort through the myriad opinions and move towards shared meaning to balance individual and community needs and reach agreement in difficult planning decisions.

RESPOND TO COMPLEX PROBLEMS AND RESOLVE CONFLICTS

Collaboration and consensus methods of citizen participation can respond to complex problems. Community dialogs, consensus building or collaboratives are at the high end or optimal side of the variable spectrum of public participation techniques. These techniques require dialog and deliberation between the public and decision makers or delegate the power to make decisions to the public. Collaborative methods require more time and resources; however the more time and resources that are put in to a public participation program, the better the outcomes will most likely be. The variety of public participation techniques are summarized in Appendix A. In *Beyond Consensus*, Richard D. Margerum summarizes five key contextual trends that highlight the need for collaboration in community and regional planning in order to respond to complex problems. The five trends are (in part):

1) "*The increased importance of diffuse environmental problems (water and air pollution)*,
2) *There is more concern about complex and difficult problems, such as greenhouse gas emissions, climate change, natural hazards, and endangered species but regulation alone cannot solve these problems,*
3) *The need to link social, economic, and environmental actions* to achieve sustainability,
4) *Many problems and solutions are interjurisdictional in nature*, and
5) There is *added complexity of working across national boundaries. We live in an increasingly interconnected world with only a limited capacity for international governance systems to guide implementation.* (Margerum, Beyond Consensus, 2011, pp. 290-293)

Margerum draws attention to the importance of citizen involvement and high-level collaboration or community dialogs in planning by highlighting the current trends in community and regional planning issues. The trends are examples of the complex problems that collaboration and citizen involvement hope to cure.

Citizen participation has resolved conflicts and led to positive outcomes in community planning. James Creighton writes, "*A public participation program may build a solid, long-term agreement and commitment between otherwise divergent parties*" (Creighton, 2005, p. 19) Public participation techniques such as deliberative dialogs and collaboratives can be utilized to resolve community conflicts and respond to complex problems as evidenced by the examples below.

In "*Planning with Complexity*" six case studies of collaboration were analyzed for success based on three criteria including: Full diversity among participants, interdependence of the participants, and authentic dialogue. Two of the six case studies met all three criteria and resulted in successful

collaboration. (Innes, 2010, pp. 42-43). The four key positive outcomes of the successful case studies in "*Planning with Complexity*" include:

> *1) Agents discover the reciprocal nature of their interests and begin to explore opportunities for joint approaches,*
> *2) Stakeholders build new working relationships in the process,*
> *3) Agents discover both new means to achieve their interests and come to reexamine and reframe the interests they previously held,*
> *4) Participants start to develop shared meanings and do not have to work from scratch on how to proceed when future issues arise* (Innes, 2010, pp. 37-38)*.*

Citizen involvement in community visioning for comprehensive and strategic plans is another opportunity to resolve conflicts and respond to complex community issues. In "*Local Planning*," three examples of citizen participation in planning are highlighted including Youngstown, Ohio; Seattle, Washington; and Lee County, Florida. (Godschalk, 2009, pp. 71-73) Each example provides valuable insight into the importance of citizen involvement in both comprehensive and strategic planning. The Youngstown case highlights the use of neighborhood leaders and consensus-based planning to revitalize a declining city. The Seattle experience illustrates the risk of moving too fast without community support, and then having to rebuild consensus through a neighborhood-level collaborative process. In Lee County the systematic comprehensive planning increased understanding and helped to reduce community conflict. Public participation at a collaborative level carries the promise of conflict resolution and consensus that results in shared visions and community plans.

In "*Natural Experiments*," Judith Layzer describes seven collaborative initiatives that yielded policies and practices that over time will produce environmental benefits. (Layzer, 2008) Layzer explains that the case studies are analyzed through the lens of Ecosystem-Based Management (EBM) which is a model for planning that includes three main components: 1) addressing problems at a regional scale, 2) entails collaborative planning (i.e. public officials, private stakeholders, and scientists assemble voluntarily to seek consensus on a solution that promises joint gains), and 3) relies on a flexible implementation strategy (i.e. sharing information, incentives, performance standards rather than prescriptive rules) (Layzer, 2008, pp. 22-23). In four of the seven case studies two major benefits of collaboration were recognized including that trust among participants increased and many participants gained a broader view of their own interests and grew sympathy for the concerns of others (Layzer, 2008, p. 274). Stakeholder participation in collaboratives can lead to positive effects on community interrelationships and consensus around policies and plans.

In his August, 2000 article, Edward Weeks reports that large-scale citizen involvement is possible and can result in agreements that resolve complex community issues. In the article, Weeks describes a model of deliberative democracy; applies the community dialog model; and reviews the model with case studies. Four criteria of deliberative democracy are posited and tested by Weeks including: 1) broad, representative participation beyond traditional formal avenues such as public hearings or advisory boards, 2) informed public judgment meaning that information provided to the citizen participation compares to that which is ordinarily available to the city council, 3) Deliberative participation and opportunities for deliberation in that workshops and surveys are designed to put the policy problem into the hands of the citizen, and 4) credible results from the use of strong methods such as multiple data collection methods. The case studies included: Eugene, OR who tackled their city budget and growth management; Fort Collins, CO, addressed the broad topic of community future and managing growth and Sacramento, CA utilized the process to respond to their statute requirement for budgetary public comment. Each of the case studies generally met the four criteria of large-scale public processes of deliberative community dialog and therefore give promise to the practice of deliberative democracy. Weeks writes, "*It is possible to convene a large-scale public deliberative process that enables local governments to take effective action on previously intractable issues*" (Weeks, July/August 2000, p. 360). The conclusion of Week's research and implementation of the community dialog model is that large-scale citizen involvement is possible and can resolve complex community issues.

The above examples illustrate the practice of collaboration and inclusive dialogs in planning that have aided in complex planning problems. Tough realities exist in our American landscape including numerous foreclosed, vacant buildings, environmental degradation (e.g. water and air pollution), deteriorating infrastructure, and grossly auto-oriented transportation systems resulting in wasteful sprawl. Global financial and environmental problems underlay the local community issues, such as the passing of peak oil production globally and nationally, global warming, and costly foreign wars. Wicked problems such as these can be addressed by public participation strategies aimed at collaborating and finding common ground. Public participation in planning can solve complex community problems through collaboration and consensus.

BUILD SOCIAL CAPITAL AND AN ETHIC OF MUTUAL AID

Robert Putnam posits a theory that citizen engagement is an indicator of a community's social capital. Furthermore, the greater the level of social capital that a community possesses results in increased quality of governance and overall success of the community. Putnam defines social capital as, "*Features of social organization such as networks, norms, and social trust that facilitate coordination and cooperation for mutual benefit*" (Putnam, 2007, p. 122). Engaging the public in community planning is an opportunity to facilitate social capital between neighbors and between the public and government officials. Judith Layzer writes, "*Collaboratives and other participation-intensive problem-solving efforts do appear to increase human and social capital, as well as the level of stakeholder agreement*" (Layzer, 2008, pp. 2-3). Public participation in planning offers opportunities to build social capital which improves the community as a whole.

Richard Margerum also references social capital as a significant variable in assessing a community context in order to form a citizen or stakeholder group to solve community planning issues. (Margerum, Beyond Consensus, 2011, p. 58) Margerum also posits a theory on the importance of social capital or networks in the following three factors: 1) The influence of social networks on social norms, 2) A network's ability to influence individual's awareness of interlinked fates, and 3) the role of a network in facilitating interpersonal communication and trust. (Margerum, Beyond Consensus, 2011, pp. 183-186) Putnam further describes the positive benefits of increased social capital including more effective government, better schools, faster economic development, and lower crime. (Putnam, 2007, p. 122) Putnam writes, "*For a variety of reasons, life is easier in a community blessed with a substantial stock of social capital*" (Putnam, 2007, p. 122). Engaging the public in community planning is an opportunity to facilitate social capital which can improve the effectiveness of governance and advance the overall success of a community or region.

Communities that adopt an ethic of mutual aid are proven to be more prosperous. The cultural norm in America is 'me-first' before the community. While taking care of ourselves first is helpful to the community in that we are not a burden, a balance of respect for oneself and that of our neighbors is a proven strategy for survival, health and happiness. Volunteerism and neighborly kindness can make us feel like suckers in a culture of individuality. However, there is evidence that suggests that mutual aid is not for suckers and that doing good for the community and adopting an ethic of mutual aid leads to prosperity that far exceeds an ethic of individualism. Elinor Ostrom found that, "*cooperation and trust could be explained without dropping the assumption of rational self-interest. She discovered that new institutional structures had evolved in some communities, with norms of cooperation and a shared logic supporting them. These were all voluntary efforts collectively governed.*" (Innes, 2010, p. 21) In 'Mutual Aid: A Factor of Evolution,' Peter Kropotkin tells the stories of the innate, habitual, traditional existence of mutual aid in animal and mankind societies through the whole modern era. Kropotkin shares such abundant evidence in his work that by the end of the book one wonders how such individualism in America has survived thus far. For societies past, the loss of societal mutual aid and communal lands meant the collapse of agriculture, infrastructure, hope and happiness. Kropotkin writes that animal species and societies whereby, "*individual struggle has been reduced to its narrowest limits, and the practice of mutual aid has attained the greatest development, are invariably the most numerous, the most prosperous, and the most open to further progress*" (Kropotkin, 2006 Dover edition, 1902 original, p. 242). Public participation in community planning can facilitate social capital and an ethic of mutual aid that is proven to improve community prosperity.

BARRIERS TO PUBLIC PARTICIPATION IN PLANNING

While citizen participation is important in planning, there are some rather large theoretical and practical barriers to implementation. Diane Day writes, "*At the same time that citizen participation in public affairs seems to hold a sacrosanct role in U.S. political culture and sensibilities, the issue of citizen participation in the planning process seems to be problematic*" (Day, 1997, p. 422). Several challenges exist in implementing citizen involvement in planning. Generally the complexity of implementing citizen involvement programs in planning is rooted in our capitalist society that includes individual property ownership, the un-equal distribution of resources, and in most cases laws and social constructs that sustain the power imbalances in society. Given the existing political and planning systems; planners that wish to include all voices in planning and still keep their jobs have a mountain of challenges to overcome. I created the following list for readability and organizational purposes with the understanding that the barriers overlap and that other challenges may exist depending on the community and the people involved. The following list was compiled from selected sources and indicates some obstacles associated with implementing citizen involvement in planning.

TABLE 2: BARRIERS TO PUBLIC PARTICIPATION IN PLANNING

Summary Table: Barriers to public participation in planning	
Barrier	Source(s)
Funding, scheduling and resource constraints	(Margerum, Beyond Consensus, 2011), (Bryson, 2011, pp. 287-88), (Creighton, 2005)
Occupational mandates	(Margerum, Beyond Consensus, 2011), (Creighton, 2005)
Legal constraints	(Kayden, 2009), (Creighton, 2005), (Putnam, 2007), (Susskind, 2006)
Geography and clashing jurisdictions	(Margerum, Beyond Consensus, 2011, p. 291), (Layzer, 2008), (Creighton, 2005), (Day, 1997)
Avoiding conflict and resorting to weak plans and policies	(Margerum, Beyond Consensus, 2011), (Layzer, 2008)
Technocracy and value choices	(Creighton, 2005), (Day, 1997)
Bureaucracy	(Creighton, 2005), (Phillips, 1996), (Jacobs, 1961)
Agency or internal opposition due to perception or previous experience	(Creighton, 2005), (Day, 1997), (Yankelovich, 1991)
Lack of respect for public opinion	(Weeks, July/August 2000), (Day, 1997), (Yankelovich, 1991)
Apathy and blame	(Innes, 2010), (Creighton, 2005, pp. 68-69), (Day, 1997, p. 421)
Sharing power and levels of public involvement	(Margerum, Beyond Consensus, 2011, pp. 220-223), (Innes, 2010), (Day, 1997), (Creighton, 2005, p. 11), (IAP2, IAP2 Public Participation Spectrum, 2000), (Arnstein, 2007), (Webber, 1973), (Levy, 2011, p. 95)
Levels of inclusion and various participation techniques	(Margerum, Beyond Consensus, 2011), (Creighton, 2005), (Weeks, July/August 2000), (Day, 1997)
Unfamiliarity with democracy theory and models of planning	(Nabatchi, 2011), (Innes, 2010), (Day, 1997)

FUNDING, SCHEDULING AND RESOURCE CONSTRAINTS

The most obvious barrier to citizen involvement is funding and resource constraints. Funding public participation includes staffing and scheduling time to plan and administer the techniques. Planners may want to incorporate the public however; a lack of funding, time constraints or existing skill sets may stand in the way of adopting a public participation program. James Creighton writes, "*Schedule or resource constraints may limit the use of certain kinds of techniques or make it impossible to conduct effective public participation*" (Creighton, 2005, p. 41). Public participation requires careful thought, planning, and collaboration which each require advanced skills to successfully execute. If planning agencies do not allocate the appropriate resources and incentives to implement citizen engagement programs then it is unlikely that programs will be adopted.

In reference to collaborative stakeholder groups, Richard Margerm writes, "*Cyclic funding, high turnover, and low levels of training and support will all tend to undermine their [collaboratives] capacity*" (Margerum, Beyond Consensus, 2011, p. 294). Allocating resources for public participation may not be within the control of planners and can be a perceived or real barrier. Creighton writes, "*Sometimes limited resources reflect a lack of management commitment. But sometimes resources are indeed limited, and that's a fact of life*" (Creighton, 2005, p. 71). Planners or community agency staff may wish to incorporate public participation in planning however they may lack the funding, time or skills to do so.

OCCUPATIONAL MANDATES

Planners must balance job duties that may take priority over adopting a participation program. Occupational mandates vary depending on the hierarchy of the organization and may include agency priorities, Council orders, development proposals, zoning amendments, interdepartmental issues, and general job descriptions. With dwindling budgets some agencies are cutting positions and funding and resorting to 'core business.' Richard Margerum warns that, "*The consequence of pulling back to core business is that organizations will be responding more to problems than trying to prevent them*" (Margerum, Beyond Consensus, 2011, p. 295). Sometimes planning is heavily reactionary in that a developer brings a proposal and the agency has existing zoning etc. to respond but the age of the plan, and the time to react may not facilitate meaningful public input. Planners may have required tasks that utilize or monopolize their time and resources.

If occupational mandates result in the agency making a decision prior to consultation with the public then citizen involvement is not effective. In *The Public Participation Handbook*, James Creighton writes that citizen involvement should not take place if a decision has already been made. Creighton writes, "*If the agency has already made a decision, public participation is a sham*" (Creighton, 2005, p. 41). Planners must carefully consider the credibility and integrity of the decisions and may rely on the code of ethics for advice on occupational mandates as a barrier to public participation. Agencies are constrained by mandates and authorities that limit what they can do. Zoning and subdivision regulations may exist which are necessary in 'orderly' development but quite outdated as a concept. Another occupational mandate may be reacting to development proposals with little time to proactively plan. Job duties and occupational mandates can be challenges to adopting and implementing a citizen involvement program.

LEGAL CONSTRAINTS

Federal, state and local laws can be barriers to citizen involvement. If the law is not written to incorporate or incentivize broad-based participatory exercises then it is unlikely that agencies will implement citizen involvement programs. Robert Putnam writes about how public policies are sometimes barriers to building social capital; he states, "*We need to explore creatively how public policy impinges on social-capital formation. In some well-known instances, public policy has destroyed highly effective social networks and norms. American slum-clearance policy of the 1950s and 1960s, for example, renovated physical capital, but at a very high cost to existing social capital*" (Putnam, 2007, p. 128). Laws, policies, ordinances and regulations may hinder the ability of planners to facilitate meaningful public involvement.

Zoning and subdivision regulations are local laws that can be legal barriers to participation. James Creighton writes, "*In many cases, agencies are implementing laws. If the public brings sufficient pressure to bear on elected officials, these laws can be changed. But otherwise, the agency must operate within the constraints imposed by the law*" (Creighton, 2005, p. 12). Zoning ordinances and subdivision regulations constrain the opportunity for community dialog around land use issues. If a zoning ordinance states that only certain land uses are allowed on a property, a planner must enforce the law. There are mechanisms set up to appeal zoning and subdivision regulations however most often public hearings do not facilitate dialog or discussion. Formal local ordinances and regulations can be barriers to active citizen involvement.

Other examples of laws that may constrain participation are required deadlines and the release of information. Most state laws regulate development proposals and place deadlines on noticing the public and requirements for review and decisions regarding development. The '120 day' rule is common practice that gives local municipalities 120 days to make a decision on any land use application. Protecting information for security or intellectual property rights may also hinder the ability of planners to share information and gather feedback from the public. James Creighton writes, "*Occasionally the public needs certain information in order to participate intelligently but that information has not yet been released due to security considerations or the need to protect intellectual property*" (Creighton, 2005, p. 41). Laws regarding the release of information and deadlines can hinder public participation.

Federal laws that protect the rights of property owners unearth the issue of community versus privately owned land. The fifth & fourteenth amendments of the constitution protect the rights of private property owners. The amendments generally state that the government shall not deprive persons of life, liberty, or property, without due process of law. The governments' ability to incorporate public opinion on private property is limited by the constitution. Therefore, the influence of the public may not hold water in some cases. However, community public voice is not impossible and is successful in some cases due to nuisance laws. (Kayden, 2009, p. 38). The combination of federal, state and local laws can act as barriers to meaningful public participation in planning.

Robert's Rules of Order or parliamentary procedure is a barrier to consensus, dialog, and citizen engagement. Traditional government processes such as public hearings are often run with Robert's Rules of Order developed in 1876. (Susskind, 2006, p. 6) In 'Breaking Robert's Rules' Susskind and Cruikshank outline four major problems with Robert's Rules in decision making including in general: 1) The focus is on majority rule which ignores the unhappy minority and ultimately alienates people and causes animosity in a group or community, 2) Good outcomes don't necessarily emerge from Robert's Rules because the rules provide a way to proceed from the beginning to the end of the meeting with nothing inherent that steers a group toward practical, affordable, or creative solutions, 3) There is nothing preventing voting decision makers from coming to a meeting with their mind made up which breeds back room deals, trading votes and corruption vs. deliberation and consensus building, 4) It puts too much power in the hands of the skilled parliamentarians or process experts-An expert can steer the decision process and limit the debate. (Susskind, 2006, pp. 11-14) Robert's Rules of Order are a barrier to public participation.

GEOGRAPHY AND CLASHING JURISDICTIONS

Geography and political boundaries can be barriers to citizen involvement in planning. Political boundaries are invisible in nature and most environmental issues cross jurisdictions. Certain planning issues such as water quality or transportation involve more than one community or overlapping jurisdictions. Difficulties arise when several agencies, organizations and citizens are involved in regional decisions.

