

PUBLIC INVOLVEMENT MANUAL
Involving the Public in
Water and Power Resources Decisions

Prepared by
James L. Creighton
Saratoga, California

UNITED STATES DEPARTMENT OF THE INTERIOR
Water and Power Resources Service
1980

On November 6, 1979, the Bureau of Reclamation was renamed the Water and Power Resources Service in the U.S. Department of the Interior. The new name more closely identifies the agency with its principal functions—supplying water and power.

The text of this publication was prepared prior to adoption of the new name; all references to the Bureau of Reclamation or any derivative thereof are to be considered synonymous with the Water and Power Resources Service.

Preface

Since its inception by the Reclamation Act of 1902, first as the Reclamation Service and then as the Bureau of Reclamation, the mission of the Water and Power Resources Service has been to develop, manage, and conserve the water and related resources of the western United States for the benefit of the people and the Nation. From its beginnings in single purpose irrigation undertakings to its current stature as architect of multipurpose projects, the Service has had the ability and perceptiveness to change to meet the needs of the people. The emphasis in uses and the policies for management of our finite water resources will continue to change as our Nation's economic, social, and environmental priorities change. Interaction with the people - Public Involvement - provides a process to ensure that programs of the Service remain responsive to the changing needs and concerns of the people through meaningful public participation in our decision-making process.

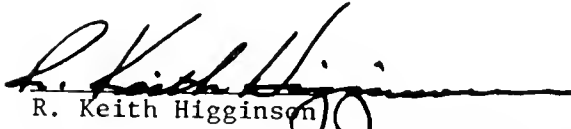
The Service has issued Instructions on Public Involvement (Series 350, General Instructions, Part 351, Public Involvement). Those instructions:

- . State as policy the purpose, objective, and scope of public involvement within the organization;
- . Establish responsibility and accountability for public involvement among the respective management levels within the organization; and
- . Set forth systematic processes to be followed in public involvement activities.

Public involvement will become increasingly an integral part of the Service's activities - a part of our way of doing business. Nearly everyone in the organization will share in that responsibility. Knowledge and skills in the techniques needed to interact effectively with the numerous publics will be essential to many positions having program responsibility. All personnel involved in decision-making processes leading to significant actions will be provided information and training in the basic principles and skills of public involvement, including interpersonal communication, conducting meetings and workshops, and public involvement strategy and policy development.

This Public Involvement Manual has been prepared to serve those needs. It includes major sections dealing with the general principles of public involvement, structuring public involvement programs, and public involvement techniques. The manual contains a wealth of information on assessing the need for and formulating and carrying out public involvement; not as a separate activity, but as an integral part of our program. Those having responsibility for an interest in public involvement will find this manual

informative and useful. It should be used as a reference resource document and not as a "cook book" with specific recipes for different situations. It will provide useful ideas and information which, when employed with enthusiasm and tempered with good judgement, will contribute greatly to the ability of our agency to carry out its mission in a manner responsive to the public's needs and in concert with that public.



R. Keith Higginson
Commissioner - Water and Power Resources

May 29, 1980
Date

TABLE OF CONTENTS

	<u>PAGE</u>
<u>USE OF THE PUBLIC INVOLVEMENT MANUAL</u>	i
 <u>SECTION I - GENERAL PRINCIPLES</u>	
Chapter 1: The Rationale for Public Involvement	1
Chapter 2: Objections to Public Involvement	13
Chapter 3: Attitudes toward Public Involvement Program Design	23
 <u>SECTION II - STRUCTURING PUBLIC INVOLVEMENT PROGRAMS</u>	
Chapter 4: When is Public Involvement Needed	29
Chapter 5: Who is the Public	33
Chapter 6: Techniques for Identifying the Public	43
Chapter 7: Designing a Public Involvement Program	51
Chapter 8: Developing Public Involvement Plans	77
Chapter 9: Preparing Public Involvement Summary Reports	105
Chapter 10: Continuing Public Involvement Activities	115
 <u>SECTION III - ORGANIZATIONAL ISSUES</u>	
Chapter 11: Organizing for Public Involvement	119
Chapter 12: The Role of the Decision-Maker	127
Chapter 13: Guidelines for Working with Other Agencies	135

	<u>PAGE</u>
<u>SECTION IV - PUBLIC MEETINGS AND WORKSHOPS</u>	
Chapter 14: Designing Public Meetings	141
Chapter 15: Designing Small Group Meetings	161
Chapter 16: Meeting Leadership	179
Chapter 17: Handling a Hostile Audience	189
<u>SECTION V - PUBLIC INVOLVEMENT TECHNIQUES (NON-MEETING)</u>	
Chapter 18: Establishing Advisory Groups	197
Chapter 19: Working with the Media	209
Chapter 20: Use of Surveys & Questionnaires	215
Chapter 21: A Catalogue of Other Public Involvement Techniques	221
Chapter 22: Analysis of Public Comment	249
Chapter 23: The Costs of Public Involvement	259
<u>APPENDIX</u>	
Appendix I: Public Involvement Bibliography	269
Appendix II: Examples of Public Involvement Graphics	275

HOW TO USE THE PUBLIC INVOLVEMENT MANUAL

The Public Involvement Manual has been written as a reference guide that you can consult either for general advice, or alternative solutions to a particular problem.

For this reason the manual includes a great deal of material, but is organized into sections so that you only have to look at the material appropriate to your situation. Occasionally concepts that have been included in one section have also been included in another. This occurs when the concept is important in both places, and it cannot be assumed that the person using the manual will read both sections.

In all cases the purpose of the manual is not to prescribe a specific solution to your problem, but to identify both the alternatives to consider and the issues which must be taken into account. None of the public involvement plans shown, for example, should be copied in their entirety. Instead you are strongly encouraged to utilize the thought process described in Chapter 7 to develop a plan suitable to your specific situation. Hopefully the manual provides you with sufficient information so you can make choices wisely.

CHAPTER 1: THE RATIONALE FOR PUBLIC INVOLVEMENT

Effective public involvement requires not only that specific regulations--such as Water and Power Instructions--are met, but also that activities are carried out within the spirit of public involvement. This chapter will provide both the philosophical and practical arguments for why public involvement is needed, and why public involvement is in the best interests both of the agency and the public.

What is Public Involvement?

But first, what is public involvement? Public involvement is a process, or processes, by which interested and affected individuals, organizations, agencies and governmental entities are consulted and included in Water and Power Resources Service decision-making. Typically there are a variety of techniques which are used as part of this process, including individual interviews, workshops, advisory committees, informational brochures, surveys, public hearings, and many others.

The Difference between Public Involvement and Public Information

Many people wonder how public involvement differs from public information programs which the Service has conducted for a number of years. The difference is that the purpose of public information is to inform the public, while the purpose of public involvement is both to inform the public and solicit public response regarding the public's needs, values, and evaluations of proposed solutions. One measure of an effective public involvement program is that you will be able to identify specific ways in which the final decision is responsive to public comment. If, after a public involvement program, nothing has changed, the likelihood is that this has been a public involvement program that met the letter of the law, but not the spirit of public involvement.

But obviously for the public to provide informed comment it is necessary for the public to receive information from the agency. No one can evaluate alternatives unless they have been adequately informed what the alternatives are and the consequences of each alternative. So public information is always a central element in any public involvement program. One way to diagram the relationship between public involvement and

public information is to show public information as a large and significant element of public involvement (Figure 1):

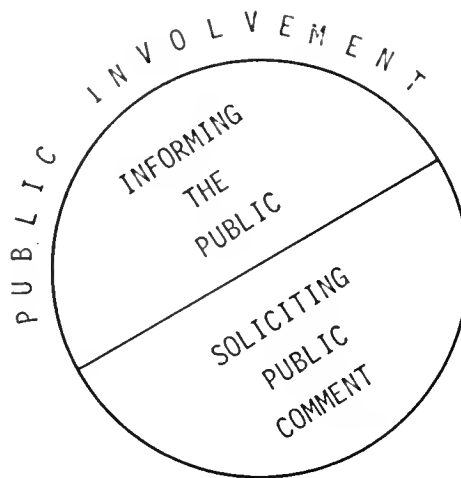


Figure 1

Since informing the public requires that the public be informed both of specific proposed decisions or actions as well as general information about water resources management, there will usually be two kinds of public information activities: 1) Public information activities designed to support a public involvement program regarding a specific decision or action, such as a planning study or proposed power rate increase, 2) Public information programs which provide continuing general information about WPRS activities, whether it involves continuous liason with the media, making presentations to civic groups or schools, issuing educational brochures about water conservation. Historically Public Affairs Offices within WPRS have been largely oriented towards this second function, and the increased emphasis on public involvement will create demands for different kinds of services to be provided by Public Affairs Offices in support of public involvement programs conducted by the other functional areas within WPRS.

But the final measure of the effectiveness of a public involvement program is not just that the public has been informed, but that public comment has been solicited in such a manner that it has contributed to making a decision which is feasible, environmentally sound, and enjoys the support of a significant segment of the public.

The Consent of the Governed

For the fundamental justification for public involvement is that basic axiom of democratic society that the government derives "from the consent of the governed." It is a basic premise of democracy that people have the opportunity to participate in the decisions that affect them.

It is in this manner that the public can hold the government accountable for its actions, and thereby both protect the rights of the citizenry and ensure the support of the citizenry for governmental actions. A government must have "legitimacy," whether that legitimacy proceeds from birth (a monarchy), from divine authority (a theocracy) or from the broad support of the people (a democracy). Without that legitimacy every action of government would be questioned and resolved only through the use of force. Every four years we "accept" the legitimacy of an elected President, even though that President may have received only a few more votes than his opponent. The process by which the decision was made--the election--bestows legitimacy on the decision itself.

Governmental agencies must also have legitimacy. No agency can survive if every action it takes is challenged or questioned. But to achieve this legitimacy, the decision-making processes followed by that agency must have a visibility and credibility which will create legitimacy. There is no way to make everyone happy all the time. But if an agency has created a decision-making process that is legitimate, people who have "lost" on a particular decision will be much more likely to say: "I don't like the decision but it was made in a fair and open manner, and I had a chance to have my say, so I guess I can live with it." The whole question of "winners" and losers" is covered in further detail on page 31, but unless the public generally accepts that an issue is resolved when an agency makes a decision, that agency will be unable to perform its function effectively.

Why the Demand for Public Involvement?

But while the justification for public involvement rests on very fundamental premises of democracy, it is true that the demand for formal programs of public involvement is relatively new, so it is worth examining the social changes and political forces which have created this demand.

Size and Complexity of Government

When Abraham Lincoln was President the number of full time permanent civil servants in the Federal Government consisted of 60 persons. Now the number of agencies is many times more than 60, with the number of employees numbered in the millions.

Many social commentators believe that the size and complexity of government has led to people's sense of alienation from government. The "nameless, faceless bureaucrat" is often the subject of scorn and sarcastic humor. Where once an agency's local representative was known in the local community, he has been replaced by many employees with widely differing background, transferring periodically around the country.

With this loss of "knowing" the government also comes a sense of loss of control. The "nameless, faceless bureaucrat" is usually seen making decisions that affect people's lives without their having any control over him. This has led to demands for participation to counteract the sense of loss of control.

Increased Social Regulation

Since the early 1930's there has also been a steady increase in the areas regulated by governmental action. Where the philosophy of government was once "let the buyer beware" and "the government is best that governs least," there are now numerous regulations affecting safety, health, consumer protection, environmental protection, etc. etc. While there are some changes from administration to administration on the amount of regulation which is considered appropriate, government clearly plays a much larger role than it once did.

But as the government impacts increasingly on the lives of the citizens, there are reciprocal demands from the citizens to exercise control over the government to prevent the unchecked exercise of governmental power.

Many of these demands come in the form of demands for public involvement in agency decision-making.

Technical Complexity of Governmental Decision-making

American society as a whole has become increasingly specialized, with decisions requiring extremely high degrees of technical sophistication and knowledge. The result is that politicians, or other decision-makers, have become heavily dependent on small groups of highly sophisticated technicians to recommend major courses of action. Even within agencies, studies which previously might have been conducted by one person now require an interdisciplinary team of highly trained specialists.

The result is that technicians often become a kind of elite group with their own esoteric language, rites of membership, etc. Technicians even refer to the need to explain things in "layman's" terms--a phrase once used to distinguish people not of the priesthood.

The predictable result of creating such elites is a good deal of resentment and suspicion. Nor has the record of the technical elites dis-

pelled this suspicion. The Water and Power Resources Service's critics maintain that it has developed water at the expense of environmental protection, and has established policies which discourage water conservation.

Again, the result of the ensuing suspicion and resentment is a demand for more control over these technical elites, often in the form of public involvement.

Changes in the Basis for Assessing Projects

Within the past fifteen years there has been a fundamental change in the basis by which governmental actions are evaluated. There has been a very rapid evolution--almost a revolution--in what is "paid attention to" in evaluating governmental actions. There is a constantly expanding circle of new factors which must be taken into account. If, for example, a new water project were proposed, there was a time when the only factors paid attention to were its technical feasibility, economic feasibility, and willingness of beneficiaries to repay. (Figure 2).

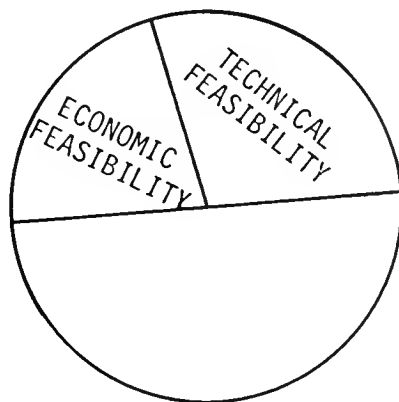


Figure 2

As more has been learned about irrigation and water use, increasing attention had to be paid to the health and safety of discharges, return flows, etc. (Figure 3)

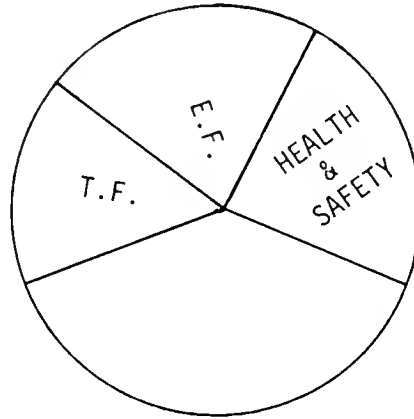


Figure 3

This was followed by a need to pay attention to the effect of water quality upon fish and wildlife. (Figure 4).

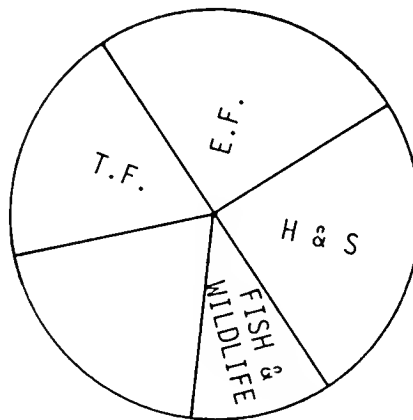


Figure 4

Coupled with concerns for fish and wildlife is a concern for the entire ecological system, with important implications regarding the possibility that humankind is reaching upper limits on resource use, with increasing needs to evaluate efficiency of water use and potentials for water conservation. (Figure 5).

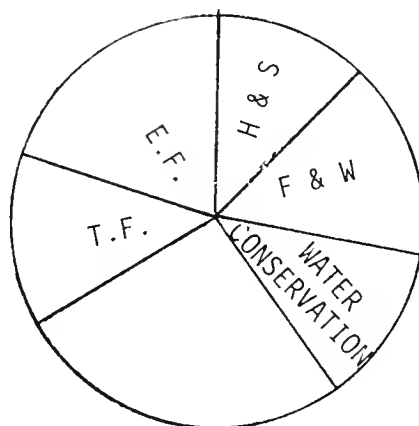


Figure 5

Most recently, under the Principles and Standards of the U. S. Water Resources Council, agencies are required to assess the Social Impacts of their actions. (Figure 6)

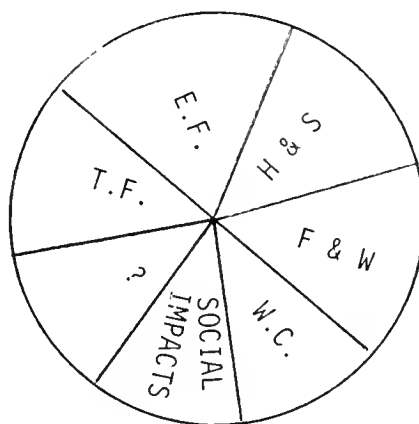


Figure 6

There is no assurance that the expansion of this circle of factors which must be considered has yet ended. But not only has the number of factors to be considered increased dramatically, each of these factors is associated with agencies and interest groups which serve as advocates for these specific concerns. Local and state health departments and the U. S. Environmental Protection Agency are all significant actors in evaluating the health and safety of water supplies. State and Federal fish and wildlife departments, sportsmen groups, and environmental groups are all advocates for the protection of fish and wildlife. There are a number of agencies and groups expressing concerns about water conservation practices and irrigation efficiencies. The adequacy of social impact assessment is evaluated by various governmental agencies, and concerns about the social impacts of projects are voiced by numerous public groups.

Rather than being faced with a single monolithic public, the decision maker is faced with a multitude of publics including agencies, groups and individuals. Each has its own concern and interest to advocate and protect, often regardless of the concerns of the other interests.

One way of describing what has happened, is to say that up until the 1960's there was a kind of consensus that if an action was technically feasible and economically justifiable, then the government was acting on behalf of all the publics by taking the action. This consensus could be portrayed as a kind of bell-shaped curve (Figure 7), with the vast majority of citizens in "the great middle." By operating within this consensus, agencies were seen as acting legitimately and appropriately.

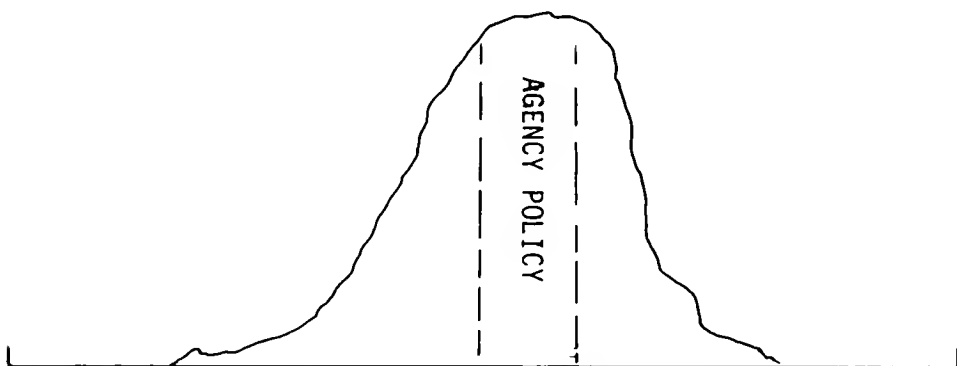


Figure 7

By the mid 1960's, however, it was clear that this consensus was breaking down. Instead groups advocated a wide range of actions based on widely different--often conflicting--premises. This change is shown in Figure 8.

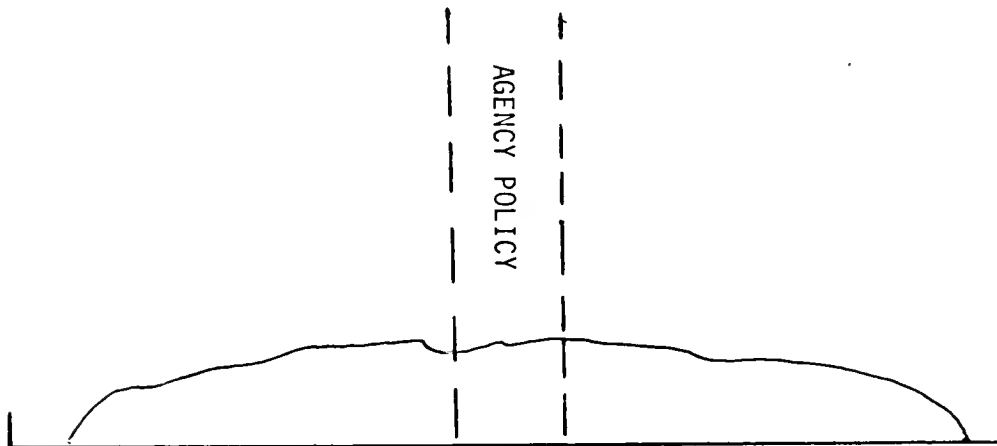


Figure 8

This change had several important implications for agencies:

1. No single point of view necessarily represented a clear-cut majority
2. Agencies which continued with the policies which had guided them through the 1950's were no longer seen as acting on behalf of everyone's benefit, but were seen as benefiting only certain limited interests.

This dilemma can be seen clearly in the Water and Power Resources Service's own program. During the first half of the century the Service's primary task was water development, and people's primary complaint was that they needed still more. In effect the Bureau had a clientele of water users, but this clientele was perceived in common with the public interest at large. This feeling that there was a Bureau clientele was certainly reinforced by the "re-payment" provisions of reclamation law. It was reasonable to assume that the people paying for the project were the affected public.

But as the basis upon which projects are evaluated changed, with various groups advocating fundamentally different philosophies, the Service's position in relationship to the broader public interest changed. To the degree that WPRS continued to represent its water development clientele, WPRS was perceived by the other publics not as a neutral party but as an advocate for particular interests. To the extent that WPRS was seen as defending limited interests, it lost some of its legitimacy and credibility as an agency. This in turn resulted in demands by the various groups for increased participation in WPRS decision-making.

Goals of Public Involvement

This phenomenon was by no means unique to the Water and Power Resources Service. Many agencies which had formerly considered themselves to be "the good guys" found themselves being questioned, challenged, criticized. The loss of governmental legitimacy and the shifts in social values by which governmental actions are measured have affected all aspects of government, at all levels. All government agencies are confronted with the problem of restoring credibility to decision-making processes, incorporating widely differing points of view in the decision-making process, and building a new consensus for its actions.

These three needs are the primary goals of public involvement:

1. Credibility - By creating an open and visible decision-making process to which everyone has equal access, public involvement provides a means of making the decision-making process credible to groups with highly divergent viewpoints.
2. Identifying Public Concerns and Values - Because the various groups have fundamentally different points of view, they will evaluate any proposed action from very different perspectives. Public involvement provides a mechanism by which agencies can understand the problems, issues, and possible solutions from the perspectives of the various interests.
3. Developing a Consensus - One implication of the highly divergent public viewpoints is that there is no single philosophy on which there is a consensus which can guide all agency actions. Rather consensus must be formed on an issue-by-issue basis. Public involvement provides a process by which such a consensus can evolve around specific agency actions.

To the extent that the Water and Power Resources Service public involvement activities attain these goals they not only provide a base of support and legitimacy to a WPRS program based on the public's desires, they also serve a broader social purpose in a democracy of assisting in developing a new social consensus which takes into account the concerns of all the presently conflicting groups.

CHAPTER 2: OBJECTIONS TO PUBLIC INVOLVEMENT

There is no question that public involvement requires additional effort, time and money. It is also difficult, complex, and at times emotionally draining. So it is natural that people will have objections to public involvement which need to be honestly answered before they can feel enthusiastic about implementing it. This chapter will address five major objections which are often raised by thoughtful people asked to implement public involvement programs. These objections are:

1. Doesn't an agency have an obligation to act on behalf of the public interest, regardless of what the special interest groups say?
2. It seems like public involvement programs only reach a small percentage of the public, those with some stake in the decision. How do we know that the results of a public involvement program really represent the will of the public?
3. Does public involvement conflict with the proper role of our elected representatives?
4. Aren't most decisions made by the Water and Power Resources Service professional rather than political decisions? Why do they require public involvement?
5. Isn't public involvement too expensive and time consuming, simply prolonging the time required to make decisions? Is it really worth it?

Let's take these objections in order:

OBJECTION 1:

DOESN'T AN AGENCY HAVE AN OBLIGATION TO ACT ON BEHALF OF THE PUBLIC INTEREST, REGARDLESS OF WHAT THE SPECIAL INTEREST GROUPS SAY?

Implicit in this objection is the belief that government agencies know what constitutes the public interest--what is "good" for the public--and the various groups which oppose those decisions are simply special interests representing a small minority.

THE FALLACY OF THE "OPTIMAL" SOLUTION

The belief that there is a single optimal solution which best meets the public interest is deeply engrained in engineering thinking. For many

years efforts were made to develop evaluation systems which allowed numerical ranking of alternatives, so that it was possible to determine the optimal solution in an objective manner. The difficulty is that all such systems assume agreement on the way things ought to be. They are relevant only when there is agreement on the criteria to be applied. But when there are genuine differences on the criteria being applied--when one person considers fish and wildlife concerns to be irrelevant as long as an action produces economic benefit, while another believes the criterion should be the preservation of the "natural" river system--then there is no single optimal solution. Only when there is agreement on "the way things should be" can technical people translate that agreement into an optimal solution. A belief in "the optimal solution" made sense in the 1940's and 1950's only because there was a societal consensus which supported water development. In the changed context of the 1970's, no such easy agreement exists. Conflicting groups may be able to support a particular action or project--all for their own reasons--but there is no general consensus of "the way things ought to be."

THE LIMITS OF TECHNICAL TRAINING

Nor is there anything about technical training which uniquely qualifies agency personnel to determine what constitutes the public good. The hydrologist may be able to project the safe allocation of water under 100-year drought conditions. The economist may be able to project repayment capability. The fisheries biologist may be able to project the water requirements for maintenance of fisheries. The geologist may be able to predict the seismic safety of a potential dam site. But whether or not a project is in the public interest requires a balancing of all these factors. A final decision requires an assessment of how important fishery values may be, how much safety is "reasonable," how much value does an endangered species have? These are all questions of philosophy, values, beliefs about the way things "ought" to be. While a technical person may be best equipped to project alternative courses of action or explain the consequences of various actions, he/she has no unique qualifications to choose between them. In fact, the record would indicate that technical organizations continue to make decisions within the values and beliefs of their technical specialty unless pressure is exerted to require consideration of factors that technical people had considered irrelevant.

One of the fundamental premises of democracy is that all people are equal in the search for the truth. Despite its inefficiencies, democracy assumes that in the long run the truth is best served by allowing equal expression of all points of view "in the marketplace of ideas." Claims of unique wisdom regarding the public interest based on divine revelation, wealth, aristocratic birth, or technical knowledge--except as they are able to win out in the open discussion of their value--are at odds with the premises of democratic society.

DETERMINING THE PUBLIC INTEREST

In effect "the public interest" in a democracy is whatever people can agree it is. The agreement of the people is accepted as the final arbiter because any claims to absolute knowledge of "the public interest" based on religious truth, divine right, or technical expertise potentially form the basis for the claims of a theological, aristocratic, or scientific elite and are a threat to democratic society. In the words of Thomas Jefferson (1820): "I know of no safe depository of the ultimate powers of the society but the people themselves. And if we think them not enlightened enough to exercise their control with wholesome discretion the remedy is not to take it from them but to inform their discretion."¹

In the absence of a societal consensus on the public interest, public involvement provides a process by which the public interest can be established at least as it relates to specific proposed actions. Agencies are assuming their responsibility in a democratic society to respond to the crisis of an uncertain mandate by creating a process by which the public's "discretion" can be "informed," and the public can assist in defining the positive good which the agency is to serve.

OBJECTION 2:

IT SEEMS LIKE PUBLIC INVOLVEMENT PROGRAMS ONLY REACH A SMALL PERCENTAGE OF THE PUBLIC, THOSE WITH SOME STAKE IN THE DECISION. HOW DO WE REALLY KNOW THAT THE RESULTS OF A PUBLIC INVOLVEMENT PROGRAM REPRESENT THE WILL OF THE PEOPLE?

This is, and always will remain a fundamental issue with public involvement. But it is a problem with any method of determining the public will, including elections. While we generally accept elections as a fair method of determining the public will, the fact is that in elections only a small percentage of the public participate in the decision. In the Presidential elections of 1976--and the percentage participating in a Presidential election is always much higher than in local or off-year elections--only 37% of the total public voted. The election was settled by a difference of only 1,678,000 votes, while approximately 140,000,000 citizens didn't vote either because they were under age, weren't registered to vote, or just didn't think it mattered enough to bother. Did the election truly represent the will of the public? We accept that it does because we have established an agreement that if a certain set of election procedures are followed, the outcome by definition represents the will of the people.

The problem with public involvement is that no such definition yet exists. Public involvement is still new enough that someone can always second-guess

¹Letter to William Charles Jarvis, September 28, 1820.

whether or not the "true" public was reached. At some time in the future a common agreement may be established that when certain public involvement procedures are carried out, these procedures are adequate and reasonable and will therefore be accepted as a fair representation of public sentiment. In the meantime there is no single accepted definition of when a public involvement program has reached the "true" public. There are, however, some general principles which can provide guidance to what constitutes a "reasonable" approach to reaching the public.

Most political theorists acknowledge that there is a "vocal minority" that exerts influence on decisions out of proportion to its numbers (Figure 1). These are the "activists" who write the letters, attend the meetings, lobby their elected officials, and as a result make their point of view well known to decision makers. More recently this has led to the notion of "the silent majority." According to this notion there is a great mass of silent folks out there who if they were just heard from would straighten things out in a hurry. There are great advantages to the notion of "the silent majority" because anyone can claim them: "If we could just hear from the silent majority then it would be clear

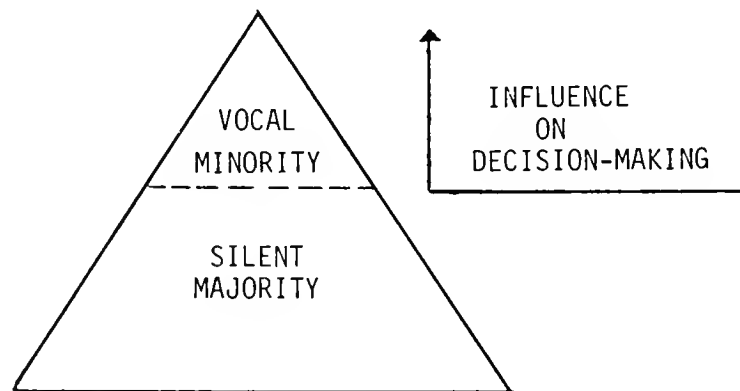


Figure 1

that this is what the people want." This claim can be made by development people, leaders of the taxpayers' revolt, environmentalists, and even agency personnel. It is also a fool-proof argument, because if anyone contradicts it they can't represent the silent majority--after all, they aren't silent.

The problem with the concept of "the silent majority" is that it assumes that because people are silent they are all in agreement. In fact there is no evidence to suggest that "the silent majority" are more in agreement than "the vocal minority." All the evidence suggests is that the silent majority feels less strongly about the issues.

In fact even that is not entirely true, because the composition of "the vocal minority" and "the silent majority" change from issue to issue. An individual may feel very strongly about water development--and therefore be a member of the vocal minority--while remaining a part of the silent majority on the local school bond drive, highway location, etc. When we speak of a controversial issue what we are really saying is that this is an issue for which the number of people in the vocal minority is much larger than usual.

But the reality is that usually people participate when they believe they are strongly affected, and don't participate when they are not. Complaints that only people who have a stake in a decision participate imply that this should not be the case, when the reality is that right or wrong people are motivated to participate only when they perceive that a decision affects them. It certainly is true that if people don't know how a decision affects them, they may not participate in a decision because they are unaware of its impact. As a result, agencies certainly have an obligation to inform the public in understandable language what the potential stakes of a decision will be.

It should be also noted that the stakes are not only in economic terms, but may also be in uses, or in values (peoples' beliefs about the way things ought to be). A decision based on the values of preserving a "natural" river system (rivers "ought" to be left in their natural state) may cause an economic hardship to one group, help another group economically, enhance rafting, and discourage boating, all at the same time. Historically those people who were affected economically by decisions have been consulted--or at least made their concerns known, along with some of those who made recreational use of water resources. Those people who argue a values position or philosophy, without other immediately apparent economic or use stake in an issue, represent a newer kind of public and have not always been recognized and adequately incorporated in the decision-making process.

But if people participate only when they have a stake, then the hard reality is that in public involvement you will usually be dealing with the vocal minority. On the other hand the size of the vocal minority is not a fixed thing. By doing a good job of informing the public of the consequences of a decision you may be able to substantially increase the size of "the public" for any particular issue. In effect "the public" on one issue is not the same as "the public" on another issue. It is necessary to identify "the public" for each issue. Procedures for doing this are shown in Chapter 6.

The vocal minority also serve as "surrogates," or on behalf of, the silent majority. Many people belong to a group, whether it is a professional society, a political group, or a social organization which "represents" them on key issues. Other people feel--and this is an agency's

main claim to legitimacy--that the government is looking after their interests. Other times there are groups we silently "cheer on" because they speak for us, even though we never formally join them. As a result it is safe to assume that in many cases the vocal minority are acting on behalf of the silent majority as well (and by implication the silent majority has as many diverse viewpoints as the vocal minority). But the problem comes in assigning a relative weight to one vocal minority versus another. The harsh reality is that there is no objective way--other than an election--of doing this. Elected officials wrestle with this problem constantly, and if they guess wrong they aren't re-elected.

As indicated in Chapter 5 there are certain basic obligations which an agency does have to "the silent majority":

1. Efforts must be made to inform the entire public of the consequences of proposed actions so that citizens can choose whether or not to be a part of the vocal minority on a particular issue.
2. Highly visible ways of participating must be made available so that people know how to participate if they want to.
3. Efforts must be made to ensure that all points of view are represented even if it is difficult to determine the relative weight which should be given to each viewpoint.

OBJECTION 3:

DOESN'T PUBLIC INVOLVEMENT CONFLICT WITH THE PROPER ROLE OF OUR ELECTED REPRESENTATIVES?

Apparently the elected representatives don't think so. The U. S. Congress has included requirements for public involvement in every major piece of environmental legislation since NEPA. Executive Orders implementing public involvement have been issued by Presidents Nixon, Ford and Carter. The General Accounting Office is on record recommending increased public involvement in public works projects due to construction delays when the public is not included in decisions.

Elected officials are caught in the same social pressures that affect the agencies. The increased size, complexity and technical requirements of government also make their job more difficult. A member of the House of Representatives who once represented only 30,000 citizens (1790) now must represent more than half a million people. Despite the significant increase in congressional staff, a Congressman can be well-informed on only the major issues. There is a clear advantage, then, to creating a process of resolving political differences at the local level among the

affected people, rather than assuming that elected representatives can be sufficiently informed on every issue. Increasingly Congress is demanding that the agencies do "their homework" as much as possible in resolving political differences before proposed actions are brought before the Congress.

It is also true that the current political situation in which no one point of view possesses a clear majority on natural resources issues creates a demand for issue-by-issue accountability which is not provided by representative forms of government. The various groups are striving to be recognized as the consensus of the future. In effect they wish their point of view to be accepted as "the conventional wisdom" of the next generation. While they will lose occasionally, what they are most afraid of losing is their political momentum. Each issue is fought to the death, for fear it will be seen as a loss of momentum for the environmentalists, development interests, etc. But an elected representative is held accountable to the public on his/her total record, not for any single decision. Public involvement provides a mechanism for providing issue-by-issue accountability while at the same time retaining the fundamentals of the representative form of government.

There is also an advantage to the agency in proceeding on an issue-by-issue basis. Given both the current lack of a general consensus on WPRS activities, plus the unlikelihood in the short term of such a consensus forming, the Service's ability to carry on an effective program will probably rest substantially on its ability to obtain consensus on an issue-by-issue basis through public involvement activities. It must be stressed that such a program will not occur by "selling" existing activities of WPRS, but by actively involving the public in the formulation of WPRS' program.

OBJECTION 4:

AREN'T MOST DECISIONS MADE BY THE WATER AND POWER RESOURCES SERVICE PROFESSIONAL RATHER THAN POLITICAL DECISIONS? WHY DO THEY REQUIRE PUBLIC INVOLVEMENT?

One implication of acknowledging the need of public involvement in shaping WPRS' program is the recognition that many decisions made by WPRS--and other government agencies--are in fact political decisions, justifying accountability to the public. Not that they are political in the sense of partisan politics--Democratic or Republican, but political in the sense that they bestow significant benefits or costs on different segments of the public. This is a workable definition of a "political" decision: Anytime the effect of governmental actions will affect different groups differently, the public will perceive that action to be political. Since there are numerous groups advocating very different positions--the need for increased water development, the need for better water conservation, protection of family farms, protection of fish and wildlife, etc.--it is almost impossible to make decisions that don't affect groups differently. As noted previously, these "benefits and

costs" are not just in economic terms but also in terms of different uses and different philosophies about the way things ought to be. But as viewed by the public, Water and Power Resources Service is making political decisions every day.

The implication of a decision being "political" in the sense indicated here is not that the decision should have to be made by elected officials but that: 1) WPRS employees need to be sensitive and aware of the differential effects of decisions on various publics, and 2) in a democracy, the agency has an obligation to provide accountability for political decisions to the public. Public involvement provides a mechanism by which WPRS employees can be sensitized to the impacts of decisions upon various publics, and provide accountability for decision-making.

OBJECTION 5:

ISN'T PUBLIC INVOLVEMENT TOO EXPENSIVE AND TIME-CONSUMING, SIMPLY PROLONGING THE TIME REQUIRED TO MAKE DECISIONS? IS IT REALLY WORTH IT?

There is really little question that public involvement increases the cost of decision-making and can lead to delays compared with unilateral agency decision-making. At times--particularly with letter-of-the-law public involvement--it is reasonable to ask whether or not the value received in terms of the new information received from the public justified the expenditure. (One goal of this manual, of course, is to recommend ways of improving public involvement which will increase the usefulness of the participation and avoid unnecessary delays).

One answer is that no one said that democracy is cheap, just better than the alternatives. Unquestionably agencies are being asked to bear the social costs of the weakened legitimacy and authority of most of our social institutions, including governmental decision-making processes. As indicated earlier, we are in a time when there is no clear consensus of public opinion regarding the management of our natural resources. At times it seems like every action is tested in the courts, is subject to endless delays, or could lead to civil disobedience. The costs of public involvement are at least in part the costs of beginning to establish a new social consensus. It is expensive, but it is providing an essential social function during this time of great social change.

Public involvement is also necessary on very pragmatic grounds as well. The simple reality is that without a process for resolving the conflicting philosophies held by the public, the crisis of legitimacy could become so great that no agency program would be possible. More than one agency has had major elements of its program temporarily but completely suspended by court action. The number of WPRS projects which are being dragged through a series of court tests, political tests, re-studies, etc., is testimony to what happens when agency programs no longer have a consensual political support.

This leads to the whole question of the economy and efficiency of decision-making. Unilateral, agency-based decisions appear to be economical and efficient because only the time from identification of a problem to the decision is counted (Figure 2).

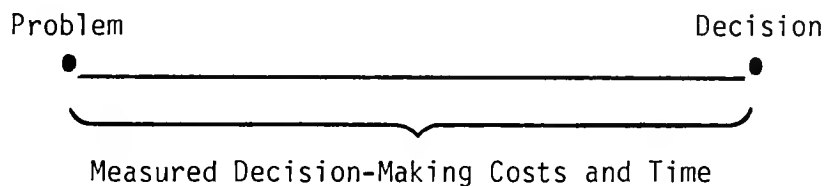


Figure 2

But when an agency operates in a climate where decisions are constantly contested, this is not the appropriate measure of the true costs of decision-making. Many agency decisions have been made expeditiously, but no implementation has yet occurred nor--given the continuing controversy--are there signs it will occur. The measure of a decision is not just that it is made efficiently and economically, but that the process by which it was made creates sufficient legitimacy, and the decision itself has sufficient acceptability, that the decision can be implemented.

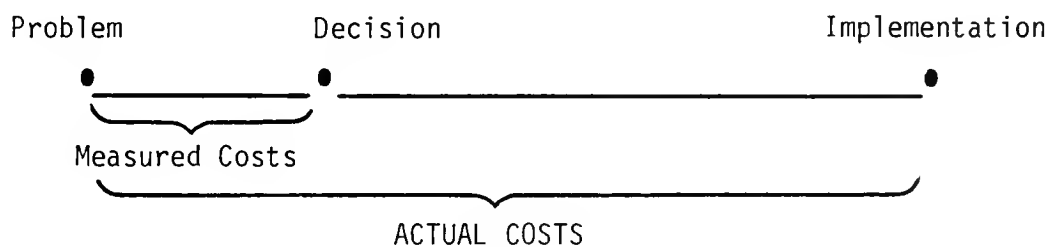


Figure 3

CHAPTER 3: ATTITUDES TOWARDS PUBLIC INVOLVEMENT PROGRAM DESIGN

This chapter contains a number of general observations about the attitude or philosophy with which public involvement programs should be approached. This "advice" is based both on a general philosophy of public involvement and practical experience attempting to implement effective public involvement.

1. The design of a public involvement program communicates how much you value or desire the public's involvement. No amount of rhetoric about how much the public's contributions are desired will cover over the communication to the public which results from a poorly designed public involvement program. It's another case of "action speaks louder than words." If the public is consulted so late in the process that basic commitments have already been made, if participation never results in any tangible change, if alternatives or arguments consistent with the agency's values are the only ones considered, the public will get the message: "We have to go through the ritual but don't expect anything to come out of it. As a result, doing "letter-of-the-law" public involvement is often worse than doing none at all, because it poisons the relationship with the public for those times when you genuinely want participation. If you genuinely want public comment, and design your program with care to get it, that message will get across even if you are not yet totally skilled in public involvement. But if you are just doing it because you have to, that will be communicated loud and clear.
2. Maintain the visibility of the program. When people are suspect of an agency or process anything that can't be seen can lead to suspicion. This is a case of "seeing is believing." You may know that the analysis process you went through, for example, was objective and fair to all points of view. But if the public can't understand how you got there, it can cause suspicion. You may know a meeting with one of the interest groups was perfectly legitimate, but other groups who don't know what went on may question it. You may know that the final decision carefully considered all points of view, but if that consideration was not documented, people may still suspect that "it was made in a smoke-filled room somewhere."

The only way to establish the credibility of your program is to create complete visibility for everything you do. If you know for example, that there will be six months of

analysis and report preparation before the next major contact with the public, you will need to devise some method to ensure that what occurs remains visible to the public. You might use an advisory committee to work with you during that period, or you might periodically circulate a newsletter, but somehow you must avoid letting the process go "underground" where it can't be seen and can contribute to suspicion.

3. If you are not "selling," you don't have to be defensive. Many agency personnel find that during their initial experiences with public involvement they often feel on the defensive--defending the agency, defending a proposed action, etc. Yet defensiveness is a major barrier in public involvement, communicating to the public that you are willing to listen to ideas as long as they are in support of the agency, and setting up an adversary relationship with anyone who is critical of the agency or its program.

One reason this is most likely to occur the first few times public involvement is tried is that most agencies begin public involvement on a controversial issue in which the agency already has a proposed action. The implication of this is that the agency is in a "selling" posture, it believes it knows what is "good" in the situation, and is using the public involvement to push its own point of view. This will usually accomplish two things: 1) The public will "turn off" to public involvement, believing it is just a new-fangled approach to the agency's doing what it wants to do anyway, and 2) the agency personnel will get defensive because they will be in a "selling" posture, and therefore have to defend the agency's proposal, the agency's integrity, the sincerity of the public involvement effort, etc.

If you do have a loyalty to the agency there is always some danger of being defensive. Bear in mind, however, that defending the agency typically creates more antagonism than convinces people of the agency's worth. A blind loyalty which can't permit the possibility that Reclamation could be wrong, ultimately does not serve the agency well. But if you start public involvement with a proposal to sell, or with a predetermined result you want to come out of the program, this will almost surely guarantee that you will find yourself defensive. You will also be undermining the credibility of public involvement for those situations when you genuinely do want the public's help.

4. Know the limits of professional expertise. As outlined in Chapter 2, professional training may make professionals the best qualified to project alternative solutions or estimate the impacts of alternatives. But when it comes down to choosing between alternatives, the decision inevitably involves values choices about what is good or bad the way things "ought" to be. At the level of values the professional is like every other human being with his/her own opinions, biases, standards. In a democracy these opinions, biases, and standards are not "more equal" than those of other citizens. When the limits of professional expertise are recognized by the professional, the public will typically learn to value the professional as a source of information about what is possible, and what the consequences of various actions will be. But when the professional uses his/her professional expertise to push their own values or philosophy, then the public will frequently challenge and question them in all areas, including the areas in which they could have made a technical contribution.

5. Use professional expertise to create options, not close them. It is essential that agency personnel operate in such a way that their professional expertise is used to help the public figure out what they can do to solve a problem, rather than using their expertise to constantly tell the public what they cannot do. Since the public is frequently not sophisticated about technical or economic feasibility, and certainly cannot be aware of the maze of agency authorities, limitations, etc., it is relatively easy to slip into a posture of constantly telling the public what they cannot do. But the result is frustration and resentment by the public, and a belief that the agency is simply selling its own point of view. A comparable experience is the occasional administrative person within the agency who uses the rather complicated requirements of personnel or procurement in such a way that they seem to other people to be using the system to prevent any action. Yet a skilled administrative person often prides himself/herself on the ability to always find a way within the system to get an important job done. It is this latter attitude which must also be communicated to the public. While there are limits of feasibility, legal mandates, etc., the public must get the feeling that the professional is using that expertise to find solutions, to be responsive to the public's needs.

6. Learn to speak the public's language. Every technical specialty and every bureaucracy quickly develops a vocabulary of words that are understood by others in the group and are economic and efficient to use because the definitions are previously agreed upon, so that a kind of "shorthand" communication takes place. The problem is that to the public this language seems more like it is part of some esoteric rite of a sacred cult with its own special language and ritual. The obligation to translate this cultic talk into language understandable to the public is clearly the agency's. The public cannot be expected to learn the agency's language as the price of admission to decision-making.

At times the implications of this relatively simple premise are not minor. Many agency personnel beginning public involvement programs have found it extremely difficult to locate agency personnel able to translate technical reports into simple, everyday English. There seems to be a shortage of "translators" within most agencies. The implication of learning to speak the public's language requires changes in habitual ways of talking, training in public speaking or report writing, and occasional hiring of new employees with special skills in presenting complex technical ideas to the public in ways they can understand and respond to them.

7. Feelings are a rich source of information about people's values, philosophies, their sense of the way things "ought" to be. Frequently technical people approach public involvement with comments like "we want quality data from the public." The bias inherent in this remark is that only hard, factual, logical, rational information is welcome from the public. But in fact this is simply another instance of setting up qualifications before people are allowed to participate. The more factual, rational data alone is accepted and feelings are excluded, the more public involvement will be limited to a few highly-organized lobbies with staff who can learn to present their comments in ways that impress you. The more you reach out to less organized interests and concerns, the more you will hear feelings, biases, concerns, without a lot of supporting data to sustain them. Yet people are doing the thing they can do best--they are telling you the way things "ought" to be, the philosophies or values which should guide agency actions. It is your job then, to translate those philosophies into alternatives, and provide an analysis of the implications of these alternatives. It is possible that when faced

with these implications, the public may modify or moderate its opinions, but it is your job to take their initial feelings and carry them through in an objective and professional manner to the point that the implications are visible.

8. Identify the limits of your decision-making mandate. The public often has unrealistic expectations of decision-making authority within a federal agency. In particular they are likely to be confused by the division of authority between federal agencies. Finally, the person conducting the public involvement program is frequently not the decision-maker, so that the public involvement becomes a kind of recommendation to the decision maker. It is extremely important that limits on authority and mandates that are shared with other agencies are identified from the beginning with the public. This will not eliminate all the problems of unrealistic expectations, but at least it will reduce the risks of the public being taken by surprise when the consequences of these limits are experienced.
9. Break out of the traditional ways of doing things. Public involvement is a new and exciting field. It is still definitely an art form, not a science. It is important during these early stages to be experimental and try various approaches and techniques. The ways that agencies hold meetings, in particular, are often very traditional and inappropriate to the purposes of the early stages of the decision-making process. Public involvement can be an exciting challenge rather than a threatening new obligation.

CHAPTER 4: WHEN IS PUBLIC INVOLVEMENT NEEDED

(Note: The following quotes are taken from a draft version of Water and Power Instructions, Part 351-Public Involvement, and may be revised.)

CHAPTER 2-SCOPE

351.2.1 General. The public normally will be provided the opportunity to participate in the decisionmaking process and will be provided information about decisions that are being considered or have been made for all Water and Power Resources Service water resource activities. Public involvement activities are an integral part of the Water and Power Resources Service's programs and functional activities; and, the various offices, divisions, and staffs shall cooperate to the fullest extent possible to achieve successful public involvement. In addition, nothing in these instructions shall be construed as a substitute for Departmental rules for implementing the Freedom of Information Act, 316 DM 1, and the Administrative Procedure Act, 318 DM 1.

A. Policy. Public involvement programs will be designed and conducted in connection with the establishment of new Water and Power Resources Service policy or for significant changes of existing policy. It is recognized, however, that some Water and Power Resources Service policies are defined externally by the Administration or the Congress. Unless directed by those policy-makers, the Water and Power Resources Service bears no responsibility for public involvement in advance of adoption of such policies.

CHAPTER 4-DEFINITIONS

351.4.7 "Significant" means activities or actions that are important to the Water and Power Resources Service and/or its publics. Significant activities or actions are those which may affect individuals differently, conferring benefits, and disadvantages unequally. The benefits and disadvantages of such actions must be considered important and meaningful to those who are affected for the activity or action to be significant.

The term significant implies responsible judgment on the part of decisionmakers. If questions arise, the need for public involvement should be determined in consultation with individuals, organizations, and agencies which might consider the action significant.

WPRS policy requires that public involvement opportunities be made available whenever WPRS considers "significant" actions. Obviously the term "significant" is a term that requires the exercise of considerable judgment. Just how significant does an action have to be before it is "significant"?

Some of these judgments are clearly defined either in law or regulation. For example:

- . Appraisal, feasibility, and advance planning studies require public involvement. Special studies fall in the judgmental area.
- . Actions requiring preparation of an Environmental Impact Statement require public involvement.
- . The preparation of Water and Power Instructions, except those involving exclusively matters of internal administration.

But others fall more into the judgmental area. For example, how controversial does something have to be, to be "controversial"? How large a shift in WPRS policy is "significant"?

DISTRIBUTION OF BENEFITS AND COSTS

Several concepts presented in earlier chapters may be helpful in establishing a framework for these judgments. The first is that decisions will be perceived as "political" whenever they have different kinds or levels of impact--different benefits or costs--upon different publics. Traditionally WPRS has evaluated benefits and costs solely in economic terms. But WPRS actions also bestow benefits and costs in terms of uses, environmental and social values, people's sense of the way things "ought to be." These benefits and costs can be as varied as:

- . Noise or dust impacts resulting from a project.
- . Sufficient water supply in a municipality to allow new housing developments.
- . Irrigation water for agriculture.
- . A contract for construction of roads or other facilities.
- . Controlled flows for year-round white-water rafting (or conversely, the elimination of down-stream rafting).
- . The preservation of a "natural" river system.
- . A demonstration of political strength or credibility.
- . Flood protection for a house or farm land.
- . Positive balance of payments with other nations resulting from exporting irrigated crops.

- . Support of the family farm as an American institution.
- . Acquisition and relocation of people's homes.
- . Increased or decreased taxes for the taxpayer.
- . The right to use some land for grazing.

These are simply illustrations of the multitude of benefits and costs which may accrue from a proposed action. But not only are there numerous benefits and costs at stake, but rarely are these benefits and costs distributed equally. To the individual who has to relocate, for example, the cost is very high. This individual may be asked to accept this cost in return for a peaking power project that delivers a modest efficiency in the energy supply for several million people living a couple of hundred miles away. It is little wonder that the person who has to relocate believes that the decision is "political."

An action is likely to be even more controversial if the benefits and costs are distributed in such a way that they reinforce already existing political divisions. If pro-development forces in a community are already at odds with environmentalists, then an action is proposed which would provide almost all the benefits to one side and all the costs to another, then that action will be much more controversial than a project that is nearly equal in its benefits and costs for both sides. This doesn't apply just to developers and environmentalists, but to whatever political divisions exist within the community.

Finally, the degree to which a decision is seen as political--bestowing differential benefits and costs to different publics--is a matter of perception. So long as people perceive that they are benefited or would receive a cost from an action, they will perceive the action to be political. This is why the Water and Power Instructions specify that the term "significant" includes not only actions which are viewed as significant by WPRS but also actions which are viewed as significant by members of the public. Your perception of the benefits or costs accruing from an action may be very different from a citizen's. A WPRS engineer working on a dam design may think that he/she is making a purely technical decision in order to ensure safety (although safety is a "benefit" which often results in construction "costs"), and be unaware that the operational implications of that design may threaten a delicate compromise between groups achieved during the planning stage.

The point is that whenever people see themselves as standing to gain something as a result of agency action, or see themselves standing to lose something they value as a result of agency action, (particularly if they are losing it while others are gaining) this is the kind of situation where the agency must demonstrate the equity of its decision-making process. To be perceived as equitable, that process must first of all

be highly visible. It is not enough to be "told" that a decision was equitable, people must be able to see how a decision was made to believe in its equity. The other element of equity is that all sides have equal access to the decision-makers. If the decision-maker meets regularly with one group, and constantly socializes with its members, while members of another group can't even get in to see him; no matter how fair that decision-maker tries to be in making that decision, it won't appear fair. Since the amount of access was different, people will assume the amount of influence was also different.

A major purpose of public involvement programs is to ensure this needed visibility and equality of access to the decision-making process. When decisions are controversial, then public involvement is a means of demonstrating the equity of the decision-making process to the public.

This concept provides a framework in which to evaluate the "significance" of a proposed action: Is this an action that is likely to have benefits or costs in terms of economics, use, or values, that will cause groups to see themselves sufficiently impacted that they will be concerned about the equity of the decision-making process? If the answer is yes, you will need to provide public involvement opportunities.

When in Doubt, Ask

If in your judgment the answer is no, then it is possible no public involvement may be required. But remember that this is a matter of perception. You may not think an action is significant, but an individual or group may. The rule of thumb is: When in doubt, ask potentially interested individuals or groups whether they perceive an action to be significant. Their perception may be different from yours. In fact most of the public involvement procedures in the Water and Power Instructions provide for an early appraisal of public interest.

Water and Power Instructions provide specifically for the exclusion from public involvement requirements--even for actions that might otherwise be considered significant--when there is no public interest. There is a provision, however, for a review point in the decision-making process to ascertain that there is no public interest even after alternatives have been identified. The reason for this is that once alternatives have been identified there is greater likelihood of public interest and concern. The review point allows you to check whether the low interest continues, in which case no public involvement is required, or has changed, and therefore requires public involvement. Keep in mind, however, that when an action would normally be considered "significant" but is excluded from public involvement requirements based on a lack of public interest; this decision, and the decision made at the review point, must be documented.

CHAPTER 5: WHO IS THE PUBLIC

One of the difficulties facing anyone designing a public involvement program is defining the public which must be reached by the program. Often it appears that only a small vocal minority participate in public involvement programs. Our democratic instincts make us want to reach out to a broad general public, to "John Q. Public" or the "man on the street." Yet often this is economically infeasible, and not infrequently, the "man on the street" shows little interest. There is a need to find a working definition of "the public" which balances democratic principles but at the same time is reasonable and feasible.

THE ELECTORAL PUBLIC

The problem of defining "the public" is not a new one in our society. In fact "the public" has undergone continual re-definition throughout our history. We usually think of "the public" as synonymous with "everybody." But in fact even now, for political purposes "the public" is limited to those who are qualified to vote. Or to be more precise, "the public" is limited to those who actually do vote. But even this definition has not been constant throughout our history.

Only in this century have women, most blacks, and people between the ages of 18-21 generally been considered part of "the public" for purposes of elections. Yet America still considered itself to have held fully democratic elections even before the inclusion of those publics.

The point is that "the public" is not always that clear even with elections, let alone public involvement. Its definition has changed repeatedly throughout American history, through modifications in election rules and standards. It is safe to assume that in public involvement the definition will also change over time, and--just as in elections--we are looking for a pragmatic working definition that may not solve all problems of defining the public, but is popularly accepted as adequate for practical purposes.

SEARCHING FOR "THE PUBLIC"

The concept of "the public" implies that there is a single "thing" out there which can be called "the public." In fact "the public" is a mythical beast roughly akin to the concept of "the average family" which includes 2.1 children. Just as there are obviously no families with 2.1 children, the concept of "the public" is a theoretical construct that doesn't really describe reality.

In fact, all of us belong to many publics. Every time you identify with something--"I'm an engineer...Rotarian...Methodist...Democrat...woman...WPRS employee, etc."--you are defining another public to which you belong. Some of these parties may be relatively well organized such as a political party, a professional association, or a social group. This means that there is some important continuing interest which touches people closely on a lasting basis. Other publics

exist in potential only, e.g. people on your street may not have a strong sense of community until there is a proposal to put a freeway nearby. Once an important interest is touched, then these "potential publics" assume form for the duration of the issue.

There are a number of bases on which people may see themselves affected. These include:

1. Proximity: People who live in the immediate area of a project and are likely to be affected by noise, odors, dust or possibly even threat of dislocation.
2. Economic: Groups that have jobs or competitive advantages to win or lose, e. g. irrigators vs. whitewater guides.
3. Use: Those people whose use of an area is affected in any way by the outcome of an action including water users, recreationists, hikers, fishermen, hunters, etc.
4. Social: Increasingly people who see projects as a threat to the tradition and culture of the local community are likely to be interested in projects. They may perceive that a large influx of construction workers into an area may produce either a positive or negative effect on the community. Or they may perceive that the project will allow for a substantial population growth in the area which they may again view either positively or negatively.
5. Values: Some groups may be only peripherally affected by the first four criteria but find that some of the issues raised in the study directly affect their values, their "sense of the way things ought to be." Any time a study touches on such issues as free enterprise vs. government control, or jobs vs. environmental enhancement, there may be a number of individuals who participate primarily because of the values issues involved.

Typically a public will last only so long as there is some continuing interest which underlies it. The people on your street will stay organized only so long as the freeway threatens. When the threat goes away, some sense of community will linger for awhile, but unless some other basis of community interest is discovered, the sense of cohesiveness will disappear over time. Publics which were formed for one issue may be transformed into something else, and continue to function effectively after the initial common interest no longer exists. The people on your street might discover that the freeway problem was simply symptomatic of other problems in the community, and begin to address new issues. Or people in the group may find that the group meets some social needs, and the group is transformed into a community social

group. Or a leader in the group may realize that he/she has a broader interest in politics, and the neighbors may be willing to form a campaign community to elect this person as a mayor, city council person, etc.

The point is that the public is not a single thing, but a constantly shifting mass of affiliations, changing interests, alliances, etc. Watching the public is a bit like watching soap bubbles: One public collapses, to be replaced by several smaller publics, or to become part of a larger public which is also constantly changing shape and size. The concept of "the public" is just too static to describe the reality of constantly changing and interacting publics_ which actually exists.

The important point, though, is that publics form in response to some perceived interest. People participate when they believe they are strongly affected and think they can do something about it, and don't participate when they are not affected or think they can't do anything about it. This is why complaints that a small vocal minority--those who are willing to write letters, attend meetings, organize petition drives, phone the membership--have undue influence may miss the mark. Right or wrong, the reality is people are motivated to participate when it affects them. By implication, those who do not participate do not see themselves impacted as directly as those who do participate.

It is true that additional people might participate if they knew what the potential impacts of a decision upon them would be, or if more people believed that their participation would make a difference. If people don't know the impacts, or don't know how to influence the decision, then it is possible for a small minority to have an unfair influence. This will create some responsibilities agencies have towards the public which will be discussed below. However, so long as everybody has equal access to the information and equal access to the decision-making process then the idea that those people who are most impacted have more say is not unjust. If you are going to be relocated from your home, you undoubtedly believe it is entirely equitable that your voice be given somewhat more weight than someone hundreds of miles away from the project.

The problem, of course, is that there are different kinds of impacts. One person's livelihood may be threatened, another may be disturbed by construction activities, another may be deprived (or gain) a use of land or a commodity, still others may see a threat to a philosophy of how natural resources should be managed. How do you compare the impact of a loss of livelihood with the loss of the free-flowing character of a stream? The answer is clearly not an engineering answer. It is inevitably political. If both people experience the impact as intensely, they may both participate as intensely, and they will both have influence beyond that of others who do not see themselves impacted as severely. This is political reality. It is also not limited to public involvement. The same process is observable in electoral politics. Most elected officials will acknowledge that unless an issue becomes of

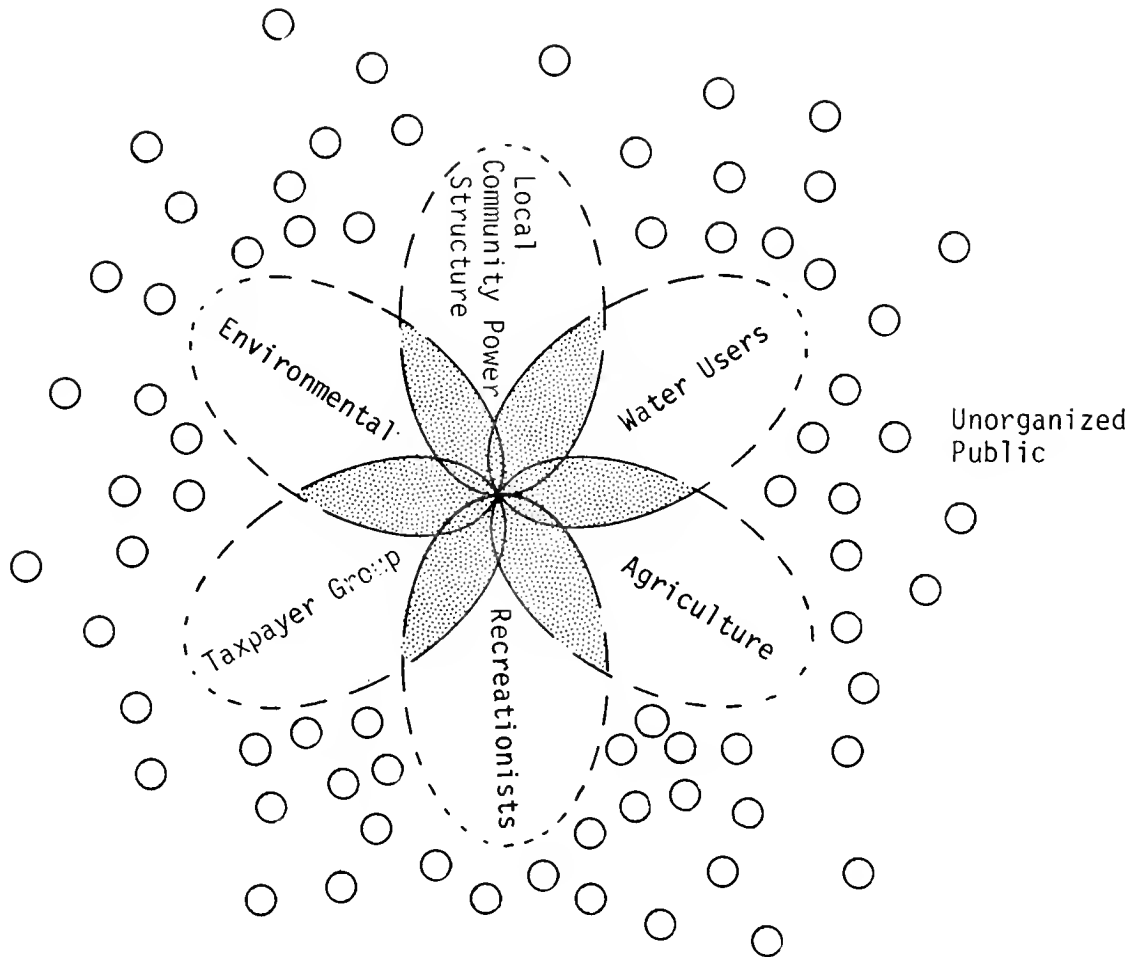
broad general interest, they will usually be responsive to those interests who care about the issue. If the issue does become controversial, then those individuals who care deeply about an issue will still have expanded influence because they are willing to organize support (or opposition), will contribute to campaigns, etc. In other words, representation of the interested is a fact of political life.

INTEREST CLUSTERS

However this does not mean that the active minority is a fixed class, so that decisions responsive to the active minority give a continual advantage to the same interests. Rather the composition of the active minority changes depending on the issue. When one speaks of a "controversial" issue, we are speaking of an issue in which a larger than usual active minority participate.

There are natural fears in a democratic society of a "power elite" which can somehow impose its will on decisions to its own advantage, even at the expense of the general public. Such power elites may have existed at various times in America, particularly in isolated smaller communities. Most sociologists would agree, however, that in our diverse society there is no longer a single power elite with the power to impose such decisions. What is observable in our society is that there are "interest clusters" which--in the absence of controversy--make decisions in their area of interest. There may, for example, be a water users cluster, an environmental cluster, etc. These clusters are composed of the leadership of the various groups or interests concerned with water use, recreation, etc. This is not to say that these interests are all in agreement. Often there are important conflicts of economics and use within a cluster. Less frequent, though, are conflicts of values. Most often people within a cluster share similar goals but fight over the equity of the distribution of benefits and costs. So long as a decision affects only people or interests within a single cluster, it is usually left to the people within that cluster to resolve the problem. If, for example, there were 200,000 acre/ft. of water to distribute, so long as all the groups receiving water can agree to a distribution plan, there will be little controversy as perceived by the general public, even though there may be considerable controversy within the cluster.

Controversy occurs when either of two events occur, as illustrated in Figure 1 on the following page.




 Shaded area represents points of probable conflict.

Figure 1

1. Controversy will occur when members within a cluster, e.g. one portion of the water users' cluster, feel that they are not being treated fairly by others in the cluster and appeal for support from the unorganized public to strengthen their position within their cluster. Upstream water users, for example, may create public controversy in an effort to gain concessions from downstream water users that they haven't been able to win in direct negotiations. The danger in this, of course is that the public may not support them. Or attention is focused on the issue and other clusters may start to get interested, radically altering the issue. The environmental cluster, for example, may start to get interested and question the validity of the entire project, not just the allocation to different interests.

2. Controversy will also occur when an issue touches on the interest of several clusters. A proposed dam, for example, may involve all of the clusters shown in Figure 1. As soon as all the clusters are involved there are few mechanisms established for resolution of differences (while each cluster has usually developed institutions for conflict resolution within the cluster). The result is that each cluster then appeals to the unorganized public for support, generating substantial controversy.

DIFFERENT TYPES OF LEADERSHIP

The other factor that enters into the occurrence of controversy is the base of support which is held by the leaders of the various interests. Sociologists distinguish those leaders who hold leadership position by virtue of being known by all the active people in their local community, versus those who are concerned with a single constellation of interest, e.g. environmental issues, and are known and supported by comparable environmentalists in other parts of the nation. Sociologists would refer to the local druggist who has been on the City Council for 15 years because he is known and trusted by everyone as "horizontally linked," linked by virtue of relationship to others within the same local power structure, i.e. horizontally. On the other hand an environmentalist who is head of the local chapter of an environmental organization, but is in regular communication on policy with a national organization, is "vertically-linked," that is, linked to people in other larger political structures. One way to contrast the two kinds of leadership is to say that "horizontalists" are leaders by virtue of possessing an understanding of local needs, desires or feelings, while "verticals" are leaders by virtue of knowledge and expertise needed to solve problems in a specific field.

Different groups tend to be linked horizontally or vertically. Water users and agricultural groups tend to be horizontally linked, even

though they have national organizations. Recreation, environmental, and taxpayers groups tend to be vertically linked, even though they have a base of support within their local community. The base difference is whom they see themselves as "having more in common with"--others in the same community, or others in different communities with the same interest.

These distinctions become important in two ways: 1) the kind of influence the different leaders have, and 2) the conditions under which controversy occurs. Leaders with a "horizontal" base of support, i.e. local community, tend to exercise influence across the whole gamut of local community issues. The druggist/city councilman, for example, will vote on issues concerning education, housing, taxes, transportation, welfare, etc. The local head of the environmental group will tend to have influence on environmental issues only, although his influence may be felt as far away as Washington, D. C. In fact when the environmentalist rides an environmental issue into office as a city councilman, he/she often has difficulty developing a base of support on other issues such as housing, transportation, etc. On the other hand, when the druggist goes to Washington D. C. he may have trouble getting anyone to pay attention to him.

OTHER CONDITIONS FOR CONTROVERSY

The other significance of the different forms of leadership is that controversy is more likely to occur on issues where the two kinds of leadership are pitted against each other. A study by Coleman indicates that three criteria for major controversy in a community are:

1. There is a small group of local activists, i.e. "verticals," who gain moral support and information from national groups.
2. There is a national climate of concern about issues similar to that being faced in the local community, e.g. endangered species, atomic energy, etc.
3. There is a lack of close and continued contact between public officials and the concerned public.

This last condition is of particular importance to WPRS personnel. If contact is maintained primarily with historic supporters of WPRS projects, then there will exist a lack of close and continued contact between WPRS officials and those groups concerned about WPRS projects. The obligation of effective public involvement programs to provide equal access to all groups is both a democratic principle and pragmatic politics. As you are known and trusted by the full range of interests, you increase the chances that differences can be settled by open discussion rather than by appeal to the unorganized public.

Coleman's studies go on to indicate that even when the three conditions above occur, major controversy is likely to occur only when:

1. The event touches an important aspect of people's lives, i.e. people participate only when they perceive themselves impacted.
2. The event affects lives of different community members differently, i.e. there are questions of equity about the distribution of benefits and costs.
3. Community members must feel they are capable of taking some action regarding this event or circumstance, i.e. they see it as a "political decision" rather than an "act of God" such as a drought or flood.

RESEARCH ON NON-PARTICIPATION

Similar findings came out of studies on "non-participation"--why people choose not to participate. The four basic reasons people chose not to participate, according to the research, are:

1. They feel adequately represented by someone in the active minority--Leaders of visible interest groups often serve as "surrogates" for a much larger group of people who feel represented by the activities of their surrogate. Most of us belong to some group in which we do little more than send our annual dues in order that that group will represent our particular interests. A case in point might be a professional group such as the American Society of Civil Engineers or the American Institute of Planners. This means that "special interest groups" play a surrogate role that makes them an integral and necessary part of an effective operating democracy.
2. People don't believe the impact of the decision upon them justifies participation--Everyone makes choices as to which activities they will involve themselves in when their life is often already hurried and pressured. As indicated earlier, we involve ourselves in those issues which we see could result in major impact on our personal lives. As a result every citizen has the right to choose not to participate in decisions that they perceive as of lower value than earning a living, spending time with their family, or some other civic issue in which they are involved.
3. People are unaware they are impacted by a decision--If people are not told of the potential impact of decisions, then they may not participate because they don't realize its potential impact on them. When they discover the

impact, though, they feel doubly betrayed by governmental officials--betrayed by the impact, and betrayed because they were told about the impact when the decision was made.

4. People don't believe they can influence the decision--One cause of "apathy" is people's belief that no matter what they do they will have no impact on the outcome. Without well-defined methods by which people can have a reasonable hope of influencing things, few but the best organized interests are likely to participate.

CONCLUSIONS ABOUT "THE PUBLIC"

The observations above lead to certain basic conclusions about a definition of the public which is both workable and democratically justifiable:

1. "The public" for any proposed decision will consist of those people who perceive themselves as significantly impacted by that decision. This is based both on the reality of how and why people participate, and is justifiable democratically because of the "surrogate" function that these people play for others with an interest in the issue.
2. The size and composition of "the public" will be different for each decision. Because the people impacted change with each decision, the people who will participate also change with each decision.
3. The size of "the public" increases with controversy. This is virtually a "by definition" statement. It could equally well be stated "controversy usually means that the size of "the public" has increased. As noted above, controversy is most likely to occur when:
 - a. One group within a power cluster appeals for support from the general public to gain power over another group within the same cluster.
 - b. One power cluster appeals for support from the general public to gain power over another power cluster.
 - c. An issue sets up a contest between local leadership (horizontals) and issue-oriented leadership (verticals) on an issue of national interest.

