# NCI Cross-disciplinary Public Involvement Report

March, 2004

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# 1. Introduction

In October of 2003, a unique event took place at the Princeton offices of the Robert Wood Johnson Foundation. Experienced leaders from a range of disciplines came together to discuss best practices in public involvement and collaborative decision-making processes. For the first time ever, professionals from the fields of Public Health and Safety, Land Use and Transportation Planning, Restorative and Community Justice, Community and Political Process, and Facilitation and Collaborative Organizational Management met to discuss the challenges they face in their efforts to improve the health of communities through collaborative efforts. Participants represented diverse organizations including America*Speaks,* the John Jay College of Criminal Justice, Interaction Associates, The Great Valley Center, and The RAND Institute. For a full list of participants, see Appendix B.

At a critical moment in time – when grassroots efforts have the ability to make or break an attempt to change a community – these leaders convened to discuss ways to make the practice of community involvement better. Three key agreements rose to the top of the conversation quickly: 1) collaborative public involvement is essential to community change efforts, 2) there are both principles and challenges that are common to any community change effort, and therefore 3) resources should be dedicated to institutionalizing and supporting collaborative public involvement.

The goals and specific problems faced by the range of disciplines vary, as do the populations they serve, but the common challenges to public process and collaborative decision-making were prevalent across fields. By looking at these common challenges and considering common solutions to public involvement efforts across distinctly different fields of practice, we can better understand obstacles to community involvement in general and address these challenges with comprehensive solutions to benefit the practice for all collaborative efforts.

The Public Involvement Best Practices Forum was convened by the National Charrette Institute (NCI) and sponsored by a generous grant from the Robert Wood Johnson Foundation. The purpose of the event was to bring together successful practitioners from the above-mentioned disciplines to learn from each other and discover commonalities in their collaborative, community-based change efforts. Why was community-based planning, or public involvement, the topic of this forum? The premise was that professionals in many fields who are working to improve the health and well being of communities are learning that lasting change can be achieved through shared understanding and support for solutions. This shared understanding and support for change within a community can be successfully facilitated through collaborative public involvement processes.

More specifically, public involvement and collaborative decision-making processes are becoming inevitable in the development of solutions to a variety of issues across the country. In some fields, such as land use planning and design, public involvement is becoming a legal requirement in a number of communities and is seeing increased grassroots, community-based engagement in others. In other fields, such as community justice and public health, community collaboration is a necessity. As Michael Stoto writes, "most health problems require community-based solutions." Given the complexity of issues facing communities today and the finite supply of resources, many practitioners involved in community change efforts are finding

that broad-based public involvement and community-based solutions may be the only means for successfully improving the health and well-being of communities.

How do collaborative, community-based efforts work when other processes lead to dissatisfaction and failure to meet goals and objectives? First, it is worth noting that one of the main sources of resistance to collaborative decision-making comes from leaders, either public or private, who fear losing control to "the mob" or special interests. When collaborative processes are done well and everyone understands and plays his/her own role, key stakeholders, for example, landowners or public officials, do not lose the power to make final decisions. Community-based efforts succeed because collaborative efforts have better outcomes. When broad-based groups of stakeholders work together to solve problems and develop shared solutions, results reflect the individual strengths and knowledge of all involved. As Andres Duany, Master Urban Designer and Charrette facilitator, states, "the best plans are made by many hands." Most importantly, when all interested parties are involved in developing solutions and see that their involvement has an impact, they are more likely to support the outcomes and foster them through the implementation process. This greatly reduces the need for rework and backtracking, resulting in efficient processes and results. Opportunities for education and "learning moments" arise, further strengthening the common goals held by community members. Trust between parties is increased, relationships are built, and leadership can be developed out of collaborative, community-based plans. This shared effort and the resulting co-authored solutions mobilize the energy of all involved and build community capacity for further collaborative efforts.

There are many tools and techniques that can be used in a collaborative public involvement effort; however, forum participants found that successful processes adhere to certain principles, regardless of the specific project or problem. This document presents the key challenges shared by forum participants and some of their creative solutions to these challenges. Shared principles of successful collaborative processes are outlined and areas for further research and action are proposed.

# 2. Project Methodology

In early 2003, NCI was awarded a grant from the Robert Wood Johnson Foundation to conduct a literature review and convene a Public Involvement Best Practices Forum.

NCI began the project with a review of literature on collaborative public involvement practices, looking at dozens of publications that offer and analyze different methods and tools to involve the public in community decision-making. An annotated bibliography and conclusions can be found in the following **Literature Review** section. While compiling the literature review, we interviewed practitioners and authors of the books and articles. Based on this research, we contacted various academics and practitioners to participate in the forum. In preparation for the forum, we asked five participants to each write a paper discussing the challenges and best models for community involvement and decision-making present in his/her field.

The Best Practices Forum was held on October 17, 2003, in Princeton, New Jersey, at the offices of the Robert Wood Johnson Foundation. At the daylong NCI-facilitated forum, a diverse group of academics and practitioners came together to discuss key challenges across their disciplines. The forum began with a discussion of the definition and principles of collaboration, followed by a presentation of each of the commissioned papers, found in the **Findings** section of this report. The group then discussed the most common challenges to collaborative community-based involvement across disciplines. The issues and situations that presented challenges were categorized and the categories prioritized according to level of difficulty. Small break-out groups brainstormed solutions to the top three prioritized challenges. The small group work was then presented and discussed with all of the attendees, who helped to refine the ideas. A summary of this group work, including common key challenges, solutions and process principles can also be found in the **Findings** section. A complete list of attendees and their biographies is available in **Appendix B**. A summary of the entire forum proceedings is included in **Appendix C**.

Following the forum, participants were asked to submit case studies or project process examples illustrating successful community involvement processes that resulted in positive outcomes. The project process examples submitted represent a variety of project types and outcomes, demonstrating the application of principles of successful collaborative process. They can be found in **Appendix D**.

# 3. Literature Review

## A. Methodology

We began our research with a focus on the use of public involvement and collaborative decision-making practices in the following fields: Public Health and Safety, Land Use and Transportation Planning, and Restorative and Community Justice.  As we progressed, we discovered additional fields, or categories, of interest that we generally termed Community and Political Process, and Facilitation and Collaborative Organizational Management.  We started the publication search using the terms **community justice, restorative justice, public safety, community involvement, transportation, charrette, healthy community,** and **civic engagement**. Later, we added **collaborative decision making** to our list of search terms to include the facilitation and collaborative and organizational management fields.

We began compiling and reading documents to eliminate irrelevant articles and started a "bibliography crawl" to find more useful resources. We also initiated contact with the authors of the most useful pieces that we found. In this way we found Caroline Nicholl (Blue Apricot Solutions), Dan Burden (Walkable Communities), Tyler Norris (Active Living Network), Michael Stoto (RAND Institute), Bruce Race (Race Design), Tom Milne (former executive director of the National Association of City and County Health Officials), Harrison Rue (Thomas Jefferson Planning District), Carol Whiteside (Great Valley Center), and David Chrislip (author of *The Collaborative Leadership Fieldbook*). Many of these researchers and authors were invited to write papers and to attend the forum. Through our conversations with these experts, we received and followed up on suggestions of other books, articles, and people. The research that resulted can be found in the annotated bibliography. We gradually narrowed our search so that exclusively theoretical books were dropped and resources focusing on tools and techniques received more attention. The entire project was focused on solution-based outcomes and we tailored our research to this. It should be noted, though, that there is an abundance of literature available that concentrates on theoretical studies of public involvement.

# B. Annotated Bibliography on Public Involvement Best Practices Research by Category

## Public Health and Safety

El-Askari, Galen et al. The Healthy Neighborhoods Project: A Local Health Department's Role in Catalyzing Community Development. *Health Education and Behavior*. Vol. 25 (2): 146-159 (April 1998)

### 1. Issue/Problem
- An approach to health education focused on community development may foster improvements in community health, social, and economic status, as well as increased levels of individual participation in education and preventive activities, issues of funding and, more problematically, the philosophy of project control have prevented communities from defining and managing their own project outcomes.
- Traditional public health and education programs have focused on funding certain "deliverables" dictated by an organization's preexisting agenda
- These predetermined agendas and their corollary desired outcomes make it difficult for organizers to turn over truly meaningful decision-making power to residents of the community.

### 2. General approach/philosophy
- The HNP aimed to engender community empowerment in a low-income Bay Area neighborhood in four ways:
- Raising critical consciousness of the present situation,
- Increasing community participation and control,
- Strengthening social ties,
- Facilitating the development of existing community capacities/skills.

### 3. Collaborative decision-making/consensus-building methods
- Increasing community health through addressing the community's priorities – depended heavily on strengthening, and then utilizing, the community's often unrecognized assets.
- Focus on shifting the emphasis of community building from identifying problems to identifying individual and community strengths. These identified resources would be utilized to improve the quality of neighborhood life.
- Decisions about the project were made by community residents.
- NHAs developed surveys for door-to-door interviews helping to inventory the capacities of current residents, organized participatory mappings of the community taking note of positive and negative neighborhood aspects, and convened a community forum to identify long-range and immediate goals for community development and develop an action plan based on community desires and utilizing individual and community strengths/capacities.
- Mobilized extant but perhaps underutilized community leaders to develop and encourage participation amongst community residents.

- Through the processes of door-to-door capacities inventories, community forums, and participatory mappings of neighborhoods, residents understood that their participation and talents were encouraged and necessary for the development of their community.


Turnock, Bernard J. *Public Health: What it is and How it Works*. Aspen Publishers, 1997

### 1. Issue/Problem
- Frame 'public health' in a broad context that promotes and emphasizes not only the treatment of disease and the restoration of health, but also locates and addresses broader risks to health and wellbeing through preventative, whole-system strategies.
- An argument outlining the need for a more effective public health system concludes the text.

### 2. General approach/philosophy
- Defines public health as: "Activities that society undertakes to assure the conditions in which people can be healthy. This includes organized community efforts to prevent, identify, and counter threats of health to the public." (375)
- Risk behaviors, and not just illnesses, are central to determining individual or community health status (which guides public health's goals), and that a public health system focused only on treatment of illness is fundamentally inefficient.

### 3. Collaborative decision-making/consensus-building methods
- Big issues facing public health officials today (teen pregnancy, violence, drug use) cannot be dealt with using the same "command and control" approaches used to combat historical public health issues (mainly communicable diseases)
- Encourages new collaborative efforts between public health workers and others, and the development of "different skills and relationships." The author also warns that though the varied professional and educational backgrounds (not to mention jargons and scientific bases) of public health workers can be a strength, an unwillingness to step out of one's codified place in the system may prevent important inter-sectoral connections from being made and allow health problems to persist.
- Two collaborations critical to the reform of the public health system: 1) links between public health and medical care interests, and 2) links between public health and the business sector.

## Land Use and Transportation Planning

Cary, Lee J. (Editor), *Community Development as a Process.* Columbia: University of Missouri Press, 1970.

### 1. Issue/Problem
- For community development to progress as a profession, it should be viewed as a process through which community can be improved through the united efforts of citizens.

### 2. General approach/philosophy
- By viewing community development as a process, its principles may be viewed as having general applicability as group-decision-making model.
- It can be viewed as both a radical process (by creating new groupings and patterns of decision makers it challenges existing social systems) and a conservative one (it keeps decision-making a local process and holds government responsible to local citizens).

### 3. Collaborative decision-making/consensus-building methods
- Community must be the locus of action for the developer, with community defined as any grouping of people with shared interests living within a delimited area
- Leadership and initiative must develop locally, with members of the community defining and filling leadership positions.
- Community and developer must utilize both local and external resources, and make the development of both local capacity and knowledge of limitations a priority.
- Inclusive participation in the form of keeping the process open to all segments and community groups is central.
- An organized, comprehensive approach to community development should include approaching issues drawn from "the broadest spectrum of situations and should call upon the widest range of resources." (4)
- The process through which community decisions are made and translated into action must be democratically organized and oriented toward the accomplishment of a specific task.

Crowfoot, James E. & Wondolleck, Julia M. Environmental *Disputes: Community Involvement in Conflict Resolution.* Washington, DC: Island Press, 1990

### 1. Issue/Problem
- Use and protection of the natural environment directly involves many interest groups including citizens, industry, and government.
- Conflicts between these groups are intensifying as people become more aware of the balancing act needed to protect these resources while our demand for them increases.
- New mediation and negotiation techniques focused on consensus decision-making are needed to help resolve these conflicts.

## 2. General approach/philosophy
- The dynamics of mediation processes (and how and when they should be utilized in the environmental dispute settlement process) need to be understood by citizens in order to facilitate their participation.

## 3. Collaborative decision-making/consensus-building methods
The three central characteristics of the environmental dispute settlement processes are:
1. Voluntary participation by concerned parties,
2. Face-to-face interaction among party representatives
3. Consensus decisions by the parties on the process to be used and the emerging settlement.

Six stages of involvement for the EDS (environmental dispute settlement) that aim to involve all interest groups most effectively:
1. Defining specifically your party's interests and objectives
2. Understanding and developing a structure for EDS processes
3. Selecting and bounding the issues under consideration.
4. Determining and understanding the facilitation style
5. Reaching a final agreement
6. Implementation and monitoring of the agreement ( provisions should be included in the final text of the agreement)

Moore, C. Nicholas and Davis, Dave. *Participation Tools for Better Land-Use Planning: Techniques and Case Studies, 2nd edition.* Center for Livable Communities and The Local Government Commission, 1997.

## 2. General approach/philosophy
- Increasing citizen participation in (and thereby creating better) land-use planning systems.
- Involving citizens can help to ensure the long-term stability of a plan, even as public officials, planners, and managers come and go.
- A plan developed with the collaboration of citizens can reduce the costs and delays associated with projects, as citizens will be less likely to object to, or attempt to slow, a project in their community if they have been involved in its creation.
- When citizens and planners, professionals, and officials work together on a plan, the plan itself benefits from varied and important viewpoints, and participants benefit by developing relationships with and an understanding of others involved.

## 3. Collaborative decision-making/consensus-building methods
Techniques for boosting participation in civic planning:
1. Computer modeling of potential results of planning, development and design projects
2. Simulation exercises wherein participants create land use plans by using a scale model of their community
3. Guided tours of the community composed of diverse groups of citizens
4. A design charrette can, in three to seven days
5. Utilizing the Visual Preference Survey™ involves asking citizens to rate up to 240 physical images of natural and built environments.

6. Visioning is an exercise wherein citizens and stakeholders in a given community work together to draft a written, long-term 'vision' for the community. A well-publicized visioning session can help open the doors of participation to a broad cross-section of the community
7. Utilizing current marketing and public relations strategies in soliciting opinion
8. Public service announcements, mailed newsletters, or summits with a clear messaging strategy
9. Meetings facilitated by non-partisan, non-stakeholders can help in planning dispute mediation.
10. By formally recognizing well-organized, adequately managed and representative neighborhood associations or groups, cities can boost citizen involvement in the planning process. Making groups official subdivisions of city governments and funding them, or directing city staff to serve them,
11. Involving youth in the planning process through education programs

Race, Bruce & Torma, Carolyn. *Youth Planning Charrettes*. Chicago and Washington, DC: American Planning Association Planners Press, 1998.

### 1. Issue/Problem
• Charrette model as the most effective way of integrating youth into the planning process, and demonstrate that the charrette model can accomplish simultaneously the goals of eliciting quality information from youth for planning purposes and educating youth about the planning process.

### 2. General approach/philosophy
A handbook for increasing youth participation (and the degree to which that participation is taken seriously) in the planning process. The charrette model is based on four principles:
• Young people are capable of effectively participating in the development of their communities.
• Planning processes involving youth must do so in a sincere manner (not just token involvement for PR purposes)
• The charrette process should be democratic and participatory as much as is possible.
• The process should be truthfully educational about civic planning and problem solving on this scale.

### 3. Collaborative decision-making/consensus-building methods
• Partnering with the educational community
• Defining the roles of adult participants as 'facilitator' or 'assistant' instead of 'expert'
• Participatory canvassing of the local issues in selecting a problem to address in the charrette
• Tips for achieving full participation by young people including: break into small groups that stay small, recruit 'kids' assistants' who can help facilitate (not dictate) participation and help draw out more shy participants, have an experienced charrette leader to keep the groups working and on time and to inject some energy into their discussions, keep the charrette on a quick pace that encourages focus, energy and involvement.

Project for Public Spaces, Inc. *How to Turn a Place Around*. New York: Project for Public Spaces, Inc., 2000.

### 1. Issue/Problem
- Urban renewal projects and suburbanization as root causes that community public spaces (parks, markets, civic spaces) have been declining in terms of usability and repair for the last thirty years.

### 2. General approach/philosophy
- A new approach to public space planning is necessary to improve the quality of American public spaces.
- A transition from a 'project-oriented' method of planning (wherein governments decide on a project, then take the project to the community) to a 'place-oriented' method where the primary goal is to implement the vision of the community for its public spaces.

### 3. Collaborative decision-making/consensus-building methods
- Initial consultation with the community
- Observing the space critically and collecting data to locate particular issues
- Returning to the community with those issues to discuss them
- Implementing the community's vision for that place

For a successful community meeting:
- Acknowledging the timing and seriousness of the issue
- Choosing a convenient meeting place and time, and providing food and beverages.

For a successful interview:
- Interviewer should pay attention to body language and tone in the respondents' answers to questions, making additional inquiries appropriately to understand their vision.
- Interviewers should carry identification and a statement of purpose for their research
- In developing a solid questionnaire one should use simple language, avoiding embarrassing, ambiguous or leading questions.


Rue, Harrison Bright. *Real Towns: Making Your Neighborhood Work*. Local Government Commission and Citizen Planner Institute, 2000.

### 1. Issue/Problem
- Public policy since WWII has promoted an auto-centric planning philosophy that has left communities with housing and transportation systems that embody the word 'sprawl.'
- A reexamination of public planning policy aimed at people-oriented (not car-oriented) design can help to reverse the damage done to communities.

## 2. General approach/philosophy

- A handbook for anyone interested in the theory and practice of improving their surroundings (citizens, planners, public officials, etc.).
- Defines "what makes a good street, block, neighborhood, or town center."
- "Roadwork" exercises wherein readers (ideally, groups organized and interested in changing their environment for the better) walk around their neighborhoods observing and applying critically the lessons learned in each chapter.

## 3. Collaborative decision-making/consensus-building methods

- "The Big Three Placemakers" must be involved: people, public officials, and private businesses.
- Identifying and clarifying exactly the issue to be tackled, as well as making it clear that all stakeholders are encouraged to participate, is most important.
- Developing a plan of action including visuals (using this handbook's exercises can help, as can scheduling a community charrette) and continuing to reach out to all members of the community (young and old) is the second step in facilitating change.
- Making the change a reality by prioritizing and applying the results and models produced by the charrette. This process must include finalizing a source of funding and publicizing the goals and plans and continuing to encourage stakeholder input.
- Recognizing the necessity of persistence and patience in negotiating the project's completion will help ensure eventual success.

## Restorative and Community Justice

Bazemore, Gordon. Young People, Trouble, and Crime: Restorative Justice as a Normative Theory of Informal Social Control and Social Support. *Youth and Society*, v. 33, no. 2 (December 2001). Thousand Oaks: Sage Publications, 2001.

### 1. Issue/Problem
- Failure to articulate and implement the core principles of restorative justice in a wide variety of situations and contexts as a generic model for problem solving
- Normative theory and practice of restorative justice must be connected to the processes of developing informal social control and support as forms of community social capital

### 2. General approach/philosophy
- A restorative justice approach to repairing harm done and rebuilding relationships injured by youth crime
- Restorative justice model's "outcome focus on the extent to which harm is repaired and the extent to which communities increase their capacity to respond to crime and conflict seems to offer a broader framework that replaces punishment and treatment as the primary currency of intervention." (205)
- Guided by three central principles: the need to repair the harm done by crime, the need to involve all stakeholders in the repair process, and the transformation of community and government roles and relationships.

### 3. Collaborative decision-making/consensus-building methods
- Ideas of restorative justice and their corollary practices must connect with community-based processes of informal social control and support to reverse this trend.
- Some criteria for evaluating the successes of whichever "restorative intervention" process or program is implemented: did it create positive new relationships or strengthen old ones? increase community skills in mediation and problem solving? increase individual awareness of the common good? etc.


Karp, David R. & Clear, Todd R. (Editors). *What is Community Justice? Case Studies of Restorative Justice and Community Supervision.* Thousand Oaks : Sage Publications, 2002.

### 1. Issue/Problem
- For the last century, the criminal justice system has placed growing emphasis on 'community' offender rehabilitation through programs of probation and parole.

### 2. General approach/philosophy
- Vision of community justice is "a new approach to crime that explicitly includes the community in criminal justice processes. It is expressly concerned with improving the quality of community life and the capacity of local communities to prevent crime and to effectively respond to criminal incidents when they occur." (xiii)

- Focuses primarily on the probation system, using each chapter/case study to expose the various dimensions of the probation model.

### 3. Collaborative decision-making/consensus-building methods

- Community supervision agencies, historically isolated, have begun to form partnerships with other government agencies (police or social services), foundations, businesses, churches, and most importantly, ordinary citizens who volunteer their time.
- An expansion of the idea of "client" for probation agencies has occurred: no longer just the offender, clients also include the victim of the crime, the family of the offender, and the community, all of whom represent critical points of reference in determining the success of community supervision.
- Acknowledging the importance of places in community supervision is also critical, as differences in neighborhoods and concentrations of offenders will certainly influence the most effective ways for a community to supervise offenders.
- The expansion of the idea of 'client' serves to broaden the number of interests in community supervision, and this contributes to a re-conception of community justice as proactive in the prevention of crime, not just reacting to it.
- Lastly, the goal of adding value to the life of the community through supervision has become paramount. Clients (of all stripes) involved in community service or the repayment of victim costs are actively rebuilding their communities and partnering with others to improve community life.

Maloney, Dennis & Holcomb, Deevy. In Pursuit of Community Justice: Deschutes County, Oregon. *Youth and Society*, v. 33, no. 2 (December 2001), pp 296-313. Thousand Oaks: Sage Publications, 2001.

### 1. Issue/Problem

- Citizens of Deschutes County, Oregon, realizing that traditional criminal justice programs were not having the desired effects enacted a Community Justice Resolution.

### 2. General approach/philosophy

The Deschutes County community justice program is based on several philosophical foundations:
1. Everyone is responsible for and affected by community safety.
2. Crime victims are the primary customers of the justice system.
3. Restorative service helps repair the victim and the community.
4. Government must be accountable to citizens.
5. The program aims to involve as many citizens as possible to build a better, safer community through reducing the risk of either committing or being victimized by crime, and repairing the damage done to all (victims, offenders, community) when crime does occur.