James Creighton addresses the geography barrier and writes that a local community may compromise environmental standards that have been administered at a national level. Creighton writes, "*It is not unusual for people in a local area to agree on values that are different from those held by the national public. For example, when cleaning up the environment costs local jobs, the local community might be quite willing to settle for a lower standard than has been set nationally*" (Creighton, 2005, p. 17). Geography can be a barrier to citizen involvement in that differing jurisdictions (e.g. state v. local) may have varying ideas about acceptable plans and policies.

AVOIDING CONFLICT AND RESORTING TO WEAK PLANS

In 'Beyond Consensus' Richard Margerum writes, "*I believe that collaborative efforts are sometimes at greater risk of producing weak products for several reasons*" (Margerum, 2011, p. 118). The following reasons are listed: 1) In order to reach consensus participants may adopt ambiguous language that becomes difficult to evaluate, 2) The more players and participants increases the complexity and interpretations of goals and objectives, 3) Users of the plans and policies that are not directly involved in the creation may have difficulty interpreting the plan.

Citizen involvement does not always present the most beneficial decisions because people have varying opinions about what's more important such as jobs vs. environmental quality. In 'Natural Experiments' Judith Layzer reports on seven cases of stakeholder collaborative efforts regarding cross-jurisdictional efforts to conserve and restore landscapes. Layzer's analysis revealed that "*initiatives in which goals were set collaboratively have yielded fewer-than-anticipated environmental benefits for a variety of reasons*" (Layzer, 2008, p. 5). Layzer describes the reasons in general as: Planners promised to deliver both environmental and economic benefits at the cost of the environment; to reach consensus among stakeholders planners avoided controversy by evading extreme environmental policies; and the resulting language in the environmental plans is weak because of compromise. Layzer's report illustrates that citizen or stakeholder involvement may result in compromises to the original intent of the plan and resorting to ineffective plans.

TECHNOCRACY AND VALUE CHOICES

Planning is technical and making decisions based on scientific data poses problems to citizen involvement in planning particularly in discerning the difference between technical and value choices. Typical planning duties such as interpreting laws and zoning regulations, utilizing statistics, and mastering Geographic Information Systems (GIS) all require expertise. Planners may acquire technical skill however that doesn't make them superior in making value choices for society. James Creighton writes, "*There is nothing about technical training that makes technical experts more qualified than others to make values choices – even when technical experts hold management positions that require they make such decisions*" (Creighton, 2005, p. 16). It is important for planners to decipher between technical decisions and value choices.

Scientific decision making and techniques for maximizing benefits are helpful in planning decisions, however technical experts are not more qualified than the public in discerning value choices. Furthermore we (i.e. planners with the public) must consider the weight of one value over another and the corresponding consequences of the value choices. James Creighton writes, "*Experts cannot make decisions without assigning a weight or priority to competing values that society believes are good*" (Creighton, 2005, p. 15). This challenge of discerning between technical and value choices and making decisions by prioritizing community values makes a case for public participation in planning however it also highlights more barriers such as conflicting values, sharing power and inclusion which are discussed more below.

BUREAUCRACY

Large bureaucratic agencies can be as barriers to public participation. James Creighton writes, "*As the size and scope of government have grown, decisions previously made by elected officials in a political process were delegated to technical experts in large bureaucracies. In an age when even elected representatives bemoan their inability to control the bureaucracies, the role of the bureaucracy in decision making is a major challenge to democratic theory*" (Creighton, 2005, p. 14). The challenges of bureaucracy include a lack of communication between agency departments with one another and with elected officials, which creates barriers to public involvement and internal efficiency. Another reason that large agencies stand in the way of citizen involvement is the focus on technical data and existing laws such as zoning that constrict changes to more open systems of dialog and discussion with the public.

In *The Death and Life of Great American Cities,* Jane Jacobs criticizes the strategies and tactics of bureaucratic city planning. Here I tie together two quotes from the book to illustrate that from Jacobs perspective the urban ills

(e.g. blight, deteriorating infrastructure, homelessness, etc.) that city planning is meant to cure are not being addressed. In the first quote one of the ills (slums) that she addresses is a problem that requires respect for the people who currently live there and the ability to facilitate a change in perspectives so that people want to stay there which could be addressed through public participation in planning. Jacobs writes, "*Most of the aims I have been writing about, aims such as unslumming slums, catalyzing diversity, nurturing lively streets, are unrecognized today as objectives of city planning. Therefore, planners and the agencies of action that carry out plans possess neither strategies nor tactics for carrying out such aims.*" The second quote calls for respecting public opinions and including the public in planning decisions to cure the community ills. Jacobs writes, "*To overcome slums, we must regard slum dwellers as people capable of understanding and acting upon their own self-interests, which they certainly are. We need to discern, respect and build upon the forces for regeneration that exist in slums themselves, and that demonstrably work in real cities. This is far from trying to patronize people into a better life, and it is far from what is done today.*" The importance of respecting the people who live in the community and trusting the people to act on their own behalf is a central issue to public involvement in community and regional planning. Large bureaucracies that perpetuate disrespect for the public and lose touch with community members are a barrier to citizen involvement in planning.

Well known theorists postulate ideas about bureaucracy and frame the reason why it can be a barrier to citizen involvement in planning. In *City Lights*, Barbara Phillips summarizes the views of Marx and Weber and their theories regarding western capitalism and bureaucracy. Phillips describes that the two theorists agreed that capitalism separates people from their labor and enables the 'depersonalization of the individual' essentially allowing the 'dictatorship of the proletariat.' But, Weber unlike Marx focused on the movement of bureaucratic efficiency and rationality as the cause of the separation. Phillips writes, "*Bureaucratic organization separates all people from their labor-the scientist from the means of inquiry, the soldier from the means of violence, and the civil servant from the means of administration.*" (Phillips, 1996, p. 271) At the heart of Weber's theory was the idea that bureaucracies separate people from the meaning of their work and people become unconscious drones, detached from their service to the greater good or society. Large bureaucracies can pose a threat to public participation in planning by erasing the mission of government – to protect and uphold the community good – from the minds of the professional planners who administer policies and plans on behalf of the public.

AGENCY OPPOSITION DUE TO PERCEPTION OR PREVIOUS EXPERIENCE

Agency or internal opposition to citizen involvement is a barrier to including the public in planning decisions. Internal opposition to public participation may stem from fears regarding the lack of time and resources, or from previous bad experiences, or from individual ideologies. Internal opponents of citizen involvement may realize or perceive a lack of funding, time or skills within the organization. Others may oppose public participation because of animosity experienced in previous citizen involvement efforts. James Creighton writes, "*Sometimes there is enough internal resistance to conducting a public participation program that the planning team may need to make a considered judgment about the risks of committing to a major program*" (Creighton, 2005, p. 41). Perceptions, fears or previous experiences of agency staff may prevent citizen involvement in planning.

LACK OF RESPECT FOR PUBLIC OPINION

Planners will have varying ideologies about including the public in decision making. Ideological opposition to public participation may stem from a suspicion of the public to make informed decisions regarding planning issues. Yankelovich writes, "*There is suspicion of the ability of the 'masses' to contribute constructively to governance*" (Yankelovich, 1991), (Day, 1997). If planners or officials do not respect the public's opinion then it is unlikely that citizen involvement in planning will be valued or implemented. A lack of respect for the public may also stem from the practice of treating community members as customers.

Applying the fundamentals of marketing to government or running governments like a business is a barrier to citizen involvement in planning. Our societal preoccupation with consumerism and monetary wealth has spurred governments to adopt policies that are traditionally used in business. When we apply business logic to community affairs the danger is that the citizens become customers, which they are not. Edward Weeks writes, "*The public*

are not customers and our governments are not markets" (Weeks, July/August 2000, p. 371). Governments are social and community entities not businesses. The barrier to citizen involvement in treating the public as customers is rooted in the dichotomy of the importance placed on monetary wealth versus everything else wealth (e.g. inclusion, affection, volunteerism, community, natural features of the environment etc.). Treating the public as customers and trying to 'sell' ideas about planning issues is a damaging conception of citizens and is a barrier to respecting citizens and including community members in community and regional planning.

APATHY AND BLAME

Citizen involvement may suffer due to public apathy and blame. Is the public competent (i.e. Engaged, informed, willing to consider alternative views, public spirited vs. private spirited) and ready to participate in planning decisions? The public may not care about some planning issues. A democracy is self-governance yet it seems we (the public) are often pointing fingers – the democrats are to blame for terrible healthcare or tax policies, or republicans are to blame because they will not approve the Bill for job creation; it is a fine line of responsibility in a democracy. Edward Weeks writes, "*The corrosive acids of public cynicism eat away at the foundations of local government*" (Weeks, July/August 2000, p. 371). The prevalent partisan attitude leaks into local planning and separates us from the actual issues, from fruitful discussion of the issues, and from mutual respect for each other.

On the other hand, why is the public apathetic? Are government institutions and agencies causing the public apathy? Innes and Booher write, "*Scholars identify widespread democratic disengagement and apathy which appear to be generated by current practices and institutions of government such as partisan posturing and influence by special interests*" (Innes, 2010, p. 197). Innes and Booher report that academics have been arguing for over thirty years that government practices have caused prevalent public apathy. (Innes, 2010, p. 197) Our nation's partisan politics frame our thoughts into dichotomies (i.e. democrat vs. republican) that leave little room for other choices or creative ideas in policy and planning. Apathy and blame stand in the way of moving towards a healthy, active democracy.

Apathy and blame exist on both sides of the citizen involvement coin; the public and elected officials and planners. From both angles, if nobody shows up to discuss planning issues then there is no issue and if planners do not tell the public about the issue then there is no public involvement. The public has some responsibility to be involved in community and regional planning; however they may lack the will, interest, power or resources to do so. James Creighton writes, "*If the public is apathetic, you may need to design a public information program to stimulate their interest or at least permit an informed choice not to participate*" (Creighton, 2005, p. 69). Creighton addresses public apathy by recommending that officials and planners design a program to stimulate the public's interest or develop an informed choice not to participate.

SHARING POWER AND LEVELS OF PUBLIC INVOLVEMENT

Another barrier to citizen involvement is sharing power in planning decisions that shape communities and regions. Citizen participation in planning means sharing power in decision making. Sherry Arnstein writes, "*Citizen Participation is a categorical term for citizen power. It is the redistribution of power that enables the have-not citizens, presently excluded from the political and economic processes, to be deliberately included in the future*" (Arnstein, 2007, pp. 235-236). There are varying levels of planning decisions (i.e. subdivision, variances, rezoning, conditional use permit and development applications) that are governed by rules and regulations. Beyond the regulations, when an agency or representative is influenced by citizen opinion there is a transference of power that enables the citizen to play an active role in governance. Day writes, "*citizen participation can serve as a means toward power equalization and reinterpretation of the democratic ethic*" (Day, 1997, p. 242).

Who's responsible and how much involvement is feasible in decision making? Diane Day writes, "*Technical expertise and impartiality on one hand, and a democratic social and political system on the other. In this sense, citizen participation could be characterized as a 'wicked' problem. It is for this reason that meaningful citizen participation might be conceived as inherently problematic*" (Day, 1997, p. 421). Democracy is defined as self-governance by the people. Therefore if we are to self-govern there is an expected responsibility to take part in

governing. On the other hand government agencies and elected officials are charged with the responsibility to govern on behalf of the public.

The conundrum of responsibility and level of inclusion makes planning decisions complex and seemingly unresolvable. Rittel and Webber write, "*As distinguished from problems in the natural sciences, which are definable and separable and may have solutions that are findable, the problems of governmental planning-and especially those of social or policy planning-are ill-defined; and they rely upon elusive political judgment for resolution (Not 'solution'- Social problems are never solved. At best they are only re-solved-over and over again)*" (Webber, 1973, p. 160). Too much, too little...finding the right amount of involvement and still getting things done or making decisions – here in lies the fundamental problem – planning is never done. Rittel and Webber write, "*The planner terminates work on a wicked problem, not for reasons inherent in the 'logic' of the problem. He stops for considerations that are external to the problem: s/he runs out of time, or money, or patience. S/he finally says, 'That's good enough,' or 'This is the best I can do within the limitations of the project,' or 'I like this solution,' etc.*" (Webber, 1973, p. 162). The social, environmental and economic issues that are meant to be addressed by community and regional planning are complex and adding citizen involvement to the project or issue at hand may be overwhelming. Sharing responsibility in community decisions is not easy and poses a challenge to public participation in planning.

The discussions regarding sharing responsibility and power in planning decisions draw attention to the levels of public involvement in planning that was first introduced by Sherry Arnstein in the *Ladder of Citizen Participation* (1969). A similar model has been developed by the International Association of Public Participation (IAP2) (See Figure 8). The spectrum of public participation affects every aspect of a public participation program adopted by a government agency or organization. The level of involvement will depend on the goal of the program whether it be to 'inform' or 'empower' the citizens or a variation of the levels at key points in decision making. The figure describes the levels of public impact in decision-making by comparing three important variables of a citizen involvement program including the 'goal,' and the 'promise to the public.'

At the empowerment end of the spectrum, social constructionist and phenomenologists believe that knowledge is an evolving social product and support the idea of broad, all-inclusive public participation.   (Innes, 2010, pp. 22-29) Believing that meaning is collectively constructed adds great complexity to citizen engagement in planning particularly the fact that each community and situation is different and reaching broad consensus and shared meaning around community issues through public engagement could be an endless endeavor. Ideally planners can share power and incorporate a doable amount of citizen engagement in decision making.

LEVELS OF INCLUSION AND VARIOUS PARTICIPATION TECHNIQUES

The question of who to include in decision making is another challenge in public participation. James Creighton writes, "*The 'public' in public involvement is almost never the entire electorate*" (Creighton, 2005, p. 17) Including all voices in planning is a central issue of public participation. Various participation techniques exist that ultimately decipher the level of inclusion. Technology also plays a key role in the development of social networking that was not possible ten years ago.   Public participation techniques vary and change, especially with technology advancements (e.g. twitter, blogging, etc.). The varying public participation techniques shed light on the broad spectrum of inclusion.

The level of inclusion and varying participation techniques can be analyzed by an example comparison between stakeholder groups versus all-inclusive deliberative democracy practices. Practical policy administration will usually substitute stakeholder negotiation in place of broad public opinion.   In a stakeholder negotiation representatives are selected from the public or interest groups to serve on task forces or collaborative groups. At all levels of government decision making representatives or stakeholders are chosen based on their knowledge, direct connection or interest in an issue, and power within a group (e.g. local neighborhood association, City Chamber of Commerce, environmental advocacy group, etc.).

Challenges exist in the stakeholder approach versus broad public opinion. Negotiation and consensus building is easier and faster with less people. And when people are directly affected by an issue they are more likely to stay committed to a stakeholder group and most likely possess the power and resources to take action. However, a challenge is that one individual may inaccurately represent the public or group s/he is representing. And when one person is representing a group of people, ideas are lost that may lead to better creative solutions to a problem. Finally, the stakeholder approach is susceptible to inequality and power imbalance issues (Margerum, 2011, p. 76). The leader(s) in any public involvement process ought to weigh the benefits and challenges of stakeholder negotiation versus broad public opinion with careful consideration of the issue and the people and resources involved.

TABLE 3: BENEFITS AND CHALLENGES OF STAKEHOLDER GROUPS

| Stakeholders substituted for Broad Public Opinion	
Benefits	Challenges
Consensus building is easier and faster with less people	Stakeholders are not accurately representing the public at large
Stakeholder is more likely to stay committed to negotiation	Superior solutions to a problem may be lost with narrow, exclusive representation
Stakeholders have power and resources to take action	Inequality in that stakeholder groups mirror existing power structures in society (Margerum, Beyond Consensus, 2011, p. 76)

Stakeholder groups may also only represent mainstream ideas versus outlying opinion. James Creighton writes, "*If a public participation process includes only those people in the mainstream of opinion, those whose opinions fall outside that mainstream will feel unrepresented and left out of the process and will seek other ways to influence the decision, such as turning to the courts or elected officials*" (Creighton, 2005, p. 24). A major concern with stakeholder groups versus broad public opinion is leaving out people and opinions that are valuable and alienating segments of the population. Creighton writes, "*If people choose not to participate, that's unfortunate but rarely a source of political controversy. But if people feel left out, that's a prescription for significant controversy*" (Creighton, 2005, p. 24). Inclusion in participation is a challenge that warrants careful consideration in choosing participants for a stakeholder group and giving adequate choice to participate to the broad public.

Along the same lines as stakeholder groups, interest groups also may present hazards for true public participation in that individuals speaking for other individuals can never be purely representative. Two people sharing an interest in protecting the environment may both belong to the Sierra Club, but that doesn't mean that they both support a local housing development. The theory goes that no individual can be purely objective, everyone will always have their own best interest in mind, making representation extremely difficult. The idea of all-inclusive participation and self-governance is rooted in a theory introduced by Rousseau that focuses on each individual representing themselves in a political forum. In her 1997 article Diane Day summarizes Rousseau's theory, she writes, "*Rousseau's entire political theory hinges on the individual participation of each citizen in political decision making. Rousseau thought that the ideal situation for decision making was one in which no organized groups are present, just individuals, because the former might be able to make their particular wills prevail*" (Day, 1997, p. 424). Representative government and representation in stakeholder groups pose theoretical challenges to citizen involvement in community and regional planning.

