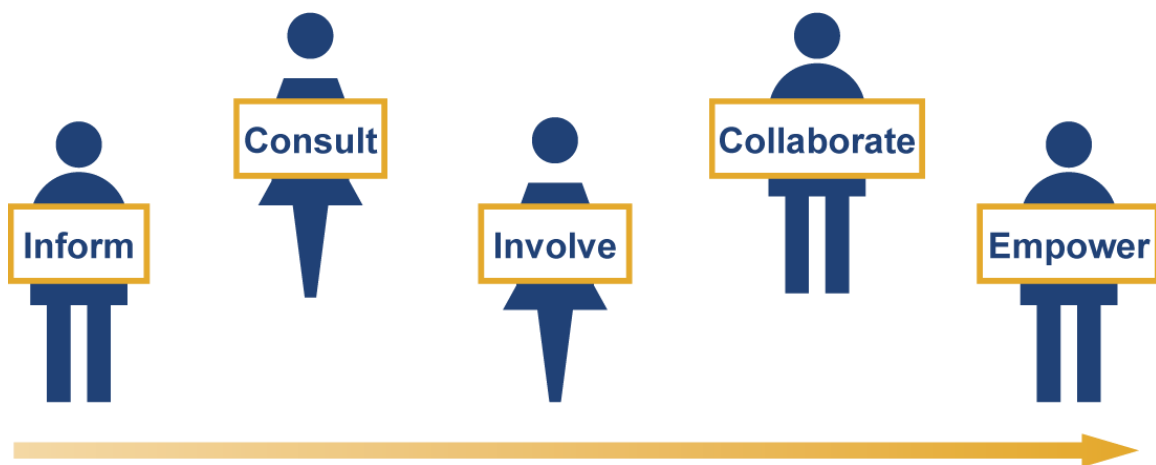


PUBLIC PARTICIPATION DESIGN FOR COMPREHENSIVE PLANNING

Case Studies from the United States and Brazil

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ABSTRACT

This paper serves as a guide to planners who want to design public participation components for comprehensive planning processes. First, this paper reviews the existing literature on public participation and discusses the strategic choices that planners make when designing planning processes. Then, it reviews legislation on state mandates for citizen engagement in planning processes in the United States and in Brazil. Next, it reviews four cases studies, two from the US and two from Brazil. The case studies illustrate how mandates for public participation are implemented across different public engagement contexts. Finally, the paper offers recommendations on how to design public participation components that meet legal requirements and provide for meaningful engagement with citizens in comprehensive planning processes.

DISCLAIMER

The analysis presented in this report is based on academic literature and planning information available for public consultation. The actual motivations for the choices made in each case study might differ from what was inferred from review of the public documents. No interviews were conducted to verify if the assumptions made here match the intent of the professionals working in the selected case studies. This study and resulting tool could be expanded with a more in-depth investigation of the design process adopted in each case.

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INTRODUCTION

This report focuses on public participation in comprehensive planning in the United States and in Brazil. In the US, requirements for public participation vary greatly from state to state. In Brazil, a single legislation is applied countrywide. Case studies from both countries help understand how planners address the existing mandates for public participation in both contexts. The case studies also help in the identification of reasons for success or failure of comprehensive planning processes in both countries.

The analysis of the case studies is performed using Social Capital and participatory governance theory. Social Capital theory is used to explain the importance of trust as a component of productive engagement of citizens in government decision-making. Participatory governance literature helps with the understanding of the motivations and barriers for government to seek more or less public engagement.

Besides theoretical recommendations and the lessons from the case studies, this report uses two methods for evaluating public participation techniques and other strategic choices planners make when designing public participation components for comprehensive planning processes. Participation techniques are evaluated with the use of acceptance and process criteria identified in the work of Rowe and Frewer. Strategic choices for public participation is evaluated with the framework presented by Brody, Godschalk and Burby.

The recommendation presented in this report comes in the form of a tool to help planners think through the necessary questions for the design of effective public participation components that meet legal mandates and consider other elements that impact the success of comprehensive planning processes as identified in the literature and in the case studies.

LITERATURE REVIEW

Matt Leighninger describes the traditional public participation process as one in which elected officials come to public meetings under the assumption they are entitled to act in behalf of the public. Citizens come to such meetings frustrated that a three-minute slot in front of a microphone is their only venue to express frustration over decisions proposed or made without their input. A third group, the staffers, need to deal with the frustrations and lack of trust of elected officials and citizens.¹ This scenario reveals the lack of trust between citizens and the representatives of their government. It also reveals the use of public meetings as the technique of choice for public participation. As it will be demonstrated in this report, public meetings are among the least effective tools for meaningful citizen engagement with government actions, such as comprehensive planning processes.

Social Capital is the main theory used in this report to support the importance and need of higher levels of trust between citizens and government. It is complemented by citations from several authors who discussed the importance of citizen engagement in government action. The final part of this review includes a summary on definitions and methodologies for public participation from works published by the International Association for Public Participation (IAP2) and the United States Environmental Protection Agency (EPA).

The Methods and Policy Analysis sections of this report include citations to work on evaluation of public participation techniques, history, and legislation on comprehensive planning in the United States and in Brazil.

SOCIAL CAPITAL: BUILDING TRUST BETWEEN GOVERNMENT AND CITIZENS

Robert Putnam, author of some of the best-known studies in social capital *Making Democracy Work* and *Bowling Alone*, focuses on civic engagement and trust to define social capital. For him, "social capital refers to features of social organization such as networks, norms, and social trust that facilitates coordination and cooperation for mutual benefit"².

Putnam's work suggests that social capital is a product of networks of civic engagement, which are a means for relationship building that provides access to social assets. The Organization

¹ Leighninger, M. (2014), Want to Increase Trust in Government? Update Our Public Participation Laws. *Public Admin Rev*, 74: 305–306.

² Putnam, R., Leonardi, Robert, & Nanetti, Raffaella. (1993). *Making Democracy Work : Civic traditions in modern Italy*. Princeton, N.J.: Princeton University Press.

for Economic Cooperation and Development (OECD), analyzing social capital by an economic point of view in its report, *The well being of Nations: The Role of Human and Social Capital*, defines social capital as, "networks together with shared norms, values and understanding that facilitate cooperation within or among groups".³

There is a lot of interest in the use of social capital theories in the elaboration of public policy. Social capital is commonly thought as being beneficial to government programs, ranging from public health⁴ to innovation in the knowledge economy⁵. Here is how Putnam illustrates the benefits of social capital in a very simple way:

Social capital does facilitate informal contract enforcement – the logic of that derives from the basic theory of social capital, that is game theory: if I have dense ties and networks of reciprocity with other people then I don't actually have to have a contract with my neighbour; both he and I are going to rake the leaves. We just do it without a contract and I don't sue him if he doesn't rake his leaves. Thus, if social capital is declining in the United States, that might have implications for other forms of contract enforcement.⁶

Putnam's illustration is at the core of any argument in favor of local government engaging with citizens: the possibility of informal relationships to reduce cost and time spent for everybody involved. Elaborating from the definitions of social capital aforementioned, engaged communities are also communities with high levels of social capital, especially because a commonly used measure of social capital is participation in voluntary organizations (engagement). The results of Putnam's social capital index for American states showed that in high social capital states, schools work better, kids are better off, violent crime is rarer, health is better, and tax evasion is lower. It also showed that social capital goes together with tolerance, economic equality and civic equality.⁷

Any variation of the social capital concepts might be used by planners of participatory governance programs depending on the expected results for each program and the specific characteristics of the target community. However, many local government actors do not favor genuine participation of individual citizens or communities as a whole in the public administration process. Here is how Yang and Callahan describe this situation:

³ OECD (2001) *The Well-being of Nations: The Role of Human and Social Capital*, Paris, Center For Educational Research and Innovation. P41

⁴ Kawachi et al (2008), *Social Capital and Health*. New York: Springer.

Westlund, Hans. (2006) *Social Capital in the Knowledge Economy*. New York: Springer.

⁶ Robert Putnam in *Social Capital: Measurement and Consequences*, OECD Symposium (2001) p. 8.

⁷ Putnam, Robert D. (2000) *Bowling Alone: The collapse and Revival of American Community*. New York: Simon & Schuster.

Yet meaningful, authentic participation is rarely found, as many public officials are reluctant to include citizens in decision-making, or if they do, they typically involve citizens after the issues have been framed and decisions have been made. Citizens are often frustrated by shallow participation efforts that engender more anger toward government and distrust in the ability of public officials to do the right thing.⁸

It is appropriate to ask why government agents would not want to engage citizens if the benefits are so evident. The answer may be related to the question of greater accountability demanded from government agents by communities with high levels of civic engagement and also on the difficulties of working with multiple stakeholders. "Participation in voluntary associations, consistent with a theory of social capital, seems to enhance the ability of some citizens to hold the executive accountable for policy outputs".⁹ Another reason for such opposition is that government tends to respond to external pressures, be it from the media, the greater community, or from influential interest groups or actors. As it is generally not possible to please everybody, government authorities tend to lean towards the more influential groups. A more engaging and demanding community will certainly reduce the space for corruption and political maneuvering by government actors to please certain groups. Claibourn and Martin exemplify this by listing "salient external stakeholders"¹⁰ that can influence government bureaucracy. Their list includes, "powerful politicians, knowledgeable citizens, other government agencies, legal entities, and professional organizations"¹¹.

It is true that many initiatives in citizen engagement coming from government actors are *pro forma* exercises without significant use of the outcomes they produce. This lack of real participation has an impact on citizens' disposition to participate in government-initiated programs on civic engagement. Yang and Callahan state that, "many citizens feel that management-driven participation efforts are hollow exercises in which managers open the process to the public to demonstrate their willingness to listen and increase transparency, even as they hold on to and control the outcome".¹²

Social capital elements, when understood and applied correctly, can help governments offer genuine participation opportunities to their citizens. Consequently, public policy decisions,

⁸ Yang, K., & Callahan, K. (2007, March). Citizen involvement efforts and bureaucratic responsiveness: Participatory values, stakeholder pressures, and administrative practicality. *Public Administration Review*, 67(2), 249-264.

⁹ Claibourn, M. P., & Martin, P. S. (2007). The third face of social capital: How membership in voluntary associations improves policy accountability. *Political Research Quarterly*, 60(2), 192-201 p.199.

¹⁰ Claibourn, op. cit. p.250

¹¹ Claibourn, *ibid.*

¹² Yang, K., & Callahan, K. (2007, March). Citizen involvement efforts and bureaucratic responsiveness: Participatory values, stakeholder pressures, and administrative practicality. *Public Administration Review*, 67(2), 249-264 p. 259.

taken in a more participative way, can produce better outcomes and support the creation of trust between citizens and their government.

PARTICIPATORY GOVERNANCE

While social capital theory helps explain how trust influences public engagement processes, other concepts are needed to address the motivations and barriers in the relationship between a government and its citizens beyond the one-off approach to public participation found in many communities.

Hyman, considering how to start and sustain community engagement in development programs poses the question, “How does one enhance a community’s ability to engage its residents and sustain their involvement in an effective community improvement effort?”¹³ For those wishing to start new engagement efforts or enhance existing ones, it is sometimes difficult to find a standard method for doing so. There are some normative methods available to public managers seeking to engage citizens in policy decision-making: King, Feltey, and Susel (1998), Thomas (1995) Walters, Aydelotte, and Miller (2000), and Moynihan (2003) have all worked in such methods.¹⁴

When local government seeks genuine involvement of its citizens in decision-making regarding their communities, some changes are expected. Resurgence in citizen participation, initiated by the communities themselves, has been credited as a response to failed government policies in urban and social interventions. Communities are exploring more local and comprehensive methods to improve their neighborhoods based on active involvement of residents.¹⁵ A strategy presented by Yang and Callahan, lists six items to be observed in community engagement efforts:¹⁶

- Focus on community-wide strategic issues and create public value rather than focus on instrumental values of citizen involvement that relate to efficiency and economy.
- Treat citizen involvement as a policy issue and involve elected officials.
- Adopt a network mode of participation that includes long-term commitment from community

¹³ Hyman, J. (2002, October). Exploring social capital and civic engagement to create a framework for community building. *Applied Developmental Science*, 6(4), 196-202 p. 196.

