

2101-533

PART 1

EXTERNAL RESEARCH

(SPROULE-JONES, MARK)

1973

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Affaires urbaines

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**FILE
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SUBJECT
SUJET**

2101-533

VOLUME I

MARK H. SPROULE-JONES



Ministry of State Ministère d'État

Urban Affairs Affaires urbaines
Canada Canada

RESEARCH PROPOSAL PROPOSITION DE RECHERCHE

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CR file no:
Dossier des A.C. n°:
2101-S33

Title: Titre: <p>A PROPOSAL FOR A WORKSHOP IN COMMUNITY POLICIES IN VICTORIA//TO INSTITUTE A WORKSHOP IN COMMUNITY POLICIES.//INPUT INTO THE EVALUATION DESIGN OF THE CMHC NEIGHBOURHOOD IMPROVEMENT PROGRAMME (NIP).//TO ELABORATE AN EVALUATION APPROACH FOR NIP.</p>						
Principal investigator's name and address Nom et adresse du chercheur principal <p>SPROULE-JONES, M., (DR.) (DEPARTMENT OF POLITICAL SCIENCE, UNIVERSITY OF VICTORIA, P.O. BOX 1700, VICTORIA, BRITISH COLUMBIA, (604-477-6911)</p>					Total budget: Budget total: <p>3050</p>	
Date received: Date de réception:		Current status of project: État actuel du projet: <p>COMPLET</p>		Type of project: Genre de projet: <p>BRANCH</p>		
		Theme: Sujet: <p>INNER CITY</p>		Program activity structure: Structure programme — activités: <p>RESEARCH</p>		
Project officer Directeur du projet <p>STEWART, A.</p>				Theme coordinator: Coordonnateur du sujet: <p>MCLEMORE, R.</p>		
	Coordinator Coordonnateur	Core Group Groupe principal	Management Committee Comité de direction	Executive Committee Comité exécutif	Treasury Board Conseil du trésor	Contract Executed Contrat signé
Dates:	24 AUG 73	29 AUG 73				29 AUG 73
Initials: Initiales:						

Splendide Jones

CR, consultants file

2101-S33

December 27, 1973

10:00 a.m.	-	Dr. Fred Schindeler, Theme Coordinator, Urban Government Systems
10:30	-	Mr. Dale Taylor, Urban Government Systems
11:00	-	Dr. Audrey Doerr, Policy Branch
11:30	-	Mr. Jean Filion, External Research
12:00	-	Mr. Gary Zatko, Central Mortgage and Housing Corporation
Lunch	-	Being Arranged
2:30 p.m.	-	Dr. M. Pergler, Theme Coordinator, Values and Systems
Dinner	-	Dr. Fred Schindeler



UNIVERSITY OF SOUTHERN CALIFORNIA

University Park

Los Angeles, California 90007

Center for Urban Affairs
Bruce Hall 409

December 5, 1973

Mr. L. O. Gertler,
Director General
Research Branch
Ministry of State for Urban Affairs
Ottawa K1A OP6
Canada

Dear Mr. Gertler:

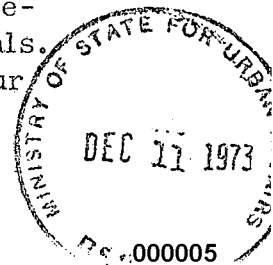
Re: Professor Mark Sproule-Jones

I have known Mark Sproule-Jones since he was a graduate student at Indiana University. Since that time I have followed his work closely and we have assisted one another with research and writing problems.

Mark is an extremely competent social scientist. He has produced excellent research which combines rigorous theoretical development and empirical analysis. While Mark's disciplinary background and published research are primarily political science, he has also done considerable work in economics, focusing on urban regional economics and applications of microeconomics to public sector problems. This work has facilitated his interaction with economists and other social scientists on interdisciplinary work to a much greater degree than is common among university scholars. His integration of understanding of the economics of urbanization with policy analysis of urban governance problems would also appear to fit your focus on public policy issues affecting the growth of urban areas in Canada.

In addition to being an exceptionally competent scholar, Mark Sproule-Jones is an easy person to work with on a day to day basis. He is not hesitant to argue a point, but can do so without generating antagonism or forgetting that research is a cooperative enterprise. He is an able speaker and can make valuable contributions to group efforts, especially where technical research must be explained to public officials. Overall I expect Mark would make a significant contribution to your

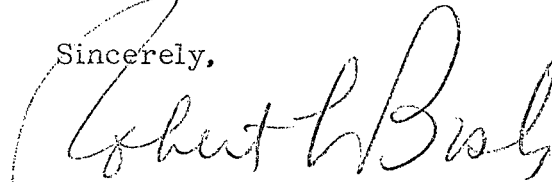
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Mr. L. O. Gertler
Page Two
December 5, 1973

research effort. Persons with both his competence and personableness are not as common as we would all prefer.

Sincerely,

A handwritten signature in cursive script, appearing to read "Robert L. Bish". The signature is written in dark ink and is positioned to the right of the word "Sincerely,".

Robert L. Bish
Associate Professor
Economics and Urban Affairs

RLB:dr

INDIANA UNIVERSITY

Department of Political Science

WOODBURN HALL

BLOOMINGTON, INDIANA 47401

November 28, 1973

TEL. NO. 812— 337-9358

Mr. L. O. Gertler, Director General
Research Branch
Minister of State for Urban Affairs
Ottawa KIA 0P6
Canada

Dear Mr. Gertler:

Mark Sproule-Jones completed his graduate work in political science at Indiana University after taking an undergraduate degree at the London School of Economics and Political Science. We had an arrangement with some members of the faculty at L.S.E. to take an occasional outstanding student interested in doing comparative work on American institutions.

I served as Sproule-Jones dissertation advisor. He did an excellent study which he entitled, "Toward a theory of Public Employment." It involved the application of economic reasoning to public sector, non-market decision making. This work was started in a seminar on public enterprise and public enterprise systems which I jointly offered with Professor Herbert Kiesling who is an economist on our faculty. That seminar included substantial reference to urban problems. Robert Bish's The Public Economy of Metropolitan Areas was started in that seminar. Sproule-Jones was one of the two or three best contributors to the seminar.

Both Sproule-Jones' writings and his course outlines indicate a mastery of analytical and methodological skills which suggest that he is becoming a scholar of considerable merit. His published papers are of very high quality. He has done important empirical work with students at Victoria. In my judgment he is now ready to do a major work on problems of urban government in Canada.

This background suggests to me that you would have a difficult time finding a better person to participate on an interdisciplinary team concerned with problems of urban affairs. He is a most competent political scientist and is familiar with the use of economic reasoning to analyze public choice problems. He is also familiar with work in sociology and urban planning.

I have a very high level of confidence in Mark Sproule-Jones' ability. He has my very strongest recommendation.

Sincerely yours,



Vincent Ostrom

VO/mtb

2101-833

THE UNIVERSITY OF BRITISH COLUMBIA

VANCOUVER 8, CANADA

WESTWATER RESEARCH CENTRE

November 23, 1973

Mr. L.O. Gertler, Director General
Research Branch
Ministry of State for Urban Affairs
Ottawa K1A 0P6

Dear Mr. Gertler:

I am pleased to be able to write this assessment of my colleague Mr. Mark Henry Sproule-Jones because I can be so positive about him. My only regret is that I apparently am helping to remove from our ranks one of the very best young men we have.

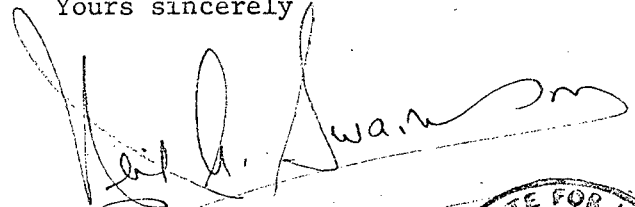
Mr. Sproule-Jones joined our staff at the University of Victoria five years ago, and since that time has fulfilled our expectations in every way. He finished his dissertation expeditiously and since that time has conducted, completed and reported on (via publication) more research than anyone else in the Victoria department. He is a good teacher *as well*.

As you will know from his record, he is well trained. Vincent Ostrom at Indiana, with whom he wrote his doctoral dissertation, is one of the ablest academicians whom I know. Ostrom, a little over a decade ago, was a prime mover in an outstanding effort to apply an economic or market model to the provision of governmental services in metropolitan Los Angeles, and has developed in a small group of very talented political economists - of whom Sproule-Jones is one - precisely the capabilities for which you appear to be looking.

Mr. Sproule-Jones, to repeat, is able, well-trained, hard-working and efficient. He is also a kindly civilized human being.

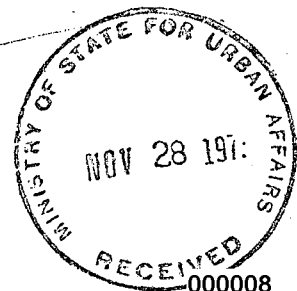
My assessment of him, in short, is enthusiastically favourable. I only hope that if you take him, someday we get him back.

Yours sincerely



Neil A. Swainson
(on leave)

073403





Government
of Canada

Gouvernement
du Canada

MEMORANDUM

NOTE DE SERVICE

TO
À

Ron Crowley

FROM
DE

Fred Schindeler

SECURITY CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE
YOUR FILE - V/RÉFÉRENCE
DATE November 20, 1973.

SUBJECT
OBJET

Re: Mark Sproule-Jones

Thank you for your comments on Professor Sproule-Jones. We will always have difficulty getting any to leave academia to work on projects where strict confidentiality is required. On the other hand, it should be possible for someone to gain tremendous experience in the policy formation process through work on the NIP Evaluation, even though this work would not issue an immediate publication.

There are two other possible candidates that have come to my attention recently and I should have a good idea of their availability in the next day or two. Either one of these people would be superb appointments. I will keep you in touch.

In the meantime, it probably would be very useful for you to have another conversation with Mark Sproule-Jones if you have the time. With your background in the Ministry you could probably do a better "selling job" than I could. As soon as we have received the letters of recommendation I will arrange for him to visit the Ministry.

Fred Schindeler

C.R.



UNIVERSITY OF VICTORIA
VICTORIA, BRITISH COLUMBIA

Department of Political Science

November 16, 1973

Dr. F.A. Schindeler,
Ministry of State for Urban Affairs,
355 River Road,
Ottawa, Ontario K1A 0P6

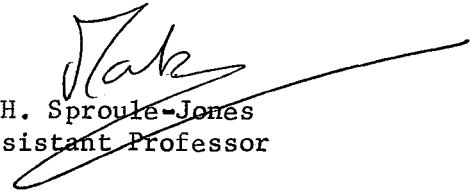
Dear Fred:

I am writing to you about the status of the proposal for a "Workshop in Community Policies", that Dennis Grimmer, Gerry Walter and I have discussed with you and Harry Swain on previous occasions.

The workshop steering committee will be meeting with interested participants on December 11 in order to formalize plans and agenda for the workshop. I will, therefore, be writing to you after that date regarding possible Ministry support for the project.

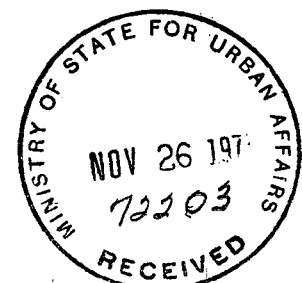
Best wishes,

Yours sincerely,


M.H. Sproule-Jones
Assistant Professor

MSJ/hm

cc: G.R. Walter
D.M. Grimmer



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DATE

November 2, 1973

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NO.

N.S.U.A.

78

NAME AND ADDRESS OF PAYEE - NOM ET ADRESSE DU BÉNÉFICIAIRE (51-75)

Dr. Mark Sproules-Jones
Department of Political Science
University of Victoria
P.O. Box 1700
Victoria, B.C.

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OF THE FINANCIAL ADMINISTRATION ACT.

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26 ET CERTIFIÉ EN VERTU DE L'ARTICLE 27 DE LA
LOI SUR L'ADMINISTRATION FINANCIÈRE.

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2101 533

October 29, 1973.

Dr. Mark H. Sproule-Jones,
Department of Political Science,
University of Victoria,
Box 1700,
Victoria, B.C.

Dear Dr. Sproule-Jones:

Thank you very much for your final report on the evaluation of the Neighbourhood Improvement Programme. I appreciate the amount of work which was involved in preparing these proposals, especially in the short time which was available. The Ministry evaluation team is now in the process of drawing together the advice from all the external contracts to produce an overall evaluation design and program for the NIP. I am confident that your report will be a useful contribution to this sti-1 rather large task.

I have received your list of expenses submitted, and forwarded it to financial services for payment. You should be receiving a cheque as requested, as soon as the inevitable bookwork can be done.

Again, thanks for helping us with our thinking on evaluation in general and particularly w-th the various 'political' aspects of a program such as NIP. Best-wishes as the year progresses.

Yours sincerely,

AS

Audrey Stewart

CR 2101-S33

An Evaluation Design for the Impact of the Neighbourhood
Improvement Programme (NIP) on Citizen Participation,
Local Political Institutions, and Intergovernmental and
Interdepartmental Relations.

For The

Ministry of State for Urban Affairs

Investigator

Mark Sproule-Jones
Assistant Professor
Department of Political Science
University of Victoria
P.O. Box 1700
Victoria, B.C.

Contract: 2101-S33
Due Date: 10 October 1973

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Abstract

This is an evaluation design for the Neighbourhood Improvement Programme (NIP) with particular reference to the impact of the Programme on: (i) Citizen Participation; (ii) Local Political Institutions; and (iii) Intergovernmental and Interdepartmental Relationships.

The paper presents in some detail the two essential components of an evaluation design, namely (i) a theoretical line of reasoning for suggesting certain hypothesized relationships between NIP and the three areas of concern that are the responsibility of the writer; and (ii) a series of assessment strategies for measuring and examining the hypothetical predictions suggested by the theory.

The central questions underlying the design are: (i) what are the theoretical and methodological problems associated with evaluating the performance and consequences of governmental activities in urban areas in general, and of NIP in particular?; and (ii) how can the performance and consequences of NIP be effectively monitored in order to yield on-going signals to decision-makers about the state of the Programme?

The Nature of Policy Evaluation

All decision-making, whether in the political world or elsewhere, is predicated upon a chain of reasoning that predicts that a given action will lead to one or more of a number of specified consequences. The public official in a housing agency, for example, may predict on the basis of a chain of reasoning, that stimulating an increase in the availability of mortgage funds will lead to an increase in the number of housing starts. Similarly, a social scientist will undertake research activities to see whether his reasoning about the consequences of past public policies is a reliable description of the empirical world. Both public official and social scientist are interested in seeing whether their hypothesized predictions about the empirical world are accurate. Both are also interested in seeing whether their hypotheses and chain of reasoning offer reliable guides to future activities. In this sense, both are operating upon some theory of social events and their consequences.

However, the public decision-maker is operating under a double handicap. In the first place, like the social scientist, his guiding theory or chain of reasoning may only be a partially reliable guide to the specification of accurate consequences. Secondly, and unlike the social scientist, he may not be in a position to assess whether his own activities lead to predicted consequences, or indeed, whether his activities have led to an extra range of unpredicted consequences in the empirical world. The two essential requirements for a public decision-maker are, therefore, an articulated theory about the consequences of his activities, and an evaluative capability to assess when and how his theory must be revised in the light of new information about the predictive reliability of this theory.

The purpose of this design is hence twofold. First, it offers the rudiments of a theory about the likely consequences of the Neighbourhood Improvement Programme upon the three areas of concern of citizen participation, local political institutions, and intergovernmental and interdepartmental relations. Secondly, it offers the major elements of an evaluative capability to assess whether the hypothesized consequences of NIP on the three areas of concern are, in fact, borne out by actual experience. By implication, the Ministry of State for Urban Affairs Background Paper, "A Preliminary Proposal for MSUA Evaluation of NIP Based Upon Cooperation with CMHC", is subject to criticism both theoretically and in terms of assessment procedures throughout the paper.

A Theory for Predicting Social Events in Urban Areas

A line of reasoning that is particularly appropriate for predicting the consequences and impacts of the Neighbourhood Improvement Programme on citizen participation, local political institutions and intergovernmental and interdepartmental relations is that of public choice theory. In this section of the report, some of the rudiments of the theory and its application in urban areas will be sketched (for general overviews, see Sproule-Jones 1972; V. and E. Ostrom 1971; for overviews of its application to urban areas, see Bish 1971; E. Ostrom 1972; and Bish and V. Ostrom 1973). The intent is to set out the major assumptions and conclusions which can then be used in the following section, to reason about the probable consequences of NIP upon the three areas of concern.

The major assumptions and conclusions of public choice theory as applied to the urban scene in particular, are as follows: First, individuals

are taken as the basic unit of analysis, and are assumed to make decisions consistent with their own differing preferences and with differing levels of information. Secondly, it is assumed that certain types of goods and services are most efficiently allocated through private market institutional arrangements. Thirdly, certain other types of goods and services, specifically those with extensive elements of jointness in supply and/or consumption (Head 1962) are assumed to be most efficiently provided through collective non-market institutional arrangements. Fourthly, it is assumed that the preferences of the producers of collective goods and services may often diverge from the preferences of citizen-consumers of these goods and services, not least because of the incentives on citizens to conceal their preferences for "non-packageable" goods and services in the hope of consuming but not paying for the goods (Olson 1965).

These assumptions are used by public choice theorists to generate a set of conclusions about urban social events which often differ widely from the conclusions of conventional public administration and public finance. First, public choice theorists do not view the existence of a large number of small units of government within an urban area as being necessarily "inefficient". They focus instead upon the scale economies of each public good and service, and assume that different public goods and services will display different scale economies, diseconomies or no economies at all. Empirical evidence tends to substantiate this diversity in the scale economies of different public goods and services (eg. Hirsch 1968; Gupta and Hutton 1968; Evans, 1971; Dawson 1972; Shapiro 1973).

Secondly, public choice theorists do not view any overlapping of functions between municipal governments, special districts, private service-oriented voluntary agencies, provincial and federal levels of government

as being necessarily wasteful. Instead, the existence of a variety of scales of government with an impact on urban citizens may facilitate the performance of differing aspects of certain public services. For example, the neighbourhood policing functions of police services may be best performed by a municipal scale of government, while metropolitan wide, provincial wide, nation wide and even international wide aspects of crime control may necessitate recourse to wider and more inclusive scales of government as the scale of spillovers increases. Public choice theorists prefer to argue that any conclusions about waste or inefficiencies in administrative solutions to the provision of urban public goods and services, must rest on an explicit comparison of the ratio of benefits to costs (including social costs) of multiple as opposed to single agency provision of each public good and service. For certain public goods and services, interagency agreements, bargaining and contracting can yield greater net returns than a single hierarchical administrative solution. Empirical evidence tends to support this conclusion (E. Ostrom et al 1973; E. Ostrom and Parks 1973; Ahlbrant 1973; Warren 1966).

Thirdly, public choice theorists argue that the diverse preferences of citizens for different types, levels and qualities of different public goods and services are better indicated in small political units and in political units undertaking one or a few public functions. Conversely, large multi-functional governments are less able to ascertain and aggregate citizen demands. Empirical evidence shows that stronger incentives exist for citizens to communicate their preferences in small units of government (through voting, lobbying, complaining to public officials, etc.) and for public services of direct and measurable benefit to themselves, than for

policies which may provide small benefits to large numbers of citizens over a wide area (Sproule-Jones and Hart 1973; Sproule-Jones 1974a; Sproule-Jones and Van Klaveren 1970). Moreover, empirical evidence confirms that significant numbers of citizens will migrate among small units of government within a metropolitan area in order to find a mix of public and private goods best approximating their preferences for such goods (Oates 1970; Orbell and Uno 1972).

In sum, public choice theory finds that the provision of urban public goods and services through a variety of fragmented and often overlapping scales and units of government (including neighbourhood governments) may be a superior set of institutional arrangements from the point of view of the residents of a city, than the single unit or two-tiered units of metropolitan wide government so admired by many public officials and students of public administration. The thrust of the theory is to argue that any set of urban public policies are only as good as their capability to meet the diverse preferences of citizens for public goods and services. In this light, public choice theory is able to suggest that the provision of urban public goods and services, as impacted by a programme such as NIP, will lead to a series of likely consequences or citizen participation, local political institutions, and interdepartmental and intergovernmental relations. It is to these likely consequences that the paper now turns.

The Application of Public Choice Theory to the Impacts of the Neighbourhood Improvement Programme on Citizen Participation, Local Political Institutions, and Intergovernmental and Interdepartmental Relations.

(a) Citizen Participation

A system of federally-subsidized local public facilities and services in urban neighbourhoods as envisaged by the Neighbourhood Improvement Programme is likely to alter the rates or extent of participation by neighbourhood residents both within their community and within the wider municipality. This is because citizens will participate in political activities to the degree to which they expect the potential benefits from participating to outweigh the potential costs of participation. (Sproule-Jones and Hart, 1973). NIP is likely to alter their appraisal of these costs and benefits of participation. The full logic underlying this conclusion is presented below.

What is critical to note at this juncture, however, is that the particular mode or way in which citizens participate in different neighbourhoods will have a differential impact on the costs and benefits of participation. If neighbourhood groups are able to enter into direct quid pro quo relationships with municipalities for the explicit provision of increased levels and/or quality of subsidized public services (formalized in contractual terms), then neighbourhood residents are likely to feel direct benefits resulting from their involvement with the Programme, and their interest in neighbourhood community councils is likely to be sustained after any initial euphoric period of time. If, however, neighbourhood groups or councils are not given the legal authority to act as small-scale "consumer cooperatives" obtaining direct and measurable benefits from the municipal "producers" of public services, and if they have to rely on the good offices of local politicians to accept their advice and recommendations,

then the benefits to them from NIP will become potentially subject to the wider interests of these public officials, and, in turn, to "other" influences on the behaviour of local politicians. Evidence from both the United States and Canada suggests that, in the long run, the advice and recommendations of community councils become subordinate to these wider interests of public officials, and that the frustration and alienation felt in the community councils eventually results in lower levels of citizen participation. (May 1971; Austin 1972; Axworthy 1972). A critical variable in any evaluative assessment of NIP is likely, therefore, to be the authority relationships between the participating mode of community councils and the local municipality itself; assessment strategies in this regard are suggested in a subsequent section of this paper.

The logic that suggests that NIP will likely alter the rates of citizen participation of neighbourhood residents in community councils and also in municipal and public affairs generally is as follows. Citizens will vary their rate of participation (through voting, contacting public officials, attending public meetings, reading about and discussing public affairs with their neighbours, etc.) to the degree to which their expected benefits from so doing will exceed their expected costs. This will hold provided they possess sufficient resources to indulge in various kinds of political activity; information, finances, and, of course, enfranchisement are critical resources for the citizen that can affect their participating activities. The types of benefits and costs that enter any individual citizen's decision to participate are the following:

- (1) Public benefits: The public benefits from participation for an individual are the changes he expects in the types, levels and quality of public services

as a direct result of changes in the rate of his participation. There is little incentive for an individual to participate, other things being equal, if he knows that public services--which are by nature "unpackageable"--will be available anyway. The key to his behaviour will be the extent to which he feels his participation is decisive in producing favourable adjustments in the service levels of public goods; this is why the nature of the authority relationship between a community council and a local municipality is critical. It is possible that if participation rates in the neighbourhood or wider community were very low, the citizen might feel under an obligation or "citizen duty" to participate to prevent the entire "consultative" process from collapsing. Similarly, if participation rates were very low, the decisiveness of any individual's participation may increase, and hence an individual may be induced to participate under these circumstances. However, as a generalization, and unless participation were very low for the neighbourhood or wider community as a whole, an individual will only change the scope of his participation (were this change costless), if he felt the change would be decisive in altering the service levels of the public goods he consumes.

(2) Private Benefits: The second type of benefits from participation are private benefits, which are the benefits from participation to which any individual may lay exclusive claim--they are not "unpackageable". Such benefits might include the social entertainment value of participating with one's neighbours, or any private emolument or status of office in a community council. Other things being equal, the prospect of such private benefits will induce participatory activity on the part of citizens.

(3) Private Costs: Participation is a costly activity for individuals in time and effort. This is particularly the case if participation takes the

form of bargaining and negotiating with public officials. Individuals with high resource levels, particularly in terms of information and leisure time, are best able to cope with such costs. Other things being equal, participation will be restrained by such costs. (The Programme may, of course, when set up, defray some of these costs, eg. through payment of travel costs and other expenses).

(4) Public Costs: Public services to any community are provided at particular tax prices/unit which may or may not reflect accurately the marginal valuation that an individual places on these services. It is likely that each individual citizen bears different rates of public costs for each public service provided in the community. Changes in these rates of public costs will likely induce changes in the scope of an individual's participatory activity. Since the intent of NIP is, among other things, to reduce the net level of public costs for different public services provided to citizens within a neighbourhood, then the Programme may, other things being equal, actually reduce the rates of participation in the neighbourhood. However, it is conceivable that a municipality, were it not obligated by contract to provide increased service levels of public goods demanded by a neighbourhood, would make errors in improving its performance and hence the public costs incurred by neighbourhood residents and increase the participatory activity in the neighbourhood.

In sum, the rate of individual participation is a function of (1) the expected public benefits from participation, (2) the expected private benefits from participation, (3) the expected private costs of participation, (4) the expected public costs of participation, and (5) the resources of the individual. If the increased service levels of the public goods under

the Programme are directly linked by contract to the participation of residents in neighbourhood councils, then participation will probably increase and be sustained in the long run. The Programme will have altered the expected public benefits and expected public costs of participation. If, however, the Programme does nothing to increase the direct and tangible benefits to neighbourhood residents from participating in neighbourhood councils, then participation will probably not be sustained in the long run. In this case, the neighbourhood councils will increasingly become the private preserve of certain middle class individuals within a neighbourhood, that is those individuals who have enough resources to sustain the private costs of participation in order to derive their own private benefits.

