APPENDIX B

DESIGN OF A PUBLIC PARTICIPATION PROCESS

OUTLINE

1. Preliminary Design
   (a) situation analysis
   (b) decision process
   (c) information exchange
   (d) public and stakeholders
   (e) planning team
   (f) approvals

2. Developing the Plan
   (a) establish objectives
   (b) identify and address major issues
   (c) identify and involve the stakeholders
   (d) choose techniques
   (e) prepare to provide and receive information
   (f) develop critical path
   (g) budget, staff, resources, logistics, roles and responsibilities
   (h) prepare to give and get feedback

3. Implementation
   (a) follow the critical path
   (b) apply techniques
   (c) provide and receive information
   (d) monitor the process

4. Feedback
   (a) report to decision makers
   (b) report to participants
   (c) evaluate the overall process

DESIGNING A PUBLIC PARTICIPATION PROCESS

1. Preliminary Design

Building a preliminary plan requires that we think about analyzing the situation; details of the decision process; what major issues might be encountered during the process; what information is required from the public and at what points in the decision process; which publics the
information is required from; the composition of a planning team; and how to get the go-ahead from the organization.

a) **Situation analysis**
   - Which circumstances led to the need for a decision? Is this a policy question; new legislation or regulation; program or project development; problem to be solved; or legislated requirement?
   - Can any major issues be anticipated regarding socioeconomic and political factors, public perception, related issues, active consultations?
   - Can the situation be assessed regarding risk or perceived risk, technical complexity, presence of conflict, sectoral scope and interest, social and economic inclusion, and geographic boundaries?

b) **Decision process**
   - What is the purpose of the process?
   - What discreet steps comprise the decision process?
   - A decision process often has several basic elements: definition/goal setting, alternative generation, analysis and selection, implementation, and monitoring and evaluation.
   - Estimate time frame for decision process and public participation.
   - Estimate fiscal and human resource needs.

c) **Information exchange** — source, content and time of information flow
   - Is information required from the participants?
   - What information?
   - At what point(s) in the process?
   - Will information be required by the participants?
   - What information?
   - At what point(s) in the process?
   - How will feedback be handled?

d) **Public and stakeholders**
   - Which stakeholders/public can provide the needed information?
   - Which stakeholders/public should be included?
   - What criteria should be used to select participants?
   - How soon should key stakeholders be involved?
   - If “now” establish a stakeholder advisory committee to help design (and perhaps implement) the process.
e) Planning team
   • Include the right people: functional area; capacity and skills, i.e., planning, interpersonal, communications, facilitation, etc.; knowledge of issues or stakeholders; and experience with public consultations.

f) Approvals
   • What approval is required to commit the organization to this process?

2. Developing the Plan

Development of a public consultation plan involves the following considerations: understanding the objectives for the decision process and development of supporting objectives for the consultation process; ensuring that major issues are recognized and considered; clarifying how stakeholders will be selected, what stakeholders will be involved and at what point; when and how will the public be involved; consultation techniques chosen to meet process and stakeholder needs; thought given to the format in which information is received; outlining the flow of the process on a critical path; budget, staff and other logistical needs; and preparation to facilitate feedback to and from stakeholders.

a) Establish objectives
   • overview of the decision process
   • What are the desired results of public consultation?
   • What information, at what points?
   • develop a clear problem/issue statement

b) Identify and address major issues
   • As determined in the design phase situation analysis, with additional information provided by a stakeholder advisory committee, if one is formed.

c) Identify and involve the stakeholders
   • develop a profile for each stakeholder
   • use profile information to identify and select, considering such factors as impacted/interested, social and economic inclusion, balance, resources, representation, capacity, and history.
   • Stakeholders can be identified and chosen in three ways: by staff of the sponsoring organization, by third parties, or by themselves.

d) Choose techniques
   • achieve specific objectives at key points in the decision process
   • select techniques that best serve both the decision objective and the needs of stakeholders.
   • A common format for public consultation includes:
     – public input into problem definition; what is going on here?
     – What are my issues? What would I like to see happen?
– Sponsor does options paper using stakeholder input, and asks “Which of these options do you prefer and why?”
– Sponsor does a draft final paper or action plan and goes back to the public one more time for review and comment.
• A technique that works for one group may not work for another.