¹⁴ Yang, K., & Callahan, K. (2007, March). Citizen involvement efforts and bureaucratic responsiveness: Participatory values, stakeholder pressures, and administrative practicality. *Public Administration Review*, 67(2) 249-264 p. 259.

¹⁵ Hyman, op. cit. p. 196.

¹⁶ Yang, op. cit. p. 260.

stakeholders, such as nonprofit organizations and the business community.

- Emphasize professionalism and cultural norms that value citizen involvement.
- Provide training for public managers on group processes and network management skills.
- Market participation opportunities and educate citizens to become effective participants.

Lovan et al. present a citation from Thomas, J. *Public Participation in Public Decisions* (1995), which illustrates the benefits and possible pitfalls from government attempts at participatory governance:

“when successful, public participation can bring substantial benefits - more effective public decision, a satisfied and supportive public, and most important, a stronger democracy; but when it fails, and it has frequently failed, public participation can leave in its wake a dissatisfied and even restive public, ineffectual decisions, and a weakened if not faltering democracy. The risk of failure have too often persuaded public managers to avoid or minimize public involvement. No choice could be more foolhardy. Public involvement, though neither for all matters nor always to the same extent, is now essential for effective public participation.¹⁷

Nevertheless, when a community is already engaged in development projects, all efforts must be concentrated in sustaining engagement as projects progress and are completed, renewed or substituted. Keeping a high level of community engagement throughout the lifespan of a comprehensive planning process is a difficult task. A common threat to sustained community engagement is based on how long projects take to be done. The case studies section of this report will illustrate how elements of social capital and community engagement processes are being used to meet Brazil’s Statute of the City provisions in the city of Salvador.

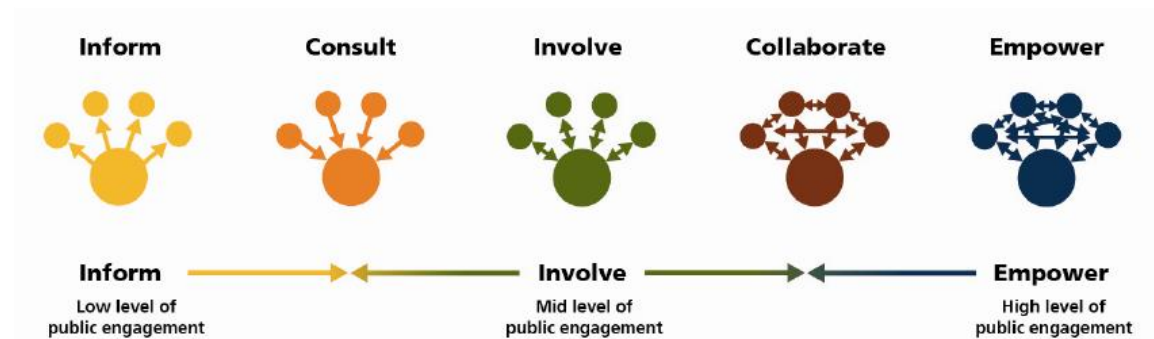
PUBLIC PARTICIPATION IN COMPREHENSIVE PLANNING

The present text is intended for a practitioner's audience. Thus, the discussion of public participation presented here adopts a more practical approach. A concise and practical definition of public participation is the one adopted by the United States, Environmental Protection Agency (EPA). EPA defines public participation as "a process, not a single event. It consists of a series of activities and actions by a sponsor agency over the full lifespan of a project to both inform the public and obtain input from them. Public participation affords stakeholders (those that have an

¹⁷ Lovan, W. R., Murray, M., & Shaffer, R. (2004). *Participatory governance: Planning, conflict mediation and public decision-making in civil society*. Aldershot, Hants, England: Ashgate p. 14.

interest or stake in an issue, such as individuals, interest groups, communities) the opportunity to influence decisions that affect their lives"¹⁸. Similarly, the International Association for Public Participation defines public participation as "means to involve those who are affected by a decision in the decision-making process. It promotes sustainable decisions by providing participants with the information they need to be involved in a meaningful way, and it communicates to participants how their input affects the decision."¹⁹ Based on its adopted definition, IAP2 developed an spectrum of public participation that progresses from informing

Figure 1 - IAP2's Public Participation Spectrum



the public about a project to empowering the public by participation in the development of a project (see figure 1).

EPA developed a flowchart to help planners decide which level of public participation a project will seek to achieve. Questions presented in the EPA" chart match the five levels used in the IAP2 Spectrum (See figure 2).

Rowe and Frewer quoted Smith (1983) to make a distinction between public participation and other communication strategies. According to Smith, "public participation" encompasses a group of procedures designed to consult, involve, and inform the public to allow those affected by a decision to have an input into that decision.²⁰

Rowe and Frewer highlight "input" as being the key element separating public participation from other communication strategies. The focus on "input" as a distinguishing factor is also present in the EPA flowchart and in the IAP2" public participation spectrum. The

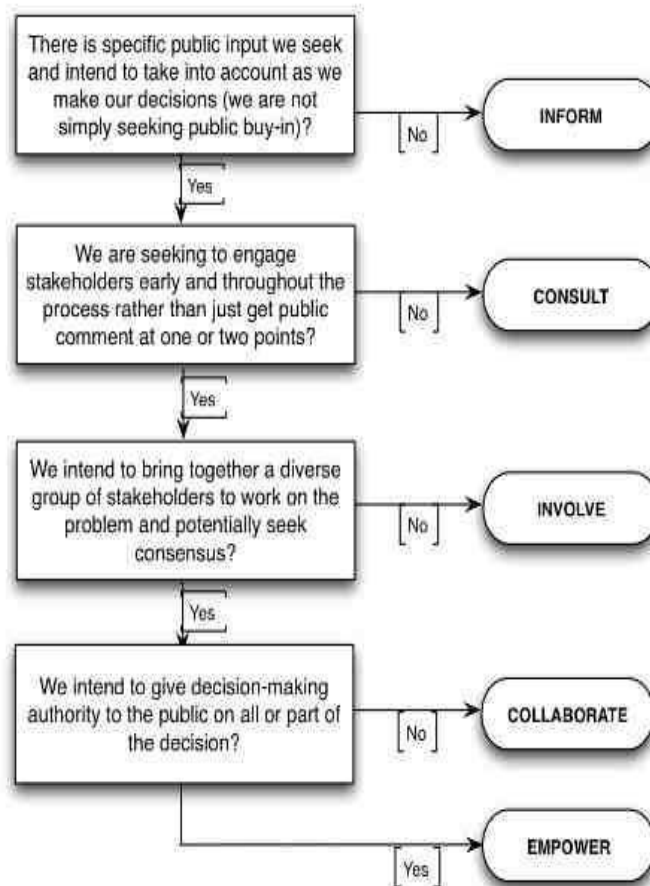
¹⁸ EPA Public Participation Guide. <https://www.epa.gov/international-cooperation/public-participation-guide-introduction-public-participation>.

¹⁹ IAP2: Good public participation results in better decisions. Retrieved from <http://www.iap2.org>

²⁰ Rowe, G., & Frewer, L. (2000). Public Participation Methods: A Framework for Evaluation. *Science, Technology, & Human Values*, 25(1), 3-29. p6

first question in the chart asks planners to determine if input from the public is sought. If the answer is negative, a project will go no further than using traditional communication to the public instead of seeking public engagement. These two tools are used to determine the level of public engagement, which is one of the many strategic choices planners make when designing public participation components in comprehensive planning processes. The strategic choices mentioned above are discussed in the Methods section of this report.

Figure 2 EPA Flow Chart: Select an Appropriate Level of Public Participation



METHODS

This section presents methods used for the evaluation of public participation techniques and strategic choices that planners make when designing public participation components for comprehensive planning processes. In the review of available literature on this topic, several works were identified that either evaluate only the techniques or the policy framework for public participation. The methodology used for the case studies discussion in this report is based on three elements: 1 – Evaluation of legal planning context and mandates for public participation (addressed in a separate section); 2 – Evaluation of strategic choices for public participation design; and 3 - Evaluation of public participation techniques. Although techniques are also included among the strategic choices, they are evaluated in separate given their importance to the process and relationship to the other strategic choices. The preferred alternatives for evaluation of techniques and other strategic choices are introduced below.

EVALUATION OF PUBLIC PARTICIPATION TECHNIQUES

There is a wide a range of participation techniques available to planners. Each existing technique can be used in isolation or combined with others to help planners achieve a desired level of public participation. Table 1 presents an adapted version of the most normalized techniques with description of their targeted population, timing, and form of administration as they were categorized by Rowe and Frewer.²¹ In a discussion regarding the difficulties of evaluating public participation methods, Rower and Frewer pointed to the lack of empirical examples in the academic literature. They quoted a 2008 research report by Lowndes *et al.* pointing to the lack of "appropriate benchmarks" for the evaluation of participation exercises. Rowe and Frewer²² recognized the existence of some work attempting at providing a framework for the evaluation of public participation. However, they concluded, none have been widely accepted by the planning community. To fill the existing gap in evaluation criteria for public participation methods, Rower and Frewer presented a set of criteria that can be used to assess the effectiveness of commonly used public participation methods. The criteria used by Rowe and Frewer to evaluate participation methods is divided into two groups: Acceptance Criteria and Process criteria as described below.

Acceptance criteria

²¹ Rowe, G., & Frewer, L. (2000). Public Participation Methods: A Framework for Evaluation. *Science, Technology, & Human Values*, 25(1), 3-29.

²² Rowe, *ibid.*

- Criterion of representativeness: The public participants should comprise a broadly representative sample of the population of the affected public.
- Criterion of independence: The participation process should be conducted in an independent, unbiased way.
- Criterion of early involvement: The public should be involved as early as possible in the process as soon as value judgments become salient.
- Criterion of influence: The output of the procedure should have a genuine impact on policy.
- Criterion of transparency: The process should be transparent so that the public can see what is going on and how decisions are being made.

Process Criteria

- Criterion of resource accessibility: Public participants should have access to the appropriate resources to enable them to successfully fulfill their brief.
- Criterion of task definition: The nature and scope of the participation task should be clearly defined.
- Criterion of structured decision making: The participation exercise should use/provide appropriate mechanisms for structuring and displaying the decision-making process.
- Criterion of cost-effectiveness: The procedure should in some sense be cost-effective.

In this report, the evaluation presented by Rowe and Frewer was adapted in its format and content to include design charrettes, participation-by-play, public contests, mobile outreach, and internet-based approaches, which are techniques also used in comprehensive planning processes in the case studies from US and Brazil that are included in this report (See case studies section). The results of such adaptation are presented in tables 2 and 3.

The techniques in themselves are not good or bad. Each technique has positive and negative characteristics in relation to the objectives planners seek to achieve through their use. No public participation process should start to be designed based on a selection of techniques. It is the end goal of the planning process that will define which techniques should be used. Wiedemann and Femers²³ describe public participation techniques as tools that must be fine-tuned and not a final product in itself. The techniques shall be seen as means to achieving a strategic goal rather than an end in themselves.²⁴

The results of this evaluation method are useful for planners confronted with the challenge of putting together a public participation component for a planning process. It helps planners identify, based on the goals of the process, which techniques will provide the best

²³ Wiedemann, P. M., and S. Femers. 1993. Public participation in waste management decision making: Analysis and management of conflicts. *Journal of Hazardous Materials* 33 (3):355-68.

²⁴ Rowe, G., & Frewer, L. (2000). Public Participation Methods: A Framework for Evaluation. *Science, Technology, & Human Values*, 25(1), 3-29.

outcomes. Acceptance criteria might help planners in deciding which techniques will result in higher participation. Process criteria might help planners decide which techniques will provide for the best outcomes. Balancing acceptance and process criteria to match the end goals of a process becomes the crucial task for making the best selection. The fact that public hearings, the most common participation technique in planning fare low on both set of criteria, might explain why so many people find public participation in planning to be a *pro forma* exercise.