(b) Local Political Institutions

The major long run impact of the Neighbourhood Improvement Programme on local political institutions is likely, other things being equal, to be an increase in the scale of municipal bureaucracies. The logic behind this conclusion is presented below (see also Bish and Warren 1972). The major caveat to the conclusion again rests with the mode of citizen participation envisaged under the Programme. If neighbourhood councils are able to maintain an arm's length relationship with municipal institutions through contractual obligations, and operate essentially as independent purchasers of additional public goods and services, they may be able to alter the mix of public goods and services supplied to their neighbourhood in advantageous ways. However, since the subsidies under the Programme will be channelled through existing municipal institutions and since these institutions will, in all probability, be allowed to set the powers of any neighbourhood community council, then the previous conclusion appears likely.

The logic for the conclusion that the major long run impact of NIP on local political institutions is likely to be an increase in the scale of municipal bureaucracies is as follows. Most local governments hold a monopoly position within specified territory as producers of municipal goods and services for their citizens. The only major source of rivalry to local governments comes through private service-oriented voluntary agencies and associations, but this rivalry is usually limited because such private groups lack taxing authority to sustain an optimal level of supply of their services (Olson 1965). While local governments as monopolies are theoretically able to supply a market at lower average cost than two or more producers, they usually lack sufficient incentives (other than the loss of population through migration) for responding to the preferences of their citizens. The major reasons for this absence of incentives are the difficulty of measuring the outputs of public goods, the lack of revenues in relation to production, the limited rivalry from alternative producers of public goods within municipal territory, and the difficulty of elected officials to ascertain and aggregate the diverse preferences of citizens for different service levels of different public goods. As a consequence, municipal bureaucracies tend to substitute production values for consumption values. Performance is evaluated in terms of (absolute or relative) input quantities (such as total expenditures, manpower, or per capita expenditures) or in terms of physical output proxies which say nothing about the quality of service provided (such as miles of street paved, tons of refuse collected, or number of city blocks patrolled). Such production criteria have unknown relationships with citizen preferences, and the information yielded by such criteria do not permit elected officials to select wisely from alternative output and quality levels (Niskanen 1971).

In the absence of a contract between a neighbourhood and the municipality which would, in effect, separate the demand from the supply functions in the provision of each public service (Vincent Ostrom et al 1961), and create specific obligations on municipal bureaucracies to produce detailed information to elected officials and neighbourhood councils to aid them in the selection of the desired service levels for the neighbourhoods, municipal bureaucracies will have no incentive or no way of knowing whether they are responding to neighbourhood citizen-consumer preferences. Neighbourhood residents will have to rely solely on the degree to which local politicians will respond to their recommendations and complaints. This will offer no long run reliable mechanism for the articulation of neighbourhood preferences, as local politicians respond to other priorities including those generated by other members of their electorate or electorates. Moreover, it is likely to skew service levels in favour of the preferences of those citizens with easy access to city hall, usually those middle class citizens with sufficient resources to indulge in high levels of participatory activity.

Without any effective indications of municipal outputs, administrators have no way of determining when the costs of production exceed the value of the services rendered to a neighbourhood. Since most urban public goods are labour intensive, (Baumol, 1967), the size of the municipal bureaucracies is likely to be increased as administrators attempt to increase the service levels of the public goods supplied to NIP areas in response to the subsidy programme. The size of municipal bureaucracies may also be increased as planners are seconded to work with neighbourhood councils. However, in the absence of citizen generated information on output levels, administrators will have no way of determining the contribution of additional personnel to the value of the services provided. Moreover, complaints from neighbourhood

councils will likely bring a response from administrators to increase the number of management personnel in an effort to coordinate and control the "street level" employees. Again, however, there is no way to determine when such increased management costs will exceed the benefits to be derived from adding extra personnel. These tendencies will only be exacerbated to the degree to which administrators may prefer any increased prestige from working in a larger organization, with a larger budget and with larger career ladders (Downs 1967).

In sum, unless information on alternative service levels of urban public goods is generated by research external to any municipality containing a NIP area, or unless such information is generated by the incentives of a contractual relationship between a neighbourhood community council and its municipality, then municipalities (or indeed any other level of government) will have no long run capability to assess the value of their services. In the absence of a sustained level of complaining on behalf of a representative cross section of the residents of NIP areas, then the major long run impact of the Programme on local political institutions is likely to be an increase in the size of municipal bureaucracies.

(c) Interdepartmental and Intergovernmental Relations

The major impact of NIP on interdepartmental and intergovernmental relations is likely to be an increase in the level of conflict between the three levels of government and between departments at the three levels that have a substantial interest in urban matters. The long run viability of NIP will depend on the degree to which the conflict it engenders can be contained within existing institutional arrangements. The rationale for these conclusions is as follows.

A conditional grant, such as that for NIP, is essentially a contract whereby one level of government pays another level of government to perform certain activities. The granting government, representing a different constituency of interests from the government receiving the grant, has decided that a modified output of certain locally produced goods is desirable. In the case of NIP, the Federal Government has decided to pay certain municipalities, approved by their Provincial Governments, to increase their outputs of certain neighbourhood facilities and services. One consequence of conditional grants is clear. They are designed to distort local priorities; they are intended to induce the grantee governments to undertake actions they would not otherwise have undertaken (Carter 1971).

The conflict that is likely to be engendered between governments, and among and between departments at different levels of government, can come about in two ways. First, if CMHC officials view the NIP grants as payments for locally rendered services to meet the preferences of nationwide constituencies (at least as articulated by Federal Cabinet Ministers) for neighbourhood improvements, then they will probably act as aggressive purchasing agents demanding clear standards of performance on behalf of municipalities for designated neighbourhoods. Any such aggressive behaviour will increase the bargaining costs with Provinces (and perhaps particular municipalities) both during the negotiation of the Master Agreements and during any subsequent negotiations. It could also increase any level of conflict with other federal and provincial departments with programmes that have an operative impact in urban areas; such other departments are likely to have their own sets of perceptions on what they view as critical priorities in urban areas and what they fear will be a deleterious distortion of these priorities.

On the other hand, and more likely given the Canadian proclivity for unconditional rather than conditional grants (Sproule-Jones 1974b), if CMHC officials view the NIP grants as a form of federal philanthropy for municipalities, and if Federal and Provincial Cabinet Ministers share this perception, then some strange sorts of bureaucratic behaviour can ensue. One likely consequence is that municipalities can expend a large amount of time and effort in planning, writing and rewriting proposals with little guidance or encouragement from officials that that proposals will be accepted. Another likely consequence is that municipalities with some experience at the "game" of grantsmanship will have a better chance of receiving grants than those which are inexperienced at pursuing and following up the opportunities available under the Programme. A third likely consequence is that capricious shifts in policies under the Programme can occur, and municipalities are left with committed or potentially committed funds and personnel for proposed plans for neighbourhoods. And a fourth likely consequence is that departmental and elected officials at all levels of government, who are not directly involved with the Programme or who have had proposals substantially modified or rejected under the Programme, may bear continuing hostility to NIP on the grounds that the federal treasury is being systematically raided by politically favoured residential interest groups, and by politically favoured municipal departments, municipalities and provinces. All of these consequences will probably occur when CMHC are faced with the difficulties of allocating a fixed sum of money among a large number of claimants without any performance criteria to guide them. All of these consequences will create some ill-will toward the Programme and raise the level of conflict about the value of NIP.

Whether or not the level of conflict can be contained, and NIP made politically viable in the long run, depends on a number of factors. One factor is, obviously, the degree to which it meets the preferences of neighbourhood residents; this, however, begs the question as to whether performance will be monitored in terms of citizen evaluations rather than in terms of meaningless input quantities or physical output proxies (see the previous discussion under local political institutions). Another factor will be the theoretical perceptions brought to bear on the Programme by elected officials particularly at the provincial and federal levels--whether or not they remain satisfied with the on-going rationalizations of the performance of NIP yielded up by CMHC and other departmental officials. And a final factor will be changing nature of governmental goals and priorities as perceived social problems in provinces and the nation change, and as ministers and (perhaps) governments change over time.

In sum, the Neighbourhood Improvement Programme, like any new governmental venture, will provoke some hostility and conflict between levels of government and among different departmental officials at different levels. Some conflict will ensue whether or not officials view NIP as a form of federal philanthropy or as a form of performance contract with particular municipalities in particular provinces. The long run viability of the Programme will depend on whether ministers at provincial and federal levels will continue to perceive that the level of conflict is "worth it" in terms of the apparent benefits of NIP.

Key Variables and Methodological Strategies for Assessing the Impact of NIP on Citizen Participation, Local Political Institutions, and Intergovernmental and Interdepartmental Relations.

(a) The Performance of Facilities and Services under NIP itself

The previous theorising suggested that the performance of NIP itself should be evaluated in different ways, and related to the key variables bearing upon the three "impacted concerns" of citizen participation, local political institutions, and interdepartmental and intergovernmental relations noted below.

1. Citizen Evaluations of Particular "Outputs": Because of a lack of any quid pro quo relationships between producers and consumers of public goods and services, our reasoning suggested that one critical method of ascertaining citizen preferences and satisfactions with such public goods and services was through citizen evaluations of performance. These would, of necessity, have to be yielded through survey data of neighbourhood residents. While such evaluations can be directed at the performance of all local public goods and services as a whole (eg. Rossi 1972; Morans and Rodgers 1972; Eisinger 1973), it makes more theoretical sense to evaluate the performance of particular services across all neighbourhoods. This is because citizens may be expected to have different preferences for different types and service levels of public goods. Previous investigations have been limited to citizen evaluations of neighbourhood policing services undertaken by Elinor Ostrom and associates (for a review, see E. Ostrom et al 1973), and citizen evaluations of local recreation services, local transportation services, and local solid waste collection services undertaken by the Urban Institute (for a review, see Hatry et al 1973). The variables used in the policing studies are presented here as a case study of this method

of measuring performance. (Any MSUA assessment of citizen evaluations of performance may well have to take the form of series of case studies in particular neighbourhoods, until such time as it is revealed that certain common services are provided under the Programme across a number of designated neighbourhoods.) The performance indicators used in the policing studies are: (i) victimization; (ii) willingness to report victimization; (iii) extent of police follow-up; (iv) assistance; (v) promptness of response; (vi) quality of assistance; (vii) stopped as suspected offender; (viii) evaluation of promptness; (ix) evaluation of crime trend; (x) evaluation of potential bribe taking; (xi) evaluation of police-citizen relations; (xii) general evaluation of job being done.

2. Physical Measures of Performance: Public agencies usually rely heavily on physical measures of performance, measures which are assumed to be related in a one-to-one fashion with citizen evaluations of performance. For example, the physical measures of output conventionally used by policing agencies are: (i) crime and clearance rates; (ii) rates of warrant issuance; (iii) calls for service answered per 1000 population; (iv) "density" of patrol provided; (v) extent of follow-up to reported crimes; (vi) number, specialization and levels of education of police officers; and even "input" measures like (vii) full time officers per 1000 population, and (viii) expenditures per capita. The functional relationships between such physical measures and citizen evaluations of performance should be revealed so that public agencies have some valid guide to their own effectiveness without the necessity of more than periodic (and more costly) attempts to measure citizen evaluations. (For the only attempt to yield such relationships, see Parks, 1973).

3. Measures of efficiency: "Input" measures are often considered by public decision-makers to be valid proxies of efficiency. However, such input

measures (like per capita expenditures on a particular public service) should be related to citizen evaluations and physical measures of output in order to describe efficiency in terms which make more theoretical sense, ie. in terms of the ratio of inputs to outputs. Generalizations about the relative rather than the absolute efficiency of particular public services from neighbourhood to neighbourhood can be yielded by this method, even if the data if the data on citizen evaluations of performance is ordinal in nature.

(b) Citizen Participation

Our previous reasoning suggested that the following sets of variables were key ones in assessing over time the impact of NIP on citizen participation:

1. Rates of citizen participation for neighbourhood residents and for neighbourhood council members as a whole. Such rates should be derived from items in a survey which tap behaviour like (i) frequency of discussion of local political issues with neighbours; (ii) frequency of signing petitions to local officials; (iii) frequency of voting in municipal elections (and if they exist, neighbourhood council elections); (iv) frequency of personal, letter and telephone contacts with local public officials; (v) attendance at public meetings concerned with local affairs; (vi) memberships in groups that take stands on local political issues; (vii) financial and organizational contributions to local political elections; (viii) municipal or neighbourhood council electoral candidacy; (ix) predispositions to migrate from the neighbourhood. (For a similar survey, see Sproule-Jones and Hart 1973).
2. Mode of citizen participation in neighbourhood councils. A survey of the memberships of neighbourhood councils should be used to derive variables describing the nature of the relations between councils and the municipal government. The items should tap (i) whether or not the councils can enter

enter into contractual relations with municipal governments and other private and public producers of collective goods and services; (ii) if not, the frequency and satisfaction with contacts with municipal officials under the advisory or consultative mode of participation.

3. Public benefits of participation: A survey of the neighbourhood residents and members of neighbourhood councils should be used to tap perceptions such as (i) feelings of efficacy or decisiveness in participation; (ii) feelings of citizenship or neighbourhood duty in participation; (iii) evaluations of the level and quality of public services in the neighbourhood as a whole.

4. Private benefits of participation: Neighbourhood residents and members of neighbourhood councils should be surveyed to tap perceptions about the benefits they exclusively derive from the local government in participating in various ways in local political matters.

5. Public costs of participation: Again a survey should be used to tap the extent to which neighbourhood residents and members of neighbourhood councils feel the level and quality of local public services are of value in terms of the taxes they pay. Considerable ingenuity may be called for in establishing valid items for this variable; previous work has had to use taxation indicators as somewhat dubious proxies of these public costs (Sproule-Jones and Hart 1973).

6. Private costs of participation: Measures of the time and effort expended in participation by neighbourhood residents and members of neighbourhood councils should be tapped by a survey.

7. Resources of neighbourhood citizens and members of neighbourhood councils:

These should be derived by survey research and include such variables as socio-economic status, levels of information and education and competence in the English or French language, property-owning or rental status, and number of years resident in the neighbourhood and municipality.

(c) Local Political Institutions

The previously described measures of the (i) performance of facilities and services under NIP itself, and (ii) the rates and mode of citizen participation in neighbourhood councils were predicted in our theoretical analysis to have a critical impact on specific variables describing the operation of local political institutions. This was particularly the case with the mode of citizen participation in neighbourhood councils, two measures for which have already been suggested. Variables describing the operation of local political institutions which should be monitored are the following:

1. The size of municipal bureaucracies: Data should be collected by survey or by examination of municipal records that measures (i) the number of full time employees per department involved in NIP services; (ii) the number of full time employees per department per 1,000 population in designated neighbourhoods; (iii) the number of full time employees per department per 1,000 population in the municipalities with designated neighbourhoods; (iv) the proportion of full time employees per department with and without a "line" responsibility, per 1,000 population in designated neighbourhoods; and (vi) the proportion of full time employees per department with and without a "line" responsibility per 1,000 population in the municipalities with designated neighbourhoods.
2. The attitudes to participation of local elected officials. Without any contractual relationship between a neighbourhood and a municipality, the

attitudes to participation of local elected officials will be key intervening variables between neighbourhood citizen demands and any improved facilities and services provided under NIP. (Our theory also suggested that such attitudes were an unlikely long run predictor of success for NIP in meeting neighbourhood citizen demands). Survey data of local elected officials should be used to measure (i) the degree to which policy makers value participatory activity, and (ii) the degree to which they seek support of citizens before undertaking service changes (See Zisk, 1972). Moreover, the survey should be continued in longitudinal fashion in order to ask policy makers "what priorities they see as currently facing the municipality?" in order to tap the changing attitudes of local policy makers to the concepts of NIP over time.

3. Measures of "other" influences on local elected officials. Certain structural variables were predicted in our theoretical section to have an impact on the attitudes of local elected officials to NIP and to citizen participation. These included the extent of political rivalry from other municipalities, which can be measured by (i) the number of governments within a metropolitan area; (ii) the number of governments per 1,000 population; and (iii) the population size of the municipality, (See E. Ostrom and Parks 1973; Hawkins and Dye 1970). The other major set of variables that were predicted to have an impact on the attitude of local elected officials were those pertaining to the structural relationships between local elected officials and their electorate or electorates. Appropriate measures here include (i) the presence of a city-manager form of government; (ii) whether the council is elected at large; (iii) the number of members of city council; and (iv) the proportion of the neighbourhood electorate to the municipal electorate needed to elect one (if a ward system is used) or more city aldermen (if an at large election is used). (See Aiken and Alford for similar measures). Such

structural measures of the "other" influences on local elected officials can be derived from an examination of government records.

(d) Interdepartmental and Intergovernmental Relations

The following sets of variables were predicted in the theoretical section to be critically related to the operation of NIP.

1. The terms and conditions of the NIP Agreements: The degree to which the Agreements reflect the "performance contracting" or "philanthropic" nature of the CMHC bargain with the Provinces and designated municipalities should be measured. The best proxies would include (i) the number and length of the clauses dealing with requirements for either citizen evaluations of performance or physical output measures of performance or the measures of efficiency described previously; and (ii) the number of dollar man hours expended at all levels of government in reaching the initial Agreement and monitoring the Programme over time.
2. The levels of conflict generated by NIP: Our theory predicted that conflict in departments at all levels that have programmes bearing upon urban Canada is likely to be generated by NIP in various ways. This conflict should be monitored over time by taking a random sampling of such departments, and then of the officials therein, in order to survey (i) the value they place on the Programme; and (ii) the number and importance of the "problems" they foresee with the Programme.
3. The Relative Importance of NIP to Provincial and Federal Ministers over time: The long run viability of NIP was predicted to be a function partly of the relative importance of the Programme to Provincial and Federal Ministers over time. Measures here would include (i) the proportion of federal expenditures on NIP over time in relation to the total federal budget; (ii) the

proportion of federal expenditures on NIP over time in relation to the federal budget in metropolitan areas; and (iii) the proportion of provincial expenditures in municipalities with designated neighbourhoods over time in relation to the provincial budget in metropolitan areas. The measures should also include attitudinal data on (iv) the value that Ministers place on the Programme over time; (v) the number and importance of other "priorities" they see bearing upon urban Canada over time; and, if possible, (vi) the degree to which Ministers are aware, over time, of the citizen evaluations of performance, the physical measures of output, and the relative efficiency of the Programme as previously defined.

(e) Key Methodological Strategies

Four sorts of data collection activities are required by any assessment of the Programme. First, a survey of neighbourhood and control group citizens should be used. This is essential for an assessment of (i) the measures of performance of NIP; and (ii) the measures of citizen participation and the influences thereon. Secondly, a survey of department officials is required for assessing some of the impacts in the area of interdepartmental and inter-governmental relations. Thirdly, elite interviewing is required for tapping the attitudes of both local elected officials and of Ministers at the Provincial and Federal levels. Finally, unobtrusive data in the form of government records must be examined for assessing (i) the physical measures of output; (ii) the efficiency measures of performance; (iii) the size of municipal bureaucracies; (iv) measures of the "other" or structural influences on local elected officials; (v) the terms and conditions of the NIP Agreements; and (iv) the expenditure measures of the provincial and the Federal government as a set of proxies for the relative importance of NIP in interdepartmental and intergovernmental relations. All such data should be collected at regular

intervals of time over the life of the Programme, since the particular impacts of NIP will change over time. The cost of such data collection activities will be large in the case of the citizen surveys (upwards of \$20,000 per annum), but the costs of the other activities are likely to be relatively small financially (less than \$5,000 per annum) but large in terms of access for the elite interviewing.

Because the assessment procedures will be undertaken after the operational start for the Programme, most of the analysis will have to employ the quasi-experimental design called "The Post-Test-Only Control Group Time Series Design" (see Campbell and Stanley 1966), which means in effect that the relationships among variables will be examined over time by a close comparison of significant differences between designated neighbourhoods and matching control group neighbourhoods, and between individuals and matching control groups of individuals. The analysis involving measures derived from elite interviewing will be in the form called a "One Group Post-Test Time Series Design", which means in effect that relationships will be examined over time but without control groups, because of the impossibility of establishing them for the small number of political elites to be interviewed. Each mode of analysis carries with it its own particular strength and weaknesses, and it is suggested that the series of potential "threats to validity" outlined by Campbell (Campbell and Stanley 1966; Campbell 1969) be used as a model for a critical examination of the findings for the possible existence of spurious variables.

The most important stage of any assessment procedures lies in a re-examination of the theory from which the hypothesized relationships among variables are predicted. It is the most important stage from an intrinsic intellectual viewpoint of the development of explanatory political theory.

It is also the most important stage from an extrinsic policy-oriented viewpoint for the development of appropriate further governmental ventures into urban life in Canada. The information yielded by this assessment of the consequences of NIP should, in other words, enable policy makers to have more or less confidence in the conclusions derived from their chains of reasoning about urban politics. What if, for example, evidence reveals that citizen participation increases rather than decreases as a consequence of the NIP experience in reducing the public costs of participation? The underlying theory will obviously require reassessment in order to guide policy makers in the making of future decisions.

In order to facilitate this wider policy oriented aspect of the study of NIP, it is suggested that key relationships be described in a signalling form that allows a ready on-going assessment of the state of the hypothesized consequences of the Programme. A useful technique for presenting such signals has recently been developed under the name of a "symbolic matrix array" (White et al 1972; Cook and Scioli 1972). An example of this technique is included as an Appendix to this report.

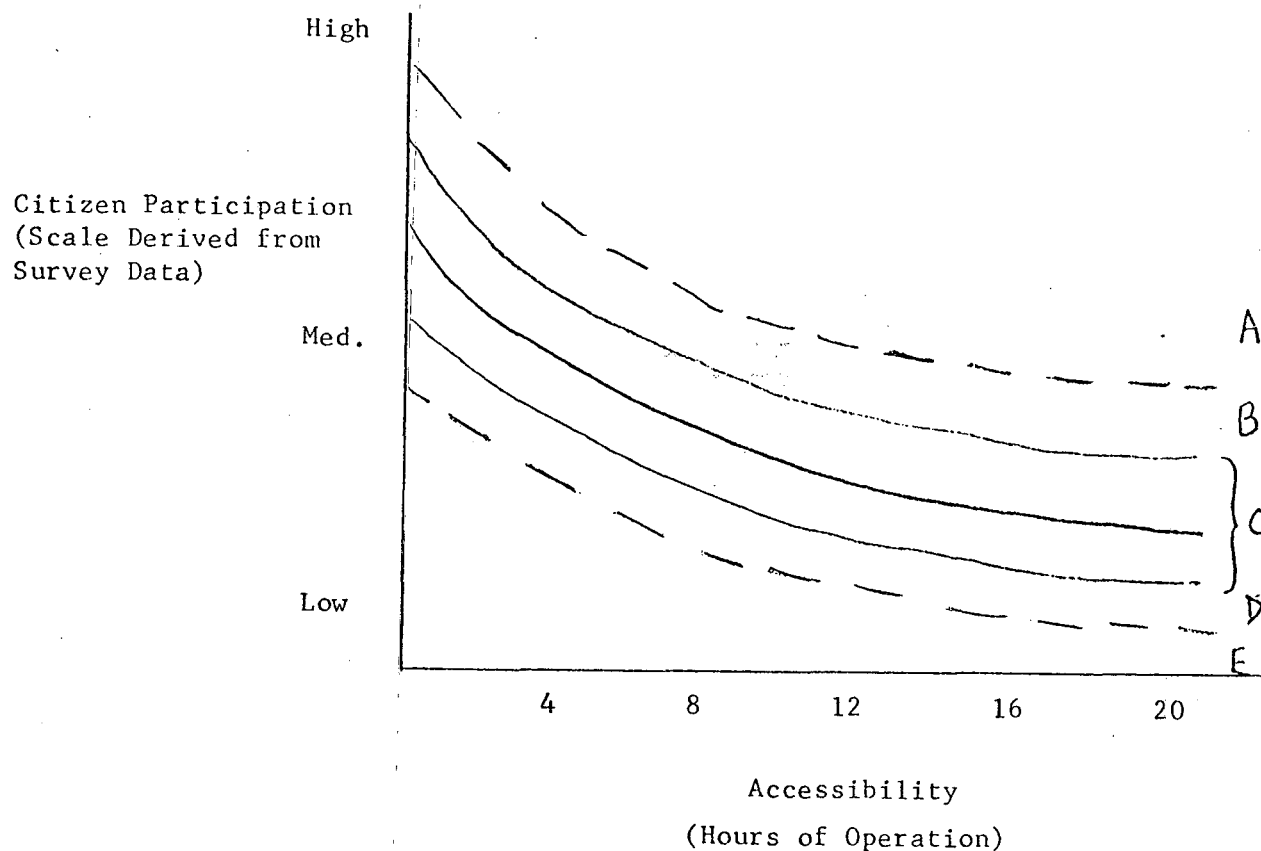
In sum, the two essential components of policy analysis--namely the development of theory about the predicted consequences of governmental initiatives, and the assessment of these consequences in order to yield information about the possible modification of any particular governmental initiatives--can be used for an appropriate policy analysis of the Neighbourhood Improvement Programme. The success of NIP depends on the successful completion of both components.

APPENDIX: The Symbolic Matrix Array Technique

The symbolic matrix array technique is a method for examining the on-going relationships between any two theoretically related variables. It is particularly useful in policy analysis as public decision-makers may require continuous appraisal of the state of any public programme. It is suggested that the technique be used for monitoring the predicted hypothetical relationships between variables impacted by the Neighbourhood Improvement Programme.


















The technique may be illustrated by the hypothesized relationship between one measure of the physical output (itself one indicator of performance) of any recreational facilities provided under the Programme and one measure of citizen participation. The hours of operation of a recreational facility may be taken as a (physical) measure of accessibility (Fisk et al 1972), and may be run against a scale of participation for neighbourhood residents derived from survey data (Sproule-Jones and Hart 1973). This is illustrated by the following scattergram (Figure 1). Each mark to be placed on the scattergram represents the hypothesized level of participation impacted in a NIP area through governmental support for a recreational amenity. The middle line is the curve of best fit. To allow for normal variation and any statistical and test errors, acceptance margins of variance are assumed. Most NIP areas fall within band C (within 15% of the best fit curve). Others fall within bands B or D (between 15 and 25% from the best fit curve). Areas in bands A or E represent extremes of performance in terms of citizen participation. Such data can now be arranged into a symbolic matrix for an on-going signalling of the impact of a NIP activity on citizen participation (Figure 2).