UNFAMILIARITY WITH DEMOCRACY THEORY AND MODELS OF PLANNING

Planners and citizens may be unfamiliar with different theories underlying our nation's prevalent democratic processes. Existing democratic systems and models of planning can be barriers to meaningful citizen involvement in community and regional planning. Some forms of public participation are mediocre because of the existing widely accepted political constructs and practices of democracy. Diane Day writes, "*Beneath every participation program there lies a particular social theory, paradigm, or at least a set of assumptions concerning the need for intervention and the connection of citizen participation to the political system and the creation of social change*"

(Day, 1997, p. 422). The popular theories that guide most political systems are made up of laws and occupational mandates as described above, however every citizen and agency representative is responsible for either perpetuating or dismissing the existing systems.
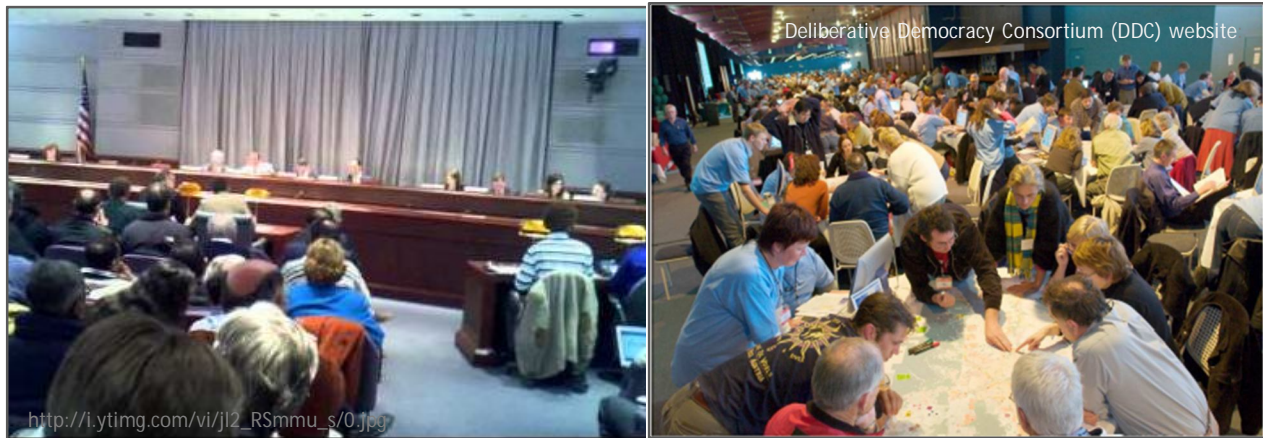
The difference between representative and participatory democracy and planning is illustrated above with the traditional public hearing (See photo above left) showing the representative system and the photo on the right illustrating a participatory system (See photo above right). Most state laws require public notices and public hearings in planning decisions and while those efforts do notify and somewhat include the public they are neither welcoming nor evident to all members of a community. The current local participation construct is evident in the places where public hearings are held. At the local level, most city and county governments have council chambers with elevated dais seats for the officials and strict time limits on public comment. Information may not be openly admitted or distributed and the information may be filled with legal jargon. Conventional approaches to public outreach may be established and therefore less expensive and more efficient however, if there is diminutive participation with the existing methods then there is little legitimacy in government and planning decisions.

A recent report by Tina Nabatchi and Cynthia Farrar reveals the prevalent unfamiliarity with deliberative democracy amongst state and federal legislatures and their inability to see the two systems as different (traditional public hearings vs. inclusive group deliberation). Nabatchi and Farrar's research goal was to explore what elected officials think about public deliberation, and what they ought to know to assess deliberation as a tool for governance. The study included twenty-four (24) interviews with state legislators (total of 11: 7 from Michigan and 4 from other states) and senior staff for federal legislators (total of 13-9 in the house and 4 in the Senate). Nabatchi and Farrar write, "*Only four [of 24] respondents had familiarity and/or experience with deliberation. The majority of those interviewed for this study did not know what public deliberation was, and even after explanation, had trouble understanding how this approach differs from what they already do to engage their constituents.*" (Nabatchi, 2011, p. ii). The results of the Nabatchi and Farrar study show an astonishing unfamiliarity with deliberative democracy in our nation's political leaders which is a barrier to challenging the status-quo of citizen involvement.

The existing American political constructs at all levels of government favor direct democracy over deliberative democracy. The terms are both related to public involvement in government decision making, however the distinction is in the approach. Deliberative democracy is concerned with discussion or deliberation of civic affairs inclusive of the general public or stakeholder groups and direct democracy describes various approaches to allow the public to propose laws or vote upon legislation and choose elected officials. Deliberative democracy requires facilitation and discussion rather than direct democracy which is generally a direct vote or legislative petition. Diane Day writes, "*Underlying the debate about the role and contribution of citizen participation is a more fundamental debate about representative and participatory democracy*" (Day, 1997, p. 422). Americans (Government officials and the public) are accustom to the national system (i.e. elections, initiative, referendum, recall) and may not be aware of the benefits of deliberative democracy or collaborative governance or may lack

the resources to implement or try a new system due to the other barriers listed above. Deliberative democracy and collaborative governance are used synonymously here-I am drawing a distinction that democracy as practiced in the United States is 'direct' or 'traditional' in contrast to 'deliberative democracy' and 'collaborative governance' which are the root theories for broad-scale public participation in community and regional planning.

MODELS OF PLANNING (TRADITIONAL VS. COLLABORATIVE)

Judith Innes and David Booher developed a table that compares ideas about the traditional theory of planning with a collaborative model of planning (See Table 4). Innes illustrates the difference between the current (traditional) system and introduces a collaborative model that is more welcoming to citizen involvement in planning. Collaborative governance is rooted in the theories that emerged in the 1970s of open-systems planning. Even though collaborative theories have been around for more than 40 years, the majority of governments still use traditional models of planning.

Innes and Booher's collaborative governance model draws attention to the difference in the 'public participation objective' between traditional and collaborative models. She states that the objective of traditional models is, "*Legal conformity, inform and educate, gain support of public for agency policies.*" Whereas the collaborative model aims to, "*create conditions for social learning and problem-solving capacity.*" (Innes, 2010, p. 202) The different objectives frame the barrier of the traditional model to involving citizens in quality dialogs, sharing responsibility and sharing power with citizens in making planning decisions. The two concepts of governance are compared in the table below (recreated for readability) by Judith Innes and David Booher (Innes, 2010, p. 202) (See Table 4)

TABLE 4: TRADITIONAL AND COLLABORATIVE GOVERNANCE

Ideas about traditional and collaborative governance (Innes, 2010, p. 202)		
Governance dimension	*Traditional governance*	*Collaborative governance*
Structure	Top down hierarchy	Interdependent network clusters
Source of direction	Central control	Distributed control
Boundary condition	Closed	Open
Organizational context	Single authority	Divided authority
Leadership approach	Directive	Generative
Role of manager	Organization controller	Mediator, process manager
Managerial tasks	Planning and guiding organizational processes	Guiding interactions, providing opportunity
Managerial activities	Planning, designing, and leading	Selecting agents and resources, influencing conditions
Goals	Clear with defined problems	Various and changing
Criterion of success	Attainment of goals of formal policy	Realization of collective action and conditions for future collaboration
Nature of planning	Linear	Nonlinear
Public participation objective	Legal conformity, inform and educate, gain support of public for agency policies	Create conditions for social learning and problem-solving capacity
Democratic legitimacy	Representative democracy	Deliberative democracy
Source of system behavior	Determined by component participant roles	Determined by interactions of participants

CITIZEN INVOLVEMENT IN OREGON

In Oregon the importance of citizen involvement in planning is recognized as *the* top priority, positioned as the number one state goal. A recent report by the Oregon Citizen Involvement Advisory Committee (CIAC) outlined five key factors that support citizen involvement in planning including: 1) Oregon state law requires it, 2) citizen input is needed for effective comprehensive planning, 3) participation educates and supports an informed public, 4) involvement fosters cooperation and reduces conflict and litigation, and 5) participation supports the proper enforcement of laws ((CIAC), May 2008, p. 3). The five factors mirror some of the important factors highlighted above with a focus on the state's regulatory framework and Goal 1: *Citizen Involvement.*

GOAL 1 OREGON ADMINISTRATIVE RULE (OAR)

Goal 1: *Citizen Involvement* is guided by the Oregon Administrative Rule (OAR) number 660-015-0000(1) on file with the Secretary of State. (Goal 1 Citizen Involvement OAR, 2012) The Goal 1 OAR is a blueprint for developing a Citizen Involvement Program (CIP). All cities and counties in Oregon are required to adopt and in some cases periodically review the community CIP. Throughout the late 1970s and early 1980s all cities and counties in Oregon adopted CIPs. However, most have not been reviewed or amended since. ((CIAC), May 2008, pp. 5-6) Mitch Rohse defines a CIP as: "*A program established by a city or county to ensure the extensive, ongoing involvement of local citizens in planning. Such programs are required by Goal 1: Citizen Involvement. They must contain or address six components set forth in Goal 1. CIPs are reviewed by LCDC and by CIAC. Changes to approved programs also must be reviewed by LCDC and CIAC.*" (Rohse, 1987, p. 58)

GOAL 1 FRAMEWORKS

Goal 1 is implemented through several agencies that can be categorized into two frameworks: State and Local. Essentially the state adopted the goals and the Land Conservation and Development Commission (LCDC) oversees the program and local jurisdictions (e.g. city and county governments) are in charge of the implementation and success of the goals through local comprehensive planning. (Rohse, 1987, p. 4) Figure 5 below illustrates the state framework for citizen involvement based on ((CIAC), May 2008, p. 14) Each organization in the framework plays a different role, further described below, and all organizations work simultaneously to implement Oregon's Goal 1: Citizen Involvement.

FIGURE 5: STATE CITIZEN INVOLVEMENT FRAMEWORK
Recreated and altered from: ((CIAC), May 2008, p. 14)
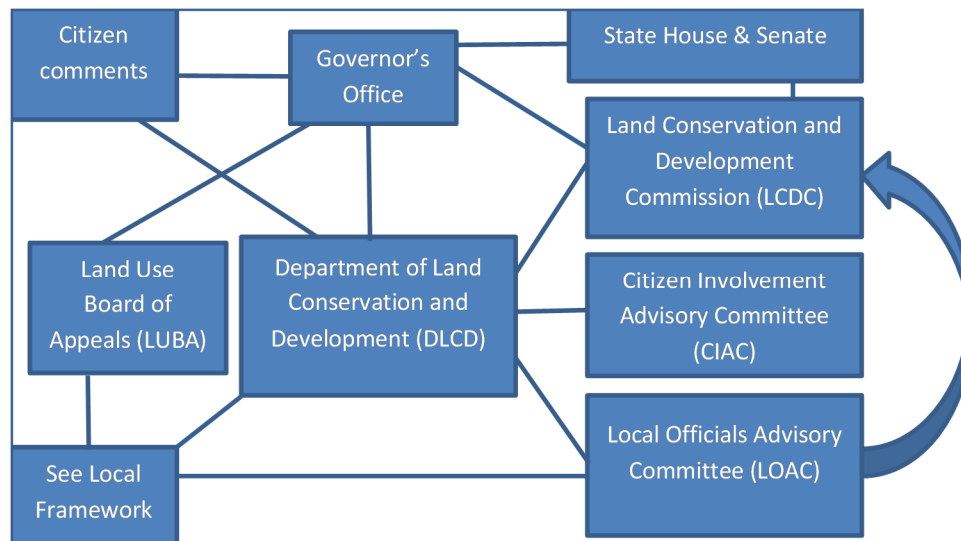
The key organizations in the state framework are described below with information including: 1) who is involved in the organization and what they do in regards to citizen involvement in Oregon planning. In the state framework for citizen involvement, the Governor's Office is influential in major statewide issues that affect local planning decisions. The Governor's interests translate into executive orders and legislation on issues spanning from education system reform to creation of the Oregon 'Regional Solution Centers.' More information about the Governor's Office can be found online at Oregon.gov website. URL: http://cms.oregon.gov/Gov/Pages/index.aspx.

Land Conservation and Development Commission (LCDC): The LCDC is comprised of seven (7) unpaid citizens that are appointed by the Governor and confirmed by the State Senate. The commissioners are selected from defined sub-regions of the state and must apply for the position through the Governor's Office. The commission was formed in 1973 and charged with policy and administrative oversight of the land-use planning program (nineteen statewide goals including Goal 1: Citizen Involvement).[2] The LCDC has formally adopted a Citizen Involvement Program (CIP) that acts as an example for cities and counties. ((CIAC), May 2008, p. 12) The Commission also developed the administrative rules that guide Goal 1, further described below. The LCDC holds monthly meetings, usually in Salem, that are open to the public.[3]

Department of Land Conservation and Development (DLCD): The DLCD is a state agency whose mission is, "*To help communities and citizens plan for, protect and improve the built and natural systems that provide a high quality of life. In partnership with citizens and local governments, we foster sustainable and vibrant communities and protect our natural resources legacy.*"[4] The DLCD houses the staff members that assist the Land Conservation and Development Commission (LCDC) described above, the Citizen Involvement Advisory Committee (CIAC) described below, and the Local Officials Advisory Committee (LOAC), described below. The four main DLCD staff roles related to citizen involvement are: 1) review proposals to amend acknowledged plans (including CIPs- Citizen Involvement Programs) to see that the proposed changes comply with Goal 1, 2) communicate information to the public, media, and local governments about statewide planning policies and programs, 3) help local governments run effective citizen involvement programs, and 4) provide staff and funding for the CIAC. ((CIAC), May 2008, p. 13) The DLCD staff support the three committees listed here and provide valuable information to citizens that wish to be involved in planning. Staff contacts are available online at the following link: http://cms.oregon.gov/LCD/Pages/index.aspx

Citizen Involvement Advisory Committee (CIAC): The CIAC has eight (8) volunteer members, one from each of Oregon´s five Congressional Districts and three chosen at-large. Committee members are appointed to four-year terms by the Land Conservation and Development Commission (LCDC). The "*CIAC is only an advisory body; it has no explicit or implied authority over any local government or state agency. It does not set policy nor review local land use plans or decisions. ORS 197 established the state´s Citizen Involvement Advisory Committee (CIAC) to advise LCDC and local governments on matters pertaining to citizen involvement.*"[5] In 2008, the CIAC published a helpful document titled "Putting the People in Planning" which was used to draft this report and background of Goal 1: Citizen Involvement. CIAC grants the annual STAR Award that recognizes organizations and individuals who are meaningfully involving citizens in local land use decisions and actively promoting and implementing the values of Goal 1.[6]

Local Officials Advisory Committee (LOAC): The LOAC is comprised of seven (7) local officials (i.e. city or county council members or commissioners) that are appointed by the Land Conservation and Development Commission

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[2] Howe, D. (2012). Land Conservation and Development Commission (LCDC). Retrieved September 10, 2012, from The Oregon Encyclopedia: http://www.oregonencyclopedia.org/entry/view/land_conservation_and_development_commission_lcdc_/

[3] Public Meetings. Land Conservation and Development Commission (LCDC) . Retrieved September 10, 2012, from Oregon.gov:. http://cms.oregon.gov/LCD/pages/meetings.aspx#lcdc

[4] Department of Land Conservation and Development (DLCD) . Retrieved September 10, 2012, from Oregon.gov:http://cms.oregon.gov/LCD/Pages/index.aspx

[5] Citizen Involvement Advisory Committee (CIAC). Retrieved September 10, 2012, from Oregon.gov: http://cms.oregon.gov/LCD/pages/citizeninvolvement.aspx

[6] STAR Award for Citizen Involvement. Retrieved September 21, 2012, from Oregon.gov: http://www.oregon.gov/LCD/pages/star_award.aspx

(LCDC). The LOAC was established in 1997 by ORS 197.165 to advise and assist the LCDC on policies and programs affecting local governments including Goal 1: *Citizen Involvement.*[7] LOAC members provide a voice for local elected officials to the LCDC who oversee the statewide planning program and goals.

Land Use Board of Appeals (LUBA): LUBA is comprised of three (3) members that are appointed by the Governor and confirmed by the state senate. Board members must be members of the Oregon State Bar.[8] LUBA hears appeals of local land use decisions made by local governments. The Board is a key link between the state and local citizen involvement frameworks. Citizens that wish to challenge a local land use decision may appeal to LUBA.

LOCAL FRAMEWORKS

Local citizen involvement frameworks vary. Each community or agency (i.e. "*those local governments, state and federal agencies and special districts which have programs, land ownerships, or responsibilities within the area included in the plan*"[9]) has a unique framework for citizen involvement. However, factors that are similar include the statewide requirement to designate a Committee for Citizen Involvement (CCI) and a Citizen Involvement Program (CIP). Figure 6 below provides an example of a municipal citizen involvement framework.

FIGURE 6: EXAMPLE LOCAL CITIZEN INVOLVEMENT FRAMEWORK
Recreated and altered from: ((CIAC), May 2008, p. 14)
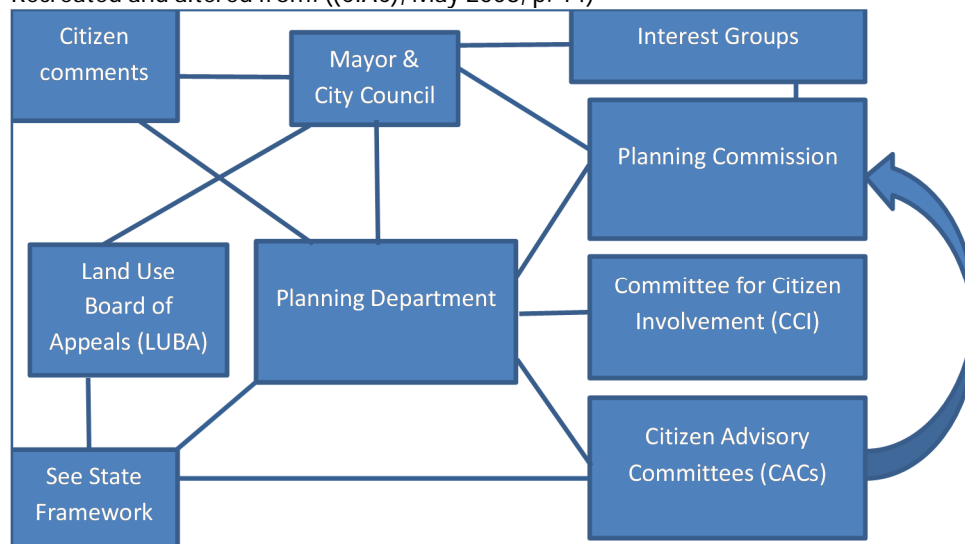
In order for Goal 1 to be effective, local jurisdictions (i.e. cities and counties) must implement the guiding principles of Goal 1. Implementation of the citizen involvement program requires the coordination of several local organizations, including the required Committee for Citizen Involvement (CCI). The key organizations in Figure 2 are described below with information including who is involved in the organization and what do they do in regards to citizen involvement in local planning.

Planning Commission: Goal 1: *Citizen Involvement* allows local jurisdictions to designate the Planning Commission (PC) as the Committee for Citizen Involvement (CCI) with certain requirements. ((CIAC), May 2008, pp. 8-9) The Planning Commissioners have major roles in the comprehensive planning process in that they advise the governing body (City or county council) on amending and enforcing the comprehensive plan. (Rohse, 1987, pp. 174-175)

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[7] Local Officials Advisory Committee (LOAC). Retrieved September 10, 2012, from Oregon.gov:
http://cms.oregon.gov/LCD/pages/localofficials.aspx
[8] Land Use Board of Appeals (LUBA). Retrieved September 12, 2012, from Oregon.gov: http://cms.oregon.gov/LUBA/Pages/about_us.aspx
[9] Oregon's Statewide Planning Goals & Guidelines. *Affected Governmental Units.* GOAL 2: LAND USE PLANNING. OAR 660-015-0000(2). Retrieved on September 14, 2012 from Oregon.gov: http://cms.oregon.gov/LCD/docs/goals/goal1.pdf.