4. The size of "the public" will increase the closer you get to a decision. While not discussed above, this is clear by virtue of the first three conclusions. As impacts of decisions become clearer, as they do when the consequences of a decision are studied, then more people realize they are impacted and choose to participate. Also people who participate early in a study of a proposed action usually do so because they are impacted by a "problem" which the proposed action will alleviate. As alternative actions are defined, these alternatives in turn have impacts on new groups, e.g. the dam which solves a water storage problem creates problems for some recreationists, such as whitewater enthusiasts. The "solution" to one group's problem may be "the problem" to another group. Also as you get closer to a final decision, the jockeying for power between interests will increase the likelihood of efforts to enlist the support of the unorganized public.

OBLIGATIONS TO THE GENERAL PUBLIC

Implicit in these conclusions is the acceptance that public involvement will not ordinarily be dealing with a "public" which corresponds with the broad general public. This is not to say that public involvement efforts will ever attempt to exclude the general public, but that realistically a consensus among those interests that see themselves affected will serve as a political consensus for the public at large.

But because of the danger of decision-making by small elites, every public involvement program does have certain obligations to the general public. These include:

1. Efforts must be made to inform the entire public of the consequences of proposed actions so that citizens can choose whether or not to participate on that issue.
2. Highly visible ways of participating must be available so that people know how to participate if they want to.
3. Representation within the more limited public must provide a cross-section of all interested publics, even if it is difficult to determine the relative weight which should be given to each viewpoint. This will require that you systematically identify the potential impacted publics to ensure that you are involving representatives from all major interests.
4. Equal access to information and decision-makers must be provided to all interests.

CHAPTER 6: TECHNIQUES FOR IDENTIFYING THE PUBLIC

At the beginning of each public involvement program a systematic effort should be made to identify those publics who are likely to see themselves as impacted by a decision. As indicated in the previous chapter, there are several reasons why this analysis is recommended:

1. To ensure the representativeness of the active minority that will participate in your public involvement program.
2. To establish credibility by informing potentially impacted publics, rather than by having them "discover" that they might be impacted.
3. To get potentially impacted publics involved early in the process while they can exert some influence, rather than late in the process when they are forced into a supporter/adversary relationship.

This chapter will describe the techniques which can be utilized in identifying those publics most likely to be involved in your public participation program. Be aware that the process utilized in your public involvement program should be documented, and will be described in your public involvement plan.

MAJOR APPROACHES IDENTIFYING THE PUBLIC

There are three major sources of information about publics which perceive themselves as potentially impacted by a decision. These are:

1. Self-identification
2. Staff identification
3. Third-party identification

Self-Identification: Self-identification simply means that individuals or groups step forward and indicate an interest in participating in the public involvement program. This self-identification is in response to news stories, brochures, newsletters, etc. put out by the agency. Well-publicized public meetings are also a way of generating self-identification. Anyone who participates by attending a meeting, writing a letter or phoning a hot line has clearly indicated an interest in being a participant in the program. Anyone who has expressed such an interest should be quickly placed on the mailing list and be continually informed of program activities.

Staff Identification: Another major source of information about possible participants is WPRS staff, the staff of other agencies, and readily available reference books. Along with self-identification, these are some of the quickest and most efficient methods of identifying participants. They include:

1. Intuitive/experiential information: Most agency staff that have worked in an area for some period of time can, if asked, immediately begin to identify individuals and groups that are likely to be involved in any new study. One of the richest sources of information for possible individuals or interests to be involved would be internal staff who have worked in the area for some period of time.
2. Lists of groups or individuals: There are numerous lists available which can assist in identifying the publics. Among these lists are included:
 - . Yellow Pages
 - . Chamber of Commerce Lists
 - . Newspaper lists
 - . City and County Directories
 - . Direct Mailing lists of groups of various types (these must be purchased)
 - . Lists maintained by Sociology and Political Science Departments.
3. Geographic Analysis: Just by looking at a map it is possible to identify publics who rely on water-related uses for agricultural, municipal and industrial water, recreation, power, etc.
4. Demographic Analysis: The U. S. Census Bureau maintains considerable information on demographics, e.g., age, earnings, race, etc. These may be useful in identifying publics that may not be self-identifying, such as minority groups.
5. Historical Analysis: In many cases there is considerable information in old files. This includes:
 - . Lists of previous participants in other public involvement programs in the area.

- . Correspondence files.
 - . Newspaper clippings regarding similar issues.
 - . Library files on past projects.
6. Consultation with other agencies: Since numerous agencies have held public involvement programs on issues that may be similar, it can often be useful to explore their files or consult with them concerning possible publics. Examples of this approach might include:
- . Consultation with U. S. Forest Service, U. S. Army Corps of Engineers, Bureau of Outdoor Recreation, State Fish and Game Department, etc.
 - . Examination of HUD 701 or EPA 208 participant lists.
 - . Consultation with local planning staff concerning participation in land use planning studies.
 - . Direct interviews with study managers of previous studies for other agencies who may be able to provide substantial information about the total political climate in which the study will be conducted.
7. User Survey: When an area is heavily used by recreationists there frequently are records kept, such as permits issued or some other form of registration at the recreation site, which can identify many of the user publics.

Third Party Identification: The third way to obtain information about other interests or individuals which should be included in the study is to ask an existing advisory committee, or representatives of known interests, who else should be involved. One variation on this theme is to enclose a response form in any mailings inviting people to suggest other groups that should be included.

These relatively informal techniques can be augmented, if needed by the more formal version of third-party identification used by sociologists attempting to identify leadership within the community. The sociologist's technique applied to WPRS decisions would utilize the following steps:

1. Develop a list of readily identifiable leadership within the community based on available published literature, newspaper stories, or discussions with other state and federal officials involved in water resources planning and management.
2. Conduct a series of interviews with these identified influentials. During these interviews ask them to identify which individuals they think would be most influential in making decisions. As an example, in the Susquehanna Communication-Participation Study, a study conducted for the Army Corps of Engineers' Institute of Water Resources, the question asked of each interviewee was: "Suppose a major problem in water resources development was before the community, one that required a decision by a group of leaders who nearly everyone would accept. Which people would you choose to make up this group, regardless of whether or not you knew them personally? Why would you choose them?"
3. After several interviews have been conducted it is usually possible to begin to develop a list of names which are frequently mentioned, and it is then possible in subsequent interviews to use the list either as a score sheet for the interviewer or actually have the person being interviewed review the names on the list, indicating those which he thinks are influential and adding additional names if desired.
4. Interviews are continued then with all of those people identified on the list of influentials. In effect, this technique is a "snow ball" approach in which you ask visible leaders who they consider to be influential, then interview the people they've identified to ask who they consider to be influential, etc.

Clearly such a technique can reach a point of diminishing returns and several studies have indicated that, beyond a certain point, the frequently mentioned individuals on the list did not change regardless of the number of interviews conducted.

Another technique used by sociologists is to identify leadership based on who participated in similar decisions in the past. The steps to follow in this kind of technique are:

1. Develop a list of prior decisions affecting similar issues within the community.
2. Develop a list of visible leaders who are likely to have participated in some of these decisions.

3. Conduct a series of interviews with these influential people and ask them to identify in which of the past decisions they did or did not participate.
4. For all of these decisions in which they did participate, ask them to indicate who else participated in the decision making.
5. When a name has been mentioned by several individuals, then conduct an interview with this individual and continue as needed using the "snow ball" approach.

IDENTIFYING PUBLICS AT EACH STAGE OF DECISION MAKING

Experience suggests that the same publics are not necessarily involved in each stage of decision-making. Some stages of decision-making require public review from the broadest range of public attainable. Other stages require a degree of continuity and an understanding of the technical data base which tends to limit participation to a "leadership" group. By "leadership" we mean those individuals who are perceived by others as having knowledge in the field. Typically they will be in the leadership roles with governmental, environmental, business, or civic groups.

In designing your public involvement program you will want to take into account the different levels of "publics" which may be involved at different stages of decision-making. For convenience these publics can be grouped into five basic levels:

1. Staff of other federal, state, and local governmental agencies,
2. Elected officials at all levels of government,
3. Highly visible leaders of organized groups or identifiable interests, e.g., leaders of Sierra Club, Chamber of Commerce,
4. Membership of organized groups or identifiable interests, e.g., members of Audubon Society, farmers, or recreation home owners,
5. "General public," not identified with organized groups.

During the early stages of decision-making, or during highly technical stages, it is probable that only levels 1 and 3 will be actively involved, although efforts should be made to keep levels 2, 4, and 5 informed of all activities so they can choose to participate if they wish. Some public involvement programs may be of sufficiently low interest that only agency staff and interest group leaders will ever

actively participate. Other programs are sufficiently controversial that all five levels may be involved at some point in the process. If there is a time for involvement of all five levels it is during the Evaluation of Alternatives stage of decision-making. This is the stage at which maximum information is available, but no commitment has been made to a preferred alternative.

Some of the criteria which you may want to consider for which level of public is most likely to be interested at specific stages of decision-making are:

1. Which publics are capable of providing you with the information you need at this decision-making stage?

If the information you need is general values reactions, then you may want to aim for the broadest range of publics. If the information you need is relatively specific or technical, then you may wish to seek out a leadership group.

2. Which publics will be able to understand the information you will be providing at this decision-making stage?

If you are expecting the public to absorb highly detailed and complex information, then you may need to aim at leadership publics. If you have organized the materials into a "digestible" form, then you may be able to draw on the participation of a more general public.

3. How much time will be involved in participating?

Typically only the "leadership" publics are able to make any extensive time commitment.

4. How much continuity is required?

If the participation at this decision-making stage requires some form of continuing participation, e.g., attending a series of meetings, then participation is typically limited to leadership publics.

5. Whose participation is required either for "visibility" or "political" acceptability?

A final "test" that you have identified the public appropriate to your study is that you have all the publics involved for the public involvement effort to be perceived as politically credible to all interests and viewpoints.

The purpose of identifying the levels of public likely to be active at the different decision-making stages is not to be exclusionary, but to provide a context for selecting public involvement techniques. If it can be reasonably expected that only agency staff and interest group leaders will actively participate at a particular stage, then it would be appropriate to utilize techniques such as interviews, workshops, or advisory committees as public involvement techniques. If you want values reactions to alternatives from all five levels, then it is more appropriate to use public meetings coupled with extensive publicity and public information efforts.

Developing a credible public involvement program is always a balancing act between working efficiently with the public yet providing the visibility necessary to maintain the political acceptability of the public involvement effort. To ensure that you do not develop a program which loses this visibility there are two guidelines to follow:

1. Public information should be provided to all levels of publics throughout the public involvement process, so that individuals and groups can make choices when they want to participate.
2. Products, such as a set of alternatives, which have been developed by a limited public, such as an Advisory Committee, should be offered for review to a broader public.

REFERENCE:

A major reference in the field of identifying the publics is:

Willeke, Gene E., Identification of Publics in Water Resources Planning, OWRR Project B-095-GA, Georgia Institute of Technology, Atlanta, Georgia 30332, September, 1974.

CHAPTER 7: DESIGNING A PUBLIC INVOLVEMENT PROGRAM

Public involvement programs are usually not a single event, such as one public hearing, but rather a series of coordinated activities which provide different kinds of participation opportunities at different stages of a decision-making process. As the cases in Chapter 8 illustrate, there are many different possible kinds of public involvement programs. In one of the cases the program consists largely of a series of meetings by a task force, with the Task Force's findings reviewed periodically in public meetings. In another the public involvement program consisted of a series of coffee klatches in people's homes. Another involved heavy use of television and radio, as well as newspaper inserts, with responses submitted in written form. Still another frequent kind of public involvement program is a series of public meetings scheduled periodically to coincide with key stages in a decision-making process.

The key point is that there is no single public involvement program that can be prescribed for all circumstances. A program that has been very successful in one situation may be ineffective in another. This chapter will provide guidance to assist you in identifying a public involvement program suitable to your circumstances. This guidance will include both general principles and a "thought process" which will help you approach the design of public involvement programs in a logical manner. It should be remembered, however, that there are a number of conditions surrounding each decision which can also influence the selection of techniques. Many of these conditions are described in Chapter 8, which should be read as a companion to this chapter. The conditions described in Chapter 8 do not negate the thought process, but are in addition to it.

GENERAL PRINCIPLES

Practical experience with public involvement has led to four general observations about public involvement programs:

1. Different publics will be involved at different stages of the decision-making process. A public involvement program-- unless it lasts only a very short time--is not a simple linear thing. Rather the publics involved will expand and contract as you move through the decision-making process. During more technical phases, participation is likely to be limited to leaders of groups or staffs of agencies. In those phases where alternatives are being reviewed, a much broader, more general public will be involved.
2. There are appropriate levels of involvement at each step in the decision-making process. It is possible to attempt "too much" public involvement at a particular step in the decision-making process. In particular, many agencies

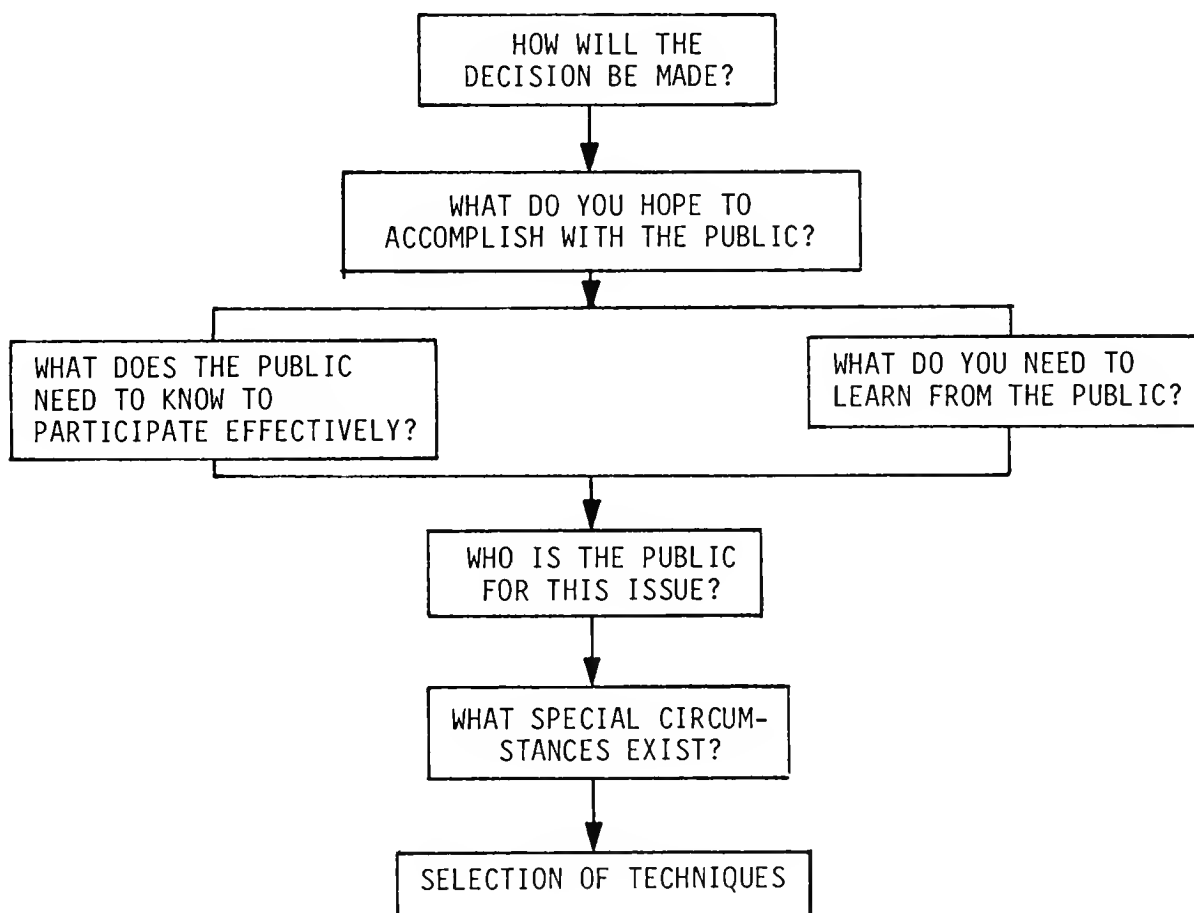
have "burned out" public enthusiasm by creating a very high level of interest at the very beginning of the process--where there is relatively little in which the general public can really get involved--disappointing people who might have made an important contribution in later stages of decision-making. But once they had participated, with little of substance for them to do they were turned off to the entire process. While this applies to the general public, opportunities for early participation should certainly be offered to other local, state, and federal agencies, identifiable interest groups, or directly affected publics. The thought process will assist you in identifying the most appropriate stages for more intense involvement of the general public.

3. The participation of the public will increase as the decision-making process progresses. While participation waxes and wanes, the overall pattern in public involvement is that more and more people will participate as you come nearer to a decision. This is a relatively understandable phenomenon: The closer you get to a decision, the more information there is for people to react to. While representatives of organized groups may be able to participate in the early stages of public involvement, the less organized publics will be able to participate more effectively in the later stages of the process. This can be a mixed blessing. While you may feel delighted to receive more participation, you will also spend a lot of time explaining what has already taken place. People seem to assume that the program started the day they first began to participate, and feel a need to re-examine all the assumptions you've been working to build for many months. As a result it is very important to document all stages of the public involvement, so that it is clear what decisions have preceded and who participated in making those decisions.
4. Public involvement programs must be integrated with the decision-making process. Each step of a public involvement program must be scheduled with an eye to what information is required from the public at each decision-making stage. Too often public involvement activities are scheduled "ad hoc," without any awareness of how it fits in the overall scheme of things. The result is that the information received from the public is out of sequence with the decision-making process. Either the information is too late, and either can't be used any longer, or would require major re-study, or the public involvement is too early and asks for participation before there is

really much for the public to "sink their teeth into." In either event there is frustration and damage to the credibility of the public involvement effort. As the thought process below will illustrate, public involvement activities should be designed as an integrated part of the decision-making process itself.

THE THOUGHT PROCESS

Public involvement techniques should not be selected on a whim, but as the result of a careful analysis of exactly what it is you wish to accomplish, with whom, when, and only then, how. In the simplest terms, this analysis must answer the questions shown in the diagram below:



Answering each of these questions contributes information you need to know, as shown below:

QUESTION

INFORMATION USEFUL FOR TECHNIQUES SELECTION

How will the decision be made?

You will need to know the decision-making process which will be used, including:

- a) Stages in the process
- b) Duration in the process
- c) Legal or management limitations on resources or alternatives

What do you hope to accomplish?

Then you can develop public involvement objectives for each stage of the decision-making process. At one stage you may simply want to know the public's ideas for alternatives, at another their preferences among the alternatives, at another a specific plan upon which the public could agree.

What does the public need to know to participate? (and simultaneously) What do you need to learn from the public?

At this stage you produce an "Information Exchange," a detailed outline of the information you need to get to the public, and the information you need to get from the public to accomplish the objectives outlined in the last step.

Who is the public for this issue?

Now you use your "Information Exchange" to identify the publics involved in the issue. If you need certain kinds of technical information, that defines a certain range of publics (like agencies, interest group leadership) from whom that information is available. If you need a consensus on a single plan, then you have to define which publics are necessary for a consensus.

What special circumstances exist?

Unique conditions surrounding this issue may influence your selection of techniques. These might include past history of the issue, level of controversy, credibility of the agency, degree of consensus within the community, etc.

The language in the right-hand column can be summarized into the following six steps which must be completed to develop an adequate public involvement program:

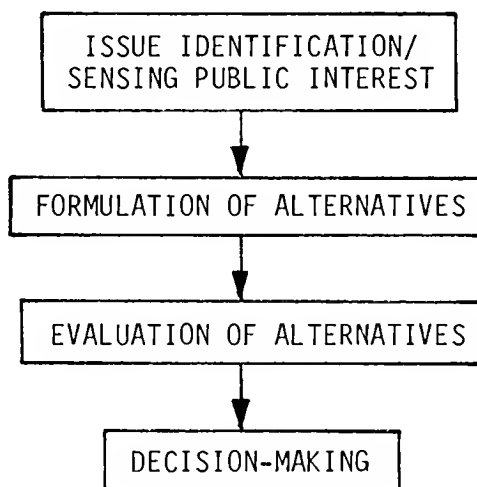
1. Identify the decision-making process.
2. Identify the public involvement objectives for each stage in the decision-making process.

3. Identify the Information Exchange which must take place with the public to complete each step in the decision-making process.
4. Identify the publics with whom this information must be exchanged.
5. Identify the unique conditions surrounding the issue and the public you will be working with that could affect selection of public involvement techniques.
6. Identify the techniques--and sequence of use of these techniques--to accomplish the required exchange of information with the appropriate publics.

STEP 1: IDENTIFY THE DECISION-MAKING PROCESS

To ensure that public involvement is integrated into the decision-making process it is necessary to identify the discrete steps or signposts along the way in decision-making. The reason you are doing this is so you will be able to answer the question: "By what point in the decision-making will I require which information?" Without a defined decision-making process you will just get a hodge-podge of information, some of it too early, some of it too late, which will lead to ineffective decision-making.

In some functional areas, such as planning, the decision-making process has been very carefully defined. In others it is much more informal. For those areas in which there is no defined decision-making process, Water and Power Instructions indicate the following basic stages:



- a. Issue Identification/Sensing Public Interest: The first step is to clearly understand the problem and the issues which surround it. Decision-making theorists stress that this is frequently the most important step in decision-making. How you define a problem limits the range of solutions you will consider. For example, if a problem is defined as "lack of an adequate water storage facility" the range of alternatives considered will be much narrower than if the problem is defined as "insufficient water to meet projected levels of demand." The second definition of the problem would encompass alternatives other than water storage, and might even lead to an examination of the factors that cause the demand to see if they can be influenced in some manner.

Different groups will also have very different perceptions of the problems. A group of lakeshore residents will define a problem as the need to "maintain a predictable water line" while downstream farmers will define it as "having water available when needed for crops." It is even possible for a proposed solution to one group's problem to be the definition of the problem for another group. A dam might be the solution to a group with a water supply problem, but that same dam--which is supposedly a solution--is a problem to the rafter or white water boater.

This initial stage is also a time to "sense"--through some initial public involvement activities--what the issues will be during subsequent stages, how strongly the different publics feel about the issues, which publics see themselves impacted by the problem or possible solutions, what kinds of public involvement are desirable or acceptable, etc. This "sensing" is necessary to have the information needed at the end of this stage in order to develop a Public Involvement Plan, as required by Water and Power Instructions. During this first stage you acquire the information needed to determine how extensive a public involvement program will be required, which publics are likely to participate, and which techniques are most suitable to reach these publics.

- b. Formulation of Alternatives: It is essential at this stage to generate alternative solutions to the problem capturing the full range of interests and philosophies held by the various publics. This may include alternatives that at first glance do not appear to have economic or technical feasibility. By ruling out some alternatives at this stage you are already communicating more acceptance for some groups, ideas, values or political

philosophies than others. In addition economic feasibility is always a function of how much you want something. This can be seen in everyday life: A luxury car might not be economically feasible to one person, while quite feasible to another person with the same income who is willing to commit a much higher percentage of income to the purchase of a prestige car. So it is important to consider all alternatives at this stage, leaving to subsequent stages of evaluation the problem of feasibility and acceptability.

Formulation of alternatives is also a consultative process with interested individuals, groups or agencies. Often the greatest sources of assistance during this stage will come from other federal, state, or local agencies. Ideas coming from the general public often do not come in the form of technically accurate or detailed alternatives. As a result agency personnel will need to utilize their technical skills to translate fragments or incomplete ideas from the general public into alternatives that are at least potentially technically feasible.

- c. Evaluation of Alternatives: During this stage an evaluation is made of the relative feasibility and acceptability of the various alternative ways of solving the problem. Depending on the complexity of the decision being made, this stage may have two distinguishable tasks.

The first task is to accurately and objectively assess the technical and economic feasibility of the project and describe the social, economic, and environmental impacts that would result from each alternative. If done properly, these impacts should be described in such a way that the impacts are not described to be either good or bad, they are simply technically verifiable. Increased property values have very different meanings to a real estate broker and a senior citizen living on a fixed income. A contract rate of \$25 per acre ft. is neither good nor bad till you know the cost of the alternatives and the economic value of the activities which might result from its use. It is often helpful if the impacts to be analyzed regarding each alternative are discussed, or even agreed upon, with the interested publics. This avoids the possibility that the agency will be seen as biasing the subsequent comparison of alternatives by the analysis factors utilized.

The second task is to compare the alternatives making a judgment as to the relative acceptability of the alternatives. This is the point at which each individual's

definition of what is good or bad, should or should not occur, etc., is applied to the alternatives. Each individual, group, or agency will have its own "yardsticks" by which it will measure the various alternatives.

The Evaluation of Alternatives stage is the most important stage for public involvement. As you near the end of this stage, the maximum amount of information about the alternatives is now available to the public, yet no decision has been made. As a result, the maximum public interest is generated at this stage. It should be stressed that agency personnel are to remain in a position of non-advocacy during this stage.

This evaluation may result in some reiteration of earlier steps. It may result in a re-definition of the problem, starting the whole process from the top again. Or the evaluation may result in a need to develop additional alternatives, or re-analyze the alternatives in a different way.

- d. Decision-Making: The actual process of arriving at a decision varies widely from situation to situation. In some cases it is possible to make a simple, prompt internal decision. In others it may require continued discussions and negotiations with those individuals, groups or agencies most critically affected. It may even be necessary to hold private meetings with groups to determine points of potential compromise. But whenever this occurs there remains a responsibility to provide the same information and equal access to all publics.

The other obligation to the public at this stage is to document what the decision is, what factors were important in making the decisions, why other factors were not considered to be so important, how public comment was used. To ensure that this documentation takes place, a Summary Report is required at the end of each decision requiring a public involvement program. This Summary Report may vary in length and formality from a letter to a formal report. Planning reports or environmental impact statements satisfy the requirement for a Summary Report provided they are issued in a timely manner and contain all the information indicated in Water and Power Instructions regarding Summary Reports.

STEP 2: IDENTIFY THE PUBLIC INVOLVEMENT OBJECTIVES FOR EACH STAGE IN THE DECISION-MAKING PROCESS.

The next step in the public involvement "Thought Process" is to clearly define exactly where you want to be--your objectives--at the end of each

stage in the decision-making process. This is done by writing a set of public involvement objectives for each stage. These objectives may vary from situation to situation, but some examples are provided below of objectives that may be appropriate at each stage:

STAGE	POSSIBLE P. I. OBJECTIVES
Issue Identification/ Sensing Public Interest	Obtain a complete understanding of how the problem(s) is viewed by all significant interests Identify the level of interest in future public involvement activities surrounding this issue.
Formulation of Alternatives	Develop a complete "shopping list" of all possible alternative actions.
Evaluation of Alternatives	Develop a complete understanding of the impacts of the various alternatives, as viewed by the public. Develop an assessment of the relative merit assigned to the alternatives by various interests, including their reasons for these evaluations.
Decision-making	Make a decision which is both technically feasible and politically acceptable.

STEP 3: IDENTIFY THE INFORMATION EXCHANGE WHICH MUST TAKE PLACE WITH THE PUBLIC TO COMPLETE EACH STEP IN THE DECISION-MAKING PROCESS.

In the last step you defined where you wanted to be at the end of each step in the decision-making process. In this step you will need to define what information you will need from the public in order to get there. But since the public can't operate in a vacuum, you will also need to define what information the public needs first, before it can give you the information you need. In other words, an exchange of information must take place. There is certain information you must get to the public, and certain information you must get from the public. The exact nature of this information will vary from circumstance to circumstance, but if you have done an adequate task of defining your public involvement objectives for each decision-making stage, you should then be able to state both the "information to" and "information from" required for each step.

An example of the kind of analysis which is needed follows.

DEVELOPING THE INFORMATION EXCHANGE

STAGE	P.I. OBJECTIVES	INFORMATION EXCHANGE	
		Information <u>to</u> Public	Information <u>from</u> Public
1. Issue Identification/ Sensing Public Interest	Obtain a complete understanding of how the problem is viewed by all significant interests. Identify the level of interest in future public involvement activities surrounding this issue.	<ul style="list-style-type: none"> - The nature of the study or decision-making process. - What the agency knows about the problem. - Opportunities for participation. - The kinds of public involvement activities possible. - The issues which are likely to arise. 	<ul style="list-style-type: none"> - How different groups see the problem. - How the problem impacts. - The intensity of the impacts. - The publics that are interested or affected by the problem. - Which publics want to participate. - How intensely the groups want to participate. - Which techniques are most acceptable or suitable.
2. Formulation of Alternatives	Develop a complete shopping list of all alternatives.	<ul style="list-style-type: none"> - A summary of the problem as defined in Step 1. - The range of alternatives known to the agency. - Factors usually evaluated in the analysis stage. 	<ul style="list-style-type: none"> - Additional alternatives known to the public. - Additional factors which the public believes should be included in the analysis.
3. Evaluation of Alternatives	Develop a complete understanding of the impacts of the various alternatives, as viewed by the public. Develop an assessment of the relative merit assigned to the alternatives by various interests including their reasons for their evaluations.	<ul style="list-style-type: none"> - The factors used to analyze the alternatives. - The methodology used to analyze the alternatives - The technical feasibility of each alternative. - The environmental, economic, and social impact of each alternative. - A summary of the analysis of alternatives. - A description of the evaluation and decision-making process. 	<ul style="list-style-type: none"> - Additional impacts of the alternatives. - Additional factors that need to be analyzed. - Suggested methodology for evaluation. - Things various publics like and dislike about the alternatives. - Relative ranking of alternatives by various groups. - Revisions to alternatives that can make them more acceptable.
4. Decision Making	Make a decision which is both technically feasible and politically acceptable.	<ul style="list-style-type: none"> - Tentatively, agency's preferred alternative. - Reasons for the choice-- factors used in the decisions. - Process for reviewing the decision. - Final decision - Reasons for decision. 	<ul style="list-style-type: none"> - Reactions to the choice. - Modifications that could make the decision more acceptable.

The preceding figure is naturally quite generalized since it attempts to apply to a number of circumstances. When you work on your Information Exchange, you will need to be more specific. Instead of wanting to know "impacts" generally, you will want to know specific impacts like subsidence, loss of recreation, etc. in very specific areas. The reason that these need to be more specific is that they serve as a guide in the next step to identifying which publics you need to get information from.

STEP 4: IDENTIFY THE PUBLICS WITH WHOM THE INFORMATION MUST BE EXCHANGED.

As indicated in the early part of this chapter, you will not be dealing with the same publics at each step of the decision-making process. During relatively technical or early stages you may be dealing primarily with a leadership group--governmental staff, leaders of interest groups, etc.--because they alone have sufficient background to understand the technical content. But if you are dealing with the issues of how things "should" be, then a much larger public has to be dealt with. For example, if the information you need from the public is "local Planning and Zoning Ordinances" you are going to be dealing with a very small group of governmental officials. But if the information you need is "Attitudes Towards Growth" you are going to be dealing with broad public attitudes requiring a general cross-section of the public.

The purpose of Step 4 is to go through an analysis of publics so that you can select the public involvement techniques most suitable to reach those publics. If you needed to get information about zoning laws you would not, for example, hold public meetings or put an insert in the newspaper. In much the same way, if you wanted community attitudes towards growth you would probably not hold individual interviews. The technique used has to be appropriate to the publics you need to reach. So for each piece of information in the "Information from Public" column, you will need to analyze from which public this information can be obtained.

For example, in the Information Exchange outlined above, some of the information might be obtained primarily from other agencies or leadership of groups, while other information would be gathered primarily from the broad general public. Examples of these possible categories are shown below:

INFORMATION FROM AGENCIES, GROUP LEADERSHIP, KEY INDIVIDUALS

- . Detailed alternatives
- . Factors used in analysis
- . Methodology of analysis
- . Specific impacts of the alternatives
- . Modifications that could make the decision more acceptable.

INFORMATION FROM GENERAL PUBLIC

- . Which publics are interested or affected by the problem.
- . Broad general impacts of the alternatives.
- . Comparative acceptability of the alternatives.
- . Reactions to a tentative decision.

Remember that the purposes in identifying the "target" publics is to help in selecting techniques, not to be exclusionary of any interests. Even if you choose techniques aimed at more limited publics, provision must always be made for self-identified groups to participate if they wish.

Note: Additional information on techniques for identifying publics is provided in Chapter 6.

STEP 5: IDENTIFY THE UNIQUE CONDITIONS SURROUNDING THE ISSUE AND THE PUBLIC YOU WILL BE WORKING WITH THAT COULD AFFECT SELECTION OF PUBLIC INVOLVEMENT TECHNIQUES

Some issues are immediately controversial, others are not. Some already have a history in the community, some do not. In some cases, the interested public is spread over hundreds of miles; in others, it is in a compact geographical area. Some issues have generated considerable interest of state and national groups; others are purely local. All of these special conditions can affect which public involvement techniques you will want to use. A discussion of many of the most important conditions which can affect selection of techniques is shown below:

MANAGEMENT ISSUES

Management Support

While providing opportunities for public involvement is official WPRS's policy, it would be a naive strategist who did not recognize that there are differences in the level of support for public involvement within management. Management resistance can take the form of an overall feeling that "public involvement is a waste of time and money," a resistance to considering alternative plans, avoidance of controversy at all costs, and perpetuation of stereotypes about groups--particularly those which have opposed the agency in the past.

Obviously, working out a program under these conditions rests a lot on the relationship you have with management. On the one hand, there are clear minimum standards in the Water and Power Instructions. On the other hand, if you announce an ambitious program based on the nature of the issue, then are not able to carry it out satisfactorily due to a lack of management support, that also undermines the credibility of public involvement.

It is likely that without management support you will have to implement the minimum program acceptable to Water and Power Instructions, utilizing conventional acceptable techniques such as public hearings or meetings, even though the program may be more limited than dictated by the level of interest in the issue.

Commitment to a Single Alternative

One problem that can arise is to discover that your management is already committed to one alternative, even though your public involvement program should be designed to consider all alternatives. This circumstance is not always created by a management attitude either. Sometimes the situation is such that the decision is to either do or not do a specific thing, and there aren't any options.

The first question that you need to ask yourself in this circumstance is whether or not you should be doing public involvement. If management is already locked into a single plan, this will get communicated to the public, either directly or indirectly, discrediting the public involvement effort and making it more difficult to get participation when public participation is genuinely desired.

If you determine that public involvement is necessary or justified, then you should probably consider a minimum program. In effect, don't discredit public involvement for when you really want it, and if you must--discredit it as little as possible.

If you are in a situation where it appears that there is only a go/no go decision to make, then the problem is not that there shouldn't be public involvement, but to accept that the public involvement has little chance for conflict resolution. Frequently this kind of public involvement reduces itself to what has been facetiously called a "decibels game" in which the agency takes the position that it is going to proceed with the action unless the protests exceed a certain number of decibels.

If you are in this kind of situation, and you know there is substantial conflict on the issue, the first thrust of your public involvement should be an attempt to expand the number of alternatives. Not infrequently a conscientious exploration of options opens up new alternatives that provide a potential for resolution. Most frequently this is accomplished by defining the issue more broadly than originally defined.

If you are unable to discover new alternatives, be candid with the public about the fact that there are only go/no go options. The idea is to be sure not to raise unreasonable expectations for the public involvement effort. More formalized techniques such as public hearings may be appropriate in these circumstances so that everybody is heard, and these comments become a part of the record considered by management, but no expectation of conflict resolution is created. In addition, you need a good public information program to describe the options to the public, and a particularly good program to communicate your reasons for the decision itself.

Limited Resources

Not infrequently you will find yourself in a situation where you do not have adequate staff or budget to conduct a program suitable to a particular issue. Sometimes--but by no means always--this is due to a lack of support from management. In that case, the comments made earlier in the chapter apply. But other times such problems are created by staff ceilings, programmatic distribution of budgets, and other limitations which are not within management control. If minimal resources are available, one important thing to remember is that the time in the decision-making process when public involvement is the highest priority is after alternatives have been identified, but before the agency is committed to any one of the alternatives. Obviously, there is some risk that if you wait to this point before offering public involvement opportunities, some groups or individuals may not believe you have fairly portrayed the range of alternatives. If you anticipate this reaction from a few groups, a single meeting with them early in the process may be sufficient to identify these concerns and incorporate them in the development of alternatives. But most publics actually prefer to participate after alternatives have been identified, although they are justifiably upset if the agency is already committed to one of the alternatives.

The other alternative is to employ the multiplier effect of having the various interest groups solicit their own membership for reaction. They may be able to do this through their own meetings or newsletters. In a few cases, a contract has been granted to the League of Women Voters, or some other "neutral" civic group, to assist in setting up meetings, etc. Because there is less overhead involved, even if they receive the same hourly rate as a federal employee (which is often not the case), the total cost is reduced.

If the problem is employee ceilings, not budget, then it may be possible to contract for consultant assistance. If you plan to do this, contact your procurement people early. Depending on the circumstances, procurement procedures can be extremely cumbersome. Regrettably, there are times when completion of all the procurement requirements consumes at least as much time as the consultant could save you. If you do retain a consultant, be certain that the consultant has had actual experience running public involvement programs, not just writing academic papers about it. Also, do not hesitate to ask for names and phone numbers of people to contact for whom the consultant has conducted public involvement programs. No reputable consultant will object.

CHARACTERISTICS OF THE ISSUE

Duration of Decision-Making Process

One of the obvious issues in designing a public involvement program is how long the decision-making process will last. If the process lasts

several years--as it often does in planning studies--you may need to use additional techniques that are not necessary in a shorter program. With a shorter process, you can use your media coverage, stimulate interest, utilize techniques such as meetings or workshops, and announce a decision. The job in planning for a short program is to have it well enough planned so that all the techniques you may be using come together in the right sequence and timing.

With a longer study, there are two problems: 1) keeping people's interest throughout the duration of the study, and 2) keeping visibility for the process during periods of time when little is going on but internal technical studies. It is very hard for people to stay interested in an issue for several years. An ideal time-frame, from the public's point of view, would be that no decision would require more than six months to make (and preferably three months). This is about the limit of sustained interest. Also, if the study goes on almost entirely internally, then reappears, it may have lost considerable credibility because it was not visible. This means that you may need to employ techniques such as newsletters to keep people informed, or you may find an advisory committee can provide a continuity throughout the study, or you may want to put together a slide show for civic groups to inform them of the study during the period when you are not really ready to ask them for their response. Also, if there has been a long period during which you have been out of communication, it is probably wise to put together an interim report summarizing the work you have been doing.

Technical Complexity

Some issues are relatively easy for the public to understand, while others are extremely complex and difficult for the general public. If you are working on a technically complex study, you may want to consider establishment of an advisory committee that will take the time to understand the issues. In effect, the advisory committee serves as a kind of surrogate to digest the technical information and report its observations to the general public. Our experience suggests, however, that establishment of an advisory committee does not constitute a complete public involvement program, and the general public will still want some opportunity to participate.

The other implication of a technically complex program is that a public information program is needed at the front end of the public involvement effort. Information bulletins, feature stories, and other information techniques can be used to translate the issues into language the public can understand. It should be noted that translating things into the public's language is a skill, and it should not be assumed that such expertise is readily available in technical teams. Your Public Information Officer can provide assistance in writing, editing, or locating a writer for documents that will go out to the public.

Existing Level of Interest

Clearly, one of the most important influences on program design will be

the amount of interest in the issue. Usually, of course, the amount of interest is directly related to the amount of controversy. One of the obvious impacts resulting from a high level of interest is the sheer numbers of people who will be involved. This has implications for meeting design--you have to use meeting formats appropriate for hundreds of people, not just a few--but also on the size of the mailing list, the storage of public comment, the budget for publications, etc. Several WPRS public involvement programs have been large enough that public comment had to be stored in a computer, using sophisticated content analysis techniques. Simply maintaining the mailing lists for newsletters can become a major logistic problem when thousands are involved, even though these are precisely the kinds of issues which may justify use of such techniques.

Since a high level of interest is usually associated with controversy, you may also want to emphasize techniques which reduce speechmaking and encourage person-to-person discussion. A series of workshops, for example, is far more likely to lead to conflict resolution than a large public hearing. There are cost implications, however, since you will need to put on a number of workshops to accommodate the same number of people who could attend one hearing. It is also extremely important to build personal communication links to the leadership of interest groups, including those who may oppose WPRS's position. On controversial issues, leaders often are forced by their constituencies to take more extreme positions than they might take in private, and without personal communication links, it can appear that there is no opportunity for resolution, even when the positions are not as far apart as they seem.

Scope of Publics Interested

While a high level of interest is usually associated with public controversy, it is also possible for an issue to be of great interest among agencies or leaders of interest groups, but have no interest with the general public at all. There is no point in scheduling and publicizing a giant "whiz-bang" public involvement effort when the only people interested could get around a conference table and are all in the employ of a government agency or organized groups. The amount of heat generated between agencies can mislead you into thinking there is a high level of public interest. Sometimes the only way you can find out for sure what interest exists is to hold a public involvement event and judge from the number and kind of participants. Other times a little up-front analysis will allow you to recognize that there is no great public interest. If you are dealing only with a limited public, then smaller informal techniques such as interviews, task forces, coffee klatches, or other small group meetings may be used.

Significance of Issue to Groups

Another characteristic of the public interested in your issue is the significance of the issue to each group. One group may support/oppose a

particular action, but the issue is not an essential part of their program. To another group, a particular issue may be life or death. This is obviously important in assessing the potential for conflict resolution. Simply put: If someone can't afford to lose--politically, economically, whatever--they will have to fight to the bitter end, no matter what kind of public involvement program you design. Single issue groups--such as the "Stop the Dam" group--are more likely to be in this position, since their whole organizational identity is tied up in the one issue. If a decision is made counter to their interests, there is little likelihood that they will accept it. A multi-issue group, however, may or may not accept the decision, depending on how significant that issue is to them. If groups are in this "must win" position, it is important to provide them ample opportunity to express their concerns. But it is necessary to understand that no matter what kind of public involvement program you provide, they may still have to fight on if the decision goes against them.

CHARACTERISTICS OF THE PUBLIC

Informed Public/Uninformed Public

Whether or not the public is well informed or poorly informed about the issue can also have an influence on your public involvement strategy. The conditions under which the public is likely to be well informed would be when an issue has been of great public concern for some time. The public may have, as a result, become increasingly well informed about the issue. If the public is truly well informed, this may reduce the need for a sizable information program. The problem, of course, is that they may have been exposed to a great deal of information, but still not be accurately informed. One problem which sometimes occurs when an issue has been a source of controversy for some time is that the general public may throw up their hands and say, in effect, "a plague on both your houses." The result is a kind of apathy which is particularly difficult to dispel.

One thing that should be remembered is that people's belief of "facts" depends on the credibility of the source. If you are in a polarized situation, people will tend to accept as credible only those sources who are known to already support their position. Environmentalists will not believe people who support water development, etc. Issuing press releases to the general press is unlikely to convince anyone. Again, this is a time when personal contacts in all the "camps" are essential. If you are able to communicate on a personal basis with people with each interest, they can communicate to others within their interest. They will be believable, while you will not. You may also be able to communicate through the media which each interest has developed; e.g., if you want to communicate information to cattlemen, do it through the

cattlemen's magazine. Maintaining links with all these interest groups requires that you be completely open and honest with them, making all documents available that are necessary to justify the "facts" you are presenting to them.

Hostile/Apathetic

Obviously, it affects your public involvement program if the public is hostile or apathetic. These qualities may be associated with a particular issue, or they may be a more generalized stance of the community towards government actions.

If the community is hostile, then opportunities must be provided for the community to express its hostility and anger. Little creative can happen as long as there is a continuing state of unexpressed hostility. Any chance that the feelings could change rests on their being expressed, "ventilated" if you will, no matter how unpleasant it is to be on the receiving end. This is one situation where less formal meeting techniques can offer help, since in smaller groups you are more a person to the public, and less a role. One possibility is to stage a relatively large meeting, where everybody lets off steam, followed by a series of smaller meetings which attempt to begin movement towards some kind of common ground.

If the public is apathetic, then your approach will be to develop a public information program which will inform so that people can make a decision whether or not to participate. The right to choose not to participate is as fundamental to a democracy as the right to have an opportunity to participate. What is dangerous is uninformed apathy. Not only is decision-making left to the few, but the chances increase of a demagogue rousing the public, based on gross misinformation. So long as the public has been informed, however, it has the right to choose not to participate. What is important, though, is that the public information program present the information in ways that make it relevant to the public, explaining how the issue truly affects them. Often issues are presented in such a bureaucratic abstract manner that the public is unable to understand the implications in their own lives.

Divided Public/Unified Public

Another characteristic of your public is whether or not they are a divided public or a unified public. There are two major advantages to working with a unified public: 1) It is clear what the public wants; 2) You are usually able to deal with local elected officials as the representatives of the public. When the public is divided, then local elected officials may be associated with one "side" or the other, and therefore viewed as "unrepresentative" by the other side. In today's political scene, a strong well-organized minority willing to pay the price of continuous effort can often influence the outcome.

In many cases, the divisions within the community are not simply over one issue, but a number. It is unusual, for example, for there to be strong environmental protest over one issue without other continuing environmental controversies in the community over land use planning, limits on growth, freeways, etc. In other words, your issue may simply be part of a battle for power which already divides the community. The danger of this is that the issue may quickly be cast in terms of these divisions. People may quickly suspect, for example, that a proposed action is pro-environmental or pro-development. Or leaders of these groups may use your issue to rally their forces, or attempt to appeal to a broader public beyond their normal constituency.

Obviously, a unified public is easier to work with. Bear in mind, though, that the public may be unified in opposition. In public involvement terms, this is still a success. You want to know the will of the people, and it is equally relevant to know whether it is supportive or in opposition to a proposed action.

Local Public/State or National Public

One additional problem is when your "public" is not just the local community, but includes state or national interests. This is particularly likely to occur on controversial issues that have been around for some time. One of the more frustrating situations is where you have a fairly unified position within the local community, while the controversy rages at a state or national level.

Since the taxes which support WPRS projects come from everyone in the country, these state and national publics have as much right to participate as do local people. As a result, it may be necessary for you to design mechanisms for communicating with these other publics. If a project is particularly controversial, for example, it may be necessary to hold public meetings in the state capitol, or to have briefings of national organizations in Washington, D. C. A regular newsletter distributed to all interested parties, including state and national publics, is another way to keep all publics informed.

Existing Political Institutions

As indicated earlier, if a community is divided, then all groups may not consider that elected officials adequately represent them. As a result, conflict resolution is unlikely working solely through elected officials. However, there are parts of the country where more extensive participation mechanisms have been set up, such as neighborhood councils. One early decision in public involvement strategy is whether or not there are existing political institutions that can be representative of all publics, or whether a direct approach to all interest groups is necessary.

Geographic Compactness

In an urban area, public involvement can consist of face-to-face participation in meetings, interviews, etc. In some rural situations, however, attendance at meetings might require driving several hundred miles. Under these conditions, it is desirable to think of different kinds of techniques which do not make participation such a commitment of time and effort. Participants might respond to written documents by mail or phone. Information might be distributed by newspaper insert, or via radio and television. By encouraging response by mail or phone, individuals are able to participate with minimum demands and time. It does not permit interaction between people, but when people are spread over a large area, it may be a choice between this kind of participation or none at all.

Credibility of the Agency

A public involvement program is influenced by the credibility the agency has with the local public. If the agency is not trusted, there is much more need to provide the public complete visibility at all stages. If there is a high level of trust, then you may need to provide participation only at key junctures. Credibility--or lack thereof--can also place limitations on the techniques you use. If you want to try out a creative new form of workshop, for example, it is far more likely to work where the public trusts the agency. If the agency is not credible, then the use of innovative techniques may simply be viewed as a devious effort by the agency to confuse the public, or some other negative thing.

Past History of Public Involvement

It is also helpful to know what the history of public involvement efforts has been in the community. If they have been successful, you will probably have a far easier time and be able to utilize more innovative techniques. If prior public involvement efforts--whether conducted by WPRS or another agency--have soured the public on public involvement, you may have an uphill battle. It's important to remember that your work on any single public involvement program helps create an environment for future public involvement as well. Even if the public involvement does not lead to complete conflict resolution, if the public involvement seems fair and open to the public it will help create an environment where conflict resolution may be possible next time.

Another consideration in evaluating the past history of public involvement in a community is to look at whether or not the community has a developed participation style. If the community is used to solving problems with certain kinds of meetings, or through advisory committees, etc., you will probably be wise to utilize the same style of participation because it will be perceived as legitimate and natural.

Maturity of Conflict

Some issues simply can't be resolved till the time is ripe. Usually the "time is ripe" occurs when both sides realize that nobody's getting what they want with continued conflict, and recognize that to get what they want, they will have to sit down and compromise. This is most likely to occur when conflicting parties realize that the power of the opposing side is nearly equal their own. Until then, one side or the other will keep fighting to prevail, because they still believe they can get their own way completely. Sometimes the only way this discovery comes--that the other groups' concerns must be considered--is when the various sides have warred with each other for a period of months or years. After they have fought each other to a standstill, they're ready to consider something else. If you are able to sense when people are about ready to sit down and work on an issue, rather than just scream at each other, the effectiveness of your program can be improved.

The chart below and on the next pages summarizes many of the suggestions above.

HOW VARIOUS FACTORS MAY AFFECT SELECTION OF PUBLIC INVOLVEMENT TECHNIQUES

LACK OF MANAGEMENT SUPPORT	May require a minimum program and use of traditional techniques such as public meetings or hearing.
SINGLE ALTERNATIVE	If controversial, look first for approaches to expand the range of alternatives. May preclude conflict resolution so may want to utilize techniques such as public meeting or hearing where everybody is heard, but not really a negotiating session.
LIMITED RESOURCES	Attempt to get multiplier effect by getting interest groups to involve their membership. Emphasize the period after alternatives have been identified but <u>before</u> plan selection.
DURATION OF PROGRAM	Prolonged decision-making processes may require use of techniques to maintain visibility over a prolonged period, e.g., newsletters or an advisory committee. Very short decision making time may eliminate techniques that require substantial preparation time.

TECHNICAL COMPLEXITY	May need an advisory group that can get thoroughly informed. Need for publications to simplify technical concepts. May work most closely with other agencies and interest groups rather than "man on the street."
HIGH LEVEL OF INTEREST	Need to offer a variety of involvement opportunities. Use techniques stressing conflict resolution rather than speech-making, e.g., workshops instead of hearings.
LOW LEVEL OF INTEREST	If interest very low, consider whether a public involvement program is needed. Early part of program includes public information program on how the issue could affect the public. Emphasis is on Evaluation of Alternatives Stage.
LIMITED SCOPE OF PUBLICS INTERESTED	Use of techniques aimed specifically at interested publics. Use interviews, workshops, advisory committees rather than public meetings or hearings.
BROAD SCOPE OF PUBLICS INTERESTED	Use of media to inform public. Use highly visible techniques such as meetings, workshops, newspaper inserts, etc.
HIGH LEVEL OF SIGNIFICANCE TO GROUPS	Emphasis on conflict resolution techniques such as small group discussions, workshops, advisory committee, conflict mediation, etc.
UNINFORMED PUBLIC	Requires public information program. Work with interest groups to get them to inform their membership.
HIGHLY INFORMED PUBLIC	Check whether or not they are accurately informed. Public information needs based on this appraisal.
HOSTILE PUBLIC	Create opportunities for verification. May need a series of meetings before things start being productive.
APATHETIC PUBLIC	Public information program so people can decide whether or not to participate.
UNIFIED PUBLIC	May be able to work through elected figures.

DIVIDED PUBLICS	Will have to deal with leadership of the various interests. Danger that this issue will get caught up in continuing community controversy.
STATE OR NATIONAL PUBLICS INTERESTED	May need to use newsletter or even briefings in state capitol or Washington, D.C. to keep all publics informed.
HIGHLY REPRESENTATIVE LOCAL POLITICAL INSTITUTIONS	Potential for dealing through local representatives.
COMPACT GEOGRAPHIC AREA	Potential for meetings, workshops, face-to-face discussions.
DISPERSED GEOGRAPHICAL AREA	May need to rely on newspaper inserts, mail-in or phone-in responses. Any meetings will have to be repeated in several geographic locations.
LOW CREDIBILITY OF AGENCY	Need to stay with "safe" traditional forms of participation.
PAST HISTORY OF PUBLIC INVOLVEMENT	If successful, either repeat past practices or consider innovative techniques. If unsuccessful, stay with "proven" techniques for that community.

STEP 6: IDENTIFY THE PUBLIC INVOLVEMENT TECHNIQUES--AND SEQUENCE OF USE OF THESE TECHNIQUES--TO ACCOMPLISH THE REQUIRED INFORMATION EXCHANGE WITH THE APPROPRIATE PUBLICS.

All of the analysis above has been leading to this point where you are now in a position to develop a detailed public involvement program. At each stage of the decision-making process you now know:

1. Exactly what you hope to accomplish at that step,
2. The information you need to provide to the public, and what you need to learn from the public,
3. The particular public(s) you are trying to reach during this stage, and
4. Special conditions that could affect which techniques you select.

Now the task is to select the public involvement technique or combination of techniques most suitable to accomplish these tasks. A sample form for utilizing the thought process described in this chapter is shown on page 75. This form is designed to cover only one decision-making stage, so you will need to duplicate at least one copy for each stage in the decision-making process you are using. This form allows you to summarize on a single page all the essential steps described in this chapter, with space for your actual public involvement program shown in the right hand column.

Obviously a number of factors interact to create the conditions for your public involvement program. As a result it is virtually impossible to give the kind of guidance--"In Situation A use Technique 3"--which might be reassuring. It might be reassuring, but it also might be wrong. Instead experience suggests that the best approach is simply a common sense one, once you have done an adequate job--using the steps above--of analyzing exactly what purpose your public involvement techniques are to serve.

Bear in mind that under Water and Power Instructions Public Involvement Plans--described in the next chapter--are completed in consultation with interested agencies and interest groups, so even if you have a good idea of what techniques you want to use, you may need to modify your ideas after discussion with these other groups.

This chapter has suggested various considerations which affect your public involvement plans, but the best way to learn strategy is to study other public involvement plans to determine why a particular plan was chosen in a particular circumstance. So you will want to read the next chapter carefully.

DECISION-MAKING STAGE :

P. I. OBJECTIVES:

INFORMATION TO PUBLIC:

INFORMATION FROM PUBLIC:

PUBLICS TO BE REACHED:

PUBLIC INVOLVEMENT PROGRAM:

SPECIAL CONDITIONS:

CHAPTER 8: DEVELOPING PUBLIC INVOLVEMENT PLANS

Water and Power Instructions require the preparation of a Public Involvement Plan for each public involvement program. The purposes for developing a public involvement plan are:

1. To ensure that the public involvement program is responsive to the level of interest and concern expressed by the public.

In other words, the public involvement plan requires that you assess the probable level of public interest, and design a program appropriate to that interest. If interest is very high, then you should provide more frequent opportunities for participation than if interest is low. There is no single public involvement program suitable for all occasions.

2. To ensure that the design of the public involvement program is visible and understood by the agencies, groups, and individuals who may participate.

The public involvement plan is a means by which you can communicate to potential participants what the public involvement program will be like, its approximate schedule, and what they can expect at different stages. Visibility is always an essential element in establishing credibility. If you run a good public involvement program, but the public doesn't know what's coming next, or where things are going, you will have a less credible program than one in which the public knows what to expect from the beginning.

3. To ensure that public involvement programs are carefully and systematically designed as part of the decision-making process.

As indicated in earlier chapters, to be effective, public involvement should be integrated into the decision-making process. When this does not occur, there is always considerable likelihood that public comment will be received either too early or too late to be usable, or will not focus on the critical issues. There should also be visible links between public comment and decision-making or the public will soon see no reason to participate. The public participation plan requires that you think through what the decision-making process will be, and how the public involvement program interrelates with that.

Contents of a Public Involvement Plan

The contents of a public involvement plan will include:

- a. A description of the preliminary consultation activities that led to development of the public involvement plan, including agencies, groups and individuals consulted.
- b. An analysis of the major issues likely to be addressed in the decision-making process.
- c. An assessment of the level of public interest likely to be generated by the action under consideration.
- d. An identification of agencies, groups, and individuals most likely to be interested in the action under consideration.
- e. An identification of the public involvement expertise and effort that may be needed from various organizational units.
- f. A plan of sequential public involvement activities integrated with the decision-making process, including other elements, as applicable, such as the preparation of planning reports or environmental impact statements.

An example of the format used by one region to fulfill these requirements is shown as Figures I-III, on pages 79-81.

Additional Requirements

There are two additional requirements associated with the development of public involvement plans:

1. Public involvement plans are to be developed in consultation with appropriate federal, state and local agencies, and interested and affected individuals and groups.
2. The public involvement plan will identify key review points in the decision-making process, at which time there will be a reexamination of the effectiveness of the public involvement plan.

The requirement that public involvement plans be designed in consultation with potentially interested or affected agencies or interest groups is designed to ensure that public involvement efforts will be considered adequate by those groups or individuals most likely to participate. Since one of the purposes of public involvement is to provide a fair, visible process which can bestow legitimacy on the eventual decision, people have to be satisfied with the program itself. The best way to find out what program will be satisfactory is to ask those people who are likely to care the most.

_____(Office/Division)

PUBLIC INVOLVEMENT PLAN

- I. List all programs by line items.
- II. Identify line items requiring public involvement and develop Public Involvement Plan for each program.
- III. List line items which do not require public involvement and provide rationale for exempting each item from public involvement requirement.
- IV. The format for the Public Involvement Plan will include:
 1. Project name.
 2. Status of the project, i.e., feasibility, advance planning, etc.
 3. Description of the project (one or two paragraphs).
 4. Name and telephone number of individual responsible for plan implementation.
 5. Summary of critical issues of the project, e.g., M&I, minimum flows, etc.
 6. Project public involvement/public information activities by date and place as appropriate.
 7. Key points and dates at which the plan will be reviewed.
 8. Manager's decision to continue or discontinue activity.
 9. Feedback to public(s).

Figure 1

PUBLIC INVOLVEMENT PLAN ACTIVITY STATEMENT

1. What are the specific objectives of the activity?
2. How is the activity designed to obtain the objectives?
3. Who are the target publics? Name them specifically.
4. What are the issues that are anticipated to arise at this point?
5. What level of public interest is expected?

Figure II

PUBLIC INVOLVEMENT ACTIVITY SUMMARY

<u>Activity</u>	<u>Date</u>	<u>Purpose of Activity</u>
Example:		
1. EIS Scoping Meeting (small work groups)	11/28/79	To generate a list of issues the public, including development interests and the environmental community, want to see discussed in the environmental statement. Also, to identify those issues which are not significant in the minds of the public. The purpose of the meetings is to define concerns which may become issues. A low level of interest is expected since there is little specific information for the public to react to at this time.
2.		
3.		

Figure III

The reason for identifying review points is simply that your original assessment of interest may have been incorrect. You may have overestimated the interest and need to scale your program down, and you may find that there is considerably more interest than you anticipated and need to increase it. The review point is simply a "feedback loop" to ensure that you reassess the level of program based on interest. Obviously, if your decision process is only going to last a few weeks, there is no need for frequent reviews. But over several years, it is necessary to periodically reassess your program.

Length and Complexity

Water and Power Instructions specifically state that public involvement plans may vary in length from a single page to many pages, depending on the complexity of the program. The intent of this wording is to communicate that the public involvement plan is not just a bureaucratic requirement, but a flexible document that will help you think through the requirements of your situation. The only real limitations on how lengthy and complex it must be are the following:

1. It should be sufficiently complete to allow you to estimate time schedule, staffing requirements and budget.
2. It should be sufficiently complete that the Regional Director can use it to assess the adequacy of the program.
3. It should be sufficiently complete that other agencies or groups can intelligently evaluate the program.

In other words, the length and complexity of the document relate to the purposes it serves. The shortest document you can prepare that meets these purposes adequately is completely satisfactory. ¹

EXAMPLES OF PUBLIC INVOLVEMENT PLANS

To illustrate the kinds of document which are expected, public involvement plans are shown for a variety of different projects including planning, construction, and operations. All of these plans have been written to illustrate the preparation of Public Involvement Plans, although several shown are based on actual documents.

PUBLIC INVOLVEMENT PLAN FOR A
FOUR COUNTY WATER STUDY

Preliminary Consultation

A meeting has been held with the Board of Supervisors of each of the four counties to obtain their approval for the study. Each county has designated one of their staff people as a liaison person. There has also been consultation with the State Department of Water Resources and U. S. Fish and Game.

In addition, we have had briefing sessions in each county to brief county staff, agricultural agents, etc., of the study. In those meetings they also identified key individuals and interest groups who may be interested in the study. An invitation was sent to all these individuals to attend a planning conference at which we discussed the study and the proposed public involvement plan. The plan described below was generally considered very satisfactory by those in attendance.

Major Issues

Since this study examines the total water supply of the four counties, it is inevitable that the study will get caught up in the growth/limited growth controversy going on in the counties already. Napa County has recently elected a Board of Supervisors on a limited growth platform. On the other hand, Solano County continues to be fairly receptive to some kinds of development. Since it is impossible to consider water demand in the absence of estimates of future development, this controversy will inevitably be raised.

Another issue which is likely to emerge is whether or not to emphasize water supplies from "freshwater" sources, or to emphasize the reuse of wastewater. There are large supplies of wastewater that might be available to the area, so this might be a reasonable option.

Finally, the water requirements to maintain the Suisun Marsh as a bird sanctuary will have a significant impact on projected water demands. The controversy is over not only the quantity, but also the quality of water required. Bills requiring the protection of the Suisun Marsh are pending consideration in the State Legislature.

Level of Interest

The growth/limited growth issue should ensure a fairly high level of interest in the study. The use of the innovative alternative futures approach has also stirred interest. However, this is an appraisal level study, and no recommended alternative will emerge for eighteen months or longer. This may serve to dampen interest that will re-emerge at the feasibility level of planning.

Interested Agencies and Groups

Because this study deals with the total demand and availability of water, it will be of great interest to the government of each county. It will also be of great interest to groups that are concerned with limiting growth in the area, as well as to agriculture and economic development groups. Because of the importance of the Suisun Marsh as a bird sanctuary, this study will have great interest for both State Fish and Game and the U. S. Fish and Wildlife Service. The State Department of Water Resources has several potential projects in the area, so they will be greatly interested in our findings.

[Note: This could be far more specific in an actual P. I. P.]

Public Involvement Expertise

The consultant assisting us with the alternative futures planning procedures is also an expert in public involvement, so will be assisting us in designing and conducting the program. Three of the four staff people most directly involved in the study have had public involvement training and have been responsible for previous programs. So we do not anticipate the need for other internal public involvement expertise. We do anticipate publishing a brochure describing various alternative futures scenarios generated in a first round of workshops. We will need assistance from the Public Information Officer to provide writing skills for this document. We will also need assistance from the Public Information Officer in publicizing our meetings. We anticipate that the amount of public comment may be large, so may need the assistance of computer programming personnel to develop a program for storage and analysis of comment.

Detailed Plan

Our detailed plan is shown below and illustrates the links between the planning process, the alternative futures procedures, and public involvement activities.

Review Points

The primary review point will be between the "Evaluate broad alternatives" and "Develop specific alternatives" stages. This will be the completion point of the first iteration of alternatives and should provide us with a good idea of the amount of public interest.

Public involvement techniques

Alternative futures task

Planning stage

Organize the planning task.	Inform major study participants of the alternative futures planning procedures.	Meetings with Boards of Supervisors. Mail notice of initiation. Receive mail-in response forms. Information meetings with community leaders. Continuing coordination with designated county representatives.
Identify issues and relationships.	Identify a variety of public perceptions of the alternative futures facing the study area.	Mail workbook and meeting announcement Receive mail-in response forms. Conduct community leaders' workshops. Newspaper announcement of meetings. Conduct open workshops and evening meetings. Receive hand-in workbooks.
Develop broad alternatives.	Write draft scenarios and develop preliminary estimates of water demands. Identify potential water supplies.	Summarize and analyze public comment. Prepare report summarizing public comment and containing draft scenarios, water demand estimates, and potential water supplies. Review report with each county advisory committee. Revise report as needed and mail to all participants and identified publics. Receive mail-in response forms.
Evaluate broad alternatives.	Evaluate and refine scenarios, water demands, and water supplies.	Issue brochure describing scenarios and announcing public meetings. Newspaper announcement of meetings. Conduct daytime and evening public meetings. Receive hand-in workbooks.
Develop specific alternatives.	Finalize scenarios and water demands. Identify alternative water supply plans. Cross impacting of alternative plans.	Summarize and analyze public comment. Issue summary report of public comment. Review alternative water supply plans and cross impacting with each county advisory committee.

<u>Planning stage</u>	<u>Alternative futures task</u>	<u>Public involvement techniques</u>
Evaluate specific alternatives.	Obtain public reactions to the alternative water supply plans. Obtain public perceptions of additional cross-impacts.	Revise report as needed and mail to all participants and identified publics. Newspaper and radio announcement of meetings. Conduct final series of public meetings.
Plan selection.	Select a single operating plan which protects most important options. Develop decisionmakers' guide.	Summarize and analyze public comment. Issue summary report of public comments. Review proposed operating plan with boards of supervisors, along with summary of public comment.
Final report.	Incorporate alternative futures planning procedures into U.S. Water Resources Council Principles and Standards (see chapter 10).	Distribution of appraisal level report covering the four-county area. Newspaper announcement of report findings.

A PUBLIC INVOLVEMENT PLAN FOR A
COMBINED REGULATORY STORAGE/FLOOD CONTROL STUDY

Political Climate for the Study

This study must be conducted both with extreme political sensitivity and also with a visibility and openness which will lend credibility to the final conclusions. The President of the United States has already indicated his opposition to Orme Dam, one possible alternative for the study. Yet heavy flooding has not only "resuscitated" the consideration of Orme Dam as an alternative, but has created such strong demands for action that many people consider the length of this study to be non-responsive to public needs.

The public involvement element of this study is absolutely crucial to its success. While the technical studies which will be conducted as part of this study are essential, they will only contribute to the final decision to the extent to which the public believes they were objectively conducted and objectively evaluated. As a result, the public involvement must not only provide opportunities for the public to participate in drawing conclusions based on the technical data, but must also provide mechanisms by which the public can evaluate the technical studies themselves, and satisfy concerns about their objectivity.

Obviously, not every citizen can be in a position of evaluating the technical adequacy and objectivity of a study, so this public involvement program will have to be designed to recognize different kinds of publics. While there will be efforts to involve the general public-- "John Q. Public," it needs to be recognized from the beginning that the detailed review of the technical study will necessarily have to be done by relatively well-organized interest groups and other agencies which can provide the time, staffing, and expertise necessary to understand the technical material. Not only do these groups serve as surrogates for the public in the review of the technical information, but they act as communicators back to the public about the adequacy of the study. If, through a public involvement program, the active organized groups and agencies come to the conclusion that the technical studies are being done in an adequate and objective manner, this conclusion will, in turn, be passed on to a broader general public. The general public can then feel confident to participate on the broader issues of philosophy and values, which is the usual level at which the general public is able to participate.

Preliminary Consultation Activities

This plan was initially developed in consultation with representatives from WPRS, the Corps of Engineers, the State Water Commission, and the

Governor's office. Subsequently, the Program was reviewed by the Governor's Advisory Committee which consists of the leadership of all the major interests including mayors of the cities, tribal leaders, development interests, agriculture, and environmental groups. This group will continue to serve as a sounding board for all public involvement activities, and the chairman of the committee will participate in all planning sessions.

Major Issues

The major issues are well-known--and well-publicized--so are simply stated in summary form below:

1. Continuing opposition to the Central Arizona Project, of which Orme Dam was originally a part.
2. The level and kind of growth which should be permitted to take place in the urban area.
3. The possible inundation of sizable portions of an Indian reservation if the Orme Dam alternative were chosen.
4. Potential reduction in the habitat of the desert bald eagle.
5. The trade-off between existing rafting recreation and "flatwater" recreation that would be developed if a dam were built.
6. The trade-off between the flood control offered by a dam at the confluence site, versus the reduced environmental impacts at some of the other sites.

Level of Public Interest

Because of the recent flooding, public concern is extremely high at the present time. This is a shift from previous times when the controversy has been primarily between interest groups. It is possible that because of the direction of the study, general interest may decline if there are no further floods. If there are new floods, the likelihood is high that there will be additional criticisms that the agencies are just doing bureaucratic studies instead of solving the problem.

Interested Groups and Individuals

The Governor, in particular, is concerned to have some answer to the flood control problems as soon as possible. It should be recognized

that since this issue has been of great interest at a national level, the publics which must feel satisfied by this study include national interest groups and political figures, as well as local groups. [Again, this could be more specific and is only for illustrative purposes.]

Public Involvement Expertise

Major portions of this study are being conducted by a private environmental sciences consulting firm under a contract with WPRS. To provide adequate staffing for this public involvement effort, this contract also requires the contractor to provide a full time public involvement coordinator, periodic consultation with an expert public involvement consultant, and considerable publications and graphics support.

WPRS staff working with the study have all received public involvement training and have conducted prior public involvement programs.

Public Involvement Plan

On the following pages is a sequential plan of public involvement activities, timed to integrate with the planning schedule itself. Since the public involvement program must be integrated with several studies, not just the environmental consultant's, the dates shown are tentative.

The major public involvement activities are shown in the right column. The approximate time frame for these activities is shown by the months on the left. Activities identified as "continuing" are repeated throughout the process, whether or not they are specifically mentioned again.

MONTH

PUBLIC INVOLVEMENT ACTIVITIES

STAGE II-A

- | | |
|-------|--|
| April | <ol style="list-style-type: none"> 1. Establish project office and hotline. 2. Issue press releases announcing the establishment of the project office and hotline. Establish a procedure for periodic press releases. (Continuing) 3. Review existing materials and develop informational literature as needed. 4. Develop the format for a monthly newsletter and produce the first issue. 5. Establish a computerized mailing list. 6. Begin the newspaper clipping service. (Continuing) |
|-------|--|

<u>MONTH</u>	<u>PUBLIC INVOLVEMENT ACTIVITIES</u>
April (Cont.)	7. Establish a procedure for summarizing and storing public comment.
May	8. Work with Community Advisory Committee on a monthly basis. (Continuing)
	9. Select Indian liaison staff and develop initial work program for Indian liaison. (Continuing)
	10. Call on major media figures in the area to establish press liaison.
	11. Conduct 15-25 interviews or small group discussions with key individuals or interest groups.
	12. Prepare an analysis of the publics who see themselves affected and the issues as viewed by them.
June	13. Develop a slide show describing the project and identifying key issues.
	14. Develop a presentation format which allows for audience participation and response.
July	15. Conduct a series of presentations to civic groups and interest groups, inviting alternatives.
	16. Develop format for a series of workshops.
	17. Develop publicity materials and handouts for workshops.
	18. Arrange for media stories on alternatives.
	19. Conduct field trip, if needed and appropriate.
August	20. Conduct a series of workshops throughout the study area on alternative systems.
September	21. Prepare report summarizing public involvement for the entire stage.