Publications by Raymond Burby, David Godschalk, and Samuel Brody in 2003 might be the best answer to the lack of empirical research on the effectiveness of public participation in planning referred by Rowe and Frewer. In *Making Plans That Matter*, Raymond Burby evaluated 60 plan-making processes to prove that public participation results in stronger plans that are more likely to be implemented.²⁵ In *Mandating Citizen Participation in Plan Making*, Brody et al. concluded that state mandates for public participation result in greater engagement of citizens in plan-making.²⁶ Brody et al. also described six strategic choices that planners make when deciding on the design of public participation components for comprehensive planning processes. Their work evaluates how selected state legislation addresses the six strategic choices. The strategic choices presented by Brody et al., the acceptance and process criteria presented by Rowe and Frewer, and the IAP2 Spectrum all share common elements as to level of citizen engagement, timing of participation, targeted population, and administration of participation techniques. The framework developed by Brody et al. will be used later in this paper to compare mandates for public participation in certain US states and Brazil.

PLANNER'S CHOICES IN PUBLIC PARTICIPATION DESIGN

Brody et al. evaluated state mandates in terms of the six strategic choices planners need to make when conducting comprehensive planning.²⁷ The six choices are described below:

- *Choice of Administration*: refers to the resources that localities commit to securing public participation in plan making. It might include adoption of citizen participation guidelines,

²⁵ Burby, R. (2003). Making plans that matter: Citizen involvement and government action. American Planning Association. Journal of the American Planning Association, 69(1), 33-49.

²⁶ Brody, S., Godschalk, D., & Burby, R. (2003). Mandating citizen participation in plan making: Six strategic planning choices. American Planning Association. Journal of the American Planning Association, 69(3), 245-264.

²⁷ Brody, S., Godschalk, D., & Burby, R. (2003). Mandating citizen participation in plan making: Six strategic planning choices. American Planning Association. Journal of the American Planning Association, 69(3), 245-264.

appointment of staff dedicated to public engagement, and use of public participation consultants.

- *Choice of Objectives*: reflects the intent of planners when providing opportunities for citizen participation. It ranges from just informing citizens of a planning process to empowering citizens to shape final plans and their implementation. The IAP2 Public Participation Spectrum illustrates well the options available to planners when deciding objectives for a planning process.
- *Choice of Timing*: refers to the planning stages in which public participation will be sought. Research suggests that including public participation at early stages results in stronger plans and more support for their implementation.
- *Choice of Whom to Target*: refers to how many and which groups of citizens should be included in a planning process. Most state legislations do not indicate specific groups whose participation in plan-making is required or desirable. Of those that do so, representatives from public agencies is the common target audience.
- *Choice of Techniques*: refers to the specific methods used to gather input from citizens. Public hearings, public notices, and advisory committees are the most common ones. The choice of techniques are directly related to the objectives adopted for each plan.
- *Choice of Information*: refers to the type of information that planners will make available to citizens and the techniques used to convey such information. The most common type of information provided by planners are maps of environmentally sensitive/hazardous areas, growth projections, summaries of plan elements, and vision statements.

Each strategic choice offers many possible answers and planners need to decide which combination of public participation techniques they will use to achieve each of the other strategic choices made during pre planning stage. Whenever mandates exist, the number of choices planners need to make are limited by the current legislation. For example, the states of Oregon, Washington and Vermont require planners to seek public participation since pre planning stages, removing the choice of stage in which to include the public from planner's' responsibility.

Table 1. Common Public Participation Methods

Techniques	Target Population	Timing/Duration	Administration
Referenda	Open to all voting citizens	Single vote at one point in time	Vote is usually choice of one of two options. All participants have equal influence. Final outcome is binding.
Public Hearings	Interested citizens limited by type of venue. Tend to be dominated by experts and politicians	May last many weeks/ months, even years. Usually held during week- days/working hours.	Entails presentations by agencies regarding plans in open forum. Public may voice opinions but have no direct impact on recommendation.
Surveys	A representative sample of the target population	Single event, usually lasting no more than several minutes.	Often enacted through written questionnaire or tele-phone survey. May involve variety of questions. Used for information gathering.
Negotiated Rulemaking	Representatives of stakeholder groups	Uncertain: strict deadline usually set: days/weeks/ months.	Working committee of stakeholder representatives (and from sponsor). Consensus required on specific question (usually, a regulation).
Consensus Conference	Small sample representing the general public	Preparatory demonstrations and lectures (etc.) to inform panelists about topic, then three-day conference.	Lay panel with independent facilitator questions expert witnesses chosen by stakeholder panel. Meetings open to wider public. Conclusions on key questions made via report or press conference.
Citizens' Panel	Small group selected to be representative of the local population	Not precise but generally involve meetings over a few days (e.g., four to ten).	Lay panel with independent facilitator questions expert witnesses chosen by stakeholder panel. Meetings not generally

			open. Conclusions on key questions made via report or press conference.
Advisory Committee	Small group selected to represent views of various community groups	Takes place over an extended period of time.	Group convened by sponsor to examine some significant issue. Interaction with industry representatives.
Focus Group	Small group selected to be representative of the general public	Single meeting, usually up to two hours.	Free discussion on general topic with video/tape recording and little input/direction from facilitator. Used to assess opinions/attitudes.
Design Charrettes	Variable, but usually a small sample representing the general public	Variable but usually during plan development	Small groups suggestions are grouped into consensus-like proposals.
Participation-By-Play	Variable, but usually representatives of underrepresented groups	Variable, but better indicated for preplanning	Can be used as a technique in traditional meetings or used during mobile outreach.
Public Contest	Experts	Variable, but usually during plan development and/or implementation	Official call for proposals, followed by panel evaluation. In rare cases, a public vote chooses the winning proposal.
Mobile Outreach	Variable, open to general public, and conditioned by location	Variable, but usually at later stages.	Expo booths set up in community events or places of large circulation of people.
Internet-Based Approaches	Variable, open to any user, hard to limit geographically.	preplanning	Open surveys, online open houses, consultation vote on proposals, commenting, etc.

Adapted by author to summarize the table presented by Rowe & Frewer (2000) and to include design charrettes, participation-by-play, mobile outreach, and internet-based approaches

Table2: Assessment of Public Participation Techniques by Acceptance criteria

	Representativeness Of Participants	Independence Of True Participants	Early Involvement?	Influence On Final Policy	Transparency Of Process To The Public
Referenda	High (assuming full turnout at poll)	High	Variable	High	High
Public Hearings	Low	Generally low	Variable	Moderate	Moderate
Survey	Generally high	High	Potentially high	Indirect and difficult to determine	Moderate
Negotiated Rulemaking	Low	Moderate	Variable	High	Low
Consensus Conference	Moderate (limited by small sample)	High	Potentially high	Variable but not guaranteed	High
Citizen's Panel	Moderate (limited by small sample)	High	Potentially high	Variable but not guaranteed	Moderate
Advisory Committee	Moderate to low	Moderate (often relation to sponsor)	Variable but may be high	Variable but not guaranteed	Variable but often low
Focus Group	Moderate (limited by small sample)	High	Potentially high	Liable to be indirect	Low
Design Charrette	Moderate to low	Moderate to high	Potentially high	variable but not guaranteed	High
Participation By Play	Potentially high (limited by location and timing)	Moderate to high	High (Indicating for visioning stage)	Potentially low	Variable
Public Contest	Very low	High	Variable	High	Variable
Mobile Outreach	Moderate	High	Potentially high	Moderate	Variable

Internet-Based Approaches	Low	High	Potentially high	Low	Moderate
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Adapted by author to summarize the table presented by Rowe & Frewer (2000) and to include design charrette, participation-by-play, mobile outreach, and internet-based approaches.

Table 3: Assessment of Public Participation Techniques by Process Criteria

	Resource accessibility	Task definition	Structured decision making	Cost-effectiveness
Referenda	Low	High	low	Variable/low
Public Hearings	Low to moderate	Generally high	Low	Low
Survey	Low	Low	Low	Potentially high
Negotiated rulemaking	High	High	Moderate	Potentially high
Consensus conference	High	Generally high	Moderate (influence of facilitators)	Moderate to high
Citizen's panel	High	Generally high	Potentially high	Moderate to high
Advisory committee	Variable	Variable but may be high	Variable (influence of facilitator)	Variable
Focus Group	Low	Variable but may be High	Low	Potentially high
Design Charrette	High	Variable but may be High	variable (influence of facilitator)	High
Participation by play	Potentially high	High	Low	Potentially high
Public contest	High	High	High	High
Mobile outreach	Moderate	High	Low	Moderate
Internet-based approaches	High	High	Low	Potentially high

Adapted by author to summarize the table presented by Rowe & Frewer (2000) and to include design charrette, participation-by-play, mobile outreach, and internet-based approaches.

PUBLIC PARTICIPATION MANDATES FOR COMPREHENSIVE PLANNING

This section reviews the context for comprehensive planning processes in the United States and in Brazil. After a brief review of historic information on the development of comprehensive planning practices in both countries, the text presents an overview of existing literature on legislation regarding public participation in Brazil and in ten US states. In the United States, urban planning is primarily a function of local government. State and federal legislation might impose mandates, sanctions or incentives that impact the way planning is conducted at a local level. Because legislation varies greatly from state to state, urban planning in the US is not conducted under a uniform set of legal requirements. In Brazil, a single piece of legislation define planning practice for the entire country. The two approaches are described in this section.

MANDATES FOR PUBLIC PARTICIPATION IN COMPREHENSIVE PLANNING IN THE USA

The Standard City Planning Enabling Act (SCPEA) published in 1928 became the model planning legislation adopted by many US States. SCPEA had local planning as optional and this provision was adopted by most states. The Standard State Zoning Enabling Act (SSZEA) published two years earlier than SCPEA was adopted by US states and used to give local government zoning authority. Neither model legislations included provisions for public participation and the order in which they were published led to cities adopting zoning ordinances before adopting a comprehensive plan.²⁸

A good illustration of the complexity created by the variety of approaches adopted across the US is presented by Freilich and Guemmer in an article discussing the use of direct democracy methods such as popular legislative initiatives and referenda in land-use planning.²⁹ The authors debunks the arguments against the use of direct democracy based on the existence of legal protections for low-income and minority groups and by the use of the Fasano doctrine,³⁰ which differentiates legislative from quasi-judicial proceedings. The first protection prevents the majority from passing ordinances that result in segregation based on economic and racial basis. The second, prevents the use of direct democracy methods for being used in every land-use process.

²⁸ Mandelker, D., & Cunningham, Roger A. (1979). *Planning and control of land development : Cases and materials* (Contemporary legal education series). Indianapolis: Bobbs-Merrill.

²⁹ Freilich, R., & Guemmer, D. (1989). Removing Artificial Barriers to Public Participation in Land-Use Policy: Effective Zoning and Planning by Initiative and Referenda. *The Urban Lawyer*, 21(3), 511-556.

³⁰ Named after the Supreme Court of Oregon's 1973 decision in the case of *Fasano v. Board of County Commissioners*, 264 Or. 574, 507 P.2d 23 (1973).

Participatory planning mandates at the US federal level appeared first in the 1954 Urban Renewal program. It was further developed as a result of the 'War of Poverty' programs of the 1960s and on environmental legislation such as the Coastal Zone Management Act, the Energy Reorganization Act, and the National Environmental Policy Act (NEPA). However, federal mandates are not imposed on every local government and are restricted to the involvement of federal agencies in planning matters or when local planning affects protected natural resources.

At the state level, Hawaii was the first to adopt planning mandates via the passing of a state growth management law in 1962.³¹ Oregon adopted a statewide mandate in 1973 and Washington passed its legislation in 1990. Florida, Georgia, Maine, Maryland, New Jersey, Rhode Island, and Vermont complete the list of states whose planning legislation include requirements for public participation .