Planning Department: Local planners play a key role in citizen involvement. Planners offer staff support (e.g. recommendations and technical information) to all the committees and decision making bodies. In Figure 2, the example illustrates the connections between the Planning Department and the following: Planning Commission, Committee for Citizen Involvement (CCI), Citizen Advisory Committees (CACs), and the Mayor & City Council.

Committee for Citizen Involvement (CCI): All cities (242) and counties (36) in Oregon are required to designate a Committee for Citizen Involvement (CCI). The CCI ensures that citizens are not forgotten in the planning process. "*The CCI plays a vital role in citizen involvement. It's a watchdog and an advocate for public participation in planning.*" ((CIAC), May 2008, p. 8) Goal 1 states the CCI's duty: to help the governing body develop, implement, and evaluate the local citizen involvement program. (Goal 1 Citizen Involvement OAR, 2012)

Citizen Advisory Committees (CACs): Citizen Advisory Committees (CACs) are not required by the state, but play a key role in local planning and citizen involvement. There is not a designated structure or number of members required for a CAC. CACs have four main types including: 1) Standing committees organized by geography (e.g. neighborhood group), 2) standing committees organized by function (e.g. parks advisory committee), 3) Temporary committees organized by geography (e.g. Main Street redesign committee), and 4) temporary committees organized by function (e.g. community Urban Growth Boundary (UGB) expansion committee). ((CIAC), May 2008, p. 10) According to ORS (Oregon Revised Statutes) § 197.763, "*Notice shall also be provided to any neighborhood or community organization recognized by the governing body.*"[10] The state requirement adds importance to organized citizens that form CACs in that the governing body must notify the group of local quasi-judicial land use hearings.

Interest Groups: State interest groups play a role in both state and local frameworks. On the planning topic of land use, the state of Oregon has several interest groups.[11] Each group offers citizens an opportunity to join the special interests of the organization and have a stronger voice in land use decisions.

GOAL 1 STATE LAW

Oregon state laws play a role in citizen involvement through case law, legal terms and Oregon Revised Statutes (ORS). One general theme that arose from the literature and survey is that the Goal 1 state law is both helpful and harmful in that it mandates public participation but provides only minimum standards and support for the mandate. The Citizen Involvement Advisory Committee (CIAC) report states that, "*Such laws try to strike a balance between two extremes: a closed planning system that gives citizens little or no access, and a wide-open system that provides unlimited and continuous access. Both extremes would be unfair and ineffective.*" ((CIAC), May 2008, p. 56). The CIAC report highlights the underlying planning conundrum of citizen involvement – that both extreme systems; 'no access' to decision making and 'all access' with no deadlines or final decisions are unfair and ineffective. To explain the state laws in relation to Goal 1: *Citizen Involvement*, the following topics are discussed below: 1) Land Use Appeal's process, 2) General legal terms and case law, 3) Measure 543, and 4) Strategic Lawsuits Against Public Participation (SLAPPs).

LAND USE APPEAL'S

Local government's make decisions regarding land use and comprehensive planning. Citizens have the right to appeal land use decisions made by planners and public officials. Mitch Rohse developed a figure that illustrates the steps in the State land use appeal's process (See Figure 7) (Rohse, 1987, p. 15). The ladder figure shows that after a planner has made a land use decision there are six opportunities for citizens to appeal the decision including: Hearings Officer, Planning Commission, City Council, Land Use Board of Appeals (LUBA), Court of Appeals, and the State Supreme Court. Citizens must raise their concerns at each of the opportunities for public comment in order to have standing at the higher levels of the appeal's process. Some planning decisions require

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[10] Conduct of local quasi-judicial land use hearings. Notice requirements and hearing procedures. Retrieved September 19, 2012, from Oregonlaws.org: http://www.oregonlaws.org/ors/197.763

[11] Oregon Topics: Land Use - Interest Group Resources. Retrieved September 19, 2012, from Oregon Blue Book: http://bluebook.state.or.us/topic/landuse/land03.htm

the approval of the Planning Commission and City Council therefore citizens may appeal directly to LUBA. Citizen involvement in planning is meant to mitigate appeals however the appeal's process is available if citizens wish to appeal a local planning decision.

FIGURE 7: THE APPEAL'S PROCESS
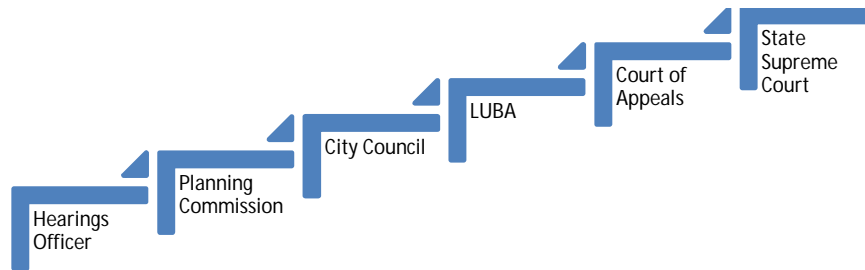
STATE LAW TERMS AND CASES

The CIAC writes, "*Statutory requirements for citizen involvement are minimums: they specify the least that may be done, not necessarily what should be done*" ((CIAC), May 2008, p. 29). The CIAC goes on to suggest five questions that jurisdictions should answer to determine whether or not to adopt a more comprehensive public participation plan versus just meeting the minimum standards. If the answer is 'yes' to most of the following questions then the CIAC recommends that jurisdictions adopt a more comprehensive public participation plan. ((CIAC), May 2008, p. 29). The five questions are as follows:

1. *Will the proposed planning action affect a large land area?*
2. *Will it affect many people?*
3. *Will it involve new issues not addressed by the plan or not familiar to the public?*
4. *Will it establish important new policies or precedents?*
5. *Will it involve issues that are likely to be controversial?*

Ideally, citizen involvement would be an integrated part of all planning decisions and consensus would prevail over appeals or law suits. However the appeals process is available for citizens that wish to appeal planning decisions. The Citizen Involvement Advisory Committee (CIAC) report states that, "*Such laws try to strike a balance between two extremes: a closed planning system that gives citizens little or no access, and a wide-open system that provides unlimited and continuous access. Both extremes would be unfair and ineffective.*" ((CIAC), May 2008, p. 56) Several state laws and terms affect the rights of governments and citizens in Oregon planning and I have summarized the terms in a table that provides a brief description, the corresponding laws, and references (See Appendix C).

MEASURE 543 PERIODIC REVIEW

Citizen Involvement Programs (CIPs) are reviewed with two methods for keeping plans up-to-date: the plan amendment process and the periodic review. In 1999 the state legislature adopted Measure 543 which reduced the frequency of the 'Periodic Review' of comprehensive plans in a number of local communities. Citizen Involvement Programs (CIPs) are attached to a communities comprehensive plan review as required by Goal 1: *Citizen Involvement* OAR. And updating the CIP is one way to focus government attention on citizen involvement and on community comprehensive plans. By reducing the frequency of periodic review; updates to the CIP are delayed for some Oregon Communities. According to a 1999 report, 129 cities are exempt from periodic review. The report states, "*SB 543 exempts most of the less populated jurisdictions from their current periodic review responsibilities. By exempting certain jurisdictions, the department's financial and staff resources can be allocated to assist those jurisdictions most in need.*" *Legislature chose to use the periodic review process principally to deal*

with the problems of managing or facilitating urban growth.[12] Although the measure was intended to focus on Oregon's Urban Growth Boundary (UGB) policies in the largest cities; the repercussions of the measure include a reduction in local government responsibility to update Citizen Involvement Program (CIPs) as part of the comprehensive plan. Mitch Rohse writes, "*Planning is an ongoing process, and developing a plan is only one part of the process. Keeping the plan up to date, interpreting it, and applying it are some of the other parts*" (Rohse, 1987, p. 6). Rohse draws attention to the importance of re-visiting plans, including CIPs. With the reduction in CIP updates, somewhat hindered by Measure 543, local policies and Citizen Involvement Programs (CIP) in Oregon may not be up-to-date.

SLAPPs (Strategic Lawsuits Against Public Participation)

A SLAPP is generally a lawsuit that is filed by a developer, landowner, or official against a citizen that spoke in opposition to a development or other planning issue. (Landman & Oregon Department of Justice, 1998, p. 2) A 1998 report commissioned by the Oregon Citizen Involvement Advisory Committee and Land Conservation and Development Commission states the following ways that individuals can protect themselves from SLAPPs.[13] The report states:

1. *Recognize the issues and participants that may spark a SLAPP suit*
2. *Recognize the difference between fact and opinion (you may not be sued for statements of opinion, but merely qualifying a statement as your 'opinion' will not transform a factual assertion into an opinion)*
3. *Check your insurance coverage for protection from personal injury lawsuits based on defamation, interference with contract. Etc.*
4. *Consider seeking legal advice before you speak out on a public issue* (Landman & Oregon Department of Justice, 1998, p. 8)

The above advice may assist citizens in protecting themselves from SLAPPs.   SLAPPs hinder citizen involvement in that individuals may not speak up in planning matters if the threat of lawsuits is imminent. In the late 1990s Oregon legislature reviewed a proposal (House Bill 2805) that would limit SLAPPs in Oregon that was drafted using model ordinances passed in other states. In May of 1999 the Oregon House of Representatives passed House Bill 2805 however it is unclear if the Bill passed in the Senate. (Landman & Oregon Department of Justice, 1998, p. 158)

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[12] Department of Land Conservation and Development, State of Oregon. *Understanding the New Periodic Review Process, Senate Bill 543.* Second printing October, 1999.

[13] This publication about SLAPPs (Strategic Lawsuits Against Public Participation) was prepared as a public service by the Oregon Department of Land Conservation and Development. For more information: 503-373-0050 ext 268. See online publication at: http://www.oregon.gov/LCD/pages/slappsuitsguide.aspx
How to Keep the People in Planning - A Legislative History of the Oregon Experience in Limiting SLAPPs

METHODS

LITERATURE REVIEW

This research stemmed from my personal desire to understand the fundamentals of public participation in community and regional planning and specifically in Oregon's statewide planning program including Goal 1: *Citizen Involvement*. I reviewed several sources on the topics of public participation or citizen involvement in the US and Oregon planning. My literature review began with the required text books assigned throughout my graduate experience at the University of Oregon. I then conducted online searches using Google.com, Amazon.com, and the University of Oregon's online library system and used the following search statements together and individually: "citizen involvement," "public involvement," "public participation," "citizen participation," and "planning," and "US," or "Oregon." I also used sources cited in the most recent publications that I reviewed and tried to limit my sources to those that were published in 2000 or after.

As part of the literature review I focused on public participation techniques for implementation of citizen involvement in planning. Overall I reviewed and compared 60 different public participation techniques (See Appendix A). Appendix A includes a brief description of the practices and the sources that correspond with each technique. The table of techniques is organized in simple alphabetical order and I recommend as further research the categorization of the practices to improve the organization and make the list more usable for planners. Appendix A also highlights the techniques used in the survey further described below.

SURVEY

The survey to Oregon planners was meant to discover which public participation techniques are being used in Oregon, and how planners feel about the effectiveness of the practices, and finally what are the key lessons that planners have gathered from their experience with public involvement in planning. I created an electronic survey with Qualtrics survey software available through the University of Oregon. I emailed the survey with a greeting and an explanation of the survey purpose on October 26, 2012 and requested completed surveys by November 9, 2012. In drafting the survey I requested feedback and made changes based on input from Richard Margerum, Bethany Steiner, Bob Parker, and the Oregon Citizen Involvement Advisory Committee (CIAC). The target participant population for the survey included members of the planning and public participation fields in Oregon. Participants were chosen because of their memberships in various list-serves that are associated with planning and public participation in Oregon including Oregon Planners Network (OPN), Oregon Planning Institute (OPI), and Cascade Chapter of the International Association of Public Participation (IAP2).

TECHNIQUE COMPARISON
I chose 21 public participation techniques for the survey from the original source (IAP2 Public Participation Toolbox, 2000-2004) that consists of approximately 30 techniques. I narrowed the number of techniques to 21 by combining the similar practices with one another and by removing some practices that are primarily used for informing the public versus techniques that bring people together or gather feedback from the public. The results of the Oregon survey are provided in the survey findings section of this report. The number of total survey participants is 76, however not every participant responded to every question. The survey questions are listed below.

SURVEY QUESTIONS
1. Have you been involved in designing or running citizen involvement efforts (workshop, open house, etc.) in community or regional planning? Total Responses: 76.
2. Which of the following organizations did you work for when you were designing or running citizen involvement efforts? (check all that apply) Federal or State Government, Local Government, Private Organization (including your own consulting firm), Non-Profit Organization, University, Other. Total Responses: 70.

3. In what region(s) in Oregon have you designed or implemented public participation efforts in community or regional planning? Using the map above, please select the region(s) where you designed or ran citizen involvement efforts (check all that apply) North Coast, Northeast, Portland Metro, Central, South Willamette Valley, SouthEast, SouthWest, Outside Oregon. Total Responses: 69.
4. Question asked in two blocks with a total of 21 public participation techniques. Which of the following public participation techniques have you used and how effective were they? Have you used this technique? Yes, No. Total Responses: 60-69.
   a. And compared to each other, how effective is each technique? More effective, Average, Less effective, Don't know. Total Responses: 35-69.
5. Based on your experiences, what are some of the most important "Lessons Learned" from the TECHNIQUES LISTED ABOVE that you have used? Open ended. Total Responses: 56.
6. Based on your experiences, what are some of the most important "Lessons Learned" from the OVERALL PUBLIC PARTICIPATION PROGRAM you have used? Open ended. Total Responses: 56.
7. Do you have any additional comments about citizen involvement in Oregon? Open ended. Total Responses: 42.

SURVEY WEAKNESSES

One weakness of the survey is that I created an open link that could be shared. This allowed me to distribute the link to list serve managers who then could forward the link to several people and maintain the individual's anonymity. However the open survey link causes two concerns: 1. I am not positive how many people received the survey link and thus I cannot provide the survey sample percentage, and 2. that individuals could take the survey more than once. If I had more time, I would have mailed or emailed all the planners in Oregon to increase the validity of the survey results with a specific audience and personal invitation.

There are several weaknesses with the 'effectiveness' comparison portion of the survey (See question 4a above). The first weakness is that the lower the number of respondents who have used the specific technique, the less knowledge they have about the practice and the lower the response rate. Second the definition of 'effectiveness' is subjective and could include a range of measures including the number of people that attended to the quality of the feedback from the participants of each technique. Third, it is difficult to compare the techniques to each other because not every respondent has used every technique. Lastly, I received feedback from the survey respondents that indicated confusion about this question. If I could do this survey again I would ask participants to simply rate the effectiveness of each technique as 'Very,' 'Somewhat,' or 'Not' effective and instead of 'Don't know' I would add 'Have not used.' I would also add a text box requesting the participants criteria used to rate the effectiveness to gain opinions on the definition of 'effectiveness' and increase ideas about performance measures for participation in planning.

OREGON SURVEY FINDINGS

The survey to Oregon planners was meant to discover which public participation techniques are being used in Oregon, and how planners feel about the effectiveness of the practices, and finally what are the key lessons that Oregon planners have gathered from their experience with public involvement in planning. The survey findings are focused around twenty-one public participation techniques, their effectiveness compared to one another, and the lessons learned from the responder's experience with designing or running citizen involvement efforts. Here I share the results of the survey under four headings including: Survey Participants, Participation techniques used in Oregon, Technique Effectiveness, and Lessons Learned.

SURVEY PARTICIPANTS

I received a total of 76 survey responses. Seventy-one (71) of the 76 respondents had designed or ran public participation efforts. I focused on the 71 responses in my survey results. The pie chart below reveals that the majority of respondents worked for Local, Federal or State government when designing or running citizen involvement efforts.