### 3. Collaborative decision-making/consensus-building methods
- Over the course of several years, community members were asked (via focus groups, mailed surveys and phone calls) about their ideas of community safety and justice – the responses were analyzed and became the backbone of the community justice principles (above).
- Bond measures were drafted and passed by voters to fund community justice programs and facilities.
- Community leaders lobbied the legislature to create a legal means to ensure lay citizen involvement in programs related to community safety and services.
- In a creative venture between the business community and the Department of Community Justice, the Merchant Accountability Board was formed.

Nicholl, Caroline G. *Community Policing, Community Justice, and Restorative Justice: Exploring the Links for the Delivery of a Balanced Approach to Public Safety.* Washington DC: US Department of Justice, Office of Community Oriented Policing Services, 1999.

### 1. Issue/Problem
- Community policing as a concept has become a significant feature of modern policing agencies, though its definition and means of implementation vary broadly across communities.
- This disunity in application leaves the principles behind community policing (a public aware of its roles and responsibilities for enhancing public safety) vulnerable.

### 2. General approach/philosophy
- Reexamining crime in the context of how it is defined and it's tie to our current justice system (which often frustrates victims, alienates communities and bears high financial and moral costs of punishment) is necessary to sustain and positively advance the future of community policing.

### 3. Collaborative decision-making/consensus-building methods
- Presently, the restorative justice stream of practices revolves primarily around victim-offender mediation, family group conferencing, and community sentencing circles
- Value of transferring some of the restorative justice principles into any interactions associated with community policing.
- Focusing on listening and understanding rather than blaming or shaming is necessary to combat the 'us vs. them' paradigm of criminal justice and rather reinforce community norms.
- The goal of a community that polices itself (supported by the police) can be accelerated using the tools provided by restorative justice practices.

## Community and Political Process

Jacobs, Lawrence, Lomax Cook, Fay & Delli Carpini, Michael. *Talking Together: Public Deliberation and Discursive Capital*. A Report to the Pew Charitable Trusts, 2000.

### 1. Issue/Problem
- A large number of citizens are disaffected from formal electoral and legislative processes.
- Deliberative organizations are part of a larger movement to reform American politics to re-engage citizens.
- Citizen deliberation is being promoted as an end in itself to produce more effective decisions and better citizens through a process of moral development.

### 2. General approach/philosophy
- Report examines the organizations and methods of deliberative organizations.
- Authors researched consensus and conflict models by conducting interviews and mail surveys with organizations and associations committed to public deliberation.
- Most citizen forums researched relied on consensus models of public deliberation rather than the conflict airing-approach.
- The authors recommend looking at "principled advocacy" models in order to increase interest and willingness of citizens to participate in deliberative forums.

### 3. Collaborative decision-making/consensus-building methods
Four models of deliberation that the authors have created to categorize the organizational and citizen dimensions of deliberative associations:
- The first is the civic model of public deliberation. This model is characterized by "consensus-inducing" organization and narrow citizen involvement. The civics model treats participants as students and frequently divides them into small groups for interactions. It often uses neutral facilitators and independent experts to instruct the e selective group to produce wide agreement on the problem and solutions to address it based on evidence and reason.
- The second model is called interest group intermediation and combines "conflict-airing organization and narrow citizen involvement." This model positions competing interest groups against each other in public to allow them to "press their diverse and conflicting claims" and bargain to advance their self-serving positions and interests. Public administrators serve as active and "interested" negotiators.

- Third is the civic republican model of public deliberation or "civic republicanism." The process of discussion, arguing and learning is expected to create agreement about practical solutions within the community. This model is committed to community-wide deliberation and insuring the participation of less advantaged individuals and groups. "Although the civic republican model describes the facilitator as a "critical friend" who may intervene to promote unexpressed or poorly articulated views, it insists that the facilitator remain "detached and independent…"
- The fourth model of "principled advocacy" involves the public airing of conflict between advocates. It reaches a large audience, often through mass media and may "activate increased citizen interest, knowledge, and willingness to engage in future activities." Opponents engage in "verbal combat." The facilitator enforces strict rules regarding time and format and intervenes to prevent the use of "unprincipled claims, which might involving stereotyping, bigotry," etc.

Lukensmeyer, Carolyn J. & Brigham, Steve, *National Civic Review*, vol. 91, no. 4, Winter 2002.

### 1. Issue/Problem
- Citizens are disenchanted, apathetic, and "deeply cynical" about public, democratic involvement.
- They have become accustomed to ineffective public hearings and "typical town hall meetings" that leave them feeling as though their voices are not being heard nor taken into consideration by the final decision-makers.
- there is a wide demographic of "unorganized, unaffiliated citizens" that do not have their views represented by any special interest groups.

### 2. General approach/philosophy
America*Speaks* has developed a public involvement forum called the 21st Century Town Meeting™.
- Ensure the most democratic process and to involve a very diverse pool of participants for each project.
- Decision-makers, facilitators, organizers, stakeholders, and citizens all attend a one-day forum that utilizes cutting-edge technology to ensure that all voices are heard, and no ideas are lost.
- Ideas are then compiled, discussed, and improved and by the end of the day an "action-ready slate of recommendations" are presented to the decision-makers who have agreed to follow up on the recommendations.

### 3. Collaborative decision-making/consensus-building methods
A successful 21st Century Town Meeting requires months of preparation. A project team and volunteers are convened and are sent out to involve the communities in which they live and work. A diverse group of people, representing all possible demographics, is key to the success of the forum.

The following methods and technologies are employed through the course of each one-day forum:

- Small-group dialogue: 10-12 people discuss the issue with the aid of a trained facilitator
- Networked computers: serving as "electronic flipcharts" that transmit the collected ideas to a central computer that then organizes the themes.
- Theming: There is a group present that reads the opinions voiced at each table and then distills the themes
- Electronic keypads: Used to collect demographic data, makes the proceedings "transparent"
- Large video screens: Project findings from the networked computers and the electronic keypads

Mathews, David. *Communities to Work.* Dayton, OH: The Charles F. Kettering Foundation, 2002.

### 1. Issue/Problem
- Americans already have public concerns, but a different conception of the goals and benefits of developing a 'public' and 'public work' are needed to fully tap the resources of the American citizenry.

### 2. General approach/philosophy
- Advocate the development of the public's political will for 'public work,' or the reality of citizens working with each other and for each other.
- Defining politics much more broadly than it is often thought of – "A neighborhood association organizing to keep streets safe is political. A citizen's forum on ways to improve the economy is political." (iii)

### 3. Collaborative decision-making/consensus-building methods
- For citizens to act in response to a given issue, they need to answer several questions: "Is this a problem that affects me?" "Can I do anything?" "Who will join me?" Naming problems in public terms (really, encouraging the public to name/locate its own problems) is the first step toward engaging the public in community work.
- Frank, deliberative discussion forums focusing on the options and consequences of action on any given issue must follow the decision to act.
- Providing space for this 'public-making' can be done most effectively by both ad hoc associations (like neighborhood alliances) and by 'boundary-spanners' (like formal civic clubs, leagues, and NGOs).

Potapchuk, William. *Moving from Collaborative Processes to Collaborative Communities: Opportunities for Furthering Participatory Urban Governance through Field-Building Investments.* Draft, forthcoming report for the William and Flora Hewlett Foundation, November 2002.

### 1. Issue/Problem
- Because urban participatory governance (employing collaborative processes, deliberation, dialogue, and a host of other community participation methods) is under-documented and under-evaluated, practitioners and citizens are not learning

enough from the best practices and lessons of successful community-building experiments.

- "The simple steps of collecting data on collaborative efforts in communities, categorizing these projects, conducting evaluations, and sharing the lessons learned are not being pursued to an adequate degree." (21)

## 2. General approach/philosophy

- Need for collaborative decision-making in the service of better government and more content citizens. "While governments may fail, communities persist. Helping communities build their civic capacity to strengthen their self governance will not only help thriving communities, but those places that are currently being left behind." (5)

## 3. Collaborative decision-making/consensus-building methods

Overview of processes, including:
- Formal negotiation processes
- Large-scale consensus building
- Collaboration with an explicit goal
- Community collaboratives addressing governance gaps
- Citizen participation and large scale community deliberation, and
- Community dialogues as multi-track urban diplomacy

Because of the nature of this report: a wide-ranging overview of collaborative processes, the tools and techniques outlined are too numerous to list, a selection includes:
- Utilizing community indicators to identify problems in a community, often compiled in a "report card" format
- Creating forums for citizen dialogue, deliberation, and debate
- Support institutionalized learning opportunities
- Support knowledge dissemination vehicles (the Internet, for example)
- Support innovations in practice
- Develop an ambitious knowledge building agenda

Putnam, Robert D. *Bowling Alone: The Collapse and Revival of American Community.* Simon & Schuster, 2001

### 1. Issue/Problem
- The last three decades in America have witnessed a decline in 'social capital.' The theory behind the concept of social capital is that social networks and "the norms of reciprocity and trustworthiness that arise from them" have value. (19)

### 2. General approach/philosophy
- Possible explanations for the decline, concluding that forces such as pressures of time and money, suburbanization and sprawl, effects of electronic entertainment, and generational change are primarily responsible.

### 3. Collaborative decision-making/consensus-building methods
- First and foremost attempt "to restore connectedness, trust, and civic engagement…in the now often empty public forums of our democracy." (412) Toward this goal, campaign reform should endeavor to increase the importance of social capital and value time-based participation in politics over money-based participation.
- Decentralizing government and empowering smaller jurisdictions (while keeping a check on urban fragmentation) will build new social capital. Policies in all public fields should be drafted with the same concerns for preserving social capital as they are toward saving money.
- Warns against wasting time engaged in false debates like "top-down versus bottom-up" control of the movement and whether individual or institutional change is more necessary. The answer to both of these false debates is "both."

Putnam, Robert D. (Editor). *Democracies in Flux: The Evolution of Social Capital in Contemporary Society.* Oxford University Press, 2002.

### 1. Issue/Problem
- Social capital as a concept of modern community life in America has proven (through *Bowling Alone* and studies following it) to be a successful tool for examining civic engagement. A study of social capital and the factors influencing its stocks in other countries will only enhance our understanding of social capital in contemporary society and its determinants.

### 2. General approach/philosophy
- "In this volume, we take an empirically grounded first step toward identifying and analyzing the range of possible ways in which social capital has changed in the postwar era and the different factors responsible for instigating or perpetuating those changes. Because each author is attentive to the peculiarities of his or her national case, each highlights somewhat different causal processes, but common interpretive threads run through the various chapters. We consider, and find support for, a number of driving forces." (16)
- Whether in each case they bolster or undermine social capital stock, the factors of technological innovation, social and political entrepreneurs, state policies, war, and sociodemographic changes all seem to be universally related to social capital.

Richardson, Jean. *Partnerships in Communities: Reweaving the Fabric of Rural America*. Washington, DC: Island Press, 2000.

### 1. Issue/Problem
- Most of the United States is rural. Though we depend on rural America for our food and natural resources, few Americans live permanently in rural areas and even fewer understand its broader place in society, leaving many rural communities struggling.

### 2. General approach/philosophy
- An attempt to provide an overview of sustainable rural community development practices, illustrated with some detailed case studies.
- Topics discussed include assessment and evaluation methods as learning tools, approaches to community leadership, the spread of innovation in agricultural methods, the role of media in maximizing community success, the successes and failures of various attempts at rural community development, and the transferability of ideas and results from one community to the next.

### 3. Collaborative decision-making/consensus-building methods
The EPIC model of rural community development is built on ten elements framing a basic approach to rural revitalization:
1. Participatory processes are used to identify problems and issues central to rural communities.
2. These processes contribute to the development of a shared vision.
3. Successfully setting priorities can only occur by engaging the community.
4. Women in the community should be engaged, encouraged and empowered.
5. The community encourages systems thinking, emphasizing linkages between prioritized component parts.
6. Innovation must be encouraged.
7. Goals, action plans, and implementation strategies are community directed.
8. Collective knowledge of issues and solutions is developed as one component of capacity building.
9. Community assessment and evaluation of progress toward goals must occur from the beginning.
10. Readjustment of goals, priorities and assessment is an ongoing community process.

Sirianni, Carmen & Friedland, Lewis. *Civic Innovation in America: Community Empowerment, Public Policy, and the Movement for Civic Renewal.* Berkeley: University of California Press, 2001.

### 1. Issue/Problem
- The American system of democracy, presently strained, can only survive if it evolves.
- Americans must continue to reinvent democracy and civic practice to help solve public problems and transform American politics.

### 2. General approach/philosophy
- Considers developments in four main arenas: urban development, the environment, health, and journalism.
- The innovations in civic behavior in these fields, they argue, are indicative of a broader movement for civic renewal over the last ten years.
- "The civic renewal movement can draw upon some of the deepest traditions of democracy in America and can leverage many important institutional and cultural resources to carry the great work of democracy forward." (34)

### 3. Collaborative decision-making/consensus-building methods
- Community organizing and development, discussing congregation-based organizing, community development corporations, and neighborhood associations specifically.
- Examines citizen participation in environmental issues, first as mandated by legislation in the 1970s, then charts the emergence of more collaborative approaches in the 80s and 90s. Issues of water and watersheds, forest and ecosystem planning and restoration, and toxics and environmental justice are discussed specifically.
- Discussion of federally mandated public participation in health planning, then examines the "health decisions" model and "the healthy communities movement", which has "sought to mobilize the assets of various community and institutional partners to improve the health of specific populations and to strengthen the civic infrastructure itself" and concludes with a discussion of the failure of the Clinton plan.
- Looks at developments in the world of journalism indicative of the civic renewal movement. Discussed are innovations in academia, foundations, a major newspaper chain, and local news agencies.

Walsh, Mary L. *Building Citizen Involvement: Strategies for Local Government.* Washington, DC: National League of Cities and International City/County Management Association: 1997.

### 1. Issue/Problem
Elected and appointed officials need to facilitate Americans' sense of civic responsibility by helping citizens analyze and work through issues with democratic dialoguing.

### 2. General approach/philosophy
- Aims to help connect citizens and governments via a democratic model of civility and responsibility.
- Explores the changing roles of elected or appointed officials.
- Presenting various tools and techniques for generating citizen involvement in governance and developing collaborative leadership skills.
- Discussion of helping to maintain community through trend forecasting.

### 3. Collaborative decision-making/consensus-building methods
- Steps for connecting citizens to governance, interpersonal skills to improve collaboration, and process skills to improve collaboration, respectively.
- Steps toward resolving public policy issues:
  o identify the issue,
  o identify the stakeholders,
  o identify the values and beliefs of the stakeholders,
  o identify the outcomes you (the official) want,
  o identify and balance the concerns of experts, special interests, and the media,
  o identify the ethical aspects of the issue,
  o select the most effective forum or method,
  o decide what role you will play (participant or observer),
  o develop an action plan including a time frame and budget.

Williamson, Thad, Imbroscio, David and Alperovitz, Gar. *Making a Place for Community: Local Democracy in a Global Era.* New York: Routledge, 2002.

### 1. Issue/Problem
- "We contend that unless a new basis for community economic security can be established, any hope for a rich democracy in which an engaged citizenry can practice meaningful self-governance will remain hopelessly chimerical in the coming century." (xiv)

### 2. General approach/philosophy
- A 'triple threat' to community economic well-being: Globalization threatens local economic stability with increased economic volatility and job insecurity, and effectively removes community self-governance in economic affairs. The migration of capital and jobs internally in the U.S. engenders competition between states and cities, destabilizing communities' social and economic existence. The third threat, suburban sprawl, negatively impacts community as urban growth is shunted away from existing neighborhoods and out toward newly developed, less population-dense

settlements.

## 3. Collaborative decision-making/consensus-building methods
Policy changes to positively effect change:
- Providing federal funding establishing state centers to support worker-owned firms
- Increasing funding for the federal Community Development Finance Institution
- Reinstating Community Development Block Grants for community and regional development
- Federally supporting states that create funds to buy undeveloped land and create conservation reserves
- Expanding the Federal Trade Adjustment Assistance program to cover more adequately persons who lose their jobs from the impact of trade will help ease the burden many workers bear due to free trade agreements.

## Facilitation and Collaborative Organizational Management

Chrislip, David D. & Larson, Carl E. *Collaborative Leadership: How Citizens and Civic Leaders Can Make a Difference*. San Francisco: Jossey-Bass, 1994.

### 1. Issue/Problem
- In many American communities, citizens are currently frustrated by civic leaders' inability to address the communities' shared concerns.

### 2. General approach/philosophy
- Frank and open discussions about ways for both citizens and civic leaders to initiate, facilitate and sustain collaborative leadership initiatives aimed at dealing with a community's most pressing issues will help to address this broader problem.
- Provide citizens and civic leaders, who are interested in addressing a community issue and who recognize the need for the participation of many others toward that goal, with knowledge to develop and sustain collaborative leadership endeavors.
- Introduces the principles of collaborative leadership gleaned from the study and concludes with a new framework for effective civic action

### 3. Collaborative decision-making/consensus-building methods
Factors necessary for collaboration to succeed:
- Good timing and a clear need for a project will help motivate stakeholders with a sense of urgency.
- A contingent of strong, established stakeholder groups representing a variety of interests should be present in the city/region.
- Broad-based involvement from several sectors is necessary (as opposed to several participants all from the business sector).
- The process for collaborative decision-making should be openly discussed, seen as fair, and available to all.
- Efforts should be made to include high-visibility leaders, as their support can boost the credibility of the process.
- An agreement from established authorities like city councils, chambers of commerce, or mayors to abide by the decisions made through the collaborative process is necessary.
- Strong leadership of the *process*, rather than leadership through advocating one position, is necessary. This sort of leadership includes acknowledging small successes, enforcing norms and ground rules, keeping things focused during periods of frustration, etc.
- as the effort progresses, the shift from the narrower interests of individual participants or groups to the broader interests of the community should be encouraged.

Chrislip, David C. *The Collaborative Leadership Fieldbook: A Guide for Citizens and Civic Leaders.* San Francisco: Jossey-Bass, 2002.

### 1. Issue/Problem
- Bridges the gap between theory and practice by providing tools for applying the lessons learned in *Collaborative Leadership*

### 2. General approach/philosophy
- Discussing and detailing practices of successful collaboration.

### 3. Collaborative decision-making/consensus-building methods
- Questions are posed to help the reader determine the political context for collaboration and to decide on a collaborative strategy.
- Introduces techniques for identifying and convening stakeholders, designing the constructive process, understanding information needs, roles, process management and funding.
- Works on building capacity, engaging and informing stakeholders though dialogue and written information, and visioning/strategic planning
- Examines broadening constituency through engaging decision makers and implementing organizations/institutions and developing and managing an action plan.

Kaner, Sam , et al. *Facilitator's Guide to Participatory Decision-Making.* British Columbia: New Society Publishers in Cooperation with Community at Work, 1996.

### 1. Issue/Problem
- Group decision-making often fails to produce the desired results of better thinking, better "buy-in," and better decisions.
- Clear and direct facilitation of group decision-making from a position valuing participatory group work can help solve this problem.

### 2. General approach/philosophy
Building a successful agreement in groups is a four-stage process:
- gathering diverse points of view,
- building a shared framework of understanding,
- developing inclusive solutions,
- and reaching closure.

### 3. Collaborative decision-making/consensus-building methods
- Specific tools and techniques for facilitators in this step-by-step guide to participatory decision-making.

A short list of topics discussed: facilitative listening skills, facilitating open discussions, alternatives to open discussions, chart writing technique, brainstorming, list managing, difficult dynamics, realistic agendas, principles of sustainable agreements, gathering diverse points of view, inclusive solutions, shared understanding, unanimity, closure, etc.

# C. Literature Review Conclusions

This literature review focused on practical tools, techniques and solutions discussed by practitioners and researchers across disciplines and interest areas. Professionals in these different fields (Public Health and Safety, Land Use and Transportation Planning, Restorative and Community Justice, Community and Political Process, and Facilitation and Collaborative Organizational Management) clearly have different objectives and project goals but agree on the importance of the use of collaborative processes to best meet their goals. Authors agreed that collaborative solutions are often needed for lasting change and that complex issues cannot be solved with hierarchical, top down processes. In comparing these diverse literatures, we discovered that there are distinct similarities in both the obstacles faced and successful methods used in community decision-making processes.

The most common issues raised and obstacles faced to achieving transformative change within communities across disciplines are dealing with intense conflict between interest groups and the need to directly involve people with many, diverse interests in decision-making processes. Similarly, the difficulty of collaborating and simply communicating clearly across varied professional and educational backgrounds is often an issue. In many cases a lack of leadership ability or willingness to take initiative was cited, as were general criticisms of the current system of democracy and citizen dissatisfaction and cynicism with the formal electoral and legislative processes. Lack of a sense of civic responsibility among citizens was also mentioned. Other obstacles have to do more directly with the collaborative process itself. For example, a history of poor group decision-making processes and lack of clear and direct facilitation make future collaborative efforts difficult for some groups. Lack of documentation and evaluation of known collaborative process make it difficult for groups and organizations to know where to begin in selecting and using a collaborative method of planning and decision-making.

Authors also discussed the keys to collaborative decision-making methods that prove to be successful across different communities with different project goals. The following can be seen as a summary of the best practices for collaborative problem solving and decision-making processes from the above literature. First, a clear need for the project and clear project definition are important. The voluntary participation of concerned parties in the development of an inclusive solution is fundamental to a collaborative process, as is the involvement of all relevant stakeholders early in the process. A transparent process that includes fair, open decision making is key to the majority of collaborative processes, as is a belief that decisions that affect communities should be made by community residents.

Strong leadership of the process is required with participation of community leadership and their agreement to abide by decisions made throughout the process. Collaboration between government agencies, foundations, businesses, churches, and citizens is needed in many communities. The use of visioning sessions, modeling possible outcomes and involvement of youth in the planning process were suggested as directly beneficial to a collaborative project process. Third party facilitation is generally recommended, as are short feedback loops with stakeholders.

Developing a clear, well-documented plan of action is important for the success of project implementation.  Most authors also discussed methods for helping a community take responsibility for outcomes and project implementation.  To this end, the community must assess and evaluate progress made towards their goals throughout the process.  Several authors discussed increasing the use of collaborative processes across the country and the need for financial support of collaborative processes at federal, state and local levels, in the form of training, facilitation, capacity building, and implementation support.  Forums must be provided for deliberative discussions and made more commonplace, with some practitioners suggesting large-scale community deliberations as important solutions.