This report considers only the states that have adopted planning legislation with the inclusion of mandates for public participation. It builds on the study published by Brody et al. in 2003, which presented empirical analysis of plans in ten US states that adopted growth legislation including mandates for public participation in plan making. Brody et al. identified which state plans require local government to address any one of the six strategic choices (described in the methods section above) planners need to make when designing public participation components for comprehensive planning.

The findings of Brody et al. illustrate that most state plans do not address all six strategic choices, leaving it for planners to decide how, when, and at which level to include public participation. The degree of flexibility varies from New Jersey's legislation which only mandates the use of public hearings (choice of technique) to the state of Oregon that mandates all strategic choices but targeting and handling of information. However, even in states like Oregon and Washington, which have stronger mandates, legislation indicates only the minimum level to be achieved, leaving it up for planners to decide what the ideal level of public participation is. Complying with state mandates does not guarantee success in public participation, which can be illustrated by the South Willamette Special Area zone planning process included in the case studies section below.

Brody et al. summarize the principles of democratic governance as including the "rights of individuals to be informed, to be consulted, and to have the opportunity to express their views on governmental decisions".³² In an effort to evaluate the impact of mandates for citizen participation in plan making, Brody et al. gathered information "on the level, timing and extent of citizen participation; the type, quality, and availability of technical information provided to

³¹ Mandelker, D., & Cunningham, Roger A. (1979). *Planning and control of land development : Cases and materials* (Contemporary legal education series). Indianapolis: Bobbs-Merrill.

³² Brody, S., Godschalk, D., & Burby, R. (2003). Mandating citizen participation in plan making: Six strategic planning choices. *American Planning Association. Journal of the American Planning Association*, 69(3), 245-264 p.246

citizens; and the specific techniques employed throughout the process".³³ After evaluating mandates for public participation in ten US states, the research group concluded that such mandates "lack specific language and are narrowly focused".³⁴ Brody et al. concluded that "an explicit, enforceable mandate with both coercive and incentive-based components is the most effective approach to ensuring compliance at the local level"³⁵

In sum, the existing literature and empirical studies indicates that consultation and the use of public hearing and advisory committees are the preferred choice of public participation adopted by US cities. Planning requirements vary from state to state, but of those who have adopted mandates for comprehensive planning, the majority focus on establishing objectives, timing of engagement, and prescribing techniques for public participation. However, most existing mandates for public participation use vague language and leave plenty of room for planners to chose how to engage the public in comprehensive planning.

MANDATES FOR PUBLIC PARTICIPATION IN COMPREHENSIVE PLANNING IN BRAZIL

Brazil's 1988 constitution grants planning authority to all municipalities.³⁶ Brazilian municipalities are comprised of urban and rural areas without anything equivalent to the American counties. The planning authority of a municipality includes the definition of what constitutes urban and rural areas, zoning and all land-use decisions and financing instruments. The main instrument of municipal regulation of land-use and urban growth management is the *Plano Diretor*, which is equivalent to the comprehensive plans in the US. However, since the adoption of the current constitution, its urban planning provisions went unregulated for over twenty years. During this period, Brazilian cities grew fast and mostly unplanned. As a result of uncontrolled growth, illegal subdivisions and occupation of land in the form of shantytowns or favelas was a reality in most Brazilian cities.

Throughout the 1990's some cities started experimenting with the adoption of the new constitutional provisions. Successful examples are the environment-friendly development of Curitiba and the participatory budgeting process in Porto Alegre. However, the lack or regulation of constitutional provisions for urban planning made most cities decide to wait for a better legal framework or momentum to start adjusting their planning regulations.

³³ Brody, S., Godschalk, D., & Burby, R. (2003). Mandating citizen participation in plan making: Six strategic planning choices. American Planning Association. Journal of the American Planning Association, 69(3), 245-264. p.247

³⁴ *ibid.*

³⁵ Brody, *op. cit.*

³⁶ Brazil, Republic of (1988) Constitution of Brazil art. 182, §1°

On July 2001, Brazil enacted Federal Law no. 10,257, entitled 'Statute of the City', which regulates the constitutional provisions and recognizes the 'right to the city' as a collective right.³⁷ Since then, comprehensive planning is required for all municipalities with population over 20,000, included in metropolitan regions, in areas of touristic interest, or in areas subject to projects of great environmental impact. This nationwide effort on comprehensive planning came at a moment when 83% of the Brazilian population was already living in urban areas. One of the dimensions of the Statute of the City is the regularization of illegal settlements, then a pressing problem in many large cities³⁸.

The Statute of the City requires municipalities to integrate urban planning, legislation, and management to democratize the local decision-making process. Processes for the democratic management of cities have to be identified and used in the development of each *Plano Diretor*. According to the statute, the executive branch can make use of consultations, creation of councils, committees, referendums, reports of environmental and neighborhood impact, and participatory budgeting process. The legislative branch can utilize public audiences, popular initiative to propose bills of urban laws as a way to meet the public participation requirement. The Judiciary branch can propose civil public action to protect the legal-urban order. Standing in urban planning has been given to NGOs and neighborhood associations.³⁹ It is different from the US tradition, which requires interested parties to raise concerns prior to proposing legal action against planning processes.

Lovan et al. list the benefits of consultation, which is the most common form of public participation under the Brazilian urban planning legal framework.⁴⁰

- o helps you plan services better, to give users what they want, and expect;
- o help you prioritize your services and make better use of limited resources;
- o helps you set performance standards relevant to user's needs and monitor them;
- o fosters a working partnership between your users and you, so they understanding the problems facing you, and how they can help;
- o alerts you to problems quickly so you have a chance to put things right before they escalate;
- o symbolizes your commitment to be open and accountable: to put service first.

³⁷ Fernandes, E. (2007). Constructing the 'Right To the City' in Brazil. *Social & Legal Studies*, 16, 2, 201-219.

³⁸ Brazil, Republic of (2001) Estatuto da Cidade. Available at http://www.planalto.gov.br/ccivil_03/leis/leis_2001/l10257.htm

³⁹ Brazil, *ibid*.

⁴⁰ Lovan, W. R., Murray, M., & Shaffer, R. (2004). *Participatory governance: Planning, conflict mediation and public decision-making in civil society*. Aldershot, Hants, England: Ashgate.

CASE STUDIES

For this case studies section, I selected two cases from the United States and two cases from Brazil. The cases of Seattle in the US and Salvador in Brazil are good examples of comprehensive planning processes for large cities. The cases of Eugene and Capim Grosso, in the US and Brazil respectively, are examples from smaller jurisdictions. All four cities are under state mandates to include public participation in the development of comprehensive plans.

Seattle and Eugene provides example of comprehensive planning processes developed in cities with long tradition in planning and public participation. The Brazilian cases are on the opposite extreme. Salvador had its 2008 comprehensive plan invalidated due to lack of public participation, while Capim Grosso went in 2006 through its first attempt at comprehensive planning, since the municipality was created in 1985.

For each case, a brief description of the context is followed by a description of the respective planning process. The descriptions of the planning process focuses on the public participation component, which is the object of this report. The following elements are identified in each of the cases:

- Administration of the public participation mandate.
- Objectives for public participation.
- Planning stage when public participation started.
- Groups targeted for participation.
- Public participation techniques employed.
- Information available to the public.
- Outcomes of the planning process
- Objectives of the planning process.
- Innovations (in relation to the context)
- Public participation guidelines used.

At the end of the case studies section, a table summarizes the answers for the research questions extracted from each case. The discussion that follows, focuses on comparing each case with the theories supporting public participation, comparing the cases among themselves, and describing how each case addressed the respective mandates for public participation to support the recommendations made afterwards.

SALVADOR 500: A NEW ATTEMPT AT PARTICIPATORY GOVERNANCE AND COMPREHENSIVE PLANNING

THE CONTEXT

Salvador, the capital city of the Brazilian state of Bahia, is home to three million people, but still lacks infrastructure in all areas. Half of Salvador population lives in poor neighborhoods or in slums. Salvador is a coastal city completely dependent on service sector employment, especially on tourism. This city tried to implement participatory governance and participatory planning in multiple occasions between 1987 and 2013 without success.

Between January 2004 and December 2012 Salvador was governed by João Henrique Carneiro. Under Carneiro's rule, Salvador's system of regional administration was completely dismantled and a new *Plano Diretor* was adopted without substantial public participation. The plan included provisions that facilitated high-density developments in green areas, on the oceanfront, and reduced exactions requirements. The plan also created a very lax Transfer of Development Rights (TDR) scheme. After approval of the plan, Salvador experienced a boom in construction projects. Avenida Paralela, a major arterial connecting Downtown Salvador to its airport, was bordered by large swaths of Atlantic rain forest. Once the new plan was approved, large portions of forest gave way to residential skyscrapers and commercial buildings. The same construction boom experienced in Paralela and other inland areas was seen on the Atlantic beachfront, which had been protected from high-rise development until then. Public opinion was divided between the benefits of new construction and jobs generated and damage to the environment. Discontentment with the way the city was developing, which further enlarged the gap between the rich and poor of Salvador, led several groups to file lawsuits against the new urban legislation and state prosecutors launched an investigation on abuses in the use of TDRs.

In 2009, Salvador was announced as a host for the 2014 FIFA World Cup. In par with expectations for major improvements resulting for hosting the world Cup, Salvador's Mayor announced on January 2010 an ambitious plan to modernize the city. The master plan, *Salvador-A Global Capital*, envisioned large urban renewal projects, new avenues, bridges, light-rail lines,

Figure 3 Location of Salvador, Brazil



bike paths, and new waterfront concept among other projects. The plan was entirely developed by construction companies without any public input. Five transportation projects were supposed to be ready in time for the world Cup. When Carneiro left office on January 1st, 2013, not a single one of the 22 projects he had announced had been started. Moreover, he did not prepare the city to offer the basic services needed by its residents and expected visitors. He left his successor a city in debt and with its *Plano Diretor* being challenged in court. While the new city borne out of the construction boom was thriving, the old Salvador deteriorated and so did people's trust in their government.

On January 1, 2013, a new mayor was inaugurated. Antonio Carlos Magalhães Neto had promised during the mayoral race that he would implement a new system for participatory government and organize city finances and services. A month after his inauguration, the mayor announced the creation of the *Prefeitura-Bairro* (PB), which translates to neighborhood city halls. PB is a project to decentralize the city government into ten regional districts and promote public participation in all aspects of city administration, including comprehensive planning. Each PB unit has two main goals: 1 – create a network of civic engagement in public affairs for its district and 2 create a structure of service delivery for each district.

Each PB team was initially composed of a manager, two community organizers and two administrative assistants. A central coordination unit was created to provide for the development of the regional management system, designing the new offices and conducting the selection and training of future personnel. The central unit was also in charge of articulation between the new system and the existing city departments. The PB coordinator reported directly to the mayor.

PB Managers received as first task the mapping of each neighborhood in their jurisdictions identifying all neighborhood groups, nonprofit organizations, trade associations, educational institutions, private companies, and government agencies among others. The main task was to establish dialogue and regain the trust of communities groups in the local government. However, by June 2013, when the PB was still in design stage and neighborhood meetings were underway, it was clear that the modern city promised in 2010 would not become reality before the World Cup. Weeks before the start of the Confederations Cup a rehearsal event for the FIFA World Cup in July 2013, the underlying dissatisfaction erupted and people took to the streets with a multitude of claims. In Salvador, protests led to road closures, strong police reaction and counter reaction from groups called 'black blocs' resulting in stores being ransacked, public infrastructure destroyed and ever stronger distrust for government at all levels. Smaller protests were replicated throughout the city and for whatever reason. The new regional administrative system being implemented in Salvador, proved to be a good tool to help the city identify and connect with groups behind the localized protests. Currently, ten units have been implemented, covering

100% of Salvador's area. Each unit provides planning assistance and decentralized service delivery to their districts.