Which of the following organizations did you work for when you were designing or running citizen involvement efforts? (Check all that apply)
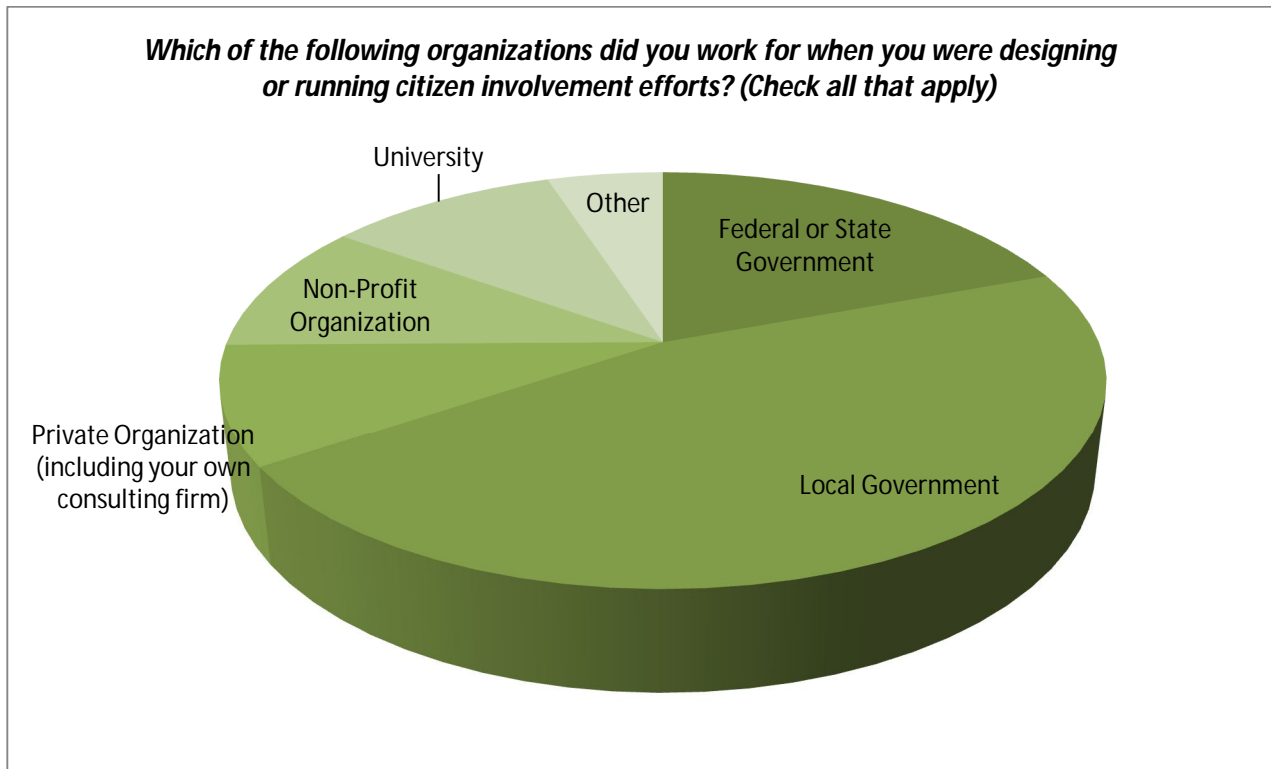
In order to learn more about the survey participants I also asked where they had designed or ran public participation efforts. The map and table below illustrate that the majority of respondents designed or ran citizen involvement efforts in the South Willamette Valley, South West, and Portland Metro regions. The participants were asked: *Using the map, please select the region(s) where you designed or ran citizen involvement efforts (check all that apply).*
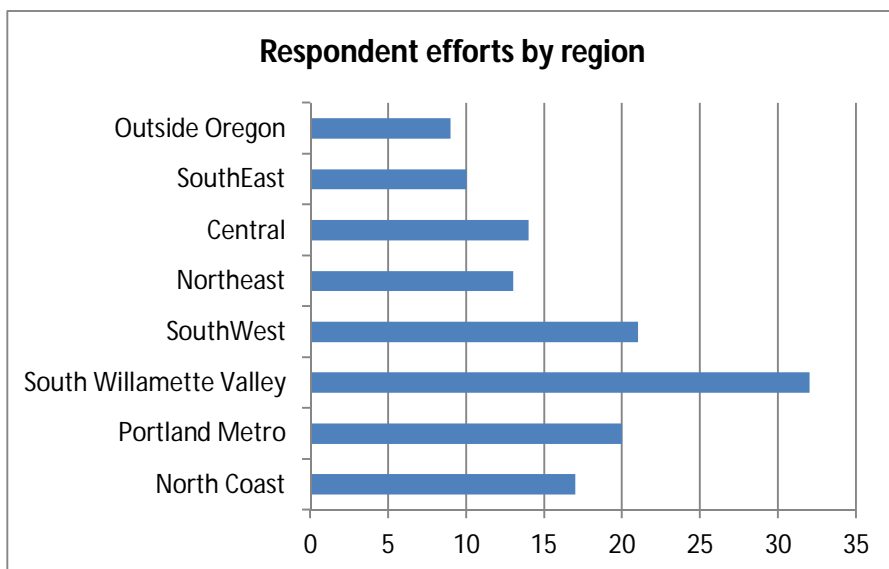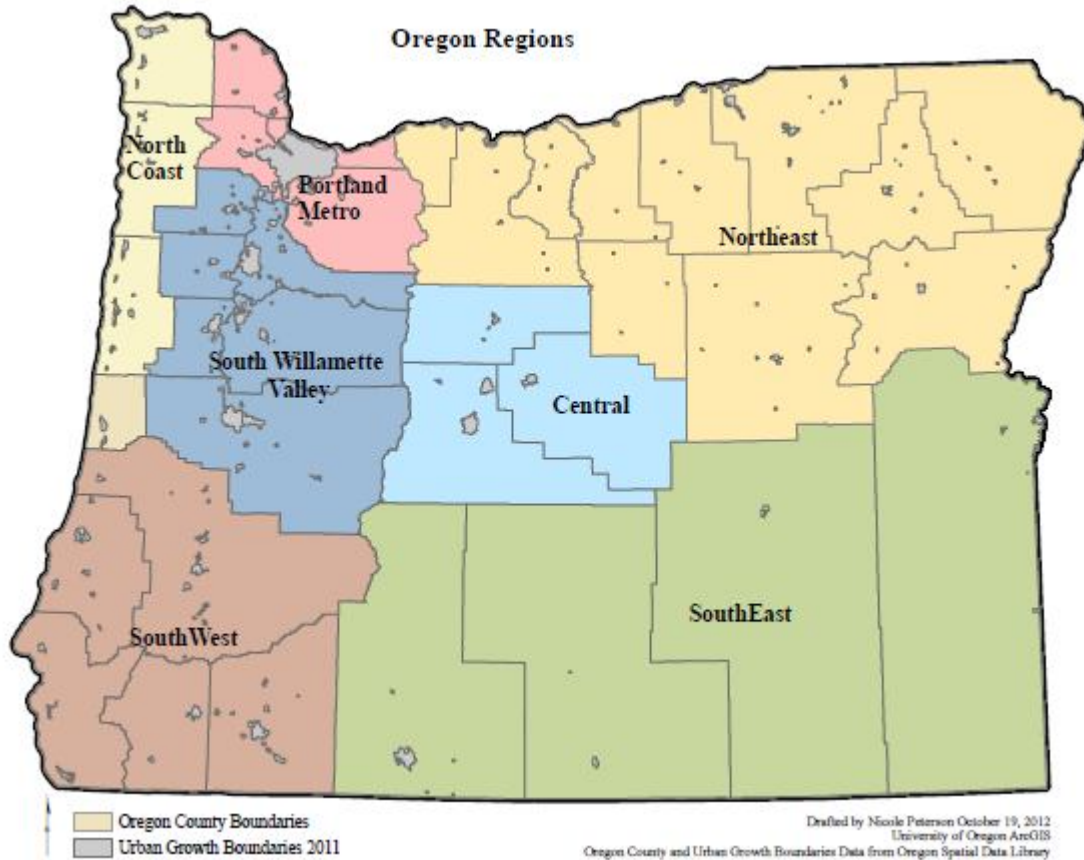
Participation techniques used in Oregon

Out of 21 public participation techniques, survey respondents were asked what practices they had used (See Table 4). Table four reveals the percentage of survey participants that used each technique categorized in five groups including 'Nearly Everyone Used,' 'Roughly ¾ Used,' 'About ½ Used,' 'Approximately 1/3 Used,' and 'Hardly Anyone Used.' The percentages are a result of dividing the number of survey responses that answered 'yes' that they had used the technique by the number of total survey participants that answered for each technique.

As shown in Table 4, three techniques were used by nearly everyone including public meeting or workshop (99%), open house (95%), and advisory group or task force (95%). Roughly ¾ of respondents have used 5 techniques including tour or site visit (88%), mailed survey (73%), symposium or panel (68%), charette (68%), and computer survey or poll (64%). About ½ of the respondents used the following techniques: responsiveness summary (51%), community facilitators (49%), deliberative dialog or search conference (48%), world café or study circle (44%), and kitchen table meeting (42%). Approximately 1/3 of respondents have used web-based meeting or blog (37%), appreciative inquiry team or citizen panel (34%), telephone survey or poll (31%), intercept survey (30%), and fishbowl forum (27%). Hardly anyone used the resident feedback register (14%), delphi process (8%), and wisdom council (0%).

Several questions arose from the results (See Table 4). Twenty-one (21) strategies were listed in the survey, yet only 9 of the 21 techniques are utilized by more than 50% of the survey respondents. Furthermore, this survey included only 21 of 60 techniques identified from a review of the literature (see Appendix A). The results of the survey reveal that planners are not utilizing many of the techniques compared in this study (See Table 4). However, further analysis revealed that most respondents support using a variety of public participation techniques to engage the public in planning (See Lessons Learned Section). This raises questions why so few public participation practices are being utilized and whether citizen involvement in Oregon can be improved with more and different techniques.

TABLE 4: TECHNIQUES USED BY SURVEY RESPONDENTS

Techniques Used by Survey Respondents		
Rank	**Technique**	**% Yes**
Nearly Everyone Used 95-99%	PUBLIC MEETING OR WORKSHOP (Organized meeting meant to inform the public with a presentation and gives an opportunity for questions and comments)	99%
	OPEN HOUSE (An open meeting that provides several information stations or exhibits that allows participants to tour at their own pace)	95%
	ADVISORY GROUP OR TASK FORCE (A group of stakeholders or experts meet and provide input into the planning process)	95%
Roughly ¾ Used 64-88%	TOUR OR SITE VISIT	88%
	MAILED SURVEY (mail-in survey or questionnaire)	73%
	SYMPOSIUM OR PANEL (meeting or conference where multiple speakers present different views about the issue or proposal)	68%
	CHARETTE (Session or workshop where participants design project features)	68%
	COMPUTER SURVEY OR POLL (Internet, email, or computer based survey)	64%
About ½ Used 42-51%	RESPONSIVENESS SUMMARY (A form of documentation that provides feedback to the public regarding comments received and how they are being incorporated)	51%
	COMMUNITY FACILITATORS (Use qualified individuals to conduct project outreach)	49%
	DELIBERATIVE DIALOGUE OR SEARCH CONFERENCE (Facilitated forum that brings people together to make choices, share information and seek common ground)	48%
	WORLD CAFE´ OR STUDY CIRCLE (Multiple small group conversations developed around an issue or predetermined questions)	44%
	KITCHEN TABLE MEETING (Small, informal meetings, usually at someone's home)	42%
Approximately 1/3 Used 27-37%	WEB-BASED MEETING OR BLOG (Meetings that occur via the internet where people can participate at different times or at the same time)	37%
	APPRECIATIVE INQUIRY TEAM or CITIZEN PANEL (A group of highly committed citizen participants are gathered to co-create the project or plan)	34%
	TELEPHONE SURVEY OR POLL (Phone interviews with standardized questionnaire)	31%
	INTERCEPT SURVEY (Surveyors attend community festivals or gatherings and ask people to participate)	30%
	FISHBOWL FORUM (Decision makers deliberate in an open forum or 'fishbowl')	27%
Hardly Anyone Used 0-14%	RESIDENT FEEDBACK REGISTER (Randomly selected database of residents created to give feedback throughout the duration of the project or proposal)	14%
	DELPHI PROCESS (Systematic mail or email questionnaires that are repeatedly sent until consensus is reached among participants)	8%
	WISDOM COUNCIL (Every 3-6 weeks, twelve members are randomly selected to meet and identify an issue, creatively and collaboratively reach a unanimous perspective and present back to the community)	0%
(Survey, 2012)		

TECHNIQUE EFFECTIVENESS

Survey participants were asked to compare two sets of techniques (one set with 10, and one set with 11) and state their opinion on the effectiveness of the technique as *More effective, Average, Less effective*, or *Don't know* in comparison to each other (See Table 5). Of the techniques that 'nearly everyone used' or 'roughly ¾ used' the *More Effective* techniques include advisory group or task force, tour or site visit and charette, and the *Average* techniques include public meeting or workshop, open house, mailed survey and symposium or panel. Table 5 reveals one weakness of this comparison which is that respondents that had not used all of the techniques could not rate the effectiveness of the techniques compared to one another. Therefore several of the techniques are rated as *Don't Know*. To counter this phenomenon, I have included the raw data from the results that show the ratings of the few respondents that have utilized the techniques in the 'Number of Responses' section in Table 5.

In Table 5 below the 'Effectiveness Rating' equals the effectiveness category (i.e. More effective, Average, Less effective, or Don't know) that was chosen by the highest number of respondents. The percent shown in parenthesis after the effectiveness rating equals the respondents who chose the effectiveness rating divided by the total number of survey respondents that answered the question (*n*).

TABLE 5: EFFECTIVENESS RATING OF TECHNIQUES

Effectiveness rating of techniques			Number of Responses				
Rate of Use	Technique	Effectiveness Rating*	More effective	Average	Less effective	Don't Know	Total (n)
Nearly Everyone Used	PUBLIC MEETING OR WORKSHOP	Average (59%)	19	**41**	7	2	69
	OPEN HOUSE	Average (49%)	17	**31**	14	1	63
	ADVISORY GROUP OR TASK FORCE	More Effective (49%)	**32**	25	4	4	65
Roughly 3/4 Used	TOUR OR SITE VISIT	More Effective (50%)	**30**	23	4	3	60
	MAILED SURVEY	Average (48%)	6	**27**	15	8	56
	SYMPOSIUM OR PANEL	Average (48%)	7	**24**	12	7	50
	CHARETTE	More Effective (62%)	**31**	10	2	7	50
	COMPUTER SURVEY OR POLL	Tie Average-Less Effective (30%)	10	**16**	**16**	11	53
About 1/2 Used	RESPONSIVENESS SUMMARY	Don't Know (33%)	15	12	8	**17**	52
	COMMUNITY FACILITATORS	Average (34%)	12	**15**	5	12	44
	DELIBERATIVE DIALOGUE OR SEARCH CONFERENCE	Don't Know (40%)	15	11	3	**19**	48
	WORLD CAFE´ OR STUDY CIRCLE	Don't Know (42%)	13	8	5	**19**	45
	KITCHEN TABLE MEETING	Don't Know (43%)	16	7	2	**19**	44
Approximately 1/3 Used	WEB-BASED MEETING OR BLOG	Don't Know (47%)	1	13	9	**20**	43
	APPRECIATIVE INQUIRY TEAM or CITIZEN PANEL	Don't Know (48%)	17	5	0	**20**	42
	TELEPHONE SURVEY OR POLL	Don't Know (50%)	5	11	3	**19**	38
	INTERCEPT SURVEY	Don't Know (54%)	4	8	7	**22**	41
	FISHBOWL FORUM	Don't Know (62%)	4	6	6	**26**	42
Hardly Anyone Used	RESIDENT FEEDBACK REGISTER	Don't Know (74%)	3	2	5	**28**	38
	DELPHI PROCESS	Don't Know (84%)	1	4	1	**31**	37
	WISDOM COUNCIL	Don't Know (97%)	0	0	1	**34**	35
						(Survey, 2012)	

LESSONS LEARNED

The following 5 themes were extracted from the open-ended questions in the survey. I used the following themes to develop my recommendations particularly for Oregon. The following themes overlap with both the recommendations from the Institute for Natural Resources report and the language of the Goal 1 OAR which are summarized in tables 6 and 7 with the corresponding sources in the 'Oregon Recommendation' section of this report. Themes that emerged from the open ended 'lessons learned' questions included:

1. Broad participation and equity in recruitment
2. Equity in sharing opinions
3. Inform the public with clear, unbiased information
4. Public influence on the decision
5. Utilize an array of public participation techniques

BROAD PARTICIPATION AND EQUITY IN RECRUITMENT

Respondents shared comments regarding the importance of engaging the entire affected community. Such as the cultural obstacles that are barriers to public involvement by minority communities. And that it is difficult to obtain a representative sample of a community with regard to demographic diversity (i.e. age, race, sex, income, etc.). Concerns were stated about advisory committee representation; both the equity in selecting members and the responsibilities of the committee members to their constituency instead of acting on personal goals. Responses suggested that outreach efforts ought to engage people other than the 'usual suspects.' The responses revealed that gaining broad participation and reaching all affected community members is an issue that requires attention.

EQUITY IN SHARING OPINIONS

Responses revealed several concerns regarding the individual participant equality in public engagement efforts in planning. One survey participant wrote, "*It is always difficult to keep a vocal minority from dominating the conversation.*" (Survey, 2012) Equity within public meetings was a prevalent concern regarding the weight of opinions in public forums. The issues are to make sure everyone has an opportunity to be heard and that everyone feels comfortable sharing thoughts and opinions without being attacked. Concerns were raised that certain individuals dominate the public forum for different reasons including that they are personally vocal and boisterous or particularly keen because they are paid professionals representing well- funded interest groups. Respondents urged that public engagement efforts ought to encourage open communication, active listening and an atmosphere where everyone feels comfortable to share their opinions.

INFORM THE PUBLIC WITH CLEAR, UNBIASED INFORMATION

The concerns regarding information can be categorized in three types including other languages, technical jargon and informed decisions. Concerns were raised about translating planning information from English into other languages to promote equity in public participation. Other comments encouraged the translation of technical concepts and legal jargon into understandable terms and comprehensible issues that promote honest education and public efficacy. The third concept is a combination of the first two with the additional issue of citizen empowerment in decision making. Respondents commented that citizens need clear, detailed, unbiased information with which to reach informed decisions on community issues. One survey respondent wrote, "*It is my belief that too often citizens are not presented with detailed, real information upon which to make decisions.*" The survey participants stressed the importance of clear, unbiased information in public participation in planning.

PUBLIC INFLUENCE ON THE DECISION

Survey participants stressed the importance of empowering the public and allowing the public opinions to influence community decision making. Respondents referenced both Arstein's Ladder of Participation (See Figure 1) and the IAP2 spectrum of participation (See Figure 8). Responses stated the importance of listening to the

public concerns and incorporating the opinions of the public in the community plans. One survey participant wrote, "*People need to be involved from the very beginning and have a genuine say in the design and implementation of the project for 'participation' to be meaningful.*" (Survey, 2012) Another participant shared concerns about placating to the public versus empowering citizens in the decision making process. Along the same lines as influence, survey responses urged the importance of recording public opinions and providing feedback to the public regarding how their opinions were incorporated in the decision making. Responses revealed respect for public views and support for allowing the public opinions to influence planning decisions.

UTILIZE AN ARRAY OF PUBLIC PARTICIPATION TECHNIQUES

An overwhelming number of respondents stated that agencies ought to utilize an array of public participation techniques. This may be because the survey was focused on a comparison of public participation techniques. However participants definitely supported the facilitation of adequate and broad opportunities for citizen involvement. One survey participant wrote, "*In a time of decreasing revenues, the investment in genuine and thoughtful governance, and the involvement of citizens in making the decisions which will impact our lives and our future, are more critical than ever. To not do so, to continue with old ways -- open house, council session feedback, etc. -- is short sighted. Oregon is poorer for it.*" (Survey, 2012) Participants mentioned using new techniques including technology such as the internet and GIS. Other comments stressed that planners ought to go to the public and experiment with different locations and times instead of uniform, traditional practices such as public hearings or open houses. The survey revealed awesome support for using a variety of public participation techniques to engage the public in planning.

US Department of Transportation

American Planning Association

American Planning Association

RECOMMENDATIONS

The planning profession was borne from citizen activism at the end of the nineteenth century yet today less than 20% of Americans say they have been engaged in planning. (American Planning Association, 2012, p. 3) Planning professionals with public policy have institutionalized the practice of public hearings to involve the public in planning. However public hearings and other commonly used efforts such as public meetings and open houses are viewed as mediocre or average in their effectiveness to include the public. So what can the ethical planner do to improve public involvement in community and regional planning? My recommendation to planners is to adopt a different process that moves public participation to the forefront of planning instead of an afterthought and that responds to the charge in our definition of community planning.