STAGE II-B

October	1. Review public involvement program in Stage II-A and revise public involvement plan as needed.
---------	--

<u>MONTH</u>	<u>PUBLIC INVOLVEMENT ACTIVITIES</u>
October (Cont)	<p>2. Maintain all continuing activities:</p> <ul style="list-style-type: none"> Advisory Committee meetings Monthly Newsletters Press releases and media contacts Indian liaison program Clipping service Update mailing list <p>3. Prepare a brochure for the public describing the alternative systems identified during Phase II-A.</p> <p>4. Prepare a slide show describing the alternatives.</p> <p>5. Work with the Advisory Group to develop criteria for modifying or deleting alternatives.</p>
November- December	<p>6. Conduct a series of workshops to evaluate alternatives for modification or deletion.</p>
January	<p>7. Prepare an information brochure describing the alternatives and how they were modified and deleted. Update slide show to indicate modifications and deletions.</p>
February	<p>8. Continued presentations to groups on alternatives (also explaining the difference between "systems" and "plans").</p> <p>9. Preparations for upcoming workshops.</p>
March	<p>10. Workshops on alternative plans, including evaluation of plans for detailed study.</p>
April	<p>11. Checkpoint meeting on alternative plans, including evaluation of plans for detailed study.</p> <p>12. Prepare report summarizing all Stage II-B public involvement activities.</p>

STAGE III

May	<p>1. Critique public involvement program during Stage II-B and revise public involvement plan as required.</p> <p>2. Develop a brochure summarizing the alternatives that will be summarized in detail, and also summarizing the public comment received from the public during STAGE II-B.</p>
-----	--

<u>MONTH</u>	<u>PUBLIC INVOLVEMENT ACTIVITIES</u>
May (Cont)	3. Maintain all continuing activities: <ul style="list-style-type: none"> Advisory Committee meetings Monthly Newsletters Press releases and media contacts Indian liaison program Clipping service Update mailing list
June	4. Work with the Advisory Committee--or other key publics--to identify methods for reducing the number of plans.
July	5. Conduct a series of presentations to local groups on the alternatives and the criteria for reducing the number of plans. 6. Develop a workshop format for reducing the number of alternatives and prepare pre-workshop publicity.
August-September	7. Obtain feature stories on alternative methods for reducing the number of alternatives. 8. Conduct workshops to reduce the number of alternative plans.
October	9. Conduct field trips as needed. 10. Prepare a brochure describing remaining alternatives.
November	11. Conduct presentations to groups on final alternatives. 12. Arrange for feature stories on alternatives.
December	13. Conduct field trips, as needed, to sites of final alternatives. 14. Prepare slide show for meetings showing alternative plans and impacts. 15. Conduct workshops to evaluate alternatives.
January	16. Prepare a summary of public comment on the alternative plans.
February	17. Prepare a draft public involvement appendix for the Draft Environmental Statement. 18. Prepare format and publicity plan for final check-point meetings.

<u>MONTH</u>	<u>PUBLIC INVOLVEMENT ACTIVITIES</u>
March	19. Conduct a series of checkpoint meetings on the Draft Environmental Assessment.
	20. Prepare a summary of public comment.
	21. Prepare final public involvement appendix for the Draft Environmental Statement

EIS PROCESS

May	1. Design a detailed public involvement program for review of the Draft Environmental Statement (DES).
2nd Half-1981	2. Conduct several workshops for detailed review of DES.
	3. Conduct formal hearings on DES.
	4. Prepare a summary of public comment on the DES.
	5. Draft responses to public comment on the DES.
	6. Complete a draft coordination section on the DES.

CONTINUING ACTIVITIES

A more detailed description of some of the continuing activities mentioned in the plan is provided below:

Project Office and Hotline

It is important to establish a single point of contact for the public with the project. For this reason, a project office will be established and a hotline installed. These will establish one-stop walk-in or call-in points. The office and phone will be staffed primarily by the staff employed on the contract with the environmental consultant, but the intent is to establish a project identity which stands alone, neither Corps, WPRS, nor consultant. In the early months of the contract it will be natural that the project office staff will frequently have to track down information for the public from either the Corps or WPRS, particularly until Corps and WPRS staff are comfortable that the project office staff has sufficient background to answer project questions. The intent, however, is that the public can call just one place, and the project office person dealing with them does the tracking down, rather than members of the public having to go to several sources for their information.

Newsletter

A monthly newsletter will be established. This newsletter can provide project information, summaries of public comment received to date, and also request information from the public. A mailing list of more than 500 names has already been started during the Stage I Public Involvement Program. These names will be placed on a computer program, and new names will be added with expressions of interest. The newsletter is particularly important during those portions of those studies where technical studies are being conducted, and there are not a lot of highly visible public involvement activities. The newsletter keeps people abreast of what is going on, so that visibility of the process is not lost.

Clipping Service

A clipping service will be established to keep track of all news stories from local newspapers and magazines which touch on the study or related topics. The major stories will be circulated weekly to Corps, WPRS, and project office staff, and other contractors on the project. This will be a way of sensitizing all staff related to the study to public concerns and issues.

Advisory Committee

An Advisory Committee will be an integral part of this study. In addition to its value as a source of information from publics who become sufficiently well-informed to provide a continuity of response, Advisory Committees can serve a particularly important role in public involvement by overseeing the public involvement process itself, and reviewing publications and reports before they go out to the general public.

Governor Babbit has already established an Advisory Committee to provide him with counsel on this issue. Considerable effort was made by the Governor to ensure that the membership on the committee was representative of the public. There is little reason to believe that it would be possible, even if desirable, to find a more representative committee. In addition, there could be major drawbacks to having two competing committees. For this reason, it appears desirable to make the arrangements necessary for the committee to be advisory to this study, as well as to the Governor.

The major arrangement which will have to be made is some provision for study staff to be part of the coordination group with the committee. At present, coordination is handled solely by state personnel, and study personnel will have to be included in this coordination group if the committee is to advise both the Governor and the study.

Storage and Retrieval of Public Comment

Because of the large quantity of public comment which is anticipated in this study, one major task will be to develop a procedure for summarizing and storing public comment in such a way that it can be readily retrieved and organized for effective evaluation. In the past, one major problem in the analysis of public comment has been the tendency to simply score letters in terms of opposition or support to proposed actions. An individual may write a three-page letter describing all kinds of issues, concerns, and reasons, but the method for storing data will only show whether the person was for or against a project. This reduces the value and impact of public comment.

In this study, we would propose to utilize a system based on the Forest Service Codinvolve system. This is a method of content analysis which allows storage of all of an individual's basic arguments, coupled with any demographic or group membership information. In this way, nearly all of the information supplied in the public comment can be stored, and extensive analysis can be made by cross-referencing the data, e.g., Do people living in certain areas have similar opinions about a proposed alternative? etc. In addition to the Forest Service Codinvolve system, we would propose to include values information received from the public as a separate category. Such values information can serve in formulation of alternatives and in predicting reactions to various alternatives. This is an area in which relatively little work has been done, so the exact uses of the values portion of the stored information will have to be determined as the study progresses.

Indian Liaison

It is difficult to describe in advance the exact nature of the consultation program with the Indian tribes. As governmental entities, each Indian tribe will establish its own ground rules for the amount and kind of consultation which will take place. In addition, we believe that the effectiveness of this consultation rests on a substantial amount of informal one-on-one contact with tribal members.

At the present time, we anticipate establishing a team of three Indian liaison persons. We anticipate that these individuals will be mature individuals with different tribal backgrounds, capable of communicating with "anglo" culture as well as the various Indian cultures. In consultation with the tribes, they will develop consultation activities suitable to each tribe. The basis for this consultation will be--hopefully--a trust relationship which is built through continuous informal contact with tribal members.

More details will be provided after the Indian liaison staff has been selected and has established initial contact with the tribes.

Review Points

Reviews of the Public Involvement Plan will be made as the first step of Stage II-B, at Stage III. A detailed public involvement plan will also be developed for review of the Draft EIS. These review points are shown on the schedule above.

A PUBLIC INVOLVEMENT PLAN FOR REANALYSIS OF AN EXISTING PROJECT

[The public involvement plan below covers only the first phase of a study reanalyzing the operation of one of WPRS's largest multi-feature projects. It illustrates what a brief public involvement plan might look like]:

This public involvement plan is for the first stage of a project re-analysis study. Because this reanalysis could potentially lead to reallocation of water supplies, revised water contracts, or other modified operations, it has the potential to be very controversial. In particular, agricultural interests and municipal and industrial water users in the area may have a special interest.

It is important that the purposes of the study be explained before people get polarized into fixed positions. For this reason, we recommend that the first stage public involvement activities consist of a series of coffee klatches to be held in people's homes, with attendance at each around 15-20. We believe that this smaller, more personal approach will encourage comfortable and complete discussion, with a minimum of speechmaking that could lead to polarization.

In addition to the coffee klatches, a series of one-on-one interviews will be conducted with leadership of the potentially affected interests. This will provide us an opportunity also to discuss the purposes of the study in a noninflammatory setting.

Because the study area is very broad geographically, the major problem is the logistics of setting up the coffee klatches in a number of communities. For this reason, we propose issuing a contract to the League of Women Voters, who will publicize and coordinate the coffee klatches through their local chapters. The coffee klatches themselves can be conducted by project staff, who have received public involvement training.

A detailed public involvement plan for the remainder of the study will be prepared upon the completion of Phase I.

[This plan, while brief, fulfills the minimum requirements for a public involvement plan. Obviously, a more detailed plan will be needed for subsequent stages of this study. It does illustrate the kind of brief plan that might be developed for a decision-making process of short duration.]

PUBLIC INVOLVEMENT PLAN FOR
A REVIEW OF DAM OPERATIONS

[This public involvement plan is based on an actual study, but has been modified somewhat for simplicity.]

Background:

Eisenhower Dam is operated by WPRS, but under flood control conditions, it is operated using standards established by the U.S. Army Corps of Engineers. These standards were last reviewed in 1947. Since that time, there has been substantial construction in the floodway. The Corps of Engineers has been funded to review these standards in light of existing conditions, and the Corps is in turn contracting with WPRS to jointly develop new standards. The public involvement program is being conducted jointly, under the direction of an interagency team which includes three members from the Corps, two from WPRS, one from U.S. Fish and Wildlife, and one from the State Department of Water Resources.

The study will last approximately two years. There are three major phases. During the first major phase, there will be an appraisal of the existing level of construction in or near the floodway, and the theoretical limits of operation of the facility. In the second phase, there will be assessment made of the impacts resulting from operations under alternatives representing the full range of operating possibilities. The final phase will consist of an evaluation of the 3-4 most probable alternatives.

Consultation to Date:

Phase I of the study is essentially complete. During this phase, a study conference was held with representatives of all potentially affected agencies, with particular emphasis on the municipalities downstream from the dam. Notice of the meeting was also sent to all groups on the WPRS mailing list, and individuals who have written leaders expressing interest in the operation of the dam. The public involvement program below was reviewed at this study meeting.

Continuing consultation is also accomplished by inclusion of representatives of U.S. Fish and Wildlife and State Fish and Game on the Interagency Committee which is conducting the public involvement program.

Major Issues:

Our consultations to date have not indicated a high level of concern regarding the study. We have had one inquiry from the City of Thorne

requesting further information on the level of releases that might be anticipated so that it can assess if structural changes may be necessary at its waste treatment plant to protect against any anticipated floods. However, city officials indicated that they anticipate a high level of concern from people who have built homes or businesses in the flood plain. Many of these people, city officials maintain, have built without knowledge of the flooding potential and will be alarmed when they discover the danger that currently exists. The potential is also there for charges of fraud against developers, complaints about weak administration of flood plain regulations by cities, etc. As a result, we can expect a high level of interest from people in the flood plain, but little participation from people outside the flood plain except "official" representatives of municipalities and agencies.

Program:

The public involvement program will include:

1. A short brochure will be developed describing the study and its implications. This brochure will also announce a first public meeting.
2. A mailing list will be developed based on Assessor's maps, for lands which the Phase I study indicates could be affected by any of the potential operating conditions.
3. The brochure will be mailed to standard WPRS and Corps mailing lists for the study area, as well as the mailing list described in #2.
4. Enclosed in the brochure will be a mail-in card by which people can indicate whether they would like to receive periodic reports on the study.
5. A series of informational meetings will be held in the five municipalities within the study area. The structure of these meetings will be:
 - a. A short slide presentation describing the purpose of the study and the potential operating conditions which are being considered.
 - b. Tables will be set up around the room with maps for different stretches of the river, showing the areas of potential downstream flooding under different release conditions. Following the slide show, there will be a 30-45 minute period during which attendees will be invited to go to the tables with maps for areas of particular interest to them. Each table will be supervised by a staff person who can interpret the maps.

- c. The meeting will then reassemble, and the agency representatives will describe the "trade-offs" between the various plans.
 - d. The meeting will then be opened up for comments from attendees.
 - e. Attendees will be asked to rank which values--e.g., minimum downstream flood damage, water storage, etc.--should dictate the further development of alternatives.
6. A report summarizing the comments and rankings received in these meetings will then be prepared and sent to everyone who sent in a mail-in card.
 7. In the third phase, three or four alternatives will be developed which portray the alternative values (similar to NED, EQ, and mix alternatives).
 8. These plans will be reviewed in meetings with each municipality and other state and federal agencies.
 9. A series of feature stories will be arranged in local newspapers describing the alternative.
 10. A brochure describing the alternatives will be sent to the mailing list.
 11. A second series of meetings will then be held to evaluate the alternatives. The format of these meetings has not been determined.
 12. A summary of public comment received in these meetings will be sent to the mailing list.
 13. The decision will be announced in press releases, and a letter will be sent to everyone on the mailing list. An offer will be made in the letter to meet with anyone interested in how to protect their home from flood damages, and programs for flood proofing that may be available.

Staff Resources:

Three of the members of the interagency team have received public involvement training, and we believe we have the skills needed to conduct the program described above. We will need assistance from the Public Affairs Officer in preparing two brochures and arranging feature stories and press releases.

PUBLIC INVOLVEMENT PLAN FOR
DISPOSAL OF CONSTRUCTION CAMP HOUSING

[This plan is also based on an actual situation, but with details simplified.]

Moosehead City is a construction camp with 37 homes that was built in 1963 to house construction workers and operators of Jefferson Dam. The homes are currently rented from WPRS. Under federal law WPRS must now dispose of the property.

Options include giving first refusal rights to current renters with an auction on all units not bought, or an auction on all units. Because these homes are in a scenic area, many people besides the renters might be interested in the homes if they were available. On the other hand, a number of renters have been in these units for many years.

The publics most likely to be interested are: present renters, commercial and real estate interests in Rocktown (five miles away), visitors to Jefferson Lake.

The program we propose is as follows:

1. The regional sociologist will conduct interviews with all 37 households to determine their ideas and preferences.
2. Meetings will be held with the Chamber of Commerce in Rocktown (estimated 16 members) to hear their reaction to preliminary option.
3. Based on these discussions, alternative plans will be developed and a report prepared describing the preferences of the various interests.
4. Town meetings will be held in both Moosehead City and Rocktown to discuss reactions to the alternatives.
5. Reactions will also be solicited from elected officials at state and federal levels. (Note: This is an effort to obtain ideas from people who are outside the immediate geographic area, since we do not believe that visitors to Jefferson Lake will be sufficiently informed to react.)
6. Once the general direction has been decided--e.g., give lot refusal to renters--then details of the plan will be hammered out in town meetings in Moosehead City.

The Regional Sociologist has agreed to assist with this program and is developing an interview methodology which will not require OMB approval. We also have obtained the assistance of John L. Planner, who has conducted a number of public involvement programs for the planning division, to assist us with designing and conducting town meetings.

PUBLIC INVOLVEMENT PLAN FOR
A CONSTRUCTION PROJECT IN A SUBURBAN AREA

[This is a hypothetical public involvement plan for an actual construction situation which occurred on a project in the Lower Colorado Region.]

Situation

A portion of the delivery system for water from the Southern Nevada Water project includes a 96 inch pipeline which will have to be run up the center of Southern Avenue for a distance of three miles. Because of the size of the pipe, the entire street will have to be torn up, or will be covered with spoils, during the period of installation. This will mean substantial re-routing of traffic, and access by automobile to private homes may be blocked in sections of the street for as much as 3-5 days. Obviously this will have significant impacts upon homeowners along Southern Avenue for the duration of construction, which will be approximately 60 days. In addition there are retail shops along a three block portion of Southern Avenue who will not have any street access for approximately one week.

Consultation

We have consulted with the City of Las Vegas and the Nevada Highway Department in the preparation of this public involvement plan. Regrettably there is no neighborhood association or other formal system of communicating with the impacted area. We have, however, consulted with the City Council member whose district includes the impacted area. She was in agreement with the proposed public involvement plan.

Level of Interest

A public involvement program was carried out two years ago on the decision to proceed with the Southern Nevada Water Project. There was little public interest at the time, although there were some delays when EPA required an EIS rather than a negative declaration. As a result we do not anticipate that there will be substantial interest outside of the physically affected area. Because of the intensity of impact on those in the affected area, however, interest in the affected area will be extremely high. The City of Las Vegas Public Works Department will continue to have great interest as well.

Scope of Decision-Making/Issues

One difficulty with this program is that there are only very limited steps which can be taken to mitigate impacts. We can keep the impacted

public fully informed but there is little that can be done to reduce the bulk of the impacts. The kinds of issues we expect the public to raise include: dust control, schedule for closed access, protection of children from playing near the ditch, traffic safety, nighttime noise and lights. We have already developed mitigation provisions which are included in the contract with the contractor in this area. Some additional changes may be possible, but might require a modification of the contract.

Public Involvement Expertise

We anticipate that this program can be handled entirely with internal staff. Two of the five team members have received public involvement training. Fortunately the contractor on this project has a reputation for working well with people near projects, and he has agreed to attend meetings and work with the public.

Detailed Plan

1. A press release will be prepared and issued to the media announcing that construction will begin and describing some of the impacts which will occur.
2. The Water District has agreed to issue a mailer which will go out with the water bill describing the project, its impacts, and announcing two public meetings. The District's list is computerized and will permit this mailer to be sent only to the southern quadrant of the city, although there will still be a total mailing of 70,000.
3. The contractor has prepared a series of clever and humorous on-site signs to soften public reaction to the inconveniences caused by the project.
4. Doorknocker kits will be placed at each affected house as part of a door-to-door information campaign which will precede construction.
5. Major detours will be publicized through traffic advisories provided to local media personnel. In some cases these will have to be hand carried to be timely.
6. School districts will be contacted and busses arranged to prevent young students from being subjected to construction site dangers while walking to school.

7. Prior to any construction activities, several meetings (announced in the mailer described in #2) will be held at local school and church buildings in the affected areas.
8. The concerns expressed in these meetings, and our ability to respond to them, will be summarized and sent by direct mail to the Water District's mailing list.
9. A bi-weekly bulletin will be published and sent to the impact area mailing list describing changes in schedule, construction progress, etc. This will be a very informal 2-3 page mimeo document.
10. If needed, a series of coffee klatches will be scheduled along the route so that each section of the route will have an opportunity to discuss their concerns about two weeks before access is closed for that section.

CHAPTER 9: PREPARING PUBLIC INVOLVEMENT SUMMARY REPORTS

Water and Power Instructions require the preparation of a Public Involvement Summary Report at the conclusion of each public involvement program. The purpose of the Public Involvement Summary Report is to provide an accounting of how public comment was obtained and used in arriving at a decision. It is also designed to provide a timely reporting to the public of decisions that have been made.

CONTENTS OF A PUBLIC INVOLVEMENT SUMMARY REPORT

The information that should be included in a public involvement summary report includes:

- . A description of the public involvement activities which took place prior to the decision.
- . The needs and concerns expressed by the public.
- . The alternatives considered.
- . The decision and the reasons for the decision, including a comparison of alternatives.
- . A summary of attitudes of various publics towards the recommended or chosen alternative.

Water and Power Instructions specify that the public involvement report may vary in length from a letter to a formal report. This is to insure that the Public Involvement Summary Report serve the purpose of communicating effectively with the public, rather than becoming a burdensome bureaucratic requirement. The amount of information required in the Public Involvement Summary Report should be determined by the amount of information the public needs to understand what the process was by which public comment was gathered, and how it impacted upon the final decision.

WHEN SHOULD PUBLIC INVOLVEMENT SUMMARY REPORTS BE ISSUED?

Public Involvement Summary Reports should be issued promptly once a decision has been made and no later than 120 days after a decision. According to Water and Power Instructions, recommendations made to higher level decision-makers--such as the Commissioner, Secretary, etc.--are themselves considered significant decisions relative to public involvement, and are included in the 120 day requirement. The purpose for the 120 day requirement is to be sure that the public is informed of all decisions in a timely manner. Announcements of decisions six months to a year after the public has last been consulted, are perceived by the public as non-responsive. An individual who has participated in

a public involvement program and has heard nothing from the agency for six months to a year, will either lose interest in the issue, or become convinced that the agency is incapable of doing effective and timely work. The 120-day requirement is an effort to insure that the public is informed of all decisions as quickly as possible after they have been made.

RELATIONSHIP TO OTHER REPORTS

In some cases there will be other documents such as planning reports, Environmental Impact Statements, or annual operating plans which may contain essentially the same information as required in the Public Involvement Summary Report. In this case these documents may serve as the public involvement summary report provided they contain all the information indicated above.

Again the purpose of the Public Involvement Summary Report is not to create a new bureaucratic requirement. If the function which the Public Involvement Summary Report is to serve is adequately provided for by another document, then there is no need for a separate Public Involvement Summary Report. Normally, however, the material which would have been included in the Public Involvement Summary Report should be shown in a separate chapter, so that it can be readily identified by the public. The requirement for timely issuance of a Summary Report still applies to these other documents. If a report other than the Public Involvement Summary Report has been used to meet the requirement and 120 days has elapsed since a decision without its issuance, that portion of the report that serves as the Public Involvement Summary Report should be issued immediately with a statement indicating the status of the full report.

WRITING STYLE FOR THE PUBLIC INVOLVEMENT SUMMARY REPORT

The purpose of the Public Involvement Summary Report is to inform the public, therefore the summary report should be written in simple, direct, non-technical language. So long as the basic information required in the report is included, brevity is a virtue since the public is less likely to read lengthy documents.

It is also essential that the Public Involvement Summary Report be written as objectively as possible. The ultimate goal would be that all major interests who participated in the public involvement program would feel that their views were accurately summarized in the report, and would understand how those views were either incorporated into the final decision, or why they were not accepted. Under no conditions should the Public Involvement Summary Report read like a public relations document for the WPRS decision. It is simply an objective accounting of the public involvement process that took place and how public comment shaped the final decision.

WHO IS RESPONSIBLE FOR PREPARING THE PUBLIC INVOLVEMENT SUMMARY REPORT?

One obvious question in determining responsibility for issuing a public involvement summary report is when has a "decision" been made. Is the decision made by the appropriate manager, the Regional Director, the Commissioner, the Secretary, the President? As mentioned earlier, Water and Power Instructions are very clear that, while final authority may rest with such officials as the Commissioner, the Secretary or the President, the recommendations that are made to the decision-makers shall in themselves be considered significant decisions relative to public involvement. As a result the appropriate manager is usually someone who reports to a Regional Director or an Assistant Commissioner. In most cases the Public Involvement Summary Report will actually be prepared by the individual who had direct program responsibility for the public involvement program.

WHO SHOULD RECEIVE THE PUBLIC INVOLVEMENT SUMMARY REPORT

Since the purpose of the Public Involvement Summary Report is to provide the public feedback on how their comment was used, the Public Involvement Summary Report should be distributed to the complete mailing list of those individuals and groups who participated in the public involvement program, as well as to all other potentially interested individuals or groups. This is another reason, of course, why Public Involvement Summary Reports should be kept short, simple and direct. If they are to be distributed to a large number of people, then the document has to be a length appropriate for a large mailing. If another sort of report, such as an Environmental Impact Statement, is used as the public involvement summary report, it is likely to be too lengthy for this kind of general distribution. In these circumstances it is recommended that the portion of the EIS or other planning report which is to serve as the Public Involvement Summary Report be duplicated separately, and only this section would be distributed to the general mailing list.

EXAMPLES OF PUBLIC INVOLVEMENT SUMMARY REPORTS

Several examples of Public Involvement Summary Reports are provided below. Since the preparation of the Public Involvement Summary Report was a new requirement at the time this manual was prepared, these examples are purely hypothetical, although based on actual WPRS issues.

PUBLIC INVOLVEMENT SUMMARY REPORT SOUTHERN MEXICANA WATER PROJECT

The Southern Mexicana Water Project is a delivery system that would deliver 350,000 acre feet of water from Lake Samuels for municipal and industrial use in the greater Mexicana metropolitan area. It is the last stage in an overall water development water program which was authorized by the U.S. Congress in 1958.

In 1976 in response to concerns of local communities for adequate water supplies to keep pace with the rapid growth in the Mexicana metropolitan area, the Congress authorized funds for completion of the Southern Mexicana Water Project.

In September, 1977 a planning conference was held to announce initiation of an advanced planning study to develop final plans for construction of this project. One element in this advanced planning study was to ascertain the level of local support for the project, and also identify public concerns that could influence the design of the project. Invitations to the planning conference were issued to approximately fifty agencies and groups representing the full range of local, state, and federal agencies as well as interest groups representing a range of interests from development to environmental. Approximately 35 individuals attended the planning conference. The major purpose of the planning conference was to inform agencies and groups of the proposed study, and most questions and comments in the meeting were related to the timing and nature of the study.

In January, 1978 WPRS conducted two public meetings, one in the afternoon and one in the evening in the Mexicana Convention Center. These meetings were publicized through radio and television announcements, as well as a mailing to the WPRS mailing list of approximately 2,000 individuals. Approximately 25 people participated in this meeting. Twenty of the people participating represented official agencies' groups, and the other 5 were private individuals or representatives of environmental groups. The bulk of the comments from local, state and federal agencies appeared to support the project, but one representative of an environmental group expressed concern that the amount of water being provided by the project would permit a 50% increase in population in the Mexicana area. This group believed that such an increase in population would lead to degradation of the quality of life in the area, as well as create problems of air quality, traffic congestion, etc.

Because of the modest attendance at this first series of meetings, despite rather extensive media coverage of the meetings, public involvement activities during the development of the plan for the Southern Mexicana Water Project were carried out primarily in direct consultation with agencies or potentially impacted groups. During these conferences there were concerns expressed that the project would be in conflict with the 208 Wastewater Management Plan currently being developed by the Mexicana Regional Association of Governments, a concern with the geological stability of a portion of the proposed route, and the discovery of an Indain burial site within the proposed route for the project. Consultations were held with the Southern Mexicana Regional Association of Governments, and after some discussion the Board of Directors of the Regional Association of Governments issued a letter indicating that the proposed project was not in conflict with the 208 Wastewater Management Plans as presently envisioned. An additional study of geologic suitability was authorized, and route changes of approximately 300 yards were made for a distance of approximately 3/4 of a mile based on these findings. The State Historic Preservation Officer made a field review

of the Indian burial grounds, and indicated that while the burial grounds had some archaeological value, these values could be protected by a minor route change and an agreement that a licensed archaeologist would be present during construction of the portion of the project where impacts might be made upon archaeological sites.

Upon preparation of a proposed route, WPRS announced a second series of public meetings to review the proposed design. Again these meetings were held both in the afternoon and evening to insure opportunities for participation. Approximately 40 individuals participated in the two meetings, of which 24 were agency representatives. The comments from the agency representatives were supportive of the project, and expressed satisfaction with the modifications that had been made as a result of consultation with the agencies. However the Southern Mexicana Anti-Growth League expressed continued opposition to the project based on a belief that the project would contribute to growth in the Southern Mexicana area.

An Environmental Impact Statement was prepared for the Southern Mexicana Water Project. The findings of the Environmental Impact Statement were that the construction of the Southern Mexicana Water Project would produce temporary environmental impacts of noise, dust, and soil disturbance, but that the long-term environmental impacts would not be significant. The Environmental Impact Statement described the archaeological sites which had been discovered and agreed to a mitigating measure of retaining a licensed archaeologist to be present during any construction activities in the vicinity of these archaeological sites. An assessment was also made of the socio-economic effects of the proposed project. This assessment indicated that the primary social impacts of the project would result from the temporary increase of approximately 100 construction workers into the area. The remaining construction workers would be drawn from the existing labor pool in the metropolitan area of Mexicana. This assessment did indicate, however, that the secondary impacts of growth permitted by the availability of water could include air quality problems, traffic congestion, and continuing development of outlying lands surrounding the presently developed metropolitan area. The social assessment also indicated, however, that the socio-economic factors which contributed to growth in the area were not likely to be eliminated even if the project were not built. Rather the result of no project being built would be substantially increased density, such as multi-unit housing rather than single-family homes, and other changes in lifestyle to accommodate a shortage of water in an arid climate such as a reduction in the number of private swimming pools, landscaping with desert plants, etc.

The Regional Director of WPRS has recommended the construction of the Southern Mexicana Water Project along the route in the attached diagram. In reaching his decision the Regional Director considered the concerns expressed by the Southern Mexicana Anti-growth League that the project would contribute to the growth of the area. The Regional Director acknowledges that the social assessment which was conducted confirmed the Anti-growth League's contention that a secondary effect of the

project could be increased traffic congestions, air quality problems, etc. However the Regional Director also noted that the social assessment indicated that the present growth being experienced by the southern Mexicana area was unlikely to change whether or not the project was built. Instead, without the water project, major changes in the life-style of the area would result. The Regional Director indicated that it is within WPRS mandate to provide water in response to community needs, but not to make determinations for local communities regarding land use controls and growth policy. Based on the expressions of support from numerous local and state agencies, WPRS believes the project to be appropriate and justified. The recommended route in the attached drawing incorporates modifications suggested by state and local agencies to avoid areas of geologic instability and protect archaeological values.

The Regional Director's recommendation has been forwarded to the Commissioner of WPRS for review by him and the Department of Interior. If approval is received at that level, construction of the project might begin by 1981.

PUBLIC INVOLVEMENT SUMMARY REPORT
LAKE ANDERSON TRAILER RENTALS PROGRAM

Lake Anderson is a man-made lake created by the construction of Anderson Dam in 1953. Initially recreation use of the lake was quite modest, averaging only 35,000 visitor days per year for each of the first five years of use. However in the last decade Anderson Lake has experienced dramatic growth in recreation use, with recreation use in 1978 totalling 325,000 visitor days. In 1957 a Concession Permit was granted to Mr. Robert Baker to construct a trailer park to provide housing for recreationists, since there was no overnight housing within many miles of Lake Anderson. The initial intent of the concession agreement was to provide short-term housing for families on vacation, etc. But over a period of time the concessionaire has granted year-round leases to a number of families for a period of some years. Since the concession agreement did not specifically outline the terms on which the concessionaire could lease these facilities, WPRS has had no legal authority to challenge this practice. With the increased recreation demand at Lake Anderson, WPRS has received numerous letters over the years questioning the concessionaire's practice and arguing that a small number of individuals are receiving an unfair privilege in the use of federal property.

In 1982 the Concession Permit with Mr. Baker will lapse. WPRS has initiated a public involvement program to ascertain whether or not the concession should be renewed and the operating conditions which should be included in that agreement if it were renewed. In November, 1979 WPRS conducted three meetings with the individuals currently residing in the Lake Anderson Trailer Park on long term leases. These individuals indicated that they had utilized these facilities for a number of years and had made permanent improvements to their trailers and trailer sites

based on this long-term use. As a result they felt it was unfair to ask them to leave. The concessionaire, Mr. Baker, also indicated that he had invested some \$350,000 over the years in developing the campsite, and was relying on the income for his retirement. Several of the residents indicated that they would be unable to obtain comparable housing in the same price range if they were moved from the area, and indicated this would be a major hardship since they were on fixed incomes.

The WPRS then conducted three meetings throughout the San Francisco Bay Area, the major metropolitan area from which most recreation users of Lake Anderson come. A total of 102 individuals participated in these three meetings. Individuals in these meetings argued that the purpose of any facilities such the trailer park should be for short-term recreation, rather than long-term use which gave a special privilege to only a few people. They pointed out that the original purpose for the 25-year lease was to allow a reasonable time for the concessionaire to receive a return on his investment, and therefore believe that WPRS had no further commitment to the concessionaire. Representatives of several groups pointed out that the lease arrangement would not be permissible under existing WPRS regulations, and therefore when the concessionaire's contract expired, should not be renewed.

Because of the divergence of opinion between present users of the trailer park, and recreationists coming from the San Francisco Bay Area, WPRS determined that it was necessary to establish a public involvement mechanism which would allow representatives of all groups to hear each other's points of view. Because of the physical distance between Lake Anderson and the San Francisco Bay Area, public meetings were not adequately serving this function. As a result WPRS established a task force consisting of the concessionaire, three current residents of the trailer park, a representative of the Santa Theresa County Parks and Recreation Department, a representative of the State Parks and Recreation Department, representatives of three major recreation clubs that utilize the lake frequently, and a representative of the California State Automobile Association who was asked to represent the concerns of occasional users. This task force was asked to meet regularly and to the extent possible develop a consensus recommendation to WPRS. This task force met a total of nine times over a period of six months and developed a series of recommendations to WPRS. These recommendations were opposed by the concessionaire and one of the other current residents of the trailer park, but were supported by all other members of the task force. The task force's recommendations were as follows:

1. The purpose of the mobile home facility should be for short-term vacation use not to exceed two weeks.
2. The current residents in the trailers should be given one year's notice that their lease will be terminated.
3. The present concessionaire should be offered the opportunity of a concession contract on the basis that no

trailer should be made available for longer than two weeks. If the concessionaire is unwilling to operate the mobile home park on this basis, then his contract should not be renewed and the concession should be made available on a bid basis to all interested parties.

4. The task force believes that the concessionaire has made capital improvements to the facility in excess of those envisioned in the original contract and therefore should receive some compensation in the event that his contract is completely terminated. One possible form of compensation would be some form of prorated payment from any new concessionaire.
5. The task force believes that the number of trailer house sites should be reduced by thirty to reduce the visual impact of the area and to avoid potential sanitation problems.

The Regional Director of WPRS concurs with the recommendations of the task force with one exception. The Regional Solicitor has determined that WPRS has no liability or legal authority to compensate the current concessionaire for capital investment made during the life of the previous contract. WPRS will offer Mr. Baker the opportunity to negotiate for a five-year concession containing conditions that the units cannot be leased for longer than a two-week period. One year prior to the termination of Mr. Baker's existing contract, WPRS will notify all current lease holders that the concession contract will be terminated as of August 31, 1982, and that thereafter no year-round leases will be permitted. In the event that the present concessionaire does not wish to apply for a concession under these conditions, WPRS will announce an open bidding process for a five-year concession under these terms. Interested parties who would desire information regarding these negotiations may contact the Regional Procurement Officer.

PUBLIC INVOLVEMENT SUMMARY REPORT
FENCING OF RESERVOIR LANDS

In March 1978 the Regional Office of WPRS initiated a study to determine whether or not established reservoirs within the region should be fenced to protect reservoir lands from over grazing from cattle on adjoining lands. Whenever WPRS establishes a reservoir it acquires land in excess of that usually under inundation to insure an adequate reservoir in event of the highest possible flood conditions, and also to provide a buffer between the reservoir and other properties in the area.

Many of the reservoirs in this region were established at a time when fencing of reservoir lands was not established regional policy. Therefore the region is in a position of having to develop an appropriate plan for implementing departmental policy which will reverse an established practice of some years standing.

The first step in the public involvement program was a series of personal contacts established with present landowners whose property adjoined existing reservoirs and who do graze cattle on adjoining land. All of these individuals indicated the importance to their cattle operation of being able to graze cattle on adjoining federal land, and indicated that they believed this to be a legitimate use of federal, just as grazing permits are granted on Forest Service land. Many of these individuals were outraged at the suggestion that this practice might be discontinued and expressed extremely strong opposition to any action that WPRS might take.

At the same time WPRS initiated field studies to determine the impact of cattle grazing on reservoir lands. This study indicated that there were numerous examples of over grazing which had led to removal of the ground cover, resultant erosion, and decreased water quality caused by this erosion. Studies indicated that in some areas grazing would have to be avoided for periods from five to ten years before the land could support grasses which would prevent erosion.

A series of meetings were then held in five communities near the existing reservoir which had received the highest level of impact. The findings from field studies were presented and public comment solicited. Again public comment strongly opposed the fencing of the reservoirs and insisted that if any control should be made of reservoir land it should consist of non-structural answers such as the establishment of grazing allotments and close supervision of reservoir lands by WPRS personnel.

WPRS also consulted with a number of local, state and federal agencies. While a number of local agencies expressed views similar to that of local ranchers, several state and federal agencies insisted that WPRS responsibility was to protect the land, rather than to provide grazing opportunities for individuals.

After reviewing the public comment, the recommendations of the agencies, and departmental policy, the Regional Director has determined that WPRS and departmental policy require that WPRS proceed with the program of fencing of reservoirs. The Regional Director acknowledges that this decision is at odds with the sentiments expressed by numerous local public, but believes that WPRS's primary responsibility is protection of the land with assistance to the local economy as only a secondary responsibility in this instance. The Regional Director also noted that present staffing levels within WPRS do not permit the close supervision of grazing which would allow sufficient control of grazing to protect

lands without fencing. The Regional Director noted, however, that funds for fencing of reservoirs are at a relatively low level, so the fencing program will continue for a period of five to ten years. The Regional Director indicated that the priorities for fencing will be established based on fencing those reservoirs first that are already experiencing erosion due to over grazing. Decisions on the order in which reservoirs are fenced will be based on field reports by soil specialists in consultation with local agricultural agents and affected ranchers. On those reservoir lands showing some over-grazing problems but of lesser priority than those which would be fenced initially, WPRS personnel will attempt to work with ranchers on adjoining lands to establish voluntary allotment and animal control policies to insure protection of the land prior to its fencing. WPRS recognizes that this decision will reverse a long-standing practice in the region, and pledges to work as closely as possible with affected ranchers to reduce the impact of this decision to the greatest extent possible.

CHAPTER 10: CONTINUING PUBLIC INVOLVEMENT ACTIVITIES

The public involvement activities described in previous chapters have all been related to specific studies or decision-making processes. There are additional public involvement activities--not necessarily related to any single decision-making process--which may be useful in contributing to the overall climate of openness and trust within which the specific public involvement programs must operate. This chapter provides a few ideas about these continuing activities, but hopefully the ideas in this chapter will stimulate additional thinking in each regional office and project office regarding continuing activities.

RESPONSIBILITY FOR CONTINUING ACTIVITIES

Since continuing activities potentially involve a number of studies or decision-making processes, responsibility necessarily falls on the manager responsible for all of these activities, usually the Regional Director or Project Manager. Staff assistance will usually be needed. While this is at the manager's discretion, probable sources for staff assistance are the Regional Public Involvement Coordinator, or the Public Affairs Officer.

PUBLIC INFORMATION ACTIVITIES

A strong effective public information program provides a climate within which individual public involvement programs take place. A well-informed public will be able to participate more intelligently, will have a better understanding of the impacts of various actions, and will have some understanding of the history of how various events occurred. For this reason the programs of the Public Affairs Offices in most regions and some projects constitute one continuing activity which provides essential support to public involvement.

To ensure that the public affairs program is providing maximum assistance, it would be useful for the Public Affairs Officer to participate in or hold periodic meetings with other staff conducting public involvement programs to determine whether there are common public information needs which can be addressed by the public affairs staff.

ANNUAL BRIEFINGS

It has been a custom in most regions for a number of years to hold annual water users meetings. Usually these meetings brief water users on key features of the Service's on-going program, issues that are likely to emerge during the next year, as well as provide opportunities for discussion of issues of particular interest to water users. These are worthwhile meetings, but are limited to only one portion of the public. Similar access needs to be provided to other publics.

One regional office of another agency holds a twice-yearly "environmental tea." This is an afternoon or all-day session during which environmental and recreation groups are briefed on the status of all impending issues or studies. In addition environmental group representatives have an opportunity to raise issues, which allows the agency to provide information which prevents crises from occurring, or have an early alert to potentially controversial issues.

The essential point is that the same channels of communication which presently exist to water users need to be opened up to other publics, including--but certainly not limited to--environmental groups. To the extent that the leadership of the various groups and agencies come to know each other as human beings, rather than as official representatives only, the chances of problem-solving instead of confrontation increase. The periodic briefing is simply one of the ways that this can be accomplished. It should be noted, though, that some form of annual meeting is required by Water and Power Instructions concerning operation of existing Service projects.

FIELD TRIP/SOCIAL ACTIVITIES

Several agencies have gone further and sponsored special activities designed to establish personal rapport between leaders of various groups. The Forest Service, for example, has sponsored camp-outs on lands under consideration in land use plans. Leaders of various interest groups would hike through areas that are controversial, pausing occasionally for trail-side discussions, then discussing the issues in detail over the campfire at night. One Service project manager conducted a similar camp-out which led to successful resolution about the appropriate uses of a watershed surrounding a proposed project.

Another possible activity is a boat ride or other water-related event that includes visits to controversial sites. Representatives of several agencies have gone rafting with recreation or environmental groups as a means of establishing stronger personal relationships with them, and an understanding of their viewpoints. Field trips can be held without including these recreational aspects, but the element of a shared experience is important in establishing personal relationships.

NEWSLETTERS

The idea of a newsletter as an element of a specific public involvement program has been discussed in previous chapters. Because of the number of public involvement programs going on simultaneously in a regional office, or even some large project offices, it may be desirable to publish a regional newsletter describing a number of public involvement activities rather than inundating the public with different newsletters for different programs. This has the added advantage of communicating to the public just how many public involvement opportunities are available.

ENVIRONMENTAL EDUCATION

Environmental education programs are now established in most Service regions. The potential exists for combining environmental education with controversial issues. If there is a question of what impact a proposed project would have on wildlife, for example, it might be an interesting environmental education opportunity to work with wildlife biologists or other experts to discover how they go about determining what impacts should be. Great care should be taken, however, to ensure that environmental education programs run in conjunction with public involvement programs avoid any appearance of "selling" the Service's point of view in opposition to other groups or agencies. If this could occur, then it might be wise to include these groups or agencies in that particular environmental education activity.

EMPLOYEE EDUCATION

One major opportunity for public information which is often missed is adequate education of Water and Power Resources Service employees about Service activities. Particularly in "project towns," towns that really exist by virtue of a Service project such as Boulder City, Coulee City, etc., the percentage of Service employees is such a significant part of the population that if Service employees are well informed the rest of the town will quickly be well informed also. It is equally likely that if Service employees are misinformed, the town will be quickly misinformed also. However the need for employee education is not limited to "project" towns.

One area where employee education has a significant impact is with field personnel involved in surveying, road work, property acquisition. Property owners often ask survey crews, for example, about details of the project. If they get good information their fears may be allayed. If they get misinformation, it will often be repeated widely, and sometimes is believed even when someone with more information tries to correct the misconception.

It is important to emphasize that education for Service employees includes not only professional employees, who are often in a position to know more about on-going programs anyway, but also clerical staff, survey crews, construction workers and other non-professional job categories.

Employee education activities might include use of the employee newsletters or briefings for employees by the Regional Director, Project Manager, etc. One Project Office has established a policy of developing a project description manual which accompanies any individual going out into the field. When questions come in, the employee is then able to turn to the manual and provide full and complete information.

As stated earlier, hopefully these suggestions will stimulate additional ideas which will be workable in your specific situation.

SECTION 100
ORGANIZATIONAL ISSUES

CHAPTER 11: ORGANIZING FOR PUBLIC INVOLVEMENT

In this chapter we'll discuss WPRS' philosophy of managing public involvement programs, including the responsibilities, roles, and skills required.

Managerial Responsibility for Public Involvement:

To be effective, public involvement must not be just a set of procedures that is followed, but a way of doing business. This means that decision-makers must see public involvement of equal importance with any of their other program responsibilities. As a result WPRS policy specifically states that "managers"--those having direct program responsibility and accountability--are also responsible and accountable for public involvement. This means that if you are head of a planning study, or the manager of a project office, or a division chief making a decision about water operations, you are directly accountable to your Regional Director for the adequacy of the public involvement in your program. Managers reporting to Assistant Commissioners have comparable responsibility.

Managers are encouraged to draw on the background and skills of others in the region to help them, but it is their job to put together the team that can give them the help they need. Without this sense of personal responsibility it is easy to let public involvement slip into being a staff responsibility. When this happens the decision-maker becomes isolated from public comment, leaving the staff person in the position of trying to "translate" to decision-makers how the public feels. This is unworkable and almost inevitably results in public dissatisfaction with the public involvement process.

The Regional Director's Role:

The Regional Director is responsible for the public involvement program in each region. The Regional Director is responsible for approving or disapproving public involvement plans, maintaining and evaluating the adequacy of all public involvement programs within the region. The Regional Director is also responsible for staffing, training, and funding for public involvement programs within the region. Finally the Regional Director must also submit an annual report to the Commissioner, describing and evaluating public involvement programs in the region. The Commissioner will use these reports in carrying out his responsibility to evaluate the adequacy of WPRS' entire public involvement program.

Staffing Within the Region:

Staffing for public involvement within the region is at the discretion of the Regional Director. However, consistent with the policy that public involvement is a managerial rather than a staff responsibility, it is assumed that staffing will be accomplished by hiring or training individuals within each function or program area to conduct public involvement programs in those areas, assisted by staff specialists as needed. This means that expertise for public involvement will be spread throughout the organization, rather than clustered within a single staff unit. This is essential if public involvement is to be a way of doing business.

The Regional Public Involvement Coordinator's Role:

With public involvement expertise and programs spread throughout the organization, there will be a need for coordination of programs and exchange of information between programs. For this purpose the Regional Director will designate and supervise a Regional Public Involvement Coordinator. Where in the organization this person is located and whether or not this person has other duties as well, is at the discretion of the Regional Director. This individual is not responsible for and should not conduct the Region's public involvement program. That is the responsibility of the Regional Director and managers with program responsibility. Rather the coordinator's role will be to provide staff assistance to the Regional Director, and coordination of public involvement programs within different organizational units. While each Regional Director is free to define this staff assistance as he wishes, examples of responsibilities the Regional Public Involvement Coordinator may be assigned include:

- Consult with program managers to assist the Regional Director in identifying upcoming issues requiring public involvement programs.
- Develop mechanisms to ensure the transmission of information regarding public involvement strategies, techniques, successes or failures across organizational lines within the region.
- Coordinate training and professional development activities for individuals within the regions who will be conducting public involvement programs.
- Assist the Regional Director in preparing an annual report evaluating the adequacy of public involvement activities in the region.
- Coordinate with the Public Involvement Officer for services needed from the Denver Public Affairs Service Center, or the Commissioner's Public Affairs Office.

The Assistant Commissioner's Role:

The Assistant Commissioners for Administration, Planning and Operations, and Engineering and Research are responsible for assisting the Commissioner in implementing public involvement programs within their functional areas. The Assistant Commissioner for Engineering and Research has the additional responsibility of informing the appropriate Regional Director when technical or design decisions will significantly change project impacts, requiring additional public involvement. The public involvement programs conducted to review such technical or design changes are a regional responsibility. Managers who report to Assistant Commissioners rather than Regional Directors will have similar responsibilities for public involvement in their program areas as do line managers reporting to Regional Directors.

The Public Involvement Officer's Role:

The Public Involvement Officer's role is the national equivalent of the Regional Public Involvement Coordinator. The Public Involvement Officer will provide staff assistance to the Commissioner, and provide coordination and information exchange between the regions, E & R Center, and Commissioner's office. Duties which the Public Involvement Officer will perform include:

- Provide mechanisms for exchange of information regarding public involvement approaches, techniques, successes and failures across organizational lines.
- Coordinate, in cooperation with the Training Officer, and in consultation with the Regional Directors, the training and professional development of personnel requiring public involvement skills.
- Identify areas of needed program development in public involvement and develop study programs to meet those needs.
- Advise the Commissioner on areas of needed policy or guidance regarding public involvement activities.
- Coordinate preparation of media and public information materials that will be utilized on a national basis.

The Commissioner's Role: The Commissioner is, of course, ultimately responsible for the entire program. He/she is responsible for establishing the policy directions and guidelines for WPRS' public involvement program. But the Commissioner also has several specific responsibilities in the public involvement program. First, the Commissioner is responsible--in a manner comparable to the Regional Directors on regional issues--for developing and evaluating the adequacy of

public involvement programs covering the development of WPRS policy. Like the Regional Directors, the Commissioner will have to insure the hiring, training, and professional development of staff within his office with the skills needed to conduct these programs. Another specific responsibility of the Commissioner is to conduct an annual evaluation of the adequacy of WPRS' public involvement effort. The Commissioner will prepare an annual report to the Secretary evaluating WPRS public involvement programs.

Public Involvement Teams:

Several regions have developed public involvement teams as a manner of ensuring coordination between public involvement programs in various organizational units. In some regions, the "team" consists of division chiefs and project managers who periodically meet to develop recommendations to the Regional Director regarding programs that may require public involvement programs in the future, as well as the adequacy of existing programs. In other regions the "team" consists primarily of those people who have specialist skills in public involvement in their own functional areas. Past history with public involvement teams, prior to the designation of Regional Public Involvement Coordinators, is varied--very good in some cases, indifferent in others. Teams can be an effective means of communication and coordination. Ineffective teams, however, can also be a way of avoiding responsibility. The role of Regional Public Involvement Coordinator was established to have one person clearly responsible for coordination. It should be stressed, however, that the Regional Public Involvement Coordinator's job of coordination may be effectively and substantially accomplished through an effective and committed Regional Public Involvement Team. The formation and composition of a Regional Public Involvement Team is at the discretion of the Regional Director.

SKILLS NEEDED IN PUBLIC INVOLVEMENT:

There are a substantial number of skills needed in public involvement. It is an unusual person who would possess all the skills and knowledge needed, so, whether or not there is a Regional Public Involvement Team, most public involvement programs are a team effort. The skills that will be needed in a public involvement program include:

1. Professional Competence in Program Area: To be credible, high professional competence in the program area under discussion is necessary. Like the other skills, this competence does not have to be possessed equally by everyone involved in the program, nor is it essential that the program leader be the person who possesses the highest competence in this area. But professional competence in the technical area must be visible in the individual or team conducting the program.

2. Interpersonal Communication Skills: One major skill which is required is the skill of listening to public concerns in a way which communicates understanding and empathy. It is equally important to be able to communicate one's own feelings and ideas clearly, and in ways that minimize defensiveness or negative reaction on the part of the public.
3. Public Speaking Skills: This is not essential if the public involvement program does not include meetings or presentations to groups. But since most public involvement programs do involve meetings and presentations, someone within the team must have the ability to make clear, interesting presentations.
4. Meeting Leadership Skills: Since meetings are such a part of public involvement, another essential skill within the team is effective leadership of meetings. The skills of leading large public meetings, such as hearings, are largely a matter of personal presence and public speaking ability. In small meetings and workshops, there is much greater emphasis on personal communication skills and an understanding of group dynamics.
5. Team Leadership Skills: Because so much public involvement is done in teams either of WPRS employees, or including other agencies like the U. S. Fish and Wildlife Service, Corps of Engineers, state water agencies, irrigation districts, etc., the skills of leading small work teams are particularly important. These skills include both interpersonal communication and team leadership skills. Because team leaders typically have few, if any, organizational controls over the other members of the team, the team leader must also have the skills necessary to get team commitment and motivation necessary to meet target dates, etc.
6. Use of Public Involvement Techniques: Within the team there must also be knowledge about the available public involvement techniques, how they can fit together in an overall program or strategy, and how to implement these techniques.
7. Writing Skills: Throughout every public involvement program there will be a need for publications which will inform the public of the alternative courses of action. These publications must be written in simple, everyday language, understandable to the average citizen. These attributes are not characteristic of many WPRS reports, so the automatic assumption that someone who has written reports before can write for the public is often an invalid assumption.

8. Public Information Skills: Since public involvement activities need to be publicized and the public informed of alternative courses of action via newspapers, radio, and television, there is also a need for skills within the team of working with the media. This requires a knowledge of how the media work, how to disseminate information through the media, and how to present information to the media in a manner which is newsworthy.
9. Graphics and Publications: Because much of the communication to the public is likely to be in the form of publications, it is also important to know how to design and produce publications that are attractive and interesting to the public.
10. Knowledge of Environmental Requirements: On all actions carried out under NEPA, a knowledge of the procedures and requirements of NEPA is also essential.

WHERE SKILLS ARE LOCATED IN THE AGENCY

As indicated above, it is unusual that all these skills would be possessed by a single individual. As a result these requisite skills are likely to require assembling a team drawn from throughout the organization. A short synopsis of key people in the organization who might possess these skills or be able to identify people who have them is provided below:

Public Involvement Coordinator - will be able to identify those people within the organization with knowledge in the use of public involvement techniques. He/she may also be aware of people with skill and experience in leading public meetings.

Public Affairs Officer - will be able to provide the necessary public information skills, and knows where graphics and publication skills are located.

Training Officer - will be able to identify individuals who have received specialized training in interpersonal communication, team leadership or meeting leadership. The Training Officer can also inform you of available training opportunities in these areas.

Regional Social Scientist - will have skills in the design of response forms, summary of public comment, and identification of public values. The Regional Social Scientist may also have training in group dynamics and interpersonal communication, although this is not universal.

Environmental Officer - will have knowledge of the procedures and requirements under NEPA.

As each organizational unit becomes more active in public involvement, it is anticipated that individuals throughout the organization will receive sufficient training and experience so that many of the skills now possessed by these specialists will be more widely distributed throughout the organization.

TRAINING OPPORTUNITIES

The Regional Training Officer, the Regional Public Involvement Coordinator or the WPRS Training Officer can provide information about training and development opportunities in all of the skill areas described above. Many of the skills--such as interpersonal communication, meeting leadership or team leadership--have application far beyond public involvement programs, so may be a part of other management development activities. These training opportunities are also designed for different levels of skill requirements. At least three levels of expertise exist that require different degrees and types of training: direct skill application, strategy development, and policy development. The levels of expertise identified are: operational level, middle management level, and upper management or executive level.

<u>Levels</u>	<u>Knowledge and Skills</u>
I. Operational level	Direct application of skills in: <ul style="list-style-type: none"> A. Interpersonal communication B. Conducting meetings and workshops C. Utilization of alternative public involvement techniques D. Perspective or overview of strategy development
II. Middle management level	<ul style="list-style-type: none"> A. Strategy development B. Understanding of public involvement skills C. Perspective or overview of policy development and review
III. Upper management or executive level	<ul style="list-style-type: none"> A. Policy development and review B. Understanding of strategy development C. Perspective or overview of public involvement skills.

The training programs available are designed to respond to these different levels of need.

CHAPTER 12: THE ROLE OF THE DECISION-MAKER

In earlier chapters it has been stressed that demands for public involvement have arisen in response to concerns that not all groups have been provided equal access in decision-making. Typically a corollary to this, is a concern that all groups be provided equal access to the decision-makers. This immediately raises the question of what is the appropriate role of decision-makers in public involvement programs, and even more basic, who are the decision makers.

IDENTIFYING DECISION-MAKERS:

The ultimate decision-maker on any WPRS decision may be the Commissioner, the Assistant Secretary, the Secretary, the White House, or even the Congress. But Water and Power Instructions make it very clear that recommendations to these ultimate decision-makers are in and of themselves significant decisions, and subject to public involvement. The problem is that in a large bureaucracy, decision-making does not just happen in one place. People in the middle echelons of an organization may feel they only have the authority to make recommendations, but people at the top of organizations often feel their decisions are substantially shaped by the staff work that is already done before the decision reaches them. Often "the decision" is really the outcome of numerous smaller decisions made at a number of organizational levels.

From the public's perspective, however, the decision-maker is usually "The Boss" in the geographical area affected by the decision. If the decision involves regional considerations, then the Regional Director is most likely to be perceived as "The Boss." If the decision involves the operations of a project, then the Project Manager is likely to be perceived as "The Boss," and therefore the decision maker. If decisions involved only a single technical specialty, then the Division Chief who heads that particular specialty may be perceived as the decision-maker.

PUBLIC INVOLVEMENT AND DECISION-MAKING STYLES

The logic of citizen participation tends to support the idea of decentralized decision-making, with the person dealing with the public also the person responsible for the decision. The reason for this is that if there is a clearly defined consensus which develops out of the public involvement effort, then a decision is made that appears to overrule this consensus, the public feels betrayed and the fairness of the decision-making process is questioned. This poses something of a dilemma for public involvement because there are clearly times when a local consensus may be at odds with national policy or direction. In such a case an effort should be made to include representatives of the national groups supporting the policy in the public involvement, so that local

people hear and understand what the national concerns are. But nevertheless occasions will arise when decisions do have to be made which go against apparent local feelings. As a general rule, however, decision-makers should be extremely thoughtful before making decisions that contradict a clear consensus that has been arrived at in a public involvement program. Not only does such decision-making bring the public involvement process into question, but it tends to undermine the relationship of your staff on the ground with that local public.

In pragmatic terms, decisions tend to "count" when they represent a consensus of all major parties interested in an issue. Decisions can be made relatively close to the field if an effort is made at a field level to bring all parties together to resolve controversy. But whenever some parties feel left out of the decision, they will inevitably push the decision on to the next highest level hoping to be able to win at that level. This principle extends not only to individuals and interests outside the agency, but is also true internally. If you are able to get a consensus of all the various parts of the organization then the chances of a higher level decision-maker overruling you are relatively modest.

One danger does occur if the decision-making style within one part of the organization is highly authoritarian. There is a fundamental values conflict between classic organizational values of efficiency, economy, control and the fundamental egalitarian premise of democracy which demands equal participation in decision-making, equal access to information, etc. The reality is that the management style of many bureaucracies is not based on democratic principles, yet at the same time members of the bureaucracy are being asked to go out and deal with the public in a democratic way. Not only does this anomaly make the job of the person who is running the public involvement program particularly difficult, but it often results in major problems in attempting to arrive at any consensus with the public if the decisions in the organizations are being made in such a way that the information filtered by the public is either ignored by the decision-maker, or so filtered as it passes through the bureaucratic layers that it reaches the management in a watered-down form which has little impact. The result is that the public involvement program is often caught in a position of being "unable to deliver" because people at higher levels in the organization do not make decisions in a consultative manner.

Another problem occurs that if decision-making is located too many organizational layers away from the public involvement program, so that the decision-maker really doesn't deal with the emotional reality of the public's sentiment. A part of the public's message is always the intensity with which it feels certain things. When reading a digest or abstract of a number of highly controversial comments, it is easy for this intensity to become distant and easy to dismiss. For this reason it is important that decision-making be low enough in the organization that decision-makers come in contact with the various interests, or that decision-makers make an effort to occasionally sit across the table from a group of real live publics, in order to understand what public involvement is really about.

EMPHASIS ON THE DECISION-MAKING PROCESS NOT JUST THE DECISION

Increasingly the role of "the decision-maker" in large bureaucracies is shifting from being the person who makes the decision, to being the person who creates a decision-making process which produces some level of consensus. In particular, if a decision-maker is located several organizational layers away from the people responsible for the public involvement program, it is imperative that they review the decision-making process detailed in the public involvement plan and provide for necessary review points so they can react to the progression of public involvement effort. It is also essential that they identify in advance any conditions or constraints which should govern the public involvement program, so that they do not find themselves imposing these constraints at a later date, causing the public to feel misled. Because of the risks involved in overruling local sentiment as determined in consultation with the public, it is necessary for the decision-maker to design processes which insure his/her comfort with how the decision is being made. A part of this comfort includes insuring that the process does not create undue expectations on the part of the public without understanding the necessary review processes that will take place, and insuring that all points of view--possibly including non-local views--are included in the process.

DECISION-MAKER'S ATTENDANCE AT MEETINGS

As mentioned earlier, it is desirable that decision-makers deal directly with publics from time to time, particularly on highly intense issues. Without this personal involvement it is easy to become isolated from public comment and not appreciate its emotional intensity. However the increased amount of WPRS public involvement means that Regional Directors, Assistant Commissioners and other decision-makers with numerous programs reporting to them are going to be increasingly unable to personally participate in large numbers of public involvement meetings. There is little question but that the public likes to be heard by "The Boss," and so prefers public meetings where they have an opportunity to interact with the decision-maker. However this in itself is a leftover from a time when the emphasis was primarily on the decision-maker rather than the decision-making process. As the public is able to see clear connections between their participation in public involvement programs and decisions, the need to always interact personally with the decision-maker will undoubtedly lessen.

As indicated in the chapter on conducting meetings, the fact that the public wants to talk to "The Boss" does not mean that it is necessary that "The Boss" always be the person who conducts the meeting. It may be far more useful, in fact, for the decision-maker to open the meeting, announce that he or she intends to listen very carefully to the public comment, and turn the meeting over to somebody else. This creates a situation where the public knows their comments will be heard by the decision-maker, and at the same time puts a person in charge of the

meeting whose role is clearly related to effective meeting leadership, rather than any position of status or rank.

As indicated earlier, with the increased number of meetings that are likely to occur as WPRS extends its public involvement activities in other functional areas, the likelihood of senior officials attending all meetings will become a practical impossibility. In establishing priorities on which meetings should be attended, the decision-maker should bear in mind that the most critical meetings are when alternatives have been identified, but prior to agency decision-making. The decision-maker may also want to attend other meetings where the intensity of public feeling is particularly high, so that the decision-maker can understand in a very direct, personal way what the public's concerns are.

PROVIDING A MODEL OF OPEN AND VISIBLE COMMUNICATION

While the decision-maker cannot always participate directly with every public, the decision-maker does play an essential role in establishing a climate in which dialogue between the various publics is encouraged and rewarded. One way the decision-maker can encourage this kind of communication is to model this behavior by meeting periodically with representatives of the full range of interests to informally discuss issues in concern. In addition, the decision-maker may want to attend--and encourage his staff to attend--the meetings of the various interest groups and establish personal communication with representatives of these various interests.

In the past there have been instances where decision-makers clearly provided more access to WPRS's historic constituency, than to other groups. By virtue of his/her own behavior, the decision-maker made it a question of loyalty to establish strong communication links with these groups. There is no way that effective public involvement can work in such a climate. Effective public involvement requires a problem-solving climate in which dialogue with all the various publics is encouraged and rewarded.

PROVIDING A MODEL OF PROBLEM SOLVING IN MANAGEMENT STYLE

As indicated earlier there is a built-in stress between relating to the public in a highly participative problem-solving relationship while operating in organizations that are hierarchical and emphasize unilateral decision-making authority. If the internal management style of the organization does not stress mutual problem solving, then there is little training and modeling of skills necessary for staff working with the public in a participative style. In addition, if there is little recognition of the values of participation in internal decision-making, it is hard to convince staff that management really supports those

values in relationship to the public. On the other hand, if there is an emphasis on mutual problem solving internally, then public involvement becomes a natural expression of the attitudes and skills already existing in the organization.

CONSIDERING THE IMPACT OF SCHEDULE DEADLINES AND BUDGET CONSTRAINTS ON PUBLIC INVOLVEMENT

Because public involvement is a "new ball game" for many decision-makers, they may not always remember that public involvement usually requires additional time and money. The economy in public involvement comes from the greater commitment and increased likelihood of implementation, but often entails increased front-end costs. When a decision-maker neglects to consider these additional time and budget constraints it may simply be because he/she is still not entirely reoriented to the new requirements of public involvement, but it may be read by staff as a lack of commitment or support to public involvement. To communicate support for public involvement requires a demonstrated awareness that public involvement does have an impact on budgets and time schedules.

THINGS TO LOOK FOR IN A MANAGEMENT REVIEW OF PUBLIC INVOLVEMENT

There are several characteristics of effective public involvement that a decision-maker should consider when evaluating the design of public involvement programs. Many of these general principles are outlined in previous chapters, but a few essential points are underlined below.

- a. Insist on a Link Between Public Comment and the Decision Outcomes. If public involvement is worth doing at all it must be done on the assumption that the comment of the public will have a guiding influence on the decisions. Yet in those cases where public involvement is tacked on to pre-existing decision-making processes, technical studies often operate rather independently of the public comment. As a result the expenditure of funds and time to obtain the public comment produces little of value, while the public feels betrayed because their participation produced little direct impact. The decision-maker can create a climate for establishing links between the public involvement and the decision-making by orienting his/her review towards the question, "How did the public comment shape this decision or recommendation?"
- b. Examine the Range of Publics Which Have Been Included. One of the most typical flaws in designing public involvement programs is the failure to include significant publics who have a major stake in the outcome of the

decision. When they do discover that a decision-making process is taking place they then feel resentment towards the agency for excluding them. This reaction may continue to dictate their response to the entire decision-making process. As a result it is imperative to systematically target those publics that are most likely to be affected in terms of economics, use, or values and insure that they are aware of the process which is taking place. Often this simply means that the full range of organized groups is invited to participate. In some cases, however, it may be necessary to involve an identifiable interest which is not yet organized, e.g., summer home owners along a stretch of river. In such a case the agency may have to design an aggressive program of reaching these people and assisting them in getting organized so that their representatives may speak for them in the process. The agency always looks better telling them of their need to be involved rather than explaining why they were not involved earlier. It is very appropriate for decision-makers to question staff to insure that a careful analysis has been made of the potentially impacted publics, and ensure that programs are designed to insure the participation of the full range of publics. Once the agency has clearly and demonstrably provided the opportunity, then it is that group's choice whether or not to participate.

- c. Check for Visibility Mechanisms Throughout the Process. Any prolonged decision-making process may be very "public" at some points and highly technical and low profile during the others. Yet if the decision-making loses visibility during these low-profile periods, it may also lose credibility. People trust what they can see. The decision-maker may be able to pinpoint those points in the decision-making process where the agency is very busy but the public could lose sight of what is occurring.
- d. Role Play the Various Interests as Part of Management Reviews. Many of the problems of public involvement can be avoided when agency staff learn enough about the feelings of the different interests to be able to "role play" the different groups' reactions to upcoming events, e.g.: "If I were an environmentalist I would worry that this project would encourage further development." The decision-maker can encourage this kind of thinking by asking staff questions such as: "How would you likely feel about this issue if you were a summer home owner (fisherman, developer, etc.)?" This kind of "role play" cannot substitute for the actual participation of these groups, but it can sometimes prevent unusually foolish decisions that will create an adversary relationship with these interests.

- e. Insist That Presentations and Brochures Be in the Public's Language. Often the combination of technicalese and agency lingo make agency presentations incomprehensible, and reinforce the image that the agency is trying to put up barriers to public comprehension. Because the decision-maker is often an organizational layer or two away from the people preparing these presentations he/she may be able to pinpoint particularly blatant cases and insist upon translation into language the public (let alone the decision-maker) can understand.

CHAPTER 13: GUIDELINES FOR WORKING WITH OTHER AGENCIES

Public involvement includes the participation not only of various interest groups and citizens, but also numerous other federal, state and local agencies. While there are various existing legal requirements and agreements established between the various agencies, this chapter attempts to supplement these agreements with some suggested approaches for relating to other agencies regarding public involvement.

The Agencies Are Publics

First of all, other governmental agencies should be thought of as "publics" just as much as the various interest groups or individuals who participate in public involvement. Like any public, they are likely to feel resentful and put upon if they are not consulted, or they are included too late in the decision-making process. Like other publics they can be extremely helpful in providing information and ideas when they are consulted in an effective manner.

The first step in working with other agencies is to be sure that you have identified all agencies that could have an interest in the subjects being considered. The A-95 Interagency communication process provides one level of communication among agencies, but should be considered a minimum program rather than a complete effort at involvement. Instead, at the beginning of a public involvement program, you should sit down and systematically target those agencies which are likely to have an interest in the subject, or feel left out if they are not included in the program.

A second level of analysis is to distinguish those agencies whose support of any conclusion reached in the public involvement program is essential politically to implementation of the program, from those agencies which need to be kept informed but are not likely to be major actors in the decision itself. Issues that may have substantial impact on wildlife, for example, are not likely to be resolved without the acceptance of the decision by state and federal fish and game departments. A decision that has a substantial impact on land use patterns is unlikely to be accepted unless local government is supportive. Which agencies are essential for which decisions changes from decision to decision.

Mechanisms for Involvement of Other Agencies

The reason for identifying different levels of involvement among the various agencies is that you may want to offer them different kinds of involvement in your public involvement program. Examples of the different levels of possible involvement are shown below:

1. Membership in an interagency team. It is an increasingly accepted practice to include other agencies who are intimately involved in a decision as members of an interagency team which either directs the study as a whole, or at least directs the public involvement aspects of the study. This practice is particularly prevalent on major planning studies since the Principles and Standards encourage the use of multi-disciplinary multi-agency teams. In effect WPRS shares some of its decision-making responsibility in return for the emotional commitment and acceptance of the study which comes from participation by other agencies.
2. Membership on Technical Advisory Committees or Task Forces. It is also possible to provide other agencies opportunities to participate as members of an advisory committee or task force. Some larger planning studies, for example, have utilized both citizens' advisory committees and technical advisory groups which include representatives of all the other governmental agencies at federal, state and local levels. The difference between the two kinds of groups is that citizens are consulted primarily on the values choices--the way things ought or should be--while the technical groups are consulted also on the adequacy of the study procedures and technical studies themselves.
3. Review at Key Points. Provision is made in WPRS public involvement guidelines for several key points at which consultation should take place between WPRS and other agencies. WPRS guidelines call for consultation with other agencies in the development of a public involvement plan. The review of the public involvement plan, once prepared, also provides a natural point for consultation with other agencies. WPRS guidelines also indicate that if a public involvement program lasts over a period of a number of months, there should be review points at which time the public involvement plan is updated and altered as needed. These review points again provide another opportunity for consultation with other agencies. In the case of major decisions, the publication of an EIS may be required, and the EIS process also establishes a number of key points for consultation between agencies.
4. Participation in Key Public Involvement Events. An additional method for inclusion of local agencies is to solicit their participation in major public involvement events. For example a local governmental entity may be asked to co-lead, make a speech at, or otherwise participate in a meeting regarding issues that would be of

interest to that local agency. It might be desirable, for example, for a local governmental entity to actually conduct a public meeting at which WPRS representatives addressed issues of concern to that local area. While there is some loss of control over how the meeting is run, often attendance is greater when it is sponsored by a local governmental agency than when it is sponsored by WPRS. In addition the local agency's participation in such a meeting usually results in increased commitment and understanding on their part for the study which is being conducted. Inclusion of other agencies in key public involvement activities could be in conjunction with one of the other forms of involvement outlined above, or could be a separate method of including other agencies.

The Political Significance of Other Agencies

One of the first values in working with other governmental agencies is that they are an important source of information about both the technical details of a subject and public preferences. Beyond this they play a significant role in affecting the overall political climate surrounding the decision-making.

Local units of government such as city councils or county commissioners or supervisors are particularly important to a study because they represent an opportunity for obtaining the preferences of a general public, rather than those only of single interest groups. There is no guarantee, as has been discussed in earlier chapters, that local units of government speak for an absolute majority of their constituency, but it is true that they at least have to balance out a number of objectives, while special interest groups often only consider a single purpose or objective. Both kinds of information are important in the decision-making process, but the perceptions of local government are an important balance to perceptions of single interest groups.

In many cases state and federal agencies see themselves as acting on behalf of a constituency, and are to some extent more like a single objective interest group, rather than a representative of the values of everybody. For example, state and federal fish and game departments, environmental protection agencies, etc. perceive themselves as acting on behalf of a particular interest, and do not see their roles as balancing all of the various needs of the community so much as protecting one resource within the situation. If the support of these agencies is necessary for implementation of a decision, it is strongly advisable to incorporate these agencies using some mechanism such as an interagency management team or technical advisory group so that they come in contact with the feelings and needs of all the various interests. By simply having these agencies review documents generated by WPRS, you are

permitting them to consider only their one special interest without any understanding or involvement with the needs of other groups.

A third reason for involving other agencies in public involvement efforts is that the opinion of other agencies regarding the adequacy of studies being conducted contributes to the overall reaction of the public to the decision once it is announced. Many individuals and interest groups rely on the "reputation" of a study reported to them by other local, state and federal agencies as a basis for reacting to any decision. If the reputation of a study is very good among the various agencies, then interest groups are more likely to accept the technical findings which led to a decision. If agencies are either unaware of studies or have formed an impression that studies are not being adequately conducted, then the various interest groups are far more likely to challenge the study outcome. One obvious method for getting the support and understanding of other agencies, so that they play this role of establishing a positive reputation for the study, is to include them in the formulation of study procedures, scoping of studies, formulation of public involvement program, etc. In the case of controversial studies, it may be desirable to establish a task force or some small study group among those agencies most intimately affected to review all technical studies in some detail to insure their adequacy. As this smaller group of agencies reports out to other agencies their confidence in the studies, the reputation of the study as being conducted properly is established. Obviously one implication of including other agencies in the formulation of study procedures is that it may be necessary to negotiate procedures different from those initially anticipated by WPRS.

Problems Working with Other Agencies

Consultation with other governmental agencies is sometimes a frustrating process, just as is consultation with any public. Among the problems most frequently reported in dealing with other agencies are: 1) Failure to review materials within stated time limits, 2) Participation by lower level staff in early stages of the public involvement program, only to have commitments made by this staff overruled within their organization as the process reaches the decision-making stage, 3) A confrontational style adopted by some single-purpose agencies to insure maximum benefit for the particular interests they represent.