The neighborhood mapping process was completed in August 2013 as the city proceeded with the election of regional community councils for each of the ten districts. A formal election process was approved by city council and preparation for the election took two months. During preparatory meetings, the main concern of citizen groups was the character of such councils. Citizens wanted decision-making power while the city approved the council proposal as advisory only. Despite threats of walking away from the process, most neighborhood groups participated and all ten councils were elected and inaugurated at a formal ceremony held at city hall on October 2013.

Figure 4 Tear gas thrown at protesters in downtown Salvador. June 2013



Besides the failure of the *Plano Diretor*, which was dismissed by state court on July 23, 2013, the *Conselho da Cidade*, a citywide council with deliberative powers over strategic projects had never been installed since the law that created such body was approved in 2008. It was only in October 28, 2014 that 41 members elected to *Conselho da Cidade* during a planning conference held on May 27-28, 2013 were inaugurated. The citywide council focus on long-term projects while the regional community councils advise each district administration on small-scale projects. Regional community councils were called to participate in the development process of a new *Plano Diretor* and related regulations called Salvador 500 Plan (Salvador 2014).

THE PLANNING PROCESS

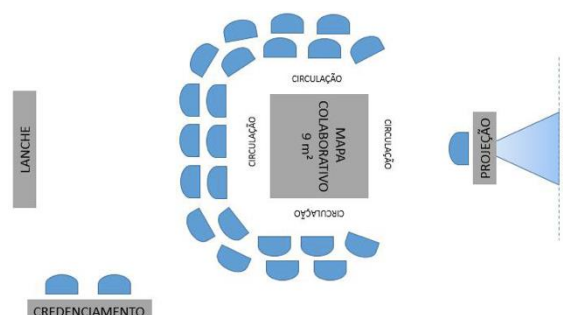
With the PBs fully operational, the City of Salvador launched a citywide planning program called *Ouvindo o Nosso Bairro* (Listening to our neighborhoods). The program intended to collect citizen opinions regarding needs and priorities for each neighborhood in Salvador. The program was supported by the *Prefeitura Bairro* and received strong publicity on radio, TV, and newspaper and a dedicated website where citizens could find information about the process and meeting locations and dates. Salvador used the results of *Ouvindo o Nosso Bairro* to guide the elaboration of its comprehensive planning titled Salvador 500. Again, the PBs and their respective community councils were used promote public engagement.

PUBLIC PARTICIPATION TECHNIQUES

In preparation for the planning stage of Salvador 500, the city adopted a plan for public outreach and participation,⁴¹ which lays the basis for public engagement during all stages of this planning process. The strategies for public participation in Salvador 500 were:

- Neighborhoods workshops
- Segmented forums
- Surveys and interviews
- Dedicated hot site (www.plano500.salvador.ba.gov.br)
- Public hearings

Figure 5 Recommendation for meeting room layout for the neighborhood workshops



The most important step in the development of Salvador 500 were the neighborhood workshops. The first round of workshops was dedicated to preparing a Strength, Weaknesses, Opportunities and Threats (SWOT) analysis for each of Salvador's ten districts. The methodology for the workshops⁴² was published in the hot site and included a presentation on plan objects, a survey to be responded by each participant, discussions in small groups to which participants were assigned randomly, consensus-like proposal selection, and workshop evaluation. Each workshop was planned to last four hours and were offered at morning and evening shifts. A detailed schedule and a design of room arrangement was made available weeks before the meeting started. The second round of the neighborhood workshops focused on the construction of development strategies based on nine themes: Transportation, jobs, natural environment, culture and heritage, public services, public-use spaces, housing, sanitation, and public safety.

Salvador 500 also included thematic meetings with groups representing architecture boards and schools, real estate trade organizations, touristic trade organizations, and an international forum on

Figure 6 Collaborative map used during neighborhood workshop



⁴¹ Salvador, City of (2016). Salvador 500 available at www.plano500.salvador.ba.gov.br/download.php?cod=49

⁴² Salvador, City of (2016). Salvador 500 available at <http://www.plano500.salvador.ba.gov.br/download.php?cod=44>

city planning innovations organized by the Industry federation of the State of Bahia (FIEB, its Portuguese acronym). FIEB invited world-renowned planners to discuss innovations that could be adopted by Salvador. Presentations included experiences from New York, São Paulo, Oslo, Cape Town, Medellin, Barcelona, Rio de Janeiro, Milan and London. Presenters included former planning directors for the cities of London, Cape Town, and Medellin. The forum intended to provide Salvador with realistic ideas, a sharp contrast with the utopian plans presented by the former mayor in Salvador – A Global Capital.

Results of every meeting, public presentation, neighborhood workshops, contributions and critiques received during the planning stage, and final plans are available to the public at the website www.plano500.salvador.ba.gov.br. The website also includes the responses and actions taken by the city for every contribution received during scheduled meetings or to comments sent to City Hall.⁴³

CURRENT STATUS

Salvador's new *Plano Diretor* was adopted by City Council on June, 30 2016 as city ordinance 9069/2016 was published in the official register. The next step in Salvador 500 process is the adoption of a new zoning law in accordance with the *Plano Diretor*. The draft proposal is currently under discussion by Salvador's City Hall.

Ongoing planning and monitoring of plan implementation is under supervision of SUCOM, Salvador's planning agency, and the city advisory council (*Conselho Municipal de Salvador*), an elected committee also working on Salvador's permanent engagement strategy. An independent forum Engage Salvador (*Participa Salvador*) was created on March 2015 to provide citizen oversight of Salvador planning efforts and development strategies. Engage Salvador is supported by the public defenders' board with funds from penalties on companies that have disrespected provision of Salvador's planning regulations. It was a result of the lawsuit that resulted in the dismissal of Salvador's previous comprehensive plan in 2013.

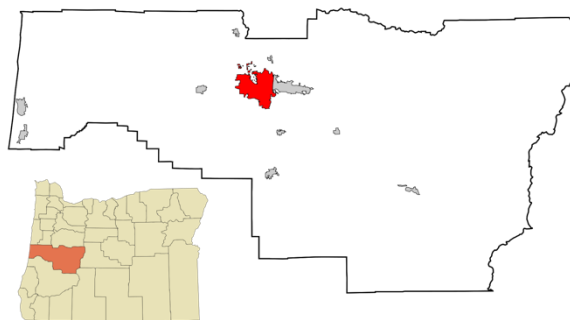
⁴³ Salvador, City of (2016). Salvador 500 available at <http://www.plano500.salvador.ba.gov.br/pareceres-e-respostas>

ENVISION EUGENE AND THE FAILURE OF THE SOUTH WILLAMETTE SPECIAL AREA CONCEPT PLAN

THE CONTEXT

Eugene is a mid-sized city located in the South Willamette valley in the state of Oregon. It prides itself for a high quality of life based on open green spaces, environment friendly policies, and strong civic engagement. Under Oregon's Land Conservation and Development Act, Eugene is required to conduct comprehensive planning that defines the city's urban growth boundaries (UGB) and have it reviewed by state officials. Eugene and its neighbor Springfield shared a single metropolitan UGB until 2007, when the Oregon Legislature passed Oregon House Bill 3337, requiring the two cities to establish separate UGBs for their respective urban areas.

Figure 7 Location of Eugene, OR



To comply with the mandate to develop its own UGB, Eugene decided to develop a community vision for the next 20 years. The city launched a community consultation effort, asking residents to help develop a vision for Eugene's future. In May of 2010 a Community Resource Group (CRG) was formed. "The citizen advisory group was made up of thoughtful and knowledgeable community leaders representing a broad spectrum of interests".⁴⁴ The Envision Eugene recommendation was adopted by Eugene's City Council in 2012. Envision Eugene is organized around seven pillars:

1. Provide ample economic opportunities for all community members
2. Provide housing affordable to all income levels
3. Plan for climate change and energy resiliency
4. Promote compact urban development and efficient transportation options
5. Protect, repair and enhance neighborhood livability
6. Protect, restore and enhance natural resources
7. Provide for adaptable, flexible and collaborative implementation

⁴⁴ Eugene, City of (2016) Envision Eugene: How we got here. Available at <http://www.eugene-or.gov/2978/How-We-Got-Here>

THE PLANNING PROCESS

A follow-up step to Envision Eugene is the development of neighborhood-level plans, which provide for the materialization of the concepts included in the Envision Eugene recommendation. The South Willamette Concept Plan (SWCP) for the South Willamette Special Area Zone was the first neighborhood plan to be developed following Envision Eugene's vision.

The South Willamette commercial district includes a mix of shops, services, and residential areas from single home to medium density developments. It functions as a community-serving business district. The neighboring Amazon Park and two schools serve the nearby community and a larger portion of the city as well. The SWCP planning area is shown on figure 3.

The future envisioned in the concept plan was designed “to enhance the area as an attractive setting for anticipated growth in housing and employment, and intensification of the district as a commercial, entertainment and recreational destination for the Eugene community”.⁴⁵ The plan sought to develop the area under the 20-minute neighborhood concept. This is a summary of the goals included in the SWCP:

- Engage the community in discussion of balancing growth and livability in a specific area of town
- Create a compelling and actionable vision for the South Willamette district
- Identify priority areas and criteria for proactive community investment
- Implement the Visioning Path of Opportunity Siting to find good places for urban housing.
- Catalog and prioritize infrastructure needs
- Build a solid planning foundation to support grant applications and other revenue
- Establish best practices, or a template, for area planning in other locations
- Demonstrate the community's commitment to compact growth

Figure 8 South Willamette Planning Area



⁴⁵ Eugene, City of (2013). SWCP first draft released on June 7, 2013. Available at <https://www.eugene-or.gov/1256/South-Willamette-Concept-Plan-Background>

PUBLIC PARTICIPATION

The South Willamette Concept Plan was developed from broad concepts and the guiding principles, or pillars, of Envision Eugene. The planning team sought to apply the City of Eugene’s public participation guidelines,⁴⁶ which were developed as an action item of the City of Eugene Diversity and Equity Strategic Plan.⁴⁷ Public engagement activities used in the SWCP process included:

- Ongoing extensive conversations with neighborhood association, property owners, and business community.
- Presentation of project updates via regular neighborhood association meetings, newsletters and chamber of commerce listserv.
- A design studio led by the University of Oregon, School of Architecture.
- Public presentations at the Atrium Building.
- Four public design workshops
- 3 Online Presentations and Survey with 450 respondents.
- 3 Postcard mailings to residents and owners in the planning area
- Periodic email updates to over 600 on people on project interest list
- Ongoing collaboration with the team working on the South Willamette Transportation Improvement Project

The Eugene city council consideration scheduled discussion on the SWCP for the second half of 2015. At the same time, neighborhood opposition to the plan strengthened with the creation of an ad hoc group called South Willamette Neighbors (SWN) concerned with “the city’s decision-making process, the lack of resident involvement and the potential adverse impacts of the proposed rezoning on livability”.⁴⁸ SWN demanded city planners to listen to their concerns and suspend council deliberation, which was eventually granted. The city organized community meetings to explain the proposal and hear citizen concerns. However, at every new meeting, opposition to the plan seemed to grow. The organized community members were vocal and dismissed the plan in its entirety, despite previous support for most of the plan measures from organized neighborhood associations and business leaders. Opponents of the plan threatened to file legal complaints at LUBA (Oregon’s Land Use Board of Appeals) on the basis of SWCP being a

⁴⁶ Eugene, City of (2011). Public Participation Guidelines.

⁴⁷ Eugene, City of (2009). Diversity and Equity Strategic Plan 2009-2014:
http://cesrvpp09/portal/server.pt/gateway/PTARGS_0_891_359985_0_0_18/DESPTag.v15.pdf

⁴⁸ Eugene Weekly (2015). South Willamette Area Plan Sparks Much Debate.
<http://www.eugeneweekly.com/20150903/news-briefs/south-willamette-area-plan-sparks-much-debate>

multimodal plan, which being develop as it was, would be in violation of Oregon’s legislation on multimodal plan making.

CURRENT STATUS

On May 10, 2016, Eugene City Council voted unanimously to suspend discussion and withdrawal the current SWCP plan from further consideration. Community opposition brought an abrupt end to a planning process that lasted almost five years and, according to city planners, had included a great deal of public participation.

