

**PPD 616: Participatory Methods in Planning and Policy**  
**School of Policy, Planning, and Development**  
**University of Southern California**  
**Room XXX**  
**4 Units**

**Instructor: Katherine Aguilar Perez-Estolano**  
**Phone: (310) 578-2856/ (626) 253-1890 cell**  
**Email: [Katherine.perez-estolano@arup.com](mailto:Katherine.perez-estolano@arup.com)**  
**Office Hours: By appointment**

***Course Description***

This course discusses techniques and tools for involving members of the public in urban planning and policy making processes. The course is intended in particular to serve the MPL concentrations in social and community planning, sustainable land use planning, and economic development, and the MPP specializations in social and urban policy and community economic development.

Since the 1960s the legal requirements for public access and consultation in decision making are now universal, and we are observing continuing experimentation and innovation around citizen engagement. In this course, we will examine how to link the purposes of public participation to the designs and techniques used for citizen engagement.

The course will review the theoretical and methodological participation, address the practical strategies required to design a meaningful participation program, and consider several participatory applications, from small group exercises such as charettes and focus groups, structured involvement of panels in policy analysis and budgeting, and the much larger-scale types of participatory exercises.

Technology and the introduction of internet –designed community engagement tools have proliferated in recent years as we enter a new era of civic participation. Social media platforms have redefined the term ‘engagement’ and it is now a requirement to have internet based tools included in the suite of participatory tools. We will explore how those new devices have changed the planning and decision making environment.

The course requires application of readings to cases, analytic writing, and class debate. Students will be required to attend a ‘public outreach’ event or planning commission meeting and report on their experience. Students will apply the techniques and frameworks learned in class in working together to design a participatory program for an issue and mock client of their choosing.

*Learning objectives.* This course will help the student develop the following:

- **Context for participation.** Understand the conceptual context for public engagement, and be able to establish clear goals for a participation forum and consider the political and organizational context within which it occurs.
- **Model approaches to participation.** Understand the different models available for participatory planning and policy, and the strengths and weaknesses of various approaches as applied to particular settings.
- **Design skills.** Be able to find the appropriate “fit” between goals and design of a participatory initiative. Understand the preconditions and standards for effective participation within different planning or policy contexts.
- **Cultural sensitivity.** Understand the cultural issues that arise with respect to participation within a diverse society, and develop skills for interacting with culturally diverse populations.
- **Facilitation, analysis, and follow-through.** Develop skills required to facilitate a participatory initiative, to analyze findings, and to follow through in feedback and implementation of outcomes.

## **Readings**

### Required Reading

James Creighton, *The public participation handbook: Making better decisions through citizen involvement*. John Wiley and Sons, 2005.

Patrick Condon, *Design Charrettes for Sustainable Communities*, Island Press, 2007

### Recommended Reading

Michael Bloor, et. al., *Focus Groups In Social Research (Introducing Qualitative Methods series)*, Sage, 2001.

Archon Fung, *Empowered participation: Reinventing urban democracy*. Princeton University Press, 2004.

### Additional Reading that will be provided by Instructor:

- Arnstein, Sherry R. "A Ladder of Citizen Participation," JAIP, Vol. 35, No. 4, July 1969, pp. 216-224.
- Brett, E. A. (1996). 'The participatory principle in development projects: the costs and benefits of participation', *Public Administration and Development*, 16, 5-19. (Optional)
- Burgoyne, J, "Stakeholder analysis," in Cassell, C. and Symon G. eds., *Qualitative Methods in Organizational Research*," Sage, 1994.
- Croft, S. and Beresford, P. (1996). 'The politics of participation'. In Taylor, D. (ed.) *Critical Social Policy: A Reader*. London: Sage.
- Robin Gregory; Ralph L. Keeney, *Creating Policy Alternatives Using Stakeholder Values Management Science*, Vol. 40, No. 8. (Aug., 1994), pp. 1035-1048.
- Healey, Patsy, "The Communicative Turn in Planning Theory and Its Implications for Spatial Strategy Formation," in, Fainstein and Campbell, *Readings in Planning Theory* (2003).
- Kathlene, Lyn and John A. Martin (1991). "Enhancing citizen participation: Panel designs, perspectives, and policy formation," *Journal of Policy Analysis and Management*, 10(1), 46-63.
- Margerum, Richard D. (2002) "Collaborative Planning: Building Consensus and Building a Distinct Model for Practice," *Journal of Planning Education and Research*, 21(3), 237-253.
- Juliet Musso, Christopher Weare, Nail Oztas, and Bill Loges, "Neighborhood Governance Reform and Networks of Community Power in Los Angeles," *American Review of Public Administration*, 36,1. March 2006.
- Ortwin Renn, Thomas Webler, Horst Rakel, Peter Dienel and Branden Johnson, "Public participation in decision making: A three-step procedure," *Policy Sciences*, V. 26, No. 3, September 1993.