Figure 1: Illustrated Scattergram of the Relation Between Citizen Participation and Physical Accessibility of NIP Supported Recreational Facilities



In Figure 2, it is possible, by reading across a row, to see how NIP activities with regard to recreational amenities (measured by physical accessibility) varies for a particular NIP area over time. By reading down a column, it is possible to appraise the impact of this particular activity (measured by the one physical output measure) from one NIP area to the next. NIP areas marked by extreme scores (such as NIP area Number 4 in Figure 2) can then be examined in more detail in order to reveal particular characteristics or intervening variables in the neighbourhoods in question.

Figure 2: Hypothesized Symbolic Matrix for Participation Impact of
Recreational Accessibility Support Activities under NIP

<u>NIP Area</u>	<u>Participation</u>		<u>Symbols Key</u>
	1974	1975	
1			 = over 25% above best fit curve
2			 = 15 - 25% above
3			 = 15% above - 15% below
4			 = 15 - 25% below
5			 = over 25% below
6			

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41. Sproule-Jones, Mark, and Van Klaveren, Adrie, "Local Referenda and Size of Municipality in British Columbia", B.C. Studies, No. 8, 1970, pp. 47-50.
42. Warren, Robert O., Government in Metropolitan Regions: A Reappraisal of Fractionated Political Organization, Institute of Governmental Affairs, University of California, Davis, 1966.

43. White, Bayla F., et al., The Atlanta Project: Developing Signals of Relative School Performance, The Urban Institute, 1972.
44. Zisk, Betty H., "Local Interest Politics and Municipal Outputs", in Harlan H. Hahn (ed.), People and Politics in Urban Society, Urban Affairs Annual Review, Sage, Vol. 6, 1972, pp. 231-54.

2101-533

CURRICULUM VITAE

October 1973

(151) 477-3324

Personal Data:

Name: Mark Henry Sproule-Jones
Current Address: 3940 Ansell Road
Victoria, British Columbia, Canada
Date of Birth: [REDACTED]
Marital Status: Married with two children

Current Position:

Assistant Professor, Department of Political Science,
University of Victoria. (Tenured 1973)

Previous Academic
Positions:

1) Teaching Experience:

Academic Years 1968-70:

Lecturer at University of Victoria

Summer 1967 and the Academic Year 1967-68:

Teaching Associate in American
Government, independent course at
the freshman level, Indiana University

Spring 1967: Teaching Assistant in American
Government, at the freshman level,
under Louis Lambert, Indiana University

Spring 1966: Teaching Assistant in Western
European Political Systems, a
junior level course, under Sven
Groennings, Indiana University

Fall 1965: Substitute Social Science Teacher
at Ebbw Vale Technical College,
Monmouthshire, South Wales

2) Other Positions Held:

Academic Year 1964-65:

Research Assistant to Sven Groennings
at Indiana University

Teaching and
Research Interests:

s.19(1)

- 1) The Public Choice Approach to Public Policy Analysis,
with particular reference to urban and suburban
institutional analysis and policy evaluation.
- 2) Empirical Political Theories and the Philosophy
of Science.
- 3) Political Participation, with particular reference
to its relation to policy outputs.

.... /2

Curriculum Vitae
Mark Sproule-Jones
Page 2

Publications:
Articles

- 1) "How Others Do It: Britain and Scandinavia", in Cornelius P. Cotter (editor), Practical Politics in the United States. Allyn and Bacon, 1969, pp. 319-347. Rights also purchased by the Robert A. Taft Institute for publication as an independent pamphlet.
- 2) "Local Referenda and Size of Municipality in British Columbia", B.C. Studies, No. 8, 1970, pp. 47-50.
- 3) "Social Credit and the B.C. Electorate", B.C. Studies, No. 12, 1971-72, pp. 34-45; "On Frogs and Worms: A Reply to Professors Black and Robin", B.C. Studies, No. 12, 1971-72, pp. 51-52.
- 4) "Strategic Tensions in the Scale of Political Analysis", British Journal of Political Science, Vol. 2, 1972, pp. 173-92.
- 5) "Urban Governance in Canada", Comparative Urban Research, No. 3, 1973, pp. 43-46.
- 6) "A Public Choice Model of Political Participation", Canadian Journal of Political Science, Vol. 6, 1973, pp. 175-194.
- 7) "Citizen Participation in a Canadian Municipality", Public Choice (forthcoming).
- 8) "Toward a Dynamic Analysis of Collective Action", Western Political Quarterly (forthcoming).
- 9) "A Public Choice Analysis of the Organization and Operation of Canadian Federalism", Publius, (forthcoming).

Publications:
Book Reviews

- 1) Book Review of The Dawn Warriors: Man's Evolution Toward Peace by Robert Bigelow (Toronto: Little, Brown), 1969, British Columbia Library Quarterly, Vol. 33, 1970, pp. 17-21.
- 2) Book Review of People vs. Politics by Jean A. Laponce (Toronto: University Press), 1969, B.C. Studies, No. 5, 1970, pp. 52-55.
- 3) Book Review of Strategems and Spoils by F.G. Bailey (Toronto: Copp Clark), 1969, Public Choice, Vol. 9, 1970, pp. 95-97.

.../3

Curriculum Vitae
Mark Sproule-Jones
Page 3

Book Reviews (cont'd)

- 4) Book Review of Gordon Tullock, Public Wants, Private Means: An Economic Analysis of the Desirable Scope of Government (New York: Basic Books) 1970, American Political Science Review, Vol. 65, 1971, pp. 515-516.
- 5) Book Reviews of Public Choice and Public Policy: Seven Cases in American Government, edited by Robert S. Ross (Chicago: Markham), 1971, and Youth and Social Change by Richard Flacks (Chicago: Markham), 1971, Western Political Quarterly, Vol. 25, 1972, pp. 551-53.
- 6) Book Review of Norman Frolich et al., Political Leadership and Collective Goods (Princeton: University Press), 1971, Canadian Journal of Political Science, Vol. 5, 1972, p. 598.

Publications:
Conference Papers

- 1) "A Theory of Public Employment," presented at the American Political Science Association, 65th Annual Meetings, New York, Sept. 1969.
- 2) "The Political Economy of Political Participation: Model and Analysis," presented at the Public Choice Society, Annual Meetings, Carnegie-Mellon University, Pittsburgh, May 1972.

Publications:
Government Reports

- 1) "Political Participation in a Canadian Suburban Municipality. The Case of Saanich, British Columbia", for Mayor and Aldermen of Saanich, B.C., 28 March 1972.
- 2) "An Evaluation Design for the Impact of the Neighbourhood Improvement Programme on (a) Citizen Participation, (b) Local Political Institutions, and (c) Intergovernmental and Interdepartmental Relations", for Ministry of State for Urban Affairs, Canada, Contract 2101-S33, 10 October 1973.

Other Scholarship
Activities:

- 1) Discussant, Western Political Science Association Panel on "Government Within Metropolitan Regions," Western Political Science Association Annual Meetings, Albuquerque, New Mexico, April 8-10, 1971.
- 2) Canadian Correspondent, Comparative Urban Research.
- 3) Article Assessor, Canadian Journal of Political Science (2 articles).

Curriculum Vitae
Mark Sproule-Jones
Page 4

- 4) B.C. Coordinator, Canadian Political Science Association Committee on the Teaching of Political Science in Community Colleges and High Schools, 1973-
- 5) Advisor, Honours Thesis, for A.J. Saunders (1968-69), L.J. Hindle (1969-70), F.A. Schroeder (1969-70), H. McMillan (1970-71), I.C.B. Smith (1970-71).
- 6) Member, M.A. Committee, for D.F. Pearson (1970-73), L.J. Halliday (1971-); M.A. Oral Committee Member for G.S. Jenvey (1971); Chairman, M.A. Committee for R. Sharp (1972-73); L. Rose (1972-), R.A. Coulter (1973-); Member, Ph.D. Committee for David Burrows (1972-).

Academic Record:

- 1) Undergraduate: B.Sc. (Econ.), London University, 1964
College: London School of Economics and Political Science
Tutor: Richard H. Pear
- 2) Graduate: M.A., Indiana University, 1965
Chairman: William J. Gore
Other Committee
Members: Charles S. Hyneman
Vincent Ostrom
Ph.D., Indiana University, 1970
Chairman: Vincent Ostrom
Other Committee
Members: Charles S. Hyneman
Alfred Diamant
H. Scott Gordon

Academic Awards:

- | | |
|-------------|--|
| 1964-65: | Fulbright Scholar (U.S. Government Award) |
| 1965: | John F. Kennedy Memorial Scholar (United Automobile Workers of America Award) |
| 1971, 1973: | Research Grants, University of Victoria Committee on Faculty Travel and Research |

.... /5

Curriculum Vitae
Mark Sproule-Jones
Page 5

Membership in
Learned Societies:

American Political Science Association
Canadian Political Science Association
Policy Studies Organization
Polycentric Circle
Public Choice Society

University
Responsibilities:

- 1) Chairman, Department of Political Science
Curriculum and Graduate Planning
Committee, 1969-72.
- 2) Honours Advisor, Department of Political
Science, 1972- .
- 3) Member, Department of Political Science Seminar
Committee, 1972- .
- 4) Representative, Department of Political Science,
Faculty of Graduate Studies, 1969- .
- 5) Member, University Committee on Traffic and
Parking, 1969-71.
- 6) Member, Graduate School Committee on Quanti-
tative Instruction, 1971- .
- 7) Member, Faculty Association Committee on
Salaries, 1971-73.
- 8) Member, Senate Committee on Curriculum, 1971-73.
- 9) Representative, Department of Political Science,
University Open House,
February-March 1972.
- 10) Member, Faculty Association Nominating Committee,
1972.
- 11) Chairman, Faculty Association ad hoc Committee
on Fringe Benefits, 1972-73.
- 12) Member, Dean of Arts and Science's Search
Committee for a Chairman of the
Department of Political Science,
1972-73.
- 13) Acting Chairman, Department of Political Science,
July 1973.
- 14) Recording Secretary, Department of Political
Science, 1973-

Curriculum Vitae
Mark Sproule-Jones
Page 6

Community Service:

- 1) "Political Participation in a Canadian Suburban Municipality: A Study of Saanich, B.C." University of Victoria, March 1972 (a study and report for the Mayor and Aldermen of Saanich, B.C.). This report and its recommendations were summarized in Bill Thomas', "Saanich: A Low Vote Profile," for The Daily Colonist (Victoria), 30 March 1972, p. 13.
- 2) "Civic Elections," a talk before the Association of Women Electors. Victoria, B.C., 21 September 1972.
- 3) "Politics and Urban Canada," Public Lecture, University of Victoria, Division of Continuing Education, 8 March 1973.
- 4) "An Evaluation Design for the Impact of the Neighbourhood Improvement Programme on (a) Citizen Participation, (b) Local Political Institutions, and (c) Intergovernmental and Interdepartmental Relations", for Ministry of State for Urban Affairs, Canada, Contract 2101-S33, 10 October 1973.

Referees:

- 1) Professor Vincent Ostrom
Department of Political Science
Indiana University
Bloomington, Indiana 47401, U.S.A.
- 2) Professor Robert L. Bish
Centre for Urban Affairs
University of Southern California
University Park
Los Angeles, California 90007, U.S.A.
- 3) Professor Neil A. Swainson
Department of Political Science
University of Victoria
Victoria, B.C.
- 4) Professor Robert O. Warren
Center for Urban Affairs
University of Southern California
University Park
Los Angeles, California 90007, U.S.A.
- 5) Professor Charles S. Hyneman
Department of Political Science
Indiana University
Bloomington, Indiana 47401, U.S.A.



UNIVERSITY OF VICTORIA
VICTORIA, BRITISH COLUMBIA

Department of Political Science

October 5, 1973

Miss A. Stewart,
Ministry of State for Urban Affairs,
355 River Road,
Ottawa, Ontario K1A 0P6

Dear Miss Stewart:

✓ Please find enclosed two copies of my report, "An Evaluation Design for the Impact of the Neighbourhood Improvement Programme (NIP) on Citizen Participation, Local Political Institutions, and Intergovernmental and Interdepartmental Relationships" (Contract: 2101-S33). I trust that the report is entirely satisfactory.

I shall be forwarding to you in a separate letter, as soon as possible, a full invoice itemizing expenditures for the preparation of the report.

Yours sincerely,

M. Sproule-Jones
Assistant Professor

MSJ/hm

Enclosures - 2



000055

2101-S33

October 3, 1973.

Dr. Mark Sproule-Jones,
Department of Political Science,
University of Victoria,
P.O. Box 1700,
Victoria, B.C.

Dear Dr. Sproule-Jones:

RE: External Research Contract 2101-S33

The Ministry has agreed to authorize a cost over-run of two hundred dollars for secretarial fees on this contract. Request for payment should be accompanied by receipts and an itemization of expenditures. In future proposals, kindly ensure you include all such clerical and secretarial expenses in the original budget.

Sincerely yours,

[Signature]
HARRY SWAIN

Harry Swain,
Director of External Research.

AJS/pm

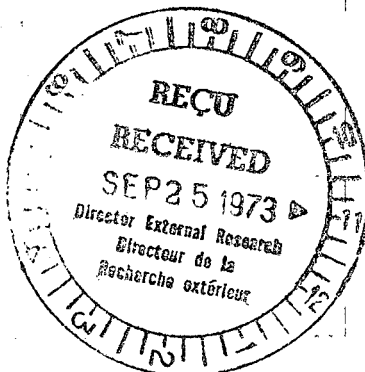


CR

Harry Swain

cc. Ron Crowley

Fred Schindeler



SECURITY CLASSIFICATION - DE SECURITE
OUR FILE - N/REFERENCE
2101-533
YOUR FILE - V/REFERENCE
DATE September 25, 1973.

SUBJECT
OBJET
Steve Dupré

I met with Steve last Tuesday to discuss the NIP Evaluation and an intergovernmental Relations Project. He will not be on sabbatical until 1975 - 1976 and therefore will not be able to take on any major responsibility for the NIP Evaluation Project. He suggested two ways in which he might be involved:

1. If there were one or two permanent employees of the Ministry who were able to devote themselves to the task, he would be willing to offer some overall guidance, suggesting what to look for, how to evaluate the process, and how to bring it all together. He would, in addition, visit some of the provinces himself.
2. The second alternative would be to set up a team of academics to do the evaluation.

I told him that I did not think that the latter alternative would be at all satisfactory and that the former alternative would not be our first choice either - although it might turn out that we could make use of his talents in some such way.

With respect to the project in Intergovernmental Relations, he is keenly interested and would like to discuss it with a group of us in October when things have settled down around the University. The basic idea of the project is to study the changes that have been made in municipal government (e.g. new executive forms, restructurings, etc.) and how these changes have affected Federal-Provincial-Municipal relations. In our discussion I suggested that we would probably only be able to deal with a sample of the provinces and he agreed that this would not jeopardize the project. He was concerned with the necessity for good cooperation with the provinces. The feasibility of provincial cooperation should be a part of the first phase project. I told him that we would involve people from Coordination in further discussions.

Fred Schindeler

Fred Schindeler



REQUISITION FOR CHEQUE
DEMANDE DE CHÈQUE

→ CR:

Document disclosed under the Access to Information Act -
Document divulgué en vertu de la Loi sur l'accès à l'information

DATE

21 SEPT 73

DEPARTMENT - MINISTÈRE

NO.

BRANCH, DIVISION OR UNIT - DIRECTION, DIVISION OU SERVICE

NO.

NAME AND ADDRESS OF PAYEE - NOM ET ADRESSE DU BÉNÉFICIAIRE (51-75)

MR MARK EDWARDS - JONES
DEPARTMENT OF POLITICAL SCIENCE
UNIVERSITY OF VICTORIA
P.O. Box 1700
VICTORIA, B.C.

SERIAL OR CONTROL NO. - NO DE SÉRIE OU DE CONTRÔLE 16-101

0361

SOURCE

572

DATE OF CHEQUE - DATE DU CHÈQUE

CENT. ACCTG. SERIAL NO.
COMPT. CENTRALE -
NO DE SÉRIE
(45-49)

RATE OF EXCHANGE - COURS DE CHANGE

CORRESPONDENCE RELATING TO THIS REMITTANCE SHOULD BE DIRECTED TO THE DEPT. INDICATED ABOVE QUOTING THE CHEQUE NO.
LA CORRESPONDANCE AFFÉRENTE À CETTE REMISE PEUT ÊTRE ADRESSÉE AU MINISTÈRE PRÉCITÉ;
PRIÈRE D'INDIQUER LE NO DU CHÈQUE.

PARTICULARS - DÉTAILS

FOREIGN AMOUNT
MONTANT ÉTRANGER

EXCHANGE
CHANGE

CANADIAN AMOUNT
MONTANT CANADIEN

CHEQUE NUMBER
NO DE CHÈQUE

Payment upon signature of
letter of agreement dated
August 29/73.

1425.00

CODING - CODAGE (111-351)

FOREIGN
AMOUNT
MONTANT
ÉTRANGER

\$ AMOUNT
MONTANT
(36-44)

CR
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DSS CONTRACT SERIAL NUMBER
NUMÉRO DU CONTRAT MAS

010 - 20320 - 320 - 0000 - 2401

1425.00

2101533

REQUISITIONED FOR PAYMENT PURSUANT TO
SECTION 26 OF THE FINANCIAL ADMINISTRATION ACT.

OR
OU

DEMANDE DE PAIEMENT EN VERTU DE
L'ARTICLE 26 DE LA LOI SUR L'ADMINISTRATION
FINANCIÈRE.

REQUISITIONED FOR PAYMENT PURSUANT TO SEC-
TION 26 AND CERTIFIED PURSUANT TO SECTION 27
OF THE FINANCIAL ADMINISTRATION ACT.

DEMANDE DE PAIEMENT EN VERTU DE L'ARTICLE
26 ET CERTIFIÉ EN VERTU DE L'ARTICLE 27 DE LA
LOI SUR L'ADMINISTRATION FINANCIÈRE.

1425.00

TOTAL

CERTIFIED CORRECT - CERTIFIÉ CONFORME

AUTHORIZED OFFICER - FONCTIONNAIRE AUTORISÉ

AUTHORIZED OFFICER - FONCTIONNAIRE AUTORISÉ

SERVICES OFFICER - AGENT DES SERVICES

355 12738 17/721 7540-21-500-8483

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COPIE



UNIVERSITY OF VICTORIA

VICTORIA, BRITISH COLUMBIA

Department of Political Science

Sept. 7, 1973.

Dr. Harry Swain,
Director, External Research,
Ministry of State for Urban Affairs,
355 River Road,
Ottawa, Ont., K1A 0P6.

Dear Dr. Swain,

Please find enclosed the two signed copies of the contract 2101-S33, for an evaluation design for MIP.

Yours sincerely,

A handwritten signature in dark ink, appearing to read "Mark Sproule-Jones".

Mark Sproule-Jones.



054577



000059

2101-883



Ministry of State Ministère d'État

Urban Affairs Affaires urbaines
Canada Canada

August 29, 1973.

Dr. Mark Sproule-Jones,
Department of Political Science,
University of Victoria,
P.O.Box 1700,
Victoria, B.C.

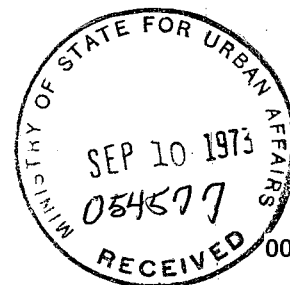
Dear Dr. Sproule-Jones,

re: 2101-S33.

I am pleased to advise you that the Ministry of State for Urban Affairs accepts without modification your research proposal on NIP evaluation submitted to us on August 17, 1973, proposing the preparation of an evaluation design for NIP with particular reference to the impact of the program on: 1. Citizen Participation; 2. Local Political Institutions; and 3. Intergovernmental and Interdepartmental Relationships, under the following terms and conditions.

1. The Ministry's total obligations under this agreement do not exceed \$2,850.00. Half of the total will be paid on execution of this agreement, and half on delivery of a final report acceptable to the Director General of Research by October 10, 1973. An invoice for the second payment should itemize expenditures and be in accord with the proposed budget and with Treasury Board regulations.
2. All reports paid for under this agreement are the property of Her Majesty, and copy-rights therein rest with Her. If Her Majesty does not publish this study before one year starting from the date of the presentation of the final report, the university has the right to publish this study as long as:

Ottawa K1A 0P6
(613) 993-1491



000060

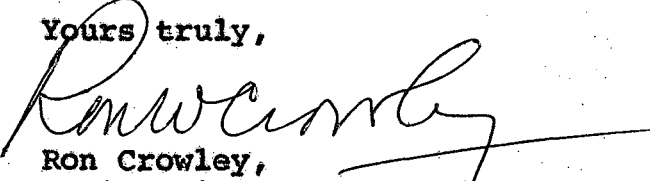
- 2 -

- a) no information shall be revealed which violates the provisions governing secrecy in the Statistics Act;
 - b) Her Majesty can dissociate from such a publication intended for release to the public, provided that you shall, at least 90 days before the day proposed for publication, submit to the Ministry all such reports, articles, and papers, and if the Ministry so requests, no reference shall be made to the contribution thereto of the Ministry.
3. The Ministry's delegate for the supervision of this work is Miss A. Stewart.
 4. The final report(s) due under this agreement will be mailed to Miss A. Stewart with a postmark not later than October 10, 1973.
 5. No member of the House of Commons shall be admitted to any share or part of this agreement or any benefit to arise therefrom.

If the above conditions are satisfactory to you, would you sign the two hard copies of the letter of Agreement where indicated, returning them to the Director, External Research, Dr. Harry Swain. One copy is enclosed for your retention.


Mark Sproule-Jones

Yours truly,


Ron Crowley,
Acting Director General
of Research.

Encl.

2101-431
2101-426
2101-425
2101-425
2101-1129
2101-533

Government of Canada

Gouvernement du Canada

MEMORANDUM

NOTE DE SERVICE

s.19(1)

TO : Ron Crowley - Acting Director General
of Research
c.c. L.O. Gertler
H. Swain

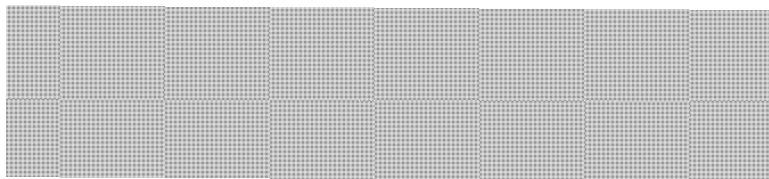
FROM : Jean Filion

SUBJECT: NIP EVALUATION
OBJET:

SECURITY CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE
YOUR FILE - V/RÉFÉRENCE
DATE August 31, 1973.

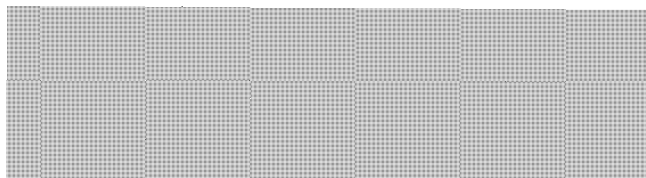
Last Friday the NIP evaluation team, Dr. Harry Swain and a few other person from the Research Branch met to discuss the proposals received concerning the elaboration of an evaluation design for NIP. 13 proposal were received, in reponse to 29 RFP and it has been decided to retain 8 of them.

The persons or groups considered are:



Areas: Preparation of an Evaluation Design for NIP, with particular reference to the impact of the program on citizen participation, local political institutions, housing, land market, and public finance. (MSUA's P.O. -- Dr. Burton)

Budget committed: \$4,500.00.

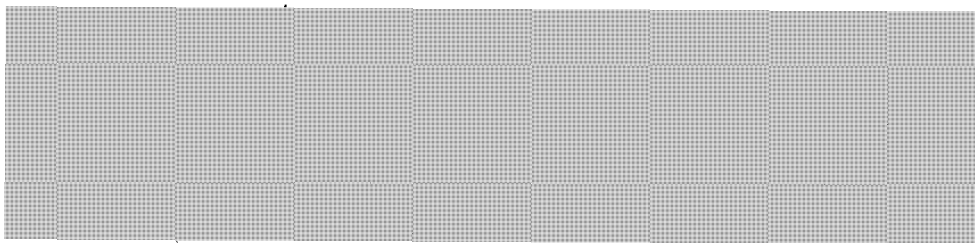


Domaines: Critique du document "Evaluation of NIP". Cette critique portera sur l'aspect méthodologique et sur analyse plus poussée de certains thèmes: politique locale, inner city, vie communautaire, migration, marché, participation. Le tout s'inscrira dans l'hypothèse d'une evaluation de un ou deux PAQ à Montréal et s'appuiera sur un texte faisant état de la littérature dans le domaine. (Représentant du MEAU -- Jean Filion).

Budget: \$5,000.00

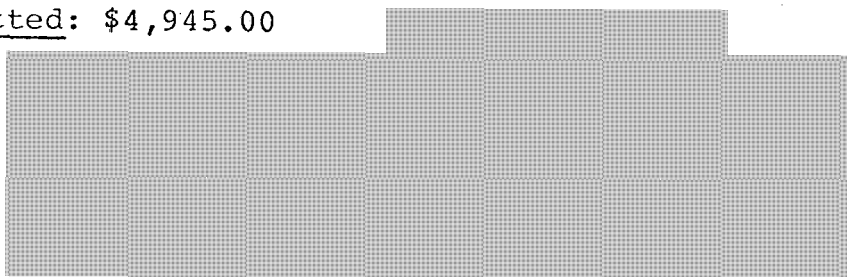
s.19(1)

2/ Nip Evaluation (Contd)



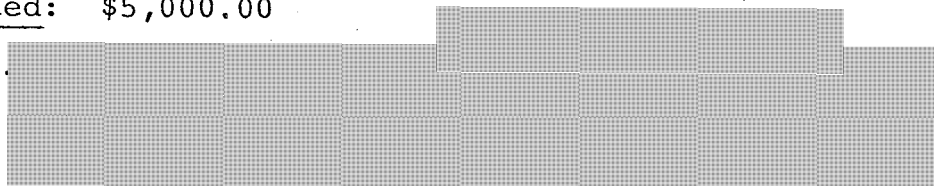
Areas: Planning and Preparation of a Research Design Proposal for the Evaluation of NIP -- The project will review background documents and relevant literature and prepare a suitable overall research design for the evaluation of NIP. Techniques of Analysis will be assessed and developed and integrated into the design and a framework for evaluation will be established. (MSUA's P.O. -- Dr. B. Wellar).