# 4. Forum Findings

## A. Presented Papers

**ENGAGING CITIZEN VOICES IN GOVERNANCE**
TAKING DEMOCRACY TO SCALE

Carolyn J. Lukensmeyer

"America was once the hope of the world."[1]
        --Jacob Needleman in The American Soul

Most Americans today would agree that there is something deeply amiss about how our democracy is working. The discussion of this issue is mostly focused on the electoral process: the extraordinary amounts of money involved, the dominance of special interests, and low voter turn-out. The California recall as a case contains all the elements that so many Americans find disturbing about our current politics.

In "The American Soul," Jacob Needleman takes the issue of what is wrong with American democracy today much deeper. He writes brilliantly of how the meaning of democracy was always rooted in a vision of human nature that is both flawed and perfectible. He reminds us that our founding fathers did not just create an external form of government, but also created democracy "to allow men and women to seek their own higher principle within themselves."[2]

The founding fathers wrote the Constitution calling us to be responsible to something higher than personal gain, self-interest, and our immediate loyalties.[3] In America*Speaks'* experience in the last seven years we have found over and over again that people want to take responsibility for the common good and want to contribute to something larger than themselves. Unfortunately, our politics and our public processes today do not enable people to do that.

Conventional wisdom says that the public is apathetic – that they don't have or will not take the time to participate. Conventional wisdom says that the public is not capable of dealing with the complex data necessary to deal with most public policy issues. Conventional wisdom says that the public will only focus on their specific interests, not on what is best for the whole community or nation. And equally important, conventional wisdom says that decision-makers won't listen to or take the public seriously.

Our experience in America*Speaks' 21st Century Town Meetings* dispels each of these beliefs and demonstrates that if you create meaningful public forums and engage decision-makers from the beginning, extraordinary possibilities exist to enable citizens to have meaningful influence on public policy issues, large public planning projects, and significant resource allocation decisions.

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[1] Jacob Needleman, The American Soul:  Rediscovering the Wisdom of the Founders.   New York:  Jeremy P. Tarcher, 2002.  p.3
[2] Needleman, p. 9
[3] Needleman, p.10

**21ˢᵗ Century Town Meeting™**

*America*Speaks*' 21ˢᵗ Century Town Meetings, through the innovative use of technology, take the traditional New England town meeting "to scale" by engaging hundreds, often thousands, of people in the decisions that most impact their lives. At the same time, a 21ˢᵗ Century Town Meeting preserves the authentic, face-to-face deliberation at the heart of America's democratic heritage. The result is a highly transparent, collaborative, substantive and efficient method of gathering public input.*

*While each 21ˢᵗ Century Town Meeting is carefully tailored to address a community's needs, the core elements of the process remain the same. Diverse groups of citizens participate in round-table discussions, deliberating in depth about key policy, management, or planning issues. Individual table discussions are linked using wireless groupware computers and polling keypads. The entire group responds to the strongest themes generated from table discussions, and votes to create final recommendations to decision makers. Before the meeting ends, these recommendations are compiled in a report, which is distributed to decision-makers, the media, and participants.*

*The 21ˢᵗ Century Town Meeting marks a dramatic departure from traditional public engagement methods, such as public hearings. The primary differences are summarized below:*

| Standard Public Hearing | 21ˢᵗ Century Town Meeting™ |
|---|---|
| Speaker-Focused | Participant-Focused |
| Experts deliver information | Citizens respond to and discuss information provided by experts |
| Citizens air individual ideas and concerns | Citizens identify shared ideas and concerns and assign them relative priority |
| Participants share anecdotal evidence | Participants provided detailed, balanced briefing materials |
| Primarily engages the "usual suspects" -- citizens already civically active | Reaches diverse populations, including citizens not civically active |
| No group discussion of questions | Small group discussions led by professional facilitators |
| Limited reporting of participant input | Instant, detailed reporting of participant input |
| Small number of participants | Large number of participants |
| Limited media coverage and public interest | Widespread media coverage and community interest |

Compared to traditional methods, a *21ˢᵗ Century Town Meeting* is responsive, transparent, and empowering for citizens, community leaders and elected officials.

*Benefits from using this Model*

For decision-makers who are searching for more effective ways to engage citizens, a *21ˢᵗ Century Town* Meeting provides the following benefits:

- The scale of these meetings attracts substantial attention from the media and political leadership.
- The dialogue can effectively address a new or pre-existing set of issues by reframing the "terms of the debate" and broadening citizen involvement.
- The use of technology provides an effective, efficient way to measure the degree of public support for proposals.
- Reports generated during the meeting immediately identify priorities, areas of agreement and specific recommendations.
- The process fosters collaboration between decision-makers, civic leaders and the public.
- Producing the meetings increases the capacity of public officials and agencies to effectively engage citizens.

**Challenges in Engaging the Public**
- Creating credibility with the public, decision-makers, and the media at the beginning of the process.
- Developing materials that are fact-based, neutral, and able to be absorbed by everyone.
- Having a creative enough outreach strategy and then staying dedicated to it to ensure that every voice is at the table.
- Raising the funds to support every stage of the work.
- Creating commitment for sustained engagement of the public over time.

America*Speaks* has conducted more than forty *21ˢᵗ Century Town Meetings* in 31 states around the country and in the District of Colombia.   We have also provided consultation and technical support to meetings held in Australia, Canada, and Great Britain.  Meetings have addressed local, state and national decisions on issues ranging from national social security reform to regional planning and municipal budgeting.

Our nationally-recognized projects include *Listening to the City*, an effort to engage the public on the World Trade Center redevelopment process, and *Americans Discuss Social Security,* a ground-breaking national dialogue on the future of Social Security.

**Listening to the City:  A Brief Synopsis**
In 2002, America*Speaks* had the tremendous opportunity to provide citizens with a meaningful voice in the process of rebuilding the World Trade Center site.  All aspects of the rebuilding effort were unprecedented in scope, complexity and emotion.  Soon after the attacks stark

differences over the future of the site began to divide family members of victims, business leaders, and residents.  Civic leaders and members of the general
public feared that business and political interests would prevail, fueling doubt and cynicism that their input would be taken seriously.  Within this context, the Civic Alliance to Rebuild Downtown New York asked America*Speaks* to develop a project that would transcend these differences and provide decision-makers with public priorities about the redevelopment of the trade-center site.

To assist city leaders in developing a shared consensus around the future of the site, America*Speaks* designed and facilitated a groundbreaking citizen engagement effort that included two 21st Century Town Meetings and a two-week online dialogue conducted between February and July 2002.  The first meeting, designed to shape a vision for the rebuilding process, reached approximately 700 people, primarily community leaders, issue advocates and planning professionals.   Then in July in order to solicit input on the first site plans, the second meeting engaged approximately 4,500 members of the general public who closely mirrored the demographic diversity of the region.  Finally, a two-week online dialogue reached another 800 people from the region, who reviewed the site options in small "cyber" groups.

*Results*

The input generated from the *Listening to the City* project significantly impacted the outcomes of the rebuilding process and site design.  The vision and principles for the rebuilding process, articulated by the participants in the first *Listening to the City* program, changed the decision-making climate by highlighting the value of involving the public in the rebuilding process. Decision-makers from the Lower Manhattan Development Corporation and Port Authority, impressed with the process and initial results, co-sponsored the second meeting and incorporated it into their official public engagement process.

When participants in the second *Listening to the City* meeting voiced strong disapproval of the initial site plans, the decision-makers responded.  They went back to the drawing board, initiating an international competition for plans that embodied the public values and development priorities articulated at the meeting.  Many elements of Daniel Liebskind's winning design honored these elements and directly responded to public concerns about the first set of plans.

*Listening to the City* demonstrated that it is possible for thousands of citizens to come together, deliberate on difficult issues, and reach consensus within a charged and complex decision-making process.  The process was praised by many decision-makers, the media, and the architecture/planning leaders as a model for the future.  Several months after the meetings, in a speech to the architecture community, *New Yorker* architecture critic Paul Goldberger called July's *Listening to the City* "incredible."

"I would be tempted to call it a turning point in the story not only of the World Trade Center, but of American planning in general," he said. "Thousands and thousands of people talking seriously about urban design is something I never thought I would see."

**The Challenge Going Forward**
Practitioners of many methods of deliberative democracy besides America*Speaks*; Study Circles, National Issues Forum, Deliberative Polling, Public Conversations, to name a few, are having the same experience of the public's readiness, capability, and enthusiasm for embracing opportunities to be authentically engaged in governance and decision-makers willingness to respond. However, to date in this country most of these opportunities are sporadic, event-based and initiated outside of government rather than embedded in the processes of governance. (There are clearly some exceptions to this statement: for example, the Neighborhood Councils of Los Angeles, the North Dakota and Montana Consensus Councils, and the newly adopted public engagement framework of EPA.)

The vision driving all of this work is the institutionalization of citizen voice in governance. Our challenge is to truly change the way we do public business to include citizens as a core part of the process. Only when we have woven citizen voice into the fabric of governance at all levels of jurisdiction will we have faced the challenge of revitalizing our democracy and renewing the hope that the idea of America has inspired in millions across two centuries.

Carolyn J. Lukensmeyer
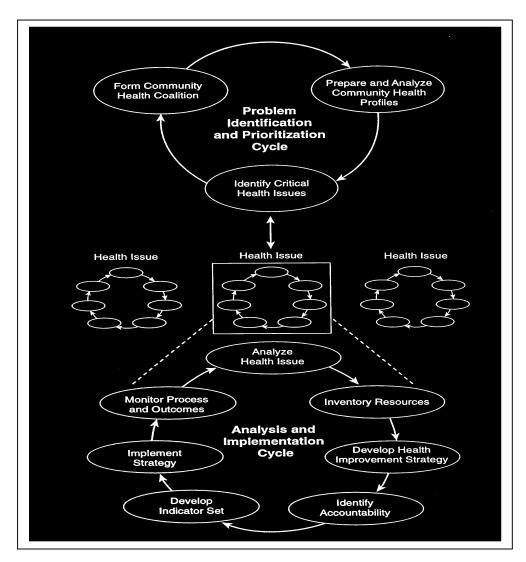President and Founder
America*Speaks*

# PUBLIC INVOLVEMENT IN COMMUNITY HEALTH IMPROVEMENT

Michael A. Stoto

Most health problems require community-based solutions. Providing immunizations to all children, controlling epidemics and infectious disease (including bioterrorism), dealing with substance abuse, addressing the causes and consequences of obesity, dealing with environmental health risks all demand population-based solutions. As a result, many public and private entities have a stake in and can affect the community's health. Clearly these include health care providers, public health agencies, and community organizations explicitly concerned with health. They can also include schools, sports clubs, employers, faith communities, and agencies providing social and housing services, transportation, education, and justice that may not see themselves as having an explicit health role.

Reflecting these realities, public health is thus appropriately characterized as "what we as a society do collectively to assure the conditions for people to be healthy" (IOM, 1988). In this context the public's health is a shared responsibility, and its management clearly requires partnerships between governmental public health agencies and many other community entities. It also requires an effective mechanism to encourage and maintain public involvement.

To facilitate partnerships and public involvement, the Institute of Medicine has developed a model Community Health Improvement Process (CHIP) as a tool to address a community's collective responsibility for its health (IOM, 1997). Drawing on a variety of existing community health improvement processes, the CHIP includes two principal interacting cycles based on analysis, action, and measurement (see Box 1). The health assessment activities that are part of a CHIP's problem identification and prioritization cycle, on which I will focus today, include production of a community health profile that can provide basic information to a community about its demographic and socioeconomic characteristics and its health status and health risks. This profile provides background information that could help a community identify issues that need more focused attention and put other health data in context. For each such issue, the CHIP also includes sets of specific, quantitative performance measures, linking accountable entities to the performance of specific activities expected to lead to the production of desired health outcomes in the community.

Box 1.  The IOM Community Health Improvement Process (CHIP).

**Example: Community Health Indicators for the Washington Metropolitan Region**

The Metropolitan Washington Public Health Assessment Center at the George Washington University School of Public Health and Health Services has developed a set of Community Health Indicators for the Washington area that illustrates the benefits and challenges of constructing a community health profile.

To ensure its relevance to local public health officials and others in the community, the report was prepared under the guidance of an advisory committee that included representatives from area health departments.  With a focus on health promotion and disease prevention efforts in the region and the Healthy People 2010 (DHHS, 2000) leading health indicators as an organizing framework, 29 indicators were selected.  The choice of indicators was guided by several considerations:

- Presenting a mix of measures for health outcomes, such as death rates, and preventable health risks, such as smoking.
- Focusing on health concerns for which effective preventive interventions are available.
- Having data available for each of the nine county-level jurisdictions in the region.

Nine of the indicators used data from vital statistics, and an additional ten indicators were based on special county-level tabulations of CDC's Behavioral Risk Factor Surv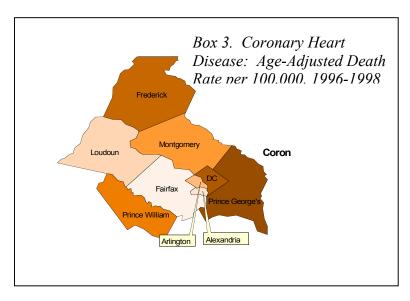eillance System (BRFSS) data.  The state health departments supplied data for five measures on reportable infectious diseases, and data for the remainder of indicators were gathered from various state and local sources.

Box 2.  Healthy People 2010 Leading Health Indicators

1. Physical activity
2. Overweight and obesity
3. Tobacco use
4. Substance abuse
5. Responsible sexual behavior
6. Mental health
7. Injury and violence
8. Environmental quality
9. Immunization
10. Access to health care

Based on these data, the report concluded that, on the whole, the adult population of the Washington metropolitan area is healthier than the nation as a whole.  For 19 of 27 indicators, the Washington region is doing as well or better than the national average.  For instance, the region's coronary heart disease death rate and mammography rate already more than meet national targets for 2010, and the estimated rate of adult obesity in the region is almost at the national target.  On some measures, however, the region appears less healthy than the nation.  Particular problems are AIDS, gonorrhea, and other sexually transmitted infections; binge drinking and firearm-related deaths; and infant mortality and low birth weight.

The data also show that the region is diverse, and that every jurisdiction has strengths and some weaknesses.  Jurisdictions with higher average socioeconomic status still face challenges in promoting health and preventing disease in pockets of poverty and among growing immigrant communities with varying cultural and linguistic characteristics.  Rates for whites were better than the national average for 17 of 19 indicators analyzed by race, but better for blacks for only 5 of the 19 indicators (smoking, suicide, motor vehicle deaths, dental care, and mammography).  The data available for 10 indicators also confirm that people with more education and higher household incomes tend to have more healthful behaviors.

Box 3.  Coronary Heart Disease:  Age-Adjusted Death Rate per 100,000, 1996-1998

Finally, the analysis highlighted some key regional health data needs.  In particular, the region needs data comparable across jurisdictions on behavioral risk factors for adolescents and more data on risk factors for younger children.  Also needed are data on the use of hospital and

emergency department services, such as visits for asthma, injury, or mental health care, compiled in forms suitable for regional or jurisdiction-based analysis.

**Conclusions**

Community health assessments are intended to help a community maintain a broad strategic view of its population's health status and factors that influence health in the community. They are not expected to be a comprehensive survey of all aspects of community health and well-being, but should be able to help a community identify and focus attention on specific high-priority health issues.

Developing community health assessments and using them to engage the public is not without its challenges. First, accurate, appropriate, comparable and especially relevant demographic and public health data must be located, and non-traditional sources must often be explored. Second, public health officials and statisticians must go beyond their traditional practices become more open to community concerns; community members, on the other hand, must be willing to be guided by data rather than just gut feelings. Third, energy and momentum must be maintained over the long time frame needed to effect changes in population health. Unhappily, September 11, 2001 was only months after the release of the report for the Washington metropolitan area, and many of those involved in preparing that report have had to turn their attention to other public health matters.

The Turning Point program, a national initiative of the Robert Wood Johnson and the W.K. Kellogg Foundations, was founded on the idea that diverse groups working together can better identify and influence the determinants of health. In his final evaluation of the program, Baxter (2001) notes that community health assessments and other tools have successfully "engaged individual citizens, community organizations, businesses, civic organizations, and others from *both* inside and outside the health field."

By engaging the public, health assessments can help motivate communities to address health issues. For example, evidence of low immunization rates among children or the elderly might encourage various sectors of the community to respond, through "official" actions (e.g. more systematic provider assessments of patients' immunization status) and through community action (e.g. volunteer groups offering transportation to immunization clinics). Comparisons based on health assessment data may also help communities set health priorities. These comparisons can be based on measurements over time within an individual community, comparisons with other communities or with state of national measures, or comparisons with a benchmark or target value.

In summary, community health assessments can be valuable tools in engaging the public to manage the community's health.

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# PUBLIC INVOLVEMENT BEST PRACTICES
# LINKING LAND USE & TRANSPORTATION

Harrison B. Rue

## Summary

This paper outlines effective practices for incorporating grassroots community-based planning techniques into the statutory transportation planning process, while developing new strategies for linking land use and transportation planning, re-engineering roadways to enhance safety and multi-modal mobility, and encouraging more compact development patterns. The basic components – inter-agency teams, facilitator training, community education, hands-on charrette-style workshops, engaging presentations, group workbooks, and inspiring buildable plans – have been developed over time by the Citizen Planner Institute, and tested in communities across the country.

## Practice Development & Core Principles

These practices have been developed over the last fifteen years (working with firms like Duany & Plater-Zyberk, Dover Kohl, Ramon Trias, Correa Valle Valle, Dan Burden, Daniel Williams), and tested in a wide variety of community and agency applications. The author founded the Citizen Planner Program at Miami-Dade Community College in 1995, to translate complex New Urbanist principles to average citizens and planning staff. The MacArthur Foundation's Sustainable Everglades Initiative funded expansion of the program's training workshops and community charrettes into South Florida, and required collaboration with a wide range of community and government groups. Florida Department of Community Affairs funded additional training workshops for communities and agencies across Florida. In 1996, the Citizen Planner Institute (CPI) was founded to carry this work on outside the community college system. US EPA provided funding to complete and publish the training handbook, *Real Towns: Making Your Neighborhood Work*, along with several training workshops in California.

During the early years of program development, Citizen Planner training typically lasted a month or more – four half-day sessions for agency staff, and four evening sessions for community groups. As the materials improved, and presentations were refined, this was compressed to a single training session (mornings for staff, evenings for citizens, and a walking audit in the afternoon) to prepare for a Saturday planning workshop.

After helping Walkable Communities kick off Honolulu's Islandwide Traffic Calming Project in 1998, CPI was invited to stay and oversee public participation for Oahu Trans 2K, a Major Investment Study for a proposed Light Rail project. Because of an aggressive timetable – and ideas that were new to both the community and a very large project team – we tightened up the process significantly. This included: more efficient agency & leadership training, formalized facilitator rules *(a 2-page handout & 2-hour training),* turning public input into 'data' *(2,400 separate sortable comments entered into an Access database from Round 1 alone)*, requiring agency & consultant participation *(over 100 staff & consultants trained from almost 20 firms and agencies)*, all-out publicity and communications strategy, blueprint-sized group workbooks, and regular reports on the Action Agenda *(what ideas each agency had implemented since the last workshop)*. The Oahu Trans 2K workshops – always an efficient 2-hour hands-on session – went

through four rounds of nearly fifty workshops and over fifty focus groups in six months. Most significantly, the active public input led to actual changes in the project, which started as a Light Rail study and morphed into a Bus Rapid Transit project to meet clear community concerns over cost and maintaining clear views. In essence – if you're going to seek public input, you have to follow through on what you've heard.

Although each project takes a slightly different approach, the most critical elements are common to all. Facilitator training for both agency staff and community leaders is a key predictor of success, since it essentially gives the process over to the community – although a strong moderator is always needed to stay on track. The RoadWork exercises (from *Real Towns*) and Walking Audits help participants to understand their own neighborhoods, while looking for areas where change is appropriate. Even where trained facilitators are plentiful, we practice an 'open architecture' process – by describing in the opening PowerPoint just what we'll do that night, and then clearly laying out the ground rules before each group exercise.

Bricks and mud tend to be thrown when there is a big audience. While discussions with the entire group are good for initially laying issues on the table, and for taking questions and explaining details of a plan being presented at a later workshop, most creative work happens in small groups (eight to 10 people per table), typically using markers on large area maps. One classic and powerful tool is also the simplest way to start a group's engines – one-on-ones. The audience is asked to divide into twos and share a key issue with each other, with one caveat – they each have to listen and report the other's comment back to the group. Another simple trick, 'post-it visions,' starts with individual input and leads to a summary of what the group has in common, all in about ten minutes. Each person is given five post-it notes and a few minutes to write down five phrases that describe their long-term vision for the community. These are then self-sorted on the wall into topics that invariably demonstrate how much the group already holds in common. Another way for the groups to prioritize issues before heading to the tables is listing all the problem areas and potential solutions (big paper, big print), then posting those lists on the wall for a 'dot vote' – which again demonstrates clear group preferences. Good process makes effective use of technology, especially clear and well-organize PowerPoint presentations to lay the groundwork and define options. A variety of image-rich toolbox solutions are presented, along with instructions for working together. These images are often available for viewing or comment on the website. Finally, the hallmark of an effective process is efficiency   While many of our community design workshops are an all-day Saturday event, most of the work on transportation projects discussed herein is accomplished in well-organized two-hour sessions.

## Case Studies

The United Jefferson Area Mobility Plan, or UnJAM 2025, is a regional long-range transportation plan linking transportation, land use, economy, and environment. It focuses on improving mobility, increasing the use of non-SOV modes, making the best use of our existing roadway investments, and targeting transportation investments to support smart land use decisions.  Initiated in April 2002, UnJAM 2025 couples the MPO's Charlottesville-Albemarle Regional Transportation Plan for the urban/suburban area with the Rural Area Transportation Plan for the surrounding four counties.  The inter-jurisdictional planning effort is led by the TJPDC, with active participation from local, state, and federal agencies.

UnJAM executed an extensive public involvement campaign, focused on interactive, hands-on workshops, and taking a fresh look at transportation and land use options.  Eight Round 1 workshops were conducted throughout the region.  Staff described the transportation planning process, outlined potential improvements using tailored PowerPoint presentations, and invited participants to mark their ideas on large area maps.  Facilitator training was conducted for local and state staff and community members in each locality – from Chamber of Commerce and Planning Commission members to bike and rail activists. These local groups facilitated the workshops and helped publicize the events. Extensive PR materials were developed, utilizing all available methods of free and paid publicity. Letters, E-mail, newspaper ads, public service announcements, flyers, partner newsletters, websites, banners, and VDOT blinking trailer message signs were utilized. Flyers and ads were distributed in Spanish, as well as in low-income and minority communities and publications. Workshops were held throughout the region at convenient, transit-accessible locations, in the evening when most people are available. Partnerships with regional transit providers offered free rides. A KidJAM activity was advertised for the workshops (rather than childcare) to encourage attendance by parents and incorporate young people's point of view.