- Smith, M. K. (1996; 2001, 2007) 'Action research', *the encyclopedia of informal education*, [www.infed.org/research/b-actres.htm](http://www.infed.org/research/b-actres.htm). Last updated September 2007.
- Varvarovszky, Z. and Brugha, R. (2000). "Stakeholder Analysis: A review." *Health Policy and Planning*, 15(3), 239-246.
- William F. Whyte, "Advancing Scientific Knowledge through Participatory Action Research," *Sociological Forum*, 4,3 1989, 367-385.
- "10 Lessons In More Engaging Citizen Engagement", Planetizen, 2014
- Coleman, Stephen and John Gøtze "Bowling Together: Online Public Engagement in Policy Deliberation," 2014

## **Course Requirements**

1. *Preparation and class discussion.* The course requires extensive reading. Students must attend class regularly, prepare adequately, and participate constructively in class discussion.
2. *Case memo #1 – Current public engagement issue.* Students will provide a memo that outlines the issue in question, the response from the community and local electeds, and predicable response.
3. *Case analysis #2– Neighborhood Councils in LA.* Students will complete one short memoranda in which they attend and evaluate the strengths and weaknesses of a NC Board meeting.
4. *Statistical Analysis #3 –* Students will evaluate a project area using a statistical evaluation of the demographics, language, assets and preferred outreach approach.
4. *Case analysis #4 – Comparison of Community Workshops.* Students will attend two different types of community workshops and compare them for effectiveness and lack of effectiveness of the public meetings. The memo should integrate readings on participation with field observations and interviews with participants and/or designers of the participatory initiative.
4. *Participation workshop design.* Working in groups of up to three students will design a participatory initiative in a “sheltered workshop” format (meaning that they will develop a “mock” client who is associated with an actual planning or policy making entity with an actual issue at hand. They will present their findings through (1) a 15 minute class mock workshop with collateral and materials ; and (2) a group staff report that identifies the problem to be addressed, the goals and purposes of public engagement, the design of the the participatory initiative, resource requirements, and planned outcomes.

**Requirements and Grading:**

Assignment	Length	Grade %
<i>Class participation/questions</i>		10%
<i>Case memo #1</i>	Max 2 pages	5
<i>Case analysis memo #2 – Neighborhood Council</i>	Max 5 pages	10
<i>Statistical analysis #3</i>	Max 6 pages	10
<i>Case analysis memo #4 – Community Workshops</i>	Max 6 pages	15
<i>Group participation design</i>		
Briefing	15 min	25
Staff report	15 pp. sngl.	25

**Form and style:** All assignments are single-spaced, double sided, and length excludes figures and charts. They must be written in plain, concise prose, as described in Strunk and White's Elements of Style.

**Policy on late and missing assignments:** I will grade late assignments down 25 percent for each day late. Please inform me in advance if you must miss a deadline. I will not give a passing grade unless all assignments are completed.

**Syllabus revision.** I will regularly assess progress and elicit student feedback regarding the course. If necessary I will revise the syllabus to make it more suitable.

**Academic integrity:** Students should maintain strict adherence to standards of academic integrity, as described in SCampus (<http://www.usc.edu/dept/publications/SCAMPUS/>). In particular, the University recommends strict sanctions for plagiarism, defined below:

**11.11 Plagiarism**

- A. The submission of material authored by another person but represented as the student's own work, whether that material is paraphrased or copied in verbatim or near-verbatim form.
- B. The submission of material subjected to editorial revision by another person that results in substantive changes in content or major alteration of writing style.
- C. Improper acknowledgment of sources in essays or papers.