Again your response to these problems should be based on an evaluation similar to that you would make if an interest group or significant individual engaged in the same behavior. If another agency fails to review documents within established time limits, you will have to make an assessment of how essential their comments are to making the decision. If they are a critical actor in the decision process, then you may simply have to wait, frustrating though it may be. If they are an agency that is only peripherally involved, then it may be safe to proceed without their input. The most effective strategy in dealing with all three of these problems appears to be to provide methods by which you involve these agencies in conducting the public involvement program.

As agencies feel more responsible for the public involvement program itself, they are more likely to be concerned with time limits, commitments made, etc. Also, as indicated earlier, one moderating influence on all agencies is for them to experience personally the needs and values being expressed by the entire public, not just the specific constituency which they represent. It is also often important that agencies which believe they represent a constituency be included in consultations with interest groups who also represent that constituency, so that the agency is acting on behalf of the actual expressed needs by that constituency, rather than their guess or surmise as to the needs of the constituency. Having to deal with the emotional reality of conflicting opinions is often the only protection against other agencies adopting a self-righteous and confrontational style.

Finally the best possible advice in dealing with other agencies is a simple variation on the Golden Rule: The best way to act towards another agency is the way you would like to be treated if that agency were making a decision that you saw having an impact on WPRS. Stopping for a minute to determine how you would like to be treated in a comparable situation may prove the best single guide to how you should respond to behavior of other agencies that is--at times--frustrating.

CHAPTER 14: DESIGNING PUBLIC MEETINGS

Whenever people work together it involves meetings. Particularly in public involvement there are many kinds of meetings from small group sessions to plan the public involvement program all the way up to meetings with several thousand participants jammed in a high school auditorium. Meetings vary in formality from kitchen meetings or coffee klatches in people's homes, all the way to formal hearings with a hearing officer, court reporters, registration of speakers, etc. As a result, knowing how to design effective meetings, appropriate to the situation, is an essential skill in public involvement.

This chapter describes the general principles to follow in selecting a meeting format, including such issues as type of meeting, seating arrangements, etc. Chapter 16 provides guidance on meeting leadership. Chapter 15 describes small group and workshop techniques which could make meetings more effective.

TYPES OF MEETINGS

There are many types of meetings--far more than most meeting designers realize. In the past most agencies, including the Water and Power Resources Service, have relied primarily on the public hearing, which is one limited type of meeting, for all occasions. This is one reason why many people view public meetings as ineffective. The formal public hearing is useful only in those cases where actually prescribed by law, such as in the review of environmental impact statements. But even in those situations, the formality of the public hearing is largely a matter of tradition rather than legal necessity. The legal requirements for a public hearing include: 1) A hearing officer--who has considerable freedom how he/she conducts the meeting, 2) legal requirements for public notice--which should be met or exceeded for all public meetings, not just hearings, and 3) a verbatim transcript--which could be transcribed off several tape recorders if needed. In other words, most of the real limitations in meeting design--even with hearings--are a result of habit or tradition rather than restrictions. WPRS employees are encouraged to explore alternative meeting formats when those formats would best serve the purpose of the meeting and the audience.

Some of the basic types of meetings which can be considered include:

1. Public Hearings: These are formal meetings with a hearing officer, legal requirements for public notice, and a verbatim public record usually maintained by a court stenographer. Participants make formal public statements, often accompanied by written submissions, with little or no interaction between the various participants. Because public hearings often draw a large crowd, leaders of various interest groups frequently feel obliged to make emotional defenses of their groups' positions, often taking positions more extreme than the leader would express privately or in a small group.

2. Large Group Format: There are several other categories of large meetings (50-2000 people) which are distinguished from the formal public meeting by less formality and more opportunity for interaction between participants. Some of the other formats which are frequently used include:
 - a. Briefing/Question and Answer: This meeting begins with a presentation by agency officials, and/or representatives of other agencies. Following the presentation, time is allowed for questions and answers between the audience and agency representatives.
 - b. Town Meeting: The town meeting is another traditional meeting format, with members of the audience discussing and debating to the entire audience. The big difference between the town meeting and a public hearing is the degree of formality, with more interaction allowed between speakers at a town meeting, and fewer procedures. In the town meeting, also, the speakers usually address the audience, rather than agency representatives, although this is not mandatory.
 - c. Panel Format: An alternative method of creating interaction is to select a panel of representatives of different viewpoints who discuss an issue from their point of view, followed either by questions from the audience, or small group discussions. One variant of the panel format which is usable if there is complex technical information is the "Meet the Press" format. In this format a group of reporters is pre-selected to question the technical experts just as they are in the "Meet the Press" television program. The technical experts will make a brief statement, followed by questions from the reporters, followed in turn either by questions from the audience or small group discussions. Since reporters are often skilled interviewers, this often serves to identify the critical issues, and communicate the technical information in a way which is relevant to the public.
3. Large Group/Small Group Format: If real discussion is desired, even if the crowd is large, it is possible to break a large crowd into smaller discussion groups, which then report back to the larger group at the end of the meeting. A typical format for this kind of meeting would be.

- a. A thirty-minute presentation describing the technical background of the study and proposing the question to be discussed in the small groups.
- b. One to two hours of small group discussion.
- c. Reports from each discussion group on their opinions or findings.

The small group discussion provides everyone an opportunity to participate intensively, and the reports back to the large group give some feeling of what was discussed in each of the other groups.

4. Workshops: Workshops are usually held with audiences of no more than 25-30 people. Usually workshops have a specific task or goal to be accomplished, with a "product" generated by the participants. Examples of workshop "products" might be:
 - a. Developing a set of alternative plans.
 - b. Developing a set of proposed contract criteria to reduce noise, dust, traffic impacts from construction in a local community.
 - c. Developing a "scope" of an environmental impact statement.
5. Charrette: This is a very intensive form of workshop, usually held in an effort to resolve differences between all major interest groups. This technique is described in some detail in Chapter 17.
6. Coffee Klatch/Kitchen Meeting: Another form of meeting is to meet in the private homes of people in the local community, with crowds of no more than 15-20 people. Typically these meetings are quite informal, with participants drinking coffee and eating refreshments while discussing the issues. Because these meetings are held in private homes, people are more likely to discuss issues person-to-person, rather than as official representatives of interests.
7. Walk-in Information Sessions: This is a kind of "open house" held in a large facility which will allow for arrangement of displays, models, and personnel. School cafeterias or all-purpose rooms are often ideal. Participants are encouraged to walk around to exhibits, discuss

the exhibits with agency staff strategically located around the room, form discussion groups, or just interact informally. People come and go at will. This can be a pre-meeting technique, with the open-house preceding a more structured meeting, or it may stand alone as an informational meeting.

KNOW THE PURPOSE OF YOUR MEETING:

The single most important thing to consider in designing a meeting is what you want to accomplish by holding the meeting. The design of the meeting must always reflect the purpose, or function, of the meeting.

The first step in knowing the purpose of a meeting is to see how it fits in the overall logic of your public involvement plan. If you have followed the guidelines outlined earlier in this manual you will have selected a meeting as a public involvement technique based on an analysis of the Information Exchange--the information you need to get to and from the public, and the publics you hope to reach. By going back to this Information Exchange you can identify what you want to accomplish in your meeting and design a meeting format appropriate to that purpose. Is the purpose of the meeting primarily to inform the public about a project or proposed action, or is it to gather information, or both? The kind of meeting you select should reflect these different purposes.

In general, meetings serve five basic purposes, or functions. These are:

1. INFORMATION-GIVING:

In this function the agency is communicating information to the public. This information could include the nature of the proposed decision, the issues which have been identified by the agency, the available alternatives or the plan selected by the agency. The agency possesses the information and must communicate it in some manner to the public.

2. INFORMATION-RECEIVING

In this case the public possesses the information, which could include public perceptions of needs, problems, values, impacts, or reactions to alternatives. This function stresses the need of the agency to acquire information held by the public.

3. INTERACTION:

While interaction clearly involves both information-giving and information-receiving, it also serves the

additional purpose of allowing people to test their ideas on the agency or other publics and possibly come to modify their viewpoint as a result of the interaction. With this function it is not the initial information given or received which is critical as much as the process of testing, validating and changing one's ideas as a result of interaction with other people.

4. CONSENSUS-FORMING/NEGOTIATION:

A step beyond interaction is to begin to move towards common agreements. Interaction alone may not assure any form of agreement, but in consensus-forming/negotiation the interaction is directed towards agreement on a single plan by all of the critical publics.

5. SUMMARIZING:

This is the need at the end of a long process to publicly acknowledge the agreements that have been reached and reiterate the positions of the different groups towards these agreements. This function is required both to give visibility to the entire decision-making process which has taken place, and also to form a kind of closure now that the process is ending.

Each of these functions in turn establishes limitations on the kind of meeting format that is possible if the function is to be served. A few of these limitations and implications are shown below:

1. Information Giving: In information giving the information must flow from the agency to all the various publics, so it is appropriate to have a meeting format which primarily allows for presentations from the agency, with questions from the audience. This means that the classic meeting, with one person at the front of the room making a presentation to an audience in rows, may be a suitable format for this function.
2. Information Receiving: When the function is reversed and the need is to obtain information from the public, then having one person stand at the front of the room addressing an entire audience is an extremely inefficient and uneconomical means of obtaining information. Many more comments could be received from the public, for example, if the audience were broken into small groups and comments were recorded on flipcharts or on 3 X 5 cards.
3. Interaction: Interaction, by its very nature, usually requires that an audience be broken down into groups small enough so that there is time and opportunity for

individuals to exchange information and ideas and discuss them all thoroughly. Large public meetings typically provide nothing more than minimal opportunities for interaction. As a result the large group/small group, workshop, or coffee klatch formats are more suitable.

4. Consensus Forming/Negotiation: Like interaction, consensus forming/negotiation also requires intense interaction and usually must be accomplished in some form of small group. In addition, the requirement for consensus formation usually means that some procedure is utilized which assists the group in working towards a single agreed-upon plan rather than allowing simply for an open discussion with no specific product. Some relatively structured format, such as a workshop or charrette, is more suitable for this function.
5. Summarizing: Since the function of summarizing is to provide visibility to the entire process which has taken place, it may again be suitable to use large public meetings as the means to serve the summarizing function. In this way individuals and groups can be seen taking positions and describing their involvement in the decision-making process which has preceded this meeting.

KNOW YOUR AUDIENCE

The other major factor in selecting a meeting format is the audience you anticipate. There are several audience factors that are important:

1. Audience Size: Small group techniques such as workshops, kitchen meetings, etc. obviously only work when you have a small group. It is possible to maintain some of the interaction of small group approaches by breaking a large group into smaller discussion groups for a portion of the meeting. This requires careful logistical planning, however, to ensure that the facility allows this, sufficient tables and chairs are set up for the discussion group, procedures are established for getting reports back from the discussion groups, etc. If audience size requires a large group format, many people in the audience will not speak out because they are intimidated speaking to a large audience. However, many "silent" attendees will participate with written comments if 3 X 5 cards or response forms are provided to everyone, and comments encouraged.

2. Intensity of Interest in the Issue: If people are highly interested in a topic they are more willing to participate in workshops or other meeting formats that encourage active participation of all in attendance. If the topic is of lower interest, then more passive formats may be appropriate. If, however, feelings about an issue sharply divide a community, and there is a potential for unpleasant interaction, then audiences often prefer the formality of a large meeting to the risks of personal confrontation.

3. Familiarity and Comfort with Alternative Meeting Formats: The audience's familiarity with workshops or other alternative meeting formats may also influence your format selection. If leaders of the various interests have participated in successful workshops before, then they may be entirely comfortable with this format. If small group techniques are new and different to a community, then somewhat greater care should be exercised in evaluating its appropriateness for this situation.

If your audience will consist largely of elected officials or dignitaries then you may need to be more cautious in straying from orthodox meeting formats. The risk exists that they may feel it is "beneath their dignity" to participate in any new format.

4. Credibility of the Agency: Be aware that any time you utilize a meeting format that is substantially different from those familiar in the community, your credibility is on the line until it is demonstrated that this new format will be productive. In locations where the Water and Power Resources Service has substantial credibility, this may present little problem. In situations where the Reclamation's credibility is already low, there may be resistance to using anything other than traditional formats, even though you are sure in your own mind that they would produce a better meeting.

In particular, when the audience is substantially antagonistic to the proposed action or WPRS, they may see efforts to break them into small groups as a "divide and conquer" tactic.

SEATING ARRANGEMENTS

The seating arrangements of a meeting are a direct reflection of the type of meeting which you wish to hold. Room arrangements reflect the

relationship between participants. For example, in Figure A one

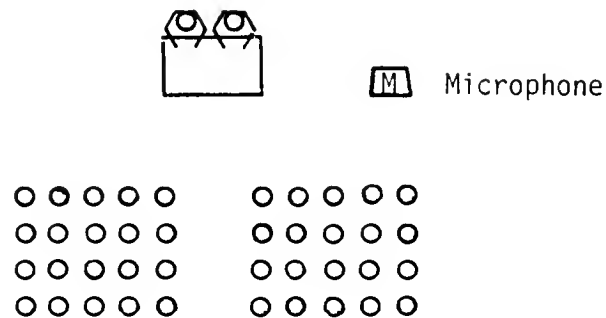


Figure A

can quickly see that the source of all information is the individuals at the front of the room. This seating arrangement establishes a relationship in which all participants talk to the meeting leaders at the front of the room, rather than to each other. As a result, this seating arrangement may be useful and appropriate in a situation where the major function of the meeting is information giving, but if you would like to encourage interaction between participants, then you will want to change this seating arrangement. One alternative would be Figure B., which

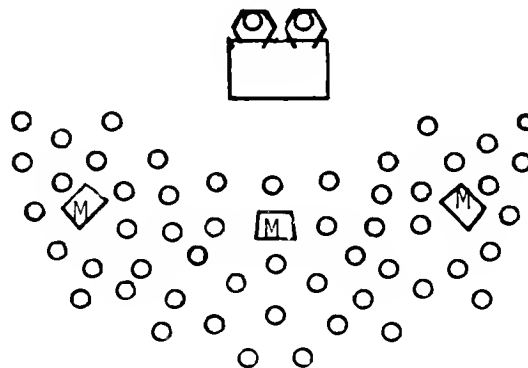


Figure B

allows people in the audience to see each other more easily, and microphones are placed throughout the room so that people do not have to come to the front of the room in order to participate. The ideal arrangements for interaction or consensus forming/negotiation are the nearly

circular formations shown in Figures C, D, & E. The major differences

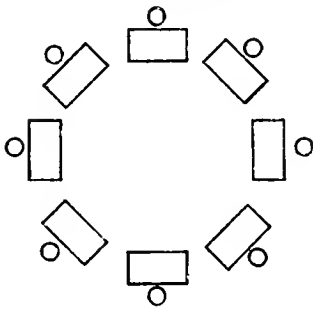


Figure C

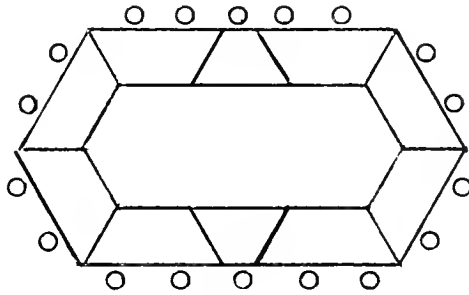


Figure D

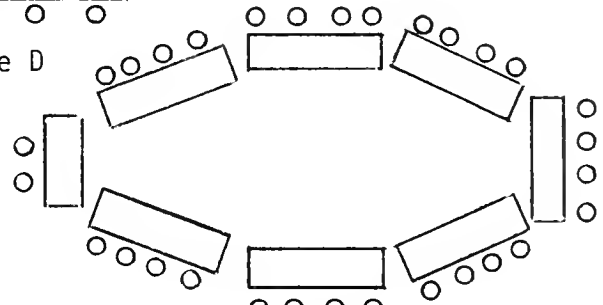


Figure E

between these formations are the number of participants and the kinds of tables which are available. If there are a large number of individuals but you still wish to retain the conditions for interaction, then an arrangement such as that as shown in Figure F. would be appropriate.

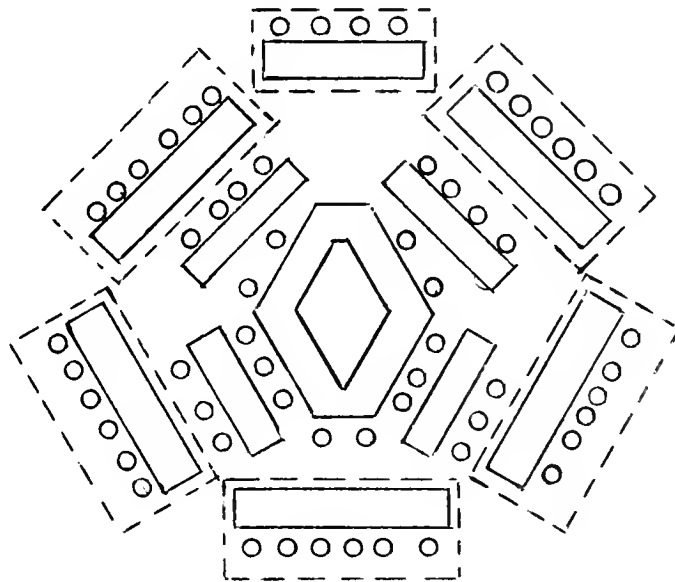


Figure F

Naturally there are numerous variations in all the configurations shown above. These examples simply serve to illustrate that seating arrangements are a significant part of the meeting format. Hopefully these alternatives will encourage you to consider the most appropriate seating arrangements for the type of meeting you wish, rather than adapting the traditional seating format only because it is habitual.

TIME AND PLACE OF MEETINGS

Meetings should be held at a time and place convenient to the public, with the convenience of staff as a secondary consideration. Usually this means that meetings will be held in the evening, although some circumstances will allow for afternoon meetings. If a meeting is aimed primarily at representatives of other governmental agencies or interests, then they may prefer daytime meetings.

One of the first considerations in selecting a meeting place would be whether the facilities are adequate for the meeting format which you wish to utilize. (See section on Seating Arrangements.) You may also want the meeting to be held away from Water and Power Resources Service offices, on "neutral" ground. Other issues which you should consider in selecting a meeting place would include:

- a. Central location
- b. Public transportation access
- c. Suitable parking
- d. Safety of the area.

PRE-MEETING PUBLICITY

If a meeting is aimed at a relatively small group, on an invitational basis, then pre-meeting publicity will be quite limited. But if a meeting is an effort to reach the broad general public, then a major element in the success of the meeting will be the adequacy of the pre-meeting publicity. Among the pre-meeting publicity techniques which you may wish to employ are:

- . Issue a press release/spot announcement.
- . Place an announcement in the Federal Register.
- . Develop a press kit or technical summary for the press.
- . Visit members of the press to arrange for feature stories.

The seating arrangement shown in Figure G. is appropriate for the large group/small group format. The audience first meets in a general assembly

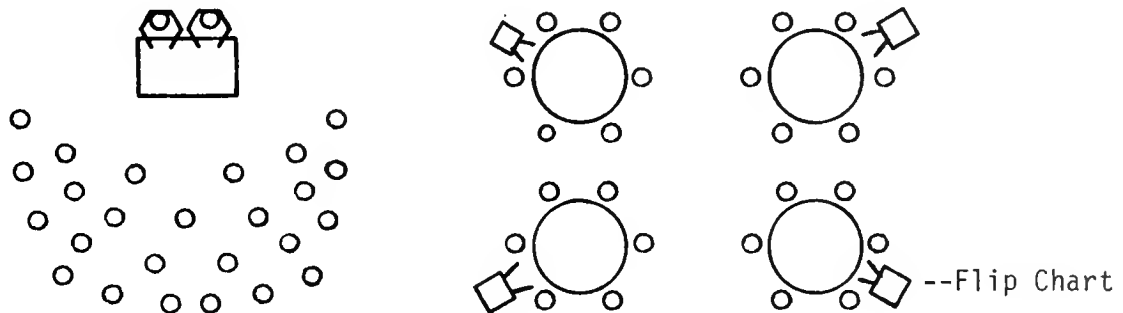


Figure G

in the left of the diagram, and then adjoins to the circular tables for the small group discussions. If no room is available which will accommodate this many tables and chairs, then it may be useful to hold the meeting in a school where the large meeting can be in an assembly hall, with small group discussions in classrooms. An alternative format which can be used when there will be small discussion groups is shown in Figure H. This allows both for small discussion groups as well as a

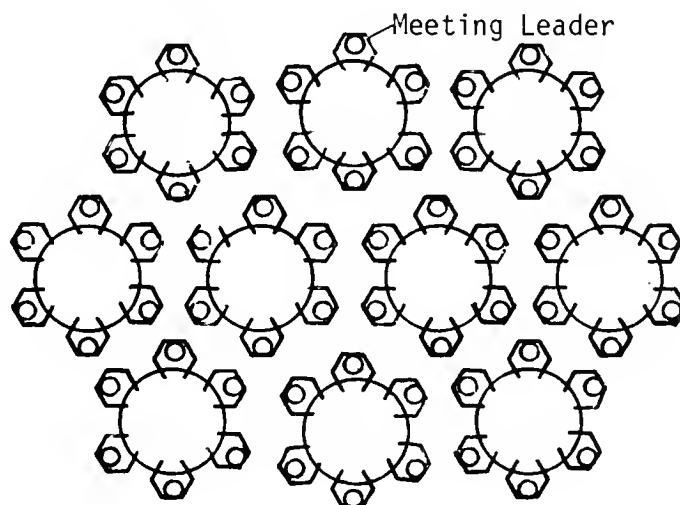


Figure H

general session, with people simply remaining in their seats at the circular tables during the general session.

- Purchase display advertising or radio and TV announcements.
- Have community organizations and interest groups advertise the meeting to their own membership.
- Have a community organization sponsor the meeting.

Your Public Affairs Officer may be able to provide you with other ideas.

MEETING LOGISTICS

There are numerous logistic issues which must be taken care of if the meeting is to be a success. To assist you in identifying these issues, a Public Meeting Checklist is attached at the end of this chapter. This checklist is taken from a guide on effective public meetings which is distributed by the Environmental Protection Agency.*

RECORDING PUBLIC COMMENT:

The sponsoring agency needs to keep a record of the comment that was made in the public meeting, and the public wants to know that its comments are in fact being heard. In a public hearing a court reporter keeps a verbatim transcript, which becomes a formal record of the meeting. However this is a very formal procedure, and most publics will never read the public record (for which there is usually a charge). One of the most effective techniques for both keeping a summary of the meeting, and indicating to a public that they are being heard, is to keep a summary of the meeting on a flip chart. The public is able to watch the summary as it is being taken, and are informed that if the summary is inaccurate they may request changes. If possible, the flip chart sheets are then posted on the wall so that people may see a visible record of the meeting. Agencies that have used this method have discovered that the summary is usually far more helpful than reading a verbatim transcript, and also provides a quick record of the meeting which can be distributed to others as a document of the meeting. If a more complete record is needed, a tape recording of the meeting can also be kept. But experience indicates that if the flip chart summary is well done, the tapes are rarely listened to. One limitation of the flip chart method is in very large meetings where the flip chart cannot be seen. An overhead projector with a continuous roll of acetate might be used as an alternative. The disadvantage to this approach is that the

*Guide 1 Effective Public Meetings by James F. Ragan, Jr., available from U. S. Environmental Protection Agency, Office of Public Affairs, A-107, Washington, D. C.

summary appears on the screen only for a short period of time and then is not visible to the public afterward. A verbatim transcript is still required for a formal public hearing.

PROVIDING FEEDBACK TO THE PUBLIC

One fundamental rule of meetings is to provide feedback to the public on what you heard. One agency even followed their public meetings by sending out a one to two page report entitled "What We Heard." Other agencies have typed up the flip chart summary of the meeting and distributed it to everyone in attendance, as well as other interested individuals and groups, with requests for additional comments or reactions. Other items that should be addressed in this feedback would include:

1. What will be done with the public comment.
2. Any decisions that have resulted from the meeting.
3. Future opportunities for participation in the community involvement program.

CREATIVE MEETING FORMATS

The use of innovative meeting formats does not necessarily mean a better meeting. The essential factor in selecting a meeting format must always be the appropriateness of the meeting format to the purpose of the meeting and the audience. However the tendency to stay with formats that are time-honored and time-worn is so strong that WPRS staff are encouraged to consider innovative meeting formats. In particular the public hearing format should be reserved to those situations where required by law, and even flexibility should be introduced within the legal requirements.

Some examples are provided below which illustrate the creative potential of meetings. Again the point is not to encourage exact replication, but to encourage creative thinking about what can be done with a meeting.

A Televised Public Hearing:

This meeting was conducted by a regional planning agency, presenting an elaborate transportation master plan to the region. Free public service television time was obtained from the local public television station. This also allowed the use of an extensive phone system, used by the public television station for its annual auction, which allows callers to call a single number and be switched automatically to open lines manned by volunteers. Local elected officials presented the plan to the public and then answered questions called in by listeners. All listeners' calls were tape recorded, and their questions or comments became a part

of the hearing transcript. The telephone volunteers would write out a summary of the question, then hold it up so that it would be picked up and delivered to a "sorter." The sorter would categorize the questions, to eliminate duplication, then send question on to the elected officials for answers.

Although the time slot provided for the show was in competition with professional football and a popular comedy show, several thousand phone calls were received. In response to the calls, and with the knowledge of the large audience watching them, elected officials made commitments to change significant elements of the plan.

A Movable Hearing:

A river commission conducted a movable hearing by renting a large travel van and announcing a series of meetings up and down the length of the river through local newspaper ads. On the announced date the van would roll into the town square or park, an awning would be rolled out, chairs would be set up, exhibits erected, and a meeting held. Comments were taperecorded for later inclusion in the transcript. Photos were taken of each meeting. When a final meeting was held at a state capitol, a slide show was presented showing photos of the various meetings and presenting a summary of the comment received. Be sure to note that even this movable hearing met all the requirements of a legal hearing: hearing officer, public notice, and a transcript.

Combined Television and Discussion Groups:

A large (and well-funded) regional planning association wanted to stimulate community dialogue on key issues such as housing, transportation, medical services, etc. Through consultation with an Advisory Group they developed a book of issue papers and scripts for a series of television programs. These books and issue papers were distributed widely through church, education and labor groups. These organizations also assisted in setting up discussion groups. The television programs were broadcast over several local stations. Participants were encouraged to watch the show as part of a discussion group, which would discuss the contents of the program. Viewers were then asked to complete a ballot expressing their preference on the issue. There were many thousands of participants, and the ballots were subjected to a detailed statistical analysis.

A variant of this program was designed for the planning agency of a rural state. Materials were distributed and discussion groups formed through the agricultural agents and various women's auxiliary groups. Television programs were prepared by the public television station, subject to the approval of an advisory committee. Ads were taken on radio and in the newspapers publicizing the TV shows. Program time was actually purchased from the television station, but because it was a rural state was relatively inexpensive. The response forms were published in local newspapers several days before the television show appeared.

A Series of Coffee Klatches

A regional office of WPRS was initiating a re-analysis of a major water project and wanted to know how the "grass roots" citizens felt about the project, not just the organized groups. There was also the feeling that if the study was introduced sensitively it would be accepted, but if not, then the study itself would be controversial. WPRS contracted with the League of Women Voters to set up a series of coffee klatches throughout the study area. WPRS agreed to send a representative every time the League got together a group of 10-15 individuals. Meetings were publicized by local League coordinators, who handled all logistics and arranged for a host or hostess who would hold the meeting in their home. A contract was issued to the League to cover their out-of-pocket expenses. The coffee klatches proved very popular, and altogether 70 were held. The comment received was very helpful, and antagonism to the study was not evident. One caution, however, this approach did put a severe strain on WPRS staff resources, so some upper limit on the number of sessions should probably be established at the beginning.

A "Meet the Press" Briefing:

A company proposing to build a large oil pipeline was conducting a meeting on the need for oil in the mid-western United States before a largely hostile audience. The information to be communicated to the audience was complex, and required full elaboration to be understood. Because the audience was largely hostile there was a concern that early questions would quickly become so emotional they would lead away from explaining the full picture. On the other hand, nobody thought the audience would put up with an extended briefing. The decision was to ask three local reporters, two of whom were known to seriously question the need for the pipeline, to act as a "Meet the Press" Panel. The three technical experts each made 5-10 minute presentations, and then they were grilled by the reporters for nearly an hour and a half. The reporters were well prepared and asked tough but intelligent questions. Following a break, the audience was then invited to ask questions from the floor. Most of the questions were substantially repetitious of those asked by the reporters. Most observers who didn't have a pre-established position felt the meeting was excellent. The technical information got communicated, but the pipeline company officials were subjected to hard, intense questioning.

Small Group Formats:

Additional innovative techniques for small group meetings are provided in the next chapter.

PUBLIC MEETING CHECKLIST

1. Meeting Purpose: _____
2. Meeting Type: ___ Formal ___ Informal
3. Meeting Format: _____
4. Meeting Budget: ___ Prepared ___ Approved
5. Advisory Committee Approval? ___
6. Identifying Potential Participants
 - Interests identified and categorized? ___
 - Organizations and individuals identified? ___
7. Meeting Time: _____ Date _____ Hours _____
8. Meeting Place(s): _____

Central location? _____
 Public transportation access? _____
 Suitable parking? _____
 Safe area? _____
 Adequate facilities? _____
 Rental fee? ___ No ___ Yes \$ _____
 Does the rental fee include

- Lecterns? _____
- Speaker sound system? _____
- Blackboards or easels? _____
- Projectors? _____
- Tape recorders? _____
- Chairs? _____
- Tables? _____
- Meeting room set-up? _____
- Meeting room clean-up? _____

9. Meeting Space
 - Total number of people expected: _____
 - General session
 - Seating arrangement type: _____
 - Adequate space? _____
 - Discussion session
 - Number of small groups: _____
 - Seating arrangement type: _____
 - Number of people in each group: _____
 - Adequate space? _____

PUBLIC MEETING CHECKLIST

10. Meeting Sponsorship

Agency? _____

Other Organization? _____

Who? _____

Accepted? _____

11. Leader Selection

Who? _____

Accepted _____

12. Speaker Selection

Identified? _____

Speakers invited? _____

Speakers have accepted? _____

13. Moderator Selection

How many needed? _____

Identified? _____

Moderators invited? _____

Moderators have accepted? _____

14. Agenda Development

Questions developed? _____

Schedule developed? _____

15. Background Information Development

Information to be provided: _____

Graphics identified? _____

Graphics ordered? _____

Graphics received? _____

Written information completed? _____

Distribution Methods: _____

Number of copies: _____

Copies reproduced? _____

Copies distributed? _____

Graphics to be used in oral presentations? ___ Yes ___ No

Graphics identified? _____

Graphics ordered? _____

Display equipment ordered? _____

Graphics received? _____

Graphics to be used in discussion groups? ___ Yes ___ No

Graphics identified? _____

How many copies? _____

Graphics ordered? _____

Graphics received? _____

PUBLIC MEETING CHECKLIST

16. Publicity

Methods selected: _____

Preparation ordered? _____
 Material prepared? _____
 Number of copies needed: _____
 Material placed and/or distributed? _____
 Personal follow-up completed? _____

17. Meeting Arrangements

For the general session

Lecterns, chairs, tables obtained? _____
 Speaker system obtained? _____
 Projectors/screens obtained? _____
 Space for wall displays? _____
 Registration table/space? _____
 Personnel for registration? _____
 Refreshments (and personnel)? _____
 Name tags obtained? _____
 Room arrangements made? _____
 Audio/visual equipment set up? _____
 Audio/visual equipment tested? _____
 Ventilation/heating adequate? _____

For discussion sessions

Number of easels/blackboards: _____
 Easels/blackboards obtained? _____
 Easels/blackboards delivered? _____
 Newsprint for easels obtained? _____
 Supplies (pencils/paper/chalk/
 erasers/felt tip pens/masking
 tape/thumb tacks) obtained? _____
 Room arrangements made? _____
 Ventilation/heating adequate? _____

Luncheon arrangements for conference? _____ Yes ___ No

Meeting Clean-up
 Facilities restored & cleaned? _____
 Equipment returned? _____

18. Recording the Proceedings

Methods to be used: _____

Personnel/equipment obtained? _____

19. Orienting Discussion Moderators

Orientation meeting scheduled? _____
 Orientation meeting held? _____
 Moderators have prepared materials? _____
 Final moderator meeting? _____

PUBLIC MEETING CHECKLIST

20. Reporting to the Decision-making Body

The body(s): _____

Reporting format: _____

Report made? _____

21. Reporting to the Public

Formats used: _____

Report prepared? _____

Number of copies required: _____

Copies reproduced? _____

Reporting completed? _____

22. Meeting Evaluation

Evaluation completed? _____

Recommendations made? _____

Recommendations accepted? _____

CHAPTER 15: DESIGNING SMALL GROUP MEETINGS

This chapter will discuss techniques which can be used in small group meetings--up to 25-30 persons. The techniques described are often as useful in internal meetings, or inter-agency meetings, as they are in public meetings.

GROUP SIZE:

As indicated above, the techniques in this chapter are usually restricted to groups of no more than 25-30 people. Many of them can be adopted to larger groups, however, so long as the large group/small group format is used.

There has been considerable research on the effectiveness of groups of different sizes. The ideal group size is in the vicinity of 6-9 persons. As the number increases in a group some participants will "drop out" and participate minimally. This increases the likelihood that the group will be dominated by the stronger personalities. The group begins to break into "leaders" or "followers" and the chances of polarization increase.

While 6-9 persons may be the ideal size for working groups, most meetings are somewhat larger because of the need for representation of all interests. Once you begin to get above 25 persons, it becomes increasingly difficult to maintain free and open discussion. If the topic is of great interest, people become frustrated competing for an opportunity to speak. If the topic is of low interest, then only a few people carry the conversation, and others "tune out" the discussion. These figures are, of course, not absolute. Groups that have a great deal of experience working together, or a high level of group dynamics skills, may still work together despite exceeding these figures somewhat. But generally these estimates hold.

DESIGNING WORKSHOPS

When the objective of a meeting is to accomplish some specific task or complete a product, then workshops are often the best form of meeting. The term "workshop" is used for a wide variety of small meetings including small informal discussions, training sessions, and highly structured activities such as participation in simulation games. For the purposes of public involvement, workshops are: 1) working sessions rather than simply discussions and 2) have a specific task or product to complete during the workshop. Examples of tasks which might be completed in workshops are:

- . Identifying problems to be addressed by a study or proposed action
- . Developing of broad conceptual alternatives

- Evaluating alternative plans or actions
- Identifying impacts of alternatives
- Developing a single agreed-upon plan resulting from evaluation of a range of alternatives and negotiation.

Workshop Size

Preferably workshop size would be limited to 12-15 participants to provide maximum opportunities for interaction and negotiation. As indicated earlier, the need for workshop participation to be representative of the entire community usually creates pressures to enlarge participation. Efforts should be made, however, to hold workshop size down to no more than 25-30 people.

Selection of Workshop Participants

Since the number of participants in a workshop must be limited this immediately poses problems of representativeness as typically there are more than 25 to 30 individuals or interests that would like to be represented in a workshop. As a result workshops can run the risk of appearing to leave some individuals or interests out unless great deal of effort is exerted to select a representative group. Some of the methods which may be used to reduce the risk of people feeling excluded are:

- a. Repeated workshops: A workshop format can be designed which can be repeated as often as necessary allowing opportunities for everyone who wishes to participate to go through the same workshop experience.
- b. Daytime workshop/evening meeting: One approach to the problem of people feeling excluded is to conduct a daytime workshop, selecting representatives as carefully as possible to insure that the full range of values within the community is represented. Then the products produced during the daytime workshop are shared in an evening session to which everyone in the community is invited. In effect the workshop prepares a report which is then reviewed by everyone who wishes to participate, thus reducing the dangers that the workshop will be seen as consultation only with an elite group.
- c. Interest group selection: An alternative method is for the agency to conduct a careful analysis and try to describe the interests that it feels need to be represented in the workshop without selecting the particular individuals to represent that interest. Through consultation with the interests the agency then learns which individual the interests would like to have represent them. This reduces the risk that the agency may be seen

as "stacking the deck" by selecting workshop participation only of individuals who support agency policies; but it will still not completely eliminate the dangers that some groups will feel unrepresented.

Duration of a Workshop:

Workshops can be run during a three-hour evening meeting, or on other occasions may run for 6 to 8 hours during the day. The most intense form of workshop is, of course, the charrette (See Chapter 21) which may run for many hours. Any workshop which is long enough that it cannot be held in evening hours runs greater risk of being perceived as non-representative and limited to an elite group, since longer workshops immediately create problems of obtaining baby sitters or getting off work for the period of time involved in the workshop.

Typical Workshop Structure

The typical workshop structure consists of three basic phases:

Orientation: During the orientation period the agency describes the purposes of the workshop, the structure of the workshop, and provides the public with sufficient information so that the public can complete the group activity which is to follow. This phase is usually as brief and succinct as possible.

Group Activity: This is the actual work period of the workshop during which the participants are broken into small groups to perform an assignment or participate in a simulation game or some other structured activity which will result in the desired product. The use of flip charts and selection of spokespersons and recorders by teams is a frequently used technique in conducting workshops.

Group Discussion: Once the group activity has been completed and a product has been produced, (although frequently in a raw, undigested form) a period follows during which the group can discuss the product it has produced, evaluate it, and possibly place some priority on which items they consider to be most important.

Steps in Designing a Workshop

The following steps are useful in designing a workshop:

1. Identify the desired product: In this step you identify precisely what the product is that should result from the workshop, such as a set of alternatives, a ranking of alternatives, a list of impacts which should be evaluated as part of the environmental and social impact analysis.

2. Identify the resource information the public will need:
If citizens are to help you in developing alternatives, evaluating alternatives, or identifying impacts, there is certain basic information they will need in order to give you their responses. This information should be prepared in a simple understandable format, written in layman's language so that the least amount of workshop time will be spent by the participants in locating the information that they need. Frequently this material is included in a small workbook which also contains team assignments, exercise instructions, and other background material on the study. Careful preparation of this resource material is one of the most important tasks in workshop design prior to conducting the workshop itself. If this material is presented in confusing, complex, or over-detailed form it will substantially impede the workshop itself.
3. Select or design a series of activities which will result in the desired product. In some cases there may be previously used workshop formats which will result in the desired product. If not, it will be necessary for you to design a set of activities which will produce the needed materials. The usual technique is to write simple clear instructions for group activities and give the groups substantial responsibility, both in how the activity is completed and the product which is produced. A case history showing the complete design of a workshop is provided below to provide further guidance which will assist you in designing activities.
4. Design simple mechanisms for evaluating workshop product. Once participants have worked together to develop long lists of possible problems or alternative solutions or probable impacts, there is a final need for participants to evaluate the products that have been produced or to place some priority as to which are most significant. Without an opportunity to evaluate, participants may feel restricted by the workshop format or feel that all the points in the workshop are receiving equal value regardless of relative merit. This evaluation could include completion of a written response form, ranking items in a priority list, utilizing a straw vote, or utilizing a weighted voting system based on the highest priorities (as is used in the nominal group process). Without some opportunities for evaluation, citizens are likely to feel incomplete at the end of the workshop and may be concerned that all the evaluation is left to the discretion of agency staff, with the risk that some of their deepest concerns and priorities may not receive the same value that they would have assigned to them.

A Workshop Case Study

The case study presented here is a description of a series of workshops conducted by a Regional office of WPRS on a study of future water supply needs for four counties.

The desired product to result from the workshops was a set of scenarios--short word-pictures of possible futures which could occur in the study area. Because of the large geographical area covered by the study, it was entirely possible that the futures foreseen in one county would be different than the futures foreseen in the adjoining county.

Prior to the workshops a series of meetings was held in each county with representatives of local city and county agencies as well as identifiable leaders of organized groups. One of the items covered in these meetings was to solicit recommendations as to the individuals who would participate in the first round of workshops. In seeking these recommendations the agency clearly established that it was mandatory that the workshop participation be balanced among the various interests within the community and that a full range of values be included. Based on these recommendations invitations were sent to the recommended individuals with the provision that the individual invited could select someone else to attend in their place if they did not wish to participate. In addition it was publicly announced both that the workshops were going on and that there would be a second round of workshops which would be open to anybody who wished to participate, as well as a series of evening meetings for those who were unable to participate in the workshops.

Prior to the workshop a "dry run" workshop was conducted with internal planning staff. This workshop served to clarify those portions of the workshop design which were particularly effective and those portions which required further work before they could be used with the general public.

A short workbook was prepared with information on the study, the planning process which was to be used in the study, the workshop agenda including all assignments, and basic data such as existing population projections, estimates of land under irrigation, water required for fish and wild life, and industrial usage for each major new factory or power plant. These workbooks were sent out several weeks in advance along with the initial invitation inviting participation in the workshop. In addition graphics were prepared which displayed the planning procedures to be used in the study as well as the public participation activities anticipated for the entire study.

The workshop itself was designed as an entire day's activity, beginning at 9 in the morning and ending at 4 in the afternoon. In the first round of workshops, one workshop was conducted in the County Seat of each of the four counties in the study. The workshop was conducted in meeting facilities which allowed participants to gather around tables for general sessions and break into small discussion groups for the team

assignments. A flip chart was provided for each of the teams. Teams were assigned on a purely random basis using a simple counting-off system to insure that all participants of a single interest would not gather together in a single team.

An opening orientation session was held in which the study was described, planning procedures detailed, future public involvement activities discussed, and the procedure for the workshop outlined. The teams were then established and assigned each to a corner of the room where they could gather around the flip charts. The team was assigned both of the tasks indicated below and asked to select a spokesperson who would then prepare a report of the team's results for the total group.

The two first team activities (as described in the workbook given to the participants) are shown below:

TEAM ACTIVITY: Identifying Factors which Affect Development

Instructions: As a team make a list of those factors which will affect development in either your county or other counties in the Four-County Study area. These may be factors that either encourage or inhibit development. While we naturally want to identify the important factors, you need not worry about whether or not a particular factor is important enough to be included on the list--your team will assign priorities to these factors in a subsequent activity. Record your team list of factors on the form on the next page.

Time: 30 minutes

TEAM ACTIVITY: Evaluating the Importance of Each Factor

Instructions: As a team select the three factors you believe will be most significant in affecting development in the Four-County region. Two criteria you may want to consider are: (1) Amount of impact--how much impact this factor will have if it changes or remains the same; (2) Likelihood--the probability that this impact will occur. Indicate your selection on the form on the next page. Then review the remaining factors, and assign them to the three categories: High Impact, Middle Impact, Low Impact. You will find yourself under time pressure, so regulate your time accordingly. At the end of the time, select a spokesperson who will present a report of your team's results to the total team.

Time: 45 minutes

The timing of the workshop was such that the team reports were presented shortly before the lunch period. During the luncheon period the teams' reports were consolidated and a proposal prepared for the group as to

which themes would be developed further in the afternoon session. Immediately upon returning from lunch this proposal was discussed with the group, and in several occasions additions or changes were made. Once the themes had been selected the teams were then each assigned one of the themes and given the two team assignments indicated below.

TEAM ACTIVITY: Developing an Alternative Futures Scenario

THEME ASSIGNED TO TEAM: _____

Instructions: Develop a scenario--a little "scene"--describing the future development in your county based on the theme assigned your team. To do this you may wish to review the other factors which affect development in light of your theme. Or you may wish to develop your scenario intuitively. It should be sufficiently detailed in terms of population centers and industry that water demands can be developed from it.

Time: 1 hour

TEAM ACTIVITY: Estimating Water Needs

Instructions: As a team, develop your best guess of the amounts, quality, and location of water needs in your county in the year 1990 based on the scenario developed by your team. Potential water supply sources are listed on the following page.

Time: 30 minutes

Again reports were given by each of the teams on the scenarios they had developed and their estimates of water needs for their scenario. During this period it was possible for members in other teams to ask questions, point out assumptions that may not have been valid, or propose additional items that should have been included in the scenario.

In addition to receiving the workbook described above, each participant also received a "Hand-In Workbook" which allowed them to make comments on the materials developed by any of the teams. This "Hand-In Workbook" consisted of several mimeographed sheets containing such questions as:

- "Were there factors which your team left out which you consider important?"
- "Were there factors which you consider to be of significantly greater or lesser importance than did your team?"

- . "For what reasons?"
- . "Were there other themes you would like to have seen used as the basis for developing scenarios?"
- . "For what reasons?"
- . "Do you believe the scenarios developed accurately reflected the themes on which they were based?"
- . "What changes would you suggest?"
- . In your opinion did the water demands developed for each scenario seem to make sense?"
- . "What changes would you make?"
- . "Are there any other water needs we did not identify today?"
- . "Are there any other items you would particularly like us to examine as part of the study?"

In addition the "Hand-In-Workbook" contained two simple scales which allowed participants to rate each of the scenarios which had been developed. These scales allowed participants to react both to the likelihood that a particular scenario would occur but also express the degree to which they would be pleased or unhappy were that scenario to actually occur. These scales are shown on Page 169. (Note: See the discussion in Chapter 20 regarding OMB regulations on questionnaires and surveys, before utilizing similar scales.)

Finally the workbook contained an evaluation form which allowed the participants to evaluate the workshop itself and also permitted them to give us suggestions as to individuals who might serve effectively on an advisory committee for their county.

Approximately 150 people participated in the first round of workshops held in the four counties. A similar number participated in a second round of workshops held approximately a month later. The second round of workshops had the additional feature of an evening meeting held in the same community which allowed citizens to react to the scenarios which had been developed during the day by the workshop participants. Approximately 100 more citizens participated in these evening sessions.

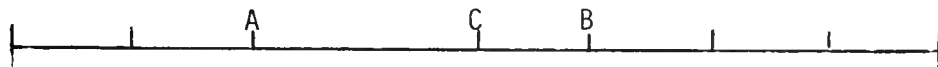
The workshop evaluations included in the "Hand-In Workbook" indicated that the participants were extremely pleased with the workshop format and felt that it had provided them with ample opportunities to participate and express their points of view. The success of the workshop did clearly establish high expectations for future participation which did

REACTIONS TO ALTERNATIVE FUTURES

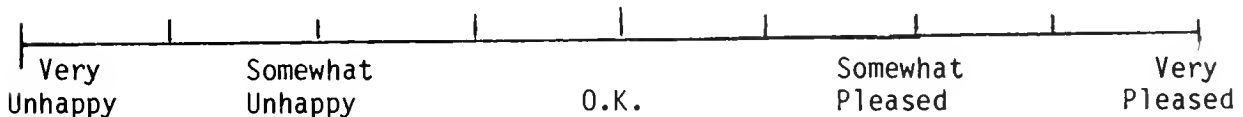
We are interested in your personal reactions to each of the alternative futures developed in the workshop. We would like you to react quickly to each of them on the simple scales below.

DIRECTIONS: Several Scenarios were developed in this workshop based on the themes selected by the participants, and each was assigned a letter (Theme A, Theme B, etc.). On each of the scales below write in the letter which corresponds to your evaluation of that Scenario.

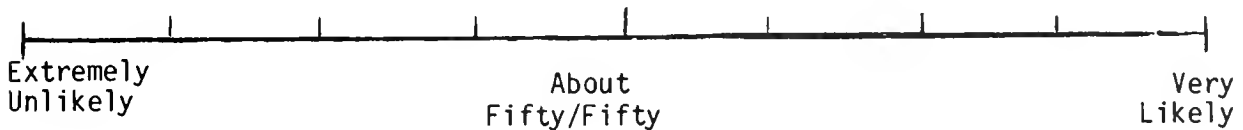
For Example:



1. If this alternative future occurred I would feel:



2. I believe the likelihood of this alternative future actually occurring is:



place a burden on the agency to insure that sufficient public involvement activities were provided for the expression of the enthusiasm and interest generated by the workshops. While the workshops were successful, it should be stressed that the workshops were merely one public involvement activity in a continuing program of activities, beginning at the earliest stages of the planning process and running through to plan selection.

The workshops were also rated very satisfactorily by the agency planning staff, as the scenarios developed based on the public comment were very comprehensive, detailed and extremely usable in making the projections of future growth necessary as a part of the study. The workshops not only allowed the public to feel consulted but made a significant contribution to completing the planning tasks.

SMALL GROUP TECHNIQUES

Three techniques are presented on the next few pages which are useful in stimulating discussion, generating creativity, and producing agreement. There are an almost infinite number of small group techniques which have been developed over the past few years and appear in the organizational development and human relations literature. The techniques described in this chapter are presented because they have been proven successful in working with the public, and do not require unusual group leadership skills.

THE NEED FOR "TECHNIQUES"

The obvious question is: "Why the need for special techniques, can't a group of people just sit around and talk?" Of course they can, particularly if they are friends who share a somewhat similar perspective on an issue. But if the participants are strangers, or if they take opposing sides on an issue then more may be accomplished if some simple techniques are employed.

Some people are very slow to participate with strangers or with people they believe will be very critical of their comments. In addition this climate of discomfort runs counter to the climate of psychological security that is necessary for creativity. Creativity, by its very nature, means trying out new ideas. This requires taking a risk that others may disapprove of the ideas. This is possible for many people only in a group where "permission" is granted to consider new and different ideas. Most people must be comfortable before they will really open up in a group. Since this is difficult to achieve in a group of strangers, or a group with strongly opposing viewpoints, small group techniques are designed to create the "permission" for people to participate openly and share their creative ideas. These techniques can reduce the period of discomfort and move the group quickly into productive

work. In fact, work teams and groups of friends which are supposedly comfortable in working together will often find their effectiveness increased by utilizing these techniques.

The three techniques which we will concentrate on here--Nominal Group Process, Brainstorming and the Samoan Circle--solve the problem of creating a climate of psychological safety but in different ways.

NOMINAL GROUP PROCESS

The Nominal Group Process was designed based on research which suggests that individuals generate more creative ideas and information when they work in the presence of each other but do not interact. According to this research, when people interact in groups they are more likely to react to each other's ideas rather than come up with new ideas or consider new dimensions of the problem.

The procedure for Nominal Group Process is as follows:

1. OPENING PRESENTATION:

After an initial presentation explaining the Nominal Group Process the audience is broken into small groups of six to nine participants.

2. STAFF AND ADVANCE PREPARATION:

Each group is assigned a Discussion Leader and Recorder. Prior to the meeting these staff persons will put up four sheets of newsprint, and also have felt-tipped pens, scratch paper, pencils and 3 X 5 cards ready to go.

3. INTRODUCTIONS:

The Discussion Leader will introduce himself/herself and invite everyone in the group to do the same.

4. POSING THE QUESTION:

The Discussion Leader will then present the group with a pre-developed question such as: "What are the water problems in the James River study area which affect you?" The Discussion Leader will write the question at the top of one of the flip chart sheets.

5. GENERATING IDEAS:

Participants are provided with paper or file cards and asked to write on the paper all the answers they can think of to the questions posted. Their notes will not be collected, but be for their own use.
Time: 5-10 minutes.

6. RECORDING IDEAS:

Each person, in turn, is then asked for one idea to be recorded on the newsprint. The idea will be summarized by the Recorder on the newsprint as accurately as possible. No discussion is permitted. Participants are not limited to the ideas they have written down, but can share new ideas that have been triggered by others' ideas. Anyone can say "PASS" without giving up their turn on the next round. The process continues until everyone is "passing." Alphabetize the ideas on the list: A-Z, AA-ZZ, etc.

7. DISCUSSION:

Time is then allowed for discussion of each item, beginning at the top of the list. The discussion should be aimed towards understanding each idea, its importance, or its weaknesses. While people can criticize an idea, it is preferable that they simply make their points and not get into an extended argument. Move rapidly through the list as there is always a tendency to take too long on the first half of the list and then not be able to do justice to the second half.

Time 40-60 minutes.

8. SELECTING FAVORED IDEAS:

Each person then picks the ideas that he/she thinks are the most important or best. Instructions should be given to pick a specific number, such as the best five, or the best eight. These ideas should be written on a slip of paper or 3 X 5 card, one idea per card. They may just want to record the letter of the item on the list (A, F, BB, etc.) or a brief summary, so that they don't have to write out the entire idea.

Time: 5 minutes.

9. RANKING FAVORED IDEAS:

Participants then arrange their cards in preferential order, with the ones they like the most at the top. If they have been asked to select eight ideas, then have them put an "8" on the most favored and number on down to a "1" on the least favored (the number will change with the number of ideas selected). A score sheet should then be posted which contains all the alphabet letters used in the listing. Then the participants read their ratings ("...R-6, P-2, BB-8...") which are then recorded on the score sheet. When all the scores have been shared, then tally the score for each letter of the alphabet. The

highest scoring item can be shown as #1, etc. Post the rankings for the top 5-7 items, depending on where a natural break occurs between high scores and low scores.
Time: 5 minutes.

10. DISCUSSION OF RESULTS:

The participants may then want to discuss the results. Someone may point out that two very similar items "split the vote" and were they to be combined they would constitute a single priority item. If the group as a whole wants to combine them this is acceptable. It should be pointed out, though, that an analysis will be made of all the results, not just the priority items.
Time: 5 minutes.

TOTAL PROCESS TIME: 1 1/2-2 hours, plus time for opening presentation.

USES OF NOMINAL GROUP PROCESS

If the full Nominal Group Process is utilized as indicated above, the cumulative time of opening presentation, Nominal Group Process, and reports back to the total group (assuming a larger audience has been broken into small groups) would probably mean a total time of 2 1/2-3 hours. This would be the equivalent of an entire evening meeting. It is possible, however, to utilize portions of the process. For example:

- Everyone in an audience can be asked to generate ideas on 3 X 5 cards. The ideas can then be given an initial ranking by the number of times an idea occurs (although this may not be a measure that an idea is good, but simply that a number of people are aware of it).
- After a series of alternatives has been presented (along with some time for discussion) the participants can rank the alternatives on 3 X 5 cards and a tally developed for the group. This runs the danger of appearing to be a vote which may be misleading unless the audience is very representative; but the same danger is inherent any time a ranking process is used.

Nominal Group Process can be utilized for problem identification, for generating solution elements, and also for identifying impacts of alternatives. It must be understood--and this should be stressed to participants--that all the ideas generated require subsequent detailed staff analysis. It is also important that this analysis be communicated to participants as soon as it is available, with opportunities provided for them to respond to the analysis.

One danger of Nominal Group Process--or any complicated small group technique-- is that the public may feel "processed" rather than included. If, for example, there was a great deal of animosity towards the study then it might be wise to allow this feeling to be "ventilated" to the total audience so that the break-down into small groups and use of Nominal Group Process is not seen as an effort to control, manipulate, or "divide and conquer."

BRAINSTORMING

While there is research evidence that suggests that group effectiveness may be superior using Nominal Group Process compared to Brainstorming, Brainstorming is such a simple, easy-to-use technique that it is much more frequently used as a participatory technique.

Brainstorming strives to solve three problems:

1. The need for a climate of psychological safety for creativity to be encouraged.
2. The need for people to suspend evaluation in order to be creative.
3. The tendency to approach problems in a fixed, limited way.

The procedures of Brainstorming are quite simple:

1. ALL EVALUATION SUSPENDED:

Participants are encouraged to generate as many ideas as possible in response to a question or problem statement with no evaluation allowed. All ideas, regardless of their apparent validity, are written down on a flip chart (or better yet, pre-hung flip chart paper). A Facilitator will gently, but firmly, remind all participants to stop any evaluation that occurs, including hoots of laughter.

2. "WAY-OUT" IDEAS ENCOURAGED:

Since there is a tendency to approach problems in a rigid, fixed manner, only those ideas which fit this limited approach appear "sensible." To break out of a single approach to the problem, participants are encouraged to generate all kinds of ideas, including "way-out" ideas. This has caused the technique to be called "Blue-skying" based on the notion that "the sky's the limit." While a particular "way-out" idea may not itself be useful, it may contribute to a new way of thinking about a problem and be a path to other ideas which are extremely productive or creative.

3. GROUP SELECTS EVALUATION PROCESS:

Brainstorming by itself does not result in any evaluation but produces an "undigested" list of ideas. As a result it is necessary for the group to utilize some means of evaluation to narrow down the list, unless this narrowing will be done by a subsequent staff evaluation. Some of the methods which can be employed include:

- a. Discuss Each Item: If there is ample time then it is ideal to be able to discuss each item, as after discussion ideas that initially seemed improbable may seem quite productive. This can, however, be extremely time-consuming.
- b. Brief Discussion - Individual Rating: An alternative would be to utilize the evaluation system from the Nominal Group Process discussed above. In this approach there is a brief discussion of each idea, usually focused around clarification of the idea more than debate, followed by a ranking of ideas using 3 X 5 cards. This saves time, but there is greater risk that some idea, the value of which is not as immediately apparent, will not receive adequate attention since only a limited number of ideas are selected for priority.
- c. Straw Vote: Another method is the Straw Vote. In the Straw Vote a question is agreed upon such as, "Which ideas do you feel are worth further consideration?" Then each participant is allowed to vote for as many ideas as they wish. Theoretically a participant could vote for all the ideas; but in fact some ideas will receive votes from all participants, some will receive none, and most will receive a few. One important thing about straw votes is that the results are advisory. The group may choose to accept the outcome of the Straw Vote, or it may choose to alter it or simply use it as the starting point for further evaluation.
- d. Eliminate the Useless Ideas: Some groups find that they can take the time to discuss every idea once they have weeded out those ideas that are obviously useless. One way this is done is to quickly move through the list and participants can state which ideas they believe are

useless. Unless someone else is willing to make a defense of an idea it is eliminated. If someone does seriously defend the idea, then the idea usually is left in by the group for further evaluation.

VARIATIONS ON BRAINSTORMING

Other Brainstorming skills: Groups that do a lot of Brainstorming usually acquire some "advanced skills" at Brainstorming. Three of the most frequently used techniques are:

Piggy-Backing: This is the skill of taking the idea of someone else in the group and expanding or enlarging it to produce other solutions. To do this, you must be able to fully understand the significance of a concept and extrapolate the concept beyond the implication expressed by the first person.

Combination: This is the skill of taking other ideas which have been proposed and combining them in some way which maximizes their strengths or eliminates their weaknesses.

Fantasy Analogy: One way to break down old ways of thinking about the problem is to project a fantasy of the most desirable of all possible solutions. This form of analogy might begin: "In my wildest fantasies I would like to...." (This technique is taken from William J. J. Gordon's book Synectics which contains a number of techniques for increasing creativity with a variety of analogy techniques.)

USES OF BRAINSTORMING

Brainstorming is equally useful in problem identification, generation of possible solutions, or identification of possible impacts of alternatives. Brainstorming will typically generate an extremely large quantity of ideas which must somehow be evaluated in ways acceptable to the group. Brainstorming is a particularly good beginning activity for a small group as it always produces results and usually generates a high level of energy and enthusiasm. The difficulty is to maintain this same energy and enthusiasm during the evaluation period. Because of its simplicity and the short period of time required for Brainstorming, it can be effectively combined with numerous other workshop activities.

THE SAMOAN CIRCLE

The Samoan Circle is a technique which is useful when you have a relatively large group (20-50) but want to have the kind of interaction of a small group.

Supposedly--although this has not been verified--the name "Samoan Circle" comes from a tribal custom of Samoa. According to the story, whenever the Samoans had a big problem they would hold a large council on one of the islands. Everyone would gather in a circle to hear the problem presented and discussed. As the discussion continued, those who were less interested in the problem or the points being discussed would drift out to the periphery, while those who were strongly interested would cluster in the center. People would move in and out as their interest waxed and waned. There were no pre-determined limits on discussion. Discussions simply continued until there was agreement on a course of action.

This basic approach has been adapted into the following procedure:

1. An inner circle of 5-6 chairs is established in the middle of the meeting room.
2. Outer circles of chairs are established so that there is an outer chair for every participant.
3. Only people seated in the inner circle are allowed to speak.
4. Anyone who wishes to speak can move into any open seat in the inner circle.
5. If all seats in the inner circle are filled, then an individual who wishes to speak stands behind one of the chairs. Usually someone will vacate a chair shortly.

Structured or Unstructured Discussion: In the "pure" form of the Samoan Circle people in the inner circle are permitted to speak as long as they want and on any subject. There is no discussion leader, and people in the inner circle "facilitate" their own discussion.

It is also possible to have one seat in the inner circle permanently occupied by a discussion leader. As described in the next chapter, the discussion leader would not get involved in the content but would help keep the meeting on the track, summarize comments, accept feelings, etc. A set agenda can also be discussed if desired. A recorder may also keep a summary of the meeting on the flip chart.

The advantage of the unstructured approach is that the meeting belongs completely to the participants. The agency cannot be viewed as interfering or in any way predetermining the outcome. On the other hand, a skilled discussion leader may be able to help participants feel "listened to," may help the discussion stay focused, etc.

Purpose of the Samoan Circle: The Samoan Circle is an effective technique for forming a consensus or agreement. It allows for complete expression of views, with everyone feeling they have participated, regardless whether they have spoken frequently or not.

Limits on the Use of the Samoan Circle: Like all small group techniques, the Samoan Circle is less likely to work if people are uncomfortable with its use. Also, as audience size gets larger (40-50 people) it may be necessary to have microphones in the inner circle to allow everybody to hear the discussion.

REFERENCES:

Nominal Group Process:

Delbecq, A. and Van de Ven, A., "A Group Process Model for Problem Identification and Program Planning," Journal of Applied Behavioral Science, Vol. 7, No. 4, Center for Study of Program Administration, Middleton, Wisconsin.

Van de Ven, A. and Delbecq, A., Guidelines for Leaders in Conducting Nominal Group Meetings, Center for the Study of Program Administration, Middleton, Wisconsin.

Brainstorming:

Osborn, Alex F., Applied Imagination
Charles Scribner & Sons, 1953.

Gordon, William J. J., Synectics,
Collier Books, 1961.

CHAPTER 16: MEETING LEADERSHIP

The manner in which meetings are led is a major factor in their effectiveness. Even if great care has been taken to design the meeting format most appropriate to the situation and audience, even if the seating arrangement encourages interaction, and the pre-meeting publicity has ensured a good crowd; an ineffective leader can still cause the public to believe that the meeting was poorly run and a waste of time.

INEFFECTIVE LEADERSHIP STYLES

There are several styles of meeting leadership that almost inevitably lead to public frustration or complaints. These include:

The Formalistic Leader:

The formalistic leader has learned a certain meeting procedure and insists on its use no matter what the situation. The meeting format learned by most formalistic leaders runs something like this: First there is a strict protocol for the order of speakers. Water and Power Resources Service representative speaks first, then the local congressman, then the other federal agencies, then the state agencies, then the local agencies, etc. After several hours of dull, boring bureaucratic speeches the audience is in a stupor. When it comes time for comment or questions from the audience either of two things can happen: Either there are two or three dispirited comments or questions from the audience and then everybody goes home, or someone leads an attack against the agency for being insensitive, non-responsive, etc. and everybody cheers.

There are several problems with the formalistic approach. First, the meeting is usually dull and boring. Who wants to participate when they are bored to tears? To have interest, meetings must have interaction. Rarely should presentations exceed 30-45 minutes before some opportunities for interaction are provided. Second, the meeting format communicates that the agencies are important and the public is not. The hierarchical order of presentations clearly communicates status, and the public's status is clearly at the bottom of the ladder because they're dead last. Third, the public typically has little or no stake in the success of this meeting. It is the agency's meeting, run for the convenience of the agency, with little value for the public participants. This becomes important if some conflict does occur in the latter part of the meeting because the audience's sympathy has shifted away from the agency--which has just bored them to death--to anyone who can create a little excitement. Because they have been insensitive to the public's needs to be involved and interact, the agency representatives do appear insensitive and non-responsive.

The Authoritarian Leader

The authoritarian leader believes that the way to keep meetings under

control is to run them with an iron fist. The authoritarian leader establishes rules of order, and woe to anyone who doesn't stick with them. He evaluates comments from the public, indicating that some are good, but others are irrelevant or off the track. He criticizes participants for being inconsiderate, or emotional. He rules people out of order.

The authoritarian runs the meeting as if he owned the meeting, not the public. He also sets himself up as a judge, evaluating the appropriateness of the response. As discussed below, people often feel put-down, resentful, or suppressed by this style of leadership. The authoritarian leader often stimulates challenge. He uses his leadership power in an authoritarian manner to ensure control, and in the process often creates challenges to his leadership that on a controversial issue could lead to a disrupted or disastrous meeting.

The Low-Energy Leader

This leader may not be authoritarian, and he may not insist on formalistic procedures, but he looks and acts unenthusiastic and bored. He mumbles, he drones, he hides behind his notes. He may be very candid: When people ask a question he may respond with an honest "Darned if I know," but doesn't bother to offer to find out. His "aw, shucks" style may at first be refreshing, compared to a hard-sell or authoritarian approach, but after awhile it simply becomes boring and dull.

The root cause of the low-energy leader may be a lack of confidence or shyness, but the impact on the public is lack of professionalism and inadequacy. People tend to value things based on the enthusiasm and commitment of the person proposing an action or responsible for carrying it out. If you communicate a lack of enthusiasm, the attitude is catching and the public will also have low interest. This doesn't mean that you are to "sell" a proposed action, but you do need to "sell" the idea that the meeting is important, and that the public's participation truly matters. This requires some energy and enthusiasm on your part.

PRINCIPLES OF EFFECTIVE MEETING LEADERSHIP

The Participants "Own" the Meeting:

The fundamental premise of effective meeting leadership is identical to that of democracy itself: all power derives from the consent of the governed. Or put another way: people accept meeting leadership because it is in their self-interest. For anybody to accomplish what they want in a meeting, there must be some structure. There need to be some limits set on topics, procedures for recognition of speakers, rules to ensure that everyone gets heard, etc. So long as the leader provides that structure, it is in the interest of the participants to cooperate with and support that leader. Even if one individual wants to challenge the leader, as long as the leader has been seen as equitable and reason-

able, the rest of the group will usually protect the leader. It is not really the leader they are protecting, but their own self-interest in having a fair and reasonable structure. But the minute that structure is no longer seen as inequitable or unreasonable, then the leader's power is diminished and is subject to challenge. If, for example, a meeting is run in such a manner that participants believe the meeting is solely for the benefit of the agency, and not the participants, it is no longer in their self-interest to accept the meeting format or respond to the meeting leader. If the issue being dealt with is of low intensity, then people's sense of propriety or respect for authority will keep them from openly challenging the meeting leader. But they will usually judge the meeting to have been a failure, and usually have little motivation to participate again in the future. If the participants perceive the consequences of the issue being discussed to be very severe, however, then they may feel obliged to challenge the meeting leader. While this does not happen frequently, there have been public meetings that have completely broken down in bitter accusations, screaming, shouting, etc.

It should be noted that one guidebook to environmental activism called Eco-tactics describes procedures for breaking up meetings. Usually this consists of an emotional appeal to the crowd that the agency has stacked the decks, that the agency won't really respond to anything the public has to say anyway, and therefore the only meaningful protest is to walk out of the meeting en masse. If the meeting leader has clearly attempted to be fair, if the agency has demonstrated its willingness to listen and be responsive where possible, then this appeal will usually fall on deaf ears. The speaker stamps out of the room, followed by no one, and is usually seen slinking back into the room at a later date. But if participants are indeed frustrated because the meeting has been run solely for the agency, if ground rules have been unfair, or have set up barriers to people's participation, then this appeal may be responded to enthusiastically.

The essential point is that the effective meeting leader starts on the assumption that the meeting belongs to the participants. The meeting leader is a servant of the participants, not the ruler. The only reason for having a meeting leader is to provide a fair and reasonable structure so that everybody's interests can be served. Once this attitude is communicated to the participants, they are quite willing to accept reasonable limits, and allow ample opportunities for the agency to provide information, etc.

Avoiding Symbols of Power:

Many of the reactions of the public to agency staff leading meetings is based on the "psychological size" which the public bestows on a representative of the federal government. "Psychological size" is the tendency to treat someone with awe or respect when you perceive them to be important or significant. This can be someone who has actual power or control over you, or a celebrity such as a movie star, football player,

or wealthy individual. The psychological size you possess as a meeting leader differs from "control," in that it doesn't reflect your actual power in the situation, but rather a projection of importance based on people's feelings about the government.

Because it is a projection, it contains both people's positive and negative feelings about the government. As a representative of the federal government you are likely to be perceived as powerful, but you may also be perceived as arbitrary, benevolent, repressive, or helpful, depending on people's experience of government. If people have not had much exposure to the Water and Power Resources Service, they will usually react from feelings about the federal government, or even government generally. People who have had more experience with WPRS will have feelings about WPRS specifically, usually a mix of positive and negative.

All of us have ambivalent reactions to someone who has "psychological size." Someone with real power has the ability to directly reward or punish. Someone with psychological size has the ability to give psychological rewards or punishment based on approval or disapproval. We all are somewhat uncomfortable with people who hold this kind of power over us. Some people are challenged, and will excel or compete for approval. Others withdraw and avoid circumstances where disapproval might be possible. Others resist or fight the individual or agency that is seen as powerful.

The important thing to remember as a meeting leader is that people's reactions to you are not based solely on their reactions to you as an individual, but on their reactions to you as a representative of the federal government. This can lead to surprises, since you may be acting within a very realistic (and thus probably modest) view of your power and yet have people reacting to you in an exaggerated manner. In fact, since this is a matter of perception rather than some sort of verifiable reality, you may be reacting to them based on your perception of their psychological size (since they may be leaders of a significant interest group) at the same time they are reacting to the psychological size they perceive you as having.

The effect of psychological size is to exaggerate the impact of your actions. If you evaluate a participant's comment, the effects of this evaluation may be far more significant than you intended or imagined. If you are somewhat arbitrary, you may be perceived as excessively arbitrary. If you inadvertently cut someone off, this may be seen as an important political statement.

Some of the effects of psychological size are inevitable and can only be overcome by getting to know people on an individual basis. When you are known to people as Joe Smith or Patricia Green, human being, rather than "WPRS representative," then most of the exaggerated reactions stop. But unless you are leading a meeting where everybody knows you personally, you can count on psychological size being an important dynamic.

While some of its effects cannot be eliminated, it is important that you avoid the symbols of power which reinforce psychological size. If you hold a meeting backed by ten staff people, a lecturn with the Interior Department symbol on the front, flags on both sides, pictures of previous WPRS projects on all walls, \$20,000 worth of displays, microphones and lighting; you can count on exaggerated responses, both positive and negative, to your psychological size.

The general rule to follow is to minimize the symbols of governmental power. A study by the U. S. Forest Service, for example, showed that participation in public meetings increased dramatically when they wore civilian clothes, rather than uniforms. When things get emotional, as they can in meetings, as long as you are a "symbol" to people, rather than a "human being," this gives permission to be abusive, to challenge, to question, to over react in ways that would never be acceptable in a person-to-person encounter. By avoiding the symbols of power, by being just plain Joe or Patricia, you reduce the likelihood of this occurring.

Leading the Process Not the Content:

Group dynamics experts point out that there are two levels of communication that go on during any meeting. The first level of communication is the Content Level. The Content Level consists of ideas, facts, information--the subject matter which is being discussed. The Process Level, the second level of communication, consists of how people work together--procedures, ground rules, processes. The reason that the Process Level is important is that it communicates people's relative standing, value or worth in the situation. If the way a meeting is being run affords some people a greater opportunity to participate than others, for example, then the process communicates that these people are more important or have more value in the situation. This is not always inappropriate--it may make sense for experts on a topic to be allowed somewhat more opportunity to participate--but it does communicate value. If the process always gives much more value to the government agencies than to the public, the agencies are, in effect, communicating to the public that they don't have much of worth and value to contribute. Worse yet, if the process values some publics over others, e.g. water users participate with the agencies, while other groups participate at the end of the meeting, then the other publics will become resentful and mistrust the agencies' willingness to hear their point of view.

