

**Public Participation Practices of the U.S. Army Corps of Engineers**

by

**Charles E. Christ and Ronald Lanier**



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PUBLIC PARTICIPATION PRACTICES  
OF THE U.S. ARMY CORPS OF ENGINEERS

by

Charles E. Crist

Ronald A. Lanier

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COLORADO WATER RESOURCES RESEARCH INSTITUTE  
Colorado State University  
Fort Collins, Colorado 80523

Norman A. Evans, Director

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## PREFACE

The American public and the U. S. Army Corps of Engineers are working to improve their partnership. Citizens play a more active role than ever before. Also professional resource managers are employing new skills for converting this public involvement into a valuable decision-making tool.

Citizen participation has mushroomed in importance along with public interest in the water and related land resource field. The Corps recognizes the validity of this concern.

This professional paper grew from the need for information assessing the working relationship between the public and Corps of Engineers project managers and for suggestions about how to improve it. The following perspective on public involvement was developed from the questionnaire which was sent to all Districts and responded to by experienced project managers and does not reflect official Corps policy.

The importance of public involvement as an integral factor in the Corps decision-making is promising. There is generally a high degree of commitment with which project managers are implementing public involvement, and an overall enthusiasm in meeting a new challenge where there are few established techniques and procedures on which to rely. Skillful handling of the public-participation challenge requires considerable professional skill by project managers.

Public involvement must be continuous process, a "way of life" for project managers - not something that periodically is turned on or off. The overriding objective of public involvement must be to arrive at better and more acceptable management decisions than would be possible without it.

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## INTRODUCTION

Planning for water and water related land resource programs and projects has often excluded many citizens with the possible result being plans which are not fully responsive to the needs and wishes of society. Although this approach has been significantly modified, particularly in the Corps of Engineers within the last ten years, there is still room to improve the methods by which the public is involved in such planning activities.

### PURPOSE

The purpose is to briefly review this evolution within the last ten years and evaluate the effectiveness of the public participation process used by project managers in conducting the various Corps of Engineers Water Resource Planning Investigations.

Emphasis was placed on the existing public involvement programs used for Congressionally authorized studies, with developed recommendations by which project managers may find useful in organizing, structuring and integrating public involvement as part of future planning efforts.

### SCOPE

The general scope of this paper is to provide the planner with an understanding of the past and current public participation efforts of the Corps of Engineers in Water Resources Planning, to identify particularly successful or unsuccessful past study efforts which utilized public participation programs, to analyze the effectiveness of tested programs, and to recommend (based on experience) specific considerations which should be integrated into studies to expand and



intensify future public involvement efforts undertaken by a project manager.

The objective is to present an analysis of the process as it is viewed by the project manager.

Existing definitions and concepts of the public involvement process will be explored including a detailed review of existing regulations of the Corps of Engineers. In addition, existing regulations of the U. S. Soil Conservation Service, significant publications of the Institute for Water Resources, and several specific District regulations all pertaining to public involvement were reviewed.

The paper discusses the history of public participation in water resource planning, how public involvement relates to the water resource planning efforts, current public involvement processes used and an analysis of the effectiveness of tested programs. The final portion of the paper provides for recommendations which could be used by project managers to improve their public participation efforts in future studies.

The appendixes identify the location of project managers participating in collection of information, present the public participation questionnaire distributed to project managers and summarize existing Corps of Engineers and Soil Conservation Service regulations and Institute for Water Resource reports.

#### HISTORY OF PUBLIC PARTICIPATION IN WATER RESOURCE PLANNING

Prior to reviewing the concepts and purpose of public involvement which have evolved in the Corps of Engineers water resource planning, it is desirable to define public participation.

Definitions of public participation are almost as varied as the practice itself. However, for the purpose of this paper, the partial

definition which best exemplifies the understanding of project managers in the Corps of Engineers is used here:

Public participation is the process whereby the project manager communicates and enters into dialogue with the public in order to provide a full public understanding of the processes and mechanisms through which water resources problems and needs are investigated and solved. The process is used to keep the identified public fully informed of the planning status and to ascertain from the public opinions, perceptions, needs, desires and preferences. It should be pointed out that good public participation efforts are continuous through the study and project life.<sup>1/</sup>

## CONCEPTS

The concepts and theories of public involvement in water resource planning have changed dramatically since those practices were initiated. This section of the paper briefly reviews those earlier concepts, the transition period which followed, and the current concept revised to involve the public.

### Early Concepts of Public Involvement.

Generally speaking, the Corps assumed that an informational function was to a degree, inherent in their role as a public agency. This earlier concept was viewed as a one-way communication process from the Corps to the public and was conducted primarily through the process of mandatory public hearings.

This process is best described by the following statement which was submitted by the Chief of Engineers to the House Committee on Appropriations in 1947:

"The authorization of a river and harbor or flood control project follows a definitely prescribed democratic course of action. It is based upon the activation of the desires of local interests, who are most vitally interested. Local interests, as individuals or groups through the actions of their representatives in congress, make request for an item to be included in a rivers and harbors or flood control bill ---- The District Engineer, mindful of the need for developing all public opinion holds an open public hearing at which not only

those interests that are active in obtaining the authorization of the proposed work but also all other views are obtained and encouraged. Having thus developed the desires of the local citizens, the District Engineer makes a study ---"2/

The public hearing held was often characterized by its formal, structured format and was used basically as an information gathering process rather than a communication process. Involvement was generally limited to other governmental agencies, influential local economic interests, and other special interest groups because they were the ones who were most prepared to address issues brought forth at the public hearing. While the private citizen was given the opportunity to comment on the proposed plans, many times not enough advance information was provided to allow him full consideration of the issues. The very nature of the public hearing tended to lend to its inadequacy.

As a result of the limited public involvement actions taken during this earlier era of planning, most studies resulted in structural alternatives and were regarded simply as engineering problems, with little recognition of the extent to which the projects may act as major change agents, with the potential for far-reaching effects upon patterns of life and the quality of living for many people.

#### Transition of Concepts of Public Involvement.

The early approach was viewed primarily as being needed to insure public acceptance of the final alternative that the Corps selected. Chances for the public to provide meaningful input into the planning process was not great, and generally, the special interest group and government agencies were united in their efforts to insure acceptance and authorization of the projects.

However, such narrow approaches to water resources development are largely a matter of history.

Several factors have generated this recent interest in increasing the public participation efforts in water resources programs, such as:

(1) the increasing number of complaints about the effects and consequences of the projects, and the fact that the public has not been consulted on issues that affect them,

(2) the failure in the past to analyze water development projects in terms of environmental linkages and interrelationships,

(3) the moral or ideological issue in which citizen participation is an important element in democratic societies,

(4) the growing belief that if water resources projects are being developed for people and seek to benefit people, such planning efforts should consider the views, values, expectations, and needs of these people,

(5) the search by the planning agency for public support. <sup>3/</sup>

The transition to greater citizen participation can be related to several special events in recent American history. Events such as the Urban Riots during the mid 60's, the Vietnam War, Watergate, and even the energy shortages of the late 70's have each produced a burgeoning interest in public participation in an effort to control the destiny of this country. From this apparent increase in the interest of citizens in participation have come many pieces of legislation which have increasingly addressed the issues of adequate public input in the planning process. Some of these signs of change include: Senate Document 97, 1962: the National Environmental Policy Act of 1969; the Water Pollution Control Act Amendments of 1972; the Water Resources Council's Principles and Standards, 1973; and current revisions being made to the Principles and Standards.

These signs of, and causes of, change for greater participation meant participation by different groups than those who previously monopolized the decision-making process. For this reason, the transition period included the development and implementation of many public input

collection techniques. The concept adopted by the Corps was that the public should be understood as well as the public understanding the Corps. The techniques utilized attempted to establish a mutual agreement and understanding between the Corps and the public. It must be recognized, however, that individuals were not yet considered as important as the specific groups or publics to which they belonged.

#### Current Trends in the Concepts of Public Involvement.

As reflected in much of the recent legislative action, the involvement of all publics (both individuals and groups) in the actions of planning agencies. This involvement can be summarized by reviewing the provisions of the Water Resources Council's Principles and Standards (P & S) and the current Corps of Engineers regulations of public involvement policy in the planning process. P & S and Corps regulations provide that public opinions be solicited early in the planning process; that periodic oral expression of the public's views be encouraged along with recording of opinions; that public meetings be held early in the course of planning; that lines of communications be opened to receive views of the public; and that all plans, reports, data analysis, interpretations and other information be made available for public inspection.<sup>4/</sup> In addition, the Corps of Engineers encourages development and familiarization of a public involvement program to carry out such efforts.

As seen from the above provisions, one of the most important tasks of public participation activities is to present an opportunity for the continuous involvement of the public. In the Corps of Engineers, this should include the preparation of a plan for public participation guiding the project manager in all aspects of what is expected from the public, what procedures are to be used to involve the public and what resources

should be utilized to secure this involvement. However, often the public involvement activities do not incorporate the actions necessary to satisfy these questions. Many times this involvement is obtained through formal and informal discussions, public meetings, issuance of public statements, announcements to the news media, and distribution of the final report.

More specific public involvement actions in theory is very desirable. The problem is that the experience, resources, and understanding of what is needed to provide this continuous two-way communication process is not sufficiently developed to apply to existing studies. The concept that public involvement is not an end in itself, but a means to better decisions, primarily through improved understanding of the relative values the public places on use of the water and land related resource, is just now being recognized and adopted by project managers. Current trends illustrate a high level of commitment to public participation not only by project managers, but also by the administrative personnel in the Corps of Engineers. It is hoped that increasing public participation in the planning process will reduce ex post facto confrontations. But it is also recognized that more than that is at issue and that public involvement is necessary to provide a forum whereby citizens can assist effectively in setting the goals for management of their water resources. With a more accurate assessment of public desires, the Corps of Engineers can better achieve their goals.

To accomplish this, project managers are required to elicit public views, as well as integrate diverse public inputs into the planning and decision-making process. The affected Corps elements are committed to ongoing training, monitoring and evaluation of specific public involvement actions in order to develop and employ techniques which will achieve the desired results.<sup>5/</sup>

PHASES IN CORPS OF ENGINEERS WATER RESOURCE INVESTIGATIONS  
WHICH REQUIRE INPUT FROM THE PUBLIC <sup>6/</sup>

The planning process is usually divided into three stages for the purpose of monitoring study progress. These three stages include the development of the Reconnaissance plan, intermediate plans, and detailed plans. During each stage, there are four functional planning tasks carried out: (1) problem identification, (2) formulation of alternatives, (3) assessment of impacts, and (4) evaluation. Each of these tasks receive different emphasis depending on the particular stage of planning. The public involvement activities, therefore, should be planned on a stage-by-stage basis rather than developed for the study as a whole. Each of these stages and the relation and recommended public involvement actions are discussed in the following paragraphs.

Stage One - Reconnaissance. The reconnaissance stage of the planning process provides for initial iterations of the four functional planning tasks to obtain a preliminary view of what the overall study will involve. It includes the study's intended scope and direction, budgets, work schedules, etc. Public involvement objectives during this phase are relatively modest, the target public is limited, and the forums for participation are narrow.

There are usually three objectives of public involvement in this stage. The first is to obtain information which will be useful in directing the study; such as, identification of problems to be addressed, issues to be considered, objectives and goals, and alternatives to be investigated. Second is to obtain information about the political, social, economic, and institutional setting of the area. The third is to initiate and develop the actions necessary to implement a public involvement program between the public and the planning agency.

The target public is the "participating public" and the "information audience". The former being the small number of people from different interest groups, who will be contacted directly for information. The latter being the general or mass public. Information programs are initiated early to make the information audience aware of the study and to provide awareness of opportunities for involvement.

The recommended forums for involvement during this phase of planning are usually small meetings or interviews with individual interest groups. These meetings are best suited for the in-depth discussions required for obtaining information. Another potential forum would be a technique such as a questionnaire.

Stage Two - Development of Intermediate Plans. During this stage of planning, the focus begins to shift from problem identification to formulation and preliminary evaluation of alternative solutions. During this stage, the project manager attempts to develop a range of alternative solutions which address the issues and problems identified earlier and to assess the soundness of each alternative.

The project manager's objective during this phase of planning is to provide ways in which interested and affected people can discuss the implications of each alternative in terms of their concerns; become aware of the various trade-offs and compromises which are implicit in the selection of one alternative over another; and obtain suggestions from the public concerning the desirability and acceptability of alternatives.

The target public is broadened to all identifiable groups in each interest area. Emphasis is given to identifying and encouraging the participation of potentially affected publics. This phase of the



planning requires interaction among various interests as well as between the public and the study manager. Therefore, the potential forum for this type of dialogue is the moderate-size meeting such as a workshop.

Stage Three - Development of Detailed Plans. The final stage of planning is concerned with the detailed development of a small number of alternative plans, their assessment, modification and evaluation - ultimately leading to a recommended plan. The focus of planning shifts from alternative formulation to impact assessment and evaluation. This is usually the most intensive period for public involvement. Each alternative is described in very real terms as to how it might affect various interests. As a result, interest heightens and conflicts among interests often increase. The obtainment of public involvement is usually easier as the participants will almost be self-selected. During this stage, the project manager attempts to modify alternatives to eliminate or ameliorate adverse effects and attempts to negotiate compromises and trade-offs in order to develop support for decisions to be made.

The objective during this stage of the process is to provide forums in which interested and affected publics can obtain detailed information concerning the implications of each alternative, contribute information useful in determining the short and long-term consequences of effects, suggest mitigation measures and modifications, negotiate inter-interest group compromises and trade-offs, and express preferences with regard to the alternatives.

The target public is the broadest of any planning stage. As in earlier stages all directly affected individuals and concerned citizens should be invited to participate. Although all view points are

considered, particular emphasis is given to project sponsors may bear costs of any final recommendation.

This stage of planning requires intensive and continuous interaction among various interests as well as between the public and the Corps. The forum most suited for the early part of stage three is the moderate-size meetings such as workshops. During the latter portion of stage three, when the impact assessment is substantially completed and when the major conflicting interests can be identified, small meetings for the purpose of negotiation could become critical.

Utilizing this planning process and appropriate public involvement procedures, it is expected that public involvement for each stage of the planning process will provide the public with an opportunity to review the results of planning up to that point and to provide information which will be useful in making decisions prior to proceeding to the next stage of planning. Satisfaction of the public at the end of each study stage becomes a checkpoint. Several factors to consider in reviewing public involvement actions are that the study to date has: (1) provided an opportunity for every citizen who desires to participate, (2) disseminated information describing results of this stage of planning, (3) closely related to the inter-agency coordination efforts and (4) utilized techniques which have provided public input for analysis, evaluations and incorporation into the study results to date.

#### STRATEGIES OF PUBLIC INVOLVEMENT <sup>1/</sup>

The project manager usually establishes early in the study the extent to which he desires to have the public involved in the planning process. Several planning strategies might be used. Although this may not be known at the start, the selection depends much upon the interest

and role the public within the study area is willing to assume. A few strategies which have been observed are as follows:

The Strategy of Information. The project manager controls and conducts the study and only contacts other agencies and interest groups to present findings or gather information. Usually, as studies near completion and a decision is imminent publicity concerning the project is increased. This approach characterizes much of the earlier efforts of public involvement.

The Strategy of Information With Feedback. This is a modification of the previous method which allows for an exchange of data and information with interest groups. The open communication and exchange of information should result in a wider range of alternatives and increase the likelihood of reaching more acceptable and comprehensive solution.

The Coordinator Strategy. The project manager acts as the study coordinator, seeking out important publics, assessing their objectives, testing alternatives, and receiving feedback. Interaction among different interest groups is not encouraged.

The Coordinator-Catalyst Strategy. The project manager promotes participation in the planning study. The affected publics with different interests confront one another. The project manager supplies methodological and technical skills to serve as the means for synthesizing objectives, coordinating interests, and working out compromises within areas of conflict. This approach permits the type of interaction between the planner and the public conducive to the consideration of all viewpoints, values and suggestions.

Currently the most often used strategy in the Corps appears to be that in which the project manager assumes the coordinator-catalyst role.

This role helps to encourage involvement of the public that is desired and recommended by the administrative levels of the Corps of Engineers.

#### CURRENT PUBLIC INVOLVEMENT PRACTICES USED

With the recent emphasis that has been placed on more involvement of the public in water resource decisions has come volumes of regulations, circulars, guidelines, and research papers dealing with the subject of public participation in water resources planning programs. This section briefly reviews some of the work accomplished during the last ten years emphasizing the new direction of Federal Water Resource oriented agencies in the area of public involvement with particular attention to the direction being taken by the Corps of Engineers.

