



**Calgary**

City Auditor's Office

# Green Line Engagement Audit

**January 15, 2018**



**THIS PAGE LEFT INTENTIONALLY BLANK**

## Table of Contents

<b>Executive Summary .....</b>	<b>5</b>
<b>1.0 Background .....</b>	<b>7</b>
<b>2.0 Audit Objectives, Scope and Approach .....</b>	<b>9</b>
2.1 Audit Objective .....	9
2.2 Audit Scope .....	9
2.3 Audit Approach .....	9
<b>3.0 Results.....</b>	<b>10</b>
3.1 Engagement Cost Tracking and Monitoring.....	10
3.2 Engagement Assessment and Planning (Steps 1 and 2).....	11
3.3 Telling the Story and Raising Awareness (Steps 3 and 4) .....	11
3.4 Connecting with Stakeholders (Step 5) .....	12
3.5 Reporting Back (Step 6).....	12
3.6 Evaluation (Step 6) .....	14
<b>4.0 Observations and Recommendations .....</b>	<b>15</b>
4.1 Engagement Cost Tracking and Monitoring.....	15
4.2 Evaluation of Engagement Process and Outcomes .....	17
4.3 Reporting Back.....	19

The City Auditor's Office completes all projects in conformance with the *International Standards for the Professional Practice of Internal Auditing*.

## Executive Summary

The Green Line Light Rail Transit (Green Line) project is a large public transit infrastructure project at the City of Calgary (The City) with an estimated construction cost of \$4.65B for the first stage of construction extending from 16 Avenue North to 126 Avenue Southeast. Given that the Green Line is planned to extend 46 km in the long term from 160 Avenue North to Seton in the Southeast, engaging citizens and stakeholders on integration of the Green Line with existing communities, route alignment, station locations and opportunities for Transit Oriented Development (TOD)<sup>1</sup> is critical. The City's Engage Policy (CS009) (Engage Policy) defines engagement as the purposeful dialogue between The City and stakeholders to gather information to influence decision making. Guiding principles include accountability, inclusiveness, transparency and responsiveness. The City's Engage Framework and Tools (Engage Framework and Tools) consists of six key process steps: Engage Assessment; Develop a Plan; Tell the Story; Raise Awareness; Connect; and Report Back and Evaluate.

The objective of the audit was to assess the effectiveness of engagement control activities that supported the advancement of the Green Line project. We evaluated the extent to which engagement activities were aligned with the Engage Policy and the criteria in the Engage Framework and Tools. We also evaluated the design of controls over engagement cost tracking and monitoring, given the extent of resources expended to support the significant amount of engagement to advance the Green Line project.

Overall, engagement activities reviewed were executed in alignment with the guiding principles of the Engage Policy and the criteria identified in the Engage Framework and Tools. The process to track and monitor communication and engagement costs requires improvement to provide clear visibility into the total budgeted and actual cost of all related communication and engagement. In addition, improvements should be made to the Reporting Back and Evaluation processes to further support transparency and accountability.

The engagement plans were consistent with the Green Line program's objectives of setting station locations and refining how the route alignment could fit along the north corridor and determining how to connect the north and southeast through the downtown, and opportunities for TOD. Based on our testing, engagement opportunities were made available to Calgarians and stakeholders and effectively communicated. In addition, engagement activities were executed as planned.

Engagement plans did not include a comprehensive breakdown of budgeted engagement resources and related staff hours required to plan, implement, facilitate and close-out engagement. In addition, there was insufficient communication and engagement detail in Green Line financial reports. Without clear visibility into the communication and engagement budget and actual costs, communication and engagement cost tracking and monitoring cannot be effectively performed and may result in ineffective resource allocation and an inability to evaluate engagement cost effectiveness. Our recommendations for budgeting and regular reporting and monitoring of all communication and engagement costs will help improve accountability and stewardship.