Budget committed: \$4,945.00



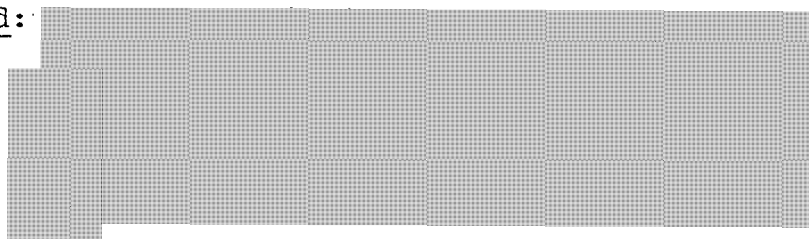
Areas: The preparation of an Evaluation Design for the NIP with specific emphasis upon: delineation and prioritization of the general goal variables, operational redefinition of the goal variables, development of an overall procedural approach to the evaluation, development of at least a partial work plan for carrying out the evaluation (MSUA's P.O. -- Dr. Burton).

Budget committed: \$5,000.00



Areas: Problems Models of Evaluation of NIP, Goals, Models, Methods and Data; Evaluating the Impact of NIP. (MSUA'S P.O. -- Jean Filion).

Budget committed:



3/ Nip Evaluation (Contd)

Domaines: Conceptualisation d'un cadre d'évaluation du PAQ --
cadre d'évaluation, critique du document de base du MEAU, metho-
dologies d'évaluation, étapes d'évaluation, les variables objectifs,
opérationnalisation des variables. (Responsable pour le MEAU --
Jean Filion).

Budget \$4,900.00

Areas: Elaboration of Specific Goal Variables for NIP's evaluation.
(MSUA's P.O. -- Steve Schatzow).

Budget committed: \$5,000.00

Budget committed: \$2,850.00

Areas: To elaborate on the impact of NIP on Citizen participation,
local political institutions, and interdepartmental - intergovern-
mental relationships. (MSUA's P.O. -- A. Stewart)

The reports from these people are due back October 10th, 1973. By
the beginning of December, a final evaluation design of NIP should
be completed. This task will be done in close collaboration
with CMHC.

All the proposals received and approved are going to be transmitted
to CMHC; when the final reports are in, CMHC will also receive copies
of this documentation.

Jean Filion.

s.19(1)

2101-833

August 29, 1973.

Dr. Mark Sproule-Jones,
Department of Political Science,
University of Victoria,
P.O. Box 1700,
Victoria, B.C.

Dear Dr. Sproule-Jones,

re: 2101-833.

I am pleased to advise you that the Ministry of State for Urban Affairs accepts without modification your research proposal on NIP evaluation submitted to us on August 17, 1973, proposing the preparation of an evaluation design for NIP with particular reference to the impact of the program on: 1. Citizen Participation; 2. Local Political Institutions; and 3. Intergovernmental and Interdepartmental Relationships, under the following terms and conditions.

1. The Ministry's total obligations under this agreement do not exceed \$2,050.00. Half of the total will be paid on execution of this agreement, and half on delivery of a final report acceptable to the Director General of Research by October 10, 1973. An invoice for the second payment should itemize expenditures and be in accord with the proposed budget and with Treasury Board regulations.
2. All reports paid for under this agreement are the property of Her Majesty, and copyrights therein rest with Her. If Her Majesty does not publish this study before one year starting from the date of the presentation of the final report, the university has the right to publish this study as long as:

- 2 -

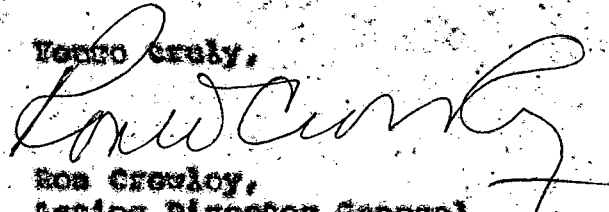
- a) no information shall be revealed which violates the provisions governing secrecy in the Statistics Act;
 - b) Her Majesty can dissociate from such a publication intended for release to the public, provided that you shall, at least 90 days before the day proposed for publication, submit to the Ministry all such reports, articles, and papers, and if the Ministry so requests, no reference shall be made to the contribution thereof of the Ministry.
3. The Ministry's delegate for the supervision of this work is Miss A. Stewart.
 4. The final report(s) due under this agreement will be mailed to Miss A. Stewart with a postmark not later than October 13, 1973.
 5. No member of the House of Commons shall be admitted to any share or part of this agreement or any benefit to arise therefrom.

If the above conditions are satisfactory to you, could you sign the two hard copies of the letter of Agreement where indicated, returning them to the Director, External Research, Dr. Harry Gwin. One copy is enclosed for your retention.

Mark Sprengle-Jones


Encl.

Yours truly,


Ron Creveloy,
Acting Director General
of Research.

NIP Evaluation: SPROULE-JONES proposal 2101 - S33

s.19(1)

My level of competence to evaluate: 

1. Understanding of NIP and need for evaluation.

Understanding good. Need for evaluation okay, but seems slightly confused about client identification.

2. Perspective.

Theoretical basis of evaluation leading to identification of key variables.

3. Relevance and utility of proposal.

This proposal is developed in much more depth than most, giving us a better chance to comment on specifics. Sproule-Jones has a good basis in his eight elements of evaluation design to ensure that the final proposal is acceptable., excepting the above-noted problem of client identification. Re: Local Political Institutions - relies heavily on non-Canadian "reform" literature as basis for the identification of key variables (fragmentation and centralization). I suggest consideration of more concrete variables such as amount of dissention, info. flows, and changing citizen perceptions of local institutions might be of use. Re: Intergovernmental/departmental relationships - an interesting approach, but one I do not find convincing (perhaps reading the article referred to might help) Overall framework is good, especially the emphasis on multiple use of data elements for different aspects of the evaluation.

4. Innovation

Innovation in specific data collection anticipated, but minimized as being costly. Anticipates output of new theory regarding intergovernmental/departmental interactions.

5. Realism of the Proposal

Much work has already been done, but no plan for continuing is presented. No cost figures, no statement of nature of final output.

A. Stewart 22 Aug 1973

000067

→ CR
Groupe d'évaluation du NIPFROM
DE
Jean FilionSUBJECT
OBJET
PROPOSITIONS DE DAN SENI ET MICHEL LINCOURT

SECURITY CLASSIFICATION - DE SECURITE
OUR FILE - N/REFERENCE 2101-S33
YOUR FILE - V/REFERENCE
DATE Le 23 août, 1973.

Daniel A Seni -- 2101-S36.

La proposition de recherche de Dan Seni s'adresse à l'ensemble de la demande de proposition de recherche. Malheureusement elle ne spécifie pas l'orientation que prendra le travail qu'il propose de poursuivre avec le professeur Gauthier de l'Ecole des Hautes Etudes Commerciales de Montréal. Il est évident toutefois que Dan Seni a déjà réfléchi au problème de l'évaluation de programmes, il a publié 4 articles sur le sujet, Ceci me semble être un atout. En plus, Seni connaît bien le MEAU et la SCHL il peut donc, je pense, élaborer une proposition de recherche qui réponde aux exigences que le contexte de ces deux organismes impose.

[REDACTED]

Je ne crois pas que les frais de secrétariat doivent dépasser \$200. et qu'il soit essentiel d'engager 2 experts à \$300. chacun pour commenter sur le travail de Seni. De plus, considérant que Dan Seni en est à sa première année d'enseignement avec une charge de cours assez importante, l'on peut s'interroger s'il est en mesure de consacrer un mois de son temps à ce travail.

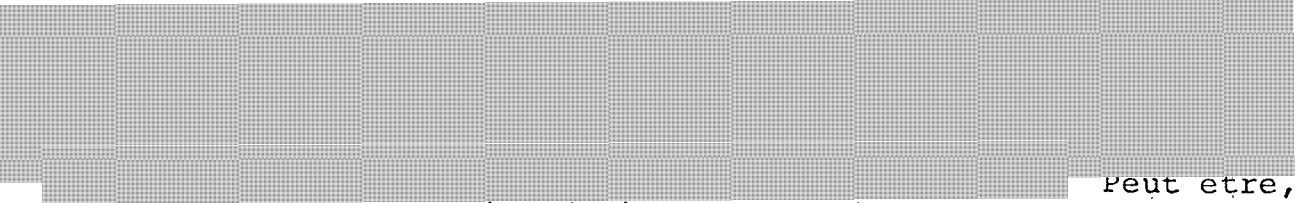
Michel Lincourt -- 2101 - L25

Après de longues considérations sur le MEAU, le PAQ et toutes les possibilités qu'offrent l'évaluation de programmes, Michel Lincourt énumère tous les domaines (11 tâches) qu'il propose de développer si un contrat est accordé au groupe qu'il dirige.

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Comme pour plusieurs, Lincourt malheureusement ne spécifie pas l'orientation que son travail prendra. Une chose est certaine, par contre, son document laisse sous entendre que son travail sera guidé par une imagination fertile ce qui pourrait certes nous aider. Aussi Michel Lincourt connaît bien le MEAU et la SCHL c'est là un excellent élément. Il propose aussi d'étudier tout comme Hawkes, un aspect important, soit celui de l'administration de l'évaluation. Je trouve par contre que les frais pour consultation sont très élevés \$150 par jour pour le chercher principal est suffisant.

 Peut être, qu'en plus, on pourrait réduire les domaines qu'il se propose d'étudier.



Jean Fillion.

s.19(1)

P Evaluation: LINCOURT proposal 2101 - L25

s.19(1)

My level of competence to evaluate: [REDACTED]

1. Understanding of NIP and need for evaluation.

[REDACTED] Assumes MSUA will have a major impact on designing the ongoing program.

2. Perspective.

Produce report from existing knowledge of system and cities.

3. Relevance and utility of proposal.

This proposal is amazingly ambitious. It would start almost from scratch, and re-do the work the NIP evaluation team has done, then carry it further to specify data which would be required in an operational research and evaluation process. Such a report is unlikely to be relevant unless the understanding of the program is improved.

4. Innovation

There may well be some innovation forthcoming in the alternative approaches to evaluation.

5. Realism of the Proposal.

The credentials of the people scheduled to work on the project appear to be quite good, but I doubt they could actually do a thorough job of all the eleven tasks which they have outlined.

A. Stewart

22 Aug '73

NIP Evaluation: SENI proposal 2101 - S36

My level of competence to evaluate: [REDACTED]

s.19(1)

1. Understanding of NIP and need for evaluation

[REDACTED]

2. Perspective

Scope and nature of evaluation problem.

3. Relevance and utility

Seni would start one step back from most of the proposals we have received, considering the whole problem of evaluation, and only later proceed to the specific consideration of NIP. He will provide a recommended approach, not a detailed or outlined design. If this is what we want, he can probably provide some good thinking, or do we already know what he would say?

4. Innovation

Unknown.


5. Realism

Time and method seem to be suitable to project.

A. Stewart

22 Aug '73

NIP Evaluation: DENIKE proposal 2101 - D22

My level of competence to evaluate: 


The major point made in this proposal is the integration of the three goal variables considered, ie. public services and finance, housing and land markets, and intra-city migration, with migration being seen as an adjustment mechanism. This is, to me, an intuitively logical approach, but I couldnot understand what Dr. Denike was proposing to do to elaborate this interaction in order to help evaluate the impacts of NIP.

s.19(1)

Andrey Stewart

22 Aug '73

NIP Evaluation: MCKAY proposal 2101 - M33

My level of competence to evaluate: 

Firstly, I don't understand well enough what an "integrated approach to evaluation" is. Nor do I read in McKay's proposal any clear intention to link thoughts to NIP. She may have something to contribute, but the "notes" submitted are not evidence.

s.19(1)

A Stewart 33 Aug 13

NIP Evaluation: HAWKES proposal

s.19(1)

My level of competence to evaluate: [REDACTED]

1. Understanding of NIP and need for evaluation

[REDACTED] Experience with LIP will probably help in setting background for this group.

2. Perspective

Within a major emphasis on producing an overall operative design, the group is very sensitive to institutional difficulties in carrying out an evaluation.

3. Relevance and utility of proposal.

In trying to develop an "ideal overall plan for evaluation of the entire programme", the group will be opening, or exposing, the whole bag of CMHC-MSUA relations. Their proposal seems to anticipate no particular difficulty arising from this. If their work described under "Work to be Undertaken" were to be guided by the MSUA Background Paper, the output described would be both relevant and useful. The group's experience in carrying out an evaluation would make them sensitive to operational needs. They do not explicitly anticipate criticism of MSUA goal variables, but this is probably unavoidable.

4. Innovation

None apparently anticipated.

5. Realism of the Proposal.

A major portion of this proposal rests on the contribution of time on a voluntary basis. The dangers of this strategy in terms of contributing incomplete and carelessly-thought-out work to the major investigators, should be borne in mind.

A. Stewart

22 Aug '73

NIP Evaluation: SPROULE-JONES proposal 2101 - S33

s.19(1)

My level of competence to evaluate: [REDACTED]

1. Understanding of NIP and need for evaluation.

Understanding [REDACTED] Need for evaluation okay, but seems slightly confused about client identification.

2. Perspective.

Theoretical basis of evaluation leading to identification of key variables.

3. Relevance and utility of proposal.

This proposal is developed in much more depth than most, giving us a better chance to comment on specifics. Sproule-Jones has a good basis in his eight elements of evaluation design to ensure that the final proposal is acceptable., excepting the above-noted problem of client identification. Re: Local Political Institutions - relies heavily on non-Canadian "reform" literature as basis for the identification of key variables (fragmentation and centralization). I suggest consideration of more concrete variables such as amount of dissention, info. flows, and changing citizen perceptions of local institutions might be of use. Re: Intergovernmental/departmental relationships - an interesting approach, but one I do not find convincing (perhaps reading the article referred to might help) Overall framework is good, especially the emphasis on multiple use of data elements for different aspects of the evaluation.

4. Innovation

Innovation in specific data collection anticipated, but minimized as being costly. Anticipates output of new theory regarding intergovernmental/departmental interactions.

5. Realism of the Proposal

Much work has already been done, but no plan for continuing is presented. No cost figures, no statement of nature of final output.

A Stewart 22 Aug 1973

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CP - 2007-01111
Evaluation: MICHELSON proposal

1. Understanding of NIP and the nature of the need for evaluation.

There is nothing included in the proposal which indicates that Michelson and group understand either the objectives of NIP or the reasons for MSUA to attempt an evaluation of it. They appear, however, to be a "high-powered" group, and perhaps we can assume this knowledge.

2. Perspective

The group does not appear to have a specific perspective, emphasizing synthesis.

3. Relevance and utility of proposal.

Good. Investigators are, as I understand them, all aware of the need to produce something which can actually be used as a basis for evaluation of NIP. It is worth noting that each investigator, in his preliminary statement, will produce estimates of data availability and costs.

4. Innovation

It does not appear that investigators anticipate any innovation to be forthcoming from their report.

5. Realism

The method suggested for producing the paper is good, considering the people involved as co-investigators. There is, of course, always the possibility of the result of such a process becoming a bland consensus document.

A Stewart

20 Aug '73

NIP evaluation: MAKUCH proposal 2101 - M31

My level of competence to evaluate: [REDACTED]

s.19(1)

1. Understanding of NIP and nature of need for evaluation.

[REDACTED]

2. Perspective

Interest group goal orientation

3. Relevance and utility of proposal

I like this one. It seems to provide a logical way of going beyond the basic approach proposed in the Ministry paper, through identifying the specific aspects of goal variables which are relevant to certain interest groups, and using this as a basis for a detailed methodology.

The truism of regional specificity is here too, but needs more elaboration before it can be evaluated.

4. Innovation

The evaluation methodology which would result from this proposal will be ambitious, and I am not aware that it has been tried seriously in Canada, but it is not really likely to be theoretically innovative.

5. Realism of proposal.

The authors recognize that in order to develop this proposal to an operative state, a lot of work is required. They propose to give it 42 man-days which will probably be enough. Do they really have this time, considering their other duties?

A. Stewart

20. Aug 1973

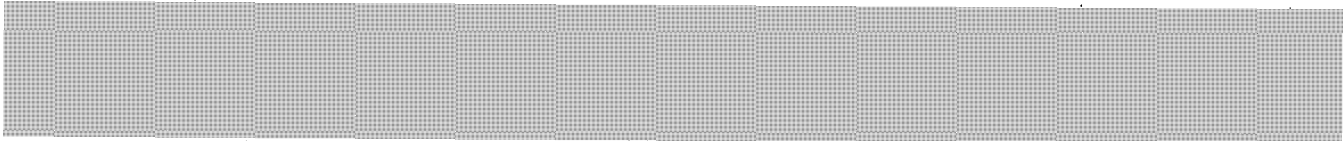
s.19(1)

MEMORANDUM

TO: Jean Filion
FROM: Gordon Cassidy
SUBJECT: EVALUATION OF NIP EVALUATION PROPOSALS

Clearly it is impossible given the time constraints and the amount of material which one is required to review, as well as the lack of depth of the proposals, to give any detailed evaluation of them. Rather what I have tried to do is give a brief summary of what I think of the proposal and ranked it with the proposals at the end.

The first proposal is the Michelson proposal from Toronto. Since this proposal is essentially a non-proposal and really only lays the vitae of the investigators, it's almost impossible to comment. Clearly, the persons involved are more than competent in their areas of expertise and clearly should they wish to devote a substantial proportion of their time to the design of the evaluation and perhaps later to the actual evaluation of NIP, it would be an excellent product. It seems to me that the question on this proposal is really whether we feel they will devote the necessary time to the evaluation. In some sense this is quite different from the remainder of the proposals, since



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The Machoch, et al, proposal from Dalhousie University - Apart from the fact that this proposal is very concerned with further delineating the goals and defining general objectives for the program, there is no real methodological content to the proposal as I read it. Presumably the authors would concentrate more on goal and objective definition for NIP as a program, rather than on the methodology for evaluating NIP. Clearly, these must be described before describing the evaluation methodology; however, the proposal seems overly concerned with theory and not too concerned with the down-to-earth problem of actually evaluating the program itself. I would grade it reasonable on theoretical perspective, [REDACTED]

[REDACTED] In addition, there is no real description of the kind of output we could expect from this group.

This is the Westley proposal from McGill. The proposal seems quite reasonable in terms of reviewing the literature, developing methodology and being concerned primarily with "social analysis". Probably the type of evaluation generated here would be particularly appropriate for the inner-city related social and psychological effects of the NIP. [REDACTED]

I would rate this proposal [REDACTED] in [REDACTED]

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s.19(1)

-3-

all areas except for social and psychological change and
[REDACTED] in that area.

Hawkes
This is the ~~Heeks~~ proposal from the University of Calgary. This proposal seems overly concerned with the implementation of the evaluation, rather than with the evaluation and its methodological development itself. From the construction of the proposal itself, either this group is [REDACTED] The way in which it defines its budget as well as the contribution of the School of Social Welfare to the project. The best way to get a reading on this group is to find out how well they did on the LIP evaluation from the Department of Manpower and Immigration. They really don't say much except that they are very interested in developing the evaluation and in getting involved in the evaluation itself once a methodology has been chosen. I would rate the overall proposal [REDACTED] and would make any general rating with respect to other proposals depend heavily upon the Manpower and Immigration evaluation of their LIP experience.

The Sprule Jones proposal from the University of Victoria. This proposal is certainly the most extensive of the proposals which have been received. It deals with theoretical issues, background documentation, fundamental problems with not only methodological development for the evaluation, but also data collection and its analysis. However, there is no cost estimate I can find submitted with the proposal, although there is something about \$15,000

s.19(1)

-4-

for a minimum total cost of survey data collection and analysis. I'm not sure if this proposee understood the intent of the RFP, dated July 16, 1973. However, in terms of overall coverage of various important aspects of the NIP evaluation this is probably the most complete. I would suggest this persons should be employed in the same vein as the Michelson proposal from Toronto, since he clearly has a good overall view of the way the evaluation should be developed [REDACTED]

[REDACTED] his ability to really develop an evaluation methodology for all the goal variables listed in the background document.

This is the Denike proposal from the University of British Columbia. This proposee deals substantially with the economic effects of the project rather than with demographic or other effects. Probably he would be not an unreasonable selection to evaluate the public finance part of the evaluation, although the majority of his proposal seems concerned with the organizational set-up of the evaluation rather than the methodological content of the evaluation itself. I would rate the proposal [REDACTED] on most of the dimensions except the public finance, [REDACTED]



Government
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MEMORANDUM

NOTE DE SERVICE

TO
A Jean Filion

FROM
DE Reg McLemore

SUBJECT
OBJET

NIP EVALUAION PROPOSALS: SENI, LINCOURT, STEWART, MacNAUGHTON,
HARVEY, DETOMASI, FORTIN

SECURITY CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE 2101-S33
YOUR FILE - V/RÉFÉRENCE
DATE August 23, 1973.

1. D. Seni (methodology): The proposal is not very explicit. However, Seni has considerable academic experience in evaluation and a good grasp of evaluation as a policy-making tool. His writings show this. The "ex ante" type, if it appears valid, could produce the short-term outputs we need. I believe it would be a valuable exercise, based on a consideration of relevant theory, analysis of the goals, machinery and resources of NIP, and knowledge of the impact of similar programs. I question the budget item on two external readers.
2. M. Lincourt (methodology, inner city, intergovernmental relations): The proposal promises a lot, but Lincourt and his team do have a lot of "inside" information and experience which will help. This group could produce a valuable overall framework plus details on many important goal variables. We would need, however, to specify what we expect in some detail, possibly cutting out some of the sections of his proposal. The per diem rate is too high.
3. S. Stewart (methodology): She is probably right about the "ecological" approach, but perhaps at too abstract a level and too late to be of help. We do not need a philosophical treatise. We need an operational evaluation model. If we want to pursue this one, we should approach her concerning the emphasis she intends to place on application of her ideas.
4. I. Mac Naughton (neighbourhood quality): One of the few proposals which approaches the question of neighbourhood quality as perceived by residents. I am not sure he is equipped to use the huge body of existing work in designing measurement techniques. He is, after all, one man working alone. We might be better to entrust this to Harvey.. But I do feel his approach is a reasonable one. The per diem rate is too high.
5. E. Harvey (methodology): The proposal seems to assume a major

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evaluation contract. This could be dangerous, for they will orient everything to their concerns and capabilities. The group is highly qualified and the proposal thorough. The sections on "selection of variables" and "units of analysis" are strong. I do not like their manner of constructing a system which can handle quantitative data in a sophisticated way, and then discussing qualitative aspects as an after-thought.

6. Detomasi (methodology, local political institutions, housing and land markets, public finance): The proposers are more honest than most in describing what can be done in the time period allowed. However, there is not much direction in the proposal - they say the standard things. The consideration of the normative aspect is valuable. Hawkes claims in his proposal that he will have the cooperation of Detomasi's department.

The per diem rates are too high.

7. Fortin (methodology, local politics, inner city, community life, migration, housing markets, participation): Fortin has assembled an excellent group. I am not sure of their ability to tackle migration and housing markets, but on the other aspects I feel they are qualified. They propose to develop an evaluation strategy for one city-Montreal. This is important because the other proposals tend to be more general. One of the levels of the evaluation itself will be the city and neighbourhood level.

Reg McLemore

Reg McLemore.

s.19(1)



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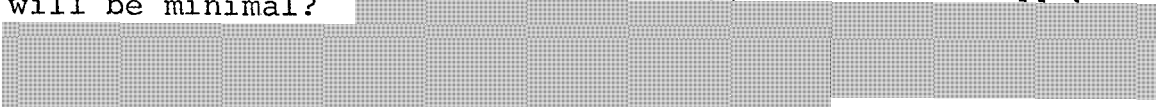
TO
/ JEAN FILION

FROM
DE Reg McLemore

SECURITY CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/REFERENCE
YOUR FILE - V/REFERENCE
DATE August 20th, 1973.

SUBJECT
OBJET NIP Evaluation Proposals: Michelson, Makuch, Westley, Sproule-Jones,
Hawkes, and Denike

The following are my comments on the above six proposals:

- (1) W. Michelson (methodology plus all goal variables): Michelson has assembled an excellent working group. However, the proposal says nothing. Do we want to base our judgement on the reputations of the team members? Are some of them already committed to the point where the time they invest will be minimal?

- (2) S. M. Mackuch (methodology): This proposal is strong in its concern with the development of goals through a process involving numerous interest groups. This is indeed the way operational goals will be defined in NIP - Federal goals mean very little. Because of this, it is essential that we study this process. A framework for this aspect of the evaluation could be designed to produce the short-term outputs we are looking for. The "regional approach" aspect of the proposal is also important, but may be better done by Hawke's group. The "goal achievement" section is weak.
- (3) W. A. Westley (methodology): This is an interesting approach, but I'm suspicious. There is a lot of sociological jargon and fashionable ideas. This kind of interactive evaluation process is easy to describe but difficult to implement. If all we will get from them is a better description, we can do that ourselves. The proposers seem to assume, however, that this contract will lead to responsibility for part of the evaluation. If this is a possibility, and if the proposers show an ability to tackle the hard practical (rather than idealistic) aspects of their approach, it might well be worth the money. Continuing consultation and communication of results to policy-makers is one of the most difficult problems we face. We really need, on this one, the opportunity to talk to the investigators and evaluate their experience and abilities. NOTE: The overhead costs are too high.