##### A. Summary of Existing Corps of Engineers Guidelines.

The following paragraphs reviews the existing OCE and District Corps of Engineers regulations on public involvement and several special reports sponsored by the Institute for Water Resources on the subject. More detail on each is provided in Appendix I.

1. Engineer Regulation ER 1105-2-800  
Title: Planning - Public Involvement: General Policies., 2 April 1975

This regulation provides the general public involvement policy for all OCE elements and all field operating agencies having civil works responsibilities. The purpose of the policy is to assure that studies conducted by the agency are responding to the needs and preferences of the public. The regulation states that there should be included in each report a summary of how the public involvement program influenced decisions during the planning process.

2. IWR Report 70-7  
Title: Public Participation in Water Resources Planning - The Planner and the Planning Process, December 1970

This report emphasized the development of water resources and the role the planner has in communicating and interacting with the public in the planning process. The institutional and behavioral aspects of planning are described as a process of social change. The report discusses various methods and approaches of developing public participation in the planning process. The author presents six public participation program objectives to guide the organization of citizen involvement in the planning studies. It is suggested that the planner should initially identify concerned citizens suggested that the planner should initially identify concerned citizens and establish working relationships with them in order to legitimize the study. Finally a number of methods for working with the public are described.

3. IWR Report 75-R4  
Title: Public Involvement in the Corps of  
Engineers Planning Process, October 1975

This report discusses the design, implementation and management of public involvement programs as integral parts of the Corps of Engineers water resources planning process. The approach to developing the program as suggested by the report relies on several key concepts; first that planning should be viewed as consisting of several sequential stages, each of which has a definable output and therefore, represents an implicit or explicit decision point; second, that public involvement programs can and should be approached on a stage-by-stage basis; third, that there should be public checkpoints at the end of each stage to provide the public and other reviewing element with citizen input as to the adequacy and responsiveness of the planning to date; fourth, that these checkpoint meetings are not adequate public involvement in themselves, but are only the culmination of active participation during

the planning process; and fifth, that decision making responsive to public concerns requires the explicit consideration of public input before key decisions are made at each stage. The report also includes information on developing public involvement programs, forums for obtaining citizen input, guidelines for developing public information programs, monitoring and evaluation of programs, and staff organization and budgeting for public involvement activities.

4. IWR Report 75-6  
Title: Public Participation in Water Resources  
Planning, November 1975

This report evaluates the public involvement programs of 15 selected Corps of Engineer Districts. The report includes descriptions of public participation programs existing in 1973, an evaluation of District policies, organizations, and resources for public participation, and recommended methods for improvement. Eight criteria were identified for assessing the effectiveness of the public involvement programs of 15 Corps of Engineers Districts.

5. Engineering Memorandum No. 271  
Sacramento District, South Pacific Division  
Title: Public Meetings and Workshops

The purpose of this Engineering Memorandum was to express the policy of the Sacramento District concerning non-federal participation in public meetings and workshops.

6. SDR 1120-2-1  
Seattle District, North Pacific Division  
Title: Investigation, Planning and Development  
of Water Resources-Public Involvement in  
Planning

This regulation provides policy guidance, describes techniques, and assigns responsibilities in connection with public involvement in planning; including the conduct of related public

meetings and workshops and the preparation and use of public brochures and other aspects of this program. This regulation is currently under revision.

B. Summary of Public Involvement Guidelines of Other Agencies

For a review of the following existing guidelines of the Soil Conservation Service, see Appendix I.

1. Soil Conservation Service - USDA
  - A. Resource Conservation and Development Projects - RC and D Handbook
  - B. EVT-1 (Rev. 2)  
Title: Compliance with NEPA and Related Environmental Concerns
  - C. DRAFT POLICY - General Manual Agency  
General No. 00 - Part 4  
Title: Public Participation

PUBLIC INVOLVEMENT IN THE CORPS OF ENGINEERS

GENERAL

This section provides a review of the public involvement practices which are currently undertaken by project managers located in many Corps of Engineers Districts. It is based on the responses of project managers in 33 different districts to a questionnaire which was distributed to all 37 Districts in April and May 1979. A list of those Districts participating in the questionnaire is included in Appendix II.

The questionnaire, developed to provide the review of public involvement actions in the Corps of Engineers, was pretested on Corps planners in the St. Paul and Savannah Districts. In addition, the questionnaire was reviewed by OCE. One of the primary functions of these initial pretests was to insure that the questions were worded understandably and in the correct Corps planning terminology and that the data requested were in fact obtainable. The final questionnaire is presented in Appendix III.

It is important to note that the information collected from the questionnaire AND PRESENTED HEREIN DOES NOT CONSTITUTE A CONSENSUS VIEW OF EACH DISTRICT OFFICE NOR DOES IT NECESSARILY REFLECT CORPS OR DISTRICT POLICY. Rather, it provides the views and opinions of experienced study managers and/or project engineers. Using this concept of gathering information, the paper focuses on the real public involvement activities now being accomplished. In addition, it was possible to analyze these activities in light of current regulations, policies, and guidelines and to highlight particularly innovative or successful examples of public involvement efforts. Hopefully, these examples can serve as a guide to future effective public involvement activities in all Corps of Engineers water resource efforts.

#### RESPONSIBILITY

In implementing public involvement activities for all types of studies, the Districts are primarily guided by the aforementioned regulations, the Institute for Water Resources Reports and other similar publications. Most of these documents are of a general scope so as to encourage flexibility in District approaches to public participation. This concept recognizes that "there is no single best approach to achieving the Corps public involvement objective"<sup>8/</sup> and that every District and every study is likely to be different.

As a result of the lack of official guidance and the demonstrated importance of undertaking an aggressive public involvement effort, the question arises as to who should be responsible for such actions. Skillful handling of the public-participation activity is a challenge which requires considerable professional skill. There is a need to define the role of the person who is to accomplish this. This should be



done not only for the sake of the various publics; but for the sake of the Corps. Based on an understanding of the type of studies undertaken, it would appear reasonable that such a person should be one who could at a minimum:

1. Identify which issues and problems have such significant consequences that public knowledge, advice and consent should be sought before taking action.

2. Define a reasonable range of feasible alternatives within legal, fiscal, political, environmental, social and resource limitations without reflecting prejudices.

3. Define probable consequences of each alternative and identify the trade-offs between them.

4. Analyze public input to identify public opinion and values from a wide variety of public comments that are often emotional in nature, and not offered in Corps terminology.

5. Evaluate the importance of public input in relation to other decision factors and devise programs to balance all of them.

6. Face the public with recommendations and decisions, explain how they were arrived at, and if necessary, defend such actions.

Using these basic criteria of the role required of the person who is responsible for directing the public involvement process, project managers were asked to whom they assigned this responsibility. These were the responses:

Question: Who is responsible for the public participation program?  
Identify percentage of responsibility.

<u>Person Responsible</u>	<u>Number of Districts Identifying Person as being responsible</u>	<u>Percentage Range of Responsibility as identified by project managers</u>	<u>Average Percentage of Responsibility</u>
Project Manager	33	10 - 100 %	80 %
Public Relations Personnel	19	0 - 25 %	6 %
Outside Consultants	8	0 - 50 %	6 %
Others (including Public Involvement Coordinator/ Specialist, community planner, etc.)	10	0 - 80 %	8 %

Thus the person who most often assumes responsibility for the public involvement programs in most Districts is the project manager. In all but two Districts, the project manager assumes more than 50% of this effort. In reviewing the described role of the person who undertakes such efforts, the responses appear most reasonable. The study manager is the one person who most closely aligns with this role. It must be recognized, however, that the experience of the study manager and the availability of time and funding may be of critical importance to establishing and maintaining credibility necessary to accomplish successful public involvement activities.

Therefore, because of these potential resource limitations, most project managers often seek assistance of additional persons whether they are public relations personnel, outside consultants or other specialists. These persons are capable of maintaining intensive contact

with the public because of their skills and understanding with public involvement activities.

Recognizing that project managers receive some sort of assistance, an effort was made to determine what percentage of their time is allocated to establishing public participation in each particular type of study. Also, project managers were asked to identify percentages of total study cost allocated to these identified public participation activities. Both of these questions are summarized as follows:

Question: What percentage of time (project manager's) is allotted to providing public participation in each particular type of study? What percentage of total study cost is allocated to public participation?

Type of Study	Project Manager's Time Allocated to Public Involvement		Study Cost Associated With Establishing Public Involvement Activities	
	Percentage Range	Average Range	Percentage Range	Average Percent
Feasibility	5 - 50 %	17 %	1 - 30 %	12 %
Small Project	1 - 30 %	13 %	3 - 25 %	9 %
Advanced Planning	5 - 50 %	15 %	3 - 20 %	9 %
Urban	10 - 50 %	22 %	6 - 30 %	16 %

Project managers clearly spend a good share of their time in conducting a public involvement program. The question arises as to what amount of time is sufficient. Based on the understanding of the importance attached to public participation in most Districts, it is reasonable to assume that the time allocated to carrying out public involvement actions is optimized in light of time needed to undertake other study duties.

In research he completed in 1973, James F. Ragan, Jr. determined the level of resources required by the Districts if they were to involve the public. He found that the estimated budget for public participation ranged from 2 to 25 percent of the total budget for the study. At that time the "observations indicated that the figure was closer to 5 percent (except on...urban studies, where the usual allocation is 15 percent)."9/

Although the average percentage of urban studies budgets assigned to public participation has remained fairly constant, the average budgets for public participation in the feasibility, small project and advanced planning studies have increased by about 240, 180, and 180 percent, respectively. Although this increase is consistent with ER 1105-2-800, it appears even more significant when considering that a project manager must also coordinate the additional engineering, environmental, and economic requirements which are now required for all investigations.

The costs of public involvement are very real and do constitute a considerable portion of the overall study budget. However, this expense may be relatively small compared with the total decision-making costs. In evaluating the expense of public involvement, it may look tempting from a budget standpoint to take shortcuts, but doing so can turn into a sad "save now, pay later" experience. Moreover, there are those additional costs that cannot be measured, such as public criticism of agency motives, increased antagonism and opportunity costs of public resources allocated for purposes out of balance with public opinion and views.

## PURPOSES OF A PUBLIC INVOLVEMENT PROGRAM

The purposes of undertaking public involvement actions are only generally listed in existing regulations. For this reason project managers were questioned as to what they visualize as the purpose or importance such a program would serve. The responses to the question are presented as follows:

Question: What purpose or importance do you feel the public participation program serves?

Summary List of Purposes Identified	Summary Number of Project Managers Ranking by Purpose (Priority Ranking With 1 Being the Most Important and 7 Being the Least Important)						
	1	2	3	4	5	6	7
Establishing Support for Project	4	9	6	2	5	4	2
Providing and Receiving Information	11	8	7	3	-	4	-
Meeting Requirements of Regulations	3	7	3	11	4	-	3
Identifying and Evaluating Alternatives	9	5	5	8	4	1	-
Dissolution of Organized Opposition	2	1	4	4	12	4	-
Identifying publics, objectives, problems, needs, etc.	4	2	7	2	3	-	-

As identified on the above figure, the basic perception of the purpose served by utilizing a public participation program varies considerably. Although there is no clear consensus, it is evident that

many project managers view "Providing and Receiving Information" and "Identifying Alternatives" as two of the key functions served by involving the public in water resource studies. Although the questionnaire was not designed to identify all purposes, these data suggest that most Corps personnel readily identify legitimate purposes of public involvement from the Corps perspective. This variance in purposes could probably be due to local differences in issues and in the extent of the experience of the project manager. But the results of the questionnaire could also suggest a lack of clear agency purposes for public involvement in these issues. In this regard, it is reasonable to suggest that future Corps public involvement efforts should be clearly established early in the decision process, thoroughly understood by all Corps personnel and reasonably communicated to the public. At a minimum, this would have a positive effect on Corps efforts to secure public involvement, and on the public's response to those efforts.

#### PUBLIC INVOLVEMENT PROGRAMS

As previously discussed, the Districts are primarily guided by ER 1105-2-800 in implementing public participation programs. This regulation suggests the development of a detailed public involvement program, either in the plan of study or initial document.

Since the regulation is general in scope, each District finds it necessary to develop its own methods for involving the public in each study. Guidance might come from the District or study managers might be expected to develop their own methods based on their own experience. In order to gain an understanding of what is currently practiced, project managers were asked whether they used specific District guidelines in addition to ER's, etc. in formulating a public involvement

program for the various types of water resource studies. Their responses are presented below.

Question: Do you have District guidelines besides ER's, etc., which are used by a project manager in forming a public involvement program for each of the following type studies?

Study Type	Number of Districts In Which Project Managers Use OCE Guidance For Public Participation Efforts	Number of Districts In Which Project Managers Use District Guidance For Public Participation Effort
Feasibility	30	3
Small Project	30	3
Advanced Planning	30	3
Urban	30	3

It is interesting to note that only 3 out of the 33 Districts responding to the questionnaire have developed District guidance to provide public participation in their studies. Of the remaining 30 Districts, 5 project managers indicated that although there are no formal publications, there are accepted and tested public participation programs, techniques, systems, materials, etc., which are used regularly in their studies. These facts become even more important in view of the recommendation in the November 1975 IWR Report "that all Districts adopt their own regulations containing:

1. Objectives and policies
2. Staff responsibilities
3. Requirements for the public participation plan in all Plans of Survey including
  - a. Identification of the two-way information requirements between the District and the public
  - b. Identification of the groupings of publics to be involved
  - c. Definition and description of the public participation techniques to be employed
  - d. Procedures for review and monitoring
  - e. Realistic budget and staff resources

4. Step-by-step guidance for study managers in developing their public participation plans
5. A prototype public participation plan"<sup>10/</sup>

Of the 3 Districts developing guidance to involving the public the most impressive is that adopted by Seattle District. Although currently being revised this regulation is particularly useful to a project manager in helping to identify and establish public participating effort which will create and maintain the credibility of the District in each study area.

Although few specific regulations are available, it was considered reasonable to assume that many project managers might be utilizing and following the information on public participation and involvement published by the Institute for Water Resources. In this regard, project managers were questioned to determine if they were aware of, or had used the four of the more important IWR reports pertaining to public participation. The response to this question is presented in the following figure:



Question: Are you aware or have you utilized the information on public participation and involvement published by the Institute for Water Resources (IWR)?

IWR Reports	Number of Project Managers Aware of IWR Reports	Number of Project Managers Utilizing IWR Reports
IWR Report 75-6 (Public participation in Water Resource Planning)	26	13
IWR Report 70-6 (The Susquehanna Communication Participation Study)	15	5
IWR Report 70-7 (Public Participation in Water Resource Planning)	23	10
IWR Report 75-R4 (Public Involvement in the Corps of Engineer Planning Process)	33	16

The results above indicates that although many project managers are aware of the existing IWR publications, less than 50% of those responding are actually utilizing the information in these studies. One project manager suggested that a majority of information provided in these documents is out-dated and that more useful information could be obtained by requiring project managers to participate in the Synergy workshop program offered through the Corps of Engineers training program.

The existing of few guidelines and documents pertaining to public involvement should not undermine the importance of making public participation an integral part of the planning process. Probably the best way to accomplish this is to develop a public participation plan or program at the beginning of each study, and that it be modified as the study progresses. Project managers were asked if they identified a

public involvement program for use in their planning studies and, if appropriate, if they modified it later. The responses to this question are provided as follows:

Question: Do you identify a public involvement program to be utilized throughout an investigation? If so, is this program evaluated and modified throughout the planning process?

Number of Project Managers Developing a Public Involvement Program in		Number of Project Managers Evaluating and Modifying Public Involvement Program as The Study Progresses
Detail	General	
8	23	30

Nearly all of the project managers responding to the questionnaire develop either a general or detailed public involvement program for their studies. Ninety percent of these managers reported that they evaluate and modify the identified program as their studies progress. However, it is interesting to note that almost 70 percent of the project managers either do not identify a program in detail or do not use any type of program at all. This would seem to indicate that as the studies progress, many project managers often use whatever public participation techniques they can get away with or what appears reasonable, not necessarily which is the best. Without a detailed program it would appear that at a minimum public participation activities would be a hit or miss proposition.

Although most project managers may only develop a public involvement program, in general, it becomes interesting to question what type of tasks project managers feel they should accomplish in order to initiate public involvement activities in their studies. To gain an understanding of these tasks, project managers were asked to identify those tasks they felt were needed when initiating a new feasibility study.

Question: Identify important tasks a project manager should accomplish in order to initiate a public involvement program for a new feasibility study.