The last formal milestone evaluation of Green Line public engagement processes and outcomes occurred in November 2015, although annual lessons learned meetings were held that included a communication and engagement component and evaluations were performed at the individual

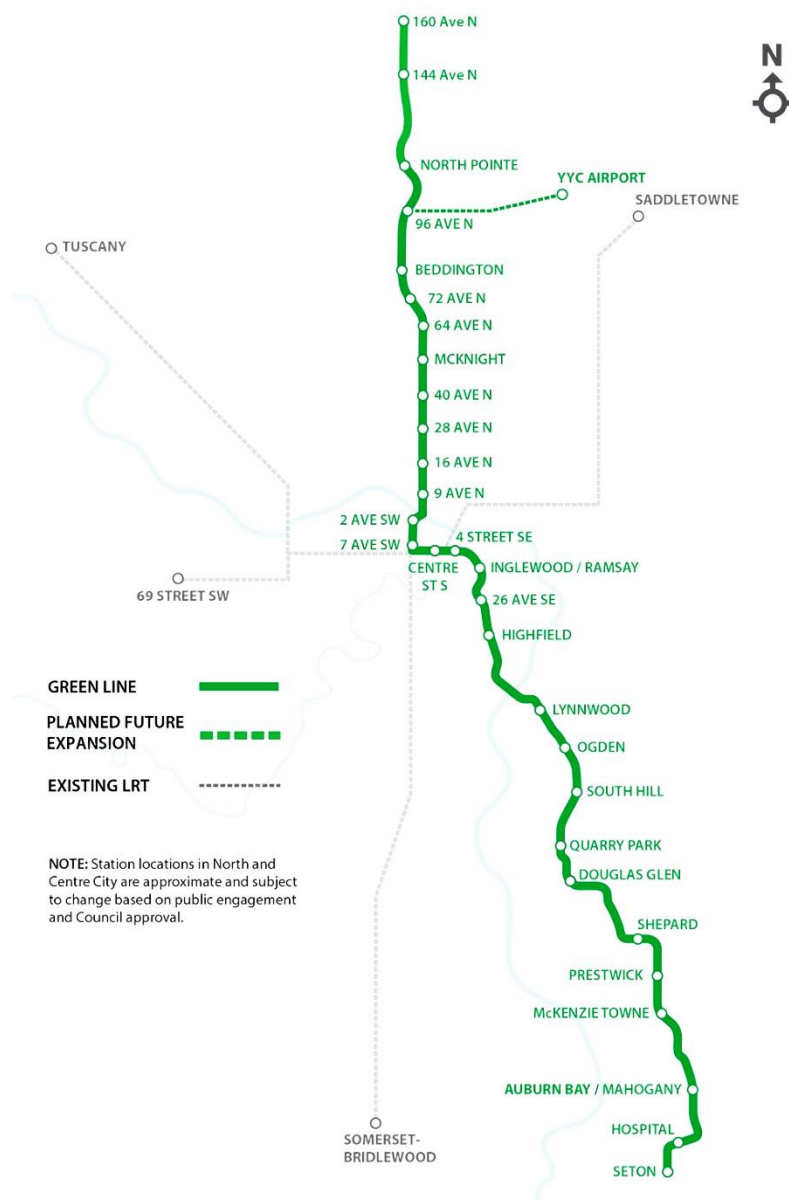
<sup>1</sup> Transit oriented development (TOD) is a walkable, mixed-use form of area development typically focused within a 600m radius of a primary transit station.

event level. Our recommendation that the Green Line Project Manager establish processes to perform formal evaluations after completion of significant engagement milestones will help demonstrate increased accountability to Calgarians and identify potential improvements to the engagement process that can be applied to future engagement. Although the audit focused on engagement activity specific to the Green Line project, we also identified related opportunities to update the Engage Framework and Tools to provide further standards and guidance that will benefit all future engagement at The City.

The Customer Service & Communication and Transportation Infrastructure Business Units have agreed to all six recommendations and have set action plan implementation dates no later than December 31, 2018. The City Auditor's Office will follow-up on all commitments as part of our ongoing recommendation follow-up process.

## 1.0 Background

The Green Line light rail transit (Green Line) project is a large public transit infrastructure project at the City of Calgary (The City). Since December 2012, the Green Line project has been in the Functional Planning phase, which includes corridor selection and alignment definition. Citizen engagement and technical studies began with the North segment of the project in 2013 and continued with the Southeast, Beltline and Centre City segments being added along the way. On June 26, 2017, Administration made a final recommendation to Council on station locations, TOD, stage I construction, and the vision for the full alignment of the Green Line project, which was approved.