Targeted focus groups obtained input from senior citizens, low-income persons, minorities, business people, disabilities groups, and transportation activists. A separate workshop for elected officials was also held. Follow-up activities utilized the same hands-on public process to focus on related issues such as mixed-use development (with Realtors & developers), age-friendly streets (with senior organizations), and traffic calming (with disabilities activists and emergency responders). UnJAM Round 2 workbooks were then created to outline the draft plan, based on Round 1 input, and customized for each county. During Round 2, citizens worked together around the blueprint-sized group workbooks and provided collaborative feedback on transportation issues and priorities.  Each page included questions to encourage discussion and prioritization of policies and projects. A joint Regional Round 3 Open House will be held in November to present the final UnJAM Plan.

UnJAM 2025 builds on and enhances ongoing efforts by the partners to create and implement community visions for mixed-use, transit-oriented development that preserves and protects the environment. Most importantly, it incorporates these principles into the official VDOT/MPO long-range transportation planning process. UnJAM coordinates multi-modal transportation planning with locally desired compact village development patterns.  The public workshops, presentations, training, and workbooks focus on ways to decrease dependence on the automobile and link transportation systems with growth to enhance quality of life.  UnJAM advances transportation demand management, community walkability, and transit-oriented mixed-use development. UnJAM and its related principles have become a household word with community members, local elected officials, agency staff, and area businesses.

UnJAM has wrapped around several related planning efforts. The Eastern Planning Initiative modeled changing how and where growth occurs, by building around historic town centers in walkable, village-scaled development, preserving forests and farmland, and saving up to $500 million in transportation investment. The Hillsdale Drive Traffic Safety Study developed age-friendly roadway improvements. MPO Walkability Workshops increased awareness of pedestrian issues, and broadened the base of allies to include fire chiefs and disabilities activists. As an outgrowth of UnJAM, VDOT and local staff requested training from the MPO in

roundabout modeling and design, and attended TJPDC's Mixed-Use Housing Conference. This led to the inter-agency 29H250 study focused on creating intersection improvements to foster transit-oriented, mixed-use development along a typical suburban arterial strip.

**Challenges**

While there are significant challenges to wedding grassroots-style public participation to complex, traditionally regulation-laden transportation planning, the rewards are worth the effort. The biggest challenge is getting people to the table – from competing jurisdictions, agencies, funding sources, public and private developers – to the public at large. It is much easier to get 300 people to turn out after a fatal crash, or to oppose a specific highway, than it is to work together developing regional long-range plans. Similar challenges exist in getting on-going cooperation to coordinate development proposals with transportation improvements that (might) occur far in the future. While we have had strong participation from developers and builders in neighborhood-scaled community design workshops (often eager to incorporate their projects into the plans) it is much more difficult to coordinate major developers' investments with a long-range transportation plan. Creating a successful marriage between transportation and land use planning requires extensive community education, consensus, and long-term action on some of the potential implementation tools, such as: creating urban design guidelines, updating parking regulations & requirements, developing healthy streetscape standards, encouraging compact Transit-Oriented Development, adopting mixed-use zoning, amending building and rehab codes, and developing an integrated, multi-modal transportation network.

**Strengths**

Effective public involvement is rooted in hands-on community process and partnerships between local jurisdictions, state and federal agencies, transit providers, business groups, developers, regional organizations, and community activists. The comprehensive approach relies on 1) getting people to the table; 2) a well-designed process – including facilitator and staff training, issues-oriented focus groups, and hands-on public workshops; 3) comprehensive, exciting, visual plans with innovative designs and local examples; 4) an action plan to get buy-in and determine priorities, and 5) funding and implementation of model projects.

Having more people involved – public, business people, staff and agency leaders – helps a plan withstand the vagaries of short election cycles, staff turnover, and lengthy funding timelines. A comprehensive cross-program approach can solve more problems, attract varied funding sources and allies, and build a wider support base. By coordinating related efforts in one region over time, the effect of each plan or program is multiplied. Using an 'open architecture' process, coupled with extensive training, allows participants to apply the principles in other community exercises.

An effective process must be simple enough to be replicable in other communities. The techniques, tools, and process used to develop UnJAM can be repeated anywhere, regardless of size, location, or sophistication. The Level of Quality Guidelines, Facilitator Toolbox, QuickPick Forms, PowerPoint presentations, and workbooks used in UnJAM 2025 are available at www.tjpdc.org and could be tailored to fit any region.

Effective process does not replace governance and good business with anarchy. In a well-designed process: the people 'own' the process, the designers do their work, the developers or

agencies 'own' the projects, the elected decision makers still make the tough decisions, and, most importantly, the plans get built.

**MODELS OF COMMUNITY JUSTICE:**
EXPLORING DYNAMICS OF COMMUNITY PARTICIPATION

Todd R. Clear

*Community justice* has three elements.
- First, there is a focus on "place," such that community justice initiatives are located in coherent residential areas in which there is a shared identity of community. This may include a single legal jurisdiction, but more frequently applies to a sub-jurisdictional area.
- Second, the aim of community justice strategies is to "add value" to those places. That is, the project's activities are designed to go beyond the traditional focus on arrest-adjudication-punishment to include, intentionally, strategies that improve physical plant and increase informal social control.
- Third, the fundamental goal is to enhance the level of public safety.

There are today many different forms of community justice illustrating these broad characteristics. For example, approaches as disparate as restorative justice centers, community-oriented policing strategies, neighborhood block watches, reentry centers, and community courts, all provide an aspect of community justice services under differing conceptual umbrellas.

While the common elements of these programs are important, they also have important differences. In a recent book on community justice, Clear & Cadora identified four stereotypical models of community justice (p. 116) used to analyze variations in community justice strategies. The four models are:
- *Involvement Model:* This form of community justice seeks greater citizen involvement in the work of public safety.
- *Partnership Model:* Here, justice agencies such as the police work in collaboration with citizens and other public- and private-sector interests to generate strategic solutions to prevent crime.
- *Mobilization Model:* The basic form of community action is community mobilization, in which citizens come together to advance their interests by pressuring government authorities.
- *Intermediary Model:* This approach assumes that what is needed most is the creation of a new community-based entity that funnels a reinvestment of existing resources to more directly target the needs of the community.

One of the ways in which community justice initiatives differ is the manner in which they engage the community. In this paper, after a brief review of the models and their main elements, I explore the dynamics of community participation in these approaches to provide a practical basis for evaluating assumptions underlying disparate strategies of community justice.

*The Involvement Mode*
From its first days, the community policing movement was a call for citizens and police to work together to deal with the problems of crime and disorder in urban settings. The idea was to *involve* citizens in the planning of police activity. The *Involvement Model* is not solely a policing strategy for community justice. Probation departments have established community advisory boards, and community courts often work closely with citizen leadership groups.

Vermont's Reparative Justice Boards are fairly pure forms of involvement, in which the citizens themselves determine the sanctions to be implemented by the corrections system. Some Community Courts have active citizen advisory boards. In each of these involvement strategies, the community justice managers experience a flow of information from the community to the justice process guiding their efforts, and there is a strong sense of support from the community for the actions of community justice.

Inherent within this strategy is a bilateral orientation involving the community--usually represented by some leaders and spokespersons--and the justice agency, working in tandem. The fact that the justice agency is working independently of other agencies can be a strength of this approach as well. There are no boundary concerns or turf battles, one person can speak for the interests of the justice agency, and changes in justice practices or procedures can be relatively quickly achieved.

But there are questions, too, about the depth of participation and representativeness of the citizen "voice." Most *Involvement Model* approaches encompass a limited form of citizen participation. People are hand-picked by justice agencies for advisory board membership, and "open" community meetings are often sparsely attended. Studies of community policing in Chicago find that the personality and philosophy of the local police leader has a lot to do with how well the community initiative proceeds. In particularly poor places, people who are unable to devote much time to voluntary participation or who are already alienated from authority are unlikely to become involved. Consequently, their views are less likely to be represented in the community-based actions that result.

*The Partnership Model*
Under the *Partnership Model*, justice agencies such as the police work in collaboration with other public- and private-sector interests to identify problem priorities and generate strategic solutions to prevent crime. This approach recognizes that almost any crime or disorder problem facing a community raises the practical concerns of groups other than justice agencies and residents. If there is a problem of homelessness, for example, the local shelters will be involved, as will welfare agencies and religious groups. If there is a problem involving gangs, there is a need to consult with schools, family services, and juvenile probation. In the *Partnership Model*, criminal justice agencies work collaboratively with resident groups such as neighborhood councils or citizen volunteer groups. They also partner with other criminal justice agencies, non-justice governmental agencies, even the private sector.

A good example of the collaborative type of public safety effort is the Ten Points Coalition in Dorchester, Massachusetts. Led by a group of ministers, the coalition brings criminal justice representatives from all parts of the criminal justice system (police, courts, and corrections, including local, state, and federal) together with an array of social services, local citizen leaders, and private-sector representatives to work to combat gang violence. In Boston, partly as a result of the work of the coalition, gang homicides were cut by 90%.

The great advantage of the *Partnership Model*, that it offers a far more sophisticated response to complicated and sometimes entrenched problems, is now widely accepted. Most community justice initiatives today employ multiple partnerships to achieve their ends in order to increase the scope and flexibility of what can be done.

Partnerships have proven to be quite successful, but they are not without problems. Many of the agencies trying to work together are funded by the same sources, and there is a natural sense of rivalry among them for public support and funds. Moreover, years of isolation from one another may have created a history of conflict, and there is a natural tension between organizations whose mission is to "help" and organizations set up to investigate, accuse, and punish.

The main difficulty, however, is the limited capacity of those neighborhoods with the greatest public safety problems to prove meaningful partners. Places that suffer great deficits in public safety are also usually quite poor. They lack economic infrastructure because they have few businesses and serve as home to many people who are unemployed. Drugs are far easier to obtain than jobs. Few families are intact, and adults who work generally face severe demands for their time, and there may also be very limited confidence in the ability of service agencies and justice to affect problems of the neighborhood. In such there is not much basis for collective action. People tend to mind their own business. There is often suspicion of the government and its agencies, with widespread suspicion or indifference to neighbors, as well. People are cynical about the motives of social services and justice, and they have plenty of experience to justify the cynicism. Finding partners and getting them to devote their energy to the partnership in these locations is always hard work requiring time and continual resources to sustain the partnerships.

*The Mobilization Model*
The earliest form of community action was community mobilization, which seeks to counter the most prominent problem underlying poor neighborhoods: social disorganization. The essence of the mobilization approach is to bring people together to confront their own problems. The idea is that people who live in poor places cannot rely upon outsiders' altruism for an improvement of their conditions. They have to take their destiny into their own hands. An archetypal mobilization strategy is Neighborhood Watch. Here, citizens band together to keep an eye on one another's property and children, making sure that strange people and "undesirables" are not able to put them in danger.

The theory underlying mobilization strategies is that these approaches work by creating new capacity within neighborhoods. In this regard, neighborhood-organization strategies have a spotty history. For one thing, any attempt to improve a neighborhood's capacity must build upon something, and the places that most need improvement are also places that have the least foundation to start with. Often, the way to get a poor community mobilized is to inflame a sense of anger about an event or the conditions that exist, and to use the anger to get a group to "march on City Hall" and demand changes. Such confrontational strategies can generate a lot of interest and action by residents at first, but it is very hard to sustain interest or motivation after the first few public happenings. People work out their anger, and it subsides; or they see that the protest seems to bring only resistance, with little evidence of changes. City Hall girds itself to deflect the protests, and politics weakens the long term viability of the mobilizers. They easily become discouraged, the "protest" ends, and things go back to the way they were.

*The Intermediary Model*
The Intermediary Model operates under two assumptions. First, what troubled neighborhoods need most is investment in capacity so that new strengths can be created and the

natural base can be augmented. Second, ironically, what troubled neighborhoods have is a large contingent of uncoordinated, largely ineffective agencies and services involved in community life but not affecting it very much. From this point of view, what is needed most in any strategy to improve community capacity is a reinvestment of existing resources to more directly target the needs of the community. To achieve this reinvestment, a new community entity is created–an intermediary–that pursues the interests of the community. These intermediaries typically comprise local groups such as a neighborhood development corporation or a local development council, with resident leaders who become active in advancing basic neighborhood interests, notably housing, health care, and economic development. The intermediaries address public safety  by working with governmental and nonprofit groups to reorient their services toward new strategies for neighborhood improvement. The *Intermediary Model*, therefore, does not spring up spontaneously, nor is it born in the planning of a particular criminal justice agency. Rather, this model represents a natural evolution of action for both the neighborhood group and the criminal justice (and other) services working in that neighborhood. Because intermediaries are not from the criminal justice system, they tend to develop public safety strategies that are different from typical crime-prevention approaches of criminal justice: a new recreational program to occupy the free time of local youth; a drop-in center and a mentoring program for youth with insufficient parental supervision; day care so single parents can work, and so forth.

There is little evaluative track record for the Intermediary Model, because it is the newest approach to community justice. On the positive side, many community initiatives are moving in the direction of this approach. Rather than making unilateral efforts, criminal justice agencies are increasingly working in partnership with existing community groups and important nonprofit and public collaborators. More and more, the orientation of justice innovation is to strengthen the capacity of the community to deal with its public safety issues in addition to providing crime-prevention services. On the negative side, however, coordinating the agendas of the multiple agencies involved in a single location is a difficult task. For a local neighborhood group to be able to devote sufficient effort to the task requires more than just a handful of eager volunteers; it needs a core leadership for the long term and a funding source, usually some form of governmental grant or subsidy. Here, too, the neighborhoods most in need of gaining this new capacity are also least capable of securing the kind of funding that enables the capacity to be built.

**BUILDING COLLABORATIVE COMMUNITIES**

David Straus

Clearly, it's possible to change the civic culture of a community, but it takes more time than to change the culture of an organization. The change is more likely to be initiated from the bottom up, by individuals and organizations, than from the top down by elected officials. Elected leaders tend to take the lead from their constituencies rather than the other way around. In any case, the two main cultural change strategies are the same no matter where or how the process is initiated: demonstrating the power of collaboration and transferring the skills to make it possible.

**Demonstrating the Power**

For cultural change to take hold, members of a community must experience successful collaborative efforts at every level, from citywide planning and visioning to neighborhood consensus building to collaborative problem solving in their own workplaces. The more that citizens personally experience the power and effectiveness of multi-stakeholder collaboration, the more they will come to accept this approach and expect it to be the norm, the preferred way of dealing with complex issues. Citizens will come to expect public leaders to initiate and actively participate in open, collaborative processes rather than negotiating deals behind closed doors.

I've found that leaders of organizations often need to test the effectiveness of facilitated collaborative problem solving internally before they will openly advocate for it as a way to resolve public disputes. In 1974, Interaction Associates was approached by the federal Bureau of Land Management in California to advise how facilitated, collaborative problem solving could help different interests reach consensus on one of the largest land use plans ever attempted, the California Desert Plan. At the time, no one believed it was possible to get stakeholders with such strongly held positions to collaborate. Senior managers at the BLM were not willing to try this approach until they had seen it in action behind closed doors. At the time, the BLM had set up a large project office in Southern California to draft the plan. The staff was organized around different components of the plan, mirroring the interests of the public: environmental preservation, recreation, agriculture, mining, etc.

So, we went in and facilitated a series of meetings among the staff to help them find common ground on a potential process design for a collaborative effort. During this process, BLM leaders saw how collaborative problem solving worked, and they decided to propose a facilitated planning process involving public interest groups. Like the BLM, businesses and nonprofit organizations often need to test consensus building internally before they can energetically support and know how to participate constructively in facilitated, inter-sector collaborations. The BLM's effort, one of the first large-scale processes of facilitated collaborative problem solving, resulted in a comprehensive land management plan that garnered broad approval and avoided the major legal challenges so often associated with this kind of plan.

For a community to build a collaborative culture, its government must also begin to operate collaboratively. The mayor and his or her department heads must model the behaviors of facilitative leadership and be comfortable opening up their decision-making

processes to the involvement of internal and external stakeholders. To state the obvious: If local government and many for-profit and nonprofit organizations develop collaborative cultures and have positive experiences collaborating with each other, the community will be well on its way to developing a collaborative culture. It would be a relatively small step for elected officials to declare openly that they are committed to building and maintaining a spirit of collaboration throughout the whole community.

**Transferring the Skills**

Systems change because the people in them change. If a significant number of people in a system, even one as large as a town or city, consciously adopt the values and practice the skills of collaborative action in their personal, civic, and work lives, the culture of the whole system will change. So the second approach to systemic change, which should be applied in parallel to the first, is a training approach: to provide as many opportunities as possible for citizens to be exposed to effective collaborative problem solving and learn the skills of collaborative action.

The region of Greater Portland, Maine, has made a significant commitment to resolve disputes collaboratively and build a more collaborative civic culture. In 1993 Jim Orr, the President of UNUM, a large insurance company based in Portland, approached the mayor and the president of the Chamber of Commerce about launching a citywide collaborative effort to explore the idea of a multisector leadership program. These three individuals, in turn, approached me about designing and facilitating this collaborative exploration. The effort resulted in the creation of the Institute for Civic Leadership (ICL), an organization that has graduated six classes of roughly 30 participants each, drawn from the highest levels of management in city government, local businesses, and community organizations.

ICL's course, first designed and delivered by David Chrislip and myself and more recently taught by my colleagues Thomas Rice and Marianne Hughes, meets for a total of 15 days over six months and includes a three-day Outward Bound trip. During the course, participants are taught facilitative leadership skills and how the principles of collaborative action can be applied in the community and participants' own organizations.

What is so exciting is that there are now almost 200 graduates who have built strong personal ties and share a common language of the processes of collaborative action. Periodically, this group of 200 influential leaders gets together to review the challenges facing their community. They work together to ensure that for each important issue, there is a well-designed collaborative effort that involves the appropriate stakeholders and has adequate resources. The graduates of ICL have become a powerful force for collaborative change in their community.

My colleagues at the Interaction Institute for Social Change provide another illustration of the fact that it is possible to launch a community on the pathway of cultural change. They have been engaged in helping to build a civil society in Northern Ireland. In partnership with the Workers' Educational Association there, the IISC has trained more than 500 local leaders in facilitative leadership skills. These leaders are now applying the skills in their own work. The IISC has also trained 17 trainers/facilitators who are continuing to transfer the skills and tools necessary for cross-sectarian community and economic development to

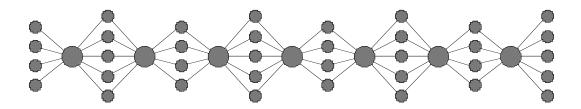the grassroots leaders who must deliver on the promise of peace and social justice in Northern Ireland.

**CONCLUSION**

Over the past 30 years, communities' acceptance of multi-stakeholder collaboration has grown exponentially. In communities where the idea of facilitation was once unknown, many organizations now deliver high-quality process consulting and training services. I believe our communities are becoming more collaborative everyday. All we have to do is keep pushing on the two prongs of the change effort: demonstrating the power of collaborative action and supporting more capacity building in the required collaborative skills.

**Appendix: PRINCIPLES OF COLLABORATION**

A collaborative problem solving process must include from the beginning all the individuals or groups who are responsible for final decisions, are affected by the decisions, have relevant information or expertise, and who have the power to block the decisions.
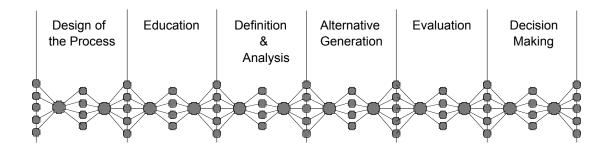
## Accordion vs. Linear Approach



If you don't agree on the problem, you'll never agree on the solution. Collaborative problem solving is problem oriented vs. solution oriented.

Participants in a collaborative process must own the process. They must be involved in designing the process.

In general, collaborative problem solving should proceed phase by phase, with a check point for consensus at the end of each phase.

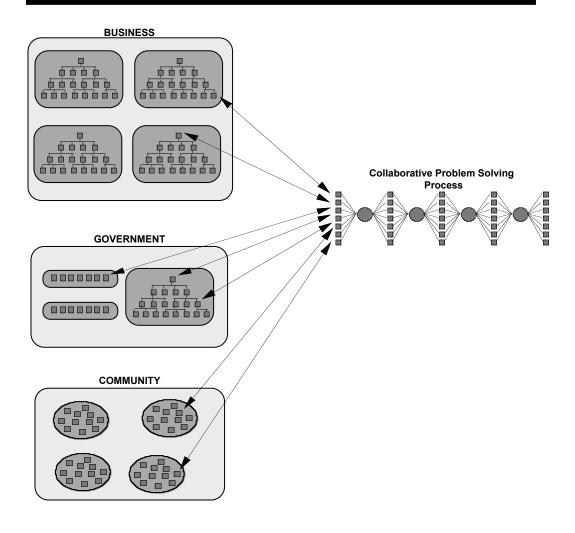| Design of the Process | Education | Definition & Analysis | Alternative Generation | Evaluation | Decision Making |
|---|---|---|---|---|---|



The power of the collaborative process comes from inclusion, not exclusion. Power results from the overlapping memberships of the participants. The process has no formal authority. It is based on consensus.

**FORMAL ORGANIZATIONS**
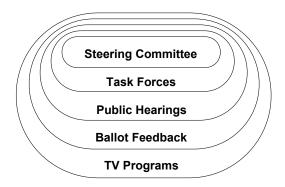
**POWER/AUTHORITY
DECISION MAKING**

**INFORMAL STRUCTURE**

**COLLABORATIVE
CONSENSUS-BASED
RECOMMENDING**

**BUSINESS**

**GOVERNMENT**

**Collaborative Problem Solving
Process**

**COMMUNITY**

Participants in a collaborative process represent points of view and interests, not numbers of people.

The concentric rings of involvement must be kept open and permeable. Participants must be able to increase their level of involvement.

```
                    Steering Committee
                      Task Forces
                     Public Hearings
                     Ballot Feedback
                       TV Programs
```

The key decision maker(s) must agree to participate in the collaborative process and consider it as an integral part of their "real" decision making process.

Only the parties with the ultimate decision making power can ensure a win/win process.

The commitment of the key decision making organizations must be evidenced by a commitment of resources (dollars, in kind support services, personnel, etc.).

A participative process takes time and money and staff support. Often, you must go slow to go fast.

The process of collaboration must be educational. Participants in each ring of involvement must be educated about the issues.  The process of education is one of the important benefits of a collaborative process.

A collaborative effort must produce some immediate successes / spin-offs in order to demonstrate its legitimacy and effectiveness.

A collaborative process must be open and visible. The public must  be aware of it as it happens.  Media and "spectaculars" are important tools.