Tasks	Number of Project Managers Identifying As Important
Identify, contact, interview and/or involve key publics	31
Set up and adjust mailing lists	24
Develop framework, implement and modify public involvement program	18
Conduct initial public meeting, workshop, etc.	12
Set up various committees	11
Distribute initial information, brochures, newsletters, fact sheets, etc.	10
Meet with local government officials	8
Identify issues, concerns, problems, etc.	6

In summary, although there are few district guidelines pertaining to public participation which help direct project managers in most studies, the above list does suggest a general consistency placed by project managers on the type of tasks which are considered necessary for initiating public involvement activities in feasibility studies, although it is also reasonable to assume that similar tasks are also accomplished for other type studies.

It is apparent that the most important tasks are the identification and involvement of key publics and the establishment of a complete mailing list. It is important to recognize that these actions should occur early in the planning process. Such early involvement could help to enhance the credibility of the project manager with the public. In addition, it is interesting to note that more than 50% of the project managers responding consider it important to establish a detailed public

involvement program, however as shown, few actually accomplish this. From the variety of public involvement actions listed, it may be further concluded that project managers should not limit their action to one or two activities. By expanding public involvement actions early in each study, it should be possible to provide a suitable forum through which the general public can respond. In this regard, it is necessary for the Corps to identify and utilize certain techniques which they deem appropriate for getting public input into the problem definition stage as preparation for subsequent collection of input from the general public. The next section will deal with this point specifically.

## THE PUBLIC INVOLVEMENT PROCESS

### GENERAL

The collection portion of each particular study includes all of the varied processes which yield input from citizens. The quality and usefulness of the input is influenced strongly by how this is carried out.

Collection includes efforts to inform the public about problems and alternatives so they can react in meaningful ways. It also includes efforts to solicit and record citizens' views about what courses of action they prefer. A wide range of collection activities may be used. Advisory committees, public meetings, contacts with the key professional contacts, workshops, letters, opinion polls, surveys, etc. are all possible sources of public views.

There is not a single "best way" to obtain public input for all studies. The importance of each collection activity varies with the problem and with local and regional conditions. To best serve decision-making purposes, a balanced program of collection activities is needed.

The objective is to collect a broad range of views, ideally from all who are interested or affected, and practically, from as many of them as possible.

The importance of considering the use of all possible techniques, and selecting a group or package of techniques suited to the problem at hand cannot be stressed too strongly. No technique is right for all cases. Every technique has strengths and weaknesses and only a combination can do an adequate job; a tailor-made approach is needed for each study problem.

In addition to providing additional ideas and alternatives, the input also must be collected in a form that can be analyzed and evaluated as a measure of public opinion and values.

#### SUMMARY OF SELECTED PUBLIC INVOLVEMENT PRESENTLY USED BY THE CORPS OF ENGINEERS

A portion of the questionnaire was designed to gain an understanding of the general type of techniques that project managers utilize in obtaining public participation. Each of the 33 project managers responding has employed at least 8 of the 15 different techniques to identify goals and desires, information and ideas and areas of differences and potential consideration of mitigation. The type of techniques and the percentage of the project managers that have used them are identified below:

Question: Do you regularly utilize the following types of public participation activities to accomplish the following?

Percentage of Project Managers  
Using Public Participation  
Activities to Identify

Public Participation Activities	Goals and Desires	Information and Ideas	Areas of Differences and Potential Mitigations
Newsletters, information sheets, brochures, etc.	61	91	52
Field Trips	58	76	55
Radio/TV	21	52	10
Magazine Articles	12	15	6
Newspaper Articles	42	70	30
Public Meeting	91	85	91
Citizens Committee Meetings	61	67	64
Questionnaires	24	36	18
Sample Surveys	12	21	10
Informal Contacts	91	88	85
Study Group Discussions	55	52	55
Workshops	88	88	88
Task Groups	33	33	33
Delphi Panel	3	3	3
Report Review	3	3	3

The techniques used most frequently appear to be public meetings, informal contacts, workshops, newsletters, (or something similar) and field trips. This list contrasts with the type of techniques which were identified as being utilized in 1973 (IWR report 75-6). For that study, the top five public participation techniques employed were public meetings, advisory committees, media content analysis (e.g. newspaper articles, etc.), informational brochures, and public speeches. Only the public meeting technique has remained as one of the leading techniques utilized. This is probably the result of the existing regulations which require at least two public meetings to be conducted during a particular type study.

It is not enough just to identify or list the type of public participation techniques used by most project managers. Doing so could result in the misapplication of and expectations from those techniques in future studies. In this regard, the project managers were asked to identify what they consider as successful as well as unsuccessful past practices. The results of this analysis are presented in the following figure.

Question: Identify from the list of techniques which ones have been the most successful.

Public Involvement Activities Identified as Being Most Successful or Unsuccessful	Number of Project Managers Identifying These Activities
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Successful

Public Meetings	16
Workshops	19
Field Trips	16
Study Group Discussions	6
Newsletters, fact sheets, etc.	8
Informal Contacts	18
Citizen Committees	10

Unsuccessful

Questionnaires	5
Newsletters, fact sheets, etc.	7
Magazine Articles	6
Newspaper Articles	7
Public Meeting	8
Radio/TV	7

Although it is apparent from the responses obtained that public meetings, workshops, field trips, study group discussions, newsletters, informal contacts and citizen committees have proven to be very useful on particular studies, the comparison of this and the previous tabulation can be very confusing. This results from the fact that some project managers reported success with certain techniques (e.g. public meetings and newsletters) while other study managers reported that the same

technique had been unsuccessful for them. This response identifies an important concept in development of any public participation program. It is necessary that there be sufficient flexibility in the use of public participation techniques in order to be tailor-made to each situation such that the effectiveness of decision-making is enhanced. In this regard, it is advisable to develop specific criteria for the analysis of public input, not only for the specific study for which the input was collected, but also for the guidance of future study efforts.

With respect to the concept of analyzing public input, the project managers were also asked to identify what public participation techniques they would like to try in future study efforts. The four techniques which they mentioned most often follow:

Question: Identify from the list of techniques which one you would like to try.

Public Participation Activity	Number of Project Managers That Would Like to Use This Technique
Delphi Panel	7
Sample Survey	6
Questionnaire	5
Radio/TV	4

Comparing these activities to the previous question suggest that of these four, the only technique which stands out as having potential is the use of the Dephi Panel. Although only identified as being used once, the Delphi Panel does have an advantage when:

"1. The participants are busy and frequently cannot attend meetings (they complete the questionnaires at their leisure).

2. The study has limited funds (planner time is involved in preparing, analyzing, and distributing questionnaires, but not in travel and meetings).



3. The planner is not under tight time pressures (completion of the series of questionnaires may take up to six months).

4. There is a history of ineffective communication and alienation among the participants.

5. Anonymity is important (people don't want to be quoted personally).

6. There is great geographical distance involved."<sup>11/</sup>

#### GENERAL ISSUES RELATED TO COLLECTING PUBLIC INPUT

The following paragraphs discuss in general, the major types of issues which are important in relation to collecting public input. These include but are not necessarily limited to keeping track of correspondence, identification of key publics, visual aids used, feedback, local, regional and national input, extent of public involvement, public involvement and political relationships, lead time necessary for public involvement and overworking the public. Each of these issues are briefly discussed.

1. Keeping Track of Correspondence. One of the most important parts of developing a public involvement program is the establishment of effective practices for keeping track of correspondence. Many agencies have developed procedures which are specifically designed to subsequently store, retrieve and summarize data as needed. One such system that is used very effectively was developed by the U. S. Forest Service. This system is called Codinvolve.

To ascertain what type of procedures the project managers rely on in order to keep track of correspondence, the questionnaire included a question on documentation of correspondence. A summary of the project managers' responses is given as follows:

Question: How is correspondence documented?

Method Used to Keep Track of Correspondence	Percentage of Project Managers Utilizing Methods
Correspondence Logs	45
Main Files	91
Project Managers' Files	73
Study Documents, Meeting Minutes, etc.	15

Basically, it appears that most project managers utilize at least two of the above methods. It is interesting to note, however, that the three project managers not utilizing a main file system utilize the project files as a substitute. It should also be noted that all project managers place selected correspondence from all publics in the significant study publications.

2. Identification of Key Publics.<sup>12/</sup> "Water resource development impacts broadly on people with different philosophies and points of view and on plans, programs and aspirations of other agencies, groups, organizations and individuals. Public participation must reflect this broad impact. Every effort must be made to identify and bring into the process influential groups and independent individuals (those who do or can significantly influence decisions as well as those who can actually make them.)"<sup>13/</sup>

Although this was stated in a 1971 publication, the statement remains important today, because without the identification of the publics involved, the planning process cannot operate effectively.

Identification of publics is an effort to determine who will be communicating in the study and entails not only an inventory of agencies, organizations, individuals, and influentials, but also an understanding of the institutional structure. In addition, organized groups existing within the study area should also be inventoried.

Although those groups with special interests related to the existing problem and potential solution are obvious, clubs, and organizations including civic groups, etc., should all be considered. In identifying publics, considerations to be kept in mind are that:

a. efforts should be made when identifying the publics to consider those previously dealt with and those with whom working relations will be needed for effectiveness of the study.

b. identification of publics should be made throughout all stages of the planning process.

c. the potential for the formation and use of voluntary organizations.

d. the publics often change during the course of the study.

There are a number of techniques available for identifying publics. The techniques which can be most successfully followed depend on time, staff, and budget limitations, as well as the particular nature of the study itself. Basic approaches to identification are usually described as: self-identification, staff identification, and third-party identification. It is likely, and probably desirable, for the project manager to use all three approaches to adequately identify publics in the particular study.

To gain an understanding of how key publics are identified in Corps studies, project managers were asked to discuss what techniques they utilize. Response to this question is summarized as follows:

Question: How are key publics identified?

Key Publics Are Identified From	Percent of Project Managers Utilizing This Method	Type of Identification
Informed local sources	42	Self Identification
Experience	15	Staff Identification
Press Releases (Responses), Newspaper Articles, etc.	21	Self Identification
Participants on Another Study	21	Self Identification
Correspondence Files	18	Self Identification
Attendance at Public Meetings, Committee Meetings, etc.	24	Self Identification
Telephone Directories, Chamber of Commerce Lists, etc.	12	Staff Identification
Field Trips	6	Self Identification

Although there are a variety of methods utilized to identify key publics, it appears that methods most used are those of self-identification. Such a method does not help to involve interested publics with very little cost and effort by the Corps.

3. Use of Visual Aids. All public participation techniques used by the Corps should be designed to create an understanding. Visual aids, if used correctly, will help to increase this understanding.

Visual aids can:

- a. create and retain interest
- b. increase clarity in meetings
- c. increase retention of material by audience
- d. provide a better chance for motivation and action by the audience
- e. increase attendance at meetings (if publicized)
- f. provide help to speaker 14/

Although visual aids can improve understanding, too many visual aids can complicate and confuse rather than clarify information presented at meetings. Therefore, selection of visual aids should be limited to those which are necessary and those which will help improve the quality of the particular presentation. In this regard, project managers were questioned according to what types of visual aids and/or

handouts were utilized at various meetings. The project managers' responses to this question are identified in the following figure.

Question: What type of visual aids and/or handouts do you use at the following type meetings?

Percentage of Project Managers Utilizing  
Visual Aids or Handouts at

Type of Visual Aid or Handout	Citizen Committee Meetings	Workshops	Public Meetings	Discussions
Brochures	42	76	64	33
Tables	67	76	67	70
Graphs	64	73	70	67
Maps	70	88	79	70
Outlines	36	45	27	33
Slides	55	76	79	55
Overhead	39	61	42	48
Movies	9	12	3	3
Displays	45	61	61	42
Other: aerial photos, information packets	3	6	6	3

Each visual aid has its own particular merits which is dependent upon the type, subject, and purpose of the meeting. In addition, the timing, money, location and the audience each can effect what type of visual aid is chosen. However, at a minimum, it is desirable to construct visual aids to stress the major points of the meeting. "The visual aid should have appeal as well as being technically correct."<sup>15/</sup> The prime question remains as to which visual aid will do the best job of illustrating the points in the presentation.

In relation to the previous question, project managers were asked to help provide general guidance as to what types of visual aids have proven to be more effective in their studies. A list of the visual aids identified are presented as follows:

Type of Visual Aid/Handout	Percentage of Project Managers Indicating Importance of Visual Aid/Handout
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Maps	40
Brochures	55
Slides	55
Displays	15
Overheads	9
Tables	12
Graphs	9

Brochures, slides and maps have been utilized effectively in various studies. Therefore, particular attention should be given these types of aids by study managers.

4. Feedback. One of the most important aspects of public involvement is providing feedback to the public. The public must be told what public input was received and how the Corps used it in the decision-making process. In cases where decisions conflict with major public sentiment, it becomes even more important to explain why the decision was made. In addition, without detailing public opinion, it appears that every special interest group believes that most of the public is supportive of its position. This apparent fact makes the success of the various water resource investigations difficult.

One final note on feedback is about timing. It is reasonable to assume the more prompt and complete the Corps is in providing feedback, the more effective and responsive the Corps will be in their studies.

To gain an understanding of whether feedback is provided to the public, project managers were asked that particular question. One hundred percent of the project managers responding do provide feedback to the public on how citizen input was incorporated into the decision-making process. However, the manner by which this was documented varied considerably between project managers as shown in the following figure.

Question: Do you provide information (either written or oral) to the public on how citizen input or feedback will be incorporated into the decision-making process? Please identify how this is documented.

Methods Used by Project Managers to Provide Feedback to Public	Percentage of Project Managers Using This Method
Public Meeting Announcements, Statements, and Transcripts	73
Newsletters, Fact Sheets, Brochures, Bulletins and Handouts	45
Minutes of Meetings	24
Reports, Transmittal Letters to Reports, and Working Papers	18
Correspondence (including memorandums and letters)	15
Phone Calls	9

There appears to be some inconsistency in responding to individual input. Some project managers acknowledge and respond to every written input while others rely on the minutes of committee meetings, workshops, etc., to provide general feedback to the public. Still others prepare reports, information bulletins, fact sheets, etc., to discuss how public input is utilized. The most popular method utilized by project managers is associated with the notices, statements and transcripts made prior and during the public meeting. The problem of using a public meeting to supply feedback occurs when few people attend or appear interested in their results. In this regard, several project managers provide by telephone, letters, etc., "here's what you said" information. Although time-consuming and costly, the credibility of Corps personnel is often greatly enhanced.

5. Local, Regional and National Input. It is often recognized that most of the public involvement efforts of the Corps often stimulates overwhelming local input, a little regional input and virtually no national input. This, however, is a complex issue. First, it must be

recognized that a considerable amount of national input is available through Congress, the White House, Executive Departments and lobbyists, as well as from the Washington Offices of the Corps of Engineers, particularly on broad issues affecting large river basins.

Second, issues vary in their inherent scope of interest. For example, a specific local levee protection project is of interest to few citizens beyond the local area. Even most problems that stimulate national interest have a core area of higher interest. The key questions concerning the extent of public involvement seems to be as follows:

- (a) How large an area should be covered in publicity efforts?
- (b) What types of collection techniques should be used?
- (c) What special techniques are needed to stimulate national input on issues of broad national concern or intense regional interest? Also, is this national input necessary?

The answer to these questions is not evident but it appears that the types and efforts used by a project manager in involving the public may provide some sort of a clue to solving this problem.

Since public meetings and workshops are two of the most popular types of collection techniques used in the Corps of Engineers, it may be well to further elaborate on the attendance of various interest groups which dominate such meetings. Although exclusive reliance on meetings makes it more difficult for other than local people to participate, this may help to guide the national, regional and local input efforts in the studies conducted by the project managers. Based on the results of the questionnaire, as identified below, the interest groups that dominate meetings appear to be affected landowners, local elected officials and environmental interest groups. Therefore, it may be well to adopt additional collection techniques to incorporate the national input and any additional regional input, as appropriate.



Question: What interest groups dominate attendance at your local meetings?

Interest Groups in Attendance	Percentage of Project Managers Identifying These Groups
Local elected officials	40
Local (non-elected) leaders	15
Private individuals	24
Environmental Interests	55
Landowners/affected public	35
State and Federal Representatives	27
Developmental groups	15
Others	18

6. Extent of Public Involvement. There are no clear goals in terms of the numbers of people or proportion of the population the Corps should seek to include in various kinds of public participation efforts.

The ideal would be for every affected or interested citizen to be involved, but it is clear that even the best efforts will fall far short of this. However, substantial involvement is desirable and therefore, the more people that are involved, the better.

As the number of people increases, the chance decreases that a vitally affected interest will be unheard or underrepresented. More people involved means a wider range of viewpoints, and a greater chance of acquiring new ideas or new bits of information. More involvement can result in better acceptance of a final decision, because fewer people will feel they were excluded. Also greater involvement lends credibility to the whole effort.