At full community build-out, the Green Line is expected to carry an estimated 240,000 trips per day. The final route will stretch 46 km from 160 Avenue North to Seton in the Southeast and connect 28 stations. The Green Line was designed to be delivered in stages with completion of stage I (16 Avenue North to 126 Ave Southeast) scheduled for 2026 at an estimated construction cost of \$4.65B, based on a Class 3 capital estimate <sup>2</sup>.

Figure 1 source  
<https://engage.calgary.ca/greenline>

<sup>2</sup> Class 3 capital estimates are generally prepared based on preliminary design information with an expected variance of -30% to +50% as defined in The City's Corporate Project Management Framework.

Given the scope of the Green Line project, engagement is critical to obtain input from Calgarians and other stakeholders on integration of the Green Line with existing communities, route alignment, station locations, and opportunities for TOD. The City's Engage Policy (Engage Policy), approved by Council on May 27, 2013, identifies the guiding principles of engagement and commits The City to conducting transparent and inclusive engagement processes that are responsive and accountable. Engagement is defined in the Engage Policy as the purposeful dialogue between The City and citizens and stakeholders to gather information to influence decision making.

The City's Engage Framework and Tools (Engage Framework and Tools) supports the Engage Policy by providing engagement guidance and tools and defines a six step Engage process to be used consistently across The City:

1. Engage Assessment: Identify whether engagement is needed and if so assess the impact and complexity of the project with respect to engagement and outline who should approve the engagement strategy.
2. Develop a Plan: Engage Resource Unit works with project manager to develop an engagement strategy and plan that serves as a roadmap for the engagement process and helps clarify engagement goals and objectives, what we are seeking input on and decisions that are not open to input, stakeholder identification and details such as scope, roles and responsibilities, budget and expected dates and timelines.
3. Tell the Story: Explain the project to stakeholders and share what has been done so far, why engagement is needed, what is being considered, what the constraints are, and how input is going to be used.
4. Raise Awareness: The engagement plan should work together with the communication plan to generate awareness about the engagement opportunities.
5. Connect: Work with stakeholders through the engagement opportunities in a genuine, open and honest manner.
6. Report Back and Evaluate: Tell stakeholders what was heard, how that input influenced the decision, and if it did not, why not. The final step is to evaluate the process and engagement outcomes to document lessons learned that can be applied to future projects and to refine and improve engagement efforts and approach.

Engage Resource Unit (ERU) resources were embedded in the Green Line team in mid-2016 and took on a more active role in leading Green Line engagement for Transportation Infrastructure (TI). In September of 2017, the planned creation of a new Green Line Business Unit (BU) was announced in recognition of the significance of the project and the resources to be expended. Green Line engagement will continue throughout the life of the project and include collaborative involvement from the Customer Service & Communication (CSC) BU, including the ERU, the Green Line project team, and consultants hired by the primary Green Line contractor.

The City Auditor's Office plans to conduct a series of audits on the Green Line over the lifespan of the project given its proposed complexity and significant capital budget. This first Green Line audit, with a focus on citizen engagement, was undertaken as part of the City Auditor's Office 2017/2018 Annual Audit Plan.



## **2.0 Audit Objectives, Scope and Approach**

### **2.1 Audit Objective**

The objective of this audit was to assess the effectiveness of engagement control activities that supported the Green Line project by:

- Evaluating the extent to which citizen engagement activities were aligned with the guiding principles of the Engage Policy and criteria identified in the Engage Framework and Tools; and
- Identifying potential improvements to The City's engagement policies and standards, if appropriate.

### **2.2 Audit Scope**

The audit scope included engagement activities planned and undertaken during the period October 1, 2015 to June 30, 2017. We assessed the design of controls over engagement cost tracking and monitoring and tested control activities related to the six Engage process steps identified in the Engage Framework and Tools.

Limited reductions to scope occurred during fieldwork due to inconsistency and availability of engagement related documents as noted in sections 3.2, 3.3 and 3.4.

### **2.3 Audit Approach**

Audit procedures included interviews, documentation review, and process testing and analysis. Green Line engagement plans, engagement activities (in-person and online), and project decisions were used as the basis for sample selection to test against criteria in the Engage Framework and Tools. All four Green Line segments (i.e. Southeast, North, City Centre and Beltline) were included in the audit testing program, but the extent to which each was covered was determined using a risk-based approach.

We would like to thank staff from the TI and CSC BUs for their assistance and support throughout this audit.