> "*Community planning is a process that seeks to engage all members of a community to create more prosperous, convenient, equitable, healthy and attractive places for present and future generations.*" (American Planning Association, 2012, p. 13)

Public participation is the core of the planning field and is important for a variety of reasons. The keys to implementing public participation in planning include understanding the barriers to implementing public participation programs, and overcoming them by focusing on the importance of including the public in planning, and ultimately changing the planning process to include the public. The following list is a reminder of the importance of public participation in planning:

- Public participation is a national ethical standard for professional planners
- Public involvement is the cornerstone of democracy and as such it is an essential part of American culture
- Including the public helps planners understand the social context of a community or region
- Citizen participation improves public projects and the quality of decisions through knowledge sharing
- Including the public in making value choices for the community is vital
- Governments and agencies can maintain and improve legitimacy in decisions and build trust between the government and community members
- Including the public can produce long-term citizen support for public projects
- Early public participation can prevent delays, fees, and frustration
- Adopting a public participation program can inform the public about community issues and facilitate quality public opinion
- Including the pubic in planning can enhance citizenship and participation
- Comprehensive public participation programs alance individual and community needs
- Governments and agencies can respond to complex problems and resolve community conflicts through collaboration and consensus
- Public participation in planning builds social capital and an ethic of mutual aid

PUBLIC PARTICIPATION PLANNING PROCESS

Based on my research I developed a public participation planning process to visualize and hopefully improve the implementation of public involvement in planning (See Figure 8). This recommendation is grounded in the important factors of public participation and in response to the barriers described in this report. The process figure below helps frame this research in the context of an overall process to implement citizen involvement in planning (See Figure 8). The recommended process is based on James Creighton's Stages of Public Participation Planning that introduced the top three general phases including decision analysis, process planning, and implementation planning (Creighton, 2005, p. 28). I altered Creighton's original figure to include 1) A reference to the International Association of Public Participation (IAP2) spectrum, 2) A reference to Patton and Sawicki's Policy Analysis Process (See Figure 9) and 3) An evaluation phase. The recommended public participation planning process has four stages including public participation analysis, process planning, technique implementation, and evaluation further described below (See Figure 8).

Public Participation Analysis
- Clarify the community or regional planning decision being made
- Choose the level of involvement and identify the goal of the program (See IAP2 Spectrum)
- Identify how the public opinions will be used in decision making and your promise to the public (See IAP2 Spectrum)

Process Planning
- Identify the internal and external decision makers based on the goal and the promise to the public
- Revisit and clarify the decision being made with all decision makers
- Specify the planning phases or decision-making steps and schedule

Technique Implementation
- Identify techniques to use at each planning phase or decision-making step in the process (Reference Appendix D for techniques)
- Link the techniques in an integrated plan
- Plan the implementation of individual public participation techniques and activities
- Develop performance objectives for each technique or the overall participation program

Evaluation
- Develop performance measures based on the goal and performance objectives
- Evaluate the public participation program based on the performance measures

International Association of Public Participation (IAP2) Spectrum
1) What level of involvement or empowerment do you expect from the public participation program or what is your 'goal'?
2) How will the opinions and concerns that are collected from the public be used in the decision making process or what is your 'promise to the public'

Inform
Goal: To provide the public with balanced and objective information to assist them in understanding the problem, alternatives and/or solution.

Promise to the Public: We will keep you informed.

Consult
Goal: To obtain public feedback on analysis, alternatives, and/or decisions.

Promise to the Public: We will keep you informed, listen to and acknowledge concerns, and provide feedback on how public input influenced the decisions.

Involve
Goal: To work directly with the public throughout the process to ensure that public issues are consistently understood and considered.

Promise to the Public: We will work with you to ensure that your concerns and issues are directly reflected in alternatives developed and provide feedback on how public input influenced the decision.

Collaborate
Goal: To partner with the public in each aspect of the decision including development of alternatives and the identification of the preferred solution.

Promise to the Public: We will look to you for direct advice and innovation in formulating solutions and incorporate your advice and recommendations into the decision to the maximum extent possible.

Empower
Goal: To place final decision-making in the hands of the public.

Promise to the Public: We will implement what you decide.

Public Participation Planning Process

Based on: (Creighton, 2005, p. 28), (IAP2 Public Participation Spectrum, 2000)

STAGE 1: PUBLIC PARTICIPATION ANALYSIS

The first stage in implementing public participation in planning is public participation analysis. Analysis ought to include general clarification of the planning decision and choosing the level of inclusion by referencing the Public Participation Spectrum created by the International Association of Public Participation (IAP2). The three steps in the public participation analysis stage include:

1. Clarify the community or regional planning decision being made
2. Choose the level of involvement and identify the goal of the program (See IAP2 Spectrum)
3. Identify how the public opinions will be used in decision making and your promise to the public (See IAP2 Spectrum)

In clarifying the planning decision being made some important questions ought to be addressed regarding the level of inclusion of the participation program. The Oregon Citizen Involvement Advisory Committee (CIAC) recommended the following questions. If the answer is 'yes' to most of the following questions then the CIAC recommends that jurisdictions adopt a more comprehensive public participation plan. The five questions are as follows:

1. *Will the proposed planning action affect a large land area?*
2. *Will it affect many people?*
3. *Will it involve new issues not addressed by the plan or not familiar to the public?*
4. *Will it establish important new policies or precedents?*
5. *Will it involve issues that are likely to be controversial?*
   ((CIAC), May 2008, p. 29)

The second and third steps in the public participation analysis stage are a reference to the IAP2 spectrum of public participation which affects every aspect of a citizen involvement program adopted by a government agency or organization (See Figure 8). The level of involvement will depend on the goal of the program whether it be to 'inform' or 'empower' the citizens or a variation of the levels at key points in the decision making. The figure below describes the levels of public impact in decision-making by comparing two important variables of a citizen involvement program including the 'goal,' and the 'promise to the public.' (IAP2, 2000). The fundamental questions that practitioners must ask themselves before implementing a public participation program are borne from the IAP2 figure including: 1) What level of involvement or empowerment do you expect from the public participation program or what is your 'goal'? And 2) How will the opinions and concerns that are collected from the public be used in the decision making process or what is your 'promise to the public'? The answers to the two questions will enable the decision makers and professional planners to contemplate the 'Goal' of the citizen involvement program and the 'Promise to the Public' that will ultimately steer the public participation program.

STAGE 2: PROCESS PLANNING

The second stage, process planning, includes three general steps however this stage hosts most of the barriers that are discussed above including resource and legal constraints, occupational mandates, technocracy, bureaucracy, and lack of respect for public opinion. Here is where policy and planning analysis meets the public. The reason that I attribute the barriers to this stage is because in Stage 1 you may adopt the goal to empower the public; however that commitment may be difficult to keep with the complex, traditional planning analysis process steps outlined below. This stage will take time and resources and may require that planners teach the public how to analyze data and interpret technical information and hire consultants that are skilled in public participation practice. Transparency and trust are key ingredients in this stage. My recommended three steps within the process planning phase include:

1. Identify the internal and external decision makers based on the goal and the promise to the public.
2. Revisit and clarify the decision begin made (See Figure 9).
3. Specify the planning phases and decision-making steps and schedule (See Figure 9).

The first step is to identify the internal and external decision makers based on the goal and the promise to the public from the public participation analysis stage. Second is to revisit and clarify the decision being made with all decision makers. The reason for revisiting the decision being made is that if the public is the ultimate decision maker, they may interpret and perceive different issues in the decision. The third step is to specify the planning phases or decision-making steps and schedule. All identified decision makers ought to be involved in steps 2 and 3 of the process planning to avoid confusion and delay in the process. One example of planning phases or steps is illustrated below (See Figure 8). In 'Basic Methods of Policy Analysis and Planning,' Patton and Sawicki explain the traditional policy and planning analysis process that is engrained in the profession (See Figure 9).

FIGURE 9: SIX PHASES OF THE POLICY AND PLANNING ANALYSIS PROCESS
(Patton, 1993, p. 53)
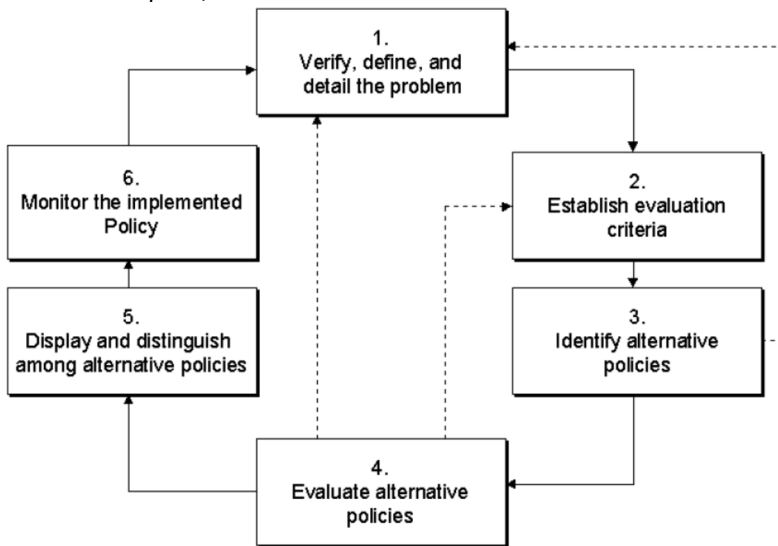
Traditional policy and planning analysis is heavily criticized in academic literature as highlighted in the background section of this report. However, the major criticism is not of the process steps themselves but rather that the public is not involved in the process. Therefore I recommend that traditional planning and policy making processes ought to incorporate the affected public in the phases and steps of the process and planners and policy makers ought to learn new public participation strategies and techniques to do this (See Appendix A). Keep in mind that the six process phases below are just the planning analysis side, without consideration for the level of public involvement chosen in stage one or the public participation techniques used to achieve the public's involvement- That is for you to decide based on your decisions in stage one and analysis of the techniques in Appendix A.

STEPS OF PLANNING PHASE 1: VERIFY, DEFINE AND DETAIL THE PROBLEM
The first planning phase is to verify, define and detail the problem or issue which includes the following seven general steps.

1. Think about the problem or issue
2. Delineate the boundaries of the issue
3. Develop a fact base
4. List goals and objectives
5. Identify the policy envelope
6. Display potential costs and benefits
7. Review the problem or issue statement
(Patton, 1993, pp. 147-185)

In the first three steps the decisions makers define the community issue or problem, delineate the boundaries of the issue, and develop a fact base. Here decision makers must think about the problem or issue and disclose their values, assumptions, and opinions regarding the definition of the issue. The decision makers must also delineate the boundaries of the issue by learning the historic context and agreeing on the geographic area affected by the issue and the decision making duration. Information gathering and quick analysis methods can be utilized to develop a fact base. However, the discussions and minutes of meetings are also valuable in developing a definition of the issue and creating an issue statement.

In steps four through six the decision makers together develop goals and objectives, identify the policy envelope and match the objectives with their respective potential costs and benefits. A goal is a broadly worded statement about what is desired in the long run (e.g. Graduate from the UO MCRP program). An objective is more focused statements about the goal that is linked to time and actions (e.g. Finish this paper and submit it by tomorrow). (Patton, 1993, p. 187). The policy envelope means the existing environmental factors that contribute to the success or failure of the project or proposal including political frameworks, occupational mandates, laws and regulations, the available time and resources, and the affected people and places. Step six combines the goals and objectives and the policy envelope and matches the issues or alternatives with the associated costs and benefits. Finally, step seven is a review of the problem or issue statement by asking the following questions: Has the problem or issue been stated in a way that will allow for action? Have enough insights been developed to give clues about possible alternatives?

STEPS OF PLANNING PHASE 2: ESTABLISH EVALUATION CRITERIA TO MEASURE ALTERNATIVES

Developing evaluation criteria is imperative to measuring or comparing the policy or plan alternatives. The types of criteria depend on the nature of the problem, the objectives identified in Phase 1, and the details of the policy or plan alternatives considered. Patton and Sawicki describe four general categories or types of criteria for a policy or planning alternatives.

Types of criteria to measure plan alternatives:
1. Technical feasibility – Does alternative meet the plan or policy goal and objectives?
2. Economic and financial possibility – What are the costs and benefits?
3. Political viability – Depends on the goal and promise to the public from Stage 1
4. Administrative operability – Is it feasible given existing resources?

The first type of criteria is under the category of technical feasibility which answers the following questions: Do the policy alternatives meet the objectives and have the intended effects? And are the effects direct or indirect, long-term or short-term, quantifiable or not, and adequate or inadequate? The second type of criteria is measuring economic and financial possibility which include costs (tangible-intangible) and benefits (direct- indirect). The third type of criteria is political viability which in this process context depends on the level of inclusion chosen in Stage 1 Public Participation Analysis. The political viability criteria are meant to measure the alternatives and outcomes in terms of impact on the public and relevant power groups such as decision makers, administrators, citizen coalitions, neighborhood groups, unions, schools etc. The political criteria include the general acceptability by the public, the appropriateness to public values, the responsiveness to public needs, legalities, and equity. Lastly, criteria can be developed under the category of administrative operability answering questions such as: Can the alternative be implemented given the existing staff, facilities, resources etc.? And will it be done on time? (Patton, 1993, pp. 186-226)

STEPS OF PLANNING PHASE 3: IDENTIFYING ALTERNATIVES

In identifying alternatives, the ideal is to consider all possible options, but this is seldom practicable. Patton and Sawicki write, "*Instead we seek to generate enough alternatives so there will be a choice among several good ones, but not evaluate in detail marginal alternatives.*" (Patton, 1993, p. 227) There are several methods for identifying alternatives including the following ten example methods given by Patton and Sawicki. One method is the No-action (status quo) analysis where decision makers inventory the current situation and generally consider what

happens if the situation or status quo is maintained. A second method is quick surveys which is accessing existing people through networks and gathering their opinions on the issue. A third method for identifying alternatives is a literature review of the academic journals, current news sources, magazines, online sources and other written sources that are related to the issue. A fourth method is comparison of real-world experiences where decision makers consider presidents and policies used else-where. The fifth method is passive collection and classification which happens when mandates or people in authority prohibit the organic, creative development of solutions and instead the authority tells the planner and/or public what choices are available. The sixth method is development of typologies that identify affected groups, identify their probable reactions to each alternative, and develop alternatives based on the perceived acceptability.

The seventh method for identifying alternatives is analogy, metaphor, and synectics in which the decision makers list the attributes of the problem or issue and identify corresponding analogies such as personal, direct, symbolic, or fantasy analogies. The eighth method is brainstorming which is broadly used but formally described as a process with four rules including: criticism is ruled out, free-wheeling is welcomed, quantity is wanted, and combination and improvement are sought. Other guidelines for brainstorming include: work as a large group, keep written record of all ideas, encourage people to contribute ideas even if they think their ideas are worthless, and focus on a specific problem. The ninth method is comparison with an ideal or vision and defining the problem or issue a vision for what the ideal would be. The final method that Patton and Sawicki describe is modifying existing solutions, plans or policies. Depending on the plan, project or policy issue and the resources available the decision makers may choose to use all or just a few of the ten methods. It is important to consider which methods are going to be used and then melding or incorporating the public participation techniques into a schedule and process for identifying alternative solutions to the problem. (Patton, 1993, pp. 227-256)

STEPS OF PLANNING PHASE 4: FORECAST EFFECTS OF ALTERNATIVE POLICIES AND COMPARE

There are two steps in phase four of the planning process including forecasting the project or policy impacts and comparing the technical, economic and political importance of the forecasted impacts. Patton and Sawicki's suggested methods for forecasting include extrapolative techniques which assume that the patterns that existed in the past will continue. The second method is theoretical forecasting which is generally a series of algebraic models that will estimate costs and benefits of alternative policies. The third suggested method is intuitive forecasting which is generally talking to people and sharing stories.

The second and final step in phase four is to compare the technical, economic, and political importance of the forecasted impacts. Some technical methods that Patton and Sawicki suggest for comparing the alternatives include: Discounting, three measures of efficiency, sensitivity analysis, allocation formulas- project score and weighting of alternatives, revisit quick decision analysis, political feasibility analysis (identify actors involved, beliefs and motivations, resources, effectiveness, and sites), and implementation analysis. (Patton, 1993, pp. 257-331) My recommendation to compare the alternatives is to use the evaluation criteria created in phase 2 and ask: Do we think the alternative will meet the criteria and how or why? Phase 4 and 5 are related in that they are formulating the alternative solutions to the problem or issue.

STEPS IN PLANNING PHASE 5: DISPLAY AND DISTINGUISH AMONG ALTERNATIVE POLICIES OR PLANS

Phase five consists of displaying the alternatives in a coherent manner so that informed decisions can be reached and then choosing an alternative based on the evaluation criteria in phase 2. Patton and Sawicki outline more methods for comparing and evaluating plans, policies, problems or issues that include various methods of ranking, scoring, weighting, rating, matrixes, and statistical regression. (Patton, 1993, pp. 332-361) In phase five the decision makers narrow the alternatives based on all the comparison and evaluation and choose a solution.

STEPS IN PLANNING PHASE 6: MONITOR AND IMPLEMENT POLICY

Phase six includes implementation of the selected solution, policy, plan or project and monitoring the effects after the plan has been implemented. (Patton, 1993, pp. 362-397) My recommendation for post implementation evaluation criteria is to start with the evaluation criteria created in phase 2 and ask the question: Does the policy, plan or project meet the criteria? As stated in the importance of public participation section of this report the

implementation of a plan, policy or project will proceed more efficiently with public support and the early inclusion of the public in the planning analysis process (See Figure 8).

STAGE 3: TECHNIQUE IMPLEMENTATION

Technique implementation is the third stage in the public participation planning process which includes four steps. The first step is to identify techniques to use at each planning phase or decision-making step in the process (Reference Appendix A for techniques). In step one the decision makers are matching the six planning process phases described above with the appropriate public participation techniques that are briefly described in Appendix A. Appendix A provides a general list of sixty techniques with short descriptions however detailed implementation of each technique will require further research by the planning team or a hired consultant. The second step is to link the techniques in an integrated plan. Next, plan the implementation of individual public participation techniques and activities. Finally, develop performance objectives for each technique or the overall participation program.

STAGE 4: EVALUATION

The final stage is evaluation of the public participation program. The historic and current trends of citizen involvement are difficult to measure because of the lack of evaluation criteria. Without clear performance measures and the rigorous reporting of measures over time, it is very difficult to decipher the trends or measure successful citizen involvement in planning. In this stage the planning team can develop performance measures based on the goal and performance objectives in order to evaluate the public participation program and improve performance over time. My recommendation is to include the public in defining and envisioning successful participation and forming indicators or measures of success that hold planners, public officials, and the public responsible for their respective roles in community planning. There are a variety of ways to evaluate a public participation program and a plethora of criteria to measure success. James Creighton displays the following best practices criteria that were developed by a team of British researchers on evaluation of public participation for an agency in the U.K. The following criteria are examples of what to measure when reviewing a public participation program (See Figure 10).