7. Public Involvement and Political Relationships. Success of Corps' programs and policy depends on the understanding and support of elected officials. The use of public input in program formulation and decision-making can help achieve this. If elected officials are aware of public opinions and values, as reflected by input gathered by the

Corps through public involvement, it will affect their thinking about the Corps' programs and proposals.

Every effort should be made to develop public-involvement processes that will yield valid and credible public input which both the Corps and elected officials can believe, and to which they can respond. The questionnaires that many congressmen send to their constituents indicate the importance they attach to knowing what their public thinks. Good public involvement can provide a more accurate, dependable picture of the public's thought about water and related management issues. This information should be kept visible and used when dealing both with the public and with elected officials.

8. Lead Time Necessary for Public Involvement. No hard-and-fast rules can be given for deciding how much time should be allocated at each stage of the public involvement effort. The time required for making the public aware of the problems, for giving them relevant information, and for receiving their input tends to increase (1) as the problems become more complex and controversial, (2) with the existence of organized, opposing interest groups, (3) as the decisions become more nearly irreversible, (4) as the scope of potential public interest becomes larger, (5) as the land area directly affected by the decision increases, or (6) if the season of the year affects the public's ability to participate effectively. If the decision is one that includes a reasonable chance for people to visit the site, this will require additional time. Therefore, substantially more time will be needed to discuss problems with the public and to arrive at some decision.

When the public is requested to participate on too-short of notice the amount of local and non-local input is reduced to a proportionately greater degree and subsequent public involvement efforts may be hampered.

Thus, all Corps efforts should provide adequate time coupled with adequate information to permit the public to assist the Corps in their study effort. However, excessive lead time can also cause a sag in interest and can eliminate any sense of urgency. Therefore, care should be taken to provide only a practicable amount of lead time.

9. Overworking the Public. There can be some concern for "overworking" the public by involving them too frequently, or with trivial problems. Although the danger of overworking the public is possibly valid, the recent push for extensive public input in mapping the general water resource plans will probably reduce the need for future public participation implementing specific management decisions. So long as activities and procedures conform to allocations and management direction already established with public help, much of the public involvement task will consist of reporting what the Corps is doing and how it's working, and attempting to sense major changes in public sentiment. Thus, the danger of overworking the public will continue to diminish overtime.

#### ANALYSIS OF EFFECTIVENESS OF PUBLIC INVOLVEMENT PROCESS

##### GENERAL

For the best and most successful study, a public involvement program should be carefully developed, utilizing a variety of selected techniques inserted in the study at the proper time. But the question becomes one of how can a project manager decide and appraise the quality of his public involvement efforts? Certain signals may help him to decide how to collect public input, how to present information to the public, etc., but some of these indicators may have a limited, or even spurious relationship to the true quality of the involvement effort. Therefore,

prior to analyzing successful and unsuccessful studies completed to date, it is well to briefly review these indicators in order to provide general guidance for future study efforts.<sup>16/</sup>

Volume of Input. A simple and obvious variable is the amount of public involvement. But does the quantity of public involvement reflect its quality? Volume may indicate interest, but it also is subject to a variety of pressures that can make it a misleading measure of input quality. Last-minute calls for action by interest groups can result in an outpouring of response. Both quantity and quality are important. Either by itself is insufficient. A large volume of input might indicate "good" public involvement, however, sparse input may or may not indicate "poor" involvement as it might result from genuine lack of citizen concern or from a poor job of informing the public.

Abatement of Polarity. A second indicator of "good" public involvement is the extent to which it reduces polarization of public opinion on an issue. Public involvement may help reduce polarity by enabling people to see other sides of the problem; or it may accentuate polarity by encouraging debate between opposing views. Is reduction of polarity an objective of public involvement? Many of the issues concerning water and related land resources are inherently controversial, and debate will continue regardless of how project managers attempt to balance their study efforts. Still a desirable effect of good public involvement might be some reduction in polarity, as opposing groups realize the concerns of one another, develop a degree of mutual respect and accept the necessity of compromise. However, the continued presence of polarity cannot be viewed as an indicator of poor public involvement as long as there is an agreement on the common goals to be achieved.

Representation. Typically, there is concern that public input does not represent the total population, and thus is a poor or invalid indicator of actual public sentiment. The issue of representation is poorly understood and, in fact, has become something of a "red herring." Representation cannot, by itself, serve as an adequate index of good public involvement.

Representation is one measure of the quality of public involvement. Basically, the concern is with obtaining input from all those groups that will or could be affected by a given decision, rather than representation of the population at large. The Corps is vitally concerned with acquiring representation of all interests that will be affected by a decision. Increasing the breadth of the studies probably will lead to wider impact on a broader cross-section of the population. But it is generally unrealistic to expect public comment from persons who will be unaffected by the issue at hand, or who view themselves that way.

New Information. "Good" or "quality" input often is referred to as the public's supplying new information to project managers. Citizen-supplied data regarding history, archeology, etc., is valuable, and its input should be encouraged, but it is a bonus - a side benefit. The public cannot and should not be looked upon as a source of resource inventories or of other basic data which are the responsibility of the Corps' staff. Public input is principally a guide to the values people want to see embodied in the management of the water and related land resources. The absence of new information supplied by the public in no way reflects "poor" public involvement.

Decision Modification. The common assertion that the "Corps already knows what the public wants" is often inherent in studies.

However, many times a particular alternative which is expected to win public support has emerged markedly changed after public input and analysis. The hazards of professional bias and selective perception are clearly reflected in such instances. When alterations in the anticipated decision result from public involvement, that provides another measure of its success. However, the absence of such change may not necessarily reflect poor public involvement. It could result from project managers already being in tune with public sentiment.

Acceptance of Decisions. Many legislative and judicial challenges have occurred in recent years. In some cases, they have overturned decisions or required the Corps to re-examine issues. The decisions' failure to adequately reflect public views and interests often has been at the root of these challenges. Improved public involvement promises to lessen the likelihood and the severity of ex post facto confrontations. Thus, the absence or decrease of challenges often is seen as a principal indicator of "good" public involvement.

But, citizen, legislative, or judicial challenges of a decision does not necessarily suggest a bad job of involving the public. The most sincere and professional job of securing and utilizing public input will not insure that a decision will escape challenge, although generally it should minimize the number of challenges and their success. When decisions backed by extensive public involvement are challenged successfully, they may provide important clues about the proper importance to place on public input and other data in the future.

Again, as for the criteria previously discussed, it could be concluded that while challenged decisions may indicate poor public involvement, the absence of challenges does not necessarily suggest good public involvement.

Sources of Expertise. A diversity of skills and information is needed for effective public involvement. Public involvement draws on techniques and concepts from many fields--communications, environmental education, political science, sociology, geography, economics, engineering and much more. No one field has all the answers; it is the careful blending of the right concepts and techniques from the right area of expertise that will insure success in public involvement.

Development of any central guidelines for public involvement must draw on skills of many fields. The problems and confusion often found surrounding analysis and evaluation of public input may indicate that current guidelines have drawn on too narrow a range of expertise. The ability to collect input (inform and involve) overshadows the ability to process and use it. The need for conceptual and analytical contributions to current Corps instructions and guidelines is apparent. Future attention should correct this.

Since many fields have developed concepts, approaches, techniques and procedures which can improve public involvement, the problem is one of selecting, modifying and evaluating those that may be useful to the Corps. Therefore, the most useful research should not seek to extend existing basic knowledge. Instead, it should carefully evaluate each new application of ideas from other fields to see how they serve resource decision-making.

#### SUCSESSES

The introduction to this section discusses some of the indicators which could be used to evaluate the effectiveness of project managers utilizing various public involvement efforts to undertake and complete water resource studies. Unfortunately, these indicators are difficult

to measure. In lieu of analyzing all study efforts in detail, the questionnaire was structured to help identify a few studies in which they believe a public participation program had been used successfully and to identify reasons for that success. The following figure presents a general representation of those responses. Some modifications were needed to adjust the reasons why the study was successful in order to agree with the identified indicators.



Question: Name a study for each category in which a public participation program has proved successful or unsuccessful. Why do you consider the studies successful or unsuccessful?

Study Type	Location of Study (District)	Study Name	Reason for Success
Feasibility	Albuquerque	Middle Rio Grande	Volume of input Representation (1)
	Charleston Fort Worth	Charleston Harbor Beazos River Salt Study	
	Galveston	San Diego Creek	Representation
	Huntington	Logan/Nelsonville	Representation
	Jacksonville	Manatee Harbor	(1)
	Little Rock	Fourche Bayou	Representation
	Los Angeles	White Water River	Representation
	Louisville	Bear Grass Cr., Ky.	(2)
	Mobile	Village Creek	Sources of Expertise
	New Orleans	Redbank and Fancher Creek	
	New York	Green Brook, N.J. Elmsford, N.Y.	Representation Representation
	Omaha Pittsburgh	Boulder Creek (3) Kisiminetas River Basin, Pa.	Abatement of Polarity (2)
	Portland	Portland-North Portland Area Study	Representation
	Sacramento St. Paul	Cache Creek Root River	Volume of input Decision Modification Abatement of Polarity Representation
	Savannah	Lake Lanier Restudy	Decision Modification Representation
Tulsa	Mingo Creek	Abatement of Polarity (1)	
Walla Walla Wilmington	Big Wood Dan River	Representation Representation	
Small Project	Charleston	Leith Creek	(1)
	Louisville	Clear Creek, Ohio	(1)
	Mobile	Brewton-E. Brewton	Sources of Expertise
	New York	Montpilier, Vt.	Representation
	Seattle	Amak, Wa.	Decision Modification
	Tulsa	Haikey Creek	(1)

Study Type	Location of Study (District)	Study Name	Reason for Success
Advanced Planning	Galveston	Clear Creek	Representation
	Huntington	Newark: Log Pond Run	Volume of input
	New Orleans	Red River Backwater Project	Representation
	New York	South Orange, N.J.	Representation
	Omaha	Chatfield Channel	Abatement of Polarity
	Philadelphia	Potistown Flood Control	Volume of input Abatement of Polarity
	Pittsburgh	Clarion River Basin, Pa.	(2)
	Sacramento	Cotton Creek Project	Representation
	St. Louis	E. St. Louis and Vicinity	Volume of input
	St. Paul	Harding Ditch	(2)
	Seattle	Sheyenne River	Decision Modification
	Tulsa	Skagit River, Wa.	(1)
	Vicksburgh	Ancadia Creek	Decision Modification-Representation
	Walla Walla	Tensas Basin	Decision Modification-Representation
Urban	Baltimore	McMary 2nd Powerhouse	Decision Modification-Representation
	Baltimore	Binghamton Wastewater Management	Acceptance of Decision
	Ft. Worth	Colorado River Wastewater Mgmt.	Representation
	Huntington	Huntington Metro	(4)
	Mobile	Tenn-Tom Corridor	Sources of Expertise
	Nashville	Land Treatment	Acceptance of Decision
	New Orleans	Pine Bluff, Arkansas	Representation
	Omaha	Omaha Urban	Abatement of Polarity
	Philadelphia	Metro Chester Creek Basin	Volume of input Sources of Expertise
	Pittsburgh	Metro Wheeling, W. Va.	Sources of Expertise Decision Modification
	Portland	Portland-Vancouver Metro	Representation Volume of input
	Savannah	Atlanta Urban	Representation Abatement of Polarity
	Seattle	Seattle-Spokane, Wa.	Decision Modification
	Tulsa	Tulsa Urban	(1)
Walla Walla	Boise Urban	Representation	

(1) not given; (2) in early study stages, but success is anticipated;  
(3) part of South Plate Metro Study; (4) successful in sub-planning areas

This response generally reflects the opinion of only one project manager in each district and, therefore, does not provide a complete listing of studies which have used successful public involvement programs. Even so, the list is probably still indicative of the limited number of studies which do exist and are available to project managers as guidance for involvement of the public in future study efforts. It is apparent that each study in order to be successful does not have to satisfy all of the indicators of a good public involvement effort. However, the study effort must provide the understanding and the flexibility necessary to permit identification of the potential problem areas and to recommend a course or courses of action to guide and incorporate sufficient public involvement in the study.

In summary, the key to undertaking and completing successful studies is to develop a detailed program and to maintain and modify that program through utilization of specifically identified monitoring and evaluating methods. However, one of the difficulties of participatory planning is that it is unpredictable. The point has not been reached that a project manager can choose a specific program and techniques and be certain that it will work for a particular study. However, the specific program and techniques can be knowledgeably chosen which will help the project manager to involve committed citizens and to provide guidance in controlling the variables which often dictate a successful or unsuccessful study effort. The solution to this effort is found in planning. Corps project managers must recognize this and in so doing, develop the basic expertise and experience of the philosophy, concepts, techniques and procedures underlying the planning process which is necessary to achieve full support of public involvement throughout the Corps and adequate intergration of public input within the decision-making process.

## UNSUCCESSSES

The quality of public involvement efforts depends on a variety of factors including:

- "a. Well developed objectives and policies
- b. Committed District Personnel
- c. Facilitative organization
- d. Clear assignment of responsibilities
- e. Adequate resources
- f. Well developed participation plans for each study
- g. Regular and systematic program review and monitoring."17/etc.

If undertaken in an appropriate manner, the discussed indicators will identify successful and effective public participation efforts. However, there are many problems which can often occur during the course of a study that cause a study to be unsuccessful. Some of these problems occur as a result of various constraints placed on the project manager because of existing Corps practices; others are created by the public atmosphere existing prior to or generated by the study effort. In order to gain a better understanding of these problems, project managers were asked to identify what they consider as the major obstacles hindering successful studies and the corresponding effective public participation efforts. The results of this analysis are presented as follows:

Question: Without naming specific studies, from your perspective, what are the major problems you have had in undertaking and completing a public participation program?

Major Problems	Number of Project Managers Identifying Problems as Being				
	Very Significant	Significant	Normal	Less Significant	No Significance
<b>Public Originated Problems</b>					
Public Apathy	9	12	11	1	-
Lack of Public Understanding	-	2	-	-	-
Changing Publics	1	1	-	-	-
Over Commitment of publics	-	1	-	-	-
Other	2	-	1	-	-
<b>Corps Originated Problems</b>					
Study Time Delays	10	10	7	5	1
Staff Capabilities	2	8	16	4	3
Inadequate Monitoring and Evaluating of Public Involvement	-	6	12	10	5
Lack of Developed Public Involvement Program	-	5	9	10	5
Lack of inhouse Assistance	1	-	-	-	-
Insufficient Funds	1	2	-	-	-
Other	1	6	-	-	-

It is apparent from the figure that there is not a consensus by project managers as to the problems hindering successful studies.

However, the problems identified do suggest that a combination of public

and Corps originated problems probably exist which, at a minimum, seriously effect the ability of project managers to involve the public in the way or to the extent they desire.

When analyzing specific studies, the problems suggested by project managers are inherent in the indicators to this section of the report. Therefore, keeping these indicators in mind, the project managers were further asked to identify the reason why the particular studies they were familiar with were unsuccessful. The most apparent reasons were the lack of a public participation program to abate the polarity of the public involved, the inability of the decision to be modified to better agree with the publics' wishes, and the lack of the representative public to become actively and continually involved. In addition, project managers were asked to suggest potential solutions to at least ameliorate these unsuccessful study efforts. Although several project managers stated there are basically no solutions unless a mandate can be made to govern both public and Corps activities, the majority of project managers identified the following potential solutions to improve the study efforts:

- Improvement of skills and training of project managers in public involvement efforts.
- Development of specific methods for analyzing and evaluating public input.
- Identification of a basic approach and the development of a complete public involvement program specific to each study.
- Development of inhouse team approach through assistance by public affairs office.

Each of these solutions are very general and, therefore, are expanded upon in the following paragraphs.

## IMPROVEMENT OF SKILL AND TRAINING

Many project managers in the Corps of Engineers are highly skilled and very capable of carrying out specific actions dealing with the public. However, more high-quality interpersonal and communicating skills are needed to improve public participation efforts in the Corps studies. These skills must be sought through training, recruitment and professional education that recognizes the importance of such skills to successful management of the water and land-related resources.

The skills to be developed should not over-emphasize interpersonal communications at the expense of other important aspects of public involvement such as objectives, philosophy, concepts, methods of analysis, evaluation of public input, etc. Such over-emphasis on interpersonal skills may be due to the approach of project managers in using meetings as the primary techniques for securing public involvement. Perhaps the key to obtainment of those skills is to not aspire to become the "smoothest" but instead, to be the most sincere, thoughtful, sensitive, and analytical about the public involvement process.