CAPIM GROSSO'S PDDU: COMPREHENSIVE PLANNING IN FIVE MONTHS

THE CONTEXT

The Capim Grosso municipality is located in the state of Bahia, in Brazil’s northeastern region. The town grew from a few hundreds inhabitants in the 80s to over 27,000, retaining a low HDI, and without much urban planning. The town itself grew inside a circular road built to connect two major interstate highways (See figure 5) and has transportation and auto services as two major sources of employment. Areas inside the circle followed a more organized development than areas outside of the circle. Two small outer neighborhoods were built on land that is subject to flash flooding. Until recently, most public services were only available inside the circle. Most outer neighborhoods still lack paving and sewage. Water, electricity, cell phone coverage, and garbage collection are available in all neighborhoods.

Figure 9 Location of Capim Grosso, Brazil



THE PLANNING PROCESS

To comply with Brazil's Statute of the City, which requires municipalities with over 20,000 inhabitants to prepare a comprehensive plan (*Plano Diretor*), the city government launched its first comprehensive planning effort in June of 2006. The *Ad Hoc* planning team was formed by the city chief of staff, the deputy director for public services, a lawyer, a civil engineer and four support staff. The timeline to have the plan complete was of just six months, which was the deadline set by the Statute of the City for cities with over 20,00 inhabitants to develop such plans.

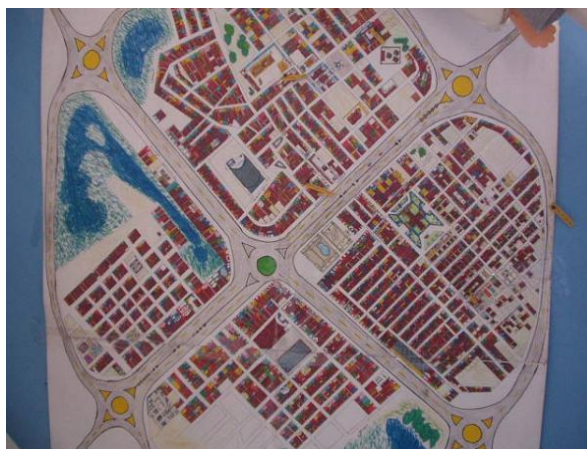
The Brazilian Ministry of Cities offered several tools to help municipalities comply with the requirements of the Statute of the City. The National Training Program for Cities (PNCC from the Portuguese name), later labelled as *CapaCidades*⁴⁹ (CapaCities) published a model comprehensive plan, a guide for developing a participatory plan, model land-use legislation, booklets to help citizens understand the process, educational videos, etc.

The Capim Grosso planning team decided to make use of the resources made available by the federal government as a way to save time and avoid mistakes. A city attorney was charged with revising the portions of the model legislation that were altered to match the local context. A civil engineer, hired by the city, was responsible for supervising the adaptation made to the model land-use legislation. The Brazilian law requires that a land-use ordinance be adopted in accordance with the comprehensive plans (*Planos diretores*).

PUBLIC PARTICIPATION

Given the short timeframe for completion and the newness of such effort, the planning team decided to follow the prescriptions of the Statute of the City regarding public participation as presented in a guide for the elaboration of

Figure 10 – A student's Map of Capim Grosso.



⁴⁹ Brazil, Ministério das Cidades. Capacidades Website: <http://www.capacidades.gov.br>

participatory plans published by Brazil's Ministry of Cities⁵⁰. The guide establishes the following stages for the participatory planning process:

- Creation of a management team for the entire process,
- Scooping to identify groups and actors to be targeted in the mobilization efforts
- Launching ceremony, which needs to be promoted to the entire community.
- Community training to prepare citizens for effective participation in the development of a comprehensive plan
- Reading of the City using documentation and oral tradition
- Mapping of the city using official maps, imagery, and oral tradition and technical analysis
- Construction of proposals using consensus conference approach
- Establishment of a management system for city development
- Submission of a final draft for consideration by city council

Scooping and community training were done within two weeks. It was done primarily through discussions during a news show at the local radio station, *Contorno FM*. The lunch time live broadcast, *Notícias da Contorno*, was followed by most residents and was the most effective way to promote awareness of the planning process to people living in the urban core and in rural parts of the municipality.

In the first stage of the process, meetings were scheduled for each neighborhood and community members were asked to send comments by email or letters. The first round of meetings included gatherings in ten different communities and over 500 participants. A partnership with Contorno FM secured publicity for every step of the process. Besides that, "sound cars" were used to blast announcements the day preceding the meeting in each neighborhood (see figure 4). All participants in the public meetings were asked to complete a survey that was used in the analysis of current conditions and as basis for the design of plan proposals.

A second round of public consultation included organized civilian groups that were asked to provide input in the plan. Several group-specific meetings were scheduled for their members to ask questions and provide comments on plan proposals. It included groups such as chamber of commerce, business leaders, churches, farmers, unions, and cultural groups. The city did not

⁵⁰ Brazil's Guide for Participatory Planning by Cities and Citizens.

http://bibspi.planejamento.gov.br/bitstream/handle/iditem/181/Livro_Plano_Diretor_GUIA_DE_ELABORACAO.pdf?sequence=1

have any organized group on environmental issues. Proposals for environmental protection were added by the planning team.

The meetings were structured so the planning team could introduce the project, answer questions and then ask community members to envision their neighborhood. Participants could give any suggestion they wanted for their neighborhood and were also asked to respond to a survey aimed at identifying neighborhood priorities and perceptions towards zoning issues. After each meeting, a radio program was edited describing what happened at the meetings and inviting the community to the next meeting. The programs were aired during the main news program in the local radio station. Localized advertising was conducted in the afternoon preceding each neighborhood meeting.

Once meetings were held in every neighborhood, the second stage of the process was launched. The ideas and comments gathered in the first round of meetings, survey results, and comments sent to the planning team were compiled and synthesized according to the themes required by the statute of the city (Zoning, environmental protection, affordable housing, ETC). A first draft of the plan was prepared and made available for comment. A community-wide plenary was scheduled to present the draft and receive comments and questions. After five months of planning efforts, a complete draft of Capim Grosso's plan was sent to to City Council for consideration.

CURRENT STATUS

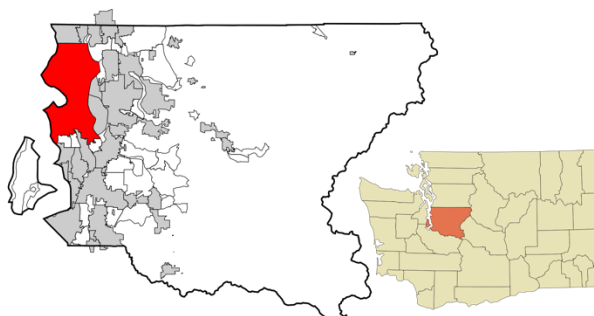
No complaints about public participation were raised and the plan was accepted by the council for deliberation. City councils have the final say in approving such plans in accordance with provisions of the Statute of the City. Despite overwhelming public support for the plan, the document sat for a full year without being put to a vote. When it was finally approved on February 2007, the plan had suffered alterations to reduce areas marked for environmental and historic protection. Changes were made mainly to attend interests of city council members, their relatives, and political supporters. More recently, the plan was amended to reduce requirements on setbacks, benefitting housing developers. Since its approval, the plan has lost importance and few of its provisions have been adopted by city officials.

SEATTLE 2035: A COMPREHENSIVE PLAN UPDATE IN THE AGE OF INTERNET.

THE CONTEXT

Seattle is the largest city in the state of Washington and in the US Pacific Northwest. With approximately 685,000 inhabitants, the city is the center of a metropolitan region that is home to 3.5 million inhabitants. In the past five years, Seattle's population has been growing at an annual rate of 2.1%, which makes it one of the fastest growing cities in the US. The fast growth and increasing housing prices has led many to question: Will Seattle really become the next San Francisco?⁵¹ The city wants to answer this question negatively via careful planning.

Figure 12 Location of Seattle, WA



THE PLANNING PROCESS

In 2012, Seattle launched a process to update its comprehensive plan for the next 20 years, in compliance with requirements of Washington's Growth Management Act (GMA). Originally due for 2011, Washington legislature passed measures to give the city more time to complete its plan update. The plan was scheduled to be completed by June 2015 and plan for the upcoming twenty years, thus the title Seattle 2035.

Washington's GMA requires local governments to create and disseminate a Public Participation Program. Seattle's public participation program was developed with inclusion of the following goals⁵²:

- Set expectations for the process early to avoid surprises.
- Provide objective information to assist the public in understanding issues and solutions. Provide opportunities for the public to contribute their ideas and provide feedback on key issues through all phases of the Review.

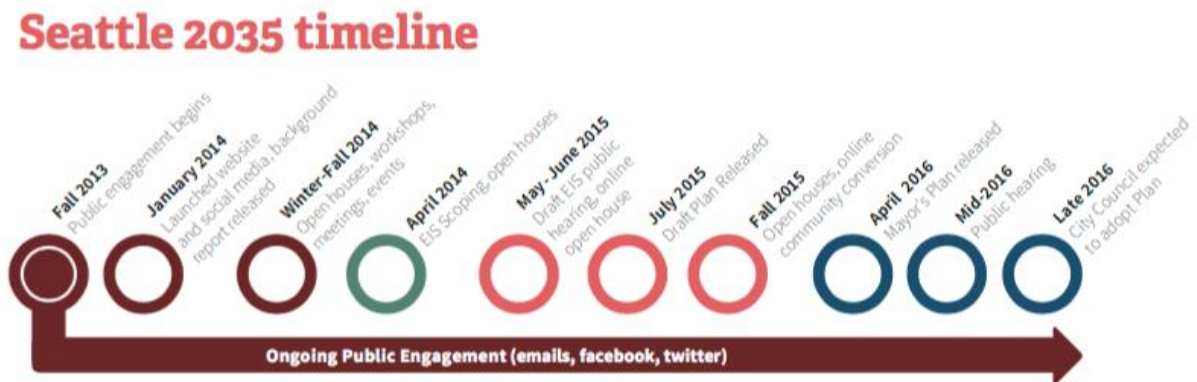
⁵¹ Seattle Times (2016). Will Seattle really become the next San Francisco?

<http://www.seattletimes.com/business/will-seattle-really-become-the-next-san-francisco/>

⁵² Seattle, City of (2015). Seattle's Public Participation Program

http://www.seattle.gov/dpd/cs/groups/pan/@pan/documents/web_informational/p2301176.pdf

Figure 13 Timeline of Seattle 2035



- Close the loop with the public to clearly indicate how their feedback was considered and used.
- Improve the involvement of traditionally under-represented audiences, and make the Review process racially and culturally inclusive.
- Make the Review accessible, relevant, and engaging to diverse participants with differing levels of interest by using a variety of media, plain language and easy-to-understand materials.

Generate general awareness, understanding and support for the updated Comprehensive Plan.

Seattle's 2035 planning efforts started in late June 2011 when city staff conducted outreach and engagement including a dedicated website, an online survey, use of social media, video, use of Public Outreach and Engagement Liaisons (POEL) in cultural and ethnic communities, and a public meeting. After the original deadline was extended, the Seattle City Council directed staff to increase public engagement in preparing the Seattle 2035 plan.

On May 14, 2012, the Council adopted Resolution 31370 allowing for the review of the Seattle Comprehensive Plan in phases in 2013, 2014, and 2015. On May 14, 2013, the Council adopted Resolution 31451 revising the previous schedule and setting the goal of adopting the revised plan by early 2016. However, the Environmental Impact Statement, which is part of the comprehensive plan, is still waiting to be adopted by Seattle's City Council.