When a meeting leader participates in presenting or discussing the content of a meeting, then that leader becomes viewed as a participant, with a stake in the discussion. Once the leader has a stake in the discussion, his/her ability to create a process that is fair to everyone comes into question. For that reason, meeting leaders are encouraged to concentrate their efforts on providing an equitable meeting process, and avoid comments about the content which place them in the role of an advocate or participant. Since it is often necessary to present background about the proposed action, or answer questions about WPRS' actions, etc., it is usually necessary to have at least two staff people

present, one to conduct the meeting, and the other to present the information. Then it can be established that the meeting leader's sole function is to help with the process, i.e. make sure everybody gets heard, keep the meeting on track, encourage participation, etc.

The term "facilitator" is sometimes used to distinguish this kind of process-oriented meeting leadership from more authoritarian leadership. The meeting leader "facilitates" discussion and problem-solving, rather than "directing" or "leading" it. While it may communicate this distinction, the term is often confusing to the public and should probably be avoided in discussions with the public. The term is also often used in training sessions, encounter groups, etc. and carries connotations that are not necessary in this context. But the idea that the meeting leader leads the "process" of the meeting, rather than directs the "content" is significant and central to effective meeting leadership.

HOW AN EFFECTIVE MEETING LEADER SHOULD ACT

Below are some guidelines for behaviors a meeting leader should engage in:

Opening the Meeting:

A meeting leader can set the stage for the meeting with his/her opening comments. In general, if the meeting leader is relaxed and relatively informal, the audience will be more relaxed and comfortable. The audience will also feel more comfortable as they know what is expected of them and what is going to happen in the meeting. The opening comments establish this framework. In general, the items which should be covered in these comments include:

- a. Introduce yourself and very briefly say something about yourself. You want to be a person to the audience, not just an agency representative.
- b. Introduce others who will play a role in the meeting, but avoid "celebrity" introductions that will make some people feel left out or unappreciated.
- c. Review the purpose for this meeting, and how it fits in the context of the public involvement program.
- d. Outline the format of the meeting and just where and how you want people to participate.
- e. Outline the roles of anyone assisting you in meeting leadership, e.g. the person keeping a summary of the meeting on a flip chart.

- f. Set up any needed ground rules. Examples of ground rules might be: time limits, one person at-a-time, raise hand to be recognized, etc. One effective technique is to "propose" the ground rules, then ask if these are acceptable. So long as they are reasonable, the audience will usually agree to the ground rules or suggest only minor modifications.
- g. Quickly reiterate how and when the public is invited to participate.

Leadership During Discussions:

During periods where the public is making comments or asking questions the meeting leader's role is to ensure that everybody feels included and accepted, and encourage participation. The meeting leader should avoid getting into discussions or debate on the subject matter of the meeting. Specific behaviors the meeting leader should engage in include:

1. Keep the meeting focused on the topic:

Point out that the discussion has drifted. Usually the meeting will quickly return to the topic.

Re-state the original topic under discussion.
"My understanding is that we were discussing..."

2. Clarify and accept communication:

Summarize the contribution of participants. Summarize in particular, the contributions of participants who have not been actively involved. "Your feeling is that..."

Relate one participant's idea to another. "If I understand it correctly, your idea would add on to Mr. Smith's by..."

Accept incomplete ideas. "Could you develop that idea a little more?"

Point out when a participant's contribution is cut off and invite him to complete it. "I'm afraid that we may have cut Mr. Jones off. Did you have more you wanted to contribute, Mr. Jones?"

3. Accept feelings as valid data:

Summarize feelings as well as content. "You feel angry when..."

4. State a problem in a constructive way so that the meeting can work on it:

State the issue in such a way that it doesn't sound like any individual or group "caused" the problem.

Help clarify the areas of decision-making. "The construction of the project has been authorized. What we hope to accomplish tonight is how to reduce the impacts of construction on the local community."

5. Suggest a procedure or problem-solving approach:

Point out when it may be useful to move on to the next problem. "I'm wondering if we're ready to move on to..."

Suggest a procedure. "I'd like to propose that we break into small discussion groups..."

6. Summarize and clarify direction:

Summarize your understanding of what the meeting has accomplished and indicate what the next steps will be.

In addition to the behaviors listed above (which an effective meeting leader will employ), there are also certain behaviors which the meeting leader should avoid because they will make his role impractical. The meeting leader will not be effective if he does not remain neutral, becomes a major participant in the content, manipulates the group through the use of his role or uses his role to assert his own ideas.

Specifically, the meeting leader should avoid:

1. Judging or criticizing the ideas or values of others.
2. Projecting his own ideas and using his role to argue them. If you want to add your own ideas, make some clear identification that you are not making the comments as meeting leader - "I'd like to take my meeting leader hat off for a minute and comment." If you get involved, though, it would be better to ask someone else to assume the meeting leader role so that you are free to participate.
3. Making procedural decisions for the meeting without consulting participants.
4. Lengthy comments.

Closing the Meeting

At the end of the meeting, the meeting leader should clearly state: a) how the public comment will be used, and b) what will happen next in the decision-making process. This gives the public a sense of confidence that their participation has meant something, and maintains visibility in the decision-making process.

The Recorder Role

As discussed in the last chapter, the meeting leader may often be assisted by a "Recorder" who keeps a summary of the meeting on a flip chart where all participants can see it. In small meetings (10-15 people) the meeting leader may also act as the Recorder. In large meetings (100+) the flip chart may prove impractical since so few can see it, and it may be necessary to use an overhead projector, or abandon the efforts to keep a visual record.

The visual record can be useful even when there is a court reporter keeping a verbatim transcript. Transcripts are very rarely seen by the public (their cost is prohibitive), so they do not serve the same purpose as the visual record.

The purposes of the visual record are:

1. It "accepts" everyone's contributions by recording them.
2. It keeps the contributions very visible and helps people keep track of what has or hasn't been suggested.
3. It serves as a visibly agreed-upon record of the meeting.

In order that the visual record be mutually agreed-upon there are two ground rules that need to be agreed upon. These are:

1. The Recorder must make every effort to avoid editing or editorializing in the summary in ways that change the meaning or bias the summary.
2. Any individual who doesn't believe the summary accurately reflects his/her comments is free to have the summary of their comments changed to their satisfaction.

Who Should be the Meeting Leader

Traditionally large meetings have been conducted by Regional Directors or other high-ranking officials within WPRS. This is based on the public's need to know that they are "getting through to the top." Also "high-ranking officials," like everybody else, like the recognition that comes with meeting leadership. But having high-ranking officials conduct meetings is not always the wisest decision. Some of the other

factors which should be considered are:

1. The number of public involvement meetings has been increasing steadily. Establishing the precedent that every meeting must be conducted by a high-ranking official may put an undue stress on staff time.
2. Participants may react more to the psychological size of a high-ranking official than they would to someone selected solely for their meeting leadership skills.
3. Regional Directors, or others in power, may react with pronouncements or make commitments under pressure as a meeting leader which would be best made after more reasoned consideration.
4. The meeting leader should stay out of content discussions, which may be difficult for high-ranking officials.
5. Individuals who receive specialized training in leading public meetings may be able to lead meetings as well or better than individuals with higher organizational standing.

In many cases Regional Directors, or other officials, may have acquired excellent meeting leadership skills through training or experience. As a result the combination of "getting through to the top" plus skills may be unbeatable. An alternative is to have the Regional Director open the meeting, explain that he/she wants to give full attention to people's comments, and introduce a meeting leader. This combines the "getting to the top" effect, while reducing the risks outlined above.

As public involvement increasingly becomes a way of doing business in the Water and Power Resources Service, the likelihood is that the number of public meetings may make this an insignificant issue. It may become totally impractical for Regional Directors or other high-ranking officials to be involved in any but just a few extremely important meetings. As a result, it is essential that individuals be identified who possess personal characteristics which make them potentially effective meeting leaders, and provide them with the training and development experiences necessary to effective meeting leadership.

CHAPTER 17: : HANDLING A HOSTILE AUDIENCE

If you conduct public involvement for some period of time, you will almost inevitably confront a hostile audience. At the extreme, the audience may challenge everything that WPRS has ever done, calling it "boondoggles," "pork barrel," etc. And then as if that weren't enough, challenge your own personal integrity, parentage, and generally accuse you of ripping off the American taxpayer. Fortunately this extreme version doesn't happen very often, but even a little dose of it is enough to convince people that they would like all there is to know about how to avoid these kinds of situations. One important thing for you to know--from those who have experienced such meetings in the past--is that you will survive. Meetings have a finite length, and while subjectively they appear interminable under these circumstances, this too shall pass.

It actually makes it worse in such a meeting if you spend your time resisting the fact that this event is occurring, by constantly telling yourself that it isn't fair or "ought not to occur," etc. Providing the public a chance to complain about the services delivered by its government is so basic to a democracy, that even its excesses are tolerated. The alternative is a form of government in which the public is only able to complain when it follows the rules--and soon you have no democracy. The price we pay for democracy is that every now and then one of us has to stand up and take it from the public. While at the time it may not seem so, on balance it is a small price to pay for a democratic society.

You Are Not the Target

Psychologist Laura Huxley wrote a book several years ago entitled You Are Not the Target. The point of her title was that in many human interactions, the anger and frustration you are experiencing from the other person is not directed at you personally, but at the things you personify to the other individual, or at the role you are playing. It is absolutely essential for your survival in front of a hostile audience, that you understand that they are not responding to you as an individual--Jim, John, Mary, Pete--but as a representative of the agency or even "The Government." While you yourself may be attacked, you are not really the target. The source of frustration is the agency or government in general.

In other words, how we relate to other human beings is shaped not just by our personal reactions to them, but by the roles they play: banker, boss, judge, hotel clerk, etc. We often react to people based on the role they are playing right now, regardless of whether or not we like or dislike them personally. For example, if you show up at a hotel late at night expecting that you had a guaranteed reservation only to find no reservation on file, you may know that the desk clerk had nothing to do

with your lost reservation and yet you may still express some frustration and anger at that person because of the situation. They have been placed in the role of dealing with such issues, so your feelings are directed at them. Much the same is true of you when you are in front of a meeting, you are in a role as representative of the agency, so you will receive the brunt of their feelings even if those feelings are inappropriate to you personally.

One of the attributes of a role, is whether or not it is a "power role." Examples of power roles might be bankers, doctors, judges, auto mechanics. The related non-power roles are loan applicants, patients, law violator, individuals with broken automobiles. When we react to somebody in a power role, we not only react to them as individuals, we also react to the fact that they have power over us.

Most of us have developed a repertoire of behaviors for coping with power. Some people are appeasing or supplicating, others are defiant and rebellious, still others become devious and scheme how to gain power themselves. These behaviors are neither good nor bad, they are simply human, and we learn them early on in life and tend to continue to utilize them whenever we get in another power situation. Regardless of whether they act supplicating or rebellious, most people still experience anger and frustration when a power figure uses the power in such a way to block what they want. Since most of us have to deal with a number of power figures, and not always satisfactorily, we also carry around a batch of frustration and anger towards power figures that can be easily triggered and aimed at whatever power figure we see thwarting us at the moment. In other words, the amount of anger and frustration we feel in situations where someone else possesses the power may be exaggerated in comparison to the importance of the incident, because we all carry around this bag of past frustrations in dealing with power figures. This is particularly true in people's dealings with government; if they are frustrated with experiences they've had in previous interactions with governmental agencies, and now are frustrated with something WPRS is doing, the amount of anger and frustration which is expressed towards WPRS is not just the result of the immediate situation, but their more generalized frustrations with government.

The irony of being in a "power role" is that people may be reacting to you based on your "power role" at the very same time you feel quite powerless in the situation. The audience may see you as "the big bad government," at the same time you see yourself as a helpless little person at the mercy of all these angry people. Again bear in mind that they are not reacting to you as an individual, but to the impersonal role you represent. But, as we will discuss in some detail below, this does not mean that how you act personally is irrelevant to the situation. You may engage in behaviors that exaggerate the power role in people's minds and give increased permission for them to vent their

frustration and anger towards you, or you may engage in behaviors that make you seem more like a real human being to them, and less like a role. Generally speaking, it is better with a hostile audience to do nothing to exaggerate your power role, and to engage in behaviors which make the audience realize that they are dealing with a fellow human being rather than an impersonal role.

There are times, of course, when interest groups may exaggerate their grievances and engage in personal attacks in an effort to lead the audience in an onslaught against the agency. While they may have genuine grievances, they are using the expression of hostile feelings as a "ploy" rather than as simple direct expression of feeling. Under these circumstances it is more difficult to get them to recognize you as a human being, rather than a role, because it suits their political purposes to see you treated as a role. The one limit on the strategic use of hostility is that if they overplay their hands and you appear warm and human to the rest of the audience, it will be they who are disapproved of by the audience rather than you.

Expression of Feelings

Feelings are much like water in a hose. If the water can't get out--if feelings go unexpressed--the internal pressure builds. There are times when meetings appear to be simply an opportunity for the constriction on expression of feelings to be removed, with feelings being expressed with an intensity that is due more to the fact that they have been held under pressure than the immediate grievance. Particularly if this is the first meeting in a community after significant elements in the community have decided that somehow the agency has "done them wrong," there is often little that you can do except stand there and take it. It is almost as if such a meeting served the purpose of ventilating feelings. It is an observable phenomenon that so long as feelings are at such a high level of intensity there is little likelihood that much productive work can be accomplished. As a result there may be times when it is necessary to hold a meeting simply to allow public to vent its frustrations, with a second meeting a couple of weeks later to begin to hammer out some ways of responding to those frustrations. There may be interest groups that will attempt to use the second meeting to ventilate frustrations again, but often the majority of citizens having "cleared the air" will be ready to begin working towards a solution of the problem rather than simply repeating the things said at the previous meeting.

It is a fundamental principle of dealing with a hostile audience that the meeting be conducted in such a way that it serves the public's purpose, not the agency's. If you attempt to manipulate the audience into doing what you want them to do, such as keeping all their anger and frustration under control, you will simply increase the audience's frustration and if the feelings do burst out they will burst out at a much higher level of intensity.

Planning for a Potentially Hostile Meeting

If you know you are going into a meeting which is potentially hostile, there are several things that you can do in advance to minimize the hostility and make the meeting more productive. These include:

Personal Contacts in Advance: One way to reduce people's perception of you solely as a role, rather than as a human being, is to get to know them personally in advance of any meetings. This means that you might identify leaders of key interest groups that are likely to have strong feelings about agency actions and meet with them prior to the meeting. Obviously such a meeting is effective only if you do a good job of listening to their concerns, rather than coming back with standard bureaucratic responses. If you can begin to build some level of trust and confidence, this serves as a brake on the level of personal attack they are likely to engage in in the meeting. However the reciprocal responsibility is to act in such a way that you continue to deserve that trust.

Agreement on Ground Rules: If you are going into a very large meeting where you anticipate strong antagonism, then there will be a need to set ground rules for participation. Sometimes these ground rules themselves become the first test of the audience's strength versus yours as the meeting leader. For example, time limits on speakers may be translated as an effort on your part to control expression of negative feelings. If the potential exists for this kind of problem, it is advisable to meet with leaders of the various interest groups prior to the meeting, and hammer out the ground rules by mutual agreement. Then when the meeting occurs, you simply announce that you did meet with these groups to establish ground rules and announce the ground rules as a mutual decision rather than something imposed on the audience by you. Or you may simply announce the need for some kind of time limit, and consult with the audience on its length.

Small Group/Workshop Design: Sometimes the difference between a meeting that simply is a "dump" of negative feelings versus a productive meeting is the format of the meeting itself. For example, a meeting where everybody stays in the main room and listens to speakers berate the agency may produce little of value, while a workshop in which people break into small groups to identify their concerns about the agency's actions may produce detailed lists of concerns to which you could respond. In effect the small groups serve as an opportunity for ventilation of feelings, with the content of the concerns coming back to you in the form you can use the most. As indicated earlier, the intensity of feelings builds when they are held under pressure, and sitting silently listening to speakers of opposing points of view is one sure way to increase

intensity of feelings. But if you can be in a small group where everybody has plenty of opportunity to speak, usually this serves as a better device for giving everybody a chance to express their feelings.

The two limitations on the use of small group techniques in hostile meeting situations are: 1) The small group format must do an equally good job of meeting the public's needs, as they perceive them, rather than be a form of manipulation, and 2) If the majority of the community is in opposition to the agency, they may prefer the power of numbers, and resist being broken into small groups which they will interpret as an effort to "divide and conquer."

Selection of Meeting Leader: Ordinarily it is best if the meeting leader is somebody who is known to the community or groups with whom the meeting is being held. Not only is there the likelihood of some level of trust and confidence being built, but this individual will be more of a human being to the participants rather than just a role. Using a leader from "outside" the local community, can interpreted as a sign of fear of the local community and an effort to put a barrier between the local community and the agency. If people are used to talking with the WPRS representative on the street, they don't see why he can't be the one also leading the local meeting.

An opposing view that should be considered, however, is the possibility that the local WPRS representative may have a more difficult time avoiding defensiveness. Because he is likely to have had personal involvement in the projects or issues being discussed, he is also much more likely to feel obliged to defend in such a way that he is directly or indirectly telling the audience they are wrong. Defensiveness on the part of the agency will produce a counter reaction from the audience, and things can only get worse. Also there are times when you don't want to put your local representative in the position of being at odds with the community, so that he can stay in communication with them. If a meeting is particularly rancorous, the local individual may have difficulty maintaining good communication if he has been the one receiving all the attacks. If someone from the outside, such as a regional office representative or a consultant, conducts the meeting, then the local WPRS representative may still be perceived as someone that the local public can talk to despite their attacks on the agency, thereby maintaining the personal lines of communication.

Conducting a Hostile Meeting

There are several basic principles that should be observed in the conduct of any meeting that is potentially hostile. These include:

Avoid Defensiveness: As mentioned earlier, it is imperative that you avoid defensive reactions to the audience. Defensiveness breeds counter defensive reaction and increased acrimony. In particular it is important to have someone lead the meeting who can stay cool under pressure, and does not have such a high sense of personal involvement in the issues that he will feel obliged to defend the agency's actions. Sometimes it is even useful to have a meeting leader, whose sole job it is to keep the meeting moving along, and a resource person who is there to provide factual information regarding the agency or the issues. This way, when there is a question, the meeting leader can turn it over to the resource person rather than getting into the mode of responding to audience concerns or issues. Experienced meeting leaders have discovered that once they start trying to answer audience concerns, they move quickly down the road towards defensiveness.

Be a Facilitator: Before you lead a potentially hostile meeting, be sure to read Chapter 16 of this manual on Meeting Leadership. This chapter emphasizes the need to be a facilitative rather than formalistic or authoritarian leader. Particularly in a potentially hostile situation a heavy-handed or authoritarian leader will challenge the audience to further expression of resentment and anger. As this chapter stresses, people accept meeting leadership because it is in their self interest. For anybody to accomplish what they want in the meeting there must be some structure. But if you use your position of meeting leadership to impose your structure, rather than meeting the public's needs, then expression of anger and frustration is inevitable.

If you have gone to great lengths to consult with the public, to listen to their concerns, to respond to their problems, you have built some strength with your audience which you may need in case of a particularly hostile participant. If you have been clearly reasonable and concerned for the audience, this does not give the same level of permission for attacks upon you, as would authoritarian leadership. If the audience respects the way you have conducted the meeting, then there will be some self-policing on their response to you as a leader. But if they feel you use your power role to control or manipulate them, they will become that much more resentful.

Avoid Symbols of Power: As outlined earlier, people's reactions to you are not based solely on their perception of you as an individual, but on your role as a representative of the federal government. Large numbers of staff, elaborate graphics and visuals, flags, uniforms, etc., all serve to reinforce those images of power rather than show you as a human being on the same level as everybody in the audience. As a result, all of these power symbols have the same effect as being an authoritarian leader, and incite the

audience to find ways of equalizing their relative power. As a result it is necessary to be sensitive to how you are presenting yourself to the audience, being certain that you do nothing to exaggerate the resources of the federal government which are being brought to bear in the situation.

Setting Ground Rules: Many of the problems that arise in a meeting with a potentially hostile audience can be handled by consultation with the audience on a reasonable set of ground rules. As mentioned earlier, it is often desirable to set these ground rules in advance with representatives of the major interest groups, but if this is not possible it is still desirable to suggest ground rules to the audience and discuss them with them. Again, the ground rules must be presented on the basis that some minimum structure is necessary for everybody to get a chance to participate. Examples of ground rules would be: time limits on speakers, the order in which speakers will be taken, limits on the topics being discussed, etc. If you have consulted with the audience on these ground rules, then they have some stake in carrying them out. If you simply impose them on the audience, then people within the audience may find it politically strategic to challenge you on those rules as a way of proving to the audience how authoritarian you really are.

Use of Active Listening: Many of the participants in WPRS public involvement training have been taught the skill of Active Listening. Active Listening is a skill designed to help you acknowledge and indicate understanding of someone's comments, without either approving or disapproving them. The minute you get into approving or disapproving comments from the audience you set yourself up as an authoritarian figure to which people with opposing points of view react. As a result Active Listening is a particularly helpful skill in a hostile meeting, where your response to an individual's expression of frustration and anger can be to acknowledge that frustration and anger without judging the comment in any way. Basically Active Listening consists of summarizing both the feeling and the content of the person's message in your own language and repeating it to them to verify that you understood their message. While this sounds simple, it is a definite skill that requires considerable practice, so it is strongly advised that leaders be chosen who have been exposed to Active Listening training.

Use of a Recorder: In smaller meetings--up to about 50 persons--it is often useful to have a flip chart and a person present to record summaries of the public's comments on the flip chart. This serves much the same purpose as the Active Listening, in that it acknowledges and accepts the person's comment without judgement. It is clearly visible that the agency has heard and understood the citizen's concern, because a summary of that concern is written down

where everyone can see it. Incidentally the record kept on the flip chart is often a good simple summary of the meeting which can be distributed following the meeting as a summary of the concerns expressed.

Send the Problem, Not the Solution: If you are conducting a meeting and a situation occurs where you believe the imposition of some structure is going to be necessary for the meeting to be productive, it is important that you send the problem rather than the solution. For example, if people are being interrupted without a chance to complete their presentations, rather than saying "don't interrupt," which is a solution, send "I am concerned that people are being interrupted and may not be able to complete their presentations," which is the problem. When you send the problem only, it leaves room for the others to react without feeling subordinate or submissive to your direction. When you send the solution, it may come across as having added emphasis because of your power role, and people may react to you as if you had acted in an authoritarian manner. One skill that is particularly helpful in this is the skill of Congruent Sending, which is also taught in WPRS public involvement training.

Use of Humor: Good spontaneous humor can often break up the heavy atmosphere of a hostile meeting. If you as a meeting leader are able to be sufficiently comfortable to make natural and appropriate humorous remarks, the tension level in the meeting can dissipate. Of course strained and inappropriate humor can hurt rather than help.

One Final Comment

Conducting a hostile meeting may require considerable discipline to keep oneself from reacting or responding in a defensive or challenging manner. The stress level during such meetings can be considerable upon the meeting leader. Experienced meeting leaders often anticipate this, and make provision for some form of physical exercise following the meeting--such as cutting a cord of wood or jogging--as a method of relieving some of the nervous tension that builds up during such a meeting.

CHAPTER 18: ESTABLISHING ADVISORY GROUPS

Advisory committees, working groups, task forces, citizens committee--whatever they are called--can be an important element in a successful public involvement program. On the other hand, if poorly established, they can be a source of continuous frustration both for the agency and the members of the group. Experiences with advisory groups in Water and Power Resources Service public involvement programs have ranged from excellent to extremely frustrating. This chapter attempts to identify some guidelines to ensuring the productivity of any advisory groups.

Legal Restrictions on Advisory Groups: The term "advisory committee" as used within WPRS may mean many kinds of groups including task forces, working groups, blue ribbon committees, etc. Within the larger context of government it has a somewhat more precise and different meaning. Over the years a number of formal advisory committees or panels were established to provide counsel to the President or Secretaries of the departments. Most of these committees were permanent committees, with membership a political honor requiring appointment by either the President or Secretary.

Over time these committees became so cumbersome and ingrown that most of them were finally abolished by Presidential Order. This order also precluded the establishment of new advisory committees. Further interpretation of this order by the departments indicates that this order does not apply to an advisory group related to a specific decision-making process or planning study. The distinction would become much fuzzier if a Project Office or Regional Office had some kind of standing permanent advisory group. To avoid difficulties it is recommended that there be no permanent advisory groups, and it may avoid some potential confusion by avoiding the specific phrase "advisory committee," using substitute phrases such as advisory group, citizens committee, citizens working group, etc.

WHY ESTABLISH AN ADVISORY GROUP

The first question to be answered is what purpose can advisory groups serve that are not just as adequately served by public meetings, etc.? The value of an advisory group is to establish a group representing the full range of opinion in a forum which allows for thorough education of the participants, detailed discussion of issues, and informal dialogue rather than "official" positions of groups. Because of these characteristics, advisory groups can assist in a number of important ways. These include:

- . Help set study priorities or assist in "scoping" an environmental impact statement.
- . Review technical data and make recommendations on its adequacy.
- . Help resolve conflicts between various interests.
- . Help in the design and evaluation of the public involvement program.
- . Serve as a communication link to other groups and agencies and bring reactions back to the agency.
- . Review and make recommendations on the decision-making process.
- . Assist in developing and evaluating alternatives.
- . Help select consultants and review contracts.
- . Review and make recommendations on the study budget.
- . Review written material prior to release to the general public.
- . Help host and participate in public meetings.
- . Assist in educating the public about the proposed action and the decision-making process.

WHAT AN ADVISORY GROUP CANNOT DO

An advisory group cannot substitute for review of a proposed action by the general public. The public has not created the advisory group, nor granted it the authority to act for it. On the other hand a consensus within a representative advisory board may be persuasive to the broader public, and it may be willing to follow an advisory committee's recommendation.

As a general rule, however, public involvement programs should be designed in such a way that periods of time during which the agency works closely with an advisory group should be followed by opportunities for review of their endeavors by the general public.

PROBLEMS WITH ADVISORY GROUPS

There are two major problems that have occurred with advisory groups: 1) Conflicts over the advisory group's role in decision-making, 2)

advisory committees becoming a new elite unrepresentative of their constituency.

Role in Decision-Making: By the time advisory group members have spent many hours in meetings, often participating in discussions about all aspects of the study, they will develop a strong sense of "ownership" or vested interest in the outcome. Even when it has been stated in the beginning that the group's role was only advisory, there is inevitable frustration if a decision is made by the agency which is substantially at odds with the advisory group. In addition the advisory group serves as a forum for people who are unhappy with a decision to appeal to allies, with the implicit threat of advisory group opposition to a proposed action. While this has no legal basis, the reality is that if community agreement is necessary to implement an action, then just as the recommendation of the advisory group for an action can help convince the community of its desirability, the overt opposition of an advisory group can make community agreement virtually impossible. There are political realities as well as legal realities, and the political reality is that, once an advisory group is established, decisions made in the face of advisory group consensus may be difficult to implement, even though the agency has the legal right to make the decision.

Becoming a New Elite: One of the principal advantages of working with an advisory group is the opportunity for advisory group members to become fully educated about the proposed actions. Also, as individuals have to deal across the table with individuals with opposing views, there is a tendency for views to become more moderate.

However there are often two unfortunate effects which result from increased education and exposure to other points of view.

The first is that often advisory groups rather quickly become elitist in their own views and not infrequently believe that certain decisions need not be taken to the general public who, they argue, wouldn't be sufficiently well educated to deal with the issue anyway. This is, of course ironic, since it is a view often ascribed to government employees.

The second effect of increased education and exposure is that the views of the advisory group members often become unrepresentative of the groups and interests they supposedly represent. The advisory group members are having to talk with representatives of other groups and receiving a great deal of new information, while their constituents tend to be talking only to each other, reinforcing their existing views. The result is that the views of advisory group members often evolve away from the views of their constituency. Rather than

viewing this as a natural progression, the constituencies tend to view this as "selling out." As a result it is imperative, as indicated below, to develop methods of communication between advisory group members and their constituencies both so advisory group members "keep in touch" with their constituencies' views, and also "bring their constituencies along" with any new ideas that could lead to consensus among the various constituencies.

GENERAL PRINCIPLES IN ESTABLISHING ADVISORY GROUPS

1. Advisory groups must be representative of the full range of interests and values of the interested publics.
An advisory group that only represents interests that have been traditionally supportive of Water and Power Resources Service activities is misleading to the agency, and undermines the credibility of the entire public involvement effort. To be effective advisory groups must provide representation for all groups which see themselves potentially affected by the proposed action. This includes not only groups affected by economics or use, but also groups concerned philosophically about the manner in which natural resources are being managed.
2. Clearly define the group's role in decision-making.
As indicated above, confusion about the role of advisory groups--coupled with a natural inclination of advisory group members to want to have maximum influence on the outcome--is one of the major sources of problems with advisory groups. While the potential for difficulty can never be totally eliminated, the chances of confusion or eventual feelings of betrayal can be substantially eliminated if there is an open and candid discussion of the group's role in decision-making at the beginning of the process. One agency even goes so far as to develop a kind of "contract" with advisory groups, spelling out the limits of the group's authority on paper. It is also extremely helpful to spell out to the group what some of the countervailing pressures and limits are upon WPRS. Everybody works within limits and when these are understood they can be dealt with openly. The greatest risk of all is to create an unrealistic impression of the scope of the advisory group, creating a greater sense of betrayal than if there had been clearly defined limits in the first place.
3. The life of the group should be limited: The longer that a group is in existence, the more likely it is that the members of the group become unrepresentative of their constituencies and instead become a new kind of elite.

As a result it is important to establish from the beginning what the life of the group will be. Typically, the life of the group coincides with the duration of the decision-making process or study.

4. Efforts should be made to insure that members of advisory groups maintain regular communication with the constituencies they are supposed to represent. As suggested above, advisory groups tend over time to become a new kind of elite, and unless the expectation is established from the beginning that one of the duties of advisory group members is to maintain communication with their constituencies, then the membership may become increasingly unrepresentative of the public at large. This communication with their constituencies could take the form of briefings of the groups they represent on study progress, informing their constituencies through their own organizational newsletters, or occasional interviews with other leaders from their constituencies.

TYPES OF ADVISORY GROUPS

The term "advisory groups" covers a wide range of types of groups from blue ribbon panels, standing advisory committees, citizens committees, working groups, task forces, technical advisory groups, etc. An effort is made below to distinguish the major types:

Task Force: A task force is usually organized to work on a specific problem or single objective and exists only for the period of time necessary to complete the task. A task force may be a sub-group or sub-committee of a larger advisory group. To ensure its effective working, task forces are usually limited in size so that they can be an effective working group.

Technical Advisory Committees: The Principles and Standards require the establishment of an inter-agency working group on feasibility studies. It is also not uncommon to establish technical advisory groups on other decisions. Typically technical advisory groups are composed of technical experts from other governmental agencies or interest groups. The function of the technical advisory committee is to evaluate the technical adequacy of the program and review the program of the technical portions of the study. Because of the technical background of its members it should be possible to deal with highly technical problems, and also resolve conflicts between agencies on an informal basis, rather than through critique of an EIS at the end of the decision-making process.

The danger of having both a technical advisory board and a citizen group (usually with some overlapping membership) is that the citizen group often becomes suspicious that the technical group really has more say than it does, relegating the citizens group to second-class status. As a result it is important to utilize the overlapping memberships as a means of ensuring communication between the two committees, and make certain that materials brought to the citizens group have not always been "pre-digested" by the technical advisory group.

ORGANIZING THE ADVISORY GROUP

As indicated above, it is extremely important that an advisory group be representative of the full range of values within the community. This requirement is, however, often in conflict with limiting the group to a small enough size that it can be an effective working body. Once a group exceeds twelve to fifteen members in size, it becomes increasingly difficult for that group to be an effective working body. A larger group can discuss issues or react to materials, but it can rarely work out detailed programs or engage in effective mutual problem solving. Very often the need to insure that the advisory group be representative outweighs the problem of insuring that the group be an effective working size, so that advisory groups have been known to be as large as 200 members, although this has never been the case on a Water and Power Resources Service project. Whenever advisory groups get above 25 members, it is typical that they have a structure of sub-committees or task forces which are used to accomplish specific work tasks. Frequently a large advisory group will also elect some kind of steering committee or executive group which can be consulted by the agency on a more regular basis than the entire committee.

There are several types of members that can serve on advisory groups:

- Organizational representatives: Organizational representatives should, theoretically, be able to speak for their group and insure that the agency is familiar with the views of its membership. As a result, however, many organizations are unwilling to have their membership serve on advisory groups as they are afraid that it compromises their independence and commits them to an outcome which they might find unacceptable. In addition, experience has shown that the fact that somebody is appointed a representative does not guarantee that they are speaking for their full membership.
- Interest representation: Even when organizations do not want to send official representatives, it is possible to have interests represented. For example, one individual or several might speak on behalf of "environmental interests" even though they would be unwilling to speak on

behalf of specific groups such as the Sierra Club, Isaac Walton League, etc. In this case they are not speaking on behalf of their organization, but are simply sharing the values and concerns that are typical of people who are members in those groups. Again, there is no guarantee that they will, in fact, be representative of the membership of the organizations when a final decision is reached. As indicated above, after they have served as part of the committee for some time, advisory group members are likely to become increasingly unrepresentative of their constituencies. So it is extremely important that links be built and maintained back to their constituencies to insure that in fact they are representing this particular interest.

- Self Selected. An alternative method is simply to allow the membership of the group to be determined by those who are willing to volunteer and spend time on the committee. This has the advantage that in no way has the agency shaped the membership of the group, but has the distinct disadvantage and probability that the group will not be representative of the full range of interests within the community.

One of the critical issues in determining group membership is the role that the group will play. If the group will be a voting group, taking formal stands on various policy issues, then the composition of the group becomes extremely critical. If the group simply serves as a sounding board, verbally reacting to materials and ideas presented by the agency to arrive at a consensus or simply to provide the agency with different points of view, then the composition becomes less critical. It still remains important, however, that the agency hear the points of view of all interests.

METHODS OF SELECTING COMMITTEE MEMBERS

The biggest single problem in establishing an advisory group is to select members in such a way that the public believes the committee represents the community. Because an attitude of suspicion often exists towards the agency, there are frequent accusations that agencies have established advisory groups in such a way that they were "stacked" towards the desired ends of the agency. There are six basic strategies by which members of an advisory group can be selected:

- a. Members are selected by the agency with an effort to balance the different interests. As mentioned above, this runs the risk of the public believing that the agency has established the group to serve the agency's purposes. This danger can be reduced somewhat if the agency has consulted thoroughly with various other governmental agencies and interest groups prior to making

these selections and the selections clearly encompass many of these recommendations.

- b. The agency may turn over the selection of the advisory group to some third party or group. One approach is to have some local elected body such as a city council or board of supervisors select the membership. An alternative approach is for the agency to select a small committee and permit the committee to select a pre-determined number of additional members. In either of these cases, it is extremely important that the agency communicate its expectations that the membership of the group should reflect the entire range of values within the community.
- c. An alternative method is for the agency to identify the interests it wishes to have represented and allow the various groups within those interests to select their own representatives. This can create administrative problems as volunteer groups sometimes have difficulty coordinating between themselves to select a representative, but it does eliminate the risk that the agency will be seen as "stacking the deck."
- d. It is also possible to use any of the three methods above and then augment the membership with the addition of volunteers. This in effect allows the different interests to adjust the membership of the group by obtaining volunteers from their own ranks. But if votes are being taken, it does lead to the risk that various groups will "stack the decks" by trying to add a large number of additional volunteers.
- e. In a few cases, membership on an advisory group has been determined by popular election. This last technique has been utilized only on projects where the target publics are clearly identified and limited, such as in a Model Cities Program.

ESTABLISHING PROCEDURES FOR AN ADVISORY GROUP

If an advisory group will be working together over a number of months, then it may wish to establish a set of procedures by which to govern itself. There are definite pros and cons to defining a number of procedures. At the beginning of an advisory group participants are usually more willing to agree on procedures than later on when the procedures may have political consequences. It is always easier to agree on things before the controversy has started, rather than afterwards. On the other hand, there is nothing more chilling to enthusiasm than to spend hours at the first meetings of the group wrangling over procedures when

the group wants to get on with substance. In fact it is very important that the first meetings of a group give it a real sense of accomplishment and importance.

Among the procedures to be considered are:

- Voting: Probably the single most important procedural decision a group can make is whether or not decisions will be made by voting. The need or lack of need for definition of other procedures--such as rights of alternates, use of Robert's Rules of Order, etc--often hinges on this issue.

The natural inclination of all groups in the United States is to vote on issues. Naturally this practice is particularly favored by those interests who believe that their position is held by a majority of the members of the group. However there are strong arguments for avoiding the use of voting whenever possible.

First, despite efforts to make advisory groups broadly representative, there is no guarantee that the public is represented in the same proportion or balance as in the public at large. Votes may merely reflect imbalances in the composition of the group rather than majority feeling of the public at large. Also when the objective is to get community agreement, a badly divided group--either pro or con on a particular action--serves little. The goal is always to work towards as high a level of agreement as possible. Taking a vote may stop discussion, freezing a majority/minority split into permanence, rather than encouraging continued discussion which might lead to common agreement. When voting is used there is no need to find the best possible answer so long as you have the votes. Finally, almost invariably achieving any kind of compromise requires people changing their positions. Often this doesn't happen in a single meeting. People may have an argument, think about it for awhile, and respond at a later date. Voting may force people into taking a fixed position, preventing change at a later date.

The procedure which is usually used instead of voting is a "sense of the meeting" approach. In this approach the meeting leader listens carefully and when there appears to be a consensus, states this as his/her understanding of the "sense of the meeting" and checks whether this is acceptable to the group. The sense of timing and ability to accurately state the consensus is a definite skill, but often one that can keep a group moving, where otherwise it would bog down. Obviously the credibility of the

meeting leader as a servant of the group, without something to push or sell is essential for this approach to work. If it is impossible to get agreement on a sense of the meeting, the meeting leader would then ask the group how they might go about resolving the controversy. One alternative which remains is voting. Other times the group can agree on procedures for resolving key factual issues which prevent resolution. Another option is to drop the issue and pick it up at a later meeting, when people have had an opportunity to think about things. There are several cases in the public involvement literature where advisory groups have worked together very successfully for several years without ever taking a vote.

- Attendance: Some groups wish to establish minimum attendance requirements so that if a member is absent more than a certain number of times, they are dropped from the committee. Another attendance issue is whether or not members can send alternates to participate in the group. This is rarely a problem unless there are "voting rights" involved.
- Participation of observers: If the group has a regularly established membership, then groundrules may need to be established indicating whether observers are welcomed at group meetings and may speak at the meetings.
- Sub-committees: It may be necessary to establish sub-committees to accomplish specific work tasks and, if so, then the responsibilities and authorities of the sub-committee should be clearly defined.
- Confidentiality of materials. In some cases a group will be reviewing written materials that are not yet ready for release to the public and may undergo substantial modification before being made available. Whenever such materials are reviewed in the group, there may need to be some ground rules established to govern the confidentiality of the materials.
- Constituencies: As indicated several times above, it is extremely important for advisory group members to maintain communication links with the constituencies they are supposed to represent. It may be useful to establish specific procedures, such as regular reports to the total group from the constituencies, to insure that these communication links are being maintained.

- Parliamentary Procedures: The committee may wish to agree on parliamentary procedures such as Robert's Rules of Order. It may be, however, that parliamentary procedures become awkward and confining and cause the group to spend more time on procedures than on substance. In particular, Robert's Rules of Order assumes voting procedures and so should not be adopted unless the committee is going to be voting on issues.
- Group Member Expenses: It should be clearly established from the beginning whether travel expenses and other costs related to participation in the group are going to be borne by the agency or are to be borne by the individual. In the event that they are to be borne by the agency, then the ground rules for expense reimbursement should be very clearly defined.

MEETING ATTENDANCE

One of the issues which haunts every advisory group is whether or not to have regular group meetings so that everybody can come to expect the meeting, or to have meetings as needed. The dilemma is that if meetings are called only when needed, then it is difficult to notify the members of the meeting and there are often conflicts because their schedules are already filled. On the other hand, there is no surer way to lose interest and participation in an advisory group than to hold meetings that do not have a substantial productive purpose. This is a problem that should be discussed early on with the group and every effort should be made to insure that group meetings are as productive and significant as possible.

Many groups also establish a phone network so that if additional meetings are called, or if meetings are on an "as needed" basis, that the agency need only call two or three group members, who in turn call other group members, who in turn call other group members, etc. While formal notification of a meeting by mail is important, there is considerable evidence that personal phone calls are the most effective method to insure attendance at meetings.

ADDITIONAL POINTERS ON WORKING WITH ADVISORY GROUPS

There are several other major principles which should be observed in working with advisory groups:

1. Agency participation with the advisory group should not be limited to public involvement or public information staff. It is extremely important that responsible managers participate with the advisory groups, both so the group

feels that they are being heard by people who have genuine authority, and so that managers hear public sentiment first hand. When public involvement or public information staff alone work with advisory groups this puts them in the awkward position of trying to explain to the agency what the public feelings are, and is usually unworkable.

2. If you are going to establish an advisory group, then you are going to have to be responsive to its requests for information. Nothing can lead to more dissatisfaction and frustration than to create high expectations in an advisory group and then be unwilling or unable to work with them closely and provide them with the information they request. Inadequate preparation and follow-through will destroy the good will that could otherwise result from an advisory group. This means that if an advisory group is to be established, adequate staff resources must be committed to insure success.
3. Agency representatives must speak the public's language when working with advisory groups. Citizens will not understand all the professional language and governmental jargon which will frequently be used by planners. So staff working with the advisory group will have to modify their vocabulary so that they can communicate more effectively. This is no simple task as it often requires the ability to simplify without appearing in any way to be patronizing or talking down to the public.

REFERENCES

The Environmental Protection Agency has published a useful guide on advisory groups titled "Working Effectively with Advisory Committees" by Ann Widditsch of James Ragan Associates. The document is available from EPA's Office of Public Affairs, A-107, Washington, D. C.

CHAPTER 19: WORKING WITH THE MEDIA

Public involvement programs inevitably require communication with the public through the media--radio, newspaper, and television. Since the services of Public Affairs Office staff are available throughout WPRS, this chapter does not attempt to make people media specialists, but provide some general background information about the potential and the problems in working with the media.

Working with the Newspapers:

Newspapers stay in business by providing newsworthy information. This apparently obvious statement is extremely important in understanding the relationship between a newspaper and a government agency. You are in competition with all other newsworthy events in your community for coverage in the local newspaper. In some small towns anything WPRS does is newsworthy. In metropolitan areas there is fierce competition for any coverage at all. Media specialists in urban areas have rather elaborate techniques for getting the coverage they need. Unless a story is inherently newsworthy, they will find an "angle" which makes the story more interesting or provocative. Or they may put the story out Saturday, knowing that Sunday morning papers are often desperate for news and will run stories that would never get coverage during the work week. The point is that to understand the media you have to remember that it is their job to find stories that are interesting to the general public, not just to people interested in water issues. They have a responsibility to report the activities of government to the public, but when there are many government agencies they will pick and choose among those stories that have the greatest public interest.

Attitudes Towards the Press:

While it is perfectly legitimate to establish personal relationships with members of the press, you must constantly remember that it is appropriate for you to provide news to the press, but you cannot dictate how it is used. Newspaper people take great professional pride in their work, and can easily become defensive or insulted if you attempt to do their job. If you do have a disagreement with how a reporter has covered a story, this should be discussed privately and rationally with the reporter--or simply ignored. Efforts to go over the reporter's head to the editor will usually backfire. If you have serious problems with the newspaper, it might be more effective for members of the advisory committee, if there is one, to write letters to the editor for publication.

The most critical thing you can do in relationship to the press is to establish and maintain your own credibility. Above all this means that you must be honest and not evasive. Don't dodge controversy; it is the life blood of the newspaper business, and if you attempt to downplay controversy too much, you will begin to lose your credibility. Avoid "no comment" responses, and return phone calls to the press promptly.

If a newspaper reporter is not able to reach you before his/her deadline, he will likely indicate that you were "not available," which looks to the public as if you are avoiding the press. If you are taken by surprise by a reporter's question or a public statement by an individual or group, it is better to say that you have just heard about the statement and will have a response as soon as you have had an opportunity to study it. Then be sure you do get your answer out quickly, after appropriate agency coordination.

Establishing Yourself with the Press

As in all human endeavors, it helps to know the people of the press personally. If they know, like, and trust you they are more likely to be responsive and helpful. As noted above, this means you have to keep your end of the bargain by being trustworthy and open in your dealings with them.

The first step in establishing yourself with the press is to identify those newspapers that are most likely to be interested in water issues and communicate with the publics you need to reach. If you are in a rural area, this may include all the local newspapers. If you are in a regional office, some newspapers may be more essential than others. Not that you will withhold information from any newspaper, but some newspapers, justify additional efforts to get to know key personnel.

Once you have identified newspapers which are most likely to be concerned with the issues raised in your public involvement program, it is perfectly legitimate--in coordination with your Public Affairs Officer--to make a personal visit to the editor or appropriate reporters from whom you seek coverage. The primary purpose of this visit is simply to get to know this individual, and provide them background information on the issues that are likely to emerge during the community involvement program. It is helpful if you have news releases, summaries of technical background for the study, or brochures which you can leave with the reporter or editor. If you have an advisory committee, it often provides added weight to your visit if a citizen member of the advisory committee accompanies you in calling on the press.

Types of Coverage from the Press

There are many kinds of coverage which a newspaper can provide for stories it believes are newsworthy. Once a relationship is established it is perfectly legitimate to suggest any or all of the following kinds of coverage, although the newspaper is perfectly free to say "no." The kinds of coverage a newspaper can offer include:

1. News stories describing meetings or events, or reporting speeches made by agency leaders.
2. Announcements of meetings or other community involvement activities.

3. Feature stories about the issues being addressed in the study.
4. Editorial support for the community involvement effort.
5. Coverage of press conferences when there are major announcements or events that cannot be covered adequately in press releases.
6. If a newspaper is particularly interested in your issue, they may be willing to not only print feature stories but also provide coverage of reader responses to that story.

Writing a Press Release

One of the most frequent ways agencies communicate with the public is by issuing a press release. If you have a Public Information Officer available, he/she will usually prepare the press release for you. So that you will understand what goes into the preparation of a news release, some background information is provided below.

There are certain general principles that should be observed in writing a press release. The most important is that a press release is written so that the most important information is in the first paragraph, the next most important information in the second paragraph, etc. The first part of the story--the lead--should cover "who, what, when, where, why, how." The second part of the story should cover other important details, and the third part should cover other miscellaneous information. The reason for this is that the first paragraphs of the story should attract the reader's interest to the story. By providing the essentials in the first paragraph or two, the reader gets the important information even if he does not complete the entire story. Also, when editors are squeezing stories into limited space, they will cut the story from the bottom up. As a result, sometimes only the first few paragraphs will survive. If important information has been included in the final paragraphs, the readers may miss the essentials of the story.

Press Conferences:

Press conferences are a useful way of getting the press interested and involved in your stories. But press conferences should not be held if the material to be covered could be equally well handled by a press release. As a result, press conferences should be held only when there is a major story, or when you have a "name" figure such as the Commissioner or Assistant Secretary or a local political figure who will act as a spokesperson. If you do not show concern for the newsworthiness of your press conference, you are unlikely to receive continued coverage of your stories. You must constantly be aware that you are in competition

with other newsworthy events. Since press conferences require additional travel time, they mean the reporter has less time to cover other stories, so press conferences should be utilized only when the additional time is justified by the importance of the story.

The typical format is to have a spokesperson present a short statement, and then allow time for questions from the press. Both the spokesperson's statement, and general background on the study or decision-making process should be printed and distributed to the press at the time of the press conference. The reason for issuing a printed version of all statements or speeches is to assist the reporter, but also protects you by insuring that you are quoted accurately.

WORKING WITH RADIO AND TV

Public Service:

All radio and TV stations are required to provide public service news coverage and features to the community as a condition of keeping their license. As a result, radio and TV stations expect to provide a certain amount of "free" public service time, and will be happy to discuss with you how your public involvement program might be publicized. Keep in mind that although the radio or TV station must provide public service time, it does not have any obligation to provide public service time to your particular program, as there may be a number of other worthy programs competing for the public service time. As a result it is best to assume that you will get coverage to the extent that your story is newsworthy, rather than because of any obligation of the radio or TV station.

Establishing Yourself with Radio and TV Stations:

Most of the principles of working with newspapers apply equally to radio and television stations. The first step is for you to identify those radio and TV stations which you believe will best provide information to the public interested in your public involvement program. You may find that a five minute program on a station with a very large audience elicits far greater public interest and response than a half-hour program on a station with relatively low coverage. Public broadcasting stations and cable television stations, for example, are far more likely to provide you with prolonged coverage, but the number of people watching these stations is substantially less. The first step, once again, is to make a personal call on the news director of the radio or television stations from which you wish to receive coverage. Once again, printed materials should be left with the news director, and the presence of a citizen representative will add legitimacy to your story.

Types of Radio and Television Coverage:

There are several types of radio and TV coverage which you should discuss with the news director. These include:

1. Coverage of meetings or other public involvement events on regular news programs on the stations.
2. Thirty-second spot announcements of public meetings or inviting participation in the public involvement program.
3. Pre-taped guest editorials describing your public involvement program and inviting participation.
4. Appearance of a WPRS official or leading community figures on an interview show.
5. Appearance of a WPRS official or other program participants on a call-in show.
6. A taped documentary describing the issues which will be covered during the decision-making process.
7. Some form of participatory radio or television such as that described in Chapter 21.

Writing for Radio:

In preparing press releases or announcements for radio, most of the same rules apply as in newspaper stories. The critical difference is that with radio and TV the time you will receive will usually be much briefer. You must remember that major world events may receive no more than thirty to sixty seconds of coverage on radio or television news, so your public involvement program will be very fortunate to receive anything equal. As a result, brevity is of extreme importance. You can assume that a story longer than eight to fifteen lines will not appear. It is also important to remember that the news announcer will "speak" your story, so sentences must be brief and of sufficient simplicity that they sound conversational. Like news stories they should always be written in the Present Active Tense, using tight, simple language.

CHAPTER 20: USE OF SURVEYS & QUESTIONNAIRES

The use of surveys, questionnaires, and polls is substantially restricted by requirements that no survey, poll, or formal questionnaire may be utilized without prior approval of the Office of Management and Budget. This not only requires considerable lead time to ensure approval of the questionnaire, but in recent years OMB has been very stringent on the number of surveys approved by each department, regardless of the lead time allowed. In general it should be assumed that the use of surveys, etc., is prohibited except in cases of extreme urgency. This chapter provides you with some background information to assist you in evaluating that urgency, some recommendations for alternative sources of information, and some guidelines on when questionnaires or response forms are acceptable, and when they are not.

REASONS FOR OMB REGULATION

The Executive Order requiring OMB approval for surveys and questionnaires was in response to excessive use of surveys by agencies throughout the federal government. Not only were citizens being bombarded with questionnaires, raising substantial questions of invasion of privacy, but many of the questionnaires were directed at corporations by agencies which had some regulatory power over the corporation. Even when completion of the questionnaire was supposedly voluntary--and many were not, there was still a "coercive" quality to being asked to complete a questionnaire by an agency that policed many of your activities, or was in a position to grant or deny permits, etc.

The other major problem was ensuring the professional quality of the surveys or questionnaires. Unless trained in writing survey questions, most people write questions that either imply the "right" answer, preclude alternative responses, or are easily misunderstood or confusing. Even survey professionals conduct a pretest of their questions, a kind of trial run, to identify questions which are leading, confusing or misleading.

Even though the invasion of privacy and coercive qualities of questionnaires don't seem to apply particularly to surveys conducted as part of public involvement programs, the regulations have been interpreted to cover public involvement activities. In addition there is little question that many questionnaires or surveys conducted in the early days of public involvement were biased and unprofessional, due primarily to lack of training of the people designing and conducting them.

RELATIONSHIP TO SOCIAL ASSESSMENT

Those projects requiring the development of planning documents, require preparation of a social assessment component for the planning document. There is a substantial overlap between the kind of information required

in a social assessment and the kind of information required in public involvement. In addition, most people conducting social assessment should be thoroughly familiar with survey research techniques.

As a result, it is essential that public involvement personnel coordinate with social assessment personnel to coordinate their joint needs for information. Even if no EIS is being prepared, the Regional Social Scientist, or social scientists with the Resource Analysis Branch, Denver E & R Center, should be consulted regarding any possible uses of surveys or formal questionnaires.

THE USEFULNESS OF SURVEYS AND QUESTIONNAIRES

There are three major factors which make surveys, polls, or questionnaires attractive. These are:

Reaching the Silent Majority: Surveys are attractive because they allow the decision-maker some degree of confidence that he/she knows how the silent majority feels, not simply the active participants in other public involvement forums who could be unrepresentative. No other technique offers this ability to tap the feelings of the silent majority.

Knowing the Proportion of Views: One thing about less structured forms of public involvement is that, while the decision-maker may be confident he has heard all points of view, he doesn't know the proportion of people in the general public holding each view. He doesn't know whether a particular viewpoint belongs only to "a handful of minority activists" or is representative of a broad cross-section.

Quantifiability: The other thing which surveys offer is the ability to quantify conclusions. There is an aura of objectivity--often unjustified--to quantitative results which is often reassuring to a decision-maker having to make a difficult choice in the face of strong feelings either way.

PROBLEMS WITH SURVEYS AND QUESTIONNAIRES

Even without OMB restrictions there are a number of problems or limitations on the uses of surveys. These include:

Cost and Professional Expertise Required: As indicated above, professional expertise and training is required in the preparation of a survey or questionnaire. Only recently have Regional Sociologists or social scientists been hired at a regional level, so often this expertise has not been available within the Bureau. The cost of consultants with expertise in this field is often high. In addition, depending on the type

of survey used (mail/self-administered, phone interview, or personal interview) costs of administering the survey can be high. In addition the costs of analyzing the information received in the survey can also be expensive.

Imbalance between Those Impacted and Those Not: As discussed in Chapter 5, "Who is the Public?", there are competing theories of what constitutes fair and adequate representation. In one theory every citizen should be exactly equal. In the other, equity requires that those who are most severely impacted by a decision have somewhat greater say. The logic of polls is that everyone is exactly equal. The fact that one person is severely impacted, while another is not, is usually not considered relevant. Neither is the possibility considered that one person is well-informed and another not, or that one person is highly influential politically and another not. Admittedly there are survey procedures which may allow you to correct for this somewhat, e.g. a comparison can be made of opinions of people living in an impact area versus those living outside it. But generally the logic of surveys is that all respondents are completely equal.

May Be Surveying Misinformation or Lack of Information: One difficulty with surveys is that you may ask questions of people who simply don't have the information to answer the questions intelligently. The survey may simply measure the ignorance or misinformation the public possesses. But because of the quantitative results, this conclusion is rarely identified, and instead the survey is interpreted as having political significance.

Aggregate Results Hide Differences: When opinions from large samples are reported in aggregate form, the differences in opinion between sub-groups are often covered over. While survey design can compensate for this somewhat, there is still some loss of information when it is aggregated.

Poorly Done Surveys Still Politically Significant: Because of the apparent objectivity of survey results, poorly designed and conducted surveys will still have significant political implications. Most people don't understand the logic of surveys, so an argument that a survey is invalid because it didn't follow adequate procedures appears to be a minor technical objection even though professionals know it totally invalidates the results.

People Interpret Results the Way They Want: It is an observable phenomenon that various groups will interpret the results in the way most favorable to their position anyway. Although the area of controversy may be somewhat more limited as a result of survey results, controversy about how the public feels will not be eliminated.

A "TEST" FOR WHETHER OR NOT SURVEYS SHOULD BE USED

Most of these advantages and disadvantages are a moot point because of the OMB requirements. As a result, surveys and formal questionnaires should only be considered when they are urgently required to do a professional job of public involvement. One way to assess the need for a survey is to follow the procedure below, which is a kind of "test" of the urgency for a survey.

1. Identify specifically what it is you need to know. This is the starting point, whether or not you are going to use a survey. Many times the urgent need to utilize a survey becomes less urgent when you get clear on what information is really required.
2. Examine whether the information can be obtained elsewhere. As indicated in the section below, it is often possible to get the information you need from existing surveys or other organizations. Given the restrictiveness of OMB requirements, if you can get the information other ways, do so. The Regional Social Scientist should be an important resource on alternative ways of obtaining information.
3. Evaluate how essential the information is. Often there is information that would be nice to have, even reassuring to have, but it is not essential. Again, due to the OMB regulations if the information is not essential, don't try to use a survey.

Once you know what information you need, and know that it cannot be obtained elsewhere and is essential, then consult with Service social scientists to determine the procedure for obtaining OMB approval. Be aware that it can take as much as six months, and in extremity a year, to get approval. The potential exists that approval will not be granted even if the proposed survey or questionnaire is professionally adequate and you view it as essential.

OTHER WAYS OF GETTING INFORMATION

Often information that you want is information that someone else from another group or agency has also wanted to know. So it is important to check with other groups and agencies, particularly state and local agencies to see what information they may have. Sometimes local colleges or universities run regular surveys in the community which may contain information that will be helpful. The Bureau of the Census and Bureau of Labor Statistics also keep information which may be helpful.

If you locate another non-federal agency, college, or group that conducts surveys you may be able to "piggy-back" on their survey by requesting that they include questions on their survey that would meet

your needs. Obviously there is nothing to prevent groups, state and local agencies, water districts, etc. from sponsoring surveys, except that no federal funds may be used, even if it has been passed through to them. On controversial issues local newspapers may also be willing to conduct surveys. There is some danger that smaller newspapers may conduct man-on-the street interviews rather than a scientific survey, so before encouraging someone else to do a survey, check out their resources to do an adequate job. In particular it is important that the survey be designed so it isn't just a popularity contest for alternatives, but provides some understanding of why people favor or oppose alternatives.

It should also be noted that OMB regulations do not preclude numerous interviews, so long as the same questions are not asked of more than 10 people. Often the same information can be obtained from non-structured interviews, and in some cases even quantified, without violating OMB rules.

WHEN IS A QUESTIONNAIRE NOT A QUESTIONNAIRE?

Throughout this discussion we have frequently used the term "formal questionnaire" to make it clear that there may be some questionnaires that fall under OMB requirements and some which do not. If the term "questionnaire" was taken in a purely legalistic sense, then it wouldn't be possible to invite people who voluntarily come to a public meeting to voluntarily provide written comments during the meetings. Obviously this would be a distortion of the intent of OMB regulations. To avoid questions, however, it may be useful to refer to any forms handed out at meetings or in literature as "response forms" and refer to these general guidelines:

1. Use open-ended questions. Multiple choice questions, or questions that require people to rank alternatives numerically are on shaky grounds. An open-ended question like "Give your reactions to the alternatives below," would be safe.
2. Avoid questions that appear quantitative. Questions that use scales or other quantitative scoring devices are on shaky grounds. There is no reason that comments cannot be analyzed later and reported quantitatively so long as it is done professionally and the question did not force a quantitative answer.
3. Indicate the voluntary nature of completing the response form. If a response form is handed out at a meeting, or included in a report or other printed literature, it should be clearly indicated that this is voluntary, and just one of several ways (letters, speaking at meetings, etc.) that they can participate.

If these general requirements are met, then response forms are permissible.

CHAPTER 21: A CATALOGUE OF OTHER PUBLIC INVOLVEMENT TECHNIQUES

Previous chapters have discussed public involvement techniques such as public meetings and workshops, organizing advisory groups, working with the media, and use of questionnaires or surveys. This chapter provides a short catalogue of additional public involvement techniques which may have applicability to Water and Power Resources Service decision-making.

These techniques are presented in a rough estimate of frequency of use, with those towards the front commonly used, and those towards the back applying more to specific situations. An index of the techniques is provided below.

<u>Technique</u>	<u>Page</u>
Interviews	221
Field Offices	223
Hotline	224
Displays, Exhibits	226
Newspaper Inserts	227
Reports, Brochures, Information Bulletins	228
Participatory Television	230
Booth at County Fair	232
Fish-Bowl Planning Process	233
Conduct a Contest or Event	235
Mediation	236
Charrette	237
Delphi	239
Simulation Games	241
Technical Assistance to Citizens	242
Training Programs for Citizens	244
Computer Based Techniques	246

INTERVIEW KEY PEOPLE

DESCRIPTION OF THE TECHNIQUE

One technique for quickly assessing public sentiment is to conduct a series of interviews with key individuals representing the range of publics most likely to be interested or affected by the study. This technique would be particularly usable at the beginning of a study or when there has been a considerable time lapse between phases of a study.

Substantial portions of this chapter are taken from the "Participant's Workbook: Corps of Engineers Advanced Course in Public Involvement," published by the Institute for Water Resources, developed by James L. Creighton.

The kind of information which might be discussed in the interviews could include:

- . Reactions to the study or proposed action.
- . Feelings about the agency or past projects.
- . The goals and values of the interest group the individual represents.
- . Other groups that should be included in the participation program.
- . The manner in which the interest group would like to participate in the study.
- . The political climate and relationships between the interest groups.

It is extremely important that the interviewer approach the interview as a "listener" rather than as an "advocate" for a particular project or for the agency. One effective way to conduct an interview is to prepare a sheet identifying the topics you wish to cover in the interview and give this to the person being interviewed at the beginning. Then allow the person being interviewed to direct the conversation with minimal direction from the interviewer. Since there are skills involved in effective interviewing, interviews should preferably be conducted by someone with experience or training in interviewing.

If such skills are not immediately available, interviewing can often be contracted through local university faculty. For further information you may want to contact your Regional Social Scientist.

The persons to be interviewed can be selected as part of the process of IDENTIFYING THE PUBLICS (See Chapter 6) and would be key individuals representing the full spectrum of possible viewpoints. It is important that the interviews not be limited only to interests which historically have supported agency projects--the point of conducting the interviews is to obtain a picture of the total political context in which the study is likely to be conducted.

ADVANTAGES

- . Interviews can provide a quick picture of the political context of a study.
- . Interviews can provide important information about how various interests wish to participate.

- Personal relationships can be built with key individuals which may overcome the prior image of the agency and establish more direct communication links with the public.
- Once communication has been established, individuals and groups are more likely to participate.

DISADVANTAGES

- Key individuals may not be entirely representative of public sentiment.
- Poor interviewing can create a negative impression of the agency.

OPEN A FIELD OFFICE

DESCRIPTION OF THE TECHNIQUE

Many times agency planners work in a building several hundred miles from the site of a study area. This creates a barrier to all but formal communication between the agency and the local community. Field Offices are a means of creating the opportunity for more informal interaction with the community. Typically a Field Office is placed in a highly visible part of the community so that the largest number of people will know of its existence. Shopping centers or downtown store fronts are usually effective. Several agencies have successfully utilized trailers or other mobile units.

The Field Office is staffed with people working on the study who are able to answer questions and solicit opinions from the local community. The Field Office is designed to encourage "drop-ins" and other informal interaction with the community, with exhibits, charts, maps, brochures and other materials on display. Field Office staff are encouraged to be involved as much as possible in the local community. If large enough, the Field Office can be the meeting place for meetings, seminars, workshops, open houses, or other events. This reinforces the Field Office as the focal point for participation in the decision-making process.

A Field Office might also be particularly usable in a situation where there is a seasonal influx of users from a wide geographical area, e.g., a lake which is used intensively by recreationists during summer months. The Field Office would provide a visible means by which these users could participate even though they are not residents in the study area.

An important issue internally in staffing a Field Office is identifying staff wishing to reside in the study community. If someone already residing in the area is hired, the potential exists for torn loyalties between their commitments to the agency and their concerns about local impacts.

ADVANTAGES OF FIELD OFFICES

- . Field Offices provide a visible means of informal interaction with the local community at the convenience of the residents.
- . Field Offices communicate the value the agency places upon community sentiment.
- . Staff occupying Field Offices often obtain a deeper understanding of community needs and desires.
- . Field staff living in small towns are often a better source of information than formal surveys.

DISADVANTAGES OF FIELD OFFICES

- . Field Offices can be costly to staff and operate.
- . Unless the study is of considerable local interest the amount of use the local residents give the Field Office may not justify the cost.
- . If more than one community is in the study area then there may be a need for several offices, or risk some communities feeling offended that no Field Office was located there.
- . Local officials may see Field Offices as undercutting their roles as "spokespeople for the community."

ESTABLISH A HOT LINE

DESCRIPTION OF THE TECHNIQUE

Finding the right person within an agency can be very difficult to the general public when they wish questions answered on a particular decision.

As a result it is very helpful to establish a "hot line"--a single telephone number that citizens can call to ask questions or make comments. The hot line is an "easy to remember" telephone number which has been publicized through repetition in brochures, reports, news stories, paid advertising, etc. When the study area is very large or when agency offices are geographically separate from the study area, the hot line is usually established so that a call is toll free to the public.

Hot lines have been used in several different ways:

- a. The hot line can be established as a direct phone line to a single staff person whose responsibility is to answer inquiries, receive comments, and find any additional information that is required to satisfy the person calling in.
- b. Hot lines can be established with recording devices which can distribute specific pieces of information such as the time and place of public hearings scheduled, the name and phone number of a specific staff person to call for different kinds of information, etc. The caller dials the number and receives a tape recorded message of the information being sought.
- c. Hot lines can also be used as a means by which the public can make comments on alternatives or other study issues. In this case the recording device is used to record public comment in much the same ways as an automatic telephone answering device. In one study a staff member answered the phone and when citizens informed him that they wished to make a comment then the staff member turned on the recorder and the comments were recorded and ultimately included in the Public Record. In the case of an automatic recording device the telephone call should be returned within a short period of time by a staff person capable of responding or at least acknowledging the individual's comments.

Being able to respond in an accepting manner to public comment that may be critical of the agency, the study, or staff, requires a person with skills in interpersonal communication. Defensive or insensitive responses to public comment may produce a negative effect which far overrides the positive benefit of establishing the hot line as a means of communication.

ADVANTAGES OF THE HOT LINE

- The hot line provides a convenient means by which any citizen with a telephone can participate in the study.
- The hot line assists citizens in locating staff most likely to be able to answer their questions or receive their comments.
- A hot line may be a useful means of providing information about meetings or other public participation activities to citizens.

DISADVANTAGES OF THE HOT LINE

- Defensive or insensitive comments may produce a negative reaction from the public.
- Staff must be prepared to quickly gather information requested by the public and provide it to them promptly. This may have a negative effect on staff's ability to meet other work priorities.

DISPLAYS/EXHIBITSDESCRIPTION OF THE TECHNIQUE

One technique which has been used to inform the broad public of public involvement programs, or to obtain comment from the public, is to set up displays or exhibits in places such as shopping centers, or state fairs where there are a number of individuals passing by. These range from fixed displays which provide general information to the public, to booths which are manned by public involvement specialists who are able to answer questions from the public, or solicit public comment. Even when fixed displays are used, it is possible to have response forms available so that the public can respond to the display. Displays and exhibits may be particularly useful in identifying publics that had not been previously identified as interested in water issues. They also provide general information to the public about water problems, even if people choose not to participate. Exhibits or displays should be coordinated with other public involvement activities, so that people displaying an interest as a result of an exhibit can be directed into other public involvement activities.

ADVANTAGES OF EXHIBITS OR DISPLAYS

- Provide information to the general public about water issues.
- Help identify individuals and groups with an interest in water issues.

DISADVANTAGES OF DISPLAYS OR EXHIBITS

- If exhibits or booths are staffed, they involve a major commitment of staff time.
- Must be coordinated with other public involvement techniques so that interest developed through the exhibit can be directed into other public involvement activities.

NEWSPAPER INSERTS

DESCRIPTION OF THE TECHNIQUE

One technique which has been used to provide information to the broad general public and, at the same time solicit comment back from the public, is a newspaper insert including a response form distributed through the local newspaper. Most newspapers are able to handle the distribution of inserts for a modest cost, and are often able to print the insert at considerably less cost than other commercial printers. The newspaper insert can describe the study or decision-making process and the various means by which the public can be involved, and also include a response form which will allow people to express opinions or indicate their willingness to be involved in other public involvement techniques.

Most urban newspapers are able to distribute inserts to selected geographical areas, rather than their entire readership, so that it is possible to target the insert at those areas which will have the highest interest in the study. On a percentage basis, the return of response forms is not likely to be very high, although on a total quantity basis, it may provide a means of participation for the largest number of citizens compared with other public involvement techniques. Because respondents are self-selecting, a statistical bias is introduced into the responses, so that they cannot be represented as statistically valid like a survey.

ADVANTAGES OF A NEWSPAPER INSERT

- Newspaper inserts reach a much greater percentage of the population than most other public information techniques.
- Newspaper insert response forms provide a means for identifying other individuals and groups interested in participating in public involvement activities.

DISADVANTAGES OF NEWSPAPER INSERTS

- Newspaper inserts are relatively expensive to produce and distribute in large numbers.
- The response rate from newspaper inserts is relatively low, and it cannot be represented as statistically valid.

REPORTS, BROCHURES, INFORMATION BULLETINS

DESCRIPTION OF THE TECHNIQUE

Some of the most frequently used involvement techniques are to issue reports, brochures and information bulletins updating the public on the progress of the decision-making process, the current opportunities for participation, and any decisions that have been made to date.

Reports: Many agencies issue periodic reports summarizing the current findings of a study. Those stages at which reports are most typically issued are:

- a. After problem definition (including initial date selection)
- b. Upon identification of a set of broad alternatives, and
- c. When the environmental impacts have been identified for the alternatives.

Some of these reports, such as the Environmental Impact Statement, are prepared under rather stringent organizational guidelines. They may not be suited for all publics and it may be necessary to prepare shorter summaries in layman's language of the information contained in the full-length report. The readability and visual attractiveness of the report has a great deal to do with how widely it is read by the public. If there is an advisory committee for the study, it would be extremely useful to discuss a draft copy of the report with the advisory committee. Frequently an advisory committee will be able to point out confusing, biased, or unnecessary material and be able to suggest additions that will help clarify the study. 1

Brochures: Brochures are usually brief (up to 16 pages) and contain a description of the study, the issues involved in the study and a summary of the opportunities for the public to participate in the study. The most typical purpose in issuing a brochure is to reach additional publics or inform known publics of the initiation of the study. The usefulness of a brochure is dependent upon its ability to attract interest; therefore visual attractiveness and the skill with which it is written are extremely important. However it is equally essential that brochures be written with objectivity, and not "sell" an agency position. Typically public involvement staff should obtain assistance from non-technical writers and graphics staff in preparing a brochure.

Information Bulletins: Many agencies issue information bulletins on a periodic basis as a means of maintaining a continuing interest in the study as well as documenting the progress in the study in a highly visible manner for the public. When agencies have a number of studies under way, the information bulletin is often used to describe the progress of all the studies. In cases where there are very large studies under way and the publics involved are different for each study, then it may be desirable to restrict the information bulletin to a single study. A major purpose of an information bulletin is to provide continuing visibility to the study. This visibility may be particularly important during those phases of a study which are primarily technical in nature and offer few opportunities for participation. The value of an information bulletin rests entirely upon its ability to stir interest and encourage interaction. A drab, boring, bureaucratic-sounding information bulletin will buy very little enthusiasm despite the effort put into it. It is important that information bulletins be issued to staff as well, so that they are informed when dealing with the public.

GUIDELINES FOR PUBLICATIONS

Some general guidelines to be followed in preparing publications are:

- a. Strive for simplicity: Material should not be over-complicated or technical.
- b. Use the public's language. Use as little jargon, and as few abbreviations or technical terms as possible. Review the materials with non-technical people to be sure it is readily understandable.
- c. Make the message relevant to the reader. Look for the human-interest angle. Identify the stake that the reader has in the story.
- d. Use graphics and avoid overly bureaucratic layouts. The public reacts positively to interesting pictures, graphics and layouts. Most citizens are likely to "tune out" anything that looks like "another government document."
- e. Don't make commitments that cannot be fulfilled. Don't promise future opportunities for participation that you're not sure you can deliver.
- f. Provide clear instructions for how the public can interact with you. Ideally each publication should contain either

a response form which interested citizens can fill out and mail to you or clear instructions as to what the citizen should do next if he/she is interested in the study. Instructions should include such things as a phone number to call or a meeting to attend.