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- (4) M. Sproule-Jones (methodology, citizen participation, local political institutions, intergovernmental and interdepartmental relationships): This proposal is right concerning the need for theory. He may be able to develop a "package" with a theoretical framework and mechanisms for researching the closely-related goal variables of citizen participation, local political institutions, and intergovernmental and interdepartmental relationships. In the proposal I find his discussion somewhat confusing, though with some good points. This is perhaps understandable in light of the short time he had to prepare it.
- (5) F. J. Hawkes (methodology): This proposal promises valuable results on procedural approach, budgetary estimates, and work plans, items most proposers ignore. In light of the group's experience with the NIP evaluation, they may well be the best people to handle this aspect. It also appears that Hawkes has stirred up a lot of interest in the evaluation at the University of Calgary, which may be a bonus. The Faculty of Environmental Design, which he says will be involved, has, in my opinion, a number of talented people. The proposal to restructure the goal variables and to operationalize them is also important, though we have no information on how he would do this. He seems to ignore the need for theory. His assumption of one major contractor for the evaluation (p.2) should be questioned. We should also review a document which Hawkes describes on page 6, a copy of which is in Swain's office.
- (6) K. S. Denike (public services and finance, housing and land markets, intra-city migration patterns): There is another possibility here of a "package" of three related goal variables. I am not able to evaluate the assumptions he uses, though I think he overestimates NIP's likely effect on the level of public services. His approach has an intuitive appeal, but I leave it to economists to judge its value.

Reg McLemore

Reg McLemore



Jean Fillion s.19(1)

Tim Burton

SECURITY CLASSIFICATION - DE SECURITE
OUR FILE - N/REFERENCE
YOUR FILE - V/REFERENCE
DATE August 20, 1973.

SUBJECT
OBJET

NIP EVALUATION -- RFP'S

W. Michelson, Toronto

I like this proposal. It is realistic in that it adopts an approach geared to the most important constraint- time. It should prove to be a good study if Michelson does, indeed, receive the co-operation that he has required from the other participants. I know of most of the group and have no doubts about their abilities. This approach should also provide a useful contrast to most of the others, since it relies entirely on the accumulated knowledge of half a dozen experienced people and is, thereby, discursive rather than analytical in its thrust.

F.J. Hawkes, Calgary

Something worries me about this one. The statement of work to be undertaken is quite good, although perhaps a bit ambitious. It is, perhaps, the approach which concerns me somewhat. Seminars can very easily get too large. In which case, they tend to become superficial and/or convenient forums for justifying the investigator's own ideas. Also, 20 Seminars would appear to be rather substantial.

The LIP experience may be useful, but they should not assume that the experience is directly transferable to the NIP program.


Finally, the experience of the team members, while relevant, does not appear to be very extensive.

K.G. Denike, Vancouver

While there is some merit to his substantive assertions about, for example, the significance of incidence in determining spillover effects, these are by no means as clear-cut as he suggests. In discussing incidence, it is important to distinguish between a redistribution of "normal" or


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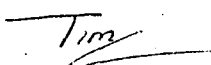
existing expenditures and a major increase in the total levels of expenditures through the injection of outside funds. The NIP is the latter case. More importantly, the methodology of his proposal is left very bare. He tells us that he wishes to follow an approach developed for previous work in Vancouver; but does not expand on this very much, nor relate it to his budget breakdown. It assumes far too much knowledge on the part of the reader.



M. Sproule-Jones, Victoria

The proposal is in the form of a Discussion Paper outlining what are some of the most important elements of an evaluation structure. The paper is a very good one in this respect. However, it does not outline, even briefly, where he intends to go from here. Presumably, he intends to develop the criteria discussed in the paper into a formal evaluation structure. If so, it could be an excellent structure. He has addressed himself to substantive matters in the proposal better than any of the others that I have reviewed.





Thomas L. Burton

s.19(1)

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Government
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MEMORANDUM

NOTE DE SERVICE

TO
A
Jean Filion

s.19(1)

FROM
DE
Tim Burton

SUBJECT
OBJET
NIP EVALUATION - RFP's

SECURITY CLASSIFICATION - DE SÉCURITÉ

OUR FILE - N/RÉFÉRENCE

YOUR FILE - V/RÉFÉRENCE

DATE

August 23, 1973.

Stewart/McKay, Ottawa

I like the thrust of this proposal - though I think that there is an incomplete understanding of the "ecological" approach. A holistic perspective is, without question, the most satisfactory for understanding and evaluation. However, when we begin to carry out research and analysis, we are forced to take a particular approach. In Frankel's words, "intelligible discourse requires us to define and limit the subject matter of the discourse and to indicate those features of it, from which, in terms of some explanatory framework, others of its salient features can be deduced and explained." Their perspective is essential; but whether or not an analytical evaluation procedure can be developed which is "ecological" is a moot point.

[REDACTED]

[REDACTED]

While the development of social or "livability" indicators is an issue of fundamental concern to the UEQ theme, the NIP evaluation is not a very useful forum for this. The impacts of NIP will not be massive and "before - after" surveys of quality of life will, consequently, yield only limited results. Also, I doubt that a team [REDACTED] could develop meaningful indicators in the available time.

[REDACTED]

[REDACTED]

This effort has some considerable similitudes to the proposal by [REDACTED]. My comments about indicators in referring to the [REDACTED] are, also, largely valid here. This proposal is much more comprehensive than most in its sweep - which raises the question of whether or not it can be done effectively in the time available.

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"...when this is done and a programme is measured in terms of which interest group is in fact succeeding in achieving its goals that a programme can be meaningfully evaluated." p. 7 Also the case they make for a regional approach is a good point.

[REDACTED] but I do not think that the authors, at this stage of their work, should start interviewing municipal and provincial officials concerning NIP. The budget then should be reorganised accordingly.

4)

[REDACTED]
I am not capable of giving an appreciation of this proposal. I do not understand the topics discussed.

However, my feeling is that the author did not understand the objective of the RFP. Why is he planning a programmer and a research analyst for the job to be done? No recommendation.

5) Jim Hawkes -- 2101 - H26.

Professor Hawkes and his group from the School of Social Welfare - University of Calgary are proposing to answer the RFP in its globality and all of its parts. They also want to develop suggestions of strategies for the administration and management of the NIP evaluation.

The least we can say concerning this proposal is that its authors plan to undertake a very ambitious task. They say they can achieve it on the grounds that they have some practical experience in evaluation having managed and directed the evaluation of Manpower and Immigration's Local Initiatives Program. I did check with Gerry Swartz from Manpower and Immigration, Director of LIP's evaluation, for their reaction vis-à-vis Hawkes' work. He believes Hawkes' work is excellent and recommends professor Hawkes and his group very highly. He sent me a draft copy of the LIP's evaluation final report. It seems to me by going through it very rapidly and superficially a good piece of work, but I would like to read these documents more carefully before arriving at a final judgement.

[REDACTED]
They certainly explain in details all the areas they intend to cover but they do not give us any indication or the orientation

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[REDACTED]

This opinion is based upon a comparative review of other proposals which have thus far been submitted.

2) William Westley -- 2101 - W25.

Professor Westley and Professor Salomon, from McGill University, propose to discuss two aspects of the evaluation of NIP. First, they intend to try to conceive an evaluation of NIP inside a theoretical framework where neighbourhoods are defined as sub-systems of social systems. This theoretical frame of reference would serve as a basis for a critique of MSUA's Background paper. Second, they suggest an elaboration on the methodology of evaluation, including a discussion on the data requirements, for proceeding with evaluation. This methodology will be developed from the technique of "social analysis".

The proposal by Westley and Salomon is stating interesting ideas. However, these are hard to be dealt with. In theory the methodology proposed is challenging but its application is very difficult. From my experience in evaluation of action research programs, I feel that the ideal model they are suggesting does not stick to the reality of the process of making an evaluation because analysts can not keep free from some sort of a commitment to a faction or another, and so, sooner or later, they have to favor one objective over another which destroys the essence of the methodology they hoped to apply.

However, I think the suggestion of trying to develop this kind of methodology is worthwhile especially if the authors succeed, in their final report, in convincing us adequately of means of avoiding the difficulties inherent to the technique of social analysis. In this case we could benefit from their work.

Considering the fairly interesting proposal of professors Westley and Salomon, as well as their academic qualifications, [REDACTED]

3) Stanley M. Makuch -- 2101 - M31.

The idea of defining the various and conflicting goals of all the social actors in the NIP process is a very good one and I think we can agree to state with professor Makuch that it is only:

...3



TO
A
NIP Evaluation Team

FROM
DE
Jean Filion

SECURITY CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE
YOUR FILE - V/RÉFÉRENCE
DATE August 22, 1973.

SUBJECT
OBJET

COMMENTS ON PROPOSALS FOR NIP EVALUATION!
Michelson, Westley, Makuch, Denike, Hawkes, and Sproule-Jones.

1) Bill Michelson -- 2101 - M29

It is evident that professor Michelson has grouped some highly qualified academics to work with him on the RFP concerning the NIP evaluation. Without doubt these people can come up with excellent ideas and a solid design for the NIP evaluation. If we want people with good credentials and a lot of experience to help us building our strategy for our evaluation of NIP, we certainly would get them by giving a contract to Michelson. However, my feeling is that the proposal does not tell us the direction this group intends to follow in order to achieve the task proposed. Indeed, beside telling us the areas of competence of the main investigator and the co-investigators and a list of the areas they intend to discuss - critique of background paper, methodology of evaluation, citizen participation, policies of urban renewal, intra-urban migration, housing market, public economy, inner-city and socio-psychological change - nothing more is said. Certainly the author must assume that we know the work of the people with whom he associates himself and that we must know what they are capable of doing. Good enough, but that does not satisfy me entirely. I would have preferred if Professor Michelson had explain the general orientation he and his co-investigators intend to follow!

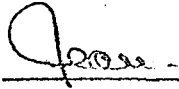

Another of my concerns is related to the amount of time the group directed by Professor Michelson intends to spend on the realisation of their proposal. Michelson allocates seven (7) days of his time to it and his co-investigators want to spend 3½ days of work each. My feeling is that in this short period of time these people will not be able to discuss in depth all the areas they want to cover and we run the risk of being delivered a paper which does not give us assurance of the depth that our RFP asked for.

...2

3/

E. Harvey -- 2101 -H

This is one of the very good proposal received. Especially from the point of view of data requirements needed to proceed to a good evaluation of NIP, measurement problems and analysis technique. The group working with Harvey however, should be careful, realistic in the development of their proposal. In developing the indicators and data in order to monitor NIP's effects they should consider that NIP is not a massive intervention and its impact might be relatively soft.



Jean Fillion.

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2/

Unfortunately I feel the proposal is not very explicit in terms of what will be the direction of their work concerning the methodology and the analysis of the goal variables. This is certainly a serious drawback in their proposal. Though not many people have suggested helping us in designing an evaluation design of NIP in the domains of housing and land market, and public finance.

But I am aware that this decision will be a shot in the dark even though it seems that Dr. Detomassi, Harper and Perks have a solid background in these domaines. In any event, on this matter, I leave the decision to my colleagues who know more about those matters. Concerning the possibilities for evaluation given MSUA two different budgets, the proposal does not give enough information to judge what kind of useful information we would get from such an exercise. This is the same for the proposed development of the goal variables of participation and local political institutions. The question of the normative analysis is certainly an important one but I do not think the authors should spend too much time on such a topic.

the study of housing and land markets as well as a brief elaboration on the concept of normative analysis. The budget, which I feel is extremely high in terms of per diem cost for research personnel, should be reduced to \$2000. The secretarial cost should also be reduced to a maximum of \$150.

Ms. Jean McKay -- 2101 - M33

Mr. Ian McNaughton -- 2101 - M22.

La proposition de McNaughton est la seule qui se propose de traiter comme tel et directement de "qualité de voisinage" en termes d'indicateurs pour mesurer le niveau de qualité et en termes de l'importance relative de chacun des facteurs qu'il se propose d'étudier.

Je doute que le développement d'indicateurs, tels que McNaughton semble les concevoir, puissent nous aider. Les interventions du PAQ seront-elles assez importantes pour affecter des changements sensibles sur les indicateurs.



TO
NIP Evaluation Team

FROM
DE
Jean Filion

SUBJECT
OBJET

COMMENTS ON PROPOSAL CONCERNING NIP EVALUATION -- FORTIN; DETOMASSI

SECURITY CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE
YOUR FILE - V/RÉFÉRENCE
DATE August 23, 1973.

Gérald Fortin -- 2101 - F14.

La proposition du groupe déposé par le professeur Fortin a beaucoup de mérite, elle est réaliste et précise; elle ne prétend pas solutionner tout. Les problèmes que l'on suggère d'étudier, par contre, semblent vouloir être analysés en profondeur. Cette équipe propose d'étudier, entre autres, deux aspects fort importants d'une évaluation. Premièrement, l'on veut développer une stratégie d'évaluation qui tiendrait compte non seulement des objectifs institutionnels, mais aussi des objectifs des autres acteurs impliqués dans le processus du PAQ. Deuxièmement, l'on veut discuter du problème de la méthodologie d'évaluation et du type de données qui permettront une bonne évaluation d'interventions survenant dans des aires très petites.

remarquons toutefois que les autres domaines que l'on dit vouloir étudier sont aussi fort valables mais la grande partie de leur contribution devrait, à mon avis, porter sur les deux thèmes mentionnés ci-haut. Je ne crois pas qu'il soit essentiel que ce groupe conçoive leur proposition dans l'hypothèse d'une étude de deux PAQ à Montréal.

on demande aux auteurs de mettre l'emphasis surtout sur les points cités plus haut et sur celui de l'élaboration des objectifs.

Dr. D.D. Detomassi -- 2101 - D26

Dr. Detomassi's proposal suggests the development of a general methodology for the evaluation of NIP and to undertake an in depth study of 3 goal variables -- i) local political institutions; ii) housing and land market and iii) public finance. The proposal also implies that the study will discuss what they call the critical distinctions between descriptive/positive evaluation and normative evaluation stating the point of view that evaluation should be normative not only measurement, description and explanation.

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RFP's cont'd

-/

D.A. Seni, Montreal

I find the proposal rather general. He has stuck rather slavishly to the standard outline. He has some interesting and rather novel thoughts (eg. ex ante and ex post evaluation). It is difficult to judge, but he has one very strong asset: an apparently strong background in policy and plan evaluation.

W.A. Westley, Montreal

Organisationally, the role of consultants (plural) does not fit with the budget request for support of a consultant (singular). The frequent reference to lack of time to undertake a literature review is too strong! Granted that time is short, I believe that a selective review is possible, especially given that the principals should be familiar with much of it already. Reference is also made several times to "quality of life". This concept, however, is not defined and, apparently will not be considered. Its major strength is its focus upon the processes of NIP implementation in a theoretical framework (Social Analysis).

D. Detomasi, Calgary

This is very similar to the proposal by Michelson; that is, the preparation of independent papers by a group of people and their subsequent synthesis by an individual. As in the case of the Michelson proposal, I know most of the people involved in this proposal. On balance, I think the Michelson group is more experienced. This group, however, is of a very different kind. The Michelson group is heavily oriented towards sociology and social development, augmented by an inner city-type planner and an urban geographer. This group is made up of two economists, two planners, an architect and a political scientist. Its proposal is particularly strong on the role of the NIP process and on the economic aspects.

→ CR

Government
of Canada

Gouvernement
du Canada

MEMORANDUM

NOTE DE SERVICE

Steve schatzow
Reg McLemore
Marge Goodwin
Gordon Cassidy
Barry Wellar
A. Stewart
David Hawkes

Irwin Lithwick
Tim Burton
Fred Schindler
Harry Swain
Jim Whitelaw ✓

TO
A

FROM
DE

Jean Filion

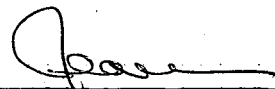
SUBJECT
OBJET

PROFESSOR SPROULE-JONES PROPOSAL -- NIP EVALUATION

SECURITY - CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE 2101-S 33
YOUR FILE - V/RÉFÉRENCE
DATE August 22, 1973.

Please take note of the following changes in Dr. Sproule-Jones proposal concerning the NIP evaluation.

Thank you.



Jean Filion.



MINISTRY OF STATE FOR URBAN AFFAIRS

RESEARCH PROPOSAL

BUDGET

(Do not include publication costs;
these will be borne by MSUA where
appropriate)

page of pages

CR file no:

2101-533

Items	Basis for payment	Amount
Research personnel	- 20 days @ \$125/day - probably 1 critique to read and comment on my report if time permits it.	\$ 2,500 250
Clerical and Secretarial expenses	- university staff 0	0
Computation expenses		
Other technical services (specify)		
Supplies	- paper, xeroxing	100
Capital facilities		
Travel and other expenses (specify)		
Overhead		
	TOTAL BUDGET	\$ 2,850

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CURRICULUM VITAE

August 1973

Personal Data:

Name: Mark Henry Sproule-Jones
Current Address: 3940 Ansell Road
Victoria, British Columbia, Canada
Date of Birth: [REDACTED]
Marital Status: Married with two children

Current Position:

Assistant Professor, Department of Political Science,
University of Victoria. (Tenured 1973)

Previous Academic
Positions:

1) Teaching Experience:

Fall 1965: Substitute Social Science Teacher
at Ebbw Vale Technical College,
Monmouthshire, South Wales

Spring 1966: Teaching Assistant in Western
European Political Systems,
a junior level course, under
Sven Groennings, Indiana University

Spring 1967: Teaching Assistant in American
Government, at the freshman level,
under Louis Lambert, Indiana University

Summer 1967 and the Academic Year 1967-68:
Teaching Associate in American Govern-
ment, independent course at the
freshman level, Indiana University

Academic Years 1968-70:
Lecturer at University of Victoria

2) Other Positions Held:

Academic Year 1964-65: Research Assistant to
Sven Groennings at Indiana University

Courses Taught and
Research Interests:

- 1) The Public Choice Approach to Public Policy Analysis,
with particular reference to urban and suburban
institutional analysis and policy evaluation.
- 2) Empirical Political Theories and the Philosophy
of Science.
- 3) Political Participation, with particular reference
to its relation to policy outputs.

.... 2

Curriculum Vitae
Mark Sproule-Jones
Page 2

Publications:
Articles

- 1) "How Others Do It: Britain and Scandinavia", in Cornelius P. Cotter (editor), Practical Politics in the United States. Allyn and Bacon, 1969, pp. 319-347. Rights also purchased by the Robert A. Taft Institute for publication as an independent pamphlet.
- 2) "Local Referenda and Size of Municipality in British Columbia", B.C. Studies, No. 8, 1970, pp. 47-50.
- 3) "Social Credit and the B.C. Electorate", B.C. Studies, No. 12, 1971-72, pp. 34-45.
- 4) "On Frogs and Worms: A Reply to Professors Black and Robin", B.C. Studies, No. 12, 1971-72, pp. 51-52.
- 5) "Strategic Tensions in the Scale of Political Analysis", British Journal of Political Science, Vol. 2, 1972, pp. 173-92.
- 6) "Notes on Urban Research in Canada", Comparative Urban Research (forthcoming).
- 7) "A Public Choice Model of Political Participation", Canadian Journal of Political Science, Vol. 6, 1973, pp. 175-94.
- 8) "Citizen Participation in a Canadian Suburban Municipality", Public Choice (forthcoming).
- 9) "Toward a Dynamic Analysis of Collective Action", Western Political Quarterly (forthcoming).

Publications:
Book Reviews

- 1) Book Review of The Dawn Warriors: Man's Evolution Toward Peace by Robert Bigelow (Toronto: Little, Brown), 1969, British Columbia Library Quarterly, Vol. 33, 1970, pp. 17-21.
- 2) Book Review of People vs. Politics by Jean A. Laponce (Toronto: University Press), 1969, B.C. Studies, No. 5, 1970, pp. 52-55.
- 3) Book Review of Strategems and Spoils by F.G. Bailey (Toronto: Copp Clark), 1969, Public Choice, Vol. 9, 1970, pp. 95-97.
- 4) Book Review of Gordon Tullock, Public Wants, Private Means: An Economic Analysis of the Desirable Scope of Government (New York: Basic Books) 1970, American Political Science Review, Vol. 65, 1971, pp. 515-516.

Curriculum Vitae
Mark Sproule-Jones
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Book Reviews (cont'd) 5) Book Reviews of Public Choice and Public Policy: Seven Cases in American Government, edited by Robert S. Ross (Chicago: Markham), 1971, and Youth and Social Change by Richard Flacks (Chicago: Markham), 1971, Western Political Quarterly, Vol. 25, 1972, pp. 551-53.✓

6) Book Review of Norman Frolich et al., Political Leadership and Collective Goods (Princeton: University Press), 1971, Canadian Journal of Political Science, Vol. 5, 1972, p. 598.✓

Publications:
Conference Papers

- 1) "A Theory of Public Employment," presented at the American Political Science Association, 65th Annual Meetings, New York, Sept. 1969.
- 2) "The Political Economy of Political Participation: Model and Analysis," presented at the Public Choice Society, Annual Meetings, Carnegie-Mellon University, Pittsburgh, May 1972.

Research in
Progress:

- 1) "A Public Choice Analysis of the Organization and Operation of Canadian Federalism," to be published in a special symposium of Publius: The Journal of Federalism, January 1974, devoted to public choice analyses of federal institutional arrangements and the provision of public goods and services.

Other Scholarship
Activities:

- 1) Discussant, Western Political Science Association Panel on "Government Within Metropolitan Regions," Western Political Science Association Annual Meetings, Albuquerque, New Mexico, April 8-10, 1971.
- 2) Canadian Correspondent, Comparative Urban Research.
- 3) Article Assessor, Canadian Journal of Political Science.

Curriculum Vitae
Mark Sproule-Jones
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- 4) B.C. Coordinator, Canadian Political Science Association
Committee on the Teaching of Political Science
in Community Colleges and High Schools, 1973-
- 5) Adviser, Honours Thesis, for A.J. Saunders (1968-69),
L.J. Hindle (1969-70), F.A. Schroeder (1969-70),
H. McMillan (1970-71), I.C.B. Smith (1970-71).
- 6) Member, M.A. Committee, for D.F. Pearson (1970-),
L.J. Halliday (1971-); M.A. Oral Committee
Member for G.S. Jenvey (1971); Chairman, M.A.
Committee for R. Sharp (1972-73); L. Rose (1972-).

Academic Record:

- 1) Undergraduate: B.Sc. (Econ.), London University,
1964, Second Class Honours
College: London School of
Economics and Political
Science
Tutor: Richard H. Pear
- 2) Graduate: M.A., Indiana University, 1965
Chairman: William J. Gore
Other Committee
Members: Charles S. Hyneman
Vincent Ostrom
Ph.D., Indiana University, 1970
Chairman: Vincent Ostrom
Other Committee
Members: Charles S. Hyneman
Alfred Diamant
H. Scott Gordon

Academic Awards:

- | | |
|------------|--|
| 1964-65: | Fulbright Scholar (U.S. Govern-
ment Award) |
| 1965: | John F. Kennedy Memorial Scholar
(United Automobile Workers of
America Award) |
| 1971, 1973 | Research Grants, University of Victoria
Committee on Faculty Travel
and Research |

Curriculum Vitae
Mark Sproule-Jones
Page 5

Membership in
Learned Societies:

American Political Science Association
Canadian Political Science Association
Policy Studies Organization
Polycentric Circle
Public Choice Society

University
Responsibilities:

- 1) Chairman, Department of Political Science
Curriculum and Graduate Planning
Committee, 1969-72.
- 2) Undergraduate Advisor, Department of Political
Science, 1972- .
- 3) Member, Department of Political Science Seminar
Committee, 1972- .
- 4) Representative, Department of Political Science,
Faculty of Graduate Studies, 1969- .
- 5) Member, University Committee on Traffic and
Parking, 1969-71.
- 6) Member, Graduate School Committee on Quanti-
tative Instruction, 1971- .
- 7) Member, Faculty Association Committee on
Salaries, 1971-73.
- 8) Member, Senate Committee on Curriculum, 1971-73.
- 9) Representative, Department of Political Science,
University Open House,
February-March 1972.
- 10) Member, Faculty Association Nominating Committee,
1972.
- 11) Chairman, Faculty Association ad hoc Committee
on Fringe Benefits, 1972-73.
- 12) Member, Dean of Arts and Science's Search
Committee for a Chairman of the
Department of Political Science,
1972-73.
- 13) Acting Chairman, Department of Political Science,
July 1973.

Curriculum Vitae
Mark Sproule-Jones
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Community Service:

- 1) "Political Participation in a Canadian Suburban Municipality: A Study of Saanich, B.C."
University of Victoria, March 1972 (a study and report for the Mayor and Aldermen of Saanich, B.C.). This report and its recommendations were summarized in Bill Thomas', "Saanich: A Low Vote Profile," for The Daily Colonist (Victoria), 30 March 1972, p. 13.
- 2) "Civic Elections," a talk before the Association of Women Electors, Victoria, B.C., 21 September 1972.
- 3) "Politics and Urban Canada," Public Lecture, University of Victoria, Division of Continuing Education, 8 March 1973.

Referees:

- 1) Professor Vincent Ostrom, Department of Political Science
Indiana University
Bloomington, Indiana 47401, U.S.A.
- 2) Professor Charles S. Hyneman, Department of Political Science
Indiana University
Bloomington, Indiana 47401, U.S.A.
- 3) Professor Robert O. Warren
Center for Urban Affairs
University of Southern California
University Park
Los Angeles, California 90007, U.S.A.
- 4) Professor Robert L. Bish
Center for Urban Affairs
University of Southern California
University Park
Los Angeles, California 90007, U.S.A.

Other referees available if required.

MINISTRY OF STATE FOR URBAN AFFAIRS

RESEARCH PROPOSAL

Page 1 of pages

Date:

CR file no:

Title of project and brief description (scope, objectifs):

An Evaluation Design for the Neighborhood Improvement Program with particular reference to the impact of the Program on:

1. Citizen Participation.
2. Local Political Institutions.
3. Intergovernmental and Interdepartmental Relationships.

Principal investigator's name, address, position, telephone:

Mark Sproule-Jones
Assistant Professor
Department of Political Science
University of Victoria
P.O. Box 1700, Victoria, B.C.