The focus of this round of comprehensive planning was Equity. Mayor and City Council unanimously agreed to make Race and Social Equity a central Core Value of the Comprehensive Plan. The Equitable Development plan, which is part of Seattle 2035, uses the following statement to define equitable development: “all marginalized people can attain those resources, opportunities, and outcomes that improve their quality of life and enable them to reach their full potential. The City has a collective responsibility to address the history of inequities in existing systems and their ongoing impacts in Seattle communities, leveraging collective resources to create communities of opportunity for everyone, regardless of race or means.”⁵³ The topic was chosen based on preliminary planning consultations in which affordable housing and transportation (with emphasis on transit) emerged as the most pressing issues. Preliminary consultation was done in the summer of 2011, when the Department of Planning and Development (DPD) provided opportunities for the public to comment on preliminary ideas about the Comprehensive Plan.

Figure 15 Homepage of Seattle 2035 website

Seattle.gov
Mayor Edward B. Murray

2035.seattle.gov

Seattle
2035
YOUR CITY, YOUR FUTURE

Home About» Get Involved» Library»

SEARCH

Seattle's Draft Comprehensive Plan

Public Hearing scheduled for Sep 15 at City Hall

City Council's Planning, Land Use and Zoning (PLUZ) Committee is wrapping up their review of the Mayor's Recommended Plan and have identified potential changes.

Weigh in on the Committee's recommendations at this public hearing, 2 p.m., Council Chambers.

Send written comments to rob.johnson@seattle.gov by 2 p.m., Sep 15.

Mayor's Recommended Plan

- Director's Report
- Summary of Mayor's Plan
- Mayor's Recommended Plan
 - ↳ Citywide Planning
 - ↳ download each Element separately
 - ↳ Neighborhood Plans (new format, no changes to policies)

⁵³ Seattle's Equitable Development Plan

http://www.seattle.gov/dpd/cs/groups/pan/@pan/documents/web_informational/p2431185.pdf

PUBLIC PARTICIPATION

Seattle 2035 was the "first large planning project on which DPD relied primarily on the internet and social media for public engagement, and the results indicate that approach was very effective in expanding participation"⁵⁴.

Outreach during the scooping stage resulted in the following:

- Over 4,000 people visited the Comprehensive Plan web page
- 1,400 people responded to the online questionnaire.
- A multilingual workshop attended by over 150 people representing eight language groups.
- In-person presentations to several community organizations.
- Collaboration with AIA Seattle to identify urban design issues to be addressed in the Seattle 2035 plan.

During planning stages, outreach efforts yield the following results⁵⁵:

- **Early Outreach** (September 2013 – May 2015) - Early outreach efforts focused on building awareness of the Seattle 2035 process, setting expectations for the process ahead, outlining how people could engage, and generating interest the Seattle 2035 topic areas. Issue identification and development of growth alternatives was a major part of this phase. We held six open houses to finalize growth alternatives to be studied.
- **Draft Environmental Impact Statement Outreach** (May 4 – June 18, 2015) - Outreach efforts in support of the Draft Environmental Impact Statement (EIS) process focused on building awareness of the Draft EIS and the public comment period, sharing the key findings of the Draft EIS availability, and explaining how to provide formal comments by promoting participation in public meetings and the online open house.
- **Draft Plan Outreach** (July 8 – November 20, 2015) - Outreach efforts for the Draft Plan process focused on building awareness of the Draft Plan availability and public comment period, sharing information about the key elements of the Draft Plan, and explaining how to provide comments and feedback, both in-person and online by promoting meetings and the online community conversation on Consider.IT.

⁵⁴ Report on public engagement, February 2012.

http://www.seattle.gov/dpd/cs/groups/pan/@pan/documents/web_informational/dpds022219.pdf

⁵⁵ Seattle, City of (2016). 2035 Community Engagement Final Report. Available at <http://2035.seattle.gov/resources/>

Seattle's plan included as innovation the targeting of the millennial generation and parents of young and school-aged children. Millennials (25-35 years old) are the largest population group in the city and will become the future leaders by 2035. Parents of school-aged children have strong interest in securing great public services and spaces for their children. Seattle 2035 target also the traditionally under-represented populations, which includes low-income, minority, and limited- English proficient population. This group is expected to increase significantly in the upcoming 20 years.

Another innovation was the use of Public Outreach and Engagement Liaisons, based on the Trusted Advocate model developed by the Annie E. Casey Foundation and adapted by Seattle's Department of Neighborhood for the 2009 neighborhood planning effort. "The basic principle of the POEL model is to reach out to and civically engage historically- underrepresented communities through trusted and qualified, bilingual and/ or bicultural liaisons"⁵⁶. 13 POELs were selected and trained to engage with specific community groups based on language and cultural identity.

By the end of the planning process, the planning team hosted 23 public meetings, provided information at 21 public events, gave presentation to 34 stakeholder organizations, and met with approximately 2,6000 citizens. The online outreach acquired 1,093 followers to Seattle 2035's Facebook page, 761 followers on Twitter, 2,650 subscriptions to email updates, 115,071 total visits to the plan website, 4,766 participants in an online open house, and 412 people participated in an online community on Consider.IT⁵⁷ to gather feedback on the Draft EIS and Draft Plan. By the end of the planning stage, Seattle 2035 received over 1,900 comments online and in-person, provided six surveys, and received 2,164 survey responses.

CURRENT STATUS

Seattle 2035 is currently being reviewed by City Council. The council is considering amendments to the Mayor's proposal that could alter some plan components significantly⁵⁸.

⁵⁶ Seattle, City of (2010). Governor's 2010 Smart Communities Awards
<http://www.seattle.gov/Documents/Departments/SeattlePlanningCommission/SeattleSmartVisionAwardApplication.pdf>

⁵⁷ Seattle, City of. (2015) Consider IT campaign website. Available at <https://seattle2035.consider.it>

⁵⁸ Planetizen (2016). Reviewing Potential Amendments to the Seattle 2035 Comprehensive Plan. Available at <http://www.planetizen.com/node/88034/reviewing-potential-amendments-seattle-2035-comprehensive-plan>

Criticism of the plan include weak approach to environmental protections^{59,60} and the adoption of new standards for measuring the level of service in transportation⁶¹. Seattle 2035 did not receive significant criticism in regards to its public outreach.

DISCUSSION ON CASE STUDIES

The four case studies presented above are evaluated here based on the six strategic choices described in the Methods section. For each case reviewed, I tried to answer the following questions, based on the documentation made available by the respective planning teams:

- How was the public participation mandate administered during planning process?
- What were the objectives for public participation?
- In which stages did the planning team seek public participation?
- Which groups were targeted for participation?
- Which public participation techniques were employed during all planning stages?
- How and which type of information regarding the planning process was made available to the public?

Besides the questions proposed by Brody et al.⁶², I also tried to identify the outcomes of each planning process, the initial objectives of each plan, any innovations in public participation in relation to the context of each process, and the existence of any document guiding the public participation component of the plan. A summary of answers to the questions above are presented in table 4.

Regarding Choice of Administration

In all four case studies, the cities were required by law to engage in comprehensive planning and to provide means for the public to participate in the planning process. For Salvador and Capim Grosso, their respective zoning ordinances could not be approved unless a comprehensive plan

⁵⁹ Planetizen (2015). Environmental Criticism for the Seattle 2035 Comprehensive Plan. Available at <http://www.planetizen.com/node/77555>

⁶⁰ Wallyhood (2015). Seattle 2035: Turning the Emerald City into the Concrete Jungle. <http://www.wallyhood.org/2016/06/seattle-2035-turning-emerald-city-concrete-jungle/#gsc.tab=0>

⁶¹ Planetizen (2016). <http://www.planetizen.com/node/86601/seattle-may-follow-san-francisco-tossing-conventional-level-service-standards>

⁶² Brody, S. D., Godschalk, D. R., & Burby, R. J. (2003). Mandating citizen participation in plan making: Six strategic planning choices. *American Planning Association. Journal of the American Planning Association*, 69(3), 245-264.

was adopted first. Seattle and Eugene had to update their comprehensive plans as mandated by their respective state legislatures. In the Eugene case, the citywide plan (Envision Eugene) was legally required, while the refinement plan for the the South Willamette Special Area was a local administrative decision. In all cases, the planning process was conducted by city staff with participation of consultants, except for Eugene where the use of consultants is not clear in the documentation available to the public.

Regarding Objectives for Public Participation

The objectives for public participation in Seattle and Salvador were very similar. In both cities, planners sought to inform, consult and involve the public in plan making. Both cities engaged in a certain level of collaborative planning with citizens. Seattle intended to engage its citizens for the creation of a plan to promote equitable development, which is an improvement in relation to its most recent comprehensive plan. In Salvador, the scooping process *Ouvindo o Nosso Bairro* was used to guide small projects in several neighborhoods and strengthen the new regional administration system, the *Prefeitura Bairro*. Salvador also tried to rebuild trust after the failure of the 2008 plan. Eugene and Capim Grosso did not reach beyond the involvement stage. While public engagement in Capim Grosso was strong during the short planning phase, it was not sustained once the plan moved to consideration by City Council. Capim Grosso also failed to keep the community engaged with zoning, accessibility, and long-term planning issues. In Eugene, after a draft plan was released, public participation events were initiated by citizens, especially by groups who did not accept the draft proposals.

Regarding Timing of Public Participation

With the exception of Capim Grosso, all cities tried to engage citizens since preplanning stage. Seattle and Salvador did so with more intent. Eugene had the preplanning done as part of the Envision Eugene process. Capim Grosso skipped engaging the public in planning preparations, but did strong outreach throughout the planning stage. The timing when public participation started was not a concern in any of the cases. For Eugene, the long waiting time between active planning and discussion of proposal by City Council contributed to the increased opposition and eventual dismissal of the proposal.

Regarding Targeted Groups

Seattle was the only of the four cases to indicate which groups should be targeted in the planning process. Seattle targeted millennials, parents of school-aged children, and minorities. While the Statute of the City gives protections to underserved populations, neither of the Brazilians cities addressed the issue directly. Salvador and Capim Grosso went for broad participation processes. Eugene, which is not under a specific mandate for targeting, also did not identify any group to be targeted in the South Willamette Concept Plan process.

Regarding Choice of Techniques

Public meeting and surveys were the two techniques used in every of the four cases. As shown in the Methods section, public meeting are the least accepted and effective technique for public publication. Some innovations on techniques appeared in the form of online open houses used in Seattle and the international forum held in Salvador. Capim Grosso used a very local communication system to recruit participants. However, the small town relied heavily of public meetings.

Regarding Handling of Information

With the exception of Capim Grosso, all cases had a dedicated website where information was made available to the public. Seattle 2035's website offered more options for interaction between citizens and planning team than the other two. Salvador improved on transparency by making criticism to its plan available in the website. Salvador also included in its website responses to each contribution received.

Table 4. Assessment of Strategic Choices and Outcomes for Plans in the Case Studies Group.