The key to effective collaboration is how the meetings are run.
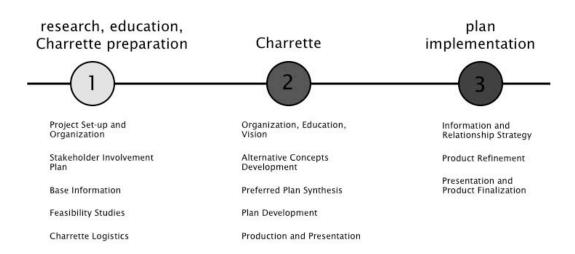The role of neutral third party facilitator is critical.

**DYNAMIC PLANNING AND CHARRETTE OVERVIEW**

**The National Charrette Institute**

Please note: The following material was not included in the forum packets with the other papers, it was presented at the Public Involvement Best Practices forum by the National Charrette Institute's Executive Director, Bill Lennertz.

Dynamic Planning is a three-part approach for leveraging positive change in public and private planning efforts. It is employed most often in the land use and transportation field. It uses different aspects of collaborative decision-making to involve all stakeholders early on and throughout the process so that no relevant viewpoint will be overlooked. The process commences with the Charrette Preparation phase, followed by the Charrette as a fulcrum at the middle phase, and closes with the Plan Implementation phase.

## Dynamic Planning Phases

| research, education, Charrette preparation | Charrette | plan implementation |
| --- | --- | --- |
| **1** | **2** | **3** |
| Project Set-up and Organization | Organization, Education, Vision | Information and Relationship Strategy |
| Stakeholder Involvement Plan | Alternative Concepts Development | Product Refinement |
| Base Information | Preferred Plan Synthesis | Presentation and Product Finalization |
| Feasibility Studies | Plan Development | |
| Charrette Logistics | Production and Presentation | |

During the Research, Education and Charrette Preparation phase, all the necessary base information is gathered and all the necessary people are identified and engaged. A complexity analysis of the project is completed, so that the charrette manager can decide how much time is needed, initial stakeholder meetings are held, and feasibility studies are completed. Finally, the

charrette logistics are arranged. The studio set up is planned, the design team is formed, and the charrette is scheduled out step by step.

Phase Two is the Charrette. The charrette brings all the right people and all the right information to a series of highly focused and productive work sessions. Before the first public meeting is held, the design team takes a tour of the area and holds meetings with key stakeholder groups. The first public meeting is held to determine the direction in which the public would like to take their community. Based on public input, gathered through a number of different participatory methods employed during the first public meeting, the design team begins to work on alternative concepts development. The next evening, another public meeting is held to display the alternative concepts and gather another round of public feedback. After this second public meeting, the design team meets to discuss the best way to synthesize the different concepts into one preferred plan. This new plan is then presented to the public in an open house. Following the open house, the preferred plan is developed further and the design is refined. Additional stakeholder input is gathered. The preferred plan is then presented to the public again during the final charrette public meeting.

Dynamic Planning does not end with the charrette. During the Plan Implementation phase, it is critical that the preferred plan undergo further feasibility testing and public review. Each team member is in charge of his or her element of the charrette plan and performs feasibility tests and then refines it as necessary. These revisions to the plan are then presented to the public again, usually about a month after the charrette. The final product of the Dynamic Planning process is a full set of documents that represent the complete record of the Dynamic Planning and Charrette process including records of the meetings, who was involved, and the evolution of the plan.

Dynamic Planning has three governing values:
1. Anyone affected by the project has the right to provide input with potential impact on the outcome;
2. Each participant has a unique contribution that is heard and respected; and,
3. The best plans are made by many hands.

The following key strategies are essential to a successful Dynamic Planning Process and Charrette:

1. **Work collaboratively:** All interested parties must be involved from the beginning. Having contributed to the planning, participants are in a position both to understand and support a project's rationale.
2. **Design cross-functionally:** A multi-disciplinary team method results in decisions that are realistic every step of the way. The cross-functional process eliminates the need for rework because the design work continually reflects the wisdom of each specialty.
3. **Compress work sessions:** The charrette itself, usually lasting four to seven days, is a series of meetings and design sessions that would traditionally take months to complete. This time compression facilitates creative problem solving by accelerating decision-making and reducing unconstructive negotiation tactics.  It also encourages people to abandon their usual working patterns and "think outside of the box."
4. **Communicate in short feedback loops:** During the charrette, design ideas are created based upon a public vision, and presented within hours for further review, critique, and

refinement. Regular stakeholder input and reviews quickly build trust in the process and foster true understanding and support of the product.

5. **Study the details and the whole:** Lasting agreement is based on a fully informed dialogue, which can only be accomplished by looking at the details and the big picture concurrently. Studies at these two scales also inform each other and reduce the likelihood that a fatal flaw will be overlooked in the plan.

6. **Produce a feasible plan:** The charrette differs from other workshops in its expressed goal to create a feasible plan. This means that every decision point must be fully informed, especially by the legal, financial and engineering disciplines.

7. **Use design to achieve a shared vision and create holistic solutions:** Design is a powerful tool for establishing a shared vision. Drawings illustrate the complexity of the problem and can be used to resolve conflict by proposing previously unexplored solutions that represent win/win outcomes.

8. **Include a multi-day charrette:** Most charrettes require between four and seven days, allowing for three feedback loops. The more difficult the problem, the longer the charrette.

9. **Hold the charrette on site:** Working on site fosters the design team's understanding of local values and traditions, and provides the necessary easy access to stakeholders and information. Therefore, the studio should be located in a place where it is easily accessible to all stakeholders and where the designers have quick access to the project site.

Dynamic Planning mobilizes the energy of all participants because they are involved from the beginning in the creation of a shared vision, because their involvement has an impact, and because it utilizes each person's strength. It also has the ability to create a feasible plan with minimal rework because all relevant viewpoints are represented from the beginning and especially at key decision-making points. The Dynamic Planning process has been used successfully all over the country to help communities create a vision and a feasible plan for their blocks, neighborhoods, and regions.

## B. Key Challenges and Solutions

This section discusses the key challenges to public involvement and collaborative decision-making that were shared by all attendees at the forum. Although participants represented a variety of fields with differing missions and goals, the most common challenges to collaborative, community-based planning rose quickly out of the paper presentations and the following group discussions. The following list is a summary of key challenges discussed:

- Institutionalization of the public process at local and national levels
- Engagement of diverse populations in public involvement processes
- Definition of appropriate process given scale of project/issue
- Engagement of leadership
- Sustainability of engagement and implementation over time
- Evaluation, documentation and measurement of process success
- Accuracy and neutrality of data/information

Participants worked to narrow the list down to their top three challenges for further discussion in small groups. The three top challenges were determined to be: ***institutionalization of the public process at local and national levels, engagement of diverse populations, and sustaining engagement and implementation over time.*** Definition of appropriate process given scale of project/issue, and evaluation, documentation and measurement of process success, were given secondary ranking. It is important to note that the challenges in the above list were all considered to be critical issues and were prioritized for further investigation based on the level of difficulty of each challenge. Following is a consideration of the scope of each challenge and proposed solutions to each main challenge as discussed during forum break out groups.

### *Institutionalization of the public process at local and national levels*

### *Challenges:*
The issue of how to institutionalize change in the current systems of decision-making at local and national levels in our country was a topic of interest to forum participants. Opposition to any systemic institutional change is great. Institutionalization of process change with regard to public decision-making calls for inter-jurisdictional cooperation and coordination. It requires the transformation of the culture within community agencies and institutions. Such a change requires support of leadership as well as grassroots efforts. One could argue that it is impossible to institutionalize grassroots efforts, however, it is possible to integrate effective grassroots community-based planning techniques into institutionalized agency processes.

There is a natural tendency toward top-down decision-making. People often assume that it is more efficient to make plans and decisions with the least number of people involved. A major shift of perception and understanding is required for the majority to embrace collaborative processes. One obstacle to this new understanding is the lack of common language, definitions, and documentation of various collaborative processes. A widespread, commonly accepted understanding of the features and benefits of collaborative processes and community engagement does not exist.

People who have had negative experiences with poorly run "collaborative" processes will be even less likely to accept a process change until the successful process and benefits are demonstrated to them. As David Straus writes, "for cultural change to take hold, members of a community must experience successful collaborative efforts at every level, from citywide planning and visioning to neighborhood consensus building to collaborative problem-solving in their own workplaces."[4]

***Solutions:***

Participants discussed a plan for institutionalization of the public process at local and national levels and the changes it would take to achieve this goal. They began with an outline on how to institutionalize citizen voices and public process at the national level. Every two years, deep polling of the public would be used to get a sense of the most critical issues. Based on the polling data, Congress would authorize an intermediary group or organization for running and managing a deliberative process on the selected issue nation-wide. Outcomes from the deliberative process would then come back to Congress to use as guidance in formulating policy.

On the topic of what the process would "look like and what would it take to get there," participants formulated the following: Institutionalization of the public process would take leadership and community commitment, cross-functional steering committees, and application of collaboration at multiple levels. The process would be responsive to citizens and maximize the good for the maximum number of people, e.g., access and opportunities.

Skill building, or training, is required and feedback and evaluation to measure progress are critical to success. The process must be completely transparent without secrets or spin to build and increase trust. There should be opportunities for constant learning in order to keep people excited about the process. The process would also be taken into the schools for students and teachers.

Such a process would require changes in leadership. Elected officials would be oriented and exposed to models for public participation. Public spaces would be re-created in communities and set up for "wired" meetings. Community meeting and collaborative decision-making would have to become part of the civic infrastructure and linked to homes. It would require a federal commitment, and support for accountability and evaluation, such as research in public universities. Evaluation would be required to understand what works and what does not. The effort would include campaign finance reform and working with leaders to create a new model of leadership, i.e. "walking the talk." A skill set and theoretical materials for citizen engagement in public policy/education programs would be institutionalized. Participants concluded that it is "dangerous not to do this."

In addition to a new form of leadership, a different set of values would be required. These values focus on education and building different models for transferring skills. A shift would have to take place from image to substance, starting with a different kind of leadership that is comfortable with sharing information, knowledge, and its "turf." Collaborative decision-making at multiple levels would be required and service learning, e.g., community service, with student

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[4] David Straus, "Building Collaborative Communities." Paper prepared for the Public Involvement Best Practice Forum, 2003.

ownership would be valued at a higher level.  Facilitation skills should be broadly owned and not only professionalized.

In addition, participants discussed how to rethink the neighborhood and regional levels where people are not generally organized to make decisions.  Change to these systems would require the integration of knowledge with the process.  Regular "report cards" for communities would be kept and strategic and comprehensive planning would be utilized for a more holistic and integrative process.


*Engagement of diverse populations in public involvement processes*

*Challenges:*
One key to a successful collaborative process is broad stakeholder representation and involvement.  This may be one of the easiest principles on which to agree and the most difficult to implement. Simply determining who the relevant stakeholders are can be the first obstacle. The parameters of the problem may not be defined or the issues may be so large and systemic that defining the boundaries of the community may be difficult. Significant time and money are required for outreach and engagement efforts needed to reach stakeholders. Traditional outreach methods such as public notices and flyers do not reach all target audiences and important stakeholder groups may be overlooked because they do not have a history of participation. Multiple high- and low-tech methods, including one-on-one meetings, may be required in some communities.

Even with a comprehensive outreach strategy, public involvement efforts encounter obstacles of relevance and accessibility.  Helping individuals see the relevance and value of spending their time on an issue can be a significant challenge.  A history of ineffective or poorly run public meetings or a general lack of experience with public involvement in a community can lead to a lack of trust or interest in the process.

People may not see the value of their participation in complex problems.  Education on the problem and process may be required.  Communities with little collaborative problem-solving experience may not see themselves as having ownership of the issues at hand or shared responsibility for problems or solutions.  This can be particularly true of traditionally underserved populations with ethnic, language, and cultural differences. Finding common values across cultural barriers is an increasingly important issue and challenge in communities across the country.  It is difficult to present data in a way that is clear and easy to understand to a group of people with diverse experiences and backgrounds. One obvious example is that public meetings in ethnically diverse communities require interpreters. According to the US Census Bureau, "Nearly 1-in-5 people, or 47 million U.S. residents age 5 and older, spoke a language other than English at home in 2000."[5]

Convincing decision makers to attend public meetings is often challenging as well.  Leaders may be asked to take on unfamiliar roles in open, collaborative processes.  It is critical for leaders to

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[5] US Census Bureau Press Release October 8, 2003. http://www.census.gov/Press-Release/www/releases/archives/census_2000/001406.html. Accessed February 20, 2004.

have clearly defined roles and responsibilities within the context of the meeting and the process as a whole for the benefit of all involved.

The simple decision of when and where to hold a public meeting or workshop can be a challenge. People's time is increasingly spoken for and competing schedules can make getting all the right people in the room at the same time nearly impossible. Accessibility of location and information are all important issues. Work schedules and child-care responsibilities are significant obstacles to be addressed in many communities.

*Solutions:*
The keys to any successful stakeholder engagement effort are relevance, trust, respect, ownership of the problem and process, and the valuing of each individual's unique contribution. For people to become involved, the issue in question must have relevance to each individual's life. They must see the problem and possible solutions as having an impact on them in a significant manner. The process must be developed and maintained to build trust by all participants. For this to happen, the process must be transparent and have roles and responsibilities that are clearly defined. People must be treated with respect and their unique contributions must be recognized in order for ownership to be built into the process and its outcomes.

Outreach begins with research and identification of diverse constituents. Outreach done solely by agency staff runs the risk of missing key people known only to the locals. Effective outreach requires citizen know-how and involvement. It is essential that participants be engaged from the beginning with the expectation that their input will have an impact on the results. Identification of legitimate leaders and their specific needs, such as daycare and specific ethnic expectations, must occur prior to outreach and education efforts. The outreach methods must be strategic, starting with an understanding of how the identified individuals and groups get their information. Each meeting must be evaluated afterward to ascertain who was not in the meeting, and ways to get them there in the future.

Community values, priorities and needs can then be established through a variety of means such as surveys, interviews, workshops, and meetings. Informing the media, publishing newsletters, and hosting lecture series are effective ways to increase community awareness and understanding of the issues.

The foundation for long term, sustained engagement is the quality of the meetings themselves. Meetings must be interesting, relevant and–most importantly–well run in order to make it worthwhile for people to come back. No community can afford to have every meeting run by a third party facilitator. Agency staff, community leaders and citizens can be trained to conduct and participate in meetings. This is a powerful way to give the community real ownership of the process, and thereby help to assure their involvement over the long term.

*Sustaining engagement and implementation over time*

*Challenges:*
Public engagement is not a one-time campaign and outreach efforts and public meetings do not happen in isolation. Sustaining a successful public involvement process over time has many of

the same challenges as initial public outreach and engagement with some additional obstacles. Both the individual meetings and project process as a whole must remain relevant for participants over time. People need to feel ownership of the problem and the process in order to remain engaged. The issue can be seen as one of maintaining momentum for implementation. If progress is not made between meetings, in a reasonable amount of time, people lose interest and begin to distrust the process.

When progress is not made over time and promises are not kept, the entire process and previous agreements are put in jeopardy. People may begin to believe that their opinions do not have an impact, often causing them to withdraw or attempt to undermine the process. Measurement of success is a related issue. People may not have a shared understanding of what success looks like. A process may focus on vision but lack concrete outcomes that can lead to disengagement and frustration. Another challenge is determining how a process is working. Are changes being made? Are people remaining engaged in the process and outcomes?

An ongoing process that does not have a mechanism for accepting new interests and stakeholders throughout may face obstructionism and contention. If the process is not flexible to change in the face of unforeseen circumstances, such as the introduction of new information, or is not responsive to feedback from participants, it will not hold up over time.

Time to attend meetings and become otherwise involved in the change effort is a major obstacle for many individuals. Meetings that are not well run are seen as a waste of time and discourage further participation, particularly when an individual or special interest group dominates the meeting. If the meeting environment is not one in which it is safe to participate openly, people will likely not return for the next meeting. Decision makers may be as difficult to keep engaged throughout the process as other stakeholders and the general public.

### *Solutions:*
In considering the challenge of sustaining public engagement over time, forum participants highlighted the importance of both sustainable outcomes and a sustainable process.

Required elements for sustainable outcomes began with the importance of a long term community commitment to realizing shared vision and goals. This lasting, broad-based support network must accept new players and act as a learning organization or culture, with adaptable or nimble actions. Success of implementation must be monitored and must adapt appropriately to feedback and new information. Communication must be open and ongoing and outcomes must be linked to institutional change within the community.

Best practice features of a sustainable process are also numerous but can be summarized as follows:

- There is a high degree of community ownership in which people become stakeholders. Inclusion is broad, such that people cannot opt out. They must believe that there is a future in the process for them. Participation of opposing forces or views is critical.
- There is a shared ownership of vision that is based on identified common beliefs and values and honors the minority views within the stakeholder group. The vision must be

feasible with a clear plan for implementation in which people are in "on the ground floor."

- Popular plans, strategies and actions that clearly define accountability and responsibilities must be developed. The rationale must be clear, have a basis in logic and be widely understood. Plans must include the correct level of detail to make implementation possible with fully informed, broad-based support.
- Stakeholders and partners in implementation must be prepared to be accountable and provide resources. The resources must be appropriate to meet the specified goals and be linked to the common objectives.
- Ongoing monitoring of the success of the overall outcomes and process context is critical to a sustained engagement effort. Measurable outcomes must be determined and the status of outputs must be monitored. The context may change over time and feedback loops must occur at reasonable intervals for evaluation and adaptation to occur.
- Implementation of plans over time requires a nimble response in terms of activities and information partners. Leaders must take the long view while being willing to make adjustments and course corrections as needed. New resources must be brought in and accommodated as necessary. New partners, stakeholders and leaders must also be welcomed into the process and their values incorporated.

# C. Common Principles of Successful Collaborative Processes

We have found that good process can be used for any topic by any organization. In our previous research and forum discussions, principles common to successful public involvement processes began to emerge across disciplines. Following are a selection of time-tested principles that address the most common challenges to collaborative public involvement processes.

*Work collaboratively*
Working collaboratively helps to create a long lasting plan based on each individual's unique contributions. The approach is one of inclusion in which all stakeholders should be involved from the beginning of the process. It is important that participants represent all relevant viewpoints. For example, key decision-makers as well as the general public must be committed to the process. In this way the process can address the needs of all involved and result in win/win solutions.

*Process is transparent with well-defined and understood roles*
In order to build trust and broad-based ownership in a process, it must be open and transparent. Participants should "own" the process by influencing its design and making changes when necessary. Clear roles within the process and individual meetings are necessary. It is important for each individual to understand his/her own role and responsibilities and how decision-making will occur. It is critical that decision-making roles are defined and identified from the beginning.

*Provide short feedback loops*
Regular stakeholder feedback loops quickly build trust in the process and foster true understanding and support of the outcomes. Regular feedback cycles help keep people engaged and build momentum for continuing progress and implementation. Working toward small agreements and building on them over time keeps people building on their successes and moving in the same direction. In his "Principles of Collaboration," David Straus writes about the importance of producing immediate successes "in order to demonstrate [the process's] legitimacy and effectiveness."[6]

*All relevant resources must be available*
All relevant data, experts and points of view must be present for fully informed decision-making to occur. It is very important to avoid unintended consequences and unforeseen changes that can result from uninformed decisions. In order for a plan to be feasible it must be tested for functionality.

*Study the details in context*
Lasting agreement is based on a fully informed dialogue. It is important to consider the scope of a project including all relevant contextual information. It is not possible to make informed decisions when an issue is taken out of context. It is also impossible to make informed decisions and solve problems fully when they are not considered in sufficient detail. Often it is when alternative solutions are considered at the detail level that breakthroughs are mad

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[6] David Straus, "Building Collaborative Communities." Paper prepared for the Public Involvement Best Practice Forum, 2003.

# 5. Conclusions

As we have stated, collaborative community involvement processes are invaluable for addressing a variety of issues in communities across the country. Fields such as public health and safety, land use planning, and restorative and community justice, are relying on collaborative decision-making processes to create shared solutions to community problems and challenges. Experienced practitioners and researchers are coming to the shared conclusion that collaborative public involvement is often essential to successful community change efforts. These practitioners agree on the most significant principles and challenges common to these collaborative efforts.

However, many obstacles to widespread institutionalization of collaborative community involvement processes still exist at all levels. There is great inertia and resistance to new ways of doing things at the local, regional and national scales. Resources are required to help change practices, perceptions and leadership models. This will require increased documentation of community involvement efforts with evaluative measures of success. Pilot projects, documented in case studies and process audits that analyze the strengths, weaknesses, processes and principles used in a given public involvement effort will provide convincing models of success and help further refine the best practices in the field across disciplines. Support is needed for increased training initiatives at the grassroots and leadership levels. Community education and citizen facilitation training will help communities initiate and support planning efforts. Changes in leadership styles and acceptance of new collaborative processes will also require education and demonstration of the power of collaboration. The combination of local initiatives and large-scale public involvement and education efforts, together have the power to effect legislative and policy changes.

This research, particularly the Public Involvement Best Practices Forum, highlights the commonalities found in collaborative public engagement processes in a variety of fields, focused on a number of diverse community issues. Though exciting and illuminating, the time at the forum was limited. While the participants quickly came to shared understandings and agreements on key challenges and wide-ranging solutions, there is an obvious need for closer examination of all the issues discussed. The significance of these leaders agreeing on common challenges and beginning work on the solutions cannot be stressed enough. They all agree that public involvement is not only important, but necessary.

# Appendices

# 6. Appendix

## A. About the Authors

The National Charrette Institute (NCI) is a nonprofit educational institution. NCI is the resource for Dynamic Planning, a holistic, collaborative planning process that harnesses the talents and energies of all interested parties to create and support a feasible plan. We teach professionals and community leaders the art and science of Dynamic Planning and advance the fields of community planning and public involvement through research and publications on best practices.

NCI's methodologies are drawn from hundreds of successful projects conducted by the leading urban designers and architects spanning nearly twenty years. NCI is continually conducting research to assure that the curriculum represents current best practices. Dynamic Planning is a rigorous process with levels appropriate to the Charrette sponsor as well as the serious practitioner. NCI is the first and only teaching resource for a comprehensive approach to a collaborative planning process utilizing Charrettes.

**Bill Lennertz** is Executive Director and co-founder of NCI. As lead trainer, Mr. Lennertz has trained top staff from such organizations as the Environmental Protection Agency, US Departments of Housing and Urban Development, Fannie Mae Foundation, Parsons Brinkerhoff, and the Department of Transportation in Oregon, New York, and Arizona. Bill is also principal author of the NCI Dynamic Planning curriculum as well as other tools, presentations, and publications.