- g. Get help from the public in preparing materials. Publications are more interesting if they contain comments from the public on the study or even contain short articles from a sampling of different interest groups. As indicated above it is often advisable to have advisory groups review publications in a draft form to ensure that they are interesting and unbiased.

The Public Affairs Office is usually an important source of assistance in preparing an attractive and interesting publication.

ADVANTAGES OF PUBLICATIONS

- . Publications are a direct means of providing a substantial amount of information to large numbers of people in a relatively economical manner.
- . Publications also serve as a permanent record of what has transpired in the public involvement program.

DISADVANTAGES OF PUBLICATIONS

- . Preparation of attractive publications requires unique skills which may have to be acquired elsewhere in the organization or through outside contracts.
- . Publications reach a limited audience and cannot be considered the only means by which to inform and involve the public.

PARTICIPATORY TELEVISION PROGRAMS

DESCRIPTION OF THE TECHNIQUE

Since television reaches the largest number of people, some agencies have focused their attention on the use of television as a means to obtain broad participation. To date the most typical formats have been:

- a. A program is prepared in which major issues are identified along with alternative courses of action. Participants are then asked to express their preferences by mail. In some cases discussion groups have also been organized, so that a group would view the program, discuss the issues, and then mark ballots. Ballots have also been distributed through churches, schools, markets, clubs, etc.
- b. The agency obtains a bloc of time and conducts a call-in show on the issues. Typically arrangements are made for multiple operators to answer the telephones in a Telethon format, with questions or comments on a time-lag system so that they can be played to the audience.
- c. The agency obtains a regular bloc of free time from a local channel, usually a cable, educational or college channel. This program is then used as a forum for continuing discussion of the public involvement going on in the study. This could take the form of reports on various activities, interviews with leaders of various interest groups, even debates between representatives of different points of view.

There is considerable interest among theorists about the future possibilities of two-way cable television. Because transmission is via cable it is possible with proper equipment to communicate back to the station via the same cable. Naturally the number of participants is limited to the number of response units. Some equipment allowing response permits full verbal response, while some cheaper models allow a yes/no signal to be sent back to the station. There are experiments taking place with two-way cable television in several municipalities around the country, but the opportunities for present public involvement programs is limited to those few communities where facilities already exist.

Although television reaches the largest number of people, it is unusual to be able to obtain sufficiently large blocs of time for a participatory television program on commercial television (although this has been accomplished in a few cases). The audience on public, university, or cable television is much smaller, and usually represents an educational and socio-economic elite. This creates immediate problems of representativeness.

The problems of representativeness are particularly exaggerated if some sort of vote or poll is taken. Interests which are most strongly affected by the project are reduced to one vote per person equal to an individual who has only heard about the project for the first time. Also, because taking a vote or poll will appear to the public to be identical to holding an election, if there is a clear-cut majority the

agency will be in an awkward position to make a different decision even though sentiment may be different in other areas affected by the study, or there may be substantial question that the participation was representative. Some of these risks may be avoided by using a format in which citizens can make comments or ask questions without a formal tally being kept for/against a particular alternative or project.

ADVANTAGES OF PARTICIPATORY TELEVISION

- . Participatory television probably reaches the largest audience of any existing public involvement technique.
- . This technique is convenient for the public since they can sit in their own homes and respond by mail or phone.
- . A well-prepared television program can do a great deal of educating the public to the issues addressed by the study.

DISADVANTAGES OF PARTICIPATORY TELEVISION

- . The audience viewing the program may not be representative.
- . Individuals who are directly affected may feel they have no more impact than someone only peripherally affected by the study.
- . Unless some participation occurs in designing the program, the agency may not accurately or objectively describe all the issues.
- . Any appearance of a vote may make it embarrassing for the agency to make a different choice even though there may be legitimate reasons for doing so.

BOOTH AT COUNTY OR STATE FAIR

DESCRIPTION OF THE TECHNIQUE

One technique which has been used to reach publics who do not normally show up at public meetings is to set up a booth at a County or State Fair with displays informing the citizens of the study and inviting their participation. At most fairs it is possible to rent an area within an exhibition hall with other exhibitors of commercial products or representatives of community organizations in which a display can be set up outlining the issues to be covered during the study.

The nature of the display is particularly important since fixed displays usually generate the least interest for a public which is exposed to several hundred displays. One agency was able to get considerable public interest by video-taping comments from the public about the study and playing these comments on the TV monitor to citizens walking past the display. In another case comments from the public were recorded on a flip chart in a manner visible to people walking past a display. Any display in which there is some activity taking place is inherently more interesting than a fixed display.

Displays at fairs may be useful in identifying publics that wish to participate that have not previously been identified by the agency. They also serve to educate a broader public that a study is taking place and what their stake in the study may be. Even if people seeing the display do not choose to participate, they are at least aware that the study is taking place.

It is extremely important that the interest developed by a display at a fair not be wasted by failing to provide subsequent public involvement activities while the public is still enthusiastic. It is much more difficult to generate public interest once enthusiasm has been lost due to lack of follow-up.

ADVANTAGES OF A FAIR BOOTH

- A fair booth may provide opportunity to identify publics not previously identified by the agency.
- A fair booth may educate a broader public about the existence of a study.

DISADVANTAGES OF A FAIR BOOTH

- This technique involves a major commitment of staff time during the period of the fair.
- This technique can create expectations for future participation that if not fulfilled can lead to considerable resentment or cynicism.

CONDUCT A FISH-BOWL PLANNING PROCESS

DESCRIPTION OF THE TECHNIQUE

This technique was developed by Colonel Howard Sargent of the Seattle District of the U. S. Corps of Army Engineers. The term "fish-bowl"

refers to the fact that the technique is designed so that everybody can view all aspects of the planning process and clearly see how a decision is developed.

The fish-bowl planning process consists of several repetitive rounds of public meetings, public brochures, workshops and citizens' committee meetings, all carefully documented in a cumulative brochure which describes the entire process. A central element in the fish-bowl planning process is that prior to each major public meeting a brochure is prepared presenting various study alternatives along with the pros and cons for each of the alternatives. Individuals, agencies, and organizations are invited to submit their own alternatives which are then included in the brochure along with their descriptions of pros, cons, and a no-action alternative. Space is provided in the brochure for individuals to react to the various alternatives by writing their own pros and cons. These comments are then submitted by the individual and become part of the next brochure. Technical assistance is provided to citizens and groups to help them in developing their own alternatives.

As this cumulative brochure is developed it becomes clear what the positions of the different groups are, how different individuals and groups feel about the alternatives, and which critical groups have chosen not to participate in the study. Responses to the brochures are received in public meetings, workshops, and citizens' committees in a sequential series.

Typically the process from the beginning of the study to the end calls for 4 public meetings, 7 brochures, 3 workshops and as many citizens' committee meetings as may be necessary. Because the brochure is prepared prior to public meetings, participants come to the meetings knowing the alternatives under consideration, where others stand, and are prepared to make their own responses visible to the other publics.

ADVANTAGES OF A FISH-BOWL PLANNING PROCESS

- . The process is very visible and allows the public to clearly see the impact of public participation in arriving at the decision.
- . The process encourages open communication between the various publics as well as between the agency and the publics.
- . No special status is granted to any one individual or group over another.
- . If the process is successful, the planner can assume that a broad consensus has been formed by the time the process is complete.

DISADVANTAGES OF A FISH-BOWL PLANNING PROCESS

- . Like any other public involvement technique, agencies may misuse fish-bowl planning to present a limited or biased point of view since the agency prepares the brochures.
- . The brochure format forces public reaction into a pro or con response when there may be other general comments as well.
- . The public brochure must be written in lay language and address the issues as seen by the public or it will be perceived as a rigid, technical bureaucratic document.
- . The final brochure containing all the various stages of the process and the public comment is a large cumbersome document and is also expensive to prepare.

CONDUCT A CONTEST OR EVENT

DESCRIPTION OF THE TECHNIQUE

Many agencies wishing to publicize participation opportunities in a study have staged a contest or event as a means of stimulating interest and gaining publicity.

These contests or events usually have a theme related to the topics of the study. Examples of contests or events that have been utilized include:

- . A fishing contest on a river too polluted for fish (waste-water management study).
- . A photo contest for the best photo of last year's flood (flood control project).
- . A canoe trip down a river with both WPRS staff and public.
- . A barbecue at a water storage lake used extensively for recreational purposes (operations study).
- . An essay contest--any topic.

These events do have the advantage of being newsworthy, so often a good deal of interest is generated in the local media by the contest or event. As a result the event may be well attended and generate a good deal of public interest. It is extremely important, however, that this

interest and enthusiasm have means for expression in other public involvement programs. A contest or event may stimulate a great deal of interest and expectation which, if not provided for with carefully planned follow-up activities, can lead to resentment or cynicism. As a result contests or events are best planned to provide publicity leading shortly thereafter into workshops, meetings or advisory committee participation.

ADVANTAGES OF CONTESTS OR EVENTS

- May generate substantial interest and publicity.
- Will help to identify individuals interested in the kinds of issues addressed by the study.

DISADVANTAGES OF CONTESTS OR EVENTS

- The participation in the contest or event may not produce public comment directly applicable to the study.
- Expectations may be established for continuing participation which, if not fulfilled, may lead to resentment or cynicism.

MEDIATION

DESCRIPTION OF THE TECHNIQUE

Mediation is the application of principles of labor/management mediation to environmental or political issues. In mediation a group is established which represents all the major interests which will be affected by a decision. Members of the mediation panel are all "official" representatives of the interests, and are appointed with the understanding that the organizations they represent will have the opportunity to approve or disapprove any agreements which result from the mediation. The basic ground rule which is established is that all agreements will be made by unanimity.

A key element in mediation is the appointment of a third party mediator--someone skilled in mediation, who is not seen as an interested party to the negotiations. The mediator not only structures the deliberations, but often serves as a conduit for negotiations between the various parties.

Mediation is only possible when the various interests in a conflict believe they can accomplish more by negotiation than by continuing to fight.

ADVANTAGES OF MEDIATION

- . Mediation can result in an agreement which is supported by all parties to the conflict.
- . Mediation may lead to quick resolution of issues which might otherwise be dragged out through litigation or other political processes.

DISADVANTAGES OF MEDIATION

- . Mediation is an entirely voluntary process, so it will work only when all parties are willing to negotiate.
- . Mediation requires a highly skilled third party mediator.

CONDUCT A CHARRETTE

DESCRIPTION OF THE TECHNIQUE

A charrette is a problem-solving process which brings together all the essential publics in a highly intense and prolonged meeting, or a series of meetings, in an attempt to achieve mutual agreement on an overall plan. Various forms that charrettes have taken include:

- a. A meeting lasting an entire weekend during which individuals and interest groups participated in the conceptual design of the community medical facility.
- b. Week-long meetings conducted approximately 8 hours a day in which parents, teachers and administrators met in open meetings to discuss the future directions of the school district.
- c. A series of once a week or weekend meetings to develop agreement on the major outlines of land-use plans for several communities.

The three critical elements in a charrette are:

- a. All major publics must be present so that any decisions reached will be accepted on a consensus basis.
- b. All participants must commit to stay in a highly intense interaction for a number of hours in an effort to resolve differences and arrive at a plan that is mutually acceptable to all parties. In some cases charrettes are

24-hour a day ventures with food and sleeping quarters available to the participants.

- c. All participants in the charrette must come with the expectation that the product of a charrette will be a plan that all participants can agree upon.

Charrettes involve considerable advance preparation, usually through a steering committee which includes representatives from the funding sources, relevant agencies and representatives from the spectrum of citizens groups. The steering committee issues the invitations, handles the publicity, seeks the resource people and manages the physical arrangements.

A charrette would be a particularly useful technique in a crisis situation in which it was necessary to achieve broader agreement among the various publics and agencies within a short period of time. A charrette might also be useful as a means of resolving an impasse reached between various public groups; or it could be used as the means of shortening the time required to make a decision in a planning study once the basic data collection had been completed.

Two critical elements to the success of a charrette are:

1. The commitment of all participants to participate enthusiastically in an attempt to achieve a mutual agreement, and
2. Extensive publicity during all phases of the project so that a larger audience is aware of and supportive of the efforts to reach a mutual agreement.

ADVANTAGES OF A CHARRETTE

- A charrette may be an effective means of achieving a consensus among conflicting groups or interests.
- Since all the critical actors are involved, a successful charrette should result in a commitment by all significant groups to support any plan which was agreed upon.
- The intensive nature of the charrette results in changing perspectives or deeper understanding of the positions held by the various groups.
- By working together in this intensive manner previously conflicting interests may develop a feeling of teamwork and cooperation which may extend long beyond this particular study.

DISADVANTAGES OF A CHARRETTE

- Charrettes are effective only when all major publics are willing to enthusiastically participate.
- Charrettes are possible only when all major publics are willing to attempt mutual problem solving, and the agency is willing to leave the outcome to deliberations that might take place during the charrette.
- Since charrettes are inherently time-consuming it is difficult for some citizens to participate because of problems of baby sitting and taking time off from work. In addition it is difficult to get the involvement of key decision makers for the length of time required by the charrette.

CONDUCT A DELPHI PROCESS

DESCRIPTION OF THE TECHNIQUE

The Delphi process was designed as a means of obtaining a consensus on forecasts by a group of experts while attempting to minimize any dysfunctional effects of group dynamics. To accomplish this Delphi solicits the advice of a group of experts on questionnaires, provides feedbacks to all participants on the statistical averages of the group, provides a report on the reasoning of those participants whose answers differ substantially from the norm, but preserves the anonymity of the participants. The prime function of Delphi appears to be forecasting. It could be used in a study for such things as forecasting future population, recreation demands, or possibly obtaining consensus on probable environmental impacts. Not only does the technique appear to with experts work effectively in developing a consensus, it also has a high reliability; two groups of experts forecasting the same event will tend to come up with similar predictions. A summary of the Delphi procedure is shown below:

- a. An open-ended and unstructured questionnaire is submitted individually to each participant. This questionnaire requests participants to indicate their forecasts concerning the topic, e.g., anticipated growth rate.
- b. The "director" of the exercise consolidates the responses and prepares a final list of the forecasts.
- c. The "director" distributes the consolidated list to the participants and requests that they make an estimate of the occurrence of each event ("never" is one possible answer).

- d. The participants' responses are collected and a statistical summary is prepared. The summary will contain the median and the inner quartile range.
- e. The statistical summary is distributed to all participants and the participants are asked to give a new estimate now that they have seen the response. Participants whose answers fall outside the inner quartile range are also asked to state the reasoning behind their answers.
- f. These responses are then summarized statistically.
- g. The new statistical summary along with the reasoning of those outside the inner quartile range is distributed to each participant and they are requested to prepare a final estimate.
- h. A final statistical summary is prepared.

Delphi has been used in public involvement programs and is useful in forming a consensus among those who participate. To the extent, however, that participation is limited to "experts" the consensus may not be shared by a more general public. The problem of credibility can remain whether figures are generated by agency staff or by a Delphi process. One agency has modified Delphi as a means of generating enthusiasm and interest. The Delphi questionnaires and summaries are mailed to a much broader mailing list than are initially anticipated to participate. Even though a limited number of responses may come in as a result of the first questionnaire, the results of those responses are redistributed on the second round to the entire initial mailing list. As each successive round of questionnaires and summaries is distributed it is observable that the number of participants grows. This agency then conducts a large public meeting as the culmination of the process so that final determination of the projection is agreed upon in an open public meeting. It appears that the use of the Delphi serves to generate considerable public interest in this meeting and as a result this meeting is much better attended than it would have been without prior Delphi process.

ADVANTAGES OF A DELPHI PROCESS

- The Delphi process is an effective tool for achieving a consensus on forecasts among groups of experts.
- Delphi minimizes disadvantages of group dynamics such as over-dominance by a single personality or positions taken to obtain status or acceptance from the group.

DISADVANTAGES OF A DELPHI PROCESS

- Delphi may have a tendency to homogenize points of view so that the "conventional wisdom" of the time will tend to dominate.
- The process of mailing questionnaires and redistributing summaries for several iterations can be a time-consuming and cumbersome process.
- The public may prefer to interact person-to-person rather than through the agency which is digesting and summarizing all the comment. This would be particularly true if there is some suspicion of the agency's willingness to consider all alternative points of view.

INVOLVE CITIZENS IN A SIMULATION GAME

DESCRIPTION OF THE TECHNIQUE

Simulation games are designed to provide "feedback" on the most likely results of making particular policy choices or decisions. By participating in playing simulation games citizens frequently learn more about the impact of decisions and the inter-relatedness of various features of an environmental or economic system. The simulation games provides a "risk-free" opportunity for the various groups to take positions on alternatives and receive information both from the reactions of other groups as well as information about the economic and environmental consequences of that position.

Games vary greatly in their complexity and the length of time required to play them. Some games can be played in three hours while others take as many as five days. Some games can be played with manual game boards while others require computer availability. Playing a game which most closely resembles the "reality" of the study will usually provide the greatest information, however highly realistic games also tend to be extremely complex and are therefore usually more time-consuming and less enjoyable to play. Computer-assisted games allow for a larger number of factors to be considered than manual games but are substantially more expensive and the game must be played where there is a computer available. Numerous universities have developed simulation games with various degrees of complexity and playability.

While simulation games serve as an effective educational device they frequently do not provide opportunities for the public to provide comment on study issues. As a result, simulation games are a useful technique to educate the public and gain enthusiasm for participation in the study but must be used in conjunction with other public involvement techniques.

ADVANTAGES OF A SIMULATION GAME

- . Simulation games can provide the public with information about the consequences of various policy positions or decisions.
- . Simulation games provide the public with an understanding of the dynamics of an economic or environmental system.
- . Participation in a simulation game is usually an enjoyable experience and participants often develop relationships which can be maintained throughout the entire study.

DISADVANTAGES OF A SIMULATION GAME

- . There are numerous simulation games on the market which are confusing, over-technical or misleading. Great care must be exercised in evaluation and selection of a simulation game suitable for a particular study.
- . Simulations provide an effective educational tool but typically do not provide opportunities for direct public comment on the study itself.
- . Since few games have a perfect fit with reality, citizens may apply the game's rules inappropriately in the actual situation.
- . People may become so engrossed in the game that they forget about the actual issues at hand.

PROVIDE TECHNICAL ASSISTANCE

DESCRIPTION OF THE TECHNIQUE

The public often feels intimidated and "unable to hold its own" with professional staff since professional staffs possess greater information and resources. One approach to resolving this problem is to provide direct technical assistance to the public. This technical assistance would take the form of assisting various individuals or interest groups in developing their own alternatives, or helping them analyze issues or evaluate the impacts of various alternatives.

Some of the manners in which technical assistance can be provided include:

- a. The technical staff of the agency can provide technical assistance as part of their regular assigned jobs.
- b. Specific staff can be designated as the advisors to the different interest groups.
- c. The agency can provide funds for hiring of independent consultants or staff by the various publics.

A major purpose of providing technical assistance is to insure that citizens who may approach problems and issues from a different values base than WPRS will be able to develop their alternatives to the same level of technical expertise as those alternatives normally developed by the agency. In addition, in highly controversial situations in which WPRS technical staff may be mistrusted, the "facts" generated by independent technical assistance may be accepted more readily than "facts" generated by the agency's professional staff.

Managers should not enter into providing technical assistance if they are substantially committed to a single alternative as the only desirable outcome of the decision-making process, as any staff assigned to provide technical assistance under these conditions will find themselves in the awkward position of having to "serve two masters." Since the professional's future career rests more on the organization's evaluation of performance rather than the public's, technical assistance provided when the manager is already committed to an alternative will usually result in the public being short-changed.

The evaluation of whether or not WPRS staff or independent consultants should be used rests at least in part on the degree of trust which exists between WPRS and the various publics. If there is a history of previous animosity between WPRS and the public, then the idea of independent consultants should be more seriously considered.

ADVANTAGES OF TECHNICAL ASSISTANCE

- By providing the public with technical assistance there is less likelihood that citizens will feel intimidated by the expertise of professional staff.
- Alternatives of groups operating from different values positions may be developed to the same level of technical expertise as those alternatives normally considered by the agency.
- When some history of animosity between the agency and citizen groups exists the "facts" generated by independent consultants may be more acceptable to the public than those generated by the agency's staff.

DISADVANTAGES OF TECHNICAL ASSISTANCE

- . If WPRS managers are not genuinely open to all alternatives, then staff may be placed in a position of divided loyalties.
- . There may be a tendency to provide technical assistance only to the most active group with the result that participation may be biased in their direction.
- . Technical assistance when provided by WPRS staff can be misused in an effort to manipulate the public to accept the agency's view.

CONDUCT A TRAINING PROGRAM FOR CITIZENS

DESCRIPTION OF THE TECHNIQUE

Training programs for citizens are usually conducted to improve the citizen's understanding of how studies are conducted (so the citizens can participate more effectively) or to create a greater equality between the citizens and the staff. Those agencies that have conducted training programs for citizens have conducted them primarily in these three areas:

- a. Training about the planning and decision-making processes utilized in the study, including an understanding of how the technical work fits into the study process.
- b. Training on substantive program content such as planning, environmental impact assessment, etc.
- c. Skills of working together effectively as a team or skills of meeting leadership.

This training may be accomplished formally through seminars, workshops, and lectures or it may be conducted more informally through simulation games, informal round table discussions, "brown bag" lunches, or through publications or audio visual material.

The intent of training is to insure that citizens have a sufficient understanding of the decision-making processes so that they will understand how the study fits together and may also be able to improve their effectiveness in making a contribution to the study. A major secondary purpose of training is to ensure that citizens feel on a more equal footing with professionals and reduce the chance that the public will feel that professionals are using their expertise to intimidate or exclude them from the planning process.

Training in group dynamics or meeting leadership is more likely to be conducted when the advisory committee or task force feels the need to work together more effectively and believes that training in interpersonal communication skills or group dynamics would assist communication within the group. An additional justification for this kind of training occurs when members of the advisory committee or the task force are assisting in conducting the public involvement as facilitators for small group discussions as part of a larger meeting, or in individual meetings with different interest groups.

ADVANTAGES OF A CITIZEN TRAINING PROGRAM

- Training may increase the effectiveness and impact the public has upon the planning study.
- Citizens may feel less intimidated by the professionals and are therefore more likely to express dissenting opinions openly rather than as subsequent opposition to the project.
- When properly trained, citizens may make a valuable contribution to conducting the public involvement program.

DISADVANTAGES OF A CITIZEN TRAINING PROGRAM

- Some citizens may resent the suggestion that they need training or may question the credibility of the agency in conducting an "objective" training program.
- Training is usually limited to a small group and therefore raises issues of who is included and who is excluded.
- Conducting an effective training program requires special skills to ensure that the training is conducted effectively and in a manner acceptable to the public. This usually means the additional cost of an outside consultant.
- Training must be integral to the decision-making process of the study or citizens may view the training as wasted time and effort.

UTILIZE VARIOUS COMPUTER BASED TECHNIQUES

DESCRIPTION OF THE TECHNIQUE

With the development of the computer and its capacity for storing and organizing large quantities of information there are a number of efforts going on to develop new techniques for participation through the application of computer technology. To date the techniques being explored emphasize one of four major themes: 1. Conferencing; 2. Polling; 3. Gaming or simulation; 4. Interactive computer graphics.

Computer Based Tele-Conferencing: The techniques of computer conferencing have been developed primarily to allow participants who are geographically dispersed to be linked through remote terminal keyboards to "talk" and "listen" to each other by typing out their own messages and reading those of the others. Information including graphics can be made available to all participants in the same form simultaneously and it is also possible to respond to questions asked by the public about that information. Computer conferencing could allow task forces or advisory groups meeting in separate communities to conduct a simultaneous meeting allowing for dialogue, sharing of information, and the reactions of the various publics.

Computer Polling: Equipment has been developed which allows participants in a meeting to indicate their responses to statements, alternatives or proposals by voting on a hand held computer console. The computer can collect and store the votes and a summary can then be shown on a large electronic display at the front of the room. A series of meeting procedures have been developed by which a skilled moderator can work with the group to identify areas of consensus or disagreement, or areas in which additional information is required. These techniques provide opportunities for every citizen to express themselves on a number of issues with anonymity.

Computer Based Games: See Section on Simulation Games

Computer Based Interactive Graphics: A number of systems are currently being designed by which the computer can visually display a range of alternatives then redisplay the alternative in response to questions or changing group priorities. These techniques would allow a group to watch a computer display while discussing the issues and, in effect, "ask" the computer to display different alternatives based on different sets of assumptions or priorities. These techniques are still in the developmental stages.

ADVANTAGES OF COMPUTER BASED PARTICIPATION

- Computer based participation could make public participation more convenient by solving the problem of geographically dispersed citizens through the use of local computer consoles.
- Computer based conferencing would allow for much greater access by the public to technical information as well as opportunities to raise questions and request clarifications on the information. The computer polling techniques and interactive graphics could augment natural discussion techniques by permitting all participants to be involved while offering anonymity when desired. These techniques allow the group to graphically see the implications of various priorities and assumptions and encourage the development of a consensus.

DISADVANTAGES OF COMPUTER BASED PARTICIPATION

- Computer based systems can conjure up imagery of machines subjugating man to a programmed set of responses.
- Fascination with technical equipment can sometimes supplant more traditional forms of participation which are more likely to cope with the political realities of achieving a consensus.
- It remains questionable whether the public will be willing to participate "through a machine" rather than by person-to-person contact with other citizens.
- Computer based participation at the present time is extremely expensive and in the developmental stage only.

CHAPTER 22: ANALYSIS OF PUBLIC COMMENT

In the early days of public involvement there was a tendency to sort public comment into two simple categories: FOR the proposed action, AGAINST the proposed action. In this way a manager would look at a summary of 800 letters from the public and find that 427 people supported the project, and 373 opposed. Since the potential impacted public was 220 million, if he was an insightful individual he realized that all he could conclude from this summary was that he had a controversy on his hands--something he probably already knew if he got 800 letters.

Obviously this kind of summary was unfair to both the public and the manager. A citizen might write a four-page letter giving detailed argumentation for his position, only to have it given equal weight and analysis with a one-sentence postcard. The manager didn't learn from the analysis why people supported or opposed the action, the differences in opinion of different kinds of groups, or points of agreement between different groups. As a result he just muddled through, or if he was a conscientious manager, he read most of the letters. This, of course, was very time consuming, and still not very systematic.

In recent years, however, more sophisticated tools have been developed which do less savagery to the public's comment, and provide an important tool for the decision-maker. The impetus for these improvements have come primarily from two Department of Agriculture agencies, the U. S. Forest Service and Soil Conservation Service. Both of these agencies have been required under federal legislation to conduct major appraisals of the national resources under their supervision. In addition they have held national public involvement programs as part of these appraisals. The number of comments requiring analysis ranged from 20,000 in one instance up to 200,000 comments. Obviously this makes it a little hard for the decision-maker to read all the comments. As a result they have reached out to new techniques which would allow them to analyze these comments and receive maximum information from the analysis. The information provided below is a summary of the techniques they have developed.

THE DIFFERENCE BETWEEN ANALYSIS AND EVALUATION

The purpose of an analysis is to summarize and display public comment in such a way that maximum information is available to decision-makers (and to the public) about what was said. To the maximum extent possible, analysis should display public comment without interjecting interpretation or judgment. Theoretically two skilled analysts using the same technique should arrive at virtually identical analyses of the comment.

NOTE: This chapter has been re-printed from A PUBLIC INVOLVEMENT READER, published by the Institute of Water Resources, U. S. Army Corps of Engineers, Edited by James L. Creighton.

Evaluation of public comment takes place after analysis and includes judgement and weighting of relative value. This is the task of the decision-maker who may have to evaluate the relative importance of 315 hand-written letters, versus 400 names on a petition. The decision-maker may also have to weigh the importance of the concerns of people living in the area of a proposed action, versus the concerns of people 2000 miles away. Obviously evaluation is an essential element of decision-making, while analysis is getting the information ready, so that the evaluation process can begin.

The techniques described below are strictly analysis techniques, not evaluation techniques. They display the public comment as objectively as possible. A representative of an interest group could come into the office--and this has occasionally happened--and with a little training produce an analysis which is almost the same as that produced by the agency analyst. This objectivity is, of course, essential if these techniques are to be utilized in public involvement. Since government agencies are often already suspect of listening selectively to the public, any system which allows insertion of agency values into analysis of public comment will invalidate the public involvement process. On a controversial issue it may, in fact, be necessary to hold a workshop for key interest groups just to show them how the analysis is being made. If the analysis technique is a "black box" into which public comment goes and is mysteriously analyzed, the lack of visibility and openness will result in the analysis not being accepted as a fair representation of public comment.

METHODS OF CONTENT ANALYSIS

The two analysis techniques which are most useful are both variants of content analysis. Content analysis is a research tool developed by academic researchers in sociology, journalism, and political science. It could be used, for example, to conduct research on propaganda used in newspapers during Hitler's era in Germany. Or it might be used to compare the relative frequency of certain topics in letters to the editor, as a means of identifying public priorities. This is done by analyzing the actual content (arguments, facts, logic) contained in newspaper articles, letters, etc.

The two variations of content analysis which have been most useful in analyzing public comment are: 1) Content Summary Analysis, and 2) Codinvolve.

Content Summary Analysis is designed to capture the actual language of the public in describing their reason for supporting or opposing the proposed action. As a result a summary prepared using Content Summary Analysis will give the decision-maker a "feel" for the intensity of language used, or the closeness of argumentation. Content Summary Analysis is very simple to use if the number of comments being analyzed is relatively small. As you can see from

the instructions below, it becomes more complex if the number of comments is very large. It has been used, however, for one national public involvement program with many thousands of comments.

Codinvolve is a name of a content analysis process developed by a team of Forest Service researchers headed by Dr. John Hendee, of the Forest Service Pacific Northwest Range and Experiment Station. Codinvolve attempts to capture all the content of public comment, but does so by recording the comment in categories, rather than in the public's own language. Using Codinvolve you might determine that 54 people opposed an action because "it damaged natural resources" while 137 supported the action because "it allowed for development of needed water resources." But you would not see the actual language in which the public expressed these arguments, only a tally of the number of people in the category. As a result something is lost in Codinvolve--the intensity and feeling quality of the public's language--but in return you gain a technique which can more simply analyze large volumes of comment.

PROCEDURES FOR CONTENT SUMMARY ANALYSIS

The basic procedures in Content Summary Analysis are as follows:

1. Coding Responses for Identification, Origin and Affiliation:
Each letter when it comes in will be assigned an identification code which will tell you when the letter was received, the geographical area from which the letter came, and any affiliation or organizational information provided in the letter. Usually the code comes in three parts, for example: Sequence number--zip code or other geographical code--affiliation. The sequence number is simply a number indicating the order in which the letter is received. If this is the 15th letter received, then the sequence number is 15. The master files are then kept by sequence number so that any time you want to refer back to letter 15, all you have to do is look in the file by number.

The geographic code can be a zip code, or some other geographic code you have worked out that has meaning for this analysis. Zip code is useful if you plan to do a mailing, since the post office may require sorting by zip code for mass mailings. On the other hand you may want some geographical division which makes more political sense, e.g.:

<u>CODE</u>	<u>GEOGRAPHICAL AREA</u>
A	Central business district
B	Other City of Phoenix
C	East Suburbs
D	West suburbs
F	South suburbs
G	Tucson
H	Other Arizona
I	Other states

The affiliation code indicates any information provided about organizational affiliation. You might, for example, use the basic categories show below:

<u>CODE</u>	<u>CATEGORY</u>
10	ACADEMIC
20	BUSINESS/INDUSTRY
30	CITIZEN (No affiliation indicated)
40	ENVIRONMENT/CONSERVATION/CIVIC
50	GOVERNMENT
60	OTHER

The reason for using a two digit number is so that you could make even finer distinctions if you want to, for example:

<u>CODE</u>	<u>CATEGORY</u>
51	U. S. Senator or Congressman
52	State or Local Elected Official
53	Federal Agency
54	State or Local Agency etc.

To summarize, using the codes above if this was your 47th letter, from the Mayor of Tucson, your code would be:

47-G-52

The reason this code is important is so that you can cross-reference your responses in such a way that you can ask the questions:

How do people from Tucson (all responses coded G) feel about the proposed action?

or

How do state and local elected officials (all responses coded 52) feel about the proposed action?

or even

How do all environmental groups from out of state (all coded I-40) feel about the proposed action?

2. Make multiple copies: Once an identification number has been assigned, make at least three copies to be used as follows:
 - . Original for filing
 - . One copy for decision-makers (Regional Director, etc.)
 - . One copy for public review
 - . One copy for mark-up

3. Identify your topic codes: The next step is to identify the basic topic categories you want to establish. These can range from very simple to very sophisticated. You could, for example, just establish a file for all comments supporting the action, all comments opposing the action, or you may find by quickly reading a sample of letters that there are five basic reasons that people oppose the action. In this case you might want to establish six different folders:

<u>CODE</u>	<u>CATEGORY</u>
10	General opposition (no reasons given)
11	Opposed--environmental impacts
12	Opposed--unjustified gov't intervention
13	Opposed--too costly
14	Opposed--guidelines unclear
15	Opposed--inadequate public notice

Anything in the 10 Series indicates opposition. Anything from 11-15 indicates the argument used. It is possible that a single letter might have comments that will go into several different files, since several arguments may be used.

4. First Analysis: The analyst should first read the entire letter to get the overall meaning. Initial the letter at the bottom after reading, so that you will know it has been read, in case you get interrupted. Then re-read the letter underlining all portions of the letter containing comments that contain content or "message" related to your categories. Underline in pencil.
5. Coding response: Go through the letter again. This time, for each underlined portion of the letter put both the ID code (sequential number, origin, and affiliation) and the code corresponding to the file in which you want the comment stored, e.g. File 12--opposed--unjustified governmental intervention. The reason for using the ID number is so that the decision-maker can refer back to the entire letter if the comment is of particular interest, or so that the comments in that file could be analyzed by origin or affiliation.
6. Secondary Review: To ensure that the letter has been objectively analyzed, it is recommended that the marked-up copy then be reviewed by a second analyst. If there are differences of opinion, these can be resolved by discussion between the two analysts. If the second analyst agrees with the analysis, he/she highlights the underlined portions and the margin code with a yellow felt marker.
7. Make a copy of the marked-up letter: This copy will be put in a master file so that you can always document to the public or decision-makers how the analysis was done.
8. Cut up a marked-up copy and distribute the coded portions into the appropriate file: Each letter is likely to have several codes on it, so cut the letter up and put the underlined portions into the appropriate file folder, e.g., if it has Codes 11, 12, and 14 on it, the underlined portion of the letter where the margin is coded "11" is placed into file 11, 12 into 12, etc.

9. Preparation of Report: When you go to make your report, simply paste-up all the comments by category. This is the point at which you can cross-reference comments by origin or affiliation. All comments in that file from the City of Phoenix, for example, could be pasted-up together. Or all comments from environmental groups could be pasted together.

It is this paste-up procedure which places some limits on the Content Summary Analysis. If you have thousands of letters, with several comments cut-out of each letter, then the process of cutting out the comments and pasting them up is very time consuming. In addition the document itself is very thick. Finally, cross-comparisons between categories (by origin or affiliation) become difficult. This is where Codinvolve may be a more useful technique.

PROCEDURE FOR CODINVOLVE

With Codinvolve we are not attempting to store the actual wording of the comment, but simply tally the comments by category, e.g, 115 oppose the action because it is unwarranted governmental intervention, 316 oppose it because of environmental impacts. The procedures for codinvolve are as follows:

1. Define in advance what question the agency or decision-maker wants answered: In order to develop intelligent categories it is necessary to know what questions the decision-maker wants answered by public comment. Questions might be:
 - How many people support (oppose) the action?
 - How do government agencies (environmentalists, elected officials, etc.) feel about the proposed action?
 - For each alternative action, what are the reasons for supporting (opposing) the action?
 - On which issues do environmental groups and business leaders (elected officials, etc.) agree?

- . On what modifications in the proposed action is there general agreement (defined in numeric terms such as 75% of all respondents in that category)? etc.
- 2. Survey the response: Read a sample of the comments to get an impression of the information contained in the comment. Perhaps the comments address issues you hadn't even thought about, and new questions need to be formulated. You may also want to do a content summary analysis, as outlined above, of a random portion of the comment to give decision-makers a "feel" of the comment which is being received.
- 3. Design a Codebook and Summary Form: The codebook contains instructions, definitions, and examples of how information should be coded. It contains codes for ID numbers, as well as codes for analysis of information. Because only a tally is kept, rather than actual comment, Codinvolve allows for many more categories. Instead of just a category 10 for "opposed," or category 11 for "opposed--invironmental impacts," you could now have a whole raft of categories such as:

110 Series - Opposed - Environmental Impacts
 111 - only remaining free-running stream in area
 112 - major bald eagle population impacted
 113 - encourages development
 etc.

An essential guide in developing your categories is the list of questions developed in Steps 1 and 2 above. You must be sure you have sufficient categories developed to answer all the questions.

In addition to developing a codebook, a summary form is also prepared at this stage. The summary form is a check-off form of some sort to capture all the codes appropriate to each letter or comment. One form will be completed for each letter or comment.

- 4. Coding the Comment: The process of coding the comment is similar to that in Content Summary Analysis. Place an ID code on the originals, make a copy of the originals, and place the originals in a master file. The analyst reads the letter or comment once, and initials the bottom. Then the analyst reads the letter or comment again, underlining significant portions. Then the analyst places the appropriate code in the margin opposite the underlined portions. Finally the analyst completes a summary form with all the codes from the margin.

5. Second Analysis: Again to ensure objectivity, a second analyst can read the marked-up comment to be sure that comments have been coded properly, and codes transferred correctly to the summary form. Differences of opinion are resolved by discussion between the two analysts. The marked-up copies are kept in a file for public review, if necessary.
6. Storage of Codes: The information on the summary form is then transferred either to key-sort cards or to a computer. While key-sort cards can work for small numbers of letters, computers are far more useful for larger quantities. Not only is the computer less cumbersome, but there are sophisticated computer software programs, such as the SPSS (Statistical Package for the Social Sciences) which can be utilized for highly sophisticated statistical analysis of the data.
7. Organize the Report: The computer read-outs can then be summarized into a report designed to answer the decision-maker's questions from Steps 1 and 2 above, and any other useful information which may be relevant to the decision-maker. It is often useful to accompany statistical displays with a narrative summary, e.g. "a majority (61%) of comments from environmental groups indicated support for the action for these three reasons...." Many people, including decision-makers, are still intimidated by statistical analysis and will understand the material better in narrative form. It is essential, however, that the narrative simply summarize the analysis, rather than evaluate the comment. Both Content Summary Analysis and Codinvolve are strictly analysis techniques, and misuse of them by substituting evaluation will undermine their credibility and usefulness.

REFERENCES

Content Summary Analysis:

"Handbook for Public Response Content Analysis," U. S. Forest Service, March 3, 1978.

Codinvolve:

"Forest Service Inform and Involve Handbook (Draft)," U. S. Forest Service, August 1977, pp 61-63.

CHAPTER 23: THE COSTS OF PUBLIC INVOLVEMENT

As indicated in earlier chapters, there is little question that public involvement will increase the costs of decision-making processes. It was also argued, and this is an argument that has also been advanced by the General Accounting Office,¹ that while the immediate costs may be increased, public involvement may reduce the number of legal challenges, costly construction delays, etc. To the extent that a public involvement program can lead to agreement on action within a community, reducing legal challenges and delays, public involvement can be a real bargain in terms of overall cost to the government. Even if every public involvement program cannot produce this sense of agreement, if there is a decrease in legal contests nationally, the savings can be substantial.

But the individual manager responsible for a specific decision-making process must be aware that it will increase the costs on that process. In particular he/she is often faced with the problem of budgeting for public involvement. The state-of-the-art in public involvement is such that little solid information is available on how much should be budgeted for public involvement activities. One of the difficulties is that the amount of public involvement varies substantially depending on how controversial the issue is. That can't always be foreseen in advance. It is also difficult to separate completely those activities that are a normal part of a decision-making process from public involvement-induced costs, e.g. how much of a planning report is public involvement, how much a regular planning cost?

"Ball park estimates" for the costs of public involvement in planning studies run from 10% of budget to as high as 25% of budget. These figures include staff time. A number of EPA 208 programs originally budgeted only 5-10% of their total budget for public involvement, only to discover later that this was a substantial underestimate. No comparable estimates are available for public involvement in other functional areas.

Some information is available on the costs of specific techniques. Some of this information was first developed in a series of documents on public involvement published by the Federal Highway Administration. The most specific information, however, comes from a questionnaire completed by district offices of the U. S. Army Corps of Engineers. Since even these figures are in a range, it may be possible to develop a budget by estimating the number of meetings, the number of reports, the amount of newspaper advertising, etc. and construct a total budget figure in that manner. Naturally if you have a detailed public involvement plan, it becomes easier to construct a budget with some degree of confidence.

¹"Public Involvement in Planning Public Works Projects Should Be Increased," Report B-153449, Dec. 6, 1974, Comptroller General of the U. S.

COSTS FOR EACH PUBLIC INVOLVEMENT TECHNIQUE

Cost figures are provided below for the public involvement techniques described in this manual. Some additional guidance is provided by specifying some of the cost elements that make up those figures. By looking at the individual cost elements you may get some idea whether you will be in the lower or upper end of the range indicated. These are 1977 figures.

LARGE PUBLIC MEETING OR PUBLIC HEARING

The costs of conducting a large public meeting are essentially the same as running a large public hearing--the only difference is how the meeting is run. Estimated total cost ranges from \$2,500-\$6,500, based on these cost elements:

. Professional Staff Time	\$2,000-\$5,000
. Clerical	200- 500
. Hall Rental	0- 100
. Visual Aids	100- 600
. Public Notice/Mailing	300- 500

If a slide/tape show is prepared for the meeting, its cost will be:

\$500-\$1,000 In-House
\$2,000-\$4,000 Contracted

Source: IWR Survey

SMALL MEETING OR WORKSHOP

Costs of conducting a smaller neighborhood meeting or workshop range from \$2,000-\$4,000. If a series of small workshops or meetings is held, the cost per workshop may be reduced, as the staff time in developing the format and accompanying printed materials can be prorated over several meetings.

. Professional Staff Time	\$1,000-\$2,500
. Clerical	200- 500
. Hall Rental	0- 100
. Visual Aids	100- 600
. Public Notice/Mailings	200- 300

Again, if a slide/tape show is developed, costs will be similar to those in a large public meeting.

Source: IWR Survey.

ESTABLISH AN ADVISORY GROUP

Because citizens' advisory groups and task forces serve a variety of roles, it is difficult to assign a cost. Cost factors which must be evaluated are:

- Staff time preparing for advisory group meetings.
- Documents prepared specifically for review by the group.
- Costs of audio-visuals, slide shows, etc., prepared for the group.
- Staff time for advisory group meetings.
- Staff time summarizing results of meetings.
- Staff time for personal discussion with group members.
- Cost of field trips, etc.
- Costs of clerical support.

NEWSPAPER AND RADIO ADVERTIZING

The cost of advertising varies substantially based primarily on the circulation of the media in question. Media rates are reported in a reference book called Standard Rates and Data Service which is carried by most major libraries.

Newspaper rates are typically quoted by the line. (As a standard, a quarter-page is 600 lines.) A quarter-page ad might be only \$100-\$200 in a local paper, \$600-\$700 in a large metropolitan regional paper (circulation 650,000). Rates are sometimes higher if the ad runs on a Sunday, due to increased circulation in Sunday editions.

Radio or television time is based on the length of the ad, and the number of times the ad is repeated. The station also bases its rates on the geographical area the station covers and the percentage of the "market" which listens to the station. Again there is wide range of costs from a few hundred dollars to several thousand dollars based on the size of the station's coverage.

ISSUE A PRESS RELEASE

A survey of Corps' districts indicates that the total cost of issuing a press release varies from under \$100 to a maximum of \$500. This includes staff time for writing the release, editing and review, clerical support, and printing.

Source: IWR Survey.

PUBLICITY ON RADIO OR TV

Costs of obtaining publicity on radio or TV are relatively low, probably in the vicinity of \$250-\$500.

Cost factors include:

- . Staff time to contact TV or radio stations
- . Staff time for preparation of spot announcements
- . Staff time to appear on TV or radio
- . Costs of slides or photographs
- . Costs of recording tapes, etc.

CONDUCTING A SURVEY

Costs of conducting a survey vary widely depending on such factors as:

- . Size of the sample
- . Type of sample
- . Type of interviews, mail, telephone, or personal
- . Degree of interviewer skill necessary
- . Length of interview
- . Location of interview (ghetto, suburb, etc.)

One source (DOT) estimates cost of a statistically rigorous survey as:

Per 20-minute interview:

\$3-\$5	for mailed questionnaire
\$10-15	for telephone interviews
\$15-30	for personal interviews

Source: Effective Citizen Participation (DOT)

CONDUCTING INTERVIEWS

The costs of conducting interviews depend substantially on whether or not the interview is very informal or is highly structured and intended to produce statistically valid results. If the interview is informal, then the cost is primarily in staff time to set up and conduct the interview. If the interviews are to result in a statistical result, then there is considerable time spent in designing the sample, designing the questions, coding and analyzing responses. Estimated costs for interviews conducted as part of a formal survey are \$15-\$30 per 20-minute interview, inclusive of all related costs.

Source: Effective Citizen Participation, DOT.

ESTABLISH A FIELD OFFICE

Factors to be considered in estimating the costs of a field office include:

- . Office rental - Estimated at \$500-800 a month.
- . Staff salary
- . Clerical support
- . Telephone system

DISPLAYS, EXHIBITS

One of the major considerations in the cost of a display or exhibit is whether or not it will be "staffed"--will a WPRS representative be present to answer questions, etc. This substantially increases costs, although it also increases the effectiveness of the display if there is sufficient audience. Other factors that enter into the cost of a display or exhibit include:

- . Staff-time to develop the content and format of the display.
- . Time of audio-visual staff, or a contract with an audio-visual contractor.
- . Cost of display space (often free).
- . Cost of periodic maintenance of display.

NEWSPAPER INSERTS

It is difficult to assign a price to newspaper inserts because it depends substantially on the distribution of the newspaper. To give a "ball park," a statewide public involvement program in North Dakota had the following cost estimates for newspaper inserts:

Printing -	220,000 eight-page inserts	\$3,000
Distribution	220,000 - Statewide	\$8,000

The cost of printing newspaper inserts is often substantially reduced by having the newspaper itself do the printing.

It should be noted that a full-page ad is often cheaper than a newspaper insert, although inserts are often more acceptable as an expenditure of public funds.

Source: North Dakota Statewide Public Involvement Program
James L. Creighton

REPORTS, BROCHURES, INFORMATION BULLETINS

A survey of Corps' districts indicates a wide range of estimated costs for reports, as indicated below:

50-Page Report	\$ 5,000 - \$10,000
200-Page Report	\$10,000 - \$50,000

Cost elements include:

	<u>50-Page Rpt.</u>	<u>200-Page Rpt.</u>
. Professional Staff Time	\$1,000-\$7,000	\$5,000-\$30,000
. Clerical	200- 700	400- 5,000
. Printing	200- 500	500- 2,000
. Mailing	0- 150	0- 500

Information Bulletins should range from \$500-\$1,500 to produce and mail. Costs can be higher if extensive graphics are used.

Source: IWR Survey

PARTICIPATORY TELEVISION

Participatory television can be costly. A program called "Choice for '76" conducted in the three-state area adjoining New York City was budgeted at \$1.5 million. This program had many features unlikely to be duplicated in programs with less funding. A similar program in Roanoke, Virginia required \$90,000 for three broadcasts. A televised public hearing in Chicago only cost a few thousand dollars in direct costs, but

involved many person months to prepare. With staff costs included, the estimated cost was \$40,000. Despite these high costs, the cost per participant may still be lower than in other public involvement techniques as so many more people may be reached by television. As cable television spreads and communication costs decline this technique may be used more frequently.

BOOTH AT COUNTY FAIR

The costs of operating a fair booth are 1) Space Rental; 2) Development of display materials; 3) Staff time to operate the booth; 4) Printing and developmental time to prepare materials for distribution at the booth. Space rental can run from \$100-\$500 depending on the size of the fair. If you wish to have the booth operated during all hours the fair is open, you will need at least two full-time staff members available for the duration of the fair. Display and publication costs vary with the elaborateness of the display or printed materials.

FISH-BOWL PLANNING PROCESS

The total cost of fish-bowl planning including the brochures, meetings, workshops and citizens committee meetings have historically ranged from 10% to 20% of the total study costs.

Source: Seattle District, U. S. Army Corps of Engineers

MEDIATION

The single largest cost of mediation is the professional fee of a skilled and experienced mediator at \$200-\$500 per day. In addition there is potentially considerable staff time in preparation for mediation sessions. It is also often necessary to provide technical assistance to various parties to the conflict. Mediation on a controversial highway project ran to 3% of the total planning budget (for a large project).

Source: Effective Citizen Participation in Transportation Planning, U. S. DOT 1976.

CHARRETTE

Charrettes can be quite costly. Costs can range from \$15,000 to \$250,000. Cost factors are:

- . Extensive staff time both in preparation and participation.
- . Facilities costs for the duration of the charrette.

- . Costs of graphics, audio-visual presentations, etc.
- . Clerical support, frequently with one or more clerical staff present for the duration of the charrette.
- . Availability of Xeroxing equipment.
- . In some cases, particularly with low income residents, it may be necessary either to provide baby sitting or reimburse for baby sitting and transportation.
- . In some cases it may be necessary to pay citizens modest honoraria to compensate for the amount of time spent participating.

Source: Effective Citizen Participation In Transportation Planning, U. S. Dot, 1976.

DELPHI

The costs of conducting a Delphi process vary widely depending on the number of "rounds," the number of respondents, the complexity of the issue, etc. Factors which should be considered include:

- . Either staff time or consultant time to design questionnaires, set up evaluation procedures, analyze responses; issue summary reports.
- . In some Delphi processes, respondents are paid an honorarium or consulting fee.
- . Clerical time for typing questionnaires, tallying responses, following up with "drop-out" respondents, typing summaries.
- . Postage, phone bills, duplicating and printing costs.

SIMULATION GAMES

The costs of simulation games are:

- a. Developmental cost of the game.
- b. Rental or royalties on an existing game, and
- c. The game manager or facilitator.

If it is necessary to develop a simulation game, costs are usually in excess of \$10,000 and have been known to be as high as \$2 million. It is of course much cheaper to utilize an existing game if one can be found which is suitable to the study situation. In this case there can be a relatively small rental or royalty fee for the game. In addition it is usually necessary to hire a trained game manager or facilitator whose fee may range from \$200 to \$500 per game. Other costs associated with the simulation game would be meeting hall rental or other costs normally associated with conducting a meeting.

TECHNICAL ASSISTANCE TO CITIZENS

The costs of providing technical assistance depend entirely on the kind and extent of technical assistance being provided. If agency personnel are utilized, then there may be little or no additional cost or considerable staff cost, depending on the program. Consultant fees, if independent consultants are to be used, range from \$150-\$500 per day.

TRAINING PROGRAMS FOR CITIZENS

If the training is conducted by Corps personnel then the cost factors include:

- . Professional staff time to design program.
- . Professional staff time to conduct program.
- . Cost of developing publications used in training.
- . Cost of facilities.
- . Cost of audio-visuals, etc.

If outside consultants are used, fees may range from \$250-\$500 a day, with exceptionally renowned consultants receiving as much as \$1,000 a day. Unless the consultant has prepared a similar course for another agency, the consultant will usually charge time for materials development as well as time actually conducting the course.

COMPUTER-BASED TECHNIQUES

Unless the agency's computer system already has most of the required equipment, the acquisition of computer equipment can make computer graphics quite expensive. Interactive computer terminals run from \$2,700--\$10,000. Monthly rental costs are approximately 1/36th of the purchase price. Commercial time-sharing costs for computer-based teleconferencing are about \$20 per hour per user. Other costs of computer techniques are the costs of developing software programs and staff time to operate the techniques for citizens.

Source: Effective Citizen Participation, DOT.

APPENDIX I : PUBLIC INVOLVEMENT BIBLIOGRAPHY

Public involvement is a field that has grown rapidly over the decade of the 1970's. Prior to that time, publications regarding public involvement primarily concerned housing and minority issues. However, during the 1970's, there were a growing number of publications on public involvement in water resources, land use, and transportation planning. The bibliography below lists many of the major publications, but is by no means exhaustive.

Because the field is growing rapidly, there will be a number of new publications in the next few years. One way to keep up with what is happening is through a new bi-monthly newsletter/magazine called "Citizen Participation" which is published by the Lincoln Filene Center for Citizenship and Public Affairs, Tufts University, Medford, Massachusetts 02155. The first issue was published October, 1979. Current subscription price is \$12.

Currently, the major publications--with comments on what they have to offer--are:

Bishop, A. Bruce, "Public Participation in Water Resources Planning," Report 70-7, Institute for Water Resources, Fort Belvoir, Virginia, 1970.

One of the first significant studies of public involvement in water resources planning.

Bishop, A. Bruce, "Structuring Communications Programs for Public Participation in Water Resources Planning," Institute for Water Resources, Fort Belvoir, Virginia, 1974.

Applies communications theory to the development of public information programs.

Borton, Thomas E., Warner, Katherine P., and Wenrich, J. William, "The Susquehanna Communication--Participation Study," IWR Report 70-6, Institute for Water Resources, Fort Belvoir, Virginia, 1970.

An early study of public participation in water resources planning. Includes a good section on methodologies for identifying community influentials.

Caldwell, Joan E., "The Westchester Experiment," Federal Aviation Administration, Office of Environmental Quality, Washington, D. C.

A short report of public involvement efforts at a noise-impacted airport.

Comptroller General of the United States, "Public Involvement in Planning Public Works Projects Should Be Increased," Report B-153449, Comptroller General of the United States, U. S. Congress, Washington, D.C., 1974.

A report from the General Accounting Office indicating that public involvement decreases the long-range costs of major public works projects.

Creighton, James L., Editor, "A Public Involvement Reader," Institute for Water Resources, Fort Belvoir, Virginia (To be published Spring, 1980.)

This publication will combine numerous articles by Creighton which were developed for Corps of Engineers training programs and have not previously been published for general distribution, with a representative sampling of other public involvement studies funded by the Institute for Water Resources over the past decade.

Creighton, James L., "Community Involvement Manual," Office of Energy and Environment, Federal Aviation Administration, U. S. Department of Transportation, 1979.

This is a public involvement manual covering material similar to that contained in this manual, only much more briefly. It is primarily designed for airports with noise or planning problems.

Creighton, James L., "Corps of Engineers Advanced Course on Public Involvement in Planning," Institute for Water Resources, Fort Belvoir, Virginia, 1977.

This is a training workbook that has had limited distribution, but has numerous useful articles on public involvement techniques. Much of this material will appear in the "Public Involvement Reader" listed above.

Creighton, James L., "Corps of Engineers Public Involvement in Regulatory Functions Workbook," Institute for Water Resources, Fort Belvoir, Virginia, 1979.

This is another training manual that has not been distributed generally, but contains numerous articles on public involvement. Many of these articles will appear in "A Public Involvement Reader," listed above.

Creighton, James L., "SYNERGY Citizen Participation/Public Involvement Skills Workbook," SYNERGY Consultation Services, La Mesa, California, Original Printing, 1972. Most recent edition, 1979.

This is a workbook distributed to participants in SYNERGY's citizen participation training programs. Some of the materials in the book relate specifically to the training program, but it does contain useful readings on public involvement.

Dahlgren, Charles W., "Public Participation in Water Resources Planning: A Multi-Media Course," Institute for Water Resources, Fort Belvoir, Virginia, 1972.

An early training program for Corps' planners.

Delli Priscoli, Jerry, "Public Involvement and Social Impact Analysis: Union Looking for Marriage," Working Paper 78-2, Institute for Water Resources, Fort Belvoir, Virginia, 1978.

A paper describing the need for integration between public involvement and social assessment activities.

Delli Priscoli, Jerry, "Why the Federal and Regional Interest in Public Involvement in Water Resources Development," Working Paper 78-1, Institute for Water Resources, Fort Belvoir, Virginia, 1978.

A paper describing why the current demand for public involvement exists.

Environmental Protection Agency, "Guide 3--Effective Use of Media," Office of Public Affairs, U. S. Environmental Protection Agency, Washington, D. C., 1977.

A good short review of techniques for working with the media.

Federal Highway Administration, "Environmental Action Plan Reports," U. S. Department of Transportation, Washington, D. C.

This is a series of brief reports on citizen participation efforts in transportation planning. Among the topics covered in the reports are:

Report No. 2 (October 1975)

"Utah: An Interview on Public Involvement"

Report No. 4 (July 1976)

"Canada: The MTTPR Study"

"North Carolina: The Blue Ridge Parkway"

Report No. 6 (March 1977)

"Public Involvement in Interdisciplinary Planning--
The J-495 Noise Abatement Study"

"Public Hearing Slide-Tape presentations used by the
Kansas Department of Transportation"

Report No. 7 (May 1978)

"Pennsylvania: The Everett Bypass--How to Reduce
Conflict Through Public Involvement"

"Arizona: Involving a Mexican American Community in
Douglas: Conducting Cooperative Highway Planning in
Sedona"

This is a continuing series, so other documents may now be available.

Federal Interagency Council on Citizen Participation, "At Square One," Federal Interagency Council on Citizen Participation, Washington, D.C., 1976.

This contains the proceedings of the Conference on Citizen Participation in Government Decision-Making, which took place in December, 1976. It includes summaries of group deliberations, as well as addresses by Virginia Knauer, James Creighton, and R. David Pittle.

Forest Service, "Inform and Involve Handbook," Forest Service, U. S. Department of Agriculture, Washington, D.C., 1977.

A general manual on public involvement, including a discussion of a variety of public involvement techniques.

Forest Service, "Rare II Analysis of Public Response--Codebook." Forest Service, U. S. Department of Agriculture, Washington, D. C., 1978.

This is an internal document which describes how thousands of public comments were stored and analyzed.

Hanchey, James R., "Public Involvement in the Corps of Engineer Planning Process," IWR Research Report 75-R4, Institute for Water Resources, Fort Belvoir, Virginia, 1975.

A good early manual describing the design of public involvement programs for Corps of Engineers' Planning Studies, 44 pages.

Highway Research Board, "Citizen Participation in Transportation Planning," Report 142, Highway Research Board, National Academy of Sciences, Washington, D. C., 1973.

Proceedings of a conference discussing a number of early efforts at public involvement in transportation planning.

Hoover, Julie H. and Altshuler, Alan E., "Involving Citizens in Metropolitan Region Transportation Planning," Federal Highway Administration, U. S. Department of Transportation, Washington, D. C., 1977.

This study deals with the unique problems of citizen involvement in metropolitan areas, particularly in planning of the overall transportation system.

Jordan, DeSoto, Arnstein, Sherry R., Gray, Justin, et al, Effective Citizen Participation in Transportation Planning, Federal Highway Administration, U. S. Department of Transportation, Washington, D. C., 1976. Volumes I & II.

Volume I provides a model for design of community involvement programs. Volume II is a particularly valuable catalog of community involvement techniques.

Langton, Stuart, Editor; Citizen Participation in America, Lexington Books, Lexington, Massachusetts, 1978.

An overview of the academic literature related to citizen participation.

Langton, Stuart, Editor; Citizen Participation Perspectives, Lincoln Filene Center for Citizenship and Public Affairs, Tufts University, Medford, Massachusetts, 1979.

This contains the proceedings of the National Conference on Citizen Participation, which included discussions and papers by academics, practitioners, representatives of government agencies, and "public interest" groups.

Mannheim, Marvin L., Suhrbier, John H., et al, "Community Values in Highway Location and Design: A procedural Guide," Report No. 71-4, Urban Systems Laboratory, Massachusetts Institute of Technology, Cambridge, Massachusetts, 1971.

An important early work on community involvement in transportation planning.

Moronne, Daina Dravnieks, "Forest Service Public Involvement Handbook and Guidelines," Pacific Southwest Range and Experiment Station, Forest Service, U. S. Department of Agriculture, Berkeley, California, 1979.

This is a draft internal document being prepared for general distribution. It contains Forest Service guidelines and procedures for establishing public involvement.

Neuhaus, Helen, and Mathews, William, "Improving the Effectiveness of Public Meetings and Hearings," Federal Highway Administration, U.S. Department of Transportation, 1978.

A very complete and detailed guidebook on conducting public meetings.

Ragan, James F., "Guide 1: Effective Public Meetings," Office of Public Affairs, U. S. Environmental Protection Agency, 1977.

A good short summary of various aspects of designing and conducting effective public meetings.

Rosenbaum, Nelson M., Citizen Involvement in Land Use Governance, The Urban Institute, Washington, D. C., 1976.

An overview of the academic literature describing efforts at citizen involvement in land use planning.

Torrey, Wayne R. and Mills, Florence W., "Selecting Effective Citizen Participation Techniques," Federal Highway Administration, U. S. Department of Transportation, Washington, D. C., 1977.

This document summarizes several earlier FHWA publications on citizen participation techniques.

Ueland and Junker, et al, "A Manual for Achieving Effective Community Participation in Transportation Planning," Pennsylvania Department of Transportation, Philadelphia, Pennsylvania, 1974.

A general manual describing the design of community participation programs, including a good description of techniques.

Virginia Highway and Transportation Research Council, "Community Involvement Revisited: Proceedings of a Panel," Federal Highway Administration, U. S. Department of Transportation, 1976.

Proceedings of a panel discussion reviewing FHWA's efforts to introduce community involvement in transportation planning.

Vogt, Susan F., "Public Participation Handbook for Water Quality Management," Environmental Protection Agency, Washington D. C. 20460.

A booklet describing techniques for public involvement in EPA's Water Quality Management activities.

Widditsch, Ann, "Guide 2--Working Effectively with Advisory Committees," U. S. Environmental Protection Agency, Washington, D. C. 1977.

A very good short guide on working with advisory committees.

Willeke, Gene E., "Identification of Publics in Water Resource Planning," Report ERC--1974, Department of City Planning, Georgia Institute of Technology, Atlanta, Georgia, 1974.

A very good summary of techniques for identifying the publics which should be included in public involvement programs.

Yukubousky, Richard, "Community Interaction in Transportation Systems and Project Development: A Framework for Application," Report PRR50, New York State Department of Transportation, Albany, New York, 1973.

An exhaustive catalog of public involvement techniques.

APPENDIX II: EXAMPLES OF PUBLIC INVOLVEMENT GRAPHICS

Communicating with the public is not just a matter of words, but a matter of visual impressions as well. This chapter will provide examples of printed materials that communicate well with the public. They include newsletters, public announcements, brochures, and even booklets that can be used as part of public meetings. These materials display a range of styles in visual presentation, including very simple straightforward layout to highly sophisticated design.

The principles of good design are well outside the range of this manual. However, the one aspect of design which is somewhat unique to public involvement is that publications utilized in public involvement should not be so sophisticated that they raise questions in the public's mind about proper utilization of taxpayers' funds. This does not mean, however, that they cannot be attractive and visually pleasing, as the examples below illustrate.

EXAMPLE A

This is a series of highly creative ads that were run in local newspapers by the Department of Public Works in Santa Clara County, California. These ads ran over a period of approximately two weeks, culminating in the final ad which advertised a series of public meetings. The pen drawings instantly made the ads stand out from the advertisements around them, attracting the interest of the reader.

EXAMPLE B

This is a copy of one issue from a monthly newsletter published by a major Regulatory Storage/Flood Control study. The newsletter is designed to be printed on both sides of 11" X 17" paper, with a franked mailing space on the back cover. The logo design wraps around both the front and the back cover, although some of this effect is lost here because the newsletter has been cut up to fit into the 8 1/2" X 11" format of this manual. The newsletter is printed on a tan paper, with brown ink. The logo is actually a two-color logo, with the outline of the State of Arizona showing up in turquoise. Naturally, any time more than one color is used, the costs go up as a separate run must be made on the press for each color. To avoid costs, the logo has been pre-printed on a large number of sheets of paper, which will be utilized over the duration of the study. Since the cost per copy declines dramatically in all printing when large numbers of copies are made, this reduces the cost of the second color substantially. It should be noted that the one disadvantage to printing in brown ink is that photos do not print as well as with black ink on white paper.



an up to the minute report:

YOUR TRANSIT SYSTEM ON THE MOVE!

Thanks to your overwhelming approval of the transit district, money will soon be available for planning and implementation of transportation solutions. But time is short, We need your help

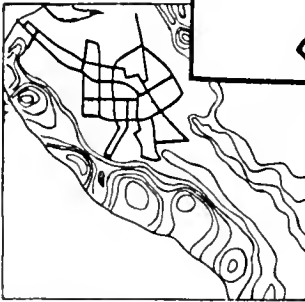
to pick the system you want and need. Regional? Local (county only)? Buses or fixed rail? Or...? Any system is complex and impossible to define satisfactorily but we must begin to think and question.

WHAT ARE THESE ALTERNATIVES?

- LIMITED BUS SYSTEM
- EXPANDED BUS SYSTEM
- REGIONAL RAPID TRANSIT with FEEDER BUSES
- REGIONAL TRANSIT with AUTOMATED FEEDER SYSTEM
- LIMITED PERSONAL TRANSIT
- COUNTYWIDE PERSONAL TRANSIT

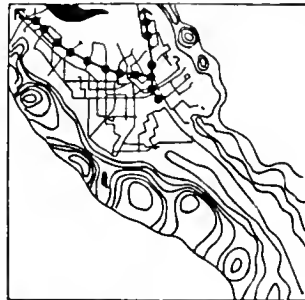
HOW DOES EACH SYSTEM AFFECT PRESENT GROWTH PATTERNS AND LIFE STYLE?

Let's look at the bus systems (at this stage, any sketches are simply symbolic. Actual lines and vehicle types would be determined after much further study and public hearings.)



LIMITED PERSONAL TRANSIT

Emphasizes local County travel needs rather than full Bay Area regional links. Rather than use buses as feeders, we would have small or medium-sized electrically powered trains running between small stations spaced at half mile intervals. About 125 miles of two way track and 200 station stops could provide several closed loops running throughout the existing urbanized area of the County. Development would occur along the transit corridors at mostly medium densities and would not feed to cluster in high density activity areas. The auto would still be the dominant travel mode.



REGIONAL RAPID TRANSIT with FEEDER BUSES

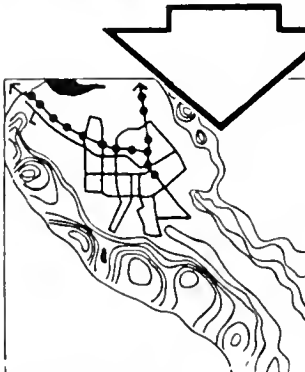
This concept envisions about a 22-mile rail transit loop around the bay. Sixteen stations at major activity centers would be concentrated in the northern urbanized area of the County. Each of the stations would become high density urban clusters. Because future development would be concentrated in the clusters, the remainder of the valley floor could remain low density and relatively decentralized.



LIMITED BUS SERVICE

This would involve only moderate changes in the present system. Most travel needs would still be met by auto. We would continue to develop and extend the present and planned roadway network. The dominant land use pattern would continue to be scattered low-density residential development. This dispersal, however, is expected to require more roadway than presently plans of for 1990.

LIMITED OR EXPANDED BUS SERVICE



REGIONAL TRANSIT with AUTOMATED FEEDER SYSTEM

This has a regional rail line forming a Bay Area loop interconnect in a Countywide rail system of five or six closed loops. The regional line would be about 22 miles long with 16 stations while the Countywide floor would be 100 miles long with about 150 stations. The development pattern would tend to be high density around the 16 regional stations, medium density along the local transit corridors and low-density in between.



COUNTYWIDE PERSONAL TRANSIT

This system would be the most competitive with the automobile. It is basically a grid system with 400 miles of one way elevated guideways carrying small (12 to 20 passenger) automatic electric cars. Elevator type buttons would summon the cars and also permit discharge of passengers. There would normally be one transfer per trip. Each of the lines would not actually intersect but would pass over each other forming about 700 station stops. Development would continue to be scattered rather than concentrated. But parking and street needs would be much less. Local travel needs are emphasized rather than a regional Bay Area system. Speeds would be only medium range. Over local streets/ways would have to be designed to minimize noise and visual impact.

EXPANDED BUS SERVICE

Assures purchase of the private local bus companies and establishment of a greatly expanded service area. About 200 to 400 new buses would be needed to cover about 70% of the County's urbanized area. All 15 cities would be covered. Again, the County's present form of dispersal would continue unless other growth policies are initiated.

This is Number 1 of 4 advertisements this month. If you missed any of the others, please phone 799-1242 for your copy.

LET'S HEAR FROM YOU!

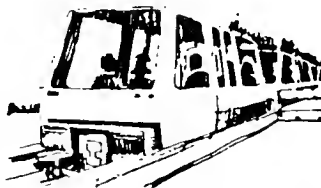
HELP US DESIGN YOUR TRANSIT SYSTEM!

Contact:
DEPARTMENT OF PUBLIC WORKS
Santa Clara County, 20 West Hedding St.
San Jose, California 95110

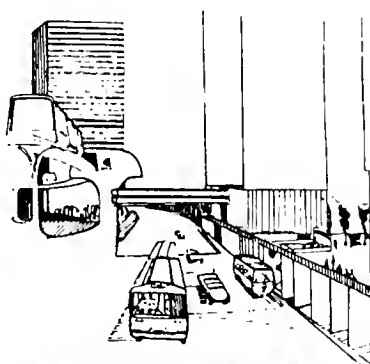
The increase in population makes transit of great importance to us. Let your overall feelings. Take a few words. Take pages. But let us know your thoughts. Thank you.

. . . help us design your transit system

We need your thoughts. The recent election showed an overwhelming interest in and support for an effective area transit system. When we do it, we want to do it right . . . right for you. We are asking for your thoughts through a series of informative advertisements in your local newspaper. We have found this method brings us the widest range of opinions at the lowest cost. Read these advertisements carefully. Consider them.



. . . consider these regional concept alternatives:

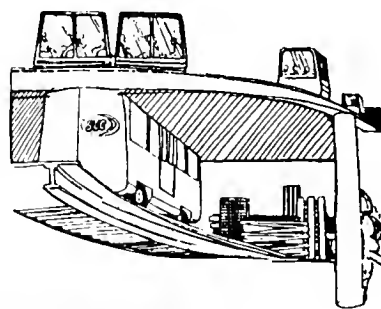


Regional Transit with Feeder Bus

Another alternative proposed by the County's transportation planners is a regionally oriented rail system. It would stress concentration of growth around a limited number of stations though feeder buses could increase the area directly served.

The proposed system would include 32 miles of two-way grade separated track with 18 stations at major activity centers. It would connect the downtown city centers of the County with the rest of the Bay Area. Electrically powered trains would run up to 50 mph, with high passenger capacities during rush hours. A substantial bus system would supplement this main line and provide service to other destinations within the County.

This system would offer a variety of lifestyles. Residents in high density areas near stations would have both regional and local mobility without being overly dependent upon automobiles. Medium and low density residential developments, similar to what exists now, would still be available. More intensive development around the stations would relieve much of the pressure for new suburban development and allow more natural areas to be preserved.



Regional Transit with Automated Feeder System

A logical alternative would be to provide rail transit serving travel within the County and also linking the County with the rest of the Bay Region. This could be done by building two separate sets of tracks, a regional trunk line and several County-wide loops, and providing for efficient transfer between the two systems. In this way, both local and long-distance trips could be made via rapid transit. Such a system would be more expensive, because of the need to construct two sets of facilities, but it would provide a much greater choice of destinations.

The regional line under this proposed system would cover 32 miles, with 18 stations. The County-wide system would have five or six closed loops of two-way track (100 route miles) with over 150 stations. The system would be flexible, since either segment could be expanded.

High intensity development would cluster around the regional stations, with medium density development near the corridors. This plan could provide the greatest choice of living styles - from new highrise apartments in the centers to typical single family homes at the fringe.

. . . what is your opinion?