## 3.0 Results

Overall, engagement activities reviewed were executed in alignment with the guiding principles of the Engage Policy and the criteria identified in the Engage Framework and Tools for key engagement steps from initial engagement assessment and planning (Steps 1 and 2) to connecting (Step 5) with Calgarians. However, improvements should be made to the Reporting Back and Evaluation processes (Step 6) to further support transparency and accountability. The process to track and monitor communication and engagement costs requires improvement to provide clear visibility into the total budgeted and actual cost of communication and engagement.

Our testing included a review of the following:

- Engage Assessments at the initiation stage of engagement and a sample of engagement plans at the strategic level and annual work plans for the Southeast, North, City Center and Beltline segments;
- A sample of seven station area and alignment events for the North, City Centre and Beltline segments, which included three open houses, one Station Area workshop and three online events. Engagement events had largely been completed in the Southeast prior to the time period included within the scope of our audit and as a result no events were selected for this area; and
- A review of a sample of four Green Line recommendations for the Southeast, North, City Centre, and Beltline segments including two alignment Multiple Account Evaluations, one TOD and one station location infrastructure and connection recommendation.

### 3.1 Engagement Cost Tracking and Monitoring

We assessed the process to track and monitor Green Line communication and engagement costs by reviewing engagement budgets, financial reporting and other supporting documentation, and interviewing Green Line staff.

A number of control activities, including purchase order and invoice coding and approval, monthly review of overall Green Line costs and variances, and reconciliations of project cost reporting with The City's financial system (PeopleSoft FSCM) were designed effectively. However, the overall process for tracking and monitoring Green Line communication and engagement costs requires improvement to ensure that the total cost of Green Line communication and engagement can be determined and monitored to support accountability and stewardship.

The engagement plans we reviewed did not include a budget for communication and engagement resources, except for budgets for external consultants. Green Line financial reports did not provide communication and engagement cost detail necessary to monitor or determine the total actual communication and engagement costs. In addition, we noted that not all communication and engagement resources were charged to the Green Line and that an inter-departmental charge for Green Line communication support was not regularly updated as needed to report and monitor the total actual communication and engagement costs.

We recommended that the Green Line Project Manager include a communications and engagement budget in the approved annual engagement plans, based on cost estimates supported by activity work plans, and establish processes to support regular tracking, reporting and review of all communication and engagement costs and forecasts (Recommendation 1).

We recommended that CSC ensure that communication and engagement staff costs can be attributed to individual projects, including the Green Line, and that cost estimates are kept up-to-date or reassessed at least annually (Recommendation 2).

### **3.2 Engagement Assessment and Planning (Steps 1 and 2)**

We assessed the engagement assessment and planning process through review of Engagement Assessments and strategy and plan documents.

We noted that the engagement assessment and planning process is consistent with the Engage Framework and Tools:

- Engagement Assessments were completed as part of the engagement initiation process;
- A hierarchy of plans existed, including an overall Green Line Communication and Engagement strategy, contractor annual work plans and local Communication and Engagement plans and event plans; and
- Engagement documents collectively satisfied the following:
  - Identification of engagement goals and objectives;
  - Decisions that were not open to input;
  - Engagement strategy;
  - Roles and responsibilities;
  - Stakeholder identification; and
  - Expected timelines.

However, there was no documentation that Engagement Assessments were provided to the ERU or the assigned Engage Lead and there was no documented approval on the plans reviewed, many of which were in “Draft” format. Staff advised that the approval process for Green Line engagement was largely informal through emails or in person at meetings and that late changes to project decision-making parameters often made finalizing plans difficult. In addition, as noted above in section 3.1, engagement plans did not include an engagement budget, with the exception of external consultant costs included in contractor annual work plans.

### **3.3 Telling the Story and Raising Awareness (Steps 3 and 4)**

We assessed whether engagement opportunities were made available and effectively communicated to Calgarians and stakeholders on a timely basis through review of event documentation, such as event communications posted on the Engage website, plans, and story boards.

We noted that key engagement processes to tell the story and raise awareness were aligned with the criteria identified in the Engage Framework and Tools:

- Communication of engagement events identified the purpose of engagement and how public input would be used, which was consistent with planned engagement in strategy and plan documents; and
- Engagement reached out to the Chinese community and various open houses and pop-up events were held at public locations, included grocery stores and schools, to increase engagement of stakeholders with lower participation.