Note: Culpability is not diminished when plagiarism occurs in drafts which are not the final version. Also, if any material is prepared or submitted by another person on the student's behalf, the student is expected to proofread the results and is responsible for all particulars of the final draft.

Source: SCampus University Governance; <http://www.usc.edu/dept/publications/SCAMPUS/governance/gov05.html>

The recommended sanctions for academic integrity violations are attached to this syllabus, as is the "Guide to Avoiding Plagiarism," from USC's Expository Writing Program. *All reference to the work of others must be properly cited using APA citation standards. This includes work made public on the WWW.* If you have any questions about academic integrity or citation standards, please ask in advance.

**Academic accommodations.** Any student requesting academic accommodations based on a disability is required to register with Disability Services and Programs (DSP) each semester. A letter of verification for approved accommodations can be obtained from DSP. Please be sure the letter is delivered to me (or to TA) as early in the semester as possible. DSP is located in STU 301 and is open early 8:30 a.m. - 5:00 p.m., Monday through Friday. The phone number for DSP is (213) 740-0776.

## **COURSE SCHEDULE**

### **PART I: CONTEXT**

**January 7, 2019**

#### **Session 1 Introduction and course overview**

*Required reading:*

- Creighton, Part I: Overview of Public Participation, Ch. 1 “Defining What Public Participation Is (and Is Not)” and Ch. 2 “The Rationale for Public Participation.”

*Handouts:*

- Course syllabus
- **Review of Requirements for Case Memo #1**
- **HANDOUT: Instructions for Case Analysis #2 - Neighborhood Councils in Los Angeles**

**January 14, 2019**

#### **Session 2 Toward collaborative planning**

*Required reading:*

- Margerum, Richard D. (2002) “Collaborative Planning: Building Consensus and Building a Distinct Model for Practice,” *Journal of Planning Education and Research*, 21(3), 237-253.
- Healey, Patsy, “The Communicative Turn in Planning Theory and Its Implications for Spatial Strategy Formation,” in, Fainstein and Campbell, *Readings in Planning Theory* (2003).
- **Assignment #1 DUE – Case Memo**

**January 21, 2019 – MLK Day**

**Session cancelled**

**January 28, 2019**

#### **Session 3 Participatory and action research**

*Required reading:*

- Smith, M. K. (1996; 2001, 2007) 'Action research', *the encyclopedia of informal education*, [www.infed.org/research/b-actres.htm](http://www.infed.org/research/b-actres.htm). Last updated September 2007.
- Arnstein, Sherry R. "A Ladder of Citizen Participation," *JAIP*, Vol. 35, No. 4, July 1969, pp. 216-224.

**February 4, 2019**

#### **Session 4 Down to the neighborhoods**

*Required Reading:*

- Juliet Musso, Christopher Weare, Nail Oztas, and Bill Loges, “Neighborhood Governance Reform and Networks of Community Power in Los Angeles,” *American Review of Public Administration*, 36,1. March 2006.
- The Neighborhood Council System: Past, Present, & Future, Neighborhood Council Review Commission, City of Los Angeles, Final Report, Sept 25, 2007
- Christopher Hoene, C. Kingsley, et. al., National League of Cities with The Knight Foundation, “*Bright Spots in Community Engagement*,” April 2013

- The Neighborhood Participation Project, “The Meaning of Success: Evaluating Los Angeles Neighborhood Councils”, October 16, 2002. (Optional)
- Juliet Musso, C. Weare, et. Al, “*Toward Community Engagement In City Governance: Evaluating Neighborhood Council Reform in Los Angeles*,” USC Urban Policy Brief, 2007 (Optional)

**Guest Speaker:**

**Gracye Liu, General Manager, Department of Neighborhood Empowerment, City of Los Angeles**

**February 6, 2019 (Wednesday): Case Assignment #2 DUE Neighborhood Councils in LA**

***PART II: DESIGN AND IMPLEMENTATION***

***February 11, 2019***

***Session 5 Public participation strategies in the Social Media Era?***

- Creighton, *The public participation handbook*, Part II, “Designing a Public Participation Program,” pp. 27-84.
- Fung, *Empowered Participation*, Ch. 1, “Democracy as a Reform Strategy,” pp. 1-30
- **HANDOUT: Requirements for Assignment #3 Statistical Analysis**
- **HANDOUT: Instructions for Case Analysis #4: Comparison Assignment**