e) \textit{Prepare to provide and receive information}
• What information do you want to communicate to the participants? In what form? How does it fit within the decision process?
• Ask participants for the information you need:
  – select a format that aids analysis
  – analysis should help sponsor understand why stakeholders and the public think and feel as they do (determine interests)
  – Good analysis creates information which can then be evaluated.
• Categories for information analysis should be anticipated based on previous knowledge and experience:
  – categories can be modified based on actual results
  – This is more art than science.

f) \textit{Develop a critical path}
• A chronology of steps provides a map of the process
• A critical path outline will contain some of the following categories with dates, locations, costs, staff responsibilities, etc. This is not a description of a full process — it is intended only as an illustration:

\textbf{Preliminary dates:}
\begin{itemize}
  \item Date: information out regarding process
  \item newspaper advertisements
  \item posters
  \item press release
\end{itemize}

\textbf{Stage I dates:}
\begin{itemize}
  \item Date: discussion paper released
  \item paper and electronic (Web site)
  \item Date: written responses to discussion paper due
  \item electronic version of questions on web site
  \item Dates: open houses for local communities
  \item Dates: targeted briefings for key stakeholders
  \item targeted briefings for government departments
  \item Date: Stage I input ends; information analysis begins
  \item Date: feedback paper to stakeholders who participated in Stage I
  \item Date: staff use Stage I results as basis for an options paper
\end{itemize}
Stage II dates:
Date: options paper released
provided automatically to all Stage I participants
Date: multi-stakeholder workshops
toll-free telephone line
electronic version of paper available
Date: all Stage II feedback due; information analysis begins
Date: feedback to stakeholders on Stage II results
Date: Stage II results used to develop draft final decision paper

Stage III dates
Date: draft final decision paper out for stakeholder review
Date: workshops, meetings, briefings, etc.
Date: all Stage III feedback due; information analysis begins
Date: Minister’s decision, public announcement, implementation
Date: final version of decision published
Date: final feedback and thanks to participants

g) Budget, staff, resources logistics, roles, and responsibilities
   • Is the implementation team the same as the design team?
   • Is a reasonable budget in place?
   • Are human and other resources available?
   • Logistic considerations include rental of halls, audiovisual needs, refreshments, transportation, etc.
   • Are roles and responsibilities clear? Who is facilitating the sessions?
   • Who is providing technical information? Who has overall responsibility for the end result?

h) Prepare to give and get feedback
   • information back to decision makers
   • information back to public/stakeholders
   • Who is responsible?
   • How will feedback be given to stakeholders? Summary paper, newsletter, Web site?

3. Implementation

In many ways, the hard part is done. The hours of work invested in careful and detailed planning now pay off as the implementation team carries out the following four steps:

a) Follow the critical path
   • This is the map for implementation of the process. It dictates how steps follow each other, how they are linked, and how specific needs of different stakeholder groups and the public are met.
b) *Apply techniques*
   - implemented in sequence, with monitoring and evaluation built in
   - may need to adapt if planned actions do not achieve desired results

c) *Receive and provide information*
   - organize and analyze; evaluate and incorporate information into next steps; feedback to participants; be prepared to modify analytical format based on content of actual stakeholder communications

d) *Monitor the process*
   - this must be continuous
   - make sure that the process is achieving stated objectives, including the right publics and being implemented in keeping with the principles of fairness, openness, inclusiveness, etc.
   - use an end-of-process survey to gauge the depth of public/stakeholder satisfaction with the process, as well as with the final outcomes
   - We plan going into a process, and we learn coming out!

4. *Feedback*

The final steps in the process are to report to the decision makers on the outcome of the consultation; to provide feedback and communicate appreciation to stakeholders for their involvement; and to evaluate the process and ensure that the team learns from the experience.

a) *Report to decision makers*
   - stakeholder views are summarized for the various input points and reported to decision makers within predetermined format, i.e., options, recommended action, etc.
   - senior managers may want to know:
     - what stakeholders participated?
     - what their key issues and preferred options were
     - how satisfied stakeholders were with the process (result of ending survey)

b) *Report to participants*
   - closing the loop:
     - express appreciation to those who took part in the process
     - provide a final report on the process outlining the results achieved
     - directly contact the groups who put in special effort, were extremely collaborative or deserve personal contact for other reasons
     - may want to use targeted feedback to specific individuals and groups
     - may want to make reference to specific input and show how it was used or explain why it was not included in the final report
c) *Evaluate the overall process*
   - The public consultation team evaluates the process from start to finish for:
     - public satisfaction
     - public support for decisions
     - public understanding of situation
     - department satisfaction, and
     - team learning