Based on the review of what is currently taught in the government as well as the universities, it is suggested that project managers should improve their skills in public involvement efforts by participating in at least one of the following activities:

- a. Synergy - U. S. Army Corps of Engineers
- b. Short Courses offered by various universities
- c. etc.

## ANALYZING AND EVALUATING PUBLIC INPUT

Effective analysis of public input depends upon project managers utilizing appropriate techniques. Such techniques are varied according to the amount and complexity of input received, the type of collection

processes employed, and the capability and training of available personnel. Basically, the Corps presently uses three methods of analyzing public input. These include:

(1) Intuitive Analysis. This is a subjective interpretation of the public statements. It is based on comments both written and verbal and often interjects biases and generalization into handling public sentiment. It is an important part of the decision-making process, but it should be backed by data and incorporated into an objective process.

(2) Simple Tabulation Analysis. This is a method of analysis such that the public input is tabulated into categories based on the opinions expressed. Although this type of analysis is often rough, it does provide a valuable check against biases inherent in intuitive methods of analysis. However, simple tabulation does not cope with the complexity of public input or describe input according to many important dimensions.

(3) Content Analysis. This method summarizes opinions and suggestions according to the number of persons expressing them and any other important variables. Content analysis in its various forms provides for a more comprehensive view of public input and interpretation in greater depth. If utilized in an appropriate manner, this method provides for a systematic and objective procedure and produces visible data which can be repeated reliably by independent analysts.

Assuming that the collection process has been adequate, the usefulness of public-involvement data to the project manager will depend largely upon its analysis. Therefore, as more objective systems for analyzing public input are put into practice, project managers at all levels will be more able to consider the importance of public input



compared to other factors, to make better decisions, and to support them both to the agency and to the public. Also, if analysis is a visible and traceable process, it will add credibility to the entire public involvement process. This is necessary to stimulate the public to provide decision-makers with the kind of information they need to make the best decisions.

One of the better methods to analyze public input was developed by the U. S. Forest Service. This method is called Codinvolve.

"Codinvolve is a flexible content-analysis system specifically specifically designed to analyze public input and subsequently to store, retrieve, and summarize data as needed. The Codinvolve process provides for quantitative (coded) summaries of the opinions expressed (how many opinions for or against certain issues), and qualitative descriptions of reasons given to support opinions. The system utilizes key-sort cards and needle-sort methods to handle moderate amounts of input. These methods and/or computers can be used to deal with large quantities of input or very complex issues and opinions. A major advantage of this system is that it provides storage and retrieval of information for use at some time in the future, such as in multiple-use planning or special-area management.

The system was designed specifically to meet the criteria desired for analysis of public input. Those include flexibility, reliability, visibility, continuity, and the ability to handle qualitative as well as quantitative input.

Codinvolve makes it possible to supplement simple tabulation of opinions with comprehensive content analysis to further describe public sentiment. For example, the type of public input (letter, oral comment, petition, etc.) can be identified; the origin of input can be tabulated according to residence and organizational affiliation; the reasons for support or opposition can be summarized; public input can be arrayed according to the respondents' interest as indicated by his comments. Alternatives can then be considered in light of positions and reasons given by the various interests. Also, other affected interests who have not expressed themselves can be identified and their views solicited.

Decision-makers can then relate the opinions expressed to each interest's numerical and political strength when seeking balanced programs and minimized conflicts. For example, when viewed according to interest, the opinions on a given issue may indicate that mass recreationists, recreation-vehicle users, resource industries, hunters and fishermen favor one alternative. Opponents might be hikers and preservationists,

with only a few inputs from other parties whose programs also will be affected (such as water users or youth and civic organizations). This indicates that the latter groups should be contacted for their comments."18/

Following the development of a method designed to analyze public input, there must be an evaluation of this input. Basically, evaluation is a subjective interpretation of the importance of various kinds of public input and the integration with other factors in reaching an ultimate decision. There is no set formula to guide it. However, several concept can be used to provide for consistent, high-quality internal performance and for external acceptance of the use of public input. These include the following:

- clarification of assumptions
- substantiation of judgments
- adoption of appropriate weighting factors
- full disclosure of recommendations and decisions, both internal and externally

Finally, one of the most important barriers to full and effective public involvement is inconsistency in evaluating and using public input. Achieving consistency in evaluation depends on development of a specific documented district policy.

#### IDENTIFYING A COMPLETE BUT SPECIFIC PUBLIC INVOLVEMENT PROGRAM FOR EACH STUDY

The practical problem of coordinating public forces for water and related land resource management is of great significance to the Corps. This problem can only be solved by improving communications between project managers and the public and by utilizing various public capabilities. To accomplish this requires the identification and development of a sound strategy and/or program of coordination and communication for each study. Such a program of involving the public should not only deal with the apparent problems but also provide the

flexibility to handle future problems. The final selected program should be designed to provide an opportunity for all interested persons within a particular study area to become informed in areas of problem identification, development of planning objectives, formulation and evaluation of alternatives, and identification of the best overall plan while still permitting the study to adequately address the views of the citizens. Based on a review of a few documents provided by project managers, such a public involvement program should at a minimum include the identification of:<sup>19/</sup>

a. Goals - This portion of the program should clearly establish what the public involvement program should provide not only to the public, but to the Corps.

b. Objectives - Although each study may have its own set of objectives for public involvement activities, it is considered necessary to at least discuss:

- (1) How the study affects the public.
- (2) How the local problems fit into and may be ameliorated by implementation of the study recommendations.
- (3) How solutions are paid for.
- (4) What specific efforts (types of public participation activities) will be used.
- (5) What individuals or groups have a specific interest in the study.
- (6) How feedback will be provided to the public.
- (7) How effective working relationships will be cultivated, maintained, and continued into the implementation process.
- (8) Etc.

c. Identification of Specific Tasks - The remaining portion of the outline suggests possible actions which should be considered in preparation of any public participation program. These include:

(1) Knowing the target population. This would include the method used to identify the organized groups and publics within the study area, the methodology used (e.g. reason, membership, agenda, etc.) for describing these publics and organizations and the classification system used (e.g. by relation to problem area, political jurisdiction, relative importance, etc.)

(2) Model of public participation. This would provide an opportunity to explore models which identify the approach and requirements of participation and the potential implications in terms of costs, benefits, etc. In addition, this part of the program would provide for selection of a particular participation model or strategy based on appropriateness to study, time constraints, cost, and personnel limitations.

(3) Implementation of participation model. This portion of the program would specify methods and timing for disseminating information (including types and/or content) from the Corps to the public, obtaining information from the publics (e.g. method of getting input, timing, etc.), and analyzing and evaluating input content. In addition, the expected mode of interaction between the Corps and the public and the expected outputs of each in relation to the technical plans and public involvement should be specified.

(4) Monitoring. This would provide a planned method which could be used to allow for a continual examination of the public involvement program in relation to the goals and objectives with the general intent of allowing adjustment to the program as the study progresses.

The above outline is not all inclusive, but it does identify a representative sample of the approach project managers should utilize in integrating public involvement activities in each study.

#### DEVELOPMENT OF ASSISTANCE TO PUBLIC INVOLVEMENT ACTIVITIES

Although presently, most Districts rely almost entirely on the study manager to identify and initiate public participation activities, it is recognized that there is a potential need for assistance in these actions. This assistance could come from the public affairs office in each District, public involvement specialists, outside consultants, etc. Although only utilized to a limited degree, this assistance could contribute to the design of the public participation activities by:<sup>20/</sup>

- (1) Helping to assess the public environment for a study.
- (2) Helping to identify publics.
- (3) Reviewing the public participation program and specific techniques proposed by the study manager in terms of how they would interpreted and accepted by the public.
- (4) Reviewing and editing public announcements to make them more attractive and readable.
- (5) Preparing follow-up press releases on public announcements to facilitate their inclusion in newspapers.
- (6) Attending public meetings and other sessions where media representatives are likely to be in attendance to identify speakers for them and help in arranging interviews.
- (7) Regularly meeting with study managers to determine study progress and whether there are any problems that might be resolved through increased media coverage.

- (8) Preparing newsletters on individual studies or on all studies.
- (9) Regularly contacting media representatives to inform them about specific planning activities.
- (10) Encouraging media preparation of background articles on significant study issues.
- (11) Preparing and/or reviewing all material for the public distributed by the study manager.
- (12) Becoming a surrogate citizen for the planner, trying to represent citizen interests in the study decision-making process.

## CONCLUSIONS AND RECOMMENDATIONS

This paper presents a brief history of public involvement concepts and analysis of the public involvement practices which are undertaken by many project managers within the existing Corps of Engineers Districts. The information discussed is based on the views and opinions of experienced study managers and/or project engineers. Although there are many differing ideas and concepts regarding the basic philosophies and approaches to the integration of public involvement in water resource planning studies, it is encouraging to view the continuous variety of attempts which are taken by project managers in meeting the challenge of implementing public involvement activities, particularly where there is little guidance and where there are few established techniques and procedures on which to rely. The general observations and recommendations are offered with the hope that they will be useful in establishing necessary concepts, techniques, and procedures to do an adequate job of involving the public in Corps of Engineers planning and decision-making in the future. Furthermore, it is hoped that such a review has highlighted, particularly useful, innovative or successful examples of public involvement efforts which might help all project managers in their study efforts. Nothing less will insure proper and acceptable management and use of the water and related land resources. In this regard, there are some major considerations which should receive attention by project managers when approaching public involvement efforts for their studies. These include:

Responsibility for Public Involvement. Public involvement activities should be assigned to the project manager. This is necessary

to secure adequate input of local views and to facilitate the involvement of citizens and Corps personnel most directly affected. However, the conduct of public participation actions must also involve the clear and evident support of the management level which has primary responsibility for implementing the decision. Other administrative levels also may need to participate in order to achieve an adequate national and/or regional perspective.

Due to limitations of one or more of the following factors of time, experience, funding, it is reasonable for project managers to utilize the services of additional persons capable of maintaining contact with the public because of their skills and understanding of public involvement. On larger, more complex studies, such assistance is almost mandatory. However, it must be recognized that even then the overall responsibility of the project manager cannot and should not be delegated.

Clarification of Public Involvement Purposes. The goals and objectives of public involvement efforts for any specific issue should be clearly documented and then communicated both internally and to the public. These goals and objectives should reflect public concerns and should govern the resulting collection, analysis and evaluation of public input based on the identified public involvement program.

Public Involvement Program. The development and utilization of a public involvement program for almost all studies is highly encouraged. Such programs should be organized and carried out within study area in order to adequately treat geographic, economic, environmental, engineering and social differences and to insure good local input. Use of well-developed programs will help to avoid the piecemeal approach to public involvement frequently used in many ongoing studies. Only through a



well thought out and designed program can project managers conduct completely open and reciprocal communications, both internally and externally to the study effort. Since many Districts do not provide guidance to project managers in development of public involvement programs, it is recommended that project managers use the general outline presented herein with appropriate modifications in order to integrate public participation into the total study planning process. Districts should also consider adopting their own set of guidelines pertinent to this matter.

Use a Variety of Collection Techniques. The kinds of techniques used to secure public involvement should be based on specific objectives for the particular study. Varied opportunities for input should be provided. Public meetings do not equal the total public involvement effort but must remain as one of the possible set of tools available. Utilizing various techniques will add to the flexibility of the public involvement effort, further enhancing the effectiveness of the final decision. Besides public meetings, other techniques which should receive consideration based on their past record of effectiveness include workshops, newsletters, field trips, and informal contacts. In addition, use of the Delphi panel, sample surveys and questionnaires should receive consideration.

Analysis of Input. The Corps analysis of public input must be strengthened by use of systematic methods. Public input is too important in the decision-making process to rely solely on subjective informal analysis procedures. Analysis should describe all public input, including emotional statements and general opinions as well as the more specific comments and detailed management proposals. Consideration

should be given by project managers to using the content analysis system or possibly even the Codinvolve system of the U. S. Forest Service to improve and strengthen the analysis of public input which will help to facilitate the use of public input in decision-making.

Feedback to the Public. As part of the public involvement efforts for any study, the public must be kept up to date on the progress of the study. The public must be told what public input was identified and presented and how this was used in the planning process. If project managers cannot use or comply with various public requests, the reason why must be explained. Local citizens deserve personal attention, particularly when they take the time and effort to contribute to the overall study. Although many project managers depend heavily on the activities associated with a public meeting to get this feedback to the public, it is advisable to go beyond this effort and in all cases, provide feedback about the decision to everyone who provided input. This may involve telephone contacts, individual letters, etc. Although, such efforts may be time-consuming and costly, the increase in credibility of the project manager may be well worth it.

Training. A program of training covering all facets of public involvement should implemented. Project managers should not only be taught the philosophy, concepts, etc., underlying public participation, but also should be trained in the specific programs, techniques and procedures which have been used successfully by many project managers. For the initial part, it is recommended that all project managers attend either the Synergy Workshop, the short courses, or similar-type public participation courses. For the latter comment, it is recommended that the ER 1105-2-800 series regulations be updated to identify what studies

have used public participation efforts successfully. In this regard, an outline should be developed which permits a reasonable summary of such efforts. In addition, studies which have failed because of the inadequacy of the public involvement effort, should be identified in a similar fashion to avoid continued pitfalls on future study efforts.

Assistance in Public Involvement Efforts. The importance of public involvement of each study requires that all pertinent resources and/or personnel be used to meet the challenge. Where necessary, assistance should be provided project managers in order to enhance the communication skills, the sensitivity to the public environment and the clarification of the study effort. This assistance may come from the public affairs office, public participation specialists, community planners, outside consultants, etc. Some sort of assistance should be mandatory on many studies to permit the project manager to undertake the many other responsibilities of the study. This may be highly desirable as there is probably no one project manager who has in his grasp all of the information on the study. In these cases, there is a possibility that without assistance in the public involvement effort, that some critical public comment will be disregarded unintentionally.

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APPENDIX I

SUMMARY OF EXISTING PUBLIC PARTICIPATION  
REGULATIONS, GUIDELINES, AND  
INSTITUTE OF WATER RESOURCES REPORTS

A. SUMMARY OF EXISTING CORPS OF ENGINEERS GUIDELINES

1. Engineer Regulation ER 1105-2-800                      2 April 1975

Planning - PUBLIC INVOLVEMENT: GENERAL POLICIES

ER-1105-2-800 stated policy for all OCE elements having Civil Works responsibilities. The policy being that in consonance with the intent of Congress, it is the policy of the Chief of Engineers that the Civil Works program be conducted in an atmosphere of public understanding and mutual cooperation.

The objective of the public involvement program as outlined in this regulation is to insure that studies respond to public needs and preferences to the maximum extent possible. In order for this program to be responsive to public needs and preferences, a continuous dialogue between the Corps and the public is required during the planning process. The means to establish this dialogue must be identified early in the planning process, formalized as a specific public involvement program, and implemented by the reporting officer in each planning study. The regulation states that there is no single best approach to achieving the Corps public involvement objective.

Reports should include a summary of public involvement program implementation, including a discussion of how the results of such programs influenced the study conclusions and selected plans.

This regulation concludes by stating that the public involvement programs for planning studies will be the responsibility of the reporting officer. The programs should be developed, conducted and evaluated jointly by personnel from planning and public affairs elements.

## PUBLIC PARTICIPATION IN WATER RESOURCES PLANNING

## THE PLANNER AND THE PLANNING PROCESS

The first three chapters of this report emphasize the role of the planner in the water resources planning process. The planner's success depends on his recognition of which interest groups can influence plans and decisions, and how and by whom the final decision is made. The planner is seen as an agent of change within the water resources planning system.

The water planning system is actually comprised of two interconnected subsystems. These subsystems are (1) the planning and decision system, including the decision-makers and their interaction through the planning process, and (2) the environment including the interfaces between water, people and their needs and ecology.

The planner cannot isolate himself in this system. Even though controversy will develop, this is not to be considered necessarily bad.

For the planner to be a successful agent for change requires a legitimization of the planning process. This requires a complete understanding between the planner and the public as to the exact procedure of the study, the institutional arrangements and responsibilities, and the possible outcomes.

The procedure, including the activities and timing in the study, and decisions to be made should be outlined from the time of commencing studies through the final submission to Congress.

The report adapted seven planning strategies or institutional structures from studies and experiences in planning as outlined by Bolan, 1967. They are:



1. Strategy of Information. The planner controls and conducts the study and only contacts other agencies and the public to present findings or gather data.

2. Information with Feedback. The planner controls the study, develops alternatives, and makes planning decisions. Alternatives are presented to public officials and other public groups during the study. Comments and feedback are obtained. Proposed plans may or may not be adjusted based on these inputs.