However, we were unable to conclude whether events were communicated in a timely manner. Three events in our sample prior to May 2016 could not be tested since staff advised that archives of web postings were not available. Although three events were posted on a

timely basis, one event in our sample (held subsequent to this period) was not posted on the Engage Portal.

### **3.4 Connecting with Stakeholders (Step 5)**

We assessed whether engagement events were carried out in a consistent manner with the Engage Framework and Tools through review of event communications, plans and boards, and ERU record of events held. We also assessed the effectiveness of processes related to two of the multiple channels available for Calgarians and stakeholders to be kept informed on Green Line LRT progress and engagement.

The engagement process for connecting with stakeholders was aligned with the criteria identified in the Engage Framework and Tools:

- Engagement events were held during “citizen-preferred” timeframes;
- Engagement included both in-person and on-line opportunities;
- Engagement activities performed were consistent with the purpose of engagement identified in strategy and plan documents; and
- Engagement activities were executed as planned, although changes to engagement plans were generally not formally documented.

Online engagement for two events in early 2016 did not mirror in-person events. However, the third on-line event was aligned to the in-person event. Staff advised that an integrated approach to online engagement was put in place after Q2 2016 when ERU staff were embedded into the Green Line team.

We reviewed the process to respond to enquiries to the general Green Line email. Staff regularly monitor the inbox and respond to emails or forward to individual team members or a subject matter expert to provide a response. Although 98% of emails received in the audit period under review were check-marked as responded to, we were unable to assess response timeliness since response records were not maintained.

Stakeholders can request to be added to an e-mail distribution list to receive Green Line updates by including the request on feedback forms submitted at in-person events or by submitting a request on-line. We were unable to verify that stakeholders who made a request at in-person events were added to the distribution list since feedback forms that included personally identifiable information, were destroyed, as per records management practices. However, we observed the effective operation of the on-line tool and verified that requests submitted on-line were added to the e-mail distribution list.

### **3.5 Reporting Back (Step 6)**

We assessed whether public input was appropriately incorporated into coding sheets to theme the input, and What We Heard (WWH) reports, and considered in Green Line decision making. We also assessed whether What We Did (WWD) reports included how public input was used or not used. Generally, the reporting back process and use of public input in Green Line decision making was aligned with criteria identified in the Engage Framework and Tools. However reporting back could be improved by publishing WWD or equivalent reports after completion of significant milestones to support confidence in the engagement process.

We reviewed available input documentation, coding sheets to theme public input, and WWH reports to assess whether the input received at in-person and on-line events was accurately

incorporated into coding sheets, categorized into themes and appropriately reflected in WWH reports.

Stakeholders can provide input on feedback forms gathered at in-person events. Experienced CSC staff transcribe the feedback verbatim. Although the design of the process is adequate, we could not test whether input at the four in-person events was accurately transcribed since feedback forms were transcribed and subsequently destroyed, as noted above in section 3.4. WWH reports for the three open house events in the sample were balanced and aligned to themes identified in coding sheets. However, a coding sheet was not available for the March 2016 Station Area Workshop event.

Feedback from on-line events is downloaded directly from website archives. The WWH report for the on-line event in May of 2017 was balanced and aligned with public input. We were unable to assess the WWH reports for the two on-line events in April of 2016 since coding sheets were not available. Staff advised that an integrated approach to online engagement was put in place after Q2 2016 when ERU staff were embedded into the Green Line team.

We reviewed four decisions and noted that the use of public input in those decisions was consistent with the engagement strategy and WWH reports. We noted that TOD were developed through a collaborative engagement process that included multi-day design workshops, or “charrettes” that brought together Calgarians and technical subject matter experts for effective decision making.

WWD or equivalent interim reports, were not published to share how input was or was not used by the project team in ongoing Green Line decisions. The Engage Framework and Tools identifies the WWD report as a required document to ensure engagement transparency but does not provide standards or guidance on when to issue periodic WWD or equivalent interim reports on longer and more complex projects such as the Green Line.

A draft WWD report was prepared for the South Hill recommended TOD location. Staff advised that this report was not published due to the deferral of land use policy recommendations to Council, although a draft Station Area Plan for South Hill had been published. We noted that the draft WWD report clearly explained the link between draft policy recommendations and input received, although it did not identify constraints or what input was not used and why.