FIGURE 10: BEST PRACTICES CRITERIA

(Creighton, 2005, p. 216)

Criteria	Definition
Acceptance criteria	
Representativeness	The participants in the exercise should comprise a broadly representative sample of the affected populace.
Independence	The participation process should be conducted in an independent (unbiased) way.
Early involvement	The participants should be involved as early as possible in the process, as soon as value judgments become salient or relevant.
Influence	The output of the procedure should have a genuine impact on policy.
Transparency	The process should be transparent so that the relevant population can see what is going on and how decisions are being made.
Process criteria	
Resource accessibility	Participants should have access to the appropriate resources to enable them to successfully fulfill their brief.
Task definition	The nature and scope of the participation task should be clearly defined.
Structured decision making	The participation exercise should use or provide appropriate mechanisms for structuring and displaying the decision making.
Cost-effectiveness	The process should in some sense be cost-effective from the point of view of the sponsors.
Creighton states the original source: *Frewer, Row, Marsh, and Reynolds (2001).*	

OREGON RECOMMENDATIONS

Beyond the general recommended process described above, I have recommendations for Oregon that arose from my specific research regarding Goal 1: *Citizen Involvement* and public participation techniques in Oregon planning. Citizen involvement in Oregon planning is difficult to measure because of the lack of clear performance objectives and measures. Therefore my major recommendation is to create performance objectives and measures and evaluate the citizen involvement in Oregon Planning. Without clear performance measures and the rigorous reporting over time it is impossible to know if citizen involvement in Oregon planning is improving or getting worse. Ultimately, the performance measures are going to reflect the goals and objectives of the Citizen Involvement Programs (CIPs) implemented by cities and counties in Oregon. The language of Goal 1: *Citizen Involvement* Oregon Administrative Rule (OAR) presents several objectives for citizen participation in Oregon planning however, there are several undefined terms within the Goal 1 OAR and it does not directly mention the level of involvement as illustrated in the recommended public participation process (See Figure 8). In tables 5 and 6 below I recommend performance objectives and survey questions to Oregon cities, counties and citizens that are meant to assist with formulating measures of citizen involvement in Oregon planning.

SIX COMPONENTS OF GOAL 1 OAR

Any evaluation of citizen involvement in Oregon ought to begin with the minimum requirements set forth in Goal 1 OAR. The INR study referenced that performance measures ought to relate to the six components of Goal 1 stated in the OAR. The report states, "*It was suggested that any evaluation process formulate evaluation questions and establish appropriate measures in accordance to the six subcomponents of the goal. So for instance, an evaluation of communication would need to examine whether there was a communications strategy, how frequently citizens received information or communications related to planning, whether communications were two-way (that involving listening as well as imparting information), and how communications from citizens were responded to or utilized in planning and land use decision-making processes.* (Institute for Natural Resources (INR), 2008, p. 29) My assessment of the Goal 1 OAR language and the corresponding performance measures are summarized in the tables below.

SIX 'PHASES OF PLANNING'

There are three different interpretations of the 'phases of planning' that ought to be reviewed and revised for clarification. The INR report recommends that performance measures ought to correlate with the variety of planning processes. The report states, "*Any evaluation approach for citizen involvement must recognize the variety of planning processes that exist and establish metrics appropriate for these processes. For example, short-range (land use hearings) and long-term (comprehensive plan update) planning require different levels and depth of participation. Furthermore, our expectations for levels of citizen involvement vary across stages in the planning process, namely plan formulation, plan implementation, and plan review.*" (Institute for Natural Resources (INR), 2008, p. 29) The report is referencing known and familiar planning processes such as land use hearings and comprehensive plan updates however the state Goal 1 and Goal 2 requirements describe broader 'phases of planning.' The 'phases of planning' ought to be defined to reduce confusion over Goal 1 requirements and the main objective of Goal 1.

Tables 6 and 7 below include survey questions and performance objectives that can be used to assess performance and evaluate citizen involvement in Oregon. I compiled two tables below that summarize the overlapping language from Goal 1 OAR with two other sources including the response themes from the Oregon survey and the INR report recommendations (See Appendix B for details). The tables are developed from three primary sources including the Goal 1 OAR language (Goal 1 Citizen Involvement OAR, 2012), my survey to Oregon professionals (Survey, 2012), and performance measures recommended in the INR report (Institute for Natural Resources (INR), 2008, p. 28). These performance criteria are linked to questions that could form the basis for a qualitative assessment of citizen involvement in Oregon planning.

TABLE 6: SURVEY TO CITIES AND COUNTIES

Survey to cities and counties (Drafted as an annual survey)		
Performance Objective	**Survey Question(s)**	**Source(s)**
Adopt and review the Citizen Involvement Program (CIP) required by Goal 1 OAR	Do you have a Citizen Involvement Program (CIP) as required by Goal 1: *Citizen Involvement*? Is it available to the public? When was the last time you reviewed or revised it?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Utilize an array of public participation techniques	What techniques did you use to involve the public in planning this past year and for what planning issues or cases? How frequently did you use each technique (number of times in the past year, Jan-Dec)? (Recommend to include a list of techniques with reference to Appendix A: Techniques Comparison) Are the techniques, procedures or mechanisms that you used described in the CIP?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Inform the public about Oregon planning	Is the public able to reach a decision on the issue with the information provided? Is the information presented to the public understandable to everyone? (translated both from English and from legalese or technical jargon) How are staff members trained to translate technical information to the public? How are staff members trained to translate information into different languages? Is the following technical information available at the public library or other public location? "Technical information: energy, natural environment, political, legal, economic, social, and places of cultural significance" (Goal 1 Citizen Involvement OAR, 2012) – (Recommend to further describe the technical information)	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Coordinate planning efforts with other governing bodies, agencies and organizations	How do you coordinate planning efforts with other Federal, state and regional agencies, special-purpose districts, citizen interest groups and school districts? How are other organization's comments incorporated into the decision making?	(Goal 1 Citizen Involvement OAR, 2012)
Gain broad or widespread participation	How many community members participated in planning decisions and/or public participation forums this past year? And what percent is that of the estimated total city/county population? Are public participants both demographically (e.g. location, income, age, race, sex) diverse and diverse in their individual interests?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Promote citizen involvement in planning	How many notices were sent out this past year? How do planning documents and processes promote and enhance citizen involvement? What media sources are utilized to share information and gain feedback from the public?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Provide the opportunity	Are citizens involved in all phases of the planning process?	(Goal 1 Citizen

for citizens to be involved in all phases of the planning process	(Recommend to clarify and define the 'phases of the planning process')	Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Provide feedback to the public about their comments and their influence on the decision	How are the public's comments incorporated into the decision making? (Recommend to reference the IAP2 Public Participation Spectrum) How do you provide responses to citizens who participate in public decisions? What is your process for quantifying and synthesizing citizens' attitudes and how are your methods reported to the general public? How is your rationale or 'findings' for land-use policy decisions recorded and available to the public?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Utilize Committee for Citizen Involvement (CCI) or Citizen Advisory Committees (CAC)	Do you have a CCI? Did you commission a CAC this past year? How was the CCI/CAC recruitment process publicized? Are committee members notified of their responsibilities to their constituency and in effect acting appropriately on behalf of the constituency? Was the CCI or CAC involved in designing the public engagement process?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Ensure adequate funding for the Citizen Involvement Program (CIP)	Do you allocate funding to citizen involvement (both paid staff time and money)? If yes, how much paid time and money annually? Is it adequate to meet all of the above goals or performance measures?	(Goal 1 Citizen Involvement OAR, 2012)
Equity in participation and weight of opinions	Are all affected citizens equally included and given the opportunity to speak at public forums or provide written comments about planning issues? Do interest groups and/or individuals dominate the public forums?	(Survey, 2012)
Build relationships and trust	Did the public participation efforts build relationships and trust?	(Survey, 2012)
Map the locations and track times of citizen involvement opportunities	Do you keep a record of the locations and track times and dates of your citizen involvement efforts?	(Survey, 2012)

TABLE 7: SURVEY TO PUBLIC PARTICIPANTS

Survey to the public (Drafted as an annual survey)		
Performance Measure/ Goal	**Survey Question(s)**	**Source(s)**
Adopt and review the Citizen Involvement Program (CIP) required by Goal 1 OAR	Have you ever reviewed your city/county Citizen Involvement Program (CIP) as required by Goal 1: *Citizen Involvement*? If yes, where did you find it?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)

Utilize an array of public participation techniques	What techniques are you familiar with and have you participated in? (Recommend to include a list of techniques with reference to Appendix A: Techniques Comparison) What techniques would you be most likely to participate in?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Inform the public about Oregon planning	Did you understand all the information provided? Were you able to reach a decision on the issue with the information provided? What additional information would you like? Are you familiar with the state and local land use planning goals?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Gain broad or widespread participation	To collect information regarding the diversity of participation: Where do you live (intersection, neighborhood, or region)? What is your annual household income? How old are you? What is your race? What is your gender? What are your community planning interests?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Promote citizen involvement in planning	Have you received a public notice or invitation to participate in planning this past year? How were you notified (Mail, email, website, etc.)? How would you rate the city/county's efforts in fostering citizen participation in planning? (provide scale 1-10 or High, medium, low, etc.)	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Provide feedback to the public about their comments and their influence on the decision	Were you notified of how your comments were incorporated into the decision making? (Recommend to reference the IAP2 Public Participation Spectrum) After you participated in a planning forum or decision, did you receive a response from the agency or government that held the forum?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Utilize Committee for Citizen Involvement (CCI) or Citizen Advisory Committees (CAC)	Have you ever served on a Committee for Citizen Involvement (CCI) or Citizen Advisory Committee (CAC)? If yes, which one and how many times? How did you find out about the CCI or CAC? Were you notified of your responsibilities to your constituency and in effect acting appropriately on behalf of the constituency? Were you involved in designing public engagement processes?	(Goal 1 Citizen Involvement OAR, 2012), (Institute for Natural Resources (INR), 2008), (Survey, 2012)
Equity in participation and weight of opinions	Did you feel that you were heard and that you had the opportunity to speak at public forums or provide written comments about planning issues?	(Survey, 2012)
Build relationships and trust	Did you build relationships and trust with your neighbors as a result of this public forum? Did you build relationships and trust with your government officials as a result of this public forum? How would you rate your trust in the city/county government (provide scale 1-10 or High, medium, low, etc.)?	(Survey, 2012)

FURTHER RESEARCH

In conclusion I propose further research on classifying public participation techniques. I would like to conduct further research that answers the question: What techniques ought to be used in the different stages of the public participation planning process? In order to answer the question I would first develop the list of public participation techniques. I have created a list of techniques in Appendix A however it is not a comprehensive list and could be expanded to include web-based community design programs and Public Participation GIS (PPGIS). There are several different ways to categorize the techniques such as typologies according to the levels of involvement as illustrated in the IAP2 spectrum embedded in Figure 8. The IAP2 suggests different techniques for the different levels however the list is short and does not recommend associations between the techniques and how to develop a comprehensive program. Another way to categorize the techniques would be to differentiate them by whether they foster group deliberation or individual deliberation of planning issues. A third way to distinguish the techniques is to sort by whether they support broad participation vs. small group or committee representation. Another very practical and helpful way to sort the techniques would be by estimated time and monetary costs. One final way to classify the techniques is to develop the different 'planning efforts' or 'phases of the planning process' and align the lists to recommend techniques for the various planning efforts or phases of planning. The final suggestion is perhaps the most complex in that different jurisdictions operate differently. However, a series of case studies that experiment within local or regional planning departments or agencies could offer helpful insight into improving public participation in planning.

APPENDIX A: TECHNIQUES COMPARISON

*Highlighted techniques were compared in the survey to Oregon planners.

TECHNIQUE	DESCRIPTION	SOURCE
ADVISORY COMMITTEE, FOCUS GROUP, OR TASK FORCE	A group of representative stakeholders or experts meet to provide public input to the planning process	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p.103, 113, 133
APPRECIATIVE INQUIRY TEAM or CITIZEN PANEL	A group of highly committed citizen participants are gathered to co-create the project or plan or give a formal recommendation to decision makers. "Multiday events that are designed to bring about whole system change." Creighton	IAP2 Toolbox 2004 & 2006, Jefferson Center Citizen Jury™ http://jefferson-center.org/ , Creighton, 2005, p. 103
BENEFICIARY ASSESSMENT	Consultative methodology used by agencies to ensure that project beneficiaries, including the poor and those lacking political power, can provide insights on how a project will affect them. Techniques used include a kind of conversational interview, focus group discussions, and participant observation. SARAR (Self-esteem, associative strength, resourcefulness, action planning, and responsibility)	Creighton, 2005, p. 104, SARAR p. 132
BILL STUFFER	Information flyer included with monthly utility bill. May also include a tabloid or survey.	IAP2 Toolbox, 2004 & 2006
BLEIKER CONSENT-BUILDING	Methodology to Public Involvement - "You won't learn how to do more public-involvement... but how to do it differently and effectively. We will teach you how to be objectives-driven rather than techniques-driven."	Institute for Participatory Management and Planning: http://www.ipmp.com/
BRIEFINGS	Use regular meetings of social and civic clubs and organizations to provide an opportunity to inform and educate. "A way of keeping key elected officials, agencies, or key interest groups informed. They often lead to 2-way communication."	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 90, 100
CENTRAL INFORMATION CONTACT, TECHNICAL INFO CONTACT, OR INFO HOT LINE	Identify designated contacts for the public and media; Providing access to technical expertise; Or provide info and obtain feedback through a hotline	IAP2 Toolbox, 2004, Creighton, 2005
CHARETTE	Session or workshop where participants design project features. "An intense effort that lasts for several days to solve a problem or come up with a design in a limited time. It is focused on a single issue or issues, such as designing a building or planning a neighborhood."	IAP2 Toolbox 2004 & 2006, Creighton, 2005, p. 105
COLLABORATION	Collaboration is a process with multiple stakeholders that identify a common mission and engage in activities designed to achieve the common mission	Julian, 1994

COLLABORATION	"Collaboration is an approach to solving complex problems in which a diverse group of autonomous stakeholders deliberates to build consensus and develop networks for translating consensus into results" p. 6. Implementation steps and assessment factors: Convene: 1) supportive context in community and interest in the problem, 2) legitimate broker to initiate collaborative, 3) selection and structuring of stakeholders, and 4) an attractive forum for problem solving with adequate time and resources (p.54-81); Deliberation and participation: 1) facilitated process of consensus building, 2) open communication, 3) conflict management, 4) broad public involvement; High-quality plans or products: 1) clear goals and objectives, 2) plan communication, 3) shared high-quality fact base, 4) sound intervention strategy (p. 124-139); Sustainability: 1) effective leadership and capacity, 2) stable staffing and participation, 3) information, data, and scientific capacity, 4) ongoing commitment by stakeholders and their organizations and 5) external pressures that maintain participation (p.154-170)	(Margerum, 2011)
COLLABORATIVE GOVERNANCE	Booher: Combines traditional government processes with emerging forms of collaboration and public participation meant to tackle complex and controversial public policy issues. Key factors: 1. Emphasis on diversity and interdependence 2. Processes that support dialog and deliberation 3. The building of trust and ongoing capacity to collaborate in the face of continuing uncertainty and change 4. The search for solutions that embody good outcomes for the public. Ansell and Gash: "Collaborative governance is an arrangement where one or more public agencies directly engage non-state stakeholders in a collective decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets." (Ansell, p. 2) Key features: forum is formally organized and meets collectively, forum aims to make decisions by consensus, focus of collaboration is on public policy or public management	(Booher, 2004 p.32), Ansell and Gash, 2007
COLLABORATIVE NETWORK STRUCTURES	Collaborative network structures are sustainable systems meant to accomplish more alignment among community needs, strategies of service agencies, priority outcomes and resource allocation. 1) a specific time frame, 2) sponsorship from a facilitative leader, 3) a small but committed project staff 4) vertical links to the funding agency, 5) a common mission, 6) unique structural arrangement outside traditional hierarchies - there is no one in charge	(Booher, 2004 p. 38)

COLLABORATIVE PLANNING	"Collaborative planning seeks to bring together major stakeholders to address controversial issues and build consensus rather than use majority rule." (Margerum, 2002, p. 179). 7 criteria: 1) include full range of stakeholders, 2) include public participation and involvement, 3) support and facilitate the process, 4) establish a common problem definition of shared task, 5) organize the process in terms of ground rules, agendas, etc., 6) engage participants, jointly search information and invent new options, 7) reach agreement through consensus	Margerum, 2002
COMMUNITY FACILITATORS	Use qualified individuals in local community organizations to conduct project outreach	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 111 and Chapter Ten
COMMUNITY FAIRS OR MEETINGS WITH EXISTING GROUPS	Small meetings with existing groups or in conjunction with another event - inform and/or gather feedback through an 'intercept survey'	IAP2 Toolbox, 2004
COMMUNITY VISIONING	"Community visioning is a process where members of a community build consensus on a description of the community's desired future and on actions to help make goals for the future a reality." Factors: 1)Assessment to determine if resources are available and there is appropriate community interest and support, 2) Organization of process to gain broad-based participation, 3) Gather information and educate public about the process and key issues, 4) Dialog to turn ideas into goals and actions, 5) Implementation including report, responsibilities, and monitor (e.g. indicators)	(Booher, 2004 p. 36-37), Creighton, 2005, p. 133-134
COMPUTER SURVEY OR POLL	Internet, email, or computer based survey	IAP2 Toolbox, 2004 & 2006
COMPUTER-AIDED NEGOTIATION	Computer modeling as a tool used during workshops. Focuses on providing the information in a manner that empowers decision makers to understand their own resources better and gain a better understanding of how problems could be solved. Stakeholders identify their own performance measures to evaluate which alternative strategies are better. (ex. Water - STELLA, GIS, INDEX etc.) See Multiattribute Utility Analysis (MAUA) - value decisions and weighting. Creighton, p. 121-122	Creighton, 2005, p. 108
CONSENSUS BUILDING APPROACH (CBA)	Consensus Building Approach (CBA) is an approach to negotiated decision making through consensual means utilizing five steps (Pgs 18-19) or Consensus building is a way for a group or organization to reach a nearly unanimous agreement, and then implement that agreement successfully (p. 3) and Consensus is when judgment is reached by most of those concerned or group solidarity in sentiment and belief (p. 19). CBA five steps: 1) Convening, 2) Assigning roles and responsibilities, 3) Facilitating group problem solving, 4) Reaching agreement, 5) Holding people to their commitments	Susskind and Cruikshank, 2006