Prior to assuming his position at NCI, Mr. Lennertz developed his skill as a Charrette facilitator and urban designer, beginning as Director of the Duany Plater-Zyberk & Company Boston office in 1986, then later as a partner with Lennertz Coyle & Associates from 1993 to 2002. In 17 years, Bill has directed over 150 Charrettes, resulting in the building of hundreds of acres of smart growth communities. He has also received specialized training as a meeting facilitator from Interaction Associates and has taught at various universities including Harvard, from which he received his Masters of Architecture in Urban Design.

**Aarin Lutzenhiser,** NCI's Director of Operations, is a co-author of the NCI Dynamic Planning and Charrette training curriculum. Aarin oversees NCI's operations and research and development efforts for new projects and programs. She is a meeting facilitator with training in group consensus building and decision-making processes, and works with clients on project planning, preparation and set up. Prior to co-founding NCI, Aarin worked as the Business Manager for Lennertz Coyle & Associates (LCA), Architects and Town Planners. Aarin received a BA from Reed College in Portland, Oregon.

## B. Forum Attendees

**Todd R. Clear**

Todd R. Clear is Distinguished Professor, John Jay College of Criminal Justice, City University of New York, and Executive Officer of the Program of Doctoral Studies in Criminal Justice, The CUNY Graduate Center. In 1978, he received his Ph.D. in Criminal Justice from The University at Albany. Previous positions include professorships at Ball State University, Rutgers University, and Florida State University (where he was also Associate Dean of the School of Criminology and Criminal Justice). Clear has published three recent books on the topic of "community justice:" *Community Justice* (Wadsworth, 2003), *What is Community Justice?* (Sage, 2002) and *The Community Justice Ideal*, (Westview, 2000). Other recent books include *The Offender in the Community* and *American Corrections* (both by Wadsworth, 2003) and *Harm in American Penology* (SUNY, 1995). He is currently involved in studies of religion and crime, the criminological implications of "place," and the concept of "community justice," and serves as founding editor of *Criminology & Public Policy*, published by the American Society of Criminology. Previous writings cover the topics of correctional classification, prediction methods in correctional programming, community-based correctional methods, intermediate sanctions and sentencing policy. Clear has been elected to national office in the American Society of Criminology and the Academy of Criminal Justice Sciences. He has also served as a programming and policy consultant to public agencies in over 40 states and 5 nations, and his work has been recognized through several awards, including those of the Rockefeller School of Public Policy, the American Probation and Parole Association, the American Correctional Association, and the International Community Corrections Association.

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**David Karp**

David Karp is Assistant Professor of Sociology at Skidmore College in Saratoga Springs, New York. He conducts research on community-based responses to crime, has given workshops on restorative justice and community justice nationally, and is a founding member of the New York State Community Justice Forum. Current projects include an evaluation of Vermont's Offender Reentry Program, the impact of the death penalty on victims' families, and restorative practices in college judicial systems and K-12 school settings. He is the author of more than 40 academic articles and technical reports and a trilogy of books on community justice. He received a B.A. from the University of California at Berkeley, and a Ph.D. in sociology from the University of Washington.

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**M. Katherine Kraft, Ph.D.**

Katherine Kraft is a Senior Program Officer at the Robert Wood Johnson Foundation. In that capacity, her leadership and program development focuses on promoting healthy communities and lifestyles. She is a specialist in youth development and whole community approaches to developing competent youth. In particular, Dr. Kraft has developed programming to create better

integrated care systems and community involvement opportunities for youth caught in the juvenile justice system, known as Reclaiming Futures.  These efforts have included connecting the restorative justice field with the adolescent substance abuse treatment arena. A hallmark of her work is connecting disparate community sectors and cross-disciplines in re-thinking how we design our communities and our care systems to facilitate healthy lifestyle choices. She is a national expert in how the built environment impacts health, and is in high demand as a spokesperson for the emerging Active Living Movement. Her work has resulted in renewed collaboration between transportation, planning, design, and public health professionals to identify new methods of peacemaking for health.

Prior to joining the Robert Wood Johnson Foundation, Dr. Kraft was on the social work faculty at Rutgers University in New Brunswick, New Jersey.  Her published work focuses on cost effectiveness of support services; system delivery characteristics, and cross-sector understanding of what it takes to create healthy communities.   Dr. Kraft serves on several national task forces addressing healthy youth and community development, including the Surgeon General's report on Youth Violence; and the current National Academy of Science report on healthy youth and family development.  She is on the board of The Funders Network for Smart Growth and Livable Communities and is an active community member serving on several local nonprofit boards.

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**Bill Lennertz, AIA**

Bill Lennertz developed his skills as a top Charrette facilitator, beginning as Director of the Duany Plater-Zyberk & Company, Architects and Town Planners Boston office in 1986, and as a partner with Lennertz Coyle & Associates from 1993 to 2002.  In 17 years, Bill has directed over 150 Charrettes, resulting in the building of hundreds of acres of smart growth communities.  The projects are evenly divided between the public and private sector, ranging in type from Main Street revitalization to New Town Centers to affordable housing to complete new neighborhoods.  These projects contained virtually every type of political, economic, and design problem that challenge the principles of Smart Growth.

As a registered architect and a charter member of the Congress for the New Urbanism, Bill possesses the unique combination of skills required of a Charrette facilitator.  He received training as a meeting facilitator from Interaction Associates.  He has taught at various Universities including Harvard, from which he received his Masters of Architecture in Urban Design.  He is the co-editor and essayist of *Towns and Town-Making Principles*, a contributor to the "Charter of the New Urbanism," and a co-author of *The NCI Charrette Start-Up Kit*. Beginning in 2002, as Executive Director of the National Charrette Institute, Bill has taught hundreds of professionals the principles, strategies, tools and techniques of the NCI Charrette Process.  He is a principal author of the NCI curriculum, the first teaching  to be developed for the Dynamic Planning and Charrette Process.

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**Dr. Carolyn J. Lukensmeyer**

Dr. Carolyn J. Lukensmeyer is the founder and president of AmericaSpeaks, a nonprofit organization that is dedicated to engaging citizens in governance processes at the local, regional and national levels. AmericaSpeaks is best known for its 21st Century Town Meetings™ that engage thousands of people in the public process through the integration of authentic deliberation and state of the art technology. AmericaSpeaks is also the convener of the Deliberative Democracy Consortium, which seeks to bring together practitioners, academics and government officials to foster the growing deliberative democracy field.

Most recently, Dr. Lukensmeyer was a central figure in the design and production of *Listening to the City*, a 21st Century Town Meeting™ where more than 4,300 citizens gathered to consider plans for the redevelopment of Lower Manhattan in the aftermath of September 11. This day-long event resulted in the rejection of the six proposed plans, an extension of the timeline for development of a final proposal, and a comprehensive vision for development in the communities surrounding "ground zero." Participants at *Listening to the City* urged planners to develop "soaring" proposals that would bring back the greatness of the Twin Towers and preserve the memory of the tragic events of September 11.

Dr. Lukensmeyer has also served as Consultant to the Mayor and Interim Director of the Office of Neighborhood Action to engage the community in the governance of the District of Columbia. Neighborhood Action integrates a Citywide Strategic Planning Process with a broad-based citizen engagement initiative. Over the past four years, the program has engaged more than 10,000 citizens in the District's governance. From 1997 to 1999, Dr. Lukensmeyer was the executive director of Americans Discuss Social Security, a 12-million-dollar project of The Pew Charitable Trusts whose mission was to engage Americans from all walks of life in a nation-wide debate about the future of Social Security, and to provide a framework within which these citizens can help policymakers resolve this important issue.

Lukensmeyer served as Consultant to the White House Chief of Staff from November 1993 through June 1994. She ensured that systematic thinking was part of the White House's work on internal management issues and on government-wide reform. Previously, Lukensmeyer was the Deputy Project Director for Management of the National Performance Review (NPR), Vice President Al Gore's reinventing government task force.
From 1986 to 1991, Lukensmeyer served as Chief of Staff to Governor Richard F. Celeste of Ohio. She was both the first woman to serve as Ohio's Chief of Staff and, at the time of her appointment, the only Chief of Staff recruited from the professional management field.

Lukensmeyer has a doctorate in organizational behavior from Case Western Reserve University and postgraduate training at the internationally known Gestalt Institute of Cleveland.

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**Aarin Lutzenhiser**

Aarin Lutzenhiser, NCI's Director of Operations, is responsible for planning and coordinating NCI programs and courses. She is a co-author of the NCI Dynamic Planning and Charrette training curriculum and is closely involved with course preparation and training delivery. Aarin oversees NCI's operations and research and development efforts for new projects and programs. She is a meeting facilitator and has training in group consensus building and decision-making processes, and works with clients on meeting planning, preparation and set up.  Aarin is currently working on developing case studies for public involvement best practices in land use planning and managed the literature review and report writing for the RWJF Public Involvement Best Practices Forum.

Prior to co-founding NCI, Aarin worked as the Business Manager for Lennertz Coyle & Associates (LCA), Architects and Town Planners where she managed the firm's finances, human resources and project management process. She participated in LCA Charrettes, coordinating and advising on technical and production issues and assisting with design production and presentations. Aarin has been involved in New Urbanist planning projects throughout Oregon and public involvement teaching and training programs throughout the country. Aarin received a BA from Reed College in Portland, Oregon.

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**Caroline G.  Nicholl**

Caroline G.  Nicholl is an independent consultant in organizational development providing executive coaching, group facilitation, teambuilding, strategic planning, building trust in the work place, and supporting individual and organizational change.  Her background includes twenty-four years in policing (in the U.K. and the U.S.), including experience in implementing community-oriented policing and restorative justice.

In 1983, as a local police commander of the racially torn Notting Hill area in London, Nicholl piloted community surveys as a means of seeking common ground between police and residents. The results led to significant changes in the way police-community relations evolved toward working jointly against crime and disorder problems. In the 1990s, serving as chief of police in Milton Keynes, U.K., Nicholl pioneered new methods for reducing crime and disorder. Her work involved challenging many traditional assumptions on how policing should be effected and led ultimately to bi-partisan support for national legislation in 1998 that changed the way youth justice is delivered in the U.K.  Her new methods of crime control were the subject of an hour-long national television documentary, attracted considerable media attention, and in 2000 she won a national award for civic entrepreneurship. Nicholl was awarded the prestigious Harkness fellowship, sponsored by the Commonwealth Fund in New York, to come to the United States for a year, the catalyst for her return to live in northern Virginia in 1997.

While working for the metropolitan police in Washington DC (1998-2001), Nicholl led several programs with respect to family violence prevention and street prostitution, in each instance spearheading collaborative multi-disciplinary arrangements focused on community-based harm reduction methods of intervention and prevention.  In 2000, her monograph and implementation

guide on the links between community policing, community justice and restorative justice in support of a balanced approach to public safety was published by the U.S. department of justice.

Nicholl's current work includes the advancement of learning organizations and creating communities of practice; recently she became certified as a knowledge manager with KMPRO. Following her interest in what makes for healthy organizations and effective group work, Nicholl is licensed in the Myers Briggs type indicator, the Apter motivational style profile, and the Reina trust and betrayal in the workplace model.

She completed a certificate program in Organizational Development at Georgetown University in 2002. Her OD work extends across all sectors and includes international work. She is a member of the Chesapeake Bay Organizational Development Network.

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**William R. Potapchuk**

I am founder and President of the Community Building Institute (CBI), a small consulting firm located in Annandale, Virginia. We work to strengthen the capacity of communities to conduct public business inclusively and collaboratively in order to build healthy, sustainable futures. The focus of our efforts in recent years has been on how to build "collaborative communities" – places that develop and nurture a civic culture that is collaborative, inclusive, and effective.

Our work flows in several streams. We design, manage, and sometimes facilitate a broad range of participatory processes that are used in urban governance including partnerships, collaboratives, consensus building processes, public involvement, and visioning, among others. I am currently facilitating a bilingual community process that is focused on developing and financing a job center for day laborers in Fairfax County and recently facilitated a two-year, partially successful, consensus building process on land use and transportation issues in Montgomery County, Maryland.

We also help build capacity within local government and the community to better lead and join in participatory processes. We have been working with Fairfax County (VA) for over two years in an effort to strengthen their capacity to work in aging neighborhoods that are experiencing profound demographic shifts and build a culture of engagement with the community and within local government. I also worked with the DC Office of Planning to rebuild their neighborhood planning function and develop neighborhood plans for every part of the city. This effort was intertwined with the Citizen Summits that were led by AmericaSpeaks.

We also do research and writing on a variety of topics. A partner and I have written a history of the 10 years of the Hampton, Virginia Healthy Neighborhood Initiative and are completing a "replication" manual. I am also developing self assessment tools for state and communities seeking to strengthen their coordination of human services transportation for the Federal Transit Administration. I have recently written chapters for the *Consensus Building Handbook* and the *Collaborative Leadership Fieldbook*.

Several efforts are directly focused on this goal of building collaborative communities. Last year, with the support of the William and Flora Hewlett Foundation, we partnered with the National Civic League in an effort to identify strengths and weaknesses in the use of participatory processes in communities and develop recommendations on how the Foundation could make investments to leverage sustainable change. The recommendations led to funding of a local intermediary, DC Agenda, for an initiative entitled Collaboration DC and of the National League of Cities to help local elected officials develop tools and strategies to strengthen democratic local governance. I serve as a consultant to both efforts.

Prior to establishing the Community Building Institute, I served as Executive Director of the Program for Community Problem Solving, a joint effort of the National Civic League, National League of Cities, American Chamber of Commerce Executives, and other national associations and assistant director of the Conflict Clinic, Inc., a nonprofit focused on improving the practice of public policy conflict resolution. My academic training is in urban studies (BA, Case Western Reserve University), political science (MA, University of Missouri-St. Louis) and conflict resolution (ABD, George Mason University).

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**Bruce A. Race, FAIA, AICP**

Bruce Race, principal of RACESTUDIO, specializes in community-based urban design. His clients have received twelve planning and design awards including the American Institute of Architects/California Council Urban Design Honor Award, a California Chapter of the American Planning Association Honor Award, Ahwahnee Community Livability Award, and a California Governor's Preservation Award.

As a VISTA volunteer in the 70s, Mr. Race experienced how the power of community-based planning could change public policy. He has endeavored to expand the quality of information, interaction, and inclusion of hard to reach populations in the planning process. He facilitates 60-70 community meetings each year and shares what he has learned through lectures, interactive seminars and publications. He is committed to working with young people, assisting them articulate and advocate for more livable communities. Mr. Race co-authored *Youth Planning Charrettes: A Manual for Planners, Teachers and Youth Advocates* with Carolyn Torma, American Planning Association's Director of Education. The book has been an American Planning Association "best seller" since 1999.

Mr. Race is a founding board member of the Great Valley Center that promotes the economic, social, and environmental wellbeing of California's vast Central Valley. He is on the American Institute of Architects National Board of Directors and is a member of the AIA Livable Communities Committee. He has served as Vice President of Legislative Affairs for the American Institute of Architects/California Council, Vice President of San Francisco Planning and Urban Research Association, and as a board member of the Architectural Foundation of San Francisco.

Mr. Race received his Bachelor in Architecture and Bachelor of Science in Urban and Regional

Studies from Ball State University where he received the Alpha Rho Chi Medal, Community Based Projects Award and Distinguished Alumni Award.

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**Harrison B. Rue**

Harrison B. Rue is Executive Director of the Thomas Jefferson Planning District Commission and the Charlottesville-Albemarle MPO. He is a planner, builder, developer, trainer, and founder of the Citizen Planner Institute, known for a practical approach to complex urban design, transportation, and sustainability issues. Rue has more than 30 years of hands-on experience in construction, real estate development, planning and design, transportation, historic preservation, community organizing and process facilitation.

Rue's efforts at TJPDC include developing UnJAM 2025 – the United Jefferson Area Mobility Plan – a five-county transportation plan linking land use, transportation, economy, and environment. His team recently completed the Eastern Planning Initiative, an FHWA TCSP grant that outlined a $500 million difference in investment required for sprawl vs. compact development. TJPDC also leads area Workforce Development programs, affordable housing and homelessness initiatives, and environmental planning. He currently heads the 29H250 inter-agency task force to redesign the Rt. 29 suburban strip for multimodal transportation and mixed-use development.

Rue served as Faculty for the National Governors' Association Policy Academy on Smart Growth, was a panelist for ULI Policy Forums on Smart Growth Transportation for Suburban Greenfields and on Pedestrian-Oriented Development, and conducted an FHWA Scanning Tour of western states projects that link transportation and land use. He is a member of US EPA's National Advisory Council on Environmental Policy and Technology. Rue is a Board Member and Transportation Committee Chair for the Virginia Association of Planning District Commissions, and serves on the Virginia Transportation Research Advisory Council and the Technical Committee for the State's Multi-Modal Transportation Plan.

Citizen Planner training workshops – based on Rue's book, *Real Towns: Making Your Neighborhood Work* – have been conducted for agency staff, elected officials, and citizens throughout the country. Rue conducted public involvement workshops at the national Smart Growth Conferences in Atlanta and San Diego, and at the Congress for New Urbanism in Portland and Miami. He spoke on "Collaboration and Participation" at the USDOT Executive Leadership Conference, and participated in the FHWA/FTA Environmental Justice Summit. Mr. Rue led community workshops to update Honolulu's Primary Urban Center Development Plan, and trained city staff to facilitate the 21st Century Oahu Community Vision team process, which won a HUD Best Practices award. Rue led public participation for the Oahu MPO's TOP 2025 Transportation for Oahu Plan, which achieved consensus on transportation investments totaling $3.6 billion over 25 years. Rue also led public involvement for Oahu Trans 2K, creating an Islandwide Mobility Concept Plan. The project won an APA Hawaii award, and was funded for implementation of the first leg of a Bus Rapid Transit system.

Rue conducted a workshop on Retail-Friendly Street Design at Toronto's Moving The Economy conference, was a keynote speaker at the Puget Sound Regional Planning Council's Redevelopment for Livable Communities conference, and gave the Rinker Eminent Scholar Lecture on Sustainable Urban Planning at the University of Florida. Rue facilitated the original panel discussions at the Centers for Disease Control in Atlanta to outline linkages between physical activity, health, and land-use and transportation planning.

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**Ken Snyder**

Ken Snyder is Director of PlaceMatters.com, a program of the Center for Regional and Neighborhood Action working to promote high performance approaches to citizen collaboration, community design and development. He is a nationally recognized expert on a broad range of technical and non-technical tools for community design and decision-making. He has authored a number of articles including "Tools for Community Design and Decision Making," (a chapter in book to be published in the Summer 2002 on Planning Support Systems); "Decision Support Tools for Community Planning" (the cover article in *PM: Public Management*, November 2001); and "Paying for the Cost of Sprawl: Using Fair-Share Costing to Control Sprawl" (a scoping paper for *Redefining Progress*, co-authored with Lori Bird, 1999).

Prior to working for PlaceMatters.com, Ken worked for the US Department of Energy where he organized and facilitated four national conferences on Tools for Community Design and Decision Making. In 2000, he served as co-chair of a committee on information and tools for the White House's Livability Council, developing policy recommendations for the Clinton-Gore report on Building Livable Communities. Ken served on the Steering Committee for the national Rail~Volution conference for three years and organized and taught full-day training sessions on tools for better land use planning and community development. In 2001, he was selected as a German Marshall Fund Environmental Fellow where he traveled to Europe to study professional peer approaches to land use and transportation planning. He has a double degree from Oberlin College in Biology and Environmental Studies and a Master's Degree from the Yale School of Forestry and Environmental Studies.

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**William Southworth**

William Southworth is an international organizational consultant, coach, facilitator and trainer to leaders in both the public and private sectors in the areas of:
• Healing leaders and organizations
• Building understanding, consensus and collaboration in multi-party, multi-sector, and
  multi-cultural arenas
• Conflict management
• Meeting and conference facilitation
• Strategic and systemic thinking, planning, process design and focus
• Direction and alignment: shared core values, vision, mission

• Visioning processes
• Collaborative problem solving
• Leadership coaching in facilitative leadership e.g. decision-making, empowerment, collaboration, consensus-building

Some of the client systems that Mr. Southworth has worked with include:
• GE Capital
• National Park Service
• Sun Microsystems
• Towers Perrin
• Cox Communications
• National Builders Advisory Board
• Mt. Auburn Hospital - Cambridge, MA
• Federal Reserve Bank of Boston
• Sprint
• Ute Mountain Ute Tribe
• Intel
• Bank of Budapest
• Portland Metro Council

Mr. Southworth has been a facilitator in over 1000 meetings and has coached and trained over 3000 people in facilitation here and abroad, including:
• U.S. Congress-Democratic Caucus
• Interagency Task Force - a 10-Federal- agencies collaboration
• Sun Microsystems
• Members of Bulgarian Parliament
• Open Society Institute (OSI)
• Roche Diagnostics
• AT&T Broadband

Mr. Southworth has also had a distinguished career of leadership in innovative education and training. He was a Peace Corps Volunteer in Nigeria, Director of Peace Corps Training at Boston University, Visiting Critic at the Yale Graduate School of Architecture and Environmental Psychologist on the faculty of the MIT Graduate School of Architecture and Urban Planning. Mr. Southworth founded a nationally recognized public-private collaboration in New Hampshire for retraining public school teachers in problem-focused learning and in teaching critical skills.

In 1998 Mr. Southworth and his wife, Penny Welch, started Healing Leaders, a consulting and training firm designed to train leaders to heal systemic wounds and to create self-healing organizations.  The program has a particular focus on conflict management.  Healing Leaders has a retreat center in the red rock canyon area of SW Colorado.

Mr. Southworth received a B.A. (History) from Clark University, an M.A.T (History) from Oberlin College, and a C.A.S. (Educational Psychology with an Environmental Psychology focus) from the University of Chicago.

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**Michael A. Stoto, Ph.D.**

Dr. Stoto**,** an epidemiologist and statistician, is Associate Director for Public Health in the RAND Center for Domestic and International Health Security. He is also an Adjunct Professor of Biostatistics at the Harvard School of Public Health and Professor of Policy Analysis at the RAND Graduate School. Dr. Stoto's research experience includes methodological topics in epidemiology, statistics, and demography, research synthesis/meta-analysis, community health assessment, risk analysis and management, performance measurement and the evaluation of public health interventions. His substantive areas of expertise include HIV/AIDS, infectious disease and immunization policy, maternal and child health, tobacco, and environmental health.

Dr. Stoto is directing a study of the statistical issues associated with early detection of bioterrorism events, and has led a study for the Metropolitan Washington Council of Governments regarding the feasibility of regional surveillance in the Washington metropolitan area. Dr. Stoto is currently participating in a review of the adequacy of California's public health system to protect and improve the health of local communities. He is also a member of the RAND team analyzing national smallpox vaccine policy.