Tel: Office - 477-6911
Home - 477-3324


Signature

Contract to be made with (name and address of person, firm, institution or university):

Dr. M.H. Sproule-Jones
Department of Political Science
University of Victoria
P.O. Box 1700
Victoria, B.C.

Proposal accepted by responsible institutional authority:

Not applicable.

Signature

Signature and Position

Name and title

Name and title



MINISTRY OF STATE FOR URBAN AFFAIRS

RESEARCH PROPOSAL

page 2 of pages

CR file no:

Co-investigator's names, positions, addresses and telephones

Not applicable.

Total
Budget: \$ 5,000.

Proposed timing:

Start: When contract Completion Oct. 10, 1973
is awarded.

Check where
appropriate

☒

New
project

☐

Extension of an
existing project

Check origin
of project

☐

Unsolicited
proposal

☒

Response to RFP
dated 16 July, 1973

☐

Negotiated
proposal

Form and nature of final product

An Evaluation Design Paper spelling out the hypothesized nature and direction of the effect of NIP on key variables in the three "areas of concern" of citizen participation, local political institutions, intergovernmental and interdepartmental relationships.

MINISTRY OF STATE FOR URBAN AFFAIRS

page 3 of pages

RESEARCH PROPOSAL

CR file no:

If subcontracts are proposed, name prospective contractors, amounts, and work to be performed by each

Not applicable.

Previous contracts with Ministry of State for Urban Affairs

CR file no: None Dates: Amount \$

Other sources of funding for this project, with amounts requested or confirmed:

None

Other time commitments of principal investigators and key associates during term of proposed contract

Teaching of two courses at the University of Victoria (6 hours per week classroom time).

ATTACH resumés of principal investigator and all other senior personnel

If proposing institution is NOT a university, attach information on relevant experience.

Not applicable.

MINISTRY OF STATE FOR URBAN AFFAIRS

page 4 of pages

RESEARCH PROPOSAL

CR file no:

BUDGET

(Do not include publication costs;
these will be borne by MSUA where
appropriate)

Items	Basis for payment	Amount
Research personnel	Fee Suggested in Telephone Conversation	\$5,000.
Clerical and Secretarial expenses	Not applicable	Nil
Computation expenses	Not applicable.	Nil
Other technical services (specify)	Not applicable	Nil
Supplies	Not applicable	Nil
Capital facilities	Not applicable	Nil
Travel and other expenses (specify)	Not applicable	Nil
Overhead	Not applicable.	Nil
	TOTAL BUDGET	\$5,000.

MINISTRY OF STATE FOR URBAN AFFAIRS

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RESEARCH PROPOSAL

CR file no:

Detailed description

A detailed description of the work proposed should address the following points, as appropriate:

- (1) Review of previous work with references to relevant literature.
- (2) Relation to policy development objectives of MSUA.
- (3) Theoretical importance.
- (4) Formal statement of hypotheses being investigated.
- (5) Methodological considerations.
- (6) Specific objectives, with time and resources required for each task and sub-task.
- (7) Means of communicating results to researchers, policy-makers and their advisors, and the public.
- (8) Interim reporting dates or project review schedule.
- (9) Management of project.

Attach other pages as necessary.

See enclosed Research Proposal Paper.

MINISTRY OF STATE FOR URBAN AFFAIRS

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RESEARCH PROPOSAL

CR file no:

Continuation page

See enclosed Research Proposal Paper.

MINISTRY OF STATE FOR URBAN AFFAIRS

RESEARCH PROPOSAL

CR file no:

For internal use:
to be attached to completed research proposal

Title:

Principal investigator's name and address

Total budget:

Date received:

Current status of project:

Type of project:

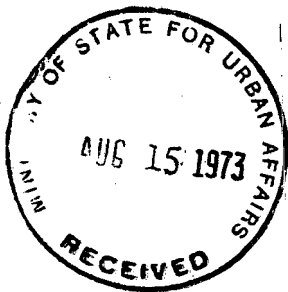
Theme:

Program activity structure:

Project officer

Theme coordinator:

	Coordinat- tor	Core Group	Management Committee	Executive Committee	Treasury Board	Contract Executed
Dates:						
Initials:						



049468

000111

PROPOSAL
TO THE
MINISTRY OF STATE FOR URBAN AFFAIRS
FOR AN
EVALUATION DESIGN FOR THE NEIGHBOURHOOD
IMPROVEMENT PROGRAM (NIP)

Investigator

Mark Sproule-Jones,
Assistant Professor,
Department of Political Science,
University of Victoria,
P.O. Box 1700,
Victoria, B.C.

Response to "Request for Proposal" dated
16 July 1973

Proposal Due Date: 17 August 1973



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2. Local Political Institutions	19
3. Intergovernmental and Interdepartmental Relations	22
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Article Enclosed

Mark Sproule-Jones, "A Public Choice Analysis of the Organization and
Operation of Canadian Federalism", Publius, 1974 (forthcoming)
preliminary draft copy.

Abstract

This is a proposal for the construction of an evaluation design for the Neighbourhood Improvement Program (NIP). In particular, it discusses the major requisites for an effective evaluation of NIP upon three of the "goal variables" suggested by the Ministry of State for Urban Affairs (MSUA) in their Background Paper, "A Preliminary Proposal for MSUA Evaluation of NIP Based upon Cooperation with CMHC":

- viz
1. Citizen Participation
 2. Local Political Institutions
 3. Intergovernmental and Interdepartmental Relationships.

However, because of certain limitations within the Background Paper, largely of a theoretical nature, it first sketches a theoretical framework that may take into account the complexities and relationships among and between the eight "goal variables" suggested by MSUA. The central questions underlying the proposal, given the absence of explicitly formulated goals in the legislation and (as yet) in the Master Agreements to be negotiated with the Provinces, are:

1. How can an appropriate evaluation of NIP yield valid, reliable and ongoing signals of performance that can be used by decision-makers for the appraisal and modification of NIP?
2. How can such an evaluation yield similar information for the construction of effective further Federal inputs into the urban scene?

The MSUA Background Paper

An evaluation design comprises at least eight elements. These eight elements will be discussed in the light of the MSUA Background Paper. They highlight the strengths and weaknesses of the Background Paper, although for the purposes of this research proposal, the weaknesses will be stressed more than the strengths.

1. An evaluation design should attempt to specify the predicted consequences of the Program derived from theoretical analysis.

In the absence of explicit legislative or "politically negotiated" goals for NIP, the Background Paper has suggested eight critical "goal variables" or "areas of concern" that are likely to be effected by the Program. While these "goal variables" appear intuitively to cover the major impacts of NIP, they are not derived from any theoretical analysis that postulates the interrelationships among key variables. There are three dangers to the exercise in the absence of any theoretical framework:

1. The danger of spurious correlation as intuitively interesting variables are included in any research.
2. The danger of escalating cost as each goal variable (and multiple indicators thereof) becomes a potential dependent variable to be analyzed against a potentially infinite set of "causal" factors.
3. The danger of examining invalid and unreliable indications of the consequences of the Program which can have positive feedback, i.e. reinforcing actions that aggravate negative consequences rather than correcting for them.

For example, the requirements in the legislation requiring some form of citizen participation are probably based on an intuitive theory that predicts that citizen participation will lead to a feeling among citizens that local government institutions are more responsive, that neighbourhood public services will be improved in quality if not quantity, that citizens will feel less apathetic and alienated from governments at all levels, and that they will be willing to participate more fully in a wider range of local and public affairs. On the other hand, it may be plausibly argued that citizen participation will lead to a confusion as to which level of government is responsible for different aspects of the Program, that the costs of government will rise because of time and effort-consuming negotiations between government officials and citizens, that service levels will either be unaffected or decrease, that citizens will become more apathetic and alienated, and that they will be less willing to broaden their range of participation in other local and public matters. In some cases, the predictions of such rival arguments run counter to one another, and evaluation in the absence of an articulated theoretical analysis may be fraught with the three dangers noted above, viz:

1. The implicit acceptance of one of these theories may yield spurious correlations.
2. The implicit acceptance of one of these theories may not lead to the predicted consequences, and additional variables are added indiscriminately in order to account for the variance in participation.
3. The implicit acceptance of one of these theories may lead to differing measurement indicators -- for example, the first argument may lead to measures of public services based on citizen evaluations of

performance, while the second may lead to measures based on bureaucratic "targets" -- which may have positive feedback on those decision makers responsible for delivering the service. While the MSUA "Request for Proposal" acknowledges the necessity of a theoretical framework(s), it is impossible for investigators who are called to elaborate upon a design for specific goal variables, to exclude an appropriate theoretical framework in their contract proposals. Accordingly, such a framework is specified in a subsequent section of this proposal, and is predicated upon an assumption that an evaluation design should attempt to yield valid, reliable and ongoing signals of performance for the Program.

2. Identification of the key variables to be monitored as a result of the specification of predicted consequences.

Given the predictions specified in the theoretical framework, it is then necessary for an evaluative design to identify key variables and to develop measures to examine these variables over time. The "goal variables" suggested by MSUA are clusters of variables with uncertain or unknown interrelationships. For example, little is known about the functional relationships between, on the one hand, physical measures of local public services, and on the other hand, citizen evaluations of these services, the latter which could possibly fall into the MSUA category of social and psychological change. Attempts to measure local government services traditionally focus on (absolute or relative) input quantities (total expenditures, manpower, per capita expenditures, etc.) or upon physical output proxies which say nothing about the quality of service provided (miles of streets paved, tons of refuse collected, number of city blocks

patrolled, etc.)). Recently, some research has focussed instead on citizen evaluations of output (e.g. The Urban Institute studies summarized in Hatry et al, The Indiana University police studies summarized in E. Ostrom et al 1973, or the ongoing National Opinion Research Center Study at the University of Chicago under James A. Davis) as another approach to the measurement of effectiveness. However, the functional relations between these two contrasting modes of measurement have yet to be specified, an advance which is critically needed in order to furnish information to decision makers (a) about some of the impacts of local public services through the easily examined records of physical output kept by government departments and (b) to determine the relative effectiveness of a program such as NIP as one of a number of possible governmental strategies for urban Canada.

The MSUA background paper does not attempt, and the authors acknowledge this point, to specify in more detail the operational methods for key variables within each "goal variable" or "area of concern". Accordingly, in a subsequent section of this proposal, an attempt is made to suggest key variables and their measurements within the three "goal variables" of citizen participation, local political institutions, and intergovernmental and interdepartmental relations. If the proposal is accepted by MSUA as one of its evaluation design contracts, further work will have to be prepared for the design to clarify and measure the key variables.

3. Extensive collection of data regarding key variables before NIP is instituted.

The MSUA Background Paper is fully sensitive to this feature of a good research design. However, given the short lead time before NIP is instituted, and given the likely absence of already collected data on certain key

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variables at this time (e.g. the data on citizen evaluations of public services noted above), the evaluation design will have to specify at least two alternative data collection strategies:

(a) The best research strategy of depicting what sort and types of data should be collected immediately in designated NIP areas

(b) The most feasible research strategy of depicting what sort and types of proxies may be already collected and amenable for use before NIP is instituted. For example, the number, frequency and type of complaint data collected by certain municipalities for specific local services (e.g. for garbage collection in the Saanich Municipality of B.C.) may have to be used as one of a number of proxies of citizen evaluations of output.

4. Simultaneous Data Collections regarding key variables in control group neighbourhoods.

The evaluation design will have to provide at least two strategies for data collection in control group neighbourhoods similar to the two strategies noted above for data collection in the NIP neighbourhoods themselves, viz:

(a) the best research strategy

(b) the most feasible research strategy

The most feasible research strategy will probably have to rely extensively on census data. The MSUA Background Paper appears sensitive to this consideration.

5. Data Collection of Key Variables at Different Time Periods after NIP is instituted in both the designated and the control neighbourhoods.

The MSUA Background Paper fully acknowledges this point, and it acknowledges its importance as part of the political terms and conditions underlying NIP.

The evaluation design should ideally provide ongoing and easily read signals of performance of NIP on most if not all of the postulated "goal variables". One such means may be through the recently developed technique of a symbolic matrix array of signals of performance (White et al; Cook and Scioli). For example, in a subsequent section of this paper, the use of a symbolic matrix array of the hypothesized impact of changes in the physical accessibility of NIP supported recreational facilities upon a scale of citizen participation is presented.

6. Analysis of the findings in the light of predicted consequences.

This criterion of a good evaluation design needs little comment. It rests on the specification of an appropriate theoretical framework, and the MSUA Background Paper can say little on this feature at this time.

7. Critical Examination of the Findings for the Possible Existence of Spurious Variables.

The MSUA Background Paper is sensitive to this concern. The importance of the concern will depend largely on the degree to which the previous six stages of a good evaluation design can be effected. It is suggested that the final evaluation design use as a model the series of potential "threats" to validity outlined by Campbell (Campbell and Stanley 1966; Campbell 1969). For example, one of the "threats" mentioned by Campbell (1969: 411) is that of "maturation" or, in terms of NIP, a process within a neighbourhood that produces changes as a function of the passage of time. Intra city migration, for example, could change for reasons unconnected with NIP, and this may have an impact on citizen participation.

8. Reassessment of the Theoretical Framework

This is probably the most important stage. It should yield confirmatory or disconfirmatory evidence about the underlying theory implicit in NIP, such as that mentioned in stage 1 of the presumed effect of NIP on citizen participation. It is the most important stage since it may be used as a model for evaluating further governmental ventures along the lines of NIP, or further governmental ventures in other urban concerns.

In sum, the MSUA Background Report is fully sensitive to most of the stages of a good evaluation design noted above. However, it does not appear to be sensitive to the critical linkages between an appropriate theoretical framework and the specification of strategic impacts of NIP on the three "goal variables" of citizen participation, local political institutions, and intergovernmental and interdepartmental relationships. Accordingly, although this investigator's major concerns are with the latter three "goal variables", a theoretical framework encompassing most of the "goal variables" suggested by MSUA is sketched in the next section of this proposal.

A Theoretical Framework for NIP Evaluation

Our previous discussion has argued that a theoretical framework, among other things, is a sine qua non of effective evaluation designs in general, and of an evaluation design for NIP in particular. It is moreover, a sine qua non for an evaluation design for any subset of the "goal variables" postulated as important areas of concern likely to be impacted by NIP.

In the absence (as yet) of any specific program goals for NIP, an appropriate theoretical framework must perform at least two functions:

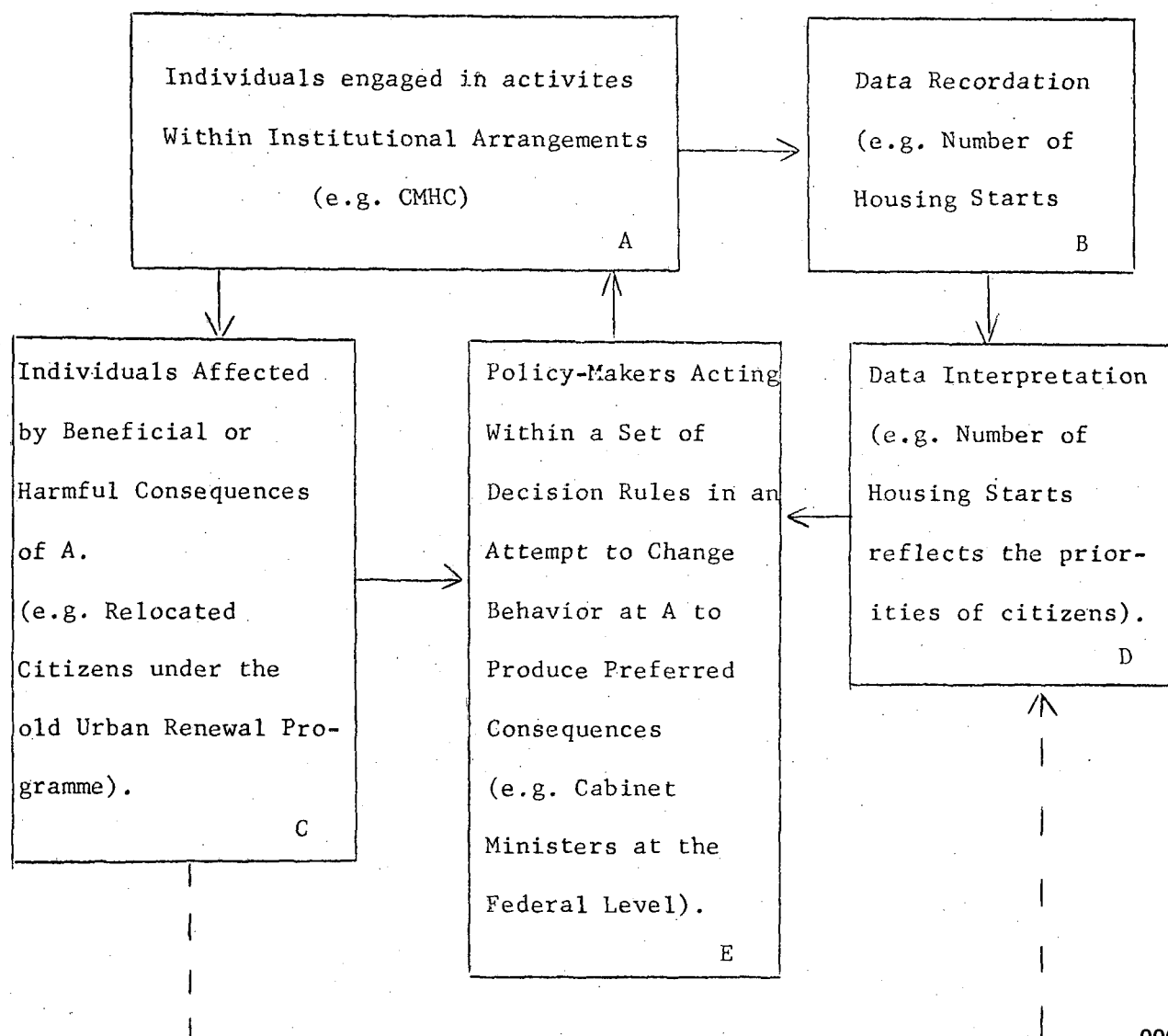
1. It must encompass all of the eight postulated goal variables suggested by MSUA.
2. More important, it must yield valid, reliable and ongoing signals of the impact of NIP that can be used for modification of NIP or for other governmental initiatives into the urban field.

The framework that appears to perform these functions is one that can be adapted from E. Ostrom's "Institutional Arrangements and the Measurement of Policy Consequences in Urban Areas" (E. Ostrom, 1971). The unadapted framework postulates that individuals engaged in activities within institutional arrangements (eg. political institutions and departments) produce a range of intended and unintended consequences (impacts) for themselves and others, as well as producing data which records some aspects of these consequences (e.g. number of housing starts for a housing agency). The production of data, if it is to affect the policy process, must be available and interpreted by decision makers, with the aid of some explicit or implicit theoretical perspectives. If these decision makers, who have the authority to affect the activities of individuals by changing the

the structure of incentives embedded in institutional arrangements, are not directly affected by the consequences of the activities of these individuals, or if the full set of consequences are not recorded, or if the theory that is used to interpret the data is challenged by those who are actually impacted by the activities of individuals, then gross errors may occur or already exist in the policy process. The framework is illustrated in the following Figure 1, with the use of some ad hoc examples:

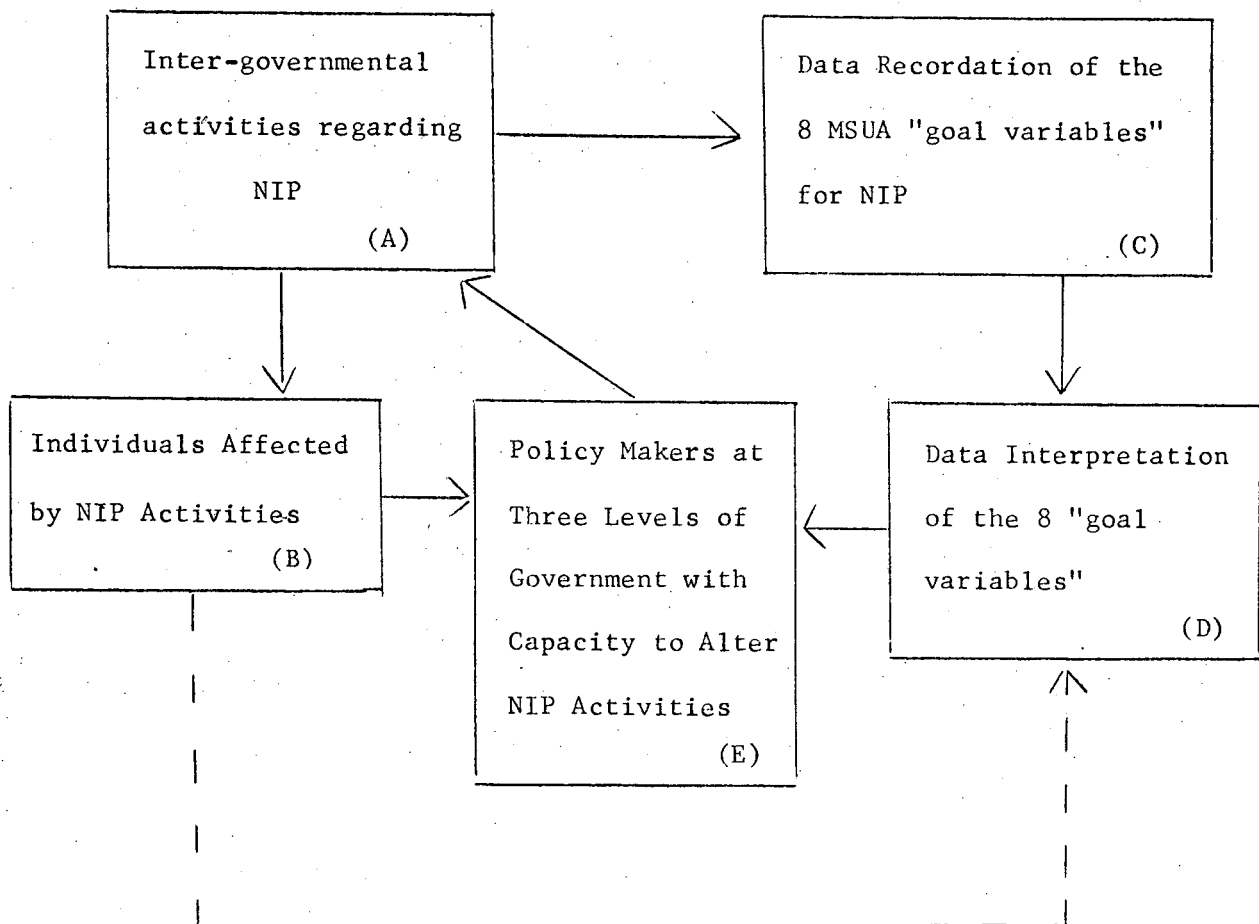
Figure 1: A General Model of the Policy Process

(Source: E. Ostrom, 1971)



This framework, which takes into account (a) the problems of evaluation design, (b) the problems of a wide range of intended and unintended consequences of public activities, and (c) the problems of feedback and error into and among the political institutions and departments involved in the policy process may be fruitfully adapted to the NIP "goal variables". The adaptation is shown in Figure 2.

Figure 2: A Model of the NIP Policy Process



More specifically, this model of the policy process points out that the major classes of variables that must be experimentally related to the eight "goal variables" are those at points A, B, E and D. The model, in other words, posits as critical theoretical parameters, that variables at these particular points are crucial, and that, for cost reasons if no other, this is the subset of all possible variables that must be examined. In the following section, variables at these points are suggested in relation to the three goal variables of (a) citizen participation, (b) local political institutions and (c) intergovernmental and interdepartmental relations that are specifically called for examination in the RFP of MSUA to this investigator.

The Criteria for an Evaluation Design of Citizen Participation, Local
Political Institutions, and Intergovernmental and
Interdepartmental Relations

In the preceding section, it was argued that some four classes of variables were the critical ones to be examined in relation to the three "goal variables" that are the subject of concern for this investigator. The four classes of variables were

1. Inter-governmental activities regarding NIP.
 2. Individuals affected by NIP Activities.
 3. Policy Makers at the Three Levels of Government with NIP activities.
 4. Data Interpretation of the "goal variables" of NIP.
- Each of these four classes of variables will now be clarified and discussed in relation to the three "goal variables" to be analyzed.

1. Citizen Participation

Citizen participation, in both the NIP areas and in equivalent control group neighbourhoods, should be measured in two ways:

- (a) Scales of the extent of participation engaged in by NIP area residents should be derived to give an overall perspective of the extent of citizen participation. Such scales are relatively easy to construct (e.g. Woodward and Roper; Sproule-Jones and Hart), but they involve the use of survey data which probably will have to be specially collected. However, the cost may be kept down in so far as specially collected survey data is probably necessary for other measures in the evaluation.

(b) Case studies of particular modes of participation should be examined. MSUA suggests in its background paper that the mode of consultative arrangements with local officials should be examined, and similar case studies should also probably be undertaken with regard to (a) complaints and contacts with governmental officials (H. Jacobs, Eisenger, Lorimer), and to (b) migration, which although another postulated "goal variable" may also be interpreted as a mode of participation (Tiebout, Oates, Ellickson, Hirschman, Orbell and Uno). Specially collected survey data would probably be essential, particularly for establishing controls on the socio-economic and other resource levels of respondents (Sproule-Jones and Hart), but it could be supplemented and perhaps even replaced in certain circumstances by the use of historical analysis (D. Jacobs) or carefully manipulated census data (Benson and Lund).

The relation of citizen participation to the four classes of variables derived from the policy model will now be suggested.