3. The Coordinator. Acting as coordinator, the planner seeks out the important issues of the state and local communities, assesses their objective, tests alternatives as they are developed and receives feedback. Interaction among different public interests is not encouraged.

4. The Coordinator-Catalyst. As a coordinator and catalyst, the planner would promote participation in the planning studies. The affected parties confront and interact with one another. The planner supplies methodological and technical skills and serves as the mechanism for synthesizing objectives, coordinating interests, and working out compromises in areas of conflict.

5. Community Advocacy Planning. As an advocate, a specially appointed expert, he works directly with the planners on behalf of the public. The affected parties would supply him with data and information and inform him of their desires and preferences. He would represent these views in working with the planner to develop alternatives.

6. Arbitrative Planning. This strategy places an independent hearing officer between the planner and client groups to act as an arbitrator. The hearing officer attempts to arbitrate settlements on

points where conflict of interest exists, and recommends appropriate changes in the studies. He would possibly make the final choice among alternatives.

7. Plural Planning. This strategy suggests that each interest has its own set of planners -- each responsible for developing its own alternatives. Studies would also be done by the agency. The results would be a range of plans representing the positions of all groups. Either similar schemes would be consolidated into a set of alternatives from which a final plan would be selected, or a final plan would be developed through the political decision process.

For any plan to receive broad public support, it must be made by a body that has been accepted as the responsible spokesman for making such a recommendation. A range of legitimate means for developing recommendations were suggested, such as:

1. The planners recommend - no participation from citizens or elected officials.

2. Planners recommend, advised by citizens - the planners would work closely with an officially designated citizen group and receive their preferences before making the final recommendations.

3. Elected officials recommend - Upon receipt of proposals, the elected officials would have power to consider the plans and make the final recommendations.

4. Elected officials recommend after public hearings - The elected officials would be responsible for evaluating the plans and the results of the public hearings and making the final recommendations.

5. Citizen Review Board - A citizen review board, selected at large, would be responsible for reviewing proposals and recommending the final plan from among the alternatives.

6. Referendum - By placing the proposals on a ballot, the majority or larger vote by the citizens would decide which plan would be recommended.

7. State Commission - After formal public hearings: a commission, composed of citizens appointed at large, reviews the hearings before making a recommendation.

## PUBLIC PARTICIPATION IN THE PLANNING PROCESS

The primary consideration in achieving effective public participation in water resources planning is the recognition that those affected by planning should have the opportunity to influence those plans.

In developing a public participation program, a set of specific public involvement program objectives were outlined in the report as follows:

1. To present information to assist the public in defining their water resources needs, and to provide them with a structured opportunity to influence planning alternatives.
2. To provide the Corps with channels through which to obtain information on public goals and priorities.
3. To coordinate Corps planning with other agencies related planning.
4. To legitimize the Corps' role in the planning study and build public confidence and trust in the Corps' planning process.
5. To resolve conflicts and produce plans which more closely satisfy the needs and preferences of the various interests.
6. To develop support for authorization and implementation of the components of the preferred plan.

In the past, the Corps' formal approach to public involvement has been through a public hearing, which is basically an information process rather than a communication process. The very nature of the hearing itself lends to inadequacy. Arnstein states that this type of meeting can often "be turned into a vehicle for one-way communication by the simple device of providing superficial information, discouraging

questions, or giving irrelevant answers". The hearing does not provide a means for participants to judge what effect their testimony has on the issue. Consequently, a negative attitude and a feeling of mistrust develops.

This emphasizes that public participation must include a variety of methods and techniques to accomplish particular functions.

If the public participation program is going to legitimize the planning process, it must seek positive involvement in the study on the part of other agencies, local groups and citizens. This can be accomplished through establishing a participation procedure which includes: (1) identifying participants and establishing means for communications, (2) determining a planning strategy, (3) establishing general boundaries and problems for the study, and (4) developing initial goals and objectives for the study.

In establishing workable relationships for the public participation program, the planner should approach the program with an attitude of "What can we do in this study to assist you in your local planning problem" and not with the attitude of "We are here to solve your problem and prepare plans and studies for you."

Generally, it is difficult for the public to articulate goals and objectives early in the study, but they will emerge as the public has an opportunity to respond to planning proposals. Important to this end is the dissemination of information on the progress of the study plans and alternatives and publicizing opportunities for direct participation. A complimentary method of disseminating this information is through the publication of a planning newsletter on a regular basis. A recommended mailing list would usually include all state and federal interests as

well as local groups and individuals who had participated in workshops or had requested the publication.

Other means of communication would be the use of advocacy groups, informal contact with organized public bodies, and community workshops. The approach identified by citizens and community officials as the one preferred is that of community workshops. The workshop should be sponsored by a local committee or group where possible. The planner's primary responsibility in pre-meeting preparation would be to thoroughly brief the local sponsors in the purpose and objectives of the workshop. They would also prepare any visual aids, group discussion questions and other technical aids necessary for the workshop. The planners should encourage full and free discussion, acting mainly as moderators, while providing the expertise to answer technical questions. The basic purpose of the workshop is to generate input of local needs, desires, and goals for the study, and to lay the groundwork for continuing feedback from local interests.

The workshop also offers an opportunity for the planning agency to include community interest groups in the process at a policy-making level.

Other forms of communication would be through regional citizen's committees, special study task forces, public meetings, public inquires, and sample surveys.

Special study task forces are especially useful with problems of a highly technical nature might be of concern, while public meetings are good methods of furnishing information to the public. Public meetings may also serve to legitimize planning decisions.

The methods described above would be the most suitable for informal presentation and discussion of the final set of alternatives. These efforts are designed to lead towards a legitimation of the collective innovation decision. This is the approval of a collective innovation by those who informally represent the system's norms. It has been said that "the rate of adoption of a collective innovation is positively related to the degree to which the social system's legitimizers are involved in the decision-making process."

If two important rules are kept in mind by the planner, many difficulties could be alleviated when alternatives are presented and discussed. These are: (1) decisions must be based on the differences among alternatives, and (2) many consequences must be separated from the consequences that are not reducible to money terms; then these irreducibles must be weighed against the money consequences as a part of the decision-making process.

After a period of informal evaluation, discussion and negotiation over alternatives, we must focus on the decision to act, or to select the alternative preferred by members and interest groups of the social system. This may be accomplished by a survey of the interest groups, a referendum on the issue, a petition may be circulated. The most widely used and accepted means of a formal decision is the public hearing.

#### AFTER THE DECISION

The Corps should assume a continuous planning responsibility that would maintain the momentum and support achieved in the planning phase to insure allocation of resources and the implementation of the plan.

The network of communication established through the public involvement process, if maintained, will place the Corps in a natural position of continuous planning with state agencies, local communities, and interest groups.



PUBLIC INVOLVEMENT IN THE CORPS OF ENGINEERS

PLANNING PROCESS

IWR Research Report 75-R4 was prepared under the following assumptions:

The Corps and elected and appointed officials retain the major decision-making authority. They are accountable. They must balance the needs and preferences of many constituent groups. Therefore, it follows that public involvement is basically an advisory process.

The public involvement process follows a cumulative curve. As a project proceeds, issues become more clearly defined and more people recognize that they have a direct or indirect stake in the outcome. This cumulative nature of participation should also be recognized in public involvement program budgets.

Public involvement will build throughout the active phases of planning and peak at several study checkpoints where critical choices and decisions are made.

The primary (but not exclusive) Corps target for public involvement will normally be organized groups rather than the mass or general public. Usually energies expended on efforts to involve the mass public, with resultant limited participation, would not appear to be efficient and productive. The Corps should then rely on the mass media to inform and educate the general public.

INVOLVING THE PUBLIC IN PLANNING AND DECISION-MAKING

The Corps' planning process is divided into three stages. During each stage, four functional planning tasks are carried out: problem

identification, formulation of alternatives, impact assessment, and evaluation. If public involvement is focused on the tasks rather than the stages, integration and consideration of public comments becomes exceedingly difficult. Also, public involvement should be planned for on a stage-by-stage basis rather than looking at it in relation to the study as a whole.

The public should be involved during all stages of planning; the plan of study, the development of intermediate plans, and the development of final plans. Public review of planning accomplishments is not by itself meaningful public involvement. An opportunity must be provided to participate during each stage. The major objective being to improve two-way information flow. This sometimes requires informal, time-consuming dialogue between the planners and the public.

The public involvement objectives during the Plan of Study stages are relatively modest, the target public is limited, and the range of effective forums for participation are narrow. The objective is to obtain information which is useful in directing the study: e.g. identification of problems, issues, objectives and goals, alternatives to be investigated, political, social and economic setting. The publics are usually the participating public and the information audience. The forum for involvement is usually small meetings or interviews with individual interests.

During stage two, the focus shifts to the formulation and preliminary testing of alternative solutions. The objectives of public involvement during this stage is to provide a forum in which interested and affected people can explore the implications of each alternative. The target public broadens in this stage to include all identifiable

groups in each interest area with the encouragement for participation of potentially affected public. This stage of involvement requires interaction among various interests as well as between the public and the planner; therefore, this type of dialogue is usually best achieved in the moderate-size meetings such as workshops.

The final stage of planning is the most intensive period for involvement because each remaining alternative can be described in very real terms as to how it affects various interests. The number of participants and diversity of interest groups will be greatest and broadest during this stage of planning. The objective of the public involvement program at this stage is to provide forums in which interested and affected publics can obtain detailed information concerning the implications of each alternative and for negotiation of inter-interest group compromises and trade-offs. The target public are all directly affected individuals and concerned interest groups. During the early part of stage three, moderate size meetings such as workshops would be effective. During the latter phases, when the impact assessment is substantially completed and when the major conflicting interests can be identified, small meetings for the purpose of negotiation could be critical. Citizen Committees are also useful forums during stage three.

Public involvement is also important at the end of each planning stage. This provides the public with an opportunity to review the results of planning up to this point. The public involvement at these three points becomes public checkpoints - citizen input into interagency and intra-agency review. If the public checkpoints are to be viewed by the public as a real opportunity to influence decisions, it is essential that binding decisions be avoided in Corps checkpoint conferences, which

occur prior to the public meetings. Corps decisions should be regarded as tentative, subject to revision as a result of input received during public checkpoint meetings.

The key criteria for the forum of these meetings are that they be widely publicized, open to everyone, in adequate facilities in easily accessible locations, and providing the opportunity for everyone to make statements.

There are several factors which need to be considered in designing this part of the public involvement program. First, the public checkpoints are to provide an opportunity for every interested citizen to participate. Second, substantive information describing the results of planning should be distributed by direct mailings to identified groups or individuals who are interested or affected, and made available in readily available locations. Third, the public checkpoint must be closely related to the inter-agency coordination effort. The public has a right to be informed of other public agency positions on the study. Fourth, the successful public checkpoint meetings will be convenient with respect to both time and place for the participants.

#### COMMUNICATING WITH THE PUBLIC: OBTAINING CITIZEN INPUT

This report states that within the context of Corps planning, the many long lists of public involvement techniques can be boiled down to five basic forms for communication: small meetings, moderate-size meetings, large meetings, advisory group meetings, and citizen surveys.

The small meetings are most useful in developing the Plan of Study. These meetings should generally not be employed for dialogue among different interests. Advantage of small meetings with one interest or

group is that the planner can give his undivided attention to their concern. Due to the fact that small meetings are time consuming, careful preparation is required to reduce the list to those key interests or groups that must be interviewed.

The moderate-size meetings are most useful when Districts want to encourage dialogue between the participants rather than to just hear and record statements. These meetings promote full airing of various points of view. These meetings are most appropriate in the development of intermediate plans leading us to the second public checkpoint meeting and development of final plans in preparation for the final checkpoint meeting.

Moderate-size meetings are most frequently called workshops, seminars, conferences, symposia and retreats. These meetings should focus on: alternatives, problems and issues, areas of interest or objectives, and impacts of various alternatives.

The large meetings essentially provide a forum for one-way communications. They are most appropriate at each of the three study checkpoints. The Corps requires that each study have three public meetings. These meetings are to be distinguished from public hearing, which are required by law and are more structural and formal.

There are three important considerations in the design of public meetings. First, the chair person. For the first two public meetings, the options range from the study manager to the District Engineer. However, at the third public meeting, it would be beneficial for the District Engineer to preside - so that he can hear first-hand the comments and positions of the public. Second, should there be an order of statements from the public? After Congressional statements and the

statements of potential local sponsors, the district should consider randomly calling on all other persons who wish to make statements. Third, how should the statements be recorded? Districts should consider, for the first two public meetings, a combination of note-taking and tape recordings, with verbatim transcripts for the third public meeting.

Advisory group meetings or citizen committees can be useful when the situation calls for regular and continuing interaction with a set group of citizen representatives over a period of time. They usually have three objectives. They serve as a particular interest advocacy to the Corps; they make contributions to a specific study; and they assist with the resolution of specific issues.

The citizens committees are usually advisory only. They make no binding decisions. They are usually organized around particular subjects. They might be valuable as advisors to the broader public in study areas where the Corps objectivity has been questioned.

In using the committee forum, the question of who participates is a difficult issue to resolve. When deciding who will serve, the first task is to define the interests that should be represented and the second is to determine whether there might now be an existing citizen committee in the area which generally represents these interests. There are several methods of selecting the participants - direct selection (District), neutral group selection, individual selection, and local sponsor selection.

The Citizen surveys are not forms for public involvement per se, because they provide no opportunity for interaction. They have one major purpose: to put the comments of study participants into

perspective. Despite their limitations, surveys can be used for obtaining certain kinds of information: general public identification and priority arraying of problems and issues and general public attitudes towards the relative importance of impacts of alternative solutions.

Attention should be called to the requirement for prior OCE and OMB approval of any questionnaires which are subject to the Federal Reports Act.

COMMUNICATING WITH THE PUBLIC: INFORMATION AND EDUCATION  
(ONE-ONE COMMUNICATION)

Public information and education, when related to Corps planning studies, has one major purpose: to facilitate and support the public involvement effort. It is not a public involvement program in itself.

There are three purposes of public information: to generate general public awareness of the study and to solicit participation, to provide specific information, and to announce and publicize significant study milestones. Each purpose is to be pursued at each planning stage. There are three factors to consider in a public information program: the audience, the content, and the medium.

Programs for study initiation, during each planning stage and at the end of each stage are as follows:

Study Initiation. Press conferences, news releases, mailings, newspapers, reporter briefings, public notices, and public service announcements.

Plan of Study. Statement made in person.

Development of Final Plans. Public brochures, fact sheets, field trips, information sessions with interest groups, newsletters.

General Public Awareness. Press conferences, news release, mailings, reporters' briefings, public displays, information brochures, notice of where more detailed information is available, appearances on radio and T.V., and speeches before public civic groups.

Advice to the Wise. Make information materials simple and understandable to the non-professional.

#### DETERMINING THE EFFECTIVENESS OF PUBLIC INVOLVEMENT MONITORING AND EVALUATION

Monitoring and evaluation of public involvement program effectiveness should be integral part of the planning and decision-making processes.

There are also formal methods of monitoring and evaluation. They generally fall into two categories: surveys and media analysis.

#### ORGANIZING AND BUDGETING FOR PUBLIC INVOLVEMENT

##### ORGANIZING

Each study manager must be responsible for the design, implementation and management of the study's public involvement program if it is truly going to be integral part of the planning process. The study manager is the only individual who, at all times, understands the entire study. If public involvement is directed from some other point in the District, it becomes far more difficult for citizen comments to be fully considered. All publics need access to one individual in the District. If different groups are talking with different District personnel, it becomes much more difficult to balance equitably the needs and preferences of different interests. Obviously, however, study managers cannot implement public involvement programs alone.



Key public involvement personnel are the top District management, public involvement specialists, the public affairs offices, outside resources, and many other District elements.

#### BUDGETING

Funding is one of the severe constraints on public involvement. There are few guidelines as to a percentage of the cost of a study for public involvement. Usually smaller studies will require a greater percentage of the study budget than larger studies.

There are a number of factors to be considered in determining how much a public involvement budget should be; such as, the type of public involvement desired, the duration of the study, the size of the study area, the degree of local awareness and support or opposition, and the degree to which citizens of the area are organized.

## APPENDIX I PUBLIC INVOLVEMENT IN THE CONTINUING AUTHORITIES PROGRAM

There is essentially no difference in the Corps' objectives for involving and informing the public for studies and projects under this program than for projects planned and constructed under specific Congressional authority.

Factors that do influence the public involvement program for continuing authority projects are: the time forums, usually about 18 months compared to 36 months for a survey report. The short-time frame generally works to minimize the scope and intensity of public involvement activities. The scope and complexity are somewhat reduced. Therefore, the task of identifying and establishing contact with the public should be simpler. Also, the decision-making authority has been shifted from OCE to the Division Offices. This allows the planner to respond more quickly and more confidently to public comment and views.