Strategic Choices / Case studies	Salvador's PDDU	Eugene's South Willamette Concept Plan	Capim Grosso's PDDU	Seattle 2035
Administration	City is required to develop plan with strong public participation. Sanctions apply in case of non compliance. Planning directed by city agency with oversight of Municipal Council, independent civilian group, and public state prosecutors.	Participation program mandated by state legislation. Refinement plan in accordance with goals of Envision Eugene. Planning conducted by Eugene's planning department.	City is required to develop plan with strong public participation. Sanctions apply in case of non compliance. Ad Hoc planning team.	Participation program mandated by state legislation. Integration with metropolitan and regional plans. Planning conducted by city planning agency
Participation objectives	Gain community support and trust through a plan build via consensus conference.	Engage community in the creation of a model planning process to be used throughout the city.	Develop community awareness of zoning, accessibility, and long-term planning.	Engage with citizens for the creation of a plan to promote equitable development.
Stages	Preplanning Institution of regional councils and neighborhood-level scooping (<i>Ouvindo o Nosso Bairro</i>).	Planning stage. Visioning done during Envision Eugene process.	Planning stage. Preplanning included general announcements only.	Preplanning, primarily via online efforts.
Targeted audiences	All neighborhood residents and organized civil society. No specific targeting was formally adopted.	Affected residents and interested parties from general community.	All neighborhood residents and organized civil society.	General community, millennials, underrepresented groups and minorities, young parents.
Techniques	Public meetings, open discussion, design charrettes, consensus conference,	Notices, Public meetings, open houses, design charrettes, public hearings, survey, focus group.	Public meetings, open discussion, consensus conference, survey.	Public meetings, online survey, mobile outreach, interviews, online open house,

	international forum, survey, and expert reports.			
Information	All plan related materials made available online or upon request. Publicity in print, TV and radio was conducted throughout the process.	All plan related materials made available online or upon request.	All plan related information published in local newspaper and broadcast on local radio. Final plan documents made available online or upon request.	Plan-related materials available at dedicated website.
Outcomes	Comp Plan approved. Zoning plan current under discussion at City Council.	Eugene City Hall retired the SWCP proposal on June 2016.	Plan approved, but most plan elements have not been implemented.	Final proposal under consideration by City Council
Plan Objectives	Comply with state mandates, provide a safe environment for investments, define long-range strategy, and strengthen the new regional administration strategy	Adopt a refinement plan and design code for the creation of a 20-minute neighborhood.	Gain community support and trust through a plan build via consensus conference	Update existing plan and apply city policy for equitable development.
Participation guidelines	Intent and methodologies were published ahead of planning process.	Eugene Public Participation Guidelines document.	Brazil's guide for participatory comprehensive planning.	Seattle's Public Participation Program
Innovations (relative to context)	Matching of planning and decentralized management system, international forum, public address of criticism, formal oversight by a civilian group		Publicity campaign and comprehensive radio coverage of planning activities.	Use of Public Outreach Liaisons, Virtual open house (Consider.IT), targeting millennials and parents of school-aged children.

CONCLUSION

The selected case studies offer several lessons that planners can use in the development of successful participatory comprehensive planning processes. Mainly, the cases help identify questions that should be answered before a planning process is launched. Answer to such questions can help planning teams avoid some of the pitfalls present in the case study narratives above.

The first lesson pertains to the correct identification and communication of objectives for public participation and for the planning process itself. The cases of Eugene and Capim Grosso are examples of the negative effects resulting from the misalignment between government intent and community perception in regards to participatory governance, as discussed by Hyman⁶³ and Yang and Callahan⁶⁴. Misalignment between the two sets of objectives result in increased opposition and eventual failure of planning processes. It appears that Eugene planners approached the SWCP as a natural consequence of the Envision Eugene process, while many residents, especially in the later stages of the process, had a different vision for their neighborhood. Similar misalignment occurred in Capim Grosso. While the planning team sought a sustained citizen engagement as the main objective, elected officials approached it as a needed check on a legal requirement deadline. In both cases, the original goals for public participation and for the planning process were not achieved.

Another important lesson comes from the timing and duration of a planning process. To include sufficient participation, a plan should not be conducted as rushed as the dismissed Salvador's 2008 plan or as slow as the Eugene's SWCP. If the context requires a rushed process, an intensive communication campaign might compensate for the lack of time needed for citizen's interest in the process to develop. Seattle and Eugene both went through long processes. The difference is that in Seattle's case, public outreach was phased to match the different planning stages and segmented approach adopted for the planning process. Eugene's SWCP draft was ready in 2012 and sat almost idle until discussion resurfaced in 2015. During this interim, the apparent community support for the plan was turned into opposition that eventually led the city

⁶³ Hyman, J. (2002, October). Exploring social capital and civic engagement to create a framework for community building. *Applied Developmental Science*, 6(4), 196-202.

⁶⁴ Yang, K., & Callahan, K. (2007, March). Citizen involvement efforts and bureaucratic responsiveness: Participatory values, stakeholder pressures, and administrative practicality. *Public Administration Review*, 67(2), 249-264.

council to kill it. The sustained engagement needed for long planning processes can be achieved through the use of the strategies suggested by Yang and Callahan.⁶⁵

Salvador and Seattle offer examples of planning processes that addressed critiques proactively. Salvador answered negative comments and questions publicly. Seattle adopted “equitable development” as its plan motto probably as a way to prevent stronger opposition from the negative effects of increasing densification on single family neighborhoods, minority groups, and low-income communities. Salvador’s three-tiered outreach process was a response to the failure of its previous plan on the lack of citizen engagement. Both cities aimed at increasing community trust on government planning, which is recommended by the social capital theory.

Innovation should not be a foreign concept for planners. Seattle’s targeting approach was matched by the intensive use of online outreach. Such choice of technique matches the growing population of tech industry employees who might be classified as millennials and/or as parents of school-aged children. Salvador adopted a process to listen to its neighborhoods, but did not overlook developments in the international arena. The organization of an international forum broadened the discussion on the visioning process while also emphasizing the need for strong local engagement.

A final lesson from the case studies is that it is not sufficient to check legal requirements as being completed through the use of some participation techniques. Mandates for public participation should be seen as a starting point for citizen engagement and not as the end goal. Comprehensive planning is at the same time a technical, legal, and above all a political process. Beyond conducting outreach and offering options for the public to participate, planners must also help communities perceive that sufficient engagement was sought and achieved. By doing so, planners can potentially avoid political backlash, which is a reason behind the failures of many technically and legally sound planning processes.

⁶⁵ Yang, K., & Callahan, K. (2007, March). Citizen involvement efforts and bureaucratic responsiveness: Participatory values, stakeholder pressures, and administrative practicality. *Public Administration Review*, 67(2), 249-264.

RECOMMENDATIONS

The combination of theories and methods reviewed in this paper with the lessons learned from the case studies allows the proposition of a checklist to help planners answer the necessary questions for the design of effective public participation component. The following checklist addresses the strategic choices made prior to the start of a planning process, the use of techniques during all planning stages, and the follow-up steps needed to keep a planning process alive through and after the legislative review. It is not intended to be a prescriptive tool, but rather to help planners think through questions related to level of social capital, local experience with participatory governance, and reasons for success and failure identified in the case studies presented in this report.

CHECKLIST

Public Participation For Comprehensive Planning

This checklist is intended to help planners address questions related to the design of public participation components for comprehensive planning processes. It was designed based on the core values and participation spectrum of the IAP2, existing state mandates for public participation, and review of successes and failures related to public participation from selected case studies.

NOTE:

The section structure used in this report and questions 13, 14, and 19 are based on this study: Brody, S. D., Godschalk, D. R., & Burby, R. J. (2003). Mandating citizen participation in plan making: Six strategic planning choices. *American Planning Association. Journal of the American Planning Association*, 69(3), 245-264

Section 1 questions are based on the EPA Flow Chart: Select an Appropriate Level of Public Participation, which helps planners select the appropriate level of public engagement as described in the IAP2 Public Participation Spectrum.

<https://www.epa.gov/sites/production/files/201405/documents/determiningthelevelofpublicparticipation.pdf>

Section 1 – Level of public participation

This section helps planners identify the level of public participation intended for the planning process. The selected level of public participation should be matched with the appropriate choices of techniques, timing and administration addressed in the following sections.

1 - There is specific public input we seek and intend to take into account as we make our decisions (we are not simply seeking public buy-in)?

- Yes (If Yes, move to question 2)
- No (If No, the process is intended to INFORM the public)

2 - We are seeking to engage stakeholders early and throughout the process rather than just get public comment at one or two points?

- Yes (If Yes, move to question 3)
- No (If No, the process is intended to CONSULT the public)

3 - We intend to bring together a diverse group of stakeholders to work on the problem and potentially seek consensus?

Note: Relates to mandates for targeting of specific groups present in some state laws.

- Yes (If Yes, move to question 4)
- No (If No, the process is intended to INVOLVE the public)

4 - We intend to give decision-making authority to the public on all or part of the decision?

- Yes (If Yes, we want to EMPOWER the public)
- No (If No, we want to COLLABORATE with the public)

COMMENTS:

Section 2 – Planning context

This section helps planners identify the characteristics of the local context that might impact the planning process. It is designed to help planners identify elements that influence the level of trust of the community in its government.

Suggested resource:

Community Rhythms: The Five Stages of Community Life. Available at <http://www.theharwoodinstitute.org>

5 - Which community needs will be addressed in the plan?

-Are there community groups/members pushing for such a plan?

-Is the planning process being imposed on the community?

6 - Is the community supportive of planning processes in general?

7 - Did the community experience judicial review of a previous plan or plans? If so, which arguments were present in the case(s)?

8 - Is the plan under consideration being developed to replace a dismissed plan? If so, which corrections need to be made?

9 - Are there selected benchmarks to guide the planning process?

10 - What are the foreseen developments that might impact the planning process?

- Significant economic developments underway or expected

- Existence of areas of historic and/or environmental sensitivity

11 – Which community groups will likely get engagement in the planning process?

- Which groups usually support and/or influence policy decision-making?

- Which groups usually are more critical and/or oppose local planning processes?

Section 3 –legal requirements

This section helps planners identify the legal requirements for public participation that must be observed during the planning process. It is important to note the hierarchy of legal instruments.

12 - Is the planning process subject to Federal mandates due to funding, environmental justice protections, Civil Rights Act protections, etc.?

13 – Is there state legislation mandating public participation in planning?

- Is it subject to state review?
- Is it subject to vertical/horizontal consistency?
- Are there objectives set by state law?
- Targeted populations?
- Timing of participation?
- Information that need to be available to the public?
- Required techniques for public participation?

14 – Is there city legislation mandating public participation in planning?

- Are there objectives set by local law?
- Targeted populations?
- Timing of participation?
- Information that need to be available to the public?
- Required techniques?

15 - Does the plan need to articulate with a metropolitan/regional plan?

16 - Does the plan need to articulate with other adopted plans?

- Transportation plans
- Regional/state development plans

17- Does the city have legislation guiding public participation?

18 - Is there a legal timeline for the planning process to be completed? or Which timeline will be used in the planning process?

- Short timelines (< 1 year) need more intensive communication and participation programs
- Long timelines (> 2 years) need continued engagement, phased participation programs

The timing listed here must be matched by appropriate techniques in section 5.

Section 4 – Targeted groups and timing of participation

This section helps planners identify specific groups that will be targeted by outreach efforts and the stage in which public participation will be sought.

19 - Which groups will be targeted in compliance with legal requirements?

20 - Which groups will be target based on plan objectives?

21 What is the staff available for engagement with the community?

- Which unit will be responsible for the planning process
- Will consultants be used in the process?

22 - What is the level of resources available for engagement with the community?

23 - What are the goals for public participation in the pre-planning stage?

24 - What are the goals for public participation in the active planning stage?

25 - What are the goals for public participation in the post planning stage?

- During legislative review of plan
- During plan implementation and evaluation

Section 5 – Information, outreach, techniques

This section helps planners identify how information will be handled and which techniques will be used in all stages of the planning process. For the selection of techniques, we recommend the IAP2 toolbox, which lists almost all know techniques with indication pros and cons for each one. We also recommend reading Rowe, G., & Frewer, L. (2000). Public Participation Methods: A Framework for Evaluation. *Science, Technology, & Human Values*, 25(1), 3-29. This evaluation framework helps planner select techniques based on acceptance and process criteria. Acceptance criteria have a higher potential to support the creation of a trustworthy relationship with community members.

26 - Which type of information will be available to the public prior to start of the planning process?

27 - How will the information produced during the planning process be handled?

28 - How will criticism and/or conflicts that might arise during the planning process be handled?

29 - Will there be a publicity campaign for this planning process?

- A specific name for the process

- TV, Radio, print, internet ads.

30 - How will the information produced during the planning process be handled?

31 - Which techniques will be used during the scoping/pre-planning stage?

32 - Which techniques will be used during the visioning stage?

33 - Which techniques will be used for the construction and selection of alternatives?

34 - Which techniques will be used during post planning stage?

- Legislative review
- implementation/evaluation

35 - Is there any kind of innovation planned to be used in the process?

- Innovative planning techniques
- innovation on communication

36 - Does the available staff/resources support the use of innovation?

- Costs
- knowledge/trainings needed
- Technological resources

37 - Is the proposed innovation compliant with legal requirements for the planning process?