The following questions are to stimulate your thinking about transportation alternatives. They are not intended to be complete, so feel free to respond with your opinions on issues not mentioned. But we need your help, if only to find out your present feeling at this stage of the planning efforts. In the months ahead, we will respond to what you think are the problems. Further information and feedback may change all of our perceptions. Eventually, we may agree on the solutions.

Is transportation for Santa Clara County a local or regional problem?
Should we encourage high-density residential commercial centers?
Would you live or shop in those centers?
Can we preserve our low-density single-family lifestyle?
Will regional centers preserve open space?
Do centers and transit lines attract more growth?
Do they pay their own way?
What is the most desirable and undesirable feature of each alternative?

**read about other alternatives
in detail in today's newspaper**

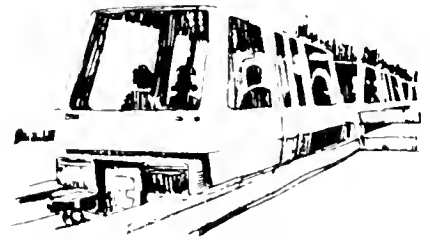
**Your thoughts today . . .
guide our actions tomorrow**

Feel free to clip this ad and mail with your comments to
Department of Public Works
Santa Clara County
20 West Hedding Street
San Jose, California 95110

This is Number 4 of 5 Advertisements this month. If you miss any of the series, please phone 299-2362 for your copy.

... help us design your transit system

We need your thoughts. The recent election showed an overwhelming interest in and support for an effective area transit system. When we do it, we want to do it right... right for you. We are asking for your thoughts through a series of informative advertisements in your local newspaper. We have found this method brings us the widest range of opinions at the lowest cost. Read these advertisements carefully. Consider them.



What is being done about the transportation problem?

Nationally, new programs and monies are beginning to focus on the public transportation "system". Here in Santa Clara County voters have expressed a similar emphasis by an overwhelming approval of the County Transit District.

The Transit District is an important first step in organizing to find solutions. The next step is to increase public awareness of the possible solutions and their impact so that informed decisions on the future of the County can be made.

A unique information effort funded by the Federal Government is now underway. It is unique not because of the information methods being used, but because the effort is occurring early in the planning process rather than after the concrete or tracks have been laid.

As a method of soliciting public response, the County has prepared a number of possible transportation alternatives for open and critical discussion.

These alternatives cover a wide variety of choices, and each has advantages and disadvantages. Some of them can be combined and rearranged to form other alternatives.

Why is transportation so important?

Nearly everything we do is affected by our ability to move quickly, easily, and cheaply through our environment. With little effort we should be able to see the major implications of transportation for some of the most important issues of our day, such as growth, density, sprawl, employment, recreation, open space and environment.

Many of us have made lifetime decisions based on access between home and work.

What are the alternatives?

In a series of advertisements we will briefly present a half dozen alternatives.

- Limited bus system
- Expanded bus system
- Regional rapid transit with feeder buses
- Regional limited personal transit with automated feeder system
- County-wide personal transit system

Buses are an obvious alternative— but how many, where and how often— at what cost.

If you think rail systems are the answer, should they operate only within the County, or should they be integrated with the region?

Why are we asking for your help?

You have a great stake in the outcome of future planning and development both in the County as a whole and in your own home town. Employment, income and life style are greatly affected by public decisions such as transit.

You pay the cost.

You have unique viewpoints and opinions.

You know the extent of your local problems.

Many of you already know about transit options and have been able to form opinions on what you think is best for you and your family.

Where do we go from here?

Most transit systems will take years to plan and develop. Decisions made in the early years are often binding and irreversible. Those early decisions cannot always be made with complete knowledge of all costs and effects. But if made openly after public interaction, we will be that much more assured of making a better decision.

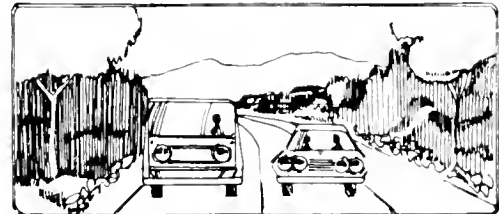
Watch your newspapers for additional information on each of the alternatives.

We welcome and need your responses, in order to work together for a better future for Santa Clara County.

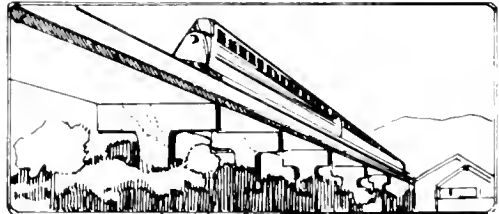
**Read about
LIMITED OR EXPANDED BUS SERVICE
in detail in today's newspaper**



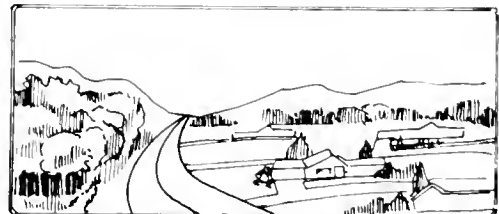
Should we continue building just freeways, highways and parking lots to accommodate the automobile? While the auto has served and will continue to serve us well in the future, what other efforts should be made?



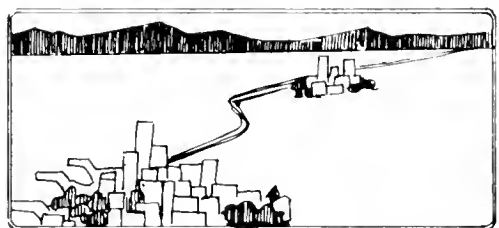
Should we increase the existing bus system slightly, gradually, or extensively? Should we lengthen routes, expand coverage, increase frequency of service or lengthen hours? We can make buses smaller and more accessible, decrease noise, and air pollution, grant exclusive lanes or control routes, and stop by computer.



Rail Transit: Should we integrate a fixed rail system linking the Bay Area region? These major lines could then be fed by buses or smaller, automatic transit systems. Should we concentrate on only Santa Clara County? We could begin a model system of looped personal rapid transit, which can later be expanded to full County coverage competitive with the automobile.



Do we wish to maintain a low density single family style of living? Can we?



If we cannot maintain present low densities, should we guide future development into medium-density corridors or high density centers. Our present image has been largely shaped by automobiles and highways. Centers are encouraged by longer trains and fewer stops.

**Your thoughts today . . .
guide our actions tomorrow**

This is Number 1 of 5 advertisements this month. If you miss any of the series, please phone 299-2362 for your copy.

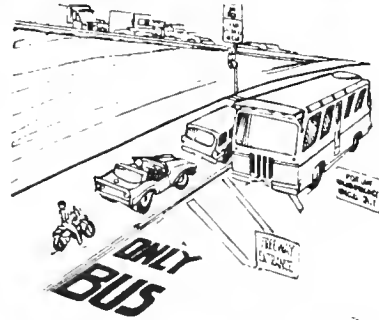
Feel free to clip this ad and mail with your comments to
Department of Public Works
Santa Clara County
20 West Hedding Street
San Jose, California 95110

... help us design your transit system

We need your thoughts. The recent election showed an overwhelming interest in and support for an effective area transit system. When we do it, we want to do it right . . . right for you. We are asking for your thoughts through a series of informative advertisements in your local newspaper. We have found this method brings us the widest range of opinions at the lowest cost. Read these advertisements carefully. Consider them.



... consider these two alternatives:



LIMITED BUS SERVICE

One alternative is to continue an extension of what exists today. Limited bus service would be provided while most travel needs would be met by automobiles. Low density residential development would continue, as would geographical scattering of commercial, industrial, recreational and educational facilities.

This extension of present trends would meet the expressed wishes of many County residents for single-

family homes. Planned highways could be financed from existing sources. Disadvantages exist, however.

Expected growth will create severe congestion even when the planned highway system is completed. Additional highways would be very costly, both in dollars and in environmental problems. Pressure would be exerted to develop the Bay lands, hillsides, and remaining agricultural lands leaving little open space.

Public transit would still be inadequate and time-consuming, discouraging all but captive riders. Many major destinations would remain difficult or impossible to reach by bus. Ties with the rest of the Bay Area region could be weakened, not only economically but politically, socially and culturally.

EXPANDED BUS SERVICE

A second bus alternative, differing primarily in degree, would consist of a substantially expanded system under one operating authority. Such an expanded system would provide service to all 15 cities within the County. Consolidation of existing bus lines under one operating district would allow coordination of routes and schedules and establishment of transfer privileges, plus other service improvements.

This plan would require 300 to 400 new buses on routes providing service to about 70% of the County's urbanized area. Service would be more frequent, with buses every

10 to 15 minutes during off-peak hours. The expanded system would be designed to attract people who now drive. It would include peak-hour, limited-stop routes plus express routes on freeways as well as local routes.

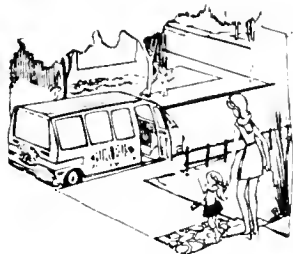
Buses could still not compete with the speed and flexibility of the auto. Additional streets and freeways might still be required. It is estimated that every major highway would be overloaded by 1990, even if the existing committed network is completed.

Buses do have advantages—they are flexible, easily

adapted to the existing street network, and do not require massive capital outlay. Buses could serve short-term travel needs, while building up patronage. Later they can be converted into a local feeder system for some other type of transit system.

Although improved bus service would increase the mobility of the non-auto user, it would not substantially alter the existing development forces within the County. Existing centers may be strengthened somewhat, but auto travel and low density, scattered development would still dominate.

... what is your opinion?



The following questions are to stimulate your thinking about transportation alternatives. They are not intended to be complete, so feel free to respond with your opinions on issues not mentioned. But we need your help, if only to find out your present feeling

at this stage of the planning efforts. In the months ahead, we will respond to what you think are the problems. Further information and feedback may change all of our perceptions. Eventually, we may agree on the solutions.

- What is the most desirable feature of the bus alternatives?
- What features are the least desirable?
- Is the continued low density development associated with these alternatives desirable? Or obtainable?

- If you favor limited bus service, how long do you think it will be adequate for Santa Clara County?

Try to rank the following characteristics in the order of most importance to you. (Which are you most willing to pay for?) (Try a scale of 1 to 10)

- Comfortable seats and leg room
- Easier access, lower steps from curb

- Low fares
- Round-the-clock operation
- Security
- Routes within walking distance of most homes
- Simpler, easy-to-memorize routes and maps
- Less time between buses
- Smaller buses
- Pollution-free (noise and air)
- Faster buses
- Seats for everyone, even in the rush hour
- Separate rights-of-way from cars and trucks
- Buses summoned by phone?

**read about other alternatives
in detail in our next issue**

**Your thoughts today . . .
guide our actions tomorrow**

Feel free to clip this ad and mail with your comments to
Department of Public Works
 Santa Clara County
 20 West Hedding Street
 San Jose, California 95110

Thank You...

but don't STOP now!



For the past few months, the Santa Clara County Transportation Commission and the Board of Supervisors has been asking what you think should be done about transportation.

Thousands of you have responded to our previous ads, articles, posters or interviews concerning the transit alternatives available.

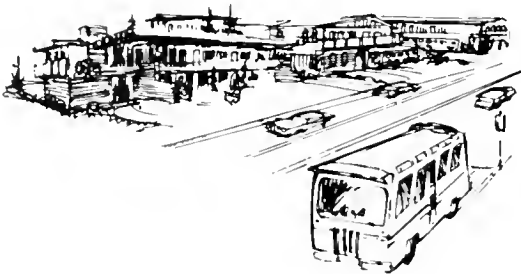
Thank you for your time and effort.

Suggestions were wide-ranging, but a significant majority felt that, in the long run, the entire Bay Area should be interconnected by a regional transit system (such as BART).

For a local transit and feeder system, opinion was split between buses and automated overhead lines.

So that we can concentrate on our local transportation needs, let's assume regional transit will come eventually. What should we use to move around the county now, while allowing for tie-ins with regional transit in the future?

How do we solve local transit NOW?



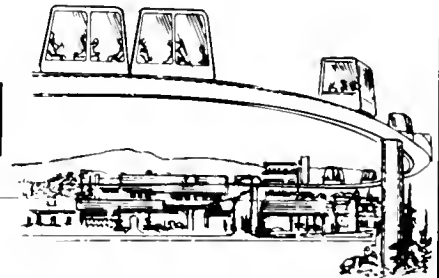
Buses would serve most of the county's local needs, and routes could be quickly altered to serve a regional transit system. A bus system would not require major special construction. Buses are flexible, come in all sizes, and can be made cleaner, quieter, and more comfortable.



OR



PRT means Personal Rapid Transit. Many experts see it as the answer to the transportation problem. (Naturally, other experts disagree.) Basically, it consists of many small electric transit cars running on slim, elevated guideways. One-way lines would serve most of the urbanized county area. Stops would be about every half mile, so many people could use the system conveniently.



Which is better?

Both Buses and PRT will tend to promote more of present low-density, single-family development. Corridors of medium density can be expected, however, along PRT lines and many bus routes. Bus Routes are more flexible. A bus system would cost less money, and can be started up now. But buses have a poor image, travel on congested city streets, and require high labor costs to operate.

PRT is more glamorous with its space-age technology, travels on its own grade-separated guideway, and its automatic controls lessen the need for high labor costs. On the other hand, PRT is a permanent fixed route, is more expensive to build, and will require more time to design and begin operations. No one really knows for certain yet which is better for Santa Clara County.

WHAT DO YOU THINK?

Whether or not you agree that a future connection with BART is desirable, how should we solve our local transit needs? Think about it. Write to us

- How would buses serve you best?
- How would PRT serve you best?

If you would like to state your opinions in person, come to one of our public forums. (Check the one you can attend.)

SOUTH COUNTY:

San Martin School
North St., San Martin
Tuesday, September 26
7:30 p.m.

NORTH COUNTY:

Mountain View
Recreation Center
201 S. Rengstorff
Thursday, September 28
7:30 p.m.

CENTRAL COUNTY:

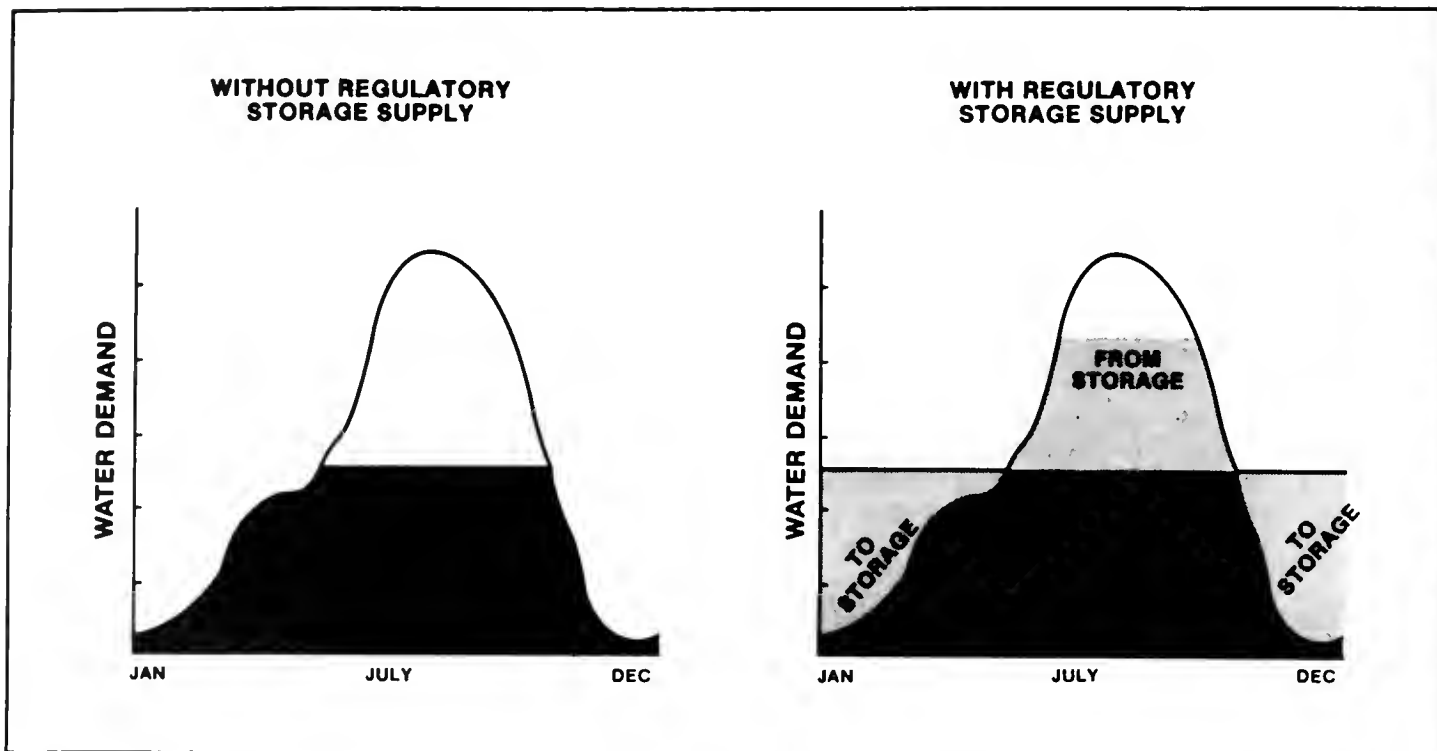
San Jose Municipal
Auditorium
Market and San Carlos St.
Saturday, September 30
9:00 a.m.

**SPEAK OUT
ON TRANSIT!**

Contact
DEPARTMENT OF PUBLIC WORKS
Santa Clara County, 20 West Hedding St.
San Jose, California 95110
(408) 299-2362

EXAMPLE B

This is a copy of one issue from a monthly newsletter published by a major Regulatory Storage/Flood Control study. The newsletter is designed to be printed on both sides of 11" X 17" paper, with a franked mailing space on the back cover. The logo design wraps around both the front and the back cover, although some of this effect is lost here because the newsletter has been cut up to fit into the 8 1/2" X 11" format of this manual. The newsletter is printed on a tan paper, with brown ink. The logo is actually a two-color logo, with the outline of the State of Arizona showing up in turquoise. Naturally, any time more than one color is used, the costs go up as a separate run must be made on the press for each color. To avoid costs, the logo has been pre-printed on a large number of sheets of paper, which will be utilized over the duration of the study. Since the cost per copy declines dramatically in all printing when large numbers of copies are made, this reduces the cost of the second color substantially. It should be noted that the one disadvantage to printing in brown ink is that photos do not print as well as with black ink on white paper.



With regulatory storage, the heavy summertime water demands of CAP users could be better satisfied because water was brought in and stored in advance.

Regulatory Storage

What Is It and Why Do We Need It?

The value of any water delivery system lies in its ability to provide water when it's needed. To do this, the system has to be able to operate under a wide range of flow conditions — during peak demand time, when interruptions occur in the delivery system, and when water supplies are reduced.

This is why planners of the CENTRAL ARIZONA WATER CONTROL STUDY are seeking ways to provide regulatory storage capability in the Central Arizona Project. According to Tom Burbey of the Bureau of Reclamation, the CAP can operate

without it, which is why construction continues on the aqueduct system today. "But," says Burbey, "the aqueduct system could only be operated in direct response to people's demand for water from CAP." This rigid way of operating the aqueduct not only has ramifications in meeting seasonal water demands and emergency situations, but it ultimately influences how much water can be brought in from the Colorado River.

In its broadest sense regulatory storage provides the necessary link between the CAP aqueduct system

and the highly variable water demands of CAP water users. Extra water can be brought in during the winter months, put in storage, and be available in Central Arizona to add to the amount of Colorado River water the CAP can deliver in the summer months. The heavy summertime demand for water could be better satisfied because water was brought in and stored in advance.

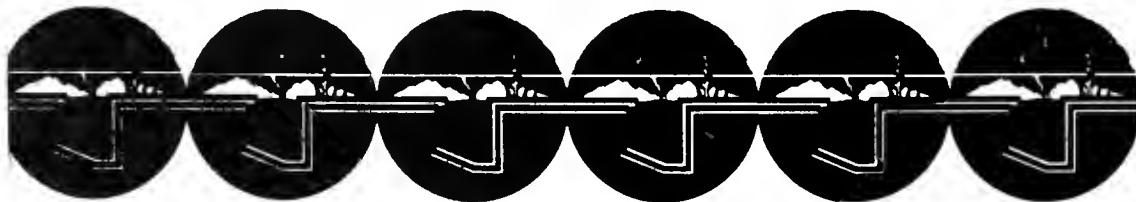
"Take a typical summer month, in which the Granite Reef Aqueduct is being loaded to capacity," Burbey explains. "As water is brought to

Continued on page 3

CENTRAL ARIZONA WATER CONTROL STUDY

Newsletter 3
NOVEMBER 1979

SUITE 666, SECURITY CENTER
234 N. CENTRAL AVENUE
PHOENIX, ARIZONA 85004
TELEPHONE (602) 271-0915



NEPA Guides Decision-Making Process

At the end of the Central Arizona Water Control Study an Environmental Impact Statement (EIS) will be prepared. This document will be the culmination of environmental analyses conducted throughout the planning process and it will explain to the public why certain decisions were made.

Preparation of an EIS is required for all major Federal actions by the National Environmental Policy Act (NEPA). NEPA was enacted by Congress in 1969 to insure the restoration, protection and enhancement of the environment. The Act means that alternatives must be studied and that environmental concerns must be used in making decisions. The cheapest and most technically feasible alternative may not be the best solution, if it causes significant adverse environmental impacts.

The Central Arizona Water Control Study is organized to facilitate close coordination between environmental and technical studies. Environmental impacts will be assessed throughout the study. At major decision points, environmental effects, as well as technical input, will be used to help make decisions. At the end of each major phase of the study, there will be a "trade-off analysis" which will weigh environmental impacts against technical feasibility.

By incorporating these analyses as part of the decision-making process, not only is the study fulfilling the spirit of NEPA, but also it ensures that in 1981, when the Central Arizona Water Control Study is essentially complete, the information needed to prepare the EIS will be there — adequate and accurate.

NEPA is just one of many forms of regulation that guide the Central Arizona Water Control Study. In future issues we will be discussing some of the others.

Next Issue

In our next newsletter, we will focus on one or more of the environmental disciplines and what's happening in the investigations.

New Faces



Larry MORTON is currently assigned as the Environmental Officer for the Bureau of Reclamation Arizona Projects Office. As such, he makes sure that the environmental studies and documentation of the CAWCS are adequate for preparation of the EIS at the end of the study. Larry has over 17 years service with the federal government, all with the Bureau in Phoenix. During that time he has touched almost every aspect of the CAP. Larry is a 27-year resident of Arizona and graduated from Arizona State University with a degree in Engineering.



As the Corps of Engineer's Environmental Coordinator, **Carol GROOMS** is responsible for coordinating the preparation of the study EIS for the Corps. A UCLA engineering graduate, Carol has been with the Corps for seven years. In that time she became familiar with all aspects of Corps activities and ultimately chose the environmental area. Locally, Carol was involved in preparation of the Environmental Impact Statement for the Maricopa Association of Governments 208 wastewater management program.



Jan HENLEY is the newest face to the Central Arizona Water Control Study. He will soon be starting as Environmental Discipline Director, overseeing the various environmental studies on the Dames and Moore portion of the study. Jan comes to Phoenix from Denver where he spent the past three years as project economist for Dames and Moore. Jan did spend six months in Phoenix last year as project manager for the CAP municipal and industrial water allocation environmental assessment for the Bureau of Reclamation. He has published several articles on economic development of water and land resources, water-oriented recreation, and agricultural and forestry economics.



Natalie WAUGH is report coordinator and editor for the technical portion of Dames and Moore's work. While she is now acting environmental discipline director, her role as editor will come into full play when the final reports on the Central Arizona Water Control Study are being prepared. Natalie has been involved almost exclusively with preparing Environmental Impact Statements and Environmental Assessments while with the firm. She was involved in assessing the impacts of the U.S. Antarctic Program on the Antarctic environment. In the Phoenix area she was involved in preparing the EIS for the Maricopa Association of Governments 208 program.

Regulatory Storage

continued from page 1

Central Arizona, some deliveries are made to users along the way and some water is lost through evaporation and seepage. By the time it reaches the Phoenix metro area, the aqueduct is no longer fully loaded. If there is water in storage, the aqueduct can be reloaded to full capacity and make greater deliveries from the Salt-Gila and Tucson Aqueducts.

Without regulatory storage, Central Arizonans actually lose use of water — water that otherwise would be pumped in and stored, would stay in the Colorado River and if not storable there, spilled into the Gulf of California.

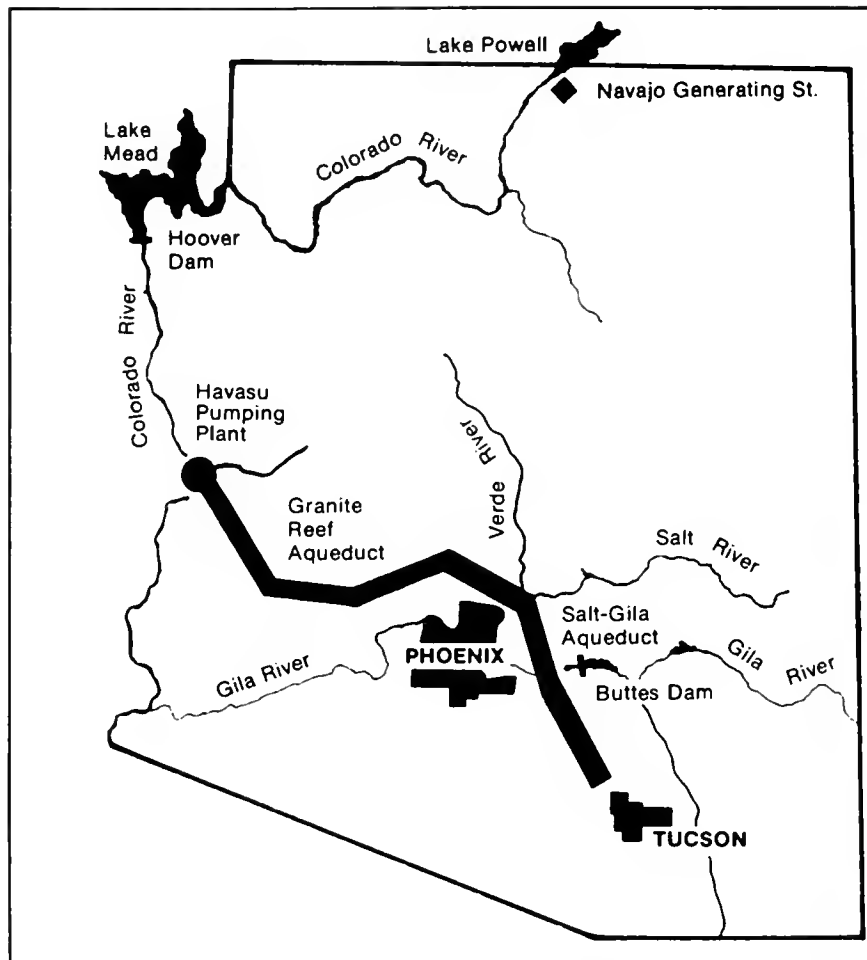
"According to the Colorado River Basin Project Act, which authorized construction of CAP, the only time CAP can divert continuously at capacity is when the Colorado River reservoirs, such as Lake Mead and Lake Powell, are essentially full or spilling," Burbey explains. "The choice is use it in CAP or spill it to the Gulf of California. If the water is not used then, it's gone forever."

In addition, there are no provisions in the law that allow CAP to "bank" water in the mainstem reservoirs. Water can't be left in reservoirs in "an account." If the water is not used one year, the next year it gets reshuffled out to all the states.

Aside from the broad concept of meeting fluctuating water demands and getting maximum use of Colorado River water, regulatory storage offers a number of opportunities in day-to-day operation as well. One such opportunity centers on the availability of pumping energy.

The CAP Havasu Pumping Plant represents a very large energy load — one-half the energy required for all CAP pumping. When power system emergencies threaten the energy supply, utilities are looking for places to reduce or eliminate large, noncritical loads from the power network. In this way, critical users can use what's left of the energy supply while the power system is being put back into full operation.

"Should CAP have to be shut off at its power source," Burbey says, "CAP water deliveries would likely be



Central Arizona Project

severely curtailed during that time without regulatory storage. With regulatory storage, at least we could keep water flowing through parts of the system."

In terms of pure energy marketing dollars, regulatory storage offers some plusses as well. CAP revenues will be derived from the sale of energy, sale of water and ad valorem taxes paid by all property owners in the three-county area. These revenues are available to the Central Arizona Water Conservation District to repay the Federal loan for the CAP.

With regulatory storage, maximum water pumping would be done during off-peak times when energy is at its lowest market value. During on-peak hours the pumping could be minimized and the energy sold commercially at high market values.

According to Burbey, "by maximizing revenues from the sale of energy, less money will have to come from the sale of water and especially, from ad valorem taxes."

No regulatory storage sites have been selected as yet. But, the need for regulatory storage to increase the flexibility and efficiency of the CAP is recognized.



Tom BURBEY

is Chief of the Studies Branch in the Operations Division of the Bureau of Reclamation, which is responsible for setting up operations of the CAP. Tom's

been with the Bureau 18 years, the last 12 of which he has been involved in the Central Arizona Project. He was Chairman of the Regulatory Subcommittee of the Inter-agency Task Force on Orme Dam and is currently a representative on the City of Tempe Rio Salado Advisory Committee.

Governor's Board Discusses Rio Salado

Rio Salado was the focus of an informational meeting of the Governor's Advisory Board held at the end of last month. Previous discussions of Rio Salado by the Board indicated great interest in the concept and brought up a number of questions about its technical feasibility. There seemed to be little present agreement as to whether or not some form of Rio Salado could be constructed without upstream flood protection.

A panel of five presented the concept of Rio Salado and the technical, economic and institutional issues related to it.

The presentation was geared toward addressing three major questions: What is Rio Salado? What is Rio Salado without upstream flood control? What relationship does Rio Salado planning have to flood control planning?

As originally conceived, Rio Salado

would combine lakes and meandering streams that could provide boating, swimming and other land and water related recreation. A collapsible dam or something similar might empty lakes prior to oncoming floods to allow for water retention.

In terms of hydraulics, future flows on the Salt River are unknown at this time, and Rio Salado must be designed to accommodate the flows.

The economic benefits of a project such as Rio Salado must stand up to careful review if federal funding is to be used. An economic view of the project raises questions relative to its market feasibility, net regional benefits, social implications and the level of local commitment to pay for the facility.

Members of the Committee had an opportunity to comment and clarify issues. Their comments will be used by the study team during the "trade-off analysis".

Water Words

CONSERVATION STORAGE SPACE is that portion of a single or multi-purpose reservoir that is dedicated to the **permanent** capture and control of water regardless of source or rate of inflow for the purpose of increasing the utilization of available water supplies. SRP's reservoirs are single purpose conservation reservoirs.

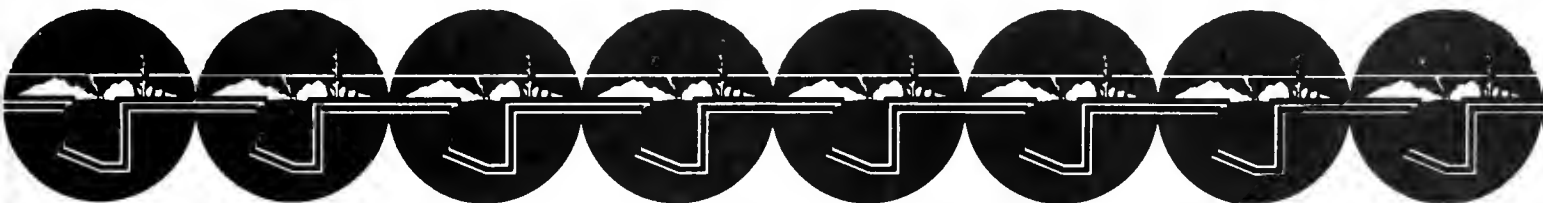
FLOOD CONTROL STORAGE SPACE is that portion of a single or multi-purpose reservoir dedicated to the **temporary** capture and control of water regardless of source or rate of inflow for the purpose of decreasing downstream damage which would otherwise occur from such flows. Painted Rock Reservoir is a single purpose flood control reservoir.

REGULATORY STORAGE is one specific purpose for which conservation storage space may be used and balances the water supply and water demands over a given period of time. Senator Wash Dam near Yuma is an example of a single purpose regulatory reservoir.

U.S. DEPARTMENT OF THE INTERIOR
BUREAU OF RECLAMATION
SUITE 2200, VALLEY CENTER
201 N. CENTRAL AVE.
PHOENIX, ARIZONA 85073

First Class Mail
Postage & Fees
PAID
U.S. Dept. of Int.
PHOENIX, ARIZONA
Permit No. G-110

OFFICIAL PRINTING
PENALTY FOR PRIVATE USE, \$300.00



EXAMPLE C

This is a brochure published by the same study describing the range of potential actions which could result from the study. In order to make the brochure stand out from the monthly newsletters, it was printed on a light blue paper, but still with brown ink. The turquoise color used in the logo was also used for the "special edition" banner, as well as in the graph and maps showing reservoirs and streams. The map on pages 288 and 289 was printed so that both pages were showing across from each other as a single page. This is also true of the map on pages 294 and 295. A response form was included in the brochure, and the back of the response form was printed so all the reader had to do was to tear out the response form, complete it, and stick it in the mail.

SUMMARY OF ELEMENTS UNDER STUDY

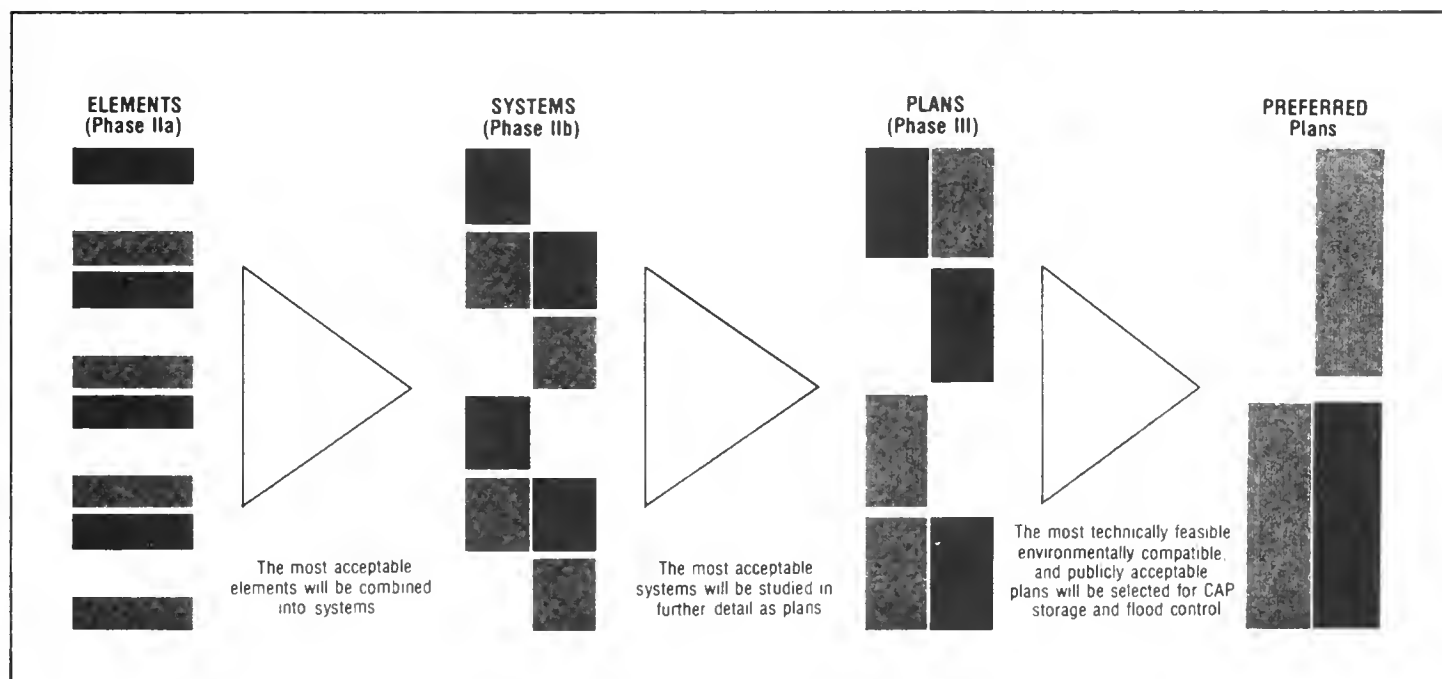
How will flood waters be controlled along the Salt and Gila Rivers? How will Central Arizona Project (CAP) waters be stored for distribution in central Arizona? Solutions to these two critical water problems are being sought by the Central Arizona Water Control Study (formerly known as the Study of Alternatives for Salt-Gila Flood Control and Regulation of CAP Waters). The U.S. Bureau of Reclamation, with assistance from the U.S. Army Corps of Engineers, is conducting the study, with considerable involvement of the public in helping develop solutions to the problems. Many of the ideas discussed in this summary are a direct result of sug-

gestions made by citizens at public meetings or through correspondence with the two agencies.

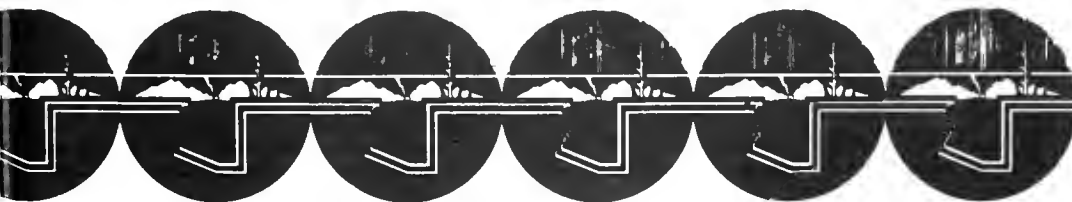
To date, the Bureau and Corps have identified a number of structural and nonstructural actions that singly or in combination could provide for flood control and CAP storage. These "elements" were studied in Phase I of the study and will be studied further in Phase II, along with additional elements that were added as a result of public comment.

During Phase II, the elements will be combined into systems that achieve the goals of the study, and the sys-

tems will be evaluated using technical and environmental criteria. The systems that are determined to be most acceptable will be studied at an increased level of detail until a preferred plan or plans can be recommended. Plans are combinations of systems with the addition of necessary financial, institutional and operational arrangements. At each decision point the public will be actively involved. The following diagram shows the sequence of the planning process.

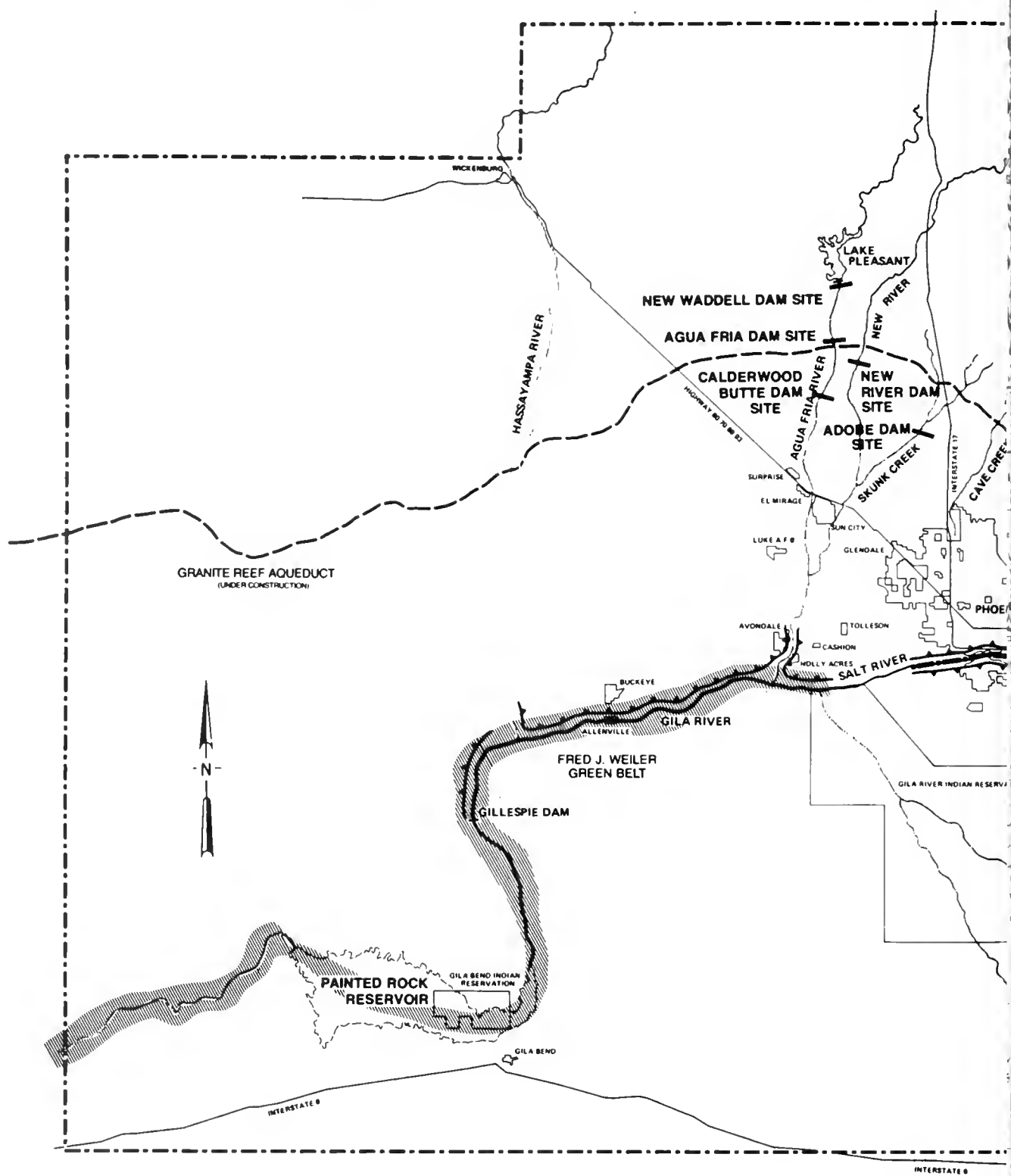


CENTRAL ARIZONA WATER CONTROL STUDY

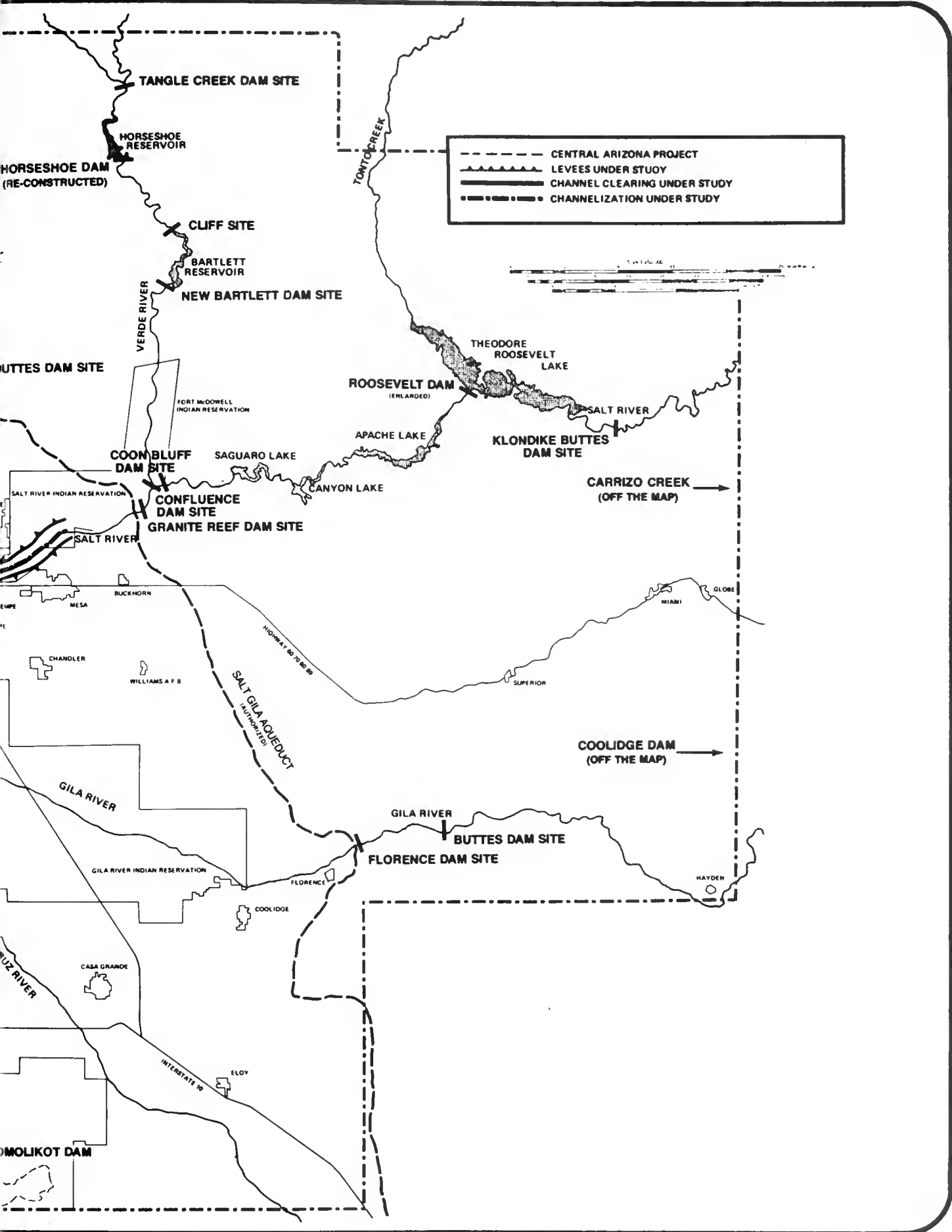


Special Edition 1

SUITE 666, SECURITY CENTER
234 N. CENTRAL AVENUE
PHOENIX, ARIZONA 85004
TELEPHONE (602) 271-0915



**Central Arizona
Water Control Study Areas**



Analyzing The Elements

Most of the elements have been studied by the Bureau and the Corps in Phase I at an *initial* level of study. This level includes:

1. Preliminary analysis of the element's effectiveness for flood control or supply of CAP water
2. Relationship between dam height and reservoir capacity
3. Literature review of geological information
4. Preliminary cost estimates
5. Review by geologists and engineers in the field

Based on this initial level of study, some elements were recommended for further study, while other elements were eliminated. The recommendations were based on three main factors: (1) geotechnical considerations, (2) site location, and (3) economics. Geotechnical considerations focused on foundation preparation, particularly the prevention of seepage at the dam sites. Sites were evaluated for their proximity to the CAP aqueduct system or for their location in the watershed, and thus their effective-

ness in controlling flood waters. A preliminary cost-benefit analysis constituted the economic evaluation.

During Phase II, *feasibility* studies will be performed for most of the remaining elements. Feasibility studies will include:

1. More detailed analysis of water supply or flood control capabilities of the element
2. Drilling program to determine geological conditions below the surface
3. Site-specific engineering design and cost estimates
4. Studies of environmental, social, economic, demographic, and other relevant non-engineering factors

Elements that have been recently added at the suggestion of the public will receive initial study and, if warranted, feasibility study.

What Are The Elements?

As the diagram of the planning process shows on page 1, the elements are the building blocks out of which

systems, and finally plans will be constructed. The elements range from proposed physical structures such as dams and levees, to institutional measures such as water exchanges and floodplain regulations. In various ways, they provide for flood control and/or CAP regulatory storage. Ideally, an individual element would help solve both CAP regulatory storage and flood control problems. However, most elements offer only partial solutions to these problems and must be combined with other elements to provide both storage capacity and flood control capability.

All of the elements that have been evaluated to date are described in the following sections of the brochure. A map showing the locations of all the currently viable structural elements may be found on page 2. At the end of the description of the elements, a table may be found that shows the function of each element and the recommendations concerning further study.

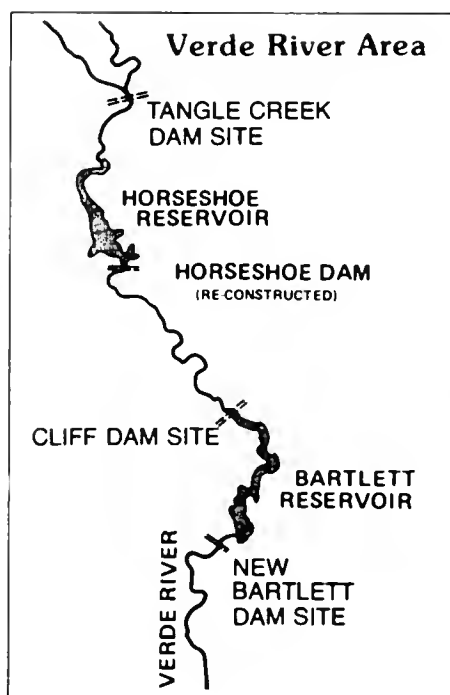
Your comments on any of the elements described or the issues discussed may be added to the tear sheet at the back of the brochure. This tear sheet can be detached and mailed. If you have no comments, you may wish to return the card and have your name added to the Central Arizona Water Control Study mailing list.

Verde River

The four elements that have been considered on the Verde River are dams that would be built primarily for flood control. These structures could also be used for CAP storage through the use of water exchanges between the CAP and the Salt River Project.

Tangle Creek Dam

Tangle Creek Dam would be constructed on the Verde River seven miles upstream from the present Horseshoe Reservoir. This dam would provide limited control over Verde River flood flows, but greater flood control could be obtained in combination with other elements. Geological investigations, including aerial photographs, indicate the site contains serious geotechnical problems. Hot springs have been found



deep under the dam site. At this time no feasible method is known of effectively controlling these springs. Foundation material underlying the proposed left abutment is unsuitable, and treatment is not economically feasible.

Recommendation: No further study is warranted because of geotechnical problems.

Modified Horseshoe Dam

The existing Horseshoe Dam, a Salt River Project water storage facility, is located on the Verde River downstream of the Tangle Creek Dam site. Enlarging the existing structure could provide both flood control and water storage. This modification of Horseshoe Dam could adversely impact bald eagle habitat (i.e., living and nesting areas) as well as archaeology-

ical sites. Though further geological studies are required, initial investigations indicate that enlargement of Horseshoe Dam is feasible.

Recommendation: A further feasibility study is warranted.

Cliff Dam

Cliff Dam would be constructed on the Verde River, immediately upstream from Bartlett Reservoir. Cliff Dam would provide limited control of Verde River flood flows but could be combined with other elements for

greater flood control. Construction of the dam could affect bald eagle and other wildlife habitats. Further study is needed on the archaeological, social, and historical impacts. Though further geological studies are required, preliminary investigations indicate that this is a suitable dam site.

Recommendation: A further feasibility study is warranted.

New Bartlett Dam

The existing Bartlett Dam, a Salt River

Project water storage facility, cannot be easily modified, but a new and higher dam could be built downstream. The larger reservoir created would be used primarily for flood control with some water storage. Bald eagle and other wildlife habitat could be disturbed. The archaeological, historical, and social impacts have not been fully assessed. Preliminary geological investigations indicate that this is a suitable dam site.

Recommendation: A further feasibility study is warranted.

Salt River

Sites to be considered for dam construction along the Salt River are primarily suited for flood control, except for the sites at the confluence of the Salt and Verde Rivers and at Granite Reef. At this site, regulatory storage can also be provided. Additional water conservation may exist at other sites through the use of water exchanges between CAP and the Salt River Project.

Carrizo Creek Dam

Carrizo Creek Dam would be constructed on the Salt River below the

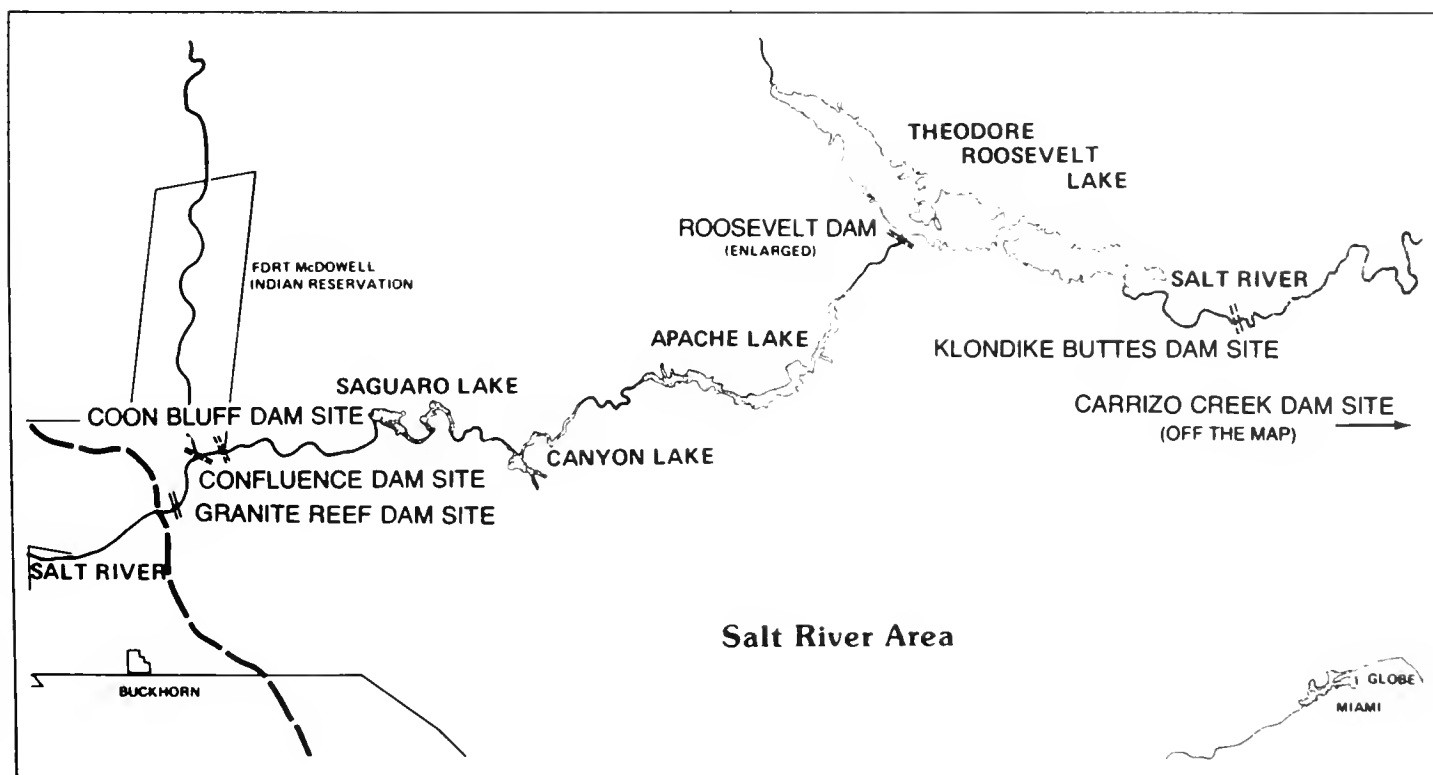
confluence of the Black and White Rivers near Alkali Canyon and east of Roosevelt Lake. The dam would impound flows of poor quality water thereby improving the quality of water in downstream segments of the Salt River. The dam would allow for the diversion of water to the Gila River to augment the natural inflow to the San Carlos Reservoir. Carrizo Creek Dam would be too far upstream to offer effective flood control for the Phoenix area, and it cannot be used for regulatory storage needs.

Recommendation: No further study is warranted because the site meets

neither flood control nor regulatory storage needs.

Klondike Buttes Dam

Klondike Buttes Dam would be constructed on the Salt River just above Roosevelt Lake, and its primary purpose would be flood control of the upper portion of the river. It would not be suitable for CAP storage. A dam and reservoir at this site would impact vegetation along the stream and would encroach upon a proposed "Wild and Scenic Rivers" area. A dam at this site would not control Tonto Creek, a major tributary to Roosevelt



Lake, thus leaving a large uncontrolled drainage area.

Recommendation: No further study is warranted because the site meets neither flood control nor regulatory storage needs.

Modified Roosevelt Dam

The existing Roosevelt Dam, a Salt River Project multi-purpose water hydrogeneration and recreation facility, could be enlarged primarily for flood control, although increased storage for CAP water is also possible. Dam height could be increased up to a maximum of 20 additional feet without requiring major design changes. Some archaeological sites would be adversely affected by a larger reservoir. Roosevelt Dam is on the National Register of Historic Places. This site has no identified geological problems.

Recommendation: A further feasibility study is warranted.

Coon Bluff Dam

Coon Bluff Dam would be constructed on the Salt River one mile upstream from its confluence with the Verde River. The site has been analyzed only for regulatory storage, but flood control could be an alternative use if there were no technical constraints. However, serious geotech-

nical problems have been found at the site. The foundation consists of highly permeable materials, and efforts to reduce seepage are not practical because of local topography.

Recommendation: No further study is warranted because of the geotechnical problems.

Confluence Site (Orme Dam)

A dam built at the confluence of the Salt and Verde Rivers would provide CAP storage and flood control for both rivers. The reservoir created by the dam would affect wildlife and bald eagle habitats, flowing stream recreation, archaeological and historical sites, and would flood significant portions of the Fort McDowell and Salt River Indian Reservations. Smaller structures at this site will also be studied. Some adverse impacts could be reduced by construction of a smaller dam, but a loss in flood control capacity would also result. It is possible for a smaller structure to be used in combination with other elements to achieve flood protection.

Recommendation: A further feasibility study is warranted.

Granite Reef Dam

Granite Reef Dam would be constructed four miles downstream from

the confluence of the Salt and Verde Rivers, providing a large amount of CAP storage capacity in addition to flood control. This dam would require twice the length needed at the confluence site, and similar environmental and social impacts would result from its construction. In particular, the wildlife habitats and flowing stream recreation opportunities would be affected. Portions of the surrounding Indian reservations would be flooded.

Recommendation: A further feasibility study is warranted.

Rio Salado Low Dams

Rio Salado Low Dams would consist of three earthen structures on the Salt River between Mesa and Phoenix and could provide minimal CAP storage. These sites have serious geological problems and would require lining the reservoirs to prevent seepage. Surface regulatory storage does not appear to be feasible since these dams themselves may require upstream protection from flooding and silting. No archaeological, environmental, or historical impacts have been identified.

Recommendation: No further study is warranted because of geotechnical problems and because the sites meet neither flood control nor regulatory storage needs.

Agua Fria River, New River, Skunk Creek, and Cave Creek

Hydrological studies indicate that flood flows from the Agua Fria River contribute only a small portion to the total flood waters on the Gila River. Therefore, Agua Fria sites have not been analyzed for single-purpose flood control. Since Granite Reef Aqueduct crosses these four drainage channels close to existing and proposed flood control structures, the construction of multi-purpose structures has been analyzed. Planning and construction are currently under way to provide flood control on New River, Skunk Creek, and Cave Creek by way of the Corps of Engineers'

New River and Phoenix City Streams Project. Sites along the Agua Fria River, New River, Skunk Creek, and Cave Creek were therefore evaluated primarily as regulatory storage sites.

Lake Pleasant Storage

Lake Pleasant is located on the Agua Fria River behind Waddell Dam. Enough vacant space is available behind the existing dam for CAP storage during years when Agua Fria River runoff is low. A canal would be needed to connect the CAP Granite Reef Aqueduct with Lake Pleasant. Waddell Dam was constructed in 1928 by the Maricopa County Municipal Water Conservation District No. 1. Since this dam is not a Bureau of Reclamation structure, it would have to be carefully analyzed to determine if it would meet Reclamation criteria and standards for water storage.

Recommendation: A further feasibility study is warranted.

New Waddell Dam

New Waddell Dam would be constructed on the Agua Fria River immediately downstream from the existing Waddell Dam which impounds Lake Pleasant. The primary purpose of this earthen dam and reservoir enlargement would be to provide additional space for CAP storage. The reservoir would be directly connected to the Granite Reef Aqueduct by means of a canal and pumping plant. Geological investigations are currently under way to determine the most feasible dam and spillway locations and to determine if seepage from the reservoir is a problem.

Recommendation: A further feasibility study is warranted.

Agua Fria Dam

Agua Fria Dam would be constructed five and one-half miles downstream of the existing Waddell Dam where the Granite Reef Aqueduct crosses the Agua Fria River. This site, considered primarily for CAP storage, would have a long, narrow basin limiting storage capacity. Environmental impacts are expected to be minimal, but several archaeological sites would be affected. Extensive foundation treatment would be necessary. Severe seepage losses from the reservoir area to the ground-water basin are likely, since no bedrock separation between the Agua Fria River and New River has been found.

Recommendation: No further study is warranted because of geotechnical problems.

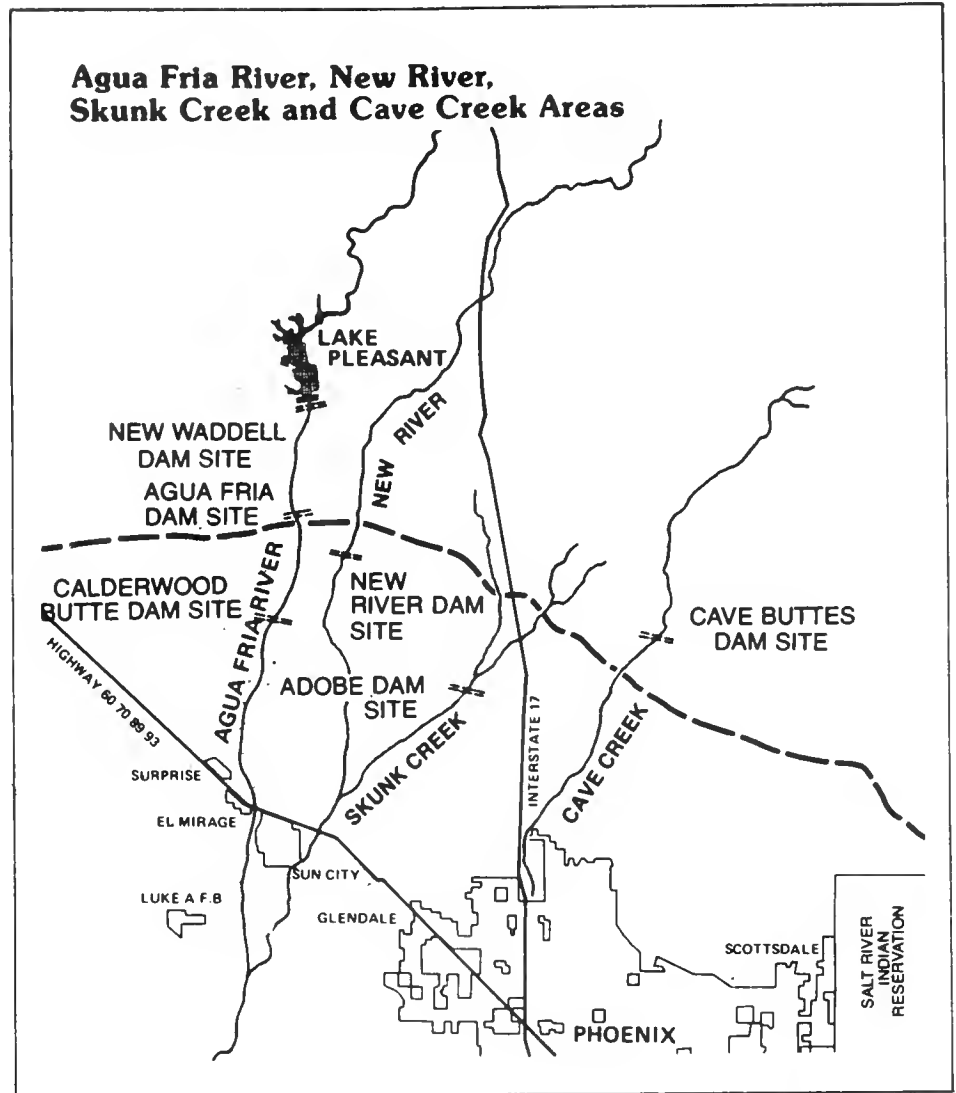
Calderwood Butte

Calderwood Butte Dam would be a mile-long earthen dam constructed about three miles downstream from the Granite Reef Aqueduct on the Agua Fria River. This site would be primarily used for CAP storage. Pumping would be necessary to return reservoir water to the aqueduct. No serious environmental impacts have been identified, although several archaeological sites would be affected. The depth of bedrock would require extensive foundation preparation, and the reservoir area would require lining to prevent massive seepage losses. No significant flood control for the study area would be provided.

Recommendation: No further study is warranted because of geotechnical problems.

North Phoenix Flood Control Dams (for CAP)

The Army Corps of Engineers is currently constructing three dams: Cave Buttes Dam on Cave Creek, New River Dam on New River, and Adobe Dam on Skunk Creek. These dams will protect much of Phoenix from floods on these streams, but they will not offer flood protection on the Salt and Gila Rivers. Neither will they provide water storage. Enlarging these



dams to store CAP water has been suggested, but the topographical conditions at these sites would preclude the larger reservoirs. If converted to regulatory storage, these dams would lose their flood control effectiveness. Conversion of the

dams could also impact archaeological sites

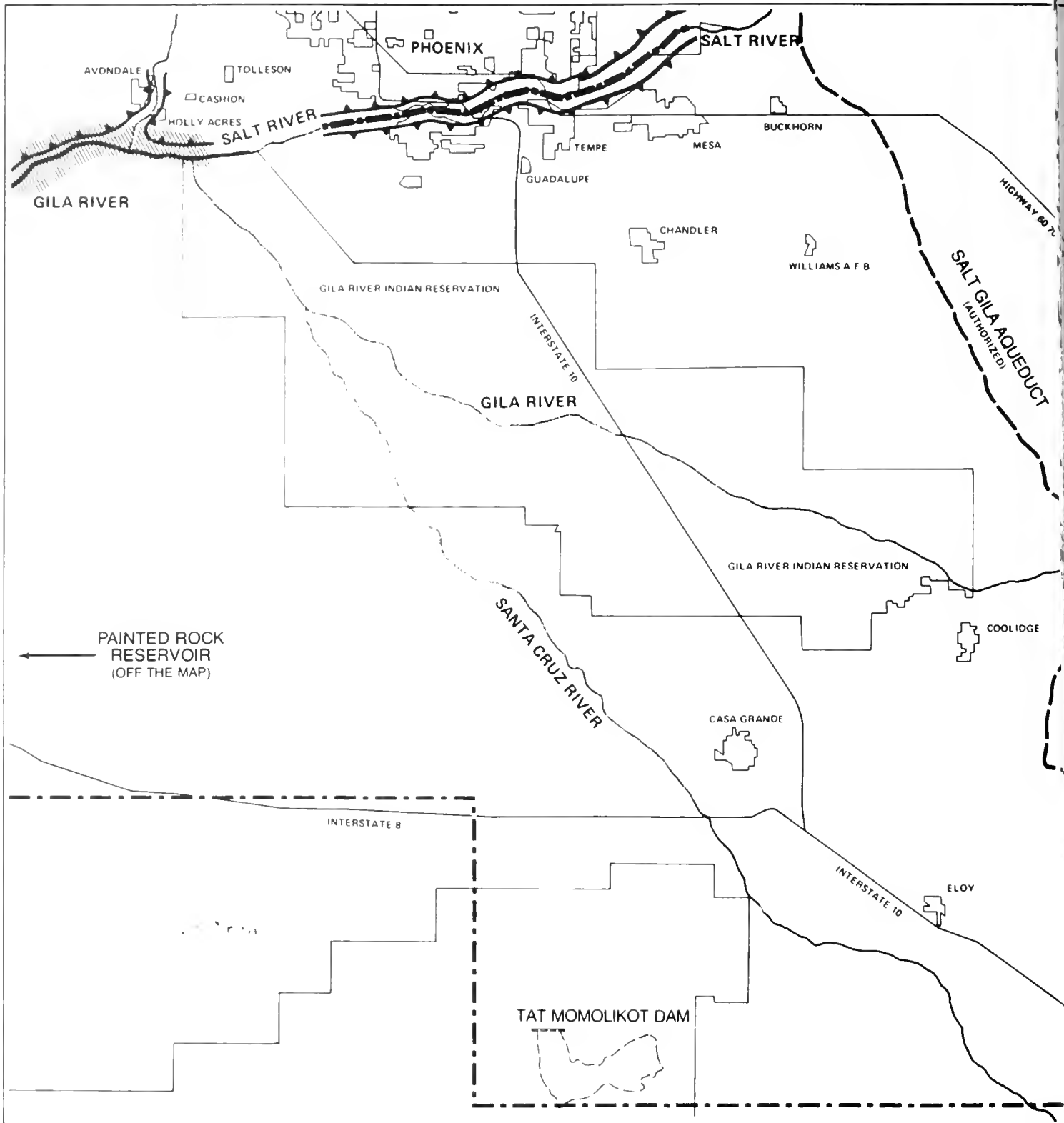
Recommendation: No further study is warranted because of conflicting requirements between regulatory storage and flood control.

Gila River and Santa Rosa Wash

The proposed elements along these streams have received limited attention. They were added to the study at the suggestion of the public and will be evaluated for CAP storage. They have no potential for flood control in the Phoenix area. These elements, with the exception of Coolidge Dam and Painted Rock Reservoir (see below), will receive an initial level of study.

Coolidge Dam

Coolidge Dam is located on the Gila River within the San Carlos Indian Reservation about 60 miles east of the town of Florence. Historically, San Carlos Reservoir behind Coolidge Dam has rarely filled and space has been available. However, to use this space would require a sixty-mile pipeline and a series of pumping plants to connect the reservoir with the Salt-Gila Aqueduct. Construction of such a pipeline would be difficult, and the costs would be prohibitive.



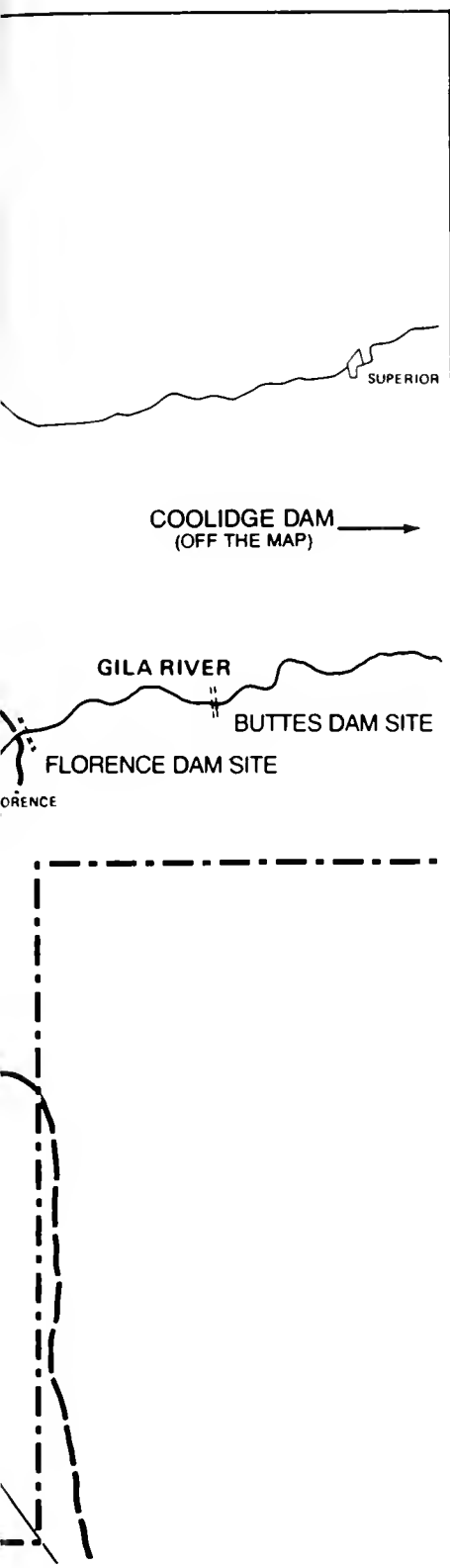
Recommendation: No further study is warranted because this site meets neither flood control nor regulatory storage needs.