We recommended that the ERU update the Engage Framework and Tools to provide standards and guidance on when WWD or equivalent interim reports should be published on longer and more complex projects (Recommendation 5). We also recommended that until guidance from the Engage Framework and Tools is updated, the Green Line Project Manager publish interim reports to explain how public input was or was not used to influence decision making, annually or after the completion of significant project milestones (Recommendation 6).

### **3.6 Evaluation (Step 6)**

We assessed whether there was periodic evaluation of public engagement processes and outcomes through review of evaluations performed and interviews with Green Line staff.

We noted that feedback is generally gathered at in-person engagement events and through on-line engagement. Staff advised that formal debriefs and event specific evaluations were performed for more complex events. In addition, an annual Green Line lessons learned meeting was held, which included an engagement process component.

Formal evaluations of Green Line public engagement processes and outcomes have not been performed since November 2015. Without periodic formal evaluations of engagement processes and outcomes the Green Line team may not be able to demonstrate accountability to Calgarians and identify lessons learned opportunities that can be applied to future engagement. Although the Engage Framework and Tools identifies evaluation of both the engagement process and outcomes as a fundamental component of good engagement, there are no standards and guidance on what should be reviewed or guidance on interim lessons learned for longer or more complex projects.

Also, as noted above under sections 3.2, 3.3, 3.4 and 3.5, we were to unable to assess the effectiveness of some engagement activities due to the informal nature of processes, including record retention. We recommended that CSC provide standards and guidance on the evaluation of the public engagement process and outcomes, including interim lessons learned for longer and more complex projects, and record retention requirements for key reference documents to support formal evaluations (Recommendation 3).

We also recommended that the Green Line Project Manager establish processes to ensure that formal evaluations of public engagement processes and outcomes are prepared after completion of significant Green Line engagement milestones, including confirmation and maintenance of key reference documents to support formal engagement evaluations (Recommendation 4).

## 4.0 Observations and Recommendations

### 4.1 Engagement Cost Tracking and Monitoring

The Green Line project budget and cost reporting process does not provide clear visibility into the total budgeted or actual cost of communication and engagement. Total actual cost of communication and engagement could not be confirmed as not all resource costs are tracked, and complete budgets were not included in engagement plans. Green Line communication and engagement actual costs were approximately \$2.6 M for the three years ended December 31, 2016. Actual costs were based on activity code tracking and included consultant fees, direct costs for venues and events, but excluded regular ERU staff hours.

The Engage Policy guiding principles of Accountability and Commitment include stewardship and identification of the appropriate funding and resources for engagement processes. The Engage Framework and Tools identifies that a budget should include a breakdown of Engage staff hours and engagement hard-costs required to plan, implement, facilitate and close-out engagement. Without clear visibility into the communication and engagement budget and actual costs, the total cost of communication and engagement is difficult to determine, which could result in ineffective resource allocation and an inability to assess engagement cost effectiveness.

Engagement plans reviewed did not include an engagement budget with the exception of the 2016 and 2017 contractor annual work plans which included an engagement budget for external resources. Engagement plans reviewed did not include a budget for internal engagement staff.

Green Line project cost reports were not inclusive of all communication and engagement costs due to the following:

- Since October 2016, project cost reports included a breakdown of external consulting costs to separately identify the communication and engagement cost component. However, this breakdown applied to project-wide engagement costs and did not include engagement costs specific to the Southeast, North, City Centre or Beltline segments of the Green Line project.
- CSC recovered engagement costs from TI quarterly. In 2016 and 2017, the recovery was based on a fixed annual CSC communication staff charge of approximately \$516K (\$129K per quarter), which had not been updated since January, 2016. We noted that communication staff hours were tracked monthly starting in March 2016.
- Costs were allocated to the Green Line project based on the percentage of time spent by CSC staff on the Green Line project. However, the allocation did not include all ERU staff costs since ERU staff hours are not being tracked or charged to the Green Line project except for overtime.

#### Recommendation 1

The Green Line Project Manager include a communications and engagement budget in the approved annual engagement plans, based on cost estimates supported by activity work plans, and establish processes to support regular tracking, reporting, and review of all communication and engagement costs and forecasts.

## Management Response

Agreed.