Sometimes there is a tendency to assume that because Continuing Authority studies are scaled down - public involvement effort can also be scaled down. This is not necessarily true. Local citizens will not be easily convinced that the opportunity for involvement in such a study should be diminished simply because the Corps desires to streamline the planning process for continuing authorities studies.

PUBLIC PARTICIPATION IN WATER RESOURCES PLANNING

- a. To What Extent Do Recommended Plans Satisfy Community - Expressed Needs and Desires?

One of the basic objectives of the Corps public involvement process is to insure that recommended solutions to water resources problems satisfy the needs and preferences of the public to the maximum extent possible.

The results of this report indicated that most field offices wait until the final public meeting for public evaluation of alternatives. The public's participation in the formulation and assessment of alternatives is virtually nonexistent. The public usually was not sure of how their comments or inputs influenced planning and management decisions. This deficiency prevents the public from adequately assessing the recommended plan.

In other words, field officers forward their reports knowing only intuitively whether their plans respond to community needs and desires.

The report recommended:

OCE should issue regulations requiring that survey reports include a section describing how public comments influenced the selection of the recommended plan.

Field offices should develop regular information mechanisms for "feeding back" to the public how public comments are treated over the course of a study and why.

- b. To What Extent Do Field Offices Present Study Information To The Public To Increase Understanding and Elicit Meaningful Comments?

Corps policy states that information will be presented which will assist the public in defining its water resources problem needs, objectives, and priorities, and in understanding Corps' planning responsibilities and the planning process and how they can participate effectively in it.

This report concluded that most field offices provided information that was too technical and bureaucratic or too ill-timed to achieve the desired input. Also information was usually presented in such a way that it did not invite useable public comment on needs, objectives, alternatives and impacts.

The report recommended:

Public information programs should carefully define the two-way information requirements at each phase of a study.

Media-oriented or feature writer consultants should be contracted to work with Corps in designing information brochures and announcements that elicit public comments.

Corps should make available to the public, at least a week before all meetings, the information prepared to elicit public comments.

- c. To What Extent Do Field Offices Provide The Public With Opportunities to Express Itself and Influence Planning Decisions?

Another Corps policy is that channels should be developed through which the public can express its perception of the problems, needs and priorities, and its preferences for alternatives and corresponding development or management strategies. The mechanism should also be provided for the public to influence the formulation of

planning and management alternatives and achieve concensus regarding a course of action.

However, in most field offices the public meeting has been used as the cornerstone of public participation programs. The public meeting does not facilitate the exchange of ideas. The public meeting can be effective only if it is used in conjunction with other techniques for public participation.

Other than the public meeting, the most frequently used techniques for obtaining citizen input have been the use of advisory committees, community survey and workshops. However, many times these techniques were used before the District had decided what it wanted from the public and whether the technique would help in getting it. Many of the techniques have been directed at the general, unaffiliated public when more selectivity of publics would have produced more useable information. Usually, the public was afforded only one opportunity, other than the public meeting, to contribute to the study. Participation in only one phase of the study limits the publics' ability to understand the implications of the various alternatives.

The report recommended:

Revision to ER 1105-2-502 stressing that the purpose of public meetings is to validate the planning input provided by the citizens through other forms. Public meetings are not the primary techniques for public participation.

Consider changing the timing of the initial public meeting from study initiation to the end of the problem identification phase.

IWR should prepare a public participation manual.

Attention should be directed to special interest groups potentially affected by alternative solutions.

Insure that public participation plans include opportunities for the public to participate in each study phase.

Review all active studies and design public participation programs for their completion.

d. To What Extent Does The Corps Coordinate Its Planning Effort With Other Agencies?

One major component of all Corps public involvement programs should be to actively promote effective coordination between Corps' planning and the plan and programs of other federal, state and local agencies.

The Corps relationship with other agencies affects the involvement with the lay public. There is a need for the citizen to learn the position of other agencies. If one agency appears to be promoting a particular alternative over another, the citizen has the opportunity to support or try to change that position, taking some of the pressure off of the Corps.

The report recommends:

Development of a mechanism to ensure that both the lay citizen and the public agencies know the comments and positions of all participants in public participation.

e. To What Extent Is Public Participation Integrated Into Field Office Planning Processes?

Public participation can truly be integrated into the planning process if, at each stage of planning, the planner knows what

he wants from the public, whom in the public he wants it from, what information he has to provide, how input is to be elicited, and how it will be considered in the planning decisions.

The integration begins with the preparation of the Plan of Study, which should describe in as much detail as possible the proposed public involvement program. This requires an effort also to identify the public for involvement.

It was revealed in this report that no field office did this adequately. The primary use for participation was the standard mailing lists, which are for purposes of notification and not participation.

It was also apparent from the report that most districts did not know how to use the citizen input in making planning decisions.

The report recommended:

The issuances of a regulation specifying what the public participation component of Plans of Study must contain.

Districts should identify and categorize publics for each study according to interest and location in addition to organizational type.

f. To What Extent Do Field Office Organizations and Management Facilitate Public Participation?

This report revealed that the management of the public involvement program voiced from the District Engineer, to the section chief, to the study manager. Eventhough there are arguments against the studymanager having the major responsibility for public participation; where this is the case, the most intensive and effective programs have been carried out.

The report recommends:

Districts should assign to the study manager the responsibility for program design and implementation.

- g. To What Extent Do Field Offices Have Adequate Financial and Human Resources to Implement Effective Programs?

Financial Resources. The percentage of study budgets allocated to public participation varies with a number of factors: potential community interest, diversity of publics, geographical area covered and technical study requirements. Plans of Study should present a detailed program with a recommended budget rather than a percentage of the study budget.

The lack of funds is often used as an excuse for not mounting more intensive programs. Districts seem reluctant to put aside a significant portion of administrative funds for public participation.

The report recommends:

Examine study guidelines to see if some technical requirements might be relaxed to free more study funds for public participation. (Usually a fear of losing funds).

Consider revising study accounts, allowing for a public participation account.

Remove all public participation funds from study budget and place in a district overhead account for use in all studies as deemed appropriate by district.

Human Resources. In most cases, the planner is responsible for implementing the public participation programs in all districts. These planner usually don't have sufficient time to devote to public



participation. It is apparent that the time demands on the planner are a problem. It is also observed that in most cases, planners lack the communication and organizational skills necessary for carrying out an effective public involvement program.

The report recommends:

Reallocation of planning workloads to free study manager to devote more time to public participation on priority studies.

Assess planners' skills in communication and organization to determine which ones have the basic aptitudes and attitudes to deal directly with the public.

Assess whether PAO's have the skills to support planners more fully in public participation.

Assess whether the time and skill limitations of the planner could be supplemented by additional personnel or contractors. The additional personnel could be a public participation specialist or a technical assistant. Contractors could either provide advice in program design and review or operate as temporary extensions of staff in program implementation.

h. To What Extent Is the Corps Committed to Public Participation?

Most planners see intensive public involvement in conflict with completing their reports unless their managers are committed to public participation. Commitment is required at all levels of Corps organization.

Through the issuance of many statements, circulars, etc., OCE has indicated commitment to intensive public involvement; however, many

actions or inactions, tend to undermine this commitment. Through this response, districts pay far more attention to regulations such as ER 1105-2-502, requiring public meetings, than they do to circulars, such as, EC 1165-2-100, which is seen as guidance only.

OCE has also given insufficient indications that public comments are crucial to the acceptance of recommended plans.

There is also no pressure from Division offices for compliance with public participation requirements. Few plans of study include public participation subplans. Also, the Division seems to change study priorities without regard to how they effect public participation confidence in the Corps.

Many District Executives measure effectiveness of public participation in terms of the public meeting. They have not required that public participation become an integral part of the planning process. Most Plans of Studies are approved with only the barest description of public involvement. Many district plannes have been discouraged by their supervisors in attempting to expand public participation efforts.

Most Districts have not adequately involved the PAO in public participation activities, which conflicts with EC 1165-2-100.

Sometimes the activities of other district personnel make the planners' good relationships with the public much harder. The public participation in district offices cannot be the responsibility of planners alone.

It has been found that the planners are the District office personnel most committed to the public participation objectives.

The report recommends:

OCE should issue EC 1165-2-100 as a regulation.

District offices should be directed to give attention to the adequacy of public involvement programs.

Emphasis should be given to District Engineer orientation to public participation.

Approval of Plans of Study should be withheld until compliance with EC 1165-2-100.

Prior to changing priorities of studies, assess the effect on public participation programs.

Representatives of all District components should be convened for purpose of discussing the impact of their activities on District public participation activities.

Continue sending planners to public participation training courses.

5. Sacramento District, South Pacific Division Engineering  
Division Memorandum No. 271

2 April 1979

PUBLIC MEETINGS AND WORKSHOPS

The purpose of this Engineering Memorandum was to express the policy of the Sacramento District concerning non-federal participation in public meetings and workshops.

It is the policy of the Sacramento District to encourage non-federal project sponsors to conduct public meetings, workshops, and group discussions. The Corps will participate in a role of providing factual data, highlighting the technical and consulting role of the Corps.

The Corps will normally prepare the public notices and chair the initial public meeting; thereafter, the sponsor will be encouraged to issue the notice and chair other meetings. However, the Corps will be responsible for conducting meetings concerning the environmental impact statements.

The Corps will transcribe the minutes of all public meetings. Other meetings will not be transcribed verbatim; however, a memorandum of the meeting will be prepared.

All requests for speakers or public appearances by employees will be approved, prior to acceptance, by the Branch Chief.

This Engineering Division Memorandum is revised as necessary and reissued every two years.

10 November 1971

INVESTIGATION, PLANNING AND DEVELOPMENT OF WATER RESOURCES-PUBLIC  
INVOLVEMENT IN PLANNING

The Seattle District, North Pacific Division, has prepared a District regulation for the purpose of providing policy guidance, describing techniques, and assigning responsibility in the public involvement program of planning studies.

The objectives and policies of the District's public involvement program as outlined in the regulation are:

Objectives.

(1) To insure that solutions to water resources problems satisfy the needs and preferences of the people to the maximum degree possible within the bounds of local, State and Federal interests, responsibilities and authorities.

(2) To seek improved communication among concerned citizens and their representatives so that the proponent of each alternative is not rigid in his contention, but instead learns how he could modify his proposal to accommodate the concerns of others and thus gain a wider support.

(3) To build public confidence and trust in Corps' planning and in Corps' planners.

Policies.

(1) Present information which will assist the public in defining its water resources problems, needs, objectives and priorities, and in understanding Corps' planning responsibilities and the planning process and how they can participate effectively in it.

(2) Develop channels through which the public can express its perceptions of problems, needs and priorities, and its preferences regarding resource use alternatives and corresponding development or management strategies.

(3) Provide opportunities for the public to influence the formulation of planning and management alternatives, clarify and weigh conflicts, and achieve general agreement regarding a course of action.

(4) Actively promote effective coordination between Corps' planning and the plans and programs of other Federal, State and local agencies.

(5) Make full and open presentation of facts and views in study reports.

(6) This regulation is designed to be a living document which can be modified or supplemented as experience is gained in the Public Involvement Program.

There are eleven inclosures to the regulation which provide details and responsibilities for various elements of the overall public involvement program. These inclosures cover the following elements:

- (1) Study Model for General Investigations.
- (2) Public Involvement in Planning, Study Manager SOP for General Investigations.
- (3) Study Model for Continuing Authority Studies.
- (4) Study Model for Post-Authorization Planning.
- (5) Public Meetings.
- (6) Workshops - Open and Invitational.
- (7) On-Site Contacts - Individual Discussions, Discussions With Single Alternative Proponents, and Site Tours.
- (8) Example Public Brochure With Annotations.
- (9) Citizen's Committees (CITCOMS).
- (10) Citizen Discussion Leaders (CDL).
- (11) Information Bulletin on Participating in Public Brochure Preparation.

The following is a review of three of the above listed inclosures.

Study Model for General Investigations. The Study model is a plan for public participation designed to involve the public in the planning process.

The attached chart is a graphical description of the study model. It is a guide for preparing a time-phased plan for the planning process. The model involves four public meetings with open and invitational public workshops and informal discussions in the intervening periods as required. The model does not have to be rigidly adhered to; its purpose

is to provide a framework which could be adapted in developing a plan for a particular study. It is suggested, in order to carry forward in a manner visible to public agencies and citizens of the various workshops and meetings, consideration be given to the use of a public brochure.

Public Involvement in Planning - Study Manager SOP for General Investigations.

The purpose of this inclosure is to define responsibilities of Study Managers and provide a checklist for carrying out the District's program for public involvement on General Investigation studies. Any major deviation from the principal features of the program will receive prior approval of the Chief, Planning.

The SOP gave the study manager a checklist of items to be considered for each step of the study model outlined earlier with a target date for each item.

Citizens' Committees. The purpose of citizens' committees is to improve 2-way communication between agencies and the public.

The function of the CITCOM is to assist the Corps in recruiting broadly-based public participation in planning and improving the public communication process.

The committee's involvement would include:

- (1) Committee as a whole, bringing various interest groups together to insure communication of objectives and concerns, with reference to alternatives under study.
- (2) Each member briefing his interest group on Corps procedures, body status, and alternatives under study.
- (3) Suggesting additional alternatives for study.
- (4) Recruiting Citizen Discussion Leaders for alternatives.
- (5) Arranging for and hosting selected meetings and workshops.

The CITCOM would be made up of representatives from the following groups:

- Development groups
- Local government
- Affected land owners
- Social, Economic, or Ethnic groups
- Professional or Quasi-professional organizations
- Conservation groups

The CITCOM should be kept small to remain a workable group. The principal point of contact between the Corps and the CITCOM will be the study manager.

There are various methods of establishing a CITCOM. The recommended method would be the Group elected representatives method. A letter would be sent to each major group requesting they elect a representative to serve on the CITCOM. Other methods include: Key group appoints representatives - where a letter is sent to key influentials or groups requesting they appoint representatives to serve; an Individual appointed - the Corps on its own volition seeks out influentials and opinion leaders in local areas and requests them to serve on the committee.

The CITCOM would usually be formed between Public Meeting 1 and 2.

The CITCOM is not a substitute for the public involvement procedures of the model. However, it can be a significant adjunct or assist.



B. SUMMARY OF PUBLIC INVOLVEMENT GUIDELINES OF OTHER AGENCIES

1. USDA - Soil Conservation Service

a. Resource Conservation and Development Projects - RC and D Handbook

Resource conservation and development projects are initiated and carried out by local people with the assistance of agencies of the states, and agencies of the USDA under present program authorities. Initiative and leadership in all phases of RC & D project activities is a responsibility of the local people that cannot be assumed by others. Projects are initiated by conservation districts governing bodies, county commissioners, and similar groups. Local leaders and the sponsors are responsible for securing the support and participation of the diverse interest groups, agencies and officials needed in the project effort.

A project-wide RC & D council will be established to guide project activities. The council will be responsible for organizing committee and ad hoc groups. The plan prepared by the council will state objectives, policies, courses of action and priorities.

When the Secretary of USDA authorizes agencies of the Department to assist in carrying out the plan, sponsors are responsible for informing local people, securing needed participation, and coordinating the efforts of local people and assisting agencies.

The leadership role in the USDA for RC & D projects will be in the SCS. The SCS will be responsible for contacts with other federal agencies and with state and local agencies and organizations.

As previously stated, sponsors and local people have responsibility for leadership in all aspects of RC & D project activities. Actions

which sponsors may initiate include:

- (1) establish area-wide resource committees and provide for agency technical assistance;
- (2) work with county groups and organizations to stimulate citizen participation;
- (3) organize a program to disseminate resource inventory and evaluation information to citizens;
- (4) get commitments from key leaders and special interest groups; and
- (5) keep good records of all the above action for use in plan development.

The SCS state conservationist may find it desirable to assign a stagg member responsible for rendering assistance and guidance to sponsors and their committees.

Unless an active and highly task-oriented effort is maintained by the sponsors, interest will wane; therefore, encouragement will be given to do the following:

- (1) schedule and hold regular meetings;
- (2) establish resource committees to concentrate on immediate and urgent resource concerns;
- (3) request local, state and federal agencies to assist by serving on technical advisory team;
- (4) use joint resource committee meetings and needed special ad hoc committees to concentrate on special problems;
- (5) prepare area-wide information program directed to gaining citizen understanding, support and participation, e.g., holding public meetings, involving civic clubs and other organizations, working with news media, etc.