Florence Dam

Florence Dam would be constructed on the Gila River about four miles below Ashurst-Hayden Diversion Dam

and six miles east of the town of Florence. If Florence Dam were constructed, the Ashurst-Hayden structure would be inundated, thus backing up water to the proposed Buttes Dam. CAP water would have to be pumped from the Salt-Gila Aqueduct to the reservoir for regulatory storage. As presently envisioned, a

dam and reservoir at the Florence site would provide no downstream flood control on the Gila River. Environmental impacts along the river may be limited since the site is partially located on a dry wash. However, four prehistoric sites would be affected. The geology of the area is a problem and



seepage losses from the storage pool could occur. Additional geological analysis is needed.

Recommendation: More initial study is warranted.

Buttes Dam

Buttes Dam and Reservoir is an au-

thorized CAP feature to be located seven miles upstream from the Florence Dam site. A canal would be required to connect the Salt-Gila Aqueduct with Buttes Reservoir for CAP regulatory storage. Impacts to mineral resources and wildlife habitat along the river could result. Some water exchanges may be possible in connection with Buttes Reservoir and San Carlos Reservoir behind Coolidge Dam.

Recommendation: More initial study is warranted.

Tat Momolikot

Tat Momolikot Dam is an existing flood control structure located on Santa Rosa Wash on the Papago Indian Reservation. CAP water storage could be provided by constructing a thirty-mile feeder canal from the Salt-Gila Aqueduct to Tat Momolikot. However, seepage of water out of the reservoir basin is a major concern. If

converted to regulatory storage, this dam would lose its flood control effectiveness. Environmental impacts are expected to be minimal since the Santa Rosa Wash is dry.

Recommendation: More initial study is warranted.

Painted Rock Dam and Reservoir

Painted Rock Dam and Reservoir are located on the Gila River near the town of Gila Bend. It has been proposed that flood waters stored in Painted Rock Reservoir be put to beneficial uses in other parts of Arizona. Unfortunately, the Reservoir's downstream location creates a problem in delivering the water to the major agricultural and metropolitan area.

Recommendation: No further study is warranted because the site meets neither flood control nor regulatory storage needs in the Phoenix metropolitan area.

Channels

Channelization of portions of the Salt and Gila Rivers has been proposed to reduce flooding. Flows would be confined in relative deep, narrow channels constructed in the riverbed. A Phase I cost-benefit analysis on channelization showed that a continuous system of channels between Granite Reef Dam and Gillespie Dam is not justified. Specifically, the sections between Granite Reef Dam and Country Club Road and between 35th Avenue and Gillespie Dam do not incur enough flood damages to demonstrate a need for channels. The section between Country Club Road and 35th Avenue does incur enough damages to warrant further study of channels.

Recommendations:

1. Granite Reef Diversion Dam to Country Club Road: *No further study is warranted because of a lack of economic justification.*
2. Country Club Road to 35th Avenue: *A further feasibility study is warranted.*
3. 35th Avenue to Gillespie Dam: *No further study is warranted*

because of a lack of economic justification.

Levees

Levees are embankments along a river that contain flows. They generally provide a wider floodway than channels and are constructed of earthen materials. A continuous system of flood control levees along the Salt and Gila Rivers has been analyzed and found to be economically unjustified as a solution to the flood problem. However, further feasibility studies are warranted locally in two sections: the Salt River from Country Club Road to 35th Avenue and the Gila River from the Salt-Gila confluence to Gillespie Dam.

Recommendations:

1. Granite Reef Diversion Dam to Country Club Road: *No further study is warranted because of a lack of economic justification.*
2. Country Club Road to 35th Avenue: *A further feasibility study for **two-sided** levees is warranted.*
3. 35th Avenue to Salt-Gila River

Element	Purpose		Further Study		
	Flood Reduction	CAP Regulatory Storage	Warranted Initial	Warranted Feasibility	Unwarranted
VERDE RIVER					
Tangle Creek	●	●			●
Modified Horseshoe	●	●		●	
Cliff Site	●	●		●	
New Bartlett	●	●		●	
SALT RIVER					
Carrizo Creek	●				●
Klondike Buttes	●				●
Modified Roosevelt	●	●		●	
Coon Bluff		●			●
Confluence	●	●		●	
Granite Reef	●	●		●	
Rio Salado Low Dams		●			●
AGUA FRIA RIVER AND TRIBUTARIES					
Lake Pleasant		●		●	
New Waddell		●		●	
Agua Fria Siphon		●			●
Calderwood Butte		●			●
North Phoenix Flood Control Dams (for CAP)		●			●
GILA RIVER AND SANTA ROSA WASH					
Coolidge		●			●
Florence		●	●		
Buttes		●	●		
Tat Momolikot		●	●		
Painted Rock Reservoir		●			●
CHANNELS					
Granite Reef Diversion to Country Club Road	●				●
Country Club Road to 35th Avenue	●			●	
35th Avenue to Gillespie Dam	●				●
LEVEES					
Granite Reef Diversion to Country Club Road	●				●
Country Club Road to 35th Avenue	●			●	
35th Avenue to Salt-Gila Confluence	●				●
Salt-Gila Confluence to Gillespie Dam	●			●	
CHANNEL CLEARING	●			●	
WATER EXCHANGE		●		●	
SALT RIVER PROJECT OPERATION AND FLOOD CONTROL	●			●	
FLOODPLAIN MANAGEMENT	●			●	
GROUNDWATER RECHARGE	●	●		●	
NO ACTION				●	

RESPONSE FORM

After you have read this report,
we would appreciate any comments or questions you may have on the following:

For mailing: Please fold with address showing, tape or staple edge. — No postage required.

a) Criteria used to eliminate several elements.

b) Potential impacts of remaining elements.

c) Other elements that should be considered.

If you would like your name added to the CENTRAL ARIZONA WATER CONTROL STUDY mailing list,
please complete the form and drop it in the mail.

NAME _____

STREET _____

CITY _____

ORGANIZATIONAL AFFILIATION _____

AREA OF INTEREST — Please Circle

- | | | |
|--------------------|-------------------------|--------------------------|
| a. Biology | g. Historical resources | n. Rio Salado |
| b. Geology/Soils | h. Land use | o. Agriculture |
| c. Water Resources | i. Recreation | p. Wildlife |
| d. Air quality | j. Social | q. Indians |
| e. Acoustics | l. Economic/Demographic | r. Other (Specify) _____ |
| f. Archaeology | m. Public involvement | _____ |

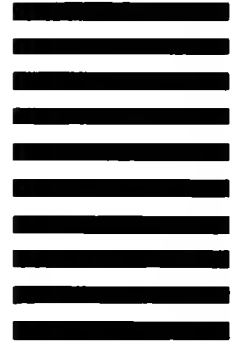


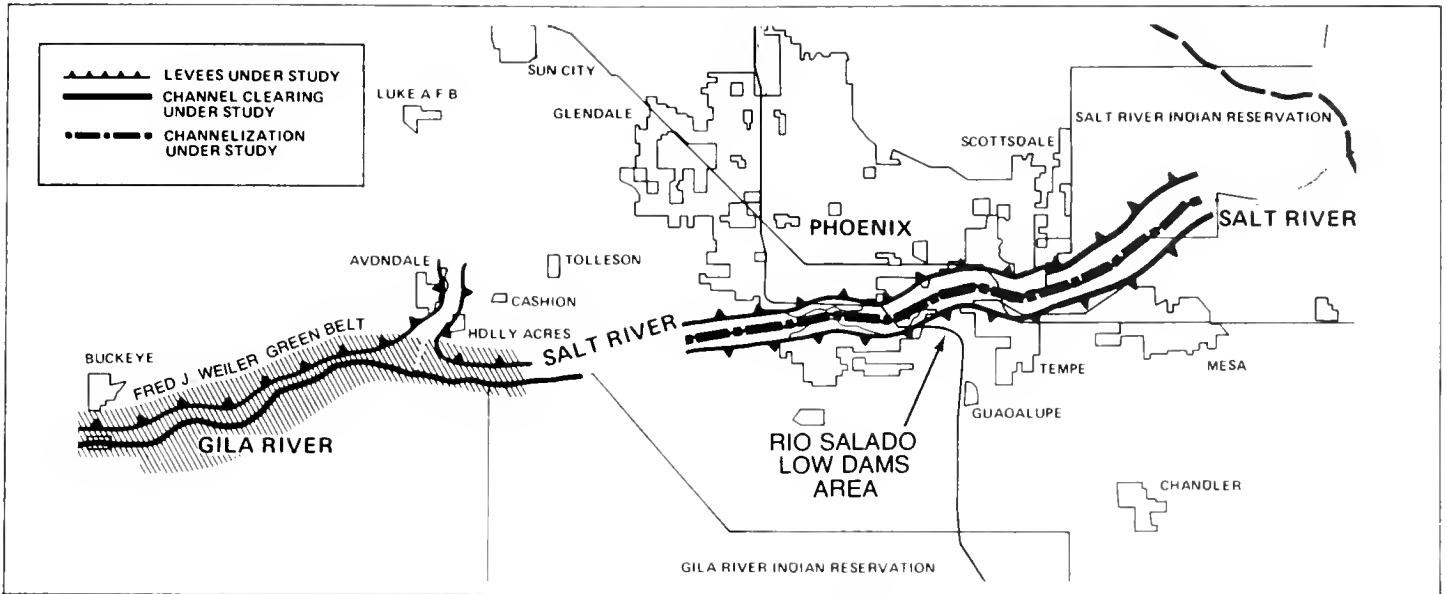
NO POSTAGE
NECESSARY
IF MAILED
IN THE
UNITED STATES

BUSINESS REPLY MAIL
FIRST CLASS PERMIT NO G-110 PHOENIX, ARIZONA

POSTAGE WILL BE PAID BY ADDRESSEE

Bureau of Reclamation
Arizona Projects Office
Suite 2200, Valley Center
201 North Central Avenue
Phoenix, Arizona 85073





Confluence: No further study is warranted because of a lack of economic justification.

4. Salt-Gila Confluence to Gillespie Dam: A further feasibility study is warranted for a **single-sided** levee along the north side of the river.

Channel Clearing

The overgrowth of salt cedar and other such long-rooted vegetation has obstructed the river channel in parts of the Salt and Gila Rivers from 91st Avenue to Gillespie Dam. Clearing a swath through this growth (channel clearing) has been suggested as a means to allow flood flows a path to follow. Several methods could be used to accomplish the clearing.

The Maricopa County Flood Control District is presently investigating a plan to provide a 1,000-foot-wide clear channel from 91st Avenue to Gillespie Dam. In addition, the Corps of Engineers has an authorized, but not funded, flood control project (1957 Survey for Flood Control, Gila and Salt Rivers, Gillespie Dam to McDowell Dam Site, Arizona) which includes clearing the riverbed to create a 2,000-foot floodway from Gillespie Dam to Granite Reef Dam.

Recommendation: A further feasibility study is warranted.

Water Exchanges

Water exchanges would involve agreements between the Bureau of Reclamation and responsible water agencies for the exchange of quantities of CAP water for quantities of watershed-derived water controlled by these agencies. Three agencies with surface water sources and storage reservoirs in central Arizona could be involved in water exchanges: the Salt River Project on the Salt and Verde Rivers, the San Carlos Project on the Gila River, and the Maricopa County Municipal Water Conservation District No. 1 on the Agua Fria River (Lake Pleasant).

The exchanges could be accomplished as follows:

1. Vacant storage in a reservoir would be made available for CAP storage at the time this storage is needed
2. The exchanging organization would agree to trade its water for an equal amount of CAP water
3. The exchanging organization would later trade the exchanged water in partial satisfaction of its CAP allotment or deliver on demand the exchanged water to the CAP aqueduct system.

Recommendation: A further feasibility study is warranted.

Operation of Salt River Project (SRP) for Flood Control

The Salt River Project (SRP) operates under federal charter its system of dams and reservoirs on the Salt and Verde Rivers, primarily for water storage and hydropower. The SRP Reservoir system could be operated so as to gain additional flood control. One or more of the following items could be included in increasing SRP's flood control capabilities:

1. Sophisticated runoff forecasting
2. Improved monitoring of watershed conditions
3. Designated flood control space in existing reservoirs, which could vary according to season and watershed conditions
4. Additional water outlets to the existing system.

Use of these capabilities would decrease downstream releases of water from the system, lessen flood damages, and increase utilization of the Salt River floodplain. Impacts on flood control, water conservation, hydropower generation, recreation, and fish and wildlife habitat must be evaluated.

Recommendation: A further feasibility study is warranted.

Floodplain Management Measures

Measures for flood plain protection include the following:

1. Floodproofing — alteration of existing and future development by such means as floodwalls, small levees, temporary closures on openings, raised structures, and removal of structures and/or their contents
2. Floodplain acquisition — purchase and removal of existing structures from the floodplain
3. Floodplain regulation — use of regulations to lessen flood damage
4. Flood warning techniques — use of advance warning of impending flooding to evacuate people and damageable property

5. Bridge construction — construction of bridges of sufficient capacity to pass flood flows, thereby reducing traffic delay costs during floods.

Groundwater Recharge

Subsurface storage of water has been suggested in connection with both flood control and CAP regulatory storage. Water could be controlled upstream and infiltrated into the ground to raise the water table, thus storing surplus water for later use. In order for this concept to be used for flood control, water must be taken out of an aboveground reservoir during the winter season and placed underground. This underground water storage could be used in exchange for space behind existing dams during the times of flooding. Pumping would be required to recover the groundwater when it is needed. For CAP purposes, proposals have been made that surplus Colorado River water be stored underground for recovery at a later time.

The type of information needed to analyze groundwater recharge and recovery in the study area is quite limited. Also, conflicts over water ownership could arise unless provisions are made for such a scheme under Arizona's groundwater laws.

Recommendation: Further feasibility study is warranted.

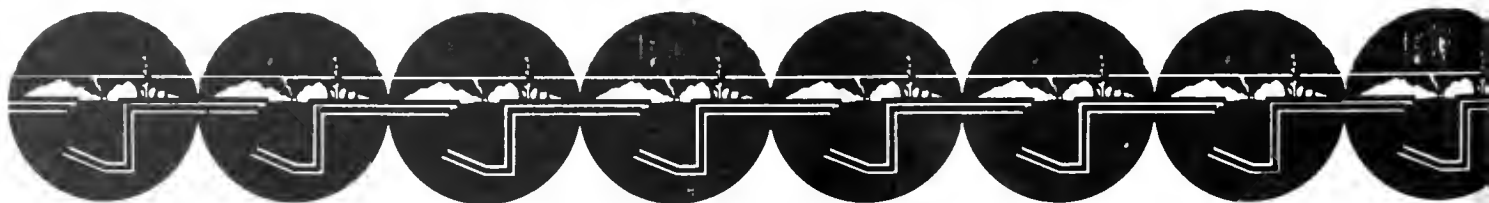
No Action Alternative

The "no action" alternative assumes that none of the study elements would be implemented. However, any existing or presently authorized flood control and related structures (i.e., dams, Indian Bend Wash, bridges) and the CAP Aqueduct and Buttes Dam and Reservoir will be included in this element. No additional water storage or federally funded flood protection facilities will be studied. Future development of the Salt River floodplain would be limited under the "no action" alternative in accordance with Federal Insurance Administration regulations.

U.S. DEPARTMENT OF THE INTERIOR
BUREAU OF RECLAMATION
SUITE 2200, VALLEY CENTER
201 N. CENTRAL AVE.
PHOENIX, ARIZONA 85073

First Class Mail
Postage & Fees
PAID
U.S. Dept. of Int.
PHOENIX, ARIZONA
Permit No. G-110

OFFICIAL PRINTING
PENALTY FOR PRIVATE USE, \$300.00



EXAMPLE D

Just the front page of this newsletter, which was issued as part of an EPA 208 Wastewater Management Study, is provided to show an attractive but less sophisticated form of design than the previous two examples.



Triangle J Council of Governments • Box 12276 • Research Triangle Park, N.C. • 27709

It is no news that water pollution is an ever worsening national and world problem. No longer is it confined to our major water thoroughfares and industrial ports; in some areas our drinking water sources are becoming dangerously contaminated. The possible cancer-causing substances found in drinking water drawn from the Mississippi River and the linking of diphtheria outbreaks in southern Illinois to the area's water supply have recently focused public attention on the problem.

What is news is that positive, concrete action is being taken to clean up our water and ensure its future quality. On October 18, 1972, the 92nd Congress enacted the "Federal Water Pollution Control Act Amendments of 1972"—Public Law 92-500. The aim of this act is "... to restore and maintain the chemical, physical, and biological integrity of our Nation's waters ..." It has established two very specific water quality goals:

1. By July 1, 1983 to achieve water clean enough for swimming and other recreational activities, and for the protection and propagation of fish, shellfish, and wildlife.
2. By 1985 to eliminate the discharge of all pollutants into our nation's water-ways.

Triangle J Council of Governments was funded with nearly \$1 million and designated as the first official planning agency in the nation for an "Areawide Waste Treatment Management



Plan under Section 208 of the Act. Funding was granted on April 1, 1974 after months of research and cooperative effort among the three levels of government: TJCOG at the local level, Governor James Holshouser and the North Carolina Department of Natural and Economic Resources at the state level and the United States Environmental Protection Agency at the Federal level.

Region J was the first area to be funded for the 208 plan due to its substantial water quality problems and high potential for working out viable and lasting solutions.

TJCOG

In May of 1970, Governor Robert W. Scott signed an order designating the division of the State of North Carolina into 17 multi-county planning regions. Each region was awarded responsibility for creating a lead organization to coordinate local government effort and the sharing of resources. The purpose of these regional bodies is to facilitate the solving of problems and the implementation of necessary programs in such areas as health, safety, welfare, recreation, education, and development while avoiding duplication of work and the resulting increased cost.

The Triangle J Council of Governments was established in 1972 with its jurisdiction being the counties of Chatham, Durham, Johnston, Lee, Orange and Wake and the 27 incorporated municipalities therein. Its members include 43



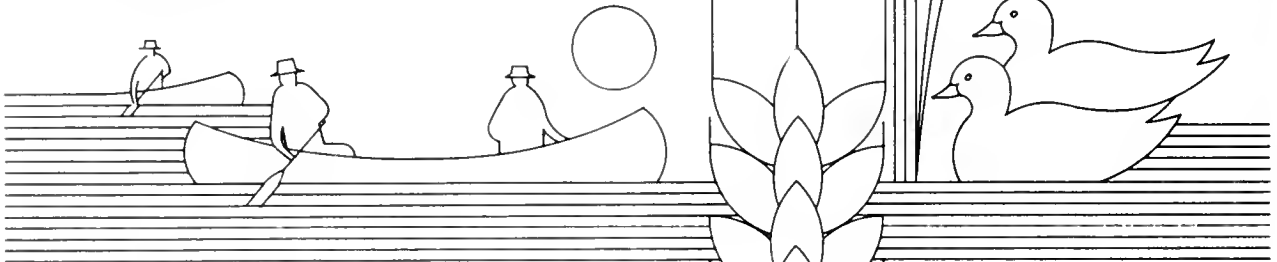
EXAMPLE E

This is an announcement of an innovative environmental awareness program sponsored by the Columbia Basin Project Office. This example is exceptional because of its clean, attractive design using the simplest of black ink on white paper printing. It was printed on a glossy paper, which is usually necessary if you are to have large areas of black ink such as is shown in the headings. The two pages that are shown here were printed back-to-back on a single sheet.

The Columbia Basin Experience

An Awareness Seminar on Water Resources

Offered by the Bureau of Reclamation
Columbia Basin Project
June-July 1979



Water. Until recently, most of us in the Pacific Northwest took it for granted. **BUT NO MORE!**

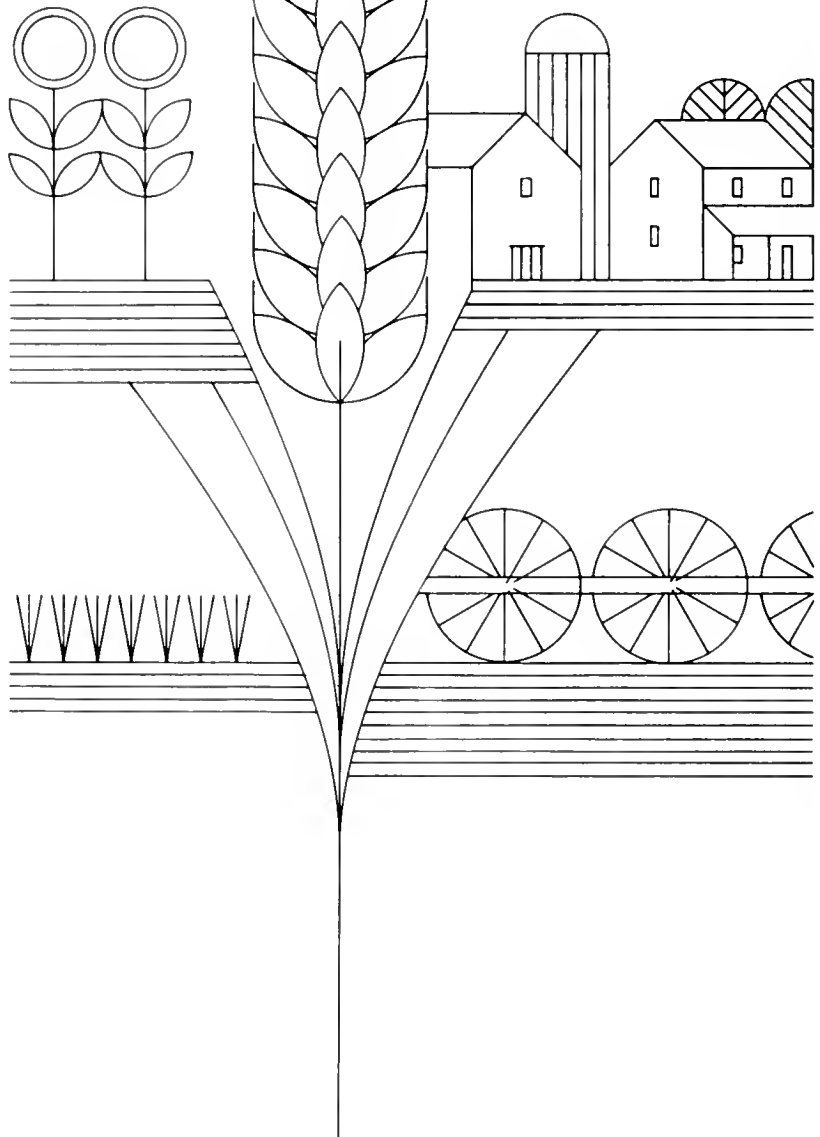
Realizing its importance and that concerned people often do not have the opportunity to learn enough about Federal water programs, this summer the Bureau of Reclamation will conduct a series of awareness seminars on the Columbia Basin Project.

Each 2-day, 2-night experience is an opportunity for participants to get a close look at the project and the people and communities directly affected by its development.

It is structured to stimulate an exchange of ideas and concerns about water use and its management and the effect of various alternatives on other possible uses.

It is also a mini-outdoor vacation in an unusual desert-water setting.

It's your chance to really EXPERIENCE the Columbia Basin Project and share your views on water resource management.



Agenda

Day 1

Meet at:
Columbia Basin Project Office
Division and C Street NW,
Ephrata, Washington

10:00 a.m.	Introduction to program and project orientation	
11:40 a.m.	Lunch—bring your own brown bag. Coffee and soft drinks will be furnished	
12:40 p.m.	Begin tour of the Columbia Basin Project irrigation system and farmlands. Discussions will focus on operation and maintenance of the irrigation system, water supplies and distribution, water quality, lowhead power development	potential, irrigated farming in today's economy and other aspects of multi-purpose water and land development. The tour will include a visit to an agriculture processing or fresh produce handling plant
5:00 p.m.	Life on a family farm—dinner and an overnight visit with one of the families who have chosen the nonurban lifestyle. This is an opportunity to learn	about the joys and problems involved in the production of food for American and overseas markets.

Day 2

10:00 a.m.	Canoe trip and campout in Desert Wildlife Recreation Area. Canoes will put into the Winchester Wasteway at Dodson Road for the beginning of a primitive water-in-the-desert recreation experience complete with birds, plants, sand, marsh, and sand fleas.	
12:30 p.m.	Lunch enroute, food will be furnished.	
4:30 p.m.	Make camp and have time for exploring, bird watching, photographing or resting.	
6:00 p.m.	Cookout, food will be furnished.	
7:00 p.m.	Round-the-campfire discussion will center on managing water and land resources for today's outdoor recreationists and protecting the natural environment. Also to be discussed will be	concerns for present and future development patterns and the effects of alternative uses and patterns on other possible programs.

Day 3

7:00 a.m.	Breakfast, food will be furnished, followed by drive back to Ephrata.
9:00 a.m.	Wrap-up.
10:00 a.m.	Return home.

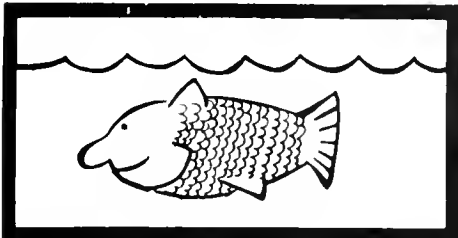
EXAMPLE F

Example F is another case of something that is very simple, yet attractive. Obviously this could be made even more attractive if the type were done on something other than a typewriter, but the use of the typewriter does convey a message to the public that this is an organization that is concerned about the use of government funds.

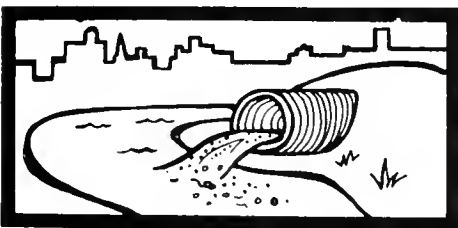
Old Colony Planning Council 208 Water Quality Management 307



208 Planning: In 1972 Congress amended the Water Pollution Control Act. The law seeks to preserve or improve water quality so that all streams and ponds will be suitable for fishing and swimming by 1983. Section 208 of the law calls for the creation of areawide plans to deal with complex water pollution problems. The Old Colony Planning Council has been designated as the 208 planning agency for Avon, Abington, Bridgewater, Brockton, East Bridgewater, Easton, Hanson, Pembroke, West Bridgewater, and Whitman.



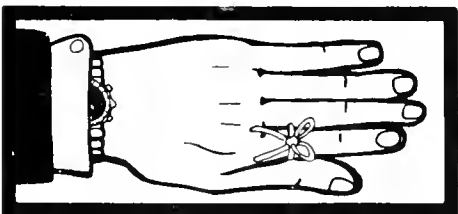
Water Uses: Clean water is a valuable resource for everyone. Unpolluted rivers and ponds are important scenic and recreation areas, sources of drinking water, water supplies for industry and agriculture, and habitats for fish and wildlife. Section 208 planning is working to protect and preserve surface waters for all these uses. It also will seek to protect underground drinking water supplies.



Wastewater Disposal: Water carrying wastes from homes and industry is a major pollution problem. The 208 project is examining the effectiveness of existing wastewater treatment methods and many other alternatives for reducing pollution. The goal is to select low-cost, effective solutions which are acceptable to each community.



Land Use: Rainwater (or melting snow) that runs into rivers and ponds or seeps into the ground can carry with it pollutants from the surface of the land. Suggesting better land use regulations, working to identify community priorities for growth and development, and examining land use/water quality issues are important parts of 208 planning.



Citizen Involvement: Cleaning up the area's streams, rivers, and ponds is a big job, and it shouldn't be left to a small group of experts. People in each community are playing an important role in the progress of the study. The Citizens committee on Clean Water, made up of community representatives, is overseeing and advising on all aspects of the project. There are many ways for every citizen to get involved in working for clean water in the Old Colony area.

Tear Off and Mail

Your involvement in 208 Water Quality Planning can begin here:

These are the important water quality issues in my community that should be studied by the 208 project: _____

name

street

town/city

zip

I'd like more information about 208 water quality management.

I'd like to get involved in 208 planning.

EXAMPLE G

Example G is an advertisement placed in the newspaper by the Bureau of Land Management advertising its public involvement effort on the use of off-road vehicles in the California desert. It has a somewhat more bureaucratic look than do some of the previous examples, but would nevertheless stand out on the page and would attract public interest.



PUBLIC NOTICE

The Bureau of Land Management, U.S. Department of the Interior, proposes to update its Interim Critical Management Program for Recreation Vehicles on the California Desert (ICMP)

PROGRAM REVISIONS:

1. New off-road vehicle regulations that went into effect May 15, 1974, now require that ALL off-road vehicles are to be affected by the ICMP, not just recreational vehicles.

The new regulations provide formal guidelines to implement Executive Order 11644, including:

- Open, closed and restricted areas are defined
- Operating regulations are listed
- Vehicle standards are given
- Miners and prospectors are no longer exempt from the regulations and permits for their use are being developed for off-road travel in closed and restricted areas
- All organized off-road vehicle events in which 25 or more vehicles are involved require a special land use permit.

2. According to comments received, the definition of "roads and trails" needs to be improved. Here is the proposed revision:

"Existing Roads and trails* are regular routes of travel which are:

- a. Clearly defined**, no less than eight feet wide in the case of roads and two feet wide for trails.
- b. Essentially bare of vegetation through repeated previous use.
- c. Habitually used for vehicle purpose and are reasonable courses to destinations, not erratic or random courses such as individual hill climb areas.
- d. Recognized as having been in existence as of November 1, 1973."

3. There will be full implementation of the ICMP, rather than concentration on enforcement priority areas. This implementation includes visitor assistance and public education, in addition to issuing permits.

*"Trails" as used here are limited to use, by two-wheeled vehicles.

** If weather obliterates this evidence, that does not exclude vehicle use on the affected portion of the route.



Public comments and recommendations are sought by the Bureau of Land Management through October 1, 1974. Following analysis of those comments, the revised plan will go into effect November 1, 1974.

For further details fill in the information below and mail to:

State Director, Bureau of Land Management
2800 Cottage Way, Room E-2841,
Sacramento, California, 95825.

Please send me more information on revisions to the "Interim Critical Management Program for Recreation Vehicles on the California Desert"

PLEASE PRINT

(Name)

(Address)

(City)

(State)

(Zip)



EXAMPLE H

This is another advertisement that is utter simplicity, yet visually attractive. This attractiveness is achieved through the use of very modern-looking type, placing the type on a slant rather than at right angles to the page, as well as attractive layout. This ad is an example of how good design can achieve the desired effect without a substantial budget.

**FLOOD
CONTROL
MAY
AFFECT
YOU**

**PUBLIC
MEETING**
October 21, 1975
7:00 P.M. Phoenix Indian School
42 East Midway Ave.
(near 3rd St. and Indian School Rd.)
**Phoenix,
Arizona**

EXAMPLE I

Example I is a booklet designed to present alternatives to the public and encourage their response. This booklet was developed by the Golden Gate National Recreation Area. This is a new urban National Park, which is already one of the most widely used National Parks in the country. The booklet was printed in two colors, but because of the simplicity of the illustrations, shows up almost as well in just one color. The illustrations are attractive and humorous and give the entire booklet something of a "folksy" look. The entire booklet has not been included, but because this example is particularly attractive, a number of pages are shown.



A PEOPLE'S GUIDE TO THE FUTURE OF THE NATIONAL PARKS NEXT DOOR



GOLDEN GATE NATIONAL RECREATION AREA - POINT REYES NATIONAL SEASHORE

A PEOPLE'S GUIDE TO THE FUTURE OF THE NATIONAL PARKS NEXT DOOR



Two nearby national parks are next door neighbors worth knowing. A visit to Golden Gate National Recreation Area (GGNRA) and Point Reyes National Seashore offers countless opportunities for exploration, education, and just plain fun. The park's spectacular scenery, historic past, and natural qualities are an important part of the special magic for which San Francisco and the Bay Area are so well known. They contain places people have enjoyed and cherished for years — Ocean Beach, the Cliff House, Aquatic Park, Muir Woods, and Stinson Beach. Now these well-known attractions, along with many undiscovered places, are joined together in 100,000 acres of continuous parkland, stretching along the San Francisco and Marin County shoreline.

The National Park Service is developing a plan to guide the future of these important seashore parks — a plan to make them as available as possible while maintaining the qualities that make them so attractive. This plan will determine what special resources need protection, how people will get to the park, and what facilities, activities, and programs should be offered. In a larger sense, the plan must fulfill many public expectations — not just those of people today, but the needs of generations of visitors to come. The future contains many challenges: to reach a diversity of urban people with a new kind of "city" park; to create an unsurpassed public waterfront along two thirds of San Francisco's shoreline; to preserve the beauty of the area's landscape and the story of its people.

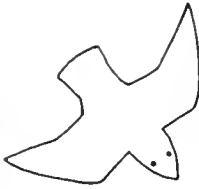
Of most immediate concern, however, is assuring the park's availability to the people nearby, many of whom cannot drive or afford an automobile. Although the park today is mainly reached by car, over 50 percent of those living in adjacent urban centers — including the elderly, the young, and those with low incomes — depend on public transit to travel. The decisions ahead are both large and small, and they range from where to place a bus stop to what to do with Alcatraz. But each one will undoubtedly affect anyone with an interest in San Francisco, the Bay Area, and the quality of life available here.

For the past 2 years, the people of the Bay Area have helped the National Park Service understand and begin to meet these opportunities. Through correspondence, interviews, and over 150 public meetings, people have helped shape the plan for GGNRA/Point Reyes, contributing their ideas about the park's future. This booklet is a collection of those ideas, arranged in a way to help you make choices about what ideas should become realities. With the assistance of the GGNRA/Point Reyes Citizens' Advisory Commission, we will conduct additional public meetings to begin selecting what proposals described in this guide will form the final plan.

This guide is divided into two parts: The first describes the proposals under consideration; the second discusses the potential consequences of these actions. We hope that this booklet will help you make your decisions by providing a clear understanding of the proposals and their effects. Once you've made up your mind, we encourage you to share your feelings with us, either by attending a public meeting, calling, or writing. Your participation is especially needed now to ensure that the plan is responsive to those who will visit these parks in the future.

With your help, we will continue to improve our understanding of what GGNRA and Point Reyes mean to their Bay Area neighbors and how to make a good friendship last for a long time. That way the park will only grow in its value — becoming a special place for a wide variety of people, a place to understand what we were and enjoy what we are, a place to renew our connections to friends and the world around us. The door to the park next door is open to the future. Welcome!

COMMON VISIONS







People who have participated in the planning of GGNRA/Point Reyes shared some similar attitudes about the park's general purpose, direction, and objectives.

- A national park in an urban area has a special function – to ensure that the recreational opportunities available in the park can be enjoyed by the widest possible variety of people.
- Views, beaches, forests, water, animals, and history – that's what the park already has and that's why people enjoy it. The National Park Service will protect these qualities and provide ways for people to enjoy and discover them.
- Transportation systems are necessary to ensure the park's availability, protect its resources, make your visit pleasant, and ease the amount of traffic facing you and the nearby communities. In particular, improved transit service will be designed to reach those who otherwise could not visit the park.
- There will be more things for people to do in the southern areas of the park close to urban areas. Northern areas will maintain a primitive and rural character.
- Where possible, older buildings will be recycled for new park uses, instead of constructing additional facilities.
- For the most part, new facilities and activities will be located in areas that have already been affected by previous uses.
- The park will be an important resource for local communities, especially those with limited recreational outlets. Community organizations will be encouraged to utilize park areas and facilities for their own recreational and educational programs.
- The park will contain special features and programs that expand its availability to the elderly, the handicapped, and cultural and ethnic minorities.

THE CHOICES AHEAD

The proposals described in this booklet all respond to people's "common visions," but with different degrees of emphasis. Usually four alternative proposals are described for 14 park areas within GGNRA/Point Reyes – almost 50 different plans. These alternatives are based on the philosophies people expressed in workshops, each stressing a particular value of the park.

-  **A** **Keep the Park As Is.** The park should maintain things as they are with few increases in management, programs, or facilities.
-  **B** **Maximize Natural Qualities.** Planning actions should increase the contrast between the city and the park by maximizing open space, minimizing facilities, and restoring natural landscapes.
-  **C** **Create a Place for Discovery.** The park should be a "laboratory for learning," providing necessary programs and facilities to encourage visitors' understanding of historic, cultural, and natural resources.
-  **D** **Provide Places for Enjoyment.** The park is a valuable addition to Bay Area open space and should provide many opportunities for leisure-time activities, emphasizing cultural and recreational programs.

These philosophies are simply one way of organizing the many alternatives for the park's future so that you can understand the choices ahead. Many people feel the park actually can support all these values. Likewise, it is expected that as you explore the almost 50 different future park areas described in this booklet, *you might want to combine proposals described under different alternatives. Feel free to switch proposals around* and design the park you feel good about.

A 15 MINUTE TOUR OF ALMOST 50 NEARBY PARKS

ALCATRAZ

Catch a ferry ride to Alcatraz. Open to the public since 1973, over 1 million people have visited this 22-acre island which has been used for military purposes and a federal penitentiary. You're about to become 1,000,001. Take a coat; the weather is often cold. The nature of the island depends on the alternative you choose:

A ALCATRAZ AS IT IS... People discover its history with the help of a National Park Service ranger. A 2-hour tour takes you along the former pathways of pelicans, platoons, and prisoners. Alcatraz looks the same from a distance, although small areas of building rubble have been removed for landscaping.

B MORE ROCK IS MORE NATURE... at least at Alcatraz. Once just a rock, imported topsoil added greenery in the past, and so would this alternative. Many buildings of lesser historical significance are removed, giving you more roaming room and landscaped area. Guided tours of the prison buildings are still available, but you can also explore on your own. Outdoor exhibits, indoor displays, and trails to the water's edge even let you discover the island's intertidal life.

C A SMALL ISLAND WITH A LARGE HISTORY awaits your discovery. Many structures are preserved or restored to develop a complete historical park. This plan creates historical scenes, from the richness of formal gardens to the starkness of the main cellblock; displays and artifacts help you understand the lives of many of Alcatraz's inhabitants.

These three alternatives offer the choices that the National Park Service feels reflect the ideas of workshop participants and federal policies ensuring the protection of historic properties. However, because so many people from all over the country have expressed an interest in Alcatraz, a special meeting will be held later this year to hear public viewpoints specific to this island.



FROM YOUR HOME TO THE PARK

To many people living in the Bay Area, the national parks next door may as well be distant relatives. Without a car or more direct bus service, the park is virtually inaccessible to a large number of people including the elderly, the young, or anyone who can't drive or afford an automobile. In fact, over 50 percent of San Francisco depends on transit to get around. However, the park continues to be reached mainly by automobile drivers (99 percent in Marin County), indicating not only the imbalances in its accessibility, but causing other problems as well. On warm summer weekends, traffic can slow down and back up, to the frustration of people traveling to the park as well as residents living in adjacent communities. If nothing is done, these problems will only get worse.

The National Park Service can't solve all these problems. Yet, working with local transit and planning agencies, the situation can be improved to protect both the park and the quality of people's visits. This section outlines the transportation proposals that the National Park Service feels merit the most immediate consideration. These proposals generally address problems that can be alleviated soonest, easiest, and with the least expense.

The proposals are grouped into two approaches. The first describes minor transportation-related changes that the National Park Service can implement alone — mainly parking areas, entrance points, and trail systems — and lets other things remain pretty much the same. The second approach, to be achieved in conjunction with the first, contains more substantial recommendations for transit service adjustments and new ways to get to the park that will require the cooperation of other agencies.

APPROACH 1 • EXISTING ACCESS

This approach doesn't change transit, but rather allows traffic to be its own discouragement against over-visitation. Under this approach you can:

- Travel on all roads that now provide access to the park.
- Ride on any buses that now go to the park.
- Find some new parking areas, especially in places that were not parklands before GGNRA was established. These parking areas are necessary for newly developed facilities or in areas where more people are expected to visit. In San Francisco, Fort Mason, Crissy Field, and Fort Funston will need new parking in certain visitor use alternatives. In Marin, new proposals for both overnight and day use facilities could create a need for additional parking areas.
- Expect no new asphalt in Marin. The size and location of new parking areas will remain flexible because they will all be unpaved. There will be more open space if parking areas are removed or relocated, as proposed in some Marin Headlands and Mount Tamalpais alternatives.
- Avoid waiting in line to get in . . . Proposals affect two crowded park entrance points. At Cliff House, a tour bus drop-off station is arranged. And to keep you headed toward the beach, not through the village, a new entrance to the Stinson Beach parking lot is proposed.
- Hike, bike, or ride along improved trail systems. In fact, you can follow trails from one end of the park to the other — if you are up to a more than 50-mile hike or ride.



APPROACH 2 - A LITTLE BIT GOES A LONG WAY: IMPROVED PARK TRANSIT

If you don't have a car, or don't especially like driving to the park in one, this approach will greatly increase your choices about how to travel to your recreation destination. The improvements in approach 1 will also be available in this approach, allowing you to:

- Ride on improved bus service to San Francisco park destinations, particularly from neighborhoods with high recreational needs. Or ride a "recreation special" for point-to-point travel between specific neighborhoods and the park.
- Transfer to park shuttles that travel along the waterfront from Fort Mason to the Ocean Beach area or across the bridge to the Marin Headlands.
- Travel on transit service to San Francisco from East Bay or the peninsula; then transfer to the above park-serving systems.
- Take improved bus lines to Marin County park areas such as Mount Tamalpais, Stinson Beach, or Point Reyes. At Point Reyes, transfer to a shuttle to get to Limantour, Drakes Beach, Palomarin, and the crest of Bolinas Ridge.
- Get to any of six park information points to discover transit possibilities and transfer to other systems. Also

take advantage of a park information program that assists schools and community organizations in finding bus service to support their discovery of the park.

- Take a ferry to Larkspur — then catch a direct bus to Point Reyes.
- Ride a ferry to the Marin Headlands.



- Take a shuttle, but not your car, around the Marin Headlands. During times of high visitation, cars will be parked in a peripheral parking lot.

All of these changes will tend to rearrange present visitation patterns, hopefully removing some stress on overused areas by directing people to more southern sites. During this time, traffic patterns will be monitored to see if the more dramatic measures envisioned as long-range considerations are necessary.

LONG RANGE CONSIDERATIONS

Within the next 10 to 15 years, the things affecting how you choose to travel and your attitudes about getting around may change very rapidly. For example, how would you travel if gas cost four times what it does today? Presented here are ideas that should be considered as people's attitudes change and the previously recommended transit systems evolve. These ideas respond to problems that are difficult to relieve because of expense, lack of conclusive solutions, or need for a great deal of cooperation from many agencies. If implemented, you could:

- Take a ferry from San Francisco or the East Bay to Fort Mason, Crissy Field, the Marin Headlands, or Angel Island as part of a bay loop system. Or catch ferries from San Francisco park sites to the Larkspur terminal where more buses would connect to Mount Tamalpais and Point Reyes.
- Find increased bus service to many Marin County areas, including a shuttle to provide hiker connections around Mount Tamalpais, Muir Woods, and Tennessee Valley. Get there faster because of transit preferential lanes.

But now you could not:

- Take your car as far. During heavy visitation times, staging areas at the Marin Headlands, Tamalpais junction, Larkspur ferry terminal, and Point Reyes headquarters would be the best places to go. Parking in the interior of the park would be reduced to encourage you to park your car at the staging areas and take transit from there to your recreational destination.

Eventually, even more transit service and auto controls could affect your travel, including:

- More staging areas, more transit, less auto access to the park: Staging areas would be located outside the park — along the eastern Marin Highway 101 corridor and in downtown and south city areas of San Francisco.
- New service: ocean-going ferries and a beltline railway along the San Francisco waterfront.

SAVING WALLFLOWERS, PEREGRINE FALCONS, MIWOK INDIAN SITES, AND LIGHTHOUSES

These are but a few examples of endangered species and cultural resources found within GGNRA and Point Reyes. Management measures are proposed to protect special natural and cultural resources and to maintain the character and appearance of these parks.

Many buildings have been identified as having played an important part in maritime, military, agricultural, and recreational history. Additional research will further define what is important and what is not, giving everyone a better idea about which structures should be kept. The National Register of Historic Places is a basic guide that determines the historic significance of structures, and already many park resources are on this register, including buildings at Alcatraz, Fort Mason, and the Marin Headlands forts. Many more qualify. Your decision about the final character of park areas involves choices about historic structures — whether to restore a structure, adapt it for use, or remove it to create more open space. For the most part, we will try to match new visitor uses to historic structures (for example, place a hostel in an important military building).

Following the completion of this plan, a detailed natural resource management plan for GGNRA will be completed (like the one recently approved for Point Reyes). For now, however, we have set a few basic goals. Natural landscapes, some altered by man, will be managed to protect the variety of animals and plants people now enjoy seeing in the park. Landscapes that have been noticeably altered by man, mainly in San Francisco, will be enhanced where necessary through site-specific projects designed to rehabilitate deteriorated areas.

Where sufficiently detailed information is available, potential management actions are being considered that address immediate problems of resource degradation — eroded landscapes, polluted waters, overgrazed pastures, and disappearing plant and animal species.





WHAT YOUR CHOICE COULD MEAN

This section further explains the proposals you've just read and discusses how they might potentially affect the park and those who visit it. The major park issues, recreational preferences, and special needs identified by those who have become involved in this planning effort are addressed. Almost everyone shared some common concerns about the park, and certain groups of people had special concerns that related to their enjoyment of the area. These concerns are discussed in a general way, realizing, however, that the needs of any group cannot be neatly categorized. By discussing the possible effects of planning proposals, this question and answer section is intended to help guide your personal planning recommendations.

The effects of the planning proposals are more fully described in a much larger document called an *Assessment of Alternatives for Golden Gate National Recreation Area and Point Reyes National Seashore*, also available for review — either in National Park Service offices or at various public libraries.

FUTURE VISITATION

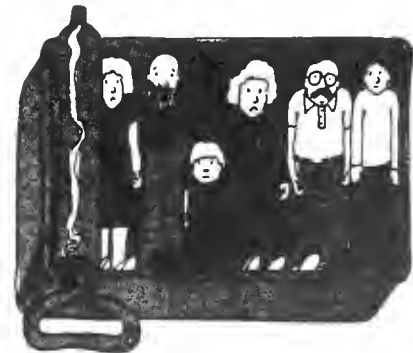
"The park should be equally available to everybody, but not overcrowded."

Workshop participant
Berkeley, October 1975

How many people are expected to visit the park?

About 16 million people now visit the park each year (12 million to San Francisco; 4 million to Marin). A common concern is how many people will come next year or 15 years from now. Although a specific answer to this is impossible, some preliminary estimations of where future visitors will go have been made. Generally, southern areas of the park will be more heavily used. Development of the San Francisco bayfront could draw many more people to this area, especially at Fort Mason and Crissy Field.

In Marin County, Mount Tamalpais is now the most heavily used unit. An objective of the proposals is to limit visitor concentration in other park units to a level that will not exceed that presently experienced at Mount Tamalpais. Marin County proposals are intended to draw most people to southern park areas, especially the Marin Headlands, letting visitation taper off to the north.



SPECIAL NEEDS OF PARK VISITORS

SENIOR CITIZENS

"I have lived in this area a long time; yet if not for this tour, I would not have seen this beautiful park. It's a blessing to have someone look out for us seniors and to provide a chance for us to appreciate the scenery and history of this recreational area."

Participant
GGNRA Senior Discovery Tour
Summer 1975

What are senior citizens looking for in the park and how do park plans respond to their expectations?

UNIT

ALTERNATIVE

	A	B	C	D
Alcatraz	\$2,550,000	\$3,720,000	\$ 5,560,000	No Alt. D
Aquatic Park	2,580,000	6,150,000	30,270,000	\$19,340,000
Fort Mason	4,060,000	5,020,000	6,530,000	6,440,000
Marina Green	310,000	490,000	310,000	570,000
Crissy Field	2,270,000	3,150,000	3,070,000	5,940,000
Fort Point	3,030,000	2,990,000	3,030,000	3,050,000
San Francisco Headlands	3,700,000	No Alt. B	4,570,000	4,330,000
Cliff House	1,460,000	2,150,000	48,620,000	4,580,000
Ocean Beach	8,600,000	9,410,000	8,740,000	9,930,000
Angel Island	2,690,000	3,650,000	3,860,000	No Alt. D
Marin Headlands	1,920,000	2,970,000	3,450,000	3,980,000
Mount Tamalpais	500,000	1,170,000	1,930,000	1,990,000
Olema Valley	2,820,000	3,180,000	3,350,000	3,600,000
Point Reyes	3,480,000	4,900,000	5,690,000	5,120,000

COSTS

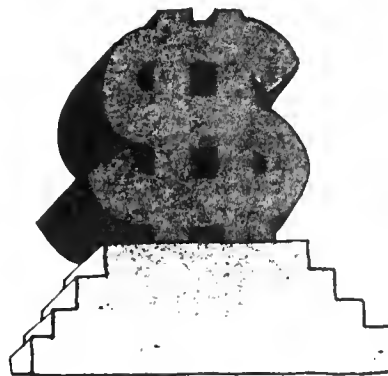
"Now that we've got this new park and are beginning to plan it, how much will this final plan cost the taxpayer to implement?"

Workshop participant
Albany Lions Club
Albany, February 1975

How much money is available for park development, where is it obtained, and what amount is needed to implement the proposals in this document?

Certain financial limitations currently affect the implementation of plans for GGNRA. The legislation authorizing the park set \$58,000,000 (May 1971 prices) as the amount of money not to be exceeded in developing the park. However, in today's prices this figure has escalated to \$87,000,000. All funds must be authorized by Congress. If a combination of alternatives were selected that exceeded this amount, new congressional legislation would be required to appropriate additional funds. No development limitation exists for Point Reyes.

The alternatives vary in cost. The table presented here gives a general estimation of development costs — including a 30 percent contingency for planning and design. This figure estimates how much it would cost to totally implement each alternative, including monies to preserve important historic structures. The preservation of historic structures contributes significantly to the cost of alternatives for Alcatraz, Aquatic Park, Fort Mason, Fort Point, San Francisco Headlands, Angel Island, and Olema Valley. At Ocean Beach, the monies needed for dune stabilization are a major contributor to the cost of all alternatives. Costs for transportation programs, however, are not included.



SOME SPACE TO WRITE YOUR THOUGHTS

Remember, now that you've read the many different alternatives, you might want to combine or blend the proposals. Feel free to switch proposals around to design the park you feel good about.

ALCATRAZ

CLIFF HOUSE

AQUATIC PARK

OCEAN BEACH

FORT MASON

ANGEL ISLAND

MARINA GREEN

MARIN HEADLANDS

CRISSY FIELD

MOUNT TAMALPAIS

FORT POINT

OLEMA VALLEY

SAN FRANCISCO HEADLANDS

POINT REYES

CUT ALONG THIS LINE

TRANSPORTATION TO AND IN THE PARK

MANAGING THE CULTURAL AND NATURAL RESOURCES

323

GENERAL COMMENTS

FIRST FOLD

CUT ALONG THIS LINE

TAPE OR STAPLE

THANKS!

SECOND FOLD

UNITED STATES
DEPARTMENT OF THE INTERIOR
NATIONAL PARK SERVICE
GGNRA, FT. MASON
SAN FRANCISCO, CALIFORNIA 94123

POSTAGE AND FEES PAID
U.S. DEPARTMENT OF THE INTERIOR
INT-417

GENERAL MANAGER, BAY AREA NATIONAL PARKS
GOLDEN GATE NATIONAL RECREATION AREA
FT. MASON,
SAN FRANCISCO, CALIFORNIA 94123



OUR DOOR IS OPEN...

And our ears are tuned to hear what you think. We are easy to reach and encourage anyone with an interest in the park to let us know your thoughts. To everyone we've talked to before — from senior citizens to kids, city residents to suburbanites, community groups to school groups — come speak your mind once again. Either:

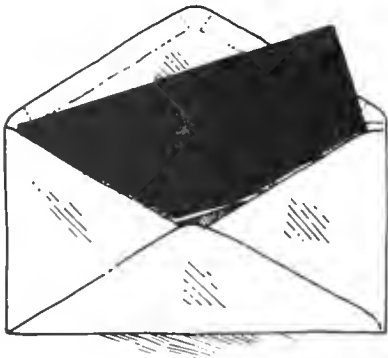


ATTEND THE PUBLIC MEETINGS

Your viewpoint should be heard by your representatives, the GGNRA/Point Reyes Citizens' Advisory Commission. Notification of the meeting dates and places will be mailed to you in the near future.

WRITE US A LETTER

Send your response to the park; it really helps us to understand your reactions. Especially if you can't attend a public meeting, this is one way to get your point across. If you belong to a community group with special concerns, a letter summarizing your viewpoints would be very helpful.*



CALL US

Especially if you have questions (556-2920 or 556-0560).



R.S.V.P.

Take a red pencil, mark up this booklet, and send it in as your response. Also included is some blank space to fill in your comments; it's attached to a self-addressed mailer to the park.



Above all, *mix and match* the proposals you've just read in this booklet, create the park you think is best, and contribute your imagination to the national parks next door.



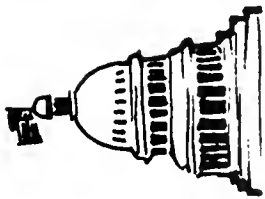
EXAMPLE J

Example J is a somewhat more modest effort to get the public responding to alternatives. Here the visual effect is achieved through simple, often humorous line drawings. It doesn't have the "class" of the previous example, but it does get the job done, and does it in a way that would reassure taxpayers about the appropriate use of their funds. Only a few pages are shown from the booklet.

Preliminary
ISSUES, CONCERNS
and
DECISION CRITERIA
for
Regional Planning



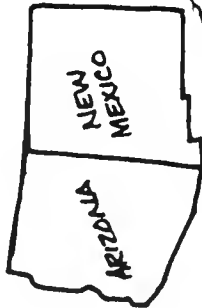
USDA FOREST SERVICE
SOUTHWESTERN REGION



NATIONAL



The Forest Service National Plan (RPA Program) outlines Forest Service policies goals and objectives. It also provides direction for Regional planning and assigns each Region its share of the National outputs. These outputs include things such as timber products, water, grazing, wildlife habitat, and recreational use.



REGIONAL



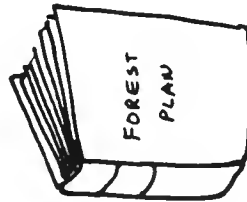
Each Regional Plan develops guidance and assures accomplishment of the direction provided in the National Plan. Regional Foresters are responsible for development and execution of the Regional Plan.



The Southwestern Region's plan is to be completed by December 1980. Until then, an interim plan will be used.



FOREST DISTRICT

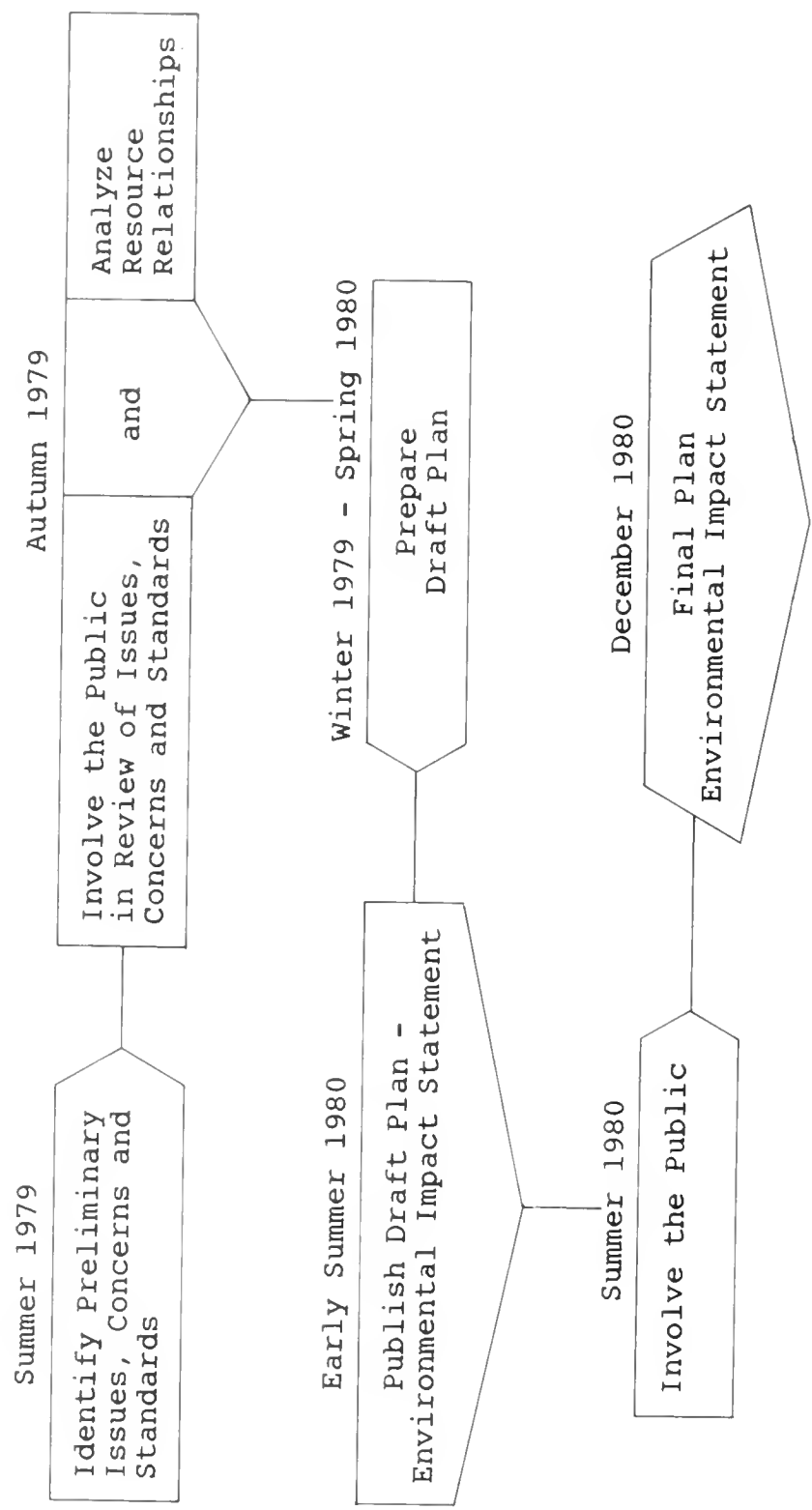


Each Forest Plan applies Regional directions to specific areas and resources and meets provisions of the National Plan and Regional Plan.

A Forest Supervisor is responsible for development of each Forest Plan. The plan must give full consideration to all resource uses, land capabilities and impacts of program activities on soils, vegetation, water, wildlife and existing uses.

All National Forests in the Region will, by 1984, have prepared Forest Plans. Those plans will reflect Regional and National direction while focusing on management of the resources within each particular National Forest.

The Regional planning period will last until December 1980. The schedule is:



Initial public involvement will focus on preliminary issues, concerns and decision criteria. Issues are mainly what the public is "asking" for from the land. Concerns are what the Forest Service sees as problems in meeting those needs and desires. Decision criteria are the screens to be used in comparing alternatives and selecting the one or ones that best resolve issues and concerns while also following national policies and direction. Not all issues and concerns can be addressed in the plan. The Forest Service may not have the authority or capability to resolve some issues or concerns.

Decision Criteria

Preliminary decision criteria have been separated into two groups: "must" criteria and "desirability" criteria. All alternatives for management must satisfy the "must" criteria listed below. The "desirability" criteria, which have been ranked "high," "moderate," and "low" will be used to compare and evaluate alternatives which have met "must" criteria.

1. ALL ALTERNATIVES MUST COMPLY WITH LAWS, REGULATIONS, AND EXECUTIVE ORDERS.
2. ALL ALTERNATIVES MUST HAVE A BENEFIT/COST RATIO EQUAL TO OR GREATER THAN THE PAST FIVE YEAR AVERAGE FOR THE TOTAL REGIONAL PROGRAM.
3. ALL ALTERNATIVES MUST MAINTAIN AT LEAST THE EXISTING NUMBERS OF NATIVE PLANT AND ANIMAL SPECIES ON NATIONAL FOREST LAND.
4. ALL ALTERNATIVES MUST MAINTAIN AT LEAST THE EXISTING POPULATIONS OF THREATENED AND ENDANGERED PLANT AND WILDLIFE SPECIES.
5. ALL ALTERNATIVES MUST NOT INCREASE ON-SITE SOIL LOSS OVER PRESENT LEVELS.
6. ALL ALTERNATIVES MUST MAINTAIN WATER QUALITY AT OR ABOVE STATE STANDARDS.
7. ALL ALTERNATIVES MUST BE WITHIN THE REGION'S CAPABILITY TO PRODUCE THE OUTPUTS ON A NONDECLINING BASIS BY 1995.
8. ALL ALTERNATIVES MUST BE WITHIN THE SELECTED 1981-1985 PROGRAM FUNDING CONSTRAINTS.
9. ALL ALTERNATIVES MUST MEET MINIMUM STATE AIR QUALITY STANDARDS.
10. ALL ALTERNATIVES MUST HAVE WATER USE REQUIREMENTS FOR WHICH WATER RIGHTS CAN BE OBTAINED.

The following pages describe the issues and concerns we see now and also show related "desirability" screens or decision criteria with their tentative priority rankings of high, moderate or low. Criteria are printed in all capital letters.

We want to know what you think of the issues and concerns, the criteria, and the tentative priority rankings. We also want to know about other issues or concerns you have that are not listed. Space is provided for your comments.

A glossary of terms is given on the last page in case we've used some words or phrases unfamiliar to you.

Thank you for your help. Please let us hear from you soon and as often as you like. The deadline for comments is Friday, December 14, 1979.

Public meetings will be held to discuss these preliminary issues, concerns and criteria. The dates and locations are:

October 16, 7-9 pm -	Sheraton Old Town, Turquoise Room, 800 Rio Grande Blvd., NW, Albuquerque, New Mexico
October 17, 7-9 pm -	Howard Johnson's Motel, 2400 South Valley Drive, Las Cruces, New Mexico
October 23, 7-9 pm -	Desert Hills Motel, 2707 E. Van Buren, Phoenix, Arizona
October 24, 7-9 pm -	Little America, 2500 E. Butler Avenue, Flagstaff, Arizona
October 25, 7-9 pm -	Marriott Hotel, Vista Room, 180 W. Broadway, Tucson, Arizona

Conflicting Demands

Population in the Southwest is growing faster than the national average. The increased growth is changing public lifestyles and resource demands. These changes are placing greater and often conflicting demands on the National Forests for goods, services, and use opportunities. Pressures for increased outputs of all types of resource benefits may be greater than the Region's capability to supply them. The conflicting demands include all resources but water, recreation, grazing, wildlife, timber and minerals are of greatest concern.

CRITERIA:

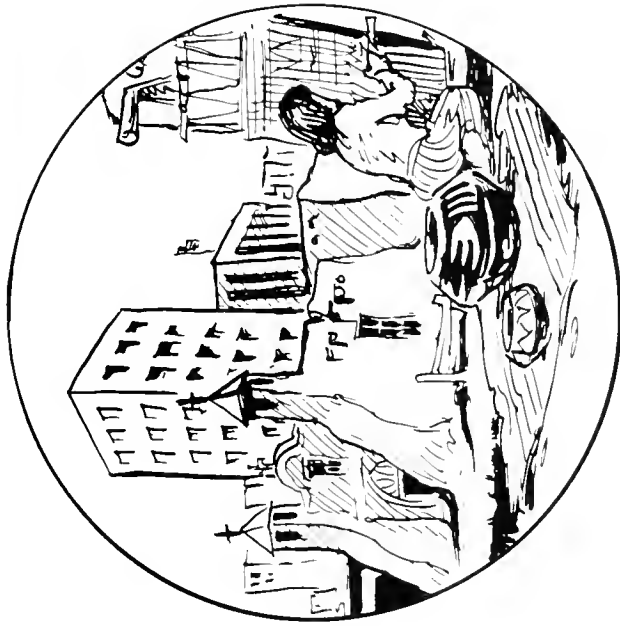
FAVOR THE ALTERNATIVE MOST NEARLY MEETING RPA PROGRAM OBJECTIVES.

Priority: High

FAVOR ALTERNATIVES WHICH HAVE THE LEAST DEVIATION FROM RPA PROGRAM OBJECTIVES. Priority: Moderate

FAVOR ALTERNATIVES WHICH FORECLOSE THE LEAST FUTURE MANAGEMENT OPTIONS.

Priority: Moderate



Your Comments



Water



Water Quality - The States have nondegradation policies as part of their water quality standards. Compliance with standards becomes increasingly difficult as management activities increase. The intensity and mix of management practices may have to be changed to comply with water quality standards.

Water Supply - Surface water demands from off-forest users exceed the present supply potential particularly in Arizona. In Arizona, water demands are approximately 8 million acre-feet and the present renewable supply is about 5 to 6 million acre-feet. The water deficit is being satisfied through ground water depletion. When surface water supplies are abundant during wet years, storage facilities cannot retain all the production for use in dry years.

CRITERION:

FAVOR ALTERNATIVES HAVING THE HIGHEST WATER
YIELD. Priority: High

Water Availability - Because demand for water exceeds the supply, rights to existing water are over-appropriated in many areas. National Forest management practices require the use and consumption of water that may not be available.

Riparian Ecosystems - Riparian ecosystems are exceptionally important nationwide. In the Southwest, riparian ecosystems are even more important. Riparian areas contain a great variety of wildlife and plant species including some which are threatened or endangered. These areas are also prime recreation areas and heavily used by domestic livestock. Wild and scenic rivers, reservoir development, and transportation facilities are also located in riparian ecosystems. Many existing uses are conflicting. Some areas are being used in excess of the capability of land to sustain the use.

CRITERION:

FAVOR ALTERNATIVES WHICH PRESERVE THE GREATEST NUMBER OF FUTURE MANAGEMENT OPTIONS IN THE RIPARIAN ECOSYSTEMS. Priority: High

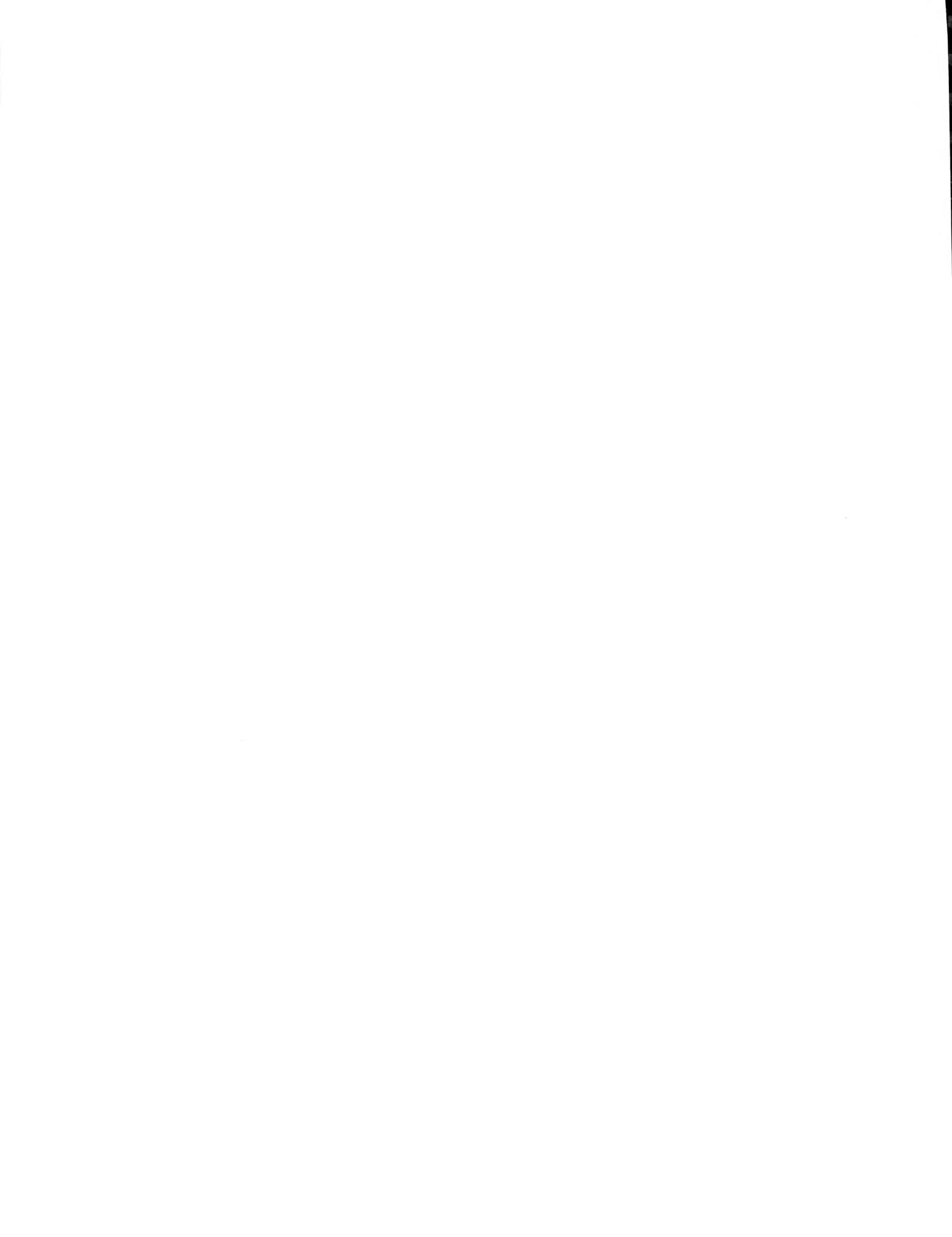


Your Comments



TECHNICAL REPORT STANDARD TITLE PAGE

1. REPORT NO.	2. GOVERNMENT ACCESSION NO.	3. RECIPIENT'S CATALOG NO.
4. TITLE AND SUBTITLE Public Involvement Manual: Involving the Public in Water and Power Resources Decisions		5. REPORT DATE June 1980
		6. PERFORMING ORGANIZATION CODE D-733
7. AUTHOR(S) James L. Creighton	8. PERFORMING ORGANIZATION REPORT NO. 80-2	
9. PERFORMING ORGANIZATION NAME AND ADDRESS Creighton & Creighton PO Box 1234 Saratoga, CA 95070		10. WORK UNIT NO. 8230430
		11. CONTRACT OR GRANT NO. 8-07-83-V0709
12. SPONSORING AGENCY NAME AND ADDRESS Division of Planning Technical Services Water and Power Resources Service PO Box 25007 Denver, CO 80225		13. TYPE OF REPORT AND PERIOD COVERED
		14. SPONSORING AGENCY CODE
15. SUPPLEMENTARY NOTES		
16. ABSTRACT The Public Involvement Manual presents standards, instructions, and techniques for planning, implementing, and reporting public involvement programs. The manual is applicable to public involvement in the planning of large and small scale projects and programs that will significantly affect the public, and is specifically applicable to public involvement in water resources planning. The manual presents (1) the rationale and general principles for public involvement, (2) guidelines and techniques for determining the need for public involvement, identifying the affected publics, and designing a public involvement program, (3) organizational issues involved in administering and coordinating public involvement programs, (4) techniques for designing and running public meetings, and (5) methods other than public meetings for involving the public in the planning process.		
17. KEY WORDS AND DOCUMENT ANALYSIS a. DESCRIPTORS-- Public Involvement/ Social Values/ Multiobjective Planning/ Evaluation/ Methodology/ Project Planning/ Instructions/ Standards/ Techniques b. IDENTIFIERS-- Public Involvement/ Multiobjective Planning/ Project Planning c. COSATI Field/Group OSA & K COWRR: 0501 SWRABW: 6A, 6B		
18. DISTRIBUTION STATEMENT Available from the National Technical Information Service, Operations Division, Springfield, Virginia 22161.		19. SECURITY CLASS (THIS REPORT) UNCLASSIFIED
		20. SECURITY CLASS (THIS PAGE) UNCLASSIFIED
		21. NO. OF PAGES
		22. PRICE





P0001881