Before coming to RAND in September 2001, Dr. Stoto was a professional staff member at the Institute of Medicine (IOM), where he led numerous projects in public health practice. He has served on the faculty of Harvard's John F. Kennedy School of Government, and was Professor and Chair of the Department of Epidemiology and Biostatistics at the George Washington University (GWU) School of Public Health and Health Services.
Dr. Stoto has a long-term research and teaching interest in population health assessment and performance measurement in public health settings. He led the IOM's efforts in support of *Healthy People 2000*, and co-edited *Improving Health in the Population: A Role for Performance Monitoring*. At GWU, he was the founding director of the Metropolitan Washington Public Health Assessment Center. Dr. Stoto has also collaborated in the development and use of demographic methods for incomplete data in developing countries.

At GWU, Dr. Stoto led efforts relating to HIV surveillance in the District of Columbia, developed statistical methods for early detection of influenza using emergency department syndromic surveillance information, and coordinated regional surveillance for West Nile Virus in the Washington area. He has worked on surveillance for HIV and AIDS over a decade, and has been a consultant for the Institute of Medicine, the National Research Council, state health departments in the District of Columbia and Connecticut, and the Centers for Disease Control and Prevention on HIV policy and surveillance issues. In the international area, Dr. Stoto has analyzed AIDS forecasting models for sub-Saharan Africa and the prevention of mother-to-child transmission of HIV.

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**David Straus**

David Straus is the founder of Interaction Associates, Inc. and has over the years served in every major leadership position, including President, CEO, and Chairman of the Board. Under his guidance, Interaction Associates has become a recognized leader in organizational development, group process facilitation, training, and consulting. David Straus is responsible for major change efforts in a wide variety of organizations, including the health care and service industries, and has worked with social action partnerships in Newark, New Jersey and Palm Beach County, Florida.

Mr. Straus has developed Interaction Associates' consulting practice, which partners with clients to build collaborative workplaces where inspired people produce extraordinary results for themselves, their organizations, and society. Interaction Associates works with clients to clarify and focus organizational direction, inspire genuine commitment to achieve strategic goals, and build and transfer the skills and capabilities required to succeed. Through Interaction Associates' training workshops, people develop the awareness and skills for effective leadership, team facilitation, and meeting management. The training practice supports people to become "architects of their own future" by providing tools for thinking clearly, skills for working with others, and inspiration for lifelong learning. Training services include public workshops, in-house workshops, and licensing. Since its founding, Interaction Associates has consulted and provided training services to more than 1000 organizational clients. These include 175 of the Fortune 500 corporations, government agencies, and nonprofit organizations worldwide.

Mr. Straus earned a Bachelors degree from Harvard University, and a Masters degree in architecture from Harvard's Graduate School of Design. Under grants from the National Institute of Mental Health and the Carnegie Corporation, he has conducted research in creativity and developed training programs in problem solving. Mr. Straus coauthored the bestseller, *How to Make Meetings Work* (Wyden Books, 1976) and has just completed a new book, *How To Make Collaboration Work: Powerful Ways to Build Consensus, Solve Problems, and Make Decisions* (Berrett-Koehler, 2002). Mr. Straus lives in Cambridge, MA with his wife Patricia. They have two daughters, Sara Landis and Rebecca Straus.

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**Carol Whiteside**

Carol Whiteside is the founder and president of the Great Valley Center, a nonprofit public policy organization based in Modesto, California focused on economic, social and environmental issues facing California's Great Central Valley, the state's fastest growing region.

The valley contains nineteen counties, more than 100 incorporated cities and 5.5 million people stretching 450 miles from the city of Bakersfield up to Redding. Demographers project the Valley's population will increase to 15.5 million people by 2040.

This growth has made the Valley a crucible for significant public policy choices relating to land use, community and economic development, civic engagement, organizational and leadership

capacity.

With high teen pregnancy rates, strained infrastructure, inadequate educational achievement and many challenges relating to health care and the environment, this primarily agricultural region is sometimes described as "California's Appalachia."

The mission of the Great Valley Center (GVC) is to support organizations and activities that promote the economic, social and environmental wellbeing of California's Central Valley.  As a regional intermediary for some of California's largest foundations, GVC has attracted and redistributed millions of dollars in grants for technical support, leadership training and youth development.

GVC provides information about the region to through publications and online at www.greatvalley.org.  Since 1997, GVC has:

- Made hundreds of grants averaging in size of about $12,000 to support and encourage local actions that relate to the region's challenges,
- Jumpstarted research expertise to increase the use of technology in the region and create jobs through an increase in productivity,
- Provided organizational training and staff thorough Americorps VISTA volunteers to introduce computer use to over 17,000 people in rural communities.
- Funded support for the permanent conservation of agricultural land through conservation easements held by land trusts in three counties,
- Designed an innovative suite of leadership development programs for teenagers, recent college graduates, emerging community leaders from underrepresented groups, and with the assistance of faculty from Harvard University's Kennedy School of Government, for elected officials currently serving in local office,
- Established a region-wide "scenario planning" project designed to promote dialogue about the region's future, and
- Begun promoting the use of renewable energy both for environmental benefit and as an economic development strategy.

Carol Whiteside's background has perfectly positioned her to serve in this role.  With years of service in local government, on a local school board, city council and as the elected Mayor of Modesto, she learned first hand the challenges and issues facing communities in the rapidly growing region.  For seven years, she served on the Staff of Governor Pete Wilson, first as Assistant Secretary of the California Resources Agency and then as Director of Inter-Governmental Affairs where she concentrated on community and economic development, land use and natural resources, and finance and growth management.

Carol currently serves on the Board of Directors of the Sierra Health Foundation, the Public Policy Institute of California and the California Center for Regional Leadership, and acts in an advisory capacity to many others.

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# C. Forum Proceedings

**Public Involvement Best Practices Forum Proceedings Summary**

Location: Robert Wood Johnson Foundation, Princeton, NJ
Date: October 17, 2003
Time: 8:30am-4:30pm

**In Attendance:**
**Todd Clear**, John Jay College of Criminal Justice, City University of New York
**Breesa Culver**, National Charrette Institute
**David Karp**, Skidmore College
**Amelia Korab**, St. Peter's Hospital, New Brunswick
**Kate Kraft**, Robert Wood Johnson Foundation
**Bill Lennertz**, National Charrette Institute
**Aarin Lutzenhiser**, National Charrette Institute
**Carolyn Lukensmeyer**, America*Speaks*
**Caroline Nicholl**, Blue Apricot Solutions
**Bill Potapchuk**, Community Building Institute
**Bruce Race**, RACESTUDIO
**Harrison Rue**. Thomas Jefferson Planning District
**Ken Snyder**, Placematters.com
**Bill Southworth**, Healing Leaders
**Michael Stoto**, Center for Domestic and International Health Security, RAND
**David Straus**, Interaction Associates, Inc.
**Carol Whiteside**, Great Valley Center
**Wendy Yellowitz,** Robert Wood Johnson Foundation

**Desired Outcomes and Agenda**
Desired outcomes:
1. Understanding of the principles of Dynamic Planning and collaboration.
2. Understanding of the content of five representative white papers.
   So that we can accomplish the other desired outcomes below:

3. Agreement on 3 crosscutting challenges to public involvement.
4. Agreement on (or a list of) best approaches to address these issues and challenges.
5. Agreement on proposed next steps.

| TOPIC | PROCESS | PERSON | START |
|---|---|---|---|
| Project introduction<br>Individual introductions<br>Desired outcomes<br>Agenda<br>Roles | • Present<br>• Check for understanding<br>• Check for agreement | Bill Lennertz<br>Kate Kraft | 8:30am |
| Principles of Dynamic | • Present: 10 min. | Bill Lennertz | 8:55 |

| Planning, collaboration, and Charrette process | • Q&A to clarify: 10 min | | |
|---|---|---|---|
| Community and Political Process | • Present: 10 min. <br> • Q&A to clarify: 10 min | Carolyn Lukensmeyer | 9:15 |
| Public Health and Safety | • Present: 10 min. <br> • Q&A to clarify: 10 min | Michael Stoto | 9:35 |
| Land Use Planning | • Present: 10 min. <br> • Q&A to clarify: 10 min | Harrison Rue | 9:55 |
| BREAK ……………………………………………………………………. | | | 10:10 - 10:15 |
| Restorative and Community Justice | • Present: 10 min. <br> • Q&A to clarify: 10 min | Todd Clear | 10:15 |
| Facilitation/Collaborative Organizational Management | • Present: 10 min. <br> • Q&A to clarify: 10 min | David Straus | 10:35 |
| Understanding of the content of five representative papers | Round robin – comments on papers, other participants' challenges and solutions | ALL | 10:55 |
| LUNCH ……………………………………………………………………. | | | 12:00 – 1:00 |
| Agreement on 3 cross-cutting challenges to public involvement | • List <br> • Clarify <br> • Eliminate duplicates <br> • Prioritize (n/3) <br> • Negative poll | ALL | 1:00 |
| Agreement on best approaches to address these challenges | Break out groups- one per issue area. <br> • List <br> • Clarify <br> • Prioritize <br> • Negative Poll | ALL | 1:30 |
| Break-out group reports | Groups report – <br> • Present: 5 min. per group <br> • Q&A: 10 min. per group | ALL | 3:00 |
| Proposed next steps | • Propose <br> • Clarify <br> • Check for agreement | All – Facilitated by Bill Lennertz | 3:45 |
| Meeting evaluation | • What worked <br> • Upgrades | Bill Lennertz | 4:20 <br> End 4:30 |

**Introduction:**

Kate Kraft welcomed the group with a brief introduction explaining Robert Wood Johnson's mission and goals and the context of this project. Bill Lennertz, of the National Charrette Institute, presented the agenda and gave a summary of NCI's work to date on this project. As a group, participants created the following ground rules for the day: Stay within time limits, say "horse" to signal "beating a dead horse," focus on core of message, focus on issue – minimize "hero stories," define terms and acronyms, self police, accept risky/"out there" thinking. Aarin Lutzenhiser, of the National Charrette Institute, described the work accomplished to date on the

literature review. Bill then gave a brief presentation covering the general work of NCI, Charrettes, and the Dynamic Planning process.

**Presentation of Papers (presenter flipcharts available at the end of this document):**
Carolyn Lukensmeyer, "Engaging Citizen Voices in Governance: Taking Democracy to Scale"
Key Challenges:
1. Getting everyone at the table
2. Keeping decision-makers engaged through sustaining the process
3. How do we institutionalize this? – The push for public involvement should come from the government itself

Michael Stoto, "Public Involvement in Community Health Improvement"
Key Challenges:
1. Finding accurate, appropriate, comparable and relevant data
2. Maintaining energy and momentum
3. Measures/Evaluation needed – How do we know a process works?
4. Becoming open to others

Harrison Rue, "Public Involvement Best Practices: Linking Land Use and Transportation"
Key Challenges:
1. Getting people to the table – especially at regional scale
2. Coordinating developers' investments with a long-range transportation plan
3. Inter-jurisdictional cooperation & coordination
4. Long-term action on implementation tools & funding

Todd Clear, "Models of Community Justice: Exploring Dynamics of Community Participation"
Key Challenges:
1. Selection of community place and people
2. Ownership of problem(s)
3. Staying power
4. Structure of interests
5. Structure of incentives

Davis Straus, "Building Collaborative Communities"
Key Challenges:
1. Demonstrating the power (of collaboration)
2. Transferring the skills (leadership and facilitation) – requires a value shift
3. Transforming the culture of an organization or community

Following the presentations, there was a group discussion about the white papers followed by a round robin discussion giving all participants an opportunity to describe their process and experience.

**Crosscutting Challenges to Public Involvement**
Throughout the morning, as presentations were given and discussion occurred, challenges to public involvement were recorded. Following the paper presentations and question and answer sessions, the group brainstormed additional challenges and arrived at the following list.  Once

participants agreed upon the list of challenges, categories were applied to narrow the topics for further discussion.  Categories of challenges developed by the group were

(A) Institutionalization
(B) Engagement
(C) Scale
(D) Leadership
(E) Sustainability/Implementation
(F) Evaluation/Documentation/Measures
(G) Information/Data

The group selected (A) Institutionalization, (B) Engagement, and (E) Sustainability/Implementation to address in small group brainstorming sessions later in the afternoon.  The (C) Scale and (F) Evaluation/Documentation/Measures categories were given second priority ranking.  Ranking of the first and second tier challenges was based on the level of difficulty of the challenge.

| Categories (listed above) | | | | | | | Cross-cutting challenges to public involvement |
|---|---|---|---|---|---|---|---|
| a | b | c | d | e | f | g | **Cross-cutting challenges to public involvement** |
| • | • | | | | | | need for shared responsibility |
| • | • | | | | | | leadership dilemma- role of leadership and collaboration skills |
| • | | | | | | | institutional change |
| • | | | | | | | inter-jurisdictional cooperation and coordination |
| • | | | | | | | structure of interests |
| • | | | | | | | structure of incentives |
| • | | | | | | | how to transform the culture of a community agency |
| | • | • | | | | | getting the public involved in complex/systemic problems/issues |
| | • | • | | | | | ownership of issues- who defines the issue? |
| | • | • | | | | | who is the community |
| | • | | | | | | finding common values across cultural barriers |
| | • | | • | | | | linking grassroots and leadership |
| | • | | | • | | | ownership of problems |
| | • | | | | | | getting people to come back to multiple meetings |
| | • | | | | | | working with the enemy |
| | • | | | | | | how do you get all of the voices at the table |
| | • | | | • | | | long-term action on implementation |
| | • | | | • | | | dealing with deep divides between groups |
| | • | | • | • | | | process relevant to power base |
| | | • | | | | | tool and process choice (scale) |
| | | • | | | | | cost of doing it right |
| | | • | | | | | bringing projects to scale |
| | | | | • | • | | how do we measure success- how do we know a process works? |
| | | | | • | | | keeping life in the process over time |

| | | | • | | maintaining momentum for implementation |
|---|---|---|---|---|---|
| | | | • | | keeping decision makers engaged through sustaining the process |
| | | | • | | how to increase ownership of place |
| | | | • | | how to rename liability issues so the public can own public space |
| | | | | • | • neutral/materials |
| | | | | | • citizen knowledge v. system data |

**Small-group work on best approaches to address cross-cutting challenges**
The group selected the following three categories of challenges to address in small groups: (A) Institutionalization, (B) Engagement, and (E) Sustainability/Implementation. After meeting in small groups, each group then reported back to the full group and answered clarification questions. Following is a summary of flipcharts created by each group. Group members will provide clarification and further details based on these summaries in the upcoming weeks.

Institutionalization
Carolyn Lukensmeyer
Bill Southworth
David Karp
David Straus
Caroline Nicholl
Bill Potapchuk

What would it look like and what would it take to get there?
- Leadership and community commitment
- Cross-functional steering committee
- Application of collaboration at multiple levels
- Skill building (training)
- Feedback/evaluation to measure progress
- Complete transparency – no secrets, no spin. Trust.
- Constant learning
- People excited by this
- Dangerous not to do this
- Elected officials oriented /exposed to models for public participation
- Institutionalization skill set (and theoretical materials) for citizen engagement in public policy/education programs
- Recreate public space in communities and set up for "wired" meeting. Part of civic infrastructure. Link to homes.
- Federal commitment, support and acct. to eval. Research in public universities
- Campaign finance reform
- Multiplier effect…working with leaders to create a new model of leadership…walking the talk
- Take it into the schools…students and teachers…education is about learning and not teaching
- Responsive to citizens

- Maximize the good for the maximum number of people e.g. access, opportunity
- "We have met the government and it is us." –Pogo
- Evaluation . . . we understand what works and what does not

Different set of values:
- Educate
- Different models for transferring the skills
- Different kind of leadership – comfort with sharing information, turf, knowledge.
- Shift from image to substance
- Collaborative decision making at multiple levels
- Service learning (e.g. community service) with student ownership
- Institutionalization of risk
- Don't overly professionalize facilitation, facilitation skills should be broadly owned

How to rethink the neighborhood and regional level where we are not organized to make decisions:
- Integrate the knowledge with the process
- Regular "report cards" for communities
- Reduce "stove piping" of planning processes so we have more holistic and integrative processes (strategic and comprehensive p.p.)

How to institutionalize citizen voice and public process at the national level:
- Every 2 years use deep polling of public sense of most critical issues
- Based on the polling data, Congress authorizes intermediary group/organization for running/managing a deliberative process on the selected issue nation-wide.
  Outcomes from deliberative process come back to Congress for them to use as guidance in formulating policy

Engagement
Bill Lennertz
Carol Whiteside
Ken Snyder
Harrison Rue

Engagement:
- Relevance
- Trust
- Respect
- Ownership
- Unique contribution
Research/ID client and diverse constituents
- ID legitimate leaders and their ⇒ daycare, ethnic expectation
- Strategic outreach ⇒ how they get their information
Establish community values and priorities/needs
- Surveys, interviews
- Workshops, attend meetings

For project specific or long term big picture:
- Trainings or capacity building and education/Resources (capacity)
  - Leaders
  - Facilitation staff
  - Resources
  - Media
  - Lectures
- Participants are engaged from the beginning with expectation to have an impact on the result
  - Process is effective ⇒ minimizes rework

ALL OF ABOVE MUST REFLECT LOCAL COMMUNITY VALUES AND NEEDS
- Checking results
  - Who is not in meeting?
  - How to get them there
  - Everyone takes ownership in recruitment
- Make the meetings effective and worthwhile
- Make it their meeting

How to know when collaborative process is right to use?
- Public policy involved
- When decision has been made


Sustainability and Implementation
Michael Stoto
Bruce Race
Aarin Lutzenhiser
Todd Clear

Sustainable – Defined
Implementation – Best Practice

A. Sustainable Outcomes
1. Long term community commitment to realizing shared vision and goals
2. Lasting support/broad-based ⇒ Accepts new players
3. Adaptable actions/nimble (learning organization/culture)
4. Monitoring success (adapt actions/feedback)
5. Ongoing/open communication
6. Linked to institutional change, new alignments

B. Sustainable Process

Best Practices Features
(*Implementation for sustainability)
1. "Community" is inclusive – community ownership (people become stakeholders)
2. Shared ownership of vision
3. Popular plans strategies/actions that define responsibilities/accountability
4. Prepared to be accountable and give resources
5. Monitoring success (Overall outcome, Context – moving target)

6. Nimble response in terms of activities and intro (info?) partners

Key Best Practices Features
1. Inclusive community
   a. Broad inclusion of everyone (cannot opt out) believe in a future for them
   b. Getting participation of apposed forces/views
   c. New emerging leadership opportunities
   d. Grows and nurtures leadership that shepherd (monitor and promote success) implementation (members of the "war room")
2. Shared ownership of vision
   a. Folks are in "on the ground floor"
   b. Based on identified common beliefs/values
   c. Honors minority report
   d. Feasible vision
3. Popular plan and strategies
   a. That defines responsibilities
   b. Has a basis in *logic*, everyone understands rationale ⇒ big moves
   c. *Correct* level of detail
4. Stakeholders/partners are prepared to provide resources
   a. They are the correct resources
   b. Linked to common objectives (view their role in context)
   c. Acknowledged individual responsibilities, accountability
5. Monitoring Success
   a. Measurable outcomes
   b. Status of outputs
   c. Feedback loop/periods
6. Nimble Response
   a. Long view but makes adjustments, course corrections
   b. Brings in new resources (and accommodates)
   c. Brings in new partners/players (and incorporates their values

# D. Project Process Examples

**THE POWER OF STORIES: "SCENARIO PLANNING" AS AN ENGAGEMENT TOOL**
**The Great Valley Center (Modesto, California)**

**Problem**
California's Great Central Valley is the state's fastest growing region and faces a long list of social, economic and environmental challenges and choices.   The public engagement problem for this largely rural region is that effectively dealing with challenges such as poor air quality, underperforming schools, or high unemployment requires the sustained involvement of a broad cross-section of people.  In the Valley, entire communities are often missing from regional discussions, meetings and debates on issues such as land use and local public policy.   Common explanations for participation fatigue include lack of time, complex  issues further aggravated by insider jargon, language differences and most disturbing: a resigned sense that the region has neither the tools nor the leadership to take control of its own destiny.

**Process: The Power of Stories**
Enter Scenario Planning.  Scenario Planning is a facilitation process that creates compact, accessible stories about the future that unashamedly act as discussion starters.  Whatever the topic, few people who have heard scenario-derived stories are at a loss for words.  This is more than can be said for dry statistical projections on a presentation slide or buried in a report. Domestically, this tool has traditionally been used by the private sector to evaluate new investments or new markets.  Could it successfully be used to spark discussion in the public policy arena?

To develop scenarios for the Great Central Valley, the Great Valley Center convened approximately 100 diverse residents from around the Valley over the course of 2002.  The participants were divided by the three main regions of California's Great Central Valley. (i.e. the San Joaquin Valley, the Sacramento Region, and the North Valley).

The facilitated process was led by the Global Business Network and Joel Garreau, Cultural Correspondent for *The Washington Post*.   After pushing the participants to express what the big, unspoken issues facing the region were, the facilitators led the group to develop three sets of 4 story narratives that describe what life could be like in the 2025.  Each scenario is approximately 1500 words long and comes complete with a dramatic title that would eventually serve as placeholders for dozens and dozens of individual choices. Among the more imaginative titles include: "Green Rush"; "Rosa's World"; or "Toxic Gold".  Each tales wove fictional characters, complex public policy issues and local knowledge into a compact, conversation starting narrative that would be uniformly accessible to high school students, busy citizens and local decision-makers.

**Outcome**
In early 2003, the entire work product from the group was rechristened by the Great Valley Center as "*The Valley Futures Project*".  Outreach efforts led to long form, serial style publication in six daily large circulation newspapers.  To date, the text version more than 2.5 million media hits that has sparked letters and even use of the story names  The Great Valley

Center is also distributing commute-friendly audio versions of the stories on compact disc, three short form films for use in classrooms, living rooms and community groups, and DVDs available in English and Spanish.   A high school curriculum has also been developed by the Center. Most encouraging however is the use of the scenarios to open local community general plan discussions in Tulare County, the city of Galt, and West Sacramento throughout 2004.

**Links**
The Valley Futures Project
www.valleyfutures.org

Background on Scenario Planning
www.gbn.com

**FOSTERING COMMMUNITY PARTICIPATION IN SACRAMENTO REGIONAL DECISION-MAKING**

The Great Valley Center
Modesto, California
December 3, 2003

The Sacramento Land Use (Blueprint) Project is funded by The James Irvine Foundation, directed by Great Valley Center President, Carol Whiteside, and managed by Dr. Robert Waste, a professor of Public Policy and Administration at California State University, Sacramento. Blueprint, as noted below, has had several noteworthy public participation successes.