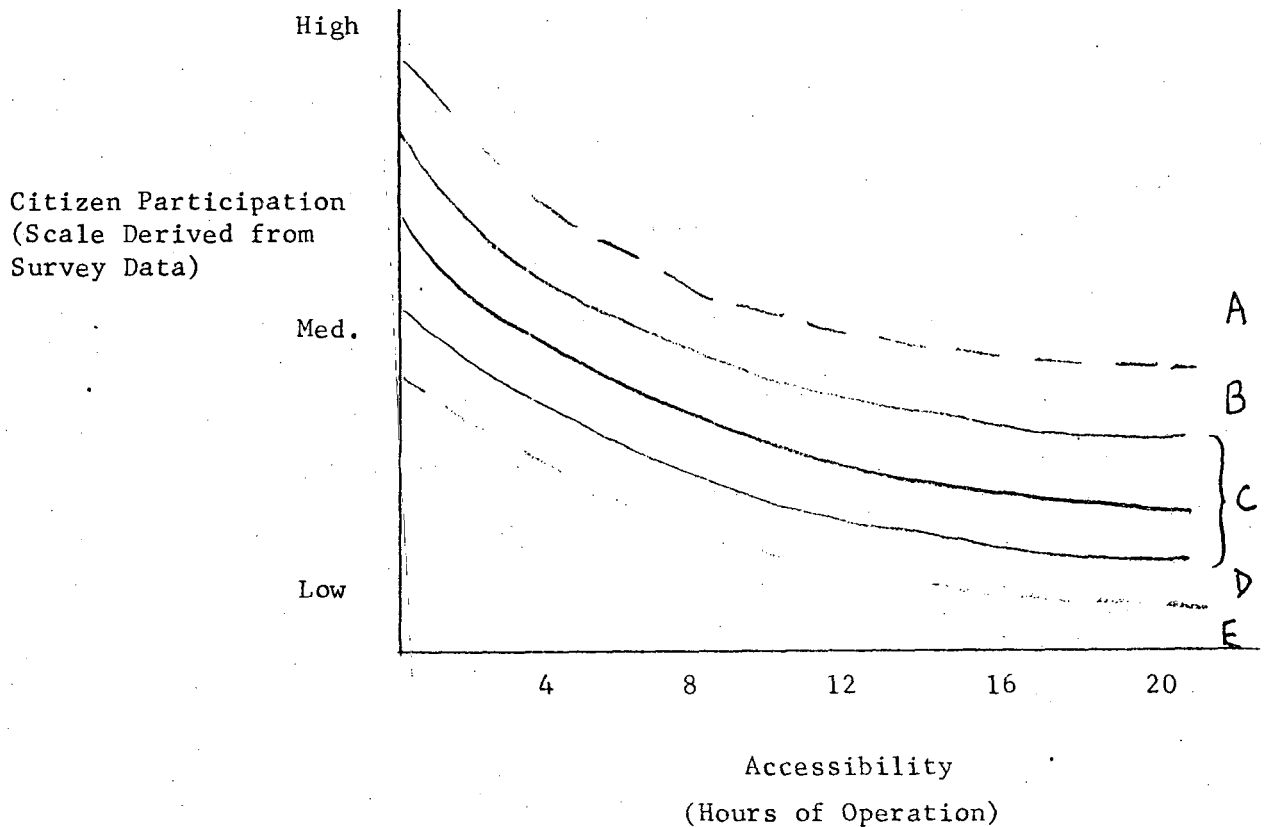
(a) Intergovernmental Activities regarding NIP: Measures of the physical output for NIP should be related to the two methods of measuring citizen participation. The relationship to the first measure of citizen participation can be described statistically, and in a signalling form (suggested below), while it may also be possible to present a comparable signalling form in relation to the data derived through case studies. For example, some of the physical measures of the output of a recreational facility (Fisk et al) provided or subsidized under NIP may be:

1. Hours of operation, as a measure of accessibility
2. Number of accidents and deaths per 100,000 hours of use as a measure of safety.

3. Total attendance per week as a measure of enjoyableness.
4. Average number of different programs per facility as a measure of variety.


















One of the measures or an index of the physical measures used for NIP recreational amenities in designated areas may be run against a scale of participation for such areas, as illustrated by the following scattergram (Figure 3).

Figure 3: Illustrated Scattergram of the Relation Between Citizen Participation and Physical Accessibility of NIP Supported Recreational Facilities



Each mark to be placed on the scattergram represents the hypothesized level of participation impacted in a NIP area through governmental support for a recreational amenity. The middle line is the curve of best fit. To allow for normal variation and any statistical and test errors, acceptance margins of variance are assumed. Most NIP areas fall within band C (within 15% of the best fit curve). Others fall within bands B or D (between 15 and 25% from the best fit curve). Areas in bands A or E represent extremes of performance in terms of citizen participation. Such data can now be arranged into a symbolic matrix for an on-going signalling of the impact of a NIP activity on citizen participation (Figure 4).

Figure 4: Hypothesized Symbolic Matrix for Participation Impact of
Recreational Accessibility Support Activities under NIP

<u>NIP Area</u>	<u>Participation</u>		<u>Symbols Key</u>
	1974	1975	
1			 = over 25% above best fit curve
2			 = 15 - 25% above
3			 = 15% above - 15% below
4			 = 15 - 25% below
5			 = over 25% below
6			

In Figure 4, it is possible, by reading across a row, to see how NIP activities with regard to recreational amenities (measured by physical accessibility) varies for a particular NIP area over time. By reading down a column, it is possible to appraise the impact of this particular activity (measured by the one physical measure) from one NIP area to the next. NIP areas marked by extreme scores can then be examined in more detail through the case study approach to particular modes of participation, in order to reveal particular characteristics or intervening variables in the neighbourhoods.

(b) Individuals Affected by NIP Activities: Measures of citizen evaluations of output for NIP areas should also be related to the two methods of measuring citizen participation. The measures of citizen evaluations would have to be collected through survey data. Ideally such measures should be directed at evaluations of neighbourhoods as a whole (Rossi) as well as at evaluations of particular services (E. Ostrom, 1973). Should cost be a significant factor then data collection could feasibly be limited to the proportion of residents satisfied with particular aspects of a particular service (Fisk et al). Community rated photographs of aesthetic conditions (e.g. cleanliness of alleys) can provide a relatively cheap set of supplementary measures for particular local services like garbage collection (Hatry et al).

The data derived in such fashion can be statistically related to the scale(s) of citizen participation noted above. If the data can also be related statistically to particular modes of participation as well, then the analysis could have both theoretical and political payoffs. If data on citizen evaluations of output, controlling for socio-economic

characteristics of respondents, could be functionally related to complaint data, then local governments which already have "complaining facilities" for local public services may have a readily accessible, cheap and valid method for ascertaining the effectiveness of their activities. Such an exercise has yet to be done. The relationships could be signalled through a symbolic matrix array, illustrated previously.

(c) Policy Makers at the Three Levels of Government with NIP Activities:

The critical variables in this causal set with a potential impact on citizen participation appear to be of two sorts (Zisk 1972). First, attitudes of policy makers with regard to citizen participation could profitably be ascertained, particularly proportions of policy makers that (1) value participatory activity and (2) seek support of citizens before undertaking service changes. The other sort of data that appears to be of theoretical interest would be measures of public expenditures in NIP areas (if portionable): (1) per capita expenditures by years (2) proportions of expenditures by years on amenity as opposed to other services and (3) proportions of expenditures by years on planning as opposed to other items.

This investigator doubts as to whether the attitude data could be feasibly collected for levels of government above the local one, because of "political" considerations. It would also require considerable lead time for collection. However, the expenditure data could feasibly be collected and related to the scales of citizen participation and (possibly) particular modes of participation. It may be necessary to eliminate this set of variables altogether, however, since the attitudes of policy makers

have been shown elsewhere (Zisk, Eyestone) to be critical intervening variables between aggregate output measures (such as expenditures) and citizen participation.

(d) Data Interpretation of the "Goal Variables" of NIP: MSUA has already indicated in its background paper that it intends to make its own "in-house" evaluation of the bases of support for NIP among senior levels of government. It is important to try to ascertain the theoretical expectations and perspectives of the decision makers involved in the Program, since the Program may meet their theoretical predictions although not those of the neighbourhood citizens. The perspectives of the citizens could be ascertained through survey data (and may indeed be the major thrust) behind the "goal variable" category of social and psychological change. If the data for citizens were collected in an amenable form, it should, when related to the scales of participation and particular modes of participation, yield results about the types and intensity of reactions of the citizens as NIP developed over time.

2. Local Political Institutions

Among the vast number of potentially important variables encompassed by this "goal variable", there are two which theoretically are of critical importance (E. Ostrom, 1972) and which also appear to be critical if NIP is to be used as an experiment in itself to judge further Federal ventures in urban Canada. The two variables are:

1. Measures of fragmentation of government within a metropolitan area (e.g. the measure of the number of governments within a metropolitan area used by Hawkins and Dye) since the traditional so-called

"reform" literature has argued that fragmentation reduces service levels, and the political economy and community control literature argues that it may not. The measures may also tap some of the wider impacts of NIP on the rest of a metropolitan area, a concern expressed by MSUA in its background paper.

2. Measures of the centralization within a local political institution (e.g. the presence of city-manager form of government, whether council is elected at large, number of members of city council, number of city officials without a "line" responsibility, the number of city officials per municipal department, some measures of which have been used by Aiken and Alford). Again much of the so-called "reform" literature argues that centralization fosters coordination and improves service levels, while much of the political economy and community control literature argues the opposite. Such measures may also tap the origins of the concern expressed in the MSUA Background Paper that NIP may generate different types of conflict in local institutions depending on the structural organization of the institutions.

Both of these variables can rely on unobtrusive data which should, in a large degree, already have been collected. The only caveat to the use of these measures may come from the actual designation of NIP areas; there may not be enough variance in the operational indices of the measures because of the location of NIP projects in similar types of areas with similar forms of local government.

(a) Intergovernmental Activities Regarding NIP: Measures of the physical output for NIP can be related to both variables of local political institutions. The results should bear directly on the question of whether the reform literature on local governments is warranted in its conclusions; the literature is singularly marked by an absence of confirmatory empirical evidence (E. Ostrom, 1972). The relationship between particular physical measures and these two variables could also be arrayed in a symbolic matrix form already illustrated.

(b) Individuals Affected by NIP Activities: Citizen evaluations of output should also be related to the two variables of local political institutions. A comparison of the results between citizen evaluations and physical measures of output should yield conclusions as to the relative importance of each in ascertaining governmental performance indicators.

(c) Policy Makers at the Three Levels of Government: The attitudinal data as well as the expenditure data, described previously, for this cluster of variables could also, if collected, be related to the two variables of local political institutions. The results should, again, bear directly on the warrantability of the reform literature's conclusion about the "improvements" in local political institutions as a result of lesser fragmentation and more centralization.

(d) Data Interpretation of the Goal Variables and Program Goals for NIP: The theoretical perspectives of the political actors at different levels of government and of citizens themselves about the results of NIP should also be related to the two variables of local political institutions. The analysis may yield results indicating a wide difference in theoretical perspectives for the results of NIP depending on the roles of the political actors.

3. Intergovernmental and Interdepartmental Relationships

This is probably the most difficult "goal variable" or "area of concern" to evaluate, since there is no generally accepted theoretical perspective as to how intergovernmental arrangements in Canada actually operate. In a recent paper (Sproule-Jones 1973), a copy of which is enclosed with this proposal, two of the alternative theoretical perspectives on the organization and operation of Canadian federal arrangements are laid out in detail. The NIP experience may be used to test the major conclusion of each of these perspectives, and by inference the usefulness of the rival approaches. However, since one of the approaches predicts that no stable organizational arrangement for the provision of public policies in Canada will be found, it implies that NIP, and any other case of public policy, cannot be accepted as a representative example for the appraisal of intergovernmental relationships. If, however, the major conclusion of this particular approach can be assessed as to its predictive utility, then it may be possible to infer that NIP can or cannot be accepted as a representative example. In turn, then it may be possible to use one or other of the rival theoretical approaches to yield some valid inferences about the outcomes of future public policies.

The conclusion of the rival approaches that is both politically feasible and amenable to testing with NIP experiences^{*} is:

* There are other aspects of the rival approaches that are amenable to testing. For example, a bargaining model could be used to predict and examine the factors that determine the bargaining power of the senior levels of government, with respect to the final constitution of the Master Agreements for NIP. Such a model is not spelled out here, since MSUA has indicated that it will assess such aspects of "intergovernmental coordination" because of the "political sensitivity" of the operation.

1. For the "orthodox" approach: that a single governmental supply (provincial/municipal or federal) of a public service leads to higher levels of performance than a joint supply (by both provincial/municipal and federal levels).
2. For the "alternative" or "public choice" approach: that a joint supply of a public service leads to higher levels of performance than a single supply.

The conclusions may be tested by the following procedure:

1. Matching NIP designated areas with similar adjacent undesignated areas within the same municipality and province, on the following dimensions: proportion of owner-occupiers, socio-economic status of residents, neighbourhood migration rates, and citizen participation rates (the last could be eliminated if unobtrusive proxy measures did not exist).
2. Partitioning local government expenditures on one or a number of public service amenities for the experimental and control group neighbourhoods.
3. Measuring both physical and citizen evaluation measures of the performance of these public services amenities in both sets of neighbourhoods.
4. Ascertaining whether the rate of change in government expenditures in NIP areas leads to higher levels of performance in NIP neighbourhoods than in control group neighbourhoods. If so, then the evidence supports the "alternative approach" and offers some evidence to disconfirm the "orthodox approach" to the analysis of public organizational arrangements in Canada.

This procedure would inevitably encompass some of the measures, suggested above, for the following classes of variables that

our theoretical framework suggested were important.

- (a) Measures of physical output as proxies for intergovernmental activities regarding NIP.
- (b) Measures of citizen evaluations as proxies for individuals affected by NIP activities.
- (c) Partitioned expenditures on amenity services as one of a number of proxies for Policy Makers at the Three Levels of Government.

A comparison of the results of this exercise with any attitudinal data collected on governmental decision makers and citizens as to their theoretical predictions about the impact of NIP could possibly suggest some of the reasons why not all of their predictions were realized.

In order to ascertain some of the impact of NIP on inter-departmental relations, it may be possible to partition and add the cost of man hours expended at all three levels of government into the public expenditure overhead figures for NIP areas, and contrast the NIP and matched neighbourhoods with this additional item. However, since man hours have already been expended on the NIP program, and since certain departments or governments may not be willing or able to furnish such figures, then this additional item is unlikely to be a feasible addition to the project.

If costs permit, this proposed experiment of the impact of NIP on intergovernmental and interdepartmental relations, should be supplemented by two sorts of non-statistical studies:

1. By participant observation of the historical changes in the political life of the NIP areas as an indicator of the outcomes of changes in the intergovernmental and interdepartmental relations on the political life of the neighbourhoods (after Lorimer).

2. By historical analysis of the changing nature of interdepartmental and intergovernmental relations with regard to NIP, in order to suggest the political terms and conditions underlying departmental and Federal initiatives into the urban field (after Close and Burns).

Both sorts of studies would yield only "soft" data and be subject to the "sensitivities" of the investigators. However, the direction of these studies could be circumscribed by the explicit use of a theoretical framework common to the entire evaluative exercise, such as the one suggested in a previous section of this report.

A Further Note on Cost

This report has suggested three sorts of data that must be analyzed.

1. Survey data which would have to be specially collected.
2. Data already collected and amenable for analysis (e.g. measures of governmental "fragmentation" and "centralization" as the two critical variables of local political institutions).
3. Data yielded through participant observation and elite interviewing (e.g. the two supplementary case studies for tapping the impact of NIP on intergovernmental and interdepartmental relations).

The latter two sorts of data are relatively cheap to collect and analyze, involving little more than salary expenditures (although these can escalate if extensive longitudinal studies are envisaged for participant observation). The survey data will involve some additional expenses, however, particularly as the total N for respondents in NIP and control group neighbourhoods will be proportionately greater than the required N for making generalizations about the nation as a whole. Given the number of neighbourhoods that must be surveyed, a N of at least 1000 would probably be necessary with at least an $\frac{1}{2}$ hour interview per respondent. Given the rule of thumb of \$15 per interview, a sum of at least \$15,000 would probably represent a minimum total cost for survey data collection and analysis. A more sophisticated survey would probably cost at least twice that figure.

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Academic Years 1968-70:
Lecturer at University of Victoria

2) Other Positions Held:

Academic Year 1964-65: Research Assistant to
Sven Groennings at Indiana University

Courses Taught and
Research Interests:

- 1) The Public Choice Approach to Public Policy Analysis,
with particular reference to urban and suburban
institutional analysis and policy evaluation.
- 2) Empirical Political Theories and the Philosophy
of Science.
- 3) Political Participation, with particular reference
to its relation to policy outputs.

.... 2

Curriculum Vitae
Mark Sproule-Jones
Page 2

Publications:
Articles

- 1) "How Others Do It: Britain and Scandinavia", in Cornelius P. Cotter (editor), Practical Politics in the United States. Allyn and Bacon, 1969, pp. 319-347. Rights also purchased by the Robert A. Taft Institute for publication as an independent pamphlet.
- 2) "Local Referenda and Size of Municipality in British Columbia", B.C. Studies, No. 8, 1970, pp. 47-50.
- 3) "Social Credit and the B.C. Electorate", B.C. Studies, No. 12, 1971-72, pp. 34-45.
- 4) "On Frogs and Worms: A Reply to Professors Black and Robin", B.C. Studies, No. 12, 1971-72, pp. 51-52.
- 5) "Strategic Tensions in the Scale of Political Analysis", British Journal of Political Science, Vol. 2, 1972, pp. 173-92.
- 6) "Notes on Urban Research in Canada", Comparative Urban Research (forthcoming).
- 7) "A Public Choice Model of Political Participation", Canadian Journal of Political Science, Vol. 6, 1973, pp. 175-94.
- 8) "Citizen Participation in a Canadian Suburban Municipality", Public Choice (forthcoming).
- 9) "Toward a Dynamic Analysis of Collective Action", Western Political Quarterly (forthcoming).

Publications:
Book Reviews

- 1) Book Review of The Dawn Warriors: Man's Evolution Toward Peace by Robert Bigelow (Toronto: Little, Brown), 1969, British Columbia Library Quarterly, Vol. 33, 1970, pp. 17-21.
- 2) Book Review of People vs. Politics by Jean A. Laponce (Toronto: University Press), 1969, B.C. Studies, No. 5, 1970, pp. 52-55.
- 3) Book Review of Strategems and Spoils by F.G. Bailey (Toronto: Copp Clark), 1969, Public Choice, Vol. 9, 1970, pp. 95-97.
- 4) Book Review of Gordon Tullock, Public Wants, Private Means: An Economic Analysis of the Desirable Scope of Government (New York: Basic Books) 1970, American Political Science Review, Vol. 65, 1971, pp. 515-516.

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Mark Sproule-Jones
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- Book Reviews (cont'd)
- 5) Book Reviews of Public Choice and Public Policy: Seven Cases in American Government, edited by Robert S. Ross (Chicago: Markham), 1971, and Youth and Social Change by Richard Flacks (Chicago: Markham), 1971, Western Political Quarterly, Vol. 25, 1972, pp. 551-53.
 - 6) Book Review of Norman Frolich et al., Political Leadership and Collective Goods (Princeton: University Press), 1971, Canadian Journal of Political Science, Vol. 5, 1972, p. 598.

Publications:
Conference Papers

- 1) "A Theory of Public Employment," presented at the American Political Science Association, 65th Annual Meetings, New York, Sept. 1969.
- 2) "The Political Economy of Political Participation: Model and Analysis," presented at the Public Choice Society, Annual Meetings, Carnegie-Mellon University, Pittsburgh, May 1972.

Research in
Progress:

- 1) "A Public Choice Analysis of the Organization and Operation of Canadian Federalism," to be published in a special symposium of Publius: The Journal of Federalism, January 1974, devoted to public choice analyses of federal institutional arrangements and the provision of public goods and services.

Other Scholarship
Activities:

- 1) Discussant, Western Political Science Association Panel on "Government Within Metropolitan Regions," Western Political Science Association Annual Meetings, Albuquerque, New Mexico, April 8-10, 1971.
- 2) Canadian Correspondent, Comparative Urban Research.
- 3) Article Assessor, Canadian Journal of Political Science.

Curriculum Vitae
Mark Sproule-Jones
Page 4

- 4) B.C. Coordinator, Canadian Political Science Association
Committee on the Teaching of Political Science
in Community Colleges and High Schools, 1973-
- 5) Adviser, Honours Thesis, for A.J. Saunders (1968-69),
L.J. Hindle (1969-70), F.A. Schroeder (1969-70),
H. McMillan (1970-71), I.C.B. Smith (1970-71).
- 6) Member, M.A. Committee, for D.F. Pearson (1970-),
L.J. Halliday (1971-); M.A. Oral Committee
Member for G.S. Jenvey (1971); Chairman, M.A.
Committee for R. Sharp (1972-73); L. Rose (1972-).

Academic Record:

- 1) Undergraduate: B.Sc. (Econ.), London University,
1964, Second Class Honours
College: London School of
Economics and Political
Science
Tutor: Richard H. Pear
- 2) Graduate: M.A., Indiana University, 1965
Chairman: William J. Gore
Other Committee
Members: Charles S. Hyneman
Vincent Ostrom
Ph.D., Indiana University, 1970
Chairman: Vincent Ostrom
Other Committee
Members: Charles S. Hyneman
Alfred Diamant
H. Scott Gordon

Academic Awards:

- | | |
|------------|--|
| 1964-65: | Fulbright Scholar (U.S. Govern-
ment Award) |
| 1965: | John F. Kennedy Memorial Scholar
(United Automobile Workers of
America Award) |
| 1971, 1973 | Research Grants, University of Victoria
Committee on Faculty Travel
and Research |

Curriculum Vitae
Mark Sproule-Jones
Page 5

Membership in
Learned Societies:

American Political Science Association
Canadian Political Science Association
Policy Studies Organization
Polycentric Circle
Public Choice Society

University
Responsibilities:

- 1) Chairman, Department of Political Science
Curriculum and Graduate Planning
Committee, 1969-72.
- 2) Undergraduate Advisor, Department of Political
Science, 1972- .
- 3) Member, Department of Political Science Seminar
Committee, 1972- .
- 4) Representative, Department of Political Science,
Faculty of Graduate Studies, 1969- .
- 5) Member, University Committee on Traffic and
Parking, 1969-71.
- 6) Member, Graduate School Committee on Quanti-
tative Instruction, 1971- .
- 7) Member, Faculty Association Committee on
Salaries, 1971-73.
- 8) Member, Senate Committee on Curriculum, 1971-73.
- 9) Representative, Department of Political Science,
University Open House,
February-March 1972.
- 10) Member, Faculty Association Nominating Committee,
1972.
- 11) Chairman, Faculty Association ad hoc Committee
on Fringe Benefits, 1972-73.
- 12) Member, Dean of Arts and Science's Search
Committee for a Chairman of the
Department of Political Science,
1972-73.
- 13) Acting Chairman, Department of Political Science,
July 1973.

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Mark Sproule-Jones
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Community Service:

- 1) "Political Participation in a Canadian Suburban Municipality: A Study of Saanich, B.C."
University of Victoria, March 1972 (a study and report for the Mayor and Aldermen of Saanich, B.C.). This report and its recommendations were summarized in Bill Thomas', "Saanich: A Low Vote Profile," for The Daily Colonist (Victoria), 30 March 1972, p. 13.
- 2) "Civic Elections," a talk before the Association of Women Electors, Victoria, B.C., 21 September 1972.
- 3) "Politics and Urban Canada," Public Lecture, University of Victoria, Division of Continuing Education, 8 March 1973.

Referees:

- 1) Professor Vincent Ostrom, Department of Political Science
Indiana University
Bloomington, Indiana 47401, U.S.A.
- 2) Professor Charles S. Hyneman, Department of Political Science
Indiana University
Bloomington, Indiana 47401, U.S.A.
- 3) Professor Robert O. Warren
Center for Urban Affairs
University of Southern California
University Park
Los Angeles, California 90007, U.S.A.
- 4) Professor Robert L. Bish
Center for Urban Affairs
University of Southern California
University Park
Los Angeles, California 90007, U.S.A.

Other referees available if required.



Government
of Canada

Gouvernement
du Canada

MEMORANDUM

NOTE DE SERVICE

TO
À

Steve schatzow
Reg. McLemore
Marge Goodwin
Gordon Cassidy
Barry Wellar
A. Stewart
David Hawkes

Irwin Lithwick
Tim Burton
Fred Schindler
Harry Swain
Jim Whitelaw

FROM
DE

Jean Fillion

SUBJECT
OBJET

PROFESSOR SPROULE-JONES PROPOSAL -- NIP EVALUATION

SECURITY - CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE
YOUR FILE - V/RÉFÉRENCE
DATE August 22, 1973.

Please take note of the following changes in Dr. Sproule-Jones proposal concerning the NIP evaluation.

Thank you.

Jean Fillion.

MINISTRY OF STATE FOR URBAN AFFAIRS

RESEARCH PROPOSAL

BUDGET

(Do not include publication costs;
these will be borne by MSUA where
appropriate)

page of pages

CR file no:

Items	Basis for payment	Amount
Research personnel	- 20 days @ \$125/day - probably 1 critique to read and comment on my report if time permits it.	\$ 2,500 250
Clerical and Secretarial expenses	- university staff 0	0
Computation expenses		
Other technical services (specify)		
Supplies	- paper, xeroxing	100
Capital facilities		
Travel and other expenses (specify)		
Overhead		
	TOTAL BUDGET	\$ 2,850

→ CR
2101- S33



Ministry of State Ministère d'État

Urban Affairs Affaires urbaines
Canada Canada

August 20th, 1973.

Professor Mark H. Sproule-Jones,
Department of Political Science,
University of Victoria,
P. O. Box 1700,
Victoria, B. C.

Dear Professor Sproule-Jones:

We have received your research proposal concerning the evaluation of the Neighbourhood Improvement Program. We thank you for the promptness with which you have answered us.

We hope to be able to inform you, in the near future, of our decision concerning your proposal.

Yours truly,

Dr. Harry Swain,
Director of External Research.