***February 18, 2019***

***Session cancelled – Presidents Holiday***

***February 26, 2019***

***Session 6 Stakeholder analysis***

*Required reading:*

- Robin Gregory; Ralph L. Keeney, *Creating Policy Alternatives Using Stakeholder Values Management Science*, Vol. 40, No. 8. (Aug., 1994), pp. 1035-1048.
- Varvarovszky, Z. and Brugha, R. (2000). “Stakeholder Analysis: A review.” *Health Policy and Planning*, 15(3), 239-246.
- Ramirez, Ricardo, “Chapter 5: Stakeholder Analysis and Conflict Management,” *Cultivating Peace: Conflict & Collaboration in Natural Resource* (1999), p101

***March 4, 2019***

***Session 7 “Guerilla” Outreach Tactics***

*Required reading:*

- Creighton, *The Public Participation Handbook*, Part Three: “Public Participation Toolkit,” pp. 85-138.
- Stein, Debra: ppt presentation
- **DUE: Assignment #3 Statistical Analysis**
- **HANDOUT: Final Project and Team Assignment**



**March 10, 2019 - SPRING BREAK - NO CLASS**

**March 18, 2019**

**Session 8 Implementation and Facilitation II**

*Required Reading*

- Criegton, James, *The Public Participation Handbook*, Part Four: Public Meeting Tools,” pp. 139-180.

Guest Speakers:

**Josh Gertler**  
President, Consensus Inc.

**March 25, 2019**

**Session 9 Resource, cultural, political challenges**

*Required reading:*

- Croft, S. and Beresford, P. (1996). 'The politics of participation'. In Taylor, D. (ed.) *Critical Social Policy: A Reader*. London: Sage.
- Coleman, Stephen and John Gøtze “Bowling Together: Online Public Engagement in Policy Deliberation,” 2014
- **DUE: Analysis #4: Comparison Assignment**

Guest Speakers:

**Renee Dake Wilson, AIA**  
City of Los Angeles, Vice President, Planning Commissioner

**PART III: APPLICATIONS**

**April 1, 2019**

**Session 10 Participatory policy analysis and resource allocation**

Examination of the Envision Utah process and discussion about it's use of values based stakeholder analysis.

*Required Reading:*

- Orwin Renn, Thomas Webler, Horst Rakel, Peter Diemel and Branden Johnson, “Public participation in decision making: A three-step procedure,” *Policy Sciences*, V. 26, No. 3, September 1993.

Criegton, Part IV: General Purpose Tools, pp. 181-242.

Guest Speakers:

**Honorable Ed Reyes**  
Former Los Angeles City Councilman, District 1

**April 8, 2019**

**Session 11 Small group methods; charettes and focus groups**

*Required reading:*

- Patrick Condon, *Design Charrettes for Sustainable Communities*, Island Press, 2008, Chpts 1-4.

Guest Speaker:

**James Rojas**  
Latino Urban Forum

**April 15, 2019**

**Session 12 Large-scale deliberation**

*Required reading:*

- Patrick Condon, *Design Charrettes for Sustainable Communities*, Island Press, 2008, Chpts 5-7.

Guest Speaker:

**Aaron Paley**  
President, Community Arts Resources, Inc.  
Founder, CicLAvia

**April 22, 2019**

**Session 13 The Challenges of Public Participation**

*Required reading:*

- Judith E. Innes and David E. Booher, "Collaborative policymaking: governance through dialogue," *Collaborative Policymaking*.
- "10 Lessons In More Engaging Citizen Engagement," Planetizen, 2014

Guest Speaker

**S. Gail Goldberg**  
Executive Director, Urban Land Institute  
Former Planning Director, City of Los Angeles

**April 29, 2019**

No Class – Study week

**May 6, 2019**

**Session 15 Group project finals  
Final Exam**