Action Plan	Responsibility
<p>Green Line Project Director to include a more comprehensive communication and engagement budget that is based on the following:</p> <ul style="list-style-type: none"> <li>• Inclusion of all direct costs associated for communication and engagement activities and based on the approved annual engagement plans. Costs to include but not limited to consulting fees, event costs, promotions and advertising, and communications and engage resource staff time.</li> <li>• Approved communication and engagement budgets to be assigned to the previously identified activity code within the cost breakdown structure.</li> <li>• Project analysts to meet with the communication and engagement project leads monthly to review expenditures to date, forecasts, and scope changes.</li> </ul> <p>CSC to provide cost estimates and activity work plans at the project level including forecasts of expenditure. This would include:</p> <ul style="list-style-type: none"> <li>• Annual engagement plan including the development of service level agreements in order to identify staff time.</li> <li>• Work plans outlining anticipated activities and linked to the projects key milestones.</li> <li>• As part of regular cycle of work, document work to be completed with forecasts of cost.</li> <li>• Track costs accordingly and ensure they are reported back against forecasts.</li> <li>• Identify scope changes and follow change management process.</li> </ul>	<p><u>Lead</u>: Project Director</p> <p><u>Support</u>: Manager Engagement &amp; Manager, Project Controls</p> <p><u>Commitment Date</u>: April 2, 2018</p>

## Recommendation 2

The Director, Customer Service & Communication establish processes to ensure that communication and engagement staff costs can be attributed to individual projects, including the Green Line, and that cost estimates are kept up-to-date or reassessed at least annually.



### Management Response

Agreed.

Action Plan	Responsibility
This recommendation will be satisfied through the CSC-wide implementation of project-level time tracking and client priority setting & tracking. Estimates to be included in project planning, reporting and close-out phases.	<u>Lead</u> : Director, CSC  <u>Support</u> : Manager, Engagement & Manager, Business Operations  <u>Commitment Date</u> : August 1, 2018

## **4.2 Evaluation of Engagement Process and Outcomes**

Formal evaluations of the overall Green Line public engagement processes and outcomes have not been performed since November 2015, although annual Green Line lessons learned meetings are held that include an engagement process component and evaluations are performed at the individual event level. The Engage Policy guiding principles include Accountability and Responsiveness to demonstrate that the results and outcomes of engagement processes are consistent with approved plans and that feedback is collected and delivered to stakeholders in order to share input on both engagement processes and outcomes. The Engage Framework and Tools identifies evaluation of both the engagement process and outcomes as a fundamental component of good engagement in order to document lessons learned that can be applied to future projects. Where there is no evaluation after completion of significant engagement milestones, there is a risk of inadequate assessment of engagement strategy effectiveness and a risk that the Green Line project team may not identify lessons learned and opportunities for continuous improvement that can be applied to future Green Line engagement.

No formal overall evaluation of the engagement process and outcomes has been performed since the Phase 1 Green Line Southeast Transitway Public Engagement Process Report prepared for The City in November 2015 by a consultant. This report documented how the public and key stakeholders had been involved in the design work done in the Southeast between January and October, 2015, including the approach used to assess the public engagement process.

One of steps in the Engage Framework and Tools is to perform a project close-out and lessons learned. However, there are no standards and guidance on what should be reviewed or guidance on interim lessons learned for longer or more complex projects.

Although engagement plans and activities tested in fieldwork generally met engagement criteria identified in the Engage Policy and the Engage Framework and Tools, we were unable to provide assurance that all engagement plans and activities in our sample met the criteria due to a lack of formal engagement documentation. Adequate documentation should be maintained to perform effective evaluations of engagement processes and outcomes and to support the principles of accountability and transparency.

### Recommendation 3

The Manager, Engagement update the Engage, Framework and Tools to provide standards and guidance on the evaluation of the public engagement process and outcomes, including interim lessons learned for longer and more complex projects, and record retention requirements for key reference documents to support formal evaluations.

### Management Response

Agreed.