CR:

SPROULE-JONES 2101-S33

MINISTRY OF STATE FOR URBAN AFFAIRS

RESEARCH PROPOSAL

page of pages

CR file no:

BUDGET

(Do not include publication costs;
these will be borne by MSUA where
appropriate)

Items	Basis for payment	Amount
Research personnel	- 20 days @ \$125/day - probably 1 critique to read and comment on my report if time permits it.	\$ 2,500 250
Clerical and Secretarial expenses	- university staff 0	0
Computation expenses		
Other technical services (specify)		
Supplies	- paper, xeroxing	100
Capital facilities		
Travel and other expenses (specify)		
Overhead		
	TOTAL BUDGET	\$ 2,850

2101-S33



UNIVERSITY OF VICTORIA
VICTORIA, BRITISH COLUMBIA

Department of Political Science

August 13, 1973

Dr. Harry Swain
Director of External Research
Ministry of State
Urban Affairs Canada
355 River Road
Ottawa, Ontario K1A 0P6

Dear Harry:

Please find enclosed the following materials in connection with the "Request for Proposal" for an evaluation of the Neighbourhood Improvement Program, with particular reference to citizen participation, local political institutions, and intergovernmental and interdepartmental relationships:

1. A completed "Research Proposal" Form.
2. A copy of my Curriculum Vitae.
3. A paper giving a detailed description of the proposed evaluation design.

Do please let me know if there is anything else I should supply.

If it should be necessary to contact me personally between August 21 and September 3, please note that my address and telephone number will be:

6106 East 58th Street
Tulsa, Okla., 74136, U.S.A.

Tel: (918) 627-4476

*Very
Imp*

Yours sincerely,

Mark

Mark Sproule-Jones
Assistant Professor

MSJ:fb
Encls.

MEMORANDUM

2101-833

PEOPLE CONTACTED FOR RFP -- NIP

Mr. Bob Arnold,
Hamilton Social Planning and Research Council,
153 1/2 King Street East,
Hamilton, Ontario.

Area: The impact of NIP on the following goal variables:
service delivery, local political institutions, public
participation, the inner-city and socio-psychological
variables...

Professor R. M. Burns,
Institute of Intergovernmental Relations,
Queen's University,
Kingston, Ontario.

Area: The NIP process and the impact of this program in terms
of the following variables: Local political institutions
and intergovernmental as well as interdepartmental re-
lationships.

Mr. J. Churchill,
Assistant Co-ordinator of Research and Development,
OISE,
252 Bloor Street,
Toronto, Ontario.

Professor Ken J. Denike,
Department of Geography,
University of British Columbia,
Vancouver 8, B.C.

Area: The general methodology for studying the NIP impact
and the effects of this program on the following goal
variables: public service and finance, housing and
land markets, the inner-city, intra-city migration
patterns, and the quality of neighbourhoods.

Professor R.S. Dorney,
ECOPLANS,
158 University Avenue West,
Waterloo, Ontario.

Area: The impact of NIP on neighbourhood quality.

Mrs Nancy Cooley,
4959 West, 2nd Avenue,
Vancouver 8, B.C.

Area: The NIP process and the impact of this program on the
following variables: Local political institutions, public
participation, the inner-city, and the intergovernmental
relationships.

Area: The general methodology of evaluation--process and impact and the goal variables.

Mr. William Dyson,
Vanier Institute for the Study of the Family,
151 Slater Street,
Ottawa, Ontario. 232-7115

Area: The general methodology of evaluation of the process and impact as well as elaborating on the specific goal variables.

Mrs. Sue Fish,
76 Albany Avenue,
Toronto, Ontario.

Area: The NIP process as well as the impact of NIP on the following goal variables: housing and land markets, local political institutions, intergovernmental and interdepartmental relationships, and citizens participation.

Dr. Jim Hawkes,
Room 136,
Department of Social Work,
University of Calgary, 403- 284-6955
Calgary, Alberta. 403- 284 5323
T2N-1N4

Area: The general methodology of evaluation to study the NIP impact as well as the impact of NIP on the following specific goal variables: service delivery, public participation, the inner-city and socio-psychological variables.

Mr. Allen Herzog,
1330 East, 56th Street, 312-955-3178
Chicago, Illinois, 312-996-6646
60637, U.S.A.

Area: General-methodology of evaluation for the study of the NIP process and impact.

Dr. John R. Hitchcock,
Department of Regional and Planning Studies,
230 College Street, 928-2709
Toronto 5, Ontario.

Area: The general methodology of evaluation for studying the impact of NIP as well as the NIP impact on the specific goal variables: local political institutions, the inner-city and neighbourhood quality.

10. Other _____

10

403-433-4697

403-433-4697

no.

[illegible][illegible][illegible]

Dr. William Perks,
Director,
Faculty of Environmental Design,
University of Calgary,
Calgary, Alberta. 413-243-8608

Area: The general methodology of evaluation for studying the NIP process as well as the areas we should look at in terms of evaluating the NIP process. Also you should try to elaborate on the following goal variables: local political institutions, housing and land markets, and public finance.

Dr. Peter Pineo,
Department of Sociology,
McMaster University,
Hamilton, Ontario. 552-4971

Area: The general methodology of evaluation in terms of the impact of NIP as well as elaborating on the following specific goal variables: public participation, socio-psychological variables, the inner city, internal migration and neighbourhood environmental quality.

Director of Research,
Institute for Urban Studies,
University of Winnipeg,
Winnipeg, Manitoba.

Area: The general methodology of evaluation for the NIP process and impact as well as elaborating on the specific goal variables.

Professor William Shalinsky,
204 Lincoln road,
Waterloo, Ontario.

Area: The impact of NIP on the following goal variables:
the inner-city, public participation and service delivery.

Mrs Gale Stewart,
141 Cameron Avenue,
Ottawa, Ontario. 235-2796

Area: The impact of NIP on the following goal variables:
housing and land markets, neighbourhood quality and inner-city.

-5-

Dr. William Westley,
Centre for Industrial Studies,
McGill University,
Sherbrooke Street West, 13 108
Montreal, Quebec.

copy to : Professor Salomon
Département de sociologie
McGill University

Area: The general methodology of evaluation -- NIP impact and the effect of NIP on the specific goal variables.

Professor Jim Harding,
RR 1, Kaministiquia,
Thunder Bay, Ontario.

Area: The impact of NIP on the inner city, and quality of neighbourhoods.

Monsieur Serge Côté;
a/s Madame Girouard-Lefebvre,
Le conseil de développement social,
du Montréal métropolitain,
445 rue Saint-François Xavier,
Montréal, Québec.

Area: Les effets du PAQ sur les services publiques, la participation publique, diverses variables socio-psychologiques, migration à l'intérieur de la ville d'intervention, et la ville centrale (inner city).

Professeur Gérard Fortin,
a/s Marie Lavigne
GRUR
3465 Avenue Durocher
Montréal, Québec. 876-8763.

Professeur Gabriel Gagnon,
Département de sociologie,
Université de Montréal,
Case postale 6128,
Montréal, Québec. 343-6620

Area: les effets spécifiques de ce programme au plan des institutions politiques locales, de la participation publique, de variables socio-psychologiques et de la ville centrale (inner city).

Professeur Jean-Paul Gagnon,
Ecole d'Aménagement et d'urbanisme,
Université de Montréal,
2375 Côte Ste-Catherine,
Montréal, Québec.

343-6867
343-6192
342-4206

Area: la méthodologie générale d'évaluation et les effets du PAQ sur les objectifs précisés dans le document du travail.

Professeur Guy LeCavalier,
Département de Sociologie,
Université d'Ottawa,
193 Avenue Marlborough,
Ottawa, Ontario. K1N 8G3

231-3454
232-9558

Area: les effets du programme en ce qui a trait à la participation publique des citoyens, sur des variables socio-psychologiques, et sur la structure de ville centrale (inner city).

Professeur Marc-André Lessard,
Département de sociologie,
Université Laval,
Cité universitaire,
Ste-Foy, Québec.

656-2131
656-4011

Area: la méthodologie générale d'évaluation de l'impact du PAQ et de ses effets au plan des institutions politiques locales, de la participation des citoyens, de variables socio-psychologiques, et de la ville centrale (inner city).

Monsieur Michel Lincourt,
a/s Monsieur Marrier Smith,
Société générale des systèmes urbains,
4101, ouest, rue Sherbrooke,
Montréal, Québec.

3.3647
829.7256

Area: Les effets du PAQ au plan de: la structure des communautés (inner city) et la qualité des voisinages.

Professor James Harding,
RR. no. 1,
Kaministiquia,
Thunder Bay,
Ontario

41-3801
41-4152
42-4218

Area: The inner city and quality of neighborhoods.

Kirby, M.J.L. (Dr.)

Principal Assistant to the Premier

Province House
Halifax
Nova Scotia

431-4445
431-4558

Sept. 8

Dalhousie Univ.

Area: General evaluation methodology to study the NIP
process

2101-S33

RESTRICTED

REQUEST FOR PROPOSAL

MSUA - RESEARCH BRANCH

SUBJECT: Neighbourhood Improvement Programme Evaluation

1. Background

Following the report of the Hellyer Task Force on Housing and Urban Development in 1969, the urban renewal programme was frozen.

The present amendments to the National Housing Act, developed by CMHC, and, in particular, the Neighbourhood Improvement Programme (NIP) are an attempt to fill (at least partially) the void left by freezing the urban renewal funds. Many of the principles of NIP can be seen as responses to the criticisms of the former urban renewal legislation and its implementation. The stated goal of the NIP is "... to improve the amenities of neighbourhoods and the housing and living conditions of the residents of such neighbourhoods." The development of neighbourhood services and facilities, citizen participation, enforcement of housing codes, and the rehabilitation or construction of low-cost housing (through other CMHC programmes) are emphasized. A more complete description of the NIP is found in the legislation, and in the background paper that is enclosed for your information.

Central Mortgage and Housing Corporation and the Ministry of State for Urban Affairs are planning to undertake long-term evaluations of the NIP.

Present plans call for CMHC and MSUA to carry out separate but complementary evaluations. CMHC is to evaluate the programme efficiency and effectiveness in light of the goals of the programme; and MSUA is to examine the programme in light of a broader set of urban impacts (see background paper). Efforts to coordinate the two research programmes are ongoing, but the final division of labour between MSUA and CMHC regarding the evaluation of NIP has yet to be determined.

A multi-disciplinary team within MSUA has developed the attached background paper regarding what appear to be the most significant potential effects of the NIP. The present request for proposals is an attempt to carry this process one stage further; in other words, to develop a comprehensive, coordinated, and workable approach to the evaluation.

2. Terms of Reference

At this point, we shall briefly spell out some of the terms of reference of the proposed evaluation, each of which is discussed in more detail in the background paper.

The evaluation should be designed to provide information on the basis of which recommendations concerning inner city and neighbourhood renewal policies can be formulated (i.e., as an aid to policy-making). We should be able to comment not only on

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the NIP itself, but on the advisability of integrating other elements in the policy package, on developing other programmes aimed at other kinds of problems, on changing the structures and processes of planning and implementation, and so forth. We should be concerned not only with the outcomes and effects of the NIP, but with the processes (e.g., planning, participation) that occur within the bounds of the NIP, and the implications they have for the urban areas.

NIP is expected to be operational by late 1973, and is expected to terminate in 1978. Three stages of evaluation are envisaged. Certain evaluation results should be available in late 1974, in particular those concerning the intergovernmental relations involved in drawing up the Master Agreements, the process of selection of NIP municipalities, and the process of selection of NIP neighbourhoods within these municipalities. This part of the evaluation is expected to be done internally by MSUA and CMHC.

More substantive results should be available in 1976, in order that the programme can be revised, if necessary, before its termination. Evaluation at this point will centre both on an analysis of NIP in its own terms (is it meeting its stated objectives? How can it be administered more efficiently and effectively? etc.) and upon the broader urban impacts of NIP. This portion, and all subsequent parts of MSUA's evaluation, are expected to be done externally.

It is also likely that work will begin at that time toward the design of a new policy or programme which would begin in 1978, should the NIP not be continued past that time. The NIP evaluations will continue into 1978, however, and perhaps a year beyond. This is necessary since it is not expected that we will be able to fully evaluate the substantive effects of NIP by 1976, as this requires a longer time frame.

While we expect by 1976 to have explicit results concerning the NIP process and scope, we expect by 1978 to have results concerning the outcomes of the programme. Evaluation at this point will examine the NIP in terms of broader urban objectives, and focus on re-policy-making concerning those urban objectives (does NIP adequately meet the goals that it established? Are other federal policies and/or programmes necessary to ensure the success of a NIP policy?)

The timetable for the evaluation exercise has been established as follows:

- July 15 - August 1, 1973: Distribution of Request for Proposals.
- August 1 - October 1, 1973: Development of evaluation methodologies through external contract. This is the subject of the present Request for Proposals.
- October 1 - November 1, 1973: Development of final evaluation design.

- 3 -

- December 1, 1973 - January 1, 1974: Circulation of evaluation design to potential evaluators.
- January 1, 1974 - 1978: Evaluations of the NIP through external contracts. These will involve a major reporting phase around June, 1976.

3. Framework

We have initially identified five dimensions of the MSUA evaluation (apart from the CMHC evaluation). These are:

- i. the impact of NIP on other areas of the city,
- ii. long-term effects of the NIP on the NIP areas,
- iii. certain selected short-term effects in the NIP areas,
- iv. implications of the NIP for intergovernmental and interdepartmental coordination aimed at solving urban problems, and
- v. the effectiveness of the NIP as the successor to urban renewal and as the only large-scale federal programme aimed specifically at the physical and social rehabilitation of the inner city.

We have not been able to identify a set of urban goals and objectives for a broad-scale evaluation like the one being proposed. We have, however, established important goal variables (areas of concern) which we believe will be affected by the NIP. These include the following eight goal variables at the present time:

- public services and finance
- local political institutions
- citizen participation
- the inner city
- social and psychological change
- housing and land markets
- intra-city migration patterns
- intergovernmental and interdepartmental relationships.

We envisage a variety of forms and scope for the evaluation: for example, a national study of Federal-Provincial Master Agreements, case studies of particular NIP programmes in sample cities, a study of municipal financing of the NIP at a provincial level, and so forth. Some of this research will be done internally by MSUA; some will be done through a series of external contracts. This reflects our concern with an evaluation which will give us information at different scales--national, provincial, metropolitan, municipal, and neighbourhood.

All of the above matters are discussed in some depth in the enclosed background paper.

4. Work to be Done

This document is a request for proposals from potential contractors who are interested in developing evaluation methodologies for the present task. We are requesting two types of research proposals, and you may choose to respond to either or both of these. One proposal will deal with what might be termed the general methodology of evaluation, while the other will deal with the elaboration of specific goal variables from the background document.

The work involved in each of these can be outlined as follows:

I. General Methodology of Evaluation

- (a) Critique the background paper in terms of the adequacy of the eight goal variables and the research questions and the data requirements mentioned therein. The critique should be made on the basis of the importance of the variables, their relevance to programme design and policy formulation, the degree to which they are researchable, and the cost of researching them.
- (b) Develop one (or a set of alternative) framework(s) for the evaluation of NIP. This stage should draw from the relevant theory (e.g., policy sciences), previous experience with evaluation, knowledge of policy-maker's information requirements, and a general appreciation of various methodologies. Develop a general set of (or alternative sets of) methods and techniques for the evaluation scope and form (e.g., comprehensive in one city, selective across the nation). The evaluation approaches must yield the appropriate results (see 2 above) in December 1974, June 1976, and in 1978.
- (c) Contrast evaluation possibilities assuming MSUA annual budget of:
 - (i) \$150,000 per year, or
 - (ii) \$300,000 per year.
- (d) Write a final report to be submitted to MSUA.

II. Elaboration of Specific Goal Variables

- (a) Critique the background paper in terms of one or a number of the eight goal variables. The critique should include the following:
 - (i) elaboration of the important research questions in these goal variables;
 - (ii) recommendations for the evaluation methodology (methodologies) for researching each of these goal variables;

- (iii) examination of the data requirements and availability for these methodologies; and
- (iv) a suggestion of the costs involved by using these data and methods.

(b) Write a final report to be submitted to MSUA.

It is likely that a number of contracts will be let for the conduct of these tasks. Coordinating and synthesizing the resulting reports, defining in detail a final project proposal, and establishing a modus operandi for the evaluation will be the responsibility of MSUA.

5. Constraints

The two major constraints involved in this project are:

- (i) Time: a final report must be submitted to MSUA by October 1, 1973.
- (ii) Budget: contracts for conducting the task described in section 4. should not exceed \$5,000. This should include the salary of the principal investigator, remuneration for co-investigators or subcontractors, and other expenses.

6. Procedure to Follow

Interested contractors are urged to contact as soon as possible: Mr. Jean Filion
Research Officer
at (613) 996-7465
Calls may be made collect.

Proposals should be filed on the enclosed forms by August 1, 1973 to: Dr. Harry Swain
Director of External Research
Research Branch
Ministry of State for Urban Affairs
355 River Road
Ottawa, Ontario
K1A0P6

All proposals received will be reviewed and compared; the final decision to award will rest with MSUA.

Ministry of State Ministère d'État

Urban Affairs Affaires urbaines
Canada Canada

PLEASE NOTE -- IMPORTANT

Because of our delay in sending the attached Request for Proposal, the deadlines to submit both the proposal and the final report have been extended to August 17 and October 10, 1973, respectively. Please send your proposal SPECIAL DELIVERY. Thank you.

PRIERE DE NOTER -- AVIS IMPORTANT

A cause de notre retard à vous soumettre cette demande de recherche, les délais pour retourner les propositions de recherche et les rapports finaux sont reportés aux 17 août et 10 octobre, respectivement. Nous vous demandons d'expédier vos propositions par courrier LIVRAISON SPECIALE. Merci.

Jean FILION
MSUA-MEAU
996-7465

Ottawa K1A 0P6
(613) 993-1491



MEMORANDUM

NOTE DE SERVICE

TO
A

Steve Schatzow
Reg McLemore
Marg Goodwin
Gordon Cassidy
Barry Wellar
A. Stewart

Ron Crowley
David Hawkes
Irwin Lithwick
Tim Burton
Fred Schindler

FROM
DE

Jean Filion

SECURITY CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/RÉFÉRENCE 2101-S33
YOUR FILE - V/RÉFÉRENCE
DATE July 27, 1973.

SUBJECT
OBJET

REQUEST FOR COMMENTS ON PROPOSALS -- NIP EVALUATION

As I have mentioned in a preceeding memo the task of circulating the proposals and asking for comments about them is my responsibility.

In order for you to be informed on all the proposals received and also with the view that you will have a better understanding of the whole process I will distribute them all to you and request from your part comments on them all whichever are your areas of professional interest. If it happens that you feel you are unable to appraise a particular proposal or part of it because the area discussed is unfamiliar to you please let me know so I will not expect a critique from you.

I beleive that the comments on proposals should be organised around the following general criteria:

- 1) Academic excellence as well as familiarity and experience of the investigators in research;
- 2) Demonstrated understanding of NIP by the authors;
- 3) Degree of competence indicated for dealing with evaluation methods and the ability with which the author can link evaluation methodology with the evaluation of NIP per se;
- 4) Level of ability of the author to develop indicators allowing the monitoring of NIP impact on the goal variables;
- 5) Realism of the proposal (methods of investigation, time budget, financial budget, areas of investigation).

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Evidently the above criteria are stated as suggested criteria. Other criteria can also be considered depending on the proposal and on specific views on the part of each evaluator.



Jean Filion.

TO
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Steve Schatzow A. Stewart C.C.
Reg McLemore Ron Crowley Len Gertler
Marge Goodwin David Hawkes Harry Swain
Gordon Cassidy Irwin Lithwick Jim Whitelaw
Barry Wellar Tim Burton
Ken Balmer Fred Schindler

FROM
DE

Jean Filion

SECURITY - CLASSIFICATION - DE SÉCURITÉ
YOUR FILE - N/REFERENCE 2101-S33
YOUR FILE - V/RÉFÉRENCE
DATE July 24, 1973.

SUBJECT
OBJET NIP EVALUATION

At last the RFP asking for contributions to our evaluation design of the NIP have been mailed Friday, July 20th, to potential contractors.

All the proposals are supposed to be returned to Harry Swain's office at the latest by August 17th. As soon as the proposals are received, he will direct them to my attention for distribution to the members of the NIP evaluation team and other research people to whom I am going to request appraisal of the submitted proposals. (While I'll be vacationning Reg McLemore will take care of this task). The evaluations of the proposals should be completed and returned to me, in a written form, two days after you have received them. On August 22nd (and 23rd if necessary) the NIP evaluation team will hold an open meeting, to which you are invited to attend if you feel it desirable, in order to discuss and make a final decision on who should be allocated research contracts and for what task. The amount of each contract should also be delimited at this meeting. I hope that professor Gertler will be in a position to mail out the contracts to the designated researchers around August 24th.

In order to facilitate your task, I am enclosing a copy of the people who have received the RFP and the areas on which they have been asked to comment. Also included is a copy of the cover letter accompanying the RFP, the RFP and a final copy of the background paper entitled "A Preliminary Proposal for MSUA Evaluation of NIP Based Upon Cooperation with CMHC" prepared by the NIP evaluation team.

I hope that you will be capable of assisting me in this task and I am always at your disposition for any information which you might request. In the meantime I will do my best to think of a strategy which will make this task as effective as possible.


Jean Filion



UNIVERSITY OF VICTORIA
VICTORIA, BRITISH COLUMBIA

Department of Political Science

July 23, 1973

Dr. Harry Swain
Director of External Research
Ministry of State
Urban Affairs, Canada
355 River Road
Ottawa, Ontario
K1A 0P6.

Dear Harry:

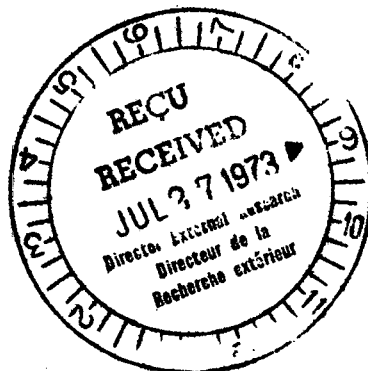
I received today the package of materials for the proposal for an evaluation of the Neighbourhood Improvement Program; you will receive the completed proposal by the deadline of August 17. Thank you for this opportunity.

The point of writing is, however, to apologise for not having sent to you yet any further proposal from Grimner, Walter and myself reproducing our mooted Workshop in Community Policies. We have had what tactfully may be called "some coordination problems", but these should be resolved soon, and you will get a revised proposal in the mail in the next few weeks.

Thank you also for the long set of comments by one of your colleagues on my papers. They were quite illuminating, although I must say that the reference to the fact that I could not, through the theory paper, account for "merit goods" left me rather perplexed. I thought the last mail had been hammered into that coffin - the concept of a "merit good" - quite a while ago!

Sincerely,

Mark Sproule-Jones



MSJ:cc

04568 000170



UNIVERSITY OF VICTORIA
VICTORIA, BRITISH COLUMBIA

Department of Political Science

July 23, 1973

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Director of External Research
Ministry of State
Urban Affairs, Canada
355 River Road
Ottawa, Ontario
K1A 0P6.


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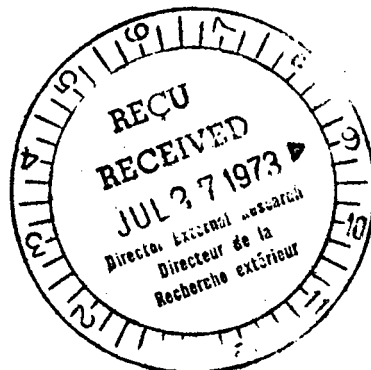
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Sincerely,


Mark Sproule-Jones



MSJ:cc

04566 000171

July 16, 1973.

Professor Mark H. Sproule-Jones,
Department of Political Science,
University of Victoria,
P.O. Box 1700,
Victoria, B.C.

Dear Professor Sproule-Jones,

Following the information you received by telephone recently from Mr. Jean Filion of the Research Branch, I am pleased to forward to you the attached "Request for Proposal". It concerns the evaluation of the Neighbourhood Improvement Program (NIP), a new effort about to be launched by the Central Mortgage and Housing Corporation.

By this request, we are inviting you to submit a research proposal to elaborate an evaluation approach for NIP as defined in sections 3 and 4 of the "Request for Proposal". In doing this, you should use as a basis the background document and the bill amending the National Housing Act (both enclosed). More specifically, in your case, we would be particularly interested in a proposal concerning the impact of NIP in terms of the following goal variables: local political institutions, public participation, and intergovernmental - interdepartmental relationships. Of course, if you think it could be useful to comment on other aspects of the evaluation program please do not hesitate to develop your proposal accordingly.

Research contracts will be accorded on the basis of the understanding of NIP demonstrated by the authors, the degree of competence indicated for dealing with evaluation methods, and with variables likely to be affected by the program.

The results of the work of researchers to whom contracts are accorded will be used by the Research Branch, Ministry of State for Urban Affairs (MSUA) in the development of an overall evaluation approach for NIP. Research results will be the property of MSUA and the Ministry reserves the right to use the reports submitted in any manner it deems desirable.

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If you are interested in submitting a research proposal, you should do so using the appropriate forms enclosed adding, if necessary, additional pages of information. Each proposal must include the curriculum vitae of the principal researcher and any senior persons who will be associated with him.

If you require additional information concerning this request, please call (collect) Mr. Jean Fillion, regional code 613, 996-7465.

We hope to receive a research proposal from you by August 1, 1973. Thank you for your interest.

Yours truly,

Harry Swain,
Director of External Research.

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CMHC A OTT

O-1052 JULY 18/73

PROF MARK H. SPROULE-JONES
DEPT OF POLICIXX POLITICAL SCIENCE
UNIVERSITY OF VICTORIA

NIP EVALUATION.

WE ARE EXTREMELY SORRY THE RFP CONCERNING THE NIP EVALUATION
SUPPOSEDLY BEING POSTED ON MONDAY JULY 16 WILL BE MAILED
SPECIAL DELIVERY AT NOON TODAY. THE DEADLINE TO SUBMIT
PROPOSALS AND FINAL REPORTS ARE EXTENDED TO RESPECTIVELY
AUGUST 3 AND OCTOBER 5, 1973. PLEASE RETURN YOUR PROPOSAL
BY SPECIAL DELIVERY MAIL.

JEAN FILION

MEAU-MSUA

OTTAWA 996-7465

CMHC A OTT

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