**Part I: Background Information, Problems& Challenges:**

In January 2003, the Sacramento Area Council of Governments (SACOG) launched an ambitious "Blueprint" Project using the cutting edge interactive public domain planning the Place3s software and a series of over 30-land use planning public workshops. These workshops took place at the neighborhood (July-October 2003), and county-wide (October 2003-April 2004) over a 6 county region. They will culminate in a region-wide electronic televised "town hall" workshop in the summer of 2004. The purpose of the Blueprint Workshop exercise is to familiarize residents of the region with the consequences of unchecked current growth patterns and to explore public interest and support for smart growth alternatives. "Fostering Community Participation" is a grant-funded effort to increase public participation in the Blueprint process. The results of that public participation effort have been a resounding success.

**Part II: The Blueprint Outreach Process:**
The Blueprint team took several steps to increase participation. These included:

**Creating an Umbrella Outreach Group:**
The Blueprint team formed a broad stakeholder coalition - the Sacramento Regional Council (SRC) in January 2003. The SRC, which meets monthly, is a coalition of over 20 business, environmental and social equity organizations. This core group, in turn, represents an even broader coalition of more than 70 additional constituent groups.

**Traditional Outreach Activity:** The SRC helped increase participation in Blueprint Workshops via telephone calls, fax blasts, email lists, pre-workshop training sessions, and leafleting workshop neighborhoods. A total of 1,708 participants have attended a total of 28 Blueprint land use workshops to date.  Blueprint records document literally hundreds of phone calls, faxes, neighborhood mailings and posters, and newspaper announcements in several languages.

**Additional Outreach Mechanisms: Focus Groups, Training Workshops, Using the Internet, & Pressing for Additional Public Participation Meetings:**

Dr. Waste conducted two focus groups with SACOG (Sacramento Area Council of Governments) officials, Caltrans officials and environmental and social equity groups to provide feedback to SACOG on Blueprint. The SRC also arranged numerous "pre-workshop" training sessions for interested members of the public to familiarize themselves with planning issues, terminology and legal considerations prior to the official Blueprint Workshop meetings.

A Blueprint website was created at http://www.sacregionblueprint,org which allows for electronic pre-registration for Blueprint workshops, provides information about Blueprint, and electronically archives and publishes plans developed by each neighborhood, county-level and regional Blueprint workshop.

Finally, the SRC persuaded SACOG to add three additional Blueprint Workshops in August and September 2003. Thanks to these workshops:

- As of October 2003, 1 in 3 Blueprint participants are equity or environmental participants.
- Blueprint participation increased 9.2% due to 3 SRC workshops.
- African-American Blueprint participation increased by 50%, and
- Social equity participation in Blueprint increased by 50%.

While there are still many challenges facing the Sacramento Blueprint Project, there is solid evidence that they have experienced significant success in accomplishing their mission of "Fostering Community Participation in Sacramento Regional Decision-Making."

**AMERICA*SPEAKS* CASE STUDY: AMERICANS DISCUSS SOCIAL SECURITY**

America*Speaks* introduced its innovative approach to citizen engagement as part of *Americans Discuss Social Security (ADSS),* a two-year project sponsored by The Pew Charitable Trusts. This national public deliberation project significantly influenced the debate about Social Security reform and powerfully demonstrated the value of engaging ordinary citizens in addressing the country's most critical public policy challenges.

*Context*
Before *ADSS* was launched in 1998, public concern about Social Security's future had not translated into Congressional action. Opposing special interests had polarized the debate on reform options, and Members of Congress feared attempts to reform the system would spark citizen outrage and a voter backlash. Within this political climate, *ADSS* reasserted the citizens' voice into the debate by informing Americans about the reform options and engaging citizens in the dialogue about the system's future.

*ADSS* Executive Director and America*Speaks* founder Carolyn Lukensmeyer developed this first-of-its kind national dialogue that included:

- Two 10-city teleconferences (1,000 participants each)
- One five-city regional teleconference (1,000 participants)
- Five town meetings (500-750 participants each)
- Seven-week online policy dialogue (15,000 participants)

More traditional public outreach tools -- public education materials, public opinion polling, media outreach, paid advertising – were integrated in a way that maximized the visibility and impact of the deliberation efforts.

*Outcomes*

Over 15 months, the project engaged nearly 50,000 Americans in 50 states in direct discussions on Social Security reform and more than 12 million through the project's media and public education efforts. Deliberation participants reflected the rich regional, ethnic and generational diversity of the country. Furthermore, the project directly engaged formal and informal decision makers throughout the project, including President Clinton, 120 members of Congress, key stakeholder groups, and diverse issue advocacy organizations.

*ADSS* had an immediate and direct impact on the Social Security debate. The project demonstrated the intense public interest in the future of Social Security reform and showed that Americans had more of a "middle ground" approach than special interests or lawmakers had believed. For example, contrary to insiders' expectations, participants overwhelmingly supported an increase in the payroll tax on higher incomes. These results were considered credible because of *ADSS'* neutral stance on the issue, the diversity of participants, and lawmakers' direct involvement in the process. Eventually, each of the major reform proposals included a payroll tax increase.

Although Congress was not able to agree upon a reform package, the outcomes of the deliberation altered the perception of what the public would and would not accept in a reform proposal.  Furthermore, *ADSS'* methods revealed the potential for citizen deliberation efforts to re-connect decision makers and constituents, break the deadlock created by special interests, and inform thousands of citizens of important public matters.

At the project's conclusion in 1999, President Clinton reflected, "*ADSS* [has] done a great service in bringing citizen concerns about Social Security to our attention here in Washington. . . In the process, *ADSS* has also expanded and refined the models through which citizens can become engaged in public policy discussion."

**AMERICA*SPEAKS* CASE STUDY: WASHINGTON, D.C.'S CITIZEN SUMMITS**

*Background*
Immediately after taking office in 1999, Washington, D.C. Mayor Anthony Williams recognized that he must engage the city's residents in a unique, substantive way. Plagued by years of political scandals and fiscal instability, Washingtonians were eager for a new era of transparency and partnership. To address this need, AmericaSpeaks worked closely with the Williams Administration to restore public trust by developing tools to effectively generate and utilize public input in its decision-making processes.

Washington D.C.'s large town meetings, called *Citizen Summits,* are now the centerpiece of the city's citizen engagement strategy. The *Citizen Summit* process, developed and facilitated by AmericaSpeaks, offers thousands of District residents an opportunity to directly shape the city's key priorities and spending. *Citizen Summit* meetings follow AmericaSpeaks' *21st Century Town Meeting^TM* process – a unique integration of small group discussion and meeting technology – to generate input from thousands of residents simultaneously.[7] Over the last four years, more than 13,000 residents have attended six *Citizen Summit* programs. These participants have included residents of every walk of life who reflect the city's age, income, ethnic and geographic diversity.

During *Citizen Summits*, residents review and give input on the Mayor's City-Wide Strategic Plan, which lays out the Administration's key priorities and sets the stage for the Mayor's proposed budget. Based on the input from the Citizen Summit, the Mayor and his staff revise the plan and introduce the changes at a large, public meeting several months later. This second, follow-up meeting gives the public to review the revised plan before it is finalized. In addition, the Mayor also created new "scorecards" which give residents an opportunity to hold the Mayor and his cabinet accountable for achieving citizen goals contained within the City-Wide Strategic Plan.

*Outcomes*
Input from *Citizen Summit* participants has significantly influenced the Administration's priorities. For example, after participants in the first *Citizen Summit* in 1999 indicate their highest priority was the city's young people, the Mayor shifted more than $80 million into the school system that otherwise would have been spent on other priorities. Two years later, securing affordable housing emerged as the most pressing citizen concern and the Williams Administration made it a priority to finance more than 12,000 units of affordable housing in every ward of the city. In the latest *Citizen Summit* in November 2003, the Mayor asked citizens for direct feedback on 20-plus concrete policy proposals and his administration is currently revising the city budget based on participant input.

Overall, participant satisfaction in the *Citizen Summit* has been high. At the conclusion of the November 2003 *Citizen Summit*, 88% of participants indicated they were "highly satisfied" or "quite satisfied" with what they heard from other participants in their table discussions. And

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[7] For more information about America*Speaks' 21st Century Town Meeting^TM* process, see www.americaspeaks.org.

65% of participants indicated that their opinions changed as a result of participating in the Citizen Summit.

The *Citizen Summit* process clearly demonstrates how citizen engagement can be fully integrated into the very workings of public administration. By creating a consistent citizen input process that is directly linked to formal decision-making processes, the Williams Administration has begun to redefine the city government's relationship with its citizens.

**SIERRA HEALTH FOUNDATION'S COMMUNITY PARTNERSHIPS FOR HEALTHY CHILDREN INITIATIVE**

Initiative Overview

The Community Partnerships for Healthy Children (CPHC) initiative, Sierra Health Foundation's 10-year effort which began in 1994, uses community building as a means to improve the health and well-being of young children and their families.

Through shared leadership, a community-driven decision-making process and an atmosphere of inclusivity in which local residents play key roles, each collaborative mobilized community residents, identified focus issues and outcomes, and developed and implemented strategies and action plans to address them. Collaboratives emphasized prevention in their action plans and focused on policy work in later years, on the assumption that changes in policy and systems will ultimately have the greatest impact on health outcomes.

Each collaborative has been expected to reflect on what has been learned and use that knowledge to guide its next steps. Numerous supports were provided to the collaboratives to build their individual and collective capacity to achieve the goals of the initiative. In addition to receiving direct grants, representatives of the collaboratives participated in central and regional training sessions on a wide range of topics related to their work. Trainings were based on a "train-the-trainer" model to foster leadership development, build individual skills, and spread the knowledge and skills to other community members. Collaboratives also were provided with individual technical assistance.

Evaluation
SRI International conducted the ongoing evaluation of the CPHC initiative on two levels: the initiative as a whole and each funded collaborative. They also trained collaborative members in how to conduct their own evaluation.
Through this evaluation many positive outcomes of CPHC have been identified. There were generally positive changes in some child health indicators in some CPHC communities, attributable particularly to increased recreation opportunities, higher immunization rates, and more dental screenings.

Other changes in communities indicate that agencies became more open to community input, residents are better informed about what resources are available in their community, and groups concerned about children are working more closely together.

Further, different aspects of social capital increased in different communities, namely connections among individuals and across groups and agencies, a sense of power to bring about change, a sense of community as having assets, pride in the community, and an increase in volunteerism.

As a focus of the collaboratives became policy and the impact policy work could bring about, members developed advocacy skills and began working for policy change at the local and state level and have had some success.

Now, as Sierra Health Foundation funding ends, collaboratives are sustaining themselves and many of their activities through grants and the handing-off of projects to other organizations and agencies.  To date, CPHC collaboratives have acquired over $32 million in grants to sustain their activities.

Each of the remaining 15 CPHC sites represent unique case studies.  The tools and techniques developed by these communities are reflected in the guidebooks, *We Did It Ourselves*, and CPHC publications such as *Spotlight* and *Highlights*.  Further information on CPHC can be found on two web sites: www.sierrahealth.org and www.cphconline.org.

**ADDRESSING ESCALATING PROBLEMS OF RETAIL THEFT & YOUTH OFFENDING THROUGH RESTORATIVE CONFERENCING**

Milton Keynes Police (England, UK) in the 1990's faced a growing problem of retail theft in the largest shopping mall in Europe and deep-seated challenges with youth crime. The court system was failing to cope. Confronted with data that demonstrated the cost of doing business under criminal justice was increasing only to support an increase in reported crime, the police piloted a new approach that embraced the involvement of key stakeholders – including citizens - in deciding how crime should be handled. An experiment initially launched to bring retail managers and staff face to face with young offenders, ultimately led to system wide changes both locally and nationally.

Facilitated by police officers or trained volunteers, *restorative conferencing* allows for victims and offenders to come together with representatives of the community and professional agencies to discuss how the impact of crime(s) can be addressed through joint problem solving focused on harm reduction and preventing further harm. Whereas the criminal justice system comprises of the professional players (police, prosecutors, court officials etc) determining what charges to bring against an offender, restorative justice allows the victim, and others effected by the crime, to define the nature and scale of the problems needing attention.

Michael had cost the system well over $1.4 million by the time he was 14 years old. A car thief and repeat burglar, he had been arrested dozens of times by the police and placed under court supervision. Neither strategy stopped young Michael's unlawful activities. Milton Keynes decided to extend their option of conferencing. As with many similar conferences involving household burglars, Michael soon learned that burglary was much more than lawbreaking. Direct victims reported suffering not only financial losses and damage, they were also likely to feel less trust toward people more generally. Many had become depressed, isolated, and even ill. For those who know the victim or simply that the burglaries have taken place in their neighborhood, fear, suspicion and anger become volatile dynamics in the community.

Conferencing allows everyone, including the offender, to talk together, unhindered by the rules of evidence. In Michael's case, what came out in the conference was his suffering sexual abuse at the hands of his stepfather that precipitated him leaving home at night. For Michael, the conference was touching as the "first time I feel I have been spoken to like a human being". Many young burglars learn about the consequences of their crime from listening to their victims and their own family members e.g. (a younger sister or elderly grandmother) or a neighbor who express dismay over their disregard for others. The results of sharing information about facts and emotions in these dialogues can be staggering. Offenders are less likely to see themselves as the victim up against a powerful justice system. They can develop empathy and assume responsibility for the harm that has been caused. Offender accountability can be a catalyst to victims regaining trust and some sense of the equilibrium that was disrupted by the crime.

Evaluation results of restorative conferencing have shown they have the capacity (when properly designed and implemented) to reduce offender recidivism and bring about more victim satisfaction than the criminal justice system offers. Of crucial importance is the engagement of the broader community in helping to identifying the harm done, the means by which the victim can now be supported, and the offender held meaningfully to account. Communities soon learn

what they need to do to prevent future harm; how offenders more often need support than punishment to help them become law abiding and productive citizens; and how communities have the capacity for *self policing* with some minimal support from the professionals.

Restorative conferencing is spreading rapidly across the world through experiments like the one in Milton Keynes (which became the precursor to national legislation in 1998 making restoration and reintegration key principles of youth justice in Britain). The conferencing model places value on citizen engagement as a means of re-connecting people, re-building trust, and promoting valuable lessons of what can be tangibly achieved through collective effort not dominated by the professional players who must follow the system's rules and bureaucracy. Restorative conferencing turns crime from a crisis into an opportunity – a chance for citizens to be motivated toward building safer and more connected neighborhoods, not through gated housing and hard technology, rather through the age-old softer technology of shared storytelling.

For more information, contact Caroline G. Nicholl at carolinenicholl@erols.com or 703.567.9959

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**Bruce A. Race, FAIA, AICP**

**Community-Based Design Trends**
As California grows and ages, several clear trends have emerged. Communities show increasing interest in revitalizing their central places, enhancing pedestrian-friendly addresses and advocating quality architecture. Most significantly, policymakers are beginning to incorporate citizen input in community design policy, encouraging public participation in the development of community design plans and forming design review committees.

Newcomers during California's booming 1970's and 80's are now settled. They recognize their vested interest in their communities. They know more about local history, are more aware of local architecture and design traditions, and more concerned with fiscal and environmental impacts of new development. As a result, preserving the scale and character of cherished places has become a policy condition. Communities' interests focus on the value created by physical and cultural memory. Victorian and Craftsman neighborhoods, ethnic districts, old industrial districts and even tie-dye era places are venerated for the memories they represent.

Changed values and citizen desire to shape new and preserve existing public places have had a number of positive affects. Increasingly, policymakers look for input from citizen advisory committees (CAC's), task forces and special committees formed to guide professional planning and design teams. Such groups often act as the sponsors of the public participation process. They may also host public workshops, take the lead on public outreach and education, and document the results of civic discourse. Whether blended from standing advisory boards and commissions or created from special interest groups, these CAC's have tremendous responsibility, as well as great clout, in establishing urban design parameters.

Now, public sector clients come to architects for help in facilitating community participation in identifying design solutions that reflect local values. The way architects work with communities shapes their expectations for quality design and environments.

**Architects Role in Community Design**
The architect's role in community-based design is often lost in media preoccupation with Deconstructivism and Neotraditionalism. Those architects who provide design and planning services for communities operate in a world of policy and politics. Likewise, those who provide design services to project developers also face public and political scrutiny. In both cases, architects must help inform the discussion and document the results.

Designing the Process
Helping develop a community-based design process requires an understanding of what types of decisions a community needs to make. Just as every community is unique, no two processes will be exactly the same. However, there are three general overall phases every community design effort goes through. These include a period of discovery, understanding the available options, and deciding how to make the preferred approach a reality.

Credibility is a primary objective of every community process. Credible community design and policy efforts do not happen by accident. Successful planning efforts are scripted and planned to

ensure the community understands recommendations and policies.  A credible process, one that the community buys into, captures community values.  A credible process has three characteristics.

1. The process is inclusive.  All citizens and special interests have to have access to the planning discussion through outreach strategies that include all groups on both sides of critical issues.

2. The process is informed.  Because values are intrinsically emotion-laden, they must be discussed openly and directly.  Factual information regarding central issues is critical.

3. The process is open and visible.  Participants need to see their input documented and reflected in the outcome of the design process.

Informing Community Discussion
Whether the issue relates to community character, traffic patterns, demographics, historical sites or fiscal matters, information is essential.  Emotion can only be tamed by information, which allows participants to develop a clearer understanding of the critical issues, design options and potential outcomes of various planning futures.

Documenting the Results
Architects must help communities document public values, ideas and decisions.  Each decision requires a visible trail that chronicles popular understanding of the issues and choices.  The ideal community design process is self-documenting.  Each step, workshop, focus group, meeting or survey adopts an approach that guides the community through the discussion and documents the preferences expressed.  This makes for an open and visible process and, therefore, adds to its credibility.

**Raising Community Expectations for Quality Design**
The community-based design process should be an educational and create an opportunity for communities to "self actualize," communities better understand their own physical form and learn what factors influence changes.  In the course of a successful process, many participants view their communities in new ways and achieve a growing appreciation for quality design.  Higher community expectation usually leads to interesting assignments for architects, as well.  The three case studies that follow show some of the ways architects are "upping the ante," raising community expectations for architecture in three very different community design programs.

Carmel: Design Traditions Project
California communities considered desirable destinations and addresses have long-standing architectural and planning traditions that acknowledge their spectacular natural settings.  Design policies in such communities generally build on these traditions in an attempt to shape new development.  Carmel, for example, has fashioned a community-based design process that frames new development as an extension of the village's architectural memory.

Carmel's Design Traditions Project involves the community in assessing valued assets of its historic wooded residential areas. The process raises public awareness of the architectural and natural assets that make Carmel a unique California place. The community is uses its popular assets as a foundation to review potential policy options and design management tools.



*Carmel, California citizen design teams are work to define the desirable characteristics of their residential neighborhoods in the Carmel Design Traditions Project.*

El Cerrito: Reinventing the Central Place
Many postwar California communities are now discovering or initiating traditions unique to their community environments. California's recovery from the recession of the early '90's has created economic conditions that permit communities to initiate a dialogue about how to shape the next generation of growth. New residential neighborhoods and redevelopment of older commercial areas offer opportunities for change. One popular theme, adopted by El Cerrito, involves a reconfigured shopping environment to play the role of a town center, which aided community-based efforts to reinvent their central place.

The 30-year-old El Cerrito Plaza lost its anchor department store and required a new tenant mix strategy to survive changes in retailing. During 1996 and 1997, El Cerrito spent several months working through a community-based planning process to develop a framework plan for a new village center. The community had to review a variety of economic, tax base and design objectives before the Redevelopment Agency solicited private sector partners for the project. El Cerrito adopted a three-step process: define the planning opportunities and options, identify the urban design principles and test their plan. A summary set of design objectives was then used to solicit a private sector developer partner and guide the site planning and design approach.

*El Cerrito, California citizen workshop participants explore conceptual approaches as they create a new village center.*

San Pablo: Updating the General Plan
Increasingly, California communities are including community design or image elements in their general plans. They have found that community image, land use and economic development are interdependent variables in terms of overall livability.

In San Pablo, the general plan update process included aggressive public outreach. A series of workshops focused on land use, community design and economic development and generated public input into an integrated vision for the community. Using an alternative futures gaming workshop, community design teams developed long term visions for the city. Subsequent workshops focused on district land use strategies, community design, economic development, and implementation. The result was a popular citywide vision that integrated community design with land use and economic policies.

*In San Pablo, California, "Kids Design San Pablo" provides a fresh view on how children use cities and dream of the future.*

Community Design Tool Box
The uniqueness of each community and each project means architects must tailor their approach to community participation to fit every assignment. A variety of interactive designs methods exist to facilitate participation and help communities better appreciate design issues.

**Environmental Walks**
Most community-based design efforts allow participants to become the experts as they help define the issues. Environmental walks, for example, guide participants along a fixed route as they analyze planning and design opportunities. A list of questions helps focus their observations on particular issues.

**Cognitive Mapping and Drawing**
One effective warm-up exercise involves asking citizens to draw from memory their community or neighborhood. When planning a particular site, for instance, and participants need to consider its context, ask them to draw the surrounding neighborhood or city. This technique works exceptionally well with children. With adults, as an impromptu exercise, it often stimulates productive discussions.

**Gaming Solutions**
Design games help citizen design teams explore alternative futures effectively. Although these games can be complex, they offer several valuable features: they are interactive, visual and self-documenting. Participants can formulate rules as they react to prompter questions that focus on critical issues. Game boards can be based on a site diagram, an aerial photo or even an abstract map diagram. Game pieces contrived from colored pieces of cardboard or cut paper may be used

in combination with colored markers.  Ideally, participants move game pieces around the board and negotiate their final location.

Scenarios Testing
"Test driving" design plans adds a new layer of player involvement, as teams engage in role-playing.  After defining various user scenarios, then map the experience of someone walking through the design.  Outcomes may be summarized in a series of stories, plotting movement with colored markers or notes.  The economic impact of a project may be addressed by pasting down play money where the scenarios produce sales.

From self-guided walks to elaborate design games, the methods selected depend on the issues the community needs to resolve and their stage in the design process.  Involvement is the key.  Participants need to feel their concerns have been addressed; they need adequate information to work through the emotional aspects that surround issues; and they need to face the consequences of alternative design decisions.  When citizens feel they played a genuine role in the process, they produce better results.

As California matures, communities rely more heavily on local experience and customs.  At the same time, the architect's role in this coming-of-age urbanism changes, too.  Architects, trained to understand the layers of economic, urban design and historic traditions of cities, are becoming teachers and guides to communities seeking to focus on their uniqueness, articulate their identity and plan more effectively to face the future.