CONSENSUS BUILDING TECHNIQUES	Concensus building is a process where stakeholders build consensus on actions to address specific public policy problems (Booher, p.36). Techniques for building consensus on project decisions such as criteria and alternative selection. Often used with advisory committees. Techniques include Delphi, nominal group technique, public value assessment and many others. Booher: 8 conditions for success: 1) Inclusion of a full range of stakeholders, 2) A task that is meaningful to the participants, 3) Participants who established their own ground rules for behavior, agenda setting, making decisions, and many other topics, 4) A process that begins with mutual understanding of interests and avoids positional bargaining, 5) A dialogue where all are heard, respected, and equally able to participate, 6) A self-organizing process that is unconstrained by conveners in its time or content and that permits the status quo and all assumptions to be questioned, 7) Information that is accessible and fully shared among participants, 8) An understanding that consensus is reached only when all interests have been explored and every effort has been made to satisfy these	IAP2 Toolbox, 2004, Booher, 2004 p. 36, Creighton, 2005, pp. 108-109
CONSENSUS RULE MAKING	Consensus rule making was formalized in 1990 by the Negotiated Rulemaking Act allowing agency and interest-group representatives to negotiate directly with each other designed to encourage exchange of information among interested stakeholders in search of creative approaches that meet the needs of all stakeholders. The key to gaining participation of all the stakeholders and to the success of the process was negotiating ground rules to prevent efforts to circumvent an agreement (p. 38)	(Booher, 2004 p.38)
DELIBERATION	Deliberation is an approach to facilitating group problem solving (p. 86). organizationDeliberation 8 steps: 1. Pursue deliberations in a nonjudgmental fashion 2. Separate inventing from committing by allowing people to speak about their ideas without formally committing to an idea or plan 3. Create subcommittees and seek expert input when appropriate 4. Use a single-text procedure where the facilitator pulls together the main ideas from subcommittees to create a single-text document 5. Modify the agenda and ground rules as necessary 6. Set a hard deadline for ending deliberations 7. Build on prior relationships 8. Emphasize mutual gaingroup	Susskind and Cruikshank, 2006
DELIBERATIVE DIALOGUE OR FUTURE SEARCH CONFERENCE	Facilitated forum that brings people together to make choices, share information and seek common ground. "People tell stories about their past, present and desired future. Through dialogue they discover their common ground. Only then do they make concrete action plans."	IAP2 Toolbox, 2006; Weeks, 2000; Future Search The Method, http://www.futuresearch.net/method/whatis/index.cfm, Creighton, 2005, p. 103, 116

DELIBERATIVE ENGAGEMENT OR 21ST CENTURY TOWN MEETING	America Speaks model (seven principles for process) 1) educate participants, 2) frame issues neutrally, 3) achieve diversity, 4) get buy-in from policy makers, 5) support high-quality deliberation, 6) confirm public consensus, 7) sustain involvement	Faga, 2010, p. 236, America Speaks
DELPHI PROCESS	Systematic mail or email questionnaires that are repeatedly sent until consensus is reached among participants	IAP2 Toolbox, 2006
ECOSYSTEM-BASED MANAGEMENT (EBM)	Ecosystem-based management (EBM) seeks to institutionalize new forms of governance to address pollution and natural resource management problems at a regional scale where participants assemble voluntarily to seek consensus on a solution that promises joint gains and entails collaborative, landscape-scale planning and implementation that is flexible and adaptive with emphasis on decentralization, holism, collaboration, and flexibility (1-2, 22-23). Three ecosystem-based management (EBM) attributes: 1) landscape-scale or regional focus, 2) stakeholder collaboration, 3) flexible, adaptive implementation	Layzer, 2008
FEATURE STORIES	Focused news stories written or narrated by a reporter on general project-related issues	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 91
FISHBOWL FORUM	Decision makers deliberate in an open forum or 'fishbowl'	IAP2 Toolbox, 2006
GROUPWARE	A term for a variety of electronic technologies designed to support collaboration (e.g. computer-linked white boards, SMART technologies). Allows voting, prioritization, preferences, or wighing values quickly.	Creighton, 2005, pp. 117-118
INFORMATION CENTERS and FIELD OFFICES	Offices established at a frequented location, with prescribed hours to distribute information and respond to inquiries or gain feedback	IAP2 Toolbox, 2004 & 2006
INFORMATION REPOSITORIES AND INFORMATION KIOSKS	Libraries, city halls, distribution centers, schools, and other public facilities (well traveled areas)	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 92
IN-PERSON SURVEY OR INTERCEPT SURVEY	Surveyors attend community festivals or gatherings and ask people to participate in a survey	IAP2 Toolbox, 2004 & 2006, University of Oregon, Community Planning Workshop, September, 2008
KITCHEN TABLE MEETING OR COFFEE KLATCH	Small, informal meetings, usually at someone's home	IAP2 Toolbox, 2004 & 2006
LISTSERVES AND EMAIL	Compile an electronic list of interested citizens	IAP2 Toolbox, 2006
MAIL SURVEY/ QUESTIONNAIRE	Participants are mailed a survey or questionnaire and requested to mail back answers	IAP2 Toolbox, 2004 & 2006

NEWSPAPER OR MAGAZINE INSERTS OR ADVERTISEMENTS	A "fact sheet" within the local newspaper or magazine	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, pp. 98-99
OPEN HOUSE OR EXHIBITS AND DISPLAYS	An open meeting or display at a high traffic area that provides several information stations or exhibits that allows participants to tour at their own pace. Resource people guide participants through the exhibits.	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 91, 123-124
POLICY DIALOGUE	A successful policy dialogue is one where deep and durable agreement was reached, actions were taken with strong support; outcomes included addressing the original problematic situation; and system adaptations ultimately resulted ." components of successful policy dialogue: 1) compelling incentive structure; 2) sponsors and effective initial leadership; 3) inclusion of diverse stakeholders; 4) sufficient infrastructure to support the process; 5) use of a negotiating document to focus the dialogue; 6) self-organizing adaptive process that evolves with new information; 7) appropriate speech conditions; 8) collaboratively adopted ground rules; 9) fight the urge to avoid conflict or bring up controversial issues; 10) appropriate stakeholder selection; 11) Agonism; (89-105)	(Innes and Booher, p. 89)
PRESS RELEASE OR PRESS PACKET	Fax or e-mail press releases or media kits that provide a summary of the key information they need throughout the decision-making process	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p.96
PRINTED PUBLIC INFORMATION MATERIALS	Fact Sheets, Newsletters, Brochures, Issue papers	IAP2 Toolbox, 2004 & 2006
PUBLIC HEARINGS	Formal meetings at which people present official statements of position and assertions of fact, and comments are recorded, often by a court reporter. Creighton warns, "Normally, except where legally required, avoid public hearings. Their primary value is to serve the lawyers and the public record." Good- that there is a public record, but bad that the formality favors officials, and interest groups and breeds extreme positions.	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 130
PUBLIC MEETING OR WORKSHOP	Organized meeting meant to inform the public with a presentation and gives an opportunity for questions and comments. Town meetings where a vote and/or decisions may or may not be made.	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 121, 131, 133, 134-135, Chapters 8, 11
RESIDENT FEEDBACK REGISTER	Randomly selected database of residents created to give feedback throughout the duration of the project or proposal	IAP2 Toolbox 2006

RESILIANT GOVERNANCE	Resiliant governance "shifts the focus of decision making from debating alternative solutions to working together with diverse knowledges to craft adaptive strategies that can help us move in a desired direction." Components of resilient governance: 1) diversity and interdependence; 2) collaborative authentic dialogues; 3) collaborative development of knowledge; 4) Networks; 5) Boundary spanning; 6) Monitoring and feedback; 7) small, diverse working groups (209-11)	(Innes and Booher, 2010 p. 206)
RESPONSIVENESS SUMMARY	A form of documentation that provides feedback to the public regarding comments received and how they are being incorporated	IAP2 Toolbox 2006
RETREAT	Get away form the workplace for a period of time to encourage social interaction and organized discussion. Recommended facilitators.	Creighton, 2005, p. 131
ROLE-PLAYING OR SIMULATION GAMES	Exercises that simulate project decisions. Participants act out characters in pre-defined situation followed by evaluation of the interaction	IAP2 Toolbox, 2004
SAMOAN CIRCLE OR REVOLVING CONVERSATIONS	Leaderless meeting that stimulates active participation, Set room up with center table surrounded by concentric circles, Need microphones, Requires several people to record discussion	IAP2 Toolbox, 2004 & 2006, Larry Aggens www.involve.com, Creighton, 2005, p. 131-132
SYMPOSIUM, PANEL OR NEWS CONFERENCE	Meeting or conference where multiple speakers present different views about the issue or proposal. Can be in "Meet the Press" or news conference format - Media interviews experts from different perspectives.	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 97-99, 101
SWOC ANALYSIS (SNOW CARD, SNOW BALL TECHNIQUE)	Methods of strategic planning from the private sector have become increasingly popular in government agencies. A SWOC (Strengths, Weaknesses, Opportunities, and Challenges) Analysis is one method that is frequently applied. The public should be included in government SWOC analyses. Strengths and weaknesses are internal and opportunities and challenges are external. Word of warning - decipher between internal (acency operations) and external (public relations) in every step of the process. And if the agency has an'external' vision and mission (serving the public), then the corresponding goals and objectives ought to also be 'external.' SNOW CARD: Each of the individual answers is written on a sticky or note card and placed on the wall - discuss the themes that arise, and identify priorities under each category (SWOC).	Bryson, 2011, p. 150, Snow card p. 170
TECHNICAL REPORTS	Technical documents reporting research or policy findings	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 94

TELEPHONE SURVEY OR POLL	Phone interview or survey with standardized questionnaire	IAP2 Toolbox, 2004 & 2006
TELEVISION	Television programming to present information and elicit audience response. Telethons or phone-in responses or votes. Creighton warns, "In most public participation processes, voting is undesirable because it implies that a vote will determine the outcome when the organization sponsoring the process retains decision-making authority."	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 127
THIRD PARTY SURVEY	Give surveys to community businesses or interest groups to distribute to participants	University of Oregon, Community Planning Workshop, September, 2008
TOUR, FIELD TRIP OR SITE VISIT	Participants visit the subject site or neighborhood and draw on their observations to recommend planning policies or standards. "Planners identify key issues, problems, or opportunities and prepare a series of instructions" (e.g. interact with others, ride the bus, observe etc.)	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, pp. 106-7 - City Walk, p. 111 - Field Trip
VOTE, PLEBISCITE	In some communities, it is legally possible for the city council or other appropriate elected body to put an issue on the ballot for the next election. In others, laws may need to change to allow a community vote on planning issues.	Creighton, 2005, pp.127-128
WEB SITES	A Web site provides information and links to other sites through the World Wide Web. Can act as an information repository, advertise meetings, a hotline, a chat room, a way people can submit e-mail comments, a place to post photos or videos	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p.93
WEB-BASED MEETING OR BLOG	Meetings that occur via the Internet where people can participate at different times or at the same time. Internet and digital divide (Creighton, p. 119-120)	IAP2 Toolbox, 2004 & 2006, Creighton, 2005, p. 93, 119-120
WISDOM COUNCIL	Every 3-6 weeks, twelve members are randomly selected to meet and identify an issue, creatively and collaboratively reach a unanimous perspective and present back to the community	Developed by Jim Rough, featured at the Co-Intelligence Institute website: http://www.co-intelligence.org/P-wisdomcouncil.html

Primary sources include: (IAP2 Public Participation Toolbox), (Creighton, 2005), (Faga, 2010), (America Speaks, 2010), (University of Oregon, Community Planning Workshop, September, 2008), (Julian, August 1994), (Margerum, Evaluating collaborative planning: Implications from an empirical analysis of growth management, 2002), (Booher, 2004), (Susskind, 2006), (Ansell, November 13, 2007), (Layzer, 2008), (Innes, 2010), (Margerum, Beyond Consensus, 2011)

Appendix B: Performance measures from INR report

Evaluation Ideas from Planning Directors (Institute for Natural Resources (INR), 2008, p. 28)		
City Planning Directors	*County Planning Directors*	*Citizen Involvement Experts*
How could we measure effectiveness of Goal 1? • Gauge if citizens feel as if their input has been sought, valued and listened to • Gauge familiarity with the state and local land use planning goals • Gauge citizen opinion on their community's efforts in fostering citizen participation • Quantify the ratio of participants (written and oral comments) to the number of notices distributed (mailed and e-mailed)	• Count web-site hits for planning projects. • Determine if citizens are given opportunities to be involved in all phases of planning not just land use decisions • By talking with local Planners and Planning Directors about what local jurisdictions are doing with Goal 1 and how they do public outreach.	• Quantify diverse opportunities for participation (Advisory Groups, Participating at hearings, Providing Comments by Mail or Email) • Quantify number of people attending meetings • Quantify number of non-required citizen involvement events by a jurisdiction • Gauge support of program • Gauge trust level of local government • Gauge understanding of program • Use CCIs to evaluate and provide reports as originally required in local CIPs. • Quantify types and decisions of LUBA cases

APPENDIX C: OREGON LEGAL TERMS AND CASE LAW

Oregon Legal Terms and Case Law				
Term	**Description**	**Law or Reference**	**Year**	**Source**
Types of Land Use Decisions	Minestral - Administrative, minor, one property affected			CIAC 2008, p. 30
	Quasi-judicial - more complex, several people involved, decision maker is hearings officer or PC - applying existing laws (e.g. CUP, variance)			CIAC 2008, p. 31
	Legislative - complex, creating new laws, decision maker is Council			CIAC 2008, p. 32
	Limited land use - inside UGB subdivision, site review, and design review	ORS 197.015(12), ORS 197.195		CIAC 2008, p. 33
	Expedited land division - land divisions in urban residential zones	ORS 197.360-380		CIAC 2008, p. 33
Fasano requirements, procedures, due process	*Fasano v. Washington Co. Commission* (1973) Oregon Supreme Court. Washinton County Board of Commissioners approved a rezoning request to accommodate a mobile home park, largely without findings or demonstrating consistency with the Comp. Plan. Court ruled that common land-use decisions (e.g. CUP, variance, rezoning, etc.) are quasi-judicial instead of legislative. The differences are: 1) quasi-judicial decisions are applying the law and legislative decisions are making law, and 2) that legislative decisions have 'presumptive validity' in court and quasi-judicial decisions do not. Meaning that courts must presume a legislative action as valid unless an appellant can prove violation of the constitution. The court held that "any zoning change must be consistent with the comprehensive plan." (M643). The Fasano case ruling greatly contributed to citizen involvement in Oregon by placing responsibility and burden of proof on developers and/or cities and counties rather than citizens to back decisions with findings and adopted plans.	See case law	1973	CIAC 2008, p. 34, Mandelker, pp. 606, 643, Rohse, p. 99
Deference	The appellate bodies (LUBA, Court of Appeals, OR Supreme Court) will not substitute their own judgment for that of local officials. Instead they will defer to the local decision makers. Note: legislative decisions are given more deference than are quasi-judicial ones.	ORS 197.829 and case law	1990s	CIAC 2008, pp.50-51

Ex parte contact - latin 'from one-side'	One-sided communication between a stakeholder and decision maker. Ex parte contacts are permissible but must be disclosed publicly and put on the record. Parties to a case must be given an opportunity to rebut the substance of the communication in such cases.	ORS 192.610-710, ORS 215.422 (counties), ORS 227.180 (cities), and Fasano case		CIAC 2008, pp. 35-36
Notice to neighborhood and community groups	State law requires that notice about many types of land use decisions must be provided to "any neighborhood or community organization recognized by the governing body and whose boundaries include the site."	ORS 197.763(2)(b), ORS 215.416(11), ORS 227.175(10), Measure 56	1990	CIAC 2008, pp.10-11, pp.47-48
Committee for Citizen Involvement (CCI) and CACs	All cities and counties are required to have a CCI, and Citizen Advisory Committees (CACs) are strongly encouraged to advise in special planning issues.	ORS 197.160		CIAC 2008, p. 10
Conflict of interest	Oregon law requires that a decision maker or public official must remove themselves from a decision if they have an interest that would result in personal financial gain or detriment through 'Actual' and 'Potential' conflicts. 'Actual conflict of interest' means any action or any decision or recommendation by a person acting in a capacity as a public official, the effect of which would be to the private pecuniary benefit or detriment of the person or the person's relative or any business with which the person or a relative of the person is associated..."	ORS 215.035 & 227.035, ORS 244.020(1)(14)		Rohse pp.68-69, CIAC 2008, p. 42
Findings	"Findings explain which evidence the decision makers found relevant and how they used that evidence to reach their conclusion. Adequate findings must 1) identify the relevant approval standards, 2) set out the facts relied upon, and 3) explain how the facts lead to the conclusion that the request satisfies the approval standards" (Krieger v. Wallowa County, LUBA 98-069)	case law, ORS 215.416(9), ORS 227.173	1998	CIAC 2008, pp. 39-41
Standing	A qualification that a person must have to assert their opinion in court, or exercise legal rights in court. Standing generally depends on the level of appeal (local vs. state), location, notice of decision, nature of the decision, interest in the decision, and previous involvement.	ORS 215.416(11), ORS 227.175(10), ORS 197.830(2), ORS 197.620 and case law		CIAC 2008, pp. 44-47
Raise it or waive it' rule	A petitioner (person filing an appeal) may not raise an issue at LUBA unless the petitioner or another participant before the local hearing body raised the same issue during the local proceedings that are being appealed.	ORS 197.835(3) and (4), ORS 197.763		CIAC 2008, pp.48-49

Public Meeting Law	This law attempts to keep public affairs in the public, requiring that any time decision makers meet and have a quorum (generally the majority of member of a commission or council assigned in by-laws) the 'meeting' must be published in a way that notifies the public and the media.	ORS 192.610-192.690, Note: Freedom of Information Act (FOIA) applies only to federal agencies-not state or local		CIAC 2008, pp. 49-50
120-day Rule	Provision that requires local governments to take action on permit applications within a specified period. Cities have 120-days to make decisions, and counties have 150-days from the time the application is 'deemed complete.'	ORS 215.427-215.429, ORS 227.178		CIAC 2008, pp. 52-53
Fixed goal post rule	Generally, once an application is submitted, the plans & codes adopted at that time apply. No amendments can be made & applied after application submittal	ORS 215.427(3), ORS 227.178(3)		CIAC 2008, pp. 51-52

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