The SCS coordinator for USDA is a key leader in the RC & D activities; however, he must never assume the decision-making or other

responsibilities of the sponsors or the council. He is a source of information regarding assistance available to further RC & D goals and objectives. He is a generator of ideas, a communicator, and a motivator. He functions as a planning coordinator, helping the sponsors to invite and obtain participation of the various agencies and citizens' groups. It is essential that he have a thorough understanding of techniques for obtaining wide citizen involvement.

Sponsors provide opportunity for interest groups, local leaders and individuals to participate in the planning process through the use of area-wide citizen resource committees. All political, social, ethnic and economic interests have the opportunity to participate. They function as advisory groups to the RC & D Council. Resource committees are expected to consider possible alternatives for achieving RC & D goals. The committees then prepare their recommendations for decisions by the RC & D Council.

Committees are encouraged to involve citizen groups, especially before firming up recommendations to the council. The involvement may include public meetings. Leaders and groups represented should be afforded opportunities to participate.

- b. EVT-1 (Rev. 2) Compliance With NEPA and Related Environmental Concerns (Published in the Code of Federal Regulations, Part 650) 650.7 Public Involvement and Coordination

This memorandum provides SCS policy and guidelines for complying with referenced subject.

The initial step of public involvement will be the identification of individuals who may be interested in the project. Including those who:

- (1) may be affected by the project;
- (2) represent the needs and interest in a community;
- (3) have views important to balanced planning;
- (4) have expressed interest in the project.

All formal and informal meetings involved in planning the project will be documented. These documents form important evidence of public involvement and will be available for public inspection.

Public meetings may be used to encourage public involvement. The state conservationist, after consultation with the applicant, will determine when to hold public meetings. These meetings will be used for the following purposes:

- (1) to identify local issues, environmental values, and concerns;
- (2) assessing economic, social and environmental impacts and developing alternatives; and
- (3) presenting plans for evaluation.

Public hearings will be held jointly by SCS and applicants if necessary, to achieve public involvement and understanding of project

alternatives, or if justified by public interest. In deciding whether a public hearing is appropriate, SCS and the applicant should consider:

- (1) the requirements of state and local laws;
- (2) the magnitude of the proposal impacts;
- (3) the degree of controversy likely to surface at hearings;
- (4) the degree of interest from the public for such a hearing;
- (5) the complexity of the issue and the likelihood that information would not otherwise be available; and
- (6) the extent to which public involvement has been achieved.

c. General Manual Agency General No. 00-ISSUE X, PART 4XX  
Public Participation

The purpose of this memorandum is to state the policy and goals for public participation in the Soil Conservation Service.

The policy of the Service is to inform the public of all SCS assisted activities and to provide opportunities for it to participate in the planning and decision-making activities related to those activities. This policy applies to all SCS activities except assistance provided to an individual land owner.

The stated goals of the SCS public participation policy are:

- (1) keep public informed during planning process.
- (2) provide opportunities for the public to contribute information, express opinions, and discuss goals and alternative proposals;
- (3) take into account views expressed in all decisions.

The State Conservationists are responsible for the public participation activities in each state. He will assure that the public has an opportunity for early, open, and meaningful participation. He will also assure that a reviewable record of public participation is analyzed and taken into account during decision-making.

Area Conservationists have the responsibility of guiding the participation program in his area, and District Conservationists in the field offices.

Public participation is not only encouraged in SCS assisted activities, but also in developing long-range and annual programs.

No specific procedures of public participation are suggested. Policy states that a public participation plan shall be developed which

provides opportunity for early, open and meaningful participation and for scheduled meetings, other activities, and public hearings required by others.

The policy further states that information activities are to be an integral part of participation activities. Also, reviewable records are to clearly show the nature and extent of public participation.

As a result of recent action by USDA, the SCS was to create an Office of Public Participation whose functions would be to provide assistance and leadership in the Agency's public participation programs.

(DRAFT POLICY)

APPENDIX II

DISTRICTS RESPONDING TO QUESTIONNAIRE



## DISTRICTS RESPONDING TO QUESTIONNAIRE

The following is a list of those districts who responded to the questionnaire used in the report. Districts are listed by Divisions.

### Lower Mississippi Valley Division

- New Orleans District
- St. Louis District
- Vicksburg District

### Missouri River Division

- Kansas City District
- Omaha District

### North Atlantic Division

- Baltimore District
- New York District
- Norfolk District
- Philadelphia District

### North Central Division

- Buffalo District
- Chicago District
- Rock Island District
- St. Paul District

### North Pacific Division

- Portland District
- Seattle District
- Walla Walla District

### Ohio River Division

- Louisville District
- Nashville District
- Pittsburgh District

### South Atlantic Division

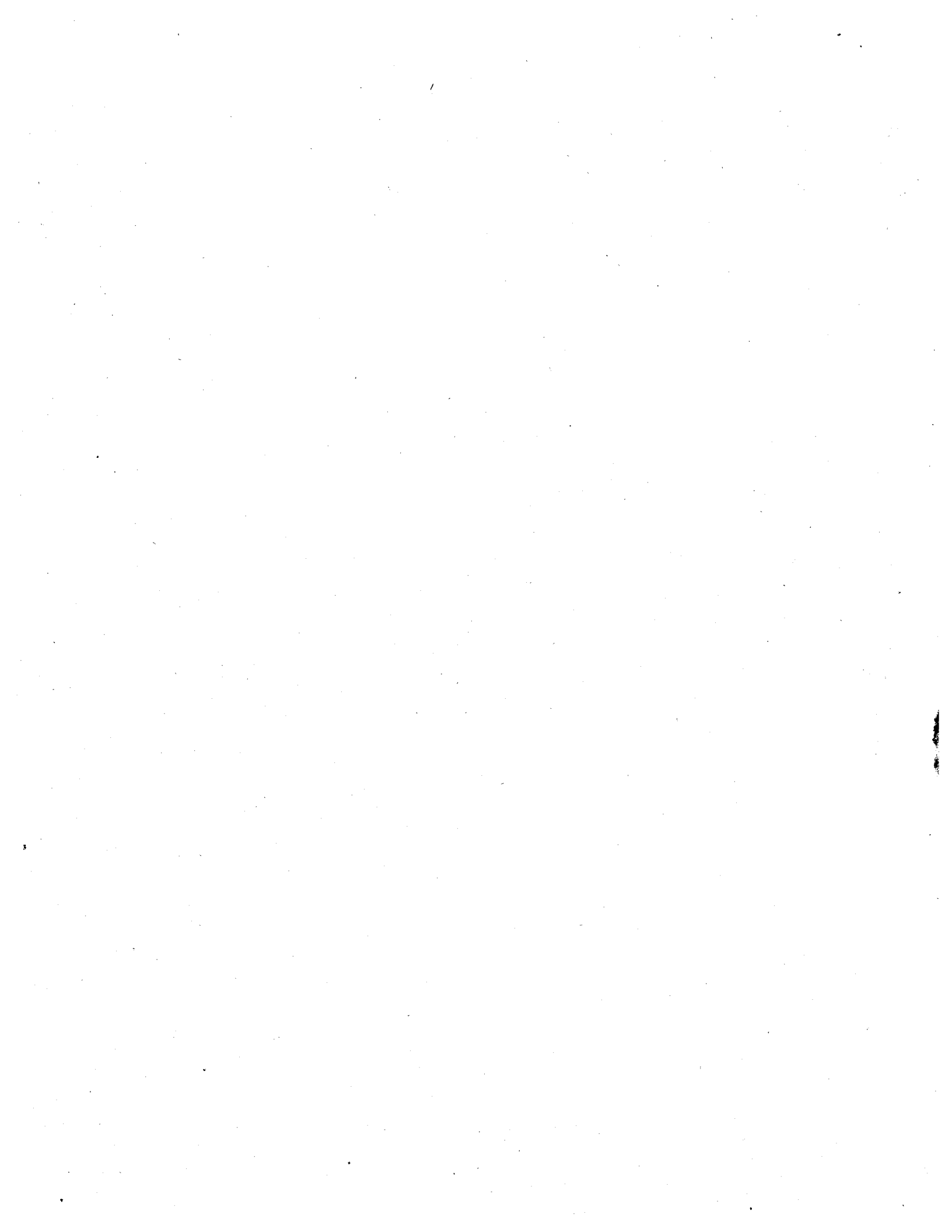
- Charleston District
- Jacksonville District
- Mobile District
- Savannah District
- Wilmington District

South Pacific Division

Los Angeles District  
Sacramento District  
San Francisco District

South Pacific Division

Albuquerque District  
Fort Worth District  
Galveston District  
Little Rock District  
Tulsa District



APPENDIX III

BACKGROUND INFORMATION SHEET  
OF PUBLIC PARTICIPATION  
QUESTIONNAIRE

BACKGROUND INFORMATION SHEET  
OF PUBLIC PARTICIPATION

A. GENERAL

1. Who is responsible for the public participation program? Identify percentage of responsibility.

	<u>YES</u>	<u>PERCENTAGE</u>
Project manager is responsible	---	---
Public relations personnel	---	---
Outside consultants	---	---
Other? Please identify: _____		

2. What percent of time (project manager's) is allotted to providing public participation in each particular type of study? What percentage of total study cost is allocated to public participation (as separate line item on PB-6 or PB 3).

	<u>% PROJECT MANAGER'S TIME</u>	<u>STUDY COST %</u>
feasibility	_____	_____
small project	_____	_____
advanced planning	_____	_____
urban studies	_____	_____

3. Identify important tasks a project manager should accomplish in order to initiate a public involvement program in a new feasibility study. (For example: identify key publics, organize citizens committee, set up mailing list, etc.)

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

4. Do you have district guidelines besides ER's, EM's, etc., which are used by a project manager in forming a public involvement program for each of the following type studies? If yes, PLEASE PROVIDE A COPY OF EITHER SPECIFIC OR GENERAL GUIDELINES.

	<u>YES</u>	<u>NO</u>
feasibility	---	---
small project	---	---
advanced planning	---	---
urban	---	---

5. Without naming specific studies/problems, from your perspective, what are the major problems you have had in undertaking and completing a public participation program?

Identify by (1) very significant (2) significant  
 (3) normal (4) less significant (5) no significance

- public apathy
- study time delays
- incomplete staff capabilities in public participation
- inadequate public participation monitoring and evaluating
- lack of a developed public involvement program
- other? please identify

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6. Name a study for each category in which a public participation program has proved successful and unsuccessful. PLEASE PROVIDE A COPY OF A DOCUMENT DESCRIBING THE SUCCESSFUL PROGRAM.

	<u>SUCCESSFUL</u>	<u>UNSUCCESSFUL</u>
feasibility	_____	_____
small project	_____	_____
advanced planning	_____	_____
urban studies	_____	_____

7. Why do you consider the studie(s) in Question 6 successful or unsuccessful?

- (a) \_\_\_\_\_  
 (b) \_\_\_\_\_

8. From your perspective, what are the potential solutions to the problems identified in Question 5?

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9. Do you provide information (either written or oral) to the public on how citizen input or feedback will be incorporated in the decision-making process?

YES \_\_\_ NO \_\_\_

If yes, please identify how this is documented. \_\_\_\_\_

---



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10. What purpose or importance do you feel the public participation program serves? List in priority ranking.

	<u>RANKING</u>
a. establishing support for a project	1. <u>    </u>
b. providing and receiving information	2. <u>    </u>
c. meeting requirements of regulation	3. <u>    </u>
d. identifying alternatives	4. <u>    </u>
e. dissolution of organized opposition	5. <u>    </u>
f. other? please identify	6. <u>    </u>
_____	7. <u>    </u>
_____	8. <u>    </u>

11. Are you aware or have you utilized the information on public participation and involvement published by the Institute for Water Resources, or Office of the Chief of Engineers?

	<u>AWARE</u>	<u>UTILIZED</u>
IWR Report 75-6 (Public Participation in Water Resource Planning)	_____	_____
IWR Report 70-6 (The Susquehanna Communication Participation Study)	_____	_____
IWR Report 70-7 (Public Participation in Water Resource Planning)	_____	_____
IWR Report 75-R4 (Public Involvement in The Corps of Engineers Planning Process)	_____	_____

B. PUBLIC INVOLVEMENT PROCESS

12. If you utilize citizen committees in your studies, how do you select the committee members?

	<u>YES</u>	<u>NO</u>
an independent agency indicates interests	_____	_____
the agency indicates type of interests	_____	_____
the local citizens decide	_____	_____
other? please identify _____	_____	_____
_____	_____	_____

13. How is correspondence documented?

	<u>YES</u>	<u>NO</u>
correspondence logs	___	___
main files	___	___
project manager's files	___	___
other? please identify _____	___	___

14. How are the key publics identified? Are they limited to within the study boundaries?

\_\_\_\_\_  
\_\_\_\_\_

15. Do you utilize citizen committees? If so, do these committees you work with generally pass specific by-laws to define their involvement in your studies?

	<u>YES</u>	<u>NO</u>
citizen committees	___	___
by-laws	___	___

If yes, please provide a copy of a typical by-law.

16. In most meetings, are the topics on the agenda usually discussed or are specific individual problems dominate as the central issue?

<u>Topic</u> <u>On Agenda</u>	<u>Individual</u> <u>Concern</u>
_____	_____

If individual concern, what procedure is used to get the topic back on track? Please describe: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

17. What interest groups dominate attendance at your local meetings?

<u>GROUP</u>	<u>APPROXIMATE PERCENT</u> <u>OF ATTENDANCE</u>
1. _____	1. _____
2. _____	2. _____
3. _____	3. _____
4. _____	4. _____



18. At local meetings, are technical questions such as hydrology, foundation, design, etc., generally handled by the project manager or do inhouse representatives of these disciplines handle this portion of the meetings?

	<u>Often</u>	<u>Sometimes</u>	<u>Never</u>
project manager	_____	_____	_____
other district representatives	_____	_____	_____
other? please identify:	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

19. Do you identify a public involvement program to be utilized throughout an investigation? And is the program evaluated and modified throughout the planning process?

	<u>In Detail</u>	<u>General</u>	<u>Evaluated and Modified</u>
	_____	_____	_____

20. Do you or have you ever used questionnaires?

<u>YES</u>	<u>NO</u>
_____	_____

If yes, please identify:

topic: \_\_\_\_\_  
 who develops: \_\_\_\_\_  
 who analyzes: \_\_\_\_\_  
 how do you evaluate their effectiveness? \_\_\_\_\_  
 \_\_\_\_\_

21. Have you utilized the following techniques in your public involvement program?

	<u>YES</u>	<u>NO</u>
Synergy Method	_____	_____
Nominal Group Process	_____	_____
Delphi Model	_____	_____
Survey	_____	_____
Other? Please identify:	_____	_____
_____	_____	_____
_____	_____	_____

22. What types of visual aids and/or handouts do you use at the following types of meetings (more than one may be checked)?

	<u>CITIZEN COMMITTEE</u>	<u>WORKSHOP</u>	<u>PUBLIC MANAGEMENT</u>	<u>DISCUSSIONS</u>	<u>OTHER? PLEASE IDENTIFY</u>
Brochures	_____	_____	_____	_____	_____
Tables	_____	_____	_____	_____	_____
Graphs	_____	_____	_____	_____	_____
Maps	_____	_____	_____	_____	_____
Outlines	_____	_____	_____	_____	_____
Slides	_____	_____	_____	_____	_____
Overheads	_____	_____	_____	_____	_____
Movies	_____	_____	_____	_____	_____
Displays	_____	_____	_____	_____	_____
Other? Please Identify	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
Which Most Effective?	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

23. Do you regularly utilize the following types of public participation activities to accomplish the following? (Please check the appropriate columns)

<u>Activities</u>	<u>Accomplish</u>		
	<u>Identify Goals &amp; Desires</u>	<u>Identify Information &amp; Ideas</u>	<u>Identify Areas of Differences &amp; Potential Mitigation</u>
Newsletters	_____	_____	_____
Field Trips	_____	_____	_____
Radio/TV	_____	_____	_____
Magazine Articles	_____	_____	_____
Newspaper Articles	_____	_____	_____
Public Meeting	_____	_____	_____
Citizens Committee Meetings	_____	_____	_____
Questionnaires	_____	_____	_____
Sample Surveys	_____	_____	_____
Informal Contacts	_____	_____	_____
Study Group Discussions	_____	_____	_____
Workshops	_____	_____	_____
Task Groups	_____	_____	_____
Delphi Panel	_____	_____	_____
Other? Please identify	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

24. Identify from the above techniques listed in Question 23., which ones have been the most successful according to the three categories.

ACTIVITIES

_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

25. Identify from the above techniques in Question 23., which ones have been the least successful according to the three categories.

ACTIVITIES

_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

26. Identify from the above techniques listed in Question 23., which you would like to try according to the three categories.

ACTIVITIES

_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____