Action Plan	Responsibility
<p>Commitments currently outlined in the Engage Policy, Framework and Tools will be supplemented by process and governance to ensure more consistent evaluation at predictable intervals.</p> <p>Following this, plans to update the Engage Policy in this regard will be included in the yet-to-be-determined update to the Engagement Policy.</p> <p>Further, CSC to examine its compliance with record retention requirements and ensure articulated processes are followed.</p>	<p><u>Lead:</u> Manager, Engagement</p> <p><u>Commitment Date:</u></p> <ul style="list-style-type: none"><li>• July 2, 2018 to implement process for more regular intervals of evaluation.</li><li>• December 31, 2018 for inclusion in the plan to update the Engagement Policy in 2019.</li></ul>

### Recommendation 4

The Green Line Project Manager establish processes to ensure that formal evaluations of public engagement processes and outcomes are prepared after completion of significant Green Line engagement milestones to inform the next phase of planning. Processes should include confirmation and maintenance of key reference documents to support formal evaluations.

## Management Response

Agreed.

Action Plan	Responsibility
<p>Project Director to identify the key project milestones and the associated public engagement events that require formal evaluation. The process of evaluations will include post public engagement reviews including minutes, summary report, and lessons learned to be used to inform the next phase.</p> <p>CSC to ensure that evaluations at predictable intervals are made available to the Green Line Project Director to ensure that recommendations can be implemented or addressed.</p>	<p><u>Lead</u>: Project Director</p> <p><u>Support</u>: Manager, Engagement</p> <p><u>Commitment Date</u>: February 1, 2018</p>

### **4.3 Reporting Back**

WWD reports or equivalent interim reports were not published to share how citizen and stakeholder input was or was not used by the project team in ongoing Green Line decisions. One of the guiding principles in the Engage Policy is Transparency, which requires The City to communicate to stakeholders how input was considered, or why input was not used, in decision making. The Engage Framework and Tools identifies the WWD report as a required document. Without WWD or equivalent interim reports, Calgarians and other stakeholders may lose confidence in the engagement process, which could negatively impact the success of the Green Line project.

Although the WWD report is a required document, there are no standards or guidance on when to issue WWD or equivalent interim reports on longer and more complex projects such as the Green Line. Green Line staff utilized in-person events to present constraints and allow participants to see how their input was used or not used. Although information was shared at these in-person events, the information may still not fully address how input results were used or not used in station alignment, transit infrastructure, connections to stations, and TOD study area results presented to Council, particularly if those Calgarians and other stakeholders have not been actively participating throughout the engagement process.

Some segments of the Green Line project, particularly the Beltline, evolved rapidly with potential options being added at short notice. After in-person engagement on three Beltline options in September 2016, Council voted on October 4, 2016 to continue to explore a fourth option that had been previously removed from consideration. Additional on-line engagement took place from October 4 to 18, 2016 on the four options. The WWH report combined input on the three options in September and input on the four options in October without providing additional explanation to help users understand how the engagement process evolved. A WWD report or equivalent report, may have provided more clarity on how the input on the three options leading up to the presentation to Council on October 4, 2016, and subsequent engagement was or was not used.

#### Recommendation 5

The Manager, Engagement update the Engage Framework and Tools to provide standards and guidance on issuing What We Did reports or equivalent interim reports on longer and more complex projects, to communicate how The City has considered and used public input in the engagement process.

#### Management Response

Agreed.

Action Plan	Responsibility
<p>CSC will make adjustments to the Engage Policy, Framework and Tools to ensure that What We Did and interim reports are completed to better articulate how The City has used public input in the engagement process.</p> <p>Following this, plans to update the Engage Policy in this regard will be included in the yet-to-be-determined update to the Engagement Policy.</p>	<p><u>Lead:</u> Manager, Engagement</p> <p><u>Support:</u></p> <p><u>Commitment Date:</u></p> <ul style="list-style-type: none"><li>• Process, framework and tool improvements- May 31, 2018</li><li>• December 31, 2018 for inclusion in the plan to update the Engagement Policy in 2019.</li></ul>

#### Recommendation 6

Until guidance from the Engage Framework and Tools is updated, the Green Line Project Manager publish interim reports on how The City considered and used public input in the engagement process, annually or after the completion of significant Green Line project milestones.

#### Management Response

Agreed.

Action Plan	Responsibility
<p>At identified key project milestones, the Project Director is to review the public engagement reports prepared by the engagement team that identifies how public input was considered. Reports will be authored by the engagement lead, reviewed and signed off by the Project Director and published on the Green Line website/engage portal.</p>	<p><u>Lead:</u> Project Director</p> <p><u>Support:</u> Manager, Engagement</p> <p><u>Commitment Date:</u> April 2, 2018</p>